



Department of Social Welfare and Development

KALAH CIDSS-NCDDP

Kapit-Bisig Laban sa Kahirapan

Comprehensive and Integrated Delivery of Social Services

National Community-Driven Development Program



28 April 2015

**MEMORANDUM FROM THE ASSISTANT SECRETARY AND DEPUTY
PROGRAM DIRECTOR FOR OPERATIONS, KC-NCDDP**

TO : REGIONAL DIRECTOR
Regional Offices CAR, I, III, IV-CALABARZON, IV-MIMAROPA, V, VI,
VII, VIII, IX, X, XI, XII, and Caraga

**SUBJECT : REVISING REQUEST FOR FUND RELEASE DOCUMENTARY
REQUIREMENTS FOR THE IMPLEMENTATION OF KC-NCDDP**

RATIONALE:

1.0 In view of the results of the various consultation meetings held with Regional and Sub-Regional Program Management Offices in order to level-off understanding of the required documentary requirements in the processing of the Requests for Fund Release (RFR), among others, the National Program Management Office (NPMO) deem it necessary to issue a revised list, clarify applicability of some documents, and clear which sub-project needs prior review from the NPMO.

DOCUMENTARY REQUIREMENTS:

2.0 The community grants shall be released in three tranches, except for the disaster-affected areas where two tranches are allowed. The Disbursement Voucher (DV) representing Request for Fund Release shall be processed by the respective GASS units of the Regional Office only upon submission of the following supporting documents:

For First Tranche Request for Fund Release (RFR)

1. **Request for Fund Release Slip** printed from the eRFR System and duly approved by the following authorized signatories:

Amount of RFR	Recommending Approval (initials)	Recommending Approval (signature)	Approval
Up to P1M	SRPMT Head, RCDS, RCIS, RFA	Regional Project Coordinator (RPC) or designate in his/her absence	Assistant Regional Director-Operations (ARDO)
More than P1M	SRPMT Head, RCDS, RCIS, RFA	Regional Project Coordinator or designate in his/her absence	Regional Director

2. **Approved Obligation Request;**
3. **Notarized Sub-Project Agreement** signed by the BSPMC Chairperson, the Barangay Chairperson, the Municipal Mayor, and the DSWD RO authorized official;
4. **SP Site/Lot notarized supporting documents:**
 - 4.1 **For Privately-owned Titled Lot**, any of the following documents should be attached, where applicable;
 - a. Notarized Deed of Donation, or;
 - b. Notarized Usufruct Agreement (i.e. Conditional Deed of Donation) that clearly stipulates; (i) the use intended for the subproject, and; (ii) appropriate/applicable duration, in the terms and conditions of the agreement, among others.
 - c. For lots located within Ancestral Domains covered by a Certificate of Ancestral Domain Title (CADT), Certificate of Ancestral Domain Claim (CADC), or Certificate of Ancestral Lands Title (CALT), resolution by the Council of Elders, and the CADT/CADC/CALT representative, stating the consent of the tribe and of the customary holder of the lot within the domain (if applicable), to the use, under a usufruct agreements, of the lot for the subproject.
 - d. For lots in known IP areas but without CADT, CADC, or CALT, a resolution by the Council of Elders and the Barangay Chairperson, stating the consent of the tribe and of the customary holder of the lot within the domain (if applicable), to the use, under a usufruct agreement, of the lot for the subproject.
 - 4.2 **For Non-Titled Lot claimed by private entities**, a Quit Claim issued by the actual occupant/s and holder of a Tax Declaration of the land should be attached.
 - 4.3 **Government and Public Lots**
 - a. For LGU owned lot, Sangunian Panlalawigan/ Bayan/ Barangay resolution (whichever is applicable)
 - b. For lots owned by the Department of Education (DepEd), Certification allowing the use of land by the school superintendent.
 - c. For other lots not covered above, certification from the relevant government agency having jurisdiction over the area in which the lot is located (e.g. DENR, DA, others)

For proposed sub-projects that are to be located within the sites of existing local infrastructure or facilities (i.e., proposed for community repair using KC funding), an MLGU or BLGU certification shall be required, confirming that said site has been in actual use for such purpose for a period time, in lieu of a right-of-way title or deed of donation;

5. MIBF or MF Resolution.

For subprojects implemented through the standard CEAC, the MIBF resolution should reflect the LCC to be provided by the municipal and/or barangay LGU, if these are provided to specific barangays. The MIBF resolution should likewise contain the following provisions: *"The MIBF approves the LCC to be provided by the municipal and/or barangay LGU (whichever is applicable), the exact amounts and delivery schedule of which are reflected in the Program of Works."*;

For sub-projects implemented through the Accelerated Community Empowerment Activity Cycle, a (i) Barangay Assembly Resolution approving the proposal and (ii) Municipal Inter-Agency Committee Technical Review Resolution endorsing the approved subproject proposal shall be attached in case community grant amount from the DSWD per approved proposal is less than the allocated amount per Municipal Forum (MF) Resolution. If final cost of the approved sub-project exceeds the approved allocation during the MF, the community will shoulder the difference either by increasing their own contribution or by accessing additional funds from local government units or other funding sources. Because the MF happens before the Project Development Workshop, there is likelihood that the MF resolution may not specify the exact LCC amount that will be needed and/or provided. If the MLGU and/or the BLGU commits during the MF to provide LCC, the following provision should be reflected in the MF Resolution: *"The MF approves the commitment of the municipal and/or barangay LGU (whichever is applicable) to provide LCC, the exact amounts and delivery schedule of which are reflected in the Program of Works."*;

6. **Program of Works.** The signature of the Barangay Captain in the POW is required to reconfirm the exact LCC amount of the BLGU, if the latter will provide counterpart resources. For the LCC of the MLGU, the MIBF or MF resolution (as applicable) should be sufficient (see above).
7. **Bank Snap Shot or Bank Certification** indicating the community bank account number;
8. **Photographs of the proposed site** (at least three). For water system, a photograph (print and/or digital) of the source, reservoir and pipeline right-of-way; roads, photo covering starting stations projected towards the mid-section or the entire road right-of-way, if possible, and photo projected from the end station towards mid-sections; and
9. **Environmental and Social Safeguards** Checklist, Environmental and Social Management Plan (ESMP), and applicable safeguards instruments, i.e., Indigenous Peoples Plan or IPP (in cases where sub-projects will involve adverse/negative impacts on indigenous peoples), Resettlement Plan or RP (in cases where sub-projects will involve involuntary resettlement impacts), Certificate of Non-Coverage(CNC), Environmental Compliance Certificate (ECC), as applicable.

In addition, for sub-projects types in the examples below, the following documents should likewise be available for RPMO review purposes. These shall no longer be submitted together with the ObR and DV but shall be retained at the RPMO level, under the custody of the Regional Financial Analyst, for subsequent submission to the Commission on Audit:

1. Approved Sub-Project Concept Form;
2. Barangay Council Resolutions 1) authorizing the Punong Barangay and BSPMC Chairperson to enter into a Sub-Project Agreement (SPA) with the MLGU and DSWD, and 2) authorizing the BSPMC Chair, Treasurer, and Area Coordinator to open a checking account with the nearest Land Bank of the Philippines branch;
3. Community Procurement Plan and Schedule of In-kind LCC;
4. Sub-Project Implementation Local Counterpart Contribution Monitoring Report (prepared by the Municipal Financial Analyst);
5. The following Technical Documents, with detailed estimates, as applicable:

For Access Infrastructure community projects (e.g., community access to primary, secondary, municipal and other local roads or local facilities and services; footbridges; and other access infrastructure SPs):

1. Technical Review Checklist;
2. Implementation Work Schedule (Gantt Chart);
3. Bill of Quantities / Quantity Take-Offs;
4. Indirect Cost Breakdown;
5. Municipal LGU Engineer (ME) Certification on the prevailing unit rates for materials and labor;
6. For aggregates that are in-kind local counterpart contribution (LCC), Certification on the Materials Quality/Availability of aggregates from Municipal LGU Engineer, for new or not recognized quarry sites, but which the LGU deems suitable for use in rural infrastructure;
7. Technical Plans and Specifications prepared by either a Service Provider, Technical Facilitator (TF) or ME:
 - a. For Community Access Road Construction/Road Opening
 - Specifications
 - Profile indicating slope percentage and proposed and existing structures (if any)
 - Traverse indicating proposed and existing structures (station defined)
 - Cross section (cut and fill) at 20 meter interval, or as appropriate due to technical considerations, such as, significant changes in slopes or type of vegetation or soil, presence of structures, and others.
 - Schedule of cross / side ditches and canal
 - Road sections where slope protection and cross drainage maybe required
 - Typical and Structural Details
 - Structural / Standard Design for Box Culvert and Bridges
 - b. For Community Access Road Improvement

- Straight line diagram that clearly indicates stationing of works/structures to be done
- Materials and works specifications
- Cross sections and profile of the proposed and existing grade/structures (for the sections affected if any)
- Schedule of cross / side ditches and canal (if any)
- Road sections where slope protection and cross drainage maybe required
- Typical and Structural Details
- Structural / Standard Design for Box Culvert and Bridges (if any)

For Water System Sub-Project:

1. User's/Tariff Computation
 - Hydraulic Study/Analysis prepared by a Service Provider, TF or ME, if level 2
2. Certification from the Municipal Health Office (MHO) on the bacteriological examination of the proposed water source, including appropriate recommendations.

For Community/Social Enterprise, Income Generating, and Human Resource Development Sub-Projects:

1. Proposal with analysis of feasibility and costs and benefits
2. Derivation of agreed user's fees computation (for community enterprise and income generating sub-projects)

For Waste Disposal Sub-Project:

1. Proposal and Feasibility Study
2. Training design for the conduct of solid waste management
3. Applicable Environmental Requirements

For Other Sub-Project Types

For other sub-project types, the minimum documents to be required are the set of core documents enumerated in documentary requirements 1-8 above.

For Second Tranche Request for Fund Release (RFR)

1. Request for Fund Release Slip printed from the eRFR System and duly approved by authorized signatories indicated in the first tranche;
2. Physical Progress Report duly signed by the Project Implementation Team, Technical Facilitator or Municipal Engineering representative and BSPMC Chairperson;
3. Photographs of Sub-Project progress;
4. Copy of application for Annotation of Original Title with the Land Registration Authority (LRA), for privately-owned and titled lots with a notarized Deed of Lot Donation;

5. Status of Sub-project Fund Utilization Report prepared by the Community Bookkeeper, reviewed by the Audit and Inventory Team Head, and approved by the BSPMC Chairperson;
6. Bank Statement/Snapshot with Bank Reconciliation Statement;
7. Notarized Mutual Partnership Agreement (MPA) signed by the Chairperson of the Community Association in charge of operation and maintenance of the facility, the Barangay Chairperson, the Municipal Mayor, and the DSWD Regional Office (RO) authorized official; and
8. Quality certification as applicable, e.g., materials test result, mill certificates, FDT for roads, others.

In addition, for sub-projects types in the examples below, the following documents should likewise be available for RPMO review purposes. These shall no longer be submitted together with the ObR and DV but shall be retained at the RPMO level, under the custody of the Regional Financial Analyst, for subsequent submission to the Commission on Audit:

1. Justification supported by appropriate calculations for variance of more than 15% in physical and financial accomplishment including the minutes of Barangay Assembly Meeting approving the variance;
2. List of Checks Issued prepared by the Treasurer and approved by the BSPMC Chairperson;
3. Local Counterpart Contribution for Sub-project Implementation Monitoring Report (*prepared by the Municipal Financial Analyst*); and
4. Operation and Maintenance Plan signed by O&M Team head and approved by BSPMC Chair.

For Third Tranche Request for Fund Release (RFR)

1. Request for Fund Release Slip printed from the eRFR System and duly approved by authorized signatories as indicated in the first tranche;
2. Status of Sub-project Fund Utilization Report prepared by the Community Bookkeeper, reviewed by the Audit and Inventory Team Head, and approved by the BSPMC Chairperson;
3. Physical Progress Report prepared by the Project Implementation Team head, reviewed by the Technical Facilitator (TF) or Municipal Engineering Office (MEO) representative, and approved by the BSPMC Chair;
4. Bank Statement/Snapshot with Bank Reconciliation Statement;
5. Photographs of Sub-Project progress;
6. Certification indicating the total cost of remaining materials to be procured and total cost of labor and other related expenditures to be incurred to complete the Sub-project, duly signed by the Procurement Team Head, BSPMC Chairperson, and TF;
7. Certification of any pending financial obligations, e.g., unpaid delivered materials, services rendered but not yet paid (wages/ payroll) and other incurred but unpaid related expenditures duly signed by the Treasurer, BSPMC Chairperson, and TF;
8. Joint Inspection Report signed by the BSPMC Chairperson, Barangay Chairperson, TF, Municipal Engineering Office (MEO) representative, Contractor (if contracted)

9. Quality certification as applicable, e.g., materials test result, mill certificates, FDT for roads, others. In case of no applicable quality certificates, the Municipal LGU Engineer shall issue a certification that the implementation of the sub-projects was executed in accordance to sound engineering practice.

If Contingency Cost is requested, the following should be attached to the RFR, whichever is applicable;

1. Justification, which may include certification or Variation Order due to Price Escalation, additive and deductive changes in the Program of Work (POW) or extra works signed by the PIT, TF or ME and approved by the BSPMC Chairperson, and concurred by the AC. The certification should indicate the amount of contingency cost needed to complete the sub-project and that said amount is not part of the committed LCC; and/or
2. Cost Comparison Analysis (i.e. CPP vs Actual) with explanations for variances to be prepared by the Procurement Team, and concurred by TF or ME and MFA.

In addition, for sub-projects types in the examples below, the following documents should likewise be available for RPMO review purposes. These shall no longer be submitted together with the ObR and DV but shall be retained at the RPMO level, under the custody of the Regional Financial Analyst, for subsequent submission to the Commission on Audit:

1. List of Checks Issued, prepared by the Treasurer and approved by the BSPMC Chairperson;
2. Local Counterpart Contribution for Sub-project Implementation Monitoring Report (*prepared by the Municipal Financial Analyst*); and
3. Barangay Assembly resolutions confirming the certifications

For Sub-Projects Needing NPMO Prior Review

All sub-project type presented in the following table requiring highly technical design preparation and execution, using as indicator for this the sub-project grant allocation of P2 Million and above, shall be subject to prior review by the NPMO.

Highly Technical Sub-Project Type	Documentary Requirements to be Submitted
Road opening/construction including pathway with 1.5m width	<ul style="list-style-type: none"> • Program of Works (POW) including detailed estimates, bill of quantities/materials, work schedules in Gantt chart or PERT CPM • Technical plans and specifications <ul style="list-style-type: none"> ○ Vicinity/Site plan ○ Survey works/Plan (horizontal and vertical controls) ○ Profile and Cross-section plan ○ Detailed plans of structures, if any • Applicable social and environmental safeguard clearance

	<ul style="list-style-type: none"> • Community Procurement Plan (CPP)
New construction and improvement of Level 2 piped network water supply system	<ul style="list-style-type: none"> • Program of Works (POW) including detailed estimates, bill of quantities/materials, work schedules in Gantt chart or PERT CPM • Technical plans and specifications <ul style="list-style-type: none"> ○ Vicinity/Site map ○ Survey works (horizontal and vertical controls) ○ Profile and Cross-section plan ○ Detailed plans of structures, if any • Water quality assurance of the water sources, through either of the following: (i) Laboratory Test of the physical and chemical characteristics of the water source, or; (ii) MHO certification on the potability of the water from the identified source, if laboratory testing will be very difficult to undertake at the time of the submission of the RFR. • Hydraulic analysis that clearly show design criteria and procedures, if level 2; • Applicable social and environmental safeguard clearance • Community Procurement Plan (CPP)
Bridges, Reinforced Concrete Box Culverts (RCBC), Spillways, and other waterway structures	<ul style="list-style-type: none"> • Program of Works (POW) including detailed estimates, bill of quantities/materials, work schedules in Gantt chart or PERT CPM • Technical plans and specifications <ul style="list-style-type: none"> ○ Vicinity/Site map ○ Survey works plan, invert elevation, down & up stream profiles (at least 20 meters) ○ Detailed plans of structures & drawings • Applicable social and environmental safeguard clearance • Community Procurement Plan (CPP)
Drainage System	<ul style="list-style-type: none"> • Program of Works (POW) including detailed estimates, bill of quantities/materials, work schedules in Gantt chart or PERT CPM • Technical plans and specifications <ul style="list-style-type: none"> ○ Survey works plan; invert elevation, down & up stream profiles, inflow-outflow ○ Detailed plans of structures & shop drawings • Applicable social and environmental safeguard clearance • Design considerations; influence/catchment area, drainage discharge, others • Community Procurement Plan (CPP)
Environmental protection infrastructure, such as	<ul style="list-style-type: none"> • Program of Works (POW) including detailed

seawall and flood control and flood protection projects	<p>estimates, bill of quantities/materials, work schedules in Gantt chart or PERT CPM</p> <ul style="list-style-type: none"> • Technical plans and specifications <ul style="list-style-type: none"> ○ Vicinity/Site Map ○ Survey works plan; Horizontal/vertical controls, sectional plan every 20 meters or ○ Detailed plans of structures & shop drawings • Applicable social and environmental safeguard clearance • Community Procurement Plan (CPP)
Enterprise development, Agriculture production support facilities (solar driers, warehouse, milling equipment, and other similar projects), Fish landing, Berthing facility, wharf,	<ul style="list-style-type: none"> • Location surveys • Market and economic study • Operation and Management Plan clearly stating the O&M arrangements: Appropriate Organization, Policies/by-laws, Guidelines, user's fee • Program of Works, Technical plans and specifications; design of building/warehouse if applicable; specifications of equipment • Applicable social and environmental safeguard clearance • Community Procurement Plan (CPP)
Other subprojects not classified above e.g. Evacuation Centers including disaster response subprojects	<ul style="list-style-type: none"> • Program of Works (POW) including detailed estimates, bill of quantities/materials, work schedules in Gantt chart or PERT CPM • Technical plans and specifications <ul style="list-style-type: none"> ○ Vicinity/Site map ○ Applicable survey plans ○ Detailed plans of structures; if building - Structural Plans, Architectural Plan, Electrical Plans, Sanitary Plans, cooking area • Applicable social and environmental safeguard clearance • Community Procurement Plan (CPP)
Multiple Sub-projects (SPs) with One RFR within one Barangay	<ul style="list-style-type: none"> • Program of Works (POW) including detailed estimates, bill of quantities/materials, work schedules in Gantt chart or PERT CPM • Technical plans and specifications <ul style="list-style-type: none"> ○ Vicinity/Site map ○ Applicable survey plans ○ Detailed plans of structures; if building - Structural Plans, Architectural Plan, Electrical Plans, Sanitary Plans, • Applicable social and environmental safeguard clearance • Community Procurement Plan (CPP)

EXEMPTIONS:

The following subprojects with standard plans are not required, regardless if the grant requirement exceeds P2M, for prior review by the NPMO:

1. School Buildings, Day Care Centers and Health Stations,
2. Road repair/improvement WITHOUT significant re-grading (>1.5m), re-routing and major structures such as new bridge and large box culvert (3mx3m), and
3. Suspended/Hanging cabled bridge with length of <100m

The RPMO shall transmit to the NPMO the documentary requirements for review. Where the documents submitted for review are complete, containing the correct information, and consistent in substance with the Program principles, policies and requirements, the NPMO shall issue a No Objection Letter (NOL) or a letter on findings from the prior review, within a maximum of five (5) working days from the official or acknowledged receipt of the documents.

II. APPLICABILITY

The same lists of documentary requirements in this Memorandum shall apply to the other KALAH-CIDSS-assisted Projects, such as, KC-MCC, KC-PAMANA, KC-DFAT and JSDF-LVUC, implemented under the umbrella strategy of Community-Driven Development, with the following exceptions:

1. Review and approval of RFRs under KC-MCC, KC-PAMANA, KC-DFAT and JSDF-LVUC are still at the national level. Hence, signatories are national officials following Memorandum Circular 13, series of 2014;
2. For KC-MCC Project:
 - The default servicing bank is still the Development Bank of the Philippines (DBP). Only when there is no DBP near the locality can the community beneficiaries proceed to the Land Bank of the Philippines;
 - LCC Cash per required cost-sharing scheme must still be deposited prior to release of the grant funds; and
 - Procurement forms, such as Planned Community Procurement Packaging (PCPP) and Procurement Action Plan (PAP), shall be based from the MCA-P approved version of the KC Community-Based Procurement Manual.

III. EFFECTIVITY

These guidelines shall be effective immediately.


CAMILO G. GUDMALIN
