

Environmental Assessment and Review Framework (Draft)

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CURRENCY EQUIVALENTS

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\$1.00 = P40.99

ABBREVIATIONS

ADB	–	Asian Development Bank
CDD	–	Community-driven development
CDDSP	–	community-driven development support project
CEAC	–	Community Empowerment Activity Cycle
CNC	–	Certificate of Non-Coverage
DENR	–	Department of Environment and Natural Resources
DSWD	–	Department of Social Welfare and Development
EARF	–	Environmental Assessment and Review Framework
ECC	–	Environmental Compliance Certificate
EIA	–	Environmental Impact Assessment
EIS	–	Environmental Impact Statement
EMP	–	Environmental management plan
IEE	–	Initial Environmental Examination
KC-	–	Kapit-Bisig Laban sa Kahirapan-Comprehensive and Integrated Delivery of Social Services
LGU	–	local government unit
M&E	–	Monitoring and Evaluation
NPMO	–	Project Management Office
NCDDP	–	National Community-Driven Development Program
RPMO	–	Regional Project Management Office
SPS	–	Safeguard Policy Statement

NOTE

In this report, "\$" refers to US dollars.

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I. INTRODUCTION

A. Project Description

1. The Asian Development Bank (ADB) is cofinancing the National Community-Driven Development Program (NCDDP) of the Government of the Philippines through the Community-Driven Development Support Project (CDDSP). The NCDDP is the government's flagship program to help implement the Philippine Development Plan 2011–2016 and the National Anti-Poverty Framework to bring about more equitable access to basic services, reduce poverty, achieve inclusive growth, and improve human development outcomes in the poorest areas of the country. The Department of Social Welfare and Development (DSWD) is the executing agency for CDDSP, which will be implemented from 2013 to 2018.

2. The impact of the CDDSP will be reduced poverty in the poorest areas of the country. The outcome will be communities in targeted poor municipalities empowered to achieve improved access to services and to participate in more inclusive local planning, budgeting and implementation. The project will have the following outputs (i) CDD subprojects identified and completed, (ii) institutional and organizational capacity strengthened, and (iii) program management and monitoring and evaluation (M&E) systems enhanced.

3. **Output 1: CDD subprojects identified and completed.** Planning and investment grants will be provided to participating barangays (villages) in poor municipalities. The planning grants will support participatory and gender inclusive planning processes and activities of barangay residents as well as technical assistance to ensure effective subproject selection and implementation.¹ The investment grants will support subprojects and activities that respond to community-identified priorities.² Eligible subprojects will be based on an open menu, subject to a negative list.³ The open menu will include community proposals on local disaster response and prevention. Investment grants will be released in three tranches, based on physical and financial accomplishment presented in a community assembly and verified by project staff.

4. **Output 2: Institutional and organizational capacity strengthened.** This output will support the capacity building and implementation support component of NCDDP. It will support capacity development of DSWD project staff at the municipal level, who will take the lead and provide facilitation support, technical assistance, subproject oversight, and local-level coordination. Newly hired project staff and their local government unit (LGU) counterparts will be provided training in CDD, development planning and management, conflict resolution, intra-and-inter-barangay mediation, quality review, local poverty assessment, and M&E, among others.

5. **Output 3: Program management and M&E systems enhanced.** This output will help strengthen NCDDP's program management and M&E systems by supporting the development and maintenance of a management information system for tracking, measuring, and reporting accomplishments on key performance indicators. The system will include electronic file management at the national and regional levels of community requests for fund releases and supporting documentation. Special studies on NCDDP, third party M&E, pilot testing additional

¹ The planning grants are equivalent to about 15% of investment grants per participating municipality.

² Investment grants are based on a formula using population size and poverty incidence.

³ The negative list includes activities that may be harmful to the environment or IPs such as: weapons, chainsaws, explosives, pesticides, insecticides, herbicides, asbestos, and other potentially dangerous materials and equipment, fishing boats and nets above the government prescribed size and weight, road construction into protected areas, purchase or compensation for land, political and religious activities, rallies, and materials, activities that employ children below the age of 16 years or that unfairly exploit women or men at any age.

features and elements under NCDDP, and capital expenditure requirements for program management will also supported. In addition, the draft NCDDP operations manuals will be reviewed and harmonized with ADB policies and procedures.

B. Purpose of the Environmental Assessment and Review Framework

6. The Environmental Assessment and Review Framework (EARF) for CDDSP is developed to (i) ensure that selected subprojects to be financed under NCDDP are designed to avoid or minimize negative environmental effects; and (ii) identify any negative impacts and develop and implement appropriate mitigation measures as part of the subproject design and implementation.

7. The NCDDP has been categorized as environmental category B by the ADB and WB based on ADB's Safeguard Policy Statement (SPS) 2009 and the World Bank Policy on Environmental Assessment (OP 4.01),⁴ respectively. It is anticipated that there will be no significant potentially adverse environmental impacts on communities or surrounding areas and that the Category B environmental classification will be retained. After the ADB Board approval of the CDDSP, only category B/C level works will be considered and therefore no Category A sub projects will be implemented. The assessment will entail screening of environmental risks and proper mitigation measures for NCDDP subprojects.

8. This EARF is prepared based on (i) ADB SPS, (ii) WB's OP 4.01 and (iii) the government's Environmental Impact Statement Law (Presidential Decree 1586"Establishing an Environmental Impact Statement (EIS) System Including Other Environmental Management Related Measures and for Other Purposes") and its implementing rules and regulations (Department Administrative Order 2003–30). The environmental impacts of each subproject will be examined through an environmental assessment process, as the nature and significance of an impact can change with location and specific details of the subproject.

C. Overview of the Type of Subprojects to be Assessed

9. Based on the above components, only subprojects under Component 1 are likely to have an impact on the environment, which will be subject to environmental assessment.

10. Eligible subprojects under the investment grant are based on an open menu. The common subprojects under the investment grant, based on KC experience, include water supply systems, school buildings, access roads, daycare centers, health stations, post-harvest facilities, drainage systems, and small irrigation facilities. Proposals on local disaster response and prevention will also be considered for the investment grant. Table 1 shows the main components of these subprojects.

Table 1: Components of Sample Subprojects

Subproject	Infrastructure/Components
Water supply system	Level 1 or 2 system: Communal faucet, communal wells, water tank, water distribution line
School buildings	School building, toilets, and related facilities
Access roads	Road improvement, concreting/paving, road widening, small bridges
Day care centers	Day care building and facilities
Health stations	Barangay health center, medical facilities and supplies

⁴ The World Bank and ADB provide cofinancing to the government for implementing the NCDDP.

Subproject	Infrastructure/Components
Post-harvest facilities	Post-harvest equipment, rice mill, warehouse
Drainage system and environmental protection measures	Drainage canals, drainage cover, rainwater harvesting system, flood retarding ponds, seawall, riverwall protection, septic tanks and other wastewater management measures, composting facilities, solid waste management and collection
Small irrigation facilities	Irrigation canals

Source: Department of Social Welfare and Development.

11. A negative list has been developed by KC to exclude activities that may be harmful to the environment and the people. The ineligible subprojects include the following:

- (i) Purchase or compensation for land;
- (ii) Road construction into protected areas;
- (iii) Repair of government offices;
- (iv) Meeting halls and places of worship;
- (v) Environmentally hazardous materials such as chainsaws, explosives, pesticides, herbicides, insecticides, asbestos and other potentially dangerous materials
- (vi) Fishing boats (beyond the weight limit set by Bureau of Fisheries and Aquatic Resources);
- (vii) Activities that have alternative prior sources of committed funding;
- (viii) Activities for fiesta and other religious and cultural activities;
- (ix) International travel;
- (x) Salaried activities that employ children below the age of 16;
- (xi) Consumption items;
- (xii) Maintenance and operation of infrastructure built from project funds.

12. For guidance, the following are ADB's list of prohibited investments:

- (i) Production or activities involving harmful or exploitative forms of forced labor or child labor;
- (ii) Production of or trade in any product or activity deemed illegal under the Philippines laws or regulations or international conventions and agreements or subject of international phase-outs or bans, such as (a) pharmaceuticals, pesticides, and herbicides; (b) ozone-depleting substances, (c) polychlorinated biphenyls and other hazardous chemicals, (d) wildlife or wildlife products regulated under the Convention on International Trade of Endangered Species of Wild Fauna and Flora, and (e) transboundary trade in waste or waste products;
- (iii) Production of or trade in weapons and munitions, including paramilitary materials;
- (iv) Production of or trade in alcoholic beverages, excluding beer and wine;
- (v) Production of or trade in tobacco;
- (vi) Gambling, casinos and equivalent enterprises;
- (vii) Production of or trade in radioactive materials, including nuclear reactors and components thereof;
- (viii) Production of, trade in, or use of unbounded asbestos fibers;
- (ix) Commercial logging operations or the purchase of logging equipment for use in primary tropical moist forests or old-growth forests; and
- (x) Marine and coastal fishing practices, such as large-scale pelagic drift net fishing, harmful to vulnerable and protected species in large numbers and damaging to marine biodiversity and habitats.

II. ASSESSMENT OF ENVIRONMENTAL ASSESSMENT AND REVIEW PROCEDURES

A. Environmental Assessment Requirements in the Philippines

13. The Philippines implements an environmental impact assessment (EIA) system by virtue of Presidential Decree No. 1586 or the Environmental Impact Statement (EIS) system. Presidential Decree No. 1586 was originally devised as an administrative procedure for an action forcing policy that requires proponents of development projects to systematically study and disclose the environmental impacts of their projects. Since its beginnings in the late 1970s, the EIA system has established strong roots in the regulatory system of the Department of Environment and Natural Resources (DENR).

14. By virtue of Presidential Decree No. 1586, projects with potential adverse effects on the environment are required to obtain an Environmental Compliance Certificate (ECC) as a prerequisite for implementation. Depending on the scope of the project, an Environmental Impact Statement (EIS), Initial Environmental Examination (IEE), or a project description is required by DENR. The EIS/IEE/project description is a written report containing an assessment of the most likely impacts of the project on the environment and on the people in the areas to be affected by the project. Projects that are required to submit a project description are those that are determined to pose insignificant impacts to the environment and are granted by the DENR with a Certificate of Non-Coverage (CNC).

15. The DENR has procedures for screening and scoping of projects under DENR Administrative Order (AO) 2003–30. The said order outlines the types of projects covered by the EIS system and the type of documentary requirements to be submitted to DENR. The order also prescribes the processing time of the ECC/CNC application.

16. Based on the possible subprojects, there are those that are not covered by Presidential Decree No. 1586. Table 2 presents the DENR requirements for potential subprojects based on DENR AO 2003–30, and the DENR grouping matrix is shown in Attachment 1.

Table 2: DENR Requirements for Possible NCDDP Subprojects

Subproject	DENR Classification	DENR Documentary Requirement	ECC/CNC
Water supply system	S.4 – Level 1 –Deepwell	Project Description	CNC
	S.4 – Level 2 – Communal faucet		
	S.3 – 6 wells and more	IEE	ECC
School buildings	E.3 – institutional and other related facilities \geq 1 hectare (gross floor area)	IEE	ECC
	E.3 – institutional and other related facilities < 1 hectare (gross floor area)	Project Description	CNC
Access roads	C.4.b – Roads with no critical slope \geq 2km but <20.0 km	IEE	ECC
	C.4.b – Roads with critical slope \geq 2 km but < 10km	IEE	ECC
	C.4.b – Roads < 2km	Project Description	CNC
	C.4.a – Bridges and viaducts \geq 80 m but < 10km	IEE	ECC
	C.4.a – Foot bridges and other bridges <80m	Project Description	CNC
Day care centers	E.3 – Institutional and other related facilities < 1 hectare (gross floor area)	Project Description	CNC

Subproject	DENR Classification	DENR Documentary Requirement	ECC/CNC
Health stations	E.7 – Clinics including rural health units	Project Description	CNC
Post-harvest facilities	D.4.c– Rice mill > 1 ton/hr	IEE	ECC
	D.4.c – Rice mill ≤ 1 ton/ hr	Project Description	CNC
	E.13 – Storage facilities ≥ 1 hectare (gross floor area)	IEE	ECC
	E.13 – Storage facilities < 1 hectare (gross floor area)	Project Description	CNC
Drainage system and environmental protection measures	I.4 – Preventive or proactive measures against potential natural hazards (shore protection, river embankment/river bank stabilization, seawall, etc.	Project Description	CNC
	S.1 – Impounding system < 25 hectares or impounded water <20 million m ³	IEE	ECC
	R.6 – Materials Recovery Facilities with composting facilities	IEE	ECC
	R.6 – MRF with material segregation only	Project Description	CNC
Small irrigation facilities	S.2 – Irrigation system (distribution only) 300 hectares but <1,000 hectare (service area)	IEE	ECC
	S.2 – Irrigation system (distribution only) < 300 hectares (service area)	Project Description	CNC

CNC = certificate of non-coverage, DENR = Department of Environment and Natural Resources, ECC = Environmental Compliance Certificate, EIS = Environmental Impact Statement, hr = hour, IEE = Initial Environmental Examination, km = kilometer, m = meter, MRF = materials recovery facility

Source: Department of Environment and Natural Resources

17. Aside from Presidential Decree No. 1586, there are other environmental laws and regulations that are applicable to the project. These are:

- (i) Philippine Disaster Risk Reduction Management Act of 2010 (Republic Act 10121)
- (ii) Philippine Ecological Solid Waste Management Act of 2000 (Republic Act 9003)
- (iii) Philippine Clean Water Act of 2004 (Republic Act 9275)
- (iv) Philippine Clean Air Act of 1999 (Republic Act 8749)
- (v) Toxic Substances and Hazardous and Nuclear Waste Control Act of 1990 (Republic Act 6969)
- (vi) Wildlife Resources Conservation and Protection Act of 2001 (Republic Act 9147)
- (vii) National Integrated Protected Areas System (NIPAS) Act of 1992 (Republic Act 7586)
- (viii) Philippine Fisheries Code (Republic Act 8550)
- (ix) Fertilizer and Pesticide Act (Presidential Decree 1144)
- (x) Code of Sanitation of the Philippines (Presidential Decree 856)
- (xi) Water Code of the Philippines of 1976 (Presidential Decree 1067)

B. Overview of ADB and WB EIA Requirements

18. Projects financed by both ADB and WB are required to undergo an environmental assessment. ADB's Safeguards Policy Statement (SPS 2009) clarifies the rationale, scope and content of an environment assessment. The SPS is supported by the Environmental Assessment Guidelines (2003).

19. The environment safeguards policy of the WB is guided by the Operations Manual – Environmental Considerations (OP/BP4.01). Other environmental policies of WB, which are linked to the environmental assessment process, are the policies on Pest Management, Natural Habitats, Forestry, and Cultural Property. These are also taken into consideration and will be addressed in the CEAC process and subproject identification.

20. ADB and WB follow the same screening and categorization of subprojects, i.e., Categories A, B, C, and F1 which are dependent on the assessment of significance of environmental or social impacts.

21. For ADB, screening of environmental impacts is done initially using rapid environmental assessment checklists that have been developed as tools for environmental categorization and assessment of various projects. The REA checklist developed for various projects will be used as reference and integration into the screening and categorization checklists of the NCDDP for the screening of subprojects.

22. The assessment of equivalence of the environmental assessment requirements of ADB, WB and the GOP shows similarity in terms of using the procedure as a tool for project planning wherein environmental assessment is required before project implementation. However, the scope of environmental assessment of the government differs from that of ADB and WB in terms of categorization. The government's categorization is generally based on scale and size of a project whereas ADB's and WB's categorization is based on significance of the environmental impact of a particular project.

C. Assessment of Institutional Capacity of Borrower

23. DSWD has environment safeguards officers working under the Engineering Section of the Technical Support Services Division at the national level to supervise and assist the regional environmental safeguards officers and project preparation team in ensuring the integration of environmental safeguards in project planning and implementation. Plans are underway to establish regional environmental safeguards offices with preferably one environment safeguards officer per region.

24. Previous experience under KC developed the capability of DSWD in the environmental screening, assessment of environmental impacts, and training of community volunteers and facilitators on environment safeguards. Training for the regional officers will be further enhanced under the NCDDP.

25. Taking off from the KC process, the monitoring of compliance with environmental safeguards will be the responsibility of the project preparation team as guided by the Deputy Area coordinator while the monitoring of compliance will be carried out by the barangay subproject management committee (BSPMC). For environmental protection subprojects and those with project cost of more than Php2 million, the monitoring will be done by the safeguards officer at the regional level, in coordination with the safeguards officers at the national level. The safeguards officer at the national level will conduct the random monitoring of subprojects.

III. ANTICIPATED ENVIRONMENTAL IMPACTS

26. Most of the anticipated environmental impacts of potential subprojects are likely to occur during the construction stage and are therefore considered temporary in nature. The

environmental impacts are primarily from the cutting of trees, transportation of construction materials, soil runoff, generation of construction wastes, noise nuisance to nearby residential areas, and other health and safety concerns for workers and the community. Table 3 presents the anticipated environmental impacts and mitigation measures for subprojects. These are indicative impacts and will need to be further explored during the detailed design stage of subprojects.

Table 3: Anticipated Environmental Impacts and Mitigation Measures

Anticipated Environmental Impacts	Mitigation Measures
WATER SUPPLY	
Design and location	
Increased access to water supply will increase generation of wastewater	Improve the sanitation system to accommodate increased water supply, including provision for new toilets, septic tank desludging and other low-cost sanitation options.
Risk of well contamination	Locate wells uphill of potential sources of pollution, away from garbage dumps, septic tanks, soak pits, latrines, and drains
Decreased yield of wells in the immediate vicinity	Locate new wells at least 100meters from existing tube well/dug well.
Access to the well is difficult	Ensure that the well is easily accessible throughout the year and that access route to the well is not susceptible to flooding
Land disputes arising from location of well	Ensure that the well site has no legal problems and is acceptable to users
Water contamination may affect health of users	Check water quality of the well; decontaminate the well before it is put to use; provide a concrete pad with a slope around the well; provide adequate drainage to ensure that no ponding of water occurs around the well.
Construction	
Loss of trees and vegetation	Avoid cutting of trees to the extent possible and undertake tree planting in accordance with the requirements of the DENR for tree replacement
Generation of dust	Spray water over stockpiles to avoid dust emission
Impact on topography and slope stability	Construction activities to avoid steep slopes and landslide-prone areas
Contamination of water	Monitoring of water quality
ACCESS ROADS	
Construction	
Temporary disruption to local access due to open trenches, excavation or road closures (for road widening)	Consult with the LGU on the development of a traffic re-routing plan to minimize traffic flow interference from construction activities
Accidents and other related hazards to the public and workers due to open digging and construction works	Install barricades and use steel plate or other temporary materials to cover open trenches particularly at nighttime. Install warning signage and adequate lighting
Clogging of drainage canals	Periodic cleaning of side drains and drainage canals. Do not allow washing of concrete mixers and other construction vehicles at the site.

Anticipated Environmental Impacts	Mitigation Measures
Operation	
Increased road accidents	Enforce speed limits, traffic rules and regulations Install warning signs, pedestrian crossings, and specific areas for public vehicle stops
Deterioration of air quality due to exhaust fumes from vehicles	Plant trees along the RoW to act as buffer zone to minimize dust, vehicle emissions, and noise nuisance to adjacent residential communities.

DENR = Department of Environment and Natural Resources, LGU = local government unit, RoW = right of way.

27. The DSWD and Millennium Challenge Corporation have been using guidelines and manuals for environmental management of projects covered by four (4) thematic areas (i) roads and bridges, (ii) potable water systems, (iii) vertical structures, and (iv) environmental protection structures such as seawall, river wall protection, and drainage system.

IV. ENVIRONMENTAL ASSESSMENT FOR SUBPROJECTS AND/OR COMPONENTS

A. Environmental Criteria for Subproject Selection

28. Future subprojects will be required to follow the environmental safeguard requirements of ADB. Table 4 shows the specific environmental criteria for subproject selection:

Table 4: Environmental Criteria for Subproject Selection

Environmental Criteria
<p>Overall selection criteria (applicable to all subprojects)</p> <ul style="list-style-type: none"> (i) Subproject will not be located within national parks, wildlife sanctuaries and nature reserves, or wetlands, unless unavoidable for technical reasons; (ii) Monuments of cultural or historical importance will be avoided; (iii) Construction activities do not adversely affect the population living in the vicinity of the proposed subproject and do not create any threat to the survival of any community with special reference to tribal community or public utility services like schools, parks, hospitals, etc.; (iv) Resettlement of households by the program and compensation for loss of livelihood will be carried out in an equitable manner and with due consultation with the affected households and local government units concerned; (v) Subproject will not bring about significant change in land use from residential or institutional to commercial or industrial in the vicinity of the subproject site; (vi) An EMP with adequate budget will be developed by each subproject. Proper environmental monitoring mechanism must be in place to monitor the EMP during the construction and operational stages of each subproject; (vii) Potential environmental impacts will be minimized by avoiding sensitive areas. Relocation, realignment or selection of alternative sites to minimize impacts may be required; (viii) Clearing of any existing forest resources will be avoided, if possible, and where unavoidable, will be minimized and compensated as per government requirements; (ix) New equipment/facilities and materials will follow international standards and best practices to avoid use of chemicals using GHG emissions.
<p>Water Supply</p> <ul style="list-style-type: none"> (i) Subproject will avoid any groundwater source where water quality and bore hole sampling tests reveal arsenic levels above the PNSDW; (ii) Ensure adequate water is available for proposed extraction rates to ensure sustainable use and yields of groundwater resources; (iii) Provide adequate protection from pollution around communal wells and faucets; (iv) Polluted water resource with very poor quality will not be utilized; (v) Locate the well as close as possible to houses and maintain a safe distance from septic tanks and other pollution sources to avoid contamination of groundwater sources;

(vi) Ensure that the well is accessible to the community and that the access route to the well is not susceptible to flooding;
(vii) Ensure that the well site has no legal problems (disputed land) and is acceptable to users.
Access Roads
(i) Ensure that the access road avoids agricultural, private land, and cultural sites;
(ii) Avoid cutting of trees as far as possible;
(iii) Ensure that efficient drains are provided on both sides of the road, leading to a natural outfall.
School buildings, Health stations and Day Care Centers
(i) Ensure provision of adequate and clean toilets with septic tanks or other low-cost sanitation measures for the facilities;
(ii) Include adequate storm water drainage as part of the design of school building/facilities to avoid flooding;
(iii) Provide operations and maintenance and safety guidelines to ensure upkeep of facilities;
(iv) Include community education to raise awareness on the importance of good sanitation, cleanliness, and public health.
Post-harvest Facilities
(i) Hazardous substances, materials or products will not be stored in the post-harvest facility.
Drainage system and environmental protection measures
(i) Locate new drains in the right-of-way alongside existing roads to avoid the need to acquire new land;
(ii) Ensure that new drainage systems dispose of all drainage water safely and adequately without polluting surface water or groundwater;
(iii) Ensure measures for odor and vermin control for solid waste management subprojects;
(iv) Avoid cutting of mangroves for subprojects on riverbank protection and seawall construction.
Small Irrigation Facilities
(i) Subproject beneficiaries will be trained on Integrated Pest Management to minimize the use and application of pesticides prohibited by the Fertilizer and Pesticide Authority (FPA), in coordination with the Municipal Agricultural Office (MAO) or the regional agricultural office. The training will cover chemical handling, dose calculation, storage and disposal of spent pesticide containers and expired chemicals.
(ii) Subproject beneficiaries will be encouraged to use organic fertilizers.

EMP = Environmental Management Plan, FPA = Fertilizer and Pesticide Authority, GHG = Greenhouse Gas, PNSDW = Philippine National Standards for Drinking Water

Sources: Asian Development Bank (Safeguard Policy Statement 2009), Department of Social Welfare and Development (Environmental and Social Management Framework).

B. Environmental Assessment and Review Procedures of Subprojects

29. The environmental assessment and review procedures will apply to subprojects within the menu of community-identified projects eligible for funding under the investment grant. Each subproject will be screened for compliance with the selection criteria listed above prior to additional analysis of environmental issues.

30. To facilitate the integration of environmental and social safeguard concerns in the Community Empowerment Activity Cycle (CEAC) process, Table 5 shows the activities that are parallel with the different stages of the CEAC while Figure 1 presents the environmental safeguards activities per subproject process.

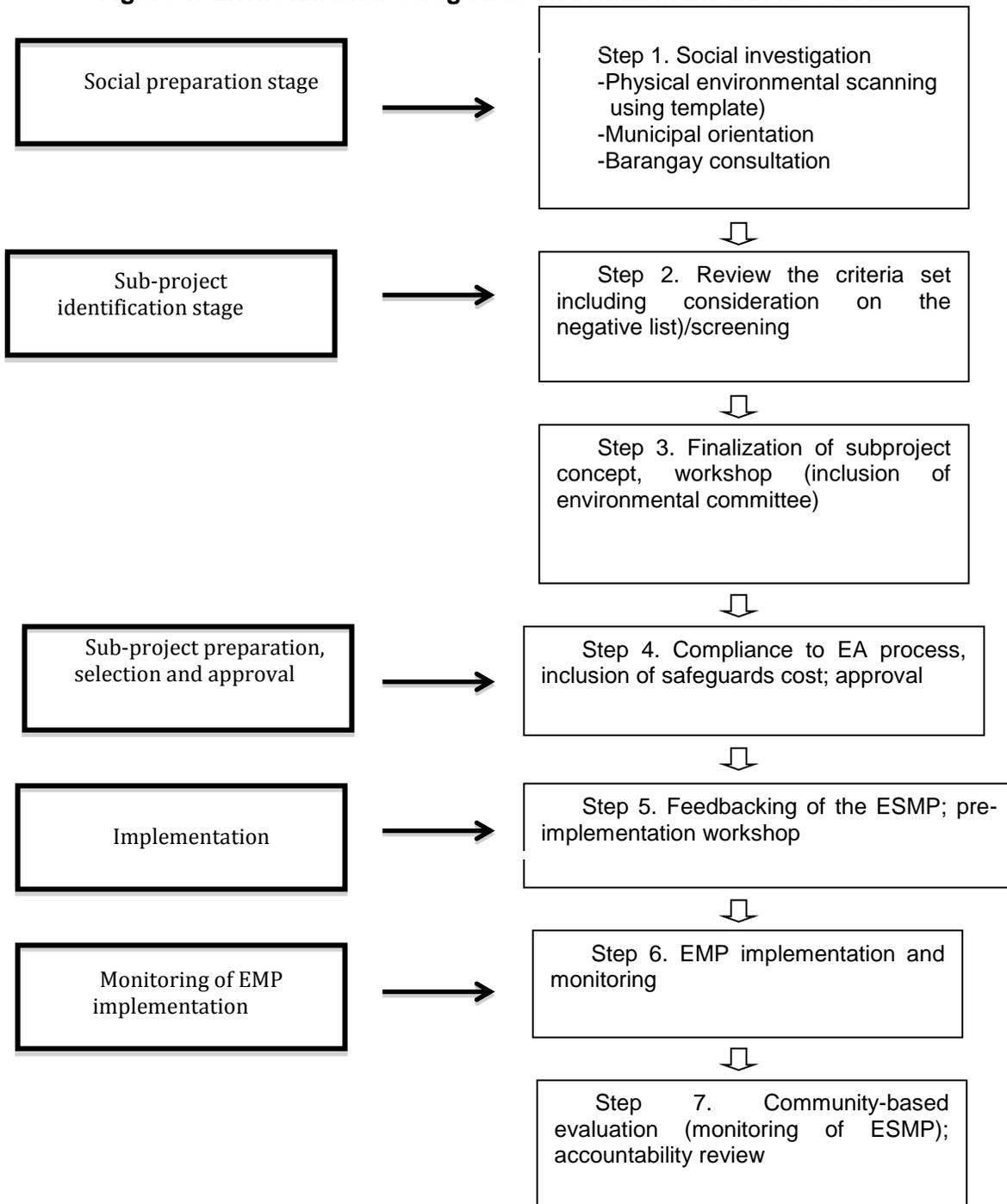
1. Social Preparation Stage

31. During the social preparation stage meetings and consultations among community members are conducted. Community members are able to identify and prioritize subprojects. Based on the physical scanning and discussion of priorities, they will identify subproject implementation issues including relevant environmental issues and mitigation measures. The

views of the affected people and other stakeholders, including women and IPs, form part of the decision-making process.

32. Follow-up public consultations occur at the subsequent stages of the subproject and are carried out on an ongoing basis throughout the project cycle.

Figure 1: Environmental Safeguards Activities in the CEAC Process



CEAC = community empowerment activity cycle, ESMF = Environmental and Social Management Framework, ESMP = Environmental and Social Monitoring Plan, EA = Environmental Assessment, EMP = Environmental Management Plan.

33. Physical scanning will be conducted to check the environmental conditions at the site using an environmental scanning checklist. The scanning activity will be supported with random interviews of people in the area to validate the geographic representation and environmental issues and concerns inherent in the area.

Attachment 2 presents the environmental and social investigation checklist used for environmental scanning during the social preparation stage.

2. Subproject Identification Stage

34. **Criteria Setting Workshop.** A proposed subproject is initially screened against the negative list mentioned in para. 11.

35. For small irrigation subprojects, the WB's Operational Policy 4.09 on Pest Management is triggered and therefore, calls for the need for an Integrated Pest Management (IPM) screening.

36. As stated in the previous section, the purchase of pesticides which are environmentally hazardous, is prohibited under project. The safeguards policies of WB provide guidelines and restrictions on distribution of pesticides particularly those categorized by World Health Organization (WHO) as Class I and II pesticides (under WHO's Recommended Classification of Pesticides by Hazard and Guidelines to Classification, 1994–95). In KC, there were a number of small irrigation subprojects implemented. Although the KC did not fund any purchase of pesticides, the farmer-beneficiaries purchased pesticides and herbicides using their own funds and used them in the newly irrigated lands.

37. The environmental and health impact of the use of these pesticides must be controlled and monitored. It is important that the beneficiaries of small irrigation subprojects are given proper orientation and training on the use and application of these chemicals and encouraged to adopt IPM where use of pesticides is minimized. Such trainings are provided by the municipal agricultural office (MAO) with the assistance of the regional office of Department of Agriculture. Hence, for irrigation subprojects, the area coordinator will ensure that the proponents collaborate with the MAO to ensure that they are provided with the required training on IPM and on the handling, dose calculation, storage and disposal of pesticides and their containers.

38. The environmental criteria for screening eligibility to the NCDDP funding are presented in a checklist format in Attachment 2 to serve as a guide to communities in the identification of subprojects that would qualify for short-listing. The checklist integrates the rapid environmental assessment checklist being used by ADB.

39. **Project Development Workshop.** A project development workshop is then conducted, which includes the environmental committee within the project preparation team. This team will evaluate the subproject and its environmental impacts, environmental risks and proposed mitigation measures. Guided by the DSWD, the IEE/project description and the EMP will be prepared by community volunteers working under the environmental committee of the project preparation team.

40. **Identification of Documentary Requirement for Subprojects.** Before a subproject can be subjected to environmental assessment and review, its category has to be determined for the identification of appropriate documentary requirement. Attachment 1 details the DENR's

project categories and the corresponding documentary requirements, certification types, endorsing officials, deciding authority and maximum processing time to deny or issue an Environmental Compliance Certificate (ECC). Table 2 outlines the DENR requirements for possible subprojects based on the DENR grouping matrix in DENR AO 2003-30. The DENR threshold limits can be found in Table 2.1 of the DAO 2003-30 Procedural Manual and used as a reference by the proponent/community in categorizing subprojects.

3. Subproject Preparation, Selection and Approval

41. **Preparation of Program of Work.** Eligible subprojects are subjected to more rigorous environmental screening. Once the subprojects are screened and categorized, the Environmental Screening and Categorization form (Validation Form) helps communities identify which documents need to be prepared to comply with the DENR requirements.

42. The Environmental Screening and Categorization form, presented in Attachment 3, was developed to apply to any subproject type. The form guides the communities in identifying environmental and social issues associated with the location, construction and operation of subprojects.

43. Based on location and likely impacts, and scale/size of the subproject, the environmental category in the DENR system can then be derived. The subproject category is proposed by the community facilitator/LGU, concurred by the regional environmental safeguards officer and approved by national environmental safeguards officer.

44. For Category B subprojects, an Initial Environmental Examination (IEE) report/checklist including an Environmental and Social Management Plan (ESMP) will be prepared. For Category C subprojects, no IEE report is required but a project description with the subproject environmental implications will be reviewed will be prepared. It is most likely that there is no Category A subproject under the program.⁵

45. The level of detail of the environmental assessment and the IEE should be commensurate with the significance of potential impacts and risks of a subproject. Subprojects with limited potential risks and impacts need to focus on direct impacts with site-specific cause-effect linkages. The IEE/project description are prepared by community facilitators in consultation with the stakeholders. These documents are developed in a language that is understandable by the community.

46. For Category B subprojects funded by ADB, the IEE with an EMP and subsequent semi-annual environmental monitoring reports shall be submitted by DSWD NPMO to ADB for review and approval prior to uploading at the ADB's website in accordance with the information disclosure requirements of ADB SPS (2009) and PCP 2011.

47. **Environmental Assessment Report Preparation.** Attachments 4 and 5 present the prescribed outlines of the following reports:

- (i) Project Description (PD) for Category C subprojects
- (ii) Initial Environmental Examination (IEE) for Category B subprojects.

⁵ Based on previous KC experience, majority of the community subprojects of KC are limited in size and scale and fall under Category C. As of January 2013, of the 1,380 subprojects supported by KC, only one subproject located in Iloilo City on river dredging was considered as environmental Category B.

48. To streamline environmental actions, a pro-forma Environmental Management Plan (EMP) was developed which may be applicable to any one or a group of subprojects. The EMP format is shown in Attachment 6.

49. **Environmental Assessment Process.** Compliance with the environmental assessment process, review of documents, and assessment of environmental impacts will be done through the Municipal Inter-agency Committee (MIAC) with assistance from the DSWD. Cost of safeguards implementation will be determined and reflected in the EMP aside from the costs of implementing construction safety.

50. The EMP of Category B subproject will be reviewed and cleared by the National Safeguard Officer or a duly authorized officer. For category C or common type of subprojects with minimal negative environmental impacts, the municipal and regional level officers will do the review and approval.

4. Implementation

51. The necessary ECC for Category B subprojects will be obtained by the EA prior to contract award. Contractors will implement the EMPs that are incorporated in the civil works contracts. To ensure that the contractors appropriately implement the agreed mitigation measures, the Infrastructure Committee will include the safeguard requirements in civil works contracts.

52. **Pre-Implementation Workshop.** A subproject pre-implementation workshop will be conducted to provide feedback to the community on the EMP.

53. **Implementation of Environmental Mitigation Measures.** Community-based evaluation of the ESMP implementation will be conducted through the stakeholders and community facilitators/volunteers. Monthly reports of ESMP implementation including environment-related complaints received will be reported to the regional PMO.

5. Monitoring and Audit Arrangements

54. For subprojects under Category B, semi-annual environmental monitoring reports that outline the implementation of the EMP will be submitted to the DENR-EMB regional office every January and July of each year. The DENR-EMB may exercise its discretion to change the schedule of reporting and to validate the project audit report (PAR) of the community. The Community/LGU Proponent will be required to furnish the NCDDP-NPMO a copy of the PARs.

55. For subprojects with no monitoring requirement from the DENR, project audit report is prescribed by the National Project Management Office (NPMO). Reports will be submitted to the Regional Project Management Office (RPMO) annually for evaluation and continual improvement of performance on environmental management and overall sustainability of subprojects. RPMO will conduct random inspection of Category C subprojects to validate implementation of the EMP.

56. For Category B subprojects and those with ECC, monthly environmental compliance monitoring reports shall be prepared by the BSPMC, in coordination with the RPMO. The NPMO shall conduct random inspection of Category B subprojects to validate implementation of the EMP. Semi-annual environmental monitoring reports of Category B CDDSP subprojects will be submitted to ADB for uploading at the website.

57. For both cases (with and without ECC), the NPMO will periodically conduct an internal audit of the environmental performance of the subprojects as part of its integrated evaluation of the subproject program. Attachment 7 adopts the DENR monitoring form for compliance with ECC and/or EMP.

58. The ADB and WB may periodically monitor compliance through its supervision missions. The RPMO as well as the National Project Management Team as may be represented by the Environmental Safeguards Officer will participate in such missions.

Table 5: Environmental and Social Safeguards within the CEAC Process

CEAC Process	Environmental Safeguards	Social Safeguards	Task/Activities	Responsible Entity	Output
Social Preparation Stage					
Social Investigation and initial environmental assessment	Physical environmental scanning Check environmental conditions at the site and vicinity Use environmental scanning checklist Random interviews of people in the barangay to validate (geographic representation)	Determine presence of IP families in the Barangay/community ; get demographics data	Rapid rural appraisal, tran-sectional survey Ensure engagement with NCIP for IP areas	CF-Community Volunteers /ACT (MT)	Resource base of the community, environmental and social issues (Envi in SI Form)
Municipal Orientation	Awareness raising on environmental concern Discussion of environmental concerns and issues	Data gathering on different projects being implemented by the Municipality. Data gathering on social situation, esp. of IP groups. Disclose/share IP and LARR frameworks salient points	Validation if LGU has CLUP Ensure engagement with NCIP for IP areas	ACT/MCT	Minutes of meetings
Barangay Consultation	Awareness raising on environmental concern/CCA Discussion of environmental concerns and issues	Data gathering on social situation, esp. of IP groups Disclose/share IP and LARR frameworks salient points	Environmental and social issues, risk assessment Ensure engagement with NCIP for IP areas	BA/CF	risk assessment result/matrices
	Role of PPT to include environmental and safeguard point person				
Participatory Situation Analysis	Problem analysis linking to current environmental situation/vulnerability	Awareness raising on issues and concern of the barangay including the IP community/househol	Identification of community issues with regard to environmental and social	ACT/MCT/CF	ESS Form Accomplished

CEAC Process	Environmental Safeguards	Social Safeguards	Task/Activities	Responsible Entity	Output
		d IP screening	concerns Ensure engagement with NCIP for IP areas		
Subproject Identification Stage					
Criteria Setting Workshop	Review the criteria set which may include environmental safeguards (including consideration of the negative list of subprojects)	Review the criteria set in relation to the social concerns in the area such as IP and vulnerable sectors' concerns (including consideration of the negative list of subprojects) and potential negative social impacts	Weight or match the need with the current natural resources/problem and/or social issues	CF-Community Volunteers /ACT (MT)	Criteria set with environmental and social safeguards consideration
	Environmental screening (using eligibility checklist)		Identify projects if needing CNC or ECC	CF-Community Volunteers /ACT (MT)	List of projects screened -Checklist for assessing eligibility -Validation Form
Finalization of Subproject Concept		Inventory of land acquisition requirements and impact Assessment of potential impact on IP and other vulnerable groups Project validation			
Project Development Workshop	Inclusion of environmental committee within the Project preparation Team Preparation of EMP+IEE/PD thru volunteers guided by DSWD including risk assessment	Inclusion of IP and other physically-challenged and vulnerable persons in the community	Investigate which among subprojects need DoD or ROW Acquisition	CF/Barangay Assembly/ACT	Project preparation Team Formed
Subproject Preparation, Selection and Approval Stage					
Preparation of Program of Work	Compliance to EA Process; review of documents - assessment of environmental impacts (Municipal Inter-agency Committee) assisted by DSWD	Compliance to IP and LARR Frameworks	Preparation of PD/IEE; uploading of IEE at ADB website (for Category B subproject funded by ADB) Preparation of		PD/IEE and ESMP

CEAC Process	Environmental Safeguards	Social Safeguards	Task/Activities	Responsible Entity	Output
			IPDP, if needed		
	Inclusion of safeguards in the project cost include EMP cost, aside from construction safety costs		Cost estimate of permits, Involuntary resettlements		
Approval & Request for Fund Release	Ensuring that subprojects are not within the high risk area; Ensuring subprojects are in consonance with the WB policy on Pest Management	RPMO/NPMO review RFR with regards to due diligence on environmental and social safeguards			RPMO/NPMO evaluated the subprojects
		Revalidate subprojects proposal if necessary			Re-validated and recommended for revision of POW/design if necessary
Implementation					
Pre-Implementation Workshop	Feed-backing of the ESMP subproject	Ensure compliance on IP and LARR frameworks requirements	Presentation of ESMP to the Community	Infra. Com/CF/ACT	
			Discussion on possible action or activities on how to implement the ESMP		
Implementation of SP, O & M,	Implementation of mitigating measures by the Infra.com and/or community	Filing of copy of DOD or Certification	i.e. Planting of trees, containment of dust during construction	Infra Com	Compliance of mitigating measures
M & E		Monitoring participation of IP, displaced persons, and other sectors (senior citizen, etc.) in the community	Monitoring of implementation of ESMP	DAC	
Community-Based Evaluation	Monitoring of ESMP by BSPMC with monthly monitoring report For Category B subprojects funded by ADB - preparation of semi-annual environmental monitoring report and submission to ADB for uploading at ADB		Implementation Of Post project mitigating measures as stated in the ESMP	Infra. Com/Barangany	For Category B – Semi-annual environmental monitoring report to be uploaded at ADB website

CEAC Process	Environmental Safeguards	Social Safeguards	Task/Activities	Responsible Entity	Output
	website				
Accountability Review	implementation of sustainability plan		Conduct of SET	O & M Committee	Completed SET

CEAC = Community Empowerment Activity Cycle; CF = community facilitator; ACT = area coordinating team; MT = monitoring team; SI Form = subproject identification; IP = indigenous peoples; NCIP = National Commission on Indigenous People; LGU = Local Government Unit; CLUP = Comprehensive Land Use Plan; BA = barangay assembly; CCA = climate change adaptation; LARR = land acquisition, resettlement and rehabilitation; PPT = project participation team; ESS Form = environmental and social screening form; CNC = Certificate of Non-Coverage; ESMP = Environmental and Social Management Plan; ECC = Environmental Compliance Certificate; DoD = Deed of Donation; RoW = Right-of-Way; IEE = Initial Environmental Examination; PD = Project Description; EMP = environmental management plan; IPDP = indigenous peoples development plan; RPMO = Regional Project Management Office; NPMO = National Project Management Office; DAC = ; BSPMC = ; O&M = Operation and Maintenance.

Source: Department of Social Welfare and Development (ESMF).

V. CONSULTATION, INFORMATION DISCLOSURE AND GRIEVANCE REDRESS MECHANISM

59. ADB requires that the DSWD engage with communities, groups or people affected by the CDDSP. For Category B projects, it is recommended that public consultation be carried out during the early stages of the environmental assessment process and throughout the project implementation to address any environmental issues that affect the local communities, NGOs, governments, and other interested parties. ADB requires meaningful consultation, which is defined as a process that (i) begins in the project preparation stage and is carried out on an ongoing basis throughout the project cycle; (ii) provides timely disclosure of relevant and adequate information that is understandable and readily accessible to affected people; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender-inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of affected people and other stakeholders in decision-making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues. This is required of all projects.

60. The procedure based on previous KC experience is that even during the environment scanning or subproject identification phase, environmental issues were already determined in consultation with the communities. The strong consultation and participation of communities during the CEAC process will be ensured.

61. The borrower/client will submit to ADB the following documents for disclosure on ADB's website (i) the final IEE; (ii) a new or updated IEE and corrective action plan prepared during project implementation, if any; and (iii) the environmental monitoring reports. The EA will provide relevant environmental information in a timely manner, in an accessible place and in a form and language understandable to affected people and other stakeholders. For illiterate people, other suitable communication methods will be used.

62. A project grievance can be defined as an actual or perceived project-related problem that gives ground for complaint by an affected person (AP). As a general policy, DSWD will work proactively toward preventing grievances through the implementation of impact mitigation measures and community liaison activities that anticipate and address potential issues before they become grievances. This will be the responsibility of community facilitator and the RPMO.

63. During subproject construction and operation, it is possible that unanticipated impacts may occur if the mitigation measures are not properly implemented, or unforeseen issues occur. In order to address complaints (if and when they arise), a project grievance redress mechanism has been developed in accordance with ADB and WB requirements.

A. Type of Grievance

64. Any affected person (AP) will be able to submit a grievance to DSWD if he or she believes a practice or activity is having detrimental impact on the environment, community, or on their quality of life. Grievances could include:

- (i) Negative impacts on the community or a person (e.g. financial loss such as from loss of roadside trees, health and safety issues, noise from construction, nuisances, etc.)
- (ii) Dangers to health and safety or the environment
- (iii) Social impacts due to construction team activities or impacts on social infrastructure
- (iv) Failure to comply with standards or legal obligations
- (v) Harassment of any nature
- (vi) Criminal activity
- (vii) Improper conduct or unethical behavior
- (viii) Financial malpractice or impropriety or fraud
- (ix) Attempts to conceal any of the above.

B. Grievance Resolution Process

65. The project's grievance resolution process basically follows the grievance procedures under the CEAC. Consultations begin during the subproject conceptualization until project implementation. The APs are consulted and informed of the decisions regarding the proposed subprojects, including complaints arising from project implementation.

66. The project's grievance redress system will be used as the mechanism for Indigenous Peoples (IP) groups and indigenous cultural communities (ICCs) to air out complaints or grievances in the course of subproject implementation. Community facilitators will inform indigenous groups about this system at the start of project implementation. Staff will ensure that meetings and consultations about the system are conducted with IP groups, independently of the regular GRS orientation activities, if needed. IPs will likewise be informed that complaints may also be registered with and by the National Commission on Indigenous Peoples (NCIP), and included in their quarterly reporting to the national steering committee (NSC) or the regional project management team (RPMT). RPMTs will ensure that the NCIP will likewise disseminate this information to indigenous groups, local NGOs and the press.

67. In addition, the project will continue to maintain a grievance register, which will provide information on the number and type of grievance and complaints from indigenous groups at the municipal and provincial levels, and on the way these complaints have been addressed. This information will be included in the quarterly project reports to the National Steering Committee.

68. To the extent possible, resolution of grievances involving IP communities related to project implementation will be through traditional IP grievance resolution processes and systems, following of the principle of precedence of customary laws in the Indigenous Peoples Rights Act.

VI. INSTITUTIONAL ARRANGEMENTS AND RESPONSIBILITIES

A. Project Implementation Arrangements

69. The NCDDP adopts an institutionalization framework and strategy that seeks to integrate lessons in the implementation of CDD processes and strategies into the regular planning, budgeting, implementation, and monitoring processes, systems, and structures of the barangay and municipal LGUs. In project areas where IPs are found, project staff will ensure that participatory approaches for engaging IPs, as well as the development priorities of IP and ICCs, are integrated into the local development planning system of LGUs. These can include (i) integration of key features of this safeguards framework and strategy into the LGUs governance systems; (ii) establishment and maintenance of IP and ICC databases; (iii) integration of Ancestral Domain Sustainable Development & Protection Plan(ADSDPP) processes into the MLGU local development planning instruments and manuals, and; (iv) facilitating review and/or development of ADSDPPs, among others.

B. Environmental Assessment Preparation

70. Subprojects that are covered or not covered by the Philippine EIS system are required to prepare the corresponding environmental assessment documents. Each subproject should at the minimum have an ESMP that presents the anticipated environmental impacts and the prescribed mitigation measures to address these impacts.

71. The ESMP/IEE/project description are to be prepared by the community/LGU under the supervision of DSWD RPMO and NPMO. At the regional offices, the RPMO engineers and DENR-EMB personnel shall conduct joint seminars and orientations to thresh out operational issues in the ECC/CNC application and issues; to upgrade skills of the community/LGU on IEE preparation; to share information on current environmental regulations; and to enable them to monitor compliance with CNC/ECC conditionalities.

72. The communities shall wait for the CNC/ECC issued by the DENR-EMB before starting the implementation of subprojects. For subprojects that have to secure an ECC, area coordinators and LGU engineers are required to complete the IEE and forward these to the RPMO as part of the requirements in requesting for funds.

VII. MONITORING AND REPORTING

73. ADB requires the submission of semi-annual environmental monitoring reports for subprojects under Category B. Similarly, these subprojects are those which are required to secure the ECCs from the DENR and are therefore required also to submit to DENR the semi-annual environmental compliance monitoring reports (CMRs) which highlights the compliance of the subproject with the ECC conditions and EMP commitments. This environmental monitoring system of the DENR can be integrated into the semi-annual monitoring and reporting system of subprojects. Attachment 7 presents the semi-annual monitoring template for monitoring ECC compliance and EMP implementation.

74. For subprojects that are issued with the CNCs and have no reporting required by the DENR, the evaluation of environmental performance and management will be included in the annual project audit report to be prepared by the Regional Project Management Office (RPMO). The RPMO will conduct random inspection of Category C subprojects to validate implementation of the ESMP. For Category B subprojects and those with ECC, monthly

environmental compliance monitoring reports shall be prepared by the BSPMC, in coordination with the RPMO.

75. The NPMO through the Engineering-Technical Support Services Division will periodically conduct an internal audit of the environmental performance of the subprojects as part of its integrated evaluation of the program.

76. ADB will periodically monitor compliance through its supervision missions. The NCDDP RPMO or the Engineering/Environment Safeguards team will participate in such missions.

Attachment 1: DENR Project Categories and Corresponding Documentary Requirements

Project Category	Project Sub-Category (Status)	APPLIED TO (by the number of a unit project per location)	DOCUMENTS REQUIRED FOR ECC/CNC APPLICATION	PROCESSING RESPONSIBILITY/ Endorsing Official	DECIDING AUTHORITY	MAXIMUM TIME TO GRANT OR DENY ECC APPLICATION (work days)
A: Environmentally Critical Projects	A-1: New	Co-located projects	Programmatic EIS based on an eco-profile and focused on the most critical environmental parameters	EMB Central Office (CO) Director	DENR Secretary	180 days
		Single Project	Project EIS	EMB CO Director EMB CO/EIA Division Chief	DENR Secretary EMB Central Office Director	120 days 120 days
	A-2: Existing and to be expanded (including undertakings that have stopped operations for more than 5 years and plan to re-start, with or without expansion)	Co-located projects	Programmatic Environmental Performance Report and Management Plan (PEPRMP)	EMB Central Office Director	DENR Secretary	120 days
		Single Project	Environmental Performance Report and Management Plan (EPRMP)	EMB CO/EIA Division Chief	EMB Central Office Director	90 days
	A-3: Operating without ECC					
	B: Non-Environmentally Critical But located in an ECA	B-1: New	Single Project	Project IEE or IEE Checklist if available (IEE may be followed up by full EIA if required by EMB after its review of the IEE)	EMB/CO EIA Division Chief	EMB Central Office Director
EMB Region/EIA Division Chief					EMB Regional Director	60 days
B-2: Existing and to be expanded (including undertakings that have stopped operations for more than 5 years and plan to re-start, with or without expansion)		Single Project	Environmental Performance Report and Management Plan (based on a checklist if available)	EMB Region/EIA Division Chief	EMB Regional Director	30 days
		Co-located Project	PEPRMP	EMB CO/EIA Division Chief	EMB Central Office Director	60 days
B-3: Operating without ECC						
C: Environmental Enhancement or Direct Mitigation		Co-located or Single Projects	Project Description	EMB RO / EIA Division Chief	EMB Regional Office Director	15 days
D: Not Covered			Project Description or Proof of Project Implementation Start prior to 1982 (if applying for a CNC)	EMB CO or RO /EIA Division Chief	EMB CO or RO Director	15 days

Source: DENR DAO 2003–30 Procedural Manual, Section 5.1.

**Attachment 2: Checklist for Assessing the Eligibility of Subprojects for Funding Under
the KC (based on environmental criteria)
(To be done prior to Project Development Workshop)**

A. Project ID	
Name of Association/Barangay	
Name of LGU-Proponent	
Subproject Name	
Location	

D. B. Eligibility Checklist				
E. (to be filled out by the PPT/together with CF use "√" mark)				
F. Must Criteria				
Based on environmental and social considerations, a subproject is recommended to be financed under KALAHI-CIDSS if the project has complied with the following eligibility criteria (as applicable):	Yes	No	Attachment Number	Remarks
1) Subproject sites and operations is reasonably be free from significant social and environmental problems and issues, or has feasible mitigating measures which can be provided, as listed below:				
a) Subproject site in protected areas is consistent with the protected area zoning, and supported with a resolution from the PAMB.			1 (PAMB Resolution)	
b) Subproject site in other parts of the LGU is consistent with the local land use zoning, supported with a local land use clearance.			2 (LGU Land Use Clearance)	
c) The subproject in an IP area has undergone Field Based Investigation (FBI) of the NCIP and has been granted a Free and Prior Informed Consent (FPIC) from the IP community.			3,4 (FBI, FPIC)	
d) Subproject site within physical cultural resources, has secured an National Historical Institute (NHI) clearance			6 (NHI Clearance)	
2) Water supply from proposed sites is free from any contamination (without treatment) as certified safe by the Department of Health or the local health officer thru the conduct of water sample analysis;			7 (DOH Certification)	
3) The subproject proponent attests that are no other users of the proposed water supply source (thru NWRB statement) or the current users have concurred to support additional beneficiaries.			8 (Concurrence of Other Users or NWRB Statement)	
4) The proposed water supply source has been officially secured with a Certificate of Water Availability from NWRB.			9 (NWRB Certificate)	

C. Statement on Eligibility (attach additional sheet for lengthy discussion)		
1. Notes by the proponent for the ACT		
2. Assessment of ACT(Municipal level)		
<input type="checkbox"/> Eligible for Funding	<input type="checkbox"/> Return to ACT for Clarification	<input type="checkbox"/> Not Eligible for Funding

Attachment 3

KALAHI-CIDSS

VALIDATION FORM FOR ENVIRONMENTAL PROTECTION & CONSERVATION
(Seawall, Slope Protection, River Embankment, Drainage System, Waste/Sanitation Facility)

Name of Barangay : _____

Municipality : _____

Province : _____

Schedule of Implementation based on Year of Funding: _____

Income Class: _____

Project Profile			
A. GENERAL			
A.1 Title of the Proposed Subproject		(indicate the title or name of the proposed subproject.)	
A.2 Location		(state specific location e.g. barangay of the SP)	
A.3 Mode of Implementation		Community Procurement	
A.4 Implementing Barangay/Group		_____	
A.5. Projected Beneficiaries of the proposed subproject	Groups	Within the Barangay	Outside the Brgy.
	male female (households)		
	IPs male female (households)		
	Total male female (households)		
B. SUBPROJECT-SPECIFIC INFORMATION			
B.1 Seawall			
B.1.1 No of households that will be protected by the proposed subproject			
B.1.2 Distance of the Household from the Foreshore (High Tide)		_____ linear meters/kilometers	
B.1.3 Was there a seawall that had been constructed before?		() yes () no; what year? Reason why it was damaged? _____ _____ (please indicate distance of facility to the Community - present condition)	
B.2 Slope Protection			
B.2.1 What is the current slope of the area:		() 0-5 % () 6-10 % () 11-15 %	
B.2.2 Intensity of Rainfall(nearest rain gauge station)			
B.2.3 Current Land Use of the Adjacent Area		() Residential () agricultural () forest () pasture () others	
B.2.4 Type of Soil		() Clay () Clay Loam () Silt () Silty Loam ()	

	Sandy
B.3 River Control	
B.3.1 No. of Households to be Protected	_____
B.3.2 Crops Planted Upstream	() Fruit Trees () Forest trees () Food Crops
B.3.3 Types of Soil	Sandy () loam () Clay () Others
B.4 Drainage System B.4.1 Frequency of flooding/year B.4.2 What is the prevalent soil type	_____
B.5 Waste/Sanitation Management Facility B.5.1 Distance from the Water Source B.5.2 No. of Households that will be served B.5.3 Point of Discharge	_____ l.m./km _____ () River () Pond () Treatment plant
C. PHYSICAL DESCRIPTION	
C.1 Is the location accessible and safe for intended users of the proposed facility?	
C.2 Description of the location (environmental issues; why the site was selected?)	
D. INSTITUTIONAL CONCERNS	
D.1 Initial consultation conducted by the ACT/MCT with the Community regarding the proposed subproject?	Date(s) _____ of consultation: _____ Issues _____ during _____ consultation: _____
D. 1.2 Is the Community/LGU willing to put up the required equity for the proposed subproject?	Yes ___ No ___
D.1.3 What will be the O&M arrangement between the LGU and the Community (for slope protection, sea wall)	_____ _____
D.1.4 For Waste/Sanitation Management Facility What will be the complimentary project/activities of the proposed structure? (waste recovery, organic fertilizer production, etc.)	_____ _____ _____
D.2 Consultation conducted by the RIE/ACT and the LGU with the potential subproject beneficiaries?	Date(s) _____ of _____ consultation: Issues consultation: _____ _____
E. PROJECT SAFEGUARDS	
E.1 Involuntary Resettlement/Right of Way Acquisition	
E.1.1 Potential project affected persons identified? If yes, number of PAPs identified	Yes ___ No ___ Total: _____ Male: _____ Female: _____
E.1.2 Date Consultation conducted with the PAPs; Brgy. assembly	_____ Issues _____ during _____ consultation: _____
E.1.3 Potential right-of-way/land acquisition issues:	_____ _____

<p>E.1.4 Status of right-of-way/land acquisition documentation</p>	<p>_____</p> <p>_____</p>
<p>D.2 Environmental Safeguards/Risk Assessment</p>	
<p>D.2.1 Scan if the Brgy. or the proposed subproject is within an Environmentally Critical Area</p> <ul style="list-style-type: none"> • National Parks/Reserves/Sanctuaries Yes____ No____ Barangay(s) _____ • Tropical Natural Forests/Watershed Yes____ No____ Barangay(s) _____ • Aesthetic Potential Tourist Spots Yes____ No____ Barangay(s) _____ • Habitat of Endangered Flora and Fauna Yes____ No____ Barangay(s) _____ • Historical or Archaeological Landmark Yes____ No____ Barangay(s) _____ • Typhoon Belt Yes____ No____ Barangay(s) _____ • Flood Prone Areas Yes____ No____ Barangay(s) _____ • Areas Within Volcanic Zone Activities Yes____ No____ Barangay(s) _____ • Prime Agricultural Lands Yes____ No____ Barangay(s) _____ • Water Recharge Areas/Aquifers Yes____ No____ Barangay(s) _____ • With Mangrove Areas Yes____ No____ Barangay(s) _____ • Areas Reported With Salt Water Intrusion Yes____ No____ Barangay(s) _____ • Major Water Ways (River, Tributaries) Yes____ No____ Barangay(s) _____ • Subproject Area within an ancestral domain (AD) area? Yes____ No____ Barangay(s) _____ <p>D.2.2 Initial Assessment: Yes____ No____ Barangay(s) _____</p> <p>D.2.3 Status of IEE Preparation Yes____ No____ Barangay(s) _____</p> <p>D.2.4 Status of Environmental and Social Monitoring Plan (ESMP) preparation Yes____ No____ Barangay(s) _____</p> <p>D.2.5 Other Requirements:</p> <ul style="list-style-type: none"> • Other permits (e.g. water permit, permit to cut trees) Yes____ No____ Barangay(s) _____ • Date of public consultation/scoping process (if applicable) Yes____ No____ Barangay(s) _____ • DENR recommendation (CENRO/PENRO/Regional Office) (i.e., permits to be secured) <p>IEE submitted to the ACT: _____ IEE still being prepared by the Community: _____ ESMP submitted to the RPMO: _____ ESMP still being prepared by the Community: _____</p> <p>_____</p> <p>_____</p> <p>_____</p>	
<p>D.3 Indigenous Peoples (IPs)</p>	
<p>D.3.1 The Barangay is within or overlaps with an ancestral domain (AD) area</p>	<p>Yes ____ No____</p>
<p>D.3.2 The proposed subproject will cover area beyond the Barangay which is within or overlaps with an AD area</p>	<p>Yes ____ No____</p>
<p>D.3.3 Presence of Ancestral Domain Sustainable Development and Protection Plan (ADSDPP) or</p>	<p>With ADSDPP/IPD Chapter () None () If ADSDPP/IPD Chapter is present, date the document</p>

<p>Indigenous Peoples Development Chapter in the Municipal Investment Plan</p>	<p>was prepared: _____</p>
<p>D.3.4 Profile of IPs/ICCs that will be affected by the proposed subproject</p> <p>Name of IP Group (<i>attach additional sheet if more than 1 IP group</i>)</p>	<p>_____</p> <p>No. of Households or individuals (please specify): Total: _____ HHs or persons Male: _____ Female: _____</p>
<p>D.3.5 Application Filed with the NCIP?</p> <p>D.3.5.1 Field-based investigation conducted?</p> <p>D.3.5.2 Field-based investigation scheduled with the NCIP Regional Office?</p> <p>D.3.5.3 Assistance needed to facilitate conduct of FBI/issuance of NCIP Certification:</p>	<p>Yes ___ No ___ If Yes, date of application: _____ (please attach copy of LGU application or NCIP Certification issued)</p> <p>Yes ___ No ___ If Yes, date FBI was conducted: _____</p> <p>Yes ___ No ___ If Yes, schedule of FBI: _____</p> <p>If not scheduled yet, why? _____ _____ _____</p>
<p>E. Others</p>	
<p>Location of quarry site and source of other construction sites, disposal sites for waste construction materials)</p>	<p>(provide specific location of these sites)</p>
<p>F. General Observation(s)</p>	<p>(Describe the benefits of the proposed subproject in relation to the socio-economic development of the community)</p>
<p>G. Recommendation</p>	<p>Recommended for: () Full FS/DE preparation () NPMO validation () Agenda in Barangay Assembly () Others, pls specify _____</p>

Attachment 4: Format of Project Description Report

- I. INTRODUCTION
- II. PROJECT DESCRIPTION
 - a. PROJECT RATIONALE
 - b. PROPOSED PROJECT LOCATION
 - c. DESCRIPTION OF PROJECT OPERATIONS
 - d. DESCRIPTION OF PROJECT PHASES
 - i. PRE-CONSTRUCTION/OPERATIONAL PHASE
 - ii. CONSTRUCTION PHASE
 - iii. OPERATIONAL PHASE
 - iv. ABANDONMENT PHASE
 - e. PROJECT CAPITALIZATION AND MANPOWER REQUIREMENT
- III. ENVIRONMENTAL MANAGEMENT PLAN
- IV. ATTACHMENTS

Attachment 5: Format of Initial Environmental Examination Report

- I. EXECUTIVE SUMMARY
- II. INTRODUCTION
 - a. PROJECT BACKGROUND
 - b. EIA PROCESS DOCUMENTATION
 - c. DEFINITION OF STUDY AREA
- III. POLICY, LEGAL AND ADMINISTRATIVE FRAMEWORK
- IV. PROJECT DESCRIPTION
 - a. PROJECT RATIONALE
 - b. PROJECT LOCATION
 - c. PROJECT INFORMATION
 - d. DESCRIPTION OF PROJECT PHASES
 - i. PRE-CONSTRUCTION/OPERATIONAL PHASE
 - ii. CONSTRUCTION PHASE
 - iii. OPERATIONAL PHASE
 - iv. ABANDONMENT PHASE
- V. DESCRIPTION OF ENVIRONMENTAL SETTING AND RECEIVING ENVIRONMENT
- VI. ANTICIPATED ENVIRONMENTAL IMPACTS AND MITIGATION MEASURES
- VII. ANALYSIS OF ALTERNATIVES
- VIII. INFORMATION DISCLOSURE, CONSULTATION AND PARTICIPATION
- IX. GRIEVANCE REDRESS MECHANISM
- X. ENVIRONMENTAL MANAGEMENT AND MONITORING PLAN
- XI. CONCLUSION AND RECOMMENDATION

Attachment 6: Environmental and Social Management Plan (ESMP) for Eligible Rural Infrastructure Subprojects

(_____ Barangay, Municipality of _____ Province of _____, Region _____)

<i>Potential Impacts</i>	<i>Mitigation/ Enhancement Measures</i>	<i>Monitoring Parameter</i>	<i>Responsible Entity</i>	<i>Implementation Schedule</i>	<i>Cost and Source of Funds</i>
PRE-CONSTRUCTION PHASE (Social Preparation, Land/ROW Acquisition and Damage Compensation, Hiring, Procurement)					
In Compliance with: Govt. Policies on a) Gender and Development, and b) Public Disclosure; GOP: RA 9172 Women in Development and Nation Building; RA7160 Local Government Code					
Lack of information and/or low participation of the community, particularly women, in subproject planning and activities	<ul style="list-style-type: none"> - Hold consultative meetings with equal representation of men and women, with project beneficiaries and affected persons on the subproject components and management plan - Prior coordination and consultation with women's groups 	<ul style="list-style-type: none"> - Proof* of prior coordination, consultation, participation in various stages of the project starting from planning activities to operation and maintenance: <ul style="list-style-type: none"> ▪ General community ▪ Focused women's groups <p>*Proof: e.g. Attendance Sheet, Minutes of Meetings Copy of Presentation Materials (to validate content and coverage of disclosure/consultation)</p>	LGU/Proponent to take the lead in coordination and consultations, particularly the Municipal Social Welfare Department and the Community Relation Officers	<u>Both measures and monitoring to be done as follows:</u> <ul style="list-style-type: none"> ▪ During subproject conceptualization and initial design ▪ Prior to finalization of the subproject design ▪ Prior to construction 	
In compliance with RA 8974 and RA 7279; EO 1036 Acquisition of Private Property					
Land or ROW acquisition, damages to crops and other structures	<ul style="list-style-type: none"> - Disclosure of WB Involuntary Resettlement and compensation guidelines, e.g. market value as basis for pricing of land or crops and other properties - Prepare compensation package for land or ROW acquisition, and/or crop damage compensation, 	<ul style="list-style-type: none"> - Proof of prior consultation and disclosure on WB/GOP guidelines for compensation - Presence of compensation package - Proof of compensation/ payment before construction works 	LGU to facilitate the consultations, disclosure, preparation of compensation packages and payment of compensation	All activities to be implemented prior to construction	Consultative meetings for disclosure and package drafting to be held about 2x prior to construction, with 4 barangays (spatial approach) or sectors: P100/meeting x 50 pax/mtg x 2 meetings x ___ barangay

<i>Potential Impacts</i>	<i>Mitigation/ Enhancement Measures</i>	<i>Monitoring Parameter</i>	<i>Responsible Entity</i>	<i>Implementation Schedule</i>	<i>Cost and Source of Funds</i>
	based on prior consultation with project-affected persons – Secure Deed of Donation or Quit Claim on land /other properties – Payment of compensation prior to construction works				s or sectors = P_____
In Compliance with: GOP RA 7160 Local Government Code					
Entry of external workforce	Give hiring preference to qualified local community residents, particularly those who will be displaced	Proof of local residence, e.g. Community Tax Certificate (CTC) or certificate of residence issued by the Brgy. Captain	LGU to facilitate arrangements for local hiring	Prior to construction	No additional ESMP cost for hiring from the locality
In Compliance with: Policy on Environmentally Responsible Procurement and GOP Contract Policies and Procedures					
Possible illegal or unauthorized sourcing of construction materials	Procure construction materials from sources with valid environmental sources, i.e. for sand and gravel, from those with DENR-MGB/EMB permits; for timber resources, from those with valid DENR-FMB/EMB permits	Presence and validity of environmental permits and/or license of sources of construction materials: to be monitored prior to award to every contractor	LGU Municipal Project Office (MPO)	Every procurement activity prior to construction	No additional ESMP Cost, as this requirement is part of the Standard Operating Procedure in the GOP Procurement Guidelines
CONSTRUCTION PHASE (Mobilization, Construction Proper, Demobilization)					

<i>Potential Impacts</i>	<i>Mitigation/ Enhancement Measures</i>	<i>Monitoring Parameter</i>	<i>Responsible Entity</i>	<i>Implementation Schedule</i>	<i>Cost and Source of Funds</i>
Physical Environment: Land					
<ul style="list-style-type: none"> - Destabilization of slopes and soil erosion due to earthworks - River bank erosion due to earthworks along rivers 	<ul style="list-style-type: none"> - Schedule the construction works during the relatively drier months - Implement appropriate erosion control, slope stabilization and protection measures - Vegetative stabilization of the sloping areas - Designate a Spoils Storage Area near the construction site 	<ul style="list-style-type: none"> - Presence of erosion control, slope stabilization and protection structures in the site - Absence of massive erosion induced by the construction works 	Contractors to include in their bids the estimate of stabilization and erosion control measures; Contractors to implement and the LGUs to supervise the Contractors	Erosion control and stabilization measures will be implemented simultaneously with construction works.	<ul style="list-style-type: none"> - Vegetative stabilization estimate: P5,000/hect are * _____ subprojects = P_____/ha - No additional ESMP cost for Mechanical or Engineering measures for soil erosion control and slope stabilization, as these are integrated in Subproject design and cost for roads with critical slope.
Physical Environment: Hydrology					
Obstruction of natural and redirected flow of water during construction works along roads and flood control works	<ul style="list-style-type: none"> - Leave enough channel for unobstructed river flow - Follow natural drainage paths when constructing road drainage canals and installing culverts 	Presence of culverts properly placed along natural drainage paths	Contractors to implement while the LGU supervises the Contractors	Daily operations	No additional ESMP cost; Drainage and installation of culverts are integrated in the subproject cost, being part of the standard design.
Physical Environment: Water Quality					
In compliance with: WB Pollution, Prevention and Abatement Handbook; GOP: RA 9275 Clean Water Act; DENR AO 2005-10					
Increase in total suspended solids, browning	<ul style="list-style-type: none"> - Same measures to control soil erosion; - Supplemental measure along 	<ul style="list-style-type: none"> - Presence of soil erosion control measures - Temporal/Short-term browning or 	Contractors to implement while the LGU supervises the Contractors	Daily operations	No additional ESMP cost. Silt trap may be installed

Potential Impacts	Mitigation/ Enhancement Measures	Monitoring Parameter	Responsible Entity	Implementation Schedule	Cost and Source of Funds
and turbidity of the receiving water body due to soil erosion/ increase in run-off from construction sites	the river, if needed: silt traps to minimize downstream siltation	turbidity of the river - # public complaints received by Proponent/ Contractor			only as needed, supplemental to the soil erosion control measures. Will only need voluntary community labor or construction workers may devote certain number of hours for the task. The materials, e.g. rocks, may be sourced around the subproject site.
Increase in BOD load and debris in the water body due to improper disposal of sanitary and solid waste from the workers' base camp	<ul style="list-style-type: none"> - Provision of sanitary facilities to workers - Provision of facilities to workers to allow them to segregate, and properly dispose biodegradables from non-biodegradables. 	<ul style="list-style-type: none"> - Presence of sanitary and waste segregation/ containment facilities - No indiscriminately scattered solid waste 	Contractors to implement while the LGU supervises the Contractors	Daily operations	No additional ESMP cost if rental or construction of bunkhouse or basecamp includes the sanitary and waste disposal facilities (P5,000/ SP x _____SPs = P _____
Contamination by oil and grease and fuel spills from heavy equipment and storage areas	<ul style="list-style-type: none"> - Provide oil and grease traps upstream of any run-off discharge from the subproject to the water bodies - Provide ring canals around fuelling tanks/ motorpool/ maintenance areas - Collect used oils 	<ul style="list-style-type: none"> - No visible oil and grease film on water bodies - # public complaints received by Proponent/ Contractor 	Contractors to implement while the LGU supervises the Contractors	Daily operations	Nil cost of improvised temporary ring canals around area of storage of fuel drum containers of fuel : P5,000 x _____ subprojects = P _____

<i>Potential Impacts</i>	<i>Mitigation/ Enhancement Measures</i>	<i>Monitoring Parameter</i>	<i>Responsible Entity</i>	<i>Implementation Schedule</i>	<i>Cost and Source of Funds</i>
	in containers and sell to licensed recyclers				
Physical Environment: Air Quality					
In compliance with: WB Pollution, Prevention and Abatement Handbook; GOP: RA 8749 Clean Air Act; DAO 2000-81; PD 984 Pollution Control Act – Noise Levels (DENR/ARMM regulation)					
Increase in suspended dust particulates along unpaved roads, and obnoxious gas and particulate emissions and noise levels from heavy equipment operations within the vicinity of the construction and along the transport route of the heavy equipment	<ul style="list-style-type: none"> - Minimize night-time construction activities - Wet areas of dust sources to minimize discomfort to nearby residents - Control of vehicle speed to lessen suspension of road dust - Delivery equipment should be covered with tarpaulin sheets or any equivalent - Regular M&R of equipment - Contractor to present proof of compliance with emission standards as part of the annual vehicle registration process 	<ul style="list-style-type: none"> - Qualitative ambient noise levels within residential standards (based on comparative levels of sound in the natural environment) - Presence of truck cover during deliveries - Records of M&R of equipment - Records of annual registration of vehicle - # of people's complaints on disturbance caused by construction at a level disrupting their normal level of activities 	Contractors to implement while the LGU supervises the Contractors	Daily operations	Water spraying: only when needed; Expected to be nil since the households are far from the roads and the activities will only be rehabilitation
Biological Environment					
In compliance with: GOP: PD 705 (Forestry Code)					
Localized tree cutting or vegetation clearing, and disturbance to wildlife	<ul style="list-style-type: none"> - Prior acquisition of Tree Cutting Permit(TCP) - Compliance with conditions in secured permits - - Implementation of tree planting around the facility (at the school site) 	<ul style="list-style-type: none"> - Presence of permit - Compliance with conditions of TCP 	<ul style="list-style-type: none"> - LGU or Contractor may apply for the permits - Contractors to implement while the LGU supervises the Contractors 	Daily operations	Permit acquisition cost, about: P2,000 x _____SPs = P _____, total one-time application, including meetings and follow ups, and compliance with condition on disposition of the cut trees (e.g.

<i>Potential Impacts</i>	<i>Mitigation/ Enhancement Measures</i>	<i>Monitoring Parameter</i>	<i>Responsible Entity</i>	<i>Implementation Schedule</i>	<i>Cost and Source of Funds</i>
					may be requested by LGU from the DENR for use in the school to be constructed)
Temporal smothering of aquatic life due to siltation from earthworks	<ul style="list-style-type: none"> - This is a residual secondary impact of increased siltation which cannot be avoided but can be lessened in gravity thru the implementation of soil erosion control measures 	<ul style="list-style-type: none"> - Presence of soil erosion control measures - No fish kills due to smothering 	<ul style="list-style-type: none"> - LGU or Contractor may apply for the permits - Contractors to implement while the LGU supervises the Contractors 	Daily operations	No additional ESMP cost. Integrated in soil erosion control measures.
Social Environment					
Obstruction of public access through the road rehabilitation area	<ul style="list-style-type: none"> - Provide access thru the road rehabilitation site by proper scheduling of rehab works along the road and/or assigning a barangay tanod to handle traffic management of pedestrian and vehicles - Provide alternate route 	<ul style="list-style-type: none"> - Presence of alternate access route - Allocation of space along road to allow passage of pedestrians and vehicles to pass through during rehab works - Presence of barangay tanod for traffic management - Presence of heavy traffic in road approach or along the road being rehabilitated - # public complaints received by Proponent/ Contractor 	<ul style="list-style-type: none"> - Contractor's project management and self-monitoring - LGU/ Community-based monitoring and assignment of barangay tanod for traffic management 	Daily operations	No additional ESMP Cost: BgyTanod to be provided by the LGU
Increased health risk due to improper disposal or lack of facilities for management	<ul style="list-style-type: none"> - Same measures for Water Quality to provide sanitary facilities and waste management facilities for 	<ul style="list-style-type: none"> - Same parameters for Water Quality control - Proper timing and frequency of barangay defogging (when deemed 	LGU/IA and settlers to enter into MOA on ESW Mgt	Daily operations	No additional ESMP Cost – addressed by the Water Quality measures while

Potential Impacts	Mitigation/ Enhancement Measures	Monitoring Parameter	Responsible Entity	Implementation Schedule	Cost and Source of Funds
of solid waste and sewage during construction	<ul style="list-style-type: none"> construction workers; – Inclusion of the construction worker's basecamps in the barangay defogging to eliminate disease vectors, if solid waste is observed to have accumulated to alarming levels 	<ul style="list-style-type: none"> necessary by the LGUs) – # public complaints received by Proponent/ Contractor 			defogging is a standard barangay activity
Increased community hazards of vehicular accidents due to construction works	<ul style="list-style-type: none"> – Provide appropriate warning signs and lighting – Heavy equipment to observe traffic rules 	<ul style="list-style-type: none"> – Presence of signages and lighting – # of accidents/ near-accidents reported to the barangay – # of public complaint 	<ul style="list-style-type: none"> – Contractor's project management and self-monitoring – LGU/ Community-based monitoring 	Daily operations	Signages cost allocation: P2,000 x _____SPs = P _____ (Normally, signages are standard costs of construction works, so this measure should not be attributed as an additional ESMP Cost)
Exposure of workers to emergency or hazards of flashfloods along river	<ul style="list-style-type: none"> – Schedule the construction works preferably during the drier months – Install early warning system to inform workers to take extra precaution during unexpected rainy periods, e.g. a barangay resident living upslope to send a message on heavy rains and possible heavy flows at the headwaters. Communication may be thru text or cell phone call or thru sending a messenger to the 	<ul style="list-style-type: none"> – List of designated residents upslope to provide the information or signal. – Presence of system (procedures and timing) of communication to be observed by the LGU and the contractors. 	<ul style="list-style-type: none"> – Contractor's project management and self-monitoring – LGU/ Community-based monitoring and assignment of barangay residents to provide the early warning/signal. 	Daily operations, particularly during heavy rains.	No additional ESMP Cost – This is considered barangay volunteer or counterpart task, which is expected to happen only very occasionally or even rarely, although the impacts are very serious if the measure is not installed and not effectively done.

<i>Potential Impacts</i>	<i>Mitigation/ Enhancement Measures</i>	<i>Monitoring Parameter</i>	<i>Responsible Entity</i>	<i>Implementation Schedule</i>	<i>Cost and Source of Funds</i>
	subproject site.				
OPERATIONS AND MAINTENANCE					
Physical: Land					
Leaching of soil nutrients and changes in soil characteristics due to excessive application of irrigation water, or due to improper/excessive use of agro-chemicals	ISA will regulate use of irrigation water and charge water usage fees, a deterrent to excessive use of water.	Records on water withdrawals and distributed to the service area	CIS ISA to manage the imposition and collection of water usage fees	From the initial operation of the CIS facility	No Additional ESMP Cost: This is part of subproject institutional plan
Physical: Hydrology					
Reduction of downstream water supply, especially during peak season, resulting to disruption or deprivation of other water users downstream	<ul style="list-style-type: none"> - Renew NWRB clearance/water permits annually - Ensure there is good upper watershed management thru coordination with the DENR or taking initiatives in forest cover protection 	<ul style="list-style-type: none"> - Presence of renewed annual permit from NWRB - Records of upper watershed status - Records of upper watershed management activities by the DENR or the LGU 	ISA to apply for the permit renewal	Annual	Cost of permit renewal and coordination with the DENR annually: P5,000/yr
Obstruction of waterflow due to aggregation of garbage at the headworks or at the checkgates/ control gates of the irrigation system	<ul style="list-style-type: none"> - Regular removal of debris and other waste that may obstruct water flow - Designation of local community volunteers who will maintain the housekeeping of the irrigation distribution system 	<ul style="list-style-type: none"> - Absence of accumulated garbage at the check/ control gates - List of IA members to do volunteer work on maintenance on solid waste management of the CIS 	<ul style="list-style-type: none"> - IA to inventory list of volunteer members - IA to do self mgt. and monitoring 	<ul style="list-style-type: none"> - Measure: Designate at the start of operation - Daily operations on waste mgt 	No additional ESMP Cost: IA representative to be under the volunteer program
Obstruction of run-off along drainage canals causing the run-off to flow across	<ul style="list-style-type: none"> - Regular removal of debris, logs, and other materials along drainage canals so that no clogging occurs 	No visible obstructions to the water flow, e.g. no debris along the water flow	OMC will designate a barangay tanod to oversee the maintenance of the drainage canals along	Weekly or monthly or as the need arises, particularly after heavy rains	No additional ESMP cost: Collection of obstructions and drainage canal

<i>Potential Impacts</i>	<i>Mitigation/ Enhancement Measures</i>	<i>Monitoring Parameter</i>	<i>Responsible Entity</i>	<i>Implementation Schedule</i>	<i>Cost and Source of Funds</i>
the road surface, which may lead to erosion of the road			the road		inspections are part of the regular job description for designated barangay personnel
Physical: Water Quality					
In compliance with: WB Pollution, Prevention and Abatement Handbook; GOP: RA 9275 Clean Water Act; DENR AO 2005-10					
Agro-chemical contamination of surface and groundwater due to excessive or improper application of fertilizers and pesticides in the irrigation areas	<ul style="list-style-type: none"> - Analysis of the irrigation water near the downstream part of the service area prior to exit to natural waterways - Analysis of the groundwater within the influence of the service area - Periodic analysis of the soil to pre-empt potential soil toxicity 	<ul style="list-style-type: none"> - Records of water and soil analysis - Compliance to Clean Water Act standards 	ISA to coordinate with the DA for sampling of the CIS service area, or the ISA may also request the DENR to conduct groundwater sampling	Semi-annual or annual sampling: the controls are actually already put in place thru the regulation on the use of agro-chemicals and their application	Water and soil analysis part of DA monitoring program, or the DENR may be requested to sample exit points as part of their source monitoring Estimated budget for annual analysis: P500/sample x 4 quadrant sample areas x 3 sample types (surface water, groundwater and soil) x once a year: P6,000 annually/CIS
In Compliance with: GOP: PD 1144 Fertilizer and Pesticide Authority regulations					
Increased use of agro-chemicals (pesticides and fertilizers) due to more intensive cropping within the irrigable service area,	<ul style="list-style-type: none"> - Use only the agro-chemicals allowed/ cleared by the Phil Fertilizer and Pesticide Authority - Controlled and proper timing of application of agrochemicals based on an 	<ul style="list-style-type: none"> - List of FPA-cleared agro-chemicals to be used in the Mainit CIS - Presence of IPCM Program - Program for Farmers' Training and proof of attendance and 	_____ CIS ISA to coordinate with the DA on IPCM Training	Schedule of training depends on the ISA's continuing development program for its farmer beneficiaries (at least one training a year is proposed)	No additional ESMP cost. Training package is integrated in the Agro-Enterprise devt. module package.

<i>Potential Impacts</i>	<i>Mitigation/ Enhancement Measures</i>	<i>Monitoring Parameter</i>	<i>Responsible Entity</i>	<i>Implementation Schedule</i>	<i>Cost and Source of Funds</i>
given the availability of regular and adequate irrigation water and improved irrigation facilities	<p>Integrated Pest and Crop Management (IPCM) Program which the ISA can formulate with the assistance of the DA</p> <ul style="list-style-type: none"> – Training of the farmers on the proper selection, dosage and timing of agro-chem applications to ensure optimum absorption by the plant and soil – Introduce the use of organic fertilizer 	demonstration of acquired skills			
SOCIAL ENVIRONMENT					
In Compliance with: WB on a) Gender and Development, and b) Public Disclosure; GOP: RA 9172 Women in Development and Nation Building; RA7160 Local Government Code					
Lack of participation of women in subproject operation and maintenance of the subproject	<ul style="list-style-type: none"> – Sustain women's involvement thru coordination/conduct of activities and facilitation of some meetings in relation to the operation of the following: <ul style="list-style-type: none"> – OMC for access infra – Irrigators' Service Association (ISA) – Barangay Waterworks and Sanitation Association (BAWASA) for PWS – School Board – Local Health Office – Local Social Welfare Office – IP 	<ul style="list-style-type: none"> – Proof* of coordination and participation of women <p>* Proof: e.g. Attendance Sheet, Minutes of Meetings, Inventory of roles and tasks assumed by women</p>	<ul style="list-style-type: none"> – LGU/PropONENT to take the lead in coordination and consultations, particularly the Municipal Social Welfare Department and the Community Relation Officers – ISA, BAWASA and School Board to handle the women's participation program for their women members 	Daily operations	No additional ESMP cost: Part of day-to-day management of the associations

<i>Potential Impacts</i>	<i>Mitigation/ Enhancement Measures</i>	<i>Monitoring Parameter</i>	<i>Responsible Entity</i>	<i>Implementation Schedule</i>	<i>Cost and Source of Funds</i>
	Organizations – Multi-purpose Cooperative – Other people's associations				
Induce an increase in agricultural activity in previously inaccessible farm areas along the newly constructed or newly improved roads, which may cause improper land preparations resulting to damage to road drainage and shoulder	Training to Household members on proper land preparations and agricultural techniques, especially in sloping areas	– Absence of soil erosion/ accumulation in road drainage canals and shoulders – Number of community or Committee members trained	LGU to coordinate with DSWD on training, in consultation with the Subproject Beneficiaries	Based on the Subproject Implementation plan of the Ass'n/Brgy.	No additional ESMP cost. Training can be integrated in the cost for continuing development program of the within the CEAC process

IV. ABANDONMENT PHASE

No abandonment of the subproject(s) (is)are programmed since the Operations and Maintenance Phase is considered to sustain the unless natural catastrophic events such as anomalous magnitude of earthquake or flooding destroys the facility beyond use. In this case replacement facilities will integrate and handle the demolition of the damaged structures.

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

Prepared by:

Recommended by:

PPT/BSPMC

DAC/Municipal Engineer

Date: _____

Date:

Approved and noted by:

Municipal Mayor

Date: _____

Attachment 7: Template of Environmental Management and Monitoring Report

Name of subproject: _____

Description of the subproject: _____

Location: _____

SPI Stage/Activities Conducted	Negative Observed	Impact	Mitigating Actions Undertaken	Result/Remarks

Issue/s during the period: _____

Agreed action by the community: _____

Prepared by:

 BSPMC

Reviewed by:

 Community Facilitator

Concurred:

 Municipal Engineer

 Deputy Area Coordinator