

## The Philippine Environmental Governance 2 Project

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# Year 3 Work Plan

October 2006 - December 2007

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This project is implemented by Development Alternatives, Inc. with the support of its subcontractors:

- Cesar Virata & Associates, Inc.
- Deloitte Touche Tohmatsu Emerging Markets
- The Marine Environment and Resources Foundation, Inc.
- The Media Network
- Orient Integrated Development Consultants, Inc.
- Resources, Environment and Economics Center for Studies, Inc.

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## PREFACE

The United States Agency for International Development (USAID), through its Mission to the Philippines, has contracted Development Alternatives, Inc. (DAI) to implement the Environmental Governance 2 Project (EcoGov 2) under Contract 492-C-00-04-00037-00. The effective date of the contract is October 1, 2004 through September 30, 2009, with a two year option period to September 30, 2011. DAI implements the project with the assistance of four Philippines organizations—Orient Integrated Development Consultants, Inc. (OIDCI); Resources, Environment and Economic Center for Studies (REECS); the University of the Philippines' Marine Environment and Resources Foundation (MERF); and Cesar Virata & Associates (CVAI)—and two American firms—the Deloitte Emerging Markets Group (EMG) and The Media Network.

Prior to the close of each operating year, the Contract requires DAI to submit an annual work plan covering a period of fifteen months. Per the Contract, the work plan should present the performance objectives for the period, the expected activities, the relationship between the activities/objectives and overall contract objectives, the completion date for the activities, cost estimates for major contract elements, and critical assumptions to accomplish the work.

This work plan consists of three major sections. The first is an overview of the project and the strategies for implementing the 2006/2007 work plan. The work plan then presents detailed plans for each of six Contract Line Item Numbers (CLINs), which themselves correspond to the target areas in the Contract Scope of Work. The final section consists of Gantt charts showing an estimated timeline for each activity area.

This work plan follows from the Life of Project Work Plan, submitted in December, 2004, and from feedback from the Philippines Department of Environment and Natural Resources and other counterparts at a workshop held at the Hyatt Hotel in Manila on August 29 and 30, 2006. The initial draft was submitted to USAID on September 8, 2006, and this revised, final version incorporates the comments of the USAID CTO and other personnel from the USAID/Philippines Office of Energy and the Environment.

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## ACRONYMS

AIDAR	- USAID Acquisition Regulation
AP	- Assisting Professional
APS	- Annual Program Statement
ARMM	- Autonomous Region in Muslim Mindanao
BEMO	- Bohol Environment Management Office
BIR	- Bureau of Internal Revenue
CADT	- Certificate of Ancestral Domain Title
CBFM	- Community-Based Forest Management
CBFMA	- Community-Based Forest Management Agreement
CCN	- Cooperating Country National
CENRO	- Community Environment and Natural Resources Office
CLIN	- Contract Line Item Number
CLUP	- Comprehensive Land Use Plan
CMMD	- Coastal and Marine Management Division\
CoP	- Chief of Party
CRFC	- Coastal Resources and Fisheries Conservation
CRM	- Coastal Resources Management
CTO	- Cognizant Technical Officer
CVAI	- Cesar Virata & Associates, Inc.
DA-BFAR	- Department of Agriculture–Bureau of Fisheries and Aquatic Resources
DAI	- Development Alternatives, Inc.
DA-NMIS	- Department of Agriculture-National Meat Inspection Service
DAO	- Department Administrative Order
DBM	- Department of Budget and Management
DCoP/MA	- Deputy Chief of Party for Management and Administration
DENR	- Department of Environment and Natural Resources
DILG	- Department of the Interior and Local Government
ECC	- Environmental Compliance Certificate
EcoGov	- The Philippine Environmental Governance Project
EMB	- Environmental Management Bureau
EMG	- Deloitte Emerging Markets Group
ENR	- Environment and Natural Resources
ENRD	- Environment and Natural Resource Division
FAO	- Food and Agriculture Organization
FFM	- Forests and Forest Lands Management
FISH BE	- Fisheries Bio-Economic Model
FISH	- Fisheries Improved for Sustainable Harvest
FLET	- Fishery Law Enforcement Team
FLUP	- Forest Land Use Plan
FMB	- Forest Management Bureau
FRM	- Fishery Resource Management
FRMP	- Fisheries Resource and Management Program
GIS	- Geographical Information System

GoAd	- Governance and Advocacy
GPOA	- General Plan of Action
GPS	- Global Positioning System
GRP	- Government of the Republic of the Philippines
IBRA	- Illana Bay Regional Alliance
IEC	- Information, Education and Communication
IFMA	- Industrial Forest Management Agreement
IPR	- Individual Property Rights
IQS	- Indefinite Quantity Subcontract
IRA	- Internal Revenue Allotment
IRR	- Implementing Rules and Regulations
ISWM	- Integrated Solid Waste Management
LCP	- League of Cities of the Philippines
LGU	- Local Government Unit
LMP	- League of Municipalities of the Philippines
LOP	- Life of Project
LPP	- League of Provinces of the Philippines
LSP	- Local Service Provider
LTTA	- Long-Term Technical Assistance
M&E	- Monitoring and Evaluation
MBA	- Master in Business Administration
MENRO	- Municipal Environment and Natural Resources Office
MERF	- Marine Environment and Resources Foundation
MFO	- Major Final Output
MMAA	- Muslim Mindanao Autonomy Act
MoA	- Memorandum of Agreement
MPA	- Marine Protected Area
MPDO	- Municipal Planning and Development Office
MRF	- Materials Recovery Facility
MSU	- Mindanao State University
MTPDP	- Medium-Term Plan for Development of the Philippines
NAECTAF	- National Anti-Environment Crime Task Force
NEDA	- National Economic and Development Authority
NGO	- Non-Government Organization
NIA-	- National Irrigation Authority
NIPAS	- National Integrated Protected Area System
NSWMC	- National Solid Waste Management Commission
O&M	- Operation and Management
OIDCI	- Orient Integrated Development Consultants, Inc.
PAMB	- Protected Area Management Board
PAO	- Provincial Agricultural Office
PAOCC	- Presidential Anti-Organized Crime Commission
PENRO	- Provincial Environment and Natural Resources Office
PFARO	- Provincial Fisheries and Aquatic Resources Office
PLGU	- Provincial Local Government Unit
PNOC	- Philippine National Oil Company

PO	-	People's Organization
PPDO	-	Provincial Planning and Development Office
PWPA	-	Philippine Wood Producers Association
PWRF	-	Philippine Water Revolving Fund
RA	-	Republic Act
REECS	-	Resources, Environment and Economic Center for Studies
SCOTIA	-	Sustainable Coastal Tourism in Asia
SO	-	USAID's Strategic Objective
SOW	-	Scope of Work
STTA	-	Short-Term Technical Assistance
SWAPP	-	Solid Waste Management Association of the Philippines
SWM	-	Solid Waste Management
TBD	-	To be determined
TWG	-	Technical Working Group
UEM	-	Urban Environmental Management
UNDP	-	United Nations Development Programme
US EPA	-	United States Environmental Protection Agency
USAID	-	United States Agency for International Development
USAID/ORP	-	Operations Research Project
WWF	-	World Wide Fund for Nature
WWM	-	Wastewater Management
ZDS	-	Zamboanga del Sur



## 1. PROJECT OVERVIEW

The Philippine Environmental Governance 2 Project (EcoGov 2) works with the Government of the Republic of the Philippines (GRP) Department of Environment and Natural Resources (DENR) to provide technical assistance for the implementation of activities resulting in improved environmental governance by the project's local and national counterparts, improved management of forests, coastal areas, and solid waste, and the promotion of local government investment in sanitation facilities. EcoGov 2 fits within USAID's Strategic Objective 4 (SO 4) for strengthening the management of productive and life-sustaining natural resources and within the overall Mission goal of enhanced security, governance, and capacity for sustainable and equitable economic growth.

EcoGov's long-term vision is to conserve biological diversity by addressing problems of open access and mitigating natural resource-based conflicts in priority eco-regions. By contract, EcoGov 2 runs from October 1, 2004 through September 30, 2009, with a subsequent two-year option.

The project complements or directly supports the GRP's Medium Term Plan for Development of the Philippines (MTPDP) and the DENR's major final outputs (MFOs). Over the fifteen-month period of the project's Year 3 Work Plan (October 1, 2006 – December 31, 2007), the project team, following the leadership of DENR Secretary Reyes, will directly or indirectly support seven items in the Department's 12 Point Agenda. Specifically, the project will support the following Agenda Items:

- Agenda 2** – Manage the major river basins to generate water resources that are free from contamination, provide more economic opportunities, and control flooding.
- Agenda 3** – Improve the management of solid waste.
- Agenda 4** – Vigorously pursue forest development in watersheds, protected areas, and other upland areas suitable for protection.
- Agenda 5** – Intensify industrial tree plantations in degraded idle areas, especially agro-forestry utilizing fruit trees and other cash crops.
- Agenda 10** – Undertake social mobilization to ensure that communities are involved in the protection of the environment.
- Agenda 11** – Prevent or minimize loss of lives and property during disasters through the completion of geo-hazard maps.
- Agenda 12** – Promote transparency, efficiency, accountability, and consistency in the conduct of our work.

Project support for these Agenda calls for (a) improving management of wastewater, solid waste, watersheds, locally established marine protected areas, and occupied or bare forest lands for small-scale agroforestry or perennial high value crops; (b) promoting social equity and protecting communities from natural hazards and calamities; and (c) promoting good environmental governance within the DENR and through the local government units (LGUs) and community organizations.

EcoGov 2 works in five technical areas and four geographic regions in the country. It also incorporates several cross-cutting elements in its technical approach to improve national and local government policies and increase public awareness. The technical areas, which the implementation team refers to as sectors, correspond to five Contract Line Item Numbers (CLINs)<sup>1</sup>, as follows.

**CLIN 0001: Strengthened Government Institutions**, with a five-year target of improving the capacity of 80 LGUs to apply better governance practices in the management of their natural resources. The team uses a combination of advocacy, social marketing, public awareness (e.g., information, education and communication or IEC methods), and local-level policy support to achieve its goals in this sector. (Referred to in this report as the Governance and Advocacy sector, or GoAd.)

**CLIN 0002: Improved Forest Management**, aimed at reducing illegal logging and conversion of forest lands and with five-year targets of (a) placing over 250,000 ha of natural forest under improved management, and (b) improving the productive development of 14,000 ha of forest. (Referred to in this report as the forests and forest lands management sector, or FFM.)

**CLIN 0003: Improved Coastal Resources Management (CRM)**, aimed at reducing destructive and over-fishing and with five-year targets of (a) placing 106,000 ha of coastal area under improved management, (b) establishing 20 new marine sanctuaries, and (c) improving the management of 50 existing marine sanctuaries. (Referred to in this report as the CRM sector.)

**CLIN 0004: Improved Waste Management**, with a five-year target of diverting 25 percent of solid waste from disposal sites (such as open and controlled dumps, and sanitary landfills) through recycling and composting in 90 LGUs. (Referred to in this report as the urban environmental management sector, or UEM.)

**CLIN 0005: Municipal Investment in Sanitation**, with a five-year target of promoting public and private investment in wastewater management in 20 LGUs. (Referred to in this report as the municipal finance sector.)

Certain elements of the project are not captured in any single CLIN, but are clearly part of the Contract and/or the approach. These include promotion of transparent, accountable, participatory, and gender inclusive processes; organizational strengthening of national- and provincial-level line agencies; the enhancement of policies and law enforcement; and a commitment to measuring improved health at a household level.

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<sup>1</sup> There is also a CLIN 0006 for Management and Administration. This CLIN accounts for those costs, such as office rent, that cannot be precisely allocated to a single sector.

EcoGov 2 works in four broad geographic areas: northern Luzon, Central Visayas, western (peninsular) Mindanao, and southern-central Mindanao. The project maintains fully staffed offices in the following areas:

**Manila:** maintaining Sector Leaders and senior policy specialists who work with national level agencies and who provide technical leadership in carrying out field efforts.

**Solano:** serving LGUs in northern Luzon's Region 2 and 3, with remote personnel in Maddela.

**Cebu City:** serving LGUs in Central Visayas, with remote personnel in Camotes Island, Tagbilaran, and Dumaguete.

**General Santos City:** serving LGUs in the central, southern, and eastern portions of Mindanao, including partners from the Autonomous Region in Muslim Mindanao, with remote personnel in Isulan and Davao City.

**Zamboanga City:** serving LGUs in western/peninsular Mindanao and Basilan, with remote personnel in Ipil and Pagadian City.

At the national level, EcoGov partners with the DENR and several of its bureaus. The project also works with the national offices of the Leagues of Municipalities, Cities, and Provinces (LMP, LCP, and LPP, respectively). At regional and local levels, the project works with the provincial and municipal offices of the DENR, Department of Agriculture's Bureau of Fisheries and Aquatic Resources (DA-BFAR), Department of the Interior and Local Government (DILG), and directly with LGUs – provinces, cities, municipalities. At all levels, the project works with non-government and civil society organizations, academic institutions, and local service providers who are stakeholders or partners in project success.

### **1.1. Strategies for Implementing the Year 3 Work Plan**

As with any multi-year effort, the implementation team takes each new year's work plan as an opportunity for adaptive management. We consider our efforts to date—the successes and the failures—to redesign activities in order to most efficiently meet contract targets. During the past year, the project moved from a participatory planning focus to one of implementation with partner LGUs, such that LGUs embraced the environmental management functions which the national government has devolved to them. We also expanded our work into adjoining LGUs and by formalizing our relationship with eight provincial governments. Lastly, DENR field units became more involved as implementation counterparts.

A significant push of the project, across all sectors, has been to convince partner LGUs and communities of the long-term impact of protecting and improving their natural resource assets. Our message has been that good environmental governance pays. Thus, we have seen increased counterpart funding from LGUs, increased environmental awareness by communities, and more active participation. Increasing available funds for environmental initiatives through leveraging and co-financing has caught the attention of local and national agencies.

Overall, the project has achieved most of its planned objectives and targets for Year 2. Nonetheless, there were shortfalls in forestry, solid waste, and sanitation which suggest that our strategies may be too intensive to be efficiently replicated. The later sections of this Work Plan specifically address our revised strategies in those sectors. Still, the lessons from our work to date—the better understanding of the processes and constraints to LGU implementation of devolved and decentralized environmental management functions—may outweigh the shortfalls. We are heartened by the many success stories in EcoGov-assisted LGUs. In particular, we have seen LGUs become more transparent, accountable, participatory, and functional as environmental managers.

In July 2006, EcoGov supported a DENR-USAID SO4 review and assessment in Mindanao. This was followed in August by a series of partner meetings to highlight the challenges and opportunities for Year 3.

- **There is great demand for EcoGov services.** This demand outstrips the project’s ability to provide such services, at least on a retail level. (By “retail,” we mean a modality where project personnel provide support to LGUs or counterparts on a one-to-one, intensive level.) In response, we will put greater emphasis on “wholesale” approaches, including: (1) establishing advanced partner LGUs as “learning sites” for nearby LGUs to visit; (2) working more with provincial governments and federations that can reach out to more possible beneficiaries; (3) consciously “mainstreaming” our work within DENR regional and LGU offices so that government personnel can replicate our work.
- **Promotion of business and business-like methods may be most appropriate.** Particularly in the waste and sanitation sectors, the project will help LGUs create the institutional conditions that allow private businesses to provide services, or we will encourage LGUs to create their own business-like entities. If successful, an entrepreneurial strategy could also work in forest concessions, mariculture zones, and ecotourism areas.
- **The EcoGov protocol for formalizing partnerships is now a model for others.** Since 2004 [under the EcoGov 1 contract], we have used memoranda of agreement (MoAs) to specify the responsibilities of the project, given partner LGUs, and other stakeholders, particularly the DENR. These MoAs have proved successful in promoting accountability by our partners. We are encouraging LGUs to use such MoAs with the DENR and other stakeholders (e.g., people’s organizations, religious bodies, law enforcement agencies, businesses, financiers) to further institutionalize commitment to good environmental governance.
- **LGUs are beginning to value forest lands and coasts as natural resource assets.** As such, LGUs are more willing to invest in such assets. EcoGov will help LGUs do this by broadening their sources of local revenues through taxation, private investments, co-investments, co-management agreements, small enterprise (e.g., ecotourism) and charging payment for environmental services.

- **There are new opportunities in ARMM and Muslim areas.** Based on our continued work and developing of personal relationships with leaders in ARMM and Muslim-dominated LGUs, plus the change in the ARMM political leadership, we see more opportunities in this region. In addition to strengthening ongoing work in Illana Bay and Sultan Kudarat, we expect to promote FLUPs in five ARMM LGUs, expand work in Lanao del Sur (especially in Marawi City and Bumbaran), and collaborate with other projects in Tawi-Tawi, Sulu, and Basilan.

### *Macro-Level Constraints*

Macro-level constraints are those that the project does not necessarily have the mandate or ability to address directly. Our strategies must be effective within these confines.

1. The magnitude and extent of LGU environmental management responsibilities is far greater than the concomitant amount of IRA funding. The annual average IRA of a municipality is PhP 500/capita (roughly USD 10) and PhP 1000/capita in cities (USD 20). LGUs can either better spend their IRA funds, or must expand their revenue through collection of taxes and user fees and through co-investments.
2. LGUs deciding to spend funds on environmental management are comparing that investment to equal development challenges in health and poverty alleviation, and enterprise promotion. Rarely are LGUs making environmental management decisions in a vacuum.
3. Many LGUs and some DENR field offices do not see unmanaged solid waste and wastewater as the crisis that it could become in terms public health, safety, and economic investment. The DENR, civil society, and media need to put these issues on the “public screen.”
4. As always, changes in DENR leadership and priorities and local elections [in May 2007] can distract project partners from implementation. This is particularly true with possible delays of issuance of project-assisted policies. The challenge for the project is to show local officials that a good environmental agenda is not necessarily contrary to a winning political agenda—that a mayor who solves environmental problems will be remembered fondly at the polls.
5. The suspension of issuance of various forest tenure instruments (e.g., Industrial Forest Management Agreements, Social Integrated Forest Management Agreements, and Community-Based Forest Management Agreements) in August 2005, continuing suspension of timber harvesting rights on public forest lands by CBFMA holders, and the ongoing review of canceled CBFMAs continue to undermine investment in, and protection of, forest lands. These suspensions undermine the MoAs between LGUs and the DENR for implementing approved forest land use plans.

### *Cross-Cutting Implementation Strategies*

EcoGov 2 employs several strategies that cut across each of its sectors. Such strategies will deepen and expand project impact in Year 3.

#### **The project will encourage LGUs to adopt an entrepreneurial perspective to environmental management.**

We will engage technical specialists to review LGUs' plans for waste management and sanitation, and business specialists to package those plans for investors. The business specialists will focus on contracts, financing, ordinances, and guarantees that encourage investment. We envision any and all of the following in the coming year.

- LGUs will charge fees for completed services (e.g., waste collection), impose penalties for non-compliance, and raise business taxes for environmental services. (Note that in many cases, taxes are non-existent or are negligible.)
- LGUs will either outsource waste and sanitation services, or will create separate cost centers that are forced to be efficient.
- LGUs will manage key facilities—public markets, slaughterhouses, recreation areas—as revenue centers that subsidize other services.
- LGUs will openly outsource particular services (e.g., designating junk shop operators as the collectors of all recyclables; allowing a private composting facility to collect biodegradable material from particular areas).
- LGUs will choose simple and appropriate technologies for waste and sanitation
- LGUs will enter into co-investment or co-financing arrangements with the private sector, non-government organizations (NGOs), or individual operators.

#### **EcoGov will work with existing clusters of LGUs, and with provincial governments and DENR regional officers to form new clusters of LGUs.**

Clustering creates financial economies of scale for waste management and geographic economies of scale for terrestrial and marine protected areas. Clustering also creates institutional economies of scale that allow for networks of LGUs, GRP partners, and civil society to work together, share information, and encourage one another's progress. Lastly, at the project level, clusters offer more efficient use of operational funds.

- In FFM, our focus in northern Luzon will be on tenure holders with responsibility for large areas of natural forest, particularly in Quirino and Nueva Vizcaya. In Central Visayas, we will work with LGUs to place co-managed areas under improved management. In Mindanao, we will work with LGUs surrounding the Mt. Apo

Protected Area and in ARMM. In general, we will limit our retail-level FLUP and co-management assistance to those LGUs that are willing to put up counterpart funds.

- In CRM, our focus will be on networking of marine protected areas (MPAs) so that they have biological meaning. A small MPA on its own will have limited impact, whereas a network of MPAs has greater chance of improving fisheries and drawing tourists. Moreover, networks provide LGUs with economies of scale for collaborative enforcement. We will use models as inputs to advocacy for bay-wide fishery management. We will collaborate with the USAID FISH project and WWF in Tawi-Tawi and continue our emphasis on the large Mindanao bays of Illana and Zamboanga Sibugay.
- In the UEM sectors of solid waste and sanitation, our emphasis will be on working in areas with large enough waste generation to generate economies of scale. This will mean working in LGUs with a population of at least 40,000, or in smaller LGUs that form a strong cluster or that are along a waste transport corridor. Further, we will give strong bias to those locations that demonstrate political will and financial commitment. In smaller LGUs, we will use local service providers (LSPs) to address point sources (e.g., commercial business districts, subdivisions, and large facilities, like hospitals). In large cities such as Davao City, we will work with the city government to focus on selected districts which generate the greatest waste.
- We will continue efforts in Davao City, Panglao Island, and Camotes Island to demonstrate multi-sector integration: connecting upland management to urban water supply; connecting waste and sanitation to coastal tourism and fisheries; connecting mangrove management to fisheries protection from tides.

**The project tries to change the environment within which environmental management decisions are made by supporting national policy reforms, promoting enactment of local ordinances, supporting local level enforcement, and conducting targeted information dissemination, advocacy, and social marketing campaigns.**

Environmental management decisions do not occur in a vacuum. Individuals within a community are spurred by ordinances which are enforced, and political leaders are spurred by electorates that demand services. Similarly, local leaders are spurred by the knowledge that the DENR will enforce regulations, and in turn, they can use national Leagues and federations to promote better policies.

- Using the feedback we have received from local leaders, we will continue to advocate for the issuance of DAOs modifying the IRRs of RA 9003 and NIPAS. We will also assist DENR/FMB in making the omnibus forestry guidelines more supportive of decentralized and devolved forest management, democratic and equitable access to natural resources, and clear and stable incentives for investment. Together with other donors, NGOs, and LGU leaders, the project will continue to advocate for the lifting of the suspension orders on the issuance of new CBFM tenures, use rights, and forest

protection deputation orders. While the suspensions are still in effect, the project will focus on assisting current tenure holders (CBFMAs, CADTs, PAs, watershed reservations, co-management areas) to place these areas under improved forest management. We will lobby for strengthened support by LGUs to CBFMA holders, such as the provision of extension services, initial inputs on high value planting materials, training, cross visits, and needed social infrastructure. We will also help LGUs to conduct effective investment campaigns using their approved FLUPs or signed co-management agreements as entry points to enter joint ventures and out-growers contracts.

- As opportunities rise, the project will build coalitions for policy change by working with the DENR, the Leagues, theme networks (e.g., wood producer's association, SWAPP, MPA support network), and respected members of the academic and NGO communities. The team will assist the LMP's Mayor Development Center in carrying out its first offering on improving solid waste management for mayors, MPDOs, and MENROs. We will also work with provincial-level leagues of municipalities.
- As appropriate, we will sponsor regional and national workshops with various stakeholders to facilitate collaboration, share best practices, and leverage funds. For example, in early 2006, there was strong momentum for discussion about the cancellation of CBFMAs.
- We will transform the EcoGov governance index into an LGU-based monitoring and evaluation system. The index can be a sign to voters, to investors, and to the DENR about a given LGU's performance.
- The project will be more explicit in its attempts to change the behavior of community members and leaders in terms of UEM. We have conducted wastewater and water quality assessments and now need to package and communicate the results to get the attention of decision makers and communities. We will show these stakeholders the link between sanitation and water-borne disease, the impact on tourism of fecal coliform contamination, and the impact on fisheries from wastewater.

#### **EcoGov will support DENR-USAID SO4 collaborative activities.**

The project will work closely with DENR-FASPO, USAID/OEE, and concerned DENR regional offices to facilitate collaboration and sharing among SO4 projects; and to begin discussions for integrating and institutionalizing various project activities with DENR regular plans and programs. Mini-planning and thematic workshops, periodic reporting, feedback sessions, and joint piloting or implementation activities will be conducted to achieve collaboration, integration, and institutionalization of SO4 into the DENR system. In Year 3, EcoGov will lead in the collaborative effort of DOI, LGUs, NGOs, the private sector, and DENR in piloting decentralized environmental law enforcement in forestry in Region 13. Together with other organizations, the project will support the FISH project's initiative in Danajon Reef (Region 7) in the collaborative effort to strengthen environmental law enforcement in coastal resources. In solid and waste water

management sector, the project will support EcoAsia's initiatives in environmental law enforcement with selected LGUs. After the EcoGov-initiated mini-planning workshops, the project expects to have more strategic collaborative activities with other SO4 projects, LGUs, and other donor-funded and special projects.

**EcoGov will focus on sustainability.**

- DENR field offices, provincial government offices, professional networks, and larger NGOs have the human resources to spread our message further. Thus, we will provide direct training to these partners and, whenever possible, facilitate their involvement in field events. As appropriate, we will also sponsor the attendance of counterparts on domestic and international training and workshops. Through such “mainstreaming” of our main counterpart, we expect project initiatives to continue after the completion of this contract.
- EcoGov, like many technical assistance grants, offers a free supply of services to LGUs. We want LGUs to demand services and be prepared to pay for them. Thus, we may offer sub-components of technical packages to LGUs while they take upon themselves the commitment to complete the process and implement agreed actions.
- LGUs should view the DENR as a service provider, and the DENR should present itself as a qualified, capable, and mobile service provider to LGUs. We will promote such a relationship.
- The project will engage LSPs to deliver technical assistance and services to partner LGUs. LSPs include private firms, NGOs, academic institutions, and not-for-profit organizations that have the capacity to act, in essence, like a subcontractor to DAI. In the process of engaging LSPs, we will further build their technical capacity and reputation, such that our LGU partners recognize them as the experts. At some point, it is conceivable that LGUs would even pay directly for LSP engagement.

**1.2. Work Plan Organization**

As mentioned previously, EcoGov 2 has five technical contract line items and a sixth for management and administration. We address these in the subsequent report in the following order:

- Section 2: Forestry (CLIN 2)
- Section 3: Coastal resources (CLIN 3)
- Section 4: Urban environmental management issues including both solid waste (CLIN 4) and municipal investment in sanitation (CLIN 5).
- Section 5: Governance and advocacy (CLIN 1)
- Section 6: Management and Administration (CLIN 6)

We address CLIN 4 and CLIN 5 together because our strategy for urban issues, whether solid waste or wastewater, is the same. We discuss Governance and Advocacy last among the sectors because its work is cross-cutting; the activities we will conduct in this area make more sense in the context of the previous sectors.

In our discussion of each CLIN, we describe how the project objectives link to DENR's objectives, the current status of our activities, strategies and activities for the coming year, cross-cutting policy, governance, and advocacy activities for the coming year in relation to that sector, performance targets for the coming year, and critical assumptions for the sector. We display the timing of all activities in a project-wide Gantt chart in Annex 1 and targets in Annex 2. The cost estimates for major contract elements are included in a pipeline budget separate from this document.

## 2. IMPROVED FOREST MANAGEMENT – CLIN 0002

### **Expertise in FFM**

Sector Leader: Ernie Guiang (Chief of Party)

Manila: Gem Castillo (resource economist), Trina Isorena (GIS Specialist)

N. Luzon: Roger Serrano (regional coordinator), Bien Dolom (specialist), Ansel Cabrera (AP, Solano), Ruel Lazaro (AP, Maddela)

C. Visayas: Rudy Aragon (specialist), Justino Briones (AP, Cebu), Fidel Vicente (AP, Dumaguete)

S. Mindanao: Nick Uriarte (advisor, Davao City), Casimiro Olvida (specialist), Edwin Camacho (AP, Cotabato City), Mark Ramirez (AP, Gen. Santos City)

W. Mindanao: TBD (AP)

### 2.1. Project Objectives and Link to DENR Objectives

The Forests and Forest Lands Management (FFM) sector has two main objectives: (1) improve the management of at least 250,000 hectares of natural forests, and (2) develop at least 14,000 hectares of bare forest lands. To achieve these objectives, the project works with the DENR and LGUs to provide assistance to various types of tenure holders. Both objectives lead to poverty alleviation and indirectly confront illegal logging, timber poaching, and forest conversion. Further, both objectives contribute to DENR's mandate to conserve biodiversity resources and directly support five items on the DENR 12-Point Agenda.

- Item 4: biodiversity conservation, mobilization of stakeholders for forest law enforcement, information dissemination, and education campaigns for greening the environment.
- Item 5: development of bare, occupied, and degraded forest lands with agro-forestry and fruit trees.
- Item 10: social mobilization to ensure that communities are involved in environmental protection.
- Item 11: preventing or minimizing loss of lives and properties during disasters through completion of geo-hazard maps
- Item 12: promoting transparency, efficiency, accountability, and consistency within the DENR bureaucracy.

At a higher level, the FFM strategies contribute to all the DENR's MFOs<sup>2</sup> and to four thrusts of the Medium Term Philippines Development Plan (MTPDP).<sup>3</sup>

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<sup>2</sup> MFO 1 – plans, programs and policies developed, implemented, monitored and evaluated; MFO 2 – ecosystems and natural resources developed, protected, conserved, enhanced and degraded ones rehabilitated and/or developed; MFO 3 – appropriate and comprehensive standards and regulations developed, implemented.

<sup>3</sup> The EcoGov 2 FFM sector directly or indirectly supports the attainment of the following MTPDP Thrusts: Productive use of natural resources, Biodiversity/Watershed Management, Healthy Environment, and Mitigation of Natural Disaster.

## 2.2 Status of FFM Assistance in EcoGov 2 Regions

The area in which EcoGov 2 works includes roughly 35 percent of the country's total area of natural forests—mossy, old growth, closed, and open canopy secondary forests, mixed forests, and mangroves (Table 1). Our work with the DENR and 28 partner LGUs in implementing their approved forest land use plans (FLUPs) will improve 13 percent of the total area of natural forests in various regions (Tables 1 and 2).

EcoGov currently assists, through LGUs and DENR, 213 tenure holders to improve their natural forest management (Table 3). Almost 64 percent of these tenure holders are community organizations, followed by private, LGU co-managed areas, and state-managed protected areas and watershed reservations. (These tenure holders are greatly affected by the government's current fiscal deficit, as they receive dramatically reduced [or no] subsidies to improve the management of their areas.) These tenure holders have rights over 202,000 hectares of natural forests, or 80 percent of our life of project target. Working with these tenure holders, closing open access in the 28 LGUs, and expanding into new areas in Years 3 and 4 will allow us to meet the remainder of the LoP target.

As of September 30, 2006, the FFM sector achieved 110 percent of the Year 2 target of improved natural forest management (43,700 hectares). This accomplishment is largely the result of support and follow through of LGUs, local DENR, and communities on EcoGov-initiated FLUP activities. Further, this is despite DENR's unilateral suspension of CBFMA issuance, cancellation of CBFMAs, suspension of resource use rights of communities, and suspension of local ability to deputize forest protection officers.

Thus far, the FFM team facilitated the signing of 18 co-management agreements between the DENR and LGUs covering a total area of more than 84,778 hectares (Table 4). Sixty-seven percent of this area is bare land. To date, the project has only achieved 7 percent, or 404 hectares, of the Year 2 target of placing 5,400 hectares of bare forest lands under productive development. EcoGov is reconsidering its approach to promoting investment in these areas by the LGUs, private sector, and the holders of individual property rights (IPR) themselves.

During Year 2, the project had important accomplishments, and we saw specific trends, that will inform our Year 3 strategy.

**Policy.** EcoGov finalized the draft of the amended NIPAS IRR; it now awaits further review and approval by the DENR policy group and senior management. If approved, the IRR will simplify and liberalize the role of LGUs in protected area management. We also helped to revise the DENR/FMB Omnibus Forestry Guidelines, making them more client-focused, governance-oriented, relevant, and simple.

**Advocacy.** EcoGov collaborated with USAID and several other donors and projects to advocate for the lifting of DENR Secretary Defensor's order of cancellation of CBFMAs and IFMAs in selected regions. EcoGov supported CBFM PO Federation leaders to present their position on lifting cancellation order to DENR Secretary Angelo Reyes. As a result, the DENR Secretary lifted the cancellation order and subjected all cancelled ones

to review and evaluation for reconsideration. Further, we lobbied the new ARRM Governor for support of the Regional Sustainable Forest Management Act (MMAA 161), which resulted in DENR/ARMM entering into MoAs with five municipalities for the joint preparation, legitimization, and initial implementation of FLUPs. We lobbied for, and received, similar support from the provincial governments of Sarangani and Nueva Vizcaya.

**Public and private investments.** We note the trend, epitomized in Maasim, Sarangani, where the LGU used its approved FLUP to encourage tenure holders to enter into grower's contracts with Dole Philippines for establishing pineapple plantations. Most these forest lands were previously bare and cultivated to marginal crops. We have also seen LGUs with approved FLUPs (e.g., Bayawan City and La Libertad in Negros Oriental, Quezon, Nueva Vizcaya, and Wao, Lanao del Sur) investing in high value planting materials, nurseries, and access roads.

**Table 1. Total Area of Natural Forests in EcoGov-Assisted LGUs (in hectares)**

City/Province	Natural Forests <sup>a</sup>	Natural Forests in EcoGov-assisted LGUs <sup>b</sup>	Natural Forests in Tenured Areas in EcoGov Assisted LGUs <sup>c</sup>	Area of Tenure Holders Meeting "Improved Management" Level as of September 30, 2006 <sup>d</sup>
Basilan	98,871	4,623	1,728	
Zamboanga Sibugay	82,056			
Zamboanga City	40,845			
<b>Total for Western Mindanao</b>	<b>221,772</b>	<b>4,623</b>	<b>1,728</b>	<b>-</b>
Lanao del Sur	213,077	12,412	902	
Maguindanao	73,511			
Davao City	99,248			
North Cotabato	152,818	7,302	6,230	4,093
South Cotabato	125,256			
Sultan Kudarat	135,770	15,327	2,877	2,261
Sarangani	148,316	24,267	18,944	7,063
<b>Total for SouthCentral Mindanao</b>	<b>947,996</b>	<b>59,308</b>	<b>28,953</b>	<b>13,417</b>
Bohol	11,460	628	404	380
Cebu	9,220	1,991	1,991	432
Negros Oriental	30,900	10,435	9,400	8,063
<b>Total for Central Visayas</b>	<b>51,580</b>	<b>13,054</b>	<b>11,795</b>	<b>8,875</b>
Isabela	403,120			
Nueva Vizcaya	169,270	27,120	19,470	3,342
Quirino	128,380	168,142	136,852	22,599
Aurora	217,140	4,100	4,100	
<b>Total for Northern Luzon</b>	<b>917,910</b>	<b>199,362</b>	<b>160,422</b>	<b>25,941</b>
<b>Total All Regions</b>	<b>2,139,258</b>	<b>276,347</b> (13% of total natural forest)	<b>202,898</b> (80% of LOP target)	<b>48,233</b> (19% of LOP target and 110% of Year 2 targets)

<sup>a</sup>Data for Mindanao were generated from the EcoGov 1 Mapping study; data for other regions were taken from the 2004 Philippine Forestry Statistics and a FMB-NAMRIA forest assessment report.

<sup>b</sup>See Annex Table 2A (column 5) for breakdown by LGU. Only those with approved FLUPs are included in this column.

<sup>c</sup>Based on reported natural forests within tenure holdings that were inventoried for the tenure management assessment. Many of the reported forests are yet for field validation. Only LGUs with approved FLUPs are included.

<sup>d</sup>See Annex Table 2A (column 6)

**Table 2. Legitimized FLUPs in Ecogov Regions**

Region	Total Legitimized FLUPs	Total Forestlands (Ha)	Total Natural Forests (Ha)	Total Bare Forestlands (Ha)
Northern Luzon	8	303,702	199,362	76,161
Central Visayas	11	124,222	13,054	87,464
SouthCentral Mindanao	7	170,011	59,308	41,811
Western Mindanao	2	15,516	4,623	2,761
<b>TOTAL</b>	<b>28</b>	<b>613,451</b>	<b>276,347</b>	<b>208,197</b>

**Table 3. Tenure Holders in 28 LGUs with Legitimized FLUPs**

Region	Community		LGU		Other Agencies		Private		State		TOTAL	
	Tenure Holders (No.)	Forest lands (Ha)										
Northern Luzon	75	260,919	3	5,211	4	447	4	7,656	5	89,432	91	363,665
Central Visayas	39	23,918	12	64,222	2	18,967	11	5,663	4	1,952	68	114,722
SouthCentral Mindanao	15	29,078	6	11,011	1	627	17	17,209	2	10,496	41	68,421
Western Mindanao	8	3,091	2	1,797	-	-	1	937	2	3,622	13	9,447
Total	137	317,006	23	82,241	7	20,041	33	31,465	13	105,502	213	556,255
% of Total Tenure Holders	64%		11%		3%		15%		6%		100%	
% of Total Area of Forestlands		57%		15%		4%		6%		19%		100%

Note: Figures derived from the inventory of tenure holders in 28 LGUs, which was used for the tenure management assessment. Overlaps in some tenured areas are possible (e.g., some CBFMA inside CADC; CSC within CBFMA or CADC).

**Table 4. Co-Management Areas in EcoGov Assisted LGUs**

Region	Total Co-Management Agreements	Total Forestlands (Ha)	Total Natural Forest (Ha)	Total Bare Forestlands (Ha)
Northern Luzon	1	4,995	2,015	2,054
Central Visayas	11	65,216	11,391	53,824
Southern and Central Mindanao	5	14,224	6,687	1,167
Western Mindanao	1	343	n.a.	n.a.
<b>TOTAL</b>	<b>18</b>	<b>84,778</b>	<b>20,093</b>	<b>57,045</b>

Note: Figures taken from co-management agreements, resource management plans and initial site assessments. Includes two co-managed mangrove areas.

**Table 5. Replication and Expansion Areas of FLUP Processes**

Region	Locations replicating FLUP	Locations expanding FLUP with DENR and province
Northern Luzon	Nueva Vizcaya	Nueva Vizcaya
Central Visayas		Negros Oriental
Southern and Central Mindanao	Sarangani, Sultan Kudarat	
Western Mindanao	Zamboanga Sibugay	
National	FMB FLUP Training (Antipolo City)	

### 2.3. Strategy for Achieving FFM Objectives

Our fundamental strategy for the coming year, as it has been, is to solidify and broaden incentives for improved forest management at the LGU and tenure holder levels. We will complement this with advocacy, awareness campaigns, support for enforcement mechanisms, investment promotion, and M&E. We will continue to promote partnerships between DENR and LGUs in jointly preparing or implementing FLUPs or co-management agreements with local stakeholders and communities. This approach fosters team learning, capacity building, synergy from collaborative undertakings, resolution of land-based conflicts, and good governance practices.

**Figure 1. Interventions in the FFM Sector**

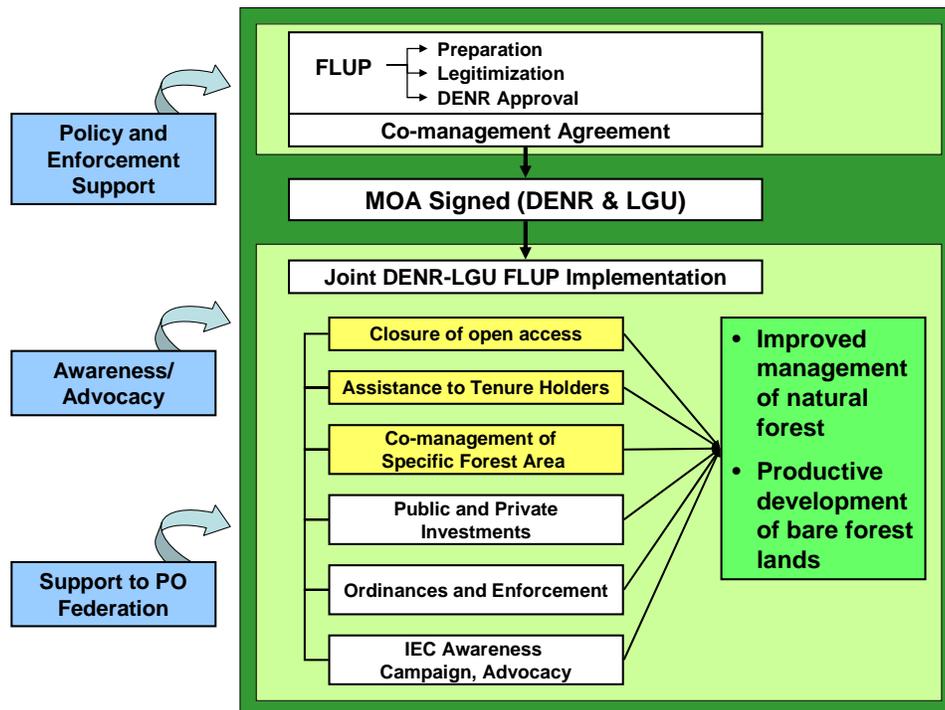


Figure 1 shows the project's main interventions for achieving improved forest management.

1. We promote transparent, accountable, and participatory processes of forest land use planning and allocation; and legitimization, approval, and signing of FLUP implementation MoAs between the DENR and LGUs.
2. We emphasize use of co-management agreements between the DENR and LGUs to close open access forest lands.

3. Where necessary, we will provide assistance in the implementation of specific FLUP elements, particularly helping tenure holders, promoting investment, supporting enforcement and ordinances, and conducting information campaigns.
4. At the national or regional level, we will support policy formulation, advocate for policy adoption, and support any measures strengthening CBFMAs and community resource use rights.
5. At the national or regional level, we will build capacity through networking and collaborative activities, organize relevant forums and study tours that raise awareness and build institutional commitment, and support demonstration projects for replication.

### ***Sector Leadership***

To effectively carry out FFM's fundamental strategy, the CoP, Ernie Guiang, will oversee the Year 3 implementation activities. As the most senior forestry advisor on the EcoGov team, the Dr. Guiang is positioned to direct FFM activities, advocate and influence key forest policy changes, and help resolve several impending CBFM issues, such as the suspension of new CBFMA issuances, decentralized approval of resource use rights permits to communities, and issuance of deputation orders for legitimate forest protection officers. Dr. Gem Castillo, who will also be the project's resource economist (please refer to his new SOW in the annex), will continue to assist the CoP in coordinating and directing various policy analysis work, capacity building activities for FMB on FLUP, and delivery of technical assistance support in Western Mindanao. As the Year 3 work plan requires, the regional forestry specialists will take more leadership in implementing FFM activities. The CoP is also in a position to positively influence the Philippine Forestry Educators Network (PFEN), the Omnibus Forestry Guidelines, and approval and initial implementation of the NIPAS IRR.

### ***Meeting the Biophysical Targets***

In Year 3, we will continue working with DENR and 28 LGUs in assisting 213 tenure holders to meet the minimum requirements of improved management of natural forests and productive development of bare and occupied forest lands. We define the latter biophysical target as any forest land area under co-management agreement or community tenure that meets the following criteria: (a) covered by a sub-agreement, a stewardship contract, tribal recognition of individual claim within CADT, a tri-partite holder of marketing agreement, or a resolution from community tenure holders recognizing individual claim within a communal tenure; (b) communal tenure is a direct recipient of LGU or private investment (e.g., orchards, plantations, agroforestry, farm development financing, marketing arrangement); (c) individual property right holder has undergone

training and is investing his own resources in orchards, agroforestry, or the like.<sup>4</sup> Specifically, we will do the following.

- As shown in Table 6, working in 28 LGUs will allow us to meet the 79,043 hectare target for improved natural forest management. Most of this will be in northern Luzon and southern and central Mindanao.
- Most of the target of 12,520 hectares in productive bare forest lands (Table 7) will be achieved in the 18 co-management agreement areas, plus those in community tenure holders. Central Visayas will contribute to achieving most of the target on productive bare forest lands.
- In the remaining open access areas within the 28 approved FLUPs, the project will facilitate the signing of co-management agreements between the LGUs and DENR to close these forest lands (more than 50,000 hectares) with strong provisions for allowing “sub-agreements” with communities and legitimate claimants; and contracting to allow the entry of the private sector and other parties who may want to invest in forest development and management.
- In all regions, FFM upscaling will be performed with provincial governments, DENR regional and provincial offices, and interested LGUs. The project will support these efforts by providing guidance, expertise as resource persons during training activities, developing modules, and reviewing initial FLUP outputs.
- In all regions, qualified LSPs will be engaged to assist the team in meeting its biophysical targets and in selected upscaling/expansion areas. We will collaborate with PFEN member-institutions in EcoGov regions as part of upscaling EcoGov best practices with training and academic institutions.
- In all regions, we will use grants to provide catalyst funds to initiate improved forest management by communities and indigenous groups.
- In order to meet remaining LoP targets, we will work with the DENR to expand work in the Mt. Apo Protected Area. We will also begin the FLUP process in five LGUs in ARMM as part of implementing MMAA 161, the Regional Sustainable Forest Management Act.
- We will assist LGUs in reviewing contracting arrangements between the private sector and tenure holders. Areas of concern are: fairness in sharing arrangements, possible negative environmental impacts especially for monoculture plantations, and compliance with labor laws.

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<sup>4</sup> This effectively redefines the target “productive development of bare and occupied forest lands.” As such, we will submit a revised Performance Monitoring Plan.

- We will assist LGUs with approved FLUPs in lowering the investment costs in forest lands. We expect to streamline DENR permitting requirements and local business permits, promote better local zoning, assist in conflict resolution, and advise on improving access roads.
- We will promote individual property rights (IPR) within communal tenure systems to encourage household investments in forest management.
- We will provide technical assistance in extension services, riverbank rehabilitation, bio-fuel production and marketing, ecotourism, charcoal production, and marketing cooperatives.

### **Northern Luzon**

- In Northern Luzon, the FFM team will achieve its biophysical targets with two CADTs (one in Quirino and one in Nueva Vizcaya) and three CBFMA holders (Quirino). The team will continue to assist current tenure holders (CADTs, CBFMAs, PAs) meet the indicators for improved forest management and assist the provinces (Nueva Vizcaya, Cagayan, and Aurora) in upscaling the FLUP and co-management agreement processes.
- The upscaling efforts and assistance to other tenure holders (besides those targeted in Year 3) are expected to generate pipelines for Year 4. The Northern Luzon FFM work will generate most of the “improved management targets” in Year 3.

### **Central Visayas**

- In Central Visayas, the FFM team will assist eleven LGUs carry out improved management and development of their “bare” forest lands to meet most of the project’s biophysical targets in Year 3.
- The upscaling of FLUP and co-management agreement processes will be done with DENR Region 7 and the provinces of Cebu, Negros Oriental and Bohol.
- The FFM team will collaborate with the CRM team in facilitating co-management agreements between DENR and the LGUs to close open access areas of mangrove forests.

### **Southern and Central Mindanao**

- The Southern and Central Mindanao FFM sector team will continue to work with tenure holders in approved FLUPs to meet its Year 3 targets. Most of these areas will be CBFMA holders, co-management agreements, and CADTs.

- Upscaling work will be in Sarangani, Mt. Apo Protected Area, and the provinces of Sultan Kudarat. These efforts are expected to generate pipeline figures for Year 4.
- In ARRM, the team will focus in assisting five LGUs prepare their FLUPs as part of the assistance for MMAA 161 implementation. At least one of the five target LGUs is expected to legitimize and get approval of their FLUPs. Interested LGUs may be assisted in entering into co-management agreements with DENR as a means to “close” open access areas.

### **Western Mindanao**

- In Western Mindanao, the FFM sector will continue to work with DENR and Zamboanga City in placing two watersheds under improved forest management.
- The ongoing FLUP upscaling with the province of Zamboanga-Sibugay and DENR region will continue.
- The FFM team will collaborate with the CRM team in facilitating co-management agreements between DENR and the LGUs to close open access areas of mangrove forests.

### ***Mainstreaming and Capacity Building***

EcoGov is committed to seeing project efforts “mainstreamed” in the DENR. We understand this term to mean that the Department is an equal partner in implementation and will be able to continue interventions after the project is over. In essence, the project should build the capacity of the DENR. As such, we will undertake the following specific actions to ensure mainstreaming.

- Wherever we work at a provincial or regional level, the DENR, through its local PENROs and CENROs, will be a key partner. Several provinces have stated they want a unified ENR-forestry agenda: Nueva Vizcaya, Quirino, Negros Oriental, Sarangani, Sultan Kudarat, and Zamboanga-Sibugay. We look forward to hearty participation from DENR technical staff in the provincial FLUP teams in these locations.
- Other than in our work with the five LGUs in ARMM, we will phase out of direct personnel involvement in FLUP preparation, legitimization, and approval. Rather, we will advise DENR region and provincial personnel, helping them to be the service providers to LGUs.
- We will advocate in DENR and regional offices for the inclusion of the FLUP process in their regular process of budgeting and re-alignment of priority activities.

- The team will pilot and install a local M&E system for the LGUs and local DENR for monitoring and assessing FLUP implementation, co-management agreements, and CBFM tenure holders' forest management activities. We will use information from this to advocate for appropriate changes in DENR CBFM policies.
- The project will work with DENR regional offices to help LGUs create their own offices for implementing devolved environmental management functions. A relevant training module may be developed to support this activity.
- We will work with FMB in developing and testing tenure assessment instruments for watersheds and reservations that are directly under the management of other agencies such as NPC, PNOC, NIA. Results will be used by DENR senior management for discussing strategies to improve forest management in these areas.
- We will work with FMB and PWPA in developing and testing tenure assessment instruments for large IFMA areas and watershed reservations that are directly under the management of DENR field units. Results will be used for discussing strategies to improve forest management in these areas.
- As opportunities emerge, we will sponsor the participation of DENR personnel in domestic and international training and workshops.

#### **2.4. Policy Initiatives in FFM**

- We will analyze the costs and benefits that the national government gains from forest lands as a basis for arguing for change in current policies. For example, some tenure arrangements—co-production, co-management, joint ventures—might have different costs than others.
- The project will test the acceptability of the concept of payment for environmental services with the DENR and LGUs in the Barobbob watershed and rubber plantation in the co-management area of Isabela City.
- We will work with FMB in completing the Omnibus Forestry Guidelines and facilitate its review, approval, and issuance. The project will assist FMB improve or strengthen specific provisions that pertain to property rights, incentives, and support for CBFMA holders.
- We will perform a technical and economic analysis for jathropa plantations, harvesting, processing, and marketing as a basis for advising LGUs and investors.

## **2.5. Advocacy Initiatives in FFM**

The audience for IEC and advocacy in the FFM sector includes DENR senior management, LGU leaders, PAMBs, tenure holders, civil society organizations, and private investors. We expect to conduct the following efforts.

- Our Regional Coordinators will provide regular updates to DENR regional personnel and provincial leaders. These meetings will also allow the sharing of best practices among our partners and allow for improvements in our work.
- We will continue to work with DENR and LGU counterparts, PO leaders, donors, and NGOs to lobby for actions that improve the incentives for local tenure holders:
  - Lifting of the suspension of issuances of permit for harvesting productive residual forests, cutting of planted trees in forestlands, and harvesting planted trees in Nueva Vizcaya's Tree for Legacy Program.
  - Lifting of the suspension of the issuance of 25-year tenure instruments including CBFMAs.
  - Promotion of a centralized approach in approving permits to process or use fallen trees after typhoons and other calamities.
  - Lifting of the suspension of deputation of forest protection officers including those of qualified LGU officials, local leaders, and holders of CBFMAs and CADTs.
  - Lifting of the moratorium on issuance of small scale wood processing plants (e.g., band saws that caters to small diameter and planted trees). Lifting of this moratorium will open the tree plantation industry to the private sector and increase value added at the community level.
- The team will prepare training materials on several FFM interventions: FLUP preparation and implementation, co-management agreements, preparation of resource management plans, facilitating IPR within different tenure holders, and tenure assessment and analysis.
- We will continue to document and release success stories on FLUP processes and implementation, closing of open access, resolving of conflicts, investments, and the economic impacts of secured property rights.

### ***Collaboration and Networking***

- DILG, NEDA, and the Department of Budget Management have a technical working group to prepare guidelines to rationalize the planning systems of LGUs. EcoGov and FMB will meet this working group to discuss how the FLUP process fits into that

planning system. NEDA is conducting a similar exercise at the provincial level to which we will contribute.

- We will collaborate with the Japanese Bank for International Cooperation-funded Program for Forest Resources Management, with pilot sites in the Jalaur River watershed (Iloilo), the upper Magat watershed (Region II), and the upper Agno River watershed in Pampanga.
- We will follow up on the US Department of Interior-sponsored Environmental Law Enforcement Summit by working with the USAID/Environmental Justice Project to promote new protocols, processes, and systems in Region 13, which suffers from illegal logging and timber poaching.
- The project will continue working with DENR, FAO, UPLB, PO leaders, IIRR, other NGOs, and stakeholders in updating the CBFM Strategic Plan for the next five years. We will help by advising on the following items: (a) defining the overall purpose and objective of the updated CBFM strategy (e.g., will it support small scale forest production, biodiversity, poverty alleviation and equity, or some other issue); (b) accessing and providing adequate support systems for CBFM communities in the form of limited use rights, extension and capacity building, seed funds, and savings and credit; (c) deregulating community resource use rights and other related policies; (d) promoting private sector investments in CBFM areas.
- We will participate in the regional consultations for the CBFM Strategic Plan through our regional specialists and support to a few participants. In the context of approved FLUPs and co-management agreements, the project will facilitate dialogues and action planning with the provinces, LGUs, and local DENR on how to implement the updated CBFM strategy at the local level. The project will explore mechanisms at the LGU level to balance the advocacy for “use rights” with adequate support for extension and training, technology transfer, contracting, improvement of farm to market road, and provision of inputs for planting high value agroforestry crops.
- The project will collaborate with PTFCF in (a) identifying opportunities for complementary FFM activities in particular LGUs; (b) providing technical advice or share experiences in working with LGUs and tenure holders to improve forest management, enforcement, and investments in timber lands; and (c) co-financing certain planning and workshop activities.
- The team will collaborate with FMB and DENR Region 2 under the UNDP Forestry Master Plan Development Project to implement the plan at the provincial level.
- We will continue partnerships with the Philippine Forestry Education Network, leagues of municipalities at the provincial level, and other organizations to replicate our efforts.

## 2.6 Performance Targets for Year 3

**Table 6. FFM Targets and Accomplishments for Improved Management of Natural Forests, by Region**

Region	Targets (ha)			Year 2 accomplishments (ha)	% of Year 2 target	Expected % completion by end of Year 3
	LOP	Year 2	Year 3			
Northern Luzon	164,600	29,756	42,462	25,941	87%	42%
Central Visayas	16,330	3,500	2,516	8,875	254%	70%
Southern and Central Mindanao	66,400	9,244	34,064	13,417	145%	72%
Western Mindanao	7,340	1,200	-	-	0%	0%
<b>Total</b>	<b>254,670</b>	<b>43,700</b>	<b>79,042</b>	<b>48,233</b>	<b>110%</b>	

Note: There were not set targets for Year 1.

**Table 7. FFM Targets and Accomplishments for Productive Bare Forest Lands, by Region**

Region	Targets (ha)			Year 2 accomplishments (ha)	% of Year 2 target	Expected % completion by end of Year 3
	LOP	Year 2	Year 3			
Northern Luzon	3,500	200	250	151	76%	11%
Central Visayas	3,500	4,000	11,000	-	0%	314%
Southern and Central Mindanao	3,500	700	1,270	253	36%	44%
Western Mindanao	3,500	500	-	-	0%	0%
<b>Total</b>	<b>14,000</b>	<b>5,400</b>	<b>12,520</b>	<b>404</b>	<b>7%</b>	<b>92%</b>

Note: There were not set targets for Year 1.

## 2.7. Critical Assumptions and Issues

We assume that the DENR and provincial, city, and municipal governments will collaborate to implement FLUP activities. Further, we assume that DENR senior management will strengthen—not undermine—the incentives for LGUs and community tenure holders, and we assume that DENR will take the lead in forest enforcement activities. We also rely on the DENR and LGUs to consider, with openness and in good faith, the concept of payment for environmental services. Lastly, we rely on relative peace and order in ARMM and conflict-affected areas.

### 3. IMPROVED COASTAL RESOURCES MANAGEMENT – CLIN 0003

#### **Expertise in CRM**

Sector Leader: Perry Aliño

Manila: Annette Meñez (STTA advisor)

C. Visayas: Hazel Arceo (specialist), Vincent Lumbab (AP, Cebu City), Pedcris Orencio (AP, Camotes)

W. Mindanao: Maria Fe Portigo (specialist, Pagadian), Freddie Puerto (AP, Pagadian), Cleto Nañola (specialist, Ipil), Michelle Baird (AP, Ipil)

Please note that Dr. Perry Aliño will assume the role of Sector Leader, while Dr. Annette Meñez will serve as STTA advisor while returning to her teaching duties. DAI and the senior EcoGov management team anticipated this change and have been aware of Dr. Meñez’s commitments to the University of the Philippines since project inception.

#### **3.1. Project Objectives and Link to DENR Objectives**

The project addresses critical threats to the country’s coastal areas, including over fishing and destructive fishing practices. The goals of increasing the amount of coastal area under improved management, establishing new MPAs, and strengthening existing MPAs all contribute to DENR goals. In particular, EcoGov activities support MFO 2 to maintain/stabilize the ecological functions of critical coastal habitats (OVI 2.2.) and increase the area under sustainable resource management (OVI 2.3). EcoGov activities also support MFO 3 regarding of environmental violations detected and addressed (OVI3.1). These aspects are also included in the DENR 12-Point Agenda.

Furthermore, targets in this sector align with Executive Order 533 adopting integrated coastal management as a national strategy to ensure the sustainable development of coastal and marine resources. The Executive Order directs DENR to develop a national integrated coastal management program to coordinate all relevant national and local agencies and mainstream coastal management into planning and economic development programs.

In addition, the targets align with the drive against environmental crimes, as expressed in Executive Order 515 creating the National Anti Environmental Crime Task Force (NAECTAF). This task force is headed by the DENR Secretary and operates under the Presidential Anti-Organized Crime Commission (PAOCC) in the Office of the President.

#### **3.2. Status of Coastal Areas in EcoGov 2 Regions**

In Year 2, we provided technical assistance to develop LGU and inter-LGU level management bodies to improve fisheries enforcement and effort regulation, establish new marine sanctuaries, and strengthen existing sanctuaries. Two LGUs have improved the management of 43,028 hectares of coastal areas. Together with two LGUs from Year 1,

a total of 69,166 hectares have been improved, which represents 65 percent of the LoP target. These LGUs have:

- Legitimized CRM or FRM plans.
- Approved annual budget allocations.
- Functional organizations responsible for implementing the plans and for coastal law enforcement.
- Implemented at least two actions related to management of two zones and/or enforcement and regulation of fishing effort, aside from marine sanctuary establishment and management.

In Year 2, the project established a total of nine marine sanctuaries in eight LGUs, covering a total area of 616 hectares. Together with the four established in Year 1, a total of 13 marine sanctuaries covering 923 hectares have been established to date, which represent 65 percent of the LOP targets for the number of sanctuaries and greater than 100 percent of the LOP targets for area in sanctuaries.

Six marine sanctuaries covering a total area of 1,105 hectares qualify as “improved,” meaning there has been enforcement for at least a year and M&E activities have been initiated. Including the marine sanctuary strengthened in Year 1, this brings the total to seven existing marine sanctuaries strengthened (14 percent of the LoP target) covering an area of 1,200 hectares (48 percent of the LoP target) hectares.

**Table 8. Status of CRM in EcoGov Regions**

Region	Potential Hectares for Improved Management	Actual Hectares Under Improved Management	Number and Hectares of EcoGov 1 Established Marine Sanctuaries		Number and Hectares of Existing Marine Sanctuaries Under Improved Management		Number and Hectares of New Marine Sanctuaries Established	
N. Luzon	63,317	31,430	2	(56)	3	(114)	2	(301)
C. Visayas	50,790	23,368	4	(183)	2	(111)	5	(324)
W. Mindanao	68,475	14,368	8	(1,693)	2	(975)	6	(298)
<b>Total</b>	<b>182,582</b>	<b>69,166</b>	<b>14</b>	<b>(1,932)</b>	<b>7</b>	<b>(1,200)</b>	<b>13</b>	<b>(923)</b>

Aside from the biophysical accomplishments, significant developments in strengthening inter-LGU/multi-agency alliances were achieved in Year 2. The Illana Bay Regional Alliance (IBRA 9) has been reinvigorated and eight member municipal/city LGUs and the Zamboanga del Sur Provincial LGU have renewed their commitments through a MoA. The IBRA 9 fishery law enforcement team (FLET), comprised of multiple enforcement agencies and IBRA 9 member LGUs representatives, developed and adopted a fishery law enforcement operational plan for the province to support LGU-level enforcement initiatives.

In Cebu, the Camotes Sea Cluster CRM Council was formalized through a MoA among the four LGUs of Camotes Island and Danao City with support from the provincial

government. This paves the way for the development of inter-LGU fishery enforcement and management policies and implementation plans in the area. In Aurora, the position of the designated provincial CRM Officer has been regularized and the CRM program has been integrated in the Provincial Physical Framework Plan.

Inter-LGU marine sanctuary and fishery management summits strengthened coordination in Baler Bay, the Camotes Sea Cluster, and Illana Bay. In addition, joint LGU exposure trips to successful CRM sites (e.g., Bohol, Cebu) have enhanced cooperation as well as knowledge and capabilities of local fishery enforcement and marine sanctuary managers. In Sibuguey Bay, the first province-wide fishery management forum and inter-LGU fishery law enforcement trainings catalyzed interest among municipal LGUs and the Zamboanga Sibuguey provincial government for the development of a baywide fishery enforcement plan.

LGUs in Illana Bay and Sibugay Bay hosted study tours from Tawi-Tawi and have become CRM learning sites for LGUs in Western Mindanao. LGUs in all regions have started IEC activities (e.g., MPA launching, CRM Day celebrations, swim-for-a cause, regular radio plugs) and continue to implement their CRM plans. These success stories have been featured in regional and national newspapers.

The FISH BE model has proven to be a valuable communication and decision support tool for local leaders. Aside from garnering recognition from the scientific community (i.e., the National Academy of Science and Technology), the model has been utilized to analyze and integrate results of assessment and monitoring studies in nine priority bays under the BFAR-FRMP project. Many of our local partners have requested copies of the software in an executable public domain form.

The project has made recommendations to BFAR to improve the governance provisions of the Fisheries Code (RA 8550) on registration and licensing for municipal fisheries, marine protected areas, mangrove resources management, and coastal and fishery law enforcement. The first draft of a sourcebook for LGUs on management of coastal areas has been completed and will be sent out for external review.

### **3.3. Strategy for Achieving CRM Objectives**

The project works with municipal and provincial LGUs, the DENR, and DA-BFAR to improve the management of coastal resources and municipal fisheries. The project focuses on issues of coastal law enforcement, fishery effort regulation, management of marine sanctuaries and networks, mangrove and foreshore management, and management of other coastal zones.

We use a baywide/ecosystem approach to build institutional economies of scale and to be relevant in terms of biodiversity conservation and fisheries production. We are building networks and inter-LGU alliances for coastal/fisheries law enforcement and marine sanctuary management in Baler Bay, the Camotes Sea, Illana Bay, and Sibuguey Bay as a way to expand our impact and create more potential for financing schemes. This is

supported by the use of a science-based communication and decision support tool, the FISH BE model. In the coming year, we will actively use LSPs such as MSU Naawan and the Coastal Conservation and Education Foundation to expand our reach.

This CLIN has three biophysical targets. We employ different strategies for each of these, described here. For the ease of readers with regional-specific interest, we then describe strategies and activities by region.

### ***Hectares of Coastal Area Under Improved Management***

- Our assistance to LGUs will include advice on fishery law enforcement and implementation, species- and gear-specific regulations, registration, and licensing.
- For those LGUs with legitimized CRM plans, we will help them expand implementation efforts to mangrove management (e.g., Tungawan,) ecotourism development (e.g., Tukuran, Camotes), foreshore management (e.g., Balamban), and mariculture (western Mindanao).
- We will assist with the legitimization of the coastal zoning plan in Davao City, including conducting studies on user fees for fisheries, marine transport, and navigation zones.
- With the FFM specialists and regional DENR counterparts, we will improve management and tenure of mangroves in Western Mindanao and Central Visayas.
- In collaboration with the UEM team and related USAID projects, we will facilitate adoption of wastewater management and beach/reef monitoring systems in support of sustainable coastal tourism in Panglao Island.

### ***Existing Marine Sanctuaries Placed Under Improved Management***

- We will build the capacity of LGUs to manage marine sanctuaries by providing training in biophysical monitoring and evaluation, by supporting IEC activities to improve enforcement in no-take areas, and improve regulation of fishing effort in adjacent areas. (Creation of MPA networks will further support these actions.)
- We will facilitate the establishment of two marine sanctuary networks. Each network will be comprised of clusters of at least three marine sanctuaries in three LGUs within an ecologically meaningful area. The technical assistance in the formalization of the network through a MoA in the Camotes Sea cluster will be led by EcoGov project personnel; in Southern Cebu and Illana Bay, we will make use of LSPs. We will provide marine sanctuary management bodies with technical assistance in developing joint action plans, financing schemes, M&E and feedback systems.

- We will provide assistance to develop a sustainable financing strategy for selected sanctuaries and networks, and assist partners in carrying out the marketing strategy to leverage financing for marine sanctuaries in these networks.
- We will initiate the establishment of two other marine sanctuary networks in Central Visayas, Baler Bay, Sibuguey Bay, or the Davao Gulf. The team will facilitate inter-LGU marine sanctuary activities and meetings to exchange experiences on sanctuary management and forge agreements for joint activities.
- We will actively “mainstream” DENR, LGU, and BFAR counterparts by providing training to their personnel in all of our activities.

### *New marine sanctuaries established*

- We will establish at least eleven new marine sanctuaries in Baler Bay, Camotes Sea, and western Mindanao and in new working areas in Central Visayas and eastern Mindanao.
- We will provide training via local institutions to MPA managers in Bohol, Negros Oriental, ARMM, and Davao Gulf. We will use provincial environmental bodies like BEMO and ENRD as intermediaries who can replicate our work. Our goal will be creation of a sanctuary plan and establishment of an M&E system in at least one sanctuary in each area.

### *Regional Implementation Strategies*

#### Northern Luzon

Baler Bay is an important fishing ground and region of biodiversity. EcoGov will provide intermittent technical assistance to the inter-LGU CRM committee to sustain our work from Years 1 and 2 with four partner LGUs and institutionalize the CRM program at the provincial level.

- We will promote implementation of the gear zoning and species-specific ordinances, the reporting system for coastal/fishery law enforcement, and CRM financing plans.
- We will provide technical inputs for the formation of a MPA network and inter-LGU committee, complemented by a grant to Aurora State College of Technology.
- We will lobby the provincial government to support the inter-LGU CRM committee. We will help this committee coordinate a baywide IEC campaign promoting compliance with fisheries laws.

## Central Visayas

The Central Visayas region has benefited from a relatively large amount of CRM development assistance. EcoGov focuses assistance to LGUs that have received relatively little assistance, the Camotes Island group and the adjacent mainland municipalities (i.e., Danao, Carmen, and Compostela). The cooperation among LGUs in this important fishery and biodiversity region, together with the support of the provincial LGU for this cluster, offers good opportunities for inter-LGU coastal law enforcement and marine sanctuary networks. The region also offers several opportunities for the use of grantees and engagement of LSPs for the expansion of marine sanctuary initiatives in other provinces.

- We will assist LGUs in the Camotes Sea (i.e., Danao City, Tudela, Poro, and San Francisco) to implement co-management efforts in mangroves and promote ecotourism effectively placing 46,856 hectares of coastal area under improved management.
- In Balamban, we will leverage support from the regional DENR office to improve foreshore management.
- We will help Camotes LGUs strengthen their financial management systems and better evaluate financing options for their CRM projects.
- We will provide direct technical assistance to three LGUs in Cebu and provide grants for work in three others such that six MPAs reach the enforced level.
- We will help the Camotes LGUs “package” their marine sanctuary network into something that can be marketed to hotel and tourism investors.
- We will work with BEMO (Bohol Environmental Management Office) and ENRD (Negros Oriental Environment and Natural Resources Division) such that those offices establish at least three MPAs.
- We will help establish a new sanctuary in Compostela and the legitimization of two sanctuaries in San Francisco and Balamban.
- We will work with the Cebu Province Marine Protection and Conservation Council on its bay-wide fishery management initiatives.
- Together with the project’s FFM and UEM specialists, we will provide assistance to DENR Region VII in finalizing the protocols on coastal area and foreshore management initiated in EcoGov 1. These protocols will then go to municipalities implementing CRM activities.

### **Southern and Central Mindanao**

- EcoGov will provide Lebak and Kalamansig with intermittent assistance to improve their implementation of fisheries law enforcement, including local capability building for IEC and advocacy for fishery registration/licensing. As these LGUs are relatively far from other CRM core areas, the project will link stakeholders with the regional offices of DENR, BFAR, and appropriate government agencies for other technical assistance needs.
- EcoGov will assist and train Davao City's CRM TWG together with DENR – CMMD, BFAR and prospective grantees in the Davao Gulf area in MPA establishment, MPA plan formulation, and M&E (e.g., in the Lasang marine sanctuary).
- We will coordinate with the Davao Gulf Management Council to strengthen marine sanctuaries and initiate formation of marine sanctuary network.
- We will conduct studies on appropriate fishery fees and determine options for revenue capture for CRM from Davao City's marine transport, navigational, and coastal industries.
- We will provide legal/policy advice and IEC assistance to the PLGU of Sarangani to support unified CRM efforts among coastal municipalities in the province and General Santos City.

### **Western Mindanao**

Western Mindanao is an important fishery and biodiversity area. Recently, economic development has accelerated with the general improvement of the peace and order situation. The heightened environmental governance and CRM initiatives of key LGUs assisted by the project in Zamboanga del Sur, Zamboanga Sibugay, and Basilan have provided local models that can be replicated in adjacent and nearby LGUs in Illana Bay (e.g., Sultan Naga Dimaporo) and Tawi-Tawi.

- By promoting fishery law enforcement, gear-specific management, mangrove management, and tourism, we expect to place 23,554 hectares under improved management in three LGUs in Zamboanga del Sur (i.e., Tukuran, Dimataling, or Dumalinao) and one LGU in Zamboanga Sibugay (i.e., Tungawan).
- Training on budgeting and financing for CRM activities will be provided to advance LGUs in Zamboanga Sibugay and Basilan to help them develop financing schemes to sustain their CRM programs.
- Assistance will be provided to establish two marine sanctuaries (i.e., San Pablo, Pagadian) so that all LGU members of IBRA 9 will have been assisted in marine

sanctuary establishment. We will consider establishment of three more MPAs in Zamboanga Sibugay (e.g., Tungawan, Olutanga, Ipil/Talusan).

- Coaching and mentoring will be provided to local marine sanctuary management bodies and municipal and provincial CRM TWGs to maintain assistance to LGUs previously assisted by the project (e.g., Dimataling, Tungawan).
- We will provide assistance such that seven existing MPAs will reach the enforced level with operating local M&E systems.
- We will continue support to IBRA 9 in the formation of an MPA network.
- We will promote links between MPAs and possible financiers through Mindanao Chamber of Commerce. We will also use the media and ideas like “Adopt a MPA” to raise awareness and money.
- We will develop IEC materials and advocacy strategies with an Islamic perspective that promotes good environmental governance in coastal regions.

#### **3.4. Policy Initiatives in CRM**

- At a local level, the project will focus on zoning. Zoning of coastal land and municipal waters is essential for clearly marking allowable activities in different areas. Such zoning should also be harmonized with the comprehensive land use plan of LGUs. The project will provide ecological and socio-economic analysis to contribute to LGU zoning decisions. We will also develop case studies on the costs and benefits of fisheries management zones, MPAs, marine transport, navigation zones, and foreshore management in selected LGUs.
- In support of inter-LGU networks, we will provide advice on institutional and legal mechanisms (e.g., from provincial and national government). For example, there may be contractual mechanisms, revenue-sharing mechanisms, and cost-sharing mechanisms that will enhance inter-LGU cooperation.
- At the national level, the project will support the Marine Protected Area Support Network, the national MPA Strategy, and various national agency working groups considering NIPAs, marine eco-regions, marine corridors, marine sanctuary networks, and fishery reserves. We will also promote improved policies on foreshore management, mangroves, and coastal development.
- At the national level, we will support incorporation of coastal zoning in the Rationalized Planning System guidelines for CLUPs now being developed by the DILG, NEDA and DBM.

### 3.5. Advocacy Initiatives in CRM

- We will build the awareness of coastal residents, raising their appreciation of the value of marine sanctuaries, adhering to fisheries regulations, and participating in enforcement activities. We will conduct IEC campaigns and develop outreach materials, such as translating CRM plans into local dialects.
- We will advocate at the provincial level (e.g., to the provincial government, PFARO/PAO, PENRO, and PPDO) for support of inter-LGU alliances, budget allocations, and law enforcement.
- We will link LGUs with the business sector (e.g., Mindanao Business Conference) to leverage support for their CRM initiatives.
- We will use the FISH BE model to illustrate the benefits derived from supporting LGU alliances to improve fishery protection and management. We will disseminate the model through work with the MPA Support Network.

### 3.6. Performance Targets for Year 3

The table below shows the targets for Year 3 in CRM sector.

**Table 9. Regional Distribution of CRM Targets for 2006-2007**

Objectives and Targets (Outcomes)	Distribution of Targets and LGUs			
	N. Luzon	C. Visayas	W. Mindanao	S. Mindanao
Place 47,042 hectares under improved management (bringing total to >100% of LoP)		23,488 hectares (Danao City, Poro, Tudela)	23,554 hectares (Tukuran, Dumalinao/Dimataling, Tungawan)	
Strengthen 15 existing marine sanctuaries and achieve enforced level for 13 (bringing total to 40% LoP target)		6 (Pilar, Poro-Libertad, Carmen, 3 in Southern Cebu through grants)	7 (Tukuran-2, Tabina, Dumalinao, RT Lim, Naga, Isabela)	
Establish 11 new marine sanctuaries (bringing total to 100% of LoP)	<i>San Luis (through grant)</i>	6(1-Balamban, 1-San Francisco, 1-Compostela, 2-Bohol, 1-Negros Oriental)	5 (San Pablo, Pagadian, Tungawan-Pulo Pina, Olutanga, Talusan/Ipil)	<i>Davao City (through grant)</i>
<b>Other Targets</b>				
Establish 2 MPA networks and initiate formation of at least 2 other networks	1 (Baler Bay)	2 (Camotes Sea, southern Cebu)	1 (Illana Bay, Sibuguey Bay)	1 (eastern Davao Gulf)
Strengthen inter-LGU alliances for bay-wide management	4 LGUs in Baler Bay with Aurora Province	4 LGUs in Camotes Island, 3 mainland, with Cebu Province	8 LGUs in IBRA 9 with ZDS Province, 6 LGUs eastern Sibuguey Bay with Province	

### **3.7. Critical Assumptions and Issues**

There are several critical assumptions in the CRM sector. First is that LGUs will show commitment to their legitimized CRM plans by actually following through with budget allocations and institutionalizing the CRM bodies they have created. This is particularly crucial in view of the upcoming local elections for 2007. Setbacks in the implementation of planned activities might occur in LGUs where there may be significant turnover among elected officials. Second, we assume the DENR, DA/BFAR, police, and other enforcement agencies and partners will meet their obligations for enforcement activities. The final assumption is that LGUs that have formed networks will capture the economic benefits of doing so, underpinning the sustainability of the network.

## 4. URBAN ENVIRONMENTAL MANAGEMENT – CLIN 0004 AND CLIN 0005

### **Expertise in UEM**

Sector Leader: TBD

Manila: Victor Luis (UEM advisor), Hector Florento (finance advisor)

N. Luzon: Evelyn Sagun (specialist), Eleanor Solomon (AP, Solano)

C. Visayas: Alma Dacquil (AP, Dumaguete), Kent Omictin (AP, Tagbilaran)

S. Mindanao: Erwin Patricio (AP, Isulan), Diego Tautho (Gen. Santos)

W. Mindanao: Earl Asmad (AP, Zamboanga)

### 4.1 Project Objectives and Link to DENR Objectives

EcoGov focuses on improving the management of urban environments, specifically improving the management of municipal solid waste and wastewater. EcoGov has two targets related to urban environmental management, captured under two CLINs.

- CLIN 0004: At least 90 LGUs diverting a minimum of 25 percent of their solid waste from disposal sites to composting and recycling.
- CLIN 0005: At least 20 LGUs investing in wastewater treatment facilities.

Activities carried out by EcoGov to achieve these two objectives directly support the DENR’s MFO 1 (1.3 and 1.4) on plans and policies developed, promoted, implemented, monitored and evaluated; MFO 2 (2.1) on ecosystems and natural resources development, protected, conserved, enhanced and degraded ones rehabilitated; and MFO 3 (3.1, 3.2 and 3.3) on appropriate and comprehensive regulations and standards, implemented, monitored and enforced. These strategies also address and support the GPOAs on Environment Sector I (support to operations; a and b) and Sector II (water quality management, implementation of Clean Water Act, Toxic and Hazardous Waste management, and Ecological Solid Waste Management).

### 4.2. Change in Project Approach to Solid Waste and Sanitation

The EcoGov team has been addressing solid waste management issues for four years (since EcoGov 1 began in 2002), and has been trying to promote investment in sanitation for the past two years. Our experience to date suggests that if we continue with the current approach, we will not meet our contractual targets, or if we do, the methods we are using will not be sustained or replicated. For solid waste management, we have had individual personnel in multiple LGUs, trying to push them through a process of planning, crafting of ordinances, and use of diversion facilities. Our work has been very intensive with these LGUs, and while valid, it is time-consuming and requires the constant presence of our personnel. For wastewater, we have not been able to induce the political will or financial commitment from LGUs to make investments beyond point sources and small-scale interventions.

Thus, as we approach the midpoint of the project, we will practice adaptive management: adjusting our approach and team structure to accelerate achievement of project objectives. Our adjustments are as follows.

- **Management and personnel change.** We will consolidate the solid waste and finance teams into a single UEM team. We will hire a new team leader (who will assume the role of key personnel) to strengthen activity coordination, provide additional technical capacity, and sharpen the focus on priorities and achievement of results. Further, we will engage new specialists in our regional offices.
- **Operational change.** We will make much greater use of local service providers (LSPs) to assist LGUs in lieu of EcoGov personnel in some locations. Meeting the demands of the growing list of LGUs involved in the UEM activities has challenged our team's limited resources. To overcome this constraint, we will issue task orders to one of twelve LSPs to assist LGUs in ISWM planning, ordinance formulation, and plan implementation. As necessary, we will also engage local engineering firms with specialized capacity in solid waste and wastewater management.
- **Technical change.** We will place great emphasis on business planning and the use of incentives to achieve UEM targets. To date, our assistance has focused on helping municipalities develop plans, technical approaches and ordinances. This year, we will introduce business planning that emphasizes cost recovery and test the use of incentives to achieve objectives.
- **Geographic change.** Just as in the FFM sector, where we focus on large tracts of forest lands, and in the CRM sector, where we focus on critical fisheries areas, in the UEM sector, we will focus on larger LGUs; that is, the places where waste and wastewater are the largest and most critical problems. Until now, we have given equal attention to both large and small LGUs. Moving ahead, new LGUs will have a minimum population of 40,000.

We will assess the impact of these changes in our approach at the end of this operating year (September 2007), and make further adjustments as needed to achieve the overall project objectives.

#### **4.3. Status of Solid Waste Management in EcoGov Regions**

Over the past two years, EcoGov has assisted 48 LGUs develop ISWM plans, begin implementing those plans, and enact local ordinances governing waste collection and fees. By September 30, 2006, 22 LGUs will have achieved the 25 percent waste diversion target using the proxy indicators of: (1) SWM plans completed; (2) ordinances issued or with enforcement; and (3) materials recovery centers and/or composting facilities established. In Year 3, we will work with the remaining 26 LGUs to establish ordinances, complete their SWM plans, and begin implementing waste diversion measures. Table 10 summarizes the results achieved as of the end of Year 2.

**Table 10: Progress Indicators in Solid Waste Management**

Indicator	Target	Baseline Oct. '04	As of Oct. '05	As of Oct. '06
LGUs with closed dumpsites	90	5	8	15
LGUs with composting facilities	90	1	13	26
LGUs with operational MRFs	90	1	14	37
LGUs with enacted SWM ordinances	90	1	11	26
LGUs with completed, legitimized ISWM plans	90	20	26	40
LGUs with ongoing IEC programs for ISWM	90	11	31	40
LGUs meeting 25% waste diversion goal	90	0	0	22

#### 4.4. Strategy for Achieving Solid Waste Management Objectives

The strategy for achieving solid waste management objectives includes: (1) a focus on larger LGUs, (2) standardization of simple approaches for assisting smaller and rural LGUs, (3) waste management business planning, (4) economic analysis of recycling and composting, and (5) specific measures for achieving scale and replication success. Further, and as with the other sectors, we will use strategic communications and advice to policymakers to improve our results.

##### *Focus on Larger LGUs*

To date we have concentrated equal attention on both small and large LGUs. Cities and larger municipalities represent the greater hazard and challenge in implementing sound solid waste management. In the coming year, we will:

- Help cities and larger municipalities enact and enforce ordinances, improve the efficiency of waste diversion activities, and develop and implement business plans for managing their solid waste.
- Work with metropolitan areas and their surrounding LGUs that are willing to invest in common disposal facilities. We expect to work with eight clusters to promote common sanitary land fill and related facilities. These include: Bayombong-Solano, Metro Bohol, Santa Catalina-Bayawan-Basay, Northern Metro Cebu (Danao/Carmen), Metro Koronadal, Tacurong-Isulan, Kidapawan-Makilala, and Ipil-Naga-RT Lim.

The staffing implication is that we will have ISWM specialists in each regional office working intensively with the technical working groups and DENR/EMB in those eight areas.

### ***Standardize Approaches for Assisting Smaller and Rural Municipalities***

Smaller LGUs (in terms of population) only generate significant solid wastes within their commercial business districts. We will work with local service providers, provincial governments, and DENR staff to develop simplified approaches that they can use to assist smaller LGUs to plan and implement improved solid waste management. Specifically, we will:

- Work with provincial governments and DENR, and carry out training workshops for LGUs on RA 9003 compliance, waste management planning, and ordinance development. We will develop standard, boilerplate plans and ordinances these LGUs can adapt to their specific needs.
- Strengthen, through training and technical assistance, the capacity of Provincial UEM teams in Quirino, Nueva Vizcaya, Aurora, Bohol, Cebu, Negros Oriental, South Cotabato, and Zamboanga Sibugay provinces.
- Make small grants to qualified NGOs, POs, and academic institutions who partner with LGUs to manage small composting facilities. We will also make grants to such organizations for limited outreach to households and businesses.

The implication is that our personnel will spend more time conducting provincial level trainings as we try to build the capacity of national and local government agencies to take on our work.

### ***Waste Management Business Planning***

We will work with eight urban LGUs that already have waste management plans and are interested in placing ISWM under autonomous management that outsources operations to a private business, or creates a city-owned enterprise that acts like a business. Thus, we will engage specialists with MBAs and business development backgrounds to:

- Advise LGUs on improving their financial management, particularly by establishing a financial reporting system and a special ISWM account that is separate from the LGU's general fund.
- Create a system establishing and adjusting fees/charges for services to achieve full cost recovery for at least commercial and industrial users, and to recover operation and maintenance (O&M) charges from residential users.
- Develop progressive performance standards for services, such that the private waste operator has a financial incentive to improve performance (e.g., waste collection, compost production).

- Parse out specific ISWM activities that can be outsourced (e.g., certain collection routes, compost facility management) and write the contracting documents to engage qualified proponents.

We will target the following LGUs for potential business planning assistance: Tacurong City, Kidapawan City, Koronadal City, General Santos City, Pagadian City, Danao City, Toledo City, Bayawan City and Cauayan City.

We will make use of our local subcontractor, CVAI, and international STTA to field appropriate candidates.

### ***Economic analyses of recycling and composting***

We will conduct detailed analysis of the economics of composting and recycling operations in two sample cities. The objectives of the studies will be to:

- Determine the costs and revenues associated with composting.
- Analyze the economics of MRFs in terms of costs and revenues.
- Conduct a comparative analysis of city-run MRFs versus the informal/formal junk shops in terms of costs, revenues, and overall collection of recyclables.

We expect these studies to show when it is most appropriate for the LGU itself to engage in such services, versus engaging the private sector or removing the impediments to the informal sector. We hypothesize that it will be more efficient for LGUs to allow others to manage these two critical elements of waste diversion.

We will make use of our local subcontractor, REECS, as well as universities that have received LSP subcontracts, to conduct these studies.

### ***Achieving Scale and Replicating Project Success***

As alluded to above, to reach the target of 90 LGUs, we work extensively at the provincial level, with LGU clusters, and with larger LGUs (especially those in Mindanao). We will also build the capacity of DENR field personnel to support LGUs. Further, we will coordinate our activities with those of other projects, such as USAID/SCOTIA, share best practices, and identify areas for potential collaboration.

#### **4.5. Policy Initiatives in Solid Waste Management**

The basic policy framework for solid waste management already exists with RA 9003. Thus, based on the feedback we learn from our LGU partners, we will make recommendations to the National Solid Waste Management Commission (NSWMC) for improving the Act, its IRR, and its enforcement.

- We will submit recommendations for simplifying the measurement and monitoring of waste diversion by LGUs.
- We will refine the technical guidelines for the clustering of LGUs and develop recommendations for sharing the management and use of common landfills.
- We will develop guidelines and simplified procedures for the design of landfills.
- We will develop policies that provide more incentives to the private sector to become involved in waste management, particularly to encourage private firms—already engaged in recycling—to collect materials of lesser value. For example, if junk shops have the infrastructure to collect high value aluminum and steel, conceivably, they could also collect lower value plastics for remittance to the LGU. We will also encourage LGUs to facilitate the work of firms larger than junkshops—firms that can handle intermediate processing, such as baling and creation of pellets.

#### **4.6. Strategic Communications in Solid Waste Management**

The sector suffers from limited political will and public support, especially when it comes to levying fees for services which are now free or of negligible cost. Thus, this year we will conduct a strategic communications program with the LGU cluster of Metro Bohol, Danao-Compostela, or Bayawan-Santa Catalina. In this program, we will develop and test specific communications approaches and messages for target audiences. If appropriate, we will replicate tailor these messages for replication in other LGUs. We will draw upon the expertise of our partner organization, The Media Network, to guide the design and implementation of this communications strategy and program.

#### **4.7. Performance Targets for Year 3: Solid Waste Management**

Using the approach outlined above and by focusing on the specific activities described under each sub-heading, we expect to achieve the 25 percent diversion target in 41 additional LGUs by the end of Year 3, bringing the total to 63 by the close of the year (Table 11). The details of this table are shown in Annex 2, indicating the Year 2 LGUs achieving the target candidate LGUs for Years 3 and 4. Even with a minimum population of 40,000, there are still 29 potential partner LGUs for Year 4.

**Table 11. Summary of SWM LGU Targets for Year 3**

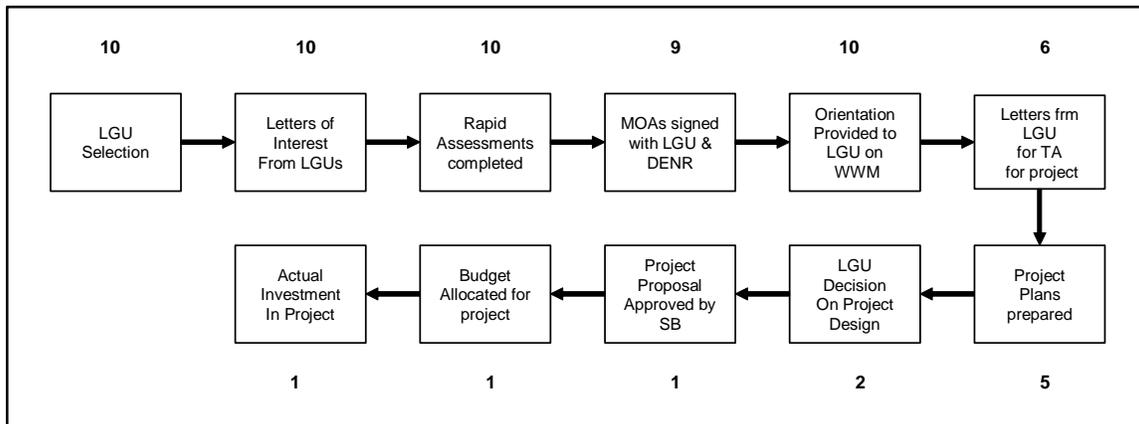
Region	Current Partner LGUs	25% Diversion Achieved in Year 2	Target for 25% Diversion for Year 3			
			Current Partners		New LGUs	
			Pop < 40,000	Pop > 40,000	Pop < 40,000	Pop > 40,000
N. Luzon	11	5	5	1	2	3
C. Visayas	21	8	6	7		2
S-C Mindanao	11	5		6		8
W. Mindanao	5	4		1	5	
<b>Total</b>	<b>48</b>	<b>22</b>	<b>11</b>	<b>15</b>	<b>7</b>	<b>13</b>

#### **4.8. Status of Wastewater Management in EcoGov 2 Regions**

The project’s long term objective is to improve the management and treatment of sewage and septage to reduce the threat to human health and adverse impacts on the environment. EcoGov’s specific objective is to help 20 LGUs to invest in sanitation facilities. The challenge in the Philippines, as in most places in the world, is that few city decision-makers invest in wastewater management unless faced with a specific legal requirement or a significant health epidemic. (For example, in the United States, many mayors did not act until the Clean Water Act was passed, the US EPA actually began enforcing it, and civil lawsuits forced cities into court.) The Philippines Clean Water Act exhorts LGUs to improve wastewater management, but lacks specific requirements or enforcement provisions, nor does it provide funding from the national government to help offset the capital infrastructure costs associated with this mandate. Without such prodding from the national government, and without the incentive of funding from the national government, EcoGov has been left facing LGU leaders that feel they have more pressing needs. Thus, EcoGov must convince LGUs that the health and economic benefits derived from wastewater treatment offset the investment and operating costs.

During the past two years, we have implemented the approach diagrammed in Figure 2, and have concentrated on addressing wastewater management of specific point sources; namely, public markets and slaughterhouses. We employed this approach because: (1) these sources are significant contributors to wastewater problems in most LGUs; and (2) we wanted to demonstrate quick impacts that would generate LGU support and financing for the larger, more complex challenge of urban wastewater planning and mitigation. Following this approach, we have worked with 10 LGUs to characterize the wastewater problem associated with the public markets and slaughterhouses, identified alternative approaches for managing and treating this wastewater, and worked with the LGUs to select an agreed upon approach. However, as shown in the numbers in Figure 2, only five of the ten LGUs that initially expressed interest have so far followed through with commitments to carry out specific projects. Based on this result, we will modify our approach this year as outlined below.

**Figure 2. Wastewater Management Approach**



### *Progress Indicators*

- 10 LGUs (six in Central Visayas and four in Southern and Central Mindanao) expressed interest in implementing wastewater management projects.
- 9 LGUs (Tacurong, Koronadal, Kidapawan, General Santos, Bayawan, Bais, Tanjay, Panglao, and Daus) have signed MOAs with EcoGov and DENR for wastewater management, following a rapid assessment of specific point sources done by EcoGov
- 6 LGUs have requested technical assistance for specific projects to improve wastewater management from slaughterhouses and public markets and housing projects before the end of 2006.
- 5 LGUs (four in Mindanao and one in Central Visayas) have prepared or are preparing specific project plans, including a wastewater treatment facility for a housing project.
- 1 LGU (Tacurong) has secured Sanggunian Panlungsod approval for engineering design and budget allocation, and is about to commence construction of the facility.

#### **4.9. Strategy for Achieving Wastewater Management Objectives**

The strategy for achieving wastewater management objectives includes: (1) engaging LGUs and water districts in wastewater planning, (2) the rapid assessment of the wastewater situation in participating LGUs, (3) project identification and planning. Further, and as with the other sectors, we will use strategic communications and advice to policymakers to improve our results, and (4) specific measures for achieving scale and replication success

### *Engage LGUs and Water Districts Involved in Wastewater Planning*

We will continue to support the five LGUs (Kidapawan, Koronadal, Tacurong, and General Santos in Mindanao and Dauis in Bohol) with specific wastewater projects for their public markets, slaughterhouses, and a housing project and use these sites for case studies and demonstration. However, we also recognize that we must engage other LGUs and water districts and expand beyond a focus on public markets and slaughterhouses. Therefore, we plan to organize—with our DENR/EMB regional counterparts and SO4 project partners—at least three regional workshops on wastewater management. Invitees will include mayors, vice mayors, and members of municipal councils from LGUs with population of more than 40,000. These workshops will present and engage participants in discussions on:

- Health hazards and economic development risks associated with the lack of wastewater management.
- The Clean Water Act and the LGU/water utility legal responsibilities for wastewater management.
- International best practices in water/wastewater services.
- Technology options and associated costs for wastewater management.
- Financing the infrastructure and achieving partial cost recovery.

We will draw upon organizations such as the National Water Resources Board and Eco-Asia/LINAW, among others, for materials and resource speakers for these workshops. Through these workshops, we will identify between ten and twenty LGUs with a strong commitment to making an investment in sanitation.

Further, we will build upon the results of the water quality assessment we conducted for Panglao Island and work with SCOTIA and WWF CRFC to promote investments by the provincial government, Tagbilaran City, the Panglao Island LGUs, and the tourist industry. Such investments should be part of the island's overall tourism development strategy.

### *Rapid Assessments*

Assuming we identify ten committed LGUs and/or water districts, we will conduct rapid appraisals of the wastewater management problem in these areas over the next year. (As appropriate, we will use LSPs and subcontractors to conduct these assessments.) The objective of the appraisal will be to estimate the volume of wastewater and the relative contribution from point sources like slaughter houses, hospitals, malls, and dense commercial, industrial and residential areas; identify the existing infrastructure and systems (i.e. septic tanks, storm drains, sewage infrastructure, desludging companies,

waste treatment facilities) in place to handle these wastes; and estimate health and economic risks. With this information, we will work with local stakeholders, the LGU and, DENR to identify options for improving wastewater management. We will involve LGU and/or water district staff in the appraisal and analyses, and in the presentation of results to the mayor's office and sanggunian. Our objective will be to secure commitments of personnel or funds to undertake specific sanitation projects.

### ***Project Identification and Planning***

During Year 3, our objective is to begin working with five new LGUs and/or water districts that have committed to develop wastewater treatment projects. We will work with those LGUs that commit resources to a project design, and will seek opportunities to address a variety of wastewater management challenges using different collection approaches such as septage management, combined storm and sewage or simplified sewerage systems; and different treatment process such as anaerobic baffled reactors, waste stabilization ponds, engineered reed beds, and batching reactors. We will engage LSPs and subcontractors with specific expertise to help LGUs develop technical and financial plans for project investments and to devise a financing plan for meeting at least O&M costs for the facility. The financing plans will include:

- Capital investment estimates and forecasts of recurring expenses for different technical options that can guide LGU and water utility planners and executive officers in their investment decisions.
- An analysis of cost recovery options including the use of cross subsidies with water or other services to help finance wastewater treatment capital and operating costs.
- Requirements for direct LGU subsidies and external borrowing.
- A plan to mobilize the resources necessary to carry out the investment.

As part of this planning process, we will organize visits by selected mayors, vice mayors, sanggunian members, and key technical personnel to other LGUs, such as Muntinlupa, Valenzuela and Dumaguete to see specific wastewater management approaches. Visits will be used to answer questions and facilitate a final decision from LGU and water district officials on specific project.

Additionally, we will assist LGUs draft ordinances and regulations to improve the management and treatment of wastewater by households, businesses, and industries. Ordinances could cover building/development codes for new residential and business areas (including subdivisions), and requiring the developers to put in place the required infrastructure for good wastewater management, and fees to be charged for wastewater treatment services.

### *Achieving Scale and Replicating Project Success*

We will work with the Eco-Asia Project to develop a simple primer on wastewater treatment and management for LGUs and water districts. Along with this primer, we will develop a simple, practical, and replicable approach that LGUs can follow to self-assess their wastewater situation. This will consist of a procedure and survey instrument to measure the extent and magnitude of the problem; estimate relative contribution and types of wastewater from different sources; and evaluate effectiveness of existing infrastructure and overall systems.

#### **4.10. Policy Initiatives in Wastewater Management**

- Similar to our effort in solid waste in Year 2, we will work with the EMB to develop simplified environmental compliance certificate (ECC) guidelines for wastewater treatment facilities. This will include simplifying requirements to allow easier compliance by LGUs and facilitate investments in new wastewater management infrastructure.
- We also will prepare model ordinances on wastewater management that address codes for new residential and commercial buildings, and for the collection of wastewater. The team will work with participating LGUs to select and adapt the model ordinance(s) that is most relevant to their needs.
- We will facilitate discussions between DENR-EMB and DA-National Meat Inspection Service (NMIS) aimed at developing standards (compliant with the Clean Water Act) for wastewater treatment facilities at slaughterhouses.
- We will participate and contribute to initiatives to review provisions of the Clean Water Act. In particular, we will focus on the review of effluent standards for slaughterhouses, public markets, and hospitals.

#### **4.11. Strategic Communications in Wastewater Management**

Working through our regional teams, we will test a strategic communications approach to generate greater public support for improved wastewater management. If time allows, we will test this approach in two LGUs. Such an approach should make households more willing to accept fees for wastewater, and should make LGU leaders more willing to undertake such investments.

#### **4.12. Performance Targets for Year 3: Wastewater Management**

- Continue support to five LGUs with specific wastewater projects.
- Hold three regional workshops on wastewater management.
- Promote wastewater investments in Panglao Island.
- Conduct rapid assessments in ten to fifteen LGUs.
- Help five LGUs identify and plan projects.
- Develop primer on wastewater management and guide to self assessment.
- Promote improved ECC guidelines.
- Develop model ordinances.
- Conduct two strategic communications efforts.

#### **4.13. Critical Assumptions and Issues**

For both solid waste and wastewater, for our activities to be successful, we assume the DENR will become more active in advising LGUs how to comply with RA 9003. At the same time, we assume the NSWMC will work to streamline requirements for compliance. We also assume that the EMB and other enforcement agents will follow through on their responsibilities of issuing ECCs, monitoring wastewater discharges, and enforcing violations. Without this threat of enforcement, it will be difficult for EcoGov to convince LGUs to make necessary financial decisions.

## 5. GOVERNANCE AND ADVOCACY – CLIN 0001

### **Expertise in Governance and Advocacy**

Senior Advisor: Jolan Angeles (*pending*)

Manila: Wilman Pollisco (legal specialist), Zita Toribio (policy specialist), Elaine Umali (IEC AP), EG Hizon (IEC specialist), Theresa Espino (AP)

N. Luzon: Roger Serrano (regional coordinator), Gil Vilorio (AP)

C. Visayas: May Ybañez (regional coordinator)

S. Mindanao: Fer Esguerra (regional coordinator), Nick Uriarte (advisor, Davao City)

W. Mindanao: Edward Lim (regional coordinator), Frenchie Carreon (AP)

### **5.1. Project Objectives and Link to DENR Objectives**

The long-term objective is to strengthen environmental governance in the Philippines, linking precisely with point 12 on the DENR 12-Point Agenda. EcoGov will improve environmental governance in at least 80 LGUs as measured by selected benchmarks from a good governance index. To achieve this, the project will:

- Implement the activities in each of the aforementioned sectors (forestry, coastal resources, solid waste, and sanitation) in a manner that improves the functionality, transparency, accountability, and participatory processes of government decision-makers.
- Strengthen local institutions and organizations.
- Use strategic, audience-based communications (including social marketing, IEC and news media relations) to positively influence community knowledge, attitudes and practices (KAP) related to the environment, and to build community demand for improved environmental management services.
- Build networks of LGUs (e.g., through inter-LGU agreements around a common facility, MPA, or watershed, or through provincial alliances) that can advocate for better services from government agencies and for increased funding for environmental management activities.
- Advocate for policy change that creates incentives for good governance.
- Monitor governance performance of LGUs and use that measurement as an incentive or guidepost for further actions.

The target of promoting improved governance in 80 LGUs is cross-cutting: it is something that we largely seek to achieve through our efforts in forestry, coastal resources, solid waste, and sanitation finance. Thus, apart from measurement of governance performance, itself, our approach in this CLIN is driven by the four sectors.

For management purposes, in this CLIN we capture those elements that are truly cross-cutting; namely: measurement of the index, strategic communications, social marketing, IEC and media, and regional advocacy.

## 5.2. Status of Governance and Advocacy in EcoGov 2 Regions

In Year 1 of the project, we facilitated a guided self-assessment of the governance practices of 79 partner LGUs. The results are shown below.

**Table 12. Results of Governance Guided Self-Assessment**

Category	Number of LGUs	% of Total
LGUs with consistently high overall indices for all environmental sectors, governance functions, and principles (index above 0.76)	17	22%
LGUs with cross-sector performance between 0.40 and 0.74	26	33%
LGUs with low index scores across all sectors, governance functions, and principles (index below 0.30)	9	11%
LGUs with a high index in one sector (above 0.76), but low in another (below 0.38)	27	34%

The self-assessment measured four governance principles: functionality, transparency, accountability, and participation. Most LGUs have made considerable progress in functionality (e.g., they have plans in place and procedures for implementation, enforcement, permitting, and licensing), but they show shortcomings in accountability and participation. The survey showed this to be especially true in the FFM and UEM sectors in Northern Luzon and Western Mindanao. Scores were also relatively lower for FFM in comparison to CRM. This may be a function of the greater degree of devolution in the CRM sector and the more proactive exercise of local governance.

In Year 2, we provided follow-up to all LGUs that participated in the index to suggest ways of improving their governance. As no measurement was scheduled for Year 2, we cannot state if the overall status has changed.

## 5.3. Strategy for Achieving Governance and Advocacy Objectives

The strategy for helping LGUs to improve their environmental governance is threefold. We will use integrated and strategic communications plans, we will promote an enabling environment for good governance through a sustained campaign of networking and advocacy, and will use the midterm governance assessment to strengthen the ability of selected LGUs to implement environmental programs.

First, we will use an integrated and strategic communications plan—which includes social marketing, IEC and news media interventions—to:

- Raise public awareness and promote community adoption of positive environmental behaviors.

- Reinforce networking and advocacy action.
- Raise the public standing, image and credibility of high-performing LGUs through an eco-label representing good environmental governance practice.

Second, we will promote an enabling environment for good governance through a sustained campaign of networking and advocacy. This will consist of targeted, mostly face-to-face interactions (including community mobilization, lobbying, and policy dialogues) by project and stakeholder “champions” directed at decision makers and those who can influence them. The end goal is to help bring about better environmental policy and financing decisions, especially by LGUs, and mainstreaming of EcoGov’s activities. Social marketing, IEC and news media will be employed selectively to reinforce networking and advocacy action.

Third, we will use the mid-term governance assessment to strengthen the ability of selected LGUs to implement environmental programs. The assessment is foremost a management tool that LGUs have used for planning and tracking performance in environmental governance. It has potential for being more than that however. Feedback from LGU officials strongly indicates great status value associated with the findings of the assessment. Combined into a single numerical index or “score,” the assessment will be an effective tool for advocacy and communications when conferred on LGUs as an eco-label representing good environmental governance.

With adequate promotion, the index will boost the public standing, image and credibility of high-performing LGUs. It will represent the ideal to be aspired to by lesser performing ones. Social marketing, IEC and news media will be employed selectively to promote this proposed eco-label.

### *Integrated and Strategic Communications*

Strategic and audience-based, the communications plan will be an integrated one. By “integrated,” we mean a plan that:

1. Delivers a unifying project theme and specific sector messages to clearly segmented audiences through multiple, reinforcing channels within roughly the same time period.
2. Has a unifying theme or identity (a “mother brand”) carried deliberately, clearly and consistently by all project components and associated activities. The various messages to be disseminated under the forestry, coastal resources, solid waste, and sanitation finance sectors will be framed within the context of this unifying theme.

A suggested unifying theme for project-wide consideration is:

**LINGKOD KALIKASAN: Public-Private Partnerships in the Service of the Environment**

The intention is for all main project components (the sectors) to converge thematically under this banner as part of a total environmental governance approach. The concept of “lingkod” or “service”—as opposed to “bantay” (guard) or “tanggol” (defend)—is proposed as being positive, inclusive, and non-confrontational.

Community mobilization and public awareness campaigns could link with the mother theme in part by defining the specific segment of the community participating in the campaigns. For example, the project could help its local partners organize an environmental youth wing, *Lingkod Kalikasan Youth*, a women’s club, *Lingkod Kalikasan Kababaihan*, or a market vendors group, *Lingkod Kalikasan sa Pamilihan*.

Because of their primary role in achieving EcoGov objectives, the main project sectors will have their own “branding.” These will have a natural connection to but also be distinct from the mother brand. They are, subject to validation, the following:

**LINGKOD DAGAT** (coastal)

**LINGKOD GUBAT** (forestry)

**LINGKOD LINIS BALAI** (Household solid and liquid waste)

The main interventions to be employed by the project’s communications team are social marketing, IEC, and news media. There are multiple delivery channels available for these interventions and they will be used strategically to defined audiences, reinforce each other’s reach, increase message retention, and bring about desired behavior changes.

Social marketing is primarily carried out to change the behavior of households or a specific target population (e.g., in terms of waste segregation). Social marketing could also change the attitudes of a certain group or their acceptance of something new (e.g., payment of a higher garbage collection fee). Lastly, social marketing can actually increase the demand by citizenry for good governance from their elected representatives. Some specific activities include:

- Research to gather baseline information on knowledge, attitudes and practices on household segregation of solid waste in pilot LGUs (conducted with LGU and community participation), including information on willingness to pay for segregation services.
- Pilot campaign to generate demand for segregation services in pilot LGUs.
- Information dissemination campaign to raise public awareness about the benefits of good environmental governance practice in selected LGUs.
- Public awareness campaign to motivate community members to comply with environmental laws, report on violations of the law, and participate in environmental conservation or protection activities.

- Participatory monitoring and evaluation of the impact of social marketing activities.

Information, education, and communication, or IEC, develops, produces, and distributes culturally appropriate, cost-effective information materials in support of social marketing and advocacy. It also includes the conduct of community-based events (sometimes known as “excitements”) to underscore a particular message (e.g., billboards announcing a new fee structure; a “Bida sa Basura” competition and public recognition ceremony for the neighborhood family with the largest volume of segregated waste for the month). Some specific activities include:

- Production of standard information kits on the major components of the EcoGov project.
- Production of information, promotion, and marketing material designed for decision-makers to support networking and advocacy campaigns (including community mobilization and lobbying).
- Production of marketing and investment promotion material designed to promote business sector participation the productive development of available forestry and coastal resources, and of solid/liquid waste facilities.
- Production and development of success stories, case studies, best practices, “how to’s” and other formats that capture project experience, expertise, lessons learned, and replicable technologies (dissemination will be mainly through print, events such as launches and knowledge sharing forums, and a project website upgraded into a repository of project knowledge).
- Participatory monitoring and evaluation of the impact of IEC activities.

News media relations aims to influence the news media to report more frequently on EcoGov issues, stories, local partners and project gains. Some specific activities include:

- Journalist training and site visits to improve the capacity of the news media to report effectively and accurately about environmental governance topics.
- Writing and dissemination of news advisories and captioned photos to selected national and local news outlets (print, radio, TV).
- Establishing positive relationships with news media practitioners and executives (national and local), providing them story leads, and pitching feature story ideas.
- Acting as a guest in community radio programs, with emphasis on programs with live Question-and-Answer or Consultation-and-Advise segments.
- Tracking and monitoring of content, frequency, relative prominence, and media cost values.

### *Networking and Advocacy*

Networking and advocacy involves both direct interaction with decision-makers and indirect persuasion through those who can influence (or pressure) them. Within the EcoGov organization, the lead advocates are the Chief of Party, the Deputy Chief of

Party, the Sector Leaders, and the Regional Coordinators. Outside of EcoGov, the project will mobilize local and national advocacy champions from stakeholder and partner groups. Some specific interventions and related activities include:

- Community mobilization – to expand the constituency for good environmental governance. By enhancing community participation, mobilization will strengthen the sustainability of advocacy and increase community ownership.
- Lobbying – senior members of the EcoGov team will personally meet with LGU and agency leaders to help them understand the importance of implementing a particular activity (e.g., joining an inter-LGU alliance); advocacy champions from stakeholders and partners will also be engaged to reinforce the lobbying effort.
- Policy dialogues – to support policy reform by co-organizing with national and local public-private sector partners, policy dialogues, co-writing policy briefs, and sponsoring policy forums.
- Presentation of economic and financial implications (including commercial threats and opportunities) of environmental governance – primarily to get buy-in from Local Chief Executives and other influential people in the public and private sectors.
- Local marketing and investment promotion – to support the efforts of partner LGUs to attract responsible investments in the productive development of their coastal and forest resources, and investments in solid and/or liquid waste facilities.
- Mainstreaming – packaging and regularly disseminating relevant project information to national, regional and local DENR officials so that EcoGov activities become incorporated into the agency’s work plan and priorities.
- Networking with other USAID environmental projects – to create a communications and advocacy technology sharing group, comprising all USAID-funded environmental projects.

### ***Fostering Sustainability of Initiatives in Communication, Networking, and Advocacy***

A common question regarding communications, networking, and advocacy efforts is how they will be sustained, or if there will be an institutional home for such efforts. The answer is not a simple one, particularly in terms of communication: many of the candidates most commonly put forward, including LGUs or government agencies, are often not set up to handle this function.

Messages designed to promote behavior change can never really end. The message needs to be given, it needs to be adapted, and it needs to be repeated for years before the behavior actually becomes a “norm” in society. Who will repeat this message after EcoGov ends? Our answer today is that we are uncertain—but does this uncertainty

mean we should not try? We posit that we will make this effort as a pilot. If it fails, then the issue of an institutional home becomes moot. If it succeeds in Year 3, then the challenge for Years 4 and 5 is to identify and strengthen this home.

We frequently discuss the issue of “mainstreaming” our DENR and LGU counterparts in project efforts. This is one area which will be amenable to that concept. We expect to work side-by-side with our local, provincial, and national DENR partners as we follow the critical processes described above. We will work with our counterparts as we identify target audiences, develop strategies on how to reach them, and implement those efforts. We hope to facilitate knowledge and skill transfer such that our counterparts can at least guide—perhaps through their own subcontracts—campaigns after EcoGov ends.

EcoGov will also assist DENR/FASPO to facilitate collaboration of projects within SO4 and among donors. **This may include organizing theme workshops, round table discussions, and other opportunities to share lessons and develop common agendas for action.** In so doing, FASPO will be better able to advocate recommendations to DENR senior management, and be better able to direct projects. We will focus on helping FASPO to use its own resources to strengthen its capacity for knowledge management. On a limited scale, EcoGov will assist FASPO in creating maps showing the location of various projects.

### *Mid-Term Governance Assessment*

Cesar Umali, Zita Toribio, and the Regional Coordinators will lead a mid-term governance guided self-assessment immediately after the May 2007 elections. The assessment will show progress from May 2005. For a city leader who has been re-elected, the assessment results can affirm policies and programs; for a newly elected leader, the assessment can serve as starting point for developing an agenda for environmental governance.

We will use the same mechanics during the mid-term assessment as we did during the baseline, with the following refinements: (a) adding questions to better understand the extent to which specific best practices are implemented; (b) increasing the proportion of non-government participants in the self-assessment sessions in each LGU; and (c) joint facilitation of the sessions by experienced EcoGov regional personnel and trained municipal and provincial LGU facilitators.

Looking ahead to the assessment, we have expectations for different sets of LGUs, which in turn will affect our work plan.

**LGUs with high performance.** The 17 LGUs with a cross-sector index higher than 0.76 are all expected to maintain, if not further improve, their good performance. There is little probability of backsliding away from best practices in any of the three sectors. To be highlighted in our governance advocacy campaign are LGUs showing sustained exemplary performance including two in Negros Oriental: Bayawan, which has brought

to bear the full force of its human and financial resources towards addressing environmental issues; and Dauin, which has proven that good governance is possible despite very limited resources. Jagna is another good subject for advocacy to demonstrate what can be accomplished when there is strong mutual trust between the mayor and the local communities.

**LGUs with median performance.** From our Year 1 assessment, we found 26 LGUs with a cross-sector index between 0.40 and 0.74, with no uniquely high or low level of performance (“overspecializing”) in one sector. We expect these LGUs to show general improvement, particularly for the sector with the lowest performance during Year 1. This would reflect our success in facilitating the flow of DENR and provincial LGU assistance to sectors not being assisted by the project. This networking approach is showing much promise and will be regularly assessed for effectiveness. Where a sector remains to be a poor performer, we will increase our use of social marketing to generate greater demand for good governance.

**LGUs with poor performance.** The nine LGUs with a cross-sector index of 0.30 or lower are expected to begin to show significant progress in all sectors by the project mid-term, whether or not a sector was previously assisted by the project. We are paying close attention to Lamitan (Basilan) and Payao (Zamboanga Sibugay) particularly where political will remains to be in question. If performance of any of the nine LGUs remains poor by the time of the mid-term assessment, then EcoGov may substantially modify its assistance strategy based on a more in-depth assessment of underlying leadership and technical factors.

**LGUs with inconsistent performance.** The 27 LGUs found to be “narrowly overspecializing” as shown by an index higher than 0.76 in one sector, and another that is 0.38 or lower in another sector, are expected to achieve significant progress in the weakest sector, whether or not that sector was previously project-assisted. If there is no progress in the weakest sector, then the project assistance strategy will be revised. Good models exist; for instance Dinalungan (Aurora) has shown how project assistance in one environmental sector can effectively radiate to the other sectors.

#### **5.4. Performance Targets for Year 3**

Based on the mid-term governance self-assessment, we expect to see improved measurements for LGUs across all sectors and on individual sectors. That said, such improvement is relative and subjective: the scoring, alone, from the self assessment will not be sufficient. Rather, our success in this CLIN will be also measured by the achievements in the project’s other sectors, which have biophysical targets.

Further, Annex 4 maps the project’s Audience Segments and identifies sixteen actions we expect various audiences to take. Each contributes to a target from one of the other CLINs. As we proceed through Year 3, we will review each of these actions to ensure they are taking place and that they are effective.

## **5.5. Critical Assumptions and Issues**

The challenge in this sector, and the assumption for its success, is that leaders will step forward to adopt the principles of EcoGov as their own. These leaders might be mayors, local police, or local DENR personnel who announce that it is time for change, without regard to their political ambitions. These leaders might be provincial governors or regional DENR personnel, who take the lead in forming networks of LGUs. These leaders might be at the national level who are willing to tackle difficult policy issues or make hard budget decisions. If EcoGov is able to cultivate partnerships with such individuals, the project has a much greater likelihood of success.

## **5.6 Sector Leadership and Staffing**

The sector's principal communications specialists are Jose Angeles and Manuel Hizon. Mr. Angeles' skill lies in strategic communication, strategy, and marketing, whereas Mr. Hizon's experience is with print and visual media. As such, they are good complements for one another.

Mr. Hizon has been very effective in getting EcoGov-related stories into "print" over the past several months without compromising our integrity or incurring unnecessary expenses. He and Mr. Angeles will continue to strengthen our relationship with the national media and broaden our reach within the DENR and the regions. For example, as EcoGov organizes sector-based "theme" workshops with the DENR, Mr. Hizon and Mr. Angeles will facilitate national media attention on the events.

## 6. MANAGEMENT AND ADMINISTRATION – CLIN 0006

CLIN 0006 of the EcoGov contract captures all costs which we cannot solely attribute to any single sector. This includes office rent and expenses, support costs (e.g., bank charges, property insurance), and the salaries of support staff. It also includes the labor hours of the Deputy Chief of Party for Management and Administration and a portion of the labor hours of the Chief of Party. In Year 2 of the project, personnel in this CLIN were engaged in regular project maintenance activities such as property management and finance. In addition, the project moved to new locations in General Santos City and Davao City. Most significantly, during Year 2, this CLIN captured the labor efforts to implement the grants program and indefinite quantity subcontracts for local service providers.

### 6.1. Project Organization

Figure 3 shows the names, titles, and location of physical deployment for all full-time technical personnel on the project and STTA with a consistent engagement for the foreseeable future. (Thus, the figure does not show administrative staff, nor does it show STTA who we engage for unique assignments of limited duration.) Note that the figure shows the *anticipated* deployment effective April 1, 2007. We use the term “anticipated” because of planned changes within our UEM and GoAd teams.

Personnel are arranged in a technical and geographic matrix. Sector Leaders provide the technical direction for the project and are the principal people responsible for achieving contract targets. Regional Coordinators provide the senior presence in field locations and have at least two roles: they are the principal governance and advocacy personnel in the field; and, they have administrative responsibility for local personnel and project property. In addition, the Regional Coordinators take on technical tasks as relevant (i.e., forestry for Roger Serrano, advocacy for Ed Lim, social marketing for May Ybañez, and communications for Fer Esguerra).

Note that in addition to our office in Manila and four field locations, we also base individual personnel in remote locations to maximize travel efficiency and maintain a consistent presence with our partner LGUs. Thus, we have personnel stationed as follows:

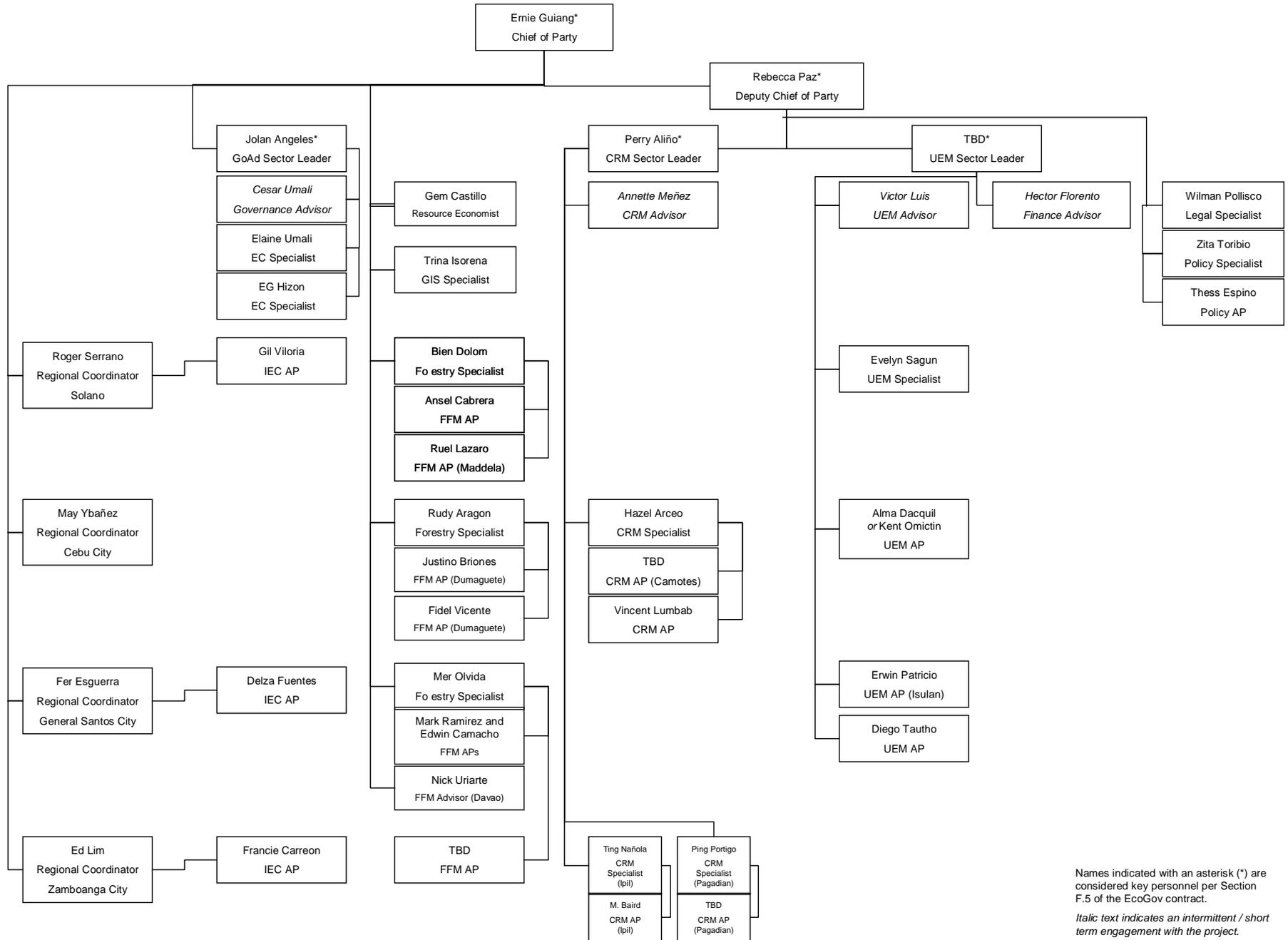
With support from Solano: Maddela

With support from Cebu City: Camotes Island, Tagbilaran, Dumaguete

With support from General Santos City: Davao City, Isulan, Cotabato City

With support from Zamboanga City: Pagadian, Ipil

**Figure 3. Anticipated Organizational Structure – April 2007**



Names indicated with an asterisk (\*) are considered key personnel per Section F.5 of the EcoGov contract.  
*Italic text indicates an intermittent / short term engagement with the project.*

### *Changes in Personnel and Key Personnel in Year 3*

EcoGov is a large project with dozens of personnel and multiple technical areas. Thus, it is not surprising that in Year 3, there will be changes in team composition that reflect natural turnover or the need for different skill-sets reflecting new sector strategies. As some of these changes occur in positions designated “key personnel” in Section F.5 of the EcoGov contract, upon approval of this work plan, DAI will submit a formal request for contract modification to reflect these new individuals. The principal changes are as follows.

- As stated in the discussion of CRM (CLIN 3) earlier in this work plan, the current Sector Leader, Annette Meñez, will be replaced by Porfirio Aliño. This change will become effective November 1, 2006. This change was anticipated in DAI’s original proposal and budget submitted in May, 2004. Both Dr. Meñez and Dr. Aliño are faculty members of the Marine Science Institute at the University of the Philippines Diliman Campus. For the past two years, Dr. Meñez has taken a leave of absence from her teaching and research responsibilities in order to serve full-time on EcoGov, while Dr. Aliño served as STTA. They will now switch roles. As Dr. Aliño has been consistently involved with the project back to the period of EcoGov 1, there will be no managerial or technical “drop off” with this change.
- As stated in the discussion of UEM (CLIN 4 and CLIN 5) earlier in this work plan, current UEM Sector Leader Victor Luis and current Municipal Finance Sector Leader Hector Florento will transition into short term advisory positions effective April 1, 2007. This change was anticipated in DAI’s original proposal and budget submitted in May, 2004. We will identify a new UEM Sector Leader to oversee both CLIN 4 and CLIN 5. The scope of work for this new position is included in Annex 2 of this document.
- The UEM field team consists of relatively junior assisting professionals delivering retail-level assistance to LGUs with a focus on distinct elements, such as completion of ISWM plans and establishing composting facilities. As our approach will change in this sector, the work of these assisting professionals will move to LSPs. In turn, we expect to engage specialists with greater skills in business planning and privatization of UEM services.
- As of this writing, Jose “Jolan” Angeles is serving as a short-term senior communications advisor with the project. His scope of work extends through September 30, 2006. Presuming his successful completion of this assignment, we anticipate proposing him as Governance and Advocacy Sector Leader, with a scope of work reflecting discussions between the CTO and EcoGov senior management in April 2006. This SOW is included in Annex 3 of this document.
- Per USAID request, and consistent with the statements in our Year 2 Work Plan, Daniel Rothberg, Manila-based Deputy Chief of Party for Management and Administration, will demobilize at the close of 2006. Mr. Rothberg will assume a

role that involves managerial backstopping from DAI's home office in the United States and intermittent visits to the Philippines. We discuss this further in the Management Transition Plan, below; Mr. Rothberg's SOW for calendar year 2007 is included in Annex 3 of this document.

- As has been the case in Year 2, the project will continue to engage STTA on a regular basis, with a new person (or previously-used person with a new scope of work) being engaged from one to two times per month. The continued engagement of STTA reflects the ever-changing demands of 80 partner LGUs working in five different sectors.

### *Management Transition Plan*

USAID has requested that the position of Manila-based, expatriate LTTA Deputy Chief of Party for Management and Administration be phased out at the end of 2006. USAID has also requested a transition plan to ensure continued smooth management of the project.

The EcoGov contract is an inherently complex project to manage. It has a \$19 million budget, six contract line items, six subcontractors, five offices, over eighty partner LGUs and government agencies, and at any given time, seventy full-time personnel based in one of fourteen different locations. The contract also includes a grant fund of \$350,000 for disbursement to thirty-five or more local organizations. In addition, by September 2006, DAI will have engaged at least twelve local subcontractors on an indefinite quantity basis to provide services to LGUs.

To date, Daniel Rothberg, as the DCoP/MA, has been responsible for managing the many elements borne of such complexity, including:

- Financial management
- Human resources and personnel management
- Procurement, property, and facilities management
- Grants management
- Indefinite quantity subcontract/local service provider management
- Other responsibilities, including contract compliance, subcontractor management, office staff supervision, recruitment, strategic planning, and revision and writing of reports and SOWs.

All of the above responsibilities are recurring and constant throughout the life of the project. Moreover, many entail significant financial and legal responsibilities on behalf of DAI, as the prime contractor. As such, these are not responsibilities that DAI can simply turn over, in whole, to a new local hire, even one whom we might recruit and train for several months. We will not devolve legal and financial responsibilities *down*; rather, these responsibilities will rise to the level of the person whom DAI trusts through multiple years of service, the Chief of Party, Ernie Guiang.

In order to ensure that Dr. Guiang is still able to attend to his technical tasks, Mr. Rothberg will continue to work on a part-time basis from DAI's home office and visit the project on a regular basis. Further, to the extent possible, the CCN Office Manager and Financial Officer will assume greater responsibilities of non-critical tasks; and, we will promote an existing staff member to serve as a grants and LSP manager.

DAI's "transition plan" for the departure of Mr. Rothberg thus entails a division of his existing responsibilities between himself, Dr. Guiang, the Administrative Officer (May Culibao), the Financial Officer (Cathy Pollisco), and an existing staff member, Mamet Magno, who will be promoted to Grants/LSP Manager. DAI submitted Mr. Rothberg's existing SOW to USAID on July 5, 2006. We present here these tasks and the person who will now be responsible.

<b>Current Responsibilities of DCoP/MA</b>	<b>Responsibility as of January 1, 2007</b>
<b>A. Financial management</b>	
A1. In collaboration with CoP and DCoP-Technical Results, strategically allocate \$4 million annual budget in a way that maximizes use of finances in relation to technical results, including distribution of funds by CLIN and by region	Rothberg (U.S.-based)
A2. Prepare quarterly financial reports, yearly pipeline budgets, and other expenditure projections for USAID, as needed	Rothberg (U.S.-based) and Manila <i>tdy</i>
A3. Manage field budget files in Microsoft Excel and DAI financial files (presented via Oracle) to track expenses, ensure appropriate spending within various cost categories, and make allocation for technical purposes and regional activities	Guiang and Pollisco
A4. On a bi-weekly basis, review six field expense reports prepared by Manila and regional accountants (Manila-based dollar account, plus peso accounts in Manila and four field offices)	Guiang
A5. Review and sign all payroll checks for approximately 35 DAI personnel, including bi-weekly paychecks for staff and monthly paychecks for consultants	Guiang
A6. On a recurring basis throughout each month, review and approve vouchers (including those for local subcontractors), vendor payments, bank drafts, petty cash replenishments, and all liquidations	Guiang
A7. On a monthly basis, review final invoice prepared by DAI/Bethesda and ensure expenses are correct	Rothberg (U.S.-based) and Pollisco
A8. Establish and maintain financial reporting policies to ensure regular and accurate invoicing of USAID	Rothberg (Manila <i>tdy</i> )
<b>B. Human resources and personnel management</b>	
B1. Establish and maintain all personnel policies to ensure compliance with Philippine labor law, tax law, and USAID regulations, requiring, as necessary, consultations with local labor and tax lawyers	Rothberg (Manila <i>tdy</i> )
B2. As DAI serves as the direct employer of up to 45 long- and short-term personnel at any given time, and as the indirect employer (via subcontract) of up to 25 long- and short-term personnel, implement all policies to ensure fairness and team cohesiveness. [Task requires direct, e-mail, and telephone communication with all personnel, including those of subcontractors.]	Guiang and Culibao

<b>Current Responsibilities of DCoP/MA</b>	<b>Responsibility as of January 1, 2007</b>
B3. Determine salaries for individuals falling within the US Embassy local compensation plan, and determine salaries to be proposed for USAID/ORP approval for technical personnel falling outside the plan	Rothberg (U.S.-based)
B4. Sign all employment agreements for local long- and short-term personnel and serve as DAI's legally accountable hiring representative in that regard	Guiang
B5. Make formal offers of employment to all DAI personnel and explain policies, procedures, and benefits to them prior to and upon hiring	Guiang and Culibao
B6. Make determinations regarding health/life insurance policy holder for personnel	Rothberg (U.S.-based)
B7. Respond to specific requests requiring adjudication in relation to personnel policy, including final payments, cash advances, leave without pay, and professional development	Rothberg (Manila <i>tdy</i> )
B8. Review and approve all leave accruals	Culibao
B9. Use Lotus NOTES management information system to manage electronic data (including CVs, scopes of work, salary histories) for all individuals who work on the project, regardless of hiring mechanism, regardless of task. (The total number of individuals as of July 2006 is in excess of 200.)	Culibao
B10. Prepare individual scopes of work for all administrative personnel.	Culibao
B11. As necessary, review DAI's business establishment mechanism in the Philippines to ensure compliance with local law	Rothberg (Manila <i>tdy</i> )
B12. Manage annual employee review process	Rothberg (Manila <i>tdy</i> )
<b>C. Procurement, property, and facilities management</b>	
C1. Provide overall management for all USAID property, including its allocation to regional offices, individual personnel, safekeeping, and maintenance. (Total property value under project control, based on purchase price, is over \$500,000 and includes eight vehicles, over 75 laptop and desktop computers, six servers, IT software, and office equipment sufficient for the entire staff.)	Guiang
C2. Review and approve regular commodity transaction reports and commodity inventory listings prior to submission to USAID	Guiang
C3. Make purchasing decisions for new equipment in compliance with contractual guidelines, AIDAR procedures, and DAI procedures, including review of bid comparison matrices. Where necessary, coordinate with DAI/Bethesda, CTO, and ORP on procurement from the United States and on source-origin waivers.	Rothberg (U.S.-based)
C4. Authorize significant repair expenses (e.g., to vehicles)	Guiang
C5. Ensure compliance with property control policies by all offices	Guiang
C6. Review and sign all office leases, utility contracts, property insurance policies, and security contracts	Rothberg – U.S.-based and Manila <i>tdy</i>
<b>D. Grants management</b>	
D1. Manage grants process, including overseeing entry of all applications into database, managing quarterly review process, and writing clarification and negotiation letters	Rothberg (Manila <i>tdy</i> ) and Grant/LSP Manager
D2. Negotiate with grantees and prepare negotiation memo and award recommendation letter for CTO	Rothberg (Manila <i>tdy</i> ) and Grant/LSP Manager
D3. Prepare and issue grant agreements and debrief grantees on all stipulations, including mandatory standard provisions and certifications	Grant/LSP Manager

<b>Current Responsibilities of DCoP/MA</b>	<b>Responsibility as of January 1, 2007</b>
D4. Review all deliverables for fixed obligation grants prior to disbursement	Guiang
D5. Oversee procurement of goods and services for in-kind grants.	Grant/LSP Manager
D6. Ensure compliance with agreements by grantees, oversee final audits (as necessary), and write close-down memos	Rothberg (Manila <i>tdy</i> ) and Grant/LSP Manager
D7. Prepare Annual Program Statement	Rothberg (U.S.-based)
<b>E. LSP indefinite quantity subcontracts</b>	
E1. Manage relationship with approximately 12 subcontractors and ensure their compliance with USAID regulations	Rothberg and (Manila <i>tdy</i> ) and Grant/LSP Manager
E2. With Sector Leaders, prepare task order scopes of work and tentative budgets	Rothberg (U.S.-based) and Grant/LSP Manager
E3. Submit task order scopes of work to CTO for approval	Grant/LSP Manager
E4. Determine if competition for individual task orders is necessary, and if so, manage bidding process	Grant/LSP Manager
E5. If competition is not necessary, manage solicitation of RfQ (request for quote)	Grant/LSP Manager
E6. Review proposals and quotes/budgets of LSPs	Rothberg (U.S.-based) and Grant/LSP Manager
E7. Issue task orders and manage payment based on confirmation of service by task order manager	Guiang and Grant/LSP Manager
<b>F. Other responsibilities</b>	
F1. Contract compliance: ensure day-to-day compliance with all elements of contract	Guiang
F2. Subcontractor management: manage relationship with four local subcontractors (CVAI, MERF, OIDCI, REECS) and authorize their deployment of personnel	Guiang and Rothberg (U.S.-based)
F3. Subcontractor management: manage relationship with two U.S. subcontractors (The Media Network, EMG)	Rothberg (U.S.-based)
F4. Recruit Philippines-based personnel	Guiang
F5. Recruit international personnel	Rothberg (U.S.-based)
F6. Write sections of work plans, annual reports, and quarterly reports	Rothberg (Manila <i>tdy</i> )
F7. Edit all work plans, annual reports, and quarterly reports	Rothberg (U.S.-based)
F8. Review all activity budgets submitted by field personnel to ensure accord with technical objectives of contract	Guiang
F9. Review/revise scopes of work for all technical personnel to ensure adherence to contract objectives	Rothberg (U.S.-based)
F10. Supervise Administrative Officer and Financial Officer	Guiang
F11. Supervise four Regional Coordinators with respect to personnel, procurement, property and facilities management.	Guiang
F12. Supervise IT network administrators (2) and publications associate	Culibao

The above table, while exhaustive, presents our honest assessment of the multiple tasks associated with managing a large project. Mr. Rothberg will remain responsible for several tasks such that (1) Dr. Guiang can focus on the technical directions of the project and (2) to ensure that project funds are efficiently used in a contractually allowable and allocable fashion—in other words, to ensure the best value to the US Government.

We estimate that this will require Mr. Rothberg to travel to the Philippines for approximately three weeks each quarter, and to allocate approximately three weeks per quarter to U.S.-based tasks.

We wish to reiterate several points about this transition plan.

- To the extent that DAI allows for any CoP, Dr. Guiang will have full operational responsibility. There are no tasks that Mr. Rothberg can complete to the exclusion of Dr. Guiang.
- EcoGov is promoting one of its own long-time office managers to the role of Grants/LSP Manager. Similarly, we are giving greater responsibilities to our Administrative and Finance Officers. This strengthening of internal capacity of career development is consistent with our proposal of 2004.
- Mr. Rothberg's new title, as shown with his SOW in Annex 3, will be Home Office Project Manager. The tasks shown in this SOW will exist regardless of whether Mr. Rothberg is available to complete them. We note here that at the current time, DAI is proposing Mr. Rothberg for a long-term assignment in Indonesia. Should he be selected for that assignment, then DAI will provide the name of an equally qualified individual to assume these tasks.
- As with all international assignments, DAI will seek CTO concurrence before mobilizing Mr. Rothberg on any temporary duty in the Philippines. As such, the CTO and CoP will have the regular ability to review the continued need for Mr. Rothberg on the project. We are purposefully using a conservative estimate of level of effort, but will scale it back if circumstances allow.

### ***Infrastructure Changes in Year 3***

EcoGov currently allocates office space in its Manila headquarters to two personnel from the USAID/FORWARD task order to establish a water revolving fund. Each month, we apportion an appropriate amount of rent, utilities, and other office costs between the EcoGov and FORWARD contracts. The FORWARD task order is now ending, and USAID has awarded the Philippine Water Revolving Fund (PWRF) contract to DAI. PWRF will co-locate with EcoGov. PWRF will engage six total personnel and will assume a greater amount of rent, utilities, and other costs, leading to a modest cost savings for EcoGov. We will also divide the time of a small number of people (e.g., accountant, IT support, desktop publisher) to both contracts.

## **6.2. Grants Management**

EcoGov has a contractually approved ability to disburse up to \$350,000 in small grants over five years, with the largest single grant award being \$25,000. EcoGov's USAID-approved grant manual further allows the project to award grants of up to \$10,000 through a limited competition or non-competitive (i.e., sole source) process. For the calendar year 2006, EcoGov issued an Annual Program Statement (APS) on a nationwide basis. The APS describes the application procedure for grants of less than \$10,000 and less than six months in duration. Under the basis of the 2006 APS, over the past nine months, we have received approximately sixty applications and issued nine fixed obligation and in-kind grants for a total of approximately \$80,000. In the remainder of 2006, we expect to issue an additional six grants based on the existing application pool.

We have found that the current APS process is an efficient way of soliciting applications. The \$10,000/six month limit is appropriate for the majority of small organizations applying for funds, and the broad scope of the APS and open nature of the application process encourages organizations from around the country to submit a wide variety of projects for funding. Therefore, in November 2006, the DCoP/MA will prepare the scope for the EcoGov 2007 APS. We will seek comments from the DENR on the scope and submit it to the USAID CTO for approval. Upon CTO approval—presumably by late December—the DCoP/MA will advertise the availability of the 2007 APS in multiple newspapers, through the U.S. Peace Corps, via the DENR-maintained EcoGov website, and through other channels as appropriate.

In 2007, we will review grant applications on an approximately quarterly basis. During the calendar year, we expect to issue up to twelve to fifteen grants for a total value of approximately \$120,000.

## **6.3. Indefinite Quantity Subcontracts for Local Service Providers**

During the period of May-June, 2006, DAI conducted a nationwide competition to solicit applications from private contractors, NGOs, and academic institutions to join EcoGov as subcontractors on an indefinite quantity basis. Thirty-three organizations submitted bids that included fixed burdened daily rates in twelve labor categories. From this group of offerors, DAI selected twelve top-ranked firms. (Negotiations are ongoing as of the writing of this document. As some firms may drop out during negotiations, with DAI moving to marginally lower-ranked or marginally higher cost firms, we will not include the list of firms here.) We term these firms indefinite quantity subcontract local service providers (IQS LSPs).

LSPs have subcontracts with ceiling values of \$100,000 or less. We will access LSPs by issuing task orders that make use of the firm's fixed burdened daily rates, dramatically reducing the time needed for cost negotiation. The team's specialists will draft scopes of work, which the DCoP/MA will submit to the CTO for his concurrence. Then, the DCoP/MA will compete the task order, if necessary, to the twelve firms, or a subset of those. Typically, LSPs will only need to submit a cost quote, résumés of candidates, a

timeline of work, and sometimes, a short proposal (i.e., ten pages). (Sometimes, LSPs will only provide a cost quote and résumés.) The EcoGov senior management team will select the best offer, and the DCoP will then issue a task order.

If the LSPs prove they have the implementation capacity, this process could dramatically change the way EcoGov functions in certain regions. It could extend our reach, and also have management implications in Years 4 and 5. It is conceivable that our regional presence (in terms of offices and personnel) becomes smaller, while our Regional Coordinators will act more like subcontract managers than as implementing personnel.

#### **6.4. Compliance with Local Employment Law**

In adherence with USAID/ORP Notice No. 19 of January, 2004 on compliance with local laws, DAI is making efforts to properly withhold income taxes of local employees and remit the same to the Bureau of Internal Revenue (BIR). The BIR has determined DAI to be a “non-permanent establishment” under Philippines law, with implications for how DAI complies with employee income tax provisions. DAI must use a locally registered payroll outsourcing firm or withholding agent to remit employee income taxes on our behalf. We have solicited proposals from seven such firms—management consulting, accounting, payroll outsourcing, and a bank—to compare the many different services each offers relative to their prices. As the bottom-line cost to the project could be in excess of \$10,000 per year, we note here the budgetary implications.

Depending upon the route that our local lawyers and tax advisors recommend, if we do need to incur such a cost, we will incorporate it into a revised budget and request for contract modification to the Contracting Officer.

#### **6.5. Year 3 Procurement Plan**

##### *Commodities under Grants*

The source-origin code for the EcoGov 2 contract is 000. CFR Title 22, part 228.40 states that local procurement of commodities from 935 countries is eligible under the 000 code if the value of the transaction does not exceed \$5,000. Any greater amount requires a waiver. At the same time, the EcoGov APS encourages eligible non-government and people's organizations to apply for goods and services of less than \$10,000 for a wide range of activities contributing to EcoGov goals in forestry, coastal resources, solid waste, sanitation, and good governance. The bullets below are typical of the requests we have received.

- In forestry, commodities to support reforestation and agroforestry activities, including purchase of seedlings, fertilizer, hand tools (e.g., shovels, picks), hardware and lumber (e.g., to build fencing), power tools (e.g., motorized strippers and threshers for use in agroforestry operations), global positioning systems (GPS), cameras, and desktop computers.

- In coastal resources, commodities to support delineation and protection of marine protected areas, including purchase of buoys, ropes, hardware and lumber (e.g., to build a watchtower), spotlights, radios, cameras, GPS units, small watercraft, and desktop computers.
- In solid waste management, commodities to support composting, recycling, and residual waste collection, including purchase of materials for waste barrels, (e.g., shovels and rakes for garbage sorting), hardware and lumber (e.g., to build compost and recycling sheds), weighing scales, trolleys/wheelbarrows, and power tools (e.g., motorized compost shredders and mixers).
- In sanitation, commodities to support small-scale wastewater treatment facilities and septic systems typically serving public markets and slaughterhouses, including purchase of construction supplies (e.g., cement, lumber, and pipes to build water drainage and collection systems).
- In governance, commodities to support outreach and education, including purchase of printing supplies, paper, public address systems, cameras, desktop computers, and printers.

As the majority of such commodities are locally-available, off-the-shelf items, DAI's contracts office will request a waiver to the 000 source-origin code for the purchase of commodities under grants.

### *Vehicles*

EcoGov maintains eight vehicles. At least two are nearing the end of their useful life, such that the cost of repairs and the time out-of-service is detracting from project efficiency. The greatest need is for an easy-to-repair, inconspicuous vehicle in Western Mindanao. DAI's contracts office will likely request a waiver to CFR requirements for the purchase of an American-made vehicle.

### **6.6. Submission of Contract Modification 3**

Upon approval of this work plan, DAI will submit a proposal for Contract Modification to USAID/ORP. The proposal will include the following, among others:

- Detailed breakdown of budget elements, by CLIN, in accord with the narrative expressed above.
- Résumés, scopes of work, and biodata/salary histories of new long- and short-term technical assistance.
- Procurement list for vehicle and IT back-up equipment (if necessary).
- Formal request for removal of key personnel.

Regarding the final item, per Contract Modification 1 of March 29, 2005 and letter from Regional Supervisory Contracting Officer on March 29, 2006, the key personnel positions and named individuals in the contract as of September 30, 2006 are as follows:

- |  |                         |
|--|-------------------------|
| 1. Chief of Party  | Ernie Guiang            |
| 2. Deputy Chief of Party for Management and Administration | Daniel Rothberg         |
| 3. Deputy Chief of Party for Results                       | Rebecca Paz             |
| 4. CRM Sector Leader                                       | Annette Meñez           |
| 5. UEM Sector Leader                                       | Victor Luis             |
| 6. Governance and Advocacy Sector Leader                   | <i>To be determined</i> |
| 7. Municipal Finance Sector Leader                         | Hector Florento         |

Per the discussions earlier regarding personnel changes, we will be requesting a contract modification to Section F.5 to reflect the following revised list of key personnel positions:

- |  |  |
|--|--|
| 1. Chief of Party                        | Ernie Guiang                               |
| 2. Deputy Chief of Party for Results     | Rebecca Paz                                |
| 3. CRM Sector Leader                     | Porfirio Aliño ( <i>November 1, 2006</i> ) |
| 4. UEM Sector Leader                     | <i>To be determined</i>                    |
| 5. Governance and Advocacy Sector Leader | Jose Angeles ( <i>pending</i> )            |

## **ANNEX 1. YEAR 3 ACTIVITY SCHEDULES**

Annex Table 1A. Year 3 Schedule of Activities: FFM Sector

Annex Table 1B. Year 3 Schedule of Activities: CRM Sector

Annex Table 1C. Year 3 Schedule of Activities: UEM Sector (Solid Waste Management)

Annex Table 1D. Year 3 Schedule of Activities: UEM Sector (Wastewater Management)

Annex Table 1E. Year 3 Schedule of Activities: GoAd Sector



**Annex Table 1A. Year 3 Schedule of Activities: FFM Sector**

Objectives/Key Activities	2006	2007				Responsibility Centers
	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	
<b>1. Improvement of the management of tenured areas, particularly those under community tenure and co-management (in 28 LGUs with legitimized FLUPs)</b>						
a. Assist LGUs facilitate the completion of resource management plans (CRMF, co-management plans, ADSDPP) of target tenure holders						
▪ ADSDPP (Northern Luzon)						RS
▪ CRMFs (S. Mindanao, W. Mindanao, C. Visayas)						RS, GC
▪ Co-management resource management plans (S. Mindanao, W. Mindanao, C. Visayas)						RS, GC, NU, ESG
b. Assist LGUs facilitate establishment of IPR policy and initial implementation within co-management areas and target community-tenure holders						
▪ Northern Luzon						BD
▪ Central Visayas						RA
▪ S Mindanao (Sarangani, North Cotabato)						MO
▪ Western Mindanao (Isabela City, Lamitan, Zambo City)						GC
c. Provide training of target POs on financial and cash flow management						RS (with STTA)
d. Facilitate training of POs and LGUs on forestry law enforcement						RS (with STTA)
e. Facilitate support of provincial and municipal LGU to PO strengthening and livelihood activities (e.g., Sarangani Province)						RS, RC
<b>2. Joint LGU-DENR implementation of FLUPs</b>						
a. Facilitate closure of open access areas through co-management agreements (includes LGUs with FLUPs to be completed in Year 3)						RS

Objectives/Key Activities	2006	2007				Responsibility Centers
	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	
b. Advocate for annual budget allocation; advice LGUs on priority investment needs in uplands (e.g., access roads, riverbank rehab, site development, social infra)						RC, RS
c. Strengthen upland extension services						RS
d. Assist LGUs develop strategy and incentives to encourage entry of private investments in forestlands; establish formal linkages with investors, markets and service providers; review various contracting arrangements						ESG, GC, RS (with STTA)
e. Provide technical advice on riverbank rehab, agroforestry, high value crops, eco-tourism, firewood production, biodiversity conservation						RS (with STTA)
f. Train/mentor LGUs and DENR in developing M and E system to assess FLUP implementation and performance of tenure holders						RS
<b>3. Establishment/operationalization of co-management arrangements (LGUs without FLUP)</b>						
a. With CRM team, facilitate mangrove co-management agreements and initial implementation (Camotes and Tungawan)						RA
b. Assist Zamboanga City and DENR 9 prepare resource management plans for Ayala and Manikahan watersheds (co-management areas), establish Steering Committee, formulate IPR policy and allocate implementation budgets						GC, ESG
c. Assist Davao City and DENR 11 prepare resource management plans for two co-management areas in Talomo-Lipadas watershed, establish Steering Committee, formulate IPR policy and allocate implementation budgets						NU
<b>4. Expansion, replication and upscaling of FFM best practices</b>						
a. Train provincial FLUP teams and DENR field staff on FLUP, co-management for replication and upscaling in municipal LGUs						
▪ Nueva Vizcaya						BD
▪ Sarangani (5 LGUs)						MO

Objectives/Key Activities	2006	2007				Responsibility Centers
	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	
▪ Zamboanga Sibugay						GC, TI
▪ Sultan Kudarat (Ninoy Aquino, Bagumbayan)						MO
b. Train FLUP teams in 5 ARMM LGUs on FLUP and co-management processes						
▪ Upi (up to approval of FLUP)						NU, JD
▪ Shariff Aguak, DOS and Datu Unsay(for FLUP replication and upscaling)						NU, LSP
▪ Bumbaran (co-management replication)						NU
c. Continue to provide (intermittent) technical and advisory support to DENR-FLUP teams of Cebu, Bohol and Negros Oriental						RA
d. Assist DENR 11 and 12, and PAMB complete the management plan (with zoning and initial validation) of Mt. Apo Protected Area as expansion site						ESG, NU
e. Assist Davao City and DENR 11 prepare management plans for critical watersheds						
▪ Talomo- Lipadas watershed						NU, ESG
▪ Davao River watershed						NU, ESG
f. Provide training to FMB staff and DENR-Calabarzon on FLUP through FLUP application in Antipolo City						ESG, TI, GC
g. Advocate with provinces and DENR for inclusion of FLUP in regular budgets and priority activities						RC, NU, MO
h. Link with JBIC-funded Program for Forest Resources Mgt for adoption of FLUP principles						ESG
i. Collaborate with members of the Phil Forestry Education Network, LMP and LSPs for replication and upscaling of FFM best practices						ESG
<b>5. Support to local and national policy and advocacy</b>						
a. Work with FMB to test tenure mgt assessment instruments for proclaimed watersheds, reservations and large IFMA areas; develop strategies to improve management						ESG (with STTA)

Objectives/Key Activities	2006	2007				Responsibility Centers
	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	
b. Test acceptability of concept of payment for environmental services (Barobbob watershed and Isabela City)						ESG, GC, ZT
c. Conduct technical and economic analysis of jatropa plantations as basis for advising LGUs						GC
d. Analyze government share from forest lands as basis for changing/modifying current policies						GC, JK
e. Assist FMB complete the Omnibus Forestry Guidelines; facilitate its review and approval						ESG, ZT (with STTA)
f. Advocate for incentives of local tenure holders (e.g., lifting of suspensions of resource use permits and deputation of forest protection officers)						ESG, RS
g. Hold discussions with FMB and NEDA re integration of FLUP into planning system						ESG
h. Assist in preparing the updated CBFM Strategic Plan						ESG, ZT
i. Guide DENR Region 2 and FMB in translation of Forestry Master Plan at provincial level (e.g., Quirino – integrate with FLUP “integration” activity)						ESG, BD, RC
j. Facilitate development of unified ENR-Forestry agenda in selected provincial LGUs (e.g., Nueva Vizcaya, Quirino, Negros Oriental, Sarangani, Sultan Kudarat, Zambo Sibugay)						ESG, RC, GC, RS
k. Assist in developing protocols, standards, systems on forest law enforcement						JK
l. Assist in developing protocols, standards, systems on forest law enforcement in Region 13						ESG, STTA

BD – Bien Dolom  
MO – Mer Olvida  
GC – Gem Castillo  
ESG – Ernesto Guiang  
JK – James Kho  
NU – Nicolas Uriarte

TI – Trina Isorena  
ZT – Zita Toribio  
JD – Jun Deboma  
RA – Rodolfo Aragon  
LSP – Local Service Provider

RC – Regional Coordinator  
RS – Regional Specialist  
STTA – Short-Term Technical Assistant

**Annex Table 1B. Year 3 Schedule of Activities: CRM Sector**

Objectives/Key Activities	2006	2007				Responsibility Centers
	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	
<b>1. Continue assisting LGUs in the implementation of CRM/FRM management plans</b>						
<b>1.1 Improved fisheries management</b>						
a. Legitimization (with ordinance issued) and initial implementation of gear/species management, registration linked to licensing, monitoring of landed catch						
▪ Baler						AM/PA
▪ San Francisco						HA
▪ Danao						HA
▪ Dumalinao, Dimataling						FP (with LSP)
▪ Tungawan, RT Lim						CN
▪ Lebak, Kalamansig						CN
b. Formalize link (through MOA) with support groups (e.g., PCG, PNP, Phil. Army, BFAR, Province, etc.)						CN
▪ Zamboanga Sibugay						
▪ Sultan Kudarat						
c. Strengthen local enforcement groups (policy support, performance monitoring)						RS (with LSP for WMin)
d. Feedback (through workshops) of Bay/island-cluster FISH BE model						
▪ Illana Bay						PA, FP
▪ Baler Bay						PA
▪ Camotes Sea						PA, HA
▪ Sibuguey Bay						PA, CN
e. Training on IEC material/message development						IEC
f. Policy/advocacy support for regular annual budget allocation						RC
<b>1.2 Improved implementation of other management zones</b>						
a. Management options assessment and planning for the priority zones						RS
b. Inter-LGU-exposure trip on mangrove management						CN
▪ Selected LGUs in Sibuguey Bay						
▪ Selected LGUs in Zamboanga del Sur						FP
c. Facilitate mangrove co-management agreement and initial implementation						
▪ Camotes (Poro, Tudela, San Francisco)						HA, RA
▪ Tungawan ZS						CN, RA
d. Orientation on mangrove co-management agreement						
▪ Zamboanga del Sur LGUs (4)						RA, FP

Objectives/Key Activities	2006	2007				Responsibility Centers
	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	
e. Support test implementation of foreshore management protocols						
▪ Balamban						PA, MY (with DENR 7)
f. Assist prepare tourism zone business plan						
▪ Tukuran, ZDS						FP (with LSP)
▪ Camotes						HA (with LSP)
g. Conduct economic and policy support study of marine transport and navigation zone of Davao City						GC
h. Facilitate consensus on potential seaweed farming areas (participatory zoning)						
▪ Selected LGUs in Zamboanga del Sur						FP
▪ Selected LGUs in Zamboanga Sibugay						CN
i. Training on IEC material/message development						
▪ Camotes LGUs						IEC
▪ Selected LGUs in Zamboanga del Sur						IEC
▪ Selected LGUs in Zamboanga Sibugay						IEC
j. Training on financing options and LGU financial management for specific zones, including marine sanctuaries						
▪ Selected advanced LGUs in Zamboanga Sibugay cluster						PA (with Fin STTA)
▪ Selected advanced LGUs in Camotes Sea cluster						PA (with Fin STTA)
k. Policy/advocacy support for regular annual budget allocation						RC
<b>2. Strengthen existing marine sanctuaries</b>						
a. Organizational strengthening of MPA management bodies						RS (with LSP)
b. MS enforcement assessment & planning workshops, training						
▪ Baler Bay						PA
▪ Danao, Carmen						HA
▪ Illana Bay						CN
▪ Sibuguey Bay						CN
▪ Basilan						CN
c. Compliance and performance M&E (no fishing in the no-take zone and reduced illegal fishing outside the MPA)						RS
d. Training on participatory biophysical M&E						
▪ Baler Bay						PA
▪ Camotes, Southern Cebu						HA
▪ Illana Bay						FP (with LSP)
▪ Sibuguey Bay						CN
▪ Basilan						CN (with LSP)
e. Technical biophysical M&E & follow-up trainings on data summarization/analysis (10 MS which have been benchmarked)						RS (with LSP in WMin)

Objectives/Key Activities	2006	2007				Responsibility Centers
	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	
<b>3. Establish new marine sanctuaries</b>						
a. Orientation on marine sanctuaries and core group formation						
▪ Compostela, Bohol, Negros Oriental						HA
▪ Olutanga/Talusan, Ipil						CN
• Davao City						PA, HA
b. Site selection and benchmarking surveys						RS
c. Marine sanctuary design and planning						RS
d. Legitimization of MPA establishment and adoption of the MPA plan						
▪ San Pablo, Pagadian						FP
▪ Pulo Pina, Tungawan						CN
▪ Davao City						PA, HA
▪ Olutanga, Talusan						CN
▪ Compostela, Bohol, Negros Oriental						HA
e. Conduct of initial implementation activities						RS, AP
f. Orientation/training of potential local partners (incl grantees, LSPs)						PA, RS
▪ Tawi-Tawi						
▪ Sultan Naga Dimaporo ( e.g., LAFCOD)						
▪ Bohol (e.g., BEMO)						
▪ Negros (e.g., ENRD)						
<b>4. Establish networks of marine sanctuaries</b>						
a. Refinement of MPA network modules						PA
b. Inter-LGU MPA forum, alliance building						
▪ Baler Bay						PA
▪ Camotes Sea						HA
▪ Southern Cebu						HA (with LSP)
▪ Illana Bay						PA, FP
▪ Sibuguey Bay						PA, CN
c. Assist LGUs develop guidelines for MPA networks, including draft ordinances and inter-LGU agreements (Camotes Island and Illana Bay)						PA, AM, RS
d. Orientation /training of potential local partners (incl grantees, LSP)						
▪ Davao Gulf Management Council						PA
▪ Bohol Sea						PA
e. Develop financing options and proposal for fund leveraging; develop marketing strategy						PA (with Fin/Mktg STTA)
<b>5. Strengthen inter-LGU alliance in coastal/fisheries enforcement</b>						
a. Formalize provincial and regional commitments in LGU initiatives; policy/advocacy support for budget allocation						RC, RS

Objectives/Key Activities	2006	2007				Responsibility Centers
	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	
b. Inter-LGU Coastal Law Enforcement Summit						
▪ Baler Bay						AM
▪ Camotes Sea						HA
▪ Illana Bay						FP
▪ Sibuguey Bay						CN (with LSP)
c. Formulation of inter-LGU fishery enforcement plan						
▪ Camotes Sea						HA
▪ Sibuguey Bay						CN (with LSP)
d. Inter-LGU Assessment Workshop on fishery registration and licensing						
▪ Illana Bay						FP, WP
▪ Sibuguey Bay						CN, WP
▪ Sultan Kudarat						CN, WP
e. Initiate implementation of inter-LGU reporting system						
▪ Illana Bay						FP, AM
▪ Camotes Sea						HA
f. Inter-LGU workshops to facilitate formulation of Unified Ordinances						
▪ Sibuguey Bay						CN (with LSP)
▪ Camotes Sea Cluster						HA, WP
g. Inter-LGU Training on IEC material/message development						IEC
<b>6. Support local/national CRM policies and advocacy</b>						
a. Conduct analysis and package information on ecological and socio-economic benefits of coastal and municipal water zoning and inter-LGU cooperation (i.e., enforcement, marine sanctuary networks)						PA, ZT, GC
b. Assist the development of institutional and legal support mechanisms to institutionalize the national Marine Protected Area Support Network (MSN)						PA, JK, ZT
c. In collaboration with MSN, develop and apply FISH BE 2 for marine sanctuary networks and inter-LGU alliances						PA (with STTAs)

PA – Perry Alino                      LSP – Local Service Provider  
 AM – Annette Meñez                IEC – Information, Education, and Communication Team  
 CN – Cleto Nañola                  RC – Regional Coordinator  
 FP – Fe Portigo                      RS – Regional Specialist  
 HA – Hazel Arceo                    STTA – Short-Term Technical Assistant  
 RA – Rudy Aragon  
 JK – James Kho  
 WP – Wilman Pollisco  
 GC – Gem Castillo  
 ZT – Zita Toribio

**Annex Table 1C. Year 3 Schedule of Activities: UEM Sector (Solid Waste Management)**

Objectives/Key Activities	2006	2007				Responsibility Centers
	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	
<b>1. Selection of new LGUs for SWM TA</b>						
a. Hold consultations/interactive sessions with provincial LGUs and potential municipal/city LGUs to determine interest and willingness to commit resources to SWM (Year 3 and Year 4 LGUs)						RC, RP/VL, UEM SL
b. Secure confirmation of interest and commitment through MOA and budget allocation						RC
<b>2. Assistance to small LGUs achieve 25% diversion</b>						
a. Conduct internal review of current SWM modules; develop simplified modules and templates for ISWM planning and implementation by small LGUs						RP, VL, WP
b. Conduct consultation/validation workshop with selected partners (LSPs, DENR field staff and selected provincial LGUs) to test and refine modules/templates						RP, VL
c. Train provincial core teams, DENR field staff and LSPs on simplified modules; action planning for TA to small LGUs						RP, VL, RS
▪ Zamboanga Sibugay						
▪ South Cotabato						
▪ North Cotabato						
▪ Bohol						
▪ Cebu						
▪ Negros Oriental						
▪ Nueva Vizcaya						
▪ Quirino						
▪ Aurora						
d. Provide technical back-up to LSPs and provincial core teams in delivery of TA to small LGUs on SWM planning and implementation						VL, RS
e. Monitor/document SWM performance of assisted LGUs (old and new); recommend improvements to make more efficient ongoing SWM operations						VL, RS
f. Advocate support for regular annual budget allocation, user fee collection by LGUs						RC, GoAd SL

Objectives/Key Activities	2006	2007				Responsibility Centers
	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	
<b>3. Assistance to larger LGUs and clusters of LGUs achieve 25% diversion and proper disposal management</b>						
a. Assist LGUs (EcoGov-assisted in previous years) complete and legitimize their SWM plans: Davao City, Gen. Santos City, Sultan Kudarat and Compostela						VL (with LSP for Gen Santos)
b. Review and refine SWM TA modules to streamline planning process and be implementation oriented (focus on waste diversion and establishment/mgt of common disposal facilities)						RP, VL
c. Conduct detailed analyses of economics of composting and recycling operations; compare with informal sector						HF, GC
d. Train and mentor LGUs on SWM planning and implementation (training will be in clusters of LGUs)						VL, HF, WP, IEC, RP
▪ composting and waste recovery technology and management options (incl outsourcing)						
▪ ordinance formulation and enforcement						
▪ IEC/social marketing						
▪ design, establishment and management of SLFs including clustering for a common disposal facility						
▪ financing options, user fee determination, SWM business planning						
▪ M and E						
e. Develop business plan concept for SWM and TA modules/tools for SWM business planning; guide and mentor 8 LGUs in formulation business strategies and plans						UEM SL, HF (with STTA/LSP)
f. Develop a social marketing program in support of SWM; implement in at least 2 LGU clusters						GoAd SL (with STTA)
g. Assist 8 LGU clusters prepare and implement plans for common disposal facilities (incl business plans)						VL, UEM SL (with LSP)
h. Monitor/document SWM performance of assisted LGUs (old and new); recommend improvements to make more efficient ongoing SWM operations						VL/RS, UEM SL
i. Advocate support for regular annual budget allocation, user fee collection of LGUs						RC, GoAd SL

Objectives/Key Activities	2006	2007				Responsibility Center
	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	
<b>4. Support to national policies</b>						
a. Assist NSWMC develop guidelines for simplified procedures for the design of SLFs						VL (with LSP or STTA)
b. Assist NSWMC refine/finalize guidelines and prepare issuance for clustering of LGUs sharing common SWM facilities						VL, WP
c. Develop simplified guidelines for waste diversion measurement and monitoring						VL, ES
d. Develop recommendations on incentive systems that will promote private sector investments in recycling and related services						ZT, HF

- |                       |   |
|-----------------------|---|
| RP – Rebecca Paz      | RC – Regional Coordinator                           |
| VL – Victor Luis, Jr. | LSP – Local Service Provider                        |
| WP – Wilman Pollisco  | RS – Regional Specialist                            |
| HF – Hector Florento  | GoAd SL – Governance and Advocacy Sector Leader     |
| GC – Gem Castillo     | UEM SL – Urban Environment Management Sector Leader |
| ZT -- Zita Toribio    | IEC – Information, Education and Communication Team |

**Annex Table 1D. Year 3 Schedule of Activities: UEM Sector (Wastewater Management)**

Objectives/Key Activities	2006	2007				Responsibility Centers
	Oct-Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	
<b>1. Completion of TA to current partner LGUs</b>						
a. Facilitate consensus among Bohol Province, mun LGUs and stakeholders on WWM actions as part of their coastal tourism strategy						
▪ Panglao, Dauis						RC, Goad SL, RP
b. Finalize project designs and assist prepare project proposals for SP/SB/donor approvals and budget allocation.						
▪ Kidapawan, Koronadal, Gen. Santos (WWTF for abattoir, market)						VL, HF (with LSP)
▪ Dauis (sewage treatment facility or STF for housing project) – in collaboration with SCOTIA						VL (with STTA)
▪ Panglao, Dauis (STF for tourism establishments)						VL (with STTA or LSP for tech design and costing)
▪ Tanjay City (WWTF for public market)						VL (with STTA)
c. Assist LGUs establish systems and budgets for the O and M of the WWTF (including contracting of facility management, if desired); train staff for the commissioning and maintenance of facility						
▪ Tacurong						VL, HF
▪ Kidapawan, Koronadal, Gen. Santos						VL, HF
d. Assist LGUs (incl Panglao Island LGUs) establish support mechanisms: user fee systems, simple business plans for economic enterprise which WWTF is part of, ordinances, IEC/social marketing, performance M and E (including water quality monitoring), institutional arrangements						HF, WP, IEC
e. Document experiences and lessons learned; develop case studies for learning sites						RC, IEC

Objectives/Key Activities	2006	2007				Responsibility Centers
	Oct-Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	
<b>2. Promotion of expanded sanitation investment projects</b>						
a. Develop simple and replicable method for conducting broad assessment of wastewater and sanitation problems in LGUs (using test data collected in Kidapawan, Koronadal, General Santos, Tacurong, Bayawan).						RP, VL (with STTA)
b. Organize at least 3 regional workshops for LGUs and water districts on WWM with DENR/EMB and other partners; identify 10 LGUs or water districts with interest to pursue WWM						
▪ Mindanao (2 workshops)						UEM SL, RC
▪ Central Visayas (1 workshop)						UEM SL, RC
c. Identify and train LSPs, DENR field staff, provincial teams, academic institutions on waste assessment methods						UEM SL, RC
c. Conduct broad assessments in 10 LGUs (and refine initial analysis in 5 Year 2 LGU partners); present results to partner LGUs/water districts and help them identify priority sanitation projects and other interventions.						UEM SL,VL, RS (with LSPs)
d. Formalize TA agreements with 5 new LGUs through MoA						RC, UEM SL
e. Assist these 5 new LGUs and/or water districts develop variety of WWM projects and prepare technical and financial/business plans. Also, help draft ordinances and determine appropriate user fees.						UEM SL, VL, RS (with LSPs)
f. Organize visits by LGU officials to existing WWM projects						UEM SL, RC
g. With Eco-Asia Project develop a primer on WWM for LGUs						GoAd SL
h. Test strategic communications approach in 2 LGUs to generate public support for WWM						GoAd SL

Objectives/Key Activities	2006	2007				Responsibility Centers
	Oct-Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	
<b>3. Support to local and national policies</b>						
a. Develop model local ordinances on collection and treatment of wastewater, septage mgt, other local policy gaps in relation to CWA and Sanitation Code; organize discussions with DENR, DOH, etc.						WP, VL
b. Facilitate discussions between DENR/EMB and DA/NMIS to develop standards for wastewater treatment facilities at slaughterhouses						VL
c. Assist EMB in simplifying the process and requirements involved in securing ECCs for wastewater treatment facilities						VL

- |                       |   |
|-----------------------|---|
| HF - Hector Florento  | RC - Regional Coordinator                           |
| VL - Victor Luis, Jr. | RS - Regional Specialist                            |
| WP - Wilman Pollisco  | STTA - Short-Term Technical Assistance UEM          |
| RP - Rebecca Paz      | SL - Urban and Environment Management Sector Leader |
|                       | GoAd SL - Governance and Advocacy Sector Leader     |
|                       | IEC - Information, Education and Communication Team |
|                       | LSP - Local Service Provider                        |

**Annex Table 1E. Year 3 Schedule of Activities: GoAd Sector**

Objectives/Key Activities	2006	2007				Responsibility Centers
	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	
<b>1. Mid-Term Governance Assessment</b>						
a. Follow up with individual LGUs on action plans resulting from feedback sessions						RCs
b. Refine instruments and mechanics for the mid-term governance guided self-assessment						CU, ZT, RC
c. Facilitate conduct of self-assessments in at least 85 LGUs						RCs, RS
d. Analyze results and prepare report, with comparisons with baseline data						CU, ZT, RCs
e. Feedback results to LGUs; agree on actions						RCs
<b>2. Development of an integrated communications plan (with project-wide concept, messages, and strategic applications)</b>						JIA, IEC, RS
<b>3. Social Marketing at LGU level</b>						
a. Solid Waste Management (“Lingkod Linis Balai”):						JIA, RC, RS
i. Small-scale baseline study (participative) on KAP in 2 sites (Metro Bohol and Bayawan or Danao)						
ii. TA to LGU clusters for pilot, community-based social marketing campaigns						
iii. Evaluation of pilot campaign, with recommendations for replication						
b. Waste Water Management						JIA, RC, RS
i. Small-scale baseline study (participative) on KAP in 2 pilot LGU sites						
ii. TA to LGUs for pilot, community-based social marketing campaigns.						
iii. Evaluation of pilot campaign, with recommendations for replication						
c. Coastal (“Lingkod Dagat”):						JIA, RC, RS
i. Small-scale baseline study (participative) in selected LGU clusters to determine KAP (Western Mindanao). Note: include Muslim perspective.						
ii. TA to LGUs for pilot community-based social marketing campaigns.						
iii. Evaluation of pilot campaign, with recommendations for replication						

Objectives/Key Activities	2006	2007				Responsibility Centers
	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	
d. Forestry ("Lingkod Gubat"):						JIA, RC, RS
i. Small-scale baseline study (participative) in selected pilot LGU site (Northern Luzon)						
ii. TA to LGUs for pilot, community-based social marketing campaigns.						
iii. Evaluation of pilot campaign, with recommendations for replication						
<b>4. Information, Education and Communication</b>						
a. Support LGU social marketing program with:						JIA, IEC, RC (with LSPs)
i. Comics. Re-print of Cebuano translation of the EcoGov comics "Kwento ng mga Bida sa Basura".						
ii. Flipcharts. Develop low-cost flipcharts (with user guidelines and training) for use in neighborhood education Note: include Islamic perspective.						
iii. Community "magic" theater. Tap theater groups to train existing community theater groups in pilot sites to give drama skits that weave in magic tricks with environmental messages.						
iv. Poster-making contest. Assist LGUs organize contest for elementary, high school, and out-of-school youth						
v. Radio. Develop ready-to-use environmental spiels for local radio announcers and commentators.						
vi. TV. Advocate with networks to incorporate environmental storylines/messages in soap operas, telenovelas, variety shows, game shows.						
b. Support to advocacy:						
i. Produce info materials on site specific best practices and success stories						RC, RS, MH, EU
ii. Produce primer on good environmental practices						RCs, MH
iii. Produce standard info kits on major technical seminars and orientation						SL, MH, EU
iv. Produce marketing and investment promotion CD-ROM						STTA/LSP
v. Manage participation in Earth Day, DENR Anniversary, Arbor Day, other events						MH

Objectives/Key Activities	2006	2007				Responsible Persons
	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	
<b>5. News Media Relations</b>						
a. Write/disseminate news stories and captioned photos to selected media outlets; arrange coverage of special events and guestings in local radio stations.						MH, RC
b. Arrange site visits by selected media people to produce articles and/or special reports.						MH
c. Arrange and coordinate special magazine issues.						MH
d. Organize journalist trainings in Luzon, Visayas, Mindanao.						MH
e. Provide media support to “Lingkod Kalikasan” performance eco-seal.						JIA
<b>6. Networking and Advocacy</b>						
a. Assist local advocacy champions and stakeholders lobby for better governance performance from leaders						RC
b. Co-organize policy dialogues with national and local public-private partners, including LGU leagues						JIA, SL
c. Organize/participate in investment and promotion forum/roundtable to attract business investments.						JIA, RC
d. Develop branding (eco-label) concept and promote “Lingkod Kalikasan” performance seal using GSA results						JIA, RC
<b>7. Knowledge Management</b>						
a. Produce success stories, case studies, best practices, how-to's, guidelines, training guides, and other formats						MH, EU, RC, SL
b. Produce canned version of IEC workshop						IEC
c. Produce prototype IEC materials						IEC
d. Expand EcoGov website into a comprehensive knowledge resource.						JIA

JIA – Jose Ibarra Angeles  
 MH – Manuel Hizon  
 EM – Elaine Umali  
 ZT – Zita Toribio  
 CU – Cesar Umali

RC – Regional Coordinator  
 RS – Regional Specialist  
 STTA – Short-Term Technical Assistance  
 SL – Sector Leader  
 LSP – Local Service Provider  
 IEC – Information, Education and Communications Team



## **ANNEX 2. TARGETS LGUS**

Annex Table 2A. FFM Target Area for Improved Management of Natural Forests and Development of Bare Forestlands

Annex Table 2B. Target LGUs and Coastal Area for Improvement Management

Annex Table 2C. Target LGUs and Marine Sanctuaries for Establishment and Strengthening

Annex Table 2D. Target LGUs for 25% Waste Diversion

Annex Table 2E. Target LGUs for Sanitation Investment in Year 2 and Projected Status in Year 3



Annex Table 2A. FFM Target Area for Improved Management of Natural Forests and development of Bare Forestlands

Region/ Province	No.	Municipality/City	Total Forestlands (Ha)*	Total Natural Forests (Ha)**	Natural Forests Under Improved Management (Ha)		Total Bare Forest Lands (Ha)***	Bare Forestlands under Productive Management	
					Year 2 (Actual)	Year 3 Targets		Year 2 (Actual)	Year 3 Targets
Basilan	1	Isabela City	11,281	3,425			2,227		
	2	Lamitan	4,235	1,198			534		
<b>Total for Western Mindanao</b>			<b>15,516</b>	<b>4,623</b>			<b>2,761</b>		
Sarangani	3	Maasim	46,617	7,462		2,437	28,776	24	200
	4	Maitum	21,773	16,805		13,152	1,740		80
	5	Kiamba****	30,843	19,929	7,063	14,450			
Lanao del Sur	6	Wao	19,820	12,412		902	1,495	7	900
Sultan Kudarat	7	Kalamansig	40,160	9,927	1,619		4,082	35	20
	8	Lebak	23,200	5,400	642		4,000	187	70
North Cotabato	9	Kidapawan City	5,946	2,137			203		
	10	Makilala	12,495	5,165	4,093		1,515		
Davao City	11	Davao City	220,000	31,000		3,124	76,000		
<b>Total for SouthCentral Mindanao</b>			<b>420,854</b>	<b>110,237</b>	<b>13,417</b>	<b>34,064</b>	<b>117,811</b>	<b>253</b>	<b>1,270</b>
Negros Oriental	12	Bais City	13,255	1,369	965		9,783		1,500
	13	Bayawan City	20,245	453	453		17,308		3,500
	14	Dauin	5,279	2,846	2,846		3,327		500
	15	La Libertad	5,595	123	123		4,874		1,000
	16	Sta. Catalina	41,505	4,484	3,676		35,451		1,500
Cebu	17	Tanjay City	14,554	1,160		933	1,538		700
	18	Alcoy	4,973	844		844	2,618		500
	19	Dalaguete	7,321	715		715	5,873		800
	20	Toledo City	5,994	432	432		3,357		800
	21	San Miguel	585	60		24	528		50
Bohol	22	Talibon	4,916	568	380		2,807		150
	<b>Total for Central Visayas</b>			<b>124,222</b>	<b>13,054</b>	<b>8,875</b>	<b>2,516</b>	<b>87,464</b>	<b>-</b>
Nueva Vizcaya	23	Dupax del Sur	32,727	15,827	687	15,079	3,156	42	-
	24	Quezon	18,292	11,293	2,655	-	1,927	5	200
Quirino	25	Aglipay	13,622	5,292	4,239	-	5,499	-	-
	26	Cabarroguis	16,365	9,692	2,535	-	9,087	-	-
	27	Diffun	19,506	5,147	2,927	-	11,917	80	-
	28	Maddela	59,292	44,163	3,782	7,383	10,461	8	50
	29	Nagtipunan	139,318	103,848	9,115	20,000	33,669	16	-
Aurora	30	Baler	4,580	4,100			445		
<b>Total for Northern Luzon</b>			<b>303,702</b>	<b>199,362</b>	<b>25,941</b>	<b>42,462</b>	<b>76,161</b>	<b>151</b>	<b>250</b>
<b>Total: All Regions</b>			<b>864,294</b>	<b>327,276</b>	<b>48,233</b>	<b>79,043</b>	<b>284,197</b>	<b>404</b>	<b>12,520</b>
<b>Cumulative Total</b>						<b>48,233</b>	<b>127,276</b>	<b>404</b>	<b>12,924</b>
<b>Cumulative % of LOP Target (254,670 ha of natural forests)</b>						<b>19%</b>	<b>50%</b>		
<b>Cumulative % of LOP Target (14,000 ha of bare forestlands)</b>								<b>3%</b>	<b>92%</b>

\* Data taken from legitimized FLUPs of LGUs.

\*\* Data taken from legitimized FLUPs of LGUs.

\*\*\* Data taken or estimated from available FLUP figures. These essentially consist of open areas, grassland and some brushlands.

\*\*\*\* FLUP is under preparation; figures for total forestlands and natural forests may change when FLUP maps are completed; no estimate available for bare forestlands.

**Annex Table 2B. Target LGUs and Coastal Area for Improved Management**

EcoGov Region/ Province	No.	Municipality/ City with CRM/FRM Plans	Potential Coastal Area For Improved Management (in ha)*	Coastal Areas Under Improved Management (in ha)		
				Year 1 (Actual)	Year 2 (Actual)	Year 3 (Target)
Zamboanga del Sur	1	Dimataling	3,932.9			3,932.9
	2	Dinas	6,153.6			
	3	Dumalinao	4,907.9			
	4	Labangan	1,572.2			
	5	Pagadian City	4,625.0			
	6	San Pablo	8,610.3			
	7	Tabina	14,367.8	14,367.8		
	8	Tukuran	1,845.6			1,845.6
Zamboanga Sibugay	9	Tungawan	17,775.6			17,775.6
	10	RT Lim**	4,683.9			
<b>Total for Western Mindanao</b>			<b>68,474.9</b>	<b>14,367.8</b>	<b>-</b>	<b>23,554.1</b>
Davao City	10	Davao City	16,659.0			
Sultan Kudarat	11	Lebak	8,631.3			
	12	Kalamansig	11,651.5			
<b>Total for Southcentral Mindanao</b>			<b>36,941.8</b>	<b>-</b>	<b>-</b>	<b>-</b>
Cebu	13	Balamban	3,935.6			
	14	Danao City	4,233.2			4,233.2
	15	Poro	9,459.7			9,459.7
	16	San Francisco	23,367.7		23,367.7	
	17	Tudela	9,794.6			9,794.6
<b>Total for Central Visayas</b>			<b>50,790.8</b>	<b>-</b>	<b>23,367.7</b>	<b>23,487.5</b>
Aurora	18	Dinalungan	11,769.4	11,769.4		
	19	Baler	12,121.6			
	20	San Luis	19,765.3			
	21	Dipaculao	19,661.1		19,661.1	
<b>Total for Northern Luzon</b>			<b>63,317.4</b>	<b>11,769.4</b>	<b>19,661.1</b>	<b>-</b>
<b>Total: All Regions</b>			<b>219,524.9</b>	<b>26,137.2</b>	<b>43,028.8</b>	<b>47,041.6</b>
<b>Cumulative Total</b>				<b>26,137.2</b>	<b>69,166.0</b>	<b>116,207.6</b>
<b>Cumulative % of LOP Target (106,700 ha)</b>				<b>24%</b>	<b>65%</b>	<b>&gt;100%</b>

\* Coastal area within 5 km from shoreline (based on definition in Project Monitoring Plan).

\*\* New site for Fisheries Management Planning, which will start in Year 3.

Annex Table 2C. Target LGUs and Marine Sanctuaries for Establishment and Strengthening

EcoGov Region/ Province	No.	Municipality/ City*	Marine Sanctuaries Established in Phase 1		New Marine Sanctuaries Established in Phase 2						Existing Marine Sanctuaries Strengthened					
					Year 1 (Actual)		Year 2 (Actual)		Year 3** (Target)		Year 1 (Actual)		Year 2 (Actual)		Year 3*** (Target)	
			No.	Area (ha)	No.	Area (ha)	No.	Area (ha)	No.	Area (ha)	No.	Area (ha)	No.	Area (ha)	No.	Area (ha)
Basilan	1	Isabela City					1	88.4							1	88.4
	2	Lamitan					1	100								
Zamboanga del Sur	3	Dimataling			1	50										
							1	20								
	4	Dinas														
	5	Dumaliniao			1	20									1	20
	6	Labangan					1	20								
	7	Pagadian City							1	20						
	8	San Pablo							1	20						
	9	Tabina	1	28											1	28
			1	95							1	95				
	10	Tukuran	1	160											1	160
		1	70											1	70	
Zamboanga Sibugay	11	Naga	1	124											1	124
	12	Payao	1	224												
	13	RT Lim	1	112											1	112
	14	Tungawan	1	880					1	100			1	880		
	15	<i>Ipil/Talasar.</i>							1	20						
	16	<i>Olutanga</i>							1	20						
<b>Total for Western Mindanao</b>			<b>8</b>	<b>1,693</b>	<b>2</b>	<b>70</b>	<b>4</b>	<b>228.4</b>	<b>5</b>	<b>180</b>	<b>1</b>	<b>95</b>	<b>1</b>	<b>880</b>	<b>7</b>	<b>602.4</b>
Davao City	17	Davao City							1	20						
Lanao del Norte	18	<i>Sultan Naga Dimaporo</i>														
<b>Total for Southern Mindanao</b>			<b>-</b>	<b>0</b>	<b>-</b>	<b>0.0</b>	<b>-</b>	<b>-</b>	<b>1</b>	<b>20</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
Cebu	19	Balamban							1	20						
	20	Danao City					1	40								
	21	Poro	1	42			1	33				1	42	1	33	
	22	San Francisco	1	33					1	46						
	23	Pilar			1	179									1	179
	24	Toledo City														
	25	Tudela	1	69								1	69			
			1	39												
	26	Carmen					1	28							1	20
						1	45									

EcoGov Region/ Province	No.	Municipality/ City*	Marine Sanctuaries Established in Phase 1		New Marine Sanctuaries Established in Phase 2						Existing Marine Sanctuaries Strengthened					
					Year 1 (Actual)		Year 2 (Actual)		Year 3** (Target)		Year 1 (Actual)		Year 2 (Actual)		Year 3*** (Target)	
			No.	Area (ha)	No.	Area (ha)	No.	Area (ha)	No.	Area (ha)	No.	Area (ha)	No.	Area (ha)	No.	Area (ha)
	27	Compostela							1	20						
	28	<i>Southern Cebu Cluster LGU</i>												3	60	
<i>Bohol</i>	29	<i>Bohol LGUs</i>							2	40						
<i>Negros Oriental</i>	30	<i>Negros Oriental LGU</i>							1	20						
<b>Total for Central Visayas</b>			<b>4</b>	<b>183.1</b>	<b>1</b>	<b>179.0</b>	<b>4</b>	<b>145.0</b>	<b>6</b>	<b>146</b>	<b>-</b>	<b>-</b>	<b>2</b>	<b>111.3</b>	<b>6</b>	<b>292.0</b>
Aurora	31	Dinalungan	1	19									1	19		
			1	37									1	37		
	32	Baler					1	242.6							1	20
	33	San Luis							1	20						
	34	Dipaculao			1	57.7							1	58	1	20
<b>Total for Central Luzon</b>			<b>2</b>	<b>56.0</b>	<b>1</b>	<b>57.7</b>	<b>1</b>	<b>242.6</b>	<b>1</b>	<b>20</b>	<b>-</b>	<b>-</b>	<b>3</b>	<b>113.7</b>	<b>2</b>	<b>40</b>
<b>Total: All Regions</b>			<b>14</b>	<b>1,932.1</b>	<b>4</b>	<b>306.7</b>	<b>9</b>	<b>616.0</b>	<b>13</b>	<b>366</b>	<b>1</b>	<b>95</b>	<b>6</b>	<b>1,105</b>	<b>15</b>	<b>934.4</b>
<b>Cumulative Total</b>					<b>4</b>	<b>306.7</b>	<b>13</b>	<b>922.7</b>	<b>24</b>	<b>1,288.7</b>	<b>1</b>	<b>95</b>	<b>7</b>	<b>1,200</b>	<b>20</b>	
<b>Cumulative % of LoP Target (20 new MS; 627 ha)</b>					<b>20%</b>	<b>49%</b>	<b>65%</b>	<b>147%</b>	<b>120%</b>	<b>254%</b>						
<b>Cumulative % of LoP Target (50 existing MS; 2,500 ha)</b>											<b>2%</b>	<b>4%</b>	<b>14%</b>	<b>48%</b>	<b>40%</b>	

\* LGUs in italics are expansion areas for Year 3. The specific LGUs in Southern Cebu, Bohol and Negros Oriental have yet to be identified.

\*\* Target for new marine sanctuaries for Year 3 is 11 out of the 13 listed below.

\*\*\* Target for strengthened MPAs in Year 3 is 13 out of the 15 listed below.

Annex Table 2D. SWM Target LGUs for 25% Waste Diversion

EcoGov Region/ Province	No.	Municipality/City*	2000 Population	With ISWM Plans Completed (as of Sept 2006)	With SWM Ordinances Approved (as of Sept 2006)	With Composting and/or MRF in Place (as of Sept 2006)	25% Diversion Achieved in Year 2	25% Diversion to be Achieved in Year 3**	25% Diversion to be Achieved in Year 4***
Basilan	1	Isabela City	73,032	X	X	X	X		
	2	Lamitan	58,709	X				X	
Zamboanga del Sur	3	Labangan	34,530					X	
	4	Pagadian City	142,515	X	X	X	X		
	5	Tukuran	33,747					X	
Zamboanga Sibuga	6	Buug	33,623	X	X	X	X		
	7	Ipil	52,481	X	X	X	X		
	8	Naga	35,176					X	
	9	RT Lim	34,152					X	
	10	Tungawan	33,194					X	
<b>Total for Western Mindanao</b>				<b>5</b>	<b>4</b>	<b>4</b>	<b>4</b>	<b>6</b>	
Lanao del Sur	11	Wao	35,517	X	X	X	X		
Maguindanao	12	Sultan Kudarat	94,861					X	
	13	Parang	60,935					X	
	14	Datu Piang	67,303						X
Marawi City	15	Marawi City	131,090						X
Cotabato City	16	Cotabato City	163,849					X	
General Santos Cit	17	General Santos City	411,822					X	
South Cotabato	18	Banga	69,131					X	
	19	Koronadal City	133,786	X		X	X		
	20	Norala	40,744						X
	21	Polomolok	110,709					X	
	22	Surallah	66,208					X	
	23	T'boli	60,693					X	
	24	Tupi	53,440						X
	25	Lake Sebu	54,142						X
Sultan Kudarat	26	Isulan	73,129	X	X			X	
	27	Kalamansig	44,645	X				X	
	28	Lebak	70,899	X	X	X	X		
	29	Tacurong City	76,354	X	X	X	X		
	30	Bagumbayan	53,444						X
North Cotabato	31	Kidapawan City	101,205	X	X	X	X		
	32	Makilala	63,039					X	
	33	Matalam	60,146					X	
	34	Midsayap	105,760						X
	35	M'lang	78,170						X
	36	Kabacan	61,998					X	

EcoGov Region/ Province	No.	Municipality/City*	2000 Population	With ISWM Plans Completed (as of Sept 2006)	With SWM Ordinances Approved (as of Sept 2006)	With Composting and/or MRF in Place (as of Sept 2006)	25% Diversion Achieved in Year 2	25% Diversion to be Achieved in Year 3**	25% Diversion to be Achieved in Year 4***	
<b>Sarangani</b>	37	<i>Alabel</i>	60,779						X	
	38	<i>Kiamba</i>	44,724						X	
	39	<i>Malapatan</i>	53,876						X	
	40	<i>Malungon</i>	93,232						X	
<b>Davao Norte</b>	41	<i>Panabo</i>	133,950						X	
	42	<i>Tagum City</i>	179,531						X	
<b>Davao del Sur</b>	43	<i>Bansalan</i>	51,781						X	
	44	<i>Digos</i>	125,171						X	
	45	<i>Hagonoy</i>	43,871						X	
	46	<i>Santa Cruz</i>	67,317						X	
<b>Davao City</b>	47	Davao City	1,147,116					X		
<b>Bukidnon</b>	48	<i>Lantapan</i>	42,383							X
	49	<i>Malaybalay City</i>	123,672							X
	50	<i>Maramag</i>	75,233							X
	51	<i>Pangantucan</i>	43,202							X
	52	<i>Valencia</i>	147,924							X
<b>Total for SouthCentral Mindanao</b>				<b>7</b>	<b>5</b>	<b>5</b>	<b>5</b>	<b>14</b>	<b>23</b>	
<b>Bohol</b>	53	Alburquerque	8,715	X				X		
	54	Corella	6,048	X				X		
	55	Cortes	12,702	X	X	X	X			
	56	Dauis	26,415	X	X	X	X			
	57	Duero	16,485	X	X	X	X			
	58	Jagna	30,643	X	X	X	X			
	59	Maribojoc	16,786	X	X	X	X			
	60	Panglao	21,337					X		
	61	Tagbilaran City	77,700	X				X		
	62	Talibon	54,147	X	X	X	X			
	63	Ubay	59,827							X
	64	<i>Carmen</i>	40,713							X
	65	<i>Tubigon</i>	40,385							X
<b>Cebu</b>	66	Compostela	31,446	X	X			X		
	67	<i>Dalaguete</i>	57,331					X		
	68	Danao City	98,781	X	X			X		
	69	<i>San Francisco</i>	41,327					X		
	70	Toledo City	141,174					X		
	71	<i>Carcar</i>	89,199							X
	72	<i>Minglanilla</i>	77,268							X

EcoGov Region/ Province	No.	Municipality/City*	2000 Population	With ISWM Plans Completed (as of Sept 2006)	With SWM Ordinances Approved (as of Sept 2006)	With Composting and/or MRF in Place (as of Sept 2006)	25% Diversion Achieved in Year 2	25% Diversion to be Achieved in Year 3**	25% Diversion to be Achieved in Year 4***
Negros Oriental	73	Amlan	19,227	X		X	X		
	74	Bais City	68,115	X				X	
	75	Bayawan City	101,391	X	X	X		X	
	76	Dauin	21,077	X				X	
	77	Pamplona	32,790		X			X	
	78	San Jose	15,665	X	X	X	X		
	79	Sta. Catalina	67,197					X	
	80	Tanjay City	70,169	X				X	
	81	<i>Guihulngan</i>	84,607						X
<b>Total for Central Visayas</b>				<b>17</b>	<b>11</b>	<b>9</b>	<b>8</b>	<b>15</b>	<b>6</b>
Nueva Vizcaya	82	Bagabag	30,652	X				X	
	83	Bambang	41,393	X	X	X	X		
	84	Bayombong	50,563	X	X	X	X		
	85	Dupax del Norte	23,196	X	X	X		X	
	86	Quezon	15,986	X				X	
	87	Solano	52,391	X		X		X	
	88	<i>Aritao</i>	31,705					X	
Quirino	89	Cabarroquis	25,832	X	X	X		X	
	90	Diffun	39,489	X	X	X	X		
	91	Maddela	32,236	X	X	X	X		
Isabela	92	<i>Alicia</i>	57,178					X	
	93	Cauayan City	103,952	X		X	X		
	94	<i>Echague</i>	61,101					X	
	95	<i>San Mateo</i>	55,068					X	
Aurora	96	Ma. Aurora	34,000	X				X	
	97	<i>Baler</i>	30,000					X	
<b>Total for Northern Luzon</b>				<b>11</b>	<b>6</b>	<b>8</b>	<b>5</b>	<b>11</b>	
<b>Total All Regions</b>				<b>40</b>	<b>26</b>	<b>26</b>	<b>22</b>	<b>46</b>	<b>29</b>
<b>Cumulative Total</b>							<b>22</b>	<b>63</b>	<b>90</b>
<b>Cumulative % of LOP Target (90 LGUs)</b>							<b>24%</b>	<b>70%</b>	<b>100%</b>

Note: Those LGUs in italics are not currently being assisted by EcoGov on SWM. Their willingness and commitment to participate in EcoGov have yet to be confirmed.

\*\* Target for Year 3 is 41 out of the 46 listed in the table.

\*\*\* LGUs listed for Year 4 are indicative and may change after discussions with Provincial LGUs and concerned LGUs.

**Annex Table 2E. Target LGUs for Sanitation Investment in Year 2 and Projected Status in Year 3**

EcoGov Region/ Province	No.	Municipality/City	Type of WWM Project	Status in Year 2	Projected Status for Year 3
General Santos Cit	1	General Santos City	WWTF for public market	Engineering design and cost estimation ongoing; funding proposed to be sourced from supplemental budget or allocation for 2007	Structure completed and operational. User fee system in place.
South Cotabato	2	Koronadal City	WWTF for abattoir	Engineering design ongoing; funding proposed to be sourced from supplemental budget or allocation for 2007	Structure completed and operational. User fee system in place.
Sultan Kudarat	3	Tacurong City	WWTF for abattoir	Engineering design completed; construction is ongoing; with budget; completion expected by end of September. Direct beneficiaries include over 100 workers at the abattoir, while indirect beneficiaries include majority of 82,000 total population.	Structure completed and operational. User fee system in place.
North Cotabato	4	Kidapawan City	WWTF for abattoir and public market	Engineering design and cost estimation ongoing; approval of budget allocation expected in September	Structure completed and operational. User fee system in place.
Bohol	5	Dausi	Sewage treatment facility for housing project; decentralized sewage treatment facility for residences and establishments being considered.	Engineering design of the STF for housing project ongoing. Advocacy work ongoing for WWM as component of tourism strategy of Panglao Island. Support of provincial government and private sector being solicited.	STF for 170 housing units under construction; ordinance requiring STF for new subdivisions and housing projects issued.  Preliminary plans for establishment of common STF for septage approved, with support from the Provincial Government. Ordinance related to septage management issued by SB. Beach monitoring system in place.
	6	Panglao	Decentralized sewage treatment facility for residences and establishments being considered.	Advocacy work ongoing for WWM as component of tourism strategy of Panglao Island. Support of provincial government and private sector being solicited.	Preliminary plans for establishment of common STF for septage approved, with support from the Provincial Government. Ordinance related to septage management under consideration by SB. Beach monitoring system in place.
Negros Oriental	7	Bais City	WWTF for public market	No firm decision yet if and when project will be pursued. No site identified; no budget allocation.	Reconfirmation of commitment.
	8	Bayawan City	WWTF for abattoir	Reprogrammed for 2007. LGU has prioritized construction of wetlands with GTZ.	Engineering design and possible start of construction of WWTF for abattoir, with biogas module, which will be connected to the wetlands.
	9	Tanjay City	WWTF for public market	No firm decision yet if and when project will be pursued. No budget allocation.	Reconfirmation of commitment.
<b>Total LGUs with Investments (Existing Sites)</b>				<b>1</b>	<b>5</b>
<b>Target LGUs with Investments (New LGUs)*</b>					<b>5</b>
<b>Cumulative Total</b>				<b>1</b>	<b>11</b>
<b>Cumulative % of LOP Target (20 LGUs)</b>				<b>5%</b>	<b>55%</b>

\* New LGUs to be provided with EcoGov TA will be identified after the broad assessments are completed and commitments are obtained from LGUs.

### **ANNEX 3. SCOPES OF WORK**

- Home Office Project Manager (non-key personnel)
- UEM Sector Leader (key personnel)
- Governance and Advocacy Sector Leader (key personnel)
- Resource Economist (non-key personnel)



## **Philippines Environmental Governance 2 Project Individual Scope of Work**

**Position:** Home Office Project Manager (non-key personnel)  
**Duration:** January – December, 2007  
**Location:** U.S.-based with Manila *tdy*  
**Personnel:** Daniel Rothberg

### **A. Background and Purpose**

The USAID/Philippines Environmental Governance 2 Project (EcoGov 2) supports the GOP's and USAID Philippines' goal of revitalizing the economy by promoting better environmental governance, stimulating economic growth, and increasing food security. Specifically, EcoGov 2 promotes improved environmental governance among local government institutions, promotes the better management of forest lands, promotes the better management of coastal areas, encourages better management of municipal solid waste, and facilitates LGU investment into sanitation facilities. EcoGov 2 is a successor to the EcoGov 1 project of 2001-2004. EcoGov 2 runs from 2004-2009, with an additional two-year option period. The prime contractor for both EcoGov 1 and EcoGov 2 is Development Alternatives, Inc. (DAI).

The EcoGov contract is an inherently complex project to manage. It has a \$19 million budget, six contract line items (or CLINs, covering expenditures related to governance, forest management, coastal management, solid waste, municipal finance for sanitation, and management/administration], six subcontractors, five offices [in Manila, Solano, Cebu City, General Santos, and Zamboanga], and at any given time, seventy personnel based in one of fifteen different locations. The contract also includes a grant fund of \$350,000 for disbursement to local organizations and has twelve local subcontractors working on an indefinite quantity basis.

In that context, since January 2005, DAI has engaged a Deputy Chief of Party for Management and Administration (DCoP-MA) as the on-site contract manager principally responsible for the management of project budgets, personnel, facilities and property, policies and procedures, and compliance with USAID regulations and local law. As the project moves into its third year of implementation, the DCoP-MA's role will change. His base of operations will move from Manila to DAI's headquarters in Bethesda, Maryland, certain responsibilities will be reassigned to the CCN Chief of Party, Administrative Officer, Finance Officer, and Grant/LSP Manager. No longer key personnel, the DCoP-MA's title will change to Senior Project Manager and Administrator. As such, he will maintain many of his current responsibilities to ensure that (1) the CoP is able to focus on the technical management of the contract, and (2) the project continues to be run in a contractually compliant and financially efficient manner.

This SOW corresponds to the discussion presented in Section 6 of the Year 3 Work Plan.

## **B. Tasks**

### **B.1. Financial Management**

1. In collaboration with CoP and DCoP-Technical Results, strategically allocate \$4 million annual budget in a way that maximizes use of finances in relation to technical results, including distribution of funds by CLIN and by region. (U.S.-based.)
2. Prepare quarterly financial reports, yearly pipeline budgets, and other expenditure projections for USAID, as needed. (U.S.-based and Manila *tdy.*)
3. On a monthly basis, review final invoice prepared by DAI/Bethesda and ensure expenses are correct. (U.S.-based with Manila Finance Officer.)
4. Establish and maintain financial reporting policies to ensure regular and accurate invoicing of USAID. (Manila *tdy.*)

### **B.2. Human Resources and Personnel Management**

1. Establish and maintain all personnel policies to ensure compliance with Philippine labor law, tax law, and USAID regulations, requiring, as necessary, consultations with local labor and tax lawyers. (Manila *tdy.*)
2. Determine salaries for individuals falling within the US Embassy local compensation plan, and determine salaries to be proposed for USAID/ORP approval for technical personnel falling outside the plan. (U.S.-based.)
3. Make determinations regarding health/life insurance policy holder for personnel. (U.S.-based.)
4. Respond to specific requests requiring adjudication in relation to personnel policy, including final payments, cash advances, leave without pay, and professional development. (Manila *tdy.*)
5. As necessary, review DAI's business establishment mechanism in the Philippines to ensure compliance with local law. (Manila *tdy.*)
6. Manage annual employee review process. (Manila *tdy.*)

### **B.3. Procurement and Property and Facilities Management**

1. Make purchasing decisions for new equipment in compliance with contractual guidelines, AIDAR procedures, and DAI procedures, including review of bid comparison matrices. Where necessary, coordinate with DAI/Bethesda, CTO,

and ORP on procurement from the United States and on source-origin waivers. (U.S.-based.)

2. Review and sign all office leases, utility contracts, property insurance policies, and security contracts. (U.S.-based and Manila *tdy*.)

#### **B.4. Grants Management**

1. Manage grants process, including overseeing entry of all applications into database (75 applications as of September, 2006), managing quarterly review process, and writing clarification and negotiation letters. (Manila *tdy* with Grant/LSP Manager.)
2. Negotiate with grantees and prepare negotiation memo and award recommendation letter for CTO. (Manila *tdy* with Grant/LSP Manager.)
3. Ensure compliance with agreements by grantees, oversee final audits (as necessary), and write close-down memos. (Manila *tdy* with Grant/LSP Manager.)
4. Prepare 2007 Annual Program Statement. (U.S.-based.)

#### **B.5. LSP Indefinite Quantity Subcontracts Management**

1. Manage relationship with approximately twelve subcontractors and ensure their compliance with USAID regulations. (Manila *tdy* with Grant/LSP Manager.)
2. With Sector Leaders, prepare task order scopes of work and tentative budgets. (U.S.-based with Grant/LSP Manager.)
3. Review proposals and quotes/budgets of LSPs. (U.S.-based with Grant/LSP Manager.)

#### **B.6. Other Responsibilities**

1. Subcontractor management: manage relationship with four local subcontractors (CVAI, MERF, OIDCI, REECS) and authorize their deployment of personnel. (U.S.-based with CoP).
2. Subcontractor management: manage relationship with two U.S. subcontractors (The Media Network, EMG). (U.S.-based.)
3. Recruit international personnel. (U.S.-based.)
4. Write sections of work plans, annual reports, and quarterly reports. (Manila *tdy*.)
5. Edit all work plans, annual reports, and quarterly reports. (U.S.-based.)

6. Review/revise scopes of work for all technical personnel to ensure adherence to contract objectives. (U.S.-based.)

### **C. Reporting and Working Relationships**

The Senior Project Manager and Administrator reports to the CoP. While based in Bethesda, he has no direct supervisory responsibilities. However, he is the main point of contact providing operational guidance to the Administrative Officer, Finance Officer and Grants/LSP Manager. He also provides operational guidance to the four Regional Coordinators with respect to personnel, procurement, and property and facilities management. While on temporary duty assignment in the Philippines, he may assume supervisory responsibilities of the aforementioned personnel on behalf of the CoP.

### **D. Timing and Level of Effort**

This position runs from January 1, 2007 to December 31, 2007. It is estimated to require three weeks of Manila-based work and three weeks of U.S.-based work each quarter.

### **E. Location**

This assignment is based at DAI's headquarters in Bethesda, Maryland and entails quarterly travel to Manila and other project work sites in the Philippines.

### **F. Employment**

The Senior Project Administrator is employed by DAI.

## **Philippines Environmental Governance 2 Project Individual Scope of Work**

**Position:** UEM Sector Leader (key personnel)  
**Duration:** Full-time  
**Location:** Manila  
**Personnel:** To Be Determined

### **A. Background and Purpose**

The USAID/Philippines Environmental Governance 2 Project (EcoGov 2) supports the GOP's and USAID Philippines' goal of revitalizing the economy by promoting better environmental governance, stimulating economic growth, and increasing food security. Specifically, EcoGov 2 promotes improved environmental governance among local government institutions, promotes the better management of forest lands, promotes the better management of coastal areas, encourages better management of municipal solid waste, and facilitates LGU investment into sanitation facilities. EcoGov 2 is a successor to the EcoGov 1 project of 2001-2004. EcoGov 2 runs from 2004-2009, with an additional two-year option period. The prime contractor for both EcoGov 1 and EcoGov 2 is Development Alternatives, Inc. (DAI).

CLIN 0004 of the EcoGov contract states that by the end of five years, the project should have promoted diversion of 25 percent of solid waste in 90 LGUs away from open dumps and into composting, materials recovery, and sanitary landfills. CLIN 0005 of the contract states that by the end of five years, the project should have promoted investment by 20 LGUs into sanitation facilities.

The improved management of solid waste and sewage/sanitation presents one of the most significant service delivery challenges associated with improving urban environmental management and poverty reduction. The lack of adequate waste management in urban areas poses severe and continuing health and environmental consequences. Weak and confusing institutional responsibilities and lack of investment interest in waste management highlight the structural deficiencies of the sector. For example, the Department of Environment and Natural Resources is responsible for overall environmental management including establishing and enforcing standards for waste management by local governments, approving waste management sites (i.e., sanitary landfills and sewage/wastewater treatment facilities). The Department of Interior and Local Government supports local government efforts improve social services (including water and sanitation), but has no ongoing program related to improving solid waste and wastewater/sanitation management. In those cities with existing water districts, the water district has responsibility for the provision of water and sewage services, but virtually all water districts only provide water services.

A recent review of current EcoGov efforts and results highlighted the need to make some changes in approach and team structure to accelerate the achievement of project objectives. These changes include:

- **Management and personnel change.** We will consolidate the solid waste and finance teams into a single UEM team. We will hire a new team leader (who will assume the role of key personnel) to strengthen activity coordination, provide additional technical capacity, and sharpen the focus on priorities and achievement of results. Further, we will engage new specialists in our regional offices.
- **Operational change.** We will make much greater use of local service providers (LSPs) to assist LGUs in lieu of EcoGov personnel. Meeting the demands of the growing list of LGUs involved in the UEM activities has challenged our team's limited resources. To overcome this constraint, we will issue task orders to one of twelve LSPs to assist LGUs in ISWM planning, ordinance formulation, and plan implementation. As necessary, we will also engage local engineering firms with specialized capacity in solid waste and wastewater management.
- **Technical change.** We will place great emphasis on business planning and the use of incentives to achieve UEM targets. To date, our assistance has focused on helping municipalities develop plans, technical approaches and ordinances. This year, we will introduce business planning that emphasizes cost recovery and test the use of incentives to achieve objectives.
- **Geographic change.** Just as in the FFM sector, where we focus on large tracts of forest lands, and in the CRM sector, where we focus on critical fisheries areas, in the UEM sector, we will focus on larger LGUs; that is, the places where waste and wastewater are the largest and most critical problems. Until now, we have given equal attention to both large and small LGUs. Moving ahead, new LGUs will have a minimum population of 40,000.

As such, EcoGov will engage an Urban Environmental Management Sector Leader to lead project efforts in achieving targets in solid waste management and municipal investment in sanitation.

## **B. Tasks**

1. Supervise the UEM team, including both Manila and field-based staff working on improved waste management and increasing municipal investments in sanitation.
2. Working with the UEM team members, develop specific strategies for engaging more local governments as partners in improved waste management activities sponsored by the EcoGov project. Focus will be to engage at least 40 more municipalities and cities with populations exceeding 40,000 in solid waste and/or wastewater management efforts and municipalities.
3. Lead the development of standardized approaches for smaller municipalities. At this time, the EcoGov team essentially provides the same level of service and support to both small and larger LGUs. We need to work with the DENR, LSPs,

provincial governments and other organizations such as the League of Municipalities to devise a simpler approach that LGUs can follow when preparing a solid waste management plan, identifying and seeking approval for sites for sanitary land fills, and preparing wastewater management plans. Such an approach could include:

- Standard, boilerplate plans and ordinances smaller LGUs could adapt to their specific needs.
  - Approaches LGUs can follow to develop shared landfill facilities.
  - Simplified environmental compliance certificate process.
4. Waste management business planning. Lead efforts by team and LSPs to assist LGUs to develop specific business strategies and plans for both solid waste and wastewater management. Strategies will address the following aspects:
- Ring-fence the waste management units from the LGU's general funds. Specifically seek opportunities to work with LGUs that are interested in placing SWM and/or WWM under autonomous management.
  - Work with the LGU management to establish progressive performance standards for services.
  - Assist the LGU to include in their business plan a pricing strategy that prices services to achieve full cost recovery for at least for commercial and industrial users, and to recovery O&M charges from residential users.
  - Identify those aspects of waste management that can be outsourced to the private sector (i.e., garbage collection, septage collection, landfill management, etc.)
  - Designs/plans incentives for customers and/or staff to improve waste management operations.
5. Lead efforts to design a rapid assessment approach for analyzing wastewater generated within the population centers of LGUs. The objective of these appraisals will be used to estimate the overall volume of wastewater and the relative contribution from point sources like slaughter houses, hospitals, malls, and dense commercial, industrial and residential areas; identify the existing infrastructure and systems (i.e. septic tanks, storm drains, sewage infrastructure, desludging companies, waste treatment facilities, etc) in place to handle these wastes; and estimate health and economic risks. Using the information gathered, we will work with local stakeholders and LGU staff to identify different options for improving wastewater management. We will involve LGU and/or water district staff in the appraisal and analyses, and in the presentation of results to the mayor's office and SB. Our objective will be to secure commitments from the LGUs and/or water districts of staff and financial resources to undertake specific wastewater treatment/improved management projects.

6. Lead/oversee the conduct of special studies required to improve project approach and overall waste management strategies. These studies could include:
  - Economic analyses of recycling and composting.
  - Economics and financing of different wastewater management options.
  - Willingness to pay analysis and financial models for recovering waste management costs.
7. Lead/oversee the development and conduct of strategic communications to build greater public and political support for improved waste management efforts, especially related to the siting of land fills and septage/sewage management facilities, pricing and assessment of fees, and the collection of wastes.
8. Lead/oversee the development and recommendation of policy reforms designed to improve waste management practices by LGUs. Lead team efforts to draw upon lessons gained through the implementation of waste management activities to formulate recommendations for the National Solid Waste Management Commission and the National Water Regulatory Board to improve the implementation and compliance with the Solid Waste Management Act and the Clean Water Act.

### **C. Reporting and Working Relationships**

The UEM Sector Leader reports to the Deputy CoP for Technical Results. The Sector Leader oversees field- and Manila-based specialists and coordinates with other sector leaders and regional coordinators. He or she is also responsible for overseeing local subcontractors in this field.

### **D. Timing and Level of Effort**

This is a full-time position scheduled through September 30, 2007, subject to annual renewal.

### **E. Location**

This assignment is based in Manila and involves travel to EcoGov field sites. All travel must be authorized in advance by the supervisor named in Item C.

### **F. Employment**

The UEM Sector Leader may be engaged by DAI, OIICI, CVAI, or REECS.

## **Philippines Environmental Governance 2 Project Individual Scope of Work**

**Position:** Governance and Advocacy Sector Leader (key personnel)  
**Duration:** Full-time  
**Location:** Manila  
**Personnel:** Jose Ibarra Angeles (*pending*)

### **A. Background and Purpose**

The USAID/Philippines Environmental Governance 2 Project (EcoGov 2) supports the GOP's and USAID Philippines' goal of revitalizing the economy by promoting better environmental governance, stimulating economic growth, and increasing food security. Specifically, EcoGov 2 promotes improved environmental governance among local government institutions, promotes the better management of forest lands, promotes the better management of coastal areas, encourages better management of municipal solid waste, and facilitates LGU investment into sanitation facilities. EcoGov 2 is a successor to the EcoGov 1 project of 2001-2004. The prime contractor for both EcoGov 1 and EcoGov 2 is Development Alternatives, Inc. (DAI).

EcoGov promotes improved management of solid waste and waste water by providing technical assistance from several disciplines: engineering, economics, policy and law, and municipal finance. In addition to these, the project is introducing a social marketing approach to change public opinion, household behavior, and political will. For example, from a practical standpoint LGU compliance with RA 9003 requires household waste segregation and segregated processing at a landfill. This requires a change in public knowledge, a change in behavior, and likely, an increased willingness to pay for services. Making such sweeping changes requires more than the typical information, education, and communication approach practiced in the past.

Social marketing is a nascent concept in environmental management. It has been more widely practiced in the Philippines in the realm of public health. EcoGov would like to introduce its use beginning with Year 3 of the project on October 1, 2006. From a yearly planning perspective, this requires strategic input into the work plan, which is being drafted in August 2006. We require a Senior Advisor to help identify (a) the performance objectives or benchmarks for the period; (b) the expected activities to be undertaken to reach annual objectives; (c) how the annual objectives and activities contribute toward achieving contract objectives; (d) expected completion date of the activities; (e) cost estimates for each major category; and, (f) critical assumptions or support needed from USAID, DENR, and other activity partners.

In addition, the project would like to initiate one or two social marketing activities in conjunction with ongoing UEM and CRM work in the Central Visayas region. Project team members in this region need guidance on working with LGU leaders and local populations so that social marketing can complement other measures.

## **B. Tasks**

1. Provide direction, guidance and mentoring support to the Regional Coordinators and specialists in planning, strategizing, and implementing social marketing and information dissemination campaigns at the local, provincial and regional levels.
2. Provide advisory and analytical support to the Regional Coordinators on the project's initiatives on clustering LGUs for establishing, funding, and managing sanitary land fills, resolving conflicts among key stakeholders, upscaling/expansion/replication of best practices in environmental governance, advocacy work for issuance of local policies and approval of budgets, and complementation efforts with local and national organizations.
3. Collaborate with Sector Leaders at the national level in advocating, and facilitating project's policy initiatives with DENR, and obtaining necessary feedbacks and policy endorsements from the leagues, EcoGov-supported LGUs, and other theme networks, i.e., SWAPP, coalitions, NGOs, and private sector groups.
4. Work with the Regional Coordinators and Sector Leaders on how various technical assistance initiatives to the LGUs could be integrated, enhanced, and focused in order to strengthen the LGUs' capacity to improve their environmental governance policies and practices and thereby improve their governance indices.
5. Increase the level of awareness and commitments of communities, LGUs, and other target audiences to improve governance policies, institutions, and practices. At least 80 LGUs are targeted to have improved environmental governance policies and practices by the end of project implementation;
6. Strengthen the capacities of LGUs and local DENR counterparts to conduct IEC on their own.
7. Collaborate and work with the leagues and theme networks in identifying and advocating policy gaps and practices to improve devolved/decentralized environmental governance functions and implementation.

## **C. Reporting and Working Relationships**

The GoAd Sector Leader reports to the Chief of Party. The Sector Leader oversees field- and Manila-based specialists and coordinates with other sector leaders and regional coordinators. He or she is also responsible for overseeing local subcontractors in this field.

**D. Timing and Level of Effort**

This is a full-time position scheduled through September 30, 2007, subject to annual renewal.

**E. Location**

This assignment is based in Manila and involves travel to EcoGov field sites. All travel must be authorized in advance by the supervisor named in Item C.

**F. Employment**

The GoAd Sector Leader will be engaged by OIDCI.

## **Philippines Environmental Governance 2 Project Individual Scope of Work**

**Position:** Resource Economist (non-key personnel)  
**Duration:** Full-time  
**Location:** Manila  
**Personnel:** Gem B. Castillo

### **A. Background and Purpose**

The USAID/Philippines Environmental Governance 2 Project (EcoGov 2) supports the GOP's and USAID Philippines' goal of revitalizing the economy by promoting better environmental governance, stimulating economic growth, and increasing food security. Specifically, EcoGov 2 promotes improved environmental governance among local government institutions, promotes the better management of forest lands, promotes the better management of coastal areas, encourages better management of municipal solid waste, and facilitates LGU investment into sanitation facilities. EcoGov 2 is a successor to the EcoGov 1 project of 2001-2004. The prime contractor for both EcoGov 1 and EcoGov 2 is Development Alternatives, Inc. (DAI).

In Year 3 of project implementation, there is an increased need to apply environmental economics to multiple technical issues. Economic analysis is a key element land use planning, in decision-making, in support of policies, and even as an element in advocacy. We face the following questions on a regular basis: What is the economic value of *jatropha* versus timber products on forest land? What are the economic costs and benefits of flooding and landslides? How much are downstream users willing to pay upstream residents for payment of environmental services, and how much should they pay? What are the costs and benefits of MPAs? What are the costs and benefits of installing waste water treatment infrastructure? What are the actual costs of improper solid waste management, and how much should people pay to properly fund better management?

EcoGov already employs a person with the necessary skills to undertake such work in Gem Castillo. Dr. Castillo, however, has been acting as Forestry Sector Leader for the past two years. Thus, in Year 3, the CoP, Ernie Guiang, will take over some of the responsibilities of Sector Leader—essentially, setting the overall direction of the sector and providing key inputs on national-level policies—while the regional-based FFM specialists (i.e., Bien Dolom, Roger Serrano, Rudy Aragon, Casimiro Olvida, and Nick Uriarte) will lead local activities. Consequently, Dr. Castillo will focus on economics across all sectors, and as appropriate, serve as the Assistant Sector Leader to Dr. Guiang.

DAI will continue to engage our subcontractor, REECS, to field Dr. Castillo. REECS' organizational expertise matches that of Dr. Castillo, and its senior personnel are available to assist in his work.

## **B. Tasks**

1. Conduct economic analyses of various topics as inputs to policy, advocacy, and implementation activities in FFM, CRM and UEM. Initially, the Specialist will prepare a framework for the discussion and further evaluation of *jatropha* plantation development, processing, and marketing.
2. Develop the framework and conduct studies on water user fee systems, payment for environmental services, waste management user fees, and other related studies. Discuss results, analysis and recommendations with DENR, LGUs, and concerned stakeholders.
3. Assist the COP to:
  - a. Coordinate and direct the on-going FFM policy and advocacy work on Omnibus Forestry Guidelines.
  - b. Update the CBFM strategy.
  - c. Build capacity of DENR counterparts on FLUP in the on-going work with Antipolo City.
  - d. Lobby for the issuance of the NIPAS revised IRR.
  - e. Coordinate with the Philippine Forestry Education Network.
4. Assist the COP to develop tools for tenure assessment of watershed reservations, NIPAS areas, and IFMA areas.
5. Coordinate efforts with FMB, NEDA and DILG in institutionalizing FLUP processes through issuance of joint policies, orders and memoranda.
6. Provide assistance in Western Mindanao for implementing planned FFM activities:
  - a. With DENR Region 9, work with the Technical Working Groups of Zamboanga City and the Province of Zamboanga Sibugay in completing the planning and initial implementation requirements of co-management agreements and three FLUPs, respectively.
  - b. Work with the DENR and Technical Working Groups of Isabela City and Lamitan in implementing their legitimized/approved FLUPs.

## **C. Reporting and Working Relationships**

The Resource Economist reports to the Chief of Party, who serves as the concurrent FFM Sector Leader. He is to work closely with the DCoP for Results Management and the Sector Leaders for activities on the other sectors, and with the Regional Coordinator for Western Mindanao for his activities in the region.

**D. Timing and Level of Effort**

This is a full-time position scheduled through September 30, 2007, subject to annual renewal.

**E. Location**

This assignment is based in Manila and involves travel to EcoGov field sites. All travel must be authorized in advance by the supervisor named in Item C.

**F. Employment**

The Resource Economist will be engaged by REECS.

## **ANNEX 4. PROJECT AUDIENCE SEGMENTS**



The audience segments listed here are all potential groups that EcoGov could reach. This is not a definitive list, but certainly captures the majority of groups that EcoGov will consider. EcoGov Sector Leaders, working with the GoAd Sector Leader, identified these segments in relation to their own sector work plans, described in Sections 2, 3, and 4 of this document.

The point in identifying these audience segments is to show the subtle differences when discussing “strategic communication.” As EcoGov attempts to convey any of the messages below, we will also monitor to determine if the change in behavior actually occurs.

### ***Forests and Forestlands Management***

Audience: Non-partner LGUs.

Action: Adoption of FLUP methods, co-management agreements, and other practices.

Method: IEC materials, including manuals, brochures, flyers, and orientation materials that will be used by DENR, LGUs, and subcontracted local service providers (LSPs).

Audience: LGU leaders.

Action: Investment and commitment to FLUP implementation and assistance to tenure holders.

Method: Lobbying for the allocation of funds or investment in forestland management, plus direct TA to extension providers.

Audience: Leagues, networks, and federations.

Action: Promotion of FLUPs and other practices to non-partner LGUs.

Method: IEC materials for these groups to further disseminate, and lobbying to convince these groups to use their representative power on behalf of LGUs.

Audience: DENR

Action: Provide support to LGUs and tenure holders, conduct monitoring and enforcement activities, and assess tenure performance (particularly those under other government agencies and large private holders).

Method: Promote advocacy by individual stakeholders (e.g., LGUs) such that they can better engage appropriate DENR offices as a customer seeking service.

### ***Coastal Resources Management***

Audience: Fisherfolk and local community members.

Action: Compliance with local laws (e.g., obtaining licenses, registration of boats, use of proper gear, respect for MPA and no-take areas) and reporting of illegal activities.

Method: IEC to disseminate information about the actions, and eventually social marketing to convince people that adopting the new practices is low-cost and of long-term value.

Audience: LGU leaders in advanced LGUs that are already implementing CRM plans (Baler Bay, Camotes Sea, Illana Bay).

Action: Commitment to, and investment in, CRM plans; active enforcement and implementation of policy; joining inter-LGU alliances.

Method: Lobbying for the allocation of funds and personnel and facilitation of inter-LGU alliance meetings. Use of FISH BE model to show value of alliance.

Audience: LGU leaders in LGUs that are just starting CRM efforts (Sibuguey Bay, Davao City, Basilan).

Action: Allocation of budget and personnel to CRM planning and zoning; enactment of new ordinances.

Method: Lobbying and basic TA to LGU leaders to educate them on the importance of such interventions. Use of FISH BE model to show importance of certain measures in relation to fishery production.

Audience: Provincial LGU leaders (Cebu, Aurora, Zamboanga del Sur, Zamboanga Sibugay, Basilan).

Action: Support inter-LGU alliances with provincial financing.

Method: Lobbying and use of FISH BE model to show value of alliance.

Audience: Local private sector (e.g., tourism operators).

Action: Invest in marine sanctuaries and networks.

Method: Promote outreach by LGUs so that they can offer clarity and certainty of investment.

### ***Urban Environmental Management***

Audience: Households and businesses.

Action: Proper household/business waste management (including segregation) and acceptance of higher waste collection charges.

Method: Social marketing, with initial focus on Bohol and Cebu.

Audience: Households and businesses.

Action: Acceptance of charges related to wastewater sanitation.

Method: Social marketing, with initial focus on larger LGUs in Mindanao that have begun investments (Kidapawan City, Koronadal, General Santos City).

Audience: LGU leaders.

Action: Implementation of proper solid and wastewater management efforts.

Method: Promote advocacy efforts by households (e.g., the electorate) to demand better service.

Audience: LGU leaders.

Action: Imposition of proper rate structures for management of solid waste and wastewater.

Method: Lobbying by senior EcoGov personnel, plus technical assistance to develop a socially equitable and acceptable rate structure.

Audience: LGU leaders.

Action: Join other LGUs in legal clusters for joint sanitary landfills and wastewater treatment facilities.

Method: Lobbying and basic TA to LGU leaders to educate them on the economies of scale from such joint efforts.

Audience: Provincial leaders in Neuva Vizcaya, Quirino, Bohol, Cebu, Negros Oriental, South Cotabato, and Zamboanga Sibugay.

Action: Strengthen provincial UEM core teams.

Method: Lobbying by senior EcoGov personnel.

Audience: Local private sector/tourism and resort owners/operators in Panglao Island.

Action: Invest in wastewater management infrastructure.

Method: Demonstrate link between environment/health interventions and increased tourism to the island.