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Department of Social Welfare and Development

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ADMINISTRATIVE ORDER

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SUBJECT: GUIDELINES IN THE PREPARATION OF THE SOCIAL PROTECTION AND DEVELOPMENT REPORT (SPDR)

I. RATIONALE

The mission of the Department of Social Welfare and Development (DSWD) is “to provide social protection and promote the rights and welfare of the poor, vulnerable and disadvantaged groups by enhancing their participation and capabilities.”

Relative to this, the Department, pursuant to its Reform Agenda is taking the lead in engaging the social protection programs and strategies with other concerned government agencies and organizations. The issuance of the Social Development Committee (SDC) Resolution No. 1 series of 2007 provided a comprehensive definition of the social protection strategies and interventions to the poor. Moreover, to guide government agencies, local government units (LGUs) and other stakeholders in converging social protection programs and services, the Social Protection Operational Framework and Strategy was formulated and subsequently adopted by the National Economic and Development Authority (NEDA)-SDC Cabinet level in October 2009.

To further strengthen its role, the DSWD chairs the created NEDA-SDC Subcommittee on Social Protection to operationalize the institutional arrangements and reporting of each of the responsible government agencies on social protection. This would likewise mainstream social protection efforts to achieve greater synergy and program impact in achieving an improved quality of life.

With the enormity of the poverty situation and the increasing inadequacies to address the problems of the very poor and vulnerable, there is

a need to generate adequate data and information to identify major risks and vulnerabilities, as well as the needed appropriate responses to such. Major risks which may be confronted in the area maybe classified as follows: individual life cycle stages, economic, environmental/natural and psycho-social and governance.

The SPDR will be formulated as a vital tool in identifying the risks and vulnerabilities encountered by individuals, families and communities and would provide the basis to determine which among the risks and vulnerabilities are the priorities, given the government's limited resources. It is also a tool for effective planning and budgeting process as well as for policy formulation and program development.

On this premise, this guideline is being issued to provide parameters at the local, regional and national levels in the preparation of the SPDR.

II. LEGAL BASES

1. Administrative Order 232 (Office of the President, Malacañang, July 8, 2008) known as Social Welfare Reforms – agencies involved along social welfare clustered into National Social Welfare Program to address the impact of adverse global environment.
2. Social Development Committee (SDC) Resolution No. 1 series of 2007 entitled "Adopting a Philippine Definition of Social Protection."
3. DSWD Administrative Order No. 3 series of 2005, entitled "Guidelines in the Preparation of Local SWD Situationer and Its Utilization" provides the minimum data requirements of a local situationer and the specific tasks of DSWD Central/Field Offices and the LGUs in its preparation and utilization.

4. DILG Memorandum Circular No. 2005-25 entitled "Enjoining the LGUs to Accomplish and Submit to the DSWD the Revised Reporting System for LGUs SWD Programs and Services.

III. OBJECTIVES

The SPDR aims to achieve the following objectives:

General Objective:

To identify the risks and vulnerabilities encountered by individuals, families and communities through the preparation of the SPDR.

Specific Objectives:

1. To provide the FOs and the local social welfare and development offices ~~with the~~ a tool in identifying risks and vulnerabilities for the SPDR;
2. To guide the FOs and the local social welfare and development offices in undertaking risks-response gap analysis in relation to the assessment of the poverty situation in the area; and
3. To serve as useful reference in integrating social welfare and development (SWD) / social protection concerns in the regional and local development planning.

IV. DEFINITION OF TERMS

1. **Community Based Monitoring System** – is an organized way of collecting information at the local level for use of the local government units (LGUs), national government agencies (NGAs), NGOs and civil society groups and also aims to assist LGUs in the needs identification, policy making and program implementation, and is expected to provide early warning signs of impending crises (National Statistical Coordinating Board (NSCB) Resolution No. 6, series of 2005)

2. **Comprehensive Development Plan** – is an action plan utilized by the local chief executive to develop and implement priority sectoral and cross-sectoral programs and projects in the proper location at the LGUs. It addresses all the development concerns of the local inhabitants (Source: Guide to Comprehensive Development Plan (CDP) Preparation, 1st Edition, 2008)
3. **Disadvantaged** – an individual, family or group who is considered economically, physically and socially deprived or has inadequate means to protect one's self from the effects of external events which includes needy family heads and other needy adults, indigent children, out-of-school youth, physically and mentally handicapped, distressed individuals and families (Source: Paper of Prof. Ana Maria L. Tabunda, UP School of Economics, Training on Poverty Analysis and Risk and Vulnerability Assessment)
4. **Food threshold** – is the minimum income / expenditure required for a family / individual to meet the basic food needs which satisfies the nutritional requirements for economically necessary and socially desirable physical activities (Source: National Statistical Coordination Board (NSCB))
5. **Labor Market** – measures aimed at enhancing employment opportunities and protection of the rights and welfare of workers. Employment enhancing measures include trade policies and skills development and training. Labor protection includes compliance with labor standards such as minimum wages or health and safety in the workplace (Source: NEDA-SDC Resolution No. 1 series of 2007)
6. **Local Indicator Development System** – is a database for planning, an intermediate analytical tool portray in three (3) dimensions: topical or sectoral, temporal and geographical or spatial (Source: Guide to Comprehensive Development Plan (CDP) Preparation, 1st Edition, 2008).
7. **Poor** - refers to those whose income fall below the poverty threshold and who cannot afford in a sustained manner to provide for their food and non-food

- needs (Source: Republic Act No. 8425 or the Social Reform and Poverty Alleviation Act).
8. **Poverty** – sustained inability of a household to meet its minimal set of capabilities for human, physical, intellectual and psychological functioning (Source: Annual Poverty Indicators System (APIS), National Statistics Office (NSO))
 9. **Poverty incidence** - is the proportion of families / individuals with per capita income / expenditure less than the per capita poverty threshold to the total number of families / individuals (Source: National Statistical Coordination Board (NSCB)).
 10. **Poverty threshold** - is the minimum income/expenditure required for a family/individual to meet the basic food and non-food requirements (Ibid)
 11. **Rationalized Local Planning System** – a holistic system to carry out plans of at the local level with four (4) components: the planning structure, the mandated plans, planning process and the LGUs authority levers (Source: Rationalizing the Local Planning System, A Source Book 1st Edition, 2008, Department of Interior and Local Government).
 12. **Risks** - are uncertain events that may damage someone's well-being towards becoming poor (Source: Final Report of Dr. Fernando T. Aldaba, Consultant, National Sector Support for Social Welfare and Development Project in his Social Welfare and Protection Report, August 20, 2008).
 13. **Risk-Response Gap Analysis** – a process to determine whether the current responses to the major social risks identified are adequate. Areas for social risk-response gap analysis are: 1) Policies; 2) Programs; 3) Institutions; 4) Resources; 5) Capacities; and 6) Information Technology (Source: Final Report of Dr. Fernando T. Aldaba, Consultant, National Sector Support for

- Social Welfare and Development Project in his Social Welfare and Protection Report, August 20, 2008).
14. **Risk and Vulnerability Assessment** – refers to the measurement or estimation of being at-risk and vulnerable at any potentially harmful event (Source: Paper of Prof. Ana Maria L. Tabunda, UP School of Economics, Training on Poverty Analysis and Risk and Vulnerability Assessment).
 15. **Social Insurance** – programs that seek to mitigate income risks by pooling resources and spreading risks across time and classes. These are designed in such a way that beneficiaries pay a premium over a given period of time to cover or protect them from loss of income and unemployment as a result of illness, injury, disability, retrenchment, harvest failure, maternity, old age, etc. This component includes micro-and area-based schemes to address vulnerability at the community level, such as micro-insurance, agricultural insurance and social support funds (Source: National Economic and Development Authority – Social Development Committee (NEDA-SDC) Resolution No. 1 series of 2007 entitled “Adopting A Philippine Definition of Social Protection).
 16. **Social Protection** – constitutes policies and programs that seek to reduce poverty and vulnerability to risks and enhance the social status and rights of the marginalized by promoting and protecting livelihood and employment, protecting against hazards and sudden loss of income, and improving people’s capacity to manage risks (Source: NEDA-SDC Resolution No. 1 series of 2007)
 17. **Social Protection and Development Report (SPDR)** – provides information and data on the current situation of a particular area. It serves as a tool towards a more effective response to risks and vulnerabilities (Source: Final Report of Dr. Fernando T. Aldaba, Consultant of National Sector Support for Social Welfare and Development Project in his Social Welfare and Protection Report, August 20, 2008).

18. **Social Safety Nets** – are stop-gap measures or urgent responses that address effects of economic shocks, disasters and calamities on specific vulnerable groups. These are solutions that specifically target the affected groups with the specific objective of providing relief and transition. The measures include emergency assistance, price subsidies, food programs, employment programs, retraining programs and emergency loans (Source: NEDA-SDC Resolution No. 1 series of 2007).
19. **Social Welfare** – preventive and developmental interventions that seek to support the minimum basic requirements of the poor, particularly the poorest of the poor, and reduce risks associated with unemployment, resettlement, marginalization, illness, disability, old age and loss of family care. Social welfare and assistance programs usually comprise direct assistance in the form of cash or in-kind transfers to the poorest and marginalized groups, as well as social services including family and community support, alternative care and referral services (Source: NEDA-SDC Resolution No. 1 series of 2007).
20. **Vulnerable** – an individual, family or group who is at-risk of any potentially harmful event, loss or danger (Source: Paper of Prof. Ana Maria L. Tabunda, UP School of Economics, Training on Poverty Analysis and Risk and Vulnerability Assessment).
21. **Vulnerabilities** - are probabilities to become poor in the future (Source: Final Report of Dr. Fernando T. Aldaba, Consultant, National Sector Support for Social Welfare and Development Project, Social Welfare and Protection Report, August 20, 2008).

V. SCOPE AND COVERAGE

The preparation of the SPDR shall cover the DSWD Central Office (DSWD-CO), DSWD Field Offices (DSWD-FOs), and Provincial/City/Municipal Planning and Development Office (P/C/MPDO) in the preparation and implementation of SPDR. The SPDR Guide Template (Annex A) shall be used in gathering the data and information at the local level.

The preparation cycle of the SPDR shall be in accordance with the Rationalized Local Planning System (RLPS) of the Local Government Units (LGUs) and the Comprehensive Development Plan (CDP) process which is prepared every three (3) years. This shall also be consistent with the Joint Memorandum Circular No. 001, series of 2007 entitled “Harmonization of Local Planning, Investment Programming Revenue Administration, Budgeting and Expenditure Management.”

VI. OPERATIONAL PROCEDURES

PERIOD COVERED	ACTIVITY	RESPONSIBLE OFFICE/PERSON
Preparation		
1 st quarter of the year (January – March)	<p>The City/Municipal Social Welfare and Development Officer shall gather data and information at the local level using the SWD Guide Template (refer to attached Annex A) in the preparation of the SPDR.</p> <p>The data and information generated shall be used in the analysis and</p>	<p>City/Municipal Social Welfare and Development Officer (C/M/SWDO)</p>

PERIOD COVERED	ACTIVITY	RESPONSIBLE OFFICE/PERSON
	<p>assessment of the risk and vulnerability identified in the area.</p> <p>For the risk and vulnerability assessment, the C/M/SWDO shall refer to attached Worksheets to determine the gaps in the implementation of programs/projects as a response to risk as well as possible solutions and recommendations.</p>	
1 st month of the 2 nd quarter	The C/M/SWDO shall submit the SPDR every 10 th working day of the 1 st month of the 2 nd quarter to DSWD Field Office (FO) copy furnished the Provincial Social Welfare and Development Officer (PSWDO)	C/M/SWDO
2 nd week of April	The DSWD-FO shall integrated the city and municipal SPDR for onward submission to the DSWD Central Office through the Policy Development and Planning Bureau (PDPB)	

PERIOD COVERED	ACTIVITY	RESPONSIBLE OFFICE/PERSON
	The Provincial Social Welfare and Development Officer shall maintain databank of the consolidated city/municipal SPDR and advocate the adoption of the same to the Local Planning and Development Office and the Local Development Council.	Provincial Social Welfare and Development Office (PSWDO)/Local Planning and Development Office (LPDO)/Local Development Council (LDC)
2 nd week of May	DSWD-CO through the PDPB shall prepare the national SPDR as input to the Medium Term Philippine Development Plan (MTPDP)	DSWD Central Office
Updating		
Every 10 th working day of the 1 st month of the 2 nd quarter (April 10)	The City/Municipal Social Welfare and Development Officer shall update the SPDR of the LGUs and submit the same to the DSWD Field Office, copy furnished the PSWDO	C/M/SWDO
Every 10 th working day of the 1 st month of the 3 rd quarter (July 10)	The DSWD FO shall update and integrate the city/municipal SPDR for onward submission to the DSWD-CO.	DSWD-FO
Every 10 th working day	The DSWD-CO shall	DSWD-CO

PERIOD COVERED	ACTIVITY	RESPONSIBLE OFFICE/PERSON
of the 1 st month of the 4 th quarter (Oct. 10)	update the national SPDR	

VII. ORIENTATION FOR THE SPDR

The DSWD-PDPB, shall conduct orientation on SPDR to the DSWD Field Offices. For the LGUs, the FO Planning Unit, shall be responsible in providing orientation to their respective local government partners. This will take place every time the newly/reelected local chief executives are sworn into office, preferably not later than the third quarter of the year. The PDPB may extend the necessary technical assistance to the FOs and LGUs.

VIII. SOURCES OF DATA

As a *primary source* of data, the Community-Based Monitoring System (CBMS) available at the LGUs shall be used in the preparation of SPDR.

Secondary data to be utilized maybe obtained from the National Statistics Office, Family Income Expenditure Survey (FIES), Annual Poverty Indicator Survey (APIS), Labor Force Survey (LFS) and other data generated by other agencies and local offices. Other data sources for preparing the SPDR shall include Local Governance Performance Management System (LGPMS), National Household Targeting System for Poverty Reduction (NHTS-PR), Monitoring and Evaluation (M & E) Results, Surveys, Inventories, Donor-funded Project Reports, studies by other local or international organizations undertaken in the community and data generated by other LGU offices/Departments and national government agencies.

Please refer to (*Annex B*) for the possible data sources

IX. TIMELINES FOR THE SUBMISSION OF THE SPDR AT DIFFERENT LEVELS

REPORTS REQUIRED	SOURCE	FREQUENCY	DUE DATE *
A. Preparation			
1) National	DSWD-PDPB	Every 3 years	Every 3 rd month of the 2 nd quarter (June) starting 2011 and every 3 years thereafter
2) Regional	All Field Offices	Every 3 years	Every 2 nd month of the 2 nd quarter (May) and after every 3 years
3) LGUs	City/Municipal Office	Every 3 years	Every 10 th working day of the 1 st month of the 2 nd quarter (April) and after every 3 years
B. Updating			
1) National (PDPB)	Central Office	Annual	Every 4 th quarter (October–December) every year
2) Regional	All Field Offices	Annual	Every 3 rd quarter (July–September) every year

REPORTS REQUIRED	SOURCE	FREQUENCY	DUE DATE *
3) LGUs	City/Municipal Office	Annual	Every 10 th working day of the 1 st month of the 2 nd quarter (April-June) every year

(* Based on Joint Memorandum Circular No. 001, Series of 2007 entitled "Harmonization of Local Planning, Investment Programming Revenue Administration, Budgeting and Expenditure Management")

X. IMPLEMENTATION ARRANGEMENTS

Institutional Arrangements

A. Local Government Units

1. Provincial Social Welfare and Development Office (PSWDO)

- Coordinate with the Local Planning and Development Office (LPDO) and Local Development Councils (LDCs) for the adoption of SPDR as a tool for generating and analyzing data in the preparation of the social sector development plan at the provincial level;
- Maintain databank of the consolidated city/municipal SPDR of its jurisdictions for local planning and monitoring; and
- Utilize the SPDR as basis for local development planning, budgeting and monitoring.

2. City / Municipal Social Welfare and Development Office (C/MSWDO)

- The C/MSWDO shall prepare and submit the SPDR for planning and budgeting as well as reference in the updating of the social sector development plan of the city/municipal comprehensive local development plan to the DSWD FO;
- Coordinate with the Local Planning and Development Office (LDPO) in the preparation of the SPDR;
- Furnish copy of the SPDR to the Provincial Social Welfare and Development Office (PSWDO); and
- Maintain databank of the city / municipal SPDR

3. Local Planning and Development Office (LPDO)

- Assist the C/M/SWDO and provide relevant data/information to facilitate the preparation of the SPDR;
- Coordinate with the sectoral committees of the Local Development Council relative to sectoral concerns to be integrated in the SPDR; and
- Provide the necessary technical assistance and consultation to the LGUs.

4. Local Development Council (LDC)

- Coordinate and assist the Municipal/City Planning and Development Office and its sectoral committees in the integration of sectoral concerns for SPDR.

B. DSWD-Field Offices

B.1. Social Welfare and Development (SWAD) Team

- Advocate to LGUs the importance of SPDR;
- Coordinate the retrieval and submission of data from the C/MSWDOs to the FOs

B.2. Planning Unit

- Assist and monitor the LGUs in the preparation and submission of the SPDR;
- Assess and integrate the local SPDR to prepare the regional SPDR;
- Maintain the databank of SPDR at all levels (provincial/municipal/city);
- Conduct orientation on SPDR to MSWDOs/MPDOs for awareness, better understanding and appreciation as well as elicit support in the implementation of SPDR;
- Provide necessary technical assistance to C/MSWDOs and C/MPDOs in the preparation of SPDR particularly in doing risk and vulnerability assessment;
- Furnish copy of assessment report to LGUs through the MSWDO/CSWDO as basis in crafting their policies and guidelines;
- Input the SPDR in the preparation/updating of the Regional Development Plans and Reports being coordinated by NEDA, DSWD sectoral and regional plans, and regional SWD legislation monitoring agenda; and
- Submit the regional SPDR to the PDPB at the DSWD-CO.

C. DSWD-Central Office

C.1. Policy Development and Planning Bureau (PDPB)

- Prepare the national SPDR as input to the MTPDP;
- Prepare the national assessment report relative to the implementation of SPDR;
- Monitor the FOs' accomplishment based on the target number of LGUs with SPDR as indicated in their Performance Contract;
- Provide the necessary Technical Assistance (TA) to Office/Bureau/Service/Unit (OBSUs) and FOs in the preparation of the SPDR; and
- Maintain databank of the regional SPDR.

C.2. Management Information Systems Service (MISS)

- Install data system for the integration of the local SPDR at the Field Offices and integration of the regional SPDR at the DSWD-Central Office through the PDPB;
- Provide support to data system administration and maintenance; and
- Provide technical assistance relative to IT requirements of SPDR.

D. Department of the Interior and Local Government (DILG)

- Engage the LGUs in the preparation and updating of the SPDR;

- Provide necessary technical assistance in local planning and monitoring of the SPDR, as appropriate;
- Encourage the LGUs to advocate and promote to other LGUs the best practices in the preparation of the SPDR; and
- Issue corresponding Memorandum to all Governor/City/Municipal Mayors to adopt and support the preparation and submission of SPDR

□ Monitoring and Evaluation

1. Local Government Units

The C/M Social Welfare and Development Office, in coordination with the LPDO, shall be responsible for the monitoring and evaluation of the SPDR, with the assistance of sectoral committees of the LDC.

2. DSWD-Field Offices

The DSWD-FOs shall monitor and evaluate the annual accomplishments relative to the implementation of the SPDR. An assessment report shall be prepared by the Planning Unit, highlighting the progress or gaps and the recommendations to improve the SPDR preparation. This shall be submitted by the DSWD-FO to the DSWD's PDPB at the Central Office.

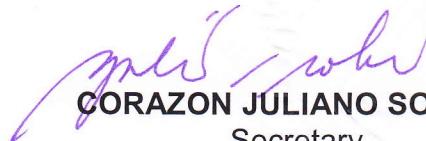
3. DSWD-Central Office

The Central Office through the PDPB shall be responsible for the monitoring and evaluation of the SPDR submitted by the FOs for the national SPDR assessment.

XI. EFFECTIVITY

This Administrative Order shall take effect immediately and supersedes other previous orders inconsistent thereof.

Issued in Quezon City this 15th day of April, 2011.



CORAZON JULIANO SOLIMAN
Secretary

ANNEX A

**GUIDE TEMPLATE FOR SOCIAL PROTECTION AND DEVELOPMENT
REPORT (SPDR)**

Region: _____

Province: _____

I. GENERAL INFORMATION

1.1. Geographical location and land area

- Name of City / Municipality: _____
- Income Classification: _____
- Number of Congressional Districts: _____
- Number of Barangays: _____
- Regional Poverty Threshold: Php _____
- Provincial Poverty Threshold: Php _____
- Subsistence Threshold: (For regional office only)

1.2. Demographic Characteristics

- Latest population of individuals disaggregated by Sex, and Age Group by City / Municipality
- Population of Families disaggregated by City / Municipality
- Total number of families per City / Municipality
- Average Household/family size per City / Municipality

1.3. Poverty Profile

- Poverty Incidence
- Magnitude of Poor Families (by City / Municipality)
 - Total Poor Families
 - Families Below the Subsistence Food Threshold
 - Families Below the Poverty Threshold but above Subsistence Threshold

1.4. Main Source of Income

- Agriculture (agriculture, fishing, hunting, forestry)
- Industry (mining, quarrying, manufacturing, electricity, gas and water, construction)

- Services (wholesale and retail trade, repair of motor vehicles, motorcycles & personal & household goods, transport, storage and communication, hotels and restaurants, financial intermediation, real estate, renting and business activities, public administration & defense, compulsory social security, education, health, social work & personal service activities, private household with employed persons, extra territorial organizations and bodies)
- Primary Occupation / Employment (government and special interest organizations officials, corp. execs, managers or proprietors, supervisors, professionals, Technician and associate professionals, clerks, service workers and shop and market sales workers, farmers, forestry workers and fishermen, trades and related workers, plant and machine operators and assemblers and laborers and unskilled workers)

1.5. Welfare Profile

- Average Household/Family Size per city/municipality
- Malnutrition rate
- Net enrolment rate in elementary
- Net enrolment in secondary school
- Completion rate in elementary
- Completion rate in secondary school
- Highest educational attainment of HH Head
- Drop-out Rate (School-leavers' rate)
- Simple literacy rate
- Functional literacy rate
- Infant mortality rate
- Under-5 mortality rate
- Maternal mortality rate
- Unemployment rate/labor force
- Sector of employment of HH Head
- Percentage of HHs with access to potable/safe water
- Percentage of HHs with sanitary toilet
- Percentage of HHs with access to electricity
- Number of barangays without public elementary schools
- Number of barangays without day care centers
- Number of barangays without health centers

II. RISK AND VULNERABILITY ASSESSMENT

(Refer to the attached Guide in Doing Risk and Vulnerability Assessment/Worksheet)

Name and Signature of Person
Accomplishing the Form/

Checked & Verified by:

Date Accomplished: _____

Name/Signature and Designation

Approved by: _____
Name and Signature of Head
of Office or his/her representative

GUIDE IN DOING RISK AND VULNERABILITY ASSESSMENT

Worksheet 1 – Identification of Risk and Prevalence of Risk

Column 1 - Identify major risk confronted in the area:

1. Individual Life Cycle – (includes illness, disability, age, hunger, and death)
2. Economic – (unemployment, underemployment, low and irregular incomes, and economic crises)
3. Environmental/Natural – (floods, typhoons, drought, earthquakes and volcanic eruptions)
4. Social/Governance – (armed conflicts, corruption, social exclusion, gender inequality, IP discrimination and crime)

Column 2 – Indicator of Risk - determine the possibility of suffering from any potentially harmful event. Example: inflation; loss of income; failure of harvests; volcanic eruptions; landslides, etc.

Column 3 – Prevalence of Risk / Name of City/Municipality – indicate prevalence or frequency of risk and the name of city/municipality

Worksheet 2 – Identification of Vulnerable Groups and Prevalence of Vulnerability

Column 1 - Identify major vulnerable sectors in the area

Column 2 – Indicator of Vulnerability – determine the condition of being at risk of any potentially harmful event

Vulnerable Sector	Indicator
Children	Proportion of vulnerable children over total children population
Youth	Proportion of vulnerable youth over total youth population
Women	Proportion of women in especially difficult circumstances over total women population
Women farmer-peasant	Proportion of women farmer-peasant over total women population
Persons with Disabilities/differently-abled persons	Proportion of persons with disabilities/differently-abled persons over total population
Older Persons	Proportion of senior citizens over total

Vulnerable Sector	Indicator
	population
Displaced families	Proportion of displaced families over total families
Victims of calamities/disasters/emergencies	Proportion of calamity/disaster/emergency victims over the total population
Indigenous Peoples and Cultural Communities	Proportion of indigenous peoples over total population
Artisanal fisherfolk	Proportion of artisanal fisherfolks over total population
Workers in the informal sector	Proportion of workers in the informal sector over total labor force
Workers in the formal sector & migrant workers	Proportion of workers in the formal sector/migrant workers over total labor force
Urban poor	Proportion of urban poor over total poor population

Column 3 – Prevalence of Vulnerability / Name of City/Municipality – indicate prevalence/frequency of vulnerability and the name of city/municipality.

Worksheet 3 – Risk and Vulnerability and Impact on Vulnerable Groups

Column 1 – Identified Risk – indicate the risk occurred faced by individual/households/community (Individual Life Cycle, Economic, Environmental etc)

Column 2 – Indicator of Risk and Vulnerability – indicate condition of being at risk and vulnerable

Column 3 – Prevalence of Risk and Vulnerability – prevalence/frequency of being at risk and vulnerability

Column 4- Effects on Households/Vulnerable Groups

Column 4 (a) Nature of welfare loss – pertains to the effect on vulnerable groups when there is risk (e.g. loss of lives, loss of income, damage to properties, etc.)

Column 4 (b) Duration –length of time the effect of risk existed/being experienced

Column 4 (c) No. of Individuals/Groups Affected – refer to individuals/groups/households affected by the identified risk

Column 4 (d) Groups most affected – refer to the specific sector affected by risk (e.g. children, youth, women, etc.)

Worksheet 4 – Social Protection Programs/Projects Responding to Risk and Vulnerability

Column 1 – Identified Risk – indicate risk

Column 2 – Indicator of Risk – indicate the condition of being at-risk

Column 3 – Existing Social Protection Programs Utilized by Agencies/LGUs/Other Stakeholders – indicate programs and projects utilized by agencies, LGUs and other stakeholders implementing social protection

Column 3 (a) Risk Mitigation – refers to activity/program that prevents risk in the area

Column 3 (b) Risk Coping/Management – refers to activity/program that responds to risk which include recovery and rehabilitation

Column 3 (c) Risk Reduction - refers to activity/program that will lessen or diminish risk in the area

Column 4 – Recommended Social Protection Programs/Projects – refer to possible programs/projects other than the existing social protection programs/projects that respond to risk

Worksheet 4a – Gap of Existing Social Protection Programs/Projects Responding to Risk and Vulnerability

Column 1 – Identified Risk – indicate risk

Column 2 – Indicator of Risk – indicate the condition of being at-risk

Column 3 – Existing Social Protection Programs Utilized – indicate social protection programs that are being utilized or implemented

Column 4 – Gaps – indicate the identified problems that hinder the implementation of social protection programs and projects

Column 4 (a) Policies – refer to policy framework, strategies, legislations, local ordinances needed to implement the program and develop effective responses

Column 4 (b) Programs – refer to functions/activities and strategies necessary for the performance of a major purpose for which the government agency is established

Column 4 (c) Implementing Structure – refers to institutions, agencies implementing social protection programs and projects

Column 4 (d) Capacities – refer to capacity/capability of personnel and staff in the delivery and implementation of social protection programs and projects

Column 4 (e) Resources – refer to available funds, manpower, equipment, facilities and “in-kind” support and assistance being provided by the national agency, local government units and other stakeholders in the implementation of social protection programs/projects

Column 4 (f) Information – refers to data/information/technology available and disseminated to concerned agencies implementing social protection programs and projects

Worksheet 5 – Risk/Response Gap Analysis

Column 1 – Identified Risks – indicate risk

Column 2 – Gaps – refer to problems that hinder the implementation of social protection programs/projects to respond to risk

Column 3 - Action Taken – refer to activities and initiatives accomplished to mitigate and reduce the risk and vulnerability

Column 4 – Recommendations/Social Protection Options – refer to options and alternative interventions to address/respond to risk and vulnerability

ANNEX B

Types of Risks and Possible Data Sources

Possible Risks	Possible Sources of Data			
	<i>Types</i>	<i>Regional</i>	<i>Provincial</i>	<i>City/Municipality</i>
Individual Lifecycle:				
Hunger and malnutrition	<ul style="list-style-type: none"> • Food and Nutrition Research Institute (FNRI) • National Nutrition Council (NNC) • Social Weather Station (SWS) • Regional NGO networks 	<ul style="list-style-type: none"> • Food and Nutrition Research Institute (FNRI) • National Nutrition Council (NNC) • City and Municipal Social Welfare Offices, • Provincial NGOs, • religious organizations 	<ul style="list-style-type: none"> • Food and Nutrition Research Institute (FNRI) • National Nutrition Council (NNC) • Barangay Health and Day Care Workers • Local NGOs • religious organizations 	
Illness, Injury, Disease (incl. HIV-AIDS)	<ul style="list-style-type: none"> • Department of Health (DOH) Regional Office • Provincial Health Offices 	<ul style="list-style-type: none"> • Provincial Health Office/Boards • Local health NGOs • Municipal/ City Health Offices 	<ul style="list-style-type: none"> • Local Health Office/Boards • Local health NGOs • Barangay health workers 	
Disability	<ul style="list-style-type: none"> • National Statistics Office (NSO)-Census on Housing and Population • National Council on Disability Affairs (NCDA) 	<ul style="list-style-type: none"> • National Statistics Office (NSO)-Census on Housing and Population • Local Social Welfare Offices 	<ul style="list-style-type: none"> • National Statistics Office (NSO)-Census on Housing and Population • Barangay registry 	

Old Age	<ul style="list-style-type: none"> • National Statistics Office (NSO)-Census on Housing and Population • Provincial Offices for Senior Citizens 	<ul style="list-style-type: none"> • National Statistics Office (NSO)-Census on Housing and Population • Office of Senior Citizens Affairs (OSCA) 	<ul style="list-style-type: none"> • Office of Senior Citizen Affairs (OSCA) • barangay registry • barangay health workers
Large Family Size	<ul style="list-style-type: none"> • NSO, • Population Commission • DOH 	<ul style="list-style-type: none"> • NSO • Provincial and Municipal Health Offices 	<ul style="list-style-type: none"> • Municipal Health Offices • Barangay Health Offices
Economic:			
Underemployment	<ul style="list-style-type: none"> • NSO • DOLE • DTI 	<ul style="list-style-type: none"> • NSO • Municipal and City PESO 	<ul style="list-style-type: none"> • Local PESO, Local Planning Office • Barangay registry
Unemployment	<ul style="list-style-type: none"> • NSO • DOLE • DTI 	<ul style="list-style-type: none"> • NSO • Municipal and City PESO 	<ul style="list-style-type: none"> • Local PESO, Local Planning Office, • Barangay registry
Price instability of basic commodities	<ul style="list-style-type: none"> • NSO • DTI • Local Price Coordinating Council 	<ul style="list-style-type: none"> • NSO • DTI • Local Price Coordinating Council 	<ul style="list-style-type: none"> • Local Planning Office • Local public markets • Local Price Coordinating Council
Poverty Incidence	<ul style="list-style-type: none"> • NSCB • NEDA 	<ul style="list-style-type: none"> • Local Planning Office 	<ul style="list-style-type: none"> • Local Planning Office
Labor Productivity	<ul style="list-style-type: none"> • DOLE • DTI • NSO 	<ul style="list-style-type: none"> • Local PESO • Local Planning Office 	<ul style="list-style-type: none"> • Local PESO • Local Planning Office
Company/Labor Shutdown, labor strike/labor retrenchment	<ul style="list-style-type: none"> • DOLE • NSO • DTI 	<ul style="list-style-type: none"> • NSO • Municipal and City PESO 	<ul style="list-style-type: none"> • Local PESO • Local Planning Office
Environmental and Natural :			
Shelter and Housing	<ul style="list-style-type: none"> • HUDCC • private sector 	<ul style="list-style-type: none"> • HUDCC • private sector 	<ul style="list-style-type: none"> • Local housing boards

	housing-related org.	housing-related org.	<ul style="list-style-type: none"> local development planning office private sector housing-related organizations
Access to water and sanitation	<ul style="list-style-type: none"> DOH Provincial Health Offices 	<ul style="list-style-type: none"> Provincial and Municipal Health Offices Provincial Planning Office 	<ul style="list-style-type: none"> Municipal Health Office Barangay Health Office Local planning Office
Drought	<ul style="list-style-type: none"> DENR DENR Regional Office Regional Disaster Coordinating Council (RDCC) PAG-ASA private groups like the Manila Observatory 	<ul style="list-style-type: none"> Provincial Environment and Natural Resources Office Provincial Disaster Coordinating Council (PDCC) PAG-ASA 	<ul style="list-style-type: none"> Municipal Environment & Natural Resources Office Municipal Disaster Coordinating Council (MDCC) PAG-ASA Barangay Disaster Coordinating Council (BDCC)
Rains and Floods	<ul style="list-style-type: none"> DENR DENR Regional Office Regional Disaster Coordinating Council (RDCC) PAG-ASA, private groups like the Manila Observatory 	<ul style="list-style-type: none"> Provincial Environment & Natural Resources Office Provincial Disaster Coordinating Council (PDCC), PAG-ASA 	<ul style="list-style-type: none"> Municipal Environment & Natural Resources Office Disaster Coordinating Council (MDCC) PAG-ASA Barangay Disaster Coordinating Council (BDCC)
Earthquakes	<ul style="list-style-type: none"> DENR, DENR Regional Office Regional Disaster Coordinating Council (RDCC) PHIVOLCS private groups like the Manila Observatory 	<ul style="list-style-type: none"> Provincial Environment & Natural Resources Office Provincial Disaster Coordinating Council (PDCC), PAG-ASA 	<ul style="list-style-type: none"> Municipal Environment & Natural Resources Office Municipal Disaster Coordinating Council (MDCC) PAG-ASA Barangay Disaster Coordinating

			Council (BDCC)
Volcano eruption and landslides	<ul style="list-style-type: none"> • DENR, • DENR Regional Office • Regional Disaster Coordinating Council (RDCC) • PDCCs • PHIVOLCS private groups like the Manila Observatory 	<ul style="list-style-type: none"> • Provincial Environment & Natural Resources Office • Provincial Disaster Coordinating Council (PDCC), PAG-ASA 	<ul style="list-style-type: none"> • Municipal Environment & Natural Resources Office • Municipal Disaster Coordinating Council (MDCC) • PAG-ASA • Barangay Disaster Coordinating Council (BDCC)
Fire	<ul style="list-style-type: none"> • Regional Disaster Coordinating Council (RDCC) 	<ul style="list-style-type: none"> • Provincial Disaster Coordinating Council (PDCC) • Provincial Fire Protection 	<ul style="list-style-type: none"> • Municipal Disaster Coordinating Council (MDCC) • Barangay Disaster Coordinating Council (BDCC)
Social/ Governance:			
Crime and domestic violence	<ul style="list-style-type: none"> • Philippine National Police (PNP) • citizen watchdogs 	<ul style="list-style-type: none"> • PNP • citizen watchdogs 	<ul style="list-style-type: none"> • PNP, • barangay tanods, • citizen watchdogs
Political insurgencies/Extra Judicial killings and Enforced Disappearances	<ul style="list-style-type: none"> • Department of National Defense (DND) • Armed Forces of the Philippines (AFP) • citizen watchdogs • religious organizations • civil society groups • media • Phil. National Red Cross • PNP • NGOs • DILG • DOH • CHR 	<ul style="list-style-type: none"> • DND-AFP • citizen watchdogs • religious organizations • civil society groups • PSWDO • PNP • NGOs • DILG • DOH • media • OPAP • GRP Monitoring Committee 	<ul style="list-style-type: none"> • DND-AFP • barangay tanods • citizen watchdogs • religious organizations • civil society groups • media • C/MSWDO • PNP • NGOs • DILG • DOH • OPAP • GRP Monitoring Committee

	<ul style="list-style-type: none">• OPAP• GRP Monitoring Committee		
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Risks adopted mainly from the ADB Social Protection Strategy Paper, 2001

Region: _____
 Province: _____

WORKSHEET FOR RISK AND VULNERABILITY ASSESSMENT

Worksheet 3 - Risk and Vulnerability and Impact on Vulnerable Groups

Identified Risk	Indicator of Risk and Vulnerability	Prevalence of Risk and Vulnerability	Effects on Households/Vulnerable Groups			
			Nature of welfare loss (a)	Duration (b)	No. of Individuals/ Groups Affected (c)	Groups most affected (d)

Region: _____
 Province: _____

WORKSHEET FOR RISK AND VULNERABILITY ASSESSMENT

Worksheet 4 : Social Protection Programs/Projects Responding to Risk and Vulnerability

Identified Risks	Indicator of Risk	Existing Social Protection Programs Utilized by Agencies/LGUs and other Stakeholders			Recommended Social Protection Programs/Projects (d)
		Risk Mitigation (a)	Risk Coping/ Management (b)	Risk Reduction (c)	

Department of Social Welfare and Development

Region: _____
Province: _____

WORKSHEET FOR RISK AND VULNERABILITY ASSESSMENT

Worksheet 5 : Risk/Response Gap Analysis

Identified Risks	Gaps	Action Taken	Recommendations/ Social Protection Options