

**MEMORANDUM CIRCULAR**No. 09

Series of 2023

**SUBJECT: GUIDELINES ON THE IMPLEMENTATION OF THE COMMUNITY-DRIVEN DEVELOPMENT (CDD) APPROACH OF THE KAPIT-BISIG LABAN SA KAHIRAPAN-COMPREHENSIVE AND INTEGRATED DELIVERY OF SOCIAL SERVICES (KALAHI-CIDSS)**

**I. RATIONALE**

The Kapit-Bisig Laban sa Kahirapan-Comprehensive and Integrated Delivery of Social Services, also known as “KALAHI-CIDSS”, is one of the poverty alleviation programs of the Philippine Government being implemented by the Department of Social Welfare and Development (DSWD). It uses the Community-Driven Development (CDD) approach, a globally recognized strategy for achieving service delivery, poverty reduction, and good governance outcomes in addressing the needs of poor communities.

Building on the KALAHI-CIDSS implementation through the years through the Community Empowerment Activity Cycle (CEAC)<sup>1</sup> processes, the Disaster Response Operations Modality (DROM) with the onset of Coronavirus Disease 2019 (COVID-19) was implemented at a nationwide scope, as a response to the emerging impact of the pandemic, upon the issuance of Presidential Proclamation No. 929 on 16 March 2020, declaring the State of Calamity throughout the Philippines, which resulted in the strict observance of health and safety protocols in 81 provinces, 146 cities, and 1,488 municipalities. Thus, the conduct and implementation of programs, projects, and activities (PPAs) were greatly affected. Hence, the KALAHI-CIDSS implementation shifted to DROM, a mechanism that accelerates program implementation in times of disaster while upholding the guiding principles of participation, transparency, accountability, simplicity, and speed in the delivery of services.

In light of the shifting into the new normal,<sup>2</sup> it is vital to streamline and standardize the KALAHI-CIDSS implementation following the existing contexts and guided by previous

<sup>1</sup> KALAHI-CIDSS is using the platform to engage communities in a facilitated process of community analysis, planning, project implementation, monitoring, and evaluation. It allows communities to put CDD principles into practice.

<sup>2</sup> This is after two (2) years, the Philippines is moving back to normal, through the steady decline in COVID-19 cases, the public's cooperation and adherence to minimum public health standards, and the extensive vaccination drive spearheaded by the Department of Health (DOH). According to the DOH's most recent data, the Philippines has administered vaccines to 94.21% of the target population, with 73.7 million individuals being fully vaccinated. As of December 2022, 165.7 million total vaccine doses had been administered throughout the country.

experiences implementing the CEAC and DROM processes made possible through the funding of the Government of the Philippines (GOP), and various loan agreements with international financial institutions. This shall be pursued while still staying true to its development objective of empowering communities to achieve improved access to services and to participate in more inclusive local planning, budgeting, and implementation. As such, the steps and procedures from the CEAC and DROM were thoroughly assessed and integrated into the CDD process of the KALAHI-CIDSS, that is timely and relevant to the changing times. Moreover, both CEAC and DROM offer a platform for communities to collectively participate in problem analysis, planning, project implementation, monitoring, and evaluation.

To further build the institutionalization of KALAHI-CIDSS as an ideal and high-impact strategy of the government in poverty alleviation through the DSWD, and as mandated by the Magna Carta for the Poor in uplifting the standard of living, and quality of life of the poor and providing them with sustained opportunities for growth and development through the adoption of an area-based, sectoral, and focused intervention to poverty alleviation, this Memorandum Circular (MC) is adopted. Through this, it shall streamline and standardize the CDD processes of KALAHI-CIDSS implementation to achieve its goal of empowering communities and strengthening inclusive local governance.

## **II. LEGAL BASES**

1. **Article II, Section 2, of the 1987 Constitution** provides that the Philippines shall adopt the generally accepted principles of international laws as part of the law of the land, and adhere to the policies of peace, equality, and justice;
2. **Article II, Section 5, of the 1987 Constitution**, provides that the promotion of the general welfare is essential to the enjoyment by all the people of the blessings of democracy;
3. **Article II, Section 9, of the 1987 Constitution**, provides for state policies on poverty alleviation and improved quality of life for all;
4. **Republic Act No. 11291**, otherwise known as "**Magna Carta for the Poor**," provides for the state to uplift the standard of living and quality of life of the poor and provide them with sustained opportunities for growth and development by adopting an area-based, sectoral, and focused intervention to poverty alleviation where every Filipino must be empowered to meet the minimum basic needs through the partnership of the government and the basic sectors. This can be achieved through investments in anti-poverty programs, full access to government services, interventions to address the genuine concerns of the poor; and enhancement and promotion of the capabilities and competencies of the basic sectors, non-government organizations, people's organizations, and other development partners for the effective delivery and implementation of a wide range of anti-poverty programs and basic services through government strategies and collaboration with development partners;

5. **Republic Act No. 11032**, or the “**Ease of Doing Business and Efficient Government Service Delivery Act of 2018**,” provides that the state shall maintain honesty and responsibility among its public officials and employees and shall take appropriate measures to promote transparency in each agency with regard to the manner of transacting with the public, which shall encompass a program for the adoption of simplified requirements and procedures that reduce red tape and expedite business and nonbusiness related transactions in government;
6. **Republic Act No. 10121**, otherwise known as the “**Philippine Disaster Risk Reduction and Management Act of 2010**,” provides a comprehensive, all-hazard, multi-sectoral, inter-agency, and community-based approach to disaster risk management through the formulation of the National Disaster Risk Management Framework;
7. **Republic Act No. 9184**, otherwise known as the “**Government Procurement Act**,” provides for the modernization, standardization, and regulation of the government’s procurement activities and other purposes;
8. **Republic Act No. 8425**, or the “**Social Reform and Poverty Alleviation Act**,” identified CIDSS as a sector-specific flagship focus of the Social Reform Agenda. CIDSS shall specifically focus on other disadvantaged groups such as women, children, youth, persons with disabilities, the elderly, and victims of natural and man-made calamities;
9. **Republic Act No. 7160**, or the “**Local Government Code (LGC)**,” under Section 17(f), provides that the national government may provide or augment basic services and facilities of LGUs when such services and facilities are not available or inadequate to meet the requirements of their inhabitants; Toward this end, the state shall provide for a more responsive and accountable local government structure instituted through a system of decentralization whereby local government units shall be given more powers, authority, responsibilities, and resources;
10. **Republic Act No. 5416**, or the “**Social Welfare Act of 1968**,” and **Executive Order No. 292**, or the “**Administrative Code of 1987**,” both as amended, stipulate that the DSWD is the lead agency for social protection, and is mandated to work towards the achievement of improved capacity and opportunities for the poor, vulnerable, and disadvantaged individuals, families, and communities, to enable them to attain a better quality of life;
11. **Executive Order No. 138, Series of 2021**, mandated the devolution of certain functions of the Executive Branch, including the delivery of basic social services, to LGUs in line with the Local Government Code; provided that functions related to the redistributive role of the government should be best assigned to the National Government;
12. **Executive Order No. 137, s. 2021**, “Institutionalizing the AHON Convergence Program.” The “Aid and Humanitarian Operations Nationwide” (AHON)

Convergence Program” provides a platform for an enhanced and unified delivery of social amelioration services;

13. **Executive Order No. 114, Series of 2020**, “Institutionalizing the Balik Probinsya, Bagong Pag-Asa Program as a Pillar of Balanced Regional Development, Creating a Council Therefore, and for Other Purposes”;
14. **Executive Order No. 91, Series of 2019**, “Adopting the Cash Budgeting System Beginning the Fiscal Year 2019, and for Other Purposes”;
15. **Executive Order No. 70, Series of 2018**, “Institutionalizing the Whole-of-Nation Approach to Attaining Inclusive and Sustainable Peace, Creating a National Task Force to End Local Communist Armed Conflict, and Directing the Adoption of a National Peace Framework”;
16. **Executive Order No. 443, Series of 1997**, adopted the Comprehensive and Integrated Delivery of Social Services (CIDSS) as the national delivery mechanism for minimum basic needs and appointed the Department of Social Welfare and Development (DSWD) as the lead agency to strengthen and implement it;
17. **Administrative Order No. 21, Series of 2011, of the Office of the President**, or the “Implementing Rules and Regulations of Republic Act (R.A.) No. 8425,” mandates that flagship lead agencies shall ensure the effective implementation of the flagship programs and, as such, shall form teams to handle the day-to-day implementation of their respective flagship programs;
18. **DILG Memorandum Circular No. 62, Series of 2004**, provides that all local government units concerned are encouraged to provide necessary assistance and report to the KALAHI-CIDSS project in their respective areas;
19. **Commission on Audit Circular No. 2013-004** provides that all government agencies should promote transparency and accountability through the provision of relevant information to the public on their respective PPAs;
20. **DSWD Memorandum Circular No. 23, Series of 2020**, “Guidelines on the Implementation of the Community-Driven Development Support to COVID-19 Disaster Response through the KALAHI-CIDSS Disaster Response Operations Modality (DROM)”;
21. **DSWD Memorandum Circular No. 33, Series of 2002**, institutionalized the Kapit-Bisig Laban sa Kahirapan (KALAHI) as the national framework for poverty alleviation.

### III. OBJECTIVES

#### A. General Objectives:

Generally, this Circular aims to streamline and standardize the procedures for the implementation of the CDD through the KALAHI-CIDSS, and apprise program staff, support staff, partners, and stakeholders at the national, regional, municipal, barangay and community levels of the importance of facilitating the implementation of the KALAHI-CIDSS in the program covered areas.

#### **B. Specific Objectives:**

Specifically, this MC aims to:

1. Streamline and standardize the implementation of the KALAHI-CIDSS CDD processes by providing step-by-step procedures in its implementation;
2. Define safeguards and protocols to be observed in the program implementation at all levels;
3. Define the coordination and implementation arrangements between and among the KALAHI-CIDSS National Program Management Office (NPMO), KALAHI-CIDSS Regional Program Management Offices (RPMOs), implementing Municipal and Barangay Local Government Units (M/BLGUs), community volunteers, other concerned agencies, development partners, and stakeholders; and,
4. Guide all program staff on the KALAHI-CIDSS CDD processes, procedures, safeguards, and protocols and the institutional/ implementation arrangements, among others.

#### **IV. SCOPE**

This Circular shall apply to and govern all areas implementing the KALAHI-CIDSS CDD approach, funded by the GOP and/ or through international/ foreign agreements/ partnerships entered into by the DSWD.

The contents herein provide the general process applicable to all modalities regardless of funds source and exclude requirements or details specific to each modality which may be covered in guidance notes or other issuances, as applicable.

#### **V. DEFINITION OF TERMS**

**Annual Investment Plan (AIP)** - refers to the annual slice of the Local Development Investment Program, which constitutes the total resource requirements for all PPAs consisting of the annual capital expenditure and regular operating requirements of the LGU.

**Area Coordinating Team (ACT)** – the team based in the municipalities covered by the CDD program that is responsible for the day-to-day operations of the program.

**Authorized Government Depository Bank (AGDB)**- refers to a bank where government entities are allowed by law to deposit their funds and maintain depository accounts, or by way of exception, a bank authorized by the DOF and the Monetary Board (MB) to be a government depository bank.

**Barangay Assembly**- is a gathering of all barangay residents who are at least 15 years old and above, Filipino, and listed in the records as members of the Barangay Assembly (as defined in the Local Government Code, RA 7160).

**Barangay Development Plan (BDP)** – it is a three-year comprehensive multi-sectoral development plan that is formulated through an inclusive and participatory approach led by its development council and approved by the Sanggunian. It is an official document of the barangay that specifies policy options, and PPAs intended to contribute towards the achievement of the barangay's development goals and objectives.

**Barangay Development Council (BDC)** - is a duly created and mandated council at the BLGU level pursuant to R.A. No. 7160<sup>3</sup> and Executive Order (EO) No. 471, Series of 1991<sup>4</sup>. It is the planning body of the BLGU that assists the Sanggunian in setting the direction for economic and social development efforts within its territorial jurisdiction. For purposes of this MC, its regular composition is further expanded to include representatives from KALAHI-CIDSS ACT, community volunteers, and other identified stakeholders.

**Barangay Development Council - Technical Working Group (BDC-TWG)** - for purposes of this MC, it refers to the committee formed under the BDC to provide overall management of the SP.

**Community** - Refers to a group of people in a definite area having a common interest or interests as a consequence of living within legally established (spatial) limits.

**Community-Driven Development (CDD)** – is an approach to development that prioritizes the participation and leadership of local communities in the planning, implementation, and evaluation of development projects. It aims to empower communities to take ownership of their own development and to ensure that projects align with the needs and priorities of the community. This approach often involves collaboration between community members, local organizations, and government agencies or external organizations.

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<sup>3</sup>Local Government Code of 1991.

<sup>4</sup> Amending Executive Order No. 319, Series of 1997, Entitled "Providing for the Reorganization of the Local Development Councils."

**Community Empowerment Activity Cycle (CEAC)** – the primary community development process utilized under the KALAHI-CIDSS National Community-Driven Development Program (KALAHI-CIDSS NCDDP) that enables community groups to control planning and investment resources for the planning, allocation, implementation, and management of local development projects. It has five (5) major stages: 1) Social Preparation; 2) Community Planning and Sub-project Proposal Development; 3) Community Managed Implementation and Organization Formation and Development; 4) Community Monitoring and Evaluation; 5) Transition to the Next Cycle.

**Disaster Response Operations Modality (DROM)** – is the approach introduced and utilized to streamline the KALAHI-CIDSS processes to respond to or adjust to the impacts of natural disasters and calamities, including the COVID-19 pandemic.

**Kapit-Bisig Laban sa Kahirapan - Comprehensive and Integrated Delivery of Social Services (KALAHI-CIDSS)** - This is one of the poverty alleviation programs of the Philippine Government being implemented by the DSWD. It uses the CDD approach, a globally recognized strategy for achieving service delivery, poverty reduction, and good governance outcomes in addressing the needs of poor communities.

**Municipal Development Council (MDC)** - is a duly created and mandated council at the LGU level pursuant to R.A. No. 7160<sup>5</sup>, EO No. 471, Series of 1991<sup>6</sup>, and the DILG MC No. 2021-089<sup>7</sup>. It is the planning body of the LGU that assists the Sanggunian in setting the direction for economic and social development efforts within its territorial jurisdiction. For purposes of this MC, its regular composition is further expanded to include representatives from KALAHI-CIDSS ACT, community volunteers, and other identified stakeholders.

**National Program Management Office (NPMO)** – The NPMO is in charge of policy formulation and decision-making, capacity building, technical assistance and monitoring, guiding strategic planning, and achieving overall program impact or project development goals and outcomes.

**Regional Program Management Office (RPMO)** - The RPMO is responsible for implementing the program within the covered areas at the regional level. It shall work closely with the NPMO.

**Sub-Project (SP)** – This refers to the community project prioritized and approved by the assembly as a response to an identified need and/ or problem.

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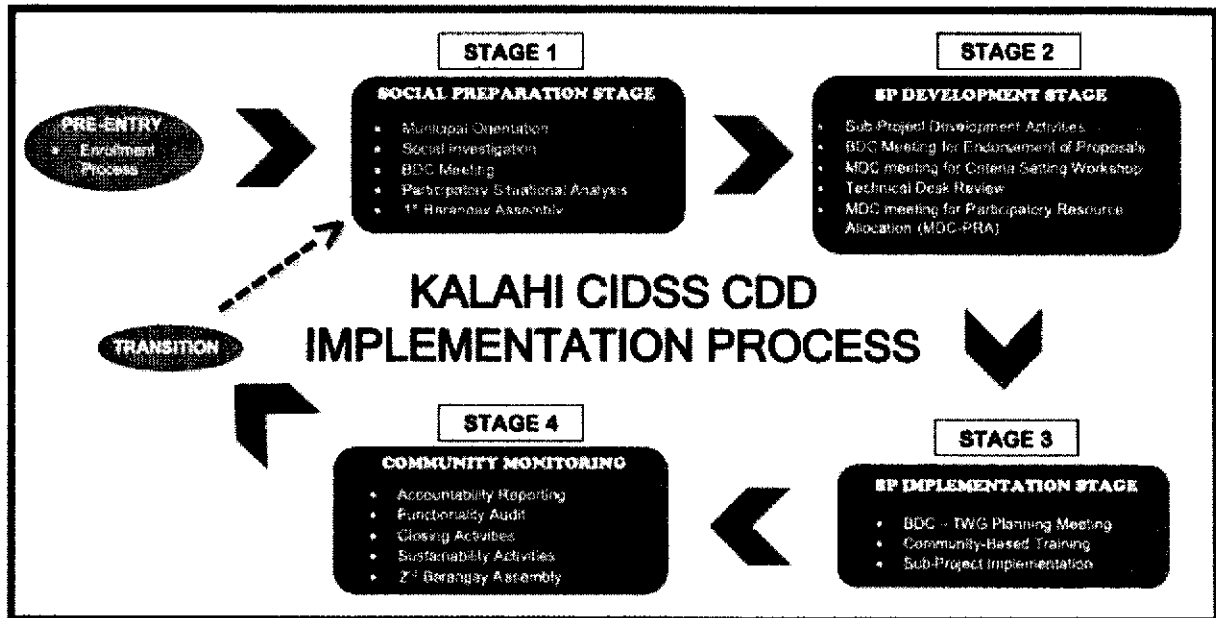
<sup>5</sup>Local Government Code of 1991.

<sup>6</sup> Amending Executive Order No. 319, Series of 1997, Entitled "Providing for the Reorganization of the Local Development Councils.

<sup>7</sup>Komposisyon ng mga Sanggunian sa Lokal na Pagpapaunlad or Local Development Councils Ayon sa Seksyon 107 ng Kodigo ng Pamahalaang Lokal.

## VI. KALAHI - CIDSS COMMUNITY-DRIVEN DEVELOPMENT PROCESS

The following is the illustration of the streamlined and standard KALAHI-CIDSS CDD Process implementation, to wit:





## VII. IMPLEMENTATION GUIDELINES

### A. General Guidelines:

The following are the general guidelines for implementing the CDD through the KALAHI-CIDSS, to wit:

1. The KALAHI-CIDSS CDD has four (4) stages of implementation, namely:
  - i. **Social Preparation.** In this stage, the Municipal Orientation (MO), Social Investigation (SI), Barangay Development Council (BDC) meeting, Participatory Situational Analysis (PSA), and Barangay Assembly (BA) shall be conducted. Community action planning shall be conducted to identify issues and concerns in the community and highlight possible interventions to address them. The selection of Community Volunteers (CVs) shall also be conducted at this stage.
  - ii. **Sub-Project (SP) Development.** In this stage, project development activities such as SP conceptualization, site validation, inspection, project development workshop, and project proposal finalization shall be conducted. The environmental and social safeguards requirements SPs shall also be reviewed. Meetings shall be conducted for the review of SPs to be endorsed for funding through identified criteria. The approval of SPs with corresponding grant allocations from KALAHI-CIDSS shall also be carried out in this phase.
  - iii. **Sub-Project Implementation.** In this stage, SP shall be completed in accordance with standards and specifications. Various activities relating to procurement, actual SP implementation, finance, operation, and maintenance (O&M) planning, among others, shall be conducted. The CVs and/or the LGUs shall execute the operationalization of the SP in accordance with the approved community plans. Community-based training in infrastructure, procurement, finance, audit, inventory, and organizational management shall also be provided during this stage to ensure that the CVs are prepared for the actual implementation.
  - iv. **Community Monitoring.** This stage is geared towards ensuring the sustainability of the projects through the support and active involvement of the stakeholders and partners in the community. Monitoring and evaluation shall be conducted to ensure the functionality and effectiveness of the program. Activities such as municipal and barangay accountability reporting, functionality audits, closing activities, and sustainability planning workshops

shall be accomplished at this stage. The Second Barangay Assembly shall also be held for the presentation of sustainability plans and project turn-over.

2. The transition period shall only be applicable should the program has another year of implementation. During this phase, the barangay shall conduct rapid validation with the Barangay Development Council (BDC) of the PSA results to determine if they are still responsive to community needs and, once validated, proceed to validation/ updating of site investigation outputs (such as the market survey, inventory of existing infrastructure, among others), scanning and assessment of social and environmental safeguards in SP design and development. Further, the barangay shall review experiences in project implementation, generate lessons on CDD approaches and methods to ensure participation and inclusion in local development planning and budgeting, and prepare for sub-project implementation.
3. In the event that there is a declaration of a state of calamity at the national, provincial, city, and/or municipal levels pursuant to R.A. No. 10121, otherwise known as the "Philippine Disaster Risk Reduction and Management Act of 2010", the shifting into the KALAHI-CIDSS DROM shall be immediately adopted. The KALAHI-CIDSS DROM shall apply for a period of one year following the declaration.
4. Existing international and national frameworks, laws, requirements, policies, and the KALAHI-CIDSS Environmental and Social Safeguards Framework (ESMF), among others, shall be complied with, integrated, and built directly into each stage and activity of the KALAHI-CIDSS CDD implementation.
5. KALAHI-CIDSS programs maintain an information system that streamlines the monitoring and evaluation of various components of the program through the Project Information and Management System (PIMS), anchored on the Result-Based Monitoring and Evaluation Framework. Part of the implementation design is to conduct performance monitoring and evaluation reviews at all levels to monitor and assess the implementers' compliance with the established program standards and guidelines. Existing systems shall also be utilized in all areas and/or modalities that shall implement the KALAHI-CIDSS CDD approach.
6. The implementation of the KALAHI-CIDSS following the CDD approach shall be guided by the following key principles:
  - **Participation.** All stakeholders shall be engaged in an all-encompassing process with communities, and the public's interest shall be given paramount consideration.

- **Transparency.** Openness and clarity in the whole process and outcome.
  - **Accountability.** All stakeholders who shall be engaged in the process are held accountable for decisions and actions they have undertaken in the implementation of the program.
7. The RPMO shall endeavor to synchronize the operations with similar or related activities under the other core programs of the department in line with the convergence strategy.
  8. The local counterpart contribution (LCC) may be either in cash or in-kind. This is optional and not mandatory except for ineligible expenses such as, but not limited to, the initial deposit for the opening of a bank account, the bond premium, local fees for permits and licenses (unless waived by the LGU), and other costs of the same kind.

## **B. Specific Guidelines:**

In order to ensure the streamlining and standardization of the implementation of the CDD processes of the KALAHI-CIDSS at all levels, the following guidelines and procedures are hereby provided with, to wit:

- a. **Pre-Entry.** This is the initial step in engaging with the LGUs. Pre-entry shall provide the opportunity to assess the readiness and capacity of the LGU to implement the program based on the set eligibility criteria, technical and financial capacities, and willingness to adopt the CDD approach, among others.

### **a.1. Enrolment Process**

- a.1.1. The NPMO shall determine the eligibility criteria/ requirements for the inclusion of the LGU in the implementation of KALAHI-CIDSS that serves as the basis for the conduct of the evaluation and assessment of the LGU.
- a.1.2. The RPMO shall conduct the LGU Capacity Assessment. Upon ascertainment of the preparedness and/ or readiness of the said LGU to engage with the KALAHI-CIDSS, the RPMO shall coordinate with the LGU for compliance with the enrollment requirements, which include but are not limited to the LGU Capacity Assessment, Letter of Intent, and Sangguniang Bayan Resolution authorizing the Local Chief Executive to enter into a Memorandum of Agreement (MOA) with the Department.
- a.1.3. The submitted documentary requirements by the LGU shall be endorsed to the NPMO for review and the issuance of concurrence/ non-concurrence as the basis for the official engagement of the LGU.
- a.1.4. The LGU may be required to provide Local Counter Contribution, either in cash or in-kind. For ineligible expenses such as, but not limited to, the initial deposit for the opening of a bank account, the bond premium, local

fees for permits and licenses (unless waived by the LGU), and other costs of the same kind, these are required to be provided for by the LGUs.

- 1. Social Preparation Stage.** Social preparation activities, such as, Municipal Orientation, Social Investigation, Participatory Situational Analysis, and Barangay Assembly, shall be conducted. In this stage, communities are given direct access to resources and decision-making power by allowing the community to recognize their social needs and identify interventions that shall address them. By leveraging social capital and community participation, this enables greater alignment of development activities with community needs and preferences and addresses service delivery limitations.

#### **1.1. Municipal Orientation (MO)**

- 1.1.1. Before proceeding with the MO, certain prerequisites have to be met, such as the presence of Area Coordinating Team (ACT) and Municipal Coordinating Team (MCT) as part of the requirements for enrollment and LGU engagement.
- 1.1.2. The MO shall be conducted by the ACT in partnership with the MCT. This activity is the formal launch of the program, as it aims to discuss the goals and objectives of KALAHI-CIDSS, program principles and design, the implementation process, expected output, and timelines, among others. The activity shall include clarifying the roles, responsibilities, and functions of the Municipal Development Council (MDC), LGU, community members, and other stakeholders, as well as obtaining their commitments to the program. The signing of the MOA shall also be conducted during the MO. The signed MOA shall have the complete details and provisions of the Sub-Project Implementation Agreement (SIA).
- 1.1.3. The MO shall also serve as an avenue for the creation of the Municipal Grievance Committee.

#### **1.2. Social Investigation (SI)**

- 1.2.1. The Field Office (FO), through the ACT under the Regional Program Management Office (RPMO), shall conduct an assessment of the social-economic conditions of the LGU through the gathering of baseline information, which is one of the key performance indicators against which the program shall be measured. With this activity, the ACT shall be able to understand the socio-economic status of the community, which shall contribute to their facilitation in helping the community identify their needs and the appropriate interventions.
- 1.2.2. The assessment shall include, but is not limited to, socio-demographic data of the population; economic, political, and socio-cultural situation and dynamics; social services and

programs available in the community; the condition of vulnerable groups; local governance systems and practices, priority programs, projects, and activities of the LGU; non-governmental organizations and people's organizations working in the community and their interventions; physical environmental scanning and transectional survey; review of available relevant documents *such as* municipal development plans (MDP), comprehensive land use plan (CLUP), ancestral domain sustainable development protection plan (ADSDPP), comprehensive development plan (CDP), local climate change action plan (LCCAP), hazard maps, etc.; social and cultural situation data gathering; risk assessment and action plan to address the risks to implementation; inventory of existing infrastructures; inventory of technical resources; market surveys; and prevailing labor rates as part of the local social investigation, among others. At the end of this activity, an SI profile will be completed and finalized.

### **1.3. Barangay Development Council (BDC) Meeting for BDC-TWG Expansion**

- 1.3.1. The ACT/MCT shall organize the activity for the BLGU officials to convene to formally discuss the goals and objectives of the program, program principles, design, implementation process, expected output, timelines, and identification of community volunteers, among others.
- 1.3.2. Further, the BDC shall select the CVs who shall participate in the PSA. In the essence of participation and transparency, the ACT must ensure that selected CVs shall be represented by the different sectors in the community, i.e., youth, Indigenous Peoples (IPs), women, and senior citizens, including those in sitios or puroks in far-flung areas, and other sectors of the community.
- 1.3.3. The expansion and/or adoption of the Barangay Development Council Technical Working Group (BDC-TWG) as PSA volunteers shall also be identified during the activity. A resolution forming the BDC-TWG as PSA volunteers shall be passed by the BDC.

### **1.4. Participatory Situational Analysis (PSA)**

- 1.4.1. Subsequent community meetings shall be organized to assess the socio-economic conditions, other community risks and vulnerabilities, including contributors to poverty and/or climate change, among others, identify problems/ solutions, and eventually implement the identified interventions/ solutions in addressing pressing needs.
- 1.4.2. Various visual tools may be utilized, such as, but are not limited

to, Community Map, Historical Timeline, Seasonal Calendar, and Problem Tree Analysis. Further, stakeholder mapping shall also be included as a supplemental tool in the conduct of the PSA. The PSA results shall be used as a basis for needs analysis, SP identification, prioritization, and participatory decision-making at the community level. The conduct of the PSA shall be facilitated by the Community Empowerment Facilitator (CEF).

- 1.4.3. Additionally, community action plans must be developed, and the Barangay Development Council (BDC) has to pass a resolution integrating and/or adopting the Community Action Plan (CAP) into the Barangay Development Plan (BDP).

**1.5. First Barangay Assembly (BA) for the presentation and approval of PSA Results**

- 1.5.1. The ACT/MCT, in coordination with the BLGU officials, shall convene the community through a BA to orient the community members on the goals and objectives of KALAHI-CIDSS, program principles, and design, implementation process, expected output, timelines, and identification of community volunteers, among others.
- 1.5.2. The BA must ensure minimum participation is met but encourage maximum participation, which must not be lower than 50% plus one of community members with representation from IP groups (especially those from areas with ancestral domains), women, persons with disabilities, fisherfolk, senior citizens, youth, the religious sector, and farmers, among others.
- 1.5.3. The assembly shall provide an opportunity for the PSA results to be presented to the entire community for their concurrence, validation, and further comments or inputs.
- 1.5.4. Further, the assembly shall endorse or recommend the identified intervention plans based on their collective needs for integration into the Barangay Development Plans (BDP) and/or Annual Investment Plans (AIP). The BDC shall also pass a resolution on the top three priority interventions based on the results of the PSA.
- 1.5.5. Upon identification of appropriate interventions to meet community needs, the community shall identify volunteers such as the: BDC - TWG Chairperson, Project Preparation Team (PPT), Procurement Team (PT), Barangay Representation Team (BRT), Project Implementation Team (PIT), Bids and Awards Committee (BAC), Monitoring and Inspection Team (MIT), Audit and Inventory Team (AIT), Community Monitoring Team (CMT), Community

Bookkeepers, Grievance Redress System (GRS) Team, Gender and Development (GAD) Focal, IP Focal, and Operation and Maintenance (O&M) Team who shall take the lead in SP implementation and sustainability. A resolution adopting the BDC-TWG as PSA volunteers shall also be passed by the BDC.

- 1.5.6. Proposals with common types of sub-projects shall be subject to review and evaluation by the Area Coordinating Teams to assess their potential for adopting the barangay clustering method to have a greater impact on the communities. Thus, concurrence of the Brgy Clustering shall be approved at the RPMO level except for clustered barangays with cumulative project costs of 10 million and above.

2. **Sub-Project Development Stage.** When the PSA results and proposed solutions are adopted into the BDP, funding opportunities shall be opened to the community and the barangay, wherein community participation and active engagement in local governance shall be exercised.

#### 2.1. **Project Development Activities.**

- 2.1.1. Appropriate and need-based capability building and support shall be provided to the PPT and/or CV on proposal development and project conceptualization based on the approved PSA results through the Sub-Project Concept Form.
- 2.1.2. The PPT shall translate the PSA into project concepts, taking into account the consideration of the project cycle for each concept, and approximating the budget, among others.
- 2.1.3. Through the PPT, the community shall attend project development workshops to be facilitated by the ACT/MCT. The activity aims to capacitate the community on proposal development and come up with community SP proposals based on the PSA results and the barangay action plans.
- 2.1.4. The community, through the PPT and the technical assistance of the ACT, shall take the lead in conducting site validation and inspection of the proposed lot area to be used for the SP. The community shall prepare community project proposals and other necessary documents that include the preparation and formulation of environmental and social safeguards instruments, such as but not limited to the Environmental and Social Screening Checklist (ESSC), Environmental and Social Management Plan (ESMP), Land Acquisition, Resettlement, and Rehabilitation Plan (LARRP), GAD Plan, IP Plan, O&M Plan, and Water Safety Plan for water system projects, among others, whichever is applicable. To ensure compliance with the principles of participation and

transparency, this includes consultation with the communities SP beneficiaries, affected persons, as well as other local and interested stakeholders, from the community to the municipal level.

- 2.1.5. The BDC, together with the BDC-TWG, shall approve the priority project concepts that it intends to work on and present to the MDC Meeting-Participatory Resource Allocation (PRA).
- 2.1.6. The CEF, TF, and BDC-TWG must conduct an eligibility and safeguards screening of all proposed SP concepts against the negative list to determine whether they are eligible for support. They must also propose an appropriate environmental and social assessment categorization based on technical and physical features, environmental and social footprints, existing baselines, and associated vulnerabilities. The ACT shall be assisted by the designated Regional Safeguards Officers, who shall also determine which safeguards policy is triggered. If the SP is deemed eligible, the SP shall be screened using the ESSC to determine potential safeguards, risks, and categorization. The SPs shall also be assessed to be covered under the Philippine Environmental Impact Assessment System, using the Department of Environmental and Natural Resources threshold for SPs.
- 2.1.7. During this stage, it is expected that an approved Sub Project Concept Form (SPCF), an accomplished site validation report, an approved community proposal, and first tranche RFR documents shall be initially prepared.

## **2.2. BDC Meeting for SP Proposal Endorsement and Identification of Development Criteria**

- 2.2.1. The formulated proposal in the PPT shall be reviewed by the ACTs and MCTs to ensure that technical standards and other regulatory requirements are properly complied with. Comments, as may be applicable, shall be provided as a form of feedback on how to further improve the proposal.
- 2.2.2. The BRT shall prepare initial criteria for ranking and prioritization of the proposal and present them during the MDC meeting for consideration and approval. Through the passage of a resolution, the BDC-TWG shall endorse the proposal and set the standards for ranking and prioritization.

## **2.3. MDC for Criteria Setting Workshop**



- 2.3.1. The elected BRTs from the barangays shall convene together with the MDC for the conduct of the MDC - Criteria Setting Workshop. This activity aims to set the criteria and provide the procedure for ranking and prioritizing the proposals to be funded by the program.
- 2.3.2. Further, the MDC shall ensure that the set criteria are aligned with the Municipal Development Direction and priorities. Agreements on the criteria shall be based on the decisions of the participants. A resolution on the approved criteria for ranking and prioritization shall also be passed.

#### **2.4. Technical Desk Review and Endorsement of the Proposal**

- 2.4.1. The MDC-TWG, or the designated technical staff, shall review and evaluate the compliance of the documents as to the technical and social requirements of the proposed SPs based on the set standards and guidelines of the program.
- 2.4.2. The MDC-TWG shall pass a resolution endorsing and approving the reviewed proposal as compliant with the standards and requirements of the program.

#### **2.5. MDC Meeting-Participatory Resource Allocation (MDC-PRA)**

- 2.5.1. The BRT and PPT shall present the SP proposal highlighting the community's needs and its interventions using the approved set criteria for the ranking and prioritization of proposals for KALAHI-CIDSS funding.
- 2.5.2. Non-prioritized proposals shall still be endorsed for other funding alternatives and must be part of the agenda of the next MDC meeting.
- 2.5.3. An action plan stating possible funders and plans for the unfunded proposals must be in place.
- 2.5.4. An MDC resolution approving SPs with corresponding grant allocations for KALAHI-CIDSS funding shall be passed.

#### **2.6. Release of the first tranche of Community Grant.**

- 2.6.1. After endorsing the approved community SP proposal during MDC-PRA, the community shall commence with the completion of the documentary requirements for the Request for Fund Release (RFR).
- 2.6.2. The community, with the assistance and facilitation of ACT/MCT,

shall prepare and review the documentary requirements of the First Tranche RFR and shall ensure the completeness, correctness, and consistency of information across all attachments and supporting documents.

- 2.6.3. Subsequently, the documentary requirements shall be endorsed to the FO for review, approval, and release of the first tranche of the community grant.
- 2.6.4. Fund transfers shall be done through the opening of a Barangay Trust Fund Account for projects funded by GOP, following existing government laws and regulations. However, funds under the loan proceeds shall be transferred to the community current account with the AGDB or whichever is applicable based on the agreed terms of agreements between the DSWD and concerned parties. All transfers of funds shall be properly recorded in the books of the DSWD Field Office and BLGU as the source agency and implementing agency, respectively.
- 2.6.5. Should the funds be made available by the GOP, the BLGU shall manage and disburse the funds according to the provisions of the BLGU Financial Management System, guided by the documentary requirements prescribed under COA circular rulings and other applicable laws, rules, and regulations. On the other hand, should the funds be under loan proceeds and the like, the funds shall be managed by the community or whichever is applicable based on the agreed terms of agreements between the DSWD and concerned parties.
- 2.6.6. Technical approval from the NPMO is required for subprojects with a Sub-Project cost of five million pesos and above. However, clustered SPs shall need to secure technical approval from the NPMO with a total RFR amount of ten million pesos and above.

### **3. Sub-Project Implementation Stage**

#### **3.1. BDC-TWG Meeting for SP Planning and Implementation**

- 3.1.1. A BDC-TWG meeting shall be carried out in order to formulate subproject implementation planning and monitoring with determined roles and functions. Similarly, the community monitoring plan shall also be prepared.
- 3.1.2. The community action plan shall be reviewed regularly. This includes updating the community action plan as adjustments are deemed necessary, depending on the flow of the actual implementation.

#### **3.2. Pre-Construction Conference**

- 3.2.1. The BDC-TWG Chairperson, with the assistance of the Technical Facilitator and the Municipal Engineer, shall call for a conduct of Pre-Construction Conference. This shall serve as a venue for organizing and planning the works and assigning the appropriate committees to do the required tasks.

#### **3.3. Community Based-Training for Community Volunteers**

- 3.3.1. Various and need-based capacity-building interventions shall be conducted to strengthen the capacities and competencies of the CVs in community infrastructure, Community Procurement/ Procurement under R.A. 9184<sup>b</sup> and its Revised 2016 Implementing Rules and Regulations (IRR), Community Finance, Audit and Inventory, Environmental and Social Safeguards Topics, and Organizational Management, among others. In order to facilitate the conduct of training, an approved community action plan should be submitted. This will ensure that CVs are trained for implementation.

#### **3.4. Procurement**

##### **3.4.1. For Projects and Activities funded by the GOP.**

- 3.4.1.1. For implementation to be funded under the GOP, this shall be implemented in accordance with R.A. No. 9184 and its Revised 2016 IRR, as well as relevant issuances of the Government Procurement Policy Board (GPPB).

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<sup>b</sup> Government Procurement Act.

3.4.1.2. To promote transparency and achieve efficiency in the procurement process, the Philippine Government Electronic Procurement System shall be the primary repository of information on government procurement.

3.4.1.3. Further, in the interest of promoting opportunities for the community as a whole in line with the CDD implementation, the Alternative Methods of Procurement as provided in the IRR of the R.A. No. 9184 and the issuances of the GPPB in the implementation of the SP, *i.e.*, *Negotiated Procurement: Community Participation*, among others as applicable, shall be highly encouraged to the Procuring Entities. On the other hand, for SP funded by loan proceeds, the implementation shall be based on the agreements between the DSWD KALAHI-CIDSS and partner entity/ies.

**3.4.2. For Projects and Activities funded by Loan Proceeds and other Foreign Funds.**

3.4.2.1. Procurement shall be governed by the provisions in the Loan Agreement between the Government of the Philippines (GoP) and the development partner. This is regardless whether the fund source for the fund tranche comes from the loan proceeds of the GOP counterpart.

**3.5. Actual Sub-Project Implementation**

3.5.1. Sub-Project Implementation (SPI) is interchangeably used or referred to as the Construction Phase. As a whole, it is the process of putting together all the works identified during the Social Preparation and Sub-Project Development Stages to complete the community infrastructure SP. The community-based SPI generally involves two (2) vital components, which are Construction Supervision and Contract Management or Administration.

3.5.2. The ACT/MCT shall have the primary responsibility for ensuring the quality of work and the actual execution of the SP or contract through the continuous provision of technical assistance to the CVs. All funded SPs shall be planned, implemented, completed, operated, and maintained based on the approved technical plans and specifications and in accordance with program policies, applicable laws, and standards set by the National Government Agencies (NGA) and/or the regulating agencies.

3.5.3. For foreign assisted projects, the utilization of funds released, submission of documentary requirements for processing

community disbursements, financial reporting and liquidation shall be governed by the provisions of the Treaty or International or Executive Agreements. This applies regardless of whether the funds are directly from loan proceeds or the GOP counterpart.

- 3.5.4. For implementation to be funded under the GOP, community disbursement and fund utilization shall adhere to the appropriate rules and regulations under the government accounting manual as prescribed by the Commission on Audit of the Philippines.
- 3.5.5. Financial Reporting and Liquidation for utilized funds under the GOP shall be guided according to COA Circular No. 2019-001 dated January 30, 2019<sup>9</sup> in which the BLGU shall submit pertinent financial transaction documents to the office of the Municipal Accountant and the resident COA of the municipality. Further, the municipal accountant shall submit the Reports of Checks Issued and Reports of Disbursement/Utilization to the Accounting Unit of the DSWD FO. These shall be submitted within 10 days after the end of each month and finally, at the end of the agreed period for the Sub-Project Implementation. The financial reports shall follow the KALAHI-CIDSS financial reports, templates, and procedures as prescribed in the program finance manuals. Signatories of the reports shall be adopted from the BLGU Financial Management System Requirements.
- 3.5.6. **Release of the Second / Final Tranche of Community Grant.**
  - 3.5.6.1. Upon meeting the set eligibility requirements of seventy percent (70%) physical and eighty percent (80%) financial accomplishments, the community shall prepare and submit the prescribed documentary requirements for the release of the second and final tranche.
  - 3.5.6.2. Further, requested funds shall be released upon full liquidation of the previously downloaded funds to the community.

**4. Community Monitoring Stage.** This shall be conducted with the community as the primary actor to ensure objectivity and transparency in implementation. Through the recording and analysis of monitoring data, it shall allow the community to make informed and collective decisions about the projects developed and implemented.

#### **4.1. Functionality Audit (FA)**

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<sup>9</sup> Providing Control Mechanism to Enforce Submission of Barangay Financial Transactions and Discontinuance of the Use of the COA Auditor's Advice prescribed under COA Circular No. 2012-005 dated December 7, 2012.

- 4.1.1. A Final Inspection Report (FIR) shall be conducted prior to declaring the SP as complete and subsequently prompt the conduct of the FA during the Sustainability Evaluation (SE).
- 4.1.2. The Functionality Audit shall be conducted on all completed infrastructure sub-projects and/or technical audits of livelihood implementation activities. This is to ensure that the sub-project investment is utilized by the communities based on the original intent and purpose. Further, it aims to assess the functionality and utilization of complete SPs and the quality of sustainability activities, including organizational effectiveness, financial management, physical-technical conditions, and the benefits of subprojects.
- 4.1.3. An O&M group shall be organized, and an O&M plan shall be prepared to ensure the proper operation, maintenance, and sustainability of the completed SPs, thus, continuously responding to and addressing the identified community needs. The CEF, Technical Facilitator (TF), and Multi-Stakeholder Inspectorate Team (MSIT) shall oversee the conduct of the FA.

#### **4.2. Accountability Reporting (AR)**

- 4.2.1. In order to demonstrate to the community, partners, and stakeholders the benefit of accepting accountability for actions and commitments made, accountability reporting shall be conducted.
- 4.2.2. This includes the presentation of the project outputs and accounting for the funds used to implement the SP. Ultimately, it shall serve as a venue for better and more inclusive local governance. The conduct of the AR shall include, but is not limited to, responsive resource allocation, consultative service delivery, and community empowerment. In order to ensure that the AR has been completed, documentation shall also be submitted. The CEF shall facilitate the execution of the AR. The BDC-TWG should then be presented with the AR results.

#### **4.3. Closing Activities**

- 4.3.1. The community bank accounts or barangay trust accounts shall be closed once funds are fully utilized and the SP is completed. The certificate of the closed account shall also be provided. If any, copy of the official receipt issued by the DSWD for the refund of the unexpended balance.

4.3.2. All completed sub-projects turned over to the barangay government shall be recorded in the barangay LGU books of accounts in line with the asset recognition principle as prescribed in the government accounting rules and regulations for easy funding for their repairs and maintenance and for sustainability as well. The list of assets booked shall also be duly certified by the municipal accountant.

4.3.3. The Sub-Project Completion Report shall be prepared and submitted to the DSWD FO through the KALAHI-CIDSS RPMO.

#### **4.4. Sustainability Planning Workshop (SPW)**

4.4.1. The SPW shall be conducted for the LGUs to evaluate the degree of CDD process and practice integration in the local planning process as evidenced throughout project execution. This is in accordance with the result of the Accountability Reporting translated into an approved sustainability plan signed by the Municipal Mayor;

4.4.2. This shall also be conducted in order to chart the course for maintaining project benefits and incorporating CDD components into regional planning.

#### **4.5. Second Barangay Assembly (BA)**

4.5.1. The community members shall be convened for the presentation of sustainability plans and the conduct of the project turnover.

#### **4.6. Sustainability Evaluation Test**

4.6.1. With the prescribed Sustainability Evaluation (SE) tools, the Sustainability Evaluation Test (SET) shall be conducted six months after the sub-project turnover.

4.6.2. After the conduct of the SE, it is expected that the O&M Action Plan and SE Results shall be revised and enhanced based on the results of the SE facilitated by the Multi-Stakeholder Inspectorate Team.

### **VIII. GUIDELINES FOR THE DISASTER RESPONSE OPERATIONS MODALITY**

1. In the event that a disaster or calamity strikes a municipality or any one or more of its barangays while implementation is in progress, the municipality or any of the affected barangays can shift to the Disaster Response Operations Modality (DROM) to ensure streamlined and expeditious processes are in place to immediately provide the necessary interventions to the communities in

- addressing their collective needs.
2. Required Minimum Local Counterpart Contributions (LCC) will be **WAIVED** for emergency response and early recovery activities to remove potential obstacles to the participation of the most affected barangays, whose resources may be fully committed to relief activities. However, waiving of the LCC does not include the ineligible expenses such as, but not limited to initial deposit for opening of bank account, bond premium, local fees permits and licenses (unless waived by the LGU), and other cost of the same kind. Further, other resource augmentation and in-kind contributions may be provided to ensure the operations of KALAHI-CIDSS, which include but not limited to the provision of Municipal Coordinating Team, office space, utility expenses
  3. The municipality or any of the affected barangays have the option to shift priorities (sub-projects) through the agreement and resolution of the Municipal Disaster Risk Reduction Management Council (MDRRMC) if the impact is deemed to be more severe than those previously determined under the ongoing implementation.
  4. Prior to the use of DROM, the RPMO orients the ACT and MCT on the procedures to be undertaken in case a disaster affects an ongoing KC-NCDDP area.
    - a. key features of RA 10121<sup>10</sup> and the KC-NCDDP DROM, including requirements;
    - b. importance of pre-disaster data gathering and use of data during disaster operations (including baseline data requirements for disaster operations, geo-tagging of DSWD investments, and mapping of risk areas);
    - c. conduct of rapid damage assessment; and,
    - d. DSWD's role in relief operations and disaster response.
  5. The following are the requirements to be submitted to support the request to shift the priority of the sub-project shall include:
    - a. Updated Rapid Damage Assessment of Needs Analysis (RDANA) Report approved by the Barangay Disaster Risk Reduction Management Committee (BDRRMC),
    - b. MDRRMC Resolution endorsing the updated RDANA Report and the request of the municipality to shift priorities,
    - c. commitment and plan to complete the on-going but still unfinished sub-projects.
  6. The completion of an ongoing sub-project that might not be viable due to an intervening disaster event should be assessed jointly by the RPMO and the Municipal Inter Agency Committee (MIAC) or the MDRRMC. Appropriate recommendations should be submitted by the RPMO. Concurrence is only needed for subprojects exceeding 10 million. All efforts should be exerted to

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<sup>10</sup> *Philippine Disaster Reduction and Management Act.*



help communities satisfactorily complete the sub-projects and ensure every sub-project functionality upon completion; within the targeted year, the latter is expected to be completed.

7. Both the NPMO and RPMO may provide implementation support to provide appropriate interventions of the LGUs which may include, but not limited to (i) mobilization of additional staff to provide facilitation and technical support (staff augmentation); (ii) redeployment of staff from other areas to provide support; (iii) emergency hiring of additional personnel, among others; and (iv) other arrangements deemed necessary to efficiently implement DROM.
8. Existing DSWD guidelines for coordination with various agencies and organizations undertaking humanitarian response, resource mobilization, and information management may be used to complement the shifting to DROM and the subsequent SP implementation.
9. Funds may be front loaded for immediate downloading of funds to the community accounts to ensure prompt response to the disaster needs. When DROM is triggered, the total grant allocation for the municipality may be requested and consumed during the time of the disaster.
10. In cases where KALAH-CIDSS require multiple cycles for implementation, the funds allocated for the municipality may be utilized in fewer cycles than the program's committed number of cycles. The ACTs shall ensure that disaster-affected communities are aware of this implication. Thus, the need to secure the Municipal Inter Barangay Forum's (MIBF) or the MDRRMC's concurrence on the use of DROM through a resolution.
11. The following are the considerations in the shifting to DROM onset disasters:
  - 11.1. Disaster occurs prior to the MIBF/MDRRMC/MDC: If the disaster happens before the barangays have finalized and endorsed their final SPs to the MDRRMC/MDC, the communities can still revisit and update their priority needs.
  - 11.2. Disaster occurs after the MIBF/MDRRMC/MDC. If the disaster happens after the MIBF/MDRRMC/MDC and priority SPs are already identified but SPI has not yet started and has not used any portion of the grant, the BDC/BDRRMC can still review and re identify their priorities to be allocated to a newly identified SP.
  - 11.3. Disaster occurs after the MIBF/MDRRMC/MDC. If the disaster happens after the MIBF/MDRRMC/MDC but during the SPI, the community may still complete the subproject using the remaining grants intended for the sub-project, or they may shift to another priority. The frontloading of the grants may happen in this scenario. In the event that the frontloading of the grants will be accessed by the community, an exit plan for the completion of the original SP must still be provided.

- 11.4. Disaster occurs during SPI; however, Brgys will shift the implementation modality to DROM but decides to retain their sub-projects. If the community decides to retain their identified SPs but would like to shift their implementation modality to DROM, the ACT must submit to the RPMO a Process Documentation Report on why the community decides to shift to DROM and how they were able to arrive at the decision. Once the RPMO provides concurrence and clearance, the MDRRMC/MIBF/MDC will issue a resolution on their shifting of implementation modality.

## **IX. DATABASE REPORTING AND GRIEVANCE MONITORING**

As part of the quality control and grievance management of the KALAHI-CIDSS implementation, the following will be undertaken/ pursued:

1. All data coming from barangay and municipal levels shall be channeled through the Project Information Management System (PIMS) and Geotagging Web Application (GTWA) as a primary management information system for data monitoring across program sectors.
2. In the conduct of operations monitoring, it is significantly important that all implementers across all levels are aware of their roles and responsibilities in data gathering, quality assessment, and analysis.
3. The concerned sectors/ program monitors shall directly input the required monitoring data into the KALAHI-CIDSS existing management information system, such as PIMS, through a mobile app, desk app, web application, and GTWA.
4. The grievance redress system shall record complaints and positive or negative feedback about the program's implementation and problems, issues, needs, concerns, and observations. This is a salient feature of KALAHI-CIDSS that promotes social accountability and responsiveness to the partner communities.
5. The GRS shall be installed at the initial stage of the KALAHI-CIDSS CDD process, starting from the MO. Grievances shall cover, but are not limited to, issues of misuse of funds and allegations of corruption, inappropriate intervention by outside parties (in making decisions, determining allocations, in procurement, etc.), and violation of project policies, principles, or procedures, among others.
6. The GRS shall be installed in every community to ensure that concerns are responded to.
7. In addition to the data reporting within the KALAHI-CIDSS, regular reporting, as agreed upon, shall follow the standard format. Reports flow from communities to the municipal, regional, and national levels.

8. The PIMS and GTWA data shall be used in reporting across all levels and divisions. For all KALAH-CIDSS modalities and special projects, the report extraction shall be based on the timeline agreed with the NPMO and RPMO.

9. The following are the roles and responsibilities of the implementing staff at the municipal, regional, and national levels, to wit:

**9.1. At the Municipal Level:**

9.1.1. The ACT/MCT shall be responsible for preparing reports at the barangay and municipal levels, as well as facilitating and coordinating the preparation of reports by communities and LGUs.

9.1.2. To ensure the accuracy and uniformity of the data, the PIMS and GTWA data shall be used for reporting and data sharing with LGUs by all program staff.

9.1.3. Barangay/ Municipal level reports shall focus on the following:

- Status of Project Milestones and Activities;
- Key Performance Indicators;
- Community Sub-Project Implementation; and
- Grievance Monitoring.

9.1.4. The Area Coordinator (AC) shall lead the sharing of reports and analysis among ACT and MCT members through regular internal assessment meetings of the team. The ACT/MCT shall utilize the PIMS and GTWA in data analysis and learning. The ACT/MCT shall also report concerns and issues that arise within the week or immediately to the KALAH-CIDSS RPMO to address the concerns in a timely manner.

**9.2. At the Regional Level:**

9.2.1. The RPMO shall receive monthly and quarterly monitoring reports from ACTs, MCTs, and communities.

9.2.2. From these reports, the RPMO shall prepare monthly and quarterly consolidated reports for submission to the NPMO and discussion during regular assessment meetings at the regional level.

9.2.3. Regional consolidated reports are also shared and reported during the regular gatherings of regional convergence groups of government agencies and regional development councils.

9.2.4. The Regional Program Director or the Regional Program Manager shall take this opportunity to share the accomplishments of KALAHI-CIDSS with different stakeholders in the group to get more support for the program and promote CDD strategy.

**9.3. At the National Level:**

9.3.1. At the national level, reports shall be prepared for program management, concerned DSWD offices, bureaus, and services, oversight agencies, other stakeholders, and the general public.

**X. IMPLEMENTATION ARRANGEMENTS**

The following are the institutional/implementation arrangements in the KALAHI-CIDSS CDD at the national, regional, municipal, and barangay levels, to wit:

**1. KALAHI-CIDSS NPMO**

- 1.1. The KALAHI-CIDSS NPMO shall assume responsibility for the overall management of the KALAHI-CIDSS CDD implementation.
- 1.2. The NPMO shall also provide technical assistance to the RPMOs and/or the BLGU to address issues and concerns related to program implementation.

**2. KALAHI-CIDSS RPMOs**

- 2.1. At the Field Offices' level, implementation, and management of the program shall be the responsibility of the RPMOs composed of different technical staff/units under the Capacity Building, Social Development, Planning, Monitoring and Evaluation, Finance, Engineering, Procurement, Social Marketing Units, among others, as applicable;
- 2.2. The RPMO shall be responsible for: i. monitoring and reporting the progress of program implementation; ii. providing technical assistance, capacity building, and facilitation support to the ACTs, LGU stakeholders, and community members on community mobilization, social process, the institutionalization of CDD in the local development processes, and social safeguards; iii. facilitating the financial transactions of the program, and providing technical assistance and capacity building on community financial management; iv. ensuring that community infrastructure SPs are implemented based on plans and specifications. v. ensuring that procurement policies are strictly and efficiently observed and complied with

**3. Area Coordinating Team (ACT)**

- 3.1. The ACT shall be composed of an AC, a technical facilitator, a municipal financial analyst, and Community Empowerment Facilitators (CEFs),

headed by an AC who shall manage and supervise the implementation in the LGU;

- 3.2. The ACT shall ensure the transfer of the CDD facilitation technology to the municipal and barangay LGUs and facilitate the effective implementation of CDD development processes along the program milestones and activities, including convergence interventions;

#### **4. Municipal Coordinating Team (MCT)**

- 4.1. The composition of the MCT shall have the same number of staff as that of the ACT;
- 4.2. The LGU shall assign regular personnel to fill up the MCT for the sustainability of operations. However, if the LGU is understaffed, it can hire some of the positions, i.e., CEF;
- 4.3. Its members must be LGU staff seconded to the project, or staff hired by the LGU for this purpose, and shall be composed of a Municipal Area Coordinator, a Deputy Municipal Area Coordinator, a Municipal Finance Officer, and at least one (1) CEF for every three (3) barangays, a Municipal Encoder/Municipal Data Analyst, the Municipal Gender Focal Person, the IP and Disaster Risk Reduction and Management Focal Person, among others as prescribed by the program;
- 4.4. It shall coordinate and collaborate with the ACT, MDC-TWG, BDC-TWG, among others, in the implementation of the program following the KALAHI-CIDSS CDD process;
- 4.5. It shall support the ACT in implementing the program activities and shall gradually take over the facilitation of the CDD activities in the LGU in the event that there is no municipal grant allocation within the year;
- 4.6. The MCT, in coordination with the ACT, shall be responsible for preparing reports at the barangay and municipal levels, as well as facilitating and coordinating the preparation of reports by communities and LGUs. To ensure the accuracy and uniformity of data, the PIMS and GTWA data shall be used for reporting and data sharing with LGUs by all program staff; and
- 4.7. Perform other functions or activities deemed needed relative to the implementation of the program.

#### **5. Municipal Development Council**

- 5.1. The MDC composition shall be pursuant to R.A. No. 7160<sup>11</sup>, EO No. 471, Series of 1991<sup>12</sup> and DILG MC No. 2021-089<sup>13</sup>.
- 5.2. The functions of the MDC, aside from their regular functions as stipulated in the LGC, shall include but not be limited to the following:

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<sup>11</sup>Local Government Code of 1991.

<sup>12</sup> Amending Executive Order No. 319, Series of 1997, Entitled "Providing for the Reorganizing of the Local Development Councils.

<sup>13</sup> Komposisyon ng mga Sanggunian sa Lokal na Pagpapaunlad or Local Development Councils Ayon sa Seksyon 107 ng Kodigo ng Pamahalaang Lokal.

- 5.2.1. The MDC shall formulate long-term, medium-term, and annual socio-economic development plans and policies;
- 5.2.2. It shall coordinate, monitor, and evaluate the implementation of the KALAHI CIDSS program and subprojects;
- 5.2.3. It shall convene and preside over activities involving the BDCs, BDC-TWGs, and other stakeholders and participants, especially during the conduct of municipal activities that require decisions and agreements to be made.
- 5.2.4. It shall approve, endorse, and/or craft MDC resolutions as agreed upon by the council, partners, and members of the community.
- 5.2.5. It shall ensure the adoption and integration of the unfunded interventions from the barangay into the Local Development Investment Plan (LDIP).

## **6. Municipal Development Council - Technical Working Group (MDC-TWG)**

- 6.1. The MDC-TWG composition shall be pursuant to R.A. No. 7160, EO No. 471, Series of 1991, and DILG MC No. 2021-089.
- 6.2. For purposes of the implementation of the program and this MC, its regular composition is further expanded to include representatives of such as, but not limited to, KALAHI-CIDSS ACT/MCT, community volunteers, and other identified stakeholders;
- 6.3. The functions of the MDC-TWG shall not be limited to the following, to wit:
  - 6.3.1. The MDC-TWG shall convene with the elected Barangay Representation Teams (BRT) from the barangays for the conduct of the MDC - Criteria Setting Workshop. This activity aims to set the criteria and provide the procedure for the ranking and prioritizing of the proposals to be funded by the program;
  - 6.3.2. It shall ensure that the set criteria are aligned with the municipal development direction and priorities;
  - 6.3.3. It shall review and evaluate the compliance of the documents as to the technical and social requirements of the proposed SPs based on the set standards and guidelines of the program;
  - 6.3.4. It shall pass a resolution endorsing and approving the reviewed proposal as compliant with the standards and requirements of the program; and
  - 6.3.5. Perform other functions or activities deemed necessary relative to the program's implementation.

## **7. Barangay Development Council (BDC)**

- 7.1. The MDC-TWG composition shall be pursuant to R.A. No. 7160, EO No. 471, Series of 1991, and DILG MC No. 2021-089.
- 7.2. The functions of the BDC shall not be limited to the following, to wit:
  - 7.2.1. The BDC shall mobilize people's participation in local development efforts, such as participation in the KALAHI CIDSS program implementation;

- 7.2.2. It shall prepare barangay development plans and include identified needs processed by the CVs in the development plans;
- 7.2.3. It shall monitor and evaluate the implementation of the KALAHI CIDSS in their community, and
- 7.2.4. It shall perform such other functions as may be provided by law or competent authority.

## 8. BDC - Technical Working Group (BDC-TWG)

- 8.1. Program implementation structures at the barangay level shall be a combination of BLGU structures and volunteer committees formed to carry out specific functions in the implementation process of the program, from social preparation to closing;
- 8.2. The members shall follow the structure of BDC-TWG as indicated in the R.A. No. 7160<sup>14</sup>, EO No. 471, Series of 1991<sup>15</sup> and DILG MC No. 87, Series of 2021<sup>16</sup>. However, for the implementation of the CDD process, this shall be expanded to include various sectors and sub-committees prescribed by the program;
- 8.3. Gender balance shall be maintained in the membership and leadership positions of all committees;
- 8.4. It shall be represented by the different sectors in the community, i.e., youth, IPs, women, and senior citizens, including those in sitios/puroks in far-flung areas, and other sectors of the community.
- 8.5. It shall be composed of the: BDC-TWG Chairperson, PPT, PT, BRT, PIT, BAC, MIT, AIT, CMT, Community Bookkeepers, GRS Team, GAD Focal, IP Focal, and O&M Team, who shall take the lead in SP implementation and sustainability; and
- 8.6. Other persons who support the work of the BDC-TWG shall include, but are not limited to, the following, to *wit*:
  - 8.6.1. **Barangay Treasurer**, who shall have custody over the fund and properties of the SP and is the disbursing officer of the SP;
  - 8.6.2. **Bookkeeper** who shall be tasked to record all financial transactions, prepare financial documents, and take custody of all supporting documents of financial transactions; and
  - 8.6.3. **BDC Sectoral Committee Chairs**, including the GAD Focal Person, who shall also serve as the Program's Gender Focal Person at the barangay level.
- 8.7. The BDC-TWG shall lead the program activities in line with the preparation, including developing SP designs, preparing SP proposals and requests for funds, and managing the implementation of the funded SPs. This includes, but is not limited to, the following, to *wit*:
  - 8.7.1. The BDC-TWG through the PPT, shall take the lead in the conduct of site validation and inspection of the proposed lot area to be used for the SP;

<sup>14</sup>Local Government Code of 1991.

<sup>15</sup> Amending Executive Order No. 319, Series of 1997, Entitled "Providing for the Reorganization of the Local Development Councils.

<sup>16</sup> Guidelines on the Formulation and/or Updating of the Barangay Development Plan (BDP).

- 8.7.2. It shall prepare community project proposals and other necessary documents that include the preparation and formulation of environmental and social safeguards instruments, such as but not limited to the ESSC, ESMP, LARRP, GAD Plan, IP Plan, O&M Plan, and Water Safety Plan for water system projects, among others, whichever is applicable;
- 8.7.3. The BRT shall prepare initial criteria for ranking and prioritization of the proposal and present it during the MDC meeting for consideration and approval;
- 8.7.4. The BDC-TWG shall endorse the proposal and set criteria for ranking and prioritization through a resolution;
- 8.7.5. Through the BRT and PPT, it shall present the SP proposal highlighting the community's needs and its interventions using the approved set criteria for the ranking and prioritization of proposals for KALAHI-CIDSS funding;
- 8.7.6. The BDC-TWG, with the assistance and facilitation of ACT/MCT, shall prepare and review the documentary requirements of the RFR and shall ensure the completeness, correctness, and consistency of information across all attachments and supporting documents; and
- 8.7.7. its organized O&M Group shall prepare an O&M Plan to ensure the proper operation, maintenance, and sustainability of the completed SPs, thus, continuously responding to and addressing the identified community needs.
- 8.7.8. Perform other functions or activities deemed needed relative to the program's implementation.

## **XI. SUPPLEMENTAL GUIDELINES**

Supplemental guidelines for the implementation of this Circular shall be formulated in accordance with relevant laws, rules, and regulations, as deemed necessary, to include addressing immediately any issues and concerns that may arise during the implementation of this Circular, such as, but not limited to, the inclusion of a special provision in the succeeding General Appropriation Acts and/or into the agreements to be entered into by the DSWD through the KALAHI-CIDSS. If it is deemed necessary to issue supplemental guidelines relative to this, the said guidelines shall be provided and duly approved by the Undersecretary for Operations Group of the Department.

## **XII. SEPARABILITY CLAUSE**

In the event that any provision of this circular is declared unconstitutional by the appropriate authority or contrary to the loan covenant, the validity of the other provisions shall remain in full force and not be affected by such a declaration.


## **XIII. REPEALING CLAUSE**



All previous issuances related to KALAHI CIDSS program implementation are hereby repealed, modified, or amended accordingly.

#### XIV. EFFECTIVITY

This circular shall take effect 15 days after approval and shall remain in full force and effect until repealed.

  
REY GATCHALIAN  
Secretary  
Date: ~~MAY 24 2023~~

Certified True Copy  
  
26 MAY 2023  
MYRNA H. REYES  
OIC-Division Chief  
Records and Archives Mgt. Division

## Annexes

Number	Document Title	Description
<b>Pre-Entry</b>		
1	Capacity Assessment Tool	The assessment tool is intended to generate basic information on the LGU as a basis for determining capacity to implement the program and assessing risk and vulnerabilities in operating the program within the municipality
2	Enrolment Form	The form is designed as a tool for the program staff to assess the municipality's preparedness to participate in the KALAHI CIDSS program through the identified key municipal requirements for participation.
<b>Social Preparation Stage</b>		
3	Municipal Activity Minutes Form	This form provides the activity profile, activity highlights, and other grievances and concerns in the municipality, if any.
4	Municipal Activity Attendance Sheet	This sheet seeks to gather the minimum information about the attendees of municipal activities.
5	Barangay/Community Assembly Household Participation	This sheet seeks to capture community household participation vis-à-vis the total number of families in the barangay.
6	Municipal GRS Installation Checklist	This checklist is designed to identify the requirements and MOVs needed for the installation of the municipal GRS.
7	Community/ Barangay Activity Minutes Form	This form provides the activity profile, activity highlights, and other grievances and concerns in the barangay, if any.
8	Community/Barangay Activity Attendance Sheet	This sheet seeks to gather the minimum amount of information about the attendees of the barangay activities.
9	Community/ Barangay GRS Installation Checklist	This checklist is designed to identify the requirements and MOVs needed for the installation of the community GRS.
10	Barangay Profile Form	This form provides barangay information, names of officials, funding, poverty profile, and disaggregated data of various sectors, among others.

11	Municipal Profile Form	This form provides municipal information, names of officials, funding, poverty profile, and disaggregated data of various sectors, among others.
12	Community Volunteers Profile Form	This form is designed to gather the basic information, committee membership, and sector represented by a community volunteer.
13	PSA Guide, Tools and Forms	This compendium of PSA guide, tools, and forms provides guidance and mechanisms to the community in the conduct of the PSA to gain a deeper understanding of the community's current situation, issues, and concerns that need to be addressed, and the strategies to resolve them.
14	Community/Barangay Meeting/Training Attendance Sheet	This sheet seeks to gather the minimum information about the attendees of community activities.
<b>Subproject Development Stage</b>		
15	Subproject Concept Form	The SPCF design the help the community conceptualize the brief details of the proposed sub-project and shall be use upon the sub-projects is identified
16	SP Proposal Template	A project proposal shall be prepared during the project development stage with the help of the sub-project concept form as a tool to develop a full blown proposal.
17	Sub Project Household Beneficiaries List	This template use to record the SP household beneficiaries of every sub-projects and will serve as basis in evaluation and assessment of the community participation in the barangay assembly
18	Deed of Donation	A Deed of Donation (DOD) is used if the land is privately-owned and the owner opts to give the required land for the sub-project. DOD should be notarized and clearly stipulate the use intended for the sub-project and applicable duration, among others.
19	Site Validation and Inspection	A Site Validation Report documents the

	Report Form	in-situ or actual conditions of the site, as part of due diligence in undertaking a preliminary site investigation.
20	Environmental and Social Management Plan (ESMP)	The ESMP identifies safeguards risks and corresponding mitigating measures related to the location and nature of the proposed subprojects.
21	IP plan / Resettlement Plan (if needed)	<p>The Indigenous Peoples Plan (IPP) is prepared for sub-projects with potential negative impacts on IPs or where subprojects are implemented in areas not covered by CADTs or CALTs. For subprojects where IPs are the sole or overwhelming majority of direct project beneficiaries, and when only positive impacts are identified, a stand-alone IPP will not be required.</p> <p>A resettlement plan is prepared for sub-projects if the involuntary taking of land cannot be avoided or livelihoods will be adversely affected.</p>
22	O&M Plan	The O&M Plan is the principal document used by the O&M Group, specifying the maintenance activities, procedures, and schedules to sustain the operation of the completed sub-project. The O&M program shall be prepared prior to the request of the 2nd and final tranche.
23	Water Safety Plan	The WSP uses a comprehensive risk assessment and risk management approach that encompasses all steps in water supply, from catchment to consumer, to consistently ensure the safety of drinking water. This is required for water system sub projects
24	Environmental and Social Safeguards Checklist (ESSC)	The ESSC is used to determine potential safeguard risks and categorization of sub-projects. It provides a series of questions relating to the environmental and social safeguards policies, and provides

		the appropriate safeguards instruments depending on the result of the screening.
25	Program of Works (POW)	The POW itemizes the scope of works and contains a cost breakdown of materials, equipment, labor, overhead and miscellaneous expenses among others, that are necessary to complete the sub-project.
<b>Subproject Implementation Stage</b>		
26	RFR Checklist	This checklist provides a list of documentary requirements that shall be attached to the SPCR.
27	Sub-Project Implementation Planning and Monitoring	A form used to track the target and actual timelines for the overall sub-project milestone or activity. It also contains the corresponding persons responsible for undertaking the sub-project milestone or activity.
28	Community Monitoring Plan Template	The CM shall be prepared during the SP implementation planning at the brgy level, which aims to capture implementation Key Result Areas (i.e., ESMP Implementation, Compliance to GRS, Monitoring of Community Action Plan etc). This mechanism supports the community in building meaningful participation and greater accountability.
29	Workers Profile	This captures the profile of the workers engaged by the community that are working on the KALAHI CIDSS Subproject.
30	Employment Record Sheet	This form is an attachment to Disbursement Voucher upon payment and indicates the amount incurred by the workers from the total days and hours of work they rendered.
31	Disbursement Voucher	This is a document used to pay a financial obligation to workers, individuals, agencies, and creditors for products purchased or services provided.
32	Barangay Sub-Project Work Schedule and Physical	This provides the description, quantity, costs, and timelines for the necessary

	Progress Report	works to complete the sub-project. It also specifies the percentage of actual physical work accomplished.
33	Monthly Physical Progress Report (Non-Infrastructure Sub-Project)	
34	PTA Integration Checklist	This shows the list of requirements that pertains to the compliance of the LGUs along with the Participatory, Transparency and Accountability principles of the program
35	Functionality Audit Tool	The FA tool is designed to assess and ensure that the sub-project investments are utilized by the communities based on their original intent and purpose. The activity conducted before the sub-project turn-over
36	Subproject Completion Report Checklist	This checklist provides a list of documentary requirements that shall be attached to the SPCR.
37	Journal Entry Voucher	This form shall be used to document all NGA and LGU transactions, including non-cash ones as well as cash receipts and disbursements. Accounting journal entries shall be reflected therein and serve as the basis for recording in the books of accounts.
38	LBP Certification	This document is issued by the local branch of the bank as proof that the community current account has been opened or closed.
39	Sub-Project Fund Utilization Report/Reports of Disbursement	This report is posted in the BDC-TWG Office and indicates and ensures that all funds received and disbursed are properly accounted for in the books of accounts and in the monthly report.
40	List of Checks Issued/Reports of Checks Issued	This report shall be used by the Disbursing Officer to report daily, or as often as necessary, his/her disbursements made through checks. It shall also include canceled checks.
41	COA Transmittal	This shall serve as a locator of the liquidation documents, such as reports and

		disbursement vouchers, which shall be duly received by the COA representative.
<b>Community Monitoring</b>		
42	Municipal Sustainability Plan	A Municipal Sustainability Plan will be conducted upon completion of phase 2 implementation, which serves as an exit plan for the municipality. This capture PTA elements that will be continuously adopted by the Municipal and Local Government Units
43	Sub Project Completion Report Form	SPCR is a representation of full details of Process, finance, and technical aspects of the completed projects that shows insights, changes, impact and compliance to the program standard.