



# ENHANCING COMMUNITY-DRIVEN DEVELOPMENT THROUGH CONVERGENCE

A CASE STUDY OF HOUSEHOLD- AND COMMUNITY-BASED INITIATIVES IN PHILIPPINE VILLAGES

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The study, Enhancing Community Driven Development through Convergence: A Case Study of Household- and Community-Based Initiatives in Philippine Villages, examines the experience of the KALAHI-CIDSS National Community-Driven Development Program (KC-NCDDP) in the Philippines.

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# Abbreviations

ADB	Asian Development Bank
ARC	Agrarian Reform Community
BUB	Bottom-Up Budgeting
CBMS	Community-Based Management System
CDD	community-driven development
CEAC	Community Empowerment Activity Cycle
DSWD	Department of Social Welfare and Development
KALAHI-CIDSS	Kapit-Bisig Laban sa Kahirapan–Comprehensive and Integrated Delivery of Social Services
KC-NCDDP	KALAHI-CIDSS–National Community-Driven Development Program
LGU	local government unit
Listahanan	National Household Targeting System for Poverty Reduction
MLGU	municipal local government unit
MTP	Municipal Transition Plan
NHTS-PR	National Household Targeting System for Poverty Reduction
PAMANA	Payapa at Masanang Pamayanan
PANTAWID PAMILYA	Pantawid Pamilya Pilipino Program
PSA	participatory situation analysis
SLP	Sustainable Livelihood Program



# Executive Summary

## Background

As a development approach that gives control over planning decisions and investment resources to community groups and local governments, community-driven development (CDD) has been defined as having the following five features: (i) community focus, (ii) participatory planning and design, (iii) community control of resources, (iv) community involvement in implementation, and (v) community-based monitoring and evaluation. Unique to CDD is the direct disbursement of investment funds or resources to communities that allows them to design, implement, operate, and maintain small-scale infrastructure such as, classrooms, community irrigation systems, day care centers, health stations, postharvest facilities, rural roads, sanitation facilities, and water supply systems.

While the various CDD models share the basic premise that communities should be at the forefront of their own development, there are differences in design with regard to geographic scope, time frames, implementation arrangements, subproject selection mechanisms, funding flows, roles of secondary agents (i.e., national and local government agencies and civil society organizations), and community decision-making process. The need for local development varies from community to community and country to country, requiring a flexible approach tailored to local circumstances.

In recognition of the need for this flexible approach, this case study on the Philippines' CDD experience, and in particular, the Kapit Bisig Laban sa Kahirapan–Comprehensive and Integrated Delivery of Social Services (KALAHI–CIDSS) project, and its successor initiative, the KALAHI–CIDSS–National Community-Driven Development Program (KC–NCDDP), seeks to better understand the dynamics of how communities respond to multisector interventions, whether initiated by national or local governments or civil society, in particular, the complementarities and synergies of various poverty reduction projects and the dynamics of interaction between the different actors—local governments, central government sector agencies, and the community themselves—who are involved in carrying out pro-poor interventions.

The KC–NCDDP seeks to empower communities in target municipalities to achieve improved access to basic services and to participate in more inclusive local planning and budgeting.

The KC–NCDDP, which has a 6-year implementation period from 2014 to 2019, targets 847 municipalities in 58 provinces in 14 regions of the country (except for the National

Capital Region and the Autonomous Region of Muslim Mindanao), is expected to impact some 5.4 million households in 19,647 *barangays*.

The total cost of the KC-NCDDP over its 6-year implementation period is P43.9 billion. Of this total amount, P33.4 billion (76% of the total) is allocated to community grants. Capacity building and implementation support has an allocation of P8.3 billion (19%) and program management and monitoring and evaluation has a budget of P2.2 billion (5% of the total funds required).

The KC-NCDDP receives funding from both local and external sources. Local sources include the Philippines' national government, local government units, and contributions from participating communities. External sources are loans and grants from the World Bank and the Asian Development Bank, and grants from bilateral donors such as the Millennium Challenge Corporation of the Government of the United States, and Australia's Department of Foreign Affairs and Trade.

The study on which this report is based sought to better understand the dynamics of convergence with regard to (i) the interactions between the KC-NCDDP, the Pantawid Pamilya Conditional Cash Transfer Program (the Pantawid Pamilya program), and the Sustainable Livelihood Program (SLP), which are the three major assistance programs of the Philippine government's Department of Social Welfare and Development (DSWD); (ii) the interactions between these DSWD programs and the development interventions of other national sector agencies; and (iii) their effects on targeted poor rural communities in the Philippines.

Within the context of the DSWD, two convergence strategies are currently under implementation. The first—which we may call “Pantawid Pamilya-focused” (or, household-focused) convergence—is based on the DSWD's strategic goal that seeks to “improve capacities of 2.3-million Pantawid Pamilya families in accessing opportunities to move their level of well-being by 2016.” This strategic goal is clearly focused on the beneficiaries of the Pantawid Pamilya Conditional Cash Transfer Program.

Related to—but distinct from—Pantawid Pamilya-focused convergence, is the convergence (i.e., coordination) envisioned between the KC-NCDDP and the poverty reduction programs of other sector agencies, particularly those funded and implemented through the Bottom-Up Budgeting (BUB) program, which is the national government initiative that seeks to ensure inclusion of the funding requirements of local communities as identified by local stakeholders in the budget proposals of participating national sector agencies. The convergence effort between the KC-NCDDP and the programs of other national sector agencies—which is referred to throughout this report as “community-focused convergence”—targets KC-NCDDP-assisted communities.

The study underlying the present report involved field research and desk review of key documents including policy memoranda, circulars, terms of reference, reports, studies, and impact evaluations. A number of feedback meetings were also conducted with KC-NCDDP staff, both in the field and at the KC-NCDDP central office.

Field research was conducted in three municipalities that have been assisted by the KC-NCDDP's predecessor initiative, the KALAHI-CIDSS project. These three municipalities include one each from the Philippines' three major island groupings (i.e., Luzon island, the Visayas island grouping, and Mindanao island). Within each of the three municipalities studied, two *barangays* were selected as study sites. A fourth municipality in the Visayas island grouping served as a pre-test of the research study's data-gathering methodologies and instruments.

The fieldwork generated primary data through individual interviews and focus group discussions with respondents from four groups of informants: (i) local implementation staff of the KC-NCDDP and other sector agencies; (ii) local government unit (LGU) officials (at the municipal and *barangay* levels) within the study municipalities; (iii) *barangay* project management teams (of both KC-NCDDP and non-KC-NCDDP projects), and (iv) selected community residents. In addition, the research team also interviewed KC-NCDDP regional project management teams (RPMT) in the regions in which the three study municipalities are located.

## Key Findings on Household-Focused Convergence Efforts

1. **Poverty Targeting.** Still to be fully resolved is the issue of the database to be used for designing poverty reduction interventions and selecting their respective sets of beneficiaries. While municipal LGUs use the community-based management system (CBMS) database for this purpose, DSWD-initiated development plans use the Listahanan (National Household Targeting System for Poverty Reduction [NHTS-PR]) database, which is used to identify beneficiaries for the Pantawid Pamilya conditional cash transfer program. Apart from implications relating to poverty targeting, the choice of targeting tool—whether the Listahanan or CBMS database—may have implications for municipal local government unit (MLGU)/national government agency support and MLGU ownership of the Municipal Transition Plan (MTP). Fortunately, resolution of the issue is not likely to be overly difficult, as there is a high level of compatibility between the social welfare and development indicators that use the Listahanan database, and the core local poverty indicators that the CBMS uses. In fact, MLGU staff respondents admit that there is currently an 85% level of consistency between the Listahanan and CBMS databases.
2. **The Municipal Transition Plan.** The MTP, which contains a comprehensive set of development interventions for improving the well-being of Pantawid Pamilya beneficiary households, is expected to draw support from the resources of the MLGU and interested national sector agencies. The strength of the MTP is that it is based on a survey of Pantawid Pamilya beneficiaries that uses DSWD's social welfare indicators. On the other hand, identified weaknesses of the MTP include (i) lack of sufficient clarification of the MTP strategy and the projects it encompasses; (ii) little articulation of coordination issues that are critical to the effectiveness of the plan; (iii) differences in understanding among stakeholders of the objectives of the MTP; and (iv) uneven quality among the various local community versions of the MTP

because of differing levels of adherence to procedures, and the fact that DSWD staff are distracted due to lack of time. The MLGU response to the MTP has been generally positive. However, MLGUs seem to prefer a supporting role rather than assuming leadership (and ultimate responsibility) for successful implementation of the MTP. On the positive side, MGLUs have been working toward inclusion of Pantawid Pamilya beneficiaries in the various welfare and development programs of the municipal government and its departments, although to varying degrees.

3. **Effects of Household-Focused Convergence.** The Asian Development Bank (ADB) team found the following emerging benefits of household-focused convergence: (i) alignment of program activities has reduced the amount of time required for participation by village residents; (ii) Pantawid Pamilya beneficiaries constitute a major bloc of attendees at village assemblies and other KC-NCDDP activities; (iii) heavy representation of Pantawid Pamilya beneficiaries in KC-NCDDP activities—these beneficiaries constitute the poorest of the poor in most villages—that ensures that the needs of the poorest in the community are considered in the design of community projects to be proposed for KC-NCDDP funding, and possibly, for BUB funding as well; and (iv) Pantawid Pamilya families being given priority in the recruitment of construction workers for KC-NCDDP-funded community projects. However, while employment of Pantawid Pamilya beneficiaries in the construction works under KC-NCDDP-funded projects has been substantial, a number of constraints could prevent further increases in Pantawid Pamilya family employment. These include the presence of non-Pantawid Pamilya beneficiary families in the village who seek the same employment, the KC-NCDDP practice of paying workers on a weekly basis, and deductions being made from workers' wages that are ultimately used to help finance community counterpart funding of KC-NCDDP-assisted projects.
4. **Women's Participation in KC-NCDDP Construction Works.** On a program-wide basis, the percentage of women undertaking KC-NCDDP-funded construction works has been rising steadily, and now constitutes 27% of the labor force used by KC-NCDDP-funded projects. This favorable development notwithstanding, the ADB team found that women continue to encounter two major obstacles to obtaining construction employment: (i) the existing gender division of labor; and (ii) fear of hurting their husband's feelings.
5. **Pantawid Pamilya beneficiaries have become Sustainable Livelihood Program borrowers.** A number of Pantawid Pamilya beneficiaries have met the requirements necessary for joining the SLP as borrowers, both as individuals and as groups. SLP borrowers are usually organized into groups with a minimum of five members. Despite some repayment problems, SLP participation has enabled some beneficiaries to increase the value of their business assets, finance farm production, retain greater incremental income through reduced interest rates, and use savings to fund the schooling expenses of their children. A promising initiative is the launch of group enterprises funded by pooled loans of clusters of individual SLP borrowers. These group enterprises, if monitored and supervised properly, could enable participants to learn business management skills firsthand, while providing financial controls that increase the likelihood that the bulk of SLP loan funds will remain intact for a significant period.

## Key Findings on Community-Focused Convergence

Since the specific procedures for KC-NCDDP community-focused convergence are still evolving (compared with the more advanced Pantawid Pamilya-focused convergence measures), the ADB team focused the study on two areas: (i) the perceptions and level of support of various local stakeholders of KC-NCDDP processes, the Community Empowerment Activity Cycle (CEAC) in particular; and (ii) opportunities for harmonizing the project selection and implementation processes of the CEAC and the BUB program.

- 1. Views on Social Preparation and Use of the Participatory Situation Analysis.** In general, stakeholders have positive perceptions of the social participation and the participatory situation analysis (PSA). On the whole, municipal staff are much better informed about KC-NCDDP social preparation processes than are their regional counterparts because of the former's involvement in the Municipal Inter-Agency Committee, a KC-NCDDP-initiated mechanism that brings together local government staff based in the respective beneficiary municipalities.
- 2. Views on Community Procurement.** Village residents and *barangay* officials are positive about the adoption of community procurement. What is surprising, however, is that local representatives of national sector agencies are actually quite open to the adoption of community procurement as a modality for implementing village projects. Only municipal officials appeared to have a negative view of community procurement, possibly because of concerns relating to delays in project completion and the need for the municipal government to subsidize expenses not included or underestimated in the budget estimate of the project concerned.
- 3. Views on the Community Force Account.** Primary beneficiaries—villagers and *barangay* officials—are generally positive about use of the community force account (CFA) because of employment generation, as well as the resulting sense of ownership that is built up by villagers. Local representatives of sector agencies are also open to use of the CFA, as long as the necessary technical expertise is available to provide supervision and quality control during construction works. However, the views of municipal officials raised a number of important objections to use of the CFA, including cost overruns, no significant improvements in the working conditions of hired labor, and the potential for favoritism in labor recruitment.
- 4. Views on Community Management of Project Implementation.** Village residents expressed enthusiastic support for community management of implementation of KC-NCDDP-assisted projects. They consider the KC-NCDDP process to be better than the conventional government process of implementing projects in which only *barangay* LGU officials know of the project, while the remainder of *barangay* residents are kept uninformed. However, residents and their leaders alike feel powerless to adopt and implement this policy since the national government agencies—that control project funds—insist on traditional agency-driven procedures in project implementation.

The above positive comments notwithstanding, some *barangay* LGU respondents expressed ambivalence regarding full adoption of community management of implementation of KC-NCDDP–assisted projects. A number of respondents expressed the view that while residents should be involved and informed, actual project implementation (i.e., construction works) should still be managed by the *barangay* council concerned.

5. **Views on Community Management of Funds.** All stakeholders—including the MLGUs—view community management of funds in a positive light. With appropriate safeguards in place (including proper training of volunteers), stakeholders view KC-NCDDP community management of funds as perhaps being even better than conventional government processes. Among village residents and their officials, there is significant appreciation of the transparency brought about by community financial management. It is interesting to note that under community financial management, residents (and their officials) are more motivated to provide additional counterpart funds because they themselves manage the money. Sector agencies also favor community fund management because the number of intermediaries (each of which deducts an administrative fee from grant funds) is significantly reduced, thus resulting in more funds being made available to the community.

## Opportunities for Harmonizing KC-NCDDP and Bottom-Up Budgeting Processes

Following are a number of opportunities identified by the ADB research team for further harmonizing KC-NCDDP and BUB processes and procedures.

1. **Participatory Situation Analysis as a Common Platform for Planning and Project Selection.** Among the many opportunities for harmonizing KC-NCDDP and BUB project selection processes, use of the PSA results for selecting projects to include in the Local Poverty Reduction Action Plan of the BUB is the most important. The venue for introducing the PSA as a common planning platform is the unified Municipal Inter-Agency Committee, the membership of which is almost the same as that of the local poverty reduction action team.
2. **Coordinated Selection of Community Projects.** Effective harmonization of project selection mechanisms requires ongoing dialogue and collaboration between the KC-NCDDP area coordination team and the local municipal local government operations officer, who is responsible for BUB processes in the municipality. Because of its extensive experience, the KC-NCDDP has many tested procedures for addressing issues relating to BUB project selection such as (i) lack of sufficient information for making an informed judgment on the project concerned; (ii) absence of prior validation, which results in some projects being subsequently found to be infeasible; and (iii) the need for realistic budget estimates, especially since the LGU must shoulder any unforeseen costs associated with implementing community projects.

3. **Use of KC-NCDDP Implementation Procedures in Bottom-Up Budgeting Projects.** There is significant potential for introducing CDD elements into the BUB-funded projects of national sector agencies, particularly if the MLGU takes a lead role in this regard. After all, there are existing CDD-like elements in the project implementation procedures of national government agencies such as the following: (i) many sector agencies already work with community groups; and (ii) sector agencies already provide space for community groups to participate in project implementation, e.g., involvement in procurement processes, limited control over funds, and management of construction works. In addition to the policy support of the KC-NCDDP national office, the regional offices of the KC-NCDDP have the important role of engaging their counterparts in the regional and provincial offices of sector agencies to become more aware (and eventually convinced) of the effectiveness of the KC-NCDDP approach to implementing community projects. At the municipal level, KC-NCDDP staff should ensure that monitoring by Municipal Inter-Agency Committee members of KC-NCDDP-supported projects not only focuses on physical progress, but also on CEAC community mobilization processes such as participation of residents, the work of community volunteers, grievance redress, and project management processes including procurement and construction. This would further deepen the level of understanding by Municipal Inter-Agency Committee members of KC-NCDDP CEAC processes.
4. **Building the Capacity of the Municipal Local Government Unit for Effective Management of Bottom-Up Budgeting Projects.** The KC-NCDDP has an inherent interest in successful implementation of the MLGU's BUB program as a whole, if only for the benefit that BUB projects bring to KC-NCDDP beneficiary communities. Hence, it might need to invest in building the institutional capacity of the project management unit within the MLGU that coordinates and supports communities during the various stages of project development and implementation. In large part, the success of the KALAHIL-CIDSS project to date is due to the field presence of a project management unit (the area coordination team) that coordinates and supports communities during project development and implementation. At the moment, there is no similar structure within the MLGU for centralized management of BUB projects. The role of the local poverty reduction action team ends with the selection of projects and preparation of the Local Poverty Reduction Action Plan. Absence of a dedicated project management unit, within the municipality is a major reason for the delays that have plagued implementation of BUB projects to date.

## Lessons Learned and Implications for Policy and Practice

The following lessons have emerged from the nascent experience of KC-NCDDP convergence with other sector agencies. These can be of significant help to the DSWD and the KC-NCDDP as they discern the future in light of the May 2016 national elections and the resulting uncertainty associated with a new national administration.

1. **Convergence as a journey.** Despite lip service to the contrary, it is not easy for agencies—government bureaucracies in particular—to converge. The bureaucratic

nature of government agencies—and the resulting fixation on achievement of individual agency targets—promotes operational modalities based on “silo” mindsets.

Convergence will not occur overnight: it is a journey that will prosper and reach its desired destination only if it receives the right combination of time and care. To prosper, the convergence journey needs a common platform for the operational intersection of participating programs. That is, it needs a desired destination, a reference map on how to get there, and a navigator. Of these three elements, the role and importance of the navigator or “lead column” of convergence cannot be overemphasized. In this particular case, two lead columns are necessary: (i) the Convergence Management Secretariat as the orchestrator of convergence among the DSWD programs; and (ii) a yet-to-be-named entity within the KC-NCDDP that would lead the KC-NCDDP’s convergence efforts as these relate to other sector agency programs.

2. **“Pinning down” convergence.** It is important for the *why* and *what* of convergence to be ascertained more definitively, both with regard to *implementation* (and the implementing agencies), as well as its *desired effects* on a necessarily diverse set of beneficiaries.

Objectives need to be identified, segregated into milestones, expectations, resources, and support mapped in a way that responds to the various stages of the overall convergence effort. A clear road map would prevent the principal actors from simply reacting to implementation realities, and would avoid frequent changes to policies and procedures that result in confusion and wasted effort.

In the context of the KC-NCDDP convergence effort, this will require articulation of the benefits of convergence for KC-NCDDP communities, which is the objective level of the program. Appropriate indicators for these convergence-generated benefits will likewise need to be articulated. A good starting point would be to ask the target beneficiaries (or beneficiary communities) to articulate what they consider to be the benefits of convergence.

Finally, since it was not possible to synchronize the respective start-up dates of the participating programs, it is critical that the key program decision makers be continually engaged in setting and clarifying the vision and determining the objectives of, and identifying the adjustments necessary for propelling coordinative work among the various program partners. Since the convergence journey is often into unfamiliar territory, it is important that its travelers check their bearings regularly—in fact, anytime (even right now) is a good time to stop and check if they are on the right track.

3. **Pre-conditions for convergence.** While national level support is a necessary pre-condition for the success of convergence at the field level, this is not a sufficient condition for such success. Equally important is the willingness of local participants to converge, which is a continuing process of becoming rather than a permanent state. This willingness is dependent on three factors: (i) continuing encouragement from above; (ii) understanding and appreciation on the part of individual participants of the value of convergence and equally important, its benefits to their own individual



programs; and (iii) awareness and appreciation of the programs and activities of other participants.

Equally important is the presence of functional local structures for convergence. The continued functionality of these structures is highly dependent on the provision of effective leadership, provision of funds, a clear program of work, and continuing feedback between meetings to build trust and cooperation among committee members. In general, there is a need for greater involvement of the LGUs, particularly at the municipal level. At the same time, there is an urgent need for building the capacity of the Municipal Social Welfare Office, which serves as the local agent of the DSWD in the convergence effort, particularly its household-focused dimension.

4. **Municipal action teams have a critical role to play in field-level convergence.** At the field level, the municipal action team appears to have become generally effective as the mechanism for coordination. If the municipal action teams are able to see the links between the three programs, they can better operationalize these—whether singly or in concert—through interventions that provide particular focus on the poor and marginalized, whether at the household or community level.

The minor confusion regarding the nature of the municipal action team's plans and the respective responsibilities of the DSWD and the LGU over the implementation and outcome of these plans needs to be resolved. Municipal action teams also need continuing guidance on how to better engage LGUs, particularly in getting the latter to assume greater responsibility for implementing the municipal action team's plans that in fact serve Pantawid Pamilya beneficiaries.

Leadership remains an issue since effective functioning of the municipal action team is highly dependent on its leadership. On one hand, the area coordinator of the KC-NCDDP team possesses the best skill set for assuming leadership of the municipal action team. However, the KC-NCDDP has its own ambitious targets, which could be imperiled if the energy of the area coordinator were to be diverted to implementing the MTP. At the same time, it is more appropriate for the Pantawid Pamilya team to assume responsibility for MTP implementation, since the MTP clients are, after all, beneficiaries of the Pantawid Pamilya program.

5. **Apart from its participation in household-focused convergence, the KC-NCDDP is uniquely positioned to advance community-focused convergence.** It is important to build much closer links between the KC-NCDDP and the BUB program, both in planning and implementation. In this regard, a number of opportunities have already been mentioned, the most important of these being common use of PSA results in selecting beneficiaries.

Another important harmonization area is use of KC-NCDDP implementation procedures in BUB-funded projects. As discussed, this can build on the CDD-like elements in the project implementation procedures of many national government agencies. While the KC-NCDDP National Office can support this effort through social marketing and documentation of successful adoption efforts, the regional and provincial KC-NCDDP offices have the more important role of engaging their

respective sector agencies so that the latter become more aware (and eventually convinced) of the effectiveness of the KC-NCDDP approach to implementing community projects.

Finally, while not directly related to the harmonization effort, the KC-NCDDP has an inherent interest in successful implementation of the MLGU's BUB program as a whole, if only for the benefit that BUB projects bring to KC-NCDDP beneficiary communities. Hence, the KC-NCDDP might need to invest in building the institutional capacity of the project management unit within the MLGU that coordinates and supports communities during the various stages of development and implementation of BUB- and KC-NCDDP-funded projects.

6. **Despite the difficulties, there is a sufficient basis for optimism that convergence can work.** For one, the contributions of CDD-built infrastructure facilities to improvement in basic service delivery and expansion of livelihood opportunities are irrefutable. Second, there is emerging appreciation among local decision makers of the value of CDD processes and procedures. Third, convergence has the support of the Department of Social Welfare and Development's top management, which translates into availability of resources for convergence initiatives. Fourth, convergence addresses the inherent limitations of KC-NCDDP as a development assistance program. Improved convergence among the three DSWD programs (and the programs of other national sector agencies) would provide increased benefits to community and household beneficiaries.



# 1. Introduction

Since 2007, the Asian Development Bank (ADB) has approved two regional technical assistance initiatives in support of knowledge generation and capacity building as it relates to community-driven development (CDD) in its developing member countries.<sup>1</sup> A third such regional technical assistance initiative, Supporting the Operationalization of Community-Driven Development in Developing Member Countries,<sup>2</sup> was approved in October 2013.

ADB has defined CDD as having the following five features: (i) community focus, (ii) participatory planning and design, (iii) community control of resources, (iv) community involvement in implementation, and (v) community-based monitoring and evaluation.

As a development approach that gives control over planning decisions and investment resources to community groups and local governments, one unique feature of CDD is direct disbursement of investment funds or resources to beneficiary communities. This allows them to design, implement, operate, and maintain small-scale infrastructure such as classrooms, community irrigation systems, day care centers, health stations, postharvest facilities, rural roads, sanitation facilities, and water supply systems.<sup>3</sup>

A 2009 study showed that CDD: (i) results in more cost-effective delivery of international donor funding for rural infrastructure projects; (ii) presents a more responsive approach to local community infrastructure demands, thus generating increased benefits; (iii) instills a sense of ownership that translates into better operation and maintenance, and thence increased sustainability; (iv) provides a fund disbursement mechanism that promotes transparency and limits leakages; and (v) results in projects with higher rates of return than ADB sector projects implemented under more conventional arrangements.<sup>4</sup>

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<sup>1</sup> The first two regional technical assistance initiatives were (i) Supporting Community-Driven Development in Developing Member Countries (RDTA 6400, approved in May 2007); and (ii) Sharing Knowledge on Community-Driven Development in Asia and the Pacific (R-CDTA 7543, approved in June 2010). The respective technical assistance completion reports rated both initiatives satisfactory. Countries participating in these initiatives included Bangladesh, Cambodia, the People's Republic of China, India, Indonesia, the Republic of Korea, the Kyrgyz Republic, the Lao People's Democratic Republic, the Federated States of Micronesia, Mongolia, Myanmar, Nepal, Pakistan, the Philippines, Solomon Islands, Sri Lanka, Timor-Leste, and Viet Nam.

<sup>2</sup> ADB. 2013. *Technical Assistance for Supporting the Operationalization of Community-Driven Development in Developing Member Countries*. Manila (TA 8589-REG).

<sup>3</sup> ADB. 2006. *A Review of Community-Driven Development and Its Application to the Asian Development Bank*. Unpublished.

<sup>4</sup> ADB. 2009. *Supporting Community-Driven Development in Developing Member Countries: Community-Based Development in Water and Sanitation Project*. Manila.

There are numerous variants of the CDD model. While the foundation of all of these variants is the premise that communities should be at the forefront of their own development, the variants themselves differ widely with respect to their geographic scope, time frame for completion of project works, implementation arrangements, subproject selection mechanisms, funding flows, roles of secondary agents (i.e., national and local government agencies, and civil society organizations), and community decision-making processes. This divergence is a natural outgrowth of the fact that development requirements and priorities vary greatly from community to community and from country to country. The numerous variants of the CDD model that have emerged to date thus reflect the necessity of adopting a flexible approach to development that is tailored to local circumstances.

In recognition of the need for such a flexible approach, the overall objective of this third ADB regional technical assistance focusing on CDD is “increased knowledge and capacity of participating developing member countries to operationalize the community-driven development approach.” Its major activities involve the (i) production of analytical work on the CDD approach to support the inclusive growth agenda; (ii) conduct of cross-country learning exchanges on the CDD approach to contribute in the long run to building the capacity of selected developing member countries; and (iii) identification of information and communication technology initiatives that improve basic service delivery at the local level.

Simply stated, the “production of analytical work” referred to in (i) above encompasses two studies on CDD initiatives: one in Indonesia, the other in the Philippines.

In the case of the study on the Philippines—which is the focus of the present report—the overall objective was to improve the current level of understanding of how beneficiary communities respond to multisector interventions, regardless of whether these are initiated by government or civil society organizations, as well as how improved cooperation and coordination among these agencies might expand the beneficial impacts of development assistance initiatives at the community level. For this purpose, one of the major objectives of the study was to review the institutional arrangements necessary for successfully and efficiently implementing community-driven rural infrastructure development projects in the Philippines.

In the Philippine context, such a study would be incomplete if it failed to link the review of institutional arrangements referred to above with the Philippine government’s “convergence” initiative. In the Philippines’ development circles, the assumption underlying “convergence” is that strengthening the institutional arrangements necessary for successfully implementing development projects through closer cooperation and coordination between government agencies at all levels—as well as their relationships with nongovernment agencies—results in an efficiency gain in the delivery of community-driven rural infrastructure development projects through complementarities and synergies that would not occur in the absence of convergence.

Well-coordinated institutional arrangements of this type that are the product of convergence are necessarily multi-layered, as they relate to—and must facilitate—efficient communication and interaction between the beneficiary community concerned, a relatively

large number of local government agencies as well as their counterparts at the regional and national levels, and civil society organizations that are active in rural infrastructure development initiatives.

In essence, the study on which this report is based attempted to analyze the institutional arrangements—and interactions—between the numerous government agencies involved in the overall development effort in the Philippines by focusing on the government’s convergence initiative, which is meant to result in beneficial complementarities and synergies that increase the efficiency with which development resources are used in CDD projects.

From a broader perspective, an additional objective of the study was to identify opportunities for expanding application of the CDD approach in ADB operations through initiatives, such as convergence, and the pre-conditions necessary for ensuring that developing member countries, such as the Philippines, are able to maximize the potential benefits that might accrue from such expansion.

The structure of the report is as follows: Chapter 2 provides an overall background to the study on which this report is based, particularly as it relates to the nexus between the Philippine government’s convergence initiative and community-driven rural infrastructure projects in the country in general.

Chapter 3 briefly summarizes the key aspects of the KC-NCDDP, as well as the predecessor initiative on which the KC-NCDDP is based, which is the KALAHI-CIDSS project.

Chapter 4 then compares and contrasts the household-focused and community-focused convergence strategies, while Chapters 5 and 6 respectively present the study results relating to the household-focused and community-focused aspects of the convergence initiative.

Chapter 7 summarizes the opportunities for harmonizing KC-NCDDP and Bottom-Up Budgeting (BUB) procedures identified by the study, while Chapter 8 concludes the report by summarizing the lessons learned from the study, and the implications of these lessons learned for policy and practice.

## 2. Background to the Study

This chapter summarizes the key aspects of the study on which this report is based. These include (i) the study’s relationship to the government’s “convergence” initiative, (ii) the study’s major objectives, (iii) the geographic locations of the study sites, (iv) the research methodology employed, (v) the scope of the study, and (vi) its limitations.

While a still-evolving development concept in the Philippines, the basic notion underlying “convergence” is that bringing together all actors that engage in pro-poor interventions in a way that avoids duplication of effort and waste and instills a unified sense of purpose that ultimately multiplies the positive impacts of development initiatives on beneficiary communities. Such a desirable outcome in turn steepens the overall national development trajectory at no additional cost to society at large.

As the convergence initiative in the Philippines is still evolving, its operationalization remains incomplete. As a result, the study necessarily assessed an ongoing rather than a completed initiative. To date, the government’s convergence initiative has mainly focused on three development programs that come under the purview of its Department of Social Welfare and Development (DSWD), which is the premier development agency in the Philippines.

As these three programs will be referred to many times in the chapters that follow, it is worthwhile to name them at the outset, if for no other reason than these three programs provide an overall framework for understanding the government’s convergence effort.

The first of these programs is the **KC-NCDDP**, which is itself a successor development initiative—and an expansion of—a similar earlier development initiative on which the KC-NCDDP is based. This predecessor program—the beneficial impacts of which have not yet fully played out—is the **KALAHI-CIDSS**.

While the logic underlying both the KC-NCDDP and its predecessor initiative, the KC-CIDSS, is similar—in many cases, identical—it is important to distinguish between these two programs from a temporal perspective, even though the line of demarcation between the two initiatives sometimes tends to blur, as the foundation of the KC-NCDDP is the success of the KALAHI-CIDSS.

The second of the three development initiatives that form the core of the Philippine government’s convergence initiative is the **Pantawid Pamilya program**, a means-tested conditional cash transfer program that provides direct cash assistance to low-income households that meet relevant eligibility criteria.

The third of these initiatives is the **Sustainable Livelihood Program**, a microcredit initiative that extends microloans to low-income households, primarily for the purpose of establishing microenterprises and providing business support to them. The overall objective of the Sustainable Livelihood Program is thus to provide—as the name implies—a sustainable livelihood to beneficiary households.

Finally, while not specifically one of the three development programs that form the core of the Department of Social Welfare and Development's (DSWD's) poverty reduction initiatives, the national government's multi-agency **Bottom-Up Budgeting program** is often referred to in the main text of this report. The overall objective of the BUB program is alignment of the budgets of national government sector agencies with the development requirements of low-income communities. The notion underlying this initiative is intertwined with the community-driven approach to development in that it holds that to be effective and efficient, development budgeting should be driven by community-level priorities. The government's BUB program thus facilitates and directly supports CDD.

An important premise of the KC-NCDDP is the convergence of government and nongovernment development assistance to marginalized communities. To this end, the design of the KC-NCDDP includes a number of important features: (i) enhanced engagement with municipal government units; and (ii) developing closer linkages with local government planning systems, and (iii) alignment with the BUB initiative.

## A. Study Objectives

The overall objective of the study is an improved understanding of the Philippine government's convergence initiative, and how the latter relates to community-driven development. More specifically, the study sought to understand (i) interactions between the three major development assistance programs of the DSWD (i.e., the KC-NCDDP, the Pantawid Pamilya program, and the Sustainable Livelihood Program); (ii) interactions between DSWD programs and the development interventions of other national government sector agencies; and (iii) the impacts of the latter on rural beneficiary communities in the Philippines.

As defined by DSWD's Operations Manual, "convergence" is

the pooling of expertise and resources, and systematically channeling efforts in pursuit of a commonly agreed goal or objective; a common understanding of [the] what and how of a program, a common commitment and institutional support, and a common resolve for joint action. It is an act of directing complementary and/or synergistic programs or interventions to specified targets—poor households, families, individuals, or communities. It calls for the synchronization and coordination of all interventions of the government (national and local) and the private sector in one geographical area to ensure that reforms in terms of poverty alleviation, among others, are achieved.<sup>5</sup>

<sup>5</sup> DSWD Convergence Management Office. 2014. *Procedural Mechanics in the Operation of the Convergence Strategy*. Manila.



The three DSWD programs on which this study focuses differentiate between two different convergence strategies, both of which are currently under implementation. The first—which we may call “Pantawid Pamilya–focused” (i.e., household-focused) convergence—is based on one of DSWD’s strategic goals, which is to “improve capacities of 2.3 million Pantawid Pamilya families in accessing opportunities to move their level of well-being by 2016.” This goal focuses on the beneficiaries of the Pantawid Pamilya Conditional Cash Transfer Program.

Related to—but distinct from—the Pantawid Pamilya–focused convergence strategy, is the convergence (i.e., coordination) strategy that relates to the KC-NCDDP and the poverty reduction programs of other national government sector agencies, particularly those funded and implemented under the BUB program.<sup>6</sup> This convergence strategy—which focuses on the KC-NCDDP and the programs of other national government sector agencies—may be termed “community-focused convergence.” KC-NCDDP–assisted beneficiary communities are the target clients of Community-Focused Convergence.

The two convergence initiatives referred to above are discussed in greater detail in Chapters 3 and 4 of this report.<sup>7</sup>

In light of the above, the study primarily addressed the following questions:

- (i) How does the convergence effort affect implementation of the KC-NCDDP initiative in target communities?
- (ii) What are the platforms—at the national, regional, provincial, municipal, or *barangay* (i.e., village)<sup>8</sup> levels—that promote convergence?
- (iii) Is there a conscious effort among development implementers—both national and local—to pursue convergence?
- (iv) What are the forms of convergence—among external agencies (government and nongovernment) and communities—that are becoming evident at the field level? What are the assumptions and strategies that underlie these emerging forms of convergence?
- (v) How do community residents deal with multiple government interventions and activities within their respective areas?
- (vi) To what extent does the KC-NCDDP initiative—including its stakeholders and beneficiary communities—influence the manner of project implementation of other national government agencies and local government units?

<sup>6</sup> The BUB program is a national government initiative that seeks to ensure the inclusion of the funding requirements for local development needs as these are identified by local stakeholders in the budget proposals of participating national government sector agencies. It is an approach to preparing the budget proposals of national agencies, taking into consideration the development needs of cities and municipalities, as identified in their respective local poverty reduction action plans, which are formulated with the participation of basic sector organizations and other civil society organizations. Department of Budget and Management (DBM), Department of Interior and Local Government (DILG), Department of Social Welfare and Development (DSWD), National Anti-Poverty Commission (NAPC). 2014. Policy Guidelines and Procedures in the Implementation of the Grassroots Participatory Budgeting Process—formerly Called Bottom-Up Budgeting—for the Preparation of the FY2016 Budget and Succeeding Years. Joint Memorandum Circular No. 5. October. [http://www.dbm.gov.ph/wp-content/uploads/Issuances/2014/Joint%20Memorandum%20Circular%20/JMC2014-5\\_DILG-DSWD-NAPC/DBM-DILG-DSWD-NAPC%20Joint%20Memorandum%20Circular%20No.%205%20dated%20October%201,%202014.pdf](http://www.dbm.gov.ph/wp-content/uploads/Issuances/2014/Joint%20Memorandum%20Circular%20/JMC2014-5_DILG-DSWD-NAPC/DBM-DILG-DSWD-NAPC%20Joint%20Memorandum%20Circular%20No.%205%20dated%20October%201,%202014.pdf).

<sup>7</sup> From the perspective of target clients, Pantawid Pamilya–focused convergence may be called “household-focused convergence,” while the KC-NCDDP convergence effort may be termed “joint agency community-focused convergence.”

<sup>8</sup> The *barangay* (village) is the lowest-level governmental unit in the Philippines.

### Box 1: The Benefits and Challenges of Convergence

The benefits of convergence are significant. Respondents from selected Department of Social Welfare and Development (DSWD) Central Office staff of the KALAHÍ-CIDSS–National Community-Driven Development Program (KC-NCDDP), Pantawid Pamilya, and Sustainable Livelihood Program initiatives interviewed by the Asian Development Bank (ADB) research team identified the following benefits of convergence:

- (i) Convergence maximizes resources for implementing DSWD programs.
- (ii) It reduces duplication, thus improving efficiency, saving time, and reducing costs.
- (iii) It addresses the multidimensional aspects of poverty, which in turn leads to optimum beneficial impact of development assistance.
- (iv) Convergence serves as a venue for the sharing of knowledge, data, and expertise.
- (v) Convergence leads to more coordinated and rationalized interventions for local government units and beneficiary communities.

At the same time, the survey revealed the following constraints that either prevent convergence from occurring, or make it difficult to accomplish:

- (i) There is no shared or unifying mission and vision for convergence. The various project management offices engaged in implementing convergence focus on their individual project goals and performance contracts.
- (ii) There are no clear guidelines and policies pertaining to convergence. For example, there are currently no functional mechanisms to help bring about sustained convergence. There is neither a permanent focal person for convergence in each of the programs, nor is there a coordinating office for issues relating to convergence.<sup>a</sup>
- (iii) There is weak buy-in, significant resistance, and little awareness of key implementers and stakeholders regarding convergence. This is due to the absence of a clear communication message for convergence, lack of regular advocacy, irregular information dissemination meetings on convergence, and unavailability of updates on the convergence efforts of the various programs.
- (iv) Only limited resources—in terms of time, funds, and staff—have been devoted to the convergence effort.
- (v) There is no system for documentation of the experiences, best practices, and lessons learned from convergence.

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<sup>a</sup> Shortly after the survey underlying the study was completed, DSWD organized a Convergence Management Office within the Central Office of the Department. More recently, however, the office has been “downsized” into a secretariat.

Source: Author compilation based on survey conducted on September 2014.

## B. Study Sites

Field research was conducted in three municipalities that were assisted by the former KALAHÍ-CIDSS Project, one each from the Philippines’ three major island groups (Luzon island, the Visayan islands, and Mindanao island). In each of the three municipalities, two *barangays* were selected as study sites.

The study municipalities were selected based on the following criteria:

- (i) An existing KALAHI-CIDSS municipality that was to also participate in the KC-NCDDP in 2014;
- (ii) The presence of the KC-NCDDP, Pantawid Pamilya, and Sustainable Livelihood Program initiatives, as well as at least three programs implemented by other national government agencies;
- (iii) A supportive local government unit;
- (iv) The presence of convergence champions among KC-NCDDP staff and local government agencies;
- (v) The presence of initial efforts at convergence between the KC-NCDDP and programs of other national government sector agencies.

The ADB research team requested assistance from the KC-NCDDP in the selection of suitable study sites based on the above criteria. Discussions between the research team and KC-NCDDP staff resulted in selection of the following three municipalities: (i) Veruela, Agusan Del Sur; (ii) Tanauan, Leyte; and (iii) Capalonga, Camarines Norte.

A fourth municipality—San Remigio, Antique—served as the pre-test of the research study’s data-gathering methodologies and instruments. The San Remigio pre-test was conducted in September 2014. The findings and conclusions of the fieldwork in San Remigio have also been incorporated into this report.

## C. Scope of the Study and Methodology Employed

The analytical work involved field research in the three study municipalities referred to above, as well as desk review of relevant documents including policy memoranda, circulars, terms of reference, reports, studies, impact evaluations, and other relevant documentation.

The original research design envisioned two rounds of field visits to the three municipalities under study. The first round was to establish the baseline condition that, given the “newness” of the convergence initiative, would reveal the extent of early efforts. The second round of field visits—which was to be conducted 1 year later—was to identify changes in the dynamics of the convergence effort and its effects on the study communities and their residents.

The first round of fieldwork—which began as originally scheduled in October 2014—was completed only during the first quarter of 2015. For this reason, a decision was taken to discontinue the second round of field visits. Given the relative newness of the initiative, it was unlikely that there would be significant changes in local convergence efforts if the second round of field visits were to be conducted only 6 months later (i.e., in July–August 2015). There was also concern that there would not be enough time between the conduct of the second field visit and completion of the study’s final report before the January 2016 closure date of the ADB regional technical assistance initiative that funded the study on which the present report is based.

The fieldwork generated primary data through individual interviews and focus group discussions with respondents drawn from four groups of informants: (i) local implementation staff members of the KC-NCDDP initiative and other national government sector agencies; (ii) officials of local government units at both the municipal and *barangay* levels in the municipalities under study; (iii) *barangay* project management teams (of KC- NCDDP and non-KC-NCDDP projects); and (iv) selected community residents. In addition, the research team also interviewed KC-NCDDP regional project management teams in the regions in which the three study municipalities are located.

The interviews and focus group discussions with the various respondents were guided by prepared questionnaires that were based on the issues summarized in Table 1.

**Table 1: Primary Areas of Research and Specific Areas of Investigation Undertaken by the Study**

Primary Research Area	Specific Area of Investigation
Dynamics of Pantawid Pamilya-focused convergence	KC-NCDDP and the municipal action team
	Community-level effects of convergence
	Emerging “best practices” in convergence at the community level
	Analytical tools and impact indicators
Dynamics of KC-NCDDP-focused convergence	Participation of staff from the Bottom-Up Budgeting program and agencies assisting in the KC-NCDDP participatory situation analysis exercise at the <i>barangay</i> level
	Use of results from the participatory situation analysis by staff from the Bottom-Up Budgeting program and other agencies as a basis for community development planning
	Procedures for assignment of <i>barangay</i> -level projects to the KC-NCDDP initiative, the Bottom-Up Budgeting program, and other agencies
	Participation of staff from the KC-NCDDP initiative and the local poverty reduction action team
	Participation of staff from the KC-NCDDP initiative, the Regional Inter-Agency Committee, and the regional poverty reduction action team
	Acceptance of KC-NCDDP procedures by Bottom-Up Budgeting program agencies, municipality- and <i>barangay</i> -level local government unit officials with regard to
	(i) community procurement, (ii) community force accounts, (iii) community-managed project implementation, and (iv) community management of funds.
	Local government unit support of KC-NCDDP convergence at the (i) municipal level, and (ii) <i>barangay</i> level.
Number of community-identified projects funded or implemented	Community-identified projects funded by (i) the KC-NCDDP initiative, (ii) Bottom-Up Budgeting program agencies, (iii) the Department of Social Welfare and Development and the Bottom-Up Budgeting program, and (iv) other agencies.

KC-NCDDP = KALAHI-CIDSS-National Community-Driven Development Program.

Source: Author compilation, November 2014.

## D. Limitations of the Study

The ADB team has identified three limitations to the study on which this report is based:

- (i) The findings of the study may not be representative of the majority of KC-NCDDP-assisted municipalities. The selection criteria were formulated so as to identify field study sites that already had existing convergence initiatives (and challenges). It is possible that these sites represent “current best practice” in convergence within the KC-NCDDP universe.
- (ii) The three DSWD programs—the KC-NCDDP initiative in particular, and to a lesser extent the Pantawid Pamilya program, and the Sustainable Livelihood Program—were in their initial stages of implementation at the time of the field research. A number of field implementation modifications will likely occur before the programs achieve a state of equilibrium. Similarly, convergence, as practiced in the field, is still evolving.
- (iii) As mentioned, the original research design envisioned two rounds of field visits to the three municipalities under study. Given the “newness” of the convergence initiative, the first field visit (during the fourth quarter of 2014) was meant to establish the baseline condition, that is, the early efforts at convergence. The second round of field visits, which was to be conducted 1 year later to document changes in the dynamics of convergence effort and its effects on the study communities and their residents, had to be canceled due to delays in the completion of the first set of field visits.

# 3. The KALAHI-CIDSS National Community-Driven Development Program

This chapter describes the KALAHI-CIDSS National Community-Driven Development Program (KC-NCDDP), which is a primary focus of the analysis performed by the study on which this report is based.

The KC-NCDDP is in fact a successor initiative to the earlier KALAHI-Comprehensive and Integrated Delivery of Social Services (KALAHI-CIDSS) Project, which formed the foundation for the KC-NCDDP, which is currently under implementation. Thus, for purposes of providing the reader unfamiliar with the KC-NCDDP with an appropriate background, this chapter begins with a short description of the earlier KALAHI-CIDSS Project.

Following this, the chapter summarizes the KC-NCDDP's (i) development objectives, (ii) criteria for selecting beneficiary municipalities, (iii) financial and staffing costs, (iv) institutional arrangements for implementation, and (v) field implementation strategy.

## A. The Predecessor KALAHI-CIDSS Project

The current KC-NCDDP builds on the 10-year experience of the KALAHI-CIDSS Project. Together with two other pro-poor development programs implemented by the Philippine government's DSWD, the KC-NCDDP is the country's largest community-driven development project. These other two programs—which the present study also directly addresses—are the (i) Pantawid Pamilya Pilipino program (the Pantawid Pamilya program), which is a conditional cash transfer program that targets the country's poorest 2 million families as beneficiaries, and (ii) the Sustainable Livelihood Program (SLP), which extends microloans to the poorest residents of SLP beneficiary communities for the purpose of establishing microenterprises and providing business support to them.

The DSWD—which is the Philippine government's foremost social protection agency—has overall responsibility for implementing the KC-NCDDP, the Pantawid Pamilya program, and the Sustainable Livelihood Program.

The DSWD's organizational vision for 2030 is that of establishing the department as the "...world's standard for the delivery of coordinated social services and social protection for poverty reduction." In 2018, the DSWD seeks to be the "... established national knowledge

and resources/learning center for good practices on social protection that is recognized in [sic] the [Association of Southeast Asian Nations] ASEAN level.”

Returning once again to the earlier KALAHY-CIDSS program, during its 10 years of implementation, this predecessor initiative supported 11,269 community projects valued at P11.7 billion that continue to serve 2.5 million households. The most common types of community projects funded under the KALAHY-CIDSS included rural roads and water supply systems, and to a somewhat lesser extent, *barangay* health stations, day care centers, pre- and postharvest processing facilities, drainage systems, and school buildings.

The KALAHY-CIDSS project (which some circles refer to as “KC-1”) began operations in 2003 with funding from the World Bank. During its first 7 years of implementation, the project focused on 184 beneficiary municipalities. Then in 2010, the project received fresh funding (KALAHY-CIDSS-Additional Funding) from the World Bank. This additional funding allowed the KALAHY-CIDSS project to continue operations in essentially the same municipalities as those assisted previously. In 2011, the KALAHY-CIDSS expanded to new municipalities with funds from the Millennium Challenge Corporation, which is funded by the Government of the United States.

In the wake of the widely recognized success of the KALAHY-CIDSS project in 2012, the national government, DSWD, and a number of the country’s development partners agreed to scale up the KALAHY-CIDSS Project into its successor initiative, the KC-NCDDP. Design work for this successor initiative was completed in 2013, and formal approvals for the KC-NCDDP from all relevant parties were obtained during the first half of 2014. The governing board of the Philippine government’s National Economic Development Authority approved the KC-NCDDP in January 2014. This latter approval allowed the KC-NCDDP to begin operations during the second half of 2014.

## B. Objectives of the KC-NCDDP

The KC-NCDDP seeks to “empower communities in target municipalities to achieve improved access to basic services, and to participate in more inclusive local planning and budgeting.”

This overall objective, which reflects the original intent of the KC-NCDDP’s predecessor initiative—the KALAHY-CIDSS Project—emphasizes local communities as the KC-NCDDP’s major beneficiaries. This focus is reflected in the six major indicators that are ultimately used to measure the success of the KC-NCDDP. These indicators are as follows:

- (i) 2.4 million households are to benefit from subprojects;
- (ii) 40% of beneficiary households are to report better access to services;
- (iii) A 10% increase is to occur in access to, and utilization of roads, educational services, health centers, and water supply facilities, which are to be the major investments undertaken by KC-NCDDP beneficiary municipalities;
- (iv) 35% of households in KC-NCDDP beneficiary municipalities are to report increased confidence with respect to participating in community development activities;

- (v) 45% of members of marginalized groups (e.g., indigenous peoples, women) in KC-NCDDP beneficiary municipalities are to attend regular *barangay* assemblies; and
- (vi) 70% of households in KC-NCDDP beneficiary municipalities are to have at least one member who regularly attends meetings of the *barangay* assembly.

There is considerable policy support for the KC-NCDDP, as it is directly referred to in the current Philippine Development Plan, the Program of the National Anti-Poverty Commission, and various documents emanating from the Philippine government's Cabinet Cluster on Human Development and Poverty Reduction. In this regard, the current Philippine Development Plan (2011–2016) makes specific reference to CDD. According to the plan,

... social development programs shall adopt the CDD approach, where local communities take control in the planning, implementing and resource investments. CDD ensures that programs integrate the principles of local empowerment, participatory governance, demand-responsiveness, administrative autonomy, greater downward accountability and enhanced local capacity.

The KC-NCDDP has also been endorsed by 165 municipal chief executives from all over the Philippines.

## C. Criteria for Selecting KC-NCDDP Beneficiary Municipalities

Over its 6-year implementation from 2014 to 2019, the KC-NCDDP is to target 847 beneficiary municipalities. These beneficiary municipalities are to be geographically well distributed, in that they are to be located in 58 of the Philippines' provinces in 14 of the country's overall geographic regions (the National Capital Region and the Autonomous Region of Muslim Mindanao are excluded from KC-NCDDP geographic coverage). Overall, the KC-NCDDP is expected to benefit 5.4 million households in 19,647 *barangays*.

The KC-NCDDP uses three criteria to select target municipalities. First, the program provides assistance (for a maximum of four implementation cycles)<sup>9</sup> to fourth class to sixth class<sup>10</sup> poor municipalities in which the rate of poverty incidence was higher than the national average of 26.5% in 2009.<sup>11</sup>

Second, the program is to also target first- to third-class municipalities in which the rate of poverty incidence is 40% or higher. Third, the KC-NCDDP is to also support municipalities

<sup>9</sup> In effect, there are four implementation cycles because the grant for the first cycle is double the amount for the succeeding cycles.

<sup>10</sup> Fourth to sixth class municipalities are municipalities with average annual income of less than P15 million (sixth class) to maximum of P34,999,999 (fourth class).

<sup>11</sup> Some municipalities belonging to this category had received four funding cycles during the previous KALAHI-CIDSS Project. They will not receive additional block grants from KC-NCDDP. However, they will receive funding from sector agencies participating in the BUB program, and are expected to implement BUB-funded community projects using CDD methodologies. These "KALAHI-CIDSS graduate" municipalities will also receive KC-NCDDP training and technical assistance as they continue CDD practices through BUB program assistance.



that previously received assistance under the KALAHI-CIDSS, regardless of the rate of poverty incidence in the municipalities. These include municipalities that received KALAHI-CIDSS assistance in 2002 and succeeding years, before the National Statistics Coordination Board Small Area Estimates in 2009.<sup>12</sup>

## D. KC-NCDDP Financing and Staffing

The total cost of the KC-NCDDP over its 6-year implementation period is P43.9 billion. Of this amount, P33.4 billion (76%) is allocated to community grants. An additional P8.3 billion (19%) is allocated to capacity-building and implementation support, while the remaining P2.2 billion (5%) is allocated to program management and monitoring and evaluation.

The KC-NCDDP is to receive funding from both local and external sources. Local sources include the Philippine national government, local government units, and contributions from beneficiary communities. External sources include loans and grants from the World Bank and ADB, and grants from bilateral donors such as the Millennium Challenge Corporation, and Australia's Department of Foreign Affairs and Trade.

Funding from Philippine sources—national government, local government units, and beneficiary communities—are to total P9.39 billion, which is equivalent to 21% of the total cost of the KC-NCDDP. ADB's contribution is to be P15.11 billion (34%), while that of the World Bank is to be P19.40 billion (45%).

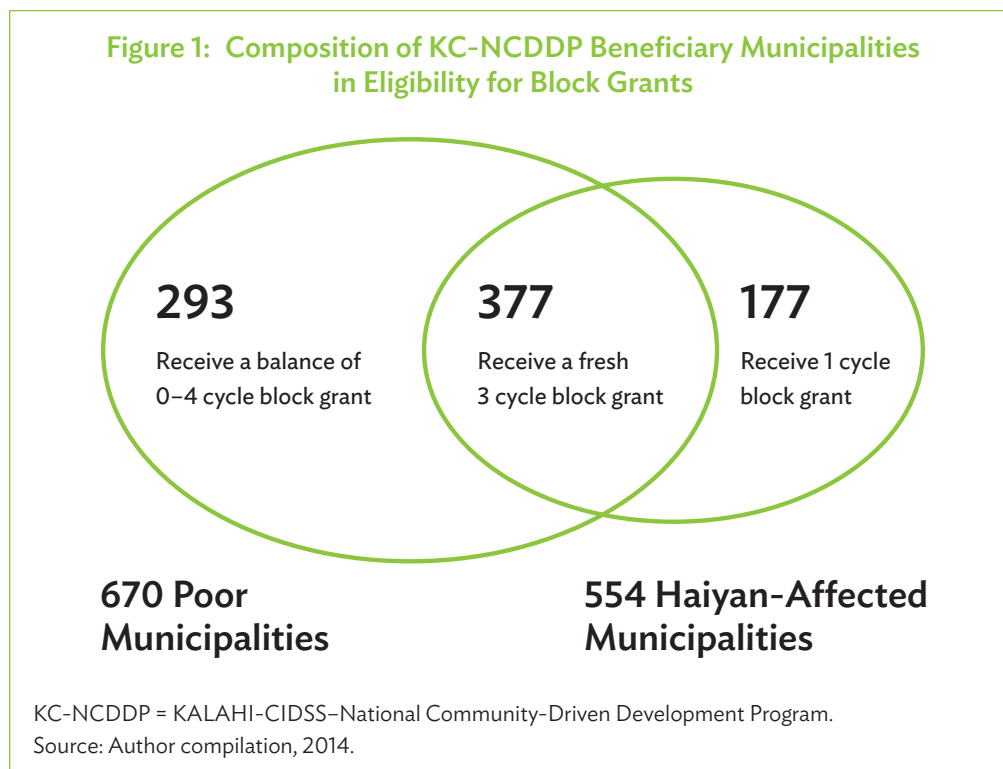
Counterpart contributions are required from municipal governments and *barangays* that participate in the KC-NCDDP. These counterpart contributions are to be used to fund community subprojects, and to provide technical assistance to beneficiary communities in completing these subprojects.

In Year 1 of KC-NCDDP implementation, the 554 beneficiary municipalities previously impacted by Typhoon Haiyan (Figure 1) will only be required to contribute to the cost of technical assistance, which will take the form of provision of staff from the local government units concerned, office space, furniture, and equipment. Thus, these beneficiary municipalities will not be required to help fund the community subprojects they are to undertake. However, the remaining 293 KC-NCDDP municipalities not impacted by Typhoon Haiyan will be required to contribute funding to both subproject costs and technical assistance.<sup>13</sup>

The above notwithstanding, from Year 2 of KC-NCDDP implementation onward, the 670 beneficiary municipalities that are to participate in all four KC-NCDDP implementation cycles (Figure 1) will be required to provide counterpart funding for both the subprojects

<sup>12</sup> This category of KALAHI-CIDSS municipalities will receive the maximum four cycles of KC-NCDDP block grants minus the funding cycles they had received previously under the KALAHI-CIDSS. However, exempted from this limitation are previous KALAHI-CIDSS municipalities that were affected by Typhoon Haiyan; these will receive four cycles of block grants from the KC-NCDDP. Haiyan-affected first- to third-class municipalities that have already graduated from KALAHI-CIDSS will receive only one cycle of block grant funding.

<sup>13</sup> First- to third-class non-Haiyan-affected municipalities are to contribute funds equivalent to a minimum of 15% of the KC-NCDDP municipal grant allocation, while fourth- to sixth-class municipalities are to contribute a minimum of 5% of the KC-NCDDP municipal grant allocation.



they undertake, as well as the technical assistance relevant to these subprojects. This counterpart funding is computed as a percentage share of the combined value of the grants provided to the respective beneficiary municipalities, both by the KC-NCDDP as well as the BUB programs, the latter being described later in this report.<sup>14</sup>

The first 3 years of KC-NCDDP implementation will require 9,967 staff members. In 2014–2015 alone, 8,869 staff members will be required to initiate implementation of the KC-NCDDP. Of this total, members of the field-based area coordinating teams are to comprise 8,021 (90%). Field staffing on this scale is unprecedented in the history of the DSWD, and perhaps that of the Philippine government.

## E. Institutional Arrangements for Implementing the KC-NCDDP

The institutional arrangements for implementing the KC-NCDDP described below include policy review and oversight, and national, regional, and subregional operations.

<sup>14</sup> If the combined funds from KC-NCDDP and BUB are equivalent to 100% or less of the municipality's local development fund, the minimum local cash counterpart (LCC) required is 10% of the municipality's LDF. If the combined KC-NCDDP and BUB funding is from 100% to 150% of the LDF, the minimum LCC required is 15% of the LDF. Finally, if the KC-NCDDP and BUB funding is over 150% of the LDF, the municipality must provide at least 20% of its LDF as a counterpart contribution.

## 1. Policy Review and Oversight

Oversight of the KC-NCDDP is the mandate of the Human Development and Poverty Reduction Cluster of the Philippine government.<sup>15</sup>

The policy direction of the program is provided by the multi-agency KC-NCDDP National Steering Committee, with support from the national technical working group. The National Steering Committee is informed by feedback from the social development committees and local poverty reduction action teams at the regional and provincial levels, as well as by the municipal interagency committees and expanded municipal development councils of the respective beneficiary municipalities.

## 2. National Operations

The KC-NCDDP is managed by the National Program Management Office, which is based at the DSWD's central office. As with the previous KALAHÍ-CIDSS program, the KC-NCDDP initiative is headed by the secretary of the DSWD, who serves in a concurrent capacity as the national program director.

Day-to-day operations are the responsibility of the national program manager, who oversees the two main operating divisions at the national level: the Operations Division and the Technical Support Services Division. Each of these divisions is headed by a deputy national program manager.

The Operations Division is organized both geographically and programmatically. KC-NCDDP operations are monitored by island cluster managers, one each for Luzon island, the Visayas island grouping, and Mindanao island. The Operations Division is also responsible for all subprograms that have been folded into the KC-NCDDP initiative. These include those of the Millennium Challenge Corporation, the BUB operations of the DSWD, the PAyapa at MASaganang PamayaNAn (PAMANA) (or loosely translated, "the program for a peaceful and prosperous countryside) program for communities affected by ethnic conflict,<sup>16</sup> as well as other programs of more limited scope.

For its part, the Technical Support Division is organized into a number of subunits. These subunits relate to standards; capacity development safeguards, disaster risk management,

<sup>15</sup> The Human Development and Poverty Reduction Cluster is chaired by the DSWD. Its members include the following government agencies: Department of Agriculture, Department of Agrarian Reform, Department of Environment and Natural Resources, Department of Education, Department of Health, Department of Labor and Employment, Department of Budget and Management, Department of Interior and Local Government, Housing and Urban Development Coordinating Council, Commission on Higher Education and National Anti-Poverty Commission.

<sup>16</sup> PAMANA is the national government's effort to extend assistance to isolated, hard-to-reach and conflict-affected communities, to ensure that they are not left behind mainstream development effort. A complementary track to peace negotiations efforts, the program is anchored on the Aquino administration's strategy of winning the peace by forging strategic partnerships with national agencies in promoting the delivery of goods and services, and addressing regional development challenges in conflict-affected and vulnerable areas. The Office of the Presidential Adviser on the Peace Process, who initiated the PAMANA program, has entered into partnership with the DSWD for the latter to serve as main implementing partner of PAMANA in KC-NCDDP areas.

and climate change adaptation; policy; and institutional partnerships. Technical support groups—the members of which represent the subunits referred to above—have been organized for each of the three major island groupings.

### 3. Regional Operations

The regional offices of the previous KALAHI-CIDSS program have been transformed into KC-NCDDP regional program management offices that continue to be based at the various DSWD field offices throughout the country. The head of the DSWD Field Office, the regional director, also serves as the KC-NCDDP regional program director in a concurrent capacity. Similarly, the assistant regional director serves as the KC-NCDDP regional program manager.

The KC-NCDDP regional units mirror the KC-NCDDP structure at the national level. A regional program coordinator is responsible for overall operations including complementary projects, while a deputy regional program manager supervises a technical support team of specialists and technical staff. The regional program management offices supervise the respective area coordinating teams that are at the forefront of KC-NCDDP implementation in beneficiary municipalities and *barangays*.

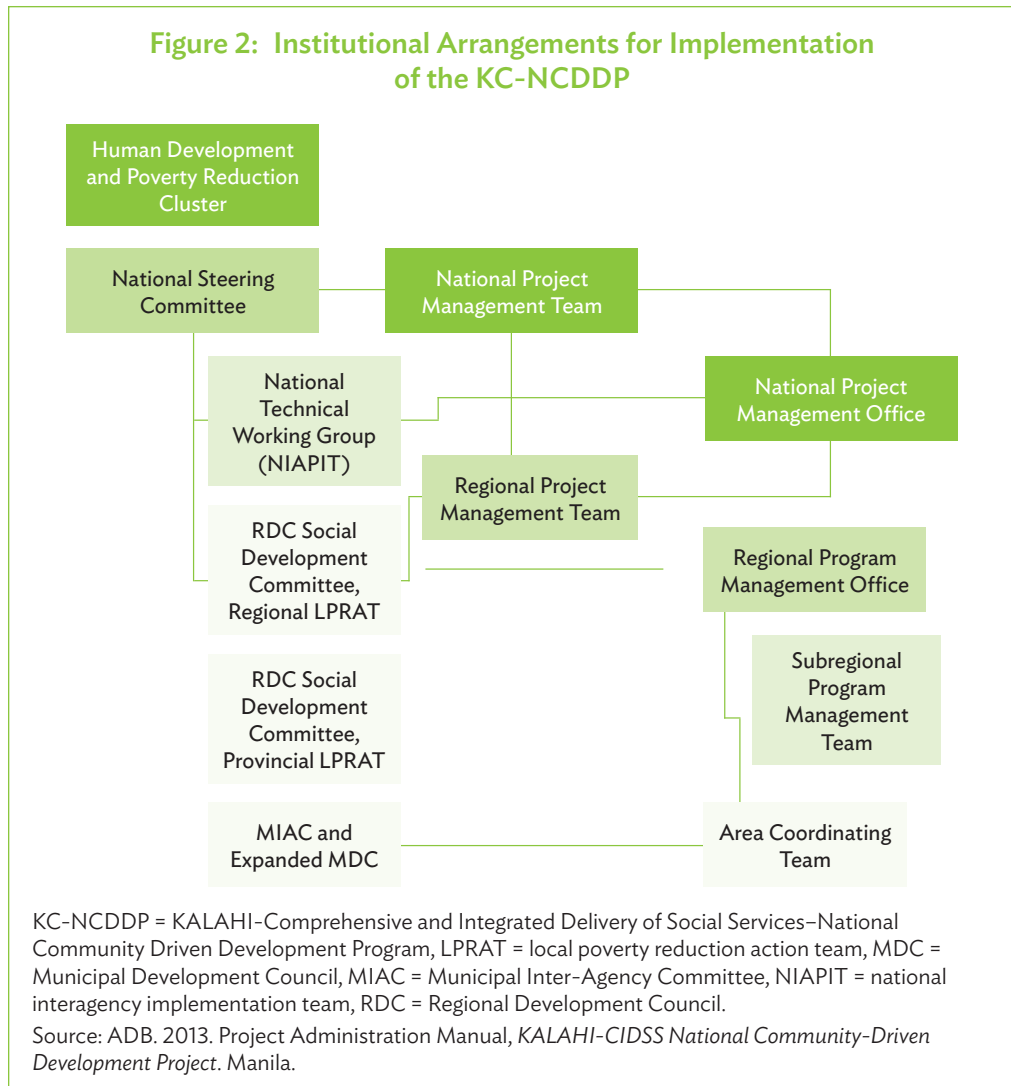
### 4. Subregional Operations

A feature of the KC-NCDDP that did not exist under the predecessor KALAHI-CIDSS program is the organization of subregional program management teams that act as extensions of the regional program management teams. The purpose of the subregional program management teams is to facilitate effective management of the significant scope of the KC-NCDDP program, and to rationalize engagement with the provincial government and local offices of national government sector agencies. On average, there is one subregional program management team per province, the latter managing KC-NCDDP activities in 20 municipalities. Provinces with fewer than 20 beneficiary municipalities are served by the subregional program management teams in an adjacent province, or by the regional program management team concerned.

Figure 2 presents a diagrammatic representation of the institutional arrangements for implementing the KC-NCDDP.

## F. KC-NCDDP Field Implementation Strategy

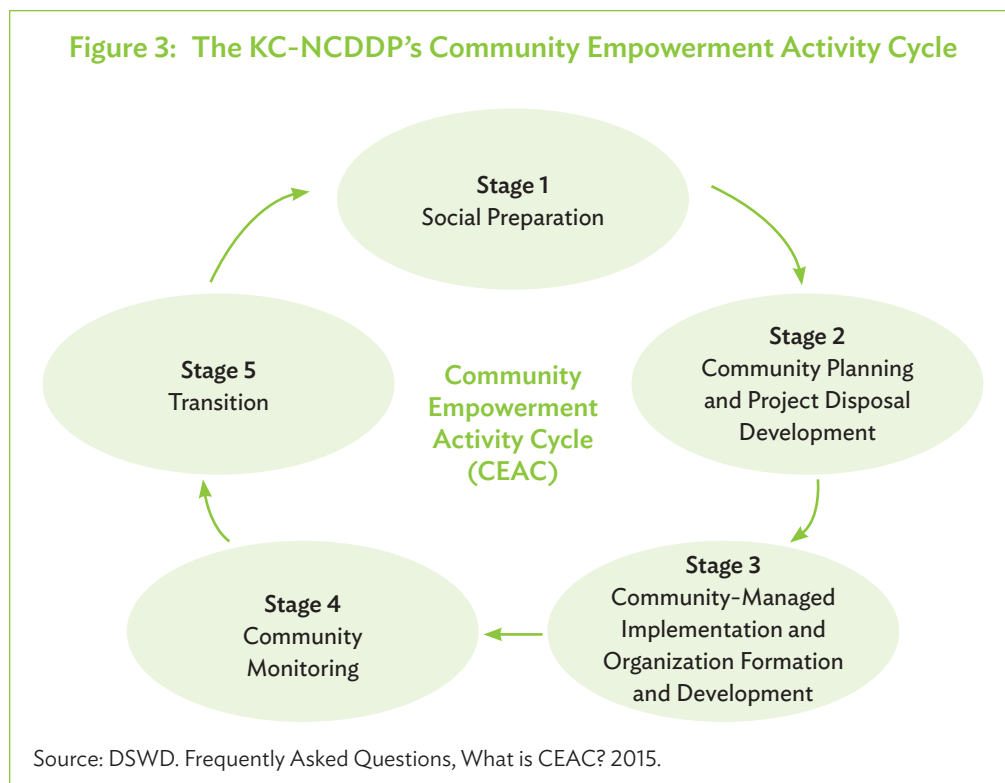
The foundation of the KC-NCDDP field implementation strategy is a slightly modified version of the Community Empowerment Activity Cycle (CEAC), which is a five-stage community mobilization process first developed under the predecessor KALAHI-CIDSS initiative (Figure 3).



The CEAC enables community groups to control planning decisions and investment of resources in the identification, fund allocation, implementation, and management of community development projects.

The version of the CEAC employed under the KC-NCDDP comprises five stages: (i) social preparation and participatory situation analysis (PSA); (ii) community planning and project development; (iii) community-managed implementation, and formation of community-based organizations; (iv) community monitoring and evaluation; and (v) transition to the subsequent cycle. The KC-NCDDP version of the CEAC accommodates participation of national government agencies that also implement their own sectoral programs in KC-NCDDP beneficiary communities and that help implement the BUB program.

The KC-NCDDP revision of the CEAC also facilitates incorporation of particular development themes into the KC-NCDDP such as promotion of gender equity, disaster



preparedness and mitigation, affirmative action for indigenous peoples, and peace-building in communities affected by violent or nonviolent conflict.

## 1. Adjustments in Field Implementation for KC-NCDDP Beneficiary Communities Impacted by Natural Disasters

One of the KC-NCDDP's major objectives is recovery of beneficiary communities that were negatively impacted by Typhoon Haiyan. This has necessitated some adjustments in field implementation activities, which include the following:

- (i) accelerated implementation of CEAC processes;
- (ii) frontloading of the municipal grant allocation in Cycle 1. For example, up to twice the usual amount per municipal grant allocation cycle is made available during the first year of KC-NCDDP implementation for beneficiary communities impacted by natural disasters;
- (iii) the requirements for local counterpart funding in Cycle 1 have been scaled back to in-kind contributions that local government units and the beneficiary communities concerned can afford; and
- (iv) formulation of a positive list of community projects for addressing the negative impacts of natural disasters such as projects that fund shelter, resettlement, and provision of tools (e.g., chainsaws).

## 2. KC-NCDDP Municipal Grant Allocation Based on Poverty Incidence

The grant amount provided by the KC-NCDDP to beneficiary municipalities is computed on a per capita basis, with the allocation to beneficiary municipalities being greater for those municipalities with larger numbers of low-income residents. This is consistent with the pro-poor focus of the KC-NCDDP.

In particular, the municipal grant allocation provided by the KC-NCDDP is based on two factors: (i) the class of the municipality, and (ii) its rate of poverty incidence. The municipal grant allocation is in fact computed by multiplying the total population times the per capita grant allocation. That said, the municipal grant allocation provided by the KC-NCDDP has a floor of P2 million and a ceiling of P20 million per cycle.

## 3. Funding for Community Projects

The following guidelines govern the funding of KC-NCDDP–assisted community projects:

- (i) All community projects other than those included in the published negative list of ineligible activities are eligible for funding.
- (ii) The *barangay* assembly concerned makes the final selection of community projects from the community proposal submitted to the Municipal Inter-Barangay Forum for KC-NCDDP funding.<sup>17</sup>
- (iii) Local government unit and sector-specific programs of national government agencies with funds available for the current or following fiscal year have the first option in selecting community proposals submitted for BUB funding. This option is exercised during the review of proposals by the Municipal Development Council together with the local poverty reduction action team.<sup>18</sup>

<sup>17</sup> The Municipal Inter-Barangay Forum is the KC-NCDDP mechanism for selecting community projects for funding. Essentially a peer-selection mechanism, the forum allows representatives from participating *barangays* to come together in a forum to rate the proposals submitted for KC-NCDDP funding. Once the proposals have been rated, the highest-ranked proposal is the first to receive an allocation from the KC-NCDDP municipal grant; each of the lower-ranked proposals is then given a funding allocation until the entire municipal grant is committed.

<sup>18</sup> In practice, the municipal KC-NCDDP team must secure a certification from the sector agency concerned regarding its plans for a community project (e.g., a proposed *barangay* school building, which would normally be the responsibility of the Department of Education. If the Department of Education indicates that it will fund the project, then it will not be considered for KC-NCDDP funding at the Municipal Inter-Barangay Forum. If the Department of Education indicates, however, that it is unable to support the proposed school, then it can be submitted to the Municipal Inter-Barangay Forum for possible KC-NCDDP funding.

### Box 2: The Role of the Community-Driven Development Approach in Implementing the KC-NCDDP

Community-driven development (CDD) is the foundation of the KC-NCDDP, just as it was for the predecessor initiative, the KALAHÍ Comprehensive and Integrated Delivery of Social Services (CIDSS) Project. This development strategy gives communities control over both decision making and resources. Overall, the objective of CDD is empowerment of local community residents as it relates to (i) access to information, (ii) capacity building, and (iii) engagement with local government agencies and other development partners. CDD has three goals: (i) service delivery, (ii) good governance, and (iii) poverty reduction.

CDD enables (i) identification of poverty challenges; (ii) identification of solutions to those challenges; (iii) control of resources for the purpose of implementing community projects; and (iv) partnering with local government units, national government agencies, and civil society organizations.

The key elements of CDD under the KALAHÍ-CIDSS have been carried over to the design of the KC-NCDDP. These include the following:

- (i) Community-led development, from analysis of the challenges to be addressed, to planning, implementation, and maintenance of facilities established under community projects;
- (ii) Significant investment in capacity building at the community level;
- (iii) An open menu of projects, subject to exclusion of ineligible development activities that are identified in a published negative list of projects;
- (iv) Direct release of funds to beneficiary communities;
- (v) Management of funds by the beneficiary community in question;
- (vi) Multilevel monitoring and evaluation; and
- (vii) Establishment of a grievance redress system.

As with the KALAHÍ-CIDSS project, the KC-NCDDP adheres to the basic CDD strategy of “facilitated social preparation, capacity building, and community mobilization for project implementation and monitoring.” This strategy guides all of the program’s implementing agents—DSWD staff, other national government agencies, and civil society organizations—in dealing with community volunteers and residents, municipal local government unit (MLGU) staff, and other local community-level stakeholders.

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KC-NCDDP = KALAHÍ-CIDSS–National Community-Driven Development Program.

Source: Author compilation, 2015.



# 4. Comparison of the Household-Focused and Community-Focused Convergence Strategies

This chapter describes the two distinctly different yet related convergence strategies currently being used by the DSWD in implementing its poverty reduction programs.

For purposes of this report, the first type of convergence, which applies to beneficiaries of the Pantawid Pamilya (family-focused) program, is referred to as “household-focused convergence.” The second type of convergence applies to coordination between the KC-NCDDP initiative and the programs of other national government sector agencies that target KC-NCDDP beneficiary communities. Throughout this report, this second type of convergence is referred to as “community-focused convergence.”

The overall objective of this chapter is thus to familiarize the reader with the difference between these two types of convergence.

## A. Pantawid Pamilya (Household-Focused) Convergence

Pantawid Pamilya (household-focused) convergence supports the DSWD’s Strategic Goal no. 1, which is to “improve the capacities of 2.3 million Pantawid Pamilya families in accessing opportunities to move their level of well-being by 2016.”<sup>19</sup>

Improving the lives of Pantawid Pamilya program beneficiaries is consistent with the DSWD’s mandate as the social welfare department of the Philippine government. The degree to which the lives of Pantawid Pamilya beneficiary families improves over time is measured by a set of social welfare and development indicators that have been formulated by the DSWD. This set of indicators assesses the degree to which beneficiary families have achieved (i) economic sufficiency, and (ii) social adequacy.

The indicators used for assessing the degree of economic sufficiency attained include:

- (i) employable skills;
- (ii) employment;

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<sup>19</sup> The two other strategic goals of the department are to (i) increase the number of poor families identified by the National Household Targeting System for Poverty Reduction that are covered by at least two Social Welfare and Development programs/services from 3.9 million to 5.2 million by 2016; and (ii) increase the number of provinces having a fully functional Local Social Welfare Development Office in the majority of municipalities or cities to 40 provinces by 2016.

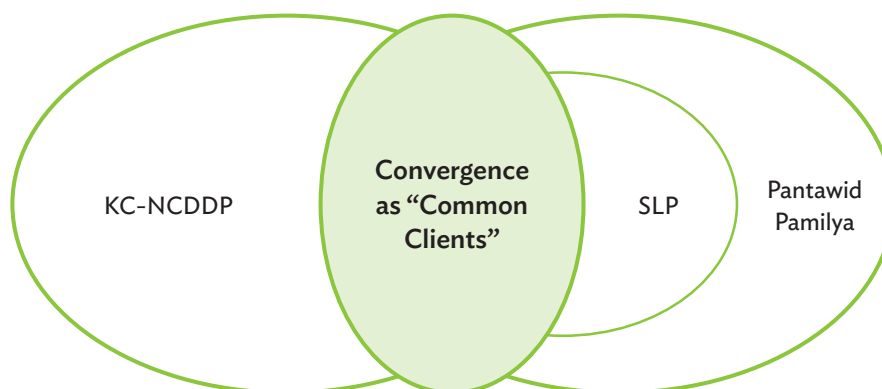
- (iii) income, social security; and
- (iv) access to financial institutions.

The indicators used for assessing the degree of *social adequacy* attained are as follows:

- (i) health: the degree of health enjoyed by members of the beneficiary family, and their degree of access to health services;
- (ii) nutrition: the number of meals taken each a day on average, and the nutritional status of children aged 5 years and below who live in beneficiary households;
- (iii) water and sanitation (the quality of the family's source of water for drinking, the family's degree of access to sanitary toilet facilities, and the most common family practice of garbage disposal);
- (iv) housing (construction materials of the roof, construction materials of outer walls, tenure status of the house);
- (v) education: school enrollment, school attendance, functional literacy;
- (vi) role performance of family: involvement in intrafamily communication and recreational activities, ability of parents or guardians to discern problems, participation of family members in at least one legitimate people's organization or association); and
- (vii) family awareness of relevant social issues: awareness of the rights of children, awareness of gender-based violence, awareness of the need for disaster risk management and reduction.

From a broader perspective, household-focused convergence comprises both internal and external components, as presented in Figure 4. The goal of the internal component is closer coordination between the Pantawid Pamilya program, the SLP, and the KC-NCDDP than that which had been previously achieved.

**Figure 4: Household- and Community-Focused Convergence in Terms of Common Clients of the Three DSWD Programs**



DSWD = Department of Social Welfare and Development, KC-NCDDP = KALAHI-CIDSS–National Community-Driven Development Program, SLP = Sustainable Livelihood Program.

Source: Author compilation, 2015.

The internal component of convergence of the three DSWD programs is to be achieved through the following measures:

- (i) While there are separate project management offices for the three DSWD programs, the three programs' project management teams are to act jointly, and in an integrated manner.
- (ii) The municipal action teams for the three DSWD programs are to be unified. Thus, the municipal action teams for the three DSWD programs are to comprise members of the local implementation teams for the three DSWD programs. That said, the roles of the members of the unified municipal action teams and the relationships between them are to be clearly delineated.
- (iii) The activities of the municipal action teams are to be included in a common plan. Similarly, the activities of the municipal action teams are to involve common beneficiaries of the three DSWD programs. Likewise, these common beneficiaries of the three DSWD programs are to be eligible for the benefits of all three DSWD programs. Further, the development impact of the activities of the municipal action teams is to be measured by a common set of indicators using common monitoring mechanisms. All community activities that support implementation of the three DSWD programs (e.g., village assemblies and development training sessions) are to be included in a common schedule.

For its part, the external component of household-focused convergence is to be achieved through “working with partner national government agencies, local government units, and civil society organizations, as well as other (e.g., private sector) stakeholders.

Thus, the objectives of the external component of household-focused convergence are:

- (i) joint ownership of development initiatives, and
- (ii) a collaborative effort at ensuring access to the services provided by the three DSWD programs referred to above, for the purpose of improving the well-being of Pantawid Pamilya beneficiary households.”<sup>20</sup>

The DSWD has identified the following measures as those to be used for facilitating external convergence:

- (i) Interagency advisory committees at the city/municipal, provincial, and regional levels are to be created and mobilized. The purpose of these interagency advisory committees is to ensure a multisectoral response to the needs of Pantawid Pamilya beneficiary households.
- (ii) Advisory committees are to conduct orientation sessions on the DSWD convergence strategy with partner stakeholders (national government sector agencies, local government units, and civil society organizations), and to continually engage these stakeholders. The goal of this continuing engagement is building a common commitment to assisting the beneficiary families selected by the Listahanan (National Household Targeting System for Poverty Reduction) beneficiary targeting system.<sup>21</sup>

<sup>20</sup> DSWD Convergence Management Office. 2014. *Procedural Mechanics in the Operation of the Convergence Strategy*. Manila

<sup>21</sup> Listahanan is the official name of the National Household Targeting System for Poverty Reduction, which serves as the mechanism for identifying the poorest residents in the areas targeted by the Pantawid Pamilya Conditional Cash Transfer program.

- (iii) Municipal (or city) transition plans are to be formulated. These plans are to comprise a comprehensive set of interventions that will improve the overall well-being of Pantawid Pamilya beneficiary households in the municipality or city concerned. The responsibility for formulating these plans belongs to the unified Municipal Inter-Agency Committee,<sup>22</sup> with facilitation by the municipal social welfare and development officer and assistance from the municipal action team concerned. The municipal local government and the local office of relevant national government sector agencies are to jointly provide funding for the interventions that comprise the Municipal Transition Plan (MTP).
- (iv) The municipal action team is to advocate for (i) approval of the MTP by the local chief executive, (ii) adoption of the MTP by the Sangguniang Bayan (Municipal Council), and (iii) inclusion of the MTP in the Annual Investment Plan, the Executive-Legislative Agenda, the Five-Year Comprehensive Development Plan of the local government unit concerned, and the Local Poverty Reduction Action Plan.
- (v) Regular interagency meetings are to be conducted to ensure that (i) the activities of all relevant programs both complement one another, and are appropriately synchronized; (ii) the interventions that comprise the MTP are appropriately monitored; (iii) that the responses to all relevant issues are appropriate; and (iv) that appropriate guidelines for strengthening implementation of all relevant programs are formulated.
- (vi) At the end of each year, implementation of the MTP is to be assessed. This assessment is to include (i) an annual review and evaluation of external convergence, (ii) updating of the MTP, and (iii) documentation of best practices or notable successes.

## B. KC-NCDDP Community-Focused Convergence

The *barangay* development plans formulated during the social preparation and planning stages of the CEAC provide a formal list of the interventions necessary for meeting the development requirements of KC-NCDDP beneficiary communities. That said, KC-NCDDP resources are insufficient to fund the majority of these interventions. Convergence of government services is thus necessary to ensure that these requirements are met. It is in fact for this reason that convergence of government services is integral to the overall KC-NCDDP strategy.

<sup>22</sup> The Municipal Inter-Agency Committee is organized at the municipal level to accommodate the technical requirements of the KC-NCDDP, facilitate coordination among various agencies, monitor and review implementation, and facilitate resolution of technical concerns. Its members include representatives of the various units of the municipal local government, as well as local offices of national government sector agencies such as the DSWD, the Department of the Interior and Local Government (DILG), the National Economic and Development Authority, the Department of Budget and Management (DBM), the Department of Finance, the Department of Agrarian Reform, the Department of Agriculture, the Department of Education, the Department of Public Works and Highways, the Department of Environment and Natural Resources, and the National Commission on Indigenous Peoples. The DSWD Convergence Strategy has expanded the Municipal Inter-Agency Committee in two ways: (i) membership has been expanded to include civil society representatives, including the vice-chairs of *barangay* development councils, which are drawn from the ranks of KC-NCDDP community volunteers; and (ii) the mandate has been expanded to include responsibility for implementing the MTP, which is expected to improve the well-being of Pantawid Pamilya beneficiary-families.

Simply stated, the KC-NCDDP depends on national government sector agencies to help fund the activities that fulfill the development requirements of KC-NCDDP beneficiary communities, which the KC-NCDDP and the other two DSWD programs are unable to fund. Thus, at the field level, cooperation between the KC-NCDDP and the other two DSWD programs on the one hand, and other national government sector agencies on the other is essential if the development requirements of KC-NCDDP beneficiary communities are to be met. Further, this field-level cooperation must be broadly based, in that it is required in planning, community facilitation, and funding of community projects, those included in the BUB program in particular.

The purpose of the BUB program—which is now in its third year of implementation—is alignment of the budgets of national government sector agencies with the development requirements of low-income communities. The main planning instrument of the BUB program is the Local Poverty Reduction Action Plan, which is prepared by the local poverty reduction action team concerned. For its part, the local poverty reduction action team comprises local government unit staff, representatives of local civil society organizations, representatives of national government sector agencies, and community residents.<sup>23</sup>

The degree of complementarity between the KC-NCDDP and BUB initiatives could be substantial. At the municipal level, the BUB initiative facilitates programming of development investments by the municipal government, and thence appropriate management of resources for sustained poverty reduction and economic growth. At the *barangay* level, the KC-NCDDP initiative facilitates identification of appropriate community development projects, and ensures that these projects are incorporated into municipal planning and budgeting processes.

For example, linking the participatory processes of the KC-NCDDP Community Empowerment Activity Cycle and the BUB program could facilitate cofinancing of community development projects by the two initiatives. Similarly, the two initiatives could jointly facilitate incorporation of community-driven development into the community-based initiatives of national government sector agencies such as the Department of Education's School-Based Management Program, and the Department of Health's Community-Based Health and Nutrition program.<sup>24</sup>

Convergence of the KC-NCDDP, the BUB program, and similar initiatives is expected to result in (i) elimination of duplication and waste, (ii) complementarity of community development projects, (iii) reinforcement of existing planning and coordinating mechanisms, and (iv) a greater degree of decentralized decision-making.

As for (i) above, eliminating duplication and waste could be achieved by information sharing between KC-NCDDP and other sector agencies, and geotagging (a technique used to capture photos, audios, and videos on field and pinpoint the location of subprojects). For example, in an effort to promote complementarity between, and to avoid overlap of effort, the KC-NCDDP and the Department of Agriculture's Philippine Rural Development

<sup>23</sup> In the sites visited by the ADB research team for this study, the composition of the local poverty reduction action team and the unified Municipal Inter-Agency Committee are almost identical.

<sup>24</sup> The KC-NCDDP convergence framework discussed here is drawn from the Final Aide Memoire of the World Bank Pre-Appraisal Mission, 11–22 February 2013.

### Box 3: Planning and Coordination Mechanisms for Convergence of the KC-NCDDP and Bottom-Up Budgeting Programs

#### 1. Barangay Planning and Coordination

At the *barangay* level, planning and coordination mechanisms for convergence of KC-NCDDP and Bottom-Up Budgeting operations include (i) *barangay* assembly meetings that enable residents to collectively set *barangay* priorities, taking into account the input of representatives of national and local sector programs, KC-NCDDP facilitators, and resource persons; and (ii) community volunteer mobilization, training, and engagement in the planning, management, and implementation of community development projects with the assistance of KC-NCDDP field staff, as well as reporting the achievements of these projects.

#### 2. Municipal Planning and Coordination

At the municipal level, planning and coordination mechanisms for convergence of KC-NCDDP and Bottom-Up Budgeting operations include (i) the Municipal Development Council and Municipal Inter-Barangay Forum concerned that allocate KC-NCDDP, Bottom-Up Budgeting, and local government unit funds to particular development projects in a manner consistent with the priorities of the Municipal Inter-Barangay Forum within local development planning guidelines; and (ii) the Municipal Inter-Agency Committee—which comprises KC-NCDDP field staff, and representatives of the relevant local government unit and national government agencies—that conducts site inspections, reviews *barangay* proposals, extends technical assistance, monitors implementation of development projects, and provides feedback regarding these projects.<sup>a</sup>

#### 3. Regional Planning and Coordination

At the regional level, the Regional Poverty Reduction Action Team is the central mechanism for convergence of the KC-NCDDP and the Bottom-Up Budgeting program. The Regional Poverty Reduction Action Team has two planning and coordination functions: (i) monitoring of proposed and ongoing development projects; and (ii) confirming that there is no duplication of effort between the projects approved by the municipality concerned, and current or proposed projects of the relevant sector national government agencies. The Regional Poverty Reduction Action Team is to invite the input of provincial-level government officials in its decision-making processes.

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KALAHI-CIDSS = KALAHI-Comprehensive and Integrated Delivery of Social Services, KC-NCDDP = KALAHI-CIDSS-National Community-Driven Development Program.

<sup>a</sup> Note that convergence is not new to the KC-NCDDP or to its predecessor program, the KALAHI-CIDSS. Even prior to the advent of the Bottom-Up Budgeting program, the KALAHI-CIDSS had been partnering with national government agencies, provincial-level government units, and civil society organizations. For example, the Department of Education reviews the standards for school buildings, and issues construction permits for the locations of future KC-NCDDP-funded school buildings.

Source: Author compilation, 2015.

Program have agreed to share geotagging data relating to community-level development subprojects.

Ensuring such broad complementarity between community-level development projects requires (i) identifying sector agencies willing to fund community-level development projects not selected by the Municipal Inter-Barangay Forum concerned, which is the

KC-NCDDP mechanism for selecting such projects; and (ii) facilitating funding from other agencies of community-level development projects that have been approved by the relevant *barangay* assembly, but that cannot be funded by the KC-NCDDP.

Apart from the two measures referred to above—which represent new initiatives for the KC-NCDDP—the predecessor KALAHI-CIDSS Project had a long history of complementary initiatives jointly funded with non-KALAHI-CIDSS agencies. Under one of the most common initiatives of this type, the KALAHI-CIDSS Project funded construction of classrooms, and the Department of Education funded school books, teaching materials, and teachers' salaries. Similarly, the KALAHI-CIDSS Project funded construction of rural health stations, and the Department of Health funded medicine, equipment, and medical staff salaries.

Reinforcing existing planning and coordination mechanisms requires that KC-NCDDP representatives participate in the decision-making processes of the Municipal Development Council, the Municipal Inter-Barangay Forum, the Municipal Inter-Agency Committee, the local poverty reduction action teams and their counterpart bodies at the *barangay* level.

Finally, the KC-NCDDP promotes decentralized decision making through the CEAC, which facilitates community-level decisions regarding which development projects will benefit local residents the most. More importantly, the CEAC facilitates implementation of these projects by the community residents themselves.

At the institutional level, the KC-NCDDP facilitates convergence by encouraging other sector agencies to adopt CEAC processes in implementing the community-level development projects that they themselves fund.<sup>25</sup> Further, the design of the KC-NCDDP includes measures for engaging with municipal government units. For example, continued eligibility for access to KC-NCDDP block-grant funding is linked to the development performance of these agencies, which in turn necessitates closer coordination with the Department of Interior and Local Government than previously.<sup>26</sup>

Other KC-NCDDP features for encouraging engagement with relevant local government units carried over from the KALAHI-CIDSS Project include (i) involvement of municipal staff in program management, (ii) handover of management of KC-NCDDP field implementation to the municipal government unit concerned, (iiic) capacity building for relevant municipal government unit staff; and (iv) harmonization of KC-NCDDP and municipal development planning processes.

<sup>25</sup> To reiterate, the KC-NCDDP project implementation procedures comprise the following: (i) community-led procurement, (ii) use of a community force account (community management of construction labor, (iii) community-managed project implementation (including monitoring, and operation and maintenance), and (iv) community management of funds.

<sup>26</sup> The Seal of Good Housekeeping is a Department of the Interior and Local Government project that recognizes local government units with good performance in internal housekeeping, particularly in the areas of local legislation, development planning, resource generation, resource allocation and utilization, customer service, and human resources management and development, as well as in valuing the fundamental of good governance. The seal advances the primacy of performance, accountability, transparency, and participation on the part of the municipal local government unit (MLGU).

Moreover, BUB program agencies have agreed an upgraded joint budgeting process with the KC-NCDDP. Referred to as the Grassroots Participatory Budgeting (which refers to much the same concept as BUB),<sup>27</sup> this expanded budgeting process will be adopted by the municipalities concerned. Memorialized in an interagency memorandum issued in 2014 by BUB oversight agencies (the Department of Budget and Management, the Department of the Interior and Local Government, the DSWD, and the National Anti-Poverty Commission), this agreement further integrates KC-NCDDP participatory processes with the BUB initiative.<sup>28</sup>

The relevant features of this interagency memorandum include the following:

- (i) Municipalities that have graduated from, or are currently implementing the KC-NCDDP initiative, are to follow this upgraded BUB process, two features of which are the (i) integration of Participatory Barangay Development Planning, and (ii) expansion of the composition of the Local Development Council.
- (ii) The DSWD is to facilitate a parallel participatory *barangay* development planning process that will be undertaken by all *barangays* of all municipalities that are beneficiaries of both the KC-NCDDP and the BUB program.
- (iii) Through its KC-NCDDP program, the DSWD is to facilitate election of a community volunteer in each *barangay* at a regular meeting of the *barangay* assembly. This volunteer is to serve both as Barangay Development Council cochair, and as a member of the upgraded Municipal Development Council. These *barangay* development council cochairs are to also be invited by the DSWD and the Department of Interior and Local Government to attend meetings of the civil society organization assembly.
- (iv) Membership in the existing Local Development Committee is to include the cochairpersons of all *barangay* development committees, the latter being selected from KC-NCDDP community volunteers.
- (v) To make the planning process more manageable, the expanded Local Development Committee is to constitute a local poverty reduction action team that will serve as its technical working group. The local poverty reduction action team will then formulate development plans that will include the priority poverty reduction projects identified by local community residents. These development plans will then be submitted to the expanded Local Development Committee for approval. The Local Poverty Reduction Action Team is to comprise 20 members as follows: 10 from government (which may include Local Development Committee members as observers), five Barangay Development Committee vice-chairpersons, who will be selected from among themselves, and five representatives of civil society organizations, who will be elected at the civil society organization assembly. The local poverty reduction action team is to be integrated into the Enhanced Local (i.e., municipal) Development Council.
- (vi) The municipal mayor or local chief executive is then to convene the Enhanced Local Development Committee for the purpose of identifying the poverty reduction

<sup>27</sup> At various times, the BUB program has also been called Grassroots Participatory Budgeting. When the interagency memorandum was prepared, the program was called Grassroots Participatory Budgeting.

<sup>28</sup> DBM, DILG, and NAPC. 2014. Policy Guidelines and Procedures in the Implementation of the Grassroots Participatory Budgeting Process (formerly called Bottom-Up Budgeting) for the Preparation of the FY2016 Budget. *DBM-DILG-NAPC Joint Memorandum Circular No. 5*. October. Manila.



projects to be funded by the BUB program, the KC-NCDDP, and the local government unit. The Enhanced Local Development Committee will then approve the Local Poverty Reduction Action Plan, the Comprehensive Development Plan, the Local Development Investment Plan, the Executive-Legislative Agenda, and the Annual Investment Plan.

## C. Integrating the Household-Focused and Community-Focused Convergence Strategies

To achieve success, any convergence effort must take account of the challenges it faces. For example, the ongoing convergence effort of the Pantawid Pamilya initiative, the KC-NCDDP, and the SLP must take account of the differences between the three initiatives, but not only with regard to their individual institutional arrangements.

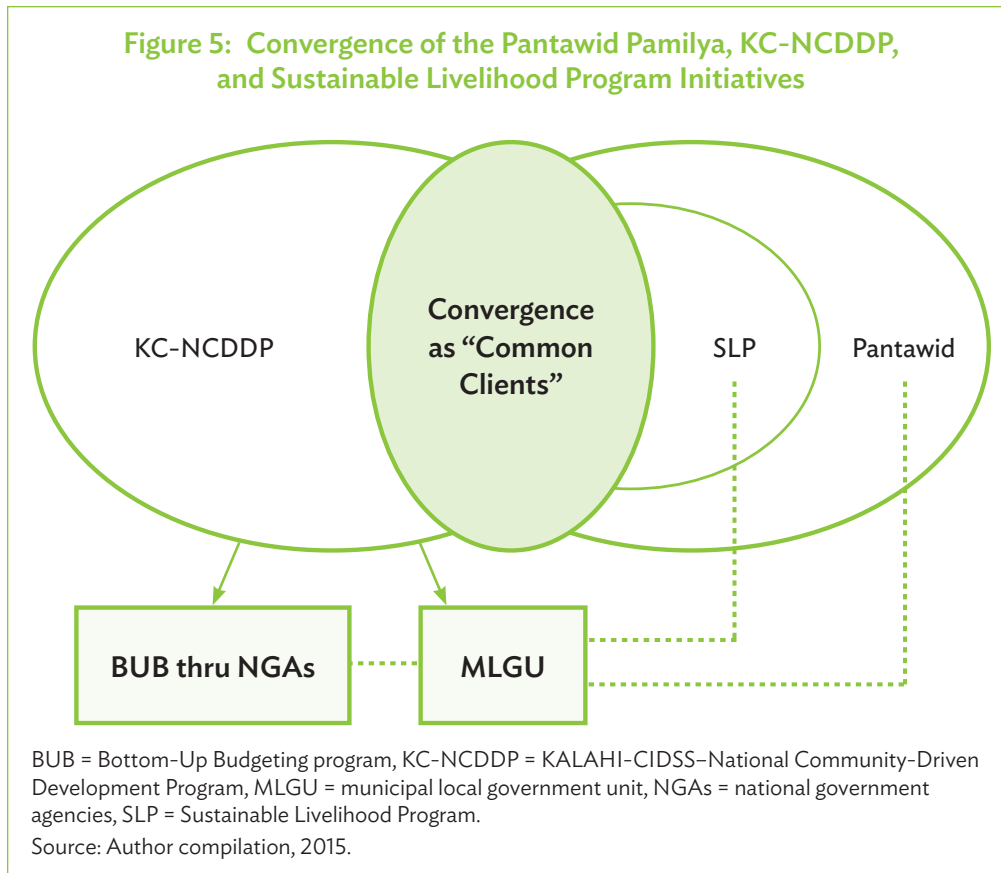
As mentioned, a fundamental difference between the KC-NCDDP initiative and the two other programs lies in their focus. In contrast to the household focus of the Pantawid Pamilya program, the principal focus of the KC-NCDDP is community-focused convergence, which in turn necessitates the cooperation of sector agencies, local government units, beneficiary community residents, and the KC-NCDDP itself.

The differences in focus between the Pantawid Pamilya initiative, the KC-NCDDP, and the SLP are reflected in the type of assistance that each of the three programs provides. For example, due to the household focus of the Pantawid Pamilya and sustainable livelihood programs, these initiatives subsidize access to *private* goods (e.g., household costs and access to livelihood loans). In contrast, due to its community focus, the KC-NCDDP facilitates access to *public* goods, most commonly, roads.

If properly taken in account, the complementary aspect of these differences can be exploited to the mutual benefit of all of these initiatives. However, if not properly taken into account, these differences could adversely impact the operations of any or all of the three programs, or worse yet, the beneficiary communities themselves.

Figure 5 depicts how the KC-NCDDP engages its development partners in household- and community-focused convergence. In particular, it illustrates the KC-NCDDP's dual role in convergence (i) as a partner of both the Pantawid Pamilya and sustainable livelihood initiatives in improving the status of Pantawid Pamilya beneficiaries; and (ii) as a mechanism for coordinating delivery of technical assistance and support to KC-NCDDP beneficiary communities that is provided by other government sector agencies and civil society organizations.

As a partner of the Pantawid Pamilya and sustainable livelihood initiatives, the KC-NCDDP is engaged in a common effort to improve the well-being of beneficiaries of these two programs. As a result, it could be said that convergence of the three programs is based on “common clients.”



Its membership in the municipal action team allows the KC-NCDDP to coordinate its own activities with those of its two sister programs. For example, such coordination includes (i) synchronizing meetings with training sessions and other *barangay*-level activities, (ii) coordination of data gathering, (iii) common participation in village and municipal forums for the purpose of clarifying program-related issues and providing feedback.

Such coordination of the staff-level activities of the three programs not only leads to greater overall efficiency, it also engages residents of beneficiary communities in all three programs by reducing the time required for their participation.

At the community level, a major benefit of KC-NCDDP convergence with its two sister programs is improvement in implementing its own program, in that Pantawid Pamilya beneficiaries tend to participate in KC-NCDDP activities, whether by attending meetings of the *barangay* assembly, or serving as community volunteers or construction workers.

Household-focused convergence is not only internal; it is also external. For example, both the Pantawid Pamilya and sustainable livelihood programs require coordination with the municipal government unit and its various subunits if they are to secure its support for implementation of the projects for improving the well-being of Pantawid Pamilya beneficiaries included in the MTP. The role of the Pantawid Pamilya and Sustainable Livelihood Program teams is critical in this regard, as their clients are major beneficiaries

of the projects implemented by the municipal action team. Further, as KC-NCDDP team members are also members of the municipal action team, they will likewise be involved in the implementation of such projects.<sup>29</sup>

Moreover, the KC-NCDDP is the main actor in convergence of community-focused development interventions, since its primary mandate is that of a community-driven development program. The objective of the community-focused convergence strategy is thus coordination of the efforts of national government sector agencies and municipal-level government units—primarily through the BUB program—in the identification, funding, technical support of, and provision of assistance in implementing development projects identified by residents of beneficiary communities that address their development requirements, as identified through the CEAC exercise

At the minimum, community-focused convergence seeks to ensure that the resources of non-KC-NCDDP agencies are directed to the support of the development projects that have been identified by the beneficiary communities themselves. Beyond this, KC-NCDDP convergence also advocates for both other government sector agencies and the local government unit concerned to use KC-NCDDP community-driven processes in implementing projects funded by the BUB program.

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<sup>29</sup> While Pantawid Pamilya and Sustainable Livelihood Program beneficiaries are also “clients” of the KC-NCDDP, the primary target of the KC-NCDDP program is the entire community, rather than individual households.

## 5. Study Results: Household-Focused Convergence

This chapter summarizes the study results relating to household-focused convergence. More specifically, it includes issues relating to (i) poverty targeting, (ii) the degree to which all three DSWD programs are active in the study municipalities, (iii) the workings of the unified municipal action teams, and (iv) the development impacts of the Pantawid Pamilya household-focused convergence strategy that have thus far been achieved.

### A. Poverty Targeting: the Community-Based Management System

Still to be fully resolved is the issue of the poverty database to be used for identifying the beneficiaries of poverty-reduction interventions. In Veruela and the other study municipalities, the municipal local government unit (MLGU) uses the community-based management system (CBMS) database for this purpose, while the municipal action team's plan and the MTP use the Listahanan (National Household Targeting System for Poverty Reduction [NHTS-PR]) database.

According to staff members of the MLGU at the Veruela study site, the level of consistency between the CBMS and NHTS-PR databases is 85%. As a result, they recommend that the DSWD consider using the local government unit's CBMS database for selecting beneficiaries of the DSWD and other national government agency programs and projects.

The staff members of the MLGUs at both the Veruela and San Remigio study sites felt that the NHTS-PR database contains inclusion and exclusion errors, although they acknowledged ongoing efforts to “clean” the database. For example, at the time of the ADB team's visit to the San Remigio study site, MLGU staff cited the example of 200 senior citizens whose social pension benefits had been canceled because they had been excluded from the Listahanan (i.e., NHTS-PR) database. Likewise, some residents at the San Remigio study site who qualified for assistance from the Aid-to-Individuals financial assistance and PhilHealth programs did not receive the assistance for which they were eligible.<sup>30</sup>

<sup>30</sup> Regarding the issue of *inclusion and exclusion errors*, the “views from the field” indicate that (i) errors were made but the targeting process did identify the “right” beneficiaries in the majority of instances; and (ii) errors are being corrected, but this will take time. As one recent article mentioned, “DSWD, ADB, and other partners are working continuously to improve its targeting and delivery systems, as well as its accountability. Better means-testing has reduced targeting errors, as has public validation by community residents themselves that the lists of poor households are accurate. Importantly, the grievance redress system enables feedback on the program, as well as better tracking of complaints and their resolution, including issues of beneficiary identification.” (Rappler, 8 July 2015)

While the problems referred to above may have resulted from operational glitches, the database used for selecting poverty reduction program beneficiaries clearly impacts poverty targeting outcomes. At the same time, if issues such as these are not resolved, municipal-level government unit and national government agency support for the MTP—as well as ownership of it by the MLGU may be compromised.<sup>31</sup>

Fortunately, resolving such issues is not likely to be difficult, at least at the substantive level. Table 2 demonstrates the relatively high level of compatibility between DSWD's social welfare and development indicators and the core local poverty indicators<sup>32</sup> used by the CBMS database. As for the indicators for which Table 2 reports “not available” (N/A), these most likely can be incorporated into other indicators.

## B. Degree to Which All Three DSWD Programs are Active in All Beneficiary Municipalities

Not all of the three DSWD programs are active in all of the beneficiary municipalities under study. For example, DSWD programs in Region VI are active in 97 municipalities. However, only in 26 municipalities (27%) are all three programs active, and only in 64 municipalities (66%) are two of the three programs active. Finally, in seven municipalities (7%), only one DSWD program is active.

The above suggests that in addition to the factors currently accounted for, indicators of the degree of wellbeing of Pantawid Pamilya beneficiaries need to take account of the number of DSWD programs operating in the municipality in question.

## C. The Unified Municipal Action Team

### 1. The Municipal Action Team as a Coordination Mechanism

The municipal action team is the mechanism that brings the implementation teams of the KC-NCDDP, Pantawid Pamilya, and SLP initiatives together at the municipal level to facilitate convergence of these programs. In all three study municipalities, the ADB team found that the municipal action team is evolving into an effective mechanism for coordinating the activities of the three programs. More specifically, the municipal action

<sup>31</sup> At the same time, it should be noted that the CBMS is neither fully adopted, nor is it updated in all municipalities. In a number of instances, this is due to cost: very poor municipalities are hard-pressed to adopt the CBMS because of the cost involved. At the same time, the CBMS does not contain the comprehensive household data that the Listahanan database has captured. While MLGUs currently insist on using the CBMS/Core Local Poverty Indicator database as the basis for antipoverty measures, it may be that, at the end of the day, the system that is able to produce the more comprehensive set of data and to make it available at lower cost will likely be that which is used as the basic reference data.

<sup>32</sup> The KC-NCDDP PSA uses the core local poverty indicators to calculate poverty incidence in each *barangay*.

**Table 2: Comparison of the Social Welfare and Development Indicators and the Core Local Poverty Indicators**

Social Welfare and Development Indicators	Core Local Poverty Indicators
<b>Economic Sufficiency</b>	
Employment	Employment
Employable Skills	N/A
Income	Income
Social Insurance	N/A
<b>Social Adequacy</b>	
N/A	Peace and Order
Health	Health
Nutrition	Nutrition
Sanitation	Water and Sanitation
Hygiene	N/A
Housing/Living Conditions	Shelter
Education of Household Members	Basic Education
Family Activities	N/A
Role Performance of Household Members	N/A

N/A = not available.

Source: Author compilation, 2015.

teams were found to be (i) functional, in that they were convening regular meetings; (ii) sharing information relating to individual program plans and activities; (iii) sharing human resources in a manner that complemented each other's program activities; (iv) jointly addressing issues relevant to improving program implementation (e.g., strengthening the engagement of the MLGU concerned in poverty reduction activities; and (v) tracking the individual activities of the three programs as a means of avoiding overlaps.

At the San Remigio, Antique study site, the municipal action team had convened regular monthly meetings ever since it was organized during the final quarter of 2012. Meeting agendas typically included (i) updates on the status of ongoing activities and the plans of the three programs; (ii) addressing requests for assistance by any of the three programs; (iii) ensuring coordination of the individual activities of the three programs; (iv) assisting a particular program in addressing a specific problem (e.g., fulfilling targets, developing strategies for engaging the local government unit concerned); and (v) providing feedback to each other regarding the reactions of community residents to their activities. On the whole, individual municipal action team members appeared to have a good understanding and appreciation of each other's programs.

Similarly, the municipal action team at the Veruela, Agusan Del Sur study site has met regularly ever since it was organized in 2012. Major accomplishments of this team included (i) expanding the membership of the existing Municipal Inter-Agency Committee to include *barangay* captains and representatives of civil society organizations, (ii) extending the mandate of the Municipal Inter-Agency Committee to include responsibility for convergence of MLGU services in addressing the development requirements of Pantawid

Pamilya beneficiaries, and (iii) changing the Municipal Inter-Agency Committee's name to the "Municipal Convergence Action Committee" so as to reflect expansion of the committee's mandate. The municipal action team at this study site had also formulated the municipality's first MTP.<sup>33</sup>

At Veruela as well as the other two study sites, the municipal action teams likewise harmonized some of the activities of the three DSWD programs. Examples include: (i) coordination initiated by the KC-NCDDP; (ii) sharing of information among the staff of the three programs; (iii) KC-NCDDP and Sustainable Livelihood Program staff serving as resource persons for Pantawid Pamilya beneficiary households—who are considered to be the most vulnerable—in KC-NCDDP-funded construction activities; (iv) coordinating *barangay*-level data gathering by the three programs; and (v) joint monitoring of beneficiaries by the staff members of the Pantawid Pamilya and Sustainable Livelihood programs.

At all three study sites—but particularly at the Capalonga, Camarines Norte study site—there was consensus among the three DSWD teams that the municipal action team had strengthened the operation of their respective programs. For example, KC-NCDDP work had encouraged the participation of Pantawid Pamilya beneficiary families. Similarly, the SLP's community livelihood assessment had relied on beneficiary-community-level data gathered under the KC-NCDDP's PSA. Likewise, Pantawid Pamilya municipal links found it easier to persuade Pantawid Pamilya beneficiaries to be involved in community affairs because of the presence of KC-NCDDP-initiated activities in the *barangay*.

Such outcomes demonstrate that the effectiveness of coordination depends on (i) alignment of the activities of the three programs at the municipal and village levels; and (ii) support of the activities of one program by team members of the other two programs.

## 2. Municipal Action Team Demands on Staff Time

Participating in municipal action team activities increases demands on the time of municipal action team staff members, who are already quite burdened with the demands of their individual programs.

Ultimately, lack of a full time coordinator who follows up on the decisions of the municipal action team, and lack of a separate municipal action team budget constrain further convergence. As pointed out by an earlier ADB review, "... coordination difficulties also occurred among the DSWD convergence staff due to different schedules, and clash in the demands of the Municipal Transition Plan preparation with that of their other projects."<sup>34</sup>

<sup>33</sup> The municipal action team at the Veruela, Agusan Del Sur study site is expected to prepare two plans for addressing the development requirements of Pantawid Pamilya beneficiaries. The first is the municipal action team plan, which lists the development interventions of the three DSWD programs (the KC-NCDDP, the Pantawid Pamilya, and the SLP initiatives) and other DSWD programs that address the needs of Pantawid Pamilya beneficiaries. The second is the MTP, which is prepared by the unified municipal action team and Municipal Inter-Agency Committee. The MTP contains a comprehensive set of interventions also meant to improve the well-being of Pantawid Pamilya beneficiary households in the municipality. Support for the MTP is expected to be drawn from the resources of the MLGU and national government sector agencies interested in funding like development initiatives.

<sup>34</sup> Paqueo, V., L. Lazo, and S. Cortes. 2014. Reviewing the Pantawid Pamilya Municipal Transition Plans. Manila: ADB (TA 7733). 16 May.

In the case of staffing for the Pantawid Pamilya program, the earlier ADB review of the MTP pointed out that “...a major area of concern for the DSWD staff is the caseload. The ideal staff-to-case ratio is 1:35 but this was hardly met. In fact, the ratio swells to as much as 1:800.... The (Pantawid Pamilya) Municipal Links have a caseload of 800 households and a multitude of other functions to perform, compromising focus and attention which should have been accorded to transitioning families to a higher level of well-being.”<sup>35</sup>

Lack of sufficient staff also negatively impacts the SLP at the Veruela study site. The SLP officer is usually designated as the leader of the municipal action team in geographic areas in which the predecessor KALAHÍ-CIDSS project was not active.<sup>36</sup> However, this team member is overloaded with SLP functions. Another issue is the amount of travel time required to commute between municipalities. Instead of being municipality-based, SLP assignments are based on the number of borrowers. Hence, it is possible that the coverage area of an SLP officer could extend to two or more municipalities. For example, in Region VI, the regional project management team informed the ADB team (during the latter’s visit in the final quarter of 2014) that there are only 40 SLP officers for 133 municipalities, or about 1 officer for more than three municipalities, a fact that increases travel time and reduces presence in the field.<sup>37</sup>

Achieving internal convergence also involves opportunity costs for KC-NCDDP staff. At the Veruela study site, the area coordinating team cited a number of difficulties. First, KC-NCDDP activities sometimes have to be re-scheduled due to conflicts with the activities of the other programs. Second, it is difficult to convene meetings of the municipal action team because of conflicts between the schedules of the three programs. Third, the person who convenes meetings of the municipal action team—the area coordinator—finds it difficult to obtain data and information relating to the activities of the two other programs. Fourth, it is sometimes difficult to harmonize the three programs because of differences in their priorities and targets. Finally, some community residents disagree with the decision to give priority to Pantawid Pamilya beneficiaries in recruiting construction workers for KC-NCDDP-funded projects.

### 3. Municipal Action Team Leadership

Related to the above, obtaining support for the MTP on the part of the MLGU and the national government agencies for Pantawid Pamilya beneficiaries is a time-intensive task requiring substantial facilitation skills on the part of the municipal action team and its members. Ultimately, successfully fulfilling the objectives of the plan of the municipal action team and the MTP for Pantawid Pamilya beneficiaries will depend on convincing the MLGU to provide the necessary support.

<sup>35</sup> DSWD. 2013. *Accomplishment Report on the DSWD Strategic Goals*. Manila. 31 December.

<sup>36</sup> Of the 67 municipalities and 6 cities covered by the DSWD Caraga Field Office, the KC-NCDDP operates in only 54 municipalities.

<sup>37</sup> The Caraga regional project management team is aware of this problem, and is making efforts to remove some of the workload of the municipal action team leader to free up time for convergence activities.



Of the staff members of the three programs, the leadership, networking, and resource mobilization skills of the KC-NCDDP team's area coordinator are the best.<sup>38</sup> This is an unsurprising outcome, since the nature of the KC-NCDDP requires continuing coordination with the MLGU and its various departments. However, the KC-NCDDP area coordinating team has ambitious targets of its own that could be imperiled if the KC-NCDDP area coordinator were to give the amount of effort required for mobilizing the MLGU's resources required for implementing the MTP.

The above notwithstanding, it is more appropriate for the Pantawid Pamilya team to assume responsibility for implementing the MTP, since the beneficiaries of the MTP are the beneficiaries of Pantawid Pamilya program. However, building the capacity required for Pantawid Pamilya program staff to assume this responsibility remains a challenge. Ultimately, resolution of this issue greatly depends on the skill set of the leader of the municipal action team.

## D. The Municipal Transition Plan

The MTP is prepared by the unified municipal action team (the membership of which includes KC-NCDDP staff) and the Municipal Inter-Agency Committee. Ultimately, the objective of the MTP is presentation of a comprehensive set of development interventions for improving the well-being of Pantawid Pamilya beneficiary households in the municipality concerned. Ultimately, financial support for implementing the MTP is to be drawn from the MLGU, as well as national government sector agencies that have related mandates.

### 1. Strengths and Weaknesses of the Municipal Transition Plan

Formulation of the MTP is based on a survey of Pantawid Pamilya beneficiaries that collects data as per the DSWD's social welfare indicators. Collected at the household level, these data depict the condition of Pantawid Pamilya beneficiaries at the time of collection. Properly used, the information gathered by such surveys can appropriately target improving the well-being of Pantawid Pamilya beneficiary households.

Specific weaknesses of the MTP identified by an earlier ADB review of MTPs—which were validated by the present study—include the following:

“...Most of the MTPs merely contained matrices of projects and tables of Social Welfare Indicator data and there were no narratives to explain the strategy.... They do not articulate critical coordination issues that need to be addressed to ensure

<sup>38</sup> Except in Tanauan, Leyte, the area coordinator serves as the convener of the meetings of the municipal action team in the study sites and as the de facto coordinator in following up the decisions of the municipal action team in between meetings. In Tanauan, the area coordinator is a civil engineer, which makes her ineligible to convene meetings of the municipal action team. The ADB team was informed that one of the requirements for convening meetings of the municipal action team is that the person convening the meeting must be a social worker.

effectiveness of Pantawid Pamilya transition. Neither do they articulate specific strategies on transitioning beneficiaries towards self-sufficiency....

....Overall, the key challenge of the MTP is the different understanding of its objectives. Some perceive it to be a transition of the beneficiaries from survival to self-sustenance, while others think that it is a mode to transfer DSWD's responsibility towards the beneficiaries to the LGU. Moreover, the lack of time and standard process has caused the MTP staff to divert from the process and come up with different strategies just to accomplish the MTP.... Lastly, the MTP planning process lacks the involvement and active participation of the business sector, and the beneficiaries through the parent leaders."<sup>39</sup>

At the San Remigio and Veruela study sites, there was likewise some slight confusion over the proper content of the plan of the municipal action team. In one case, the municipal action team's plan consisted of an inventory of staff-led activities of the three DSWD teams for which opportunities for convergence have been identified.<sup>40</sup> In another case, the municipal action team's plan listed the projects of the three DSWD programs that offered benefits to Pantawid Pamilya beneficiary households. The above notwithstanding, the objective of the MTP is presentation of a list of possible projects oriented toward Pantawid Pamilya beneficiaries that are to be funded by the various units of the MLGU, as well as other sector agencies. Thus, projects of the three DSWD programs meant to improve the wellbeing of Pantawid Pamilya beneficiary households should not appear in the MTP at all.

According to the municipal action teams at the Veruela and San Remigio study sites, the municipal action plan was initially meant to facilitate internal convergence of the three DSWD programs, while the original intent of the MTP was transitioning of the responsibility for the Pantawid Pamilya beneficiaries from the DSWD to the local government unit concerned. However, following initial formulation of the MTP, the Pantawid Pamilya program was expanded to include assistance to high-school-age children. As a result, the original intent of the MTP has become obsolete.

Given recent changes in the Pantawid Pamilya program, the municipal action team is seeking guidance regarding the new direction of the MTP prior to its revision. Currently, the municipal action teams view the MTP as a plan for transitioning Pantawid Pamilya beneficiaries from one stage of well-being to another, the degree to which this transition has taken place being reflected in changes in DSWD's social welfare indicators over time.

<sup>39</sup> Paqueo, V., L. Lazo, and S. Cortes. 2014. Reviewing the Pantawid Pamilya Municipal Transition Plans. Manila: ADB (TA 7733). 16 May. Solutions to the issues raised are currently being investigated by a follow-up ADB study on the Pantawid Pamilya Exit Strategy.

<sup>40</sup> The ADB research team was told that there is no subsequent re-tooling of individual work plans for strengthening the municipal action team's plan once formulated. This reduces the likelihood that the municipal action team's plan will be fulfilled, unless its elements are included in the individual program workplans and financial plans of the individual DSWD teams.

## 2. The Role of the Municipal Local Government Units in Implementing the Municipal Transition Plan

The response of the San Remigio MLGU to the MTP has been generally positive. However, rather than assuming leadership and ultimate responsibility for its successful implementation, the local government unit seems to prefer a supporting role.

Compared with the MLGUs at the other study sites, the Veruela municipal local government unit has taken a more active role in Pantawid Pamilya–focused convergence. However, staff at the Veruela MLGU feel that the national government should be more assertive in pushing convergence.<sup>41</sup> This perceived deficiency in leadership at the national level notwithstanding, the Veruela MLGU was quick to point out the close participation of Pantawid Pamilya and SLP beneficiaries in KC-NCDDP activities, as well as its own efforts in encouraging this participation.

The ambivalent position of the MLGUs referred to above was also captured by the earlier ADB assessment:

“...Many LCEs [Local Chief Executives] show weak support for the Municipal Transition Plan as shown in difficulties to set up meetings with them and they do not personally attend the MTP meetings but send representatives who are unable to make decisions in behalf of the LGU. Some LCEs think that the MTP and its goals are the sole responsibility of DSWD. On the other hand, information is not promptly given to enlighten LGU decision makers and facilitate adoption of proposals. The MTP process and outputs are not aligned with the timeline of LGU planning and budgeting processes/outputs...”<sup>42</sup>

The same ambivalence has been exhibited by the unified municipal interagency committees that have been given responsibility for executing the MTP, which targets the well-being of Pantawid Pamilya beneficiaries.

On one hand, the unified municipal interagency committees do attempt to hold meetings regularly.<sup>43</sup> For example, at the San Remigio study site, the Municipal Inter-Agency Committee meets every other month. Thus far, it has implemented two major actions: (i) assignment of an MLGU focal person to the SLP, and (ii) provision of local government unit food assistance for residents involved in *bayanihan* labor (i.e., work performed for free by village residents for their neighbors or for the community as a whole) for construction

<sup>41</sup> To ensure that all agencies and staff working in the municipality are aware of all community programs, the Veruela MLGU provides updates on the status of projects and directives during the weekly flag-raising ceremony. According to the Veruela local chief executive, information-sharing (and coordination) within the municipality is not very difficult, as all representatives of national government agencies are required to attend the flag-raising ceremony.

<sup>42</sup> Paqueo, V., L. Lazo, and S. Cortes. 2014. Reviewing the Pantawid Pamilya Municipal Transition Plans. Manila: ADB (TA 7733). 16 May. A reviewer of this paper pointed out that the timing of MTP preparation is a critical factor if the MTP is to be mainstreamed into the MLGU's programs and provided with a corresponding budget.

<sup>43</sup> The three DSWD representatives take turns preparing the minutes of Municipal Inter-Agency Committee meetings, which are shared at the following meeting. The ADB team suggested that it might be more helpful if the minutes were prepared immediately following the meeting, that they comprise only 2–3 pages summarizing the major decisions reached at the meeting, and that they then be circulated to all attendees.

of school buildings, farm-to-market roads, and health centers. The San Remigio Municipal Inter-Agency Committee has also completed the 2013 edition of its MTP. However, since this was prepared on the basis of the obsolete assumption of the phase-out of Pantawid Pamilya program, its MTP needs to be revised.

Two positive factors were identified in the functionality of the San Remigio Municipal Inter-Agency Committee: (i) it is a forum for resolving problems in that everyone is present; and (ii) the mayor and Sangguniang Bayan are supportive of the three DSWD programs. On the other hand, it is constrained by (i) too much work from the Municipal Inter-Agency Committee members' original assignments; (ii) some Municipal Inter-Agency Committee members being located at such a distance from the municipal hall that they cannot attend meetings, particularly during the rainy season; and (iii) lack of a transportation allowance for nongovernment participants such as parent leaders, religious leaders, senior citizens, persons with disabilities, and single parents.

### 3. Inclusion of Pantawid Pamilya Beneficiaries in Municipal Local Government Unit Programs

To varying degrees, the MLGUs in the three study municipalities have been working toward inclusion of Pantawid Pamilya beneficiaries in the various welfare and development programs of the municipal government and its various departments. The Veruela local government units appear to have made the greatest progress in this regard, particularly as it relates to livelihood support (seedling, swine, and carabao production, provision of a harvester/planter, community-forestry management), health and sanitation services (PhilHealth coverage, provision of toilets, medical services), and skills training and seminars (income-generating activities and cooperatives). Table 3 summarizes these successes in additional detail.

There is also a similar pattern of wide-ranging projects for Pantawid Pamilya beneficiaries at the San Remigio, Antique study site. These include job fairs (for welding, refrigeration, and electricity); training in various skills such as meat processing (training of the second batch of trainees was ongoing in 2014); dressmaking (third batch in 2014), beauty culture (third batch in 2014), herb processing (turmeric, ginger, ongoing with a group of mothers), vegetable processing (one *barangay* only); social insurance (with the Cebuana Lhuillier Corporation); and membership in PhilHealth programs.

## E. Emerging Effects of Pantawid Pamilya Household-Focused Convergence

*Barangay*-level government unit respondents at the Sisimon and Fortuna of Veruela study sites provided the following succinct description of the dynamics of Pantawid Pamilya-focused convergence among the three DSWD programs:

“... KALAHI-CIDSS provides the projects (in particular, supply-side infrastructure support services in health, education, livelihood infrastructure for village residents);

**Table 3: Inclusion of Pantawid Pamilya Beneficiaries in the Welfare and Development Programs of the Veruela Municipal Local Government Unit**

<b>Municipal Agriculture Office</b>	<ul style="list-style-type: none"> <li>• There is close coordination with the Pantawid Pamilya program to ensure that its beneficiaries are included in the distribution of rubber seedlings to be planted in upland farms. Thus far, some 30,000 seedlings have been distributed to the <i>barangays</i> that comprise the municipality.</li> <li>• A planned project for Pantawid Pamilya beneficiaries is swine production. Each beneficiary will receive five heads of piglets, plus funds for feed and animal housing; the counterpart contribution of the beneficiaries is the labor they provide. Of the five piglets, four heads are earmarked for fattening and one for use as a sow; the four heads earmarked for fattening will be sold and the sow retained for breeding. The offspring will be used for in-kind payment (of the five piglets).</li> </ul>
<b>Municipal Health Office</b>	<ul style="list-style-type: none"> <li>• Pantawid Pamilya beneficiaries are encouraged to make regular use of health services.</li> <li>• The Municipal Health Office has sponsored PhilHealth coverage for Pantawid Pamilya beneficiaries.</li> <li>• Distribution of toilets to 217 households: 50 toilets are ready for distribution.</li> <li>• The Municipal Health Office has ongoing advocacy pertaining to the prevention of common diseases.</li> </ul>
<b>Municipal Agrarian Reform Office</b>	<ul style="list-style-type: none"> <li>• The office released 2,000 hectares (ha) in 2013 and 1,300 hectares as of June 2014. Land distribution is still ongoing. The list of agrarian reform beneficiaries is shared with the DSWD and the Municipal Agriculture Office as part of the monitoring on the capacity development of Agrarian Reform Beneficiaries Associations. Specifically, the list tracks agrarian reform beneficiaries who have attended training and have strengthened their income-generating capacity. A number of these are expected to be Pantawid Pamilya beneficiaries.</li> <li>• The office's ongoing carabao dispersal program has already disbursed 40 heads of carabao. Another round of dispersal was carried out in 2014, which included 20 other <i>barangays</i>, of which 10 are agrarian reform communities. Some of the recipients are expected to be beneficiaries of the Pantawid Pamilya program.</li> <li>• 100 participants from six <i>barangays</i> have undergone 14 pre-membership education seminar modules provided by the Cooperative Development Authority.</li> <li>• The office has released a harvester/planter to the farmers' cooperative in La Fortuna, a <i>barangay</i> that has a large Pantawid Pamilya beneficiary population.</li> </ul>
<b>Indigenous Persons Sector Desk</b>	<ul style="list-style-type: none"> <li>• 300 members (indigenous and nonindigenous households) of the upland farmers' cooperative in <i>Barangay Sinubong</i> have partnered with the rehabilitation efforts of the National Greening Program. This effort has rehabilitated 700 ha (500 ha of which are on hills) as follows: 137 ha in 2011; 130 ha in 2013; and 357 ha in 2014. The National Greening Program provides funds for land preparation and maintenance for 3 years as follows: Year 1, P2,500; Year 2, P2,000; and Year 3, P1,500.</li> <li>• A planned project for indigenous peoples is establishment of a wood carving shop using the trees felled by Typhoon Pablo.</li> <li>• There is an idle cassava/sago flour-making plant, the management of which has been offered to indigenous peoples, though the latter has yet to decide on this matter.</li> </ul>

DSWD = Department of Social Welfare and Development.

Source: Author compilation based on interview on 22–24 September 2014.

Pantawid Pamilya provides cash for household expenses; and the SLP [Sustainable Livelihood Program] provides cash for livelihood activities. SLP beneficiaries are drawn from Pantawid Pamilya recipients. There is active participation of SLP and Pantawid Pamilya beneficiaries in KALAHI-CIDSS activities. Community volunteers—many of them Pantawid Pamilya beneficiaries—provided counterpart labor in implementation of the three KC-NCDDP funded projects. Community volunteer-residents also provided their time to undertake community procurement, audit and inventory and other CEAC [Community Empowerment Activity Cycle] activities. Residents' involvement also resulted in the formation of organizations within the *barangay* and increased participation in the *barangay* assemblies. Concerns of the residents on the programs are easily discussed and resolved through proper coordination of the three programs. Villagers' feedback is provided to the staff of the three DSWD programs during the conduct of the different activities of the three programs.”

Following is a description of convergence-generated positive impacts at the three study sites as identified by the ADB team.

**1. Alignment of program activities has reduced the amount of time required for village residents to participate in the three DSWD programs**

Municipal action team alignment of the activities of the three DSWD programs has reduced the time required for village residents to participate in the three programs. A widely practiced measure in aligning such activities is scheduling KC-NCDDP-initiated village assemblies back-to-back with Pantawid Pamilya-sponsored family development training sessions.

**2. Pantawid Pamilya beneficiaries and community mobilization for KC-NCDDP activities**

Pantawid Pamilya beneficiaries constitute a major bloc of attendees at village assemblies and other meetings at all of the villages under study.<sup>44</sup>

According to the municipal action team at the Veruela study site, it is common for Pantawid Pamilya beneficiaries to comprise that largest group of attendees at the *barangay* assembly. Empowerment is a major topic at the family development sessions, and this encourages Pantawid Pamilya beneficiary families to participate in community activities. At Barangay Sisimon, Veruela, 64 of the 160 households participating in *barangay* assemblies were Pantawid Pamilya beneficiaries. At La Fortuna (the second study *barangay* in Veruela), all Pantawid Pamilya beneficiaries attend KC-NCDDP-sponsored *barangay* assemblies. Together, these beneficiaries comprise 40%–50% of all households attending village meetings.

<sup>44</sup> One of the KC-NCDDP reviewers pointed out that this may have both positive and negative effects on the program. On the one hand, the KC-NCDDP is committed to ensuring the participation of Pantawid Pamilya beneficiaries in its activities. At the same time, participation of Pantawid Pamilya beneficiaries should not result in the exclusion of all other vulnerable residents from KC-NCDDP activities.

Similarly, Pantawid Pamilya beneficiaries—parent leaders in particular—comprise the bulk of community volunteers in the various committees and activities associated with KC-NCDDP implementation in Veruela.

### 3. **Presence of Pantawid Pamilya beneficiaries in KC-NCDDP activities reduces elite capture**

On the basis of the Listahanan exercise, the Pantawid Pamilya beneficiaries comprise the poorest of the poor within most villages. Their representation at KC-NCDDP activities ensures that the needs of the poorest in the community are considered in the design of community projects proposed for KC-NCDDP funding. This is likewise possibly true of projects financed under the BUB program.

According to the Capalonga area coordinating team, Pantawid Pamilya beneficiaries' becoming community volunteers transforms the elitist composition of the volunteers, thus making the community volunteers more of a grassroots (that is, poor) movement.<sup>45</sup> At the same time, the area coordinating team claims that the present grassroots character of the volunteer movement has not alienated the more elitist elements of the community who continue to provide assistance to the three programs.

The above suggests that representation of the poorest members of villages in KC-NCDDP processes helps to deter or prevent elite capture of the KC-NCDDP, or to dilute its negative impacts.<sup>46</sup>

### 4. **Pantawid Pamilya Beneficiaries are hired as construction workers under KC-NCDDP-funded projects**

According to area coordinating teams of the three study municipalities, when recruiting construction workers for KC-NCDDP-funded community projects, priority is given to Pantawid Pamilya beneficiaries. The ADB team confirmed this, in that in a number of study villages, as many as 50% of the construction workers on KC-NCDDP-funded community projects were Pantawid Pamilya beneficiaries.

In some of the *barangays* under study, construction employment in KC-NCDDP-funded projects can be significant. For example, five KC-NCDDP-funded projects have been implemented in Barangay Sisimon in Veruela. For the first project—a water supply system—90 days of construction were required over a period of 4 months, 30 unskilled workers being required to complete the works. The second project—a day care center—required 40 days of construction works over a 2-month period, with 10 unskilled workers being required. The third project—a solar drier—required 15 days of construction works, and 20 workers each day, with each person working a total of 5 days. The fourth and fifth projects—installation of solar street lights—required only minimal labor.

<sup>45</sup> According to area coordinating team respondents, a significant percentage of KC-NCDDP community volunteers comprised village elites, i.e., better-off community residents. Entry of Pantawid Pamilya beneficiaries has reduced the degree to which the elite previously comprised the ranks of community volunteers.

<sup>46</sup> The above does not necessarily negate the feedback from other municipalities, as related by one of the KC-NCDDP reviewers of this report, that, as a result of the priority focus given to Pantawid Pamilya beneficiaries, some of the non-Pantawid Pamilya poor are missing out on the benefits of government antipoverty programs.

In one *barangay* in San Remigio, Antique, labor for construction of a KC-NCDDP-funded village footbridge required 6–15 skilled and unskilled laborers per day. These included a foreman/carpenter (60 days at P280 per day); a steel man (60 days at P250 per day); a mason (60 days at P250 per day); a welder (20 days at P250 per day); and unskilled workers (P180 per day). All wages of the above workers were subjected to a P30.00–P50.00 per day deduction, which made up part of the counterpart contribution of the community for the project.<sup>47</sup>

While employment of Pantawid Pamilya beneficiaries under KC-NCDDP-funded construction projects has been considerable, further increases in Pantawid Pamilya beneficiary employment under KC-NCDDP-funded construction projects are constrained by a number of factors.

For example, there are non-Pantawid Pamilya beneficiaries that are as poor as Pantawid Pamilya beneficiaries who would also like to be employed as construction workers under KC-NCDDP-funded construction projects.<sup>48</sup> KC-NCDDP beneficiary communities have responded to this by allowing interested workers from Pantawid Pamilya and non-Pantawid Pamilya families to be employed alternately (e.g., on a weekly basis), which allows all interested residents to benefit from construction employment.

Second, while KC-NCDDP-funded construction workers are paid weekly,<sup>49</sup> Pantawid Pamilya beneficiary families generally prefer employment that pays wages on a daily basis so that they have cash to meet their daily needs.

A third possible constraint is deduction of a portion of the workers' salaries as community counterpart funding (as previously agreed at the *barangay* assembly). This effectively reduces the workers' take-home pay below the levels offered by other employers in the community.<sup>50</sup> Nor does the KC-NCDDP provide food for construction workers, a common practice among private employers in village projects.

According to the *barangay* LGU at the San Isidro (Tanauan, Leyte) study site, another constraint is that the KC-NCDDP pay rate for skilled workers is no longer competitive, as these wages have increased because of increasing demand in Leyte for (skilled) construction workers due to postdisaster reconstruction efforts.<sup>51</sup>

<sup>47</sup> Wage deductions were not uniform across *barangays*, even within the same municipality. In Veruela, for example, the amount held back was P50 per day in one study *barangay*, while it was P30 per day in the other *barangay*. According to the area coordinating team, the amount to be held back is a decision made by the *barangay* assembly.

<sup>48</sup> It is possible that some *barangay* family residents, who may be considered as being as poor as Pantawid Pamilya beneficiaries, are not participants in the Pantawid Pamilya program. This is because these families do not have children aged 0–18 years.

<sup>49</sup> In Tanauan, Leyte, the ADB team was informed that, while payment of labor in KC-NCDDP-funded projects is on a weekly basis, there was an instance in which payment was delayed for 2 weeks, thus providing a disincentive to families who need daily payment to meet subsistence needs. In Barangay Alayao (Capalonga, Camarines Norte), some workers did not return to work because their salaries were delayed; instead, they wanted to take some construction materials to substitute for their delayed wages.

<sup>50</sup> In one of the study sites, the village assemblies decided against making deductions from workers' wages.

<sup>51</sup> As pointed out by one of the KC-NCDDP reviewers, this constraint can be remedied. If prevailing wage rates are higher, all that would be required is for the KC-NCDDP team to secure a certification either from the local government unit engineer or the mayor that the rates have increased.



The Veruela municipal action team also mentioned that the majority of Pantawid Pamilya household heads are farmers. Thus, they are less likely to participate in construction works under KALAHÍ-CIDSS subprojects since (i) they don't have time, since they have to work in their fields;<sup>52</sup> (ii) they do not have the requisite skills for construction work; and (iii) the work provided by KALAHÍ-CIDSS-funded projects is short term, so there could be significant opportunity cost in giving up farm work.

Apart from the provision of employment, some KALAHÍ-CIDSS-funded projects target Pantawid Pamilya families as their main beneficiaries. In San Isidro (Tanauan, Leyte), the ADB team came across a KALAHÍ-CIDSS-funded toilet dispersal project in which 16 of the 19 beneficiaries were Pantawid Pamilya beneficiary families. The toilet project, which received a P300,000 grant in 2013 (Cycle 1), provided 19 families with a toilet module that consisted of (i) housing measuring 20 cm x 120 cm, (ii) a two-compartment septic tank (for urine and feces), and (iii) a toilet bowl.

The sanitary toilet project was selected because of the prevalence of schistosomiasis in the *barangay*.<sup>53</sup> To be eligible, families had to fulfill three conditions: (i) no existing toilet facilities, (ii) no cement component in their houses, (iii) written permission from their landlords allowing installation of the toilet.

The ADB team performed a cursory physical inspection of a few of these toilet facilities and found them to be operational. The more pressing issue regarding the project was the beneficiary selection process, which appears to have been quite controversial. In fact, the focus group discussion between the ADB team and the residents in which the toilet project was discussed became very heated, with a few residents engaging in a verbal altercation. Clearly, the beneficiary selection process was so contentious that the "wounds" from the process still have not yet completely healed. This highlights the key differences between the Pantawid Pamilya and KC-NCDDP programs, and the need for astute facilitation and exercise of caution in bringing about convergence between them.<sup>54</sup>

## 5. Participation of Women in KC-NCDDP Construction Works

At the Barangay Sisimon, Veruela study site, only males worked in the solar drier project. In the water system project, four women worked with their husbands in burying the hoses into the trench. Only males worked in the construction of the day care center. In Barangay La Fortuna—the other study site in Veruela—women were involved in construction. For example, they prepared snacks, transported materials, and performed similar tasks, but were not paid a cash wage; however, they were provided with meals.

<sup>52</sup> In Barangay San Isidro (Tanauan, Leyte), for example, many Pantawid Pamilya beneficiaries cannot participate in the paid-labor construction activities of the KALAHÍ-CIDSS project because the schedule for planting and harvesting conflicts with the timing of construction works: January to February is generally used for land preparation, while March–April is the harvest season; and May is fiesta season. Since the area has two cropping seasons, it is only during the months of February and March when farmers seek nonfarm employment.

<sup>53</sup> At first glance, it may appear that the provision of a toilet to an individual household constitutes a private good and is thus ineligible for KC-NCDDP funding. However, DSWD views the provision of toilets as serving the public goal of community sanitation. Hence, this type of project is considered within the realm of public goods and therefore eligible for KC-NCDDP funding.

<sup>54</sup> Briefly, Pantawid Pamilya is concerned with the provision of private goods (i.e., subsidizing household living expenses), while the KALAHÍ-CIDSS project is concerned with provision of public goods (grants for implementing projects that address community-identified common needs. This issue is discussed further in Chapter 7.

According to the Veruela municipal action team, in instances in which women were hired as unskilled construction workers, the women who were accustomed to physical labor were judged to be good workers. This demonstrated that women can do work customarily performed by men. As a result, these women served as an inspiration to both men and women.

In Barangay Canramos—one of the two study sites in Tanauan, Leyte—no women performed paid labor during the two cycles of KALAHÍ-CIDSS subprojects. Instead, women participated as volunteers, mainly doing paperwork. In Barangay San Isidro—the other site in Tanauan—one woman was hired as a *bodegera* (inventory clerk) during the construction period of a KALAHÍ-CIDSS-funded project. She worked for 16 days, but quit when she got pregnant and was replaced by a male. She received P260 per day, which was the wage rate for unskilled labor. Another woman worked as an unskilled laborer, but also quit when she got pregnant. She did the same work as her male counterpart, and was paid the same rate.

At the same time, respondents at the Barangay San Isidro (Tanauan, Leyte) study site stated that volunteering for KC-NCDDP-funded activities had created some conflict within families, since volunteers tend to spend more time on the project than on household and livelihood activities.<sup>55</sup>

In contrast to the above, at the Capalonga, Camarines Sur study site, women constituted a significant percentage of the labor force. In Barangay Tanauan, women accounted for 40% of all labor employed, serving as unskilled workers doing excavation work in a streetlight project. Similarly, under the Foot Bridge Project of Barangay Alayao, women accounted for 50% of the labor force.

Discussions regarding this issue with respondents at the study sites led the ADB team to conclude that females will find it difficult to be employed as construction workers for two reasons: (i) the existing gender division of labor; and (ii) the fear of hurting their husband's feelings.<sup>56</sup>

## 6. Some Pantawid Pamilya Recipients Have Become Borrowers Under the Sustainable Livelihood Program

A number of Pantawid Pamilya recipients have met the requirements for joining the SLP as borrowers, both as individuals and as groups. SLP borrowers are usually organized into groups with a minimum of five members.

At the Veruela study site, 15 of the 64 Pantawid Pamilya beneficiaries (23%) have availed of loans from the SLP in Barangay Sisimon, while this was true of 100 beneficiaries of 386 Pantawid Pamilya beneficiaries (26%) at Barangay La Fortuna. Not all Pantawid Pamilya

<sup>55</sup> This issue has been raised in a number of other studies on the KC-NCDDP and other CDD projects.

<sup>56</sup> Given this, the KC-NCDDP may consider the priority targeting of the women of female-headed households for construction labor. This is, of course, in addition to current efforts to segregate construction activities into “heavy” and “less-heavy” work, and securing agreement during the *barangay* assembly that women will be given priority for recruitment as workers for the “less-heavy” work. At the same time, according to KC-NCDDP staff, the number of women being engaged in construction work has risen steadily. At present, women constitute 27% of the labor force in KC-NCDDP-funded project construction works.

families join the SLP, because participation is not compulsory, and many families are hesitant to borrow money.<sup>57</sup>

According to the Veruela municipal action team, in addition to making loans, the SLP conducts technical and skills training sessions for members of beneficiary households. Such training requires board and lodging counterpart contributions from trainees.

Most of the enterprises undertaken by SLP borrowers at the two study *barangays* of Sisimon and La Fortuna (in Veruela) related to farm production. Loan proceeds were used to buy sprayers, fertilizer, pesticides, and related items for banana and coconut production.

According to the Veruela municipal action team, participation in the SLP has enabled some beneficiaries to (i) increase the total value of their business assets (e.g., the number of piglets they own), (ii) finance farm production, (iii) retain greater incremental income through reduction in the interest rate on their borrowings, and (iv) to use the resulting savings for funding schooling expenses for their children.

With regard to repayment rates, only 2 of the 15 borrowers at Barangay Sisimon have repaid their loans. Borrowers have claimed that the money for repayment was diverted to schooling costs for their children. While respondents at the Barangay La Fortuna study site were not able to give specific figures, they reported that the repayment rate was less than 100%. This group made a collective decision whether to include an individual in the upcoming cycle. A major consideration in this regard is the repayment performance of the individual. Repayment is thus clearly an issue.<sup>58</sup>

A promising initiative is the launch of group enterprises (e.g., communal vegetable gardens is the best example in Veruela) funded by the pooled loans of a cluster of individual SLP borrowers. If monitored and supervised properly, these group enterprises could enable participants to learn business management firsthand, while financial controls inherent in monitoring and supervision will increase the likelihood that the loan funds will be able to be recycled for a longer period.

Group enterprises seem to show better results than do individual enterprises with regard to ease of monitoring and problems with leakage. As a result, they may be appropriate for first-time microentrepreneurs. On the other hand, individual enterprises are perhaps better suited to individuals with more entrepreneurial experience.

<sup>57</sup> According to the Veruela municipal action team, 1,000 of the 2,306 Pantawid Pamilya beneficiaries (43%) have become borrowers under the SLP.

<sup>58</sup> During the focus group discussion between village residents and the research team, it became clear that improving repayment requires innovation in loan collection efforts. For example, in the case of farm-related loans, one option would be to schedule repayment collection during harvest time, and to accept in-kind payments.

## F. Suggested Improvements for Pantawid Pamilya-Focused Convergence

### 1. Municipal Action Team Leadership and Municipal Transition Plan Advocacy

Mobilization of MLGU and national government agency support for the MTP requires continuing investment of time and facilitation skills by the municipal action team. However, the KC-NCDDP team's area coordinator has the best skill set for leading the municipal action team. However, the KC-NCDDP has its own targets, which require extraordinary effort on the part of the area coordinating team. Moreover, it is more appropriate for the Pantawid Pamilya team to assume responsibility for implementing the MTP, since the clients of the MTP are beneficiaries of the Pantawid Pamilya program.

Perhaps the best alternative is to establish a mentoring/support arrangement that would allow the KC-NCDDP team to provide back-up assistance to the Pantawid Pamilya team in their negotiations with MLGUs in mobilizing resources for implementing the MTP. This arrangement could be tried for an initial 6-month period, with the option of renewing it for an additional 6 months.

### 2. Synchronizing the Plan of the Municipal Action Team with the Municipal Transition Plan

As mentioned, there is some slight confusion regarding the contents of the plan of the municipal action team. To simplify matters, perhaps the latter plan should focus on the staff-led activities of the three DSWD programs that represent opportunities for convergence by the three DSWD teams.<sup>59</sup>

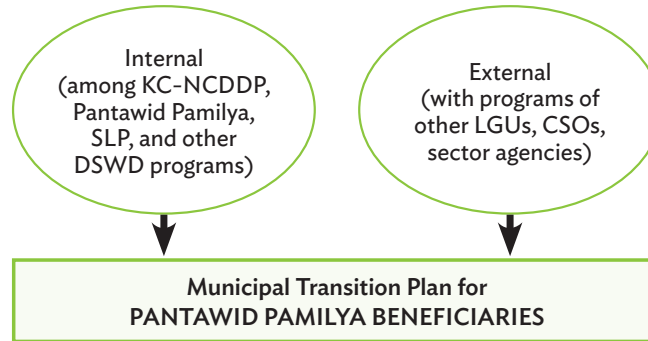
On the other hand, the MTP could focus on the proposed development interventions to be funded by the three DSWD programs, the MLGU, and interested sector agencies. However, it is important to note that while the internal and external dimensions of Pantawid Pamilya-focused convergence may be distinct, the two can find common ground in the MTP, the goal of which is to improve the well-being of Pantawid Pamilya beneficiaries (Figure 6).

### 3. Recognition for Bayanihan Efforts of Village Residents

The ADB team feels that there is insufficient recognition of the *bayanihan* efforts of village residents. For example, while at the Barangay Alayao (Capalonga, Camarines Norte) study

<sup>59</sup> Examples mentioned earlier include (i) coordinating family development sessions with *barangay* assemblies; (ii) sharing of information among the staff of the three programs; (iii) KC-NCDDP and SLP staff serving as resource persons for family development sessions; (iv) Pantawid Pamilya households being given priority in KC-NCDDP-funded construction activities; (v) coordination in data gathering about the *barangay* situation; and (vi) joint monitoring of beneficiaries by staff of the Pantawid Pamilya and SLP initiatives.

**Figure 6: The Municipal Transition Plan as the Interface between the Internal and External Dimensions of Pantawid Pamilya-Focused Convergence**



CSO = civil society organization, DSWD = Department of Social Welfare and Development, KC-NCDDP = KALAHI-CIDSS–National Community-Driven Development Program, LGU = local government unit, SLP = Sustainable Livelihood Program.

Source: Author compilation, 2015.

site, residents provided volunteer labor during construction works (under the approach-to-the-footbridge project), this was neither recorded in the project books nor recognized by the larger community. One option in this regard would be to place a plaque at the approach to the footbridge listing the persons who provided *bayanihan* labor under this subproject.

## 6. Study Results: KC-NCDDP Community-Focused Convergence

This chapter summarizes the study results relating to community-focused convergence under the KC-NCDDP, which has four desired outcomes:

1. **eliminating duplication and avoiding overlap** through information sharing by KC-NCDDP and other sector agencies, and geotagging (a technique used to capture photos, audios, and videos on field and pinpoint the location) of community subproject investments to avoid overlap.
2. **ensuring complementarity of investments** by identifying other sector agencies that may be interested in funding (i) village projects not funded by the KC-NCDDP; and (ii) other village projects approved by the *barangay* assembly that were not submitted for KC-NCDDP funding.<sup>60</sup>
3. **reinforcing existing planning and coordinating mechanisms** through KC-NCDDP support of, and participation in, local decision-making bodies such as the municipal development council, the municipal inter-*barangay* forum, the municipal interagency committee, the local poverty reduction action team and its *barangay* counterpart bodies.
4. **promoting decentralized decision making** through the CEAC as a means of facilitating community decisions on the projects that will benefit them the most, and more importantly, empowering these communities to implement these projects themselves. This requires encouraging other sector agencies to adopt the participatory processes used by the CEAC in implementing projects.<sup>61</sup>

Since the specific procedures for KC-NCDDP community-focused convergence are still evolving—particularly when compared with the more advanced Pantawid Pamilya-focused convergence measures—the ADB team chose to focus on (i) the level of support of KC-NCDDP processes by local stakeholders, the CEAC in particular; and (ii) opportunities for harmonizing CEAC project selection and implementation processes with those of the BUB program.

<sup>60</sup> These two measures represent new initiatives for the KC-NCDDP. The predecessor KALAHI-CIDSS Project was long engaged in complementary efforts with other agencies, one of the most common being the construction of new classrooms (hardware) with funding from KALAHI-CIDSS, and provision of teachers, books, and other teaching materials (software) by the Department of Education. A similar arrangement is found in rural health stations in which the building is funded by the KALAHI-CIDSS project, and health personnel, equipment, and medicines are funded by the Department of Health.

<sup>61</sup> Apart from social preparation and the conduct of the PSA, KC-NCDDP project implementation procedures consist of the following: (i) community-led procurement, (ii) use of community force account (community management of construction labor), (iii) community-managed project implementation (including monitoring, and operation and maintenance), and (iv) community management of funds.

## A. Views on Social Preparation and the Participatory Situation Analysis under the KC-NCDDP Community Empowerment Activity Cycle

Most stakeholders perceive the social preparation and PSA exercises in a positive way. In contrast, most see prioritization of projects in negative terms.

With regard to awareness of the social preparation process and the CEAC generally, municipal-level staff members are generally better informed than their counterparts at the regional level.

According to the Veruela area coordinating team, local stakeholders were introduced to both the KC-NCDDP and the CEAC through their membership in the Municipal Inter-Agency Committee. The municipal health officer, the municipal local government operations officer, and Department of the Interior and Local Government staff based in the MLGU of Veruela confirmed that it was their membership in the Municipal Inter-Agency Committee that resulted in their familiarity with the KC-NCDDP and its processes.

Through its regular meetings, the Municipal Inter-Agency Committee has served as a forum for orienting local representatives of national government agencies in KALAHI-CIDSS procedures, including the PSA exercise and Municipal Inter-Barangay Forum project selection mechanism.<sup>62</sup> On occasion, some members of the Municipal Inter-Agency Committee have also been involved in assessment and monitoring of several KC-NCDDP-supported projects.

The same is true of the municipal agriculture officer, who is the local representative of the Department of Agriculture, who is quite active in the Municipal Inter-Agency Committee and quite familiar with KC-NCDDP processes. A local resident, the municipal agriculture officer attends KC-NCDDP *barangay* assemblies in the area.

At the regional level, neither the Department of Labor and Employment nor the Department of Agrarian Reform interviewees were aware of KC-NCDDP processes. The Department of Labor and Employment officer was only briefed on the Pantawid Pamilya and sustainable livelihood programs. In the case of the Department of Agrarian Reform officer, that person was not aware of KC-NCDDP processes because, according to him, all Department of Agrarian Reform projects are located in non-KC-NCDDP areas.

According to its respondent from the Department of Labor and Employment regional office, the agency does not have a representative at the municipal level. The Department of Labor and Employment does not fund infrastructure, only training and equipment. Hence,

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<sup>62</sup> As explained, the Municipal Inter-Agency Committee has recently been re-organized as the unified Municipal Inter-Agency Committee to reflect its expanded role in the convergence effort. The unified Municipal Inter-Agency Committee includes representation from civil society organizations operating in the municipality. Apart from its functions under the KC-NCDDP, the Unified Municipal Inter-Agency Committee—in partnership with the municipal action team—is also responsible for the planning and implementation of the MTP.

the focus of the Department of Labor and Employment partnership with the DSWD is the Pantawid Pamilya and sustainable livelihood programs.

Finally, of all of the sector agency representatives interviewed at Veruela, only the municipal local government operations officer of the Department of the Interior and Local Government had participated in a participatory situation analysis exercise.

Table 4 summarizes the views of village residents, *barangay* officials, municipal officials, and local representatives of sector agencies at the three study sites regarding the social preparation and PSA performed under the KC-NCDDP CEAC.

**Table 4: Views on Social Preparation and the Participatory Situation Analysis of the KC-NCDDP Community Empowerment Activity Cycle**

Village Residents	Barangay Officials	Municipal Officials	Sector Agency Representatives
<ul style="list-style-type: none"> <li>The “10-Year Dream of the Community” visioning exercise serves as a continuing road map.</li> <li>The process is very transparent.</li> <li>Residents participate in setting the criteria for project selection.</li> <li>Community needs are prioritized by the residents themselves.</li> <li>Community members and volunteers received training on community development and project-related topics.</li> <li>The Municipal Inter-Barangay Forum ranking process results in the exclusion of some <i>barangays</i> from KC-NCDDP funding.</li> </ul>	<ul style="list-style-type: none"> <li>The Community Empowerment Activity Cycle process includes <i>barangay</i> assemblies in which community members identify problems in the community and solutions to those problems. Every resident is given an opportunity to air his or her views, and decisions are made in a democratic way. These assemblies ensure that all decisions are transparent and legitimate.</li> <li>Both residents and <i>barangay</i>-level government unit officials see the importance of the KALAHI-CIDSS process.</li> <li><i>Barangay</i>-level government unit officials suggested convening fewer <i>barangay</i> assemblies and reducing the standards of participation to 80% because the costs of <i>barangay</i> meetings (e.g., food) are funded by the <i>barangay</i> government.<sup>a</sup></li> <li>Village meetings are convened with insufficient advance notice given to residents. This makes achieving a 95% attendance rate difficult. <i>Barangays</i> with large populations and large geographic areas also find it difficult to achieve a 95% attendance rate.</li> </ul>	<ul style="list-style-type: none"> <li>KC-NCDDP project implementation takes too long, mainly because of the participatory situation analysis (PSA) exercise. This contrasts with the Bottom-Up Budgeting process in which projects are already identified.</li> <li>There was also concern regarding nonprioritized <i>barangays</i>, although this is being addressed by the municipal government with assistance from the provincial-level government unit and other national government agencies.</li> <li>There was concern expressed regarding the Municipal Inter-Barangay Forum because of entry of politics into the voting process.<sup>b</sup></li> <li>All projects proposed by the <i>barangay</i> are important, and therefore should be funded.<sup>c</sup> If funds are insufficient for all projects, there should be more discussion and “tightening” of the criteria. Voting should be a last resort in prioritization.<sup>d</sup> As an alternative, funding from the three cycles could be consolidated into just one cycle; in this way, there would be enough funds for each <i>barangay</i>.</li> </ul>	<ul style="list-style-type: none"> <li>The results of the <i>barangay</i> PSA were considered in planning Bottom-Up Budgeting (BUB) assistance for 2015 in some KC-NCDDP-assisted areas. However, it was sometimes difficult to use the PSA results because the timing of the PSA is not synchronized with the BUB process.</li> <li>Other agencies—the Department of Agriculture in particular—did not use the PSA results in project selection for two reasons: (i) the Department of Agriculture has its own participatory rural appraisal process, which is similar to the PSA; and (ii) farmer organizations—rather than the entire community—identify projects for Department of Agriculture funding.</li> <li>Among the sector agencies in Veruela, only the Department of Health stated that it had funded a nonprioritized project government unit providing counterpart funding.</li> <li>The Veruela municipal local government operations officer mentioned that <i>barangay</i> representatives are encouraged to include prioritized projects in their annual investment plans for possible consideration during the subsequent</li> </ul>

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Table 4 *continued*

Village Residents	Barangay Officials	Municipal Officials	Sector Agency Representatives
			<ul style="list-style-type: none"> <li>fiscal year through the 20% Internal Revenue Allotment Development Fund.</li> <li>In contrast, the municipal local government operations officer in Tanauan stated that nonprioritized projects were considered during local poverty reduction action team deliberations, and that the majority of these nonprioritized projects were eventually included in the local poverty reduction action plan. The Tanauan municipal local government operations officer claimed that it is easier to include KALAHÍ-CIDSS nonprioritized projects, since these already have fairly comprehensive project documents.</li> </ul>

KALAHÍ-CIDSS = KALAHÍ-Comprehensive and Integrated Delivery of Social Services, KC-NCDDP = KALAHÍ-CIDSS–National Community-Driven Development Program.

- <sup>a</sup> The *barangay* local government unit at Canramos (Tanauan) claimed that new Commission on Audit regulations specifically prohibit providing snacks at assemblies. This needs verification due to possible adverse effects on resident participation at village assemblies.
- <sup>b</sup> *Barangay* local government officials at San Isidro agreed with their local chief executive that the Municipal Inter-*Barangay* Forum had become too political; and that project prioritization at the municipal level is not really based on criteria, but on the political party affiliation of the *barangay* chairperson. They related an instance of bribery in which one *barangay* chairman (who did not belong to the dominant political grouping) tried to give gifts to the members of the dominant political group so that his/her *barangay*'s proposed project would be prioritized. Thus, the Municipal Inter-*Barangay* Forum is almost like an election in which the *barangay* has to campaign to get its project approved.
- <sup>c</sup> Community volunteers from *Barangay* Tanauan, Capalonga (Camarines Sur) voiced the same sentiment, that is, that there should be no more prioritization at the municipal level (that is, the Municipal Inter-*Barangay* Forum) since all projects identified in *barangays* are priority needs.
- <sup>d</sup> The area coordinating team at Tanauan agreed with the mayor's assessment that voting should be used as a last resort. Instead, they reiterated that the Municipal Inter-*Barangay* Forum should be a negotiated process that involves more discussion. However, they pointed out that voting is used to reduce the length of the meeting, thereby lessening the amount of time required of participants. At the same time, the area coordinating team admitted that, apart from the "formal criteria," there are other criteria used in the Municipal Inter-*Barangay* Forum selection of projects that are perhaps given more weight such as no deed of donation for the tract of land concerned, project does not meet the relevant participation rate, previous project not yet completed, and influence of politics.

Source: Author compilation, 2015.

## B. Views on Community Procurement under the KC-NCDDP Community Empowerment Activity Cycle

Unsurprisingly, village residents and *barangay* officials are positive about community procurement. However, what is surprising is that local representatives of national government sector agencies are quite open to adopting community procurement, the only exception to this being municipal officials. This outcome may be due to a concern that the amount of time required for canvassing might delay project implementation, given that they would then be required to subsidize the project in the amount of the additional expenses due to lack of inclusion of certain expense items, or underestimation of their costs.

Table 5 summarizes the views of village residents, *barangay* officials, municipal officials, and local representatives of sector agencies at the three study sites regarding community procurement under the KC-NCDDP CEAC.

## C. Views on Use of the Community Force Account under the KC-NCDDP Community Empowerment Activity Cycle

Table 6 summarizes the advantages and disadvantages of using the community force account in implementing village projects. The perceptions of the primary beneficiaries—villagers and *barangay* officials—of the community force account are generally positive, particularly with regard to employment creation and the resulting sense of ownership that is built up among the villagers. Local representatives of the sector agencies are also open to using the community force account, as long as the necessary technical expertise is available to properly supervise the construction process and to ensure quality.

In contrast to the above, the views of municipal officials regarding use of the community force account in implementing village projects tended to be negative, perhaps because they are used to a different system of contracting labor for government projects. It is important to note that the objections to use of the community force account these officials raised included cost overruns, no significant improvement in the working conditions of hired labor, and the potential for favoritism in the recruitment of labor.

Table 6 summarizes the views of village residents, *barangay* officials, municipal officials, and local representatives of sector agencies regarding use of the community force account in implementing village projects at the three study sites.

**Table 5: Views on Community Procurement under the KC-NCDDP  
Community Empowerment Activity Cycle**

Village Residents	Barangay Officials	Municipal Officials	Sector Agencies
<ul style="list-style-type: none"> <li>Community volunteers gained confidence through their procurement-related experiences in canvassing and dealing with suppliers.</li> <li>The process was transparent, thus resulting in the procurement of goods that were both responsive, and that were procured at lowest cost; Volunteers received travel allowances.</li> </ul>	<ul style="list-style-type: none"> <li>Because they are provided with training and support, residents engage in procurement activities, and thus gain exposure, knowledge, and experience.</li> <li>The KC-NCDDP principles of participation, transparency, and accountability make procurement transparent and systematic.</li> <li>Construction materials are delivered before payment for them is made.</li> <li>Materials are of the desired quality. Suspicion of corruption is diminished, as no commissions are paid.</li> <li>Community procurement has increased trust in the <i>barangay</i> government, since negotiations with suppliers are done by community volunteers. <i>Barangay</i> officials are cleared of any “dirty” dealings.</li> <li>Procurement is a tedious process for many community volunteers, especially since they lack knowledge regarding procurement processes. However, this was mitigated by the training in procurement provided under the KC-NCDDP.</li> <li>Community volunteers encounter difficulties in canvassing of materials. Travel allowances should be computed on the basis of distance, as well as the actual transport costs of commuting between the village and town.<sup>a</sup></li> </ul>	<ul style="list-style-type: none"> <li>Community procurement is time-intensive, because <i>barangay</i> residents are still learning procurement procedures. This can cause delays in completing village projects.</li> <li>Hauling costs are not included in the budget. As a result, the cost estimates are too low, and few suppliers are motivated to bid on the contract.<sup>b</sup></li> </ul>	<ul style="list-style-type: none"> <li>The cost and quality standards relating to construction materials have a greater chance of being met.</li> <li>There is more transparency.</li> <li>Wider adoption of community procurement like in Bottom-Up Budgeting projects and regular local government unit transactions is possible, as long as these are accompanied by adequate safety nets (e.g., limited to projects with a total cost of less than P1 million).</li> </ul>

KC-NCDDP = KALAH-I-CIDSS–National Community-Driven Development Program.

<sup>a</sup> In San Isidro, Tanauan (Leyte), the *barangay* local government unit (LGU) decided to reduce the honorarium of all *barangay* LGU officials in order to generate funds for the food and transportation of volunteers.

<sup>b</sup> This statement of the municipal local government unit respondent was contested by the area coordinating team, resulting in an extended discussion that did not result in a clear resolution. Clearly, there is a difference of opinion here; what is important is that the two parties sit down and arrive at a consensus on how to resolve the issue. As per the understanding of the ADB team, it is not necessarily true that hauling costs are not eligible expenses; moreover, estimates are considered to be low because the costs are based on 2012 prices, while the project is implemented a year later when prices may already have increased. Therefore, it is the program of works and budget that need to be changed; however, this is sometimes difficult to accomplish under KC-NCDDP procedures.

Source: Author compilation, 2015.

**Table 6: Views on Use of the Community Force Account in Implementing Village-Level Projects Funded by the KC-NCDDP**

Village Residents	Barangay Officials	Municipal Officials	Representatives of Sector Agencies
<ul style="list-style-type: none"> <li>All workers (skilled and unskilled) are drawn from <i>barangay</i> residents.</li> <li>Use of the community force account gives opportunity not only for jobs, but for the practice of providing <i>bayanihan</i> labor.</li> <li>Recruiting villagers as construction workers builds a sense of ownership over projects.</li> <li>Women have the opportunity to work as construction workers.</li> </ul>	<ul style="list-style-type: none"> <li>Community members had the opportunity to work on the project and earn wages from construction labor. An employment rotation scheme enabled all interested residents to have the chance to be employed as construction workers.</li> <li>Because of their participation in construction, residents became more aware of the efforts of government to assist in their development. Since use of the community force account is controlled by the community, it was possible to introduce <i>bayanihan</i> labor, thus reducing costs, creating a sense of solidarity among villagers, and building community ownership of projects.</li> <li>In one village in Veruela, two of three projects were constructed through a hybrid community force account-<i>bayanihan</i> arrangement, while the third was contracted to a local resident. Contracting was chosen because of anticipated labor shortage, since construction coincided with the harvest season. Since the third project was completed faster than the other two, some residents concluded that labor contracting is more efficient. However, they admitted that the downside of contracting is that it reduces the participation of the residents.</li> </ul>	<ul style="list-style-type: none"> <li>In some cases, there had been cost overruns in the labor budget, that is, the funds for labor had already been exhausted, but the project had not been completed. One possible reason is the system of labor recruitment through <i>sitio</i> (neighborhood) leaders, which might have created an “entitlement expectation” among would-be laborers.</li> <li>Employment conditions under KALAHI-CIDSS-funded projects are not necessarily better: (i) salaries of workers of KALAHI-CIDSS projects are the same or lower (plus no food) than those of private contractors; (ii) there is the <i>bayanihan</i> requirement; (iii) construction is sometimes done during the peak season in agricultural production; and (iv) wages are not paid daily.</li> <li>Given the role of the <i>sitio</i> leader in recruitment, there is also the nagging suspicion of favoritism in labor selection.</li> </ul>	<ul style="list-style-type: none"> <li>The community force account can easily be adopted for unskilled labor, as long as there are appropriate safety nets, in particular, the recruitment of external technical expertise if the community has no internal capability for highly technical projects, e.g., water systems.</li> </ul>

KALAHI-CIDSS = KALAHI-Comprehensive and Integrated Delivery of Social Services, KC-NCDDP = KALAHI-CIDSS-National Community-Driven Development Program.

Source: Author compilation, 2015.

## D. Views on Community Management of Implementation of the KC-NCDDP Community Empowerment Activity Cycle

The villagers—who are at the forefront of village project implementation—expressed unqualified support for community management of subproject implementation. They consider the KC-NCDDP process to be better than the conventional government process of implementing projects in which only *barangay*-level government unit officials know of the project, and the rest of the *barangay* residents are kept uninformed.

According to residents, conventional implementation of projects by government—even projects funded under the BUB program, is characterized by (i) minimal consultation with residents; (ii) procurement being performed by the MLGU; (iii) implementation being performed by a contractor; and (iv) funds being held and managed by the MLGU. In contrast, implementation of KC-NCDDP subprojects offers the following positive results: (i) community residents are more involved and aware of projects; (ii) projects are completed in a shorter time frame, and with greater quality; (iii) the capacity of community residents is improved, as they are provided with opportunities for learning; (iv) community residents are empowered; and (v) there is community ownership of subprojects.

However, residents and their leaders alike feel powerless to adopt and implement this policy since national government agencies—that control project funds—insist on traditional agency-driven project implementation procedures. Residents do not feel that they can convince the MLGU and other government agencies to adopt the CEAC process. In the end, the residents are aware that adoption of KC-NCDDP procedures depends on the receptiveness of the funding agency concerned.

*Barangay* LGU unit respondents recognized the effectiveness of community project management, and in particular, its foundations, which are participation, transparency, and accountability. One official from Barangay La Fortuna, Veruela even recommended addition of *inclusiveness* to participation, transparency, and accountability. Similarly, *barangay* LGU respondents at the Sisimon, Veruela study site suggested that some of the KC-NCDDP processes—in particular, regular *barangay* assemblies, the PSA, recruitment of community volunteers as members of the procurement team and Bids and Awards Committee—be adopted under future *barangay* projects funded by other agencies or donors.

The above positive comments notwithstanding, some *barangay* LGU respondents were ambivalent about full adoption of community management of projects. A number of these respondents felt that while residents should be involved and informed, actual project implementation (i.e., construction) should still be managed by the *barangay* council concerned, due to the relatively limited implementation time frames for completing of KC-NCDDP-funded projects.

Table 7 summarizes the views of village residents, *barangay* officials, municipal officials, and local representatives of sector agencies at the three study sites regarding community-managed project implementation within the context of the KC-NCDDP CEAC.

**Table 7: Views on Community Management of Implementation under the KC-NCDDP Community Empowerment Activity Cycle**

Village Residents	Barangay Officials	Municipal Officials	Sector Agencies
<ul style="list-style-type: none"> <li>The whole community is consulted and makes decisions on how to implement the project.</li> <li>The Barangay Sub-Project Management Committee—which is the volunteers’ implementation group tasked with project implementation—is committed to project implementation.</li> <li>All projects have defined operation and maintenance programs.<sup>a</sup></li> <li>There is continuous monitoring of project operations.</li> <li>There is regular reporting of operational problems to the <i>barangay</i> council.</li> <li>Village residents do not feel that they can demand that other village projects—even those funded by other agencies—should be implemented using KC-NCDDP procedures.</li> </ul>	<ul style="list-style-type: none"> <li>Community residents make decisions within a atmosphere of transparency.</li> <li>The sense of ownership that results from community management of projects results in improved project quality and maintenance of project facilities.</li> <li>Community volunteers (in particular, the <i>barangay</i> subproject management committee) learned new skills.</li> <li>While <i>barangay</i> officials have little control over implementation—since community volunteers take the lead—they are responsible to provide assistance when problems arise (e.g., budget concerns, conflicts during construction, etc.).</li> <li><i>Barangay</i> officials are ultimately held accountable on the operations and sustainability of the project.</li> </ul>	<ul style="list-style-type: none"> <li>Bad weather complicates hauling of construction materials to project sites.</li> <li>Other implementation difficulties include: (i) numerous documentation requirements; (ii) securing no-objection letters and environmental compliance certificates from the Department of Environment and Natural Resources when constructing farm-to-market roads in <i>barangays</i> located in timber-rich areas.<sup>b</sup></li> <li>KC-NCDDP policies that set allocations for material costs and transport are inflexible as compared with Bottom-Up Budgeting procedures under which the municipal local government unit implements the project.</li> </ul>	<ul style="list-style-type: none"> <li>Community management of project implementation is all right as long as there is a technical person to oversee overall implementation.</li> <li>The Department of Agriculture has an approach to community management comparable to that of the KC-NCDDP. Projects funded by the Department of Agriculture usually involve: (i) direct contracting with farmers’ associations (e.g., the Department of Agriculture releases funds to the local government unit concerned, which then releases the funds to the farmers’ association); (ii) tranced disbursement of funds to the farmers’ association’s account; (iii) either the Department of Agriculture or the farmers’ association concerned undertakes procurement.</li> <li>The local municipal agriculture office usually gets involved in the project after the project has been approved for Bottom-Up Budgeting funding.</li> <li>The Department of Health has two modalities for implementing projects funded under the Bottom-Up Budgeting program. For projects implemented by the municipal local government unit, (i) a memorandum of agreement is executed between the municipal local government unit and the Department of Health; (ii) the municipal</li> </ul>

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Table 7 *continued*

Village Residents	Barangay Officials	Municipal Officials	Sector Agencies
			<p>local government unit assumes responsibility for construction of project facilities; and (iii) the completed facility is turned over to the <i>barangay</i>, which in turn assumes ownership of the project facilities.<sup>d</sup></p> <ul style="list-style-type: none"> <li>• Under the other modality under which the Department of Health implements projects, (i) the Department of Health handles bidding for construction of project-funded facilities; (ii) the facility concerned is constructed by the contractor who wins the bid; (iii) monitoring is done by the <i>barangay</i> council; (iv) release of funds is tranced; and (v) the contractor concerned is responsible for advancing the necessary funds.</li> </ul>

KC-NCDDP = KALAHÍ-CIDSS–National Community-Driven Development Program.

<sup>a</sup> As an example, the municipal agriculture office of Capalonga described implementation of a Mud Crab Fattening Project by the Department of Agriculture, the proponents of which were village-level peoples' organizations (POs). The project materials are purchased by the municipal local government unit and downloaded to peoples' organizations that are responsible for construction management. In the end, it is the peoples' organizations that assume ownership of the project.

<sup>b</sup> For example, a water system project in Veruela had the following operations and cost-recovery scheme. The water supply project involved 18 tap stands and faucets. Each of these was the responsibility of one water tender who earned a 10% commission on water fees. The water fee was P1.00 per 2-liter container.

<sup>c</sup> A KC-NCDDP reviewer commented that, in general, the National Project Management Office manages to issue the no-objection letter within the standard time period. Delays are usually caused by the inability of the regional office and/or community to comply with certain requirements.

<sup>d</sup> According to its regional representative, the Department of the Interior and Local Government follows the same system for projects implemented by the local government unit.

Source: Author compilation, 2015.

## E. Views on Community Management of Funds under the KC-NCDDP Community Empowerment Activity Cycle

All of stakeholders including the MLGU not only view community management of funds in a positive light, but also as perhaps being better than conventional government processes for handling project funds.

Village residents and officials alike appreciate the transparency produced by community management of funds. Further, because they manage the funds themselves, village residents and officials alike are motivated to provide additional counterpart funds for community projects.

The representatives of sector agencies likewise favor community management of funds since it reduces the number of intermediaries who charge administrative fees for their services, thus allowing more funds to be made available to the project concerned.

Similarly, MLGU officials likewise acknowledge the positive impacts of community management of funds, their only objection being the additional documentation required, which strains the resources of the MLGU concerned because of the additional demand for assistance by the community volunteers.

Table 8 summarizes the views of village residents, *barangay* officials, municipal officials, and representatives of sector agencies at the three study sites regarding community

**Table 8: Views on Community Management of Funds under the KC-NCDDP Community Empowerment Activity Cycle**

Village Residents	Barangay Officials	Municipal Officials	Sector Agencies
<ul style="list-style-type: none"> <li>All residents can see how project funds are being spent.</li> <li>Funds are managed by community volunteers instead of just one person.</li> <li>In situations in which KC-NCDDP funding is delayed, the <i>barangay</i> treasurer advanced the funds necessary for construction, these being reimbursed upon receipt of the subsequent tranche of funding.</li> </ul>	<ul style="list-style-type: none"> <li>Because the residents themselves manage funds, <i>barangay</i> officials do not interfere in fund management. This increases the level of trust in the <i>barangay</i> local government unit.</li> <li>When project funds are insufficient, volunteers request the <i>barangay</i> local government unit to provide the requisite funds.</li> </ul>	<ul style="list-style-type: none"> <li>Community management of funds has positive results.</li> <li>One minor concern is the excessive amount of project-related documentation involved in community management of funds. Since residents have no computers or typewriters, the result is dependence on the resources of the municipal local government unit.</li> <li>Travel allowances for community volunteers tend to be inadequate.</li> </ul>	<ul style="list-style-type: none"> <li>Respondents appreciated funds being released directly from DSWD to the community's bank account. This contrasts with conventional government procedures in which funds pass through many levels, which results in numerous administrative fees being charged.</li> <li>Wider adoption of community management of funds should be accompanied by appropriate safety nets (e.g., external monitoring by the agency concerned).</li> </ul>

DSWD = Department of Social Welfare and Development, KC-NCDDP = KALAHÍ-National Community Driven Development Program.

Source: Author compilation, 2015.



management of funds within the context of the KC-NCDDP Community Empowerment Activity Cycle.

## F. Summing Up

The municipal local government operations officer at Veruela and his regional counterpart stated that BUB program agencies have little say in whether KC-NCDDP processes are adopted, since their role is simply to transfer funds to the MLGU, which is in turn responsible for project implementation. The municipal agriculture officer at Capalonga pointed out that sector agencies have procedures and accounting systems for handling project funds that differ from those used under KC-NCDDP-funded projects. This notwithstanding, the Capalonga municipal agriculture officer felt that step-by-step guidelines for adopting KC-NCDDP would facilitate their wider adoption.

Overall, all of the MLGUs acknowledge the benefits of following KC-NCDDP project implementation procedures. In fact, one representative of the MLGUs at Veruela was prepared to advocate support for adoption of certain KC-NCDDP procedures to the local community, as well as to other agencies.

A number of local representatives of the national government agency concerned said they would have no problem with KC-NCDDP procedures, since the ultimate responsibility for project implementation rests with the MLGU concerned. If it is in fact true that whether or not KC-NCDDP procedures are adopted is ultimately up to the MLGU, then a key issue is motivating MLGUs to increase the level of involvement of local communities in project management. A related issue is the degree of flexibility available in the *partial* adoption of KC-NCDDP procedures by projects managed by the MLGU.

That said, officials of MLGUs were less than optimistic toward adoption of KC-NCDDP procedures, possibly because they feel ultimately responsible for completion of *barangay*-level projects, as well as the successful operation of project facilities once completed. Despite such misgivings, MLGU officials may support adoption of KC-NCDDP project implementation procedures if encouraged to do so by the national government. Such encouragement is important, since from the perspective of national government sector agencies; the decision as to whether to adopt KC-NCDDP project implementation procedures ultimately rests with the LGU concerned.

## G. Sector Agency Involvement in the Bottom-Up Budgeting Program

### 1. Preparation of the Local Poverty Reduction Action Plan

The degree of involvement of sector agencies in preparing the local poverty reduction action plans varies significantly. For example, the regional office of the Department of Health is not involved in preparation of the plan itself. Instead, its involvement begins when it receives the final list of projects assigned to it. Department of Health projects eligible for BUB program funding include drugs and medicines, construction of new health centers, or upgrading of existing health centers, deployment of health care staff, training, and advocacy.

As explained by the regional representative of the Department of Education, the department's BUB program focuses on repair of classrooms, which is undertaken directly by the Department of Public Works and Highways, or the Department of Education itself. Thus, the Department of Education does not have a dedicated Bottom-Up Budgeting program allocation. Instead, any funds used for the repair of schools are simply attributed as to the Department of Education's BUB contribution.<sup>63</sup>

In contrast to the Department of Health and the Department of Education, the regional office of the Department of Agriculture and its counterpart agency at the municipal level are consulted during municipal-level preparation of the Local Poverty Reduction Action Plan. The municipal agriculture officer is a member of the local poverty reduction action team who participates actively in all of the team's meetings. The municipal agriculture officer is also actively involved in preparation and finalization of the Local Poverty Reduction Action Plan. Upon receipt of the initial listing of Local Poverty Reduction Action Plan projects, the regional office of the Department of Agriculture informs the LGU concerned of the deadline for any changes such as splitting or merging of projects. Once the central office of the Department of Agriculture issues the final list of projects to be funded under the BUB program, its regional office begins project formulation by requesting submission of all necessary documentation by the LGU concerned. The devolved office of the Department of Agriculture, which is based at the MLGU, provides limited assistance in preparing the project documents required.

As in the case of the Department of Agriculture, regional and municipal staff of the Department of Interior and Local Government are also actively involved in preparing the Local Poverty Reduction Action Plan. The municipal local government operations officer

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<sup>63</sup> While the construction of new buildings is included in the regular Department of Education budget, 90% of the funds go to the Department of Public Works and Highways directly, and only 10% to the Department of Education (to address emergency needs). On the matter of local monitoring of school building construction, the Department of Education regional respondent explained that there is a joint memo between the Department of Education and the Department of Public Works and Highways, and that the district engineer and school head should both have copies of all relevant plans and documents so that the school head can monitor construction. This agreement is sometimes not in place. While the Department of Education physical facilities division (at the regional level) usually has copies of documents, these are usually not accessible, as the division is located far away from the construction site.

at the municipality concerned is likewise involved in preparing the Local Poverty Reduction Action Plan, since she/he is a member of the local poverty reduction action team. For its part, the regional office of the Department of Interior and Local Government reviews the project documentation submitted by the municipality concerned, and likewise transfers the necessary funds to it.

Since it has no municipal-based personnel, the Department of Labor and Employment is not a member of the local poverty reduction action team, although its regional focal person is sometimes invited to meetings of the local poverty reduction action team as an observer. However, she/he does not help identify projects for funding under the BUB program. Thus, one difficulty encountered by the Department of Labor and Employment is that some projects identified in the Local Poverty Reduction Action Plan are not consistent with the department's mandate or guidelines. For example, while the Department of Labor and Employment is permitted to fund equipment and training, it is not permitted to fund construction of new buildings or other infrastructure.

## 2. Assignment of Projects to Bottom-Up Budgeting Program Agencies

In general, the assignment of projects to the various sector agencies follows BUB guidelines. In fact, the BUB program has two different project implementation modalities: one for projects not funded by the KC-NCDDP (the "regular" process),<sup>64</sup> the other for KC-NCDDP-funded projects (the "enhanced" process).

The national government has recently modified the "enhanced" BUB process in two ways: (i) it has integrated participatory *barangay* development planning into the BUB process, and (ii) it has expanded the membership of the Local Development Council.

Following is the detailed description of the above two modifications and their impact on the entire BUB process:

- (i) The DSWD's KC-NCDDP program facilitates election of a volunteer in each *barangay* (during a *barangay* assembly) to serve as Barangay Development Council cochair, and as a member of the enhanced Municipal/Local Development Council. The two *barangay* development council cochairs are invited by the Department

<sup>64</sup> The steps involved the "regular" BUB process are as follows: (i) the civil society organization assembly is held, in which participants (basically all interested civil society organization operating in the municipality concerned) undertake an initial poverty analysis and identify a preliminary set of antipoverty projects; (ii) the local poverty reduction action team reviews the list of recommended projects and prepares the Local Poverty Reduction Action Plan; (iii) the Local Poverty Reduction Action Plan is submitted to the regional poverty reduction action team for review; (iv) the regional poverty reduction action team's comments are considered by the local poverty reduction action team in the revision of the Local Poverty Reduction Action Plan; (v) the finalized Local Poverty Reduction Action Plan is approved by the Sangguniang Bayan and submitted to the Department of the Interior and Local Government; (vi) the Department of the Interior and Local Government filters the proposed projects in the Local Poverty Reduction Action Plan to determine which projects fit the menu of the BUB sector agencies; (vii) the sector agencies are assigned the projects that fit their menu; (viii) the agency concerned communicates with the LGU for completion of the required project documents; (ix) the agency and the MLGU sign a memorandum of agreement; and (x) the first tranche of project funds is released, and implementation begins.

- of the Interior and Local Government and the DSWD to attend the civil society organization assembly.
- (ii) The DSWD's KC-NCDDP program facilitates conduct of parallel participatory *barangay* development planning in all *barangays* in municipalities in which the KC-NCDDP is present.
  - (iii) The local chief executive convenes the enhanced Municipal/Local Development Council for the purpose of approving the Local Poverty Reduction Action Plan, the Comprehensive Development Plan, the Local Development Investment Plan, the Executive-Legislative Agenda, the Annual Investment Plan, and for identifying the priority poverty reduction projects to be funded by the BUB program, the KC-NCDDP, and the LGU.
  - (iv) The enhanced Municipal/Local Development Council includes the vice-chairpersons of all *barangay* development committees, who are selected from KC-NCDDP community representatives in the Barangay Development Council.
  - (v) To make planning more manageable, the enhanced Municipal/Local Development Council constitutes a local poverty reduction action team that serves as its technical working group, and formulates plans and presents these for approval by the Enhanced Municipal/Local Development Council. The local poverty reduction action team that drafts the plans, including the identified priority poverty reduction projects, comprises 20 members as follows: 10 government representatives (may include observers in the Enhanced Municipal/Local Development Council), 5 from the *barangay* development council vice-chairpersons (selected by themselves), and 5 civil society organization representatives elected during the civil society organization assembly.

### 3. Information Sharing and Joint Monitoring by Bottom-Up Budgeting Agencies

At the municipal level, agencies share information through the Municipal Convergence Action Committee/Local Poverty Reduction Action Team forum, which meets regularly.<sup>65</sup>

Since the Department of Labor and Employment has no municipal presence, it partners with the Pantawid Pamilya and sustainable livelihood programs. However, the Department of Labor and Employment coordinates extensively with the Technical Education and Skills Development Authority and the Department of Trade and Industry in the training of beneficiaries, who in turn have been identified through the National Household Targeting System for Poverty Reduction database. The Department of Labor and Employment also facilitates employment of Pantawid Pamilya beneficiaries once they have completed their training.

The local-level respondents of sector agencies mentioned that on some occasions, two or more agencies have jointly monitored projects. In Veruela, for example, both the Department of Agriculture and the Department of the Interior and Local Government have

<sup>65</sup> There is a great deal of membership overlap between the Municipal Inter-Agency Committee and the local poverty reduction action team. With the recent inclusion of civil society organization representatives in the Municipal Inter-Agency Committee, there is practically no difference in the membership composition of the two bodies.

jointly monitored projects, usually upon completion of the project concerned and turnover of project-funded facilities to the agency in question.

The Municipal Agriculture Office in Veruela has likewise jointly monitored projects with a number of agencies, both within and outside the BUB program. For example, the Municipal Agriculture Office and the Sustainable Livelihood Program under the DSWD have jointly monitored a swine production project in various *barangays*. Similarly, the Department of Agriculture and the Department of Agrarian Reform jointly monitor projects on a regular basis under the Mindanao Settlement Sustainable Agricultural Development Program. Similarly, the Department of Agriculture and the Department of Labor and Employment jointly monitor an organic rice production project, and the Department of Agriculture and Department of Trade and Industry jointly monitor training. Finally, the Department of Agriculture and the Department of Agrarian Reform coordinate so as to avoid duplication of projects.

# 7. Opportunities for Harmonizing KC-NCDDP and Bottom-Up Budgeting Procedures

This chapter presents a number of opportunities for further harmonizing the processes of the KC-NCDDP and BUB program.

It is hoped that the KC-NCDDP—as well as developing member country governments interested in replicating the Philippine experience with convergence—will subject the opportunities presented below to further analysis so that their future adoption can enhance the effectiveness of the convergence effort.

## A. The Participatory Situation Analysis as a Common Platform for Project Selection and Planning

There are many opportunities for harmonizing the decision-making processes of the KC-NCDDP and BUB program in the selection of projects. Among these, use of the PSA results as the basis for selecting community projects to be included in the Local Poverty Reduction Action Plan of the BUB program is the most important.<sup>66</sup>

The venue for introducing the PSA as a common planning platform is the unified Municipal Inter-Agency Committee, the membership of which is almost the same as that of the local poverty reduction action team. In effect, the unified Municipal Inter-Agency Committee/local poverty reduction action team serves as the coordinating mechanism for the review of projects of the KC-NCDDP and BUB programs in the municipality concerned. This unified team could explore the current data areas of the KC-NCDDP PSA, and if necessary, make the (minor) modifications needed to address the data requirements of the participating sector agencies.

Training in the revised PSA and participatory research methods would be the logical next step for members of the unified team, with participation of staff from both the area coordinating team and the municipal coordinating team.

While the staff of other sector agencies will be invited to participate in the “integrated” PSA exercise in the *barangays* concerned, a net savings in both funds and staff time across all

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<sup>66</sup> The conduct of PSA exercises in common KC-NCDDP and BUB areas has already been articulated in the latest Philippine national government issuances on the BUB program. The remaining challenge is how the findings of the PSA can be inputted into the deliberations of the BUB program at the municipal level.

agencies in the unified Municipal Inter-Agency Committee/ local poverty reduction action team may still be achieved. Over and above any savings, however, the most important benefit would be the high quality of data regarding the prevailing poverty situation in the target *barangays* that would be available to all participating agencies.

Consolidation of the above data, and more importantly, its use in setting the priorities of the municipality in question as a whole would be the next step. This could be accomplished at the KC-NCDDP criteria-setting workshop. In the majority of cases, the priorities of the municipality concerned will remain sufficiently broad to justify the “open menu” of the KC-NCDDP.

In a few cases, however, there may be one (or two) key problem(s) shared by most (if not all) of the *barangays* within the municipality concerned. Faced with these findings, it is conceivable for the criteria-setting workshop to narrow the menu of allowable projects to address the one major problem of the municipality.<sup>67</sup>

## B. Coordinated Selection of Community Projects

Generally, proposed projects for the BUB program come from three sources. The KC-NCDDP–Municipal Inter-Barangay Forum process is one source—specifically, the projects that are not prioritized for funding. A second source would be proposals from the civil society organizations and community groups operating within the municipality concerned and its *barangays*. A third source of projects is the MLGU itself; that is, the projects identified in the Executive–Legislative Agenda and Municipal Development Plan.

In Veruela, for example, a major project of the BUB program is rubber tree production, which is supportive of the LGU’s agenda pertaining to the agro-forestry industry. It is the vision of the municipality that Veruela should become one of the top producers of rubber in the Caraga region.

The same is true of Capalonga, the MLGU–Executive–Legislative Agenda vision of which is that “By 2025, Capalonga will be a pilgrimage vision (Black Nazarene) and ecotourism destination in Camarines Norte.” Toward the realization of this vision, a number of tourism-oriented projects—a bay-walk site and seawall development—have been included in the BUB portfolio of the municipality. In fact, of the P15 million BUB program budget of Capalonga, some P8.9 million (60%) has been allocated to these tourism-oriented projects that are to be located in the town proper.

<sup>67</sup> An emerging example is the WASH (Water, Sanitation, and Health) theme. As the result of its entry into the WASH sector, KC-NCDDP has identified certain municipalities where WASH issues affect most (if not all) residents in most (if not all) *barangays*. Given this finding, it would be logical for the criteria-setting workshop to focus KC-NCDDP (and other sector agencies) resources to address the WASH issues. The policy could be adopted that all proposed projects should either (i) address the WASH issue directly; or (ii) consider the WASH issue in the project design (e.g., a “no harm, no foul” minimum requirement). If desired, the needs of “outlier” *barangays*—that is *barangays* where the WASH issue may have little or no impact—a certain portion of the KC-NCDDP municipal grant could be set aside to address their non-WASH-related projects. Obviously, the above proposal has many variations that could be adopted to address the different contexts of KC-NCDDP–assisted municipalities.

Effective harmonization of project selection mechanisms will require ongoing dialogue and collaboration between the KC-NCDDP area coordination team and the local municipal local government operations Officer who is responsible for the BUB process in the municipality.

In the municipality of Capalonga, for example, the community projects that were not prioritized during the KC-NCDDP project selection exercise were included in the Local Poverty Reduction Action Plan. The area coordination team and municipal local government operations officer agreed that KC-NCDDP project selection would be done first, to be followed by the meeting of the local poverty reduction action team as it prepares the Local Poverty Reduction Action Plan. According to the Capalonga area coordination team, it would be ideal if the Municipal Inter-Barangay Forum, were to be held before the Local Poverty Reduction Action Plan project selection meeting. If this is not possible, one option would be to reconvene the Local Poverty Reduction Action Plan after the Municipal Inter-Barangay Forum is convened, for the purpose of considering nonprioritized projects.

Based on the accounts of various respondents in the study areas, a number of other improvements could be introduced to improve the manner of deliberations of the civil society organization assembly, which is the forum for initial selection of community projects for the BUB program. Foremost among these is presentation of the *barangay* PSA results, as well as the outcome of the criteria-setting workshop discussions for consideration of the civil society organization assembly during its deliberations.<sup>68</sup>

The municipal local government operations officer of Vuela also mentioned a number of issues regarding the projects that were proposed for BUB funding at the civil society organization assembly. These are as follows: (i) there is often insufficient information to make an informed judgment, as only the title of the project and its total budget are presented for consideration; (ii) some projects are subsequently found not to be feasible (e.g., the sources for water projects, in particular, need to be validated); (iii) since the LGU shoulders any changes in the costs of community projects, it is important to have relatively realistic estimates from the outset to avoid overburdening the LGU budget. As a study respondent remarked to the ADB team, “in the current LRPAP [sic] process, the cost of the project is identified first before the project proposal; clearly, it should be the other way around.”

Because of its extensive experience with the Municipal Inter-Barangay Forum in particular, and community project development in general, the KC-NCDDP has existing procedures for addressing the above issues. For example, proponents of projects proposed for BUB funding may be asked to prepare a one- or two-page project brief that outlines the basic features of the project and its budget. The importance of the submission of a simple project proposal describing the essential features of the proposed project was highlighted by a Department of Agriculture respondent who told the ADB team that their office had received a BUB proposal in which the initial cost estimate was more than twice the real cost estimated by Department of Agriculture staff.

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<sup>68</sup> As pointed out by a KC-NCDDP reviewer of this report, the BUB program lacks good social preparation. Projects proposed at the civil society organization assembly have not passed through the *barangay* assembly processes, and therefore enjoy little ownership among *barangay* residents and officials.



Finally, in the case of water (and other complex) projects, the equivalent of a Municipal Inter-Agency Committee verification process may be instituted to determine feasibility before the proposal is presented to the civil society organization assembly.

Deliberations by the local poverty reduction action team, while taking into consideration the needs of the *barangays*, also reflect the relative political power of the *barangays* and other stakeholders. The local poverty reduction action team process sounds very similar to the Municipal Inter-Barangay Forum, except that it is not a peer review. However, the KALAH-CIDSS Municipal Inter-Barangay Forum process has evolved many variants, one of them being the “12-Apostles” mechanism adopted in Mulanay, Quezon, which has some resemblance to the local poverty reduction action team process.

From the above, it is apparent that a number of other innovations can be introduced to further synchronize the project selection processes of the KC-NCDDP and BUB programs. This should be the subject of further discussions between the area coordinating teams and the Municipal Local Government Operations Officers at the municipal level.

Finally, while coordination with other programs in the selection of projects is a desirable objective, it should be noted that participation in the BUB process may bring reputational risk to the KC-NCDDP. For instance, if an area coordinating team suggests that the community submit its priority project to a BUB agency (instead of the KC-NCDDP) to

#### Box 4: The “12-Apostles” Alternative Mechanism for Selecting Community Projects

Instead of representatives from the villages ranking proposed subprojects, that task is now assigned to a project review committee, the members of which are selected by the village representatives at the criteria-setting workshop. Project review committee members include department heads of the municipal local government unit, representatives of academe, nongovernment organizations, and sector groups. To facilitate the ranking process, the project review committee reviews proposed projects before the Municipal Development Forum is convened.<sup>a</sup>

At the Municipal Development Forum, the project review committee raises questions as each village team presents its proposed subprojects. After the question-and-answer period, project review committee members complete an individual tally sheet that indicates their ranking of the subproject proposals. The individual tally sheets are given to a technical working group for consolidation. Once the individual rankings have been consolidated and all presentations have been completed, the composite rankings of all the subproject proposals are published.

The rankings are presented to the Municipal Development Council for a final decision. The Municipal Development Council also serves as the forum in which individual villages can question the subproject rankings. If a vote is taken on an issue, each village has only one vote.”<sup>b</sup>

<sup>a</sup> The Municipal Development Forum is the local designation for the Municipal Inter-Barangay Forum in Mulanay.

<sup>b</sup> Asian Development Bank. 2012. *The KALAH-CIDSS Project in the Philippines: Sharing Knowledge on Community-Driven Development*. Manila.

Source: Author compilation, 2015.

avoid duplication of resources, and funding for the project is either delayed (or worse, disapproved), the KC-NCDDP may be blamed by the community.

## C. Use of KC-NCDDP Implementation Procedures in Bottom-Up Budgeting Projects

There is potential for introducing CDD elements into the BUB program-funded projects of national government sector agencies, particularly if the MLGU takes a lead role. After all, there are existing CDD-like elements in the project implementation procedures of national government agencies. Many sector agencies already work with community groups (e.g., farmers, parents, women, and rural workers). In varying degrees, sector agencies also provide space for community groups to participate in project implementation (e.g., involvement in procurement processes, limited control over funds, and management of construction).

As mentioned, a number of national government agency local representatives have indicated that their agency may be open to community project management, since final accountability rests with the MLGU concerned. Assuming this to be the case, what measures can be taken to motivate MLGUs to involve communities in project management?

In other words, what is the degree of flexibility available for the (partial) adoption of KC-NCDDP procedures that relate to community procurement, use of a community force account, community management of project implementation, and community management of funds? The answer to the above question is highly contextual and depends on a variety of factors, in particular, the level of support of the local chief executive in adopting KC-NCDDP procedures, the negotiating and mobilization skills of the area coordinating team, and the relative openness of the local representatives of the sector agencies.

The KC-NCDDP National Office can support this effort in two ways: (i) by sending a clear signal to area coordinating teams (and also local chief executives) that this is the preferred policy direction and practice; (ii) documenting “small victories”<sup>69</sup> and disseminating these across the KC-NCDDP network, including key decision makers in the national offices of BUB sector agencies.

The regional program management offices (and subregional program management offices) also have the important role of engaging their counterparts in the regional and provincial offices of sector agencies so that the latter can become more aware (and eventually convinced) of the effectiveness of the KC-NCDDP approach to implementing community projects.

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<sup>69</sup> An example of a “small victory” is the inclusion of *barangay* representatives in the municipal-level bids and awards committee organized by the MLGU that undertakes procurement of BUB-funded community projects. In informal conversations with KC-NCDDP regional staff, the ADB team learned that this is already occurring in a number of KC-NCDDP areas.

At the municipal level, future monitoring by Municipal Inter-Agency Committee members of KC-NCDDP-supported projects should not only focus on the physical progress of these projects, but also CEAC community mobilization processes such as participation of residents, the work of community volunteers, grievance redress, and project management (including procurement and construction). This would further deepen the understanding by Municipal Inter-Agency Committee members of KC-NCDDP CEAC processes.

## D. Information Sharing by Bottom-Up Budgeting Program Agencies

At the municipal level, the need for information sharing among agencies is already being met to some extent through regular meetings of the unified Municipal Inter-Agency Committee/local poverty reduction action team. While the ADB team found that the two bodies remain organizationally distinct in the study municipalities, they are the same—for all intents and purposes—in membership and organizational focus. That is, in the identification, selection, and implementation monitoring of community projects. Not much else is required, except to address certain bureaucratic overlaps (e.g., greater recognition of the overlapping functions of the two committees, and holding of one meeting instead of two). The KC-NCDDP can serve a supportive role in the unified Municipal Inter-Agency Committee/local poverty reduction action team by providing facilitation support, and if necessary, by augmenting logistical resources for meetings and transportation to ensure that the functionality of the unified Municipal Inter-Agency Committee/local poverty reduction action team is sustained.

At the *barangay* level, the expanded Barangay Development Council—which includes civil society organizations, agencies, and *sitio* (i.e., village hamlet) leaders—is the appropriate forum for information sharing. After all, sector agencies are required to coordinate and consult with the *barangay* LGU in implementing their projects.

At Barangay Sisimon, Veruela, for example, the *barangay* LGU monitors ongoing projects. There is weekly updating on projects during *barangay* council meetings. Issues and concerns that cannot be resolved within the *barangay* are raised with the mayor, who in turn discusses the issues with the agency concerned. There are also monthly meetings of the Barangay Development Council at Barangay Sisimon in which its 30-odd participants—*barangay* council members, *sitio* leaders, *barangay* police, Pantawid Pamilya parent leaders, indigenous peoples, Department of Education representatives, day care workers, senior citizens, and other sector representatives—meet to hear reports on problems and deliberate on possible solutions.

In this regard, the organizing task is to ensure that *barangay* LGU officials—instead of dealing with sector agencies exclusively—continue to include the expanded Barangay Development Council in their discussions with these external resource providers.<sup>70</sup> The

<sup>70</sup> In Barangay Alayao (Capalonga), while it is true that sector agencies initiate coordination with the *barangay* council at entry, it is rare that the implementing agency makes subsequent reports to the council on the progress of its work. Neither does the agency provide the council with the program of work, so that the latter can monitor the progress of construction. One suggestion that came up during the focus group discussion with the ADB team is that the council

Barangay Development Council has been the focus of KC-NCDDP facilitation efforts in the past. This needs to continue if the Barangay Development Council is expected to be the forum for the direction-setting, discussion, monitoring, and troubleshooting of development projects within the *barangay*.

It is probably at the regional level where the largest amount of effort may be required from the KC-NCDDP in sharing information with its counterparts at the regional offices of national government sector agencies. Unlike their municipal counterparts, regional representatives of national government sector agencies have limited awareness and understanding of KC-NCDDP procedures and processes. Taking into account the differences across regions, KC-NCDDP regional staff can intensify their social marketing efforts toward national government agency regional staff to increase the latter's appreciation of the KC-NCDDP, and in particular, the intricacies of the CEAC.

Reaching out to agency regional offices can start off with sharing of information. For example, the Department of Health regional office in Caraga has expressed interest in obtaining details of the health centers that have been funded by the KALAHI-CIDSS project in the region.

The same is true of the Caraga Department of Education regional office, which is seeking information regarding the new classrooms funded by the KALAHI-CIDSS project. The Department of Education regional director proposed that in the future, any new school building should be formally turned over to both the school head and the *barangay* chair, so as to facilitate inventory taking and proper booking.<sup>71</sup>

Its immediate importance notwithstanding, the ultimate purpose of information sharing is to bring about an atmosphere of openness that fosters cooperation and coordination (i.e., convergence) among the sector agencies, including the KC-NCDDP. According to the Caraga regional project management team, the key institution that could foster convergence is the Regional Advisory Committee,<sup>72</sup> which consists of a number of national government sector agencies and civil society organizations that are engaged with the DSWD. While the Regional Advisory Committee is focused on the Pantawid Pamilya program, it incorporates other concerns. There is also significant overlap in institutional membership between the Regional Advisory Committee and the BUB regional poverty reduction action team. Another possible forum for convergence is the regional Social Development Council, for which DSWD serves as vice-chair.

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should enact a *barangay* ordinance that requires any government agency with a project to provide the *barangay* with the program of work, and to make regular reports to the *barangay* on the progress of implementation.

<sup>71</sup> The Department of Education regional director also proposed that, if there is space, KC-NCDDP-funded day care centers should be constructed within school grounds as this would expose day care children to the school environment. In this way, the day care center could be used as a classroom for kindergarten classes during off-hours.

<sup>72</sup> As per the guidelines for Pantawid Pamilya-focused convergence, interagency advisory committees are established at the regional, provincial and city/municipal levels to facilitate and strengthen the responsibilities and commitments of other agencies toward a multisector response to address the needs of Pantawid Pamilya households and families. In San Remigio (Antique), the ADB team was informed that the Pantawid Pamilya Regional Advisory Committee has recently been converted into the Regional Convergence Committee, whose members include the three DSWD programs and a number of sector agencies, including Department of Education, Technical Education and Skills Development Authority, Department of Health, Department of Interior and Local Government, Department of Agrarian Reform, and Department of Agriculture. The Regional Convergence Committee meets every 2 months.

The Caraga regional project management team admitted that other sector agencies remain skeptical, and need further encouragement if they are to appreciate and adopt KC-NCDDP principles. Clearly, there is a need to focus KC-NCDDP social marketing efforts on these agencies. Toward this end, the regional project management team is using two municipalities—Jabonga, Agusan Del Sur, and Socorro, Surigao Del Norte—as showcase sites where local representatives of sector agencies can see firsthand the effectiveness of the KC-NCDDP approach, as well as convergence itself. Jabonga is a particularly effective demonstration site because it uses CDD strategies in the disposition of its internal revenue allotment, as well as the funds provided by the governor. In fact, it was the mayor of Jabonga who convinced the mayor of the neighboring Cabadbaran municipality to participate in the KC-NCDDP.

## E. Building Municipal Local Government Unit Capacity in Effective Management of Projects Funded under the Bottom-Up Budgeting Program

The KC-NCDDP has an inherent interest in successful implementation of the MLGU's BUB program as a whole, if only for the benefit that projects funded under the BUB program will bring to KC-NCDDP client communities. Hence, it might need to invest in building the institutional capacity of the project management unit within the MLGU that coordinates and provides support to beneficiary communities during the various stages of project development and implementation.

In many instances, the MLGU-Executive-Legislative Agenda projects funded by the BUB program are “big-ticket” items requiring fairly large amounts of funds (Table 9).

**Table 9: Projects Funded under the Bottom-Up Budgeting Program Slated for Implementation over 2013–2015 in Capalonga, Camarines Norte**  
(as of January 2015)

Year	Number of Projects	Participatory Situation Analysis-Based	Total Amount Funded under the Bottom-Up Budgeting Program (P million)
2013	14	3	7.95
2014	10	–	12.41
2015	12	9	12.50

– = not available.

Notes:

1. In 2013, one project, Construction of Resettlement Areas (Poblacion)/the Department of the Interior and Local Government, accounted for 64% of the Bottom-Up Budgeting budget. Implementation has not yet begun.
2. In 2014, one project, Site Development (various *barangays*)/Department of Transportation, accounted for 49% of the Bottom-Up Budgeting budget. Implementation is ongoing.

Source: Author compilation based on update from DSWD, 2015.

“Big-ticket” projects generally require longer implementation time frames, often get delayed, and get completed beyond their original ending dates. One implication is that future BUB funds for new projects (e.g., in the succeeding year) are not to be disbursed as per BUB policy.<sup>73</sup> This may create a “snowball effect” in the future, resulting in further delays in BUB implementation, including projects in smaller village.

In large part, the success of the KALAHI-CIDSS project to date has been due to the field presence of a project management unit (i.e., the area coordinating team), that coordinates and provides support to beneficiary communities during the various stages of project development and implementation.

At the moment, there is no similar structure within the municipal local government for centralized management of projects funded under the BUB program. The role of the local poverty reduction action team ends with project selection and preparation of the Local Poverty Reduction Action Plan. In the municipalities of Capalonga and Tanauan, the municipal planning office does some limited monitoring of implementation of projects funded under the BUB program. That said, it does not directly manage these projects. The local branches of the national government agency concerned (including devolved offices that have been absorbed by the MLGU) do not have the requisite experience or resources to provide the necessary technical support to beneficiary communities and other proponents in project development and implementation.

Absence of a dedicated project management unit in the municipality concerned is a major reason for the delays that have plagued implementation of the BUB program to date.

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<sup>73</sup> BUB guidelines do not allow national government agencies to disburse new funds to a local government unit that has outstanding advances for uncompleted projects. According to the municipal planning officer of Capalonga, who serves as the BUB focal person in a concurrent capacity, no new fund releases can be made until the previous funds (whether from the BUB program or other agency programs) have been liquidated, even if requisite project documentation requirements have been met.

# 8. Lessons Learned and Implications for Policy and Practice

This chapter highlights the lessons learned thus far from the experience of the KC-NCDDP implementation as it seeks to converge its activities with those of other programs, whether those of DSWD or other sector agencies. These lessons learned are particularly significant as the program seeks to discern its future in light of the coming elections (about half a year away at this writing), and the uncertainties of a new national administration.

## A. Convergence as a Journey

Despite the lip service often paid to convergence, it is not easy for agencies—especially government bureaucracies—to converge. In fact, the knee-jerk reaction is to not participate in a convergence exercise. The bureaucratic nature of government agencies—and the resulting fixation on the achievement of individual agency targets—tends to promote operational modalities based on a “silo” mindset. Any successful convergence effort must therefore take into consideration the dynamics of decision making and implementation in these bureaucracies.

Given the above, it is important to recognize that convergence will not happen overnight, that it is a journey that will prosper and reach its desired destination only if it receives the right combination of time and care. This journey should help the participating programs become better at achieving their performance (i.e., becoming more accessible, responsive, coordinated, transparent, inclusive, and accountable).

Given its character as a “journey,” convergence needs a common platform for the operational intersection of programs, that is, a desired destination, a reference map on how to get there, and a navigator. Of these three elements, the role and importance of the “lead column” of convergence cannot be overemphasized. In this particular case, two lead columns are necessary: (i) the Convergence Management Secretariat as the orchestrator of convergence among DSWD programs, and (ii) a yet-to-be-named entity within KC-NCDDP that would lead the program’s convergence efforts with other sector agency programs. Needless to say, the role and functions of these two navigators should be clarified and strengthened.

The long-term nature of convergence also necessitates further and more focused investment in human resources. On one hand, this may involve recruitment of new staff with significant appreciation of and experience in convergence. More important, however,

is the need to re-tool existing staff in a way that creates a more conducive atmosphere for convergence within the department. This re-tooling of staff should focus on changing long-held mindsets rather than on formulation of additional action plans.

## B. Pinning Down Convergence

At the moment, there is an impression that the directions of convergence—and more importantly, its outputs—have not been sufficiently ascertained. This adverse situation needs to be resolved quickly.

This involves “pinning down” the *why* and *what* of convergence—both in implementation (and the implementing agencies), as well as its desired effects on a necessarily diverse set of beneficiaries.

In more technical language, the DSWD and its partners need to identify objectives that are segregated into milestones, and then to map expectations, resources, and support that respond to the stages of the overall convergence effort. Having a clear road map will prevent the principal actors from simply reacting to implementation realities by creating unneeded structures and engaging in frequent changes to policies and procedures that result in confusion and wasted effort.

From the lens of logical framework analysis, it is equally important to articulate the rationale for convergence, both at the activity level (e.g., maximize resources), and at the goal level.

Equally important (if not more), convergence must be defined at the objective level. Such definition will enable the contributions of convergence to be monitored and measured. Having a clear road map and realistic time frames for reaching the ideal state will lessen confusion about what convergence is, and more importantly, will result in less waste of effort.

This means that progress milestones and performance indicators need to be identified, convergence concepts such as “accessible,” “accountable,” “coordinated,” “inclusive,” “responsive,” and “transparent” clarified, and perhaps more importantly, indicators for measuring these concepts formulated. These progress milestones and performance indicators need not be comprehensive from the outset. It would be better to start off with an initial set of clear and practical milestones and indicators that are appropriate to the beginning stage of the convergence journey. Further indicators can be formulated and adopted as the journey proceeds.

In the KC-NCDDP convergence effort, this will require articulation of the benefits of convergence for KC-NCDDP beneficiary communities, which is the objective level of the program. The appropriate indicators for these convergence-generated benefits will likewise need to be articulated.

The starting point for articulating the benefits of convergence would be to ask the beneficiaries what they want convergence to be. In this regard, it may be important to review the apparent exclusive focus of convergence on Pantawid Pamilya beneficiaries



(as reflected in the DSWD strategic goal). As this report has found, there are two types of convergence-focused and community-focused households and, consequently, two sets of beneficiaries. Thus, it will be necessary for the DSWD and the KC-NCDDP to consult these two groups. These consultations should result in identifying the specific contribution(s) the KC-NCDDP makes to the well-being of these two types of beneficiaries.

In consideration of the above, the conduct of a strengths, weaknesses, opportunities, and threats (SWOT) exercise may be useful in defining the objectives and scope of convergence. The analysis should include revisiting the design of the three DSWD programs being converged, (the KC-NCDDP, the Pantawid Pamilya program, and the SLP). Coordination is key in helping these three core programs better achieve the DSWD's strategic goals. Adjustments in the activities of the three programs will be necessary. This is something that has not been easy, since the programs started at different points in time and have fairly distinctive program designs and implementation trajectories.

In this regard, the provision of key messages (or messaging) is very important. The three DSWD programs have thousands of staff, most of them with little experience in convergence. Thus, the tendency is to follow orders to the letter. By their very nature, policy directives are constrained to simply stating that field workers should take the lens of the citizens or clients that are being served and ask, "How can we deliver services to them in the fastest time and that are of the best quality possible?" The third (and perhaps most important) question is: "In which manner do the clients want project or program benefits to be delivered?". While this question should be at the core of each program activity, it is often ignored in a rush to address the first two questions. As this core value is ignored, it becomes easy to slip into the role of prescriber of change, rather than its facilitator.

Since it was not possible to synchronize program start-ups, it is critical that the key decision makers of the three programs be continually engaged in setting and clarifying the vision, determining the objectives, and identifying the adjustments necessary to propel coordinative work among the various program partners. Since the convergence journey is often a venture into unfamiliar territory, it is important that its travelers check their bearings regularly. In fact, anytime (even right now) is as good a time as any to stop and check if they are on the right track.

## C. Pre-Conditions to Convergence

A necessary pre-condition to the success of convergence at the field level is support at the higher (i.e., national) level. However, such support is not a sufficient condition for convergence to occur. Two other important pre-conditions are (i) willingness of local participants to converge, and (ii) presence of local structures amenable to convergence.

The willingness of participants, which is a continuing process of becoming rather than a permanent state, is dependent on three factors: (i) continuing encouragement from above; (ii) understanding on the part of individual participants and appreciation of the value of convergence, and equally important, its benefits to their own individual programs; and (iii) awareness and appreciation of the programs and activities of other participants.

Local structures cannot be limited to the setting up of committees. More important is ensuring the continued functionality of these committees. This means, for example, providing leadership, providing funds, developing a clear program of work, providing feedback between meetings on decisions taken by the committees concerned, and building a spirit of trust and cooperation among committee members.

In general, there is need for greater involvement of the LGUs, particularly at the municipal level. This requires a communication strategy that encourages the participation of LGUs. In particular, there is an urgent need to build the capacity of the Municipal Social Welfare Office, which serves as the DSWD's local agent in the convergence effort, its household-focused dimension in particular.

## D. The Critical Role of Municipal Action Teams in Field-Level Convergence

The experience of DSWD suggests that the quality of results can indeed be enhanced by convergence at the community level. If the municipal action teams are able to see the links between programs, they can better operationalize interventions that provide particular focus on the poor and marginalized in beneficiary communities.

At the field level, the municipal action team appears to have become generally effective as a mechanism for coordination. If the municipal action teams are able to see the links between the three programs, they can better operationalize these—whether singly or in concert—through interventions that provide particular focus on the poor and marginalized, whether individual households or communities.

As mentioned earlier, effective municipal action team coordination has resulted in harmonization of some activities of the three DSWD programs, such as: (i) coordinated conduct of the Pantawid Pamilya family development session with *barangay* assemblies initiated by the KC-NCDDP; (ii) sharing of information among the staff members of the three programs; (iii) KC-NCDDP and Sustainable Livelihood Program staff serving as resource persons for family development sessions; (iv) construction workers (unskilled) from Pantawid Pamilya households (considered to be the most vulnerable) being given priority in employment under KC-NCDDP-funded construction works; (v) coordination among the three programs in data gathering about the *barangay* situation; and (vi) joint monitoring of beneficiaries by the staff of the Pantawid Pamilya and sustainable livelihood programs.

The minor confusion that currently exists regarding the nature of municipal action team plans, and the respective responsibilities of the DSWD and the local government unit regarding the implementation and outcome of these plans need to be resolved. Municipal action teams also need continuing guidance on how to better engage local government units, particularly in getting the latter to assume greater responsibility with regard to municipal action team plans for Pantawid Pamilya program beneficiaries.

Many of the municipal action team leaders are not well equipped to handle the complex task of a converged work environment. In such an environment, it is not only important to have a good grasp of the other programs, but also to understand how one program

can complement another, and to steer a team from widely different backgrounds and competencies. While some will step into this role much more easily than others, a good many will require re-training, coaching, and systematic supervision. For the DSWD, this has become a challenge due to the relatively young and inexperienced workforce that characterizes all three programs.

Among the staff members of the three programs, the area coordinator of the KC-NCDDP team possesses the best skill set in terms of leadership, networking, and resource mobilization. After all, the nature of the KC-NCDDP requires continuing coordination with the MLGU and its various departments. However, the KC-NCDDP area coordinating team has its own ambitious targets, which could be imperiled if the energy of the area coordinator were to be diverted to implementing the MTP. At the same time, it is clearly more appropriate for the Pantawid Pamilya team to assume responsibility for implementing the MTP, since the MTP clients are the beneficiaries of the Pantawid Pamilya program. Resolution of the issue of municipal action team leadership is important, because as articulated by members of the municipal action teams in the three study municipalities, effective functioning of the municipal action team is highly-dependent on its leadership.

The regional field offices have started incorporating performance indicators in the performance management contracts of municipal action team members. This has both upsides and downsides. Measuring how staff members perform can help get things done and provide focus to the work of the municipal action teams. However, if the indicators are not well thought out, municipal action team members may become unnecessarily burdened, particularly if the indicators focus on activities (e.g. holding regular municipal action team meetings) rather than results.

## E. The Unique Position of the KC-NCDDP in Advancing Community-Focused Convergence

With respect to community-focused convergence, it is clearly important to build much stronger linkages between the KC-NCDDP and BUB programs, both in planning and implementation. In retrospect, for example, some respondents made the suggestion that it may be best to complete all KC-NCDDP cycles in a particular area before the entry of the BUB program, as this would increase the chances of success of implementation of village projects.

Given the simultaneous presence of the KC-NCDDP and the BUB program in the study municipalities, the above suggestion is no longer feasible. However, there are many opportunities for harmonizing KC-NCDDP and BUB operations in the areas in which both programs operate.

Among these, the first—and most important—area of harmonization is **common use of the results of the PSA**, not only for project selection under the KC-NCDDP, but also as the basis for selecting community projects to be included in the Local Poverty Reduction Action Plan under the BUB program. The venue for introducing the PSA as a common

planning platform is the unified Municipal Inter-Agency Committee, the membership of which is almost the same as that of the local poverty reduction action team. In effect, the unified Municipal Inter-Agency Committee/local poverty reduction action team serves as the coordinating mechanism for the review of projects under both the KC-NCDDP and BUB programs in each beneficiary municipality.

Training in the PSA format and participatory research methods would be the logical next step for unified Municipal Inter-Agency Committee members, staff members of sector agencies, and area coordinating team and municipal coordinating team staff. The most important benefit of a common PSA exercise would be the high quality of data regarding the prevailing poverty situation in the target *barangays* that would be made available to all participating agencies.

Consolidation of the above data, and more importantly, its use in setting the priorities of the municipality as a whole would be the next step. This would be accomplished at the KC-NCDDP criteria-setting workshop. In the majority of cases, the priorities of the municipality will remain sufficiently broad to justify the “open menu” practice of the KC-NCDDP.

A second area of harmonization is **coordinated selection of community projects**. Effective harmonization of project selection mechanisms would require ongoing dialogue and collaboration between the KC-NCDDP area coordination team and the local municipal local government operations officer who is responsible for the BUB process in the municipality concerned.

The experience of the municipality of Capalonga, which was mentioned earlier, serves as one model for harmonization. In Capalonga, community projects that were not prioritized during the KC-NCDDP project selection exercise are referred for inclusion in the Local Poverty Reduction Action Plan. The area coordination team and the local municipal local government operations officer agreed that KC-NCDDP project selection would be done first, to be followed by a meeting of the local poverty reduction action team for the purpose of preparing the Local Poverty Reduction Action Plan. According to the Capalonga area coordination team, it would be ideal if the Municipal Inter-Barangay Forum were to be convened prior to the Local Poverty Reduction Action Plan project selection meeting. If this is not possible, one option would be to re-convene the Local Poverty Reduction Action Plan meeting after that of the Municipal Inter-Barangay Forum for the purpose of considering nonprioritized projects.

Related to the above harmonization effort is the need to fine-tune the BUB program selection process for projects to be included in the Local Poverty Reduction Action Plan. Respondents have identified a number of issues regarding the projects proposed for funding under the BUB program at the civil society organization assembly, the two most important being: (i) insufficient information regarding the project to make an informed decision; and (ii) some projects subsequently being found to be unfeasible.

Because of its extensive experience with the Municipal Inter-Barangay Forum, the KC-NCDDP has existing procedures for addressing the above issues. For example, proponents of projects proposed for funding under the BUB program may be asked to

prepare a one- or two-page project brief that outlines the basic features of the project and its budget. In the case of water (and other complex) projects, the equivalent of a Municipal Inter-Agency Committee verification process may be instituted to determine feasibility before the proposal is presented to the civil society organization assembly.

Finally, it would be important to present *barangay* PSA results, as well as the outcome of the criteria-setting workshop discussions for the consideration of the civil society organization assembly, which is the forum that makes the initial selection of community projects to be funded under the BUB program.

Introduction of other innovations for further synchronizing the project selection processes of the KC-NCDDP and BUB program should be the subject of further discussions between the area coordination teams and the municipal local government operations officers at the municipal level.

A third area of harmonization is **use of KC-NCDDP implementation procedures in projects funded under the BUB program**. It is important to note that there are already existing CDD elements in the project implementation procedures of many national government agencies. Many sector agencies already work with community groups (e.g., farmers, parents, women, and rural workers) To varying degrees, sector agencies also provide space for community groups to participate in project implementation (e.g., involvement in procurement processes, limited control over funds, and management of construction works). Given this, there is potential for further introducing CDD elements into the BUB program-funded projects of national government sector agencies, especially if this is encouraged by the national government.

At the same time, a number of the local representatives of national sector agencies indicated that their respective agencies may be open to community project management, since final accountability rests with the MLGU concerned. Simply stated, there is flexibility for (partial) field-level adoption of KC-NCDDP procedures (e.g., community procurement, use of the community force account, community management of project implementation, and community management of funds). However, this support is highly contextual and dependent on various factors, the most important of these being the level of support of the local chief executive in adopting KC-NCDDP procedures, the negotiating and mobilization skills of the area coordinating team, and the relative openness of the local representatives of the sector agencies.

The KC-NCDDP National Office can support this effort in two ways: (i) by sending a clear signal to area coordinating teams (and also local chief executives) that this is the preferred policy direction and practice; (ii) documenting “small victories”<sup>74</sup> and disseminating these across the KC-NCDDP network, including dissemination to key decision makers at the national offices of BUB program sector agencies.

<sup>74</sup> An example of a “small victory” is the inclusion of *barangay* representatives to the municipal-level Bids and Awards Committee organized by the MLGU to undertake procurement of BUB-funded community projects. In informal conversations with KC-NCDDP regional staff, the ADB team was informed that this is already occurring in a number of KC-NCDDP areas.

The KC-NCDDP's Regional Program Management Office (and the Subregional Program Management Office) also has the important role of engaging its counterparts in the regional and provincial offices of sector agencies to make the latter more aware (and eventually convinced) of the effectiveness of the KC-NCDDP approach to implementing community projects.

While not directly related to the harmonization effort, the KC-NCDDP has an inherent interest in successful implementation of the municipal local government unit's BUB program as a whole, if only for the benefit that projects funded under the BUB program will bring to KC-NCDDP beneficiary communities. Hence, it might need to invest in **building the institutional capacity of the project management unit within the MLGU** that coordinates and provides support to communities during the various stages of project development and implementation.

In large part, the success of the KALAHI-CIDSS project to date is due to the field presence of a project management unit (i.e., the area coordinating team) that coordinates and provides support to beneficiary communities during the various stages of project development and implementation.

At the moment, there is no similar structure within the MLGU that manages projects funded under the BUB program in a centralized way. The role of the local poverty reduction action team ends with project selection and preparation of the Local Poverty Reduction Action Plan. In the municipalities of Capalonga and Tanauan, the municipal planning office does some limited monitoring of implementation of projects funded under the BUB program. That said, it does not directly manage these projects. The local branches of the national government agency concerned (including devolved offices that have been absorbed by the MLGU) do not have the requisite experience or resources to provide the necessary technical support to beneficiary communities and other proponents to ensure successful project development and implementation.

Absence of a dedicated project management unit in the municipality concerned is a major reason for the delays that have plagued implementation of the BUB program to date.

## F. Despite Difficulties, There is Still Optimism that Convergence Can Work

For one, the contributions of CDD-built infrastructure to improved basic service delivery and livelihood opportunities are irrefutable. At the same time, the emergence of group-based livelihood enterprises indicates that the enhanced social capital that has been nurtured by the KC-NCDDP is translating into economic capital and increased local economic activity.

Second, there is emerging appreciation among local decision makers of the value of CDD processes and procedures, in particular with regard to the high quality of infrastructure projects, the judicious use of project funds, and the increased level of cooperation among village residents.

Third, convergence has the support of the DSWD's top management. This support in turn translates into availability of resources—from the KC-NCDDP, Pantawid Pamilya, and sustainable livelihood programs—for various convergence initiatives.

Finally, convergence addresses the inherent limitations of the KC-NCDDP as a development assistance program. After all, the diverse needs of poor communities cannot be addressed by one program alone. Improved convergence among the three DSWD programs (and the programs of other national government sector agencies) is expected to provide increased benefits to community and household beneficiaries alike.

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# APPENDIX 1

## Major Research Areas

Overall Research Area	Specific Research Area	Study Questions
1. Dynamics of Pantawid Pamilya-Focused Convergence	1.1 KC-NCDDP and municipal action team	<ul style="list-style-type: none"> <li>• What are considered to be the major accomplishments of the municipal action team to date?</li> <li>• What are the distinctive roles and unique contributions of KC-NCDDP to the formulation and implementation of plans?</li> <li>• In what way(s) can the KC-NCDDP role and contributions to the municipal action team be enhanced?</li> </ul>
	1.2 Community-level effects of convergence	<ul style="list-style-type: none"> <li>• To what extent have Pantawid Pamilya beneficiaries and other poor residents increased income through employment in project construction activities?</li> <li>• What is the daily take-home wage per project?</li> <li>• What was the greatest number of days that an individual unskilled laborer worked on a project? What was the smallest number of days?</li> <li>• Were women hired as skilled or unskilled laborers? How long did they work (the most and least number of work days)?</li> <li>• What is the level of participation of Pantawid Pamilya beneficiaries in KC-NCDDP-organized <i>barangay</i> assemblies and project committees?</li> <li>• How many Pantawid Pamilya beneficiaries have transitioned to become members of the Sustainable Livelihood Program (SLP)?</li> <li>• Which income increases have resulted from the enterprises of Pantawid Pamilya beneficiaries who have become SLP members?</li> </ul>
	1.3 Emerging community best practices in convergence	<ul style="list-style-type: none"> <li>• In what ways have the three DSWD programs coordinated their respective activities? What have been the results of these coordinated activities?</li> <li>• Which targeting strategies have been employed to ensure participation of the poor in the activities of the three converged programs?</li> </ul>

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Major Research Areas *continued*

Overall Research Area	Specific Research Area	Study Questions
	1.4 Analytical tools and impact indicators	<ul style="list-style-type: none"> <li>• Have any operational difficulties been encountered due to the KC-NCDDP use of the core local poverty indicators (CLPI) vs. the Pantawid Pamilya use of social welfare indicators?</li> <li>• If yes, how can these difficulties be resolved?</li> </ul>
2 Dynamics of KC-NCDDP Convergence	2.1 Participation of the Bottom-Up Budgeting (BUB) program and agencies in the KC-NCDDP participatory situation analysis (PSA) exercise at the <i>barangay</i> level	<ul style="list-style-type: none"> <li>• Have BUB and other agencies within the municipality been briefed on the Community Empowerment Activity Cycle and, in particular, the PSA?</li> <li>• Have representatives of other BUB agencies participated in the PSA exercise?</li> </ul>
	2.2 Use of PSA results by BUB and other agencies as the basis for community-development planning	<ul style="list-style-type: none"> <li>• Have BUB agencies within the municipality used the PSA results in their planning and programming?</li> </ul>
	2.3 Procedures for assignment of <i>barangay</i> projects to KC-NCDDP, BUB, and other agencies	<ul style="list-style-type: none"> <li>• How did communities choose the agencies to which they will submit the priority projects they identified through the PSA?</li> <li>• What was decision-making process that resulted in selection of individual community projects by the KC-NCDDP, BUB, and other agencies? Who facilitated this decision-making process?</li> <li>• Were nonprioritized projects of the KC-NCDDP taken up by BUB and other agencies?</li> </ul>
	2.4 KC-NCDDP and the local poverty reduction action team	<ul style="list-style-type: none"> <li>• What is the structure and composition of the local poverty reduction action team?</li> <li>• What were the key activities of the local poverty reduction action team in the preparation of the Local Poverty Reduction Action Plan (LPRAP) (latest version)?</li> <li>• What were the major difficulties encountered in the preparation of the LPRAP (latest version)?</li> <li>• To what extent were the projects identified by the communities through the PSA included in the local poverty reduction action team?</li> <li>• How are the community projects listed in the LPRAP monitored at the municipal level?</li> <li>• In what ways can the process of LPRAP preparation be improved?</li> <li>• What is the distinctive role and unique contribution of the KC-NCDDP in the local poverty reduction action team and preparation of the LPRAP?</li> <li>• In what way(s) can the role and contributions of the KC-NCDDP to the local poverty reduction action team and LPRAP preparation be enhanced?</li> </ul>

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Major Research Areas *continued*

Overall Research Area	Specific Research Area	Study Questions
	2.5 The KC-NCDDP and the Regional Inter-Agency Committee (RIAC) and the regional poverty reduction action team	<ul style="list-style-type: none"> <li>• What is the structure and composition of the RIAC or the regional poverty reduction action team?</li> <li>• What were the key activities of the regional poverty reduction action team in the review of the LPRAPs (latest version)?</li> <li>• What were the major difficulties encountered in the review of the LPRAPs (latest version)?</li> <li>• In what ways can the process of LPRAP review by the regional poverty reduction action team be improved?</li> <li>• What is the distinctive role and unique contribution of the KC-NCDDP in the regional poverty reduction action team review of the LPRAPs?</li> <li>• In what way(s) can the role and contributions of the KC-NCDDP in the regional poverty reduction action team's review of LPRAPs be enhanced?</li> </ul>
	2.6 Acceptance of KC-NCDDP procedures by BUB agencies, and municipal local government unit (MLGU) and <i>barangay</i> local government unit (LGU) officials	
	➤ Community procurement	<ul style="list-style-type: none"> <li>• What do you like about community procurement?</li> <li>• What do you not like about community procurement?</li> <li>• How willing are you to adopt community procurement?</li> </ul>
	➤ Community force account	<ul style="list-style-type: none"> <li>• What do you like about community force account?</li> <li>• What do you not like about community force account?</li> <li>• How willing are you to adopt community force account?</li> </ul>
	➤ Community-managed project implementation	<ul style="list-style-type: none"> <li>• What do you like about community-managed project implementation?</li> <li>• What do you not like about community-managed project implementation?</li> <li>• How willing are you to adopt community-managed project implementation?</li> </ul>

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Major Research Areas *continued*

Overall Research Area	Specific Research Area	Study Questions
	<ul style="list-style-type: none"> <li>➤ Community management of funds</li> </ul>	<ul style="list-style-type: none"> <li>• What do you like about community management of funds?</li> <li>• What do you not like about community management of funds?</li> <li>• How willing are you to adopt community management of funds?</li> </ul>
	2.7 LGU support of KC-NCDDP convergence <ul style="list-style-type: none"> <li>• Municipal government support</li> <li>• <i>Barangay</i> government support</li> </ul>	<ul style="list-style-type: none"> <li>• What do you like and not like about KC-NCDDP procedures?</li> <li>• Do you support convergence between KC-NCDDP and the BUB?</li> <li>• To what extent are you prepared to adopt KC-NCDDP procedures as the primary mode of community project implementation?</li> <li>• How many community-identified projects have been funded by the KC-NCDDP?</li> </ul>
3. Outputs of Convergence: Number of funded community-identified projects implemented	3.1 Projects funded <ul style="list-style-type: none"> <li>• by the KC-NCDDP</li> <li>• by BUB agencies</li> <li>• by DSWD/BUB</li> <li>• by other agencies</li> </ul>	<ul style="list-style-type: none"> <li>• Were any of these projects implemented not using KC-NCDDP procedures?</li> <li>• What is the current status of these projects?</li> <li>• How many of these projects were implemented using KC-NCDDP procedures?</li> <li>• What is the current status of these projects?</li> </ul>

DSWD = Department of Social Welfare and Development, KC-NCDDP = KALAHI-CIDSS–National Community-Driven Development Program.

Source: Author compilation, 2014.

## APPENDIX 2

# List of Respondents and Study Team Members

### Participants at the San Remigio, Antique Study Site in Focus Group Discussions

	Name	Organization/ Project Affiliation	Designation
<b>Briefing and FDG with Local Government Unit of San Remigio</b>			
1	Rose Ela M. Sastrillo	LGU, San Remigio	Municipal social welfare development officer
2	Edgar P. Melicano	LGU, San Remigio	Municipal planning and development coordinator
3	Alex E. Marfil	LGU, San Remigio	Municipal administrator
4	Analine M. Guanzon	LGU, San Remigio	Municipal engineer
<b>FGD with Barangay Local Government Unit and Community Volunteers (Barangay Bagumbayan)</b>			
1	Arleen V. Tibi	KC-NCDDP	Area coordinating team-Deputy area coordinator
2	Arnold B. Patopata	KC-NCDDP	Area coordinating team-Municipal financial analyst
3	Jeanly D. Danozo	KC-NCDDP	Area coordinating team-Municipal financial analyst
4	Celedonca T. Perfinan	KC-NCDDP	Municipal coordinating team-Community empowerment facilitator
5	Pearl S. Laguerder	KC-NCDDP	Area coordinating team-Community empowerment facilitator
6	Jono c. Villar	KC-NCDDP	Municipal coordinating team-Community empowerment facilitator
7	Jenkens Paller	KC-NCDDP	Municipal coordinating team-Community empowerment facilitator
8	Jasmin Rose G. Delos Santos	KC-NCDDP	Area coordinating team-Community empowerment facilitator
9	Cindy Joy Blasurca	KC-NCDDP	Area coordinating team –Area coordinator
10	Jimmy S. Occena Jr.	KC-NCDDP	Municipal coordinating team-Community empowerment facilitator

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**Participants at the San Remigio, Antique Study Site** *continued*

	Name	Organization/ Project Affiliation	Designation
11	Sheila H. Tadla	KC-NCDDP	Municipal coordinating team- Community empowerment facilitator
12	Julius Infante Cuevas	KC-NCDDP	Municipal coordinating team- Community empowerment facilitator
13	Noemi A. Genoveza	Pantawid Pamilya Pilipino Program	Project development officer II
14	Ashlyn Grace Amor	Pantawid Pamilya Pilipino Program	Project development officer II
15	Nelsen Magbama Jr.	KC-NCDDP	Area coordinating team –Deputy area coordinator
16	Jayson Villaruz	KC-NCDDP	Area coordinating team –Deputy area coordinator
17	Marjorie P. Andres	KC-NCDDP	Municipal coordinating team- Community empowerment facilitator
<b>FGD with Barangay Local Government Unit and Community Volunteers (Barangay Bagumbayan)</b>			
1	Eduardo S. Bautista	DepEd	Head teacher III
2	Virginia de la Cruz	–	–
3	Teodore G. Gomez	BLGU-Bagumbayan	Barangay kagawad
4	Cristie Bonares	BLGU-Bagumbayan	Barangay treasurer
5	Neneth P. Jacar	BLGU-Bagumbayan	Barangay service point officer
6	Jean A. Verida	BLGU-Bagumbayan	Barangay nutrition scholar
7	Janice Fay Bonares	BLGU-Bagumbayan	Barangay secretary
8	JoeFRE Jacar	KC-NCDDP	Barangay subproject management committee head
9	Juanita Cabrillos	BLGU-Bagumbayan	Barangay kagawad
10	Germar Painaga	KC-NCDDP	Project implementation team member
11	Alex Omallao	BLGU-Bagumbayan	Barangay kagawad
12	Lawton Demac	BLGU-Bagumbayan	Barangay kagawad
13	Delio Francisco	BLGU-Bagumbayan	Barangay kagawad
14	Nimfa Fordan	–	–
15	Jerry Alyo	–	–
16	Bernadeth Paller	KC-NCDDP	Bookkeeper
17	Luterio Pedro	–	–
18	Virginia De la Cruz	–	–
19	Condrado Cabridos	–	Farmer
20	Basilio Fordar	–	Farmer

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**Participants at the San Remigio, Antique Study Site** *continued*

	Name	Organization/ Project Affiliation	Designation
21	Kimberly Gordon	BLGU-Bagumbayan	Barangay health worker
22	Felix Ollague	BLGU-Bagumbayan	Barangay tanod
23	Junel Belonta	–	–
24	Luec Pedro	–	–
<b>FGD with Barangay Local Government Unit and Community Volunteers (Barangay Sinundolan)</b>			
1	Josen T. Cabrillos	BLGU-Sinundolan	Barangay kagawad
2	Ricky F. Blanco	BLGU-Sinundolan	Barangay kagawad
3	Ramon T. Cuevas	BLGU-Sinundolan	Barangay kagawad
4	Richardo B. Solomon	BLGU-Sinundolan	Barangay kagawad
5	Jocelyn M. Cuevas	BLGU-Sinundolan	Barangay kagawad
6	Melvic C. Solomon	BLGU-Sinundolan	Barangay kagawad
7	Elvira S. Cabrillos	KC-NCDDP	BSPMC
8	Elma C. Cabrillos	KC-NCDDP	Procurement and operations and maintenance team member
9	Rey Silva	–	–
10	Valentina C. Fernandez	KC-NCDDP	Project implementation team member
11	Jim L. Cabrillo	KC-NCDDP	Project implementation team member
12	Eddie de la Cruz	–	–
13	Abdon Pasencio	–	–
14	Elordo M. Rocero	–	–
15	Lilia O. Cabrillos	–	–
16	Marjorie F. Andres	–	–
17	Jorie Villamor	KC-NCDDP	Volunteer
18	Jenerese Matco	KC-NCDDP	Volunteer
19	Mereuciana Mateo	KC-NCDDP	Volunteer
20	Lotty Solomon	KC-NCDDP	Volunteer
21	Leni Solomon	KC-NCDDP	Volunteer
22	Roy Solomon	KC-NCDDP	Volunteer
23	Natividad Sagayawon	KC-NCDDP	Volunteer
24	Leo Fred Tandayag	KC-NCDDP	Volunteer
<b>FGD with the Municipal Inter-Agency Committee</b>			
1	Carmelita Panaligan	KC-NCDDP	Area coordinating team- Community empowerment facilitator
2	Edgar P. Melicano	LGU, San Remigio	Municipal planning and development coordinator
3	Wife A. Caordillos	LGU, San Remigio	–

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**Participants at the San Remigio, Antique Study Site** *continued*

	Name	Organization/ Project Affiliation	Designation
4	Bernie Fortun	LGU, San Remigio	Sangguniang Bayan member
5	Ebenizer Rafil	KC-NCDDP	Municipal financial analyst
6	Reyky A. Pelonia	KC-NCDDP	Area coordinating team- Community empowerment facilitator
7	Rose Ela M. Sastrillo	LGU, San Remigio	Municipal social welfare development officer
8	Marcus Wavicano	LGU, San Remigio	-
9	Marjorie P. Andres	KC-NCDDP	Area coordinating team- Community empowerment facilitator
10	Noemi A. Genoveza	Pantawid Pamilya Pilipino Program	Project development officer II
11	Arnold B. Patopata	KC-NCDDP	Area coordinating team- Municipal financial analyst
12	Pearl S. Laguerder	KC-NCDDP	Area coordinating team- Community empowerment facilitator
13	Jeanly D. Danozo	KC-NCDDP	Area coordinating team- Municipal financial analyst
14	Myrna V. Terre	LGU, San Remigio	Assessor's office staff
15	Celedonca T. Perfinan	KC-NCDDP	Municipal coordinating team- Community empowerment facilitator
16	Cindy Joy Blasurca	KC-NCDDP	Area coordinating team-Area coordinator
17	Julius Infante Cuevas	KC-NCDDP	Municipal coordinating team- Community empowerment facilitator
18	Julito Pedro	KC-NCDDP	Municipal coordinating team- Community empowerment facilitator
19	Sheila H. Tadla	KC-NCDDP	Area coordinating team- Community empowerment facilitator
<b>FGD with the DSWD Regional Project Management Office</b>			
1	Amor P. Amaran	KC-NCDDP –RPMO	Regional community infrastructure specialist
2	Roxanne L. Baluya	KC-NCDDP –RPMO	Regional monitoring and evaluation specialist
3	Manver N. Xexez III	KC-NCDDP –RPMO	Regional financial analyst
4	Leo Quintilla	KC-NCDDP	Deputy regional project manager
5	Elizabeth D. Ferraris	KC-MCC –RPMO	Deputy regional project manager

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### Participants at the San Remigio, Antique Study Site *continued*

	Name	Organization/ Project Affiliation	Designation
6	Marie Esther Liasa B. Jocson	Sustainable Livelihood Program	Bottom-up budgeting program focal
7	Felix Genvecio Jr.	DSWD Convergence	Staff
8	Jonathan C. Anteza	Pantawid Pamilya Program	Regional project coordinator
9	Joel P. Galicia	DSWD FO 6	Assistant regional director
10	Susan J. Ibelgaufts	DSWD	Social welfare officer IV and regional convergence coordinator
11	Nonelyn Guillermo	KC-NCDDP –RPMO	Monitoring and evaluation officer III
12	Lovely Carraja	KC-NCDDP –RPMO	Monitoring and evaluation officer III
13	Lloyd Vincent Imaysay	KC-NCDDP –RPMO	Monitoring and evaluation officer III
14	Reanna Rosalia Deopido	KC-NCDDP –RPMO	Monitoring and evaluation officer III
15	Joy Veloso	KC-NCDDP –SRPMO	Subregional project coordinator
16	Lalaine Hosillos	KC-NCDDP –RPMO	Monitoring and evaluation officer III
17	Rowena Gregorio	KC-NCDDP –RPMO	Financial analyst III
18	Benjamin L. Dulla	KC-NCDDP –RPMO	Project development officer III
19	Melina C. Gomez	DSWD	–
20	Leo Perez Sr.	DSWD	Financial analyst III
21	Leah Lyn Junsay	DSWD	Administrative assistant
22	Mae A. Redome	DSWD	Administrative assistant
23	Relin Zabala	KC-NCDDP	Monitoring and evaluation officer III

– = not available, BLGU = *barangay* local government unit, BSPMC = Barangay Sub-Project Management Committee, DepEd = Department of Education, DSWD = Department of Social Welfare and Development, FGP = focus group discussion, LGU = local government unit, KC-NCDDP = KALAHI-CIDSS–National Community-Driven Development Program, SRPMO = Subregional Program Management Office.

Note: Some participants participated in more than one FGD.

Source: Author compilation, 2015.

### Participants at the Veruela, Agusan del Sur Study Site in Focus Group Discussions

	Name	Organization/ Project Affiliation	Designation
<b>FGD with Area Coordination Team</b>			
1	Nezza May Arroza	KC-NCDDP	Area coordinator
2	Elbert Lendel Manalo	KC-NCDDP	Technical facilitator
3	Cherie Vee N. Bagnol	KC-NCDDP	Community empowerment facilitator
4	Blomie S. Gamulo	KC-NCDDP	Community empowerment facilitator
5	Ednilyn Grace Y. Gerite	KC-NCDDP	Community empowerment facilitator
6	Princess Leolyn B. Balacuit	KC-NCDDP	Community empowerment facilitator
7	Inesita A. Enriquez	KC-NCDDP	Community empowerment facilitator
8	Arl C. Bentatos	KC-NCDDP	Community finance facilitator
9	James M. Escaret	KC-NCDDP	Technical facilitator
10	Earl Ross L. Cencia	KC-NCDDP	Community finance facilitator
11	Jerr Segred Kalinawan	KC-NCDDP	Community empowerment facilitator
<b>FGD with Barangay Local Government Unit Officials (Barangay Sisimon)</b>			
1	Crisito M. Tamos	Barangay Local Government Unit-Sisimon	Punong barangay
2	Maria Luz L. Tamos	Barangay Local Government Unit-Sisimon	Barangay kagawad
3	Wilfredo S. Eredia	Barangay Local Government Unit-Sisimon	Barangay kagawad
4	Bovilyn B. Taray	Barangay Local Government Unit-Sisimon	Barangay record keeper
5	Donato B. Eredia Sr.	Barangay Local Government Unit-Sisimon	Barangay kagawad
6	Fermina C. Cabig	Department of Education	Teacher
7	Aneli H. Padillo	Barangay Local Government Unit-Sisimon	Barangay secretary
8	Entiquio M. Tamos Jr.	Barangay Local Government Unit-Sisimon	Barangay kagawad

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**Participants at the Veruela, Agusan del Sur Study Site** *continued*

	Name	Organization/ Project Affiliation	Designation
9	Franco T. Alampangan	Barangay Local Government Unit-Sisimon	Barangay kagawad
10	Pabilto V. Solis	Philippine National Police, Veruela	City operations and plans division staff
11	Romeo S. Pension	Philippine National Police, Veruela	City operations and plans division staff
12	Jesriel M. Abrao	Department of Social Welfare and Development	Project development officer II
13	Mary Ann R. Martinez	Pantawid Pamilya Program	Municipal link
14	Jenny M. Damian	Pantawid Pamilya Program	Municipal link
15	Omano B. Japano	Pantawid Pamilya Program	Municipal link
16	Juredel S. Cuarteron	Pantawid Pamilya Program	Social welfare assistance
17	Ericson M. Sitchon	Sustainable Livelihood Program	Project development officer II
18	Jennifer T. Gomez	Sustainable Livelihood Program	Project development officer II
19	Elbert Lendel Manalo	KC-NCDDP	Technical facilitator
<b>FGD with Community Volunteers (Barangay Sisimon)</b>			
1	Fermina C. Cabu	BASIMODA	Chairperson
2	Candelaria I. Salamanca	BASIMODA	Member
3	Donato B. Eredia Sr.	BASIMODA	Volunteer/Barangay kagawad
4	Nezza May Arroza	KC-NCDDP	Area coordinating team-Area coordinator
5	Edgar P. Costudio	BASIMODA	Operation and maintenance member
6	Lilia A. Lomotos	BASIMODA	Subproject preparation team chairperson
7	Pablita A. Jumarito	BASIMODA	Project implementation team member
8	Norma M. Pundinit	BASIMODA	Bids and awards committee member
9	Elenita A. Tamos	BASIMODA	Procurement team member
10	Mayla Jean Abule	Pantawid Pamilya Program	Parent leader
11	Presiosa M. Cuestas	Sustainable Livelihood Program	Barangay health worker/BAC/SLP beneficiary
12	Jimmy Lor	BASIMODA	Monitoring and inspection team

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**Participants at the Veruela, Agusan del Sur Study Site** *continued*

	Name	Organization/ Project Affiliation	Designation
13	Blomie S. Gamulo	KC-NCDDP	Community empowerment facilitator
14	Eduardo P. Custodio	BASIMODA	Operations and maintenance team member
15	Maria Luz L. Tamyus	BASIMODA	Volunteer/Barangay kagawad
16	Wlfredo S. Eredia	BASIMODA	Barangay kagawad
17	Balcrin Alih	Philippine Army	–
18	Chuckie Alambag	Philippine Army	–
19	Charlotte Canda	KC-NCDDP RPMO	Monitoring and evaluation officer III
20	Inesita A. Enriquez	KC-NCDDP	Area coordinating team-Community empowerment facilitator
21	Edmilyn Grace Y. Oerte	KC-NCDDP	Area coordinating team-Community empowerment facilitator
22	Princess Leolyn B. Balawit	KC-NCDDP	Area coordinating team-Community empowerment facilitator
23	Earl Ross Cimai	KC-NCDDP	Area coordinating team-Community empowerment facilitator
24	Jerr Siegfred Kalinalan	KC-NCDDP	Area coordinating team-community empowerment facilitator
25	Cherie Vee M. Bagnol	KC-NCDDP	Area coordinating team-Community empowerment facilitator
26	Blomie S. Gamulo	KC-NCDDP	Area coordinating team-Community empowerment facilitator
<b>FGD with Municipal Action Team Member</b>			
1	Nezza May Arroza	KC-NCDDP	Area coordinating team-Area coordinator
2	Elbert Lendel Manalo	KC-NCDDP	Technical facilitator
3	Cherie Vee N. Bagnol	KC-NCDDP	Area coordinating team-Community empowerment facilitator
4	Blomie S. Gamulo	KC-NCDDP	Area coordinating team-Community empowerment facilitator
5	Ednilyn Grace Y. Gerite	KC-NCDDP	Area coordinating team-Community empowerment facilitator

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### Participants at the Veruela, Agusan del Sur Study Site *continued*

	Name	Organization/ Project Affiliation	Designation
6	Princess Leolyn B. Balacuit	KC-NCDDP	Area coordinating team- Community empowerment facilitator
7	Inesita A. Enriquez	KC-NCDDP	Area coordinating team- Community empowerment facilitator
8	Arl C. Bentatos	KC-NCDDP	Area coordinating team- Community finance facilitator
9	James M. Escaret	KC-NCDDP	Technical facilitator
10	Earl Ross L. Cencia	KC-NCDDP	Area coordinating team- Community finance facilitator
11	Jerr Segred Kalinawan	KC-NCDDP	Area coordinating team- Community empowerment facilitator
12	Jesriel M. Abrao	Sustainable Livelihood Program	Project development officer III
13	Mary Ann R. Martinez	Pantawid Pamilya Program	Municipal link
14	Jenny M. Damian	Pantawid Pamilya Program	Municipal link
15	Omar B. Japano	Pantawid Pamilya Program	Municipal link
16	Juredel S. Cuarteron	Pantawid Pamilya Program	Social welfare assistant
17	Jennifer T. Gomez	Sustainable Livelihood Program	Project development officer III
18	Ericson M. Sitchon	Sustainable Livelihood Program	Project development officer III
<b>FGD with Barangay Local Government Unit (Barangay La Fortuna)</b>			
1	Rebecca Hampac	Barangay Local Government Unit- La Fortuna	Punong barangay
	Eddie Talibo	Barangay Local Government Unit- La Fortuna	Purok leader
2	Romeo Capilitan	Barangay Local Government Unit- La Fortuna	Purok leader
3	Sammy Cabaunan	Barangay Local Government Unit- La Fortuna	Chief barangay tanod
4	George Cabanas	Barangay Local Government Unit- La Fortuna	Purok leader

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**Participants at the Veruela, Agusan del Sur Study Site** *continued*

	Name	Organization/ Project Affiliation	Designation
5	Peter Cayog	Barangay Local Government Unit-La Fortuna	Purok leader
6	Joel Enandrecido	Barangay Local Government Unit-La Fortuna	Purok leader
7	Ralito Camino	Barangay Local Government Unit-La Fortuna	Purok leader
8	Edgar Olan	Barangay Local Government Unit-La Fortuna	Purok leader
9	William Nonog	Barangay Local Government Unit-La Fortuna	Barangay kagawad
10	Gemma Pongasi	Barangay Local Government Unit-La Fortuna	Barangay health worker
11	Elsa Hablado	Barangay Local Government Unit-La Fortuna	Barangay health worker
12	Nezza May Arroza	KC-NCDDP	Area coordinating team-Area coordinator
13	Gelma Talanan	Barangay Local Government Unit-La Fortuna	Purok leader
<b>FGD with Community Volunteers (Barangay La Fortuna)</b>			
1	Dinah Ceillarena	DepEd	Teacher
2	Amanda Ompulo	DepEd	Teacher
3	Divina Tacal	KALAHI-CIDSS	Subproject preparation team member and purok leader
4	Avalyn Solidarios	Pantawid Pamilya Program	Parent leader
5	Elesio Elexane	-	-
6	Efren Des Amparo	Karancho	Karancho member
7	Leodegorio Dalmacio	Bus Sector	Bus sector president
8	Alex Felipe	KALAHI-CIDSS	Monitoring and inspection team member
9	Enrique Talimodais	-	President
10	Janet Jaquias	KALAHI-CIDSS	Subproject preparation team member
11	Irish Garcia	KALAHI-CIDSS	Grievance chairman and purok treasurer

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### Participants at the Veruela, Agusan del Sur Study Site *continued*

	Name	Organization/ Project Affiliation	Designation
12	Jessa Villanueva	KALAHY-CIDSS and Pantawid Pamilya Program	Project implementation team chairman and parent leader
13	Jenes Talha	–	–
14	Arlie Cabanas	Department of Education	Teacher III
15	Nancy Villanueva	KALAHY-CIDSS	Subproject preparation team chairman, BNS, purok treasurer
16	Christopher Sevilla	KALAHY-CIDSS and La Fortuna Vendor's Association	BRT member and La Fortuna vendors association president
17	Bernadith Cabalanan	KALAHY-CIDSS and Women's Federation	Procurement team member and women's federation president
18	Marlyn Cabaya	KALAHY-CIDSS	Project implementation team member
19	Romy Capilitan	KALAHY-CIDSS	Project implementation team member and purok leader
20	Lilia Cabaya	KALAHY-CIDSS	Barangay representation team member and purok leader
21	Gelma Talaman	–	–
22	Benedicto Pabior	La Fortuna Farmers' Association	La Fortuna farmers' association president
23	Jerry Candelario	Pantawid Pamilya Program	Parent leader
24	Paquito Paxetiera	Coconut Farmers Association	Coconut farmers association president
25	Eddie Talib	Pantawid Pamilya Program	Parent leader
26	Temio Bacudan	Tribal Council	Tribal leader
27	Julito Navarro	–	Tribal chieftain
28	Julieta Aquino	–	–
29	Gina Talinodas	–	–
30	Glorilyn Catanus	–	–
31	Glory Talha	–	–
32	Jovelyn Tamagas	–	–
33	Avalyn Solidarios	Pantawid Pamilya Program	Parent leader
34	Elesio Elgane	–	–
35	Inesita A. Enriquez	KC-NCDDP	Area coordinating team-Community empowerment facilitator
36	Jesriel M. Abrito	Sustainable Livelihood Program	Project development officer II

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Participants at the Veruela, Agusan del Sur Study Site *continued*

	Name	Organization/ Project Affiliation	Designation
37	Ma. Isabelita Cepe	KC-NCDDP	Municipal coordinating team- Community empowerment facilitator
<b>FGD with Municipal Convergence Action Committee–Local Poverty Reduction Action Team</b>			
1	Salimar Mondejar	Municipal Local Government Unit	Municipal mayor
2	Vilma S. Romero	Department of Agrarian Reform	Municipal agrarian reform program officer
3	Rosenda O. Lauren	Municipal Economic Enterprise Development Office	Staff
4	Nanie John Luzaza	Municipal Civil Registrar’s Office	Municipal civil registrar
5	Elvira L. Dagaraga	Department of Social Welfare and Development	Municipal social welfare and development officer
6	Elenita L. Peralta	–	Staff
7	Virginia B. Hisoler	Micro Banking Office	Staff
8	Ma. Roanne M. Cervana	Municipal Local Government Unit	Municipal accountant
9	Gerardo T. Manluctao	Municipal Local Government Unit	Admin-Designate
10	Nimfa P. Balasabas	DepEd	Principal 1
11	Ruperto M. Bacudan	–	–
12	Lumira M. Lagapa	Municipal Local Government Unit	Municipal health officer
13	Rolando B. Pelino	Municipal Local Government Unit	Municipal engineer
14	Gil A. Salise	Municipal Local Government Unit	Municipal planning and development coordinator
15	Lito A. Lagamac	Municipal Local Government Unit	Staff
16	Ramon L. Castromayor	Municipal Local Government Unit	Information and technology staff
17	Juanita Cagadas	Municipal Local Government Unit	Assistant administrative I
18	Rosario Odtojan	Municipal Local Government Unit	Municipal environment and natural resource officer staff
19	Fernand M. Escano	Municipal Local Government Unit	–
20	Nezza May Arroza	KC-NCDDP	Area coordinator

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**Participants at the Veruela, Agusan del Sur Study Site** *continued*

	Name	Organization/ Project Affiliation	Designation
21	Ma. Isabelita Ere	KC-NCDDP	Municipal coordinating team- Community empowerment facilitator
22	Christine H. Ampon	SIKAP	Executive director
23	Amalia S. Chavez		
24	Susan G. Chavez	Municipal Local Government Unit	Municipal agriculturist
25	Girvinly V. Cabil	Municipal Local Government Unit	Mayor's staff
26	Mary Ann R. Martinez	Pantawid Pamilya	Municipal link
27	Sherwin C. Obien	Department of Interior and Local Government	Municipal local government operations officer
28	Princess Leolyn B. Balacuit	KC-NCDDP	Area coordinating team- Community empowerment facilitator
<b>Exit Conference Meeting with Area Coordination Team</b>			
1	Nezza May Arroza	KC-NCDDP	Area coordinating team-Area coordinator
2	Elbert Lendel Manalo	KC-NCDDP	Technical facilitator
3	Cherie Vee N. Bagnol	KC-NCDDP	Community empowerment facilitator
4	Blomie S. Gamulo	KC-NCDDP	Community empowerment facilitator
5	Ednilyn Grace Y. Gerite	KC-NCDDP	Community empowerment facilitator
6	Princess Leolyn B. Balacuit	KC-NCDDP	Community empowerment facilitator
7	Inesita A. Enriquez	KC-NCDDP	Community empowerment facilitator
8	Arl C. Bentatos	KC-NCDDP	Community finance facilitator
9	James M. Escaret	KC-NCDDP	Technical facilitator
10	Earl Ross L. Cencia	KC-NCDDP	Community finance facilitator
11	Jerr Segred Kalinawan	KC-NCDDP	Community empowerment facilitator
<b>FGD with Regional Project Management Team</b>			
1	Glimzerlyn Inzo	DSWD-Pantawid	Project development officer II
2	Elsa D. Montemor	DSWD-KC-NCDDP	Regional social development specialist
3	Mita G. Lim	DSWD-Caraga	Assistant regional director for operations/Regional project manager
4	Ramil M. Taculno	DSWD-Caraga	-

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**Participants at the Veruela, Agusan del Sur Study Site** *continued*

	Name	Organization/ Project Affiliation	Designation
5	Jean Paul Parajs	DSWD-Caraga	–
6	Gladys A Ablay	KC-NCDDP	Community Development Officer
7	James Lustrano	KC-NCDDP	Project Development Officer
8	Ember Plaza	DSWD	–
9	Maricris L. Tubo	DSWD-SLP	Project Development Officer
10	Corazon Z.	DSWD-Caraga	Project Development Officer III
11	Edward John Ty	KC-NCDDP	Monitoring and Evaluation Officer III
12	Marfel Jerios	MM-AUSAID	Municipal Monitor
13	Emily Castillo	KC-NCDDP	Community Development Officer III
14	Avelino S. Cielo	KC-NCDDP	Regional Community Development Specialist
15	Ligie Tadena	KC-NCDDP	–
16	Camille April Creniza	KC-NCDDP	–
17	Melanie D. Chavit	KC-NCDDP	–
18	Alejandro T. Goroz	–	–

– = not available, BAC = Bids and Awards Committee, BASIMODA = Barangay Sisimon Development Association, DepEd = Department of Education, DWSD = Department of Social Welfare and Development, FGD = focus group discussion, KALAHI-CIDSS = KALAHI Comprehensive and Integrated Delivery of Social Services, KC-NCDDP = KALAHI-CIDSS–National Community-Driven Development Program, MM-AUSAID = Municipal Monitor for Australian Agency for International Development, SIKAP = Sipag, Ipon at Kaalaman Aming Puhunan sa Kaunralan (Industriousness, Savings, Skills, our Investment to Progress), SLP = Sustainable Livelihood Program.

Source: Author compilation, 2015.

### Participants at the Tanauan, Leyte Study Site in Focus Group Discussions

	Name	Organization/ Project Affiliation	Designation
<b>Briefing and FGD with the Area Coordinating Team of Tanauan, Leyte</b>			
1	Luz Maderano	KC-NCDDP	Area Coordination Team-Area Coordinator
2	Adones Quilanesa	KC-NCDDP	Area Coordination Team-Community Empowerment Facilitator
3	Maria Loreta Gospel	KC-NCDDP	Area Coordination Team-Community Empowerment Facilitator
4	Petronila Dorosa	KC-NCDDP	Area Coordination Team-Community Empowerment Facilitator
5	Rina Balagbis	KC-NCDDP	Area Coordination Team-Community Empowerment Facilitator
6	Cecilia Delector	Municipal Local Government Unit	Municipal Coordinating Team-Area Coordinator
7	Alma Remandabar	KC-NCDDP	Area Coordination Team-Community Empowerment Facilitator
8	Rosalia Cabias	KC-NCDDP	Area Coordination Team-Community Empowerment Facilitator
9	James Lee Mercado	KC-NCDDP	Area Coordination Team-Community Empowerment Facilitator
10	Jesus Bacsua	KC-NCDDP	Area Coordination Team-Community Empowerment Facilitator
11	Judith Soyosa	Department of Interior and Local Government	Department of the Interior and Local Government Staff
12	Jennelyn Salvacion	KC-NCDDP	Area Coordination Team-Community Empowerment Facilitator
13	James Dexter Loyola	KC-NCDDP	Technical Facilitator
14	Sherly Kempis	KC-NCDDP	Area Coordination Team-Community Empowerment Facilitator
15	Renalyn Paroni	KC-NCDDP	Community Empowerment Facilitator
16	Wilma Costimiano	KC-NCDDP	Area Coordination Team-Community Empowerment Facilitator
17	Carlota Davacol	KC-NCDDP	Monitoring and Evaluation Officer II

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**Participants at the Tanauan, Leyte Study Site** *continued*

	Name	Organization/ Project Affiliation	Designation
18	Omar Botuhan	Municipal Local Government Unit	Municipal coordinating team- Deputy area coordinator
19	Jeffrey Balboa	KC-NCDDP	Area coordination team- Community empowerment facilitator
<b>FGD with Barangay Local Government Unit (Barangay Canramos, Tanauan Leyte)</b>			
1	Lynnette Ignacio	Barangay Local Government Unit- Canramos	Barangay kagawad
2	Fred Nirza	Barangay Local Government Unit- Canramos	Barangay kagawad
3	Clenia Pilola	Barangay Local Government Unit- Canramos	Barangay kagawad
4	Nelida Borja	Barangay Local Government Unit- Canramos	Barangay kagawad
5	Roberto Comeo	Barangay Local Government Unit- Canramos	Barangay secretary
6	Ma. Corazon Lanzon	Barangay Local Government Unit- Canramos	Barangay treasurer
7	Jose Angulo Jr.	Barangay Local Government Unit- Canramos	Punong barangay
8	Amado Martija Jr.	Barangay Local Government Unit- Canramos	Barangay kagawad
<b>FGD with Community Volunteers of KALAHY-CIDSS and Other GPBP Projects (Barangay Canramos, Tanauan Leyte)</b>			
1	Epifania Olino	KALAHY-CIDSS	Subproject preparation team member
2	Rey Lauzon	KALAHY-CIDSS	Monitoring and inspection team chairperson
3	Eleonor Magayones	KALAHY-CIDSS	Audit and inventory team member
4	Nimfa Caneda	KALAHY-CIDSS	Audit and inventory team member
5	Alona Boco	KALAHY-CIDSS	Subproject preparation team member
6	Antonia Cruz	-	-
7	Roque Rebano	KALAHY-CIDSS	Subproject preparation team member and bids and awards committee chairperson

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### Participants at the Tanuan, Leyte Study Site *continued*

	Name	Organization/ Project Affiliation	Designation
8	Gilda Udtohan	KALAH-CIDSS	Procurement team secretary
9	Almera Cinco	KALAH-CIDSS	Bids and awards committee team member
10	Rebecca Mendoza	KALAH-CIDSS	Barangay subproject management committee head
11	Paleyтина Varona	KALAH-CIDSS	Monitoring and inspection team member
12	Corazon Nova	School	Day care worker
13	Arceli Sentillas	Pantawid Pamilya Program	Parent leader
14	Rosario Gomez	KALAH-CISS	Procurement team treasurer
15	Kenneth Villegas	CSO/SPAWN Organization	Representative
16	Adolfo Suyom	Barangay Local Government Unit-Canramos	Barangay tanod
17	Jimmy Eguillos	Pantawid Pamilya Program	Care taker, Pantawid Pamilya beneficiary
18	Ariel Mercado	-	Volunteer worker
19	Aries Laurino		Volunteer worker
20	Danilo Udtohan		Volunteer worker
21	Petronilla Doroja	KC-NCDDP	Area coordinating team-Community empowerment facilitator
22	Evangeline Amenario	KC-NCDDP	Area coordinating team-Community empowerment facilitator
23	Jeffrey Dandan	KC-NCDDP	Municipal coordinating team-Community empowerment facilitator
24	Maria Lolita Gropit	KC-NCDDP	Area coordinating team-Community empowerment facilitator
25	Rina Balagbis	KC-NCDDP	Area coordinating team-Community empowerment facilitator
<b>FGD with Barangay Local Government Unit (Barangay San Isidro, Tanuan Leyte)</b>			
1	Ramel Soyosa	Barangay Local Government Unit-San Isidro	Punong barangay
2	Eufresnio Arcena, Jr.	Barangay Local Government Unit-San Isidro	Barangay kagawad

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**Participants at the Tanauan, Leyte Study Site** *continued*

	Name	Organization/ Project Affiliation	Designation
3	Diosdado Reynera	Barangay Local Government Unit-San Isidro	Barangay kagawad
4	Romeo Olayear	Barangay Local Government Unit-San Isidro	Barangay secretary
5	Rina Balagbis	KC-NCDDP	Area coordinating team-Community empowerment facilitator
6	Maria Loreta Gropel	KC-NCDDP	Area coordinating team-Community empowerment facilitator
<b>FGD with Community Volunteers of KALAHY-CIDSS and Other GPBP Projects (Barangay San Isidro, Tanauan Leyte)</b>			
1	Irene Maceda	KALAHY-CIDSS	Subproject preparation team member
2	Loreza Perante	KALAHY-CIDSS	Participatory situation analysis (PSA) volunteer
3	Judith Dacoco	KALAHY-CIDSS	Bookkeeper
4	Norma Tobe	KALAHY-CIDSS	Operations and maintenance team head
5	Rima Avila	KALAHY-CIDSS	Operations and maintenance team member
6	Teresta Labceres	KALAHY-CIDSS	PSA volunteer
7	Wilfredo Daya-on	KALAHY-CIDSS	Monitoring and inspection team chairperson
8	Luz Bernal	KALAHY-CIDSS	Procurement team member
9	Marilyn Cabiol	KALAHY-CIDSS	Procurement team member
10	Evelyn Cana	KALAHY-CISS	Barangay subproject management committee head
11	Johnrey Madera	KALAHY-CIDSS	Subproject preparation and bids and awards team member
12	Maricel Manliquez	KALAHY-CIDSS	Project implementation team member
13	Rodrigo Cunanan	KALAHY-CIDSS	PSA volunteer
14	Silvestre Badua	Barangay Local Government Unit- San Isidro	Sangguniang kabataan chairman
15	Maria Loreta Gropel	KC-NCDDP	Area coordinating team-Community empowerment facilitator

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### Participants at the Tanuan, Leyte Study Site *continued*

	Name	Organization/ Project Affiliation	Designation
<b>Briefing and FGD with the Municipal Action Team</b>			
1	Nestor Navarro	KC-NCDDP	Technical facilitator
2	Luz Maderano	KC-NCDDP	Area coordinating team-Area coordinator
3	Renalyn Paroni	KC-NCDDP	Area coordinating team-Community empowerment facilitator
4	Mary Joy Clarence Yu	Pantawid Pamilya Program	Municipal link
5	Juliet Terceno	Pantawid Pamilya Program	Municipal link
6	Ma. Cenona Ortil	Pantawid Pamilya Program	Municipal link
7	April Janice Cahayag	Pantawid Pamilya Program	Social welfare assistant
8	Elvin Alcones	KC-NCDDP	Area coordinating team-Community empowerment facilitator
9	Rosalia Cabias	KC-MCC	Area coordinating team-Community empowerment facilitator
10	Lenneth Soyosa	Department of Interior and Local Government	Staff
11	Alan Buglo	Department of Interior and Local Government	Municipal local government operations officer II
12	Chat Odusa	Department of Interior and Local Government	Municipal local government operations officer IV

-- = not available, CSO = civil society organization, FGD = focus group discussion, KALAHÍ-CIDSS = KALAHÍ Comprehensive and Integrated Delivery of Social Services, KC-MCC = KALAHÍ-CIDSS-Millennium Challenge Corporation, KC-NCDDP = KALAHÍ-CIDSS-National Community-Driven Development Program.

Note: Some participants participated in more than one FGD.

Source: Author compilation, 2015.

**Participants at the Capalonga, Camarines Norte Study Site  
in Focus Group Discussions**

	Name	Organization/ Project Affiliation	Designation
<b>Briefing and FGD with Area Coordinating Team</b>			
1	Abel Joshua C. Pielago	KC-NCDDP	Area coordinating team- Community empowerment facilitator
2	Ana Rose P. Castaneda	KC-NCDDP/PAMANA	Area coordinating team- Community empowerment facilitator
3	Jeffrey Villafuerte	KC-NCDDP/PAMANA	Area coordinating team- Community empowerment facilitator
4	Al B. Labios	KC-NCDDP	Area coordinating team- Community empowerment facilitator
5	Michael F. Brizuela	KC-NCDDP	Area coordinating team- Community empowerment facilitator
6	Christine A. Efono	KC-NCDDP	Area coordinating team- Community empowerment facilitator
7	Judith B. Belen	KC-NCDDP/PAMANA	Area coordinating team- Community empowerment facilitator
8	Renner R. Nipas	KC-NCDDP	Area coordinating team- Community empowerment facilitator
9	Elanie A. Flores	KC-NCDDP	Area coordinating team- Community empowerment facilitator
10	Karen O. Pante	KC-NCDDP	Area coordinating team- Community empowerment facilitator
11	Anna Aiza E. Ferreras	KC-NCDDP	Area coordinating team-Deputy area coordinator
12	Judyl H. Bulaloc	KC-NCDDP/PAMANA	INFA
13	Jonathan F. Navarro	KC-NCDDP	Area coordinating team- Community empowerment facilitator
14	Marilou C. Salvio	KC-NCDDP SRPMO	Community development officer III
15	Maria Lilibeth Gargante	KC-NCDDP SRPMO	Community development officer III
16	Donna Osiaz	KC-NCDDP RPMO	Community development analyst

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### Participants at the Capalonga, Camarines Norte Study Site *continued*

	Name	Organization/ Project Affiliation	Designation
<b>FGD Barangay Local Government Unit (Barangay Tanauan, Capalonga)</b>			
1	Maribel Inopia	BLGU-Tanauan, Capalonga	Barangay secretary
2	Catherine T. Dioquino	BLGU-Tanauan, Capalonga	Barangay treasurer
3	Corazon A. Endrano	DepEd	Teacher- 1
4	Melodie T. Nasayao	DepEd	Teacher- 1
5	Marlon B. Gaudia	BLGU-Tanauan, Capalonga	Kagawad
6	Wilfredo C. Cereno	Vice DDC	Kagawad
7	Elsa M. Ruvivar	BLGU-Tanauan, Capalonga	Kagawad
8	Delia A. Tulagan	BLGU-Tanauan, Capalonga	Kagawad
9	Emelda V. Rafer	BLGU-Tanauan, Capalonga	Kagawad
10	Ramy R. Raviz	BLGU-Tanauan, Capalonga	Punong barangay
11	Marilou C. Salvio	KC-NCDDP SRPMO	Community development officer III
12	Michael F. Brizuela	KC-NCDDP	Area coordinating team- Community empowerment facilitator
13	Ariel M. Posadas	DSWD FO 5	Social welfare officer III- convergence
14	Myra G. Serrano	DSWD FO 5	Project development officer-III
15	Lean O. Sanoro	DSWD Pantawid Pamilya	Municipal link
16	Jeffrey Villafuerte	KC-NCDDP/PAMANA	Area coordinating team- Community empowerment facilitator
17	Jose Bonifacio	KC-NCDDP	Area coordinating team-Area coordinator
<b>FGD with Community Volunteers of KALAH!-CIDSS and Other Bottom-Up Budgeting Projects (Barangay Tanauan, Capalonga)</b>			
1	Elmer T. de los Reyes	KC-PAMANA	Barangay representation team member
2	Nelia N. Tatit	KC-PAMANA	Subproject implementation team member
3	Zenaida A. Pedir	KC-PAMANA	Grievance redress system member
4	Delia M. Ruvivar	KC-PAMANA	Bookkeeper
5	Violeta A. Braw	KC-PAMANA	Monitoring and inspection team member

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Participants at the Capalonga, Camarines Norte Study Site *continued*

	Name	Organization/ Project Affiliation	Designation
6	Gemma C. Vega	Pantawid Pamilya Program	Pantawid Pamilya beneficiary
7	Norlaila B. Buenavent	KC-PAMANA	Barangay representation team member and Pantawid Pamilya beneficiary
8	Emma B. Romano	Pantawid Pamilya Program	Pantawid Pamilya beneficiary
9	Rommel M. Negado	KC-PAMANA	Barangay representation team member and Pantawid Pamilya beneficiary
10	Rowena L. Jegson	KC-PAMANA	Audit and inventory team member and Pantawid Pamilya beneficiary
11	Thelma T. Talento	KC-PAMANA	Procurement team member and Pantawid Pamilya beneficiary
12	Jose M. Romano	KC-PAMANA	Project implementation team member
13	Jocelyn Rios	KC-PAMANA	Barangay subproject management committee chairperson
14	Julieta Rios	Pantawid Pamilya Program	Pantawid Pamilya beneficiary
15	Erlinda Villar	Pantawid Pamilya Program	Pantawid Pamilya beneficiary
16	Rosalyn R. Mirabueno	Pantawid Pamilya Program	Pantawid Pamilya beneficiary
17	Mydria C. Caunto	KC-PAMANA	
18	Terisita Dasco	KC-PAMANA	Monitoring and inspection team member
19	Francisco Raviz	KC-PAMANA	Project implementation team member
20	Edgar Dianela	Pantawid Pamilya Program	Pantawid Pamilya beneficiary
21	Danilo G. Rafier	KC-PAMANA	Bids and awards committee member
22	Tomas Vega	KC-PAMANA	Project implementation team member
23	Edwin Salvador	–	–
24	Rosa Salvador	–	–
25	Maretis Salvador	–	–
26	Shirly Garido	–	–
27	Donna Osiaz	KC-NCDDP RPMO	Community development officer
28	Maria Lilibeth Gargante	KC-NCDDP SRPMO	Community development officer III

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### Participants at the Capalonga, Camarines Norte Study Site *continued*

	Name	Organization/ Project Affiliation	Designation
<b>Briefing and FGD with the Municipal Action Team</b>			
1	Judith B. Belen	KC-NCDDP/PAMANA	Area coordinating team- Community empowerment facilitator
2	Christine A. Efondo	KC-NCDDP	Area coordinating team- Community empowerment facilitator
3	Ana Rose P. Castaneda	KC-NCDDP/PAMANA	Area coordinating team- Community empowerment facilitator
4	Richmond M. Realingo	Pantawid Pamilya Program	Monitoring and evaluation officer
5	Ariel Posadas	Convergence Unit	Social welfare officer-II
6	Myra G. Serrano	Sustainable Livelihood Program	Project development officer II
7	Jhona C. Arcilla	Pantawid Pamilya Program	Social welfare assistant
8	Lean D. Salcedo	Pantawid Pamilya Program	Municipal link
9	Marissa Neo-Herico	Pantawid Pamilya Program	Social welfare assistant
10	Michael F. Brizuela	KC-NCDDP	Area coordinating team- Community empowerment facilitator
11	Jose Bonifacio	KC-NCDDP	Area coordinating team-Area coordinator
12	Donna Osiaz	KC-NCDDP RPMO	Community development analyst
13	Maria Lilibeth Gargante	KC-NCDDP SRPMO	Community development officer III
14	Marilou C. Salvino	KC-NCDDP SRPMO	Community development officer III
15	Abel Joshua C. Pielago	KC-NCDDP	Area coordinating team- Community empowerment facilitator
16	Elanie A. Flores	KC-NCDDP	Area coordinating team- Community empowerment facilitator
17	Anna Aiza E. Ferreras	KC-NCDDP	Area coordinating team- Community empowerment facilitator
18	Jeffrey Villafuerte	KC-NCDDP/PAMANA	Area coordinating team- Community empowerment facilitator

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**Participants at the Capalonga, Camarines Norte Study Site** *continued*

	Name	Organization/ Project Affiliation	Designation
19	Renner R. Nipas	KC-NCDDP	Area coordinating team- Community empowerment facilitator
20	Al B. Labios	KC-NCDDP	Area coordinating team- Community empowerment facilitator
<b>FGD Barangay Local Government Unit (Barangay Alayao, Capalonga)</b>			
1	Santiago Valdez	BLGU-Alayao, Capalonga	Punong barangay
2	Lea P. Batas	BLGU-Alayao, Capalonga	Barangay secretary
3	Marian V. Lamadrid	BLGU-Alayao, Capalonga	Barangay treasurer
4	Gina Y. Vladez	BLGU-Alayao, Capalonga	Kagawad
5	Dolores T. Rubia	BLGU-Alayao, Capalonga	Kagawad
6	Ramil B. Tagala	BLGU-Alayao, Capalonga	Kagawad
7	Dominador D. Pablo	BLGU-Alayao, Capalonga	Kagawad
8	Ernie T. Herrero	BLGU-Alayao, Capalonga	Kagawad
9	Elizabeth O. Rawat	BLGU-Alayao, Capalonga	–
10	Estrella A. Retiro	Capalonga College	President, Capalonga College
11	Armando P. Lamadrid	DepEd, Gonzalo Ager High School	Teacher-II
12	Roderco E. Paor	DepEd, Talento-Roll Elem. School	Teacher-I
13	Nemensio B. Rosin	BLGU-Alayao, Capalonga	Kagawad
14	Paquito T. Sueves Jr.	BLGU-Alayao, Capalonga	Kagawad
<b>FGD with Community Volunteers of KALAHI-CIDSS and Other GPBP Projects (Barangay Alayao)</b>			
1	Ma. Teresa Roel	KC-PAMANA	Bookkeeper and Pantawid Pamilya beneficiary
2	Lea Malate	KC-PAMANA	Monitoring and inspection team member
3	Rosario Voquas	KC-PAMANA	Procurement team member
4	Ledine S. del Valle	KC-PAMANA	Procurement team member
5	Medina R. Esperialla	KC-PAMANA	Monitoring and inspection team member

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### Participants at the Capalonga, Camarines Norte Study Site *continued*

	Name	Organization/ Project Affiliation	Designation
6	Teresita R. Casals	KC-PAMANA	Monitoring and inspection team head
7	Elizabeth O. Ranat	–	–
8	Sonia Suzana Odacena	KC-PAMANA/Pantawid Pamilya	Project implementation team member and parent leader
9	Clara Hernandez	KC-PAMANA	Bids and awards committee member
10	Teodora Rawat	KC-PAMANA/Pantawid Pamilya	Project implementation team member and parent leader
11	Claire M. Bonior	KC-PAMANA	Subproject preparation team member
12	Jennalyn Ai Quario	Pantawid Pamilya Program	Parent leader
13	Racel S. Roldan	KC-PAMANA/Pantawid Pamilya	Project implementation team member and parent leader
14	Waldermar Alarcon	KC-PAMANA	Barangay subproject management committee chairman
15	Ramir G. Roll	KC-PAMANA	Barangay representation team member
16	Elizabeth R. Quario	KC-PAMANA	Purok leader
17	Nelia R. Rawat	Pantawid Pamilya Program	Parent leader
18	Glacia R. Edna	Pantawid Pamilya Program	Pantawid Pamilya program beneficiary
19	Veronica Rumpag	KC-PAMANA	Audit and inventory team member
20	Marissa Neo-Herico	Pantawid Pamilya Program	Social welfare assistant
21	Marites Rawat	KC-PAMANA	–
22	Maria Lilibeth Gargante	KC-NCDDP SRPMO	Community development officer III
23	Donna Osiaz	KC-NCDDP RPMO	Community development analyst
24	Michael F. Brizuela	KC-NCDDP	Area coordinating team-Community empowerment facilitator
25	Jeffrey Villafuerte	KC-NCDDP/PAMANA	Area coordinating team-Community empowerment facilitator
26	Karen O. Pante	KC-NCDDP	Area coordinating team-Community empowerment facilitator

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**Participants at the Capalonga, Camarines Norte Study Site** *continued*

	Name	Organization/ Project Affiliation	Designation
<b>Interview with Agency Representatives (Municipality of Capalonga, Camarines Norte)</b>			
1	Melinda R. Lapak	DSWD	Social welfare officer
2	Mary Jean M. Edep	Municipal Planning and Development Office	Administrative assistant II
<b>FGD with Municipal Inter-Agency Committee/Local Poverty Reduction Action Team</b>			
1	Mary Jean Edep	Municipal Planning and Development Office	Administrative assistant I
2	Brenda N. Uwag	Department of Budget and Management	Budgeting aide
3	Abner R. Rawat	Human Resource Management Office	Administrative officer
4	Juan R. Enero	Sangguniang Bayan Office	Sangguniang bayan member
5	Marites D. Orfit	Municipal Accounting Office	Accountant III
6	Wilfredo Caldif	Municipal Engineering Office	Municipal engineer
7	Abelardo B. Literal	Municipal Disaster Risk Reduction Management Office	Municipal admin for operation
8	Halsey V. Orit	Municipal Agriculturist Office	Municipal agriculturist
9	Rodrigo E. Rawlt	Municipal Local Government Unit-Capalonga	Bottom-up budgeting focal person
10	Gemma B. Camado	Barangay Development Council	Barangay development council vice-chairperson
11	Jimmy B. Alfuerte	Municipal Local Government Unit-Capalonga	Municipal civil registrar
12	Julian O. Portugal Jr.	Sangguniang Bayan Office	Sangguniang bayan member (Chairperson for appropriation)
13	Daniel B. Fuentes Sr.	KMMC	President
14	Dina P. Joven	Pamilya Pilipino Program	Municipal link
15	Elma C. Lapak	Municipal Local Government Unit-Capalonga	Cashier II
16	Zyra Abanes	Department of Interior Local Government-Capalonga	Department of interior local government clerk
17	Melinda R. Lapak	Municipal Social Welfare and Development Office	Social welfare officer I
18	Judith B. Belen	KC-NCDDP/PAMANA	Area coordinating team-Community empowerment facilitator

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### Participants at the Capalonga, Camarines Norte Study Site *continued*

	Name	Organization/ Project Affiliation	Designation
19	Marianne Marcilla	Municipal Local Government Unit-Capalonga	Municipal coordinating team-Community empowerment facilitator
20	Elanie A. Flores	KC-NCDDP	Area coordinating team-Community empowerment facilitator
21	Al B. Labios	KC-NCDDP	Area coordinating team-Community empowerment facilitator
22	Asina Anes P. Castaneda	KC-NCDDP	Area coordinating team-Community empowerment facilitator
23	Jose Bonifacio	KC-NCDDP	Area coordinating team-Community empowerment facilitator
24	Christine A. Efondo	KC-NCDDP	Area coordinating team-Community empowerment facilitator
25	Abel Joshua C. Pielago	KC-NCDDP	Area coordinating team-Community empowerment facilitator
26	Judyl U. Bulabre	KC-NCDDP	Municipal financial analyst
27	Marilou C. Salvino	KC-NCDDP SRPMO	Community development officer III
<b>FGD and Exit Conference with URPMT</b>			
1	Jaygee J. Masaisaque	KC-NCDDP	Social welfare officer II/Regional program coordinator
2	Marilou M. Palacio	Regional Convergence Coordination Office	Regional convergence coordinator
3	Emerson N. Moral	KC-MCC	Deputy regional project manager
4	Janette C. Bellen	KC-NCDDP RPMO	Regional community development specialist
5	Donna Osiaz	KC-NCDDP RPMO	Community development analyst

-- = not available, CSO = civil society organization, FGD = focus group discussion, KALAHÍ-CIDSS = KALAHÍ Comprehensive and Integrated Delivery of Social Services, KC-MCC = KALAHÍ-CIDSS-Millennium Challenge Corporation, KC-NCDDP = KALAHÍ-CIDSS-National Community-Driven Development Program.

Note: Some participants participated in more than one FGD.

Source: Author compilation, 2015.

### Research Team

	Name	Organization/ Project Affiliation	Designation
1	Yukiko Ito	ADB	Social development specialist
2	Raul Gonzalez	ADB	Community-driven development consultant
3	Melanie Guevarra	ADB	Knowledge management consultant
4	Tricia Rona Maligalig	KC-NCDDP NPMO	Deputy national M&E specialist
5	Mark Catague	KC-NCDDP –RPMO	Monitoring and evaluation officer III, DSWD field office VI
6	Charlotte A. Canda	KC-NCDDP	Monitoring and evaluation officer III, DSWD field office Caraga
7	Carlota Davacol	KC-NCDDP	Monitoring and evaluation officer II, DSWD field office VIII
8	Janette C. Bellen	KC-NCDDP RPMO	Regional community development specialist, DSWD field office V

ADB = Asian Development Bank, DSWD = Department of Social Welfare and Development, KC-NCDDP = KALAHI-CIDSS–National Community-Driven Development Program, M&E = monitoring and evaluation, NPMO = National Program Management Office, RPMO = Regional Program Management Office.

Source: Author compilation, 2015.



## APPENDIX 3

# Description of Study Sites

## Municipal Profile of San Remigio, Antique

San Remigio is one of the municipalities in the province of Antique. It is a third-class municipality. According to the 2010 census, it has a population of 30,446 people.

Visaya is the dominantly spoken language by the people of San Remigio.

### *Physical Characteristics*

**Location.** The Municipality of San Remigio is about 21 kilometers (km) (13 miles) northeast of the provincial capital, San Jose de Buenavista. It has a land area of 33,650 hectares (100,570 acres), almost 70% of which are mountainous. The remaining 30% comprises flat lowland and rolling hills. Agriculture occupies 47.815 square kilometers (km<sup>2</sup>) of land.

**Number of *barangays*.** The municipality has 45 *barangays* (16 urban, 29 rural)

**Predominant livelihoods.** These include farming (rice, vegetables, crops), livestock, and poultry production. Other residents work as vendors, drivers, bamboo weavers, government employees, and laborers in private companies in the mining and construction sectors.

**Mode of travel.** The mode of travel in and out of the municipality is by all types of vehicles. Within the municipality, people walk or travel by motorcycle.

**Peace and order situation.** There are 10 upland *barangays* affected by insurgency, while the remainder of the *barangays* are peaceful.

### **History of Involvement in KALAHI-CIDSS and the Bottom-Up Budgeting Program**

KALAHI-CISS first entered San Remigio in January 2012 through the Millennium Challenge Corporation (MCC). The KC-NCDDP began operations in October 2014 in the municipality, and is currently being implemented.

On the other hand, the Bottom-Up Budgeting (BUB) program was introduced into the municipality in 2013. With regard to implementation, most of the 2013 BUB projects have already been completed.

## Barangay Profile of Bagumbayan

### Physical Characteristics

**Location and mode of travel.** Barangay Bagumbayan is 7 km from the poblacion. It is accessible by all kinds of vehicles during the dry season, but by motorcycle and by foot during the rainy season.

**Population.** The village has 780 families (162 households). The village residents live in two sitios (neighborhoods).

**Predominant livelihoods.** These include farming and vending.

**Peace and order situation.** The *barangay* is generally peaceful.

### History of Involvement in KALAHI-CIDSS

From 2013 to date, the village has received funding from the KALAHI-CIDSS program for two projects. Details are provided in the table below.

	Project	Cycle/Funder	Status
1	Construction of a 36-meter hanging footbridge	KC MCC-1	Completed
2	Construction of a 24-meter box type vented spillway	KC MCC-3	To be implemented

### History of Involvement in the Bottom-Up Budgeting Program

From 2013 to date, the village has received funding from the BUB program for one project. Details are provided in the table below.

	Project	Funding Agency	Status
1	Repair and rehabilitation of farm-to-market road	Department of Agriculture	Completed

### History of Involvement in the Pantawid Pamilya and Sustainable Livelihood Programs

There are 40 beneficiary-households of the Pantawid Pamilya program and 43 beneficiary-households of the Sustainable Livelihood Program (SLP) in the *barangay*.

## Barangay Profile of Sinundolan

### Physical Characteristics

**Location and mode of travel.** Barangay Sinundolan is an interior *barangay*. It is accessible by public utility jeep and motorcycle.

**Population.** Sinundolan has a total population of 1,820 with 349 households living in seven *puroks* (neighborhoods).

**Predominant livelihoods.** These are farming and vending.

**Peace and order situation.** The *barangay* is generally peaceful.

### History of Involvement in KALAHI-CIDSS

From 2013 to date, the village has received funding from the KALAHI-CIDSS program for two projects. Details are provided in the table below.

	Project	Cycle/Funder	Status
1	Construction of 25-meter hanging footbridge	KC MCC-1	Completed
2	Construction of one unit of three-classroom elementary-school building with amenities and hauling	KC MCC-3	To be implemented

### History of Involvement in the Bottom-Up Budgeting Program

From 2013 to date, the village has received funding from the BUB program for one project. Details are provided in the table below.

	Project	Funding Agency	Status
1	Water Supply	Department of Interior and Local Government	Completed

### History of Involvement in the Pantawid Pamilya and Sustainable Livelihood Programs

There are 176 Pantawid Pamilya beneficiary households in the *barangay*, of which 40 have availed of community-based livelihood assets from the SLP funded by Yolanda rehabilitation. There are three additional non-Pantawid Pamilya members that have availed of the SLP. They were Pantawid Pamilya beneficiaries before, but have now been delisted because they have no children below 18 years old and already have income above the poverty threshold.

## Municipal Profile of Veruela, Agusan del Sur

Veruela is considered the oldest town of upper Agusan del Sur. It is a second-class municipality. According to the 2010 census, it has a population of 40,457 people.

It is believed that Veruela got its name from the word “virus.” This happened in the later part of the 18th century when Spanish missionaries arrived in the area by chance, and found

the resident tribes suffering from smallpox and cholera. The name Veruela is derived from the Spanish word *la verus*.

Members of the Manobo tribe later moved to Manning (better known as “Linongsuran”) along the Agusan River. However, the great earthquake of 1916 destroyed the Manobo settlement and erased Linongsuran from the map of Agusan Province, leaving no trace of the settlement. The survivors evacuated and reorganized themselves into what is now the *barangay* poblacion of Veruela.

Cebuano or Visaya is the dominantly spoken language by the people of Veruela.

### *Physical Characteristics*

**Location.** Veruela is one of 13 municipalities in landlocked Agusan del Sur province. It is located 99.36 km from Prosperidad, the capital town of Bunawan. To the east is the municipality of Sta. Josefa, to the west is the municipality of Loreta, and to the south is the municipality of Laak, Compostela Valley.

The municipality of Veruela has a silent dispute with the nearby province of Compostela Valley regarding its boundary in Barangay Del Monte.

**Number of *barangays*.** The municipality has 20 *barangays* (4 urban, 16 rural).

**Predominant livelihoods.** Veruela is an agricultural municipality with vast agricultural and fertile lands planted with rice, corn, rubber, banana, coconut and other crops. 53.76% of Veruela’s total land area is classified as agricultural area, wherein 40.46% are planted of different crops. Rice is the dominant single crop in terms of hectares utilized.

**Mode of travel.** People travel in and out of the municipality by public bus. Within the municipality, the motorcycle is the primary mode of transport.

**Peace and order situation.** The presence of the New People’s Army (NPA) has been reported in some *barangays* in the municipality, but no encounter with them or other threats have been recorded.

### *History of Involvement of KALAHY-CIDSS and the Bottom-Up Budgeting Program*

The KALAHY-CIDSS program first entered Veruela in 2010. The municipality is considered a conflict-affected area and has been a recipient of the Department of Social Welfare and Development (DSWD)–managed Payapa at Masanang Pamayanan (PAMANA) Program. It is also a recipient of the DSWD–managed assistance for school buildings and day care centers funded by Australia’s Department of Foreign Affairs and Trade. Its implementation is considered to be on target with most KALAHY-CIDSS–funded projects in that it has been assessed as being operational and functioning.

On the other hand, the BUB program was introduced into the municipality in 2013. Most of the BUB projects in the municipality are administered by the Department of Agriculture. Implementation by the Department of Interior and Local Government (DILG) is ongoing.

## Barangay Profile of Sisimon

### *Physical Characteristics*

**Location and mode of travel.** Barangay Sisimon is an interior *barangay* accessible by motorcycle, and is about 2 hours away from the poblacion.

**Population.** The *barangay* has a population of 662 people who live in five puroks.

**Predominant livelihoods.** These include farming and other agricultural livelihoods.

**Peace and order situation.** The *barangay* has a boundary conflict/territorial dispute with Agusan del Sur versus Compostela Valley Province on the Davao City side.

### History of Involvement in KALAHI-CIDSS

From 2012 to date, the village has received funding from the KALAHI-CIDSS program for five projects. Details are provided in the table below.

	Project	Cycle/Funder	Status
1	Potable water system level II (pump driven)	KALAHI-CIDSS-1	Operational
2	1 unit day care center	KALAHI-CIDSS Additional Finance	Operational
3	Concrete pavement solar drier	KC PAMANA-1	Operational
4	Installation of 11 units solar power streetlights	KC PAMANA-2	Operational
5	Installation of 16 units solar power streetlights	KC PAMANA-3	Operational

### History of Involvement in the Bottom-Up Budgeting Program

From 2013 to date, the village has received funding from the BUB program for one project. Details are provided in the table below.

	Project	Funding Agency	Status
1	Barangay Sisimon rainwater harvester	Department of Interior and Local Government	For implementation

### History of Involvement in the Pantawid Pamilya and Sustainable Livelihood Programs

There are 41 beneficiary households of the Pantawid Pamilya program in the *barangay*. The Self-Employment Assistance–*Kaunlaran* (SEA-K) has been organized in the *barangay* and it has 15 household beneficiaries.

## Barangay Profile of La Fortuna

### Physical Characteristics

**Location and mode of travel.** Barangay La Fortuna is an urban *barangay*. It is accessible by motorcycle and is only 30 minutes away from the poblacion of Veruela.

**Population.** The *barangay* has a population of 5,318 who live in 13 puroks.

**Predominant livelihood:** rice farming.

**Peace and order situation.** The *barangay* is a conflict-free community.

### History of Involvement in KALAHI-CIDSS

From 2012 to date, the village has received funding from the KALAHI-CIDSS program for three projects. Details are provided in the table below.

	Project	Cycle/Funder	Status
1	1 unit multipurpose building	KC PAMANA-1	Operational
2	Construction of concrete pavement solar drier	KC PAMANA-2	Operational
3	Construction of 1 unit multipurpose building	KC PAMANA-3	Operational

### History of Involvement in the Bottom-Up Budgeting Program

From 2013 to date, the village has received funding from the BUB program for three projects. Details are provided in the table below.

	Project	Funding Agency	Status
1	Construction of La Fortuna–Caigangan farm-to-market road	Department of Agriculture (DA) (2013)	Ongoing
2	Organic production of one plant in La Fortuna	DA (2014)	For Implementation
3	Barangay La Fortuna rescue equipment	Department of Interior and Local Government (2015)	For Implementation

### History of Involvement in the Pantawid Pamilya and Sustainable Livelihood Programs

There are 322 household beneficiaries of Pantawid Pamilya in the *barangay*. There are 18 organizations and 100 household beneficiaries for the SEA-K.

## Municipal Profile of Tanauan, Leyte

Tanauan is one of the oldest towns in the province of Leyte, Philippines dating back to 1710. It is a second-class municipality. According to the 2010 census, it has a population of 50,119 people. The town was given the title “cradle of the intellectuals” (Bungto Han Kamag-araman) during the Spanish colonial period. The town was heavily damaged by Typhoon Haiyan in November 2013.

Waray-Waray, which is the Eastern Visayas’s native language is the main language spoken by the people of Tanauan.

### *Physical Characteristics*

**Location.** The Municipality of Tanauan is located along the eastern coast of the island of Leyte, approximately 18 km south of Tacloban City, the provincial capital of Leyte. Tanauan has about 6,800 hectares of land. It is bounded on the north by the municipality of Palo, on the south by the municipality of Tolosa, on the west by the municipalities of Dagami and Tabon-Tabon, and on the east by San Pedro Bay beside the historically famous Leyte Gulf.

**Number of *barangays*.** The municipality has 54 *barangays* (6 urban, 48 rural).

**Predominant livelihoods.** The municipality is primarily agricultural, but industry accounts for a small fraction of total economic activity. Infrastructure and support services, particularly power, water, and transportation and communication are being upgraded.

Of the total land area, about 5,766 hectares (75%) is devoted to agriculture. The remainder is used for inland fishery (1%), settlement and built-up areas (9%), commercial and industrial use (1%), with the remaining 14% considered barren or unproductive.

Of the 5,766 hectares of agricultural land, 2,292 hectares are planted with rice, though only 800 hectares are irrigated. The remainder of the agricultural land area is planted with coconut, corn, root crops, banana, fruit trees, vegetables, and other crops.

The coastal *barangays* are mainly engaged in fishing. Some *bangus* (milkfish) fish pens have been established, but this industry is still considered to be marginal. Thus far, there have been no serious efforts at developing the fishing industry apart from developing and protecting mangrove areas to support the fishing industry.

**Mode of travel.** Tanauan is mainly accessible by land. The public utility jeepney is the primary form of public transportation. Taxis are also available from Tacloban City and the regional airport, but these generally cost more than jeepneys. On the other hand, pedicabs and motor cabs are available when traveling within Tanauan.

**Peace and order situation.** The municipality is considered to be relatively peaceful.

## History of Involvement of KALAHI-CIDSS and the Bottom-Up Budgeting Program

The KALAHI-CIDSS project first entered Tanauan in 2012 with funding from the MCC. It also became a PAMANA area in 2011. Currently, there have been three cycles of the Municipal Inter-Barangay Forum with the third cycle having been convened in 9–10 October 2014. According to the local area coordination team, most of the projects that have been completed are currently operational.

On the other hand, the BUB program was introduced into the municipality in 2013. Only one BUB project—a Department of Agriculture–funded farm-to-market road was completed in 2013. None of the BUB projects earmarked for implementation in 2014 have been implemented. Planning and selection of BUB projects for 2015 is ongoing.

## Barangay Profile of Canramos

### Physical Characteristics

**Location and mode of travel.** Barangay Canramos is a poblacion *barangay*. It is accessible by pedicab and tricycle.

**Population.** The *barangay* has a population of 3,472, with 935 households living in eight zones (neighborhoods).

**Predominant livelihoods.** These include pottery, bamboo craft, and *sari-sari* (variety) stores.

**Peace and order situation.** The *barangay* is peaceful.

### History of Involvement in KALAHI-CIDSS

From 2012 to date, the village has received funding from the KALAHI-CIDSS program for five projects. Details are provided in the table below.

	Project	Cycle/Funder	Status
1	Construction of 266-meter drainage canal made of concrete hollow blocks (CHB) with cover	C1 – Millennium Challenge Corporation (MCC)	Completed
2	Construction of 402-meter CHB drainage canal with cover	C2 –MCC	Ongoing implementation
3	Street lighting	KC-Japan Fund for Poverty Reduction	For implementation
4	Barangay breast-feeding corner	KC-NCDDP	For implementation
5	Drainage canal	KC-NCDDP	For implementation

KC-NCDDP = KALAHI-CIDSS–National Community-Driven Development Program.



### History of Involvement in the Bottom-Up Budgeting Program

From 2014 to date, the village has received funding from the BUB program for one project. Details are provided in the table below.

	Project	Cycle/Funder	Status
1	Road project from Sitio Canmoco, Canramos to Barangay Sto. Niño	DSWD (KC-NCDDP)	For implementation

DSWD = Department of Social Welfare and Development, KC-NCDDP = KALAHI-CIDSS–National Community Driven Development Program.

### History of Involvement with the Pantawid Pamilya and Sustainable Livelihood Programs

There are 105 household beneficiaries of the Pantawid Pamilya Program. There is no SLP operation yet in the *barangay*.

## Barangay Profile of San Isidro

### Physical Characteristics

**Location and mode of travel.** Barangay San Isidro is an interior *barangay*. It is accessible by tricycle and *habal-habal* (motorcycle with extended seat to accommodate more passengers in a row, so called because of the sitting position of backseat riders that simulates copulation from behind).

**Population.** The *barangay* population is 991 people, who live in 244 households in seven zones (neighborhoods).

**Predominant livelihoods.** These include farming, piggery, and *sari-sari* stores.

**Peace and order situation.** The *barangay* is peaceful.

### History of Involvement in KALAHI-CIDSS

From 2012 to date, the village has received funding from the KALAHI-CIDSS program for three projects. Details are provided in the table below.

	Project	Cycle/Funder	Status
1	Construction of 19 units of sanitary toilets	C1 – Millennium Challenge Corporation (MCC)	Completed
2	Road	C3-MCC	For implementation
3	Streetlights	KC-Japan Fund for Poverty Reduction	For implementation

### History of Involvement in the Bottom-Up Budgeting Program

From 2014 to date, the village has received funding from the BUB program for two projects. Details are provided in the table below.

	Project	Cycle/Funder	Status
1	Road project	DSWD (KC-NCDDP)	For implementation
2	Drainage canal	DILG	For implementation

DILG = Department of Interior and Local Government, DSWD = Department of Social Welfare and Development, KC-NCDDP = KALAHI-CIDSS–National Community-Driven Development Program.

### History of Involvement with the Pantawid Pamilya and the Sustainable Livelihood Programs

There are 65 beneficiary households of the Pantawid Pamilya program. There is no SLP operation yet in the *barangay*.

## Capalonga, Camarines Norte

Capalonga is a third-class municipality of Camarines Norte, with a population of 31,299 people (2010 census). Agtas and Dumagats are believed to be the first inhabitants of Apalong, the precursor-village of Capalonga. The name Apalong is derived from a wild plant called *palong manok*, which looks like a rooster's comb. Historical accounts mention that whenever the settlers of Apalong went to other places, they would introduce themselves as "coming from Kapalongan." Historians surmised that these natives were either referring to their place of origin, which has many *palong manok* flowers or they simply wanted identification for their settlement.

In 1572, Captain Juan de Salcedo, the Spanish conquistador, and his men reached the Pacific shores and came upon the Kapalongan settlement. Instead of finding gold, they found abundant wild beautiful red flowers that looked like a rooster's comb. The Spaniards built a church, formed a government, and the village was made a town and officially named Capalonga.

For some years afterward, the Spaniards persisted in mining gold at Capalonga. Their control was described as brutal, harsh, and full of harassment until they finally went away, leaving behind their imprint on the community.

Tagalog is the dominant language spoken by the people of Capalonga.

### Physical Characteristics

**Location.** The municipality of Capalonga is located on the northwestern part of Camarines Norte Province in the Bicol Region, lying between 122° and 123° longitude and between 14° and 15° latitude. It is bounded on the north by Lamon Bay of the Pacific Ocean, on the south by the municipality of Labo, on the west by the municipality of Sta. Elena, and on the east by the municipality of Jose Panganiban.

Capalonga is about 78 km north of Daet, the capital town of Camarines Norte, and about 331 km southeast of Manila. It is classified as a coastal municipality since nine of its *barangays* are situated along the Pacific coast, while five more *barangays* are inundated or can be reached by seawater during high tide. The general terrain of Capalonga is hilly and mountainous, except for its fertile hinterlands and plains along its coastal areas.

**Number of *barangays*.** The municipality has 22 *barangays*, 19 of which are classified as rural, with the remaining 3 *barangays* considered urban.

**Predominant livelihoods.** These include lowland farming, coconut production, and fishing.

**Mode of travel.** Public bus is the primary mode of travel in and out of the municipality. Within the municipality, the primary modes of transport are jeepney, tricycle, motorcycle, and motorboat (to go to the island *barangays*).

**Peace and order situation.** There are reports of NPA presence in some *barangays* in the municipality. It is classified as a conflict-affected area, hence the presence of the PAMANA program in the municipality.

### History of Involvement with the KALAHI-CIDSS Project and the Bottom-Up Budgeting Program

The KALAHI-CIDSS project first entered Capalonga in December 2010. It also became a PAMANA area in 2011. Currently, the KC-NCDDP is being implemented in the municipality.

On the other hand, the BUB program was introduced into the municipality in 2012. Most of the 2013 BUB projects have already been completed, while the 2014 and 2015 BUB projects are still ongoing.

## Barangay Profile of Tanauan

### Physical Characteristics

**Location and mode of travel.** Barangay Tanauan is an urban *barangay*. It is accessible by bus from the main road and is about 1.5 hours by bus and 1 hour by motorcycle from the poblacion.

**Population.** The village has 1,204 residents who live in 194 households. Of these, 52 are indigenous families. The village residents live in five *sitios* (neighborhoods).

**Predominant livelihoods.** These include farming (rice, root crops, and vegetables) and copra production.

**Peace and order situation.** NPA presence has been reported, but this has been countered with the increased visibility of the Philippine armed forces in the *barangay*. No violent clashes have been reported within the village.

### History of Involvement with the KALAHI-CIDSS Project

From 2013 to date, the village has received funding from the KALAHI-CIDSS program for three projects. Details are provided in the table below.

	Project	Cycle/Funder	Status
1	Construction of water system level 2	KALAHI-CIDSS	Nonoperational
2	Construction of streetlights	KC PAMANA 2013	Operational/ minor problems
3	Concreting of pathway	KC PAMANA 2014	Under construction/ delayed

### History of Involvement in the Bottom-Up Budgeting Program

From 2013 to date, the village has received funding from the BUB program for three projects. Details are provided in the table below.

	Project	Funding Agency	Status
1	Agro-forestry	Department of Environment and Natural Resources (DENR) (2013)	Completed
2	Tree planting	DENR (2013)	Completed
3	Four-wheel tractor/ farm implements	Department of Agriculture (2015)	For implementation

### History of Involvement with the Pantawid Pamilya and Sustainable Livelihood Program Initiatives

There are 63 beneficiary households of the Pantawid Pamilya program in the *barangay*. The SLP has not yet started operations in the *barangay*.

## Barangay Profile of Alayao

### Physical Characteristics

**Location and mode of travel.** Alayao is an interior *barangay*. It is accessible by bus, jeepney, van, tricycle, and motorcycle.

**Population.** Alayao has a total population of 789 residents who live in six *sitios*.

**Predominant livelihoods.** These are fishing and farming.

**Peace and order situation.** The *barangay* is generally peaceful, but tensions sometimes arise due to the presence of the NPA and civilian home defense forces.

### History of Involvement in KALAHI-CIDSS

From 2012 to date, the village has received KALAHI-CIDSS funding for two projects. Details are shown in the table below.

	Project	Cycle/Funder	Status
1	Construction of foot bridge	KC PAMANA 2012	Operational
2	Construction of streetlights	KC PAMANA 2013	Operational

### History of Involvement with the Bottom-Up Budgeting Program

From 2013 to date, the village has received funding from the BUB for two projects. Details are presented in the table below.

	Project	Cycle/Funder	Status
1	Construction of fish cages	Department of Agriculture (2013)	Ongoing
2	Mechanical drier	Department of Agriculture (2015)	For implementation

### History of Involvement with the Pantawid Pamilya and Sustainable Livelihood Program Initiatives

There are 203 beneficiary households of the Pantawid Pamilya program in the *barangay*. The Sustainable Livelihood Program has not yet started operations in the *barangay*.

## **Enhancing Community-Driven Development through Convergence** *A Case Study of Household- and Community-Based Initiatives in Philippine Villages*

The study sought to examine the Philippine government's convergence initiative, and how it relates to community-driven development (CDD) that can impact rural communities in the Philippines. Through case studies, the study looked at the interactions among the three major development assistance programs implemented by the Department of Social Welfare and Development (DSWD), namely, KALAHI-CIDSS National CDD Program, Pantawid Pamilya Pilipino Program, and Sustainable Livelihood Program. The study also assessed the coordination between DSWD programs and development interventions of other national government sector agencies. The above two approaches were identified in the study as household-focused and community-focused convergence strategies.

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