

PART II

SUPPLEMENTARY CHAPTER

CHAPTER 1

QUICK IMPACT PROJECTS (QIP)

1.1 THE QUICK IMPACT PROJECTS (QIPS)

QIPs are initial projects to be implemented while the SEDP is being formulated. The project implementation structure and management is defined early to serve as preparatory activity for an effective SEDP implementation. The preparation and implementation of QIPs, will enhance the institutional capacity by offering experience in every phase of a project cycle, from the feasibility study to construction work. Additional Quick Impact Projects (QIPs), undertaken in the first phase of the SERD-CAAM, will serve as a model for SEDP planning, implementation, monitoring and evaluation. It can also provide lessons learned from past projects, highlight potential challenges and implementation issues and establish mitigation measures early in the implementation process.

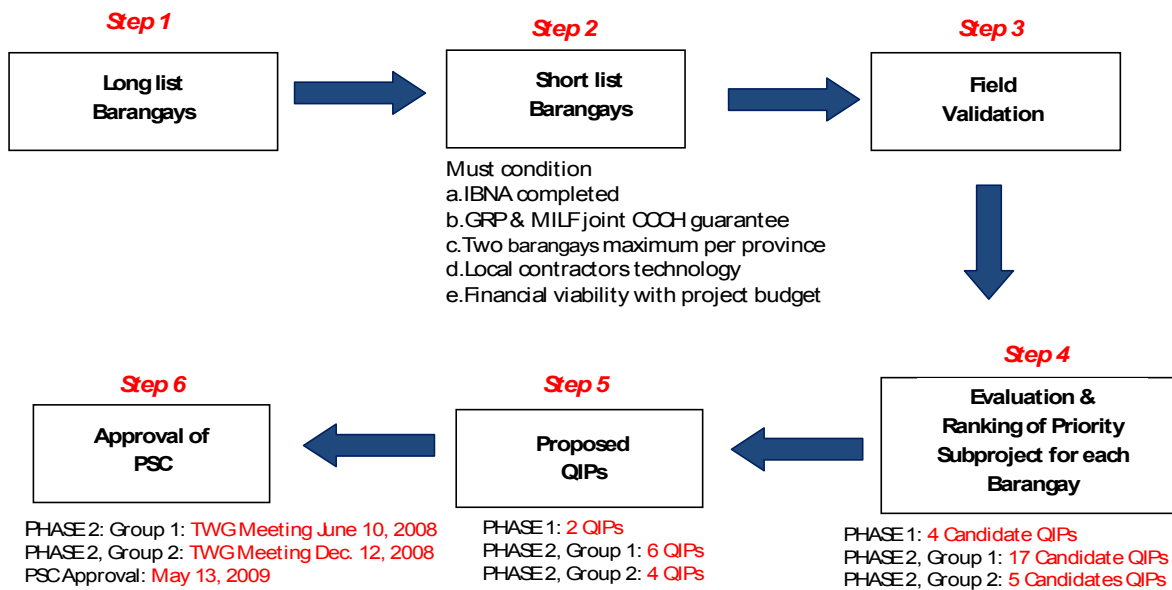
QIPs were planned as experimental pilot projects in the initial stage of SERD-CAAM. The aim was to demonstrate Japan's able assistance and presence as well as ascertain the readiness of the community for the planned project. For the two QIPs which commenced in April 2007, The JICA Study Team requested BDA to recommend candidate barangays. The selected barangays underwent social preparation activities to ensure better coordination and partnership in the implementation of the project.

1.2 SELECTION PROCESS OF QIPS

Due to the budget constraint of QIPs in the SERD-CAAM, it had been determined to construct 12 QIPs. To select only 12 QIPs from nearly 4,000 barangays was a difficult choice as the fairness and transparency towards all barangays had to be met. Therefore, the guidelines of QIP selection was produced in March 2008 to April 2008 to decide the barangays and the type of QIPs. This guidelines were favorably indorsed by TWG during its meeting on June 10, 2008 and approved by the PSC on July 14, 2008 and has consequently been used for the selection of QIPs and OSA project.

Below is the flow chart of the selection process and the detailed procedures:

Selection Process



Step 1: Long list barangays

A long list was prepared based on the BDA recommendation.

Step 2: Short list barangays

A short list was prepared based on the MUST condition specified in the guidelines.

Step 3: Field Validation

Each barangay prepared a “top 3” list of priority projects, JICA ST and BDA jointly conducted a field validation to decide the realistic project after consulting directly with the barangay beneficiaries.

Step 4: Evaluation and ranking of priority subproject for each barangay

After obtaining the data, a scoring system based on the criteria specified below was undertaken. Significant aspects of the candidate sub-project were evaluated including source of materials, financial viability, beneficiaries and urgency of need.

Table 1.2-1 Rating of Barangay Selection Criteria

CRITERIA	SCORING CONSIDERATIONS	WEIGHT (POINTS)
Lack of functioning socio-economic infrastructure	<ul style="list-style-type: none"> • Socio-economic status of the barangay based on IBNA and barangay profile • Degree of necessity of priority infrastructure 	30
Sustainability of sub-project	<ul style="list-style-type: none"> • Community counterpart • Willingness of the community to establish a people's organization • Support from the community leaders 	25
More beneficiaries regardless of administrative boundaries	<ul style="list-style-type: none"> • Highest number of beneficiaries to be fully scored, and the rest to be computed in proportion 	25
Number of available local contractors capable of implementing the project	<ul style="list-style-type: none"> • The lesser the number of contractors, who can implement the sub-project, the lesser the score. 	10
Project cost per head	<ul style="list-style-type: none"> • Full score to the highest priority sub-project within the cost of the project budget 	10

Source: JICA Study Team, 2007

Table 1.2-2 Evaluation Rate

PERCENTAGE	STATUS/REMARKS
100	Most needed
70	Moderately needed
50	Need recognized
20	Less needed
0	Not needed

Step 5: Proposed QIPs

After selecting the candidate barangays and the candidate sub-project, the results were presented to the TWG for comments and approval. The TWG then recommends the candidate barangays and the corresponding sub-project to the PSC.

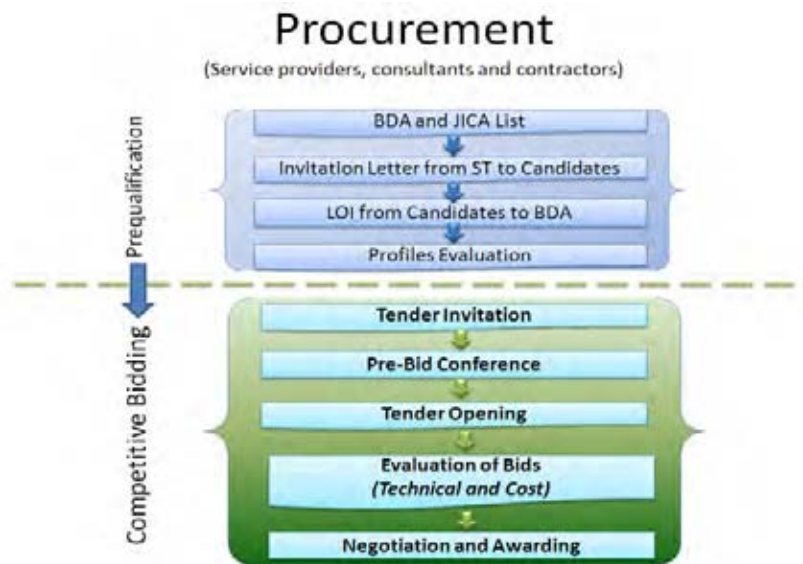
Step 6: Approval of PSC

The QIP sites were finalized after the PSC approved the locations and the sub-project types.

Note: It is important to note that Phase 1 QIP followed a slightly different selection process because SERD-CAAM has just started when the QIPs were selected and IBNAs were conducted to areas near Cotabato City only.

1.3 PROCUREMENT

Procurement of Service Providers, the Consultant for the Design and Supervision, and the Contractor follows the standard process given below.



As can be seen, there is a prequalification process before the actual bidding. The prequalification process is as follows:

1. List of Candidate organization (NGO, Design and Supervision Consultant and Contractors) from BDA and JICA
2. Study Team sends invitation letter to the organizations
3. Interested organization sends Letter of Intent to BDA RMO (Regional Management Office)
4. BDA Evaluates profiles and endorse the list to the Study Team

The Bidding process is as follows :

1. The Study team sends bidding documents to the prequalified Organizations.
2. A Pre-Bid Conference is held to clarify contract provisions, expectations, implementation mechanisms, payments and others.
3. After a stipulated period, the Bids of the organizations are opened. The organizations representative was present together with the BDA and JICA Representatives. This ensures that every participant is given the same opportunity to know the process. At this stage, the lowest priced bidder is identified.
4. The lowest price bidder has an advantage but must also qualify technically. Technical evaluation takes a longer period and, it was made clear to each participant that the **lowest cost does not guarantee the award.**

5. After the evaluation of cost and the technical submission, negotiation was held with the leading candidate. The Study Team may require additional documents to support and prove some claimed items. If the cost is still beyond the Study Team estimate, negotiations are undertaken to try to reduce the cost. Upon successful completion of negotiations the contract documents are prepared for review and improvement if necessary. After which, the Contract Signing is undertaken and Notice to Proceed is issued based on Security Recommendation of Joint CCCH.

Table 1.3-1 below shows the QIPs selected after procurement:

Table 1.3-1 Summary of QIPs Procurement

ACTIVITIES	PHASE 1		PHASE 2, GROUP 1								PHASE 2, GROUP 2			
	Project Location	MANGGAHAN, Malabang, Lanao del Sur	DARAPANAN, Sultan Kudarat, Maguindanao	SIMONE, Kabacan, Cotabato	DUNGGUAN, M'lang, Cotabato	KANIPAAN, Palimbang, Sultan Kudarat	MINDUPOK, Maitum, Sarangani	PATAG, Malapatan, Sarangani	LANOON, Carmen, Cotabato	PADAS, Pagayawan, Lanao del Sur	LIBUNGAN, Northern Kabuntalan, Shariff Kabunsuan	MATIAO, Pantukan, Compostela Valley	OMPAO, Tarragona, Davao Oriental	BACAYAWAN, Dimataling, Zamboanga del Sur
Type of Project	Multi-Purpose Building	Water Supply System	Multi-Purpose Building	Solar Dryer & Warehouse	Health Center	Comm. Train. Center	4 class Room School Building	Solar Dryer & Warehouse	Water Supply System	Renovation of School Building	Water Supply System Level 2	Solat Dryer & Warehouse with Corn Mill & Corn	4 class Room School Building	3 Class Room School Building
PSC/TWG Approval	Apr. 11, 2007	Apr. 11, 2007	Jun. 10, 2008	Jun. 10, 2008	Jun. 10, 2008	Jun. 10, 2008	(Nov. 6, 2008 TWG) (Nov. 7, 2008 PSC)	(Nov. 6, 2008 TWG) (Nov. 7, 2008 PSC)			Dec. 12, 2008	Dec. 12, 2008	Dec. 12, 2008	Dec. 12, 2008
Social Preparation Bidding	Aug. 13, 2007	Aug. 13, 2007	May 5, 2008	May 5, 2008	May 5, 2008	May 5, 2008	Nov. 24, 2008	Nov. 24, 2008			Jan. 21, 2009	Jan. 21, 2009	Jan. 21, 2009	Jan. 21, 2009
NGOs Social Preparation	Social Services for Grassroots Community Development (SSGRCD)	Social Services for Grassroots Community Development (SSGRCD)	United Youth for Peace and Development (UNYPAD)	United Youth for Peace and Development (UNYPAD)	Muslim Youth Religious Organization (MYRO)	Muslim Youth Religious Organization (MYRO)	Muslim Youth Religious Organization (MYRO)	Muslim Youth Religious Organization (MYRO)			United Youth of the Philippines (UnYPHill)-Women	United Youth for Peace and Development (UNYPAD)	Kapagawida Develop't Services Association Inc. (KDSAI)	Muslim Youth Religious Organization (MYRO)
NGO Contract Amount	P 315,060		P 285,264	P 285,264	P 283,472	P 283,472	P 211,100				P 206,900	P 228,600	P 245,500	P 262,950
Additional Amount	0	0	0	0	0	0	0				0	0	0	0
Social Preparation NTP	Aug. 15, 2007	Aug. 15, 2007	May 30, 2008	May 30, 2008	May 30, 2008	May 30, 2008	Jan. 28, 2009				Mar. 7, 2009	Mar. 5, 2009	Feb. 28, 2009	Feb. 20, 2009
Social Preparation Completed	Oct. 3, 2007	Oct. 3, 2007	Nov. 2, 2008	Nov. 22, 2008	July 18, 2008	July 21, 2008	On going				Sept. 13, 2009	Sept. 7, 2009	Jul. 19, 2009	On going
Consultant Bidding			Jun. 23, 2008								Feb. 27, 2009			
Consultants Design & Supervision	PERK Technical Consultant Corporation		RAL Engineering & Consultancy Services								M2F2 Engineering Consultancy Services			
Consultant Contract Amount	P 700,000		P 1,363,800								P 1,259,600			
Additional Amount	0		P-405.60								P 56,000.00			
Construction Bidding	Jun. 7, 2007	Jun. 7, 2007	Nov. 17, 2008	Nov. 17, 2008	Nov. 17, 2008	Nov. 17, 2008	Feb. 27, 2009	Cancelled	Cancelled due to unfavorable security situation as advised by Coordinating Committee on the Cessation of Hostilities (CCCH).	Cancelled due to unfavorable security situation as advised by Coordinating Committee on the Cessation of Hostilities (CCCH).	Jun. 8, 2009	Apr. 07, 2009	Apr. 06, 2009	Apr. 06, 2009
Construction Contractors	Stoneline Construction	MUST Enterprises & Construction	MINROCK Multi-Builders Construction	Central Mindanao Construction Multi-Purpose Cooperative (CMCMPC)	558 Builders & Construction Supply	LTB Builders & Construction	Stoneline Construction				Davao United Builders Cooperative (DUBC)	Davao Construction Development Cooperative (DACODECO)	MS Construction & Marketing	Samal Construction & Enterprises
Contract Amount	P1,976,691	P2,627,127	P2,350,073	P2,488,871	P2,636,156	P2,487,266	P2,800,000				P3,577,523	P3,217,989	P3,200,000	P2,672,099
Additional Amount for the Additional Works & Design Change	0	P 668,298 for Filtration	0	0	0	0	P 121,675 for roof gutter and down spout				0	a. Warehouse slab P 31,398 b. Renovation Solar Dryer P 129,207	0	P 50,653 for drainage channel
Contract Signing	Jun. 8, 2007	Jun. 8, 2007	Nov. 19, 2008	Jan. 26, 2009	Nov. 19, 2008	Nov. 19, 2008	Mar. 2, 2009				Jun. 10, 2009	Apr. 15, 2009	Apr. 17, 2009	Apr. 15, 2009
Construction NTP	Jun. 25, 2007	Jun. 25, 2007	Jan. 26, 2009	Mar. 2, 2009	Jan. 26, 2009	Jan. 26, 2009	Mar. 12, 2009				Jun. 15, 2009	Apr. 21, 2009	Apr. 20, 2009	Apr. 20, 2009
Contracted Date of Completion	Sept. 24, 2007	Sept. 24, 2007	Apr. 25, 2009	Jun. 2, 2009	Apr. 25, 2009	Apr. 25, 2009	Jun. 09, 2009				Oct. 12, 2009	Jul. 19, 2009	Jul. 18, 2009	Jul. 18, 2009
Date Completed	Oct. 3, 2007	Oct. 3, 2007	May. 29, 2009	Sept. 30, 2009	Jun. 20, 2009	May. 8, 2009	Sept. 1, 2009				Oct. 12, 2009	Oct. 7, 2009	Aug. 9, 2009	Aug. 10, 2009
Date Turn-over to P.O	Operational	Operational	Nov. 3, 2009	Nov. 3, 2009	Oct. 26, 2009	Oct. 25, 2009	Oct. 26, 2009				Nov. 7, 2009	Nov. 6, 2009	Scheduled on Nov. 13, 2009	Scheduled on Nov. 12, 2009

1.4 SOCIAL PREPARATION (S.P.)

One of the features of QIP is the Social Preparation. To ensure sustainability of the QIPs, the Study Team introduced Social Preparation after BDA's recommendation. Social preparation is a series of activities implemented before the actual physical infrastructure tailored to the organizational, financial and technical capabilities of the beneficiaries so that they are able to operate, maintain and sustain the infrastructure.

1.4.1 Main Objectives of Social Preparation

The objectives of Social Preparation are as follows:

1. To orient the community on the nature of the project being implemented in their area in order to maximize their participation;
2. To involve the target community in the whole process of the project cycle for them to realize the value of "ownership" and "accountability";
3. To organize the community structures and register them at accrediting agencies in order to legitimize their existence, thereby increasing their chances to access development projects.
4. To capacitate grassroots organizations with organizational, enterprise and financial management skills as well as the appropriate technical skills for the operation and maintenance of the sub-project.
5. To link the grassroots organizations with different funding institutions to enable them to have access to funds for upgrading and expanding community projects they have proposed.
6. To ensure that any infrastructure to be built will contribute to peace building. As such, projects are not implemented if they will create new conflict, revive old ones or magnify existing ones. Should communities fail to resolve their disputes, QIP will be transferred to other barangays.

The following tasks are to be done by the implementing service providers (ISPs).

- Documentation of the implementation process from the start of the project until its completion to serve as guidebook to conduct social preparation for succeeding projects
- Preparation of operation and maintenance manual for each infrastructure
- Submission of a report two weeks after the last day of social preparation

1.4.2 Components of Social Preparation

Social Preparation is conducted according to the following steps.

Table 1.4-1 The procedures of Social Preparation

Steps and Components	Activities/Details
Step 1: Education of Barangay People on project needs	1) Presentation of project to barangay people for their understanding to the project and smooth project operation.
Step 2: Community Organizing	1) Community Coordination – screening of target participants 2) Training on Value Enhancement – three day live in training 3) Establishment of People’s Organization (PO)
Steps and Components	Activities/Details
Step 3: Registration of PO	1) Registration of PO with Accrediting Body 2) Opening of PO Bank Account 3) Registration with BIR
Step 4: Training on Organization and Management Skills	1) Training on Organization and Management 2) Financial skill/Bookkeeping
Step 5: Seminar for operation and maintenance, and monitor	1) Training on Organization and Management 2) Preparation of Operation and Maintenance Manual 3) Monitor of PO operation

1.4.3 The Results of Social Preparation

All Social Preparations were well achieved by the NGOs. The names of NGOs, the amount of contract, the duration of contract and the actual duration implemented are summarized in Table 1.4-2.

Table 1.4-2 Summary of Social Preparations

	Place	Type of QIP	NGOs for Social Preparation	Sub-Contract Amount in Pesos	Contracted Duration	Final Payment	Remarks
Phase 1	Manggahan, Malabang, Lanao del Sur	Muliti-Purpose Building	SocialServices for Grassroots Community Development (SSGRCD)	315,060	Aug. 16 - Oct. 16 2007	Dec. 20, 2007	The actual field activities was completed on October 06, 2007 but the monitoring completed Dec.20, 2007, when QIP completed also
	Darapanan, Sultan Kudarat, Maguindanao	Water System Level II			Aug. 16 - Oct. 16 2007	Dec.20, 2007	
Phase 2, Group 1	Simone, Kabacan, Cotabato	Muliti-Purpose Building	United Youth for Prace and Development (UNYPAD)	285,264	May 26 - Aug. 26, 2008	April 23, 2009	Activities at the ground was delayed due to August 2008 conflict
	Dunggo-an, M'lang, Cotabato	Solar Dryer & Warehouse		285,264	May 26 - Aug. 26, 2008	April 23, 2009	
	Kanipaan, Palimbang, Sultan Kudarat	Health Center	Muslim Youth Relieigious Organization (MYRO)	283,472	May 26 - Aug. 26, 2008	Dec. 18, 2008	
	Mindupok, Maitum, Sarangani	Community Training Center		283,472	May 26 - Aug. 26, 2008	Dec. 18, 2008	
	Patag, Malapatan, Sarangani	Four Classroom School Building		211,100	Nov. 25, 2008 - Feb. 25, 2009	Jun. 5, 2009	Actual field activities was completed in February 25, 2009 but monitoring conitinated up to June 5, 2009
Phase 2, Group 2	Bacayawan, Dimataling, Zamboanga del Sur	Four Classroom School Building	Kapagawid Develop't Services Association Inc. (KDSAI)	245,500	February-May 2009	Oct. 29, 2009	The actual field activities was completed but monitoring continues up to the completion of the QIP
	Nian, Dinas, Zamboanga del Sur	Three Classroom School Building	MYRO	262,950	February-June, 2009	Jun. 26, 2009	
	Ompao, Tarragona, Davao Oriental	Solar Dryer & Warehouse with provision of Corn sheller & Corn Miller	UNYPAD	228,600	March-July 2009	Expected in Nov. 2009, Operation Manual has not submitted yet	
	Matiao, Pantukan, Compostella Valley	Water System Level II	United Youth of the Philippines(UnYPhill)-Women	206,000	February-May 2009	Nov. 05, 2009	

1.4.4 Financial Sustainability

All People's Organization registered their organization to the accrediting government body such as Cooperative Department Authority (CDA), Department of Labor and Employment (DOLE) and/or Security and Exchange Commission (SEC). And the POs decided the charges to users by themselves. Measures to obtain financial support to maintain QIPs are summarized in Table 1.4-3.

Table 1.4-3 Financial Sustainability

Phase	Place	Type of Project	Usage of Facilities	PO Gross Income Generated
QIP Phase 1	Manggahan, Malabang	Multi-Purpose Building	School	P100 per enrolment per student. P70 per monthly payment
			Venue for various activities i.e., Wedding, Meeting, etc.	P1,500 per venue rental
	Darapanan, Sultan Kudarat	Water System Level II	Water Supply	P120 monthly payment per house
QIP Phase 2, Group 1	Simone, Kabacan	Multi-Purpose Building	School	P50 per enrolment per student and P20/month
			Venue for various activities i.e., Wedding, Meeting, etc.	P1,500 per venue rental
	Dungguan, M'lang	Solar Dryer & Warehouse	Solar Dryer	P2 per dry sack (rice, corn and coconut)
			Warehouse	Ditto
	Kanipaan, Palimbang	Health Center	Health Center	P5 per patient
	Mindupok, Matium	Community Training Center	Venue for various activities i.e., Wedding, Meeting, etc.	P2,500 per rental
Patag, Malapatan	4 Classroom School Building	School	P20,000 per anum(200 students@P100 each)	
QIP Phase 2, Group 2	Bacayawan, Dimataling	4 Classroom School Building	School	P5/student(130) and, P10/member of PO(30)
	Nian, Dinas	3 Classroom School Building	School	P15,000 per anum (150 students@P100)
	Ompao, Tarragona	Solar Dryer & Warehouse	Solar Dryer	P4 per sack
			Warehouse	P1 per sack per day
			Corn Mill	P1.5 per kg
			Corn Sheller	P20 per sack
Matiao, Pantukan	Water System Level II	Water Supply	P7 per cum	

1.5 CONSTRUCTION OF QIPS

A bidding process is undertaken to select the successful contractor to undertake QIP implementation. A Value Transformation Training, facilitated by BDA follows in the two days, after signing the contract but before the commencement of works. This activity is strongly advocated by the BDA. Before construction started, the JICA Study Team, BDA and the contractor will visit the LGUs to introduce the project as well as themselves.

One feature of the construction stage is the use of the “Remote Management and Supervision Manual” for project management. This manual is a guide for implementing effective remote management and supervision for the works and the measures to be taken by the SERD-CAAM Study personnel to control the quality of the works, especially in the areas where the Study Team’s expatriate engineers and sometimes local QIP engineers may not be able to visit the project site due to security reasons. The results of 11 QIPs undertaken together with the findings and experiences are detailed later in Supplementary Chapter 1.8.

The summary of QIPs results are shown in Table 1.5-1.

Table 1.5-1 QIPs Assessment

No.	Location	QIP Projects	Contractor	Contracted Duration	Actual Completion	Project Cost	Method of Quality Control	Safety (Accident)	Problems Encountered	Employment Generated		LGU
										From Community	From Contractor	
1	Manggahan, Malibang, Lanao del Sur	Multi-Purpose Building	Stoneline Construction	Jun. 25, 2007 - Sept. 24, 2007	Sept. 24, 2007	P 1,976,091.00	On site control by resident engineer/inspector	No serious accident reported.	No serious problem	Not recorded	Not recorded	Favorable
2	Durapunan, Sultan Kudarat, Magdandang	Water System Level II	MUSI Enterprises & construction	Jun. 25, 2007 - Sept. 24, 2007	Sept. 24, 2007	P2,627,827.00	On site control by resident engineer/inspector	No serious accident reported.	No serious problem	Not recorded	Not recorded	Favorable
3	Sinone, Kabacan, Cotabato	Multi-Purpose Building	MINROCK Multi-Builders	Jan. 26, 2009 - Apr. 25, 2009	May. 29, 2009	P2,350,073.53	with Remote Management & Supervision Manual; JICA ST & BDA Monitoring.	No serious accident reported.	No serious problem	516 man-days	784 man-days	Favorable
4	Dungosan, M'lang, Cotabato	Shar Dryer & Warehouse	Central Mindanao Multi-purpose Cooperative (CMMPFC)	Feb. 2, 2009 - May. 2, 2009	Sept. 30, 2009	P2,468,871.80	with Remote Management & Supervision Manual; JICA ST, BDA, Consultant Monitoring.	No serious accident reported.	Harrassment & Rubbery of Construction Equipment	857 man-days	842 man-days	Favorable
5	Kampuan, Palimbang, Sultan Kudarat	Health Center	558 Builders & Construction Supply	Jan. 26, 2009 - Apr. 25, 2009	Jun. 20, 2009	P2,636,156.87	with Remote Management & Supervision Manual; JICA ST, BDA, Consultant Monitoring.	No serious accident reported.	No serious problem	640 man-days	592 man-days	Favorable; Committed to sustain the operation
6	Mindipok, Mahtum, Surangani	Community Training Center	LTB Builders & Construction	Jan. 26, 2009 - Apr. 25, 2009	May. 8, 2009	P2,487,266.97	with Remote Management & Supervision Manual; JICA ST, BDA, Consultant Monitoring.	No serious accident reported.	No serious problem	423 man-days	598 man-days	Favorable
7	Patag, Malipatan, Surangani	Four Classroom School Building	Stoneline Construction	Mar. 12, 2009 - Jun. 9, 2009	Sept. 1, 2009	P2,800,000.00	with Remote Management & Supervision Manual; JICA ST, BDA, Consultant Monitoring.	No serious accident reported.	No serious problem	685 man-days	1,179 man-days	Favorable
8	Bucayawon, Dimataling, Zamboanga del Sur	Four Classroom School Building	MS construction & Marketing	Apr. 20, 2009 - Jul. 18, 2009	Aug. 9, 2009	P3,200,000.00	with Remote Management & Supervision Manual; JICA ST, BDA, Consultant Monitoring.	No serious accident reported.	No serious problem	257 man-days	1,068 man-days	Favorable
9	Nian, Dinas, Zamboanga del Sur	Three Classroom School Building	Sama construction & Enterprises	Apr. 20, 2009 - Jul. 18, 2009	Aug. 10, 2009	P2,672,069.62	with Remote Management & Supervision Manual; JICA ST & BDA Monitoring.	No serious accident reported.	No serious problem	983 man-days	295 man-days	Favorable
10	Ompao, Tarragona, Davao Oriental	Shar Dryer & Warehouse with provision of Corn shelter & Corn Mill	Davao Contractor & Development Cooperative (DACODECO)	Apr. 21, 2009 - Jul. 19, 2009	Oct. 7, 2009	P3,217,989.27	with Remote Management & Supervision Manual; JICA ST, BDA, Consultant Monitoring.	No serious accident reported.	No serious problem	798 man-days	702 man-days	Favorable
11	Maitao, Panubhan, Compostela Valley	Water System Level II	Davao United Builders Cooperative (D.U.B.C)	Jan. 15, 2009 - Oct. 12, 2009	Oct. 12, 2009	P3,577,523.00	with Remote Management & Supervision Manual; JICA ST, BDA, Consultant Monitoring.	No serious accident reported.	No serious problem	934 man-days	327 man-days	Favorable

1.6 SCHEDULE CONTROL

There are 6 major activities for QIP implementation, 1. Barangay selection; 2. Planning and the Design for each QIP; 3. Social Preparation; 4. Tender for construction; 5. Construction of the QIPs; 6. Monitoring.

The process of each of the activities is described below.

(1) Barangay selection

Candidate Barangays for QIPs were selected from IBNA barangays by the JICA Study team and BDA and took about **three weeks** as BDA-CMO(Central Management Office) must consult and make consensus with the BDA-RMO (Regional Management Office). The selection process included validation of the priority needs of the barangays through the field survey conducted jointly by the Study Team and BDA.

After selection of barangays and determining the type of project needed, these results must be approved by the PSC after being agreed by the TWG. It took about **two months** to get approval from TWG and PSC because of the difficulty in setting the schedules due to the availability of their members. This caused some disruption to the proposed schedule of the QIP. Thus, the duration required for the approval by TWG and PSC needs to be improved before the next tranche of similar QIP programs.

(2) Planning and Design for individual QIPs

The local consultants for planning and design of the QIPs were selected through tender. The tender process for local consultant took **four weeks**. This duration is difficult to shorten because the process included the evaluation of the capabilities of the participating consultants after the tender opening.

(3) Social Preparation

It took about **four weeks** to decide which NGO would issue the tender for the Social Preparation. The Social Preparations was well-managed by the JICA Study Team and their performance was assessed to be satisfactory. The Social Preparation took about three months for each QIP. This period excluded the monitoring after completion of QIP.

(4) Tender for Construction

Normally, it takes **four weeks** to complete the process of tendering for construction. In some cases, however, such as in four QIPs under Phase 2, Group 1, the tender process took **three months** to complete due to several postponements caused by the unfavorable security situation at the project sites from August-November 2008. In addition, the election in May 2007 restricted the tender process and disrupted the schedule for tender of two of the QIPs

under Phase 1.

(5) Construction of QIPs

Except for the Water Supply System in Matiao, all other ten QIPs had three months target construction duration as provided for in the contracts. During the tender, no contractor complained of this **3-month** duration. However, none of these 10 QIPs were completed within the three months periods. The actual construction duration of each QIP varied from 3.5 months to 5.8 months.

To control the construction schedule, the Study Team dispatched a supervising engineer and assistant supervising engineer to work full-time on the QIP construction. They supervised the day-to-day activities at project sites. Despite this, the construction duration passed three months with all contractors requesting for a time extension. The common reason being the frequent rainy days at the project sites.

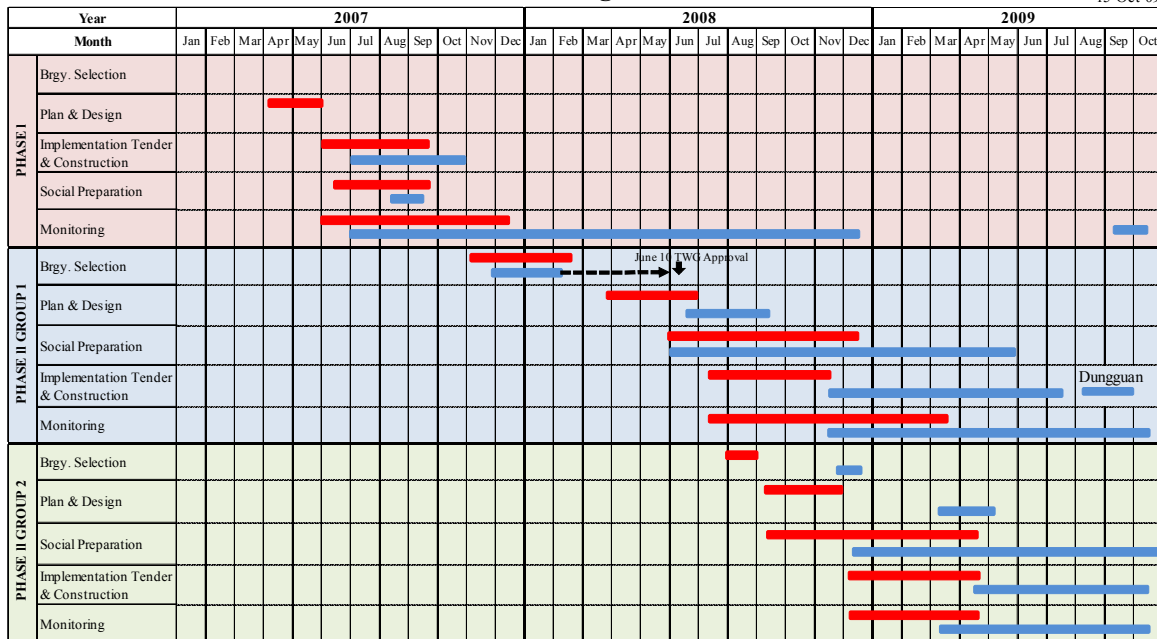
(6) Monitoring

The monitoring of the QIP construction was conducted jointly by the Study Team and BDA. The monitoring duration during construction varied according to the actual construction duration of each QIP (3.5 months to 5.8 months). The site visits were conducted on a regular basis with a schedule of 1 visit to each QIP per month.

After the study period and completion of all QIPs, BDA shall continue to monitor the sustainability of these QIPs for at least **six months**.

Table 1.6-1 Progress of QIPs

15-Oct-09



LEGEND:
 -QIP activities target duration (based from June 10, 2008 TWG Meeting Presentation)
 -QIP activities actual duration
 -QIP activities scheduled

1.7 MONITORING

1.7.1 Phase I

The two QIPs completed in September 2007 were, Potable Water Supply System (PWS) Level II located at Darapanan, Sultan Kudarat, Maguindanao and the Multi-Purpose Building (MPB) at Sitio Ansao, Mangahan, Malabang, Lanao del Sur.

JICA Study Team members visited the MPB project at least four times after project completion. The PWS project was visited almost every month from completion in September 2007 up to June 2008 because of its proximity to Cotabato City and due to the required additional improvements discovered after project completion.

Visits were conducted to:

- Monitor and help ensure the technical sustainability of the project.
- Monitor organizational management capability of the beneficiaries, especially the PO organized as part of the Social Preparation.
- Monitor the effects of Social Preparation (planning, management and operation system of project by PO introduced by the Social Preparation).
- Monitor if the awareness about ownership for QIP facility increased or not.
- Conduct formal meetings and interviews with the direct beneficiaries and the indirect beneficiaries to collect detailed information.

JICA Study Team used a standard post-completion monitoring form (refer to Annex G) to capture critical information from the beneficiaries, assess the project based on its financial and technical sustainability, social impacts, costs and benefits, and inquires on the challenges and improvement the project has posed.

A number of issues related to the completed projects were identified and later on addressed. For example, the water quality issue was mitigated by installing a trial filter using sand, charcoal and gravel and subsequently a natural filter free of any chemicals resulting in a WHO-compliant water system. Also, weekly visits were necessary to ensure the proper maintenance of the facility. The number of indirect beneficiaries of the PWS in Darapanan outnumbered its direct beneficiaries.

1.7.2 Phase 2

Constructions of 9 delayed QIPs started in 2009 due to problems with unstable peace and order. Three QIPs were completed by July 2009, two QIPs were completed in August 2009, two were completed in September 2009, and two were completed in October 2009. The JICA Study Team and BDA are continuing joint monitoring.

1.8 FINDINGS AND EXPERIENCES OBTAINED IN THE IMPLEMENTATION OF QIPS

1.8.1 Capacity of Non-Government Organizations (NGOs) for Social Preparation

(1) The inclusion of the Social Preparation as a component of QIP

The inclusion of the Social Preparation (SP) was considered a plus factor to ensure the proper operation and sustainability of completed QIPs. This SP component has equipped the QIPs beneficiaries with series of trainings and seminars related to organizational management and QIP operational management for sustainability.

The provision of SP for all QIPs was undertaken through the services of local, qualified (NGOs) with experience in community development. The NGOs were selected following the SERD-CAAM Guidelines for Phase 2 Implementation which was jointly prepared by the Study Team and BDA, and subsequently approved by the TWG and PSC.

Five NGOs were commissioned by the Study Team to cover the SP for eleven QIPs (two QIPs under Phase 1; and nine QIPs under Phase 2). The NGOs also prepared Operations and Maintenance Manuals for every QIP. This manual shall serve as the guide of every PO in the management of the QIP.

(2) Evaluation of NGO capacity

After accomplishing the SP activities, the NGO's based on their Terms of Reference (TOR), it may be concluded that their performance may be rated as *satisfactory*. From the foregoing, there are sufficient number of local NGOs based within CAAM and nearby provinces which are capable of undertaking SP for community infrastructure projects.

(3) Recommendation

The Social Preparation will equip the beneficiaries with the necessary skills for the efficient and effective operation, maintenance and sustainability of every community infrastructure facility. Hence, it is recommended that Social Preparation be considered a part of every proposed community infrastructure project.

1.8.2 Capacity of Consultants for Design and Construction Supervision

Three engineering consulting firms were engaged by the Study Team for the design and construction supervision of eleven QIPs. One firm based in Manila took charge of Phase 1 (two QIPs) which were implemented in year 2007; a local firm based in Cotabato City was contracted for Phase 2, Group 1 (five QIPs); and another local firm based in Cotabato City was awarded the design and construction supervision of Phase 2, Group 2 (four QIPs).

(1) The performance of consultant for Phase 1

The consultant (PERK Technical Consultants Corp.) engaged in two projects under Phase 1 completed the preparation of designs and drawings and bidding documents as scheduled. Hence, the project construction of the two QIPs (Multi-Purpose Building in Manggahan, Malabang, Lanao del Sur; Water Supply System in Darapanan, Sultan Kudarat, Maguindanao) were completed almost within the scheduled time frame.

(2) The performance of consultants for Phase 2

The selection of consultants to prepare the engineering designs and drawings and undertake the construction supervision for QIPs under Phase 2, Group 1 and 2 was conducted following the SERD-CAAM Approved Guidelines for Phase 2 Implementation.

The preparation of designs and bidding documents for Phase 2, Group 1 (original six QIPs) should have been completed in one month (as provided under the contract with RAL Engineering and Consultancy Services (RALECS)) but this has not been achieved. The design and tender documents preparation took three months, owing to various reasons, such as, unavailability of some of RALECS staff, revisions to plans and revisions in methodology of cost estimation, etc.

The contract with the consultant (M2F2 Engineering Consultancy) for Phase 2, Group 2 (four QIPs) was signed on March 13, 2009. The contract provided that the designs/drawings and preparation of bidding documents must be completed within one month. But the design and estimates for the water supply system in Matiao took one month and three weeks. Even, after this period, some errors in the design and quantities were still noticed.

The performance of the two local engineering consultancy firms contracted by the Study Team to undertake the preparation of designs, bidding documents and construction supervision of QIPs under Phase 2, Groups 1 and 2, was considered **not remarkable**. Designs, drawings, bidding documents and other necessary requirements for the tender were not completed within the target schedules. Hence, it took more time to finalize the bidding documents and other necessary requirements for the tender.

(3) Assessment of local consulting firm's capacity

An assessment of the availability and capacity of the local engineering consultancy firms would suggest that at present there are a very limited number of engineering consulting firms that operate within CAAM and nearby areas. Most of these firms do not have available suitably qualified and experienced personnel to undertake design works for some engineering projects. Also, these firms lack sufficient work experience in doing engineering works as organizations.

(4) Recommendation

A prequalification was undertaken to assess the minimum capacity of the consulting firms in the area. However, due to the inexperience of RMO in evaluating the documents submitted for prequalification a proper assessment was not carried-out. However, after gaining more experiences, the RMO are now producing viable assessments of capability and capacity of the local consultants as evidenced by the process for the selection of Phase II-Group I contractors.

It is recommended that consulting firms which are capable to undertake the preparation of basic designs and drawings of typical small community infrastructure facilities, even if these consultants come from areas outside CAAM, such as Davao City, Cagayan de Oro City, and other areas, be appointed. Local engineers from CAAM and the nearby areas will be employed to select the best designs from the standard designs and supervise the projects. Minor modifications of designs and drawings to suit the requirements and requests of the beneficiary-communities will be included in the contract with local consulting firms.

1.8.3 Capacity of Contractors for QIP Construction

The construction of QIPs was undertaken through private contractors with a bonafide contractors license. The selection of contractors for the QIPs construction under Phase 2 has followed the Approved SERD-CAAM Phase 2 Implementation Guidelines. The contractors invited to participate in the tender for the construction of QIPs must be endorsed by the BDA Regional Management Office (RMO) of the region where the particular QIP is located. Hence, the contractor's eligibility to participate must come within the region where the QIP shall be constructed.

The prequalification of contractors invited to join the tender should start with an initial screening by the BDA RMOs and BDA CMO. However, the BDA RMOs and CMO did not conduct the contractors prequalification, particularly for QIPs under Phase 2, Group 1. But under Phase 2, Group 2, the RMOs and CMO were able to assist the Study Team in the preparation of the contractor's prequalification checklist.

Table 1.8-1 Contractor Pre-qualification Checklist

CHECKLIST FOR CONTRACTORS IN ZAMBOANGA PENINSULA						
CONTRACTOR		VALID CONTRACTOR LICENSE	YEARS OF EXPERIENCE IN CONSTRUCTION (Minimum of 2 yrs)	PREVIOUS & ONGOING PROJECT (SIMILAR & 2 M above)	CONTRACTOR OFFICE IF POSSIBLE	REMARKS
1	SAMAL CONSTRUCTION & ENTERPRISES TelexFax (062) 214-4563	✓	✓	✓	Confirmed by BDA RMO as of March 28, 2009 through CMO.	Signify in two subprojects (Bacayawan & Nian).
2	MS CONSTRUCTION & MARKETING CP No. 0917-5684025	✓	✓	✓	Confirmed by BDA RMO as of March 28, 2009 through CMO.	Signify in two subprojects (Bacayawan & Nian).
3	PINS CONSTRUCTION CP No. 0917-5684025	✓	✓	✓	Confirmed by BDA RMO as of March 28, 2009 through CMO.	Signify in two subprojects (Bacayawan & Nian).
4	ASAP GENERAL TRADING CONSTRUCTION & MAINTENANCE CP No. 0926-5998219 TelexFax (062) 985-0676	✓	✓	✓	Confirmed by BDA RMO as of March 28, 2009 through CMO.	Signify in two subprojects (Bacayawan & Nian).

(1) Duration of Construction

Except for the water supply system in Matiao which had a four-month construction duration, all other ten QIPs had three-month target construction durations, but none were completed within three months. The reasons put forward by the contractors in their applications for time extension were: continuous rainy days at the project site, double and triple handling of materials, repair of access roads and bridges on routes to the project sites. Although these reasons are not contractual grounds to grant an extension of time, the contractors still proceed with their claims. However, the requests for extensions of time were granted by the JICA Study Team as this is a common practice in CAAM if the delays do not adversely affect the projects.

(2) Quality of Construction

During the construction of every QIP, a supervising engineer from a consulting firm employed by the Study Team supervised the day to day work of the contractor. The supervising engineer was assisted by an assistant supervising engineer who was recommended by BDA RMO. In addition, the Study Team QIP Engineers together with BDA QIP supervisors conducted regular project sites visits to all QIPs whilst they were under construction.

A QIP Remote Management and Supervision Manual was prepared and followed by the contractors and supervising engineers so the Study Team (QIP Overall In-charge and Staff Engineers) could manage the project even without frequent site visits. In view of the foregoing strategies, the quality of the completed QIPs was generally satisfactory.

(3) Safety at site

The site safety was reasonably good for all QIPs. The contracts between the Study Team and QIPs contractors contain provisions for security, safety and health measures for the workers and other persons involved during project construction. It was also provided in the contract that the security control system to be established by the contractor at the project site should conform to the SERD-CAAM Safety Operations Manual. Thus, no reported untoward incident happened during the construction period of all QIPs that caused harm, injuries or death to contractors workers and other persons involved in QIP implementation.

One security-related incident did happen during the construction at QIP site in Dungguan, M'lang, Cotabato. It was reported that a group of armed men forcibly took two units of engines being used in the on-going construction of a QIP (Solar Dryer and Warehouse). In view of this incident, the work was suspended for about three months. (The work resumed after the PO and Barangay officials committed to help secure the site while the project is ongoing construction.)

(4) Hiring of local workers for QIPs

One objective of the QIP was to provide local employment during its construction. Thus, it was provided in the contract agreement that contractors must hire workers from the barangay where the project is located. Under QIPs Phase 2 (nine projects), about 6,093 man-days were achieved by local employment against the overall total of 12,480 man-days. Thus about 49% of the total labor generated came from the beneficiary - communities.

Table 1.8-2 Employment Generated

Employment Generated		
Project Location	From Local Residents	Total (local + outside)
* Simone	516 man-days	1300 man-days
* Dungguan	857 man-days	1699 man-days
* Kanipaan	640 man-days	1232 man-days
* Mindupok	423 man-days	1021 man-days
* Patag	685 man-days	1864 man-days
* Bacayawan	257 man-days	1325 man-days
* Nian	983 man-days	1278 man-days
* Ompao	798 man-days	1500 man-days
* Matiao	934 man-days	1261 man-days
TOTAL	6,093 man-days	12,480 man-days

Local labor generated represents 49% of the total labor generated from QIP construction (PHASE 2)

(5) Payment schedule for Progress Payment

Payment to contractors was made at the following rates: 40% of the contract amount after signing of the contract as an advance payment; 30% as progress payment; and 30% at the completion of QIP.

Given the foregoing mode of payments, the contractors demonstrated efficient and sound financial management. No contractor ever complained that he had encountered any financial difficulties in finishing the construction of a QIP. All contractors were able to complete their projects under such a payment schedule.

(6) Conclusion

The contractor's management in the implementation of QIPs was assessed to be generally *satisfactory*. They all demonstrated full cooperation with the Study Team engineers, BDA, supervisors and assistant supervisors, and PO officials.

1.9 CONDITIONS OF CONTRACTS

1.9.1 Liquidated Damages (L.D.)

The JICA Study Team intentionally did not include the clause of L.D. in the QIP Group 1 contract. The reason is that the JICA Study Team received advices from local engineers and DPWH and NEDA in Cotabato that it was not common practice to impose L.D. against contractors of small infrastructure contracts.

For QIP Phase 2, Group 2, the JICA Study Team inserted the clause of L.D. in the contracts. The contracts provide that if the contractors fail to complete the projects within the contract period without justifiable reasons, they are obliged to pay L.D. to the Study Team. However, the Study Team did not claim any L.D. from the contractors who completed their projects beyond the construction period as stipulated in the contracts. One lesson learned through the construction of QIPs is that contractors in CAAM are not familiar with the L.D. Therefore it is better not to impose the L.D. for some period until such time that the imposition of L.D. becomes a common practice even in small infrastructure projects.

1.9.2 Effect of Rainy Weather

The construction of QIPs, particularly under Phase 2, Group 2 (four QIPs) was carried-out during the rainy season in the months of May till August. Thus, there were times when works were suspended. Normally, the effect of the rainy season is not a valid ground to justify a request for a time extension of project construction. However, if the occurrence of rains in a particular area becomes very frequent and it significantly disrupts the work schedule then it

may be considered as reasonable grounds for delay. This was the case in the construction of a solar dryer and warehouse in Ompao, Tarragona, Davao Oriental.

1.9.3 Insurance and Professional Indemnity

Under the guidelines of the International Federation of Consulting Engineers or (FIDIC), the contractors engaged in the construction of infrastructure facilities should guarantee their work by procuring insurance such as “Insurance for Work and Contractor’s Equipment” and “Insurance for Contractor’s Personnel” on the work they have performed. Though such Insurance Clauses are written in the “Conditions of Contract” of QIPs, the JICA Study Team intentionally did not check the existence of contract document of insurance to assure the contractor’s contracts. It was advised by local engineers and some authorities not to be strict on insurances to avoid delays.

Also the professional indemnity for design was not compelled to the local consultants who were involved in design works of QIPs. Because the idea of professional indemnity is not common in CAA and all consultants engaged for this project did not know the meaning of “Professional indemnity”. However it is one of the ideas to ask a consultant to insure himself by the Professional Indemnity. If such clause was inserted in the condition of contract it will be expected that only able consultants will participate the biddings.

1.10 COST ESTIMATE AND DETAILED SEDP IMPLEMENTATION

1.10.1 INTRODUCTION

There are no specific projects listed under SEDP. Based on IBNA results and barangay profiling, conducted through a bottom-up approach, the study provides the needs of each sector and per each province. To implement the Immediate Term, Short Term and Midterm Plans, still requires pre-feasibility and feasibility studies.

Given that there is no specific project list under SEDP, the paper presents a rough lost estimate of potential infrastructure projects to be implemented under SEDP.

1.10.2 ROADS

The development and improvement of barangay roads was identified as a priority in CAAM. However, road improvement has not been included in the SERD-CAAM study under QIP and OSA implementation due to high Construction Cost and Ceiling Cost of QIP project.

1.10.2.1 Type-A: Concrete Pavement

Barangay road construction requires the following (refer to Figure 1.10-1):

- a. Concrete pavement : 4m wide and 15cm thick
- b. Raise of road surface level: 1.0m from the existing ground level
- c. Subgrade : 30cm thick
- d. Road shoulder: 1.0m on each side
- e. Side slope : 1:2

The unit cost of barangay road construction is stipulated at P. 8.0 Million per km.

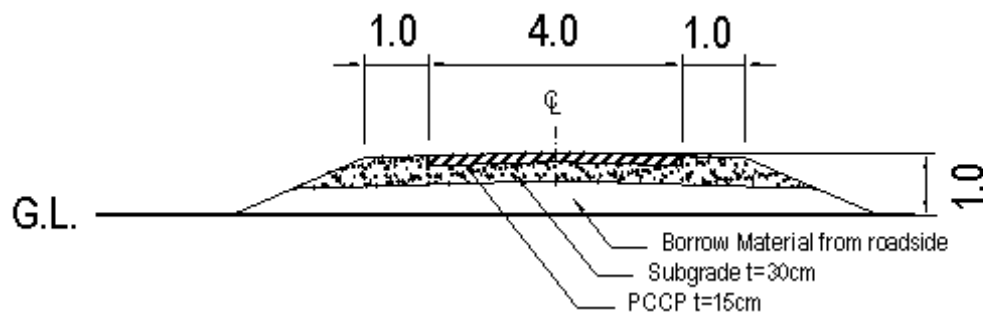


Figure 1.10-1 Typical Cross section of Barangay Type-A

Table 1.10-1 Cost Estimate for Concrete Pavement

COST PER KM	QUANTITY	UNIT COST	COST
1. Embankment from Borrow Materials	4,900 m ³	560.00	2,744,000.00
2. Subgrade Selected Materials	2,505 m ³	680.00	1,703,400.00
3. PCCP, 15 cm	4,000 m ³	887.00	3,548,000.00
		TOTAL ----	7,995,400.00
			P. 8.0 M / km

1.10.2.2 Type-B : Gravel Road on Existing Soil Road

Figure 1.10-2 Typical Cross section of Barangay Road Type- B

Rough Cost Estimate: P 5.0 million / kilometer

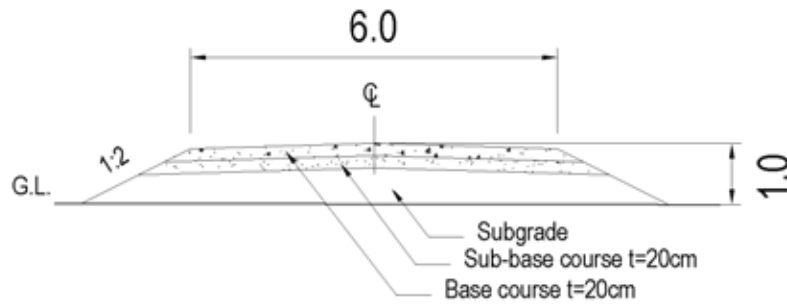


Figure 1.10-2 Typical Cross section of Barangay Road Type-B

1.10.2.3 Type-C : Concrete Pavement on the Existing Gravel Road

Rough Cost Estimate: P 3.5 million / kilometer

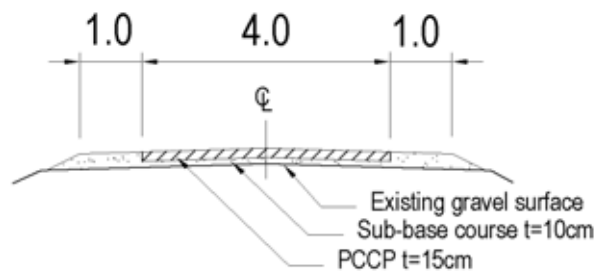


Figure 1.10-3 Typical Cross section of Barangay Road Type-C

1.10.3 BUILDINGS

The multi-purpose building constructed in Phase-1, as shown below, is being used as a school, a public gathering place and a community training center as well (see Figure 1.10-4).

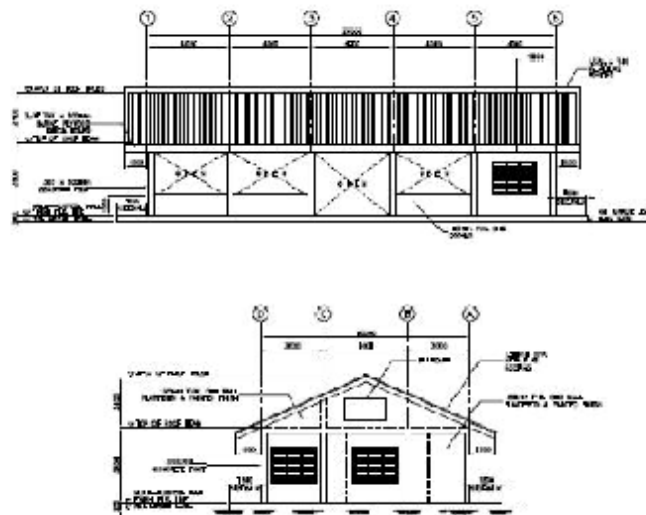


Figure 1.10-4 Elevation of Multi-Purposed Building

In Phase-1, from June 2007 to September 2007, one multi-purpose building has been constructed at Mangahan, Malabang, Lanao del Sur, with a floor area of 20m x 20m of floor

area, including associated facilities for electricity and water supply. The unit cost is P. 9,883 per m², in June 2007.

In Phase-2, the contracts have been signed for the construction of a Community Training Center and Health Center at Barangay Mindupok, Maitun and Barangay Kanipaang, Palimbang respectively. The unit cost is approx. P. 13,200 per m² in November 2008.

Between the implementation of Phase 1 and Phase 2 project, there was a 34 percent increase in the unit prices of the construction materials. This was due to oil price hike which occurred between 2007 and 2008. Table 1.10-2 shows unit cost increase on the projects.

Table 1.10-2 Unit Cost for Building

PHASE	PROJECT / LOCATION		YEAR / MONTH	CONTRACT AMOUNT (PHP)	UNIT COST (PHP)	UNIT
	LOCATION	SCOPE				
P-1	Manggahan, Malabang	Multipurpose Bldg. 10x20= 200m ² , with Facilities	2007/ June	1,976,691	9,883	m ²
P-2, G1	Simone, Kabacan	Multipurpose Bldg. 10x20= 200m ² , with Facilities	2008/ Nov	2,350,082	13,214	m ²
P-2, G1	Mindupok, Maitum	Community Training Center (10m x 20m), with Facilities	2008/ Nov	2,488,083	13,440	m ²
P-2, G1	Kanipaang, Palimbang	Health Center (10m x 20m), with Facilities	2008/ Nov	2,637,060	13,185	m ²

1.10.4 WATER SUPPLY SYSTEM

In Phase-1, a Water Supply System (see Figure 1.10-5), has been constructed at Barangay Darapanan, Sultan Kudarat, which is composed of a deep well, an elevated water tank and a water fetching place. The unit cost for a deep well is P 18,093 per meter length and an elevated water tank of 10m³ is P. 906,000 per unit. This has is most likely increased by 35 percent from the original cost (see Table 1.10-3).

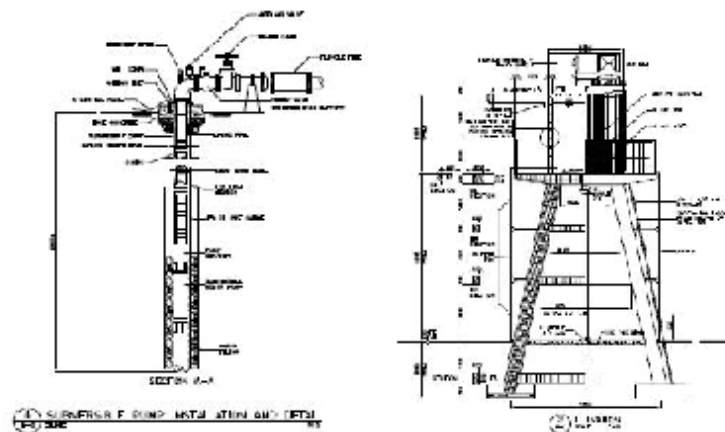


Figure 1.10-5 Section of Deep Well and Elevated Water Tank

Table 1.10-3 Unit Cost for Construction of Water Supply System

PHASE	PROJECT / LOCATION		YEAR / MONTH	COST	CONTRACT AMOUNT (PHP)	UNIT COST (PHP)	UNIT
	LOCATION	SCOPE					
P-1	Darapanan, Sultan Kudarat	Elevated WT(1 units x 10m ³)	2007/ Nov	829,048	1,991,309	905,729	Lot
		Fetching area		76,681		18,093	m Deep
		Deep Well (60) Pipelines		1,085,580			

1.10.5 DRIER AND WAREHOUSE

In Phase-2, the contract has been awarded as Table 1.10-4 below.

Table 1.10-4 Unit Cost for a Solar Drier and Warehouse

PHASE	PROJECT / LOCATION		YEAR / MONTH	COST	CONTRACT AMOUNT (PHP)	UNIT COST (PHP)	UNIT
	LOCATION	SCOPE					
P-2,G1	Dunguan, M'lang	Warehouse (10m x 10m)	2008/ Nov	1,247,909	2,488,872	12,479	m ²
		Solar Dryer (20m x 30m)		803,259		1,339	m ²

The construction unit cost for a warehouse to house a Solar Drier is similar to ordinary building, thus the same specification have been employed to the warehouse. The warehouse could be utilized for gathering purpose as well. While the construction unit cost for a solar drier is P. 1,400 per m².

1.11 QIP PROGRESS PHOTOS

See Table 1.11-1 below.

Table 1.11-1 QIP Progress Photos

No.	Project Title	Loaction	Progress Photo	Actual Date Completed
1	Muliti-Purpose Building	Manggahan, Malabang, Lanao del Sur		Oct. 03, 2007
2	Water System Level II	Darapanan, Sultan Kudarat, Maguindanao		Oct. 03, 2007
3	Muliti-Purpose Building	Simone, Kabacan, Cotabato		May. 29, 2009
4	Solar Dryer & Warehouse	Dungguan, M'lang, Cotabato		Sept. 30, 2009
5	Health Center	Kanipaan, Palimbang, Sultan Kudarat		Jun.20, 2009
6	Community Training Center	Mindupok, Maitum, Sarangani		May. 8, 2009
7	Four Classroom School Building	Patag, Malapatan, Sarangani		Sept. 1, 2009
8	Four Classroom School Building	Bacayawan, Dimataling, Zamboanga del Sur		Aug. 9, 2009
9	Three Classroom School Building	Nian, Dinas, Zamboanga del Sur		Aug. 10,2009
10	Solar Dryer & Warehouse with provision of Corn sheller & Corn Mill	Ompao, Tarragona, Davao Oriental		Oct. 7, 2009
11	Water System Level II	Matiao, Pantukan, Compostella Valley		Oct. 12, 2009

CHAPTER 2

ON-THE-SPOT ASSISTANCE

2.1 BACKGROUND OF ON-THE-SPOT ASSISTANCE

Under the Study, On-the-Spot Assistance (OSA) is provided for small but critical development needs identified during the course of IBNA. Through the implementation of OSA, the Study aims to examine the commitment and capacity of communities regarding their own development and to confirm actual development needs in the conflict-affected areas (CAAM).

During Phase 1, OSA was implemented in 12 barangays out of 92 barangays selected for IBNA. The Study Team and BDA jointly selected target barangays of OSA in collaboration with other authorities. The selection was totally based on results of IBNA conducted in Phase 1. The number of OSA was determined based on the actual costs of individual OSA projects and the available budget.

At the beginning of Phase 2, follow-up assistance for the 12 OSAs in Phase 1 had been planned based on preceding monitoring activities. However, deterioration of the security situation forced the Study Team to abandon the planned follow-up assistance.

The OSA projects originally planned for seven out of 58 barangays in Phase 2 were also canceled due to security reasons. Faced with increased fighting after August 2008, the Study Team proposed to replace the seven projects with 11 different projects in safer areas in central Mindanao and Lanao. The projects were approved by the Technical Working Group (TWG) and Project Steering Committee (PSC). The 11 projects were aimed to assist the residents of the IBNA barangays who evacuated their villages due to the intensified conflict.

Planning, implementation, monitoring, and evaluation processes of OSA as a pilot development project provided many lessons. A summary will be provided in the last part of this chapter. It would be useful when considering future development projects in CAAM, including projects listed under Community Action Plan (CAP) to be proposed in the next chapter.

2.2 SELECTION AND IMPLEMENTATION PROCESS OF OSA IN PHASE 1

OSA was envisaged to address a variety of needs for the development of barangays. Provision of construction materials for repairing schools and other community facilities and donations of small equipment such as farm equipment and generators are common examples of OSA. Other services, such as supporting training and workshops for the development of barangays were also part of OSA. The actual content of individual OSA projects was determined jointly by target barangays, the Study Team and BDA, in collaboration with other authorities.

When these parties identified target barangays and their specific needs in Phase 1, they considered the following conditions.

- The scale of assistance should be very small, requiring less than 140,000 peso, in principle.
- The support should be absent from major donors, including the immediate possibility of Japan's Quick Impact Projects (QIP) and Grant Assistance for Grassroots Human Security Projects (GGP).
- The assistance should benefit a wide range of barangay population, if not everyone.
- For fair distribution of benefit, the maximum number of the assistance should be two per province and one per municipality.
- The assistance should be implemented in a short period of time, before the end of Phase 1.
- The impact of the assistance should become visible in a relatively short time.
- Commitment and contribution from the target barangay should be visible, such as provision of labor and land for constructing a facility, and maintaining and managing projects in a sustainable manner.
- No serious objection should be raised from within the barangay or the mayor of the municipality concerned.

After selecting target barangays and determining the contents of OSA, the projects were implemented by the local consultant. The Study Team and BDA closely observed the activities of the consultant. As OSA was designed to render a quick impact, the assistance had to be launched as soon as the OSA needs were identified through IBNA.

Summary of the OSA implementation process is as follows:

(1) Identification of OSA Needs

The Field Teams engaging in IBNA identify OSA needs not only from the IBNA workshop but also from a field survey in barangays.

(2) Examination of the report by the Study Team

The Study Team screens the identified OSA needs by examining the report from the Field Teams and through discussions with them. The main focus points of this first screening are i) budget and time requirement, ii) duplication with donor projects, iii) size of the beneficiary, iv) geographically fair distribution and v) magnitude of positive/negative impact.

(3) Visit to the target barangay

The Study Team, BDA and the OSA consultant visit the identified barangays and examine the focus points mentioned above through field surveys and community meetings with barangay residents.

(4) Approval of the Study Team and BDA

After a series of examinations, the final decision is made jointly by the JICA Study Team and BDA, determining the content and management mechanism of each project. Based on this plan, the JICA Study Team, the BDA, the OSA consultant, the barangay captain and the mayor of the respective target areas signed the Memorandum of Agreement.

(5) Implementation of OSA

The implementation process includes procurement, construction, establishment of the management mechanism, operation and maintenance training (O&M) and organizing the People Organization (PO), which is responsible for operating OSA projects. The OSA consultant and BDA catalyst jointly monitor the projects and report to the Study Team and BDA.

(6) Handover

After the completion of the project, a handover ceremony is held in each barangay in order to make the concerned community feel a sense of ownership for the project. The responsibility of the community is clearly set out and agreed by the community.

(7) Monitoring

After the handover, BDA and the Study Team monitor the project through information provided by the BDA catalyst in the field.

An NGO called the United Youth of the Philippines (UnYPhil) was chosen as the OSA consultant from a short-list of five candidates. The contract with UnYPhil was signed following the steps outlined below.

- June 28, 2007 : Proposal invitation

- July 4, 2007 : Q and A Session with participating entities
- July 6, 2007 : Proposal submission
- July 6, 2007 : Evaluation of proposal
- July 9, 2007 : Contract negotiation
- July 17, 2007: Signing of contract

2.3 RESULT OF ON-THE SPOT ASSISTANCE

Table 2.3-1 and Figure 2.3-1 below is the summary of the 12 OSA projects in Phase 1.

Table 2.3-1 Summary of OSA project in Phase 1

	Target barangay	Components of Assistance	Date of IBNA	JICA Grant (OSA Budget)	Local Counterpart Contribution (In-kind)	Total Project Cost
1	Lusain Kapatagan Lanao Del Sur	Provision of Four (4) Units Power Generator	18-Jul-07	102,970	40,000	142,970
2	Lower Taviran Kabuntalan Sharif Kanunsuan	Construction of School Pathway	16-Jul-07	102,075	24,000	126,075
3	Penansaran Datu Blah Sinsuat Shariff Kabunsuan	Provision of Medicine Kit with Medicine Supply	16-Aug-07	130,000	5,000	135,000
4	Kalipapa, Datu Piang, Maguindanao	Provision of Farm Equipment with Accessories	16-Jul-07	145,000	15,000	160,000
5	Sampao, Guindolongan, Maguindanao	Construction of 1 Unit Public Toilet with Hand Pump	17-Sep-07	136,000	17,080	153,080
6	Taculen Matalam North Cotabato	Improvement of Day Care Center	22-Aug-07	129,434	18,480	137,914
7	Bual Isulan Sultan Kudarat	Improvement of Room for Birthing Clinic with Basic Facilities	26-Jul-07	139,653	14,560	154,213
8	Sadsalan, Lambayong, Sultan Kudarat	Establishment of Barangay Pharmacy	6-Sep-07	129,434	3,800	133,234
9	Bentung Plomolok South. Cotabato	Improvement of Day Care Center	18-Jul-07	91,812	24,000	115,812

	Target barangay	Components of Assistance	Date of IBNA	JICA Grant (OSA Budget)	Local Counterpart Contribution (In-kind)	Total Project Cost
10	Palian Tupi South Cotabato	Improvement of Day Care Center	30-Jul-07	128,646	18,480	147,126
11	Nalus Kiamba Sarangani	Improvement of School Building	28-Aug-07	130,140	18,480	148,620
12	Tuanadatu Maitum Sarangani	Provision of Rice Mill	12-Sep-07	110,270	40,000	150,270

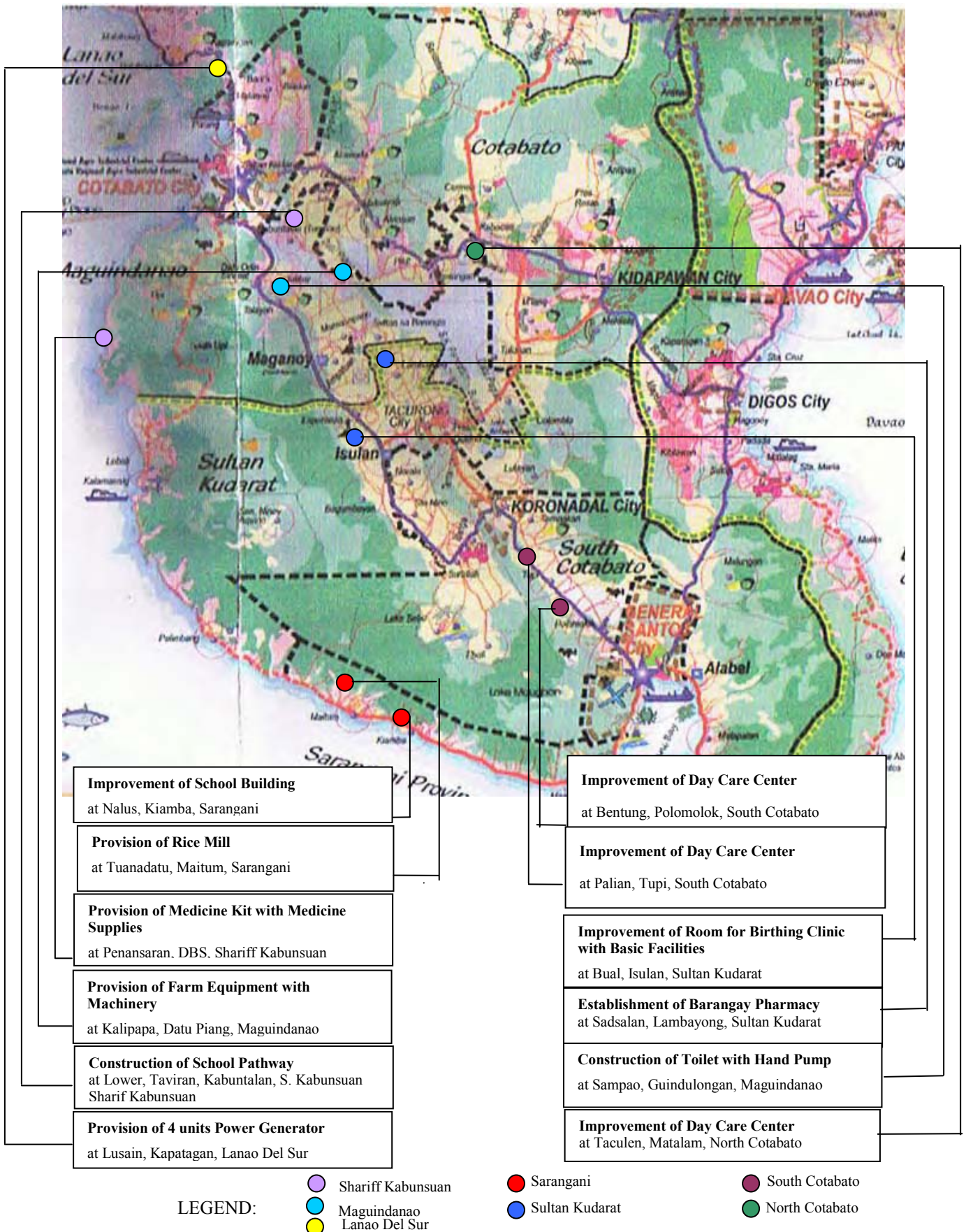


Figure 2.3-1 Map of OSA sites

2.4 MONITORING OF OSA PROJECTS IN PHASE 1

In the beginning of Phase 2, the Study Team and the BDA were monitoring the status of 12 OSA projects implemented in Phase 1. Table 2.4-1 below shows the summary of monitoring findings on OSA in Phase 1.

The precarious security situation and a serious flood caused by typhoon “Frank” made it difficult for the Japanese members of the Study Team to visit OSA sites, given the security standards of the Japanese government. Only local staff of the Study Team could continue the field activity. Even the local staff members were barred from going to monitor OSA projects in two target barangays. Based on the monitoring results, follow-up assistance was prepared.

Table 2.4-1 Summary of monitoring findings about OSA in Phase 1

Components / Location	Status of the Project and the Community	Monitoring Findings	Recommendation / Remarks
1) Four Units Power Generator / Bgy. Lusain, Kapatagan, Lanao del Sur	2 Generator units are functional while the other 2 units are non-functional due to lack of additional wiring and power.	- Some houses are very far from the generator, and provision of additional wiring is expensive. - PO needs to strengthen their capabilities in managing and maintaining the project.	- To provide 4 sets of power supply to charge more home batteries available in each house - To strengthen PO
2)School Pathway / Bgy. Lower Taviran, Sharif Kabuntalan, Maguindanao	School Pathway is submerged in flood caused by typhoon and overflow river of Ala in South Cotabato and Rio Grande.	- The latest visit shows that the community does not have a suitable place to stay due to flood and is suffering from lack of potable water source.	School Pathway needs to wait for repairs until the water subsides, while the immediate need of the community is an Evacuation Center with potable water source.
3) Barangay Pharmacy, / Bgy. Penansaran, Datu Blah, Sharif Kabunsuan			Monitoring was not done due to the unstable security situation in the area.
4) Farm Machineries with complete accessories / Bgy. Kalipapa, Datu Piang, Maguindanao Province	Farm equipments are yet to be used by the community since it is still with the Mayor of Datu Piang. The issue was discussed in the SERD-CAAM Security Meeting with GRP-CCCH and OPPAP committed to write a letter to the mayor.	There are security concerns regarding the handing over of farm equipment from the Mayor to the Community.	The Study Team will be responsible for handing over the equipment to the community once the OPPAP persuades the mayor to release it to the community.
5) Construction of Public Toilet with Hand Pump / Bgy. Sampao, Guindolongan, Maguindanao Province			Monitoring was not conducted due to the unstable security situation in the area.
6) Renovating building into a Day Care Center / Bgy. Taculen, Matalam, North Cotabato Province	16 Pupils are presently enrolled. PTCA were just elected and are about to plan for DCC maintenance. The DCC Volunteer teacher is given Php1,000.00 by the Barangay Office. A monthly contribution of Php 50.00 is collected by DCC Volunteer teacher for maintenance of the DCC.	The DCC is now included in the Barangay Development Plan for 2010. At present it only needs minimal physical assistance regarding repairs.	Physical assistance on repairs and additional needs of the DCC is recommended. A detailed cost estimate has been made at around Php 20,000.00.

Components / Location	Status of the Project and the Community	Monitoring Findings	Recommendation / Remarks
7) Birthing Clinic / Bgy. Bual, Isulan, Sultan Kudarat Province	It is functional, and a mother delivered her child in April 2008. At the time of monitoring, the midwife was expecting two (2) normal deliveries by September. She is now closely monitoring the pregnant women to give birth at the Clinic.	The Birthing Clinic is under maintenance at the Barangay, and they are shouldering minimal repairs and additional needs that the Barangay can accommodate in their budget.	Their expressed needs may be considered for OSA Phase 1 additional assistance. The total expected cost stands at around Php 23,000.00, estimated by Engr. Hiolen.
8) Barangay Pharmacy / Bgy. Sedsalan, Lambayong, Sultan Kudarat Province	The Barangay Pharmacy is functional and generic medicine is being sold. Since its establishment in the Barangay it has been earning Php 1,500.00 per month. The Volunteer staff members are responsible for keeping records of sales and medicine. The Barangay Office supports the volunteer's allowance of Php 1,000.00 monthly.	The Barangay Pharmacy is in place and has been generating its income of Php1,500 per month. There are regular volunteers manning the pharmacy but it does not have an income at present as it is catering to flood victims. The main problem of Barangay Sedsalan and the whole municipality of Lambayong is to provide a shelter area for flood victims who lost their homes and properties.	The Barangay Captain recommended a mini-gym to provide a shelter or evacuation center in Sedsalan. A second visit is recommended to estimate the needed assistance at the Barangay.
9) Day Care Center, / Bgy. Bentung, Polomolok, South Cotabato Province	20 DCC Pupils are enrolled. The DCC Volunteer Teacher receives a Php1,200 monthly allowance from the Barangay Office. PTCA contributes Php 20.00 per month to maintain the DCC	The DCC is well supported by the Barangay and the PTCA in kind. But it needs more learning material such as mini-library	Collect views on learning material and other printed matter
10) Day Care Center, / Bgy. Palain, Tupi, South Cotabato Province	30 Children enrolled in the DCC. Volunteer Teacher is given an honorarium allowance by the Barangay Office. A Php100.00 registration fee is required per DCC pupil and a Php30.00 monthly contribution for PTCA is collected by the DCC Volunteer	PTCA needs to be assisted in terms of planning and initiating projects for maintaining the DCC. The DCC requires minimal repairs It also needs a mini-library.	Needs to be visited by the Study Team Engineer to estimate the budget and materials required for repairs and other assistance.
11) Repair of 2 rooms and provision of 14 Electric fans. / Bgy. Nalus, Kiamba, Sarangani Province	The school is constantly suffering from flooding of nearby creeks and rivers, and even from regular rains. Classes are always being suspended.	The school is experiencing major problems which cannot be resolved by the project on an OSA level. The school needs convey their problem to the local government.	The PTCA and the School needs assistance on how to lobby for flood measures against the LGU. Additional tables and assistance is required.
12) Rice Thresher / Bgy. Tuanadatu, Maitum, Sarangani Province	1) A movie theater was established for the community to earn money for the community 2) Monthly contributions of the community and POs 3) Collection of Php 10.00 per household for the use of light 4) Contributions to buy gasoline for the power dynamo every 4 days 5) Collection of Php 5.00 to 10.00 for every battery charge, earning a minimum of Php 30.00 to 40.00 per day for the initiative	The Project is serving the community very well and its dynamo has been generating income to the community. The PO is conducting many initiatives regarding the project to support their livelihood.	The community only needs assistance regarding PO strengthening and capability building and on advance initiatives for livelihood opportunities.

2.5 OSA IN PHASE 2

In addition to monitoring and follow-up assistance for Phase 1 OSA projects, new projects were put in place in Phase 2. From lessons learned in Phase 1, only seven OSA projects were

planned, in order to secure sufficient time for discussion between the Study Team and BDA and to make these projects more process-oriented.

At the same time, the allotted budget for each OSA project was increased from up to 140,000 peso to up to 300,000 peso. This increase was also aimed at implementing different types of projects. It was also planned that BDA involvement was enhanced not only in the areas of planning and implementing but also in the monitoring process. The selection process of target barangays was basically the same as in Phase 1.

Although the Study Team was in the final stage of listing the projects, the selection process was suspended due to the deteriorating security situation, especially after the onset of conflicts between the Armed Forces of the Philippines (AFP) and MILF in August 2008. This delayed the actual implementation of OSA in Phase 2.

The prolonged conflicts caused massive displacement of communities, or residents in the provinces of Sarangani, Maguindanao, North Cotabato, Lanao del Sur, and Lanao del Norte. The Internally Displaced Persons (IDPs) moved to safer places in nearby municipalities or to safer provinces which could accommodate them. By October, more than 500,000 families were reportedly displaced in the above mentioned provinces. They traveled from a safe municipality to another, including the IBNA barangays.



The Project Steering Committee (PSC) decided in early October 2008 to conduct OSA projects in barangays in which residents from IBNA barangays took refuge. Based on this decision, the Study Team submitted a proposal to JICA to implement 11 OSA projects -- seven in Central Mindanao and four in Lanao del Sur and Lanao del Norte.

As the security situation remained unpredictable, local staff of the Study Team mainly implemented the 11 projects. They started to implement the projects in November 2008, immediately after receiving JICA's approval. The projects were expected to be completed at the end of December 2008.

Table 2.5-1 Individual OSA Projects in Phase 2

	Target Barangay	Project Title	Budget (Approx.)	Components of Assistance
1	Poblacion, Datu Piang, Maguindanao	Mini multi-purpose center and public toilet construction	265,000	1. Construction of mini multi-purpose center 2. Construction of 1 unit public toilet with three rooms 3. Construction of dug well and installation of water hand pump
2	Poblacion, Datu Piang, Maguindanao	Two units construction of public toilet	154,000	1. Construction of two units of public toilet with 3 rooms each
3	Public Market Site, Talayan, Maguindanao	Mini multi-purpose center and public toilet construction	277,000	1. Construction of mini multi-purpose center 2. Construction of 1 unit public toilet with three rooms
4	Municipal compound, Poblacion, Talayan, Maguindanao	Two units public toilet construction	131,000	1. Construction of two units of Public toilet with 3 rooms each
5	Meta, Datu Unsay, Maguindanao	Mini multi-purpose center construction	265,000	1. Construction of mini multi-purpose center 2. Renovation of bathroom 3. Replacement of water hand pump
6	MSU compound, Pandaliday, Datu Odin Sinsuat, Shariff Kabunsuan	Mini multi-purpose center and public toilet construction	282,000	1. Construction of mini multi-purpose center 2. Construction of 1 unit public toilet with three rooms
7	Makr, Datu Odin Sinsuat, Shariff Kabunsuan	Mini multi-purpose center and public toilet construction	282,000	1. Construction of mini multi-purpose center 2. Construction of 1 unit public toilet with three rooms
8	Batulawan, Pikit, North Cotabato	Two units public toilet construction	178,000	1. Construction of two units public toilet 2. Renovation of dug well and installation of water hand pump
9	Bago Ingud, Saguiaran, Lanao del Sur	Mini multi-purpose center and public toilet construction	238,000	1. Construction of mini multi-purpose center 2. Construction of 1 unit public toilet with three rooms 3. Construction of dug well and installation of water hand pump
10	Lilod Madaya, Malawi City	One unit public toilet construction	87,000	1. Construction of one unit public toilet
11	Cadayanan II, Marawi City	One unit public toilet construction	87,000	1. Construction of one unit public toilet



The Study Team and BDA first organized community meetings with the beneficiary community. They agreed that the Study Team would procure the necessary materials/equipments, while the barangays would provide labor. Thorough preparations helped promote a sense of ownership in the beneficiary community. The recipient barangays were expected to maintain the facilities constructed under OSA after the completion of the Study.

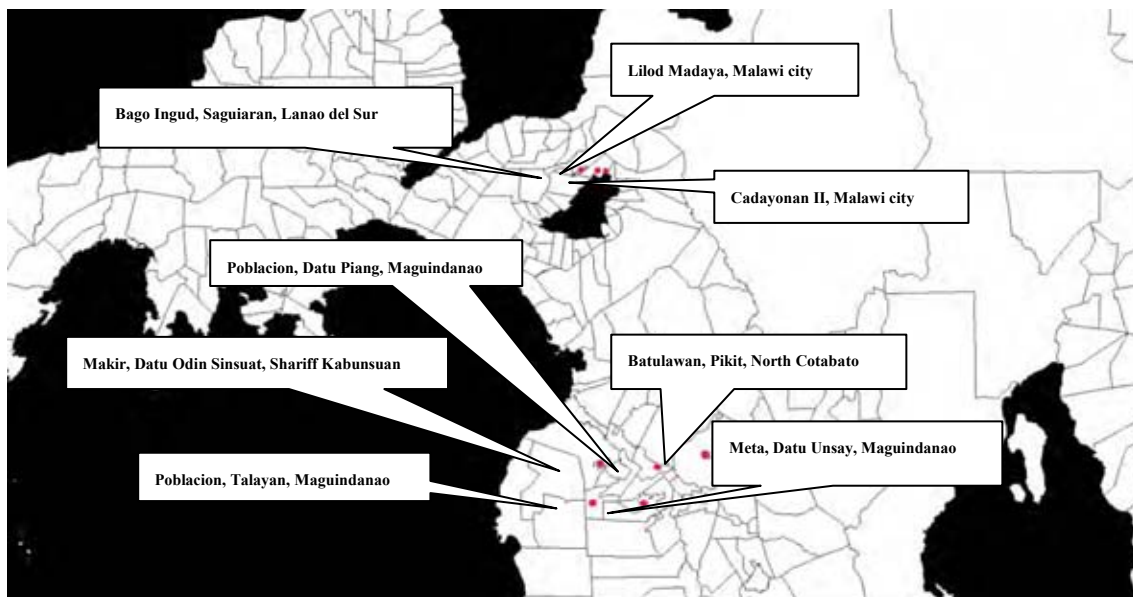


Figure 2.5-1 OSA Sites in Phase 2

2.6 LESSONS LEARNED

2.6.1 Contribution of OSA to Peace Process

One of the most significant lessons learned through the implementation of OSA is that even small projects could be highly effective in making substantial contributions not only toward economic development but to peace-building in CAAM communities.

OSA can be considered a pilot project in two interrelated ways. Firstly, OSA would bring about an impact on economic reconstruction by providing a small but quick assistance, amidst the prolonged conflict.

Secondly, it has a social impact on peace-building. The OSA projects promoted community cohesion -- facing differences in religion, tribe, and clan -- by anchoring an asset, or public infrastructure, that can be utilized by and be beneficial to all community residents. Thus, OSA can contribute toward the peace building process or to create a more harmonious atmosphere within the recipient communities. This teaches us that future projects in Mindanao should be designed to strengthen the anchoring asset for peace-building in communities.

OSA required community commitment and many volunteers worked for the project. They worked for the entire community, not for the interest of a small group. For example, for the handover in a barangay resided by Muslims and Christians, ceremonies of both religions were held. This reinforced the people's sense of unity and solidarity.

However, it should also be noted that the project could produce a negative impact on the community and, if worse, even might divide communities. In this regard, some aspects should be improved for the benefit of future projects in CAAM.

For instance, according to BDA catalyts, a few community groups complained that they were not adequately incorporated in the planning and implementation processes of OSA. In Phase 1, barangay officials were invited as focal persons of the area, but other community groups also should have been invited. Governance of the conflict areas is profoundly complicated and lack of consensus could easily cause social tension. The development projects should be more conflict-sensitive in the future and they must always comply with the principle of "Do no harm."

2.6.2 BDA involvement

As stipulated in the section 3.2, BDA was involved in every step of OSA planning, implementation, monitoring and evaluation. For example, BDA assigned a staff member who worked exclusively as the OSA Coordinator. He took part in all field activities such as community meetings and field surveys. The Study Team and BDA also jointly drew up the project plan and the Memorandum of Agreement.

However, there is still room for improvement in BDA involvement. Due to time constraints of the OSA framework, the Study Team and BDA did not have ample time for discussions. This caused misunderstanding at times between the two parties during the course of OSA implementation. Reflecting on this experience, the OSA projects were selected more carefully

in the latter half of the project period, with the two parties holding discussions more frequently.

2.6.3 Community Participation

Assessing the degree of community participation and capability was an objective of OSA because the community should be the central player in implementing projects. In Phase 1, some lessons regarding community participation were learned. Generally, community residents indicated strong commitment in preparatory meetings, but fewer people actually cooperated when it came to the implementation stage in some barangays. This resulted in project implementation delays.

In terms of sustainability, community participation has a more important role in the post-project stage than in the implementation stage. Most of the OSA projects included the provision of facilities and equipments. Without operation and maintenance by the community, the facilities and equipment could soon be put out of service. Some projects include business-related activities such as barangay pharmacies, electrification and birthing clinics. These projects could easily fail without strong commitment from the community.

In order to run OSA projects successfully, People Organizations (POs) were established or reorganized in almost all target barangays. The POs received training for the operation and maintenance of the facilities and equipments. However, it appears to be too early to judge whether the POs would work well. Therefore, post-project monitoring is important.

2.6.4 Impact Assessment and Sustainability

Although the OSA projects were basically simple, their precise impacts are unknown at present as they cannot be measured immediately. They will likely surface much later. For example, two months after the completion of a school pathway in Barangay Lower Taviran, a small market unexpectedly developed along the pathway. The new pathway constructed under this project provided a business opportunity for the people in the community.

2.7 RECOMMENDATIONS FOR FUTURE OSA

The following is lessons learned in essence. In the future, projects similar to OSA should be formulated, adequately reflecting these lessons.

- OSA should be designed not only to produce an economic benefit but also to strengthen the anchoring asset in the community so as to contribute toward peace-building in the community. The BDA catalysts could be the facilitator of this process.
- BDA needs to be actively involved in every stage of planning, implementation,

monitoring, and evaluation.

- The project process should be given adequate time for discussion with BDA -- process-orientation is required.
- Community participation must be carefully crafted, with careful examination of community governance before community meetings being held for project planning.
- Attention should be paid to social preparation activities such as organizing POs and their training.

Recommendations for the future and actual measures in line with these recommendations are shown in the Table 2.7-1.

Table 2.7-1 Recommendations and Actual Measures

1	Recommendation
	Projects should be designed to strengthen anchoring assets in the community, aiming to contribute to peace-building in the community.
	Actual measures
	BDA catalysts become the mediator to mitigate possible conflict/adverse effects within the barangays.
2	Recommendation
	The number of projects should be limited to enable detailed discussions among parties concerned.
	Actual measures
	The donor should limit the number of projects to secure sufficient time for detailed discussions between the donor and BDA.
3	Recommendation
	The budget should be adequate to cover necessary expenses, including the cost of longer preparation time, especially on social aspects.
	Actual measures
	At least 300,000 Peso per barangay is considered the target budget.
4	Recommendation
	BDA involvement is recommended to be enhanced in every step of the process, namely planning, implementation, monitoring, and evaluation.
	Preventive measure
	The understanding and commitment of BDA about the development project should be enhanced through a series of workshop with BDA.
5	Recommendation
	Post-project monitoring mechanism should be established.
	Actual measures
	Involvement of the BDA catalysts and RMO in the monitoring mechanism should be secured and enhanced.

CHAPTER 3

BARANGAY PROFILING

3.1 METHODOLOGY AND PROCEDURES

The Barangay Profiling was an important pillar of the social survey, aimed to collect basic socio-economic data/profile at the barangay level. Results of the Barangay Profiling was compiled into the Barangay Database, aimed at providing an objective information basis on broadly defined socio-economic conditions of each of the more than 3,800 barangays in the conflict-affected areas (CAAM) identified by the Office of the Presidential Adviser on the Peace Process (OPAPP). The Barangay Database will be shared with the Bangsamoro Development Agency (BDA) and other domestic and international agencies for planning and implementing projects/activities for future development in the CAAM. MS-ACCESS, a database software, was used for the Barangay Database.

The profiling includes the following categories.

- Geographical access and road conditions
- Population
- Socio-economic conditions
- Infrastructure
- Financial resources
- Incidence of armed conflict
- Internally Displaced Persons (IDPs)
- Development projects
- Community organizations
- Barangay Development Plan

The JICA Study Team (“Study Team”) commissioned a local consultant and mobilized NGO networks into Field Teams for data collection. Table 3.1-1 and Table 3.1-2 below list Field Teams assigned for specific geographical clusters allotted for the work in Phases 1 and 2 respectively. Barangays commutable by vehicle from Cotabato City in a day were target communities in Phase 1, spreading over seven provinces, namely, Lanao del Sur, Maguindanao, Sharif Kabunsuan, Sultan Kudarat, North Cotabato, South Cotabato, and Sarangani. In terms of the number of the target barangays, out of the 3,800 plus barangays in CAAM, 1,648 barangays were targeted in Phase 1.

The remaining barangays in the provinces of Lanao del Sur, Lanao del Norte, Davao Oriental, Compostella Vally, Zamboanga Sibugay, Zamboanga del Sur, Zamboanga del Norte, and Basilan were surveyed in Phase 2. Due to many target barangays in Lanao del Sur , work in the province was split into Phase 1 and 2.

While the Field Teams were responsible for conducting the field survey in each assigned geographical cluster, a Database Team was also formed. Its members worked at the project office in Cotabato City and in Zamboanga City to cross-examine, clarify if necessary, and encode data on the reports/sheets collected by the Field Teams into the Barangay Database.

For assigning the Field Teams and the Database Team both in Phases 1 and 2, the Study Team invited technical and financial proposals from short-listed organizations/institutions in accordance with the “Guideline for Participating Entities Preparing Proposal.”

As a result of the evaluation of these technical and financial proposals submitted by several local consultants and NGOs, a local consultant and local NGO networks were contracted as the service providers for the Field Teams responsible for each cluster and the Database Team. The names of the service providers are listed in Table 3.1-1 and Table 3.1-2 for Phases 1 and 2 respectively. In Phase 2, two additional cross-cluster Mobile Teams were created in addition to the eight cluster-based Field Teams and Database Team.

Table 3.1-1 Summary of Cluster Teams for Phase 1

Team #	Clusters	Number of Municipalities	Number of Barangays	Service Provider
1	Lanao Sur 1	8	219	CMYS
2	Lanao Sur 2	7	197	PPRD
3	Maguindanao	22	260	MERN
4	Sharif Kabunsuan	11	205	MERN
5	North Cotabato	13	404	MERN
6	Sultan Kudarat	11	228	CMYS
7	South Cotabato (2 Mun. 38 Brgys)	7	135	MERN
	Saranggani (5 Mun., 97 Brgys)			
8	Database Team	-	-	MERN
	Total	79	1648	-

CMYS: Center for Muslim Youth Study, Inc.

PPRD: PPRD Consultants

MERN: Mindanao Emergency Response Network

IBS: Institute of Bangsamoro Studies

Table 3.1-2 Summary of Cluster Teams for Phase 2

Team #	Clusters	Number of Municipalities	Number of Barangays	Service provider
1	Lanao Sur 3	8	312	CMYS
2	Lanao Sur 4	12	315	PPRD
3	Lanao del Norte	13	253	PPRD
4	Zamboanga del Sur	9	267	CMYS
5	Zamboanga del Norte	7	162	IBS
6	Zamboanga Sibugay	10	262	IBS
7	Basilan	8	216	IBS
Mobile	Lanao and Davao	10	193	CMYS
Mobile	ZamPen and Basilan	11	203	PPRD
8	Database Team	-	-	MERN
	Total	88	2, 183	-

CMYS: Center for Muslim Youth Study, Inc.

PPRD: PPRD Consultants

MERN: Mindanao Emergency Response Network

IBS: Institute of Bangsamoro Studies

Each Field Team and the Database Team consisted of mixed members from service providers and the BDA. In Phase 1, each Field Team was composed of a Team Leader and two team members, and the service providers were responsible for assigning the Team leader and one team member, while the BDA was responsible for appointing the other team member. In Phase 2, the BDA provided a Co-Team Leader in addition to one member in order to further enhance the institutional capacity of the BDA. As for the Database Team, the service provider assigned the Team Leader and the BDA assigned the team member in Phase 1. In Phase 2, the service provider assigned the Team Leader and a team member, while the BDA appointed the Co-Team Leader and a team member.

The Field Teams first made necessary arrangements for gathering information and interviewing barangay chairpersons and secretaries. The arrangements included taking appropriate administrative procedures for conveying information to mayors. In addition to primary information/data obtained through interviews, secondary information/data was collected from each Municipal Planning and Development Coordinator (MPDC) at the municipal office. Moreover, information stored in other government line agencies and international donors were also sought and incorporated into the Barangay Database.

The process of the field survey for the Barangay Profiling is summarized below.

- Coordination with target municipality/barangay: The Field Teams visit the target municipality/barangay for necessary coordination at least one week prior to fieldwork.
- Data collection at municipality: The Field Teams examine related documents together with MPDC to extract secondary data/information and codify them on a format prepared by the Study Team.
- Municipal Orientation: The Field Teams brief barangay chairpersons and secretaries (barangay officials) at municipal office about the objectives and the process of the Barangay Profiling. During the briefing, questionnaires are distributed to the barangay officials.
- Interview with Barangay Officials: After a few days, the Field Teams revisit the municipal office to interview the same barangay officials. The Field Teams spend about 40-50 minutes interviewing officials from each barangay -- securing a properly filled out questionnaire from the barangay officials and then gathering additional information on the developments in each barangay.
- Visit to Barangays: When barangay officials do not avail themselves to the interview on the day set by the Field Teams for any reason, the Field Teams would have to visit such barangays to collect needed information, provided that it is considered practical and safe. The Field Teams are also expected to visit barangays when they consider it useful to observe the conditions of barangays and to communicate directly with barangay residents.

For data collection at the municipality, the Field Teams consulted the municipality administration office and examined related documents to extract data/information, and codified them on the “Data Sheet at Municipality.” Meanwhile, the “Data Sheet for Barangay Database” (translated into the Tagalog language in the actual survey) was used for the interview.

The interview was conducted with officials from 10-15 barangays per day depending on the location of the municipality and other factors such as the availability of the officials and security conditions in the area. During the interview, the Field Teams validated information obtained from barangay officials by asking them questions based on common sense and cross-checked facts with secondary data/information on the “Data Sheet at Municipality.”

In consultation with the BDA and other relevant organizations, the subject and contents of the Barangay Profiling were carefully determined to comprehensively reflect the socio-economic conditions of individual barangays.

In March 2007, a preparatory survey was also conducted in Aleosan Municipality, North Cotabato Province to examine the practicality and appropriateness of the survey methodology,

including survey items and questionnaire format. The lessons learned through the preparatory survey were reflected in finalizing the methodology and time schedule.

Before commencing the full-scale survey (Phases 1 and 2), the Study Team held an orientation session for Team Leaders to ensure their understanding. The orientation was also aimed at ensuring the consistency of the process and survey content among Field Teams.

The Study Team constructed the database format for the Barangay Database with MS-ACCESS. Information collected from target barangays and secondary data were simultaneously encoded by the Database Team, referring to the “Data Input Manual for Barangay Database”. A report format based on MS-ACCESS is presented in “3.4 BARANGAY DATABASE” of this Chapter.

3.2 SUPPLEMENT SURVEY AND ACCOMPLISHMENTS

In October 2007, judging from the survey results by then in Phase 1, the Study Team decided to conduct a supplement survey on the following subjects.

(1) Development project in barangay

The original survey sheet for the Barangay Database included the question (Q23) -- “Are there ongoing development projects in the Barangay?” This intended to find out what kind of “hard” projects, or projects involving construction and civil engineering, and “soft” projects, or projects involving social development, project planning and evaluation, a subject barangay had experienced. However, based on the survey results, the Study Team noticed that barangay officials tended to interpret the term “project” as referring only to “hard” projects, excluding “soft” projects. In addition, the term “ongoing” naturally made the officials report only about the projects which were under construction at the time or projects that had just been completed. Since it was also important to find out about “soft” and past projects, in addition to hard and ongoing projects, the Study Team decided to ask additional questions regarding “soft” and past projects.

(2) “Development needs” in each barangay

The original survey sheet did not include any questions inquiring about development needs in each barangay since the Study Team considered that development needs were better surveyed in the In-depth Barangay Needs Analysis (IBNA). However, to make the analysis on development needs more broad-based and persuasive, the Study Team decided to add a question about development needs. Although the results were based solely on information from barangay officials, they provided a more concrete picture on development needs at the barangay and municipal level.

In Phase 1, primary data were collected from 1,673 barangays, or 101.5% of 1,648 target barangays (including 25 newly created barangays following the compilation of the OPAPP list), as shown in Table 3.2-1 despite a skirmish in Basilan in July 2007. Unfortunately, some secondary data were simply not available at the office of the MPDC, e.g., number of households, number of males/females, land area and financial resource. Despite the additional burden from the supplementary survey, data collection was generally completed smoothly by the end of November 2007.

Table 3.2-1 Progress of Barangay Profiling in Phase 1

Cluster	Number of Target Municipalities	Number of Target Barangays	Number of Completed Barangays	Progress in %	Local consultants
Lanao del Sur 1	8	219	220	100.4%	CMYS
Lanao del Sur 2	7	197	197	100.0%	PPRD
Maguindanao	22	260	279	107.3%	MERN
Shariff Kabunsuan	11	205	210	102.4%	MERN
North Cotabato	13	404	404	100.0%	MERN
South Cotabato	2	38	38	100.0%	MERN
Sarangani	5	97	97	100.0%	MERN
Sultan Kudarat	11	228	228	100.0%	CMYS
TOTAL	79	1,648	1,673	101.5%	

Prior to starting Phase 2 of the Barangay Profiling, the Study Team held a series of regional orientations for both the Moro Islamic Liberation Front (MILF) Political Committee and for Local Government Units (LGUs) respectively, in close partnership with the Central Management Office (CMO) and Regional Management Offices (RMOs) of BDA and the OPAPP. These orientations were planned because during Phase 1, the OPAPP often requested that the Study Team secure a consensus among the Study Team, BDA, and LGUs before conducting survey activities in target municipalities. Regional orientations for MILF Political Committee were successfully held in April and May 2008 in Pagadian City, Isabela City, Malawi City and Compostela Valley, while the orientation sessions for LGUs were organized at the beginning of June 2008 in Zamboanga City with the representation of BDA’s CMO and RMOs.

After the orientations, the Field Teams started making arrangements for the survey in each geographical cluster. However, they soon encountered difficulties in coordinating with LGUs of target municipalities, especially with those whose representatives did not attend the orientation in Zamboanga City. Since they were not well informed of the survey, they sometimes indicated reservations to accommodate the activities of the Field Teams. In such instances, the Study Team had to explain the survey to LGUs.

Apart from reservations expressed by some LGUs, the field activities were also sometimes suspended in the Autonomous Region in Muslim Mindanao (ARMM), especially in Basilan, due to the on-again, off-again armed conflicts, an ARMM election, and a flood caused by Typhoon Frank. In the middle of August, the Study Team was compelled to fully suspend the field activities due to the aggravated armed conflicts in Lanao del Sur and Lanao del Norte. The Japanese members of the Study Team had to evacuate to Manila temporarily.

Despite the obstacles mentioned above, the Field Teams managed to make considerable progress. Even after the full suspension of the field activities, they worked very hard to retrieve the questionnaires from barangay officials. As a result, data from 1,859 barangays or 85.2% of 2,183 barangays targeted in Phase 2 were collected, as shown in Table 3.2-2. In total, 3,532 barangays, or 91.6% of 3,856 barangays in CAAM (3,831 plus 25 newly created barangays in Phase 1), were covered in Phases 1 and 2.

Table 3.2-2 Achievement of Barangay Profiling in Phase 2

Cluster	Number of Target Municipalities	Number of Target Barangays	Number of Completed Barangays	Progress in %	Local consultants
Lanao del Sur 3	8	312	312	100.0%	CMYS
Lanao del Sur 4	12	315	229	72.7%	PPRD
Lanao del Norte	13	253	233	92.1%	PPRD
Zamboanga del Sur	9	267	195	73.0%	CMYS
Zamboanga del Norte	7	162	162	100.0%	IBS
Zamboanga Sibugay	10	262	262	100.0%	IBS
Basilan	8	216	171	79.7%	IBS
Mobile Lanao	9	180	133	73.9%	CMYS
Mobile Zamboanga	11	203	149	73.4%	PPRD
Field Demo	1	13	13	100.0%	-
TOTAL	88	2,183	1,859	85.2%	-

3.3 RESULTS OF BARANGAY PROFILING

All data gathered during the Barangay Profiling were encoded into the Barangay Database. Although analysis on the Barangay Database will be thoroughly presented in Chapter 6, it is worthwhile to describe facilitating factors and lessons learned in conducting the Barangay Profiling.

3.3.1 Facilitating Factors

During the course of the Barangay Profiling, the following facilitating factors led to smooth and successful field activities.

(1) Support from LGUs

The broad support from Municipal Local Government Units (MLGUs), including municipal mayors, vice mayors, municipal councils, and their municipal administrators, greatly facilitated interviews with barangay officials and data collection from MPDCs. Barangay Local Government Units (BLGUs) were also very cooperative.

(2) Willingness of respondents

In general, barangay officials were very positive to the survey. They were fairly willing to express their honest opinions concerning the development of their barangays. Their willingness encouraged the Field Teams. As for barangay chairpersons unable to read and write, barangay secretaries and other degree holders in their barangays assisted.

3.3.2 Lessons Learned

(1) Need for more careful coordination with LGUs

Increased involvement from the OPAPP, MLGUs, BLGUs should lead to improved coordination and field activities. As for the OPAPP, some delays in the delivery of coordination letters to the municipality led to postponement in the survey schedule. As mayors and MPDC officials often reside outside their municipality, it took extra time for the Field Teams to locate them. At the BLGU level, some barangay officials failed to attend the municipal orientation or to return the questionnaire on schedule.

To address these problems, a one-day workshop (with a Q&A session) may be needed to enhance the municipal orientation. The workshop would also serve to adequately explain the overall objectives and contents of the survey and its linkage with future development activities.

(2) Location of municipal orientation and interview sessions

Some barangay officials faced difficulties in attending the municipal orientation and their interview session at municipal halls due to long travel distances. The Field Teams met with these officials at other locations, sometimes walking long distances to interior barangays. Extra time and expenses were incurred as a result, but this factor was not adequately taken into account in Phase 1. In Phase 2, however, necessary time and budget allocation was made.

(3) Unavailability and inconsistencies in data

The unavailability and inconsistencies in secondary data from the MPDC led to incomplete data sets and to delays in data gathering. In an effort to collect available data, the Field Teams contacted national government agencies. The agencies included the National Statistics Office

(NSO), Department of Agriculture (DA), Department of Agrarian Reform (DAR), Department of Environment and Natural Resources (DENR), Department of the Interior and Local Government (DILG), Department of Public Works and Highways (DPWH) and Department of Social Welfare and Development (DSWD). Some data were simply unavailable in certain municipalities, especially in Lanao del Sur.

More specifically, information from some barangay officials regarding projects implemented in barangays and on priority development needs sometimes appeared inaccurate and unreliable due to lack of systematic record keeping. The Field Teams therefore consulted national agencies to validate the information.

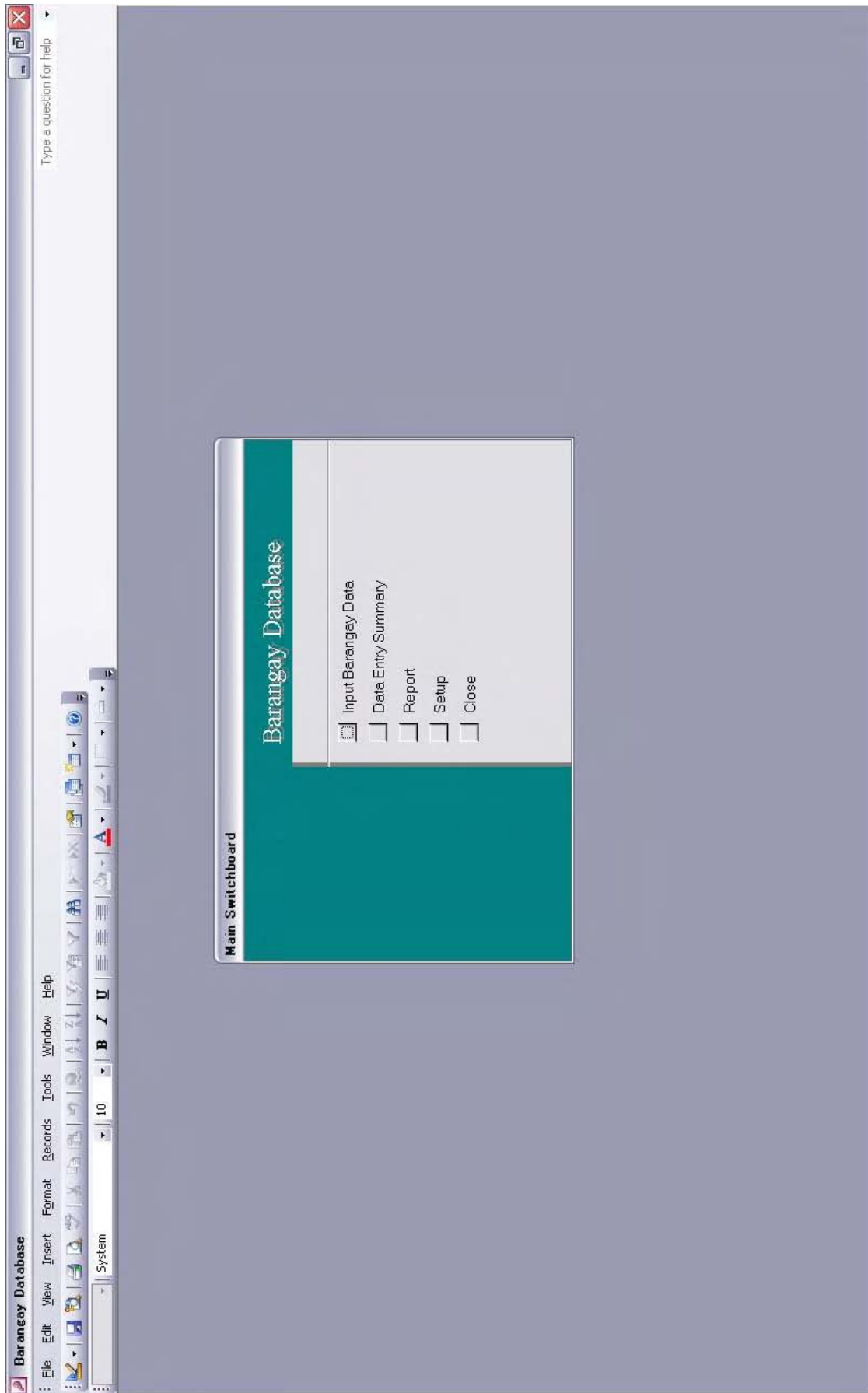
(4) Team Members

In Phase 1, each Field Team had a BDA team member who was meant to be able to communicate in the local language to coordinate with local authorities at all administrative levels and serve as a guide for other team members. However, some BDA team members were neither good enough in the local language nor familiar with the assigned areas, hindering smooth and efficient workflow. In order to ensure efficiency, at least one member should belong to the same ethnicity as the people in the target barangay.

3.4 BARANGAY DATABASE

The Study Team's database expert designed and constructed the Barangay Database (the Database) format to encode the collected primary and secondary data of each barangay. The Database provides objective information about each barangay surveyed under the Barangay Profiling.

The following charts enabled the Database Team to encode the collected data into the Database without much difficulty.





Barangay Database

File Edit View Insert Format Records Tools Window Help

Type a question for help

12 Tahona

brey_data : Form

Questionnaire for Barangay Captain for the Development of Barangay Database

Province: Sultan Kudarat | Municipio: PRESIDENT QUIRINO | Barangay: Romualdez

Data input: Staff B | Date of survey: 2007/09/11 | Name of surveyor: Abdulmanan Usman

Title/Name of respondent: Barangay Captain
 Barangay Secretary
 Other: OIC

Q. 1. How many kilometers to the nafi road? 6 km (no decimal)
 Q. 2. How long does it take? 15 min. by Car Motorcycle Walk
 Boat Tricycle Other

Q. 3. What is the major type of the nafi road? Paved Graveled Soil Other

Q. 4. How much does it cost to transport 1 sack of rice? Dry season: 20 pesos | Rainy season: 20 pesos

Barangay Database

Type a question for help

File Edit View Insert Format Records Tools Window Help

Arial Narrow 12

brey_data : Form

Questionnaire for Barangay Captain for the Development of Barangay Database

Province Barangay

Municipio

Page1 Page2 Page3 Page4 Page5 Page6 Page7 Page8 Page9 Page10

Q.5. Ethnic composition

Hiligaynon/Ilonggo	<input type="text" value="3"/>	%	Tawisog	<input type="text" value="0"/>	%
Cebuano	<input type="text" value="3"/>	%	Yakan	<input type="text" value="0"/>	%
Maguindanaon	<input type="text" value="0"/>	%	Tagalog	<input type="text" value="0"/>	%
Ilocano	<input type="text" value="94"/>	%	Bicolano	<input type="text" value="0"/>	%
Iranon	<input type="text" value="0"/>	%	Waray	<input type="text" value="0"/>	%
Maranao	<input type="text" value="0"/>	%	Tiruray	<input type="text" value="0"/>	%
Subanen	<input type="text" value="0"/>	%	Others	<input type="text" value="0"/>	%
Total			Total		
			<input type="text" value="100"/>		

Q.6. Religion

Christian	<input type="text" value="100"/>	%
Islam	<input type="text" value="0"/>	%
Others	<input type="text" value="0"/>	%
Total		<input type="text" value="100"/>

Specify:

Barangay Database - [report_summary : Report]

File Edit View Tools Window Help

Type a question for help

Province	1265	Sultan Kudarat
Municipality	126510	PRESIDENT QUIRINO
Barangay	126510018	Romualdez

Population			
Male	Female	Total	Households
721	643	1,364	330

National Road			
Distance from National Road (Km)	6.00		
Duration to National Road (Minute)	15.00		
Transportation cost for products (Piso)			
dry season	20.00		
Wet season	20.00		

Road type			
Paved	0		
Graveled	1		
Soil	0		
Other	0		

Ethnic Composition (%)			
Ilonggo	3.00	Bicolano	0.00
Cebuano	3.00	Maray	0.00
Magindanao	0.00	Dulangan-Manobo	
Ilocano	94.00	Ubo-Manobo	
Iranon	0.00	B'taan	
Maranao	0.00	T'boli	
Tiruray	0.00	Kalabuan	
Subanen	0.00	Maneska	
Tawsoy	0.00	Dihabawon	
Yakan	0.00	Bagobo-Tagabawa	
Taratog	0.00	Ara-Manobo	
		Matigsalug	
		Agusanon	
		Pulangi	
		Talaandig	
		Iliganon	
		Mandaya	
		Kalibugan	
		Arumanen	
		Other	0.00

School (count)			
High school	0		
Elementary school	1		
Primary school	0		
Daycare	1		
Madrasa	0		
Other	0		

Religious Composition (%)			
Christian	100.00	Other	0.00
Muslim	0.00		

Health facility (count)			
Hospital	1	Health center	1
RHU	0	Other	0

Page: 1

Summarization, chart, and filtering aspects of the Database will be explained below.

(1) Summarization

The Database can summarize the collected/encoded data and produce data files to be utilized for analysis. Summarized results can be sorted into specific categories such as Region, Province, and Municipality. Results can be exported by CSV format file (Microsoft Excel compatible).

(2) Chart

The Database can create charts displaying data on a time-scale axis. The charts can also describe the situation of Conflicts, IDPs, Barangay Development Plan, and People's Organizations.

(3) Filtering

The Database can filter information to produce a list of barangays meeting certain criteria or conditions. Users are able to filter information in the Database by setting numerical limitations. The users can also search information by setting specific conditions such as Region, Province, Municipality, and barangays. Several criteria and conditions can be set at each time.

3.5 BDA INVOLVEMENT

Regarding BDA's involvement in the Barangay Profiling, the Study Team encouraged BDA to take an active role in their fieldwork.

Firstly, as mentioned earlier, each Field Team comprised of a BDA-assigned member in Phase 1. In Phase 2, a Co-Team Leader and a team member were assigned based on BDA recommendations. Their expected role was to be in charge of communicating and coordinating with local people. Before holding the municipal orientation in each municipality, the BDA members contacted the local Municipal Development Catalysts and Barangay Development Catalysts of BDA in the area. They also conducted interviews with barangay officials under the supervision of Team Leaders. In this context, BDA members of the Field Teams were actively involved in the Barangay Profiling, certainly contributing to BDA's capacity development.

The BDA also provided the Database Team with BDA-assigned members (one member in Phase 1 and two members in Phase 2) through MERN. In Phase 1, a female member was assigned to encode data. In the beginning, her typing skills were not enough to efficiently encode the data. The Team Leader's patient guidance and her own continuous efforts helped develop her typing skills, enabling her to type with speed and accuracy.

Secondly, at the municipal and barangay levels, a number of BDA catalysts were involved in the Barangay Profiling. The Field Team coordinated with them, leading to the smooth implementation of the survey. Barangay Development Catalysts were not assigned in some barangays, but Municipal Development Catalysts covered their role and represented the BDA.

Lastly, at the central level, BDA was involved in the overall management of fieldwork, including monitoring BDA members' performance. The BDA-assigned members periodically reported to the BDA central office. Based on their reporting and reports from provincial, municipal, and barangay catalysts, the BDA central office was able to monitor the progress of the survey on the ground level. This sometimes led to further discussions with the Study Team for the improvement of the Barangay Profiling.

CHAPTER 4

IN-DEPTH BARANGAY NEEDS ANALYSIS (IBNA)

4.1 METHODOLOGY AND PROCEDURES

The objective of the In-Depth Barangay Need Analysis (IBNA) was to carefully assess development needs at the barangay level in conflict-affected areas (CAAM). This information on development needs will be critical in designing the development assistance that is expected to be available on a large scale once a peace agreement is reached between the government and MILF in the future. However, since an in-depth study of 3,800 plus barangays was impractical, if not impossible, within the timeframe of SERD-CAAM, only 150 barangays were targeted for IBNA.

The 92 barangays chosen for Phase 1 of IBNA were selected jointly by the Study Team, the leaders of Field Teams, and BDA, in line with the procedures described below.

Meanwhile, out of 150 targeted barangays, the remaining 58 barangays for Phase 2 were identified through the process agreed on in “Guideline for Phase 2 Implementation.” This Guideline was developed by BDA and the Study Team based on the experiences in Phase 1, and was eventually approved by the TWG (Technical Working Group).

(1) Step 1

The Study Team requested that BDA recommend barangays for IBNA, indicating its concern over security and the need for fair geographical distribution of development benefits among the local population. Responding to this request, BDA coordinated with their local organizations (RMOs) and prepared a long list of 872 barangays out of 1,648 conflict-affected barangays in seven provinces assigned for Phase 1. (Note: the total number has increased since then to 1,672 as 24 newly created barangays were counted.)

BDA’s primary considerations were the degree of negative impact that the conflict had inflicted on the individual barangays, as well as safety for the Field Teams during fieldwork. The long list also demonstrated a relatively equitable distribution of barangays among the provinces concerned.

(2) Step 2

Based on the BDA long list, the Study Team further reduced the number of barangays first to

852 by removing 20 barangays that did not belong to the CAAM, and then reduced it to 408 by excluding barangays in which development projects had been sponsored by donors in the past. This was done by cross-examining information from different donor agencies. The Study Team eliminated barangays which had been supported by plural donors or received a project of a considerable size. For this purpose, the following development projects were cross-examined:

- Japan's Grassroots Grant Aid Program (GGP);
- World Bank's ARMM Social Fund Project (ASFP);
- USAID's Growth and Equity in Mindanao (GEM);
- EU's Support to Agrarian Reform in Central Mindanao (STARCM);
- JBIC's Malitubog-Maridagao Irrigation Development Project (MALMAR);
- World Bank's Mindanao Trust Fund (MTF);
- World Bank's Mindanao Rural Development Project (MRDP); and
- UNDP-sponsored projects for rehabilitation.

(3) Step 3

Subsequently, the Study Team discussed the actual situation in these 408 barangays with the leaders of Field Teams assigned to specific clusters, as they were local people who had the most up-to-date knowledge of the barangays. They carefully examined the barangays one by one based on the following criteria in order to prepare a shortlist for IBNA.

1) Security

Security conditions of the barangays were reexamined not only in terms of possible combat but of serious local disputes and general crimes, and as a result, some barangays in which Field Team leaders were not entirely confident were deleted from the list.

2) Absence of Project from Donors

The absence of major development projects financed by international donors was reconfirmed with the local knowledge of the Team leaders, and a few barangays in which projects were unrecorded but had actually taken place were removed from the list.

3) Inaccessibility

From a practical point of view in implementing the survey under various constraints, the Study Team had no choice but to exclude some barangays which were located in extremely remote and inaccessible areas. Yet, higher (rather than lower) priority was given to as many geographically disadvantaged communities as practical while those located close to main roads were removed from the list.

4) Effects of Conflict

Barangays that had suffered from a higher degree of negative effect from the conflict were given priority.

5) Presence of Diversified Population (Muslim, Christian and IPs)

In order to reflect the importance of facilitating religious and ethnic reconciliation, preference was given to barangays with diversified population breakdowns.

6) Topographical Representation

Some adjustments were made to secure relatively equitable representation among diversified topographical areas -- coastal (often fishing) areas, plain areas, inland areas, and mountainous/highland areas.

7) Fair Geographical Distribution

Last but not least, fair geographical distribution of barangays was secured with the rule that no more than two barangays should be selected from any one municipality. As a result, one or two barangays were selected for IBNA from as many as 72 municipalities out of the 79 municipalities in CAAM.

Readers of this report may wonder why the degree of poverty is not listed as the top selection criterion. This is because there is no consistent poverty data available at the barangay level, and thus it was assumed that poor communities were equivalent to geographically disadvantaged communities in terms of distance from national roads and in terms of the available mode of transportation. Excluding barangay that had previously benefited from major development projects also helped to raise the likelihood that poor communities were selected. The Study Team also tried to choose at least one barangay from each municipality in principle, so that as many municipalities as possible could be surveyed.

(4) Step 4

The Study Team presented the results of the above screening to BDA for their opinion. Both parties examined every individual barangay and eventually come up with a list of 91 barangays with some minor adjustments.

- After finalizing the list of 91 barangays, the Study Team recognized that there was another barangay to be added, resulting in 92 barangays for IBNA during Phase 1.

The diagram on the next page illustrates the four steps undertaken in the barangay selection process in Phase 1.

The result of IBNA will no doubt be critical for planning development assistance based on genuine, as opposed to perceived, community needs. Yet, a word of caution may be necessary here. IBNA does not statistically represent all barangays in CAAM, nor is the adopted methodology rigorous enough to justify a highly qualitative examination given the lack of verifiable information; strictly speaking, they are rather a collection of case studies.

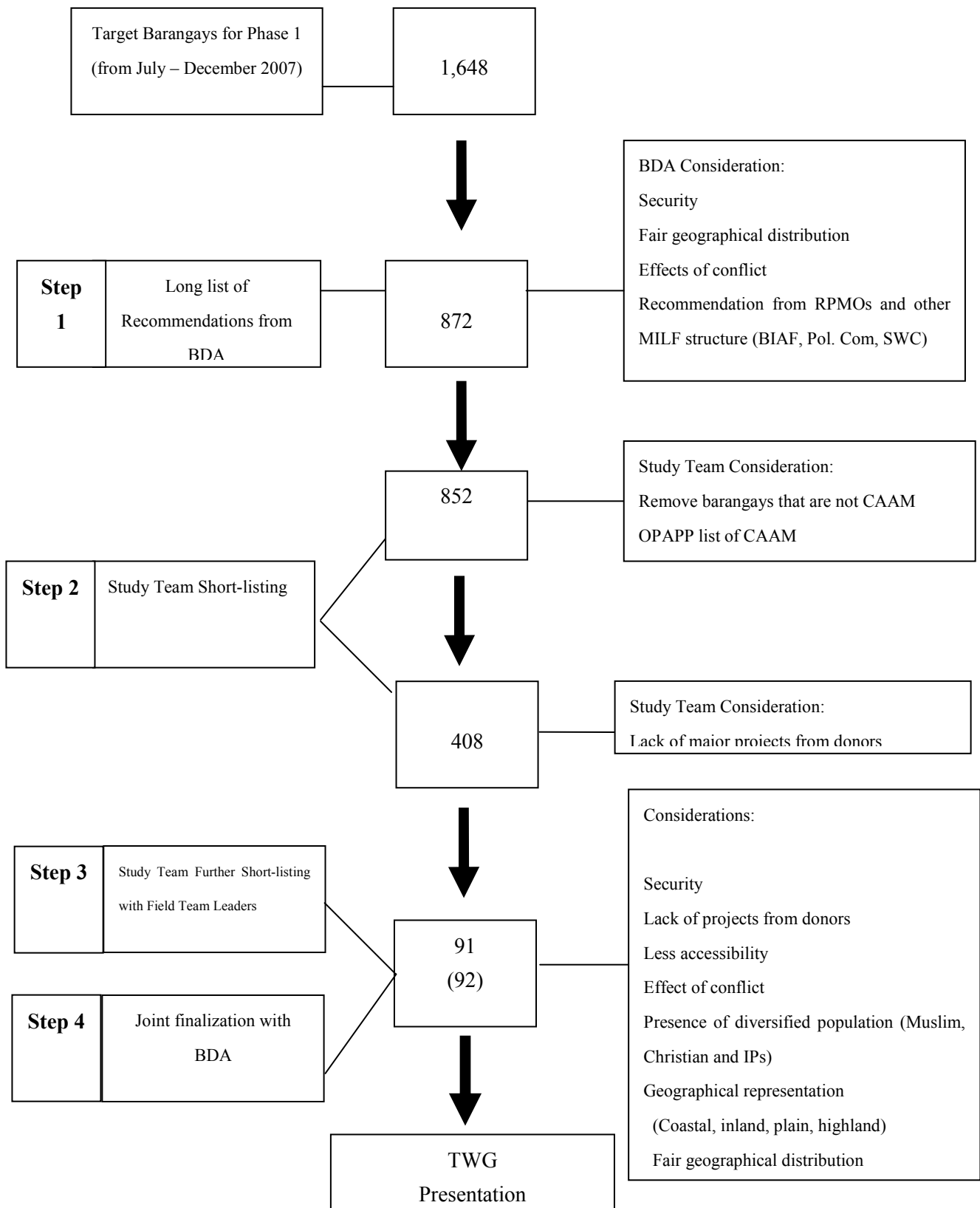


Figure 4.1-1 Steps and Criteria in Selecting Barangays for IBNA in Phase 1

The Study Team and BDA jointly modified the above selection process for 58 barangays in Phase 2. The details of the modifications are included in Guideline for Phase 2 Implementation in Appendix I-6. The steps began with a long list of barangays recommended by each RMO, but the subsequent procedures remained more or less the same, using criteria such as security, the negative effect of conflict, the number of the development projects carried out by foreign donors, accessibility, and geographical distribution. Not only CMOs, but also RMOs of BDA were involved in every step of the selection.

After the selection of IBNA barangays, the Field Teams began conducting IBNA in parallel with Barangay Profiling at enlisted barangays. The process of these field activities is summarized below.

At first, the Field Teams organized three sessions of Focus Group Discussions (FGD) with community leaders, women, and youth. Ten to fifteen participants in each of these sessions discussed development needs, their priorities, possible beneficiaries, the kind and degree of people's contributions for future development projects, the operation and maintenance of suggested projects, and any other matters associated with the projects.

Participants of FGD were selected on the basis of the conditions listed below. The Field Teams checked whether these conditions were actually met before and during FGD.

(5) General condition for FGD

- Participants must be residents in target barangay.
- Number of participants of each FGD is ideally 10-15, not to exceed 20.
- Other villagers may observe FGD but are not to disturb FGD.
- The religious and ethnical composition of participants should reflect the actual population composition in the barangay.

(6) Participants of leaders in FGD

- Participants should include at least one person from each sitio/purok and Barangay Council members.
- Women community leaders can join either the FGD of leaders or the FDG of women at their preference.

(7) Participants of women in FGD

- Participants should include at least one person from each sitio/purok and Barangay Council members.

(8) Participants of youth in FGD

- Youth are defined as people aged 15-30 for the purposes of this survey.
- Participants should include at least one person from each sitio/purok and Barangay Council members.
- It is recommendable that both male and female youths are included, if this is not uncomfortable for participants.

After these three sessions are completed, a few (usually three or four) representatives of every group travelled to participate in a unified group discussion called the Consolidated Final Session to discuss the same subjects but from the entire barangay's point of view. The development needs of their barangay were reexamined to determine priorities for that barangay. In the end, outcomes of the discussion in the Consolidated Final Session were summarized and shared among participants and at times with other barangay people as well. FGD usually took about two hours to complete and a Consolidated Final Session also required another two hours on average.

In addition to the facilitation of FGD, the Field Teams made field observations on the conditions of target barangays to verify the development needs FGD specified and to obtain supplemental information. This activity was very important not only to confirm development needs expressed by local people but also to determine how to meet the needs effectively in the future.

(9) Reporting

The leaders of Field Teams examined the results of fieldwork before reporting periodically (normally every weekend) to the Study Team in a comprehensive manner. Their reports included a brief discussion on the feasibility and inhibiting factors in supporting local people by launching assistance projects. At the end of the assignment period, the Field Teams submitted their final reports, which summarized their activities and findings.

(10) Responsibilities of the Database Team

Apart from the data encoding of Barangay Profiling, the Database Team undertook the following activities for IBNA. This Team worked at the project office set out in Cotabato city for Phase 1, and at offices in both Cotabato city and Zamboanga city for Phase 2.

- Cross-examination and clarification of the contents of reports submitted by the Field Teams
- Recording the outcome of IBNA into a format which the Study Team designed.
- Effective presentation of the outcome of IBNA

4.2 ACCOMPLISHMENT OF IBNA

4.2.1 Overview

Similar to the procedure used to finalize the methodology and time schedule of Barangay Profiling, first a trial survey was carried out in two barangays in Aleosan Municipality, North Cotabato Province in March 2007. After reviewing the results of the trial survey, the methodology and time schedule for IBNA were finalized in June 2007. Subsequently, the Study Team carried out FGD in Barangay Kayaga, Kabacan, North Cotabato in June. This was intended to ensure the Field Teams' understanding of the methodology.

In the second week of July, all seven Field Teams began field activities for Phase 1 under close monitoring by the Study Team. The fieldwork progressed well in general without serious obstacles even during the period of fierce fighting reported in Basilan. The Study Team invited the Field Team leaders to a workshop at the Cotabato office about once a month to share their experiences. The leaders discussed facilitating factors, inhibiting factors, and lessons learned while implementing IBNA. The tips and hints from these workshops helped the leaders to improve coordination, survey methodology, and team management. The issues discussed in the workshops will be summarized in the latter part of this chapter.

As the field activities progressed, the targeted barangays had to be replaced with other barangays in nine cases, mainly because of security reasons. The nine cases are shown in Table 4.2-1.

Table 4.2-1 Reasons for Delisting IBNA Sites

Province	Municipality	Original Barangay	Changed Barangay	Reasons to be changed
Lanao del Sur	Bayang	Pantar	Bandingun	Insecurity - Ongoing tensions from family feuds or <i>rido</i> - As a result, only a few families remain in the barangay
Lanao del Sur	Tubaran	Gadungan	Alog	Insecurity - Presence of family feuds or <i>ridos</i> and ongoing tension
Maguindanao	Shariff Aguak	Bialong	Labu-Labu	Insecurity - Encounter between MILF forces and CAFGI (Citizen Armed Forces Geographical Unit) with the intervention of AFP
Maguindanao	Barongis	Langgapan	Masulot	Insecurity - An alleged kidnapping by a criminal group
Maguindanao	Guindolongan	Datalpandan	Sampao	Inaccessibility and insecurity - Presence of an armed group
Maguindanao	Datu Unsay	Tuntungan	Meta	Inaccessibility and insecurity - Presence of an armed group

Province	Municipality	Original Barangay	Changed Barangay	Reasons to be changed
North Cotabato	Carmen	Kibenes	Lanoon	Record of major development projects by GEM, DSWD, UNMDP, DTI (Department of Trade and Industry), MUCARD (Muslim-Christian Aid and Religious Dialogue) and others
Sultan Kudarat	Senator Nenoy Aquino	Kulaman	Midtungok	Record of major development projects by GEM and the government
Sultan Kudarat	Palimbang	Namat	Kanipaan	Insecurity - Ongoing tension caused by conflicts with MILF and so-called MNLF lost commands

In Phase 1, as Table 4.2-2 indicates, the Field Teams completed surveys in 92 barangays in total, or 101% of the total 91 barangays targeted for Phase 1; one additional barangay was surveyed. During Phase 2, on the other hand, 48 barangays or only 83% of the total 58 targeted barangays were surveyed owing to cases in which fieldwork was partially or fully suspended, as reported in Chapter 1.

Table 4.2-2 Number of barangays that completed IBNA for Phase 1

Field Teams	Number of Total Barangays in Phase 1	Target in %	Number of Targeted Barangays as of 31 Dec	Number of Barangays Surveyed as of 31 Dec	Progress in %
CMYS	22	100%	22	23	101%
PPRD	11	100%	11	11	100%
MERN	58	100%	58	58	100%
Total	91	100%	91	92	101%

Table 4.2-3 Number of barangays that completed IBNA for Phase 2

Field Teams	Number of Total Barangays in Phase 2	Target in %	Number of Targeted Barangays as of 31 Oct	Number of Completed Barangays as of 31 Oct	Progress in %
CMYS	15	100%	15	14	94%
PPRD	23	100%	23	16	70%
IBS	19	100%	19	17	89%
Demo	1	100%	1	1	100%
Total	58	100%	58	48	83%

4.2.2 Facilitating Factors

In order to learn from experiences, it is helpful to review those factors that facilitated IBNA fieldwork.

(1) Support from LGU

Similar to Barangay Profiling, LGU (Mayors, Vice Mayors, municipal councils, and municipal administrators) were generally cooperative and helped Field Teams coordinate with target barangays.

(2) Enthusiasm of Barangays

The enthusiastic and active attitude of people participating in FGD also made the IBNA successful. They showed their appreciation of the fact that they were consulted about their development by the Study Team, even though they fully understood that an IBNA itself did not guarantee that any projects would be carried out. IBNA gave them an unusual opportunity to express what they felt about the future development of their barangay and thereby gave them a feeling of recognition and respect. Some participants said that this kind of opportunity for participation was rare and that they had not been consulted in past development projects, which thus had failed to benefit many villagers.

It can also be said that IBNA contributed to dialogue and peace among villagers. The CAAM residents have such diversified backgrounds in terms of religion, ethnicity and political affiliation that open discussion within individual barangays is not always easy to manage. We believe that IBNA was conducive to the development of people's sense of ownership for the community development process.

(3) Support from BDA catalyts

The active involvement of local BDA workers (Provincial, Municipal and Barangay Development Catalyts) also contributed to the smooth conduct of IBNA. This demonstrated to local residents the institutional commitment of BDA in SERD-CAAM.

4.2.3 Lessons Learned

The above factors provided a generally favorable environment for the Field Teams in their efforts to conduct IBNA, but they faced some challenges in the course of implementation as well. These must be recognized to avoid similar shortcomings in the future. Some were with the same as the lessons discussed concerning Barangay Profiling in Chapter 1.

(1) Logistic and administrative challenges at LGU and BDA

The Field Teams encountered several logistical and administrative challenges in IBNA, even more than in the case of Barangay Profiling. This can be attributed to IBNA's requirement for more careful advance arrangements in terms of schedule, venue (on site, three separate spaces for three sectors), selection of participants, the preparation of food for them, security, and so on. Thus, implementing the IBNA was not an easy task.

In addition, there were administrative hitches in coordinating with LGU and BDA. Examples included the late arrival of coordination letters from OPAPP, which caused the postponement of IBNA, or barangay officials who were too busy in their election campaign to support the Field Teams.

On the BDA side, as already mentioned, many Barangay Development Catalysts of BDA normally played an active role in IBNA. However, some barangays simply did not have Barangay Development Catalyst. Particularly in Sarangagani and South Cotabato Provinces, the Field Teams could not rely on them to coordinate with barangays. In future similar studies, if Barangay Development Catalyst is not available in the target barangay, coordination by the Municipal Development Catalyst should be ensured in advance, as done in some cases of SERD-CAAM.

(2) Selection of target barangays

Some LGUs asked the Field Teams about the process for selecting target barangays for IBNA, and some even requested that the selected barangays be replaced with other barangays of their preference. They insisted that they should have been given a chance to participate in the selection process. This might sound reasonable but was actually not very practical given the time constraints of the survey.

In response to such inquiries, the Field Teams tried to thoroughly explain the selection process, including the objective basis from step 1 to step 4, as described in 5.1. However, it sometimes took time to persuade LGU officials, especially mayors, to accept the original selections. This may be because they did not receive proper orientations on IBNA (or the SERD-CAAM as a whole). The importance of coordination with LGUs must be recognized for the future activities.

One possible solution would be to hold a Municipal Orientation workshop before Field Teams conduct IBNA site visits for coordination with BLGUs. In this workshop, Field Team would explain IBNA in terms of objective, selection process, methodology, and linkage with future projects. They will answer the questions raised by the Municipality officials.

(3) Accessibility and Security of Barangays

Some barangays were simply not accessible, even by four-wheel vehicles, and particularly on rainy days. The Field Teams had to use motorcycles, boats, and even horses to reach extremely remote barangays.

(4) Difficulty in Fair Representation

In principle, the selection of participants in FGD was supposed to reflect the population

composition of a barangay in terms of religion, ethnicity, and geography. However, in reality, it was sometimes difficult to comply with this condition. Some sitios/puroks were not properly represented, especially in the leaders' sessions, due to the lack of advanced coordination among residents. When this happened, the best option for Field Teams was to suggest that the gathered participants consider the development needs from the point of view of the entire barangay. In the future, fair representation should be enhanced by closer and more advanced coordination with BLGUs and BDA catalyts.

Although the number of participants was supposed to be limited to 15 and not exceed 20, it was also challenging for the Field Teams to keep other interested villagers from talking. When they disturbed FGD by making noise from outside of the sessions, the Field Teams let them speak but at the same time tried to limit their influence on FGD. The use of a closed venue, if available, could resolve this.

(5) Linkage with OSA

In the course of IBNA, Field Teams were expected to not only sort out three priority development needs, but also elicit the potential OSA needs and propose them to the Study Team. However, since this requires that Field Teams have more sophisticated facilitation skills to break down priority development needs, it was simply beyond their ability. As a result, Field Teams couldn't provide the reporting necessary for the Study Team to examine the feasibility, validity and other conditions for potential OSA needs. Thus, since the Study Team had to revisit those barangays on its own, extra resource ended up being spent on the Study.

To simplify this task, a common reporting format and guidelines for potential OSA needs should be developed and provided to the Field Teams. These documents can help the Field Team list the conditions by simply following the guideline.

4.3 RESULTS OF PHASE 1 AND 2

Table 4.3-1 and Table 4.3-2 on the next page summarize major developments needs identified through IBNA in 140 barangays. Table 4.3-1 indicates the top priority needs expressed in three sessions of FGDs and Consolidated Final Session. Meanwhile, Table 4.3-2 lists important three needs, namely primary needs in addition to secondary and tertiary needs. These development needs will be analyzed in details in the following chapter.

Table 4.3-1 Summary of the Top Priority Needs of IBNA

LEADER'S GROUP

Development Needs	Number of Barangay	Rank
Road	43	1
Farm Equipment, Facilities, Inputs	22	2
Water System	18	3
Multi-Purpose Center	14	4
Bridge	7	5
School Building	7	5
Madrasah	6	6
Irrigation Facilities	5	7
Electrification	3	8
Water Control	3	8
Barangay Hall	2	9
Daycare Center	2	9
Fishing Equipment/Facilities	2	9
Livelihood	2	9
Health Center	1	10
Hospital	1	10
Housing Projects	1	10
Sports Facilities	1	10
Total	140	

WOMEN'S GROUP

Development Needs	Number of Barangay	Rank
Water System	31	1
Road	21	2
Livelihood	14	3
Health Center	13	4
Multi-Purpose Center	10	5
School Building	10	5
Farm Equipment/Facilities	8	6
Madrasah	7	7
Electrification	6	8
Bridge	5	9
Daycare Center	3	10
Irrigation Facilities	3	10
Water Control	2	11
Barangay Pharmacy	1	12
Fishing Equipments/Facilities	1	12
Hospital	1	12
Housing Projects	1	12
Medical Supplies & Equipments	1	12
Sanitary Toilet	1	12
Sports Facilities	1	12
Total	140	

YOUTH GROUP

Development Needs	Number of Barangay	Rank
Road	20	1
Water System	18	2
School Building	15	3
Farm Equipment/Facilities	14	4
Madrasah	13	5
Sports Facilities	13	5
Multi-Purpose Center	8	6
Health Center	6	7
Livelihood	5	8
Scholarship	5	8
Bridge	4	9
Electrification	4	9
Fishing Equipment/Facilities	3	10
Barangay Hall	2	11
Irrigation Facilities	2	11
Water Control	2	11
Daycare Center	1	12
Hospital	1	12
Housing Projects	1	12
Mosque	1	12
Public Market Building & Terminal	1	12
Sanitary Toilet	1	12
Total	140	

Consolidated Final Sessions

Development Needs	Number of Barangay	Rank
Road	35	1
Water System	23	2
Farm Equipment/Facilities	16	3
Multi-Purpose Center	12	4
School Building	12	4
Livelihood	8	5
Madrasah	7	6
Bridge	6	7
Health Center	5	8
Water Control	4	9
Electrification	3	10
Irrigation Facilities	3	10
Fishing Equipment/Facilities	2	11
Barangay Hall	1	12
Hospital	1	12
Housing Projects	1	12
Sport Facilities	1	12
Total	140	

Table 4.3-2 Summary of the Three Prioritized Needs of IBNA

Leader's Group Sessions		
Development Needs	Number of Barangay	Rank
Road	77	1
Farm Facilities/Equipment	68	2
Water System	57	3
Multi-Purpose Center	40	4
School Building	32	5
Health Center	21	6
Madrasah	19	7
Fishing Equipment/Facilities	15	8
Livelihood	15	8
Bridge	13	9
Electrification	12	10
Irrigation Facilities	10	11
Housing Project	7	12
Water Control	7	12
Sports Facilities	6	13
Barangay Hall	4	14
Daycare Center	4	14
Mosque	2	15
Sanitary Toilet	2	15
Transportation	2	15
Capacity Building	1	16
Culvert	1	16
Emergency Facility	1	16
Fencing	1	16
Hospital	1	16
Public Market Building	1	16
Scholarship	1	16
Total	420	

Women's Group Sessions

Development Needs	Number of Barangay	Rank
Water System	59	1
Livelihood	54	2
Road	47	3
Health Center	45	4
School Building	33	5
Farm Equipment/Facilities	29	6
Multi-Purpose Building	26	7
Madrasah	24	8
Sanitary Toilet	13	9
Bridge	12	10
Electrification	12	10
Daycare Center	9	11
Barangay Pharmacy	6	12
Irrigation Facilities	6	12
Fishing Equipment/Facilities	5	13
Housing Project	5	13
Scholarship	5	13
Barangay Hall	4	14
Fencing	4	14
Medical Supplies & Facilities	4	14
Water Control	4	14
Emergency Facilities	2	15
Hospital	2	15
Sports Facilities	2	15
Transportation	2	15
Culvert	1	16
Garbage Facilities	1	16
Mosque	1	16
Non-Formal Education	1	16
Public Market Building	1	16
Waiting shed	1	16
Total	420	

Youth Group Sessions

Development Needs	Number of Barangay	Rank
Sports Facilities	51	1
Road	43	2
Water System	42	3
Farming Equipments/Facilities	41	4
School Building	33	5
Multi-Purpose Center	29	6
Madrasah	29	6
Health Center	23	7
Livelihood	17	8
Electrification	15	9
Bridge	14	10
Sanitary Toilet	13	11
Fishing Facility	11	12
Scholarship	8	13
Water Control	6	14
Housing Project	5	15
Mosque	5	15
Barangay Hall	4	16
Barangay Pharmacy	4	16
Irrigation Facilities	4	16
Daycare Center	3	17
Waiting shed	3	17
Fencing	2	18
Library	2	18
Medical Supplies & Equipments	2	18
Public Market Building	2	18
Transportation	2	18
Entertainment	1	19
Emergency Facilities	1	19
Hospital	1	19
Non-Formal Education	1	19
Plaza	1	19
School Pathway	1	19
Tourism	1	19
Total	420	

Consolidated Final Sessions

Development Needs	Number of Barangay	Rank
Road	64	1
Farm Equipment/Facilities	58	2
Water system	55	3
Multi-Purpose Center	37	4
School Building	32	5
Health Center	29	6
Livelihood	24	7
Madrasah	22	8
Bridge	12	9
Fishing Facilities/Equipment	12	9
Sports Facilities	10	10
Electrification	9	11
Water Control	8	12
Irrigation Facilities	7	13
Housing Project	6	14
Daycare Center	5	15
Barangay Pharmacy	5	15
Barangay Hall	4	16
Sanitary Toilet	4	16
Scholarship	4	16
Fencing	3	17
Mosque	2	18
Transportation	2	18
Hospital	1	19
Library	1	19
Medical Supplies and Equipments	1	19
Non-Formal Education	1	19
Public Market building	1	19
Waiting shed	1	19
Total	420	