

Department of Social Welfare and Development
National Community-Driven Development Program (NCDDP)

Accelerated Community Empowerment Activity Cycle (CEAC) Activity Matrix

Version 12 November 2014

This document is for the guidance and use of members of the Area Coordinating Team (ACT) of the KALAHI CIDSS – National Community Driven Development Program or KC-NCDDP, in the implementation of the Program through the Accelerated Community Empowerment Activity Cycle (CEAC), in target municipalities affected by Typhoon Yolanda. The document describes in detail the stages, activities and activity duration, major steps, activity participants, implementation standards, outputs, and tools needed by the ACT in implementing each activity under each stage of the accelerated CEAC.

The document is divided into four (4) sections, corresponding to each of the four stages of the accelerated CEAC; (i) Social Preparation; (ii) Community Planning and Project Proposal Development; (iii) Community-managed Implementation and Community-based Organization (CBO) formation, and; (iv) Community Monitoring. Each stage in turn is further divided into

sub-sections corresponding to a specific step of the CEAC under the corresponding stage. Each sub-section describes the objective of the step, as well as the projected duration and activity level (i.e. barangay or municipal).

The general description of each step under a specific stage is followed by a matrix with six (6) columns; (i) Major Step, which contains descriptions of the specific activities to be undertaken by the ACT in preparing for, facilitating, and conducting follow-up for the CEAC step; (ii) Participants expected to be involved in the activity; (iii) Standards to be followed in facilitating planning, implementation, and post-activity follow-up for the step; (iv) Key Decisions expected to be made by municipal and barangay stakeholders; (v) the expected Output for the step, and; (vi) the suggested tools, forms, and other instruments which the ACT may use in facilitating the implementation of the CEAC step.

Please note that **THIS IS A DRAFT** of the final Accelerated CEAC Activity Matrix, currently being reviewed by both the World Bank and the Asian Development Bank, for the issuance of final “No Objection”. This document has and is still currently being subjected review, and hence is not guaranteed to be error free. This document is being issued for limited circulation only.

The final version, which may contain additional revisions, shall be issued as soon as official “No Objection” is secured from the KC-NCDDP Development Partners.

**Department of Social Welfare and Development
National Community-Driven Development Program (NCDDP)**

Accelerated Community Empowerment Activity Cycle (CEAC) Activity Matrix

Version 12 November 2014

Stage 1: Social Preparation

1.1 Municipal Orientation (MO)

Objectives:

1. Introduce the NCDDP and the disaster response operations procedures in the context of addressing needs for early recovery and rehabilitation in affected barangays.
2. Discuss the disaster impact and municipal budget allocation and agree on pre-set criteria to be used for identifying the most affected barangays.
3. Formalize the engagement through the Memorandum of Agreement (MOA).
4. Agree on the next steps for entry to the barangay.

Activity level: Municipal

Duration: 1 day

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>1. In preparation for the Municipal Orientation</p> <p>1.1 The Regional Project Management Office (RPMO) gathers data on (i) Damage Assessment and Needs Analysis (DANA); (ii) matrix of Local Government Unit (LGU) and National Government Agency (NGA) Programs, Projects, and Activities (PPA) to address early recovery and rehabilitation needs; (iii) geohazard maps, and; (iv) other relevant information.</p> <p>1.2 Copy of the DANA, matrix of LGU-NGA PPAs, and hazard maps are provided to the Area Coordinating Teams (ACTs).</p> <p>1.3 The ACT, accompanied by Regional Project Management Office (RPMO) and/or the Sub-regional Project Management Office (SRPMO) staff, meets with the Mayor and Municipal Local Government Unit (MLGU) staff prior to the orientation, to plan for the MO.</p> <p>1.4 The AC ensures the resolutions and other enrollment documents are complete.</p>	<ul style="list-style-type: none"> • Municipal Mayor • Sangguniang Bayan (SB) members • LGU department heads and relevant staff • Barangay Captains and their Councillors • NGA representatives • Civil Society Organization (CSO) representatives, including non-government 	<ul style="list-style-type: none"> • Only RPMO representatives deliver the orientation. ACTs are in charge with preparation activities. • The Mayor is present and convenes the meeting. • The Vice-mayor, as head of the SB, and the SB chairpersons for social welfare and appropriations attend the meeting. • CSO representatives to the MDRRMC, Municipal Development Council (MDC) and/or the Local Poverty Reduction Action Team (LPRAT) are present. 	<ol style="list-style-type: none"> 1. LGU gives formal authority for barangay roll-out. 2. The municipal Mayor agrees that MLGU programs, plans, activities, and budgets to address early recovery and rehabilitation will be reviewed and (i) NGA PPAs will be aligned with local needs, 	<ol style="list-style-type: none"> 1. Municipal MOA on NCDDP is signed. 2. Criteria for selection of the most affected barangays are shared and discussed with the municipality. . 3. Agreement is reached to convene consultation meeting to gather, consolidate, and update the DANA, prioritize barangays for support, and prepare matrix of early recovery and rehabilitation needs which have been 	<ul style="list-style-type: none"> • Activity Checklist • DANA • Matrix of NGA PPAs • Geohazard Maps from the MLGU • MOA template • Resolution template • Activity Report Form • Attendance Sheets • Standard agenda, presentations, activity program and

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>2. In the actual Municipal Orientation</p> <p>2.1 The RPMO and/or SRPMO present and discuss an overview of the NCDDP, key features of the KC-NCDDP Disaster Response Operations Procedures (DROM), the Accelerated Community Empowerment Activity Cycle (CEAC), the Program's Environmental and Social Safeguards Policies, and the transition from the Accelerated to the Standard CEAC, and the progression towards LGU-facilitated implementation, in multi-cycle municipalities..</p> <p>2.2 Reactions, questions, and recommendations of participants are solicited and addressed by the RPMO/SRPMO and the MLGU.</p> <p>2.3 The role of DSWD is explained, and the ACT is introduced.</p> <p>2.4 The Mayor acknowledges the ACT, and expresses commitment to support the Program in behalf of the municipality.</p> <p>2.5 The Memorandum of Agreement (MOA) is formally signed (if not done prior to the meeting).</p> <p>2.6 Resolutions on the following are passed (i) Convening a consultation meeting on disaster impact and barangay ranking and allocation, and; (ii) Forming (in new areas) or Reactivating (in old areas) the Municipal Inter-Agency Committee¹ (MIAC), and the Municipal Coordinating Team (MCT²);</p> <p>2.7 The Grievance Redress System (GRS) is explained, and a resolution forming a municipal grievance committee composed of representatives of barangay grievance committees, is passed.</p> <p>2.8 The meeting is closed.</p> <p>3. After the MO:</p> <p>3.1 Community Empowerment Facilitators (CEFs) meet with the chairpersons of their assigned barangays to schedule field visits and consultations in preparation for the community assembly.</p> <p>3.2 The AC gathers the resolutions and files the same at the ACT office.</p>	<p>organizations (NGO) and community-based organizations (CBO) and peoples' organizations (PO).</p> <ul style="list-style-type: none"> • Municipal Inter-Agency Committee (MIAC), the Municipal Disaster Risk Reduction Management Council (MDRRMC) members, and a representative of the National Commission on Indigenous People (NCIP) and leaders of the Indigenous Peoples (IP) communities, if the municipality covers, either in whole or in part, a known ancestral domain. • In old Kalahi CIDSS (KC) areas, Barangay Representation Team (BRT) community volunteers (CV), Barangay Sub-project Management Committee (BSPMC) 	<ul style="list-style-type: none"> • Vulnerable groups (women, Indigenous People (IP), communities in geographically isolated and depressed areas (GIDA), Pantawid Pamilya households (HH), and Conflict-Affected Areas (CAAs) are represented. Where present, IP groups must be represented by tribal leaders, freely chosen by the IPs themselves using customary practices. • The following criteria in selecting the most affected barangays for NCDDP support are discussed as part of the overview of the NCDDP; (i) population of the barangay; (ii) poverty incidence, and; (iii) damage-affected HHs. • Reactions to the presentation on the NCDDP are solicited, questions are adequately answered, recommendations discussed and agreed, and proceedings documented. • Where needed, separate meetings are conducted for women and other vulnerable groups to solicit reactions, questions, and recommendations. • In municipalities which cover, either in whole or in part, a known ancestral domain (whether titled or claimed), separate consultations are likewise conducted with all IP tribes, in 	<p>and; (ii) subjected to validation by the community.</p>	<p>met, have commitments for support, and have currently been unmet, for consultation with communities.</p> <p>4. Resolution is passed (i) forming the MLAC (in new areas), and identifying and designating its members, and; (ii) Forming the MCT (in new areas) and designating its members.</p>	<p>materials.</p>

¹ The members of the MIAC include the Mayor (as convener), the Municipal Planning and Development Officer (MPDO), the Municipal Social Work and Development Officer (MSWDO), the Municipal Local Government Operations Officer (MLGOO), the Municipal Health Officer (MHO), the Municipal Agriculture Officer (MAO), the Municipal Budget Officer, the Municipal Disaster Risk Reduction and Management Officer (MDRRMO) and the heads of the other departments of the MLGU.

² The Municipal Coordinating Team (MCT) is the unit of the municipal local government unit formed to serve as the municipal counterpart to the NCDD Area Coordinating Team (ACT). The MCT is composed of a Municipal Area Coordinator (MAC), a Municipal Deputy Area Coordinator (MDAC) who is an engineer from the municipal engineering office, a Municipal Roving Bookkeeper (MRB), and Municipal Community Facilitators (MCF).

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
	chairpersons, and Operation and Maintenance (O&M) group chairpersons • Project team: Regional Director (RD) Regional Project Manager (RPM) Regional Project Management Team (RPMT) Area Coordinator (AC) Community Empowerment Facilitator (CEF) Technical Facilitator (TF) Municipal Finance Analyst (MFA)	coordination with the NCIP, and proceedings documented. • Activity Reports and other documents are submitted by the ACT to the SRPMO within 7 days after the activity.			

NOTES:

1.2 Consultation meeting on disaster impact and barangay ranking and allocation

Objectives:

1. Discuss details of DANA for early recovery and rehabilitation, resource commitments from NGAs, IOs, and other groups.
2. Decide on use of NCDDP grants to address needs based on prescribed criteria, for consultation with communities.
3. Plan for the conduct of community consultations

Activity level: Municipal

Duration: 1 to 2 days

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>In preparation for the consultation meeting:</p> <p>1.1 Prior to the meeting, the Area Coordinator (AC) meets with the chairperson of the MDRRMC to (i) review available data and materials on early recovery and rehabilitation needs and plans, and; (ii) plan for the conduct of the meeting.</p> <p>1.2 CEF collect information on assistance provided to barangays by the LGU, NGAs, IOs, and other groups.</p> <p>1.3 The ACT conducts a dry-run/role-play and simulation of the whole activity.</p> <p>2. In the actual Consultation Meeting</p> <p>2.1 At the start of the meeting, the MDRRMC chairperson presents the results of the DANA and the matrix of LGU and NGA PPA commitments to address early recovery needs (this is prepared by the ACT as part of the preparatory activities for the MO).</p> <p>2.2 The AC guides participants in preparing a per barangay breakdown of the matrix showing (i) summary of damages from the DANA, and; (ii) LGU and NGA resource commitments to address needs, and; (iii) remaining unmet needs.</p> <p>2.3 In cases where DANA reports are not available or are inadequate, the AC facilitates discussion and consensus among the participants on the ranking of the barangays based on the number of total HHs directly affected by the disaster, using the following criteria: (i) no. of HHs with damaged houses; (ii) no. of HHs who have lost livestock or crops, and; (iii) other criteria agreed by the participants themselves and reviewed/validated by the RPMO team to ensure consistency with the DROM principles and allocation guidelines outlined in 2.5 and 2.6 below..</p>	<ul style="list-style-type: none"> • The Mayor • The Vice-Mayor as Chair of the Sangguiang Bayan • Members of the MDRRMC • MIAC • MCT • Municipal Gender and Development (GAD) Focal Person • Representatives of CSOs. • Barangay Chairpersons • In old KC areas, Participatory Situation Analysis (PSA), or Barangay Representation Teams (BRT) CVs. • A National Commission on Indigenous People (NCIP) and/or IP representative, if the Municipality covers or is covered by a known 	<ul style="list-style-type: none"> • The ACT facilitates the meeting. • Gender-dimensions of early recovery and rehabilitation are discussed, such as (i) ensuring availability of gender disaggregated data; (ii) determining unique difficulties encountered by women, and; (iii) specific activities to ensure women's views are captured in the early recovery and rehabilitation planning process, among others. • Decisions on the ranking and allocation of barangays are reflective of the NCDDP bias for neediest and poorest areas, following the criteria. • Should variations in the criteria occur, the municipality should request for prior approval from the RPMO, with full justification (documented). • The Mayor or his representative convenes the meeting. • Presence of vulnerable groups, particularly IPs, CAAs, and GIDAs is discussed and factored into all decisions covering ranking and grouping of barangays, and assignment of block grants. • In old areas, damage to CDD investments is likewise discussed and 	<ol style="list-style-type: none"> 1. Different amounts of grants are assigned to barangays based on severity of damage and poverty. 2. Higher block grants are assigned to severely affected areas with IPs and IDPs. 	<ol style="list-style-type: none"> 1. Matrix of damages and LGU-NGA PPAs and funding/support commitments per barangay is prepared. 2. Agreement is reached on the criteria for ranking barangays. 3. Amount of grants per category is agreed. 4. Validation teams are formed. 5. Community validation plan is prepared. 	<ul style="list-style-type: none"> • Activity Checklist; • Matrix of DANA needs and Proposed NGA projects; • Template Resolution on barangay ranking and grouping by category, and corresponding amount of barangay block grants. • Community Validation Plan Template • Activity Report Form • Attendance Sheets

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>2.4 The barangays are then ranked by degree of affectation, using the following criteria³; (i) population of the barangay (using the results of the 2010 census – 20% (ii) poverty incidence (to be generated from the DSWD National Household Targeting System for Poverty Reduction (NHTS-PR) – 30%, and; (iii) damage-affected HHs – 50%. Before finalizing the ranking, scores are reviewed and additional points provided to barangays (i) with IP populations affected by the disaster, and; (ii) hosting Internally Displaced Persons (IDP) from other barangays, subject to agreement by the consultation participants.</p> <p>2.5 Ranking is also adjusted based on the support already received by the barangay to address needs.</p> <p>2.6 Once the barangay ranking by degree of affectation is agreed (step 2.4), grants are then allocated to affected barangays in the following ways⁴, subject to discussion and agreement by the participants in the consultation;</p> <p>a. Straight allocation based on ranked scores, using the formula (Barangay Grant = ranked score x Municipal Grant Allocation). This is particularly applicable for small or average barangays where most if not all of the barangays are affected by the disaster;</p> <p>b. Representatives to the consultation meeting decide not to include barangays that have minimal or no damages, in the allocation of grants. This is particularly useful for (i) municipalities with large number of barangays, where the municipal grant allocation has reached the ceiling amount, and where a straight ranking process (as described in “a” above, will result to very low grant allocations that will not be enough to address needs, and where; (ii) a number of barangays were not affected by damage.</p> <p>c. Representatives to the consultation meeting decide to re-allocate grants from barangays with minimal or no damage, to barangays with severe damage, based on additional identified needs, subject to review and approval by the RPMO.</p>	<p>Ancestral Domain (AD), either in part or in whole.</p> <ul style="list-style-type: none"> • Project Team: <ul style="list-style-type: none"> Area Coordinator (AC) Community Empowerment Facilitator (CEF; Technical Facilitator (TF) Municipal Finance Analyst (MFA) SRPMO RPMO 	<p>factored into all decisions covering ranking and grouping of barangays, and assignment of block grants.</p> <ul style="list-style-type: none"> • Validation teams formed include a mix of ACT, MLGU, NGA, and CSO members. (i) Gender balance in validation team composition is ensured. (ii) Validation team includes BRT representatives in old KC municipalities. • Activity reports and other documents are submitted seven (7) days after the activity. 			

³ The formula is provided as annex A.

⁴ Additional guidance on clearances by the RPMO will be issued by the NPMO by end of November 2014.

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>2.7 Once the grant allocation is agreed, the AC facilitates discussion on validation of DANA data during the community consultations, and validation teams are formed composed of members of the Area Coordinating Team (ACT), the Municipal Coordinating Team (MCT), and the MDRRMC and MIAC members. Planning is undertaken for the community consultation.</p> <p>2.8 The AC then facilitates discussion on potential technical assistance needs (TA), rationalizing technical assistance provision from and by various agencies, and augmentation of TA support (e.g. engineers, livelihood development officers, etc.) to LGUs, to support planning, development, and implementation of activities to address community-identified priority needs. (inserted 13 August 2014)</p> <p>2.8 Participants pass a resolution affirming all agreements made.</p> <p>3. After the consultation meeting</p> <p>3.1 CEFs meet with their municipal counterparts and assigned validation team members to finalize plans and schedules for the community validation activities.</p> <p>3.2 Materials, tools, and visual aids to be used in the community validation are prepared together with the validation team.</p>					

NOTES:

1.3 Community consultation (1st Barangay Assembly (BA))

Objectives:

1. Introduce the NCDDP and the disaster response operations procedures in the context of addressing needs for early recovery and rehabilitation in the barangays.
2. Generate priority list of unaddressed needs, for support by NCDDP.

Activity level: Barangay

Duration: 2 weeks

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>1. In preparation for the assembly</p> <p>1.1 Prior to the meeting, the Community Empowerment Facilitator (CEF) (i) familiarizes him/herself on the situation in the barangay by reviewing available secondary data, conducting field visits, and key informant interviews.</p> <p>1.2 The CEF meets with the Barangay Chairperson and the validation team to plan for the consultation, and mobilizes the BLGU in ensuring attendance and participation of HHs.</p> <p>2. During the actual assembly</p> <p>2.1 The meeting is opened by the Barangay Chairperson, and the CEF is introduced.</p> <p>2.2 The CEF assisted by his/her MCT counterpart and other members of the Validation Team, present and discusses an overview of the NCDDP, and the disaster response operations procedures.</p> <p>2.3 The CEF then presents the DANA data on the barangay, from the previous consultation meeting (accelerated CEAC step 1.2). In cases where the DANA data is inadequate or not available, the CEF facilitates discussion on damages; focusing on (i) no. of HHs with damaged houses resulting from the disaster, and; (ii) no. of HHs who have lost livestock, crops, and other livelihood and income-generating assets (ie. fishing boats, nets, and other similar assets).</p> <p>2.4 Reactions, questions, and recommendations of participants are solicited and addressed by the CEF, his/her municipal counterpart, and the validation team.</p> <p>2.5 The CEF then facilitates discussion on criteria, and criteria-based identification and ranking of problems and early recovery and rehabilitation needs. Examples of criteria include (i) urgency; (ii) the number of HHs (including HHs from vulnerable groups such as IPs, CAAs, and GIDAs) who are directly affected by the problem or need, or who will immediately benefit if the need is addressed, and/or; (iii) .risk/imminent danger to affected HHs (including special emphasis on vulnerable populations such as IPs, women, etc.) if the need remains unaddressed.</p> <p>2.6 The validation team then presents the matrix of LGU-NGA PPA support</p>	<ul style="list-style-type: none"> • Barangay Chairperson • Sangguniang Barangay members • Validation Team (formed from step 2) • Community residents • In old KC areas, PSA or BRT volunteers • An NCIP representative and/or IP tribal leader, if the barangay covers or is covered by a known Ancestral Domain, either in part or in whole. • Project Team: CEF 	<ul style="list-style-type: none"> • The CEF prepares key questions to focus discussions on critical issues affecting solutions (i.e. "Are there specific affected groups or areas which have not received assistance, or for which no commitments have been made?"; "Are you (the community members) aware of these project commitments from NGAs?") prior to the consultation. This is informed by ocular visits, key informant interviews, and integration by the CEF with community members (cross sectoral) prior to the meeting. • The CEF together with his/her municipal counterpart conduct dry-run/simulation and role-play prior to the meeting to identify potential issues and concerns, and refine the meeting facilitation plan. • The assembly is chaired by the Barangay Chairperson. • The CEF facilitates the meeting. • The CEF ensures that the discussion tackles problems and needs FIRST, before solutions and projects. • In tackling solutions, the CEF ensures that problems are FIRST matched with solutions (projects) in the LGU-NGA matrix of PPAs, before new solutions and projects are identified. 	<ol style="list-style-type: none"> 1. Community validates damages and needs described in the DANA. 2. Benefits to vulnerable groups are a key consideration in the ranking of unaddressed needs, and in the identification of possible projects to address these needs. 	<ol style="list-style-type: none"> 1. Criteria for prioritizing unmet early recovery and rehabilitation needs (e.g. based on proportion of HHs affected over total population, number of unmet needs, and other criteria), and proposed solutions/projects (e.g. based on proportion of HHs who will benefit, potential adverse impact on vulnerable populations and groups, and other criteria) agreed. 2. Prioritized list of problems, needs, and project ideas using the criteria, and the matrix as basis for decision making, concurred. 3. BRT and PPT members are selected based on agreed criteria, including affirmative action criteria on women and marginalized groups, citizens other than elected public officials, etc. 	<ul style="list-style-type: none"> • Activity Checklist; • Template LGU-NGA Matrix of PPAs • Template BA Resolution on Priority Problems and Needs and BRT and PPT representatives; • CV Profile Form • Activity Report Form • Attendance Sheets

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>commitments for the barangay (output of the previous consultation meeting) from all sources, resulting from the consultation meeting on disaster impact and barangay ranking.</p> <p>2.7 The CEF then facilitates cross-matching of problems and needs, with the LGU-NGA PPAs and resource support commitments.</p> <p>2.8 Remaining problems and needs not addressed by any activity in the LGU-NGA PPA matrix is identified and ranked using criteria defined by the community. Sample criteria in item 2.4 above may also be used.</p> <p>2.9 The CEF then facilitates discussion and agreement on the top three (3) needs to be proposed for NCDDP. Remaining needs can be proposed to other NGAs and/or the municipal LGU for support.</p> <p>2.10 The CEF then facilitates discussion on the community projects that may be implemented to address the top needs identified, using the negative list (annex B), with exemptions, and the barangay grant allocation is presented.</p> <p>2.11 The CEF then informs the community of available Technical Assistance Funds (TAF) that may be used to engage service providers to assist the community in preparing technical documents and proposals.</p> <p>2.12 The need to elect CVs for the Barangay Representation Teams (BRT) and Project Preparation Teams (PPT) is discussed, criteria to be used for electing CVs are agreed, and election of BRT and PPT members is conducted.</p> <p>2.13 The GRS is explained, and the barangay grievance committee is formed.</p> <p>2.14 Resolution is passed on the key agreements on (i) the ranked list of priority needs and projects, and; (ii) the elected members of the BRT and PPT.</p> <p>2.15 The CEF facilitates short reflection on the proceedings.</p> <p>2.16 The meeting is adjourned.</p> <p>3. Post activity follow-through</p> <p>3.1 CEF and his/her municipal counterpart meet with BRTs and PPTs, and prepare them for the municipal forum and succeeding activities.</p> <p>3.2 BRTs and PPTs gather additional information on proposed projects.</p> <p>3.3 AC inform the SRPMO and RPMO of projected Technical Assistance (TA) and technical staff augmentation needs based on project ideas being proposed by communities.</p>		<ul style="list-style-type: none"> • The CEF ensure that problems and solutions are described (i.e. how a problem affects the life of HHs, and/or how a particular solution will benefit affected HHs), and not just listed/enumerated. • In discussing use of grants, the CF ensures that grants are allocated FIRST for solutions to address existing unaddressed needs, BEFORE solutions aimed to mitigate foreseen future problems. • 80% of total HHs living in the barangay at the time of the activity attends the meeting. • Vulnerable groups (women, IP, communities in GIDAs, Pantawid Pamilya HHs, and CAAs are adequately represented. • Reactions to the presentation on the NCDDP are solicited, questions are adequately answered, and recommendations discussed. • Where needed, separate meetings are conducted, with documentation, for vulnerable groups (women and IPs) to solicit reactions, questions, and recommendations, including on potential adverse impact of proposed solutions to affected (and vulnerable) populations and groups, and suggested mitigation measures. • Two (2) CVs who are not elected public officials are selected to join the Barangay Chairperson in the BRT, one of which shall be further designated as the BRT head (the BLGU chairperson is prohibited from heading the BRT). • Three (3) CVs who are not elected 			

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
		<p>public officials are selected to compose the PPT.</p> <ul style="list-style-type: none"> • Gender balance is observed in the selection of CVs. • Where IPs is present, an IP CV is selected, using customary practices of the IP group concerned, to join the BRT and the PPT. • Reflection follows the Observation-Reflection-Internalization-Decision (ORID) format of (i) evoking observations, including feelings, of participants on the proceedings, the process of how decisions are made, and the decisions themselves; (ii) soliciting reflections and insights out of what was observed/felt during the proceedings; (iii) exploring (internalization) relevance of the insights and reflections to the day-to-day life of the community, including how new insights and lessons will effect constructive change in the community and; (iv) generating resolve to (decisions) undertake action and next steps. • Activity reports and other documents are submitted within seven (7) days after the activity. 			

Stage 2: Community Planning and Project Proposal Development

2.1 Municipal Forum

Objectives:

1. Discuss and confirm prioritized recovery and rehabilitation problems and needs of all barangays.
2. Discuss deviations, if any, in barangay block grant allocations, and agree on alternative allocations schemes (e.g. additional support for areas with IP, or other highly vulnerable populations).
3. Discuss and agree on joint, inter-barangay projects to address common needs affecting different barangays.
4. Agree on project proposal preparation and approval procedures.

Activity level: Municipal

Duration: 1 day

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>1. In preparation for the municipal forum</p> <p>1.1 The ACT consolidates the problems and needs, NGA PPA commitments, and proposed projects for the NCDDP (resulting from the community consultation BAs), in a municipal map.</p> <p>1.2 The AC meets with the MPDO and other members of the MDRRMC to discuss the consolidated results of the community consultations, and conduct a dry-run/simulation of the municipal orientation. The facilitation plan for the activity is adjusted as needed.</p> <p>2. During the actual Municipal Forum</p> <p>2.1 The Forum is opened by the Mayor, and the AC is introduced as the facilitator.</p> <p>2.2 The MPDO, MDRRMC chair, or a designated representative presents the criteria, and the ranking of barangays based on the results of the consultation meeting on barangay ranking.</p> <p>2.3 The AC then presents the results of the DANA validation during the 1st Barangay Assemblies.</p> <p>2.4 The AC then presents the amount of grants for each barangay, and facilitates discussion and agreement among the BRTs on changes in the allocation resulting from the validation in the 1st BAs (i.e. shifting resources from less affected barangays with most or all needs addressed, to barangays with greater unaddressed needs, for which existing allocations will be insufficient).</p> <p>2.5 The MPDO presents a consolidated map of the municipality showing (i)</p>	<ul style="list-style-type: none"> • Municipal Mayor • SB members • LGU department heads and relevant staff (the MIAC) • BRT and PPT volunteers • NGA representatives • CSO representatives, including NGOs and CBOs/POs • NCIP representative and IP tribal leader, if IPs are present in the municipality. • Project Team: AC CEF TF MFA SRPMO RPMO 	<ul style="list-style-type: none"> • Barangay Participants for this activity (BRT) are selected during the community consultations under the social preparation stage. • Reactions to the presentations are solicited, questions are adequately answered, and recommendations discussed. • Discussions around problems, needs, and project solutions, most especially common solutions to common needs, should consider the following: (i) priority to projects that will address existing unaddressed needs, before considering projects around mitigation to address future disasters; (ii) connectivity or linkages of similar or related projects (i.e. roads and schools, seawalls, mangrove reforestation, etc.); (iii) avoiding duplication and contradiction with other NGA, LGU, and other development partners; (iv) address possible conflict with other Disaster Risk Reduction and 	<ol style="list-style-type: none"> 1. Different levels of grant allocation based depending on severity of impact to vulnerable populations are agreed. 2. Joint projects between two or more barangays are agreed. 3. Projects with multiple components within one barangay are allowed, provided (i) the components are linked to the over-all objective of the project, and; (ii) total cost 	<ol style="list-style-type: none"> 1. Municipal Forum resolution on barangay grants allocation and all key decisions made in the forum, signed by the BRTs, and concurred by the Mayor and the AC. 	<ul style="list-style-type: none"> • Activity Checklist; • Template municipal forum Resolution • TAF RFR fill-up forms • Activity Report Form • Attendance Sheets;

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>validated needs; (ii) agency PPA commitments, and; (iii) proposed projects for KC-NCDDP grant support, from each barangay, including potential risks and possible adverse impact to community members, especially to vulnerable groups.</p> <p>2.6 The negative list (with exemptions) is presented, and proposed PPAs are screened against the list of prohibited and allowed activities.</p> <p>2.7 AC facilitates discussion among BRTs of adjoining barangays on possibility of undertaking joint projects to address common priority needs.</p> <p>2.8 The process, activities, standards (including safeguards standards and requirements), and mechanics for preparing and clearing detailed proposals is explained, and the requirements for release of funds, and the general timeline for implementation are presented, discussed, and agreed.</p> <p>2.9 The Technical Assistance Fund (TAF) is explained by the TF. The AC facilitates discussion and agreement on (i) which barangays (or group of barangays) will be availing of the TAF, and; (ii) the type of technical assistance (TA) needed.</p> <p>2.10 Municipal Forum resolution is passed indicating (i) the barangays or group of barangays proposing projects; (ii) the title of the projects proposed; (iii) the indicative amount of grant proposed for the project, based on the grant allocations for each barangay, either singly or as aggregated in cases of joint, inter-barangay projects, and; (iv) the process, rules, and mechanism for final review and clearing of detailed proposals.</p> <p>2.11 The schedule and arrangements for the Project Development Workshop (PDW) is announced.</p> <p>2.12 The AC facilitates short reflection on the proceedings.</p> <p>2.13 The meeting is adjourned.</p> <p>3. After the municipal forum</p> <p>3.1 The AC meets with the MPDO and MLGOO to prepare consolidated LGU-NGA matrix of PPAs to address early recovery and rehabilitation needs.</p> <p>3.2 The AC meets with the Mayor and the Vice-Mayor, to plan for endorsing the consolidated matrix to the Sanggunian for inclusion into the municipal development plan.</p> <p>3.3 The CEFs meet with the BRTs of barangays or group of barangays to plan for preparing the proposals and RFRs to access TAFs.</p> <p>3.4 The AC meets with the ACT and MCT, and the MIAC to plan for the conduct of the Project Development Workshop, and prepare for project proposal development activities.</p>		<p>Management (DRRM) policies and legal standards (i.e. no build zones, hazard areas); (v) feasibility of innovative ideas, and technical assistance requirements to support implementation of innovative projects, and; (vi) potential adverse impact (i.e. involuntary resettlement and land acquisition, the environment, and adverse impact on IP groups and communities) and mitigation measures.</p> <ul style="list-style-type: none"> • Environmental, Land Acquisition, Resettlement, and Rehabilitation (LARR), and IP participation safeguard risks re identified, and recommendations to address and mitigate risks are discussed. • Proposed subproject which are assessed to potentially produce significant involuntary resettlement impact (ie. (i) being physically displaced from housing, or (ii) losing 10% of more of their productive, income-generating assets) affecting 200 or more persons, are deemed high risk. • Where an IP community covers more than one barangay, or where there are different tribes in the barangay, consider separate meetings of IP leaders. • Reflection follows the ORID format of (i) evoking observations, including feelings, of participants on the proceedings, the process of how decisions are made, and the decisions themselves; (ii) soliciting reflections and insights out of what was observed/felt during the proceedings; (iii) exploring (internalization) relevance of the insights and reflections to the day-to-day life of the community, including 	<p>stays within the grant allocation for the barangay.</p> <p>4. Proposed projects considered high risk are dropped.</p> <p>5. MIAC is assigned to undertake final proposal review for (i) completeness of requirements; (ii) correctness of technical details and cost estimates, and; (iii) consistency with needs and objectives, and endorse proposals to NCDDP for grants release.</p>		

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
		<p>how new insights and lessons will effect constructive change in the community and; (iv) generating resolve to (decisions) undertake action and next steps.</p> <ul style="list-style-type: none"> • The AC works in close coordination and partnership with the MLGOO and the MPDC in groundworking MIAC members for follow-through activities. • TAF service providers mobilized by the RPMO and SRPMO attend the forum. Activity reports and other documents are submitted seven (7) days after the forum. 			

NOTES:

2.2 Project Proposal Development (PDW)

Objectives:

1. Prepare detailed proposals for priority subprojects to address identified unmet early recovery and rehabilitation needs, for barangay assembly approval and submission to RPMO.

Activity level: Municipal and Barangay

Duration: 2 weeks to 2 months

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>1. In preparation for project proposal development</p> <p>1.1 AC meets with the RPMO and/or the SRPMO to (i) coordinate on the activities, flow, process, methodologies, date, and venue of the PDW; (ii) ensure adequate technical staff support will be available, based on the consolidated TA and staff support augmentation needs from the community consultations/BA; (iii) funds and other logistical requirements are available and on hand.</p> <p>1.2 AC meets with the MLGU MIAC and other NGA partners to do groundwork for technical support provision during the PDW.</p> <p>1.3 The AC and the TF meet with BRT-procured TA Providers and orient them on the PDW and their expected roles and tasks in the workshop.</p> <p>1.4 CEFs meet with their respective PPTs to ensure data to be used during the PDW are on hand.</p> <p>2. Actual Project Development Activities</p> <p>2.1 Inter-barangay Project Development Workshop (PDW) is conducted. At the workshop;</p> <p>2.1.1 The ACT give an overview of the proposal development process, the environmental and social safeguards guidelines and requirements, and the documentary requirements for the Request for Fund Release (RFR).</p> <p>2.1.2 Barangays are grouped together by type of proposed project (e.g. type 1: vertical structures; type 2: access infrastructure; type 3: water and sanitation projects; type 4: common service facilities and livelihood support projects, and; type 5: other projects not falling within the four previous categories).</p> <p>2.1.3 The ACT, together with TAF service providers, conduct workshops and assist PPTs in preparing project concepts with indicative costs.</p> <p>2.1.4 The MIAC review the project concepts, discuss requirements and support commitments for Operation and Maintenance (O&M), and provide inputs and guidance in preparing the final proposal.</p> <p>2.1.5 The ACT and TAF service providers assist PPTs prepare action plan to</p>	<ul style="list-style-type: none"> • BRT and PPT • MCTs • MIAC • Other NGAs • International Organization (IO) representatives • Technical Assistance (TA) providers, accessed using the TAF <ul style="list-style-type: none"> • Project Team: AC CEF TF MFA SRPMO RPMO 	<ul style="list-style-type: none"> • TAF service providers are engaged following the TAF guidelines. • Additional technical support from the LGU (MIAC) and the RPMO are mobilized to assist in the workshop, and in the preparation of the proposals, technical plans, cost estimates, and other RFR documents. • The AC, together with the MAC, facilitates the PDW. • ACT and MCT staff facilitates the small workshops (2.1.2 and 2.1.3 of the activities). • ACT, MLGU, NGA, and IO engineers and technical staff provide technical inputs and guidance to the PPTs during the workshop and breakout sessions. • CV members of the PPT are not elected public officials. • Gender balance in PPT composition is observed. • If in an IP area, the PPT includes an IP volunteer. • Proposed projects are checked against the negative list, with exemptions. Where a proposed project falls into the negative list and is not otherwise 	<ol style="list-style-type: none"> 1. BRTs and PPTs decide on subproject design elements (i.e. single or multiple components, scope, adaptive design, and other considerations). 2. Proposed projects falling under the negative list is dropped, or proposed to other agencies for funding. 3. Proposed projects with significant safeguards risks, and for which mitigation is not possible, or is beyond the capacity of the Program to address, are dropped. 4. Additional funds for counterparts 	<ol style="list-style-type: none"> 1. Final subproject proposal and costs finalized by the PPT for presentation to the BA for approval, and RFR documents completed for endorsement to the MIAC for final technical review and endorsement to the RPMO. 2. Proposed environmental and social management plan (ESMP) prepared by the PPT, including the IPP in cases where subprojects will impact IPs. 	<ul style="list-style-type: none"> • Activity checklists Template • Subproject Proposal • RFR documents • Template BA Resolution endorsing RFRs. • Safeguards screening tool • ESMP template/tool • Activity Report Form • Attendance Sheets

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>finalize the full proposal, technical plans and detailed cost estimates, and other RFR requirements.</p> <p>2.2 Project TFs and MFAs, together with TAF service providers, and with guidance from and in close coordination with the CEF and PPTs, conduct Community Volunteer Training (CVT) on community procurement and community finance for PPTs and BRTs.</p> <p>2.3 ACT, MLGU, and MIAC members conduct site visits, and conduct workshop to assist PPTs in finalizing proposals, technical plans, detailed cost estimates, and other documents after the PDW, following the action plan prepared by the PPTs.</p> <p>3. After project development</p> <p>3.1 ACT and MCT CEFs meet with the BLGU, PPTs and BRTs to finalize plans and schedules for the community consultation on the final proposal.</p> <p>3.2 Materials, tools, and visual aids to be used in the community consultation are prepared together with the PPT and BRT.</p> <p>3.3 CEFs conduct simulation and role-play with the PPTs and BRTs to prepare them for presenting the proposal to the community for validation and approval.</p> <p>3.4 Reflection session with the BRT and the PPT are conducted.</p>		<p>included in the exemptions under disaster response operations, the PPTs are informed that these projects cannot be financed under the NCDDP, but can be proposed for support by other agencies.</p> <ul style="list-style-type: none"> • Discussion on safeguards include topic on ensuring protection of rights, continuing meaningful participation of, and equivalent benefits to women and IPs. • Proposed projects are screened against the environmental and social safeguards using the screening tool in the Environmental and Social Management Framework (ESMF). Where a safeguard is triggered, activities to address risks and impacts are identified and included in the plan to finalize the proposal, cost estimates, technical plans, and RFR documents. • Where the IP safeguard is specifically triggered (ie. when the proposed subproject will impact IPs), the IPP portion of the Environmental and Social Management Plan (ESMP) will be prepared during PDW.⁵ • Fill-up templates are provided and used as basis for developing proposals, costs estimates, technical plans, and Requests for Fund Release (RFR). • Site visits are conducted with technical staff and community volunteers. • Community Volunteer Training (CVT) 	<p>will be accessed by the community from other sources, if project costs exceed barangay grant allocation.</p>		

⁵ The IP Plan portion of the ESMP of subprojects deemed to have impacts on IP shall be consolidated on a per municipal basis by the Area Coordinating Team (ACT) and forwarded to the RPMO, who shall forward the same to the NPMO. In view of the category A categorization of the KC-NCDDP relative to IP safeguards, IPPs of barangays with subprojects for funding by ABD shall be forwarded by the NPMO to ADB for the latter's review and clearance. No subproject implementation activities may commence unless the IPP is cleared by the ADB.

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
		<p>on community procurement will be conducted by ACT and RPMO technical staff.</p> <ul style="list-style-type: none"> • Short reflection sessions are conducted following the ORID format of (i) evoking observations, including feelings, of participants on the proceedings, the process of how decisions are made, and the decisions themselves; (ii) soliciting reflections and insights out of what was observed/felt during the proceedings; (iii) exploring (internalization) relevance of the insights and reflections to the day-to-day life of the community, including how new insights and lessons will effect constructive change in the community and; (iv) generating resolve to (decisions) undertake action and next steps. • Activity reports and other documents are submitted seven (7) days after the conduct of each activity. 			

NOTES:

2.3 Community Consultation (2nd BA)

Objectives:

1. Approve the Project Proposal for endorsement to the MIAC and the NCDDP.
2. Elect Barangay Subproject Management Committee (BSPMC), the Finance Committee, and Bids and Awards (BAC) CVs.

Activity level: Barangay

Duration: 2 weeks

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>1. In preparation for the community consultation</p> <p>1.1 Prior to the meeting, the CEF meets with the Barangay Chairperson to plan for the consultation, and mobilizes the BLGU in ensuring attendance and participation of HHs.</p> <p>2. During the actual consultation</p> <p>2.1 The meeting is opened by the Barangay Chairperson, and the CEF is introduced as the facilitator.</p> <p>2.2 The CEF, assisted by the his/her MCT counterpart, introduce the BRT and the PPT.</p> <p>2.3 The BRT (i) presents a review of the previous community consultation on the problems and issues; (ii) recalls the agreements made by the BA on the priority needs, and; (iii) presents an overview of the process undertaken by the PPT in developing the final proposal.</p> <p>2.4 The PPT presents the details of the final project proposal, beginning with the objective and rationale, expected benefits, components, costs, and implementation arrangements, and adverse impact and mitigation measures.</p> <p>2.5 The CEF facilitates discussion on questions, and further clarification.</p> <p>2.6 The CEF requests the Barangay Captain for motion to (i) approve the proposal, and (ii) endorse the same to the MIAC and the NCDDP. The Barangay Captain then requests motion from the floor.</p> <p>2.7 Once motion is approved, the CEF acknowledges and thanks the BRT and the PPT for their effort in developing the proposal.</p> <p>2.8. The CEF discusses the structure for subproject implementation and the</p>	<ul style="list-style-type: none"> • Barangay Chairperson • Sangguniang Barangay members • BRT and PPT CVs • Community residents • In old KC areas, PSA or BRT volunteers • An NCIP or IP tribal leader, if the barangay covers or is covered by a known Ancestral Domain, either in part or in whole. • Project Team: CEF 	<ul style="list-style-type: none"> • The CEF prepares key questions to focus discussions on critical elements of the proposal (i.e. "Does the proposal address the priority needs agreed in the first assembly?", "Are there specific groups, especially vulnerable groups, which will be adversely affected by the proposed project?", "Are there affected groups who will not benefit or will be excluded from benefiting from the project?", "Should additional features or elements be included? If so, what?", "Is the site for the proposed project safe?", "Will mitigation be needed? If so, what kinds of mitigation?" and other similar questions) prior to the consultation. This is informed by ocular visits, key informant interviews (KII), and integration by the CEF with community members (cross sectoral) prior to the meeting. • The CEF also develops a glossary of technical terms translated into the vernacular, prior to the meeting. Where 	<ol style="list-style-type: none"> 1. Community validates the Project Proposal. 2. Community endorses the proposal⁶ to the MIAC for review, and to the NCDDP for funding. 	<ol style="list-style-type: none"> 1. Assembly resolution (i) approving the proposal and endorsing the same to the MIAC and NCDDP; (ii) forming the Finance Committee, BAC, and BSPMC; (iii) opening a community account, is passed. 2. List of members of the Finance Committee, BAC, and the BSPMC 3. Documents and requirements for opening of community accounts are completed. 4. Complete Project Proposal and RFR documents 	<ul style="list-style-type: none"> • Activity Checklist; • RFR Checklist • Template BA Resolution • Activity Report Form • Attendance Sheets

⁶ Including attachments related to safeguards, such as the Environmental and Social Management Plan or ESMP. Following ADB guidelines, safeguards plans (RP, IPP) must be submitted by the RPMO for NPMO concurrence and sent to ADB for approval, prior to the implementation of subprojects with impacts

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>Barangay Subproject Management Committee (BSPMC). The CEF then facilitates election of the finance committee, the Bids and Awards Committee (BAC), and the BSPMC.</p> <p>2.9 The CEF then facilitates discussion on the opening of the community account, and the selection of the signatories. The CEF then requests the Barangay Captain for motion to approve the opening of the community account and the elected signatories.</p> <p>2.10 The CEF then calls for additional issues and concerns from the floor, and facilitates discussion and resolution of the same.</p> <p>2.11 The CEF facilitates short reflection on the proceedings.</p> <p>2.12 The meeting is adjourned.</p> <p>3. After the consultation</p> <p>3.1 The CEF and his/her municipal counterpart meet with BRTs and PPTs, and prepare them for the MIAC technical review meeting.</p> <p>3.2 Community accounts are opened. The CEF assist the finance committee in the opening of community accounts.</p> <p>3.3 Materials, tools, and visual aids to be used in the MIAC technical review are prepared together with the PPT and BRT.</p> <p>3.4 The CEFs conduct simulation and role-play with the PPTs and BRTs to prepare them for MIAC technical review.</p> <p>3.5 The CEF guides the PPT in finalizing the RFR documents, and submission to the MIAC.</p>		<p>possible, the CEF ensures that key features of the proposal are written on the board or on Manila paper, in the local dialect, and posted around the venue for people to freely read.</p> <ul style="list-style-type: none"> • The CEF together with his/her counterpart conduct dry-run/simulation and role-play prior to the meeting to identify potential issues and concerns, and refine the meeting facilitation plan. • The assembly is chaired by the Barangay Chairperson. • The CEF facilitates the meeting. • The CEF ensures that the language used in the discussion is simple and in the vernacular so that it is easily understood. • The CEF ensures that the discussion on features of the proposal is always linked to how responsive the proposed project is to the need or problem being addressed. • 80% of total HHs living in the barangay at the time of the activity attends the meeting. • Vulnerable groups (women, IP, communities in GIDAs, Pantawid Pamilya HHs, Conflict-Affected Areas (CAAs), and HHs affected by land acquisition and resettlement Program impact, if any, are adequately represented. • Where the IP safeguard is specifically triggered (ie. when the proposed subproject will impact IPs), the IPP is presented to the community. • Reactions to the presentation are solicited, questions are adequately answered, and recommendations 			

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
		<p>discussed. Where needed, separate meetings are conducted for vulnerable groups (women and IPs) to solicit reactions, questions, and recommendations.</p> <ul style="list-style-type: none"> • CVs selected to form the finance committee and the BAC are not elected public officials. • CVs selected for the BSPMC and its committees, and especially the BSPMC Chairperson, are likewise not elected public officials. • Gender balance is observed in the selection of CVs. • Where IPs are present, an IP CV is selected to join the finance and BAC, and the BSPMC. • The signatories to the community accounts are the AC, the Barangay Treasurer, and the BSPMC Chairperson. • Reflection follows the ORID format of (i) evoking observations, including feelings, of participants on the proceedings, the process of how decisions are made, and the decisions themselves; (ii) soliciting reflections and insights out of what was observed/felt during the proceedings; (iii) exploring (internalization) relevance of the insights and reflections to the day-to-day life of the community, including how new insights and lessons will effect constructive change in the community and; (iv) generating resolve to (decisions) undertake action and next steps. • Activity reports and other documents are submitted within seven (7) days after 			

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
		the activity.			

2.4 Subproject Final Technical Review and Approval for Fund Release

Objectives:

1. Review final subproject proposals, designs, safeguards plans (i.e. ESMP), cost estimates, and other RFR documents, for endorsement to the RPMO for funds release.
2. Process release funds for proposals that pass quality standards.

Activity level: Municipal (MIAC technical review) and Regional (RFR processing)

Duration: 4 weeks

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>1. In preparation for the technical review</p> <p>1.1 AC meets with the RPMO and SRPMO to (i) coordinate on the activities, flow, process, methodologies, date, and venue of the MIAC Technical Review; (ii) ensure RPMO and/or SRPMO technical staff will be present, and; (iii) funds and other logistical requirements are available and on hand.</p> <p>1.2 AC meets with the MLGU MIAC and other NGA partners to do groundwork to ensure they will attend the review.</p> <p>1.3 CEFs meet with their respective BRTs and PPTs to ensure proposals and RFR documents are complete and on hand.</p> <p>1.4 Copies of the proposals are provided to the appropriate MIAC member at least two days prior to the review.</p> <p>2. During the MIAC Technical Review</p> <p>2.1 PPT CVs submit full subproject proposals and RFR documents to the MLGU, who shall serve as the MIAC secretariat.</p> <p>2.2 The MIAC organizes a technical review meeting, either by subproject type (e.g. vertical structures, water and sanitation, access, etc.) or if a significant number of proposals have been submitted (i.e. on a rolling basis).</p> <p>2.3 At the meeting, the PPT CVs present their proposal, and the MIAC provides final comments and recommendations on (i) completeness;; (ii) correctness, and; (iii) consistency.</p> <p>2.4. The MIAC endorses the proposal to the municipal Mayor, who endorses the same to the KC-NCDDP RPMO.</p> <p>3. RFR Processing</p> <p>3.1 The ACT transmits complete proposal and RFR documents to the SRPMO.</p> <p>3.2 The SRPMO reviews RFR based on (i) completeness of requirements; (ii)</p>	<ul style="list-style-type: none"> • PPT CVs • BRT CVs • MCT • MIAC members • Project Team: AC CEF TF MFA SRPMO RPMO 	<ul style="list-style-type: none"> • The Mayor, or a designated representative, convenes the meeting. • The AC facilitates the review and discussions. • The review to focus on ensuring (i) appropriate provisions for operation and maintenance, and sustainability; (ii) completeness of documents; (iii) correctness of information; (iv) consistency of information across all attachments and supporting documents, and; (v) safeguards compliance. • The "5-5-5" rule for RFR review is observed. A maximum of 5 days is devoted to review of technical and social aspects of the proposal and RFR documents, 5 days for the financial aspects, and 5 days for the processing of funds downloading to community accounts. 	<ol style="list-style-type: none"> 1. LGU commit to support subproject implementation and operation and maintenance, including implementation of safeguard measures. 2. Proposals and RFRs are approved. 	<ol style="list-style-type: none"> 1. MIAC resolution endorsing the subproject proposals and RFR documents to the Mayor. 2. Final complete subproject proposals and municipal LCE-signed RFR documents. 3. Funds downloaded to community accounts. 	<ul style="list-style-type: none"> • Activity checklist • Template MIAC and Mayor's endorsement (already included in the existing RFR templates) • Activity Report Form • Attendance Sheets • RFR review checklist

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>correctness of information, and; (iii) consistency of information and figures across all documents. The appropriate SRPMO staffs certify compliance to requirements, including safeguards requirements.</p> <p>3.3 The SRPMO transmits RFRs to the RPMO for funding. RPMO staff conducts final review of proposals⁷.</p> <p>3.4 RPMO downloads funds to community accounts.</p> <p>4. Post activity follow-through</p> <p>4.1 The CEF and his/her municipal counterpart meet with the BLGU, PPTs, BRTs, and BSPMC to finalize plans and schedules for the community assembly and action planning for subproject implementation.</p> <p>4.2 Materials, tools, and visual aids to be used in the community assembly are prepared together with the BSPMC.</p> <p>4.3 The CEF conducts simulation and role-play with the BRT and BSPMC to prepare them for presenting the results of the MIAC Technical Review, and action planning.</p> <p>4.4 Reflection session with the BRT and the PPT are conducted.</p>					

NOTES:

⁷ Including proposals (and attachments related to fiduciary and safeguards requirements) subject to review and “no objection” by the Program’s development partners (i.e. World Bank, Asian Development Bank, and the Department of Foreign Affairs and Trade (DFAT) of the Government of Australia).

Stage 3: Community-managed Implementation and Organization Formation and Development

3.1 Barangay Assembly and Action Planning

Objectives:

1. Prepare the community for subproject implementation.

Activity level: Barangay

Duration: 1 day

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>1. In preparation for the assembly and action planning</p> <p>1.1 The CEF meets with the Barangay Chairperson to plan for the assembly, and mobilizes the BLGU in ensuring attendance and participation of HHs.</p> <p>1.2 The CEF conducts area visit and groundwork with community members and key leaders, putting special emphasis on IP leaders, conflict areas, GIDAs, women-headed HHs, and HHs affected by land acquisition and resettlement Program activities, if any.</p> <p>1.3 The CEF meets with the BRT, PPT, and the MIAC to prepare them for their role in the meeting, and conducts dry-run, simulation, and role-play with the CVs.</p> <p>1.4 Additional technical assistance providers are tapped (using the TAF) prior to the action planning, where needed.</p> <p>2. During the actual assembly and action planning</p> <p>2.1 The meeting is opened by the Barangay Chairperson, and the CEF is introduced as the facilitator.</p> <p>2.2 The BRT (i) presents the results of the MIAC Technical Review.</p> <p>2.3 The BSPMC Chairperson (i) presents the timeline for subproject implementation, based on the proposal; (ii) the tasks of specific committees under the BSPMC (Procurement Team, Project Implementation Teams; Monitoring and Inspectorate Team; Audit and Inventory Teams; and others), as well as; (iii) the community-level project committees, such as the Bids and Awards Committee (BAC) and the Finance Team, which will assist the BSPMC in implementing the subproject, and the Operation and Maintenance (O&M) committee, if the BAC and Finance Teams have not yet been elected during the 2nd BA..</p> <p>2.4 The CEF, together with the TF, facilitates formation/organization of work</p>	<ul style="list-style-type: none"> • BSPMC • MCT • Representatives from the MIAC/LPRAT • BRT members • PPT members • BSPMC members • Community residents • Project Team: CEF • TF • MFA 	<ul style="list-style-type: none"> • The CEF prepares key questions to focus discussions on critical elements of the action planning (i.e. "How will work groups be organized?", "Who will be lead person for the specific work activities?", "What required safeguards measures must be implemented prior to the start of civil works (for infrastructure projects) or implementation activities (for non-infrastructure projects)?", "Will counterpart labour be provided?", "How much will skilled and unskilled workers be paid?", "Will the wage be paid daily or weekly?", "Will honorarium be paid to BSPMC members?", "How will women benefit from paid labour?", "How will paid labour be allocated equitably among community members (including men and women)", and similar questions) prior to the consultation. This is informed by ocular visits, key informant interviews, and integration by the CEF with community members (cross sectoral) prior to the meeting. • The CEF also develops a glossary of technical terms translated into the 	<ol style="list-style-type: none"> 1. Assembly approves action plan. 	<ol style="list-style-type: none"> 1. Resolution (i) approving community action; (ii) forming BSPMC work committees; (iii) forming the BAC, Finance Team, and O&M committee; (iv) naming members of the various committees. 2. Action plan (including approved ESMP) 3. List of BSPMC, BAC, Finance, and O&M committee members. 	<ul style="list-style-type: none"> • Activity checklists • Template BA Resolution endorsing RFRs. • Activity Report Form • Attendance Sheets

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>groups and preparation of work plan, following (i) the Program of Works (POW); (ii) guidelines specified in various manuals on project implementation, community procurement, community finance, environmental and social safeguards, and other documents, and; (iii) agreements on labour distribution and rates, and other community counterpart arrangements.</p> <p>2.5 The CEF facilitates discussion of questions, and further clarification.</p> <p>2.6 The CEF then calls for additional issues and concerns from the floor, and facilitates discussion and resolution of the same.</p> <p>2.7 The CEF facilitates short reflection on the proceedings.</p> <p>2.8 The meeting is adjourned.</p> <p>3. After the assembly and action planning</p> <p>3.1 ACT conducts community volunteer trainings on community procurement and community finance for CVs.</p> <p>3.2 AC plans with MIAC for the conduct of monitoring and technical support provision activities.</p>		<p>vernacular, prior to the meeting. Where possible, the CEF ensures that key Program policies and work breakdown structures, workflows, and planning templates and tools are written on the board or on Manila paper, in the local dialect, and posted around the venue for people to freely read.</p> <ul style="list-style-type: none"> • The CEF together with his/her counterpart conduct dry-run/simulation and role-play prior to the meeting to identify potential issues and concerns, and refine the meeting facilitation plan. • The assembly is chaired by the Barangay Chairperson. • The CEF facilitates the meeting. • The CEF ensures that the language used in the discussion is simple and in the vernacular so that it is easily understood. • The CEF ensures that the discussion on work planning is always linked the work program contained in the proposal. • 80% of total HHs living in the barangay at the time of the activity attends the meeting. • Vulnerable groups (women, IP, communities in GIDAs, Pantawid Pamilya HHs, Conflict-Affected Areas (CAAs), and HHs affected by land acquisition and resettlement Program activities, if any, are adequately represented. • Reactions to the presentation are solicited, questions are adequately answered, and recommendations discussed. Where needed, separate meetings are conducted for vulnerable groups (women and IPs) to solicit reactions, questions, and 			

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
		<p>recommendations.</p> <ul style="list-style-type: none"> • Gender balance is observed in the selection of CVs. • Where IPs is present, an IP is encouraged to volunteer for paid work for SPI. • Additional consultations are conducted (at sitio, purok, or tribe) in IP communities, conflict areas, and GIDAs to ensure wide dissemination of information and maximum participation of vulnerable groups. • The action plan (i) include mitigation actions for triggered safeguards policies (IP participation, including in benefits, Environmental management, Land Acquisition and Resettlement, and Integrated Pest Management and use of termiticides) using the environmental and social management plan (ESMP) template; (ii) include schedules for community volunteer training, and meeting activities for the community volunteers. Final work schedules reflect accurate sequencing of activities, including items of works that are undertaken simultaneously, taking into account timing of weather conditions and availability of required resources, materials and person-power. • Reflection follows the ORID format of (i) evoking observations, including feelings, of participants on the proceedings, the process of how decisions are made, and the decisions themselves; (ii) soliciting reflections and insights out of what was observed/felt during the proceedings; (iii) exploring (internalization) relevance of the insights 			

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
		and reflections to the day-to-day life of the community, including how new insights and lessons will effect constructive change in the community and; (iv) generating resolve to (decisions) undertake action and next steps. <ul style="list-style-type: none"> • Activity reports and other documents are submitted within seven (7) days after the activity. 			

NOTES:

3.2 Community-managed Implementation of Projects

Objectives:

1. Complete community subprojects on time and within specified quality and cost.

Activity level: Barangay

Duration: 6 to 9 months, depending on the subproject type

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>1. In preparation for community-managed implementation</p> <p>1.1 The CEF meets with the Barangay Chairperson, the Barangay Treasurer, and other members of the BLGU, and discusses their roles and enlists their support in monitoring and providing technical assistance to CVs in subproject implementation.</p> <p>1.2 The AC, TF, and MFA meets with the MPDO, municipal engineering office, and other members of the MIAC, discuss their roles and enlist their support in monitoring and TA provision to communities during subproject implementation.</p> <p>1.3 The ACT meet with the RPMO and/or SRPMO to plan and prepare for conduct of community volunteer training on community procurement, community finance, organization formation and development, and other needed capability building activities.</p> <p>1.4 The CEF conducts area visit and groundwork with community members and key leaders, putting special emphasis on IP leaders, conflict areas, GIDAs, and women-headed HHs.</p> <p>1.5 Additional technical assistance providers are tapped (using the TAF) prior to implementation where needed.</p> <p>2. During subproject implementation</p> <p>2.1 The CEF, TF, and MFA, together with their municipal counterparts, orient the BSPMC and its various work committees, the BAC, the Finance Team, and the O&M committee on their specific tasks following the approved workplan. Work schedules are finalized.</p> <p>2.2 The BAC, Finance Team, and BSPMC conduct community procurement, community finance management, subproject implementation and/or construction (if projects involve small rural infrastructure), and monitoring activities following the workplan and schedule.</p> <p>2.3 The ACT CEF, Engineer, and FA, together with their municipal counterparts, conduct monitoring and supervision activities, including (i) site visits; (ii) periodic meetings with CVs; (iii) coaching sessions, and; (iv) fiduciary</p>	<ul style="list-style-type: none"> • BSPMC • BAC • Finance Committee • Proposed projects are checked against the negative list. Where a proposed project falls into the negative list, the PPTs are informed that these projects cannot be financed under the NCDDP, but can be proposed for support by other agencies. • MIAC The Barangay Chairperson, Treasurer, and other members of the BLGU. The BAC, Finance Team, BSPMC, and O&M Committee members Community Volunteers Project Team: 	<ul style="list-style-type: none"> • ACT members prepare individual supervision and technical assistance provision plan, where activities are based on, and are calibrated to address risks identified through a risk assessment conducted jointly with the MCT and MIAC. • ACT and MCT/MIAC monitoring and TA provision is coordinated following a separate, agreed TA provision plan. Coordination with the MIAC and the BLGU officials in the monitoring of subprojects implementation is observed. • Subproject implementation activities follow standards and procedures outlined in the community procurement, community finance, environmental and social safeguards, and other manuals and guidelines. • The CEF, Engineer, and FA ensure subproject implementation policies and guidelines are communicated to CVs. Appropriate ACT staff conduct preparation activities with community volunteers, coach CVs in conduct of actual activities, conduct additional training activities as needed, and conduct post-activity assessment and reflection sessions to ensure learning. • Participation of women, IPs, poor, and 	<ol style="list-style-type: none"> 1. BAC awards contracts to suppliers/contractors. 2. Finance Team approves payments to suppliers/contractors based on contract deliverables. 3. BSPMC committees make decisions based on their role/function. 	<ol style="list-style-type: none"> 1. Completed community subprojects. 	<ul style="list-style-type: none"> • Activity checklists • RFR documents Template BA • Resolution endorsing 2nd/3rd tranche RFRs. • ESMP • Activity Report Form • Sub-project Implementation Manual • ESMF • Community Procurement Manual • Community Finance Manual • GRS Manual

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>reviews.</p> <p>2.4 The ACT conducts additional training of community volunteers on community procurement, community finance, and organizational development for operations and maintenance.</p> <p>2.5 The CEF, TF, and MFA assist communities in preparing RFR documents for succeeding tranches.</p> <p>2.6 The SRPMO conduct field visits for monitoring of subproject implementation activities and implementation of ESMPs.</p> <p>2.7 The CEFs facilitates resolution of grievances, as they arise.</p> <p>2.8 The CEF conduct reflection sessions with community volunteers after every gathering.</p> <p>3. After completion of implementation</p> <p>3.1 The CEF prepares the community for project turn-over.</p>	<p>AC</p> <p>CEF</p> <p>TF</p> <p>MFA</p> <p>RPMO and SRPMO</p> <p>Technical Staff</p>	<p>other vulnerable households in paid labour activities is ensured.</p> <ul style="list-style-type: none"> • Volunteer teams submit Monthly Work Schedule and Physical Progress Report that reflects activities conducted for the period and encountered problems. • Grievances are captured, Grievance Committees are mobilized, and issues are addressed following standards in the Grievance Redress System (GRS) manual. • Community projects completed with quality, on time, and within specified cost. • Reflection follows the ORID format of (i) evoking observations, including feelings, of participants on the proceedings, the process of how decisions are made, and the decisions themselves; (ii) soliciting reflections and insights out of what was observed/felt during the proceedings; (iii) exploring (internalization) relevance of the insights and reflections to the day-to-day life of the community, including how new insights and lessons will effect constructive change in the community and; (iv) generating resolve to (decisions) undertake action and next steps. • Activity reports and other documents are submitted within seven (7) days after the activity. 			

3.3 Formation of Community Organization for Operation and Maintenance

Objectives:

1. Establish community associations for Operation and Maintenance, and Sustainability of completed projects.

Activity level: Barangay

Duration: 2 to 3 months, starting from community orientation on SPI

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>1. In preparation for formation of O&M organizations</p> <p>1.1 The AC and CEFs meet with the MLGU to discuss CBO accreditation of O&M groups.</p> <p>1.2 The CEF familiarizes him/herself on the different forms of O&M organizations for specific subproject types (i.e. Parent-Teachers-Community Association or PTCAs for school buildings and daycare centers; Barangay Water Association or BAWASA for water systems; community enterprise groups for post-harvest facilities; users associations for other basic service facilities; peoples organizations for environmental protection projects, and other forms), and the different processes and requirements for forming and formalizing these groups for accreditation/registration.</p> <p>1.2 The ACT meets with the RPMO and/or SRPMO to plan for conduct of organizational formation and development training for O&M groups.</p> <p>2. During formation of organization for operation and maintenance</p> <p>2.1 CEFs, together with their municipal counterparts, conduct general orientation on operation and maintenance and forming O&M groups, and facilitate planning workshop and tasking of O&M committee CVS.</p> <p>2.2 The CEFs and their counterparts conduct monitoring and technical assistance activities to form the O&M group, based on the plan developed under item 1. These can include conduct of house to house visits, small meetings, preparation of O&M policies and guidelines, drafting of organizational by-laws, CV meetings with accrediting NGAs, and general assemblies. CEFs, together with the MIAC, conduct coaching, supervisions, and additional training activities, as needed, to further guide CVs in the conduct of organizational development activities.</p> <p>2.3 The CEFs facilitates conduct of Barangay Assembly/General Assembly to (i) pass the organizational by-laws; (ii) discuss and approve the O&M policies, and; (iii) elect leaders of the O&M group.</p> <p>2.4 The CEFs facilitates planning of operation and maintenance activities by the CV leaders of the O&M association.</p>	<p>MCT MIAC members Community Volunteers</p> <p>Project Team: AC CEF</p>	<ul style="list-style-type: none"> Action Plans are based on clear vision articulating the organization's basis of unity, mission, and strategic directions. O&M tasks are undertaken by groups through committees with clear functions and roles. O&M groups are encouraged to link with existing organizations in the area with similar interests. Organizational design follows the function of the organization for operating, managing, and sustaining subprojects. Organizations are not over-designed. Policies are approved by majority of attendees in assemblies. Gender balance is observed in the composition and leadership of organizational committees and leadership bodies. Women are encouraged to take leadership positions. If IPs is present, IP leaders are encouraged to take leadership positions in the organizations formed. O&M groups are accredited by the LGU and/or other regulatory body. The boards of O&M groups include the Barangay Captain as a regular member representing the Barangay. LGU accreditation policies and 	<ol style="list-style-type: none"> 1. Community volunteers agree to form their organizations, or an existing CBOs is strengthened; 2. Barangay and LGU officials agree to accredit the O&M group. 	<ol style="list-style-type: none"> 1. O&M Accreditation documents 2. Organizational By-Laws and O&M Policies 3. Approved LGU accreditation policies and procedures 	<ul style="list-style-type: none"> Organizational Development and Management (ODM) guidance note.

<p>2.5 O&M activities and Sustainability Evaluation Tests (SET) are conducted following the plan, with the SET conducted six (6) months after subproject completion and turn-over.</p> <p>3. Post organizational formation follow-through</p> <p>3.1 The CEF links O&M groups to CSOs, NGAs, and institutions for support.</p> <p>3.2 The ACT conducts inter-organization learning forums to encourage exchange of experiences and learning, and collective problem solving and support.</p> <p>3.3 The CEF and his/her municipal counterpart facilitates (i) provision of support by the BLGU to O&M needs of organizations, and; (ii) inclusion of O&M groups in the Barangay Development Council (BDC).</p> <p>3.4 AC and MAC facilitate (i) provision of support for operation and maintenance to O&M groups, and; (ii) inclusion of O&M groups in the Municipal Development Council (MDC).</p>		<p>procedures are publicly shared/disclosed.</p>			
--	--	--	--	--	--

NOTES:

Stage 4: Community Monitoring

4.1 Accountability Reporting

Objectives:

1. To inform the community members on the status of the sub-project and for public disclosure of all aspects of the implementation including synthesis from GRS and actions taken.
2. Review and assessment of commitments made and delivered by the MLGU and other stakeholders.
3. Identification of lessons in cycle 1 implementation in the barangay and municipality, and recommendations for cycle 2 implementation using the standard CEAC process.

Activity level: Barangay and Municipal

Duration: 1 day for the barangay, and 1 day for the municipal-level activity

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>4.1.1 Barangay level accountability review and reporting</p> <p>1. In preparation for the accountability review (AR)</p> <p>1.1 The AC meets with the MIAC and orients them on the accountability review activities, and discusses their role and participation in the various accountability activities.</p> <p>1.2 The CEF meets with the Barangay Chairperson to plan for the assembly, and mobilizes the BLGU in ensuring attendance and participation of HHs.</p> <p>1.3 The CEF conducts area visit and groundwork with community members and key leaders, putting special emphasis on IP leaders, conflict areas, GIDAs, women-headed HHs, and HHs affected by land acquisition and resettlement Program activities, if any.</p> <p>1.4 The CEF meets with the BRT and the BSPMC to prepare them for their role in the meeting, and conducts dry-run, simulation, and role-play with the CVs.</p> <p>1.5 Additional technical assistance is tapped from the RPMO and/or SRPMO prior to the meeting, where needed.</p> <p>2. During the actual AR</p> <p>2.1 The meeting is opened by the Barangay Chairperson, and the CEF is introduced as the facilitator.</p> <p>2.2 The BRT presents a historical review of the activities conducted at the community beginning with the MO and the Community Consultation</p>	<ul style="list-style-type: none"> • Representatives from the MIAC/LPRAT • BRT members • PPT members • BSPMC members • Community residents • Project Team: CEF TF MFA 	<ul style="list-style-type: none"> • The CEF prepares key questions to focus discussions on critical elements of the review (i.e. "What were the critical commitments?", "Were these delivered adequately?", "Did those who commit to provide counterpart deliver?", "Were there challenges to participation of women and other vulnerable groups? Were these challenges addressed adequately?", and similar questions) prior to the consultation. This is informed by ocular visits, key informant interviews, and integration by the CEF with community members (cross sectoral) prior to the meeting. • The CEF also develops simple visual aids such as flowcharts of key activities undertaken, graphs to show accomplishments and delivery of commitments, and a glossary of technical terms, translated into the vernacular, prior to the meeting. Where possible, the CEF ensures that key 	<ol style="list-style-type: none"> 1. Participants agree to proceed with cycle 2 implementation. 2. BLGU agree to provide support (including funds support) for O&M and cycle 2 implementation using the Standard CEAC, with cycle 3 implemented through the LGU-led Makamasang Tugon (MT) modality. 	<ol style="list-style-type: none"> 1. Documentation of learning and assessment for the cycle based on reports and shared assessment. 2. Barangay Resolution to (i) provide support to O&M; (ii) provide support to cycle 2 implementation. 	<ul style="list-style-type: none"> • Activity checklists • Template BA Resolution • Activity Report Form • Attendance Sheets

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>Assembly. Emphasis is given on the BAP matrix developed from the first assembly, and the presentation ends with a review of the commitments made by the MLGU, BLGU, and the community members to support implementation activities.</p> <p>2.3 The BSPMC Chairperson presents an update of status of subproject implementation activities.</p> <p>2.4 The BLGU presents updates on status of other projects to address needs identified in the BAP matrix, including integration of the needs into the BDP.</p> <p>2.5 The CEF facilitates assessment of commitments and activities undertaken; (i) surfaces problems, issues, and gaps; (ii) generates recommendations to address existing gaps and issues; (iii) surfaces lessons, and; (iv) generates recommendations for improving activities and processes for the next cycle.</p> <p>2.6 CEF requests the Barangay Captain for motion to present the results of the review to the municipal accountability review meeting.</p> <p>2.7 The CEF facilitates short reflection session on the activity and proceedings.</p> <p>2.8 The assembly is adjourned.</p> <p>3. After the barangay AR</p> <p>3.1 The CEF meets with the Barangay Captain to firm up commitments on (i) BLGU support (including fund support) for operation and maintenance of completed subprojects; (ii) BLGU support (including funds) for cycle 2 implementation; (iii) issuance of Barangay Resolution on commitments above.</p> <p>3.2 The CEF and his/her municipal counterpart meet with BRTs BSPMC Chairperson and prepare them for the municipal accountability reporting forum and succeeding activities.</p> <p>3.3 AC informs and plans with the SRPMO and RPMO the needed Technical Assistance (TA) for the municipal AR.</p>		<p>Program policies and work breakdown structures, workflows, and planning templates and tools are written on the board or on manila paper, in the local dialect, and posted around the venue for people to freely read, and serve as basis for assessment.</p> <ul style="list-style-type: none"> • The CEF together with his/her counterpart conduct dry-run/simulation and role-play prior to the meeting to identify potential issues and concerns, and refine the meeting facilitation plan. • The assembly is chaired by the Barangay Chairperson. • The CEF facilitates the meeting. • The CEF ensures that the language used in the discussion is simple and in the vernacular so that it is easily understood. • The CEF ensures that the discussion on issues and gaps are always linked to prepared plans. • 80% of total HHs living in the barangay at the time of the activity attends the meeting. • Vulnerable groups (women, IP, communities in GIDAs, Pantawid Pamilya HHs, Conflict-Affected Areas (CAAs), and HHs affected by land acquisition and resettlement Program activities, if any, are adequately represented. • Reactions to the presentation are solicited, questions are adequately answered, and recommendations discussed. Where needed, separate meetings are conducted for vulnerable groups (women and IPs) to solicit reactions, questions, and recommendations. 			

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
		<ul style="list-style-type: none"> • Additional consultations are conducted (at sitio, purok, or tribe) in IP, conflict areas, and GIDAs to ensure wide dissemination of information and maximum participation of vulnerable groups. • Reflection follows the ORID format of (i) evoking observations, including feelings, of participants on the proceedings, the process of how decisions are made, and the decisions themselves; (ii) soliciting reflections and insights out of what was observed/felt during the proceedings; (iii) exploring (internalization) relevance of the insights and reflections to the day-to-day life of the community, including how new insights and lessons will effect constructive change in the community and; (iv) generating resolve to (decisions) undertake action and next steps. • Activity reports and other documents are submitted within seven (7) days after the activity. 			
<p>4.1.2 Municipal Accountability Reporting</p> <p>1. In preparation for the municipal accountability review (AR) 1.1 The ACT consolidates the barangay AR reports, NGA PPA commitments, and proposed projects for the NCDDP, in a municipal map. 1.2 The AC meet with the MCT, Municipal Planning and Development Officer (MPDO) and other members of the MIAC and MDRRMC to discuss the consolidated results of the BAR, and conduct a dry-run/simulation of the MAR. The facilitation plan for the activity is adjusted as needed.</p> <p>2. During the actual AR 2.1 The meeting is opened by the Municipal Mayor, and the AC is introduced as the facilitator. 2.2 The MPDO presents a historical review of the activities conducted in the municipality, beginning with the MO and the Community Consultation Assembly. Emphasis is given on the consolidated LGU-NGA PPA matrix</p>	<ul style="list-style-type: none"> • Municipal Mayor • Municipal Vice Mayor • Sangguniang Bayan members • MIAC / LPRAT/ • MDRRMC members • MCT • NCIP representative, and IP leaders, in municipalities with known ancestral domains. • BRTs 	<ul style="list-style-type: none"> • The Mayor opens the meetings. • The AC facilitates the meeting and discussions. • The community facilitators prepare a barangay-level synthesis of the results of the barangay level review. • The AC prepares key questions to focus discussions on critical elements of the review (i.e. "What were the critical commitments?", "Were these delivered adequately?", "Did those who commit to provide counterpart deliver?", "Were there challenges to participation of women and other vulnerable groups? Were these challenges addressed 	<ol style="list-style-type: none"> 1. Identifies the lessons learned by the various stakeholders that will be carried forward to cycle 2 (using the standard CEAC) and 3 (through the LGU-facilitated implementation modality). 2. Participants agree to proceed with cycle 2 /3 	<ol style="list-style-type: none"> 1. Documentation of learning and assessment for the cycle based on reports and shared assessment. 2. Municipal Resolution to (i) provide support to O&M; (ii) provide support to cycle 2 implementation, using the standard CEAC process. 	<ul style="list-style-type: none"> • Activity checklists • Template MLGU Resolution • Activity Report Form • Attendance Sheets

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>developed from the first assembly, and the presentation ends with a review of the commitments made by the MLGU, BLGU, and the community members to support implementation activities.</p> <p>2.3 The municipal AC counterpart presents an update of status of subproject implementation activities.</p> <p>2.4 The MPDO presents updates on status of other projects to address needs identified in the consolidated NGA-LGU PPA matrix, including integration of other needs into the MDP.</p> <p>2.5 The AC facilitates assessment of commitments and activities undertaken; (i) surfaces problems, issues, and gaps; (ii) generates recommendations to address existing gaps and issues; (iii) surfaces lessons, and; (iv) generates recommendations for improving activities and processes for the next cycle.</p> <p>2.6 AC requests the Municipal Mayor for motion to approve the recommendations made.</p> <p>2.7 AC facilitates formation of the Municipal Inspectorate Team (MIT) who will conduct the Functionality Audit (FA) within two (2) weeks after subproject completion, and the Sustainability Evaluation Test (SET) six (6) months after subproject completion and turn-over.</p> <p>2.8 The AC facilitates short reflection session on the activity and proceedings.</p> <p>2.9 The assembly is adjourned.</p> <p>3. After the AR</p> <p>3.1 The ACT, with the assistance of the RPMO and/or SRPMO, meets with the Municipal Mayor to discuss enhancements to the NCDDP Specific Implementation Arrangements (SIA) for the second cycle implementation using the standard CEAC, including compliance with environment, involuntary resettlement, and Indigenous Peoples safeguards, and Gender guidelines.</p> <p>3.2 The draft SIA is presented to the Vice-Mayor as chairperson of the Sangguniang Bayan, for review and preparation of municipal resolution.</p> <p>3.3 The ACT, MCT, and MIAC prepare implementation plan for cycle 2 using the standard CEAC, based on the recommendations from the municipal AR.</p>	<ul style="list-style-type: none"> Project Staff: ACT SRPMO 	<p>adequately?", and similar questions) prior to the consultation. This is informed by ocular visits, key informant interviews, and integration by the AC with MLGU staff and community members (cross sectoral) prior to the meeting.</p> <ul style="list-style-type: none"> The ACT also develops simple visual aids such as flowcharts of key activities undertaken, graphs to show accomplishments and delivery of commitments, and a glossary of technical terms, translated into the vernacular, prior to the meeting. Where possible, the AC ensures that key Program policies and work breakdown structures, workflows, and planning templates and tools are written on the board or on manila paper, in the local dialect, and posted around the venue for people to freely read, and serve as basis for assessment. Barangay Participants for this activity (BRT) are selected during the community consultations under the social preparation stage. Reactions to the presentations are solicited, questions are adequately answered, and recommendations discussed. Where an IP community covers more than one barangay, consider separate meetings of IP leaders. MIT is headed by the MPDC, and composed of the members of the MIAC. The ACT provides technical and facilitation support to the team. The MIT will be organized by subproject typology (Schools and Day care, Health 	<p>implementation (where municipalities proceeding into cycle 2 will implement the standard CEAC, and municipalities implementing cycle 2 will implement the LGU-led MT modality).</p> <p>3. MLGU agree to provide support (including funds support) for O&M and cycle 2 activities, using the standard CEAC, and 3 activities, through the LGU-facilitated implementation modality.</p>		

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
		Stations, Water Systems, Post-harvest Facilities, Roads and Bridges, etc.) <ul style="list-style-type: none"> • Reflection follows the ORID format of (i) evoking observations, including feelings, of participants on the proceedings, the process of how decisions are made, and the decisions themselves; (ii) soliciting reflections and insights out of what was observed/felt during the proceedings; (iii) exploring (internalization) relevance of the insights and reflections to the day-to-day life of the community, including how new insights and lessons will effect constructive change in the community and; (iv) generating resolve to (decisions) undertake action and next steps. • The AC works in close coordination and partnership with the MLGOO and the MPDC in groundworking MIAC members for follow-through activities. • Activity reports and other documents are submitted seven (7) days after the forum. 			

NOTES:

4.2 Functionality Audit and Sustainability Evaluation Test

Objectives:

1. Assess functionality and utilization of completed sub-project, and quality of community sustainability activities including organizational effectiveness, financial management, physical-technical conditions, and benefits of sub-projects.

Activity level: Barangay

Duration: 3 days per barangay, to start 6 months after subproject completion, and repeated every six (6) months thereafter

Major Steps	Participants	Standards	Key Decisions	Outputs	Tools and Forms
<p>1. In preparation for the functionality audit (FA) and sustainability evaluation test (SET)</p> <p>1.1 Municipal Inspectorate Team (MIT) formed during Municipal Accountability Reporting session.</p> <p>1.2 AC meets with the municipal Mayor to ensure support for the activities of the MIT.</p> <p>1.3 The AC mobilizes technical assistance support from the RPMO and SRPMO for the conduct of the FA and SET.</p> <p>2. During the FA and SET:</p> <p>2.1 The ACT orients the MIT members on the FA and SET processes and tools.</p> <p>2.2 The MIT prepares FA and SET activity plan and schedule.</p> <p>2.3 The MIT implements the plan.</p> <p>2.4 The MIT prepares a report on the results of the FA and SET.</p> <p>2.5 If adverse findings are found, the MPDC and the appropriate MIAC member meet with the BLGU, BRT, and O&M group leaders of the identified subproject, and prepare action plan to resolve the issue and restore and/or enhance the service.</p> <p>3. After the FA and SET:</p> <p>3.1 ACT consolidates the FA and SET, and conduct analysis on causes of problems, if any.</p> <p>3.2 ACT meets with the M/BLGU to discuss mitigation measures to include in the MOA for the next cycle to prevent functionality and sustainability issues in future subprojects.</p>	<ul style="list-style-type: none"> • MIAC and the MIT • BLGU officials • CVs • Project staff: AC CEF TF MFA 	<ul style="list-style-type: none"> • Technical Assistance is provided to community O&M groups to address observed gaps to ensure functioning of sub-projects. • Functionality audit is conducted within two (2) weeks after subproject completion and turn over. • SET is conducted six (6) months after subproject completion and turn over. • Conduct of FA and SET follow procedures and standards in the FA and SET guidelines. • The FA and SET is undertaken for all completed subprojects. • FA and SET reports are submitted with seven (7) days after the completion of the activity in the barangay. • Consolidated municipal FA and SET report is submitted within seven (7) days after completion of the last FA and SET activity in the last barangay, following the plan. 	<ol style="list-style-type: none"> 1. MIT members agree on the functionality and sustainability rating of the barangay subproject. 2. MLGUs allocate funds and resources to conduct FA's and SET's. 3. BLGU agree to provide funds to address gaps in functionality and sustainability. 	<ol style="list-style-type: none"> 1. Subprojects are validated to be technically functional. 2. Subproject O&M arrangements are validated to be sustainable. 	<ul style="list-style-type: none"> • AF and SET Guidelines • AF Checklist Tool • SET Checklist Tool • AF and SET Activity Report Form • Attendance Sheets

ANNEX A:

KALAHI CIDSS – NCDDP/CDDSP Formula for and how to rank barangays by severity of damage

Step 1: Compute for the population score using the following formula:

$$\text{Population score} = (\text{Barangay Population} / \text{sum of population}) \times 20$$

Step 2: Compute for the poverty incidence score using the following formula:

$$\text{PI} = (\text{Barangay PI} / \text{sum of PI}) \times 30$$

Step 3: Compute for the damage score using the following formula:

$$\text{Damage} = (\text{No. of affected HHs in the Brgy.} / \text{sum of HHs affected}) \times 50$$

Step 4: Compute for the total barangay score

$$\text{Barangay Score} = \text{Population score} + \text{PI score} + \text{Damage score}$$

Step 5: Rank all barangays using the individual barangay scores, from highest to lowest. The barangay/s with the highest ranked score/s constitute the most severely affected barangays, while those with lowest scores constitute the least affected barangays.

ANNEX B:

KALAHI CIDSS - NCDDP/CDDSP Negative List, with Exemptions under Disaster Response Operations

1. The following are NCDDP ineligible subproject activities and/or expenditure types under normal KC-NCDDP implementation conditions using the Standard Community Empowerment Activity Cycle (CEAC):

- a. Purchase or compensation for land;
- b. Road construction into protected areas;
- c. Repair of government offices (unless the emergency response Disaster Risk Management (DRM) contingent sub-component has been triggered);
- d. Meeting halls and places of worship;
- e. Dams higher than 5 meters;
- f. Environmentally hazardous materials such as chainsaws, explosives, pesticides, herbicides, insecticides, asbestos and other potentially dangerous materials.
- g. Production of, trade in, or use of unbounded asbestos fibers;
- h. Fishing boats (beyond the weight limit set by Bureau of Fisheries and Aquatic Resources (BFAR));
- i. Activities that have alternative prior sources of committed funding;
- j. Activities for fiesta and other religious and cultural activities;
- k. International travel;
- l. Salaried activities that employ children below the age of 16, and production or activities involving harmful or exploitative forms of forced labor or child labor;
- m. Consumption items;
- n. Maintenance and operation of infrastructure built from Project funds;
- o. Production of or trade in any product or activity deemed illegal under the Philippines laws or regulations or international conventions and agreements or subject of international phase outs or bans, such as (a) pharmaceuticals, pesticides, and herbicides; (b) ozone-depleting substances, (c) polychlorinated biphenyls and other hazardous chemicals, (d) wildlife or wildlife products regulated under the Convention on International Trade in Endangered Species of Wild Fauna and Flora and (e) transboundary trade in waste or waste products;
- p. Production of or trade in weapons and munitions, including paramilitary materials;
- q. Production of or trade in alcoholic beverages, excluding beer and wine;
- r. Production of or trade in tobacco;
- s. Gambling; casinos and equivalent enterprises;

- t. Production of or trade in radioactive materials, including nuclear reactors and components thereof;
- u. Commercial logging operations or the purchase of logging equipment for use in primary tropical moist forests or old-growth forests; and
- v. Marine and coastal fishing practices, such as large-scale pelagic drift net fishing, harmful to vulnerable and protected species in large numbers and damaging to marine biodiversity and habitats.

2. In compliance with the NCIP AO 3, series of 2012 - Part III, Section 25 on “Excluded Areas”, the following areas are likewise excluded from any activity except for the exclusive purposes for which they are identified.

- a. Sacred grounds and burial sites of indigenous communities;
- b. Identified international and local cultural and heritage sites;
- c. Critical areas identified or reserved by the ICCs/IPs for special purposes, and;
- d. Other areas specifically identified by ICCs/IPs in their Ancestral Domain Sustainable Development Protection Plan, or ADSDPP.

3. In relation to work under Disaster Response Operations using the Accelerated Community Empowerment Activity Cycle (CEAC), the following activities are not allowed:

- a. repair of facilities storing hazardous substances (e.g. fuel depots), except simple clearing of debris or landslide materials on access roads and perimeters;
- b. major repair or reconstruction of damaged waste management facilities, except the collection of spilled and dispersed waste from the facility and returning it to its original position on the facility, or a safe temporary repository on the perimeter;
- c. repair of privately owned production facilities;
- d. any “salvage logging” operations (which might be undertaken as result of storm damage to forests);
- e. repair of dykes or dams that are higher than higher than 5 m, or store water volumes larger than 1,000,000 m³;

- f. construction of new temporary or permanent infrastructure to bypass devastated areas which have a segment length of > 500 m, and a cumulative length of 2,000 m within a corridor of 10 km or less;
- g. construction of new, or substantial expansion of existing flood protection works, especially when this involves the conversion of floodplains or riverine forests;
- h. bulk purchase of fuel, lubricants, pesticides, herbicides or other hazardous substances;
- i. any activity in a sensitive or protected natural habitats as defined by World Bank Operational Policy 4.04, except the removal of debris and the repair of pre-existing infrastructure (e.g. access roads or park ranger buildings).

4. In relation to work under Disaster Response Operations using the Accelerated Community Empowerment Activity Cycle (CEAC), the following activities constitute exemptions to the negative list, and may therefore be allowed:

- a. Repair of rural and local roads, and repair/reconstruction of small bridges with a maximum span of up to 15m.
- b. Backfill, reshaping and landscaping of areas affected by erosion
- c. Repair of existing riverbank protection systems and earth-fill dykes up to 5m height, subject to risk assessment, and if supervised by a qualified engineer
- d. Construction of temporary bypass roads up to 500 m length, if not located in sensitive habitats and land acquisition follows the provisions of the main ESMF and bypasses are

completely removed and the alignment restored to its original conditions once the need for their service has expired

- e. Repair / reconstruction of communal irrigation and water supply systems and of facilities that they have been completed with project funding.
- f. Collection and removal of technogenic debris (building parts, mixed waste, timber) such as uprooted trees and plant debris from public infrastructure, public spaces and agricultural areas, and its deposition in pre-existing waste management facilities that are operating under national licensing and regulations and compliant with normal practices in the country.
- g. Repair of public buildings (including barangay halls, school buildings, day care centers, government offices, tribal halls, meeting hall, multi-purpose centers and places of congregation used as administrative spaces for disaster and relief operations and information dissemination) and infrastructure (e.g. transmission lines, street lighting, traffic signs, bus stops)
- h. The procurement tools and equipment for purposes of removal of debris (i.e. chain saws and/or bolt/wire cutters), provided that the purchase is approved by, and the tools are subsequently registered with the appropriate regulatory agencies.
- i. Shelter, including emergency and transitional shelter and temporary housing, and support for permanent shelter repair in safe areas
- j. Setting up of temporary facilities to deliver basic service needs of affected communities, such as field schools, temporary health facilities, and water facilities.