



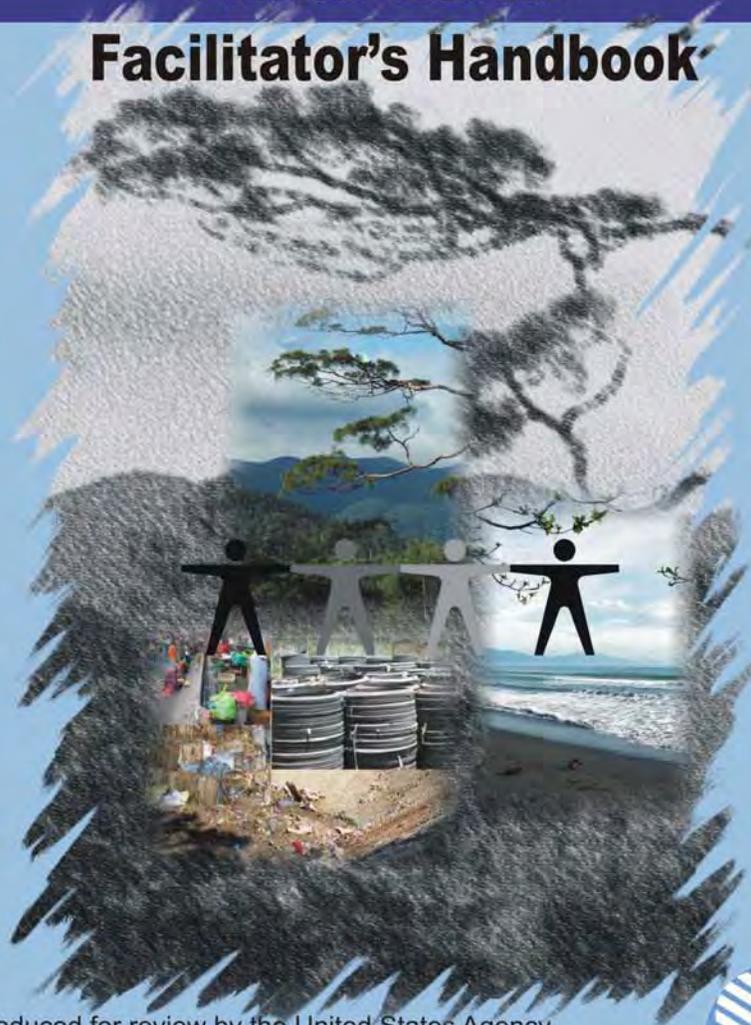
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PHILIPPINE ENVIRONMENTAL GOVERNANCE 2 PROJECT (EcoGov 2)

GUIDED LGU SELF-ASSESSMENT ON THE STATE OF ENVIRONMENTAL GOVERNANCE PRACTICES

FINAL 2009 ASSESSMENT

Facilitator's Handbook



February 10, 2009

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The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

2009 ASSESSMENT
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ACRONYMS

ADR	Alternative Dispute Resolution
BAC	Bids and Awards Committee
BFAR	Bureau of Fisheries and Aquatic Resources (DA)
CENRO	Community Environment and Natural Resources Officer (DENR)
CRM	Coastal Resources Management
CRMP	Coastal Resources Management Project
CSO	Civil Society Organization
CLUP	Comprehensive Land Use Plan
DA	Department of Agriculture
DAI	Development Alternatives, Inc.
DAO	Department Administrative Order
DENR	Department of Environment and Natural Resources
DepEd	Department of Education
DF	Development Fund (20% of IRA)
DILG	Department of the Interior and Local Government
DOH	Department of Health
ECC	Environmental Compliance Certificate
EcoGov 2	Philippine Environmental Governance Project Phase 2
EMB	Environment Management Bureau (DENR)
ENRO	Environment and Natural Resources Officer
EO	Executive Order
ESWM	Ecological Solid Waste Management
FARMC	Fisheries and Aquatic Resources Management Council
FFM	Forests and Forestlands Management
FGD	Focus Group Discussion
FLUP	Forest Land Use Plan
FRMP	Fisheries Resource Management Plan
F-TAP	Functionality, Transparency, Accountability and Participatory-ness
GSA	Guided Self-Assessment
GSO	General Services Office
ICM	Integrated Coastal Management
IEC	Information, Education and Communication
IP	Indigenous People
IPRA	Indigenous Peoples' Rights Act
IRA	Internal Revenue Allotment
ISWM	Integrated Solid Waste Management
JMC	Joint Memorandum Circular
LCE	Local Chief Executive
LGC	Local Government Code
LGU	Local Government Unit
LIM	LGU Internal Management (index)
MAO	Municipal Agriculture Officer
M&E	Monitoring and Evaluation
MENRO	Municipal Environment and Natural Resources Officer
MGB	Mines and Geosciences Bureau
MOA	Memorandum of Agreement
MPA	Marine Protected Area
MRF	Materials Recovery Facility
NCIP	National Commission on Indigenous Peoples
NGO	Non-Government Organization

NIPAS	National Integrated Protected Area System
NTP	Notice to Proceed
PAMB	Protected Area Management Board
PCRA	Participatory Coastal Resource Assessment
PNP	Philippine National Police
PO	People's Organization
RA	Republic Act
RC	Regional Coordinator (EcoGov management position)
RCA	Residual Containment Area
SALT	Sloping Agricultural Land Technology
SB	<i>Sangguniang Bayan</i>
SBO	<i>Sanggunian Bayan</i> Ordinance
SLF	Sanitary Land Fill
TWG	Technical Working Group
UEM	Urban Environmental Management
USAID	United States Agency for International Development

GUIDED LGU SELF-ASSESSMENT ON THE STATE OF ENVIRONMENTAL GOVERNANCE PRACTICES

FINAL (2009) ASSESSMENT

A. BACKGROUND

The Philippine Environmental Governance 2 (EcoGov 2) Project works with the Government of the Republic of the Philippines (GRP) Department of Environment and Natural Resources (DENR) in the implementation of activities resulting in improved environmental governance by the project's local and national counterparts. Strategic focuses are on improved management of forests, coastal areas, and solid waste, and the promotion of local government investment in sanitation facilities.

At the end of five years of EcoGov 2 implementation, one of the major targets against which project performance will be measured is:

“80 government institutions meeting environmental good governance index benchmarks.”

Broadly defined, environmental governance refers to the system of societal controls on human behavior to shape the state and condition of the environment toward ways to serve various human and ecological objectives.

To measure the progress in environmental governance of assisted LGUs, EcoGov 2 has developed the **Guided LGU Self-Assessment on the State of Environmental Governance Practices** or GSA. The GSA is a simple management tool intended to help to objectively track, guide and assess the process by which LGUs and local communities—with support from concerned national agencies particularly the Department of Environment and Natural Resources (DENR)—acquire and adopt relevant best practices in environmental governance.

The existing Guided Self Assessment (GSA) survey instruments and protocol is a product of collaboration among the Manila GOAD team (Cesar Umali and Maria Zita Toribio) as lead, EcoGov 2 Project Management (Dr. Ernesto S. Guiang as Chief of Party and Ms. Rebecca Paz as Deputy Chief of Party), Sector Leaders (Dr. Annette Meñez, Dr. Perry Aliño, Mr. Bien Dolom, Dr. Gem Castillo), Regional Coordinators (Ms. May Ybañez, Dr. Roger Serrano, Mr. Ferdinand Esguerra, Mr. Edward Lim, late Dr. Nic Uriarte) and Regional Technical Specialists. The earlier versions prepared by Dr. Prospero De Vera and Dr. Ben S. Malayang III were consulted.

The original forms and procedure used during the baseline assessment in 2005 underwent pre-testing in two selected LGU sites (Danao and Alcoy) in Cebu. Refinement of the survey forms was made in 2007 based on experiences and inputs from the participants of the baseline assessment. Additional data were also gathered on the adoption of higher level practices, deteriorations (and reasons) and results of governance improvements to provide a strong basis for trend analysis and for

recommending strategies for elevating LGU performance. Further simplification and refinement of the format of the survey questionnaires was made for this 2009 assessment. Again, this was done without altering the original questions, indicators, and procedure to ensure the comparability of results over the three assessment periods.

B. PURPOSE OF THE GSA

Using the GSA as a simple management tool, the LGU can determine for itself what selected best practices it has already adopted, or has yet to adopt to enhance local environmental governance and on this basis, help EcoGov and concerned agencies (DENR, DILG, etc.) improve strategies to more effectively assist them. Through the GSA, LGU-specific strengths and weaknesses can be pinpointed as to (a) sector: forests; coastal; or urban environment; (b) function: planning and implementation; budgeting; procurement; permitting/licensing/issuance of tenure instruments; or law enforcement; and (c) principle: functionality, transparency, accountability or participatory-ness. Three survey periods are targeted: baseline, mid-term and final assessment.

The initial self-assessment established baseline information on current environmental governance practices, to be used in tracking local governance improvements over time that may be linked to EcoGov 2 technical assistance and LGU's own initiatives. The mid-term assessment, conducted in 2007 is mid-project tracking and trend analysis of progress in environmental governance among assisted LGUs.

The final assessment in 2009 will provide end-of-project measurement of governance status of assisted LGUs, which in turn, will indicate EcoGov success or failure in achieving its target of 80 'governance institutions achieving 'good environmental governance benchmark'.

C. QUESTIONNAIRES

The GSA tracks LGU adoption of five broad categories of environmental management functions pursuant to their mandates under existing laws such as the Local Government Code (RA 7160), Ecological Solid Waste Management Act of 2000 (RA 9003), Philippine Fisheries Code (RA 8550), Wildlife Act (RA 9147), NIPAS Act (RA75986), and Philippine Clean Water Act of 2004 (RA 9275). These functions are: (1) resource management and utilization planning and implementation; (2) budgeting; (3) contracting, bidding and procurement; (4) licensing, permitting, and issuance of tenure and allocation instruments; and (5) enforcement of laws and regulations. Four governance principles: functionality; transparency; accountability; and public participation—indicate the manner by which governance functions should be carried out.

Designed as a **rapid assessment** rather than as an in-depth study, the GSA poses a series of 57 'core' questions—all answerable by "yes" or "no"—contained in four standard questionnaires (**Annexes 1-4**). Each of the questions is carefully framed to represent selected "best practices" in the management of forests and forestlands (FFM), coastal areas (CRM) and solid waste and wastewater (Urban Environmental

Management or UEM), and LGU internal management practices (LIM) which are all deemed doable, within five years (2005-2009) of EcoGov 2 implementation.

Of the total of 57 questions, 32 are on functionality; 10 on transparency; five on accountability; and 10 on participatory-ness. Categorizing by governance function, 28 of the 57 questions are on planning and implementation; 12 on law enforcement; three on issuance of permits and licenses; two on budgeting; three on procurement; and nine on tasks that cross-cut these functions. The categories of the questions by governance function and by governance principle can be found in **Annex 5)**

The 'best practice' is uniquely framed. It does not only track the presence of an action ('what') but also the application of governance principles of functionality, transparency, accountability, and public participation ('how') in the implementation of this action. To separate it from an 'ordinary practice', a 'best practice' is further qualified by adjectives like major, effective, and efficient. These terms and the 'best practices' are further explained, clarified, defined, and examples of given to guide the facilitators and participants in coming up with standard and objective assessment.

Further, each 'best practice' contains minimum standards. To qualify for a 'yes' answer, the participants are asked to consider the "entirety" of the prerequisites. For instance, the first question in the FFM, CRM and UEM questionnaires requires not only that a resource management plan be approved by the *Sanggunian*, but also that said plan had gone through community consultations, and that it includes a minimum range of required sections (e.g., for the 10-year ISWM Plan, those required under RA 9003). A column for *Urgent/Important Notes* by documentors is provided where important info details, insights, issues and observations related to the answers can be jotted down.

Around three-fourths of the 57 core questions can be answered with a higher degree of objectivity because the answers can be verified from existing records and documents (e.g. presence of a plan), which the LGUs are asked to compile and present as evidence for 'yes' answers. The rest of the questions (one-fourth of total) are more subjective in nature, as these involve qualitative attributes such as "effective", "efficient" and "meaningful" that may be subject to diverse perceptions of individuals. These qualifiers are operationally defined in the questionnaires so as to reduce the subjectivity. The GSA has other built-in control mechanisms to help reduce bias or subjectivity (see below in **Section I)**

D. ASSESSMENT PARTICIPANTS

The 12-15 survey participants consist of "core informants" that mainly come from the multi-sectoral Technical Working Group (TWG) created in the LGU in relation to the sector being assisted by EcoGov and pertinent LGU staff (e.g. Budget Officer for LGU Internal Management Practices, Coastal Resource Management Officer for CRM). They will also include other local multisectoral environment management bodies (e.g. Municipal Solid Waste Management Board or MSWMB, Fisheries and Aquatic Resources Management Council or FARMC, Marine Protected Area Management

Board, Co-Management Steering Committee) that are not part of the TWG mentioned above.

The barangay captains concerned; representatives from non-government sector (e.g. business, religious, academe, NGO), stakeholder groups (e.g., permittees, tenure holders, indigenous peoples, Muslim organization, women, youth) and “concerned ordinary citizens” comprise at least a third of the participants. The presence of key LGU officers with cross-cutting functions such as Municipal/City Planning and Development Coordinator and Municipal/City Environment and Natural Resources Officer (MENRO) is required in all sector assessments. Being a self-assessment, the LGUs themselves invite the participant.

E. EXTERNAL FACILITATORS TEAM

Two- to three- member GSA External Facilitators Team is organized at each EcoGov regional offices. Core EcoGov personnel are selected as: facilitator, documentor, resource person. To minimize error due to subjective facilitation, the staff that is not directly providing technical assistance to the sector being assessed in a particular LGU will be assigned as the facilitator for that sector and LGU. As much as possible, the regional sector specialists or Assisting Professional (AP) should be assigned as the facilitator and/or resource person for his/her particular sector. All facilitators, documentors and resource person shall undergo prior training and exposure to the GSA process and facilitation techniques to ensure quality assessment. Role in the Team can interchange, depending on the sector and LGU being assessed.

Competent LGU and DENR staff and representatives from concerned local organizations (such as the Bohol Environmental Management Office, IBRA 9 alliance, Environment and Natural Resources Development Office, academic institution, NGO) and even provincial staff are also encouraged to serve as facilitator, resource person or documentor, after undergoing training/orientation particularly for the 2009 GSA (See **Annexes 6-7** for the powerpoints that will be used in the training). Hopefully, this will help promote the continuity of the conduct of the GSA beyond the assistance period of EcoGov 2.

F. DOCUMENTS/DATA THAT NEED TO BE COMPILED BEFORE THE GSA

Annex 8 lists the reference documents or documentary evidences that need to be compiled by the LGU before the GSA. Actual documents brought to the discussions will be noted for inclusion in the report by the facilitators.

Compilation of background information about the LGU such as income class, internal revenue allotment (IRA), 20% Development Fund, population, budget, etc. done in both 2005 and 2007 assessments will be discontinued for the 2009 GSA to save on staff time and travel resources.

G. GSA PROCEDURE

:

1. *Upon arrival at the assessment venue:*
 - Seats are organized preferably in semi-circle.
 - IDs bearing names and affiliation of participants are distributed.
 - Poster-reminders (**Annex 9**) of the survey rules are posted in a strategic place where the participants can read them.
 - Documentary evidences are placed on a table accessible to the documentor and facilitator.

2. *Start of the Program*
 - Program is started when all/most of expected participants are present
 - The program starts with a prayer and self-introduction by the facilitators team and participants
 - The GSA standard briefing powerpoint material (**Annex 10**) is presented, if majority of the GSA participants will be attending for the first time.
 - Standard introduction of the assessment read aloud verbatim by Regional Coordinator or EcoGov facilitator (**Annex 11**). Further explanation or clarification is provided as needed to “level off” on expectations
 - The basic procedure and instructions for the conduct of an objective assessment are explained.
 - Questionnaire is distributed to all participants prior to each sector assessment, with the instruction that they can use it as guide and to document consensus answer
 - The question can either be written on manila paper or flashed on the screen and the participants instructed to direct their attention to it.
 - Standard sequence as much as possible is FFM, then CRM, UEM and finally LGU internal management

3. *Self-assessment proper*
 - Questions are asked verbatim, one by one, sector by sector. Basic procedure is facilitator: (1) makes sure that participants understand the question; (2) asks documentary or other firm evidences to support a “yes” or “no” answer; and (3) accepts the consensus final answer. Secret ballot may be used in case consensus answer cannot be reached.
 - The participants are reminded that the reference/evidence documents compiled prior to the interview will help them to arrive at an answer; the documentor will cross-check the references/documentary evidence to help the participants decide on the answer
 - If needed, the resource person provides background and/or supplemental information in aid of the discussions
 - At the end of each sector assessment, the documentor briefly reviews and summarizes the results.

4. *Standard Rules in the Conduct of the Assessment*
 - Everyone in the group is encouraged to participate. Domination of discussion by a person or group is guarded against by the facilitator.
 - Objectivity is a paramount concern. Facilitator does not suggest any answer.

-
- “Pwede na” response is guarded against. Facilitator makes sure that participants understand the question correctly and that standards of “best practices” are really met
 - Differing opinions or views are settled diplomatically. Facilitator objectively helps the group arrive at a consensus answer.
 - Time management is imposed. Issues and conflicts that cannot be resolved during the assessment are merely noted or referred to right body/forum.

5. *Concluding the Self-Assessment*

- Post-assessment evaluation is conducted to solicit participants’ suggestions for further refinement of the questionnaires and to obtain further insights for the assessment results. This aspect of the assessment is for the baseline and midterm surveys only and will no longer be done for the 2009 survey.
- Filled out questionnaires are collected, checked for completeness and placed inside plastic envelope.
- Standard closing statement is read aloud verbatim (see **Annex 11** for the Tagalog Version and **Annex 12** for the Visayan version)
- Participants/LGU officials give closing statements/response.

H. GSA DURATION, VENUE AND SCHEDULE

Each sector assessment is expected to last for 1-1.5 hours, except for LIM which can be finished in half an hour. Venue will as much as possible be inside the LGU compound (e.g. LGU conference room, etc).

The survey may be timed with EcoGov regional personnel’s regular site visit/s, or organized as part of an LGU activity. The schedule shall be:

The GSA will be conducted among 80 (prerequisite is that these are ‘old’ LGUs or those that have undergone a prior baseline assessment) or so LGUs, in accordance with the following prioritization scheme:

- a) *Priority 1 LGUs* - These are the 53 Midterm GSA Category 1 LGUs whose indices ranged from 0.75-1.00. The GSA shall be conducted starting last week of January to March 31, 2009 for these LGUs.
- b) *Priority 2 LGUs* - These are the 27 LGUs that are anticipated based on the midterm results to elevate their indices to at least 0.75 by the final assessment. Table 60 of the midterm GSA report which presents the 54th-80th ranked LGU (in decreasing order of index values) and inputs from field staff might help RCs identify who these LGUs are. Timetable for GSA should be April-May 2009 for these LGUs.
- c) *Priority 3 LGUs* - These are 5-10 additional LGUs that will undergo the 2009 GSA as a buffer against possible failure of certain Priority 1 or 2 LGUs to yield at least 0.75 index. The GSA can be conducted in May 2009 for these LGUs.

The GSA for all Northern Luzon LGUs shall have been completed before it closes out by March, 2009.

I. BUILT-IN DATA QUALITY CONTROL MECHANISMS

There are four ways employed to ensure the 'truthfulness' and objectivity of the assessment results:

- Multi-sectoral representation in the 'core informants'. The informants include both LGU and NGO/PO representatives in face-to-face interaction, allowing cross-checking of each others' answers in one forum. The informants are assured up front that the guided self-assessment is not intended to "grade" LGU performance or the effectiveness of EcoGov technical assistance; standard introductory "script" is used.
- Compilation and use of reference documents, photos and other hard evidences of performance to support the answers.
- Cross validation of results with Regional and Manila-based Sector Teams. EcoGov regional coordinators and staff and sector leaders who are familiar with the sites will check the filled out questionnaires and comment on the reliability of survey results.
- Consistent use of the same basic GSA questions and procedure to make data comparable across LGUs and over time.

J. COLLECTION AND SUBMISSION OF COMPLETED QUESTIONNAIRES

- All filled out questionnaires, with signed attendance sheets, more detailed notes, and list of reference documents used, will be submitted by the facilitators to the Regional Coordinator immediately after completion.
- The Regional Coordinator will check completeness of and reliability of answers in questionnaires ("within range checking").
- RCs to send completed questionnaires (with brief annotation) to Manila EcoGov office (c/o Zita Toribio) for processing, cross-checking with sector leaders, analysis and report writing

K. INTERPRETING THE RESULTS

The number of 'yes' answer is divided by the total number of questions asked, resulting in the computation of an index that would range from "0.00" (if all answers are "no"), to "1.00" (if all answers are "yes"). "Good environmental governance" will be indicated by indices moving close to "1.00". Four types of indices are computed from the results: principle-specific, function-specific, sector-specific and cross-sector or over-all index.

L. LGU ENVIRONMENTAL GOVERNANCE CATEGORIES AND FINAL BENCHMARK

LGUs are categorized into the following four categories based on their indices:

- 1) “Well-performing” or those with cross-sector (or over-all) index of 0.75-1.00
- 2) “Median” or those with cross sector index between 0.39 and 0.75 (in between Categories 1 and 3), but not “overspecializing”
- 3) “Low” or LGUs with consistently low indices (cross-sector index of below 0.38)
- 4) “Overspecializing”. An LGU is considered to be “overspecializing” when the index in one sector is 0.75 and above, while that in another sector is less or equal to 0.38.

Annex 13 tracks the changes in LGU categories from the baseline to the midterm GSA. Annex 14 provides the complete list and categories of LGUs that underwent the midterm GSA.

An LGU is considered as meeting good environmental governance benchmark if its 2009 over-all index falls within the range 0.75-1.00 which is equivalent to well-performing category. Although an LGU may not meet this benchmark, it can be considered as having improved its level of environmental governance if it shows progress in any of the following: 1) LGU Category (e.g., from poor to median, median to high) and 2) improvement in value of over-all index (e.g., from 0.44 to 0.58) from the midterm assessment in 2007.

M. REPORT WRITING

- The over-all report will include data analysis and recommendations. GSA results will be compared with the EcoGov ‘proxy indicators’ of LGU biophysical improvements.
- Individual report will be prepared for each participating LGU.

ANNEXES



Municipality/Province: _____

Date of Self-Assessment: _____

ANNEX 1

2009 GSA

★★GSA FORM 1: CORE QUESTIONS FOR GUIDED LGU SELF-ASSESSMENT ON THE STATE OF FORESTS & FORESTLANDS MANAGEMENT (FFM) PRACTICES

Municipality/Province:		
Date of Self-Assessment:	Start Time:	End Time:
Facilitator:	Documentor:	Resource Person:

Objective: To reliably track improvements in LGU environmental governance systems, which improvements can be linked to EcoGov 2 interventions and LGU’s own initiatives. The objective is not to “rate” LGU performance; there is no “passing grade”. ‘No change’ or a negative trend in practices is not necessarily bad. This can give insights as to what refinements are further needed for the LGU to improve or to sustain high level of environmental governance.

Key Informants: 12-15 multi-sectoral informants including the MPDC, MENRO, selected members of the TWG or multi-sectoral forest protection committee, PAMB, barangay LGU, co-management steering committee, & other organizations/bodies provided for in the LGU’s approved forest management plan, or those who work in collaboration with the LGU in the absence of such a plan. Key informants will include stakeholder-representatives (e.g., POs, upland farmers & recipients of tenure instruments, religious group, teachers, NGO), who are not directly involved in project implementation but are affected or considered beneficiaries of such projects/actions. As much as possible, those who have attended the two previous assessments (baseline and mid-term) and continue to be knowledgeable about the state of LGU environmental governance should attend.

Facilitator’s Column: Use this column as guide in facilitating the survey	Documentor’s Column (Note: Use this column to document crucial info/details. notes could also include “context” for answer; status; any strong disagreement; qualifying statements; etc)	
1. Has the LGU legitimized & adopted , through a <i>Sanggunian</i> resolution, a forest management plan or program (e.g., FLUP, urban forestry plan/program, watershed management plan, biodiversity management plan, integrated natural resource management plan, co-management plan, upland development plan) that meets quality standards defined in terms of content? (Functionality)	Yes	No
<p>Explain that:</p> <ul style="list-style-type: none"> • “Legitimized and adopted” means the plan went through community consultations and underwent <i>Sanggunian</i> approval. • The plan meets standards and the question is answered ‘yes’ when the content includes at least four of the features mentioned below <ul style="list-style-type: none"> <input type="checkbox"/> organizational structures & responsibilities <input type="checkbox"/> vision, goals, objectives and targets (timeframe/schedule of implementation) <input type="checkbox"/> programs & strategies, e.g., to close open access <input type="checkbox"/> policies/enforcement strategy , <input type="checkbox"/> financial plan/budget <input type="checkbox"/> M&E, <input type="checkbox"/> IEC 	Specify title/s of plan/s that meet/s quality standards	
2. Has the LGU officially established or designated offices/bodies with clear roles and accountability for planning and implementing major FFM-related activities? (Accountability)	Yes	No

Municipality/Province: _____

Date of Self-Assessment: _____

<p>Ask for permanent or adhoc offices/bodies (e.g., FLUP Steering Committee, FLUP Implementation Committee, Co-Management Steering Committee) that have been established or designated (possibly prior to <i>Sanggunian</i> approval of forest mgt plan) to carry out relevant planning, implementation, management and monitoring activities.. Explain that officially established/designated means there is/are Executive/Special Orders (EOs/SOs) or SB resolution covering the appointment/designation and showing the specific functions and accountabilities of the persons/bodies/office</p>	<p>List adhoc offices/bodies & date and instrument (e.g., EO, SB resolution, SO, etc)</p> <p>List permanent office, date and instrument</p>	
<p>3. Are the aforementioned offices/bodies functional? (Functionality)</p>	<p>Yes</p>	<p>No</p>
<p>Explain that offices/bodies are considered functional when they possess at least four (4) of the following characteristics:</p> <ul style="list-style-type: none"> <input type="checkbox"/> there are manpower/staff/budget <input type="checkbox"/> there are standard processes/procedure/working protocols/systems/rules <input type="checkbox"/> they address internal (i.e., within office/body) conflicts <input type="checkbox"/> they achieve targets/produce desired results consistent with their objectives <input type="checkbox"/> they are characterized by responsiveness, sustainability, and regularity in the conduct of their functions (i.e., they make plans and work programs and conduct actions and decisions on regular basis, meet regularly) <input type="checkbox"/> HRD/capability-building activities conducted <input type="checkbox"/> recommendations of office/body have always been acted upon favorably/solicited by decision-maker <input type="checkbox"/> good citation/award for good performance received. 		
<p>4. Is there at least one major activity being implemented in the municipality to close open access to forestlands, through the issuance of tenure rights or establishment of property/ access regime, and/or to improve management of tenured forestlands? (Functionality)</p>	<p>Yes</p>	<p>No</p>
<p>Explain that “open access” forestlands are those for which tenure/access rights have not been properly established or issued to any individual or community group. Because no specific individual or group has sole access right, anybody can gain access to the area but ‘free ride’ on others for its protection and management, resulting in poor or no management at all. While the DENR has the jurisdiction over the management of forest lands, tenure can be allocated in accordance with law, to individuals, groups, corporations, communities and other government agencies. While tenure & access instruments are issued by DENR, LGUs can require the DENR to consult with and coordinate with them the process of issuing pertinent instruments.</p>		

Municipality/Province: _____

Date of Self-Assessment: _____

Find out if there are on-going activities to provide any of the following tenure instruments since the baseline assessment such as: ('Yes' answer is obtained if any of these is present).

- tenure allocation to individual/corporate/private (e.g., Certificate of Stewardship, IFMA, SIFMA, FLGMA)
- tenure provided to communities (e.g., CADT, CALT, CBFM, PACBRMA)
- tenure provided to LGUs (e.g., community watershed, communal forest, forestland co-managed with DENR)
- tenure provided to other government agencies (e.g., energy reservation- e.g., PNOC & NPC, land grant, NIA, etc)
- tenure to address needs for public goods (NIPAS protected area, watershed reservation, etc).

“Yes” answer is also obtained if the LGUs that have existing tenure allocation, has on-going activities (whether LGU initiated/coordinated activities or done with DENR and/or other pertinent agencies like NCIP/IP, NPC, NIA, PAMB, etc.) designed to **improve the management of existing tenured area/s** such as:

- updating/approval of resource management plan (e.g., CRMF, co-management plan, PA Mgt Plan) required of tenure instrument
- provision of sufficient budget for devt/mgt of tenured area
- issuance of individual property rights (IPR) in co-managed areas
- enhancement of traditional communal resource management practices (i.e. for common property areas)
- establishment of a functional management structure (e.g., PAMB for NIPAS areas, Steering Committee, Mgt. Board)
- establishment of an operational mechanism to resolve/manage related conflicts in tenure areas
- implementation of forest protection /enforcement activities
- provision of support for non-forest based or sustainable forest-based livelihood/enterprises for community-based tenure instruments
- establishment of external linkages/ implementation of leveraging activities
- establishment with the DENR of an operational system to monitor and evaluate the performance of various tenure holders

5. Is there at least one major activity being implemented in the municipality to address actual or potential threat/s to forest resources , e.g., illegal logging/cutting, illegal forest products gathering, squatting, and/or illegal poaching? (Functionality)	Yes	No
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To get a “yes” answer find out on-going activities of LGU with the DENR and other appropriate agencies and bodies to reduce/stop existing illegal practices or potential threats to forestlands and forest resources. Exclude passage and implementation of ordinances as these are covered in Questions 8 & 9.

Answer is ‘yes’ if any of the following activities is currently being adopted in the municipality/city:

- organization and deployment of LGU-level organized forest guards and/or multisectoral enforcement team/citizen’s body for regular forest protection and enforcement activities
- conduct of alternative livelihood assistance to wean away upland communities from harmful practices
- formal and sustained tie-up with PNP, PEDO, DENR, NAECTAF and other pertinent bodies for assistance to local forest law enforcement
- conduct of targeted IEC and social marketing activities to stop illegal practices and improve behavior
- activities to place forest lands under productive development such as production/marketing/technical assistance and other incentives to tenure holders; implementation of agroforestry, agri-business, forest plantation, and other upland and forest-based enterprises; promotion of private sector participation, and LGU investment in appropriate upland technologies, infrastructure and post-harvest facilities.

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<p>6. Is there at least one major activity being implemented in the municipality to improve/expand forest cover by, for example, stopping the conversion of old growth or natural forests into other land uses, e.g., <i>kaingin</i>; and/or conserving/rehabilitating remaining critical forest resources and forest biodiversity (e.g., wildlife sanctuary, mangrove habitats) in the locality? (Functionality)</p>	<p>Yes</p>	<p>No</p>
<p>To get a ‘yes answer’ ask participants about current/<u>on-going activities</u> of LGU (if applicable, in collaboration with DENR or PAMB/PAWB in the case of NIPAS areas) to reduce/stop conversion and protect existing forests and biodiversity or improve existing forest cover, such as:</p> <ul style="list-style-type: none"> <input type="checkbox"/> identification, delineation and demarcation of forest protection zone <input type="checkbox"/> establishment and management of local protected areas (e.g., bird and wildlife sanctuary, critical wildlife habitat including caves and inland waters, and NIPAS protected area) <input type="checkbox"/> conservation of endangered or endemic species and adoption of flagship species (the latter in accordance with the wildlife act). <input type="checkbox"/> establishment and sustained management of communal forests, community watershed, urban forest, green belts and tree parks <input type="checkbox"/> upland reforestation/afforestation, assisted natural regeneration, mangrove reforestation, and other forest rehabilitation/expansion activities <input type="checkbox"/> effective ban on conversion of existing critical forest resources <input type="checkbox"/> forest/biodiversity status monitoring <input type="checkbox"/> assisting tenure holders in protecting and managing natural/critical forests in tenured areas <input type="checkbox"/> conduct of upland water and soil conservation and watershed management <input type="checkbox"/> effective IEC/social marketing specifically designed to promote biodiversity/forest conservation <p>Exclude ordinances as these are covered in Questions 8 & 9 below.</p>		
<p>7. Is there an operational mechanism for managing conflicts concerning local forest management? (Functionality)</p>	<p>Yes</p>	<p>No</p>
<p>Explain that conflicts occur when there are opposing or antagonistic parties; when there is a clash of interests, goals, values, actions or directions and when two or more parties, with perceived incompatible goals, seek to undermine each other's capability to achieve their own goals. Managing conflicts can involve ‘alternative dispute resolution’ (ADR), which uses a wide variety of mechanisms that are short of, or alternative to, full-scale court processes. ADR resolution mechanisms include negotiation, conciliation/mediation, or arbitration systems or mini-trials. These are considered “operational” when able to activate as needed to address issues</p>		
<p>First, identify FFM-related conflict/issues. Then discuss how these are resolved/managed. Focus on mediate-able problems like tenure disputes, boundary conflicts, and forest utilization issues. Issues concerning outright violations of laws such as illegal cutting are not included since they are subject to penalty, not negotiation/conciliation/mediation. Conflicts may also be internal or within the LGU (e.g., LCE vs. SB; MPDC vs. MAO, etc).</p>		
<p>Discuss how conflicts are resolved. Look for practices or mechanisms that facilitate the resolution/management of conflicts, such as:</p> <ul style="list-style-type: none"> <input type="checkbox"/> “council of elders” or other customary, traditional, religious, or indigenous Alternative Dispute Resolution (ADR) mechanisms <u>recognized by the LGU</u>. <input type="checkbox"/> ADR mechanisms internally set by LGU at municipal/city or barangay level such as ‘negotiation team’, ‘conciliation/mediation team’, committee/board, task force, office, council, etc. <input type="checkbox"/> ADR mechanisms that are external to the LGU but has its formal recognition, e.g., DENR regional ADR focal unit or any NGO or private sector mediator group. <p>Other ‘best practices’ are:</p> <ul style="list-style-type: none"> <input type="checkbox"/> institutionalization of conflict management process and mechanisms through an ordinance <input type="checkbox"/> provision of budgetary allocation/manpower/other institutional support to conflict management <input type="checkbox"/> establishment of mechanism for enforcing and monitoring post-conflict agreements 		

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<p>8. Has the LGU formulated/updated, during the last five years, FFM-related local ordinances or resolutions, pursuant to national laws & regulations? (Functionality)</p>	Yes	No
<p>Examples of ordinance/resolution are those that support:</p> <ul style="list-style-type: none"> <input type="checkbox"/> effective & efficient delivery of basic FFM services & facilities like livelihood, reforestation/rehabilitation, biodiversity management, etc; <input type="checkbox"/> implementation of devolved functions like establishment, maintenance, protection & conservation of communal forests & community watersheds, tree parks, greenbelts & mangroves, community-based forest projects including Integrated Social Forestry <input type="checkbox"/> law enforcement, including penalties, rewards and incentives, etc. 	Identify LGU ordinance/resolution passed	
<p>9. Is the LGU effectively enforcing the aforementioned FFM-related local ordinances/resolutions, and applicable national & regional laws & regulations? (Functionality)</p>	Yes	No
<p>“Effective enforcement” can be seen from reports on law enforcement. One indicator of effective enforcement is that violators are being apprehended and penalized and actual patrolling/guarding activities and filing of cases occur. Check on enforcement status of each ordinance/law:</p>		
<p>‘Best practices’ indicating effective enforcement include: (check any that applies)</p> <ul style="list-style-type: none"> <input type="checkbox"/> sustained institutional support for law enforcement such as increased yearly budget, procurement of law enforcement equipment and logistics, and hiring of and training/re-tooling of law enforcers <input type="checkbox"/> adoption and sustained implementation of formal procedure for conducting apprehension, reporting, and penalizing violations <input type="checkbox"/> actual apprehension and imposition of fines/penalties, prosecution of violators; upholding of rule of law <input type="checkbox"/> reduced incidence of, if not total eradication of violations <input type="checkbox"/> expanded/sustained IEC to promote compliance with national laws/regulations and local ordinances <input type="checkbox"/> establishment of an operational inter-LGU efforts and external linkages (with PEDO, NAECTAF, etc), including collaborations with tenure holders on law enforcement activities <input type="checkbox"/> implementation of an operational trust fund from out of penalty/fines collection 		
<p>10. Is there effective coordination/collaboration between the LGU & DENR & other concerned national or local agencies (e.g., on FFM policies; national laws; issuance of licenses, permits & tenure rights) – and with other LGUs (particularly on issues or activities that transcend LGU boundaries)? (Functionality)</p>	Yes	No
<p>Concerned national agencies include DENR for issuance of tenure instruments and permits/licenses, NCIP for ancestral lands/domains; NWRB in case of watershed areas; EMB in the case of ECC; PAWB for NIPAS areas; NAMRIA for mapping requirements, PNP/PEDO/AFP/NAECTAF for law enforcement. Local agencies and bodies include Water Management Councils, Local Water Utilities, PAMB for NIPAS areas, Municipal/City Development Council, other LGUs, etc.</p> <p>Examples of collaboration mechanisms are co-mgt agreements on mangrove or upland forests; river basin councils, collaborative watershed management. LGUs should play a significant & active role as members of bodies such as PAMB, or Environmental Compliance Certificate (ECC)-related multi-partite monitoring teams and should actively coordinate with the DENR in the issuance of pertinent tenure instruments (e.g., CBFMA, IFMA, SIFMA), permits and licenses (e.g., wildlife collector’s permit, wildlife farm/culture permit, Bioprospecting Undertaking). There should be adequate and</p>	Agencies/other LGUs with which LGU is collaborating & areas of collaboration:	

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sustained institutional support for collaborative undertakings such as allocation of regular budgetary support or point person/office for collaborative activities/alliances/networks.		
<p>11. Is the general public, including women, upland dwellers & IPs, being timely, consistently, effectively & proactively informed by the LGU, in partnership (where appropriate) with DENR & other concerned agencies, about: (Transparency)</p> <p>a) LGU forest management planning & implementation activities including related issues & concerns?</p>	Yes	No
<p>b) Formulation & passage of FFM-related local ordinances, including citizens' rights & obligations; applicable national & regional laws/regulations; & issues & statistics on progress of law enforcement?</p>	Yes	No
<p>Describe how the citizens are being informed:</p> <p>Planning & implementation:</p> <p>Ordinance formulation/law enforcement:</p> <p>Explain that the general public is “effectively informed” when citizens, who are <u>not</u> part of the LGU or LGU-accredited groups, can conveniently access user-friendly info from materials or forums. Materials will include community announcements, posters in public places, leaflets, billboards, bulletins, regular reports to the public, website, mass media (newspapers, radio or television), or other LGU-DENR sources. Info should be widely disseminated (“proactive”) even when citizens do not ask to be informed. Check for completeness & timeliness of info dissemination.</p> <p>Other ‘best practices’ include:</p> <ul style="list-style-type: none"> <input type="checkbox"/> institutionalization of transparency practices in LGU processes, systems, Code of Ethical Conduct, and standard operating procedures <input type="checkbox"/> designation of point-person or office for information dissemination and IEC <input type="checkbox"/> LGU informing the citizens about basis for decisions and the implications of management actions and getting their feedback <input type="checkbox"/> improving the accessibility of information (e.g., record-keeping and archiving and translating information into local vernacular, pro-active dissemination of information, cheap means of reproducing information, practicing physical transparency-e.g., office layout makes LGU transactions open to public view) <input type="checkbox"/> establishing LGU’s periodic monitoring and public reporting system(e.g., regular state of the LGU/progress reports) 		
<p>12. Are there consultations/discussions on major FFM activities (planning & implementation; formulation of ordinances; etc.) attended & enabled meaningful participation/feedback by stakeholders, including women, IPs & youth? (Public Participation)</p>	Yes	No
<p>Review official notices of relevant public meetings & signed attendance sheets and photos of meetings to determine mix of participants. Examine discussion transcripts/minutes to assess “quality of participation”. There is “effective participation” when stakeholder inputs are duly considered in the process of policy/plan/ordinance/program/project formulation; implementation; and monitoring</p>		
<p>Apart from conduct of consultation activities/public forum/hearings, best practices indicators also include:</p> <ul style="list-style-type: none"> <input type="checkbox"/> participatory conduct of FFM activities, e.g., resource assessment, planning, plan implementation, ordinance formulation, M&E <input type="checkbox"/> feedback mechanisms which may include suggestion box, complaints desk at the Mayor’s Office, telephone hotline <input type="checkbox"/> institutionalization of public participation requirements in FFM undertakings through formal 		

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documents, Code of Conduct, ordinance, and working protocols; <input type="checkbox"/> establishment of a system for regular communication and feedback with the general public and stakeholders <input type="checkbox"/> observed increase in the number of active groups/citizens/stakeholders that are committed to improving FFM		
13. Is there a system to empower all relevant organizations including disadvantaged groups (such as IPs) and women’s and youth’s groups, and ensure their effective participation & inputs in FFM planning & implementation activities? (Participation)	Yes	No
Examples of empowerment activities include (Check any that applies): <input type="checkbox"/> conduct of capability-building training and exposure trips (e.g., leadership training, organizational management, negotiation and bargaining training, cross-visits) <input type="checkbox"/> intensive social preparation/awareness/educational campaigns/ providing info in advance to prepare them to meaningfully participate. <input type="checkbox"/> formally organizing and mobilizing stakeholders (e.g., formation and accreditation of POs/NGOs, tenure holders, federating/ networking upland groups/tenure holders); <input type="checkbox"/> assisting marginalized groups in their funds leveraging efforts and implementation of their management plans, programs, including livelihood activities <input type="checkbox"/> proactively giving marginalized groups access to and voice in LGU actions and decisions		
14. Are there known and formal effective mechanisms for the general public to participate in law enforcement , or to provide complaints/feedback to improve local law enforcement? (Public Participation)	Yes	No
Mechanisms and indicators will include (check any that applies): <input type="checkbox"/> formal recognition (SB resolution, ordinance, EO, SO) for citizens (as defined in Question 11 above) to actively participate in enforcement, for example, by being deputized as <i>Bantay Gubat</i> , citizen patrol; and establishment of multi-sectoral forest protection committee, or citizens’ law enforcement board. <input type="checkbox"/> establishment of feedback/complaints mechanisms that are well-known to the public, such as suggestion boxes, telephone hot line, radio or text brigades or confidential dialogues. <input type="checkbox"/> evidences of cases of actual apprehensions by citizens group <input type="checkbox"/> conduct of capability-building training, provision of logistics for citizen law enforcers <input type="checkbox"/> provision of incentives, recognition and rewards for citizen/paralegal/multisectoral law enforcers <input type="checkbox"/> institutionalization of participatory arrangements in law enforcement through formal documents, ordinances and working protocols <input type="checkbox"/> increase in number of functional enforcement bodies with right mix of capabilities/competencies in area of operation (e.g., anti-illegal logging, endangered species poaching)		
Overall Score: LGU FFM Governance Practices Index Count “yes” answers & divide by 15.	Index = ___/15	

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Record of Attendance

Printed Name	Office & Designation	Telephone/Fax No./Email	Address
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ANNEX 2

★★GSA FORM 2: CORE QUESTIONS FOR GUIDED LGU SELF-ASSESSMENT ON THE STATE OF COASTAL RESOURCES MANAGEMENT (CRM) PRACTICES

Municipality/Province:	Time Start:	Time End:	
Date of Self-Assessment:	Facilitator:	Documentor:	Resource Person:

Objective: To reliably track improvements in LGU environmental governance systems, which improvements can be, linked to EcoGov 2 interventions and LGU’s own initiatives. The objective is not to “rate” LGU performance; there is no “passing grade”. ‘No change’ or a negative trend in practices is not necessarily bad. This can give insights as to what refinements are further needed for the LGU to improve or to sustain high level of environmental governance.

Key Informants: 12 multi-sectoral informants including members of TWG, FARMC, Bantay Dagat, barangay captains of coastal barangay, Fish Warden, PAMB, MPA Management Board, DENR, DA-BFAR, co-management steering committee & other organizations/bodies provided for in the approved CRM or MPA related plan, or those who work in partnership with the LGU in the absence of such plan. At least a third of the key informants will include stakeholder-representatives (e.g., PO, recipients of licenses or permits, small fisher, fish vendors, port manager) who are not directly involved in project implementation but are affected or considered beneficiaries of such projects/actions. As much as possible, those who have attended the two previous assessments (baseline and mid-term) and continue to be knowledgeable about the state of LGU environmental governance should attend.

Facilitator’s Column: Use this column as guide in facilitating the survey	Documentor’s Column (Note: Use this column to document crucial info/details. notes could also include “context” for answer; status; any strong disagreement; qualifying statements; etc.)	
1. Has the LGU legitimized & adopted , through a <i>Sanggunian</i> resolution, a CRM-related plan (e.g., CRM plan, MPA Plan, Fisheries Resources Management Plan, Mangrove Management Plan, Integrated Coastal Resource Management Plan, or Co-Management Indicative Plan) that meets quality standards defined in terms of content? (Functionality)	Yes	No
Explain that: <ul style="list-style-type: none"> • “Legitimized and adopted” means the plan went through community consultations prior to <i>Sanggunian</i> approval. • The plan meets standards and the question is answered ‘yes’ when it includes all of the features mentioned below <ul style="list-style-type: none"> <input type="checkbox"/> organizational structures & responsibilities <input type="checkbox"/> goals, objectives, and timeframe <input type="checkbox"/> programs & strategies, <input type="checkbox"/> policies/law enforcement strategy , <input type="checkbox"/> financial program/plan, <input type="checkbox"/> M&E, <input type="checkbox"/> IEC 	Specify title/s of legitimized plan/s that meet/s quality standards	
2. Has the LGU officially established or designated offices/bodies with clear roles and accountabilities for planning & implementing major CRM-related activities? (Accountability)	Yes	No
Explain that officially established/designated means there is/are Executive/Special Orders (EOs/SOs) or SB resolution covering the appointment/designation and showing the specific functions and accountabilities of the persons/bodies/office	List adhoc offices/bodies & instrument (e.g., EO, SB resolution, SO, etc) used: List permanent office and instrument (e.g., EO, SB Resolution) used	

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3. Are the aforementioned offices/bodies functional ? (Functionality)	Yes	No
<p>Explain that offices/bodies are considered functional when they possess at least four (4) of the following characteristics:</p> <ul style="list-style-type: none"> <input type="checkbox"/> there are manpower/staff/budget <input type="checkbox"/> there are standard processes/procedure/working protocols/systems/rules being followed <input type="checkbox"/> they are characterized by responsiveness, sustainability, and regularity in the conduct of their functions (i.e. they prepare budgets, plans and work programs/actions and make decisions on regular basis) <input type="checkbox"/> their recommendations are being considered and acted upon favorably by LGU decision-maker <input type="checkbox"/> they address conflicts within the body/office <input type="checkbox"/> they achieve targets/produce desired results consistent with their objectives; indications of their effectiveness are being observed <input type="checkbox"/> good citation/award received for good performance 	List offices/bodies that are functional based on the criteria provided:	
4. Is there at least one major activity being implemented and sustained in the municipality to effectively address illegal and destructive fishing ? (Functionality)	Yes	No
<p>Identify illegal & destructive fishing activities. To obtain a ‘yes’ answer look for <u>on-going major activities</u> such as:</p> <ul style="list-style-type: none"> <input type="checkbox"/> organization and deployment of sufficient number of trained Bantay Dagat/fish warden/multisectoral law enforcement team that conduct sustained regular guarding and patrolling <input type="checkbox"/> sustained awareness campaigns/social marketing to change behavior of illegal fishers <input type="checkbox"/> provision of alternative livelihood support to illegal fishers, promotion of sustainable fishing methods <input type="checkbox"/> adequate budget, manpower and logistics support such as construction of guardhouse, procurement of patrol boat and enforcement equipment <input type="checkbox"/> advanced training of law enforcers in pertinent areas of operation <input type="checkbox"/> sustained networking with other LGUs and pertinent agencies/bodies for cooperation against illegal and destructive fishing <p>Exclude passage of ordinance/s as this is covered in Question 9. Activities may be underway prior to <i>Sanggunian</i> approval of the CRM-related plan.</p>		
5. Is there at least one major activity being implemented in the municipality to improve coastal resources conservation, rehabilitation or protection ? (Functionality)	Yes	No
<p>Look for <u>on-going activities</u> to maintain, if not enhance resource productivity and to conserve and protect coastal and marine resources species and habitats. Specific examples of activities include</p> <ul style="list-style-type: none"> <input type="checkbox"/> delineation of municipal waters and/or formulation of zoning schemes for municipal waters <input type="checkbox"/> implementation of the CRM zones (at least the fisheries zone and marine sanctuary zone) <input type="checkbox"/> establishment of fishery reserve/fish sanctuary, fish refugia , marine sanctuaries, marine parks or other marine protected areas (MPAs) with regular funding allocation <input type="checkbox"/> conduct of any or all of these activities: mangrove nursery establishment /mangrove replanting, seagrass planting, coral reef rehabilitation, regular coastal clean-up <input type="checkbox"/> restocking/reintroduction of native species <input type="checkbox"/> actions against alien/invasive species <input type="checkbox"/> implementation of integrated coastal mgt/ integrated environmental mgt/ecosystem-based fisheries mgt <input type="checkbox"/> improved coastal sanitation, prevention of coastal pollution <input type="checkbox"/> sustained IEC/social marketing strategies to promote biodiversity conservation/change harmful behavior <p>Exclude issuance and implementation of ordinances as this is covered in Questions 9 & 10. Activities may be underway prior to <i>Sanggunian</i> approval of the CRM-related plan.</p>		
6. Is there at least one major activity being implemented in the municipality to address open access fisheries and/or manage fishing effort, i.e., prevent over-fishing or place tenured areas (e.g., fishpond lease agreement, community-based mangrove management agreement, foreshore lease agreement) under improved management ? (Functionality)	Yes	No

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“Open access fisheries” means that tenure/access rights have not been issued to any individual or community group so that anyone with capability can fish in the area. Look for on-going activities to address open access fisheries and to regulate fishing effort and prevent over-fishing that may include:

- declaring open-close fishing season,
- prescribing fishing quota
- implementation of gear regulation or species regulation
- sustained implementation of fishers’ registration
- issuing tenure & access rights (e.g., permits, licenses & concessions, CBFM for mangrove, co-management, fishpond lease agreement)
- issuance of lease agreement for fixed gears (e.g., fish corrals, modified liftnet, fish cages/pens, payaos, mariculture)
- sustained IEC on access and tenure and impacts of over-fishing

Activities designed to improve the management of tenured areas may include:

- provision of alternative livelihood support for tenure holders (e.g., mangrove CBFM)
- conduct of training and other capability building activities for tenure holders
- assistance to permittees, licensees, and tenure holders to enhance their compliance to permit/license/tenure conditions (e.g., preparation and implementation of plans for fishpond leases, resource management plan for CBFM for mangrove, compliance with the Code of Conduct for Aquaculture)
- regular monitoring and evaluation of performance and dialogue with permittees/tenure holders

Exclude issuance and implementation of ordinances as this is covered in Questions 9 & 10. Activities may be underway prior to *Sanggunian* approval of the CRM-related plan.

7. Is there an operational mechanism for managing CRM-related conflict & addressing local implementation issues related to CRM? (Functionality)	Yes	No
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Explain that conflicts occur when there are opposing or antagonistic parties (e.g., fishers opposed to MPA or gear regulation); when there is a clash of interests, goals, values, actions or directions and when two or more parties, with perceived incompatible goals, seek to undermine each other's capability to achieve their own goals. Conflict management can include ‘alternative dispute resolution’ (ADR), which uses a wide variety of mechanisms (e.g., mediation/conciliation, negotiation, arbitration) that are short of, or alternative to, full-scale court processes. Mechanisms are considered “operational” when able to activate as needed to address issues.

First, identify CRM-related conflict/issues. Focus on mediate-able problems like (encroachments, boundary disputes, opposition to LGU plan or any CRM-related activity or enterprises) rather than on legal violations. Legal violations are not subject to conflict resolution since violators should be penalized in accordance with law. Conflicts may also arise within or between LGU offices/management bodies with opposing views on how to implement CRM. List down the conflict/s.

Look for operational practices or mechanisms that help in the resolution/management of conflicts, such as:

- “council of elders” or other customary, traditional, religious, or indigenous Alternative Dispute Resolution (ADR) mechanisms recognized by the LGU.
- office/council/body/team (e.g., MPA Board, Lupon Tagapamayapa, Conflict Management Council, Mediation Team, etc) internally set by LGU at municipal/city or barangay, whose conflict-mgt functions are institutionalized through an ordinance or formal document.
- ADR mechanisms that are external to the LGU but has its formal recognition, e.g., government mediator (e.g., DENR or DA), or any NGO or private sector mediator group.
- institutional support (e.g., budgetary allocation and manpower support) for conflict management
- establishment of mechanism for enforcing and monitoring the post-conflict agreements.

8. Is there an operational LGU’s system for the issuance of permits, tenure rights, licenses &/or concessions that is open, simple & efficient , e.g., license/permit for boats weighing 3 tons or less; <i>bangus</i> fry concession; fish pens/cages; pearl farm lease; and commercial fishing within 10.1-15 km from the shoreline (or 7.1 to 12 km in the case of ARMM)? (Functionality)	Yes	No
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First, determine what permits, licenses, etc. are issued by which LGU office:

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<p>The answer is “yes” if the permitting system is operational and characterized by: having few steps, requirements & signatories, ideally, there should be a “one-stop shop” (definitely not with “red tape” or “bureaucratic” from the viewpoint of citizens, and being “open” or transparent & inclusive, i.e., allows anyone to access info.</p> <p>“Yes” answer is also obtained for implementing the following other indicators of ‘best practices’</p> <ul style="list-style-type: none"> <input type="checkbox"/> establishment of a operational database on permits and licenses to aid in decision-making <input type="checkbox"/> linking permitting/licensing system with fisheries regulation (e.g., fishing effort) <input type="checkbox"/> increase in the number of permittees/licenses(e.g., as a result of IEC) <input type="checkbox"/> improved revenue collection from permits/licenses and/or establishment of a trust fund/plowback mechanism for its use to improve CRM 		
<p>9. Has the LGU passed/updated, within the last five years, CRM-related ordinances pursuant to national (and regional in the case of ARMM) laws & regulations? (Functionality)</p>	Yes	No
<p>First, identify LGU ordinances that may include those on illegal and destructive fishing; establishing an MPA; regulating fishing effort and addressing open-access fishers (e.g., open-close fishing season or fishing quota, licenses, concessions, leases); rewards and penalties; and demarcating zones and delineating municipal waters. Applicable ordinances should specify system for enforcement, including budget for implementation, rights & obligations and corresponding incentives & penalties.</p>	<p>List down LGU ordinances and year passed/updated.</p>	
<p>10. Is the LGU effectively enforcing the aforementioned CRM-related local ordinances, and/or applicable national & regional laws & regulations? (Functionality)</p>	Yes	No
<p>One indicator of effective law enforcement is that violators are being apprehended & penalized, e.g., for encroaching in municipal waters. “Effective enforcement” can be seen from reports on reduction in illegal or over-fishing.</p>		
<p>“Yes” answer is obtained for adopting the following best practices/indicators:</p> <ul style="list-style-type: none"> <input type="checkbox"/> adoption and sustained implementation of formal procedure for conducting apprehension, reporting, and penalizing violations <input type="checkbox"/> actual apprehension and imposition of fines/penalties and/or filing of cases against violators; upholding of rule of law <input type="checkbox"/> reduced incidence of, if not total eradication of illegal/over-fishing. <input type="checkbox"/> formal designation/deputation and sustained mobilization of trained enforcers <input type="checkbox"/> expanded/sustained IEC to promote compliance with national laws/regulations and local ordinances <input type="checkbox"/> sustained provision of regular budget, adequate manpower and logistics support for ordinance/law enforcement. 		
<p>11. Is there effective coordination/collaboration between the LGU & the appropriate national & local agencies (e.g., on law enforcement, CRM implementation, & issuance of permits/licenses) – and/or with other LGUs (particularly on issues and activities that transcend local boundaries)? (Functionality)</p>	Yes	No
<p>Examples of best practices are:</p> <ul style="list-style-type: none"> <input type="checkbox"/> collaboration/cooperation/coordination with concerned government agencies on CRM activities (e.g., such as with DENR for foreshore areas & protection of endangered species & habitats and ECC; PAMB & PAWB for protected seascapes & other NIPAS areas; BFAR for fisheries-related matters, fishpond lease agreement, commercial fishing, and NAMRIA for delineation of municipal waters) <input type="checkbox"/> inter-LGU agreement/partnership/alliance/council to jointly enforce relevant national laws <input type="checkbox"/> creation and operationalization of MPA network (e.g., with other LGUs, MPA managers, government agencies, and non-government stakeholders) 	<p>LGUs/agencies/bodies/groups with which LGU is collaborating & specify areas of collaboration.</p>	

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<input type="checkbox"/> linkages/networking (preferably with formal instrument such as MOA) with concerned non-government and government agencies (e.g., with PEDO, NAECTAF, FLET, PNP, Maritime/Coast Guard, etc) for cooperation in law enforcement <input type="checkbox"/> adequate institutional support for collaborative undertakings such as allocation of regular budgetary support or point person/office for collaborative activities/alliances/networks		
12. Is the general public , including small fishers, women & youth, being timely, consistently, effectively & proactively informed about (Transparency): a) LGU CRM planning (incl. identification of priority projects with cost estimates) & implementation activities (with or without an approved CRM-related plan)?	Yes	No
b) LGU permitting, licensing and tenure issuance system (e.g., procedures and requirements for issuing permits, licenses & concessions) and the names, addresses & obligations of recipients?	Yes	No
c) Law enforcement activities such as the formulation, passage & implementation of CRM-related local ordinances , including citizens' rights & obligations; applicable national & regional laws/regulations; & statistics & issues on law enforcement?	Yes	No
<p>The general public is “effectively informed” when citizens, who are <u>not</u> part of the LGU or LGU-accredited groups, can conveniently access pertinent info from LGU-disseminated materials and/or LGU-organized forums. Materials will include minutes of meetings; bulletins, leaflets, posters & notices posted in public places; mass and advanced media placements (newspapers/other print media, radio & television, website); or regular reports to the public. Info should be widely disseminated (“proactive”) even when citizens do not ask for such. Check for completeness & timeliness of dissemination.</p> <p>Describe how the citizens are informed about:</p> <p>Planning and implementation activities:</p> <p>Permitting & licensing/related info:</p> <p>Law enforcement/ ordinance formulation related info:</p>		
<p>Other best practices include:</p> <input type="checkbox"/> institutionalization of transparency requirements in LGU processes e.g., planning), systems and working protocols (e.g., through an ordinance, Code of Conduct or standard operations manual) <input type="checkbox"/> LGU informing the citizens about basis for decisions and the implications of management actions and getting their feedback <input type="checkbox"/> improving the accessibility of information (e.g., record-keeping and archiving and translating information into local vernacular, pro-active dissemination of information, cheap means of reproducing information, practicing physical transparency-e.g., office layout makes LGU transactions open to public view) <input type="checkbox"/> designation of point-person or office for information dissemination and IEC <input type="checkbox"/> establishing periodic LGU’s monitoring and public reporting system (e.g., regular state of the LGU/progress reports)		
13. Are there consultations/discussions on major CRM activities (e.g., planning & implementation; formulation of ordinances, issuance of licenses/permits/concessions, etc.; or conflict resolution) attended & enabled meaningful participation/feedback , by stakeholders, incl. women, small fishers & youth? (Public Participation)	Yes	No

Municipality/Province: _____

Date of Self-Assessment: _____

<p>Review official notices of relevant public meetings & signed attendance sheets and photos of meetings to determine mix of participants. Examine discussion transcripts/minutes to assess “quality of participation”.</p> <p>Apart from conduct of consultation activities/public forum/hearings, best practices indicators also include:</p> <ul style="list-style-type: none"> <input type="checkbox"/> participatory conduct of CRM activities, e.g., resource assessment, planning, plan implementation, M&E <input type="checkbox"/> establishment of an operational mechanism for regular communication and feedback with the general public and stakeholders, which may include suggestion box, complaints desk at the Mayor’s Office, telephone hotline or <i>pulong-pulong</i> <input type="checkbox"/> institutionalization of public participation requirements in CRM undertakings through formal documents, ordinance, and working protocols; <input type="checkbox"/> observed increase in the number of active groups/citizens /stakeholders that are committed to improving CRM 		
<p>14. Is there a system to empower all relevant stakeholders & ensure their effective participation & inputs in CRM planning & implementation, e.g., through social preparation/activities; or providing info materials in advance?</p>	Yes	No
<p>Other examples of empowerment activities include:</p> <ul style="list-style-type: none"> <input type="checkbox"/> conduct of capability-building training and exposure activities (e.g., leadership training, organizational management, negotiation and bargaining training, cross-visits) <input type="checkbox"/> intensive awareness and educational campaigns in advance to prepare stakeholders to meaningfully participate. <input type="checkbox"/> community organizing and mobilization (e.g., formation and accreditation of POs/NGOs/stakeholder groups, ferating/networking POs/NGOs/stakeholder groups) <input type="checkbox"/> assisting marginalized stakeholders in their funds leveraging efforts and in the implementation of their plans, programs, activities <input type="checkbox"/> proactively giving opportunities for marginalized groups to have access/voice in LGU actions and decisions <p>Relevant organizations include fishers, POs, NGOs, FARMCs, fish vendors, business groups, tourism operators, disadvantaged sectors, e.g., IPs, who should participate in resource assessment & public discussions.</p>		
<p>15. Is there a functioning multi-sectoral fishery enforcement body or deputized fish wardens, <i>Bantay Dagat</i> who are trained & funded? (Public Participation)</p>	Yes	No
<p>Determine if there are multisectoral enforcement body, fish wardens or any deputized citizen volunteer law enforcement or paralegal law enforcement group. Confirm if it is “inclusive”, i.e., it has members from all key stakeholders. A “functioning” body or fish warden regularly carries out patrols/inspections/apprehensions & reports violations.</p> <p>Other best practices indicators are as follows:</p> <ul style="list-style-type: none"> <input type="checkbox"/> conduct of capability-building training for citizen law enforcers <input type="checkbox"/> formal recognition of citizen law enforcers (e.g., through an SB resolution, EO, SO) <input type="checkbox"/> provision of incentives for paralegal/multisectoral law enforcers <input type="checkbox"/> institutionalization of participatory arrangements in law enforcement through formal documents, ordinances and working protocols <input type="checkbox"/> evidences of cases of actual apprehensions by citizens group <input type="checkbox"/> increase in number of functional multisectoral/citizen enforcement bodies with right mix of capabilities/competencies in area of operation 		
<p>LGU CRM Governance Practices Index (Count “yes” answers & divide by 17)</p>	<p>Index = ___/17</p>	

Municipality/Province: _____

Date of Self-Assessment: _____

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 Date of Self-Assessment: _____

ANNEX 3
 2009 GSA

★★GSA FORM 3: CORE QUESTIONS FOR GUIDED LGU SELF-ASSESSMENT ON THE STATE OF URBAN ENVIRONMENTAL MANAGEMENT (UEM) PRACTICES

Municipality/City/Province:			
Date of Self-Assessment:		Time Start:	Time End:
Facilitator:	Documentor:	Resource Person:	

Objective: To establish data for reliably tracking improvements over time in LGU environmental governance systems, which improvements can be linked to EcoGov 2 interventions. The objective is not to “rate” LGU performance; there is no “passing grade”. No change or a negative trend in practices is not necessarily bad. This can give insights as to what refinements are further needed for the LGU to improve or to sustain high level of environmental governance.

Key Informants: 12-15 multi-sectoral informants including the TWG, Ecological Solid Waste Management (ESWM) Board, ESWM Barangay Committees, barangay LGUs, DENR & other organizations/bodies provided for in the LGU’s approved waste management plan/s, or those who work in collaboration with the LGU in the absence of such plan/s. The informants will include stakeholder-representatives (e.g., market vendors, junk shop owners or push cart operators) and ordinary citizens who are not directly involved in project implementation but are considered beneficiaries of LGU actions and decisions pertaining to solid waste management and urban sanitation. As much as possible, those who have attended the two previous assessments (baseline and mid-term) and continue to be knowledgeable about the state of LGU environmental governance should attend.

Facilitator’s Column: Use this column as guide in facilitating the survey	Documentor’s Column (Note: Use this column to document crucial info/details. notes could also include “context” for answer; status; any strong disagreement; qualifying statements; etc.)	
1. Has the LGU legitimized & adopted , through a <i>Sanggunian</i> resolution an Integrated Solid Waste Management (ISWM) Plan that meets quality standards defined in terms of content? (Functionality)	Yes	No
Explain that: <ul style="list-style-type: none"> • “Legitimized and adopted” means the plan went through community consultations prior to <i>Sanggunian</i> approval. • The plan meets standards and the question is answered ‘yes’ when it includes all of the features mentioned below <ul style="list-style-type: none"> <input type="checkbox"/> organizational structures & responsibilities <input type="checkbox"/> programs & strategies and timeframe <input type="checkbox"/> policies/enforcement strategy <input type="checkbox"/> financial plan, <input type="checkbox"/> M&E, <input type="checkbox"/> IEC 		
2. Has the LGU officially established or designated offices/bodies/staff with clear roles and accountabilities for planning & implementing major UEM-related activities? (Accountability)	Yes	No
Explain that officially established/designated means there is/are Executive/Special Orders (EOs/SOs) or SB resolution covering the appointment/designation and showing the functions and accountabilities of the persons/bodies/office (e.g., ESWM Board, Barangay SWM Committees, LGU ESWM Office, Water Sanitation Office)	List formally designated adhoc offices/bodies/staff List formally designated/created permanent staff/office	

Municipality/Province: _____

Date of Self-Assessment: _____

3. Are the aforementioned offices/bodies functional ? (Functionality)	Yes	No
<p>Explain that offices/bodies are considered functional when they possess at least four (4) of the following characteristics:</p> <ul style="list-style-type: none"> <input type="checkbox"/> there are trained manpower/staff and regular budget <input type="checkbox"/> there are standard processes/procedure/working protocols/systems/rules including M&E and reporting system being followed <input type="checkbox"/> they address internal (within office/body) conflicts <input type="checkbox"/> they achieve targets/produce desired results consistent with their objectives <input type="checkbox"/> they are characterized by responsiveness, sustainability, and regularity in the conduct of their functions (i.e. they prepare plans/work programs, make actions and decisions on regular basis) <input type="checkbox"/> recommendations of office/body have always been acted upon favorably/solicited by decision-maker <input type="checkbox"/> good citation/award received for good performance 	List offices/bodies that are functional	
4. Is there at least one major activity being implemented in the city/municipality to effectively manage waste at source and to effectively manage collected wastes (e.g., composting and recycling in MRFs)? (Functionality)	Yes	No
<p>Identify <u>on-going concrete activities</u> designed to help LGUs comply with waste diversion targets. These cover activities that would promote waste segregation, recycling/waste recovery, composting, and other waste reduction strategies at source; management of collected wastes in MRFs and other collection facilities; and waste management activities by buyers/processors, in order to achieve waste diversion target of at least 25% in major generators. Specific examples are:</p> <ul style="list-style-type: none"> <input type="checkbox"/> conduct of IEC and social marketing activities to change SWM/WWM practices and behavior (e.g., to promote waste segregation, HH composting) <input type="checkbox"/> implementation of SWM programs (e.g., segregation, composting, recycling) in schools, barangays, public markets, commercial establishments, institutions and other major generators of wastes <input type="checkbox"/> establishment/expansion of an operational composting facility or any other resource recovery facility <input type="checkbox"/> organization and/or regulation of junkshops, recycling sector to enhance efficiency of resource recovery and promote proper handling of recyclables; <input type="checkbox"/> implementation of system of incentives/rewards and penalties in support of waste diversion (e.g., school supply for trash) <input type="checkbox"/> system agreed with generators for proper management (including collection, transport and disposal) of toxic and hazardous wastes (THW) and health care wastes <p>Issuance and implementation of ordinances are covered in Questions 10 & 11, planning and budgeting are considered in Question 1 so these activities are not considered as evidences here. Major activities may be carried out even if the ISWM plan has not yet been approved by the <i>Sanggunian</i>.</p>		
5. Is there at least one major activity being implemented in the city/municipality to enhance the efficiency of waste collection & transport? (Functionality)	Yes	No
<p><u>Look for on-going activities</u> to ensure adequate collection & transport such as:</p> <ul style="list-style-type: none"> <input type="checkbox"/> expanded geographic coverage of regular collection <input type="checkbox"/> rehabilitation of dump trucks/waste collection vehicles & equipment or investments in newer/better collection vehicles and equipment <input type="checkbox"/> establishment of transfer station <input type="checkbox"/> conduct of studies to establish the best route & schedule for segregated waste collection system (time and motion study) <input type="checkbox"/> strict implementation of segregated waste collection <input type="checkbox"/> implementation of more efficient system for garbage fee collection (e.g., fee contained in water or electric bill) 		

Municipality/Province: _____

Date of Self-Assessment: _____

<input type="checkbox"/> partnership with private sector resulting in lower collection expense or enhanced generation of revenues for LGU.		
Ordinances are covered in Questions 10 & 11, so these activities are not considered here. Waste collection may be done by the LGU itself, or subcontracted to or done in partnership with the private sector.		
6. Is there at least one major activity being implemented in the city/municipality leading to the establishment of a RA 9003-compliant disposal site conforming to technical guidelines? (Functionality)	Yes	No
Look for <u>on-going or completed activities</u> such as: <input type="checkbox"/> site identification and MGB investigation of this site <input type="checkbox"/> conduct of a feasibility study and design of suitable SLF <input type="checkbox"/> securing an ECC/other permits for construction/operation of a suitable sanitary landfill <input type="checkbox"/> actual closure and/or rehabilitation of open and controlled dumpsite and establishment of residual containment area (RCA) (if without SLF yet); <input type="checkbox"/> actual development and/or operation of SLF by LGU and/or private sector <input type="checkbox"/> signing of contract/formal agreement among cluster LGUs or with SLF host LGU for use of common disposal facility <input type="checkbox"/> construction and use of septic vault for disposal of THW		
7. Has the LGU taken any initiative , on its own or in collaboration with other agencies like DENR, to manage domestic wastewater? (Functionality)	Yes	No
Explain that domestic wastewater refers to wastewater and septage generated by ordinary living uses and domestic activities such as bathing, dish washing, laundry; including those liquid waste from washing fish and vegetables, butchered animals, and other sources of water-carried wastes of human origin. This definition includes domestic wastewater from commercial, industrial or residential sources which is of a similar quality (constituents and strength) to that produced by these same ordinary living uses. This is in contrast to industrial wastewater which refers to process and non-process wastewater from manufacturing, commercial, mining, and agricultural/forestry facilities or activities, including the runoff and leachate from areas that receive pollutants from such areas and activities.		
Ask the participants to identify sources of domestic wastewater in their localities and what are the current practices for managing/treating them. ‘Yes’ answer is considered if evidence of the adoption of any of the following activities is shown: <input type="checkbox"/> signing of technical assistance MOA to improve LGU sanitation services, e.g., preparation of WWM plan, improvement of sewerage system. <input type="checkbox"/> conduct of studies/ preparation of plans/action plans/allocation of budget to improve infrastructure, equipment & treatment facilities of LGU-managed wastewater generators (slaughterhouses, hospitals/health care facilities, markets) <input type="checkbox"/> drafting or adoption of pertinent support ordinance (e.g., on regular desludging of septic tanks by commercial establishments and residential areas, banning direct discharge of untreated wastewater from establishments, requiring new subdivisions to follow wastewater management/disposal standards, etc). <input type="checkbox"/> actual operation and maintenance of wastewater/septage treatment facilities; <input type="checkbox"/> surface water and groundwater quality monitoring; monitoring of septage/wastewater quality and conduct of remedial measures. Funds for these projects/facilities may come from the barangay, municipal or city LGU, pertinent government agencies, province, or from private sector investment.		
8. Is there an operational mechanism for managing conflict & addressing local waste management issues & concerns , e.g., concerning pollution & waste from piggery or poultry projects, or dump or disposal site operation? (Functionality)	Yes	No

Municipality/Province: _____

Date of Self-Assessment: _____

<p>Explain that conflicts occur when there are opposing or antagonistic parties; when there is a clash of interests, goals, values, actions or directions and when two or more parties, with perceived incompatible goals, seek to undermine each other's capability to achieve their own goals. Management of conflict can include 'alternative dispute resolution' mechanisms, which use a wide variety of mechanisms that are short of, or alternative to, full-scale court processes. These include negotiation, conciliation/mediation, or arbitration systems or mini-trials.</p>		
<p>First, identify existing UEM-related conflict/issues. Focus on mediate-able problems like dumping of waste in one's own backyard, NIMBY syndrome, and foul smell of nearby poultry/piggery. Issues concerning outright violations of laws are not included since they are subject to penalty, not negotiation/ conciliation/ mediation. Other conflicts may involve internal fights within offices/between officers in charge of waste management. Discuss how these conflicts are resolved. Mechanisms are considered "operational" when able to activate as needed to address issues.</p>		
<p>Examples of practices or mechanisms that help in the resolution/management of conflicts are:</p> <ul style="list-style-type: none"> <input type="checkbox"/> "council of elders" or other customary, traditional or indigenous Alternative Dispute Resolution (ADR) mechanisms <u>recognized by the LGU</u>. <input type="checkbox"/> ADR mechanisms internally set by LGU at municipal/city or barangay level such as 'negotiation system', 'conciliation/mediation team' etc. ISWM Board, ENRO, MHO, Barangay Lupon, etc. may have such function. <input type="checkbox"/> ADR mechanisms that are external to the LGU but has its formal recognition/imprimatur, e.g., DENR regional ADR focal unit or any NGO or private sector mediator group. <input type="checkbox"/> institutionalization of conflict management process and mechanisms through an ordinance <input type="checkbox"/> provision of budgetary allocation to support conflict management <input type="checkbox"/> establishment of mechanism for enforcing and monitoring the implementation of agreements 		
<p>9. Is there effective collaboration/coordination between the LGU and pertinent agencies such as DENR & DOH, to ensure proper & timely issuance, review & monitoring (including social acceptability) of permits & licenses relating to waste management operations & projects with significant solid/liquid waste-generating potential? (Functionality)</p>	Yes	No
<p>Examples of 'best practices' are:</p> <ul style="list-style-type: none"> <input type="checkbox"/> agreement to a permitting process wherein DENR and LGUs consult each other prior to issuance of permit/clearance (e.g., ECC, pollution discharge, locational clearance, social acceptability); <input type="checkbox"/> periodic exchange of info or establishment of common database on establishments with ECC and other environment permits; <input type="checkbox"/> agreement to jointly monitor compliance of permittee with ECC/permit conditions; <input type="checkbox"/> agreement for technical assistance for LGU initiated M&E of permittees with significant solid and liquid wastes generation potential <input type="checkbox"/> conduct of joint IEC on permitting requirements 		
<p>10. Has the LGU passed/updated, over the last five years, local ordinances to improve urban environmental management, pursuant to existing national laws & regulations? (Functionality)</p>	Yes	No
<p>First, identify the ordinances, e.g., RA 9003-compliant anti-littering, anti-dumping, segregation, waste collection & disposal, or ordinances pursuant to the Clean Water Act. Then state the year when this was passed or updated</p>		
<p>11. Are the aforementioned UEM-related local ordinances, and applicable national & regional laws & regulations, being effectively enforced? (Functionality)</p>	Yes	No

Municipality/Province: _____

Date of Self-Assessment: _____

<p>Review official notices of relevant public meetings & signed attendance sheets and photos of meetings to determine mix of participants. Examine discussion transcripts/minutes to assess “quality of participation”. There is “effective participation” when stakeholder inputs are duly considered in the process of policy/plan/ordinance/program/project formulation; implementation; and monitoring Apart from conduct of meaningful consultation activities/public forum/hearings, best practices indicators also include:</p> <ul style="list-style-type: none"> <input type="checkbox"/> participatory conduct of UEM activities, e.g., planning, plan implementation, ordinance formulation, M&E <input type="checkbox"/> feedback mechanisms which may include suggestion box, complaints desk at the Mayor’s Office, telephone hotline <input type="checkbox"/> institutionalization of public participation requirements in major UEM undertakings through formal documents, ordinance, and working protocols; <input type="checkbox"/> observed increase in the number of active groups/citizens/stakeholders that are committed to improved UEM 		
<p>14. Is there a system to empower all relevant organizations & ensure their effective participation & inputs in UEM planning & implementation activities, e.g., through social preparation; or providing info materials in advance?</p>	Yes	No
<p>Stakeholders include scavengers, informal settlers, business chambers, market vendors, junkshop operators, buyers, & disadvantaged sectors.</p> <p>Examples of ‘best practices’ are:</p> <ul style="list-style-type: none"> <input type="checkbox"/> mobilizing/organizing/accrediting/networking stakeholders (e.g. accreditation of junkshop operators, scavengers, market operators, etc) <input type="checkbox"/> conduct of capability-building activities (e.g. business management, cross-visits, technical training) and provision of technical/logistics support for stakeholders <input type="checkbox"/> intensive social preparation/awareness campaigns and providing info in advance to prepare stakeholders to meaningfully participate. <input type="checkbox"/> giving marginalized groups access to and voice in LGU actions and decisions 		
<p>15. Are there effective mechanisms for the general public to participate in law enforcement, or to provide complaints/feedback to improve local law enforcement?</p>	Yes	No
<p>The general public is able to participate in UEM law enforcement activities when citizens, who are not part of the LGU or LGU-accredited groups, are deputized as paralegal law enforcers, or receive incentives connected to the apprehension of violators.</p> <p>Mechanisms should be formal (i.e., covered by ordinance or formal instructions from the local chief executive) and well-known to the public; these may include: text brigade, telephone hotline, suggestion boxes or citizens’ law enforcement board.</p>		
<p>LGU UEM Governance Practices Index (Count “yes” answers and divide by 16)</p>	<p>Index = ____/15 =</p>	

Municipality/Province: _____

Date of Self-Assessment: _____

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ANNEX 4
 2009 GSA

★ ★ GSA FORM 4: CORE QUESTIONS FOR GUIDED LGU SELF-ASSESSMENT ON THE STATE OF
 INTERNAL MANAGEMENT PRACTICES

Municipality/Province:	Time Start:	Time End:
Date of Self-Assessment:	Facilitator:	Documentor:
		Resource Person:

Objective: To establish data for reliably tracking improvements over time in LGU personnel accountability, budgeting, database management & procurement practices cutting across the forestry, coastal & urban environment sectors, which improvements can in turn be linked to EcoGov 2 interventions. The objective is not to “rate” LGU performance; there is no “passing grade.” ‘No change’ or a negative trend in practices is not necessarily bad. This can give insights as to what refinements are further needed for the LGU to improve or to sustain high level of environmental governance.

Key Informants: 12-15 multi-sectoral informants, including key LGU staff involved in the aspects assessed, barangay captains, members of the TWG, NGO member of PBAC, & other organizations/bodies involved in EcoGov 2 implementation. The informants will include stakeholder-representatives (e.g., POs, target sectors, academe, religious group), who are not directly involved in LGU internal management but are recipient of such services. As much as possible, those who have attended the two previous assessments (baseline and mid-term) and continue to be knowledgeable about the state of LGU environmental governance should attend.

Facilitator’s Column: Use this column as guide in facilitating the survey	Documentor’s Column (Note: Use this column to document crucial info/details. notes could also include “context” for answer; status; any strong disagreement; qualifying statements; etc.)	
1. Is the LGU programming, budgeting & disbursing its own funds to carry out priority environmental management activities (Functionality)	Yes	No
First, identify the LGU’s priority activities on FFM, CRM and UEM. Then, find out if there is internal budget for such to merit a ‘yes’ answer. Review related budget documents.		
Other best practices indicators are: <input type="checkbox"/> engaging in good fiscal management (e.g. cost-cutting, improved efficiency) <input type="checkbox"/> implementing innovative revenue generating strategies/environmental financing (e.g. user’s fees/payment for environment services) to provide sustainable funds for the environment; <input type="checkbox"/> setting up of environment trust funds and plow back mechanism; and <input type="checkbox"/> improvement in the system of budgeting to ensure that priority environment projects get the lion’s share.		
2. Has the LGU been able, over the last 5 years, to mobilize/leverage funds/resources from other external sources to support/sustain priority environmental management activities? (Functionality)	Yes	No
External sources include the Congressman, provincial LGU, private sector, donors or DENR/BFAR (e.g. seconded personnel, technical assistance). Exclude EcoGov Project. Look for financial reports as supporting document. Other best practices indicators are: <input type="checkbox"/> partnership contracts/joint ventures/production-sharing agreement with the private sector <input type="checkbox"/> networking with other LGUs and groups for cost-sharing of environmental projects.		
	List external sources of funds/assistance since the last assessment:	

Municipality/Province: _____

Date of Self-Assessment: _____

7. Is there an operational & effective mechanism for the general public to review & provide feedback for the LGU to improve the bidding, contracting & procurement systems & activities? (Public Participation)	Yes	No
One such mechanism is a “citizens procurement watch” that enables citizens who are not BAC members to review & provide feedback on the procurement process, but not necessarily participate in BAC meetings. The mechanism is tied up to the transparency practice described above of making info about bidding, procurement and contracting activities known before hand so that the public can observe or provide feedback. The results of the bidding, contracting and procurement process should also be made known to the citizens to promote accountability and transparency.	Specify review & feedback mechanism/s:	
LGU Internal Governance Practices Index (Count “yes” answers and divided by 9)	Index = <u> </u>/9	

Municipality/Province: _____

Date of Self-Assessment: _____

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 Date of Self-Assessment: _____

ANNEX 5. Categories of Questions

A. Categories of Questions By Governance Principle

FFM (15 Questions)			
Functionality ($\Sigma=9$): 1, 3-10	Transparency ($\Sigma=2$): 11a & b	Accountability ($\Sigma=1$): 2	Public Participation ($\Sigma=3$): 12-14
CRM (17 Questions)			
Functionality ($\Sigma=10$): 1, 3-11	Transparency ($\Sigma=3$): 12a, b & c	Accountability ($\Sigma=1$): 2	Public Participation ($\Sigma=3$): 13-15
UEM (16 Questions)			
Functionality ($\Sigma=10$): 1, 3-11	Transparency ($\Sigma=2$): 12a & b	Accountability ($\Sigma=1$): 2	Public Participation ($\Sigma=3$): 13-15
LIM (9 Questions)			
Functionality ($\Sigma=3$): 1-3	Transparency ($\Sigma=3$): 4, 5a & b	Accountability ($\Sigma=2$): 6a & b	Public Participation ($\Sigma=1$): 7
$\Sigma=32$ questions	$\Sigma=10$ questions	$\Sigma=5$ questions	$\Sigma=10$ questions

B. Categories of Questions By Governance Function

FFM (15 Questions)					
Planning & Implementation ($\Sigma=9$): 1-7, 11a & 13	Law Enforcement ($\Sigma=4$): 8-9; 11b & 14				Cross- Cutting Questions ($\Sigma=2$): 10 & 12
CRM (17 Questions)					
Planning & Implementation ($\Sigma=9$): 1-7, 12a & 14	Law Enforcement ($\Sigma=4$): 9-10; 12c & 15	Issuances ($\Sigma=2$): 8 & 12b			Cross- Cutting Questions ($\Sigma=2$): 11 & 13
UEM (16 Questions)					
Planning & Implementation ($\Sigma=10$): 1-8, 12a & 14	Law Enforcement ($\Sigma=4$): 10- 11; 12b & 15	Issuances($\Sigma=1$):9			Cross- Cutting Question ($\Sigma=$ 1):13
LIM (9 Questions)					
			Budgeting Questions ($\Sigma=2$) 1-2	Procurement Questions ($\Sigma=3$) 3-4 & 7	Cross- Cutting Questions ($\Sigma=4$) 5a & b; 6a & b
$\Sigma=28$ questions	$\Sigma=12$ questions	$\Sigma=3$ questions	$\Sigma=2$ questions	$\Sigma=3$ questions	$\Sigma=9$ questions

ANNEX 6
FACILITATOR'S TRAINING/ORIENTATION POWERPOINT 1

January 2009 version

**Guided LGU Self-Assessment (GSA) on
the State
of Environmental Governance Practices**

Reference: Project Scope of Work

“80 government institutions meeting environmental good governance index benchmarks. These indicators cover five environmental governance functions: 1) resource management and utilization planning; 2) budgeting; 3) contracting, bidding and procurement; 4) licensing, permitting, and issuance of tenure and allocation instruments; and 5) enforcement of laws and regulations.”

1

The Self-Assessment: Concepts and Objectives

Training Objective: to provide a framework for understanding the techniques and practical uses of the GSA.

2

Objective of 2009 Self-Assessment:

LGU: To establish information on the current environmental governance **practices of LGUs, to be used in tracking its progress since the baseline assessment**

EcoGov: Measure EcoGov2's achievement of contractual obligation of '80 LGUs meeting environmental good governance benchmark"

3

"Environmental Governance"

Deliberate decision and action to shape the state and condition of the environment and its ability to serve human and ecological purposes by guiding human behavior

"Good Environmental Governance" refers to actions or decisions ("**practices**") e.g., legitimization of a resource management plan, that if taken by the LGU, will lead to positive effects and impact on the environment.

4

“Best practices” are activities leading to...

- **closing** open access and ensuring sustainable and equitable resource allocation and use
- **prevention and control** of illegal logging and illegal fishing and other threats to forest, coastal and urban env’t.
- **conservation, rehabilitation, protection and sustainable** management of resources in the forest, coastal and urban environment sectors
- **management** of resource management conflicts
- **effective, responsive and efficient** LGU internal management

5

The main components of a governance system are:

1. rules and procedures
2. personnel and organizational structure
3. “products” such as plans, projects and ordinances; and results such as control of illegal fishing

6

And governance is measured by the extent to which...

- governance systems are in place to produce expected results (**functionality principle**)
- the general public has access to relevant, timely, accurate and complete information about LGU operations (**transparency principle**)
- local officials can be held responsible for their decisions or actions (**accountability principle**)
- the general public is effectively and meaningfully able to take part in governance processes that lead to key actions or decisions (**public participation**)

7

Levels of Governance Indices

Governance principle-specific index: dividing “yes” answers by total number of questions for each principle

Function-specific index: dividing “yes answers” by total number of questions for each function

Sector-specific index: dividing “yes” answers by total number of questions cutting across governance principles and functions

Cross-sectoral “overall” LGU index: dividing “yes” answers by total number of questions across all sectors, principles and functions

8

4

Profile of Core Questions

	FFM	CRM	UEM	IMP	Total
No. of Questions	15	17	16	9	57
Degree of Objectivity (%)					Av.
<i>High</i>	66	64	75	100	74
<i>Not High</i>	34	36	25	0	26

9

Sample Questions

- *Highly Objective*: Has the LGU passed CRM-related ordinance within the last 5 years pursuant to national laws & regulations?
- *Not Highly Objective*: Is the LGU's system for the issuance of permits, tenure rights, licenses/concessions open, simple and efficient?

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Profile of Core Questions By Governance Principles

Principle	No. of Questions				Total
	FFM	CRM	UEM	IMP	
Functionality	9	10	10	3	31 (54%)
Transparency	2	3	2	3	10 (17%)
Accountability	1	1	1	2	5 (8%)
Participation	3	3	3	1	10 (17%)

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Profile of Core Questions By Major Governance Function

- Planning & Implementation – 28 (49%)
- Law Enforcement- 12 (21%)
- Cross-cutting- 9 (15)%
- Issuance of Licenses, etc.- 3 (5%)
- Procurement& Contracting- 3 (5%)
- Budgeting & Disbursements- 2 (3%)

12

The “governance index”...

...would range from “0.00” (if all answers are “no”), to “1.00” (if all answers are “yes”). “Success” will be indicated by indices moving close to “1.00”

EcoGov 2 benchmark is that by the end of five years of project implementation, an LGU should have an index of 0.75-1.00.

Average Baseline (2005) index = 0.63, range = 0.28-0.96

Average Midterm (2007) Index = 0.75, range = 0.32-1.00

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Actions or Decisions that Could be Guided by Self-Assessment Data and Governance Indices

From the project’s viewpoint:

- Motivate LGUs to continually perform better
- Refine sector-specific assistance strategies based on the particular strengths and weaknesses of each LGU
- Cross-reference results with other project-generated monitoring data, leading to better understanding of issues
- Cross-reference results with biophysical changes
- Project phase-out depending on pace and direction of LGU progress in environmental management
- Identify strategies for promoting sustainability of project gains
- Identify “model” LGUs; promote cross learning; and reward outstanding performance, e.g., in achieving benchmark

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From the LGU's perspective:

- **Acquire another tool for improving environmental management**
- **Gain knowledge about, and adopt, good governance practices**
- **Enhance partnership with citizens and national government agencies as an offshoot of assessment process**
- **Refine plan and budget/resource allocation**

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Other Uses of the GSA

- Serve as basis for citizens to demand improved environmental governance practices from LGU
- Serve as basis for national agencies like DENR and DILG to reward LGUs for good environmental governance, providing evidence that devolved/decentralized environment and natural resource functions can be carried out by LGUs.
- LGUs to use the results to market themselves to international funding agencies.
- Reinforce database for LGU credit rating.

16

Detailed Methodology for the Self-Assessment

Training Objective: to walk the participants through the step-by-step procedure for facilitating the self-assessment; in the process clarifying roles and gaining "pointers"

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Standard Practices

- Be as objective as possible. Objectivity is a paramount concern. Do not suggest any answer. Instead, help the group to arrive at a common answer for every question.
- Be thorough. Stick to the forms and procedures to ensure consistency across LGUs. Check for completeness right after each sector interview.
- Diplomatically settle any conflict that may arise, e.g., involving NGO representatives.
- Be sensitive to the group, e.g., "ice breaker"; "entertainment"; short break in between sector assessments.
- Confirm individual roles: facilitator; resource person; and documentor.

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Techniques of Participation

Encourage everyone in the group to participate!

- Specific individuals, e.g., ordinary citizens, could be politely requested to speak.
- Participants could also fill out "idea cards" for posting (and collection) (not for the 2009 GSA to save on time)
- Otherwise, they could write their comments on a piece of paper, for the facilitator to read silently.
- Use secret ballot in case of difficulty in arriving at a consensus yes or no answer.

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Upon arrival at the assessment venue...

- organize seats preferably in semi-circle
- distribute IDs bearing names and affiliation of participants
- put up the poster-reminders in strategic place
- start program when all/most of expected participants are present (refer to typical program)

Start of formal program...

- facilitate self-introduction by facilitators and participants
- read aloud standard introduction verbatim. The GSA general purpose powerpoint may also be presented
- provide explanation or clarification as needed to "level off" on expectations
- refer the participants to the poster-reminders on the wall

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10

Self-assessment proper...

- standard sequence is FFM, then CRM, UEM and finally LGU internal management
- just before starting the assessment, distribute the questionnaire as reference (
- read aloud each question verbatim, one after the other; follow the three-step procedure in answering each question: 1) make sure the participants understand the question, 2) ask documentary or other firm evidences to support a “yes” or “no” answer; and (3) accept the consensus final answer
- refer to and remind the participants that the reference documents compiled prior to the interview will help them to arrive at an answer; documentor should checklist references
- at the end of each sector assessment, the documentor should briefly summarize results

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Concluding the self-assessment...

- conduct post-assessment evaluation (not to be done for the 2009 assessment); be more sensitive as participants are tired at this point
- collect filled out questionnaires, check for completeness and place inside plastic envelope for review by the Regional Coordinator/Sector Specialist
- read aloud standard closing verbatim
- allow for closing statements by participants/LGU officials

Post-assessment...

- At the end of the day, the team of facilitators is advised to briefly exchange experiences that could be applied in succeeding LGUs
- Regional Coordinator to conduct quality check on completed questionnaires
- Questionnaires, additional notes, checklist of references and photos to be forwarded to EcoGov central office

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Built-in Data Quality Control Mechanisms

- Multi-sectoral representation in group of local core informants
- Additional “concerned, ordinary citizen-informants” whom EcoGov regional office will help identify
- Compilation and use of reference documents, photos and other hard evidences of performance
- “Within range” checking of data by EcoGov regional coordinators and sector leaders
- Consistent use of the same basic methodology for self-assessment

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To reiterate our respective roles...

The **EcoGov Regional Office** will:

1. Identify and assign two to three individuals to comprise the team of facilitators (may include Regional Coordinator).
2. Prepare a detailed cost-effective schedule of LGU self-assessments, possibly timed with regular visits, and arrange logistics.
3. Reproduce the questionnaires based on the e-copy to be provided by the central office.
4. Arrange in advance for LGUs to identify and notify key informants (at least a third are non-LGU/TWG), compile reference documents, and reserve a suitable venue.

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Regional Office role, continuation...

5. Confirm the list of participants prior to the scheduled assessment.

- Assure availability of necessary workshop materials such as IDs, marking pens, posters/signs on manila paper, idea cards (recycled paper), LCD projector, paper tape and scissors.
- Conduct/facilitate actual LGU self-assessment and data collection.
- Submit to the EcoGov central office filled out questionnaires, accompanying notes, photos and checklist of references.
- Not be responsible for writing the GSA report.

And within the team of facilitators...

The lead **Facilitator** will:

- read aloud the standard script for opening and closing the self-assessment
- briefly explain the concept of “guided self-assessment” and core informants
- read aloud each question
- lead and harmonize the discussions, and as needed, provide clarification and information to help the informants answer each question
- guard against “pwede na” response/s
- not give any hint as to how a question should be answered
- request the participants to sign on the space provided on the last page of each questionnaire

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The Documentor will:

- distribute ID cards and questionnaires to each participant
- check the appropriate box to document the 'best practice' adopted by LGU.
- take legible bulletized notes (in English) to supplement the marked boxes on the questionnaire itself
- assist in the examination of reference documents; submit checklist of references compiled to Facilitator
- briefly summarize the result of each sector assessment, esp. to confirm yes or no answers, and fill out the LGU index on the last page of the questionnaire
- submit any other detailed notes taken to lead facilitator (to be attached to filled-out questionnaire)
- administer the post-evaluation by key informants (preferably in English), ensuring that all participants will fill out the form before they leave (this will not be done for 2009 GSA)
- take photos for use in the baseline report
- serve as Resource Person as necessary

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The Resource Person will:

- take the initiative to provide background and/or supplemental information in aid of the discussions
- as necessary, distribute, collect and post/arrange idea cards on the wall or blackboard
- as necessary, collect written comments from the participants and give to the lead facilitator to read

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... Next Steps

- Data processing, analysis/interpretation, writing up of over-all and individual LGU report, and presentation
- Link self-assessment to EcoGov Biophysical Performance M&E

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ANNEX 7
FACILITATORS' TRAINING/ORIENTATION POWERPOINT 2

**WORKING DEFINITION OF KEY
TERMS AND PHRASES USED
IN THE GUIDED-SELF
ASSESSMENT (GSA)**

Governance Defined:

- Manner by which power and authority are exercised – and shared between LGUs and their constituents – in the management of economic and social resources (Manasan, *et. al.*, 2002)

- The exercise of economic, political and administrative authority to manage a country's affairs at all levels; comprises the mechanisms, processes and institutions through which citizens and groups articulate interests, exercise legal rights, meet obligations and mediate differences (UNDP, 1997)

Therefore:

- Governance encompasses the state but it transcends the state by including the private sector and civil society organizations (governance is wider than government)
- We are not measuring government (the LGU's) performance but governance (LGU and constituents') performance

Environmental Governance:

“The structures and processes of power and authority, cooperation and conflict, that govern decision-making and dispute resolution concerning resource allocation and use, through the interaction of organizations and social institutions (government and non-government, formal and non-formal)” Woodhouse (1997)

Environmental Governance: EcoGov Definition

- set of deliberate decisions and actions to shape the state and condition of the environment and its ability to serve acceptable human and ecological purposes by guiding human behavior.

Governance Principles/ Elements

- Widely-recognized ways by which an LGU is expected to exercise its basic functions, i.e., adhering to functionality, transparency, accountability and participatory-ness.
- Others: responsiveness, effectiveness and efficiency; equity; consensus orientation; rule of law/predictability,

Accountability

- **Extent to which local government officials can be held responsible or answerable for their decisions and actions and degree of responsiveness to the people based on an objective assessment of their performance vis-à-vis set targets/standards.**

Accountability

- **Can be achieved through: 1) clear delineation of powers, functions and responsibilities; 2) establishing criteria to measure the performance of public officials; 3) oversight mechanisms to ensure that standards and checks and balance are met; and 4) feedback loops, rewards and sanctions**

Functionality

- Extent to which an LGU management system is actually working in order to produce desired results or “products”

Sample Evidences: conduct of regular meetings, issuance of official communications, implementation of projects/laws/ordinances, conflict management activities

Functioning body/ organization

- A local office, committee, council and such other group that is actually working to carry out its assigned tasks, e.g., holding meetings, making decisions & issuing directives pertaining to the enforcement of fishery or forestry ordinances/laws.

Public Participation

- Extent to which the general public is effectively and meaningfully able to take part in governance processes (e.g., plan formulation) that lead to key actions or decisions, e.g., approval of SWM plan.
- Terms associated with participatory-ness: co-management, collaborative, joint, mixed, multi-sectoral, multi-party or round-table management

Stakeholders

- Citizens (whether or not organized); and organizations/institutions (public or private), to be or being directly or indirectly affected by LGU plans, programs, projects, ordinances and other issuances, and/or activities, actions and decisions. Include women, IPs and other marginalized groups.

Levels of Participation



Transparency

- sharing information and doing decisions and actions in an open manner- that is, open to public input and oversight (World Resources Institute, 2003).
- Information must be timely, relevant, accurate, accessible and understandable, to enable stakeholders to register their support, objections or corrections to decisions and actions
- 'heart of good environmental governance' (World Resources Institute 2003).

Effective

- Carrying out the right plan/program/project activities and achieving desired quantitative and/or qualitative targets (*doing the right things and getting intended results*)
- A system/procedure is effective when:
 - It is responsive to the needs of the citizens and clients
 - Suited to local conditions.
 - It is able to influence or result in official decisions or actions

Effective Participation

- Involvement of the general public in governance processes in a manner that balances the amount of time spent for consultations/meetings, and the need for timely and concrete results from such involvement.
- Quality (i.e. inclusive and meaningful) as against quantity (i.e. many but exclusive and ineffective) of participation

Efficient

- Accomplishing plan/program/project/ activities and producing intended results while making the best use and allocation of time and resources
- “Doing the right things the right way”

Officially or formally designated

- An LGU staff /official/ or a body that has received written instructions, e.g., memo, special order or resolution, to carry out specific task/s, e.g., be primarily responsible for activities to manage forest, coastal and urban environment.

Benchmark

- A standard of performance, which may be internally or externally-defined;
- EcoGov Project generates external benchmarks (can be achieved within 5 years) which we encourage LGUs to adopt
- Need to balance what is 'ideal' with what is 'doable/practicable' on the ground and within LGU control

Key Indicators

- Performance indicators that best signify, or most strongly reflect, major progress towards LGU adoption of desired environmental management practices. Also called “performance-drivers”^[1] or “trigger” indicators.
^[1] Based on Peter Bracegirdle, “International Experience in Municipal Performance Measurement” (October 2003), page 10.

Tenure, Licenses, Permits and Agreements

- Cover those instruments that the LGU or DENR or DA-BFAR or other pertinent government agencies issue that would allow access to and/or regulate the utilization of natural resources.

Tenure- guaranteed access to and use of specific forestland or coastal land area and the resources found in them by an agreement, contract or grant which cannot be altered or abrogated without due process, e.g. CBFMA, Stewardship Contract, Foreshore Lease Agreement, Fishpond Lease Agreement, IFMA

License- privilege granted by the State to a person to utilize resources within forestland with the right of possession and occupation thereof (e.g. TLA)

Permit- short-term privilege granted by the government to utilize forest and coastal resources (e.g. Special Cutting Permit), or to undertake specified activities inside forest or coastal land, without any right of occupation and possession therein; or authority given to establish or operate a facility (e.g. Permit to Operate, Authority to Close Dump)

Examples of permits/licenses/tenure instrument issued by LGU, DENR, and DA

- LGU- fishing boats/gears; pearl farm lease; fish pen concessions; permit to operate fish pens, fish cages, fish traps and other structures for the culture of fish and other fishery Products
- DENR: foreshore lease agreements, SIFMA, IFMA, and community-based forest management agreement, license/permit to construct/operate SWM facility, NTP, ECC
- DA-BFAR: fishpond lease agreements and permits for commercial fishing boats, fishing gears/accessories/fishery activities in commercial waters.

Forest, Natural Forest, Communal Forest, Community Watershed

- Forest- land with an area of more than 0.5 hectare and tree crown (or equivalent stocking level) of more than 10%. The trees should be able to reach a minimum height of 5 m at maturity in situ... (FAO 2000 definition)
- Natural forest- forest composed of indigenous trees not planted by man (Forest Resource Assessment, FAO 2000)

- Communal forest- tract of forestland set aside and established for and under the protection, administration, and management of a city, municipality, or brgy as a source of wood material for fuel, shelter and manufactured products; as source of water; area for ecotourism and /or environmental protection
- Community Watershed- watershed set aside by the DENR for preservation and protection as source of domestic water supply for specific communities and subject of co-mgt by DENR and LGUs

Official documents

- Formal record of LGU operations that form part of the LGU files, e.g., minutes of meetings; executive orders; *Sanggunian* resolutions; ordinances; and approved annual investment program.

Open Access

- Forestlands or fishing grounds for which tenure/access/property rights have not been allocated/issued to any particular individual or community group, thus, anybody can have access to the resource
- Results in 'tragedy of the commons'

Procurement

- Acquisition of goods, services or infrastructure through public bidding (or simple purchasing procedure depending on amount involved) as authorized by law (RA 9184).

Simple system

- A management system, e.g., for issuance of permits, that has only a few steps, requirements and signatories, and thus is cost- and time-effective and efficient, e.g., one-stop shop.

ANNEX 8
REFERENCES NEEDED FOR GUIDED LGU SELF-ASSESSMENT
ON THE STATE OF ENVIRONMENTAL GOVERNANCE PRACTICES

The following references will be one major source of “solid evidence” of the state of LGU environmental governance in the forestry, coastal resources and urban environment sectors. These documents need to be compiled in advance by the LGU informants, to allow for a quick/efficient review and confirmation of governance practices during the actual self-assessment.

- LGU socio-economic profile
- FLUP, CRM plan, fisheries management plan, ISWM plan and similar other plans
- *Sanggunian* resolutions/ordinances approving the above plan/s
- Maps used in plan preparation
- Related Executive Orders (EOs), e.g., designating/creating LGU offices responsible for environmental management, Bids and Awards Committee, or ESWM Board
- Relevant IEC campaign materials including posters, announcements, leaflets, and advertisements;
- Invitations sent out by the LGU for citizens to attend meetings/hearings/consultations/discussions, e.g., on plan preparation or on implementation issues
- Official minutes/transcript of the above meetings/hearings/consultations/discussions
- Signed attendance sheets for the above meetings/hearings/consultations/discussions
- Forestry, coastal resources and urban environment-related local ordinances and regulations passed/issued by the *Sanggunian*
- Relevant reports including statistics on related law enforcement
- Bidding rules and procedures being followed by the LGU
- List of LGU-accredited NGOs and POs
- Photos of meetings and other environmental governance activities
- Executive budget and *Sanggunian*-approved budget for the current year
- Latest LGU financial status reports, e.g., IRA allocation, revenues and expenditures/disbursements

- LGU personnel performance monitoring system documentation
- List of forestry, coastal resources and urban environment programs and projects, identifying those funded out of the LGU's 20% development fund for the current year
- Updated list of contracts awarded, amounts and recipients
- Updated list of permits, licenses, and tenure instruments issued, including recipients thereof
- Signed memos, letters and other official LGU communications pertaining to forestry, coastal resources and urban environmental management

ANNEX 9
POSTER REMINDERS

The following posters will be prominently displayed as reminders during the self-assessment in each LGU:

English Version

Objective:

To establish information on existing environmental governance practices of the municipality/city, to track changes over time, which can be linked to Ecogov assistance and to LGUs own initiatives.

Information from the assessment will help the LGU together with its constituents (with assistance from other institutions) formulate actions and decisions for improving local environmental governance.

There is no 'passing grade'. "No" answer is not necessarily bad, this will tell us what else needs to be done.

Procedure for Answering the GSA Questions:

1. Clearly understand each question. Ask the facilitator to explain further if it is not clear.
2. Provide evidence/s to support either a 'yes' or 'no' answer.
3. Agree on the final answer.

Reminders:

We are interested to know about existing (not proposed) practices.
All participants should participate actively. No one should dominate the discussions.
Be frank and objective.

Tagalog Version

Layunin:

1. Magkaroon ng impormasyon tungkol sa kasalukuyang kalagayan at gawain sa pamamahala sa kapaligiran ng lokal na pamahalaan
2. Magamit ang impormasyon upang masundan ang pag-unlad sa pamamahala ng kapaligiran sa pagdaan ng panahon
3. Magamit ng local na pamahalaan ang impormasyon sa pagbuo ng mga mahahalagang hakbangin upang mas lalong mapagbuti ang pamamahala sa kapaligiran sa tulong ng nasasakupan at iba pang mga ahensya at organisasyon.

Hindi ito naglalayong bigyan ng ‘grado’ o ‘iskor’ ang uri ng ‘pamamahala’ ng pamahalaang local. Ang pagsasabi ng ‘hindi’ na sagot ay hindi nangangahulugang masama, makakatulong ito upang malaman kung ano pa ang mga kailangan nating gawin.

Pamamaraan:

1. Intindihin o unawaing mabuti ang bawat katanungan. Humingi ng karagdagang pagpapaliwanag kung hindi malinaw ang tanong.
2. Magbigay/humanap ng ebidensiya na magpapatunay sa sagot na ‘oo’ o ‘hindi’
3. Pagkasunduan ang panghuling sagot

Tandaan:

Pag-usapan natin ang kasalukuyang mga ‘gawain at proyekto’, hindi ang mga nakatakda o iniisip pa lamang isagawa
Masigasig at aktibong makilahok sa mga talakayan. Huwag dominahan ang talakayan.
Maging ‘prangka at walang kinikilingan”.

Visayan Version

Mga Tinguha:

Pagtan-aw sa mga impormasyon kabahin sa mga gihimo na pamaagi sa pagdumala sa kalikopan sa usa ka munisipyo o siyudad. Mahimo kining basihan sa pagsusi kung naay kabaghoan sa mga pamaagi tungod sa pagtabang sa Ecogov sa mga inisyatibo sa LGU.

Ang impormasyon gikan sa assessment makatabang sa LGU ug sa mga katawhan sa munisipyo o siyudad (uban ang tabang gikan sa laing mga institutsyon) sa pagmugna ug mga aksyon ug desisyon para pag-uswag sa pagdumala sa kalikopan.

Dili huna-hunaon na naay “passing grade”. Kung walay tubag, dili nagpasabot nga dili maayo ang pagdumala, kundili kini magpaila kung unsa pa ang kinahanglan pang himoon.

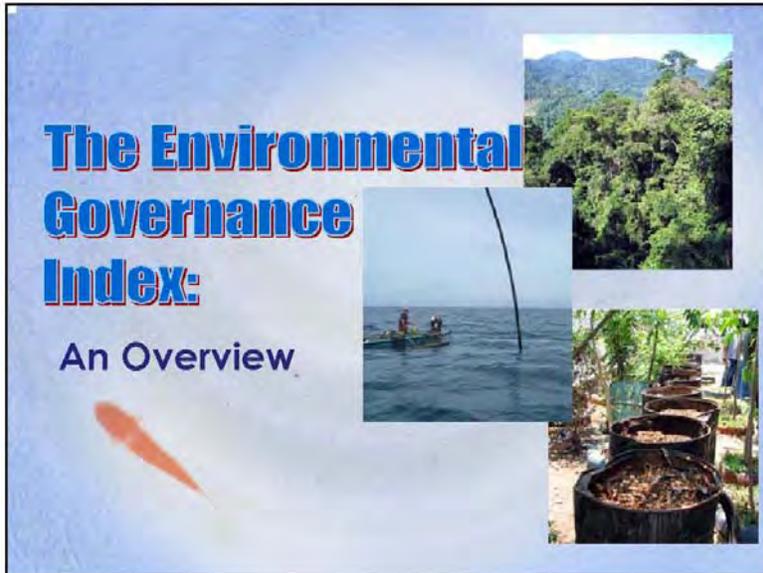
Pamaagi:

1. Masabtan pag-ayo ang matag pangutana. Mangutana sa facilitator kung dili klaro.
2. Mangita ug mga ebedensiya para pagmatuod o suporta sa mga tubag na “Oo” o “dili”.
3. Kahinanglan magkasinabot mo sa inyong tubag.

Pahinumdam:

- ☞ Ang atong kinahanglan mahibaloan mao ang mga naandan nga mga pamaagi dili ang giplanohan.
- ☞ Kinahanglan moapil sa mga diskusyon ang mga sumasalmot. Dili usa lang ang magdominar sa mga diskusyon.
- ☞ Kinahanglan nga prangka ug direkta kita sa atong mga tubag.

ANNEX 10
STANDARD POWERPOINT BRIEFING MATERIAL FOR GSA PARTICIPANTS



Good environmental governance is the process of undertaking decisions and actions concerning the environment consistent with **"best practices"**.

transparency
accountability
participatory decision-making
functionality

2

The Guided Self-Assessment (GSA)
is a management tool
that enables an LGU to determine

**what best practices
it has already adopted,
or has yet to adopt.**

3

**The GSA establishes
baseline data**

- It is **not statistically precise**
- It **does not “grade”** the LGU

4

3 Environmental Sectors*

covered by GSA

- Forests** - Illegal logging/poaching and conversion of natural forests into non-forest uses
- Coastal** - Overfishing; illegal and destructive fishing practices; destruction of habitats
- Urban** - Poorly managed solid and liquid wastes that endanger public health and safety

* Focus of EcoGov assistance

5

Also covered are the

Basic Functions of an LGU:

- Natural resource management and utilization planning and implementation
- Budgeting
- Contracting, bidding and procurement
- Issuance of licenses, permits, and tenure and allocation instruments
- Law enforcement

6

Governance Principles

- ❑ **Functionality** - LGU management systems in place to produce expected results; e.g., Functioning MENRO created by Executive Order.
- ❑ **Transparency** - Public access to relevant, timely, accurate and complete information about LGU operations as basis for decisions and actions.
- ❑ **Accountability** - Local officials able to demonstrate and take responsibility for performance in light of agreed expectations.
- ❑ **Participation** - Public participation in key governance processes that lead to key actions or decisions; e.g., *Sanggunian* public hearings.

The extent to which these are adopted needs to be measured.

7

The GSA Design

Carefully-selected & pre-tested
core questions representing
key indicators of good
environmental governance
that can be realized in 5 years.

8

The GSA Design

4 Components

each w/ standard questionnaire:

- Forest & Forestlands Management (**FFM**)
Practices – **15** questions
- Coastal Resources Management (**CRM**)
Practices – **17** questions
- Urban Environmental Management (**UEM**)
Practices – **16** questions
- LGU Internal Management Practices (**LIM**)
– **9** questions

The GSA Design

2 Categories of questions per component:

Governance Function

Questions on Planning & Implementation, Law Enforcement, and Issuances for FFM, CRM and UEM; Budgeting and Procurement for LIM; cross-cutting questions for all sectors

Governance Principle

Questions on Functionality, Transparency, Accountability and Participation; for all sectors and functions

“Implementation of functions should be consistent with governance principles - doing the right things in the right way.”

The GSA Design

Methodology:

- **Core Informants** come from LGU-based multi-sectoral Technical Working Groups
- Use of **focus group discussion** method, guided by EcoGov facilitator and resource person
- **Three-stage survey** – Baseline (2005), Mid-term (2007), End-of-project (2009)
- Initial survey establishes "**baseline**" for comparison with future values.

11

The GSA Design

Levels of Governance Indices:

- Governance Index is arrived at by dividing "yes" answers by total number of questions per category
- Index would range from "0.00" (if all answers are "no") to "1.00" (if all answers are "yes")
- "Success" will be indicated by indices moving towards "1.00" over time

12

The GSA Design

The higher the index, the more an LGU is practicing good environmental governance at the time of the self-assessment.

The indices are to be seen mainly as **starting points** for assisting each LGU to improve environmental management.

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Use of GSA Results for LGU

LGUs can use the results to:

- Strengthen environmental programs and policies
- Acquire new knowledge;
- Enhance partnership with citizens and other stakeholders (e.g., DENR, BFAR, academe, local NGOs;
- Refine internal operations (e.g., budgeting, procurement, database, personnel performance)

14

Use of GSA Results for Community

Citizen's groups can advocate for the use of the GSA as an **accountability tool** – to leverage good governance from the LGU and to identify areas where they can partner with the LGU; and to provide a **check and balance mechanism**.

15

EcoGov will assist each target LGU to move towards the ideal end-of-the-project benchmark index of "1.00."

16

Broader Uses of GSA Results

- ❑ Serve as basis for LGUs to ask national agencies like DENR and DILG to assist them in enhancing local governance, providing evidence that devolved/decentralized environment and natural resource functions can be carried out by LGUs.
- ❑ LGUs to use the results to market themselves to international funding agencies.
- ❑ Reinforce database for LGU credit rating.

17

ANNEX 11
STANDARD SCRIPT TO BE USED BY REGIONAL COORDINATOR/MAIN FACILITATOR¹
FOR THE GUIDED LGU SELF-ASSESSMENT
ON THE STATE OF ENVIRONMENTAL GOVERNANCE PRACTICES
2009 Assessment

Opening Introduction

Good Morning.

I am (*state your complete name*), the regional coordinator/ ____ (*state position*) of EcoGov 2 Project. (*Also introduce your co-facilitators/other members of the team.*) One of the objectives of the EcoGov 2 Project is to strengthen the ability of LGUs to improve environmental governance within their jurisdiction. We would like to ask you series of questions to establish information on the current status of governance practices in this LGU. The answers you provide will be used by the EcoGov 2 Project team to track changes since the last assessment in 2007 so that we can judge the effectiveness of our efforts, especially now that the five year implementation period of our project is soon ending. I appreciate your willingness to provide answers that accurately reflect the current practices being employed by this LGU, which can either be a result of EcoGov 2 intervention or your own internal initiative.

We call this exercise a guided LGU self-assessment (GSA) on state of local environmental governance practices. This GSA is a management tool that your LGU can use to track the status of local environmental governance. This can tell your LGU what best practices in environmental governance it has already adopted or has yet to adopt. You can own and sustain the application of this tool after the termination of the EcoGov project.

We will be using four (or three depending on how many sectors are present in the LGU) questionnaires to assess your governance practices in *forest, coastal resources, urban environmental management practices and internal management practices*, in order to give sector-specific stakeholders the chance to thoroughly discuss sector-specific issues and concerns. The questionnaire covers five main areas of local governance: (a) planning and implementation; (b) budgeting and fund disbursement; (c) procurement and contracting; (d) issuance of licenses, permits and tenure instruments; and (e) law enforcement.

For each main area of governance, we will cover four measures of “good governance”: (i) functionality, which is defined as the extent to which LGU governance systems are in place to produce expected results; (ii) transparency, or the degree to which the general public has access to relevant, timely, accurate and complete information about LGU operations; (iii) accountability, defined to mean the extent to which local officials can be held responsible, i.e., rewarded or penalized, for their decisions or actions, based on an objective assessment of their performance vis-à-vis set targets or standards; and (iv)

¹ See translation into major dialects.

public participation, or the degree to which the general public is effectively and meaningfully able to take part in governance processes that lead to the LGU's key actions or decisions.

All questions that will be asked are answerable by either "yes" or "no". This interview will take approximately 1 hour to complete per sector. As we go through each question, let us observe the following procedure. First, let us make sure we clearly understand each question. To be eligible for a "yes" answer, we should consider the standard and examples of best practices being asked. If any question is not clear, please feel free to ask the facilitator to clarify.

Second, let us look for evidences to support either a "yes" or a "no" answer. Participants will be requested to briefly explain/support their yes or no answer, for example by showing relevant documents or photos. Let us avoid dominating the discussions, give each one a chance to actively participate and respect each other's opinion.

Third and lastly, let us agree on the final answer for each question. If we cannot arrive at a group consensus, we will count the number of participants who answered "yes" or "no" and the majority answer will prevail. Counting may be done by "secret ballot" if you wish. In any case, objections will be duly documented.

At the end of the interview, we will request each of you to sign the filled-out questionnaire.

Now, let us go through the questions one by one...

Closing Statement

On behalf of the EcoGov Project, I would like to thank you for your generosity in allowing us to facilitate your conduct of this self-assessment. We know that your time is valuable but you chose to spend this with us this morning/afternoon. We will provide you with a copy of our final report. Aside from being useful to the EcoGov Project, we hope that our report can also help you to determine where and how you can improve your management of your forests, coastal areas, solid waste and wastewater by working together and sustaining your partnerships with all sectors. We hope that you will sustain all of your adopted best practices as you continue to look for ways to improve more. We also thank you for supporting the EcoGov project throughout the __ (state number of years) years that we are present here in your locality. It is an honor to have worked with you.

Have a good day!

ANNEX 12
STANDARD SCRIPT FOR OPENING AND CLOSING THE GSA (VISAYAN)

**Sukaranan nga mga Panultihon sa mga Mopatigayon sa
"Giniyahang Pagtagbili sa Lokal nga Pangagamhanan" Kabahin
sa Kasamtangan Kahimtan sa Pagdumala sa Kalikopan**

Pasiuna:

Maayong Buntag/Hapon!

Ako si (Isulti imong ngalan) ang regional coordinator/_____, (state position) sa Ecogov 2 project na gisuportahan sa USAID. (Ipa-ila-ila ang imong kauban na magpasilitar) Usa sa mga tinguha sa proyekto ng Ecogov mao ang pagpalambo, o pagpalig-on sa abilidad sa atong local nga pangagamhanan sa pagdumala sa kalikopan ilabi na sa lugar nga nahisakop niini. Among gitinguha ang pagpangutana ay sa katuyuan nga atong makuha o mahimo ang usa ka listahan sa impormasyon kung unsa ang kahimtang karon sa mga gipatuman na pamaagi sa pangobyerno sa mga namunoan sa atong local nga kagamhanan. Ang mga tubag nga inyong ikapaambit maoy gamiton isip basihan sa proyekto sa pagtan-aw sa mga kausaban sa mga naandang pamaagi sulod sa mga manglabayng panahon. Gamiton ni para matan-aw nato kung unsa ka epektibo ang mga pamaagi na gipatuman. Akong ikalipay ang inyong matinod-anong tubag nga maghulagway sa mga pamaagi nga gibatunan sa kagamhanang lokal karon, nga basin resulta sa mga pagtabang sa Ecogov o agi sa mga inyohang inisyatibo.

Gitawag namo ni atong buhaton nga LGU self-assessment o giniyahang Pagtagbili sa Lokal nga Pangagamhanan kabahin sa pagdumala sa kalikopan. Giniyahang pagtagbili ni kay ang Ecogov man ang mubasa sa mga pangutana ug magpasilitar samtang kamo ang magsusi sa kahimoan sa inyong LGU agi sa inyong mga tubag. Kining GSA ang usa ka galamiton sa pagdumala na magamit sa inyong LGU para makita ang kahimtang sa pagdumala sa kalikopan. Makapakita niining assessment kung unsa ang inyong maayong mga pamaagi na gibuhat na, kinahanglan pang iimplementa o wala nasustener sa inyong LGU. Pwede ninyo magamit ang GSA bisan humana ang proyekto sa Ecogov.

Ang mga pangutana naghisgot lang kabahin sa (Kalasangan og kabukiran, Kabaybayonan og kagasangan, ug pagdumala sa basura) nga sector, aron pinaagi niini, ang matag hisgot-hisgot mahitotok lamang sa maong suliran ug kahingawa sa mga tao nga may kalambigitan niini. Ang mga pangutana naglangkob sa lima (5) ka bahin sa pamunoan: a) Pagplano ug Pagpatuman niini; b) Pagahin sa pundong salapi ug ang pagpagawas niini sa panudlanan; c) Pamaagi sa pagpamalit ug pagkontrata; d) Paghatag sa lisensya ug panugot o mga kasabutang abang; ug e) Pagpatuman sa mga balaod.

Sa kada matang sa pamunoan, among gitan-aw ang upat ka sumbanan sa maayong pamunoan: i) **Ang Paglihok o Lomilihok** – kini mao ang pagsuta kung aduna bay nahimutang nga sistema o pamaagi sa pamunuan nga makahatag sa gihandum nga mga resulta; ii) **Klaro** – mao kini ang way lipod-lipod nga pagdumala nga ang mga tao ug ang publiko adunay katungod sa nga makihibalo sa insakto, husto ug kompletong

impormasyon kabahin sa mga desisyon ug kalihokan sa pamunoan; iii) **Tigpangako o Kapasanginlan** – mao kini ang pagtumbok kung kinsa nga personahe o ahensya sa kagamhanan ang responsible sa mga desisyon o aksyon nga pwede pahalipayan o multahan base sa pagbana-bana sa iyang binuhatan; ug iv) **Pagsalmot og Pagduyog** – mao kini ang sumbanan diin ang publiko o mga tao mahatagan sa igong kalidad ug mahinungdanong pagpapa-ambit ug tampo nga mohantong sa usa ka hiniusang desisyon o aksyon.

Adunay mga 17 ka mga pangutana nga pwedeng matubag sa “Oo” o “dili”. Kini mokabat lang sa bana-bana nga usa ug tunga (1 ½) ka oras sa kada sector. Samtang ato kining gibuhat, atong sundon kining maong mga pamaagi: Una, kinahanglan nga masabtan nato pagmaayo ang kada pangutana. Para masiguro nato ang atong mga “Oo” o “dili” nga tubag, kinahanglan masabtan nato ang kinatibok-an unod sa pangutan. Pananglitan, unang pangutana nangayo dili lamang sa lehitibo nga plano kung dili usa usab sa mga akseptado o sukaranan nga mga pamaagi. Kung adunay dili klaro sa mga pangutana, palihog ayaw kamo pagduha-duha sa pagduol aron sa pagpaklaro niini.

Ikaduha, mangita kita sa mga ebidensya o kapasikaran sa pagmatuod og suporta sa imong “Oo” o “dili” nga tubag. Ang mga nanambong o dumuduyog among awhagon sa pagpasabot o pagsuporta sa makadiyot ang ilang mga tubag. Atong tagaan sa igong higayon ang tagsa-tagsa sa pag-apil gayud sa kalihokan ug hisgot-hisgot.

Ikatulo ug kataposan, kinahanglan magkasinabot kita sa atong mga tubag. Kung dili magkasinabot, atong iphon kung pila ang mitubag ug “Oo” ug pila usab ang “dili”, unya kung unsa ang daghan, mao kini ang matuman. Ang pag-ihap pwedeng pagahimoon sa sekretong pamaagi sa botohan. Hinoon, kini sa inyong kabobot-on. Kung ingkaso adunay mga pagsupak, atong ipasiguro nga kini nahilista sa atong talaan.

Inig kahuman sa mga pangutana, among hangyoon ang kada usa kaninyo sa pagperma sa mga natubagang mga pangutana.

Karon adto kita sa tagsa-tagsa ka mga pangutana....

Panak-op nga Pahayag:

Sa ngalan sa EcoGov nga proyekto, ako nagpasalamat kaninyo sa inyong pag-amoma kanamo sa paghatag niining higayon. Sayod kami nga mahinangdanon kaayo ang inyong panahon sa tagsa-tagsa ninyo nga kalihokan, apan ania kamo karon, inyong gipili ang pag-anhi karong (buntaga/hapona). Amo unya kamong hatagan sa among kinatibok-ang asoy, saysay niining maong kalihokan. Gawas nga nakatabang kinig daku sa atong proyekto, ang resulta niini makatabang usab kaninyo sa pagsuta asa ug unsa ang angayan pa nga mapaugmad sa inyong kasagaran ug naandan nga pamaagi pagdumala sa inyong kalikopan, diha sa (Kalasangan og kabukiran, Kabaybayonan og kagasangan, ug pagdumala sa basura ug hugaw nga tubig) sa inyong lugar.

Usab daghang salamat ug maayong adlaw sa tanan!

ANNEX 13.
CHANGE IN THE COMPOSITION OF LGU CATEGORIES (BASELINE AND MIDTERM)

Index Category	Number , Percentage and Mean Indices of LGUs That Belong to the Category									
	N. Luzon		C. Visayas		S.C. Mindanao		W. Mindanao		Total (% of LGUs that Underwent GSA)	
	Baseline (19 LGUs)	Midterm (19 LGUs)	Baseline (29 LGUs)	Midterm (34 LGUs)	S.C. Mindanao (17 LGUs)	Midterm (21 LGUs)	Baseline (17 LGUs)	Midterm (17)	Baseline (82 LGUs)	Midterm (91 LGUs)
1-Well Performing	2 (10%) 0.80	11 (58%) 0.83	8 (28%) 0.83	21 (62%) 0.85	6 (35%) 0.85	15 (71%) 0.86	3 (18%) 0.85	6 (35%) 0.83	19 (23%) 0.84	53 (58%) 0.85
2- Median	8 (42%) 0.54	3 (16%) 0.67	10 (34%) 0.62	6 (18%) 0.70	7 (41%) 0.63	5 (24%) 0.63	3 (18%) 0.62	4 (24%) 0.62	28 (34%) 0.60	18 (20%) 0.66
3- With Generally Low Indices	6 (32%) 0.34	0 (0%)	0	0 (0%)	0 (0%)	0 (0%)	2 (12%) 0.34	2 (12%) 0.32	8 (10%) 0.34	2 (2%) 0.32
4- Overspecializing	3 (16%) 0.60	5 (26%) 0.66	11 (38%) 0.60	7 (21%) 0.61	4 (24%) 0.63	1 (5%) 0.55	9 (53%) 0.54	5 (29%) 0.56	27 (33%) 0.59	18 (20%) 0.61
Average Cross-Sector Index	0.51	0.76	0.67	0.78	0.71	0.79	0.59	0.64	0.63	0.75

ANNEX 14.
LIST OF LGUS THAT UNDERWENT THE MIDTERM GSA AND THEIR CATEGORIES

Category 1 LGUs

LGU	FFM Index	CRM Index	UEM Index	LIM Index	Over-All Index
1.Bayawan	1.00	1.00	1.00	1.00	1.00
2. Cauayan City	NA	NA	1.00	1.00	1.00
3. Talibon	1.00	1.00	0.94	1.00	0.98
4. Zamboanga City	0.93	1.00	1.00	1.00	0.98
5. Maribojoc	0.87	1.00	1.00	1.00	0.96
6. General Santos City	1.00	0.94	1.00	0.89	0.96
7.Danao City	0.87	1.00	1.00	0.78	0.93
8.Dalaguete	1.00	1.00	0.81	1.00	0.95
9.Davao City	0.93	0.88	0.94	1.00	0.93
10.Maitum	1.00	0.88	0.88	0.89	0.91
11.Palomolok	0.93	NA	0.94	0.78	0.90
12. Tabina	0.80	1.00	0.81	1.00	0.89
13.Alcoy	0.93	1.00	0.63	1.00	0.88
14.Lebak	1.00	0.94	0.75	0.78	0.88
15.Tampakan	0.80	NA	1.00	0.78	0.88
16.Maasim	1.00	0.94	0.69	0.89	0.88
17.Kiamba	1.00	0.94	0.88	0.56	0.88
18.Diffun	0.93	NA	0.94	0.78	0.88
19.Toledo City	0.87	1.00	0.75	0.89	0.88
20.San Jose	0.67	0.94	0.88	1.00	0.86
21.Dinalungan	0.93	1.00	0.75	0.67	0.86
22.Koronadal City	0.73	NA	0.94	0.89	0.85
23.Cabarroguis	0.93	NA	0.88	0.78	0.88
24.Maddela	0.80	NA	0.94	0.89	0.88
25.Wao	1.00	NA	0.88	0.67	0.88
26.Jagna	0.80	0.71	1.00	0.89	0.84
27.Kalamansig	0.87	0.94	0.75	0.78	0.84
28.La Libertad	1.00	1.00	0.56	0.78	0.84
29.Bais	0.80	0.94	0.88	0.67	0.84
30.Dauin	0.67	1.00	0.81	0.89	0.84
31. Sta. Catalina	0.93	0.94	0.50	1.00	0.82
32.Tupi	0.80	NA	0.88	0.89	0.85
33.Amlan	0.73	0.94	0.81	0.78	0.82
34.Balamban	0.67	0.88	0.94	0.67	0.81
35.Cortes	0.80	0.71	1.00	0.67	0.81
36. Pagadian City	0.80	0.94	0.56	1.00	0.81
37.Nagtipunan	0.80	NA	0.81	0.78	0.80
38.Kidapawan City	0.87	NA	0.88	0.56	0.80
39.San Miguel	1.00	NA	0.63	0.89	0.82
40.Tungawan	0.86	0.94	0.56	0.78	0.79

LGU	FFM Index	CRM Index	UEM Index	LIM Index	Over-All Index
41.Siquijor	0.67	1.00	0.75	0.67	0.79
42.Aritao	0.73	NA	0.75	0.89	0.78
43.Duero	0.60	0.94	0.81	0.67	0.77
44.Alabel	0.80	1.00	0.56	0.67	0.77
45.Dauis	NA	0.82	0.81	0.56	0.76
46. Tacurong City	Not assessed	NA	0.81	0.67	0.76
47.Baler	0.60	0.82	0.81	0.78	0.75
48. San Francisco	0.53	1.00	0.75	0.67	0.75
49.Bambang	0.40	NA	0.94	1.00	0.75
50.Dupax Sur	0.87	NA	0.81	0.44	0.75
51. Dupax del Norte	0.53	NA	0.81	1.00	0.75
52. Dumalinao	0.73	0.88	0.50	1.00	0.75
53. Isabela City	0.60	0.82	0.94	0.56	0.75

Category 2 LGUs (18 LGUs)

LGU	FFM Index	CRM Index	UEM Index	LIM Index	Over-All Index
1.Tanjay	0.73	1.00	0.50	0.67	0.74
2. Dinas	0.47	0.94	0.69	0.89	0.74
3.Moalboal	0.53	0.88	0.81	0.67	0.74
4.Makilala	1.00	NA	0.44	0.67	0.70
5.Lazi	0.40	1.00	0.75	0.67	0.72
6. Sen. Ninoy Aquino	0.80	NA	0.44	1.00	0.70
7. Maria Aurora	0.53	NA	0.81	0.78	0.70
8.Panglao	NA	0.71	0.69	0.67	0.69
9.Tboli	0.67	NA	0.63	0.78	0.68
10.Pamplona	0.67	NA	0.75	0.56	0.68
11.Quezon	0.87	NA	0.56	0.56	0.67
12.Aglipay	0.8	NA	0.50	0.67	0.65
13.Tukuran	0.47	1.00	0.50	0.67	0.67
14.Labangan	0.60	0.94	0.25	0.67	0.61
15.Bindoy	0.67	0.76	0.44	0.56	0.61
16.Bagumbayan	0.47	NA	0.44	0.89	0.55
17. Surallah	0.27	NA	0.75	0.56	0.53
18.Lamitan	0.40	0.59	0.44	0.33	0.46

Category 3 LGUs (2 LGUs)

LGU	FFM Index	CRM Index	UEM Index	LIM Index	Over-All Index
1. Payao	0.3	0.53	0.06	0.56	0.32
2. Naga	0.07	0.65	0.06	0.56	0.32

Category 4 LGUs (18 LGUs)

LGU	FFM Index	CRM Index	UEM Index	LIM Index	Over-All Index
1.Bayombong	0.27	NA	1.00	1.00	0.73
2.Compostela	0.20	0.88	1.00	0.89	0.74
3.San Luis	0.33	0.94	0.63	1.00	0.70
4.Tudela	0.27	1.00	0.56	0.78	0.65
5.Solano	0.27	NA	0.88	0.89	0.65
6.Carmen	0.47	1.00	0.19	0.89	0.61
7.RT Lim	0.60	0.88	0.25	0.67	0.60
8.Dimataling	0.20	0.63	0.38	1.00	0.60
9.Poro	0.53	0.88	0.25	0.78	0.60
10.Bagabag	0.07	NA	0.94	0.89	0.60
11.Dipaculao	0.07	1.00	0.63	0.67	0.60
12.Pilar	0.27	1.00	0.38	0.67	0.58
13.Corella	0.33	NA	0.81	0.56	0.58
14. Buug	0.06	0.82	0.75	0.67	0.58
15.Isulan	0.13	NA	0.88	0.67	0.55
16.Ayungon	0.53	0.65	0.27	0.78	0.53
17. San Pablo	0.33	0.94	0.13	0.78	0.53
18. Ipil	0.20	0.23	0.88	0.88	0.51

Note:

Category 1 : Well-Performing (cross-sector index= 0.75- 1.00)

Category 2 : Median Category (LGUs with cross-sector index in between Categories 1 and 3, but not “overspecializing”)

Category 3 : With Generally Low Indices (cross-sector index = 0.38 or lower)

Category 4 : Overspecializing in One Sector (index in one sector 0.75 and above, while that in another sector is 0.38 or lower) but cross index is < 0.75

**The Philippine Environmental Governance 2 Project
(EcoGov 2)**

Unit 2401, Prestige Tower
F. Ortigas Jr. Road (formerly Emerald Avenue)
Ortigas Center, Pasig City 1605
Philippines

Tel. (632) 635-0747 ☐ Fax: (632) 637-8779
<http://ecogovproject.denr.gov.ph>