



PHILIPPINE RURAL DEVELOPMENT PROJECT SCALE - UP

SOCIAL AND ENVIRONMENTAL SAFEGUARDS UNIT

Project Operations Manual

V06222023

Table of Contents

List of Acronyms.....	4
1. Introduction.....	8
1.1. The Project.....	8
1.2. Project Development Objectives.....	8
1.3. Project Components.....	9
a. Component 1: National and Local Level Planning (I-PLAN).....	9
b. Component 2: Rural Infrastructure Market Linkage (I-BUILD).....	10
c. Component 3: Enterprise Development (I-REAP).....	13
d. Component 4: Project Implementation Support (I-SUPPORT).....	15
e. Component 5: Contingent Emergency Response Component (CERC).....	16
1.4. Target Areas and Beneficiaries.....	16
1.5. Subproject Threshold.....	16
2. Environmental and Social Standards (ESS).....	16
3. Implementation Arrangement for Social and Environmental Safeguards.....	19
3.1. ESF Institutional Arrangement.....	19
3.2. SES Activities and Responsible Units.....	22
3.3. ESF Instruments.....	33
3.3.1. Environmental and Social Commitment Plan (ESCP).....	33
3.3.2. Environmental and Social Management Framework (ESMF).....	33
a. ESMF Instruments.....	34
3.3.3. Labor Management Procedure (LMP).....	39
3.3.4. Land Acquisition and Resettlement Policy Framework (LARPF).....	40
3.3.5. Indigenous People’s Policy Framework (IPPF).....	46
3.3.6. Stakeholder Engagement Procedure (SEP).....	48
4. Compliance Monitoring (Annex P of the ESMF).....	50
5. Reporting Requirements.....	50
6. Grievance Redress Mechanism.....	51
6.1. Grievance Types.....	53
a. Tools and Instruments in Operating the GRM.....	55
b. GRM Requirements.....	57
c. Grievance Monitoring.....	57
7. Mainstreaming/Integration of the PRDP Scale Up Tool/Innovation.....	58
8. CERC for ESMF.....	59

List of Acronyms

A&D	Alienable and disposable land
AC	Adaptive Capacity
ACPC	Agricultural Credit Policy Council
AD	Ancestral Domains
ADSDPP	Ancestral Domain Sustainable Development and Protection Plan
AECA	Agro-Enterprise Clustering Approach
AF	Additional Financings
AFF	Agriculture, Forestry, and Fishery
AGT	Applied Geotagging Tool
AL	Ancestral Lands
AMAS	Agribusiness and Marketing Assistance Services
AO	Administrative Order
BAFPS	Bureau of Agriculture and Fisheries Product Standards
BAI	Bureau of Animal Industry
BARMM	Bangsamoro Autonomous Region in Muslim Mindanao
BCP	Business Continuity Plan
BFAR	Bureau of Fisheries and Aquatic Resources
BIFF	Bangsamoro Islamic Freedom Fighters
BMB	Biodiversity Management Bureau
BMP	Biodiversity Management Plan
BSDS	Bridge Seismic Design Specifications
C/MPMIU	City/Municipal Project Management Implementing Unit
CDPs	Cluster Development Plans
CERC	Contingent Emergency Response Component
CESMP	Contractor's Environmental and Social Management Plan
CHMP	Cultural Heritage Management Plan
CIS	Communal irrigation systems
CLUP	Comprehensive Land Use Plan
CNC	Certificate of Non-Coverage
COSH	Community and Occupational Safety and Health
COT	Certificate of Treatment
CRVA	Climate Risk Vulnerability Assessment
CSIP	Commodity System Investment Planning
CSPP	Conflict-Sensitive and Peace-Promoting
DA	Department of Agriculture
DED	Detailed Engineering Design
DENR	Department of Environment and Natural Resources
DGCS	Design Guidelines, Criteria, and Standards
ECAs	Environmentally Critical Areas
ECC	Environmental Compliance Certificate
ECPs	Environmentally Critical Projects
EHSGs	Environmental Health and Safety Guidelines
EIQ	Environmental Impact Quotient
EIS	Environmental Impact Statements
EMB	Environmental Management Bureau
EMFG	Environmental Management Framework Guidelines
EOMS	Enterprise Operation Monitoring System

ESA	Environmental and Social Assessment
ESF	Environmental and Social Framework
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESSs	Environmental and Social Standards
eVSA	Expanded Vulnerability and Suitability Analysis
F2C2	Farm and Fisheries Clustering and Consolidation
FCAs	Farmers Cooperatives and Associations
FCAPMIU	Fisherfolks/Farmers Cooperatives and Associations Project Management and Implementation Unit
FFRS	Farmers and Fisherfolks Registration System
FIs	Financial Intermediaries
FLAG	Forest Land Use Agreement
FMR	Farm-to-Market roads
FMRNP	FMR Network Plan
FPIC	Free Prior and Informed Consent
FFS	Farmers' Field School
GAP	Good Agricultural Practices
GBV	Gender-Based Violence
GDP	Gross Domestic Product
GGU	Geo-mapping and Governance Unit
GHG	Greenhouse gas
GIIP	Good International Industry Practice
GMP	Good Manufacturing Practice
GRM	Grievance Redress Mechanism
HACCP	Hazard Analysis and Critical Control Point
I-BUILD	Rural Infrastructure Market Linkage
IEE	Initial Environmental Examination
IESSF	Integrated Environmental and Social Safeguards Framework
IKSP	Indigenous Knowledge Systems and Practices
IP	Indigenous Peoples
IPCC	Intergovernmental Panel on Climate Change
I-PLAN	National and Local Level Planning
IPMP	Integrated Pesticide Management Plan
IPPF	Indigenous Peoples Policy Framework
IPRA	Indigenous Peoples Rights Act
I-REAP	Enterprise Development
IRRI	International Rice Research Institute
I-SUPPORT	Project Implementation Support
JTR	Joint Technical Review
KBAs	Key Biodiversity Areas
LARPF	Land Acquisition and Resettlement Policy Framework
LARRF	Land Acquisition, Rehabilitation, and Resettlement Framework
LCCAPs	Local Climate Change Action Plans
LGUs	Local Government Units
LMP	Labor Management Procedures
MED	Monitoring and Evaluation Division
MEL	Monitoring, Evaluation, and Learning
MGB	Mines and Geosciences Bureau
MILF	Moro Islamic Liberation Front

MIPA	Ministry of Indigenous Peoples' Affairs
MPDO	Municipal Planning and Development Officer
MPMIU	Municipal Project Management and Implementation Unit
MRDP	Mindanao Rural Development Project
NAFMIP	National Agriculture and Fisheries Modernization and Industrialization Plan
NAMRIA	National Mapping and Resource Information Authority
NCCA	National Commission for Culture and the Arts
NCIP	National Commission on Indigenous Peoples
NEDA	National Economic and Development Authority
NFRDI	National Fisheries Research and Development Institute
NGAs	National Government Agencies
NHCP	National Historical Commission of the Philippines
NOL	No Objection Letter
NPCO	National Project Coordination Office
NTP	Notice to Proceed
NWRB	National Water Resources Board
ODS	Ozone Depleting Substances
OECD	Organisation for Economic Co-operation and Development
OL	Original Loan
OSH	Occupational Safety and Health
PABES	Philippine Agricultural and Biosystems Engineering Standard
PAFES	Provincial Agriculture and Fishery Extension Service
PAGASA	Philippine Atmospheric, Geophysical and Astronomical Services Administration
PAPs	Project Affected Persons
PCA	Philippine Coconut Authority
PCIPs	Provincial Commodity Investment Plans
PDRRM	Philippine Disaster Risk Reduction and Management
PG	Proponent Group
PHIVOLCS	Philippine Institute of Volcanology and Seismology
PISA	Program for International Student Assessment
POM	Project Operations Manual
POPS	Peace and Order and Public Safety
POPs	Persistent Organic Pollutants
POW	Program of Works
PPDO	Provincial Planning and Development Officer
PPMIU	Provincial Project Management and Implementation Unit
PPPs	Public-Private Partnerships
PRDP	Philippine Rural Development Project
PSA	Philippine Statistics Authority
PSO	Project Support Office
PWS	Public Water Supply
R2R	Ridge-to-Reef
RAFIP	Regional Agriculture and Fisheries Investment Portfolio
RAP	Resettlement Action Plan
RFO	Regional Field Office
RPAB	Regional Project Advisory Board
RPCO	Regional Project Coordination Office
SAPA	Special Use Agreement in Protected Area

SDD	Sex Disaggregated Data
SEA/SH	Sexual Exploitation and Abuse/ Sexual Harassment
SEP	Stakeholder Engagement Plan
SES	Social and Environment Safeguard
SOGIE	Sexual Orientation, Gender Identity and Expression
SP	Subproject
SPARs	Subproject Appraisal Reviews
STDs	Sexually Transmitted Diseases
SWA	Statement of Work Accomplished
TCP	Tree Cutting Permit
VCA	Value Chain Analysis
VCI	Value Chain Infrastructure

1. Introduction

1.1. The Project

The Philippine Rural Development Project (PRDP) Scale-Up is an offshoot from the original PRDP and its two Additional Financing which was implemented since 2014 by the Department of Agriculture (DA) with support from the World Bank. PRDP Scale-Up is an expanded response to the persistent challenges confronting the agri-fishery sector and the rural communities in the country. Building on the good practices, experiences and lessons learned from the original PRDP, the PRDP Scale-Up will continue to focus on food value chains to ensure greater connectivity, mobility, accessibility, availability, and affordability of food to meet consumer demand.

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 (VCI) support, the inclusion of rice and corn focusing on value addition, and mainstreaming of institutional reforms in the DA programs and projects.

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). Value Chain Analysis (VCAs) and PCIPs under the I-PLAN component will remain as references in identifying and prioritizing interventions that would be developed into subprojects.

Farm-to-Market Roads (FMRs) would comprise the bulk of the investments for financing, followed by VCI support such as pre- and post-harvest facilities as common service facilities to facilitate better access to quality and safe agriculture produce. The FMRs and VCI support under the I-BUILD component as well as big ticket enterprise subprojects under the I-REAP component will form part of the project.

Similar to the original PRDP, the PRDP Scale Up will cater to Local Government Units (LGUs) at the provincial, municipal, and city levels as primary implementing partners of infrastructures, and FCA and/FCA clusters, including LGUs, as eligible proponents for enterprise development subprojects. FCAs with existing Cluster Development Plans (CDPs) will be considered as priority beneficiaries given their preparedness for project implementation.

Implementation of the original PRDP and its two AFs resulted in good practices including for environment and social safeguards. Mainstreaming efforts are underway to mainstream such innovations into the overall systems and procedures of DA. The project will continue to strengthen the mainstreaming efforts and pursue integration of the innovations which are being adopted by DA offices. Technical assistance and capacity building under the project implementation support (I-SUPPORT) will be intensified to enable the LGUs to take on their expanded role of pursuing agricultural development.

1.2. Project Development Objectives

The project development objective statement is:

“To improve farmers and fisherfolk access to markets and increase income from selected agri-fishery value chains.”

The adoption of clustering and consolidation strategy implemented by the DA's Farm and Fisheries Clustering and Consolidation (F2C2) Program will further improve the economies of scale and leverage the bargaining power of Farmers Cooperatives and Associations (FCAs). Anchored on the strategic framework of the NAFMIP, the project will conduct regional articulation of the PCIPs with the F2C2 Cluster Development Plans (CDPs) as integral and core components of project interventions. Inclusion of the private sector is also a centerpiece of this project, tapping into their resources, and alignment of agri-fishery activities to the industry demands. PRDP Scale-Up will complement existing DA development programs and projects across target commodities. Project implementation will be further strengthened with the institutionalization of the new environmental and social safeguards framework and protocols, including adoption of latest guidelines on infrastructure development and enhancement of digitalization efforts, to ensure accountability, transparency and efficiency of all activities inherent to the project operation.

1.3. Project Components

The PRDP Scale-Up will cover all four interlinked components of the original PRDP and its two Additional Financing, namely, I-PLAN, I-BUILD, I-REAP, and I-SUPPORT and a fifth component Contingency Emergency Response Component (CERC) on financing to respond to crisis or emergency. The key activities and interventions in each component are described below:

a. Component 1: National and Local Level Planning (I-PLAN)

The I-PLAN component of the PRDP Scale-Up will lay down the strategic framework in the context of overall project operation and implementation of interventions. Invoking NAFMIP (2021-2030) as the medium-term strategic framework for the rationalization of DA's plans and budgets, the primary goal of the I-PLAN Component of the PRDP Scale-Up is to strengthen the framework and linkages for the delivery of devolved but integrated agriculture and fishery services by the national and local government units. The component anticipates seeing the results of capacity development activities reflected in the updated and enhanced VCAs and PCIPs.

Enhancements to the PCIP process would include the introduction of a regional/spatial perspective, integration of climate adaptation and mitigation measures, and promotion of private sector financing, and insurance, consistent with the Food Security Development Framework and the Devolution Transition Plan of the DA. Whereas the ongoing PRDP does not provide value chain support for rice and corn, PRDP Scale-Up would include support in the development and formulation of VCAs and Commodity Investment Plans for these commodities.

Adhering to the clustering and consolidation approach, the rolling out of the regional perspective in the planning process will be conducted to expand the investment planning initiatives from the local level ensuring a regional perspective in the governance of value chains. The Regional Agriculture and Fisheries Investment Portfolio (RAFIP), as an output of the process, will ensure linkage and alignment of local plans to directions and strategies at the national level. With the integration of PCIPs and CDPs into the RAFIP, it will ensure alignment and articulation of the NAFMIP directions and strategies along the commodity value chains. Activities to be financed would be through the following sub-components:

- i. Subcomponent 1.1: Operationalizing the National Agriculture and Fisheries Modernization and Industrialization Plan (NAFMIP)

Technical assistance, studies, workshops and training would be financed to: (i) incorporate regional/spatial perspectives into PCIP planning, along with generation of RAFIP which would highlight PCIP multi-commodity and multi-provincial interventions in the region with potential for clustering and upscaling, based on regional analysis; (ii) strengthen the planning process through assessment of climate and natural hazard risk and vulnerabilities through the use of available information from different decision-support tools such as Climate Resiliency and Vulnerability Assessment (CRVA), eVSA, and FishVOOL (Fisheries Vulnerability Assessment Tool) that are being made available through the Planners Portal; (iii) strengthen convergence with DA partners and engagement with the private sector through the Commodity System Investment Planning (CSIP) process to broaden the base for agri-fishery sector transformation, and to promote Public-Private Partnerships (PPPs) as the catalyst for further investments; (iv) strengthen operational guidelines to ensure LGU-Project Implementation Units are adequately and consistently staffed, trained and resourced to implement PRDP-Scale-up, in keeping with the “Institutional Strengthening Action Plan”. (This would be undertaken in conjunction with Component 4 activities and would be aligned with DA’s Devolution Transition Plan for implementing the Mandanas ruling); (v) formulate VCAs for rice and corn in line with the National Food Security agenda and in collaboration with the DA’s Rice and Corn Banner programs; and vi) Enhance digital platforms, particularly the existing “Planners Portal” to strengthen planning, decision-making and e-Learning through improvements in climate information and data storage, maps for better visualization, and Decision Support Tools (e.g. eVSA, CRVA, VCAs) (This would include training in the use of digital planning platforms that provide feedback on markets, innovation and industry bottlenecks and meet the needs of decision-makers at various levels).

ii. Subcomponent 1.2: Improving NAFMIP Implementation Strategies and Approaches

Technical assistance, studies, training, and workshops would be financed to help in addressing identified gaps in the value chain and in the design of policies and investments supporting the consolidation, modernization, industrialization, and professionalization of the agri-fishery sectors. For research and capacity-building activities, the I-PLAN Component will act as a vehicle for innovations as it explores areas aligned with the sector’s reform agenda such as through: (i) development of efficient supply chains linking producers with market outlets; (ii) more accessible financing across all value chain stakeholders; (iii) spatial planning for identification of development needs based on growth potentials, climate risks and vulnerabilities; (iv) promotion of improved inputs, climate-smart technologies and innovations; (v) proactive organization of clusters involving training and capacitation; and (vi) encouragement of youth engagement in agriculture with a view to promoting a new generation of business-oriented, climate knowledgeable farmers; a goal that includes a significant opportunity for expanding the roles of women in the agri-fishery sectors^[1]. The sub-component would also continue to support (i) the leveraging of resources for PCIPs through stronger engagement with the private sector; (ii) harmonization of strategies in the allocation of resources and delivery of support services among implementers; and (iii) a platform for discussion and feedback on market and innovation developments, as well as industry bottlenecks.

b. Component 2: Rural Infrastructure Market Linkage (I-BUILD)

The I-BUILD component will focus on delivering climate-resilient access and value chain infrastructure support with the end goal of building up food distribution hubs and logistics systems to provide unhampered mobility, access and stable supply of food commodities and other agri-fishery products with reduced transport, handling, and hauling costs thereby

improving product quality and prices in target markets. It will take off from I-PLAN's strategic overlay of criteria and parameters in coming up with key investment areas in the value and supply chains from the regional perspective. To further ensure more climate-resilient and sustainable rural infrastructure investments, hazard mapping analysis will be considered in the design and planning of infrastructure subprojects with the incorporation of the Philippine Agricultural and Biosystems Engineering Standard (PABES) and the environmental and social framework. Activities to be financed would be through two sub-components as follows.

i. Subcomponent 2.1: Strengthening Critical Public Value Chain Infrastructure Support

This would finance the design and construction of climate resilient rural infrastructures such as FMRs, Public Water Supply (PWS-levels 1 & 2), irrigation facilities (e.g., sprinkler, drip, solar powered, ram pump, and spring development), as well as public pre-and post-harvest facilities (e.g., tramlines, abattoirs, dressing plants, fish landings and watch towers). The updated criteria and procedures for the preparation, review, approval and financing of infrastructure sub-projects will adopt those defined in the well-established PRDP- Project Operations Manual for I-BUILD. Enhancements include the use of provincial/municipal (climate and natural) hazard maps and information from the GeoRiskPH data platform (<https://www.georisk.gov.ph>), which hosts multi-hazard maps from different government agencies for evaluating the risk profile of proposed subprojects to better inform the engineering design and implementation requirements. Whenever possible, the Green Building Code^[2] would be incorporated in the design and construction of vertical structures to lessen the subproject's effects on the environment through improved energy efficiency, water and wastewater management, materials sustainability, solid waste management, site sustainability, and indoor environmental quality.

ii. Subcomponent 2.2: Improving the Effectiveness and Sustainability of Agri-Fishery Value Chain Infrastructure

This would support technical assistance, studies and capacity-building for updating specifications and the use of provincial/municipal (climate and natural) hazard maps to ensure infrastructure design and implementation requirements address regional variabilities and differentials to climate risk, impact, and vulnerabilities. The climate adaptation measures to be introduced are expected to generate significant climate co-benefits through: (i) mainstreaming climate resilience throughout the lifecycle of subproject asset management; (ii) technical support for LGUs to enhance their design, implementation and O&M requirements and capacity; (iii) use of science-based instruments (GIS-based tools, including the georisk.gov.ph platform) to better identify climate risks and vulnerability of subprojects; (iv) more climate-resilient design standards permitting all-weather access, while also providing for increased frequency of extreme weather events; (v) strengthened climate resilient road safety measures; and (vi) completion of the FMR Network Plan (FMRNP) enabling the mainstreaming of a harmonized screening guide to rationalize FMR investments based on access needs and climate vulnerability, across government agencies. Table 1 presents the description of proposed subprojects under I-BUILD.

Table 1. Eligible Sub projects under I-BUILD Component

Subproject Type and Indicative Cost (PHP)	Description
---	-------------

<p>Farm to market road</p> <p>21.7 million/ Kilometer</p>	<ul style="list-style-type: none"> ● 5.00 / 6.10 meters carriageway width, depending on the traffic count (based on DPWH DO 112, series of 2019, in addition to Department Order 11, series of 2014) including: ● Mandatory concreting of shoulders with road gradient above 10% ● Mandatory concreting of canals with road gradient above 10% regardless of soil classification ● Provision of slope protection structures on all side cuts following the I-BUILD geometrical and design specifications. The design of the slope protection shall depend on the hydrological and geo-physical conditions of the subject landscape, soil classification and slope stability. (reinforced concrete structures, stone masonry, grouted riprap, concrete sheet piles, crib walls, gabions, and slope stabilization through bio-engineering and rock netting, rock nailing technology) ● Mandatory road safety design, road signs, and pavement markings based on DPWH Highway Safety Design Standards Manuals (Part 1 (Road Safety Design Manual) and Part 2 (Road Signs and Pavement Markings Manual))
<p>Bridge</p> <p>1.17 million/linear meter</p>	<ul style="list-style-type: none"> ● 5.60 / 6.70 meters carriageway, depending on the PCCP width ● 20 tons live load capacity depending on current and projected traffic load (based on DPWH DO No. 179, series of 2015 which uses HL-93 as live load consideration and seismic load in accordance with DPWH LRFD Bridge Seismic Design Specifications (BSDS), 1st edition, 2013); Structural design based on AASHTO^[3] HS20-44/HL 93 live loads criteria ● Revetment at bridge abutments 50 meters upstream and downstream of the bridge for drainage management, slope protection, and additional slope reinforcement when necessary
<p>Irrigation Facilities</p> <p>0.35 million/hectare</p>	<p>Communal irrigation systems (CIS), small-scale irrigation facilities for high-value crops, solar-powered irrigation systems, ram pumps, sprinklers, spring development irrigation, drip irrigation projects</p>
<p>Potable water supply</p> <p>0.38 million/household</p>	<p>Level 1 (single point system) such as dug or drilled wells with hand pump, spring, rain collector</p> <p>Level 2 (stand pipes or communal faucet system) drilled shallow/ deep well, spring, infiltration gallery, with piped distribution systems with reservoir(s) which feed a limited number of public or communal taps (within 25-meter radius)</p>

<p>Value-chain rural infrastructures</p> <p>52 million/unit</p>	<p>Public-use managed by LGUs such as slaughterhouses, dressing plants, fish landings, tramlines, feeder ports, and watch towers.</p>
--	---

c. Component 3: Enterprise Development (I-REAP)

The Enterprise Development component aims to increase productivity, value addition and improve access to the market of enterprise clusters through efficient cluster-based agricultural and fishery productivity enhancement interventions. Strategically, I-REAP aims to support proponent groups/enterprises in the provision of common service facilities designed to raise the profitability of agri-fishery producers and enterprises. This would be through clustering to achieve economies of scale in operation and product consolidation, and through technical support to improve product quality, reduced post-harvest losses, strengthened market bargaining power and linkages. The identification of enterprises, commodities, investments and technical support would be prioritized through the PCIP process in conjunction with the prioritization of value chain supportive infrastructure under Component 2.

The clustering of agri-fishery producers would be linked with ongoing DA initiatives, particularly the Farm and Fisheries Clustering and Consolidation Program (F2C2) and implementation of the Provincial Agriculture and Fishery Extension Service (PAFES); an initiative to help capacitate LGUs in coordinating technical services, clustering of producers, and in supporting market development activities. This would be underpinned by the DA Memorandum Circular 21 (2022) that requires all DA Bureaus and agencies to focus their technical support on the strengthening of agri-fishery production through Good Agricultural, Animal and Fishery Practices, as well as compliance with food safety and quality standards. Overall management of this component would be enhanced through the “Enterprise Operation Monitoring System (EOMS) developed under PRDP to track the progress of enterprise operations and achievement of the enterprise operations based on the approved Business Plans. Activities to be financed would be through two sub-components as follows.

- i. Subcomponent 3.1: Rural agri-fishery enterprise cluster productivity enhancement and increased access to markets

The sub-component would fund civil works, equipment and machinery for small to large-scale climate-resilient pre- and post-harvest, processing, logistics, and distribution facilities to enhance the efficiency of FCA/FCA cluster operations, improve product quality and safety, along with enhanced logistics responsive to consumer demand and market outlets.

Proponent Group subproject proposal submissions could come from; (i) Local Government Units (LGUs) where it can be demonstrated that there is a critical value chain-based need and private sector investment is not forthcoming. (In such cases, the LGU would be required to identify a partner FCA, cluster of FCAs, or a private business entity that will manage or co-manage the operations of the enterprise), and (ii) FCA or Cluster of FCAs. (In such cases, 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 (SP) 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 will be the proponent of the subproject. Table 2 presents the indicative list of I-REAP subprojects.

Table 2. List of indicative subproject interventions under I-REAP Sub-component 3.1.

Value Chain Segments	Indicative Subprojects or Elements of Subprojects
Input Supply/ Sourcing	<ul style="list-style-type: none"> ● Seedling Nurseries and Seed Banks ● Tissue Culture Laboratories/ Centers ● Organic Fertilizer Production/ Composting centers ● Fish hatcheries and nurseries ● Feed milling plants ● Multiplier farms, breeding centers for livestock and poultry
Production	<ul style="list-style-type: none"> ● Crop, Livestock, Dairy, and Fish production enterprises (communal farming facilities i.e. greenhouse, grow-out houses/pens, cattle feedlots, fishponds, etc.) ● 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
Consolidation	Buying, Consolidation and Packaging centers for High Value Crops with logistics service facilities (Hauling trucks, refrigerated vans, etc.)
Postharvest	<ul style="list-style-type: none"> ● Establishment and operation of Common Service Facilities for primary post-harvest processes (drying facilities, fermentation houses, HWT/VHT facilities, etc.). ● Storage for Grain, High Value Crops, Meat and Fish Products (Cold Storage facilities, Warehouses with drying and postharvest equipment, Silos, etc.)
Processing	<ul style="list-style-type: none"> ● Rice and Corn processing centers ● GMP compliant Crop/ Meat/ Dairy/fish processing facilities ● Non-food products processing facilities (abaca, coco coir, rubber, etc.)
Marketing	<ul style="list-style-type: none"> ● 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 ● Establishment of auction market facility complete with equipment and the holding pens for large animals including the auction market system

ii. Subcomponent 3.2: Enhancing Agri fishery Enterprise Cluster Capacity

This would fund technical assistance, studies, training and workshops providing a wide range of services tailored to meet Enterprise Business Plan requirements, e.g., for: (a) improved technical and management performance; (b) access to innovative technologies; (c) market diversification; (d) promotion of products through trade fairs and online platforms, e.g., the PRDP Marketplace; and (e) access to finance and insurance. Technical services would be through Program Contracts with agencies best equipped in the area to provide such services. For those producer clusters entering into formalized market agreements with enterprises, technical assistance would be based on Proponent Group Cluster Development Plans^[11]. Such services would, in particular, focus on climate-smart approaches for improving the quality of produce at farm gate and encompass modern on-farm cultivation, handling, storing, crating, grading and food safety technologies, as well as facilitated access to financing and insurance. Other activities to be supported under this component would include: (a) support for PAFES implementation through training of the LGUs in market development and clustering; (b) collaboration across DA agencies in the promotion of youth engagement in agriculture and agribusiness^[13] in support of this strategic activity under Component 1; and (c) strengthened partnerships with the private sector.

Investments in I-REAP are small to large-scale, high-impact investments and enterprise development through common service facilities, capacity-building, and other agri-aqua-support services for FCAs and FCA clusters.

d. Component 4: Project Implementation Support (I-SUPPORT)

This would finance project management, technical assistance, studies, training and capacity building for project staff. It would support all oversight, management, fiduciary, and M&E aspects of the project including execution of an Institutional Strengthening Action Plan designed to ensure POM guidelines, procedures and processes are fully understood and followed. Organizational arrangements and implementation procedures would be integrated with those of PRDP. It would include the adoption, with some modification of the POM of PRDP, and of the various digitized and web-based tools used for management oversight, M&E, Grievance Redress Mechanism (GRM), document tracking, service standards, knowledge sharing and information dissemination. The various functions would be implemented by units comprising; Administration, Finance, Legal, Economics, Social and Environmental Safeguards, M&E, InfoAce, Governance and Geotagging, and Budget and Accounting. The continuity of staff, functions and implementation procedures provide a solid basis for the nationwide and transformational scope of PRDP Scale-Up. Staffing requirements would be augmented as needed through the hiring and engagement of permanent DA personnel.

Technical assistance, studies, training and workshops would support: (i) further digitalization of project management processes for planning, capacity building, meetings, and other coordination activities, as well as for the monitoring and supervision of investments; (ii) mainstreaming of the new Environmental and Social Framework requirements; (iii) fiduciary management and oversight with particular reference to the Institutional Strengthening Action Plan which, *inter alia*, calls for regular reviews of implementation guidelines, procedures and protocols as well as options for providing/strengthening internal audit coverage of project activities, (iv) further development of document processing/monitoring innovations; (v) mainstreaming development of a Knowledge Management Portal for sharing experiences and good practices; (vi) enhanced information advocacy, communication, and education, and (vii) mid-term and end-project evaluations.

e. Component 5: Contingent Emergency Response Component (CERC)

This component will allow for rapid reallocation of uncommitted project funds towards urgent needs in the event of a geophysical, climate-related, or man-made disaster or public health emergency. Such events may include extreme weather such as typhoons, disease outbreaks, or earthquakes. The trigger for activating the CERC will be agreed during appraisal and could include evidence such as the declaration of a State of Calamity by the mandated national or subnational authority or a State of Public Health Emergency. The agreed trigger would enable the reallocation of uncommitted project funds to support immediate response and recovery needs. Disbursements would be made against a positive list of critical goods, civil works, and consulting services. Annex Q provides the outline for ESMF CERC.

1.4. Target Areas and Beneficiaries

PRDP Scale-Up covers the 16 regions composed of 81 provinces in the country. The direct project beneficiaries would be LGUs, FCAs and other Enterprises engaged through joint ventures in provision of common service facilities, as well as the agri-fishery producer households linked through market agreements with such service facilities.

1.5. Subproject Review Threshold

The NPCO to RPCO will follow the review thresholds set in giving clearance and No Objection to Subproject Proposals.

Table 3. Subproject Review Threshold for I-BUILD and I-REAP

Cluster/Office	Prior Review Threshold in US\$	
	I-BUILD	I-REAP
National Project Coordination Office (NPCO)	Above 2,000,000.00	Above 1,000,000.00
Project Support Offices (PSOs)	$> 1,000,000.00 \leq 2,000,000.00$	Above 300,000.00 to 1,000,000.00
Regional Project Coordination Office (RPCO)	$\leq 1,000,000.00$	60,000.00 to 300,000.00

2. Environmental and Social Standards (ESS)

PRDP Scale-Up will adopt relevant Environmental and Social Standards (ESSs) under the World Bank's Environmental and Social Framework (ESF). The ESF is designed to avoid, minimize, reduce, or mitigate adverse environmental and social risks and impacts of subprojects. The project will also comply with the Philippine Government's environmental laws, standards, rules, and requirements, which impose restrictions on activities to manage impacts on the environment and people.

Out of the ten (10) ESSs, there are nine (9) that are applicable to PRDP Scale-Up. This includes ESS 1 to ESS 8 and ESS 10. A brief on the objectives and guidelines of each of the applicable ESSs are outlined in Table 3 of the ESMF which also outlines the relevant Philippine Laws and Regulations. Table 3 of the ESMF also presents the identified gaps between the laws and regulations of the Philippines compared to WB's ESSs, and the recommended safeguard instruments to address these gaps and operational procedures that were developed in the original PRDP, AF1 and AF2.

Table 4. Descriptions of the Environmental and Social Standards (ESS)

ESS	DESCRIPTION
ESS 1: Assessment and Management of Environmental and Social Risks and Impacts	ESS 1 prescribes the responsibilities for the assessment, management, and monitoring of environmental and social risks and impacts associated with a project. The project will strengthen PRDP's current IESSF and expand it to an ESMF that will describe in detail the process of risk and impact assessment to be addressed in the preparation and implementation of the ESF instruments using available information and tools.
ESS 2: Labor and Working Conditions	ESS 2 promotes safety and health at work, fair treatment, non-discrimination, and equal opportunity of project workers. It also prescribes protection of vulnerable workers such as women, persons with disabilities, children (working age), and migrant workers, contracted workers, community workers, and primary supply workers. It also prohibits the use of all forms of forced labor and child labor and supports the principles of freedom of association and collective bargaining of project workers in a manner consistent with national law.
ESS 3: Resource Efficiency and Pollution Prevention and Management	ESS 3 promotes the sustainable use of resources, including energy, water, and raw materials that integrate the principles of cleaner production. It also sets out the application of mitigation hierarchy that considers technically and financially feasible resource efficiency and pollution prevention measures that are proportional to the risks and impacts associated with the project and consistent with the Good International Industry Practice (GIIP) and Environmental Health and Safety Guidelines (EHSGs).
ESS 4: Community Health and Safety	ESS 4 addresses the health, safety, and security risks and impacts of project-affected communities. It sets out the requirements to anticipate and avoid adverse impacts on project-affected communities from both routine and nonroutine circumstances. It also promotes quality and safety and requires considerations related to climate change in the design and construction of infrastructures; avoiding or minimizing community exposure of project-related traffic and road safety risks, diseases, and hazardous materials; and requires measures to address emergency events.
ESS 5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement	ESS 5 aims to avoid involuntary resettlement or, when unavoidable, minimize involuntary resettlement by exploring project design alternatives and mitigation measures to manage unavoidable adverse social and economic impacts. It also strictly prohibits forced eviction and requires that any resettlement activities are properly planned and implemented with appropriate disclosure of information, meaningful consultation, and informed participation of those affected.

<p>ESS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources</p>	<p>ESS 6 aims to protect and conserve biodiversity and habitats by applying mitigation hierarchy and the precautionary approach in the design and implementation of projects that could have an impact on biodiversity. It promotes the sustainable management of living natural resources and support livelihoods of local communities, including Indigenous Peoples, and inclusive economic development, through the adoption of practices that integrate conservation needs and development priorities. ESS 6 is relevant to PRDP Scale-Up because of wide-range of potential subprojects involving primary production and/or harvesting of living natural resources.</p>
<p>ESS 7: Indigenous Peoples</p>	<p>ESS 7 is intended to ensure that the development process fosters full respect for human rights, dignity, aspirations, identity, culture, and natural resource-based livelihoods of Indigenous Peoples (IPs) through promotion of sustainable development benefits and opportunities in a manner that is accessible, culturally appropriate, and inclusive. It also aims to avoid, minimize, mitigate, and/or compensate for adverse impacts of projects on IPs.</p>
<p>ESS 8: Cultural Heritage</p>	<p>ESS 8 aims to protect and preserve cultural heritage, in tangible and intangible forms, from adverse impacts of project activities. The assessment of the presence of cultural heritage is integral in the environmental and social assessment and is done through consultations with relevant stakeholders, review of regulations for managing cultural heritage, and inventories, maps and surveys of cultural resources.</p>
<p>ESS 9: Financial Intermediaries</p>	<p>ESS9 is not applicable to the project. There are no Financial Intermediaries (FIs) or public and private financial services providers involved in the project.</p>
<p>ESS 10: Stakeholder Engagement and Information Disclosure</p>	<p>ESS 10 aims to establish stakeholder engagement as a continuing and iterative process that allows a project to identify, communicate, and facilitate dialogue with affected people. During project preparation, ESS 10 requires the early identification of and consultation with affected and interested parties to gather their views and concerns for consideration in the project design, implementation, and operation. The standard also provides project-affected parties with accessible and inclusive means to raise issues and grievances and allow borrowers to respond to and manage grievances.</p>

Overall, the Philippines has a comprehensive ES policy framework that corresponds to the core principles of the 10 ESS. While the requirements of ES assessment and consultations are well defined in the PEISS, there are other laws and regulations that supplement and complement the conformance to the ESS. The PEISS, in itself, serves both as the planning and regulatory tool to enable projects to identify and mitigate impacts and risks while also recognizing the significant issues which fall entirely within the mandates of other laws or agencies which have jurisdiction and

authority over a particular issue. The congruence of the Philippine policy framework to the ESF provides a strong legal platform for the application of the ESF standards. There are, however, variances between the Philippine policy framework and some requirements of the ESF in terms of the operational/enabling policies. Chapter 6 of ESMF elaborates systematic steps and processes to address the compliance with ESF requirements.

3. Implementation Arrangement for Social and Environmental Safeguards

3.1. ESF Institutional Arrangement

The existing implementation structure of the original PRDP will be maintained in the proposed PRDP Scale-Up. The National Project Coordination Office (NPCO), stationed at the DA Central Office, will continue to handle overall coordination and support, particularly in the areas of information and external communications and the coordination of the project management information system and monitoring and evaluation. The NPCO will serve as the Secretariat of the National Project Steering Committee (NPSC).

The four Project Support Offices (PSOs) will be maintained to oversee regional cluster operations and support services covering Luzon, Visayas, and Mindanao. The PSO's key role is the disbursement of funds and the preparation of reports related to funds management, including provision of technical assistance and coordination with the covered regions. It also supports the NPCO in ensuring the achievement of project milestones, results, and outcomes.

At the regional level, the Regional Project Coordination Offices (RPCOs) lodged at the DA Regional Field Office (RFO) in each of the 16 regions will likewise be sustained. The RPCO will lead the implementation at the regional level and will directly provide technical assistance and coordinate with the proponent LGUs, FCAs/FCA clusters with support from the PSOs. The Regional Project Advisory Board (RPAB), headed by the respective Regional Executive Director of the DA-RFO, continues to be constituted to provide technical guidance and approves subproject proposals for funding under the project. The Regional Directors of the Department of Environment and Natural Resources (DENR) and National Cultural on Indigenous People (NCIP), to ensure the compliance of the subprojects with the agency's respective mandates, are also designated as members of the RPAB.

At the local level, counterpart implementing units will be lodged at the proponent provincial/municipal/city LGUs and FCAs/FCA Clusters designated as Provincial/Municipal/City/FCA Project Management Implementing Unit (P/M/C/FCAPMIU).

In terms of environment and social safeguards activities, the existing institutional structure of PRDP will be maintained but additional staff with various expertise related to E&S safeguards will be hired to enhance the existing human resources. The following are the key agencies and DA units involved on environment and social safeguards implementation:

a. National Project Coordination Office (NPCO)

The National Project Coordination Office (NPCO), stationed at the DA Central Office, will continue to handle overall coordination and support, particularly in the areas of information and external communications and the coordination of the project management information system and monitoring and evaluation.

For Social and Environmental Safeguards (SES) Unit, the NPCO shall designate one SES Unit Head and one SES Alternate Unit Head; and hire one (1) Specialist each for Environmental Safeguards and Social Safeguards, four (4) SES Officers, and one (1) Associate SES Officer. The Unit shall oversee the Project's overall compliance to the ESMF and its ESF instruments

including activities conducted in the PSO and RPCO levels, consolidate all compliance monitoring reports, and alert NPSC of any systemic compliance issues or any project-wide operational policy issues affecting the project's ability to comply with environmental and social safeguards requirements that were not resolved at the regional level. The NPCO shall:

- Provide training and technical assistance to PSO and RPCO SES Unit;
- Review and issue a No Objection to subprojects endorsed by the PSO; and
- Lead in the preparation of a Semi-Annual report and other project-level reports to be submitted to the World Bank.

b. Project Support Office (PSO)

The four Project Support Offices (PSOs) will oversee regional cluster operations and support services for the implementation of ESMF and ESF instruments in their covered regions. The PSOs shall designate one SES Unit Head and hire one SES Specialist, one SES Officer and one Associate SES Officer. The Unit shall work very closely with the Infrastructure Development (I-BUILD) and Enterprise Development (I-REAP) teams to ensure that implementation of subprojects are in accordance with the set environmental and social standards. It shall:

- Provide training and technical assistance to RPCO SES Unit and engineering and enterprise teams as well as SES focal persons of PPMIUs, CPMIUs, MPMIUs, and FCAPMIUs;
- Review full compliance of subprojects before endorsing to NPCO for no objection or before issuing clearance for no objection by the PSO; and
- Consolidate all Compliance Monitoring Reports from RPCOs, prepare other PSO-wide reports and submit them to NPCO.

c. Regional Project Coordination Office (RPCO)

The Regional Project Coordination Offices (RPCOs) lodged at the DA Regional Field Office (RFO) in each of the 16 regions will lead the implementation of ESMF and ESF instruments at the regional level. They will directly provide technical assistance to the proponent LGUs, FCAs /FCA clusters, with support by the PSOs, to ensure compliance to PRDP SU safeguards framework and requirements.

The RPCO shall designate a SES Unit Head and hire one (1) SES Officer and two (2) Associate SES Officers. The Unit shall work closely with the teams from Infrastructure Development (I-BUILD) and Enterprise Development (I-REAP) components to ensure compliance of subprojects implementation with the set environmental and social standards in the ESMF and ESF instruments. They shall conduct training for the members of the RPCO teams to provide better understanding on the environmental and social safeguards aspects of subproject preparation, review and approval and alert RPAB of any systemic compliance issues or any project-wide operational policy issues affecting the project's ability to comply with environmental and social safeguards requirements.

The RPCO shall:

- Provide assistance to the LGUs/subproject proponents in the conduct of safeguards activities and the preparation of safeguards documents;
- Review full compliance of subprojects before endorsing to the PSO for no objection or before issuing clearance for no objection by the RPCO;;
- Conduct periodic site visit to monitor progress of subproject implementation;

- Consolidate all Compliance Monitoring Reports from LGUs and FCAs/FCA clusters and submit them to the PSO; and
- Maintain and update the social database system, disclosure of SES documents, and registry of grievances and resolution lodge at the RPCO, LGU, and FCA level and lead the mainstreaming of Innovation 8 and Innovation 9 in the regular programs of the RFOs, as well as DA bureaus and attached agencies at the regional level.

d. Provincial/City/Municipal/FCA Project Management and Implementation Unit (P/C/MPMIU)

The Subproject Proponent, whether LGU in the provincial, city, municipality or FCA/FCA Cluster, is required to establish a Project Management and Implementation Unit (PMIU) with staff, resources and responsibilities for implementing subprojects (i.e., Provincial - PPMIU; City - CPMIU or Municipal - MPMIU, FCA PMIU or FCAs or FCA Clusters PMIU). The LGUs and the FCA/FCA Cluster shall designate a SES Focal and/or a counterpart SES team, Grievance Point Person (GPP), and Gender and Development (GAD) Focal to be a member of its P/C/M/FCAPMIU to ensure that there will be dedicated safeguards staff who will oversee implementation of the ESMF and compliance with other safeguards requirements and guidelines at the local level. They shall be responsible for the overall management of the environmental and social risks and impacts of subproject/s. Specifically, the SES and GAD Focal and the GPP in the P/C/M/FCAPMIU shall:

- Help communities comply with the safeguards requirements;
- Prepare subproject requirements according to the ESMF and other ESF Instruments;
- Assist the FCA/FCA clusters comply with the safeguards requirements, if I-REAP subproject a partnership between the FCA/FCA clusters and the LGU;
- Receive and register grievances lodged on the Barangay, Municipal/City, or FCA level; and
- Submit a monthly Safeguards Compliance Monitoring Report to RPCO.

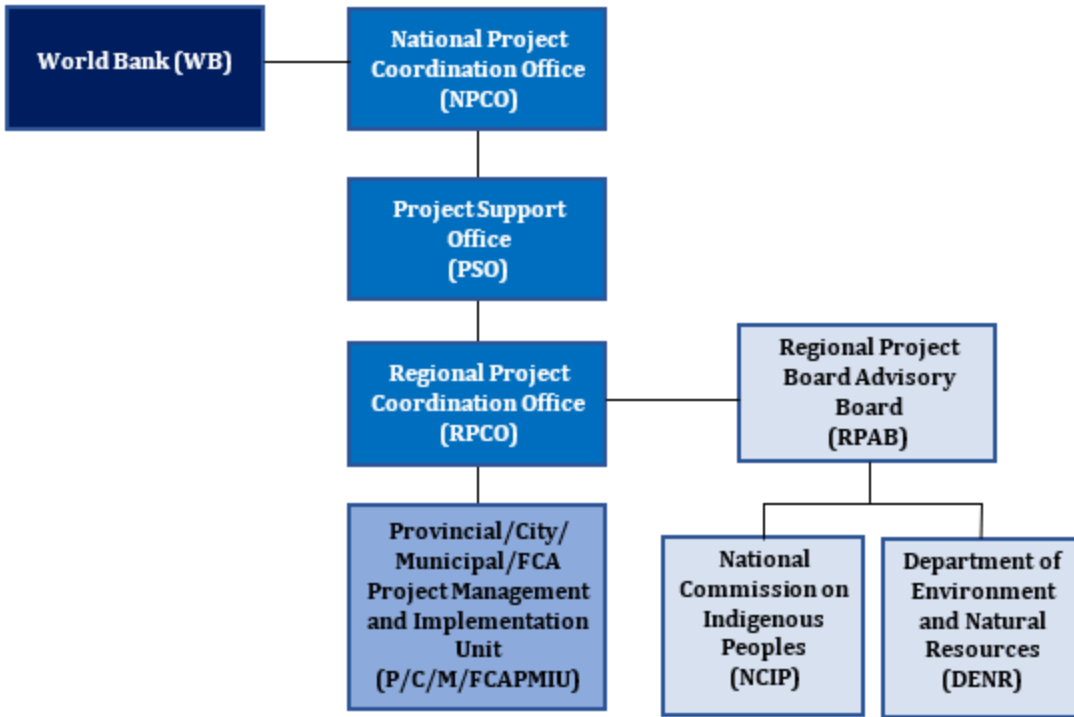


Figure 1. Institutional Arrangement in ESMF Implementation

3.2. SES Activities and Responsible Units

Of the four (4) PRDP components, Infrastructure Development (I-BUILD) and Enterprise Development (I-REAP) are the ones with on-the-ground subprojects most likely to bring about environmental and social impacts.

Figure 2 shows the SES activities per project Operations phase on I-PLAN, I-BUILD, and I-REAP processes.

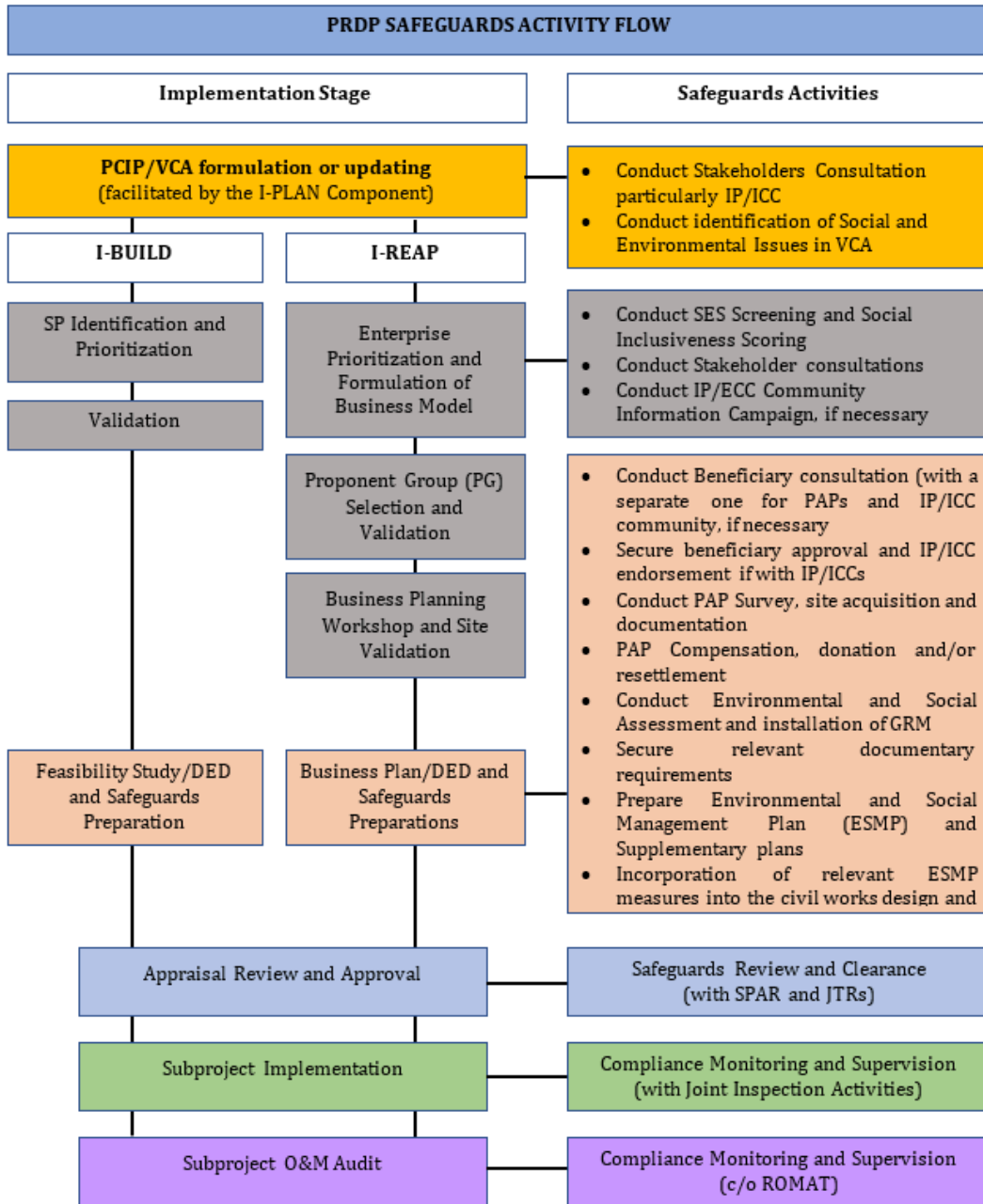


Figure 2. SES Activities in the PRPD Activity Flow

The first step in the Project operations is the PCIP/VCA formulation or updating to be facilitated by the I-PLAN Component. During this stage, the SES shall ensure that the conduct of consultation will be done in accordance with the principles of the meaningful consultation as discussed in the SEP. The SES early screening is integrated as a complementary investment planning using results from the e-VSA, CRVA, Fish Vool, participatory planning, Comprehensive Land Use Plans (CLUPs) of the LGUs and geo mapping of the GGU to identify geologic hazards, proximity to protected areas, and ancestral domains of IPs. The SES early screening involves review of the draft PCIP

interventions matrix against SES criteria that will be applied to each proposed intervention. The screening will allow identification of safeguards issues that may affect the implementation of the provincial investment program. SES early screening for I-PLAN will be conducted by the Provincial Core Planning Team and/or regional CPT (technical support) in coordination with the RPCO SES Team and GGU.

The subproject development process for I-BUILD and I-REAP consists of six general stages: (i) identification, (ii) validation, (iii) preparation, feasibility study/subproject proposal and detailed engineering design, (iv) appraisal, review, evaluation, and approval, (v) implementation (procurement and contract implementation), and (vi) monitoring and reporting (operation and maintenance). The essential elements of environmental and social safeguards are present in all of these stages.

a. Safeguards Activities for I -BUILD Subprojects

					ROLE OF SAFEGUARDS IN THE I-BUILD PROCESS FLOW			
eVSA, CRVA, Multi-factor Risk Assessment, LCCAP checking of PCIP	Conduct e-VSA, CRVA, Geotagging of SP	SES Screening of subprojects	Conduct Beneficiary Consultation (Particularly PAPs and IP/ICC Community Information Campaign, if required)	Secure IP/ECC Endorsement				
SES Early Screening	Consultation with stakeholders, IP/ICC, women, & vulnerable groups	Screening of PEISS and ESS Requirements	Conduct PAP Survey, ROW Acquisition, and documentation	PAP Resettlement and/or compensation				
Conduct Stakeholders consultation particularly IP/ICC, women, & Vulnerable Groups	Assessment of climate hazards and vulnerability issues c/o GGU	Screening of SP E&S Risk and Impacts	Conduct Environmental and Social Assessment and Installation of GRM	Secure relevant documentary requirements		Orientation on ESMF & instruments during pre-procurement/pre-bidding & pre-construction conferences		
Conduct identification of social and environmental issues in VCAs/PCIPs	Geotagging of proposed priority projects c/o GGU	Identification of Safeguard Instruments	Prepare Environmental and Social Management Plan (ESMP) and other safeguard plans (e.g. IP Plan, BMP, CHMP, RAP, etc)	Incorporation of relevant ESMP measures into the design and POW	Safeguards Review and Clearance		Compliance Monitoring and Supervision	
PROCESS								
I-PLAN	SP Identification and Prioritization (1 month)	Validation (1 month)	FS, DED, & Sfeguards Preparation (3-5 months)		Appraisal Review & Approval (1 month)	Subproject Implementation (12-24 months)	Subproject O&M (10 years)	
OUTPUT								
PCIP (VCA)	Geotagged SP List	SP Preliminary Checklist	FS Report	Signed IMA	Procurement		O&M Audit	
			DED/POW/O&M Plan		QA/QC			
			Safeguard Documents		CAF Issued	Completion Report		Fuctionaal SPs
			Bid Docs		NOL 1	NOL 2		
RESPONSIBILITY MATRIX								
LGU/RPCO	LGU	RPCO/PSO	LGU		RPCO/PSO/NPC O	LGU	LGU	

Figure 3. Role of Safeguards in the I-BUILD Process Flow

Step 1: Subproject Identification and Prioritization

I-BUILD subprojects are identified and prioritized based on results of a participatory planning process under I-PLAN and the use of science-based tools such as eVSA. The subproject identification includes consultation with stakeholders on climate change with emphasis to hazard and vulnerability assessment, its magnitude, frequency and location of impact. The information gathered will allow the LGUs to develop a list of subprojects on the localized PCIP, VCA, geotag proposed subprojects, and provide detailed information or subproject profile of priority subprojects.

Step 2: Subproject Validation and Screening

For I-BUILD, relevant data needed for the priority subprojects are subjected to analysis in order to establish its technical, economic, institutional, and social and environmental viability. In this phase, the subproject is subjected to more in-depth technical consideration of the identified hazard and vulnerability and potential impacts of the subprojects on the environment and communities. During validation, the SES Screening Form (Annex C) is used.

Overlay Subproject Location with Protected Areas, Ancestral Domain and Hazard Prone Areas

In coordination with the Geo-mapping and Government Unit (GGU) of DA, the location of the subproject proposal is overlaid with the protected areas, ancestral domain and hazard prone areas. The results of the subproject mapping will prompt any of the following subsequent safeguard's activities and requirements:

- If any of the subproject is found within a declared strict protection zone of a protected area, the subproject is considered not eligible for funding under PRDP Scale-Up.
- If the subproject is in the multiple use zone and buffer zone of a protected area, the subproject will be required to secure a PAMB Resolution and Clearance, and the Special Use Agreement in Protected Area (SAPA).
- If subproject is located in forest land, a Forest Land Use Agreement (FLAG) from DENR will be required. If located in an ancestral domain of IP, the subproject will be required to undertake the FPIC process and to secure the Certificate of Precondition from NCIP.
- If the subproject has been identified to be located in a highly susceptible area to hazards such as flood, landslide, tsunami, storm surge, seismic risks, and volcanic risks, the subproject will be considered and will require to provide climate change adaptation strategies and clearance from DENR, PAGASA, PHIVOLCS or any equivalent body.

During screening and validation, the environmental and social risks and impacts of the subproject are identified. The safeguards measures and instruments needed to manage these risks are likewise identified.

After the screening, a subproject will be required to present the documentation showing that the beneficiaries accepted the subproject. In the case of subprojects with IPs, documentation of the consultations/FPIC and proof of acceptance of the subproject will be required.

Step 3: Subproject Preparation, Feasibility Study and Detailed Engineering Design

During the subproject preparation of feasibility study and detailed engineering design, - the subproject will now undergo the ESA to further - describe the environmental and social risks and impacts of the subproject resulting from the E&S Screening during Field Validation. The ESA will form part of the FS and DED. The ESMP will be developed to address the risks and impacts that have been identified from the ESA. The ESA/ESMP preparation is further guided by the results of the consultations with PAPs, IPs/ICC, and other project-affected stakeholders. The ECC/CNC will have to be secured from the DENR while Certificate of Non Overlap (CNO)/Certificate of Precondition (for subprojects located in ADs or in an area affecting IPs) from NCIP. These are mandatory requirements to ensure that the subproject and its location have been given clearance from the DENR and granted authority by the NCIP.

For water supply and irrigation subprojects, the application for Water Rights from NWRB will be presented at the FS stage.

During this stage, the following are the requirements on safeguards which are detailed in the project's LARPF:

100% survey of project affected persons (PAPs) and accomplished Inventory and Entitlement Survey of Project Affected Persons Forms (refer to LARPF). Note that there should be information dissemination of the subproject in the community prior to the survey and that the survey should be done together with the barangay officials.

Valuation of identified affected properties based on fair market value

100% Consultation with beneficiaries and PAPs of SPs under IREAP and 100% consultation for PAPs of SPs under IBUILD. Below is the suggested agenda for the community consultation:

- ❖ Full disclosure of the proposed project, its design, costs, etc.
- ❖ Road Right-of-Way and compensation
- ❖ Grievance Redress Mechanism
- ❖ Open forum
- ❖ Other matters
- Acquisition of ROW/site and preparation of ROW acquisition documents (Compensation Agreement, DOD/Waiver, RAP, Expropriation documents, etc.)
- Preparation of the Environmental and Social Assessment (ESA) in the FS based on the E&S Screening result
- Preparation of ESMP, and all applicable management plans (BMP, CHMP, IP Plan, others) and other safeguard instruments
 - ❖ Secure ECC/CNC, CNO/CP and other applicable environmental clearances and permits (e.g. application for NWRB Water Permit, Tree Cutting Permit)
- Preparation of other relevant documentary requirements depending on the subproject
- Inclusion of all safeguards costs in the economic and financial analysis.

Step 4: Safeguards Review and Clearance

During subproject appraisal and review (SPAR), the following will be reviewed by the SES Unit prior issuance of clearance for NOL 1 and NOL 2

- 100% survey of PAPs
- Valuation of identified affected properties based on fair market value
- Consultation with beneficiaries and PAPs
- Accomplished Inventory and Entitlement Survey of Project Affected Persons Forms (refer to LARPF)
- Complete Land and/or ROW acquisition documents (Compensation Agreement, DOD/Waiver, RAP, Expropriation documents, etc)
- IP Plan (if applicable)
- Permits (ECC/CNC, CNO/CP etc.)
- Application of permits i.e. Tree cutting permit and NWRB
- For transfer of electric posts, transfer cost will be shouldered by the LGU and should have been estimated and included in the Economic and Financial Analysis.
- PAMB Clearance if inside multiple use zone and buffer zone of protected area.
- ESA, ESMP and other applicable safeguard instruments

Once the above have been cleared by the SES Unit, the subproject documents will undergo the review and approval process of the Regional Project Advisory Board (RPAB).

A Safeguards No Objection Letter No. 1 (NOL 1) will be issued if the above requirements have been complied with except for expiration issues in Tree Cutting Permit (TCP), Full Resettlement of the physically displaced and compensation of PAPs which should be complied with prior to issuance of NOL 2. Annex S presents the basic requirements in the issuance of NOL 1 and NOL 2.

While the high-risk SPs will be screened out, the SPs which could cause potential substantial risks shall be referred to the Bank for clearance with the supporting screening, initial due diligence, and SES review comments. In addition, the World Bank task team will review all the SPs crossing the investment thresholds as per the criteria referred under section 6.3.2.5.

The ESMP is included in the bid documents once DED and Program of Works are prepared to inform the contractor about the requirements, safeguard instruments (CSHP, CESMP), and resources needed to implement the mitigation measures to manage environmental and social risks.

Step 5: Safeguards Compliance Monitoring and Supervision

During the compliance monitoring and supervision stage, the RPCO will ensure that the subproject has complied with all safeguards requirements prior to implementation. During procurement, RPCO will attend the pre-procurement and pre-bidding activities to discuss the safeguards requirements. The subproject will be required to submit the following:

- Any lacking safeguards compliance requirements such as Tree Cutting Permit and proof of compensation of PAPs prior to NOL 2
- Contractor's Safety and Health Plan approved by DOLE
- Labor and Management Procedure Requirements - Code of Conduct
- Contractor's ESMP.

During the pre-construction conference, the subproject will be required to undergo safeguards orientation to ensure that the contractor understands the mitigation measures needed to manage environmental and social impacts as well as the monitoring and reporting requirements.

During subproject implementation, the subproject will be required to undertake the following:

- Submit a safeguard compliance monitoring report as part of the monthly progress report
- Report fatality or serious injury to the Bank no later than forty-eight (48) hours after learning of the fatality or serious injury and the status of action taken within a period of 7 days from the incident.
- Submit the tax deduction/tax exemption/annotation/tax credit
 - ❖ For tax declaration, deduction should start 2 months after issuance of NOL2/NTP and copy of new tax declarations should be submitted
 - ❖ For titled lands, annotation should be completed prior to turn over of subprojects.
Note that parcellary survey by a geodetic surveyor is required.
- Compliance Monitoring Checklist (Annex P-1 to 11) and reports
- Semi-Annual GRM Survey
- Survey on the socio - economic conditions of PAPs especially those under RAP and expropriation cases.

The LGU is required to submit monthly progress reports containing the status of safeguards implementation.

b. Safeguards Process for I-REAP Subprojects

					ROLE OF SAFEGUARDS IN THE I-REAP PROCESS FLOW			
eVSA, CRVA, Multi-factor Risk Assessment, LCCAP checking of PCIP	Conduct e-VSA, CRVA, Geotagging of SP	Social Inclusiveness Scoring		SES Screening of subprojects	Conduct Beneficiary Consultation (Particularly PAPs and IP/ICC Community Information Campaign, if required)	Secure beneficiary approval and IP/ICC endorsement if with IP/ICCs		
SES Early Screening	Consultation with stakeholders, IP/ICC, women, & vulnerable groups	Screening of PEISS Requirements		Conduct PAP Survey, ROW Acquisition, and documentation	PAP compensation, donation and /or resettlement			Orientation on ESMF & instruments during pre-procurement/pre-bidding & pre-construction conferences
Conduct Stakeholders consultation particularly IP/ICC, women, & Vulnerable Groups	Assessment of climate hazards and vulnerability issues c/o GGU	Screening of SP E&S Risk and Impacts		Conduct Environmental and Social Assessment and Installation of GRM	Secure relevant documentary requirements			Compliance Monitoring and Supervision
Conduct identification of social and environmental issues in VCAs/PCIPs	Geotagging of proposed priority projects c/o GGU	Identification of Safeguard Instruments		Prepare Environmental and Social Management Plan (ESMP) and other safeguard plans (e.g. IP Plan, BMP, CHMP, R&P, etc)	Incorporation of relevant ESMP measures into the enterprise operations, civil works design and ROW	Safeguards Review and Clearance	Safeguards Review and Clearance, if there is still for compliance	Compliance Monitoring and Supervision
PROCESS								
I-PLAN	Enterprise Prioritization and Formulation of Business Model (4 days)	Proponent Group Selection and Validation (4 days)	Business Planning Workshop and Site Validation (7 days)	BP/DED & Safeguards Preparation (2 months and 5 days)		Appraisal Review & Approval (25 days)	Subproject Implementation (30 days)	Subproject O&M (10 years)
OUTPUT								
PCIP (VCA)	Enterprise Prioritization Result and Business Model	Ranking of PG	SP Checklist	Business Plan Validation	RPAB NOL 1	Procurement NOL 2		O&M Audit
		Validation and Confirmation Report	Draft Business Plan and Attachments	Safeguard Documents	Signed IMA	Release and Liquidation of Tranches		
				DED/POW	CAF Issued	Monitoring and Progress Reports		
				Bid Docs	Enterprise Agreement	Completion Report		
Enterprise Operational Plan	Turn Over							
RESPONSIBILITY MATRIX								
LGU/RPCO			PG/LGU/RPCO/PSO			RPCO/PSO/NPC O/LGU/FCA	PG/LGU	LGU

Figure 4. Role of Safeguards in the I-REAP Process Flow

Step 1: Subproject Identification

Subproject identification in I-REAP are based on the commodity VCAs as translated in the PCIPs or CCIPs. The P/C/MPMIU conducts the evaluation of documents submitted by the Proponent Group (PG)/FCA in terms of whether the proposed subproject is within the PCIP and if the documents are complete, correct, and updated. Upon evaluation, the P/C/M/FCAPMIU will issue the Certification that the proposed subproject is within the PCIP and that the PG has the technical, financial and organizational capability to implement the proposed subproject. A Business Modelling workshop/consultation is then conducted with the assistance of RPCO, if needed. The workshop looks at users or direct beneficiaries of the enterprise, problems and gaps, opportunities, social acceptability, better social inclusion, and environmental management initiatives and programs.

Step 2: Proponent Group Selection and Validation

- **Overlay Subproject Location with Protected Areas, Ancestral Domain and Hazard Prone Areas**

During validation, the SES Screening Form (Annex C) is accomplished. Similar to I-BUILD Component, the location of the subproject proposal is overlaid with the maps of protected areas, ancestral domain, and hazard prone areas, in coordination with GGU. The results of the subproject mapping will prompt the subsequent activities and requirements for the subproject.

- **Social Inclusiveness Assessment**

I-REAP subprojects are likewise subjected to validation that includes criteria on engagement/participation of women, social inclusiveness assessment, screening of environmental and social impacts, and screening of PEISS requirements in the EIA.

As early as the conception stage and to be finalized during validation by RPCO, all I-REAP proposals shall undergo mandatory social inclusiveness scoring system using the form provided in Annex D. The conduct of meaningful consultations and separate IP Community Campaign is done by the PG with assistance of LGU and RPCO SES. The LGU SES shall conduct the Social Inclusiveness Scoring System (Annex D) for PGs seeking I-REAP funding with the validation of RPCO SES to determine the degree of social inclusiveness of the subproject proponent following the procedures.

Step 3: Business Planning and Site Validation

- **Social and Environmental Assessment**

Subprojects will be screened using the screening checklist in Annex C to determine its eligibility in terms of environmental and social site sensitivity and to assess risks and impacts from subproject activities. Similar to I-BUILD, the subproject location will be overlaid with the shapefile of the protected areas, ancestral domain and hazard prone areas.

The ESA will determine the ESMP and other requirements to be undertaken as part of the subproject. Eligible activities are identified based on-site sensitivity, risks of the activities, and in terms of environmental and social management.

Following the screening against eligibility, subproject activities will be further screened to determine the type of safeguard instruments needed to address or mitigate identified risks and impacts.

Step 4: Subproject Preparation, Subproject Proposal and Detailed Engineering Design

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. A strategic planning and business planning workshop shall be conducted by the RPCO supported by the PSO. The P/C/MPMIU shall support the RPCO and the PSO in the conduct of the activity. The objectives of this workshop are to a) orient the P/C/MLGU and the PG 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. 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).

A proposed enterprise subproject 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 PG/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, PABES, 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.

Step 5: Subproject Appraisal, Review, Evaluation, and Approval

Upon receipt of the complete package of an I-REAP subproject business plan, the RPCO will convene the Technical Review Committee which is composed of representatives from the different units and components of PRDP Scale-Up, commodity experts, industry experts, practitioners, and other technical experts as necessary. All subproject proposals that passed the RPCO Technical Review Committee, except micro- enterprise subprojects, 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, except for micro- enterprise subprojects shall go through the JTR of the PSO;
- b) All subprojects that will be issued NOL 1 by the PSO shall go through the JTR of the NPCO.
- c) Further, the following provides a summary of delegated prior review thresholds. The World Bank will review and clear proposed subprojects with estimated cost of more than USD2,500,000.00 for I-REAP Subprojects and more than USD10,000,000.00 for I-BUILD subprojects. In addition, the SPs which could cause potential substantial risks shall be referred to the Bank for clearance with the supporting screening, initial due diligence, and SES review comments.

Step 6: Subproject Implementation (Procurement and Contract Implementation)

Progress of procurement, delivery of goods and construction of infrastructure/s shall also be monitored through AGT by the LGU, RPCO, and PSO GGU teams. The ESMP and other safeguards instruments will form part of the bid and contract documents including the requirement on the approved CSHP and the code of conduct aligned with the LMP of the Project.

Step 7: Monitoring and Reporting

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 Annexes P1 to P5. It is a useful tool primarily to determine the status of safeguards compliance of subprojects as well as in guiding partner PGs and LGUs on the safeguards measures that need to be complied with during the operations stage.

The PRDP NPCO/PSO/RPCO SES and/or 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 Proponent Group shall submit every month the Safeguards Compliance and Impact Monitoring Report to the RPCO. The said report shall form part of the

EOMS. The status of sustainability-related monitoring are incorporated in the MIS in the Enterprise Operations Monitoring System (EOMS) for I-REAP.

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 with 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 in 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.

c. Summary of SES Roles and Responsibilities

Below is the summary of Safeguard Officers/Focal Persons in partnership with other components such as I-BUILD and I-REAP in various levels of subproject implementation. The detailed SES involvement per component (I-BUILD and I-REAP) activities are discussed in section 4 of this manual.

For the conduct of the early screening for commodity investment (Annex B of the ESMF), the Provincial Core Planning team shall lead the activity to be assisted by the SES and GGU of the RPCO.

Table 5. Summary of SES Roles and Responsibilities

SES Activities	WB	NPCO	PSO	RPCO	PMIU
Throughout the Project Cycle					
Conduct of Consultations				○	⊗
GRM Operations		⊗	⊗	⊗	⊗
Subproject Identification and Validation					
Early Screening for Commodity Investments				○	
Validation of Subproject Proposal				⊗	⊗
Screening of I-BUILD and I-REAP Subprojects				⊗	
Social Inclusiveness Scoring Sheet				⊗	⊗
Feasibility Study/Business Plan/DED, POW, and Safeguard Preparation					
Meaningful consultation with beneficiaries and PAPs				○	⊗
ESA Preparation in the BP/FS and integration in the DED and POW				○	⊗
ESMP and Supplementary Plans Preparation				○	⊗
Application of Permits and Clearances requirement				○	⊗
Preparation and implementation of Site Acquisition Documents				○	⊗
Appraisal Review and Approval					
Conduct of Joint Technical Review and SPAR		⊗	⊗	⊗	○
Review of SES Requirements *	⊗	⊗	⊗	⊗	
Disclosure of SES Documents in the Project website			○	⊗	

Implementation of RAP, IP Plan, and Electric Post Transfer Plan					⊗
Subproject Implementation and Operation					
Checking of SES Requirement and Safeguards Orientation in the Procurement activities		○	○	⊗	⊗
Monitoring of Compliances during Construction and Enterprise Operations		○	○	⊗	⊗
Monitoring of Tax deduction, TRP, RAP and IP Plan Implementation		○	○	⊗	
Preparation of Report		⊗	○	○	○

⊗ = Lead ○ = Assist

*depending on the threshold

3.3. ESF Instruments

3.3.1. Environmental and Social Commitment Plan (ESCP)

ESCP sets out material measures and actions that the Borrower shall carry out or cause to be carried out, including, as applicable, the timeframes of the actions and measures, institutional, staffing, training, monitoring and reporting arrangements, and grievance management. The ESCP also sets out the environmental and social (E&S) instruments that shall be adopted and implemented under the Project, all of which shall be subject to prior consultation and disclosure, consistent with the ESS, and in form and substance, and in manner acceptable to the Bank.

The ESCP sets out the Project's commitment on the monitoring and reporting and the adoption and implementation of all ESF Instruments that are aligned with the nine (9) ESS of the Bank.

3.3.2. Environmental and Social Management Framework (ESMF)

The ESMF serves as a tool for the environmental and social assessment process and mitigation planning once the respective technical details of subprojects are available. 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).

The ESMF presents the criteria and procedures to manage the environmental and social risks of subprojects under I-BUILD and I-REAP. The ESMF applies as early as on the preparation/updating of the VCAs and PCIPs in determining potential environmental and social issues of each of the investments considered in the PCIPs.

The ESMF annexure contains the tools and the guidelines to be used in the ESMF Implementation, specifically the following:

- Annex A: Protected Areas in the Philippines
- Annex B: Social and Environmental Safeguards and Biodiversity Screening for I-PLAN
- Annex C: Social and Environmental Safeguards Screening Form for I-BUILD and I-REAP
- Annex D: Social Inclusiveness Scoring System for Proponent Group Seeking I-REAP Funding

- Annex E: Guidance in the preparation of Environmental and Social Assessment (ESA) and ESMP in Subproject Feasibility Study Reports for I-BUILD Subprojects
- Annex F: Guidance in the preparation of ESA and ESMP in Subproject Business Proposal for I-REAP Subprojects
- Annex G: Illustrated Technical Planning Guidelines for Communal Roads
- Annex H: Illustrated Technical Planning Guidelines for Communal Irrigation Systems
- Annex I: Illustrated Technical Planning Guidelines for Water Systems
- Annex J: Guidelines for ESMP Preparation (Per subproject type including the siting criteria)
- Annex K: Guidelines in the Preparation of Contractor’s ESMP (CESMP)
- Annex L: Biodiversity Management Plan Guidelines
- Annex M: Integrated Pest Management Plan Guidelines
- Annex N: Cultural Heritage Management Plan Guidelines
- Annex O: Community and Occupational Health and Safety (COSH) Guidelines amidst COVID-19 and other emerging communicable diseases
- Annex P: ESMP Compliance Monitoring (Per subproject type including the siting criteria)
- Annex Q: An Outline for CERC ESMF
- Annex R: Climate Co-Benefits and GHG Accounting
- Annex S: Basic Safeguards Requirements for the Issuance of NOL 1 and NOL 2

a. ESMF Instruments

i. Social and Environmental Screening

● Early Screening Form for Commodity Investment Plan (Annex B of the ESMF)

The SES screening for I-PLAN will be conducted by the Provincial Core Planning Team (CPT) with technical Support from the Regional CPT, in coordination with the RPCO SES Unit and Geo-mapping and Government Unit (GGU).

Key information and references during SES screening are the Comprehensive Land Use Plan (CLUP), Expanded Vulnerability & Suitability Analysis (E-VSA), Climate Risk Vulnerability Assessment (CRVA), Fishery Vulnerability and Suitability Tool (FishVool), results of participatory planning, and geomapping of GGU identifying the natural, climate and geologic hazards, proximity to protected areas and ancestral domains of IPs.

● Screening Form for I-BUILD and I-REAP Subprojects (Annex C of the ESMF)

The SES Screening tool is used to determine its eligibility in terms of environmental and social site sensitivity and to assess site-specific risks and impacts from subproject activities through in-depth technical consideration of the identified hazard and vulnerability and potential impacts of the subprojects on the environment and communities during subproject proposal validation. The location of the subproject proposal is overlaid with the maps of protected areas, ancestral domain, and hazard

susceptible areas, in coordination with GGU. The results of the subproject mapping will prompt the subsequent activities and requirements for the subproject.

This shall be administered by the Subproject Proponent (SP) to be assisted by the RPCO-SES which shall be a part of the proposal package for appraisal.

ii. Environmental and Social Assessment (Annex E for IBUILD and Annex F for IREAP Subproject)

The Environmental and Social Assessment (ESA) will form part of the Business Plan/Feasibility Study to be prepared by the Subproject Proponent with assistance from the RPCO after the proposal has passed the screening process. Following are the Safeguards aspects that should be included in the ESA. The guidance in the preparation shall follow the Annex E and Annex F of the ESMF for I-BUILD and I-REAP subprojects, respectively.

SAFEGUARD ASPECTS FOR DISCUSSION IN THE ESA
<p>Social Safeguards</p> <ul style="list-style-type: none"> ● Subproject Beneficiaries ● Indigenous Cultural Community/Indigenous People ● Site and Right-of-way Acquisition ● Damage to Standing Crops, houses, and/or properties ● Physical Displacement of Persons ● Economic Displacement of Persons ● Grievance Redress Mechanism ● Labor-related risks / Occupational Health and Safety ● Community Health and Safety ● Conflict Context Assessment <p>Environmental Safeguards</p> <ul style="list-style-type: none"> ● Natural Habitat ● Physical Cultural Resources ● Terrain, Soil Types, and Rainfall ● Natural and Geologic Hazards/Risk Assessment ● Resource Conservation and Pollution Control ● Integrated Pest Management and DA KASAKALIKASAN ● Status of Environmental Clearances

The assessment of the listed safeguards aspect may use the expected environmental and social impacts associated with I-BUILD Infrastructures and I-REAP Enterprises (Table 5 of the ESMF) as primary reference in identifying site-specific risks for assessment. Risks identified that are not included in the initial list should be included as well in the ESA upon identification in consideration of site specific conditions.

These risks and impact should also be included in the items that will be discussed during the consultations with various stakeholders (PAPs and beneficiaries)

iii. Environmental and Social Management Plans (ESMPs)

The ESMPs shall be prepared by the Subproject Proponent with assistance from the RPCO in response to the risks and impacts identified in the ESA. The ESMP is an instrument that provides mitigation measures to site-specific impacts of a subproject. The site-specific ESMP includes supplementary plans on waste management, COSH, BMP, CHMP, IPMP, construction site management, and environmental and social compliance monitoring parameters. A subproject will prepare the ESMP as per guidelines in Annex J (1-12) for those activities identified during the screening process. In addition, Annex G, H, I respectively provide resources to integrate E&S considerations as part of technical planning guidelines for Community roads, irrigation systems, and water systems subprojects.

The ESMPs shall include monitoring, supervision, reporting, capacity building, and budget for implementation.

iv. Contractor's ESMPs

The Contractors ESMP (CESMP) provides the practical mitigation actions and measures to be implemented by contractors to avoid, minimize and mitigate negative environmental and social impacts during construction. The CESMP contains site-specific measures in line with the ESMF and WBG EHS Guidelines. Annex K presents the template of the CESMP.

v. Supplemental ESMP Instruments

Biodiversity Management Plan (Annex L of the ESMF)

Biodiversity Management Plan (BMP) is prepared to guide project activities that have potential to generate environmental impacts on ecologically valuable receptors such as sensitive habitats and species, protected areas, forests, and mangrove areas. The BMP applies to subprojects located in buffer zones and multiple use zones of protected areas and those located within marine and aquatic ecosystems or close to any waterbody whose activities will have effects on the overall biodiversity of the area.

Integrated Pest Management Plan (Annex N of the ESMF)

The Integrated Pest Management Plan (IPMP) provides guidance to project activities involved in the use and handling of pesticides or agrochemicals. Pest control measures are acknowledged as part of the activities for crop production as well as in the treatment of commodities before these are processed into food or feed. The IPMP promotes pest control measures and procedures that can avoid impacts on humans or the environment. The IPMP contains the recommended mitigation measures which shall be dependent on the risk that are identified in the ESA.

The ESA to be prepared should describe Integrated Pest Management and Status of DA-KASAKALIKASAN program of the proposed subproject in the road influence area and the conducted training on IPM and DA KASAKALIKASAN with the adoption rate. It should also include the types of agricultural cultivation or farming practice (monoculture, rotational cropping, intercropping, diversified or integrated farming). Include in the ESMP its potential hazards/risks and provide mitigation measures. Specifically, it should contain the organic or inorganic agrochemicals (e.g. fertilizers and pesticides) used in the enterprise: name, toxicity label, application methodology, frequency of application (e.g. if once or twice in every cropping season; once a year regardless of number of cropping

season; or seldom used, only if needed when pests are uncontrollable or soil nutrient is poor), and volume of usage per hectare. Below is the suggested matrix:

Table 6. Matrix of details required in the ESA for the IPM discussion

Crop	Name of Organic and Inorganic Agrochemicals		Toxicity Label	Application Methodology	Frequency of Application	Volume of usage/dose per hectare
1. <insert first crop name>	Fertilizers	<insert brand name>	<insert data>	<insert data>	<insert data>	<insert data>
	Pesticides	<insert brand name>	<insert data>	<insert data>	<insert data>	<insert data>
	Other agrochemicals	<insert brand name>	<insert data>	<insert data>	<insert data>	<insert data>
2. <insert second crop name>	Fertilizers	<insert brand name>	<insert data>	<insert data>	<insert data>	<insert data>
	Pesticides	<insert brand name>	<insert data>	<insert data>	<insert data>	<insert data>
	Other agrochemicals	<insert brand name>	<insert data>	<insert data>	<insert data>	<insert data>

Cultural Heritage Management Plan (Annex N of the ESMF)

The Cultural Heritage Management Plan (CHMP) aims to preserve, protect, and avoid impacts to physical cultural resources (PCRs) in line with ESS8 (Cultural Heritage). The CHMP provides guidance in addressing cultural heritage as an integral aspect of sustainable development and promotes consultation with stakeholders regarding cultural heritage and equitable sharing of benefits from the use of cultural heritage.

Subprojects that will result in alteration, damage, or render inaccessible any cultural resources and practices, structures or heritage sites will be considered as ineligible for funding.

Subprojects that are located within the identified or within the designated buffer zone of not lesser than 5 meter or areas that have potential for cultural heritage should coordinate with NCCA, NHCP, and NM for proper procedures to be undertaken. In addition, the Subproject Proponent shall conduct consultation that is aligned with the principles of the meaningful consultation with the community with possible interest in the Cultural Heritage to get consent and approval. Requests of the community shall be respected such as in the confidentiality treatment of the details of the Cultural Heritage.

The Chance finds Procedure also forms part of the CHMP which should be adopted by the subprojects during construction. The Annex N of the ESMF also provides the guidelines in the preparation of the chance finds procedure.

Guidelines on Community and Occupational Safety and Health (COSH) during Implementation of PRDP Scale-Up subprojects amidst the COVID-19 Public Health Crisis (Annex O of the ESMF)

This guideline strengthens the protection of the rights of workers to a safe and healthy working environment as well as the protection of the community especially the vulnerable population, ensuring non-discrimination and social inclusion during the time of the COVID-19 pandemic.

The COSH Guidelines shall be adopted and shall harmonize the issuances of the Philippine Government in the implementation of PRDP Scale-Up covering the Infrastructures and Enterprises subprojects and all other Project activities.

Waste Management Plan

The Waste Management Plan will be prepared by the LGU/FCA/FCA Clusters as part of the BP/FS/DED Preparation. The WMP should be aligned with the mandates of the RA 9003 for Solid and Liquid wastes and RA 6969 for Toxic and Hazardous Wastes.

The WMP should contain the disposal site of solid, liquid, and hazardous wastes including the composting area and design for subprojects that will implement composting of organic wastes. The design of temporary storage facilities should be included in the Detailed Engineering Design (DED) for the proper management of wastes and housekeeping during construction and operations phase.

For the liquid wastes, a water treatment facility should be provided as part of the DED ensuring that the capacity and the effluent quality should be within the standard set by the DENR as baseline of monitoring.

For the excess soil excavations during construction, documentation on the agreement to dispose in certain lots as approved by the LGU will also be required. Hauling schedule of the stockpile of excavated soil during construction should also be detailed in the WMP.

Siting Criteria for Batching Plant, Spoils Disposals, Borrow Pits (Annex J-11 of the ESMF)

The contractor shall comply with the siting criteria, operation guidelines, and abandonment for Batching Plant, Quarry Site, Borrow Pit, and Waste Dumping Site and attach this in the CESMP. The specific details as to the location, area, lease information, capacity of the site, and certifications for the batching plant, quarry site, borrow pit, and disposal sites, including surrounding areas (i.e. rivers/creeks, residential areas, etc.) that may be affected by soil runoff, dust, noise and vibration should also be incorporated in the CESMP. Temporary Use Agreement/Site acquisition document shall serve as attachment in the CESMP to be submitted by the contractor as part of the bidding documents.

Social Inclusiveness Scoring System for Proponent Groups (Annex D of the ESMF)

All I-REAP subproject proposals shall undergo mandatory social inclusiveness scoring system using the form provided in Annex D of ESMF. The LGU SES shall conduct the Social Inclusiveness Scoring System with the validation of RPCO SES to determine the degree of social inclusiveness of the subproject proponent following the procedures. To

ensure equity and inclusiveness especially among vulnerable groups, address the risk of elite capture “whereby public resources are biased for the benefit of a few individuals of superior social status in detriment to the welfare of the larger population” that perpetuates further exclusion of marginalized and vulnerable groups and the non-equitable benefit-sharing.

3.3.3. Labor Management Procedure (LMP)

The Labor Management Procedure (LMP) document ensures the right to decent work and equal opportunities. The LMP sets out the 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 including the Gender-based Violence (GBV) and Sexual Exploitation and Abuse and Sexual Harassment (SEA-SH) risks and Discrimination on the basis of Sexual Orientation and Gender Identity and Expression (SOGIE). This is to ensure that the implementation of PRDP Scale-up shall be in accordance with labor and employment standards. The LMP, shall be reviewed periodically and enhanced accordingly based on additional information/ experiences during implementation and as deemed relevant.

a. Implementation Requirements

The Code of Conduct (Annex 1 of the LMP presents a template of Code of Conduct) that is aligned with the Project’s LMP to be submitted by the contractor and the FCAs will be the main requirement under the LMP. The Contractor’s Code of Conduct will be submitted as part of the bidding documents during the Procurement Stage along with the DOLE approved CSHP, while the FCA’s Code of Conduct shall be a part of the proposal package for appraisal for the Enterprise Operations.

The LMP should include the necessary risks that are identified in the LMP as well as the mitigations provided thereto. It shall also adopt the GRM for workers of the Project for raising of concerns and to establish sanction on the violations to the Code of Conduct provisions committed by the workers.

The Code of Conduct shall be attached to the contract of all workers for their signature. Contractors and the FCAs shall also orient workers about the content of the code of conduct in a manner that is understandable to the majority, if not all. Table 9 summarizes the requirements under LMP.

Table 7. Summary of LMP Requirements

REQUIREMENT	STAGE	RESPONSIBLE PARTY
Discussion of Labor Risk in ESA	BP/FS Preparation (Approval and Clearance Issuance)	P/M/CPMIU/FCA with assistance from RPCO
ESMP including the potential risks and corresponding mitigations identified in the LMP and other that can be identified (Annex A of LMP)		
Contractor’s ESMP		

Procurement

Contractors

DOLE Approved CSHP with Workplace Policy and Program on Promoting Workers Health and Ensuring Prevention and Control of Health-Related Issues and Illness		
Code of Conduct (Annex 1 of the LMP)		Construction: Contractors Operations: LGU and FCA/FCA Clusters

b. LMP Implementation Monitoring and Incident Report

Any dangerous occurrence, major accident resulting in death or permanent total disability, shall be reported by the contractors to the DOLE Regional Office within twenty four (24) hours from occurrence using the prescribed form (Work Accident / Incident Notification). Other work accidents resulting in disabling injuries such as Permanent Partial Disability and Temporary Total Disability shall be reported to the DOLE Regional Office within (30) days after the date of occurrence of accident using the DOLE prescribed form (WAIR). The report to be submitted shall be furnished to the RPCO-SES and I-BUILD for monitoring and immediate action.

The PRDP NPCO shall report fatality or serious injury to the Bank no later than forty-eight (48) hours after learning of the fatality or serious injury and the status of action taken within a period of 7 days from the incident.

The implementation of the CSHP and the CESMP, GRM, and the Code of Conduct shall also form part of the Progress Report to be submitted on a monthly basis.

3.3.4. Land Acquisition and Resettlement Policy Framework (LARPF)

Land Acquisition and Resettlement Policy Framework (LARPF) is to ensure 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 physically or economically displaced whether permanent or temporary, are resettled and/or provided with assistance to improve, or at least maintain, their pre-Project living standards and income earning capacity.

a. Inventory and Entitlement Survey (Annex 2 and 3 of LARPF)

An inventory and entitlement survey of the affected lands and assets for each subproject, using Forms 1 and 2 (Annexes 2 & 3 of LARPF), will be prepared by the Provincial/ Municipal Planning and Development Officer (P/MPDO) and other municipal agencies concerned with resettlement and assisted by the respective Provincial Project Management and Implementation Unit (PPMIU). This will be reviewed and approved by the Regional Project Coordination Office (RPCO) and endorsed by the concerned Project Support Office (PSO) to the National Project Coordination Office (NPCO) as part of the proposal package.

b. Entitlement Policy

Table 1 of the LARPF presents the entitlement matrix that the subproject proponent should adopt in determining the entitlements of the PAPs. A range of measures comprising compensation, income restoration support, transition assistance, income substitution, relocation support, etc. which are due to the PAPs/AHs, depending on the type and severity of their losses, to restore their economic and social base. In the event that significant delays in subproject implementation may cause previous calculations of market values/replacement costs to be lower than current rates. A replacement cost would need to consider applicable inflation rates until the time of compensation.

Table 8. Entitlement Matrix for the PRDP Scale Up

No	Type of Loss	Entitled Persons/Households	Details of Entitlements
1	Loss of residential land and structures	Title holders/ recognized or recognizable claims under national laws	<ul style="list-style-type: none"> i. The provision of replacement residential land (house site and garden) of equivalent size, satisfactory to the displaced person; and cash compensation reflecting full replacement cost of the structures, without depreciation, without deductions for salvaged materials and without deduction for taxes and/or transaction costs; ii. If the displaced person so wishes and the portion of the land to be lost represents 20% or less of the total area of the residential land area, and the remaining land is still a viable residential lot, cash compensation for the land and structure lost, at full replacement cost (market value), may be provided to the person in lieu of a replacement house and lot in a new site; iii. If after acquisition, the remaining residential land and/or structure is insufficient for the PAP to re-establish his home, the entire residential land and structure will be acquired at full replacement cost, without depreciation and salvaged materials. iv. Transitional assistance covering transportation, fees, and any related relocation expenses to be incurred by the PAPs v. Additional assistance for vulnerable households to be determined at the time of relocation and tailored to the

			specific vulnerability of the PAP (e.g., disabled, old age, etc.)
2	Loss of residential structure/house	Informal settler families (ISFs)	<ul style="list-style-type: none"> i. Compensation reflecting full replacement cost of the structures, without depreciation and without deductions for salvaged materials ii. If after acquisition, the remaining residential structure is insufficient for the PAP to re-establish his home, the entire residential structure will be acquired at full replacement cost, without depreciation and without deductions for salvaged materials. iii. Transitional assistance covering transportation, fees, and any related relocation expenses to be incurred by the PAPs vi. For vulnerable ISFs, relocate to a resettlement site with security of tenure or a similar arrangement
3	Loss of residential structure/house	Tenant	<p>If the PAP is a tenant who has rented the displaced house for residential purposes, he/she will be provided with a cash grant of three months rental fee at the prevailing market rate in the area, and will be assisted in identifying alternative accommodation. The PAP will be notified at least 3 months prior to displacement, and will be reminded every month thereafter.</p>
4	Loss of structures (i.e. part of house, fences, roof eaves)	Title holders/recognized or recognizable claims under national laws/informal settlers	Cash compensation reflecting full replacement cost of the structures, without depreciation and without deductions for salvaged materials

5	Loss of agricultural land	Title holders/ recognized or recognizable claims under national laws	<ul style="list-style-type: none"> i. The general mechanism for compensation of lost agricultural land will be through provision of "land for land" arrangements of equal productive capacity, satisfactory to the displaced person. If no equivalent land is available for land for land compensation, cash compensation at full replacement value will be considered. ii. If the displaced person wishes and the portion of the land to be lost represents 20% or less of the total area of the landholding, and the remaining land is still a viable economic holding, cash compensation, at full replacement cost (market value), may be provided to the person. iii. If the portion of the land to be lost is more than 20% of the total area of the landholding, and the remaining land is still viable, the displaced person shall be justly compensated of the lost asset and shall be provided with livelihood assistance. iv. If more than 20% of a villager's agricultural land is acquired and the remaining holding is not viable, then subject to PAPs agreement the Project will acquire the entire landholding and provide compensation of the acquired land at direct land replacement.
6	Temporary loss of agricultural land	Title holders/ recognized or recognizable claims under national laws	PAPs, whose land is temporarily taken by the works under the Project (i.e. use for detour during construction of bridges) will be compensated for their loss of income, standing crops and for the cost of soil restoration and damaged infrastructure.

7	Loss of crops, coconut and trees (fruit-bearing and timber trees)	Title holders/ recognized or recognizable claims under national laws/informal settlers	<ul style="list-style-type: none"> i. PAPs will be compensated for the loss of standing crops and fruit-bearing or industrial trees at market price. ii. For annual crops, as much as possible PAPs will be notified in advance and given opportunity to harvest crops iii. For trees, formula for compensation/replacement cost will take into consideration price for seedling and price for lost product based on the age, productivity, and market price for the number of years required to grow a tree of the same age iv. For timber trees, the PAP may choose between getting the timber itself or compensation at market price in exchange for the timber
8	Loss of business	Title holders/ recognized or recognizable claims under national laws/informal settlers	The mechanism for compensating loss of business will be: (1) the provision of alternative business site of equal size and accessibility to customers; (2) cash compensation for lost business structure reflecting full replacement cost of the structures, without depreciation and without deductions for salvaged materials; (3) cash compensation for the loss of income during the transition period, and (4) any transition and transportation costs (transport, establishing new utilities, new fees, taxes, etc. related to the relocation).

9	Loss of means of livelihood or access to livelihood	Title holders/ recognized or recognizable claims under national laws/informal settlers	<p>i. PAPs shall be provided with livelihood assistance and support within the community. They will also be provided compensation at full replacement cost, without depreciation and without deductions for salvaged materials for any other fixed assets affected in part or in whole by the project.</p> <p>ii. Transitional support to those whose livelihoods will be disrupted. This may include payment for lost crops and lost natural resources, payment of lost profits for businesses, or payment of lost wages for employees affected by business relocation. Transitional support continues for the duration of the transition period.</p> <p>iii. As warranted, livelihood planning provides special assistance to women, minorities, or vulnerable groups who may be disadvantaged in securing alternative livelihoods.</p>
10	Loss of community infrastructures and utilities such as school fence, waiting shed, water wells, electric posts among others	Community where community infrastructures are located	In cases where community infrastructure and utilities such as schools, factories, water sources, roads, sewage systems or electrical supply is damaged, the Project will ensure that these would be restored, repaired or relocated as the case may be, at no cost to the community. Subproject proponent to shoulder the cost of the restoration/repair/relocation.

c. Resettlement Action Plan (Annex 4 of the LARPF)

Subprojects that will involve physical and/or economic displacement whether temporary or permanent are required to prepare a RAP. The RAP will be prepared by the Subproject Proponent with the assistance from the RPCO commensurate to the level of impacts as per inventory and entitlement survey conducted by the subproject proponent LGU. The approved RAP shall be disclosed in the PRDP Scale-Up website by the PSO. The RAP shall be implemented prior to the issuance of NOL 2.

The Resettlement Action Plan and survey will include depending on the magnitude of impacts all or some of the following:

- a completed PAPs inventory (refer to Annexes 2 & 3: for the Forms 1 and 2);

- a detailed socio-economic survey of displaced persons describing their age, sex, ethnicity, education, main occupation, sources of income, and total household income per year and if there are members of the household that are vulnerable (i.e. PWD, Senior Citizen, Widowed, Solo-parent);
- detailed compensation and entitlement calculations for each affected household, where applicable;
- Cut-off-date¹
- location, area and category of the replacement residential and agricultural land to be provided, if that be the case;
- a time-bound action plan for implementation;
- a detailed budget and source of funding for the various compensation measures; and
- arrangements for external monitoring and evaluation.

The subproject proponent shall be the one responsible and accountable for land acquisition and resettlement of displaced households. A detailed implementation schedule of the various activities to be undertaken will be included in each inventory and Resettlement Action Plan (RAP)

d. RAP Implementation Monitoring

The P/M/C/FCAPMIU shall provide direct supervision and monitoring of the RAP implementation and compliance with provisions in the LARPF and approved RAP. Immediately after the implementation, the socio-economic status of the all resettled PAPs should be monitored until the restoration of their economic status prior to the subproject's intervention. A RAP Implementation report shall be submitted by the Subproject Proponent to the RPCO on a monthly basis.

3.3.5. Indigenous People's Policy Framework (IPPF)

IPPF is prepared to ensure that the interests, needs, and concerns of IP/ICCs are taken into consideration in the formulation of regional and provincial plans and in the design and implementation of specific subprojects near or within their communities and/or territories. More specifically, this framework has the following objectives:

- i. To ensure that IP/ICCs in the regions and provinces are able to meaningfully participate in the conduct of I-PLAN activities, including the preparation of the Provincial Commodity Investment Plan (PCIP);
- ii. To ensure that the selection, screening, and preparation of subprojects under I-BUILD and I-REAP will be undertaken with the involvement and participation of the IP communities in the target areas in partnership with the National Commission on Indigenous Peoples (NCIP); Ministry of Indigenous Peoples' Affairs (MIPA), and the Local Government Units (LGUs) and that:

¹ Cut-off date is the date of commencement of the inventory and entitlement survey of affected households within the project boundaries. The cut-off date could also be the date the project area was delineated, prior to the inventory and entitlement survey, provided that there has been an effective public dissemination of information on the area delineated, and systematic and continuous dissemination subsequent to the delineation to prevent further population influx. Establishing a cut-off date is intended to help prevent encroachment by opportunistic settlers.

- Whenever the proposed subproject site is located within or will directly impact on any declared or proposed IP Ancestral Domain, the requirements for government-sponsored development projects under IPRA as stipulated in the Free and Prior Informed Consent (FPIC) Guidelines are complied with; otherwise,
- If the project site is situated outside any declared or proposed Ancestral Domain and does not meet the criteria for FPIC provided in the IPPF but nevertheless will directly affect and/or benefit any extant IP community or communities, meaningful consultation is undertaken for the subproject in coordination with NCIP/MIPA .

iii. To avoid adverse impacts of the specific subprojects under I-REAP and I-BUILD on Indigenous Peoples or when avoidance is not possible, to minimize, mitigate, and/or compensate for such impacts;

iv. To improve subproject design and promote local support by establishing and maintaining an ongoing relationship based on meaningful consultation with the Indigenous Peoples affected by a project throughout the project's life cycle;

v. To promote sustainable development benefits and opportunities for Indigenous Peoples in a manner that is accessible, culturally appropriate, and inclusive;

vi. To recognize, respect, and preserve the culture, knowledge, and practices of Indigenous Peoples and to provide them with an opportunity to adapt to changing conditions in a manner and in a time frame acceptable to them.

a. Indigenous People's Plan (IP Plan) (Annex 2 of the IPPF)

The IP Plan should be prepared in cases where Indigenous Peoples/Indigenous Cultural Communities (IP/ICCs) (i.e. an extant, fully functioning IP/ICC community, either organized or only loosely associated but practicing common customs and traditions different from the mainstream society) are present within the Subproject's influence area and when they are either not the proponent of the subproject or only a minority of the proponents.

For subprojects whose proposed sites overlap with any IP Ancestral Domain (AD), IPP shall be prepared only if the Subproject is not included in (or not part of) the Ancestral Domain Sustainable Development and Protection Plan (ADSDPP) of the IP/ICC and the NCIP/MIPA-administered FPIC/CP process (or requirements under the NCIP AO No. 3 series of 2012 otherwise known as "The Revised Guidelines on the Exercise of Free and Prior Informed Consent (FPIC) and Related Processes") did not include an IP Development Plan, developed as a separate document or implied in the Memorandum of Agreement with the IP/ICC and the Project.

b. IP Plan Implementation Monitoring

The P/M/C/FCAPMIU shall provide direct supervision and monitoring of the implementation of and compliance with the IPPF and approved IP Plan. As part of this responsibility the P/M/C/FCAPMIU shall submit monthly to the RPCO compliance reports that include the SES monitoring checklist, status of grievances, status of IP Plan implementation among others. The monthly compliance reports serve as inputs to the semi-annual reports submitted by the SES Unit. Inputs to the semi-annual reports contain the following minimum information:

- Involvement of IPs in the preparation of PCIP (gender disaggregated data on the number of IPs involved/consulted in the preparation of PCIP);
- List of subprojects located within an IP community and status of compliance with the requirements;
- Gender disaggregated number of IP Beneficiaries per subproject
- List of subprojects located within Ancestral Domain and status of compliance with the requirements; and,
- Status of the implementation of the agreed measures on IP issues, including if any, IP Plan implementation within the project duration, modification of subproject design, site location or alignment, compensation and/or benefits sharing plan.

The RPCO shall review the reports and conduct random spot inspections at subproject sites to validate and further evaluate compliance. It shall also consolidate all P/M/C/FCAPMIU reports and its findings and submit the same to the PSO, which shall in turn consolidate all reports from various RPCOs and submit to NPCO for inclusion on the Semi-Annual Report to be submitted to the World Bank.

3.3.6. Stakeholder Engagement Procedure (SEP)

The Stakeholder Engagement Plan (SEP) is a standalone document which contains the stakeholder analysis and details the participatory and disclosure processes under the PRDP Scale-Up that will be mainstreamed into the Project operations. The SEP also describes the robust Grievance Redress Mechanism (GRM) that is now being used by PRDP and will be adopted by the PRDP Scale-Up. To further align the GRM with the ESF, the SEP discusses the measures making it sensitive to sexual exploitation and abuse/sexual harassment (SEA/SH) incidents and Sexual Orientation, Gender Identity and Expression (SOGIE)-related complaints. A Stakeholder Engagement Plan (SEP) is prepared by the Project with the following objectives:

- To establish a systematic approach to stakeholder engagement that will help PRDP Scale-Up to identify stakeholders and build and maintain a constructive relationship with them.
- To assess the level of stakeholder interest and support for the project and to enable stakeholders' views to be taken into account in the whole project implementation and environmental and social performance.
- To promote and provide means for effective and inclusive engagement with project-affected parties, paying special attention to identified disadvantaged or vulnerable individuals or groups, throughout the project life cycle on issues that could potentially affect them.
- To ensure that appropriate project information on environmental and social risks and impacts is disclosed to stakeholders in a timely, understandable, accessible, and appropriate manner and format.
- To provide project-affected parties with accessible and inclusive means to raise issues and grievances, and allow the Project to respond to and manage such grievances.

a. Meaningful Consultation

Consultations under the PRDP Scale Up shall strictly abide by the principles of meaningful consultations. These principles are the following: (i) begins early in the project preparation stage and is carried out on an on-going basis throughout the project cycle; (ii) provides timely disclosure of relevant and adequate information that is understandable and readily

accessible to affected people; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of affected people and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues.

b. FPIC Requirements

In these circumstances needing FPIC, subproject proponents need to secure the Certificate of Precondition (CP) issued by the NCIP and the MIPA for BARMM. The FPIC processes shall be further guided by the NCIP Administrative Order No. 3 s. 2012 “The Revised Guidelines on Free and Prior Informed Consent (FPIC) and Related Process of 2012” and the Commission En Banc Resolution No. 08-083-2021 Series of 2021 “Resolution approving the guidelines on the validation and assessment process of government projects for the delivery of basic service to be undertaken within or affecting ancestral domain/s” and any succeeding policy issuances that is deemed consistent with the ESS 7.

The following subprojects require FPIC:

- Subprojects that 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.
- Subprojects that 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;
- Subprojects that 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
- Subprojects that locate or commercially develop natural resources on land traditionally owned by, or under the customary use or occupation of Indigenous Peoples or those that are referred to as Ancestral Domains;
- Subprojects that 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.

c. Stakeholders Engagement Guidelines

Subproject proponents will need to prepare the people for the type of consultation modality to ensure a meaningful community engagement. Subproject proponents are encouraged to think of innovative ways bearing in mind the Project’s key principle of ensuring inclusion and participation of disadvantaged/vulnerable households or individuals. Consultations to be conducted shall adhere with the following:

- begins early in the project preparation stage and is carried out on an on-going basis throughout the project cycle;
- provides timely disclosure of relevant and adequate information that is understandable and readily accessible to affected people;
- is undertaken in an atmosphere free of intimidation or coercion;

- is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and
- enables the incorporation of all relevant views of affected people and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues.

i. Consultation Content. In the preparation of ESA, describe the beneficiaries of the subproject, population data and gender-disaggregate, the socioeconomic status, the consultation process (indicate date, location and gender-disaggregated attendees of meetings) and the beneficiaries concerns and inputs. Describe the minutes of the meetings, women and vulnerable groups represented in the consultations (attendance of women taking into consideration a gender balanced ratio and vulnerable groups and their concerns/inputs). *Below are the Suggested Agenda for the community consultation:*

- a) *Presentation of the Proposed Subproject (Full Disclosure of subproject details)*
- b) *Road Right of Way, Entitlement Policy and Compensation and the Cut-Off date (refer to LARPF)*
- c) *Grievance Redress Mechanism*
- d) *Open forum on the concerns and issues especially of women and other vulnerable groups*
- e) *Others*

ii. Stakeholders. Individuals, formal or informal groups and organizations, and/or governmental entities whose interests or rights will be affected, directly or indirectly by the Project, both positively and negatively, who may have an interest, and who have the potential to influence the Project outcomes in any way. Stakeholders thus include both those who affect and those who are affected by the Project.

ii. Attendance Requirement. Majority or at least 50% +1 of direct beneficiaries for I-BUILD subprojects prioritizing the farmer/fisherfolk beneficiaries near the road, key barangay leaders, farmer/fisherfolk group leaders, informal leaders in the community, and in consideration of the disadvantaged/vulnerable groups such as single parents, widow/widower, Persons with Disabilities (PWDs), Senior Citizen, and IP/ICCs; and 100% members of the proponent group in I-REAP subprojects and 100% consultation for all affected persons has to be consulted. A separate consultation among disadvantage/vulnerable groups shall be considered when deemed necessary. The consultations shall be properly documented through submission of gender disaggregated attendance sheets, minutes of the meeting, and the geotagged photos.

iii. Conflict and Security. The SES Screening includes an assessment of the presence or absence of conflict in the area and determines if the entry of the subproject could trigger and/or exacerbate the identified conflict in the area. If the subproject is within a conflict-affected area, the Project shall conduct a conflict context assessment, a key activity for which is the conduct of a stakeholder assessment to determine the key actors as well as vulnerable groups and ensure that risks related to exacerbating the conflict are identified, addressed and mitigated through the conduct of social preparation and continuous dialogue with relevant parties as identified in the stakeholder analysis.

If armed conflict or military operation takes place within the subproject areas, the project workers, and subproject contractors will be evacuated following the local emergency protocols. Each LGU has its mandated procedure and structure for security and safety in case of armed conflict, which is usually led by the Municipal/Barangay Peace and Order Committee and articulated in detail through the Peace and Order and Public Safety (POPS) Plan.

The Subproject Proponent shall establish contact details and processes for concerned LGUs to appropriately inform the NPCO/PSO/RPCO about the status of project workers in any event of armed conflict which will be included in the ESA discussion.

4. Review and Approval

This section provides the safeguard activities and basic requirements that shall serve as the reference of the SES Officers in the review and approval of I-BUILD and I-REAP subproject proposals under PRDP Scale-Up.

SES is one of the six (6) components/units that needs to issue clearance prior to RPAB. For SES to issue clearance, all safeguard requirements other than permits that have issues on validity, plan implementations, and documents to be submitted by the contractor shall already be submitted and approved along with the feasibility study or business plan.

Table 4 and Table 6 presents the initial list of safeguard activities and list of requirements per stage of SP Preparation with the corresponding team/unit in charge. Additional activities and requirements may be imposed depending on the site specific condition and location of the subproject proposals. Table 5 and Table 7 also sets the summarized initial documentary requirements for the issuance of No Objections and for the Perfection of Contract for I-BUILD and I-REAP, respectively.

a. Safeguard Activities and Documentary Requirements for I-BUILD Subprojects

Table 9. Safeguards Process Flow and Documentary Requirements on I-Build Subprojects

STAGE IN SP PREPARATION	SAFEGUARD ACTIVITIES AND BASIC REQUIREMENTS	RESPONSIBLE PARTY
Subproject Identification and Validation	<p><u>During Validation</u></p> <ul style="list-style-type: none"> a. Fill- out SES Screening Form (Annex C of the ESMF) b. In coordination with GGU, overlay the location of the subproject proposal with the shapefile of Protected Areas, Ancestral Domain, and Hazard prone areas c. Document on the ROW Proof of Ownership based on Assessor’s Office and Land Registry d. Ensure that the LGU has an appropriation for the ESMF implementation e. Inclusion of Safeguard costs in the Economic Financial Analysis (EFA) <p><u>After Validation</u></p> <ul style="list-style-type: none"> a. Consultation documents showing that the beneficiaries accepted the subproject. 	P/M/C/FCAPMIU with assistance from RPCO

	<p>b. Conduct meaningful consultations with IP communities, women, and other vulnerable groups. Conduct a separate IP Community Information Campaign, if required, in accordance with SEP and IPPF</p>	
<p>FS, DED, and Safeguards Documents</p>	<p>a. 100% Entitlement Survey of Project Affected Persons (PAPs) <i>Note: Information dissemination of the barangay in the community prior survey. Survey should be done together with the Barangay Officials</i></p> <p>b. Accomplishment of Inventory and Entitlement Survey Forms (Annex 2 - Form 1 and Annex 3 Form 2 of LARPF)</p> <p>c. Valuation of identified affected properties based on fair market value</p> <p>d. Consultation with beneficiaries and PAPs.</p> <p>e. Preparation of ROW Acquisition documents (Compensation Agreement, DOD/Waiver, RAP, Expropriation documents etc.)</p> <p>f. Secure IP endorsement and Preparation of IP Plan, if applicable</p> <p>g. Preparation of the Electric Post Transfer Plan</p> <p>h. Preparation of the ESA (Annex G and F of the ESMF) and incorporation of relevant ESMP measures into the DED and POW.</p> <p>i. Preparation of the ESMP (Annex J of the ESMF) and other supplementary Plans (BMP - Annex L, IPMP - Annex M, CHMP - Annex N, COSH - Annex O)</p> <p>j. Acquisition of Safeguard Permit/Clearance Requirements (ECC/CNC, CNO/CP, tenurial instruments, etc)</p> <p>k. Application of Safeguard Permit Requirements (Tree Cutting Permit from DENR and PCA and/or inventor of trees, Water Permit)</p> <p>l. For CIS and PWS, Potability Test, Water Quality Test, and Water Balance Estimate or Analysis</p> <p>m. Preparation of other relevant documentary requirements depending on the subprojects</p>	<p>P/M/C/FCAPMIU with assistance from RPCO</p>

	<ul style="list-style-type: none"> n. Ensure inclusion of all safeguards costs in the final Economic and Financial Analysis o. FCA's Code of Conduct aligned with the LMP 	
<p>Safeguards Review and Clearance</p>	<p><u>Subproject Appraisal and Review (SPAR)</u> – the following should be available and have been reviewed by the corresponding review threshold:</p> <ol style="list-style-type: none"> 1. 100% Survey of Project Affected Persons (PAPs) 2. Valuation of identified affected properties based on fair market value 3. Consultation with beneficiaries and PAPs 4. Accomplished Entitlement Survey Annex 2 - Form1 and Annex 3 - Form 2 5. Initial preparation of ROW Acquisition documents (Compensation Agreement, DOD/Waiver, RAP, Expropriation documents etc.) 6. Discussion of the ESA as part of the BP/FS 7. Acquired/application of environmental clearances <p><u>Regional Project Advisory Board (RPAB) Approval</u> – the following should have been accomplished prior clearance of the subproject for RPAB approval:</p> <ol style="list-style-type: none"> 1. Compliance to SPAR especially on the major ROW Acquisition issues 2. 100% of the ROW Acquisition documents have been secured: <ol style="list-style-type: none"> I. 100% of PAPs agreed on compensation and/or reconstruction II. 100% of PAPs signed DOD/Waiver III. If with expropriation, the case has been filed in the court and issued writ of possession 3. Acquired relevant Permits (ECC/CNC, CNO/CP, etc.) 4. For transfer of electric posts, transfer cost have been included in EFA and included on the Transfer Plan with the transfer arrangement 5. PAMB Resolution/SAPA, if inside multiple use Zone or Buffer Zone of protected area 6. Appropriation for RAP implementation 7. Appropriation for IP Plan implementation 	<p>RPCO, PSO, and NPCO</p>

	<p><u>Safeguards Issuance of NOL 1 and NOL 2</u>- All remaining compliances should be complied with prior to issuance of NOL1 except for some expiration issues in Tree Cutting Permit (TCP) and water permit from NWRB; and compensation to PAPs which should be complied with prior NOL2 (Refer to Annex S of the ESMF for the complete NOL 1 and NOL 2 Basic Requirements).</p> <p><i>Note that, after SPAR or RPAB Approval, a final parcellary survey by a geodetic surveyor should be required if there are titled lands for annotation</i></p>	
<p>Compliance Monitoring and Supervision</p>	<p><u>Procurement</u></p> <ol style="list-style-type: none"> 1. Attendance in the pre-procurement and pre-bidding activities to discuss safeguards compliances 2. Contractors Code of Conduct aligned with the Project's LMP 3. Contractor's Safety and Health Program Approved by DOLE 4. Contractor's ESMP 5. Attendance and discussion of Safeguards Supervision during the Pre-Construction Conference 6. Tree Cutting Permit 7. NWRB Permit 8. Proof of RAP Implementation 9. Proof of IP Plan Implementation <p><u>Implementation</u></p> <ol style="list-style-type: none"> 1. Tax deduction/Tax exemption/Annotation/Tax Credit <ol style="list-style-type: none"> I. For tax declaration, deduction should start 2 months after issuance of NOL2/NTP and copy of new tax declarations should be submitted II. For titled lands, annotation should be completed prior to turn over of subprojects. <p><i>Note that parcellary survey by a geodetic surveyor is required.</i></p> 2. Compliance Monitoring Checklist, encoding of Annex P and monthly progress reports 3. Survey on the socio - economic conditions of Project Affected Persons (PAPs) especially under RAP, expropriation, and IP Plan; and 	

	4. Monitoring of tree replacement plan implementation	
--	---	--

Table 10. SES Documentary Requirements for I-BUILD Subprojects

Prior NOL 1	Prior NOL 2	Perfection of Contract
<ol style="list-style-type: none"> 1. Duly signed SES Screening Form (Annex C) 2. Environmental and Social Impact Assessment write-up as part of the Feasibility Study (as per Annex E of the ESMF) 3. Consultation documents: Minutes, attendance and photos during all consultations (project beneficiaries meeting, PAPs consultation, FPIC or broad-based consultation, Tribal Chieftain Certification) 4. Executive Order with GRM Point Person or Committee and discussion in the SA of the FS 5. Duly signed ESMP attached with Cultural Heritage Management Plan (Annex N) and Siting Criteria and Operational Guidelines for Batching Plants, Spoil Disposal Area, Borrow Pits and Quarry Sites (Annex J-11) 6. Site/RRROW Acquisition Documents: <ul style="list-style-type: none"> • Form 1 – Entitlement Survey of Affected Persons • Form 2 – Inventory of Entitlement Survey of Affected Persons • Proof of ownership (Cadastral survey with Municipal Assessors Certification, Title or Deed of Sale of the site, Deed of Sale or Transfer Certificate Title/TCT) • Notarized Waiver/Quit Claims and/or Deed of Donations • For Public Lands (Special land Use permit and/or FLAg from DENR) • Parcellary map • Rehabilitation/Relocation/Resettlement Action Plan (RAP) with agreement between Proponent LGU and PAPs for Resettlement and appropriation of funds 	<ol style="list-style-type: none"> 1. Proof of Compensation (<i>Disbursement Voucher/Deed of Sale</i>) 2. Implementation of Resettlement Action Plan (RAP) 3. Implementation of IP Plan 4. Tree Cutting Permit – <i>only if with issues on the duration of the validity of the permit vis-à-vis actual start of construction</i> 5. NWRB Water Permit 6. Proof of electric post transfer plan implementation 7. Disclosure of SES Documents at the PRDP website (c/o RPCO and PSO) 8. Uploaded Social Database in the PRDP MIS (c/o RPCO and PSO) 9. Contractor’s Safety and Health Program (CSHP) Approved by DOLE (Procurement) 	<ol style="list-style-type: none"> 1. Tree Cutting Permit 2. NWRB Water Permit 3. Contractor’s Safety and Health Program (CSHP) approved by DOLE 4. Contractor’s ESMP 5. Contractor’s Code of Conduct aligned with Project LMP

<ul style="list-style-type: none"> • Proof of Compensation and/or agreement between the PAPs and LGU for the Compensation • Reconstruction Agreement/Plan for between the LGU and PAPs for affected structures for reconstruction • Ordinance on the Tax Exemption/Credit/Holiday to the Project Affected Persons <ol style="list-style-type: none"> 7. Indigenous Peoples Plan 8. IEE Checklist, ECC/CNC issued by DENR 9. Tree Cutting Permit issued by DENR and/or CENRO Inventory of Trees 10. Coconut cutting permit issued by PCA and/or PCA inventory 11. Certificate of Precondition or Certificate of Non – Overlap issued by NCIP 12. Response letter from Electric Cooperative/Company for transfer of electric posts and appropriation of funds 13. Waste Disposal/Dumping Site Certification for surplus excavation 14. DPWH Accreditation for the Quarry Materials and Pictures of Quarry sites 15. NWRB Water Permit Application with complete requirements and approved for table review for PWS, CIS, and SWIP 16. Potability Test for PWS and Water quality test for CIS 17. Water Table Estimate/Analysis 18. Ordinance on Forest/Watershed Management for PWS and FMRs near forests 19. If inside Multiple Use Zone or Buffer Zone of Protected Areas, PAMB Clearance, Special Use Agreement in Protected Areas (SAPA) 20. Setting up of GRM and submission of GRM Directory 21. FCA/FCA Cluster’s Code of Conduct aligned with the Project’s LMP 	<p>10. Contractor’s ESMP (Procurement)</p>	
---	--	--

b. I-REAP Process Flow and Documentary Requirements

Table 11. Safeguards Activities and Documentary Requirements on I-REAP Subprojects

STAGE IN SP PREPARATION	SAFEGUARD ACTIVITIES AND BASIC REQUIREMENTS
-------------------------	---

<p>Proponent Group Selection and Validation/Business Planning Workshop and Site Validation</p>	<p><i>During Validation</i></p> <ul style="list-style-type: none"> a. SES Screening Form (Annex C of the ESMF) b. Social Inclusiveness Scoring Sheet (Annex D of the ESMF) c. Document on the Site Acquisition Proof of Ownership d. In coordination with GGU, overlay the location of the subproject proposal with the shapefile of Protected Areas, Ancestral Domain and Hazard prone areas e. Assess road access and utilities such as water and electricity f. Ensure that the LGU and FCA/FCA Clusters has an appropriation for the safeguard requirements <p><i>After Validation</i></p> <ul style="list-style-type: none"> a. Consultation documents showing that the beneficiaries accepted the subproject. If with IPs, consultation should show if they accepted the subproject and it's their priority.
<p>BP, DED and Safeguards (<i>Refer to NOL 1 and NOL 2 Basic Requirements</i>)</p>	<ul style="list-style-type: none"> a. 100% Survey of Project Affected Persons (PAPs), if any. b. Valuation of identified affected properties based on fair market value, if any. c. Consultation with beneficiaries and PAPs. d. Accomplishment of Entitlement Survey Forms G1 and G2, if any. e. Preparation of Site Acquisition documents (Compensation Agreement, DOD/Waiver, Usufruct Agreement, Contract of Lease, Expropriation documents etc.) f. Preparation of the ESA (Annex C for Guidelines) g. Preparation of the ESMP (Annex J of the ESMF) and other supplementary Plans (BMP - Annex L, IPMP - Annex M, CHMP - Annex N, COSH - Annex O) h. Letters and applications to necessary permits (ECC/CNC, CNO/CP, TCP, Water Permit etc.) i. Preparation of other relevant documentary requirements depending on the SP j. Inclusion of all Safeguards Costs in the Economic and Financial Analysis k. FCA's Code of Conduct during Operation aligned with the LMP l. Acquisition of Safeguard Permit/Clearance Requirements (ECC/CNC, CNO/CP, tenurial instruments, etc) m. Application of Safeguard Permit Requirements (Tree Cutting Permit from DENR and PCA and/or inventor of trees, Water Permit) n. Water Balance Estimate or Analysis o. Preparation of other relevant documentary requirements depending on the subprojects

<p>Safeguards Review and Clearance</p>	<ul style="list-style-type: none"> a. <u>Subproject Appraisal and Review (SPAR)</u> – the following should be available and have been reviewed at least by the RPCO SES: <ol style="list-style-type: none"> 1. 100% Survey of Project Affected Persons (PAPs), if any. 2. Valuation of identified affected properties based on fair market value), if any. 3. Consultation with beneficiaries and PAPs) 4. Accomplished Entitlement Survey Forms 2 and 3 of the LARPF, if any. 5. Initial preparation of Site Acquisition documents (Compensation Agreement, DOD/Waiver, Usufruct Agreement, Contract of Lease, Expropriation documents etc.) 6. Initial discussion of the ESA b. <u>Regional Project Advisory Board (RPAB) Approval</u> – the following should have been accomplished prior clearance of the subproject for RPAB approval: <ol style="list-style-type: none"> 1. Compliance to SPAR especially on the major Site Acquisition issues 2. Applications to all relevant Permits (ECC/CNC, TCP, CNO/CP, etc.) 3. For transfer of electric posts, transfer cost to charge by the LGU should have been estimated and included in EFA 4. PAMB Resolution, if inside protected area (MUZ and Buffer Zone) c. <u>Safeguards Issuance of NOL 1</u>– All remaining compliances should be complied with prior issuance of NOL1 except for some expiration issues in TCP and compensation to PAPs which should be complied with prior NOL2 (Refer to NOL 1 and NOL 2 Basic Requirements). d. <u>Enterprise Operational Plan/Manual Formulation</u> – Coordinate with I-REAP to include safeguards aspects in the operations manual of the enterprise (i.e. social inclusiveness, grievance redress mechanism, food safety and sanitary standards, occupational health and safety, Code of Conduct)
--	---

<p>4. Compliance Monitoring and Supervision</p>	<p>a. Procurement</p> <ul style="list-style-type: none"> i. Attendance in the pre-procurement and pre-bidding activities to discuss safeguards compliances ii. Submission of lacking safeguards compliance for TCP with issues on proof of compensation of PAPs prior NOL 2 iii. Contractor’s Safety and Health Program Approved by DOLE iv. Contractor’s Code of Conduct v. Contractor’s ESMP vi. Attendance and discussion of Safeguards Supervision during the Pre-Construction Conference <p>b. Implementation</p> <ul style="list-style-type: none"> i. Compliance Monitoring Checklist, encoding of Annex P and monthly progress reports
---	---

Table 12. SES Documentary Requirements for I-REAP Subprojects

Prior NOL 1	Prior NOL 2*	Perfection of Contract*
<ol style="list-style-type: none"> 1. Duly signed (by PMIU, PSO, and RPCO) Annex C SES Screening Form 2. Environmental and Social Assessment (ESA) of the Business Plan 3. Consultation/s: Minutes, attendance and photos during all consultations (project beneficiaries meeting, PAPs consultation, FPIC or broad based consultation, Tribal Chieftain Certification) 4. Executive Order for the Grievance Redress Mechanism Point Person or Committee and discussion in the Business Plan for the LGUs. For PGs, a Grievance Point Person (GPP) should be identified. 5. Applicable permits and certifications: <ul style="list-style-type: none"> o ECC/CNC issued by DENR o Tree Cutting Permit issued by DENR and/or CENRO Inventory of Trees o Coconut cutting permit issued by PCA and/or PCA inventory 	<ol style="list-style-type: none"> 1. Proof of Compensation (<i>Disbursement Voucher/Deed of Sale</i>). 2. Implementation of Resettlement Action Plan (RAP) 3. Tree Cutting Permit – <i>only if with issues on the duration of the validity of the permit vis-à-vis actual start of construction</i> 4. NWRB Water Permit 5. Proof of electric post transfer plan implementation 6. Disclosure of SES Documents at the PRDP website (c/o RPCO and PSO) 7. Uploaded Social Database in the PRDP MIS (c/o RPCO and PSO) 8. Contractor’s Safety and Health Program 	<ol style="list-style-type: none"> 1. Tree Cutting Permit 2. NWRB Water Permit 3. Contractor’s Safety and Health Program (CSHP) approved by DOLE 4. Contractor’s ESMP 5. Contractor’s Code of Conduct aligned with Project LMP

<ul style="list-style-type: none"> ○ Certificate of Pre-Condition and/or Certificate of Non – Overlap issued by NCIP ○ Response letter from Electric Cooperative/Company for transfer of electric posts and appropriation of funds ○ Potability Test for and Water quality tests if enterprise will fund water systems ○ Water Table Estimate/Analysis ○ Ordinance on Forest Management if enterprise is inside or nearby forests ○ If inside Multiple Use Zone or Buffer Zone of Protected Areas, Special Use Agreement in Protected Areas (SAPA), PAMB Clearance Resolution, Approved Protected Area Management Plan (PAMP) ○ <i>*Note: For RPAB approval, applications to DENR for ECC and cutting permit; PCA for cutting permit; NCIP for Certificate of Pre-condition (whatever is applicable) will suffice but the permits and certifications should be secured prior NOL 1 issuance</i> <p>6. IP/ICC Plan (refer to Annex 2 of the IPPF for guidance on preparing the IP Plan)</p> <p>7. Duly signed ESMP with the supplementary instruments (BMP, IPMP, CHMP, COSH, WMP), whichever are applicable</p> <p>8. Site Acquisition Documents such as:</p> <ul style="list-style-type: none"> ● Form 1 – Entitlement Survey of Affected Persons ● Form 2 – Inventory of Entitlement Survey of Affected Persons ● Proof of ownership (Title or Deed of Sale of the site, Deed of Sale or Transfer Certificate Title/TCT) ● Notarized Waiver/Quit Claims and/or Notarized Deed of Donations 	<p>(CSHP) Approved by DOLE (Procurement)</p> <p>9. Contractor’s ESMP (Procurement)</p>	
---	--	--

<ul style="list-style-type: none"> ● Contract of Lease/Contract of Usufruct (terms shall at least cover the entire economic life of the enterprise as projected in the BP and subject for renewal or option to buy.) <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> ● Rehabilitation/Relocation/Resettlement Action Plan and Agreement between Proponent LGU and PAPs if with Resettlement ● Agreement between the PAPs and LGU for the compensation/rehabilitation of their properties <i>*note: Prior NOL 2 - Submit Proof of compensation</i> <i>* Actual payment can be until NTP but RPCO SES should closely monitor compliance of the LGU.</i> <p>9. Social Inclusiveness Scoring Sheet for PG Seeking I-REAP Funding (Annex D of the ESMF)</p> <p>10. Disclosure of SES Documents by the RPCO- SES Unit (ESA of the BP; IEE/EIA; ECC/CNC; Duly signed ESMP; IP Plan and Resettlement Plan)</p>		
--	--	--

*I-REAP SPs with civil works

Other requirements such as the tax deduction, tree replacement plan implementation, and IP Plan implementation shall already be completed three (3) months after the subproject completion with submission of monitoring reports and proofs of completion to the RPCO.

5. Compliance Monitoring (Annex P of the ESMF)

Compliance with the safeguards requirements and 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 subproject preparation, construction and operation will be periodically monitored. The subproject proponent is required to submit every month a Compliance Monitoring Report to the RPCO using the form provided in Annex P of the ESMF.

The RPCOs will also be conducting periodic site visits to check the compliances of the contractors

during construction and during the operations of enterprises. A signed copy of the Compliance Monitoring Report shall be provided on-site that shall be posted in conspicuous areas and shall also be digitized in the Kobo Toolbox which serves as the main system in monitoring the compliance of subproject implementation.

6. Reporting Requirements

The reporting of the Project implementation shall primarily be the responsibility of the NPCO in the form of the Safeguards Semi-Annual Report on the environmental, social, health and safety (ESHS) through the reports that will be submitted by the Contractor and the Implementing Unit, the RPCOs, and the PSO. The Semi-Annual Report will be submitted to the World Bank every six (6) months or every Implementation Support Mission (ISM) starting from the first day of the effectivity date. The monthly CSHP report that is being required by the DOLE shall also be submitted to the RPCO to be by the Contractors and respective implementing unit which shall serve as attachment on the Semi-Annual Reports. Following are the summary of reports to be prepared and submitted:

Table 13. Summary of Reports to be Prepared under the PRDP Scale Up

REPORT	FREQUENCY	RESPONSIBLE UNIT
Monthly Progress Report on Safeguards Implementation and the CSHP Compliance	Monthly (every end of the month)	Contractors to RPCO
Compliance Monitoring Report	Monthly (every end of the month)	P/M/C/FCAPMIU to RPCOs
Safeguards Monthly Compliance Monitoring Report	Monthly (15 days after every end of the month)	RPCO to PSO
Safeguards Quarterly Compliance Monitoring Report	Quarterly (15 days after every end of the month)	PSO to NPCO
Safeguards Semi-Annual Monitoring Report	Semi-Annual (within the period of ISM)	NPCO to World Bank

7. Grievance Redress Mechanism

The establishment of a Grievance Redress Mechanism (GRM) is one of the major requirements of the PRDP with additional provisions for the PRDP Scale Up to include GRM for workers, Gender Based Violence Sexual Exploitation and Abuse and Sexual Harassment (GBV SEA/SH) and for Fraud and Corruption. In addition, negative feedback has been removed as one of the grievance types under PRPD Scale up to already be considered as a complaint.

All project levels (NPCO/PSO/RPCO) and subproject proponents (LGUs and FCAs) will each nominate and train one of their officers to be a Grievance Point Person (GPP) for project-related issues who shall be the designated person for the uptake of all grievances in all levels.

The GPPs 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 and grievance registries will be consolidated by the NPCO for discussions on how to further enhance PRDP systems based on the feedback and complaints.

Feedbacks shall be endorsed to the Monitoring, Evaluation, and Learning (MEL) Unit for their documentation while complaints received shall follow the general GRM Process Flow (Figure 5).

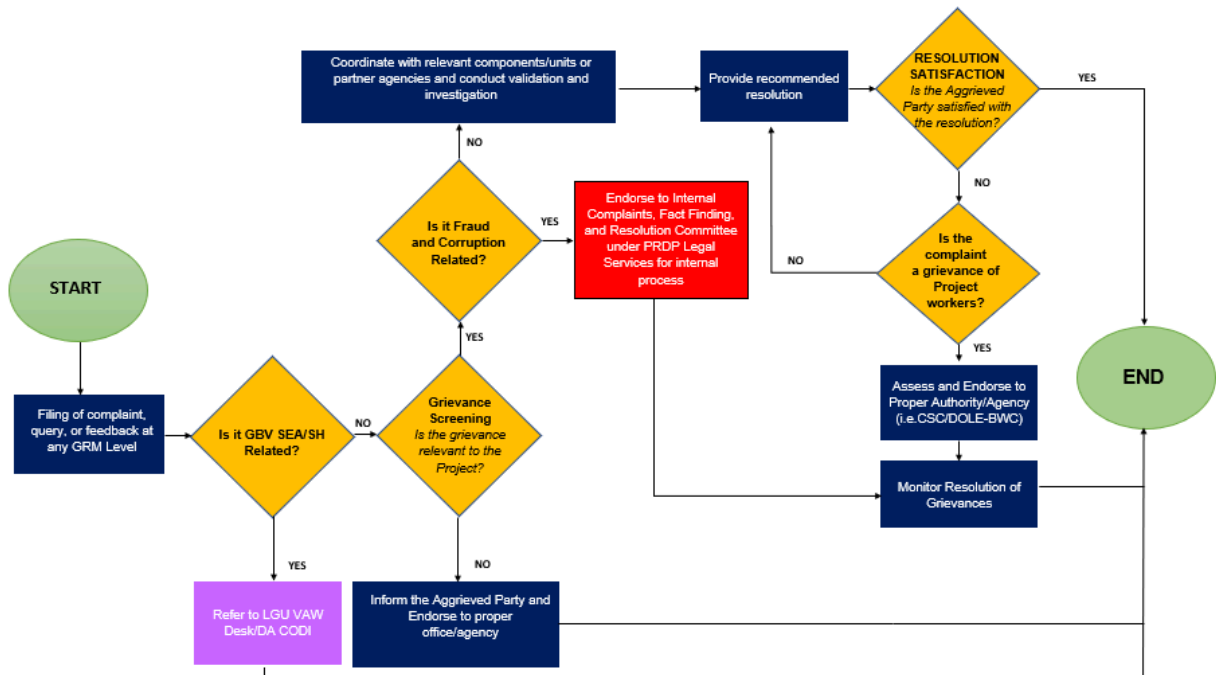


Figure 5. PRDP GRM Process Flow

a. Project GRM

The GRM of the Project will follow the general process flow of uptake-screen-assess-validate and resolve. An aggrieved person or any concerned stakeholder shall have the option to choose where they want to lodge their grievances. Uptake points shall receive and register all complaints and feedback regardless if the grievance is PRDP Project related or not.

The complaints received shall be screened by the GPP following the GRM Process flow in Figure 5. Sensitive cases, specifically complaints related to GBV SEA/SH and Graft and Corruption and Fraud shall immediately be endorsed to pertinent units/agencies based on the process flow provided.

Specifically, GBV SEA/SH shall be endorsed to the LGU for immediate action while possible fraud and corruption related cases shall immediately be endorsed to NPCO Internal Complaints, Fact-Finding, and Resolution Committee for their internal process lead by the PRDP Legal Unit

If the complaint is not Project related, the GPP shall endorse it to the relevant agency and explain to the aggrieved party the actions undertaken otherwise the GPP shall proceed with the usual process detailed in Figure 3 until both the aggrieved party and the Project reaches a consensus resolution.

b. GRM for workers

The Contractors shall establish their own GRM for the project which will also cover their subcontractors but the presence of such should not hinder the worker to lodge grievances to other uptake modes provided by the project. The GRM of workers shall be aligned with the GRM of the Project as detailed in the SEP and in compliance, the Implementing Unit or the Contractors will be required to submit reports to the RPCO for proper documentation as part of their monthly report. Grievances that cover their workers shall be in accordance with the provisions of the LMP and correspondingly, shall prepare a code of conduct itemizing the GRM composition, their roles and responsibilities, and the sanctions. The contractors will also be required to uptake all queries/feedbacks/complaints lodged to them that shall be endorsed to the LGU for proper resolution process.

The contractor will be required for a hotline which shall be open for 24 hours to accommodate grievances.

c. GBV-SEA/SH GRM

The receiver shall screen the grievance if it is categorized as GBV SEA/SH whether or not the complainant or the involved party is related to the project. Without interrogation, the GPP shall immediately contact the Local Social Welfare and Development Office (LSWDO) of the LGU in the barangay or municipal/city level or the Women and Children Concern Desk (WCCD) for urgent response.

GBV SEA/SH shall be handled with confidentiality at all times. Upon intake, the possible victim-survivor shall be provided with immediate first aid needs, if available. The Project shall provide utmost assistance when needed in the investigation process. For DA Employees, the CODI of the department shall be contacted upon receipt of the grievance. The potential victim-survivor shall be kept in an area that is private until the VAWC Officer/CODI takes charge.

d. Fraud and Corruption

A Committee on Internal Complaints, Fact-Finding, and Resolution under the PRPD Legal Unit at the NPCO will be formed to handle cases related to graft and corruption and fraud. All cases upon receipt and suspicion of it as related to this category shall be endorsed to the committee regardless of the channel and level where it has been lodged.

e. GRM for Indigenous People

Project will ensure that the GRM is culturally appropriate and accessible to Indigenous Peoples communities. As such, IP elders or Chieftains are part of the uptake points and GRM process for subprojects with Indigenous Peoples and respect the cultural attributes of the IP communities

and their existing traditional mechanisms for raising and resolving issues. It shall take into account the availability of judicial recourse and customary dispute settlement mechanisms among IP communities. Use existing structures and mechanisms in the IP community, such as but not limited to, their Indigenous Political Structure (IPS) which refers to the organizational and cultural leadership systems, institutions, relationships, patterns and processes for decision-making and participation, identified by ICCs/IPs such as, but not limited to, Council of Elders, Council of Timuays, Bodong Holders, or any other tribunal or body of similar nature.

7.1. Grievance Types

PRDP Grievance Redress Mechanism definition/criteria for classifying grievances. The grievance redress mechanism (GRM) is an integral project management element that intends to seek feedback from beneficiaries and resolve complaints on project activities and performance. PRDP NPCO, PSOs, RPCOs, participating Enterprise Development (I-REAP) Proponent Groups, and LGUs make the public aware of the GRM through awareness campaigns, training and capacity building. Any person who has feedback or complaint regarding the performance or activities of the Project and its subprojects during pre-implementation, procurement, implementation, and operation phases, shall have access to the GRM mechanism. It may be directed at any level - NPCO, PSOs, RPCOs, PGs, Tribal Chieftain/Leader, FCA, and LGUs (PLGU/MLGU/CLGU/FCA/Barangay) - by means of various uptakes such as via call, text messaging, e-mail, PRDP GRM Web-based Registry (www.grm.daprdp.net/grm), PRDP Facebook page, PRDP Twitter account, letter, drop box, and personal appearance, or be captured during PRDP activities such as consultations, trainings, validation visits, inspection and monitoring visits, among others. Additionally, complainants have the right to stay anonymous provided that contact information is made available for verification and communication purposes. Grievances are classified as either complaint, negative feedback, positive feedback, and other feedback.

Table 14. PRDP Grievances definition/classification criteria and actions upon intake

Type of Grievances	Definition/Classification Criteria	Actions upon Intake
Complaint	Lodged project related statement or expression of dissatisfaction due to poor service delivery that led to offenses or non-conformance with the project policies, guidelines and frameworks. Such as mis-use of funds, allegations of corruption, procurement anomalies, falsification of public documents, poor quality construction, unpleasant/adverse impacts to the complainant, community and environment that needs to be corrected/mitigated, among others. Complaints also include the solicited project related feedbacks, expression of dissatisfaction, requests, queries, reaction/response, observations, opinion or suggestions that may lead to occurrence of offenses or non-conformance with the project policies, guidelines and frameworks, if current service delivery is not improved or acted upon.	Validate, Acknowledge, Fact-Find, Response and Resolution

Positive Feedback	Lodged or solicited project related recognition and appreciation of the Project's good practices, services, experiences with ongoing or completed transactions, and project performance results/outputs and outcomes.	Validate and Acknowledge
Other Feedback	<p>Solicited or lodged non-contentious project requests, queries, and non-project related complaints/feedbacks. These may include:</p> <ul style="list-style-type: none"> ● Non-contentious project related inquiries – solicited or received project related requests of information or any query/clarification ● Project related requests for assistance – solicited or received project related requests for assistance (i.e. requests for funding of subprojects or assistance on accessing PRDP service delivery; and requests of the community to the LGU or Contractor during project implementation that are not part of the project design such as request for surplus materials, excavation or embankment in their farm and backyards, additional and improved access to their adjacent farms, and any other assistance). ● Non-project related grievances – non-project related feedbacks, complaints, queries, concerns, requests of information, etc. 	Validate, Acknowledge with Response or Directions to appropriate channel

a. Tools and Instruments in Operating the GRM

i. Registry Form

The registry of grievances is accessible through <http://prdp-grm.da.gov.ph/grm>. Anyone can lodge complaints and grievances to be received by the central GRM Team. In filling out the registry form, the following personal information is being requested but is not required: name, gender, age, address, contact number, email address, and if the person belongs to IP Community. Required details are the grievance specific such as the type of entry, the subject of the grievance, and the complaint or feedback. A code is provided for all the grievances lodged which the complainant/Aggrieved Stakeholder (AS) can use to monitor grievance updates and actions taken through the same link.

Figure 6. Registry Form through the GRM System

ii. Central Database

The web-based database will serve as the centralized system of all the grievances that have been lodged through the registry form. This is only accessible to certain officers since it requires log-in credentials and to also abide by the Privacy Act of 2012. All the records can be viewed by the respective Officers in the NPCO while the PSOs and RPCOs can only view grievances that are within their respective jurisdiction that they received or are endorsed for their action. The central database can be accessed through this link <http://prdp-grm.da.gov.ph/archive>. The database is already categorized depending on the type and region with an option to further categorize into the mode of uptake, grievance category, IP Related grievances, per LGU, and the status resolution.

Figure 7. GRM System of the PRDP Scale Up

iii. Feedback Form

The feedback form is being used to get feedback from Project Affected Persons (PAPs) and direct and indirect beneficiaries of a subproject. It shall be maintained and documented by

the Monitoring, Evaluation, and Learning Unit (MEL) and documented in the same registry system for GRM.

iv. Survey Form


The survey form is being used to determine the satisfaction of direct beneficiaries during site monitoring through guide questions facilitated by SES Unit. Following are the guide questions used:

- Are the active GPPs in the PG, *barangay*, municipality/city, and province? (i.e. holds regular meetings, 24-hour hotlines, information materials on GRM, record keeping) Are they facilitative and approachable? How did they handle the feedbacks and grievances
- If the grievance or feedback needed the involvement of other concerned agencies (ie. NCIP, DENR, DOLE-OSH) describe how they were involved, did they help in resolving the complaint? Did they make it easy or difficult? Were they responsive?
- Was the grievance resolution process followed? Was there proper documentation?
- Do you think the grievance was handled objectively and without bias? Why or why not?
- Do you think the resolution process is simple enough to follow? Did you notice the posters on GRM? Do you think the GRM is easily accessible? Or was it difficult to identify where, who and how to file a complaint or feedback?
- If IP, were you able to use the tribe's own resolution process to resolve the complaint?

v. Resolution Form

The resolution form is used to relay the summary of resolution on the grievances received and to confirm the satisfaction of the complainant/Aggrieved Stakeholder on the resolution provided after validation of the complaint. The complainant and GPP in charge shall sign the Resolution form and upload in the GRM System.

Confirmation that the case has been resolved from anonymous complainant(s) and those who wouldn't be able to personally sign the resolution form due to security reasons will be communicated through their provided contact information and will be asked to confirm agreement on the resolution via text message or email, if available. Otherwise, complaints upon issuance of resolution shall be considered as case closed if the anonymous complainant/AS has not responded within 30 days. Following is the resolution form to be used in issuing resolutions:



**Philippine Rural Development Project
RESOLUTION FORM
Grievance Redress Mechanism**

Local Government Unit: _____ CODE: _____
 Barangay: _____

Name: _____ Address: _____ Mobile number: _____ Telephone number: _____ E-mail Address: _____	Date: _____ IP: <input type="checkbox"/> YES <input type="checkbox"/> NO IP Tribe: _____ Gender: _____ Age: _____
To be filled out by the Grievance Point Person	
Date Complaint Received: _____ Received by: _____	
Subproject Name: _____ Summary of Complaint: _____ _____ _____	
Summary of Resolution: _____ _____ _____	
Were you satisfied with the action taken?: <input type="checkbox"/> Yes <input type="checkbox"/> No	
I certify that I am satisfied with the action taken and above-stated resolution to my complaint.	
_____ Signature over Printed Name of Complainant	
Witness: _____ Signature over Printed Name	

To be filled out by the Grievance Point Person	
Action Taken/Status/Remarks: _____ _____ _____	
Certified Correct: _____ Grievance Point Person	

Figure 8. GRM Resolution Form for PRDP Scale Up

b. GRM Requirements

- For LGUs, Executive Order regarding GRM Designating a GPP or committee
- For subprojects under I-REAP Component, designation of a GPP or Committee during the operations phase
- Inclusion of GRM during Consultation Meetings of the stakeholders and beneficiaries
- Discussion of GRM on the Social Assessment of the Feasibility or Business Plan
- Inclusion of GRM in the Environmental and Social Management Plan (ESMP)
- Installation of GRM Posters and information materials in the offices and strategic places
- Monthly submission of registry to NPCO
- Submission of GRM Directory for every subproject, shall have access to the mechanism
- Capacity Building
- Monitoring and Reporting

c. Grievance Monitoring

The Project will adopt the same systems for documenting and monitoring grievances under the original PRDP while ensuring confidentiality. This system includes a computerized system for logging complaints, categorizing them, and monitoring the status of their resolution.

The Grievance Point Person (GPP) of all levels shall register all grievances in the PRDP Web-Base GRM which shall be reviewed by the NPCO GRM Team on a monthly basis and report to the World Bank as part of the semi-annual monitoring report. The GRM Team shall monitor the completed complaints, endorsed complaints, complaints for action as well as the feedbacks specifically, the completeness and correctness of the entries, the accuracy of the resolutions provided, and the satisfaction of the complainant on the resolutions provided. Following are the indicators that will be used for monitoring:

1. Rate of receipt - this shall answer the question on how many grievances are received; How many grievances are received per type and category; How many complaints are received per channel provided; and How many are received by each level.
2. Rate of resolution - Percent of complaints addressed; How many are resolved at each level; and how many are referred to other offices or agencies.
3. Response Time - How many days does it take for complaints to be resolved with the usual type of complaints taking longer to be resolved.
4. Satisfaction - Percentage of complainants that are satisfied with the resolutions provided.

As part of the semi annual report, the above mentioned indicators shall be included. These indicators will be used to assess the efficiency of the Project GRM and in identifying the improvements needed and recommendations on how to reduce similar grievances.

Overall, the Project shall maintain a resolution rate of 90% and above which shall include all the complaints. All complaints received that are endorsed in other agencies or complaints that do not fall within the jurisdiction of the PRDP GRM Team shall be tagged as case closed or resolved upon proper endorsement.

i. Local Monitoring

The LGUs and the FCAs shall assign respective GPPs who will be assigned in the uptake and validation of grievances. All grievances (complaints and feedback), regardless of the level of risk, shall be reported to the RPCO who shall record the submitted to the GRM System. The barangay level, as the most accessible area where a grievance can be lodged should also be capacitated by the provincial/city/municipal LGU to receive, document, and endorse grievances to their level.

ii. Central Monitoring

The GRM System shall be the centralized database of all the grievances received on all the modes of uptake and levels. The NPCO shall monitor all the grievances and resolutions which shall be included in the Semi-Annual Report and the Progress Report prepared by the Monitoring, Evaluation, and Learning (MEL) Unit submitted to the World Bank during ISM.

8. Mainstreaming/Integration of the PRDP Scale Up Tool/Innovation

As part of the integration and institutionalization of the enhanced operational procedures, standards, and tools for local and national planning, program support, infrastructure and enterprise

support developed under PRDP into the regular operations of the Department of Agriculture’s Central/Regional Offices, Bureaus, and Attached Agencies/Corporations, in order to improve the delivery of its services, the DA - Field Operations Service (DA-FOS) shall take the lead in the integration of Social and Environmental Safeguards innovations and in close coordination with BAFA. The SES Unit of PRDP shall provide technical support.

The NPCO has prepared a mainstreaming roadmap where practices of PRDP safeguards have been transformed into course modules to be able to fully transfer them to the technical personnel of the central and regional DA offices, banner programs of the Department, its bureaus and attached agencies who have been implementing similar projects for their adoption in their respective offices. It is envisioned that this would lead to the harmonization of guidelines incorporating the PRDP safeguards into their implementation guidelines or operations manual and produce safeguards practitioners.

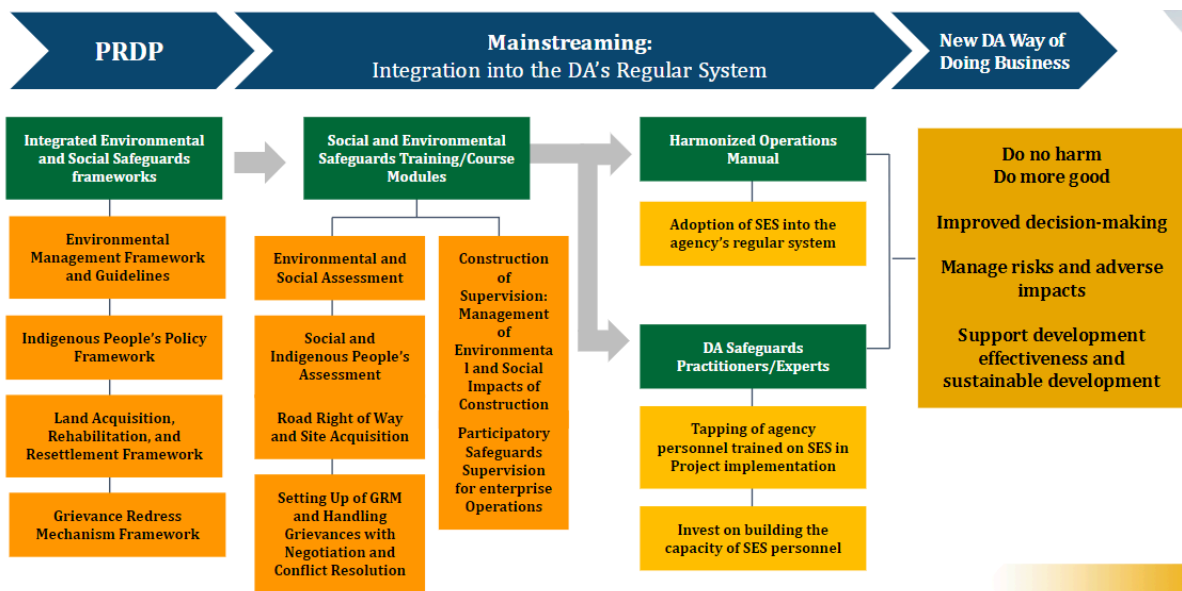


Figure 9. Mainstreaming Roadmap for Innovations 8 and 9

9. CERC for ESMF

In case of emergency and if Government of Philippines through DA requests the World Bank to activate the CERC, the current ESMF prepared by DA will be updated within 90 days of activating the CERC, and before implementation of CERC activities, and will include a positive list of eligible activities / expenditures. In addition, the ESCP will be accordingly amended to include the provision as per the updated ESMF within 90 days of CERC activation. Please refer to the ESMF-CERC Annex (Annex Q)

Activities or interventions that will be financed by the CERC should avoid activities or subprojects with complex or adverse environmental and social aspects, such as resettlement and adverse impacts to Indigenous Peoples, as the objective of the CERC is to support immediate priority activities. Consistent with the project’s ESMF and to ensure that adverse impacts will not occur

given the nature of emergency, the types of subprojects to be considered as a Negative List of expenditures that would not be supported through CERC Funding.

Negative List of activities and interventions

- New civil works and infrastructure construction.
- Sub-projects that involve the significant conversion or degradation of critical natural habitats such as sensitive ecosystems.
- Activities that could dangerously lead to the exposure of sensitive/critical/vulnerable habitats
- Construction of large new infrastructure within or directly adjacent (in buffer zones) to protected areas.
- Activities that may cause, or have the potential to result in, permanent and/or significantly damage to non replicable cultural property, irreplaceable cultural relics, historical buildings and/or archaeological sites;
- Activities that could lead to invasion or spread of weeds and feral animals or the use of toxic chemicals, intensive use of pesticides.
- Activities that will result in involuntary land acquisition or resettlement;
- Activities that will require or involve purchase, application or storage of pesticides or hazardous materials and use of land that has disputed ownership, tenure or user rights.
- Illegal activities as defined specifically under the NIPAS and other relevant environmental laws and regulations.

The key instruments of CERC comprise a Rapid Needs Assessment (RNA) and the preparation of an Emergency Action Plan (EAP), the general aspects of which are provided below:

a. Rapid Needs Assessment (RNA)

The DA and PRDP-Scale-Up NPCO will lead the conduct of a preliminary assessment and/ or estimation of the damages and/ or risks, needs, and impacts associated with the nature and characteristics of the emergency/ disaster event. The RNA shall provide information and content about the emergency/ disaster event and the scale and extent of damage and adverse impacts beginning with PRDP Scale-Up infrastructure and services, and the likely scope of activities for rehabilitation/ reconstruction.

The RNA will serve as the basis for preparing the EAP. The assessment and/or estimation can be carried out by modeling and other analytical tools/ methodologies.

b. Emergency Action Plan (EAP)

The EAP is the most critical instrument for Bank support under the CERC. In a manner that applies to communities assisted under PRDP Scale-Up, the EAP, at a minimum, will include the following:

1. List of possible/ likely disasters and emergency situations, e.g., disease outbreak/ pandemic, flooding, earthquakes/ tsunamis, landslides, volcanic eruption, peace and order breakdown related to the disaster, among others. The preliminary assessment/ estimation shall be expressed in terms of number of affected peoples, livelihood, and socioeconomic impact.
2. Summary of the type of crisis and likely impacts and the identification/ estimation of the type of response commensurate to the crisis and impact.
3. Geographical location and size of the area served by potential CERC activities

4. Institutional arrangements for implementation
5. List of emergency activities including goods, works, services, and/or emergency operating costs to be financed, including itemized costs
6. Summary of the potential environmental and social impacts of proposed activities and, if needed, the environmental and social instruments that are available or are to be prepared to comply with national laws and regulations, and the Bank's E&S policies.
7. Action plan for the completion of E&S instruments and activities in the event of deferral upon CERC activation
8. Simplified and fast-tracked procurement plan outlining the contracts, selection methods, cost estimates, and schedules
9. Setting of the target completion date upon which all activities financed under the EAP shall have been completed

Utilization of funds would be in accordance with the eligible list of items, goods and civil works required to support the immediate response and recovery interventions, under various emergency response and contingency plans.