

Analysis of the People's Survival Fund: Insights on Climate Finance Delivery in the Philippines



International Development Research Centre

Centre de recherches pour le développement international



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Final Research Report

Analysis of the People's Survival Fund: Insights On Climate Finance Delivery in the Philippines

December 2019

Acknowledgment

This research is made possible through the generous funding and support from the International Development Research Centre, Thailand Development Research Institute and the Frankfurt School of Finance and Management

Acronyms

CCC	Climate Change Commission
CCET	Climate Change Expenditure Tagging
CrFS	Climate-Resiliency Field School
COA	Commission of Audit
DBP	Development Bank of the Philippines
DENR	Department of Environment and Natural Resources
DRRM	Disaster Risk Reduction Management
GCF	Green Climate Fund
IAD	Institutional Analysis and Development
LCCAP	Local Climate Change Action Plan
LCO	Local Community Organizations
LGUs	Local Government Units (LGUs)
MSASD	Metro Siargao Alliance for Sustainable Development
MTDP	Medium Term Development Plan
MTIP	Medium Term Public Investment Program
MTRDP	Medium Term Regional Development Plan
MTRIP	Medium Term Regional Public Investment Program
NCCAP	National Climate Change Action Plan
NDRRMC	National Disaster Risk Reduction and Management Council
NFSCC	National Framework Strategy on Climate Change
OCD	Office of the Civil Defense
ODI	Overseas Development Institute
PDP	Philippine Development Plan
PSF	Peoples Survival Fund
PCI	Principle-Criteria-Indicator
PGSDN	Provincial Government of Surigao del Norte
RHU	Rural Health Unit
UNFCCC	United Nations Framework Convention on Climate Change
UNODR	United Nations Office for Disaster Reduction

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Abstract

The People's Survival Fund (PSF) is considered as the Philippine government's flagship climate adaptation finance program. Publicly financed, the fund is designed to integrate adaptation activities to resilience building, disaster risk reduction and poverty alleviation in poor and vulnerable local communities. Since the enactment of the People's Survival Fund Law in 2011, only a few local government units were able to access the fund. Institutionally-linked barriers and governance gaps in the implementation and disbursement of the fund seem to negate the benefits accruing from the direct access nature of the fund and the de-centralized implementation of adaptation activities in the local level.

Using a mix of quantitative and qualitative methods, this study examines the main problems that affect the implementation of the People's Survival Fund in three-level perspectives: policy, institutions, and operations. It also determines the main reasons for success and failures of adaptation projects at the subnational level.

Information gap about adaptation in general and the PSF in particular and lack of clear enabling guidelines for project implementation and private sector participation (policy barriers); capacity gap and lack of institutional-administrative readiness at the local level (institutional barriers); and bureaucratic delays incurred by agencies involved in the delivery of the PSF during project implementation stage (operational barriers) appear to affect the effective implementation of PSF. Twin-support from the top-level management and from the grassroots as well as concerted efforts between state and non-state actors explain the success of a climate adaptation project. Project proposal not being adaptation in nature but business-as-usual, failure to meet PSF standards, incomplete submissions and issues involving political will and political buy-in are some of the underlying causes why municipalities failed to access the PSF.

Improving the governance and institutional architecture of the People Survival Fund is still a work in progress. Policy implications that strike into the heart of fundamental governance and institutional policy areas are deducible from the findings. Business implications can be deemed from the identified entry points through which the private sector could take part in the implementation of the PSF.

Executive Summary

Global data on climate risks ranked the Philippines as among the most vulnerable countries in the world (2019 Global Climate Risk Index, 2019 Global Peace Index, 2018 World Risk Report). Adaptation as a policy area has become imperative more than ever before to build resilience and brace poor local communities on the risks brought about by the changing climate. This is the *raison d'etre* behind the passage of Republic Act 10174 (People's Survival Fund Law) in the Philippines. The People's Survival Fund (PSF) supports adaptation activities of local governments and communities with low adaptive capacity, high poverty incidence and key biodiversity areas.

The PSF as a climate adaptation finance mechanism is uniquely significant for a number of reasons: essentially sourced out from public fund, exclusively for adaptation purposes, implemented in the subnational level and its objectives highly embedded in disaster risk reduction and poverty reduction goals of the country. Currently, not much literature on adaptation finance with funds of public character and focused solely for adaptation purposes at the subnational level in the Southeast Asian context exists. This epistemological gap along with potential barriers in the implementation of the PSF strikes into the heart of fundamental policy areas. Firstly, this study addresses the issue of climate change and its ramifications to sustainable development at the local level. Extreme weather events in the Philippines often result to extensive loss of life, homes and livelihoods, damages to property and communal assets and jeopardize whatever development gains made by the country in the past decade. In real terms, the changing climate threatens the country's efforts on poverty eradication and sustainable development. Secondly, it addresses the issue of adaptation in relation to social inclusion. Despite the fact that the Fund follows the enhanced direct access modality and has been in existence in the last nine years, only six (6) adaptation projects with cumulative worth of roughly US\$ 6.5M are currently being implemented suggestive of possible democratic deficit in the implementation of the PSF. With that said, the findings of this research can be used to inform policy with the end-goal of making access to the People's Survival Fund more democratized.

The study mapped out the potential barriers/problems in the implementation and delivery of the People's Survival Fund in three perspectives: policy, institutions and operations. It also determined the main reasons for success and failure of the local government unit in accessing the PSF.

Using the exploratory sequential design, the researcher integrated quantitative and qualitative data within a single investigation. (Wisdom and Creswell, 2013; Onwuegbuzie, Bustamante, and Nelson, 2010). Quantitative policy analytical tools (PCI Framework for Effectiveness of Climate Change Policy and Policy Triangle Framework); institutional analytical logic (PCI Framework for Evaluating Institutional Arrangement and the Institutional Analysis and Development Framework) and desk-review of national level policy documents were used to unravel insights on policy, institutional and operational barriers. Semi-structured interview and focus group discussions were likewise used to

identify the main reasons for success and failure of PSF projects. Eight national-level legislative and policy documents on climate adaptation were reviewed. One success case study on climate adaptation project, "Promoting Resilience and Climate-Informed Gerona," was highlighted to identify the key success factors. The findings from the qualitative phase were later used to inform subsequent quantitative data collection through survey questionnaire (quantitative phase).

Findings disclosed that on the macro-level, there exists an enabling environment for the implementation of the People's Survival Fund, but policy, institutional and operational gaps exist at the implementation level. The existing legal-policy ecosystem in the Philippines is generally favourable and conducive for the implementation of the People's Survival Fund Law as evidenced by the constellation of legal framework, policy framework, institutional architecture, governance structure, and climate finance mechanisms. The People's Survival Fund Law is not a policy in isolation, but a policy that is embedded in an existing policy constellation. The People's Survival Fund Law is generally compliant with all the principles of good governance on climate finance delivery (implementability, coherence and legitimacy) saved on the issue of transparency owing to the fact that there is no public database about projects approved, budget allocated, their status of completion and other relevant information which will guide the public in monitoring the expenditure of public fund relative to the projects funded. Moreover, fundamental institutional architecture and processes are in place at the national level. Both the Climate Change Commission (CCC) and PSF Board have sufficient level of democracy in terms of representation---multi-sectoral, inter-agency, inter-departmental, collaborative and polycentric.

If an adaptation project financed by the PSF is properly implemented in the sub-national level, it could provide doorstep conditions for the attainment of adaptation objectives. The case study of the agricultural community of Gerona is illustrative of this case. Using Ostrom's Institutional Analysis and Development Framework, the Gerona case study showed that while the existence of formal institutions (laws, rules and governance structures) is important; it does not automatically and necessarily result to effective, efficient and responsive implementation of the People's Survival Fund. Leveraging upon informal institutional networks is equally important to engender collective action, build social trust, enhance the stock of social capital, ensure optimum inclusive, meaningful and impactful participatory engagement and finally attain the goals of public good envisioned by the climate adaptation project. The Gerona case illustrates that employing participatory and community-driven approaches and promoting inclusive governance can provide synergy to increase collective action for the implementation of the project, support local values, trust, customs, and ownership; strengthen the enforcement of rules; address power relations; and thereby improve local implementation capacity, monitoring and sanctioning efforts, and long-term sustainability of the desired intervention outcomes.

A number of key success factors from the Gerona case have been identified and generally at their core are governance and institutions: top-level management support from local executives in power; ground support system from the stakeholders through meaningful and inclusive participatory process lend legitimacy, transparency, credibility and sense of ownership to the project; and concerted efforts of state and non-state actors involved in climate change actions.

In the policy perspectives, critical information gap about adaptation in general and the PSF in particular, possible financing gap in the future, and absence of harmonious and unified guidelines during the implementation stage of an adaptation project were deemed as potential policy barriers. There is evident lack of awareness, knowledge and information about adaptation and the People's Survival Fund, more notably, in the poor and vulnerable rural agricultural communities. The People's Survival Fund is still largely unknown in the country. Moreover, "financing gap" for the People's Survival Fund could exist in the future given the fixed annual appropriations (around US\$20 million) allotted by the Philippine government to the Fund. Project priority lock-ins could also deter implementation of project which are badly needed by municipalities but are outside the identified priority areas. It can also be noted that while the law provides for co-creation, co-production and public-private partnership schemes, there exists no clear-cut enabling policy guidelines for private sector participation. Finally, the lack of enabling guidelines to govern implementation of project remains a policy gap that could be better addressed through the issuance of implementation guidelines or documents of similar nature by agencies involved in the delivery of the PSF.

Institutional barriers could limit what local government units could accomplish. Undermanned, overworked and overwhelmed, the subnational government cannot be expected to propose and implement adaptation projects under the PSF without adequate logistical supports from the national government. In some municipalities, for instance, compliance with even two of the fundamental plans needed for submission of adaptation project proposal in the Climate Change Commission can be daunting: the Comprehensive Land Use Plan (CLUP) and the Comprehensive Development Plan (CDP). These "capacity gap" and "lack of administrative readiness" of poor and vulnerable rural agricultural communities in the country typically hinder meaningful local climate action. Most of the vulnerable communities in the country are those with low adaptive capacity, low human capital but with high incidence of poverty. Most local government units (LGUs) do not have adequate, competent and skilled personnel who will perform climate change actions in the local level. The present institutional architecture in the local level does not provide for it. The absence of local institutional coordinating body that will coordinate the activities related to climate actions among collaborating units, agencies and entities involved in climate governance can be regarded as a "governance gap" in the People's Survival Fund law. While in the national level there is a Climate Change Commission that performs coordinative functions for and among the different agencies of the government and representative stakeholders, there is no such equivalent body in the local or micro-level. Hence, while submissions of project proposals were made by LGUs in the past years, they

generally lack quality and responsiveness to the requirements of the PSF Board. Thus, the low approval rate.

In the operational level, substantial delays incurred by agencies involved in the delivery of the PSF and confusion brought about by incoherent implementing guidelines serve as hurdles for the smooth implementation of an adaptation project. Delays are usually incurred by the Climate Change Commission in the conduct of field validation of works accomplished by the adaptation project, by the Commission of Audit in post-auditing the various phases of the project, and by the Development Bank of the Philippines in the release of the funds. Such administrative delays and bureaucratic bottlenecks impact the completion of the project on time, delivery of the services to the beneficiaries and possibly cause mistrust to the sincerity of the national government in the performance of their functions.

The foregoing problems inevitably result to low submission of adaptation project proposals; even when proposals are submitted they lack the needed rigor, quality and substance. Some proposals submitted are not necessarily adaptation but business-as-usual; others failed to meet the standards of the PSF Board; still others are lacking of the mandatory documents such as vulnerability assessment. These explain the reasons why some municipalities are unable to access the PSF. While some municipalities have skilled personnel to undertake adaptation project, either the local chief executive or the local council does not consider adaptation projects with long-term duration as practical or politically beneficial to them in the short-term. These issues involving political will and political buy-in coupled by the cyclical shift in power impact meaningful local climate action in the subnational level.

The PSF is still a work in progress. While there are constraints in its governance and implementation, there are reasons to be optimistic in the future.

A number of relevant observations could be deduced from this research which have practical bearing on some policy considerations. Firstly, empowering the front-liners of climate adaptation action at the sub-national level through targeted capacity-building remains a low-hanging fruit that the national government could tap upon. Local government units with high vulnerability but with low adaptive capacity and low human capital can be considered on top of the priority. Secondly, alongside capacity-building, provision for local institutional structures and process should be in place to address the governance gap at the subnational level for climate adaptation action. A collaborative multi-sectoral committee with functions similar to the Climate Change Commission could be improvised in the organizational structure at the local level. A dedicated focal person/unit which liaises the functions of this committee should likewise be designated. Thirdly, the critical information gap about adaptation and the PSF could be well addressed by the national government through the Climate Change Commission by stepping up its education and public information campaign. While much has been done, much still needs to be done in mainstreaming climate adaptation in local plans and strategies and in

cascading knowledge about adaptation not only to policy actors but more importantly to stakeholders directly affected by the impacts of the changing climate. Finally, there is a need to possibly revisit the People's Survival Fund Law and its implementing rules and regulations to take into account policy, institutional and operational gaps identified in this study.

CHAPTER 1

INTRODUCTION

1.1. Rationale and Objectives

In July 2011, the Climate Change Act of 2009 was amended to establish the People's Survival Fund (PSF) in the Philippines. The law creating the PSF is embodied in RA 10174, otherwise known as the "*Act Establishing the People's Survival Fund in the Philippines to Provide Long-term Finance Streams to Enable the Government to Effectively Address the Problem of Climate Change*". The Act integrates adaptation and resilience-building measures from the national level, through the Philippines Climate Change Commission (CCC), to the local (barangay) level, and integrates poverty reduction with disaster risk reduction and climate change adaptation objectives.

Considered as the Philippine government's flagship climate adaptation finance program, the People's Survival Fund is an offshoot program of the 2012 People's Survival Fund Law (Republic Act 10174). It is designed as a long-term finance stream for climate adaptation programs and projects directly supportive of the objectives of local government units and communities. It has an annual rolling minimum budget allocation of P1 billion (\$23.5 million), which represents 1% of the over-all national budget of P3.767-trillion (2018 General Appropriations Act).

In the Philippines, climate appropriations have increased by 2.5 times in real terms and on average 26 percent annually, outpacing the growth of the national budget (around 6 percent). Increase shows government's willingness to increase funding for climate action, but the level of funding based on projected needs is still low (about 0.3 percent of GDP), falling below the Stern review recommendations that countries should expend at least 2 percent of GDP to implement climate action particularly on adaptation.

The objectives of this research study were as follows: (1) To map out if there are potential policy barriers in the implementation of the People's Survival Fund vis-a-vis its accessibility; (2) To identify if there are flaws in the formal institutional set-up and process that impede the implementation and delivery of the People's Survival Fund; (3) To determine what operational barriers are encountered by an adaptation project proponent (local government units/local community organizations) in accessing the PSF and how a successful proponent overcomes such barriers to gain access to PSF.

On the basis of the foregoing, this research project intends to develop a policy

dialogue framework which is hoped to facilitate better-informed communication and implementation of the PSF enabling vulnerable segments in rural areas and the economically-deprived and climate-risk agricultural local government units to benefit from the Fund as well as to formulate an agenda for a collaborative and collective action framework relevant to climate change adaptation.

There is a great deal of value in my proposed study as it addresses key social issues relevant to local development, especially given the potential benefit it can provide for decision-makers in the Philippines.

Firstly, it addresses the issue of climate change and its ramifications to rural development. The Philippines is among the risk-prone societies to climate change in the world according to the German Watch in 2016. With over 20 typhoons on average striking the country annually, often resulting to extensive loss of life and property damages, the country experiences storms that have become more severe and frequent in recent years. Four of the country's ten (10) most catastrophic storms have occurred in the past decade, and sea levels are expected to rise at a rate three times greater than the world average in the coming decades. Being among the most vulnerable countries in the world to weather-related extreme events, earthquakes and sea level rise, the Philippines recognizes that it is already highly vulnerable to the negative impacts of climate change. During the past decade, the country has experienced severe weather events that resulted in stark damages to livelihoods and human lives. Typhoons Ondoy, Pepeng, Sendong, Pablo and Typhoon Haiyan (Yolanda) claimed the lives of more than 30,000 people, caused economic damage and losses amounting to approximately USD 18.6 billion, and affected new areas, which previously had not been hit by strong typhoons.

Secondly, it addresses the issue of social inclusion and economic marginalization. The researcher hypothesized that apparently there exists democratic deficit in the implementation of the PSF given the number of programs and projects approved in the last 3 years (only six at the time of this writing). The findings of this study are hoped to unveil the reasons why it seems difficult to access the People's Survival Fund (though the Fund is considered of "direct access fund" modality).

To date, the Philippines has not yet taken substantial actions to build institutional and technical capacities to assist local government units and the vulnerable sector on how to access the climate change adaptation fund, and the People's Survival Fund is largely unknown within the country. The researcher therefore intends to use the findings of this investigation to inform policy, and advocate for the incorporation of capacity-building and empowerment in making access to the People's Survival Fund more democratized.

1.2. The People's Survival Fund: A Brief History

It is the policy of the Philippine government to afford full protection and the advancement of the right of the people to a healthful ecology in accord with the rhythm and harmony of nature. (Section 16, Article 2, 1987 Philippine Constitution).

In the past decades, extreme weather events such as occurrence of supertyphoons has become more frequent than it was before which undermines development gains that the country has attained in recent years. The country's experience with typhoons Yolanda (2013), Pablo (2012), Sendong (2011), Ondoy (2009), and Frank (2008) aptly illustrated that the State's build-back-better programs can take a substantial portion of the national budget.

During disasters, it is always the poor and vulnerable segments of the Philippine society that suffers the most. The existence of multidimensional inequalities which become more apparent during disasters make the poor and vulnerable almost always the first casualty of the adverse impacts of disasters and climate change. The reality is while climate change is an issue at the national level; its impact is most felt at the local level.

Recognizing such, as early as 1978, former President Marcos passed Presidential Decree No. 1566 to strengthen Philippine disaster control. This law established the National Disaster Coordinating Council, then the focal organization for disaster management in the country. It was headed by the Secretary of National Defense. Despite having the control center which was supposed to keep track of the aftermath of disasters, the National Disaster Control Center was abolished. Its function and personnel was transferred to the Office of Civil Defense (OCD) under the Letter of Implementation No 19 in 1972. (Rey, 2015).

In response to the urgency for action on climate change, the Philippine government passed Republic Act 9729, otherwise known as the Climate Change Act of 2009. The law established the Climate Change Commission which is under the Office of the President and is the "sole policy-making body of the government which shall be tasked to coordinate, monitor and evaluate the programs and action plans of the government relating to climate change." Enacted on July 27, 2009, R.A. No. 9729 allowed mainstreaming of climate change into government formulation of programs and projects, plans and strategies, and policies, creation of Climate Change Commission, and establishment of Framework Strategy and Program for climate change.

A year thereafter, Republic Act No. 10121, also known as the Philippine Disaster Risk Reduction and Management Act, was enacted to complement the Climate Change Act of 2009. Enacted on May 27, 2010, the Philippine Disaster Risk Reduction and Management (DRRM) Act aims to develop a framework and roll out resources that will enable the national government, the local government units, and other stakeholders to build communities that can survive disasters.

In recognition of the importance of finance in adaptation action, the Philippine Congress amended the Climate Change Act of 2009 giving birth to Republic Act 10174, also called the People's Survival Fund (PSF) Law, as a means to provide long term finance stream to address climate change. The PSF supports climate change adaptation activities of local government units and community organizations. Its P1-billion appropriation will be coming from the General Appropriations Act (GAA) and is supplementary to any annual appropriations allocated by LGUs for disaster risk reduction and climate change adaptation. RA No. 10174 mandated the integration of disaster risk reduction activities into climate change programs and initiatives. (Rey, 2015).

1.3. Research Objectives

The main objective of this study is to determine the different barriers and/or gaps that affect the implementation and delivery of the People's Survival Fund.

The sub-objectives are as follows:

(1) To map out if there are potential policy barriers in the implementation of the People's Survival Fund vis-a-vis its accessibility;

(2) To identify if there are flaws in the formal institutional set-up and process that impede the implementation and delivery of the People's Survival Fund;

(3) To determine what operational barriers are encountered by an adaptation project proponent (local government units/local community organizations) in accessing the PSF and how a successful proponent overcomes such barriers to gain access to PSF.

1.4. Research Hypotheses

The researcher hypothesized that:

1. There is low level of awareness and knowledge about climate change and its impact to local rural communities.

2. The People's Survival Fund is largely unknown in poor rural and vulnerable agricultural communities.
3. There is democratic deficit of representation in the implementation and delivery of the People's Survival Fund considering the low approval rate of climate adaptation proposals in the last three years.
4. There is no favorable enabling legal-policy environment that supports the implementation and delivery of the People's Survival Fund.
5. Majority of those which were considered as policy and institutional barriers that affect the implementation of the People's Survival Fund are of moderate nature and therefore, negligible.

1.5. Theory of Change

The researcher is guided upon by the following theory of change:

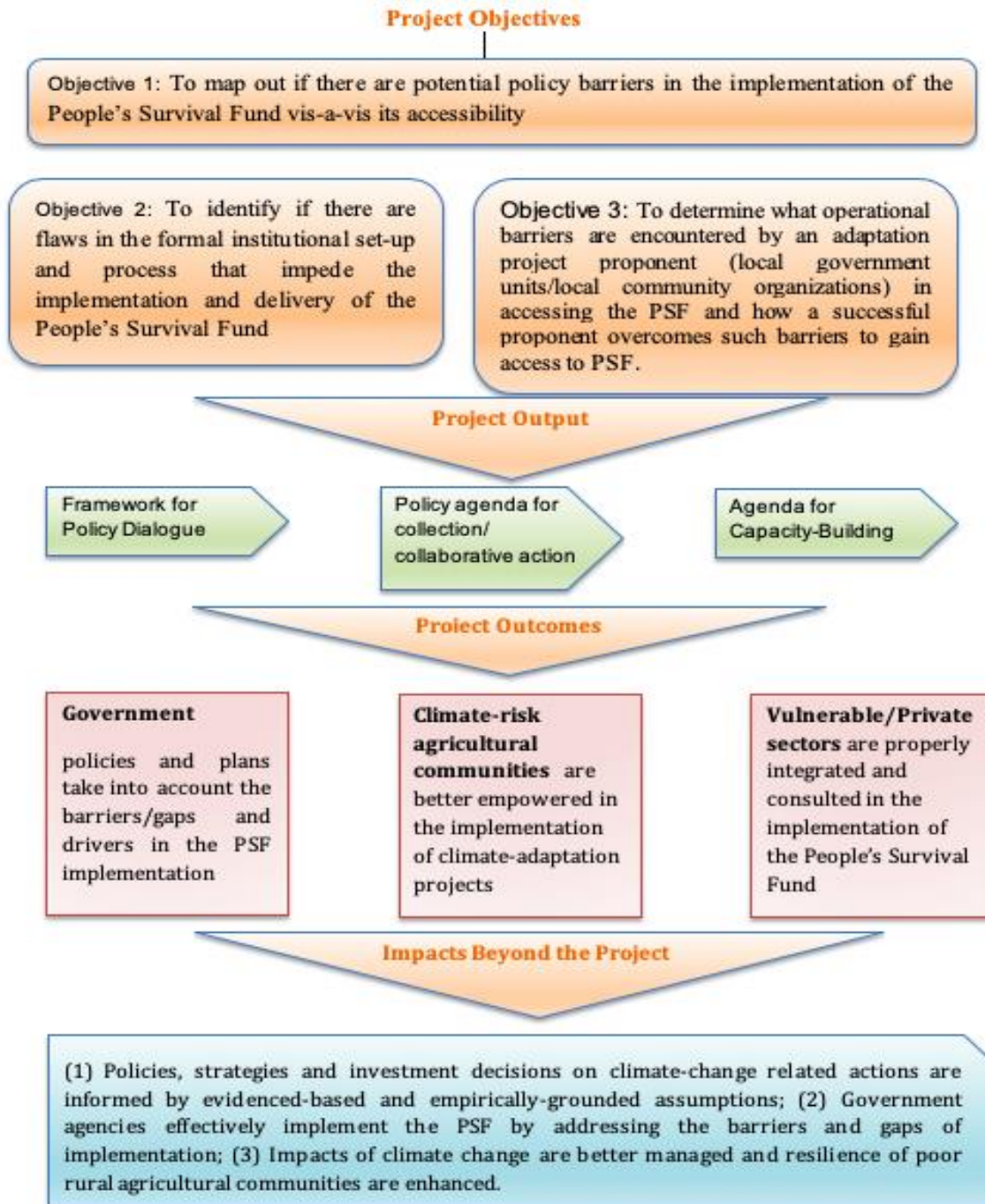


Figure 1. Theory of Change

CHAPTER 2

RELATED STUDIES

2.1. An Overview

The Philippines is one of the most natural-hazard prone countries in the world.

Bracing communities for the impacts and the consequences of natural disasters requires investments. Finance is crucial to fund adaptation interventions that respond to climate-induced disasters and build community resilience.

The People's Survival Fund aims to financially or technically support adaptation action. Apparently, it is a part of the country's strategy or development plan to drive policy implementation. The PSF envisions to support adaptation activities of local governments and communities. The Fund focuses on local government units with high poverty incidence that are exposed to climate risks and have key biodiversity areas. Having said that, it is interesting to see how the implementation of PSF plays out vis-à-vis the existing policy context upon which it is enacted.

How do target beneficiaries access the fund, what difficulties they encounter and how can their participation to the Fund be maximized---these and other questions are just among the queries that this research project envisioned to answer.

On the basis of the inquiry, the proponent hopes to arrive at a policy dialogue framework that reflects the policy interest of the stakeholders for better informed policy implementation as visualized by Adams, et. Al (2012) in the following figure:

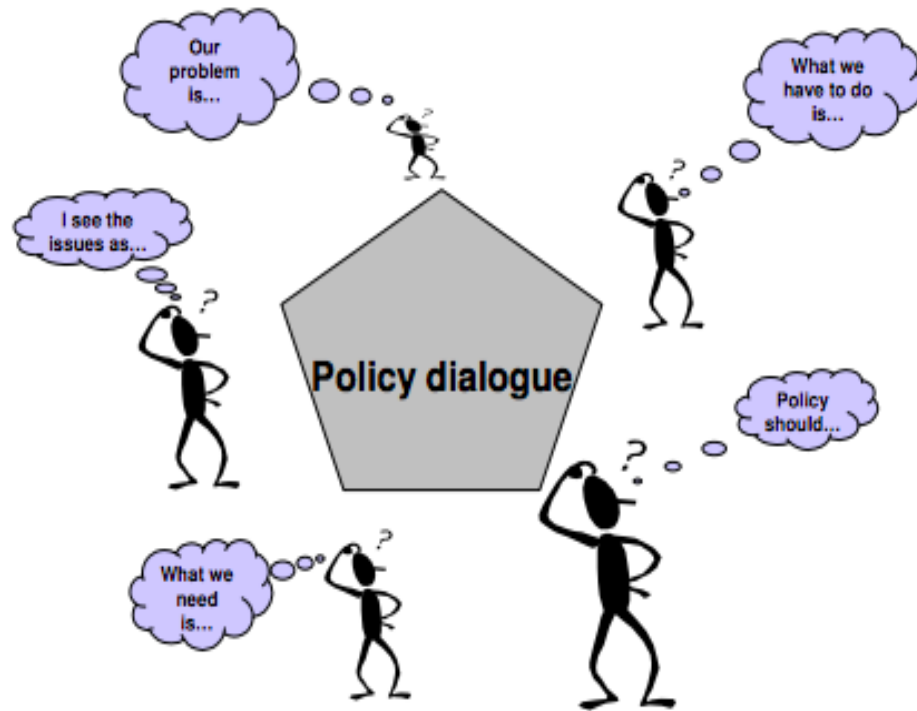


Figure 2. Stakeholders' Interaction in a Policy Dialogue Framework (Adams et. Al, 2012)

2.2. Some Relevant Studies

This study is anchored along a number of scholarly literatures.

Examining climate adaptation finance delivery in Uganda, Tumushabe, et al (2013) identified climate change relevant public expenditure of the Ugandan government and measured the effectiveness of such spending against an explicit assessment framework. In capsule, they proposed for the following: improving information on climate finance; planning climate finance delivery; supporting the institutional response for effective climate finance delivery; and climate change actions at the local government level. This study is relevant to the proposed study at hand since both aimed at showing the nexus between climate finance delivery and existing state policy contexts.

In the Asian context, the study conducted by Khattri et al. (2010) on Asian cities disclosed that adaptation interventions such as housing, micro-insurance and water management are always context-specific. They argued that small and local businesses are sometimes better able to respond to the needs of the poorest than government bodies or non-governmental organisations (NGOs). Hence, recognizing the importance of small and local businesses for adaptation purposes. Interestingly, my proposed study determined what areas, to what extent and

under what policy instruments can vulnerable sector take part in the People's Survival Fund. Hence, the insights from Khattri, et al. (2010) proves relevant in this study.

Trabacchi and Stadelmann (2013) assessed the private adaptation project by the Pilot Program for Climate Resilience (PPCR) in Nepal, managed by the International Finance Corporation (IFC). In this project, public resources are deployed to promote climate resilience in Nepal's agricultural sector by engaging and developing the capacity of agribusiness firms and local commercial banks to transfer skills and resources to farmers. The researchers argued that farmers could increase their production, and therefore their income by approximately 20% solely by developing more climate-resilient production processes. They, however, recognized the fact that social constraints and economic uncertainties can impede implementation such as lack of active participation from farmers and a limited adoption of improved farming practices due to farmers' low literacy levels and competing needs; decreasing market price of crops reduces the interest in investment; and difficulty of engaging local banks in the project because of the low attractiveness to provide loans for climate resilience. This study finds direct bearing to this study primarily because the instant study explored the barriers and constraints that impede the effective implementation of the People's Survival Fund in multi-dimensional analytical perspectives: public administration, local government units/communities and the vulnerable sector.

According to a study conducted by Christiansen, et al., 2012, developing countries are heavily dependent on domestic sources for financing their adaptation activities, farmers and small businesses. This is an interesting point considering that in developing countries, the earnings of about 90% of the population is dependent on the private sector (SER, 2011). This shows the significance of the domestic private sector for the protection of people and livelihoods against climate change. On this note, the current study looked into the opportunities through which other relevant sectors can take part in the public-led initiatives for climate adaptation activities through policy instruments by removing the barriers or facilitating their entry for participation.

In terms of the perspectives of development sector and the vulnerable segments of the population, Atteridge (2011) states that development sectors such as water and agriculture have either been relatively unattractive to private investment or seen investment in large-scale export-oriented activities but not in the small-scale production that sustains local populations.

2.3. Contribution to Existing Research Gaps and Research Paradigm

Numerous studies exist in scholarly literatures with international climate adaptation fund as the main focus of investigation. However, little is known about how national climate change adaptation finance fund works in domestic or local level.

Empirically, this study can be regarded as among the first studies on climate adaptation finance delivery, with focus on publicly-funded climate change adaptation finance in a developing country which is significant for two reasons: adaptation is of crucial importance to developing countries such as the Philippines to address one of the biggest challenges of our times, climate change; this study focuses principally on adaptation because the knowledge gap between developing countries and developed countries in terms of climate change adaptation finance is pronounced which makes the conduct of this study even more relevant, significant and timely. My study aims to address this imbalance in representation in the epistemic community given the lack of data and recent emergence of climate change as a policy issue.

In addition, it is equally interesting to derive insights on climate change adaptation finance studies in the Asian perspectives. While several studies have been done before in African and European contexts, there is a dearth of literature on climate change adaptation finance studies *with a particular focus on country-based and publicly-funded adaptation finance mechanism* in the Asian perspectives.

This becomes more imperative for two important reasons: firstly, Asia has been prone to climate change cataclysm in the past few years; countries such as the Philippines, Japan, Indonesia and Bangladesh, to mention a few states, are among the most disaster prone countries in the world caused by calamities, directly or indirectly induced by climate change; second, the attention of the world has shifted to the Asian region with the growing influence and emerging leadership role being assumed by China on climate change mitigation and adaptation initiatives, the actions of which can influence the region and the rest of the world. Hence, an understanding of climate change policies and initiatives could provide references, both regional and international for financing institutions in their global assistance programs to better adapt to local conditions towards building stronger resilience in local communities.

Moreover, there also exists knowledge gap along climate change finance governance assessment as applied on the subnational level taking into account factors such as institutional arrangements and policy assessments based on the principles of ease of implementation, legitimacy, coherence and transparency. If any exists in the international literature, they are, more often than not, fragmentary. It could be argued that this is among the first studies to have dealt

with the different barriers on public climate adaptation finance within the context of the sub-national level as viewed in multi-level perspectives.

2.4. Research Paradigm

This research project is visualized as having the following components:

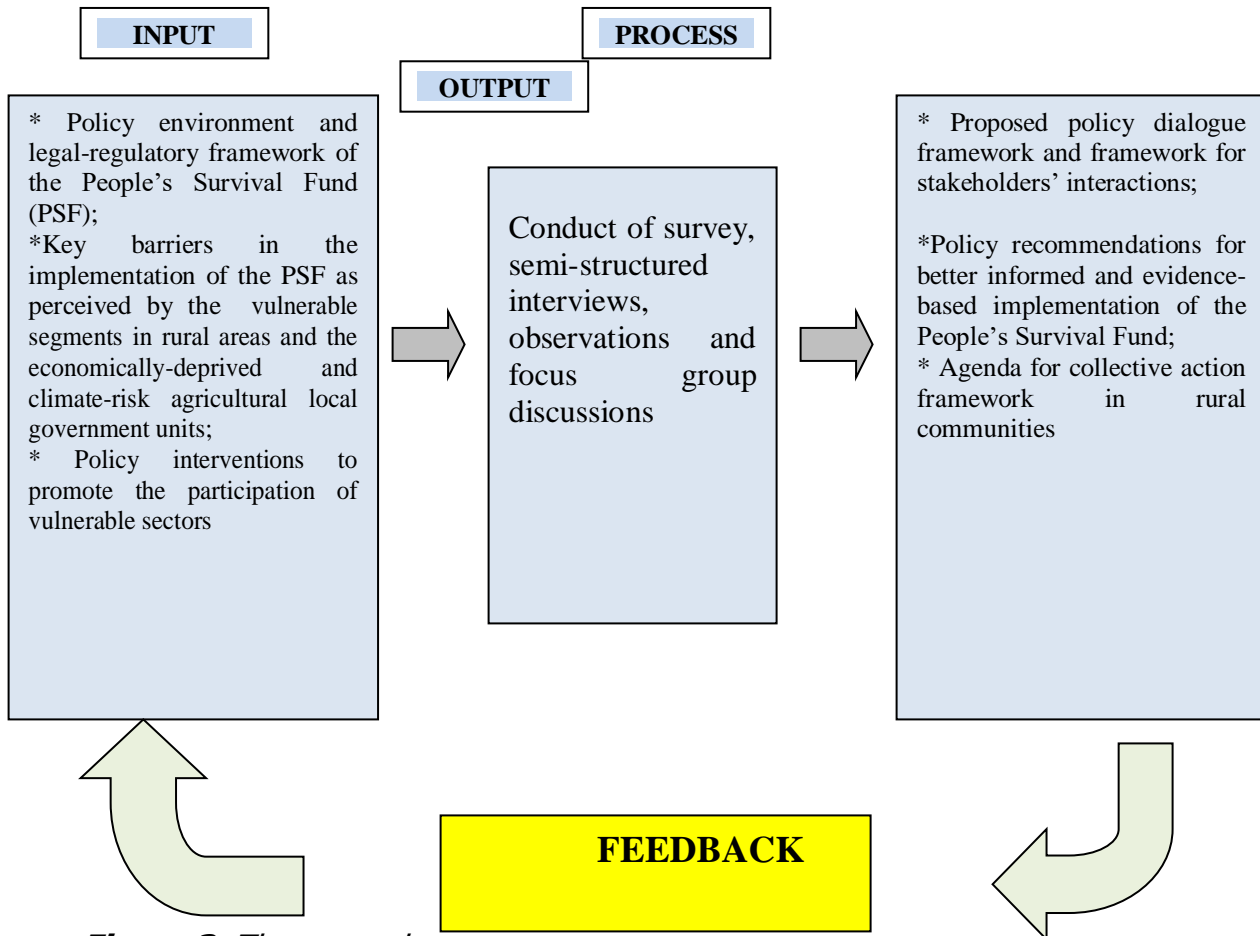


Figure 3. The research paradigm of the Research Project showing the interrelationship of the input, process and output components of the study

CHAPTER 3 METHODOLOGY

3.1. Strategy and Research Design

This study employed the mixed methods of research, an emergent research methodology that advances the systematic integration of quantitative and qualitative data within a single investigation; such integration permits a more complete and synergistic utilization of data than do separate quantitative and qualitative data collection and analysis (Wisdom and Creswell, 2013).

Specifically, the researcher used the exploratory sequential design. In this set-up, the researcher first collects and analyzes qualitative data, and these findings inform subsequent quantitative data collection (Onwuegbuzie, Bustamante, and Nelson, 2010).

This involves two phases:

- (1) an initial use of analytical frameworks (PCI Frameworks), Institutional Analysis and Development Framework, desk review (document analysis of national-level documents (refer to Figure 4 below), followed up by a semi-structured interview and on-site observation (qualitative data collection phase); and
- (2) administration of survey questionnaire (quantitative phase);

3.2. Data Gathering Tools/Instruments

The following instruments were used in this study:

- (i) Survey Questionnaire (**see Appendix A**) to draw data on the awareness and knowledge of actors of climate adaptation in the subnational level about climate change and its impacts, the People's Survival Fund and the policy, institutional and operational barriers that affect the implementation of the People's Survival Fund. Respondents include sixty (60) people representing mixed group of respondents (local government unit officials and representatives of women, farmers, fisher folks and civil society) from the six municipalities with PSF-approved projects.
- (ii) Portfolio Review Template (**see Appendix B**) to gain understanding what adaptation projects were approved and disapproved, under what thematic

policy areas, which region of the country and the type of proponents which submitted the climate adaptation project;

(iii) Key Informant Semi-Structured Interview Checklists **(see Appendices C and D)** to undertake a thorough assessment of the policies, institutions and institutional processes involved in the implementation of the People’s Survival Fund in the Philippines;

(iv) Guide Questions for Focus Group Discussion (FGD) to derive insights on the institutional processes, capacities and perceptions of project proponents (local government units and local community organizations) in the implementation of the People’s Survival Fund in the Philippines **(see Appendix E)**

(v) Modified PCI Framework for assessing public climate change finance policy **(see Appendix F)**; and

(vi) Modified PCI Framework for assessing institutional arrangements and processes **(see Appendix G)**

3.3. Objective-Methodology Correspondence

For the purpose of this study, the following illustrates one-to-one correspondence of the objectives and methodology to be used:

Research Sub-Objectives	Methodology
1. To map out if there are potential policy barriers in the implementation of the People’s Survival Fund vis-a-vis its accessibility	Desk review of national level documents that include two (2) national plans, three (3) national strategies), three (3) legislations and two (2) administrative issuances (see Figure 4) to determine if there is an enabling policy environment for climate change related actions and to determine the effectiveness of the climate change policy using the Modified PCI Framework (Bird, et al, 2013) and the Policy Triangle Framework (Walt and Gilson, 1994). Qualitative analysis of these documents using Nvivo software was done to supplement the analysis.
2. To identify if there are flaws in the formal institutional set-up and process that impede the implementation and delivery of the People’s Survival Fund	The Modified PCI Framework for Evaluating Institutional Arrangement was used for the PSF policy and then applied to all six (6) successful project proponents. The Institutional Analysis and Development Framework (adapted from Ostrom, 1980) as applied to the Gerona experience (illustrative case study) was also used.
3. To determine what operational barriers are encountered by an adaptation project proponent (local government units/local community organizations) in accessing the PSF and how a successful proponent overcomes such barriers to gain access to PSF	A semi-structured interview (case interview) with officials of the Climate Change Commission and climate adaptation project proponents (local government unit/local community organization) for the Municipality of Gerona (PSF-funded project as success story case) was conducted and a case interview of a local government official from a local government unit with unsuccessful project proposal. Findings from the interview were complemented by the conduct of FGD. Transcripts of the interview were analyzed through the use of Nvivo 12 software. Finally, a survey questionnaire was administered to gain insights on the awareness and knowledge about climate change and the People’s Survival Fund and the different barriers that affect the implementation and delivery of the People’s Survival Fund.

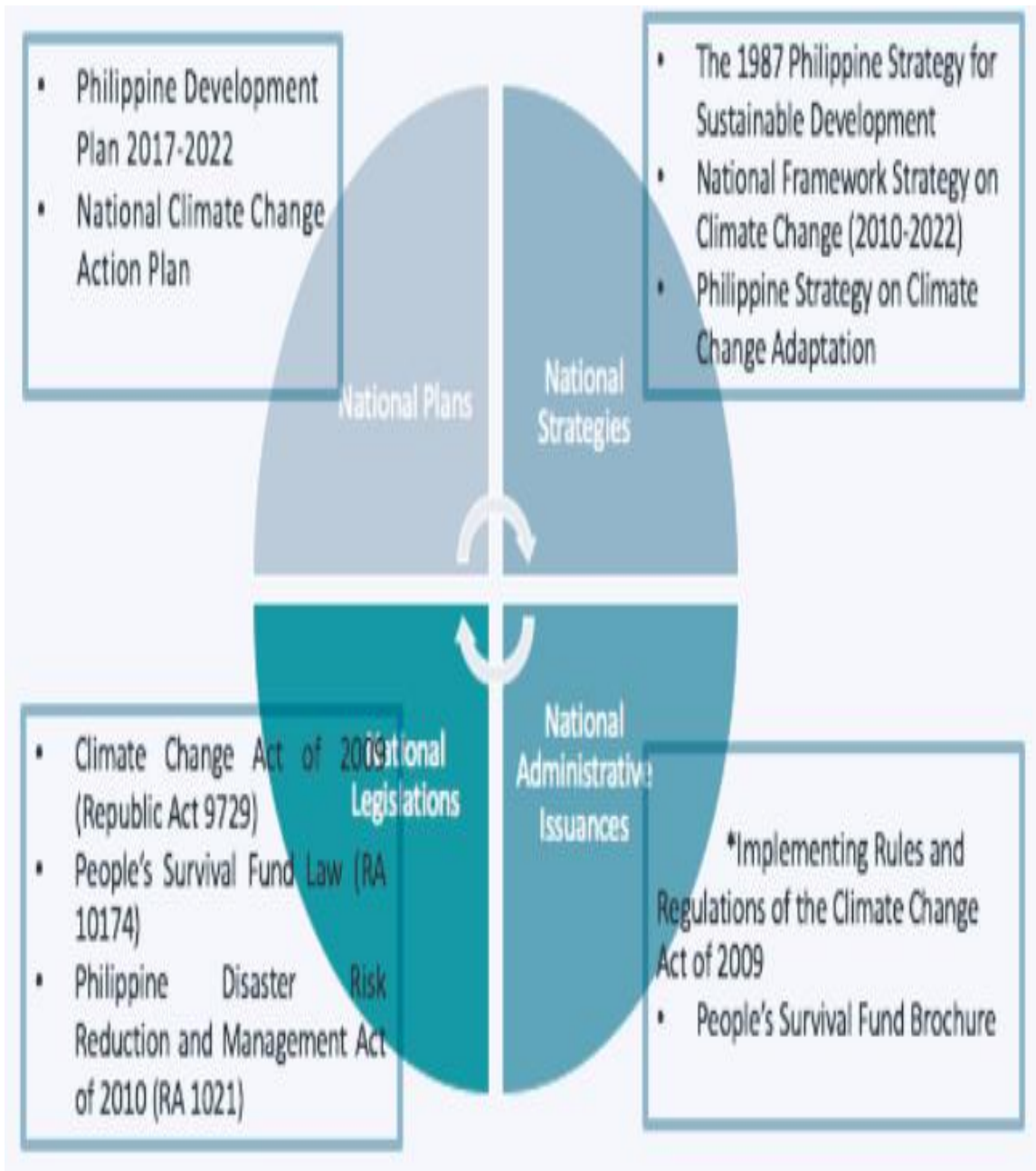


Figure 4. National-Level Documents that are deemed relevant to the implementation of the People's Survival Fund subject of Document Analysis

3.4. Project Areas

The project areas represent the six (6) municipalities with adaptation projects funded by the People's Survival Fund. These PSF projects were analyzed using the PCI Framework for Climate Policy Assessment and the PCI Framework for

Institutional Arrangements and Processes. Below is a brief description of each of this project area and their respective adaptation projects.

Adaptation Project 1: “Siargao Climate Field School for Farmers and Fisherfolk” at the Municipality of Del Carmen, Surigao del Norte (Eastern Mindanao, Philippines)

The project is located in Del Carmen, a 5th class municipality in the province of Surigao del Norte. Del Carmen has an annual per capita income below the poverty threshold composed of around 20 barangays and 23 sitios. The town is located in the western part of Siargao Island with a distance of 33 nautical miles from Surigao City, the capital of the Province. It has a diverse ecosystem of lagoons, ponds, oceans and limestone hills, and has the second largest mangrove cover in Mindanao region at 7,768.60 hectares. It has been declared as protected landscapes and seascapes through Presidential Decree 902 in 1996.

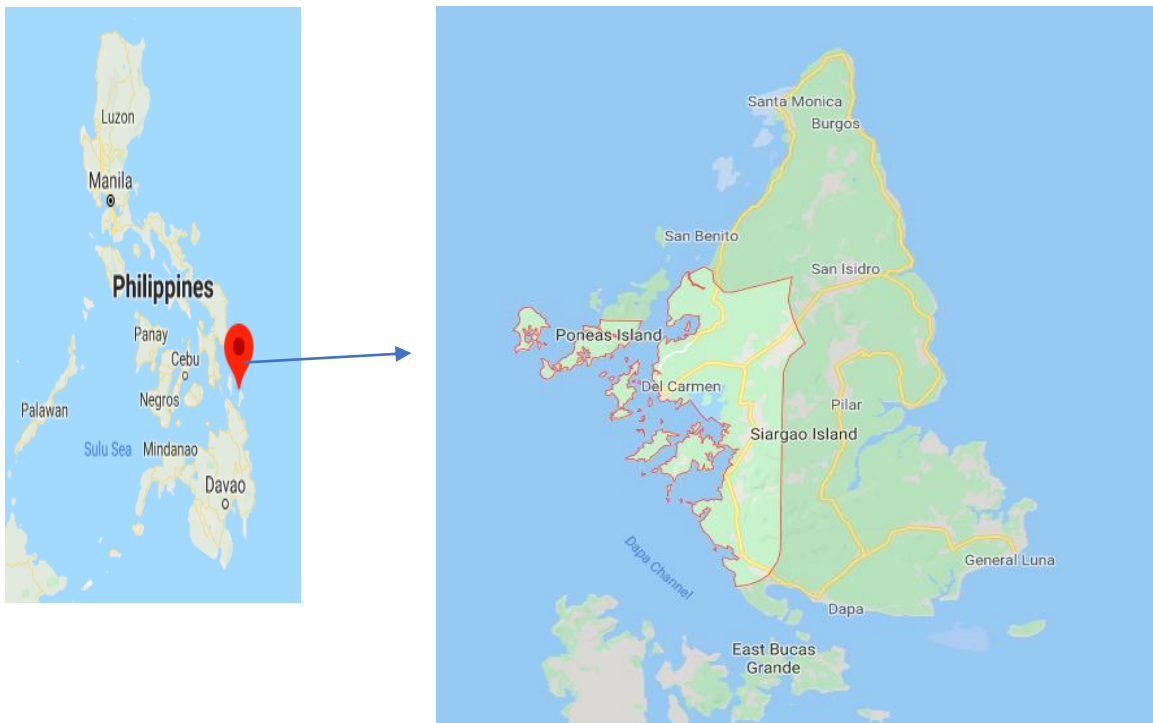


Figure 5: Location of Del Carmen, Surigao del Norte (Source: Google Maps, 2019. maps.google.com; wikipedia.org)

Siargao’s communities are mainly engaged in farming, fishing and tourism and are highly dependent on available natural resources. Any abrupt change in weather condition would gravely affect the natural resources. Many of the families live below the poverty line, and as such, it is harder for them to adapt to climate

change. There is therefore a pressing need for Siargao to develop a comprehensive understanding of the impacts of climate change, both on the environment and on its socio-economic development, as well as measures to manage these impacts (Dugan, 2018). Del Carmen’s “Siargao Climate Field School for Farmers and Fisherfolk” aims to establish a sustainable end-to-end institutional system for the generation and application of locally tailored climate information tools, build capacity to apply these, and to reduce possible economic losses due to climate change. The primary stakeholders of this project are mainly farmers and fisherfolks. A PHP 80M grant (around US\$ 800, 000) was awarded for the establishment of the Siargao Climate Field School for Farmers and Fisherfolk, which would teach them to deal with climate change impacts. The expected output for this project include a Climate Field School which will deliver an Application of Climate Adaptive Support System Best Practices and a weather forecasts system to aid decision making for their farming system. Expected outcome include better agricultural yield and better adaptation knowledge and practices as applied in both agricultural and fishery production.

Adaptation Project 2: “Disaster Risk Reduction & Management (Ridge to Reef) as an Adaptation Mechanism to Resiliency” at the Municipality of Lanuza, Surigao del Sur (Eastern Mindanao, Philippines)

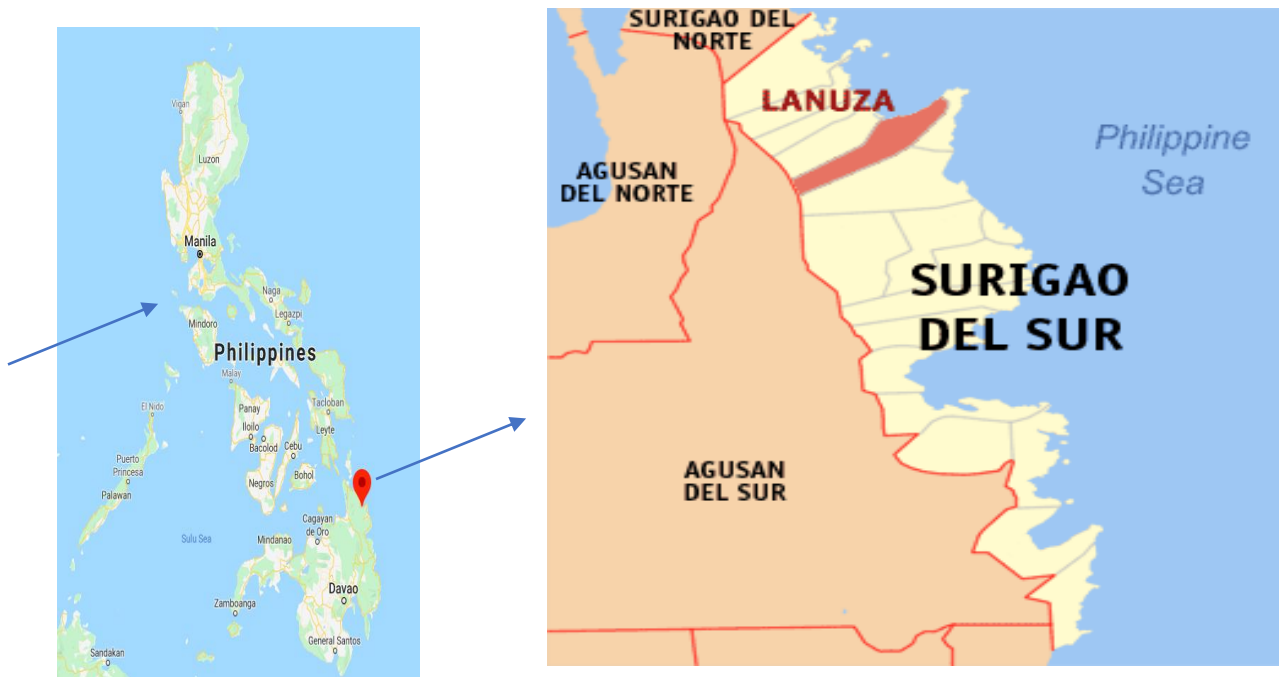


Figure 6: Location of Lanuza, Surigao del Sur (Source: Google Maps, 2019. maps.google.com; wikipedia.org)

This project with an allotted budget of around Php 40.0 million (roughly US\$ 800,000.00) is situated in a coastal town of Surigao del Norte, called Lanuza. With an estimated land area of 290.60 sq. km., Lanuza's residents are primarily dependent on agriculture, fishing and eco-tourism.

Due to its location in the eastern seaboard of Mindanao, Lanuza is highly vulnerable to tidal surges and tsunamis coming from the Pacific Ocean. Moreover, farmers and fisherfolks who are dependent on the land and the sea usually suffer from droughts, frequent flooding and sea level rise. Some people of Lanuza are likewise dependent on seasonal income from tourism during the November surf season when foreign arrivals causing local economy booms.

Lanuza's adaptation project entitled "Disaster Risk Reduction and Management Response (Ridge-to-Reef Approach) as Adaptation Mechanism to Resiliency," follows a holistic approach which integrates the entire landscapes and seascapes, i.e., looking at the mountains and terrestrial forests down to the river systems, going through mangrove areas, and finally ending in the coast lines to arrive at strategies for natural resource management while contributing to poverty reduction, creating sustainable livelihoods, and enhancing climate resilience. The project will benefit farmers, fisher folks and indigenous people who are mostly forest-dependent. The project have various but interconnected components: watershed management, ecosystem and forest management, livelihood programs and capacity development. Expected outcome is to enable people of Lanuza from adapting to the impacts of climate change in Lanuza's agricultural and forest lands while also strengthening their citizens' resilience by improving their existing sources of income from nipa sugar, wine-making and eco-tourism. (Martinez, 2016).

Adaptation Project 3: "Building Resilience through Ecological-Based Farming" at the Municipality of San Francisco, Camotes Islands, Cebu (Central Visayas, Philippines)

With an approximate budget of Php 38.2 Million (US\$ 764,000.00), this project is situated in the municipality of San Francisco, a third-class municipality in Camotes Islands, province of Cebu.

The Municipality of San Francisco is comprised of one main island and an islet. It is part of the Camotes Islands, which are geographically separated and accessible via a two-hour boat ride from the "mother province" of Cebu. A third-class municipality with 15 barangays (villages), this coastal town is home to about 13,000 households as of the 2015 census. (Bawagan, et al., 2015). Located in the Camotes Islands in northern Cebu, the Municipality of San Francisco is witness to more frequent and stronger typhoons in the last decades. Almost surrounded by

open sea, its population mainly depends on natural resources for livelihood, particularly through farming and fishing. When typhoons hit, the poor and vulnerable bears the brunt of the elements. San Francisco is primarily an agricultural town, and the majority of its citizens are fishermen, farmers, or self-employed in small-scale trading. Residents rely on largely on sustenance fishing and farming for food. (Cheng, 2019). Their livelihoods are severely impacted by extreme climactic events such as drought and flooding. The immediate concern is how to better manage water resource for agriculture especially during droughts and heavy rains.



Figure 7: Location of San Francisco, Camotes Islands, Cebu (Source: Google Maps, 2019. maps.google.com; wikipedia.org)

The expected output of the project includes a water governance mechanism through the establishment of Water Resource Development Management (WRDM), engaging water service providers and consumers particularly from the agricultural

sector and the local folks in puroks (small villages). The project likewise aims to capacitate and empower poor agricultural households through a program called Climate Resilient Family Farm Planning. The outcome expected is a climate-adaptive livelihoods through agriculture which is not only economically viable but also environmentally sustainable.

Adaptation Project 4: "Saub Watershed Ecosystem Rehabilitation and Flood Risk Reduction for Increased Resilience," Municipality of Maitum, Sarangani Province (Southern Mindanao, Philippines)

This project has a total budget of Php 104.0 M (about US\$ 2.0 Million). The locale of the project is the Municipality of Maitum, Sarangani Province in the southern part of the country. It is bordered on the West by the province of Sultan Kudarat, on the South by the Celebes Sea, on the north by the province of South Cotabato and on the east by the Municipality of Kiamba.

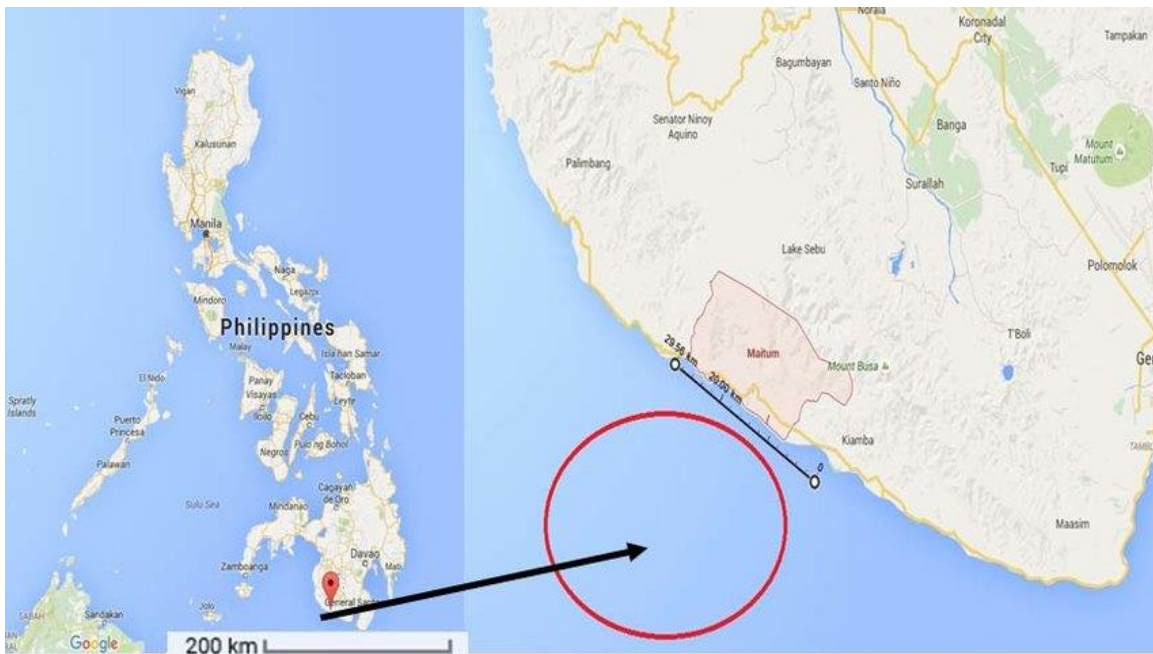


Figure 8: Location of Maitum, Sarangani Province (Source: Google Maps, 2019. maps.google.com)

With an estimated population of around 45, 000 as of the 2015 census, Maitum is a second-class municipality with 19 barangays largely thriving on agriculture. Due to its high level of rice production, it is often referred to as the "rice granary" of the Sarangani province. The municipality is likewise famed for its excellent aquaculture industry which serves as the second biggest income earner for the municipality.

During the past decade, Maitum experienced extreme floodings. The Sarangani Environmental Protection Center (ECPC) reported that flooding is the most

common hazard experienced by villages traversed by the Saub river which ultimately caused destruction to agriculture and structural properties and resulted to loss of lives. It estimated that around 10,001 hectares are highly prone to flooding, 5,881.65 hectares are facing moderate risk and 2,604.26 hectares with low risk.

This project aims to improve the resilience of Saub watershed ecosystem to floods and other associated risks caused by the impact of climate change. When implemented, the project will benefit nine agricultural villages with a total of 1,747 households living along the 100-meter riparian zone, which are placed at high risk exposure to flooding and other climate hazards.

Through partnerships with the Mindanao State University (MSU), Mahintana Foundation, Inc., and the Conrado and Ladislawa Alcantara Foundation, Inc. (CLAFI), the project's expected output are as follows: establishment of a watershed governance system; capacity-building program for the municipal government, development partners, beneficiaries and other stakeholders to adapt to flood risks and other impacts of climate change variability; and establishment of river bank protection mechanisms. Outcomes such as strengthened climate resilience of the municipality and poverty alleviation through agro-forestry development are envisioned in this project.

Adaptation Project 5: "Establishment and Sustainable Management of River Ecosystem in Kitcharao, Agusan del Norte," Municipality of Kitcharao, Agusan del Norte, (Southern Mindanao, Philippines)

The project is situated at the Municipality of Kitcharao, Agusan del Norte province. The municipality has a land area of 171.92 sq km and is home to about 19, 000 people (as of 2015 census) geographically spread to 11 barangays (villages).

The municipality is dependent on agriculture and fishing as livelihoods. One of the primary concerns has to do with the fishery resources, since majority of the lakeshore communities are dependent on fishing for their livelihoods. At present, it is not clear whether the fish catch is really declining, or whether the population of fishers in the area is simply too great for the lake to support.

Funded with approximately Php 28.7 Million (US\$ 574, 000.00), this project aims to build the resilience of the communities near the river ecosystem through sustainable management of the river and livelihood program. The project output includes aims a watershed management office, resource management capacity building program, livelihood programs, and construct settlement protection along riverbanks, all of which are expected to improve the adaptive capacity of lakeshore

villages and create a source of livelihood for its vulnerable populations which include farmers, fisher folks and indigenous people.



Figure 9: Location of Kitcharao, Agusan del Norte (Source: Google Maps, 2019. maps.google.com)

Adaptation Project 6: “Promoting Resiliency and a Climate-Informed Gerona” at the Municipality of Gerona, Tarlac (Central Luzon, Philippines)

This project is situated in Gerona, Tarlac. Gerona is one of the 17 agricultural towns of the province of Tarlac. It is bounded on the north by Paniqui; on the east by the Pura; on the south by Tarlac City (the provincial capital); and on the west by Santa Ignacia. The town is 73 km. from San Fernando City, the regional center; 50 km from Clark Special Economic Zone in Angeles City; and 139 km north of Metro Manila.

With an estimated population of about 88, 000 in 2015, Gerona is composed of 44 barangays, most of which are predominantly agriculture-based. Essentially an agricultural town, Gerona’s agricultural area is more or less 9,955 hectares or

70.37% of the total land area, approximately 4681.75 hectares of which is for rice production. Annually, Gerona produces an average yield of 2.83 metric tons. Root crops, corn, legumes and fruit vegetables are also being produced in the municipality. Sugar is also one of the primary crops produce by this municipality. As a major source of employment, agriculture accounts for 57% of the total labor force where half of these are seasonal workers. (Local Government of Gerona, 2019).



Figure 10: Location of Gerona, Tarlac (Source: Google Maps, 2019. maps.google.com; wikipedia.org)

Having said that, climate information is vital for the day-to-day farming activities of Gerona. However, it is hardly available or accessible to farmers. Farming communities can better adapt to the climate change impacts and manage climate risks if they are armed with skills, knowledge and information on different adaptation measures. Thus, access to appropriate technologies, and timely and

local climate forecast information is imperative for farming communities to manage the risks in agriculture brought by changing climate. To address these needs, the Municipality of Gerona in partnership with Rice Watch and Action Network (R1) and the Philippines Atmospheric and Geophysical Astronomical Services Administration (PAGASA), initiated the Climate-resiliency Field School (CrFS). The CrFS provides and shares information, including climate forecast and related information, farming knowledge, technologies and skills to build and strengthen the capacities of farmers.

The project aims to increase access of communities to climate information and warning services, enhance preparedness against climate-related hazards (i.e. drought, flooding), and improve Gerona's water resources leading towards sustainable development. When implemented, the project will benefit almost 60% of the population who are mostly farmers dependent on the production of the land.

Outcomes expected of this project better attuned climate-appropriate needs of farmers; people/community empowerment and climate change readiness as greater sensitization of its constituents on climate change enables them to seek regular climate/weather forecast to help them in their decision-making.

3.5. Why these Adaptation Projects?

These six PSF-funded projects were chosen for three good reasons. Firstly, they represent the entire samples of PSF-funded projects in the last seven (7) years since the enactment of the PSF law in 2012. Secondly, since they represent all PSF-funded projects they provide useful insights on the nature of projects approved by the PSF Board in the last seven years of its operations. Finally, lessons for good practices can be learned out of their existing operations.

It should be noted that these PSF projects were geographically scattered from the different parts of the Philippine archipelago and are therefore representative of the region or area where they are situated.

3.6. Data Sampling and Respondents

For the semi-structured interviews, the researcher used multi-level perspectives from both the national and local governments. A total of seven (7) interviewees took part in this study. Interviewees include the following: (i) one (1) representative from the Climate Change Commission (CCC); (ii) one (1) representative from the Department of Environment and Natural Resources (DENR); (iii) two (2) representatives each from the local government units of

Gerona (successful case) and municipality with an unsuccessful project proposal; and (iv) one (1) representative from the farmers’ organization. Apparently, the researcher used purposive sampling inasmuch as the purpose of the semi-structured interview is to obtain in-depth insights from a group of people who has specialized and personal information about the PSF and adaptation projects subject of the interview. The matrix below aptly shows the breakdown:

Participants in the Semi-Structured Interview	Number of Participants
Representative from the CCC	1
Representative from the DENR	1
Representative from Gerona local government unit	2
Representative from the municipality with unsuccessful project proposal	2
Representative from the farmers’ organization	1
Total	7

Two focus group discussions (FDG) was conducted: the municipality of Gerona (with successful PSF-funded project) and with another municipality with an unsuccessful PSF project proposal. Each FDG session is composed of ten (10) members, broken down as follows: two (2) local government unit officials; four (4) representatives fisher folks and farmers; two (2) from the women sector; one (1), business sector; one (1), indigenous people. As per request of the informants of the LGU with unsuccessful project proposal, the identity of the municipality was kept in anonymity and confidentiality and will therefore referred to them in general sense. Purposive sampling is likewise used in this study since the nature of data sought to be obtained is qualitative rather than quantitative and individuals who took part in the FGDs basically fit the source of information sought in this study. The matrix below aptly shows the breakdown:

FGD Participants	Number of Participants
Representative from the target municipalities (Gerona and the municipality with unsuccessful project proposal)	2
Representative from fisher folks and farmers	4
Representative from women sector	2
Representative from the business sector	1
Representative from the Indigenous People’s group	1
Total	10

For the survey questionnaire, a total of sixty (60) respondents from a mixed group of respondents from all the six (6) municipalities with PSF-funded projects took part in this study. There were ten (10) respondents from each municipality, the composition of which are as follows: two (2), local government unit; four (4), for target beneficiary-stakeholders such as farmers and fisher folks; two (2) for women; two (2) indigenous people. The researcher used convenience sampling for this purpose which should be mentioned here as one of the study's delimitations. Though not strictly representative of the samples, they provide insights specific for the purpose of this study. The matrix below aptly shows the breakdown:

FGD Participants	Number of Participants
Municipality of Gerona	10
Municipality of Del Carmen	10
Municipality of Lanuza	10
Municipality of Maitum	10
Municipality of San Francisco	10
Total	60

CHAPTER 4

RESULTS, ANALYSIS, DISCUSSION AND IMPLICATIONS

This chapter presents the results gathered from the data collection phase of this research. The findings are intended to address the objectives posed at the outset of the study.

Consistent with the objectives sought to be addressed by this study, this chapter follows the following logical progression:

Firstly, the chapter discusses the strengths and success of the People's Survival Fund as a policy per se in the national level.

Then the discussion proceeds on the main barriers or problems encountered in the implementation and delivery of the PSF in three-pronged perspectives: policy, institutions and operations.

Finally using case studies, the chapter proceeds on discussing the reasons for success and failures of certain municipalities in accessing the PSF.

4.1. STRENGTHS AND SUCCESS OF THE PEOPLE'S SURVIVAL FUND AS POLICY PER SE IN THE MACRO-LEVEL

The People's Survival Fund can be regarded as a landmark policy on climate change in the Philippines. The researcher identified the strengths of the People's Survival Fund as a policy per se in the national level, to wit: it is a policy that exists around a conducive policy constellation rather than one existing in isolation; in the main, it is compliant on the principles of good climate finance governance; and fundamental institutional architecture and processes are in place at the national level.

4.1.1. The PSF operates around a conducive legal-policy ecosystem at the macro-level

A conducive legal and policy environment exist for climate change adaptation initiatives. Apparently, the People's Survival Fund is embedded in a constellation of policy and legal environment that provides an enabling ecosystem for the implementation of climate change adaptation actions. Based on the national-level documents analyzed in this study, there were already several laws that have been passed by the Philippine Congress that are relevant to climate change adaptation

prior to the enactment of the People’s Survival Fund Law and the Climate Change Act of 2009 into laws.

Among these policies and legal framework which have substantial provisions on climate change adaptation are summarily presented in Table 1 **(see also Appendix H for comprehensive tabular presentation)**

Table 1. A summary of national-level plans, strategies and legislations reviewed related to climate change adaptation

National-Level Legal/Policy Documents	Relevant Provisions on Climate Change Adaptation
Philippine Development Plan 2017-2022	Provides for the strategies to increase adaptive capacities and resilience of ecosystems, to wit: (1) strengthen the implementation of climate change adaptation and disaster risk reduction across sectors, particularly at the local level; (2) strengthen institutional response to disasters; and (3) strengthen the monitoring and evaluation of the effectiveness of climate change and disaster risk reduction and management actions.
National Climate Change Action Plan (NCCAP)	This outlines the specific programs and strategies for adaptation and mitigation for 2011 to 2028. The plan also provides for the priority areas for climate change adaptation actions: (i) food security; (ii) water sufficiency; (iii) ecological and environmental stability; (iv) human security; (v) climate-friendly industries and services; (vi) sustainable energy; and (vii) knowledge capacity and development.
National Framework Strategy on Climate Change (2010-2022)	Provides for a climate risk-resilient Philippines with a healthy, safe, prosperous, and self-reliant communities, and thriving and productive systems through building adaptive capacity of communities and increase the resilience of the natural ecosystems to climate change, and optimize mitigation opportunities towards sustainable development
Climate Change Act of 2009 (Republic Act 9729)	Provides for the creation of Framework Strategy and Program on climate change which shall be formulated based on climate change vulnerabilities, specific adaptation needs and mitigation potential, and in accordance with the international agreements. One of the components of this Framework Strategy is impact, vulnerability and adaptation assessments. It also provides for the creation of the National Climate Action Plan one of the components of which is the identification of options, prioritization of appropriate adaptation measures for joint projects of national and local governments.
Philippine Disaster Risk Reduction and Management Act of 2010 (RA 1021)	Provides that the NDRRMC shall formulate and implement a framework for climate change adaptation and disaster risk reduction and management from which all policies, programs, and projects shall be based in coordination with the Climate Change Commission.

The Philippines is one of the first countries to acknowledge the significance of systematic institutional response to climate change. In particular, the country has enacted six (6) legislations that have bearing with climate change and at least three (3) legislations intended for climate change adaptation. Looking at the full legislative and executive portfolio of laws and policies relevant to climate change, the Philippines has a total of 6 laws and 10 climate policies (Grantham Research Institute on Climate Change and Environment, 2019). With that said, the climate change governance architecture in the Philippines includes impressive legislative and institutional components such as the Climate Change Act (the second worldwide, after the UK; Grantham 2018), the National Climate Change Action Plan (NCCAP) and the Climate Change Commission (CCC), achieved through national efforts and with international support. **(see Box 1, for the portfolio of laws, policies and legal framework of climate change in the Philippines).**

The country established an Inter-Agency Committee on Climate Change as early as 1991. In fact, it was among one of the first to set up a national committee dedicated to climate change prior to the ratification of the UNFCCC.

The National Climate Change Action Plan (NCCAP) provides the roadmap for long-term climate change actions across all levels of government. The Plan is partitioned into three six-year phases, aligned with the National Disaster Risk Reduction and Management Plan, the Philippine Development Plan (PDP) and the Philippines' electoral and planning cycles (Shrivastava, 2014).

Interestingly, next to the United Kingdom, the Philippines is second worldwide to adopt a climate change law through the passing of the 2009 Climate Change Act, or Republic Act 9729 (Republic of the Philippines 2009), a law that introduces legally binding national legislation to tackle climate change (Grantham 2018). The Act provided for the creation of Climate Change Commission (CCC) as the sole policy-making body tasked to coordinate, monitor and evaluate national climate change responses. It also laid the foundation for the development of the National Framework Strategy on Climate Change (NFSCC, 2010-2022) and the National Climate Change Action Plan (NCCAP, 2011-2028).

The Philippine Congress subsequently enacted the 2010 Philippine Disaster Risk Reduction and Management Act (PDRRM) a year after it passed into law the Climate Change Act. The PDRRM Act provides for "the full participation of the [LGUs] and communities in governance" (Grantham 2010) and instructs the local government units (LGUs) to establish Disaster Risk Reduction Management (DRRM) offices. Both the PDRRM and Climate Change Act put premium to adaptation as a mechanism for addressing climate-related disaster risk; hence, fostering the convergence of DRRM and adaptation at the policy level (The World Bank 2013).

Box 1. Philippine’s Legal-Policy Framework and Institutional Architecture of Climate Change

<p>Legislative framework</p> <ul style="list-style-type: none"> • Renewable Energy Act (2008) • Climate Change Act (2009) and its amendments (2012) • Philippine Disaster Risk Reduction and Management Act, PDRRM (2010) • People’s Survival Fund Act (2012) • Green Jobs Act (2016) 	<p>Institutional architecture</p> <ul style="list-style-type: none"> • Climate Change Commission, CCC (2010) • Climate Finance Group (2012) • Cabinet Cluster on Climate Change Adaptation and Mitigation and Disaster Risk Reduction, CCCAM-DRR (2011, respectively 2017) • People’s Survival Fund Board
<p>Policy framework</p> <ul style="list-style-type: none"> • Philippine Development Plan, PDP (2011-2016) • National Framework Strategy on Climate Change, NFSCC (2010-2022) • National Urban Development and Housing Framework, NUDHF (2017-2022) • National Climate Change Action Plan, NC-CAP (2011-2028) • Local Climate Change Action Plans, LCCA 	<p>Climate finance mechanisms</p> <ul style="list-style-type: none"> • Climate Change Expenditure Tagging (CCET): 5.5 per cent of domestic budget was spent on climate change related investments in 2016 and 6 per cent in 2017 (DBM and CCC 2017). • The PSF is a national fund designed to finance climate change adaptation actions by LGUs and accredited community organisations. • The CCC serves as the focal point for the Green Climate Fund (GCF) and the Department of Environment and Natural Resources (DENR) for the Adaptation Fund.

Source: Adreas, et al., 2018

The evolution and development of policy and legal framework that paved the way for the enactment of People’s Survival Fund was evidently a product of consistent due regard and importance being given by the Philippine government to its constitutional mandate to provide for a healthful ecology to the people as mandated by the 1987 Philippine Constitution. It is therefore fair to argue that the People’s Survival Fund Law is not a policy in isolation, but a policy that is embedded in an existing policy constellation. It is situated within a cluster of legal and policy

The results of the word cloud output were affirmed by the word frequency table output from QSR Nvivo (Table 2).

As shown in Table 2, the word *climate* is mentioned 1, 214 times (1.78%); *change*, 850 times (1.25%); *development*, 626 times (0.92%); *national*, 493 times (0.72%); *government*, 462 times (0.68%); *management*, 415 times (0.61%); *local*, 407 (0.60%) and *adaptation*, 358 (0.53%).

Apparently, *climate change* and *adaptation* are among the most frequently mentioned words in the policy documents. The role of the government and management in both national and local are likewise stressed in these documents. *Adaptation* is therefore given high premium in the existing policies of the Philippine government. Interestingly, *mitigation* did not turn out to be among the top ten (10) words in the policy documents analyzed. This appears to confirm the policy shift inclination and climate change policy priority bias of the Philippine government from mitigation towards adaptation.

Table 2
Most Frequently Occurring Words in the National-Level Documents

Word	Length	Count	Weighted Percentage
climate	7	1,214	1.78%
change	6	850	1.25%
development	11	626	0.92%
national	8	493	0.72%
government	10	462	0.68%
management	10	415	0.61%
local	5	407	0.60%
adaptation	10	358	0.53%
water	5	341	0.50%
risk	4	325	0.48%
energy	6	308	0.45%
disaster	8	291	0.43%
resources	9	282	0.41%
plan	4	273	0.40%
capacity	8	247	0.36%
commission	10	238	0.35%
areas	5	229	0.34%
agencies	8	224	0.33%
program	7	223	0.33%
sector	6	222	0.33%

(Source: Word Frequency Query Summary. QSR NVivo.12 output)

The word *adaptation* is a dominant discourse in most of the documents analyzed. As shown in Table 2, the word *adaptation* is mentioned in varying contexts in both the Climate Change Act of 2009 and the People’s Survival Fund Law. In one context, *adaptation* is mentioned in collocation with "*mitigation.*" In another

context, *adaptation* is mentioned alongside with the words "*planning,*" "*assessment,*" "*project,*" "*capacity building,*" "*initiatives and activities,*" among other contexts.

The following word tree query using Nvivo 12 (Figure 6) provides the readers an idea how the word *adaptation* is used in context in the People’s Survival Fund Law:

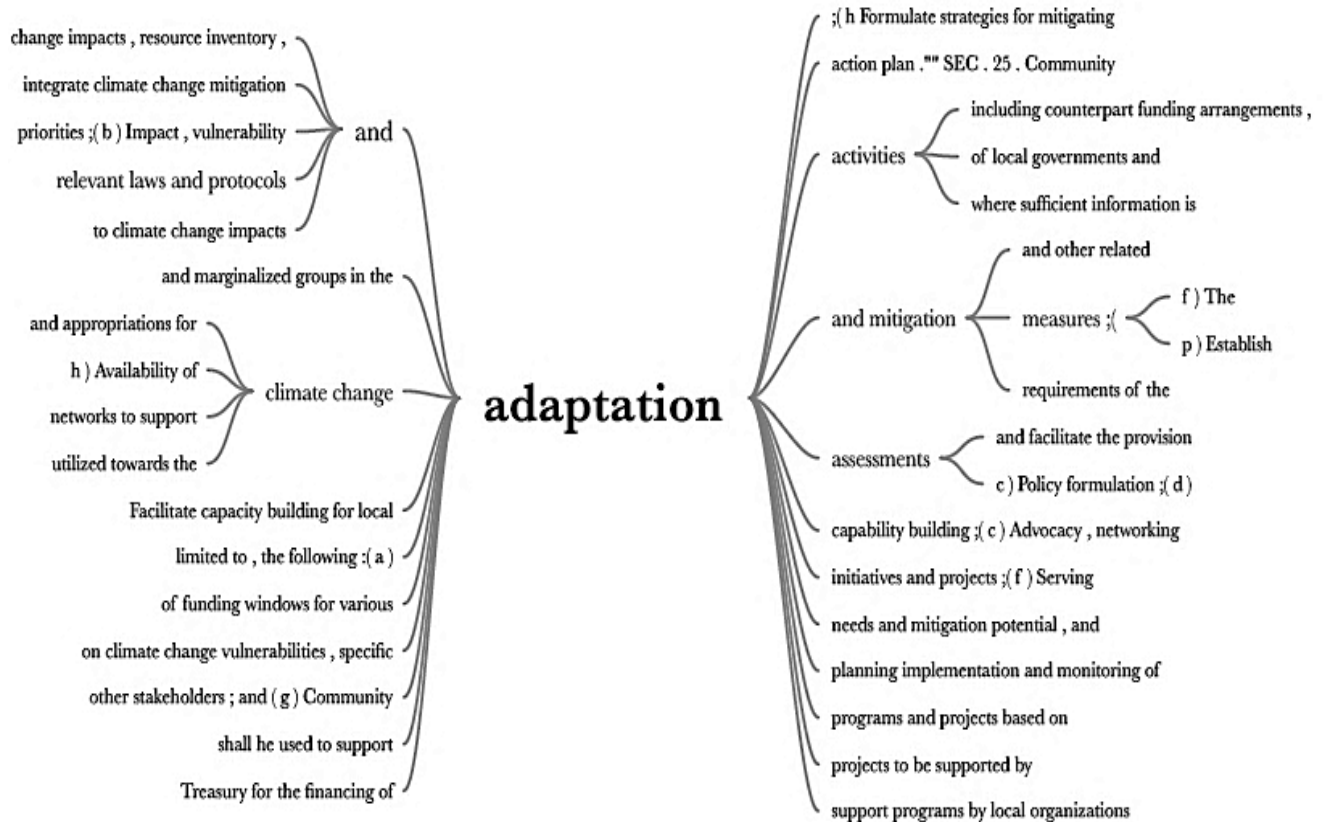






Figure 11b. Word Tree Output for "Adaptation" (Source: Word Tree Query. QSR NVivo.12 output)




4.1.2. The PSF is generally compliant on the principles of good climate adaptation finance governance

In summary, the PCI Framework Analysis disclosed that the People’s Survival Fund Law and related issuances are compliant in terms of the principles of ease of implementation, coherence and legitimacy. However, it could be noted that in terms of transparency, the policy is merely partially compliant (**see Table 3**). The researcher used the PCI Approach (Principles, Criteria and Indicator) in assessing the effectiveness of the People’s Survival Fund. Adopted from Bird, et al

(2013), the PCI framework comprises of principles (fundamental laws or truths, expressing a core concept), criteria (operational standards by which to judge the principles) and indicators (information to measure or describe observed trends) (Prabhu et al., 1996). This framework attempts to capture what good governance in the sphere of climate change public financial management should look like (Bird, 2013). The evaluation framework as spelled out in Appendix F was applied to the national level documents that include two (2) national plans, three (3) national strategies, three (3) legislations and two (2) administrative issuances (**see also Appendix I for detailed presentation**)

Table 3. Summary Result of PCI Framework Climate Change Policy Assessment

PCI Principles	Assessment	Policy Gaps
Ease of implementation		Subsidiary instruments (NCCAP, NFSCC, PSCCA) lacks details on budgeted cost and source of fund for the envisioned objectives
Legitimacy		---
Coherence		---
Transparency		No mechanism through which the public can monitor projects approved for lack of public database

Legend: NOT COMPLIANT:  PARTIALLY COMPLIANT:  COMPLIANT: 

As shown in Table 3, in terms of ease of implementation, the policy objectives of the PSF Law alongside with related documents are clearly articulated. The State’s twin policy objectives of mitigation and adaptation are explicitly mentioned in Section 2 of the Climate Change Act of 2009 (RA 9729) and Section 1 of the People’s Survival Fund Law (RA 10174). National policies are facilitated through the development of subsidiary instruments that detail what is needed to achieve policy goals. The National Climate Change Action Plan, the Local Climate Change Action Plan, the Philippine Strategy for Climate Change Adaptation and the People’s Survival Fund Manual are among the subsidiary instruments which detail how the policy objectives are to be achieved. These documents are legally gazetted. While these documents provide for the priority programs and the specific strategies in

general, they lack detail on the budgeted cost and expected sources of fund as guide for implementation.

As can be further gleaned in Table 3, in terms of legitimacy, key stakeholders' interests are represented in policymaking processes. The Climate Change Commission is tasked as the lead policy-making body of the government, which will coordinate, monitor and evaluate the programs and action plans of the government in order to ensure the mainstreaming of climate change into the national, sectoral and local development plans and programs. It is an intergovernmental, multi-sectoral body that provides representation from the executive departments, local government units, academe, private sector, women sector, and the civil society (Section 5, RA 10174). In the formulation of the Climate Change Act of 2009 and the People's Survival Fund Law, explicit references to such concepts as climate justice, Common but Differentiated Responsibilities, Precautionary Principle, United Nations Framework Convention on Climate Change (UNFCCC) were made in Section 2 of the law. The same can be commented on the formulation of the National Climate Change Action Plan where policy think tanks and research institutions provide evidence-based analysis. This is evident in the following: along the area of food security (studies from National Economic Development Authority, UNDP, etc.); water sufficiency (references were made on studies conducted by NEDA and the Greenpeace); sustainable energy (reference to a study conducted by the Renewable Energy Coalition (page 28).

In terms of coherence, policy statements on climate change acknowledge national development policies. The People's Survival Fund Law acknowledges sustainable development as a national development goal. Under Section 2 (Declaration of Policy) of RA 10174, the State *espouses sustainable development, to fulfill human needs while maintaining the quality of the natural environment for current and future generation*. Moreover, climate change actions are consistent with strategies and planning processes for national development. The National Framework Strategy for Climate Change (2010-2022) in its Framework Context declares that the document *shall guide the national and subnational development planning processes, specifically the formulation of the Medium Term Development Plan (MTDP), Medium Term Public Investment Program (MTIP), Medium Term Regional Development Plan (MTRDP), Medium Term Regional Public Investment Program (MTRIP), etc.* (National Framework Strategy on Climate Change, page 8).

Finally, as shown Table 3, in terms of transparency, the law itself, the People's Survival Fund Law, does not have mechanisms and modalities through which transparency in the process of approving project proposals are done but the Climate Change Commission published a handbook containing relevant information about the fund. However, there is no mechanism through which the public could monitor the approval and delivery of the fund as there is no public database about

projects approved, budget allocated, their status of completion, etc. Hence, along this aspect, the PSF and other relevant policies are merely partially compliant.

Over-all, the existing policy for the implementation and delivery of the People's Survival Fund is "compliant" with the concept of good governance in public financial management system, at least on the basis of the People's Survival Fund Law and issuances related to its implementation.

4.1.2.1. All six PSF-funded projects are generally compliant on the principles of good climate adaptation finance governance

After analyzing the PSF policy using the PCI Framework, the researcher applied this framework analysis to the six (6) PSF-Funded Projects. **(see also Appendix J for detailed presentation)**

Over-all, the analysis disclosed that all the six PSF-funded projects are generally compliant with the principles of good governance saved on the principle of transparency **(see Table 4 below)**.

Common among all the six projects are the following attributes:

- (i) In terms of the principle of ease of implementation, all the six projects have clearly specified and defined objectives with timeline clearly indicated; subsidiary instruments like the Local Climate Change Action Plan (LCCAP) are likewise present in all the projects. This LCCAP is based upon science-based reasoning drawn from a vulnerability or risk assessment document.
- (ii) In terms of the principle of legitimacy, all the six projects were products of participatory process of key stakeholders. Apparently, since majority of the projects involve food security (agriculture), environmental sustainability (ecosystem) and water sufficiency, majority of the stakeholders are farmers, fisher folks or indigenous people dependent upon the land and the forest ecosystem for their livelihood. Moreover, almost all the PSF-funded projects forged partnerships either with a civil society organization and the academe for purposes of implementing the project. Meaningful, inclusive and the participatory nature of stakeholder engagement lends credibility, legitimacy and sense of ownership by the local communities of the climate adaptation project.

- (iii) In terms of principle of coherence, all the six projects support one or more of the priority areas of the national government as spelled out in the National Climate Change Action Plan (NCCAP).
- (iv) In terms of the principle of transparency, majority of the six projects do not have publicly available data for public project monitoring.

Table 4. Summary result of PCI Framework Analysis of the PSF Funded Projects (see also Appendix J)

PSF-Financed Adaptation Projects	Principles of good governance				Assessment
	Ease of Implementation	Coherence	Legitimacy	Transparency	
Siargao Climate Field School for Farmers and Fisherfolk					COMPLIANT
Disaster Risk Reduction & Management (Ridge to Reef) as an Adaptation Mechanism to Resiliency					COMPLIANT with all the principles except on transparency
Building Resilience through Ecological-Based Farming					COMPLIANT with all the principles except on transparency
Saub Watershed Ecosystem Rehabilitation and Flood Risk Reduction for Increased Resilience					COMPLIANT with all the principles except on transparency
Establishment and Sustainable Management of River Ecosystem in Kitcharao, Agusan del Norte					COMPLIANT with all the principles except on transparency
Promoting Resiliency and a Climate-Informed Gerona					COMPLIANT

4.1.3. The PSF established fundamental institutional architecture and processes at the national level

The Policy Triangle Analysis (**see Appendix K for a comprehensive discussion**) revealed that the architectural governance of the People’s Survival Fund can be characterized as multi-level and polycentric in nature. The PSF law clearly provides for this institutional structure. Climate governance in the Philippines is multi-level since both the national and sub-national governments have duties and mandates to perform defined under the law. Moreover, PSF’s governance is polycentric since various agencies, sectors and institutions have roles to play in climate change adaptation actions. The Climate Change Commission, for one, is composed of representatives from various agencies of the government. The same can be commented on the composition of the People’s Survival Fund Board (**see Figure 12 below**). Being inter-departmental, representatives from Budget and Management, Environment, Interior and Local Government, Economic and Development Authority, Finance, among other agencies of the government. It is also multi-sectoral since representatives from the women, private/business, academe and civil society are likewise represented in the CCC and PSF Board.

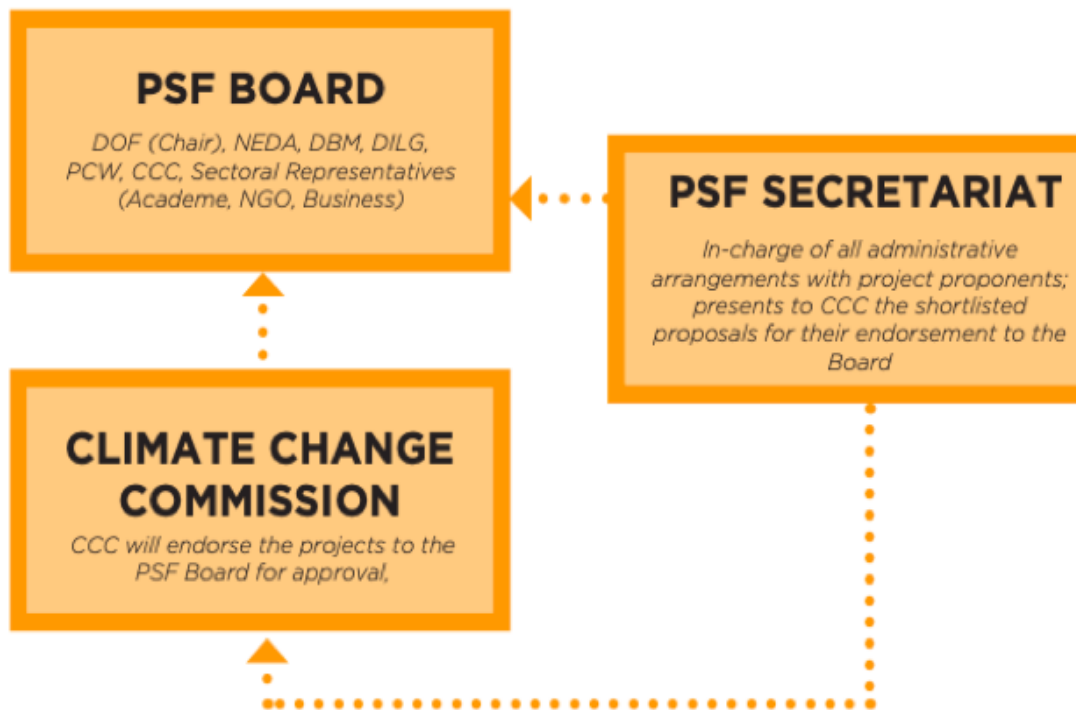


Figure 12. PSF Institutional Chart (Source: Climate Change Commission, 2019)

The PSF policy likewise established the processes involved before, during and after the approval of adaptation project. Funding decision as defined in the PSF Law is collegial and democratic in character. Moreover, criteria for screening project proposals are highly objective, which makes the approval process less susceptible to politicization.

Finally, disbursement and expenditure of fund is strictly subjected to government accounting and auditing procedures through the Commission on Audit, which lends strict fiduciary standards in the process.

Figure 13 reveals the systematic but typical approval process of project proposal.

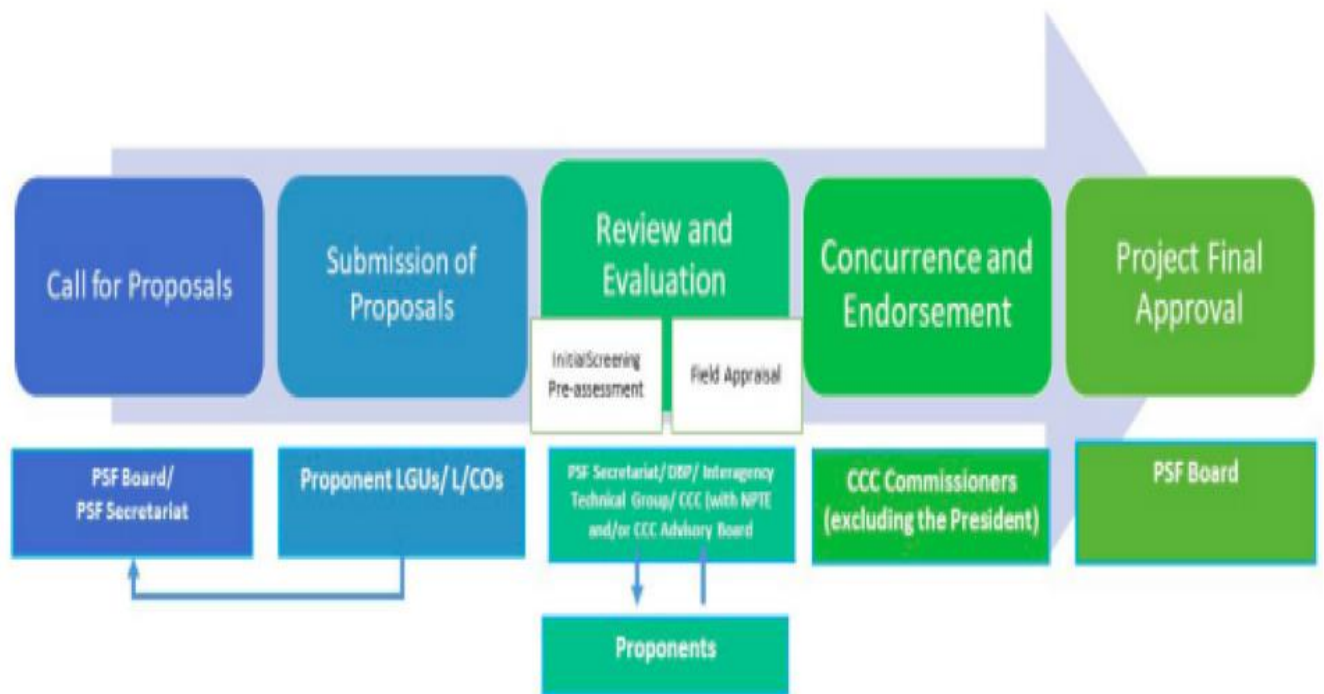


Figure 13. Application Process Flow Chart (Source: Climate Change Commission, 2019)

An interview with a representative from the Climate Change Commission reveals that *"during the pre-approval phase of the project, the Climate Change Commission and PSF Secretariat are the two institutions involved. The PSF Board which composed of representatives from various agencies of the government such as the Department of Finance, Department of Budget and Management, National Economic Development Authority, the Department of Environment and Natural Resources, to mention a few decides whether to fund the project or not. When the PSF Board decides to fund the project, the project proponent coordinates with*

the financial conduit where the funding is channeled (i.e., the Development Bank of the Philippines). The Commission on Audit is likewise involved during the disbursement and liquidation of the budget.”

The researcher analyzed the PSF policy using the PCI Framework Analysis for institutional arrangement **(see Appendix L for detailed tabular presentation)**.

Summarized results in Table 5 disclosed that the existing institutional architecture and processes in the implementation and delivery of the PSF are generally compliant in all three principles: leadership coordination, innovation and improvisation and response to local needs of institutions, hence:

Leadership Coordination. In terms of leadership coordination, the national response to climate change in terms of climate finance delivery is established within the government administration. Section 10, Executive Order No. 43 provides for the Cabinet Cluster on Climate Change Adaptation and Mitigation as the one taking the lead in pursuing measures to adapt to and mitigate the effects of climate change on the Philippine archipelago; and undertake all the necessary preparation for both natural and manmade disasters. The Climate Change Commission serves as the Secretariat of the cluster. It is specifically identified under Philippine laws (Climate Change Act of 2009 and Republic Act 10174) as the lead institution that determines climate finance delivery in the Philippines, more specifically so in climate change adaptation finance. The Commission serves as the lead policy-making body of the government, tasked to coordinate, monitor and evaluate the programs and action plans of the government in order to ensure the mainstreaming of climate change into the national, sectoral and local development plans and programs. The Climate Change Commission is tasked to develop a National Climate Budget Document based on CC expenditure tagging of the NGAs in the approved government appropriations act (GAA). Its scope is limited to characterizing the approved budget and towards assessing the climate allocation decisions of the Government in relation to its stated policies and plans.

Innovation and Improvisation. In terms of innovation and improvisation, the national response to climate change facilitates the adoption of change and promotes innovation through new institutional arrangements. The Commission developed a National Framework Strategy on Climate Change in 2010 and a National Climate Change Action Plan in 2011. The Framework Strategy serves as a roadmap for increasing the country’s social and economic adaptive capacity, the resilience of its ecosystems, and the best use of mitigation and finance opportunities. The Action Plan, finalised in November 2011, outlines programmes of action for climate change adaptation and mitigation. It identifies the communities and areas most vulnerable to adverse impacts and considers

differential impacts on women, children and marginalised populations. Just lately, the Climate Change Commissions came up with several handbooks in order to address the information gap on the People's Survival Fund, to wit: People's Survival Fund Brochure and People's Survival Fund Proponent's Handbook: A Guide on How to Access the People's Survival Fund.

Response to Local Needs of Institution. Institutional arrangements respond and adapt to local needs. This is done by directing the funding to local climate change institutions within the national budgetary system. Section 20 of the People's Survival Fund Law provides that *the fund shall be used to support adaptation activities of local governments and communities. The fund shall be suppletory to any annual appropriations allocated by relevant government agencies for climate change-related programs and projects and by LGUs. The fund shall also encourage counterpart funding arrangements among local governments, community organizations, the private sector, and other entities.*

Table 5

**Assessment of the People’s Survival’s Fund Using the PCI Framework
for Institutional Architecture and Processes**

Criteria	Indicators	Assessment	Remarks
Principle # 1: Leadership coordination (National Mechanism of Coordination in Climate Finance Delivery)			
Leadership of the national response to climate change in terms of climate finance delivery is established within the government administration.	The national lead institution has the mandate to determine or advise on what constitutes climate finance.	Section 10, Executive Order No. 43 provides for the Cabinet Cluster on Climate Change Adaptation and Mitigation as the one taking the lead in pursuing measures to adapt to and mitigate the effects of climate change on the Philippine archipelago. In conjunction to this, the Climate Change Commission is specifically identified under Philippine laws (Climate Change Act of 2009 and Republic Act 10174) as the lead institution that determines climate finance delivery in the Philippines.(Section 3, Republic Act 10174)	COMPLIANT
	The national lead institution provides specific inputs and guidance into the budget process and the budget on what constitutes climate finance.	Inputs and guidance on what constitutes climate finance are provided by the Climate Change Commission (CCC) in coordination with the Department of Budget and Management (DBM). The DBM, together with the CCC, established a common framework for identifying and tagging climate change expenditures across all NGAs through the Climate Change Expenditure Tagging (CCET).	
Key stakeholders know the roles actors play in the delivery of climate finance	All mandated national institutions report their expenditures on climate change activities each financial year.	The Climate Change Commission (CCC) and the Department of Budget and Management (DBM) issued a Joint Memorandum Circular (JMC) 2013-01 on December 27, 2013 amended to JMC 2015-01 on March 24, 2015, which mandates National Government Agencies (NGAs), Government-Owned and Controlled Corporations (GOCC) and State Universities and Colleges (SUCs) to track their climate change expenditures in their budget submission using the Climate Change Expenditure Tagging (CCET) Guidelines.	COMPLIANT
Other actors within the policy making process	Relevant actors provide opportunities (presentation of	Section 11 of RA 10174 specifically provides for “coordination with various sectors: <i>non-government organizations (NGOs), civic</i>	COMPLIANT

outside government (e.g. the legislature, party-governing committees) review and challenge policy.	memoranda, petitions, convening of public hearings) and encourage non-state actors working on climate change to present their voices.	<i>organizations, academe, people's organizations, the private and corporate sectors and other concerned stakeholder groups xxxx"</i>	
Institutional arrangements are in place for inter-agency collaboration	Mechanisms for inter-agency collaboration between climate change institutions and other national institutions can be identified.	<i>Institutional arrangements for inter-agency collaborations are specifically identifiable in Section 10, RA 10174.</i>	COMPLIANT
	Reports on inter-agency collaboration and climate financed activities are available to the public.	The Climate Change Commission (CCC) is spearheading several activities concerning climate change in partnership with different government agencies – national and local, development partners, and civil society organizations.	COMPLIANT
Principle # 2: Innovation and Improvisation (Ability to change and innovate of institutions)			
The national response to climate change facilitates the adoption of change and promotes innovation.	New institutional arrangements are established as demand occurs through appropriate policy, administrative or political action (e.g. through the production of national strategies and action plans).	The Commission developed a National Framework Strategy on Climate Change in 2010 and a National Climate Change Action Plan in 2011. Just lately, the Climate Change Commissions came up with several handbooks in order to address the information gap on the People's Survival Fund, to wit: People's Survival Fund Brochure and People's Survival Fund Proponent's Handbook: A Guide on How to Access the People's Survival Fund.	COMPLIANT
Principle # 3: Response to local needs of institutions			
Institutional arrangements respond and adapt to local needs.	Funding is directed to local climate change institutions within the national budgetary system.	Provisions for funding is clearly provided for under Sections 18 and 20 RA 10174, to wit: General Appropriations Act (Php 1 billion, around US\$23 million), <i>donations, endowments, grants and contributions, shall be used to support adaptation activities of local governments and communities</i>	COMPLIANT

4.1.3.1. All PSF-funded projects generally operate on the good principles of institutional architecture and processes

Applying the PCI Framework Analysis of Institutional Architecture and Processes to all six (6) PSF-Funded Projects **(see Table 6 for the summarized results; see also Appendix M for detailed tabular presentation)**, findings reveal that all the six (6) projects are “compliant” to the principles of leadership coordination, innovation and improvisation and response to local needs. Notably, there are common denominators across these different projects which probably explains the success of these projects in having been approved for funding and implementation by the PSF Board, to wit:

- (i) In terms of leadership coordination all the proponent local government units with PSF-funded project put in place a dedicated Implementing Unit which serves as a focal entity in planning, organizing, staffing and executing the project. This implementing unit serves as the project management office that oversees that implementation of the project;
- (ii) In terms of innovation and improvisation, majority of LGU’s with PSF-Funded projects worked in planning, preparing and implementing the climate adaptation project in partnership either with an academic community or a civil society organization in order to leverage upon the technical know-how and expertise of these sectors
- (iii) Finally, in terms of response to local needs (localized institutionalization), almost all of the projects funded by PSF allotted counterpart funding either for the actual implementation of the project or for the continuous operation and long-term sustainability of the project which is made possible through integration of such counterpart funding in the LGU’s Annual Investment Plan; finally, all the PSF-funded projects reflect the actual and felt needs of the immediate locality they serve; the project is not merely an adaptation project, but an endeavor with social purpose.

Table 6

PCI Framework Analysis of Institutional Architecture and Processes of PSF-Funded Projects

PSF-Funded Project	Analysis	Assessment
Siargao Climate Field School for Farmers and Fisherfolk	<p>Leadership Coordination. The project has a lead focal unit that takes charge of the implementation of the project. The LGU has adopted an Executive Order (EO) for the Project Implementation Unit, which is tasked to monitor the implementation of the project.</p> <p>Innovation and Improvisation. Consultations with other projects for further inputs were solicited, which include: (i) Project SARAI (Smarter Approaches to Reinvigorate Agriculture as an Industry in the Philippines); and (ii) Monitoring and Detection of Ecosystems Changes for Enhancing Resilience and Adaptation in the Philippines (MODECERA) Project</p> <p>Localized Institutionalization. To ensure the financial sustainability of the project after PSF funding, the LGU and the SSCT included the maintenance and operations of the project in their Annual Investment Plan.</p>	COMPLIANT
Disaster Risk Reduction & Management (Ridge to Reef) as an Adaptation Mechanism to Resiliency	<p>Leadership Coordination. An executive order creating the Project Implementation Unit has been issued, which will oversee and monitor the project. Implementing partners include NGAs such as NCIP & DENR who will be complementing the project implementation.</p> <p>Innovation and Improvisation. The LGU of Lanuza facilitates the adoption of changes and promotes innovation through institutional arrangements.</p> <p>Localized Institutionalization. The project is responsive to local needs: management of their watersheds, ecosystem, and forests, plus livelihood programs and capacity development.</p>	COMPLIANT
Building Resilience through Ecological-Based Farming	<p>Leadership Coordination. The LGU created a Project Implementation Unit which will oversee and supervise the implementation of the project. The implementation of this project is in partnership with Philippine Partnership for the Development of Human Resources in Rural Areas, a non-governmental organization</p> <p>Innovation and Improvisation. The system builds on existing indigenous social organization for mobilizing resources. It uses the purok system in mobilizing action for the project. (UNISDR, n.d.).</p> <p>Localized Institutionalization. San Francisco is primarily an agricultural town, and the majority of its citizens are fishermen, farmers, or self-employed in small-scale trading. The institutional arrangements made by the LGU to agencies and non-governmental organization is responsive to their local needs.</p>	COMPLIANT
Saub Watershed Ecosystem Rehabilitation and Flood Risk Reduction for Increased Resilience	<p>Leadership Coordination. The provincial government of Sarangani has forged a partnership with the state-run Mindanao State University (MSU) and two non-government organizations (Mahintana Foundation, Inc. and Conrado and Ladislawa Alcantara Foundation, Inc. (CLAFI))</p> <p>Innovation and Improvisation. Provision for counterpart funding of the provincial government</p>	COMPLIANT

	Localized Institutionalization. The creation of a watershed governance system addresses the perennial problem on flooding of the town	
Establishment and Sustainable Management of River Ecosystem in Kitcharao, Agusan del Norte	<p>Leadership Coordination. The project is under the control and supervision of a dedicated Implementation Unit created by the LGU of Kitcharao.</p> <p>Innovation and Improvisation. To ensure the sustainability of the project, the LGU of Kitcharao allotted a maintenance fund to sustain its operations even after the exit fund.</p> <p>Localized Institutionalization. Funding for this project is channeled through the local budgetary system. The projects objectives are likewise well within the ground realities reflecting the needs of the LGU's constituencies</p>	COMPLIANT
Promoting Resiliency and a Climate-Informed Gerona	<p>Leadership Coordination. The municipal government of Gerona manages the overall implementation of the project and works closely with the non-governmental organization Rice Watch and Action Network</p> <p>Innovation and Improvisation. The LGU allotted maintenance fund in their Annual Investment Fund for the continued operation of the project even after the exit fund has been released.</p> <p>Localized Institutionalization. Establishment of alternative livelihood projects, creation of employment opportunities in the lowlands and promotion of farming skills are provided for by the project.</p>	COMPLIANT

4.2. BARRIERS/PROBLEMS IN THE IMPLEMENTATION AND DELIVERY OF THE PEOPLE'S SURVIVAL FUND

This section contains a discussion of the different barriers or problems that can impede the effective implementation and delivery of the People's Survival Fund. The barriers are classified into policy, institutional and operational. Most of the discussions here find support from the results of Policy Triangle Analysis (**see Appendix L**); semi-structured interviews and Focus Group Discussions (**see Appendix O**); and survey questionnaire (**see Appendix P**).

4.2.1. Some Potential Policy Barriers in PSF Implementation

There are a number of potential policy barriers identified on the basis of the methodologies employed in this study.

4.2.1.1. Absence of clear, coherent and unified policy guidelines

It should be noted that the PSF is an offshoot of a law which merely sketch a rough and general guidance on how the Fund is to be managed, administered and implemented. When applied in actual context, what the general law lacks in details should be supplemented by implementing rules and regulations, manual of implementation, enabling guidelines or similar documents that will give flesh to the general provisions of the policy. Apparent in the PSF implementation is the lack of unified and harmonious guidelines during the post-approval stage of a project. When the details during implementation are not clear, the result would be misunderstanding and confusion that results to ineffective execution.

One interviewee from the local government unit which has a PSF-funded project commented: *"...there is also confusion as to what agency are we going to coordinate after the approval of the project. It appears that there is no existing harmonized guidelines as to what the requirements are and to what agency are to be submitted to avail of the next release of fund tranches."* The general maxim that the devil is in the detail applies to the PSF during the project implementation stage. Without clear guidelines, project implementers are left hanging to the limbo what to do next after the consummation of a particular stage of the project. In fact, a great majority of the respondents consider this as an extreme barrier as evidenced by a weighted mean of 4.52.

Another interviewee from a municipality whose adaptation project proposal was rejected mentioned of the *"complexity of the requirements of the PSF which are sometimes beyond the means of capacities of poor rural agricultural municipalities such as that of his LGU and intricate screening and approval procedures of the Climate Change Commission."* Respondents likewise considered this as extreme barrier as evidenced by a weighted mean of 4.65.

It is also worthy to mention that existing PSF law and regulations lack enabling policy guidelines on private sector participation. Considering the importance of mobilizing the private sector in adaptation finance, the Philippines is missing sizeable opportunities to implement adaptation projects in partnership with the private sector.

As correctly observed by one interviewee from the national government, *"the private or business sector's engagement in the PSF is limited at the moment to representation to the People's Survival Fund Board. While the PSF encourages counterpart funding or project collaborations with the private sector... the participation of the private sector to the operation of the PSF is still insignificant. New policies, programs and projects are still being conceptualized on how to get the private sector on-board the PSF."* This is apparent in all the six (6) PSF-funded projects where only an academic or civil society partner is engaged with the project. **(see Appendix N).**

4.2.1.2. Project priority lock-ins

The PSF law clearly identified the thematic areas where adaptation project proposals should be anchored upon. While the enumeration is not exhaustive, it provides a limiting effect which projects are to be approved and funded based on the enumeration. The Policy Triangle Analysis **(Appendix L)** on the Content Component of the policy reveals that the fund is targeted to but limited priority areas, to wit: (1) sectoral vulnerability assessments, (2) monitoring of vector-borne diseases, (3) forecasting and early warning systems, (4) institutional development for LGUs and communities, (5) risk financing, and (6) community adaptation support programs (Section 20, RA 10174). With that said, proposals outside these areas may run the risk of being rejected.

The foregoing finding from the Policy Triangle Analysis was corroborated upon by an interviewee from the Climate Change Commission who commented, *" the specific areas that the PSF Board give utmost priority include: (a) adaptation activities, where sufficient information is*

available to warrant such activities, in the areas of water resources management, land management, agriculture and fisheries, health, infrastructure development, natural ecosystems including mountainous and coastal ecosystems; (b) improvement of the monitoring of vector-borne diseases triggered by climate change, and in this context improving disease control and prevention; (c) forecasting and early warning systems as part of preparedness for climate-related hazards; (d) supporting institutional development, for local governments, in partnership with local communities and civil society groups, for preventive measures, planning, preparedness and management of impacts relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme climate events; (e) strengthening existing; and where needed, establish regional centers and information networks to support climate change adaptation initiatives and projects; (f) serving as a guarantee for risk insurance needs for farmers, agricultural workers and other stakeholders; and (g) community adaptation support programs by local organizations accredited by the Commission."

In anticipation of development and trends in adaptation in the future, it would be wise to provide an "open category," "interdisciplinary engagements" or "cross-cutting themes" for project proposal submission apart from the already established thematic areas.

4.2.1.3. Budgetary allocational constraints

A financing gap could exist in the future considering that the appropriation for the entire country is merely Php1 billion (roughly US\$20 Million) annually. There are around 1700 local government units in the country. If it is to be theoretically assumed that each local government unit's proposal gets approved in a given year and each project is allocated equally from the Fund, then each local government unit receives a measly 1,000 euro (approximately).

An interviewee from the Climate Change Commission explained: "*the PSF is demand-driven which means that in the event that the financial demand exceeds the allocated budget for the PSF, the PSF Board employs the three main criteria for project prioritization (PSF Manual of Operations, 2016): poverty Incidence: (NEDA, PSA, provincial stats); presence of multiple hazards (NEDA, or through their CDRVAs); and presence of key biodiversity areas (DENRBMB)"*

Due to limited financial resources of local government units, they could not be expected to finance their adaptation projects. Some municipalities which are comparatively financially capable may be able to

provide counterpart funding but to finance the entire project is asking too much from dwindling resources of the subnational government. As revealed by one interviewee from the local government unit, *"...while the municipality allocate a portion of the budget for climate change actions, the amount may not be that significant considering that they have other priorities with competing budgetary requirements."* Interestingly, the survey result affirmed the observation that the possibility of financing gap for climate adaptation activities in the future when they are made solely dependent on the People's Survival Fund is considered by the respondents as a significant barrier as evidenced by weighted mean of 4.10. This is essentially the reason why there is a need to mobilize the private sector in taking part in adaptation actions in the local level.

4.2.2. Institutional Barriers in PSF Implementation

Institutions really matter in climate adaptation finance governance. The following are among the problems barriers identified in the delivery and implementation of the PSF.

4.2.2.1. Knowledge barrier

The knowledge barrier pertains to lack of knowledge about climate change, climate adaptation, and the People's Survival Fund. More notably, majority of people particularly in the poor and vulnerable rural agricultural communities, has low awareness about climate change issues and the existence of the People's Survival Fund.

This was affirmed by an interviewee from the Climate Change Commission in this wise: *"...among the challenges we encountered in communicating information about the People's Survival Fund are lack of awareness about climate change and its impacts..."*

An interviewee (a chief officer from a farmers' organization in one municipality) commented *"...most farmers in Gerona experienced changes in the climate in the last decade...in particular, farmers in the locality observed the changing climactic pattern which necessitated them to adjust in their agricultural calendar. Farmers also felt the increase in temperature during dry season and frequent rains during wet season. In general, farmers in the community experienced more and stronger typhoons in the last decade that adversely affected their agricultural production and in turn, their income and food security."*

The foregoing findings from the interview appeared to be corroborated by the findings in the survey. All the sixty (60) or 100% of the

surveyed respondents believe that tropical depressions and storms have become stronger and more frequent and that the temperature has increased. Fifty-eight (58) or 96.7% of them are aware that the beginning of wet season has become unpredictable; that the drought period (El Nino) has become longer in duration, 53 (88.33%); and that wet season and dry season are both warmer, 52 (86.7%).

The Focus Group Discussion reveals varied level of awareness about climate change and its impact across members of different sectors. Officials of the local government units of the two municipalities and members of the private sector manifested significant level of awareness about climate change and its impact to the community. Members of the vulnerable sector such as from the fisher folks, farmers and indigenous people are not generally aware about the emerging issues on climate change although they reported experiencing the impact of the changing climate in their farm and fishery activities as well as in their crop and fish productions.

Generally, a great majority (about 80%) of the informants who took part in the focus group discussions showed low level of awareness on the People's Survival Fund. Only a handful of local government unit officials of the LGU with unsuccessful project proposal are aware of the existence of the People's Survival Fund; the opposite is true however to the Municipality of Gerona where majority of the officials are conversant about the PSF. Members of the private sector and the vulnerable sectors (fisher folks, farmers, women and the indigenous people) in the LGU with unsuccessful project proposal who took part in the FGD revealed that *"it was during the conduct of the focus group discussion (FGD) that they first heard about the People's Survival Fund."*

An interviewee from a farmers' organization from a municipality with a successful PSF-funded project commented: *"farmers are not generally aware about the People's Survival Fund but were made aware about it by the local government unit ... when they were involved in the formulation of the project proposal."*

An interviewee who is principally engaged in the implementation of the PSF-funded project commented, *"...while majority of the officials of the Municipality of Gerona knows about the People's Survival Fund, not everybody understands what and how the Fund works."* When asked to what extent farmers, fisher folks and other vulnerable sector are aware about PSF, he commented that the level of awareness could be pegged at 2 out 5 (5 being the highest). He cited lack of adequate available public information about the People's Survival Fund as the main reason for such

low level of awareness. This confirms the researcher's hypothesis that the People's Survival Fund is still largely unknown in the country. When viewed in the perspectives of local community, the People's Survival Fund is still greek to them.

Findings from the interviews on PSF awareness were likewise affirmed in the survey. Results show that only 20 (33.3%) are aware that *the People's Survival Fund is the government's flagship program for climate change adaptation activities* and that *they receive information at least in one occasion about the People's Survival Fund from social media, print or broadcast media or other channels of communication*. Moreover, the only 7 (11.7%) are aware that *the PSF is for climate adaptation activities and/or project of the municipality that is tied with the People's Survival Fund* and that *the People's Survival Fund is intended to enhance the adaptative capacity of the vulnerable regions of the country*. Respondents considered the lack of available public information about the People's Survival Fund, its objectives and how local government units may access the Fund as an extreme barrier as evidenced by a weighted mean of 4.29.

4.2.2.2. Capacity barrier

On the basis of the interviews conducted with both the successful and unsuccessful LGU project proponents, it appears that there exist capacity gaps among poor and vulnerable rural agricultural communities with respect to complying with the documentary requirements and the legwork needed in the submission of a proposal.

An interviewee from a municipality with unsuccessful project proposal mentioned lack of enough competent personnel who will work on the proposal as a problem. Participants of the Focus Group Discussion working for the local government units expressed concerns about *"inadequate training on proposal submission vis-à-vis access to the People's Survival Fund."*

Apparently, even the national lead coordinating agency suffers from the same capacity gap issue. The Climate Change Commission (CCC) itself experienced difficulties in handling the proposals and disbursing the budget. With these seeming inefficiencies from the CCC, the national leadership was somehow pushed to move the PSF secretariat from the Climate Change Office to the Department of Finance. An interviewee from the Climate Change Commission mentioned: *"...staffing with people with the right skills and knowledge has almost always been a challenge."*

Meaningful local action is typically hindered by multifarious national demands that have to be met with limited local resources. Limited financial capacities at LGU level restrain local climate action. Overwhelmed and overworked, LGUs are required to formulate and submit 33 specialised plans by various national government agencies in relation to their multiple duties defined in the Local Government Code of 1991.

The Policy Triangle Analysis bares out that while at the national level, the Climate Change Commission performs the coordinative functions among various agencies of the government, no such governance structure exists in the subnational or local level. More often than not, there is no local climate change focal person trained to coordinate and liaise on matters related to climate change. If indeed one exists, it is relegated to a local government official who has an already existing function such as the Planning and Development Office (the main planning department), the Environment and Natural Resource Officer (ENRO) or sometimes the Local Disaster Risk Reduction and Management Officer (LDRRMO), more often than not are untrained on climate change actions.

This strains their resources and limits their capacity to innovate and implement. If large cities struggle to juggle their resources, both human and financial, imagine the scenario in a fourth or fifth class municipality where most vulnerable regions of the country are classified. In fact, a number of LGUs find difficulties to even comply with developing the two fundamental plans: the Comprehensive Land Use Plan (CLUP) and the Comprehensive Development Plan (CDP).

Results of the survey show that the *lack of skilled and competent personnel to perform climate change actions*, with a weighted mean 4.43; *lack of adequate expertise and technical assistance in formulating risk vulnerability assessment, local climate change action plan and climate adaptation project proposal*, as evidenced by a weighted mean of 4.39 are regarded by respondents as extreme barrier.

4.2.2.3. Political barrier

While logistics, capacities and resources are crucial in complying with the requirements of the PSF Board for project proposals, the political will of the local government officials in power is equally, if not more important. Results of the survey indicate that the *lack of political support from top-level management in the local government unit*, (weighted mean of 4.33); and *political cyclical shift in power in the local level which accounts for changing priorities of the local government unit in terms of climate change*

actions, (4.32) are extreme barriers that impede the effective implementation of the PSF.

In the Philippines, the chief local executives (mayors) in cities and municipalities have three-year tenure of office. This explains the reasons behind why there exists weak planning mechanism in the sub-national level. One would not expect a municipal mayor to prioritize environmental concerns with long-term project duration as this is not deemed politically beneficial to him in the short-term perspectives. Inevitably, most municipal mayors would respond to climate adaptation action only to avoid negative publicity on the effects of natural calamities and disasters. Expectedly, planning is done short-term and projects with long-term or multi-year duration do not sit well in the minds of most politicians in the sub-national level. The political cyclical shift in power and the varying priorities of local executive officials through political successions will directly affect implementation of climate adaptation projects in the local level.

4.2.2.3. Transparency barrier

One of the principle of good climate finance governance is transparency, i.e., climate change policies shall promote transparency in climate finance delivery. Mechanisms and modalities must exist to promote transparency of climate finance.

In summary, the PCI Framework Analysis disclosed that the People's Survival Fund Law and related issuances are compliant in terms of the principles of ease of implementation, coherence and legitimacy. However, it could be noted that in terms of transparency, the policy is merely partially compliant.

The People's Survival Fund Law, does not have mechanisms and modalities through which transparency in the process of approving project proposals are done but the Climate Change Commission published a handbook containing relevant information about the fund. However, there is no mechanism through which the public could monitor the approval and delivery of the fund as there is no public database about projects approved, budget allocated, their status of completion, etc. In fact, majority of the six projects do not have publicly available data for public project monitoring. Hence, along this aspect, the PSF and other relevant policies are merely partially compliant.

It should be noted that the *lack of transparency in the implementation and operation of the People's Survival Fund* is perceived by

respondents in the survey as a significant barrier as evidenced by a weighted mean of 4.13.

4.2.2.4. Participation barrier

Participation gap in this context refers to lack of adequate and meaningful participation from two sectors: stakeholder-beneficiaries of adaptation projects and the private sector.

The optimum participation and engagement of the stakeholders in design and planning has serious implication for participation, as it does for community ownership of the activities, and thus for the long-term sustainability. As already mentioned in the early part of the analysis of this paper, public participation is a key ingredient for successful climate adaptation planning and execution of project in the sub-national level. Moreover, as disclosed from the IAD Framework made in the case of Gerona climate adaptation project, a properly managed participation from stakeholders and recognition of bottom-up approach for project with social and economic purpose should consider public participation as primordial if the project is to gain support from the grassroots.

Findings from the Focus Group Discussions (FGD) recommend the need for more meaningful and inclusive public engagement and consultation on climate change adaptation actions. FGD participants from the private/business, women, farmers and fisher folk sectors from the LGU with unsuccessful project proposal reported that while they were engaged and consulted on climate change activities of their municipalities, their participation lacks meaningfulness and inclusivity for three reasons: (i) only one or two from their sectors are selected; (ii) there is no objective mechanism for representation; (iii) there is not enough information prior to the consultation process. On the contrary, participants from the private/business, women, farmers and fisher folk sectors of the Municipality of Gerona confirmed that they have constant communication and coordination with the LGU staffs respecting the implementation of the project and that they are still being engaged by the LGU from time to time. There lies the difference.

There appears to be “participation gap” on the part of the private or business sector in the implementation of the PSF. The researcher deems that private sector participation in climate change actions in the Philippines remain in its infancy stage.

An interviewee from the Climate Change Commission observed: *"The private or business sector is engaged in the People's Survival Fund by way of representation to the People's Survival Fund Board. In fact, the PSF encourages counterpart funding or project collaborations with the private sector. Notwithstanding, the participation of the private sector to the operation of the PSF is still insignificant. New policies, programs and projects are still being conceptualized on how to get the private sector on-board the PSF."*

The same interviewee further commented: *"The PSF guidelines should open some entry points for private sector participation to ensure that the public sector works hand in hand with the business sector in tackling the issue of climate change. However, this will take time to realize and probably will take time as well before a comprehensive guideline could be formulated."*

4.2.3. Operational Barriers in PSF Implementation

Operational barriers or problems are those which were experienced by local government units before submission of an adaptation project, during its actual implementation and the after the approval of the project. Most of these barriers are those which were identified in the case studies: one successful (Gerona case) and another unsuccessful proponent.

4.2.3.1. Coordination barriers

Leadership coordination is an important governance principles in climate adaptation actions. Results of the PCI Framework as applied to the successfully PSF-funded projects disclose that the absence of dedicated focal unit that will coordinate fundamental governance and management functions on climate change actions and without vertical and horizontal coordination with both state and non-state actors can lead to failure of any climate change adaptation project.

Moreover, findings from the survey indicate that *the lack of cooperation and support from stakeholders* is perceived as an extreme barrier (weighted mean of 4.50).

An interviewee from a local government unit with unsuccessful project proposal cited coordination failure by his local government unit to the Climate Change Commission as reason for a rejected proposal. There was a seeming lack of cooperation among the local government officials when the project was planned. This coordination failure resulted to a proposal which lacks both substance and adequate grounding. While

stakeholders were consulted, consultation done may not be meaningful, impactful and lacked proper follow-up.

4.2.3.2. Administrative readiness

When the law was passed, it appears that there are doubts as to the administrative readiness and absorptive capacity of the local government units to assume the new duties instructed them by the law to perform. While at the national level, the Climate Change Commission performs the coordinative functions among various agencies of the government, no such governance structure exists in the subnational or local level. More often than not, there is no local climate change focal person trained to coordinate and liaise on matters related to climate change. If indeed one exists, it is relegated to a local government official who has an already existing function such as the Planning and Development Office (the main planning department), the Environment and Natural Resource Officer (ENRO) or sometimes the Local Disaster Risk Reduction and Management Officer (LDRRMO), more often than not are untrained on climate change actions.

The "lack of administrative readiness of local government units when the Climate Change Act of 2009 and the People's Survival Fund Law were passed," is considered by respondents as significant barrier as evidenced by a weighted mean of 4.25.

4.2.3.3. Administrative delays and fiscal bottlenecks

Applying Ostrom's Institutional Analysis and Development Framework to the Gerona adaptation project, an analysis of the actor component indicate that delays can limit what a project proponent can do in the subnational level. In the implementation of the project, the national government plays a vital role in the successful completion of the project. An interviewee with a project implementer in the local level disclosed that as soon as the Memorandum of Agreement between the national government and the local government of Gerona was signed giving a green signal for the implementation of the project, another set of documents was required of the municipality including the setting up of a bank account in the Development Bank of the Philippines through which the fund tranches will be channeled.

The interviewee thus explained: "...there was delayed release of fund after signing the Memorandum of Agreement with the government. The

tranches of fund is channeled through the Development Bank of the Philippines which serve as the fund conduit. It takes time before the next fund tranches are released. ... with the delayed transmission of the fund, the project is forced to be put to a momentary halt which necessarily results to delayed delivery of services to the stakeholders, delayed release of salaries to workers involved in the project and subsequently delay in the production of the deliverables of the project."

Apparently, the roles of other agencies of the government such as the Development Bank of the Philippines and the Ministry of Audit set in after project screening and approval. While the PSF Board has Monitoring and Evaluation Unit that does the field validation on the work accomplishments of the municipality, the LGU of Gerona admitted that there were delays in the processing of the documents for the release of fund tranches and there were confusion as well as what and to whom documents are to be submitted.

Delays are usually incurred in the Ministry of Audit in auditing the various phases of the project, the Climate Change Commission in delaying the field validation and the Development Bank of the Philippines in the release of the funds.

The bureaucratic delays in the processing of documents as well fiscal disbursement bottlenecks creates a cog in the wheel, so to say. Inevitably, power dynamics could inevitably and unintentionally at play even when not deliberate. The national government exercising the power of purse provides the conditions whether the project halts momentarily on one hand, and the project proponent (Municipality of Gerona) which is left with no choice but to patiently deal with some bureaucratic ineptitudes and inefficiencies.

It should be mentioned here that the *delayed release of funds during the implementation stage (bottlenecks in fiscal disbursement)*, as evidenced by a weighted mean of 4.67 is perceived by respondents in the survey as an extreme barrier.

Such administrative delays and bureaucratic bottlenecks impact the completion of the project on time, delivery of the services to the beneficiaries and cause mistrust to the sincerity of the national government in the performance of their functions.

4.3. MAIN REASONS FOR SUCCESS AND FAILURE OF ADAPTATION PROJECTS VIS-À-VIS ACCESS TO PSF

The key success factors were identified using the PCI Framework analysis of all the six (6) PSF-funded projects. Lessons learned from the Gerona case (**see Appendix Q, for the Gerona case study using Ostrom's IAD Framework**) were likewise extracted to guide local government units in accessing the PSF in the future. The reasons for failure as disclosed from the case of study of a municipality with unsuccessful project proposal. Interviews conducted likewise sheds light on this aspect.

4.3.1. Key success factors in accessing the PSF

4.3.1.1. Top-level management support from local executives in power

The Gerona experience illustrates that without the political will and support of both the mayor and the Sanggunian, the project would not materialize. An interviewee from the Municipality of Gerona, explained it in this wise: *"...without the political will and support of both the mayor and the Sanggunian, the project would not have pushed through. The local officials recognize that agriculture serves as the backbone of their local economy and the foundation of livelihood of their constituents; hence, the project which is designed to improve the lot of the farmers and ultimately enhance food security in the locality will definitely finds support from the local government officials."* Another interviewee from the same municipality made mention of the "support from both the executive and legislative councils of their municipality" as instrumental to the success of their project getting approved by the PSF.

Peculiar in the Gerona case is the harmonious complementarities of what the majority of the constituents immediately needed in their socio-economic activities, the nature of economic activities in the municipality and the priorities of the local government unit. Such complementarities easily gained traction of support from the local government. As correctly emphasized by one of the interviewees *"the local officials recognize that agriculture serves as the backbone of their local economy and the foundation of livelihood of their constituents; hence, the project which is designed to improve the lot of the farmers and ultimately enhance food security in the locality will definitely finds support from the local government officials."*

4.3.1.2. Ground support system from the stakeholders through meaningful and inclusive participatory process lend legitimacy, transparency, credibility and sense of ownership to the project.

Without the public participation of relevant stakeholders, no project in the local level will be realized and successfully completed. Involving the public lends credibility, transparency, legitimacy and a sense of ownership on the project for the community. This is the reason why during the formulation of plans and projects relative to climate adaptation, some crucial activities required to be undertaken by the LGUs are stakeholder analysis and needs assessment. In fact, intelligent planning requires public engagement of all actors in all stages of the project from planning to implementation up until the monitoring and evaluation stage. Even during the post-project stage, stakeholders are asked to provide some sorts of feedback from them as inputs for re-planning or future planning adjustments. Such feedbacking mechanism keeps the stakeholders in the loop about the project. This was what Gerona experience skillfully manifested in their climate adaptation project. As observed by one of the interviewees in Gerona: *"...farmers in their municipality are deeply interested in the project as they feel the need to address the impact of climate change in their agricultural activities. With adequate and accurate explanation about the rationale of the project and the benefits that farmers can derive out of the project, the stakeholders express strong approval and support which expedited the completion of the project proposal and is eventual submission to the Climate Change Commission and the PSF Board."*

Applying Ostrom's IAD Framework to the Gerona adaptation project, this researcher observed that behind Gerona's capacity to innovate and adopt to the needs of the circumstances is the adoption of bottom-up planning and stakeholder consultation in all stages of the project. Adequate consultation during stakeholder analysis was undertaken to ensure inclusiveness and participatory nature of the project. The farmers in the municipality acknowledged the fact that

the communication channels of the municipality are open relative to the project.

Moreover, an analysis of the institutional contexts upon which the project is situated reveals that the Municipality of Gerona employed both horizontal and vertical coordination and collaboration. Vertical interactions are two-way relationships that can be top-down or bottom-up. In the case of the climate adaptation project in the Municipality of Gerona, they combine both elements of top-down and bottom-up approach. While they present the municipality's climate adaptation planning materials, they also allow the grassroots representatives (farmers, women and indigenous people) and civil society to provide inputs and guidance in the project.

Mobilizing stakeholders is a key element to improved governance as it builds local ownership and commitment to development activities and processes. It is not only crucial in gathering information, building consensus and conclusions, and identifying practical solutions but also in delivering and implementing response actions.

In setting up the climate adaptation project proposal at the community level, local government officials are to involve community members. The majority of farmers in the municipality confirmed that they were consulted several times in project planning and even during the actual implementation of the project. They also confirmed that they have representative in the LGU's Implementation Unit. Farmers are fully aware that the project will redound to their benefits. They acknowledged the fact that the project has the potential to empower men and women farmers through access to climate information, help them to project and plan ahead given projected weather -- thus saving them from potential losses and allowing them to use time and resources to more weather-appropriate activities. Hence, notably they have high level of motivation and interest in the implementation of the project which is advantageous for the successful completion of the project.

Furthermore, an analysis of the interactions of the municipality with the farmers indicate that they are allowed to express their voices in a democratic and participatory process, giving

due regard and importance to the advantages of bottom-up approach and sense of ownership of the project. The conduct of stakeholder analysis and needs assessment and alignment of the climate adaptation project to the actual and felt needs of the farmers are reflective of the different options and opportunities afforded to different members of society. The participatory process implemented allowed maximum participation from the farmers.

4.3.1.3. Concerted efforts between the local government units and some non-state actors.

The Gerona experience illustrated that having multi-level, multi-sectoral, interdepartmental and collaborative arrangements between and among relevant actors in the conceptualization, planning and implementation of a project is key to arriving at effective outputs. The Gerona experience adeptly illustrated vertical and horizontal coordination needed to steer the project in the right direction. They are also able to avoid the trap of fragmentation by harmoniously orchestrating their efforts towards a common goal. As aptly explained by one of the interviewees: *"...arriving at a project proposal was not an easy feat taking into account that it involves various entities, units and institutions from pre-approval stage until during the post-approval stage..."* The interviewee further noted: *"...all the documents and requirements needed by the People's Survival Fund Board Secretariat were completed through the data provided by all these collaborating units in the local government of Gerona...the climate adaptation proposal was a product of the meeting of the minds of the various departments and the stakeholders..."*

An interviewee from the Gerona project explained: *"..one reason why the Municipality of Gerona was successful in accessing the PSF is through its localized institutional set-up for climate change actions. The Municipality has an inter-departmental and inter-sectoral body that is focused on climate change. In the formulation of the climate change adaptation project proposal, all these departments and units worked together in synergy, showed utmost cooperation and support to the local government unit. In the process of drafting the climate adaptation project proposal, the*

Municipal Planning and Development Office, the Municipal Agriculture Office, the Municipal Environment and Natural Resource Office, the Municipal Disaster Risk Reduction and Management Office collaborated with each other and complemented each other's functions."

The interviewee further explained: *"...the local institutional unit in-charge of climate change actions in their municipality is key to forging actions regarding their climate adaptation project. These inter-departmental group is responsible in planning, organizing and implementing climate-related projects and activities. Depending on the nature of the functions of each department, each performs their duty in accordance with their specified mandates. For instance, the Municipal Planning and Development Office is responsible for initially proposing climate adaptation project in consultation with the Environment Department and Disaster Risk Reduction Management Council...."*

Another notable aspect of the project is the integration of the efforts of the civil society organization. Rice Watch and Action Network is a non-governmental organization that extended the Municipality of Gerona assistance in the project. As part of the community, Rice Watch and Action Network represents the efforts coming from the third society as partner not only of the subnational government in the implementation of the project but also of the national government in giving flesh to its policy objectives and in attaining its climate action goals as delineated in existing policies.

The interactions between the local government and the stakeholders of the project is both participatory and community-driven which makes for successful and harmonious interactions among the state and non-state actors. According to Tippet (2007), sustained participation and support are only possible when members in local communities feel that they have had a say, see their concerns reflected in the process, and when they foresee how the end product is going to benefit them.

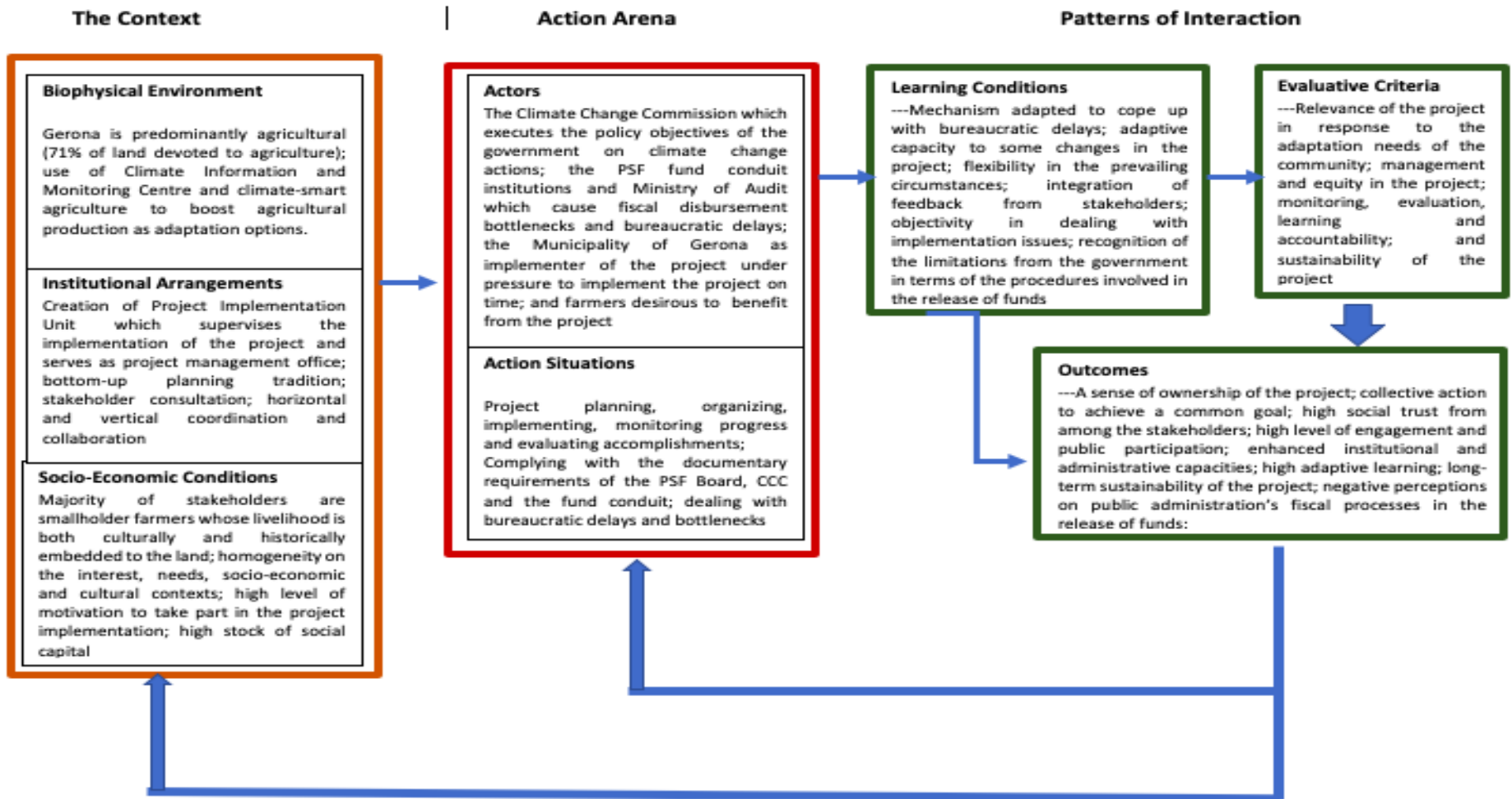


Figure 14. Institutional Analysis and Development Framework for the PSF-Funded Project in Gerona, "Promoting Resiliency and Climate-Informed Gerona"

4.3.2. Why some municipalities failed in accessing the PSF?

The interview with a representative of local government official from the LGU with project proposal which failed to get approval of funding from the PSF Board, revealed the following reasons for non-approval.

4.3.2.1. Components of the project not classified as adaptation.

One of the reasons why the proposal was rejected is that the project submitted was more of business-as-usual project rather than a climate adaptation project. It should be noted that for a climate adaptation project to be approved, it should be first and foremost classified as adaptation. In the case of the LGU with unsuccessful project, as disclosed by the interviewee: *"...most of the activities identified in their project do not have strong adaptation inclinations..."* This probably explains the reason why most projects in the first year of call for submission of proposal got rejected---lack of adaptation dimensions of the project.

An interviewee from a local government official of a municipality with an unsuccessful project proposal explains: *"...the PSF Board may not have found the proposal worthy of approval. Most of the activities identified in their project do not have strong adaptation inclinations. With that said, the municipality could have improved the different activities and deliverables in this aspect by providing more adaptation activities in the proposal..."*

The foregoing observation seemed to have been affirmed by another interviewee from the Climate Change Commission: *"...essentially, one reasons why some proposals failed to gain approval from the PSF Board is that the project being proposed is mitigation or business-as-usual and not adaptation..."* The interviewee explained that most of the proposals received by the PSF Board Secretariat at the Department of Finance have been either business-as-usual projects or those kinds usually funded under regular

programs of national government agencies, and not climate change adaptation which the law asks; thus, the low-approval rate.

4.3.2.2. Proposals failed to meet PSF standards and/or incomplete submissions

Another reasons why an adaptation proposal gets rejected is that it failed to meet the standards set by the PSF Board; others lack proper and complete documentation. The interviewee from the Climate Change Commission affirmed this reason in this note: *"...two other reasons why an adaptation proposal fails to gain approval from PSF Board is failure to submit important documents such as local climate action plan or vulnerability assessment and that the proposal submitted was not well-written...."*

Such an observation was affirmed by an interviewee from the Climate Change Commission, in this wise: *"...most local government units experienced difficulty complying with a technical requirement such as a vulnerability assessment in which case, the Climate Change Commission extends assistance by helping local government units to formulate one."*

This is not quite much of a surprise considering the lack of readiness in the subnational government. As previously revealed in the Focus Group Discussion, some employees in the local government unit were not given adequate training about proposal submission vis-à-vis access to the People's Survival Fund. Hence, the need for more intensified public information campaign to fill the information gap about climate change adaptation and the People's Survival Fund.

The interviewee from the municipality with unsuccessful project proposal opined that *"...among the problems we encountered in the preparation and submission of the proposal include ... lack of enough competent personnel who will work on the proposal, lack of adequate information on writing a proposal worthy of the Board's approval, among other problems..."* He further commented: *"the documentary requirements are really difficult to be complied with by poor vulnerable municipalities which does not have enough skilled manpower to do these documents."* He suggested that the Climate Change Commission to simplify the procedures and relax the requirements. He also suggested for extending technical assistance

on writing proposal as well as formulating risk assessment document for vulnerable and poor municipalities.

4.3.2.3. Issues involving political will and political buy-in

An interviewee from a local government official of a municipality with an unsuccessful project proposal thus explains: *"...among the problems we encountered in the preparation and submission of the proposal include lack of cooperation among the local government officials..."*

Another interviewee from the Climate Change Commission affirmed the foregoing in saying: *"...among the challenges encountered in communicating information about the People's Survival Fund include indifference and lack of interest of some local government unit officials, and lack of incentives to prioritize climate change actions."*

No matter how good, feasible and doable a project is if not implemented is a mere scratch of paper. Political buy-in by the local executives in the subnational level is a crucial determining factor whether a particular adaptation project concept will get materialized or not. The political will of a local mayor to implement a multi-year adaptation project without politicizing on the project is indeed one worthy of emulation. The presence or absence of a climate adaptation champion in the subnational level is crucial to induce sustainability governance transition at the local level.

4.3.2.4. Mental/attitudinal barriers from project stakeholders

Adaptation project is not perceived as valuable per se by project stakeholders particularly target beneficiaries of the project who rather chose to stay in their comfort zone either because the concept is entirely new to them and requires rewiring their understanding. Some local government unit officials and local community folks (farmers, fisher folks, etc) stick to what they know and even if they are willing to invest time and energy, they contest the concept of adaptation.

CHAPTER 5

CONCLUSIONS AND POLICY IMPLICATIONS

This chapter briefly presents the conclusions derived from the analysis of the findings and the recommendations which were based on the conclusions derived from the study.

5.1. Conclusions

The presentation of the conclusions derived from the findings of this study follow the logical sequence of the objectives of this study.

5.1.1. On the Policy and Governance Barriers that Affect PSF Implementation

On the macro-level, there exists an enabling environment for the implementation of the People’s Survival Fund, but policy and governance gaps exist at the implementation level.

Viewed in the theoretical perspectives, the existing legal-policy ecosystem is generally favourable and conducive for the implementation of the People’s Survival Fund Law. It is therefore fitting, fair and proper to argue that there is an enabling environment that surrounds the delivery of climate change adaptation finance in the Philippines as evidenced by the constellation of legal framework, policy framework, institutional architecture, governance structure, and climate finance mechanisms.

As aptly noted by this researcher, the People’s Survival Fund Law is not a policy in isolation, but a policy that is embedded in an existing policy constellation. It is situated within a cluster of legal and policy ecosystem that provides doorstep conditions for implementation of climate change adaptation actions. The document analysis of national-level documents that have bearing with climate change adaptation in general and the People’s Survival Fund in particular is replete with textual evidences to support this level of assumption. The prevalence of topics regarding climate change, adaptation, development, government, to mention a few in the analyzed documents using the QSR Nvivo software aptly reflects the prevailing policy narratives of the Philippine government towards climate change actions. **With that said, Hypothesis Number 4 which states that there is no favorable enabling legal-policy environment that supports the**

implementation and delivery of the People’s Survival Fund is therefore rejected.

As bared by the policy gap analysis using the PCI Framework for climate change policy assessment, the People’s Survival Fund Law is generally compliant with all the principles of good governance on climate finance delivery saved on the issue of transparency owing to the fact that there is there is no public database about projects approved, budget allocated, their status of completion and other relevant information which will guide the public in monitoring the expenditure of public fund relative to the projects funded.

The Policy Triangle Framework provided robust analysis of the gaps in the policy by looking into the actor, content, context and process components in the implementation level.

The researcher initially hypothesized that there is democratic deficit of representation in the implementation and delivery of the People’s Survival Fund. However, an analysis of the composition of the Climate Change Commission (CCC) and the PSF Board negates this assumption. **Both the CCC and PSF Board have sufficient level of democracy in terms of representation---multi-sectoral, inter-agency, inter-departmental, collaborative and polycentric. Having said that, Hypothesis Statement Number 3 is hereby rejected.**

While the multi-level and polycentric nature of PSF as a form of climate governance can bring about greater coherence, alignment or “orchestration” of climate actions, it can also cause unintended consequence such as fragmentation if governance interactions are not properly managed.

Moreover, “financing gap” for the People’s Survival Fund could exists in the future given the fixed annual appropriations (around US\$20 million) allotted by the Philippine government to the Fund.

The lack of harmonious guidelines that will govern various agencies involved in the release of funds for PSF-approved projects, the bottlenecks in fiscal disbursement, the seemingly incurrence of delays in processing of documents submitted by project implementers, and the seeming inefficiencies of the Climate Change Commission in cascading information about climate change and the People’s Survival Fund are just among the indications that there exists governance gap among the agencies involved in the climate governance of the country.

5.1.2. On the Institutional Barriers that Affect the Implementation of PSF

While the PSF Law is generally compliant on the principles governing institutional architecture and processes, there are issues affecting formal and informal institutional structures in the subnational level.

Over-all, the law that governs People's Survival Fund is compliant in all three principles of institutional architecture and processes, to wit: leadership coordination, innovation and improvisation and response to local needs as evidenced by the results of the PCI Framework Analysis of the Institutional Architecture and Process.

Applying this Framework to successfully PSF-funded projects disclose that without a dedicated focal unit that will coordinate fundamental governance and management functions on climate change actions, without vertical and horizontal coordination with both state and non-state actors and without adequate response to the local needs can lead to failure of any climate change adaptation project. Contrariwise, all the six PSF-funded projects are possessed of the positive attributes of institutional architecture and processes which probably explained their success.

In the institutional perspective, the absence of local institutional coordinating body that will coordinate the activities related to climate actions among collaborating units, agencies and entities involved in climate governance can be regarded as a "governance gap" in the People's Survival Fund law. While in the national level there is a Climate Change Commission that performs coordinative functions for and among the different agencies of the government and representative stakeholders, there is no such equivalent body in the local or micro-level.

Another domain that strikes into the policy area is the "capacity gap" and "lack of administrative readiness" of poor and vulnerable rural agricultural communities in the country. Most of the vulnerable communities are those with lower adaptive capacity, with high incidence of poverty and low human capital. Most local government units (LGUs) does not have adequate, competent and skilled personnel who will perform climate change actions in the local level. The present institutional architecture in the local level does not provide for it.

The case study of Gerona using Ostrom's Institutional Analysis and Development Framework showed that while the existence of formal institutions (laws, rules and governance structures) is important; it does not automatically and

necessarily result to effective, efficient and responsive implementation of the People's Survival Fund; leveraging upon informal institutional networks is equally important to engender collective action, build social trust; enhance the stock of social capital, ensure optimum inclusive, meaningful and impactful participatory engagement and finally attain the goals of public good envisioned by climate adaptation project. The Gerona case illustrates that employing participatory and community-driven approaches and promoting inclusive governance can provide synergy to increase collective action for the implementation of the project, support local values, trust, customs, and ownership; strengthen the enforcement of rules; address power relations; and thereby improve local implementation capacity, monitoring and sanctioning efforts, and long-term sustainability of the desired intervention outcomes.

5.1.3. On the Operational Barriers that Affect PSF Implementation

In the main, there are a number of operational barriers that affect the implementation of the PSF both in the national and sub-national levels.

Majority of people particularly in the poor and vulnerable rural agricultural communities, has low awareness about the existence of the People's Survival Fund. **Both the results of the interviews, FGDs and the survey affirmed researcher's hypothesis that awareness and knowledge level about the PSF remains low and that the PSF is largely unknown in the country. With that said, Hypothesis Number 2 posed at the outset of the study is therefore accepted.**

On a positive note, the opposite is true on the awareness to climate change. The researcher initially hypothesized that there is low level of awareness of local government and local communities on climate change. However, results of the survey, interview and FGD proved otherwise. **An overwhelming majority of the informants and respondents manifested awareness about the issue of climate change and its impact; hence the Hypothesis Statement Number 1 is rejected.**

The political cyclical shift in power and the varying priorities of local executive officials through political successions will directly affect implementation of climate adaptation projects in the local level.

Another policy gap that concerns "governance of climate finance" of the PSF are the issues of "bureaucratic delays" and "fiscal bottlenecks," which spring

from the lack of harmonious guidelines that will guide agencies of the government involved in the delivery of the People's Survival Fund.

The existence of these barriers was affirmed by the results of the survey questionnaire. Out of the ten (10) policy barriers mentioned in the survey, three (3) were considered as extreme barriers. In a similar vein, seven (7) out of ten (10) institutional and operational barriers were likewise considered as extreme barriers by climate governance actors and climate change adaptation project stakeholders who took part in the survey.

Therefore, the Hypothesis Statement Number 5 that majority of those which were considered as policy and institutional barriers that affect the implementation of the People's Survival Fund are of moderate nature and therefore, negligible, is rejected.

5.2. On the Key Success Factors in Accessing the PSF

A number of critical enabling factors have been identified in this study and generally at their core are governance and institutions, to wit: Top-level management support from local executives in power; ground support system from the stakeholders through meaningful and inclusive participatory process lend legitimacy, transparency, credibility and sense of ownership to the project. Without the public participation of relevant stakeholders, no project in the local level will be realized and successfully completed; and concerted efforts of the local government officials involved in climate change actions. The Gerona experience illustrated that having multi-level, multi-sectoral, interdepartmental and collaborative arrangements between and among relevant actors in the conceptualization, planning and implementation of a project is key to arriving at effective outputs.

5.3. On the Reasons for Failure to Access PSF

Generally, capacity, bureaucratic and technical issues are among the reasons why some local government units failed to successfully access the PSF, to wit: components of the project not classified as adaptation; failure to meet PSF standards and/or incomplete submissions; issues involving political will and political buy-in; and mental/attitudinal barriers from project stakeholders.

5.2. SOME POLICY IMPLICATIONS

On the basis of the conclusions of this study, the following recommendations are advanced:

1. To address possible governance gap, provisions for greater coherence, alignment and orchestrations of action is king. Considering the multi-level, multi-sectoral, polycentric (multi-departmental and inter-agency) nature of climate governance of the People's Survival Fund, there is a need to capitalize upon the benefits that can be derived through vertical and horizontal coordination mechanisms. Both the national and sub-national governments should collaborate on how to strengthen the multi-level governance system of the country to effectively utilize and benefit from the full potential of stakeholders for collaborative, inclusive, meaningful participatory and transformative approaches to local climate actions. Moreover, there is a need to establish new institutional structures (local coordinating body similar to CCC in the national level) and arrangements for the sub-national governments to effectively perform their new climate change functions. A multi-sectoral committee could be established at the local level. These aspects should be made a larger part of the architecture of conversation in the policy dialogue.
2. To address future financing gap, policies and frameworks should empower sub-national governments (LGUs) to source out funding from multiple sources to finance their climate change actions. External funding should be encouraged. The Climate Change Commission can match LGUs with potential donors and funders from both public and private, international or domestic sources through some climate adaptation finance instruments or arrangements. There is likewise a need to review the annual appropriation allocated to PSF by the General Appropriations Act which is generally fixed under the law (around US\$ 20 million).
3. To address information asymmetry, both the Climate Change Commission and their counterparts in the local government units need to intensify their public education and information campaign. They need to leverage upon a variety of communication channels to increase knowledge and awareness climate change and the People's Survival Fund. Partnerships with social media influencers, environmental interest groups, academe, civil society organizations and even private and public media organizations can be forged to disseminate information about climate change issues and the People's Survival Fund.
4. To address the bureaucratic barriers identified in this study, there is a need to review the submission process and documentary requirements. To prevent confusing and sometimes conflicting implementation policies, the CCC and the PSF Board should come up with comprehensive harmonious guidelines that will guide agencies involved in the implementation and delivery of the PSF, develop over-all monitoring and evaluation methodology

5. To address capacity gap and capacity asymmetry, in the national level, the Climate Change Commission should establish its institutional capacity development plan (if none exists) or strengthen its existing plan to continuously and consistently empower and capacitate its staff in performing their coordinative functions under the law. At the sub-national level (LGUs), the national government should provide them adequate guidance and support on policies affecting PSF, capacitate LGU's human resources required to address the multifarious sectoral tasks through awareness raising activities, formal trainings, on-the-job trainings and engagement in climate change planning and action processes. Specifically, the Climate Change Commission should provide targeted capacity-building activities for poorer and vulnerable rural agricultural communities with low adaptive capacity, low human capital and poor administrative capacity. Needless to say, climate governance needs technical knowledge and expertise. Enhancing knowledge and building capacities enables the national and sub-national government involved in climate governance to formulate policies and action plans that are doable across across sectors and levels of governance.

6. To address possible participation gap, the national government should be leveraged upon the purse power and expertise of the private or business sector. There are a number of possible entry points identifiable from the PSF law upon which private sector participation could be optimized, to wit:
 - (i) Public-private partnerships. Section 9 (paragraph I) of the PSF Law is a possible entry point for PPP arrangements (coordination of LGU and private entities to address climate change impacts); co-creation and co-production arrangement on climate adaptation projects;
 - (ii) Business sector representation in the PSF Board. Section 5 of the PSF law provides for business sector representation in the PSF Board. The business sector should be leveraged upon this provision to get on-board on government-finance adaptation projects;
 - (iii) Development of new products for the agricultural sector. Provision for weather-indexed based insurance, climate-resilient crops, technologies to improve water and energy efficiency, and climate - smart loans, etc.;
 - (iv) Innovative climate-adaptation related services. Technical assistance or training for building capacity and expertise, market research, microfinance, business planning, early warning systems and information infrastructure services for farmers.

As to poor vulnerable LGU's with low level of participation to climate change adaptation actions, a policy provision for incentivization could be introduced to motivate them to prioritize climate adaptation actions. A provision to include climate change actions may well be included in the criteria for the granting of "Seal of Good Governance" to climate change performing LGU's.

7. Actors of climate governance both in the national and sub-national levels and stakeholders of climate adaptation actions should take into account the key success factors identified in this study, namely top-level management support from local chief executives, ground support system from the stakeholders through meaningful and inclusive participatory process lend legitimacy, transparency, credibility and sense of ownership to the project and concerted efforts of the local government officials involved in climate change actions.
8. Enabling factors identified in this study such as the existence of dedicate implementing unit or focal person with the necessary skills and capacities; a multi-sectoral and collaborative mechanism of participation of stakeholders and non-state actors, enabling legal-policy framework, strong institutional capacities; partnerships with civil society and the academe; high stock of social capital and social trust; and political will to implement climate change actions should be capitalized upon by all actors of climate governance both in the national and sub-national levels and stakeholders of climate adaptation actions

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APPENDIX A

SURVEY QUESTIONNAIRE

Part I A. Knowledge and Awareness on the Changing Climate

Directions: Please check the response that best describes your perception of the changing climate.

1. The temperature has increased

_____ (Yes) _____ (No)

2. Wet season and dry season are both warmer

_____ (Yes) _____ (No)

3. Drought period (El Nino) has become longer in duration

_____ (Yes) _____ (No)

4. The beginning of wet season has become unpredictable

_____ (Yes) _____ (No)

5. Tropical depressions and storms have become stronger and more frequent

_____ (Yes) _____ (No)

Part I B. Perceptions on the Impact of the Changing Climate

Directions: Please check the response that best describes your perception of the impact of the changing climate.

1. The changing climate results to the following extreme weather events that cause stresses to both humans and the farm

_____ (Yes) _____ (No)

2. The changing climate results to reduced crop yields

_____ (Yes) _____ (No)

3. With extreme weather events, income from farm activities is likewise reduced

_____ (Yes) _____ (No)

4. During extreme weather events, food in the household become scarcer.

_____ (Yes) _____ (No)

5. With the changing climate, family members have had experienced health problems

_____ (Yes) _____ (No)

Part I C. Knowledge and Awareness About the People's Survival Fund

Directions: Please check the response that best describes your perception about the People's Survival Fund.

1. I am aware that the People's Survival Fund is the government's flagship program for climate change adaptation activities.

_____ (Yes) _____ (No)

2. I am aware that the People's Survival Fund provides grants for the local government units and local community organizations that will climate adaptation project proposal

_____ (Yes) _____ (No)

3. I am aware that the People's Survival Fund is intended to enhance the adaptative capacity of the vulnerable regions of the country.

_____ (Yes) _____ (No)

4. I am aware of the of climate adaptation activities and/or project of the municipality that is tied with the People's Survival Fund.

_____ (Yes) _____ (No)

5. I do receive information at least in one occasion about the People's Survival Fund from social media, print or broadcast media or other channels of communication.

_____ (Yes) _____ (No)

Part II. Perceptions on the Different Barriers that Affect the Implementation of the People’s Survival Fund

Directions: The following are the different policy, institutional and operational barriers that affect the implementation of the People’s Survival Fund. Using the scale below, rate the extent of effect of these barriers in the implementation and operation of the People’s Survival Fund. Please check the response that best describes your perception about these barriers.

- 1 Not a barrier at all (NABA)
- 2 Somewhat of a barrier (SOB)
- 3 Moderate barrier (MB)
- 4 Significant barrier (SB)
- 5 Extreme barrier (EB)

Perceptions on the Different Barriers in the Implementation and Operation of the People’s Survival Fund (PSF)	1 NABA	2 SOB	3 MB	4 SB	5 EB
On Policy Barriers					
1. Lack of adequate and correct information about climate change and its impacts.					
3. Lack of available public information about the People’s Survival Fund, its objectives and how local government units may access the Fund.					
4. Complexity of documentary requirements and processes in accessing the People’s Survival Fund					
5. Lack of transparency in the implementation and operation of the People’s Survival Fund.					
6. Lack of incentivization for local government units to engage on climate adaptation activities.					
7. Lack of administrative readiness of local government units when the Climate Change Act of 2009 and the People’s Survival Fund Law were passed.					
8. The possibility of financing gap for climate adaptation activities in the future when they are made solely dependent on the People’s Survival Fund					
9. Lack of access to technical expertise to reduce uncertainty about climate change and its impact					
10. Weak and short-term planning mechanism in the local level.					
On Institutional/Operational Barriers					
1. Lack of local institutional unit that performs climate change actions in the municipal level					
2. Lack of skilled and competent personnel to perform climate change actions					
3. Lack of harmonized guidelines for agencies of the government involved in the implementation and delivery of the People’s Survival Fund.					
4. Political cyclical shift in power in the local level which accounts for changing priorities of the local government unit in terms of climate change actions					
5. Lack of adequate expertise and technical assistance in formulating risk vulnerability assessment, local climate change action plan and climate adaptation project proposal.					

6. Delayed release of funds during the implementation stage (bottlenecks in fiscal disbursement)					
7. Absence of genuine and meaningful participation of stakeholders.					
8. Lack of open, inclusive, and transparent mechanisms of tracking and monitoring how funds are spent and how projects are implemented.					
9. Lack of cooperation and support from stakeholders					
10. Lack of political support from top-level management in the local government unit.					

APPENDIX B
TEMPLATE FOR THE PROFILES OF CLIMATE ADAPTATION PROJECTS
FUNDED BY THE PEOPLE’S SURVIVAL FUND (2015-2018)

Project Title	PSF Approved Budget	Project Focus Area and Brief Description	Geographic Region	Proponent	Status of Implementation

APPENDIX C
SEMI-STRUCTURED INTERVIEW CHECKLIST FOR THE KEY
INFORMANTS FROM THE CCC AND DENR

I. On the Enabling Policy Environment Relevant to the Implementation of the People’s Survival Fund (PSF)

1. What policy objectives are sought to be attained by the People’s Survival Fund?
2. Are these objectives clearly articulated in the existing policies of the State such as but not limited to the Climate Change Act of 2009 and the People’s Survival Fund Law?
3. Does the Climate Change Commission have existing timeline to achieve these objectives?
4. What methods in mobilizing the PSF are in place to achieve these policy objectives?
5. Are there subsidiary instruments to implement the policy objectives? If none, what timelines are in place to establish these subsidiary instruments?
6. Are key stakeholders such as the local government units (LGUs), local community organizations (LCUs) and private sector represented in the policy-making process of the national government?
7. In what ways are the stakeholders from the government, private sector and the civil society engaged in policy-making process?
8. What mechanisms were established to guide the operationalization of the PSF?
9. What monitoring and evaluation mechanisms are in place for PSF-funded projects?

II. On the Institutional Set-Up and Process Involved in the Implementation and Delivery of the PSF

1. What are the different institutions involved in the implementation and delivery of the PSF?
2. Does the Commission possess the necessary number of staff to fulfill these roles? Please explain your response.
3. Do these staff members possess the appropriate and relevant skills/training or expertise?
4. If the answer is in the negative, what mechanisms are there to address this paucity in staff with the required skills and training?
5. Is the budgetary logistics of the Commission adequate to fulfill the roles mandated by the law? If NO, how do you adjust to this logistical challenge vis-a-vis your fulfillment of your roles?
6. How do you communicate information about the People’s Survival Fund to the proponents, target beneficiaries and stakeholders? Please explain what are these communication pathways?
7. If you are to rate the effectivity and reliability of these communication pathways (1 being the lowest; and 10, the highest), how would you rate them?
8. What challenges do you encounter in communicating information about the PSF? How do you address these challenges?

9. What recommendations do you propose to improve these communication pathways between your institution and the target beneficiaries of the People's Survival Fund?
10. Does the existing policy on People's Survival Fund provides for inter-agency coordination and/or multi-sectoral collaboration? Please explain how.
11. Based on current practices within the Commission, how does the Commission collaborate with other agencies/sector/institutions that have stakes in the People's Survival Fund?
12. Which among these collaborating agencies have:
 - a. Complementing roles;
 - b. Conflicting roles;
 - c. Overlapping roles?
13. How are these conflicting and complementing roles reconciled and harmonized?
14. What are the identifiable areas of synergy or cooperation among these agencies/units?
15. How does the private/business sector engage in the implementation and delivery of the People's Survival Fund?
16. What barriers are there that prevent the business sector from taking part in the implementation of the People's Survival Fund? How are these challenges addressed by the Commission?
17. Are there any influences/pressure from international or national actor or institutions? If any, how do they affect the implementation of the People's Survival Fund?

III. On the Operationalization of People's Survival Fund

1. What climate adaptation projects or initiatives are supported by the People's Survival Fund?
2. Who can access the People's Survival Fund? What are the eligibility criteria?
3. To what sources are the fund for People's Survival Fund taken from?
4. What institutions are involved in the governance and disposition of the People's Survival Fund?
5. What are the roles of these institutions in the management of the People's Survival Fund?
6. What criteria are used in the prioritization and approval of climate adaptation projects which will be financed through the People's Survival Fund?
7. During the last three (3) years of the operation of the People's Survival Fund, how many climate adaptation proposals were:
 - a. Approved during the pre-selection/initial screening but failed to gain approval during the final approval stage at the PSF Board level?
 - b. Approved both during the initial screening and final approval stage at the PSF Board level?
 - c. Disapproved even during the pre-selection stage/initial screening stage?
8. What processes are involved in the implementation and delivery of the People's Survival Fund along the following:

- a. Preparation and submission of climate adaptation project proposals by proponents?
 - b. Screening, evaluation and approval of the proposals?
 - c. Implementation, monitoring and evaluation of approved climate adaptation projects?
9. Who are involved in the decision-making process in 8 a-c?
10. What are the possible reasons why some proposals received greenlight from the People's Survival Fund Board, while others failed to do so?
11. If the reason for non-approval is failure to meet technical requirements, what mechanisms are implemented to address these problems?
12. If the failure to comply with the requirements is due to the complexity of the process involved in the preparation of project proposals, how does the Commission improvise or innovate to make the process less complex or simplify procedures?
13. What are the factors that account for climate adaptation project proposals to be worthy of approval by the People's Survival Fund Board?
14. What capacity and knowledge empowerment activities are in place to help proponents prepare a feasible and acceptable project proposal?
15. What coordination activities with the local government units are established by the Commission? How effective are these coordination activities?
16. To what extent are the information about the People's Survival Fund available for local government units and other stakeholders?

APPENDIX D
SEMI-STRUCTURED INTERVIEW CHECKLIST FOR THE KEY
INFORMANTS FROM THE LOCAL GOVERNMENT UNITS

I. On the Accessibility of Knowledge/Information About People's Survival Fund (PSF)

1. How did you know about the People's Survival Fund?
2. Are the employees of the municipality aware of the existence of the People's Survival Fund? If YES, to what extent do you perceive is this level of awareness (1 being the lowest and 5 the highest)? If NO, what could be the reasons for such non-awareness or low level of awareness?
3. Does the Climate Change Commission coordinate with your municipality about programs, projects or initiatives of the national government about climate change adaptation?
4. If YES, what are these forms of coordination? If NO, why so?
5. In your opinion, how effective are the communication pathways used by the Climate Change Commission in addressing the knowledge gap about the People's Survival Fund?
6. What could have been done better by the Climate Change Commission to effectively cascade or mainstream the information at the local level?

II. On the Key Success Factors in Successfully Accessing the People's Survival Fund

A. Existence of Local Institutional Unit for Climate Adaptation Activities and Local Administrative/Technical Capacities

1. Does your municipality have an existing local institutional unit specifically in-charge for climate change activities? If so, what are the roles of this unit?
2. Does this local institutional unit collaborate with other units/departments of the municipality for purposes of planning and decision-making?
3. What are these forms of inter-unit or inter-department collaborations or coordination?
4. Does this local institutional unit possess the appropriate number of staff with the required knowledge/training? If NO, what mechanisms are there to address these problems? If YES, what activities are being implemented to further strengthen their skills and capacities?
5. Does your municipality have an existing Local Climate Change Action Plan (LCCAP)? Who were involved in the preparation of this plan? Please explain the roles of the participants?
6. What forms of participation or involvement are in place to engage stakeholders in the preparation of Local Climate Change Action Plan (LCCAP)?
7. Are documents relative to your locality's exposure to hazards, threats, sensitivity and adaptive capacity to the changing climate available? If YES, what type of

- document is this (Climate and Disaster Risks Assessment, Climate and Disaster Risks Vulnerability Assessment, Risks Vulnerability Assessment)?
8. Are these documents evidence-based and have strong reference to climate adaptation activities?

B. Local Funding for Climate Change Adaptation Activities

9. Does your municipality allocate a portion of its budget for climate adaptation activities? If YES, to what extent of the budget does your local government unit appropriate for these activities? If NO, how does your municipality source out funds for its climate adaptation activities?
10. Does your municipality allocate funds for the local institutional unit in-charge for the climate change related activities? If NO, how does this unit cope up with this operational logistical concerns vis-a-vis in fulfilling their roles? If YES, to what extent of the municipality budget do you allocate for their operations?

C. Coherence and Alignment to National and Local Policy Objectives

11. What is the title of the project proposal you submitted to the People's Survival Fund Secretariat? What are the goals envisioned in this proposal?
12. What potential benefits will redound to the immediate locality in this project?
13. How does your project relate to the country's National Climate Change Adaptation Plan or your municipality's Local Climate Action Plan?
14. How will this project benefit vulnerable sector such as women, children and persons with disabilities? How will their participation be engaged in this project?
15. Will the private sector be involved in the implementation of this project?
16. How sustainable is the project in the long-term?
17. Is there a possibility for this project to be replicated in other areas or upscaled for greater implementation?
18. What monitoring and evaluation mechanisms are in place to ensure the successful implementation of the project?

D. Perceived Key Success Factors (for Successful Project Proponent)

19. What do you think are the key success factors in the approval of your proposal? Please elaborate on your response.
20. Judging from the initial conceptualization up to the final approval of the project, which aspect of your logistics prove to be the most helpful in the approval of the proposal?
21. What problems have you encountered in the preparation and submission of the proposal? What improvisation or innovation did you execute to address these problems?
22. What recommendations can you propose for other LGUs or proponents based on your experience in successfully accessing the People's Survival Fund?
23. What loopholes should other project proponents avoid in order for their project to get the nod of the People's Survival Fund Board?

24. What bureaucratic barriers hinder project proponents in successfully accessing the People's Survival Fund?
25. Would you recommend other project proponents to follow the example you have set in accessing the People's Survival Fund? Why or why not?
26. Given the chance to submit another project proposal, would you do it again? Why or why not?

E. Perceived Reasons for Rejection of the Project Proposal (for Unsuccessful Project Proponent)

27. What do you think could be reasons in the disapproval of your proposal? Please elaborate on your response.
28. Judging from the initial conceptualization up to the final approval of the project, which aspects of your preparations could have been improved to get a better chance for your proposal to get approval from the PSF Board?
29. What problems have you encountered in the preparation and submission of the proposal? What improvisation or innovation did you execute to address these problems?
30. What recommendations can you propose for other LGUs or proponents based on your experience for proposals to improve their chances in getting approval of their proposal?
31. What loopholes should other project proponents avoid in order for their project to get the nod of the People's Survival Fund Board?
32. What bureaucratic barriers hinder project proponents in successfully accessing the People's Survival Fund?
33. Do you find the requirements demanding or taxing enough as to dissuade proponents from submitting proposals? If YES, why?
34. Do you find the process of submission and approval too bureaucratic? What could have been done to improve or simplify the procedure?
35. Would you recommend other project proponents to follow the example you have set in accessing the People's Survival Fund? Why or why not?
36. Given the chance to submit another project proposal, would you do it again? Why or why not?

APPENDIX E
GUIDE QUESTIONS FOR THE FOCUS GROUP DISCUSSION FOR THE
KEY INFORMANTS FROM THE MUNICIPALITY OF GERONA

I. Awareness and Perception About Climate Change Adaptation and the People’s Survival Fund (PSF)

1. What do you know about climate change in your community?
2. What environmental changes have you observed in the last 20 years?
3. What are the impacts of these changes to your agricultural activities and production?
4. Are you aware of any climate adaptation projects or activities in your community?
5. What do you know about the People’s Survival Fund?
6. How did you come to know about the People’s Survival Fund?

II. On Stakeholder Engagement and Participation

1. Do you know about the climate adaptation project of your municipality entitled “Resiliency and Climate-Informed Gerona”?
2. What is your general perception of this project?
3. How do you think your sector can benefit from this project?
4. Were you involved or consulted in the preparation of the project?
5. In what ways can you participate in this project?
6. In what ways can your sector effectively participate to projects funded by the People’s Survival Fund?
7. What obstacles do you think prevents people from accessing information about the People’s Survival Fund?

III. Recommendations and suggestions for improving communication and coordination about climate-change adaptation projects and the People’s Survival Fund

1. In what ways can the local government unit effectively disseminate information about climate change adaptation activities?
2. In what ways can the local government unit effectively attract their constituencies in taking part in crafting policies and making decisions regarding climate change adaptation initiatives?
3. How do you think the government should address knowledge gap about the importance of climate change adaptation activities and People’s Survival Fund?

APPENDIX F
PCI Framework for Climate Change Policy Assessment

Principle	Criteria	Indicators
Climate change policies are designed for ease of implementation	Policy objectives are clearly expressed.	<p>---Targeted objectives are listed in the policy documentation.</p> <p>----Timelines to achieve the set policy objectives are articulated in the relevant policy documents.</p> <p>----The method for mobilising financial resources to implement the policy is contained within the policy statement.</p>
	Subsidiary instruments for implementation accompany the policies.	<p>---Subsidiary instruments to achieve specific policy objectives are identifiable within the policy documents.</p> <p>----Timelines are in place to establish appropriate subsidiary instruments.</p> <p>---Appropriate subsidiary instruments are legally gazetted.</p>
The legitimacy of climate change policies shall be recognised by stakeholders.	Key stakeholders' interests are represented in policymaking processes.	<p>---Policy-making platforms exist, where key policy decisions are made (e.g. policy working groups, expert working groups, sector working groups).</p> <p>----Existing policy platforms provide for representation of key stakeholders from both government and civil society.</p> <p>---Existing policy platforms provide opportunities for stakeholders to contribute to the policy-making process.</p>
	Policy-making is evidence-based.	<p>---The policy formulation process is preceded by, and benefits from, background analytical work.</p> <p>---Policy think tanks and research institutions provide evidence-based analysis to support the policy process.</p> <p>---Relevant policy documents contain explicit references to background analytical work and contributions from policy think tanks</p>
Climate change policies shall be coherent with national development policies.	Policy statements on climate change acknowledge national	Reference is made to national development in the national climate change policy.
	Climate change actions are consistent with strategies and planning processes for national development.	Climate change strategy documents and national development goals refer to each other.
Climate change policies shall promote transparency in climate finance delivery	Climate change policies provide for the establishment and operationalization of mechanisms and modalities to promote transparency.	Mechanisms and modalities exist to promote transparency of climate finance.

Source: Policy-Related Effectiveness PCI for Climate Finance Delivery (Bird, 2013)

APPENDIX G
PCI Framework for Assessment of Institutional
Architecture and Processes

Principle	Criteria	Indicators
Principle of leadership coordination mechanisms on climate finance delivery	A focal agency in the national level for climate finance delivery is established within the government administration.	<p>---The national lead institution has the mandate to determine or advise on what constitutes climate finance.</p> <p>---The national lead institution provides specific inputs and guidance into the budget process and the budget on what constitutes climate finance.</p>
	Key stakeholders know the roles actors play in the delivery of climate finance	All mandated national institutions report their expenditures on climate change activities each financial year.
	Other actors within the policy making process outside government (e.g. the legislature, party-governing committees) review and challenge policy.	Relevant actors provide opportunities (presentation of memoranda, petitions, convening of public hearings) and encourage non-state actors working on climate change to present their voices.
	Institutional arrangements are in place for inter-agency collaboration	<p>---Mechanisms for inter-agency collaboration between climate change institutions and other national institutions can be identified.</p> <p>---Reports on inter-agency collaboration and climate-financed activities are available to the public.</p>
Principle of innovation and improvisation	The national response to climate change facilitates the adoption of change and promotes innovation.	New institutional arrangements are established as demand occurs through appropriate policy, administrative or political action (e.g. through the production of national strategies and action plans).
Principle of localized institutionalization	Institutional arrangements respond and adapt to local needs.	Funding is directed to local climate change institutions within the national budgetary system.

Source: Modified Policy-Related Effectiveness PCI for Climate Finance Delivery (Adopted from Bird, 2013)

APPENDIX H

National-level plans, strategies and legislations reviewed related to climate change adaptation

National Plans and Objective	Climate Change Adaptation Provisions	Remarks/Observations
<p>Philippine Development Plan 2017-2022 articulates the vision for the country, for which government will formulate policies and implement programs and projects towards sustainable development</p>	<p>It provides for a sustainable integrated area development (SIAD) and participatory environmental governance as an overarching principle that will be adopted in addressing ecological, economic, political, cultural, societal, human, and spiritual challenges and opportunities in a specific area.</p> <p>Mainstream ecosystem values into national and local development planning by institutionalizing ecosystem valuation and natural resource monitoring system and developing a policy for Payments for Ecosystem Services.</p> <p>To increase adaptive capacities and resilience of ecosystems, it adopts the following strategies:</p> <p>(1) Strengthen the implementation of climate change adaptation and disaster risk reduction across sectors, particularly at the local level (2) Strengthen institutional response to disasters. (3) Strengthen the monitoring and evaluation of the effectiveness of climate change and disaster risk reduction and management actions.</p> <p>To ensure asset preservation, it provides for the incorporation of climate change adaptation and disaster resilience measures in infrastructure development</p>	<p>The plan contains explicit statements on climate change adaptation as an integral component to achieving sustainable development.</p> <p>Provision for strengthening the implementation of Climate Change Action (CCA) and Disaster Risk Reduction (DRR) actions across sectors through horizontal and vertical integration of climate resilient planning, programming and budgeting on climate change and Disaster Risk Reduction Management and mainstreaming of climate change information to the local level.</p> <p>While it acknowledges that there is lack of sustainable financing and limited access to available funding facilities for environmental management, climate change and disaster reduction and risk management, there was no mention of mechanism to finance climate change adaptation initiatives.</p>
<p>National Climate Change Action Plan (NCCAP) outlines the specific programs and strategies for adaptation and mitigation for 2011 to 2028.</p>	<p>It provides for key actions that:</p> <p>(i) enhances adaptive capacity and resilience of communities and natural ecosystems to climate change.</p> <p>(ii) adopts the total economic valuation of natural resources while ensuring biodiversity conservation.</p> <p>(iii) recognizes the competitive advantage of putting value on the direct use, indirect use, option to use and non-use of environment and natural resources, as a short to long-term sustainable development goal.</p> <p>The plan also provides for the priority areas for climate change adaptation actions: (i) food security; (ii) water sufficiency; (iii) ecological and</p>	<p>It recognizes that the implementation of the NCCAP involves looking at two very important aspects: national and local implementation mechanisms, and financing. It presents a discussion on mitigation and adaptation financing and made mention which areas should financing be channeled.</p>

	environmental stability; (iv) human security; (v) climate-friendly industries and services; (vi) sustainable energy; and (vii) knowledge capacity and development	The plan also made mention of number of potential sources of international and domestic financing for climate change.
National Strategies and Objective	Climate Change Adaptation Provisions	Remarks/Observations
National Framework Strategy on Climate Change (2010-2022) envision a climate risk-resilient Philippines with a healthy, safe, prosperous, and self-reliant communities, and thriving and productive systems through building adaptive capacity of communities and increase the resilience of the natural ecosystems to climate change, and optimize mitigation opportunities towards sustainable development	It provides for the following: mitigation pillar, adaptation pillar, synergy of mitigation and adaptation, and cross-cutting themes. The mitigation pillar includes managing energy demand through energy efficiency and conservation programs; managing energy supply through the use of low-carbon and renewable energy. The adaptation pillar includes enhanced vulnerability and adaptation assessments, eco-system management (river basin management, coastal and marine systems, biodiversity); water management; climate-responsive agriculture; climate-responsive health sector; climate-proofing infrastructure; and disaster risk reduction. The synergy between mitigation and adaptation is also underscored, and cross-cutting strategies are portrayed, among others capacity building in all level of governance, knowledge management and education; research and development and technology transfer	The document clearly provides strategic framework in prioritizing climate related vulnerabilities and refining adaptation strategies in both national and local settings. Specific strategy for capacity development is underscored in the document. It is likewise definitive as to the strategies in strengthening the capacity of local, regional and national institutions and individual stakeholders for undertaking climate change initiatives. However, it is silent as to details as to how climate change actions will be funded
Philippine Strategy on Climate Change Adaptation delineates strategies across various areas for adaptation from various sectors of the society	Addresses needs and concerns in eight sectors: Agriculture, Biodiversity, Coastal and Marine, Forestry, Water, Health, Energy, and Infrastructure (Climate Change Commission, 2015). Collaboration has been enshrined in the law to continue the process of localized consultations and ensure that national strategies will be enriched by ground-level realities and experiences. The multi-stakeholder approach assures that everyone has a voice during the regular meetings, workshops, conferences and general assemblies.	There is explicit provision for collaboration of institutions consisting from national agencies, legislative branch, the academe, business and civil society.
National Legislations and Objective	Climate Change Adaptation Provisions	Remarks/Observations
Climate Change Act of 2009 (Republic Act 9729)	It provides for the creation of Framework Strategy and Program on climate change which shall be formulated based on climate change vulnerabilities,	Recognition of multi-sectoral and multi-stakeholder approach is emphasized.

<p>systematically integrates the concept of climate change in various phases of policy formulation, development plans, poverty reduction strategies and other development tools and techniques by all agencies and instrumentalities of the government.</p>	<p>specific adaptation needs and mitigation potential, and in accordance with the international agreements. One of the components of this Framework Strategy is impact, vulnerability and adaptation assessments. It also provides for the creation of the National Climate Action Plan one of the components of which is the identification of options, prioritization of appropriate adaptation measures for joint projects of national and local governments.</p> <p>The law tasks the local government units as the frontline agencies in the formulation, planning and implementation of climate change action plans in their respective areas, consistent with the provisions of the Local Government Code, the Framework, and the National Climate Change Action Plan. Alongside this, municipal and city governments shall consider climate change adaptation, as one of their regular functions.</p> <p>The law also provides for the creation of the Climate Change Commission which is tasked among other functions, to recommend legislation, policies, strategies, programs on and appropriations for climate change adaptation and mitigation and other related activities and create an enabling environment that shall promote broader multi-stakeholder participation and integrate climate change mitigation and adaptation.</p>	<p>There is also emphasis on decentralizing formulation of adaptation projects in the local government units. While it provides for funding allocation for climate change activities for LGU, it does not specify how and from where LGUSs should source out funding to implement climate change programs and projects have not been determined. Likewise, it also lacks a monitoring and evaluation framework</p>
<p>Philippine Disaster Risk Reduction and Management Act of 2010 (RA 1021) provides for the development of policies and plans and the implementation of actions and measures pertaining to all aspects of disaster risk reduction and management, including good governance, risk assessment and early warning, knowledge building and awareness raising, reducing underlying risk factors, and preparedness for effective response and early recovery.</p>	<p>It provides for the creation of the National Disaster Risk Reduction and Management Council (NDRRMC), an inter-governmental and multi-sectoral body empowered with policy-making, coordination, integration, supervision, monitoring and evaluation functions relative to disaster risk reduction and management.</p> <p>The law provides that the NDRRMC shall formulate and implement a framework for climate change adaptation and disaster risk reduction and management from which all policies, programs, and projects shall be based in coordination with the Climate Change Commission.</p> <p>The law likewise provides for the creation of Local Disaster Risk Reduction and Management Council (LDRRMC), an inter-departmental and multi-sectoral body tasked to ensure the integration of disaster risk reduction and climate change adaptation into local development plans, programs and budgets as a strategy in sustainable development and poverty reduction; The Office of Civil Defense (OCD) is given the mandate of administering a comprehensive national civil defense and disaster risk reduction and management program by providing leadership in the continuous development of strategic and systematic approaches as well as measures</p>	<p>The law is a good entry point for local adaptation strategies allowing multi-layered governance, multi-sectoral and multi-stakeholder approach in dealing with climate change. Funding is provided for in the law.</p>

	to reduce the vulnerabilities and risks to hazards and manage the consequences of disasters.	
<p>The People’s Survival Fund Law (Republic Act 10174) establishes the People’s Survival Fund to provide long-term financing to enable the Government to effectively address the problem of Climate change.</p>	<p>It creates the People’s Survival Fund Board mandated to oversee policy and strategy on how the funds will be used.</p> <p>The PSF is funded by the General Appropriations Act with a guaranteed annual budget of PHP1bn (USD 22.2m). Allows for the augmentation of the fund through donations, endowments, grants and contributions.</p> <p>The law is specifically intended for adaptation activities along the following priority areas: (i) adaptation activities in water resources management, land management, agriculture and fisheries, health, infrastructure development, natural ecosystems including mountainous and coastal ecosystems; (ii) improvement of the monitoring of vector-borne diseases triggered by climate change, and in this context improving disease control and prevention; (iii) forecasting and early warning systems as part of preparedness for climate-related hazards; (iv) institutional development, for the LGUs in partnership with local communities and NGOs, for preventive measures, planning, preparedness and management of impacts relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme climate events; and (v) strengthening or establishing regional centres and information networks to support climate change adaptation initiatives and projects. The fund may also serve as a guarantee for risk insurance needs for farmers, agricultural workers, and other stakeholders.</p>	<p>Addresses the absence of funding mechanism provision in the Climate Change Act of 2009 and provides detailed account for finance mechanism, the creation of People’s Survival Fund, the source of such fund, uses of the fund and the institutional governance that will oversee the administration of the fund.</p>

APPENDIX I

Result of the Analysis of the PSF Policy Using the PCI Framework on Climate Change Policy Assessment

Criteria	Indicators	Assessment of the People's Survival Fund Law/Policies	Remarks
<i>A. PRINCIPLE NUMBER 1: Climate change policies are designed for ease of implementation</i>			
Policy objectives are clearly expressed.	<p>---Targeted objectives are listed in the policy documentation.</p> <p>---Timelines to achieve the set policy objectives are articulated in the relevant policy documents.</p> <p>---The method for mobilising financial resources to implement the policy is contained within the policy statement.</p>	<p>Objectives are clearly articulated in the policy documents mentioned. The State's twin policy objectives of mitigation and adaptation are explicitly mentioned in Section 2 of the Climate Change Act of 2009 (RA 9729) and Section 1 of the People's Survival Fund Law (RA 10174).</p> <p>These objectives were contextualized along identified priority areas with the timelines clearly expressed in the National Climate Change Action Plan, specifically Annex A (Outcomes, Outputs and Activities for 2011-2028, page 61) of the document.</p> <p>As to the method of mobilization of fund, both the Climate Change Act of 2009 (RA 9729) and People's Survival Fund Law (RA 10174) has express provisions for funding climate change actions, to wit Section 18 and Section 13 respectively. There is an evident mention of domestic fund, the People's Survival Fund for climate adaptation projects of local government units. Other sources of funding such as donation, grants, endowments, etc. are likewise mentioned</p>	COMPLIANT
Subsidiary instruments for implementation accompany the policies.	<p>---Subsidiary instruments to achieve specific policy objectives are identifiable within the policy documents.</p> <p>---Timelines are in place to establish appropriate subsidiary instruments.</p> <p>---Appropriate subsidiary instruments are legally gazetted.</p>	<p>National policies are facilitated through the development of subsidiary instruments that detail what is needed to achieve policy goals. The National Climate Change Action Plan, the Local Climate Change Action Plan, the Philippine Strategy for Climate Change Adaptation and the People's Survival Fund Manual are among the subsidiary instruments which detail how the policy objectives are to be achieved. These documents are legally gazetted.</p> <p>While these documents provide for the priority programs and the specific strategies in general, they lack detail on the budgeted cost and expected sources of fund as guide for implementation.</p>	PARTIALLY COMPLIANT
PRINCIPLE NUMBER 2: The legitimacy of climate change policies shall be recognized by stakeholders.			

<p>Key stakeholders' interests are represented in policymaking processes</p>	<p>---Policy-making platforms exist where key policy decisions are made (e.g. policy working groups, expert working groups, sector working groups). -----Existing policy platforms provide for representation of key stakeholders from both government and civil society. ---Existing policy platforms provide opportunities for stakeholders to contribute to the policy-making process.</p>	<p>The Climate Change Commission is tasked as the lead policy-making body of the government, which will coordinate, monitor and evaluate the programs and action plans of the government in order to ensure the mainstreaming of climate change into the national, sectoral and local development plans and programs. It is an intergovernmental, multi-sectoral body that provides representation from the executive departments, local government units, academe, private sector, women sector, and the civil society (Section 5, RA 10174). It is less clear however how the views of the stakeholders were incorporated in the NCCAP.</p> <p>In the crafting of policies, the Climate Change Commission is assisted by the Climate Change Advisory Board and the National Panel of Technical Experts (refer to the organizational structure of the Climate Change Commission). The People's Survival Fund Board is composed of the following members: (a) Secretary of the Department of Finance as Chair; (b) Vice Chairperson of the Commission; (c) Secretary of the Department of Budget and Management; (d) Director-General of the National Economic and Development Authority; (e) Secretary of the Department of the Interior and Local Government; (f) Chairperson of the Philippine Commission on Women; (g) a representative from the academe and scientific community; (h) a representative from the business sector; and (i) a representative from the NGOs (Section 21, RA 10174).</p> <p>The National Climate Change Action Plan (NCCAP) was drafted by various agencies and organizations which participated in the consultations and workshops. The plan outlines the strategic direction for 2011 to 2028 along identified clusters such as food security, water sufficiency, ecological and environmental stability, human security, climate-smart industries and services, sustainable energy and knowledge and capacity development. The NCCAP indicated that <i>in drafting the NCCAP, the multi-sectoral processes conducted ensured that the concerns of various sectors are heard and considered.</i> (NCCAP, page 5).</p> <p>Representative from government agencies with mandates along such cluster, private sector and the civil societies accordingly contributed in</p>	<p>COMPLIANT</p>
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		<p>the process of drafting the plan. (National Climate Change Action Plan pages 51-60)</p> <p>The formulation of the Philippine Strategy on Climate Change Adaptation builds on existing institutional processes but gives strong emphasis on collaboration among national agencies, the legislative branch, the academy, business and civil society. Eight technical working groups were organized to tackle needs and concerns in eight major sectors: Agriculture, Biodiversity; Coastal and Marine; Forestry; Water; Health; Energy; and Infrastructure.</p>	
Policy-making is evidence-based	<p>---The policy formulation process is preceded by, and benefits from, background analytical work.</p> <p>---Policy think tanks and research institutions provide evidence-based analysis to support the policy process.</p> <p>---Relevant policy documents contain explicit references to background analytical work and contributions from policy think tanks</p>	<p>In the formulation of the Climate Change Act of 2009 and the People's Survival Fund Law, explicit references to such concepts as climate justice, Common but Differentiated Responsibilities, Precautionary Principle, United Nations Framework Convention on Climate Change (UNFCCC) were made in Section 2 of the law.</p> <p>The same can be commented on the formulation of the National Climate Change Action Plan where policy think tanks and research institutions provide evidence-based analysis. This is evident in the following: along the area of food security (studies from National Economic Development Authority, UNDP, etc.); water sufficiency (references were made on studies conducted by NEDA and the Greenpeace); sustainable energy (reference to a study conducted by the Renewable Energy Coalition (page 28). In part 8 of the NCCAP relative to cross-cutting strategies, reference was made to a study done by <i>Centro Saka</i>, a Philippine nongovernment organization engaged primarily in policy research, policy advocacy, networking, capability building and economic interconnections of agrarian reform and rural development issues (NCCAP, page 36). On climate financing, the document referred to a study conducted by the Resources, Environment and Economics Center for Studies (NCCAP, page 44) and the National Environmental, Economic and Development Study (NEEDS) for Climate Change, EMB-DENR and REECS (NCCAP, page 45).</p>	COMPLIANT
PRINCIPLE NUMBER 3: Climate change policies shall be coherent with national development policies			
Policy statements on climate	Reference is made to national development in the	The People's Survival Fund Law acknowledges sustainable development as a national development goal. Under Section 2	

<p>change acknowledge national development policies</p>	<p>national climate change policy.</p>	<p>(Declaration of Policy) of RA 10174, the State <i>espouses sustainable development, to fulfill human needs while maintaining the quality of the natural environment for current and future generation.</i> It also mentioned that <i>the State shall strengthen, integrate, consolidate and institutionalize government initiatives to achieve coordination in the implementation of plans and programs to address climate change in the context of sustainable development.</i> The law also declares: <i>"...Cognizant of the need to ensure that national and sub-national government policies, plans, programs and projects are founded upon sound environmental considerations and the principle of sustainable development, it is hereby declared the policy of the State to systematically integrate the concept of climate change in various phases of policy formulation, development plans, poverty reduction strategies and other development tools and techniques by all agencies and instrumentalities of the government."</i></p>	<p>COMPLIANT</p>
<p>Climate change actions are consistent with strategies and planning processes for national development.</p>	<p>Climate change strategy documents and national development goals refer to each other.</p>	<p>The National Framework Strategy for Climate Change (2010-2022) in its Framework Context declares that the document <i>shall guide the national and subnational development planning processes, specifically the formulation of the Medium Term Development Plan (MTDP), Medium Term Public Investment Program (MTIP), Medium Term Regional Development Plan (MTRDP), Medium Term Regional Public Investment Program (MTRIP), etc.</i> (National Framework Strategy for Climate Change, page 8). The National Climate Change Action Plan adopts the sector approach in integrating national development goals, particularly for those sectors identified as being vulnerable to the impacts of climate change (e.g. agriculture, water and energy). Part 6 of the Philippine Development Plan (2017-2022) is devoted to Foundations of Sustainable Development which among other things include ensuring ecological integrity, clean and healthy environment, Sustainable integrated area development (SIAD) and participatory environmental governance will be an overarching principle that will be adopted in addressing ecological, economic, political, cultural, societal, human, and spiritual challenges and opportunities in a specific area. Climate change and disaster risks is also seriously considered (Philippine Development Plan, page 42-44).</p>	<p>COMPLIANT</p>

<i>PRINCIPLE NUMBER 4: Climate change policies shall promote transparency in climate finance delivery.</i>			
Climate change policies provide for the establishment and operationalization of mechanisms and modalities to promote transparency.	Mechanisms and modalities exist to promote transparency of climate finance.	<p>The law itself, the People’s Survival Fund Law, does not have mechanisms and modalities through which transparency in the process of approving project proposals are done but the Climate Change Commission published a handbook containing relevant information about the fund.</p> <p>The People’s Survival Fund Proponent’s Handbook provides for the eligibility requirements, clear scoring criteria and the processes involved before funding decisions are made, implemented, monitored and evaluated.</p> <p>However, there is no mechanism through which the public could monitor the approval and delivery of the fund as there is no public database about projects approved, budget allocated, their status of completion, etc.</p>	PARTIALLY COMPLIANT

APPENDIX J
Result of the Analysis of the Six PSF-Funded Projects Using the PCI
Framework on Climate Change Policy Assessment

PSF-Funded Project	Analysis	Assessment
Siargao Climate Field School for Farmers and Fisherfolk	<p>Ease of Implementation. The policy objectives of the project are clear and explicitly stated in their project proposal with specific timeline of accomplishments. Subsidiary instruments in the local level include their Local Climate Change Action Plan (LCCAP) and Approved Workplan.</p> <p>Legitimacy. Key stakeholders in the project were properly represented. There is representation from both government and non-governmental organization. Their project is being implemented in partnership with Rice Watch and Action Network, a civil society organization. Their LCCAP and risk vulnerability assessment are science-based.</p> <p>Coherence. Their LCCAP is vertically aligned with the National Climate Change Action Plan. The project itself supports priority areas in the NCCAP, to wit: Food Security; Knowledge and Capacity Development; Human Security; and Sustainable Energy</p> <p>Transparency. The project has a dedicated Facebook page and adequate online presence.</p>	COMPLIANT
Disaster Risk Reduction & Management (Ridge to Reef) as an Adaptation Mechanism to Resiliency	<p>Ease of Implementation. The goal of the project is clearly defined and delineated. The adaptation components of the project are likewise easily determinable from the project such as watershed management, river and mangrove management, forest cover management, and livelihood and capacity development. The municipality has an LCCAP which is based on the vulnerability assessment and Climate Change Action-Disaster Risk Reduction Plan</p> <p>Legitimacy. During the project appraisal, the LGU from the Local Chief Executive down to the Barangay Officials, agencies involved and indigenous people (IPs) expressed their interest, support and commitment to the project provided by different resolutions, the said will be likewise submitted by the LGU. The LGU also released an executive order creating the technical working group composed of MENRO, MEO, MPDO, MAO, MDRRMO, MLGOO. Implementing partners include NGAs such as NCIP & DENR who will be complementing the project implementation.</p> <p>Coherence. This project supports the government's priority areas identified in the National Climate Change Action Plan, to wit: Ecosystem and environmental stability; Knowledge and Capacity Development; Human Security</p> <p>Transparency. There is difficulty in tracking the progress of the project for lack of available public database either from the website of the Climate Change Commission or the website of the local government unit.</p>	COMPLIANT with all the principles except on transparency
Building Resilience through Ecological-Based Farming	<p>Ease of Implementation. The project's objectives are easily identifiable as they are clearly stated from existing project documents. Said project is embedded in their Local Climate Change Action Plan.</p>	COMPLIANT with all the principles

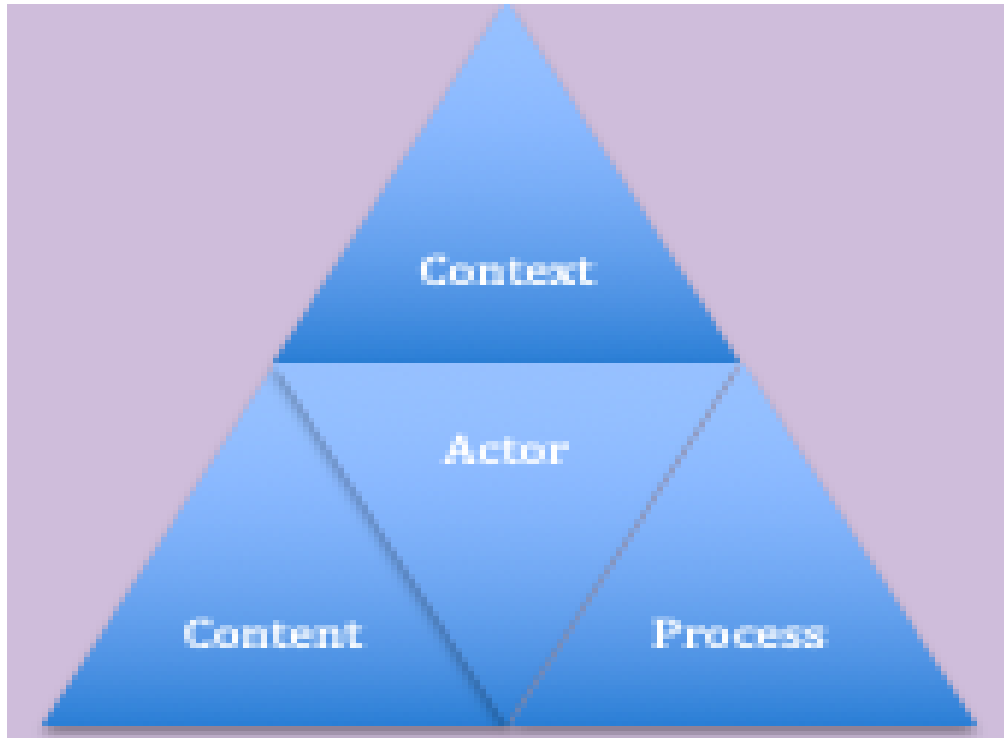
	<p>Legitimacy. The project is a concerted effort of relevant groups in both the government and non-governmental sector. The project is being implemented in partnership with a civil society organization, the Philippine Partnership for the Development of the Human Resources in Rural Areas (PhilDHRRA)</p> <p>Coherence. The project vertically aligns NCCAP's policy priorities along Food Security; Water Sufficiency; Ecosystem and environmental stability; human security. The project institutionalizes and mainstream water resource and development management and engages water-service providers, and water consumers including those from the agriculture sector and local folks in villages.</p> <p>Transparency. There is not enough publicly available information about the project.</p>	except on transparency
Saub Watershed Ecosystem Rehabilitation and Flood Risk Reduction for Increased Resilience	<p>Ease of Implementation. The project's objectives are explicitly stated in project documents. The project intends to develop Saub watershed ecosystem resiliency and community protection through watershed governance, build the capacities of Maitum municipal government, development partners, beneficiaries and stakeholders to adapt to flood risks and impacts of climate-change variability, alleviate poverty through agro-forestry development and establish riverbank protection. The subsidiary instrument is the LCCAP of the municipality.</p> <p>Legitimacy. The project is a product of collaboration of various agencies and units. The project was an offshoot of studies conducted by PENRO and the Provincial Planning and Development Office. Partnering with the province in the undertaking are the municipality of Maitum and the Mindanao State University, Mahintana Foundation Inc. and the Conrado and Ladislawa Alcantara Foundation Inc., which will provide technical assistance in the research, formulation of Saub Watershed Management Plan, project monitoring and evaluation.</p> <p>Coherence. This project supports both the national and local priorities along Food Security; Ecosystem and environmental stability; knowledge and capacity development; human security. The provincial government of Sarangani will manage the project implementation and will work with the Maitum municipal government, which will provide technical and administrative support in all its stages.</p> <p>Transparency. No publicly available data upon which to track the project's progress.</p>	COMPLIANT with all the principles except on transparency
Establishment and Sustainable Management of River Ecosystem in Kitcharao, Agusan del Norte	<p>Ease of Implementation. The project's objectives are clearly defined and delineated, with observed timeline and milestones of accomplishments. Key Result Areas (KRAs) are likewise specified. The Local Government Unit of Kitcharao has LCCAP based on a science-based vulnerability assessment document.</p> <p>Legitimacy. The project engaged the participation of key stakeholders from the planning up until the implementation phase. It also involved the participation of a non-government organization as it is implemented in partnership with Agri-Aqua Coalition Mindanao.</p> <p>Coherence. The project is vertically aligned with the national government's priorities on Ecosystem and environmental stability; climate-smart industries and services; human security as enumerated in the NCCAP.</p>	COMPLIANT with all the principles except on transparency

	<p>Transparency. There is not enough publicly available data through which people can monitor and track the progress of the project.</p>	
<p>Promoting Resiliency and a Climate-Informed Gerona</p>	<p>Ease of Implementation. The project's objectives is specifically mentioned not only in the project document but also in their LCCAP. The project aims to increase access of communities to climate information and warning services, enhance preparedness against climate-related hazards (i.e. drought, flooding), and improve Gerona's water resources leading towards sustainable development. Project's completion has timeline to be observed with deliverables in each timeline. The municipality has both LCCAP and risk vulnerability assessment which provided science-based reasoning in the formulation of the project.</p> <p>Legitimacy. The project was a product of multi-sectoral and inter-departmental collaboration. It also involved the participation of the local community stakeholders such as the farmers. Finally, it also partnered with Rice Watch and Action Network for the implementation of the project; hence, benefitting from the knowledge and technical know-how of the civil society organization.</p> <p>Coherence. This project supports the NCCAP's identified priority areas along Food Security, Water Sufficiency, knowledge and capacity development, and Human Security.</p> <p>Transparency. The project has a dedicated Facebook page and adequate online presence.</p>	<p>COMPLIANT</p>

APPENDIX K

Analysis of the People's Survival Fund Using the Policy Triangle Framework

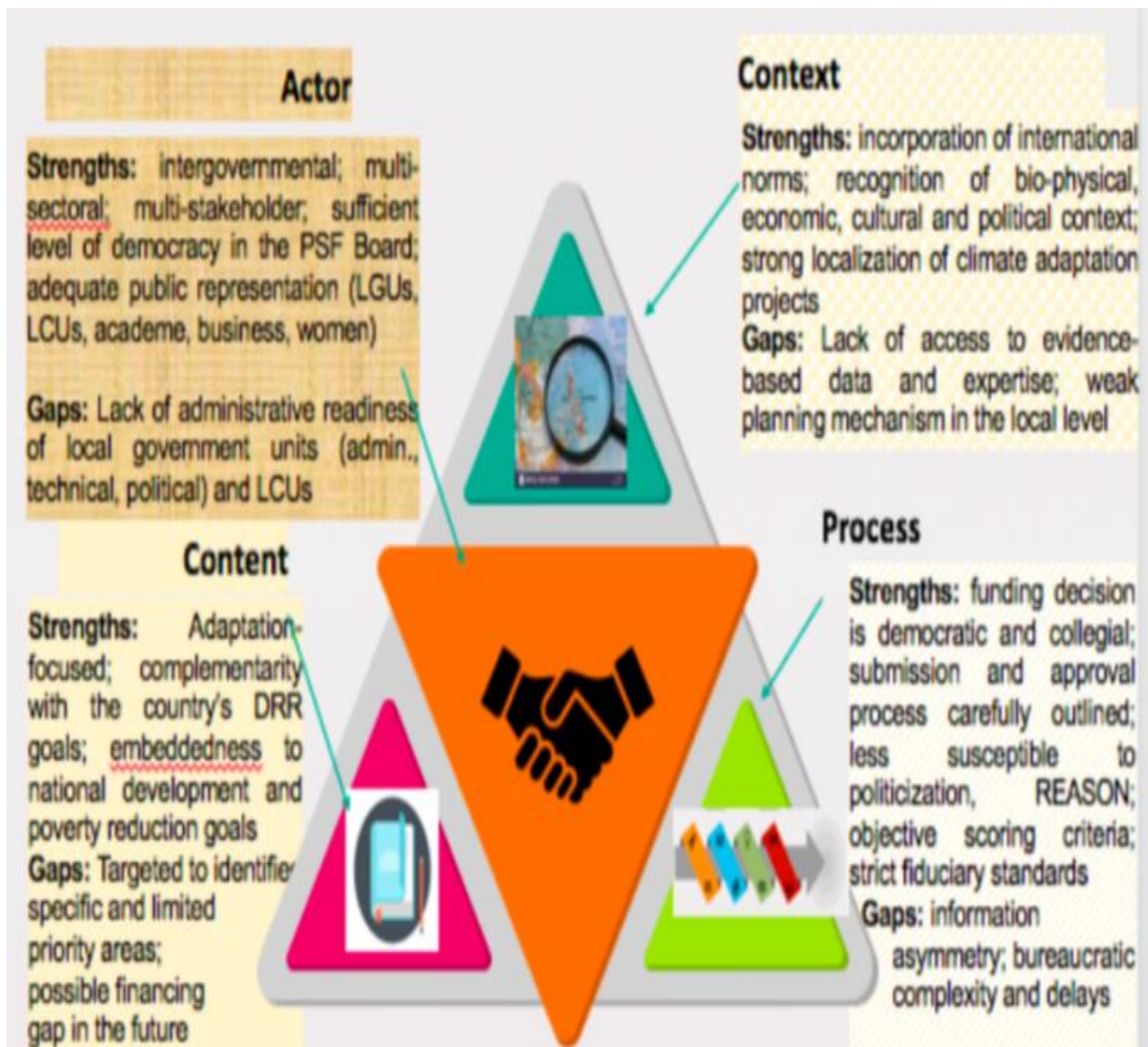
The researcher made use of the Policy Triangle Framework to validate his initial analysis of the PSF policy and related issuances using the PCI Approach. Adapted from Walt and Gilson (1994), the framework consists of four components in analyzing policies: context, actors, process and content



Policy Triangle Framework (Adapted from Walt and Gilson (1994))

The framework allows the analysis of the contextual factors-social, economic, political and international. These factors influence the policy, i.e., the process by which the policy was initiated, formulated, developed, implemented and evaluated; the objectives of the policy and the actors involved in the decision-making. The framework presents a simplified approach to a complex set of interrelationships (El-Jardali, 2014).

A summarized result of the Policy Triangle Framework analysis of the People's Survival Fund Law is illustrated in Figure 8. Detailed results of the analysis the People's Survival Fund policy using this Policy Triangle Framework is presented in Table 7.



Policy Triangle Analysis of the PSF Law

The following findings can be deduced:

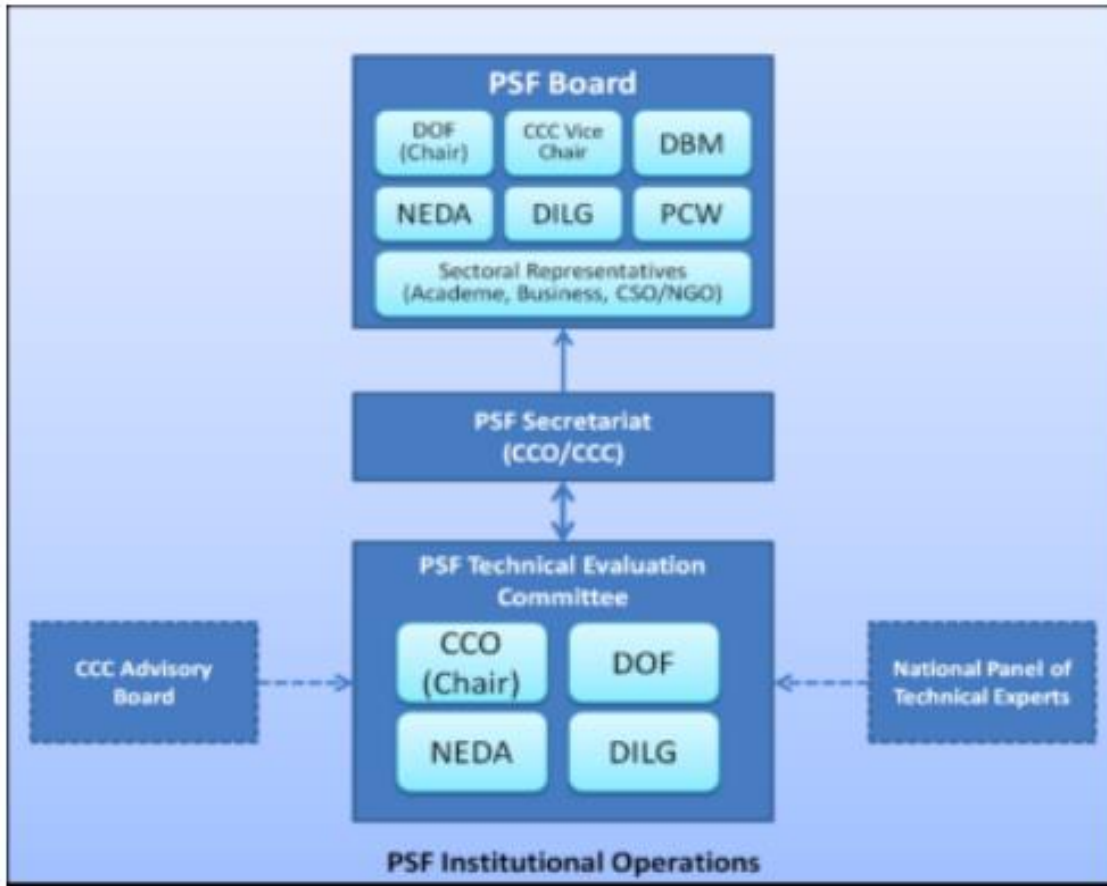
Actor Component. The architectural governance of the People’s Survival Fund can be characterized as multi-level and polycentric in nature. Climate governance in the Philippines is multi-level since both the national and sub-national governments have duties and mandates to perform defined under the law. The Climate Change Act set the tone for multi-level climate response with an overarching mainstreaming approach and the aim of harmonizing and consolidating previous sector-based climate initiatives. The Act calls for the systematic integration of climate change action into policy making processes and development planning by all agencies and levels of government. The PSF Law also defined the roles and responsibilities of nine National Government Agencies and

the Climate Change Commission; hence, giving importance for a stronger cross-sectoral and multi-level climate governance framework.

Moreover, PSF's governance is polycentric since various agencies, sectors and institutions have roles to play in climate change adaptation actions. The Climate Change Commission, for one, is composed of representatives from various agencies of the government. The same can be commented on the composition of the People's Survival Fund Board Being inter-departmental, representatives from Budget and Management, Environment, Interior and Local Government, Economic and Development Authority, Finance, among other agencies of the government. It is also multi-sectoral since representatives from the women, private/business, academe and civil society are likewise represented in the CCC and PSF Board.

Policy Gaps. Such multi-level and polycentric nature of governance can be a double-edged sword for climate governance. On one hand, such type of governance provides for synergistic interplay between different levels of government, as well as between a variety of non-state actors, in governing climate action. It demands collaborative processes and actors operating at multiple interlinked scales. A multi-level climate governance approach can bring about greater alignment or "orchestration" of climate actions (Abbott 2017; Zelli and van Asselt 2013; Chan et al. 2015). However, if coordination and collaboration are not properly executed among interacting actors, it increases the risk of fragmentation (Biermann et al. 2009; van Asselt 2014).

Another gap observed in the multi-level and polycentric nature of governance relative to the PSF Law is the absence of local institutional counterpart of the governance structure of Climate Change Commission. When the law was passed, it appears that there are doubts as to the administrative readiness and absorptive capacity of the local government units to assume the new duties instructed them by the law to perform. While at the national level, the Climate Change Commission performs the coordinative functions among various agencies of the government, no such governance structure exists in the subnational or local level. More often than not, there is no local climate change



Composition of the PSF Board (Source: Climate Change Commission, 2018).

focal person trained to coordinate and liaise on matters related to climate change. If indeed one exists, it is relegated to a local government official who has an already existing function such as the Planning and Development Office (the main planning department), the Environment and Natural Resource Officer (ENRO) or sometimes the Local Disaster Risk Reduction and Management Officer (LDRRMO), more often than not are untrained on climate change actions.

Content Component. In terms of content, PSF’s strength lies on its focus on adaptation and its complementarity on the country’s poverty reduction and disaster risk reduction and management goals.

The People’s Survival Fund is primarily intended for climate change adaptation activities which fills the gap for funding adaptation initiatives of the country. External flows from both bilateral and multilateral sources are biased towards mitigation despite the Philippines not being a major GHG emitter.

The fund is said to complement disaster and risk reduction goal and at the same time the national development goals of the country. As provided for under the People’s Survival

Fund Law, the Fund can be used *“to integrate disaster risk reduction into climate change programs and initiatives recognizing that climate change and disaster risk reduction and management are closely interrelated and effective disaster risk reduction and management will enhance adaptive capacity to climate change, climate variability and extreme climate events.”*

Moreover, knowing that national and sub-national government policies, plans, programs and projects are founded upon sound environmental considerations and the principle of sustainable development, the Fund can likewise be used *“to systematically integrate the concept of climate change in various phases of policy formulation, development plans, poverty reduction strategies and other development tools and techniques by all agencies and instrumentalities of the government,”* as the law so provides.

Policy Gaps. The fund is targeted to but limited priority areas: (1) sectoral vulnerability assessments, (2) monitoring of vector-borne diseases, (3) forecasting and early warning systems, (4) institutional development for LGUs and communities, (5) risk financing, and (6) community adaptation support programs (Section 20, RA 10174). With that said, proposals outside these areas may run the risk of being rejected.

A financing gap could exist in the future considering that the appropriation for the entire country is merely Php1 billion (roughly US\$20 Million) annually. There are around 1700 local government units in the country. If it is to be theoretically assumed that each local government unit’s proposal gets approved in a given year and each project is allocated equally from the Fund, then each local government unit receives a measly 1,000 euro (approximately).

Context Component. Analysis disclosed that the PSF Law acknowledges both international and local contexts. In terms of international context, it recognizes international norms including the bio-physical, economic, cultural and political contexts. Moreover, the PSF law stresses the localization of adaptation function.

Policy Gaps. Poor and disadvantaged LGUs have difficulties complying technical requirements of the proposal which includes Disaster Risk Reduction and Vulnerability Assessment. Considering that not all local government units have science-based data on their peculiar local vulnerabilities, not all local government units may be able to access the fund.

Access to the fund also necessitates submission of the Local Climate Change Action Plan which essentially requires the use of analytic background and reference to science-based reasoning. Only 1 in 10 local government units complied with the requirements of the Climate Change Act of 2009 to submit the Local Climate Change Action Plan (Rappler, 2016).

There are around 1, 500 municipalities in the Philippines, only around 150 submitted their NCCAP to the Climate Change Commission (as of December 2018, actual available LCCAP in the government’s public database).

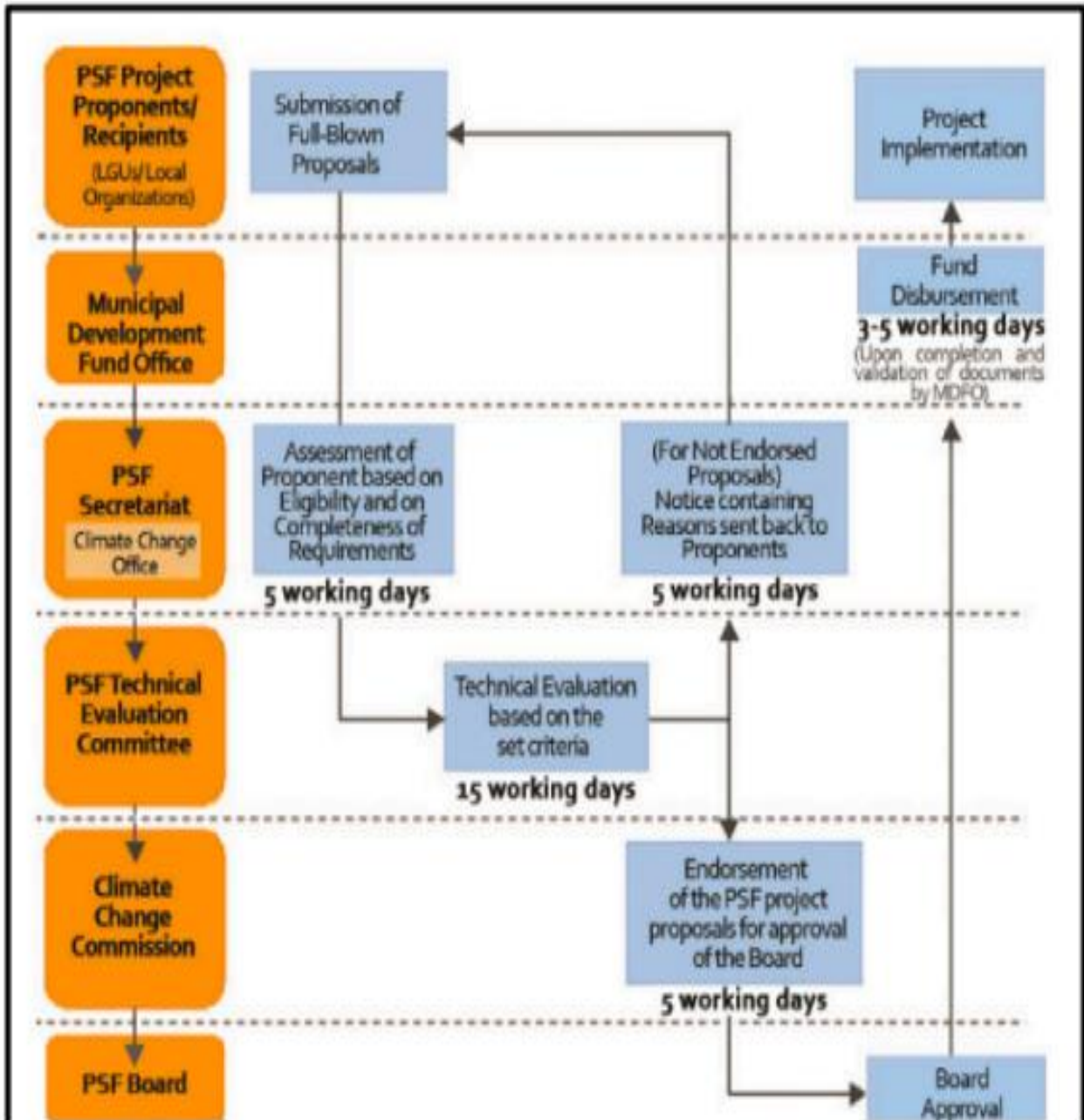
Process Component. Funding decision as defined in the PSF Law is collegial and democratic in character. Moreover, criteria for screening project proposals are highly objective, which makes the approval process less susceptible to politicization.

Finally, disbursement and expenditure of fund is strictly subjected to government accounting and auditing procedures through the Commission on Audit, which lends strict fiduciary standards in the process.

Policy Gaps. Information about the PSF remains low among the local government units. Awareness, knowledge and capacity of local authorities on accessing the PSF remain insignificant. Information and data are provided by the Department of Science and Technology (DOST) and other institutions but specific mechanisms to capacitate and retain knowledge at the local level and at scale are lacking.

Finally, bureaucratic delays impede the expeditious processing of the approval of proposals.

The process flow as established by the Commission only presents the ideal processing time which really takes much longer time in actual practice.



PSF-Established Process Flow of Adaptation Project Approval (Source: Climate Change Commission, 2018).

APPENDIX L

Result of the Analysis of the PSF Policy Using the PCI Framework for Institutional Arrangements and Processes

Criteria	Indicators	Assessment	Remarks
Principle #1 National Mechanism of Coordination in Climate Finance Delivery)			
Leadership of the national response to climate change in terms of climate finance delivery is established within the government administration.	The national lead institution has the mandate to determine or advise on what constitutes climate finance.	<p>Section 10, Executive Order No. 43 provides for the Cabinet Cluster on Climate Change Adaptation and Mitigation as the one taking the lead in pursuing measures to adapt to and mitigate the effects of climate change on the Philippine archipelago; and undertake all the necessary preparation for both natural and manmade disasters. The Climate Change Commission serves as the Secretariat of the cluster.</p> <p>The Climate Change Commission is specifically identified under Philippine laws (Climate Change Act of 2009 and Republic Act 10174) as the lead institution that determines climate finance delivery in the Philippines, more specifically so in climate change adaptation finance. Section 3, Republic Act 10174 provides:</p> <p><i>"There is hereby established a Climate Change Commission, hereinafter referred to as the Commission.</i></p> <p><i>Thu Commission shall be an independent and autonomous body and shall have the same status as that of a national government agency. It shall be attached to the Office of the President.</i></p> <p><i>The Commission shall be the lead policy-making body of the government, which shall be tasked to coordinate, monitor and evaluate the programs and action plans of the government in order to ensure the mainstreaming of climate change into the national, sectoral and local development plans and programs pursuant to the provisions of this Act.</i></p>	COMPLIANT
	The national lead institution provides specific inputs and guidance into the budget process and the budget	<p>Inputs and guidance on what constitutes climate finance are provided by the Climate Change Commission (CCC) in coordination with the Department of Budget and Management (DBM).</p> <p>The DBM, together with the CCC, established a common framework for identifying and tagging climate change expenditures across all NGAs. This Climate Change Expenditure Tagging (CCET) framework consists of policy-</p>	

	on what constitutes climate finance.	<p>based definitions of CC response, a detailed CC typology, a common method for tagging CC expenditure, a process of reviewing and reporting on results, and the assignment of roles and responsibilities to National Government Agencies (NGAs). CCET has been integrated with the DBM's budget systems, a significant step towards its institutionalization.</p> <p>An Operations Manual on National Climate Budgeting was put in place to provide technical staff of the DBM, CCC, and NGAs with guidance on the operationalization of CCET. It ensures a consistent approach to implement one of the foundations of climate budgeting at the national level, including enabling the strengthening of policy discussions using climate budget data. This manual complements the DBM-CCC Joint Memorandum Circular 2015-01 (amended the JMC 2013-01) "Revised Guidelines for CC Expenditure Tagging," and details these key steps of climate budgeting processes, which have been designed to fully align with the yearly planning and budgeting stages at the national level.</p> <p>The Climate Change Commission is tasked to develop a National Climate Budget Document based on CC expenditure tagging of the NGAs in the approved government appropriations act (GAA). Its scope is limited to characterizing the approved budget and towards assessing the climate allocation decisions of the Government in relation to its stated policies and plans.</p>	
Key stakeholders know the roles actors play in the delivery of climate finance	All mandated national institutions report their expenditures on climate change activities each financial year.	The Climate Change Commission (CCC) and the Department of Budget and Management (DBM) issued a Joint Memorandum Circular (JMC) 2013-01 on December 27, 2013 amended to JMC 2015-01 on March 24, 2015, which mandates National Government Agencies (NGAs), Government-Owned and Controlled Corporations (GOCC) and State Universities and Colleges (SUCs) to track their climate change expenditures in their budget submission using the Climate Change Expenditure Tagging (CCET) Guidelines.	COMPLIANT
Other actors within the policy making process outside government (e.g. the legislature, party-governing committees) review and challenge policy.	Relevant actors provide opportunities (presentation of memoranda, petitions, convening of public hearings) and encourage non-state actors working on climate change to present their voices.	Under existing policy context of the People's Survival Fund, other actors on climate change actions are provided opportunities to present their voices. Section 11 of RA 10174 specifically provides for "coordination with various sectors," thus: <i>"xxx in the development and implementation of the National Climate Change Action Plan, and the local action plans, the Commission shall consult and coordinate with the non-government organizations (NGOs), civic organizations, academe, people's organizations, the private and corporate sectors and other concerned stakeholder groups"</i>	COMPLIANT

<p>Institutional arrangements are in place for inter-agency collaboration</p>	<p>Mechanisms for inter-agency collaboration between climate change institutions and other national institutions can be identified.</p>	<p><i>xxxx"</i></p> <p><i>Institutional arrangements for inter-agency collaborations are specifically identifiable in Section 10, RA 10174:</i></p> <p><i>"xxx</i></p> <p><i>To ensure the effective implementation of the framework strategy and program on climate change, concerned agencies shall, perform the following functions:</i></p> <p><i>(a) The Department of Education (DepED) shall integrate climate change into the primary and secondary education curricula and/or subjects, such as, but not limited to, science, biology, sibika, history, including textbooks, primers and other educational materials, basic climate change principles and concepts;</i></p> <p><i>(b) The Department of the Interior and Local Government (DILG) and Local Government Academy, in coordination with the National Economic and Development Authority and other concerned agencies, shall facilitate; the development and provision of a capacity-building program for LGUs in climate change, including the provision of necessary and appropriate technology. The program shall include socioeconomic, geophysical, policy, and other content necessary to address the prevailing and forecasted conditions and risks of particular LGUs. It shall likewise focus on women and children, especially in the rural areas, since they are the most vulnerable;</i></p> <p><i>(c) The Department of Environment and Natural Resources (DENR) shall oversee the establishment and maintenance of a climate change information management system and network, including on climate change risks, activities and investments, in collaboration with other concerned national government agencies, institutions and LGUs</i></p> <p><i>(d) The Department of Foreign Affairs (DFA) shall review international agreements related to climate change and make the</i></p>	<p>COMPLIANT</p>
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		<p><i>necessary recommendation for ratification and compliance by the government on matters pertaining thereto;</i></p> <p><i>(e) The Philippine Information Agency (PIA) shall disseminate information on climate change, local vulnerabilities and risk, relevant laws and protocols and adaptation and mitigation measures;</i></p> <p><i>(f) The Department of Finance (DOF) shall coordinate with the Commission on matters concerning fiscal policies related to climate change and monitor and report measures involving climate finance;</i></p> <p><i>(g) The Department of Budget and Management (DBM) shall undertake the formulation of the annual national budget in a way that ensures the appropriate prioritization and allocation of funds to support climate change-related programs and projects in the annual program of government;</i></p> <p><i>(h) The Department, of Science and Technology (DOST), through the Philippine Atmospheric, Geophysical and Astronomical Services Administration (PAGASA), shall promote, assist and, where appropriate, undertake scientific and technological research and development, projections and analysis of future climate scenarios, including activities relative to observation, collection, assessment and processing of climate-related data such as, but not limited to, rainfall, sea-level-rise, extreme climate events, rise in temperatures, and records of severe droughts monitored over long periods of time, in coordination with LGUs in priority/target monitoring sites, for the benefit of agriculture, natural resources, commerce and industry and in other areas identified to be vital to the country's development; and</i></p> <p><i>(i) Government financial in institutions, except Bangko Sentral ng Pilipinas (BSP) shall, any provision in their respective charters to the contrary notwithstanding, provide preferential financial packages for climate change-related projects. In consultation with the BSP, they shall, within thirty (30) days from the effectivity of</i></p>	
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		<i>this Act, issue and promulgate the implementing guidelines therefor." (Sec. 10, RA 10174).</i>	
		<i>xxxx"</i>	
	Reports on inter-agency collaboration and climate financed activities are available to the public.	The Climate Change Commission (CCC) is spearheading several activities concerning climate change in partnership with different government agencies – national and local, development partners, and civil society organizations. The Climate Change Commission posts in its website (www. https://climate.gov.ph/events/cabinet-cluster-on-ccam-drr.) activities involving other agencies of the government.	COMPLIANT
Principle # 2 (Ability to Change and Innovate of Institutions)			
The national response to climate change facilitates the adoption of change and promotes innovation.	New institutional arrangements are established as demand occurs through appropriate policy, administrative or political action (e.g. through the production of national strategies and action plans).	The Commission developed a National Framework Strategy on Climate Change in 2010 and a National Climate Change Action Plan in 2011. The Framework Strategy serves as a roadmap for increasing the country's social and economic adaptive capacity, the resilience of its ecosystems, and the best use of mitigation and finance opportunities. The Action Plan, finalised in November 2011, outlines programmes of action for climate change adaptation and mitigation. It identifies the communities and areas most vulnerable to adverse impacts and considers differential impacts on women, children and marginalised populations. The Action Plan addresses seven priority areas: food security; water sufficiency; ecosystem and environmental stability; human security; sustainable energy; climate-smart industries and services; and knowledge and capacity development. The initial period, from 2011 to 2016, focuses on vulnerability assessments, identifying 'ecotowns' (places where climate compatible development can be modelled and demonstrated) and undertaking research and development to support renewable energy and sustainable transport systems. Implementation of this agenda requires government financing, multistakeholder partnerships and capacity building. The Action Plan provides guidance for LGUs to formulate and implement Local Climate Change Action Plans (LCCAPs). LGUs will serve as the frontline agencies for LCCAPs, which will develop and regularly update approaches tailored to the needs, challenges, opportunities and emerging issues facing local communities. The Commission will help the LGUs meet the human resource and financial challenges, primarily through	COMPLIANT

		payments for ecosystem services, which will form a future source of localised climate resilience financing. Just lately, the Climate Change Commissions came up with several handbooks in order to address the information gap on the People's Survival Fund, to wit: People's Survival Fund Brochure and People's Survival Fund Proponent's Handbook: A Guide on How to Access the People's Survival Fund.	
Principle # 3 (Response to Local Needs of Institutions)			
Institutional arrangements respond and adapt to local needs.	Funding is directed to local climate change institutions within the national budgetary system.	<p>Provisions for funding is clearly provided for under RA 10174, to wit:</p> <p>"xxx</p> <p><i>SEC. 18. Creation of the People's Survival Fund. – A People's Survival Fund (PSF) is hereby established as a special fund in the National Treasury for the financing of adaptation programs and projects based on the National Strategic Framework."</i></p> <p><i>"SEC. 19. Sources of the Fund. – The amount of One billion pesos (P1,000,000,000.00) shall be appropriated under the General Appropriations Act (GAA) as opening balance of the PSF. Thereafter, the balance of the PSF from all sources including the amount appropriated in the GAA for the current year shall not be less than One billion pesos (P1,000,000,000.00): Provided, That the balance of the PSF may be increased as the need arises, subject to review and evaluation by the Office of the President and the Department of Budget and Management (DBM) of the accomplishments of the Commission and other concerned LGUs: Provided, further, That the PSF shall not be used to fund personal services and other operational expenses of the Commission: Provided, furthermore, That the balance of the PSF including the amount appropriated in the GAA which shall form part of the fund shall not revert to the general fund: Provided, finally, That the Commission shall submit to Congress and the DBM a semi-annual physical/narrative and financial report on the utilization of the PSF."</i></p> <p><i>The PSF may be augmented by donations, endowments, grants and contributions, which shall be exempt from donor's tax and be considered as allowable deductions from the gross income of the donor, in</i></p>	COMPLIANT

		<p><i>accordance with the provisions of the National Internal Revenue Code of 1997, as amended."</i></p> <p><i>"SEC. 20. Uses of the Fund. – The fund shall be used to support adaptation activities of local governments and communities</i></p> <p><i>xxx</i></p> <p><i>The fund shall be supplementary to any annual appropriations allocated by relevant government agencies for climate change-related programs and projects and by LQUs. The fund shall encourage counterpart funding arrangements among local governments, community organizations, the private sector, and other entities."</i></p> <p><i>xxxx"</i></p>	
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APPENDIX M

Result of the Analysis of the Six PSF-Funded Projects Using the PCI Framework for Institutional Architecture

PSF-Funded Project	Analysis	Assessment
<p>Siargao Climate Field School for Farmers and Fisherfolk</p>	<p>Leadership Coordination. The project has a lead focal unit that takes charge of the implementation of the project. The LGU has adopted an Executive Order (EO) for the Project Implementation Unit, which is tasked to monitor the implementation of the project. This multi-sectoral and inter-departmental unit in the Municipality of Del Carmen determines the climate adaptation budgetary components of the project and provides input and guidance as to what constitutes climate adaptation finance of the project. In the implementation of this project, a Memorandum of Agreement (MOA) was forged between the Local Government of Del Carmen and Surigao State College of Technology where terms were defined. The Municipality of Del Carmen likewise forged Memorandum of Understanding with other stakeholders, to wit: 1. Rural Health Unit (RHU) 2. Radyo Kabakawan 3. Sentro sa Ikaunland ng Agham at Teknolohiya (SIKAT) 4. Department of Environment and Natural Resources (DENR) 5. Bureau of Fisheries and Aquatic Resources 6. Metro Siargao Alliance for Sustainable Development (MSASD) 7. Provincial Government of Surigao del Norte (PGSDN) 8. Bureau of Water and Soils Management. These inter-agency collaborations allow diverse stakeholders to present their voices in the project.</p> <p>Innovation and Improvisation. There are also institutional arrangements made to further their inputs on the project. Consultations with other projects for further inputs were solicited, which include: (i) Project SARAI (Smarter Approaches to Reinvigorate Agriculture as an Industry in the Philippines); and (ii) Monitoring and Detection of Ecosystems Changes for Enhancing Resilience and Adaptation in the Philippines (MODECERA) Project</p> <p>Localized Institutionalization. Institutional arrangements made are responsive and suitable to the local needs of the Municipality of Del Carmen. To ensure the financial sustainability of the project after PSF funding, the LGU and the SSCT included the maintenance and operations of the project in their Annual Investment Plan.</p>	<p>COMPLIANT</p>
<p>Disaster Risk Reduction & Management (Ridge to Reef) as an Adaptation Mechanism to Resiliency</p>	<p>Leadership Coordination. An executive order creating the Project Implementation Unit has been issued, which will oversee and monitor the project. To engage other relevant stakeholders to the project, the municipality forged Memorandum of Agreement with different agencies for their technical and manpower support after the exit of fund. During the project appraisal, the LGU from the Local Chief Executive down to the</p>	<p>COMPLIANT</p>

	<p>Barangay Officials, agencies involved and indigenous people (IPs) expressed their interest, support and commitment to the project provided by different resolutions. The LGU also released an executive order creating the technical working group composed of MENRO, MEO, MPDO, MAO, MDRRMO, MLGOO. Implementing partners include NGAs such as NCIP & DENR who will be complementing the project implementation. Hence, the multi-sectoral and inter-governmental implementation of the project. The active participation of indigenous peoples in the management of their natural resources shows the municipality's dedication to inclusive governance.</p> <p>Innovation and Improvisation. The LGU of Lanuza facilitates the adoption of changes and promotes innovation through institutional arrangements. They approved Sangguniang Bayan (SB) Resolution for the allocation of budget in their Annual Investment Plan with regards to operations of the project after the exit of funding.</p> <p>Localized Institutionalization. It is interesting to note that these institutional arrangements made by the LGU of Lanuza with other agencies of the government are responsive to the local needs. Lanuza's project showcases different but interconnected components: the management of their watersheds, ecosystem, and forests, plus livelihood programs and capacity development. Their local government envisions adapt to the impacts of climate change in Lanuza's agricultural and forest lands while also strengthening their citizens' resilience by improving their existing sources of income. During the appraisal discussions and field visits, the latent qualities in Lanuza's adaptation program exhibits good local governance. The municipality recognizes the negative effects of both climate change and human-led resource exploitation, prompting them to craft a People's Survival Fund proposal with a ridge-to-reef approach aimed at addressing existing and imminent risks.</p>	
Building Resilience through Ecological-Based Farming	<p>Leadership Coordination. The LGU created a Project Implementation Unit which will oversee and supervise the implementation of the project. The implementation of this project is in partnership with Philippine Partnership for the Development of Human Resources in Rural Areas, a non-governmental organization To implement the project, the LGU capitalized upon the idea of the purok, an indigenous form of self-organizing communities that is smaller than the village-level barangay, officially the smallest administrative unit of governance in the Philippines.</p> <p>Innovation and Improvisation. The system builds on existing indigenous social organization for mobilizing resources. It uses the purok system in mobilizing action for the project. Using the purok system is an ingenuity that proved effective to this project. Over the years, the purok system evolved in terms of usage—from solid waste management, to fighting malnutrition and improving livelihood, and most recently for disaster preparedness and response. For its efforts, San Francisco has received various</p>	COMPLIANT

	<p>awards from the provincial and national government. It has also been recognized as a model resilient city by the United Nations Office for Disaster Reduction (UNISDR, n.d.).</p> <p>Localized Institutionalization. San Francisco is primarily an agricultural town, and the majority of its citizens are fishermen, farmers, or self-employed in small-scale trading. The institutional arrangements made by the LGU to agencies and non-governmental organization is responsive to their local needs.</p>	
<p>Saub Watershed Ecosystem Rehabilitation and Flood Risk Reduction for Increased Resilience</p>	<p>Leadership Coordination. The provincial government of Sarangani manages the overall implementation of the project and works closely with the municipal government of Maitum. Maitum will provide technical, administrative and other support in all stages of the project implementation. The provincial government of Sarangani has forged a partnership with the state-run Mindanao State University (MSU) and two non-government organizations for the implementation of this P103-million watershed rehabilitation project in Maitum town. The local government signed memorandums of agreement earlier this week with MSU, Mahintana Foundation, Inc. and Conrado and Ladislawa Alcantara Foundation, Inc. (CLAFI) to facilitate its proper rollout. The three entities will mainly provide technical assistance to the provincial government in terms of research and formulation of a watershed management plan for the critical Saub River in Maitum.</p> <p>Innovation and Improvisation. While the PSF will shoulder P93.59 million of the funding requirement, the provincial government will provide a counterpart fund of P9.32 million.</p> <p>Localized Institutionalization. The project’s institutional arrangements took into account the available resources and expertise in the province. In fact, the very nature of the project is really reflective of the felt and actual needs of the LGU. The project focuses on the creation of a watershed governance system; build the capacity of the municipal government, development partners, beneficiaries and other stakeholders to adapt to flood risks and other impacts of climate change variability; establish river bank protection mechanisms; and help alleviate poverty in the area through agro-forestry development. A report released by Sarangani Environmental Conservation and Protection Center (ECPC) cited flooding as the most common hazard experienced in areas traversed by the Saub River. Some 10,001 hectares of its immediate environs are considered as highly prone to flooding, 5,881.65 hectares are facing moderate risk and 2,604.26 hectares with low risk.</p>	<p>COMPLIANT</p>
<p>Establishment and Sustainable Management of River Ecosystem in Kitcharao, Agusan del Norte</p>	<p>Leadership Coordination. The project is under the control and supervision of a dedicated Implementation Unit created by the LGU of Kitcharao. During the stakeholder analysis phase of the projects, all relevant stakeholders were consulted and the assistance of a civil society organization was solicited. The Agri-Aqua Coalition Mindanao</p>	<p>COMPLIANT</p>

	<p>will work with the LGU of Kitcharao in the implementation of the project. To engage stakeholders, the LGU: engaged all key interest groups in a transparent process; helped these groups understand each others' perspectives and consider different options; drew on authoritative data concerning the environmental, social, and economic situation; seek consensus whenever possible; and had an expert, independent 'umpire' to provide advice where consensus is not possible to help political decision makers take tough decisions</p> <p>Innovation and Improvisation. To ensure the sustainability of the project, the LGU of Kitcharao allotted a maintenance fund to sustain its operations even after the exit fund.</p> <p>Localized Institutionalization. Funding for this project is channeled through the local budgetary system. The projects objectives are likewise well within the ground realities reflecting the needs of the LGU's constituencies</p>	
<p>Promoting Resiliency and a Climate-Informed Gerona</p>	<p>Leadership Coordination. The municipal government of Gerona manages the overall implementation of the project and works closely with the non-governmental organization Rice Watch and Action Network which helps provide technical and administrative assistance in the implementation of the project. Key stakeholders in the project were properly consulted in project planning and implementation. Non-state actors were likewise involved in the project: people's organizations, farmers' organization and even women's organizations.</p> <p>Innovation and Improvisation. Social capital is widely used in the Municipality of Gerona, being generally applied to activities with social ends. Among activities with economic ends, farming is considered an appropriate area for its application although varying by location and sector. Establishment of alternative livelihood projects, creation of employment opportunities in the lowlands and promotion of farming skills are provided for by the project. The LGU allotted maintenance fund in their Annual Investment Fund for the continued operation of the project even after the exit fund has been released.</p> <p>Localized Institutionalization. The implementation of the project recognizes the localized needs of the municipality. Funding is directed to the local budgetary system. The project's objectives addressed directly the immediate needs of the municipality in the sector of agriculture. Climate information is vital for the day-to-day farming activities. However, it is hardly available or accessible to farmers. Farming communities can better adapt to the climate change impacts and manage climate risks if they are armed with skills, knowledge and information on different adaptation measures. Thus, access to appropriate technologies, and timely and local climate forecast information is imperative for farming communities to manage the risks in agriculture brought by changing climate. The Climate-Resiliency Field School (CrFS) provides and shares information, including</p>	<p>COMPLIANT</p>

	climate forecast and related information, farming knowledge, technologies and skills to build and strengthen the capacities of farmers. Local government becomes more attuned to the climate-appropriate needs of its farming clientele because the climate service demands dynamic and regular interaction between them and the farmers.	
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APPENDIX N

Profile of Project Portfolio of the People's Survival Fund

Project Title	PSF Approved Budget	Project Focus Area and Brief Description	Geographic Region	Proponent	Status of Implementation
Siargao Climate Field School for Farmers and Fisherfolk	Php 80.0 Million (US\$ 1.6 M)	<p>Food Security; Knowledge and Capacity Development; Human Security; Sustainable Energy</p> <p>This project aims to establish a sustainable end-to-end institutional system for the generation and application of locally tailored climate information tools, build capacity to apply these, and to reduce possible economic losses due to climate change. The Siargao Climate Field School for Farmers and Fisherfolks (SCFSFF), an institute focused mainly on improving agriculture and aquaculture - the main source of livelihood of the townspeople of the municipality of Del Carmen, Siargao Islands, where it is situated. The institute envisions to capacitate farmers and fisherfolks to become climate smart.</p>	Eastern Mindanao	Municipality of Del Carmen, Surigao del Norte in partnership with Surigao State College of Technology	On-going
Disaster Risk Reduction & Management (Ridge to Reef) as an Adaptation Mechanism to Resiliency	Php 40.0 Million (US\$ 800,000.00)	<p>Ecosystem and environmental stability; Knowledge and Capacity Development; Human Security</p> <p>This project employs ridge-to-reef approach through management and coping responses to their ecosystems and vulnerable households.</p>	Eastern Mindanao	Municipality of Lanuza, Surigao del Sur	On-going

		Ecosystem-based adaptation of watersheds, mangroves and riverine ecosystem; alternative livelihood			
Building Resilience through Ecological-Based Farming	Php 38.2 Million (US\$ 764,000.00)	Food Security; Water Sufficiency; Ecosystem and environmental stability; human security The project seeks to strengthen water governance and develop climate-adaptive livelihoods through agriculture, institutionalize and mainstream water resource and distribution management, and engage water-service providers and water consumers.	Central Visayas	Municipality of San Francisco, Camotes Islands, Cebu in partnership with Philippine Partnership for the Development of Human Resources in Rural Areas	On-going
Saub Watershed Ecosystem Rehabilitation and Flood Risk Reduction for Increased Resilience	Php 104.0 M (US\$ 2.0 Million)	Food Security; Ecosystem and environmental stability; knowledge and capacity development; human security This project aims to build adaptive capacities of the community and construct flood-control infrastructure to protect settlements and agricultural lands.	Southern Mindanao	Municipality of Maitum, Sarangani Province	On-going
Establishment and Sustainable Management of River Ecosystem in Kitcharao, Agusan del Norte	Php 28.7 Million (US\$ 574,000.00)	Ecosystem and environmental stability; climate-smart industries and services; human security This project aims to establish a watershed management office, conduct resource management capacity building activities, promote and provide sustainable and resilient support livelihood programs, and construct settlement protection along riverbanks.	Northern Mindanao	Municipality of Kitcharao, Agusan del Norte in partnership with Agri-Aqua Coalition Mindanao	On-going

Promoting Resiliency and a Climate-Informed Gerona	Php 38.0 Million (US\$ 760,000.00)	Food Security; Water Sufficiency; knowledge and capacity development; human security This project aims to increase access of communities to climate information and early warning systems, enhance preparedness against climate-related hazards (e.g., drought, flooding), and improve Gerona's water resources leading towards sustainable development	Central Luzon	Municipality of Gerona, Tarlac in partnership with Rice Watch and Action Network	On-going
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APPENDIX O

Summarized Results of the Semi-Structured Interview and Focus Group Discussion (FGD)

SEMI-STRUCTURED INTERVIEW: CONCEPTUAL HIGHLIGHTS ON BARRIERS, KEY SUCCESS FACTORS AND REASONS FOR FAILURE

It should be noted that this research conducted interviews for three groups of informants, namely: (i) representatives from the Climate Change Commission and the Department of Environment and Natural Resources; (ii) two representatives each from the local government units of Gerona (successful case) and Capas (unsuccessful case); and (iii) a representative from the farmers' organization.

The guide questions used for the interviewee from the Climate Change Commission and the Department of Environment and Natural Resources is different from all the rest of the groups of interviewees.

The interview done with the representative of Climate Change Commission has been carefully reviewed and selected. Results are summarized into four parts that reveal insights on the following aspects: (i) enabling policy environment relevant to the implementation of the People's Survival Fund; (ii) the institutional set-up and process involved in the implementation of the People's Survival Fund; and (iii) operationalization of the People's Survival Fund.

On the other hand, the interviews done with the representatives from the local government units of Gerona (successful case) and another local government unit (unsuccessful case), and representative from the farmers, revealed interesting insights on the following: (i) the accessibility of knowledge/information about the People's Survival Fund; (ii) the key success factors in successfully accessing the People's Survival Fund; (iii) perceived reasons for rejection of project proposals (for the unsuccessful project); and (iv) problems and concerns encountered by a PSF-approved project during the implementation phase.

The selection from the interview data is based on the goal of seeking concepts and themes that are relevant to the research questions and that have emerged from this data gathering. Data was deemed important if a particular issue was raised across multiple interviewees' answers, where results appeared to align with findings from previous research, where interviewees pointed out and prioritized key themes to indicate significance of particular issues, and where the use of concepts appeared to be related to particular themes that answer the research questions.

National-Level Government Perspectives (Climate Change Commission and DENR)

Two interviews were conducted with members from the government at the national level. One was a representative of the Climate Change Commission Secretariat who is heavily involved in the operations of the People’s Survival Fund. As summarized below, she offered key insights on the enabling policy environment, on the institutional set-up and processes involved in the implementation of the People’s Survival Fund.

The other interviewee is from the Department of Environment and Natural Resources which represents the agency in the People’s Survival Fund Board. Per the request of this interviewee, the name is withheld and so will be referred anonymously and generally. The government employee worked previously with the country’s 2011-2028 NCAAP and collaborated with local government units in overseeing the climate portfolio. Overall, these interview results provided collective insight from this government-level perspective.

Box 2. Summary of Interview Results from the National Government

(Climate Change Commission and the DENR)

Jean Paula Regulano (Climate Change Commission)
Enabling policy environment relevant to the implementation of the People’s Survival Fund
The interviewee can best be classified as an actor under the public institution type due to his active participation in the country’ climate change adaptation policies and operations specifically on the People’s Survival Fund.
The interviewee commented that the policy objective that People’s Survival Fund aims to achieve is specifically anchored on the provision of 1987 Constitution that provides for the duty of the State to afford full protection and the advancement of the right of the people to a healthful ecology in accord with the rhythm and harmony of nature. In so doing, the State enjoins the participation of national and local governments, businesses, nongovernment organizations, local communities and the public to prevent and reduce the adverse impacts of climate change and, at the same time, maximize the potential benefits of climate change. Accordingly, the State through the People’s Survival Fund seeks to incorporate a gender-sensitive, pro-children and pro-poor perspective in all climate change and renewable energy efforts, plans and programs. In view thereof, the State shall strengthen, integrate, consolidate and institutionalize government initiatives to achieve coordination in the implementation of plans and programs to address climate change in the context of sustainable development. The interviewee stated that these policy objectives were explicitly

stated in both the Climate Change Act of 2009 (RA 9729) and the People's Survival Fund Law (RA 10174).

The interviewee mentioned that these objectives are continuing mandates; hence, while there are timelines for accomplishments of certain programs and projects relative to climate change adaptation, the attainment of these objectives are continuing in character.

The interviewee likewise mentioned that the People's Survival Fund is unique among other funding mechanisms in the entire world as it is primarily publicly funded exclusively for climate change adaptation. She argued that access to the People's Survival Fund is of direct access modality type. Be that as it may, the Climate Change Commission and the People's Survival Fund Board ensures that the fund's fiduciary standards are observed and maintained.

She mentioned that to effectively attain the policy objectives of the state on healthful ecology and sustainable development vis-à-vis climate change, the Climate Change Commission in collaboration with other governmental agencies formulated subsidiary instruments that will strengthen, integrate, consolidate and institutionalize sector-based government initiatives on climate change. The first of these subsidiary instruments is the National Framework Strategy on Climate Change (NFSCC) which looks into ensuring adaptation of the communities and ecosystems to climate change and at the same time, charting a cleaner, low-carbon development path. highlighting the mutually beneficial relationship of mitigation and adaptation.

According to the interviewee, the Climate Change Commission appoints the local government units (LGUs) as frontline agencies in the formulation, planning and implementation of climate change action plans in their respective areas, and are likewise delegated the duty in the formulation of their Local Climate Change Action Plan (LCCAP), consistent with the provisions of the Local Government Code, the NFSCC, and the National Climate Change Action Plan (NCCAP).

The interviewee commented that the National Climate Change Action Plan (NCCAP) was formulated outlining the Philippine agenda and specific programs and strategies for climate change adaptation and mitigation for the period 2011 to 2028. Consistent with the NFSCC, the ultimate goal of the NCCAP is to build the adaptive capacities of women and men in the communities; increase the resilience of vulnerable sectors and natural ecosystems to climate change; and optimize mitigation opportunities toward gender responsive and rights-based sustainable development.

The interviewee mentioned that the NCCAP identifies seven strategic priorities: (1) Food Security, (2) Water Sufficiency, (3) Ecosystems and Environmental Stability, (4) Human Security, (5) Climate-smart Industries and Services, (6) Sustainable Energy, and (7) Knowledge and Capacity Development.

As to the participation of key stakeholders in policy-making process, the interviewee mentioned that both the Climate Change Commission and the PSF Board provides for representation from the business sector, academe/scientific community, local government units and the non-governmental organizations

(NGOs). Hence, sectors outside the government are given voices in the policy-making process. The interviewee emphasized that they encouraged project proponents to engage key stakeholders in their localities such as fisher folks, farmers and indigenous people when they conceptualize climate change adaptation projects to ensure that their proposed project is truly reflective of the felt and actual needs of their constituents.

When asked what mechanisms are in place to guide the operations of the People's Survival Fund, the interviewee commented that the Climate Change Commission have issued two documents to guide project proponents, namely *The People's Survival Fund Brochure and the Proponent's Handbook: A Guide to Accessing the People's Survival Fund*. Notwithstanding the existence of these documents, the interviewee commented that some local government units still fail to distinguish which project falls under mitigation and which rightly falls to adaptation. They still experience difficulties complying with the requirements of the PSF.

As to the monitoring and evaluation mechanisms, the interviewee mentioned that the Climate Change Commission implements a monitoring system whereby local government units (LGUs) undergo validation of their accomplished activities within the project's deliverables before next tranches of the budget is released. The same likewise undergo accounting and auditing procedure of the Commission on Audit. Furthermore, documents to support their next claim for budget tranche are likewise required of the local government unit with PSF-approved projects.

Institutional set-up and process involved in the implementation and delivery of the People's Survival Fund

The interviewee emphasized that the implementation and delivery of the People's Survival Fund involved a number of entities, both governmental and non-governmental. Accordingly, during the conceptualization of any climate change adaptation project proposal, the local government unit is required is to conduct stakeholder analysis in which process, the involvement of the key stakeholders in the envisioned project are solicited. The interviewee cited climate-smart agriculture as an example, which requires consultation and involvement of farmers in the municipality. Other relevant sectors such as fisher folks, women and indigenous people whose livelihoods may be impacted by the project are likewise involved.

During the pre-approval phase of the project, the interviewee mentioned that the Climate Change Commission and PSF Secretariat are the two institutions involved. The PSF Board which composed of representatives from various agencies of the government such as the Department of Finance, Department of Budget and Management, National Economic Development Authority, the Department of Environment and Natural Resources, to mention a few decides whether to fund the project or not. When the PSF Board decides to fund the project, the project proponent coordinates with the financial conduit where the funding is channeled (i.e., the Development Bank of the Philippines). The

Commission on Audit is likewise involved during the disbursement and liquidation of the budget.

The interviewee emphasized that the Climate Change Commission being a new entity created by law experienced work backlogs in the commencement of its operations but finally able to adjust to the requirements of the job as they filled up the new positions for the agency. She also mentioned that the Commission received an annual budgetary appropriations for its operations from the General Appropriations Act.

Among the examples of communication pathways used by the Climate Change Commission to provide information about the People's Survival Fund includes posting of information in their websites and social media platforms such as Facebook. She also mentioned the use of publications of brochures, handbook and training manuals. Using online communication platform is an effective way of reaching out to greater number of audience. This communication pathway accordingly can be rated the highest (10) followed by the use of hard publication of information materials and dissemination of policy briefers in the local level.

The interviewee mentioned that among the challenges they encountered in communicating information about the People's Survival Fund are lack of awareness about climate change and its impacts, indifference and lack of interest of some local government unit officials, and lack of incentives to prioritize climate change actions. She recommended that the local government units should allocate funding for climate change actions and should actively participate on capacity-building activities sponsored by the national government. The interviewee also touched on the multi-sectoral and inter-agency collaboration in the implementation of the People's Survival Fund. She mentioned that the Climate Change Commission, the Department of Environment and Natural Resources and the National Disaster Risk Reduction Management Council have complementing roles on climate change adaptation actions. She noted no conflicting nor overlapping roles among agencies involved in the operations of the People's Survival Fund.

The private or business sector according to the interviewee is engaged in the People's Survival Fund by way of representation to the People's Survival Fund Board. In fact, the PSF encourages counterpart funding or project collaborations with the private sector. Notwithstanding, the participation of the private sector to the operation of the PSF is still insignificant. New policies, programs and projects are still being conceptualized on how to get the private sector on-board the PSF.

On the operationalization of the People's Survival Fund

When asked what kind of projects are supported by the People's Survival Fund, the interviewee referred the interviewer to Section 20 of RA 10174 or the People's Survival Fund Law. She enumerated them as follows: (a) adaptation activities, where sufficient information is available to warrant such activities, in the areas of water resources management, land management, agriculture and fisheries, health, infrastructure

development, natural ecosystems including mountainous and coastal ecosystems; (b) improvement of the monitoring of vector-borne diseases triggered by climate change, and in this context improving disease control and prevention; (c) forecasting and early warning systems as part of preparedness for climate-related hazards; (d) supporting institutional development, for local governments, in partnership with local communities and civil society groups, for preventive measures, planning, preparedness and management of impacts relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme climate events; (e) strengthening existing; and where needed, establish regional centers and information networks to support climate change adaptation initiatives and projects; (f) serving as a guarantee for risk insurance needs for farmers, agricultural workers and other stakeholders; and (g) community adaptation support programs by local organizations accredited by the Commission.

The interviewee stated that LGUs and accredited Local Community Organizations (LCOs) can access the PSF by submitting a project proposal. LGUs refer to provinces, cities, municipalities up to barangays. LCOs, on the other hand, pertain to locally-based organizations that are accredited for the purpose of PSF based on the criteria of organizational independence, track record in the community and/or field expertise, financial management and participatory practices. LCOs are also limited to propose soft types of projects (i.e. researches, capacity building programs). According to the law, the role of local organizations to provide community adaptation "support" programs is indicated, and therefore, they should be synchronized with the efforts of the LGUs to where they belong to.

The interviewee emphasized that the PSF is demand-driven which means that in the event that the financial demand exceeds the allocated budget for the PSF, the PSF Board employs the three main criteria for project prioritization (PSF Manual of Operations, 2016): poverty Incidence: (NEDA, PSA, provincial stats); presence of multiple hazards (NEDA, or through their CDRVAs); and presence of key biodiversity areas (DENRBMB)

The interviewee explained that the People's Survival Fund Board is managed and administered by the People's Survival Fund Board Secretariat. The Board is headed by the Secretary of the Department of Finance. Its members are the vice chairperson of the Climate Change Commission, secretary of the Department of Budget and Management, director general of the National Economic and Development Authority, secretary of the Department of the Interior and Local Government, chairperson of the Philippine Commission on Women, representative from the academe and scientific community, business sector, and non-government organizations. The Climate Change Office provides support as secretariat to the Board.

The interviewee declined to give information as to how many project proposals were approved during the pre-selection/initial screening but failed to gain

approval during the final approval stage at the PSF Board level; projects approved both during the initial screening and final approval stage at the PSF Board level; and disapproved even during the pre-selection stage/initial screening stage.

The interviewee explained that the evaluation of project proposals is a core process in the application process of the PSF. The CCC engages the expertise of the National Panel of Technical Experts (NPTE) as well as the CCC Advisory Board in the review and evaluation of the project proposals. According to the interviewee, these bodies provide technical inputs to the project proposals. Depending on the nature of the project, members of the Advisory Board are also consulted to ensure non-duplication of the budget allocation.

The interviewee stressed that the PSF Secretariat supports the PSF. It is a designated unit determined by the PSF Board. The PSF Secretariat is in charge of all administrative arrangements with project proponents and presents the shortlisted proposals to CCC, for the Commissioners endorsement to the board. The interviewee further explained that the PSF receives project proposals for two cycles per year, the schedules of which are announced by the PSF Board through the PSF Secretariat. These proposals are assumed to have already undergone consultations with relevant stakeholders and implementing partners to finalize the concept and implementation arrangements. In general, once the proponents submit project proposals, these undergo an evaluation process conducted and coordinated by the PSF Secretariat along with the relevant agencies and institutions and CCC (with NPTE and/or its Advisory Board), as necessary. The process is also the same for LCO proponents. However, only LCOs who are accredited either through (1) DBM-DSWD-COA Joint Resolution 2014-01 or (2) DILG MC 2013-70, can readily submit proposals to the PSF upon submission of the copy of their accreditation.

The interviewee further explained that proponents are required to duly accomplish the PSF Project Proposal Template. The Proposal Template includes the work and financial plan, results framework, sustainability plan, and monitoring and evaluation plan. An initial set of documents are needed to be submitted along with the accomplished Proposal Template in order to facilitate the processing of the application. These documents are important in order to gauge whether the adaptation project being proposed has a sound basis based on the available climate information/data, and whether the project is in line with the development thrusts and priorities of the local government. For this reason, only proposals with complete submissions will be subject to the Pre-assessment and Review. During the course of the project evaluation, proponents may be requested to submit additional documents depending on the nature of the project and the results of Initial Review and Evaluation. The PSF Secretariat formally communicates the consolidated comments and/ or recommendations by relevant agencies and institutions on the project proposal and schedules Clarification/Validation meetings/Field Appraisal with proponents. The objective

is to clarify and resolve some of the unclear components of the projects, and negotiate as well the project implementation and fund disbursement schedules. The interviewee detailed the process during the post-approval stage. Accordingly, once the PSF Board approved the project, the PSF Secretariat closely coordinates with the LGU or LCO recipient for the finalization of the Memorandum of Agreement (MOA). The MOA elaborates the project implementation, financial management, and monitoring, reporting and evaluation arrangements, including provisions on property rights, proposal modifications and risk management. The disbursement of the fund will follow the existing government procedures related to LGUs. The fund release will depend on the milestones of the project as indicated in the M&E plan and WFP. The PSF Board designates the fund conduit, the Development Bank of the Philippines (DBP), which will facilitate the fund disbursement process through milestone releases. Recipients will be requested to have a bank account (trust fund) designated solely for the PSF. Based on the agreement stipulated in the MOA, release of funds will only be facilitated upon compliance of the liquidation reports and accomplishment of milestones. Liquidation reports and other requirements negotiated per tranche are submitted to the PSF Secretariat for the milestone releases/disbursement schedule.

The interviewee likewise shed light on the project monitoring and evaluation stage. She said that the recipient must be able to track the progress of each of the activities in line with the approved M&E plan of the project. Monthly/Quarterly progress accomplishment reports shall be submitted to the PSF Secretariat, which shall include the following details at the minimum: (i) updates on the Approved Work and Financial Plan with separate column on status of implementation (with dates); (ii) cost of items procured; and (iii) pictures during implementation/ documentation of activity implementation. Quarterly or Semi-annual field validation will be conducted by the designated agency of the PSF Board. Upon project completion, a completion report shall be submitted to the PSF Board. An Impact Evaluation will also be employed by the PSF Secretariat 3-5 years after the project completion to assess impact and effectiveness of the adaptation measure and its contribution to climate resiliency of the community.

Essentially, the interviewee cited the following reasons why some proposals failed to gain approval from the PSF Board: (i) project being proposed is mitigation or business-as-usual and not adaptation; (ii) failure to submit important documents such as local climate action plan or vulnerability assessment; and (iii) proposals not well-written. The interviewee explained that most of the proposals received by the PSF Board Secretariat at the Department of Finance have been either business-as-usual projects or those kinds usually funded under regular programs of national government agencies, and not climate change adaptation which the law asks; thus, the low-approval rate.

The interviewee mentioned that most local government units experienced difficulty complying with a technical requirement such as a vulnerability

assessment in which case, the Climate Change Commission extends assistance by helping local government units to formulate one. The Commission have already conducted a number of writeshop sessions to address this need.

The interviewee further explicated that the Climate Change Commission has already streamlined the requirements making the documentary requirements less stringent. She commented that to be worthy of approval of the PSF Board must first and foremost be of adaptation type and that documents required should be complete.

She likewise mentioned that proposals are reviewed on how the following were considered: (i) strong basis or reference for Climate Change Adaptation; (ii) responsiveness and/or consistency with the development/sectoral plans and the accompanying investment programs (e.g., NCCAP, LCCAP, CDP, and CLUP); (iii) potential social (and other positive) benefits (including co-benefits); (iv) efficiency and effectiveness on the project implementation; (v) institutional mechanisms/ arrangements that facilitates multi-stakeholder consultation and participation; (vi) gender and PWD-responsiveness; (vii) risk/mitigating measures for potential adverse effects (social/environmental); (viii) sustainability; (ix) potential for replication and upscaling in other areas; (x) monitoring and evaluation (M&E) arrangements.

The interviewee cited the following capacity-building activities undertaken by the Climate Change Commission: writeshop to capacitate local government units on how to prepare project proposals and e-learning platform to enable project proponents to learn more about the People's Survival Fund. The free PSF e-Learning Platform and Mentoring Sessions were done at the rollout of the Communities for Resilience (CORE) Modular Training. The Climate Change Commission *has accelerated the implementation of its CORE Program in the past years to help LGUs develop and enhance their Local Climate Change Action Plans (LCCAPs) and to assist PSF project proponents develop science and risk-based adaptation funding proposals*

***DENR Official (Department of Environment and Natural Resources)**

Enabling policy environment relevant to the implementation of the People's Survival Fund

The interviewee has had comprehensive expert knowledge on enabling policy environment surrounding the operations of the People's Survival Fund and considering given past work in implementing the country's NCCAP. He has a vast repertoire of interaction with actors at the public, private, and civil institutional levels. The interviewee was hesitant to speak but in the brief interview, offered general comments surrounding the many departments and agency levels that deal with climate change matters and disaster management.

The interviewee commented that the Philippines has a great number of laws related to climate change. The People's Survival Fund Law provides a corridor of empowerment for the local government units to determine for themselves what climate change adaptation projects will best serve them. He mentioned that the policy objectives sought to be attained by the People's Survival Fund is to

systematically integrate the concept of climate change in various phases of policy formulation, development plans, poverty reduction strategies and other development tools and techniques by all agencies and instrumentalities of the government. He commented that subsidiary instruments are in place to give flesh to the policy of the state on climate change adaptation, among which include the National Climate Change Action Plan.

The interviewee cited the multi-sectoral and inter-agency composition of the Climate Change Commission and the PSF Board as its strength which gives democratic representation for various sectors to air their voices on climate change actions. According to him, while the operations of the PSF is far from perfect, it is beginning to evolve as a responsive and dynamically adaptive entities to the needs of their clientele. In fact, he pointed out the different innovations made by the Climate Change Commission in the past three years such as PSF Brochure and Handbooks for Proponents.

Institutional set-up and process involved in the implementation and delivery of the People’s Survival Fund

The interviewee expounded that the operations of the PSF is not a single-agency affair. Instead, its operations involved a number of agencies of the government. When asked whether the Climate Change Commission has the adequate staff to man its operations, the interviewee was hesitant to comment. He instead mentioned that staffing with people with the right skills and knowledge has almost always been a challenge. Being an attached entity from the Office of the President, the Climate Change Commission is still under the direct control and supervision of the President of the Republic of the Philippines.

The interviewee stated that the Commission has a budget of its own to maintain its operations. Hence, he sees no logistical challenge that will impede their operations. He commented that the PSF Board through its Secretariat communicate to their stakeholders through the issuance of policies and briefers. He also made mention of social media and the agency website as efficient ways to cascade information in the local level.

The interviewee related that collaboration of the Commission with other agencies of the government is done through forging of Memorandum of Understanding, Memorandum of Cooperation and/or Memorandum of Agreement, but accordingly, most of these arrangement are yet to see their usefulness and practicability. The interviewee stated that agencies involved in the implementation of the PSF never had experienced having conflict with their roles as they are well-defined under the PSF Law. He commented that these agencies have complementary roles rather conflicting or overlapping ones.

The interviewee commented that the PSF guidelines should open some entry points for private sector participation to ensure that the public sector works hand in hand with the business sector in tackling the issue of climate change. But he noted that this will take time to realize and probably will take time as well before a comprehensive guideline could be formulated.

On the Operationalization of the People’s Survival Fund

The interviewee explained that the People's Survival Fund is intended for climate adaptation activities. Some people who seem not know the policy behind either give unfair or ignorant comment on why most proposals get rejected. One reason according to the interviewee why some proposals get rejected outright is that they lack adaptation relevance and therefore not eligible to be funded. The interviewee commented that for projects to get the nod of the PSF Board, it should be within the prioritized areas defined in the country's NCCAP to wit: water sufficiency, food security, environmental sustainability, human security, etc. The local government units and local community organizations with high poverty incidence, key biodiversity corridor and high susceptibility to vulnerability are usually qualified to submit adaptation project proposal. The interviewee explained that the PSF Board is governed by representations from various agencies of the government which makes it less susceptible to politics owing to its extensive memberships and highly objective criteria in screening projects. When asked whether he has idea how many projects get rejected, he declined to give definitive answer and only commented that those which get rejected definitely failed to attain the expected quality of a proposal. As to the process involved in various stages, the interviewee instead referred the interviewer to a series of process flow and explained each in detail. Aware of the low-approval rate, the interviewee mentioned that the Climate Change Commission has improvised in its strategies on how to capacitate local government units on how to write proposal and formulate their own local climate action plan as well as their vulnerability assessment.

Sub-National Level/Project Proponent Perspectives

One interview was conducted with the Municipal Planning and Development Officer of the Municipality of Gerona, Tarlac, an LGU recipient of funding from the People's Survival Fund Board.

The Gerona case illustrates a successful climate adaptation proposal which is funded by the People's Survival Fund. Their climate adaptation project entitled "Promoting Resiliency and Climate Informed Gerona," is the sole fund recipient in the Luzon area as majority of the projects funded by the PSF in the last three years were from Eastern Mindanao and Central Visayas regions.

Another interviewee is also from the Municipality of Gerona in-charge of the agricultural office.

Finally, the researcher conducted an interview with a local government employee of a municipality with an unsuccessful project proposal.

Box 3. Summary of Interview Results from the Local Government

Victor Gerald Castaneda (Municipal Planning and Development Officer of Gerona, Tarlac)

On the Accessibility of Knowledge/Information of the People's Survival Fund

The interviewee is principally engaged in the implementation of the PSF-funded project entitled "Promoting Resiliency and Climate Informed Gerona." Being the Municipal Planning and Development Officer, he has extensive knowledge how this project was first conceived, formulated and submitted for funding approval before the People's Survival Fund Board. His Office is the lead in organizing a general orientation on climate change, wherein participants must be able to familiarize themselves with the LCCAP formulation process, review existing climate actions in local development plans, and identify the resources required to formulate the LCCAP. Moreover, currently he has direct supervision in the actual implementation of the project, hence, he has first-hand knowledge and experience about how the People's Survival Fund approval and implementation processes operate.

The interviewee related that he came to know of the People's Survival Fund in one of the seminars he has attended. He learned from that seminar that the Philippine government has just recently opened the application for funding climate adaptation projects. With the information, he introduced the idea of improvising and expanding on the existing agricultural service to their farmers, i.e., providing real-time and accurate local climate data to farmers of Gerona.

The interviewee commented that while majority of the officials of the Municipality of Gerona knows about the People's Survival Fund, not everybody understands what and how the Fund works.

Asked to rate the level of awareness of the employees of Municipality of Gerona, Tarlac, the interviewee gave a rating of 4 out of 5 (with 1 being the lowest, and 5 the highest). As for farmers, fisher folks and other sector, he commented that the level of awareness could be lower and pegged it at 2. He cited lack of adequate available public information about the People's Survival Fund as the main reason for such low level of awareness.

The interviewee did not mention of any occasion whereby the Climate Change Commission coordinated with their local government unit on their existing programs, projects or initiatives, but rather related that local government units in general should be the one to initiate contact with the Climate Change Commission for matters involving climate change actions.

The interviewee shared that the efforts exerted by the Climate Change Commission to relay information about the People's Survival Fund to the public seem to be not enough to reach the greater rural areas where the most vulnerable sectors of the society are found. He felt that the Climate Change Commission should strengthen its public education and information campaign if it is to create greater public awareness about climate change issues, disseminate

information about the People's Survival Fund in wider geographical scope and reach out a greater number of people in the archipelago.

On the Key Success Factors in Accessing the People's Survival Fund

The interviewee first talked about the local institutional unit in-charge of climate change actions in their municipality as key to forging actions regarding their climate adaptation project. He told the interviewer that while Gerona is not a large municipality, it has adequate number of skilled and competent people who can work of climate-related actions. He commented that climate-related actions in their municipality are a shared responsibility by various departments such as the Municipal Planning and Development Office, Municipal Agriculture Office, Municipal Environment and Natural Resource Office, Budget and Finance Department, Municipal Disaster Risk Reduction and Management Council, to mention a few. These inter-departmental group is responsible in planning, organizing and implementing climate-related projects and activities. Depending on the nature of the functions of each department, each performs their duty in accordance with their specified mandates. For instance, the Municipal Planning and Development Office is responsible for initially proposing climate adaptation project in consultation with the Environment Department and Disaster Risk Reduction Management Council. Hence, there are collaborations being done on specific aspects of the project. The interviewee cited the example of "Promoting Resiliency and Climate Informed Gerona," where the Municipal Planning and Development Office collaborated with the Agriculture Office and Environment and Natural Resource Office of the municipality in order to formulate the initial concept of the project in consultation with stakeholders such as farmers, fisher folks and indigenous people.

The interviewee related that while there is no specific plantilla position for a climate change officer in the municipality, the various departments involved in climate change actions are able to perform their duties effectively. He commented that staff members of these departments are encouraged to attend seminars, workshops and other forms of capacity-building activities sponsored by the Department of Interior and Local Government (DILG) and the Climate Change Commission.

The interviewee shared that one of the keys in having their climate adaptation proposal approved by the PSF Board is their having a Local Climate Change Action Plan. The Local Climate Change Action Plan or LCCAP is the action plan formulated by the LGUs to address climate change concerns. The LCCAP focuses on both climate change adaptation and mitigation and describes how LGUs plan to respond to climate change and mainstream such into local development plans. Why a number of local government units are not able to come up with their local climate change action plan can be explained by the fact that the process of formulating one is rigorous and involves a number of steps.

The interviewee explained in details how they formulated their LCCAP. Firstly, the planning stage will involve not only representatives from their local

government unit but also all stakeholders whose interests are impacted by the project (women, farmers, fisher folks, business sector, etc.).

Accordingly, the planning process involves four strategic planning questions and nine planning steps. The four strategic planning questions: (1) What is happening? (2) What can we do about it? (3) What matters most? (4) Are we doing it right?

The questions guide LGUs through the nine planning steps, helping them to: 1. analyze current situation; 2. identify stakeholders; 3. conduct climate vulnerability and risk assessment and perform GHGi; 4. identify key LCCAP objectives and priorities and develop low emission development strategies; 5. list down tasks needed to be accomplished; 6. decide on options of appropriate actions; 7. strategically implement action plans; 8. monitor and evaluate performance and viability; and 9. modify plans as needed.

The interviewee explained that the new LCCAP Planning Framework emphasizes how LCCAP formulation is not a linear process. Instead, LGUs can revisit any step as new information becomes available, new stakeholders become involved, or other circumstances change. **(Figure 13b, LCCAP Planning Framework).**

The interviewee related that initial target participants are members of the Local Development Council and Sanggunian. Ideally, the decision makers should also be involved such as the Mayor, Vice Mayor, and members of the City/Municipal Council and the department heads. If the budget allows, all Barangay Captains were invited as well as representatives of different sectors of the locality. Mobilizing stakeholders is a key element to improved governance as it builds local ownership and commitment to development activities and processes. In the LCCAP, mobilization of stakeholders is not only crucial in gathering information, building consensus and conclusions, and identifying practical solutions but also in delivering and implementing response actions.

The interviewee likewise shared that another key document required for submission a climate adaptation proposal is the Risk Vulnerability Assessment. The LCCAP's content should be science-based which is therefore anchored upon the Risk Vulnerability Assessment.

The interviewee underscored the fact that these two documents go hand in hand with each other and are therefore complementary with each other. The interviewee commented that the formulation of Risk and Vulnerability and Risk Assessment requires them to conduct detailed and thorough data gathering and analysis for assessing risks and vulnerabilities associated with the projected changes in seasonal mean rainfall and temperature patterns, climate extremes such as number of dry days, number of extreme temperature days, frequency of extreme rainfall events which may trigger hydro-meteorological hazards (e.g. floods, rain-induced landslides), and potential changes in global mean sea levels which may affect local coastal inundation patterns. They used simple ratings and computations based on a set of criteria in the Climate and Disaster Risk Assessment (CDRA) so they can better assess where they are now in climate

change adaptation, what and where they should focus on, and when the plans should be implemented.

On Local Funding for Climate Change Adaptation Activities

When asked as to whether their municipality allocate a portion of their budget for climate change actions, the interviewee replied that indeed they appropriate a certain portion of their budget but the amount may not be that significant considering that they have other priorities with competing budgetary requirements. However, he emphasized that with the Climate Change Expenditure Tagging (CCET), they are now required by the Joint Memorandum Circular 2015-01 to identify, prioritize, and tag programs, projects or activities (PPAs) that have climate adaptation or mitigation objectives using climate change typologies.

The interviewee explained that the CCET provides the government with information on local government's resource allocation and climate-change-related/specific PAPs. Such information is also used for identifying the financing gaps and the kind of support that government needs to mobilize to finance the prioritized PAPs such as through the People's Survival Fund, DRRM fund, Green Climate Fund, or the Global Environment Facility, to name a few.

On Coherence and Alignment of National and Local Policy Objectives

The interviewee willingly shared Gerona's experience on their climate change adaptation project "Promoting Resiliency and Climate Informed Gerona." He explained that the project is an adaptation mechanism being the local government unit (LGU) of Gerona in partnership with Rice Watch and Action Network (R1). Likewise, through the LGU's partnership with Philippine Atmospheric, Geophysical and Astronomical Services Administration (PAGASA), Gerona was able to construct its own Climate Resiliency Field School (CrFS), which gives farmers real time and localized weather advisories and early warnings.

The interviewee explained that the field school was designed to provide the LGU and the community with early warning advisories on weather pattern and micro-scale climate events in the municipality, thus, also providing warnings about possible risks. Through the CrFS, farmers in Gerona know how they could adjust in case weather disturbances would affect their crops.

The interviewee expounded that the changing rainfall pattern and how it affects the agriculture industry are among the things being taught to farmers. They are

also taught which insects are beneficial and which ones are harmful, a technology known as integrated pest management or IPM. One of the main objectives of having the CrFS is to disseminate information to farmers and make them understand technical information. A local weather expert in Gerona's CrFS simplifies the information and translates it into local dialect, before disseminating it to farmers via SMS.

The interviewee shared that it was actually the first time that the Philippine Atmospheric Geophysical and Astronomical Services Administration (PAGASA) has provided services down to the grassroots level. Apart from becoming knowledgeable about climate change, the interviewee commented that the farmers are also empowered in their livelihood as they were taught about making organic fertilizers which somehow lessens farm production cost.

The interviewee commented that their project is vertically aligned with the priorities set forth in the National Climate Change Action Plan (NCCAP) of the Philippine government in terms of its priority areas in food security, water sufficiency and sustainable development. He also related that this climate adaptation project forms part of the core activities spelled out in their local climate change action plan.

The interviewee commented that farmers and family members (children and women included) benefit from this project as it enables them to do their farming activities based on scientific data provided by the Climate Resiliency Field School, which is intended to boost their agricultural production in the process. Apparently, the interviewee explained that this project can be maintained long-term and is therefore sustainable considering the minimal maintenance requirements the project requires. Moreover, agriculture being the primary source of livelihood requires the services of this project in the long-term, hence, according to the interviewee, whoever holds the helms of power in the local government unit will continue the project. Accordingly, this project has the potential to be replicated in other areas or better yet upscaled for municipalities with greater agricultural service requirements along this domain.

Finally, the interviewee related that they have Monitoring and Evaluation mechanisms for this project. He explained that assessment, monitoring and evaluation are integral parts of the project. This task ensures that they stay accountable to the achievement of the goals that are set out in their project. In preparing the monitoring and evaluation plan, their monitoring and evaluation team outlines the expected changes and results across the PAPs, including the expected behavior changes, outcomes and impacts. The team then formalizes

this into a logical framework and uses indicators to link all inputs and activities to the development objectives through a series of outputs and outcomes.

On Perceived Key Success Factors

The interviewee aptly summarized the key success factors in the approval for funding of their climate change adaptation proposal.

Firstly, he cited the top-level management support of the local executives. He explained that without the political will and support of both the mayor and the Sanggunian, the project would not have pushed through. The local officials recognize that agriculture serves as the backbone of their local economy and the foundation of livelihood of their constituents; hence, the project which is designed to improve the lot of the farmers and ultimately enhance food security in the locality will definitely finds support from the local government officials.

Secondly, the interviewee likewise mentioned ground support system from the stakeholders. The interviewee who initiated the formulation of the project noted that farmers in their municipality are deeply interested in the project as they feel the need to address the impact of climate change in their agricultural activities. With adequate and accurate explanation about the rationale of the project and the benefits that farmers can derive out of the project, the stakeholders express strong approval and support which expedited the completion of the project proposal and is eventual submission to the Climate Change Commission and the PSF Board.

Finally, he attributed the successful funding of their project through the concerted efforts of the local government officials involved in climate change actions. He explained that arriving at a project proposal was not an easy fate taking into account that it involves various entities, units and institutions from pre-approval stage until during the post-approval stage. He further noted that all the documents and requirements needed by the People's Survival Fund Board Secretariat were completed through the data provided by all these collaborating units in the local government of Gerona. He mentioned that their climate adaptation proposal was a product of the meeting of the minds of the various departments and the stakeholders. Without such cooperation, trust and support, the project would not have come into existence in the first place.

The interviewee however stressed that they experienced difficulty in the initial conceptualization of the project proposal. For instance, he mentioned about the lack of common time among the departments considering that they also have their respective duties to do. Hence, calling for a meeting proved a challenge. But this problem was immediately resolved by working during weekends. He also mentioned initial lack of interest among farmers during stakeholder analysis. But when the project was fully explained to them in terms on how it could help them in their agricultural activities and farming system, the stakeholders were able to see the beauty behind the project.

When asked what recommendations he could give other local government units who are planning to submit climate adaptation proposal before the Climate Change Commission, the interviewee enumerated the following: (i) put in place

a local team that will work on the different documentary requirements for project submission; (ii) coordinate with the local executive of the municipality as well as the Sanggunian for political buy of the project; (iii) establish ground support system by consultation with the stakeholders; and (iv) be bold in asking for technical assistance from the various agencies of the government when the need arises.

The interviewee likewise explained what to avoid in order to prevent their project from getting rejected: (i) submitting a lousy climate adaptation proposal; (ii) failure to submit a "climate adaptation project"; he mentioned that some projects submitted do not have adaptation dimension; and (iii) submitting incomplete requirements. He explained that while their experience proves effective in accessing the People's Survival Fund, local government units which intend to submit a project proposal should not only take the lessons from their experience but also go beyond by exerting greater effort than they did. Given the chance to submit another proposal, the interviewee related that they would do it again, but they would be a lot smarter next time around.

Concerns/Problems Encountered in the Implementation of their PSF-Approved Project

The interviewer likewise asked the interviewee regarding problems encountered during the implementation phase of their climate adaptation project.

The interviewee summarized them in gist. Firstly, the interviewee commented that there was delayed release of fund after signing the Memorandum of Agreement with the government. He mentioned that tranches of fund is channeled through the Development Bank of the Philippines which serve as the fund conduit. He argued that it takes time before the next fund tranches are released. Secondly, there is also confusion as to what agency are they going to coordinate after the approval of the project. It appears that there is no existing harmonized guidelines as to what requirements and to what agency of the government are they going to be submitted to avail the next release of fund tranches. Finally, with the delayed transmission of the fund, the project is forced to be put to a momentary halt which necessarily results to delayed delivery of services to the stakeholders, delayed release of salaries to workers involved in the project and subsequently delay in the production of the deliverables of the project.

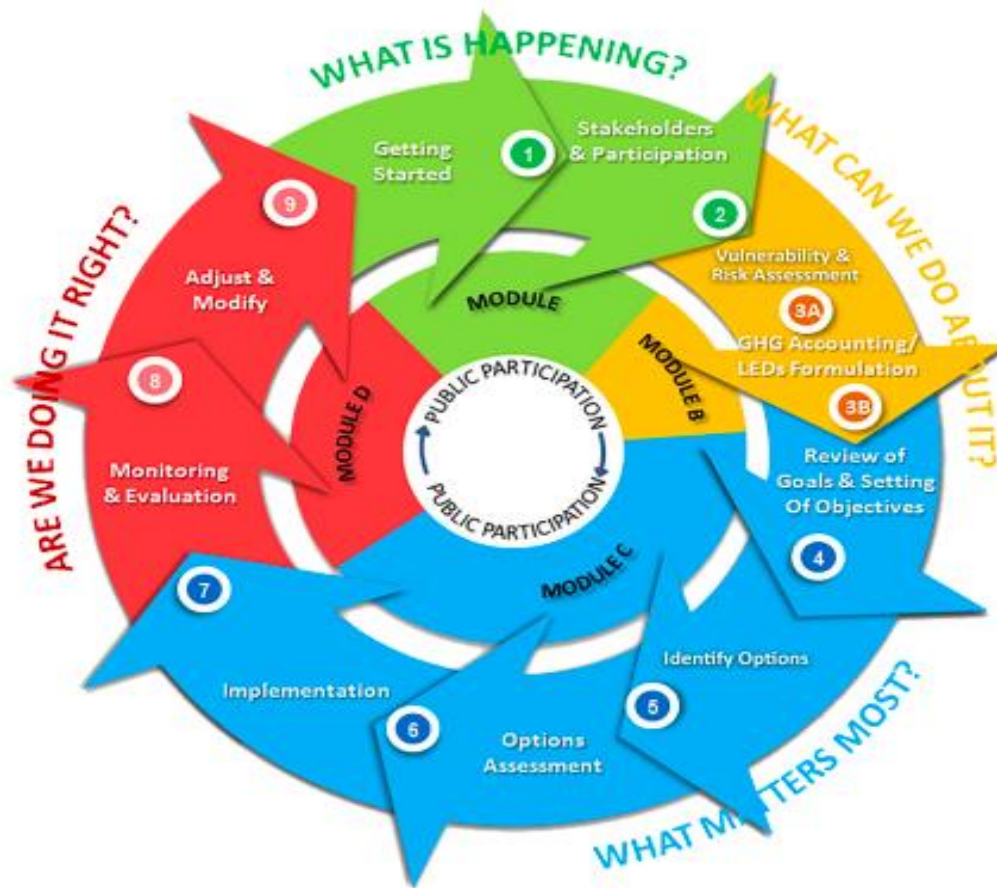


Figure 13b: The LCCAP Planning Framework

Box 4. Summary of Interview Results from the Local Government (Gerona)

<p>Milagros Pacheco---- (Municipal Agriculture Office)</p> <p>On the Accessibility of Knowledge/Information About the People’s Survival Fund</p> <p>The interviewee is head of the Municipal Agriculture Office of Gerona and is directly in-charge in assisting the Municipal Planning and Development Office in the implementation of the climate adaptation project “Promoting Resiliency and Climate Informed Gerona.”</p> <p>The interviewee disclosed that she learned about the People’s Survival Fund from a seminar sponsored by the national government. She commented that most of the officials of the local government unit of Gerona knows about the People’s Survival Fund, although not most people in the locality are aware of it. She further commented that she could not recall any communication or coordination made by the Climate Change Commission in relation to their program or projects although she made it clear that the website and Facebook page of the Commission are replete with information about the People’s Survival Fund. She</p>
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shared the sentiments of other local government officials who are of the opinion that information dissemination about the People's Survival Fund is inadequate and that the Climate Change Commission should explore other communication pathways through which they can create massive awareness about climate change issues and the PSF.

On the Key Success Factors in Accessing the PSF

The interviewee commented that one reason why the Municipality of Gerona was successful in accessing the PSF is through its localized institutional set-up for climate change actions. The Municipality has an inter-departmental and inter-sectoral body that is focused on climate change. In the formulation of the climate change adaptation project proposal, all these departments and units worked together in synergy, showed utmost cooperation and support to the local government unit. In the process of drafting the climate adaptation project proposal, the Municipal Planning and Development Office, the Municipal Agriculture Office, the Municipal Environment and Natural Resource Office, the Municipal Disaster Risk Reduction and Management Office collaborated with each other and complemented each other's functions. The interviewee related that their staff were encouraged to attend the regular seminars and workshops sponsored by the national government in order to be equipped with knowledge and skills in performing their climate related actions.

The interviewee also argued that their enhanced Local Climate Change Action Plan which was formulated through the concerted efforts of both the executive and legislative officials of the local government unit of Gerona. Participants from among the farmers' groups likewise contributed to the formulation of the Local Climate Change Action Plan. These participants provide inputs and insights that reflect the needs and interest of the sector or unit they represent. The interviewee commented that alongside the formulation of the Local Climate Change Action Plan is the risk vulnerability assessment which is among the main documents required by the PSF Board for funding approval. This document accordingly is science-based and has reference to climate adaptation activities. The interviewee did not comment on funding relative to climate change, but he mentioned that he was aware that in their PSF-approved project, there was a 10% counterpart funding that the municipality allocated.

The interviewee explained that the project "Promoting Resiliency and Climate Informed Gerona" envisioned to assist farmers in their agricultural activities through the provision of climate data in coordination with the national weather bureau. It also aims to capacitate farmers on climate-smart agriculture. Considering that majority of the people in Gerona are agriculture-dependent, the interviewee explained that the project will be sustainable in the long-term. In fact, the interviewee explained that some municipalities have started visiting their Climate Resiliency Field School to benchmark and possibly derive inspiration and ideas from their project. She mentioned that the project is supportive of the thrust of the National Climate Change Action Plan and constitutes the major program in the local climate change action plan.

On Perceived Key Success Factors

The interviewee cited the following as key in their success in accessing the PSF. Firstly, a well thought-out climate adaptation project proposal; secondly, a harmonious integration of intuitive local knowledge and modern technology in the project; thirdly, support from both the executive and legislative councils of their municipality; and finally, support from the farmers who are the primary stakeholders in the project.

Perspectives from an Unsuccessful LGU Project Proponent

The researcher likewise conducted an interview with a local government official of a municipality which submitted a project proposal but failed to gain approval of funding from the PSF Board. The interviewee requested anonymity of his identify and that of his Municipality. She also declined to give very explicit details about the project proposal submitted by the Municipality. Hence, for the purpose of this study and per the request made by the interviewee, his name and that of the Municipality were withheld and so will be referred anonymously and generally.

Box 5. Summary of Interview Results from the Local Government of an LGU Project Proponent with Unsuccessful Project Proposal

*Local Government Employee

On the Accessibility of Knowledge/Information of the People's Survival Fund

The interviewee who declined to give his real name is involved in disaster risk reduction and management functions of the municipality; hence he has direct knowledge and personal information on the climate change adaptation activities of their municipality.

The interviewee explained that the first time he heard about the People's Survival Fund was when he listened to a news broadcast aired in a local channel. He related that he became directly interested about the Fund and did research about it. He explained that only a few employees of Anda are really aware of the People's Survival Fund; hence, if he is to rate the level of awareness of both the employees and people of his LGU, he would rate it at 1 out 5. Such low level of awareness according to him can be explained by the fact that in most marginalized and far-flung municipalities access to information is limited. Information about the People's Survival Fund in their locality is next to nothing. Without access to internet, he would not have been able to dig more information about the PSF. The interviewee could not remember any form of coordination from the Climate Change Commission related to the PSF that has so far reached their municipality. He explained that the communication pathways of the Climate Change Commission to local government units appeared inefficient and ineffective to raise awareness about the People's Survival Fund.

The interviewee commented that the Climate Change Commission should reach out to vulnerable municipalities to disseminate information about the People's Survival Fund, raise awareness about climate change issues and extend assistance to poor rural regions of the country

On the key success factors in accessing the People's Survival Fund (PSF)

The interviewee related that there is no specific unit in his LGU that works exclusively on climate change activities. Instead, activities related to climate change are done through collaborations of different units. Although the interviewee mentioned that these activities are primarily done by the Municipal Disaster Risk reduction and Management Council and the Environment Office.

The interviewee related that their municipality does not have adequate staff who will work on climate-related actions, for which reason they are not able to implement that much number of projects on climate change related actions.

Asked as to whether their municipality has local climate change action plan, the interviewee mentioned that indeed they have one and it was drafted through the assistance of various departments and with the help of other stakeholders in their locality.

The interviewee also mentioned that they have an existing climate and disaster risk assessment which is more or less done through the help of technical experts.

On Local Funding for Climate Change Activities

The interviewee explained that funding for climate change related activities are integrated to all other activities of the municipality. As they are now required to do Climate Change Expenditure Tagging, their municipality is required to tag or label activities with mitigation or adaptation implications. But to mention one project exclusively as adaptation or mitigation is almost impossible.

On Coherence and Alignment of National and Local Policy Objectives

The project that they submitted for funding aims at improving the agricultural resiliency and improving adaptation mechanisms for farmers. Part of the project determines the level of awareness to climate change of smallholder farmers and the adaptation measures they implement and what adaptation policies they need. The project accordingly is relevant to the adaptation goals of the National Climate Change Action Plan and their local climate change action plan in the field of agriculture and food security.

The project targets smallholder farmers in their locality. Private sector's participation to the project is limited. As to the sustainability of the project, the interviewee commented that the project can be sustainable in the long-term perspective considering that the project's potential to help farmers is immense. He also explained that the project has the potential to be upscaled or replicated in other areas.

Perceived Reasons on the Rejection of the Proposal

The interviewee declined to elaborate on the details of the reason for the rejection of the proposal, although he mentioned that the PSF Board may not have found the proposal worthy of approval. He likewise mentioned that most of the activities identified in their project do not have strong adaptation inclinations. With that said, he stated that they could have improved the different activities and deliverables in this aspect by providing more adaptation activities

in the proposal. Furthermore, he also mentioned that they must have been able to provide adequate justifications for the proposal which they failed to do. Among the problems they encountered in the preparation and submission of the proposal include lack of cooperation among the local government officials, lack of enough competent personnel who will work on the proposal, lack of adequate information on writing a proposal worthy of the Board’s approval, among other problems. The interviewee urged other local government units to conduct a thorough review of their climate adaptation project proposal before submitting one, submit complete documentary requirements and comply with all the requirements, procedural and substantive requirements, set forth by the Commission.

Among the bureaucratic barriers identified by the interviewee include the following: (i) coordination failure by his local government unit to the Climate Change Commission; (ii) complexity of the requirements of the PSF which are sometimes beyond the means of capacities of poor rural agricultural municipalities such as that of his LGU; and (iii) intricate screening and approval procedures of the Climate Change Commission.

The interviewee opined that these documentary requirements are really difficult to be complied with by poor vulnerable municipalities which does not have enough skilled manpower to do these documents. He suggested that the Climate Change Commission to simplify the procedures and relax the requirements. He also suggested for extending technical assistance on writing proposal as well as formulating risk assessment document for vulnerable and poor municipalities. When asked whether he would encourage other local government unit to follow their example, the interviewee replied in the negative. He instead urged other LGUs to abstract the lessons from their failure. Given the chance however to submit another proposal, they will try their luck for next opportunities.

Local Community Perspectives

The researcher also deemed it necessary to draw the perspectives of the local community, specifically stakeholders of the project. In this interview, the researcher highlighted the perspectives of farmers in the Municipality of Gerona concerning the People’s Survival Fund. When asked if he is willing to have his name mentioned in the research study, the interviewee requested that his full name be not mentioned. He instead requested that he be referred as “Jing” in the entirety of the interview and further requested to be called as such in the final version of the paper.

Box 6 below gives a brief summary of highlights of this interview:

Box 6. Summary of Interview Results from the Local Community (Farmers’ organization)

*Jing (Smallholder Farmer in Gerona)
On Awareness to Climate Change and its Impacts and the People’s Survival Fund

The interviewee is one of the chief officers of a farmers' organization in the Municipality of Gerona. He was among those who attended the meetings and sessions called upon by the Municipality in the conceptualization of the project. He was able to gain first-hand interactions with the local government unit of Gerona in all stages of the adaptation project. Hence, his perspectives represent the local community as one of the actors in climate adaptations in the sub-national level.

The interviewee expressed that most farmers in Gerona experienced changes in the climate in the last decade. In particular, he related that along with other farmers in Gerona, they observed the changing climactic pattern which necessitated them to adjust in their agricultural calendar. They reported increase in temperature during dry season and frequent rains during wet season. They likewise observed that they experienced more and stronger typhoons in the last decade that adversely affected their agricultural production and in turn, their income and food security.

When asked about the People's Survival Fund, he commented that they are not generally aware about the People's Survival Fund but were made aware about it by the local government unit of Gerona when they were involved in the formulation of the project proposal. Prior to the project, they were entirely clueless about the PSF. He related that with the constant and sincere coordination made by the LGU of Gerona with their organization in the community, most of the farmers have become deeply interested to have the project see its full fruition and implementation.

Knowledge and Involvement on the Climate Adaptation Project

The interviewee related that the local government of Gerona actively engaged their participation from the planning phase up until the execution phase. Accordingly, representatives from the LGU of Gerona consulted them from time to time and asked them about any problems or concerns they have in their agricultural activities.

Their farmers' association are likewise invited by the LGU during meetings, sessions and seminars where they could benefit in the process

The interviewee expressed gratitude to the existence of the project as they were given accurate scientific data when to plant their crops, apply fertilizers, etc. They were taught about climate-smart agriculture as well.

The interviewee likewise related that the LGU of Gerona even encouraged them to provide inputs during the consultation process. They were asked to form a committee of their own that will help oversee the implementation of the project. Asked whether the farmers are happy about the project, the interviewee related that a great majority of the farmers are satisfied with the types of services being extended to them by the municipality and hoped for the long-term sustainability of the project.

Identified Challenges in Implementation

Among the challenges identified by the interviewee in the implementation of the project is the occasional delay in the construction phase of the infrastructure

required by the project. They were told by the municipality officials that the delay is caused by the delayed release of fund from the national government. As to the farmers' side, the interviewee commented that the farmers in general are very cooperative and supportive of the project despite some delays incurred in the implementation of the project considering that they have long been assisted by the municipality on providing them local climate data and capacity-building activities on climate-smart agriculture.

On Adaptation Needs in their Agricultural Activities

The interviewee enumerated the adaptation needs of the farmers in Gerona as follows: (i) provision for crop-resilient varieties; (ii) technical knowledge and applied techniques for ecosystem-based adaptation; (iii) fertilizers and agro-chemicals to boost production; and (iv) climate adaptation financial assistance or any insurance type for their crops to hedge them from possible agricultural loss.

Discussion of the Salient Findings from the Interviews

On the basis of the foregoing interviews coming from various perspectives of actors involved in climate governance, the following are what the researchers considered salient thematic findings that have bearing with the operational barriers affecting the implementation of climate adaptation projects vis-à-vis the People's Survival Fund.

On the Barriers Affecting the Implementation of Climate Adaptation Projects. As can be gleaned from the interview, it appears that among the operational barriers highlighted in the interview includes the following:

- (i) **Information Asymmetry.** There is still evident lack of awareness, knowledge and information about the People's Survival Fund. More notably, majority of people particularly in the poor and vulnerable rural agricultural communities, has low awareness about the existence of the People's Survival Fund. This confirms the researcher's hypothesis that the People's Survival Fund is still largely unknown in the country. When viewed in the perspectives of local community, the People's Survival Fund is still greek to them.
- (ii) **Governance Gap.** The lack of harmonious guidelines that will govern various agencies involved in the release of funds for PSF-approved projects, the bottlenecks in fiscal disbursement, the seemingly incurrence of delays in processing of documents submitted by project implementers,

and the seeming inefficiencies of the Climate Change Commission in cascading information about climate change and the People's Survival Fund are just among the indications that there exists governance gap among the agencies involved in the climate governance of the country.

- (iii) **Capacity Gap.** On the basis of the interviews conducted with both the successful and unsuccessful LGU project proponents, it appears that there exist capacity gaps among poor and vulnerable rural agricultural communities with respect to complying with the documentary requirements and the legwork needed in the submission of a proposal. While there were LGUs who were able to comply, not all LGU's have the same level of capacities and resources. From the many submissions only very, few passed the first screening - reportedly due to their low quality. In fact, only two proposals (from Camotes and Gerona) were approved during the 9th PSF Board Meeting in July 2017. Apparently, even the national lead coordinating agency suffers from the same capacity gap issue. The Climate Change Commission (CCC) itself experienced difficulties in handling the proposals and disbursing the budget. With these seeming inefficiencies from the CCC, the national leadership was somehow pushed to move the PSF secretariat from the Climate Change Office to the Department of Finance.

- (iv) **Capacity Asymmetry.** Another notable finding that was found out by the researcher is the capacity asymmetry among local government units themselves. While local government units have equal powers and opportunities under the Local Government Code of 1991, not all LGUs are created equal, so the saying goes. Some LGUs classified as highly urbanized cities or first-class municipalities are in better and advantageous position to implement climate adaptation actions compared to LGU's with limited resources and capacities. Meaningful local action is typically hindered by multifarious national demands that have to be met with limited local resources. Limited financial capacities at LGU level restrain local climate action. Overwhelmed and

overworked, LGUs are required to formulate and submit 33 specialised plans by various national government agencies in relation to their multiple duties defined in the Local Government Code of 1991. This strains their resources and limits their capacity to innovate and implement. If large cities struggle to juggle their resources, both human and financial, imagine the scenario in a fourth or fifth class municipality where most vulnerable regions of the country are classified. In fact, a number of LGUs find difficulties to even comply with developing the two fundamental plans: the Comprehensive Land Use Plan (CLUP) and the Comprehensive Development Plan (CDP).

- (v) **Political Will of the LGU Officials.** While logistics, capacities and resources are crucial in complying with the requirements of the PSF Board for project proposals, the political will of the local government officials in power is equally, if not more important. In the Philippines, the chief local executives (mayors) in cities and municipalities have three-year tenure of office. This explains the reasons behind why there exists weak planning mechanism in the sub-national level. One would not expect a municipal mayor to prioritize environmental concerns with long-term project duration as this is not deemed politically beneficial to him in the short-term perspectives. Inevitably, most municipal mayors would respond to climate adaptation action only to avoid negative publicity on the effects of natural calamities and disasters. Expectedly, planning is done short-term and projects with long-term or multi-year duration do not sit well in the minds of most politicians in the sub-national level. The political cyclical shift in power and the varying priorities of local executive officials through political successions will directly affect implementation of climate adaptation projects in the local level.

- (vi) **Financing Gap.** The People's Survival Fund Board as related by the representative from Climate Change Commission is "*demand-driven*" which means in case of competing project proposals from the LGUs, the PSF will employ criteria in

project prioritizations. This implies not all adaptation project worthy of being funded can be funded if the capacity of the fund does not warrant funding of the same. With a rolling budget of Php 1billion (almost US\$ 20 million), if all LGUs applies for funding, not all could be funded considering the financial limits of the PSF. In the future, there could be possible financing gap. Can local government units fund their own adaptation project? Again, not all LGU's have the same level of capacities and resources. Only LGU's with adequate budget can fund one. Poor LGUs usually the vulnerable ones have to contend to competing needs of their LGUs to marshall their resources. Lamentably, climate adaptation projects do not top their priorities.

- (vii) **Participation Gap from the Private Sector.** From the interview conducted with the representative of the National Climate Change Commission, it appears that active and dynamic participation of the private sector for climate adaptation projects is yet to be realized on account of the absence of enabling guidelines and operational mechanisms. While LGUs have already leveraged upon partnerships with CSOs and the academe, partnership with the private or business sectors is still under exploratory stage. A look at the PSF Law, however, reveals that there are possible entry points through which the private sector can be engaged on the implementation of climate adaptation projects in partnership with the LGUs.

On the Key Success Factors of Successfully PSF-Funded Project. A number of enabling factors that account for the success of a local government unit can be deduced from the interview. Among the key success factors highlighted from the interview includes:

- (i) **Top-level management support from local executives in power.** The Gerona experience illustrates that without the political will and support of both the mayor and the Sanggunian, the project would not materialize. Peculiar in the Gerona case is the harmonious complementarities of what the

majority of the constituents immediately needed in their socio-economic activities, the nature of economic activities in the municipality and the priorities of the local government unit. Such complementarities easily gained traction of support from the local government. As correctly emphasized by one of the interviewees *"the local officials recognize that agriculture serves as the backbone of their local economy and the foundation of livelihood of their constituents; hence, the project which is designed to improve the lot of the farmers and ultimately enhance food security in the locality will definitely finds support from the local government officials."*

- (ii) **Ground support system from the stakeholders through meaningful and inclusive participatory process lend legitimacy, transparency, credibility and sense of ownership to the project.** Without the public participation of relevant stakeholders, no project in the local level will be realized and successfully completed. Involving the public lends credibility, transparency, legitimacy and a sense of ownership on the project for the community. This is the reason why during the formulation of plans and projects relative to climate adaptation, some crucial activities required to be undertaken by the LGUs are stakeholder analysis and needs assessment. In fact, intelligent planning requires public engagement of all actors in all stages of the project from planning to implementation up until the monitoring and evaluation stage. Even during the post-project stage, stakeholders are asked to provide some sorts of feedback from them as inputs for re-planning or future planning adjustments. Such feedbacking mechanism keeps the stakeholders in the loop about the project. This was what Gerona experience skillfully manifested in their climate adaptation project. As observed by one of the interviewees in Gerona: *"...farmers in their municipality are deeply interested in the project as they feel the need to address the impact of climate change in their agricultural activities. With adequate and accurate explanation about the rationale of the project and the benefits that farmers can derive out of the project, the stakeholders express strong approval and support which*

expedited the completion of the project proposal and is eventual submission to the Climate Change Commission and the PSF Board.”

- (iii) **Concerted efforts of the local government officials involved in climate change actions.** The Gerona experience illustrated that having multi-level, multi-sectoral, interdepartmental and collaborative arrangements between and among relevant actors in the conceptualization, planning and implementation of a project is key to arriving at effective outputs. The Gerona experience adeptly illustrated vertical and horizontal coordination needed to steer the project in the right direction. They are also able to avoid the trap of fragmentation by harmoniously orchestrating their efforts towards a common goal. As aptly explained by one of the interviewees: *“...arriving at a project proposal was not an easy feat taking into account that it involves various entities, units and institutions from pre-approval stage until during the post-approval stage...”* The interviewee further noted: *“...all the documents and requirements needed by the People’s Survival Fund Board Secretariat were completed through the data provided by all these collaborating units in the local government of Gerona...the climate adaptation proposal was a product of the meeting of the minds of the various departments and the stakeholders...”*

On the Reasons for Rejection of Project Proposal. The interview with a representative of local government official from the LGU with project proposal which failed to get approval of funding from the PSF Board, revealed the following reasons for non-approval.

- (i) **Components of the project not classified as adaptation.** One of the reasons why the proposal was rejected is that the project submitted was more of business-as-usual project rather than a climate adaptation project. It should be noted that for a climate adaptation project to be approved, it should be first and foremost classified as adaptation. In the case of the LGU with unsuccessful project, as disclosed by the interviewee: *“...most of the activities identified in their*

project do not have strong adaptation inclinations..."
This probably explains the reason why most projects in the first year of call for submission of proposal got rejected---lack of adaptation dimensions of the project.

- (ii) **Lack of horizontal and vertical coordination in the conceptualization of the project.** There was a seeming lack of cooperation among the local government officials when the project was planned. This coordination failure resulted to a proposal which lacks both substance and adequate grounding. While stakeholders were consulted, consultation done may not be meaningful, impactful and lacked proper follow-up.
- (iii) **Capacity Issues.** The interviewee bared that the lack of enough competent personnel who will work on the proposal hampered their ability to submit a project proposal worthy of approval by the PSF Board. Considering that the municipality is suffering from resources and logistics issues, it would really be difficult for them to marshal whatever available resources they have within their command in complying with all the documentary requirements required by the PSF Board. The lack of adequate information on writing a proposal worthy of the Board's approval, science-based reasoning for their LCCAP and such other key documents required for submission will definitely hamper their submission of complete, accurate and detailed project proposal.
- (iv) **Bureaucratic barriers that aggravate failures** identified by the interviewee include the following: (i) coordination failure by his local government unit to the Climate Change Commission; (ii) complexity of the requirements of the PSF which are sometimes beyond the means of capacities of poor rural agricultural municipalities such as that of his LGU; and (iii) intricate

screening and approval procedures of the Climate Change Commission.

SUMMARIZED RESULTS OF THE FOCUS GROUP DISCUSSIONS

Precis

This report summarizes the key findings of the focus group discussion conducted with local government officials and representatives from vulnerable sectors such as women, farmers and fisher folks including indigenous people on the implementation of the People's Survival Fund. The discussions revealed varied level of awareness about climate change and its impacts, general lack of knowledge about the existence of the People's Survival Fund, a certain level of participation and engagement in the implementation of climate change adaptation project and the apparent need for sensitization and public information about climate change and its impacts and the People's Survival Fund as a policy mechanism for climate change adaptation projects. As a by-product, the focus group discussion gave valuable insight to the underlying information gap and governance barriers about the implementation of the People's Survival Fund in the local level.

Background

This report summarizes focus group findings conducted as part of the qualitative data collection for the research project entitled: "The People's Survival Fund: Insights on Climate Finance Delivery in the Philippines." Findings are based on two (2) focus group discussions conducted in the last four months (May 2019-August 2019). Focus groups explored respondents' awareness and perception about climate change in general, climate change adaptation and the People's Survival Fund, stakeholder engagement and participation on climate change actions in the local level and recommendations and suggestions

for improving communication and coordination about climate change adaptation projects and the People's Survival Fund.

Methodology

Two focus group discussions (FDG) was conducted with a total of twenty (20) local government unit officials and representatives from the women sector, business sector, fisher folks and farmers including representatives from the indigenous people. The informants were from two municipalities: the municipality of Gerona (with successful PSF-funded project) and with another municipality with an unsuccessful PSF project proposal. As per request of the informants of the LGU with unsuccessful project proposal, the identity of the municipality was kept in anonymity and confidentiality and will therefore referred to them in general sense.

Key findings

Qualitative data analysis revealed six (6) overarching themes in the two FGDs conducted in the two municipalities. The main findings from data generated by the focus group discussions are summarized below:

Theme 1: Varied Level of Awareness on Climate Change and its Impact. The Focus Group Discussion reveals varied level of awareness about climate change and its impact across members of different sectors. Officials of the local government units of the two municipalities and members of the private sector manifested significant level of awareness about climate change and its impact to the community. Members of the vulnerable sector such as from the fisher folks, farmers and indigenous people are not generally aware about the emerging issues on climate change although they reported experiencing the impact of the changing climate in their farm and fishery activities as well as in their crop and fish productions.

Theme 2: Low Level of Awareness on the People's Survival Fund. Generally, a great majority (about 80%) of the informants who took part in the focus group discussions showed low level of awareness on the People's Survival Fund. Only a handful of local government unit officials of the LGU with unsuccessful project proposal are aware of the existence of the People's Survival Fund; the opposite is true however to the Municipality of Gerona where majority of the officials are conversant about the PSF. Members of the private sector and the vulnerable sectors (fisher folks, farmers, women and the indigenous people) in the LGU with unsuccessful project proposal who took part in the FGD revealed that it was during the conduct of the focus group discussion (FGD) that they first heard about the People's Survival Fund. Conversely, members of the local communities in the Municipality of Gerona disclosed that they initially do not have knowledge about PSF but were informed about it during the early phase of project planning by representatives from the LGU of Gerona.

Theme 3: The Need for More Education and Information About Climate Change Adaptation. The FGDs disclose the need for more intensified education and information activities for local government officials and their constituencies. While in both municipalities they have existing enhanced local climate action plans that incorporate their climate change adaptation, it appears that some local government unit officials in the LGU with unsuccessful project proposal had difficulty distinguishing mitigation from adaptation actions. All other participants in the FGD from the LGU with unsuccessful project proposal reveals lack of awareness on climate change adaptation actions and their purpose.

Theme 4: The Need for More Meaningful and Inclusive Public Engagement and Consultation on Climate Change Adaptation Actions.

In both focus groups, respondents confirmed consultations from their respective LGU's but there is stark difference between the two municipalities. While respondents from the private/business, women, farmers and fisher folk sectors from the LGU with unsuccessful project proposal reported that they were engaged and consulted on climate change activities of their municipalities, their participation lacks meaningfulness and inclusivity for three reasons: (i) only one or two from their sectors are selected; (ii) there is no objective mechanism for representation; (iii) there is not enough information prior to the consultation process. On the contrary, participants from the private/business, women, farmers and fisher folk sectors of the Municipality of Gerona confirmed that they have constant communication and coordination with the LGU staffs respecting the implementation of the project and that they are still being engaged by the LGU from time to time.

Theme 5: Problems Encountered by the Vulnerable Sector in Accessing Information About People's Survival Fund.

Respondents in the focus groups disclosed that public information about the People's Survival Fund is grossly inadequate. In the local level, there is no accessible information about the People's Survival Fund. Respondents from the local government units revealed that they were not given adequate training about proposal submission vis-à-vis access to the People's Survival Fund. Respondents from all other sectors (business, women, farmers, fisher folks and indigenous people) expressed the need for more intensified public information campaign to fill the information gap about climate change adaptation and the People's Survival Fund.

Discussion and Implications

Addressing the critical information gap. The findings discussed in this report highlight the varying levels of awareness of various sectors on climate change and its impact to the community. Apparently, educated participants of the FGD such as those working in the local government units and the business sector are generally aware of climate change and its impact, whereas those from the vulnerable sectors while not knowledgeable on the issues of climate change reported having felt the impact of the changing climate. This suggests that there is a need for both the national and local government to educate the public on climate change and its impacts.

Low level of awareness about the People's Survival Fund is generally observable to majority of the participants in the FGD which suggests for more intensified public information campaign to make people aware of the People's Survival Fund Law. Local government units, in particular, should be made aware of the efforts of the national government through the Climate Change Commission to mainstream climate change adaptation in the local level. The national government, in return, need to step up its public information and education campaign to cascade information about the People's Survival Fund in the local level particularly to those rural areas found vulnerable to climate change.

Addressing "governance gap." The fact that the Climate Change Commission has been operating for barely five years and the negligible number of proposals submitted by the local government units seem to indicate some concerns on the governance and operations of the People's Survival Fund. There is a need to improve the operational capacity of the Climate Change Commission and its Secretariat to enhance its ability to manage, deploy and track progress of the climate resource channeled through the Fund, if it is to be effective in governing the Fund. To address this governance gap in

the operations of the People's Survival Fund, it appears that two mechanisms can be introduced: an institutional capacity development plan to capacitate and empower the PSF Secretariat in the performance of its functions on one hand; and a credible Monitoring and Evaluation System to equip the Secretariat to monitor, evaluate, track progress and chart appropriate interventions in relation to the Fund's operations. These two mechanisms are calculated to strengthen the operationalization of the People's Survival Fund.

Addressing the capacity gap. The need for more information and education for climate change adaptation cannot be overemphasized. Only when officials in the local level are thoroughly acquainted about climate change adaptation can they effectively come up with sensible climate adaptation project proposals that truly reflect their felt needs in the local level. Apparently, poorer vulnerable regions of the country need assistance in project identification and development as well as compliance with the processing requirements of the PSF. This is to address the existing "capacity gap" of poorer local government units which experience difficulty in satisfying the technical conditions and requirements of the PSF.

While in both municipalities they have existing enhanced local climate action plans that incorporate their climate change adaptation, it appears that some local government unit officials with unsuccessful project proposal had difficulty distinguishing mitigation from adaptation actions.

Targeted capacity-building activities on the impacts of climate change in agriculture, forestry and fishery where vulnerable sectors source out their livelihood should be conducted. Their input should be integrated in future climate change adaptation planning especially in the local level

APPENDIX P

Summarized Results of the Survey Questionnaire

The researcher administered a questionnaire to a mixed group of respondents from the six municipalities with PSF-approved projects. Part I of the questionnaire asked about the awareness of the respondents about climate change and its impacts and the People’s Survival Fund. Part II of the questionnaire pertains to the different barriers that affect the implementation and operations of the People’s Survival Fund.

Awareness on Climate Change and People’s Survival Fund

Table 1 presents the findings on the awareness of the respondents on climate change and its impacts as well as the respondents’ awareness on the People’s Survival Fund.

As shown in Table 1, over-all, an overwhelming majority of the respondents manifested awareness about the issue of climate change.

All the sixty (60) or 100% of the surveyed respondents believe that tropical depressions and storms have become stronger and more frequent and that the temperature has increased. Fifty-eight (58) or 96.7% of them are aware that the beginning of wet season has become unpredictable; that the drought period (El Nino) has become longer in duration, 53 (88.33%); and that wet season and dry season are both warmer, 52 (86.7%).

Table 1
Awareness on Climate Change and the People’s Survival Fund

Awareness on Climate Change and the PSF	Yes F/%	No F/%
On Awareness to the Changing Climate		
1. The temperature has increased	60 (100%)	0 (0%)
2. Wet season and dry season are both warmer	52 (86.7%)	8 (13.3%)
3. Drought period (El Nino) has become longer in duration	53 (88.33%)	7 (11.7%)
4. The beginning of wet season has become unpredictable	58 (96.7%)	2 (3.3%)
5. Tropical depressions and storms have become stronger and more frequent	60 (100%)	0 (0%)

On Perceived Impacts of Climate Change		
6. The changing climate results to the following extreme weather events that cause stresses to both humans and the farm	60 (100%)	0 (0%)
7. The changing climate results to reduced crop yields	54 (90%)	6 (10%)
8. With extreme weather events, income from farm activities is likewise reduced	57 (95%)	3 (5%)
9. During extreme weather events, food in the household become scarcer.	45 (75%)	15 (25%)
10. With the changing climate, family members have had experienced health problems	55 (91.7%)	5 (8.3%)
On Awareness to the People's Survival Fund		
11. I am aware that the People's Survival Fund is the government's flagship program for climate change adaptation activities	20 (33.3%)	40 (66.7%)
12. I am aware that the People's Survival Fund provides grants for the local government units and local community organizations that will climate adaptation project proposal	10 (16.7%)	50 (83.3%)
13. I am aware that the People's Survival Fund is intended to enhance the adaptative capacity of the vulnerable regions of the country.	7 (11.7%)	53 (88.33%)
14. I am aware of the of climate adaptation activities and/or project of the municipality that is tied with the People's Survival Fund.	7 (11.7%)	53 (88.33%)
15. I do receive information at least in one occasion about the People's Survival Fund from social media, print or broadcast media or other channels of communication.	20 (33.3%)	40 (66.7%)

As can be further gleaned in Table 1, in terms of the perceived impact of the climate change, 60 (100%) are aware that the changing climate results to the following extreme weather events that cause stresses to both humans and the farm; that with extreme weather events, income from farm activities is likewise reduced, 57 (95%); that with the changing climate, family members have had experienced health problems, 55 (91.7%); that the changing climate results to reduced crop yields, 54 (90%) and; that during extreme weather events, food in the household become scarcer, 45 (75%).

The researcher likewise surveyed respondents' awareness on the People's Survival Fund. Results show that only 20 (33.3%) are aware that *the People's Survival Fund is the government's flagship program for climate change adaptation activities* and that *they receive information at least in one occasion about the People's Survival Fund from social media, print or broadcast media or other channels of communication*. Moreover, the only 7 (11.7%) are aware that *the PSF is for climate adaptation activities and/or project of the municipality that is tied with the People's Survival Fund* and that *the People's Survival Fund is intended to enhance the adaptative capacity of the vulnerable regions of the country*.

As shown from the results of the survey while a great majority of the respondents are aware of climate change and its impacts, there is very low level of awareness about the People’s Survival Fund. This implies that most of the people in rural agricultural areas do not have knowledge about the existence of the Fund. This further affirms the hypothesis of the researcher that the People’s Survival Fund is largely unknown in the country.

Apparently, among the people who knows about the PSF are those working with the LGU and CSOs. Majority of the members of the vulnerable groups such as women, farmers, fisher folks and the indigenous people are generally not aware about the PSF. If PSF is known in the poor rural agricultural communities at all, knowledge about PSF is more generally attributable to information being provided by the local government units and information available through the internet.

Perceived Barriers that Affect PSF Implementation and Delivery

Table 2 shows the perceptions of the respondents on the different barriers in the implementation and operation of the People’s Survival Fund.

Table 2
Perceptions on the Different Barriers in the Implementation and Operation of the People’s Survival Fund

Perceptions on the Different Barriers in the Implementation and Operation of the People’s Survival Fund (PSF)	Mean	Descriptive Equivalent
On Policy Barriers		
1. Lack of adequate and correct information about climate change and its impacts.	3.70	SB
3. Lack of available public information about the People’s Survival Fund, its objectives and how local government units may access the Fund.	4.29	EB
4. Complexity of documentary requirements and processes in accessing the People’s Survival Fund	4.65	EB
5. Lack of transparency in the implementation and operation of the People’s Survival Fund.	4.13	SB
6. Lack of incentivization for local government units to engage on climate adaptation activities.	3.35	MB
7. Lack of administrative readiness of local government units when the Climate Change Act of 2009 and the People’s Survival Fund Law were passed.	4.25	EB
8. The possibility of financing gap for climate adaptation activities in the future when they are made solely dependent on the People’s Survival Fund	4.10	SB
9. Lack of access to technical expertise to reduce uncertainty about climate change and its impact	3.21	MB
10. Weak and short-term planning mechanism in the local level.	3.19	MB
On Institutional/Operational Barriers		
1. Lack of local institutional unit that performs climate change actions in the municipal level	4.12	SB
2. Lack of skilled and competent personnel to perform climate change actions	4.43	EB

3. Lack of harmonized guidelines for agencies of the government involved in the implementation and delivery of the People's Survival Fund.	4.52	EB
4. Political cyclical shift in power in the local level which accounts for changing priorities of the local government unit in terms of climate change actions	4.32	EB
5. Lack of adequate expertise and technical assistance in formulating risk vulnerability assessment, local climate change action plan and climate adaptation project proposal.	4.39	EB
6. Delayed release of funds during the implementation stage (bottlenecks in fiscal disbursement)	4.67	EB
7. Absence of genuine and meaningful participation of stakeholders.	3.35	MB
8. Lack of open, inclusive, and transparent mechanisms of tracking and monitoring how funds are spent and how projects are implemented.	4.17	SB
9. Lack of cooperation and support from stakeholders	4.50	EB
10. Lack of political support from top-level management in the local government unit.	4.33	EB

Legend:

1.0-1.79	Not a barrier at all (NABA)
1.80-2.59	Somewhat of a barrier (SOB)
2.60-3.39	Moderate barrier (MB)
3.40-4.19	Significant barrier (SB)
4.20-5.00	Extreme barrier (EB)

As can be gleaned in Table 2, in terms of policy barriers, the following are considered by the respondents as **extreme policy barriers**: *complexity of documentary requirements and processes in accessing the People's Survival Fund*, as evidenced by a weighted mean of 4.65; *lack of available public information about the People's Survival Fund, its objectives and how local government units may access the Fund*, 4.29 and *lack of administrative readiness of local government units when the Climate Change Act of 2009 and the People's Survival Fund Law were passed*, 4.25.

On the other hand, the following were perceived by respondents as **significant policy barrier (SB)**: *lack of transparency in the implementation and operation of the People's Survival Fund*, as evidenced by a weighted mean of 4.13; *possibility of financing gap for climate adaptation activities in the future when they are made solely dependent on the People's Survival Fund*, 4.10 and *lack of adequate and correct information about climate change and its impacts*, 3.70.

Lack of incentivization for local government units to engage on climate adaptation activities, 3.35; *lack of access to technical expertise to reduce uncertainty about climate change and its impact*, 3.21 and *weak and short-term planning mechanism in the local level*, 3.15 were perceived as **moderate policy barriers** by the respondents.

Table 2 further shows that in terms of institutional and operational barriers, the respondents perceived the following as **extreme institutional and operational barriers**: *delayed release of funds during the implementation stage (bottlenecks in fiscal disbursement)*, as evidenced by a weighted mean of 4.67; *lack of harmonized guidelines for agencies of the government involved in the*

implementation and delivery of the People's Survival Fund, 4.52; lack of skilled and competent personnel to perform climate change actions, 4.43; and lack of cooperation and support from stakeholders, 4.50.

Apart from the foregoing, the respondents also considered the *lack of adequate expertise and technical assistance in formulating risk vulnerability assessment, local climate change action plan and climate adaptation project proposal*, as evidenced by a weighted mean of 4.39; *lack of political support from top-level management in the local government unit, 4.33; and political cyclical shift in power in the local level which accounts for changing priorities of the local government unit in terms of climate change actions, 4.32* as extreme institutional and operational barriers.

Furthermore, respondents considered the *lack of open, inclusive, and transparent mechanisms of tracking and monitoring how funds are spent and how projects are implemented*, as evidenced by a weighted mean of 4.17 and *lack of local institutional unit that performs climate change actions in the municipal level, 4.12* as **significant institutional and operational barriers**.

The respondents also considered the *absence of genuine and meaningful participation of stakeholder* as **moderate institutional and operational barriers**, 3.35%.

The findings imply that the actors of climate adaptation projects and climate governance should address the policy and institutional/operational barriers which were considered extreme in the most immediate and practicable time possible. The resolution of these barriers should be considered important and urgent.

On the other hand, significant policy and institutional/operational barriers should likewise be given adequate attention. While some of these are not necessarily urgent, they should be considered important and therefore needs resolution. Finally, moderate barriers should also not be ignored as they may affect other aspects of the operations of the project or the PSF implementation.

APPENDIX Q

The Institutional Analysis and Development Framework: The Gerona Experience as Illustrative Case Study

The IAD framework, according to Araral and Amri (2013:130), has been designed to analyse the outputs (in the form of collective decisions) of human interaction by looking at the context or inputs of such interaction, and the action situation and patterns of interaction among bounded rational actors.

This section presents systematic evidence on how strategies are implemented and how participation is operationalized in the Gerona climate adaptation project entitled "*Promoting Resiliency and Climate-Informed Gerona.*" Drawing upon inductive, qualitative approach, the researcher explored the design, implementation and evaluation of the activities of the Municipality of Gerona relative to their climate adaptation project funded by the People's Survival Fund, as they relate to Ostrom's Institutional Analysis and Development (IAD) framework, in order to determine how the activities in this project can be made more appropriate, effective and sustainable.

Findings show that on all levels of Ostrom's framework, the Gerona experience on their climate adaptation projects are compliant although there are a few shortcomings on the part of the financial conduit of the government which causes delays in the implementation of the project.

Ostrom's IAD framework has been widely employed in this research provides guidance for highlighting key insights on institutional, technical, and participatory aspects of the project in Gerona. At the framework's core is the 'action arena'. The action arena is composed of an action situation and actors. The action situation refers to a social space where the actors interact, solve the commons problem, and exchange goods and services; the actors are those who participate in the situation (Ostrom, 2007).

Figure 1 below presents the diagrammatic illustration of the Institutional Analysis and Development Framework:

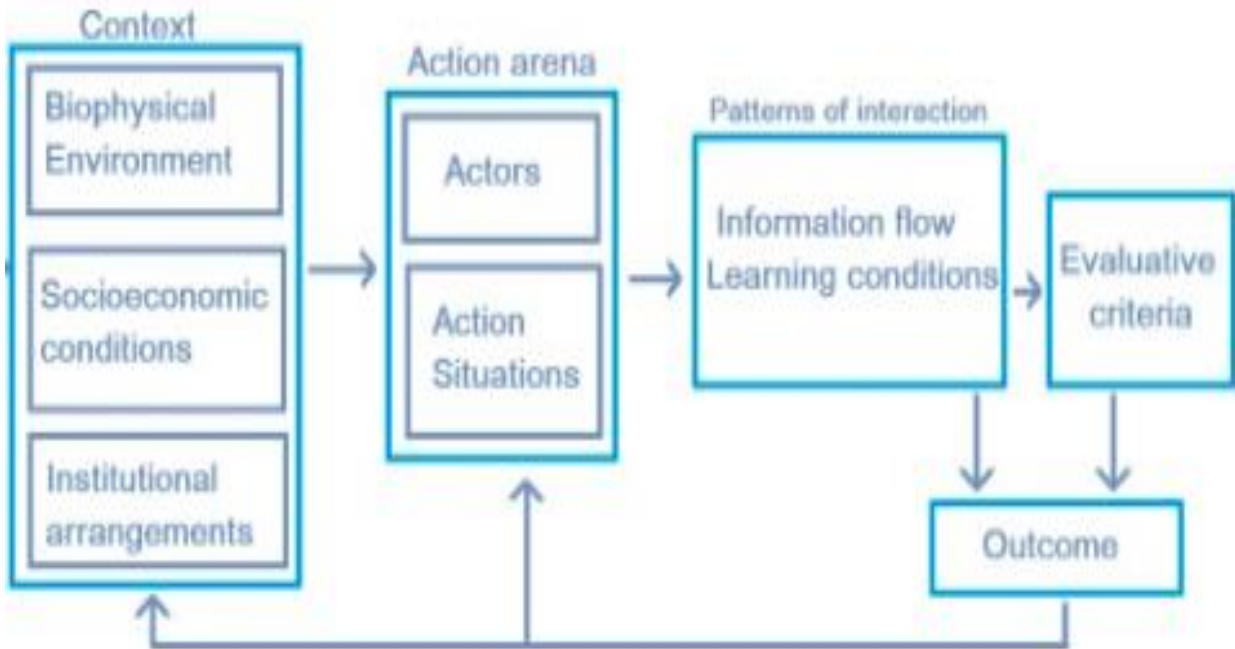


Figure 1. The IAD Framework (Source: Ostrom, et al., 1994)

By following the steps in the IAD framework and using the action arena as the unit of analysis, the analysis systematically follows the path of decision making from pre-planning to planning, on to execution and also ensuring the sustainability of a project.

When the action arena and its associated rules are evaluated against the background of Gerona project in terms of their structure, management, and outcomes or performance in community engagement, the results can provide useful guidelines for practitioners regarding how and where to act to improve the broad societal value of ongoing PSF Project in Gerona.

The Context

Considered in this component of the IAD Framework are the ecological and socio-economic environment upon which the climate adaptation project is situated.

Gerona is an agricultural town with a total land area of 14,147 hectares. The total agricultural land is 9906.12 has, with 4681.75 hectares being used for rice production. Approximately 2789.75 hectares are irrigated area while 1,892.00 hectares is rain-reliant. Rice production in the irrigated area has an average yield of 2.83 metric tons. Apart from rice, there are other crops such as root crops, corn, legumes and fruit vegetables which are likewise being produced in the municipality (Municipality of Gerona, 2019).

If one is to characterize the socio-economic context of the town of Gerona, majority of stakeholders are smallholder farmers whose livelihood is both culturally and historically embedded to the land. There is therefore homogeneity on the interest, needs, socio-economic and cultural contexts.

Another manifest characteristic of the people of Gerona as observed by this researcher during the site visit, interview and focus group discussion is that they have high level of motivation to take part in the project implementation. Social trust and a high stock of social capital are likewise observed among the farmer beneficiaries.

Climate information is vital for the day-to-day farming activities in Gerona. However, it is hardly available or accessible to farmers. Farming communities can better adapt to the climate change impacts and manage climate risks if they are armed with skills, knowledge and information on different adaptation measures. Thus, access to appropriate technologies, and timely and local climate forecast information is imperative for farming communities to manage the risks in agriculture brought by changing climate.

The PSF-Funded climate adaptation project of Gerona entitled "Promoting Resiliency and Climate-Informed Gerona" aims to increase access of communities to climate information and early warning systems, enhance preparedness against climate-related hazards (e.g., drought, flooding), and improve Gerona's water resources leading towards sustainable development. One of the components of this project is the Climate-Resiliency Field School (CrFS) which provides and shares information, including climate forecast and related information, farming knowledge, technologies and skills to build and strengthen the capacities of farmers.

With the project, the local government of Gerona becomes more attuned to the climate-appropriate needs of its farming clientele because the climate service demands dynamic and regular interaction between them and the farmers.

The municipality's use of Climate Information and Monitoring Centre and climate-smart agriculture to boost agricultural production as adaptation options are seen by farmers highly beneficial to them. With the CrFS and municipality's use of Climate Information and Monitoring Centre, Gerona farmers have the opportunity to: enhance knowledge on climate variability and ability to anticipate extreme climate events and modify farming decisions (day-to-day, by week and by season); be assisted in observing climate parameters to support farming practices (e.g. land preparation, pest management); and be provided with the necessary tools/knowledge to manage climate risks.

The Municipality of Gerona showed flexibility and ingenuity in the implementation of the project. Firstly, they created a Project Implementation Unit which supervises the implementation of the project and serves as project management office. This Project Implementation Unit is composed not only of local government officials from various departments (inter-department) but also representatives from the farmers' organization (sectoral) and a civil society organization (Rice Watch and Action Network) which partnered with the LGU of Gerona in the implementation of the project.

Another institutional arrangement that shows the municipality's capacity to innovate and adopt to the needs of the circumstances is adoption of bottom-up planning and stakeholder consultation in all stages of the project. Adequate consultation during stakeholder analysis was undertaken to ensure inclusiveness and participatory nature of the project. The farmers in the municipality acknowledged the fact that the communication channels of the municipality are open relative to the project.

Moreover, an analysis of the institutional contexts upon which the project is situated reveals that the Municipality of Gerona employed both horizontal and vertical coordination and collaboration.

Vertical coordination occurs across different governance levels, encompassing local, regional and national governments within the same state, but also supra-national and international scales such as the UNFCCC climate regime (Bulkeley 2010; Corfee-Morlot et al. 2009; Hooghe and Marks 2003; Jänicke 2017). Vertical interactions are two-way relationships that can be top-down or bottom-up.

In the case of the climate adaptation project in the Municipality of Gerona, they combine both elements of top-down and bottom-up approach. While they present the municipality's climate adaptation planning materials, they also allow the grassroots representatives (farmers, women and indigenous people) and civil society to provide inputs and guidance in the project.

Action Arenas

The following assessment of action arenas, which follows the contextualization as outlined in Ostrom's IAD framework, is organized around the stakeholders involved with the activities in the climate adaptation project in Gerona, namely: national government (Climate Change Commission, PSF Board, Development Bank of the Philippines and the Commission of Audit), the local government (Municipality of Gerona), and community members (farmers and the civil society organization).

The Actors

The actor component are the representatives from the national government, local government and the local community.

National Government

In the implementation of the project, the National Government plays a vital role in the successful completion of the project. The interview conducted with the Municipal Planning and Development Office disclosed that as soon as the Memorandum of Agreement between the national government and the local government of Gerona was signed giving a green signal for the implementation of the project, another set of documents was required of the municipality including the setting up of a bank account in the Development Bank of the Philippines through which the fund tranches will be channeled.

Apparently, the roles of other agencies of the government such as the Development Bank of the Philippines and the Ministry of Audit set in after project screening and approval. While the PSF Board has Monitoring and Evaluation Unit that does the field validation on the work accomplishments of the municipality, the LGU of Gerona admitted that there were delays in the processing of the documents for the release of fund tranches and there were confusion as well as what and to whom documents are to be submitted.

Delays are usually incurred in the Ministry of Audit in auditing the various phases of the project, the Climate Change Commission in delaying the field validation and the Development Bank of the Philippines in the release of the funds.

Such administrative delays and bureaucratic bottlenecks impact the completion of the project on time, delivery of the services to the beneficiaries and cause mistrust to the sincerity of the national government in the performance of their functions.

Local government

There is an opportunity in the drafting of these plans to involve community members in an inclusive and participatory process. While this is ideal, local government staff have limited resources, and are particularly constrained in having few personnel, they often have to cover very large areas and populations, have no vehicles for transportation, and have no budget for convening community members for such a process.

Community Members

In setting up the climate adaptation project proposal at the community level, local government officials are to involve community members. The majority of farmers in the municipality confirmed that they were consulted several times in

project planning and even during the actual implementation of the project. They also confirmed that they have representative in the LGU's Implementation Unit.

The majority of interviewed farmers had a high level of knowledge about the extent of the impact of the changing climate in their farming system. They are fully aware that the project will redound to their benefits. They acknowledged the fact that the project has the potential to empower men and women farmers through access to climate information, help them to project and plan ahead given projected weather -- thus saving them from potential losses and allowing them to use time and resources to more weather-appropriate activities. Hence, notably they have high level of motivation and interest in the implementation of the project which is advantageous for the successful completion of the project.

Furthermore, an analysis of the interactions of the municipality with the farmers indicate that they are allowed to express their voices in a democratic and participatory process, giving due regard and importance to the advantages of bottom-up approach and sense of ownership of the project.

The conduct of stakeholder analysis and needs assessment and alignment of the climate adaptation project to the actual and felt needs of the farmers are reflective of the different options and opportunities afforded to different members of society. The participatory process implemented allowed maximum participation from the farmers.

Another notable aspect of the project is the integration of the efforts of the civil society organization. Rice Watch and Action Network is a non-governmental organization that extended the Municipality of Gerona assistance in the project. As part of the community, Rice Watch and Action Network represents the efforts coming from the third society as partner not only of the subnational government in the implementation of the project but also of the national government in giving flesh to its policy objectives and in attaining its climate action goals as delineated in existing policies.

Patterns of Interaction

An analysis of design, implementation and perception of the climate adaptation project allows for insight into the assumed and actual outcomes of the interactions and therefore for understanding the patterns of interaction for the activities.

It can be deduced from the interview conducted, observation and site visit that the interactions between the local government and the stakeholders of the project is both participatory and community-driven which makes for successful and harmonious interactions among the state and non-state actors.

According to Tippet (2007), sustained participation and support are only possible when members in local communities feel that they have had a say, see their concerns reflected in the process, and when they foresee how the end product is going to benefit them.

As between the national government and the local government, the interaction suffers from some sorts of communication setback. The lack of clear and harmonious guidelines among the agencies involved in the delivery of the PSF to the LGU of Gerona for the implementation of the project creates miscoordination and inefficiencies.

The bureaucratic delays in the processing of documents as well fiscal disbursement bottlenecks creates a cog in the wheel, so to say. Inevitably, power dynamics could inevitably and unintentionally at play even when not deliberate. The national government exercising the power of purse provides the conditions whether the project halts momentarily on one hand, and the project proponent (Municipality of Gerona) which is left with no choice but to patiently deal with some bureaucratic ineptitudes and inefficiencies.

Learning Conditions

In dealing with its interactions with the national government respecting bureaucratic delays and fiscal disbursement bottlenecks, the local government arrives at a mechanism to cope up with bureaucratic delays and adaptive capacity to some changes in the project.

The Municipality of Gerona likewise acknowledged recognition of the limitations from the government in terms of the procedures involved in the release of funds. It also welcomed flexibility in the implementation of the project based on the prevailing circumstances.

With respect to its interactions with community members, the LGU of Gerona adopts the integration of feedback from stakeholders and objectivity in dealing with implementation issues.

Evaluative Criteria

The IAD model itself did not detail the evaluative criteria, but included potential areas of investigation such as efficiency, finance, equity, accountability, conformance to values and sustainability.

The researcher focused upon aspects of evaluative criteria that relate to (1) the relevance of climate adaptation project as affecting the program efficiency, (2) the management of the activities as influencing equity, (3) monitoring, evaluation and

learning processes as major aspects of accountability, and (4) sustainability of achievements as the main expected value.

Relevance of the Project

Agriculture continues to be the major livelihood of rural men and women in Gerona, and it is expected to be negatively affected by climate change. The risks to agricultural production due to changes in climate variables, such as increases in temperatures, extreme rainfall, erratic rainfall patterns and increases in maximal winds, are projected to continue to be huge, with the potential to increase exponentially, unless adaptation measures are put in place. Men and women farmers will be affected differentially; women bear the greater burden as they are expected to tackle the greater responsibility of ensuring the family's well-being -- both in care and economic work. One way to assist communities is to provide climate information, which is critical in agriculture adaptation. With the Climate-resiliency Field School (CrFS) component of the project, men and women farmers have the opportunity to: (i) enhance knowledge on climate variability and ability to anticipate extreme climate events and modify farming decisions (day-to-day, by week and by season); (ii) be assisted in observing climate parameters to support farming practices (e.g. land preparation, pest management); and (iii) be provided with the necessary tools/knowledge to manage climate risks.

Considering that the climate adaptation strikes directly into the heart of the interest and needs of the farmers, they manifest high level of motivation and interest in the successful implementation of the project. With the varied benefits they can derive from the project, it becomes rather easy for the LGU of Gerona to solicit cooperation and gain the trust of the farmers.

Project Management and Equity

A Project Implementation Unit was established to oversee the project execution. The municipal government of Gerona manages the overall implementation of the project and works closely with the non-governmental organization Rice Watch and Action Network which helps provide technical and administrative assistance in the implementation of the project.

Key stakeholders in the project were properly consulted in project planning and implementation. Non-state actors were likewise involved in the project: people's organizations, farmers' organization and even women's organizations. The project promotes inclusivity, as the municipal-wide programme has greater opportunity to benefit more men and women farmers and local government technicians are informed early on to target not just the men farmers but also women, given the diversified design of the programme. CrFS farmer graduates, including women farmers, benefit from greater climate sensitization of LGUs, and

they become a target of local government's additional support for increasing resiliency.

Monitoring, Evaluation, Learning and Accountability

During the implementation process, the local government came to the view that installing an M&E system would be crucial for program management.

Once the PSF Board approves the project, the PSF Secretariat closely coordinates with the LGU or LCO recipient for the finalization of the Memorandum of Agreement (MOA). The MOA elaborates the project implementation, financial management, and monitoring, reporting and evaluation arrangements, including provisions on property rights, proposal modifications and risk management. The proponent will still need to submit additional documents prior to signing within a maximum of 20 working days.

The PSF Secretariat and the Fund conduit (in this case, the Development Bank of the Philippines) review the documents submitted. After full compliance by the proponent and satisfactory evaluation by the PSF Secretariat and the Fund conduit, the PSF Secretariat will facilitate signing of the Memorandum of Agreement (MOA). The Fund conduit (DBP) will facilitate the disbursement of fund to the LGUs. In all stages of the project, the Commission on Audit subjects the transactions to the standard accounting and auditing procedures to ensure fiduciary standards and accountability of the project implementer. The diagram below summarizes the fund disbursement process.

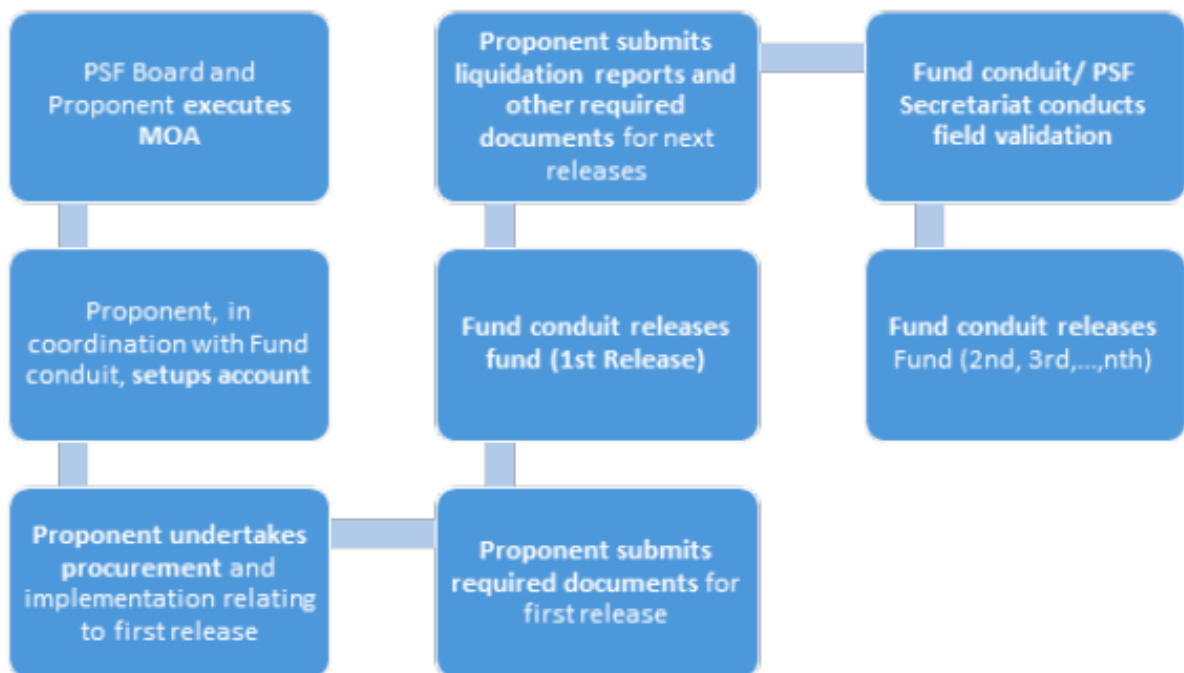


Figure 2. Process Flowchart for the Disbursement of Fund (Source: Climate Change Commission, 2018)

Likewise, funds are released according to the compliance with performance/ milestone report and liquidation requirements of the PSF Board. The LGU is required submit progress reports to the PSF Secretariat quarterly, which include narrative and physical accomplishment reports. Monthly/Quarterly progress accomplishment reports shall be submitted to the PSF Secretariat, which shall include the following details at the minimum: (i) updates on the Approved Work and Financial Plan with separate column on status of implementation (with dates); (ii) cost of items procured; (iii) pictures during implementation/documentation of activity implementation.

The PSF Secretariat, with the Fund conduit, will further conduct periodic missions as part of their own monitoring and evaluation system. The PSF Secretariat will also conduct impact evaluation that will be undertaken beyond the project completion (3-5 years after project completion).

Because of these systematic procedures in monitoring and evaluation, the quality of the available data obtained via the reporting systems robust and credible. In effect, therefore, there is feedback loop to ensure that monitoring data enables learning and improvements, because the data is accurate.

Furthermore, the lack of participation has limited social learning processes, which were expected to develop and sustain the outcomes of the initiatives. Dessie et al (2012) pointed out that the components of social learning from such processes include strengthening the interplay between local and outside knowledge, building mutual trust, collaborating in land management activities, and promoting leadership within local communities.

Sustainability

The optimum participation and engagement of the stakeholders in design and planning has serious implication for participation, as it does for community ownership of the activities, and thus for the long-term sustainability. Many farmers expressed interest and motivation in the existing governance approaches of the project.

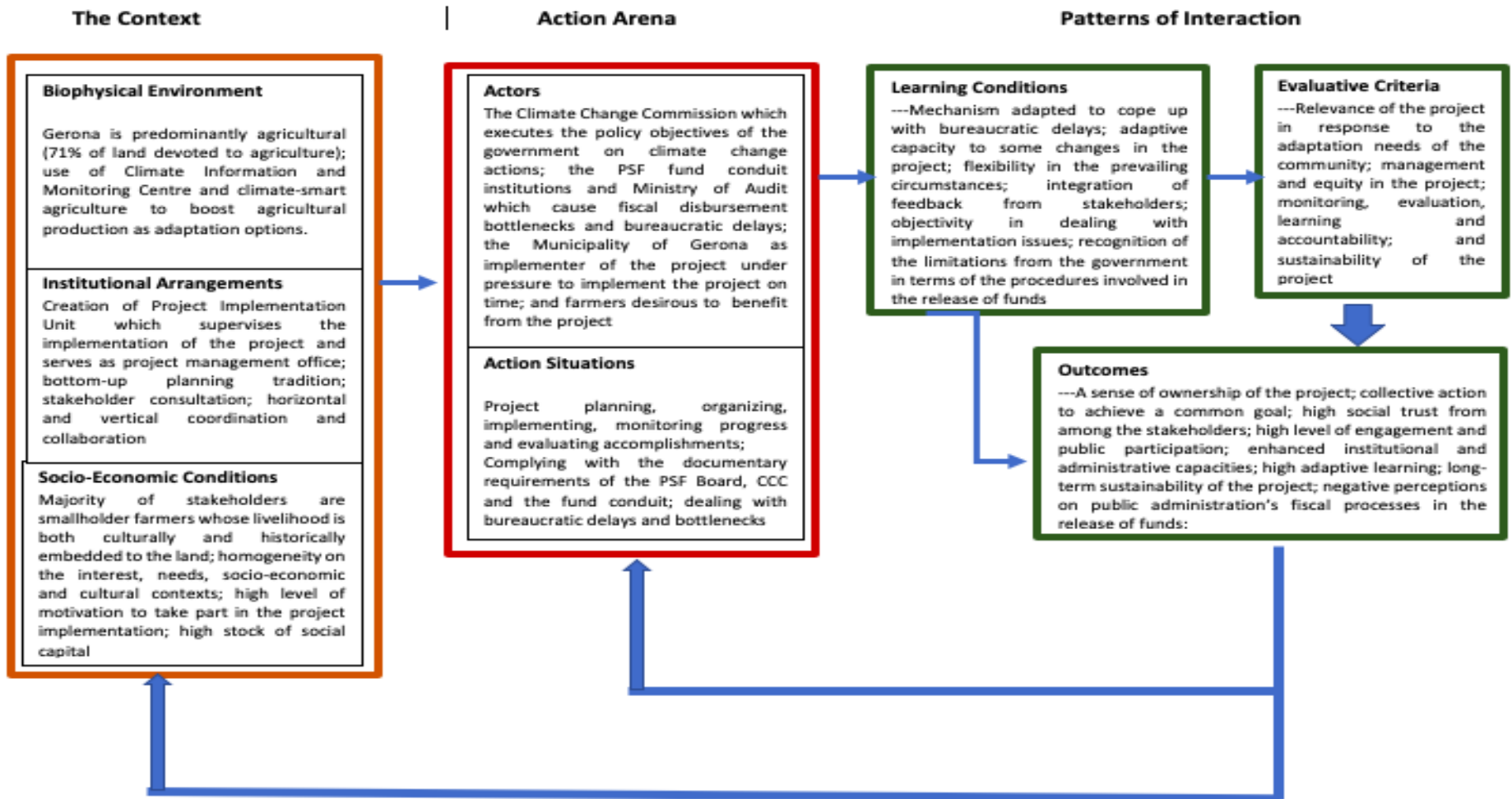


Figure 3. Institutional Analysis and Development Framework for the PSF-Funded Project in Gerona, "Promoting Resiliency and Climate-Informed Gerona"

Discussion and Implications

Returning to Ostrom's IAD framework, a summarized version of the result is presented in Figure 13. The study has assessed the institutional settings for climate adaptation project in Gerona, stakeholders' perceptions of these, and of the key success factors to efficient collective efforts to develop within the community.

Essential to the notion of people's engagement and participation in the project is to ensure inclusion to decision making. The researcher suggests that stakeholder participation should not be an end in itself but a means to an end both to facilitate deliberation among actors and harness local community resources and support for the program (Parfitt, 2004).

In pragmatic point of view, promoting inclusive governance can provide synergy to increase collective action for the implementation of the project, support local values, trust, customs, and ownership; strengthen the enforcement of rules; address power relations; and thereby improve local implementation capacity, monitoring and sanctioning efforts, and long-term sustainability of the desired intervention outcomes. More importantly, it encourages long-term cooperation in cases where short-term cooperation is predicted to be unsuccessful (Lubell, 2004).

Decision-making process on climate governance is now relegated to the local government unit under the Climate Change Act of 2009 in the Philippines. Hence, it becomes even more primordial for the local government unit to coordinate and collaborate with its constituencies if it desires the project to achieve its envisioned ends. Public participation on problem diagnosis, planning, implementation, and monitoring and evaluation activities is crucial to the smooth implementation of the project. Public participation is an important ingredient for an effective climate governance in the sub-national level.