

# **I-REAP OPERATIONS MANUAL FOR PRDP SCALE-UP**

This is the operational Manual of the Enterprise Development (I-REAP) component as of June 2023. The I-REAP component may revise the Manual as it deems necessary to update its guidelines and project implementation procedures resulting from regular monitoring.

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## LIST OF ACRONYMS

ACDI/VOCA – Agricultural Cooperative Development International and Volunteers in Overseas Cooperative Assistance  
ACPC - Agricultural Credit Policy Council  
AECA – Agro-Enterprise Clustering Approach  
AF-1 - First Additional Financing  
AF-2 - Second Additional Financing  
AFMP – Agriculture and Fisheries Modernization Plan  
AGT - Applied Geotagging Tool  
AMAS - Agribusiness and Marketing Assistance Service  
ASF - African Swine Fever  
BAC - Bids and Awards Committee  
BAFE - Bureau of Agriculture and Fisheries Engineering  
BARMM - Bangsamoro Autonomous Region in Muslim Mindanao  
BCR – Benefit-Cost Ratio  
BDS - Business Development Support  
BIR - Bureau of Internal Revenue  
BMP - Biodiversity Management Plan  
BSWM - Bureau of Soils and Water Management  
CDA – Cooperative Development Authority  
CDP - Cluster Development Plan  
CIP - Commodity Investment Plan  
CRVA - Climate Resiliency and Vulnerability Assessment  
CSF - Common Service Facility  
CSIP - Commodity Systems Investment Planning  
DA - Department of Agriculture  
DAR - Department of Agrarian Reform  
DBP - Development Bank of the Philippines  
DED - Detailed Engineering Design  
DENR - Department of Environment and Natural Resources  
DILG - Department of the Interior and Local Government  
DO – Department Order  
DOD-Deed of Donation  
DOLE-BRW – Department of Labor and Employment – Bureau of Rural Workers  
DOT - Department of Tourism  
DPWH - Department of Public Works and Highways  
DTI - Department of Trade and Industry  
e-VSA - Expanded Vulnerability and Sustainability Assessment  
EAT - Enterprise Assessment Tool  
EFA - Economic and Financial Analysis  
EFA – Economic and Financial Analysis  
EIRR – Economic Internal Rate of Return  
EOM – Enterprise Operations Manual  
EOMS – Enterprise Operation Monitoring System  
ESF - Environmental and Social Framework  
ESMF - Environmental and Social Management Framework  
ESS - Environmental and Social Standards  
EU - European Union

F2C2 - Farm and Fisheries Clustering and Consolidation  
 FCA - Farmers, Cooperatives, and Associations  
 GAHP - Good Animal Husbandry Practice  
 GAP - Good Agricultural Practices  
 GAqP - Good Aquaculture Practice  
 GGU - Geo-mapping and Governance Unit  
 GoP - Government of the Philippines  
 GRM - Grievance Redress Mechanism  
 HVCDP - High Value Crops Development Program  
 I-BUILD - Rural Infrastructure Market Linkage Component  
 I-PLAN – National and Local Level Planning Component  
 I-REAP - Enterprise Development Component  
 I-SUPPORT - Project Implementation Support Component  
 IMA - Implementation Management Agreement  
 IP - Indigenous People  
 iPEP-ARS – Individual Performance Evaluation Profile and Accomplishment Reporting System  
 JGF – Jollibee Group Foundation  
 JTR - Joint Technical Review  
 KAYA – Kapital Access for Young Agripreneurs  
 KM - Knowledge Management  
 LBP - Landbank of the Philippines  
 LGU - Local Government Unit  
 LP - Loan Proceeds  
 M&E - Monitoring and Evaluation  
 MAYA – Mentoring and Attracting Youth to Agribusiness  
 MEL - Monitoring, Evaluation, and Learning  
 MIS - Management Information System  
 MLGU – Municipal Local Government Unit  
 MPMIU – Municipal Project Management Implementing Unit  
 NAFMIP - National Agriculture and Fisheries Modernization and Industrialization Plan  
 NCPT - National Core Planning Team  
 NEDA – National Economic and Development Authority  
 NG - National Government  
 NGA - National Government Agencies  
 NIA - National Irrigation Administration  
 NMIS - National Meat Inspection Service  
 NOAP - National Organic Agriculture Program  
 NOL - No Objection Letter  
 NPAB – National Project Advisory Board  
 NPCO – National Project Coordination Office  
 NRP - National Rice Program  
 O&M - Operations and Maintenance  
 OL - Original Loan  
 OM - Operations Manual  
 OSH - Occupational Safety and Health  
 PABES - Philippine Agricultural and Biosystems Engineering Standard  
 PAFES - Provincial Agriculture and Fisheries Extension System  
 PBSP – Philippine Business for Social Progress  
 PCA - Philippine Coconut Authority  
 PCIC - Philippine Crop Insurance Corporation  
 PCIP - Provincial Commodity Investment Plan



PDO - Project Development Objective  
PDP - Philippine Development Plan  
PDS - Project Development Service  
PG - Proponent Group  
PhilFIDA - Philippine Fiber Industry Development Plan  
PhilMECH - Philippine Center for Postharvest Development and Mechanization  
POW – Program of Works  
PPMIU – Provincial Project Management Implementing Unit  
PPP - Public-Private Partnership  
PRDP - Philippine Rural Development Project  
PSA - Philippine Statistics Report  
PSO - Project Support Office  
PWS - Potable Water Supply  
RAEB - Rapid Appraisal of Emerging Benefit  
RAFIP - Regional Agriculture and Fisheries Investment Portfolio  
RCEF - Rice Competitiveness Enhancement Fund  
RFO – Regional Field Office  
RPAB - Regional Project Advisory Board  
RPCO - Regional Project Coordination Office  
SAAD - Special Area for Agricultural Development Program  
SBAC - Special Bids and Awards Committee  
SEA - Sexual Exploitation and Abuse  
SEC – Securities and Exchange Commission  
SEP - Stakeholder’s Engagement Plan  
SES - Social and Environmental Safeguards  
SP - Sub-project  
SUC - State University Colleges  
VCA - Value Chain Analysis  
Y4M – Youth for Mechanization

# 1 Introduction

## 1.1 Rationale and Purpose of the Manual<sup>1</sup>

The Philippine Rural Development Project (PRDP) is designed to contribute to achieving the national goals of inclusive growth, job creation and poverty reduction. It builds on existing policy frameworks, principles and lessons learned from past programs of the Department of Agriculture (DA). The PRDP was initially a six-year initiative (2013-2018), until its extension until 2022 to continue its objectives to increase the productivity of farms and fisheries and improve the incomes of people from sixteen (16) target regions of the country. The project seeks to achieve this objective by improving farmers' and other industry players' accessibility to a strategic network of infrastructure, market information and support services. Specific investments and interventions are to be implemented under four central components of the project, namely: 1) Local Planning (IPLAN); 2) Infrastructure Development (I-BUILD); 3) Enterprise Development (I-REAP); and 4) Project Support (I-SUPPORT).

Banking on the gains of the original project implemented since 2014 and will close in 2025, the Philippine Rural Development Project (PRDP) Scale Up is an expanded response to the persistent challenges confronting the agri-fishery sector and the rural communities in the country. The Project aims to improve farmers and fisherfolk access to markets and increase income from agri-fishery activities (on and off-farm) by adopting the clustering and consolidation strategy of farmers and fisherfolk groups producing priority commodities that are within the Provincial Commodity Investment Plans (PCIPs) and aligned with the National Agriculture and Fisheries Modernization and Industrialization Plan (NAFMIP).

The proposed PRDP Scale-Up is envisaged to introduce a more holistic design and strategies by looking at a broader agri-food/commodity system to address the gaps in the whole commodity value chains, level up approaches and innovations based on lessons learned, contribute to improving climate resilience and modernizing the agriculture and fisheries sector. Interventions include the emphasis on rebuilding the whole value chain, improving the food supply chain and logistics, prioritizing farm-to-market roads (FMRs) with value chain infrastructure support, the inclusion of rice and corn focusing on value addition, and mainstreaming of institutional reforms in the DA programs and projects.

One of the PRDP's central components, the I-REAP engages broad sections of the farmers and fisherfolks in the production of marketable surplus through investments in strategic segments of priority commodity value chains prioritized under the Regional Agriculture and Fishery Modernization Plan (RAFMP) and the Provincial Commodity Investment Plans (PCIPs). The I-REAP is also designed to strengthen collaboration between the DA and the provincial governments. It adopts farm-to-table service delivery strategy being pursued under the Agrikulturang Pilipino (AgriPinoy) framework, and utilizes the Bureau of Soil and Water Management's (BSWM) vulnerability and suitability assessment (VSA) methodology and participatory resource assessment (PRA) as bases for incorporating climate resiliency strategies.

The implementation of the I-REAP component, and the PRDP as a whole, involves several institutional partners at the regional, provincial, municipal and barangay levels. These include several NGAs and the entire LGU community in the country. It also involves local communities, households, people's organizations, non-government organizations, private sector, academic

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<sup>1</sup> This section contains information taken from the PRDP Feasibility Study Main Report.

institutions and other civil society sectors. To ensure the I-REAP component's effective and efficient implementation, it is important that the stakeholders, most especially the project implementers, gain shared understanding of its operating mechanisms. This manual thus aims to ensure a common understanding of the I-REAP component by all stakeholders.

## **1.2 Use and Users of the Manual**

This manual seeks to provide a comprehensive and step-by-step guide for the implementation of I-REAP activities – from the selection of enterprise proponents, enterprise planning and implementation, to the monitoring of the enterprises' progress and the evaluation of the immediate and final impacts of the enterprises. It also clarifies roles and relationships among implementers and prescribes measures to control the quality of outputs and to ensure optimum use of project resources.

This manual was prepared for the use of the personnel of the DA (the executing agency, including its attached agencies critical in the I-REAP implementation as well as other partner-agencies, namely: Department of Environment and Natural Resources (DENR), Department of Trade and Industry (DTI), Department of Science and Technology (DOST), National Commission on Indigenous People (NCIP), and the LGUs from the provincial and municipal levels; the regional and other local units of the participating national agencies, participating schools, colleges and universities, participating non-government organizations (NGOs), and the partner FCA/FCA Clusters, private sector and other stakeholders. Any proposed changes to the manual as a result of experiences in the field and lessons learned will be adopted and incorporated in subsequent editions of the manual.

## **1.3 Contents of the Manual**

The manual contains the following major parts: I-REAP component description and objectives, which summarizes the components' interventions, the expected outputs and some of the major activities; the general conditions for implementation, which discusses the implementing agency and implementation policies that provide the policy framework for the component and its interventions; the implementation structure which describes the administrative framework and financial operations of the component; the implementation procedures at the pre-implementation, implementation and post-implementation phases of the component; financial management to include release of funds to the Implementing proponent; the procurement process for goods, works and services in support to enterprises; social and environmental safeguards (SES); grievance mechanism; geomapping and governance; results-based monitoring and evaluation (RBME).

## **1.4 Scope and Limitations**

This manual contains only the implementation guidelines of the I-REAP component under the PRDP Scale-Up at the project management level on the subproject identification, approval, implementation and completion, and monitoring of operations of enterprises. The implementation guidelines relating to other components and units will only be briefly discussed in this manual while the details will be referred to in the Components and Units' respective manuals and guidelines.

## **1.5 Definitions of Terms**

The following operational terms will be used on this manual for clarity and mutual reference; thus these will be defined as follows:

**Business Plan** – refers to the subproject proposal or document that will be the basis for financing the proposed enterprise. The business plan should contain the following information:

description of the proposed subproject, products/services to be offered, marketing plan, operational plan which contains technical assumptions, facilities and equipment, process flow and organization and management; financial plan including discussion on capital investment requirements; and financial plan including analysis and financial ratios to determine the technical, market and financial viability of the subproject or enterprise.

**Business Modeling** – refers to the activity that will be undertaken by the LGU and the FCA/ FCA cluster with the assistance of the Regional Project Coordination Office (RPCO) wherein the business concept for the proposed enterprise will be drawn. The business model answers the questions, what, who, and how such as: What are the products/services of the enterprise? Who are the suppliers and buyers? What are the problems being addressed and opportunities being pursued? What is the unique selling proposition of the enterprise? Who are the enterprise partners? What are the costs involved and revenues to be generated? How the farmers will benefit from the enterprise.

**Capability Building** – is the process by which individuals and organizations obtain, improve, and retain the skills and knowledge, in order to do their jobs competently or to a greater capacity (larger scale, larger audience, larger impact, etc.).

**Capacity Development** – is the process by which individuals and organizations obtain, improve and retain the skills and knowledge, tools, equipment and other resources needed to do their job competently to a greater capacity and encapsulated in the form of the Capacity Development Plan.

**Capacity Development Plan** - is a three (3) year strategic plan of an enterprise wherein needed interventions such as capability building (training), market expansion, product development, financing, and facilities upgrading among others are identified as a result of the assessment done.

**Cluster Development Plan** - Based on Memorandum Circular 21, Cluster Development Plan is defined as a masterplan for the growth and development of the cluster through its business enterprise. It shall be a comprehensive, long-term plan that addresses the clusters' needs for marketing; improvement in productivity, operation, and organization development; financing; and sustainability.

**Completed Subprojects** refer to the subprojects (SPs) that have completed procurement and delivery of goods, facilities and equipment and finished construction of the infrastructure component.

**Enterprise Subproject**– refers to the subproject drawn from the PCIP that will be funded by the PRDP IREAP. It is the business venture that will be undertaken by the Implementing Proponent i.e. FCA/FCA Cluster or LGU (in partnership with FCA/FCA Cluster and/or private agribusiness entity).

**Enterprise Assessment**- is a tool to determine the readiness of the proponent group to implement an enterprise and to formulate a three-year capacity development plan. The implementation of this tool will follow the capacity building process framework from planning, assessing the capacity, visioning, identification of the capacity gaps, capacity building strategy, implementation and its monitoring and evaluation.

**Enterprise Project Fund** – is the total cost of the I-REAP subproject that will be used to finance the procurement of goods, services and civil works that are to be funded by the Loan Proceeds (LP), Government of the Philippines (GOP) counterpart, net of Implementing Proponent equity.

**Enterprise Support Fund** – refers to the I-REAP program fund consisting of the loan proceeds and the GOP counterpart intended to finance activities to be funded under Subcomponent 3.2 in support to the commodity value chain such as training, cross visits, provision of market information, market linkage and promotion, technology development, techno demo and other related activities.

**Evaluation** – is the periodic assessment of the design, implementation, outcomes and impact of a development intervention. It should assess the relevance and achievement of objectives, implementation performance in terms of effectiveness and efficiency, and the nature, distribution and sustainability of impacts.

**Farmers Cooperatives and Associations (FCA)** - refers to farmers and fisherfolk cooperative, association or corporation duly registered with appropriate government agency (i.e., SEC, CDA, DOLE-BRW) and which are composed primarily of small agricultural producers, farmers, farm workers, agrarian reform beneficiaries, and fisherfolk who voluntarily join together to form business enterprises or non-business organizations which they themselves own, control and patronize.

**FCA Cluster** - Based on Administrative Order 27 shall be defined as a group of crops, livestock and/or fish producers within a community or adjacent communities on the basis of proximity of their production areas, similarity of inputs, and/or shared production activities/processes and/or common final products. Consistent with the Farm and Fisheries Clustering and Consolidation (F2C2) Program, a cluster must have the minimum production area defined in DA Memorandum Circular 21 series of 2022<sup>2</sup>. An FCA cluster should have a minimum aggrupation of at least two FCAs that agreed to undertake a joint business planning.

**Implementation Management Agreement (IMA)** – is an agreement among the PSO, RPCO, and the Implementing Proponent that spells out the implementation arrangements for all I-REAP subprojects/ enterprises within a given period including the procurement arrangements, schedule of fund releases and liquidations and operations and maintenance.

**Implementing Proponent** - refers mainly to the organization or entity proposing an enterprise subproject and is identified to implement the subproject. The proponent can either be an FCA/FCA cluster or an LGU. The FCA/FCA cluster should be engaged in the priority commodity value chain and have legal personality.

**Monitoring** – is the continuous collection of data on specified indicators to assess for a development intervention (project, programme or policy) its implementation in relation to activity schedules and expenditure of allocated funds, and its progress and achievements in relation to its objectives.

**Non-operational Subprojects** - these are completed SPs that have no operation for at least six (6) consecutive months. This does not include SPs of which operations are seasonal (e.g.

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<sup>2</sup> Based on DA Memorandum Circular No. 21 Series of 2022, a Cluster must have the following minimum production area: Rice 100 hectares; Corn 75 hectares; High Value Crops 25 hectares; Fruit trees and perennials 100 hectares; Fiber Crops 100 hectares)

recipients of SLP for custom services (tractors, threshers). The subproject is considered to have no operation when the equipment, machineries, or facilities are not being utilized. A seasonal-based subproject will be reported as non-operational when the equipment, machinery and facilities are not utilized during the season

**Operational Subprojects** - refer to the completed SPs that are already using the PRDP financed goods and facilities of the enterprise.

**Pre-operational Subprojects** - refer to newly completed SPs but have not yet started operation or utilized PRDP financed goods and facilities of the enterprise, and are still in the process of subproject turn-over and conduct of pre-operating activities (e.g. hiring of enterprise staff and workers, securing permits and licenses, etc.).

**Private Agribusiness Entity (PAE)** - refers to small to large scale firms or enterprises (i.e. agro-processing firms, consolidators, agri-exporters, traders and retailers), which may partner with implementing proponent for the operation and management of the enterprise, serving as market for the enterprise products and may also provide incremental or parallel investment financing and undertake technology transfer.

**Program Contract**— an agreement to be executed by PRDP with partner institutions in the provision of technical and business support services to the Proponent Groups.

**Provincial Commodity Investment Plan (PCIP)** – is a strategic plan that rationalizes the interventions within the various segments of the value chain of commodities that are of significance to the province and will contribute to the goals of the agriculture and fishery sector at the national level. It is a 3-year rolling consensus plan between the DA and LGU based on the value chain analyses of these commodities conducted with strong participation of the various stakeholders. The PCIP will be the basis in identifying possible enterprises in which a province decides to make a package of investments that the DA will provide assistance, with adequate counterpart from the LGU.

**Small and medium, and Large scale enterprises** – these are the category of subprojects that will be funded by PRDP I-REAP Sub-component 3.1 with costs falling under the following: Small: Php3,000,000-Php15,000,000; Medium: Php15,000,001 – Php100,000,000, Large: above Php100,000,000.00. This amount includes the costs of the enterprise operation, equipment, facilities and civil works (LP + GOP + Implementing Proponent Equity).

**Start-up Enterprises** – refers to financing of the I-REAP subproject that is a new business undertaking of the selected FCA/FCA cluster. The enterprise project cost that will be provided shall not exceed Php15 Million.

**Strategic Planning** – is a systematic process of an organization /enterprise in: a) looking at new markets to enter; b) planning growth and overall business strategy; c) dealing with competitors; d) creating action plans; e) choosing between different strategic investments; and f) predicting uncertainty in the future.

**Sustainable Subprojects** - refer to the SPs which have reached a sufficient level of sustainability based on the performance of the enterprise operation such as those who operated continuously for at least one year, with positive net income and linkages to the market, and which would require minimal project monitoring or support.

**Training Needs Assessment (TNA)** - is an assessment that looks at employee and organizational knowledge, skills, and abilities, to identify any gaps or areas of need.

**Total Investment Cost** - is the total amount of the business plan which includes the cost of the enterprise operation, equipment, facilities, civil works and Implementing Proponent equity. It is computed as Enterprise Project Cost plus Implementing proponent equity.

**Upgrading/Expansion of Enterprises** – financing of I-REAP subproject that aims to expand or upgrade existing business activity of the FCA/FCA cluster that could be in terms of equipment, facilities and product lines (such as development of new products, development of new markets or increase in production capacity). Some examples include: FCA/FCA cluster with existing business on flavored milk processing will be proposing subproject for PRDP on cheese and yoghurt processing; existing FCA/FCA cluster producing geonet will be expanding operation by buying whole nuts from coconut farmers to produce copra and use the husk to increase volume of production of geonets; existing FCA/FCA cluster producing cassava granules will increase volume of production by expanding source of raw materials through increase in farmer members and consolidating volume of output of other cooperatives or associations thru enterprise clustering. Financing additional support to existing PRDP supported micro-enterprises shall also fall under this definition.

## 2 Component Description and Objectives

### 2.1 Background of the I-REAP Component<sup>3</sup>

The enterprise development component (I-REAP) will improve the productivity and profitability of farmers and fisherfolks and the efficiency in food supply chains by supporting Farmer/Fisherfolk Cooperatives and Associations (FCA) groups and clusters and increasing private sector investments in the agricultural and fishery sector.

From proponent-groups focused interventions, a major feature of the I-REAP will be the adoption of clustering and consolidation strategies which would cater to a wide array of commodities and beneficiaries. The clustering and consolidation strategy has emanated from the key lessons in the original PRDP as an effective approach to increase bargaining power and economies of scale among farmers, fishers, and other actors within the commodity value chains. Further, it is designed to strengthen the productive alliance with the private sector aimed to enable FCAs to access proven new technologies and systems, and provide additional resources such as finances and expertise. This design will ensure the sustainability of the enterprise as well as promote further expansion of the clusters beyond the project implementation. The provision of common service facilities under I-REAP will consolidate and integrate the production, value-addition, and distribution of agri-fishery produce.

The component will anchor its interventions on existing development plans underlining enterprise development in the agriculture and fisheries sector. In so doing, I-REAP will streamline its interventions and strategies on addressing food security, climate-resiliency, and economic growth, articulated in the PDP, NAFMIP, Regional Development Plans and processes involved in the distillation of the PCIPs into regional investment priorities.

I-REAP will aim for small to large-scale, high-impact investments ramping up economic and enterprise development through common service facilities, capacity building, and other support services for FCAs and FCA clusters. For Scale-Up, I-REAP and I-BUILD will be delineating value chain infrastructure

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<sup>3</sup> PRDP Feasibility Study Main Report

support investments based on a set menu of interventions for each component. I-REAP will focus on interventions that will support the operations of private enterprises while I-BUILD will provide infrastructures for general public use or service. The Commodity Investment Plan (CIP) will provide information or identify financing areas open for private investment.

The component will fund small to large-scale climate-resilient and climate-smart pre- and post-harvest, processing, logistics, and distribution facilities. This will modernize and enhance the efficiency and resiliency of operations, ensure quality produce, speed of transport, and safety of food to meet consumer demand in specific market areas.

## 2.2 I-REAP Objectives

The general objective of the I-REAP component is to increase productivity, value addition and improve access to the market of enterprise clusters through efficient cluster-based agricultural and fishery productivity enhancement interventions.

The component aims to deliver the following specific intermediate results:

- Percent increase in profitability<sup>4</sup> of agri-fishery enterprises;
- Percent of agri-fishery enterprise clusters reached by business development support<sup>5</sup> including credit and insurance;
- Percent of agri-fishery enterprise clusters with formalized partnership agreement with institutional buyers;
- Women directly participating in clustered enterprises.

## 2.3 I-REAP Component Goals, Objectives, Outcomes and Outputs

The contribution of the I-REAP component to the overall PRDP goal of improving farmers and fisherfolk access to markets and increasing income from selected agri-fishery value chains is to increase productivity, value addition and improve access to the market of enterprise clusters through efficient cluster-based agricultural and fishery productivity enhancement interventions.

The goal or intended impact of I-REAP is to increase income of farmers and fisherfolk from the selected agri-fishery value chain (Figure 2-1). The desired outcomes are: a) increased enterprises linked with technical and business development support service providers and institutions; b) enhanced agri fishery enterprises linked to institutional buyers with partnership agreements; and c) increased women participation-and benefit from-targeted value chain segments.

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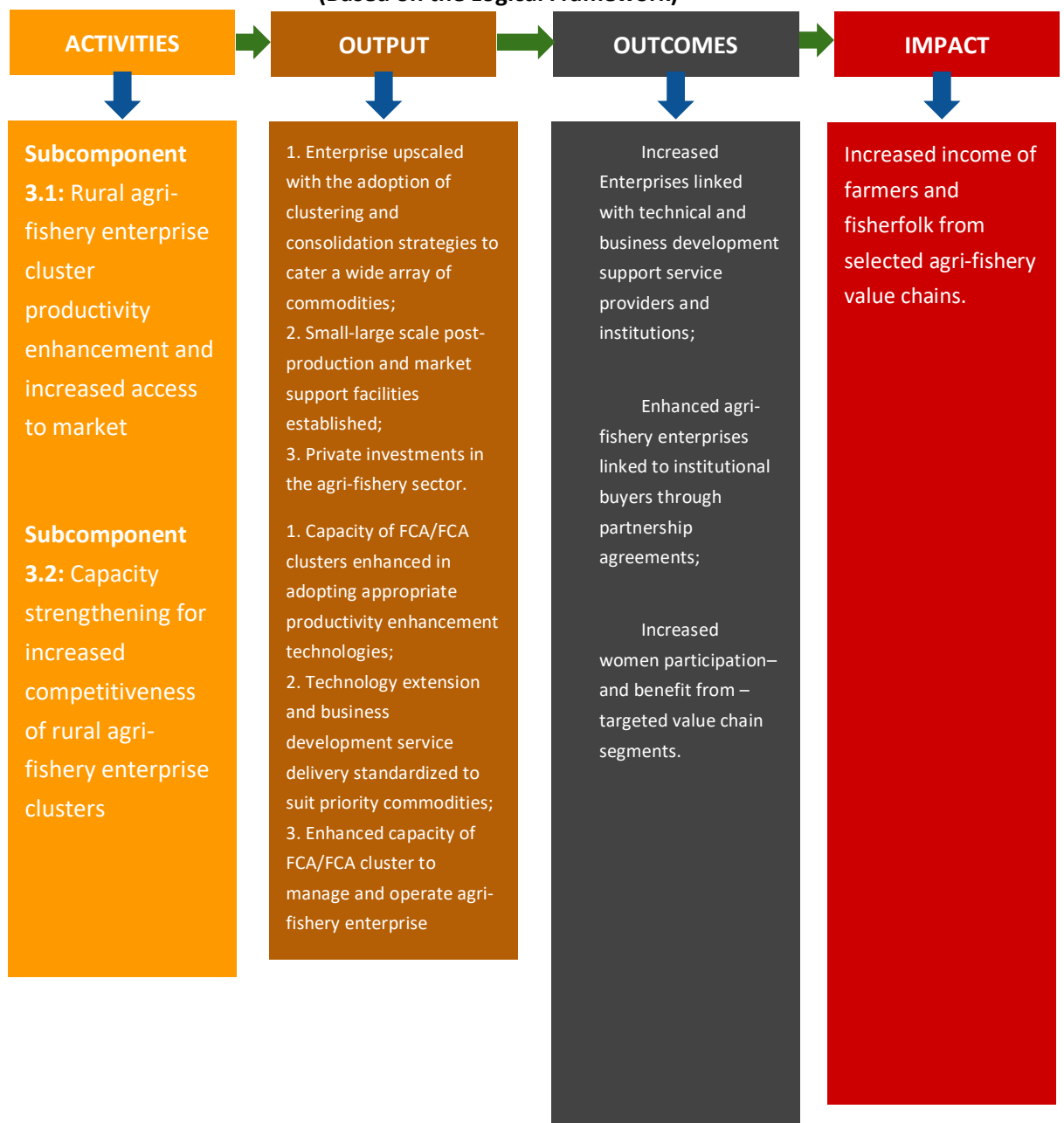
<sup>4</sup> “Profitability” refers to sustained annual increases in enterprise income

<sup>5</sup> Business development services” means support for the growth of micro, small, and medium-sized enterprises through training, technical assistance, marketing assistance, improved production technologies, and other related services (<https://www.law.cornell.edu/definitions/>)



I-REAP activities can be categorized into two sub-components: 1) Rural agri-fishery enterprise cluster productivity enhancement and increased access to markets and 2) Capacity strengthening for increased competitiveness of rural agri-fishery enterprise clusters. The expected outputs for sub-component 1 are: 1) Enterprise upscaled with the adoption of clustering and consolidation strategies to cater a wide array of commodities; 2) Small-large scale post-production and market support facilities established; 3) Private investments in the agri-fishery sector. On the other hand, outputs for subcomponent 2 are: 1) Capacity of FCA/FCA clusters enhanced in adopting appropriate productivity enhancement technologies; 2) Technology extension and business development service delivery standardized to suit priority commodities; 3) Enhanced capacity of FCA/FCA cluster to manage and operate agri-fishery enterprise.

**Figure 2 - 1 I-REAP Component Conceptual Framework  
(Based on the Logical Framework)**



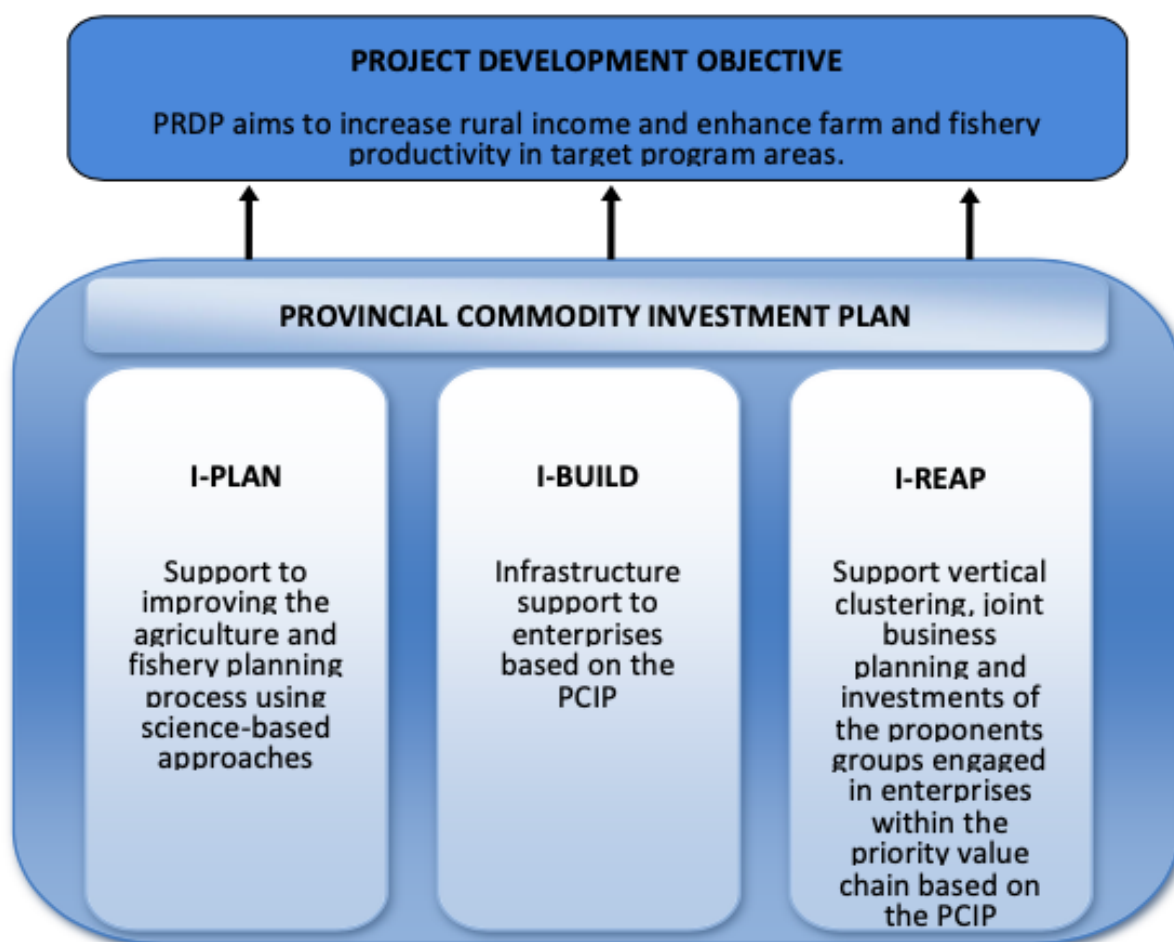
## 2.4 I-REAP Linkage with other PRDP Components

Although each major investment component – I-PLAN, I-REAP, and I-BUILD – have separate and distinct objectives, they are all designed to contribute to the accomplishment of the project’s development objective. Thus, it is imperative that component processes and outputs are in sync with each other (See Figure 2-2). Ensuring this synchronicity and articulating the common element and the thread that ties key features across each component is the PCIP. This mainly contains the strategic areas of product segments in the value chain of the priority commodities of the provinces that could be supported under I- REAP and I-BUILD. The development of the PCIP is the primary responsibility of the I-PLAN component, but with substantial contributions from the I-REAP and I-BUILD components during the PCIP development process.

Specifically for the I-REAP component, assistance to I-PLAN’s PCIP procedures will involve the application of the value-chain analysis and focusing on the proper application of the criteria for identifying the priority enterprises that will be included in the PCIP for potential funding under I-REAP’s Subcomponent 3.1.

I-SUPPORT is programmed to provide the strategic administrative, logistical, and operational assistance to the various components in implementing their activities.

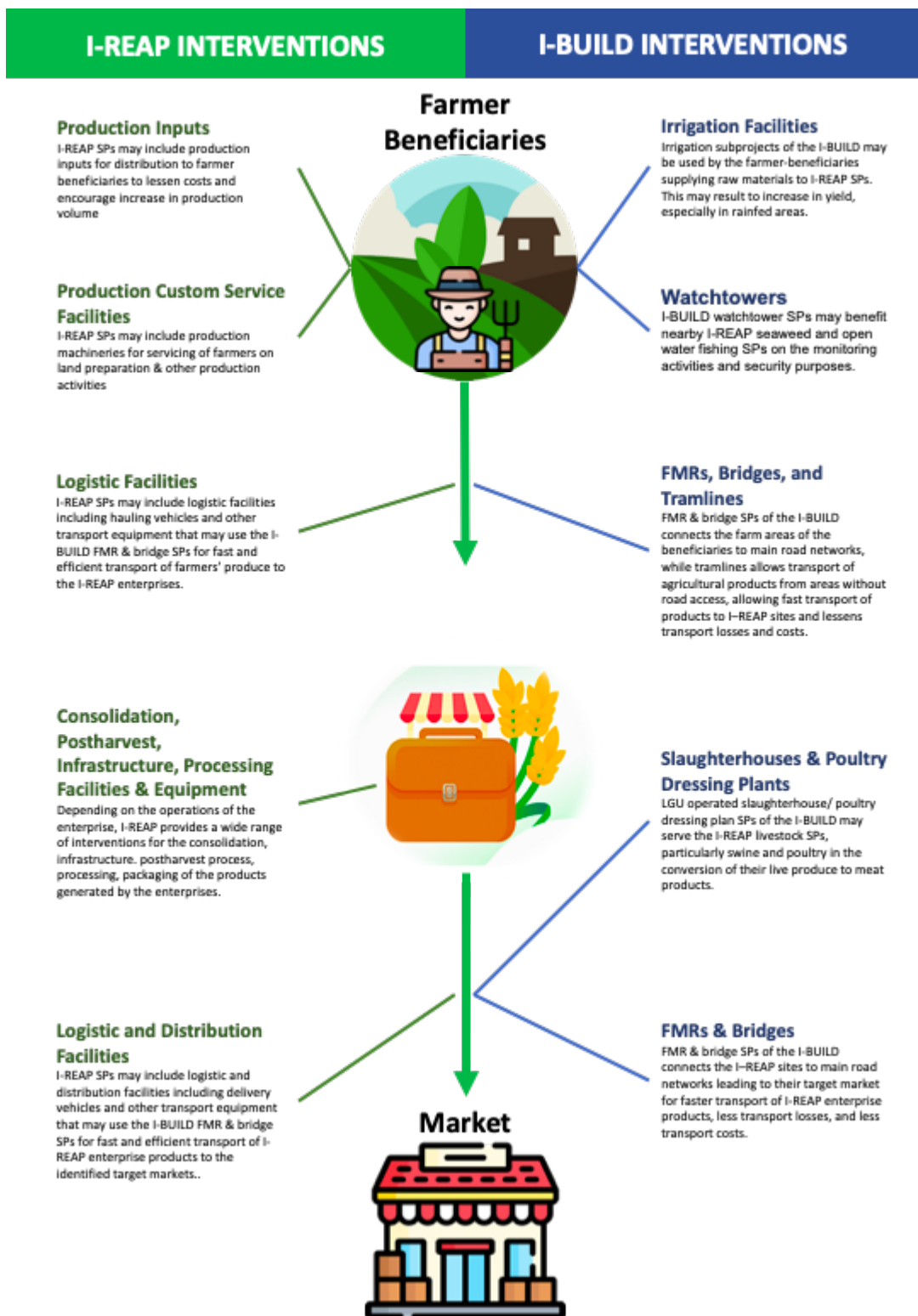
**Figure 2- 2 Inter-Component Linkages**



I-REAP’s working relationship with the I-BUILD component is linked with the infrastructure investments supporting the priority enterprises, also contained in the PCIP. Across priority commodity value chain segments, the interplay or connectivity of I-REAP and I-BUILD

subprojects are presented in Figure 2-3. In addition, all enterprise civil works included in the proposals are being reviewed and cleared by the I-BUILD Component prior to the approval of subprojects.

Figure 2- 3 I-REAP & I-BUILD Interventions on the Different Value Chain Segments



## 2.5 I-REAP Operational Strategies<sup>6</sup>

In consonance with the above-mentioned policies and projects, the following key strategies will guide the implementation of the I-REAP component under PRDP Scale-up:

<sup>6</sup> PRDP Feasibility Study Component 3: I-REAP Component

- Inclusion of interventions within the regional scope as guided by I-PLAN's strategic framework;
- Provision of common service facilities to support farmers and fishers clusters for their increased production and improved market power. This will facilitate the consolidation of production outputs of farmers and fishers clusters with similarity in inputs, production activities, processing, and logistics for enhanced quality and marketing of produce. This framework will benefit various FCAs and FCA clusters requiring sizable capacities (including existing proponent groups of I-REAP micro-enterprises) who are willing to work together to upgrade their value chain activities;
- Joint business planning, enterprise operations, and management by LGU, FCAs, and FCA Clusters including those in partnership with the private sector such as ensuring FCAs and cluster participation to the AECA module of JGF in coordination with the DA Regional Field Units and F2C2 program team;
- Utilization and references to, among others, the Cluster Development Plans (CDPs) of the F2C2 program for the types of interventions and investment requirements to be supported by Scale-Up;
- Conduct of national and local workshops, and capacity development to strengthen the collaboration of DA-AMAS and BAFE and their regional counterparts (AMAD and RAEDs) and with LGUs on the planning and implementation of I-REAP subprojects.
- Forge collaboration and partnership with relevant national government agencies such as DOST, DTI, CDA and SUCs, international organizations (e.g. ACDI VOCA, PBSB) and other relevant institutions. This will be undertaken to access business development services and approaches to strengthen interventions for the commodity value chains, and
- Inclusion of the private sector in the development, operationalization, and management of enterprises. This will strengthen the link of the farmers with the supply and value chains, bring in efficiency and improved product quality through the introduction of innovations to the operations of enterprises, as well as encourage the increase of production of priority agri-fishery commodities through marketing agreements/contracts, parallel investment financing, and joint ventures with the FCAs. The project will conduct consultations with key private sector industry players of the priority commodities to firm up the most beneficial arrangements for the FCAs and the private sector.

## 2.6 I-REAP Component Scope of Interventions<sup>7</sup>

This component would support the development, implementation and sustainability of agricultural, livestock or fishery-based entrepreneurial activities, based on the analysis of priority value chains being supported under AFMPs, and as reflected in the PCIPs. The types of intervention to be supported would need to be tailored to the level of development and capacity of the producers. Annex 1 shows the sample menu of enterprises to be supported by I-REAP Sub-component 3.1 while Annex 2 presents the sample of sub-projects to be supported by I-REAP Sub-component 3.2. Annex 3 contains the negative list of enterprises or activities that cannot be supported by I-REAP.

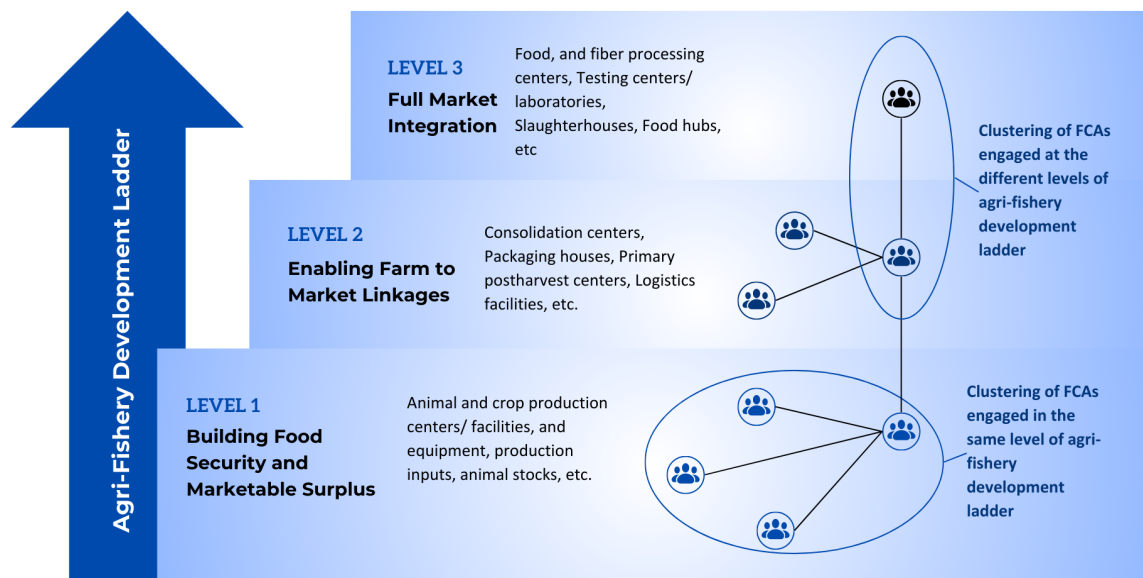
For planning purposes, three levels of Agri-fishery development could be considered, as summarized in Figure 2-4, with vertical and horizontal linkage between FCAs managing enterprises through clustering, which would involve horizontal, forward, and backward contracting/arrangements. The horizontal and vertical convergence of FCAs engaged in enterprises identified at different levels of the agri-fishery development ladder is guided by the

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<sup>7</sup> PRDP Feasibility Study Component 3: I-REAP Component

proper conduct and results of the value chain analysis facilitated by the I-PLAN Component. The value chain analysis should show at the very least the critical segment(s) in the product flow that require support and will be the basis of the LGUs in the development of their PCIPs, identifying the priority commodities and critical interventions required to fill in the gap of each segment of the value chain. Interventions should be designed to promote clustering of FCAs in supported enterprises. Small farmers and fishers who have the capacity to produce marketable surplus will be capacitated through clustering or integrating with more organized groups. Producer groups could also be clustered or integrated with markets to achieve full market integration.

**Figure 2- 4 Vertical and Horizontal Linkages Across the Agri-Fishery Development Ladder**



## 2.7 I-REAP Possible Implementing Proponent s

As a general rule, the implementing proponent of enterprise subproject proposals is the FCA/FCA Cluster. In exceptional cases, when there are NO qualified or eligible FCA (eligibility criteria stipulated in Table 4-1a), the P/M/CLGU may become the Implementing Proponent.

1. **FCA/FCA cluster.** The FCA/FCA cluster will initiate and lead the proposal development of an enterprise and will manage subproject implementation (procurement and construction of civil works), and enterprise operations.
2. **Local Government Units (LGUs).** The LGU will initiate the development and packaging of the proposal and will identify a partner FCA/FCA cluster that will co-manage the operations of the enterprise.

The Implementing Proponent LGU or FCA/FCA cluster may also partner with a private agribusiness entity for the operation and management of the subprojects who may also provide incremental or parallel investment financing. The participation of private agribusiness entities is allowed regardless of who initiated the proposal development. The arrangements for each of these modalities will be specified in the business plan and provided in detail in the Implementation Management Agreement.

### **3. PRDP Supported FCA/FCA Cluster of Micro-Enterprise Subproject and Cluster member of a Completed OL/ AF2 PRDP I-REAP Subproject Requesting for Second Phase Funding**

FCA/FCA Cluster of existing PRDP supported micro-enterprise subproject needing second phase funding for the upgrading or scaling up of its operations and a member of FCA Cluster of a completed subproject may submit proposal provided it will meet the following criteria:

- Operating for at least two years (after completion and turn-over of the first SP)
- Gaining positive net income
- Proves to be sustainable through formal linkages with market
- Subproject is aligned or within the PCIP
- The target increase in income of farmer beneficiaries from the previous SP was met
- Increase new farmer beneficiaries by at least 20%

The eligible investment for funding under this category is primarily on the goods and/ or infrastructure to support its operation.

#### **2.8 I-REAP Subproject Financing Modalities**

I-REAP Subproject financing modalities can be categorized into two: a) by amount of subproject; and b) by nature of business undertaking.

##### **A. By Amount of Subproject (LP + GOP + Implementing Proponent Equity)**

1. Small enterprise subproject – above Php3 Million up to Php 15 Million
2. Medium enterprise subproject - above Php15 Million up to Php 100 Million
3. Large enterprise subproject - above Php 100 Million

An enterprise subproject is estimated to have a maximum investment cost per direct beneficiary of Php90,000.00.

##### **B. By Nature of Business Undertaking**

1. Start-up Enterprises – financing of I-REAP subproject that is a new business undertaking of the selected proponent group. The amount of a subproject that may be proposed as start-up shall not exceed Php15 Million.
2. Upgrading/Expansion of Enterprises – financing of I-REAP subproject that aims to expand or upgrade existing business of the FCA/FCA Cluster. Expansion and upgrading could be in terms of equipment, facilities and product lines (such as development of new products, development of new markets or increase in production capacity of the FCA/FCA Cluster). Some examples include: a FCA/FCA Cluster with existing business on flavored milk processing will be proposing subproject for PRDP on cheese and yoghurt processing; existing FCA/FCA Cluster producing geonets will expanding operation by buying whole nuts from coconut farmers to produce copra and use the husk to increase volume of production of geonets; existing FCA/FCA Cluster producing cassava granules will increase volume of production by expanding source of raw materials through increase in farmer members and consolidating volume of output of other cooperatives or associations thru enterprise clustering.

This financing category also covers the “second phase” funding for micro-enterprise subprojects that have proven to be successful. The overall target of I-REAP is to upgrade existing micro enterprises to small enterprises and build their assets from Php3Million to Php15Million.

### **3 Implementation Features**

#### **3.1 Implementing Agency and Partner Agencies**

The DA will be the executing agency of the PRDP. It will have, as partner agencies, relevant DA attached Agencies e.g., Philippine Coconut Authority (PCA), National Dairy Authority (NDA), BSWM, Philippine Center for Postharvest Development and Mechanization (PHilMech), Bureau of Fisheries and Aquatic Resources (BFAR), Agricultural Training Institute (ATI), Agricultural Credit and Policy Council (ACPC), Bureau of Agricultural Research (BAR), etc. Other partner agencies include Department of Agrarian Reform (DAR), Department of Environment and Natural Resources (DENR), Department of Science and Technology (DOST), Department of Trade and Industry (DTI), and Department of Interior and Local Government (DILG), among others.

Annex 4 provides the list of prospective partner agencies per commodity group and by support services the kind of the assistance that they can provide for enterprise development, including:

1. improving production and productivity including agricultural extension services, skills development, provision of production inputs, equipment and facilities/infrastructures for production and post-production activities, etc.;
2. improving producers' and enterprises' access to financing in the form of credit or grants as well as crop insurance;
3. provide access to improved technologies through research and development; and
4. provision of business support and development services, particularly in the areas of marketing, networking, etc.

Partner agencies will serve as project collaborators and will primarily provide technical support and assistance to support the enterprises in the commodity value chain which shall execute a Program Contract.

#### **3.2 Implementation Structures**

A PRDP National Project Coordinating Office (NPCO) at the DA Central Office will be established and headed by the Undersecretary for Operations or any designated DA official. Under this, four Project Support Offices (PSOs) will be set up, two for Luzon (North Luzon Cluster: CAR, Regions 1, 2, 3; and South Luzon Cluster: Regions 4A, 4B, 5); one for Visayas and one for Mindanao. I-REAP Units will be constituted in each of these PSOs. Carrying out the I-REAP component operations at the local level will be the I-REAP teams in the Regional Project Coordination Office (RPCO) and the Project Management and Implementation Unit at the provincial/city/municipal (M/C/PPMIU) levels. The functions and staff complement of the I-REAP unit in each of these offices are as follows:

##### **3.2.1 NPCO I-REAP**

- a. Serve as oversight of PSO and RPCO I-REAP units;
- b. Assist the I-PLAN in the review of VCAs and PCIPs;
- c. Assist in the orientation of the I-REAP Operations Manual;
- d. Prepare the annual and global work plan for the component;
- e. Conduct of capability building needs of PSOs; PSOs to RPCOs and RPCOs to M/C/PPMIUs
- f. Coordinate the effective implementation of the I-REAP component activities across the different PSO I-REAP;
- g. Assist in the conduct of site and proponent group validation;
- h. Review and Issue No Objection Letter to all I-REAP subprojects within the given threshold;



- i. Monitor the implementation of the enterprise implementation and operation including SES compliance;
- j. Assist in the conduct of enterprise operations monitoring, and Enterprise Assessment;
- k. Provide regular reports on the overall implementation of I-REAP activities; and
- l. Facilitate sharing of best practices across PSOs.

The NPCO I-REAP is headed by the Agribusiness and Marketing Assistance Service (AMAS) Director. At the minimum, the NPCO I-REAP Team, will be composed of Business Development Specialist (BDS), Enterprise Development and Marketing Specialist (EDMS), Organizational Development Specialist (ODS) and Project Development Associate (PDA).

### **3.2.2 PSO I-REAP**

- a. Coordinate the effective implementation of the I-REAP component activities across the different RPCO I-REAP;
- b. Assist the RPCOs in facilitating collaboration activities of various stakeholders and engagement of other support institutions and agencies;
- c. Provide support to the RPCOs in improving access of the Implementing proponent to research and technology resources;
- d. Build the capacity of the RPCO I-REAP unit staff to provide technical assistance and support services to the LGU and the FCA/FCA Clusters;
- e. Provide technical assistance and coherence across RPCOs;
- f. Facilitate sharing of best practices across RPCOs ;
- g. Conduct site and FCA/FCA Clusters validation and issue letter of confirmation on the selected FCA/FCA Clusters;
- h. Facilitate the conduct of compliance and technical review to ensure feasibility and viability of the business proposals, and check completeness, consistency and correctness of the documents before endorsement to NPCO;
- i. Review and approve through issuance of No Objection Letter all micro-enterprise subprojects and other types of subprojects within the given threshold;
- j. Provide technical assistance in the preparation and finalization of IMAs and EAs;
- k. Assist InfoACE Unit in the conduct of I-REAP information, education and communication (IEC) activities in the cluster;
- l. Assist the RPCO in facilitating the conduct of workshop for the M/C/PPMIU and the Implementing proponent in coming up with policy and implementing guidelines relating to the implementation of the enterprise;
- m. Monitor the implementation and enterprise operation of the I-REAP subprojects and coordinate with SES Unit in consolidating safeguards compliance and with M and E Unit on impact monitoring report in the covered RPCOs; and
- n. Provide regular reports on the overall implementation of I-REAP to NPCO.

The PSO will be led by I-REAP Component Head complemented by the following technical staff: Business Development Officer (BDO), Enterprise Development and Marketing Specialist (EDMS), Organizational Development Specialist and Project Development Associate (PDA) staff.

### **3.2.3 The Regional Project Advisory Board (RPAB)**

The RPAB is the regional counterpart of the National Project Advisory Board. The implementation tasks of the RPAB are to:

- a. Review and approve I-REAP business plans and its corresponding work and financial plan for funding;

- b. Ensure policy directions are carried out in the planning and implementation of I-REAP enterprises in the region;
- c. Ensure overall harmonization of support to I-REAP enterprises from collaborating National Line Agencies' (NLA) regional offices; and
- d. Generate support for and participation in I-REAP implementation by LGUs, people organizations (POs) and NGOs.

The RPAB will be created through a Special Order from the Office of the Secretary of the DA and chaired by the DA Regional Executive Director.

### **3.2.4 RPCO I-REAP**

The Chief of the Agribusiness and Marketing Assistance Division (AMAD) of the DA-RFOs will take the lead role in coordinating the overall implementation of the I-REAP Component activities at the regional level.

The RPCO I-REAP units will have the following functions and responsibilities:

- a. Assist the M/C/PPMIU in prioritizing enterprises targeted for I-REAP funding based on the PCIP and preparing business models or concept thereof;
- b. Spearheads the conduct of site and proponent group validation;
- c. Provide technical assistance to the Implementing Proponent and M/C/PPMIU I-REAP Team in business modelling, preparing the business plans including all required documents and attachments, and IMA;
- d. Conduct collaborative technical review of business plans including the complete set of attachments, with commodity experts within DA bureaus and attached agencies, other government agencies, institutions and/or organizations ensuring overall soundness of proposals and alignment with existing government projects;
- e. Endorse appraised business plans and IMA to PSO;
- f. Facilitate preparation and finalization of IMAs and endorse the IMA to the PSO for fund release;
- g. Facilitate submission and compliance in the documents related to I-REAP;
- h. Monitor the implementation and operation of the I-REAP subprojects, coordinate with and assist the SES Unit in monitoring safeguards compliance and with M and E Unit on impact monitoring report from the M/C/PPMIU in the covered LGUs;
- i. Ensure SES compliance in enterprise prioritization and business plan preparation by assisting the Implementing Proponent and M/C/PPMIU in the conduct of environmental and social screening and assessment, assist in the conduct of and or validate the Social Inclusiveness Scoring System for FCA/FCA Clusters seeking I-REAP funding, conduct of community consultations, preparation of Environmental and Social Management Plans (ESMPs) and Relocation Action Plans (RAPs), and acquisition and documentation of Environmental Compliance Certificate (ECC), Site Acquisition and Right of Way (ROW) and Indigenous People (IP) consent and endorsement, whichever is applicable and necessary;
- j. Assist in the conduct of procurement of goods and civil works under the given threshold.
- k. Provide regular reports on the overall implementation of I-REAP to PSO;
- l. Develop a system of popularizing technologies developed by DA and organize technology road shows in the provinces as needed;
- m. Design and develop agri-fishery enterprise development information resource system;
- n. Conduct capability building needs of M/C/PPMIUs and the Implementing Proponent;
- o. Prepare the annual work plan and budget for I-REAP;

- p. Assist InfoACE Unit in the conduct I-REAP IEC activities in the region; and
- q. Develop partnership agreements with agencies involved in agri-fishery business development services, extension/research service providers such as the following:
  - Regional-based State or Private state universities and colleges (SUCs), NGOs, the Regional Development Council's Economic Development Committee (RDC- EDC), and the DTI Regional Office and;
  - Relevant NLAs including attached agencies.

The RPCO I-REAP will be complemented by an Enterprise Development and Marketing Specialist (EDMS), Business Development Officers (BDOs), Organizational Development Officer (ODO) and Project Development Associate. See Annex 5 for the sample terms of references for the Business Development Staff. Additional technical staff may be requested by the RPCO depending on the number of approved subprojects and the type of enterprises.

### **3.2.5 M/C/PPMIU**

An I-REAP Provincial/City/Municipal Team under the M/C/PPMIU will be organized to perform the following functions:

- a. Serve as Component's management and supervision team and focal point for coordination of all provincial I-REAP implementation activities;
- b. Participate with the I-PLAN Component as lead in the review and preparation of the PCIP;
- c. Assist the Implementing Proponent in the formulation of business model or framework;
- d. Conduct orientation of potential FCA/FCA Clusters and selection;
- e. Assist the Implementing proponent in the business plan preparation and packaging for IREAP funding;
- f. Assist the Implementing Proponent in the preparation of POW/DED, and securing relevant permits and other documents (i.e. safeguards documents such as for securing ECC/CNC permits and NCIP certification, among others), as well as sourcing out funds for the said permits and documents as part of the technical assistance to the Implementing Proponent in the preparation of the business plan package;
- g. Review the compliance of the required documentary requirements (Checklist of requirements and Tracking Form) before forwarding the same to the RPCO and checklist shall be attached to the transmittal to RPCO.
- h. Develop partnership with agencies that can render business development services, research and extension such as the following:
  - Provincial -based State or Private SUCs, NGOs, Provincial Development Council's (PDC) EDC, and the DOST and DTI Regional/Provincial Office and;
  - Other relevant provincial-based NLAs including attached agencies.
- i. Monitor the implementation of the I-REAP Component in the province/ municipality/ city;
- j. Assist the Implementing Proponent in the conduct of procurement activities;
- k. Provide regular reports on the overall implementation of I-REAP to RPCO;
- l. Conduct I-REAP IEC activities in the province; and
- m. Develop capacity building proposals to strengthen the capacities of the LGUs and FCA/FCA Clusters to provide technology, information and enterprise development support to agri- fishery sector players.

The Provincial/City/Municipal Agricultural Officer (PAO/CAO/MAO) is recommended to be the M/C/PPMIU I-REAP Head. A Business Development Team shall be created at the LGU level who will be responsible in assisting the Implementing Proponent in the preparation of the business

plans, compliance to reviews and requirements and finalization and packaging of the business plans including the required attachments. I-REAP Team.

### **3.3 Social Preparation**

#### **3.3.1 Stakeholders Consultation and Preparatory Activities**

In preparation for the implementation of the enterprise subproject, a series of orientation and consultation with stakeholders (i.e. P/C/MLGU, FCA/FCA Cluster, private agribusiness entities) will be conducted.

Orientation of the stakeholders will be conducted by the RPCO and LGUs to inform the stakeholders on the investment opportunities for the priority commodities for possible funding under the PRDP SU.

Meaningful consultations are done all throughout the project cycle including during the preparatory stages of I-REAP pre-implementation process. Several consultations of the FCA/FCA cluster and their members will be done also by the LGU and RPCO/PSO to ensure readiness in the implementation of their proposed subprojects for funding. Meaningful consultations must be conducted with: i) full disclosure of information/information is accessible and understandable to the PAs/beneficiaries i.e. right to just compensation and access to PRDP Grievance Redress Mechanism; ii) at a timely manner, began early (at the early stage of project conceptualization) and done as a continuous process, adequate and relevant; iii) incorporation of relevant views in decision-making (i.e. concerns and issues raised should be acknowledged and considered); iv) Gender and culturally inclusive and responsive and tailored to needs (such as in cases of IP communities, women and children, and other vulnerable sectors); and v) Free of intimidation. Below are some of the consultations to be conducted:

- FCA/FCA cluster officers and members' consultation during the validation, SP preparation and confirmation of the proposed subproject for funding.
- Consultations among the FCA/FCA cluster members and nearby community, undergo environmental and social screening, social inclusiveness scoring, and rapid environmental and social assessments.

As a strategy, the LGU may partner with public and private institutions in providing assistance to FCA/FCA clusters for them to be ready to participate in the project.

The EDMS and ODS at the PSO level (ODO at RPCO level) together with other concerned units/components will be in-charge in the conduct of these activities.

#### **3.3.2 Capability Building Program for Project Implementers**

##### **3.3.2.1 FCA/FCA Cluster Level**

Prior to and during implementation, technical assistance to the FCA/FCA Clusters will be provided by the NPCO, PSO, RPCO and M/C/PPMIU/LGUs to develop knowledge, skills and attitudes and build their capacity to implement the PRDP supported enterprises.

Capability building program prior to implementation would include but not limited to the following areas:

- Enterprise Assessment and Strategic Planning

- Business plan preparation;
- Financial management (including establishment of the Current Account, simplified financial and management system, development and installation of the accounting system, audit and financial monitoring and contract administration);
- Geotagging of the Subprojects
- Social and environment safeguards;
- Project monitoring and evaluation; and
- Contract management

In addition, the P/C/MLGU through its P/C/MPMIU and/or the RPCO will assist the FCA/FCA Cluster in the establishment of the Procurement Committee and likewise provide orientation and training on the PRDP procurement processes.

The training interventions identified in the Capacity Development Plan prepared by the Project together with the FCA and the M/C/PPMIU will be the basis in identifying other training and capability building activities. PSO together with the RPCO will develop capability-building programs and undertake the conduct of these activities which will be facilitated and coordinated by the to be provided to the FCA/FCA clusters. In the development of a capacity development plan for the FCA/FCA Clusters to ensure operationalization and sustainability of the PRDP supported enterprises, Appendix 1-H will provide the list of training modules for capability building plans to the FCA/FCA cluster

The PSO and RPCO may tap other national and/or regional technical agencies, private and government SUCs, and private sector experts to conduct capability- building programs and undertake supportive monitoring visits, in order to ensure timely provision of training assistance responsive to the requirements of the I-REAP enterprises. The fund that will be used in the conduct of the capability building activities will come from I-REAP Sub-Component 3.2.

Specifically, the PSO, RPCO or the C/M/PPMIU may provide training and other capacity development to the FCA/FCA cluster to ensure the successful and sustainable implementation of the subproject towards achieving its goals and objectives.

### **3.3.2.2 P/C/MLGU Level**

Prior to and during the implementation of the I-REAP subprojects, the NPCO, PSO and/or RPCO will continuously provide technical assistance to P/C/MLGU through its M/C/PPMIU such as but not limited to trainings and mainstreaming of PRDP Tools. This is to capacitate the staff in the LGU level for the smooth and successful implementation of the project. Below are the list of the possible capacity building activities, among others, to be provided:

- Business plan preparation and evaluation/ appraisal;
- Geotagging and related trainings;
- Procurement trainings;
- Project monitoring and evaluation;
- Enterprise Assessment
- Disaster risk management
- Preparation of Capacity Development Plan and Business Continuity Planning

Along with these training and capacity building programs, the different tools and processes of PRDP will be shared to the P/C/MLGU for their future use and implementation.

### 3.3.2.3 Regional Project Coordination Offices

The RPCOs will be continuously trained on PRDP tools and innovations. This is to capacitate them in the provision of technical assistance to the FCA/FCA clusters and LGUs. These trainings will also be provided to the Department of Agriculture Regional Field Offices (DA RFOs) particularly the AMADs. With the continuous hands-on training and learning activities, the DA RFOs (AMADs) will have the capability to provide the support required by the agri-enterprises. More than technical requirements, the RFOs should also be provided with the appropriate ICT equipment to ensure that tools and innovations are implemented beyond Project life.

## 4 Implementation Procedures and Processes

### 4.1 Implementation Process of Subcomponent 3.1 (Rural agri-fishery enterprise cluster productivity enhancement and increased access to markets.)

The sub-component would fund Implementing Proponents' proposals for civil works, equipment and machinery for small to large-scale climate-resilient pre- and post-harvest, processing, logistics, and distribution facilities. It would include technical assistance to enhance the efficiency of FCA, FCA cluster or LGU Enterprises to improve product quality and safety, enhance logistics and profitability.

#### 4.1.1 Requirements for Implementing Proponents

##### 4.1.1.1 Requirements for FCA as the Implementing Proponent

FCA who signified interest to implement an enterprise subproject through submission of Letter of Intent to the LGU shall comply with the minimum eligibility requirements enumerated in Table 4-1a.

**Table 4-1 a. Minimum Eligibility Requirements for FCA as the Implementing Proponent**

	Enabling Instruments by Amount of Subproject
Legal personality	Must be registered with CDA/SEC/DOLE for at least one (1) year for small enterprises and three (3) years for medium and large enterprises; provide Certification of Registration (SEC/CDA/DOLE) as proof
	Authenticated copy of latest Articles of Incorporation or Articles of Cooperation and By-Laws
	Certificate of Compliance for CDA registered or Certificate of no Derogatory Record for SEC registered or Certificate of Good Standing for DOLE registered
	Certificate from DA on its registration to the Farmers and Fisherfolk Enterprise Development Information System (FFEDIS) Registry, Pursuant to Section 10 of Republic Act No. 11321 (Sagip Saka Act)
	Photocopy of Official Receipt (OR) for its financial transactions

Financial capability	Latest Audited Financial Reports for the past year (one year) for small enterprises and past three (3) years for medium and large enterprises
	DA CSO Accreditation
Organizational Capability	M/C/PPMIU Certification that the FCA/ FCA cluster has a technical, financial and organizational capability to implement the proposed project
	Accomplishment Reports and photographs of agri-fishery or related projects undertaken for, indicating the source of funds for the implementation
	Existing organizational structure and Secretary's Certificate of Incumbent Officers including their functions
	FCA and FCA Cluster Members' Profile (Note: In the farmers profile, members who are registered to RSBSA should be identified by indicating the ID No.)
Affidavit of Disclosure	<p>A sworn affidavit of the Secretary of the NGO/PO that none of its incorporators, organizers, directors, or officials is an agent of or related by consanguinity or affinity up to the fourth civil degree to the officials of the government agency authorized to process and/or approve the proposal, the MOA and the release of funds.</p> <p>Sworn affidavit of the Secretary of the NGO/PO that none of its officers are employees of the DA or the partner LGU.</p>
Liquidation	DA Accountant Certificate that the FCA/ FCA cluster has No Unliquidated Account or Cash Advance with the DA
20% Equity Requirement of the Total Investment Cost	<p>Equity could be any combination of cash and/or in-kind</p> <p>A minimum of 5% of the total investment cost as cash equity is required</p>
Value Chain Engagement	Must be engaged in the priority commodity value chain

#### 4.1.1.2 Requirements for FCA Cluster as the Implementing Proponent

A major feature of the I-REAP will be the adoption of clustering and consolidation strategies which would cater to a wide array of commodities and beneficiaries. The clustering and consolidation strategy has emanated from the key lessons in the original PRDP as an effective approach to increase bargaining power and economies of scale among farmers, fishers, and other actors within the commodity value chains. Under PRDP Scale-Up, FCAs can form into FCA Cluster by proposing similar subprojects or inter-connected/inter-linked subprojects. In which case, a Lead FCA will be selected among the cluster members.

The FCA Cluster who signified interest to implement an enterprise subproject through submission of Letter of Intent to the LGU shall comply with the following minimum eligibility requirements:

- a. Must be composed of at least two (2) FCAs
- b. Must have the following minimum production area: Rice 100 hectares; Corn 75 hectares; High Value Crops 25 hectares; Fruit trees and perennials 100 hectares; Fiber Crops 100 hectares)
- c. Must have an approved Cluster Development Plan

FCA cluster will be evaluated using the criteria set forth in Section 4.1.1.2 while the FCA cluster members shall select a Lead FCA using the criteria set forth in Table 4-1 b. The selected Lead FCA shall still comply with the requirements in Table 4-1a.

**Table 4-1 b. Selection Criteria for the Lead FCA of an FCA Cluster**

Criteria	Score	Scoring Guide
Able to provide the required equity of 20% of the total investment cost	5	Amount of cash and in-kind equity
Technical and Organizational capability	5	Has a dedicated committee as well as technical capability to handle the proposed enterprise
Secured marketing agreement with a buyer or with a marketing network;	5	Formal marketing agreement/PO; documented experience in marketing agri-fishery products
Access to technical and financial resources	5	Have availed technical and financial services from government and non-government agencies
Proven track record in managing an organization or a similar enterprise.	5	Years of experience in managing the proposed enterprise or similar/related enterprise
Procurement experience for government projects or other related experience in procuring goods and civil works and with existing procurement structure or committee (5 POINTS)	5	Years of experience (or number of contracts) in procuring goods or civil works for a government project or experience in similar procurement activities for non-government projects



Criteria	Score	Scoring Guide
<b>Total</b>	<b>30</b>	

On top of the selection criteria mentioned above, the selected Lead FCA should be agreed upon by all the FCA cluster members. The Lead FCA will serve as the lead firm or main proponent of the enterprise. It will be the authorized representative of the members of the FCA Cluster in signing the Implementation Management Agreement (IMA) with PRDP. Moreover, a Memorandum of Agreement (MOA) must be executed by the Lead FCA and the FCA cluster members which shall indicate the roles and responsibilities of all the parties involved in the ownership, operation and management of the enterprise including profit sharing arrangements, if any. This MOA shall be secured and shall be attached to the IMA.

The following are the documentary requirements for the equity of the FCA/FCA Cluster:

**Table 4-1 c. Documentary Requirements for the equity of FCA/FCA Cluster as the implementing proponent**

Type of Equity	Document	Remarks
Cash	Bank certificate under the name of the FCA/ FCA cluster and/or Certification from any financing institution or donor (in case the cash will come from loan/grant)	<p><b>During FCA/FCA Cluster validation:</b> Cash on hand and cash in- bank stated in the Balance sheet supported by a Bank Passbook will be the supporting instruments for the cash equity of the FCA/FCA Cluster.</p> <p><b>Prior RPAB Approval:</b> Bank Certification of the existing cash available in the bank. For cash equity that will come from the own capitalization of the FCA/FCA cluster, the cash in bank should be equal or higher than the required Cash equity for the subproject. Otherwise, the cash requirement should be supplemented with a loan from any financing institutions or a grant from any donor entity.</p> <p><b>Prior NOL 1:</b> Bank Certification on the deposit of the cash equity to a Trust Fund Account. The Project will allow deposit</p>

Type of Equity	Document	Remarks
		in tranches depending on the nature of enterprise operations and WFP.
<p>In-Kind Equity</p> <p>a. Land (In-kind equity)</p>	<p>For owned land: Certificate of Land Title</p>	<p>In case when the land was donated or bought by the FCA/FCA Cluster and the transfer of land title is still ongoing, a copy of the Deed of Sale and Deed of Donation may suffice for the business plan approval and should have no encumbrances.</p> <p>Land equity should be valued based on booked value of the lot area that will be used for the proposed subproject</p> <p>If the land is located in the ancestral domain, the valuation of the land will be based on the assessed value of the lot where the subproject will be constructed.</p>
<p>b. Pre-implementation Expenses incurred in the preparation of the business plan package</p>	<p>Official Receipt/ Copy of the transaction in securing of the document</p>	<p>This includes preparation of DED/POW, safeguard costs such as application for ECC/CNC permit, NCIP certification, and other relevant permits/ documents. The value of this in-kind equity is based on the actual costs incurred as reflected in the OR.</p>
<p>c. Labor/Manpower</p>	<p>Names of workers who will provide the labor-in kind</p>	<p>The valuation of the labor expense depends on the existing wage rate in the area</p>

Type of Equity	Document	Remarks
d. Other assets owned by the FCA/FCA Cluster i.e. machineries, equipment, facilities, infrastructure and materials inventory, existing crops, planting materials and biological assets i.e. animal stocks	Latest audited financial statements	Should be valued based on booked value

#### 4.1.1.3 Requirements for Local Government Unit (LGU)

In general, PRDP will partner with the local government units (province, city, municipality) in the implementation of I-REAP subprojects. The general requirements (i.e. signing of MOA) for an LGU to engage in PRDP shall be followed.

The role of the P/C/MLGU in the implementation of the I-REAP subprojects can be categorized into two: a) Implementing Proponent and b) I-REAP SP Partner.

##### As Implementing Proponent

In cases when there are no eligible FCA/FCA Clusters as Implementing Proponent based on the evaluation and eligibility requirements set forth in Table 4-1a and Section 4.1.1.2, respectively, P/C/MLGU may submit a proposal as the implementing proponent. As such, the P/C/MLGU will provide the counterpart fund for the enterprise subproject and will be in-charge in the procurement of civil works and goods for the enterprise. The P/C/MLGU will still follow the process of identifying eligible subprojects stipulated in Section 4.1.2.1 of this Manual, specifically in giving equal opportunity to all stakeholders to submit proposals

The P/C/MLGU must still identify FCA/FCA Cluster to co-manage the enterprise. The operation and management arrangements between the LGU and the FCA/FCA Cluster should be provided in detail in the business plan and should be indicated in the IMA. The LGU may eventually turn-over the ownership of the enterprise to the FCA/FCA Cluster once the enterprise is declared sustainable based on the definition set forth in the IREAP Manual. The LGU shall turn-over the assets and the management of the enterprise through the issuance of the Deed of Donation (DOD). In case that the land where the infra will be constructed is owned by the LGU, this shall not be part of the assets to be turned-over to its partner FCA/FCA Cluster. A separate agreement within the LGU and partner FCA/FCA Cluster (Usufruct) will be executed for the use of land. The conditionalities for the operation and maintenance of the enterprise subproject stipulated in the Implementation Management Agreement (IMA) shall also be carried out in the DOD.

P/C/MLGU that have IBUILD or IREAP subproject funded under OL and AF1 that is still for completion, or an IREAP OL subproject that is declared non-operational (except those rehabilitation/ restoration SPs and pest and disease- stricken) may propose an enterprise subproject. However, it will not be approved until the uncompleted SP is completed, or the non-operational SP has recovered or is declared operational.

The Implementing Proponent LGU will use the following criteria in selecting a FCA/FCA Cluster as co-manager/s of the enterprise subproject.

**Table 4-1 d. Minimum Requirement for FCA/FCA Cluster as the Co-Manager of LGU**

Requirements	Enabling Instruments
Legal personality	Must be registered with CDA/SEC/DOLE for at least one (1) year
	Authenticated copy of latest Articles of Incorporation or Articles of Cooperation and By-Laws and Certificate of Registration
	Certificate of Compliance for CDA registered or Certificate of no Derogatory Record for SEC registered or Certificate of Good Standing for DOLE registered
	Certificate from DA on its registration to the Farmers and Fisherfolk Enterprise Development Information System (FFEDIS) Registry, Pursuant to Section 10 of Republic Act No. 11321 (Sagip Saka Act)
Organizational Capability	Accomplishment Reports and photographs of agri- fishery or related projects undertaken for at least one year, indicating the source of funds for the implementation
	Existing organizational structure and Secretary’s Certificate of Incumbent Officers including their functions
	FCA/FCA Cluster Profile and Members’ Profile (Note: In the farmers profile, members who are registered to RSBSA should be identified by indicating the ID No.)
Financial Capability	Photocopy of Official Receipt (OR) for its financial transactions
	Latest Audited Financial Reports for the past year (one year)
	Can provide funds to finance one year operating capital requirements or working capital for at least two production cycles.
Affidavit of Disclosure	<p>A sworn affidavit of the Secretary of the NGO/PO that none of its incorporators, organizers, directors, or officials is an agent of or related by consanguinity or affinity up to the fourth civil degree to the officials of the government agency authorized to process and/or approve the proposal, the MOA and the release of funds</p> <p>Sworn affidavit of the Secretary of the NGO/PO that none of its officers are employees of the DA or the partner LGU</p>
Value Chain Engagement	Must be engaged in the priority commodity value chain

**As I-REAP Partner**

Regardless of who is the main Implementing Proponent, the P/C/MLGU will remain as a partner of DA-PRDP in the implementation of the Enterprise Development Component. It will play a

vital role in the provision of technical support and assistance to the Implementing FCA/FCA Cluster all throughout the project, from pre-implementation, implementation and until enterprise operations activities. Specifically:

- Provision of technical assistance in the preparation of technical documents (i.e. business plan, DED/POW, safeguards requirements) needed in the approval of the I-REAP subproject.
- Coaching activities to the FCA/FCA cluster in the subproject implementation i.e. opening of trust fund accounts, procurement of civil works and goods, and in the construction supervision and monitoring of civil works. The P/C/MLGU through the I-REAP Component may assign a Procurement Coordinator who will oversee the procurement activities of the FCA/FCA Cluster.
- Assist in securing permits and licenses e.g., site and road right of way (SRROW), social and environmental clearances and certifications (ECC/CNC, NCIP), and water and electric connection, among others. This function will be specifically stated in the IMA.
- Ensure sustainability of I-REAP enterprises by collaborating with DA and other national government agencies in providing business development support services (i.e. technical trainings, market linkaging, credit and insurance linkages, among others) to the FCAs;
- Assign a focal person to monitor the operations of the PRDP supported enterprises. The results of the monitoring activities will be submitted to the RPCO. In cases when the FCA/FCA Cluster is unable to continue operation of the enterprise due to organizational issues, the P/C/MLGU will provide oversight to the FCA/FCA Cluster and direct coaching for the operation of the enterprise, while at the same time providing the necessary support and technical assistance in resolving the organizational problems and/or re-organizing the enterprise management team.

#### **4.1.1.4 Requirements for Private Agribusiness Entity as partners of the Implementing Proponent**

The FCA/FCA cluster may develop and implement productive alliances with the private agribusiness entity (PAE). The PAE, coming from the business sector engaged in the priority commodity value chain, may partner with the implementing proponent for the operation and management of the enterprise who may also provide incremental or parallel investment financing. The criteria for selecting private agribusiness entity partner could include any or combination of the following:

- Identified as a key industry player in the priority commodity value chain
- Committed to enter into a marketing contract or buy back agreement with the FCA/FCA Cluster;
- Willing to undertake technology transfer and provide technical and business support services to the FCA/FCA Cluster;
- Provide parallel investment to the subproject;

The basis of participation of the PAE is the PCIP proposed interventions. Generally, private sectors are expected to complement the proposed interventions with no existing value chain players or stakeholders. Examples include investors or companies willing to put up primary or secondary processing facilities and would require local raw materials (e.g. fermented cacao beans as ingredients for chocolate). Other examples are companies that will add local

investments in product or technology innovations (e.g. coconut fiber as raw material for rubberized mat).

The private agribusiness entity will forge agreement with the implementing proponent, details of which should be identified in the business plan. Private agribusiness entities must submit business model and investment proposals based on the interventions identified in the PCIP indicating the 1) counterparting arrangements between the PAE, FCA/FCA Cluster and/or LGU 2) Who will be the main implementing proponent and 3) Enterprise operational/management arrangements. PAE shall also comply with the following requirements:

- 1) Must be registered under Philippine Laws for at least 5 years (SEC registration as stock corporation with Certificate of Good Standing)
- 2) Proof of financial stability with three years audited financial reports
- 3) Company profile

The partner PAE can provide parallel investment by donating to the implementing proponent. The donation can be in the form of cash and/or in-kind (i.e. equipment, facilities, machineries, infrastructure). The donated assets can be used as part of the FCA/FCA Cluster's in-kind equity to the proposed enterprise subproject. The investment of the PAEs will only be part of the FCA/FCA Cluster's equity once a Deed of Donation is executed. An investment which is not donated (still owned by PAEs) will be treated as an incremental investment (on top of the total investment cost) to the subproject.

#### **4.1.2 Implementation Procedures and Process**

With PRDP Scale-Up, the Provincial Commodity Investment Plan (PCIP) remains to be the strategic plan that is the basis for identifying the catalytic interventions and investments. I-REAP Subprojects are aligned to the findings of the VCA and priority interventions identified in the PCIP.

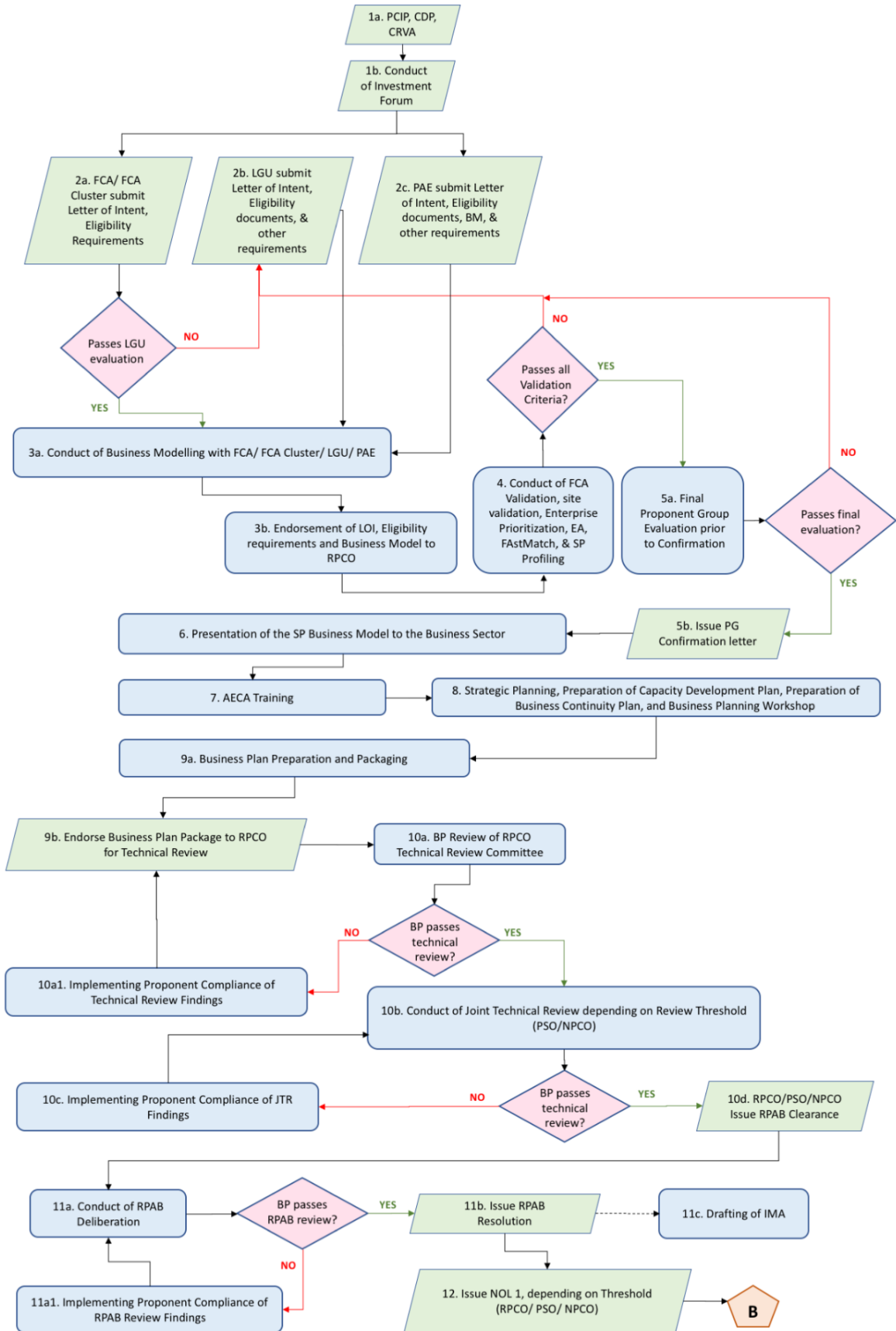
The enhanced PCIP prepared under I-PLAN with the involvement of I-BUILD and I-REAP will identify priority commodities, product segments/enterprises and select key stakeholders that could be supported and funded under I-REAP in each province. Refer to I-PLAN Operations Manual for the enhanced PCIP preparation process.

The PCIP is a strategic plan that rationalizes the interventions within the various segments of the value chain of commodities that are of significance to the province and that will contribute to the national goals of the agriculture and fishery sector. It is a three-year rolling consensus-based plan between the DA and LGU based on the value chain analyses of these commodities conducted with strong participation of the various stakeholders. The PCIP will be the basis in identifying possible enterprises in which a province decides to make a package of investments that the DA will provide assistance, with adequate counterpart from the LGU.

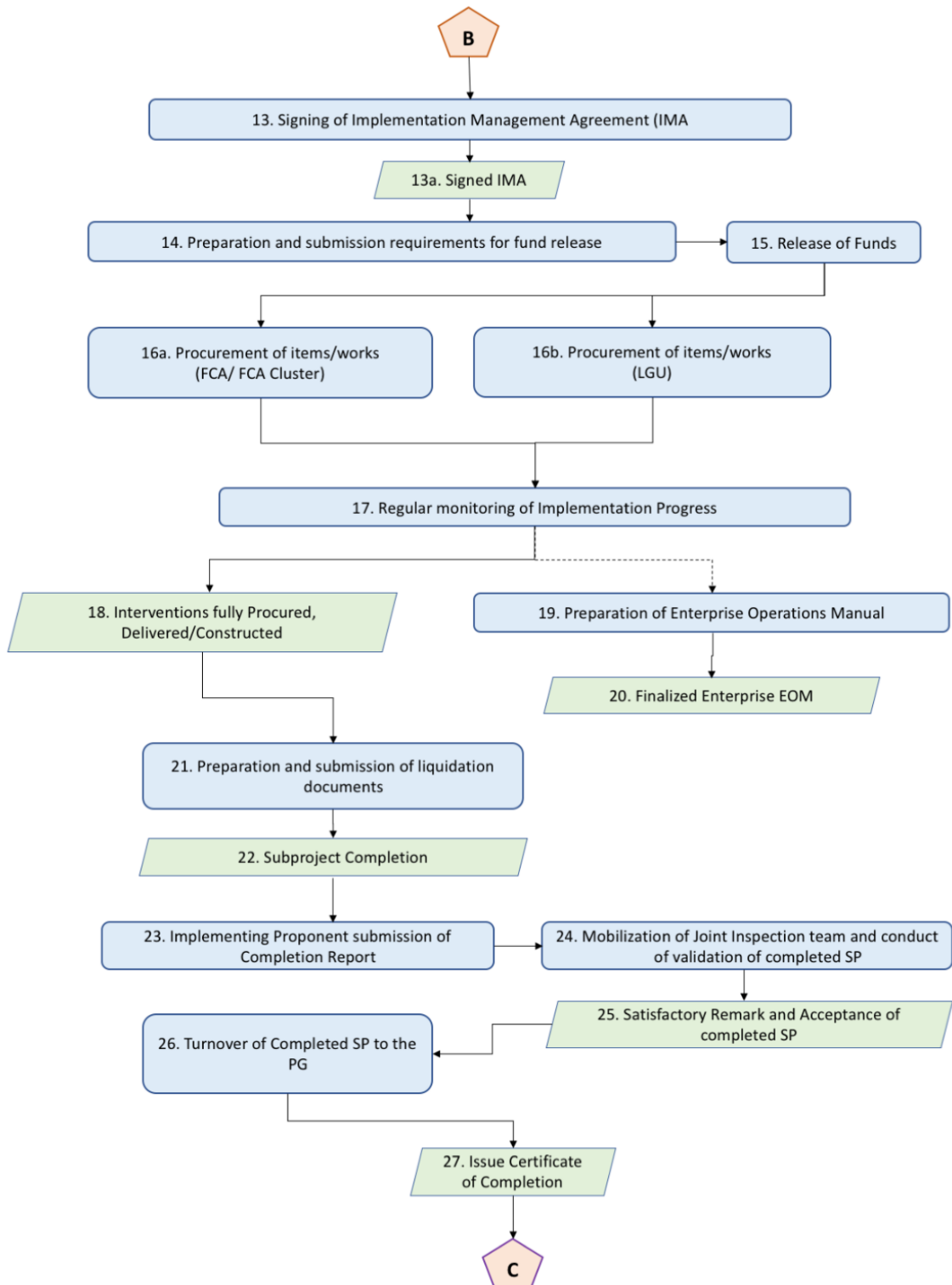
In support of the F2C2 Program, I-REAP will now be also utilizing the Cluster Development Plan (CDP) as reference in identification of priority interventions provided that they are aligned in the PCIP. CDP is the masterplan for the growth and development of the cluster through its business enterprise. It is a comprehensive, long-term plan that addresses the clusters' needs for marketing; improvement in productivity, operation, and organization development; financing; and sustainability. The end goal of the CDP is to develop clusters into commercially viable cluster business enterprises which will result in increasing income of its members and a dynamic cluster which progressively contributes to the development of the local value chain.

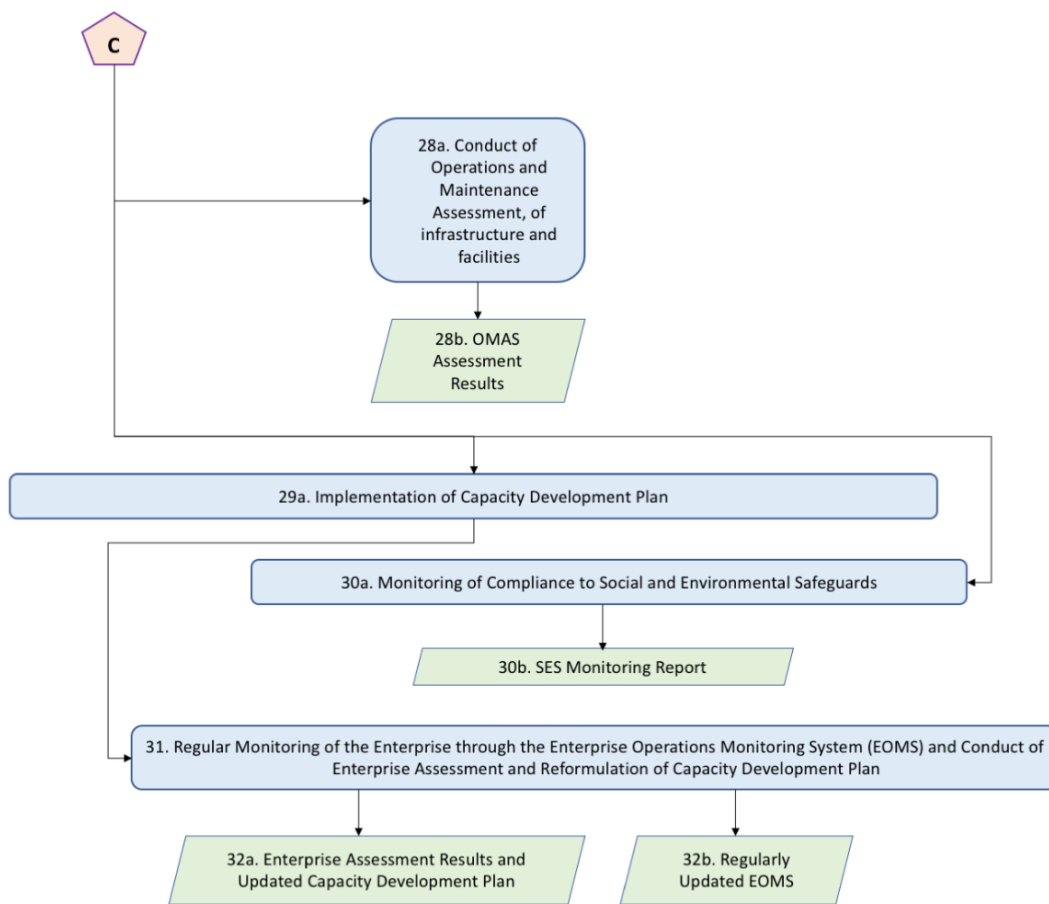
The following Figures (Figure 4-1a, 4-1b, 4-1c, 4-1d) present the schematic diagram for the implementation of an I-REAP Subproject.

**Figure 4- 1a, 1b, & 1c. Process Flow for I-REAP Implementation: Sub-component 3.1**









#### 4.1.2.1 Pre-implementation Process

The pre-implementation process showing the responsible entities/units and the step-by step procedures for the implementation of I-REAP enterprises/subprojects is summarized in Table 4-2.

**Table 4-2 Subproject Procedures, Activities, Tools, Outputs and Responsibility Center**

Step	Procedures / Activity	Working Days	Tools	Input	Output	Responsibility Center
1. Subproject Identification	Identification of priority commodities in the province and corresponding needed interventions.  The P/C/MLGU will invite FCA/ FCA Cluster	1		VCA, CRVA, Enhanced PCIP/CCIP, EVSA, Cluster Development Plans (CDP)	List of potential enterprises with details and proposed list of needed interventions	P/C/MLGU

Step	Procedures / Activity	Working Days	Tools	Input	Output	Responsibility Center
	<p>and Private Agribusiness Entities to undertake the needed interventions in the PCIP or Cluster Development Plans (CDP), provided that these are aligned with the PCIP, through an investment forum or call for proposals</p>					
<p>2. Submission of Letter of Intent, Eligibility Requirements (FCA/ FCA Cluster/ LGU/ PAE)</p>	<p>The FCA/FCA Cluster will submit Letter of Intent (LOI) to the LGU together with the minimum required eligibility requirements.</p> <p>In cases when there is no eligible FCA/FCA cluster as implementing proponent, the P/C/MLGU may submit the Letter of Intent to the RPCO as implementing proponent as well as the eligibility requirements of the co-</p>	<p>7</p>	<p>Eligibility Requirements (Table 4-1a; Table 4-1c)</p> <p>Letter of Intent (LOI) (template in Annex 6)</p>	<p>VCA, PCIP, EVSA, CDP, and CRVA</p> <p>Proposed enterprise details and proposed list of needed interventions</p>	<p>Letter of Intent, Eligibility Requirements ,</p> <p>List of Qualified FCA/FCA Clusters based on the evaluation of eligibility requirements</p> <p>P/C/MLGU Certification (template in Annex 8)</p>	<p>P/C/MLGU; FCA/FCA Cluster; Private Agribusiness Entity</p>

Step	Procedures / Activity	Working Days	Tools	Input	Output	Responsibility Center
	<p>managing FCA/ FCA cluster.</p> <p>The PAE may initiate the proposal development (or identification of subproject) but it will partner with an LGU, FCA, or FCA cluster by entering into a productive partnership arrangement. Interested PAE shall submit a Letter of Intent (LOI) with the statement of compliance on the eligibility criteria. The PAE shall indicate whether it is proposing to partner with a FCA/FCA Cluster or the LGU.</p>					
3. FCA/FCA Cluster/ LGU/ PAE Business Modelling	Development of the business model of the proposed enterprise subproject.	3	Guide Question for Business Model Formulation / Information Gathering (See Annex 7)	Proposed enterprise details and proposed list of needed interventions	Business Model	<p>Lead: Implementing Proponent (P/C/M LGU or FCA/FCA Cluster)</p> <p>Support: RPCO, Private</p>

Step	Procedures / Activity	Working Days	Tools	Input	Output	Responsibility Center
						Agribusiness Entity
4. Conduct of Validation and Assessment	<p>Conduct of Validation on the qualifications and capability of the Implementing Proponent.</p> <p>Conduct of enterprise prioritization</p> <p>Conduct of Enterprise and Training Needs Assessment to FCAs</p> <p>Conduct of Financing Assessment and Matching (FAstMatch)</p> <p>Site Validation for the Civil Works Component</p> <p>Social Inclusiveness Assessment</p>	6	<p>Validation Process and Scoring Sheet (Annex 9);</p> <p>Training Needs Assessment (Appendix 1-C),</p> <p>Financing Assessment and Matching Toolkit (Appendix 1-D)</p> <p>I-BUILD Subproject Validation Report template (see template at Annex 10);</p> <p>ESMF Social Inclusiveness Scoring System for FCA/ FCA cluster Seeking I-REAP</p>	<p>Enterprise Assessment Data and Training Needs Assessment Data; Social Inclusiveness Scoring Results; Financial Management and Matching Data</p>	<p>I-REAP Validation report</p> <p>Enterprise Assessment Result and Training Needs Assessment</p> <p>Report I-BUILD Validation Report</p> <p>Social Inclusiveness Scoring Result</p> <p>Enterprise Prioritization Report</p> <p>Financial Assessment and Matching Report</p>	<p>Lead: RPCO</p> <p>Support: P/C/MLGU PSO</p>

Step	Procedures / Activity	Working Days	Tools	Input	Output	Responsibility Center
			Funding (Annex 11);  Enterprise Assessment Tool (Appendix 1-A)			
5. Confirmation of the Implementing Proponent	Conduct of final validation and confirmation of the Implementing Proponent	2	Validation Report	Validation Report, Enterprise Assessment Result and Training needs	Confirmation letter	Lead: PSO Support: RPCO
6. Presentation of SP Business Model to the Business Sector	Conduct of an activity to present the SP Business model to the business sector	1	Business Model  Activity design	Business Model	Access capital and engagement with investors and prospective partners to increase potential	Lead: PSO Support: RPCO
7. Agro-Enterprise Clustering Approach Training	A subproject involving FCA clusters (as Implementing Proponent or Co-manager of LGU) will undergo training on Agro-Enterprise Clustering Approach (AECA) Steps 1-3.	5	AECA Module	Cluster Data on supply and production plan, Agro-Enterprise Objective	Action Plan as inputs to the Draft Business Plan	Lead: Support:

Step	Procedures / Activity	Working Days	Tools	Input	Output	Responsibility Center
8. Strategic Planning, Preparation of Capacity Development Plan, Business Continuity Plan and Business Planning Workshop	<p>Conduct of Enterprise Assessment</p> <p>Workshop on the preparation of the Capacity Development Plan and Business Continuity Plan</p> <p>Orientation of the FCA/ FCA cluster on the documentary requirements for an I-REAP subprojects such as business plan outline, infrastructure requirements, SES geotagging, etc.</p> <p>Initial drafting of the Business Plan.</p>	15	<p>ESMF Social Inclusiveness Scoring System for FCA/ FCA cluster Seeking I-REAP Funding (Annex 11);</p> <p>Capacity Development Plan (Appendix 1-F)</p> <p>Business Continuity Plan Template (Annex 12)</p> <p>Checklist of requirements (Annex 13)</p> <p>Annotated Business Plan Outline (Appendix 2-A)</p> <p>Guidelines in the Preparation of FA for IREAP SPs (Appendix 2-B)</p> <p>Environmental and Social Safeguards Screening Form of</p>	VCA, PCIP, e-VSA, Form 1	<p>Enterprise Assessment Results</p> <p>Capacity Development Plan</p> <p>Business Continuity Plan</p> <p>Draft Business Plan</p> <p>Action Plan (AECA Training)</p>	<p>Lead: RPCO</p> <p>Support: PSO, Implementing Proponent</p>

Step	Procedures / Activity	Working Days	Tools	Input	Output	Responsibility Center
			Subprojects( Annex 11)			
9. Business Plan Preparation and Packaging	<p>Conduct of all activities needed to comply with the documentary requirements for an I-REAP subproject</p> <p>Preparation of the detailed engineering design (DED) and program of works (POW) for the infrastructure component</p> <p>Writing of the business plan</p> <p>Conduct of consultation (FCA/ FCA cluster farmer members and community), environmental and social screening of proposed subproject, and other</p>	55	<p>Annotated Business plan Outline (Appendix 2-A);</p> <p>Guidelines for the Preparation of Financial Analysis of I-REAP Subprojects under the PRDP Scale Up (Appendix 2-B)</p> <p>VCA;</p> <p>AGT DA-PRDP GeoCamera;</p> <p>ESMF Screening Form (Annex 11);</p> <p>Environmental and Social Management Plan (ESMP) (Annexes 14-20);</p>	Draft Business Plan Technical and Financial Assumptions Baseline Data	Draft BP including attachments and requirements, DED/POW, ESMP and other SES Requirement, Procurement Plan, Work and Financial Plan, Geotagged photos and polygons	<p>Lead: Implementing Proponent</p> <p>Support: RPCO Components and Units</p>



Step	Procedures / Activity	Working Days	Tools	Input	Output	Responsibility Center
	<p>safeguards activities</p> <p>Conduct of site geotagging activities</p>		I-BUILD Operations Manual			
10a. RPCO Technical Review	Conduct of technical review with the commodity and industry experts and private sector partner/s to determine the technical, market and financial feasibility of the subproject	1	Sample Subproject Proposal Appraisal or Evaluation Form (Annex 21)	Draft business plan package including all documentary requirements	Subproject Technical Review Report signed by all reviewers and approved by the RPCO Director	<p>Lead: RPCO Technical Review Committee</p> <p>Support: RPCO Components and Units</p>
10b. Conduct of Joint Technical Review (JTR) for Issuance of Clearance for RPAB Deliberation	<p>Conduct of joint technical review with all reviewing components and units depending on the JTR threshold.</p> <p>Technical Review of I-REAP Civil Works will depend on the RPCO, PSO and NPCO NOL 1 threshold. However, if the lower level office requests for technical assistance then it shall be provided by</p>	2	Business Plan Review Tracking Form/Form 2A (Annex 22), Business Plan Clearance Form/ Form 2B (Annex 23)	Endorsed business plan package including all documentary requirements	<p>Filled out Business Plan Review Tracking Form/Form 2A showing business plan aspects still need to be complied</p> <p>Filled out Form 2B stating clearance/non clearance for RPAB deliberation</p>	<p>Lead: Depends on the JTR threshold of RPCO, PSO, NPCO</p> <p>Support: All NPCO/PSO Components and Units RPCO Components and Units, depending on JTR threshold</p>

Step	Procedures / Activity	Working Days	Tools	Input	Output	Responsibility Center
	the higher level office.					
10c. Compliance of Technical Findings and Compliance Review	<p>Issuance of Clearance for endorsement of the proposed subproject to RPAB.</p> <p>Compliance review for civil works will be based on the RPCO, PSO, NPCO threshold.</p>	2	<p>Business Plan Review Tracking Form/ Form 2A (Annex 22), Business Plan Clearance Form/ Form 2B (Annex 23)</p>	Form 2A/ Result of the JTR	<p>Form 2A input with compliance to all technical findings/ comments</p> <p>Form 2B Clearance for RPAB Deliberation</p>	<p>Lead: NPCO/PSO I-REAP</p> <p>Support: All NPCO/PSO Components and Units</p> <p>RPCO Components and Units</p>
11. RPAB Approval	Approval of the BP	1		Final packaged Business Plan	RPAB Resolution	RPCO
12. NOL 1 Issuance	Issuance of no objection for the subproject funding and commencement of procurement and subproject implementation	1		Final packaged business plan including all documentary requirements	NOL 1	Lead: Depends on the threshold of RPCO, PSO, NPCO, and WB

Step	Procedures / Activity	Working Days	Tools	Input	Output	Responsibility Center
13. Signing of the IMA among PSO, RPCO, P/C/MLGU, and FCA/FCA Cluster	Upon issuance of NOL, the PSO shall facilitate the signing of the Implementation Management Agreement (IMA) between the PSO, RPCO, P/C/MLGU and the FCA/FCA Cluster.	1	IMA Template (Annex 24)	Draft IMA	Draft IMA	RPCO

The estimated total number of working days to complete the whole process from enterprise identification to NOL Issuance is 100 working days or approximately 4 months.

### Step 1: Subproject Identification

The interventions identified in the commodity VCAs as translated in the PCIPs or CCIPs (in the case of chartered cities) will be the basis in identifying enterprise subprojects. In addition, the CDPs will also be used as bases, provided that the commodity has a VCA and is included in the PCIP. In cases when the intervention identified in the CDPs of the F2C2 supported cluster group/s is not in the PCIP, the RPCO will request the province to update the PCIP to include the proposed intervention/s. The Climate Risk and Vulnerability Assessment (CRVA) data will also be considered in the identification of appropriate interventions. Further, as an output of the IPLAN's regional perspective planning, the multicommodity and interprovincial investment areas will also be taken into consideration in identifying potential I-REAP subprojects.

The PPMIU with the technical assistance from the RPCO, will conduct an **Investment Forum** or issue a call for proposals to value chain industry players i.e. the FCAs/ FCA Clusters and Private Agribusiness Entities (PAEs), financing institutions, and other business support providers engaged to the priority commodities included in the PCIP. The RPCO I-PLAN and I-REAP will assist the PPMIU in the conduct of the investment forum.

### Step 2a. Submission of Letter of Intent and Eligibility Requirements to the LGU by the FCA/FCA Cluster (including Lead FCA) as Implementing Proponent

Interested FCA/FCA Cluster shall submit a Letter of Intent (LOI) (template in Annex 6) with the statement of compliance on the eligibility criteria together with the eligibility requirements identified in Table 4-1a and Section 4.1.1.2, respectively, to the M/C/PPMIU addressed to the Local Chief Executive.

The M/C/PPMIU will conduct evaluation of documents submitted by the FCAs/ FCA Clusters using the following criteria:

- The proposed SP is within the PCIP
- Complete, correct and updated eligibility documents (based on Table 4-1a for FCA, Section 4.1.1.2 for FCA Cluster and Table 4-1b for Lead FCA)
- Initial Business Model (if available)

Upon evaluation, the M/C/PPMIU will issue Certification that the proposed subproject is within the PCIP and the interested FCA/FCA Cluster has passed the initial assessment and the Implementing Proponent FCA (or Lead FCA, in case of cluster) has the technical, financial and organizational capability to implement the proposed subproject (Annex 8). If needed, the M/C/PPMIU may conduct further investigation on the qualification of the interested FCA/FCA Cluster prior to the issuance of the certification.

### **Step 2b. Submission of Letter of Intent by the LGU as Implementing Proponent and the Eligibility Requirements of FCA/ FCA Cluster as Co-Manager**

In cases when there is no eligible FCA/FCA cluster as implementing proponent, the P/C/MLGU may submit the Letter of Intent to the RPCO as implementing proponent. The P/C/MLGU should meet the criteria stipulated in Section 4.1.1.3 as Implementing Proponent. It shall also submit the eligibility requirements of the partner FCA/FCA cluster stipulated in Table 4-1c, as co-manager in the operation of the proposed enterprise subproject. Likewise, it shall also submit the result of evaluation and the justification that there is no eligible FCA/FCA Cluster to implement the subproject.

### **Step 2c. Submission of Letter of Intent and Eligibility Requirements to the LGU by the Private Agribusiness Entity as partner of the Implementing Proponent**

Section 4.1.1.4 stated the requirements for engaging the business sector or the Private agribusiness entity (PAE) in the proposed I-REAP subproject. The PAE may initiate the proposal development (or identification of subproject) but it will partner with an LGU, FCA, or FCA cluster by entering into productive partnership arrangement (e.g., marketing contract, joint venture agreement, management contract). The PAE should be willing to enter into a marketing contract or buy-back agreement with the partner FCA/FCA cluster. It may also provide cash and/or in-kind investments (i.e equipment, facilities, or infrastructures) to the subproject. In this case, the PRDP financing grant will be given to the partner LGU or FCA/FCA cluster and will follow the counterpart scheme indicated in Section 5 on Financial Management.

Interested PAE shall submit a Letter of Intent (LOI) with the statement of compliance on the eligibility criteria set forth in Section 4.1.1.4, addressed to the Local Chief Executive. The PAE shall indicate whether it is proposing to partner with a FCA/FCA Cluster or the LGU.

### **Step 3. Conduct of Business Modelling for the Proposed Subproject**

An FCA/FCA cluster that passed the eligibility screening conducted by the M/C/PPMIU shall conduct a Business Modelling workshop together with the partner PAE (as applicable). Likewise, if the implementing proponent is the P/C/MLGU, it shall conduct a Business Modelling workshop with the partner FCA/FCA cluster and partner PAE (as applicable). On the other hand, if the PAE is already identified at the start of the process, then the PAE shall be included in the business modelling workshop. The RPCO may provide technical assistance in the execution of this activity.

The business model will be captured in 1 to 3 pages that will cover the hereunder key questions (See also Annex 7):

1. What is the product or services that could be offered by the enterprise?
2. Who are the users (Farmers) or direct beneficiaries of the enterprise? Who are the buyers? (identified market)
3. What are the problems and gaps that the enterprise will address? What are the opportunities that the enterprise will take advantage of?
4. What is the unique selling proposition?
5. Who are the business partners? (horizontal and vertical linkages)
6. What are the costs involved?
7. What are the revenues to be generated from the business? (comparison between with or without PRDP interventions)
8. How can the farmers earn from the enterprise?
9. How will the enterprise adapt the clustering?
10. How will the enterprise adapt climate resilient mechanisms?
11. How will the enterprise encourage women participation?

Upon completion of the business model, the M/C/PPMIU shall endorse the letter of intent including eligibility requirements, result of evaluation or eligibility screening of the FCA/FCA Cluster, and business model to the RPCO for the conduct of the validation.

#### **Step 4. Conduct of Subproject Validation and Assessment**

The RPCO shall validate the qualifications of the Implementing Proponent (i.e. FCA/FCA Cluster including Lead FCA, or LGU) and partner PAE (if applicable) including the proposed subproject site. At this stage, the RPCO I-REAP, I-PLAN, I-BUILD, GGU and SES, with the support of other units, may conduct their respective validation activities either simultaneously or individually. The RPCO I-REAP will follow the procedures for validation stipulated in Annex 9 of this OM.

##### **Step 4a. Validation of the Implementing Proponent**

The RPCO I-REAP shall conduct validation on the eligibility of the Implementing Proponent based on the criteria and parameters stipulated in Section 4.1.1 of this OM. It shall confirm the screening process done by the P/C/MLGU to come up with the endorsement of the implementing proponent.

##### **a. Assessment of FCA/Lead FCA (in case of Cluster) as Implementing Proponent**

An FCA/Lead FCA (in case of cluster) proposing for I-REAP funding will be validated using the criteria or parameters and score sheet provided in Table 4-3, which is also found in Annex 9. This table will determine the qualification and capability of the FCA/Lead FCA in the implementation of the I-REAP subproject including financial and procurement management.

**Table 4-3 Validation Criteria on the Capability of FCA/ Lead FCA (in case of Cluster) as Implementing Proponent**

Criteria	Indicator	Scoring Guide
1. Readiness to engage in the priority commodity value chain– 5 POINTS	FCA engagement at various segments of the value chain (horizontal and vertical linkages)	<p>HIGH = more than 3 linkages with producers groups and value chain players (5 POINTS)</p> <p>MEDIUM = has 2 to 3 linkages with producers groups and value chain players (3-4 POINTS)</p> <p>LOW = has 1 linkage with producers groups and value chain players (1-2 POINTS)</p>
2. Open to investment and provide equity (in cash or in kind) – 5 POINTS	Value of investment/ equity offered	<p>HIGH = above 30% of the estimated total investment cost (5 POINTS)</p> <p>MEDIUM = above 20% up to 30% of the estimated total investment cost (3-4 POINTS)</p> <p>LOW = 20% of the estimated total investment cost (1-2 POINTS)</p>
3. Engages the most number of producers – 5 POINTS	Percentage of participating farmers or producers	<p>HIGH = more than 50% of members are producing the priority commodity (5 POINTS)</p> <p>MEDIUM = 30% to 50% of the members are producing the priority commodity (3-4 POINTS)</p> <p>LOW = less than 30% of the members are producing the priority commodity (1-2 POINTS)</p>
4. With established market linkage/ formal marketing agreements/ transactions with institutional buyers of products/ commodity indicated in the proposed	No. of regular/ institutional buyers with formal marketing agreements/ continuing transactions	<p>HIGH = more than 3 linkages/ contracts/ continuing transactions with institutional market/ regular buyers (5 POINTS)</p> <p>MEDIUM = has 2 to 3 linkages/ contracts/ continuing transactions with institutional market/ regular buyers (3-4 POINTS)</p> <p>LOW = has 1 linkages/ contracts/ continuing transactions with</p>

Criteria	Indicator	Scoring Guide
enterprise - 5 POINTS		institutional market/ regular buyers (1-2 POINTS)
5. Engages/Promotes Participation of Women - 5 POINTS	Percentage of women engaged in the enterprise	<p>HIGH = more than 50% of the members are women (5 POINTS)</p> <p>MEDIUM = 30% to 50% of the members are women (3-4 POINTS)</p> <p>LOW = less than 30% of the members are women (1-2 POINTS)</p>
6. *Performance on completed projects with government –5 POINTS	Performance in completed contracts with government	<p>HIGH = 81% to 100% of the completed contracts with government are operational/ functional (5 POINTS)</p> <p>MEDIUM = 50% to 80% of the completed with government are operational/ functional (3-4 POINTS)</p> <p>LOW = less than 50% of the completed contracts with government are operational/ functional (1-2 POINTS)</p>
7. * Procurement experience for government projects or other related experience in procuring goods and civil works and with existing procurement structure or committee (5 POINTS)	Experience in procuring goods and/or civil works on government projects or other related experience in procuring goods and works and with existing procurement structure or committee	<p>HIGH = with procurement experience for government projects and other related experience in procuring goods and works and with existing procurement structure or committee (5 POINTS)</p> <p>MEDIUM = without procurement experience for government projects but with existing procurement structure or committee and experience in procuring related/ similar goods and works (3-4 POINTS)</p> <p>LOW = without experience in procuring related/ similar goods and</p>

Criteria	Indicator	Scoring Guide
		works but with existing procurement structure or committee (1-2 POINTS)

\*The maximum score points for this evaluation table is 35 points. If criterion Number 6 or 7 does not apply to the FCA/Lead FCA being evaluated, the rating for other criteria should be prorated to reach 35 points (criteria 1 = 6 points, criteria 2 = 6 points, criteria 3 = 6 points, criteria 9 =6 points). In case only one Criterion is not applicable, the following rating will apply: criteria 1 = 7 points, criteria 2 = 7 points, criteria 3 = 7 points, criteria 7 = 6 points, and criteria 9 =6 points).

The minimum passing score is 25 POINTS equivalent to 70%.

In addition to the abovementioned qualification, an FCA proposing for civil works must have the capacity to shoulder the costs for the detailed engineering design, structural analysis and other infrastructure related analyses as well as the hiring of Project Engineer to supervise the construction of the civil works.

**b. PRDP Supported Proponent Group or FCA of Micro-Enterprise Subproject for Second Phase Funding and Cluster PG member of a Completed OL/ AF2 PRDP I-REAP Subproject**

FCA of existing PRDP supported micro-enterprise subproject needing second phase funding for the upgrading or scaling up of its operations and a cluster member FCA of a completed OL/AF2 cluster-based subproject may submit proposal provided it meets following criteria:

- a Micro-enterprise subproject operating for at least two years after completion and turn-over of the first SP (not applicable for cluster member FCA)
- With positive income statement for the last two (2) years (Audited)
- Proves to be sustainable through linkage with market
- Subproject is aligned or with PCIP
- The target increase in income of farmer beneficiaries from the previous SP was met
- Increase new farmer beneficiaries by at least 20%

The eligible investment for funding under this category is primarily on the goods and/ or infrastructure to support its operation.

**Step 4b. Conduct of Enterprise Prioritization**

The RPCO shall conduct screening or initial evaluation of the subproject eligibility for PRDP Scale-up. The draft business model for the proposed subproject will be assessed by the RPCO using the criteria set in Part VII of Annex 9 to ensure that the subproject(s) are aligned to the design of PRDP Scale-up. Subprojects obtaining the highest rank shall be prioritized to avail of funding under PRDP I-REAP.

The criteria that will be followed in the prioritization of subproject are as follows:



1. Importance of the product segment/enterprise in the local economy (30 points)
  - No. of producers/FCAs involved in the subproject
  - No. of municipalities involved in producing the raw materials
  - No. of jobs (direct and indirect) to be generated
2. Market Potential (30 points)
  - Potential for value addition (based on the no. of product forms)
  - Strong domestic and/or international demand for the product
  - Identified industrial or commercial buyer with potential for supply/marketing contract
3. Resource base (20 points)
  - Production area
  - Production volume
4. Climate resiliency and innovation (10 points)
  - Adapt Climate Smart and Resilient Agriculture
  - Use of innovative technology
5. Productive Partnership (10 points)
  - Involvement of private agribusiness entity (PAE)

#### **Step 4c. Conduct of Enterprise and Training Needs Assessment to FCAs**

The RPCO shall conduct enterprise assessment to all FCAs involved in the proposed subproject, regardless of the identified implementing proponent. For instance, all FCA cluster members and the FCA Co-Manager will also be subjected to the assessment, using the Enterprise Assessment tool (EAT) (See Appendix 1-A) . The assessment will be done on-site through interviews of key officers and management staff. The interview may be done individually or through a canned group or focused group discussion (FGD) based on the enterprise component.

The said tool digs deeper into six (6) business aspects such as organization and administration, enterprise operation, financial management, marketing, sustainability and inclusivity. The proponent group scores itself from 0 to 5 ( 0- Non-compliance, 1- Needs Improvement, 2- Needs Slight Improvement, 3- Good, 4- Very Good and 5- Excellent). The average scores will rate as Satisfactory- 80% and above, Moderately Satisfactory- 60%-79% and Needs Improvement- 59% and below. Appendix 1 of this operations manual provides the guidelines on how to use all the enterprise operations assessment tools.

Simultaneously, a Training Needs Assessment (TNA) will be done to determine the gaps in the knowledge and skills of the officers and members of the FCA/FCA Cluster that is related to the operation of the proposed subproject. The result of the TNA will be incorporated in the Capacity Development Plan that will be prepared later on by the implementing proponent. The TNA tool is presented in Appendix 1-C.

#### **Step 4d. Conduct of Financing Assessment and Matching (FAstMatch)**

As part of the Scale-Up process of I-REAP, the RPCO shall also conduct the financing assessment and matching (FAstMatch) to the FCA/FCA Cluster using the Financing Assessment and Matching (FAstMatch) Toolkit (see Appendix 1-D). The Assessment Tool will provide information on the ability/capability of the enterprises/cooperatives in accessing the lending programs of the government/private banks. It covers the key aspects of the assessment, i.e., organization, finance and marketing criterion. For each of the statements, the assessor will need to consider

if the organization is in line with the set criteria of the lending institutions. By the end of this assessment, the project will be able to identify the financing readiness of the enterprise/s and cooperative/s.

The Financing Matching Toolkit will document the profile of the SMEs, its financial and marketing capability and match it with the different programs of the financial institution for possible financing. The Project proposal will also form part of the assessment. Results of the Assessment may allow linkage of qualified FCA to FIs (such as Development Bank of the Philippines) for their financial requirements i.e. equity and enterprise operations and management. If not qualified, the result of the assessment will be included as reference in developing the Capacity Development Plan.

#### **Step 4e. Endorsement of the Validation Result by the RPCO to the PSO**

The RPCO shall endorse the result of validation and assessment using the FCA/ FCA cluster validation (Part VIII of Annex 9) together with the result of the enterprise assessment Appendix 1-B and FAstMatch (Appendix 1-D), to the PSO for final validation and confirmation. For existing PRDP supported enterprises (i.e. those proposing for upgrading/expansion), the validation process will be replaced with the results of the enterprise operations monitoring and the results of the enterprise assessment and Capacity Development Plan which was previously crafted.

Similar to the EAT and the TNA, the result of these tools will be used in the preparation of the Capacity Development (CapDev) Plan that will be prepared later on by the implementing proponent.

#### **Step 4f. Site Validation for the Civil Works Component**

For proposed subprojects with infrastructure components, representative/s from RPCO I- BUILD shall conduct site validation aiming to describe in detail the present physical condition of the proposed site, its distance and accessibility, source of construction materials, environmental issues, R.O.W. problems, and the interest of the local community/beneficiaries in general, as well as gathering initial estimates on infrastructure/s. This shall be done in accordance with the I-BUILD validation methodology as stated in the I-BUILD Operations Manual Sections 2.10 and 6.6.2 with adjustments as deemed necessary by the validating staff in connection with the diversity of proposed I-REAP infrastructures. A validation report on the said activity shall be submitted by the validating team (template at Annex 10).

#### **Step 5g. Social Inclusiveness Assessment**

For SES, the conduct of meaningful consultations and a separate IP Community Campaign (if required) should be done by the FCA/FCA Cluster with assistance of LGU and RPCO SES. In addition, the LGU SES shall conduct the Social Inclusiveness Scoring System for FCAs/ FCA clusters seeking I-REAP funding with the validation of RPCO SES to determine the degree of social inclusiveness of the subproject proposal following the procedures stated in and data collection template of Annex 11.

### **Step 5: Confirmation of the Implementing Proponent**

The PSO shall issue confirmation on the eligibility of the Implementing Proponent for PRDP funding based on the Validation documents submitted by the RPCO. It shall issue a Confirmation Letter addressed to the RPCO which shall endorse the same to the P/C/MLGU or the FCA/ FCA cluster as qualified Implementing Proponent. The PSO may conduct field investigation as warranted in the issuance of the confirmation.

#### **Step 6: Presentation of SP Business Model to the Business Sector**

After the confirmation of the SP by the PSO, the PSOs shall conduct an activity to bring together business entities and other ecosystem stakeholders for the PRDP implementing proponent to present their respective business models. This will create an avenue for the implementing proponent to access capital and engage with investors and prospective partners to increase potential deal flow. This activity will be specifically conducted for SPs that have not identified PAE partners yet.

#### **Step 7. Agro-Enterprise Clustering Approach Training**

A subproject involving FCA clusters (as Implementing Proponent or Co-manager of LGU) will undergo training on Agro-Enterprise Clustering Approach (AECA) Steps 1-3 to capacitate the cluster towards collective marketing. AECA is an agro-entrepreneurship tool introduced by Jollibee Group Foundation (JGF) which highlights the collective and clustering approach of the farmers and provides a perspective of farming and agri-fishery activities as a business.

Specifically, the step 1 of the AECA Module focuses on the formation of the working groups and basic clusters that would be engaged in the subproject proposal. For step 2, the creation of a production module and cluster supply plan to be committed by the clusters will become the basis and data input to the business plan. On step 3, the Agro-enterprise (AE) Objective shall be developed from the gathered marketing study and value chain mapping. These steps shall be prerequisite to the steps 4–8 of the AECA module which involves the preparation of the Business Plan and its application, validation and improvement.

The output of the AECA Training will serve as an input to the business plan.

#### **Step 8: Strategic Planning, Preparation of Capacity Development Plan, Business Continuity Plan and Business Planning Workshop**

A strategic planning and business planning workshop shall be conducted by the RPCO supported by the PSO. M/C/PPMIU shall support the RPCO and the PSO in the conduct of the activity.

##### **Step 8a: Conduct of Strategic Planning**

As an input to the business plan, a Capacity Development Plan (CapDev Plan) and Business Continuity Plan (BCP) will be prepared by the FCA/ FCA cluster with the assistance of the RPCO and the M/C/PPMIU. This will be done through a strategic planning workshop which may be continued while the business plan is being prepared and packaged.

Strategic planning is done by an organization when: a) looking at new markets to enter; b) planning growth and overall business strategy; c) dealing with competitors; d) creating action plans; e) choosing between different strategic investments; f) predicting uncertainty in the future; and g) Undertaking strategic planning before the preparation of the capacity

development will help the enterprise to be more realistic in setting-up plans and targets. Strategic planning will be done using internal and external assessment or what is commonly called SWOT analysis. The Strategic planning tool is presented in Appendix 1-E.

### **8a.1 Preparation of the 3-Year Capacity Development Plan**

The result of the enterprise assessment, training needs assessment, financing assessment and matching, the SWOT analysis and BCP will be processed and analyzed to come up with the Capacity Development Plan (CapDev Plan). The CapDev plan will serve as the strategic plan of the enterprise that will identify needed interventions to ensure continuity and sustainability. The template for the preparation of the 3-year Capacity Development Plan is presented in Appendix 1-F. Capability building or training programs for enterprises in Appendix 1-G while potential business development providers are presented in Appendix 1-H.

### **8a.2 Conduct of Enterprise's Business Continuity Plan (BCP)**

To make the enterprise more resilient, a more in-depth disaster and risk assessment will be done using the Business Continuity Tools (See Annex 12 for the BCP Template). The business continuity strategies and activities identified using the BCP tools will then be incorporated in the CapDev Plan and Business Plan under the Sustainability Mechanism Section.

To determine the risk and hazards that the proposed subproject may encounter, the conduct of the business continuity planning workshop will be done through the technical assistance of the P/C/MLGU and RPCO/PSO and/or NPCO. The said activity will have two parts: (1) understanding disaster risk reduction and management (DRRM) and (2) development of a business continuity plan (BCP).

During the conduct of the BCP workshop, the P/C/MLGU may provide the hazards map in the area and their DRRM Plan to the proponent group as references in the identification of different risks and hazards (natural or human-induced) such as typhoons, earthquakes, fire, volcanic eruption, etc. that the proposed subproject will be vulnerable of or will be exposed to. The proponent group's experiences may also be an input in the identification of risks and hazards. With this, the risks and hazards that will be identified will then be assessed and classified based on its likelihood to happen and impact. This is to measure how vulnerable the proposed subproject will be to the identified risks and hazards. In this activity also, existing measures of the proponent group will be identified as input in the development of the business continuity plan using the BCP template in Annex 12.

The developed business continuity plan as an output of the workshop will be incorporated in the business plan of the proposed enterprise. Also, this will serve as a guide of the Implementing Proponent for faster recovery of the business operation in the event of a major disruption or disaster. This will also help the proponent in protecting the business' assets and employees to remain competitive and operational after a difficult event. The BCP is a living document that the proponent group may update or adjust if needed.

### **Step 8b. Business Planning Workshop**

The objectives of this workshop are to : a) orient the P/C/MLGU and the FCA/ FCA cluster on the documentary requirements for the approval of I-REAP subproject; b) develop the Capacity

Development Plan and Business Continuity Plan; and c) draft the business plan. The participants to the workshop include the following, among others:

- Representatives of the FCA/ FCA cluster;
- M/C/PPMIU representatives (IPLAN, I-REAP, I-BUILD, SES, GGU, Econ)
- Concerned LGU staff (PPDO, OPAg, OPV, PCEDO, PTIEDO, etc)
- Representatives from the RPCO Components and Units (I-REAP, I-PLAN, I-BUILD, SES, GGU, Econ)
- Representatives from the technical units of DA-RFO (Banner Programs, AMAD, concerned operating units or agencies)
- Private agribusiness entity/business sector representative
- Other concerned government agencies and commodity/ industry experts/practitioners
- SUC/academe

During the workshop, an orientation on the subproject documentary requirements will also be presented to the implementing proponent and the M/C/PPMIU by the I-REAP, I-BUILD, Econ, SES, GGU, M and E, Procurement and Finance (See Annex 13 for the Subproject Checklist of Requirements).

The annotated business plan outline will also be presented during the workshop which shall be the basis in drafting the business plan. Data needed for the preparation of business model / framework are from VCA, PCIP, Socio-Economic Profile of an LGU and other sources of data and information. See Appendix 2-A for the Annotated Business Plan Outline and Appendix 2-B for the Guidelines in the Preparation of Financial Analysis for IREAP.

The outputs of the Strategic Planning and Business Planning Workshop are the Capacity Development Plan, Business Continuity Plan, and draft business plan. To maximize resources and enhance the learning experience, two (2) groups of implementing proponents of enterprises, as applicable, may undergo a Business Planning Workshop together.

## **Step 9. Business Plan Preparation and Packaging**

The business plan together with other documentary requirements will be prepared and packaged based on the requirements presented in Annex 13. Development of the full Business Plan and Financial Analysis shall be conducted.

A proposed enterprise subprojects with infrastructure components shall follow the I-BUILD Operations Manual, including the format and technical requirements for the Detailed Engineering Design (DED) and Program of Works (POW). The FCA/FCA Cluster/LGU Engineer, I-REAP, I- BUILD, and SES should closely coordinate with each other to ensure all details of the enterprise interventions, operational plan, production and processing standards, compliance to other standards (FDA, PAES, etc.), and other requirements, as well as social and environmental safeguards aspects, are well incorporated and taken into consideration in the development of the design and location of the proposed enterprise infrastructure. The Implementing Proponent may hire an Architect or Engineer for the preparation of the DED and POW for the infrastructure component. It may also seek the assistance from the LGU and PRDP in case that the FCA/FCA Cluster is not capable of hiring consultant/s for the preparation of infrastructure documents.

The proposal should also conform with the requirements on Social and Environmental Safeguards through the conduct of the following activities as stated in the Environmental and Social Management Framework (ESMF).

**Table 4-4 Safeguards Activities during the BP Preparation Stage**

Safeguards Activity	Responsible Unit
1. Conduct of meaningful consultation among FCA cluster members and nearby community, if applicable. And a separate IP Community Consultation, if required	Implementing Proponent with assistance from M/C/PPMIU and RPCO SES and in coordination with NCIP
2. Secure IP Endorsement and IP Plan, if applicable	Implementing Proponent with assistance from M/C/PPMIU and RPCO SES and in coordination with NCIP
3. Conduct PAP Survey, site acquisition and documentation	Implementing Proponent with assistance from M/C/PPMIU and RPCO SES
4. Conduct of Environmental and Social Assessment (ESA)	Implementing Proponent with assistance from M/C/PPMIU and RPCO SES
5. Installation of GRM	Implementing Proponent
6. Preparation of Environmental and Social Management/Mitigation Plan (ESMP) (refer to Annexes 25-30) and supplemental plans	Implementing Proponent with assistance from M/C/PPMIU and RPCO SES
7. Preparation of code of conduct in accordance with Labor Management Procedure (LMP)	Implementing Proponent with assistance from M/C/PPMIU and RPCO SES
8. Secure relevant documentary requirements	Implementing Proponent
9. Gather data on Safeguards related costs to be included in the Financial Analysis	Implementing Proponent with assistance from RPCO SES and Economist

For proposed SPs with Infrastructure component	
10. Incorporation of relevant ESMP measures into the design and Program of works	Implementing Proponent
11. ROW acquisition and documentation (including annotation and transfer of land title to the FCA/ FCA cluster, if applicable)	Implementing Proponent with assistance from M/C/PPMIU and RPCO SES
12. PAP resettlement and/or compensation	Implementing Proponent with assistance from M/C/PPMIU and RPCO SES

At this point, subproject baseline data should be gathered of which information will be used in the preparation of the Subproject Profile including farmers profile. The data gathering will be done jointly by the RPCO I-REAP and RPCO M and E. The subproject profile will be uploaded in the web-based MIS while the farmers profile will be attached to the business plan. Guide in gathering the baseline data is discussed under Section 10.4.1 of this manual.

The RPCO GGU shall spearhead the gathering of AGT requirements, mainly consisting of the placemarks of known landmarks as reference points for the location of the subproject and target markets, geotagged photos and polygon of the vicinity site of proposed infrastructure, commodity polygons, farm animal headcount data, and target farm machinery service user polygon (See Section 9.1 Geomapping and Governance of this manual). This shall be conducted with the support of the implementing proponent and PSO GGU teams.

The implementing proponent shall also conduct the preparation of the Procurement Plan (PP) and Work and Financial Plan (WFP) with the assistance of M/C/PPMIU and RPCO, as well as conduct the pre- canvassing of proposed items to be procured as a critical input for the determination of the cost of the proposed subproject.

A series of meetings and reviews may be conducted by the RPCO during this period to ensure that the Implementing Proponents are able to follow the different guidelines and manuals of PRDP for the preparation of subproject documents.

Once all documentary requirements are completed, the business plan will be packaged for submission to the RPCO for review of the RPCO Technical Review Committee. The packaged business plan should also include the Subproject Procurement Plan and Subproject Work and Financial Plan.

## **Step 10: Subproject Review and Appraisal**

### **Step 10a: RPCO Technical Review**

Upon receipt of the complete package of the business plan including all attachments and documentary requirements, the RPCO will convene the Technical Review Committee which will be composed of representatives from the different units and components of PRDP, commodity experts, industry experts and practitioners from DA and attached agencies, other national

government agencies, SUCs and Business Sector or PAE partner/s. The RPCO will issue a Special Order for the creation and composition of the Technical Review Committee.

A Technical Review Report shall be prepared providing details on the essential elements of the business plan and the findings of the Technical Review Committee. The business plan will be evaluated using Annex 21 - Subproject Appraisal Form. Depending on the result of the evaluation, the proposal will be returned to the M/C/PPMIU and the implementing proponent for revision and compliance to findings, if any, or it may be endorsed to the PSO and/or NPCO for Joint Technical Review (JTR), depending on the threshold. A business plan review tracking form (See Annex 22) should be prepared to keep track of comments and compliances. See Annex 23 for the template of the business plan clearance form/Form 2B.

### **Step 10b: Conduct of Joint Technical Review (JTR) for Issuance of Clearance for RPAB Deliberation**

All subproject proposals that passed the RPCO Technical Review Committee shall be endorsed by the RPCO to the PSO and/or the NPCO, depending on the threshold, for the conduct of the Joint Technical Review (JTR). This may be conducted on-site or through virtual and shall be attended by technical staff from the PSO/ NPCO (I-REAP, I-BUILD, I-PLAN, SES, Economics Team, GGU, MEL, Procurement and Finance units). The following are the thresholds for the conduct of JTR:

- a) All subprojects that will be issued with NOL 1 by the RPCO shall pass the JTR of the PSO;
- b) All subprojects that will be issued NOL 1 by the PSO shall pass the JTR of the NPCO.

However, for civil works, conduct of JTR shall follow the NOL threshold unless the lower office seeks technical assistance from higher level offices. In addition, I-REAP civil work proposals shall also be prepared with a Subproject Appraisal Report (SPAR), also following the NOL threshold similar in the case of conduct of JTR. Conduct of field appraisal for the preparation of SPAR may be conducted as early as upon completion of the development of DED and POW and is required prior RPAB Approval. NPCO I-BUILD may participate in the field appraisal for the preparation of SPAR for SPs under PSO and RPCO thresholds upon its request. Conduct of appraisal and preparation of SPAR for the enterprise infrastructures shall follow with the methodologies stated in the I-BUILD Operations Manual.

Upon conduct of JTR, the PSO I-REAP will prepare a report on the results of the JTR through the filled out Business Plan Review tracking form (Annex 22) which will be forwarded to the RPCO for endorsement to the M/C/PPMIU and the implementing proponent. If the proposal passes the criteria set forth in approving an I-REAP subproject, the reviewers can right away issue Clearance for RPAB deliberation-Form 2B (Annex 23).

A subproject that passed the following parameters shall be provided with Clearance for RPAB deliberation:

- a. Completeness, correctness and consistency of subproject proposal documents based on PRDP requirements
- b. Passed the financial viability criteria using the hurdle rate of 8% WACC (Weighted Average Cost of Capital)
- c. At base scenario: Positive NPV, FIRR > 8%, BCR >1.0
- d. Sensitivity Analysis: FIRR >8% at individual scenario of 10% increase in cost and 10% decrease in revenue



### Step 10c: Compliance Review for the Technical Findings during the JTR

A subproject that was not issued Clearance for RPAB Deliberation during the JTR by the PSO and/or NPCO shall be subjected to a Compliance Review. This will be done after the M/C/PPMIU and the implementing proponent have submitted revised documents based on the comments during the JTR. The Compliance Review will be conducted by the technical staff who were involved in the JTR. A subproject that passed the compliance review will be issued clearance for RPAB deliberation. The PSO will prepare a report to the RPCO on the result of the compliance review together with Forms 2A and 2B. Should there be further comments on the submitted compliances, the same will be endorsed by the RPCO to the M/C/PPMIU and the implementing proponent. An accomplished RPAB Clearance from all the reviewing components and units at all concerned offices, depending on the review threshold shall be secured prior to subjecting of proposal to RPAB Deliberation.

### Step 11: RPAB Approval

A subproject that was issued clearance for RPAB deliberation will be endorsed by the RPCO I-REAP to the RPAB for approval. A RPAB Resolution will be issued for all approved subproject. In cases that the RPAB has concerns/findings, causing them not to issue the RPAB Resolution, the implementing proponent with assistance of the M/C/PPMIU and RPCO shall facilitate the compliance to RPAB concerns/findings. Compliance will then be endorsed bacon to the RPAB for approval and issuance of RPAB Resolution.

At this point, the PSO shall draft the Implementation Management Agreement (IMA) between the DA-PRDP, Implementing Proponent and the Partner PAE (if applicable) and FCA Co-Manager (in case of Implementing Proponent LGU).

### Step 12: Issuance of No Objection Letter (NOL)

The following threshold will be followed

**Table 4-6 NOL Issuance Thresholds**

<b>NOL Issuing Office</b>	<b>Threshold, Total Investment Cost</b>
RPCO	All SPs with Total Investment Cost US\$ 60,000.00 to US\$ 300,000.00
PSO	All SPs with Total Investment Cost above US\$ 300,000 up to US\$ 1 Million
NPCO	All SPs with Total Investment Cost above US\$ 1 Million up to US\$ 15 Million
WB	All SPs with Total Investment Cost above US\$ 15 Million

\*Exchange rate reckoning date: RPAB Approval date

The NPCO at anytime, depending on the result of the performance review every six (6) months, may lift the authority given to the RPCOs and the PSOs on the issuance of NOL

### **Step 13: Signing of the Implementation Management Agreement**

Upon issuance of NOL, the PSO shall facilitate the signing of the Implementation Management Agreement (IMA). Details on the implementation of the I-REAP subproject to include procurement arrangements, fund releases and enterprise operations must be stipulated in the IMA. The IMA with the FCA/FCA Cluster as the Implementing Proponent, will be signed by the PSO, RPCO, the FCA/Lead FCA, and the Partner LGU. A separate Agreement will be executed by the Lead FCA and the FCA cluster members, for subprojects to be implemented by FCA Cluster). On the other hand, the IMA with the P/C/MLGU as the Implementing Proponent will be signed by the PSO, RPCO, P/C/MLGU and the Co-Manager FCA/FCA Cluster. A template for the preparation of the IMA is shown in Annex 24.

Requirements for the Signing of the IMA with the FCA:

1. Cooperative/Association Board Resolution Authorizing the Chairman/President to sign the IMA
2. Cooperative/Association Board Resolution certifying the availability of the FCA/FCA Cluster cash counterpart
3. Copy of the approved business plan, DED/POW, procurement plan and work and financial plan
4. RPAB Resolution
5. NOL 1

Requirements for the Signing of the IMA with the LGU as implementing proponent:

1. Sangguniang Panlalawigan/Bayan Resolution authorizing the LCE to sign the IMA
2. Sangguniang Panlalawigan/Bayan Resolution on the availability of LGU counterpart and signed Appropriation Ordinance
3. Copy of the approved business plan, DED/POW, procurement plan and work and financial plan
4. RPAB Resolution
5. NOL 1

#### **4.1.2.2 Implementation Process for Approved I-REAP Subprojects**

##### **A. Financing and Releases of Funds to the Implementing Proponent and/or RPCO**

I-REAP subprojects will be financed through a cost-sharing arrangement between World Bank or the Loan Proceeds (LP), Government of the Philippines (GOP) through DA and the implementing proponent. Under PRDP Scale-Up, the cost sharing will be: WB/LP (60%), GOP/DA (20%), Implementing Proponent (20%).<sup>8</sup>

The requirements for the release of the funds for I-REAP subprojects is presented in Section 5 of the Manual with reference to PRDP Financial Management Guidelines.

##### **B. Procurement of Goods and Civil Works of the Approved IREAP Subproject**

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<sup>8</sup> For I-REAP enterprise subprojects, the LGU counterpart of 20% will be in the form of cash. While the FCA counterpart of 20% will be a combination of cash and/or in-kind, of which required cash equity is minimum of 5%.

All proposed interventions to be financed by the project funds (LP and GoP) as indicated in the business plan of the approved subproject must be covered by a Subproject Procurement Plan. These interventions shall be translated into procurable items with its specifications, unit cost, total cost, unit of measure and quantity.

For subprojects with civil works component, the Implementing proponent **shall** secure a Construction Supervision Team (CST), with at least a Project Engineer and Materials Engineer, for the supervision and facilitation of the construction of enterprise infrastructures and preparation of necessary documents for the billing of progress. Funds for the hiring of the team may form part of the FCA/FCA cluster cash equity.

The procurement of goods, works and non-consulting services for the IREAP subprojects is discussed in Section 6 of this Manual with reference to the Module 2 of PRDP Procurement Guidelines.

Progress of procurement, delivery of goods and construction of infrastructure/s shall also be monitored through AGT by the implementing proponent, M/C/PPMIU, RPCO, and PSO GGU teams following the requirements as stated in Section 9.1 Geomapping and Governance of this Manual.

#### **C. Formulation of the Enterprise Operations Manual (EOM)**

The EOM is a document that serves as a guidebook to all officers and employees of the enterprise on how the business will be operated according to the approved business plan. It contains the policies and procedures of the business operations including production processes, marketing activities, human resource policies, operations and maintenance of facilities and equipment and financial management.

The RPCO with the assistance of the PSO shall facilitate the formulation of the EOM ( template at Annex 25). It shall convene the officers of the implementing proponent and the M/C/PPMIU in a workshop to prepare the EOM. This should be done upon approval of the subproject or during the implementation stage. The EOM shall be presented to the General Assembly for approval and adoption. If LGU will be the implementing proponent, the draft EOM shall be approved by the General Assembly and confirmed by the LGU . The EOM may be updated by the implementing proponent at any given time or as necessary. Preparation of the EOM may commence right after the approval of the subproject.

#### **D. Submission of Completion Report by the Implementing Proponent**

After all the interventions (goods, facilities, equipment, materials, civil works, non-consulting services) have been procured, delivered and constructed, the implementing proponent will submit a Subproject Completion Report (Annex 26) to the RPCO providing details on interventions that they have procured. The RPCO will then endorse the completion report to the PSO. The PSO will mobilize the Joint Inspection Team which shall be composed of representatives from the PSO and RPCO I-REAP, I-BUILD (when there is civil works), GGU, Procurement, Finance and SES, together with the M/C/PPMIU to validate the completed subproject.

#### **E. Turn Over of the Completed Subproject to the Implementing Proponent**

Upon submission of a report of the Joint Inspection Team and with satisfactory remark and acceptance of completed subproject, the PSO shall turn over the completed subproject to the implementing proponent. The turn over shall include all goods and works procured and funded by PRDP. A Certificate of Turn Over (Annex 27) and Deed of Donation (Annex 28) will be issued by the PSO to the implementing proponent.

#### **4.1.2.3 Post Implementation Process: Enterprise Operations and Monitoring**

The implementing proponent shall operate and manage the subproject or the enterprise based on the approved business plan. The PRDP (NPCO, PSO, RPCO) shall provide continuous technical assistance to the implementing proponent to ensure sustainability of enterprise operations. The implementing proponent will shoulder all operations and maintenance costs to be required in managing the enterprise.

##### **A. Conduct of Operations and Maintenance Audit for I-REAP Facilities and Civil Works**

The facilities, equipment, machineries and building of an approved I-REAP subproject shall be subjected to Operation and Maintenance Audit 9th - 10th month after its operation, and annually thereafter, in accordance with the I-BUILD Operation and Maintenance Framework, using the O&M Audit template (See Annex 29). The Regional O&M Audit Team is the group tasked in the conduct of audit/assessment using the Operation and Maintenance Audit System (OMAS) as stipulated in OMAS Manual. The team is to be chaired by the M&E section of PMED, with members from the engineering, finance, internal audit service, and institutional development and marketing unit.

The assessment will focus on three main indicators namely: (1) Subproject Functionality Level, (2) Physical Status of the Facilities, and (3) Social and Institutional Status of the O&M implementation structures. (Refer to the OMAS Manual)

##### **B. Implementation of the Capacity Development Plan**

The NPCO, PSO and RPCO shall facilitate the implementation of the Capacity Development (CapDev) Plan to ensure the sustainability of approved subprojects. It shall assist the implementing proponent in linking with technical and other business support service providers such as other government agencies, academe, non-government institutions and private sector. Such linkages could be in the form of Program Contract, which can be funded by the Project. The CapDev Plan could also be used by the implementing proponent in leveraging technical assistance from other government agencies.

The RPCO shall monitor the implementation of the CapDev Plan using the template in Appendix 1-I), which will also be captured and uploaded in the Enterprise Operations Monitoring System (EOMS). The CapDev Plan may be updated by the implementing proponent, depending on the result of the enterprise re-assessment. It may also be updated by the implementing proponent depending on the changes in its Cooperative Development Plan.

The execution of the CapDev plan is in partnership with other government agencies and private institutions. Depending on the result of the enterprise assessment, the interventions may be provided through the following: i) access to market, ii) capacity building, iii) access to or provision of postharvest, processing, and marketing equipment, facilities and infrastructure, v) product development, assistance in the enterprise business and vi) product registration and

certification, and vii) business counselling.

### **C. Enterprise Operations Monitoring System (EOMS)**

The progress of the enterprise operations shall be captured using the web-based enterprise management information system or the Enterprise Operations Monitoring System (EOMS). It is a data collection process using browser-based data capture forms (DCFs). It serves as a tool for better planning and implementation, practices, processes and procedures that are used in the development, deployment and execution of business plans and strategies and all associated with enterprise operations activities.

The Implementing Proponent will start collection and uploading of the data when it initially starts business activity. The detailed procedure for filling out information in the DCFs is presented in the Appendix 2.

A monthly, quarterly and annual report on the result of enterprise operations will be generated by the system. Generally, this is important in tracking the progress of enterprise's operations and evaluation of its immediate impacts;

Project level (PRDP), this serves as an immediate reference of the project management on the progress of the implementation and operation of the PRDP supported enterprises and will serve as a tool in feedbacking to the PRDP management whether the desired outcomes and the overall development objectives of the Project are likely or unlikely to be achieved given the situations and lessons (positive and/or negative). As the enterprise progresses the management may use the data collected as bases to introduce adjustment in handling the subprojects to be more sustainable.

Enterprise level , this serves as a tool for the Implementing Proponent in monitoring day-to-day transactions of the enterprise. With this tool, the implementing proponent will be able to generate several reports/documents.

Refer to the Guidelines for Non-Operational Subprojects in Appendix 4 if it is determined based on the monitoring of completed subprojects that some sub projects have ceased operating and have remained non-operational despite receiving technical assistance. A non-operational subproject is defined as a completed subproject that has no operation for at least six (6) consecutive months, except in cases of subprojects with seasonal-based operations. The subproject is considered to have no operation when the equipment, machineries, or facilities are not being utilized. A seasonal-based subproject will be reported as non-operational when the equipment, machinery and facilities are not utilized during the season.

### **D. Monitoring of Compliance to Social and Environmental Safeguards**

Compliance to the ESMP measures by the subproject proponent and any actual environmental and social issues associated with the subproject that may crop up during the course of operation will be periodically monitored.

Monitoring will be done through the use of the SES Compliance Monitoring Checklist for enterprise operations presented in Annex 30 . It is a useful tool primarily in determining the status of safeguards compliance of subprojects as well as in guiding implementing proponents

on the safeguards measures that need to be complied with during the operations stage.

The PRDP NPCO/PSO/RPCO SES and IREAP and the P/C/MLGU shall have a regular compliance monitoring visit and reporting during operation of the enterprise. Consequently, through self-compliance monitoring, the implementing proponent shall submit every month the Safeguards Compliance and Impact Monitoring Report to the RPCO (refer to Appendix 2). The said report shall form part of the EOMS.

#### **E. Geotagging of Enterprise Operations**

The utilization and operation of the production support assistance and infrastructure and equipment of the completed I-REAP subproject will be subjected for monitoring of the success indicators as stated in the business plan objectives within the duration of PRDP, in accordance to the minimum AGT requirement applicable to each enterprise.

The GGU NPCO/PSO/RPCO will provide geotag photos, both the production support assistance and infrastructure and equipment and sampling size of maximum of thirty (30) recipients scattered in various locations. For production support, photos shall be taken stages while infrastructure and equipment photos shall be taken twice a year. This would also be a documentation and monitoring of accomplishments of success indicators.

#### **4.1.3 Utilization of Savings from Subproject Funds**

A subproject may incur savings from procurement of goods and works. Once all goods have been procured and delivered and the civil works construction are completed and paid, the implementing proponent may request for the utilization of the savings from the subproject fund. The detailed guidelines on the utilization of savings is presented in Annex 31.

#### **4.2 Implementation Process for I-REAP Subcomponent 3.2 (Capacity strengthening for increased competitiveness of rural agri-fishery enterprise clusters)**

I-REAP will continue to strengthen activities in facilitating the provision of business development support (BDS) services to complement the enterprise support under Sub-component 3.1. This aims to assist the small to large scale enterprises to increase their incomes through improved technological and operational knowledge, opportunities and facilitation of market linkages and access to financing in the form of credit and insurance.

Activities to be supported, primarily through technical assistance include:

i. Conduct market matching and promotion through trade fairs and online platform, provide targeted technical assistance for farmers entering into and maintaining formalized market agreements with enterprises; Adopt digital technology through the use of existing web-based platforms (DeliverE) such as PRDP Marketplace to publish the products of assisted enterprises of PRDP. Further, develop and roll out the use of a registry of farmers producing specific commodities as a basis for facilitating agri-fishery enterprise market linkages;

ii. Gearing towards sustainability of the FCAs and clusters, the Project will continuously assist them by strengthening their access to rural financing through collaboration with various financial institutions such as but not limited to Development Bank of the Philippines, Landbank

of the Philippines, and Agricultural Credit Policy Council and access to insurance services through the Philippine Crop Insurance Corporation (PCIC);

iii. Support the implementation of Provincial Agriculture and Fishery Extension Service (PAFES) to pragmatically capacitate the LGUs on clustering and strengthening market development activities;

iv. The Project will forge collaboration with the relevant agencies to enable partner FCAs access capacity building trainings and certifications on Good Agricultural Practices (GAP), Good Animal Husbandry Practice (GAHP), Good Aquaculture Practices (GaqP), and Good Manufacturing Practices (GMP), and Hazard Analysis Critical Control Points (HACCP) to ensure food safety, product quality standards. Thus, ensure that the supported food producing enterprises will secure compliance to FDA standards both in facilities and in processes through the interventions to be provided, as well as funding of FDA License to Operate, and other relevant registrations and licenses related to food safety;

v. Connect with other DA agencies and programs to promote youth engagement in agriculture and agribusiness such as Young Farmers Challenge of Agribusiness and Marketing Services (AMAS), Youth for Mechanization (Y4M) of Philippine Center for Postharvest Development and Mechanization (PHilMech), and Kapital Access for Young Agripreneurs (KAYA) of Agricultural Credit Policy Council (ACPC);

vi. Strengthen the partnership with Jollibee Group Foundation (JGF) in the implementation of the Agro-Enterprise Clustering Approach (AECA) through engagement of the FCAs and clusters in the eight-step process. Thus, equipping these clusters with agro-enterprise capabilities and business skills and empowering them to be farmer-entrepreneurs. AECA will also enable the FCAs to capitalize and take advantage of economies of scale of their produced marketable surplus as a cluster;

vii. Strengthen the collaboration of DA-AMAS and BAFE and their regional counterparts (AMAD and RAEDs) and with LGUs on the planning and implementation of I-REAP subprojects. BAFE and RAEDs are responsible for the facilities components, while AMAS and AMAD on the marketing of I-REAP subprojects;

viii. Facilitate the preparation and implementation of the Capacity Development Plan, as a result of enterprise assessment, which will serve as the strategic plan of the enterprise that will identify needed interventions to ensure continuity and sustainability. Continuous assistance on the crafting of the Enterprise Operations Manual (EOM) which will serve as the guidebook on how the enterprise will be operated based on the approved business plan and utilization of the Enterprise Operation Monitoring System (EOMS) to track the overall implementation of the capacity development plan and the progress of the enterprise operation.

New technologies and approaches would also be introduced, in collaboration with agencies such as the DOST, International Rice Research Institute (IRRI), and State Universities and Colleges (SUCs), e.g., promotion of precision agriculture designed to link climate and weather data so that farmers and fishers can be better informed in making timely production and marketing decisions, varietal improvement, etc. This may be contracted by the Province with private service providers, e.g., agro-processors, nursery/seed/fingerling suppliers, technical and training outreach of State Universities or private organizations. Business development and marketing support services will also be provided to the implementing proponent through the Agribusiness

and Marketing Assistance Division (AMAD), DTI, cooperative unions and federations, other non-government organizations and private sector. It may be implemented as appropriate, through Program Agreements between the RPCO/PSO and specialized Department of Agriculture agencies.

The disbursements are to be made by NPCO, PSOs and RPCOs. Approval and signing authority of officials, the nature and amount of disbursements must follow the approved WB Guidelines of eligible expenditures and existing DA policies and procedures on approval of disbursements.

The step by step process in implementing I-REAP Sub-component 3.2 is shown in Figure 4-2, particularly in the execution of a Program Contract.

### **Step 1: Identification of Technical Assistance Requirements/ Interventions**

Based on the VCA and/or PCIP and/or result of the enterprise assessment, the NPCO/PSO/RPCO shall identify the critical interventions and technical assistance indicated in the Capacity Development Plan to support the enterprises or to support commodity value chain upgrading.

### **Step 2: Preparation of Project Proposal**

Upon identification of the partner agency, the concerned unit NPCO/PSO/RPCO will meet and discuss with the partner agency the required intervention and will craft a project proposal and the corresponding work and financial plan.

Project proposals emanating and for implementation by the RPCO should be submitted to the PSO for review and approval of funding. While the project proposal emanating and for implementation by the PSO should be submitted to the NPCO for review and approval of funding. Project proposals emanating and for implementation by the NPCO will be submitted to the National Project Director for approval.

### **Step 3: Approval of the Project Proposal**

The PSO/NPCO, whichever is appropriate, will review and approve the project proposal and the work and financial plan. A letter of approval duly signed by the designated authority shall be issued to the requesting party.

### **Step 4: Preparation of Program Contract**

The implementing unit (NPCO/PSO/RPCO) will prepare the Program Contract with the partner agency for the implementation of the technical assistance. The Contract should provide the project details, the deliverables of the contracting parties, timelines of activities, funding requirements and the liquidation of funds.

### **Step 5: Download Fund to Partner Agency**

Upon signing and notarization of the Program Contract, the NPCO/PSO/RPCO will download the fund to the partner agency.

### **Step 6: Implementation of the Activities or Technical Assistance**



The activities for required technical assistance will be implemented based on the approved WFP. This could be jointly undertaken by the partner agency together with the NPCO/PSO/RPCO.

**Step 7: Project Monitoring and Reporting**

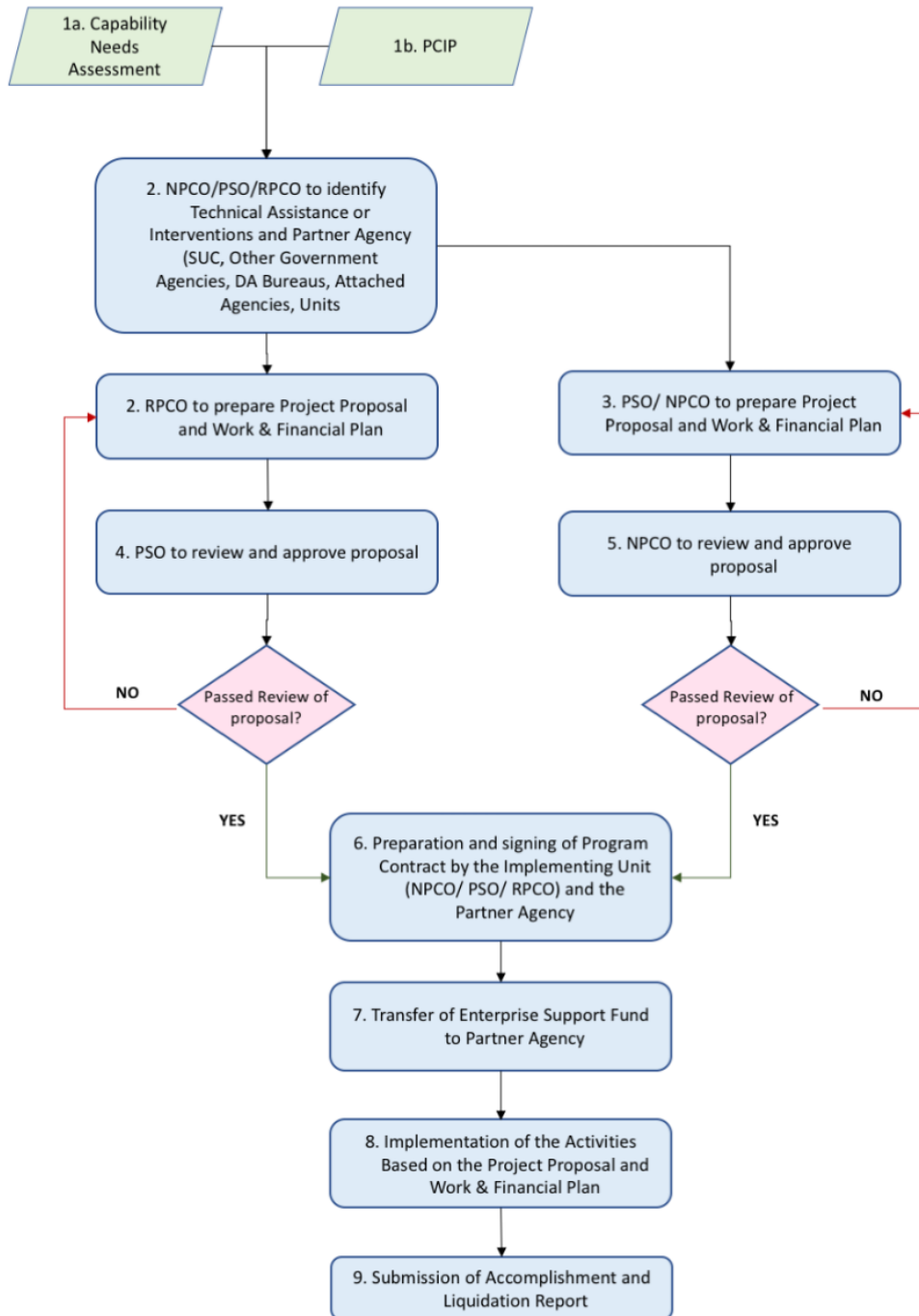
NPCO/PSO/RPCO will regularly monitor the progress of the activities. The partner agency will submit progress or accomplishment reports, the frequency of which is identified in the Program Contract.

**Step 8: Project Completion and Fund Liquidation**

Upon completion of the activities based on the approved WFP, the partner agency will - submit Final Report or Completion Report together with the fund liquidation report to the NPCO/PSO/RPCO.

Activities and subprojects to be funded under Sub-component 3.2 which will be implemented solely by the NPCO/PSO/RPCO without executing a Program Contract with partner implementing agency will only need a submission of Work and Financial Plan duly signed by designated authority and approved by the National Project Director.

**Figure 4- 2. Process Flow for I-REAP Implementation: Sub-component 3.2 (Capacity strengthening for increased competitiveness of rural agri-fishery enterprise clusters)**



## 5 Financial Management

The funding for I-REAP subprojects will be used to finance procurement of goods (inputs, machineries, facilities, equipment), enterprise infrastructures except for items indicated in the Negative List (Annex 3).

Funds, equipment or facilities transferred to the implementing proponent for I-REAP enterprise will be considered as investment in the enterprise and will be governed by the provisions of the IMA. The implementing proponent shall take care of the operation and maintenance of these facilities, equipment and infrastructure.

The detailed financial management procedures and requirements for I-REAP subprojects will follow the PRDP Financial Management Guidelines. In case that any discrepancies were noted between the provisions of this manual and PRDP Financial Management Guidelines, the provisions of the latter shall prevail.

### 5.1 Financing Mix for I-REAP Component

Enterprises under the I-REAP Sub-component 3.1 subprojects will be financed following the financing mix presented below in Table 5-1

**Table 5- 1. Financing Mix for I-REAP Subcomponent 3.1**

Implementing Proponent	WB-Loan Proceeds (LP)	GoP – DA	Implementing Proponent Counterpart
FCA/ FCA Cluster	60%	20%	20 (cash and/or in-kind; 5% in cash)
LGU	60%	20%	20% (in cash)

### 5.2 Fund Management at the PSO and Establishment at the Implementing Proponent Level

#### 5.2.1 Fund Establishment at the Implementing Proponent

For the transfer of I-REAP subproject fund from the PSO to the implementing proponent, opening of a separate current account for implementing proponent equity and another current account for the funds from LP, and GOP preferably with the Land Bank of the Philippines (LBP) or any accredited government depository banks, per fund source for I- REAP implementation is required. The said accounts must bear the name:

**FCA/ FCA Cluster Equity:** “PRDP-<Name of the FCA>-FCA Equity I-REAP>”

**LGU Equity:** “PRDP-<Name of the Province/City/Municipality>-LGU Equity I-REAP>”

**PRDP Funds:** “PRDP-<Name of the Implementing Proponent>-<Enterprise Project Funds>”

The implementing proponent LGU equity requirement must be deposited to the current account – in the name of the implementing proponent before release of funds from LP and GOP

are to be made. On the other hand, the Implementing FCA/FCA Cluster cash equity requirement must be deposited to the current account - in the name of the FCA/Lead FCA, in tranches based on the approved Work and Financial.

### **5.3 Fund Transfer from the PSO to the Implementing Proponent**

The release of Enterprise Project Fund (EPF) will be to the LGUs or FCA/FCA Clusters and will be based on the Implementation Management Agreement (IMA), and Work and Financial Plan. However, the release must be a minimum of two tranches for the procurement of goods while enterprise civil works of I-REAP subprojects should comply with financial management guidelines for I-BUILD subprojects.

Release of funds to LGUs or FCA/FCA Clusters for the implementation of I-REAP subprojects will be based on Work and Financial Plan (WFP) and requires submission of contract, purchase order or documents showing that procurement of goods or services were done.

#### **5.3.1 Fund Releases to Implementing Proponent**

**Requirements for the initial release of funds to the Implementing Proponent are the following:**

1. Letter request from the LCE or FCA/FCA Clusters Chairman/President/General Manager for the release of funds;
2. Endorsement by RPCO to the PSO on the request of LGU or FCA/FCA Clusters for the release of funds;
3. Approved, signed and notarized Implementation Management Agreement (IMA) among the PSO, RPCO and LGU or FCA/FCA Clusters;
4. Appropriation Ordinance for the LGU Equity of the sub project
5. Certificate as to Availability of Funds (CAF) issued by PSO;
6. Approved Program of Work, Procurement Plan and No Objection Letter (NOL) from NPCO/PSO/RPCO;
7. For LGU, bank certification of LGU Equity reflecting full deposit (100%) of equity share in the subproject and bank certification for the opening of bank accounts of Loan Proceeds and GOP Counterpart;
8. For FCA/FCA Cluster, bank certification for the opening of one (1) bank account for LP and GOP Counterpart funds and Grant Proceeds;
9. For FCA/FCA Clusters, documents showing that FCA/ FCA cluster has equity equivalent to twenty percent (20%) of the total sub-project cost. For cash equity, bank certification reflects the required amount of equity deposit when necessary. In case of equity in kind, such as land, building or equipment, the valuation should be based on book value.

**Requirements for the release of succeeding tranches and/or final tranche:**

1. Letter request from LCE or FCA/FCA Clusters Chairman/President/General Manager requesting for the release of funds;
2. Endorsement by RPCO to the PSO on the request of LGU or FCA/FCA Clusters for the release of funds;
3. Submission of updated and latest monthly Statement of Receipts and Expenditures (SRE) signed and approved by the concerned officials with documents to support the receipts and expenditures presented and for the liquidation of at least 50% of the previous release;
4. Accomplishment Report of the subproject as stated in the IMA validated by the RPCO/LGU I-REAP Component Head or authorized representative;

5. Geo-tagged pictures of implemented enterprise;
6. Inspection report or certificate of project completion issued by the LGU and/or RPCO I-REAP Component Head.

#### **5.4 Liquidation of Funds**

##### **5.4.1 Liquidation of Funds Released to Implementing Proponent**

The project funds disbursed by the Implementing Proponent will be reported to PSO for liquidation of funds released to them (Refer to FM Manual for detailed liquidation requirements).

Funds downloaded to LGU or FCA/FCA Clusters under I-BUILD and I-REAP subprojects will be treated as advances, and subject to liquidation and to be reported to SRE only upon liquidation of the LGU or FCA/FCA Clusters.

Submission of monthly Statement of Receipts and Expenditures (SRE) with the required supporting documents as liquidation report by LGU or FCA/FCA Clusters should be required to ensure that funds released will be liquidated within thirty (30) days. SRE should be submitted monthly with or without transaction. LGU or FCA/FCA Clusters with outstanding SRE are not eligible for additional release of funds.

##### **5.4.2 Requirements for Liquidation of Funds Released to the Implementing Proponent**

1. For LGU implemented I-REAP subproject, Statement of Receipts and Expenditures (SRE) with documents to support the receipts and expenditures presented, Certified Correct by the LGU Accountant, Noted by the Treasurer and Approved by the LCE and stamped received by the Office of the Auditor, COA and must be reviewed by the RPCO Finance Unit;
2. For FCA/FCA Clusters implemented I-REAP subproject, Statement of Receipts and Expenditures (SRE) with documents to support the receipts and expenditures presented, certified by the Accountant/Bookkeeper, approved by the President/Chairman of the FCA/ FCA cluster and verified by the RPCO Accountant/Finance Head;
3. Endorsement by the RPCO to the PSO on the SRE and supporting documents of LGU or FCA/FCA Clusters for the liquidation of funds;
4. Accomplishment Report of the FCA/ FCA cluster validated by the RPCO I-REAP Head or his/her authorized representative;
5. Geo-tagged pictures of implemented I-REAP subproject;
6. Inspection report on the accomplishment and if completed, certificate of subproject completion issued by the FCA/ FCA cluster Head validated by RPCO I-REAP Component Head or his/her authorized representative;
7. Proof of verification by the RPCO I-REAP Head on the validity of the documents submitted by the FCA/ FCA cluster;
8. Official Receipt (OR) issued by the granting PSO acknowledging the return by the FCA/ FCA cluster of any unutilized/excess amount of cash advance;
9. List of equipment/vehicles procured by the FCA/ FCA cluster out of enterprise funds indicating its brief description, date acquired, acquisition cost and final disposition.

Submission of monthly SRE with the required supporting documents as liquidation report by FCA/FCA Cluster or LGU should be required to ensure that funds released will be liquidated within thirty (30) days. SRE should be submitted monthly with or without transaction. LGU or FCA/FCA Clusters with outstanding SRE are not eligible for additional release of funds.

## 5.5 Disbursement Procedures for Technology and Information for Enterprise and Market Development (Sub component 3.2)

Activities/sub-projects proposed by the NPCO, PSO, RPCO and other partner agencies in support to enterprises will be financed using the following financing mix:

**Table 5- 2. Financing Mix for I-REAP Subcomponent 3.2**

Financing	LP	GOP	Total
Financing Mix	80%	20%	100%

The disbursements are to be made by NPCO, PSOs and RPCOs. Approval and signing authority of officials, the nature and amount of disbursements must follow the approved WB Guidelines of eligible expenditures and existing DA policies and procedures on approval of disbursements.

## 5.6 Books of Accounts and Records

The Books of Accounts and Records that will be established and maintained by the Implementing Proponent and RPCO are discussed in detail in Chapter 5 of the Financial Management Guidelines.

## 5.7 Financial Reports

The implementing proponent and RPCO must submit monthly, quarterly and annual financial reports including certified copies of supporting documents to the PSO reflecting the receipts and disbursements of funds. The required reports should be submitted not later than the 5<sup>th</sup> day of the ensuing month or quarter.

The required financial reports to be submitted are presented in Chapter 6 of PRDP Financial Management Guidelines

# 6 Procurement Guidelines

The procurement guidelines for the procurement of goods, works and non-consulting services for the IREAP subprojects is covered by the Module 2 of PRDP Procurement Guidelines. In case that any discrepancies were noted between the provisions of this manual and Module 2 of PRDP Procurement Guidelines, the provisions of the latter shall prevail.

## 6.1 Prior Review Threshold

### 6.1.1 No Objection to Start Procurement (NOL 1)

#### Procurement plan of each IREAP subprojects

- No procurement activities shall commence without the issued no objection to start the procurement. The procurement plan is part of the business plan proposal which is reviewed and approved altogether.
- For every subproject approval, the procurement plan shall be subject for prior review of the concerned office under their delegated prior review threshold. A procurement plan template is provided in the PRDP Procurement Guidelines.

- Procurement plan shall cover all proposed interventions to be financed by the project funds (LP, Grant, GoP and Implementing Proponent Equity except in kind). These interventions shall be translated into procurable items with its specifications, unit cost, total cost, unit of measure and quantity.
- However, changes (in specifications, quantity, price, procuring entity) to the procurement plan without the need to re-run assumptions for the economic and financial analysis of the subprojects shall be under the RPCO regardless of the amount of the subproject. Otherwise, the changes shall be reviewed and approved by the PSO.
- The Implementing proponent shall prepare the procurement plan. The PPMIU IREAP shall review the procurement and endorse it to RPCO. The RPCO BAC Chairperson shall recommend to the HOPE for its approval.
- Review Threshold per offices for the NOL issuance of IREAP subprojects are presented in Table 6-1

**Table 6- 1. Prior Review Threshold for I-REAP (NOL 1 Issuance)**

Prior Review Threshold*	Office
US\$ 60,000.00 to US\$ 300,000.00	RPCO
Above US\$ 300,000.00 to US\$ 1,000,000.00	PSO
Above US\$ 1,000,000.00 to US\$ 15,000,000.00	NPCO
Above 15,000,000.00	WB

*\*Total Investment Cost (LP + GOP + Implementing Proponent Equity)*

### 6.1.2 Post Review

All contracts shall be subject for post procurement review of each concerned office under their review threshold. The frequency and sample contracts shall be determined as per PRDP Procurement Guidelines.

### 6.1.3 Procurement Categories, Methods and Threshold

#### 6.1.3a FCA/ FCA Cluster Procurement

Procurement of goods and works by the FCAs/ FCA Clusters will be done through Community participation. In the use of Community participation, the FCAs/ FCA Clusters manage the procurement of the interventions stated in the approved procurement plan.

**Table 6- 2. Community Participation Procurement Methods**

PROCUREMENT METHODS	CONTRACT COST		For prior review (NOL2) of RPCO
	Works	Goods and Non-Consulting Services	
<b>Simplified Public Bidding</b>	Above US\$ 200,000		Above US\$100,000
<b>Shopping</b>	US\$ 200,000 and below		
<b>Direct Contracting</b>	Subject to justification during the business plan preparation as to availability of one qualified supplier for the procurement of items proposed		Prior review is done during the subproject procurement plan and business plan review.
<b>Force Account-Works</b>	The construction shall be administered by the FCA/ FCA cluster		
<b>*Commercial Practices</b>	Procurement using well-established procurement arrangements of the FCA/ FCA cluster acceptable to the Bank		
<b>Selection of Individual Consultants *</b>			

\*For the details of this procurement method of the FCA/ FCA cluster, refer to Module 2 of PRDP Procurement Guidelines

### 6.1.3b LGU Procurement

For LGU procurement, the following methods are to be applied.

**Table 6- 3 LGU Procurement Methods to be Applied for Procurement of Items with Complex and Highly Technical Requirement that is Beyond the FCA/ FCA cluster Capacity**

PROCUREMENT METHODS	CONTRACT COST	
	Works	Goods and Non-Consulting Services
National Competitive Bidding (NCB)	Below US\$ 15,000,000.00	Below US\$ 3,000,000.00
Shopping	Below US\$ 200,000.00	Below US\$ 200,000.00
Direct Contracting	Subject to justification in accordance with PRDP Procurement Guidelines	



The detailed procurement procedures and timelines of each mode in the table above is stated in the PRDP Procurement Guidelines.

#### **6.1.4 Procuring Entity**

The Implementing Proponent of a subproject is the default procuring entity of the subproject.

##### **6.1.4a FCA/FCA Cluster as Procuring Entity**

It is expected that the FCA/ FCA Cluster applying for an I-REAP subproject as its Implementing proponent have the capacity to do procurement which had been determined during the evaluation. However, if the FCA/ FCA Cluster lacks the capacity to do procurement, appropriate training and coaching shall be provided prior to approval of the subprojects.

The FCA/ FCA Cluster shall manage the procurement of the interventions listed in the approved procurement plan. The FCA/ FCA Cluster shall create at the minimum, a Procurement Team. However, for subproject proposals under the medium and large enterprise types, the FCA/ FCA Cluster shall be required to create a Procurement Team and Bids and Awards Committee (if not yet existing) for the procurement under the Community Participation. The Procurement Team and the BAC shall undergo the training on procurement on PRDP IREAP subprojects.

The FCA/ FCA Cluster, after it has conducted its procurement process, shall submit to RPCO the result of procurement and request for the issuance of no objection to award (NOL2). After receipt of NOL2, the FCA/ FCA Cluster shall award and subsequently can request for the release of funds to winning suppliers. Inspection and acceptance shall be conducted by the RPCO prior to release of payments/funds.

#### **6.1.5 Mode of Payment**

Shall follow the Financial Management Guidelines.

## **7 Social and Environmental Safeguards**

An Environmental and Social Management Framework (ESMF)–was prepared for the PRDP to ensure that agricultural and fisheries-based entrepreneurial activities under the I- REAP are environmentally and socially sound. The ESMF builds on the experience, operational procedures, and institutional capacity of DA in implementing the World Bank safeguards policies from the original PRDP and its precursor, the Mindanao Rural Development Project (MRDP) (2000-2014), The framework provides guidance to DA to ensure that environment and social assessments and other safeguard requirements will be carried out in compliance with national regulations and in accordance with the World Bank’s Environmental and Social Framework (ESF) (Refer to the PRDP Environmental and Social Management Framework (ESMF).

The ESMF promotes the sustainability of I-REAP enterprises, investments and support facilities through social acceptability, better social inclusion, and environmental management initiatives during enterprise selection up to implementation. This section provides a detailed guide to the integration of ESMF provisions in I-REAP management and implementation.

The ESMF provides the details of the various social and environmental impact scenarios and the appropriate mitigation measures anchored on documentary requirements. Preparation of the business plan for the proposed clusters of enterprises requires the inclusion of required documents as proof of compliance to the SES of the PRDP. As early as the conception stage and

to be finalized during validation by RPCO, all proposals shall undergo mandatory environmental and social screening and the social inclusiveness scoring system using the form provided in the PRDP ESMF to ensure subproject eligibility for funding in terms of safeguards and also to determine the environmental and social aspects and corresponding requirements for the subproject preparation. Table 7-1 summarizes the different social impact scenarios to guide the M/C/PPMIU and proponents as to the type of intervention or documentation needed to establish social safeguard compliance.

**Table 7- 1. Summary of Potential Social Impacts and Required Documents for Mitigation**

Potential Social Impact	Mitigation	Required Documents/ Attachments
Acquisition of land and SROW	<p>Just compensation through mutually agreed compensation scheme consistent with the entitlement policy of the Land Acquisition and Resettlement Policy Framework (LARPF).</p> <p>Negotiated Settlements, alternative compensation package which, through negotiation, he/she agreed with the project proponent, provided the total equivalent value of the package is not less than replacement cost of all the lost assets.</p> <p>Refer to ESMF for other modes of acquisition</p>	<ul style="list-style-type: none"> <li>▪ ESMP</li> <li>▪ Documentation of Compensation Execution [MOU2]</li> <li>▪ Documentation of appropriate mode of acquisition</li> </ul>
<p>Physical and or Economic Displacement of Project Affected Persons (PAP)</p> <p>Note: Physical displacement means the PAP is uprooted or transferred from his present dwelling.</p>	<p>Consultation with and participation of PAPs in planning and implementation of resettlement plans</p> <p>Resettlement consistent with the entitlement policy of the ESMF.</p>	<ul style="list-style-type: none"> <li>▪ Documentation of consultations (minutes of the meeting, attendance sheets)</li> <li>▪ Resettlement Action Plan with comprehensive inventory/survey</li> </ul>

Potential Social Impact	Mitigation	Required Documents/ Attachments
Economic displacement is defined below.		<ul style="list-style-type: none"> <li>Documentation of Compensation Execution</li> </ul>
Access restriction to resources	Just compensation of lost asset and provision of livelihood assistance consistent with the entitlement policy of the ESMF. It should be noted that if access restrictions constitute loss of more than 20% of the livelihood source or income, the PAP is considered “economically displaced” and should be provided with a RAP which involves livelihood support or restoration (see above).	<ul style="list-style-type: none"> <li>ESMP</li> <li>Documentation of Compensation Execution</li> </ul>
Community health and safety	Undertake risk assessment to identify potential adverse impacts to the community and seek their acceptance and appropriate management measures through consultations	<ul style="list-style-type: none"> <li>ESMP</li> <li>DOLE OSH Plan</li> </ul>
Occupational and health and safety	Undertake health screening of workers and comply with the safety measures and good housekeeping as per submitted and approved DOLE Occupational Safety and Health Plan	
Possible Spread of COVID-19 virus adversely affecting Community, Occupational Safety and Health	Comply to all the requirements needed prior to deployment and continuation of the operations/activities	<ul style="list-style-type: none"> <li>ESMP</li> </ul>

Potential Social Impact	Mitigation	Required Documents/ Attachments
	during the COVID-19 Public Health Crisis, as set forth in PRDP Supplemental Guidelines on COSH, a harmonized guide of all national and local issuances relevant to COVID-19	

In addition, A Stakeholder Engagement Plan (SEP) will be prepared and implemented as a separate document to serve as a reference on the details of stakeholder engagement activities such as consultation and disclosure of subproject documents during the preparation.

Policy on land acquisition, rehabilitation and resettlement adheres to the principle that areas for the use of prospective enterprise are not forcefully acquired and timely consulted and that all involuntary losses (i.e. whether lands, structures, crops or other properties) of project- affected persons (PAPs) are properly and justly compensated and all those who are displaced (whether physically or economically) are resettled and/or provided with assistance to improve, or at least maintain, their pre-Project living standards and income earning capacity. Land and property donations are accepted provided that execution is voluntary and the deed is duly notarized and annotated by an authorized agency.

Social safeguards for IPs/ICCs necessitate free and prior informed consultation with the IP groups and coordination with the NCIP (Table 7-2). Ultimately, indication of broad community support from IPs would reflect observance of cultural sensitivities associated with such vulnerable groups.

**Table 7- 2. Summary of Impacts Scenarios on IPs and Required Documents for Mitigation**

Impact Scenario on Indigenous People	Mitigation	Required Documents/ Attachments
Enterprises with components located within declared or proposed IPs/ICCs AD	RA 9178 on establishment of exemption of other business related requirements for Barangay SMEs and Administrative Order 03 series of 2012 of NCIP on the Revised Guidelines on free Prior Informed Consent (FPIC) and Related Processes of 2012	<ul style="list-style-type: none"> <li>▪ FPIC for other type of investments needing such document, MOA with IP Community</li> <li>▪ Certificate of Pre-Condition</li> <li>▪ Documentation of Consultation Processes</li> </ul>

Impact Scenario on Indigenous People	Mitigation	Required Documents/ Attachments
		<ul style="list-style-type: none"> <li>▪ ESMP</li> </ul>
<p>For enterprises inside AD that are solicited by IP Community or identified in ADSDPP</p>	<p>Validation by NCIP</p>	<ul style="list-style-type: none"> <li>▪ NCIP Validation Report or NCIP Certification affirming condition</li> <li>▪ ESMP</li> </ul>
<p>For enterprises inside AD that were neither solicited by the IPs nor identified in their ADSDPP but the IPs are themselves the primary beneficiaries</p>	<p>Validation by NCIP</p>	<ul style="list-style-type: none"> <li>▪ NCIP Certification affirming conditions</li> <li>▪ ESMP</li> </ul>
<p>Enterprises that are with components located in areas outside declared or proposed IP AD but have significant IPs/ICCs population and the majority of the proponents are not IP members</p>	<p>Conduct of free and prior informed consultation activities and securing broad community support. Incorporation/ integration of an IP Development Plan in the business plan for the purpose of minimizing adverse impacts, if any, to the IP communities and ensuring inclusion of the IPs in the benefits of the subproject.</p>	<ul style="list-style-type: none"> <li>▪ Documentation of FPIC Consultation (IEC materials, attendance sheets and minutes of meetings)</li> <li>▪ IP Community Endorsement or Resolution of Support</li> <li>▪ Business Plan shall include assessment/analysis of the impacts of the I-REAP subproject to the IP community; and</li> <li>▪ IP Plan</li> </ul>
<p>Enterprise in areas outside AD but with significant IP population and the majority of the proponents are members of the IP community</p>	<p>No measures needed</p>	<ul style="list-style-type: none"> <li>▪ Evidence that IP members constitute majority of the proponents</li> <li>▪ Evidence of consultation conducted</li> <li>▪ IP community endorsement</li> </ul>

Impact Scenario on Indigenous People	Mitigation	Required Documents/ Attachments
Potential damage to cultural properties and resources*	<p>Avoidance through relocation, realignment and redesign of enterprise component.</p> <p>For chance finds or discoveries of archaeological artifacts, immediate coordination with the National Museum is required</p>	<ul style="list-style-type: none"> <li>▪ Business plan and ESMP indicating avoidance, relocation or realignment of the affecting subproject activity. If the subproject involve significant excavation, proponent is required to adopt the PRDP Chance Find Procedure</li> </ul>

\*For inclusion to negative list of enterprises

The enterprise subprojects shall adhere to the Indigenous People’s Policy Framework (IPPF), a framework developed in accordance with the World Bank’s Environment and Social Framework (ESF) to ensure that negative impacts on IPs will be mitigated and positive impacts will be enhanced. It includes a discussion on the circumstances such as subproject’s impact on land relocation of IPs, and use of indigenous knowledge for commercial purposes that will require Free Prior Informed Consent (FPIC) Process.

Overall, with proper design and commitment, the PRDP Scale-Up will provide positive impacts on increased food security, increased agricultural production from value chain infrastructure support and enhanced access to markets, and increased income for farmers and fisherfolks from agri-fishery activities due to level-up approaches and innovations on climate resilience, proven new technologies and systems. The project will also enable the farmers and fisherfolks to have common service facilities that can help increase production efficiency, reduce labor cost, reduce postharvest losses, improve product quality, and increase product storage life.

The typical typology of subprojects considered under the project include: farm-to-market road/bridges; irrigation; potable water supply; crop production; multi-commodity processing; aquaculture, mariculture, hatcheries, fishponds; slaughterhouse, dressing Plant, hatchery meat processing, dairy processing; fish landing, feeder ports; milling, drying, packaging facilities; cold storage; warehouse, greenhouse; trading and market center. Considering these typologies, the subsequent sections present the potential environmental and social risks and impacts. Table 7-3 presents a broad/indicative list of issues/impacts to be considered under different ESS.

**Table 7- 3. Expected Environmental and Social Impacts Associated with I-BUILD Infrastructures and IREAP Enterprises.**

Environmental and Social Standard	Potential Environmental and Social Impact
ESS1: Assessment and Management of Environmental and Social Risks and Impacts	Vulnerability to natural, geologic and climate hazards
	Encroachment on buffer zone of protected area and forests
	Encroachment on mangrove forest, marshland, wetlands
	Change in land surface structure/topography/slope
	Conflict-affected areas
ESS2: Labor and Working Conditions	Occupational health and safety
	Labor disputes over terms and conditions of employment
	Gender-based violence (GBV) and sexual exploitation and abuse and sexual harassment risks (SEA-SH)
	Labor influx causing community peace & order issues
	Exposure to COVID19, sexually transmitted diseases, and other communicable diseases
ESS3: Resource Efficiency and Pollution Prevention and Management	Depletion of water resources from excessive water abstraction
	Energy consumption
	Runoff of pesticide and agro-chemical residues causing degradation of water quality
	Soil erosion from construction activities, quarry, borrow pits, materials & waste sites

	Water pollution from enterprises facilities
	Air pollution and GHG
	Odor
	Solid waste and byproducts
	Chemicals and hazardous waste
	Use of ODS
	Water-borne diseases in water supply
	Dust from construction
	Noise and vibration from construction
	Generation of construction wastes
	Domestic sewage and sanitation issues during construction
ESS4: Community Health and Safety	Community health and safety
	Food safety
	Traffic congestion
	Traffic-related accidents
ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement	Land acquisition and displacement
	Land conversion



ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources	Disturbance of ecosystem, flora and fauna
	Loss of genetic resources and variability
	Diseases from livestock and poultry
	Impact on ecosystem services
	Removal of trees and vegetation
ESS7: Indigenous Peoples	Impact on IP/ICC
ESS8: Cultural Heritage	Impacts on cultural properties and traditions
ESS10: Stakeholder Engagement and Information Disclosure	Conflicts
	Gender and vulnerability
	Community engagement and cohesion
	Economic growth
	Food security

In addition the following must be conducted as part of the Environment and Social Management Framework (ESMF):

- Conflict Sensitivity
- Updating of the ESMPs to address impacts and risks
- Additional personnel and Capacity Building

**Table 7- 4. Local policies and guidelines on land use and protection of the environment**

Particulars	Local policies and guidelines
<b>Forests</b>	<ul style="list-style-type: none"> <li>· Existing mangrove forests shall no longer be subjected to alternative land use conversion but shall be maintained in support of fishery production and coastal protection Projects.</li> <li>· Remaining forests within area of influence of PRDP subprojects shall be protected from agricultural encroachments, illegal logging and forest product harvesting and hunting; if forests are present within the influence area of FMRs, the concerned LGUs must include a forest protection plan/Project in conjunction with the subproject proposal.</li> </ul>
<b>Upland Areas</b>	<ul style="list-style-type: none"> <li>· Gently to moderately sloping grasslands (5-18% slope) may be put to intensive agricultural production that requires seasonal and periodic cultivation using sloping agricultural land technologies (SALT).</li> <li>· Grassland areas with slope gradients of 18-30% if utilized for agricultural production should be utilized only for establishment of orchards and industrial tree plantation.</li> <li>· Grassland/open lands with slope gradients of 30-50% or more shall only be developed into intensive agro-forestry farms or utilized as community forest.</li> </ul>
<b>Water resources</b>	<ul style="list-style-type: none"> <li>· All stream banks starting from 100 meters above sea level up to the highest tributary shall maintain a 50-meter and 20-meter vegetative riparian buffer for riverbanks and creek/stream bank protection, respectively.</li> <li>· Areas utilized for aquaculture/fishpond shall maintain a 50-meter mangrove buffer between the fishpond and open sea for coastal protection</li> <li>· Establishment of pasture areas shall include planting of shade trees on 20-meter wide strips on both sides of creeks/rivers</li> <li>· Mudflats on coastal areas covered under NRM subprojects shall be planted to mangrove species.</li> </ul>

Aside from conformance with the World Bank policies and guidelines, as mandated by the Philippine Government, all subprojects screened will be subjected to the PEIS. The PEIS established four project categories that indicate the magnitude of potential impacts to the biophysical and socio-economic environment. The categorization determines the type of document that is needed to secure an Environmental Compliance Certificate (ECC) or Certificate of Non Coverage (CNC). Category A is for Environmentally Critical Projects (ECP) and would require an Environmental Impact Statement (EIS). Category B Projects are undertakings located within Environmentally Critical Areas (ECA) and would require an EIS, Initial Environmental Examination (IEE) Report or IEE Checklist depending on the size and scale of the project. Category C is for environmental mitigation or enhancement projects, to include reforestation activities, artificial reef establishment, embankment and riverbanks stabilization works. Category D on the other hand, is for projects that are outside the coverage of PEIS System due to the minimal nature of environmental impacts. Categories A and B would require an ECC while Categories C and D projects would require CNC.

The Project is not expected to support ECP subprojects which include heavy industries, resource extractive industries and major infrastructure works. Prospective I-REAP enterprises are expected to fall under Categories B or D. Table 7-5 provides the threshold levels of enterprise components to guide the LGU and Enterprise Proponent Groups with regard to compliance to the Philippine EIS System. It is expected for Category B subprojects to secure ECC as part of the business plan prior to the approval of the enterprise while CNC for Category D subprojects is optional.

**Table 7- 5. Summary of Threshold Levels - Potential I-REAP Enterprise Components**

Possible Enterprise Components for I-REAP	Project Size Parameters	Category B	Category D
Rice/Corn Mill	Milling Rate	> 1 ton/hr	< 1 ton/hr
Poultry	Stock Population	> 10,000 heads but < 100,000 heads	< 10,000 heads
Pigs/Goat (enclosed)	Stock Population	> 100 heads but < 5,000 heads	< 100 heads
Fishery/Aquaculture Projects using fresh or brackish water	Total water spread area to be utilized	> 1 hectare but < 5 hectares	< 1 hectare OR seaweed farming
Compost/ fertilizer making	Daily capacity	> 3,750 MT annual capacity	< 3,750 MT annual capacity
Agricultural plantation	Area to be planted	EIS: > 500 hectares	< 50 hectares

Possible Enterprise Components for I-REAP	Project Size Parameters	Category B	Category D
		IEE: > 50 hectares but < 500 hectares	
Agricultural Processing including rice, corn, fruits and vegetables and other agricultural products	Annual production capacity	EIS: > 50,000 MT	< 5,000 MT
		IEE: > 5,000 MT but < 50,000 MT	
Processing of dairy products	Monthly production capacity	EIS: > 10,000 L (liquid) OR > 100 MT (solid)	≤ 100 L (liquid) or ≤ 1 MT (solid)
		IEE: > 100 L but < 10,000 L (liquid) OR > 1 MT but < 100 MT (solid)	
Coconut processing plants	Annual production capacity	EIS: > 25,000 MT	≤ 200 MT
		IEE: > 200 MT but < 25,000 MT	
Animal products processing (fish/meat)		EIS: > 2,500 MT	≤ 200 MT

Possible Enterprise Components for I-REAP	Project Size Parameters	Category B	Category D
processing, canning, slaughterhouses, etc.)	Annual production capacity	IEE: > 200 MT but < 2,500 MT	
Other types of food (and other food by-products, additives, etc.) processing industries	Annual production capacity (finished product)	EIS: > 50,000 MT	≤ 200 MT
		IEE: 200 MT but < 50,000 MT	
Leather and related industries	Annual production capacity	> 200 MT but < 2,500 MT	≤ 200 MT
Paper and plastic based products	Annual production capacity	> 15,000 MT	< 15,000 MT
Commercial buildings and other similar structures including food preservation (e.g., drying, freezing) and other methods aside from canning	Area to be utilized (gross/total floor area including parking and other areas)	EIS: > 5.0 hectare	< 1 hectare
		IEE: > 1 hectare but < 5.0 hectare	
Storage facilities, toxic/hazardous materials	Storage capacity	EIS: > 1,000 MT	None
		IEE: < 1,000 MT	

Possible Enterprise Components for I-REAP	Project Size Parameters	Category B	Category D
Batching and Cushing plant, sand and gravel washing	Type and year of operation	Regardless of size or capacity	Mobile or to be operated for less than 1 year

Preparation and review of environmental and social assessments. Subprojects that have passed the environmental screening shall proceed to the business plan preparation which includes the detailed Environmental and Social Assessment (ESA). This is to ensure that all potential environmental and social impacts of the subprojects are identified and will be addressed during construction of civil works and implementation of the enterprise operations.

The ESA shall contain sufficient information about the environmental and social conditions per specific subproject site and its relevant mitigation/management measures. The assessment section will contain disclosure statements on the conducted consultations among the FCA/ FCA cluster members and nearby communities, status of land acquisition, applicability of physical and economic displacement, presence of IPs/ICCs, and environmental screening and conditions. Required compliance documents stipulated in Tables 7-1, 7 -2, and 7-3, in cases of land acquisition, resettlement, IPs/ICCs involvement, and/or environmental clearances shall be packaged in the business plan for safeguards review and approval.

Compliance to the provisions of respective safeguards documents will form part of the conditionalities stipulated in the IMA between the PRDP, LGU and the I-REAP Enterprise FCA/ FCA cluster. The Project has prepared a guide in the preparation of the ESA (ESMF Annex F) which shall be conducted by the I-REAP Enterprise FCAs/ FCAs cluster with assistance of the LGU and shall undergo safeguards compliance review and approval at the RPCO, PSO, and NPCO.

Preparation of Environmental and Social Management/Mitigation Plan. The ESMP shall be prepared to incorporate all subproject specific environmental and social assessments and relevant mitigation/management measures to avoid/minimize the potential adverse impacts of the enterprise. Table 7 - 6 shows some of the potential adverse environmental impacts and mitigation measures that shall be considered in the ESA and preparation of the ESMP. ESMP templates for various enterprise subprojects (General, Crop Production, Animal Production, Aquaculture, Food Processing and Non-Food Processing) have been developed which shall be tailored to the subproject specific assessment and mitigation measures (Refer Annexes 14-20 of this manual for ESMP Templates). This is also tailored to ensure resource efficiency and minimized or prevention of pollution.

For construction of infrastructure/civil works, the winning contractor will be required to prepare a Contractor’s ESMP, incorporating all measures in the approved ESMP for which the contractor is responsible for and standard construction industry practice on occupational health and safety (Refer to ESMF Annex K for the Preparation guidelines). In addition, Siting Criteria and

Operational Guidelines of spoil/excess soil disposal sites (ESMF Annex J-11) shall be required as attachment to the ESMP.

**Table 7- 6. Potential Adverse Environmental Impacts relevant to I-REAP Subprojects**

Potential Adverse Environmental Impacts	Mitigation Guidelines
<p>Disturbance to natural habitat due to loss of vegetation in the expansion of production areas and loss of trees due to construction of civil works</p>	<ul style="list-style-type: none"> <li>· Clearing of vegetation and cutting of trees shall be avoided</li> <li>· If cutting of trees cannot be avoided, the design of the project shall consider earth balling or minimize cutting of trees.</li> <li>· A tree cutting permit from DENR shall be secured.</li> <li>· Planting of replacement trees in accordance to DENR guidelines in terms of appropriate species and quantity shall be conducted.</li> <li>· As an environmental advocacy, consider incorporation of tree planting activities as part of the Enterprise FCA/ FCA cluster’s social responsibility.</li> </ul>
<p>Soil and water pollution due to increased solid waste generation during construction of facilities and operation of enterprises</p>	<ul style="list-style-type: none"> <li>· Establishment of Materials Recovery Facility (MRF) to allow the regular conduct of segregation of biodegradable and non-biodegradable wastes, recycling and residuals collection/disposal.</li> <li>· No burning of solid wastes should be done. Proper handling, collecting and disposal of construction and enterprise operations wastes in accordance with the existing national and local policies.</li> <li>· Employ composting for the biodegradable waste to produce organic fertilizers.</li> <li>· Animal manure deposits should be far from any water resources (i.e. creeks, rivers, and springs).</li> <li>· Cover excreta with soil to avoid breeding of flies, and other insects.</li> </ul>
<p>Water pollution and water quality degradation due to waste water generation during construction and operation of enterprises</p>	<ul style="list-style-type: none"> <li>· Set up adequate latrine/toilet facility at the base camp and infrastructure with a septic tank during construction.</li> <li>· Strictly observe proper waste handling and disposal during construction.</li> <li>· Set up silt trap/stilling ponds to minimize downstream siltation during construction.</li> <li>· Production of large amounts of liquid organic waste that requires treatment before disposal shall set-up a wastewater facility and water impoundment.</li> <li>· Only treated water will be allowed to discharge in any receiving body of water.</li> <li>· Untreated wastewater should not be used for irrigation</li> <li>· Wastewater treatment should include effective organic removal and enough aeration.</li> <li>· Provide water impoundment for water recycling and irrigation purposes.</li> </ul>

Potential Adverse Environmental Impacts	Mitigation Guidelines
<p>Potential increase and indiscriminate use of inorganic fertilizer and other agro-chemicals</p>	<ul style="list-style-type: none"> <li>· For Pest Management, seek for the assistance on DA's IPM KASAKALIKASAN through the LGU Agriculture's Office</li> <li>· Farmers undergo training on proper handling and application of pesticides and agrochemicals based on the DA – Fertilizer and Pesticides Authority.</li> <li>· Farmers undergo training on soil management and encourage use of organic fertilizer.</li> <li>· Proposed plantation sites to undergo soil test and appropriate/approved fertilization should be followed based on GAP, GAqP, and GAHP.</li> <li>· Practice organic farming if fertilizers are needed to get rid or minimize the use of synthetic chemicals</li> <li>· Practice recommended application of fertilizers and other agro-chemicals to avoid excessive residues.</li> </ul>
<p>Soil and Water pollution due to regular use and disposal of hazardous chemicals needed in the enterprise</p>	<p>Adhere to Toxic Substances and Hazardous and Nuclear Wastes Control Act of 1990 (Republic Act No. 6969) that regulates the use, handling, storage, and disposal of hazardous chemical substances and wastes that would cause unreasonable risk and/or injury to health and the environment.</p>
<p>Competition in water use with the existing community</p>	<ul style="list-style-type: none"> <li>· Careful selection of project site to avoid disruption of community's traditional water demand.</li> <li>· Obtain water permits from NWRB if a new water system will be installed.</li> <li>· Implement rain water harvesting and similar measures as an alternative source of water</li> </ul>
<p>Depletion of water resources</p>	<ul style="list-style-type: none"> <li>· Implement rain water harvesting and similar measures as an alternative source of water.</li> <li>· Observe water conservation measures in the operations especially during washing and cleaning</li> <li>· Obtain water permits from NWRB if a new water system will be installed.</li> </ul>
<p>Adverse environmental degradation in the fishpond and marine ecosystem due to accumulation of bio-sediments at fishpond bed due to the intensive fishery activities and its discharge into the open sea</p>	<ul style="list-style-type: none"> <li>· Adherence to the standards of Good Aquaculture Practices and BFAR guidelines in terms of feeding, carrying capacity of the body of water/fishpond and enough distance for the installation of the water breeding spaces.</li> <li>· Fishpond bio-sediments should be cleaned up through bottom suction and slurry sediments should be collected, dried, and used as organic fertilizers.</li> <li>· Installation of wastewater facilities and only treated water will be allowed to discharge in any receiving body of water.</li> <li>· Seek the assistance of government agencies (DA-BFAR and LGU) and professionals for indicator parameters.</li> </ul>



Potential Adverse Environmental Impacts	Mitigation Guidelines
Soil erosion due to excessive agricultural production	<ul style="list-style-type: none"> <li>· Application of sloping agricultural land technologies (SALT) in gently to moderately sloping lands.</li> <li>· Implement soil erosion control measures such as cover crops and mulches, establishing leguminous ground cover and apply plant residues, grass barriers.</li> <li>· Plant grass in strips along the contour lines.</li> </ul>
Nuisances on odor and dust	<ul style="list-style-type: none"> <li>· Proper collection and management of solid waste, animal excreta, and other organic wastes</li> <li>· Practice sanitary housekeeping in the area.</li> <li>· Provide plant or trees fence as cover or buffer to minimize bad odor and dust</li> <li>· Practice composting of biodegradable wastes such as animal manures and other organic wastes to produce organic fertilizers and other uses</li> <li>· Install an anaerobic treatment through a biogas digester to control odor and methane from the animal excreta</li> </ul>
Food safety concerns due to mishandling and malpractices in food production and processing	<ul style="list-style-type: none"> <li>· Conformance and training to Food Safety standards</li> <li>· Training on Good Manufacturing Practices (GMP) and Hazard Analysis and Critical Control Points (HACCP)</li> </ul>

The Project adheres to the Bank Procedure (BP) 17.50 or Disclosure Policy that promotes transparency, accountability, and accessibility to information. The disclosure policy supports decision making by the Project through allowing public access to information on environmental and social aspects of the subprojects. With this, in compliance with the disclosure policy, all subprojects shall disclose pertinent environmental and social safeguards project documents at the PRDP website.

During subproject implementation, compliance with the safeguards requirements, especially in the ESMP measures by the I-REAP Enterprise Implementing Proponent and any actual environmental and social issues associated with the enterprise that may crop up during the course of construction and operation activities will be periodically monitored. PRDP NPCO/PSO/RPCO and the LGU involved shall have a regular monitoring visit, joint inspection during construction, and supervision during operation of the enterprise. Consequently, the subproject Enterprise Proponent Group shall conduct a self-monitoring every month and submit the PRDP Environment and Social Safeguards Compliance Monitoring Report to the RPCO (Refer to Annex 39).

A Biodiversity Management Plan (BMP) will be prepared and implemented to ensure that the health of the ecosystem is not depleted (Annex L of SES-ESMF). The document will include an assessment of biodiversity and integration of appropriate agricultural climate adaptation measures such as Multi diversity promotion and regenerative agriculture.

Furthermore, the project, through its enterprise subprojects, will also adhere to the Labor Management Procedure (LMP) document to ensure the right to decent work and equal

opportunities. It is a set of guidelines on labor matters, including measures on how to avoid and/or mitigate labor-related risks and issues such as unsafe working conditions, child labor, unfair treatment and discrimination at work.

## **8 Grievance Redress and Feedback Mechanism**

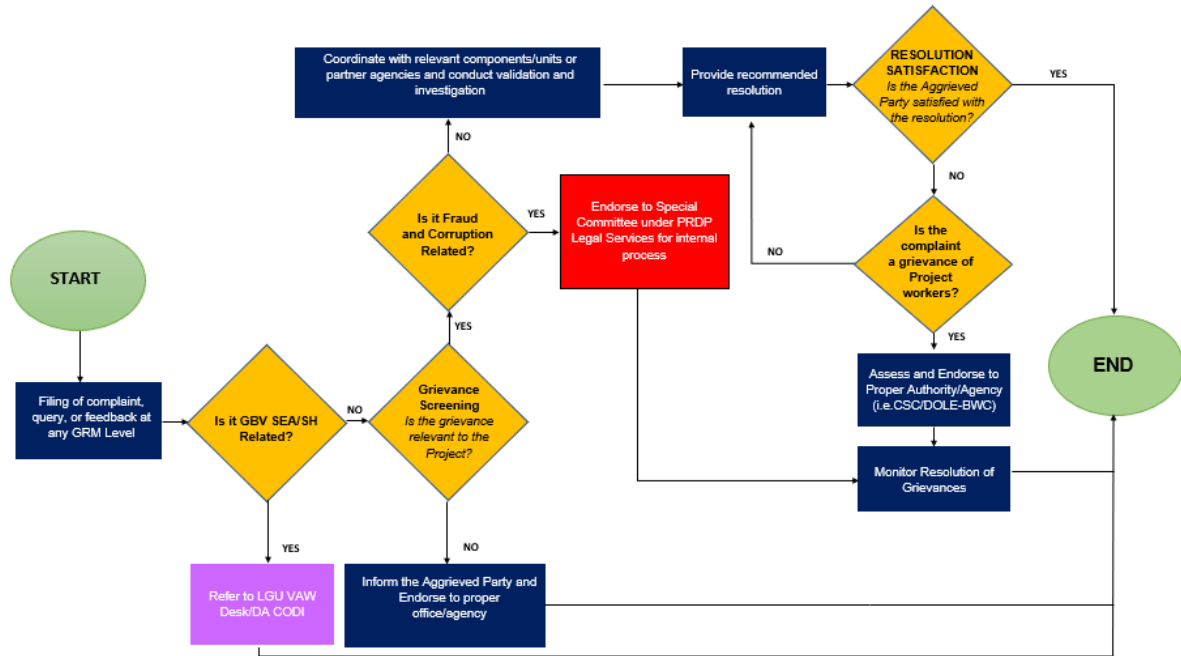
I-REAP subprojects will be covered by the Project-wide Grievance Redress Mechanism (GRM) system to be established in all participating Local Government Units (LGUs) and FCAs/ FCA clusters. All I-REAP subproject proposals must clearly indicate adoption of the GRM system. No I-REAP subproject will be implemented without demonstrating that a functional GRM has already been established and adequately disseminated within the subproject area.

The Project GRM will have the following elements:

1. Requirement. Each I-REAP subproject will have a system for airing and resolving grievances at the community level that will generally conform to the GRM framework of the Project. For the details of the PRDP GRM Framework, refer also to the IESSF of the Project.
2. Objective. The objective of Grievance Redress Mechanism is to provide stakeholders with a mechanism to voice out feedback and complaints at the subproject level and to provide the project management a means to hear and resolve complaints on the subproject.
3. Grievance Point Person or Committee. The PSOs, the RPCOs, FCA/ FCA clusters for Enterprise Development Subprojects and the LGU Governors/Mayor's Offices will each nominate and train one of their officers to be a Grievance Point Person (GPP) for project-related issues or a Committee may also be formed. The FCAs/ FCA clusters may opt to utilize their existing mediation committees for their subproject. For Indigenous Peoples FCAs/ FCA clusters, the Project also recognizes their traditional structures for resolving conflict such as the Council of Elders.
4. Mode of Uptakes. All Query/Feedback/Complaint may be directed at any level - NPCO, PSOs, RPCOs, FCA/ FCA cluster, Tribal Chieftain and LGUs (PLGU/MLGU/CLGU/Barangay) - by means of various uptakes such as via call, text messaging, e-mail, PRDP GRM Web-based Registry ([www.grm.daprdp.net/grm](http://www.grm.daprdp.net/grm)), PRDP Facebook page, PRDP Twitter account, letter, drop box, and personal appearance. At the barangay level, dropbox and personal appearance are minimum uptakes. Additionally, complainants have the right to stay anonymous depending on the situation, provided that contact information is made available by the complainant for verification and communication purposes
5. Resolution of the Complaints. The Grievance Committee or GPP will be responsible for the initial screening of feedback and complaints, as well as, the organization of preliminary meetings with concerned parties to establish the critical path to resolution. A registry of feedback or grievances received will be maintained by the GPPs for reporting to the NPCO and the World Bank, specifically for associated follow-up, resolution or non-resolution of issues. Feedback/grievance registries will be consolidated by the NPCO for discussions on how to further enhance PRDP systems based on the feedback and complaints. (See figure 8-1 for the GRM Resolution Process)
6. Grievance Reports. The safeguards focal persons of the LGU acting as secretariat to the Grievance Committee will compile all complaints and monitor their status as well as the

actions undertaken by the committee. A semi-annual report on the grievances will be prepared and submitted to their RPCOs.

Figure 8-1. GRM Process flow



## 9 Geomapping and Governance

### 9.1 Enterprise Subproject / Community Livelihood

Table 9.1. Matrix of geotagging activities for Enterprise Development subprojects by implementation stage

SP Type	Implementation Stage			
	Subproject Proposal	Subproject Implementation	Subproject Monitoring Upon Completion	Operations and Maintenance (EOM)
Animal Dispersal	<b>Responsible Personnel:</b> Implementing Proponent with the assistance of GGU and IREAP	<b>Responsible Personnel:</b> Implementing Proponent or LGU	<b>Responsible Personnel:</b> PRDP Team	<b>Responsible Personnel:</b> EDMS  <b>Frequency:</b> every site visit
Farm Production				
Agricultural Machineries for land preparation,				

SP Type	Implementation Stage			
	Subproject Proposal	Subproject Implementation	Subproject Monitoring Upon Completion	Operations and Maintenance (EOM)
crop establishment and post-harvesting	<p><b>Frequency:</b> only once</p> <p><b>Data Acquisition:</b> What items should be geotagged?</p> <ol style="list-style-type: none"> <li>1. Open the PRDPGeocamera app on your device.</li> <li>2. Label the activity with an appropriate name for easy identification.</li> <li>3. Geotag Photos (at least 4 photos) of the proposed site, including any existing structures</li> </ol> <p><b>Post Processing</b></p> <p>Access the Geomapping Portal of the DA-PRDP using your respective account credentials.</p> <p>Upload Geotag Photos to the Geo-mapping Portal of the DA-PRDP</p> <ol style="list-style-type: none"> <li>a. Select the specific Sub-Project (SP) assigned to you or create a new SP corresponding to your geographical area of</li> </ol>	<p><b>Frequency:</b> every delivery of items</p> <p><b>Data Acquisition:</b> What items should be geotagged?</p> <ol style="list-style-type: none"> <li>1. Geotag Photos (at least 2 photos) of goods/items at the end user location where it is applicable: <ol style="list-style-type: none"> <li>a. For transport vehicles (i.e. truck, farm tractor, banca (motorized/non-motorized etc.); farm machinery/equipment (i.e. thresher, cassava granulator etc.); processing equipment (i.e. spindle, fiber extractor, weighing scale, milk cooling tank, dryers etc.); small equipment, Geotagged photo (either front/side/back) and identification mark (i.e. plate number, serial number etc.) are required;</li> <li>b. For animal dispersal (i.e. dairy cows,</li> </ol> </li> </ol>	<p><b>Frequency:</b> every SP visit &amp; monitoring</p> <p><b>Data Acquisition:</b> What items should be geotagged?</p> <p>Where it is applicable: Geotag Photos of Production support assistance includes the following but not limited to; seeds, seedlings, (grafted, tubers, suckers, stalks, cuttings, etc.) organic fertilizer, seaweeds, fingerlings, mussel (bivalves shell) at sampling size of maximum thirty (30) recipient scattered in various location, if applicable. Geotag (at least four) photo of crop supported at farm location Geotagged (at least four) photo at fishery or module location Geotagged photo (at least two) of animals (with offspring) and owner. Geotagged Photos of infrastructure and equipment</p> <p><b>Post Processing</b></p>	<p><b>Data Acquisition:</b> What items should be geotagged?</p> <ol style="list-style-type: none"> <li>1. Geotag photos related to facilities, machinery, or equipment.</li> <li>2. Geotag photos of any repair and maintenance concerning functionality and serviceability.</li> </ol> <p>This helps in documenting and monitoring any repairs or improvements conducted on the identified items.</p>

SP Type	Implementation Stage			
	Subproject Proposal	Subproject Implementation	Subproject Monitoring Upon Completion	Operations and Maintenance (EOM)
	<p>responsibility .</p> <p>b. Upload geotag photos respective folder: Geotag Photos of proposed location of SP.</p> <p>c. You may include a label or annotation of geotag photos to provide more information.</p> <p>Identify and add placemark/ markers in the Geomapping Portal of the following where it is applicable:</p> <p>a. Office location of the proponent group</p> <p>b. Office location of Cluster Group/Cooperative/Organization Office</p> <p>c. Save file once accomplished</p> <p>3. Identify and create polygon or heat map of source location of</p>	<p>goats, etc.), geotagged photos with the recipient/end user residence or animal corral/pen/barn at sampling size of maximum thirty (30) recipient scattered in various location are required;</p> <p>c. For production support assistance which includes the following but not limited to; seeds, seedlings, (grafted, tubers, suckers, stalks, cuttings, etc.) organic fertilizer, seaweeds, fingerlings, mussel (bivalves shell), geotagged photos with the recipient/end user farm or residence upon delivery/receipt at sampling size of maximum thirty (30) recipient scattered in various location.</p> <p><b>Post Processing</b></p> <p>Access the Geomapping Portal of the DA-PRDP</p>	<p>Access the Geomapping Portal of the DA-PRDP using your respective account credentials.</p> <p>Upload Geotag Photos to the Geomapping Portal of the DA-PRDP</p> <p>e. Select the specific Sub-Project (SP) assigned to you as area of responsibility.</p> <p>f. Upload geotag photo respective folder or create a folder.</p> <p>g. You may include a label or annotation of geotag photos to provide more information.</p>	

SP Type	Implementation Stage			
	Subproject Proposal	Subproject Implementation	Subproject Monitoring Upon Completion	Operations and Maintenance (EOM)
	<p>raw materials, animal stocks and machinery users where it is applicable:</p> <ol style="list-style-type: none"> <li>a. For raw material source, create polygons representing 50% of the total commodity area as stated in the business plan.</li> <li>a. For animal headcount data use the heat map tool to input by barangay data from the MAO.</li> <li>b. For machinery target users, create polygons representing the 50% of the total commodity area to be served as stated in the business plan.</li> <li>c. Save file once accomplished</li> </ol>	<p>using your respective account credentials.</p> <ol style="list-style-type: none"> <li>2. Upload Geotag Photos to the Geo-mapping Portal of the DA-PRDP <ol style="list-style-type: none"> <li>b. Select the specific Sub-Project (SP) assigned to you as area of responsibility.</li> <li>c. Upload geotag photos to the respective folder or create a folder.</li> <li>d. You may include a label or annotation of geotag photos to provide more information.</li> </ol> </li> </ol>		

## 10 Results Based Monitoring and Evaluation (RBME) System for Enterprise Development Component

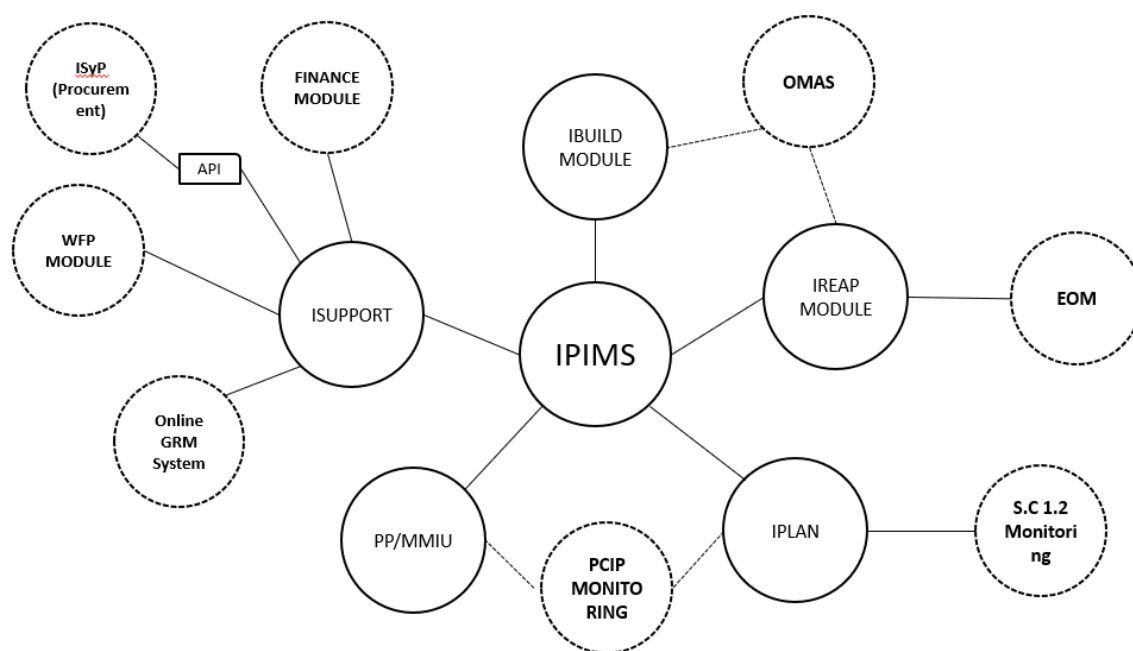
### 10.1 Introduction

This document defines the scope, responsibility centers, procedures and instruments to be used in the monitoring and evaluation of the progress of the PRDP Enterprise Development Component (I-REAP). The information is excerpted from the revised Results-Based M&E (RBME) Guidelines.

It is prepared by the NPCO MEL Unit as a reference of the NPCO I-REAP Component in updating the I-REAP Component Operations Manual Section on the monitoring and evaluation of the enterprise development subprojects

### 10.2 Overview of the Information Management System Conceptual Framework

The PRDP SU Information Management System Conceptual Framework (see Figure 10-1) embarks on the Project's Results Framework is at play with the three aspects of building-up a results-based M&E system. These cover the baseline information, input-process-output or progress M&E and result M&E. (Refer to MEL Manual).



**Figure 10 - 1. The PRDP SU Information Management System Conceptual Framework**

Progress and Results M&E are the two are integral parts of the RBME, the table below shows the logical flow of the I-REAP component's expected outcome – especially to the intermediate outcome – from each respective activities and outputs. All these are expected to contribute to the achievement of the PDO indicators.

Activities	Output	Intermediate Outcome	Outcome (PDO)
<b>Component 3 : Scaling-up Enterprise Development for Agri-Fishery Sector Development (I-REAP)</b> - Agri-fishery enterprise development in support to FCAs, clustered FCAs, or LGU based on RAFIP/PCIPs - Sub-grants for value chain infrastructure related to agri-fishery enterprise - Technical Assistance for FCAs/clustered FCAs, and producers to access services (market linkage, technology, credit, insurance, and others)	- Agri-fishery enterprise developed with FCAs, clustered FCAs, and/or LGUs - Technical Assistance to FCAs, clustered FCAs, and/or LGUs provided	- Agri-fishery enterprises engaged in post-production segments of value chains - Increase in profitability of participating agri-fishery enterprises - Agri-fishery enterprise clusters reached by business development support including credit and insurance - Agri-fishery enterprise clusters with partnership agreement with institutional buyers - Women directly participating in clustered enterprises	

**Table 10-1. RBME of I-REAP Component; including indicative targets**

### 10.3 Operationalizing the PRDP RBME System for the Enterprise Development Component

The monitoring of the progress of the enterprise development subprojects that are proposed by the implementing proponent for financing under the Enterprise Development Component shall start from the period the implementing proponent of the proposed subproject attended the Workshop on Business Plan preparation and shall end upon completion of the subproject as validated or confirmed by the concerned PRDP Regional Project Coordination Office (RPCO) and Project Support Office (PSO). The said subprojects shall be registered to the PRDP RBME system to be officially listed for funding under enterprise development.

#### 10.3.1 Monitoring and Evaluation of Enterprise Subprojects

##### 10.3.1.1 Monitoring of Enterprise Subprojects

**Scope.** The monitoring of the progress of the enterprise subprojects will be grouped into three major stages: 1) SP Preparation, 2) SP Implementation 3) SP Operations and 4) I-REAP Interventions

1. SP Preparation focuses on the SP development up to approval of subproject proposal thru the issuance of NOL 1.
2. SP Implementation focused on the procurement and delivery of interventions per package to the proponent groups.
3. SP Operations focuses on the operations of the enterprise, including the delivery of interventions to the target farmer/fisher beneficiaries.
4. I-REAP Interventions focuses on the provision of technical assistance to the subprojects such as market linkages, access to credit and insurance, training and capacity building activities

**Instrument Used.** Reporting of progress of the Enterprise SPs will largely be done through the PRDP SU information management system which includes the Enterprise Operations Monitoring System (EOMS).

##### 10.3.1.2 Monitoring Procedures and Responsibility Centers

The I-REAP Components at the RPCO shall be responsible for the overall monitoring and reporting of the progress of each enterprise subproject in the PRDP SU Information Management System. These responsibilities shall be co-shared by the concerned



Components/Units for a particular aspect of the SP Implementation, particularly on the following areas:

- a. Implementation of Civil Works – The I-BUILD Component shall be responsible for uploading the monthly POW updates.
- b. Procurement per Package – The Procurement Unit shall equally assist in the encoding and updating of progress on the procurement of the I-REAP SP packages real-time.
- c. Financial Progress – The Finance Unit shall equally ensure that related finance data and updates shall be reported in the MIS real-time.
- d. SP Operations - The I-REAP shall monitor the enterprise operations through the EOMS.

The Implementing Proponent shall provide updates to the progress/accomplishment of SPs during all phases in the PIMS then notify the RPCO. The RPCO shall monitor the PIMS I-REAP module for latest updates. Then updates from the Implementing Proponent shall be validated by the RPCO through site visit, document checking, etc. The PSO shall also validate with the RPCO about the latest update (desk validation). MEL unit shall be accountable in consolidation and analysis of data and report generation to be reported to the I-REAP component and the management. The NPCO will have an overall access to the reports in the PIMS. However, MEL Unit shall provide the I-REAP component with timely analysis and updates based on PIMS data.

For the detailed discussion on the IREAP enterprise operations monitoring, kindly refer to Section 4.1.2.3 Project Implementation Process - Enterprise Operations Monitoring System.

## **10.4 Subproject Results M&E Subsystem**

### **10.4.1 Subproject Baseline Data**

The baseline data corresponding to the specific objectives of the proposed enterprise development subproject needs to be established during the preparation of the subproject. This is to facilitate comparison of changes in the condition of beneficiaries from without to with-subproject periods.

The gathering of the baseline of the subproject (e.g., incomes of households of members of the enterprise, number of members (by sex), number of IP and Non-IP members, etc.) shall be done during the preparation of the subproject proposal particularly in the period after identifying the final list of FCA/ FCA Cluster to benefit from the proposed subproject.

In order to ensure compliance of the proponent LGUs, the SP Profile Form that includes baseline data of the subproject is set as part of the requirements for the issuance of No Objection Letter (NOL) 1 for the enterprise development subprojects.

While some of the information required in the SP Profile form are available and can be gathered from FCA/ FCA cluster members master list, other data particularly the average annual income of households of members in each FCA/ FCA cluster (broken down according to source e.g. On-Farm, Off-Farm and Non-Farm) and others, can be obtained through a survey with the FCA/ FCA cluster farmer members. The procedures for the survey including the necessary collaboration between the Project and the PP/C/MLGUs, and the FCA/FCA Cluster are explained in the succeeding parts.

#### **10.4.1.1 Timing of the Survey**

The survey for the profile of members of FCAs/ FCA clusters to benefit from the enterprise development SP shall be undertaken once an Implementing Proponent has been validated and confirmed by the PSO prescribed in the FCA/ FCA cluster validation and confirmation criteria.. This means that ideally, such a survey is necessary to be completed before a certain Proponent LGU (with FCAs/ FCA clusters) is asked to participate in the Workshop on Business Plan Preparation.

This will ensure that the LGU and FCAs/ FCA clusters have the necessary data to complete filling out of the SP Profile form during the said workshop (Refer to RBME Guidelines for the SP Profile Form).

Alternatively, a Proponent LGU (with FCAs/ FCA clusters) may be required to attend the Workshop on Business Plan Preparation though such survey is not yet undertaken/ completed. This is to prevent absence of the survey from causing delay in the technical assistance to a Proponent LGU and FCAs/ FCA clusters on the formulation of Business Plans of the proposed SPs. Under this option, the filling out of SP Profile Form during the workshop will still commence to cover data that are not dependent on survey (e.g. number of male and female members, IP and Non-IP members, etc.). The survey among members to complete the SP Profile Form will be undertaken while developing the SP Business Plan. It is necessary that the subproject profile, which includes baseline data, be completed prior to presentation of the subproject for RPAB approval.

#### **10.4.1.2 Mechanics for the Conduct of Survey**

The conduct of survey for the profiling of FCA/ FCA cluster farmer members shall be undertaken by the Proponent Groups and the P/C/M LGUs and FCAs/ FCA clusters with guidance from the concerned Regional Project Coordination Office (RPCO) through its I-REAP component and MEL unit with support from the PSO and NPCO as necessary. A survey questionnaire and the guide in conducting the survey will be provided by the NPCO I-REAP component and NPCO MEL Unit.

#### **10.4.2 Conduct of Rapid Appraisal of Emerging Benefits (RAEB)**

At least one (1) completed production cycle (with-enterprise scenario) after the completion of the subproject or a year after start of enterprise operations whichever comes first, the RPCO MEL Unit, Econ Group and I-REAP Component with support from the PSO and NPCO shall conduct a RAEB to selected subprojects through stratified random sampling that will seek to gauge and understand the emerging benefits of the enterprise subprojects that have improved operation through investments provided by the PRDP I-REAP Component. In particular, changes in income, increased number of members especially women, employment generated and other socio-economic benefits shall be assessed. The details of the process and instruments for the conduct of the RAEB are provided in the Framework for the Conduct of RAEB discussed in the RBME Guidelines.

##### **10.4.2. 1 Rapid Appraisal of Emerging Benefits (RAEB).**

This is an evaluation initiative by the DA-PRDP SU management focused on determining the success of various subprojects that are being and have been implemented across the country and how these are aligned with the PDO. It seeks to complement the midterm and EOP evaluation, which determines the overall success of the Project based on the indicators specified in the Project Results Framework and Arrangement for Monitoring. The RAEB will be done between the midterm and endline periods.

Selected subprojects shall undergo RAEB to assess the progress of subprojects and provide feedback to DA-PRDP SU management aiding their decision-making activities. At the same time, this will identify the benefits that can be attributed to the subproject and how these benefits can contribute in achieving the PDOs, IRs and other emerging benefits from the area. Specific guidelines on the conduct of RAEB can be gleaned in MEL Manual.

#### 10.4.2.2 Consolidated RAEB.

The consolidated RAEB report is an initiative of the DA-PRDP SU NPCO MEL Unit which shall show the aggregated results of the reports being submitted by PSOs and RPCOs. This report is used as a basis of the NPCO in various submissions and data requests by partners such as the World Bank, DA offices, etc. This consolidated report is project’s in-house assessment of how near is the Project in achieving the outcomes set by the management and the funding partner. At the same time, the information that is gathered from RAEB shall provide information to the management of the progress and even provide feedback to SPs that need actions.

### 10.5 Results M&E

Monitoring and evaluation of intermediate results expected from I-REAP Component will be part of the RAEB, Project Mid-Term and End-of-Project Evaluation Studies as specified in the PRDP Results Framework. The DA may engage the same firm or external group that conducted the baseline study or other firm / group as may be deemed necessary. The specific result indicators expected to be achieved in implementing the I-REAP Component contributing the development objectives of the project are shown in Table 10-1 below.

**Table 10- 2. Intermediate Outcomes to be Achieved under I-REAP Component**

Indicator Name	Definition/ Description	Frequency	Data Source	Methodology for Data Collection	Responsibility for Data Collection
Percent increase in profitability of participating agri-fishery enterprises	Baseline value is set TBD/zero as this measures incremental changes. Once the baseline survey is conducted, baseline value will be updated. By mid-term, it is expected that one-third of the target (13%) would be achieved.  This indicator tracks returns to investment. While	Semi-annual data collection and progress reporting.  Midterm and  End-of-Project in-depth evaluation	Agri-fishery enterprise records  Survey (Midterm, PCR)  Rapid Appraisal of Emerging Benefits (RAEB)  Supply or marketing contracts, Purchase	Use of standard project Data Capture Forms (DCF) – both in e-format and in paper format – to collect/ generate complementary quantitative and qualitative on-site data that will enable robust performance	NPCO MEL unit, supported by: (1) PSOs and RPCO; (2) on-site project staff, and component-specific staff; and (3) technical assistance and resources (e.g., for the conduct of market surveys, KIs,

Indicator Name	Definition/Description	Frequency	Data Source	Methodology for Data Collection	Responsibility for Data Collection
	<p>“profit” refers to a peso amount, “profitability” is understood to mean sustained annual increases in enterprise net profit resulting from PRDP business models, rather than seasonal/ fluctuating increases. Profitability is affected by factors such as the enterprise’s productivity, operational efficiency, and expenses; and external factors such as market demand and competition.</p>		<p>Orders, Regularity of transactions based on sales or delivery receipts of enterprises to institutional buyers i.e. processors, exporters, consolidator s,</p> <p>HORECA, government institutions, etc.</p>	<p>progress and results synthesis, analyses, reporting, and feedbacking.</p>	<p>FGDs) as needed and detailed in specific Terms of Reference. NPCO MEL unit to ensure coverage of all data for use in contribution and attribution analysis linking component level outputs to overall PDO achievement.</p>
<p>Percent of agri-fishery enterprise clusters reached by business development support including credit and insurance</p>	<p>Baseline is set zero as this measures incremental changes. A baseline survey will be conducted. By mid-term, it is expected that one-third of the target (17%) would be achieved.</p> <p>The indicator defines the enterprises linked with technical and business development support service providers and institutions.</p>	<p>Annual data collection and progress reporting (A year after subproject completion);</p>	<p>Enterprise Operations Monitoring</p> <p>PRDP MIS, Interviews, Periodic Reports, RAEB</p>	<p>Compilation of records from identified data sources. Use of standard project Data Capture Forms (DCF) – both in e-format and in paper format.</p>	<p>I-REAP Component and MEL unit, supported by PSOs and RPCOs.</p>

Indicator Name	Definition/Description	Frequency	Data Source	Methodology for Data Collection	Responsibility for Data Collection
Percent of agri-fishery enterprise clusters with partnership agreement with institutional buyers	<p>Baseline is zero, as this measures incremental changes as a result of project interventions. By mid-term, it is expected that one-third of the target (17%) would be achieved.</p> <p>This measures the agri-fishery linked to institutional buyers through either formal agreements, i.e., through contracts, purchase orders, etc.</p>	Annual data collection and progress reporting (A year after subproject completion);	Enterprise Operations Monitoring  PRDP MIS, Interviews, Periodic Reports, RAEB	Compilation of records from identified data sources. Use of standard project Data Capture Forms (DCF) – both in e-format and in paper format.	I-REAP Component and M&E unit, supported by PSOs and RPCOs
Percent of women directly participating in clustered enterprises	<p>Baseline is zero, as this measures incremental changes as a result of interventions. By mid-term, it is expected that one-third of the target (17%) would be achieved.</p> <p>This is measured as a percentage of the total number of women participating in the project. This indicator measures the degree to which women participate actively – and benefit from – targeted value chain segments (e.g., processing,</p>	Annual data collection and progress reporting (A year after subproject completion);  End-of-Project	Enterprise Operations Monitoring	Compilation of records from identified data sources. Use of standard project Data Capture Forms (DCF) – both in e-format and in paper format.	I-REAP Component and MEL unit, supported by PSOs and RPCOs.

Indicator Name	Definition/Description	Frequency	Data Source	Methodology for Data Collection	Responsibility for Data Collection
	marketing) at the enterprise level.				

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**Annex 1 - Sample Menu of Enterprises to be Supported by I-REAP Sub-Component**

## 3.1: Rural agri-fishery enterprise cluster productivity enhancement and increased access to markets

Value Chain Segments	Potential Subprojects
Input Supply/ Sourcing	<ul style="list-style-type: none"> <li>● Seedling Nurseries and Seed Banks</li> <li>● Tissue Culture Laboratories/ Centers</li> <li>● Organic Fertilizer Production/ Composting centers</li> <li>● Fish hatcheries and nurseries</li> <li>● Feed milling plants</li> <li>● Multiplier farms, breeding centers for livestock and poultry</li> </ul>
Production	<ul style="list-style-type: none"> <li>● Crop, Livestock, Dairy, and Fish production enterprises (communal farming facilities i.e. greenhouse, grow-out houses/pens, cattle feedlots, fishponds, etc.)</li> <li>● Common Service Facilities for mechanized farming/ Farm Machinery and Equipment Service Centers (land preparation, direct seeding, transplanting, spraying, harvesting, repair services, etc.) including the local fabrication and manufacturing of agri-fishery machinery and equipment</li> </ul>
Consolidation	<ul style="list-style-type: none"> <li>● Buying, Consolidation and Packaging centers for High Value Crops with logistics service facilities (Hauling trucks, refrigerated vans, etc.)</li> </ul>
Postharvest	<ul style="list-style-type: none"> <li>● Establishment and operation of Common Service Facilities for primary post harvest processes (drying facilities, fermentation houses, HWT/VHT facilities, etc.).</li> <li>● Storage for Grain, High Value Crops, Meat and Fish Products (Cold Storage facilities, Warehouses with drying and postharvest equipment, Silos, etc.)</li> </ul>
Processing	<ul style="list-style-type: none"> <li>● Rice and Corn processing centers</li> <li>● GMP compliant Crop/ Meat/ Dairy/fish processing facilities</li> <li>● Non-food products processing facilities (abaca, coco coir, rubber, etc.)</li> </ul>
Marketing	<ul style="list-style-type: none"> <li>● GMP-compliant Food supply hubs, i.e. trading posts/centers, and food terminals equipped with cold or dry storage facilities pre-processing/processing facilities, and logistics facilities</li> </ul>



## **Annex 2 - Sample of Activities/Sub-Projects to be Supported by I-REAP Subcomponent**

### **3.2 Capacity Strengthening for Increased Competitiveness of Rural Agri-fishery Enterprise Clusters**

#### **Research and Development and Extension System**

- a. Varietal improvement through tissue culture
- b. Technology enhancement through breeder stocks production and distribution facility
- c. Development of climate-smart technologies
- d. Establishment of product quality analysis laboratories which will also serve as product quality assessment training facility for farmers
- e. Establishment of extension network at the provincial level to provide extension delivery system to enterprises (e.g., SUCs, ATI, NGOs, private sector)
- f. Establishment of climate-smart field schools
- g. Selection and development of farmer-scientists (one for each priority commodity) to be partners of the academe in applied Research and Development
- h. Development of information tools that producers' groups and farmer entrepreneurs can use to preserve and enhance their operations (e.g. matrix of commodity and supporting programs and financial resources, Farmer Information and Technology System, etc.)
- i. Establishment of research and development center and technology incubation

#### **Capacity Building or Training**

- a. Training on Good Agricultural Practices (GAP), Good Animal Husbandry Practices (GAHP), Good Aquaculture Practices (GAqP), Good Manufacturing Practices (GMP), Hazard Analysis of Critical Control Points (HACCP)
- b. Training on processing of various commodities and product standards
- c. Use of existing agro-meteorological weather stations (AWS) for crop scheduling of crop cycles, etc.
- d. Climate-smart technology
- e. Facilitating access to credit, guarantee and insurance facilities
- f. Business Planning, enterprise development and management
- g. Establishment of Business Development Service (e.g., training on enterprise management, bookkeeping, internal control, cost analysis, financial management, etc.)

#### **Market Development Services**

- a. Promotion of clustering approach through partnership and network building
- b. Establishment of an LGU-based one-stop action center or Agri-fishery Business Processing and Licensing Center (ABPLC)
- c. Trial shipment of priority products from specific sources to identified markets
- d. Market promotion through trade fairs, caravans, cross visits, study tour
- e. Trade facilitation through conduct of market matching or linkage activities
- f. Shelf-life testing of priority commodities/products
- g. Enhancement of packaging and labeling of priority products
- h. Support towards certifications and accreditation to enhance market access (e.g., organic certification, halal certification, etc)
- i. Operationalization of national and regional marketing umbrella to assist the enterprises in facilitating linkages with other agri-fishery stakeholders in the priority commodity value chains
- j. Use of digital technology for marketing agri-fishery commodities and products

### Annex 3 - Negative List of Sub-projects Not Eligible for I-REAP Funding

The following lists of subprojects are **NOT** eligible for I-REAP funding:

- a. Money market placement, time deposit or other forms of investment
- b. Cash advance of any official of the PG unless related to the implementation of enterprise
- c. Payment of salaries, honoraria or any form of allowances of the personnel of the LGU
- d. Purchase and payment of operating supplies and raw material requirements
- e. Purchase of supplies, materials, equipment and motor vehicles of the LGU
- f. Acquisition of assets of the PG, unless necessary for the execution of the enterprise and specifically stipulated in the business plan
- g. Purchase of weapons
- h. Financing of political and religious activities
- i. Purchase of inorganic/synthetic fertilizer, fungicides, insecticides and herbicides, asbestos and other potentially dangerous chemicals, materials, and equipment
- j. Chainsaws and explosives
- k. Financing of sawmills
- l. Consumption items or events
- m. Financing activities that have an alternative prior source of committed funding
- n. Financing labor and other costs that could be provided in-kind through the members of the enterprise
- o. Financing salaries and wages unless the enterprise personnel required is highly technical or specialized
- p. Financing administrative expenses such as fuel, utilities, repair and maintenance, permits and licenses except those requiring product certifications and licensing
- q. Purchase or repair of vehicles for government offices
- r. Salaried activities that employ children under 16 years of age
- s. Financing activities that unfairly exploit women or men at any age
- t. Use of mangrove or coral reefs as building materials
- u. Purchase of fishing boats and other related equipment unless directly related or needed in the enterprise
- v. Construction of enterprise support facilities in protected areas
- w. Use of funds for purchase or compensation of land
- x. Construction or repair and buying of equipment for government offices and places of worship
- y. Micro-financing activities
- z. Potable water systems

## Annex 4 - Prospective Partner Agencies by Commodity Group and by Support Services

Commodity Group	Production/Productivity	Financing	Research and Development	Business Support and Development
Crops	DA Attached Agencies (PCA <sup>1</sup> , BPI <sup>2</sup> , BSWM <sup>3</sup> , ATI <sup>4</sup> , PhilFIDA <sup>5</sup> , PhilMech <sup>6</sup> , and PhilRice <sup>7</sup> ); DA Banner Programs (Rice, Corn, HVCDP <sup>8</sup> )	ACPC <sup>9</sup> , AMCFP <sup>10</sup> , Quedancor <sup>11</sup> Window, DBP <sup>12</sup> , ACEF <sup>13</sup>	DOST-PCAARRD <sup>14</sup> , UPLB <sup>15</sup> , SUCs <sup>16</sup> BAR <sup>17</sup> , PhilMech,	DTI <sup>18</sup> and its Small and Medium Enterprise Core Group [BSMED <sup>19</sup> , SBGFC <sup>20</sup> , PTTC <sup>21</sup> , PDCC <sup>22</sup> , CITC <sup>23</sup> , BDT <sup>24</sup> ], PhilMech, ATI, CDA <sup>25</sup>
Livestock	DA Attached Agencies	MLDLP <sup>31</sup> , Quedancor, DBP, ACEF, ACPC	DOST-PCAARRD, UPLB, SUCs, BAR, PhilMech	DTI and its SME Core Group [BSMED, SBGFC, PTTC, PDDC, CITC, BDT]

<sup>1</sup> PCA - Philippine Coconut Authority

<sup>2</sup> BPI - Bureau of Plant Industry

<sup>3</sup> BSWM - Bureau of Soils and Water Management

<sup>4</sup> ATI - Agricultural Training Institute

<sup>5</sup> PhilFIDA - Philippine Fiber Industry and Development Authority

<sup>6</sup> PhilMECH - Philippine Center for Postharvest Development and Mechanization

<sup>7</sup> PhilRice - Philippine Rice Research Institute

<sup>8</sup> HVCDP - High Value Crops Development Program

<sup>9</sup> ACPC - Agricultural Credit Policy Council

<sup>10</sup> AMCFP - Agro-industry Modernization Credit and Financing Program

<sup>11</sup> QUEDANCOR - Quedan and Rural Credit Guarantee Corporation

<sup>12</sup> DBP - Development Bank of the Philippines

<sup>13</sup> ACEF - Agriculture Competitiveness Enhancement Fund

<sup>14</sup> DOST-PCAARRD - Department of Science and Technology- Philippine Council for Agriculture, Forestry, Aquatic and Natural Resources Research and Development

<sup>15</sup> UPLB - University of the Philippines Los Baños

<sup>16</sup> SUCs - State Universities and Colleges

<sup>17</sup> BAR - Bureau of Agricultural Research

<sup>18</sup> DTI - Department of Trade and Industry

<sup>19</sup> BSMED - Bureau of SME Development

<sup>20</sup> SBGFC - Small Business Guarantee and Finance Corporation

<sup>21</sup> PTTC - Philippine Trade and Training Center

<sup>22</sup> PDDC - Product Development and Design Center

<sup>23</sup> CITC - Cottage Industries and Technological Center

<sup>24</sup> BDT - Bureau of Domestic Trade

<sup>25</sup> CDA - Cooperative Development Authority

<sup>31</sup> MLDLP - Multi-livestock Development Loan Program

	[LDC <sup>26</sup> , PCC <sup>27</sup> , BAI <sup>28</sup> , NDA <sup>29</sup> , and NMIS <sup>30</sup> ], ATI			PADCC, PhilMech, ATI
Fishery	DA and Attached Agencies [BFAR <sup>32</sup> , PFDA <sup>33</sup> ], SEAFDEC <sup>34</sup> ATI	ACPC, AMCFP, Quedancor Window, DBP, ACEF	DOST- PCAARRD, NFRDI <sup>35</sup> , SUCs, PhilMech, SEAFDEC	DTI and its SME Core Group [BSMED, SBGFC, PTTC, PDDC, CITC, BDT] PDCC, PhilMech, SEAFDEC, ATI

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<sup>26</sup> LDC - Livestock Development Council

<sup>27</sup> PCC - Philippine Carabao Center

<sup>28</sup> BAI - Bureau of Animal Industry

<sup>29</sup> NDA - National Dairy Authority

<sup>30</sup> NMIS - National Meat Inspection Service

<sup>32</sup> BFAR - Bureau of Fisheries and Aquatic resources

<sup>33</sup> PFDA - Philippine Fish Development Authority

<sup>34</sup> SEAFDEC - South East Asian Fisheries Development Center

<sup>35</sup> NFRDI - National Fisheries Research and Development Institute

## Annex 5 - Sample Terms of References

### TERMS OF REFERENCE Business Development Staff (Finance)

#### Rationale/Background

The Philippine Rural Development Project (PRDP) is designed to contribute to achieving the national goals of inclusive growth, job creation and poverty reduction. It builds on existing policy frameworks, principles and lessons learned from past programs of the Department of Agriculture (DA). The PRDP was initially a six-year initiative (2013-2018), until its extension until 2022 to continue its objectives to increase the productivity of farms and fisheries and improve the incomes of people from sixteen (16) target regions of the country. The project seeks to achieve this objective by improving farmers' and other industry players' accessibility to a strategic network of infrastructure, market information and support services. Specific investments and interventions are to be implemented under four central components of the project, namely: 1) Local Planning (IPLAN); 2) Infrastructure Development (I-BUILD); 3) Enterprise Development (I-REAP); and 4) Project Support (I-SUPPORT).

Banking on the gains of the original project implemented since 2014 and will close in 2025, the Philippine Rural Development Project (PRDP) Scale Up is an expanded response to the persistent challenges confronting the agri-fishery sector and the rural communities in the country. The Project aims to improve farmers and fisherfolk access to markets and increase income from agri-fishery activities (on and off-farm) by adopting the clustering and consolidation strategy of farmers and fisherfolk groups producing priority commodities that are within the Provincial Commodity Investment Plans (PCIPs) and aligned with the National Agriculture and Fisheries Modernization and Industrialization Plan (NAFMIP).

The proposed PRDP Scale-Up is envisaged to introduce a more holistic design and strategies by looking at a broader agri-food/commodity system to address the gaps in the whole commodity value chains, level up approaches and innovations based on lessons learned, contribute to improving climate resilience and modernizing the agriculture and fisheries sector. Interventions include the emphasis on rebuilding the whole value chain, improving the food supply chain and logistics, prioritizing farm-to-market roads (FMRs) with value chain infrastructure support, the inclusion of rice and corn focusing on value addition, and mainstreaming of institutional reforms in the DA programs and projects.

The implementation of the I-REAP component, and the PRDP as a whole, involves several institutional partners at the regional, provincial, municipal and barangay levels. It also involves local communities, households, people's organizations, non-government organizations, private sector, academic institutions and other civil society sectors.

I-REAP activities can be categorized into two sub-components namely; Rural Agri fishery Enterprise and Productivity Enhancement; and Technology and Information for Enterprise and Market Development. This component will support the development, implementation and sustainability of agricultural, livestock or fishery-based entrepreneurial activities, based on the analysis priority commodity value chains being supported under the Regional Agricultural Fisheries and Modernization Plans (RAFMPs) and as reflected in the Provincial Commodity Investment Plans (PCIPs). It will engage broad sections of the sector in the production of marketable surplus through vertical clustering, joint business planning and investments by proponent groups engaged in rural agri-fishery enterprises.

## Scope of Services to be Rendered

The main role of the Business Development Staff on Finance is to take the lead in providing technical assistance through coaching and mentoring of the RPCO (for PSO position) LGU and the FCA/FCA Clusters (for RPCO position) in all financial management related concerns of the enterprise

## Tasks and Responsibilities

- a. Identify together with the FCA/FCA Clusters and/or LGU the required investment requirements for the proposed enterprise
- b. Assist in the preparation of the enterprise budget
- c. Assist in the preparation of the enterprise financial statements
- d. Prepare the required financial analysis and financial ratios
- e. Set-up the enterprise financial management system and cascade this to the LGUs and the FCA/FCA Clusters
- f. Assist the Implementing Proponent in complying the comments and recommendations of the business plan reviewers
- g. Assist the Component Head in the validation and selection of FCA/FCA Clusters and enterprise business model
- h. Perform other duties that may be required from time to time

## Qualification Requirements

### *Academic Qualification*

At least a Bachelor's degree in Accountancy, Business Administration major in Finance, Agribusiness, Agricultural Economics, and other related fields

### *Experience*

At least two (2) years' experience in any or combination of the following: financial management, accounting, bookkeeping, financial audit, business plan preparation, project proposal writing, project development

### *Knowledge, Skills and Abilities*

- a. Skill in using financial analysis using computer programs/software;
- b. Strong analytical and operational knowledge of agribusiness
- c. Considerable knowledge on agriculture and fishery commodities
- d. Understanding of business procedures including business financing, human resources, IT, operations and sales and marketing financing options for business start-ups and business expansions;
- e. Strong interpersonal skills;
- f. Ability to communicate effectively in oral and in writing, work independently and as part of the team, and work effectively with co-workers, partner agencies and the private sector; and
- g. Advanced proficiency in MS word, excel, and powerpoint.

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TERMS OF REFERENCE



## Business Development Staff (Marketing)

### Rationale/Background

The Philippine Rural Development Project (PRDP) is designed to contribute to achieving the national goals of inclusive growth, job creation and poverty reduction. It builds on existing policy frameworks, principles and lessons learned from past programs of the Department of Agriculture (DA). The PRDP was initially a six-year initiative (2013-2018), until its extension until 2022 to continue its objectives to increase the productivity of farms and fisheries and improve the incomes of people from sixteen (16) target regions of the country. The project seeks to achieve this objective by improving farmers' and other industry players' accessibility to a strategic network of infrastructure, market information and support services. Specific investments and interventions are to be implemented under four central components of the project, namely: 1) Local Planning (IPLAN); 2) Infrastructure Development (I-BUILD); 3) Enterprise Development (I-REAP); and 4) Project Support (I-SUPPORT).

Banking on the gains of the original project implemented since 2014 and will close in 2025, the Philippine Rural Development Project (PRDP) Scale Up is an expanded response to the persistent challenges confronting the agri-fishery sector and the rural communities in the country. The Project aims to improve farmers and fisherfolk access to markets and increase income from agri-fishery activities (on and off-farm) by adopting the clustering and consolidation strategy of farmers and fisherfolk groups producing priority commodities that are within the Provincial Commodity Investment Plans (PCIPs) and aligned with the National Agriculture and Fisheries Modernization and Industrialization Plan (NAFMIP).

The proposed PRDP Scale-Up is envisaged to introduce a more holistic design and strategies by looking at a broader agri-food/commodity system to address the gaps in the whole commodity value chains, level up approaches and innovations based on lessons learned, contribute to improving climate resilience and modernizing the agriculture and fisheries sector. Interventions include the emphasis on rebuilding the whole value chain, improving the food supply chain and logistics, prioritizing farm-to-market roads (FMRs) with value chain infrastructure support, the inclusion of rice and corn focusing on value addition, and mainstreaming of institutional reforms in the DA programs and projects.

The implementation of the I-REAP component, and the PRDP as a whole, involves several institutional partners at the regional, provincial, municipal and barangay levels. It also involves local communities, households, people's organizations, non-government organizations, private sector, academic institutions and other civil society sectors.

I-REAP activities can be categorized into two sub-components namely; Rural Agri fishery Enterprise and Productivity Enhancement; and Technology and Information for Enterprise and Market Development. This component will support the development, implementation and sustainability of agricultural, livestock or fishery-based entrepreneurial activities, based on the analysis priority commodity value chains being supported under the Regional Agricultural Fisheries and Modernization Plans (RAFMPs) and as reflected in the Provincial Commodity Investment Plans (PCIPs). It will engage broad sections of the sector in the production of marketable surplus through vertical clustering, joint business planning and investments by proponent groups engaged in rural agri-fishery enterprises.

Scope of Services to be Rendered

The main role of the Business Development Staff on Marketing is to take the lead in providing technical assistance through coaching and mentoring of the RPCO (for PSO position) LGU and the FCA/FCA Clusters (for RPCO position) in developing the marketing strategies and plans of the enterprise.

#### Tasks and Responsibilities

- a. Identify together with the FCA/FCA Clusters and/or LGU the competitors and assist in the preparation of the competitors assessment to include buying and selling practices, pricing and promotions strategies
- b. Conduct target buyers profiling to include information on total demand and potential demand for the enterprise
- c. Assist in the preparation of the enterprise marketing plan using the different marketing mix (product, price, place, promotion) and identify corresponding budget
- d. Facilitate market linkage of the enterprise with potential or target buyers
- e. Prepare purchase agreement with farmer suppliers and marketing agreement with the buyers
- f. Assist the Implementing Proponent in complying the comments and recommendations of the business plan reviewers
- g. Assist the Component Head in the validation and selection of FCA/FCA Clusters and enterprise business model
- h. Perform other duties that may be required from time to time

#### Qualification Requirements

##### *Academic Qualification*

At least a Bachelor's degree in Agribusiness, Agricultural Economics, Business Administration major in Marketing, Agriculture, and other related fields

##### *Experience*

At least two (2) years' experience in any or combination of the following: market development, product development, preparation of marketing plan, business plan preparation, project proposal writing, project development

##### *Knowledge, Skills and Abilities*

- a. Considerable knowledge in marketing agri-fishery based commodities
- b. Analytical and operational knowledge of agribusiness
- c. Understanding of business procedures including business financing, human resources, IT, operations and sales and marketing financing options for business start-ups and business expansions
- d. Strong interpersonal skills
- e. Ability to communicate effectively in oral and in writing, work independently and as part of the team, and work effectively with co-workers, partner agencies and the private sector
- f. Advanced proficiency in MS word, excel, and powerpoint

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TERMS OF REFERENCE

## **Business Development Staff (Operations)**

### **Rationale/Background**

The Philippine Rural Development Project (PRDP) is designed to contribute to achieving the national goals of inclusive growth, job creation and poverty reduction. It builds on existing policy frameworks, principles and lessons learned from past programs of the Department of Agriculture (DA). The PRDP was initially a six-year initiative (2013-2018), until its extension until 2022 to continue its objectives to increase the productivity of farms and fisheries and improve the incomes of people from sixteen (16) target regions of the country. The project seeks to achieve this objective by improving farmers' and other industry players' accessibility to a strategic network of infrastructure, market information and support services. Specific investments and interventions are to be implemented under four central components of the project, namely: 1) Local Planning (IPLAN); 2) Infrastructure Development (I-BUILD); 3) Enterprise Development (I-REAP); and 4) Project Support (I-SUPPORT).

Banking on the gains of the original project implemented since 2014 and will close in 2025, the Philippine Rural Development Project (PRDP) Scale Up is an expanded response to the persistent challenges confronting the agri-fishery sector and the rural communities in the country. The Project aims to improve farmers and fisherfolk access to markets and increase income from agri-fishery activities (on and off-farm) by adopting the clustering and consolidation strategy of farmers and fisherfolk groups producing priority commodities that are within the Provincial Commodity Investment Plans (PCIPs) and aligned with the National Agriculture and Fisheries Modernization and Industrialization Plan (NAFMIP).

The proposed PRDP Scale-Up is envisaged to introduce a more holistic design and strategies by looking at a broader agri-food/commodity system to address the gaps in the whole commodity value chains, level up approaches and innovations based on lessons learned, contribute to improving climate resilience and modernizing the agriculture and fisheries sector. Interventions include the emphasis on rebuilding the whole value chain, improving the food supply chain and logistics, prioritizing farm-to-market roads (FMRs) with value chain infrastructure support, the inclusion of rice and corn focusing on value addition, and mainstreaming of institutional reforms in the DA programs and projects.

The implementation of the I-REAP component, and the PRDP as a whole, involves several institutional partners at the regional, provincial, municipal and barangay levels. It also involves local communities, households, people's organizations, non-government organizations, private sector, academic institutions and other civil society sectors.

I-REAP activities can be categorized into two sub-components namely; Rural Agri fishery Enterprise and Productivity Enhancement; and Technology and Information for Enterprise and Market Development. This component will support the development, implementation and sustainability of agricultural, livestock or fishery-based entrepreneurial activities, based on the analysis priority commodity value chains being supported under the Regional Agricultural Fisheries and Modernization Plans (RAFMPs) and as reflected in the Provincial Commodity Investment Plans (PCIPs). It will engage broad sections of the sector in the production of marketable surplus through vertical clustering, joint business planning and investments by proponent groups engaged in rural agri-fishery enterprises.

### **Scope of Services to be Rendered**

The main role of the Business Development Staff on Operations is to take the lead in providing technical assistance through coaching and mentoring of the RPCO (for PSO position) LGU and the FCA/FCA Cluster (for RPCO position) in preparing the operational plan and technical requirements of the enterprise.

#### Tasks and Responsibilities

- a. Identify together with the FCAs/FCA Clusters and/or LGUs the technology required for the enterprise and its adaptation and implementation
- b. Provide guidance in operations planning from identifying the inputs/raw material ingredients, the process, technology, the output, product or services and the corresponding budget or expenses
- c. Identify and assess existing technology/ies that could be adapted by the enterprise
- d. Assist in the identification of technology or equipment specifications appropriate for the enterprise
- e. Work closely with the I-BUILD in the preparation of the DED and POW for the infrastructure component of the enterprise
- f. Prepare process and operational flow of the enterprise
- g. Ensure compliance of enterprise to food safety standards (GAP, GAHP, GAqP, GMP, HACCP, etc)
- h. Assist the Implementing Proponent in complying the comments and recommendations of the business plan reviewers
- i. Assist the Component Head in the validation and selection of FCAs/FCA Clusters and enterprise business model
- j. Perform other duties that may be required from time to time

#### Qualification Requirements

##### *Academic Qualification*

At least a Bachelor's degree in Agriculture, Architecture, Civil Engineering, Agricultural Engineering, Agribusiness, Agricultural Economics, Food Science, Food Technology, Business Administration, and other related fields

##### *Experience*

At least two (2) years' experience in any or combination of the following: farming, manufacturing, processing, product development, production planning, business plan preparation, project proposal writing, project development

##### *Knowledge, Skills and Abilities*

- a. Considerable knowledge in production and processing of agri-fishery based commodities
- b. Analytical and operational knowledge of agribusiness
- c. Understanding of business procedures including business financing, human resources, IT, operations and sales and marketing financing options for business start-ups and business expansions
- d. Strong interpersonal skills
- e. Ability to communicate effectively in oral and in writing, work independently and as part of the team, and work effectively with co-workers, partner agencies and the private sector

- f. Advanced proficiency in MS word, excel, and powerpoint

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TERMS OF REFERENCE  
**Business Development Staff (Organizational Management)**

### Rationale/Background

The Philippine Rural Development Project (PRDP) is designed to contribute to achieving the national goals of inclusive growth, job creation and poverty reduction. It builds on existing policy frameworks, principles and lessons learned from past programs of the Department of Agriculture (DA). The PRDP was initially a six-year initiative (2013-2018), until its extension until 2022 to continue its objectives to increase the productivity of farms and fisheries and improve the incomes of people from sixteen (16) target regions of the country. The project seeks to achieve this objective by improving farmers' and other industry players' accessibility to a strategic network of infrastructure, market information and support services. Specific investments and interventions are to be implemented under four central components of the project, namely: 1) Local Planning (IPLAN); 2) Infrastructure Development (I-BUILD); 3) Enterprise Development (I-REAP); and 4) Project Support (I-SUPPORT).

Banking on the gains of the original project implemented since 2014 and will close in 2025, the Philippine Rural Development Project (PRDP) Scale Up is an expanded response to the persistent challenges confronting the agri-fishery sector and the rural communities in the country. The Project aims to improve farmers and fisherfolk access to markets and increase income from agri-fishery activities (on and off-farm) by adopting the clustering and consolidation strategy of farmers and fisherfolk groups producing priority commodities that are within the Provincial Commodity Investment Plans (PCIPs) and aligned with the National Agriculture and Fisheries Modernization and Industrialization Plan (NAFMIP).

The proposed PRDP Scale-Up is envisaged to introduce a more holistic design and strategies by looking at a broader agri-food/commodity system to address the gaps in the whole commodity value chains, level up approaches and innovations based on lessons learned, contribute to improving climate resilience and modernizing the agriculture and fisheries sector. Interventions include the emphasis on rebuilding the whole value chain, improving the food supply chain and logistics, prioritizing farm-to-market roads (FMRs) with value chain infrastructure support, the inclusion of rice and corn focusing on value addition, and mainstreaming of institutional reforms in the DA programs and projects.

The implementation of the I-REAP component, and the PRDP as a whole, involves several institutional partners at the regional, provincial, municipal and barangay levels. It also involves local communities, households, people's organizations, non-government organizations, private sector, academic institutions and other civil society sectors.

I-REAP activities can be categorized into two sub-components namely; Rural Agri fishery Enterprise and Productivity Enhancement; and Technology and Information for Enterprise and Market Development. This component will support the development, implementation and sustainability of agricultural, livestock or fishery-based entrepreneurial activities, based on the analysis priority commodity value chains being supported under the Regional Agricultural Fisheries and Modernization Plans (RAFMPs) and as reflected in the Provincial Commodity Investment Plans (PCIPs). It will engage broad sections of the sector in the production of marketable surplus through vertical clustering, joint business planning and investments by proponent groups engaged in rural agri-fishery enterprises.

### Scope of Services to be Rendered

The main role of the Business Development Staff on Organizational Management is to take the lead in providing technical assistance through coaching and mentoring of the RPCO (for PSO position) LGU and the FCA/FCA Clusters (for RPCO position) in preparing the organizational and management requirements of the enterprise.

#### Tasks and Responsibilities

- a. Identify together with the FCAs/FCA Clusters and/or LGUs the appropriate organizational and business structure for the enterprise;
- b. Assist in preparing the organizational and management plan for the enterprise including the required operations and administrative staff with corresponding job descriptions, qualifications and remunerations
- c. Identify the business capability requirements of the proponent groups including the operations and management staff
- d.
- e. Link with concerned DA agencies i.e. ATI and other government agencies i.e. CDA, DOLE, DTI for the provision of capability building or training to proponent groups and its members
- f. Ensure compliance of enterprise to labor law and occupational safety
- g. Assist the Implementing Proponent in complying the comments and recommendations of the business plan reviewers
- h. Assist the Component Head in the validation and selection of FCA/FCA Cluster and enterprise business model
- i. Perform other duties that may be required from time to time

#### Qualification Requirements

##### *Academic Qualification*

At least a Bachelor's degree in Agriculture, Agribusiness, Agricultural Economics, Business Administration, and other related fields

##### *Experience*

At least two (2) years experience in any or combination of the following: organizational diagnosis, strategic planning, community organizing

##### *Knowledge, Skills and Abilities*

- a. Considerable knowledge in business procedures including business financing, human resources, IT, operations and sales and marketing financing options for business start-ups and business expansions
- b. Analytical and operational knowledge of agribusiness
- c. Strong interpersonal skills
- d. Ability to communicate effectively in oral and in writing, work independently and as part of the team, and work effectively with co-workers, partner agencies and the private sector
- e. Advanced proficiency in MS word, excel, and powerpoint

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#### **TERMS OF REFERENCE**

## **Enterprise Development and Marketing Specialist (National Project Coordination Office Level)**

### **Rationale/Background**

The Philippine Rural Development Project (PRDP) is designed to contribute to achieving the national goals of inclusive growth, job creation and poverty reduction. It builds on existing policy frameworks, principles and lessons learned from past programs of the Department of Agriculture (DA). The PRDP was initially a six-year initiative (2013-2018), until its extension until 2022 to continue its objectives to increase the productivity of farms and fisheries and improve the incomes of people from sixteen (16) target regions of the country. The project seeks to achieve this objective by improving farmers' and other industry players' accessibility to a strategic network of infrastructure, market information and support services. Specific investments and interventions are to be implemented under four central components of the project, namely: 1) Local Planning (IPLAN); 2) Infrastructure Development (I-BUILD); 3) Enterprise Development (I-REAP); and 4) Project Support (I-SUPPORT).

Banking on the gains of the original project implemented since 2014 and will close in 2025, the Philippine Rural Development Project (PRDP) Scale Up is an expanded response to the persistent challenges confronting the agri-fishery sector and the rural communities in the country. The Project aims to improve farmers and fisherfolk access to markets and increase income from agri-fishery activities (on and off-farm) by adopting the clustering and consolidation strategy of farmers and fisherfolk groups producing priority commodities that are within the Provincial Commodity Investment Plans (PCIPs) and aligned with the National Agriculture and Fisheries Modernization and Industrialization Plan (NAFMIP).

The proposed PRDP Scale-Up is envisaged to introduce a more holistic design and strategies by looking at a broader agri-food/commodity system to address the gaps in the whole commodity value chains, level up approaches and innovations based on lessons learned, contribute to improving climate resilience and modernizing the agriculture and fisheries sector. Interventions include the emphasis on rebuilding the whole value chain, improving the food supply chain and logistics, prioritizing farm-to-market roads (FMRs) with value chain infrastructure support, the inclusion of rice and corn focusing on value addition, and mainstreaming of institutional reforms in the DA programs and projects.

The implementation of the I-REAP component, and the PRDP as a whole, involves several institutional partners at the regional, provincial, municipal and barangay levels. It also involves local communities, households, people's organizations, non-government organizations, private sector, academic institutions and other civil society sectors.

I-REAP activities can be categorized into two sub-components namely; Rural Agri fishery Enterprise and Productivity Enhancement; and Technology and Information for Enterprise and Market Development. This component will support the development, implementation and sustainability of agricultural, livestock or fishery-based entrepreneurial activities, based on the analysis priority commodity value chains being supported under the Regional Agricultural Fisheries and Modernization Plans (RAFMPs) and as reflected in the Provincial Commodity Investment Plans (PCIPs). It will engage broad sections of the sector in the production of marketable surplus through vertical clustering, joint business planning and investments by proponent groups engaged in rural agri-fishery enterprises.

### **Scope of Assignment**



Through I-REAP, PRDP will engage broad sections of the sector in the production of marketable surplus through investments in strategic segments of priority commodity value chains prioritized under the Regional Agricultural Fisheries and Modernization Plans (RAFMP) and the Provincial Commodity Investment Plans (PCIPs). The PLGUs will be supported in building their capacities to identify and invest in enterprises and support services needed to develop priority value chains and a more market-oriented agriculture and fishery sector in their areas. Complementing this, community entrepreneurial activities would be supported to help FCAs/FCA Clusters raise incomes through better linkages and access to markets. I-REAP component will contribute in increasing farmers' income and marketable surplus in the agri-fishery sector to strengthen and develop value agri-fishery based enterprises through efficient value chains of key agricultural and fishery products in targeted program areas.

The main task of the Enterprise Development and Marketing Specialist (EDMS) is to assist the Enterprise Development Component Head in providing technical assistance and in identifying business development services and service providers needed by the Implementing proponent to ensure viability and sustainability of PRDP supported enterprises.

### **Duties and Responsibilities**

The Enterprise Development and Marketing Specialist (EDMS) shall report directly to the I-REAP Component Head. Specifically, the EDMS shall:

- a. Prepare and implement various capability building activities designed to facilitate and hasten accomplishment of business goals of PRDP enterprises, including but not limited to the following: market linkages, trade promotion and event coordination, product development and quality assurance, packaging, technology transfer and sharing of business practices, branding and communication, financial and accounting systems, credit facilitation, certifications and other support services that may qualify under I-REAP Subcomponent 3.2.
- b. Design a monitoring system of the enterprise activities such as active and prospective client profiling, market, sales, quality management, operations, and other related information to evaluate achievement of objectives of each subproject or enterprise approved by PRDP;
- c. Provide on-site coaching to the Implementing proponent on various enterprise components as deemed necessary (operations, sales, and marketing, production, finance, human resources, etc.)
- d. Conduct Business Process Review/Enterprise Assessment and prepare Capacity Development Plan which will serve as the basis of technical assistance to the Implementing proponents and the farmer/fishers recipients of the enterprise;
- e. Provide expertise and coaching to the Project Support Office (PSO), Regional Project Coordination Office (RPCO), Provincial/City/Municipal Project Management Implementing Unit (P/C/MPMIU) on the provision of technical assistance and capability building activities to the Implementing proponent;
- f. Coordinate with various government and non-government agencies on possible technical assistance and support to the enterprise under I-REAP Subcomponent 3.2;
- g. Participate in the technical review of business plans and identify technical assistance needs of the Implementing proponent to ensure sustainability of enterprise operations;
- h. Serve as coordinator for assigned cluster;
- i. Perform other duties that may be required from time to time.

### **Required Education and Qualifications:**

**B. Education, Training and Relevant Experience:**

- At least Bachelor's degree in Agriculture, Agribusiness, Entrepreneurship, Business Administration/Management, Marketing and other related fields.
- With minimum 40 hrs. of accumulated relevant training related to Training on community-based disaster risk reduction management, community-based resource management, enterprise development and management, marketing
- At least three (3) years of progressive work experience in developing enterprises, handling livelihood projects, community organizing, organizational management, strategic planning, business planning, and project proposal preparation and evaluation.

**B. Knowledge, Competencies and Skills**

- Considerable knowledge in production, processing, marketing of agri-fishery based commodities
- Operational knowledge on agri-fishery based enterprises
- Understanding of business procedures including business financing, human resources, IT, operations and sales and marketing financing options for business start-ups and business expansions
- Strong interpersonal skills
- Ability to communicate effectively in oral and in technical writing
- Ability to multi-task and deliver results in an efficient and effective way
- Can work independently and as part of the team, and work effectively with co-workers, partner agencies and the private sector
- Proficient in MS word, Excel, and Powerpoint

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**TERMS OF REFERENCE**  
**Enterprise Development and Marketing Specialist**  
**(Project Support Office Level)**

## **Rationale/Background**

The Philippine Rural Development Project (PRDP) is designed to contribute to achieving the national goals of inclusive growth, job creation and poverty reduction. It builds on existing policy frameworks, principles and lessons learned from past programs of the Department of Agriculture (DA). The PRDP was initially a six-year initiative (2013-2018), until its extension until 2022 to continue its objectives to increase the productivity of farms and fisheries and improve the incomes of people from sixteen (16) target regions of the country. The project seeks to achieve this objective by improving farmers' and other industry players' accessibility to a strategic network of infrastructure, market information and support services. Specific investments and interventions are to be implemented under four central components of the project, namely: 1) Local Planning (IPLAN); 2) Infrastructure Development (I-BUILD); 3) Enterprise Development (I-REAP); and 4) Project Support (I-SUPPORT).

Banking on the gains of the original project implemented since 2014 and will close in 2025, the Philippine Rural Development Project (PRDP) Scale Up is an expanded response to the persistent challenges confronting the agri-fishery sector and the rural communities in the country. The Project aims to improve farmers and fisherfolk access to markets and increase income from agri-fishery activities (on and off-farm) by adopting the clustering and consolidation strategy of farmers and fisherfolk groups producing priority commodities that are within the Provincial Commodity Investment Plans (PCIPs) and aligned with the National Agriculture and Fisheries Modernization and Industrialization Plan (NAFMIP).

The proposed PRDP Scale-Up is envisaged to introduce a more holistic design and strategies by looking at a broader agri-food/commodity system to address the gaps in the whole commodity value chains, level up approaches and innovations based on lessons learned, contribute to improving climate resilience and modernizing the agriculture and fisheries sector. Interventions include the emphasis on rebuilding the whole value chain, improving the food supply chain and logistics, prioritizing farm-to-market roads (FMRs) with value chain infrastructure support, the inclusion of rice and corn focusing on value addition, and mainstreaming of institutional reforms in the DA programs and projects.

The implementation of the I-REAP component, and the PRDP as a whole, involves several institutional partners at the regional, provincial, municipal and barangay levels. It also involves local communities, households, people's organizations, non-government organizations, private sector, academic institutions and other civil society sectors.

I-REAP activities can be categorized into two sub-components namely; Rural Agri fishery Enterprise and Productivity Enhancement; and Technology and Information for Enterprise and Market Development. This component will support the development, implementation and sustainability of agricultural, livestock or fishery-based entrepreneurial activities, based on the analysis priority commodity value chains being supported under the Regional Agricultural Fisheries and Modernization Plans (RAFMPs) and as reflected in the Provincial Commodity Investment Plans (PCIPs). It will engage broad sections of the sector in the production of marketable surplus through vertical clustering, joint business planning and investments by proponent groups engaged in rural agri-fishery enterprises.

## **Scope of Assignment**

Through I-REAP, PRDP will engage broad sections of the sector in the production of marketable surplus through investments in strategic segments of priority commodity value chains prioritized

under the Regional Agricultural Fisheries and Modernization Plans (RAFMP) and the Provincial Commodity Investment Plans (PCIPs). The PLGUs will be supported in building their capacities to identify and invest in enterprises and support services needed to develop priority value chains and a more market-oriented agriculture and fishery sector in their areas. Complementing this, community entrepreneurial activities would be supported to help **FCA/FCA Clusters** raise incomes through better linkages and access to markets. I-REAP component will contribute in increasing farmers' income and marketable surplus in the agri-fishery sector to strengthen and develop value agri-fishery based enterprises through efficient value chains of key agricultural and fishery products in targeted program areas.

The main task of the Enterprise Development and Marketing Specialist (EDMS) is to assist the Enterprise Development Component Head in providing technical assistance and in identifying business development services and service providers needed by the Implementing proponent to ensure viability and sustainability of PRDP supported enterprises.

### **Duties and Responsibilities**

The Enterprise Development and Marketing Specialist (EDMS) shall report directly to the I-REAP Component Head. Specifically, the EDMS shall:

- j. Prepare and implement various capability building activities designed to facilitate and hasten accomplishment of business goals of PRDP enterprises, including but not limited to the following: market linkages, trade promotion and event coordination, product development and quality assurance, packaging, technology transfer and sharing of business practices, branding and communication, financial and accounting systems, credit facilitation, certifications and other support services that may qualify under I-REAP Subcomponent 3.2.
- k. Design a monitoring system of the enterprise activities such as active and prospective client profiling, market, sales, quality management, operations, and other related information to evaluate achievement of objectives of each subproject or enterprise approved by PRDP;
- l. Provide on-site coaching to the Implementing proponent on various enterprise components as deemed necessary (operations, sales, and marketing, production, finance, human resources, etc.)
- m. Conduct Business Process Review/Enterprise Assessment and prepare Capacity Development Plan which will serve as the basis of technical assistance to the Implementing proponents and the farmer/fishers recipients of the enterprise;
- n. Provide expertise and coaching to the Regional Project Coordination Office (RPCO), Provincial/City/Municipal Project Management Implementing Unit (P/C/MPMIU) on the provision of technical assistance and capability building activities to the Implementing proponent;
- o. Coordinate with various government and non-government agencies on possible technical assistance and support to the enterprise under I-REAP Subcomponent 3.2;
- p. Participate in the technical review of business plans and identify technical assistance needs of the Implementing proponent to ensure sustainability of enterprise operations;
- q. Serve as coordinator for assigned cluster;
- r. Perform other duties that may be required from time to time.

### **Required Education and Qualifications:**

#### **B. Education, Training and Relevant Experience:**

- At least Bachelor's degree in Agriculture, Agribusiness, Entrepreneurship, Business Administration/Management, Marketing and other related fields.
- With minimum 40 hrs. of accumulated relevant training related to Training on community-based disaster risk reduction management, community-based resource management, enterprise development and management, marketing
- At least two (2) years of progressive work experience in developing enterprises, handling livelihood projects, community organizing, organizational management, strategic planning, business planning, and project proposal preparation and evaluation.

#### **B. Knowledge, Competencies and Skills**

- Considerable knowledge in production, processing, marketing of agri-fishery based commodities
- Operational knowledge on agri-fishery based enterprises
- Understanding of business procedures including business financing, human resources, IT, operations and sales and marketing financing options for business start-ups and business expansions
- Strong interpersonal skills
- Ability to communicate effectively in oral and in technical writing
- Ability to multi-task and deliver results in an efficient and effective way
- Can work independently and as part of the team, and work effectively with co-workers, partner agencies and the private sector
- Proficient in MS word, Excel, and Powerpoint

### **TERMS OF REFERENCE Organizational Development Specialist (Project Support Office Level)**

#### **Rationale/Background**

The Philippine Rural Development Project (PRDP) is designed to contribute to achieving the national goals of inclusive growth, job creation and poverty reduction. It builds on existing policy frameworks, principles and lessons learned from past programs of the Department of Agriculture (DA). The PRDP was initially a six-year initiative (2013-2018), until its extension until 2022 to continue its objectives to increase the productivity of farms and fisheries and improve the incomes of people from sixteen (16) target regions of the country. The project seeks to achieve this objective by improving farmers' and other industry players' accessibility to a strategic network of infrastructure, market information and support services. Specific investments and interventions are to be implemented under four central components of the project, namely: 1) Local Planning (IPLAN); 2) Infrastructure Development (I-BUILD); 3) Enterprise Development (I-REAP); and 4) Project Support (I-SUPPORT).

Banking on the gains of the original project implemented since 2014 and will close in 2025, the Philippine Rural Development Project (PRDP) Scale Up is an expanded response to the persistent challenges confronting the agri-fishery sector and the rural communities in the country. The Project aims to improve farmers and fisherfolk access to markets and increase income from agri-fishery activities (on and off-farm) by adopting the clustering and consolidation strategy of farmers and fisherfolk groups producing priority commodities that are within the Provincial Commodity Investment Plans (PCIPs) and aligned with the National Agriculture and Fisheries Modernization and Industrialization Plan (NAFMIP).

The proposed PRDP Scale-Up is envisaged to introduce a more holistic design and strategies by looking at a broader agri-food/commodity system to address the gaps in the whole commodity value chains, level up approaches and innovations based on lessons learned, contribute to improving climate resilience and modernizing the agriculture and fisheries sector. Interventions include the emphasis on rebuilding the whole value chain, improving the food supply chain and logistics, prioritizing farm-to-market roads (FMRs) with value chain infrastructure support, the inclusion of rice and corn focusing on value addition, and mainstreaming of institutional reforms in the DA programs and projects.

The implementation of the I-REAP component, and the PRDP as a whole, involves several institutional partners at the regional, provincial, municipal and barangay levels. It also involves local communities, households, people's organizations, non-government organizations, private sector, academic institutions and other civil society sectors.

I-REAP activities can be categorized into two sub-components namely; Rural Agri fishery Enterprise and Productivity Enhancement; and Technology and Information for Enterprise and Market Development. This component will support the development, implementation and sustainability of agricultural, livestock or fishery-based entrepreneurial activities, based on the analysis priority commodity value chains being supported under the Regional Agricultural Fisheries and Modernization Plans (RAFMPs) and as reflected in the Provincial Commodity Investment Plans (PCIPs). It will engage broad sections of the sector in the production of marketable surplus through vertical clustering, joint business planning and investments by proponent groups engaged in rural agri-fishery enterprises.

### **Scope of Assignment**

Through I-REAP, PRDP will engage broad sections of the sector in the production of marketable surplus through investments in strategic segments of priority commodity value chains prioritized under the Regional Agricultural Fisheries and Modernization Plans (RAFMP) and the Provincial Commodity Investment Plans (PCIPs). The PLGUs will be supported in building their capacities to identify and invest in enterprises and support services needed to develop priority value chains and a more market-oriented agriculture and fishery sector in their areas. Complementing this, community entrepreneurial activities would be supported to help FCAs/FCA Clusters raise incomes through better linkages and access to markets. I-REAP component will contribute in increasing farmers' income and marketable surplus in the agri-fishery sector to strengthen and develop value agri-fishery based enterprises through efficient value chains of key agricultural and fishery products in targeted program areas.

The main role of the Organizational Development Specialist (ODS) is to assist the Enterprise Development Component Head in providing technical assistance in conducting social preparation activities to prepare the PRDP project beneficiaries to encourage them to support and provide commitment to the sustainable implementation of PRDP supported enterprises.

### **Duties and Responsibilities**

The Organizational Development Specialist shall report directly to the I-REAP Component Head. Specifically, the ODS shall:

- s. Conduct social preparation assessment, organizational capacity needs assessment, gap analysis and develop social preparation action plans or activities to prepare the

- Implementing Proponent and the community in implementing PRDP enterprise subproject;
- t. Conduct training and capability building activities to RPCOs and LGUs in conducting assessments and of identified FCA/FCA Clusters and identify areas for development of the community-based organizations/ producer groups interested to participate in the project;
  - u. Conduct social risk assessment and conflict mapping and assessment especially in conflict affected areas and indigenous communities;
  - v. Facilitate strengthening of clusters
  - w. Participate in the technical review of business plans, capacity building plan, risk assessment and management plan and business continuity plan of PRDP supported enterprise; and
  - x. Perform other duties that may be required from time to time.

**Required Education and Qualifications:**

**B. Education, Training and Relevant Experience:**

- Bachelor's degree in social work, sociology, anthropology, community development, development studies, social science and other related disciplines, preferably with Master's degree or units in the above fields.
- With minimum 40 hrs. of accumulated relevant training related to formation, organizational assessment, organizational development and management, and community organizing. Training on community-based disaster risk reduction management, community-based resource management, social enterprise development and management, and conflict sensitivity and peace building preferred.
- At least three (3) years of progressive work experience in community organizing, organizational development of community-based organizations in community-driven development projects, preferably in a position involving coaching/mentoring and provision of technical assistance to producer groups.

**B. Knowledge, Competencies and Skills**

- Demonstrated experience and track record in organizational development and change management
- Strong analytical skills
- Solid track record in monitoring and evaluation
- Excellent facilitation and consensus-building skills
- Process and result oriented person
- Consulting experience with networks and with networks restructuring
- Fluency in English (oral and written)

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TERMS OF REFERENCE  
Organizational Development Officer  
(Regional Project Coordination Office Level)

Rationale/Background

The Philippine Rural Development Project (PRDP) is designed to contribute to achieving the national goals of inclusive growth, job creation and poverty reduction. It builds on existing policy frameworks, principles and lessons learned from past programs of the Department of Agriculture (DA). The PRDP was initially a six-year initiative (2013-2018), until its extension until 2022 to continue its objectives to increase the productivity of farms and fisheries and improve the incomes of people from sixteen (16) target regions of the country. The project seeks to achieve this objective by improving farmers' and other industry players' accessibility to a strategic network of infrastructure, market information and support services. Specific investments and interventions are to be implemented under four central components of the project, namely: 1) Local Planning (IPLAN); 2) Infrastructure Development (I-BUILD); 3) Enterprise Development (I-REAP); and 4) Project Support (I-SUPPORT).

Banking on the gains of the original project implemented since 2014 and will close in 2025, the Philippine Rural Development Project (PRDP) Scale Up is an expanded response to the persistent challenges confronting the agri-fishery sector and the rural communities in the country. The Project aims to improve farmers and fisherfolk access to markets and increase income from agri-fishery activities (on and off-farm) by adopting the clustering and consolidation strategy of farmers and fisherfolk groups producing priority commodities that are within the Provincial Commodity Investment Plans (PCIPs) and aligned with the National Agriculture and Fisheries Modernization and Industrialization Plan (NAFMIP).

The proposed PRDP Scale-Up is envisaged to introduce a more holistic design and strategies by looking at a broader agri-food/commodity system to address the gaps in the whole commodity value chains, level up approaches and innovations based on lessons learned, contribute to improving climate resilience and modernizing the agriculture and fisheries sector. Interventions include the emphasis on rebuilding the whole value chain, improving the food supply chain and logistics, prioritizing farm-to-market roads (FMRs) with value chain infrastructure support, the inclusion of rice and corn focusing on value addition, and mainstreaming of institutional reforms in the DA programs and projects.

The implementation of the I-REAP component, and the PRDP as a whole, involves several institutional partners at the regional, provincial, municipal and barangay levels. It also involves local communities, households, people's organizations, non-government organizations, private sector, academic institutions and other civil society sectors.

I-REAP activities can be categorized into two sub-components namely; Rural Agri fishery Enterprise and Productivity Enhancement; and Technology and Information for Enterprise and Market Development. This component will support the development, implementation and sustainability of agricultural, livestock or fishery-based entrepreneurial activities, based on the analysis priority commodity value chains being supported under the Regional Agricultural Fisheries and Modernization Plans (RAFMPs) and as reflected in the Provincial Commodity Investment Plans (PCIPs). It will engage broad sections of the sector in the production of marketable surplus through vertical clustering, joint business planning and investments by proponent groups engaged in rural agri-fishery enterprises.

#### Scope of Assignment

Through I-REAP, PRDP will engage broad sections of the sector in the production of marketable surplus through investments in strategic segments of priority commodity value chains prioritized under the Regional Agricultural Fisheries and Modernization Plans (RAFMP) and the Provincial Commodity Investment Plans (PCIPs). The PLGUs will be supported in building their capacities to identify and invest in enterprises and support services needed to develop priority value chains and a



more market-oriented agriculture and fishery sector in their areas. Complementing this, community entrepreneurial activities would be supported to help producer groups raise incomes through better linkages and access to markets. The I-REAP component will contribute in increasing farmers' income and marketable surplus in the agri-fishery sector to strengthen and develop value agri-fishery based enterprises through efficient value chains of key agricultural and fishery products in targeted program areas.

The main role of the Organizational Development Officer is to assist the Component Head and take the lead in providing technical assistance through coaching and mentoring of the partner LGUs and the FCA/FCA Clusters in conducting social preparation activities and strengthening capability of the Implementing Proponent to sustain the operation of the PRDP supported enterprises.

#### Duties and Responsibilities

- a. Conduct stakeholders consultation together with RPCO Social and Environment Safeguards (SES) Unit during the conduct of social preparation assessment activities;
- b. Assist the PSO in the conduct of social preparation assessment, organizational capacity needs assessment, gap analysis and develop social preparation action plans or activities to prepare the Implementing Proponent and the community in implementing PRDP enterprise subproject;
- c. Implement the social preparation action plans or activities for the Implementing Proponent and the community, together with concerned PRDP components, units and concerned agencies i.e. NCIP, NTF ELCAC, etc
- d. Provide capability building training to the implementing proponent(i.e. leadership and governance, values formation, human resource, etc.)
- e. Coordinate with various government and non-government agencies on possible technical assistance to the implementing proponent;
- f. Participate in the technical review of business plans, capacity building plan, risk assessment and management plan and business continuity plan of PRDP supported enterprise; and
- g. Perform other duties that may be required from time to time.

#### Required Education and Qualifications:

##### A. Education, Training and Relevant Experience:

- Bachelor's degree in social work, sociology, anthropology, community development, development studies, social science and other related disciplines
- With minimum 20 hrs. of accumulated relevant training related to formation, organizational assessment, organizational development and management, and community organizing. Training on community-based disaster risk reduction management, community-based resource management, social enterprise development and management, and conflict sensitivity and peace building preferred.
- At least two (2) years of progressive work experience in community organizing, organizational development of community-based organizations in community-driven development projects, preferably in a position involving coaching/mentoring and provision of technical assistance to producer groups.

##### B. Knowledge, Competencies and Skills

- Demonstrated experience and track record in organizational development and change management

- Strong analytical skills
- Solid track record in monitoring and evaluation
- Excellent facilitation and consensus-building skills
- Process and result oriented person
- Consulting experience with networks and with networks restructuring
- Fluency in English (oral and written)

## Annex 6 - Sample Letter of Intent of the FCA/FCA Cluster Applying as Implementing Proponent

[Date]

Dear Governor/(LCE) \_\_\_\_\_:

We would like to signify our intention to participate as an Implementing Proponent for the implementation of the (proposed subproject), to be funded by the Department of Agriculture-Philippine Rural Development Program (PRDP) Scale-Up.

The \_\_\_\_\_ (name of organization) is registered under \_\_\_\_\_ (name of agency) and has been in existence since \_\_\_\_\_ (month/date/year). We have \_\_\_\_\_ (number of producers) who are involved in \_\_\_\_\_, \_\_\_\_\_ and \_\_\_\_\_ (crops/livestock/fisheries cultivated/grown/catch). Our organization has experience in implementing various agriculture and fishery based projects namely, \_\_\_\_\_, \_\_\_\_\_, and \_\_\_\_\_ (specify projects). We are willing to provide a 20% counterpart, in cash and/or in kind for the proposed subproject.

We have attached herein the documentary requirements as a proof of our intention.

Thank you and we are hoping for your consideration.

Truly yours,

\_\_\_\_\_  
President/Chairperson

## Annex 7 - Guide Question for Business Model Formulation / Information Gathering

No.	Questions	Source of Data/ Guide for Information
1	What Is the PRODUCT/ SERVICES of the enterprise?	<ul style="list-style-type: none"> <li>Marketing- 4P's (Product, Price, Place, Promotion)</li> </ul>
2	Who are the USERS (Farmers/ Direct Beneficiaries)? Who are the BUYERS (Identified Market)?	<ul style="list-style-type: none"> <li>Updated VCA/Industry Players / Local Sources for Baseline Data</li> <li>Consider Horizontal, Backward and Forward Integration</li> <li>Show how the enterprise will link producer groups in sourcing of raw materials and operations to achieve the benefits of clustering.</li> <li>Show connection from SOURCE of RAW Mats towards Destination of Finish Product</li> <li>Identification of Industry Players</li> </ul>
3	What is the "problem" that the enterprise will Address? What is the "opportunity" that the enterprise will take advantage of?	Updated VCA/PCIP/ Local Sources for Baseline Data
4	What is the Unique Value Proposition (USP)?	<ul style="list-style-type: none"> <li>Marketing- convincing target clients to patronize your product or to switch brand</li> <li>How will you deliver the USP?</li> </ul>
5	What are the Activities Needed to deliver the value proposition?	<ul style="list-style-type: none"> <li>Production Plan-identification of Resources Requirements: Materials, Manpower, Methods, Machineries, Money</li> <li>Basic organizational and operational structures</li> <li>If FCA Cluster, indicate the roles and responsibilities of its cluster members involved in the enterprise management</li> <li>How will the enterprise adapt the clustering approach?</li> </ul>

6	Who are the Business Partners?	<ul style="list-style-type: none"> <li>● Identification of Horizontal and Vertical Linkages Enablers</li> </ul>
7	What are the Costs Involved?	<ul style="list-style-type: none"> <li>• Production Cost (direct and indirect)</li> <li>• Basis of Costs and Assumptions</li> <li>• Capital expenditures, operating expenses</li> </ul>
8	What are the revenues?	<ul style="list-style-type: none"> <li>• Sources of income</li> <li>• Compare Revenues</li> <li>• Revenues to be generated without PRDP investment vs with PRDP investment</li> </ul>
9	How can the FARMERS earn from the enterprise?	<ul style="list-style-type: none"> <li>• Show how can direct beneficiaries earn from the proposal</li> </ul>

**Annex 8 - Sample of P/C/MPMIU Certification that the FCA/Lead FCA has technical, financial and organization capability to implement the proposed subproject**

LGU Heading and Logo

(Sample Only)

CERTIFICATION

To Whom It May Concern:

The \_\_\_\_\_ is a registered organization in \_\_\_\_\_ with official address at \_\_\_\_\_ . The said group has \_\_\_\_\_ members

The said organization is proposing a subproject entitled “ \_\_\_\_\_ ” for possible funding under the Philippine Rural Development Project under the Enterprise Development Component. Upon validating the Provincial Commodity Investment Plan, the said subproject is one of the priority investments of the province for the said commodity.

Further, the said organization has the capacity to provide the required PG Equity Cash or in-kind for at least 20% of the estimated proposed subproject cost.

As of report date, the FCA/FCA Cluster has a complete and functional organizational structure as per site validation and documents submitted. Also, the FCA/FCA Cluster has a total assets amounting to Php \_\_\_\_\_. The source of resources or income of the group mainly coming from (indicate the business activity of the FCA/FCA Cluster).

In terms of technical capacity, the FCA/FCA Cluster have undergone various technical trainings in relation to their proposed subprojects, to wit:

*(enumerate here the relevant trainings they have attended or participated)*

Finally, the FCA/FCA Cluster has been awarded (cite here the awards received, if any) and accredited/ licensed (if they have accreditation such as GAP, FDA and the likes).

With this, we are certifying that the \_\_\_\_\_ has the technical, financial and organization capability to implement the proposed project and the said project is aligned to the commodity investment plan of the Province of \_\_\_\_\_ .

This certification is issued this \_\_\_\_\_ of \_\_\_\_\_ 202\_ at the \_\_\_\_\_ .

Prepared by:

\_\_\_\_\_  
P/C/MPMIU I-REAP Head

Recommended by:

\_\_\_\_\_  
P/C/MPMIU Head

Issued by:

\_\_\_\_\_  
LCE

## Annex 9 - Validation Process and Scoring Sheet

### A. Rationale:

The validation of the selected implementing proponent by the RPCO IREAP and RPCO I-PLAN is conducted to verify the “strategic fit” between prioritized enterprise/s or product segment/s and selected FCA, or LGU or lead FCA, if from a FCA Cluster. The validation is done on-site to evaluate the eligibility and capability of the implementing proponent.

### B. Requirements:

To facilitate the validation, the implementing proponent and the P/C/MPMIU are requested to prepare the following:

1. Make available the hard copies of the approved PCIP including VCA, EVSA and Cluster Development Plans (CDP) if an FCA Cluster which are the logical bases in identifying the priority subproject;
2. Provide in advance the Letter of Intent (Annex 6) and Eligibility Requirements set forth in Table 4-1a for FCA and Section 4.1.1.2 for FCA Cluster.

In case that the P/C/MLGU is the implementing proponent, P/C/MLGU should meet the criteria stipulated in Section 4.1.1.3 as Implementing Proponent. It shall also submit the eligibility requirements of the partner FCA/FCA cluster stipulated in Table 4.1c, as co-manager in the operation of the proposed enterprise subproject.

3. The minutes of the meeting of the consultation with the General Assembly discussing the plan to propose a subproject for PRDP funding. The minutes should be direct and simple indicating the date of meeting, attendees, resolutions or results of meeting and summary of discussions and signed by the secretary and presiding officer;
4. The P/C/MPMIU or RPCO or both will prepare the necessary logistical arrangement – transportation vehicle, board and lodging and conference venue for introductory and closing meetings;
5. There shall be at least one representative from the P/C/MPMIU and RPCO I-REAP and I-PLAN. The PSO/NPCO may provide assistance to the RPCO when needed. The RPCO I-BUILD, SES and GGU may also join the activity or simultaneously conduct their respective validation process.
6. As much as possible, the validation will be conducted on-site still following the health and safety protocol. Preferably, this will be done to the office of the implementing proponent to enable the officers and some members to attend the validation.

### C. Validation Process / Activity

1. In the introductory meeting, the participants will introduce their name and designation and the RPCO I-REAP will explain the rationale of the activity, requirements and site validation.
2. The P/C/MPMIU will explain the official minutes of the meetings with complete annexes 6, and including the documents: updated PCIP, VCA, EVSA and CDP if an FCA Cluster during or before the introductory meeting.
3. The RPCO I-REAP will focus its validation or assessment on the qualification and capability of the FCA/Lead FCA in the implementation of the I-REAP subproject including financial and procurement management, and FCA/ FCA Cluster as co-manager based on provided information (Annex 6 Letter of Intent with statement of eligibility compliance and its attachments) and may ask questions to gather missing or additional information.
4. The RPCO shall also conduct enterprise assessment and financing assessment and matching to the FCA (using the Enterprise Assessment Tool in Annex 12 to determine its capacity and needs to implement the proposed subproject and FAM Toolkit in Annex 16). A Training Needs Assessment (TNA) using Annex 14 shall also be done to officers and members to determine capability building requirements.

In cases when the proposed subproject will involve FCA Cluster, all the cluster members will be validated and conducted with EAT and TNA.

5. The RPCO will also check the draft business model prepared by the implementing proponent and the P/C/MPMIU and validate its appropriateness based on its existing capacity. Recommendations on the improvement to the business model may also be provided by RPCO during the validation which shall form part of the Validation Report.
6. The RPCO IREAP Staff will then thank the visited implementing proponent and may explain the nature of the validation activity before proceeding to the next site; The P/C/MPMIU or RPCO or PSO Staff will be tasked to answer questions related to PRDP.
7. During or after the site validation, the RPCO IREAP Staff / Representative will complete the validation report and finalize it during the closing meeting.
8. Upon favorable assessment of the selected implementing proponent, the RPCO IREAP will then endorse the documents together with the Validation Report to the PSO for issuance of confirmation letter.



**D. Validation Report**

**I. Implementing Proponent’s Profile (this should be filled-out per FCA, Lead FCA if the proponent is an FCA Cluster)**

Name of FCA: \_\_\_\_\_  
 Commodity line: \_\_\_\_\_  
 Product form: \_\_\_\_\_  
 Nature of business:  1<sup>st</sup> level production  processing  trading  others  
 Office Address: \_\_\_\_\_  
 Contact Person: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Contact Number: \_\_\_\_\_  
 Email: \_\_\_\_\_  
 Registrations:  SEC  CDA  DOLE  Mayor’s Permit  FDA  FFEDIS  DA  
 CSO Accredited  
 Others (list all) \_\_\_\_\_  
 Total Assets (as of \_\_\_\_\_) Php \_\_\_\_\_

**II. Evaluating the FCA or Lead FCA Eligibility**

Criteria	Yes	No	Remarks
Completeness of submitted eligibility documents			(indicate docs submitted and lacking docs)
Participation in the commodity value chain (Producer group/ Smallholder groups/ MSME processor, consolidator, exporter)			(indicate role)
Existing business operations			(indicate existing business activities)
Willing to adopt clustering or joint business planning with other groups and forge contracts or formal marketing agreements with buyers or private intermediaries			(indicate whether vertical or horizontal integration)

**III. Evaluating the Proposal’s Objectives and Impacts (based on the business model).**

*This should be filled-out by the implementing proponent of the Subproject Proposals*

Total Proposed Investment Cost::Php \_\_\_\_\_  
 Investment Cost per Beneficiary: Php \_\_\_\_\_  
 Financing Mode:  Small enterprise  Medium enterprise  Large enterprise  
 Start-up Enterprise  Upgrading/ Expansion of Enterprises

Contributions to PRDP Objectives	Yes	No
To increase increase in profitability of agri-fishery enterprises		

To increase agri-fishery enterprise clusters reached by business development support including credit and insurance		
To increase agri-fishery enterprise clusters with partnership agreement with institutional buyers		
To increase Women directly participating in clustered enterprises		

#### IV. Evaluating the proposal's benefits and outcomes (based on the business model)

*This should be filled-out by the implementing proponent of the Subproject Proposals*

Criteria	Remarks/ Findings
Farmer/Fishers benefitted (number)	
Formalized marketing arrangements	
Provision of business development support including credit and insurance	
Women participation to the enterprise operation	

#### E. Details of observations during validation activity

Part I: Subproject Business Model Validation		
A. Is the proposed subproject aligned with the VCA, E-VSA and PCIP?	<input type="checkbox"/> Yes	<input type="checkbox"/> Checked PCIP, VCA & EVSA consistency; <input type="checkbox"/> No time to check the PCIP, VCA & EVSA and relied on feedback; <input type="checkbox"/> Others:
	<input type="checkbox"/> No	<input type="checkbox"/> No VCA Report for the commodity ; <input type="checkbox"/> No EVSA done for the Province; <input type="checkbox"/> Not in the PCIP <input type="checkbox"/> Others:
B. Are the enterprise subproject interventions identified per segment of the value chain?	<input type="checkbox"/> Yes	Which segment <input type="checkbox"/> Input; <input type="checkbox"/> Farming; <input type="checkbox"/> Processing; <input type="checkbox"/> Marketing
	<input type="checkbox"/> No	Reason
C. Is there an identified private agribusiness entity (PAE) partner for the enterprise?	<input type="checkbox"/> Yes	PAE engagement <input type="checkbox"/> Market; <input type="checkbox"/> Technology; <input type="checkbox"/> Financing/Investment;

		<input type="checkbox"/> Goods donation
	<input type="checkbox"/> No	Reason
D. Does the subproject proposal involve common service facilities?	<input type="checkbox"/> Yes	Common service facility <input type="checkbox"/> Production; <input type="checkbox"/> Postharvest; <input type="checkbox"/> Processing; <input type="checkbox"/> Distribution
	<input type="checkbox"/> No	Reason
E. Will the subproject adapt climate-smart technologies, processes and innovation	<input type="checkbox"/> Yes	Climate-smart Technologies/Process <input type="checkbox"/> Production/Farming; <input type="checkbox"/> Postharvest; <input type="checkbox"/> Processing; <input type="checkbox"/> Distribution; <input type="checkbox"/> Equipment; <input type="checkbox"/> Civil works; <input type="checkbox"/> Facilities
	<input type="checkbox"/> No	Reason
F. Does the subproject include construction of civil works?	<input type="checkbox"/> Yes	FCA to shoulder: <input type="checkbox"/> DED/POW preparation; <input type="checkbox"/> Structural Analysis and other Infra-Related Analyses; <input type="checkbox"/> Hiring of Construction Supervision Team <input type="checkbox"/> FCA needing LGU assistance
	<input type="checkbox"/> No	Reason

<b>Part II: Qualification of Implementing proponent</b>		
Are the following requirements complied?	Answer (Yes, No, NA–Not applicable)	Describe answers or explain (If yes, mention supporting document; if no, provide date on when it can be complied; If not applicable, explain why?)
Did the respective Implementing proponent submit their letter of intent with complete eligibility requirements?	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	

<b>Part III: Qualification of FCA Cluster as Implementing proponent</b>		
Are the following requirements complied?	Answer (Yes, No, NA–Not applicable)	Describe answers or explain (If yes, mention supporting document; if no, provide date on when it can be complied; If not applicable, explain why?)
Composed of at least two (2) FCAs	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
Minimum production area: (Rice 100 hectares; Corn 75 hectares; High Value Crops 25 hectares; Fruit trees and perennials 100 hectares; Fiber Crops 100 hectares)	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
Has an approved Cluster Development Plan	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	

<b>Part IV: Qualification of Selected FCA/Lead FCA as Implementing Proponent</b>		
Are the following requirements complied (Refer to Table 4-1a of I- REAP Operations Manual)?	Answer (Yes, No, NA- Not applicable)	Describe answers or explain (If yes, mention supporting document; if no, provide date on when it can be complied; If not applicable, explain why?)
1. Is the selected PG legally registered with SEC, CDA, DTI or DOLE?	<input type="checkbox"/> Yes	Provide registration details and date.
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
2. Authenticated copy of latest Articles of Incorporation or Articles of Cooperation and By-Laws	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
3. Certificate of Compliance Good Standing for CDA registered or Certificate of no Derogatory Record for SEC	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	

<b>Part IV: Qualification of Selected FCA/Lead FCA as Implementing Proponent</b>		
registered or Certificate of Registration for DOLE registered		
4. Certificate from DA on its registration to the Farmers and Fisherfolk Enterprise Development Information System (FFEDIS) Registry, Pursuant to Section 10 of Republic Act No. 11321 (Sagip Saka Act)	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
5. DA CSO Accreditation	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
6. P/C/MPMIU Certification that the PG has a technical, financial and organization capability to implement the proposed project	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
7. Photocopy of Official Receipt (OR) for its financial transactions	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
8. Financial Reports (indicate if Audited or Interim) and the applicable years	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
9. Accomplishment Reports and photographs of agri-fishery or related projects undertaken for at least one year, indicating the source of funds for the implementation	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
10. Existing organizational structure and Secretary's Certificate of Incumbent Officers including their functions	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
11. PG and Members' Profile	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
12. A sworn affidavit of the Secretary of the NGO/PO that none of its incorporators, organizers, directors, or officials is an agent of or related by consanguinity or affinity up to the fourth civil degree to the officials of the government agency authorized to process and/or approve the proposal, the MOA and the release of funds	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
13. Sworn affidavit of the Secretary of the NGO/PO that none of its officers are employees of the DA or the partner LGU	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	

Part IV: Qualification of Selected FCA/Lead FCA as Implementing Proponent		
14. DA Accountant Certificate that the PG has No Unliquidated Account or Cash Advance with the DA		
15. 20% equity (identify amount of cash equity)	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	

Part V: Qualification of Selected FCA/Lead FCA as Implementing Proponent				
No.	Criteria	Indicator	Ranking Guide	Score
1	Readiness to engage in the priority commodity value chain– 5 POINTS	FCA engagement at various segments of the value chain (horizontal and vertical linkages)	<p>HIGH = more than 3 linkages with producers groups and value chain players (5 POINTS)</p> <p>MEDIUM = has 2 to 3 linkages with producers groups and value chain players (3-4 POINTS)</p> <p>LOW = has 1 linkage with producers groups and value chain players (1-2 POINTS)</p>	
2	Open to investment and provide equity (in cash or in kind) – 5 POINTS	Value of investment/ equity offered	<p>HIGH = above 30% of the estimated total investment cost (5 POINTS)</p> <p>MEDIUM = above 20% up to 30% of the estimated total investment cost (3-4 POINTS)</p> <p>LOW = 20% of the estimated total investment cost (1-2 POINTS)</p>	
3	Engages the most number of producers – 5 POINTS	Percentage of participating farmers or producers	HIGH = more than 50% of members are	

			<p>producing the priority commodity (5 POINTS)</p> <p>MEDIUM = 30% to 50% of the members are producing the priority commodity (3-4 POINTS)</p> <p>LOW = less than 30% of the members are producing the priority commodity (1-2 POINTS)</p>	
4	<p>With established market linkage/ formal marketing agreements/ transactions with institutional buyers of products/ commodity indicated in the proposed enterprise - 5 POINTS</p>	<p>No. of regular/ institutional buyers with formal marketing agreements/ continuing transactions</p>	<p>HIGH = more than 3 linkages/ contracts/ continuing transactions with institutional market/ regular buyers (5 POINTS)</p> <p>MEDIUM = has 2 to 3 linkages/ contracts/ continuing transactions with institutional market/ regular buyers (3-4 POINTS)</p> <p>LOW = has 1 linkages/ contracts/ continuing transactions with institutional market/ regular buyers (1-2 POINTS)</p>	

5	Engages/Promotes Participation of Women - 5 POINTS	Percentage of women engaged in the enterprise	<p>HIGH = more than 50% of the members are women (5 POINTS)</p> <p>MEDIUM = 30% to 50% of the members are women (3-4 POINTS)</p> <p>LOW = less than 30% of the members are women (1-2 POINTS)</p>	
6	*Performance on completed projects with government –5 POINTS	Performance in completed contracts with government	<p>HIGH = 81% to 100% of the completed contracts with government are operational/functional (5 POINTS)</p> <p>MEDIUM = 50% to 80% of the completed with government are operational/functional (3-4 POINTS)</p> <p>LOW = less than 50% of the completed contracts with government are operational/functional (1-2 POINTS)</p>	
7	1. * Procurement experience for government projects or other related experience in procuring goods and civil works and with existing procurement structure or	Experience in procuring goods and/or civil works on government projects or other related experience in procuring goods and works and with existing procurement	HIGH = with procurement experience for government projects and other related experience in procuring goods and works and with existing procurement	



	committee (5 POINTS)	structure committee or	structure committee (5 POINTS)	
			<p>MEDIUM = without procurement experience for government projects but with existing procurement structure or committee and experience in procuring related/similar goods and works (3-4 POINTS)</p>	
			<p>LOW = without experience in procuring related/similar goods and works but with existing procurement structure or committee (1-2 POINTS)</p>	

\*The maximum score points for this evaluation table is 35 points. If criterion Number 6 or 7 does not apply to the FCA/Lead FCA being evaluated, the rating for other criteria should be prorated to reach 35 points (criteria 1 = 6 points, criteria 2 = 6 points, criteria 3 = 6 points, criteria 9 = 6 points). In case only one Criterion is not applicable, the following rating will apply: criteria 1 = 7 points, criteria 2 = 7 points, criteria 3 = 7 points, criteria 7 = 6 points, and criteria 9 = 6 points).

The minimum passing score is 25 POINTS equivalent to 70%.

In addition to the abovementioned qualification, an FCA proposing for civil works must have the capacity to shoulder the costs for the detailed engineering design, structural analysis and other infrastructure related analyses as well as the hiring of Project Engineer to supervise the construction of the civil works.

**LGU as Implementing proponent**

In cases when there are no eligible FCA/FCA Clusters as Implementing Proponent based on the evaluation and eligibility requirements set forth above, the LGU may be an implementing proponent P/C/MLGU may submit a proposal as the implementing proponent and must still identify FCA/FCA Cluster to co-manage the enterprise. The following criteria in selecting a

FCA/FCA Cluster as co-manager/s of the enterprise subproject.

<b>Part VI: Qualification of Selected FCA/Lead FCA as Co-manager of LGU Implementing Proponent</b>		
Are the following requirements complied (Refer to Table 4-1d of I- REAP Operations Manual)?	Answer (Yes, No, NA- Not applicable)	Describe answers or explain (If yes, mention supporting document; if no, provide date on when it can be complied; If not applicable, explain why?)
1. Is the selected PG legally registered with SEC, CDA, DTI or DOLE?	<input type="checkbox"/> Yes	Provide registration details and date.
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
2. Authenticated copy of latest Articles of Incorporation or Articles of Cooperation and By-Laws	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
3. Certificate of Compliance Good Standing for CDA registered or Certificate of no Derogatory Record for SEC registered or Certificate of Registration for DOLE registered	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
4. Certificate from DA on its registration to the Farmers and Fisherfolk Enterprise Development Information System (FFEDIS) Registry, Pursuant to Section 10 of Republic Act No. 11321 (Sagip Saka Act)	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
6. P/C/MPMIU Certification that the PG has a technical, financial and organization capability to implement the proposed project	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
7. Photocopy of Official Receipt (OR) for its financial transactions	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
8. Financial Reports (indicate if Audited or Interim) at least one year	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
9. Accomplishment Reports and photographs of agri-fishery or related projects undertaken for at least one year, indicating the source of funds for the implementation	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
10. Existing organizational structure and Secretary's Certificate of Incumbent Officers including their functions	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
	<input type="checkbox"/> Yes	

Part VI: Qualification of Selected FCA/Lead FCA as Co-manager of LGU Implementing Proponent		
11. PG and Members' Profile	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
12. A sworn affidavit of the Secretary of the NGO/PO that none of its incorporators, organizers, directors, or officials is an agent of or related by consanguinity or affinity up to the fourth civil degree to the officials of the government agency authorized to process and/or approve the proposal, the MOA and the release of funds	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
13. Sworn affidavit of the Secretary of the NGO/PO that none of its officers are employees of the DA or the partner LGU	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	
14. DA Accountant Certificate that the PG has No Unliquidated Account or Cash Advance with the DA		
15. Can provide funds to finance one year operating capital requirements or working capital for at least two production cycles.	<input type="checkbox"/> Yes	
	<input type="checkbox"/> No	
	<input type="checkbox"/> NA	

Part VII: Enterprise Prioritization			
Criteria	Indicator	Ranking Guide	Score
<b>Importance of the product segment/ enterprise in the local economy- (30 POINTS)</b>	No. of producers/FCAs involved in the subproject ( <i>Source: provincial data</i> ) – <b>10 POINTS</b>	<b>HIGH</b> – above 4 FCAs (8-10 POINTS) <b>MEDIUM</b> – 3-4 FCAs (5-7 POINTS) <b>LOW</b> – 2 FCAs and below (1-4 POINTS)	
	No. of municipalities involved in producing the raw materials ( <i>Source: provincial data</i> ) – <b>10 POINTS</b>	<b>HIGH</b> - 80%-100% of the municipalities in the province (8-10 POINTS) <b>MEDIUM</b> - 50%-70% of the municipalities in the province (5-7 POINTS) <b>LOW</b> - below 50% of the municipalities in the province (1-4 POINTS)	
	No. of jobs (direct and indirect) to be generated ( <i>based on DTI/NEDA job coefficient</i> )– <b>10 POINTS</b>		

		<p><b>HIGH</b> – Top 3 among the identified enterprises in the province (8-10 POINTS)</p> <p><b>MEDIUM</b> – Top 5 among the identified enterprises in the province (5-7 POINTS)</p> <p><b>LOW</b> – below the Top 5 among the identified enterprises in the province (1-4 POINTS)</p>	
<p><b>Market Potential (30 POINTS)</b></p>	<p>Potential for value addition <i>(based on the no. of product forms)</i>– <b>10 POINTS</b></p> <p>Strong domestic and/or international demand for the product <i>(Sources: NSO import and export volume, market studies, stakeholders’ consultations, I-PLAN prioritization in terms of market size, growth &amp; potential and ease of entry)</i>– <b>10 POINTS</b></p> <p>Identified industrial or commercial buyer with potential for supply/marketing contract <i>(based on VCA/PCIP)</i> – <b>10 POINTS</b></p>	<p><b>HIGH</b> – 5 products and above (8-10 POINTS)</p> <p><b>MEDIUM</b> – 3 to 4 products (5-7 POINTS)</p> <p><b>LOW</b> – 1 to 2 products (1-4 POINTS)</p> <p><b>HIGH</b> – Top 3 (8-10 POINTS)</p> <p><b>MEDIUM</b> – Top 5 (5-7 POINTS)</p> <p><b>LOW</b> – below the Top 5 (1-4 POINTS)</p> <p><b>HIGH</b> – more than two known local industrial and commercial buyers with potential for supply and marketing contract and presence of export traders of the commodity in the locality (8-10 POINTS)</p> <p><b>MEDIUM</b> –less than two local and industrial buyers with potential for supply and marketing contract and presence of export traders of the commodity in the locality (5-7 POINTS)</p> <p><b>LOW</b> –No known industrial or commercial buyer and export traders (1-4 POINTS)</p>	
	<p>Production area (<b>10 POINTS</b>)</p>	<p><b>HIGH</b> – 40% and above of agriculture area</p>	

<p><b>Resource base (20 POINTS)</b></p>	<p>Production volume (10 POINTS)</p>	<p>planted/total population/ aquaculture area (8-10 POINTS)  <b>MEDIUM</b> – 20%-39% agriculture area planted/ total livestock population/ total aquaculture area (5-7 POINTS)  <b>LOW</b> – below 20% agriculture area planted/ total livestock population/ total aquaculture area (1-4 POINTS)   <b>HIGH</b> – 40% and above share of agricultural production volume/ total livestock traded/ total fish catch (8-10 POINTS)  <b>MEDIUM</b> – 20%-39% share of agricultural production volume/ total livestock traded/ total fish catch (5-7 POINTS)  <b>LOW</b> – below 20% below the share of agricultural production volume/ total livestock traded/ total fish catch (1-4 POINTS)</p>	<p><b>Resource base (20 POINTS)</b></p>
<p><b>Climate Resiliency and Innovation (10 POINTS)</b></p>	<p>Climate Smart and Resilient Agriculture  Use of innovative technology</p>	<p><b>HIGH</b> - will use/adapt climate resilient technologies and innovative technologies (10 POINTS)  <b>MEDIUM</b> - will use/adapt either climate resilient technologies or innovative technologies (5 POINTS)  <b>LOW</b> - no identified climate resilient or innovative technology (0 POINT)</p>	<p><b>Climate Resiliency and Innovation (10 POINTS)</b></p>
<p><b>Productive Partnership (10 POINTS)</b></p>	<p>Involvement of private agribusiness entity (PAE)</p>	<p><b>HIGH</b> – PAE to provide assured market, technology support, parallel investment and other technical assistance (8-10 POINTS)</p>	<p><b>Productive Partnership (10 POINTS)</b></p>

		<p><b>MEDIUM</b> – PAE to provide at least two services (5-7 POINTS)</p> <p><b>LOW</b> – PAE to provide access to market (1-4 POINTS)</p>	
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**Part VIII: Validation Result and Recommendations**

<ul style="list-style-type: none"> <li>● For Approval</li> </ul>
<ul style="list-style-type: none"> <li>● For confirmation of PSO; see attached draft endorsement letter</li> </ul>
<ul style="list-style-type: none"> <li>● For endorsement to the PSO after resolving the following conditions:</li> </ul>
1.
2.
3.
<ul style="list-style-type: none"> <li>● For Disapproval due to the following findings and non-compliances/qualifications:</li> </ul>
1.
2.
3.
4.
5.

Date of Validation:	
Validation Conducted by:	(Full Name & Signature)
Accompanying Persons:	
1. Office/Position	(Full Name & Signature)
2. Office/Position	(Full Name & Signature)
3. Office/Position	(Full Name & Signature)
4. Office/Position	(Full Name & Signature)
5. Office/Position	(Full Name & Signature)

6. Office/Position	(Full Name & Signature)
Recommendation Approved by:	
RPCO Project Director	(Full Name & Signature)





**Annex 10 - I-BUILD Subproject Validation Report**

(Annex 37 of I-BUILD Operations Manual)

Republic of the Philippines

LGU of \_\_\_\_\_

## Subproject Validation Report

General Information :				
Subproject Title :			Present Condition:	
Subproject No. :			Physical Target (sq.m.):	
Category:			Estimated Cost:	
Location:			No. of household:	
Sitios/Brgys. Covered :				
Present product handling:			Condition:	
Product Handling				
DATA SETS	Volume of Crops Harvested	Volume of Crops Marketed	Value Adding	Remarks
Before Project				
After Project				
	0			

Budget Requirement:				
Items of Work	Quantity	Unit	Unit Cost	Total Cost
Initial Economic Analysis:				
Benefit (PhP)	Cost (PhP)	B/C	NPV	EIRR
<b>General Observations :</b> (describe in detail the present physical condition of the proposed subproject, its distance and accessibility, source of construction materials, existence of farmers associations, environmental issues, R.O.W. problems, and the interest of the local community/beneficiaries in general)				
<b>Recommendations :</b> (brief explanation on whether to proceed with detailed F.S., DED or not)				

Validated by: \_\_\_\_\_

Date: \_\_\_\_\_

**Annex 11 - Social Inclusiveness Scoring System for FCAs/FCA Cluster Seeking I-REAP Funding**  
(Annex D of ESMF)

**Instructions:**

1. This Social Inclusiveness Scoring Sheet should be submitted together with the subproject proposal package of the Proponent Group (PG) seeking I-REAP funding. PG is defined under PRPD Scale-Up as the recipient of the I-REAP subproject grant. The eligible PG for I-REAP subprojects are:

- (a) **Local Government Units (LGUs).** The LGUs are required to identify a partner FCA, cluster of FCAs; and
- (b) **Farmer/Fisherfolk Cooperative or Association (FCA) or cluster FCAs (FCA cluster).** The lead FCA or FCA cluster would be responsible for the subproject proposal formulation, implementation and operation, which may be done in partnership with a private agribusiness entity.

Subproject proposals submitted by an LGU or FCA/FCA cluster may also be initiated by a private agribusiness entity, but the proposal would be required to identify the partner LGU or FCA/FCA cluster who would be the proponent of the subproject.

- 2. The purpose of filling-up the Social Inclusiveness Scoring Sheet is to determine the degree of social inclusiveness of the subproject proposal based on the eight (8) criteria as enumerated below. To qualify for funding, the results of the ratings must not have zero score on - any of the following four criteria - Criterion#1, Criterion #4, Criterion #5 or Criterion #6 - and must have a total score of at least 30.
- 3. If there are scores with a low rating or zero - on any of the criteria, then the PG must then look into these items and take any action that would enable them to meet/satisfy these criteria.
- 4. The Social Inclusiveness Scoring Sheet shall be accomplished by the LGU-SES and validated by the RPCO-SES during PG validation until the finalization of the Business Plan. This should be done in close coordination with the I-REAP Component.
- 5. The Scoring Sheet shall be filled-up through interview with the FCA/FCA cluster or partner FCA of the LGU and review of related documents (i.e. By Laws of the FCA, Business Plan among others). For FCA cluster, each FCA cluster member should fill-up this scoring sheet. Each FCA will be subjected to criteria numbers 1 to 4 while the proposed business plan of the PG will be subjected to criteria numbers 5 to 8 to complete the rating process. All FCA Cluster members must have at least a total score of 30.
- 6. Please see attached scaling guide as reference in assigning the appropriate rating for each criterion.

Subproject Title:

Subproject Location:

Subproject PG: LGU: \_\_\_\_\_

FCA: \_\_\_\_\_

Subproject Scale:                                   \_\_Small                   \_\_Medium                   \_\_Large

Sub - project Type:

**Estimated Subproject Cost:**

Criterion	Score Range	Rating
1. Open membership/ stockholder policy	0-10	
2. Plan for expansion of membership tied up to the grant	0-5	
3. Farmers and/or fishers are themselves members/stockholders of the FCA	0-10	
4. Historically, the FCA has a high turn-over of set of officers and election of officers is held regularly	0-5	
5. Business plan shall show clear increase in farmers and/or fishers incomes (both members and non-members)	0-10	
6. Tangible benefits to the workers of the enterprise, including any plan to increase wage, fringe benefits and any plan to increase the number of workers	0-5	
7. Lot where permanent facilities to be funded will be constructed should be covered by sufficient security of tenure for the PG. For subproject proposals involving purchase of equipment, PG should have a designated lot covered by sufficient security of tenure for the PG where equipment can be stored properly and is accessible to the members of FCA/FCA cluster.	0-5	
8. No potential economic displacement of existing similar or exactly the same enterprise/business in the area	0-5	
<b>Total score</b>	<b>3-55</b>	

**Scaling Guide as reference in assigning the appropriate rating per criterion**

Criterion and Indicators	Ranking Guide	PG Rating	Remarks
<b>1. Open membership/stockholder policy</b> <ul style="list-style-type: none"> <li>Open membership/stockholder policy is indicated in the By-Laws of the FCA.</li> <li>There is no restriction aside from relevance of livelihood/profession to the enterprise (e.g. only dairy farmers may be a member in a dairy cooperative).</li> </ul>	<p>If all of the indicators are present – 10 points</p> <p>If 2 of the indicators are missing – 5 points</p>		

Criterion and Indicators	Ranking Guide	PG Rating	Remarks
<ul style="list-style-type: none"> <li>● There are no artificial barriers to membership/stockholders such as family affiliation, controlling stock, political affiliation, gender, religion, ethnicity or the use of political boundaries to restrict membership in natural resource-based FCA.</li> <li>● The cooperative or association must not amend their membership/share of stock policy such that it will effectively place such or similar barriers, during the entire economic life of the proposed enterprise.</li> <li>● Requirements for membership must be simple enough to accomplish (i.e. documentary requirements) and membership fee is reasonable even for small farmers/fisherfolks to be members.</li> </ul>	<p>If no written by-laws and membership is exclusive – 0 points</p>		
<p><b>2. Plan for expansion of membership</b></p> <ul style="list-style-type: none"> <li>● With concrete, feasible and attainable targets (e.g. after 2 years of implementation there is a 5 % increase in membership)</li> <li>● With Action Plan that specifies steps/activities on how to achieve the target (e.g. conduct of pre-membership orientation and seminar that discusses the VMG, values and principles of the FCA).</li> </ul>	<p>If both indicators are present – 5 points</p> <p>If there are targets, but no specified concrete steps on how to achieve the targets - 3 points</p> <p>If no plans indicated - 0 points</p>		
<p><b>3. Farmers and/or fishers are themselves members of the FCA</b></p> <ul style="list-style-type: none"> <li>● farmers and/or fishers are themselves members of the FCA with equal (income of enterprise equally distributed) and equitable sharing (patronage refund)</li> <li>● there is meaningful participation of both men and women farmers' in decision-making processes of the FCA (refer to minutes of the meeting and attendance sheet to check gender balance ratio and if discussions reflect views of women. Check also the kind of leadership roles women play in the FCA)</li> <li>● conducts regular assembly</li> </ul>	<p>If all indicators are present – 10 points</p> <p>If no participation – 5 points</p> <p>If all indicators are not present – 0 points</p>		

Criterion and Indicators	Ranking Guide	PG Rating	Remarks
<ul style="list-style-type: none"> <li>majority of the member-beneficiaries are small farmers and fisherfolks<sup>36</sup></li> </ul>			
4. Historically, the FCA has a high turn-over of set of officers and election of officers is held regularly	<p>If yes – 5 points</p> <p>If no – 0 points</p>		
<p>5. <b>Business plan shall show clear increase in farmers and/or fishers incomes</b> (both members and non-members)</p> <ul style="list-style-type: none"> <li>Business plan show clear increase in income of members</li> <li>Business plan show clear increase in income of non-members</li> <li>Business plan show other benefits to the members and non-members</li> <li>If a private agribusiness entity is involved in the subproject proposal, business plan must clearly show that FCA/FCA cluster and private sector will establish linkages in terms of marketing agreements, arrangements for technology transfer, supplier credit or provision of other types of services, along with safeguard requirements and financial viability.</li> </ul>	<p>If all the indicators are present – 10 points</p> <p>If only increase in income of members - 5 points</p> <p>If does not clearly show benefits to farmers/fisherfolks - 0 points.</p>		
<p>6. <b>Tangible benefits to the workers of the enterprise</b>, including any plan to increase wage, fringe benefits and any plan to increase the number of workers</p> <ul style="list-style-type: none"> <li>Plan to increase wage</li> <li>Benefits offered include SSS, Pag-ibig, PhilHealth</li> <li>Plan to increase the number of workers</li> <li>Availability of other benefits (such as but not limited to fringe benefits, presence of particular benefits for the needs of women, benefits for PWD workers).</li> </ul>	<p>If all the indicators are present – 5 points</p> <p>If 2 of the indicators are not present – 3 points</p> <p>If no benefits – 0 points</p>		
7. <b>Lot where permanent facilities to be funded will be constructed</b> should be covered by sufficient security of tenure for the PG. For	<p>5 points:</p> <ul style="list-style-type: none"> <li>Owned by PG</li> </ul>		

<sup>36</sup> Small farmers refer to small-scale farmers who own or are still amortizing lands that are not more than (3) hectares, tenants, leaseholders, and stewards. Small fisherfolks refer to those directly or indirectly engaged in taking, culturing, or processing fishery or aquatic resources. These include, but are not to be limited to, those engaged in fishing using gears that do not require boats, or boats less than three (3) tons, in municipal waters, coastal and marine areas; workers in commercial fishing and aquaculture; vendors and processors of fish and coastal products; and subsistence producers such as shell-gatherers, managers, and producers of mangrove resources, and other related producers. (Source: Administrative Order No. 21, s. 2011 Revised Implementing Rules and Regulations (IRR) of Republic Act (RA) No. 8425, or the Social Reform and Poverty Alleviation Act)

Criterion and Indicators	Ranking Guide	PG Rating	Remarks
<p>subproject proposals without permanent facilities to be constructed but involves the purchase of equipment, PG should have a designated lot covered by sufficient security of tenure for the PG where equipment can be stored properly and is accessible to the members of FCA/FCA cluster.</p> <p>Owned by PG (however if to be owned by PG but still in the process of acquiring lot during the time of Business Plan preparation only 4 points will be given)</p> <p>or</p> <p>Leased with option to buy provided that:</p> <ul style="list-style-type: none"> <li>● If rights are to be acquired through lease, the terms shall at least cover the entire economic life of the enterprise as projected in the FS.</li> <li>● The lessor of the lot should not be a key official of the PG (LGU or FCA) or should not occupy a managerial position in enterprise such that he/she can influence in the continued viability of the enterprise.</li> <li>● The lessor may be a key official of the PG provided that the following are present: (if PG is an FCA/FCA cluster) <ol style="list-style-type: none"> <li>1. Cost of lease is cleared by the BOD and comparable to the prevailing rates in the area</li> <li>2. Historically, the PG has a high turn-over of set of officers and election of officers is held regularly</li> <li>3. The owner of the property/land should not be the one directly managing the enterprise</li> <li>4. The contract should include provisions for the fate of the facility in the leased property in case of bankruptcy of the enterprise</li> </ol> </li> </ul> <p>If enterprise is aqua-based i.e. seaweeds, mussels, oysters, the project area should be assigned to the FCA by the LGU and the area is covered by the LGU as per Fisheries Code.</p>	<ul style="list-style-type: none"> <li>● Leased with option to buy with the conditions stated herein</li> <li>● For aqua-based enterprise, project area assigned to the FCA by the LGU and the area is covered by the LGU as per Fisheries Code</li> </ul> <p>3 points:</p> <ul style="list-style-type: none"> <li>● Leased only and no option to buy (following the same stated considerations herein if lessor is a key official)</li> <li>● For aqua-based enterprise, if the project area is not yet assigned to the FCA but is covered by the LGU</li> </ul> <p>0 points:</p> <ul style="list-style-type: none"> <li>● Neither owned by PG or leased (no security of tenure)</li> <li>● For aqua-based enterprise, if project area is not assigned to the FCA by the LGU and the area is not covered by the LGU as per Fisheries Code</li> </ul>		

Criterion and Indicators	Ranking Guide	PG Rating	Remarks
<p>In instances where the aqua-based enterprise will need a lot where permanent facilities to be funded will be constructed, the other indicators shall still apply.</p> <p>It should also be noted that a Usufruct is only applicable if the intended subproject site is a government-owned lot. Please refer to the LARPF under Modes of Acquisition.</p> <p><i>Note: Basis for “economic life” can be: a) COA Circular 2003-007 Annex A wherein “useful life” is qualified as 30 years for concrete building; 20 years for mixed and 10 years for wood material. Cost of the infrastructure should also be taken into consideration in assessing if lease of contract should be more than 30 years; or b) the economic life of the enterprise as discussed in the Business Plan.</i></p>			
<p><b>8. No potential economic displacement of existing similar or exactly the same enterprise/business in the area</b></p> <ul style="list-style-type: none"> <li>● There are no existing similar or exactly the same enterprise/business in the area</li> <li>● Creation of the enterprise/business does not deliberately and unfairly compete with the identified existing enterprise/s</li> <li>● Captured market/clientele is clearly defined in the Business Plan and doesn't overlap with existing operations in the area</li> </ul>	<p>If all of the indicators are present – 5 points</p> <p>If proposed enterprise is found to be competing with existing hard working individuals, small scale enterprises or small household-based businesses but will not displace their captured market – 3 points</p> <p>If there are existing similar or exactly the same enterprise/business in the area, wherein the proposed enterprise would unfairly compete with these existing businesses (especially the small scale enterprises or small</p>		

Criterion and Indicators	Ranking Guide	PG Rating	Remarks
	household-based businesses) – 0 points		
<b>Total score</b>	<b>3-55</b>		

Scored/Evaluated by : \_\_\_\_\_

Designation/Position : \_\_\_\_\_

Unit : \_\_\_\_\_

Date : \_\_\_\_\_

Reviewed/Validated by : \_\_\_\_\_



**Annex 12 – Detailed Disaster Risk Assessment and Business Continuity Plan Forms**

**SECTION 1. Cover sheet - Organizational Profile**

Organization Name	
Representative's Name	
Telephone Number	
Address	
Mission	

Activities/ Functions		Description Short Description of the activity
	<b>Count</b>	<b>Description Shifts, Location, etc.</b>
Manpower Count		
Regular Employees		
Contractual Employees		
Volunteers		
Contractors and Other Suppliers		
Guests		

**SECTION 2. Major Products/Services and Operational Activities**

<b>Type (as to services rendered):</b>	
<b>Category (Size of assets):</b>	
<b>Major Products and Services:</b>	<b>Top Operational Activities:</b>
1.	a.
2.	b.
3.	c.
4.	d.
5.	e.
	f.
	g.
	h.
	i.
	j.

**SECTION 3. Risk Assessment**

Threat	Applicable	Likelihood	Impact	Risk Rating	Existing Controls
You may add more to the list as you see fit	Encircle Y for YES or N for NO	Indicate your rating based on the criteria provided		Likelihood X Impact	What control measures do you have, CURRENTLY, in place?
Fire	Y / N				
Earthquake	Y / N				
Typhoon	Y / N				
Flood	Y / N				
Landslide	Y / N				
Drought	Y / N				
Work Accident	Y / N				
Data Loss	Y / N				
Cyber Attack	Y / N				
Theft/Crime	Y / N				
Power Outage	Y / N				
Epidemic	Y / N				
Civil Unrest / Terrorism	Y / N				

Loss of Critical Employees	Y / N				
Supply Chain Disruption	Y / N				
	Y / N				
	Y / N				

**Impact**

1 - No Impact/Negligible, 2 - Minor, 3 - Moderate, 4 - Significant, 5 - Catastrophic

**Likelihood**

1 - Very Low, 2 - Low, 3 - Moderate, 4 - High, 5 - Very High

**SECTION 4. Vulnerability Assessment (Enterprise-specific)**

Identify existing controls or safeguards to mitigate impact exposures in enterprise. Evaluate the effectiveness of these controls and identify their weaknesses. Last, given these conditions, rate the vulnerability score of the enterprise from 1 to 5 with 5 as “most vulnerable.”

A	B	C	D
Hazard	Existing Controls	Weaknesses	Recommendation
1.			
2.			
3.			

**Enterprise Vulnerability Score:**

**Column Entry:**

- A: Enter the high-risk hazards to the enterprise (coded red in the Enterprise Risk Heat Matrix)
- B: Indicate existing controls against each hazard.
- C: Indicate current weaknesses despite presence of controls.
- D: Enter recommendations to address weaknesses.

In the **Last Row**, enter the enterprise' vulnerability score

**SECTION 5. Impact Classification**

Type of Event	People / Employees	Facility / Building	Equipment	Technology/ Data	Operations	Finance	Supply Chain
<i>Put a check on the box of the affected resource if the risk event occurs.</i>							
Fire							
Earthquake							
Typhoon							
Flood							
Landslide							
Drought							
Work Accident							
Data Loss							
Cyber Attack							
Theft/Crime							

Power Outage							
Epidemic							
Civil Unrest / Terrorism							
Loss of Critical Employees							
Supply Chain Disruption							
	<b>Priority #</b>	<b>Priority #</b>	<b>Priority #</b>	<b>Priority #</b>	<b>Priority #</b>	<b>Priority #</b>	<b>Priority #</b>
Rank these items based on importance to the organization 1 most important - 8 least important							

**SECTION 6. Stakeholder Analytics**

A	B	C	D	E	F	G	H
<b>STAKEHOLDERS</b>	<b>STAKEHOLDER INTEREST</b>	<b>STAKEHOLDER RISK</b>	<b>STAKEHOLDER SUPPORT</b>	<b>Measures to Solidify stakeholder support</b>	<b>Communication frequency and channels</b>	<b>PERSON IN CHARGE</b>	<b>DEADLINE</b>
Members							

Outsources							
Third parties							
Investors							
Market (I.e, other buyers than enterprise members)							
NGO's							
NGA's							
Others (specify)							

**Column Entry:**

- A: Enter the stakeholder/stakeholder group in the enterprise
- B: Indicate the interests the stakeholder has with regard to the enterprise.
- C: Indicate what kind of risk the stakeholder can create or pose to the enterprise in case of an incident.
- D: Enter what kind of support the stakeholder can give the enterprise in case of an incident.
- E: Indicate any measure the enterprise can do to improve stakeholder support or positive action.
- F: Indicate the means by which the enterprise can communicate with the stakeholder and the frequency of communications.
- G: Indicate the enterprise officer or staff in charge of a particular stakeholder analysis and communications.
- H. Enter the date when the report of the PIC shall be due.

**SECTION 7. Table of Time-critical Activities**

A	B	C	D,E	F	G
<b>Major Products/</b>	<b>Subsidiary Processes/ Services</b>	<b>Operational Activities</b>	<b>Impact if Disrupted</b>	<b>MTPD</b>	<b>RTO</b>

Services			Internal	External		

**Column Entry:**

- A: Enter the enterprise’ major products and/services
- B: Indicate the major processes dedicated by the enterprise in the production/delivery of the product/service.
- C: Indicate the operational activities undertaken by the enterprise in each major process.
- D: Indicate the level of impact the loss or disruption in the production/delivery of the product/service will have on the internal elements of the enterprise. Write “L” if the impact of such loss is low, “M” if moderate, and “H” if high.
- E: Indicate the level of impact the loss or disruption in the production/delivery of the product/service will have on the external elements of the enterprise. Write “L” if the impact of such loss is low, “M” if moderate, and “H” if high.
- F: Maximum Tolerable Period of Disruption (MTPD): Estimate the length of time (i.e. no. of days) your enterprise can tolerate the absence of your major product/service without causing significant harm to the enterprise. Do this for each product/service.
- G: Recovery Time Objective (RTO): Indicate when (i.e. no. of days) you intend to resume production/delivery of the major product/service (regardless of the extent of damage incurred) in order to soonest serve enterprise members.

**SECTION 8. Table of Internal Dependencies**

A	PRIORITIZED ACTIVITY:			
	B	C	D	E
	Operational Activities	Category (Tier)	MTPD	RTO




**Row Entry**

A: Look for the enterprise product/service with the shortest RTO in Tool 10 and enter it in the row.

**Column Entry:**

B: List the operational activities necessary to resume production of the enterprise' prioritized activity.

C: Indicate the order by which these activities should be resumed according to their dependencies. Activities upon which others depend on will have the lowest category or tier.

D: Indicate the MTPD for the operational activities.

E: Indicate the RTO for the operational activities.

**SECTION 9. Critical Resources Table** (Identification of critical resources needed to resume Tier 1 Prioritized Activity)

<b>A</b>	<b>Prioritized Activity/Process:</b>			
<b>B</b>	<b>C</b>	<b>D</b>	<b>E</b>	<b>F</b>

Staff	Space	Stuff	System	Structure

**Row Entry**

A: Indicate the enterprise' PRIORITIZED ACTIVITY.

**Column Entry:**

- B: List the staff requirements for the resumption of the prioritized activity at the RTO.
- C: List the spatial requirements for the resumption of the prioritized activity at the RTO.
- D: List the stuff (equipment, materials, supplies, funding, and other inputs) needed for the resumption of the prioritized activity at the RTO.
- E: List the system requirements for the resumption of the prioritized activity at the RTO.
- F: List the organizational requirements for the resumption of the prioritized activity at the RTO.

**SECTION 10. Value Chain Risk Analytics (Enterprise-specific)**

A	B	C	D	E	F	G	H	I	J	K	L
Critical Resource	Enterprise Procurement System Supplier Code	Supplier	Contact details	Source		Risk Potential					Remarks
				Internal	External	Service agreement	Likelihood of interruption	Past service issues	Type of supplier/buyer	Overall risk assessment	

A	C	D			G	H	I	J	K	L	
<b>Major Product/Service</b>	<b>Buyer/Client</b>	<b>Contact Details</b>									

**Column Entry:**

- A: Enter the enterprise' critical resources/products/services
- B: Indicate the enterprise procurement system supplier code (if applicable)
- C: Specify by name the supplier/buyer/client of the critical resource.
- D: Indicate the contact details (cellphone numbers and email addresses) of the supplier/buyer/client.
- E,F: Check if the supplier is an internal or an external supplier. For this purpose, a member is an internal supplier.
- G: Check if there is a service level agreement with the supplier/buyer/client. Note if SLA has a response time for delivery of critical resource.
- H: Estimate chances of interruption in case of incidents ("H" if High; "M" if Moderate; "L" if Low)
- I: List past service issues with supplier/buyer/client if there were.
- J: Indicate whether supplier/buyer/client is a single supplier (si) or sole supplier (so) OR single buyer (sb) or sole buyer (slb)
- K: Assess overall potential supplier/buyer/client risk using columns G to J as basis ("H" if High; "M" if Moderate; "L" if Low)
- L: Write down comments of any.

**SECTION 11. Protection and Risk-Mitigation Strategies**

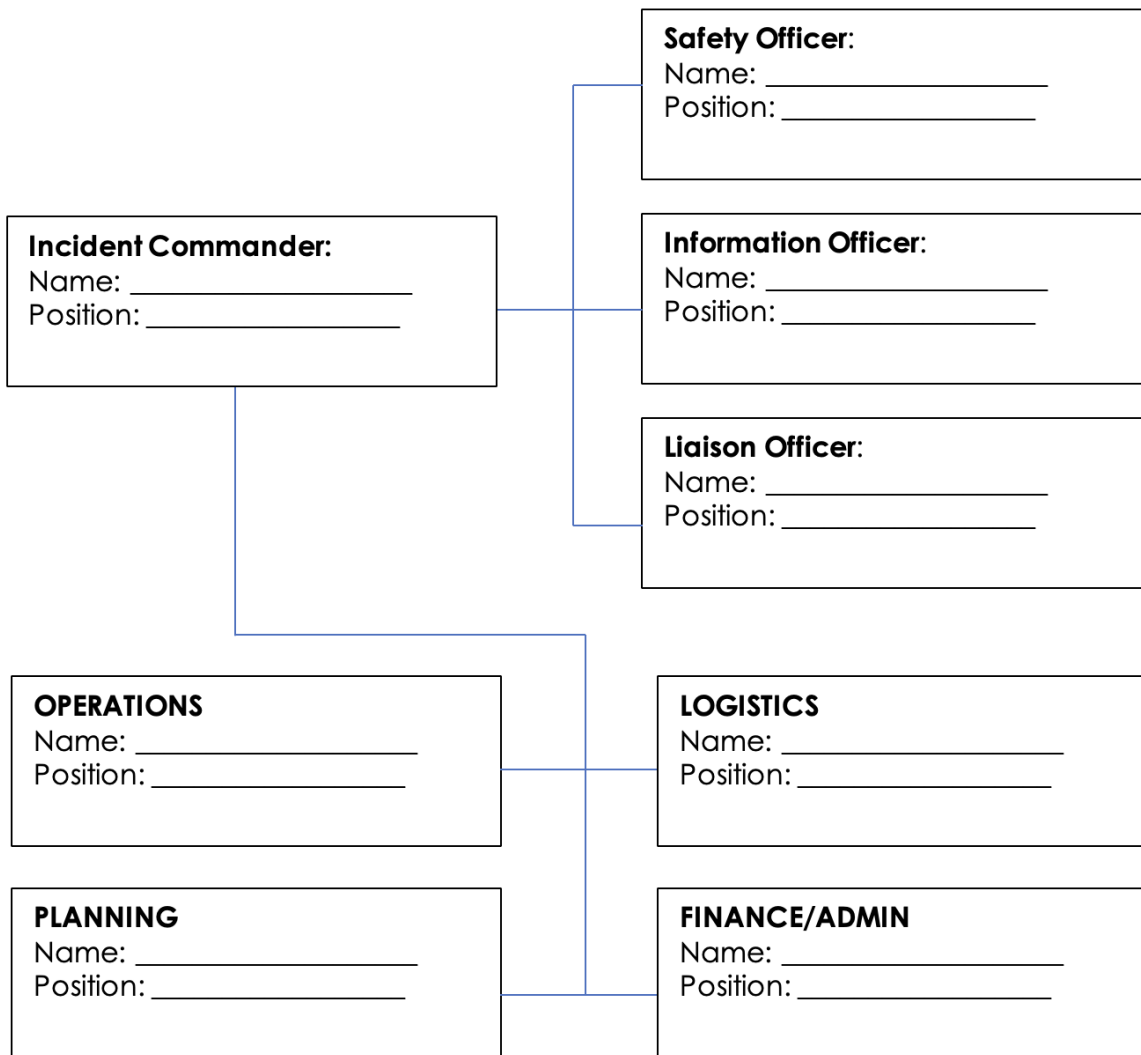
A	B	C	D	E	F	G
<b>Resources</b>	<b>Hazard</b>	<b>Current Condition</b>	<b>Protection and Risk-</b>		<b>Timetable</b>	<b>Estimated Budget</b>

		<b>on vis-à-vis Hazard</b>	<b>Mitigation Strategies</b>	<b>Person -in Charge</b>	Immedi ate	With in 1 year	Mediu m Term	
<b>Staff</b>								
<b>Space</b>								
<b>Stuff</b>								
<b>System</b>								
<b>Structur e</b>								

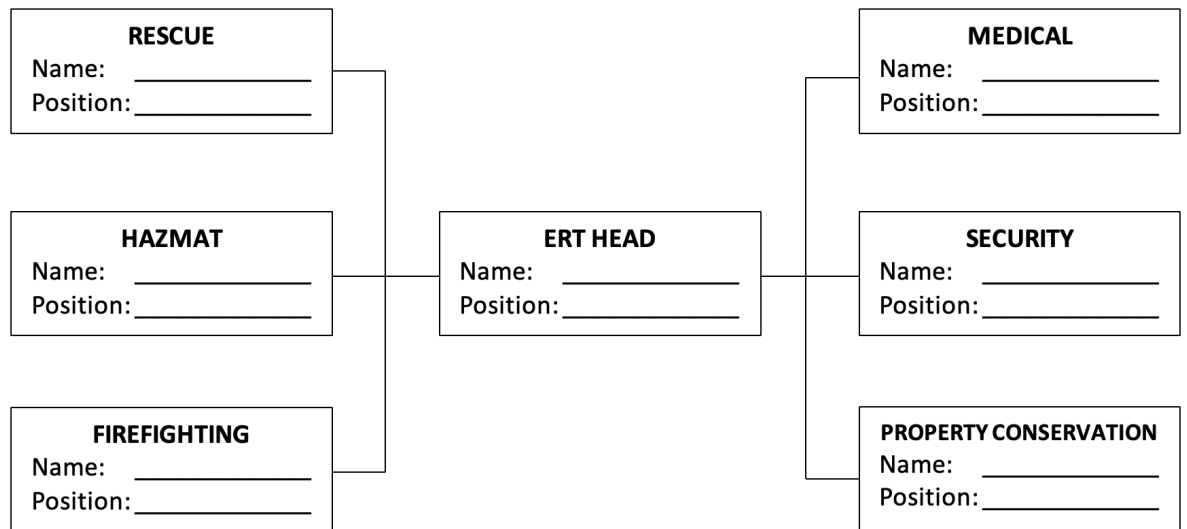
**Column Entry:**

- A: List the enterprise' critical resources by category.
- B: Specify the priority hazard that may happen during a pandemic. Indicate at as the “plus” hazard.
- C: Assess current condition of the resource vis-à-vis the pandemic and the plus hazard (**P**oor, **F**air, **G**ood, **E**xcellent).
- D: Specify the strategies to be implemented to improve current conditions and protect and mitigate risk to resources.
- E: Designate a person-in-charge/committee of the protection and mitigation strategy
- F: Check if the strategy is to be implemented immediately, within the year, or within the medium term.
- G: Estimate the cost of the implementation of each strategy

**SECTION 12. The Incident Management Structure**



**SECTION 13. The Enterprise Emergency Response Team**



**SECTION 14.. Emergency Response Strategies**

**Column Entry:**

- A: List the enterprise' emergency response strategies for each hazard per resource.
- B: Estimate the budget for each strategy.

		A	B
Resources	Hazard	Emergency Response Strategies	Budget
Staff			
Space			

<b>Stuff</b>			
<b>System</b>			
<b>Structure</b>			

**SECTION 15. Business Continuity Strategy [for other non-priority business process]**

<b>Business Function</b>	<b>Business Continuity Strategy: How will you continue to deliver this function or activity?</b>	<b>Activity Details</b>
	<i>Select the applicable strategy from the list provided</i>	<i>What are the key action items in order to recover each function? This will be the basis of the detailed BCP document that you will have to prepare.</i>

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**SECTION 16. Financial Considerations**

A	B	C	D	E	F
ER Expenditure Clusters	Amount	Source of Funds	Legal Provision	Allocation	Balance
Structural Initiatives					
Capacity Build-up					
Physical Plant Upgrades					



Supplies and Equipment					
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**Section 17. BCP Checklist**

Emergency Equipment and Tools	Qty. Needed	Qty. Present	Date Checked
Batteries			
Fire Extinguisher			
Ropes			
Hard Hat/Helmet			
Gloves			
Utility Knives			
Hammer			
Pliers			
Crow Bar			
Spill Kit			
Broom and Mop			

Bucket and Pail			
Disinfectant			
Shovel			
Cloth Rags			
Ladder			
Tape (duct, masking, electric)			
Extension Cords			
Communication Devices (two-way radio, cell phone, etc)			
Battery Powered Fan			
Battery Powered Lamp			

<b>Emergency Supplies</b>	<b>Qty. Needed</b>	<b>Qty. Present</b>	<b>Date Checked</b>
Drinking Water (3 liters / person for 3 days)			
Emergency Food Supply (3 day-supply per person)			
Sanitation Supplies (soap toilet paper, etc)			
Eating Utensils (plates, cups, spoon, fork)			
Plastic Garbage Bag			

Blankets / Sleeping Bag			
First Aid Kit			
Flashlight			
Can Opener			
Whistle			
Malong or Sarong			
Toothpaste and Toothbrush			

Support for Getting People Home	Qty. Needed	Qty. Present	Date Checked
Local Maps			
Notepad and Pencil			
Get-Home Bags			
Local Maps			

**Section 18. Contact Numbers**

Office	Name of Contact Person	Addresses	Mobile Number/Landline	Email Addresses
Bureau of Fire Protection				

Local Water District				
Electric Cooperative				
Hospital/Clinic				
Local Disaster Risk Reduction and Management Office				
Municipal Police Station				
Barangay Office				

**Section 19. Exercise/Test Record**

<b>Type of Exercise Method</b> <i>(Tabletop, Drill, Simulation or Live Test)</i>	<b>Additional Information</b>	<b>Participants</b> <i>(Who are the people that will take part in the exercise/test)</i>	<b>Exercise Objectives</b>	<b>Target Date</b>	<b>Date Conducted</b>	<b>Observations and Comments</b>	<b>Areas for Improvement</b>	<b>Action Plan</b> <i>(Include timeline)</i>



## Annex 13– Checklist of Requirements for Enterprise Subproject



Republic of the Philippines  
Department of Agriculture  
**PHILIPPINE RURAL DEVELOPMENT PROJECT**  
**National Project Coordination Office**  
4<sup>th</sup> Floor, DA Building, Elliptical Road, Diliman

FORM 1

SUB-PROJECT TITLE:

LOCATION:

IMPLEMENTING PROPONENT:

TOTAL INVESTMENT REQUIREMENT:

ENTERPRISE PROJECT FUND:

INFRASTRUCTURE COST:

PG EQUITY:

CHECKED BY:

DATE CHECKED:

I. Eligibility Requirements of the FCA/ FCA Cluster	ATTACHED		REMARKS
	YES	NO	
1. Letter of Intent			
2. Certificate of Registration			
3. Certificate of Compliance or Good Standing			
4. Certificate from DA on FFEDIS registry			
5. DA Accreditation			
6. Latest Audited Financial Report Small Enterprise - Photocopy of the Official Receipt (OR) and Audited Financial reports for the years in operation  Medium & Large Enterprise - Audited Financial Report in the last 3 years (for medium enterprise subproject)			
7. PLGU Evaluation on the Financial and Organizational Capability of the FCA/ FCA Cluster			
8. Screening of Subproject eligibility for PRDP Scale-Up Report			
9. Accomplishment Reports and photographs of agri-fishery or related projects undertaken, for at least one year indicating the source of funds for the implementation			
10. Proof of Equity (Cash- Bank Certificate); Land Title/ Deed of Donation, etc (as applicable)			
11. DA Accountant Certificate that the PG has No Unliquidated Account or Cash Advance with the DA			
12. Certified true copy of the policies, systems and procedures/ Certified true copy of the Articles of Incorporation/Cooperation and by laws			
13. Organizational Structure and Secretary's Certificate of Incumbent Officers including their functions			

14. A sworn affidavit of the Secretary of the NGO/PO that none of its incorporators, organizers, directors, or officials is an agent of or related by consanguinity or affinity up to the fourth civil degree to the officials of the government agency authorized to process and/or approve the proposal, the MOA and the release of funds.			
15. Sworn Affidavit of the Secretary of the NGO/PO that none of its officials are employees of the DA.			

II. Business Plan Requirements	ATTACHED		REMARKS
	YES	NO	
1. Value Chain Analysis (VCA)			
2. Approved PCIP			
3. Annex 28/Form 2A – Business Plan Tracking Form			
5. Annex 8 - Proponent Group Validation Result			
6. Annex 27- Business Plan Appraisal or Evaluation Form (using I-REAP Score sheet) – signed			
7. FCA/ FCA Cluster Profile			
8. Farmers' Profile			
10. Supply Contract with participating farmers			
11. Marketing Contract with buyers			

III. For Infrastructure Component (Please check Annex B: Review Checklist for Buildings of the I-REAP Technical Guidelines for details per requirement)	ATTACHED		REMARKS
	YES	NO	
1. Detailed Engineering Design - signed (prepared by hired engineer of the FCA/FCA Cluster or LGU engineer (designed professional), Reviewed by RPCO IBUILD Head, Recommending for Approval by RPCO Deputy Project Director, Approved by the RPCO Project Director as the HOPE)			
a. Coversheet			
b. Index of Drawings			
c. Details of Architectural Drawings			
i. Title/ Signatory Block			
ii. Vicinity Map/ Location Plan			
iii. Site Development Plan			
iv. Perspective, drawn at any convenient scale			
v. Floor Plan(s)			
vi. Elevations, at least four (4)			
vii. Sections, at least two (2)			
viii. Ceiling Plan(s)			
ix. Roof Plan			

x. Details, in the form of plans, elevations/ sections (min. scale of 1:50)			
xi. Schedule of Doors and Windows			
xii. Schedule of Finishes (in graphic form)			
d. Details of Structural Drawings			
i. Foundation Plan			
ii. Floor Framing Plan(s)			
iii. Roof Framing Plan			
iv. Schedule/ Details of Footings/ Columns/ Girders/ Beams/ Slabs			
v. Details of Trusses/ Connections or Details of Shear Walls/ Elevator Shaft			
vi. Details of Stair(s)			
vii. Structural Design Analysis/ Computations			
e. Details of Plumbing Drawings			
i. Location Plan and Site Development Plan			
ii. Plumbing Plans			
iii. Isometric Drawings			
iv. Detail of Septic Tank, Sedimentation Tank, if any			
v. Detail of Catch Basins			
vi. Detail of Elevated Water Tank, if any			
vii. Legend and General Notes			
f. Details of Electrical Drawings			
i. Location Plan and Site Development Plan			
ii. Legend of Symbols			
iii. General Notes and/ or Specifications			
iv. Plan for Power			
v. Plans for Lighting and Receptacle Outlets			
vi. Plans for Fire Detection and Alarm Circuits			
vii. Fire Alarm Riser Diagram			
viii. Schedule of Loads			
ix. One Line Diagram			
x. Other Details			
xi. Plans for Lightning Protection			
xii. Plans and Specifications for Indoor or Outdoor Substation			
xiii. Title/ Signatory Block			
xiv. Design Analysis			
xv. Technical Specifications			
xvi. Detailed Quantity Estimates			
g. Details of Mechanical Drawings			
i. Legend of Symbols			
ii. General Notes and/ or Specifications			
iii. Plans for Air Conditioning and Ventilation Systems			



iv. Plans for Water Pumping System			
v. Plans for Fire Suppression System			
vi. Plans for Elevator			
vii. Plans for Generating Sets			
viii. Other Details			

ix. Other Plans			
x. Title/ Signatory Block			
xi. Design Analysis			
xii. Technical Specifications			
xiii. Detailed Quantity Estimates			
h. Details of Electronics Drawings			
i. Location Plan and Site Development Plan			
ii. Legend or Symbols			
iii. General Notes or Specifications			
iv. Plans for Auxiliary/ Communication Systems			
v. Auxiliary Communication Riser Diagrams			
vi. Other Details			
vii. Title/ Signatory Block			
viii. Design Analysis			
ix. Technical Specifications			
x. Detailed Quantity Estimates			
2. Program of Works (POW) – signed (prepared by hired engineer of the FCA/FCA Clusters or LGU engineer (designed professional), Reviewed by RPCO IBUILD Head, Recommending for Approval by RPCO Deputy Project Director, Approved by the RPCO Project Director as the HOPE)			

IV. Social Environmental Safeguard (SES) Requirements (Large Scale Enterprise)	ATTACHED		REMARKS
	YES	NO	
1. Duly signed (by PPMIU, PSO, and RPCO) Annex A-2 SES Screening Form			
2. SA/EA of the Business Plan			
a. Consultation/s: Minutes, attendance and photos during all consultations (project beneficiaries meeting, PAPs consultation, FPIC or broad based consultation, Tribal Chieftain Certification)			
b. Executive Order with Grievance Redress Mechanism Point Person or Committee and discussion in the BP (2015 and beyond) for the LGUs. For FCA/FCA Clusters, a Grievance Point person should be identified.			
c. Letter of Requests: DENR for ECC and cutting permit; PCA for cutting permit; NCIP for Certificate of Pre-Condition; Electric Coop for transfer of electric posts (whatever is applicable) For NOL 2, permits/certifications should already be secured and attached accordingly.			

d. Annex H-1 IP/ICC Plan (refer to PRDP's IESSF for guidance on when the IP Plan is required)			
3. Duly signed ESMP attached with Annex H-2 Archaeological and Paleontological Chance Finds (Templates have been provided depending on the Category of the Enterprise)			
4. Site Acquisition Documents such as:			
a. Form 1 – Entitlement Survey of Affected Persons			
b. Form 2 – Inventory of Entitlement Survey of Affected Persons			
c. Proof of ownership (Title or Deed of Sale of the site, Deed of Sale or Transfer Certificate Title/TCT)			
d. Notarized Waiver/Quit Claims and/or Notarized Deed of Donations			
e. Contract of Lease for 50 years and subject for renewal or option to buy. Contract of Usufruct for 25 years and subject for renewal.			
f. Rehabilitation/Relocation/Resettlement Action Plan and Agreement between Proponent LGU and PAPs if with Resettlement			
g. Agreement between the PAPs and LGU for the compensation of their properties			
5. Disclosure of SES Documents by the PSO – SES Unit (SA/EA of the BP; IEE/EIA; ECC; Duly signed ESMP)			
6. Social Inclusiveness Scoring Sheet for FCA/ FCA Cluster Seeking I-REAP Funding			

V. Geomapping and Governance Unit (GGU) Requirements	ATTACHED		REMARKS
	YES	NO	
<b>Community Livelihood/Enterprise Subproject</b>			
1. Placemark of Local Government Office (i.e. Capitol, Municipal Hall, Barangay hall) where the subproject is under its jurisdiction			
2. Digitized track of the nearest route from Local Government Office to the proposed subproject site			
3. Office location of the implementing proponent			
4. Office location of Cluster Group/ Coop/ organization office			
5. Placemark <b>where it is applicable</b> , depending on the business plan:			
a. Location of local major target markets (within the province);			
b. Location of non-local major target markets (excluding overseas);			
c. Location of major competitors;			
d. Location of (existing & proposed) garage (hauling truck, farm tractor, delivery van);			

e. Location of existing & proposed Dock (motorized banca, module, fish cage);			
f. Other Related /Similar Structure with the same line of business (existing & proposed);			
<b>6. Proposed Construction site of Permanent Structures</b> ( <i>i.e processing plant, warehouse, dryer etc.</i> )			
Geotagged photos (at least four geotagged photo of site and existing permanent structure) of the proposed site;			
<b>7. Source Location of Raw Material</b>			
Raw material source location determines the availability and sufficiency of raw material to be supplied/processed in the proposed business enterprise. The following are the classification <b>where it is applicable to business plan</b> ;			
a) Commodity Polygon (digitized; at least 50% of the total commodity area as stated in the business plan)			
b. Farm animal headcount data from the Municipal Agriculturist Office by Barangay;			
c. Farm machinery target user ( <i>i.e. Tractor rental/services for land preparation</i> ); (polygon)			
7. Placemark & geotagged photos (KMZ) submitted to RPCO-GGU			

VI. Procurement Requirements	ATTACHED		REMARKS
	YES	NO	
1. Procurement Plan – signed by the Head of the Procuring Entity (HOPE) of the RPCO, prepared by FCA/ FCA Cluster Chairman and Reviewed by RPCO BAC			
2. Complete specifications – goods			
3. Philippine Bidding Documents for works/infrastructure (electronic or digital copy)			
4. Philippine Bidding Documents for goods using NCB as mode of Procurement (electronic or digital copy)			
5. Copy of the Established Procurement Policy of the FCA/ FCA Cluster - this is only applicable for the FCA method of procurement on Commercial Practices			

VII. Finance Requirements	ATTACHED		REMARKS
	YES	NO	
1. Memorandum of Agreement (MOA) between DA and LGU			
2. RPAB Resolution			
3. Sangguniang Panlalawigan/Bayan Resolution authorizing the LCE to sign the IMA			
4.. Board Resolution Authorizing the PG Chairman to sign IMA			

5. Work and Financial Plan (WFP) – prepared by FCA/ FCA Cluster Chairperson, Reviewed and Recommended for Approval by RPCO I-REAP Head and approved by RPCO Project Director			
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VIII. M & E Requirements	ATTACHED		REMARKS
	YES	NO	
1. Database and bulleted highlights of FCA/FCA Clusters Profiling conducted			
2. SMART Objective in the business plan			
3. Updated MIS I-REAP Module based on the latest Business Plan documents: SP Profile, pre-implementation progress, and packages			

Final Business Plan should be submitted in soft bind with attachments in ring bind with e-copy in CD format. Final business plan with complete attachments should be prepared in 5 copies to be distributed as follows: 1) FCA/FCA Clusters copy; 2) LGU copy; 3) 1 RPCO copy; 4) PSO copy; 5) NPCO copy; 6) WB copy (only if WB will issue the NOL)

**Annex 14 - Environmental and Social Safeguards Screening Form of Subprojects**

(I-BUILD AND I-REAP)

(Annex C of ESMF)

**Instructions:**

(i)	The screening form should form part of the Subproject proposal package.
(ii)	Respond to each question assuming the “without mitigation” scenario to identify potential impacts of the subproject. SPs with Significant adverse risks and impacts to be screened out
(iii)	Use √ mark in answering the questions (Yes or No columns)
(iv)	Use the “remarks” section to discuss the eligibility or requirements for evaluation.

Name of Subproject:		
Proponent:		
Subproject location:		
Component Activity:	<input type="checkbox"/> I-BUILD	<input type="checkbox"/> I-REAP

Screening Question	Yes	No	Remarks
<b>A. Subproject Eligibility</b>			
1. Will the subproject involve construction or operation of facilities or extracting resources such as aggregates or timber in <u>declared strict protection zone</u> of protected areas (e.g. national parks), key biodiversity areas, and primary forest reserves by the government?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
2. Will the subproject result in conversion, encroachment or disturbance of any critical natural habitats (i.e. primary forest, critical wetlands, endangered species habitat, etc.)?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
3. Will the subproject alter, damage or render inaccessible any cultural resources and practices, structures or heritage sites?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
4. Will the subproject involve cutting of mangroves / conversion of mangrove or beach forests, dewatering of mudflats, reclamation of floodplains or coastal areas?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
5. Will the subproject involve logging, commercial forest product harvesting?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.

Screening Question	Yes	No	Remarks
6. Will the subproject involve hunting or fishing in game refuge, bird sanctuaries, marine and seashore parks?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
7. Will the subproject involve the collection and trade of wildlife, rare, threatened and endangered flora and fauna?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
8. Will the subproject involve harvesting of mangrove or coral reefs or beach sand?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
9. Will the subproject involve the purchase of chainsaw, extractive equipment and explosives?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
10. Will the subproject involve the operation of sawmills or lumberyards?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
11. Will the subproject involve the use of project funds to purchase or use any prohibited agro-chemicals (herbicides, pesticides, insecticides, fertilizers)?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
12. Will the project use phased-out hydrofluorocarbons (HFCs) and other ozone-depleting substances (ODS) (i.e. cold chain and refrigeration systems) which are prohibited under the country's commitments to the Montreal Protocol and Kigali Agreement?			If YES, subproject is not eligible for funding under PRDP Scale-Up
13. Will the subproject involve any dam construction of more than 15 meters in height (measured as the vertical distance between the lowest point in the original streambed measured at the toe of the dam)?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
14. Will the subproject involve employment of children under 15 years of age?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
15. Will the subproject involve salaried activities that employ minors between 15-18 years old in jobs that are dangerous to			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.

Screening Question	Yes	No	Remarks
their health or their physical, moral, mental or social development?			
<b>B. ESS1: Assessment and Management of Environmental and Social Risks and Impacts</b>			
16. Is the subproject a Category A (Environmentally Critical Project) as per DENR Administrative Order 2003-30 and DENR Revised guidelines for coverage screening and Standardized Requirements under the Philippine EIS System (MC 2014-005)?			<p>If YES, subproject needs to undergo the <u>EIA process and secure ECC</u> from DENR-EMB Central Office/MENRE.</p> <p>Include sections on Environmental and Social Assessments and Environmental and Social Management Plan (ESMP) in the feasibility study and business plan.</p>
17. Is the subproject a Category B (Non-Environmentally Critical Project) as per DENR Administrative Order 2003-30 and Revised guidelines for coverage screening and Standardized Requirements under the Philippine EIS System (MC 2014-005) ?			<p>If YES, subproject needs to complete the Environmental Impact Statement (EIS) / Initial Environmental Examination (IEE) / EPRMP and secure the ECC from DENR Regional Office/MENRE.</p> <p>Include sections on Environmental and Social Assessments and Environmental and Social Management Plan (ESMP) in the feasibility study and business plan.</p>
18. Is the subproject a Category C (Environmental Enhancement or Direct Mitigation Project) as per DENR Administrative Order 2003-30, and Revised guidelines for coverage screening and Standardized Requirements under the Philippine EIS System (MC 2014-005)?			<p>If YES, subproject needs to prepare the Project Description and confirm the coverage with DENR.</p> <p>Include sections on Environmental and Social Assessments and Environmental and Social Management Plan (ESMP) in the feasibility study and business plan.</p>
19. Is the subproject a Category D (Not Covered) as per DENR Administrative Order 2003-30 and Revised guidelines for coverage screening and Standardized Requirements under the Philippine EIS System (MC 2014-005)?			<p>If YES, subproject needs to secure the CNC from DENR/MENRE.</p> <p>Include sections on Environmental and Social Assessments and Environmental and Social Management Plan (ESMP) in the feasibility study and business plan.</p>
20. Is the subproject located in an area that is low to moderately susceptible to natural hazards such as flooding, landslides, etc. as identified by MGB and			<p>If YES, subproject needs to request for a hazards assessment from Phivolcs and MGB and develop structural for inclusion in the DED and non-structural mitigation measures in the ESMP</p>

Screening Question	Yes	No	Remarks
Phivolcs?			
21. Will the subproject result in cutting of mountain sides or slopes and the filling of low-lying areas?			If YES, appropriate slope protection or slope stabilization interventions must be incorporated in the Detailed Engineering Design, Program of Works, and ESMP.
22. Is the subproject located in an area declared by government as a “no-build zone” to build semi-permanent to permanent structures?			If YES, subproject shall provide the following:  i) Clearance from DENR-MGB, PAGASA, PHIVOLCS or any equivalent body is secured by the proponent with the corresponding assessment report/study ii) Climate-resilient and adaptation design related measures
23. Will the subproject encroach into or be located in a highly susceptible areas to physical, geological and climatic hazards such as flood, landslide, tsunami, storm surge, seismic risks due to presence of fault line, and high to extreme risks zones around active volcanoes			If YES, the following shall be incorporated/submitted:  i) Appropriate climate-smart mitigation measures and relevant climate-resilient engineering designs and specifications are provided in accordance with the PRDP I-BUILD Operations Manual. ii) Clearance from DENR, PAGASA, PHIVOLCS or any equivalent body is secured by the proponent including the corresponding assessment report/study.
<b>C. ESS2: Labor and Working Conditions</b>			
24. Will the subproject involve hiring of salaried workers?			If YES, subproject shall prepare a code of conduct during implementation and operation in accordance with the Projects LMP to include the following:  i. Establishment of GRM including procedures for Gender-Based Violence Sexual Exploitation, Abuse and Harassment (GBV SE/AH) ii. Occupational Safety and Health Plan
25. Will the subproject pose risks and impacts related to			If YES, include the occupational Safety and Health measures during



Screening Question	Yes	No	Remarks
occupational health and safety due to physical, chemical, and biological hazards during project construction and operation that will adversely affect the health and well-being of the construction workers, including project workers?			construction and operation of the facility in the ESMP.
<b>D. ESS3: Resource Efficiency and Pollution Prevention and Management</b>			
26. Will the subproject involve the extraction or use of surface or groundwater?			If YES, subproject needs to secure the <u>Water Permit</u> from NWRB and submit together with the potable water testing.
27. Will the subproject require a large amount of energy, water or other resources during project construction or operation?			If YES, provide water-use / resource-use efficiency measures in the ESMP, i.e. cleaner production technologies, energy efficiency, environmentally sound production and packaging, etc.
28. Will the subproject result in the discharge of wastewater from the facility?			If YES, subproject needs to provide a <u>wastewater treatment facility</u> to comply with the DENR Effluent Standards.  For I-REAP subprojects and I-BUILD other Infrastructures, the procedures on wastewater handling, treatment and disposal shall form part of the subproject Operations Manual.
29. Will the subproject result in the production of a large volume of surplus excavated materials?			If YES, a waste disposal site should be identified prior to contractor's mobilization. Corresponding agreement / permit to dispose from the authority (landowner or the LGU) shall be submitted along with the business proposal and feasibility study.
30. Will the subproject result in the significant emission of air pollutants, gaseous and odor emissions?			If YES, the subproject needs to provide mitigation measures to comply with the ambient air quality standards prescribed by the DENR.  For I-REAP subprojects and I-BUILD other Infrastructures, the procedures on air and odor emission management shall form part of the subproject

Screening Question	Yes	No	Remarks
			Operations Manual.
31. Will the subproject result to the generation of hazardous wastes?			<p>If YES, the subproject needs to comply with the provisions of R.A. 6969 as part of ESMP.</p> <p>For I-REAP subprojects and I-BUILD other Infrastructures, the procedures on hazardous waste handling, treatment and disposal shall form part of the subproject Operations Manual.</p>
32. Will the subproject result in the generation of compostable waste?			<p>If yes, the subproject must provide a composting site that is distanced properly from the facility. Alternatively, the waste must be transferred to a disposal facility or sanitary landfill.</p>
33. Does the proponent have an Environment, Health and Safety Officer?			<p>If NO, the Proponent shall designate or hire an EHS officer and include in the ESMP.</p> <p>If YES, please ensure that the person is knowledgeable of the ESS standards and reporting system.</p>
<b>E. ESS4: Community Health and Safety</b>			
34. Will the subproject result to potential diseases transmission from inadequate waste disposal?			<p>If YES, provide occupational health and safety measures and community health and safety measures in the ESMP.</p>
35. Will the subproject pose risks and adverse impacts due to physical, chemical, and biological hazards generated during construction and operation that would adversely affect the health and well-being of the community members on a temporary or even permanent basis?			<p>If YES, provide community health and safety measures during construction and operation of the facility in the ESMP.</p>

Screening Question	Yes	No	Remarks
36. Will the subproject cause community health and safety risks due to the transport, storage and use and/or disposal of materials likely to create physical, chemical and biological hazards during construction, operation, and decommissioning?			If YES, provide mitigation measures for community health and safety in the ESMP.
37. Will the subproject involve construction of dam up to 10 but less than 15 meters in height (measured as the vertical distance between the lowest point on the dam crest and the lowest point in the original streambed measured at the toe of the dam)?			If YES, Subproject would undergo processing under the Environmental and Social Management Framework (ESMF).
38. Is the project area under community quarantine status for prevention of communicable diseases such as COVID-19?			If YES, closely coordinate with the concerned LGUs on the schedule and details of project activities and secure applicable clearance/permit to proceed works.  Include COVID-19 and emerging communicable diseases preventive measures in the ESMP.
39. Will the subproject expose and cause community health and safety risks due to the presence of migrant workers?			If YES, prepare a community safety and health measures that includes the prevention and treatment of communicable and sexually transmitted diseases and other appropriate mitigation measures in the ESMP.
40. Would there be any impacts on ecosystems which in turn would lead to impacts on communities?			If YES, prepare relevant mitigation measures to include as part of the ESMP
<b>F. ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement</b>			
41. Will the subproject adversely affect lands, crops, structures, other properties and/or livelihood?			If YES, conduct a survey of Project Affected Persons (PAP), electric posts, streetlights, lifeline facilities, and those that will lose access to their properties (landlocked properties) and document evidence of consultation to be included in the subproject proposal

Screening Question	Yes	No	Remarks
			package.
42. Will the subproject displace people's homes and/or people's livelihood or restrict access to traditional economic resources?			If YES, prepare a Resettlement Action Plan with livelihood restoration assistance plan.
43. Will the subproject involve, require or result in acquisition of land, right-of-way and/or easements rights?			If YES, prepare proper Land Acquisition Documents, clearing showing transfer of ownership or rights from landowners to concerned LGU. Acceptable documents include: TCT, Deed of Sale, Deed of Donation (individual or group); and Quit Claim and Waiver of Rights (individual or group).
44. Is the land to be used still classified under public land?			If YES, secure tenurial instrument from DENR (i.e. Special Land Use Permit, Gratuitous Special Use Permit, Forest Land Use Agreement for forest lands, and Foreshore/Miscellaneous Lease Agreement for Foreshore areas)
45. Is the subproject located in a reclaimed area?			If YES, subproject needs to present a permit from the Philippine Reclamation Authority.
<b>G. ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources</b>			
46. Will the subproject affect ecosystem services such as mangroves and coral reefs providing shoreline protection; important fishing areas and fish nurseries; vegetation serving as flood buffer; water retention/protection during flooding seasons?			If YES, the subproject needs to assess the significance of project activities and value of such ecosystem services as part of the environmental and social assessment and to develop mitigation measures as part of the ESMP to protect the ecosystem service(s).
47. Is the subproject located in forest land?			If it is located in the buffer zone of a natural park, forest reserve or Ancestral Domain, the subproject needs to secure a <u>Special Land Use Permit</u> / <u>Forest Land Agreement (FLAG)</u> from DENR-FMB and if in the latter from the tribal community and NCIP.
48. Will the subproject affect rare, threatened and endangered tree species including the			If YES, avoid cutting trees to the extent possible.

Screening Question	Yes	No	Remarks
century old trees?			
49. Will the subproject involve Tree Cutting?			<p>If YES, undertake the following:</p> <ul style="list-style-type: none"> <li>i. The SP should apply for tree cutting permit from DENR.</li> <li>ii. The subproject will use indigenous/endemic/native and non-invasive species of trees as replacement for trees to be cut.</li> <li>iii. Submit and implement the Tree Replacement Plan</li> <li>iv. Should also comply with other conditions in the Tree Cutting Permits issued by DENR.</li> </ul>
50. Is the subproject site located close or adjacent to any protected areas and primary forests designated by the government (national park, forest reserve world heritage site, or forest lands for strict protection and conservation, etc.)?			<p>If YES, prepare an ESMP that includes measures to ensure that project activities do not encroach into protected areas and forest lands for strict protection and conservation and that measures are provided to avoid, minimize or mitigate any impacts of subproject activities into nearby protected areas and forest lands or strict protection and conservation.</p>
51. Is the subproject site located within marine and aquatic ecosystems or close to any waterbody?			<p>If YES, prepare an ESMP and Biodiversity Management Plan that includes measures to ensure that project activities do not cause pollution to marine and aquatic ecosystems.</p> <p>For I-REAP subprojects in aquatic areas, the LGU shall ensure ecological integrity and good water quality for the sustainability of the enterprise.</p>

Screening Question	Yes	No	Remarks
52. Will the subproject encroach into or be located inside a multiple use zone or buffer zone of an officially declared protected areas of natural habitats (e.g. national parks), key biodiversity areas, and forest lands within a multiple use, sustainable use, or agroforestry zone?			<p>If YES, subproject is eligible for funding under PRDP Scale-Up provided that subproject is already existing and would not result to potential adverse impacts (i.e. expansion resulting to conversion of natural habitat, encroachment, and damages to flora and fauna, etc.). Appropriate mitigation measures as per provisions of the E-NIPAS law or any law creating the national park should be provided.</p> <p>Clearances from DENR and PAMB or equivalent body should be secured by the proponent.</p>
53. Does the project/LGU proposes introduction of alien species?			If YES, please ensure that such interventions are screened out at the initial screening stage itself.
<b>H. ESS7: Indigenous Peoples</b>			
<p>54. Is the subproject an identified situation in the IPPF, as follows :</p> <ul style="list-style-type: none"> <li>● overlap or are located inside any declared or proposed IP Ancestral Domain or those that, while not located inside, will directly affect any declared or proposed IP Ancestral Domain.</li> <li>● cause relocation of Indigenous Peoples from land and natural resources subject to traditional ownership or under customary use or occupation or those that are referred to as Ancestral Domains;</li> <li>● have significant impacts on Indigenous Peoples' cultural heritage that is material to the identity and/or cultural, ceremonial, or spiritual aspects of the affected Indigenous Peoples</li> <li>● locate or commercially develop natural resources on land traditionally owned by, or under the customary use or occupation of Indigenous</li> </ul>			If YES, the subproject needs to undertake the FPIC process and secure the Certificate of Precondition from NCIP.

Screening Question	Yes	No	Remarks
Peoples or those that are referred to as Ancestral Domains; <ul style="list-style-type: none"> <li>propose to use for commercial purposes the cultural heritage and Indigenous Knowledge Systems and Practices (IKSPs) of Indigenous Peoples communities, whether tangible or intangible or both</li> </ul>			
55. If the subproject is not within any ancestral domain, are there any IP community/ies in the subproject's influence area to be affected (either positively or adversely) by the subproject and does not meet the 3 criteria for FPIC under ESS 7?			<p>If YES, the subproject must undergo meaningful consultations with the IP community/ies. The entire consultation process shall be undertaken and documented by the concerned LGUs in coordination with NCIP/MIPA. Documents required are as follows:</p> <ul style="list-style-type: none"> <li>Dated information campaign materials in local language or in language widely understood by the community;</li> <li>Dated gender disaggregated attendance sheets of consultation dialogues and Photographs of actual consultation sessions undertaken;</li> <li>Dated minutes of meetings and matrix of clarifications, issues and concerns raised and how they were explained or addressed by the LGU.</li> </ul>
<b>I. ESS8: Cultural Heritage</b>			
56. Is the subproject site within or near a known archaeological or paleontological site or will pose risks and impacts to the cultural resources of the community?			If YES, subproject needs to prepare and implement the Cultural Heritage Management Plan (CHMP) with Chance Find Procedure as part of subproject proposal.
57. Does the subproject is expected to affect or impact intangible cultural heritage including practices, representations, expressions, knowledge, skills			If YES, prepare CHMP with relevant measures to mitigate such impacts. These measures need to be integrated as part of the ESMPs
<b>J. ESS10: Stakeholder Engagement and Information Disclosure</b>			
58. Will the project present considerable Gender-Based Violence (GBV) and Sexual Exploitation and Abuse (SEA) risk?			If yes, prepare a Code of Conduct and training on managing GBV and SEA.

Screening Question	Yes	No	Remarks
59. Has there been a history of conflict or an existing conflict in the area?			If YES, please conduct the conflict context assessment (proceed to the next section) and ensure that the risks identified are addressed and mitigated through the conduct of social preparation and continuous dialogue with the community especially with community and religious leaders in the locality.
60. Will the entry of the PRDP Scale-Up subproject trigger and/or exacerbate the identified conflict in the area?			If YES, the proposed subproject should be redesigned/adjusted to avoid exacerbating the conflict.
61. Has a series of public consultations been conducted to introduce the subproject and secure social accountability?			If YES, please attach documentation.  If NO, please conduct and document them.

Conflict Context Assessment Guide Questions	
Assessment Question	Response
1. Has there been a history of conflict in the area? Please establish the identified conflict-affected areas:  a. Subproject area b. Adjacent barangays c. Areas to be traversed going to the area d. RIA/PIA (project area of influence)	
2. How long ago was the last incident of conflict and/or armed violence?	
3. What was the nature of conflict? (i.e. Land, ethnic, economic, religious, political) What were the conflict triggers?	
4. Was there disruption of social services and economic activities due to the conflict?	
5. Who were involved?	
6. What are their interests?	



Conflict Context Assessment Guide Questions	
Assessment Question	Response
7. Are they direct or indirect players/conflict actors? 8. What are the dividers or sources of tension between/among the groups/communities? 9. What connects the groups/communities or what are local capacities for peace? (i.e. Clans, non-Muslim IP groups, Moro people, non-visible players)	
10. What development projects have been implemented (govt and private) in the area? Or any existing projects in the area? How was the implementation? Please enumerate: - What projects - Who are the implementers - What is the status of the projects - Contractor's experienced extortion from armed groups	

**Screening Result Summary**

**(To be filled up by the Screening Officer)**

Check the box that applies:

- The subproject is not eligible for funding under PRDP Scale-Up due to *[state reason(s) briefly]*: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
- The subproject proposal currently does not qualify for PRDP Scale-Up funding but may be resubmitted for consideration after complying with the following requirements/actions. *[check applicable requirements based on the above screening table]*:
  - Change of location/site (i.e. avoiding protected area of natural habitat/key biodiversity areas, purchase of banned agro-chemicals from project funds, avoid cultural heritage property sites)
  - Change subproject design to address the following [please specify such as Wastewater treatment Facility, etc.]: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

[Note that subprojects that are revised and resubmitted will be subjected again to the above screening checklist.]

- The subproject as proposed is eligible for funding and may proceed to comply with the processing and preparation of the following safeguard instruments (check only those that apply based on the above screening):

- \_\_\_\_\_ Map of the location of the subproject overlaid with the nearest Protected Area, Ancestral Domain, and Forest Land
- \_\_\_\_\_ Map of the location of the subproject overlaid with natural and geologic hazard assessments (seismic, geologic, hydrometeorological)
- \_\_\_\_\_ EIS/IEE/ESA and ECC issued by DENR
- \_\_\_\_\_ Clearance from PAMB or any equivalent body if inside Protected Areas MUZ
- \_\_\_\_\_ Clearance from DENR/PHIVOLCS/PAGASA or any equivalent body if in a disaster or hazard prone area
- \_\_\_\_\_ Tenurial Instrument from DENR as appropriate
- \_\_\_\_\_ Biodiversity Management Plan
- \_\_\_\_\_ Integrated Pest Management Plan
- \_\_\_\_\_ Water Permit issued by NWRB for PWS and CIS subprojects
- \_\_\_\_\_ Water Quality Test for CIS
- \_\_\_\_\_ Water Potability Test for PWS, Enterprises and other facilities as applicable
- \_\_\_\_\_ Evidence of IPM-FFS conducted/ KASAKALIKASAN coverage in the area
- \_\_\_\_\_ Evidence of training on proper pesticide use, handling, and storage
- \_\_\_\_\_ Waste Management Plan
- \_\_\_\_\_ ESMP with Quarry Site, Batching Plant, and Borrow Pits
- \_\_\_\_\_ Certificate of Pre-Condition/Certificate of Non-Overlap from NCIP
- \_\_\_\_\_ Evidence of Free Prior Informed Consultation among IP Communities
- \_\_\_\_\_ Evidence of IP Community Support (Resolution, Endorsement, Letter, etc.)
- \_\_\_\_\_ Cultural Heritage Management Plan with Chance Find Procedure
- \_\_\_\_\_ Resettlement Action Plan
- \_\_\_\_\_ Tree Replacement Plan
- \_\_\_\_\_ Electric Post Transfer Plan
- \_\_\_\_\_ Minutes of consultations with beneficiaries and Project affected persons
- \_\_\_\_\_ PAPs Entitlement Survey
- \_\_\_\_\_ Land Acquisition Documents (lands acquired must cover all ROW and easemen requirements of the subproject)

*[Note that the specific issues/recommended measures identified in the above screening checklist shall also be addressed in the relevant safeguard instruments. During the review, the instruments will be checked against the above checklist.]*

Name and Signature of LGU Screening Officer: \_\_\_\_\_

Date Completed: \_\_\_\_\_

-oOo-

**SAFEGUARD CLEARANCE (To be filled only after review of the subproject proposal package)**

- This subproject is deemed ineligible because of the following reasons *[State valid reasons]*  
 \
  
- This subproject is not yet cleared of safeguards requirements pending compliance of the following *[Write down pending requirements and sign with initials of the reviewing officer]:*  
 \
  
- This subproject is given conditional clearance and may proceed to implementation subject to the compliance of the following requirements on or before the specified deadlines. *[Write down requirements and their agreed deadlines. Note that this option should only be resorted to when the pending requirements are already underway and will not have implications on the implementation of the subproject]:*

Requirement	Deadline

- This subproject is cleared of safeguards requirements and may proceed with implementation.

Recommended for Clearance by: \_\_\_\_\_

RPCO SES Unit Head

Cleared by: \_\_\_\_\_

PSO SES Unit Head

**Annex 15 - Environmental and Social Management Plan (ESMP) Template for Crop Production****Guidance Notes:**

*This template is designed to manage the environmental and social risks and impacts of crop production. It consists of the process of cultivating crops on a large scale such as rice, corn, sugarcane, cassava, and vegetables. The crop production enterprise will be implemented by the proponent local government unit together with Farmers Cooperatives (FC) or clusters of Farmers Cooperative Associations (FCAs). Below are characteristics of these subprojects:*

Subproject Type	Description
Crop production	<p>Agricultural cultivation of varieties of crops and agricultural products such as rice, corn, sugarcane, vegetables, and cash crops</p> <p>Priority is given on environmentally-friendly cultivation practices that conserve water, minimize use and runoff of fertilizers and pesticides (e.g. through the use of greenhouse, plastic culture, IPM, drip irrigation, leaf nutrient testing, organic agriculture, etc.)</p> <p>Priority is also given to agricultural practices adopting more climate resilient technologies (e.g. improved varieties of crops more resilient to heat and/or water stress, insects, parasites, regenerative agriculture, multi-diversity, etc.)</p>

The ESMP is prepared following the results of the SES screening in Annex C and the Environmental and Social Assessment (ESA) in the feasibility study. The ESMP sets out specific plans, including budgets, organization arrangements and responsibilities for social and environmental impact management during project implementation. The ESMP should be specific in its description of the individual mitigation and monitoring measures and the assignment responsibilities to address identified risks and impacts of the subproject. The ESMP contains subplans on biodiversity assessment and integration of agriculture climate adaptation measures, climate vulnerability assessment, waste management, occupational safety and health, and monitoring and reporting plan.

**2. Site and Design Considerations**

[Do not proceed with the subproject preparation including this ESMP unless all items below are confirmed.]

1. The subproject does not encroach into or traverse any declared strict protection zone of protected area or natural habitat (e.g. primary forest, critical wetlands, endangered species habitat, key biodiversity areas)
2. The subproject does not involve extracting resources such as timber and forest products, mangroves or beach forests, endangered flora and fauna.
3. The subproject does not involve the use of any prohibited agro-chemicals (herbicides, pesticides, insecticides, fertilizers)
4. The subproject will not displace, disfigure or render inoperable/inaccessible any monument or physical structure of known cultural and historical significance.
5. The subproject is not located in an area that is vulnerable to natural hazards such as flood, landslide, tsunami, storm surge, seismic risks and high to extreme risk zones around active volcanoes.

**B. Environmental Issues and Mitigation Measures**

The issues identified in the ESMP template are based on frequently associated issues in crop production such as use of pesticides and agro-chemicals, soil erosion and sedimentation from land tillage and/or crop harvesting, impacts on biodiversity, possible encroachment on areas with significant ecosystem value, ancestral domains, construction-related issues, health and safety. Any new environmental and social impacts that will be identified from the SES screening and environmental and social impact assessment will be added in the ESMP together with the appropriate mitigation measures, monitoring indicators, cost, and responsible unit.

**TEMPLATE OF ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN FOR CROP PRODUCTION SUBPROJECT**

Name of Subproject: \_\_\_\_\_ Location: \_\_\_\_\_  
 Implementing LGU: \_\_\_\_\_ FCA/FCA Cluster: \_\_\_\_\_ Contact No: \_\_\_\_\_  
 Type of Crop: \_\_\_\_\_ Tillage Area: \_\_\_\_\_  
 Type of Irrigation: \_\_\_\_\_ Description of crop production technique: \_\_\_\_\_

Estimated Number of Beneficiaries (gender disaggregate): \_\_\_\_\_  
 Estimated Number of IP Beneficiaries (gender disaggregate): \_\_\_\_\_  
 Estimated Total Cost: \_\_\_\_\_

**Check whichever is applicable to the subproject:**

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<b>A. Feasibility Study / Business Planning</b>				
1. Presence of IP/ICC in the influence area <input type="checkbox"/> The site is inside an ancestral domain (AD) or will traverse an AD <input type="checkbox"/> The site is not inside an AD nor	<input type="checkbox"/> Conduct FPIC <input type="checkbox"/> Secure certification from the Tribal Chieftain expressing support to the subproject. <input type="checkbox"/> Prepare and implement IP Plan <input type="checkbox"/> No measure required	<input type="checkbox"/> Document of FPIC among IP communities <input type="checkbox"/> Evidence of IP community support (resolution, endorsement letter, etc.) <input type="checkbox"/> Certificate of Pre-condition from NCIP <input type="checkbox"/> Certificate of Non-	Include cost of FPIC, consultations, and other mitigation and monitoring parameters in overall subproject cost.	LGU/FCA/FCA Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>will it traverse an AD but there are IP/ICC in the area.</p> <p><input type="checkbox"/> The site is not in an AD and that there are no IP/ICC in the area as per LGU records and onsite validation.</p>		<p>Overlap from NCIP</p>		
<p>2. Land acquisition for the subproject</p> <p><input type="checkbox"/> Private individuals</p> <p><input type="checkbox"/> Cooperative</p> <p><input type="checkbox"/> Government</p>	<p><input type="checkbox"/> Conduct consultations with Project Affected Persons (PAPs) to determine entitlements, just compensation or voluntary donation/waiver.</p> <p><input type="checkbox"/> Submit site acquisition documents:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Deed of Donation</li> <li><input type="checkbox"/> Deed of Sale</li> <li><input type="checkbox"/> Certification of Use as consent by the affected land owners</li> <li><input type="checkbox"/> Deed of Usufruct Agreement with Government</li> </ul> <p><input type="checkbox"/> LGU to facilitate annotations of the land titles.</p> <p><input type="checkbox"/> For land acquisition by compensation, LGU to ensure that just compensation is agreed by both</p>	<p><input type="checkbox"/> Land title(s)</p> <p><input type="checkbox"/> ROW acquisition documents (Forms L1 and L2)</p> <p><input type="checkbox"/> Land Title with Deed of Donation</p> <p><input type="checkbox"/> Deed of Sale</p> <p><input type="checkbox"/> Certification of Use as consent by the affected land owners</p> <p><input type="checkbox"/> Deed of Usufruct Agreement with Government</p> <p><input type="checkbox"/> Notarized duly-signed agreement between the PAPs and LGU for compensation of their properties and proof of compensation</p> <p><input type="checkbox"/> Contract of lease</p>	<p>Include cost of site acquisition in overall subproject cost.</p>	<p>LGU/FCA/FCA Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	parties (LGU and PAPs). <input type="checkbox"/> For lease of land, FCA to ensure acceptable terms as determined by the Project.			
3. The subproject will encroach on buffer zone of declared protected area.	<input type="checkbox"/> Secure PAMB Resolution <input type="checkbox"/> Secure PAMB Clearance <input type="checkbox"/> Prepare the Comprehensive Development and Management Plan and Rehabilitation Plan as required by the Special Use Agreement in Protected Area (SAPA) application.	<input type="checkbox"/> PAMB Resolution <input type="checkbox"/> PAMB Clearance <input type="checkbox"/> SAPA <input type="checkbox"/> Biodiversity Management Plan <input type="checkbox"/> Ordinance on Protection and Management	All costs attendant to implementing the mitigation measures will be included in the overall subproject cost	LGU/FC/FCA Cluster
4. The subproject will traverse/encroach on: <ul style="list-style-type: none"> <li>○ mangrove forest</li> <li>○ secondary forests</li> <li>○ ecologically significant surface water, marshlands, or wetlands</li> </ul>	<input type="checkbox"/> Prohibit cutting of mangrove forest <input type="checkbox"/> Secure Forest Land Use Agreement (FLAg) from DENR for forest areas <input type="checkbox"/> Design vegetated buffer zones and habitat corridors <input type="checkbox"/> Include in the subproject, design biodiversity restoration, offsets, or creation of ecologically comparable areas for biodiversity	<input type="checkbox"/> FLAg <input type="checkbox"/> Design of vegetated buffer zones <input type="checkbox"/> Design of biodiversity restoration, offsets	Include in overall cost of subproject	LGU/FCA/FC A Cluster
1. Presence of natural, geologic and climate hazards in the subproject area that may affect sustainability of	<input type="checkbox"/> Validate information generated from CRVA, e-VSA and georisk mapping from site-specific information on occurrences of	<input type="checkbox"/> POW that includes the design of climate resilient and climate adaptation/mitigation measures	Include in overall cost of subproject	LGU/FCA/FC A Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
crop production	flooding, soil erosion, landslides, liquefaction, storm surge, tsunami, earthquakes, etc. <input type="checkbox"/> Adopt climate resilient measures: _____ <input type="checkbox"/> Adopt climate mitigation measures: _____ _____			
5. Land conversion to make way for the plantation <input type="checkbox"/> High elevation and forest area converted to <u>(crop)</u> production <input type="checkbox"/> The proposed plantation site is idle and ideal for farming and classified within agricultural zone <input type="checkbox"/> The proposed site is already planted with <u>(crop)</u> .	<input type="checkbox"/> Ensure consistency with land use plan of municipality/city <input type="checkbox"/> Secure proof of land use compatibility from municipality/city	<input type="checkbox"/> Zoning Certification <input type="checkbox"/> Locational Clearance <input type="checkbox"/> SB Resolution on Reclassification	Include in overall cost of subproject	LGU/FCA/FC A Cluster
6. Disturbance to flora and fauna due to vegetation clearing and cutting of trees <input type="checkbox"/> Coconut trees <input type="checkbox"/> Fruit trees <input type="checkbox"/> Trees in private land <input type="checkbox"/> Naturally growing trees	<input type="checkbox"/> Avoid tree cutting to the extent possible. <input type="checkbox"/> Conserve affected trees through earth balling, transfer and replanting <input type="checkbox"/> Implement tree replacement and replanting in accordance with DENR requirements <input type="checkbox"/> Conduct consultation with PAPs and secure	<input type="checkbox"/> Tree Cutting Permit <input type="checkbox"/> Tree Earth balling Permit <input type="checkbox"/> PCA Permit (for coconut trees) <input type="checkbox"/> MOA with owner/s of tree(s) <input type="checkbox"/> Waiver of Rights / Quit Claim (if trees in private land will be donated; refer to Form L1) <input type="checkbox"/> Proof of Compensation (for affected trees in	Include in overall subproject cost	LGU/FCA/FC A Cluster



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	permission from owner <input type="checkbox"/> Secure Tree Cutting Permit prior to start of works <input type="checkbox"/> Secure Tree Earth balling Permit prior to start of works	private land)		
<b>B. During Crop Cultivation</b>				
7. Change in land surface structure/topography/terrain and slope Slope: <input type="checkbox"/> Flat (0-3%) <input type="checkbox"/> Gently sloping to rolling (3-18%) <input type="checkbox"/> Steep (>18%)	<input type="checkbox"/> Provide erosion control and slope protection measures <input type="checkbox"/> Designate a spoil storage area, with topsoil set aside for later use and allow maximum reuse of spoils <input type="checkbox"/> Soil plowing/cultivation during the dry season <input type="checkbox"/> Stabilization of embankment with grasses or other soil cover <input type="checkbox"/> Use of contour plowing and ripraps to prevent soil wash out due to rain <input type="checkbox"/> Others: _____ _____	<input type="checkbox"/> Monitoring reports	Include in overall subproject cost	FCA/FCA Cluster
8. Encroachment of farming activities to nearby forest, grazing lands and other nearby land close to the plantation	<input type="checkbox"/> LGU and DENR to closely monitor land boundaries for crop production <input type="checkbox"/> LGU to immediately act on any land encroachment issue particularly on forest land	<input type="checkbox"/> Monitoring reports	Include in overall subproject cost	LGU in coordination with DENR

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>9. Loss of genetic resources and variability in crop production</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Transfer of genes to other species (weedy or invasive)</li> <li><input type="checkbox"/> Increased pest resistance from introduction of genetically modified organisms, species and pests</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Use low-till and no-till strategies in crop production to maintain the structure of soil ecosystems</li> <li><input type="checkbox"/> Use certified crop seeds that do not contain seeds from invasive alien species</li> <li><input type="checkbox"/> Use agro-chemicals approved by FPA and avoid using banned or prohibited pesticides</li> <li><input type="checkbox"/> Implement Integrated Pest Management (IPM)</li> <li><input type="checkbox"/> Proper storage, handling and application of agro-chemicals consistent with Good International Industry Practice (GIIP)</li> <li><input type="checkbox"/> Promote use of organic agricultural practices</li> <li><input type="checkbox"/> Assess compliance of GMO crops with DENR-DA-PCSD Administrative Order 01, series of 2014</li> <li><input type="checkbox"/> Ensure CITES species that may be farmed or propagated are subject to DENR requirements on EIA, testing and reporting</li> <li><input type="checkbox"/> Require CITES Clearance, Sanitary/Phytosanitary Clearance and Food Safety Clearance, as applicable</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Evidence of use of FPA-approved pesticide and agro-chemicals</li> <li><input type="checkbox"/> CITES Clearance</li> <li><input type="checkbox"/> Sanitary/Phytosanitary Clearance</li> <li><input type="checkbox"/> Food Safety Clearance</li> <li><input type="checkbox"/> Monitoring reports</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Training of FCA/FCA clusters on sustainable crop production practices, IPM</li> </ul>			
10. Waste generation <ul style="list-style-type: none"> <li><input type="checkbox"/> During cultivation (e.g. empty containers of agro-chemicals)</li> <li><input type="checkbox"/> during post-harvest (e.g. decomposing plant fiber, discarded parts of plants)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Composting of plant waste to produce organic fertilizers</li> <li><input type="checkbox"/> Consider use of plant fibers as animal feed</li> <li><input type="checkbox"/> Use plant fiber and wastes as soil additives/enhancers</li> <li><input type="checkbox"/> Prohibit burning of wastes</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Monitoring reports</li> </ul>	Include in overall subproject cost	FCA/FCA Cluster
11. Degradation of water quality of creeks/ivers due to runoff of fertilizers, pesticides, sediments <ul style="list-style-type: none"> <li><input type="checkbox"/> Name of nearest receiving water body: _____</li> <li><input type="checkbox"/> Distance of subproject to nearest receiving water body: _____</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide silt trap/stilling ponds to minimize siltation of receiving water body</li> <li><input type="checkbox"/> Provide water impoundment for water recycling and irrigation purposes</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Monitoring reports</li> </ul>	Include in overall subproject cost	FCA/FCA Cluster
12. Degradation of soil quality due to indiscriminate use of inorganic fertilizers and other agro-chemicals	<ul style="list-style-type: none"> <li><input type="checkbox"/> Training of farmers on soil management, IPM, and proper use of agro-chemicals</li> <li><input type="checkbox"/> Conduct soil test to determine appropriate/approved fertilization</li> <li><input type="checkbox"/> Promote organic farming rather than</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Monitoring reports</li> </ul>	Include in overall subproject cost	FCA/FCA Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	use of synthetic chemicals <input type="checkbox"/> Seek assistance of DA's IPM KASAKALIKASAN for pest management.			
13. Competition in use of water resources	<input type="checkbox"/> Implement rain water harvesting and similar measures as alternative sources of irrigation water <input type="checkbox"/> Observe water conservation measures through recycling <input type="checkbox"/> Avoid disruption of traditional water uses in the community <input type="checkbox"/> Ensure that the irrigation water source has a Water Permit from NWRB	<input type="checkbox"/> Monitoring reports	Include in overall subproject cost	FCA/FCA Cluster
14. Occupational health and safety risks and hazards <input type="checkbox"/> Use of hazardous materials and chemicals (e.g. agro-chemicals) <input type="checkbox"/> Hazardous working conditions such as extreme heat, rain <input type="checkbox"/> Extended working hours <input type="checkbox"/> Exposure of workers to communicable diseases (e.g. COVID19)	<input type="checkbox"/> Provision of appropriate equipment and working clothes for protection from extreme sunlight and sheds for rain <input type="checkbox"/> Allocate suitable rest area <input type="checkbox"/> Assign a contact person onsite to receive/respond to complaints from the barangay/community ; provide the name/contact number of the responsible person to the Barangay. <input type="checkbox"/> Provide first-aid kit at the site to ensure	<input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH) <input type="checkbox"/> Monitoring reports	Include in overall subproject cost	FAC/FCA Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>immediate medical attention in case of accidents.</p> <ul style="list-style-type: none"> <li>□ FCA/FCA clusters shall comply with government health protocols in deployment of workers and continuation of crop production activities in line with the COSH</li> </ul>			
<p>15. Conflict between members of the FCA/FCA clusters</p> <ul style="list-style-type: none"> <li>□ Unclear policy on project beneficiary prioritization</li> <li>□ Unclear policy on project implementation</li> <li>□ Labor disputes over terms and conditions of employment</li> </ul>	<ul style="list-style-type: none"> <li>□ Conduct consultations with members of the FCA/FCA clusters</li> <li>□ Establish the grievance redress mechanism (GRM) including GRM posters, GRM drop boxes at project site, barangay halls, municipal halls, provincial halls</li> <li>□ Assign a GRM focal/point person</li> <li>□ Subproject will provide local employment opportunities with standard salary wage based on RTWPB approved wage rates.</li> </ul>	<ul style="list-style-type: none"> <li>□ Operation and Management Plan</li> <li>□ Appointment of LGU and PSO/RPCO Grievance Point Person/Grievance Officer</li> <li>□ Monitoring Reports</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>
<p>16. Impacts on cultural properties</p>	<ul style="list-style-type: none"> <li>□ Implement chance find procedure in accordance with the requirements of the National Cultural Heritage Act (2009) and Cultural Properties Preservation and Protection Act</li> </ul>	<ul style="list-style-type: none"> <li>□ Cultural Heritage Management Plan</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<input type="checkbox"/> Immediately suspend any activities upon discovery of chance find and report to the LGU and RPCO SES focal person			

Prepared by: \_\_\_\_\_

Adopted by PPMIU/MPMIU: \_\_\_\_\_  
PPMIU/MPMIU Head

**Noted by the local community:**

\_\_\_\_\_  
Barangay Captain

## Annex 16- Environmental and Social Management Plan (ESMP) Template for Multi-Commodity Processing Plants

### Guidance Notes:

*This template is designed to manage the environmental and social risks and impacts of multi-commodity processing plants. Multi-commodity processing plants consists of a variety of interventions that are involved in processing and manufacturing of agricultural raw materials. These are small to large-scale pre- and post-harvest processing, logistics, and distribution facilities. The enterprise will be implemented by the proponent local government unit together with Farmers Cooperatives (FCs) or clusters of Farmers Cooperative Associations (FCAs) under the I-REAP component of PRDP Scale-Up. Below are characteristics of these subprojects:*

Subproject Type	Description
Multi-commodity processing plants	<ul style="list-style-type: none"> <li>● Food supply hubs, i.e. consolidation, trading posts/centers, and food terminals equipped with cold or dry storage facilities, pre-processing/processing facilities, and logistics facilities (hauling and delivery vehicles)</li> <li>● Multicommodity processing plants (e.g., dehydrated products, powder, puree, juice)</li> <li>● Multicommodity Cold Storage/ Cold Chain Facilities</li> <li>● Fiber processing facilities (abaca, coco coir, etc.)</li> </ul> <p><i>Note: A separate ESMP template is available for enterprise activities involving cold or dry storage facilities, logistics facilities, consolidation, trading posts/centers, and food terminals.</i></p>

The ESMP is prepared following the results of the SES screening in Annex C and the Environmental and Social Assessment (ESA) in the business plan. The ESMP sets out specific plans, including budgets, organization arrangements and responsibilities for social and environmental impact management during project implementation. The ESMP should be specific in its description of the individual mitigation and monitoring measures and the assignment responsibilities to address identified risks and impacts of the subproject. The ESMP contains subplans on raw materials conservation, resource efficiency (water and energy consumption), waste management, pollution control, occupational safety and health, and monitoring and reporting plan.

### 2. Site and Design Considerations

[Do not proceed with the subproject preparation including this ESMP unless all items below are confirmed.]

1. The subproject does not encroach into or traverse any declared strict protection zone of protected area or natural habitat (e.g. primary forest, critical wetlands, endangered species habitat, key biodiversity areas).
2. The subproject does not involve extracting resources such as timber and forest products, mangroves or beach forests, endangered flora and fauna.
3. The subproject will not displace, disfigure or render inoperable/inaccessible any monument or physical structure of known cultural and historical significance.
4. The subproject is not located in an area that is high to extreme risk zones around active

volcanoes and fault lines.

**B. Environmental Issues and Mitigation Measures**

The issues identified in the ESMP template are based on frequently associated issues in waste generation, water, air and odor from processing plants, possible encroachment on areas with significant ecosystem value, ancestral domains, construction-related issues, worker and community health and safety. Any new environmental and social impacts that will be identified from the SES screening and environmental and social impact assessment will be added in the ESMP together with the appropriate mitigation measures, monitoring indicators, cost, and responsible unit.



**TEMPLATE OF ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN FOR MULTI-COMMODITY PROCESSING PLANTS**

Name of Subproject: \_\_\_\_\_ Location: \_\_\_\_\_  
 Implementing LGU: \_\_\_\_\_ FCA/FCA Cluster: \_\_\_\_\_ Contact No.: \_\_\_\_\_

Type of Commodity: \_\_\_\_\_ Type of Processing Plant: \_\_\_\_\_  
 (e.g., dehydrated products, powder, puree, juice; fiber processing)

New or Expansion?  New  Expansion: \_\_\_\_\_

Production Capacity: \_\_\_\_\_

Utility Requirement: Water: \_\_\_\_\_ m<sup>3</sup> Source of Water: \_\_\_\_\_  
 Electricity: \_\_\_\_\_ kWH Source of Electricity: \_\_\_\_\_  
 Back-up Power Supply (capacity): \_\_\_\_\_

Total Land Area: \_\_\_\_\_ m<sup>2</sup> Building Floor Area: \_\_\_\_\_ m<sup>2</sup>

Other Buildings in the Plant Premises:  Manufacturing plant  Storage/warehouse  Office  Others: \_\_\_\_\_

Estimated Number of Beneficiaries (gender disaggregate): \_\_\_\_\_

Estimated Number of IP Beneficiaries (gender disaggregate): \_\_\_\_\_

Estimated Total Cost: \_\_\_\_\_

***Check whichever is applicable to the subproject:***

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<b>A. Business Planning</b>				
<p>1. Land ownership of the subproject location</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Private individuals</li> <li><input type="checkbox"/> Cooperative</li> <li><input type="checkbox"/> Government</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct consultations with Project Affected Persons (PAPs) to determine entitlements, just compensation or voluntary donation/waiver.</li> <li><input type="checkbox"/> Submit site acquisition documents: <ul style="list-style-type: none"> <li><input type="checkbox"/> Deed of Donation</li> <li><input type="checkbox"/> Deed of Sale</li> <li><input type="checkbox"/> Deed of Usufruct Agreement with Government</li> </ul> </li> <li><input type="checkbox"/> LGU to facilitate annotations of the land titles.</li> <li><input type="checkbox"/> For land acquisition by compensation,</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Land title(s)</li> <li><input type="checkbox"/> ROW acquisition documents (Forms L1 and L2)</li> <li><input type="checkbox"/> Land Title with Deed of Donation</li> <li><input type="checkbox"/> Deed of Sale</li> <li><input type="checkbox"/></li> <li><input type="checkbox"/> Deed of Usufruct Agreement with Government</li> <li><input type="checkbox"/> Notarized duly-signed agreement between the PAPs and LGU for compensation of their properties and proof of compensation</li> <li><input type="checkbox"/> Contract of lease with option to buy</li> </ul>	<p>Include cost of site acquisition in overall subproject cost.</p>	<p>LGU/FCA/FC A Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>LGU to ensure that just compensation is agreed by both parties (LGU and PAPs).</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> For lease of land, FCA to ensure acceptable terms as determined by the Project.</li> </ul>			
<p>3. Land conversion / inconsistency with approved land use plan of the city/municipality</p> <p>Current land use within 1 km radius (as per zoning ordinance)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Residential</li> <li><input type="checkbox"/> Commercial</li> <li><input type="checkbox"/> Institutional</li> <li><input type="checkbox"/> Industrial</li> <li><input type="checkbox"/> Agricultural</li> <li><input type="checkbox"/> Recreational</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure consistency with land use plan of municipality/city</li> <li><input type="checkbox"/> Secure proof of land use compatibility from municipality/city</li> <li><input type="checkbox"/> Acquisition of DAR Conversion Order</li> <li><input type="checkbox"/> LGU Reclassification</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Zoning Clearance</li> <li><input type="checkbox"/> Locational Clearance</li> <li><input type="checkbox"/> SB Resolution on Reclassification</li> <li><input type="checkbox"/> DAR Conversion Order</li> </ul>	<p>Include in overall cost of subproject</p>	<p>LGU/FCA/FC A Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<input type="checkbox"/> Protected area <input type="checkbox"/> Others: _____ -				
4. The subproject will encroach on buffer zone of declared protected area.	<input type="checkbox"/> Secure PAMB Resolution <input type="checkbox"/> Secure PAMB Clearance <input type="checkbox"/> Prepare the Comprehensive Development and Management Plan and Rehabilitation Plan as required by the Special Use Agreement in Protected Area (SAPA) application. <input type="checkbox"/> Prepare an Ordinance on Management and Protection	<input type="checkbox"/> PAMB Resolution <input type="checkbox"/> PAMB Clearance <input type="checkbox"/> SAPA <input type="checkbox"/> Biodiversity Management Plan <input type="checkbox"/> Ordinance on Protection and Management	All costs attendant to implementing the mitigation measures will be included in the overall subproject cost	LGU/FC/FCA Cluster
5. The subproject will traverse/encroach on: <input type="checkbox"/> mangrov	<input type="checkbox"/> Prohibit cutting of mangrove forest <input type="checkbox"/> Secure Forest Land Use Agreement (FLAg) from DENR for	<input type="checkbox"/> FLAg <input type="checkbox"/> Design of vegetated buffer zones <input type="checkbox"/> Design of biodiversity	Include in overall cost of subproject	LGU/FCA/FCA Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<ul style="list-style-type: none"> <li>○ e forest</li> <li>○ secondary forests</li> <li>○ ecologically significant surface water, marshlands, or wetlands</li> </ul>	<ul style="list-style-type: none"> <li>□ Design forest areas vegetated buffer zones and habitat corridors</li> <li>□ Study on the aquatic fresh/marine environment and geotechnical study</li> <li>□ Include in the subproject, design biodiversity restoration, offsets, or creation of ecologically comparable areas for biodiversity</li> </ul>	<ul style="list-style-type: none"> <li>□ restoration, offsets</li> <li>□ Biodiversity Management Plan</li> <li>□ Ordinance on Protection and Management</li> </ul>		
<p>6. Presence of natural, geologic and climate hazards in the subproject area that may affect safety and vulnerability of the enterprise and its structures.</p>	<ul style="list-style-type: none"> <li>□ Validate information generated from CRVA, e-VSA and georisk mapping from site-specific information on occurrences of flooding, soil erosion, landslides, liquefaction, storm surge, tsunami,</li> </ul>	<ul style="list-style-type: none"> <li>□ DED/POW that includes the design of climate resilient and climate adaptation/mitigation measures</li> <li>□ Hazard analysis from DENR/PHIVOLCS/PAGA SA or any equivalent body</li> <li>□ Clearance from DENR/PHIVOLCS/</li> </ul>	<p>Include in overall cost of subproject</p>	<p>LGU/FCA/FC A Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	earthquakes, etc. <input type="checkbox"/> Secure clearance from DENR/PHIVOLCS/PAGASA or any equivalent body if in a disaster or hazard prone area <input type="checkbox"/> Design structures in accordance with the standards of the National Building Code and Structural Code of the Philippines <input type="checkbox"/> Adopt climate resilient measures: _____ _____ <input type="checkbox"/> Adopt climate mitigation measures: _____ _____	PAGASA or any equivalent body		
2. Presence of IP/ICC in the influence area <input type="checkbox"/> The site is inside an ancestral	<input type="checkbox"/> Conduct FPIC <input type="checkbox"/> Prepare and implement IP Plan <input type="checkbox"/> Secure certification from the Tribal	<input type="checkbox"/> Document of FPIC among IP communities <input type="checkbox"/> Evidence of IP community support (resolution,	Include cost of FPIC, consultations, and other mitigation and	LGU/FCA/FCA Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>domain (AD) or will traverse an AD</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The site is not inside an AD nor will it traverse an AD but there are IP/ICC in the area.</li> <li><input type="checkbox"/> The site is not in an AD and that there are no IP/ICC in the area as per LGU records and onsite validation.</li> </ul>	<p>Chieftain expressing support to the subproject.</p>	<p>endorsement letter, etc.)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Certificate of Pre-condition from NCIP</li> <li><input type="checkbox"/> Certificate of Non-Overlap from NCIP</li> <li><input type="checkbox"/> Approved IP Plan</li> </ul>	<p>monitoring parameters in overall subproject cost.</p>	
<p>7. cutting of trees</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Coconut trees</li> <li><input type="checkbox"/> Fruit-bearing trees</li> <li><input type="checkbox"/> Timber Trees</li> <li><input type="checkbox"/> Planted Trees</li> <li><input type="checkbox"/> Naturally growing trees</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Avoid tree cutting to the extent possible.</li> <li><input type="checkbox"/> Conserve affected trees through earth balling, transfer and replanting</li> <li><input type="checkbox"/> Implement tree replacement and replanting in accordance with DENR requirements</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Tree Cutting Permit</li> <li><input type="checkbox"/> Tree Earth balling Permit</li> <li><input type="checkbox"/> PCA Permit (for coconut trees)</li> <li><input type="checkbox"/> Signed Compensation Agreement with owner/s of tree(s)</li> <li><input type="checkbox"/> Waiver of Rights / Quit Claim (if trees in private land will be donated;</li> </ul>	<p>Include in overall subproject cost</p>	<p>LGU/FCA/FCA Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct consultation with PAPs and secure permission from owner</li> <li><input type="checkbox"/> Secure Tree Cutting Permit prior to start of works</li> <li><input type="checkbox"/> Secure Tree Earth balling Permit prior to start of works.</li> </ul>	<p>refer to Form L1)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Proof of Compensation (for affected trees in private land)</li> <li><input type="checkbox"/> Tree Replacement Plan</li> </ul>		
<p>8. Competition with community in use of water resources</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Adopt in the subproject design, water resource efficiency and conservation measures through recycling of water</li> <li><input type="checkbox"/> Avoid disruption of traditional water uses in the community</li> <li><input type="checkbox"/> Identification of an alternative source of water for operations</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> POW/DED incorporating water resource efficiency and conservation</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>9. Competition with community in use of electricity</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Integrate energy efficiency measures such as utilization of renewable energy (solar, wind, etc.) Specify: _____</li> <li><input type="checkbox"/> Identification of an alternative source of electricity</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> POW/DED incorporating energy efficiency and conservation plan</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>
<p>10. Generation of wastewater from washing of raw materials and equipment that could cause water pollution to receiving water body.</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Integrate in subproject design. the provision of wastewater treatment facility that will meet the Effluent Standards prescribed by the DENR Specify capacity: _____ m<sup>3</sup></li> <li><input type="checkbox"/> Include monitoring of effluent quality to ensure compliance of wastewater discharge with the Effluent</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> POW/DED incorporating treatment of wastewater to meet the Effluent Standards</li> <li><input type="checkbox"/> Operations and Maintenance Plan incorporating monitoring of the effluent quality</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	Standards.			
11. Generation of air pollution <ul style="list-style-type: none"> <li><input type="checkbox"/> from operation of generators, boilers, and other air pollution source installations</li> <li><input type="checkbox"/> Odor from processing of organic raw materials</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Integrate air pollution control in pollution sources. Specifically:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Include in the O&amp;M Plan the monitoring of air emission from stationary sources of air pollution</li> <li><input type="checkbox"/> Integrate cleaner production and good housekeeping practices to manage and minimize odor</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Operations Manual incorporating cleaner production, waste minimization, and air/odor pollution control measures</li> <li><input type="checkbox"/> Operations and Maintenance Plan incorporating monitoring of the air emission quality</li> </ul>	Include in overall subproject cost	FCA/FCA Cluster
12. Generation of wastes from processing plant <ul style="list-style-type: none"> <li><input type="checkbox"/> Biodegradable wastes (fruit/crop peelings, etc.)</li> <li><input type="checkbox"/> Non-biodegradable wastes (empty containers,</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Integrate cleaner production approaches such as reuse of crop/fruit peelings, composting, etc.</li> <li><input type="checkbox"/> Integrate waste management procedure with procedures for waste minimization,</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Operations Manual incorporating waste management procedure</li> <li><input type="checkbox"/> Composting Site Plan and procedure</li> </ul>	Include in overall subproject cost	FCA/FCA Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
packaging materials, etc.) <input type="checkbox"/> Hazardous wastes (busted lamps, waste electronic equipment, batteries, oily rags, etc.)	segregation and proper disposal <input type="checkbox"/> Commission the services of third-party hazardous waste transporter and treater with licensed from DENR			
<b>B. Construction Phase</b>				
13. Soil erosion from excavation, siltation due to washing of construction equipment and stockpiles of materials <input type="checkbox"/> Activities will necessitate earthmoving from excavation activities <input type="checkbox"/> Washing of construction vehicles including cement	<input type="checkbox"/> Conduct excavation and earthmoving during dry months <input type="checkbox"/> Locate stockpile of soil, aggregates and sand away from drainage canals and waterways <input type="checkbox"/> Install silt traps, sedimentation ponds, and other sediment control measures <input type="checkbox"/> Prohibit washing of cement mixers and other construction vehicles at the site <input type="checkbox"/> Conduct daily	<input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract <input type="checkbox"/> MOA with private land owner for the disposal of excess soil	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>mixers may occur at the site and cause soil and cement runoff.</p> <p><input type="checkbox"/> Stockpiles of materials may cause sediment runoff.</p>	<p>cleaning and sweeping of the construction site and periodically remove soils, stones, and wastes from gutters, drainage canals and ditches</p> <p><input type="checkbox"/> During rain events, check the drainage system to see if these are blocked. Remove blocked materials.</p> <p><input type="checkbox"/> Hauling of excess excavated soil/incompatible soil for filling to designated disposal location in compliance to DPWH DO 168</p>			
<p>14. Contamination of surface water and groundwater with oil/grease</p>	<p><input type="checkbox"/> Proper handling and disposal of waste oil, grease, diesel and gasoline</p> <p><input type="checkbox"/> Preparation of hazard waste management</p>	<p><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in</p>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	procedure <input type="checkbox"/> Conduct of training on oil spill response	DED/POW and Contract <input type="checkbox"/> Waste Management procedure <input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE		
15. Dust from construction activities, materials stockpiles, and movement of construction vehicles	<input type="checkbox"/> Conduct watering and dust abatement measures during dry and windy conditions <input type="checkbox"/> Require workers to wear particle mask <input type="checkbox"/> Keep stockpile of aggregate and sand materials covered with well-fixed plastic sheeting, tarpaulins or other geotextiles to avoid suspension or dispersal of fine soil particles during dry and windy days. <input type="checkbox"/> Equip concrete mixing equipment with dust shrouds.	<input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract <input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Periodically clean-up debris at the work site.</li> <li><input type="checkbox"/> Prohibit idling of construction vehicles while unloading materials at the site.</li> <li><input type="checkbox"/> Impose speed limit on construction vehicles particularly when passing communities, residential or commercial areas or sensitive areas</li> </ul>			
<p>16. Noise and vibration from construction activities and movement of materials</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Subproject is located near community areas with sensitive receptors such as schools, hospitals, and residential areas.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Barricade the construction area and shield sensitive receptors.</li> <li><input type="checkbox"/> Implement construction activities in consideration to time, duration, and scale to optimize the use of construction equipment, machineries, and vehicles in</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH)</li> <li><input type="checkbox"/> Approved Construction Safety and Health</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p><input type="checkbox"/> Subproject will require concrete chipping and drilling activities.</p>	<p>accordance with the noise emission standard.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Strictly prohibit concrete chipping and drilling activities beyond 8:00PM particularly in areas near sensitive receptors and residential areas.</li> <li><input type="checkbox"/> Deliver fabricated steel plates and cut/bend reinforcing steel to desired size to minimize cutting activities onsite.</li> <li><input type="checkbox"/> Require workers to wear ear plugs.</li> <li><input type="checkbox"/> Strictly control construction activities close to historical/archaeological sites, if any.</li> </ul>	<p>Program (CSHP) by DOLE</p>		
<p>17. Generation of construction wastes</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement waste segregation and provide separate</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's</li> </ul>	<p>Cost of mitigation measures to be</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<ul style="list-style-type: none"> <li><input type="checkbox"/> Biodegradable wastes (e.g. food wastes)</li> <li><input type="checkbox"/> Non-biodegradable wastes (e.g. debris, concrete / soil debris, wood chips)</li> <li><input type="checkbox"/> Recyclable wastes (rebars, wires, nails, etc.)</li> <li><input type="checkbox"/> Hazardous wastes (empty containers of paints and solvents, resins, adhesives and degreasers, oily rags, busted lamps, spent welding electrode sticks/rods, discarded batteries, etc.)</li> </ul>	<p>waste bins for biodegradable and non-biodegradable wastes</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Designate an area for recyclable materials such as metal, wires, etc.</li> <li><input type="checkbox"/> Coordinate with the LGU on the regular collection of biodegradable and non-biodegradable wastes.</li> <li><input type="checkbox"/> Coordinate with waste recycler for the disposal of recyclable materials</li> <li><input type="checkbox"/> Commission the services of third-party hazardous waste transporter and treater with license from DENR in the collection and treatment of hazardous wastes.</li> </ul>	<p>Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</p>	<p>shouldered by the contractor</p>	



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Prohibit burning of wastes.</li> <li><input type="checkbox"/> Provision of secondary containment for all hazardous wastes</li> </ul>			
<p>18. Sanitation and domestic sewage from construction camp</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide clean water and hand-washing facilities at the construction camp</li> <li><input type="checkbox"/> Provide temporary toilet facilities with septic tanks; Locate temporary septic tank more than 25 meters from an existing water supply well or surface water body</li> <li><input type="checkbox"/> Provide portable toilets (portalets); ensure contents of portalets are regularly collected by the third party portalet provider for safe offsite treatment and disposal.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure that the third-party portalet siphoning service provider has a Discharge Permit from DENR.</li> </ul>			
<p>19. Traffic congestion caused by side street parking of construction vehicles</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Prohibit prolonged side street parking of construction vehicles</li> <li><input type="checkbox"/> Assign flag persons to direct flow of vehicles</li> <li><input type="checkbox"/> Coordinate with local government and communities about schedule of movement of construction vehicles</li> <li><input type="checkbox"/> Provision of alternate route</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH)</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor
<p>20. Road accidents during construction</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Movement of materials delivery trucks</li> <li><input type="checkbox"/> Open excavations and trenches</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement speed control for delivery trucks</li> <li><input type="checkbox"/> Install warning signages in open excavations and trenches</li> <li><input type="checkbox"/> Provide barricades and lighting at night</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>in construction sites with open excavations</p> <ul style="list-style-type: none"> <li>□ Prohibit entry of unauthorized persons at the construction site</li> <li>□ Orient drivers on precautionary measures when passing through community areas and times of day to reduce risk of accidents</li> <li>□ Observe extra caution when passing through dangerous routes</li> <li>□ Implement limits for trip duration and arranging driver rosters to avoid overtiredness of drivers.</li> <li>□ Regular maintenance of vehicles to minimize serious</li> </ul>	<p>Occupational Safety and Health (COSH)</p> <ul style="list-style-type: none"> <li>□ Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>		

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>accidents caused by vehicle malfunction.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Provision of sufficient lighting system</li> </ul>			
<p>21. Potential damage to existing road due to hauling of materials and movement of construction vehicles</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Restoration and repair of existing road by the contractor</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Safety and Health (COSH)</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>
<p>22. Occupational health and safety risks and hazards</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Use of hazardous materials and chemicals</li> <li><input type="checkbox"/> Hazardous working</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement an Occupational Safety and Health (OSH) Plan in compliance with the DOLE OSH guidelines.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>conditions such as trenches, excavations, working in heights or in confined spaces</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Extended working hours</li> <li><input type="checkbox"/> Exposure of workers to communicable diseases (e.g. COVID19)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Designate an onsite Safety Officer duly accredited by DOLE.</li> <li><input type="checkbox"/> Establishment of GRM for workers</li> <li><input type="checkbox"/> Require workers to wear safety gadgets/PPEs such as hard hats, gloves, safety belts, rubber boots, and goggles, appropriate to the task.</li> <li><input type="checkbox"/> Post safety signs/reminders in strategic areas within the construction area.</li> <li><input type="checkbox"/> Provide sufficient lighting at night.</li> <li><input type="checkbox"/> Provide barricades / safety barriers particularly at excavations and stockpiles of aggregates.</li> <li><input type="checkbox"/> Provide first-aid kit at the construction site</li> </ul>	<p>Community and Occupational Health and Safety (COSH)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> <li><input type="checkbox"/> LMP and Code of Conduct</li> </ul>		

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	to ensure immediate medical attention in case of accidents. <input type="checkbox"/> Comply with the COVID-19 health and safety guidelines of the Government.			
23. Labor disputes over terms and conditions of employment	<input type="checkbox"/> Priority hiring of qualified local residents <input type="checkbox"/> Set-up a grievance redress mechanism for workers including GRM posters, GRM drop boxes at project site, barangay halls, municipal halls, provincial halls <input type="checkbox"/> Assign a Grievance Point Person <input type="checkbox"/> Construction will provide local employment opportunities with standard salary wage based on RTWPB approved wage rates.	<input type="checkbox"/> Functioning GRM for workers <input type="checkbox"/> LMP and code of conduct	Cost of mitigation measures to be shouldered by the contractor	LGU PSO/RPCO Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>24. Community health and safety risks and hazards</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Noise nuisance</li> <li><input type="checkbox"/> Airborne dust</li> <li><input type="checkbox"/> Unsecured construction site</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide fence or barricade around construction site</li> <li><input type="checkbox"/> Conduct consultations with neighboring communities and Barangay about the project and the schedule of works.</li> <li><input type="checkbox"/> Schedule noisy works during daytime in sites near sensitive receptors</li> <li><input type="checkbox"/> Watering of areas prone to airborne dust during dry season</li> <li><input type="checkbox"/> Install warning signs.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract Guidelines Community and Occupational Safety and Health (COSH)</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>
<p>25. Impacts of labor influx such as:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Exposure of community to communicable diseases (e.g. COVID19) and sexually transmitted</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct orientation of workers on proper behavior and community values, cultural traditions and practices</li> <li><input type="checkbox"/> Orientation of workers on prevention of COVID-</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Approved Construction Safety and Health</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>diseases (HIV/AIDS)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Misconduct of workers causing tension and peace and order issues in the community due to differences in traditions, culture, religion, ethnicity</li> <li><input type="checkbox"/> Increased criminality in the area</li> <li><input type="checkbox"/> Gender-Based Violence (GBV) Sexual Exploitation and Abuse and Sexual harassment (SEA/SH)</li> </ul>	<p>19, HIV/AIDS and other communicable diseases</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Prohibit use of dangerous drugs, smoking, and alcohol consumption</li> <li><input type="checkbox"/> Give priority to qualified local laborers in hiring construction workers</li> <li><input type="checkbox"/> Establishment of a GRM for workers that is GBV SEA/SH Sensitive</li> </ul>	<p>Program (CSHP) by DOLE</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> GRM records</li> </ul>		
<p>26. Impacts on cultural properties</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement chance find procedure in accordance with the requirements of the National Cultural</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Cultural Heritage Management Plan</li> <li><input type="checkbox"/> Chance Find Procedure</li> </ul>	<p>Cost of mitigation measures to be</p>	<p>Contractor</p>



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	Heritage Act (2009) and Cultural Properties Preservation and Protection Act <input type="checkbox"/> Immediately suspend any activities upon discovery of chance find and report to the LGU and RPCO SES focal person		shouldered by the contractor	
27. Security and conflict risk	<input type="checkbox"/> Social preparation and meaningful consultations <input type="checkbox"/> Proper coordination with relevant authorities <input type="checkbox"/> LGUs mandated to ensure and maintain peace and order within their respective areas are to formulate and implement their POPS Plans as per DILG Memorandum Circular No. 2022-118 Guidelines on the	<input type="checkbox"/> Local Government Unit's (LGUs) Peace and Order and Public Safety Plan (POPS) Plan	Cost of mitigation measures to be shouldered by the LGU	Local Government Unit (LGU)

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>Development and Formulation of the Peace and Order and Public Safety Plan (POPS-PLAN) 2023-2025 dated September 19, 2022. POPS Plan should be updated accordingly</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> evacuation plan in case of insurgency or conflicts as part of POPS Plan</li> </ul>			
<b>C. Operation Phase</b>				
<p>28. Food safety in processing, preservation, packaging, labelling, and distribution</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure compliance with food safety and quality standards of the Bureau Of Agriculture and Fisheries Standards (BAFPS)</li> <li><input type="checkbox"/> Apply HACCP as well as standard procedures on sanitation, Good Manufacturing Practice (GMP, pest</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Food Safety Clearance</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	control, chemical control, allergen control <input type="checkbox"/> Secure Food Safety Clearance <input type="checkbox"/> FDA Clearance			
29. Generation of wastewater from washing of raw materials and equipment that could cause water pollution of receiving water body.	<input type="checkbox"/> Monitoring of effluent quality to ensure compliance of wastewater discharge with the Effluent Standards. <input type="checkbox"/> Secure Discharge Permit from DENR/MENRE <input type="checkbox"/> Re-use of treated wastewater to applicable uses	<input type="checkbox"/> Monitoring reports indicating results of the effluent quality monitoring <input type="checkbox"/> Discharge Permit	Include in overall subproject cost	FCA/FCA Cluster
30. Generation of air pollution <input type="checkbox"/> from operation of generators, boilers, and other air pollution source installations <input type="checkbox"/> Odor from	<input type="checkbox"/> Monitoring of air emission from stationary sources of air pollution <input type="checkbox"/> Implementation of cleaner production and good housekeeping practices to manage	<input type="checkbox"/> Monitoring reports indicating results of implementation of cleaner production, waste minimization, and air/odor pollution control measures <input type="checkbox"/> Monitoring report of the air emission quality	Include in overall subproject cost	FCA/FCA Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
processing of organic raw materials	<ul style="list-style-type: none"> <li>and minimize odor</li> <li><input type="checkbox"/> Secure Permit to Operate air pollution source installations from DENR/MENRE</li> </ul>	<ul style="list-style-type: none"> <li>from stationary sources</li> <li><input type="checkbox"/> Permit to Operate for air pollution source installations issued by DENR/MENRE</li> </ul>		
<p>31. Generation of wastes from processing plant</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Biodegradable wastes (fruit/crop peelings, etc.)</li> <li><input type="checkbox"/> Non-biodegradable wastes (empty containers, packaging materials, etc.)</li> <li><input type="checkbox"/> Hazardous wastes (busted lamps, waste electronic equipment, batteries, oily rags, etc.)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement cleaner production approaches such as reuse of crop/fruit peelings without compromising food safety, composting, etc.</li> <li><input type="checkbox"/> Implement waste management procedure including waste minimization, segregation and proper disposal</li> <li><input type="checkbox"/> Commission the services of third-party hazardous waste transporter and treater with licensed from DENR</li> <li><input type="checkbox"/> Secure Hazardous Waste Generator ID</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Monitoring report indicating the implementation of waste management and resource efficiency measures</li> <li><input type="checkbox"/> Hazardous Waste Generator ID</li> <li><input type="checkbox"/> Waste Management Procedure as part of the ESA and Contractor's ESMP</li> </ul>	<p>Include in overall subproject cost</p>	FCA/FCA Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	from DENR/MENRE <input type="checkbox"/> Provision of secondary containment for liquid and hazardous wastes			
32. Occupational health and safety risks and hazards <input type="checkbox"/> Noise and vibration <input type="checkbox"/> Equipment malfunction <input type="checkbox"/> Use of hazardous materials and chemicals <input type="checkbox"/> Hazardous working conditions such as extreme temperature (hot/cold), slippery/wet working area <input type="checkbox"/> Extended working hours <input type="checkbox"/> Exposure of	<input type="checkbox"/> Provision of appropriate PPE for workers <input type="checkbox"/> Assign a Safety Officer <input type="checkbox"/> Assign a Pollution Control Officer <input type="checkbox"/> Provide medical services/first-aid kit at the site to ensure immediate medical attention in case of accidents. <input type="checkbox"/> FCA/FCA clusters shall comply with government health protocols in deployment of workers and continuation of production activities	<input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH) as part of the Operations Manual <input type="checkbox"/> Monitoring reports <input type="checkbox"/> LMP and Code of Conduct	Include in overall subproject cost	FAC/FCA Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>workers to communicable diseases (e.g. COVID19)</p> <p><input type="checkbox"/> Gender-Based Violence (GBV) Sexual Exploitation and Abuse and Sexual harassment (SEA/SH)</p>	<p><input type="checkbox"/> Establishment of a GRM for workers that is GBV SEA/SH Sensitive</p>			
<p>33. Conflict between members of the FCA/FCA clusters</p> <p><input type="checkbox"/> Unclear policy on project beneficiary prioritization</p> <p><input type="checkbox"/> Unclear policy on project implementation</p> <p><input type="checkbox"/> Labor disputes over terms and conditions of employment</p>	<p><input type="checkbox"/> Conduct consultations with members of the FCA/FCA clusters</p> <p><input type="checkbox"/> Establish the grievance redress mechanism (GRM) including GRM posters, GRM drop boxes at within subproject facilities</p> <p><input type="checkbox"/> Assign a GRM focal/point person</p> <p><input type="checkbox"/> Subproject will provide local employment opportunities with</p>	<p><input type="checkbox"/> Operation and Management Plan</p> <p><input type="checkbox"/> Appointment of LGU and PSO/RPCO Grievance Point Person/Grievance Officer</p> <p><input type="checkbox"/> Monitoring Reports/Checklist</p> <p><input type="checkbox"/> GRM for workers</p>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	standard salary wage based on RTWPB approved wage rates.			

Prepared by: \_\_\_\_\_

Conforme: \_\_\_\_\_

PPMIU/MPMIU Head

**Noted by the local community:**

\_\_\_\_\_

Barangay Captain

### Annex 17- Environmental and Social Management Plan (ESMP) Template for Aquaculture, Mariculture, Hatcheries and Fishponds

**Guidance Notes:**

*This template is designed to manage the environmental and social risks and impacts of aquaculture, mariculture, hatcheries and fishponds. These involve the rearing of aquatic organisms such as fish, molluscs, and crustaceans or the cultivation of aquatic plants for food. The enterprise will be implemented by the proponent local government unit together with Fisherfolks Cooperatives (FCs) or clusters of Fisherfolks Cooperative Associations (FCAs) under the I-REAP component of PRDP Scale-Up. Below are characteristics of these subprojects:*

Commodity	Description
Fisheries	<input type="checkbox"/> Fish production facilities <ul style="list-style-type: none"> <li><input type="radio"/> hatcheries</li> <li><input type="radio"/> fishponds</li> <li><input type="radio"/> mariculture (for mussels, etc.)</li> </ul>

The ESMP is prepared following the results of the SES screening in Annex C and the Environmental and Social Assessment (ESA) in the business plan. The ESMP sets out specific plans, including budgets, organization arrangements and responsibilities for social and environmental impact management during project implementation. The ESMP should be specific in its description of the individual mitigation and monitoring measures and the assignment responsibilities to address identified risks and impacts of the subproject. The ESMP contains subplans on resource efficiency (water and energy consumption), protection and conservation of ecosystem, waste management, pollution control, occupational safety and health, and monitoring and reporting plan.

**2. Site and Design Considerations**

[Do not proceed with the subproject preparation including this ESMP unless all items below are confirmed.]

1. The subproject does not encroach into or traverse any declared strict protection zone of protected area or natural habitat (e.g. primary forest, critical wetlands, endangered species habitat, key biodiversity areas).
2. The subproject does not involve extracting resources such as timber and forest products, mangroves or beach forests, endangered flora and fauna.
3. The subproject will not displace, disfigure or render inoperable/inaccessible any monument or physical structure of known cultural and historical significance.
4. The subproject is not located in an area that is high to extreme risk zones around active volcanoes, fault line, flooding, tsunami, and storm surge

**B. Environmental Issues and Mitigation Measures**

The issues identified in the ESMP template are based on frequently associated issues in possible encroachment on areas with significant ecosystem value, alteration of natural hydrology, red tide, eutrophication of aquatic environment, sedimentation and water quality issues,



transmission/spread of diseases in aquaculture, waste generation, water, air and odor, construction-related issues, worker and community health and safety. Any new environmental and social impacts that will be identified from the SES screening and environmental and social impact assessment will be added in the ESMP together with the appropriate mitigation measures, monitoring indicators, cost, and responsible unit.

Name of Subproject: \_\_\_\_\_ Location: \_\_\_\_\_  
 Implementing LGU: \_\_\_\_\_ FCA/FCA Cluster: \_\_\_\_\_ Contact No.: \_\_\_\_\_

Type of Commodity: \_\_\_\_\_ Type of Enterprise: (e.g., aquaculture, mariculture, hatchery, fishponds) \_\_\_\_\_

New or Expansion?  New  Expansion: \_\_\_\_\_

Production Capacity: \_\_\_\_\_

Utility Requirement: Water: \_\_\_\_\_ m<sup>3</sup> Source of Water: \_\_\_\_\_  
 Electricity: \_\_\_\_\_ kWH Source of Electricity: \_\_\_\_\_  
 Back-up Power Supply (capacity): \_\_\_\_\_

Total Land Area: \_\_\_\_\_ m<sup>2</sup> Building Floor Area: \_\_\_\_\_ m<sup>2</sup>

Estimated Number of Beneficiaries (gender disaggregate): \_\_\_\_\_

Estimated Number of IP Beneficiaries (gender disaggregate): \_\_\_\_\_

Estimated Total Cost: \_\_\_\_\_

***Check whichever is applicable to the subproject:***

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<b>A. Feasibility Study / Business Planning</b>				

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>1. Land conversion to aquaculture ponds/ inconsistency with approved land use plan of the city/municipality</p> <p>Current land use within 1 km radius (as per zoning ordinance)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Residential</li> <li><input type="checkbox"/> Commercial</li> <li><input type="checkbox"/> Institutional</li> <li><input type="checkbox"/> Industrial</li> <li><input type="checkbox"/> Agricultural</li> <li><input type="checkbox"/> Recreational</li> <li><input type="checkbox"/> Protected area</li> <li><input type="checkbox"/> Others: _____</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure consistency with land use plan of municipality/city</li> <li><input type="checkbox"/> Secure proof of land use compatibility from municipality/city</li> <li><input type="checkbox"/> Comply with the land use conversion process of DAR</li> <li><input type="checkbox"/> Suitability for aquaculture ponds/ fishpond development</li> <li><input type="checkbox"/> LGU Reclassification</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Zoning clearance</li> <li><input type="checkbox"/> Locational Clearance</li> <li><input type="checkbox"/> DAR Land Conversion Order</li> <li><input type="checkbox"/> SB Resolution on Reclassification</li> <li><input type="checkbox"/> Fishpond Lease Agreement (FLAs)</li> </ul>	<p>Include in overall cost of subproject</p>	<p>LGU/FCA/FC A Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
2. The subproject will encroach on buffer zone of declared protected area.	<ul style="list-style-type: none"> <li><input type="checkbox"/> Secure PAMB Resolution</li> <li><input type="checkbox"/> Secure PAMB Clearance</li> <li><input type="checkbox"/> Prepare the Comprehensive Development and Management Plan and Rehabilitation Plan as required by the Special Use Agreement in Protected Area (SAPA) application.</li> <li><input type="checkbox"/> Prepare an Ordinance on Management and Protection</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> PAMB Resolution</li> <li><input type="checkbox"/> PAMB Clearance</li> <li><input type="checkbox"/> SAPA</li> <li><input type="checkbox"/> Biodiversity Management Plan</li> <li><input type="checkbox"/> LGU Ordinance on Protection and Management</li> </ul>	All costs attendant to implementing the mitigation measures will be included in the overall subproject cost	LGU/FC/FCA Cluster
3. The subproject will traverse/encroach on: <ul style="list-style-type: none"> <li>o mangrove forest</li> <li>o ecologically significant</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Prohibit cutting of mangrove forest</li> <li><input type="checkbox"/> Design vegetated buffer zones and habitat corridors</li> <li><input type="checkbox"/> Maintain at least 50-meter buffer between fishponds and the open sea for coastal protection</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> DED/POW includes the mitigation measures</li> <li><input type="checkbox"/> Water Use Permit from DA/BFAR</li> <li><input type="checkbox"/> Design of vegetated buffer zones</li> <li><input type="checkbox"/> Design of biodiversity restoration, offsets</li> <li><input type="checkbox"/> LGU Ordinance on Protection and</li> </ul>	Include in overall cost of subproject	LGU/FCA/FC A Cluster DA/BFAR

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>surface water, marshlands, or wetlands</p> <ul style="list-style-type: none"> <li>○ DA/BFAR's marine protected area</li> </ul>	<ul style="list-style-type: none"> <li>□ Mudflats on coastal areas covered under natural resource management shall be planted with mangrove species</li> <li>□ Include in the subproject, design biodiversity restoration, offsets, or creation of ecologically comparable areas for biodiversity</li> <li>□ Secure an aquaculture, sea ranching and sea farming permit/license to operate from DA/BFAR</li> <li>□ Study on the aquatic fresh/marine environment</li> </ul>	<p>Management</p> <ul style="list-style-type: none"> <li>□ Inventory of Aquatic resources</li> </ul>		

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
4. Salinization of agricultural land due to conversion or use for aquaculture	<ul style="list-style-type: none"> <li><input type="checkbox"/> Design embankments around brackish pond as physical barrier between agriculture and aquaculture activities</li> <li><input type="checkbox"/> Provide treatment of saline brackish water</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> DED/POW includes mitigation measures</li> </ul>	Include in overall cost of subproject	LGU/FCA/FC A Cluster
5. Alteration of natural hydrology and water quality of bays/rivers or wetlands	<ul style="list-style-type: none"> <li><input type="checkbox"/> Consider flooding, rainfall data, storm surges, and high tides in the design of aquaculture ponds</li> <li><input type="checkbox"/> Seek assistance of DA/BFAR on models for potential new sites for mariculture based on carrying capacity</li> <li><input type="checkbox"/> Include in the O&amp;M Plan the conduct of water quality monitoring (e.g. DO, turbidity, temperature, pH)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> DED/POW includes mitigation measures</li> <li><input type="checkbox"/> O&amp;M Plan includes monitoring of water quality</li> </ul>	Include in overall cost of subproject	LGU/FCA/FC A Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>6. Loss of genetic resources due to collection of larvae, fry, or juveniles and intensive mariculture affecting population of phytoplankton</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide barriers to prevent escape of species from pond-based systems such as screens/mesh, fish-proof strainer</li> <li><input type="checkbox"/> As part of O&amp;M Plan, conduct breeding of stock material in captivity to manage threat to ecosystem biodiversity from practice of capturing female eggs, fry, juveniles and fingerlings.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> DED/POW includes mitigation measures</li> <li><input type="checkbox"/> O&amp;M Plan includes conduct of breeding of stock material</li> </ul>	<p>Include in overall cost of subproject</p>	<p>LGU/FCA/FC A Cluster</p>
<p>7. Presence of natural, geologic and climate hazards in the subproject area that may affect safety and vulnerability of the enterprise and its</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Validate information generated from CRVA, e-VSA and georisk mapping from site-specific information on occurrences of flooding, soil erosion, landslides, liquefaction, storm</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> DED/POW that includes the design of climate resilient and climate adaptation/mitigation measures</li> <li><input type="checkbox"/> Clearance from DENR/PHIVOLCS/PAGASA or any equivalent body</li> <li><input type="checkbox"/> Hazard analysis from</li> </ul>	<p>Include in overall cost of subproject</p>	<p>LGU/FCA/FC A Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
structures.	surge, tsunami, earthquakes, etc. <input type="checkbox"/> Secure clearance from DENR/PHIVOLCS/PAGASA or any equivalent body if in a disaster or hazard prone area <input type="checkbox"/> Adopt climate resilient measures: _____ _____ <input type="checkbox"/> Adopt climate mitigation measures: _____ _____	DENR/PHIVOLCS/PAGASA or any equivalent body		
8. Presence of IP/ICC in the influence area <input type="checkbox"/> The site is inside an ancestral domain (AD) or will traverse an AD <input type="checkbox"/> The site is not inside an AD nor will it traverse an	<input type="checkbox"/> Conduct FPIC <input type="checkbox"/> Prepare and implement IP Plan <input type="checkbox"/> Secure certification from the Tribal Chieftain expressing support to the subproject.	<input type="checkbox"/> Document of FPIC among IP communities <input type="checkbox"/> Evidence of IP community support (resolution, endorsement letter, etc.) <input type="checkbox"/> Certificate of Pre-condition from NCIP <input type="checkbox"/> Certificate of Non-Overlap from NCIP	Include cost of FPIC, consultations, and other mitigation and monitoring parameters in overall subproject cost.	LGU/FCA/FCA Cluster



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>AD but there are IP/ICC in the area.</p> <p><input type="checkbox"/> The site is not in an AD and that there are no IP/ICC in the area as per LGU records and onsite validation.</p>		<p><input type="checkbox"/> Approved IP Plan</p>		
<p>9. cutting of trees</p> <p><input type="checkbox"/> Coconut trees</p> <p><input type="checkbox"/> Fruit-bearing trees</p> <p><input type="checkbox"/> Timber trees</p> <p><input type="checkbox"/> Planted Trees</p> <p><input type="checkbox"/> Naturally growing trees</p>	<p><input type="checkbox"/> Avoid tree cutting to the extent possible.</p> <p><input type="checkbox"/> Conserve affected trees through earth balling, transfer and replanting</p> <p><input type="checkbox"/> Implement tree replacement and replanting in accordance with DENR requirements</p> <p><input type="checkbox"/> Conduct consultation with PAPs and secure permission from owner</p> <p><input type="checkbox"/> Secure Tree Cutting Permit prior to start</p>	<p><input type="checkbox"/> Tree Cutting Permit</p> <p><input type="checkbox"/> Tree Earth balling Permit</p> <p><input type="checkbox"/> PCA Permit (for coconut trees)</p> <p><input type="checkbox"/> Signed Compensation Agreement with owner/s of tree(s)</p> <p><input type="checkbox"/> Waiver of Rights / Quit Claim (if trees in private land will be donated; refer to Form L1)</p> <p><input type="checkbox"/> Proof of Compensation (for affected trees in private land)</p> <p><input type="checkbox"/> Tree Replacement Plan</p>	<p>Include in overall subproject cost</p>	<p>LGU/FCA/FC A Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>of works</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Secure Tree Earth balling Permit prior to start of works.</li> </ul>			
10. Competition with community in use of water resources	<ul style="list-style-type: none"> <li><input type="checkbox"/> Adopt in the subproject design, water resource efficiency and conservation measures through recycling of water</li> <li><input type="checkbox"/> Avoid disruption of traditional water uses in the community</li> <li><input type="checkbox"/> Identification of an alternative source of water for operations</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> POW/DED incorporating water resource efficiency and conservation</li> <li><input type="checkbox"/> Operations and Maintenance Plan</li> </ul>	Include in overall subproject cost	FCA/FCA Cluster
11. Blocking of movement of boats because of construction of ponds	<ul style="list-style-type: none"> <li><input type="checkbox"/> Consult fisherfolks and boatmen regarding the design and location of the ponds to avoid blocking of boat navigation.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> POW/DED incorporating concerns and suggestions from fisherfolks and boatmen</li> </ul>	Include in overall subproject cost	FCA/FCA Cluster
<b>B. Construction Phase</b>				

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>12. Soil erosion from construction of ponds</p> <ul style="list-style-type: none"> <li>□ Bottom sediments from the waterbody will be disturbed causing sedimentation</li> <li>□ Stockpiles of materials may cause sediment runoff.</li> </ul>	<ul style="list-style-type: none"> <li>□ Conduct excavation and earthmoving during dry months</li> <li>□ Locate stockpile of soil, aggregates and sand away from drainage canals and waterways</li> <li>□ Provide silt curtain during pond construction.</li> <li>□ Install silt traps, sedimentation ponds, and other sediment control measures</li> <li>□ During rain events, check the drainage system to see if these are blocked. Remove blocked materials.</li> <li>□ Hauling of excess excavated soil/incompatible soil for filling to designated disposal location in compliance to DPWH</li> </ul>	<ul style="list-style-type: none"> <li>□ Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	DO 168			
13. Contamination of surface water and groundwater with oil/grease	<ul style="list-style-type: none"> <li><input type="checkbox"/> Proper handling and disposal of waste oil, grease, diesel and gasoline</li> <li><input type="checkbox"/> Preparation of hazard waste management procedure as part of the ESA and ESMP</li> <li><input type="checkbox"/> Conduct of training on oil spill response</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Waste Management Procedure as part of the ESA and ESMP</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor
14. Dust from construction activities, materials stockpiles, and movement of construction vehicles	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct watering and dust abatement measures during dry and windy conditions</li> <li><input type="checkbox"/> Require workers to wear particle mask</li> <li><input type="checkbox"/> Keep stockpile of aggregate and sand materials covered with well-fixed plastic sheeting, tarpaulins or other geotextiles</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>to avoid suspension or dispersal of fine soil particles during dry and windy days.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Equip concrete mixing equipment with dust shrouds.</li> <li><input type="checkbox"/> Periodically clean-up debris at the work site.</li> <li><input type="checkbox"/> Prohibit idling of construction vehicles while unloading materials at the site.</li> <li><input type="checkbox"/> Impose speed limit on construction vehicles particularly when passing communities, residential or commercial areas or sensitive areas</li> </ul>			
<p>15. Generation of construction wastes</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Biodegradable wastes (e.g. food wastes)</li> <li><input type="checkbox"/> Non-</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement waste segregation and provide separate waste bins for biodegradable and non-biodegradable wastes</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>biodegradable wastes (e.g. debris, concrete / soil debris, wood chips)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Recyclable wastes (rebars, wires, nails, etc.)</li> <li><input type="checkbox"/> Hazardous wastes (empty containers of paints and solvents, resins, adhesives and degreasers, oily rags, busted lamps, spent welding electrode sticks/rods, discarded batteries, etc.)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Designate an area for recyclable materials such as metal, wires, etc.</li> <li><input type="checkbox"/> Coordinate with the LGU on the regular collection of biodegradable and non-biodegradable wastes.</li> <li><input type="checkbox"/> Coordinate with waste recycler for the disposal of recyclable materials</li> <li><input type="checkbox"/> Commission the services of third-party hazardous waste transporter and treater with license from DENR in the collection and treatment of hazardous wastes.</li> <li><input type="checkbox"/> Prohibit burning of wastes.</li> <li><input type="checkbox"/> Provision of secondary containment for</li> </ul>			

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	liquid hazardous wastes			
16. Sanitation and domestic sewage from construction camp	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide clean water and hand-washing facilities at the construction camp</li> <li><input type="checkbox"/> Provide temporary toilet facilities with septic tanks; Locate temporary septic tank more than 25 meters from an existing water supply well or surface water body</li> <li><input type="checkbox"/> Provide portable toilets (portalets); ensure contents of portalets are regularly collected by the third party portalet provider for safe offsite treatment and disposal.</li> <li><input type="checkbox"/> Ensure that the third-party portalet provider has a Discharge Permit from DENR.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>17. Traffic congestion caused by side street parking of construction vehicles</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Prohibit prolonged side street parking of construction vehicles</li> <li><input type="checkbox"/> Assign flag persons to direct flow of vehicles</li> <li><input type="checkbox"/> Coordinate with local government and communities about schedule of movement of construction vehicles</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH)</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>
<p>18. Road accidents during construction</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement speed control for delivery trucks</li> <li><input type="checkbox"/> Install warning signages</li> <li><input type="checkbox"/> Provide barricades and lighting at night in construction sites</li> <li><input type="checkbox"/> Prohibit entry of unauthorized persons at the construction site</li> <li><input type="checkbox"/> Orient drivers on precautionary measures when passing through</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Safety and Health (COSH)</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>community areas and times of day to reduce risk of accidents</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Observe extra caution when passing through dangerous routes</li> <li><input type="checkbox"/> Implement limits for trip duration and arranging driver rosters to avoid overtiredness of drivers.</li> <li><input type="checkbox"/> Regular maintenance of vehicles to minimize serious accidents caused by vehicle malfunction.</li> <li><input type="checkbox"/> Provision of sufficient lighting system</li> </ul>			
<p>19. Potential damage to existing road due to hauling of materials and movement of</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Restoration and repair of existing road by the contractor</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>construction vehicles</p>		<p>DED/POW and Contract</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Guidelines on Community and Occupational Safety and Health (COSH)</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>		
<p>20. Occupational health and safety risks and hazards</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Hazardous working conditions such as trenches, excavations, working in water</li> <li><input type="checkbox"/> Extended working hours</li> <li><input type="checkbox"/> Exposure of workers to communicable diseases (e.g. COVID19)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement an Occupational Safety and Health (OSH) Plan in compliance with the DOLE OSH guidelines.</li> <li><input type="checkbox"/> Designate an onsite Safety Officer duly accredited by DOLE.</li> <li><input type="checkbox"/> Establishment of GRM for workers</li> <li><input type="checkbox"/> Require workers to wear safety gadgets/PPEs such as hard hats, gloves, safety belts, rubber boots, and goggles, appropriate to the task.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH)</li> <li><input type="checkbox"/> Approved CHSP by DOLE</li> <li><input type="checkbox"/> LMP and Code of Conduct</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Post safety signs/reminders in strategic areas within the construction area.</li> <li><input type="checkbox"/> Provide sufficient lighting at night.</li> <li><input type="checkbox"/> Provide barricades / safety barriers particularly at excavations and stockpiles of aggregates.</li> <li><input type="checkbox"/> Provide first-aid kit at the construction site to ensure immediate medical attention in case of accidents.</li> <li><input type="checkbox"/> Comply with the COVID-19 health and safety guidelines of the Government.</li> </ul>			
21. Labor disputes over terms and conditions of employment	<ul style="list-style-type: none"> <li><input type="checkbox"/> Priority hiring of qualified local residents</li> <li><input type="checkbox"/> Set-up a grievance redress mechanism for workers including</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Functioning GRM for workers</li> <li><input type="checkbox"/> LMP and code of conduct</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	LGU PSO/RPCO Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>GRM posters, GRM drop boxes at project site</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Assign a Grievance Point Person</li> <li><input type="checkbox"/> Construction will provide local employment opportunities with standard salary wage based on RTWPB approved wage rates.</li> </ul>			
<p>22. Community health and safety risks and hazards</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Noise nuisance</li> <li><input type="checkbox"/> Airborne dust</li> <li><input type="checkbox"/> Unsecured construction site</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide fence or barricade around construction site</li> <li><input type="checkbox"/> Conduct consultations with neighboring communities and Barangay about the project and the schedule of works.</li> <li><input type="checkbox"/> Schedule noisy works during daytime in sites near sensitive receptors</li> <li><input type="checkbox"/> Watering of areas prone to airborne</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Safety and Health (COSH) Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	dust during dry season <input type="checkbox"/> Install warning signs.			
23. Impacts of labor influx such as: <input type="checkbox"/> Exposure of community to communicable diseases (e.g. COVID19) and sexually transmitted diseases (HIV/AIDS) <input type="checkbox"/> Misconduct of workers causing tension and peace and order issues in the community due to differences in traditions, culture, religion, ethnicity <input type="checkbox"/> Increased criminality in the area	<input type="checkbox"/> Conduct orientation of workers on proper behavior and community values, cultural traditions and practices <input type="checkbox"/> Orientation of workers on prevention of COVID-19, HIV/AIDS and other communicable diseases <input type="checkbox"/> Prohibit use of dangerous drugs, smoking, and alcohol consumption <input type="checkbox"/> Give priority to qualified local laborers in hiring construction workers <input type="checkbox"/> Establishment of a GRM for workers that is GBV SEA/SH Sensitive	<input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract <input type="checkbox"/> Community and Occupational Safety and Health Plan (COSH) <input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE <input type="checkbox"/> GRM records	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<input type="checkbox"/> Gender-Based Violence (GBV) Sexual Exploitation and Abuse and Sexual harassment (SEA/SH)				
24. Impacts on cultural properties	<input type="checkbox"/> Implement chance find procedure in accordance with the requirements of the National Cultural Heritage Act (2009) and Cultural Properties Preservation and Protection Act <input type="checkbox"/> Immediately suspend any activities upon discovery of chance find and report to the LGU and RPCO SES focal person	<input type="checkbox"/> Cultural Heritage Management Plan <input type="checkbox"/> Chance Find Procedure	Cost of mitigation measures to be shouldered by the contractor	Contractor
25. Security and conflict risk	<input type="checkbox"/> Social preparation and meaningful consultations	<input type="checkbox"/> Local Government Unit's (LGUs) Peace and Order and Public Safety Plan (POPS) Plan	Cost of mitigation measures to be	Local Government Unit (LGU)

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<ul style="list-style-type: none"> <li data-bbox="495 368 804 464">□ Proper coordination with relevant authorities</li> <li data-bbox="495 480 804 1182">□ LGUs mandated to ensure and maintain peace and order within their respective areas are to formulate and implement their POPS Plans as per DILG Memorandum Circular No. 2022-118 Guidelines on the Development and Formulation of the Peace and Order and Public Safety Plan (POPS-PLAN) 2023-2025 dated September 19, 2022. POPS Plan should be updated accordingly</li> <li data-bbox="495 1198 804 1326">□ evacuation plan in case of insurgency or conflicts as part of POPS Plan</li> </ul>		shouldered by the LGU	
<b>C. Operation Phase</b>				

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>26. Accumulation of bio-sediments at fishpond bed due to intensive fishery activities resulting to proliferation of new organisms and algal bloom</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Consider carrying capacity of the water body</li> <li><input type="checkbox"/> Provide enough distance for the installation of the water breeding spaces</li> <li><input type="checkbox"/> Conduct bio-sediments clean-up through bottom suction and treat the slurry collected sediments by drying</li> <li><input type="checkbox"/> Monitor water quality in coordination with DA/BFAR</li> <li><input type="checkbox"/> Secure Food Safety Clearance</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> O&amp;M Plan</li> <li><input type="checkbox"/> Monitoring reports</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>
<p>27. Eutrophication due to feeding process</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Unconsumed aquaculture feeds, fish wastes, organic matter, and</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Reduction of feeds and/or use better feed alternatives</li> <li><input type="checkbox"/> Prevent discharges of feeds, fish wastes, organic matter and excess nutrients in open water using</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> O&amp;M Plan</li> <li><input type="checkbox"/> Monitoring reports</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>excess nutrients in the fishpond environment could result to eutrophication</p> <p><input type="checkbox"/> Fish diets, artificial feeds, may favor other bottom dwelling organism</p>	<p>semi-confined and confined facility</p>			
<p>28. Introduction of new fish and invasive marine species may cause harm to local fisheries and/or cause loss of local fish varieties.</p>	<p><input type="checkbox"/> Consult DA/BFAR and LGU before introducing new species</p> <p><input type="checkbox"/> Careful section of aquaculture site by avoiding sensitive areas, i.e. coral reefs, mangrove forest, and reproductive areas for native marine species</p>	<p><input type="checkbox"/> O&amp;M Plan</p> <p><input type="checkbox"/> Monitoring reports</p>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p> <p>DA/BFAR</p>
<p>29. Use of antibiotics, pesticides and other chemical products to</p>	<p><input type="checkbox"/> Implement biological security guidelines in the aquaculture site</p> <p><input type="checkbox"/> Avoid use of chemicals that can</p>	<p><input type="checkbox"/> O&amp;M Plan</p> <p><input type="checkbox"/> Monitoring reports</p>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
prevent spread of diseases/parasites may affect ecosystem	adversely harm the marine ecosystem <input type="checkbox"/> Conduct regular monitoring in coordination with DA/BFAR <input type="checkbox"/> Avoid over population of aquacultures to avert depletion of dissolved oxygen (DO) <input type="checkbox"/> Provide aerators for DO deficiencies <input type="checkbox"/> Consider confinement or semi-confinement of the aquaculture facilities.			
30. Degradation of water quality	<input type="checkbox"/> Monitoring of water quality in terms of DO, BOD, SS, among others, in coordination with DA/BFAR <input type="checkbox"/> Ensure that the capacity of the ponds is within the holding capacity of water	<input type="checkbox"/> Monitoring reports indicating results of the water quality monitoring	Include in overall subproject cost	FCA/FCA Cluster DA/BFAR

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	body.			
31. Contamination of surface water and groundwater with oil/grease	<ul style="list-style-type: none"> <li><input type="checkbox"/> Inclusion of an emergency response for oil spill in the OM</li> <li><input type="checkbox"/> Conduct of training on oil spill response</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Operations and Maintenance Plan</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	FCA/FCA Cluster
32. Red tide infestation may affect mariculture (i.e. mussels, oysters) and endanger the health of the general public who will consume these.	<ul style="list-style-type: none"> <li><input type="checkbox"/> In coordination with DA/BFAR and LGU, report and monitor red tide infestation in the area</li> <li><input type="checkbox"/> Identify environmental factors or indicators that will activate red tide in the marine environment</li> <li><input type="checkbox"/> Immediately report to the LGU, DA/BFAR so that Early Warning and advisories are issued against consumption of suspected marine products with red tide toxins.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> O&amp;M Plan</li> <li><input type="checkbox"/> Monitoring reports</li> </ul>	Include in overall subproject cost	FCA/FCA Cluster LGU DA/BFAR

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>33. Generation of odor</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> From discarded marine products</li> <li><input type="checkbox"/> Decomposing marine products</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Properly dispose the rejected yields to avoid decomposition and pungent odor and prevent proliferation of rodents, flies</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> O&amp;M Plan</li> <li><input type="checkbox"/> Waste Management Procedures</li> <li><input type="checkbox"/> Monitoring reports</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>
<p>34. Occupational health and safety risks and hazards</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Hazardous working conditions such as extreme temperature (hot/cold), working in water</li> <li><input type="checkbox"/> Extended working hours</li> <li><input type="checkbox"/> Exposure of workers to communicable diseases (e.g. COVID19)</li> <li><input type="checkbox"/> Gender-Based Violence (GBV) Sexual</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provision of appropriate PPE for workers</li> <li><input type="checkbox"/> Assign a Safety Officer</li> <li><input type="checkbox"/> Assign a Pollution Control Officer</li> <li><input type="checkbox"/> Provide medical services/first-aid kit at the site to ensure immediate medical attention in case of accidents.</li> <li><input type="checkbox"/> FCA/FCA clusters shall comply with government health protocols in deployment of workers and continuation of</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH)</li> <li><input type="checkbox"/> Monitoring reports</li> <li><input type="checkbox"/> LMP and Code of Conduct</li> </ul>	<p>Include in overall subproject cost</p>	<p>FAC/FCA Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
Exploitation and Abuse and Sexual harassment (SEA/SH)	<ul style="list-style-type: none"> <li>production activities in line with the COSH</li> <li><input type="checkbox"/> Establishment of a GRM for workers that is GBV SEA/SH Sensitive</li> </ul>			
<p>35. Conflict between members of the FCA/FCA clusters</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Unclear policy on project beneficiary prioritization</li> <li><input type="checkbox"/> Unclear policy on project implementation</li> <li><input type="checkbox"/> Labor disputes over terms and conditions of employment</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct consultations with members of the FCA/FCA clusters</li> <li><input type="checkbox"/> Establish the grievance redress mechanism (GRM) including GRM posters, GRM drop boxes within subproject facilities</li> <li><input type="checkbox"/> Assign a GRM focal/point person</li> <li><input type="checkbox"/> Subproject will provide local employment opportunities with standard salary wage based on RTWPB approved wage rates.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Operation and Management Plan</li> <li><input type="checkbox"/> Appointment of LGU and PSO/RPCO Grievance Point Person/Grievance Officer</li> <li><input type="checkbox"/> Monitoring Reports</li> <li><input type="checkbox"/> GRM for workers</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor

Prepared by: \_\_\_\_\_

Conforme: \_\_\_\_\_  
PPMIU/MPMIU Head

Noted by the local community: \_\_\_\_\_  
Barangay Captain

**Annex 18- Environmental and Social Management Plan (ESMP) Template for SLAUGHTERHOUSES, DRESSING. PLANTS, HATCHERIES, MEAT PROCESSING AND DAIRY PROCESSING**

**Guidance Notes:**

*This template is designed to manage the environmental and social risks and impacts of slaughterhouses, dressing plants, hatcheries, meat processing and dairy processing. Slaughterhouses and meat processing are enterprises involved reception of animals until the carcasses are ready for sale or further processing. Dressing plants and hatcheries are involved in the processing of chickens and other poultry products from reception of live birds, slaughter, evisceration, and rendering. Dairy processing enterprises are involved in the reception, storage, and commercial processing of raw milk and dairy products. These are small to large-scale facilities implemented by the proponent local government unit under I-BUILD and together with Farmers Cooperatives (FCs) or clusters of Farmers Cooperative Associations (FCAs) under the I-REAP component of PRDP Scale-Up. Below are characteristics of these subprojects:*

Subproject Type	Description
Value chain rural infrastructure	Public use managed by LGUs: <ul style="list-style-type: none"> <li>● Slaughterhouses</li> <li>● Dressing plants</li> </ul>
Livestock and poultry	Managed by FCA/FCA Clusters: <ul style="list-style-type: none"> <li>● Meat processing plants</li> <li>● Dairy processing plants/Centers with testing facilities</li> </ul>

The ESMP is prepared following the results of the SES screening in Annex C and the Environmental and Social Assessment (ESA) in the business plan and feasibility study. The ESMP sets out specific plans, including budgets, organization arrangements and responsibilities for social and environmental impact management during project implementation. The ESMP should be specific in its description of the individual mitigation and monitoring measures and the assignment responsibilities to address identified risks and impacts of the subproject. The ESMP contains subplans on raw materials conservation, resource efficiency (water and energy consumption), waste management, pollution control, occupational safety and health, and monitoring and reporting plan.

**2. Site and Design Considerations**

[Do not proceed with the subproject preparation including this ESMP unless all items below are confirmed.]

1. The subproject does not encroach into or traverse any declared strict protection zone of protected area or natural habitat (e.g. primary forest, critical wetlands, endangered species habitat, key biodiversity areas).
2. The subproject will not displace, disfigure or render inoperable/inaccessible any monument or physical structure of known cultural and historical significance.
3. The subproject is not located in an area with high to extreme risk zones around active volcanoes and fault lines

## **B. Environmental Issues and Mitigation Measures**

The issues identified in the ESMP template are based on frequently associated issues in waste generation, water, air and odor from processing plants, possible encroachment on areas with significant ecosystem value, ancestral domains, construction-related issues, worker and community health and safety. Any new environmental and social impacts that will be identified from the SES screening and environmental and social impact assessment will be added in the ESMP together with the appropriate mitigation measures, monitoring indicators, cost, and responsible unit.



**TEMPLATE OF ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN FOR SLAUGHTERHOUSES, DRESSING PLANTS, HATCHERIES, MEAT PROCESSING AND DAIRY PROCESSING**

Name of Subproject: \_\_\_\_\_ Location: \_\_\_\_\_  
 Implementing LGU: \_\_\_\_\_ FCA/FCA Cluster: \_\_\_\_\_ Contact No.: \_\_\_\_\_

Type of Commodity: \_\_\_\_\_ Type of Processing Plant: \_\_\_\_\_  
 (e.g., slaughterhouse, dressing plant, hatchery, meat processing, dairy processing)

New or Expansion?  New  Expansion: \_\_\_\_\_

Production Capacity: \_\_\_\_\_

Utility Requirement: Water: \_\_\_\_\_ m<sup>3</sup> Source of Water: \_\_\_\_\_  
 Electricity: \_\_\_\_\_ kWH Source of Electricity: \_\_\_\_\_  
 Back-up Power Supply (capacity): \_\_\_\_\_

Total Land Area: \_\_\_\_\_ m<sup>2</sup> Building Floor Area: \_\_\_\_\_ m<sup>2</sup>

Other Buildings in the Plant Premises:  Manufacturing plant  Storage/warehouse  Office  Others: \_\_\_\_\_

Estimated Number of Beneficiaries (gender disaggregate): \_\_\_\_\_  
 Estimated Number of IP Beneficiaries (gender disaggregate): \_\_\_\_\_  
 Estimated Total Cost: \_\_\_\_\_

**Check whichever is applicable to the subproject:**

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<b>A. Feasibility Study / Business Planning</b>				
<p>1. Land ownership for the subproject location</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Private individuals</li> <li><input type="checkbox"/> Cooperative</li> <li><input type="checkbox"/> Government</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct consultations with Project Affected Persons (PAPs) to determine entitlements, just compensation or voluntary donation/waiver.</li> <li><input type="checkbox"/> Submit site acquisition documents: <ul style="list-style-type: none"> <li><input type="checkbox"/> Deed of Donation</li> <li><input type="checkbox"/> Deed of Sale</li> <li><input type="checkbox"/> Deed of Usufruct Agreement with Government</li> </ul> </li> <li><input type="checkbox"/> LGU to facilitate annotations of the land titles.</li> <li><input type="checkbox"/> For land acquisition by compensation, LGU to ensure that</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Land title(s)</li> <li><input type="checkbox"/> ROW acquisition documents (Forms L1 and L2)</li> <li><input type="checkbox"/> Land Title with Deed of Donation</li> <li><input type="checkbox"/> Deed of Sale</li> <li><input type="checkbox"/> Deed of Usufruct Agreement with Government</li> <li><input type="checkbox"/> Notarized duly-signed agreement between the PAPs and LGU for compensation of their properties and proof of compensation</li> <li><input type="checkbox"/> Contract of lease with option to buy</li> </ul>	<p>Include cost of site acquisition in overall subproject cost.</p>	<p>LGU/FCA/FC A Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	just compensation is agreed by both parties (LGU and PAPs). <input type="checkbox"/> For lease of land, LGU to ensure acceptable terms as determined by the Project.			
3. Land conversion / inconsistency with approved land use plan of the city/municipality  Current land use within 1 km radius (as per zoning ordinance)  <input type="checkbox"/> Residential <input type="checkbox"/> Commercial <input type="checkbox"/> Institutional <input type="checkbox"/> Industrial <input type="checkbox"/> Agricultural <input type="checkbox"/> Recreational <input type="checkbox"/> Protected	<input type="checkbox"/> Ensure consistency with land use plan of municipality/city <input type="checkbox"/> Secure proof of land use compatibility from municipality/city <input type="checkbox"/> Acquisition of DAR Conversion Order <input type="checkbox"/> LGU Reclassification	<input type="checkbox"/> Zoning Clearance <input type="checkbox"/> Locational Clearance <input type="checkbox"/> SB Resolution on Reclassification <input type="checkbox"/> DAR Conversion Order	Include in overall cost of subproject	LGU/FCA/FC A Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>area</p> <p><input type="checkbox"/> Others: _____</p>				
<p>4. The subproject will encroach on buffer zone of declared protected area.</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Secure PAMB Resolution</li> <li><input type="checkbox"/> Secure PAMB Clearance</li> <li><input type="checkbox"/> Prepare the Comprehensive Development and Management Plan and Rehabilitation Plan as required by the Special Use Agreement in Protected Area (SAPA) application.</li> <li><input type="checkbox"/> Prepare an Ordinance on Management and Protection</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> PAMB Resolution</li> <li><input type="checkbox"/> PAMB Clearance</li> <li><input type="checkbox"/> SAPA</li> <li><input type="checkbox"/> Biodiversity Management Plan</li> <li><input type="checkbox"/> Ordinance on Protection and Management</li> </ul>	<p>All costs attendant to implementing the mitigation measures will be included in the overall subproject cost</p>	<p>LGU/FCA/FC A Cluster</p>
<p>5. The subproject will traverse/encroach on:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> mangrove forest</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Prohibit cutting of mangrove forest</li> <li><input type="checkbox"/> Secure Forest Land Use Agreement (FLAg) from DENR for forest areas</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> FLAg</li> <li><input type="checkbox"/> Design of vegetated buffer zones</li> <li><input type="checkbox"/> Design of biodiversity restoration, offsets</li> <li><input type="checkbox"/> Inventory of aquatic</li> </ul>	<p>Include in overall cost of subproject</p>	<p>LGU/FCA/FC A Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<ul style="list-style-type: none"> <li>○ secondary forests</li> <li>○ ecologically significant surface water, marshlands, or wetlands</li> </ul>	<ul style="list-style-type: none"> <li>□ Design vegetated buffer zones and habitat corridors</li> <li>□ Study on the aquatic fresh/marine environment and geotechnical study</li> <li>□ Include in the subproject, design biodiversity restoration, offsets, or creation of ecologically comparable areas for biodiversity</li> </ul>	resources		
6. Presence of natural, geologic and climate hazards in the subproject area that may affect safety and vulnerability of the enterprise and its structures.	<ul style="list-style-type: none"> <li>□ Validate information generated from CRVA, e-VSA and georisk mapping from site-specific information on occurrences of flooding, soil erosion, landslides, liquefaction, storm surge, tsunami, earthquakes, etc.</li> </ul>	<ul style="list-style-type: none"> <li>□ DED/POW that includes the design of climate resilient and climate adaptation/mitigation measures</li> <li>□ Hazard analysis from DENR/PHIVOLCS/PAGASA or any equivalent body</li> <li>□ Clearance from DENR/PHIVOLCS/PAGASA or any</li> </ul>	Include in overall cost of subproject	LGU/FCA/FCA Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Secure clearance from DENR/PHIVOLCS/PAG ASA or any equivalent body if in a disaster or hazard prone area</li> <li><input type="checkbox"/> Design structures in accordance with the standards of the National Building Code and Structural Code of the Philippines</li> <li><input type="checkbox"/> Adopt climate resilient measures: _____</li> <li><input type="checkbox"/> Adopt climate mitigation measures: _____</li> </ul>	equivalent body		
<p>2. Presence of IP/ICC in the influence area</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The site is inside an ancestral domain (AD) or</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct FPIC</li> <li><input type="checkbox"/> Prepare and implement IP Plan</li> <li><input type="checkbox"/> Secure certification from the Tribal Chieftain expressing</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Document of FPIC among IP communities</li> <li><input type="checkbox"/> Evidence of IP community support (resolution, endorsement letter,</li> </ul>	Include cost of FPIC, consultations, and other mitigation and monitoring	LGU/FCA/FC A Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>will traverse an AD</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The site is not inside an AD nor will it traverse an AD but there are IP/ICC in the area.</li> <li><input type="checkbox"/> The site is not in an AD and that there are no IP/ICC in the area as per LGU records and onsite validation.</li> </ul>	<p>support to the subproject.</p>	<p>etc.)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Certificate of Pre-condition from NCIP</li> <li><input type="checkbox"/> Certificate of Non-Overlap from NCIP</li> <li><input type="checkbox"/> Approved IP Plan</li> </ul>	<p>parameters in overall subproject cost.</p>	
<p>7. Disturbance to flora and fauna due to vegetation clearing and cutting of trees</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Coconut trees</li> <li><input type="checkbox"/> Fruit-bearing trees</li> <li><input type="checkbox"/> Timber Trees</li> <li><input type="checkbox"/> Planted Trees</li> <li><input type="checkbox"/> Naturally</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Avoid tree cutting to the extent possible.</li> <li><input type="checkbox"/> Conserve affected trees through earth balling, transfer and replanting</li> <li><input type="checkbox"/> Implement tree replacement and replanting in accordance with DENR requirements</li> <li><input type="checkbox"/> Conduct consultation</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Tree Cutting Permit</li> <li><input type="checkbox"/> Tree Earth balling Permit</li> <li><input type="checkbox"/> PCA Permit (for coconut trees)</li> <li><input type="checkbox"/> Signed Compensation Agreement with owner/s of tree(s)</li> <li><input type="checkbox"/> Waiver of Rights / Quit Claim (if trees in private land will be donated; refer to Form L1)</li> </ul>	<p>Include in overall subproject cost</p>	<p>LGU/FCA/FCA Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
growing trees	<ul style="list-style-type: none"> <li>with PAPs and secure permission from owner</li> <li><input type="checkbox"/> Secure Tree Cutting Permit prior to start of works</li> <li><input type="checkbox"/> Secure Tree Earth balling Permit prior to start of works.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Proof of Compensation (for affected trees in private land)</li> <li><input type="checkbox"/> Tree Replacement Plan</li> </ul>		
8. Competition with community in use of water resources	<ul style="list-style-type: none"> <li><input type="checkbox"/> Secure Water Permit from NWRB to ensure allocation of water rights</li> <li><input type="checkbox"/> Adopt in the subproject design, water resource efficiency and conservation measures through recycling of water</li> <li><input type="checkbox"/> Avoid disruption of traditional water uses in the community</li> <li><input type="checkbox"/> Identification of an alternative source of water for operations</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> NWRB Water Permit</li> <li><input type="checkbox"/> POW/DED incorporating water resource efficiency and conservation</li> <li><input type="checkbox"/> Operations and Maintenance Plan</li> </ul>	Include in overall subproject cost	FCA/FCA Cluster



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
9. Competition with community in use of electricity	<ul style="list-style-type: none"> <li><input type="checkbox"/> Integrate energy efficiency measures such as utilization of renewable energy (solar, wind, etc.) Specify: _____</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> POW/DED incorporating energy efficiency and conservation plan</li> <li><input type="checkbox"/> Operations and Maintenance Plan</li> </ul>	Include in overall subproject cost	FCA/FCA Cluster
10. Generation of wastewater from washing of animals and equipment that could cause water pollution of receiving water body.	<ul style="list-style-type: none"> <li><input type="checkbox"/> Integrate in subproject design. the provision of wastewater treatment facility that will meet the Effluent Standards prescribed by the DENR Specify capacity: _____ m<sup>3</sup></li> <li><input type="checkbox"/> Include monitoring of effluent quality to ensure compliance of wastewater discharge with the Effluent Standards.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> POW/DED incorporating treatment of wastewater to meet the Effluent Standards</li> <li><input type="checkbox"/> Operations and Maintenance Plan incorporating monitoring of the effluent quality</li> </ul>	Include in overall subproject cost	FCA/FCA Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>11. Generation of air pollution</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> from operation of generators, boilers, and other air pollution source installations</li> <li><input type="checkbox"/> odor from processing of animals and carcasses</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Integrate air pollution control in pollution sources</li> <li><input type="checkbox"/> Include in the O&amp;M Plan the monitoring of air emission from stationary sources of air pollution</li> <li><input type="checkbox"/> Integrate cleaner production and good housekeeping practices to manage and minimize odor</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Operations Manual incorporating cleaner production, waste minimization, and air/odor pollution control measures</li> <li><input type="checkbox"/> Operations and Maintenance Plan incorporating monitoring of the air emission quality</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>
<p>12. Use of ozone-depleting substances (ODS) in refrigeration system</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Prohibit use of refrigerants subject to international bans and phaseouts consistent with the Montreal Protocol and Kigali Agreement on ODS</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Operations Manual</li> </ul>	<p>Include in overall subproject cost</p>	<p>LGU</p>
<p>13. Generation of wastes from facilities</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Solid organic wastes and byproducts</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Segregate sick and diseased animals and transported in separate containers for treatment and final disposal in</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Operations Manual incorporating waste management procedure</li> <li><input type="checkbox"/> Operations and Maintenance Plan</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>(animal manure, animal carcass, bedding material, feathers, bones, hair, fats, etc.)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Non-biodegradable wastes (empty containers, packaging materials, etc.)</li> <li><input type="checkbox"/> Hazardous wastes (busted lamps, waste electronic equipment, batteries, oily rags, etc.)</li> <li><input type="checkbox"/> Sludge from wastewater treatment (fats, oils)</li> </ul>	<p>accordance with safety and quarantine procedures</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Integrate cleaner production and good housekeeping procedures</li> <li><input type="checkbox"/> Integrate waste management procedure with procedures for waste minimization, segregation and proper disposal</li> <li><input type="checkbox"/> Ensure food safety procedures are in place to prevent transmission of diseases from animal to human receptors.</li> <li><input type="checkbox"/> Apply HACCP as well as standard procedures on sanitation, Good Manufacturing Practice (GMP, pest control, chemical</li> </ul>	<p>incorporating food safety procedures, veterinary inspection, HACCP, monitoring of the waste management measures</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Composting Site Plan and procedure</li> <li><input type="checkbox"/> DED and Site Development Plan</li> </ul>		

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	control, allergen control <input type="checkbox"/> Commission the services of third-party hazardous waste transporter and treater with licensed from DENR <input type="checkbox"/> Incorporation of biogas in the subproject facilities and design			
14. Safety and security of the subproject assets and products <input type="checkbox"/> Trespassing of animals and intruders in the facilities	<input type="checkbox"/> Provision of biosafety and biosecurity as part of design to be included in the site development plan <input type="checkbox"/> Disinfection of vehicles <input type="checkbox"/> Location of Entrance and Exit	<input type="checkbox"/> Site Development Plan <input type="checkbox"/> Subproject Operations and Maintenance Manual	Include in overall subproject cost	FCA/FCA Cluster
<b>B. Construction Phase</b>				
15. Soil erosion from excavation, siltation due to washing of construction	<input type="checkbox"/> Conduct excavation and earthmoving during dry months <input type="checkbox"/> Locate stockpile of soil, aggregates and	<input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management	Cost of mitigation measures to be	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>equipment and stockpiles of materials</p> <ul style="list-style-type: none"> <li>□ Activities will necessitate earthmoving from excavation activities</li> <li>□ Washing of construction vehicles including cement mixers may occur at the site and cause soil and cement runoff.</li> <li>□ Stockpiles of materials may cause sediment runoff.</li> </ul>	<p>sand away from drainage canals and waterways</p> <ul style="list-style-type: none"> <li>□ Install silt traps, sedimentation ponds, and other sediment control measures</li> <li>□ Prohibit washing of cement mixers and other construction vehicles at the site</li> <li>□ Conduct daily cleaning and sweeping of the construction site and periodically remove soils, stones, and wastes from gutters, drainage canals and ditches</li> <li>□ During rain events, check the drainage system to see if these are blocked. Remove blocked materials.</li> <li>□ Hauling of excess excavated</li> </ul>	<p>Plan (CESMP) and in DED/POW and Contract</p> <ul style="list-style-type: none"> <li>□ MOA with private landowner for the disposal of excess soil</li> </ul>	<p>shouldered by the contractor</p>	

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	soil/incompatible soil for filling to designated disposal location in compliance to DPWH DO 168			
16. Contamination of surface water and groundwater with oil/grease	<ul style="list-style-type: none"> <li><input type="checkbox"/> Proper handling and disposal of waste oil, grease, diesel and gasoline</li> <li><input type="checkbox"/> Preparation of hazard waste management procedure as part of the ESA and Contractors ESMP</li> <li><input type="checkbox"/> Conduct of training on oil spill response</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> ESA and Contractor's ESMP</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor
17. Dust from construction activities, materials stockpiles, and movement of construction vehicles	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct watering and dust abatement measures during dry and windy conditions</li> <li><input type="checkbox"/> Require workers to wear particle mask</li> <li><input type="checkbox"/> Keep stockpile of aggregate and sand materials covered with well-fixed plastic</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	sheeting, tarpaulins or other geotextiles to avoid suspension or dispersal of fine soil particles during dry and windy days. <ul style="list-style-type: none"> <li><input type="checkbox"/> Equip concrete mixing equipment with dust shrouds.</li> <li><input type="checkbox"/> Periodically clean-up debris at the work site.</li> <li><input type="checkbox"/> Prohibit idling of construction vehicles while unloading materials at the site.</li> <li><input type="checkbox"/> Impose speed limit on construction vehicles particularly when passing communities, residential or commercial areas or sensitive areas</li> </ul>	DOLE		
18. Noise and vibration from construction activities and movement of	<ul style="list-style-type: none"> <li><input type="checkbox"/> Barricade the construction area and shield sensitive receptors.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management</li> </ul>	Cost of mitigation measures to be	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>materials</p> <ul style="list-style-type: none"> <li>□ Subproject is located near community areas with sensitive receptors such as schools, hospitals, residential areas, and cultural heritage structures</li> <li>□ Subproject will require concrete chipping and drilling activities.</li> </ul>	<ul style="list-style-type: none"> <li>□ Strictly prohibit concrete chipping and drilling activities beyond 8:00PM particularly in areas near sensitive receptors and residential areas.</li> <li>□ Implement construction activities in consideration to time, duration, and scale to optimize the use of construction equipment, machineries, and vehicles in accordance with the noise emission standard.</li> <li>□ Deliver fabricated steel plates and cut/bend reinforcing steel to desired size to minimize cutting activities onsite.</li> </ul>	<p>Plan (CESMP) and in DED/POW and Contract</p> <ul style="list-style-type: none"> <li>□ Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	<p>shouldered by the contractor</p>	



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Require workers to wear ear plugs.</li> <li><input type="checkbox"/> Strictly control construction activities close to historical/archaeological sites, if any.</li> </ul>			
<p>19. Generation of construction wastes</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Biodegradable wastes (e.g. food wastes)</li> <li><input type="checkbox"/> Non-biodegradable wastes (e.g. debris, concrete / soil debris, wood chips)</li> <li><input type="checkbox"/> Recyclable wastes (rebars, wires, nails, etc.)</li> <li><input type="checkbox"/> Hazardous wastes (empty containers of paints and</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement waste segregation and provide separate waste bins for biodegradable and non-biodegradable wastes</li> <li><input type="checkbox"/> Designate an area for recyclable materials such as metal, wires, etc.</li> <li><input type="checkbox"/> Coordinate with the LGU on the regular collection of biodegradable and non-biodegradable wastes.</li> <li><input type="checkbox"/> Coordinate with waste recycler for the</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
solvents, resins, adhesives and degreasers, oily rags, busted lamps, spent welding electrode sticks/rods, discarded batteries, etc.)	<ul style="list-style-type: none"> <li>disposal of recyclable materials</li> <li><input type="checkbox"/> Commission the services of third-party hazardous waste transporter and treater with license from DENR in the collection and treatment of hazardous wastes.</li> <li><input type="checkbox"/> Prohibit burning of wastes.</li> </ul>			
20. Sanitation and domestic sewage from construction camp	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide clean water and hand-washing facilities at the construction camp</li> <li><input type="checkbox"/> Provide temporary toilet facilities with septic tanks; Locate temporary septic tank more than 25 meters from an existing water supply well or surface water body</li> <li><input type="checkbox"/> Provide portable toilets (portalets); ensure contents of</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Waste Management procedures as part of the ESA and Contractors ESMP</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>portalets are regularly collected by the third party portalet provider for safe offsite treatment and disposal.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure that third-party portalet provider has a Discharge Permit from DENR.</li> <li><input type="checkbox"/> Provision of secondary containment for liquid hazardous wastes</li> </ul>	DOLE		
21. Traffic congestion caused by side street parking of construction vehicles	<ul style="list-style-type: none"> <li><input type="checkbox"/> Prohibit prolonged side street parking of construction vehicles</li> <li><input type="checkbox"/> Assign flag persons to direct flow of vehicles</li> <li><input type="checkbox"/> Coordinate with local government and communities about schedule of movement of construction vehicles</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH)</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>22. Road accidents during construction</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Movement of materials delivery trucks</li> <li><input type="checkbox"/> Open excavations and trenches</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement speed control for delivery trucks</li> <li><input type="checkbox"/> Install warning signages in open excavations and trenches</li> <li><input type="checkbox"/> Provide barricades and lighting at night in construction sites with open excavations</li> <li><input type="checkbox"/> Prohibit entry of unauthorized persons at the construction site</li> <li><input type="checkbox"/> Orient drivers on precautionary measures when passing through community areas and times of day to reduce risk of accidents</li> <li><input type="checkbox"/> Observe extra caution when passing through dangerous routes</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Safety and Health (COSH)</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement limits for trip duration and arranging driver rosters to avoid overtiredness of drivers.</li> <li><input type="checkbox"/> Regular maintenance of vehicles to minimize serious accidents caused by vehicle malfunction.</li> </ul>			
<p>23. Potential damage to existing road due to hauling of materials and movement of construction vehicles</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Restoration and repair of existing road by the contractor</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Safety and Health (COSH) Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>24. Occupational health and safety risks and hazards</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Use of hazardous materials and chemicals</li> <li><input type="checkbox"/> Hazardous working conditions such as trenches, excavations, working in heights or in confined spaces</li> <li><input type="checkbox"/> Extended working hours</li> <li><input type="checkbox"/> Exposure of workers to communicable diseases (e.g. COVID19)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement an Occupational Safety and Health (OSH) Plan in compliance with the DOLE OSH guidelines.</li> <li><input type="checkbox"/> Designate an onsite Safety Officer duly accredited by DOLE.</li> <li><input type="checkbox"/> Establishment of GRM for workers</li> <li><input type="checkbox"/> Require workers to wear safety gadgets/PPEs such as hard hats, gloves, safety belts, rubber boots, and goggles, appropriate to the task.</li> <li><input type="checkbox"/> Post safety signs/reminders in strategic areas within the construction area.</li> <li><input type="checkbox"/> Provide sufficient lighting at night.</li> <li><input type="checkbox"/> Provide barricades / safety barriers</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH)</li> <li><input type="checkbox"/> Approved CSHP by DOLE</li> <li><input type="checkbox"/> LMP and Code of Conduct</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>particularly at excavations and stockpiles of aggregates.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Provide first-aid kit at the construction site to ensure immediate medical attention in case of accidents.</li> <li><input type="checkbox"/> Comply with the COVID-19 health and safety guidelines of the Government.</li> </ul>			
<p>25. Labor disputes over terms and conditions of employment</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Priority hiring of qualified local residents</li> <li><input type="checkbox"/> Set-up a grievance redress mechanism for workers including GRM posters, GRM drop boxes at project site, barangay halls, municipal halls, provincial halls</li> <li><input type="checkbox"/> Assign a Grievance Point Person</li> <li><input type="checkbox"/> Construction will provide local</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Functioning GRM for workers</li> <li><input type="checkbox"/> LMP and code of conduct</li> <li><input type="checkbox"/></li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>LGU PSO/RPCO Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	employment opportunities with standard salary wage based on RTWPB approved wage rates.			
<p>26. Community health and safety risks and hazards</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Noise nuisance</li> <li><input type="checkbox"/> Airborne dust</li> <li><input type="checkbox"/> Unsecured construction site</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide fence or barricade around construction site</li> <li><input type="checkbox"/> Conduct consultations with neighboring communities and Barangay about the project and the schedule of works.</li> <li><input type="checkbox"/> Schedule noisy works during daytime in sites near sensitive receptors</li> <li><input type="checkbox"/> Watering of areas prone to airborne dust during dry season</li> <li><input type="checkbox"/> Install warning signs.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Safety and Health (COSH)</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor
<p>27. Impacts of labor influx such as:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Exposure of community to</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct orientation of workers on proper behavior and community values,</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and</li> </ul>	Cost of mitigation measures to be	Contractor



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>communicable diseases (e.g. COVID19) and sexually transmitted diseases (HIV/AIDS)</p> <ul style="list-style-type: none"> <li>□ Misconduct of workers causing tension and peace and order issues in the community due to differences in traditions, culture, religion, ethnicity</li> <li>□ Increased criminality in the area</li> <li>□ Gender-Based Violence (GBV) Sexual Exploitation and Abuse and Sexual harassment (SEA/SH)</li> </ul>	<p>cultural traditions and practices</p> <ul style="list-style-type: none"> <li>□ Orientation of workers on prevention of COVID-19, HIV/AIDS and other communicable diseases</li> <li>□ Prohibit use of dangerous drugs, smoking, and alcohol consumption</li> <li>□ Give priority to qualified local laborers in hiring construction workers</li> <li>□ Establishment of a GRM for workers that is GBV SEA/SH Sensitive</li> </ul>	<p>Social Management Plan (CESMP) and in DED/POW and Contract</p> <ul style="list-style-type: none"> <li>□ Guidelines on Community and Occupational Safety and Health (COSH)</li> <li>□ GRM records</li> <li>□ Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	<p>shouldered by the contractor</p>	

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>28. Waste generation</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> During cultivation (e.g. empty containers of agro-chemicals)</li> <li><input type="checkbox"/> during post-harvest (e.g. decomposing plant fibers, discarded parts of plants)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Composting of plant waste to produce organic fertilizers</li> <li><input type="checkbox"/> Consider use of plant fibers as animal feed</li> <li><input type="checkbox"/> Use plant fibers and wastes as soil additives/enhancers</li> <li><input type="checkbox"/> Prohibit burning of wastes</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Monitoring reports</li> <li><input type="checkbox"/> Composting Site Plan and procedure</li> <li><input type="checkbox"/> Operations Manual incorporating waste management procedure</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>
<p>29. Impacts on cultural properties</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement chance find procedure in accordance with the requirements of the National Cultural Heritage Act (2009) and Cultural Properties Preservation and Protection Act</li> <li><input type="checkbox"/> Immediately suspend any activities upon discovery of chance find and report to the LGU and RPCO SES focal person</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Cultural Heritage Management Plan</li> <li><input type="checkbox"/> Chance Find Procedure</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
29. Security and conflict risk	<ul style="list-style-type: none"> <li><input type="checkbox"/> Social preparation and meaningful consultations</li> <li><input type="checkbox"/> Proper coordination with relevant authorities</li> <li><input type="checkbox"/> LGUs mandated to ensure and maintain peace and order within their respective areas are to formulate and implement their POPS Plans as per DILG Memorandum Circular No. 2022-118 Guidelines on the Development and Formulation of the Peace and Order and Public Safety Plan (POPS-PLAN) 2023-2025 dated September 19, 2022. POPS Plan should be updated accordingly</li> <li><input type="checkbox"/> evacuation plan in case of insurgency or</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Local Government Units (LGUs) Peace and Order and Public Safety Plan (POPS) Plan</li> </ul>	Cost of mitigation measures to be shouldered by the LGU	Local Government Unit (LGU)

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	conflicts as part of POPS Plan			
<b>C. Operation Phase</b>				
30. Food safety in processing, preservation, packaging, labelling, and distribution	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure compliance with food safety and quality standards of the Bureau. Of Agriculture and Fisheries Standards (BAFPS)</li> <li><input type="checkbox"/> Apply HACCP as well as standard procedures on sanitation, Good Manufacturing Practice (GMP, pest control, chemical control, allergen control</li> <li><input type="checkbox"/> Secure Food Safety Clearance</li> <li><input type="checkbox"/> FDA Clearance</li> <li><input type="checkbox"/> NMIS Accreditation and license</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Food Safety Clearance</li> <li><input type="checkbox"/> License to Operate from NMIS</li> <li><input type="checkbox"/> License to transport from NMIS</li> </ul>	Include in overall subproject cost	FCA/FCA Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>31. Generation of wastewater from washing of animals and equipment that could cause water pollution of receiving water body.</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Monitoring of effluent quality to ensure compliance of wastewater discharge with the Effluent Standards.</li> <li><input type="checkbox"/> Secure Discharge Permit from DENR/MENRE</li> <li><input type="checkbox"/> Re-use of treated wastewater to applicable uses</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Monitoring reports indicating results of the effluent quality monitoring</li> <li><input type="checkbox"/> Discharge Permit</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>
<p>32. Generation of air pollution</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> from operation of generators, boilers, and other air pollution source installations</li> <li><input type="checkbox"/> odor from processing of organic raw materials</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Monitoring of air emission from stationary sources of air pollution</li> <li><input type="checkbox"/> Implementation of cleaner production and good housekeeping practices to manage and minimize odor</li> <li><input type="checkbox"/> Secure Permit to Operate air pollution source installations from DENR/MENRE</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Monitoring reports indicating results of implementation of cleaner production, waste minimization, and air/odor pollution control measures</li> <li><input type="checkbox"/> Monitoring report of the air emission quality from stationary sources</li> <li><input type="checkbox"/> Permit to Operate for air pollution source installations issued by DENR/MENRE</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>33. Generation of wastes from processing plant</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Solid organic wastes and byproducts (animal manure, animal carcass, bedding material, feathers, bones, hair, fats, etc.)</li> <li><input type="checkbox"/> Non-biodegradable wastes (empty containers, packaging materials, etc.)</li> <li><input type="checkbox"/> Hazardous wastes (busted lamps, waste electronic equipment, batteries, oily rags, etc.)</li> <li><input type="checkbox"/> Sludge from wastewater</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement cleaner production approaches such as recovery of edible products without compromising food safety, composting, etc.</li> <li><input type="checkbox"/> Implement waste management procedure including waste minimization, segregation and proper disposal</li> <li><input type="checkbox"/> Commission the services of third-party hazardous waste transporter and treater with licensed from DENR</li> <li><input type="checkbox"/> Secure Hazardous Waste Generator ID from DENR/MENRE</li> <li><input type="checkbox"/> Provision of secondary containment for all hazardous wastes</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Monitoring report indicating the implementation of waste management and resource efficiency measures</li> <li><input type="checkbox"/> Hazardous Waste Generator ID</li> <li><input type="checkbox"/> Waste Management Procedure as part of the ESA</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
treatment (fats, oils)				
<p>34. Occupational health and safety risks and hazards</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Noise and vibration</li> <li><input type="checkbox"/> Equipment malfunction</li> <li><input type="checkbox"/> Use of hazardous materials and chemicals</li> <li><input type="checkbox"/> Hazardous working conditions such as extreme temperature (hot/cold), slippery/wet working area</li> <li><input type="checkbox"/> Extended working hours</li> <li><input type="checkbox"/> Exposure of workers to communicable diseases (e.g. COVID19)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provision of appropriate PPE for workers</li> <li><input type="checkbox"/> Assign a Safety Officer</li> <li><input type="checkbox"/> Assign a Pollution Control Officer</li> <li><input type="checkbox"/> Provide medical services/first-aid kit at the site to ensure immediate medical attention in case of accidents.</li> <li><input type="checkbox"/> FCA/FCA clusters shall comply with government health protocols in deployment of workers and continuation of production activities</li> <li><input type="checkbox"/> Establishment of a GRM for workers that is GBV SEA/SH Sensitive</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH) as part of the Operations Manual</li> <li><input type="checkbox"/> Monitoring reports</li> <li><input type="checkbox"/> LMP and Code Conduct</li> </ul>	<p>Include in overall subproject cost</p>	<p>FAC/FCA Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<ul style="list-style-type: none"> <li><input type="checkbox"/> Gender-Based Violence (GBV) Sexual Exploitation and Abuse and Sexual harassment (SEA/SH)</li> </ul>				
<p>35. Conflict between members of the FCA/FCA clusters</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Unclear policy on project beneficiary prioritization</li> <li><input type="checkbox"/> Unclear policy on project implementation</li> <li><input type="checkbox"/> Labor disputes over terms and conditions of employment</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct consultations with members of the FCA/FCA clusters</li> <li><input type="checkbox"/> Establish the grievance redress mechanism (GRM) including GRM posters, GRM drop boxes within subproject facilities</li> <li><input type="checkbox"/> Assign a GRM focal/point person</li> <li><input type="checkbox"/> Subproject will provide local employment opportunities with standard salary wage based on RTWPB approved wage rates.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Operation and Management Plan</li> <li><input type="checkbox"/> Appointment of LGU and PSO/RPCO Grievance Point Person/Grievance Officer</li> <li><input type="checkbox"/> Monitoring Reports</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>



Prepared by: \_\_\_\_\_

Conforme: \_\_\_\_\_

PPMIU/MPMIU Head

**Noted by the local community:**

\_\_\_\_\_

Barangay Captain



### Annex 19- Environmental and Social Management Plan (ESMP) Template for Milling, Drying, and Packaging Facilities

**Guidance Notes:**

*This template is designed to manage the environmental and social risks and impacts of milling, drying, and packaging facilities. Milling facilities/centers are post-harvest facilities primarily for corn and rice. These facilities include bulk handling/storage (silos) and packaging equipment and sometimes with drying facilities for these crops. These are small to large-scale facilities implemented by the proponent local government unit together with Farmers Cooperatives (FCs) or clusters of Farmers Cooperative Associations (FCAs) under the I-REAP component of PRDP Scale-Up. Below are characteristics of these subprojects:*

Commodity	Description
Corn	<ul style="list-style-type: none"> <li>• Corn drying to milling centers/facilities with warehouses</li> <li>• Bulk handling/storage (silos) and transportation facilities</li> </ul>
Rice	<ul style="list-style-type: none"> <li>• Rice processing centers (for drying, milling and packaging) with logistics facilities</li> </ul>

The ESMP is prepared following the results of the SES screening in Annex C and the Environmental and Social Assessment (ESA) in the business plan. The ESMP sets out specific plans, including budgets, organization arrangements and responsibilities for social and environmental impact management during project implementation. The ESMP should be specific in its description of the individual mitigation and monitoring measures and the assignment responsibilities to address identified risks and impacts of the subproject. The ESMP contains subplans on raw materials conservation, resource efficiency (energy consumption), waste management, air pollution control, occupational safety and health, and monitoring and reporting plan.

**2. Site and Design Considerations**

[Do not proceed with the subproject preparation including this ESMP unless all items below are confirmed.]

1. The subproject does not encroach into or traverse any declared strict protection zone of protected area or natural habitat (e.g. primary forest, critical wetlands, endangered species habitat, key biodiversity areas).
2. The subproject will not displace, disfigure or render inoperable/inaccessible any monument or physical structure of known cultural and historical significance.
3. The subproject is not located in an area that is high to extreme risk zones around active volcanoes.

**B. Environmental Issues and Mitigation Measures**

The issues identified in the ESMP template are based on frequently associated issues in waste generation, air pollution, possible encroachment on areas with significant ecosystem value, ancestral domains, construction-related issues, worker and community health and safety. Any new environmental and social impacts that will be identified from the SES screening and environmental and social impact assessment will be added in the ESMP together with the appropriate mitigation measures, monitoring indicators, cost, and responsible unit.

**TEMPLATE OF ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN FOR SLAUGHTERHOUSES, DRESSING PLANTS, HATCHERIES, MEAT PROCESSING AND DAIRY PROCESSING**

Name of Subproject: \_\_\_\_\_ Location: \_\_\_\_\_  
 Implementing LGU: \_\_\_\_\_ FCA/FCA Cluster: \_\_\_\_\_ Contact No.: \_\_\_\_\_

Type of Commodity: \_\_\_\_\_ Type of Processing Plant: \_\_\_\_\_  
 (rice/corn?) (e.g., Milling, Drying, Packaging)

New or Expansion?  New  Expansion: \_\_\_\_\_

Production Capacity: \_\_\_\_\_

Utility Requirement: Water: \_\_\_\_\_ m<sup>3</sup> Source of Water: \_\_\_\_\_  
 Electricity: \_\_\_\_\_ kWH Source of Electricity: \_\_\_\_\_

Back-up Power Supply (capacity): \_\_\_\_\_

Total Land Area: \_\_\_\_\_ m<sup>2</sup> Building Floor Area: \_\_\_\_\_ m<sup>2</sup>

Other Buildings in the Plant Premises:  Facility  Storage/warehouse  Office Others: \_\_\_\_\_

Estimated Number of Beneficiaries (gender disaggregate): \_\_\_\_\_

Estimated Number of IP Beneficiaries (gender disaggregate): \_\_\_\_\_

Estimated Total Cost: \_\_\_\_\_

***Check whichever is applicable to the subproject:***

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<b>A. Feasibility Study / Business Planning</b>				
<p>1. Land acquisition for the subproject</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Private individuals</li> <li><input type="checkbox"/> Cooperative</li> <li><input type="checkbox"/> Government</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct consultations with Project Affected Persons (PAPs) to determine entitlements, just compensation or voluntary donation/waiver.</li> <li><input type="checkbox"/> Submit site acquisition documents: <ul style="list-style-type: none"> <li>o Deed of Donation</li> <li>o Deed of Sale</li> <li>o Deed of Usufruct Agreement with Government</li> </ul> </li> <li><input type="checkbox"/> LGU to facilitate annotations of the land titles.</li> <li><input type="checkbox"/> For land acquisition by compensation,</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Land title(s)</li> <li><input type="checkbox"/> ROW acquisition documents (Forms L1 and L2)</li> <li><input type="checkbox"/> Land Title with Deed of Donation</li> <li><input type="checkbox"/> Deed of Sale</li> <li><input type="checkbox"/></li> <li><input type="checkbox"/> Deed of Usufruct Agreement with Government</li> <li><input type="checkbox"/> Notarized duly-signed agreement between the PAPs and LGU for compensation of their properties and proof of compensation</li> <li><input type="checkbox"/> Contract of lease with option to buy</li> </ul>	<p>Include cost of site acquisition in overall subproject cost.</p>	<p>LGU/FCA/FC A Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>LGU to ensure that just compensation is agreed by both parties (LGU and PAPs).</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> For lease of land, LGU/FCA to ensure acceptable terms as determined by the Project.</li> </ul>			
<p>3. Land conversion / inconsistency with approved land use plan of the city/municipality</p> <p>Current land use within 1 km radius (as per zoning ordinance)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Residential</li> <li><input type="checkbox"/> Commercial</li> <li><input type="checkbox"/> Institutional</li> <li><input type="checkbox"/> Industrial</li> <li><input type="checkbox"/> Agricultural</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure consistency with land use plan of municipality/city</li> <li><input type="checkbox"/> Secure proof of land use compatibility from municipality/city</li> <li><input type="checkbox"/> Acquisition of DAR Conversion Order</li> <li><input type="checkbox"/> LGU Reclassification</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Zoning Clearance</li> <li><input type="checkbox"/> Locational Clearance</li> <li><input type="checkbox"/> SB Resolution on Reclassification</li> <li><input type="checkbox"/> DAR Conversion Order</li> </ul>	<p>Include in overall cost of subproject</p>	<p>LGU/FCA/FC A Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<input type="checkbox"/> Recreational <input type="checkbox"/> Protected area <input type="checkbox"/> Others: _____ -				
4. The subproject will encroach on buffer zone of declared protected area.	<input type="checkbox"/> Secure PAMB Resolution <input type="checkbox"/> Secure PAMB Clearance <input type="checkbox"/> Prepare the Comprehensive Development and Management Plan and Rehabilitation Plan as required by the Special Use Agreement in Protected Area (SAPA) application. <input type="checkbox"/> Prepare an Ordinance on Management and Protection	<input type="checkbox"/> PAMB Resolution <input type="checkbox"/> PAMB Clearance <input type="checkbox"/> SAPA <input type="checkbox"/> Biodiversity Management Plan <input type="checkbox"/> LGU Ordinance on Protection and Management	All costs attendant to implementing the mitigation measures will be included in the overall subproject cost	LGU/FC/FCA Cluster
5. The subproject will traverse/encroach on:	<input type="checkbox"/> Prohibit cutting of mangrove forest <input type="checkbox"/> Secure Forest Land	<input type="checkbox"/> FLAg <input type="checkbox"/> Design of vegetated buffer zones	Include in overall cost of subproject	LGU/FCA/FC A Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<ul style="list-style-type: none"> <li>○ mangrove forest</li> <li>○ secondary forests</li> <li>○ ecologically significant surface water, marshlands, or wetlands</li> </ul>	<ul style="list-style-type: none"> <li>Use Agreement (FLAg) from DENR for forest areas</li> <li>□ Design vegetated buffer zones and habitat corridors</li> <li>□ Study on the aquatic fresh/marine environment and geotechnical study</li> <li>□ Include in the subproject, design biodiversity restoration, offsets, or creation of ecologically comparable areas for biodiversity</li> </ul>	<ul style="list-style-type: none"> <li>□ Design of biodiversity restoration, offsets</li> <li>□ Biodiversity Management Plan</li> <li>□ Ordinance on Protection and Management</li> </ul>		
<p>6. Presence of natural, geologic and climate hazards in the subproject area that may affect safety and vulnerability of the enterprise</p>	<ul style="list-style-type: none"> <li>□ Validate information generated from CRVA, e-VSA and georisk mapping from site-specific information on occurrences of flooding, soil erosion, landslides,</li> </ul>	<ul style="list-style-type: none"> <li>□ DED/POW that includes the design of climate resilient and climate adaptation/mitigation measures</li> <li>□ Hazard analysis from DENR/PHIVOLCS/PAGASA or any equivalent body</li> </ul>	<p>Include in overall cost of subproject</p>	<p>LGU/FCA/FC A Cluster</p>



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>and its structures.</p>	<p>liquefaction, storm surge, tsunami, earthquakes, etc.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Secure clearance from DENR/PHIVOLCS/PAGASA or any equivalent body if in a disaster or hazard prone area</li> <li><input type="checkbox"/> Design structures in accordance with the standards of the National Building Code and Structural Code of the Philippines</li> <li><input type="checkbox"/> Adopt climate resilient measures: _____</li> <li><input type="checkbox"/> Adopt climate mitigation measures: _____</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Clearance from DENR/PHIVOLCS/PAGASA or any equivalent body</li> </ul>		
<p>2. Presence of IP/ICC in the influence area</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct FPIC</li> <li><input type="checkbox"/> Prepare and implement IP Plan</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Document of FPIC among IP communities</li> <li><input type="checkbox"/> Evidence of IP</li> </ul>	<p>Include cost of FPIC, consultations,</p>	<p>LGU/FCA/FCA Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<ul style="list-style-type: none"> <li><input type="checkbox"/> The site is inside an ancestral domain (AD) or will traverse an AD</li> <li><input type="checkbox"/> The site is not inside an AD nor will it traverse an AD but there are IP/ICC in the area.</li> <li><input type="checkbox"/> The site is not in an AD and that there are no IP/ICC in the area as per LGU records and onsite validation.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Secure certification from the Tribal Chieftain expressing support to the subproject.</li> </ul>	<ul style="list-style-type: none"> <li>community support (resolution, endorsement letter, etc.)</li> <li><input type="checkbox"/> Certificate of Pre-condition from NCIP</li> <li><input type="checkbox"/> Certificate of Non-Overlap from NCIP</li> <li><input type="checkbox"/> Approved IP Plan</li> </ul>	<ul style="list-style-type: none"> <li>and other mitigation and monitoring parameters in overall subproject cost.</li> </ul>	
<ul style="list-style-type: none"> <li>7. cutting of trees</li> <li><input type="checkbox"/> Coconut trees</li> <li><input type="checkbox"/> Fruit-bearing trees</li> <li><input type="checkbox"/> Timber Trees</li> <li><input type="checkbox"/> Planted Trees</li> <li><input type="checkbox"/> Naturally growing trees</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Avoid tree cutting to the extent possible.</li> <li><input type="checkbox"/> Conserve affected trees through earth balling, transfer and replanting</li> <li><input type="checkbox"/> Implement tree replacement and replanting in</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Tree Cutting Permit</li> <li><input type="checkbox"/> Tree Earth balling Permit</li> <li><input type="checkbox"/> PCA Permit (for coconut trees)</li> <li><input type="checkbox"/> Signed Compensation Agreement with owner/s of tree(s)</li> <li><input type="checkbox"/> Waiver of Rights / Quit</li> </ul>	<ul style="list-style-type: none"> <li>Include in overall subproject cost</li> </ul>	<ul style="list-style-type: none"> <li>LGU/FCA/FC A Cluster</li> </ul>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>accordance with DENR requirements</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct consultation with PAPs and secure permission from owner</li> <li><input type="checkbox"/> Secure Tree Cutting Permit prior to start of works</li> <li><input type="checkbox"/> Secure Tree Earth balling Permit prior to start of works.</li> </ul>	<p>Claim (if trees in private land will be donated; refer to Form L1)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Proof of Compensation (for affected trees in private land)</li> <li><input type="checkbox"/> Tree Replacement Plan</li> </ul>		
8. Competition with community in use of electricity	<ul style="list-style-type: none"> <li><input type="checkbox"/> Integrate energy efficiency measures such as utilization of renewable energy (solar, wind, etc.) Specify: _____</li> <li><input type="checkbox"/> Identification of an alternative source of electricity</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> POW/DED incorporating energy efficiency and conservation plan</li> </ul>	Include in overall subproject cost	FCA/FCA Cluster
9. Generation of air pollution <input type="checkbox"/> from operation of milling and	<ul style="list-style-type: none"> <li><input type="checkbox"/> Integrate air pollution control in pollution sources</li> <li><input type="checkbox"/> Include in the O&amp;M</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Operations Manual incorporating cleaner production, waste minimization, and air</li> </ul>	Include in overall subproject cost	FCA/FCA Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>drying equipment and storage facilities</p> <ul style="list-style-type: none"> <li>□ from generators, boilers, and other air pollution source installations</li> </ul>	<p>Plan the monitoring of air emission from stationary sources of air pollution</p> <ul style="list-style-type: none"> <li>□ Integrate cleaner production and good housekeeping practices to manage particulates</li> </ul>	<p>pollution control measures</p> <ul style="list-style-type: none"> <li>□ Operations and Maintenance Plan incorporating monitoring of the air emission quality</li> </ul>		
<p>10. Generation of wastes from facilities</p> <ul style="list-style-type: none"> <li>□ Solid organic wastes and by-products (plant/crop residues, etc.)</li> <li>□ Non-biodegradable wastes (empty containers, packaging materials, etc.)</li> <li>□ Hazardous wastes (busted lamps, waste electronic)</li> </ul>	<ul style="list-style-type: none"> <li>□ Integrate cleaner production and good housekeeping procedures</li> <li>□ Integrate waste management procedures for waste minimization, segregation and proper disposal</li> <li>□ Commission the services of third-party hazardous waste transporter and treater with licensed from DENR</li> </ul>	<ul style="list-style-type: none"> <li>□ Operations Manual incorporating waste management procedure</li> <li>□ Operations and Maintenance Plan incorporating food safety procedures, veterinary inspection, monitoring of the waste management measures</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
equipment, batteries, oily rags, etc.)				
<b>B. Construction Phase</b>				
<p>11. Soil erosion from excavation, washing of construction equipment and stockpiles of materials</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Activities will necessitate earthmoving from excavation activities</li> <li><input type="checkbox"/> Washing of construction vehicles including cement mixers may occur at the site and cause soil and cement runoff.</li> <li><input type="checkbox"/> Stockpiles of materials may cause sediment</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct excavation and earthmoving during dry months</li> <li><input type="checkbox"/> Locate stockpile of soil, aggregates and sand away from drainage canals and waterways</li> <li><input type="checkbox"/> Install silt traps, sedimentation ponds, and other sediment control measures</li> <li><input type="checkbox"/> Prohibit washing of cement mixers and other construction vehicles at the site</li> <li><input type="checkbox"/> Conduct daily cleaning and sweeping of the construction site and periodically remove soils, stones, and wastes from gutters,</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> MOA with private landowner for the disposal of excess soil</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
runoff.	drainage canals and ditches <input type="checkbox"/> During rain events, check the drainage system to see if these are blocked. Remove blocked materials. <input type="checkbox"/> Hauling of excess excavated soil/incompatible soil for filling to designated disposal location in compliance			
12. Contamination of surface water and groundwater with oil/grease	<input type="checkbox"/> Proper handling and disposal of waste oil, grease, diesel and gasoline <input type="checkbox"/> Preparation of hazardous waste management procedure <input type="checkbox"/> Conduct of training on oil spill response	<input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract <input type="checkbox"/> Waste Management Procedure as part of the ESA and Contractor's ESMP <input type="checkbox"/> Approved Construction Safety and Health	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
		Program (CSHP) by DOLE		
13. Dust from construction activities, materials stockpiles, and movement of construction vehicles	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct watering and dust abatement measures during dry and windy conditions</li> <li><input type="checkbox"/> Require workers to wear particle mask</li> <li><input type="checkbox"/> Keep stockpile of aggregate and sand materials covered with well-fixed plastic sheeting, tarpaulins or other geotextiles to avoid suspension or dispersal of fine soil particles during dry and windy days.</li> <li><input type="checkbox"/> Equip concrete mixing equipment with dust shrouds.</li> <li><input type="checkbox"/> Periodically clean-up debris at the work site.</li> <li><input type="checkbox"/> Prohibit idling of construction vehicles while unloading materials at the site.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Impose speed limit on construction vehicles particularly when passing communities, residential or commercial areas or sensitive areas</li> </ul>			
<p>14. Noise and vibration from construction activities and movement of materials</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Subproject is located near community areas with sensitive receptors such as schools, hospitals, and residential areas.</li> <li><input type="checkbox"/> Subproject will require concrete chipping and drilling activities.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Barricade the construction area and shield sensitive receptors.</li> <li><input type="checkbox"/> Implement construction activities in consideration to time, duration, and scale to optimize the use of construction equipment, machineries, and vehicles in accordance with the noise emission standard.</li> <li><input type="checkbox"/> Strictly prohibit concrete chipping and drilling activities beyond 8:00PM</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH)</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>particularly in areas near sensitive receptors and residential areas.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Deliver fabricated steel plates and cut/bend reinforcing steel to desired size to minimize cutting activities onsite.</li> <li><input type="checkbox"/> Require workers to wear ear plugs.</li> <li><input type="checkbox"/> Strictly control construction activities close to historical/archaeological sites, if any.</li> </ul>			
<p>15. Generation of construction wastes</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Biodegradable wastes (e.g. food wastes)</li> <li><input type="checkbox"/> Non-biodegradable wastes (e.g. debris, concrete / soil debris,</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement waste segregation and provide separate waste bins for biodegradable and non-biodegradable wastes</li> <li><input type="checkbox"/> Designate an area for recyclable materials such as metal, wires, etc.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>wood chips)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Recyclable wastes (rebars, wires, nails, etc.)</li> <li><input type="checkbox"/> Hazardous wastes (empty containers of paints and solvents, resins, adhesives and degreasers, oily rags, busted lamps, spent welding electrode sticks/rods, discarded batteries, etc.)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Coordinate with the LGU on the regular collection of biodegradable and non-biodegradable wastes.</li> <li><input type="checkbox"/> Coordinate with waste recycler for the disposal of recyclable materials</li> <li><input type="checkbox"/> Commission the services of third-party hazardous waste transporter and treater with license from DENR in the collection and treatment of hazardous wastes.</li> <li><input type="checkbox"/> Prohibit burning of wastes.</li> <li><input type="checkbox"/> Provision of secondary containment for all hazardous wastes</li> </ul>			
<p>16. Sanitation and domestic sewage from</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide clean water and hand-washing</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's</li> </ul>	<p>Cost of mitigation measures to be</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>construction camp</p>	<p>facilities at the construction camp</p> <ul style="list-style-type: none"> <li>□ Provide temporary toilet facilities with septic tanks; Locate temporary septic tank more than 25 meters from an existing water supply well or surface water body</li> <li>□ Provide portable toilets (portalets); ensure contents of portalets are regularly collected by the third party portalet provider for safe offsite treatment and disposal.</li> <li>□ Ensure that the third-party portalet provider has a Discharge Permit from DENR.</li> </ul>	<p>Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</p> <ul style="list-style-type: none"> <li>□ Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	<p>shouldered by the contractor</p>	
<p>17. Traffic congestion caused by side street parking of</p>	<ul style="list-style-type: none"> <li>□ Prohibit prolonged side street parking of construction vehicles</li> </ul>	<ul style="list-style-type: none"> <li>□ Include mitigation measures in Contractor's Environmental and</li> </ul>	<p>Cost of mitigation measures to be</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>construction vehicles</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Assign flag persons to direct flow of vehicles</li> <li><input type="checkbox"/> Coordinate with local government and communities about schedule of movement of construction vehicles</li> <li><input type="checkbox"/> Provision of alternate route</li> </ul>	<p>Social Management Plan (CESMP) and in DED/POW and Contract</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH)</li> </ul>	<p>shouldered by the contractor</p>	
<p>18. Road accidents during construction</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Movement of materials delivery trucks</li> <li><input type="checkbox"/> Open excavations and trenches</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement speed control for delivery trucks</li> <li><input type="checkbox"/> Install warning signages in open excavations and trenches</li> <li><input type="checkbox"/> Provide barricades and lighting at night in construction sites with open excavations</li> <li><input type="checkbox"/> Prohibit entry of unauthorized persons at the construction site</li> <li><input type="checkbox"/> Orient drivers on precautionary</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Safety and Health (COSH)</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>measures when passing through community areas and times of day to reduce risk of accidents</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Observe extra caution when passing through dangerous routes</li> <li><input type="checkbox"/> Implement limits for trip duration and arranging driver rosters to avoid overtiredness of drivers.</li> <li><input type="checkbox"/> Regular maintenance of vehicles to minimize serious accidents caused by vehicle malfunction.</li> <li><input type="checkbox"/> Provision of sufficient lighting system</li> </ul>			
19. Potential damage to existing road due to hauling of materials and	<ul style="list-style-type: none"> <li><input type="checkbox"/> Restoration and repair of existing road by the contractor</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management</li> </ul>	Cost of mitigation measures to be	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
movement of construction vehicles		Plan (CESMP) and in DED/POW and Contract <input type="checkbox"/> Guidelines on Community and Occupational Safety and Health (COSH) <input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE	shouldered by the contractor	
20. Occupational health and safety risks and hazards <input type="checkbox"/> Use of hazardous materials and chemicals <input type="checkbox"/> Hazardous working conditions such as trenches, excavations, working in heights or in confined spaces <input type="checkbox"/> Extended working hours <input type="checkbox"/> Exposure of	<input type="checkbox"/> Implement an Occupational Safety and Health (OSH) Plan in compliance with the DOLE OSH guidelines. <input type="checkbox"/> Designate an onsite Safety Officer duly accredited by DOLE. <input type="checkbox"/> Establishment of GRM for workers <input type="checkbox"/> Require workers to wear safety gadgets/PPEs such as hard hats, gloves, safety belts, rubber boots, and goggles,	<input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract <input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH) <input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE <input type="checkbox"/> LMP and Code of Conduct	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
workers to communicable diseases (e.g. COVID19)	appropriate to the task. <input type="checkbox"/> Post safety signs/reminders in strategic areas within the construction area. <input type="checkbox"/> Provide sufficient lighting at night. <input type="checkbox"/> Provide barricades / safety barriers particularly at excavations and stockpiles of aggregates. <input type="checkbox"/> Provide first-aid kit at the construction site to ensure immediate medical attention in case of accidents. <input type="checkbox"/> Comply with the COVID-19 health and safety guidelines of the Government.			
21. Labor disputes over terms and conditions of employment	<input type="checkbox"/> Priority hiring of qualified local residents	<input type="checkbox"/> Functioning GRM for workers <input type="checkbox"/> LMP and code of conduct	Cost of mitigation measures to be	LGU PSO/RPCO

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Set-up a grievance redress mechanism for workers including GRM posters, GRM drop boxes at project site, barangay halls, municipal halls, provincial halls</li> <li><input type="checkbox"/> Assign a Grievance Point Person</li> <li><input type="checkbox"/> Construction will provide local employment opportunities with standard salary wage based on RTWPB approved wage rates.</li> </ul>		shouldered by the contractor	Contractor
<p>22. Community health and safety risks and hazards</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Noise nuisance</li> <li><input type="checkbox"/> Airborne dust</li> <li><input type="checkbox"/> Unsecured construction site</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide fence or barricade around construction site</li> <li><input type="checkbox"/> Conduct consultations with neighboring communities and Barangay about the project and the schedule of works.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Safety and Health (COSH)</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Schedule noisy works during daytime in sites near sensitive receptors</li> <li><input type="checkbox"/> Watering of areas prone to airborne dust during dry season</li> <li><input type="checkbox"/> Install warning signs.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>		
<p>23. Impacts of labor influx such as:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Exposure of community to communicable diseases (e.g. COVID19) and sexually transmitted diseases (HIV/AIDS)</li> <li><input type="checkbox"/> Misconduct of workers causing tension and peace and order issues in the community due to differences in</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct orientation of workers on proper behavior and community values, cultural traditions and practices</li> <li><input type="checkbox"/> Orientation of workers on prevention of COVID-19, HIV/AIDS and other communicable diseases</li> <li><input type="checkbox"/> Prohibit use of dangerous drugs, smoking, and alcohol consumption</li> <li><input type="checkbox"/> Give priority to qualified local</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Safety and Health Plans</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
traditions, culture, religion, ethnicity <input type="checkbox"/> Increased criminality in the area <input type="checkbox"/> Gender-Based Violence (GBV) Sexual Exploitation and Abuse and Sexual harassment (SEA/SH)	laborers in hiring construction workers <input type="checkbox"/> Establishment of a GRM for workers that is GBV SEA/SH Sensitive			
24. Waste generation <input type="checkbox"/> During cultivation (e.g. empty containers of agro-chemicals) <input type="checkbox"/> during post-harvest (e.g. decomposing plant fibers, discarded parts of plants)	<input type="checkbox"/> Composting of plant waste to produce organic fertilizers <input type="checkbox"/> Consider use of plant fibers as animal feed <input type="checkbox"/> Use plant fibers and wastes as soil additives/enhancers <input type="checkbox"/> Prohibit burning of wastes	<input type="checkbox"/> Monitoring reports	Include in overall subproject cost	FCA/FCA Cluster
25. Impacts on cultural	<input type="checkbox"/> Implement chance find procedure in	<input type="checkbox"/> Cultural Heritage Management Plan	Cost of mitigation	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
properties	<p>accordance with the requirements of the National Cultural Heritage Act (2009) and Cultural Properties Preservation and Protection Act</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Immediately suspend any activities upon discovery of chance find and report to the LGU and RPCO SES focal person</li> </ul>		measures to be shouldered by the contractor	
26. Security and conflict risk	<ul style="list-style-type: none"> <li><input type="checkbox"/> Social preparation and meaningful consultations</li> <li><input type="checkbox"/> Proper coordination with relevant authorities</li> <li><input type="checkbox"/> LGUs mandated to ensure and maintain peace and order within their respective areas are to formulate and implement their POPS Plans as per</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Local Government Unit's (LGUs) Peace and Order and Public Safety Plan (POPS) Plan</li> </ul>	Cost of mitigation measures to be shouldered by the LGU	Local Government Unit (LGU)

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>DILG Memorandum Circular No. 2022-118 Guidelines on the Development and Formulation of the Peace and Order and Public Safety Plan (POPS-PLAN) 2023-2025 dated September 19, 2022. POPS Plan should be updated accordingly</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> evacuation plan in case of insurgency or conflicts as part of POPS Plan</li> </ul>			
<b>C. Operation Phase</b>				
<p>27. Generation of air pollution</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> From operation of milling and drying equipment</li> <li><input type="checkbox"/> from operation of generators, boilers, and other air pollution source</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Monitoring of air emission from stationary sources of air pollution</li> <li><input type="checkbox"/> Implementation of cleaner production and good housekeeping practices</li> <li><input type="checkbox"/> Secure Permit to Operate air pollution</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Monitoring reports indicating results of implementation of cleaner production, waste minimization, and air pollution control measures</li> <li><input type="checkbox"/> Monitoring report of the air emission quality from stationary sources</li> <li><input type="checkbox"/> Permit to Operate for</li> </ul>	<p>Include in overall subproject cost</p>	<p>FCA/FCA Cluster</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
installations	source installations from DENR/MENRE <input type="checkbox"/> Provision of vegetation buffer areas	air pollution source installations issued by DENR/MENRE		
28. Generation of wastes from processing plant <input type="checkbox"/> Solid organic wastes and byproducts (plant/crop residues, etc.) <input type="checkbox"/> Non-biodegradable wastes (empty containers, packaging materials, etc.) <input type="checkbox"/> Hazardous wastes (busted lamps, waste electronic equipment, batteries, oily rags, etc.)	<input type="checkbox"/> Implement waste management procedure including waste minimization, segregation and proper disposal <input type="checkbox"/> Commission the services of third-party hazardous waste transporter and treater with licensed from DENR <input type="checkbox"/> Secure Hazardous Waste Generator ID from DENR/MENRE <input type="checkbox"/> Provision of secondary containment for liquid and hazardous wastes	<input type="checkbox"/> Monitoring report indicating the implementation of waste management and resource efficiency measures <input type="checkbox"/> Hazardous Waste Generator ID <input type="checkbox"/> Waste Management Procedure	Include in overall subproject cost	FCA/FCA Cluster

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>29. Occupational health and safety risks and hazards</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Noise</li> <li><input type="checkbox"/> Equipment malfunction</li> <li><input type="checkbox"/> Hazardous working conditions such as extreme temperature</li> <li><input type="checkbox"/> Extended working hours</li> <li><input type="checkbox"/> Exposure of workers to communicable diseases (e.g. COVID19)</li> <li><input type="checkbox"/> Gender-Based Violence (GBV) Sexual Exploitation and Abuse and Sexual harassment (SEA/SH)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provision of appropriate PPE for workers</li> <li><input type="checkbox"/> Assign a Safety Officer</li> <li><input type="checkbox"/> Assign a Pollution Control Officer</li> <li><input type="checkbox"/> Provide medical services/first-aid kit at the site to ensure immediate medical attention in case of accidents.</li> <li><input type="checkbox"/> FCA/FCA clusters shall comply with government health protocols in deployment of workers and continuation of production activities in line with the COSH</li> <li><input type="checkbox"/> Establishment of a GRM for workers that is GBV SEA/SH Sensitive</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH)</li> <li><input type="checkbox"/> Monitoring reports</li> <li><input type="checkbox"/> LMP and Code of Conduct</li> </ul>	<p>Include in overall subproject cost</p>	<p>FAC/FCA Cluster</p>
<p>30. Conflict between members of the</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct consultations with</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Operation and Management Plan</li> </ul>	<p>Cost of mitigation</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>FCA/FCA clusters</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Unclear policy on project beneficiary prioritization</li> <li><input type="checkbox"/> Unclear policy on project implementation</li> <li><input type="checkbox"/> Labor disputes over terms and conditions of employment</li> </ul>	<p>members of the FCA/FCA clusters</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Establish the grievance redress mechanism (GRM) including GRM posters, GRM drop boxes within subproject facilities</li> <li><input type="checkbox"/> Assign a GRM focal/point person</li> <li><input type="checkbox"/> Subproject will provide local employment opportunities with standard salary wage based on RTWPB approved wage rates.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Appointment of LGU and PSO/RPCO Grievance Point Person/Grievance Officer</li> <li><input type="checkbox"/> Monitoring Reports</li> </ul>	<p>measures to be shouldered by the contractor</p>	

Prepared by: \_\_\_\_\_

Conforme: \_\_\_\_\_  
PPMIU/MPMIU Head

**Noted by the local community:**  
\_\_\_\_\_

Barangay Captain



**Annex 20- Environmental and Social Management Plan (ESMP) Template for Cold Storage, Warehouses, Greenhouses, Trading and Market Centers**

**Guidance Notes:**

*This template is designed to manage the environmental and social risks and impacts of cold storage, warehouses, greenhouses, trading and market centers. The cold storage warehouse are designed as freezer warehouse to keep food products at constant temperature to ensure no risk of damage or alteration of integrity. Warehouses are designed as building facilities with shelving and racking systems for storage of crops and agricultural products. Greenhouses are made of transparent material wherein plants grow under regulated climatic conditions. Trading and market centers areas where agricultural products are consolidation, trading, and auctioning happens. These infrastructures are part of the value chain rural infrastructures and enterprises under I-REAP that is implemented by the proponent local government unit together with Farmer/Fisherfolks Cooperatives (FCs)/Farmer/Fisherfolk Cooperative Association (FCA) clusters. Below are characteristics of these subprojects:*

Commodity	Description
Multi-commodity	<input type="checkbox"/> Food supply hubs <ul style="list-style-type: none"> <li>○ Consolidation, trading posts/centers and food terminals with cold or dry storage facilities</li> </ul> <input type="checkbox"/> Multi-commodity cold storage/cold chain facilities
Crops	<input type="checkbox"/> Trading centers/posts with climate resilient design <input type="checkbox"/> Climate-smart or automated greenhouses
Fisheries	<input type="checkbox"/> Fish trading centers with pre-processing and cold storage facilities

The ESMP is prepared following the results of the SES screening in Annex C and the Environmental and Social Assessment (ESA) in the business plan. The ESMP sets out specific plans, including budgets, organization arrangements and responsibilities for social and environmental impact management during project implementation. The ESMP should be specific in its description of the individual mitigation and monitoring measures and the assignment responsibilities to address identified risks and impacts of the subproject. The ESMP contains subplans on protection and conservation of ecosystem, waste management, pollution control, occupational safety and health, and monitoring and reporting plan.

**2. Site and Design Considerations**

[Do not proceed with the subproject preparation including this ESMP unless all items below are confirmed.]

1. The subproject does not encroach into or traverse any declared strict protection zone of protected area or natural habitat (e.g. primary forest, critical wetlands, endangered species habitat, key biodiversity areas).
2. The subproject will not displace, disfigure or render inoperable/inaccessible any monument or physical structure of known cultural and historical significance.
3. The subproject is not located in an area that is high to extreme risk zones around active volcanoes.

## **B. Environmental Issues and Mitigation Measures**

The issues identified in the ESMP template are based on frequently associated issues in water pollution, use of ozone-repleting substances (ODS) in refrigeration systems, food safety, waste generation, water and energy resource efficiency, odor, construction-related issues, worker and community health and safety. Any new environmental and social impacts that will be identified from the SES screening and environmental and social impact assessment will be added in the ESMP together with the appropriate mitigation measures, monitoring indicators, cost, and responsible unit.

**TEMPLATE OF ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN FOR COLD STORAGE, WAREHOUSES, GREENHOUSES, TRADING AND MARKET CENTERS**

Name of Subproject: \_\_\_\_\_ Location: \_\_\_\_\_  
 Implementing LGU: \_\_\_\_\_ FCA/FCA Cluster: \_\_\_\_\_ Contact No.: \_\_\_\_\_

Type of Infrastructure/Enterprise:  Cold Storage  Warehouse  Greenhouse  Trading and Market Center

New or Expansion?  New  Expansion:

Utility Requirement: Water: \_\_\_\_\_ m<sup>3</sup> Source of Water: \_\_\_\_\_

Electricity: \_\_\_\_\_ kWH Source of Electricity: \_\_\_\_\_

Back-up Power Supply (capacity): \_\_\_\_\_

Estimated Number of Beneficiaries (gender disaggregate): \_\_\_\_\_

Estimated Number of IP Beneficiaries (gender disaggregate): \_\_\_\_\_

Estimated Total Cost: \_\_\_\_\_

***Check whichever is applicable to the subproject:***

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<b>A. Feasibility Study / Business Planning</b>				

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p><input type="checkbox"/> Land conversion/inconsistency with approved land use plan of the city/municipality</p> <p>Current land use within 1 km radius (as per zoning ordinance)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Residential</li> <li><input type="checkbox"/> Commercial</li> <li><input type="checkbox"/> Institutional</li> <li><input type="checkbox"/> Industrial</li> <li><input type="checkbox"/> Agricultural</li> <li><input type="checkbox"/> Recreational</li> <li><input type="checkbox"/> Protected area</li> <li><input type="checkbox"/> Others: _____</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure consistency with land use plan of municipality/city</li> <li><input type="checkbox"/> Secure proof of land use compatibility from municipality/city</li> <li><input type="checkbox"/> Acquisition of DAR Conversion Order</li> <li><input type="checkbox"/> LGU Reclassification</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Zoning Clearance</li> <li><input type="checkbox"/> Locational Clearance</li> <li><input type="checkbox"/> SB Resolution on Reclassification</li> <li><input type="checkbox"/> DAR Conversion Order</li> </ul>	<p>Include in overall cost of subproject</p>	<p>LGU</p> <p>FCA/FCA cluser</p>
<p>B. The subproject will encroach on buffer</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Secure PAMB Resolution</li> <li><input type="checkbox"/> Secure PAMB Clearance</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> PAMB Resolution</li> <li><input type="checkbox"/> PAMB Clearance</li> <li><input type="checkbox"/> SAPA</li> <li><input type="checkbox"/> Biodiversity</li> </ul>	<p>All costs attendant to implementing the mitigation</p>	<p>LGU</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>zone of declared protected area.</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Prepare the Comprehensive Development and Management Plan and Rehabilitation Plan as required by the Special Use Agreement in Protected Area (SAPA) application.</li> <li><input type="checkbox"/> Prepare an Ordinance on Management and Protection</li> </ul>	<p>Management Plan</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Ordinance on Protection and Management</li> </ul>	<p>measures will be included in the overall subproject cost</p>	
<p>C. The subproject will traverse/encroach on:</p> <ul style="list-style-type: none"> <li>o mangrove forest</li> <li>o ecologically significant surface water, marshland</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Prohibit cutting of mangrove forest</li> <li><input type="checkbox"/> Design vegetated buffer zones and habitat corridors</li> <li><input type="checkbox"/> Maintain at least 50-meter buffer between site and the open sea for coastal protection</li> <li><input type="checkbox"/> Study on the aquatic fresh/marine environment and geotechnical study</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> DED/POW includes the mitigation measures</li> <li><input type="checkbox"/> Water Use Permit from DA/BFAR</li> <li><input type="checkbox"/> Design of vegetated buffer zones</li> <li><input type="checkbox"/> Design of biodiversity restoration, offsets</li> <li><input type="checkbox"/> Biodiversity Management Plan</li> <li><input type="checkbox"/> Ordinance on Protection and Management</li> </ul>	<p>Include in overall cost of subproject</p>	<p>LGU DA/BFAR</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>nds, or wetlands</p> <ul style="list-style-type: none"> <li>○ DA/BFAR's marine protected area</li> </ul>	<ul style="list-style-type: none"> <li>□ Mudflats on coastal areas covered under natural resource management shall be planted with mangrove species</li> <li>□ Include in the subproject, design biodiversity restoration, offsets, or creation of ecologically comparable areas for biodiversity</li> </ul>			
<p>D. Alteration of natural hydrology and water quality of bays/rivers or wetlands</p>	<ul style="list-style-type: none"> <li>□ Consider flooding, rainfall data, storm surges, and high tides in the design of fish landing/feeder port</li> <li>□ Seek assistance of DA/BFAR on models for potential sites based on carrying capacity</li> <li>□ Include in the O&amp;M Plan the conduct of water quality</li> </ul>	<ul style="list-style-type: none"> <li>□ DED/POW includes mitigation measures</li> <li>□ O&amp;M Plan includes monitoring of water quality</li> </ul>	<p>Include in overall cost of subproject</p>	<p>LGU</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	monitoring (e.g. DO, turbidity, temperature, pH)			
<p>E. Presence of natural, geologic and climate hazards in the subproject area that may affect safety and vulnerability of the structures.</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Validate information generated from CRVA, e-VSA and georisk mapping from site-specific information on occurrences of flooding, soil erosion, landslides, liquefaction, storm surge, tsunamis, earthquakes, etc.</li> <li><input type="checkbox"/> Secure clearance from DENR/PHIVOLCS/PAGASA or any equivalent body if in a disaster or hazard prone area</li> <li><input type="checkbox"/> Adopt climate resilient measures: _____</li> <li><input type="checkbox"/> Adopt climate</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> DED/POW that includes the design of climate resilient and climate adaptation/mitigation measures</li> <li><input type="checkbox"/> Hazard analysis from DENR/PHIVOLCS/PAGASA or any equivalent body</li> <li><input type="checkbox"/> Clearance from DENR/PHIVOLCS/PAGASA or any equivalent body</li> </ul>	<p>Include in overall cost of subproject</p>	<p>LGU</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	mitigation measures: _____ _____ _____			
F. Presence of IP/ICC in the influence area <input type="checkbox"/> The site is inside an ancestral domain (AD) or will traverse an AD <input type="checkbox"/> The site is not inside an AD nor will it traverse an AD but there are IP/ICC in the area. <input type="checkbox"/> The site is not in an AD and that there are no IP/ICC in the area as per LGU records and onsite validation.	<input type="checkbox"/> Conduct FPIC <input type="checkbox"/> Prepare and implement IP Plan <input type="checkbox"/> Secure certification from the Tribal Chieftain expressing support to the subproject.	<input type="checkbox"/> Document of FPIC among IP communities <input type="checkbox"/> Evidence of IP community support (resolution, endorsement letter, etc.) <input type="checkbox"/> Certificate of Pre-condition from NCIP <input type="checkbox"/> Certificate of Non-Overlap from NCIP <input type="checkbox"/> Approved IP Plan	Include cost of FPIC, consultations, and other mitigation and monitoring parameters in overall subproject cost.	LGU



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>G. cutting of trees</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Coconut trees</li> <li><input type="checkbox"/> Fruit-bearing trees</li> <li><input type="checkbox"/> Timber Trees</li> <li><input type="checkbox"/> Planted Trees</li> <li><input type="checkbox"/> Naturally growing trees</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Avoid tree cutting to the extent possible.</li> <li><input type="checkbox"/> Conserve affected trees through earth balling, transfer and replanting</li> <li><input type="checkbox"/> Implement tree replacement and replanting in accordance with DENR requirements</li> <li><input type="checkbox"/> Conduct consultation with PAPs and secure permission from owner</li> <li><input type="checkbox"/> Secure Tree Cutting Permit prior to start of works</li> <li><input type="checkbox"/> Secure Tree Earth balling Permit prior to start of works.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Tree Cutting Permit</li> <li><input type="checkbox"/> Tree Earth balling Permit</li> <li><input type="checkbox"/> PCA Permit (for coconut trees)</li> <li><input type="checkbox"/> Signed Compensation Agreement with owner/s of tree(s)</li> <li><input type="checkbox"/> Waiver of Rights / Quit Claim (if trees in private land will be donated; refer to Form L1)</li> <li><input type="checkbox"/> Proof of Compensation (for affected trees in private land)</li> <li><input type="checkbox"/> Tree Replacement Plan</li> </ul>	<p>Include in overall subproject cost</p>	<p>LGU</p>
<p>H. Use of ozone-depleting substances (ODS) in refrigeration</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Prohibit use of refrigerants subject to international bans and phaseouts consistent with the Montreal Protocol</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Operations Manual</li> </ul>	<p>Include in overall subproject cost</p>	<p>LGU</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
system	and Kigali Agreement on ODS			
<b>I. Construction Phase</b>				
<p>J. Soil erosion from construction activities</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Stockpiles of materials may cause sediment runoff.</li> <li><input type="checkbox"/> Earthworks and excavation may cause soil runoff</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct excavation and earthmoving during dry months</li> <li><input type="checkbox"/> Locate stockpile of soil, aggregates and sand away from drainage canals and waterways</li> <li><input type="checkbox"/> Install silt traps, sedimentation ponds, and other sediment control measures</li> <li><input type="checkbox"/> During rain events, check the drainage system to see if these are blocked. Remove blocked materials.</li> <li><input type="checkbox"/> Hauling of excess excavated soil/incompatible soil for filling to designated disposal location in compliance to DPWH</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> MOA with private land owner for the disposal of excess soil</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	DO 168			
K. Contamination of surface water and groundwater with oil/grease	<ul style="list-style-type: none"> <li><input type="checkbox"/> Proper handling and disposal of waste oil, grease, diesel and gasoline</li> <li><input type="checkbox"/> Preparation of hazardous waste management procedure</li> <li><input type="checkbox"/> Conduct of training on oil spill response</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Waste Management Procedure</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor
L. Dust from construction activities, materials stockpiles, and movement of construction vehicles	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct watering and dust abatement measures during dry and windy conditions</li> <li><input type="checkbox"/> Require workers to wear particle mask</li> <li><input type="checkbox"/> Keep stockpile of aggregate and sand materials covered with well-fixed plastic sheeting, tarpaulins or other geotextiles to avoid suspension</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>or dispersal of fine soil particles during dry and windy days.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Equip concrete mixing equipment with dust shrouds.</li> <li><input type="checkbox"/> Periodically clean-up debris at the work site.</li> <li><input type="checkbox"/> Prohibit idling of construction vehicles while unloading materials at the site.</li> <li><input type="checkbox"/> Impose speed limit on construction vehicles particularly when passing communities, residential or commercial areas or sensitive areas</li> </ul>			
<p>M. Generation of construction wastes</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Biodegradable wastes (e.g. food wastes)</li> <li><input type="checkbox"/> Non-</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement waste segregation and provide separate waste bins for biodegradable and non-biodegradable wastes</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>biodegradable wastes (e.g. debris, concrete / soil debris, wood chips)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Recyclable wastes (rebars, wires, nails, etc.)</li> <li><input type="checkbox"/> Hazardous wastes (empty containers of paints and solvents, resins, adhesives and degreasers, oily rags, busted lamps, spent welding electrode sticks/rods, discarded batteries, etc.)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Designate an area for recyclable materials such as metal, wires, etc.</li> <li><input type="checkbox"/> Coordinate with the LGU on the regular collection of biodegradable and non-biodegradable wastes.</li> <li><input type="checkbox"/> Coordinate with waste recycler for the disposal of recyclable materials</li> <li><input type="checkbox"/> Commission the services of third-party hazardous waste transporter and treater with license from DENR in the collection and treatment of hazardous wastes.</li> <li><input type="checkbox"/> Prohibit burning of wastes.</li> <li><input type="checkbox"/> Provision of secondary</li> </ul>			

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	containment for all hazardous wastes			
N. Sanitation and domestic sewage from construction camp	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide clean water and hand-washing facilities at the construction camp</li> <li><input type="checkbox"/> Provide temporary toilet facilities with septic tanks; Locate temporary septic tank more than 25 meters from an existing water supply well or surface water body</li> <li><input type="checkbox"/> Provide portable toilets (portalets); ensure contents of portalets are regularly collected by the third party portalet provider for safe offsite treatment and disposal.</li> <li><input type="checkbox"/> Ensure that the third-party portalet provider has a Discharge Permit from DENR.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
O. Traffic congestion caused by side street parking of construction vehicles	<ul style="list-style-type: none"> <li><input type="checkbox"/> Prohibit prolonged side street parking of construction vehicles</li> <li><input type="checkbox"/> Assign flag persons to direct flow of vehicles</li> <li><input type="checkbox"/> Coordinate with local government and communities about schedule of movement of construction vehicles</li> <li><input type="checkbox"/> Provision of alternate route</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Community and Occupational Health and Safety Plan (COSH)</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor
P. Road accidents during construction	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement speed control for delivery trucks</li> <li><input type="checkbox"/> Install warning signages</li> <li><input type="checkbox"/> Provide barricades and lighting at night in construction sites</li> <li><input type="checkbox"/> Prohibit entry of unauthorized persons at the construction site</li> <li><input type="checkbox"/> Orient drivers on precautionary measures when</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Safety and Health (COSH)</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>passing through community areas and times of day to reduce risk of accidents</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Observe extra caution when passing through dangerous routes</li> <li><input type="checkbox"/> Implement limits for trip duration and arranging driver rosters to avoid overtiredness of drivers.</li> <li><input type="checkbox"/> Regular maintenance of vehicles to minimize serious accidents caused by vehicle malfunction.</li> <li><input type="checkbox"/> Provision of sufficient lighting system</li> </ul>	DOLE		
Q. Potential damage to existing road due to hauling of materials	<ul style="list-style-type: none"> <li><input type="checkbox"/> Restoration and repair of existing road by the contractor</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	Contractor



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>and movement of construction vehicles</p>		<p>DED/POW and Contract</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Guidelines on Community and Occupational Safety and Health (COSH)</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>		
<p>R. Occupational health and safety risks and hazards</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Hazardous working conditions such as trenches, excavations, electrical/mechanical works</li> <li><input type="checkbox"/> Extended working hours</li> <li><input type="checkbox"/> Exposure of workers to communicable diseases (e.g. COVID19)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement an Occupational Safety and Health (OSH) Plan in compliance with the DOLE OSH guidelines.</li> <li><input type="checkbox"/> Designate an onsite Safety Officer duly accredited by DOLE.</li> <li><input type="checkbox"/> Establishment of GRM for workers</li> <li><input type="checkbox"/> Require workers to wear safety gadgets/PPEs such as hard hats, gloves, safety belts, rubber boots, and goggles, appropriate to the task.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH)</li> <li><input type="checkbox"/> approved CHSP by DOLE</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> <li><input type="checkbox"/> LMP and Code of Conduct</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Post safety signs/reminders in strategic areas within the construction area.</li> <li><input type="checkbox"/> Provide sufficient lighting at night.</li> <li><input type="checkbox"/> Provide barricades / safety barriers particularly at excavations and stockpiles of aggregates.</li> <li><input type="checkbox"/> Provide first-aid kit at the construction site to ensure immediate medical attention in case of accidents.</li> <li><input type="checkbox"/> Comply with the COVID-19 health and safety guidelines of the Government.</li> </ul>			
S. Labor disputes over terms and conditions of employment	<ul style="list-style-type: none"> <li><input type="checkbox"/> Priority hiring of qualified local residents</li> <li><input type="checkbox"/> Set-up a grievance redress mechanism for workers including</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Functioning GRM for workers</li> <li><input type="checkbox"/> LMP and code of conduct</li> </ul>	Cost of mitigation measures to be shouldered by the contractor	LGU PSO/RPCO Contractor

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<p>GRM posters, GRM drop boxes at project site, barangay halls, municipal halls, provincial halls</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Assign a Grievance Point Person</li> <li><input type="checkbox"/> Construction will provide local employment opportunities with standard salary wage based on RTWPB approved wage rates.</li> </ul>			
<p>T. Community health and safety risks and hazards</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Noise nuisance</li> <li><input type="checkbox"/> Airborne dust</li> <li><input type="checkbox"/> Unsecured construction site</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide fence or barricade around construction site</li> <li><input type="checkbox"/> Conduct consultations with neighboring communities and Barangay about the project and the schedule of works.</li> <li><input type="checkbox"/> Schedule noisy works during daytime in sites near sensitive receptors</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Safety and Health (COSH)</li> <li><input type="checkbox"/> Approved Construction Safety and Health</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Watering of areas prone to airborne dust during dry season</li> <li><input type="checkbox"/> Install warning signs.</li> </ul>	<p>Program (CSHP) by DOLE</p>		
<p>U. Impacts of labor influx such as:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Exposure of community to communicable diseases (e.g. COVID19) and sexually transmitted diseases (HIV/AIDS)</li> <li><input type="checkbox"/> Misconduct of workers causing tension and peace and order issues in the community due to differences in traditions, culture, religion, ethnicity</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct orientation of workers on proper behavior and community values, cultural traditions and practices</li> <li><input type="checkbox"/> Orientation of workers on prevention of COVID-19, HIV/AIDS and other communicable diseases</li> <li><input type="checkbox"/> Prohibit use of dangerous drugs, smoking, and alcohol consumption</li> <li><input type="checkbox"/> Give priority to qualified local laborers in hiring construction workers</li> <li><input type="checkbox"/> Establishment of a GRM for workers that</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Include mitigation measures in Contractor's Environmental and Social Management Plan (CESMP) and in DED/POW and Contract</li> <li><input type="checkbox"/> Guidelines on Community and Occupational Safety and Health (COSH)</li> <li><input type="checkbox"/> GRM records</li> <li><input type="checkbox"/> Approved Construction Safety and Health Program (CSHP) by DOLE</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<ul style="list-style-type: none"> <li><input type="checkbox"/> Increased criminality in the area</li> <li><input type="checkbox"/> Gender-Based Violence (GBV) Sexual Exploitation and Abuse and Sexual harassment (SEA/SH)</li> </ul>	<p>is GBV SEA/SH Sensitive</p>			
<p>V. Impacts on cultural properties</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement chance find procedure in accordance with the requirements of the National Cultural Heritage Act (2009) and Cultural Properties Preservation and Protection Act</li> <li><input type="checkbox"/> Immediately suspend any activities upon discovery of chance find and report to the LGU and RPCO SES focal person</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Cultural Heritage Management Plan</li> <li><input type="checkbox"/> Chance Find Procedure</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	<p>Contractor</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>1. Security and conflict risk</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Social preparation and meaningful consultations</li> <li><input type="checkbox"/> Proper coordination with relevant authorities</li> <li><input type="checkbox"/> LGUs mandated to ensure and maintain peace and order within their respective areas are to formulate and implement their POPS Plans as per DILG Memorandum Circular No. 2022-118 Guidelines on the Development and Formulation of the Peace and Order and Public Safety Plan (POPS-PLAN) 2023-2025 dated September 19, 2022. POPS Plan should be updated accordingly</li> <li><input type="checkbox"/> evacuation plan in case of insurgency or</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Local Government Unit's (LGUs) Peace and Order and Public Safety Plan (POPS) Plan</li> </ul>	<p>Cost of mitigation measures to be shouldered by the LGU</p>	<p>Local Government Unit (LGU)</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
	conflicts as part of POPS Plan			
<b>W. Operation Phase</b>				
2. Food safety in processing, preservation, packaging, labelling	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure compliance with food safety and quality standards of the Bureau of Agriculture and Fisheries Standards (BAFPS)</li> <li><input type="checkbox"/> Apply HACCP as well as standard procedures on sanitation, Good Manufacturing Practice (GMP, pest control, chemical control, allergen control</li> <li><input type="checkbox"/> Secure Food Safety Clearance</li> <li><input type="checkbox"/> FDA</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Food Safety Clearance</li> </ul>	Include in overall subproject cost	LGU
3. Generation of wastewater from washing of fish and market/trading	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provision of a wastewater treatment facility that will meet the Effluent Standards of DENR</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> O&amp;M Plan</li> <li><input type="checkbox"/> Monitoring reports</li> </ul>	Include in overall subproject cost	LGU

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
stalls that could cause water pollution in the receiving water body	<ul style="list-style-type: none"> <li><input type="checkbox"/> Monitor quality of effluent discharge to ensure compliance with the standards</li> <li><input type="checkbox"/> Monitor water quality of water body. in coordination with DA/BFAR</li> <li><input type="checkbox"/> Re-use of treated wastewater to applicable uses</li> </ul>			
<p>4. Generation of odor</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> From discarded marine products, crops, and other agri-fishery residues</li> <li><input type="checkbox"/> Decomposing marine products, crops and other agri-fishery residues</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Properly dispose the rejected yields to avoid decomposition and pungent odor and prevent proliferation of rodents, flies</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> O&amp;M Plan</li> <li><input type="checkbox"/> Monitoring reports</li> </ul>	Include in overall subproject cost	LGU
<p>5. Generation of wastes from facilities</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Solid organic</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Integrate waste management procedure with procedures for waste</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> POW/DED incorporating waste management procedure</li> </ul>	Include in overall subproject cost	LGU



Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>wastes and by-products (discarded marine products, crops and other agri-fishery residues)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Non-biodegradable wastes (empty containers, plastics, packaging materials, etc.)</li> <li><input type="checkbox"/> Hazardous wastes (busted lamps, waste electronic equipment, batteries, oily rags, etc.)</li> </ul>	<p>minimization, segregation and proper disposal</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure regular collection of solid wastes</li> <li><input type="checkbox"/> Prohibit open burning of waste materials</li> <li><input type="checkbox"/> Commission the services of third-party hazardous waste transporter and treater with licensed from DENR</li> <li><input type="checkbox"/> Provision of secondary containment for all hazardous wastes</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Operations and Maintenance Plan incorporating food safety procedures, veterinary inspection, HACCP, monitoring of the waste management measures</li> </ul>		
<p>6. Occupational health and safety risks and hazards</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Hazardous working</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provision of appropriate PPE for workers</li> <li><input type="checkbox"/> Assign a Safety Officer</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Guidelines on Community and Occupational Health and Safety (COSH)</li> <li><input type="checkbox"/> Monitoring reports</li> </ul>	<p>Include in overall subproject cost</p>	<p>LGU</p>

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<p>conditions such as extreme temperature (hot/cold), working in water</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Extended working hours</li> <li><input type="checkbox"/> Exposure of workers to communicable diseases (e.g. COVID19)</li> <li><input type="checkbox"/> Gender-Based Violence (GBV) Sexual Exploitation and Abuse and Sexual harassment (SEA/SH)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Assign a Pollution Control Officer</li> <li><input type="checkbox"/> Provide medical services/first-aid kit at the site to ensure immediate medical attention in case of accidents.</li> <li><input type="checkbox"/> Workers shall comply with government health protocols in deployment of workers and continuation of production activities in line with the COSH</li> <li><input type="checkbox"/> Establishment of a GRM for workers that is GBV SEA/SH Sensitive</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> LMP and Code of Conduct</li> </ul>		
<p>7. Conflict between members of the FCA/FCA clusters</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Unclear policy on project beneficiary prioritization</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct consultations with members of the FCA/FCA clusters</li> <li><input type="checkbox"/> Establish the grievance redress mechanism (GRM) including GRM</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Operation and Management Plan</li> <li><input type="checkbox"/> Appointment of LGU and PSO/RPCO Grievance Point Person/Grievance Officer</li> <li><input type="checkbox"/> Monitoring</li> </ul>	<p>Cost of mitigation measures to be shouldered by the contractor</p>	

Potential Risks and Impacts	Mitigation Measures	Monitoring Parameters	Cost of Mitigation/Monitoring	Institutional Arrangement
<ul style="list-style-type: none"> <li><input type="checkbox"/> Unclear policy on project implementation</li> <li><input type="checkbox"/> Labor disputes over terms and conditions of employment</li> </ul>	<ul style="list-style-type: none"> <li>posters, GRM drop boxes at within subproject facilities</li> <li><input type="checkbox"/> Assign a GRM focal/person</li> <li><input type="checkbox"/> Subproject will provide local employment opportunities with standard salary wage based on RTWPB approved wage rates.</li> </ul>	<ul style="list-style-type: none"> <li>Reports/Checklist</li> <li><input type="checkbox"/> GRM for workers</li> </ul>		

Prepared by: \_\_\_\_\_

Conforme: \_\_\_\_\_

PPMIU/MPMIU Head

Noted by the local community: \_\_\_\_\_

Barangay Captain

## Annex 21– Sample Subproject Proposal Appraisal or Evaluation Form

Business Plan Evaluation Form		
Part I. General Information	To be filled-up by the Technical Review Team	
Name of enterprise:		
Address:		
Contact person:		
Product/s:		
Brief Description of the Enterprise		
Enterprise Project Fund (EPF): PhP		
Total counterpart of Implementing Proponent: PhP		
Infrastructure Cost: PhP		
Target starting Date of Operation:		
Date Business Plan was Received:		
Date Business Plan was Evaluated:		
Name/Position/Office of Regional Technical Review Team		
1.		
2.		
Part II. Checklist of Requirements	Yes or No? (specify)	If Yes, check if info is correct, if No, request for missing data
1. Are the eligibility requirement documents completely submitted?		
2. Are the required documents and attachments submitted? (SEE CHECKLIST OF REQTS – ANNEX 13-A/13-B OF THE OM)		
A. Business Plan Attachments		
B. I-BUILD Requirements		
C. SES Documentary Requirements		
D. GGU Requirements		
E. Procurement Requirements		
F. Finance Requirements		
G. M and E Requirements		

**Instructions: Rate the content of the business plan from 1-5 with 1 as the lowest and 5 as the highest.**

COMPONENT/ PARAMETERS	RATING/SCORE				
	1	2	3	4	5
<b>A. MARKETING ASPECT (20%)</b>					
1. Basis for the sales projection sound and information reliable					

2. Buyers identified and has secured commitment (marketing agreement, PO, etc)					
3. Marketing strategies sound and well-defined? <ul style="list-style-type: none"> <li>- Product's unique selling proposition well defined</li> <li>- Basis for pricing sound and reliable</li> <li>- Subproject location strategically located from the market (market accessibility)</li> <li>- Strategies to communicate USP of the product to target customers well defined</li> <li>- Distribution network or channel established</li> </ul>					
4. Characteristics of target market well discussed					
5. Competitors identified and well-defined <ul style="list-style-type: none"> <li>- Profile, characteristics and practices discussed</li> <li>- Financial strength and position identified</li> </ul>					
<b>Score or Points</b>					
<b>B. OPERATIONS ASPECT (20%)</b>					
1. Production methods and processes well-presented and discussed in detail					
2. Production schedules					
3. Technical assumptions well-presented (procedures, conversions, recoveries, etc)					
4. Required inputs, facilities and equipment are well defined and met including specifications, volume and capacity					
5. Suppliers of raw materials identified and secured commitment to supply					
6. Facility and equipment lay-out well-defined and matched with the size of the business operation					
7. Production quality control systems in placed					
<b>Score or Points</b>					
<b>C. ORGANIZATION AND MANAGEMENT ASPECT (20%)</b>					
1. Ownership and management of the enterprise clearly defined and discussed					
2. Organization and management plan depicts a level of skill and experience for a successful operation of the enterprise <ul style="list-style-type: none"> <li>- All managers and employees have experience in the business</li> <li>- The group/entity has a legal structure</li> </ul>					
3. Organizational chart and staffing requirement matched the operational plan of the enterprise					
4. Job description, duties and responsibilities of the managers and staff clearly stated					
5. Profit distribution scheme clearly presented and discussed					
6. Internal control measures defined and in-placed					
<b>Score or Points</b>					
<b>D. FINANCIAL ASPECT (20%)</b>					
1. Financial assumptions are sound and realistic and sources of revenues and costs properly identified					
2. Presentation of financial statements (Balance Sheet, Income Statement) correct and in order according to general accounting standards and principles					
3. Financial projections reflect the production and marketing plans					
4. Financial ratio analysis presented and passed standard criteria					

– Financial Internal Rate of Return (FIRR) >15%					
– Benefit-Cost Ratio (BCR) >1					
5. Financial and non-financial risks defined and taken into account					
<b>Score or Points</b>					
<b>E. STAKEHOLDER PARTICIPATION AND SOCIAL BENEFITS (10%)</b>					
1. Contribution to increase in farmers' income					
2. Sustainable employment / impact to local employment (from seasonal to regular-salary is equivalent to minimum wage or more)					
3. Participation of smallholder farmers or fishers					
4. Opportunities or participation of women					
5. Opportunities or participation of indigenous people					
6. Environmental impact and climate resiliency					
<b>Score or Points</b>					
<b>F. SUSTAINABILITY MECHANISM (10%)</b>					
1. Clearly defined future plans or sustainability plan					
2. Defined role in the commodity upgrading or value chain development					
3. Plan for expansion or upgrading					
4. Strategy to mitigate risks and uncertainties well-presented					
5. Over-all strategies can contribute to the viability of the enterprise					
<b>Score or Points</b>					

**COMPUTATION:**

1. Get the Percentile Score by adding the total scores per component divided by the maximum score possible for that component.
2. Multiply the Percentile score to the Assigned Percentage Point.
3. Get the Actual Score by multiplying the Percentile Score by 100.

**BUSINESS PLAN APPRAISAL/EVALUATION SUMMARY:**

Components	Assigned Percentage Point	Maximum Score or Points	Sample BP Score from the Technical Review Team	Percentile Score	Sample Actual score
	<u>C</u>	<u>B</u>	<u>A</u>	<u>(A/B)</u>	<u>((A/B)*C)*100</u>
1. Marketing	20%	25	20	0.8	16.00
2. Operations	20%	35	20	0.57	11.43
3. Organization and Management	20%	30	15	0.50	10.00
4. Financial	20%	25	20	0.80	16.00
5. Stakeholders Participation & Social Benefits	10%	30	25	0.83	8.33
6. Sustainability Mechanism	10%	25	18	0.72	7.20
<b>TOTAL</b>					<b>79.75</b>

<b>Minimum Passing Score</b>		<b>70</b>			
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**OTHER TECHNICAL FINDINGS AND RECOMMENDATIONS**

<b>Comments/Findings</b>	<b>Recommendations</b>

REVIEWED BY (TECHNICAL REVIEW TEAM):

<b>NAME</b>	<b>OFFICE</b>	<b>SIGNATURE</b>

**RECOMMENDING APPROVAL:**

**APPROVED BY:**

\_\_\_\_\_  
I-REAP Component Head, RPCO

\_\_\_\_\_  
RPCO Project Director

**Annex 22– Business Plan Review Tracking Form (Form 2A)**



Republic of the Philippines  
Department of Agriculture  
**PHILIPPINE RURAL DEVELOPMENT PROJECT**  
**National Project Coordination Office**  
4<sup>th</sup> Floor, DA Building, Elliptical Road, Diliman

**SUB-PROJECT TITLE:**

**LOCATION:**

**IMPLEMENTING PROPONENT:**

**TOTAL INVESTMENT REQUIREMENT:**

**ENTERPRISE PROJECT COST:**

**IMPLEMENTING PROPONENT**

**EQUITY:**

**REVIEWED BY:**

**DATE REVIEWED:**

UNIT	COMMENTS/FINDINGS	RECOMMENDATIONS



## Annex 23– Business Plan Clearance Form (Form 2B)



Republic of the Philippines  
 Department of Agriculture  
**PHILIPPINE RURAL DEVELOPMENT PROJECT**  
**National Project Coordination Office**  
 4<sup>th</sup> Floor, DA Building, Elliptical Road, Diliman

**SUB-PROJECT TITLE: LOCATION:**

**IMPLEMENTING PROPONENT:**

**TOTAL INVESTMENT REQUIREMENT:**

**ENTERPRISE PROJECT COST:**

**IMPLEMENTING PROPONENT EQUITY:**

DOCUMENTS	COMPONENT / UNIT	NAME OF REVIEWER	RPAB/NOL CLEARANCE		DATE	REMARKS	SIGNATURE
			YES	NO			
VCA and PCIP	I-PLAN						
Business Plan and Financial Analysis	I-REAP						
	Econ						
DED and POW	I-BUILD						
SES Writeup and Attachments	SES						
WFP and RPAB Resolution	Finance						
Procurement Plan	Procurement						
Geotag Photos, Polygons, and other requirements	GGU						

DCF and SP Profile	M&E						
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**Annex 24 - Sample Implementation Management Agreement**

for Enterprise Development Subprojects (Implementing Proponent-FCA/FCA Cluster) **(NOTE: FOR LEGAL REVIEW)**

IMA Number - PSO \_\_\_\_\_ (RPCO)-20\_\_ (Year)-02 (Month)-001(Number)

**Republic of the Philippines**  
**Department of Agriculture**  
**PHILIPPINE RURAL DEVELOPMENT PROJECT (PRDP)**  
**Project Support Office – \_\_\_\_\_**

**IMPLEMENTATION MANAGEMENT AGREEMENT**  
**Enterprise Development**

This **Agreement** is made and entered into this \_\_\_\_ day of \_\_\_\_ 20\_\_, at \_\_\_\_\_, Philippines, by and between:

The Department of Agriculture, an Executive Department of the Republic of the Philippines, with principal address at \_\_\_\_\_, \_\_\_\_\_, represented herein by \_\_\_\_\_, Project Director, Project Support Office – \_\_\_\_\_ hereinafter referred to as the **DA-PSO**;

and

The Department of Agriculture, an Executive Department of the Republic of the Philippines, with principal address at \_\_\_\_\_, \_\_\_\_\_, represented herein by \_\_\_\_\_, Project Director, Regional Project Coordination Office – \_\_\_\_ and hereinafter referred to as the **DA-RPCO**;

and

The \_\_\_\_\_, an organization registered with \_\_\_\_\_ with office address at \_\_\_\_\_ represented by its Chairperson, \_\_\_\_\_ and hereafter referred to as **“Implementing Proponent”**;

and

The Provincial/Municipal/City Government of \_\_\_\_\_, a political subdivision of the Republic of the Philippines, with principal address at Provincial Capitol Building, \_\_\_\_\_, \_\_\_\_\_ represented by Hon. \_\_\_\_\_, Governor/Mayor, hereinafter referred to as the **LGU**;

**- WITNESSETH -**

**WHEREAS**, the Philippine Rural Development (“DA-PRDP”) is a poverty-reduction and agriculture and fisheries development program of the Department of Agriculture (DA) that aims to increase rural incomes and enhance farm and fishery productivity in the targeted areas in the Philippines;

**WHEREAS**, the DA-PRDP is jointly funded by the national government, local government units (LGUs), beneficiaries and the International Bank for Reconstruction and Development (IBRD);

**WHEREAS**, the Government of the Philippines (GOP) has received a loan from the International Bank for Reconstruction and Development (the “Bank”), specifically under Loan Agreement for IBRD Loan No. 8421-PH dated September 8, 2014, in an amount equivalent to FIVE HUNDRED ONE MILLION TWO HUNDRED FIFTY THOUSAND UNITED STATES DOLLARS (US\$501,250,000) for the purpose of partly-financing the PRDP to support the Government’s effort to reduce poverty among the rural communities in the eighty-one (81) provinces in the country and another loan from the same Bank in the amount of ONE HUNDRED AND SEVENTY MILLION UNITED STATES DOLLARS (\$170,000,000), under Loan Agreement for IBRD Loan No. 8816-PH dated March 2, 2018, for the purpose of providing additional financing to scale up the original Project;

**WHEREAS**, the IBRD-WB approved the two-year extension of both aforementioned loans and the Second Additional Financing (“AF-2”) with IBRD Loan Number 9271-PH amounting to TWO HUNDRED EIGHTY MILLION U.S. DOLLARS (\$280,000,000.00) to further scale up and support the Government’s effort to reduce poverty and to ensure economic recovery and strong agricultural value chain in response to COVID-19 pandemic;

**WHEREAS**, the IBRD-WB, acting in its capacity as a bank and the administrator of the European Union (“EU”) Philippines Rural Development Project Single –Donor Trust Fund, in addition to the AF-2, extended a grant (“EU co-financing grant”) to GOP amounting to EIGHTEEN MILLION THREE HUNDRED THOUSAND EURO (Euro 18,300,000) with Grant Number TF0B5756 to expand the exclusiveness of DA-PRDP by supporting and providing an incentive to LGUs in Mindanao with a higher incidence of poverty (4th-6th class LGUs), lower capacity, more conflict-affected areas, and larger number of indigenous people;

**WHEREAS**, the DA is implementing PRDP since 2014 up to the present, which program is currently initiating approaches and processes in engaging rural communities, LGUs, and national government agencies in planning, designing and implementing rural development projects;

**WHEREAS**, the DA-PRDP has triggered improvements in income and food security levels of households through better-targeted and sustainable agriculture and fisheries-related rural development and marine biodiversity conservation projects as well as enhanced LGU institutional technical, management and financial capabilities and systems;

**WHEREAS**, given the successes and accomplishments of DA-PRDP from its Original Loan and subsequent Additional Financing, the Government of the Philippines (GOP) is set to receive an additional loan from the International Bank for Reconstruction and Development (the “Bank”), specifically under Loan Agreement for IBRD Loan No. \_\_\_\_\_ dated \_\_\_\_\_, in an amount equivalent to US \$ \_\_\_\_\_ (US\$ \_\_\_\_\_) for the purpose of part-financing of the new PRDP Scale Up to further support the Government’s effort to improve farmers’ and fisherfolks’ access to market as well as increase incomes from selected agri-fishery value chain in continuation of DA-PRDP’s mission and goals;

**WHEREAS**, all funds concerning the implementation of Subcomponent 3.1: Rural agri-fishery enterprise cluster productivity enhancement and increased access to markets (Enterprise Project Fund) under Component 3: Enterprise Development of PRDP will be coursed through and maintained by the Project Support Office (PSO) and will be made available to participating Implementing Proponent;

**WHEREAS**, the DA's functions relative to the Project are done through its National Project Coordination Office (NPCO) and the concerned Project Support Office (PSO) and Regional Project Coordination Office (RPCO);

**WHEREAS**, the Implementing Proponent manifested its interest to participate in the Project, endorsed by the P/C/MLGU and submitted to the DA, through its RPCO, pertinent documentary requirements for its proposed sub project;

**WHEREAS**, the \_\_\_\_\_ has issued a No Objection Letter (NOL) 1 on \_\_\_\_\_, as approval for funding of the proposed subproject, which is the basis of this Implementation Management Agreement (IMA);

**WHEREAS**, the DA-PSO, DA-RPCO, Implementing Proponent and the LGU have committed to perform actions as set out in this Implementation Management Agreement (IMA) hereinafter referred to as the Agreement to ensure the successful implementation of the approved subproject, and thus achieve the Project's desired objectives;

**WHEREAS**, the Implementing Proponent through Board Resolution No. \_\_\_\_\_ dated \_\_\_\_\_ has authorized the Chairperson to sign this Agreement;

**WHEREAS**, the LGU through Sangguniang Panlalawigan/Bayan/Panlungsod Resolution No. \_\_\_\_\_ dated \_\_\_\_\_ authorized the Governor/Mayor to sign this Agreement;

**NOW, THEREFORE**, for and in consideration of the foregoing premises, the parties thereto agree as follows:

#### **ARTICLE I – PURPOSE OF THE AGREEMENT**

Sec 1.01 The Agreement sets out the commitments of the Department of Agriculture under the Philippine Rural Development Project (PRDP), Implementing Proponent and the LGU for implementing the Subproject.

#### **ARTICLE II - DEFINITION OF TERMS**

Sec 2.01 Unless this Agreement otherwise requires, the terms or acronym used in this Agreement shall have definitions and meanings as set out in Schedule 1 (Definition of Terms).

#### **ARTICLE III - SUBPROJECT DESCRIPTION AND COST ESTIMATES**

Sec 3.01 The subproject covered by this Agreement is the \_\_\_\_\_ under Subcomponent 3.1: Rural agri-fishery enterprise cluster productivity enhancement and increased access to markets (Enterprise Project Funds) of Component 3: Enterprise

Development described in detail in Schedule 2 (Description of Subproject) hereof (hereinafter referred to as the "Subproject").

Sec 3.02 The Enterprise Project Cost is estimated at \_\_\_\_\_ ( \_\_\_\_\_ ) net of Implementing Proponent equity of \_\_\_\_\_ ( \_\_\_\_\_ ) the breakdown of which is set forth in Schedule 3 (Estimated Subproject Cost for the Enterprise).

Sec 3.03 a) Any increase or decrease in subproject cost based on the awarded cost of procurement packages but not beyond the Regional Project Advisory Board (RPAB) approved subproject cost shall follow the approved financing mix and does not require amendment to the IMA.

b) In case there is an increase in the cost of the procurement package/s covered by the portion of the Enterprise Project Cost transferred to the Implementing Proponent as stated in Section 3.06, the Implementing Proponent will provide fund for the additional cost. However, the P/C/MLGU may provide financial assistance to the FCA/FCA Clusters in support to the subproject.

~~c) In case there is an increase in the cost of the procurement package/s covered by the portion of the Enterprise Project Cost transferred to the RPCO as stated in Section 3.05 which is beyond the RPAB approved amount of the subproject, additional funding is allowed and shall follow the approved financing mix and be subjected for review and approval of the RPCO, PSO or NPCO depending on the prior review thresholds and RPAB approval, thus requiring amendment to the IMA.~~

Sec 3.04 The DA-PSO will provide to the participating Implementing Proponent as Grant equivalent to [60% from the Loan Proceeds, 20% from the Government of the Philippines (GOP) Counterpart Fund or 80% of the approved Total Investment Cost (for SU financing) Schedule 3 (Estimated Subproject Cost).

The Implementing Proponent will contribute an amount equal to at least 20% (cash or in kind) to the Enterprise

Sec 3.05 The DA-PSO will transfer funds to DA-RPCO the Loan Proceeds in the amount of \_\_\_\_\_ (Php \_\_\_\_\_), GOP Counterpart Funds in the amount of \_\_\_\_\_ (Php \_\_\_\_\_) the portion of the Enterprise Project Cost as per approved Work and Financial Plan and Procurement Plan as basis of the Schedule 3 and Schedule 4 subject to the terms and conditions of this Agreement.

Sec 3.06 The DA-PSO will transfer funds to the Implementing proponent the Loan Proceeds in the amount of \_\_\_\_\_ (Php \_\_\_\_\_), GOP Counterpart Funds in the amount of \_\_\_\_\_ (Php \_\_\_\_\_) the portion of the Enterprise Project Cost as per approved Work and Financial Plan and Procurement Plan as basis of the Schedule 3 and Schedule 4 subject to the terms and conditions of this Agreement. The said amount will be used exclusively by the Implementing proponent for the items to be procured through the Community Participation-Community Force Account as per approved Procurement Plan of the subproject.

However, the items under Community Participation with contract amount of more than three million pesos to be procured by the Implementing proponent in the total amount of \_\_\_\_\_ (Php \_\_\_\_\_), GOP Counterpart Funds in the amount of \_\_\_\_\_ (Php \_\_\_\_\_) the portion of the Enterprise Project Cost as per

Approved Work and Financial Plan and Procurement Plan will be paid directly by the PSO to the winning bidder/ supplier.

Sec 3.07 The Grant shall be allocated in accordance with the provisions of this Agreement, for expenditures incurred in respect of the approved costs of the Subproject components described and referred to in Schedules 3 and 4 (Tentative Disbursement Schedule) of this Agreement.

#### ARTICLE IV – SUBPROJECT ACCOUNT AND RECORDS

Sec 4.01 The Implementing Proponent shall:

- . Upon signing of this Agreement, establish and maintain in a bank acceptable to the Government one Subproject Current Account each for:
  - (i) funds withdrawn from the DA (Grant) for the Enterprise Project Funds from IBRD-WB, *EU Grant* and GOP Counterpart Funds to finance parts of the Subproject;
  - (ii) funds for Equity of the Implementing proponent for the Subproject.

A subsidiary ledger shall be maintained for each of the above cited trust accounts (Grant/Equity) for proper accounting, record-keeping and monitoring of transactions and to facilitate the preparation of financial reports.

- b. Maintain a financial management system and prepare financial statement in accordance with consistently applied accounting standards acceptable to the Bank, both in a manner adequate to reflect the operations and financial condition of the Implementing proponent including the operations, resources and expenditures related to the Project, including the recovery of all costs, for carrying out the subproject or any part thereof;
- c. Establish and maintain separate accounts and books for the subproject, reflecting all expenditures and on withdrawals requested and received from the DA-PSO on the basis of the Statement of Receipts and Expenditures (SRE). Maintain records adequate to reflect, in accordance with consistently sound accounting practices, the operations, resources, and expenditures, including the recovery of all costs, for carrying out the Subproject or any part thereof;
- d. Disburse the funds in accordance with the subproject components to which the Grant were provided as presented in Schedule 4 thereof;
- e. Retain, until ten (10) years after the Closing Date, all records, pertaining to or mentioned in Subsections (a) to (c) of this Section (including contracts, orders, invoices, bills, receipts and other documents) evidencing the expenditures and payments on the accounts of the Subproject, and enable the DA's representatives to examine such records;
- f. Have its financial statements for the Project referred to above audited by Independent auditors (Commission on Audit) acceptable to the Bank, in accordance with



consistently applied auditing standards acceptable to the Bank. Each audit of these financial statements shall cover the period of one (1) calendar year of the participating PG;

- g. Furnish the DA thru the NPCO and/or PSO as soon as available, but not later than two months, an original copy of the reports of such audits, of such scope and in such detail as the NPCO and PSO shall reasonably request, including without limitations to the foregoing, a separate opinion by the auditor “as contained in an audit certificate” in respect to the expenditures and records referred to in Subsection (b) of this Section as to whether on the basis of the SRE, the Grant withdrawn have been used for the purposes for which they were provided; and
- h. Furnish the NPCO and PSO such other information concerning the said separate accounts, records and expenditures and the audit thereof as NPCO and PSO may reasonably request from time to time.

Sec 4.02 The DA-RPCO shall:

- a. Upon signing of this Agreement, use the existing Trust Account for the funds withdrawn from the DA (Grant) for the Enterprise Project Funds from IBRD-WB, ~~EU Grant~~ and GOP Counterpart Funds to finance parts of the subproject;
- b. Issue official receipt corresponding the amount released by the PSO \_\_\_\_\_;
- c. Prepare and submit monthly the following documents to the PSO \_\_\_\_\_ on or before the 5th day of the following month:
  - Report of Disbursement together with the Disbursement Vouchers and its supporting documents
  - Statement of Receipts and Expenditures (SRE)
  - Statement of Expenditures (SOE)
  - Bank Reconciliation Statement
- d. Ensure that funds are disbursed in accordance with the existing government accounting and auditing rules and regulations;
- e. Ensure that the funds are being utilized according to its intended purpose with due regard to economy, efficiency, and the achievement of the project’s objectives;
- f. Settle with the Commission on Audit (COA) whatever audit observations and disallowances found in the course of its examination;
- g. Furnish the DA thru the NPCO and/or PSO as soon as available, but not later than two months, an original copy of the reports of such audits, of such scope and in such detail as the NPCO and PSO shall reasonably request, including without limitations to the foregoing, a separate opinion by the auditor “as contained in an audit certificate” in respect to the expenditures and records referred to in Subsection (b) of this Section as to whether on the basis of the SRE, the Grant withdrawn have been used for the purposes for which they were provided; and

- h. Furnish the NPCO and PSO such other information concerning the said accounts, records and expenditures and the audit thereof as NPCO and PSO may reasonably request from time to time.

#### **ARTICLE V – SUBPROJECT EXECUTION**

Sec 5.01 The Implementing Proponent shall start the implementation of the subproject, based on the schedule presented in Schedule 5 (Project Implementation Plan) hereof, immediately from the date of the effectiveness of this Agreement.

Sec 5.02 Upon approval of this Agreement and in compliance with the additional conditions referred to in Section 9.02 of this Agreement, the PSO will release or cause the release of Grant to the RPCO and Implementing Proponent in accordance with Schedules 4 (Tentative Disbursement Schedule) and 6 (Schedule of Requirements for the Release of Funds) of this Agreement.

Sec 5.03 The Implementing Proponent shall submit the copy of the Bank Certification and deposit the accounts referred to in Section 4.01 Subsection (a) in the amount of and on such dates specified in Schedule 3 of this Agreement, such funds are to be withdrawn and disbursed against the claims of the contractors/creditors in accordance with the same schedule of this Agreement.

Sec 5.04. The Implementing Proponent shall also:

- . Ensure smooth implementation of the enterprise according to the approved business plan and detailed implementation plan and/or program of works and in adherence to social and environmental standards, to wit;
  - i) Ensure broad participation of farmers and other key stakeholders in the enterprise activities;
  - ii) Prior to the commencement of any installation of equipment, facilities or services to be rendered, prepare, hold consultations on and disclose an Environmental Social Management Plan (ESMP), in compliance to the Bank guidelines;
  - iii) Carry out the subproject in accordance with the ESMP;
  - iv) Not amend, suspend, or abrogate any of the provisions of the ESMP without prior approval of the Bank;
  - v) In the event an environmental compliance certificate is required under the Philippine Laws or regulations, such certificate and/or any other related environmental clearance/permit has been obtained from DENR and other concerned government agencies or their instrumentalities at the regional level in respect of the activities under the subproject, with the technical assistance from the LGU.

- b. Maintain, throughout the period of Project implementation, the organization, management and resources, satisfactory to the Bank, for carrying out Sub-projects;
- c. Establish and maintain organizational and management plan of the subproject throughout the period of Project implementation, with composition (e.g. hiring of an Engineer for civil works), terms of reference, staffing and other resources to be responsible for supporting project implementation activities, preparing annual work plans and budgets, undertaking sub-project supervision, monitoring and evaluation and overall accounting and financial management with the technical support of the LGU;
- d. Carry out the subprojects with due diligence and efficiency, and in conformity with appropriate economic, financial, administrative, technical, and agricultural practices and sound social and environmental standards, as set forth in the Operations Manuals prepared and adopted by the Project, and acceptable to the Bank, and provide promptly as needed, the funds, facilities, services and other resources required therefor.
- e. Submit monthly, quarterly and annual financial and physical progress reports regularly to PSO through RPCO on or before due dates;
- f. Comply with all the provisions applicable in the PRDP Operations Manuals and Guidelines in subproject implementation.

Sec 5.05. The Implementing Proponent shall also:

- a. In the procurement of goods, equipment and services under Community Participation, the Implementing Proponent shall comply with PRDP Procurement Manual and the World Bank Procurement Guidelines and Republic Act No.9184, known as the "Government Procurement Reform Act", their allied statutes and their respective Implementing Rules and Regulations, and in accordance with the relevant provisions of the Loan Agreement shall be suppletory in character;
- b. Ensure that said goods are insured against hazards incident to the acquisition, transportation and delivery thereof to the place of use or installation, any indemnity thereunder to be made payable in a currency freely usable by the purchaser thereof to replace or repair such goods; and
- c. Ensure that said goods, equipment, facilities and services procured are utilized exclusively for the purpose of carrying out the subproject.
- d. Undertake operations and maintenance of the facilities and other properties relevant to the enterprise;
- e. Implement continuous capability building and capacity improvement for the enterprise and other farmers stakeholders with the technical support of the P/C/MLGU;
- f. In case the subproject is not completed within the validity of the funds due to cash-based budgeting system and/or the closing date of the PRDP, all cost for the remaining works and/or expenditures shall be for the account of the Implementing Proponent.

- g. Maintain financial records to properly disburse and liquidate enterprise funds; and
- h. Submit required physical and financial reports to the PSO through RPCO. These reports shall be made accessible to all PRDP implementing units.

Sec 5.06 The DA-PSO shall:

- a. Monitor, supervise, and evaluate the Implementing Proponent in the implementation of its subproject and its compliance with the obligations under this Agreement;
- b. In the procurement of goods and works as per procurement plan to be procured by the Implementing Proponent under Community Participation-Implementing Proponent shopping mode of procurement, the items procured will be paid directly to the winning bidder/supplier by the PSO;
- c. Assist in the review of the procurement of goods, services, and equipment as well as the works/outputs of consultants/contractors/suppliers;
- d. Ensure that the goods, equipment, facilities and services procured by the Implementing Proponent are utilized exclusively for the purpose of carrying out the subproject.
- e. Assist the Implementing Proponent in installing financial records to facilitate proper disbursement of funds, liquidation and records keeping;
- f. Ensure adherence of the Implementing Proponent to PRDP processes as provided in the PRDP Enterprise Development Operations Manual;
- g. Undertake technical supervisions to Implementing Proponent to ensure compliance to the IESSF;
- h. Assist the DA-RPCO in the facilitation of the turn-over of goods and works procured for the enterprise upon subproject completion to the Implementing Proponent thru Deed of Donation and Certificate of Turn-Over; and
- i. Ensure that the subproject is implemented in accordance with the provisions of this Agreement, relevant laws, rules and regulations, and professional and technical standards.

Sec 5.07 The DA-RPCO shall:

- . Monitor, supervise, and evaluate the Implementing Proponent in the implementation of its subproject and its compliance with the obligations under this Agreement;
- a. In the procurement of works, goods, equipment and services as per approved procurement plan , the RPCO shall comply with PRDP Procurement Manual and the World Bank Procurement Guidelines and Republic Act No.9184, known as the

“Government Procurement Reform Act”, their allied statutes and their respective Implementing Rules and Regulations, and in accordance with the relevant provisions of the Loan Agreement shall be supplementary in character;

- c. Assist in the review of the procurement of goods, services, and equipment as well as the works/outputs of consultants/contractors/suppliers;
- d. Ensure that the goods, equipment, facilities and services procured by the Implementing Proponent are utilized exclusively for the purpose of carrying out the subproject.
- d. Assist the Implementing Proponent in installing financial records to facilitate proper disbursement of funds, liquidation and records keeping;
- e. Ensure adherence of the Implementing Proponent to PRDP processes as provided in the PRDP Enterprise Development Operations Manual;
- f. Provide technical supervision in the implementation of civil works in accordance to the IBUILD operations manual;
- g. Undertake technical supervisions to the Implementing Proponent to ensure compliance to the IESSF;
- h. Submit regularly the monitoring and evaluation reports to the DA-PSO as defined in the Results-Based Monitoring and Evaluation (RBME) Guidelines for PRDP;
- i. Facilitate the turn-over of goods and works procured for the enterprise upon subproject completion to the Implementing Proponent thru Deed of Donation and Certificate of Turn-Over; and
- j. Ensure that the subproject is implemented in accordance with the provisions of this Agreement, relevant laws, rules and regulations, and professional and technical standards.

Sec 5.08. The assisting LGU shall:

- a. Continuously provide technical assistance to the Implementing Proponent for the smooth and successful implementation of the subproject in order to achieve the subproject’s goals and objectives;
- b. Assist the Implementing Proponent in the conduct of procurement activities;
- c. Assist the Implementing Proponent in the opening of bank accounts for the subproject;
- d. Assist the Implementing Proponent in ensuring the compliance to IESSF;
- e. Assist the Implementing Proponent in installing financial records to facilitate proper disbursement of funds, liquidation and records keeping;

- f. In case the subproject is not completed within the validity of the funds due to cash-based budgeting system and/or the closing date of the PRDP, the LGU may continue the funding of the remaining works and/or expenditures subject to their availability of funds and existing government rules and accounting procedures;
- g. Assign a focal person to monitor the operations of the approved enterprise of the Implementing Proponent. The results of the monitoring activities will be submitted to the RPCO. In cases when the Implementing Proponent is unable to continue operation of the enterprise due to organizational issues, the LGU will provide oversight to the PG and direct coaching for the operation of the enterprise, while at the same time providing the necessary support and technical assistance in resolving the organizational problems and/or re-organizing the enterprise management team; and
- h. Submit monitoring reports on the implementation of subproject to the RPCO, PSO and/or NPCO.

#### **ARTICLE VI - MONITORING, REPORTING AND EVALUATION**

Sec 6.01 The Implementing Proponent shall comply with the procedures and guidelines for monitoring and reporting as prescribed by the PRDP.

Sec 6.02 The DA shall, through the NPCO, PSO and RPCO together with the partner LGU, undertake overall monitoring and evaluation of the performance of the Implementing Proponent in carrying out the tasks, responsibilities and obligations set forth in this Agreement.

Sec 6.03 The Implementing Proponent shall enable the WB, NPCO, PSO and RPCO to monitor, examine all goods, facilities, sites and equipment included in the Project, the operation thereof, and any relevant records and documents. The findings of the monitoring team shall be forwarded to the NPCO, PSO and/or RPCO Directors, copies of which should be furnished to the LGU and Implementing Proponent.

Sec 6.04 Status reports such as Statement of Expenditures (SRE), Statement of Sources and Application of Funds (SSAF), financial statements (Trial Balance, Cash Flow Statement and Bank Reconciliation Statement) attached as Schedule 8 (Format of Financial Reports and Statements) and Monthly Progress Report on the Subproject shall be forwarded by the Implementing Proponent to the PSO through RPCO on or before the 5th day of the ensuing month in such details and frequency as may reasonably be requested subject to validation by the PSO and/or RPCO.

Sec 6.05 The PG shall:

- a. Maintain policies and procedures adequate to enable it to monitor and evaluate on an ongoing basis, in accordance with the performance indicators in the Loan Agreement, their carrying out of the Sub-projects; and
- b. Together with the LGU, prepare, under the terms of reference satisfactory to the Bank, a semi-annual report summarizing the results of the monitoring and evaluation

activities performed on progress achieved in carrying out the subprojects during the preceding calendar semester and setting out the measures recommended to during the next semi-annual period following such date and furnish the same to RPCO/PSO/NPCO to enable them to consolidate and submit the information to the Bank.

Sec 6.06 The Implementing Proponent shall allow the WB, NPCO, PSO and RPCO to conduct audit inspection and review of financial accounting records.

Sec 6.07 The LGU shall monitor the operations of the approved enterprise of the Implementing Proponent. The results of the monitoring activities will be submitted to the RPCO. In cases when the Implementing Proponent is unable to continue operation of the enterprise due to organizational issues, the LGU will provide oversight to the Implementing Proponent and direct coaching for the operation of the enterprise, while at the same time providing the necessary support and technical assistance in resolving the organizational problems and/or re-organizing the enterprise management team; and

Sec 6.08 In the event that the performance of the Implementing Proponent falls short of the agreed objectives, targets or projects, the Implementing Proponent through the RPCO shall notify the NPCO and PSO in writing within fifteen (15) calendar days from the receipt of the latest monthly accomplishment report, so that necessary adjustments, modifications or amendments will be made or to be made in accordance with the provisions of this Agreement without prejudice to the remedies available to the DA.

#### **ARTICLE VII - OTHER COVENANTS**

Sec 7.01 The Implementing Proponent shall be responsible for bank charges and other expenses associated with remittances to and from the Subproject Account established by the PG in accordance with Section 4.01, paragraph (a) i – ii of this Agreement.

Sec 7.02 The NPCO, PSO and RPCO shall maintain a monitoring and record system reflecting all the funds released and the expenditures made for the execution of the Subproject.

Sec 7.03 The Implementing Proponent warrants that the Board of Directors has passed a resolution, as shown in Schedule 9B (Board Resolution No. \_\_\_ ) that:

- a. Authorize the Chairperson/President to enter into contracts with the winning bidders for the procurement of goods/equipment and other agreements required to be done to put this Agreement into full effect, and
- b. Commits resources and logistical support for the effective implementation of the Subproject

Sec 7.04 The Implementing Proponent shall submit the Subproject Completion Report not later than six (6) months after the last payment was made by the Implementing Proponent to the contractor and/or Supplier.

Sec 7.05 Upon the issuance of the Certificate of Completion, the Implementing Proponent shall operate and maintain the structures, systems and facilities installed or established under the subproject and allocate and maintain funds for the continuous operation of the subproject for the next ten (10) years after subproject completion.

Sec 7.06 By mutual consent, this Agreement or any part thereof may be changed, modified, revised and amended or supplemented for the purpose of effective implementation and management of the Subproject. All other parties concerned shall be notified/informed of such changes, revisions and amendments.

Sec 7.07 All disputes or controversies between the parties arising out of or in connection with this Agreement which is not settled between the parties shall be elevated initially to the DA.

Sec 7.08 Notarial fees and expenses incidental to the processing of this document shall be chargeable against the PG funds.

#### ARTICLE VIII- REMEDIES

Sec 8.01 The DA shall suspend the subsequent releases of the Grant if any of the following occurs:

- a. The Implementing Proponent has no or insufficient equity for the subproject;
- b. Unsatisfactory performance of the Implementing Proponent in the implementation and execution of the subproject.
- c. At any time the NPCO, PSO or RPCO determines, during the conduct of review and monitoring activities, that the procurement of any contract to be financed by Grant is inconsistent with the procedures set forth or referred to by the applicable Manuals and Guidelines of the PRDP and in reference with the WB and GOP guidelines;
- d. If there is pending grievance related to procurement] , financial and enterprise management and organization that will have adverse impact to project implementation; and
- e. Extraordinary conditions such as force majeure, fortuitous events, and the like which shall make it necessary to suspend the implementation of the Subproject.

Sec 8.02 The DA, at its own sole option, reserves the right to lift such suspension for the resumption of releases of Grant for the Subproject of the **Implementing Proponent**.

Sec 8.03 Upon the recommendation of NPCO or PSO, the concerned Regional Project Advisory Board (RPAB) shall cancel the IMA if any of the following occur:

- a. Non-compliance or violation by the Implementing Proponent of any provisions of this Agreement;
- b. The NPCO and/or PSO found out, with respect to any contract to be financed by the Grant, that corrupt or fraudulent practices as provided for under R.A. 3019 or



otherwise known as Anti-Graft and Corrupt Practices Act were engaged in by representatives of the Implementing Proponent or a beneficiary of the Grant during the procurement and execution of such contract, without the Implementing Proponent having taken timely and appropriate action satisfactory to the NPCO and/or PSO to remedy the situation;

- c. At any time, when the extent of the events mentioned in Section 8.01(d) escalates that shall make it improbable for the Subproject to continue to be carried out; and
- d. Upon the request of the Implementing Proponent.

Sec 8.04 In such case that the Subproject is cancelled due to the fault of the Implementing Proponent as in Section 8.01 Sub-sections (a), (b), and (c) the following provisions shall apply:

- a. The Implementing Proponent shall be obliged to return to DA the unexpended and/or unliquidated balance of the released Grant of the Subproject within one month from the date of receipt of the notice of cancellation of IMA, and
- b. The amount of Grant utilized shall be refunded to DA within three (3) months from the date of receipt of cancellation of IMA.

Sec 8.05 In case of cancellation of IMA due to force majeure, as stated in Section 8.01(d), the amount disbursed and paid for the actual accomplishment of the subproject may not be returned however, any unexpended and /or unliquidated balance should be returned not later than two (2) months from the receipt of the notice of approval of cancellation of IMA.

Sec 8.06 In case of cancellation upon the request of Implementing Proponent as stated in Section 8.03 (d), the total amount of grant released should be returned within two (2) months after receipt of notice of approval of the cancellation.

Sec 8.07 The Implementing Proponent whose IMA was cancelled but did not refund or return the grant funds in full to DA will not be considered for on- going and future projects and projects of the Department.

Sec 8.08 Failure to comply with the Operational Plan: Should the Implementing Proponent fail to properly operate the subproject and/or provide necessary budget allocations as per Operational Plan in Schedule 10 (Operational Plan) and assessment criteria, DA shall review its option to deny/withhold similar assistance in the future until such time that it is convinced that a reconsideration on the matter should be effected.

## **ARTICLE IX - EFFECTIVITY**

Sec 9.01 Compliance of Preconditions by the RPCO, Implementing Proponent and P/M/CLGU for the effectivity of this Agreement:

- . A Sangguniang Panlalawigan/Bayan/Panglungsod Resolution has been passed authorizing the Local Chief Executive to enter into this Agreement and committing logistical and technical support of the P/M/CLGU to the Implementing Proponent and the subproject.
- a. A Board Resolution has been passed authorizing the Chairperson/ President to enter into this Agreement and documentary proof of the Implementing Proponent equity.

Sec 9.02 This Agreement shall become effective upon signing of the parties concerned and compliance by the PSO, RPCO, PG and P/M/CLGU of the additional preconditions for effectiveness referred to in Section 9.01 of this Agreement and shall subsist and remain in full force and effect ten (10) years after the subproject has been turned over and at such time the parties hereto shall be mutually released from all obligations hereunder.

-----nothing follows-----

**IN WITNESS WHEREOF**, the Parties, have caused this Implementation Management Agreement to be signed in \_\_\_\_\_, Philippines on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_.

By:

By:

\_\_\_\_\_  
Project Director  
Project Support Office (PSO) – \_\_\_\_\_

\_\_\_\_\_  
Project Director  
Regional Project Coordination  
Office (RPCO) – \_\_\_\_\_

By:

By:

\_\_\_\_\_  
Chairperson  
Proponent Group's Name

\_\_\_\_\_  
Governor/ Mayor  
P/C/MLGU

**WITNESSES:**

\_\_\_\_\_  
PSO IREAP Component Head

\_\_\_\_\_  
RPCO IREAP Component Head

\_\_\_\_\_  
PG Representative

\_\_\_\_\_  
PPMIU Head/ IREAP Component Head



**ACKNOWLEDGMENT**

**REPUBLIC OF THE PHILIPPINES)**

\_\_\_\_\_ ) S.S.

Before me this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_, at \_\_\_\_\_ personally appeared:

Name	Competent Evidence of Identity	Place and Date Issued
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Known to me and to me known to be the same persons who executed the foregoing agreement and they acknowledged to be the same is of their own free and voluntary act and deed and those of the offices they represent.

**WITNESS MY HAND AND SEAL** on the date and at the place first written above.

**NOTARY PUBLIC**

Doc. No \_\_\_\_\_  
Page No \_\_\_\_\_  
Book No. \_\_\_\_\_  
Series of 20\_\_\_\_

**SCHEDULES**

Schedule 1 - Definition of Terms

Schedule 2	-	Description of Subproject
Schedule 3	-	Estimated Total Subproject Cost
Schedule 4	-	Tentative Disbursement Schedule
Schedule 5	-	Project Implementation Plan
Schedule 6	-	Schedule of Requirements for the Release of Funds
Schedule 6A	-	Schedule of Requirements for the Release of Funds to RPCO
Schedule 6B	-	Schedule of Requirements for the Release of Funds to Implementing Proponent
Schedule 7	-	Format of Financial Reports and Statements
Schedule 8A	-	Sangguniang Panlalawigan/ Bayan/ Panlungsod (SP/B) Resolution – Resolution Authorizing the Provincial Governor/Mayor to Execute and Enter into an IMA
Schedule 8B	-	Board Resolution authorizing the Chairperson/ President to execute and enter into an IMA
Schedule 9	-	Operational and Maintenance Plan of the Subproject

## SCHEDULE 1 – DEFINITION OF TERMS AND LIST OF ACRONYMS

### Definition of Terms

- a. Business Plan – refers to the subproject proposal or document that will be the basis for financing the proposed enterprise. The business plan should contain the following information: description of the proposed subproject, products/services to be offered,

marketing plan, operational plan which contains technical assumptions, facilities and equipment, process flow and organization and management; financial plan including discussion on capital investment requirements; and financial plan including analysis and financial ratios to determine the technical, market and financial viability of the subproject or enterprise.

- b. Enterprise Project Cost – is the total cost of the I-REAP subproject that will be used to finance the procurement of goods, services and civil works that are to be funded by the Loan Proceeds (LP), Government of the Philippines (GOP) counterpart, net of Implementing Proponent equity.
- c. Government of the Philippines (GOP) Counterpart Funds – funds to be provided by the national government through the Department of Agriculture to be provided as grant to PGs to finance the part of the approved subproject of the PGs under the PRDP based on the approved financing mix.
- d. Implementation – all activities that take place after the approval of this agreement as detailed in Schedule 4.
- e. Loan Proceeds – proceeds of loan from the International Bank for Reconstruction and Development (IBRD) – World Bank (WB) to be provided as grant to PGs to finance part of the approved subprojects of the Proponent Groups (PGs) under the PRDP based on the approved financing mix.
- f. No Objection Letter (NOL) 1 – refers to the approval of the subproject to proceed to procurement of the packages and implementation of the proposed subproject.
- g. Implementing Proponent Equity – the contribution to be provided directly by the PG and the beneficiaries out of their own resources for financing a portion of the total subproject cost.
- h. **Implementing Proponent** - refers mainly to the organization or entity proposing an enterprise subproject and is identified to implement the subproject. The proponent can either be an FCA/FCA cluster or an LGU. The FCA/FCA cluster should be engaged in the priority commodity value chain and have legal personality.
- i. Subproject - means the package of enterprise development investment to the proponent group approved for financing in accordance with the criteria and procedures set out for the project.
- j. Subproject Completion Report (SCR) – refers to the comprehensive report prepared by the PG and RPCO immediately after the subprojects have been successfully concluded.
- k. **Total Investment Cost** - is the total amount of the business plan which includes the cost of the enterprise operation, equipment, facilities, civil works and Implementing Proponent equity. It is computed as Enterprise Project Cost plus Implementing proponent equity.

#### List of Acronyms

- |    |      |   |   |
|----|------|---|---|
| a. | AFMA | - | Agriculture and Fisheries Modernization Act |
| b. | COA  | - | Commission on Audit                         |

c.	DA	-	Department of Agriculture
d.	DOD	-	Deed of Donation
e.	ESMP	-	Environmental Social Management Plan
f.	IESSK	-	Integrated Environmental & Social Safeguard Framework
g.	IMA	-	Implementation Management Agreement
h.	LCE	-	Local Chief Executive
i.	LGU	-	Local Government Unit
j.	NPCO	-	National Project Coordination Office
k.	PSO	-	Project Support Office
m.	PIP	-	Project Implementation Plan
n.	P/C/MLGU	-	Provincial Local Government Unit
o.	PRDP	-	Philippine Rural Development Project
p.	RPAB	-	Regional Program Advisory Board
q.	RPCO	-	Regional Project Coordination Office
r.	SRE	-	Statement of Receipts and Expenditures
s.	SSAF	-	Statement of Sources and Application of Funds

**SCHEDULE 2**

**Description of Subproject**

*(You may insert here the executive summary part of the business plan or the Enterprise General Profile of the Approved Business Plan)*

**SCHEDULE 3**



**Estimated Subproject Cost**

**Subproject Title**

**Subproject ID**

**Location**

**Name of the Implementing Proponent**

Particulars	Quantity	Amount	Fund Source				
			LP	GOP	EU (if Applicable)	Implementing Proponent	
						Cash	In-kind

Prepared by:

\_\_\_\_\_

FCA/FCA Cluster Chairm  
Head

Recommending Approval:

RPCO IREAP Component

Approved:

\_\_\_\_\_

RPCO Project Director

**SCHEDULE 4**

***Subproject Title***

***Subproject ID***

***Location***

***Name of the Implementing Proponent***

**Tentative Disbursement Schedule**

Particulars	Total	Year ____												Year ____								
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul		
<b>TOTAL</b>																						

*Prepared by:*

\_\_\_\_\_

*PG Chairman*

*Recommending Approval:*

\_\_\_\_\_

*RPCO IREAP Component Head*

*Approved:*

\_\_\_\_\_

RPCO Project Director

**SCHEDULE 5**

*Subproject Title*

*Subproject ID*

*Location*

*Name of the Implementing Proponent*

**Subproject Implementation Plan**

Activities	Year ____												Year ____							
	Ja n	Fe b	M ar	A pr y	M ay	J un	Ju l	Au g	Se p	O ct	N ov	D ec	J an	F eb	M ar	A pr y	M ay	J un	J ul	
<b>1. Preparation Phase</b>																				
Approval and signing of IMA																				
<b>2. Enterprise Implementation Phase</b>																				
Release of funds to the PG																				
Release of Funds to the RPCO																				
Procurement of Items under RPCO procurement																				
<b>3. Post Enterprise Implementation Phase</b>																				

Completion of the Subproject																				
Subproject Turn Over																				
<b>4. Enterprise Operations</b>																				

*Prepared by:*

\_\_\_\_\_

*PG Chairman*

*Recommending Approval:*

\_\_\_\_\_

*RPCO IREAP Component Head*

*Approved:*

*RPCO Project Director*

**SCHEDULE 6**

***Schedule of Requirements for the Release of Funds***

**SCHEDULE 6A**

***Schedule of Requirements for the Release of Funds to RPCO***

1. Copy of the signed and notarized Program Contract between RPCO and PSO.
2. Copy of the approved RPCO Work and Financial Plan and Procurement Plan indicating the name of the approved subproject to be implemented
3. Approved, signed and notarized Implementation Management Agreement (IMA) among the PSO, RPCO, LGU and Implementing Proponent
4. Approved Program of Work, Procurement Plan, Work and Financial Plan and NOL from the issuing office, as per threshold
5. Letter from RPCO for the release of funds in accordance with the IMA

## ***SCHEDULE 6B***

### ***Schedule of Requirements for the Release of Funds to Implementing Proponent***

**Requirements for the release of the First Tranche of 50% funds of the EPC to the Implementing Proponent are the following:**

- a. Letter from the Implementing Proponent for the release of funds in accordance with the IMA
- b. Endorsement letter from the RPCO to PSO on request of the Implementing Proponent for the release of Funds
- c. Approved, signed and notarized IMA between the PSO, RPCO, LGU and the Implementing Proponent
- d. Approved WFP based on the approved business plan
- e. Bank certification of bank account in the name of Implementing Proponent (for the Implementing Proponent equity)
- f. Bank certification of bank account in the name of the PRDP (for the LP/EU and GOP)
- g. Proof of Equity in-kind
- h. Copy of the Purchase Order/ Contract at least equivalent to the 50% of the requested amount of the first tranche.

**Requirements for the release of the Second Tranche of 50% funds of the EPC to the Implementing Proponent are the following:**

- a. Letter from Implementing Proponent requesting for the release of funds;
- b. Submission of SRE for the liquidation of at least 50% of the previous release;
- c. Certified copies of supporting documents;
- d. Validated required accomplishment report as stated in the IMA and EA; and
- e. Endorsement by RPCO to the PSO on the request of Implementing Proponent for the release of funds.

## **SCHEDULE 6C**

### ***Schedule of Requirements for the Direct Payment of PSO to Suppliers/ Contractors***

#### **Goods:**

1. Letter request from Implementing Proponent to pay the winning supplier
2. Endorsement letter from RPCO to PSO
3. Complete procurement documents (Purchase Request, Canvass, Abstract of Canvass, Resolution, Notice of Award, Purchase Order/ Contract or Equivalent documents as stated in the Policy on Procurement of the Implementing Proponent)
4. Copy of the NOL 2
5. Delivery Receipt
6. Inspection and Acceptance Report (Implementing Proponent)
7. Geotag Photos
8. Validated Accomplishment Report (RPCO-IREAP, GGU)

#### ***Works:***

##### ***Advance Payment:***

1. Letter request from Implementing Proponent to pay the winning supplier
2. Endorsement letter from RPCO to PSO
3. Complete procurement documents (Purchase Request, Canvass, Abstract of Canvass, Resolution, Notice of Award, Purchase Order/ Contract or Equivalent documents as stated in the Policy on Procurement of the Implementing Proponent)
4. Copy of the NOL 2

##### ***Progress Billing/ Payment:***

1. Endorsement letter of Implementing Proponent for payment of the Contractor
2. Endorsement letter of RPCO to PSO
3. Letter request of the Contractor to Implementing Proponent for the payment of the works accomplished/ Billing Statement
4. Complete procurement documents (Purchase Request, Canvass, Abstract of Canvass, Resolution, Notice of Award, Purchase Order/ Contract or Equivalent documents as stated in the Policy on Procurement of the Implementing Proponent) – If no mobilization requested
5. Validated SWA by the Joint Inspectorate Team – PSO (I-BUILD, SES, GGU), conformed by the Contractor
6. Geotag Photos
7. Certificate of Payment (Contractor) for the paid and unpaid works (Running Balance)



**SCHEDULE 7**

**Format of Financial Reports and Statements**

a) Statement of Receipts And Expenditure (SRE)

**Statement of Receipts and Expenditures (SRE)**

**For the Month Ended \_\_\_\_\_**

**SRE No. \_\_\_\_\_**

**Physical Accomplishment \_\_\_%**

	<b>LP</b>	<b>GOP</b>	<b>EU (if Applicable )</b>	<b>Implementing Proponent</b>	<b>Total</b>
Financing Mix	_____	_____	_____	_____	_____
Contract Cost	_____	_____	_____	_____	_____
<b>Beginning Balance, _____</b>	_____	_____	_____	_____	_____
<b>ADD: Receipts</b>					
Date	Particulars	Check No.			
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
<b>Total Receipts</b>	_____	_____	_____	_____	_____
<b>Total Funds Available</b>	_____	_____	_____	_____	_____
<b>Less: Expenditures</b>					
Date	Particulars	Check No.			
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

<b>Total Expenditures</b>	_____	_____	_____	_____	_____
Ending balance, _____	_____	_____	_____	_____	_____
Cumulative Summary:					
Total Receipts	_____	_____	_____	_____	_____
Total Expenditures	_____	_____	_____	_____	_____
Balance	_____	_____	_____	_____	_____

Certified Correct:

Noted by:

Approved by:  
Found Correct

Verified and

b) Statement of Sources and Application of Funds (SSAF)

**Statement of Sources and Application of Funds (SSAF)**  
**For the year Ended \_\_\_\_\_**

	<b>LP</b>	<b>GOP</b>	<b>EU (if Applicable )</b>	<b>Implementing Proponent</b>	<b>Total</b>
Financing Mix	_____	_____	_____	_____	_____
<b>Beginning Balance, _____</b>	_____	_____	_____	_____	_____
<b>ADD: Receipts</b>					
January	_____	_____	_____	_____	_____
.....	_____	_____	_____	_____	_____

December	_____	_____	_____	_____	_____
					_____
<b>Total Receipts</b>	_____	_____	_____	_____	_____
					_____
<b>Total Funds Available</b>	_____	_____	_____	_____	_____
					_____
<b>Less: Disbursements</b>					
January	_____	_____	_____	_____	_____
					_____
.....	_____	_____	_____	_____	_____
					_____
December	_____	_____	_____	_____	_____
					_____
<b>Total Expenditures</b>	_____	_____	_____	_____	_____
					_____
Ending balance, _____	_____	_____	_____	_____	_____
					_____
Cumulative Summary:					
Total Receipts	_____	_____	_____	_____	_____
					_____
Total Expenditures	_____	_____	_____	_____	_____
					_____
Balance	_____	_____	_____	_____	_____
					_____

Certified Correct:

Noted by:

Approved by:  
Found Correct

Verified and

c) Trial Balance

**Trial Balance**  
as of \_\_\_\_\_

Account Description	Account Code	Debit	Credit
<b>TOTALS</b>			

**Certified Correct:** \_\_\_\_\_

d) Balance Sheet

**Balance Sheet**

**As of** \_\_\_\_\_

**ASSETS**

**Current Assets:**

Cash	in	Bank	-	Implementing	Proponent
_____	_____	_____	_____	_____	_____
Cash	in	Bank	-	PRDP	EPF
_____	_____	_____	_____	_____	_____
Total			Current		Assets
_____					

Plant, Property and Equipment

Equipment	_____
Tools	_____
Infra	_____
_____	
Total Plant, Property and Equipment	_____

**TOTAL ASSETS** \_\_\_\_\_

**LIABILITIES AND EQUITY**

**Current Liabilities:**

_____	_____
_____	_____
_____	_____

**TOTAL LIABILITIES AND EQUITY** \_\_\_\_\_

**Certified Correct:** \_\_\_\_\_

e) Cash Flow Statement  
 Cash Flow Statement  
 For the Quarter ending \_\_\_\_\_

Cash Flow from Operating Activities	Debit
Credit	
Payment of _____	_____
_____	
Payment of _____	_____
_____	
Cash Flow from Investing Activities	
Payment of _____	_____
_____	
Payment of _____	_____
_____	
Cash Flow from Financing Activities	
Receipt of Equity Counterpart	_____
_____	
Receipt of PRDP Counterpart	_____
_____	
Increase (Decrease) in Cash	
_____	
Add: Cash Balance, _____	
_____	
Cash Balance, _____	
_____	

**Certified Correct:** \_\_\_\_\_

**SCHEDULE 8A**

**Sangguniang Panlalawigan/ Bayan/ Panlungsod (SP/B) Resolution – Resolution Authorizing the Provincial Governor/Mayor to Execute and Enter into an IMA**

**SAMPLE FORMAT**

Republic of the Philippines  
Province/Municipality/City of \_\_\_\_\_

**OFFICE OF THE SANGGUNIANG PANLALAWIGAN/BAYAN/PANLUNGSOD**

EXCERPTS FROM THE MINUTES OF THE REGULAR SESSION OF THE SANGGUNIANG PANLALAWIGAN/BAYAN/PANLUNGSOD MEMBERS OF THE PROVINCE/MUNICIPALITY/CITY OF \_\_\_\_\_ ON \_\_\_\_\_ AT THE PROVINCIAL/MUNICIPAL/CITY LEGISLATIVE BUILDING.

PRESENT: HON. JUAN DELA CRUZ Presiding Officer  
HON. SP/B Member  
HON. SP/B Member  
HON. SP/B Member  
HON. SP/B Member

ABSENT: NONE

**RESOLUTION NO. 201\_\_ - \_\_\_\_\_**

WHEREAS, Republic Act No. 8435, otherwise known as the Agriculture and Fisheries Modernization Act (AFMA) of 1997 sets out the Government's policies in the agriculture sector in attaining equitable distribution of opportunities, income and wealth, expanding productivity, and sustaining increase in production of goods and services thereby raising the quality of life of the people, especially the underprivileged;

WHEREAS, the DA gives foremost consideration to poverty alleviation and social equity through the development and implementation of programs and projects that provide the poor sectors of the community especially those engaged in subsistence agriculture with equitable access to resources, income opportunities, support services, and most especially rural infrastructures particularly in areas where productivity is low and the incidence of poverty is high;

WHEREAS, the Government of the Philippines (GOP) has obtained a loan from the International Bank for Reconstruction and Development - World Bank (IBRD - WB) with IBRD Loan No. 8421 PH amounting to U. S. Dollar FIVE HUNDRED ONE MILLION TWO HUNDRED FIFTY THOUSAND ONLY (US\$501,250,000) for the purpose of financing the Philippine Rural Development Project (PRDP) to support the Government's effort to reduce poverty among the rural communities of eighty one (81) provinces in the country;

WHEREAS, the Province/Municipality/City of \_\_\_\_\_ manifested its interest to participate in the Program, and to provide technical assistance to the Proponent Group in the implementation of their proposed subproject ;

NOW, THEREFORE, on motion duly seconded, the Sangguniang Panlalawigan/Bayan/Panlungsod of the Province/Municipality/City of \_\_\_\_\_ hereby:

RESOLVED, to affirm the interest of the Province/Municipality/City of \_\_\_\_\_, to participate in the Philippine Rural Development Project (PRDP) to provide technical assistance to (name of Proponent Group) to its proposed \_\_\_\_\_ (Name of Subproject);

RESOLVED, to authorize and empower the incumbent Local Chief Executive, Hon \_\_\_\_\_, or his successor, for and on behalf of the Province/Municipality/City of \_\_\_\_\_, to undertake the following:

- a. To apply, negotiate, enter into contract, execute, sign implementation management agreements and other documents for subproject implementation with the Department of Agriculture (DA), for the implementation of the \_\_\_\_\_ (Name of Subproject), including amendments, renewal and/or extension thereof under such terms and conditions a may be agreed upon by DA under the PRDP;
- b. To undertake all acts necessary for the effective implementation of the proposed subproject.

RESOLVED FURTHER, to authorize the incumbent Local Chief Executive, Hon. \_\_\_\_\_, or his successor, for and in behalf of the Province/Municipality/City of \_\_\_\_\_, to affirm and undertake the following commitments required by PRDP:

- a. To appropriate and/or allocate additional funds if necessary for the efficient and effective implementation including operational and maintenance costs of the completed subprojects;

RESOLVED FINALLY, to furnish DA and all others concerned with a copy of this Resolution for their information and appropriate action.

Adopted this 14th day of February, 2014 in the Municipality of \_\_\_\_\_, Province of \_\_\_\_\_, Philippines.

XX

**CERTIFIED TRUE AND CORRECT:**

SP/B Secretary

**ATTESTED:**

Vice Governor/Vice Mayor/Presiding Officer

**CONFORME:**

HON.  
SP/B Member

HON.  
SP/B Member

HON.  
SP/B Member

HON.  
SP/B Member

HON.  
SP/B Member

HON.  
SP/B Member

HON.  
SP/B Member

HON.  
SP/B Member

HON.  
SP/B Member

HON.  
SP/B Member

**APPROVED:**

HON.

Governor/Mayor

Date: \_\_\_\_\_

**SCHEDULE 8B**

**Board Resolution authorizing the Chairperson/ President to execute and enter into an IMA**

**SAMPLE BOARD RESOLUTION (AS GUIDE)**

**Cooperative/ Association Letterhead**

**Office Address:**

**Contact Number/s:**

EXCERPTS FROM THE MINUTES OF THE MEETING OF THE BOARD OF DIRECTORS OF COOPERATIVE ON (Date and Time of the Meeting)\_ AT THE (Venue of the meeting).

**PRESENT:**

**ABSENT:**

BOARD RESOLUTION No. \_\_\_\_\_

WHEREAS, that, the Cooperative signified interest to participate in the Philippine Rural Development Project and proposed a subproject entitled " \_\_\_\_\_";

WHEREAS, that, the Cooperative commits the required equity of at least 20% Cash and/or in-kind to be used exclusively for the implementation of the proposed subproject;

WHEREAS, that, the Cooperative will ensure that the proposed subproject will be implemented successfully to provide additional income to farmer-members and uplift their economic conditions;



WHEREAS, that, upon the approval of the proposed subproject, the Board of Directors of the Cooperative authorized the Chairperson \_\_\_\_\_ to execute and enter into the Implementation Agreement (IMA);

WHEREAS, that, the Board of Directors of the Cooperative/Association acknowledged the need to open two separate current account for the PG equity and another current account for the funds from PRDP;

WHEREAS, that, the Board of Directors designated its Chairperson\_\_\_\_\_ and Treasurer\_\_\_\_\_ (*You may add more depends on the decision or structure of the Cooperative/Association*) to be approving officers and shall be the signatories of the aforementioned current account transactions pertaining to disbursements and receipts of funds of the Cooperative/ Association;

NOW THEREFORE, BE IT RESOLVED, further, that the Chairperson \_\_\_\_\_, for and in behalf of the Cooperative/ Association, to affirm and undertake the following commitments required by PRDP:

- a. To apply, negotiate, enter into contract, execute, sign implementation management agreements and other documents for subproject implementation with the Department of Agriculture (DA), for the implementation of the \_\_\_\_\_ (Name of Subproject), including amendments, renewal and/or extension thereof under such terms and conditions a may be agreed upon by DA under the PRDP;
- b. To appropriate and/or allocate additional funds if necessary for the efficient and effective implementation including operational and maintenance costs of the completed subprojects;
- c. To undertake all acts necessary for the effective implementation of the proposed subproject.

Adopted this 14th day of February, 2014 in the Municipality of \_\_\_\_\_, Province of \_\_\_\_\_, Philippines.

-----nothing follows-----

**CERTIFIED TRUE AND CORRECT:**

Board Secretary

**ATTESTED:**

Vice Chairperson

**CONFORME:**

\_\_\_\_\_  
BOD

\_\_\_\_\_  
BOD

\_\_\_\_\_  
BOD

\_\_\_\_\_  
BOD

\_\_\_\_\_  
BOD

\_\_\_\_\_  
BOD

\_\_\_\_\_  
BOD

\_\_\_\_\_  
BOD

**APPROVED:**

\_\_\_\_\_

**SCHEDULE 9**

**Operational and Maintenance Plan of the Subproject**

**Provide brief discussion on the operation repair and maintenance of the subproject/ enterprise.**

Equipment/Facility	Type of Maintenance	Schedule	Resource Requirement	Quantity	Estimated cost (Php)
Vehicle					
Equipment					
Tools					
Infrastructure					

Provide brief discussion on how the subproject will be sustainable (You may attach the approved business plan).

## **Annex 25 - Enterprise Operations Manual Outline**

### **I. Introduction**

#### **A. Overview of the Manual Content**

Brief discussion on the content, coverage and scope of the OM

#### **B. Purpose of the OM**

Brief description of the primary reason for crafting the OM; answer to the questions: What is the importance of the OM? Who will use the OM

### **II. Project Background**

Discuss the background of the subproject or the enterprise (lift from the business overview section of the business plan)

### **III. General Information**

#### **A. Brief History**

- Cite the name of the organization, date organized and registered.
- Mention the registering agency
- How many are the initial number of membership and present number of members
- Reasons or Objectives why you organized
- Name of the organization who assisted the group in organizing, if there's any

*NOTE: If the enterprise is composed of cluster of proponent groups, provide brief history for each proponent group and give the reason why the proponent groups were organized or clustered*

#### **B. Vision and Mission Statement**

#### **C. Goals and Objectives**

#### **D. Core Values**

#### **E. Members/ Stakeholders and Partners**

List down all members/stakeholders and partners (both government and non-government)

#### **F. Area Coverage of Enterprise**

Describe the extent of areas covered by the enterprise operation

#### **G. Enterprise Cluster Mapping**

Show in map the area coverage of the enterprise

**IV. Production or Operations Component (*this section provides step by step instructions for key operations procedures*)**

1. Sourcing of Raw Materials
2. Criteria for selecting or accrediting suppliers (who are the suppliers, qualifications, hectarage, volume)
3. Quality Requirements for the raw materials (specifications, quality standards i.e. GAP, organic, halal, etc. technology requirement, etc)
4. Frequency and timing of procurement of raw materials (production planning and schedule, planting and harvesting calendar, etc)
5. Place of sale (indicate where the raw materials will be sold i.e. buying station, collection/consolidation center, pick-up or delivered, etc.

*NOTE: If there is specific farm/production practices that will be required to produce the raw materials, this should be included as part of the policies and procedures (eg package of technology, recommended practices, GAP or IPM, etc*

**2. Raw Material Handling/ Receiving**

Describe how receiving of raw materials will be done e.g. recording, grading, classifying, sorting, weighing, etc (*maybe presented using process flow*)

**3. Raw Materials Inventory**

- Describe how the raw materials will be stored, place for storage and how long
- Describe the process for ordering of raw materials will be done

**4. Machinery and Equipment**

- a. Fixed Assets/Property and Equipment
  - Definition
  - Composition
  - Usage
- b. Safe Keeping, Repair and Maintenance
  - Care and Safe Keeping
    - ❖ When and where the mobile assets must be kept
    - ❖ Cleaning, safety and sanitation of facilities and equipment before and after using (SSOP)
  - Repairs and Maintenance

- ❖ Approval of Requisition Form (who will prepare and approve)
  - ❖ Purchase or repair request
  - ❖ Price quotation of replaceable parts (if any)
  - ❖ Summary of Price Quotation
  - ❖ Purchase Order
- c. Tagging/marking
- Name of Property
  - Acquisition Cost
  - Date of Acquisition
  - Name of Supplier
- d. Registration and Insurance Coverage
- e. Disposal or Sale of Property and Equipment
- f. Opening and Closing Procedures
- g. Security Procedure (Locks and Keys Control)

#### **5. Quality Control (for raw materials and finished product)**

Present the set of standards as basis for QC

#### **6. Production schedule (PERT CPM)**

- a. Farmer level (cherries to parchment)
- b. Enterprise level (parchment to green beans)
- ❖ List all activities required related to processing
  - ❖ Identify volume capacity per batch per machine/equipment and the required time needed to complete the process
  - ❖ Calculate the total batches needed to meet the required volume to be marketed.

#### **7. Packaging and Labeling**

Describe what type of packaging materials will be used, label and number of kilos per type of packaging material

#### **8. Storage and Product Inventory**

- First In-First Out (FIFO) Policy
- Last In-First Out (LIFO) Policy
- Type of Storage Facility/Materials

#### **9. Waste Disposal and Management**

- Describe how the solid and liquid waste disposal and management per type of waste, including storage and disposal of hazardous chemicals
- Refer to the SA/EA of the Business Plan and ESMP t

#### 10. The premises (opening, closing, set-up, lay-out, security, cleaning, compliance)

#### 11. Emergency Procedures – Enumerate or discuss procedures to follow by PG management to address problems in the operation, such as:

- System crash
- Assigned employee become unavailable
- Others

#### NOTE:

*The Enterprise is recommended to observe the following regulatory policies relating to food, food production and food safety:*

- *BFAD A.O. 153 s. 2004 REVISED GUIDELINES ON CURRENT GOOD MANUFACTURING PRACTICE IN MANUFACTURING, PACKING, REPACKING, OR HOLDING FOOD*
- *Food Safety Act of 2013 (RA 10611)*
- *Codex Alimentarius (collection of internationally recognized standards, codes of practice, guidelines, and other recommendations relating to food, food production, and food safety)*

#### 12. Community and Occupational Safety and Health

- Management for the safety of the community, workers and farmer or fisherfolk beneficiaries during operation of the enterprise, including during disasters and calamities
- **Implementing proponent** to Refer to DOLE-OSH, SA/EA of the Business Plan, and ESMP
- **Implementing proponent** to adhere with the Disaster Risk and Reduction Management Protocols of the Local Government Unit

### V. Marketing/Trading Procedures (systematic flow goods/products)

#### 1. Products

a. Identify the products and its Specifications

b. Releasing

- Process Flow

- Documentation
- Delivery/Shipping (date, time and location)

#### 1.1 Payment and Collection

- Process Flow
- Cash Payment
- Check Payment
- Term Payment
- Consignment
- Documentation

#### 1.2 Refund and Exchange (if there's any)

#### 1.3 Ordering Procedures

- Process Flow
- Documentation

### 2. Services

- Service/Rental Fees (if there's any)
- Mode of Payment

### 3. Memorandum of Agreement (MOA) or Supply Agreement

- Farmer-Supplier and Cluster Agreement
- Cluster-Lead FCA Agreement
- Implementing proponent and Buyer Agreement

### 4. Customer Complaints Handling

### 5. List/Directory of Buyers with Volume Requirements and Specifications

- Name
- Address/Location
- Contact Person/s, numbers and email address
- Volume Requirements
- Specifications Required
- Frequency of Delivery
- Marketing Arrangements
- Others

## VI. Organization and Administration *(this section will discuss the human resource policies and organizational management of the enterprise)*

1. Business Organizational Structure
2. Functions of each business section or unit
3. Business staffing, qualifications and duties and responsibilities

4. Staff remunerations (salaries and wages, benefits and incentives)
5. Hiring and Firing Policies
6. Merit and Promotion Policies
7. Organizational and Staff Development policies
8. Organizational assessment and planning
9. Community consultation
10. Trainings and capability building activities
11. Grievance Redress Mechanism

Documents Management – Briefly describe the process of data or documents storage, as to location, person in-charge, and procedure to observe by anybody who want to borrow subject documents, to include the following:

1. Insurance Policy
2. Proof of Ownership
3. Warranty
4. Organization's Document (*i.e* CBL, Cert. of Registration, Members' Masterlist, etc)
5. Permits and Licenses
6. Supplies and Materials
7. Brochures, Handouts, Leaflets and others
8. Others

#### **VII. Finance Component**

1. General Guidelines
2. Capital
3. Fund Usage
4. Funding Sourcing
5. Preparation, Approval and Release of Budget
  - Monthly
  - Semi-Annual
  - Annually
6. Budgeting
7. Cash Collections/Receipts
8. Cash Disbursement
9. Petty Cash Fund
10. Inventory Management

#### **VII. Finance Component**



11. Assets Management (describe activities to be done in relation to assets management)

- Recordings/Accounting of Properties and Equipment
  - ❖ Name of Property and Equipment
  - ❖ Acquisition Cost
  - ❖ Date of Acquisition
  - ❖ Estimated Economic Life
  - ❖ Annual Depreciation
  - ❖ Property Number
  - ❖ Priority Number

11. Assets Management

- Increase in Value (if any)
- Condition of Asset (serviceable or unserviceable)
- If issued or MRed, Name of Employee
- Remarks

Reporting and Monitoring (schedule/frequency)

- 12. Audit (Internal & External)
- 13. Allocation and Distribution of Income

**VIII. Monitoring and Evaluation Component:**

Describe the monitoring and evaluation system or process that will be used to monitor the progress implementation and achievement of outputs and outcomes particularly the increase in income, which will include the *output/outcome indicators, data gathering tools/techniques, frequency of monitoring, etc.*

- 1. Production
  - 1.1 Farmer-Producers/Suppliers
  - 1.2 Type of Crops
  - 1.3 Date Planted
  - 1.4 Schedule of Harvest
  - 1.5 Volume of Harvest
  - 1.6 Quality (i.e. class A, B & C)
- 2. Sales and Purchases

2.1 Total Amount of Sales

2.2 Total Amount of Purchase

3. Increase and Decrease in Revenue

4. Prices

5. Competitors

6. Membership

6.1 Total Membership

6.2 Active

6.3 Inactive

6.4 Resigned

7. Compliance to Social and Environmental Safeguards

## IX. Sustainability Component

- State how the present enterprise activities will be expanded, upscaled and sustained to benefit other members of the **FCA clusters or lead FCA**.

- Possible linkage and networking with barangay, municipal, regional, national, international and other service provider – government and non-government organizations/institutions

1. Scaling Up – discuss the plans and the strategy to scale up the enterprise
2. Expansion (increase in area coverage, size/volume, membership, market, etc)
3. Capability-Building for Officers and Personnel

3.1 Training (list of trainings, schedule, budget required, sources of budget/funds,etc)

3.2 Study Tour

1. Research and Development (new technologies to improve present/existing product/s or create a new products/s or goods or services

Linkage-building/Networking (tapping of other agencies i.e. government and non-government agencies In improving the enterprise

Annex 26 - Subproject Completion Report for **Implementing Proponent** Procured Items

Republic of the Philippines

\_\_\_\_\_ (**Implementing Proponent** Name)

\_\_\_\_\_ (Address)

**SUBPROJECT COMPLETION REPORT FOR PG  
PROCURED ITEMS**

<b>A. General Information</b>							
<b>Implementing Proponent:</b>							
Subproject ID No:				Subproject Title:			
Brgy/s:				Mun/Prov:			
Date Approved:				Amount approved:			
Additional cost (if applicable):				Approved revised cost (if applicable):			
Date started:		Date completed:					
<b>B. Details of Interventions</b>							
Item	Specifications	Unit	Qty	Unit Cost	Total Cost	Date of Delivery/Completion	Remarks (Complete? According to planned specifications? Functional?)
<b>C. Description of Subproject Implementation and Completion</b>							
Discuss in detail the methods and procedures adopted in subproject implementation including the procurement methods used, conduct of testing and training on operation of delivered interventions, etc. Discuss also the overall output of the completed subproject in terms of if acquisition of all proposed interventions							

<p>are followed as planned in the BP or if any deviations or revisions were made.</p>				
<p><b>D. Challenges Encountered</b></p>				
<p>Discuss in detail the challenges/problems, issues and concerns encountered during the conduct of implementation and pre-operational activities and the measures adopted or done to resolve such concerns. This may be presented in matrix form using a separate sheet if necessary.</p>				
<p><b>E. Social and Environmental Impact/s (If applicable)</b></p>				
<p>Discuss both the positive and negative environmental impacts brought about by the implementation of the subproject, mentioning the mitigation measures provided for the negative effect.</p>				
<p>Prepared by:</p> <p>_____</p> <p>Head/Representative, <b>Implementing Proponent</b></p>	<p>Noted by:</p> <p>_____</p> <p>— Safeguards Officer, LGU</p>	<p>Concurred by:</p> <p>_____</p> <p>— Head, P/C/MPMIU</p>		

**Annex 27 - Certificate of Turn Over**



Republic of the Philippines  
Department of Agriculture  
Philippine Rural Development Project  
Regional Project Coordination Office \_\_\_\_  
\_\_\_\_\_, \_\_\_\_\_ (Address)

**CERTIFICATE OF TURN OVER**

This is to certify the award and turn over the completed I-REAP subproject: \_\_\_\_\_ (Subproject Title) with SP ID No. \_\_\_\_\_, located at \_\_\_\_\_ (location of the subproject) to \_\_\_\_\_ (Name of the Proponent Group). The subproject comprises of the following interventions:

(List of awarded interventions, indicating the number of units)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

As the subproject end user, the above mentioned Proponent Group shall assume full responsibility of the operation, management, maintenance, and sustainability of the enterprise and its components in accordance with the approved Business Plan, articles of the Implementation Management Agreement (IMA) and Enterprise Operations Manual (EOM).

Given this \_\_\_th day of \_\_\_\_, \_\_\_\_ (month and year) at \_\_\_\_\_ (location of awarding).

\_\_\_\_\_  
RPCO I-REAP Component Head

\_\_\_\_\_  
RPCO Project Director

Attested:

\_\_\_\_\_  
Head/Representative of the Proponent Group

## Annex 28 - Sample Deed of Donation

### DEED OF DONATION

#### KNOW ALL MEN BY THESE PRESENTS:

This **Deed of Donation** executed and entered into by and between:

The **Department of Agriculture**, an Executive Department of the Republic of the Philippines, with principal address at Elliptical Road, Diliman, Quezon City, represented herein by **Director** \_\_\_\_\_, Project Director, Project Support Office – \_\_\_\_\_, herein referred to as the “**DONOR**”

-and-

The \_\_\_\_\_, an organization registered with \_\_\_\_\_ with office address at \_\_\_\_\_ represented by its **Chairperson**, \_\_\_\_\_ and hereafter referred to as “**DONEE**”

#### WITNESSETH

**WHEREAS**, Republic Act No. 8435, otherwise known as the Agriculture and Fisheries Modernization Act (AFMA) of 1997 sets out the Government’s policies in the agriculture sector in attaining equitable distribution of opportunities, income and wealth, expanding productivity, and sustaining increase in production of goods and services thereby raising the quality of life of the people, especially the underprivileged;

**WHEREAS**, the DONOR gives foremost consideration to poverty alleviation and social equity through the development and implementation of projects and projects that provide the poor sectors of the community especially those engaged in subsistence agriculture with equitable access to resources, income opportunities, support services, and most especially rural infrastructures particularly in areas where productivity is low and the incidence of poverty is high;

**WHEREAS**, the Government of the Philippines (GOP) has obtained a second additional loan from the International Bank for Reconstruction and Development - World Bank (IBRD - WB) with IBRD Loan No. \_\_\_\_ amounting to U. S. Dollar TWO HUNDRED EIGHTY MILLION ONLY (US\$280,000,000) for the purpose of further scaling up the original Philippine Rural Development Project (PRDP) in supporting the Government’s effort to reduce poverty among the rural communities of eighty one (81) provinces in the country, and a grant fund from the European Union with Grant Number \_\_\_\_ amounting to Euro EIGHTEEN MILLION THREE HUNDRED THOUSAND ONLY (EUR18,300,000) to expand PRDP’s engagement in EU’s focus areas in Mindanao;

**WHEREAS**, all funds concerning the implementation of Subcomponent 3.1: Rural Agri-fishery Enterprise and Productivity Enhancement (Enterprise Project Fund) under Component 3: Enterprise Development of PRDP will be coursed through and maintained by the Project Support Office (PSO) and will be made available to participating Proponent Groups (PGs);

**WHEREAS**, the **DONOR**'s functions relative to the Project are done through its National Project Coordination Office (NPCO) and the concerned Project Support Office (PSO) and Regional Project Coordination Office (RPCO);

**WHEREAS**, the **DONEE** manifested its interest to participate in the Project, and submitted to the DONOR, through its RPCO, pertinent documentary requirements for its proposed sub project;

**WHEREAS**, the \_\_\_\_\_ has issued a No Objection Letter (NOL) 1 on \_\_\_\_\_, as approval for funding of the proposed subproject, which is the basis of this Deed of Donation (DOD);

**WHEREAS**, the **DONOR** and the **DONEE** have committed to perform actions as set out in this Deed of Donation (DOD) hereinafter referred to as the Agreement to ensure the successful implementation of the approved subproject, and thus achieve the Project's desired objectives;

**WHEREAS**, the **DONEE** through Board Resolution No. \_\_\_\_\_ dated \_\_\_\_\_ has authorized the Chairperson to sign this Agreement and commit the DONEE to the provisions herein;

**NOW, THEREFORE**, for and in consideration of the foregoing premises, the parties thereto agree as follows:

1. That the DONOR is the Owner of the following as described:

Particular	Specifications	Quantity	Amount

2. That the DONEE is a bonafide beneficiary of PRDP and is eligible to accept donation, particularly the foregoing equipment and facilities, necessary for the successful implementation of the subproject as per approved business plan.
3. That in consideration of maximizing the use of government facilities for public purpose, and as an act of liberality and generosity, the DONOR hereby voluntarily and freely gives, transfers and conveys, by way of donation, unto said DONEE the above mentioned machineries, tools, equipment and facilities;
4. That the DONOR further conveys that this donation is not made with the object of defrauding its creditors;
5. That the DONEE, to the best extent possible, shall commit to maintain and sustain the operability of the above-described donated machineries, tools, equipment and facilities to ensure the sustainability of its subproject;

6. That the DONEE hereby receives and accepts the donation made in its favor, and it hereby expresses its appreciation and gratefulness for the kindness and generosity of the DONOR.

### MISCELLANEOUS PROVISIONS

In the case that the subproject did not operate at its best as evidenced by monitoring reports conducted and submitted by DA-PRDP PSO/RPCO and failure to submit reports required by the Project, the DONOR has the right to pull out all donated machineries, tools, equipment and facilities and also cancel the subproject as stipulated in the signed Implementation Management Agreement between the DONOR and DONEE and the provisions stated therein in Article \_\_\_\_ Remedies shall be applied.

**IN WITNESS WHEREOF**, the parties through their duly authorized representative have hereunto affixed their signatures on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

DONOR:  
DA-PRDP  
by:

DONEE:  
PG Name  
by:

\_\_\_\_\_  
Project Director

\_\_\_\_\_  
Chairperson

SIGNED IN THE PRESENCE OF:

\_\_\_\_\_  
IREAP Component Head, PSO/RPCO    IREAP-PPMIU

### ACKNOWLEDGEMENT



Republic of the Philippines)  
\_\_\_\_\_ ) SS

Before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_ in the \_\_\_\_\_,  
personally appeared whom I identified through competent evidence of identity that presented  
to me as follows:

NAME	CTC NO.	DATE/PLACE OF ISSUE
_____	_____	_____
_____	_____	
_____		

and they acknowledge before me that they are the true representatives of the respective  
organizations, the parties to this document and they acknowledge before me that the same is  
true, free and voluntary act and deed of organizations they represent.

WITNESS MY HAND SEAL, this \_\_\_\_\_ day of \_\_\_\_\_ 202\_ at  
\_\_\_\_\_ Philippines.

**NOTARY PUBLIC**

Doc. No.  
Page. No.  
Book No.  
Series of 20\_\_

(Annex E of I-BUILD Operations Manual)  
 Department of Agriculture  
 RFO \_\_\_

**Semi-Annual Operation and Maintenance Audit of Completed PHF-MPC with SD**

Sub-Project Name :	Date of Inspection :
Barangay:	Physical Indicator :
Municipality :	Sub-Project Total Cost:
Province :	Date of Completion :
Congressional District :	Date of Turn-Over :

**I. Functionality (40%)**

Item Description	Fully Functional	Functiona l	Partially Functional	Not functiona l	Numerical Rating
	1	2	3	4	
Level of Functionality					
Weighted Rating (40%)					

**II. Physical Status (30%)**

Item Description	Level	Level	Level	Level	Numerical Rating
	1	2	3	4	
<b>I. Building Structure</b>					
<b>A. Floor</b>					
1. Cracks					

2. Settlement/deflection					
3. Scaling					
<b>B. Structural Frame</b>					
1. Column					
1.1 Cracks					
1.2 Buckling					
1.3 Peeling of plaster					
2. Beam					
2.1 Cracks					
2.2 Deflection					
2.3 Peeling of plaster					
3. Wall					
3.1 Cracks					
3.2 Peeling of plaster					
<b>C. Roof and Roofing Accessories</b>					
1. Roof (GI/Slab)					
2. Truss					
3. Purlins					
4. Accessories					
4.1 Gutter/side flashing					

4.2 Downspout					
4.3 Flashing					
4.4 Air vent (roof, ceiling, wall)					
4.5 Ceiling					
<b>D. Perimeter Fence</b>					
1. Gate					
<b>E. Electrical System</b>					
1. Circuit breaker					
2. Wires/cable					
3. Fixtures (lamp/ switch/ outlet)					
<b>F. Office</b>					
1. Doors					
2. Windows					
3. Ceiling					
4. Comfort room					
4.1 Plumbing system					
4.2 Wall and floor tiles					
4.3 Fixtures (lavatory, water closet, faucet, etc)					
5. Electrical system					

5.1 Wires/cable					
5.2 Fixtures (lamp/switch/ outlet)					
<b>G. Painting</b>					
1. Paint on concrete surface					
2. Paint on steel surface					
3. Paint on wooden surface					
4. Paint on roof and accessories					
<b>H. Signboard</b>					
<b>I. Solar Drier</b>					
<b>A. Pavement/slab</b>					
1. Cracks					
2. Settlement/deflection					
3. Scaling					
<b>B. Drainage</b>					
<b>C. Pavement shoulder</b>					
<b>D. Environment within the Site Premises</b>					
1. Cleanliness					
2. Water ponding					
<b>II. Post-harvest Equipment</b>					
<b>Total</b>					

Average Rating	
	Weighted Rating (30%)

**III. Social and Institutional Status (30%)**

<b>A. Provincial/Municipal and Barangay LGUs and Community Organizations</b>					
1. Organizational status					
2. Meetings/Trainings attended/conducted					
3. O&M activities conducted/initiated					
4. Participation of IOMG during inspection					
5. Office set-up					
<b>B. Operation &amp; Maintenance Fund</b>					
1. O & M fund					
2. O & M fund utilization					
3. Improvement/enhancement introduced					
<b>C. Operation &amp; Maintenance Plans and Policies</b>					
1. O & M Plan					
2. Policies & Ordinances					
<b>D. Other Support</b>					
1. Support of Municipal LGU					
2. Support of Barangay LGU					

3. Others (CDF, Provincial LGU)					
Total					
Average Rating					
Weighted Rating (30%)					

<b>Overall Rating</b>		
<b>Equivalent Rating</b>		

**General Observations:**

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**Recommendations:**

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**Raters:**

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**Annex 30– Environmental and Social Safeguards Compliance Monitoring Checklist  
(I-REAP Enterprise Operations)**

INSTRUCTIONS: The SES personnel shall accomplish the FORM. Check ( / ) the appropriate column to indicate level of compliance with the environmental management measures listed below. If compliance could not be determined for a particular environmental management measure, mark the column as “NA” or Not Applicable. Give additional information or remarks, if any. Use the back page of this FORM for additional space to write on. Accomplished Form should be signed by the SES personnel and should be posted in the field office.

Certain	5	10	15	20	25
Highly	4	8	12	16	20
Likely	3	6	9	12	15
possible	2	4	6	8	10
unlikely	1	2	3	4	5
	Neg	Minor	Mod	Severe	Catas

**Subproject Name:** \_\_\_\_\_

**Subproject Location:** \_\_\_\_\_

**Name of Proponent Group:** \_\_\_\_\_

**Name of Contractor:** \_\_\_\_\_

**Subproject Duration:** \_\_\_\_\_

**Subproject Cost:** \_\_\_\_\_

**Date** \_\_\_\_\_

**Monitor/Inspection:** \_\_\_\_\_

**Subproject Activities:** \_\_\_\_\_

SES ITEM	Compliant	Risk Assessment	Additional Information/ Remarks
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		Y E S	N O	N/ A	Impa ct	Likelih ood	I x L	Res ult	(i.e. if not compliant, state reason why; please also include here if there are good practices observed i.e. employment of women; for risk assessment, indicate the impacts assessed for High and Extreme)
<b>A. Enterprise Office Requirements</b>									
1	Site Acquisition documents properly filed (i.e. Land Title; Usufruct; Lease Contract; Deed of Sale/Deed of Donation; Certification of Municipal Waters, Zoning Certification/Ordinance)								
2	Standard (Sanitation) Operating Procedures prepared and posted								
3	SES Monitoring Checklist on Enterprise Operations posted								
4	Approved written policies, systems and procedures of the PG are in place								
5	Transparency mechanism in place (i.e. full disclosure bulletin board)								
6	Conducted regular/periodic monitoring and maintenance of the building and equipment based on the O&M plan								
7	ESMP (with Chance Finds Procedure) and approved DOLE-OSH plan properly posted								
8	GRM Tarpaulin (with GRM Process flow poster) installed and feedback box available at the PG Offices and other strategic areas								
9	Copy of DENR and other partner agencies related clearances/permits properly posted (i.e. sanitary permit, BFAD etc.)								
<b>TOTALS</b>									
<b>B. Social Safeguards (Social Inclusiveness and equitable benefit-sharing and GRM)</b>									
1	Meaningful participation of members in decision-making processes of the Cooperative/Association								
	1.a) PG members (non-officers)								
	1.b) Women								
	1.c) Indigenous Peoples								

	1.d) Other vulnerable groups (i.e. PWDs, elderly)							
2	Open membership and fair stockholder policy implemented							
3	Target increase in membership implemented and with plan for expansion of membership tied up to the grant							
4	Equal (income of enterprise equally distributed) and equitable sharing (patronage refund) implemented among members of the PG/s							
5	Tangible benefits to the workers of the enterprise, including any plan to increase wage, fringe benefits and any plan to increase the number of workers implemented							
6	No economic displacement of existing similar or exactly the same enterprise/business in the area							
7	Increase in member-farmers and/or fishers incomes *to be monitored according to business cycle when increase in income will happen							
8	Non-members benefitted from the enterprise							
9	Target beneficiaries received the farm interventions as per Business Plan (i.e. farm, livestock, poultry inputs; machineries/equipment and enterprise activities)							
10	Measures to detect and address crop/animal/fisheries diseases are in place (i.e. detecting red tide infestation in the area) to address threat to production and impacts to community safety and health							
11	Functional GRM Hotline							
12	Complaints and feedback documented, properly addressed, and resolved							
13	SES findings and observations disseminated to all PG members							
14	Land donated or sold is in the name and actual possession of the PG							
<b>TOTALS</b>								

C. Generic ESMP items								
C.1 Environmental Safeguards								
1	PG and LGU and DENR closely monitored land boundaries and immediately act on any encroachment to existing forests/natural habitat							
	Strictly complied with land conversion policies/designation of areas for mariculture/aquaculture/for water-based enterprise taking into consideration carrying capacity of the area							
2	2.a) Proliferation of insects, flies, rodents and other pests properly addressed							
	2.b) Land pollution due to excessive/abuse use of fertilizers and pesticides avoided/mitigated							
	2.c) Air pollution/air quality degradation (i.e. manure odor; dust/dirt/suspended particulates; use of bagasse as fuel for cooking muscovado) controlled/mitigated							
	2.d) Noise pollution (i.e. noise from equipment and machine during operation) regulated							
3	Observed water conservation measures to mitigate competition in water use and water resources							
4	Proper waste water management observed (i.e. waste treatment facility)							
5	Proper solid waste/animal waste management (i.e. regular disposal, segregation and composting)							
6	Farmers adopted/applied the following:							
	6.1) DA-KASAKALIKASAN - Integrated Pest Management (IPM)							
	6.2) Good Agricultural Practices (GAP)							
	6.3) Good Manufacturing Practices (GMP)							
	6.4) Good Animal Husbandry Practices (GAHP)							
	6.5) Good Aquaculture Practices (GAqP)							
	6.6) Hazard Analysis Critical Control Point (HACCP)							

	6.7) Organic Agriculture (OA)								
<b>TOTALS</b>									
<b>C.2 Occupational Safety and Health</b>									
1	Emergency response procedures established and emergency hotlines [RHU PNP BFP LGU] posted								
2	Personnel trained on first aid and adequate first aid kit and medicine provided								
3	Accident/Incident Report documented								
4	Workers are properly wearing appropriate PPE								
5	Workers provided with potable water								
6	Workers have access to adequate and prescribed pit latrines, toilet and sanitary facility.								
7	Regular Potability Test Conducted								
8	Work place is well ventilated with adequate lighting								
9	Workers are properly compensated based on the approved wage rate in the area.								
10	Safety and warning signages to inform and make the workers aware of possible danger installed								
11	Fire hydrant/extinguishers properly displayed, available, functional and regularly monitored								
12	No children/minor are employed								
13	Conducted awareness campaign on healthy and safe work place against transmittable diseases and displayed posters at Enterprise office (e.g. HIV, vector-borne diseases, and other communicable/transmissible diseases, anti-smoking campaign, drug-free working environment)								
<b>TOTALS</b>									
<b>C.3. Local Government Unit</b>									
1	Complaints and feedback documented, properly addressed, and resolved								
2	Farmers trained on the following programs depending on the enterprise:								

	2.1) DA-KASAKALIKASAN - Integrated Pest Management (IPM)							
	2.2) Good Agricultural Practices (GAP)							
	2.3) Good Manufacturing Practices (GMP)							
	2.4) Good Animal Husbandry Practices (GAHP)							
	2.5) Good Aquaculture Practices (GAqP)							
	2.6) Hazard Analysis Critical Control Point (HACCP)							
	2.7) Organic Agriculture (OA)							
3	Provided personnel/staff/members with the necessary training (i.e. management, financial, organizational, first aid, anti-discrimination, DRRM and other related training activities) and technical assistance from LGU, line government agencies and non-government organizations							
4	Functional GRM Hotline							
5	GRM Tarpaulin (with GRM Process flow poster) installed and feedback box available at all levels							
6	Indigenous Peoples Plan (IP Plan) implemented							
<b>TOTALS</b>								
D. Subproject specific ESMP items (list down specific ESMP items to be monitored especially on community safety) based on the filled-up per subproject visited								
1								
2								
3								
4								
5								
<b>TOTALS</b>								
<b>Monitored / Inspected by:</b>		<b>Noted By:</b>						

<hr/> <b>MLGU/PLGU-SES</b>	
<hr/> <b>RPCO - SES</b>	
<hr/> <b>PSO - SES</b>	
<hr/> <b>NPCO - SES</b>	<hr/> <b>Proponent Group</b>

### **Annex 31– Revised Supplemental Guidelines on the Utilization of Savings from Financing I-REAP Subprojects**

#### **A. Rationale**

In response to the results of the consultations with implementers and the result of the successive natural calamities<sup>37</sup> that hit the country, these revised supplemental guidelines<sup>38</sup> for financing I-REAP subprojects is being issued to provide details on the utilization of savings from the funds downloaded to the Implementing Proponent.

As the implementation of the I-REAP subprojects progressed, and upon complete procurement of all goods and works of the approved subprojects, there had been several cases when the subproject acquired savings out of the funds downloaded to the LGU or the PG.

The procedures provided in these guidelines shall only be applicable to completed I-REAP subprojects, which means all goods and works stated in the approved Procurement Plan have been procured, delivered/constructed and paid. It is expected that this will contribute to a more efficient and continuous operation of approved enterprises.

#### **B. Scope and Purpose**

This issuance shall supplement the provisions of existing I-REAP guidelines and manual. It shall provide further guidelines to the project implementers on the utilization of the I-REAP funds downloaded to the Implementing Proponent to implement the approved I-REAP subprojects. The guidelines should not disregard quality review of the business plans especially in estimating the costs of the items to be procured for the approved subproject.

#### **C. Determining Unutilized Fund**

Savings is determined after the Implementing Proponent procured and paid all items identified in the approved Procurement Plan for each I-REAP subproject, both goods and works. This fund would mean savings from procurement for I-REAP subprojects. This should

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<sup>37</sup> The combined damage to the agriculture sector of the three consecutive typhoons that hit the country (Quinta, Rolly and Ulysses) was valued at Php12 Billion already, which greatly affected the agricultural and fishery areas of Luzon.

<sup>38</sup> The first supplemental guideline was issued No Objection Letter by World Bank on February 13, 2019 while this revised supplemental guidelines was issued No Objection Letter by World Bank on January 14, 2021

be identified and clearly stated in the Statement of Receipts and Expenditures (SRE) to be submitted by the Implementing Proponent for the last tranche downloaded by the PSO.



#### D. Eligible Expenditures or Usage of Fund

The savings can only be used to finance additional equipment and facilities or enhancement of the procured equipment and facilities that would improve productivity and efficiency of operations of the approved subproject. It could also be used to finance repair and replacement of the damaged assets such as equipment, facilities and structures caused by natural calamities and disasters and as additional working capital of the Implementing Proponent to start again the operation of the enterprise subproject. It may also be used by the Implementing Proponent in availing technical assistance relevant to the subproject from any reputable business development service providers. Utilization of the savings should comply with the required financing mix for I-REAP subprojects. Any cost above the savings should be for the account of the Implementing Proponent.

#### E. Procedures for Accessing the Fund

##### 1. Submission of Letter Request and Proposal

The Implementing Proponent shall submit a letter request to the Regional Project Coordination Office (RPCO) for the proposed utilization of savings. The request shall be accompanied by a simple proposal indicating the purpose or where the fund will be used and a justification for the request. The justification should cover how the provision of the request will contribute in increasing productivity and efficiency of the operations of the enterprise or how it will help the Implementing Proponent recover from the effects of natural calamities and disasters and start again and continue the operation of its enterprise. It should also provide justification on how this will benefit the farmers or fishers beneficiaries. A simple financial analysis should be prepared to determine economic and financial benefits of the proposal.

##### 2. Evaluation and Approval of the Request

The RPCO shall evaluate the merit of the request and the proposal. If found eligible, it shall issue the No Objection Letter 1 to the request for the use of the savings. Should the request be denied or disapproved, the savings will be automatically refunded or returned to the PSO.

##### 3. Implementation

The NOL 1 and the approved Procurement Plan shall be the basis in the implementation of the proposal, following the PRDP Procurement Guidelines. The fund shall also be liquidated following the PRDP Financial Management Guidelines.

Proposal Template for The Utilization of Savings from the Project Fund of  
Approved Enterprise Development (I-REAP) Subprojects

**Section 1: Subproject Details**

Please provide summary details about your organisation in the table below.

Name of Subproject	
Implementing Proponent	
Location	
Total Amount of Business Plan	
● Total Enterprise Project Cost (including infrastructure)	
● Implementing Proponent Equity	
Date Started	
Date Completed	
Amount and Purpose of the Savings	(indicate the amount of the saving purpose where savings be used)

**Section 2: Proposal Details (maximum of 5 pages only)**

Please complete all sections below to outline the proposal.

A. Background	Briefly discuss the existing subproject approved by PRDP and the status of enterprise operation and actual accomplishments vis-à-vis the business plan targets.
B. Rationale/Justification	Briefly discuss the reason for requesting the use of the savings. Why is it needed? What is/are the objective/s?
C. Impact to Enterprise Operation	<p>Discuss how the request for the use of the savings will contribute in increasing the productivity and efficiency of the enterprise operations. For savings to be used in the purchase of additional equipment or facility, show data (in tabular form) on the impact of the equipment or facility to the operation of the enterprise on productivity/capacity, efficiency, market reach, sales, operating cost, etc. Provide before and after scenario-Year 1).</p> <p>For savings to be used in the repair and replacement of damaged assets (equipment, facilities, and structure) brought by natural calamities and disasters and as additional working capital to start again the enterprise operation, provide data and information on (i) the detailed nature of the damages, detailed cost of repair and replacement, and detailed breakdown of working capital required to re-start activity; (ii) how the enterprise will ensure that they will be protected against natural calamities and</p>

	<p>disasters in the future (e.g., insurance policy, establishment of O&amp;M funds and calamity funds, etc.); (iii) and a timeline for its implementation.</p>
<p>D. Benefits to Farmers/ Fishers</p>	<p>Describe how the request will benefit the target subproject beneficiaries. <i>(Discuss how the provision of the equipment/facility will be beneficial to the farmers/fishers. Show data (in tabular form) the impact on farmers productivity, income, climate resiliency, etc. Provide before and after scenario- Year 1)</i></p> <p>For savings to be used in the repair and replacement of damaged assets (equipment, facilities and structure) brought by natural calamities and disasters and as additional working capital to start again the enterprise operation, there is no need to provide before and after scenario</p>
<p>E. Financial Analysis</p>	<p>Prepare One Year Income Statement and Monthly and Annual Cash Flow</p>