



**Republic of the Philippines**  
**Department of Social Welfare and Development**

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Administrative Order  
No. 05  
Series of 2013

**SUBJECT: INTERNAL GUIDELINES FOR BOTTOM-UP  
PLANNING for DSWD Projects**

**I. RATIONALE**

In order to contribute to the government's strategies to alleviate poverty and empower the community, the Department of Social Welfare and Development in cooperation with other line agencies and stakeholders commits to implement the Bottom-Up Planning and Budgeting (abbreviated as BUB) for the achievement of the Millennium Development Goal in reducing the poverty incidence from 26.5% in 2009 to 16.6% by 2015.

The Protective Service Bureau (PSB), and Kapitbisig Laban sa Kahirapan – Comprehensive and Integrated Delivery of Social Services (KALAHI-CIDSS) and Sustainable Livelihood Program under the Poverty Reduction Programs Bureau (PRPB) as implementing arm of the Department shall lead the implementation of the approved BuB projects under its mandate.

**II. LEGAL BASES**

**DBM-DILG-DSWD-NAPC Joint Memorandum Circular No. 1** (series of 2012 dated March 8, 2012), as a strategy to pursue the Millennium Development Goal of reducing poverty from 26.5% in 2009 to 16.6% by 2016, the bottom-up approach to planning and budgeting approach shall be piloted among 609 LGUs by the Human Development and Poverty Reduction Cluster (HDPRC), Good Governance and Anti-Corruption Cluster (GGAC), the DBM and DILG.

**Article II, Section 9 on State Policies of the Philippines Constitution** provides that ‘The State shall promote a just and dynamic social order that will ensure the prosperity and independence of the nation and free people from poverty through policies that provide adequate social services, promote full employment, a rising standard of living and an improved quality of life for all...’

**Executive Order No. 221 of 2003, SECTION 1.** Mandate: Consistent with the provisions of the Administrative Code of 1987 and Republic Act 7160 (Local Government Code), the DSWD is hereby mandated to provide assistance to local government units (LGUs), non-government organizations (NGOs), other national

government agencies (NGAs), people's organizations (POs) and members of civil society in effectively implementing programs, projects, and services that will alleviate poverty and empower disadvantaged individuals, families and communities for an improved quality of life as well as implement statutory and specialized programs which are directly lodged with the Department and/or not yet devolved to LGUs.

**Republic Act No. 7160 of 1991**, Devolution of Department of Social Welfare and Development basic services to the Local Government Unit.

### III. OBJECTIVES

To provide the guidelines for the implementation of priority poverty reduction projects identified by local government units through the Bottom-up Planning and Budgeting process, which have been included in the proposed 2013 National Expenditure Program based on the mandate of the Department.

### IV. PROGRAM DESCRIPTION

The **Protective Services Programs** are set of programs and services designed to prevent abuse and exploitation among children, youth, women, person with disability and senior citizen or to provide treatment and rehabilitation to victims and survivors of abuse and exploitation.

Protective services programs are provided both in the community and residential care facilities. Community based services are preventive, rehabilitative and developmental programs and initiatives that mobilize/utilize the family and community to respond to a problem, need, issue or concern of children, youth, women, person with disabilities, older persons and families who are in need and are at-risk. This include social pension, assistance to individual in crisis situation (AICS), Early Childhood Care and Development (day care service and home-based or supervised neighborhood play), supplementary feeding, child care and placement, travel clearance for minors traveling abroad, services for women in especially difficult circumstances, welfare and development programs for person with disability, disaster management, response and rehabilitation. Center based services on the other hand provides 24 hour residential care to individuals whose needs cannot be met by their own families and relatives such as residential care facilities for children, youth, women, senior citizens and person with disability (particularly mentally-challenged) and non-residential such as Rehabilitation Sheltered Workshop, National Vocational Rehabilitation Center, Area Vocational Rehabilitation Centers, Center for the Handicapped and Ina Healing Center.

The **Sustainable Livelihood Program (SLP)** is a community-based capacity building program that seeks to improve the program participants' socio-economic

status. It is implemented through a two-track program: the Micro-Enterprise Development Track and the Employment Facilitation Track. The Micro-enterprise Development Track supports the participants' micro-enterprises in becoming organizationally and economically viable while the Employment Facilitation Track assists participants to access appropriate employment opportunities.

The projects under SLP-BUB employs the Community Driven Enterprise Development (CDED) approach, which equips program participants to actively contribute to production and labor markets by looking at locally available resources and accessible markets. It relies on multi-stakeholder partnerships and participatory community planning, implementation and monitoring. Likewise with CDED, interventions are done by linking the participants to non-government organizations (NGOs) and private sector groups that provide business development services such as: (i) product and marketing development, (ii) skills enhancement and business management in preparation for the Self-Employment Assistance-Kaunlaran Association's (SKA's) market integration, and (iii) diversified loan packages for further financial assistance.

The Sustainable Livelihood Program (SLP) aims to improve the socio-economic capacity of the poor through a capacity building program that will develop the personal, social, entrepreneurial and technical skills of the poor households from the selected LGUs identified and approved by the Human Development and Poverty Reduction Cluster (HDPRC) and the Good Governance and Anti-Corruption Cluster (GGAC) under the EO No. 43, series 2011 by enabling them to manage sustainable microenterprises in order to enhance their access to basic social services and improve their standard of living.

**The Kapit-Bisig Laban sa Kahirapan – Comprehensive and Integrated Delivery of Social Services** also known as **KALAHI-CIDSS** is a community-driven development project that aims to empower communities by enhancing their participation in village-level governance where community members are involved in designing, implementing, and managing development activities that reduce poverty.

The objective is to use improved local governance to reduce poverty by:

- Empowering communities through participatory planning, implementation, and management of local development activities
- Improving local governance by strengthening formal and informal institutions to become more inclusive, accountable, and effective
- Providing seed funds for community investment programs.

The KALAHI is based on the following principles which the Department sums them up in the acronym LET CIDSSS.

*Localized Decision-Making.* All decisions about community projects are taken in public forums and meetings.

*Empowerment.* Communities take ownership of all aspects of projects, from planning and decision-making to implementation.

*Transparency.* The community knows every aspect of project decision-making. Financial management of project funds is open and shared with the entire community.

## V. DEFINITION OF TERMS

**Bottom-Up Process in Planning and Budgeting (BuB)** - an approach to formulating the budget proposal of agencies, taking into consideration the development needs of poor cities/municipalities as identified in their respective local poverty reduction action plans that shall be formulated with strong participation of basic sectors and civil society organizations.

**BuB Projects** – Programs and projects identified by local government units through the bottom-up process in planning and budgeting which will be funded through the national budget.

**Civil Society Organizations (CSOs)** – Include non-government organizations (NGOs), Peoples Organizations (POs), cooperatives, trade unions, professional associations, faith-based organizations, youth organizations, media groups, indigenous peoples movements, foundations, and other citizen's groups formed primarily for social and economic development to plan and monitor government programs and projects, engage in policy discussions, and actively participate in collaborative activities with the government.

**Local Poverty Reduction Action Plan (LPRAP)** – the LGU plan which contains programs and projects collectively drawn through a participatory process by the LGU with Civil Society Organizations (CSOs) and other stakeholders, and which will directly address the needs of the poor constituencies and the marginalized sectors in the LGU.

**Local Poverty Reduction Action Team (LPRAT)** - the group to spearhead the formulation and monitoring of the LPRAP are composed of the different groups as stated in JMC1 and 2.

The LPRAT shall be composed of an equal number of government representatives (including the LCE) and non-government representatives (civil society and business). It should also be composed of at least 40% women.

**Participating Agencies** – National Government Agencies (NGAs) (i.e. DA, DAR, DENR, DOH, DILG, DEPED, DOLE, and DOE) and Government-Owned and Controlled Corporations (GOCCs) (i.e. PhilHealth and NEA) that participated in the 2013 Bottom-up Process in Planning and Budgeting as identified in the DBM-DILG-DSWD-NAPC Joint Memorandum Circular No.1, Series of 2012.

**Regional Poverty Reduction Action Teams (RPRAT)** – the group that shall provide support and guidance to LGUs throughout the BuP Process and monitor the implementation of the BuP Projects are composed of the following:

Chair : DILG Regional Director  
Vice-Chair : DBM Regional Director  
Members : DSWD Regional Director  
DOH Regional Director  
Regional Directors of all participating agencies  
Representatives from NEA and PhilHealth  
A CSO representatives identified by NAPC

**Seal of Good Housekeeping (SGH)** – a tool used by the Department of the Interior and Local Government (DILG) committed to aggressively push the valuing of good governance essential in local public administration and development. It advances the primacy of performance, accountability, transparency and participation in the local governance system.

**Public Financial Management Assessment** - refers to the diagnostic review of a local government unit's existing structure, policies, systems and procedures for generating and managing its financial resources. It is conducted to determine the extent to which the LGU is able to establish and operationalize an open and orderly PFM system in the LGU using as criteria the critical dimensions of an open and orderly PFM system provided under the PFM Assessment Tool for Local Government Units [PFMAT for LGUs) developed by the Department of Budget and Management.

**Poverty Reduction Program Unit (PRPU)** – is the existing structure in the Regional Level primarily responsible for the management of DSWD core programs and projects for poverty reduction.

**Municipal Action Team** – is the composition of the Municipal Link, Project Development Officer and Municipal Area Coordinator doing internal convergence to effectively deliver the poverty reduction programs of the Agency in the municipal level. It is led by the MAT Team leader designated by the Regional Director base on the criteria set by the Poverty Reduction Programs Bureau.

## VI. GENERAL POLICIES

### A. Project Implementation

1. BuB projects for 2013 and 2014 cycles, except those mentioned under technical requirements in the Joint Memorandum Circular and technical design will be implemented through LGUs if the proponent LGU meets eligibility standards.
  - 1.a. LGUs with Seal of Good Housekeeping as of December 2011
  - 1.b. LGU who passed the Public Financial Management Assessment as of December 2011
  - 1.c. LGU without Unliquidated Cash Advances to the Department as per discretion of the local/regional accountant.
  - 1.d. LGU with Technical Capability to implement the project as per assessment of the Department thru Regional Offices
  
2. The list of LGUs which are eligible to implement approved projects based on its compliance with eligibility standard will be released in a subsequent memorandum to be issued by the Department bases on the set criteria.
  
3. The DSWD Field Office shall form a Technical Working Group (TWG) on implementation of BUB projects for the 2013 and succeeding cycles to:
  - a. Assess the technical capability of the LGU to facilitate implementation of specific BUB projects types using the DSWD KALAH-CIDSS' CDD, SLP's CDED and Protective Services approaches.
  - b. Review and assess full community proposals to determine (i) responsiveness to needs; (ii) appropriateness of technical design, and; (iii) appropriateness of costs, and;
  - c. Recommend approval of requests for fund release, based on the results of the assessments above.

The TWG shall be composed mainly of the Assistant Regional Director (ARD) as Chairperson, the Regional Convergence Coordinator (RCC), Regional BUB Focal (if not the RCC), Head of Protective Service Unit, Sustainable Livelihood Program, KALAH-CIDSS, Policy and Planning Unit, Institutional Development Unit and Finance Management Unit as core members; the ARD may add members as necessary.

4. In the course of the information dissemination and orientation process, the Regional TWG shall inform and orient concerned LGUs of the BUB implementation process, in order to build common understanding of the processes and activities in the implementation of 2013 BUB projects including the DSWD KALAH-CIDSS assisted municipalities among different stakeholders in the community

The Regional BUB Focals (KALAH-CIDSS, SLP and PSU) should facilitate the MOA Signing with the LGU and/or eligible organization.

## **B. Fund Release for BuB Projects**

Funds for the implementation of BuB projects will be released directly to the respective Regional Offices that will implement the project which will be subsequently be released to the respective Local Government Units (LGUs) and/or Civil Society Organizations (CSOs) that meets eligibility standards through Memorandum of Agreement.

LGUs which are eligible to implement BuB Projects must submit the documents required by concerned participating agency as a basis for fund release. These may include:

- Project Proposal
- Work and Financial Plan
- Terms of Reference
- Detailed estimates
- Deed of donation or certificate of land availability for infrastructure projects

If upon through validation and review, the project falls outside or beyond mandate of the Department, subsequent coordination with appropriate line agencies for transfer of fund through Sub-Allotment Request Order (SARO) is considered.

## **VII. PROJECT MONITORING**

- The MAT and PSU designated technical staff on a monthly basis should monitor and assess the implementation status of the BuB Projects. He/ she shall submit a Quarterly accomplishment report to the RPMO using the attached monitoring template every 20<sup>th</sup> day of the last month of the quarter for eventual submission to SLP and KALAHI NPMOs and PSB.
- The Assistant Regional Director, as Chairperson of the TWG, shall convene a quarterly meeting with the BuB TWG to discuss the status of BuB Projects in the region and shall submit report to the NPMO quarterly, every 25<sup>th</sup> day of the last month of the quarter for eventual submission to NAPC, DILG and DBM as stipulated in the JMC.
- The BuB TWG Chairperson and Regional Convergence Coordinator / BUB Focal to attend to the RPRAT convened by the DILG.

### **Participating CSOs**

- The participating eligible CSOs to implement the project shall be accountable for ensuring that the BuB projects is implemented accordingly, submit monthly accomplishment reports, subject to existing budgeting, accounting, and auditing

rules and regulations and closely coordinate with the LGU about the implementation. They shall also submit the prescribed reporting template in a quarterly basis.

- Representative of CSOs shall ensure that the reporting of BuB projects (i.e., budget allocation, expenditures and physical targets and accomplishments) are integrated in the existing monitoring and evaluation system of the agency.

#### VIII. CLAUSE

That in the event that the Local Government Unit and/or Civil Society Organization violated the provisions stipulated both of Joint Memorandum Circulars and Department's set guidelines herein; project will not be awarded to the former in the succeeding cycle of BuB implementation

#### IX. EFFECTIVITY

This shall take effect immediately upon approval of the forgoing.



CORAZON JULIANO  
SOLIMAN



## List of Annexes

- Annex A: DBM-DILG-DSWD-NAPC Joint Memorandum Circular No. 2, Series of 2012
- Annex B: List of Approved Eligible BuB Projects for 2013 implementation
- Annex C: PSB Omnibus Guidelines of BUB Implementation and its Annexes  
Memorandum of Agreement Template
- Annex D: SLP Omnibus Guidelines of BUB Implementation and its Annexes  
Memorandum of Agreement Template
- Annex E: KALAHI-CIDSS Omnibus Guidelines of BUB Implementation and its  
Annexes  
BUB Implementation : Facilitation and Cost Operations  
Guidelines for the Conduct of LPRAP Validation for FY 2014 in  
KALAHI Municipalities  
Memorandum of Agreement Template
- Annex F: DBM-DILG-DSWD-NAPC Joint Memorandum Circular No. 3, Series of 2012
- Annex G: List of Target Areas for the BUB 2014 Implementation
- Annex H: Unified Memorandum of Agreement Template
- Annex I: BUB Projects Monitoring Matrix Template