

Environmental and Social Monitoring Report

Semi-annual Report
July-December 2016

PHI: KALAHI-CIDSS¹ National Community-Driven Development Project (L3100)

Prepared by the KALAHI-CIDSS National Project Management Office (NPMO) of the Department of Social Welfare and Development (DSWD) for the Asian Development Bank.

¹ *Kapit-Bisig Laban sa Kahirapan* (Linking Arms Against Poverty)-Comprehensive and Integrated Delivery of Social Services.

ABBREVIATIONS

ADB	Asian Development Bank
CDD	Community Driven Development
CEAC	Community Empowerment Activity Cycle
DENR	Department of Environment and Natural Resources
DSWD	Department of Social Welfare and Development
EA	Executing Agency
EIA	Environmental Impact Assessment
EMB	Environmental Management Bureau
GRS	Grievance Redress System
IEE	Initial Environmental Examination
IP	Indigenous Peoples
IR	Involuntary Resettlement
KALAH-CIDSS	<i>Kapit Bisig Laban sa Kahirapan</i> (Linking Arms Against Poverty) – Comprehensive and Integrated Delivery of Social Services
KC-NCDPP	KALAH-CIDSS National Community-Driven Development Project
NPMO	National Project Management Office
RPMO	Regional Project Management Office
SERD	Southeast Asia Regional Department
SPS	ADB Safeguards Policy Statement (2009)

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EXECUTIVE SUMMARY

1. The KALAH-CIDSS National Community-Driven Development Project (the Project), supports the implementation of the government's KALAH CIDSS-National Community-Driven Development Project (KC-NCDDP) which aimed to restore basic social services and rebuild communities affected by Typhoon Yolanda (international name: Haiyan).
2. The project impact is improved resiliency of poor communities to natural hazards. The outcome is improved access to services and infrastructure for communities in affected provinces and their participation in more inclusive local disaster risk reduction and management planning, budgeting, and implementation. The project outputs are: (i) community-driven development (CDD) subprojects selected, implemented, and completed; (ii) institutional and organizational capacity strengthened; and (iii) program management and monitoring and evaluation (M&E) systems enhanced. The project has an implementation period of four years, from 2013 until 2017 and covers approximately 554 Yolanda-affected municipalities in 39 provinces across nine (9) regions.
3. The executing agency (EA) of the Project is the Department of Social Welfare and Development (DSWD). The program management structure is generally divided between the National Program Management Office (NPMO) (responsible for national policy and technical assistance) and the Regional Program Management Office (RPMO) (responsible for field operations).
4. The Project prepared an Environmental and Social Management Framework (ESMF) to guide Program staff in complying with the Project's environmental and social safeguards requirements for all subprojects (SPs). The objectives of the ESMF are: (i) to ensure that selected SPs under the project are designed to avoid minimize negative environmental impacts; and (ii) identify any negative impacts and develop and implement appropriate mitigation measures as part of the SP design and implementation.
5. As of December 2016, in Cycle 1, 783 out of 794 enrolled municipalities under the Program have reached Stage 1 or the Preparation stage. On the other hand, 494 municipalities have started with Cycle 2 implementation, majority of which has reached Stage 3 for Community-Managed Implementation. Only about one-fourth has been able to progress to the last stage of the cycle to date. Lastly, in Cycle 3 implementation, 246 municipalities have started, and only small number has been able to reach the Stage 2 and 3 to date. It should also be noted that a number of municipalities have already begun with Cycle 3 while still in the process of completing Stage 4 of Cycle 2.
6. About, 788,896 community volunteers (CVs) have been recorded as of the end of December 2015. Of this figure 333,308 (66%) have been trained on situational assessment, needs identification, project proposal preparation, project implementation and management or local planning and resource allocation, among others. In the implementation of sub-projects, a total of 393,145 community members were employed.
7. As of December 2016, 96% of the on-going and completed subprojects have submitted the environmental and social management plan (ESMP), the safeguards instrument which identifies risks and corresponding mitigating measures related with the location and nature of subprojects.

8. The participation rate of households in KC-NCDDP barangay assemblies is relatively high at an average of 78%.

9. Since the start of NCDDP, the cumulative total grievances received is 3,384 of which 98.97% have been satisfactorily resolved. Most of the grievances received were Type A or non-contentious, queries and comments with 91.64%

10. The project is partially compliant to both environmental and social safeguards. Key issues on social safeguards had to do more on the documentary requirements for both land acquisition and indigenous peoples, CP processing/ validation with NCIP, applicability of ESMC/P, sensitivities during consultations/engaging with IP communities, capacity building, and monitoring. For environmental safeguards, issues identified are: (i) ESMP format/templates used are not consistent across the regions; (ii) incorrect information provided in the ESMP; and (iii) incorrect encoding of safeguards information in the Program's database. As stated in the previous monitoring report (Jan-June 2016), NPMO developed an ESMP facilitator's guide and a simplified template in order to address the issue on the inconsistent and incorrect information in the ESMP. As of December 2016, the documents are still being finalized and reviewed by both NPMO and ADB and the target date for the implementation of the simplified template is by the first quarter of 2017.

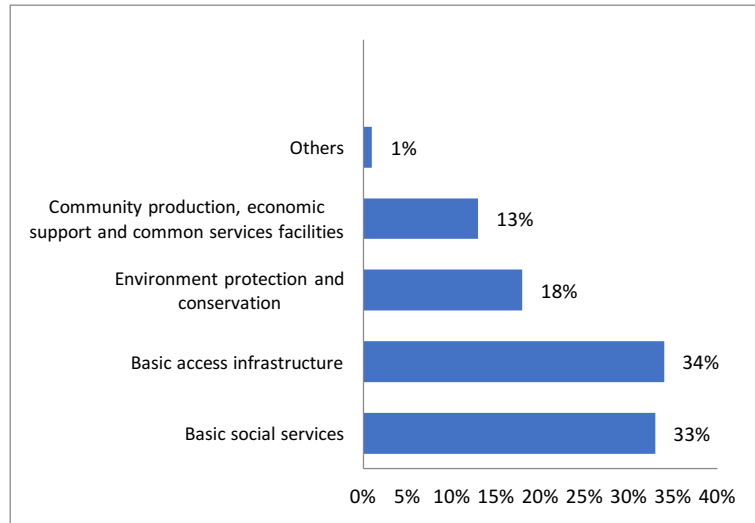
11. In order to ensure quality of compliance to safeguards requirements, recommended actions are: (i) feedback or update on the final version and implementation of the simplified ESMP; (ii) conduct refresher course for area coordinating teams (ACT) on simplified ESMP; (iii) enforce close monitoring of the ESMP during subproject implementation by posting the ESMP on community bulletin boards and remind the CEFs and community volunteers about the importance of ESMP monitoring; (iv) Conduct more training on occupational health and safety; and (v) ensure that the geotagging of SPs reflects the correct information on the secured environmental permit/certificate.

I. INTRODUCTION AND PROJECT OVERVIEW

Project Number and Title:	46420-002 PHILIPPINES: KALAH-CIDSS National Community-Driven Development Project																																																																																																																																												
Safeguards Category	Environment	B																																																																																																																																											
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Reporting period:	1 July – 31 December 2016																																																																																																																																												
Last report date:	1 January – 30 June 2016																																																																																																																																												
Key Project activities:	<p>As of December 2016, there are 794 implementing KC-NCDDP municipalities, which is 94% of the targeted Program coverage of 847 municipalities. Out of these, 547 were affected by Typhoon Yolanda in November 2013. Breakdown of enrollment is provided in Tables below.</p> <p style="text-align: center;">Actual Coverage as of December 2016 by Municipal Grouping</p> <table><tr><th rowspan="2">Municipal Grouping</th><th colspan="2">Target</th><th colspan="2">Actual</th><th>% Target</th></tr><tr><th>No. of Mun</th><th>No. of Bgys</th><th>No. of Mun</th><th>No. of Bgys</th><th>MunCovered</th></tr><tr><td>Yolanda-affected municipalities</td><td>554</td><td>14,139</td><td>547</td><td>13,935</td><td>98%</td></tr><tr><td>Non-Yolanda affected municipalities</td><td>293</td><td>5,508</td><td>247</td><td>4,658</td><td>84%</td></tr><tr><td>Total</td><td>847</td><td>19,647</td><td>794</td><td>18,593</td><td>94%</td></tr></table> <p style="text-align: center;">Actual Coverage as of December 2016 by Region</p> <table><tr><th rowspan="2">Region</th><th colspan="2">Target</th><th colspan="2">Actual</th><th>% Target</th></tr><tr><th>No. of Mun</th><th>No. of Brgys</th><th>No. of Mun</th><th>No. of Brgys</th><th>Mun Covered</th></tr><tr><td>CAR</td><td>50</td><td>624</td><td>37</td><td>477</td><td>74%</td></tr><tr><td>I</td><td>11</td><td>133</td><td>11</td><td>133</td><td>100%</td></tr><tr><td>III</td><td>3</td><td>64</td><td>3</td><td>64</td><td>100%</td></tr><tr><td>IV-A</td><td>28</td><td>853</td><td>22</td><td>676</td><td>79%</td></tr><tr><td>IV-B</td><td>67</td><td>1,278</td><td>67</td><td>1,278</td><td>100%</td></tr><tr><td>V</td><td>101</td><td>2,902</td><td>99</td><td>2,864</td><td>98%</td></tr><tr><td>NIR</td><td>37</td><td>713</td><td>36</td><td>689</td><td>97%</td></tr><tr><td>VI</td><td>98</td><td>3,111</td><td>97</td><td>3,078</td><td>99%</td></tr><tr><td>VII</td><td>90</td><td>1,966</td><td>84</td><td>1,825</td><td>93%</td></tr><tr><td>VIII</td><td>136</td><td>3,705</td><td>134</td><td>3,654</td><td>99%</td></tr><tr><td>IX</td><td>52</td><td>1,205</td><td>45</td><td>1,038</td><td>87%</td></tr><tr><td>X</td><td>73</td><td>1,390</td><td>63</td><td>1,166</td><td>86%</td></tr><tr><td>XI</td><td>27</td><td>496</td><td>27</td><td>496</td><td>100%</td></tr><tr><td>XII</td><td>17</td><td>386</td><td>17</td><td>386</td><td>100%</td></tr><tr><td>Caraga</td><td>57</td><td>821</td><td>52</td><td>769</td><td>91%</td></tr><tr><td>TOTAL</td><td>847</td><td>19,647</td><td>794</td><td>18,593</td><td>94%</td></tr></table> <p>As of non-Yolanda areas, 63 municipalities were not implementing as of the previous quarterly report. During this quarter, 17 were successfully engaged, raising the total of covered non-Yolanda areas to 247 municipalities out of 293. Of the remaining 46 municipalities that are not implementing, 32 are actually KC graduate areas with no allocated grant funds.</p> <p>Mirroring past trends, the largest bulk of prioritized SPs fall under the basic access infrastructure (34%) and basic social service (33%) categories. The</p>					Municipal Grouping	Target		Actual		% Target	No. of Mun	No. of Bgys	No. of Mun	No. of Bgys	MunCovered	Yolanda-affected municipalities	554	14,139	547	13,935	98%	Non-Yolanda affected municipalities	293	5,508	247	4,658	84%	Total	847	19,647	794	18,593	94%	Region	Target		Actual		% Target	No. of Mun	No. of Brgys	No. of Mun	No. of Brgys	Mun Covered	CAR	50	624	37	477	74%	I	11	133	11	133	100%	III	3	64	3	64	100%	IV-A	28	853	22	676	79%	IV-B	67	1,278	67	1,278	100%	V	101	2,902	99	2,864	98%	NIR	37	713	36	689	97%	VI	98	3,111	97	3,078	99%	VII	90	1,966	84	1,825	93%	VIII	136	3,705	134	3,654	99%	IX	52	1,205	45	1,038	87%	X	73	1,390	63	1,166	86%	XI	27	496	27	496	100%	XII	17	386	17	386	100%	Caraga	57	821	52	769	91%	TOTAL	847	19,647	794	18,593	94%
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distribution below of the project types is illustrated as below:

Proportion of All Funded Sub-Projects to Total, by Major Sub-Project Category



As of 31 December 2016, 18, 298 out of the 18, 593 barangays in enrolled municipalities have conducted the GRS orientation and formed GRS committees during their first BA. Meanwhile, 15,448 barangays have displayed their GRS information materials such as tarpaulins/posters and brochures/leaflets. From January 2015 to December 2016, a total of 704 municipalities have conducted their municipal level GRS-ADR trainings.

During this monitoring period, the following key activities were carried out:

- Field monitoring visit to Sorsogon on 17-20 August 2016
- Review mission in Romblon on November 2016
- Loan review mission on 21-29 November 2016
- Safeguard training activities
- Field monitoring visit activities carried by NPMO through random site visits in project areas

Report prepared by:

KC-NCDDP National Program Management Office (NPMO)

II. ENVIRONMENTAL PERFORMANCE MONITORING

12. The Project prepared an Environmental and Social Management Framework (ESMF) to guide Program staff in complying with the Project's environmental and social safeguards requirements for all subprojects. The objectives of the ESMF are: (i) to ensure that selected SPs under the project are designed to avoid or minimize negative environmental impacts; and (ii) identify any negative impacts and develop and implement appropriate mitigation measures as part of the SP design and implementation.

13. The environmental and social safeguard requirements of subprojects are integrated in the Community Empowerment Activity Cycle (CEAC) and the accelerated CEAC to ensure that the construction and implementation of all subprojects are in compliance with ADB's safeguard requirements and with the applicable laws and regulations in the country.

14. Eligible subprojects are subjected to environmental and social safeguards screening and all subprojects are required to prepare an environmental and social management plan (ESMP) that presents the anticipated environmental and social impacts and the prescribed mitigation measures to address these impacts.

15. Based on the last monitoring report, there were 1, 216 category B SPs with environmental compliance certificate (ECC) reported to NPMO and encoded in the Program's geotagging database. As recommended, the information was verified through field inspection and the large number of SPs with ECC was due to the wrong encoding at the municipal level where the ECC and CNC were considered the same. Therefore, there were no SPs categorized as B or SPs requiring an ECC.

16. As of December 2016, SPs in all regions are category C. There are no category A and B SPs. Of the 19,000 SPs, 18, 196 (95.77%) are compliant with the submission of ESMP. The remaining 804 or 4% are yet to be encoded in the safeguards database. The application of Certificate of Non-Coverage (CNC) is optional based on the Philippine Environmental Impact Statement (EIS) System and SPs with CNC are those located within or near Environmentally Critical Area (ECA).

Status of Environmental Compliance per Region

Region	No. of SPs	With ESMP	With CNC	% with ESMP
CAR	232	199	0	85.78
I	96	89	83	92.71
III	22	22	20	100.0
IV-A	865	852	26	98.50
IV-B	1,247	1,082	266	86.77
V	1,735	1,622	1,568	93.49
NIR	903	764	426	84.61
VI	3,370	3,276	2,844	97.21
VII	1,893	1,886	18	99.63
VIII	4,934	4,891	1,030	99.13
IX	1,077	1,043	1,055	96.84
X	648	614	587	94.75
XI	537	504	170	93.85
XII	385	346	281	89.87
Caraga	1,056	1,006	477	95.27
Total	19,000	18,196	8,851	95.77

a. Summary of compliance on environmental safeguards

Requirements	Compliance Status (Yes, No, Partial)	Comment or Reasons for Non-compliance
Submission and implementation of subprojects' ESMP	Partial	<p>The environmental safeguards compliance is monitored through the Project's geotagging web application and verified by physical inspection</p> <p>Of the 19,000 SPs, 18, 196 (95.77%) are compliant with the submission of ESMP. The remaining 804 or 4% are yet to be encoded in the safeguards database.</p> <p>Findings from the field missions found that the mitigation measures identified in the ESMP were not implemented during the construction and operation phases of the subprojects. The mission and EA agreed: (i) to immediately finalize the simplified ESMP; (ii) enforce close monitoring of ESMP during subproject implementation by posting it on community bulletin boards; and (iv) remind the community empowerment facilitators (CEF) and CVs about the importance of ESMP monitoring.</p>

b. Issues and recommendations

17. The table below shows the status of the issues identified in the previous monitoring report (Jan-June 2015).

No.	Issues	Recommendations	Status
1	Members of the Municipal Inter-Agency Committee (MIAC) are not familiar with the Program's safeguard policies	Area Coordinating Teams (ACTs) to mobilize/maximize the presence of MIAC during consultation activities and provide them with an orientation on the Program's safeguard policies	Ongoing The EA continues to improve the capacity of program staff by providing trainings on the environmental and social safeguards requirements.
2	Entries in the ESMP translated to English conveys a different idea and does not capture the impacts identified by the community volunteers (CVs)	Inform the CVs that information and/or answers in the ESMP can be written in local dialect.	Done CVs were informed by ACTs and SRPMO. Also, answers in the ESMP template are in local dialect.
3	The Community Empowerment Facilitator (CEF) answers the ESMP in behalf of the community	Filling out of the ESMP should be in a form of workshop with the community volunteers/members.	Ongoing EA developed a simplified template which is currently being reviewed and finalized. Target date to be implemented to SPs in by the first quarter of 2017

No.	Issues	Recommendations	Status
4	The Environmental and Social Safeguard Checklist (ESSC) is not properly filled out and does not reflect the real condition of the community	To inform the ACT the importance of the checklist as a screening tool in identifying the safeguards that will be triggered for the sub-project. Similar to the ESMP, this should be accomplished by the community.	Ongoing During safeguards training, workshop on how to fill out the ESSC was conducted. Also, during field visit monitoring, it is being reiterated to program staff that the ESSC should be accomplished as early as the subproject has been identified by the community.
5	Data are available in the community level but are not being consolidated.	A safeguard reporting template will be prepared while the safeguards database is being set up.	Done Safeguards database is already set-up for the project.
6	Limited capacity of ACTs on how to fill out the ESMP.	Capacity building activities should be provided to ACTs as well as the Sub-regional Project Management Office (SRPMO) staff.	Ongoing Training and coaching session on safeguard policies and on ESMP preparation.
7	The proposed SP is located within the watershed, an environmentally critical area (ECA)	Consult with Department of Environment and Natural Resources (DENR) and Mines and Geosciences Bureau of the necessary permits and clearances required for the subproject	Done Consultation with DENR and other national government agencies was conducted on 23 October 2015. It was recommended that CNCs be secured for environmental protection projects (e.g. seawall, flood control).
8	There is no proper coordination between the MIAC and the project preparation team (PPT).	Close coordination between MIAC and PPT to ensure that the SPs are implementing all the mitigation measures indicated in the ESMP.	Ongoing It is being ensured that the MIAC members provides technical inputs on the safeguards documents being prepared by the PPT.
9	ESMP at the barangay level is different from the submitted with NPMO.	Refresher training at the barangay level on the ESMP and its importance in the continuous monitoring of the SPs	Ongoing Training and coaching session on safeguard policies and on ESMP preparation.
10	Some of the SPs do not implement mitigation measures on occupational health and safety	Refresher training on occupational health and safety (i.e. wearing proper and adequate personnel protective equipment (PPE), first-aid kit) during the construction phase of SPs.	Ongoing The trainings on occupational health and safety (OHS) are usually provided by engineers in the RPMO.

18. The summary of the issues and corresponding recommendations from the field missions during the reporting period are summarized in the table below.

No.	Issues	Recommendations
1	<p>ESMP were prepared and completed but the mitigation measures were not implemented during the construction and operation phases of the subprojects.</p> <p>Community volunteers in all of the barangays visited said that after the ESMPs were prepared, the documents were just kept on file and not applied during the actual project implementation.</p>	<p>Refresher training on the importance of ESMP in project monitoring.</p> <p>The mission and EA agreed: (i) to immediately finalize the simplified ESMP; (ii) enforce close monitoring of ESMP during subproject implementation by posting it on community bulletin boards; and (iv) remind the community empowerment facilitators (CEF) and CVs about the importance of ESMP monitoring.</p>
2	Some of the communities are still having hard time answering the questions in the ESMP	Simplify the ESMP template and translate the template to the local dialect.
3	Use of basic personnel protective equipment (PPE) such as gloves, safety shoes and hard hat is not strictly observed during project implementation because of the small-scale nature of SPs	Strictly enforce the importance of using PPE during construction activities.
4	Incorrect encoding of safeguard information in the Program's database.	Provide refresher training on community volunteers and municipal encoders about the different safeguard documents and environmental laws (i.e. difference between an ECC and CNC)

III. SOCIAL SAFEGUARDS PERFORMANCE MONITORING

19. Partial compliance is noted. The completion of Environment and Social Management Plans (ESMP) is the major accomplishment for the 4th quarter. It identifies the risks and corresponding mitigating measures related to the implementation of the subproject. As mentioned, 96% of ongoing and completed SPs submitted the ESMP.

20. A safeguards review was conducted in Romblon in November 2016. The activity aimed to assess KC-NCDDP's compliance to the Environmental and Social Management Framework and determine areas for enhancement or revision. Findings during the field visit include inconsistencies in the Environmental and Social Safeguards Checklist and Management Plans, poor association of community volunteers with the safeguards documents and difficulty of staff in mapping indigenous peoples (IP) households. These findings were shared with the regional offices for corrective measures, and will be discussed further during the Mid-Term Review for necessary intervention at the national level.

21. The following are the key activities and some issues with way forward for the monitoring period:

RP/IPP Activity/Issue	Comment/Further Action																																																																																											
In July 2015, a partnership between DSWD and the NCIP was formalized through a Memorandum of Agreement. The document defined the roles and responsibilities of both agencies in the implementation of KC-NCDDP in municipalities with IP communities. One of the provisions of the MOA states the need to secure free and prior informed consent (FPIC) of IPs for sub-projects being proposed under KC-NCDDP.	The process, to be undertaken by NCIP, shall focus on validating that the sub-project is truly initiated by the community, is in their best interest and will indeed deliver basic services.																																																																																											
Social safeguards planning:																																																																																												
a. Completion of Environmental and Social Management Plan (ESMP).	96% of total SPs (18,196) were able to produce, see above table.																																																																																											
b. Community proposals for infrastructure projects supported by various land acquisition instruments/ documentation	As below: <table><tr><th>Region</th><th>No. of SPs</th><th>Deed of Donation</th><th>Usufruct Agreement</th><th>M/BLGU Resolution</th><th>DEPED Certification</th><th>Other Instruments</th></tr><tr><td>CAR</td><td>232</td><td>35</td><td>53</td><td>75</td><td>12</td><td>80</td></tr><tr><td>I</td><td>96</td><td>-</td><td>44</td><td>39</td><td>6</td><td>4</td></tr><tr><td>III</td><td>22</td><td>5</td><td>1</td><td>17</td><td>1</td><td>-</td></tr><tr><td>IV-A</td><td>865</td><td>492</td><td>72</td><td>144</td><td>16</td><td>122</td></tr><tr><td>IV-B</td><td>1247</td><td>211</td><td>65</td><td>626</td><td>90</td><td>591</td></tr><tr><td>V</td><td>1735</td><td>141</td><td>34</td><td>1,073</td><td>326</td><td>243</td></tr><tr><td>NIR</td><td>903</td><td>168</td><td>54</td><td>404</td><td>36</td><td>115</td></tr><tr><td>VI</td><td>3370</td><td>667</td><td>165</td><td>1043</td><td>197</td><td>1,146</td></tr><tr><td>VII</td><td>1893</td><td>61</td><td>451</td><td>1,404</td><td>73</td><td>43</td></tr><tr><td>VIII</td><td>4934</td><td>203</td><td>29</td><td>4,029</td><td>243</td><td>1,207</td></tr><tr><td>IX</td><td>1077</td><td>118</td><td>3</td><td>748</td><td>183</td><td>17</td></tr><tr><td>X</td><td>648</td><td>128</td><td>78</td><td>387</td><td>17</td><td>61</td></tr></table>	Region	No. of SPs	Deed of Donation	Usufruct Agreement	M/BLGU Resolution	DEPED Certification	Other Instruments	CAR	232	35	53	75	12	80	I	96	-	44	39	6	4	III	22	5	1	17	1	-	IV-A	865	492	72	144	16	122	IV-B	1247	211	65	626	90	591	V	1735	141	34	1,073	326	243	NIR	903	168	54	404	36	115	VI	3370	667	165	1043	197	1,146	VII	1893	61	451	1,404	73	43	VIII	4934	203	29	4,029	243	1,207	IX	1077	118	3	748	183	17	X	648	128	78	387	17	61
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	XII	385	19	11	290	35	10																																																																											
	Caraga	1056	175	1	796	74	94																																																																											
	TOTAL	19,000	2,495	1,078	11,351	1,345	3,740																																																																											
Public consultation and socialization process:																																																																																		
a. Indigenous Peoples' participation in KC-NCDDP barangay assemblies	As of end of December 2016, over-all participation rate of IP households in KC-NCDDP barangay assemblies is 56% which is 11% higher than the previous quarter.																																																																																	
b. Securing of Free and Prior Informed Consent in IP communities	The percentage of SPs that underwent NCIP validation already reached 66%:																																																																																	
Slow movement in terms of SP validation and CP/CNO issuance can be observed particularly in the Visayas Regions.	<table><tr><th>Region</th><th>No. of SPs</th><th>No. of SPs submitted for NCIP Validation</th><th>No. of Validated SPs</th><th>Percentage</th></tr><tr><td>CAR</td><td>222</td><td>208</td><td>91</td><td>44%</td></tr><tr><td>I</td><td>96</td><td>96</td><td>96</td><td>100%</td></tr><tr><td>IV-A</td><td>14</td><td>10</td><td>9</td><td>90%</td></tr><tr><td>IV-B</td><td>345</td><td>87</td><td>62</td><td>71%</td></tr><tr><td>V</td><td>79</td><td>36</td><td>36</td><td>100%</td></tr><tr><td>VI</td><td>194</td><td>87</td><td>80</td><td>92%</td></tr><tr><td>VII</td><td>25</td><td>16</td><td>0</td><td>0%</td></tr><tr><td>NIR</td><td>33</td><td>10</td><td>0</td><td>0%</td></tr><tr><td>IX</td><td>706</td><td>966</td><td>643</td><td>67%</td></tr><tr><td>X</td><td>89</td><td>89</td><td>49</td><td>55%</td></tr><tr><td>XI</td><td>551</td><td>551</td><td>438</td><td>79%</td></tr><tr><td>XII</td><td>383</td><td>345</td><td>267</td><td>77%</td></tr><tr><td>CARAGA</td><td>388</td><td>1,396</td><td>806</td><td>58%</td></tr><tr><td>TOTAL</td><td>3,125</td><td>3,897</td><td>2,577</td><td>66%</td></tr></table>							Region	No. of SPs	No. of SPs submitted for NCIP Validation	No. of Validated SPs	Percentage	CAR	222	208	91	44%	I	96	96	96	100%	IV-A	14	10	9	90%	IV-B	345	87	62	71%	V	79	36	36	100%	VI	194	87	80	92%	VII	25	16	0	0%	NIR	33	10	0	0%	IX	706	966	643	67%	X	89	89	49	55%	XI	551	551	438	79%	XII	383	345	267	77%	CARAGA	388	1,396	806	58%	TOTAL	3,125	3,897	2,577	66%
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	The conduct of validation will either result to the issuance of Certification Precondition or Certificate of Non-Overlap by NCIP. As of December 2016, 1,524 SPs or 59% were issued with NCIP certification:																																																																																	
	<table><tr><th>Region</th><th>No. of Validated SPs</th><th>No. of SPs with CP/CNO</th><th>% of Validated SPs with CP/CNO</th></tr><tr><td>CAR</td><td>91</td><td>25</td><td>27%</td></tr><tr><td>I</td><td>96</td><td>93</td><td>97%</td></tr><tr><td>IV-A</td><td>9</td><td>7</td><td>78%</td></tr><tr><td>IV-B</td><td>62</td><td>22</td><td>35%</td></tr><tr><td>V</td><td>36</td><td>0</td><td>0%</td></tr><tr><td>VI</td><td>80</td><td>65</td><td>81%</td></tr><tr><td>NIR</td><td>0</td><td>0</td><td>0%</td></tr><tr><td>VII</td><td>0</td><td>0</td><td>0%</td></tr><tr><td>IX</td><td>643</td><td>206</td><td>30%</td></tr><tr><td>X</td><td>49</td><td>0</td><td>0%</td></tr><tr><td>XI</td><td>438</td><td>383</td><td>87%</td></tr><tr><td>XII</td><td>267</td><td>126</td><td>47%</td></tr><tr><td>CARAGA</td><td>806</td><td>597</td><td>74%</td></tr><tr><td>TOTAL</td><td>2,577</td><td>1,524</td><td>59%</td></tr></table>							Region	No. of Validated SPs	No. of SPs with CP/CNO	% of Validated SPs with CP/CNO	CAR	91	25	27%	I	96	93	97%	IV-A	9	7	78%	IV-B	62	22	35%	V	36	0	0%	VI	80	65	81%	NIR	0	0	0%	VII	0	0	0%	IX	643	206	30%	X	49	0	0%	XI	438	383	87%	XII	267	126	47%	CARAGA	806	597	74%	TOTAL	2,577	1,524	59%															
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	To address the issue, a Visayas IP Congress was conducted in 2016, participated by IP tribal leaders and selected staff from NCIP and DSWD. During the activity, issues and concerns around the implementation of KC-NCDDP in IP areas were discussed which include the slow movement in terms of SP validation and CP/CNO																																																																																	

RP/IPP Activity/Issue	Comment/Further Action
	issuance. Hence, the agreements were to provide MOA orientation for both DSWD and NCIP staff, form/strengthen the DSWD-NCIP RTWGs, and fast track processing of the required certifications.
Capacity building: In order to sustain the culture sensitivity for indigenous peoples' initiative and complement the over-all capacity building program, the NPMO Safeguards Team led the conduct of Coaching and Mentoring Sessions for selected RPMOs and SRPMO staff. The activity aims to provide field coaching on strategies for culture-appropriate CDD implementation with IP communities. One region per island cluster was identified to serve as the pilot site. These regions were CAR for Luzon, NIR for Visaya, and X for Mindanao.	All the planned coaching sessions were accomplished within the quarter, beginning with CAR from June 28 to July 1; X from August 1-4; and NIR from August 22-25, 2016. Indigenous groups covered were Kankanaey, Higaonon and Ati, respectively. A total of 24 mentees were coached during these sessions.
Monitoring <ul style="list-style-type: none"> The stand of Region I in environmental compliance focuses on ESMP monitoring since all SPs secured CNCs. 	<ul style="list-style-type: none"> Upon submission of ESMP, spot checks are being conducted for substantive monitoring as well as to ensure that compliance is properly recorded in the information management system. Due to developments, monitoring protocols will also have to undergo enhancement to be able to capture information and generate insight about these new modes of implementation.

IV. COMPLIANCE PER MISSION RESULTS

22. Compliance status is partial. Below are agreements made during the ADB Mission conducted from 14-18 March 2016 and the corresponding status:

Agreed Action	Status
From last monitoring period:	
1. Midterm review mission was conducted which coincided with WB's fifth implementation support mission. The mission sought to discuss and review the following: (i) relevance of scope and need for adjustment, (ii) physical performance and key indicators, (iii) implementation arrangements, (iv) design and monitoring framework (DMF), (v) procurement of goods and services, (vi) contract awards and disbursements and any need for reallocation, (vii) compliance with grant covenants and social safeguards, (viii) performance of participating agencies and development partner coordination, and (ix) associated technical assistance projects, including the proposed additional financing.	Done ADB conducted Midterm Review Mission on 14-18 March 2016.
2. Field visit was conducted and found out the need to train or reorient the area coordinating teams (ACTs) on the regular CEAC particularly in areas without experience in KALAH-I-CIDSS Project. Regional Program Management Office (RPMO) VIII on the other has developed training strategy that will provide phased implementation of training and provide just-in-time support and	Done Conducted field visit in Leyte dated February 2016.

Agreed Action	Status
mentoring for different sets of municipalities particularly with the overlap of Cycle 1 and Cycle 2 implementation.	
3. EA reviewed the progress of compliance with the loan covenants. From the 27 covenants, 16 are fully complied while 11 are partially and being complied with. Those partially and being complied with are related to safeguards, gender action plan implementation, procurement given the nature of the project.	The EA committed to submit the proposed amendments to ADB for review by 30 June 2016.
4. EA presented update on safeguards using database. ADB suggested strengthening the presentation using information from the database. Data available should be used to present the number of subprojects that have incomplete vs. complete documentation (e.g. pending Certification Precondition, Certificate of Non-Overlap, and land acquisition documents). Based on this, an action plan (including timeline) should be developed to secure all pending documents, noting that some of these are required prior to subproject implementation. The database for land acquisition and resettlement should also show the number of affected households aside from the number of available land acquisition/resettlement documents. As regards implementation of indigenous peoples (IP) safeguards, the EA discussed the challenges and recommendations presented.	The mission requested including updates on those challenges and actions taken to address these (with specific examples from regions) in the quarterly project progress reports.
5. The EA updated the mission on the ff: (i) conduct of CEAC/safeguards refresher course; (ii) finalization of social safeguards training modules; (iii) simplification of ESMP template with Facilitation Guide; (iv) conduct of eight batches of culture-sensitivity training from October 2015 to February 2016; (v) development of IP action plan to integrate IP-sensitive strategies and mechanisms in facilitating CDD in IP areas; and (vi) orientation for National Commission on Indigenous Peoples (NCIP), planning sessions, and creation of national and regional technical working groups. Going forward, the EA will (i) conduct coaching sessions to non-IP areas in Q2 2016; (ii) assess the IP participation in the CEAC activities and effectiveness of the IP facilitation process; (iii) update IP Facilitation Guide; (iv) document best practices in regions where IPs are minority in their barangay, and (v) orient and conduct workshop for NCIP field staff and technical working groups to identify areas for improving KC-NCDDP implementation in IP areas.	On the reporting arrangements explained by the EA, the mission noted that red flags, if any, are reported by community empowerment facilitators to SRPMO or RPMO through the PIMS and these are resolved locally.
6. The mission followed up the actions taken by the EA on the findings and recommendations from the review of eight subproject proposals in October 2015, particularly the following: (i) inclusion of the reviewed subprojects to be externally monitored; ² (ii) the project must continuously find ways to empower IP communities and ensure responsiveness to their needs; (iii) provision of refresher trainings on safeguards and ESMP preparation for field staff. The EA noted that the review findings coincide with observations during safeguards review mission in Q2-Q3 2015. In its letter to ADB in February 2016, the EA informed ADB that the findings are being addressed through (i) enhancement and simplification of safeguards forms; (ii) finalization of safeguards	The EA informed the mission that the concerned RPMOs are carrying out ground verifications based on the subproject proposal review findings. In addition, the EA committed to submit the terms of reference for safeguards external monitor to ADB for review within Q2 2016.

² Without more information and clarification from those who prepared and reviewed the documents on the side of the project, it could not be confirmed whether or not there are compliance issues for sub-projects where project documents contained inconsistent information, especially as DODs and other supporting documents were not included in the submission to ADB.

Agreed Action	Status
database; and, (iii) conduct of culture-sensitivity trainings.	
7. It was agreed that the simplified ESMP template will be revised based on discussions between the EA and ADB on 26 February 2016, and the final template including summary of consultations, will be applied for future subprojects.	The EA committed to submit the final revised ESMP to ADB for translation into Cebuano, Tagalog and Ilocano in Q2 2016.
8. As regards covenant on indigenous peoples (para 12) which indicates partial compliance, the mission informed the EA about the need to verify if there are indeed no adverse impacts on subprojects during the ground verification activities. With regard to the submission of IP Plan and Resettlement Plan to ADB for subprojects with negative impact on indigenous peoples and triggering involuntary resettlement, the EA explained that there have been no negative impacts reported by RPMOs.	The mission and the EA agreed action is for ADB to conduct a special project administration mission on safeguards, gender action plan, capacity building, and financial management in October 2016 (to coincide with the mid-term review mission of WB).
9. DSWD to develop an action plan (including timeline) to secure all pending documents (e.g. pending Certification Precondition, Certificate of Non-Overlap, and land acquisition documents), noting that some of these are required prior to subproject implementation (para 33).	Done The pace of NCIP validation and issuance of required certifications has improved since the last safeguards meeting in May 2016, especially in CAR where validation is done at the municipality level.
10. DSWD to provide updates on challenges in IP safeguards implementation and actions taken to address these (with specific examples from regions) in the quarterly project progress reports.	Done No new challenges noted
11. document best practices in regions where IPs are minority in their barangay	This will be covered by thematic studies under TA 8590.
12. DSWD to generate safeguards monitoring reports specific for ADB-funded subprojects, which can be integrated in the quarterly project progress report.	Continuing Environmental and social safeguards monitoring report for Q1-Q2 2016 are being prepared and to be posted at the ADB website before end of 2016
13. The mission and the EA agreed to reschedule the capability building summit from March to July 2016, which will showcase the experiences and lessons learnt in the past two years of KC-NCDDP implementation and to identify measures to enhance capacity building support to KC-NCDDP.	
14. Revisited the TA work plan and proposed the following changes, which are reflected in the revised work plan: <ul style="list-style-type: none"> Hire 2 safeguards consultants (environmental and social) Include translation of ESMP in Tagalog, Cebuano and Ilocano 	
This monitoring period:	
ADB conducted its 5 th loan review mission and reviewed the ff: (i) project implementation status and schedule; (ii) finance and procurement; (iii) status of compliance with particular loan covenants; (iv) status of safeguards and gender action plan implementation; and (v) implementation status of associated TA and grant projects	Conducted on 21-29 November 2016
EA reviewed progress of compliance with the loan covenants. From the 27 covenants, 17 are fully complied while 10 are partially and being complied with. Those partially and being complied with are related to safeguards, gender action plan implementation, procurement given the nature of the project.	
The following proposed amendments to the Loan Agreement, which were identified during the midterm review mission are already for review by the Department of Finance (DOF): (i) Schedule 5, para 10; (b) Schedule 5, para 14; and (c) Article IV, Section 4.03 (Appendix 8).	In compliance with Schedule 5, para 14, which requires that all bidding documents and contracts for works shall contain provision requiring contractors to comply with certain safeguards

Agreed Action	Status
	requirements, the EA has revised the Community-Based Procurement Manual (Volume 2) that contains bidding forms and procurement documents. This revised manual will be sent to ADB by Q1 2017 for concurrence.
The mission noted the satisfactory implementation of safeguards particularly the high percentage of compliance with Environmental and Social Management Plan (ESMP) documentary requirements across subprojects (i.e., 96% of subprojects have ESMPs). ³ The participation rate of IP households meets the target of 45%. Although participation rate decreased from Cycle 1 to Cycle 2, barangay assemblies under Cycle 2 are still ongoing and the percentage can still increase if sufficient attention is given to strengthen IP participation.	The mission requested the EA to continue to emphasize the importance of IP participation and maximize use of facilitation guidelines.
The mission noted improvement in the pace of validation and issuance of required certifications ⁴ by the National Commission of Indigenous Peoples (NCIP) since the meeting on safeguards in March 2016.	However, the need to increase efficiency of this process was raised during the IP congress ⁵ on 18 November 2016 in Visayas, where NCIP still has to form its Regional Technical Working Group.
An IP congress will also be held in Luzon and Mindanao.	Will be held in 2017 during NCIP Assessment
As of 30 September 2016, majority of grievances received were Type A or non-contentious queries, comments and suggestions (94%) and almost all of these have been resolved (99.9%). ⁶ Types B and C grievances or those related to conformance to implementation arrangements and fiduciary guidelines account for 6% of total grievances, of which 98% have been resolved. Overall, 93% of grievances were resolved within the resolution timeline standards. ⁷ The top 5 grievances in Yolanda-affected areas are related to (i) KC processes, design and guidelines (31%), (ii) positive comments (11%), (iii) community participation (10%), (iv) procurement (8%), and (v) quality and operation of subprojects (7%). Among the Yolanda-affected regions, Eastern Visayas and Central Visayas regions have the biggest number of grievances accounting for more than half of total grievances (55%).	DSWD to closely monitor pending issues related to land acquisition and resettlement and provide details in the safeguards monitoring report to be submitted in December 2016.
The TORs for external monitors ⁸ have been finalized and the target for procurement and mobilization has been set for Q1 2017. The mission advised the EA that monitoring activities have to be carried out until project closure.	The EA assured the mission that arrangements will be made for monitoring activities to extend until 30 June 2018.
On the low utilization of funds for consulting services, an additional consultant is needed.	Procurement will be subjected to prior approval from ADB.
DSWD to provide status of:	
a. ground verifications being done by concerned RPMOs based on the subproject proposal review findings	Done Concerned RPMOs updated NPMO that the problems with the proposals were mainly caused

³ ESMPs are yet to be encoded in the safeguards database for the remaining 4% of subprojects.

⁴ Certification Precondition (CP), or Certificate of Non-overlap (CNO) as appropriate

⁵ Participants during the activity include Project staff, NCIP representatives and tribal leaders.

⁶ Grievance types: Type A - Non-contentious queries, comments and suggestions; Type B - Conformance to project processes, MOA, & other KC implementation arrangements; and Type C - Conformance to KC procurement and finance guidelines. Status of resolution is either resolved or pending.

⁷ Less than one percent (**0.4%**) of the total grievances exceeded the resolution timeline standards while **7%** were still for data cleaning. The grievance resolution timeline standards for Type B and C grievances are 15 to 30 days and 30 to 60 days, respectively.

⁸ One for IP and one for IR

Agreed Action	Status
	by documentation issues and not having a clear understanding of the safeguards screening questions/terms and how to prepare the ESMP. NPMO is confident that there are no pending safeguards issues for these sub-projects because the regional project staff validate that safeguards issues are addressed before clearing the release of funds for sub-projects.
b. status of refresher training on safeguards and ESMP preparation	Done ADB has reviewed the facilitator's guide on the use of ESMP as well as provided inputs in the finalization of the simplified ESMP template. The template was supposed to be rolled out in November 2016.)
c. finalization of safeguards database	Done As of 2 September 2016, the database was updated, but still needs additional information that is currently being encoded.
d. conduct of culture-sensitivity trainings	Done Culture sensitivity trainings were facilitated by Jane Austria in all regions with IP areas. Strategy and dates are being planned for trainings in Cycle 3 IP areas.
e. DSWD to submit TORs for safeguards external monitor to ADB for review within Q2 2016.	Done - ADB reviewed the TOR which NPMO posted to CSRN in December 2016.
f. DSWD to submit the revised social safeguards training module to ADB for review	Done
g. DSWD to take into account the initial comments on social safeguards training module provided in November 2015 and those to be provided by ADB after the midterm review mission.	Done
h. DSWD to revise the simplified ESMP template based on discussions between DSWD and ADB on 26 February 2016, and the final template including summary of consultations will be applied for future subprojects.	Done
i. DSWD to submit the final revised ESMP to ADB for translation into Cebuano, Tagalog and Ilocano in Q2 2016.	Done The simplified ESMP template was reviewed by ADB's safeguards consultants.
j. DSWD to provide details on status of compliance with loan covenant on land acquisition and involuntary resettlement <u>in the quarterly progress reports</u> , which include the (i) nature of acquisition of land and right of way; (ii) type of land affected; (iii) agreement with affected households; (iv) whether or not required documentation has been completed.	Continuing - DSWD was reminded to include the information in the Q3 progress report.
k. DSWD to provide details to the status of related covenants which can be generated from the project safeguards database.	Done
l. DSWD to verify partial compliance with covenant on indigenous peoples (para 12) if there are indeed no adverse impacts on subprojects during the ground verification activities.	Done No subproject so far has had adverse impacts on IPs.
m. ADB to conduct a special project administration mission on safeguards, gender action plan, capacity building, including financial management in October 2016, which will coincide with the WB's mid-term review mission.	Done - ADB conducted a field visit to Sorsogon on 17-20 August 2016, which focused on gender, safeguards, and fiduciary (procurement and FM).

V. OCCUPATIONAL, HEALTH AND SAFETY (OHS) PERFORMANCE MONITORING

23. Implementation of the OHS during construction activities is partially compliant. Based on the field visits, the use of basic personnel protective equipment (PPE) such as gloves, safety shoes and hard hat is not strictly observed during project implementation because of the small-scale nature of SPs. However there we're no accident reported in the whole year of implementation.

24. In order to resolve the issue on the use of PPE, trainings are provided and ACTs continuously remind the community the importance of safety in the workplace. Trainings are usually provided by engineers in RPMO. The topics discussed in the training are Basic Occupational Safety and Health Framework, unsafe and unhealthy acts conditions, proper housekeeping, material handling and storage, fire safety, electrical safety, machine safety, compliance procedure particular on the personal protective equipment (PPEs), Safety and health inspection, accident procedural investigation, industrial hygiene, control measure, workplace hazard, prevention and mitigation of risk in project implementation. The table below shows the accomplished construction occupational safety and health (COSH) training in regional office on the third and fourth quarter of 2016:

Region	Date conducted	Number of staff trained
FO V	December 5-9, 2016 (Batch 1)	41
	December 12-16, 2016 (Batch 2)	47
	December 19-23, 2016 (Batch 3)	48
FO VI	April 18-22, 2016	113

VI. INFORMATION DISCLOSURE AND SOCIALIZATION INCLUDING CAPABILITY BUILDING

25. The NPMO continues to implement capacity building interventions for RPMOs and Subregional Project Management Offices (SRPMOs) on ESMF, including training on safeguard requirements and implementation for different types and thresholds of subprojects based on Philippine Environmental Impact Statement (EIS) requirements and ADB's Safeguard Policy Statement (SPS). Some of the capacity interventions include refresher course for ACTs on environmental screening, assessment of impacts and mitigating measures and implementation of ESMP.

26. Also, In order to sustain the culture sensitivity for indigenous peoples' initiative and complement the over-all capacity building program, the NPMO Safeguards Team led the conduct of Coaching and Mentoring Sessions for selected RPMOs and SRPMO staff. The activity aims to provide field coaching on strategies for culture-appropriate CDD implementation with IP communities. One region per island cluster was identified to serve as the pilot site. These regions were CAR for Luzon, NIR for Visaya, and X for Mindanao.

27. All the planned coaching sessions were accomplished within the quarter, beginning with CAR from June 28 to July 1; X from August 1-4; and NIR from August 22-25, 2016. Indigenous

groups covered were Kankanaey, Higaonon and Ati, respectively. A total of 24 mentees were coached during these sessions.

Staffing and Training

28. As of September 30, 2016, a total of 6,911 staff and consultants are hired, covering the NPMO, RPMOs, SRPMOs and ACTs. Women comprise 60% of this total. At the ACT level, out of all the 5,452 hired staff, 62% are women thus still showing relatively fair gender balance. Broken down, there is good gender balance among Area Coordinators (AC) hired. However, records for the other positions show skewedness. Municipal Finance Analysts (MFA) and Community Empowerment Facilitator (CEF) positions are filled up largely by women while the Technical Facilitator (TF) position appears to be dominated by men.

Breakdown of Hired ACT Staff by Position as of September 2016

Position	Male	Female	Total	% Female
AC	274	362	636	57%
TF	584	238	822	29%
MFA	216	595	811	73%
CEF	1,014	2,169	3,183	68%
TOTAL	2,088	3,364	5,452	62%

29. In order to ensure provision of appropriate gender training to staff, the following were undertaken:

- i) Training Needs Assessment (TNA) involving ACTs, SRPMO and RPMO were conducted by the RPMOs;
- ii) Gender Mainstreaming Training Module was developed by NPMO and provided to RPMOs. Modules were enhanced by FOs based on the result of TNA;
- iii) GAD Orientation/Gender Sensitivity Training was provided to all staff at all levels. As part of the training, assessment of gender perspective (pre- and post-tests) was undertaken to provide deeper understanding of current perspective and profile of staff; and
- iv) A gender audio-visual presentation was developed to aid the project staff to understand the full context of the project gender mainstreaming requirements.

VII. GRIEVANCE REDRESS MECHANISM

30. The grievance redress system (GRS) is one of the features of the KC-NCDDP to promote transparency and social accountability. It was designed to attend to complaints, problems and issues that arise from project implementation.

31. Installation of the GRS is necessary to inform community members of the mechanism through the following: (i) GRS orientation at the municipal and barangay level; (ii) dissemination of information materials; (iii) formation and training of GRS committees; and (4) reporting and documentation of grievances.

32. As of December 2016, all enrolled municipalities have conducted municipal-level GRS orientation during the Municipal Orientation. Meanwhile, out of these municipalities, 18,298 out of 18,593 (98%) barangays have conducted the GRS orientation and formed GRS committees.

33. The total grievance received during the reporting period is 3,384, of which 99% (3,349) have been satisfactorily resolved. Most of the grievances (92.6%) are classified as Type A or non-contentious and merely queries and/or comments about the Project. Most of the concerns or grievances filed during the reporting period are on the program's design/guidelines, subproject implementation, procurement processes and community participation. The table below shows the summary of the grievances received during the reporting period.

Grievances received and resolved through GRS as of September and December 2016

Region	Grievances Received								Grievances Resolved							
	Type A		Type B		Type C		Total		Type A		Type B		Type C		Total	
	n	%	n	%	n	%	n	%	N	%	n	%	n	%	n	%
As of September, 2016																
CAR, I, IV-A and IV-B, V, VI, NIR, VII, VIII, IX, X & Caraga	2,082	93.1%	129	5.8%	25	1.1%	2,236	66.1%	2,082	93.6%	122	5.5%	21	0.9%	2,225	99.5%
As of December, 2016																
I, IV-A & B, V, VI VII, VIII, IX, X, XI, XII & Caraga	1,019	88.8%	88	7.7%	41	3.6%	1,148	33.9%	1,019	90.7%	74	6.6%	31	2.8%	1,124	97.9%
Total for September and December 2016																
I, IV-A & B, V, VI VII, VIII, IX, X, XI, XII & Caraga	3,101	91.6%	217	6.4%	66	2.0%	3,384	100.0%	3,101	92.6%	196	5.9%	52	1.6%	3,349	99.0%

Where: Type A = non-contentious, queries and comments

Type B = compliance to the project processes, MOA and other KC implementation arrangements

Type C = grievance on procurement processes and financial management

34. The table below shows the top three grievances within the 2 quarters of this monitoring period. KC Process/design/guideline is the outstanding grievance.

Top three (3) grievances as of September and December 2016

Category	As of September, 2016								As of December, 2016							
	Type A		Type B		Type C		Total		Type A		Type B		Type C		Total	
	no	%	no	%	no	%	no	%	no	%	no	%	no	%	no	%
KC Process/design/guidelines	1123	75.3%	27	44.3%	5	100.0%	1155	74.1%	299	54.4%	10	28.6%	0	0.0%	309	52.8%
CEAC Schedule/Timeline	184	12.3%	22	36.1%	0	0.0%	206	13.2%	141	25.6%	13	37.1%	0	0.0%	154	26.3%
Community Participation	185	12.4%	12	19.7%	0	0.0%	197	12.6%	110	20.0%	12	34.3%	0	0.0%	122	20.9%
Total	1,492	100.0%	61	100.0%	5	100.0%	1,558	100.0%	550	100.0%	35	100.0%	0	0.0%	585	100.0%

35. As to the issues/concerns raised on community participation, these pertain to inquiries on membership in community volunteer committees and community members that will be allowed to participate in paid work during SP construction. These queries were responded by the program staff during community assemblies and meetings with community volunteers.

36. Of the grievances filed during the reporting period, 20 were related to environmental and social safeguards, 18 of which are Type A and two are Type B. Specific concerns filed on safeguards issues are land ownership and donation; permits and clearances; water, sanitation and hygiene (WASH); and sub-project implementation. All of these safeguards-related grievances received during the 3rd and 4th quarter have been satisfactorily resolved.

Quarter	Type A	Type B	Type C	Total
Quarter 3 2016	13	1	0	14
Quarter 4 2016	5	1	0	6
Total	18	2	0	20

37. Grievances filed related to land ownership and donation were categorized as Type A grievances or not contentious. These are in the form of questions/inquiries i.e. how land instruments will be executed or what will be the next step if identified owner is not willing to donate the land for the construction of sub-project.

VIII. CONCLUSION

38. Safeguard issues identified during the reporting period are: (i) ESMP format/templates used are not consistent across the regions; (ii) incorrect information provided in the ESMP; (iii) incorrect encoding of safeguards information in the Program's database; and (iv) weak implementation of ESMP and OSH during the construction and operation phases of subprojects.

39. Recommended actions to be completed during the next reporting period are:

- (i) Feedback or update on the use of the simplified ESMP
- (ii) Conduct refresher course for area coordinating teams (ACT) on simplified ESMP
- (iii) Enforce close monitoring of the ESMP during subproject implementation by posting the ESMP on community bulletin boards and remind the CEFs and community volunteers about the importance of ESMP monitoring.
- (iv) Conduct training on occupational health and safety.
- (v) Ensure that the geotagging of SPs reflects the correct information on the secured environmental permit/certificate

ATTACHMENT: PHOTODOCUMENTATION



FGD with Ati Tribe in Barangay Tamulalod, Dumarao, Capiz



Monitoring Visit: Turn Over Ceremony in Bulusan, Sorsogon



Monitoring Visit: Water System Subproject in San Andres, Romblon



Coaching and Mentoring Session with Visayas S/RPMO Staff



Coaching and Mentoring Session with the Area Coordinating Team of Mabinay, Negros Oriental

