

As of 18 February 2004

**KALAHI-  
CIDSS  
Manual**

for Area Coordinators and  
Community Facilitators

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## Definition of Terms

**Project** refers to the KALAHI-CIDSS: KKB Project.

**Sub-Project** refers to projects of the community generated through the KALAHI-CIDSS planning process. It is a set of development activities or interventions designed, implemented and maintained by a beneficiary-barangay in order to respond to an identified need or problem it has identified through a Participatory Situation Analysis.

**Community Planning and Sub-Project Cycle** covers the four stages and 16 steps that a beneficiary-barangay undergoes in planning and implementing development sub-projects. Each cycle has a time frame of one year and a beneficiary-barangay may participate in a maximum of three (3) cycles for (3) years.

**Barangay Assembly** is composed of all Filipino citizens, fifteen (15) years old and above, who are actually residing in the barangay for the past six (6) months and who are registered in the records as members of the Barangay Assembly. (As defined in the Local Government Code, R.A. 7160) The congregation of these citizens is the barangay assembly being referred to in this manual.

**Barangay Development Council (BDC)** is a planning and development body whose creation is mandated by the Local Government Code. The BDC formulates the annual comprehensive and multi-sectoral plan to be approved by the Barangay Council. It also undertakes development-oriented activities within its jurisdiction. The BDC is composed of the barangay chairman, sangguniang barangay members, NGO representatives, the head of the Sangguniang Kabataan, and a representative of the congressman covering the district.

**Barangay Development Plan (BDP)** refers to the comprehensive, multi-sectoral plan prepared by the BDC after consultation with the different sectors/groups in the community. This is where the action plan prepared by the PSA volunteers in Step 3 and confirmed by the Barangay Assembly in Step 4 is to be integrated.

**Community-driven development** refers to an emerging approach in community development practice where processes, principles, strategies and resources are applied to ensure community empowerment by giving the people authority and control over decisions and resources.

**Ground working** is a process of intellectually and psychologically preparing key members of a group to ensure their participation in community activities. This is usually done on a one-to-one basis or in small group meetings. It goes beyond informing people of schedules and venues of meetings. It is actually simulating or going through the actual discussion of the agenda or issues, thus raising interest about the issues as well as preparing them for quality participation. It also helps in preparing for facilitation, as you are able to obtain preliminary reactions from key members of the community. This could effectively be done especially before Barangay Assemblies.

**The Municipal Inter-Barangay Forum (MIBF)** is a municipal level implementing structure of the Project. It is composed of three (3) elected representatives from each barangay (BRT) as regular members with voting power and associate members from the NGO sector, local media and the academe as well as the heads of the different municipal LGU offices as non-voting members.

The MIBF formulates the criteria to be used in the ranking of barangay sub-projects as well as the procedures/guidelines/mechanics of the ranking.

Moreover, it serves as the venue for the processing of experiences and feelings brought about by project prioritization and other activities. It is also one of the venues for the resolution of complaints/grievance related to the violation of policies, principles and implementation guidelines.

**Municipal Allocation** is a pool of funds from where the barangays can access financial support for their sub-projects.

## **FOREWORD**

These Manuals are the new set of reference materials formulated to guide the Community Facilitators and Area Coordinators in facilitating the 16-step Community Planning and Sub-Project Cycle of the KALAHI-CIDSS Project. These Manuals will immediately replace the old Community Facilitators Guide and the four AC and CF sub-manuals on the Social Preparation Stage of the Project uploaded last year.

This set incorporates the learning insights from the series of training and field coaching activities as well as the revisions or adjustments made to adopt improvements suggested by the World Bank Mission.

We recommend the immediate use of the manuals and encourage feedback so we can enrich the content and improve on the style for easy field use.

## Introduction

This manual and the accompanying sub-manuals are intended to help Community Facilitators and Area Coordinators carry out their tasks under the KALAHY-CIDSS Project. General descriptions and overviews are found in the main manual. The sub-manuals provide procedural guides in implementing the 16-step Community Planning and Sub-Project Cycle.

As basic reference materials, the manuals highlight the process and principles that support the community-driven development approach. Their use will enable the Community Facilitators and Area Coordinators to effectively respond to the challenges and opportunities offered by this unique Project.

The manuals are not intended to be highly prescriptive. While these are replete with procedures and guidelines, the AC and CF are encouraged to be innovative and explore other strategies and techniques that may prove to be effective, given the prevailing local conditions.

It must be emphasized that the manuals address the primary concern for social preparation and effective community mobilization to ensure better implementation of development projects or activities. As such, reference must be made to other manuals when technical information or requirements on engineering/infrastructure, and community procurement and finance are needed.

The *main Manual* is divided into three chapters and presents a general perspective of the Project.

- Chapter I Gives an overview of the KALAHY-CIDSS Project, its historical background, objectives, guiding principles, strategies and implementation arrangement.
- Chapter II Provides an Understanding of Poverty in the country and the Roles of the Community Facilitators in KALAHY-CIDSS
- Chapter III Describes the 16-step Community Planning and Sub-Project Cycle and identifies the significant outputs and milestones for each of the step

The *Appendices* portion contains 16 sub-manuals with their respective annexes. Each sub-manual provides procedural guidelines and tips on how to facilitate the activities in each step of the KALAHY-CIDSS Project Cycle.

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With these manuals, we look forward to an improved implementation of the Project. We believe that generating meaningful participation in support of its objectives will now be efficiently facilitated.

# CHAPTER I

## The KALAHI-CIDSS Project: An Overview

### A. Background

The Kalahi-CIDSS Project is a poverty alleviation undertaking that seeks to apply the emergent approaches that were proven to be effective in community development work. Specifically, it aims to consolidate the strategies applied by two national programs that have manifested a high degree of effectiveness in poverty alleviation as compared to other state-led initiatives: the Comprehensive and Integrated Delivery of Social Services (CIDSS) Program of the DSWD and the Kecamatan Development Program (KDP) of the Government of Indonesia. The consolidation is done in manner whereby the CIDSS Project is further improved by adopting the areas of strength of the KDP.

The CIDSS Program targeted disadvantaged groups such as the indigenous peoples, urban poor, marginal fisherfolk, upland farmers and other groups in areas where poverty incidence is high. Assessment based on survey results and testimonies from various stakeholders reveal that the Project was effective in relation to its goal of empowering the target groups to enable them to access basic services. Its strength lie in the manner of selection of sites and target groups, the employment of participatory methods as well as in multi-stakeholders` participation. The impact of CIDSS however, has been clouded by problems on limited coverage in terms of project areas, limited scope in terms of services offered and in the degree of community and LGU participation. As such, its potential to influence macro-economic trends is also minimized.

The KDP on the other hand, while not free from weaknesses, has also gained wide recognition as an effective poverty-reduction program. Significantly, it has the following features that can address the gaps in the CIDSS Project package: decentralized decision-making and giving importance to what the people wants; a competitive project selection process; a greater emphasis on social preparation by allocating a significant portion of project resources to capacity-building processes; a comprehensive area coverage; a wider selection of services; village-based monitoring and evaluation that ensure transparency and accountability; total approach to empowerment by giving funds directly to the people and a simplified fund disbursement system to avoid problems associated with funding delays.

### B. Project Objectives

The Kalahi-CIDSS Project hopes to develop self-propelling communities where people actively participate in activities that will improve their lives. In support of this vision, the Project will provide opportunities to:

#### **Empower local communities**

This involves capacity-building inputs and the institutionalization of mechanisms that will allow the people to freely exercise their right to decide on issues affecting them. Emphasis is given to vulnerable groups like the Indigenous Peoples, farmers, fisherfolk, by ensuring their inclusion in the decision-making process especially on matters pertaining to resource allocation and use.

### **Improve local governance**

Both at the barangay and municipal levels, this objective requires the revitalization of structures that will encourage community consultation and ensure transparency and accountability. Through capacity-building sessions, the communities and their local governments are prepared to undertake relevant community development activities.

### **Reduce Poverty**

This covers the provision of funds for basic community infrastructure or common service facilities and other relevant projects that will help reduce poverty. It is assumed that with empowered communities and improved local governance, sub-projects of communities will be relevant, successful and sustainable.

## **C. Project Principles**

As a community-driven development Project, the implementation of KALAHI-CIDSS is anchored on the following principles (acronym LET-CIDSS):

### **Localized decision-making**

This principle gives life to the importance of having the community discuss and decide on important issues that affect them including the formulation and implementation of projects and other interventions that will address problems they themselves identified. The Project guarantees that communities prepare and prioritize sub-projects for funding.

### **Empowering**

The Project invests heavily on capacity-building activities. The journey through the 16-step community planning and sub-project cycle exposes the people to a learning process where they can realize their individual and collective their strength, acquire and develop community project management skills, and increase their confidence in engaging local governments in periodic dialogues for better basic services delivery.

### **Transparency**

Community participation encouraged in all the steps of the Project and the barangay assemblies where the people are informed on the physical and financial status of the sub-projects and consulted on community issues or problems promotes responsibility and accountability. The multi-level monitoring system including that of the NGO and media as independent monitors and the Grievance Monitoring and Resolution Mechanism are features that support the transparency objective.

### **Community Prioritization**

Project intervention in terms of sub-projects and capacity-building activities is a product of a collective decision-making process. The Project engages the participating communities in a tedious task of problem analysis, project identification, development, implementation and monitoring. Decision on what projects are to be prioritized for funding is made by an inter-barangay forum whose members are elected by the barangay assemblies.

### **Inclusive and Multi-stakeholder**

The whole community, with its formal and traditional leaders, the different sectors and other individuals, groups or organizations are encouraged to participate in the Project. By broadening the base of participation, elite capture of the Project is prevented.

### **Demand-driven**

Support is given to enable the communities to prioritize their own needs and problems, design their own projects and make decisions on how resources will be used. Projects that are developed and implemented by the community have better outcomes and are sustainable.

### **Simple**

For better understanding and appreciation of the Project and to enable all the stakeholders to get involved, procedures and other requirements are kept simple.

### **Sustainable**

The Project ensures that sub-projects have viable plans for sustainability. With reference to Kalahi-CIDSS, viability and sustainability reflect the capacity of sub-projects to continue to deliver intended benefits over a long period.

## **D. Project Components**

The three components of the Project are:

### ***1. Social Preparation, capacity building and implementation support***

Given in all stages of the project cycle, this includes training on the different areas of competency required by the sub-project and support for community mobilization activities.

### ***2. Provision of Seed Fund for Community Development Projects***

Municipalities are allotted specific amounts which will be used for development projects identified by the Barangay Assemblies.

### ***3. Conduct of Monitoring and Evaluation***

This will involve studies or researches as well as regular data generation in order to digest learning and make corresponding adjustments in the Project.

## **E. Stages of the Community Planning and Sub-Project Cycle**

KALAHI-CIDSS areas go through four (4) stages of the Kalahi-CIDSS Planning and sub-project cycle:

### ***1. Social Preparation and Capacity Building***

Cutting across the three other stages, this stage provides the inputs needed to enable the community to participate effectively in the different aspects of the sub-project. Inputs cover orientation and training activities, community planning workshops, barangay assemblies and other skills enhancement activities.

### ***2. Project Identification and Conceptualization***

This stage engages the beneficiary-communities in an empowering process of identifying, from among the many options, the projects that will be conceptualized and undertaken to solve the problems in the community.

### ***3. Project Selection and Prioritization***

This stage is concerned with the process where the communities, through their elected representatives, meet to rank or prioritize project proposals endorsed for funding. The institutionalization of a system for the ranking of proposals is a special feature of the Kalahi-CIDSS Project.

### ***4. Project Implementation, Monitoring and Evaluation***

Implementation of sub-projects, the finalization of Operations and Maintenance Plans to ensure sustainability, and the conduct of periodic monitoring and field validation activities constitute the core of this stage. Volunteer teams organized to attend to the different concerns of project implementation are activated for this purpose.

## **F. Types of Sub- Projects**

Kalahi-CIDSS offers an “open menu” of projects to the communities so long as these projects have sustainable and poverty alleviating benefits for the larger segment of the community. However, a negative list has also been drawn up.

Among the projects that can be funded by KALAHICIDSS are:

- Economic Support Infrastructure (e.g. communal irrigation system rehabilitation, communal irrigation systems construction, production and post harvest facilities, etc.)
- Physical Infrastructure (e.g. Road rehabilitation, road re-graveling, solar drier)
- Basic Service Infrastructure (e.g. water system, barangay health stations, basic education facilities, etc.)
- Capability Building Activities (e.g. training for enterprise development such as fishing techniques, technology demonstration on farming cooperatives)

The project negative list includes:

- Weapons, chainsaws explosives, pesticides, insecticides, herbicides, asbestos and other potentially dangerous materials and equipment, fishing boats and nets above the prescribed size and weight of the Fisheries and Aquatic Resources Bureau;
- Road construction into protected areas;
- Use of funds for purchase or compensation of land;
- Micro-credit and livelihood activities which involve on-lending of project funds;
- Maintenance and operation of facilities provided with project funding;

- Activities that have alternative prior sources of committed funding;
- Recurrent government expenditures (e.g. salaries for government and LGU staff);
- Construction or repair of government offices meeting halls, and places of religious worship;
- Construction or repair of government offices meeting halls, and places of religious worship;
- Political and religious activities, rallies and materials,
- Salaried activities that employ children below the age of 16 years;
- Activities that exploit women or men at any age;
- Travel;
- Consumption items or events

### **G. Scope of the Project**

This six-year project is proposed to be implemented in about 200 municipalities in 42 provinces with poverty incidence above the national average of 33.7 %. There are some 5,000 barangays in these municipalities and all these barangays are eligible to participate. In addition, some urban poor communities from urban centers in each region shall be selected.

The selection of project sites shall be a multi-stage process and shall be conducted by a multi-sectoral committee composed of representatives from government, NGOs, and local government units. They shall be guided by a set of criteria which consider the levels of deprivation, presence or absence of partners, presence or absence of similar government programs, and the willingness and capacity of the municipal LGU to contribute to the project.

### **H. Project Implementation Arrangement**

#### *National Steering Committee*

At the apex of the Kalahi-CIDSS Project coordination structure is the Steering Committee in charge of providing policy directions and implementing guidelines, resolution of issues and imposing sanctions or granting incentives to barangay implementors. It is an inter-agency body composed of the following:

Secretary, Dept. of Social Welfare and Development	- Chairperson
Secretary, National Anti-Poverty Commission	- Lead Convenor
Secretary, Dept. of the Interior and Local Government	- Member
D/G, National Economic and Development Authority	- Member
Secretary, Dept. of Finance	- Member
Secretary, Dept. of Budget and Management	- Member
Three (3) representatives from the civil society	- Members
Other agency representatives as needed	

The DSWD is the lead agency of the Project with its National Project Management Team (NPMT) as implementing arm. The Secretary of the Department is the National Project Director. The DSWD regional offices implement the activities of the Project at the local level. The DSWD Regional Director or Assistant Director serves as the Regional Project Manager.

### ***Multi-level Inter-Agency Committees***

Inter-agency committees at the national (Technical Working Group), regional, provincial and municipal levels shall be organized to provide the technical Requirements of the project, facilitate coordination among various agencies, monitor and review implementation, and facilitate resolution of technical concerns.

At each level, the following agencies are represented:

- Dept. of Social Welfare and Development (DSWD)
- Dept. of the Interior and Local Government (DILG)
- National Economic and Development Authority (NEDA)
- Dept. of Budget and Management (DBM)
- Dept. of Finance (DoF)
- Dept. of Agrarian Reform (DAR)
- Dept. of Agriculture (DA)
- Dept. of Education (DepEd)
- Dept. of Public Works and Highways (DPWH)
- Dept. of Environment and Natural Resources (DENR)
- National Commission on Indigenous Peoples (NCIP)
- NGOs and POs
- Other agency representative as needed

### ***National and Regional Project Management Teams***

The national and regional project management teams are organic units of the DSWD assigned to KALAHI-CIDSS. The National and Regional Project Management Teams are also by assisted by Technical Assistance consultants with specialized areas of expertise.

### ***Municipal Area Coordinating Team***

The implementation of the Project at the municipal level is done by an ***Area Coordinating Team (ACT)*** composed of an Area Coordinator, Deputy Area Coordinator, Community Facilitators, and a Roving Bookkeeper.

*As head of the team, the Area Coordinator* performs monitoring and supervisory functions and provides technical assistance when indicated. The ***Deputy Area Coordinator***, who is an engineer by profession, ensures that engineering and other technical requirements of proposed sub-projects are complied with. Facilitating the 16-step community planning and sub-project cycle are the ***Community Facilitators*** who are assigned an average of five (5) barangays each.

The team receives regular supervisory inputs from the Regional Project Management Team (RPMT), particularly from the Regional Infrastructure Engineer, Community Development Supervisor.

### ***Municipal Inter-Barangay Forum (MIBF)***

The MIBF is a municipal level structure that serves as a mechanism for convening barangay representatives to make important decisions that affect the welfare and interest of the communities.

The MIBF performs the following functions:

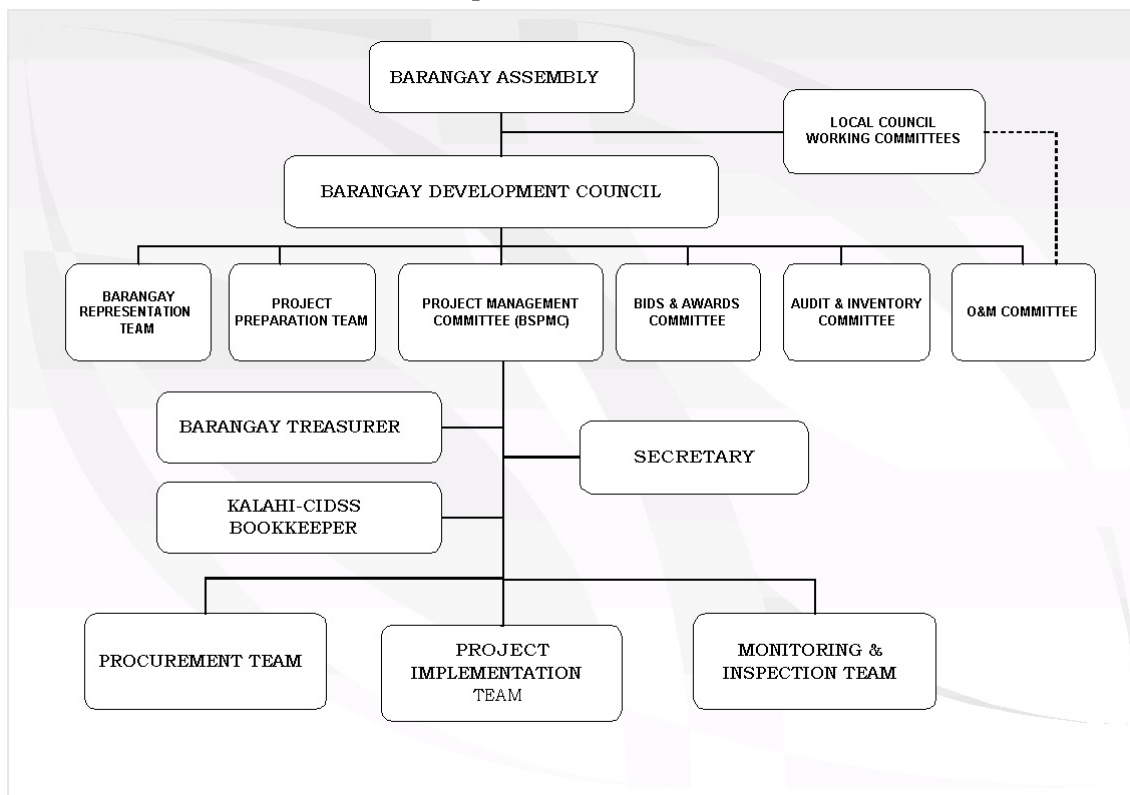
- Formulate criteria for the prioritization of sub-projects
- Prioritize and approve proposals submitted for funding
- Resolve issues relative to violations of project principles, policies and procedures and impose sanctions on erring barangays
- Serve as venue for the processing of experiences and feelings brought about by the ranking of sub-projects

Convened by the municipal mayor or the designated representative, the MIBF is composed of the following:

- Regular members with voting power: 3 elected representatives from each barangay in the municipality.
- Associate members on observer status: partner NGOs, representative from local media and the academe, and municipal LGU department heads

### ***The Barangay Implementation Structure***

The Barangay Assembly (BA), composed of all qualified residents of the barangay makes the final decision on matters pertaining to the implementation of the Project in the community. The assembly delegates its responsibility and accountability over project funds to the Barangay Development Council (BDC), a body composed of the elected officers of the Barangay Council (BC), People's Organization (PO) and NGO representatives. In support of empowerment and local governance objectives, the BDC delegates its authority over the funds as well as in planning, mobilizing and monitoring to the different KALAHI-CIDSS volunteers organized as committees and teams. A detailed description of the barangay structure involved in KALAHI-CIDSS is presented below.



### **KALAHI-CIDSS: KKB Barangay Implementation Structure**

In the implementation of the KALAHI-CIDSS: KKB Project within a given community, the Barangay Assembly (**BA**) --- composed of all the people living in the barangay --- shall be the ultimate decision-maker. It will elect the members of different committees, teams and other staff who shall be responsible for the conduct of specific phases/activities of the sub-project in the barangay.

As an organization mandated to assist the Barangay Council (**BC**) in setting directions for the socio-economic development of the barangay, the Barangay Development Council (**BDC**) will be revitalized since it is expected to assume responsibility and accountability for the KALAHI-CIDSS: KKB sub-project funds that will be channeled to the barangay.

For the KALAHI-CIDSS: KKB Project, the **BDC** shall perform policy and oversight functions.

The **BDC** is composed of the elected officials of the **BC** and representatives coming from **NGOs** and **POs** operating in the barangay. As provided for under the Local Government Code, these civil society groups shall constitute at least one-fourth (¼) of the total members of the **BC**.

Following are the committees, teams and staff that comprise the barangay Sub-Project Organization Structure of the KALAHI-CIDSS: KKB Project:

#### **1. Barangay Representation Team (BRT)**

Elected by the BA during the meeting to validate the results of the PSA (Step 4) this three-member team is the official delegation of the barangay to the Municipal Inter-Barangay Forum (MIBF).

The BRT is vested with authority to vote (for and in behalf of the barangay) on all matters brought before the attention of the MIBF, especially those concerning the prioritization of projects to be funded.

The team is also the official barangay representative to the workshop for the setting of criteria to be used in the prioritization/ranking of proposed sub-projects.

## **2. Sub-Project Preparation Team (PPT)**

The team shall develop the sub-project concept paper based on the ideas generated by the BA. Once the sub-project concept is considered by the MIBF for funding, the team shall proceed with the preparation of the detailed sub-project proposal with assistance from the Municipal Inter Agency Committee (MIAC) or from persons with technical skills required by the sub-project. The three members of the team will be elected by the BA during the meeting to validate the results of the PSA (Step 4)

## **3. Barangay Sub-Project Management Committee (BSPMC)**

The committee shall take care of the overall management of the sub-project. Under the guidance of the BDC, it shall also formulate policies and make decisions for the project. It shall oversee sub-project implementation, monitoring, maintenance and sustainability after project completion.

The Chairman of the BSPMC shall be elected by the BA during the feedback meeting on the results of the MIBF ranking of sub-projects concepts (Step 10). The secretary, bookkeeper, members of the Audit and Inventory Team (AIT), Project Implementation Team (PIT), Monitoring and Inspection Team (MIT) and the Procurement Team (PT) shall likewise be elected by the BA during the said meeting. However, the Treasurer of the barangay council automatically becomes the treasurer of the BSPMC.

The heads of the committees, team and staff of the Sub Project Organization shall constitute the Executive Committee of the BSPMC.

## **4. Audit and Inventory Team (AIT)**

The team shall perform internal audit functions. Specifically, it shall audit the KALAHI-CIDSS:KKB funds held by the Barangay Treasurer and the financial records and reports of the Bookkeeper. It shall also conduct regular inventory of all properties acquired under the sub-project and participate in the deliberations for the awarding of contracts or decisions to purchase whether done by bidding or canvass.

The three members of the team shall be elected by the BA during the feedback meeting on the results of the MIBF ranking of sub-project cycle (Step 10).

## **5. Treasurer**

The Barangay Treasurer is also the treasurer of the BSPMC. He/She shall have custody over the funds and properties of the sub-project and ensures that these will not be mingled with those of the Barangay Council.

## **6. Bookkeeper**

He/She shall take charge of recording all financial transactions and preparing financial reports. Separate books shall be maintained for each fund source. Documents to support all financial transaction shall be under the custody of the Bookkeeper. The BA shall elect the bookkeeper based on qualification and experience during the feedback meeting in Step 10 of the sub-project cycle.

**7. Project Implementation Team (PIT)**

The team is responsible for ensuring that the planned daily activities of the sub-project are carried out efficiently. As such, it is expected to devote most of its time in ensuring that materials, supplies, equipment and inputs are safely stored and made readily available. In electing the three members of the team (in step 10 of the sub-project cycle) the BA is advised to ensure that the experience and technical skills of the person to be elected matches the requirements of the project to be implemented.

**8. Monitoring and Inspection Team (MIT)**

The team shall monitor the progress of sub-project implementation. It shall validate the physical accomplishments based on reports prepared by the Implementation Team and the approved detailed work and financial plan. The team shall also ensure that deliveries of items or goods purchased are properly stored. Like the other teams, the three members of the MIT are elected by the BA (in the step 10 of the sub-project cycle).

**9. Bids and Awards Committee (BAC)**

The committee is responsible for the procurement of goods, supplies, materials and equipment for the sub-project. It is also tasked with contracting works and the hiring of personnel for the sub-project when needed.

The chairman of the BAC shall be elected by the EXECOM of the BSPMC (in step 10 of the sub-project cycle). The BSPMC chairperson is disqualified to head the BAC in order to avoid conflict of interest.

The regular members of the BAC are the Barangay Chairman (if he is not elected as BSPMC Chair), the Barangay Treasurer and Heads of the different teams (except the Procurement Team). If the BSPMC Chair is the Barangay Chairman, the BDC shall elect one representative from the NGO/PO groups in the council.

The LGU COA Auditor, Area Coordinating Team leader or the Deputy Engineer and Head of the Audit and Inventory Committee shall be invited to sit as non-voting members.

**10. Procurement Team (PT)**

The BA elects the three members of the team (in step 10 of the sub-project cycle) based on their qualification and experience.

The specific functions of the procurement team include: drafting of procurement plan, assisting in the preparation of bidding documents, preparing contracts, acting as canvassers, and acting as secretariat to the BAC. The team shall take charge of all activities required to acquire all the supplies, materials, equipment and labor from suppliers/contractor.

## 11. O&M Committee

The BA elects the three members of the committee in Step 10 based on their experience and qualification. The Committee takes charge of ensuring the smooth operation of the sub-project and maintaining its functionality. Training of volunteers to help in O&M activities is also one of the areas covered by the responsibility of the committee.

### *Role of Local Government Units*

Local government units participate in the Project as follows:

- Assign counterpart staff to the project;
- Provide counterpart contributions in support of barangay sub-projects;
- Provide technical assistance to participating barangays by providing, among others, engineering advice and support, agricultural inputs, etc.
- Monitor the implementation of sub-projects;
- Receive capacity-building interventions to facilitate the incorporation of KALAHY-CIDSS strategies and approaches into the LGU planning and implementation processes;
- Act as convener of the inter-barangay forum, with the assistance of the ACT;
- Provide other assistance needed for KALAHY-CIDSS Project implementation.

## CHAPTER II

### **The Strongest Link: Area Coordinators and Community Facilitators**

The Community Facilitator assumes a critical role in the implementation of the KALAHY-CIDSS Project. The overall outcomes are, to a great extent, influenced by the level of effectiveness of the facilitator in responding to the challenges of his/her responsibilities in the community.

As such, the facilitator should enter a community equipped not only with appropriate knowledge and skills in community mobilization but with the right set of attitudes, a high level of commitment and correct understanding of poverty:

#### ***POVERTY IS DEPRIVATION OF:***

<b><i>P</i></b>	<b><i>ARTICIPATION</i></b>
<b><i>O</i></b>	<b><i>WNEERSHIP OF ASSETS</i></b>
<b><i>O</i></b>	<b><i>PPORTUNITIES OR ACCESS TO SERVICES</i></b>
<b><i>R</i></b>	<b><i>ESOURCESS TO MEET BASIC NEEDS</i></b>

### **A. Understanding Poverty in the Philippines**

Poverty had been our most serious problem for decades. As of year 2000, poverty incidence was estimated at 40 percent and covered approximately 31.3 million Filipinos. Eight (8) of the 16 administrative regions of the country have poverty incidences that were higher than 40 percent. Moreover, about 70 percent of poor families were in the rural areas. However, studies revealed that the level of deprivation was more serious among the urban poor.

Our understanding of poverty determines the way we are going to respond to it. The most popular measurement of poverty is level of income. This is based on an assumption that you need a certain level of income to be able to purchase basic good and services. Based on this assumption, our usual response would be the provision of livelihood or employment opportunities.

As more studies were completed, a poor Filipino family was later described in terms of the quality of life of its members. Specifically, poverty was later defined as the sustained inability of Filipino families to meet minimum basic needs. Thus, poor families are usually characterized as having malnourished children; poor health; low educational attainment; are unemployed or underemployed; and homeless. With this perspective, poverty reduction responses focused on accelerated delivery of basic services.

Experiences also revealed that the conditioning factors of poverty include poor roads; unavailability of basic facilities such as electricity, potable water sources, school building, health centers, sanitary toilets, production as well as communication facilities; lack of access to basic services; peace and order problem; and calamities. Moreover, the root causes include inequitable distribution of production assets such as land, coastal resources, ancestral domain; non-participation in decision-making; and a culture of silence or helplessness.

Studies also showed that poverty has a sectoral dimension such that certain groups of Filipinos have become marginalized or vulnerable. These include the landless farmers, marginalized fisherfolk, urban poor, disadvantaged women, children in especially difficult circumstances, workers in the informal sector, migrant workers, indigenous people, persons with disabilities, victims of disasters and families displaced by armed conflict.

*WHY GENDER IS A DEVELOPMENT ISSUE*

In no region do women and men have equal social, economic and legal rights. Women continue to have systematically poorer command over a range of productive resources; including education, land, information, and financial resources. In South Asia women have only about half as many years of schooling as men, on average, and girls' enrollment rates at the secondary level are still only two-thirds of boys. Many women cannot own land, and those who do generally command smaller landholdings than men. And in most developing regions, female-run enterprises tend to be undercapitalized, having poorer access to machinery, fertilizer, extension information, and credit than male-run enterprises. Such disparities whether in education or other productive resources hurt women's ability to participate in development and to contribute to higher living standards for their families. These disparities also translate into greater risk and vulnerability in the face of personal or family crises, in old age and during economic shocks.\*

In the Philippines, the various manifestations of gender bias are as follows:\*\*

- |                             |   |
|-----------------------------|---|
| 1. Economic marginalization | Under or non-valuation/recognition of women's work<br>Unequal pay for work of equal value<br>Last to be hired, first to be fired<br>Limited opportunities<br>Exacting sexual favors                             |
| 2. Political Subordination  | Position; Status; Decision-making; Process of socialization   |
| 3. Multiple burden          | Parenting; Housework  |
| 4. Gender stereotyping      | Child-rearing; religion; occupations; education; language; behaviour; government programs; media; popular culture   |
| 5. Violence against women   | Verbal, psychological; physical. Forms of violence include jokes, wolf whistles, peeking, "chancing" or making sexual passes, sexual harassment, domestic violence, incest, rape, prostitution, sex trafficking |
| 6. Effects on Personhood    | Lack of self-esteem and no control over one's body  |

\*World Bank Policy Research Report

\*\*David, Karina Constantino. 1995. *Gender Seminar for Men: The HASIK Experience*, Q.C.

In summary, poverty is a multi-dimensional problem that is characterized by material deprivation, non-ownership of production assets and lack of control over decision-making. This is a state of disempowerment.

## **B. Community Facilitation and Roles of Facilitator**

This section focuses on the broad principles on facilitation and the roles and competencies of the community facilitator. Although you will undergo a basic training before entry into the community, this manual shall serve as a reminder of the essential knowledge, skills, attitude and motivation that should guide you in performing the tasks ahead.

You are called a “facilitator” because you will assist in managing change among marginalized communities. It is not going to be an easy task. However, you have undergone trainings and will have this manual that provides you with the required knowledge and skills. This is not to say though that the facilitator shall continue to play a principal role throughout the implementation of the Project. On the contrary, your effectiveness shall be measured by the extent to which the participation of the community increased while your roles diminished. Thus, your expertise should lie in introducing processes that ensure community participation as building blocks for empowerment. Moreover, the quality of community mobilization shall depend, to a large extent, on your attitude and motivation, which are reflective of your own level of empowerment.

Consider the following characteristics of an effective facilitator.

### **GOOD FACILITATORS BELIEVE ...**

- ☺ in the inherent worth and dignity of people;
- ☺ in social responsibility social justice;
- ☺ that each one has inherent potentials to change and is capable of reason;
- ☺ that each community member is equally important;
- ☺ that community members who hesitate to participate have logical reason for doing so and that it is the responsibility of the facilitator to understand this reason and make them aware of the importance of their participation;
- ☺ it takes time and patience to convince people to participate;
- ☺ that they should earn the respect and confidence of the community;
- ☺ that they should organize for the interest of the community and not for their own or other's interest;
- ☺ that there is strength in collective action;
- ☺ that community members have to learn to relate to each other as a group;
- ☺ that the more people act collectively, their confidence, attitudes and capacities for development are enhanced both at the individual and community levels.

Do you possess all or most of the aforementioned characteristics? If not, identify those which need enhancement and plan out how you can develop those characteristics. Some techniques to prepare you in community facilitation include the following:

- Include enhancements in your plan of action and request for coaching or mentoring along areas which need improvements;
- Peer sharing;
- Peer observation;
- Read related documents;
- Role play

***Roles of a Community Facilitator.*** Performance of the roles depends largely on values. Across these roles, you shall perform both analytical and interactional tasks. Analytical tasks refer to intellectual or technical actions required to produce a physical output while the latter involves actions that build relationships.

Your roles as community facilitator are as follows:

### ***1. Frontliner***

The facilitator is the most visible and most accessible personnel of the agency interfacing with the community in the process of implementing the project. S/he thus represents both the project and the agency as a social intervention empower and improve their lives, is influenced by the community members' perception of the project's principal agent, the Community Facilitator.

### ***2. Project Interpreter and Advocate***

The project espouses the basic principle of enabling the community to do what it perceives as the means to improve their lives, not to tell them what to do nor impose on them how things should be done. In more specific terms, the project promotes localized decision making, empowerment, transparency, competitiveness, multi-stakeholder participation, demand driven access to project resources, simplicity in systems and processes and sustainability. Ultimately, the vision is to arrive at a scenario where the community is able to initiate and undertake their own community projects and access assistance from national government agencies or other non-government entities.

The community facilitator is the primary agent that interprets or adapts these principles into actual practicable methods in the processes of community mobilization and project implementation at the community level. The more effective s/he is in practicing and communicating these principles to the community, the better are the chances for the intentions behind the project to be realized.

### ***3. Conduit***

Between the community and the project management bureaucracy is the community facilitator. It is important that the policy and decision-makers at the project management level possess an accurate, timely and comprehensive picture of the implementation process at the community so that they can respond to implementation issues in a timely and appropriate manner. The community facilitator, being in constant contact with the community, is the primary conduit between the community and the agency/ies.

### ***4. Community Organizer***

Within the locus of his/her tasks in the community the facilitator performs the following roles:

- a. Enabler – does not have prescription instead supports people to become independent by:
  - motivating or encouraging people to recognize the need to build consensus and act collectively;
  - encouraging expression and communication;









- interpreting information and helping people to reflect
- b. Problem-solver – has analytical capacity to define problems and recommend alternative solutions without taking responsibility for decision-making;
- c. Advocate- committed to a cause and will pursue this with others; confronts and challenges opinions and prejudices;
- d. Social mobilizer – able to persuade or convince various stakeholders to participate or contribute in the development processes
- e. Trainer - gives non-formal education, information and imparts skills individually or in group;
- f. Networker – able to identify and mobilize various partners;
- g. Learner – willing to learn from the community and believes that learning is a life-long process.

In the final analysis, your effectiveness as facilitator is indicated by the decreasing role in the community. As process moves on, your role as worker diminishes.

### **C. Tips in Preparing for Community Work**

Community work is physically, intellectually and emotionally demanding. At the same time, it is highly fulfilling. Preparing for your entry into the community requires not only acquiring the knowledge and skills in organizing work. More importantly, it entails being aware of your personal strengths and weaknesses so that you will know how to relate with the community members.

#### **TIPS IN PREPARING SELF FOR COMMUNITY WORK**

-  Make sure your family understands the nature of your work – that it may entail living or staying for long number of hours and days in the community;
-  Provide your family with specific directions or instructions as to how and when you may be contacted in the community;
-  If you have recurring/chronic health problem (e.g. asthma), make sure you have supply of medicines or would know how to manage it.
-  If you have special diet, bring enough supply or identify alternative food which may be available in the area;
-  Dress comfortably;
-  Know simple relaxation techniques.
-  Start or keep a journal.
-  Participate actively in the training. Do not hesitate to ask questions whenever some aspects of your work are unclear or even run counter to

## D. Required Basic Facilitation Skills

Facilitation skills are a basic requirement for CFs to ensure active participation and meaningful exchanges during meetings, training or workshops, and assemblies\*.

### A facilitator:

- Ensures the effective flow of communication within a group so that the participants can share information and arrive at decisions.
- Poses problems and encourages group analysis
- Provokes people to think critically and motivates them towards action.
- Does not change or ignore any decisions reached by the participants through consensus.
- Is sensitive, both to the verbal and non-verbal communications that occur in the group.
- Is sensitive to the feelings, attitudes, culture, interests and any hidden agenda that may be present in a group.

To resolve conflict, a facilitator should be able to sense the ADI where

A is for Agreement  
D is for Disagreement  
I is for Irrelevance

Agreements should be explored, disagreements respected and irrelevancies identified so that the focus will be on reaching an agreement. Exploring Ds can also be explored to widen the A.

### A facilitator should be like a sponge

An effective way of learning facilitation skills is through observing how effective facilitators handle a group in a certain activity. A good facilitator is like a sponge. They are never content with the skills and knowledge they have, and are aware that their capacity for learning is endless. In keeping wit this sponge image, effective facilitators learn from everything. In each course they conduct, they gain new insights and apply these to the next course based on their understanding.

## E. Do's and Dont's of Facilitation

<u>Do's</u>	<u>Dont's</u>
Learn to manage conflict	Do not quarrel with participants
Have a good projection	Do not lecture like a teacher
Direct /sustain smooth and systematic flow of discussion	Do not embarrass nor insult the participants
Avoid biases	Do not act like a terror teacher
Have mastery of subject matter being discussed	Do not reprimand participants
Give everybody a chance to talk/participate	Do not get angry with the participants

Lay down the ground rules of discussion	Do not overdo the sense of humor
Always give a running summary of the discussion/agreements	Do not be too accommodating to the participants
Surface feelings and experiences of participants	Do not be too serious
Be sharp and sensitive to trainees' needs	Do not be a dispenser of clarity but an enabler that empowers others
Synthesize the entire discussion	Do not indoctrinate
Be relaxed, confident, warm, trusting and human	Do not lead participants by asking questions to have wanted answers
Reflect, judge and decide objectively	Do not express personal opinion, standpoint or viewpoint
Respond quickly to verbal and non-verbal reactions of participants	Do not exercise authority over the group

*\*Training for Development, REDO-UPCSWCD*

### CHAPTER III

#### The KALAHI-CIDSS Community Planning and Sub-project Cycle

The KALAHI-CIDSS Community Planning and Sub-Project Cycle aims (i) to empower communities to participate in decision-making in ways that will improve their skills, strengthen their sense of responsibility and human dignity, (ii) to use community projects as a vehicle to promote representation, accountability and reduce poverty, and (iii) to strengthen the linkage between communities and their local government units.

Community Facilitators shall assist KALAHI-CIDSS areas go through the four stages and 16 steps of the Community Planning and Sub-Project Cycle:

*KALAHI-CIDSS Community Planning and Sub-Project Cycle*

<b>Stages</b>	<b>Steps</b>	<b>Activities to be conducted</b>
Social Preparation	1. Municipal Orientation	Municipal-level Program launching
	2. Barangay Orientation	Barangay Assembly
	3. Participatory Situation Analysis (PSA)	Barangay Volunteers' Training and Workshop
	4. Validation of PSA Results	Barangay Assembly
Project Development	5. Criteria-setting for ranking of sub-project concepts	Barangay Representatives' Workshop
	6. Preparation of sub-project concepts	Barangay Volunteers' Workshop
	7. Validation of sub-project concepts	Barangay Assembly
	8. Finalization of sub-project concepts	Barangay Volunteers' Workshop
Project Selection and Prioritization	9. Ranking of sub-project concepts by the MIBF	1 <sup>st</sup> MIBF
	10. Feedback on the results of MIBF ranking	Barangay Assembly
	11. Formulation of detailed sub-project proposals	Detailed project

		planning by barangay volunteers
	12. Validation of detailed sub-project proposal	Barangay Assembly
	13. Approval of detailed sub-project proposals by the MIBF	2 <sup>nd</sup> MIBF
Project Implementation	14. Pre-implementation workshop	Training workshop of barangay volunteers
	15. Sub-project implementation, monitoring and evaluation	Project implementation by volunteers  Reporting of project status by volunteers to Barangay Assembly
	16. Sub-project operation and maintenance	Sub-Project operation by volunteers  Reporting of operations and maintenance status to Barangay Assembly

The Project is implemented in three cycles. Each cycle covers a year of planning and project implementation as outlined above. The cycle objectives or milestones are: ***Year 1*** – Introduction of the Project and acceptance and commitment of the beneficiary-community to support it; ***Year 2*** – Mainstreaming or harmonization of the KALAHI-CIDSS processes with that of the local government’s development planning procedures; ***Year 3*** – Institutionalization or adoption of KALAHI-CIDSS processes by local governments.

#### **A. Highlights and Outputs of the 16 Steps**

##### ***Step 1: Municipal Orientation on KALAHI-CIDSS.***

The activity marks the official launching of the Project in the municipality. It is very significant because it generates awareness and acceptance of the Project and provides the forum where the technical and administrative requirements of implementation are officially agreed upon.

This groundbreaking event will be facilitated by the Area Coordinator with the help of the other members of the Area Coordinating Team and a representative from the RPMT.

Details on how to conduct the municipal orientation is found in ***Appendix 1***.

##### ***Step 2: Barangay Orientation on KALAHI-CIDSS (1<sup>st</sup> BA)***

This is a Barangay Assembly meeting convened by the Barangay Chairman for the purpose of introducing the Project to the community. To be conducted by the Community Facilitator, the orientation program will discuss the requirements of the Project with emphasis on the participation of all community sectors in planning and sub-project implementation.

To underscore the importance of popular participation, the community is encouraged to set the minimum percentage rate of household attendance during assemblies.

Details on how to conduct the 1<sup>st</sup> BA is found in ***Appendix 2***.

##### ***Step 3: Conduct of the Participatory Situation Analysis.***

The PSA is a workshop among volunteers elected during the (1<sup>st</sup> BA). The Community Facilitator shall facilitate the conduct of the PSA per barangay.

The PSA aims to establish a common understanding of the current situation of the area. It extensively analyses and describes the expectations, current socio-economic and political situation as well as the other needs/problems of the community.

Data generated by the PSA are used as bases for identifying community development problems and priorities and in planning for appropriate interventions.

The guide on how to facilitate the PSA is found in *Appendix 3*.

#### ***Step 4: Validation of the PSA Results (2<sup>nd</sup> BA)***

The 2nd BA is a community gathering where the result of the PSA is presented for validation and confirmation. The community dialogue to be moderated by the Community Facilitator will serve as a forum where the people gain a deeper understanding and appreciation of the problems confronting them and the resources at their disposal.

The sub-manual on how to facilitate the 2<sup>nd</sup> BA is attached as *Appendix 4*.

#### ***Step 5: Criteria Setting for the Ranking of Sub-Project Concepts***

Preparatory to the 1<sup>st</sup> MIBF, the BRT are convened in a forum to formulate the criteria for ranking of sub-project concepts. It is a venue for localized decision making. It is here where the communities involved take control of decisions related to resource allocation by prioritizing projects based on criteria they themselves prepared.

The details on how to facilitate the workshop on the setting of criteria for ranking of sub-project concept is attached as *Appendix 5*.

#### ***Step 6: Workshop on the Preparation of Sub-Project Concept***

The workshop is the venue where project ideas confirmed by the BA in Step 4 are crafted in order to respond to problems identified and prioritized during the PSA. Using the prescribed Sub-Project Concept Form, the PPT develops the concept that will be endorsed to the MIBF. Here, technical support is extended by the MIAC and the RPMT.

The workshop will also give opportunity for the on-site appraisal of sub-project concepts being developed not only on technical grounds but also on their economic and socio-cultural soundness.

Details on how to conduct the workshop is attached as *Appendix 6*.

#### ***Step 7: Validation of Sub-Project Concept (3<sup>rd</sup> BA)***

The third BA is where the community validates the sub-project concept prepared by the PPT. This is a feedback mechanism where comments and other inputs to improve the concept are given by the BA. It is a participatory exercise where the community is consulted and heard.

Details on how to facilitate the workshop is attached as **Appendix 7**.

***Step 8: Finalization of Sub-Project Concepts***

The workshop on the finalization of the sub-project concept is the venue where the PPT and BRT labor to finalize the project concept to be endorsed to the 1<sup>st</sup> MIBF for prioritization. At this point, volunteers have all the inputs required to refine and complete the sub-project idea – making it technically feasible and responsive to the problem to be addressed.

The guide on how to finalize the sub-project concept is attached as **Appendix 8**.

***Step 9: Forum on the Ranking of Sub-Project Concepts (1<sup>st</sup> MIBF)***

The 1<sup>st</sup> MIBF is the forum where all project concepts of participating barangays are presented for prioritization. It is the culmination of agreements made in the criteria-setting forum. Here, the barangay representatives rank the sub-project concepts using the criteria they prepared and decided to adopt.

The sub-manual on how to facilitate the 1<sup>st</sup> MIBF is attached as **Appendix 9**.

***Step 10: Feedback on the results of the 1<sup>st</sup> MIBF (4<sup>th</sup> BA)***

This is the venue where the results of the MIBF ranking are presented to the BA. It is also the time when the assembly sets up its officers of the Barangay Sub-Project Management Structure and all the working committees under it.

Details of how to conduct the feedback session to the community is attached as **Appendix 10**.

***Step 11: Workshop on the Preparation of Detailed Proposal***

Particularly for barangays whose sub-project concepts were prioritized in the 1<sup>st</sup> MIBF, the workshop is the venue for the PPT and BRT to prepare the detailed proposal to be endorsed to the 2<sup>nd</sup> MIBF. The exercise consolidates all the comments and recommendations given by the BA in Step 10. The step is important as the O&M Plan of sub-projects are also finalized during the workshop.

Sub-manual on this step is attached as **Appendix 11**.

***Step 12: Validation of Detailed Sub-Project Proposal (5<sup>th</sup> BA)***

The 5<sup>th</sup> BA is the venue where the detailed proposal is validated by the community. Once approved, the detailed proposal is endorsed to the 2<sup>nd</sup> MIBF for approval. In this step, the participation of the MIAC and other service providers is important.

Details on how to facilitate the workshop for the confirmation of the sub-project proposal is attached as **Appendix 12**.

***Step 13: Forum on the Approval of Sub-Project Proposals (2<sup>nd</sup> MIBF)***

Two months after the 1<sup>st</sup> MIBF, the BRT and PPT of the barangays are re-convened. In this forum, the representatives evaluate and approve the detailed proposal of those barangays whose project concepts were ranked in the first MIBF. The approval is based on the completeness of documents and compliance with the recommendations of the 1<sup>st</sup> MIBF.

Details on how to facilitate the forum is attached as *Appendix 13*.

#### ***Step 14: Sub-Project Pre-Implementation Workshop***

In preparation for the actual sub-project implementation, a pre-implementation or pre-construction workshop at the community level is organized. The activity is a gathering of all the sub-project implementers who will ensure that the whole community is organized and equipped to undertake the implementation and management of the sub-project. Basically, the workshop serves as the venue for an extensive orientation of the community -- particularly the volunteers -- on community procurement, finance, infrastructure, and other sub-project types. Discussion on the various reportorial requirements on the physical and financial status of the sub-project will be undertaken. The review of the implementation plan emphasizing tasks and assignments, timetable, and local counterpart commitments is also given serious attention.

It is also during the workshop that the O&M Plan for infrastructure sub-projects may be finalized. It is understood that this is a requirement for the release of 2<sup>nd</sup> tranche implementation funds.

The sub-manual on this step is attached as *Appendix 14*.

#### ***Step 15: Sub-Project Implementation***

At this point, the community is all set to undertake the implementation of their sub-project. It has reached the stage where the knowledge, skills and months of technical and organizational preparation will be put to test. Workgroups under the barangay sub-project organizational structure will be mobilized. On the average, sub-project completion takes around six months.

Details on sub-project implementation activities are outlined in *Appendix 15*.

#### ***Step 16: Implementation of Sub-Project O&M Plan***

Step 15 ends when the sub-project is 100% completed. A community inauguration of the completed sub-project shall mark this milestone. After the inauguration, operation and maintenance of the sub-project will start.

One of the pitfalls of a good number of projects is the inability of stakeholders to manage, operate, maintain and sustain them. In most cases, projects are physically implemented and successfully completed. However, an equally important aspect known as project operation and maintenance (O&M) is often neglected, thus putting great risk on project sustainability. There are also instances where O&M might have been considered, but strategies failed to ensure effective transfer of technology and skills to end users.

This step therefore guides the community ensuring project sustainability.

Sub-Manual on the Implementation of the O&M Plan is attached as *Appendix 16*.

