



Department of Social Welfare and Development  
**KALAHI CIDSS–NATIONAL COMMUNITY DRIVEN  
 DEVELOPMENT PROGRAM**

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**FOR: THE REGIONAL DIRECTOR**  
 Field Offices CAR, I, III, IV-CaLaBaRZon, IV-MiMaRoPa,  
 V, VI, VII, VIII, IX, X, XI, XII, CARAGA

**ATTENTION: REGIONAL COMMUNITY DEVELOPMENT SPECIALISTS**  
 KC-NCDDP

**FROM: DIRECTOR IV / NATIONAL PROGRAM MANAGER**  
 KALAHI CIDSS – National Community-Driven Development Program

**SUBJECT: Guidance Note on the Enrollment of Municipalities to KC-NCDDP**

**DATE: 28 May 2014**

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We are furnishing you the **Guidance Note on the Enrollment of Municipalities to KC-NCDDP** that shall now be used by all Regional Project Management Offices (RPMOs) in enrolling Municipal Local Government Units into the KC-NCDDP. It includes the following annexes:

- A. Municipal LGU Enrollment Form
- B. Potential Problem Analysis (PPA) Template
- C. Areas of LGU Engagement with the KC-NCDDP for PPA
- D. Sample of Actual Constraints, Potential Problems and Preventive/Mitigating Measures
- E. List of Documents Required from LGU to Complete KC-NCDDP Enrollment
- F. DRAFT General Memorandum of Agreement (General MOA)

The attached document includes inputs from the regional representatives to the SDS Conference Activity held last May 21-24, 2014 in Manila.

For your reference.

Thank you.

*Benilda E. Redaja*  
**BENILDA E. REDAJA**

## **Guidance Note Enrollment of Municipalities into the KC-NCDDP Program**

**27 May 2014**

### **1. Introduction**

The KALAHI CIDSS - National Community-Driven Development Program or KC-NCDDP shall scale up implementation of the Community-Driven Development (CDD) strategy of the Kapit-Bisig Laban sa Kahirapan – Comprehensive and Integrated Delivery of Social Services (KALAHI-CIDSS) Project to 847 municipalities in 43 provinces in 14 regions of the country.

More than simple geographic expansion, the KC-NCDDP is designed around important lessons learned from more than ten (10) years of implementation of the KALAHI-CIDSS Project. The most critical of these lessons, informed by experience in implementing the *Makamasang Tugon (MT or “People’s Response)* pilot in 2008 and the subsequent roll-out on all areas for the sustainability of the KALAHI-CIDSS approach<sup>1</sup>, revolve around ensuring that LGUs of participating municipalities are able to assume the lead role in facilitating CDD, through the recruitment and fielding of technical staff and facilitation teams to support villages in situation analysis and subproject planning.

Lessons from the MT experience show that the efficiency of CDD programs can be enhanced by devolving local implementation to responsive LGUs. A review of the decade-long experience of KALAHI-CIDSS indicates that a number of municipal governments have managed to exceed expectations in their buy-in and support for KALAHI-CIDSS. Other municipal governments have also responded positively to the goals of enhanced governance and improved service delivery, even as they continue to struggle with the adoption of new values, roles, and relationships.

The above positive experiences notwithstanding, more support is needed to institutionalize CDD approaches, given the generally centralized governance styles of local chief executives who are accustomed to making major budget and development decisions by themselves.

The critical role of municipal LGUs in CDD implementation will continue to be highlighted in the KC-NCDDP. In both existing and new municipalities, the following will be expected of participating LGUs:

- create local policy environments that are supportive of community-driven, develop participatory, transparent, and accountable governance;
- provide counterpart contributions, whether cash and/or in-kind, for KC-NCDDP-identified community projects, and for capacity building and implementation support;

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<sup>1</sup> The pilot, which involved implementation of one cycle of KALAHI-CIDSS implementation in 33 municipalities and 782 villages, sought to align community facilitation and participatory processes with the planning and programming processes of municipal local government units (LGUs), thus enabling LGUs to fund community subprojects that had been identified through KALAHI-CIDSS consultation processes.

- form Municipal Coordinating Teams (MCTs) to partner with KC-NCDDP-hired staff, establishment of the Municipal Inter-Agency Committee (MIAC) to support community-level activities, and organization of the Local Poverty Reduction Action Team (LPRAT) to support expanded Municipal Development Councils in local planning;
- monitor implementation of KC-NCDDP development processes, including the construction and Operations and Maintenance (O&M) of community projects; and
- sustain community investments by integrating key CDD process into the Municipal Development Planning process.

These responsibilities will be contained in a Memorandum of Agreement (MOA) that will be executed between the DSWD and the City/Municipality prior to the start of implementation. To enable cities/municipalities to fulfil these roles, KC-NCDDP will provide LGU staff with capacity building in community facilitation and mobilization, project planning, implementation, operations and maintenance, financial management, and other related areas.

## **2. Objectives of the Guidance Note**

This document is intended to provide guidance to the Regional Project Management Office (RPMO) in enrolling municipalities, through their respective Municipal Local Government Units, into the KC-NCDDP.

## **3. Requirements for Enrollment in NCDDP**

There are a variety of differences between municipalities under the KC-NCDDP. The differences are determined either by (i) type (Non-poor Yolanda-Affected, Poor Yolanda-affected, and poor non-Yolanda affected); (ii) modality of implementation for the 1<sup>st</sup> cycle (either using Disaster Response Operations Procedures or DROP in Yolanda-affected areas, or the regular CEAC in non-Yolanda affected areas); (iii) prior experience in CDD under KC (either new municipalities without KC experience, old KC municipalities still to complete four (4) cycles, or old municipalities who have graduated – completed four (4) cycles – from KC), and (iv) context-specific implementation process along key thematic areas (IP, peace and conflict, and others).

### **3.1 Typology of Municipalities**

Due to the different modalities and themes for work under the KC-NCDDP, implementation requirements may be different across municipalities. To facilitate deeper understanding of these contextual differences, the RPMO is advised to prepare a typology of eligible municipalities, to determine how many municipalities fall within a specific type/modality, and how to best design enrollment activities according to type of municipality.

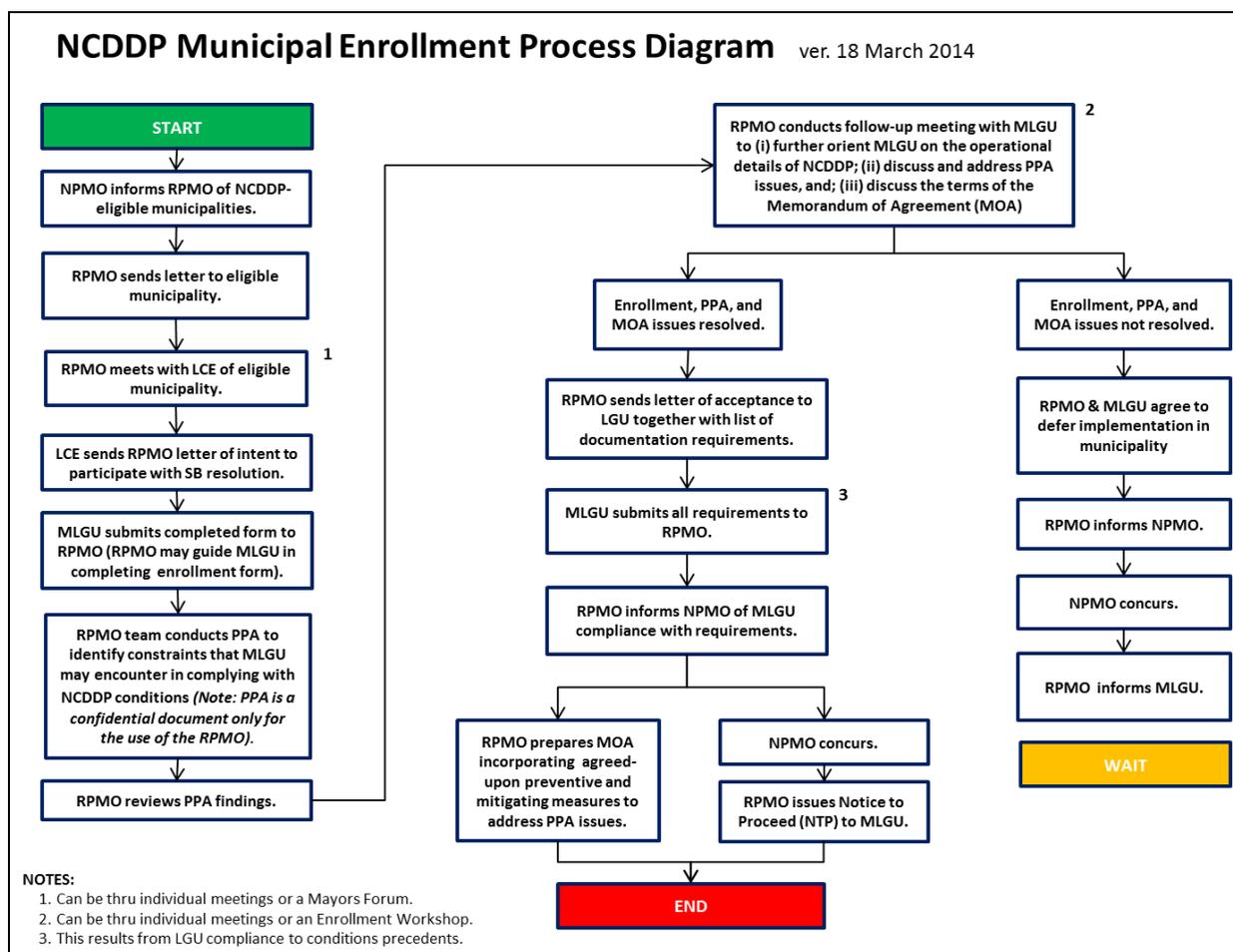
### 3.2 Requirements for Enrollment

The requirements for LGU engagement in the KC-NCDDP are enumerated in the attached enrollment form (*Annex A*).

### 4. Process Flow for MLGU Enrollment

Shown below is the process flow for MLGU enrollment into the KC-NCDDP.

**Figure 1. Process Flow of MLGU Enrollment into the KC-NCDDP**



The NPMO shall provide the RPMO with the official list of municipalities which are eligible for inclusion under the KC-NCDDP. Using this list as reference, and to better inform the RPMO of the nuances in implementation arrangements and the corresponding differences in requirements for startup, the RPMO is advised to study the different typology of LGUs that are within the coverage of the region.

#### **4.1 Meeting with the Municipal Mayor/s**

After receipt of the list of eligible municipalities, the first critical activity in the enrollment process is the meeting between the Municipal Local Chief Executive (LCE or Municipal Mayor) and the KC-NCDDP regional representative. This can be undertaken in one of two ways;

Option 1: One-on-one meeting between the KC-NCDDP RPMO, usually undertaken in regions with few municipalities covered, or as a preparatory activity to;

Option 2: Conduct of a Mayors Forum where the LCE is briefed on the KC-NCDDP and the municipality's obligations as a participant.

If the LCE is favorably disposed to participation, s/he is asked to complete the KC-NCDDP enrollment form (*see Annex A*). This shall be accompanied by a resolution from the Sangguniang Bayan expressing the municipality's intent to participate in the Program, and duly authorizing the LCE to enter into and sign the General Memorandum of Agreement or General MOA, and the Specific Implementation Agreement or SIA, with DSWD, subject to terms agreed upon by both parties.

The enrollment form is then submitted to, and reviewed by the KC-NCDDP Regional Office. The RPMO shall then form a team, to be composed of the (i) Regional Community Development Specialist (RCDS) and his/her deputies; (ii) the Regional Community Infrastructure Specialist (RCIS) and his/her deputies; (iii) the Regional Finance Analyst (RFA) and his/her deputies, and; (iv) the Regional Program Coordinator (RPC), to conduct a Potential Problem Analysis (PPA) of the municipality's preparedness to participate in the KC-NCDDP. In large regions, the RPMO may form different teams to conduct PPA in order to divide the work. However, the RPMO must ensure that each PPA team is composed of RPMO staff from different disciplines.

#### **4.2 Potential Problem Analysis or PPA**

The PPA is a risk assessment exercise, the purpose of which is twofold: (a) to identify the problems and constraints that would prevent candidate LGUs from meeting their KC-NCDDP commitments; and (b) to formulate preventive and/or mitigating measures that will address the identified constraints. The tool/template for the PPA is attached as *Annex B*.

The PPA exercise will revolve around a number of Areas of LGU Engagement with the KC-NCDDP, attached as *Annex C*. The assessment shall be guided by the key question that is posed at the end of each area of LGU engagement, in order to surface constraints that will hinder the LGU from effectively engaging in the KC-NCDDP.

Using the PPA Tool, identified constraints shall be assessed in terms of their "likelihood of occurrence" (high probability, moderate probability, low probability) and "severity of impact" (high impact, moderate impact and low impact). Constraints that are rated high and medium in *both* likelihood of occurrence and severity of impact should be viewed

with particular concern and shall require identification of possible preventive and mitigating measures.

To assist the regional KC-NCDDP team in the conduct of the PPA exercise, a sample of actual constraints faced by LGUs in meeting their KALAHI-CIDSS obligations in the past (as well as possible preventive and mitigating measures to address constraints) have been listed in *Annex D*, as reference.

### **4.3 Enrollment Workshop**

Using the results of the PPA as reference, the RPMO shall then meet with the officials and staff of the LGU to discuss identified constraints, to propose and to negotiate on both preventive and mitigation measures to address the issues and constraints. This workshop can be undertaken in one of two ways;

Option 1: One-on-one meeting between the KC-NCDDP RPMO and the LGU officials and technical staff, usually undertaken in regions with few municipalities covered, or as a preparatory activity to;

Option 2: Conduct of an LGU Enrollment Workshop and Forum, where officials and technical staff from different LGUs are gathered together in one venue, to discuss, either together or individually, the results of the PPA.

Once the constraints identified by the PPA have been resolved and preventive and or mitigation measures are agreed, the Municipal LGU will be asked to submit a set of documentation requirements (*Annex E*). At the same time, the General Memorandum of Agreement (General MOA) attached as *Annex F*, and Specific Implementation Arrangement (SIA) between the LGU and DSWD shall be prepared, incorporating the preventive and mitigating measures that have been identified and agreed upon with the LGU. The General MOA and SIA will be executed during the Municipal Orientation.

Upon receipt of the necessary documents, the RPMO shall inform the NPMO that the LGU has completed all documentation requirements. The NPMO shall then concur before RPMO issues a Notice to Proceed (NTP) to the LGU, thereby completing the enrollment process.

-end-

**List of Annexes**

- A. Municipal LGU Enrollment Form
- B. Potential Problem Analysis (PPA) Template
- C. Areas of LGU Engagement with the KC-NCDDP for PPA
- D. Sample of Actual Constraints, Potential Problems and Preventive/Mitigating Measures
- E. List of Documents Required from LGU to Complete KC-NCDDP Enrollment
- F. DRAFT General Memorandum of Agreement (General MOA)

## Annex A

### MUNICIPAL LGU ENROLLMENT FORM

KALAHI CIDSS - National Community Driven Development Program (KC-NCDDP)

Name of Municipality:			
Province:			
Region:			
Accomplished by:		Designation:	
Approved by:		Designation:	
Date:			

Introductory Note:

*The following describes the key municipal requirements for participation in the KALAHI CIDSS - National Community Driven Development Program (KC-NCDDP). The objective of this form is to inform municipal officials of the commitments required by the KC-NCDDP for your Municipality to be included in the list of candidate municipalities. The form is designed as a tool for you to assess your Municipality's preparedness to participate in the KC-NCDDP, and is ultimately intended to help you decide whether to participate in the Program.*

*Please review the requirements carefully and indicate, by marking on the appropriate column beside each item, whether you agree to commit to deliver these requirements as a condition for the Municipality's Enrollment in the Program. Please note that placing a mark on the "No, we do not agree" column will not be treated as an absolute non-agreement to a specific item. Where you mark "No", you may write on the last column any alternative you may wish to propose instead. Otherwise, the "No" mark will be understood as signifying absolute non-agreement.*

*Should you have any questions or clarifications, please feel free to contact the KC-NCDDP Regional Office, or the KC-NCDDP National Project (Program?) Management Office (NPMO), at the DSWD Central Office, Manila.*

<b>MLGU Enrollment Form</b>				
	<b>Areas of LGU Engagement and Required Commitments</b>	<b>We agree</b>	<b>We disagree</b>	<b>We propose the following alternatives</b>
<b>1</b>	<b>Local Policy Environment -</b> The KC-NCDDP promotes the creation and development of local policy environments that promote transparency in governmental transactions and establish mechanisms that enable citizens to hold government accountable, the prerequisites for people's participation in governance and development. Municipalities that			

<b>MLGU Enrollment Form</b>				
	<b>Areas of LGU Engagement and Required Commitments</b>	<b>We agree</b>	<b>We disagree</b>	<b>We propose the following alternatives</b>
	wish to join the KC-NCDDP must commit to pass relevant ordinances and/or resolutions that support participatory governance in general and the KC-NCDDP Program in particular. These include but are not limited to:			
<b>1.1</b>	Authorization for the LCE to enter into MOA with DSWD on the implementation of the KC-NCDDP, duly approved by the Sangguniang Bayan through resolution.			
<b>1.2</b>	Mainstreaming the principles and mechanisms of People's Participation, Transparency, and Social Accountability in LGU development planning and implementation of poverty reduction programs and projects.			
<b>1.3</b>	Installation of measures for the convergence of National Government Agency (NGA) poverty reduction activities in the municipality.			
<b>1.4</b>	Measures to support barangays in the formulation of their Barangay Development Plans (BDP) and the integration of the BDP into the Municipal Development Plan.			
<b>2.</b>	<b>Information Disclosure -</b> The KC-NCDDP believes that the poor can and must be allowed to make informed choices on what priorities, programs, and plans and activities will best bring about development. Informed choices depend on: (i) the availability of information, (ii) the quality of information, and (iii) how these are shared and analyzed. To participate in the KC-NCDDP, the Municipality must commit to the following:			
<b>2.1</b>	Make accessible relevant information on the state of the Municipality and its LGU including, but not limited to, the following.			
	• Income and expenditure (including			

<b>MLGU Enrollment Form</b>				
	<b>Areas of LGU Engagement and Required Commitments</b>	<b>We agree</b>	<b>We disagree</b>	<b>We propose the following alternatives</b>
	municipal assets that may be tapped to support Project implementation, as well as liabilities that may hinder delivery of counterpart commitments - e.g., loans and commitments to other NGAs and institutions)			
	<ul style="list-style-type: none"> <li>• Budgets, including data and information used for formulating budgets</li> </ul>			
	<ul style="list-style-type: none"> <li>• LGU Plans and activities to address local poverty and development, including data and information used for formulating municipal plans</li> </ul>			
	<ul style="list-style-type: none"> <li>• LGU plans and activities to assess the state of competency of LGU staff, and address competency gaps</li> </ul>			
<b>2.2</b>	Allow community volunteers and other stakeholders to scrutinize, validate and comment on this information.			
<b>3.</b>	<p><b>Local Counterpart Support -</b> The KC-NCDDP implements a cost-sharing scheme that requires the LGUs of participating municipalities to provide counterpart contributions, for two specific purposes: (a) to fund, in part or in whole, the costs of community projects identified by communities; and (b) to fund the costs of trainings and other administrative support. Specifically, municipal LGU obligations in terms of counterpart contributions include;</p>			
<b>3.1</b>	For <b>177 Municipalities</b> , no LCC for community projects shall be required.			
<b>3.2</b>	For <b>377 Municipalities</b> , no LCC for community projects shall be required <b>for the 1<sup>st</sup> cycle in 2014</b> . However, LCC for community projects shall be required for succeeding cycles, according to the following LCC plan;			

MLGU Enrollment Form																		
	Areas of LGU Engagement and Required Commitments	We agree	We disagree	We propose the following alternatives														
	<table border="1"> <thead> <tr> <th>If KC-NCDDP + GPBP funding is...</th> <th>Required LCC is...</th> </tr> </thead> <tbody> <tr> <td>Up to 100% of the LGU LDF</td> <td>10% of the LDF</td> </tr> <tr> <td>Over 100% up to 150% of the LDF</td> <td>15% of the LDF</td> </tr> <tr> <td>Over 150% of the LDF</td> <td>20% of the LDF</td> </tr> </tbody> </table>	If KC-NCDDP + GPBP funding is...	Required LCC is...	Up to 100% of the LGU LDF	10% of the LDF	Over 100% up to 150% of the LDF	15% of the LDF	Over 150% of the LDF	20% of the LDF									
If KC-NCDDP + GPBP funding is...	Required LCC is...																	
Up to 100% of the LGU LDF	10% of the LDF																	
Over 100% up to 150% of the LDF	15% of the LDF																	
Over 150% of the LDF	20% of the LDF																	
<b>3.3</b>	<p>For <b>293 Municipalities</b>, the LCC for community projects for 2014 shall be as follows;</p> <table border="1"> <thead> <tr> <th>If the municipality is...</th> <th>Required LCC is...</th> </tr> </thead> <tbody> <tr> <td>1<sup>st</sup> to 3<sup>rd</sup> class</td> <td>15% of KC-NCDDP funding</td> </tr> <tr> <td>4<sup>th</sup> to 6<sup>th</sup> class</td> <td>5% of KC-NCDDP funding</td> </tr> </tbody> </table> <p>For the following cycle, in 2015, the LCC for community projects shall be as follows;</p> <table border="1"> <thead> <tr> <th>If KC-NCDDP + GPBP funding is...</th> <th>Required LCC is...</th> </tr> </thead> <tbody> <tr> <td>Up to 100% of the LGU LDF</td> <td>10% of the LDF</td> </tr> <tr> <td>Over 100% up to 150% of the LDF</td> <td>15% of the LDF</td> </tr> <tr> <td>Over 150% of the LDF</td> <td>20% of the LDF</td> </tr> </tbody> </table>	If the municipality is...	Required LCC is...	1 <sup>st</sup> to 3 <sup>rd</sup> class	15% of KC-NCDDP funding	4 <sup>th</sup> to 6 <sup>th</sup> class	5% of KC-NCDDP funding	If KC-NCDDP + GPBP funding is...	Required LCC is...	Up to 100% of the LGU LDF	10% of the LDF	Over 100% up to 150% of the LDF	15% of the LDF	Over 150% of the LDF	20% of the LDF			
If the municipality is...	Required LCC is...																	
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4 <sup>th</sup> to 6 <sup>th</sup> class	5% of KC-NCDDP funding																	
If KC-NCDDP + GPBP funding is...	Required LCC is...																	
Up to 100% of the LGU LDF	10% of the LDF																	
Over 100% up to 150% of the LDF	15% of the LDF																	
Over 150% of the LDF	20% of the LDF																	
<b>3.4</b>	Local Counterpart Contribution for KC-																	

<b>MLGU Enrollment Form</b>				
	<b>Areas of LGU Engagement and Required Commitments</b>	<b>We agree</b>	<b>We disagree</b>	<b>We propose the following alternatives</b>
	NCDDP Capacity Building and Implementation Support (CBIS) activities, whether in cash or in-kind, which may include (i) Cost of LGU counterpart staff dedicated for the implementation KC-NCDDP; (ii) Cost of other activities related to the implementation of KC-NCDDP such as, but not limited to: social preparations, trainings/ workshops and conferences, coordination meetings including venues, and office space and other logistical requirements for DSWD staff assigned in the area.			
<b>3.5</b>	Opening of Municipal Trust Funds, where all municipal cash contributions for sub-projects and CBIS activities shall be deposited in accordance with the agreed delivery timetable indicated in the approved LCC delivery plan.			
<b>4.</b>	<b>Capability Building and Implementation Support (CBIS) -</b> The KC-NCDDP introduces an innovative and highly participatory approach to social facilitation and mobilization, development planning, and community project implementation and management. To participate, the Municipality must commit to support KC-NCDDP implementation and capability building activities through the following:			
<b>4.1</b>	Organize a Local Poverty Reduction Action Team (LPRAT) to serve as Municipal Inter-Agency Committee (MIAC) to provide technical support. LPRAT-MIAC members shall include heads of all LGU units, such as, but not limited to, the MSWDO, MPDC, MLGOO, Municipal Engineer, MHO, MAO, MARO,			

<b>MLGU Enrollment Form</b>				
	<b>Areas of LGU Engagement and Required Commitments</b>	<b>We agree</b>	<b>We disagree</b>	<b>We propose the following alternatives</b>
	the Budget Officer, and other LGU staff. The LPRAT-MIAC shall be headed by the Municipal Mayor or his/her duly authorized representative.			
<b>4.2</b>	Organize a Municipal Coordinating Team (MCT) to provide implementation support to the Area Coordinating Team (ACT). MCT members must be municipal staff seconded to the Project, or staff hired by the LGU for this purpose.			
<b>4.3</b>	Assign a municipal staff member as GAD, IP, and DRRM Focal Persons to support KC-NCDDP operations. The GAD, IP and DRRM Focal Person shall be a member of the MCT and work closely with the ACT and the LPRAT-MIAC in the performance of IP-/GAD-related Project activities.			
<b>4.4</b>	Provide space within the Municipal building and office furniture/fixtures and equipment for a Joint MCT-DSWD Municipal Action Team field office.			
<b>4.5</b>	Provide equipment, personnel, and other logistics support to KC-NCDDP participatory monitoring and evaluation (M&E) activities, including computer-based data processing (encoding, collation and storage) and provision of this data to the KC-NCDDP ACT field staff and local communities for their reflection and action.			
<b>4.6</b>	Participate during regular and milestone KC-LGU-community assessment meetings to review performance against MOA commitments and formulate action plans.			
<b>5.</b>	<b>Participatory and Inclusive Governance -</b> Following the spirit of the Local Government Code, the KC-NCDDP recognizes the role of local			

<b>MLGU Enrollment Form</b>				
	<b>Areas of LGU Engagement and Required Commitments</b>	<b>We agree</b>	<b>We disagree</b>	<b>We propose the following alternatives</b>
	governments and its citizens in bringing about local development. All KC-NCDDP activities require LGU staff (municipal and barangay) and community leaders and residents to work together to bring about key results. To participate in the KC-NCDDP, the municipality must commit to promote and support the active engagement of citizens and their organizations in the design, planning, and implementation of poverty reduction projects in general and the KC-NCDDP in particular. MLGU support for citizen engagement shall include the following:			
<b>5.1</b>	Accreditation of local NGOs and POs.			
<b>5.2</b>	Increasing NGO and PO representation in Municipal and Barangay Development Council (MDC) and Local Special Bodies (LSB).			
<b>5.3</b>	Taking affirmative action to promote the participation of women, the poorest, Indigenous People, youth, the elderly, and other highly vulnerable groups.			
<b>5.4</b>	Encouraging citizens' review and enhancement of municipal and barangay GAD plans and GAD-funded projects.			
<b>5.5</b>	Encouraging PO and NGO participation in project implementation and in independent monitoring of LGU projects.			
<b>6.</b>	<b>Transparency in Procurement and Financial Transactions -</b> In the KC-NCDDP, grants for community projects are deposited directly to community accounts and managed by community volunteers. The procurement of goods and services to implement community projects are likewise undertaken by community volunteers. To participate in the KC-			

<b>MLGU Enrollment Form</b>				
	<b>Areas of LGU Engagement and Required Commitments</b>	<b>We agree</b>	<b>We disagree</b>	<b>We propose the following alternatives</b>
	NCDDP, the Municipality must commit to uphold and preserve the integrity of the KC-NCDDP procurement and fiduciary processes through the following:			
<b>6.1</b>	Assist community volunteers in undertaking procurement in a fair and transparent manner, and to defend the community-based procurement process from any and all attempts at undue influence.			
<b>6.2</b>	Assist community volunteers to manage financial transactions in accordance with KC-NCDDP rules and regulations, thereby ensuring a sound financial management system for community projects.			
<b>7.</b>	Other thematic concerns			

**Annex B**

**POTENTIAL PROBLEM ANALYSIS TEMPLATE**

<b>Area of LGU Engagement</b>	<b>Possible Potential Problem(s)</b>	<b>Likelihood of Occurrence (H, M, L)</b>	<b>Severity of Impact (H, M, L)</b>	<b>Possible Preventive Measures</b>	<b>Possible Mitigating Measures</b>	<b>Provisions to include in MOA</b>

## **Annex C**

### **AREAS OF LGU ENGAGEMENT WITH THE KC-NCDDP FOR THE PPA**

The following are areas of LGU engagement with the KC-NCDDP: (a) local policy environment, (b) information disclosure, (c) local counterpart support, (d) capability and implementation support, (e) participatory and inclusive governance, (f) support for transparency in procurement and financial transactions, and (g) intensity of armed conflict and LGU response. Following are short descriptions of these areas of engagement.

Please note that these are by no means complete. The RPMO may add more areas it deems important for risk analysis.

#### **1. Local Policy Environment**

The KC-NCDDP promotes the creation and development of local policy environments that promote transparency in governmental transactions and establish mechanisms that enable citizens to hold government accountable, the prerequisites for people's participation in governance and development. LGUs of municipalities that wish to join the KC-NCDDP shall commit to pass relevant ordinances and/or resolutions that support participatory governance in general and the KC-NCDDP Program in particular. These include the following:

- Authorization for the LCE to enter into MOA with DSWD on the implementation of the KC-NCDDP, duly approved by the Sangguniang Bayan through resolution.
- Mainstreaming the principles and mechanisms of People's Participation, Transparency, and Social Accountability in LGU development planning and implementation of poverty reduction programs, plans, and activities (PPAs).
- Installation of measures for the convergence of National Government Agency (NGA) poverty reduction activities in the municipality
- Measures to support barangays in the formulation of their Barangay Development Plans (BDP) and the integration of the BDP into the Municipal Development Plan.
- Ordinances or policies related to protection and conservation of the environment.

**Key Question: *What will make it difficult for the LGU to approve and implement policy measures that promote transparency, accountability and citizen participation in governance?***

## 2. Information Disclosure

The KC-NCDDP believes that the poor can and must be allowed to make informed choices on the priorities, programs, and activities that will best bring about broad-based development. Informed choices depend on: (a) the availability of information, (ii) the quality of information, and (iii) how these are shared and analyzed. To participate in the KC-NCDDP, the Municipal LGU shall commit to:

- Make accessible relevant information on the state of the Municipality and its LGU including, but not necessarily limited to, the following.
  - a) Income and expenditure (including municipal assets that may be tapped to support Project implementation, as well as liabilities that may hinder delivery of counterpart commitments, e.g., loans and commitments to other NGAs and institutions
  - b) Budgets, including data and information used for formulating budgets
  - c) LGU Plans and activities to address local poverty and development, including data and information used for formulating municipal plans
  - d) LGU plans and activities to assess the state of competency of LGU staff, and address competency gaps.
- Allow community volunteers and other stakeholders to scrutinize, validate and comment on this information.

**Key Question: *What will prevent the LGU from disclosing information on its operations and the conditions of the municipality to KC-NCDDP field staff and community residents?***

## 3. Local Counterpart Support

The KC-NCDDP implements a cost-sharing scheme that requires the LGUs of participating municipalities to provide counterpart contributions, for two specific purposes: (a) to fund, in part or in whole, the costs of community projects identified by communities; and (b) to fund the costs of trainings and other administrative support. Specifically, municipal LGU obligations in terms of counterpart contributions include;

### 3.1 For **177 Municipalities**

No LCC for community projects shall be required.

### 3.2 For **377 Municipalities**

No LCC for community projects shall be required **for the 1<sup>st</sup> cycle in 2014**. However, LCC for community projects shall be required for succeeding cycles, according to the following LCC plan;

<b>If KC-NCDDP + GPBP funding is...</b>	<b>Required LCC is...</b>
Up to 100% of the LGU LDF	10% of the LDF
Over 100% up to 150% of the LDF	15% of the LDF
Over 150% of the LDF	20% of the LDF

### 3.3 For 293 Municipalities

The LCC for community projects for 2014 shall be as follows;

<b>If the municipality is...</b>	<b>Required LCC is...</b>
1 <sup>st</sup> to 3 <sup>rd</sup> class	15% of KC-NCDDP funding
4 <sup>th</sup> to 6 <sup>th</sup> class	5% of KC-NCDDP funding

For the following cycle, in 2015, the LCC for community projects shall be as follows;

<b>If KC-NCDDP + GPBP funding is...</b>	<b>Required LCC is...</b>
Up to 100% of the LGU LDF	10% of the LDF
Over 100% up to 150% of the LDF	15% of the LDF
Over 150% of the LDF	20% of the LDF

3.4 Local Counterpart Contribution for KC-NCDDP Capacity Building and Implementation Support (CBIS) activities, whether in cash or in-kind, which may include (i) Cost of LGU counterpart staff dedicated for the implementation KC-NCDDP; (ii) Cost of other activities related to the implementation of KC-NCDDP such as, but not limited to: social preparations, trainings/ workshops and conferences, coordination meetings including venues, and office space and other logistical requirements for DSWD staff assigned in the area.

3.5 Opening of Municipal Trust Funds, where all municipal cash contributions for sub-projects and CBIS activities shall be deposited in accordance with the agreed delivery timetable indicated in the approved LCC delivery plan.

**Key Question: What will prevent the LGU from delivering on its LCC commitments for KC-NCDDP (community sub-projects and CBIS) in a sufficient and timely manner?**

#### 4. Capability Building and Implementation Support (CBIS)

The KC-NCDDP introduces an innovative and highly participatory approach to social facilitation and mobilization, development planning, and community project implementation and management. The Municipal LGU shall commit to support KC-NCDDP social facilitation and mobilization through the following;

- Mobilize the Local Poverty Reduction Action Team (LPRAT) to serve as the Municipal Inter-Agency Committee (MIAC) to provide technical support, composed of all heads of LGU units such as, but not limited to, the MSWDO, MPDC, MLGOO, Municipal Engineer, MHO, MAO, MARO, the Budget Officer, and other LGU staff. The MIAC shall be headed by the Municipal Mayor or his/her duly authorized representative.
- Organize a Municipal Coordinating Team (MCT) to provide implementation support to the KC-NCDDP Area Coordinating Team (ACT). MCT members must be municipal staff seconded to the Project, or staff hired by the LGU for this purpose.
- Assign a Municipal staff member as GAD, IP, and DRRM Focal Person to support KC-NCDDP operations. The GAD, IP and DRRM Focal Person shall be a member of the MCT and work closely with the ACT and the MIAC in the performance of GAD-related Project activities.
- Provide space within the Municipal building and office furniture/fixtures and equipment for a Joint MCT-DSWD Municipal Action Team Municipal office.
- Provide equipment, personnel, and other logistics support to KC-NCDDP participatory monitoring and evaluation (M&E) activities, including computer-based data processing (encoding, collation and storage) and provision of this data to the KC-NCDDP ACT field staff and local communities for their reflection and action.
- Participate in regular and milestone KC-NCDDP assessment meetings to review performance against MOA commitments and formulate action plans.

**Key Question: *What will prevent the LGU from delivering on its CBIS commitments in a sufficient and timely manner?***

#### 5. Participatory and Inclusive Governance

Following the spirit of the Local Government Code, the KC-NCDDP recognizes the role of local governments and its citizens in bringing about local development. All KC-NCDDP activities require LGU staff (municipal and barangay) and community leaders and residents to work together to bring about key results.

To participate in the KC-NCDDP, the Municipal LGU must commit to promote and support the active engagement of citizens and their organizations in the design,

planning, and implementation of poverty reduction projects. Municipal LGU shall commit to support citizen engagement for poverty reduction as follows:

- Accreditation of local NGOs and POs;
- Increasing NGO and PO representation in Municipal and Barangay Development Council (M/BDC) and Local Special Bodies (LSB);
- Taking affirmative action to promote the participation of women, the poorest, Indigenous People, youth, the elderly, and other highly vulnerable groups;
- Encouraging citizens' review and enhancement of municipal and barangay GAD plans and GAD-funded projects; and
- Encouraging PO and NGO participation in project implementation and in independent monitoring of LGU projects.

**Key Question: *What will make it difficult for the MLGU to promote the active engagement of citizens, whether directly or through NGOs and POs, in the design, planning and implementation of poverty reduction projects in the municipality?***

#### 6. Transparency in Procurement and Financial Transactions

In the KC-NCDDP, grants for community projects are deposited directly to community accounts and managed by community volunteers. The procurement of goods and services to implement community projects are likewise undertaken by community volunteers.

To participate in the KC-NCDDP, the Municipal LGU shall commit to uphold and preserve the integrity of the KC-NCDDP procurement and financial management processes through the following:

- Assist community volunteers in undertaking procurement in a fair and transparent manner, and to defend the community-based procurement process from any and all attempts at undue influence.
- Assist community volunteers to manage financial transactions in accordance with KC-NCDDP rules and regulations, thereby ensuring a sound financial management system for community projects.
- Include expression of commitment in the Municipal Resolution, and detail responsibilities for procurement in the functions of the MIAC (EO on the LPRAT/MIAC)

**Key Question: *What will prevent the MLGU from upholding and preserving the integrity of the KC-NCDDP's procurement and financial management processes?***

**Other operational concerns along key themes:**

7. For Municipalities Which Have Completed at Least 1 Cycle of KC

7.1 Review conduct and results of Sustainability Evaluation Tool (SET).

Municipalities who have implemented and completed sub-projects under the KALAHICIDSS are required to conduct Sustainability Evaluation Tests (SET) every six (6) months after completion of the subproject. The municipalities likewise form Multi-stakeholders Inspectorate Teams to lead in the conduct of the SET, and commit to address sustainability issues identified. The RPMO must be able to assess how effectively the LGU has complied with this requirement.

**Key Question:** *Have the municipality conducted SET? What constrains the municipality from regularly conducting SET? What are the issues in sustaining the subprojects implemented under KC, and how will these issues impact KC-NCDDP implementation in the Municipality?*

8. For KC Graduate Municipalities

8.1 Review results of Sustainability Plan

Municipalities who have graduated from the KALAHICIDSS Project (have completed four cycles of implementation) prepared sustainability plans as part of end-of-project closing activities. These plans contain the commitment of the municipality to (i) sustain the lessons learned in the CDD, and (ii) adopt certain features of CDD into their regular LGU planning and budgeting processes, and project implementation systems. The RPMO must be able to assess how effectively the LGU has adhered to these commitments.

**Key Question:** *How well have the municipalities implemented its sustainability plan? What are the issues that constrain the municipality from fully implementing its sustainability plan, and how will this impact implementation of KC-NCDDP in the municipality?*

9. For Municipalities with IP Areas

9.1 Recognition of the unique special needs of IPs, and support for facilitation in IP areas.

The KC-NCDDP shall adopt an enhanced set of guidelines for more guided facilitation in IP areas within targeted municipalities.

Municipal LGUs covering IP areas shall be required to provide very specific support to KC-NCDDP facilitation in IP areas within their territories, which may include (i) recognition of IP Mandatory Representatives in the Sanguniang Bayan; (ii) designation of an IP focal person in the LGU, and; (iii) undertaking efforts to link investments in the LGU Comprehensive Development Plan (CDP) with the IP priorities in the Ancestral Domain Sustainable Development Protection Plan (ADSDPP).

The RPMO must be able to determine how well the LGU addresses the needs of IPs in their areas, and if the LGU is prepared to undertake meaningful actions to engage IP groups in local planning and budgeting process, promote their full participation, and address constraints to the participation of IP groups in both the development process and in the enjoyment of benefits to be derived from the Program.

**Key Question: *What will prevent the MLGU from recognizing and upholding the rights of IPs, and from mobilizing LGU resources to address IP needs and priorities?***

#### 10. For Municipalities with CABs

Conflict - the disagreement between two or more parties about different or differently-perceived positions, interests, values or needs - is intrinsic to community life, occurring within and between households, families, clans and communities. Tensions arising from competing claims (conflict) do not inevitably lead to violence. In some situations, however, armed conflict does occur.

The presence of armed conflict in a targeted municipality does necessarily disqualify it from participation in the KC-NCDDP. However, KC-NCDDP may need to forego entry into municipalities affected by armed conflict. The decision to forego entry shall be based on an assessment of: (a) the level of intensity of the violence itself, and (b) the effectiveness of the LGU in mitigating the violence and its effects on the residents of the municipality.

The RPMO must be able to determine if the KC-NCDDP can still be implemented effectively despite the presence and intensity of violent conflict in the municipality. In addition, the RPMO must also be able to determine if the municipal LGU is prepares to undertake meaningful actions to mitigate the effects of violence on its citizens.

**Key Question: *Can the KC-NCDDP still be implemented effectively despite the presence of armed conflict and violence within the municipality? How effective is the LGU in assisting its citizens to deal with the armed conflict and its destructive effects, and what are its constraints? How will this impact KC-NCDDP implementation in the municipality?***

**Annex D**

**SAMPLE OF ACTUAL CONSTRAINTS, POTENTIAL PROBLEMS AND PREVENTIVE/MITIGATING MEASURES**

	<b>Area of LGU Engagement</b>	<b>Possible Potential Problem(s)</b>	<b>Possible Preventive Measures</b>	<b>Possible Mitigating Measures</b>	<b>Provisions to include in MOA</b>
<b>1</b>	<b>Local Policy Environment</b>				
1.1	MOA with DSWD	<ul style="list-style-type: none"> <li>• Mayor, Vice-Mayor and SB members are not political allies</li> </ul>			
		<ul style="list-style-type: none"> <li>• SB members do not want their MCAP allocations to be used as LCC</li> </ul>		✓ Involve SB members in KC-NCDDP activities	
		<ul style="list-style-type: none"> <li>• SB does not convene regularly</li> </ul>			
1.2	PTA into LGU operations	<ul style="list-style-type: none"> <li>• LGUs do not want their constituents to know about their wrongdoings.</li> </ul>			
		<ul style="list-style-type: none"> <li>• Absence or lack of clear policies on PTA</li> </ul>			
1.3	Convergence measures	<ul style="list-style-type: none"> <li>• Lack of clear policies on convergence</li> </ul>			
		<ul style="list-style-type: none"> <li>• NGAs do not hold office in the municipality</li> </ul>		✓ Convene regular meetings of NGAs	
		<ul style="list-style-type: none"> <li>• LGU already has its own projects that are different from those identified through PSA and convergence</li> </ul>	✓ Advocate for fund allocation from LGUs, NGAs and others		

**Annex D**

**SAMPLE OF ACTUAL CONSTRAINTS, POTENTIAL PROBLEMS AND PREVENTIVE/MITIGATING MEASURES**

	<b>Area of LGU Engagement</b>	<b>Possible Potential Problem(s)</b>	<b>Possible Preventive Measures</b>	<b>Possible Mitigating Measures</b>	<b>Provisions to include in MOA</b>
		<ul style="list-style-type: none"> <li>• Mayor and barangay chair are political rivals</li> </ul>			
1.4	Support for barangay planning	<ul style="list-style-type: none"> <li>• Non-inclusion of BDP into the MDP</li> </ul>		<ul style="list-style-type: none"> <li>✓ Lobby for inclusion of BDP into MDP</li> </ul>	
		<ul style="list-style-type: none"> <li>• Few MLGU staff have expertise to assist barangays in development planning.</li> </ul>		<ul style="list-style-type: none"> <li>✓ Tap DILG for training in BDP preparation.</li> </ul>	
		<ul style="list-style-type: none"> <li>• Many barangays have no BDPs.</li> </ul>		<ul style="list-style-type: none"> <li>✓ Identify and work with local NGOs with BDP expertise.</li> <li>✓ Train CVs in BDP preparation.</li> </ul>	
<b>2</b>	<b>Information Disclosure</b>				
2.1	Provision of relevant financial data	<ul style="list-style-type: none"> <li>• LGU does not appreciate need for sharing financial data</li> </ul>	<ul style="list-style-type: none"> <li>✓ Identify milestones related to information disclosure.</li> <li>✓ Provide incentives for LGUs who comply.</li> </ul>		
2.2	Allow residents to review and comment on data	<ul style="list-style-type: none"> <li>• LGU does not appreciate need for community consultation</li> </ul>	<ul style="list-style-type: none"> <li>✓ Involve NGAs in regular consultations with LGUs.</li> </ul>		

**Annex D**

**SAMPLE OF ACTUAL CONSTRAINTS, POTENTIAL PROBLEMS AND PREVENTIVE/MITIGATING MEASURES**

	<b>Area of LGU Engagement</b>	<b>Possible Potential Problem(s)</b>	<b>Possible Preventive Measures</b>	<b>Possible Mitigating Measures</b>	<b>Provisions to include in MOA</b>
<b>3.</b>	<b>Local Counterpart</b>				
3.1	LCC for community projects	<ul style="list-style-type: none"> <li>• LGU budgeting cycle already finished before the entry of KC-NCDDP.</li> </ul>	<ul style="list-style-type: none"> <li>✓ Synchronize KC-NCDDP implementation with LGU cycle.</li> </ul>		
		<ul style="list-style-type: none"> <li>• LGU does not want to support the prioritized sub-projects.</li> </ul>			
		<ul style="list-style-type: none"> <li>• MDF of LGU is committed to loan repayments</li> </ul>	<ul style="list-style-type: none"> <li>✓ LGU should engage in resource accessing</li> </ul>		
		<ul style="list-style-type: none"> <li>• LGU funds are already committed to other projects</li> </ul>	<ul style="list-style-type: none"> <li>✓ Re-align LGU budget.</li> <li>✓ Consider LGU funds for other projects as LCC to NCDDP.</li> </ul>		
3.2	LCC for CBIS				
3.3	Municipal Trust Fund account	<ul style="list-style-type: none"> <li>• LGUs feel that they lose control over the funds given for LCC</li> </ul>	<ul style="list-style-type: none"> <li>✓ Provide detailed orientation on MTF operation</li> </ul>		
		<ul style="list-style-type: none"> <li>• No available LCC at the time of MLGU enrolment</li> </ul>		<ul style="list-style-type: none"> <li>✓ Reduce LCC requirement</li> </ul>	
		<ul style="list-style-type: none"> <li>• LCE is not an ally of the Municipal Budget Officer</li> </ul>		<ul style="list-style-type: none"> <li>✓ Continuing advocacy with</li> </ul>	
		<ul style="list-style-type: none"> <li>• The LGU does not live up to its promises.</li> </ul>		<ul style="list-style-type: none"> <li>✓ Require LGU to deposit cash LCC into</li> </ul>	

**Annex D**

**SAMPLE OF ACTUAL CONSTRAINTS, POTENTIAL PROBLEMS AND PREVENTIVE/MITIGATING MEASURES**

	<b>Area of LGU Engagement</b>	<b>Possible Potential Problem(s)</b>	<b>Possible Preventive Measures</b>	<b>Possible Mitigating Measures</b>	<b>Provisions to include in MOA</b>
				MTA before the MIBF-PRA. ✓ Require LGU to deposit cash LCC into community bank account first tranche RFR is processed	
<b>4.</b>	<b>LGU Support to CBIS</b>				
4.1	Organize MIAC	<ul style="list-style-type: none"> <li>• Many department heads are unable to meet MIAC tasks (always out of the office, busy with regular work, not allied with LCE, no incentive).</li> </ul>	✓ Provide honoraria and incentives for active MIAC who meet their deliverables in time.		
		<ul style="list-style-type: none"> <li>• Regular MIAC meetings not held because of heavy work schedules</li> </ul>			
4.2	Organize MCT	<ul style="list-style-type: none"> <li>• KC-based TOR and QS for MCT do not match available staff and pay scale.</li> </ul>			
		<ul style="list-style-type: none"> <li>• Potential MCT members view their designation as additional burden</li> </ul>	✓ Provide incentive for LGU staff designated as MCT.		

**Annex D**

**SAMPLE OF ACTUAL CONSTRAINTS, POTENTIAL PROBLEMS AND PREVENTIVE/MITIGATING MEASURES**

	<b>Area of LGU Engagement</b>	<b>Possible Potential Problem(s)</b>	<b>Possible Preventive Measures</b>	<b>Possible Mitigating Measures</b>	<b>Provisions to include in MOA</b>
4.3	Designate GAD focal person	<ul style="list-style-type: none"> <li>• LGU lacks appreciation of GAD</li> </ul>			
		<ul style="list-style-type: none"> <li>• Potential GAD focal person sees designation as additional burden</li> </ul>			
		<ul style="list-style-type: none"> <li>•</li> </ul>			
4.4	Space for Joint MCT-Municipal Action Team field office	<ul style="list-style-type: none"> <li>• LGU does not see the need to provide office space for DSWD municipal staff.</li> </ul>			
		<ul style="list-style-type: none"> <li>• No available space in the municipality</li> </ul>			
4.5	Support for KC-NCDDP M&E	<ul style="list-style-type: none"> <li>• LGU does not appreciate need to provide support</li> </ul>		✓ Include availability of updated, reliable data in SGH criteria	
		<ul style="list-style-type: none"> <li>• LGU has no funds to provide support.</li> </ul>			
4.6	Participate in assessments	<ul style="list-style-type: none"> <li>• LCE has more important priorities than attending assessments.</li> </ul>			
<b>5.</b>	<b>Inclusive Governance</b>				
5.1	Accredit local NGOs and Pos to	<ul style="list-style-type: none"> <li>• LGU has had previous bad experiences with LGU</li> </ul>		✓ Encourage LGU to formulate NGO selection	

**Annex D**

**SAMPLE OF ACTUAL CONSTRAINTS, POTENTIAL PROBLEMS AND PREVENTIVE/MITIGATING MEASURES**

	<b>Area of LGU Engagement</b>	<b>Possible Potential Problem(s)</b>	<b>Possible Preventive Measures</b>	<b>Possible Mitigating Measures</b>	<b>Provisions to include in MOA</b>
	increase CSO representation in M/BDCs and LSBs	(e.g., NGOs as leftists, considered as threats to LGU officials)		criteria (e.g., previous experience in CDD). ✓ Advocate for CSO involvement in local planning and governance as mandated in the LGC.	
		<ul style="list-style-type: none"> <li>• Few NGOs and POs in the municipality</li> </ul>		<ul style="list-style-type: none"> <li>✓ Encourage KC-NCDDP O&amp;M groups to acquire legal registration.</li> <li>✓ Encourage local CSOs to comply with registration requirements.</li> </ul>	
5.2	Establish mechanisms for LGU-CSO consultation & dialogue				
5.3	Promote participation of highly-vulnerable groups				
5.4	Citizen review of				

**Annex D**

**SAMPLE OF ACTUAL CONSTRAINTS, POTENTIAL PROBLEMS AND PREVENTIVE/MITIGATING MEASURES**

	<b>Area of LGU Engagement</b>	<b>Possible Potential Problem(s)</b>	<b>Possible Preventive Measures</b>	<b>Possible Mitigating Measures</b>	<b>Provisions to include in MOA</b>
	LGU GAD plans				
5.5	Encourage CSOs to be involved in implementation and monitoring of LGU projects	<ul style="list-style-type: none"> <li>• LGU has already pre-selected CSOS to participate in LGU projects</li> </ul>			
<b>6.</b>	<b>Transparency in Procurement and Financial Transactions</b>				
6.1	Assistance to communities in proper procurement	<ul style="list-style-type: none"> <li>• LGU officials are contractors or suppliers themselves who want to contract community projects or they have favoured contractors and suppliers.</li> </ul>	<ul style="list-style-type: none"> <li>✓ Impose policy on exclusion of local stakeholders as contractors or suppliers.</li> <li>✓ Ensure that bidding is conducted competitively, e.g., engage NGA reps in an inter-agency BAC.</li> </ul>		
		<ul style="list-style-type: none"> <li>• LGUs do not believe that communities have the capability for procurement</li> </ul>		<ul style="list-style-type: none"> <li>✓ Share good practices on community-based procurement with LGU officials.</li> <li>✓ Encourage testimonies from community volunteers and LGU officials during</li> </ul>	

**Annex D**

**SAMPLE OF ACTUAL CONSTRAINTS, POTENTIAL PROBLEMS AND PREVENTIVE/MITIGATING MEASURES**

	<b>Area of LGU Engagement</b>	<b>Possible Potential Problem(s)</b>	<b>Possible Preventive Measures</b>	<b>Possible Mitigating Measures</b>	<b>Provisions to include in MOA</b>
				special events	
		<ul style="list-style-type: none"> <li>• LGU officials are themselves engaged in fraudulent procurement practices</li> </ul>		✓ Conduct values formation and moral recovery	
		<ul style="list-style-type: none"> <li>• Only few LGU staff are competent in procurement</li> </ul>		✓ Provide IEC to LGU staff on community-based procurement (CBP)	
				✓ Strengthen and use the BAC as experts in procurement	
6.2	Assistance to communities in proper financial management	<ul style="list-style-type: none"> <li>• LGU officials want to maintain control of suppliers for commissions ("SOP")</li> </ul>			
		<ul style="list-style-type: none"> <li>• LGU officials are used to controlling funds as a means to remain in political power</li> </ul>		✓ Continue lobbying the LGU for transparency in financial management	
				✓ Provide incentives to LGUs who practice transparency	

**Annex D**

**SAMPLE OF ACTUAL CONSTRAINTS, POTENTIAL PROBLEMS AND PREVENTIVE/MITIGATING MEASURES**

	<b>Area of LGU Engagement</b>	<b>Possible Potential Problem(s)</b>	<b>Possible Preventive Measures</b>	<b>Possible Mitigating Measures</b>	<b>Provisions to include in MOA</b>
<b>7.</b>	<b>Intensity of violent conflict and LGU response</b>				
<b>7.1</b>	<b>Intensity of armed conflict</b>				
7.1.1	Occurrence of armed hostilities				
7.1.2	Evacuation of residents				
7.1.3	MPOC and military assessment				
7.1.4	Effects of violence on major entry points and other strategic sectors, e.g., the local economy				
7.1.5	Presence of development-oriented groups and their activities				
<b>7.2</b>	<b>LGU response</b>				
7.2.1	Continuity of LGU operations				

**Annex D**

**SAMPLE OF ACTUAL CONSTRAINTS, POTENTIAL PROBLEMS AND PREVENTIVE/MITIGATING MEASURES**

	<b>Area of LGU Engagement</b>	<b>Possible Potential Problem(s)</b>	<b>Possible Preventive Measures</b>	<b>Possible Mitigating Measures</b>	<b>Provisions to include in MOA</b>
7.2.2	MLGU programs to mitigate effects of armed conflict and violence on residents			✓ Strengthen contingency plans	
7.2.3	Presence of conflict-resolution mechanisms			✓ Capability-building of existing structures on conflict mediation	
7.2.4	MLGU security protocols for KC/NCDDP staff	<ul style="list-style-type: none"> <li>• BLGU does not act on the violence happening on a weekly basis in the community</li> </ul>			

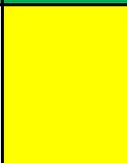
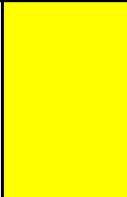
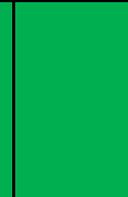
**Annex E**

**LIST OF DOCUMENTS REQUIRED FROM LGU TO COMPLETE KC-NCDDP ENROLLMENT**

**Legend:**

 - Required at start-up

 - To be submitted during Cycle 1 Social Preparation, for Cycle 2

<b>Start-up Conditionalities for LGUs</b>					
<b>Conditionality</b>	<b>Documents</b>	<b>Yolanda-affected areas</b>		<b>Regular Areas (293)</b>	
		<b>177</b>	<b>377</b>	<b>OLD</b>	<b>NEW</b>
<b>Local Policy Support – submit copies of the following</b>					
a. Formalize acceptance of KC-NCDDP implementation, commit to institute PTA into LGU LDP and Poverty PPAs ( <i>LPRAP preparation</i> ), and Authorize the LCE to enter into MOA.	SB Resolution				
b. Allocating local counterpart funds	Appropriation Ordinance				
c. Formation of LPRAT ( <i>MIAC</i> ) and MCT, and allocation of funds for operations	Executive Order				
<b>Information Disclosure – submit copies of the following</b>					
a. Income and Expenditure	Income and Expenditure report for 2012– 2013				

b. Budget	LDIP/AIP				
c. Plans and activities to address poverty <i>(funded from the LDF)</i>	MDP/CLUP/LPRAP				
d. Plans/activities to build LGU capability	Executive – Legislative Agenda (ELA)				
<b>Participatory and Inclusive Governance – submit copies of the following</b>					
Establish mechanisms for regular LGU-CSO Dialogue through the LDCs/LSBs, and CSO participation in Project Monitoring	Plan for engaging CSOs				
<b>Capability Building and Implementation Support– submit copies of the following</b>					
a. Organize LPRAT <i>(MIAC)</i>	Special Order/Job Order (if hired)				
b. Organize MCT					
c. Assign Gender, IP, and DRRM Focal Person					
d. Provide office space, furniture and fixtures, and supplies, including computer for local M&E and MCT (subject to Project specifications, to be provided), and funds for operations support, prior to start of operations.	Executive Order				

<b>Local Counterpart Support- <i>submit copies of the following</i></b>					
a. Opening of Trust Fund	Trust Fund Account				
b. LCC delivery plan	Funding Strategy and LCC Delivery Plan;				

## **Annex F**

### **GENERAL MEMORANDUM OF AGREEMENT**

#### **Know all Men by These Presents:**

This General Memorandum of Agreement, hereinafter referred to as the General MOA, is made and entered into this \_\_\_\_ day of \_\_\_\_\_ 20\_\_, by and between;

The **Department of Social Welfare and Development**, a national agency of the Republic of the Philippines, with office address at Batasan Pambansa Complex, Diliman, Quezon City herein represented by \_\_\_\_\_, in his/her capacity as Regional Director of Field Office \_\_\_\_, hereinafter referred to as the DSWD;

*(Insert if the Province is a signatory)*

The **Province of \_\_\_\_\_**, a province of the Republic of the Philippines created under \_\_\_\_\_ with principal address at the Provincial Capitol \_\_\_\_\_ herein represented by \_\_\_\_\_ in his/her capacity as Provincial Governor and hereinafter referred to as the Province;

AND

The **City/Municipality of \_\_\_\_\_**, a City/Municipality of the Republic of the Philippines created under \_\_\_\_\_ with principal address at the City/Municipal Hall \_\_\_\_\_, herein represented by \_\_\_\_\_ in his/her capacity as Mayor and hereinafter referred to as the City/Municipality.

#### **WITNESSETH THAT**

**WHEREAS**, DSWD, herein after referred to as the “Department”, envisions a society where the poor, vulnerable and disadvantaged individuals, families, and communities are empowered for an improved quality of life, and takes protection of the poor and marginalized members of society as its main mission, hereinafter referred to as “Social Protection”.

**WHEREAS**, in pursuit of this vision and to operationalize its Social Protection mission, the Department adopts a “Whole of DSWD” approach in ensuring convergence in implementation of the department’s various strategies, programs, projects, and activities, otherwise known as “PPAs”, to address the needs of the poor.

**WHEREAS**, under the Local Government Code, local government units are mandated to address the needs of its constituencies, and empower the people through direct participation in the affairs of government, by allowing them the widest possible space to

decide on, initiate, implement, and innovate on development activities that address their identified needs;

**WHEREAS**, the City/Municipality of \_\_\_\_\_, a \_\_\_ class City/Municipality in the Province of \_\_\_\_\_, recognizes its role in ensuring inclusive development, and commits to address the needs of the poor within its jurisdiction.

**WHEREAS**, DSWD and the City/Municipal LGU of \_\_\_\_\_ are willing and able to partner with each other to deliver a package of services to address poverty, empower citizens, and promote inclusive growth, composed of some or all of the following PPAs (i).....; (ii).....; (iii).....; and agree to commit each other to such partnership through this MOA.

**NOW THEREFORE**, for and in consideration of the foregoing premises, the parties agree as follows;

### **Section 1: Purpose of the MOA**

The purpose of this Memorandum of Agreement (MOA) is to establish a partnership between DSWD and the City/Municipal LGU of \_\_\_\_\_ aimed at developing and implementing social protection programs that will address the needs of the poor, empower citizens, and promote inclusive growth in the City/Municipality.

### **Section 2: Objectives of the Partnership**

The DSWD and the City/Municipality of \_\_\_\_\_ agree to engage in partnership with the objective of reducing poverty in the City/Municipality by \_\_\_ within the next \_\_\_ years, through the coordinated and complementary implementation of social protection programs, projects, and activities supported by resources to be provided by all parties.

### **Section 3: Responsibilities of the Parties**

#### **Section 3.1 The DSWD shall;**

1. Coordinate with the LGU on the introduction, development, implementation, monitoring, and assessment and evaluation of any and all DSWD PPAs to be undertaken in the City/Municipality.
2. Provide relevant data to the LGU in a timely manner, important for informed decision making by the LGU on the implementation of DSWD PPAs.

3. Establish and strengthen a counterpart City/Municipal Action Team, hereinafter referred to as the MAT that will serve as DSWD's main unit for coordination and support in the implementation of all DSWD PPAs in the City/Municipality.
4. Provide technical assistance to enable LGUs and/or communities to enhance their capacity for effective program implementation.
5. Work with the LGU in ensuring all DSWD PPAs in the City/Municipality are implemented in a participatory and transparent manner, in ways that build greater social accountability of government to citizens, while ensuring efficient and effective delivery of results.

### **Section 3.2 The City/Municipal LGU shall;**

1. Coordinate with the DSWD on the various PPAs, both current and planned, being implemented in the City/Municipality that will support DSWD social protection PPAs.
2. Thru its Local Chief Executive, take a strong leadership role in ensuring the convergence of the programs of the LGU, DSWD and other NGAs to mobilize and focus support to Pantawid Pamilya beneficiaries in order to raise the status of their well-being from the baseline of \_\_\_(number) of families under \_\_\_\_ level this year, \_\_\_\_, to \_\_\_\_\_ (number) of families under \_\_\_\_ level by the end of 2016.
3. Provide relevant data to the DSWD in a timely manner, important for informed decision making by the DSWD on the implementation of its various PPAs in the City/Municipality.
4. Establish and strengthen a counterpart City/Municipal Action Committee, hereinafter referred to as the MAC, chaired by the Local Chief Executive, which will serve as the a body to coordinate technical assistance, monitoring, and resolution of issues in the implementation of all DSWD PPAs in the City/Municipality.
5. Allocate or mobilize resources to support DSWD social protection PPAs to be implemented in the City/Municipality. This also includes the designation of a permanent focal person within the LGU for the various PPAs.
6. Strengthen the Local Social Welfare and Development Office (LSWDO) of the LGU to plan and implement appropriate social protection programs to address the needs of the poor and vulnerable sectors of the city/municipality. The LGU likewise commits to uphold the standards for quality service delivery by instituting the functionality indicators for LSWDOs and seeking technical assistance and capability building support from DSWD or other partners around

targeting, planning, strategy development, monitoring and evaluation, and approaches to delivering services on social protection.

7. Adopt measures to ensure the safety and security of DSWD personnel who may be assigned to coordinate or facilitate implementation of the PPAs in the City/Municipality.
  
8. Work with the DSWD in ensuring all DSWD PPAs in the City/Municipality are implemented in a participatory and transparent manner, in ways that build greater social accountability of government to citizens, while ensuring efficient and effective delivery of results.

#### **Section 4: Implementation of Social Protection Programs**

Any DSWD social protection program, project, or activity to implement the purpose and objective of this agreement and partnership with legally binding obligations, shall be established through the execution of **SPECIFIC IMPLEMENTATION AGREEMENTS** or **SIA**. Each SIA shall be authorized in writing by each party's authorized representative. Once executed, each SIA shall form part of this MOA, as annexes.

Programs, projects, and activities covered by specific SIAs under this agreement shall be subject to periodic reviews by all parties, focusing on (i) contributions of the PPAs to the achievement of the objective of poverty reduction; (ii) lessons and innovations in implementation, and; (iii) recommendations to enhance succeeding implementation.

#### **Section 5: Voluntary Commitment**

This Memorandum of Agreement is a voluntary commitment between the parties, and does not obligate the parties to engage solely with the other, nor restrict any activity of each party to engage in partnership with other groups or agencies for the delivery and/or implementation of social protection interventions. No party shall have any right, power, or authority to create any obligation, express or implied, for and in behalf of the other party.

#### **Section 6: Resources to be provided**

Each party shall be responsible for allocating and managing resources to cover costs of PPAs to implement the purpose of this agreement, and to cover activities and matters related to the fulfilment of each party's responsibilities as stipulated under *Section 3* above. The specific amount of resources to be committed by both parties including, where applicable, system for fund transfer in accordance with applicable laws and regulations, shall be reflected in the SIA.

## **Section 7: Grievance Redress System**

A grievance redress system (GRS) shall be jointly established or strengthened by the LGU and the DSWD to provide a venue for stakeholders to raise their concerns or complaints on any aspect of implementation of the PPA or address complaints against any official or staff of the LGU or DSWD involved in implementation. Any of the available systems existing in the municipality may be used to capture grievances. These systems include the LGU's own system (e.g. Lupon ng Tagapamayapa structure), or the DSWD's Grievance Redress System in KALAHI CIDSS – NCDDP or Pantawid Pamilyang Pilipino Program. Details of operationalizing the GRS may be agreed upon with the LGU and incorporated in the Specific Implementation Agreement (SIA).

## **Section 8: Duration and Termination**

This Agreement shall take effect upon signing by both parties, and shall be in effect while a SIA covering a DSWD social protection program is still in force, subject to yearly review by both or all parties. The agreement may be terminated by any party subject to a thirty (30) day written notice of termination.

Any amendment to this agreement shall be made in writing and must be concurred by BOTH OR ALL PARTIES.

IN WITNESS THEREOF, the parties have set their hands on this Agreement this \_\_\_ day of \_\_\_\_\_ 20\_\_.

FOR THE DSWD

FOR THE CITY/MUNICIPALITY

\_\_\_\_\_  
**Regional Director**

\_\_\_\_\_  
**City/Municipal Mayor**

FOR THE PROVINCE

\_\_\_\_\_  
**Provincial Governor**

3.3 *(This section may be added if the PLGU is a party to the MOA)* The Provincial LGU shall:

1. Coordinate with the DSWD on the various PPAs, both current and planned, being implemented by the Provincial LGU that will support DSWD social protection PPAs.
2. Thru the Provincial Governor, take a strong leadership role in ensuring the convergence of the programs of the LGU, DSWD and other NGAs in the Province to mobilize and focus support to Pantawid Pamilya beneficiaries in order to raise the status of their well-being from the baseline of \_\_\_(number) of families under \_\_\_\_ level this year, \_\_\_\_, to \_\_\_\_\_ (number) of families under \_\_\_\_ level by the end of 2016.
3. Provide relevant data to the DSWD in a timely manner, important for informed decision making by the DSWD on the implementation of its various PPAs in the Province.
4. Establish and strengthen a counterpart Provincial Action Committee, hereinafter referred to as the PAC, chaired by the Local Chief Executive, which will serve as the a body to coordinate technical assistance, monitoring, and resolution of issues in the implementation of all DSWD PPAs in the Province.
5. Provide complementary resource and technical assistance support to the municipalities and barangays implementing PPAs within the province in the form of counterpart funds, technical assistance to beneficiary individuals/groups/communities in implementing projects, capacity building and training on participatory development planning and expenditure management, and other capability-building needs of municipal and barangay LGUs;
6. Designate Provincial Focal Person (PFP) for DSWD PPAs. It shall be the role of the PFP to (i) organize provision and delivery of provincial technical assistance and capability building support to MLGUs engaged in the Project, in coordination with the DSWD; (ii) coordinate with provincial stakeholders to leverage additional complementary support to Project implementation, and; (iii) represent the PLGU in important implementation, monitoring and evaluation, and management and supervision activities organized by the Project at the Regional, Provincial, and Municipal levels;
7. Promote the engagement of provincial local special bodies, Provincial CSOs and NGOs, academic institutions, media, and other stakeholders in the providing TA and independent monitoring of Project implementation;
8. Work with the DSWD in ensuring all DSWD PPAs in the City/Municipality in the Province are implemented in a participatory and transparent manner, in ways that

build greater social accountability of government to citizens, while ensuring efficient and effective delivery of results.

9. Advocate through provincial legislation supportive policies for the protection and promotion of the rights and welfare of the poor and vulnerable populations in the province;