

# Environmental and Social Monitoring Report

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Semestral Report  
January-June 2018

## Philippines: KALAHI-CIDSS National Community- Driven Development Project

## ABBREVIATIONS

ADB	Asian Development Bank
CEAC	Community Empowerment Activity Cycle
CDD	Community Driven Development
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
KALAHI-CIDSS	Kapit Bisig Laban sa Kahirapan (Linking Arms Against Poverty) – Comprehensive and Integrated Delivery of Social Services
KC-NCDPP	KALAHI-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 KALAHI-CIDSS National Community-Driven Development Project (the Project), supports the implementation of the government's KALAHI 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) that is responsible for national policy and technical assistance and the Regional Program Management Office (RPMO) that is 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 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.
5. As of June 2018, there are 800 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.
6. Meanwhile, the Program has mobilized a total of 865,868 community volunteers (CVs). KC-NCDDP CVs are involved in various committee or representation work, and receive training on topics such as situational assessment, needs identification, project proposal preparation, project implementation and management, or local planning and resource allocation, among others. Similar to the barangay assemblies conducted, records show that more women participate in volunteer committees in terms of both membership and leadership.
7. About 25,724 or 98% out of the 26,247 sub-projects 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 sub-projects. On the other hand, the remaining 2% or 523 ESMPs have been prepared by the communities but are yet to be encoded in the safeguards database.
8. The participation rate of households in KC-NCDDP barangay assemblies (BA) remains relatively high at an average of 80%.

9. Since the start of NCDDP, the cumulative total of grievances received through the GRS is at 124,757 of which 99.95% have been satisfactorily resolved. Most of the grievances received were Type A or non-contentious, queries and comments with 95%.

10. The project is partially compliant to both environmental and social safeguards. Recommendations are: (i) ensure that the mitigation measures indicated in the ESMP are implemented; (ii) ensure that applicable safeguards permits and clearances are secured from concerned agencies; (iii) submit updates and compliance to the ECC conditions; (iv) safeguards database cleaning and updating.

## I. Introduction and Project Overview

<b>Project Number and Title:</b>	<b>46420-002 PHILIPPINES: KALAHI-CIDSS National Community-Driven Development Project</b>																																																																																																																																						
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<b>Key Project Activities:</b>	<p>To date, 800 municipalities, or about 94% of the total target coverage, have implemented KC-NCDDP. This figure is composed of 547 Typhoon Yolanda-affected municipalities and 253 poor municipalities not devastated by Yolanda. Breakdown of enrollment is provided in Tables below.</p> <p style="text-align: center;"><b>Actual Coverage as of June 2018 by Municipal Grouping</b></p> <table border="1"> <thead> <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> </thead> <tbody> <tr> <td>Yolanda-affected municipalities</td> <td>554</td> <td>14,139</td> <td>547</td> <td>13,935</td> <td>99%</td> </tr> <tr> <td>Non-Yolanda affected municipalities</td> <td>293</td> <td>5,508</td> <td>253</td> <td>4,846</td> <td>86%</td> </tr> <tr> <td><b>Total</b></td> <td><b>847</b></td> <td><b>19,647</b></td> <td><b>800</b></td> <td><b>18,781</b></td> <td><b>94%</b></td> </tr> </tbody> </table> <p style="text-align: center;"><b>Actual Coverage as of June 2018 by Region</b></p> <table border="1"> <thead> <tr> <th rowspan="2">Region</th> <th colspan="2">Target</th> <th colspan="2">Actual</th> <th>% Target</th> </tr> <tr> <th>No. of Muns</th> <th>No. of Brgys</th> <th>No. of Muns</th> <th>No. of Brgys</th> <th>Municipalities Covered</th> </tr> </thead> <tbody> <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>23</td> <td>771</td> <td>82%</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>VI</td> <td>116</td> <td>3,418</td> <td>116</td> <td>3,418</td> <td>100%</td> </tr> <tr> <td>VII</td> <td>108</td> <td>2,339</td> <td>101</td> <td>2,174</td> <td>94%</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>46</td> <td>1,068</td> <td>88%</td> </tr> <tr> <td>X</td> <td>73</td> <td>1,390</td> <td>65</td> <td>1,203</td> <td>89%</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>54</td> <td>795</td> <td>95%</td> </tr> <tr> <td><b>TOTAL</b></td> <td><b>847</b></td> <td><b>19,647</b></td> <td><b>800</b></td> <td><b>18,781</b></td> <td><b>94%</b></td> </tr> </tbody> </table> <p>Out of the 800 municipalities enrolled under the Program under Cycle 1, 797 have reached Stage 1 or the Social Preparation stage. The variance is due to areas that had just enrolled and are yet to start with formal social preparation</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	99%	Non-Yolanda affected municipalities	293	5,508	253	4,846	86%	<b>Total</b>	<b>847</b>	<b>19,647</b>	<b>800</b>	<b>18,781</b>	<b>94%</b>	Region	Target		Actual		% Target	No. of Muns	No. of Brgys	No. of Muns	No. of Brgys	Municipalities Covered	CAR	50	624	37	477	74%	I	11	133	11	133	100%	III	3	64	3	64	100%	IV-A	28	853	23	771	82%	IV-B	67	1,278	67	1,278	100%	V	101	2,902	99	2,864	98%	VI	116	3,418	116	3,418	100%	VII	108	2,339	101	2,174	94%	VIII	136	3,705	134	3,654	99%	IX	52	1,205	46	1,068	88%	X	73	1,390	65	1,203	89%	XI	27	496	27	496	100%	XII	17	386	17	386	100%	Caraga	57	821	54	795	95%	<b>TOTAL</b>	<b>847</b>	<b>19,647</b>	<b>800</b>	<b>18,781</b>	<b>94%</b>
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activities. All the same, bulk of the municipalities has reached the latter stages of the CEAC for their first cycle.

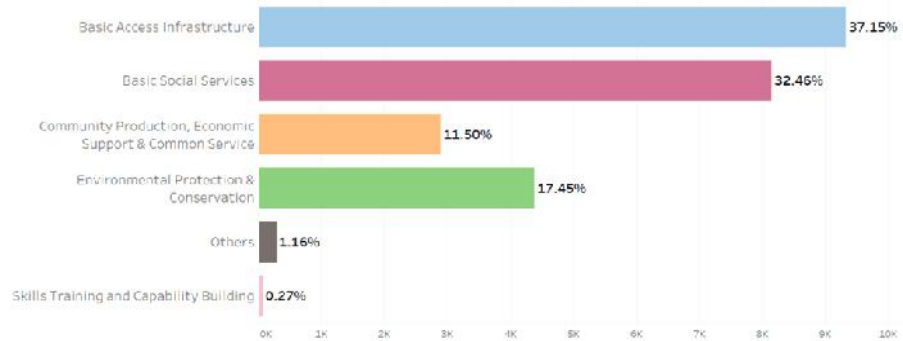
The number of municipalities that will implement their second, third and fourth cycle is considerably lower compared to Cycle 1 implementation per program plan. The number of cycles that a municipality will receive is a factor of a) years/cycles the municipality has accumulated in KALAHI-CIDSS, b) whether the municipality is Yolanda affected or not, and c) whether its pre-Yolanda poverty incidence is high or low.

At the end of the quarter, 681 municipalities have started with their second cycle of implementation, majority of which have reached Stage 3. Over one fourth has been able to progress to the last stage of the cycle to date.

For third cycle implementation, 535 municipalities have started, with fairly good progress toward Stages 2 and 3. It should also be noted that most of the municipalities or 80% have reached Stage 3.

A total of 26,247 community SPs funded under KC-NCDDP with a total project cost of Php 30.1 billion, of which Php 28.4 billion are KC community grants. These are expected to directly benefit a total of 6,935,314 household beneficiaries.

Mirroring past trends, the largest bulk of prioritized SPs fall under the basic access infrastructure (37%) and basic social service (32%) categories. The following figure shows the distribution of prioritized SPs by major sub-project category.



As of June 2018, 800 enrolled municipalities have conducted their municipal-level GRS orientation during the Municipal Orientation. Moreover, 18,781 barangays in enrolled municipalities have conducted the GRS orientation and formed GRS committees during their first BA. Meanwhile, 16,546 barangays have displayed their GRS information materials such as tarpaulins /posters and brochures /leaflets.

**Report prepared by:**

KC-NCDDP National Program Management Office (NPMO)

## II. Environmental Performance Monitoring

11. 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.

12. 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.

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

14. As of the end of June 2018, 98% (25,724) of the 26,247 subprojects have submitted the ESMP. The remaining 2% or 523 ESMPs have been prepared by the communities but are yet to be encoded in the safeguards database.<sup>1</sup>

**Status of submission of ESMP per Region**

Region	No. of SPs	With ESMP	With CNC	% with ESMP
CAR	434	377	3	87 %
I	152	135	121	89 %
III	45	45	40	100 %
IV-A	1,178	1,183	56	100 %
IV-B	1,596	1,544	650	97 %
V	2,792	2,596	1,955	93 %
VI	4,694	4,690	4,433	99 %
VII	3,406	3,427	245	100 %
VIII	6,112	6,153	1,559	100 %
IX	1,591	1,590	1,083	100 %
X	1,264	1,124	994	89 %
XI	853	754	249	88 %
XII	626	606	423	97 %
Caraga	1,504	1,500	706	99 %
<b>Total</b>	<b>26,247</b>	<b>25,724</b>	<b>12,559</b>	<b>98 %</b>

15. In terms of compliance on securing environmental clearances, there was an increase from 11,801 to 12,559<sup>2</sup> on the number of CNCs issued by the DENR to KC-NCDDP sub-projects. Further, there are five ADB-financed Category B subprojects in Region VI for which an environmental compliance certificate (ECC) is required from DENR-EMB. Three out of the five subprojects were already granted with ECC.

<sup>1</sup> ESMPs have been prepared for all ADB-financed SPs as the plan is a requirement prior to fund release. Variance is attributed to problems in encoding at municipal level.

<sup>2</sup> 7,893 only if ADB-financed SPs, include L&E SPs. Data as of 30 June 2018



16. Screening of the Category B subprojects was undertaken by NPMO in coordination with RPMO VI. Result of the validation showed that only three out of the five subprojects reaches the threshold requirement specified in the DENR-EMB-MC 2014-005 or the Revised Guidelines for Coverage Screening and Standardized Requirements. Consequently, RPMO VI had a coordination meeting with DENR-EMB on the re-categorization of the two subprojects from B to C or the relief from the application of ECC. Based on the meeting with DENR-EMB on 18 May 2018, the RPMO should submit a more detailed project description and coverage area of the two subprojects.

#### List of Category B subprojects

Region	Location	Cycle/Fund	SP Title	Remarks
VI	Brgy. Passi Igaras, Iloilo	C-1 (ADB)	Improving Agricultural Production through Community-Managed Construction of Small Scale Dam	Request for re-categorization dated 29 June 2018 endorsed to DENR-EMB  Response from DENR granting the request for cancellation of ECC application received dated 01 August 2018 (Annex C)
VI	Brgy. Damoong, Janiay, Iloilo	C-1 (ADB)	Improving Acces of Children to Quality Education through Community-Managed Construction of 9 Classroom Building with Facilities at Janiay National Comprehensive High School	Request for re-categorization dated 29 June 2018 endorsed to DENR-EMB  DENR-EMB responded through email confirming that the subproject has no application for ECC.  Per site validation conducted by NPMO on 05 December 2018, it was noted that all classrooms are already functional and there are no residual impacts from the construction activities.
VI	Brgy. Tagororoc Nabas, Aklan	C-2 (ADB)	Ensuring safety of community access to basic services through construction of Level II water system	Granted with ECC on 15 December 2017  The subproject is located in an Environmental Critical Area (ECA) which is Category B based on DENR-EMB MC 2014-005. Thus, IEE report prepared and submitted to ADB for disclosure.
VI	Brgy. Tigunhao Laua-an, Antique	C-3 (ADB)	Establishing a Danger Free and Convenient access Through Community-Managed	Granted with ECC on 16 March 2018

			Concreting of Road with Slope Protection and Line Ditch (2.5 km road)	The physical target is 2.5km which is more than the 2km threshold of DENR-EMB MC 2014-005. Thus, IEE report prepared and submitted to ADB for disclosure.
VI	Brgy. Katipunan Tapaz, Capiz	Tier2 (ADB)	Improved Community access through Upgrading of Barangay Road at Barangays Libertad, Katipunan and Wright (3.8 km road)	Granted with ECC on 16 March 2018  The physical target is 3.8km which is more than the 2km threshold of DENR-EMB MC 2014-005. Thus, IEE report prepared and submitted to ADB for disclosure.

17. IEE Reports for the road projects in Brgys. Tigunhao and Brgy. Katipunan and water system project in Brgy. Tagroroc were already submitted to ADB. As stated in the Environmental Assessment and Review Framework (EARF) of the project, for category B subprojects funded by ADB, the initial environmental examination (IEE) with an environmental management plan (EMP) and subsequent environmental monitoring report shall be submitted by DSWD NPMO to ADB for review and approval prior to uploading at the ADB's website in accordance with the disclosure requirements of ADB SPS (2009) and Public Communication Policy (PCP) 2011.

18. After satisfying the requirements for ECC application, the Environmental Management Bureau of DENR granted the ECC for the above-mentioned subprojects. The ECC conditions with the status of compliance are presented in table below per subproject consistent with the Semi-annual Compliance Monitoring Report (CMR) prepared by the proponent submitted to DENR-EMB:

#### **Brgy. Katipunan Tapaz, Capiz – Status of Compliance**

<b>ECC Conditions</b>	<b>Status of Compliance</b>
Appropriate and sufficient engineering measures for slope stabilization and drainage system.	Complied
Excavated materials shall be properly stockpiled and properly disposed or reused.	Complied
No cutting of matured trees specially banned species shall be done along the route without proper clearance from authorities and be subjected to Forestry laws, rules and regulations.	NONE
Affected residents/properties shall be properly relocated and be given necessary assistance.	NONE
Proponent shall be held responsible to any damages caused by the project implementation, such as damage to crops, plants and trees.	NONE
Planting of at least 385 fruit or forest tree species.	385 various species trees already planted and accomplished on July 30, 2018. Photos are shown in the documentations.
Segregation, recycling, re-use and composting and proper disposal of solid wastes generated during	YES

construction and operation shall be in accordance with the provision of the Ecological Solid Waste Management under R.A. 9003.	
Proponent shall allow entry of EMB-R6 Field Personnel, DENR CENRO, PENRO and EMB R6 Focal Persons, into the project site at all times to conduct tangible monitoring.	YES (please see attached photos taken during the field visit of DENR- EMB R6 at Katipunan Tapaz Capiz conducted on 17 December 2017)
The proponent shall set-up an Environmental Unit (EU) or assigns a Pollution Control Officer (PCO)/Community Volunteers who shall handle the environmental aspects of the project.	The project has assigned Project Monitoring Team (PMT) by the BSPMC to ensure implementation of the agreed mitigations prepared by the community as stated in the Environmental and Social Management Plan (ESMP), Technical Facilitator (TF) and Community Empowerment Facilitator (CEF) also conducted spot monitoring and check the safeguard compliance by updating the "Status of Compliance" in ESMP
A 2' x 4' billboard containing the ECC number and project details. "Notice to the public, This Project of Barangay has been issued an ECC number by the DENR-EMB Region 6	Complied (please see attached photodocumentation)

#### **Brgy. Tigunhao Laua-an, Antique – Status of Compliance**

<b>ECC Conditions</b>	<b>Status of Compliance</b>
Proponent and contractor shall adopt the suitable construction method that will minimize pollution and shall comply with the provision in the Clean Air Act.	Complied - Time to time de watering of land soil to mitigate dust pollution, provided early warning device especially for the working vehicles and heavy equipment and ensure used oil from the equipment is carefully disposed.
Excavated materials shall be properly stockpiled and properly disposed or reused.	All excavated/ stockpiled soil was reused and filled to the uneven portion of the road before compaction.
Temporary silt traps/ponds shall be set-up along adjacent areas and nearby water body to prevent siltation	Not complied due to project suspension The subproject only reached 40% physical accomplishment. Suspension of the project implementation was due to Typhoon Doming. The project site was affected with critical landslide leading to non passable road pavement.
No cutting of matured trees specially banned species shall be done along the route without proper clearance from authorities and be subjected to Forestry laws, rules and regulations.	No reported trees that possibly affected by the project based on the environmental screening findings (ESSC and ESMP)
Affected residents/properties shall be properly relocated and be given necessary assistance.	The earth road already exists for more than 10 years. There were no residents properties reported for relocation. All construction schedules are announced thru "Bandilyo" (Visayan term for Announcement)
Proponent shall be held responsible to any damages caused by the project implementation, such as damage to crops, plants and trees.	During pre-construction meeting the contractor promised if ever there will be damages on plants, crops etc. the contractor will be liable on it. But so far there were no damages occurred during implementation.
Planting of at least 200 fruit or forest tree species.	Ongoing tree planting was conducted by the Barangay Officials, community and volunteers. However, interrupted due to hit of typhoon Doming

	on 12 June 2018 that caused landslide portion of the ongoing construction roads and lead to damaged due to force majeure.
Segregation, recycling, re-use and composting and proper disposal of solid wastes generated during construction and operation shall be in accordance with the provision of the Ecological Solid Waste Management under R.A. 9003.	All solid wastes and other wastes was properly recycled and disposed in the contractor batching plant junk in compliant to the mitigations stated in the ESMP
Proponent shall allow entry of EMB-R6 Field Personnel, DENR CENRO, PENRO and EMB R6 Focal Persons, into the project site at all times to conduct tangible monitoring.	Complied (please see attached photos taken during the field visit of DENR- EMB R6 at Tuginhao Laua-an Antique conducted on 20 February 20, 2018)
The proponent shall set-up an Environmental Unit (EU) or assign a Pollution Control Officer (PCO)/Community Volunteers who shall handle the environmental aspects of the project.	The project has assigned Project Monitoring Team (PMT) by the BSPMC to ensure implementation of the agreed mitigations prepared by the community as stated in the Environmental and Social Management Plan (ESMP), Technical Facilitator (TF) and Community Empowerment Facilitator (CEF) also conducted spot monitoring and check the safeguard compliance by updating the "Status of Compliance" in ESMP
A 2' x 4' billboard containing the ECC number and project details. "Notice to the public, This Project of Barangay has been issued an ECC number by the DENR-EMB Region 6	Complied, done before the implementation commence. (please see attached photodocumentation)

### **Brgy. Tagororoc, Nabas, Aklan – Status of Compliance**

<b>ECC Conditions</b>	<b>Status of Compliance</b>
Planting/growing of approximately 100 fruit or forest tree seedlings (preferably those endemics in the area) shall be conducted within the project site, open spaces and public/private or any identified alternative area.	Complied – More than 100 various species trees already planted and accomplished by the community volunteers through Volunteerism "bayanihan" activity on 06 August 2017. Photos are shown in Annex B.
Proponent shall construct a temporary perimeter drainage canal provided with silt traps/ponds to treat/trap silt entrained run-off during heavy rains and dewatering of excavations prior to its discharge to prevent further siltation of the existing drainage facility and the nearby irrigation canal prior to the start of the land clearing and earth moving activities;	Complied – ditches were provided to convey the run-off water into nearest river, while the community also has an existing ditch that convey the run-off water from upstream to downstream (rivers)
Segregation, recycling, re-use and composting and proper disposal of solid wastes generated during construction and operation shall be in accordance with the provision of the Ecological Solid Waste Management under R.A. 9003 and its Implementing Rules and Regulations;	Complied – As part of the mitigating measures in the ESMP the community provide a waste bin where the waste will be disposed, they also adopt the hierarchy of solid waste disposal such as, reduce, re-use, recycling of waste generated during the subproject implementation as well as in the community daily activities.
Any development, activity, process or operation inherent in the project which has pollution, toxic or hazardous potential should be subject to pertinent provisions of R.A 9275, R.A. 8749 and R.A. 6969, "The Clean Air Act" Clean Water act, and "The	Complied – The community, contractor and BLGU ensure compliance to the ESMP particularly to the mitigation/enhancement measures to air, land and water pollution.

Toxic and Hazardous and Nuclear Waste Control Act” respectively, and their implementing Rules and Regulations	
The proponent shall set-up an Environmental Unit (EU) or assign a Pollution Control Officer (PCO) who shall handle the environmental aspects of the project.	Complied - The project has assigned Project Monitoring Team (PMT) by the BSPMC to ensure implementation of the agreed mitigations prepared by the community as stated in the Environmental and Social Management Plan (ESMP). Technical Facilitator (TF) and Community Empowerment Facilitator (CEF) also conducted spot check and monitoring of safeguards compliance by updating the “Status of Compliance” column in the ESMP.
Proponent should allow entry of EMB-6 field personnel, DENR CENRO, PENRO and EMB Focal Persons into the project site always to conduct tangible monitoring and to validate project’s compliance to the ECC conditions stipulated therein and EMP Mitigating Measures;	Complied - Please see photos in Annex B taken during the site validation, field visits and community consultation of DENR- EMB R6 at Tagororoc Nabas, Aklan.
Water conservation program shall be implemented by installing an appropriate technologies and practices for rainwater collection system.	Complied – The community is actually doing the rainwater collection as their alternative water sources since then, and according to them they will continue collecting it even the water system project is already functional.
A 2’ x 4’ billboard containing this message: “Notice to the Public, this project (title of the project) of (Name of the proponent) has been issued an Environmental Compliance Certificate (ECC Number) by the Environmental Management Bureau of the Department of Environment and Natural Resources, Region 6)	Complied – Done before the implementation commenced. The billboard are installed near the barangay welcome signages.

19. During the 2nd quarter, the NPMO facilitated an Environmental and Social Safeguards Learning Session participated by the Regional Community Infrastructure Specialists, Regional Infrastructure Officers, Regional Community Development Specialists and Community Development Officers. Discussions during the activity include the (i) DOH National Policy on Water Safety Plan; (ii) Basic Occupational Safety and Health; (iii) Environmental Laws and Regulations particularly the DENR-EMB MC 2014-007 or the revised guidelines of Presidential Decree 1586 or Environmental Impact Statement System; (v) regional case studies on land acquisition, and (vi) simplified ESMP template.

20. An ESMP facilitator’s guide had been developed for the use of the ACTs. The guide will be used in operation for refinement-updating, monitoring and reporting of ESMP compliance by the communities. The simplified ESMP template and facilitator’s guide attached as Annex A was officially shared with the RPMOs on 19 June 2018.

#### a. Summary of compliance on environmental safeguards

Requirements	Compliance Status (Yes, No, Partial)	Comment or Reasons for Non-compliance
Submission of subprojects’ ESMP	Partial	The environmental safeguards compliance is monitored through the Project’s geotagging web application and verified by physical inspection.

Requirements	Compliance Status (Yes, No, Partial)	Comment or Reasons for Non-compliance
		<p>Of the 26,247 SPs, 25,724 (98%) are compliant with the submission of ESMP. The remaining 2% or 523 ESMPs have been prepared by the communities but are yet to be encoded in the safeguards database.</p> <p>The compliance status is partial because the safeguards database still reflects many SPs with environmental compliance certificate (ECC) even if there are only 3 category B SPs reported by RPMO based on their Quarterly Safeguards Monitoring Report.</p>
Submission of IEE Reports	Yes	<p>IEE Reports for the following SPs have been prepared and submitted to ADB for disclosure:</p> <ul style="list-style-type: none"> <li>i. Concreting of Road with Slope Protection and Line Ditch in Brgy. Tigunhao Laua-an, Antique</li> <li>ii. Upgrading of Barangay Road at Barangays Libertad, Katipunan and Wright Brgy. Katipunan Tapaz, Capiz</li> <li>iii. Construction of Small Scale Dam in Brgy. Passi, Igaras, Iloilo</li> </ul>

**b. Issues and recommendations.** The table below shows the status of the issues identified in the previous monitoring reports.

No.	Issues	Recommendations	Status
1	Required water potability testing not regularly undertaken	Issue reiteration memo about proper management of water supply subprojects	Done
2	Difficulty in implementing OSH measures during construction phase	Issue reiteration memo on observance of safety measures during construction; continuous provision of OSH training	Done
3	Recategorization of 2 subprojects from B to C	Conduct of joint validation with DENR	<p>Done</p> <p>Coordination meeting with DENR-EMB conducted on 18 May 2018 and requests for recategorization have been endorsed to DENR-EMB</p>

## II. Social Safeguards Performance Monitoring

21. As mentioned above, 98% of SPs submitted the ESMP. In addition, in order to facilitate empowerment of the engaged communities, the Program mobilizes Area Coordinating Teams (ACTs) designated to a municipality. At the end of the quarter, there was 1,482 ACT staff on board the Program, which is 96% of the planned 1,549 positions for hiring. Previously, the planned ACT positions for hiring numbered 4,875. The decrease in the number of required ACT members came alongside with the wrapping up of implementation in some municipalities.

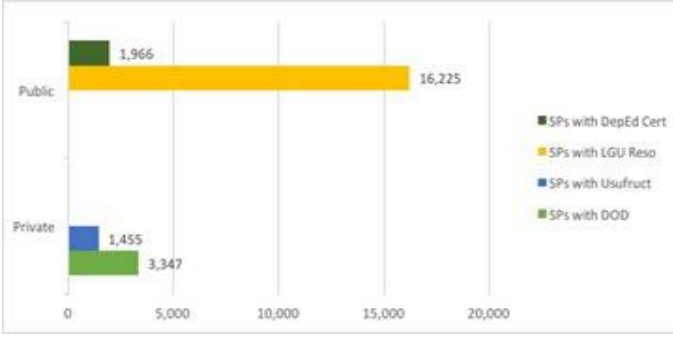


As of date, all regions have over 90% of their planned ACT staff positions filled up. It can also be noted that among those hired, there are more females (60% or 894) than males (40% or 588).

a. Summary of Compliance with RP/IPP Requirements

22. Compliance status is partial. The following are the key activities and some issues with way forward for the monitoring period:

RP/IPP Activity/Issue	Comment/Further Action																																																																																											
<p>During the field visit conducted in Barangay Mahilum, Calatrava, Negros Occidental, it was noted that there have been physical displacement of two households. Stated below are the surrounding circumstances pertinent to the event:</p> <ul style="list-style-type: none"> <li>▪ Two families were occupying portion of the lot containing 1.7 hectares more or less described as lot no 2636 owned by Mr. Marcos Mahilum. They are occupying the lot by virtue of the permission given to them by the owner.</li> <li>▪ In 2015, part of the above mentioned lot containing 4000 square meters was donated by the owner to Barangay Mahilum to be used as barangay site for various purposes. It was also during that time that the Cycle I KC NCDDP project which was the Daycare Center was constructed on portion of the 4000 square meter lot. This prompted the relocation of the two families as the Barangay had other lined up projects to be constructed in the area such as the health center and covered court.</li> </ul>	<p>Dialogues had been conducted between the two families, the owner and Barangay Mahilum represented by its barangay officials. As a result, the families accepted the offer of the lot owner to transfer to the adjacent lot also owned by Mr. Mahilum. The following assistance were provided to facilitate the relocation of the families:</p> <ul style="list-style-type: none"> <li>▪ The owner Mr. Mahilum allowed the use/cutting of his coconut trees to be used for the construction of new houses.</li> <li>▪ The barangay council paid for the cutting of the coconut trees which amounted to ten thousand pesos more or less (Php 10,000.00)</li> <li>▪ The punong barangay also contributed an accumulated amount of eleven thousand one hundred thirty-four pesos (Php 11,134.00) that covered the purchase of construction nails, sawali and transportation.</li> </ul> <p>Presently the two families are now occupying their new houses which are larger and better than their previous house. They were also allowed to plant fruits and vegetables and breed farm animals in the vacant lot adjacent to their new house.</p>																																																																																											
<p><b>Social safeguards planning:</b> Completion of Environmental and Social Management Plan (ESMP).</p>	<p>Only 98% complied or 25,724 out of 26,247 total SPs, see above table.</p>																																																																																											
<p>Community proposals for infrastructure projects supported by various land acquisition instruments/ documentation</p>	<p>As below:</p> <table border="1" data-bbox="740 1493 1421 1892"> <thead> <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> </thead> <tbody> <tr> <td>CAR</td> <td>434</td> <td>42</td> <td>72</td> <td>215</td> <td>29</td> <td>24</td> </tr> <tr> <td>I</td> <td>152</td> <td>1</td> <td>65</td> <td>65</td> <td>10</td> <td>4</td> </tr> <tr> <td>III</td> <td>45</td> <td>10</td> <td>1</td> <td>24</td> <td>1</td> <td>2</td> </tr> <tr> <td>IV-A</td> <td>1178</td> <td>612</td> <td>127</td> <td>177</td> <td>25</td> <td>200</td> </tr> <tr> <td>IV-B</td> <td>1,596</td> <td>349</td> <td>105</td> <td>877</td> <td>169</td> <td>787</td> </tr> <tr> <td>V</td> <td>2,792</td> <td>215</td> <td>72</td> <td>1,648</td> <td>403</td> <td>488</td> </tr> <tr> <td>VI</td> <td>4,694</td> <td>998</td> <td>256</td> <td>1,793</td> <td>317</td> <td>1,606</td> </tr> <tr> <td>VII</td> <td>3,406</td> <td>191</td> <td>484</td> <td>2,523</td> <td>121</td> <td>189</td> </tr> <tr> <td>VIII</td> <td>6,112</td> <td>176</td> <td>71</td> <td>4,999</td> <td>301</td> <td>1,395</td> </tr> <tr> <td>IX</td> <td>1,591</td> <td>191</td> <td>5</td> <td>1,052</td> <td>283</td> <td>30</td> </tr> <tr> <td>X</td> <td>1,264</td> <td>191</td> <td>107</td> <td>783</td> <td>46</td> <td>89</td> </tr> <tr> <td>XI</td> <td>853</td> <td>103</td> <td>43</td> <td>486</td> <td>59</td> <td>7</td> </tr> </tbody> </table>	Region	No. of SPs	Deed of Donation	Usufruct Agreement	M/BLGU Resolution	DEPED Certification	Other Instruments	CAR	434	42	72	215	29	24	I	152	1	65	65	10	4	III	45	10	1	24	1	2	IV-A	1178	612	127	177	25	200	IV-B	1,596	349	105	877	169	787	V	2,792	215	72	1,648	403	488	VI	4,694	998	256	1,793	317	1,606	VII	3,406	191	484	2,523	121	189	VIII	6,112	176	71	4,999	301	1,395	IX	1,591	191	5	1,052	283	30	X	1,264	191	107	783	46	89	XI	853	103	43	486	59	7
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	TOTAL	26,247	3,347	1,455	16,225	1,966	5,070															
	<p>On compliance related to land acquisition, the four (4) major land instruments being executed for KC-NCDDP subprojects are Deed of Donation, Usufruct Agreement, LGU Resolution and DepED Certification. The graph below shows the number of instruments executed depending on the land ownership which is either private or public. Noticeably, most sub-projects are constructed in public or government-owned lots.</p>																					
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<p data-bbox="201 1268 672 1331"><b>Public consultation and socialization process:</b></p> <p data-bbox="201 1360 678 1423">Indigenous Peoples' participation in KC-NCDDP barangay assemblies</p>	<p data-bbox="753 1268 1398 1449">As of end of June 2018, over-all participation rate of IP households in KC-NCDDP barangay assemblies is 55%. To be able to increase or at least sustain IP participation, RPMOs continuously conducts culture-sensitivity trainings and coaching sessions on how to effectively engage IPs in community activities.</p>																																																																				

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<p>Securing of Free and Prior Informed Consent in IP communities</p>	<p>The percentage of SPs that underwent NCIP validation already reached 79%<sup>3</sup>:</p> <table border="1" data-bbox="776 317 1393 804"> <thead> <tr> <th>Region</th> <th>No. of SPs in IP Areas</th> <th>No. of SPs submitted for validation</th> <th>No. of Validated SPs</th> <th>% Validated</th> </tr> </thead> <tbody> <tr><td>CAR</td><td>375</td><td>352</td><td>317</td><td>90%</td></tr> <tr><td>I</td><td>152</td><td>142</td><td>141</td><td>99%</td></tr> <tr><td>IV-A</td><td>26</td><td>22</td><td>14</td><td>64%</td></tr> <tr><td>IV-B</td><td>431</td><td>128</td><td>75</td><td>59%</td></tr> <tr><td>V</td><td>83</td><td>83</td><td>61</td><td>73%</td></tr> <tr><td>VI</td><td>384</td><td>348</td><td>344</td><td>99%</td></tr> <tr><td>VII</td><td>29</td><td>23</td><td>21</td><td>91%</td></tr> <tr><td>IX</td><td>1620</td><td>1,460</td><td>665</td><td>46%</td></tr> <tr><td>X</td><td>117</td><td>105</td><td>63</td><td>60%</td></tr> <tr><td>XI</td><td>787</td><td>787</td><td>787</td><td>100%</td></tr> <tr><td>XII</td><td>652</td><td>612</td><td>480</td><td>78%</td></tr> <tr><td>CARAGA</td><td>384</td><td>1,465</td><td>1465</td><td>100%</td></tr> <tr><td><b>TOTAL</b></td><td><b>5,075</b></td><td><b>5,374</b></td><td><b>4,253</b></td><td><b>79%</b></td></tr> </tbody> </table> <p>The conduct of validation will either result to the issuance of Certification Precondition or Certificate of Non-Overlap by NCIP. As of June 2018, 2,915 SPs or 69% were issued with NCIP certification:</p> <table border="1" data-bbox="769 984 1414 1446"> <thead> <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> </thead> <tbody> <tr><td>CAR</td><td>317</td><td>317</td><td>100%</td></tr> <tr><td>I</td><td>141</td><td>136</td><td>96%</td></tr> <tr><td>IV-A</td><td>14</td><td>7</td><td>50%</td></tr> <tr><td>IV-B</td><td>75</td><td>22</td><td>30%</td></tr> <tr><td>V</td><td>61</td><td>37</td><td>61%</td></tr> <tr><td>VI</td><td>344</td><td>344</td><td>100%</td></tr> <tr><td>VII</td><td>21</td><td>2</td><td>10%</td></tr> <tr><td>IX</td><td>665</td><td>371</td><td>56%</td></tr> <tr><td>X</td><td>63</td><td>0</td><td>0%</td></tr> <tr><td>XI</td><td>787</td><td>490</td><td>62%</td></tr> <tr><td>XII</td><td>480</td><td>241</td><td>50%</td></tr> <tr><td>CARAGA</td><td>1465</td><td>1136</td><td>78%</td></tr> <tr><td><b>TOTAL</b></td><td><b>4,253</b></td><td><b>2,915</b></td><td><b>69%</b></td></tr> </tbody> </table>	Region	No. of SPs in IP Areas	No. of SPs submitted for validation	No. of Validated SPs	% Validated	CAR	375	352	317	90%	I	152	142	141	99%	IV-A	26	22	14	64%	IV-B	431	128	75	59%	V	83	83	61	73%	VI	384	348	344	99%	VII	29	23	21	91%	IX	1620	1,460	665	46%	X	117	105	63	60%	XI	787	787	787	100%	XII	652	612	480	78%	CARAGA	384	1,465	1465	100%	<b>TOTAL</b>	<b>5,075</b>	<b>5,374</b>	<b>4,253</b>	<b>79%</b>	Region	No. of Validated SPs	No. of SPs with CP/CNO	% of Validated SPs with CP/CNO	CAR	317	317	100%	I	141	136	96%	IV-A	14	7	50%	IV-B	75	22	30%	V	61	37	61%	VI	344	344	100%	VII	21	2	10%	IX	665	371	56%	X	63	0	0%	XI	787	490	62%	XII	480	241	50%	CARAGA	1465	1136	78%	<b>TOTAL</b>	<b>4,253</b>	<b>2,915</b>	<b>69%</b>
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<p>External Monitoring</p> <p>Indigenous Peoples (IP)</p> <p>Involuntary Resettlement (IR)</p>	<p>Midterm and Final IP External Monitoring Report already endorsed to ADB for disclosure.</p> <p>Midterm and Final IR External Monitoring Report already endorsed to ADB for disclosure.</p>																																																																																																																														

<sup>3</sup> The external monitoring report confirms that all KC-NCDDP projects involving indigenous communities undergo a consultative process and that the Program is committed to free and prior informed consent consultation with affected indigenous communities. However, there are reported delays in the FPIC validation process due to NCIP's lack of budgetary and human resources to address the demands of validating the numerous subprojects in covered regions.

## b. Compliance Per Mission Results

23. Compliance status is partial. Below are agreements made during the ADB Mission conducted from 6 November – 15 December 2017 and the corresponding status:

Agreed Action	Status
<p><b>2 Category C subprojects initially categorized.</b> Submit the ESMP of the two subprojects.</p> <p>Conduct Joint DSWD-DENR validation of the two subprojects and request CNC application.</p>	<p>Done. Copy of ESMPs shared with ADB on 06 March 2018.</p> <p>Based on the meeting with DENR-EMB on May 18, 2018, the following steps should be undertaken for the possible cancellation of ECC applications for the 2 subprojects: 1) In the case of the construction of small-scale dam/spillway in Passi, Igaras wherein the site is less than 5 hectares, the RPMO needs to cite specific actual area of the identified subproject. 2) Brgy. Tagororoc, Nabas, level 2 water system to specify the extent of line connection per sitio or purok</p>
<p>Simplified ESMP template to be introduced to ACT and community volunteers during DSWD's training in 2018</p>	<p>Safeguards Learning Session conducted on 8-11 May 2018. The activity includes a session on how to fill out the simplified ESMP template.</p> <p>NPMO issued a memorandum dated 07 June 2018 on the ESMP simplified template.</p>
<p>KC-NCDDP communities need to be reminded to observe safety measures and proper disposal of construction wastes to prevent accidents in subproject sites</p>	<p>Memorandum on the strict enforcement of construction OSH during the project implementation as well as the required potability test frequency for water system sub-project was signed and issued to RPMOs on 20 April 2018.</p>
<p>Inconsistent data in safeguards database and lack of disaggregation by fund source</p>	<p>On-going data cleaning and updating. ADB provided with the list of ADB-financed subprojects.</p>
<p><b>Subprojects constructed without NCIP validation.</b> Prepare an inventory of ADB funded subprojects in IP areas indicating the year constructed, location and subproject type.</p> <p>Request NCIP documentation that the subprojects did not violate IP safeguards</p>	<p>Done. Inventory of ADB funded subprojects in IP areas shared with ADB on 23 July 2018.</p> <p>Inventory of SPs for validation and for issuance of NCIP certification has been completed and endorsed to NCIP on June 08, 2018.</p>
<p>Immediate replacement of consultant for IR external monitoring</p>	<p>Ms. Jane Austria-Young was hired as consultant for the IR external monitoring.</p>

## IV. Occupational, Health and Safety (OHS) Performance Monitoring

24. Mitigation and preventive measures on occupational, health and safety (OHS) are included in the ESMP template. Based on the new ESMP template, it had been ensured that the PPEs requirement in every implementation are indicated in the mitigation/prevention column and regularly monitored the proper usage/wearing of basic personal protective equipment (PPE) like gloves, helmets, and safety shoes during construction activities of SPs. The project is partially compliant to OHS because there was no documentation on the reported number of incidents and/or accidents during project implementation.

25. There were no reported regional trainings conducted on Occupational Safety and Health for the 1<sup>st</sup> and 2<sup>nd</sup> quarter. However, NPMO reiterates the importance of OSH during the Environmental and Social Safeguards Learning Session held on May 7-12, 2018. The OSH

training topics discussed during the sessions were: (i) few facts that usually happen in community construction sites; (ii) breakdown of fatalities according to type of accident in construction industry; (iii) provision of safe access on-site; (iv) basic reminders/consideration when working at height; (v) ladder safety; (vi) roof work safety; (vii) excavation work safety consideration; (viii) electrical safety; (ix) risks of working near sewage (personal hygiene); and (x) reiteration of important Personal Protective Equipment (PPEs).

## V. Information Disclosure, Socialization including Capability Building

26. The NPMO continues to monitor provision of capacity building interventions by 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). In order to sustain the efforts on ensuring safeguards implementation, the RPMOs conducted capability building activities with their LGU counterparts. The table below shows the trainings conducted by RPMOs related to environmental and social safeguards for the first semester of 2018:

Region	Training	Date	Participants	Number of Participants Trained
I	Strengthening Culture Sensitivity in Development Planning through CDD with MCT, NCIP and DILG	April 23-25, 2018	Municipal Coordinating Team	56
	Gender and Development Checkpoint	April –May 2018	MIAC stakeholders and BLGU represented by Punong Barangay	36
	Coaching and Mentoring for Community Empowerment Facilitator	May 31- June 1, 2018	Community Empowerment Facilitators	31
IVA	IP Culture Sensitivity Training for LGUs	June 5-8, 2018	LGUs from 7 Municipalities with IP	50
	Roll out training on Climate Resilient Infrastructure (including reiteration of Philippine Environmental Impact Statement System and its IRR	March 12-16, 2018	RIO, CIO, TEF	25
IVB	Roll out training on Climate Resilient Infrastructure (including reiteration of Philippine Environmental Impact Statement System and its IRR	March 19-23, 2018	RIO, CIO, TEF	25
VII	Roll out training on Climate Resilient Infrastructure (including reiteration of Philippine Environmental Impact Statement System and its IRR	July 25-29, 2018	RIO, CIO, TEF	40

VIII	Consultative Meeting with Field Program implementers and stakeholders	April 18, 2018	RPMO, DENR, NCIP representatives	15
IX	ACT Strategic Direction Setting for CDD Sustainability	May 23-24, 2018	ACT	247
V	Municipal Orientation and Accountability End Cycle Review Workshop	May 23-24, 2018 and April 19-20, 2018	ACT, MCT	95
XI	On Site Coaching for Technical Facilitators and Municipal Technical Coordinators Re echo of Learning Session on Social and Environmental Safegaurds	May 18-19, 2018 June 20-21, 2018	TF, MCT	65
	Learning Session for KC NCDDP Community Empowerment Facilitators- Issues and concerns re Environmental and social safeguards	May 21-22, 2018	ACT	110
	Roll out training on Climate Resilient Infrastructure (including reiteration of Philippine Environmental Impact Statement System and its IRR	April 2-6, 2018	RIO, CIO, PDO III, TEF, MCT-TEF	30
XII	Roll out training on Climate Resilient Infrastructure (including reiteration of Philippine Environmental Impact Statement System and its IRR	March 12-15, 2018	RCIS, RIO, RIA, RPO, TF, MCT-TF	29
Caraga	Roll out training on Climate Resilient Infrastructure (including reiteration of Philippine Environmental Impact Statement System and its IRR	May 15-19, 2018	RIO, CIO, TF	28

## VI. Grievance Redress Mechanism

27. 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.

28. 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.

29. The total grievance received during the reporting period is 10,400, of which 99.76% have been satisfactorily resolved. Most of the grievances (96%) 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 June 2018

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 March 2018																
CAR, I, III, IV-A, IV-B, V, VI, VII, VIII, IX, X, XI, XII & Caraga	77,429	95.2	2,717	3.34	1,161	1.42	81,307	100%	77,429	95.2	2,717	3.34	1,161	1.42	81,288	99.9
As of June 30, 2018																
CAR, I, III, IV-A, IV-B, V, VI, VII, VIII, IX, X, XI, XII & Caraga	86,292	95.6	3,342	3.7	640	.71	90,274	100%	86,292	95.6	3,319	3.7	625	.69	90,236	99.9

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

30. The tables below show the top three grievances. KC Process/design/guideline is the outstanding grievance.

### Grievances received and resolved through GRS as of June 2018

Category	As of March 30, 2018								As of June 30, 2018							
	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	360	54.3%	5	50%	0	0%	365	53.9%	910	66.4%	7	38.9%	0	0%	917	66%
SP implementation	149	22.5%	5	50%	3	100%	157	23.3%	197	14.4%	7	38.9%	0	0%	204	14.7%
Community participation	154	23.2%	0	0%	0	0%	154	22.8%	264	19.2%	4	22.2%	0	0%	268	19.3
Total	663	100.0%	10	100.0%	3	100.0%	676	100.0%	2,238	100%	46	100%	18	100%	2,238	100.0%

31. Of the grievances filed during the reporting period, 21 were related to environmental and social safeguards, 19 of which are Type A and 2 are Type B. Specific concerns filed on safeguards issues are land ownership and donation; permits and clearances; occupational health and safety; and sub-project implementation. Further, all of these safeguards-related grievances have been satisfactorily resolved.

	Type A	Type B	Type C	Total
Quarter 1 2017	4	0	0	4
Quarter 2 2017	15	2	0	17
<b>Total</b>	<b>19</b>	<b>2</b>	<b>0</b>	<b>21</b>

## VII. Conclusion

32. Safeguard issues identified during the reporting period are: (i) incorrect encoding of safeguards information in the Program's database; and (ii) delays in the issuance of applicable permits/clearances/certifications from other government agencies.

33. Recommended actions to be completed by Project closing: (i) close coordination with concerned government agencies for the issuance of applicable permits and clearances; (ii) review and updating of safeguards database.

## Annex A: ESMP Facilitator’s Guide and Simplified Template

### Facilitator’s Guide for the Preparation of the Environmental and Social Management Plan (ESMP)

#### What is the Environmental and Social Management Plan?

The Environmental and Social Management Plan (ESMP) is a safeguards instrument/tool that:

- guides the community in identifying potential risks and impacts of the proposed subproject or activity to the people and environment throughout the project cycle (e.g. pre-implementation, implementation and operation and maintenance phases);
- identifies mitigating measures and describes how the mitigation will be implemented to address potential risks and impacts of the proposed subproject or activity;
- identifies the roles and responsibilities of various stakeholders in the implementation of the mitigating measures;
- describes the consultation and information disclosure mechanism of each subproject; and
- promotes and demands accountability and sense of ownership among community members in protecting people and environment.

#### Who are involved in the preparation of the ESMP?

The following are the stakeholders involved in the preparation of the ESMP and their corresponding roles:

Stakeholder	Role/s
Project Preparation Team	Prepares the ESMP and if applicable, the Resettlement Plan and/or Indigenous Peoples Plan
Community Empowerment Facilitator	Facilitates the ESMP workshop
Area Coordinator and Technical Facilitator	Provides technical assistance in accomplishing the ESMP
LGU and MCT Staff	Provides necessary data and technical assistance
Community Members	Provide additional inputs and approve the ESMP

#### When is the ESMP prepared?

The preparation of the ESMP is undertaken during the Project Planning and Development Phase as part of Project Development Workshop (PDW). However, given the limited time during the PDW, conduct of follow through workshops may be necessary to finalize the ESMP.

## How is the preparation of the ESMP undertaken?

The preparation of the ESMP is facilitated through a workshop following the activities described below:

### Prior to the ESMP Workshop

The Area Coordinating Team:

1. Reviews the ESMP template. To the extent possible, the team translates the concepts used in the ESMP into local dialect or popularized terms.
2. Prepares an enlarged version of the ESMP using the translated or popularized terms.
3. Ensures that reference materials to be used during the workshop are available. These include the accomplished Environmental and Social Safeguards Checklist (ESSC), ancestral domain plans, local development plans (e.g. CLUP, CDP), community maps or maps generated during the PSA through PGIS.

### During the ESMP workshop

The Community Empowerment Facilitator, with the assistance of AC or TF:

1. Explains the purpose of the ESMP as a safeguards tool and the importance to assess or find out if the proposed sub-project would have effect on the environment and community (i.e. can provide equal changes to women and men, will include opinions and comments from IPs and would require obtaining land from private owners)
2. Introduces the ESMP template using the enlarged version
3. Defines relevant concepts used in the ESMP template. Definition of Terms is attached as Annex A.
  - Thematic Areas
    - ✓ Gender
    - ✓ Indigenous Peoples
    - ✓ Environment
    - ✓ Land Acquisition, Resettlement and Rehabilitation
  - Phases of the Project Cycle
    - ✓ Pre-Implementation/Pre-Construction Phase
    - ✓ Implementation/Construction Phase
    - ✓ Operations and Maintenance Phase
    - ✓ Abandonment Phase
  - Others
    - ✓ Potential Impacts
    - ✓ Mitigation/Enhancement Measures
    - ✓ Means of Verification
    - ✓ Responsible Person/Group
    - ✓ Time Frame
    - ✓ Cost and Source of Funds
    - ✓ Status of Compliance with Mitigation/Enhancement Measures
4. Ensures that the CVs have clearly understood the concepts
5. Asks the CVs to list down all the activities to be undertaken and corresponding potential impacts for each project phase. The template in identifying potential impacts is attached as Annex B.



6. Transfers potential impacts to the ESMP template and fill out other information needed in consultation with the CVs and other community members. The ESMP template is attached as Annex C.

#### After the ESMP Workshop

1. The CEF submits the accomplished ESMP template to the Area Coordinator.
2. The AC and TF review the ESMP in terms of completeness, correctness and consistency with the ESSC prior to submission to S/RPMO.
3. Where there are sub-projects that involve involuntary resettlement impacts or adverse impacts on indigenous peoples, the AC prepares a municipal resettlement plan and indigenous peoples plan, respectively. The RP/IPP template is attached as Annex D.

#### **Who is responsible for the updating and monitoring of the approved ESMP?**

During the sub-project implementation phase, the Monitoring and Inspection Team (MIT) ensures that the mitigation measures reflected in the ESMP is undertaken as scheduled. In addition, the MIT submits a monthly monitoring report to the BSPMC Chairperson to be presented during BSPMC meetings.

The CEF assists the MIT in preparing the monthly reports simply by filling out the last column of the ESMP template. Likewise, the CEF assists the MIT in preparing the revised ESMP when there are unanticipated (adverse) impacts that will come up during the sub-project implementation.

## Annex A: Definition of Terms

The following terms used in this guide will carry the meanings as described below:

**Abandonment Phase** – the period when the project already ceased to operate and when certain activities such as demolition or disposal of hazardous waste will have potential impact to the surrounding environment

**Compensation** – payment in cash or in kind of the replacement costs of the acquired or affected assets

**Cost** – amount that has to be spent to implement mitigating/enhancement measures

**Enhancement Measures** – activities to maximize subproject's benefits particularly for identified vulnerable groups such as IPs

**Environment** – surrounding air, water (both ground and surface), land, flora, fauna, humans and their interrelations.

**Grievance** – actual or perceived subproject-related problem that gives ground for complaint by a subproject affected person.

**Grievance redress mechanism** – a mechanism to receive and facilitate resolution of affected people's concerns, complaints, and grievances about the subproject's environmental and social performance.

**Implementation/Construction Phase** – the period when project plan/project works are put into action. The phase of a project for physical and infrastructure works.

**Indigenous People** – a group of people or homogenous societies identified by self-ascription and ascription by others, who have continuously lived as organized community on communally bounded and defined territory, and who have, under claims of ownership since time immemorial, occupied, possessed and utilized such territories, sharing common bonds of language, customs, traditions and other distinctive cultural traits, or who have, through resistance to political, social and cultural inroads of colonization, non-indigenous religions and cultures, became historically differentiated from the majority of Filipinos.

**Indigenous Peoples Plan** – consolidated IP sections of the ESMP at the municipal level

**Initial Environmental Examination** – a review of the reasonably foreseeable effects on the environment of a proposed development intervention/activity or subproject to provide information and sufficient analysis regarding the overall environmental effects of the project.

**Involuntary resettlement** – resettlement is involuntary when it occurs without the informed consent of the displaced persons or if they give their consent without having the power to refuse resettlement.

**Land Acquisition** – refers to the process whereby a person or entity is compelled by public agency to alienate all or part of the land a person/entity owns or possesses, to the ownership and possession of the agency for public purpose in return for a consideration.

**Mitigating Measures** – activities or alternative measures to reduce or eliminate negative impacts of the subproject or activity.

**Means of Verification** – proof to determine that mitigating/enhancement measures have been conducted or complied with to address the potential impact (e.g. minutes of the meeting, attendance sheet, photos, etc.)

**Operation and Maintenance Phase** – the period when the project is already completed and being used for its intended purpose.

**Potential Impacts** – likely effects of the proposed subproject or activity to the people and environment

**Subproject Affected Person** – any person who, as a result of the implementation of a project, loses the right to own, use, or otherwise benefit from a built structure, land (residential, agricultural, or pasture), annual or perennial crops and trees, or any other fixed or moveable asset, either in full or in part, permanently or temporarily.

**Pre-Implementation/Pre-Construction Phase** – the period when initial activities for the subproject are undertaken (i.e., cutting of trees, clearing and grubbing)

**Remarks** – additional information on impact or reasons for not being able to conduct the proposed measures

**Replacement cost**— the amount in cash or in kind needed to replace asset in its existing condition, without deduction of transaction costs or for any material salvaged, at prevailing market value, or its nearest equivalent, at the time of compensation payment

**Resettlement** – refers to all ‘measures’ taken to mitigate any and all adverse impacts of the subproject on affected person’s property and/or livelihood including compensation, relocation and rehabilitation (where applicable)

**Resettlement Plan** – consolidated LARR sections of the ESMP at the municipal level

**Responsible Person/Group** – a person or a group of persons in charge of carrying out the necessary measures to reduce or eliminate potential impacts

**Source of Funds** – indicates where the expenses will be charged

**Time Frame** – proposed time or duration for implementing the mitigating/enhancement measures

**Vulnerable groups**— distinct groups of people who might suffer disproportionately or face the risk of being marginalized by the effects of resettlement and specifically include: (i) households headed by women, elderly, or disabled, (ii) households falling under the generally accepted indicator for poverty, (iii) landless households, and (iv) ethnic minorities.

**Annex B: Template for the Identification of Sub-Project Potential Impacts**

Project Phase	Activity (Source of Impact)	Potential Impacts	
		People (Gender, IPs, LARR, OSH)	Environment (Land, Water, Air)
Pre-Implementation/ Pre-Construction	e.g. Mobilization		
Implementation/ Construction			
Operations and Maintenance			

**Annex C: Template**

**Environmental and Social Management Plan (ESMP) and Mitigating Measures  
for Eligible Sub-projects under the KC-NCDDP**

Region: \_\_\_\_\_  
 Province: \_\_\_\_\_  
 Municipality: \_\_\_\_\_  
 Barangay: \_\_\_\_\_

Sub-Project Title: \_\_\_\_\_  
 Sub-Project Total Cost: \_\_\_\_\_ Grant: \_\_\_\_\_ LCC: \_\_\_\_\_  
 Fund Source: \_\_\_\_\_  
 Cycle: \_\_\_\_\_ Modality: \_\_\_\_\_

<b>Categories</b>	<b>Potential Impacts</b>	<b>Mitigation/ Enhancement Measures</b>	<b>Means of Verification</b>	<b>Responsible Person/Group</b>	<b>Time Frame</b>	<b>Cost and Source of Funds</b>	<b>Status of Compliance with Mitigation/ Enhancement Measures<sup>4</sup></b>
<b><i>Pre-Implementation/Pre-Construction Phase</i></b>							
Gender							
Indigenous Peoples							
Land Acquisition							
Environment a. Land b. Water c. Air							
Occupational Safety and Health							
<b><i>Implementation/Construction Phase</i></b>							

<sup>4</sup> This column must be filled out/updated once a month after ESMP approval.

<b>Categories</b>	<b>Potential Impacts</b>	<b>Mitigation/ Enhancement Measures</b>	<b>Means of Verification</b>	<b>Responsible Person/Group</b>	<b>Time Frame</b>	<b>Cost and Source of Funds</b>	<b>Status of Compliance with Mitigation/ Enhancement Measures<sup>4</sup></b>
Gender							
Indigenous Peoples							
Land Acquisition							
Environment a. Land b. Water c. Air							
Occupational Safety and Health							
<b><i>Operations and Maintenance Phase/Abandonment Phase</i></b>							
Gender							
Indigenous Peoples							
Land Acquisition							
Environment a. Land b. Water c. Air							
Occupational Safety and Health							

Prepared by:

\_\_\_\_\_  
**PPT**

Date: \_\_\_\_\_

The LGU OF BRGY. \_\_\_\_\_ is confirming its willingness and commitment to implement and allocate funds for the abovementioned ESMP.

\_\_\_\_\_  
**Barangay Chairperson**

Date: \_\_\_\_\_

Approved and noted by:

\_\_\_\_\_  
**Municipal Mayor**

Date: \_\_\_\_\_

<p>Reviewed and Endorsed to the S/RPMO by:</p> <p>_____</p> <p style="text-align: center;">Area Coordinator</p> <p>Date: _____</p>	<p>Reviewed and Endorsed to the RPMO by:</p> <p>_____</p> <p style="text-align: center;">S/RPMO Head</p> <p>Date: _____</p>
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**Annex E**

**Summary of Consultations Template<sup>5</sup>**

<b>Date of Consultation(s)</b>	<b>Venue(s) of Consultation</b>	<b>Participants</b>	<b>Number of Participants</b>	<b>Topics Discussed</b>	<b>Issues and Questions Raised by Participants</b>	<b>Agreements/Conclusions on Issues and Questions Raised</b>

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<sup>5</sup> Attachment to the RP/IPP

## Annex B: Photodocumentation



**Learning Session on Environmental and Social Safeguards (ESMP Workshop) conducted on May 7-12, 2018 at Linden Suites, Ortigas, Pasig City**





**Field Visit in Municipality of Calatrava, Negros Occidental on 07 June 2018**



**Consultation with affected families on the assistance provided during relocation:  
Barangay Mahilum, Calatrava, Negros Occidental, 07 June 2018**





**Field visit conducted by DENR- EMB R6 at Tapaz Capiz on 17 December 2017**



**Field visit conducted by DENR- EMB R6 at Laua-an Antique on 20 February 2018**





**Billboard with ECC number for Brgy. Katipunan Tapaz Capiz 3.8km Road Subproject located at starting point**



**Billboard with ECC number for Brgy. Katipunan Tapaz Capiz 3.8km Road Subproject located at end point**





**Photo taken during turn-over ceremony of the 3.8km Road subproject**



**Photo taken during Tree Planting conducted on 30 July 2018 at Libertad**





Photos taken during Tree Planting conducted on 30 July 2018 at Katipunan, Tapaz







Barangay Assembly in Tagororoc, Nabas, Aklan





**Tree planting activity conducted by the community initiated by the barangay officials of Tagororoc in compliance to the ECC requirement**



**Photos taken before the community start the tree planting activity**



**Seedlings are delivered from community plant growing yard to the forest and within the vicinity of the water source.**





**DENR community consultation and site validation for ECC**



**Photos taken during the conduct of clearing and water source inspection as part of the regular operation as agreed and stated in the operation and maintenance (O&M) plan.**



## Annex C: Letter from DENR



Republic of the Philippines  
Department of Environment and Natural Resources  
**ENVIRONMENTAL MANAGEMENT BUREAU**

FMB Compound, Parola, Iloilo City  
Telephone No. (033) 300-1135 Fax No. (033) 509-9133  
embr6@yahoo.com  
Visit us at <http://www.r6.emb.gov.ph/>

August 1, 2018

**HON. ROMEL ESPINA**  
Punong Barangay  
Barangay Passi, Igaras, Iloilo

Dear Hon. Espina:


This has reference to your request for cancellation of your application for Environmental Compliance Certificate (ECC) for the project entitled "Improving Agricultural Production through Community-Managed Construction of Small Scale Dam" located at Barangay Passi, Igaras, Province of Iloilo.

Based on MC 2014-05 Revised Guidelines for Coverage Screening and Standardized Requirements, irrigation projects with service area less than 300 hectares is not covered by Philippine Environmental Impact Statement System (PEISS), thus ECC is not required.

In view thereof, this office is formally cancelling your online application for ECC. Moreover, any changes in the project or increase in capacity shall undergo a separate screening procedure.

For your reference and guidance.

Sincerely,

  
**DR. SOPHIE T. MANUEL, CESO V**  
Regional Director