

Environmental Assessment and Review Framework

Project Number: 46420
December 2013

Proposed Loan Republic of the Philippines: KALAHI–CIDSS National Community-Driven Development Project

Prepared by Department of Social Welfare and Development for the Asian Development Bank.
This is an updated version of the draft originally posted in April 2013 available on
<http://www.adb.org/projects/46420-002/documents>.

CURRENCY EQUIVALENTS

(as of 2 December 2013)

Currency unit	–	peso/s (P)
P1.00	=	\$0.0228
\$1.00	=	P43.77

ABBREVIATIONS

ADB	–	Asian Development Bank
CDD	–	community-driven development
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
KALAHI–	–	<i>Kapit-Bisig Laban sa Kahirapan</i> (Linking Arms against Poverty)–
CIDSS	–	Comprehensive and Integrated Delivery of Social Services
KC-	–	KALAHI–CIDSS National Community-Driven Development Project
NCDDP		
LGU	–	local government unit
M&E	–	monitoring and evaluation
NPMO	–	Project Management Office
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 proposed emergency assistance loan to the Republic of the Philippines for the KALAHI–CIDSS National Community-Driven Development Project (KC-NCDDP) will support the implementation of the KC-NCDDP to restore basic social services and rebuild communities affected by Typhoon Yolanda (international name: Haiyan).¹

2. **Typhoon Yolanda.** On 8 November 2013, Typhoon Yolanda hit the central Philippines, leaving behind an unprecedented path of destruction.² As of 1 December 2013, death toll stands at 5,632, with another 1,759 still missing, 26,136 injured, and about 0.89 million families or 4.11 million people displaced.³ It is estimated that additional 1.5 million persons may have fallen into poverty immediately after typhoon Yolanda, or 24% rise in the number of poor in Central Philippines and 7.1% nationwide.⁴ Preliminary government estimates indicate that Typhoon Yolanda and other recent disasters may have cut the national economic growth rate by 0.3–0.8 percentage points in the fourth quarter of 2013 alone, which is equivalent to \$900 million–\$2.5 billion of lost GDP in 2013. ADB’s preliminary forecast for 2014 is that the drop in the GDP growth rate could be as high as 1 percentage point. The combined regional economies of Central Visayas, Eastern Visayas, and Western Visayas – which account for 12.5% of the country’s GDP – could shrink by 4.0%–8.0% in 2014. Eastern Visayas’ economy could contract by 30.0% or more in 2014.

3. The proposed project is aligned with ADB’s Disaster and Emergency Assistance Policy by assisting the government restore and rebuild economic, social and governance activities in typhoon-affected communities. It is also aligned with ADB’s sector and thematic assessments, which stress strengthening capacity for disaster risk management, and promoting gender equality and women’s empowerment. ADB has closely coordinated with the government and other development partners in the design of the KC-NCDDP as well as in rehabilitation and recovery efforts. The project is consistent with the government’s Yolanda Recovery and Rehabilitation Plan (YRRP).

4. **Impact and outcome.** The impact of the project will be improved resiliency of poor communities to natural hazards. The outcome will be improved access to services and infrastructure for communities in affected provinces and their participation in more inclusive local disaster risk reduction and management planning, budgeting, and implementation.

5. **Output 1: Community-driven development subprojects selected, implemented, and completed.** Planning and investment grants will be provided to more than 6,000 barangays, benefiting an estimated 900,000 households. Planning grants will support participatory and gender-inclusive planning by barangay residents as well as technical assistance to ensure effective subproject selection and implementation. Investment grants will

¹ The National Economic and Development Authority Board approved the KC-NCDDP on 18 January 2013. The design of the project has been subsequently adjusted to address the recovery needs of typhoon-affected communities. More broadly, the KC-NCDDP aims to bring about more equitable access to basic services, reduce poverty, and achieve inclusive growth in the poorest areas of the country.

² Summary Initial Disaster Needs Assessment (accessible from the list of linked documents in Appendix 2).

³ National Disaster Risk Reduction and Management Council, Situation Report No. 49. 1 December 2013.

⁴ ADB estimates.

support subprojects and activities that respond to community priorities.⁵ Rehabilitation and recovery efforts will emphasize building back better and disaster-resilient community infrastructure. Subproject eligibility will be based on an open menu and subject to an exclusion list.⁶ The open menu will include community proposals on disaster response and risk reduction.

6. Community planning will be facilitated in barangays. KC-NCDDP staff will undertake community organization and facilitation in cooperation with community volunteers trained in participatory planning and subproject preparation and implementation. Community subprojects will be identified and selected for submission to a municipal forum. Community leaders and volunteers selected by barangay residents will represent their barangay in the forum where subprojects will be prioritized based on size of the investment grant allocated to the municipality and locally agreed selection criteria.⁷ Program staff will undertake due diligence on subprojects before funding is committed.⁸ Barangays with prioritized subprojects will organize implementation teams to supervise and administer the subprojects.

7. **Output 2: Institutional and organizational capacity strengthened.** The project will support capacity development of municipal DSWD program staff who will provide facilitation support, technical assistance, subproject oversight, and local coordination.⁹ About 4,000 program staff and their LGU counterparts will be trained in CDD, development planning and management, conflict resolution, mediation within and between barangays, quality review, local poverty assessment, and M&E. The project will undertake capacity development activities that will enhance program and financial management systems, particularly suited for disaster response. Program staff and KC-NCDDP stakeholders will be trained to (i) develop competencies in disaster-risk management; (ii) apply environmental and social safeguard policies; (iii) respond to special circumstances such as vulnerability to natural hazards and climate change, presence of indigenous communities, and areas affected by conflict; (iv) facilitate community organization to ensure the inclusion and participation of marginalized groups in subprojects; and (iv) embed participatory approaches in government systems and processes. The project will strengthen the KC-NCDDP grievance redress, social accountability mechanisms, and knowledge development and exchange.

8. **Output 3: Program management and monitoring and evaluation systems enhanced.** The project will strengthen program management and M&E systems by supporting the development and maintenance of a management information system in DSWD for tracking, measuring, and reporting progress using key performance indicators. The system will include

⁵ Investment grant amounts are based on a formula using population size and poverty incidence.

⁶ The open menu of subprojects includes community water systems, schools, day-care centers, health stations, electrification, tribal housing, access roads, small bridges or footbridges, pre- and post-harvest facilities, equipment and materials support, irrigation, drainage, sanitation, flood control, seawalls, soil protection, and artificial coral reef sanctuaries. In the aftermath of disasters, the menu may be adjusted to allow investments needed or justified in a post-disaster or emergency context (e.g., repair of public buildings, debris removal, shelter construction and repairs, use of chainsaws for cutting fallen trees), including investments for cash for work or food for work, as mutually agreed by DSWD and ADB. The exclusion list includes activities that may be harmful to the environment or indigenous peoples such as weapons, chainsaws, explosives, pesticides, insecticides, herbicides, asbestos, and other potentially dangerous materials and equipment; fishing boats and nets exceeding the government-prescribed size and weight; road construction into protected areas; political and religious activities, rallies, and materials; and activities employing children under 16 or unfairly exploiting women or men of any age.

⁷ Paras. 29 to 30 of the project administration manual discuss subproject selection criteria and process.

⁸ This will comprise technical, economic, social, and financial viability assessments, including safeguard compliance.

⁹ In response to a government request, a capacity development technical assistance for \$1.5 million will be prepared and financed separately. It will complement capacity development under the KC-NCDDP with the (i) formulation of a learning and development framework; (ii) completion of curriculum design and learning modules; and (iii) establishment of institutional support systems.

national and regional electronic file management of community requests for fund release and supporting documents. The project will also support third party M&E, at least one special study, and capital expenditure requirements for program management. The KC-NCDDP operations manuals have been updated and harmonized with ADB policies and procedures.

B. Purpose of the Environmental Assessment and Review Framework

9. The Environmental Assessment and Review Framework (EARF) for the project is developed to (i) ensure that selected subprojects to be financed under the project 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.

10. The project 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),¹⁰ 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 proposed project, only category B/C level works will be considered and therefore no Category A subprojects will be implemented. The assessment will entail screening of environmental risks and proper mitigation measures for subprojects.

11. 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

12. 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.

13. Eligible subprojects under the investment grant are based on an open menu (footnote 6). The common subprojects under the investment grant, based on the KALAHI-CIDSS 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 under the contingent disaster response sub-component to facilitate early recovery and reconstruction of families and communities in the affected areas. The contingency sub-component would essentially include a range of mitigation, repair and restoration measures to restore pre-disaster conditions, if possible with a higher degree of resilience. These includes activities which were previously not allowed under the regular NCDD process but will however be now permitted to better address recovery needs of communities. Table 1 shows the positive list of eligible activities.

¹⁰ The World Bank and ADB provide cofinancing to the government for implementing the KC-NCDDP.

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
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, river wall protection, septic tanks and other wastewater management measures, composting facilities, solid waste management and collection
Small irrigation facilities	Irrigation canals
Contingent component ¹¹	<ul style="list-style-type: none"> (i) Repair of rural and local roads (ii) Backfill, reshaping and landscaping of areas affected by erosion (iii) Repair of riverbank protection systems and earthfill dikes up to 5m heights is supervised by a qualified engineer (iv) Repair/reconstruction of small bridges (up to 15m) (v) Construction of temporary bypass roads up to 500m length, not located in sensitive habitats and land acquisition follows the provisions of the ESMF and bypasses are completely removed and the alignment restored to its original conditions once the need for their service has expired. (vi) Repair/reconstruction of communal irrigation and water supply systems of facilities. (vii) Collection and removal of technogenic debris (building parts, mixed waste, timber), uprooted trees and debris from public infrastructure, public spaces and agricultural areas, and its deposition in pre-existing waste management facilities that are operating under national licensing and regulations and comply with normal practice in the Philippines. (viii) Repair of public buildings (including government offices, meeting hall and places of religious worship and infrastructure (e.g., transmission lines, street lighting, traffic signs and bus stops) (ix) Collection and removal of earth, mud and plant debris from public infrastructure and spaces as well as agricultural areas and its deposition, landscaping and greening at appropriate locations. (x) Bunk houses for the construction/reconstruction of damaged homes of the most affected households (xi) Other similar undertaking such as temporary setting up of school, health and water facilities for access to basic needs and services of affected population including temporary housing for vulnerable population such as children, lactating and pregnant women, elderly and persons with disabilities (PWD).

Source: Department of Social Welfare and Development.

14. The first three activities listed under the contingent sub-component are already allowed under the KC-NCDDP open-menu of sub-projects and undertaken in non post-disaster contexts while the rest of the activities are carried out in the event of an emergency.

15. A negative list has been developed by KALAHI–CIDSS 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;

¹¹ The positive list of projects to be financed under the Contingent component was based on the draft Disaster Response Operations Manual for KC-NCDDP which was prepared by the DSWD, dated 2 August 2013. The KC-NCDDP will serve as a platform that will support disaster recovery using the community-driven development intervention.

- (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; and
- (xii) Maintenance and operation of infrastructure built from project funds;
- (xiii) Microcredit and livelihood activities which involve on-lending of project funds;
- (xiv) Political and religious activities, rallies and materials;
- (xv) Activities that unfairly exploit women or men at any age;
- (xvi) International travel;
- (xvii) Consumption items or events;
- (xviii) Assistance or training of military, police, national guard or other quasi-military organization or unit;
- (xix) Pay for the performance of abortions;
- (xx) Any proposed project intended to benefit commercial logging.

16. Under the contingent disaster response sub-component, the following negative list of activities has been compiled by DSWD:¹²

- (i) repair of facilities storing hazardous substances (e.g. fuel depots), except simple clearing of debris or landslide material on access road and perimeters;
- (ii) major repair or reconstruction of damaged waste management facilities, except the collection of spilled and dispersed waste from the facility and returning it to its original position on the facility, or a safe temporary repository on the perimeter;
- (iii) repair of privately owned production facilities;
- (iv) any “salvage logging” operations (which might be undertaken as a result of storm damage to forests);
- (v) repair of dikes or dam that are higher than 5 m, or store water volumes larger than 1,000,000 m³;
- (vi) construction of new temporary or permanent infrastructure to bypass devastated areas which have a segment length of > 500m and a cumulative length of 2,000m within a corridor of 10 km or less;
- (vii) construction of new or substantial expansion of existing flood protection works, especially when this involves the conversion of floodplains or riverine forests;
- (viii) bulk purchase of fuel, lubricants, pesticides, herbicides or other hazardous substances;
- (ix) any activity in a sensitive or protected natural habitats, except the removal of debris and the repair of pre-existing infrastructure, e.g. access roads or park ranger buildings.

17. For guidance, the following is ADB’s list of prohibited investments:

- (i) Production or activities involving harmful or exploitative forms of forced labor or child labor;

¹² The negative list under the contingent sub-component was taken from the Safeguards Provisions for the Contingent Disaster Response Sub-component for the KC-NCDDP which was prepared by the DSWD.

- (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

18. The Philippines implements an environmental impact assessment (EIA) system by virtue of Presidential Decree No. 1586 or the 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).

19. 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 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).

20. 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.

21. 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 KC-NCDDP Subprojects

Subproject	DENR Classification	DENR Documentary Requirement	ECC/CNC
Water supply system	S.4 – Level 1 –Deep well	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 ≥ 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 ≥ 2km but <20.0 km	IEE	ECC
	C.4.b – Roads with critical slope ≥2 km but < 10km	IEE	ECC
	C.4.b – Roads < 2km	Project Description	CNC
	C.4.a – Bridges and viaducts ≥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
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
Contingent component	Group III – Non-ECP in Non-ECA for enhancement and mitigation projects	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.

22. 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

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

24. 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.

25. 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.

26. For ADB, screening of environmental impacts is done initially using rapid environmental assessment (REA) 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 KC-NCDDP for the screening of subprojects.

27. 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 subproject planning wherein environmental assessment is required before subproject 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

28. 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 subproject preparation team in ensuring the integration of environmental safeguards in planning and implementation. Plans are underway to establish regional environmental safeguards offices with preferably one environment safeguards officer per region.

29. Previous experience under KALAHI–CIDSS 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 KC-NCDDP.

30. Taking off from the KALAHI–CIDSS process, the monitoring of compliance with environmental safeguards will be the responsibility of the subproject 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 subproject 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 a random monitoring of subprojects.

III. ANTICIPATED ENVIRONMENTAL IMPACTS

31. 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. For the contingent disaster response sub-component, no activity is anticipated that would require mitigation measures that are significantly different from the main KC-NCDDP. All key relevant provisions for environment and social management are already contained in the ESMF and would remain fully applicable to the contingent component. The additional activities described in the positive list would not change the project's safeguards category or trigger additional safeguards policies. 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

Anticipated Environmental Impacts	Mitigation Measures
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.
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.

32. 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.

33. The following provisions refer to selected aspects of the contingent component that warrant specific considerations, and should be seen as guidance to increase readiness and facilitate implementation should the sub-component be triggered.

34. **Repair of roads and bypass construction works.** The repair and reconstruction of roads, as well as of temporary bypasses should follow general good practice in engineering and environmental management, as described e.g. in the World Bank's "Handbook on Roads and the Environment" (Technical paper No. 376). Special attention should be paid to the following issues:

- (i) Where road embankments have been damaged by flooding the reason may be insufficient dimensioning of the original drainage system. In the course of repair and reconstruction the placement of new culverts should be considered to avoid the damming and accumulation of precipitation that can cause erosion and collapse of embankments. This measure, combined with diligent repair and maintenance (cleaning) of drainage ditches and existing culverts would help to increase the resilience against future storm and flood events.
- (ii) If temporary bypasses are required due to damaged bridges, landslides, collapsed embankments etc. they should be constructed in a manner to maximize their functionality and minimize negative environmental impacts. Their length would be limited to 500 m per segment (and to 2,000 m within a 10 km stretch of road corridor) and they would not be allowed in or adjacent to protected areas or sensitive habitats. They would be constructed to allow complete removal after decommissioning, e.g. by placing a layer of geotextile under the temporary embankment, and using geotextile to maximize structural stability while economizing on material demand. Often suitable coarse aggregate may be

difficult to find, in which case geotextile layering (“reinforced earth”) would be a both technically and environmentally suitable solution for temporary road construction.

- (iii) The fill material required for temporary bypass construction should be minimized and sourced from either pre-existing, licensed borrow areas, or from the earth and debris deposited by floods and / or landslides.
- (iv) Temporary embankments should be bunded and / or equipped with silt barriers drainage ditches and sedimentation ponds to avoid excessive siltation of the immediate surroundings. This will be especially important in areas of agricultural use and near settlements.
- (v) After the repair of the original road sections the bypass must be completely removed and the area restored to its original condition.
- (vi) If any temporary bridges are constructed they must allow free flow of water, avoid the narrowing of the cross section of the watercourse and resulting change of flow speed, and minimize disturbance of the river bed and resulting turbidity (deploy silt barriers, minimize vehicle movement in and close to river bed). Complete removal and restoration of the river banks must be ensured after the bypass ceases to be required and is decommissioned.

35. **Provisions for waste management:** Mineral substances (earth, sand, gravel, rocks), organic waste and “technogenic” waste (resulting from goods, objects or structures made of artificial, synthetic materials) should be separately collected and treated in the manner described below:

- (i) *Mineral substances* are considered environmentally harmless and should - as far as their geotechnical properties are sufficiently acceptable - be reused as backfill for damaged earthworks (e.g. embankments, dykes) or as fill for landscaping areas. Fine materials with poor geotechnical quality could still be used to fill depressions and raise ground to increase local flood resilience. Superfluous materials that cannot be reasonably reused should be deposited in a safe, stable, unused area outside zones prone to flooding or landslides. They should be emplaced with stable slope angles, lightly compacted and vegetated.
- (ii) *Organic waste*, such as wood, timber, plant debris, should be collected and as far as possible separated. Reusable and recyclable items (timber, wood as construction material or fuel) should be extracted, and only the remaining plant debris deposited in a safe area for composting. The compost could later be reused in agricultural activities. If biofuel burning power plants, or biogas reactors are in the affected area these would also be potential recycling pathways.
- (iii) *Technogenic waste* should be collected and recyclables (e.g. plastic bottles, glass, metals) as well as reusable items as far as possible extracted. The remaining fraction should be deposited at a pre-existing waste management facility that is licensed under domestic regulations and operated according to prevailing good practice in the Philippines. While this could constitute a deviation from the World Bank Group’s EHS (environment, health and safety) guidelines, which demand the implementation of GIIP¹³ it would be deemed acceptable under the circumstances because (a) not collecting the waste would carry a negative impact of larger magnitude, (b) the incremental negative impact of contributing to an existing facility not operated according to GIIP would be negligible, (c) there may be no technically or economically feasible alternatives, (d) compliance with national regulations would be ensured, (e) the waste

¹³ Good international industry practice.

segregation before deposition would minimize its quantity, and (f) none of the expected waste types are deemed hazardous.

36. **Provisions for works in or near protected areas:** All allowable works in protected areas must be supervised by qualified personnel from the park service, nature protection agency or environmental protection agency. Also the project's environmental specialist should receive, review and approve a detailed work plan (including maps and drawings) that specifies the exact nature, location, dimensions, and footprint of the works, as well as the planned environmental and social management and mitigation measures and the special provisions and precautions to be followed. The works would be absolutely restricted to the repair of small scale, pre-existing park infrastructure, such as access roads, ranger buildings, communication equipment, fire towers and similar rehabilitation activities.

37. **Provisions for repair of dams and dykes:** All works on dams and dykes designated as water retention structures above 3m height need to be supervised by an experienced and qualified civil engineer. The maximum allowable height of dams and dykes that may be carried out under the project would be 5m, or the maximum allowable storage volume 1,000,000 m³.

IV. ENVIRONMENTAL ASSESSMENT FOR SUBPROJECTS AND/OR COMPONENTS

A. Environmental Criteria for Subproject Selection

38. 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	
Overall selection criteria (applicable to all subprojects)	
(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)	Subproject planning and design will consider natural and geologic hazards and hazard vulnerabilities of the community;
(vii)	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;
(viii)	Potential environmental impacts will be minimized by avoiding sensitive areas. Relocation, realignment or selection of alternative sites to minimize impacts may be required;
(ix)	Clearing of any existing forest resources will be avoided, if possible, and where unavoidable, will be minimized and compensated as per government requirements;
(x)	New equipment/facilities and materials will follow international standards and best practices to avoid use of chemicals using GHG emissions.
Water Supply	
(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;

<p>Environmental Criteria</p> <ul style="list-style-type: none"> (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.
<p>Access Roads</p> <ul style="list-style-type: none"> (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.
<p>School buildings, Health stations and Day Care Centers</p> <ul style="list-style-type: none"> (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.
<p>Post-harvest Facilities</p> <ul style="list-style-type: none"> (i) Hazardous substances, materials or products will not be stored in the post-harvest facility.
<p>Drainage system and environmental protection measures</p> <ul style="list-style-type: none"> (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.
<p>Small Irrigation Facilities</p> <ul style="list-style-type: none"> (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.
<p>Contingent Component</p> <ul style="list-style-type: none"> (i) Subproject will consider risk reduction measures in the assessment of sites prior to repair and construction with the higher goal of long-term community sustainability, hazard avoidance and mitigation, and disaster resistance. (ii) Debris collected from cleanup activities will be disposed in existing waste management facilities approved by the local government. (iii) Location of subproject shall be in conformance with the approved national and local regulations on land use, easements, and other future environment-related policies.

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

39. 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.

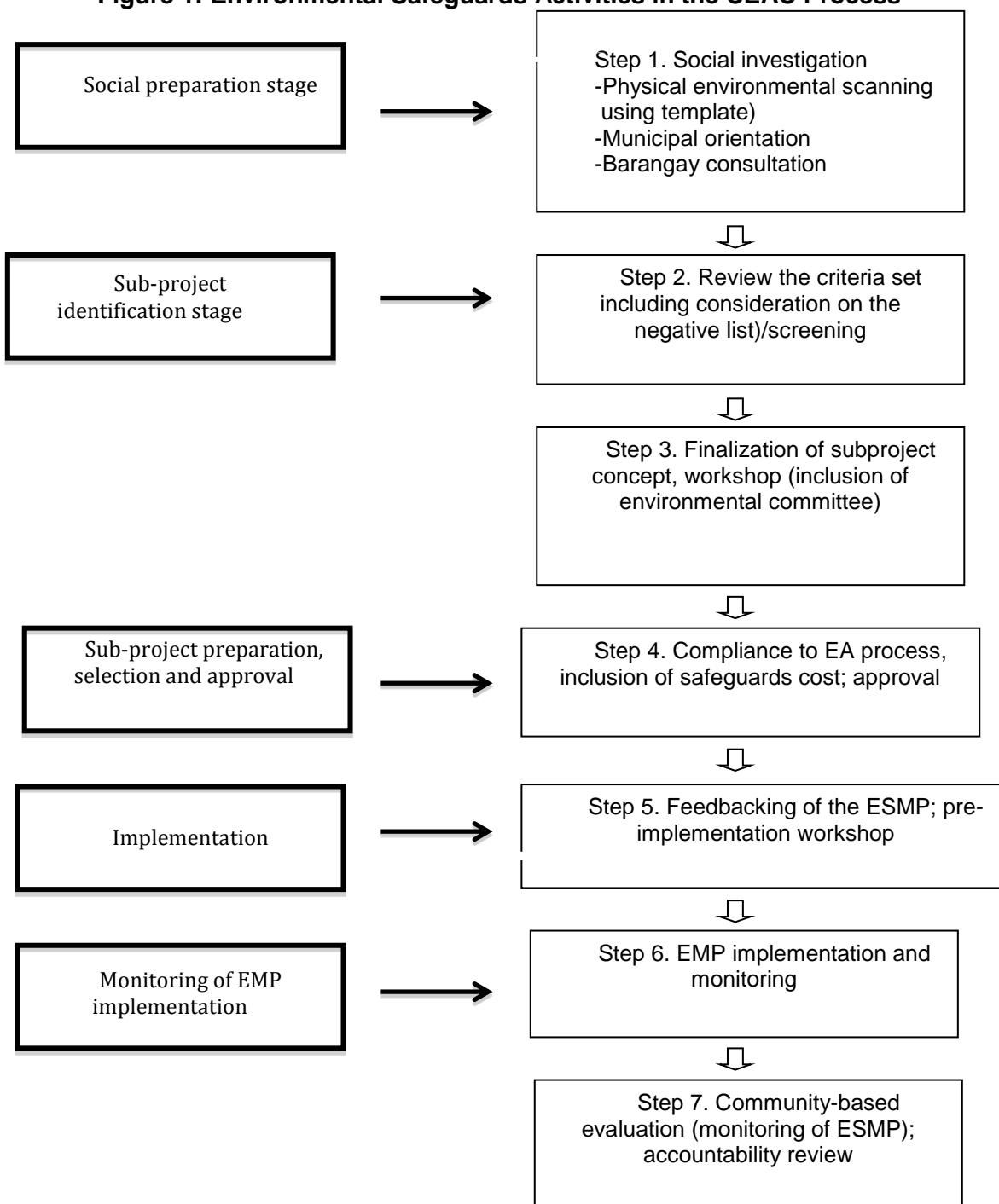
40. To facilitate the integration of environmental and social safeguard concerns in the Community Empowerment Activity Cycle (CEAC) process, Table 5 shows the activities that are parallel with the different stages of the CEAC while Figure 1 presents the environmental safeguards activities per subproject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

1. Social Preparation Stage

41. 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.

42. 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, ESMP = Environmental and Social Monitoring Plan, EA = environmental assessment, EMP= environmental management plan.
Source: Asian Development Bank.

43. 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

44. **Criteria Setting Workshop.** A proposed subproject is initially screened against the negative list mentioned in paras. 13, 14, and 15.

45. 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.

46. As stated in the previous section, the purchase of pesticides which are environmentally hazardous, is prohibited under the 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 KALAHI–CIDSS, there were a number of small irrigation subprojects implemented. Although the KALAHI–CIDSS did not fund any purchase of pesticides, the farmer-beneficiaries purchased pesticides and herbicides using their own funds and used them in newly irrigated lands.

47. 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.

48. The environmental criteria for screening eligibility to KC-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.

49. **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.

50. **Identification of Documentary Requirements 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 requirements. 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

51. **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.

52. 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.

53. 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.

54. 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. There is no Category A subproject to be funded under the program.¹⁴ Allowable works in or near protected areas will be limited to small-scale repair and rehabilitation of pre-existing park infrastructures which have been damaged by a disaster but environmental implications of civil works will be reviewed and an environmental management plan will be prepared in coordination with the nature protection agency.

55. 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 and 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.

56. 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.

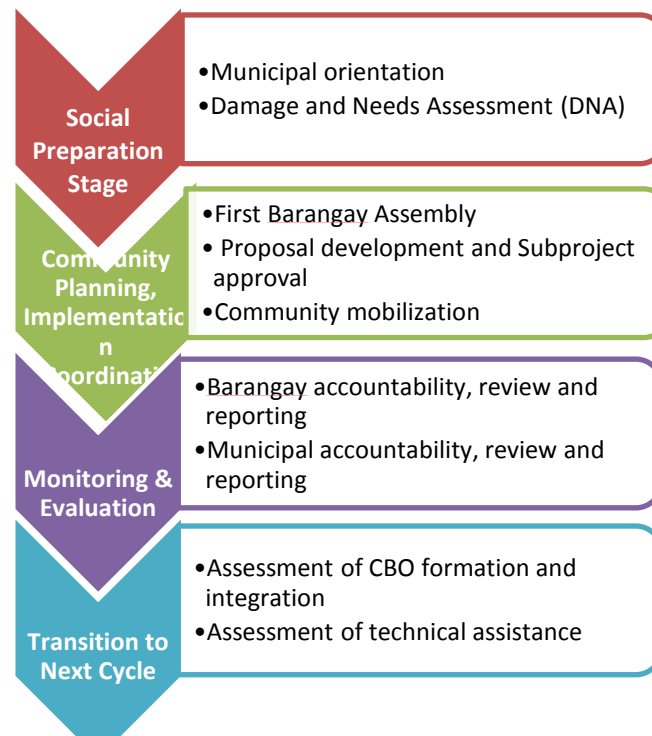
57. **Simplified CEAC Process for Contingent Component.** The post-disaster response will result in slightly different types of sub-projects but the overall nature and scope of activities will not change substantially in relation to regular KC-NCDDP operations. The guidance provided in the ESMF will continue to apply to the Contingent Component with additional screening tools during sub-project implementation. The CEAC process will be simplified and abbreviated under the Contingent Component to accelerate post-disaster response process but will retain the social preparation process, barangay assembly to encourage community planning, subproject proposal preparation, subproject implementation and monitoring, review,

¹⁴ Based on previous KALAHI-CIDSS experience, majority of the community subprojects of KALAHI-CIDSS are limited in size and scale and fall under Category C. As of January 2013, of the 1,380 subprojects supported by KALAHI-CIDSS, only one subproject located in Iloilo City on river dredging was considered as environmental Category B.

reporting and barangay/municipal accountability and assessment of subproject implementation. The assessment of environmental impacts and mitigation measures of subprojects will be integrated during the social preparation, barangay assembly, and subproject proposal preparation. The review will ensure the technical soundness of the proposals received from selected barangays and verify that these address the needs identified during the damage and needs assessment. The review also verifies whether the subproject fall within the positive list and ensures that environmental management plans and safeguards cost are included in the subproject implementation. Figure 2 presents an overview of the main stages and the corresponding activities for the Contingent Component.

58. In general, the abbreviated process for the Contingent Component will fast track the process and require one to two months from project identification to project implementation. Area Coordination Teams and community volunteers conduct the needs assessment in the immediate aftermath of disasters to assess relief needs in coordination with various stakeholders at the barangay level, the Municipal Social Welfare Division Office (MSWDO), Municipal Engineers Office, Municipal Agriculture Office, Bureau of Fire Prevention, Municipal Planning and Development Office, Philippine National Police, Department of Interior and Local Government, and the Local Disaster Risk Reduction Management Center (LDRRMC). The initial assessment is done within 36 hours of the disaster and the second assessment is undertaken within a week and a third. The Post-Disaster Needs Assessment (PDNA) is then completed within two months of the disaster to determine the early recovery needs.

Figure 2. Simplified Community Empowerment Activity Cycle for Post-Disaster Recovery



Source: Disaster Response Operations Manual, KC-NCDDP, DSWD, August 2, 2013.

59. **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.

60. 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.

61. **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.

62. 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

63. 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.

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

65. **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

66. 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 KC-NCDDP NPMO a copy of the PARs.

67. 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.

68. 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 subprojects will be submitted to ADB for uploading to the website.

69. 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.

70. 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 demographic 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				

CEAC Process	Environmental Safeguards	Social Safeguards	Task/Activities	Responsible Entity	Output
	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/ household IP screening	Identification of community issues with regard to environmental and social concerns Ensure engagement with NCIP for IP areas	ACT/MCT/CF	ESS Form Accomplished
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 sub-projects if needing CNC or ECC	CF- Community Volunteers /ACT (MT)	List of subprojects 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 Subproject 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

CEAC Process	Environmental Safeguards	Social Safeguards	Task/Activities	Responsible Entity	Output
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 IPDP, if needed		PD/IEE and ESMP
	Inclusion of safeguards in the subproject 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	

CEAC Process	Environmental Safeguards	Social Safeguards	Task/Activities	Responsible Entity	Output
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 website		Implementation of Post-subproject mitigating measures as stated in the ESMP	Infra. Com/Barangay	For Category B – Semi-annual environmental monitoring report to be uploaded at ADB website
Accountability Review	implementation of sustainability plan		Conduct of SET	O & M Committee	Completed SET

ACT = area coordinating team, BA = barangay assembly, BSPMC = barangay subproject management committee, CCA = climate change adaptation, CEAC = community empowerment activity cycle, CF = community facilitator, CLUP = comprehensive land use plan, CNC = certificate of non-coverage, DAC = deputy area coordinator, DoD = deed of donation, ECC = environmental compliance certificate, EMP = environmental management plan, ESMP = environmental and social management plan, ESS Form = environmental and social screening form, IEE = initial environmental examination, IP = indigenous peoples, IPDP = indigenous peoples development plan, LARR = land acquisition resettlement and rehabilitation, LGU = Local Government Unit, MT = monitoring team, NCIP = National Commission on Indigenous People, NPMO = National Project Management Office, O&M = operation and maintenance, PD = Project Description, PPT = project participation team, RoW = right-of-way, RPMO = regional project management office, SI Form = subproject identification.

Source: Department of Social Welfare and Development (Environmental and Social Management Framework).

V. CONSULTATION, INFORMATION DISCLOSURE AND GRIEVANCE REDRESS MECHANISM

71. ADB requires that the DSWD engage with communities, groups or people affected by the project. For Category B subprojects, 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 subprojects.

72. The procedure based on previous KALAHI–CIDSS 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.

73. 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.

74. 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 facilitators and the RPMO.

75. 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

76. 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; and
- (ix) Attempts to conceal any of the above.

B. Grievance Resolution Process

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

78. 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). RPMOs will ensure that the NCIP will likewise disseminate this information to indigenous groups, local NGOs and the press.

79. In addition, the project will continue to maintain a grievance register, which will provide information on the number and type of grievance and complains 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.

80. 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 the principle of precedence of customary laws in the Indigenous Peoples Rights Act.

VI. INSTITUTIONAL ARRANGEMENTS AND RESPONSIBILITIES

A. Project Implementation Arrangements

81. The KC-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, program 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

82. 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.

83. The ESMP, IEE, and 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 (i) thresh out operational issues in the ECC/CNC application and issues, (ii) upgrade skills of the community/LGU on IEE preparation, (iii) share information on current environmental regulations, and (iv) enable them to monitor compliance with CNC/ECC conditionalities.

84. 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 reports to the RPMO as part of the requirements for requesting funds.

VII. MONITORING AND REPORTING

85. 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 highlight the compliance of

subprojects 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.

86. 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 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.

87. The NPMO through the 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.

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

89. For the Contingent Component, all arrangements for monitoring and supervision will also be applicable including monitoring of tranches, technical completion reports and technical audits, sustainability evaluations and implementation of environmental management plans.

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 CO Director	DENR Secretary	120 days
	A-3: Operating without ECC	Single Project	Environmental Performance Report and Management Plan (EPRMP)	EMB CO/EIA Division Chief	EMB Central Office Director	90 days
	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
B-3: Operating without ECC		Co-located Project	PEPRMP	EMB CO/EIA Division Chief	EMB Central Office Director	60 days
C: Environmental Enhancement or Direct Mitigation		Co-located or Single Projects	Project Description	EMB RO/EIA Division Chief	EMB Regional Office Director	15 days

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)
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

DENR = Department of Environment and Natural Resources, CNC = certificate of non-coverage, CO = central office, ECC = environmental compliance certificate, EIA = environmental impact assessment, EIS = environmental impact statement, EMB = Environmental Management Bureau, RO = regional office.

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

**ATTACHMENT 2: CHECKLIST FOR ASSESSING THE ELIGIBILITY OF SUBPROJECTS
FOR FUNDING UNDER THE KALAHÍ-CIDSS**

(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 KALAHÍ-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 AND 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? D. 1.2 Is the Community/LGU willing to put up the required equity for the proposed subproject? 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.)	Date(s) _____ of _____ consultation: Issues _____ during _____ consultation: _____ _____ Yes ___ No ___ _____ _____ _____
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 E.1.2 Date Consultation conducted with the PAPs; Brgy. assembly E.1.3 Potential right-of-way/land acquisition issues:	Yes ___ No ___ Total: _____ Male: _____ Female: _____ _____ Issues _____ during _____ consultation: _____ _____ _____

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

<p>Municipal Investment Plan</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. OPERATONAL 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 FOR ELIGIBLE RURAL INFRASTRUCTURE SUBPROJECTS

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

Potential Impacts	Mitigation/ Enhancement Measures	Monitoring Parameter	Responsible Entity	Implementation Schedule	Cost and Source of Funds
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	<p><u>Both measures and monitoring to be done as follows:</u></p> <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, based on prior consultation with 	<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 _____barangays or sectors = P_____

Potential Impacts	Mitigation/ Enhancement Measures	Monitoring Parameter	Responsible Entity	Implementation Schedule	Cost and Source of Funds
	<ul style="list-style-type: none"> project-affected persons - Secure Deed of Donation or Quit Claim on land /other properties - Payment of compensation prior to construction works 				
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)					
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 	<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/hectare * _____ subprojects = P_____/ha - No additional ESMP cost for Mechanical or

Potential Impacts	Mitigation/ Enhancement Measures	Monitoring Parameter	Responsible Entity	Implementation Schedule	Cost and Source of Funds
	<ul style="list-style-type: none"> - Vegetative stabilization of the sloping areas - Designate a Spoils Storage Area near the construction site 				<ul style="list-style-type: none"> - 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					
<p>Obstruction of natural and redirected flow of water during construction works along roads and flood control works</p>	<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 	<p>Presence of culverts properly placed along natural drainage paths</p>	<p>Contractors to implement while the LGU supervises the Contractors</p>	<p>Daily operations</p>	<p>No additional ESMP cost; Drainage and installation of culverts are integrated in the subproject cost, being part of the standard design.</p>
Physical Environment: Water Quality					
<p>In compliance with: WB Pollution, Prevention and Abatement Handbook; GOP: RA 9275 Clean Water Act; DENR AO 2005-10</p>					
<p>Increase in total suspended solids, browning and turbidity of the receiving water body due to soil erosion/ increase in run-off from construction sites</p>	<ul style="list-style-type: none"> - Same measures to control soil erosion; - Supplemental measure along the river, if needed: silt traps to minimize downstream siltation 	<ul style="list-style-type: none"> - Presence of soil erosion control measures - Temporal/Short-term browning or turbidity of the river - # public complaints received by Proponent/ Contractor 	<p>Contractors to implement while the LGU supervises the Contractors</p>	<p>Daily operations</p>	<p>No additional ESMP cost. Silt trap may be installed 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.</p>

Potential Impacts	Mitigation/ Enhancement Measures	Monitoring Parameter	Responsible Entity	Implementation Schedule	Cost and Source of Funds
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 in containers and sell to licensed recyclers 	<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_____
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 	<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 	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

Potential Impacts	Mitigation/ Enhancement Measures	Monitoring Parameter	Responsible Entity	Implementation Schedule	Cost and Source of Funds
	compliance with emission standards as part of the annual vehicle registration process	construction at a level disrupting their normal level of activities			
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. 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 	<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 	<ul style="list-style-type: none"> - Contractor's project management and self-monitoring - LGU/ Community-based monitoring 	Daily operations	No additional ESMP Cost: Barangay <i>Tanod</i> to be provided by the LGU

Potential Impacts	Mitigation/ Enhancement Measures	Monitoring Parameter	Responsible Entity	Implementation Schedule	Cost and Source of Funds
	<p><i>tanod</i> to handle traffic management of pedestrian and vehicles</p> <ul style="list-style-type: none"> – Provide alternate route 	<p>during rehab works</p> <ul style="list-style-type: none"> – Presence of barangay <i>tanod</i> for traffic management – Presence of heavy traffic in road approach or along the road being rehabilitated – # public complaints received by Proponent/ Contractor 	and assignment of barangay <i>tanod</i> for traffic management		
Increased health risk due to improper disposal or lack of facilities for management of solid waste and sewage during construction	<ul style="list-style-type: none"> – Same measures for Water Quality to provide sanitary facilities and waste management facilities for 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"> – Same parameters for Water Quality control – Proper timing and frequency of barangay defogging (when deemed necessary by the LGUs) – # public complaints received by Proponent/ Contractor 	LGU/IA and settlers to enter into MOA on ESW Management	Daily operations	No additional ESMP Cost – addressed by the Water Quality measures while 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	<ul style="list-style-type: none"> – Schedule the construction works preferably during the drier 	<ul style="list-style-type: none"> – List of designated residents upslope to provide the information or 	<ul style="list-style-type: none"> – Contractor's project management and self- 	Daily operations, particularly during heavy	No additional ESMP Cost – This is considered

Potential Impacts	Mitigation/ Enhancement Measures	Monitoring Parameter	Responsible Entity	Implementation Schedule	Cost and Source of Funds
flashfloods along river	<ul style="list-style-type: none"> – 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 subproject site. 	<ul style="list-style-type: none"> – signal. – Presence of system (procedures and timing) of communication to be observed by the LGU and the contractors. 	<ul style="list-style-type: none"> – monitoring – LGU/ Community-based monitoring and assignment of barangay residents to provide the early warning/signal. 	rains.	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.
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/year
Obstruction of water flow due to aggregation of garbage at the headworks or at the check	<ul style="list-style-type: none"> - Regular removal of debris and other waste that may obstruct water flow - Designation of 	<ul style="list-style-type: none"> – Absence of accumulated garbage at the check/ control gates – List of IA members 	<ul style="list-style-type: none"> – IA to inventory list of volunteer members – IA to do self mgt. and 	<ul style="list-style-type: none"> – Measure: Designate at the start of operation – Daily operations on 	No additional ESMP Cost: IA representative to be under the volunteer program

Potential Impacts	Mitigation/ Enhancement Measures	Monitoring Parameter	Responsible Entity	Implementation Schedule	Cost and Source of Funds
gates/ control gates of the irrigation system	local community volunteers who will maintain the housekeeping of the irrigation distribution system	to do volunteer work on maintenance on solid waste management of the CIS	monitoring	waste management	
Obstruction of run-off along drainage canals causing the run-off to flow across the road surface, which may lead to erosion of the road	– 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 <i>tanod</i> to oversee the maintenance of the drainage canals along the road	Weekly or monthly or as the need arises, particularly after heavy rains	No additional ESMP cost: Collection of obstructions and drainage canal 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	– 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	– 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	– Use only the agro-chemicals allowed/ cleared by the Phil	– List of FPA-cleared agro-chemicals to be used in the	_____ CIS ISA to coordinate with the DA on	Schedule of training depends on the ISA's	No additional ESMP cost. Training package is

Potential Impacts	Mitigation/ Enhancement Measures	Monitoring Parameter	Responsible Entity	Implementation Schedule	Cost and Source of Funds
fertilizers) due to more intensive cropping within the irrigable service area, given the availability of regular and adequate irrigation water and improved irrigation facilities	<p>Fertilizer and Pesticide Authority</p> <ul style="list-style-type: none"> - Controlled and proper timing of application of agrochemicals based on an Integrated Pest and Crop Management (IPCM) Program which the ISA can formulate with the assistance of the DA - 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 	<p>Mainit CIS</p> <ul style="list-style-type: none"> - Presence of IPCM Program - Program for Farmers' Training and proof of attendance and demonstration of acquired skills 	IPCM Training	continuing development program for its farmer beneficiaries (at least one training a year is proposed)	integrated in the Agro-Enterprise development module package.
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 	<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 	Daily operations	No additional ESMP cost: Part of day-to-day management of the associations

Potential Impacts	Mitigation/ Enhancement Measures	Monitoring Parameter	Responsible Entity	Implementation Schedule	Cost and Source of Funds
	PWS – School Board – Local Health Office – Local Social Welfare Office – IP Organizations – Multi-purpose Cooperative – Other people's associations		their women members		
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 life and utility of the subprojects, unless natural catastrophic events such as anomalous magnitude of earthquake or flooding destroys the facility beyond use. In this case, the engineering and design of the 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