

**LCP ROUNDTABLES ON POVERTY REDUCTION
THROUGH IMPROVED
GOVERNANCE 2002**

League of Cities of the Philippines
We Share the Vision . . . We Move On!



On to the Philippine Launch of the
International Campaign on
GOOD URBAN GOVERNANCE

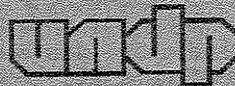
In support of Project 10+10+10
10th Anniversary of the
1991 LOCAL GOVERNMENT CODE

Final
Report
April 2002

LCP ROUNDTABLES
ON
POVERTY REDUCTION
THROUGH
IMPROVED GOVERNANCE

Theme:
Fighting Poverty with Passion
Through Improved Governance

Supported by:



The UNITED NATIONS DEVELOPMENT PROGRAMME
Through the Philippine Governance Forum [PHI/98/011]

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LCP Roundtables on Poverty Reduction through Improved Governance
Final Report

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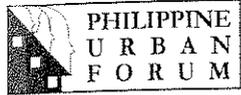
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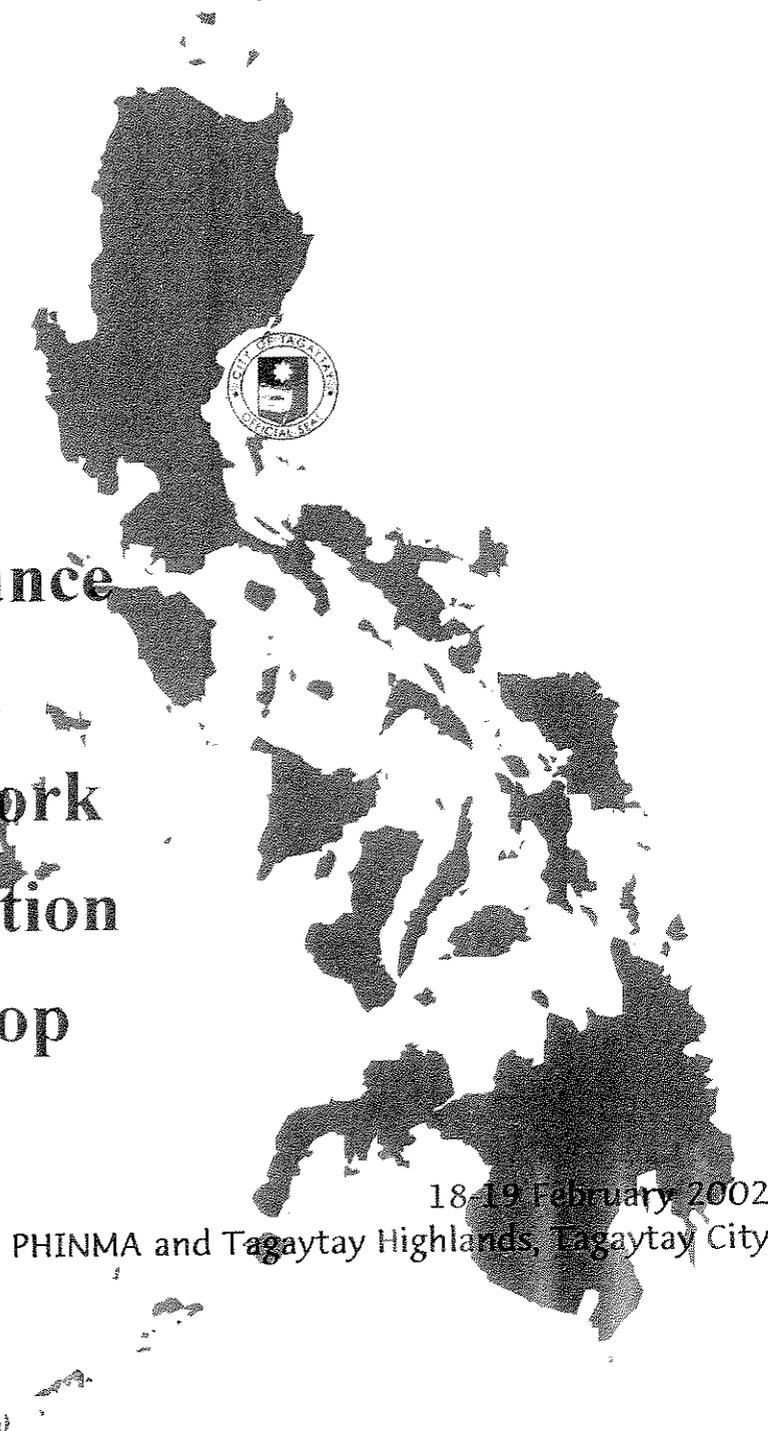
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<p>On to the Philippine Launch of the International Campaign on GOOD URBAN GOVERNANCE</p>	<p>In support of Project 10+10+10 10th Anniversary of the 1991 LOCAL GOVERNMENT CODE</p>
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**Good
Urban
Governance
National
Framework
Localization
Workshop**



18-19 February 2002
PHINMA and Tagaytay Highlands, Tagaytay City

Program Title	:	International Campaign for Good Urban Governance
Activity Title	:	National Good Urban Governance Framework Localization Workshop
Date and Venue	:	18-19 February 2002 * Don Felimon C. Rodriguez Development Center (Phinma), Barangay Iruhin, Tagaytay City and Tagaytay Highlands

INDICATIVE FLOW OF ACTIVITIES/1

<u>Day 1 – Monday, 18 February 2002</u>	
06:30AM 08:00am 08:30-09:30am 09:30am	<p>Assemble at Hyatt Lobby and depart for Tagaytay City</p> <p>Arrival, billeting and registration</p> <p>Opening Ceremonies</p> <p>Invocation and National Anthem</p> <p>Introduction of Participants</p> <p>Objectives and Format of the Workshop</p> <p>Welcome Remarks Mayor FRANCIS N. TOLENTINO President, League of Cities of the Philippines</p> <p>Keynote Address Hon. JOSE D. LINA JR. Secretary, Department of the Interior and Local Government</p> <p>LEAVE PHINMA FOR TAGAYTAY HIGHLANDS</p>
PERSPECTIVE SETTING	
09:50-10:05am 10:05-10:20am 10:20-10:30am 10:30-11:30am 11:30-12:00PM 12:00-01:00PM	<p>The Global Campaign for Good Urban Governance: Highlights of the India Launch Mr. NATHANIEL VON EINSEDEL Urban Management Programme, UNCHS</p> <p>LCP Definition of Good Urban Governance Atty. GIL-FERNANDO C. CRUZ Executive Director</p> <p>Break</p> <p>Profile of an Inclusive City Hon. JESSE M. ROBREDO Mayor, Naga City</p> <p>Questions and Answers</p> <p style="text-align: center;"><u>LUNCHEON FORUM</u> Keynote Speaker: Honorable MICHAEL T. DEFENSOR Convenor, Philippine Urban Forum</p>
01:00-01:30pm	Freshen up
01:30-03:50pm	<p>PANEL DISCUSSION</p> <p>[Each panel member is given 10 minutes to present assigned topic]</p> <p>Hon. MICHAEL T. DEFENSOR – Chair</p> <p>Hon. ARNAN C. PANALIGAN – Co-Chair</p>
<p style="text-align: center;">Sec. TERESITA DELES</p> <p style="text-align: center;">Asst. Sec. LUCILLE T. ORTILE</p> <p style="text-align: center;">Sec. LUIS “CITO” LORENZO</p> <p style="text-align: center;">MMDA Chair BENJAMIN S. ABALOS SR.</p>	<p>“Urban Poverty: The Human Development Context” and “Promoting Social Equity”</p> <p>The Sustainability Norm of Good Urban Governance</p> <p>Promoting Efficiency in Government</p> <p>Metropolitanization and Inter-Local Cooperation in the context of the Metro Manila Development Authority</p>

INDICATIVE FLOW OF ACTIVITIES/2

<u>Day 1 – Monday, 18 February 2002 [Continuation]</u>	
Gen. LEANDRO MENDOZA	Ensuring Security, Peace, and Law and Order as Components of Good Governance
PARTICIPANTS – PANEL INTERACTION	
03:50-04:10PM	Snacks Break
04:00-07:00PM	CONCURRENT WORKSHOPS – SERIES I Critique, validation and enrichment/refinement of the LCP Definition/Framework of Good Urban Governance in the context of Philippine Cities and as an instrument to reduce urban poverty, and presentation/discussion of Workshop Outputs
07:00-07:30PM	Break and Freshen up
07:30 – 09:00PM WELCOME DINNER Output Presentations 7 minutes for each of the 9 workshop groups Keynote Speech: Hon. ALBERTO G. ROMULO Executive Secretary	
<u>Day 2 – Tuesday, 19 February 2002</u>	
08:15-08:30am	Recap of Day 1
08:30-11:00AM	CONCURRENT WORKSHOPS – SERIES II Critique, validation and enrichment/refinement of the LCP <i>Model City Action Plan on Poverty Reduction through Improved Urban Governance</i> , Strategy identification and indicators development on each of the 7 norms towards inclusive cities [With Working Break]
11:00-01:30pm	PANEL DISCUSSION [Each panel member is given 10 minutes to present assigned topic; with working lunch] Hon. MICHAEL T. DEFENSOR – Chair Hon. ARNAN C. PANALIGAN – Co-Chair
Mr. JOSE C. CONCEPCION CSO Representative Comm. HAYDEE YORAC Gov. ROBERTO PAGDANGANAN Hon. JAMES MARTY LIM	Public-Private Partnership as a Feature of Good Urban Governance Civic Engagement and Citizenship: Civil Society Perspective Promoting Transparency and Accountability in Government Decentralization and Subsidiarity as Pillars of Good Urban Governance Barangay Governance within the Framework of Good Urban Governance
01:30-03:30PM	Workshop outputs presentation – 7 minutes per workshop group with discussions
03:30-04:00PM	TWG works on synthesis of Workshop Series I and II outputs Break for rest of the participants
04:00-05:30PM	FINAL PLENARY (with working break) Presentation of Synthesis with Plenary Discussion Next Steps: Plenary Action Planning for the Campaign Launch
05:30-06:30	CLOSING CEREMONIES

MESSAGE

HER EXCELLENCY PRESIDENT GLORIA MACAPAGAL-ARROYO

[Addressing the Mayors, Partners, Participants and other delegates during the Opening and Closing Ceremonies of the *Good Urban Governance National Framework Localization Workshop*, 18-19 February 2002, Tagaytay City

I commend the League of Cities of the Philippines and its 114 member-cities for taking the lead in the campaign for good governance consistent with the priority thrust of my administration, which I declared on the very day I took my oath of office.

The Secretary-General of the United Nations, Kofi Annan, once said that good governance is perhaps the single most important factor in eradicating poverty and promoting development. At the local level, good governance is needed to effectively address the challenges that we, like our neighbors in the Asia-Pacific region, are experiencing due to rapid urbanization and population growth. In simple and clear terms, good governance should result in the improvement of the lives of the poorest of the poor, and effectively close the gap between the rich and the poor.

Worldwide experience has shown that cities are the engines of growth, serving at the center of political, economic, and social activities. Unfortunately, it is also in our cities, where we have the densest communities of the poor. Thus, while poverty is an issue that concerns us all, we recognize the critical role that local government units, especially our cities, have to play in the forefront of our national war against poverty.

I am thus very happy to note that the League of Cities had adopted the seven local norms for good urban governance. Indeed, your initiative to localize the principles of sustainability, decentralization, equity, efficiency, transparency and accountability, civic engagement and citizenship, and security deserves commendation for these norms will be meaningless unless we are able to contextualize, concretize and translate them into action. I also want to commend our international partners for their strategic support. Though there are only 40 cities involved in this project right now, I hope all other Philippine cities will eventually join this excellent program. We'll be by your side in realizing your lofty goals. At the end of the day, we look forward to the visible impacts of this workshop in our efforts to combat poverty for this is really what good governance is all about

Magandang umaga at mabuhay kayong lahat.

TOWARDS NORMS OF GOOD URBAN GOVERNANCE

From the outset, the campaign must aim to develop universal norms that can be operationalized. These should be based on lessons of experience and reflect regional conditions. Their implementation must be grounded in the reality of urban planning and management.

For this reason, the campaign proposes that good urban governance is characterized by **sustainability, decentralization, equity, efficiency, transparency and accountability, security, civic engagement and citizenship**; and that these norms are interdependent and mutually reinforcing. These proposed norms are introduced below and include a range of illustrative operational principles for their implementation.¹ (See Tables for a structured presentation of the norms, objectives and means):

¹ Conference Room Paper 6: Good Urban Governance: A Normative Framework, 26 February 2000. see the Global Campaign for Good Urban Governance Website <http://www.unchs.org/govern/>

THE GLOBAL NORMS OF GOOD URBAN GOVERNANCE

From the outset, the campaign aims to develop *universal norms* that can be operationalized. These norms should be based on lessons of experience and reflect regional contexts and local conditions. Their implementation must be grounded in the reality of urban planning and management.

The *Global Campaign on Good Urban Governance* is characterized by the following norms that are interdependent and mutually reinforcing:

Equity

Security

Efficiency

Sustainability

Decentralization

Transparency and Accountability

Civic engagement Citizenship

EQUITY of access to decision-making processes and the basic necessities of urban life

The sharing of power leads to equity in the access to and use of resources. Women and men must be equally represented, their needs and priorities equally addressed, in all urban decision-making and resource allocation processes. Inclusive cities provide everyone with equal access to basic appropriate standards of nutrition, education, employment and livelihood, health care, shelter, safe drinking water, sanitation and other basic services.

Objectives	Operational Principles
Resource Allocation	<ul style="list-style-type: none"> <input type="checkbox"/> Establishing equitable principles for prioritizing infrastructure development and pricing urban services <input type="checkbox"/> Establishing investment incentives for targeted sectors and geographic areas <input type="checkbox"/> Removing unnecessary barriers to secure tenure and to the supply of finance <input type="checkbox"/> Creating fair and predictable regulatory frameworks
Empowerment	<ul style="list-style-type: none"> <input type="checkbox"/> Ensuring that women and men have equal access to decision-making processes, resources and basic services and that this access is measured through gender disaggregated data <input type="checkbox"/> Establishing quotas for women representatives in local authorities and encourage their promotion to higher management positions within cities <input type="checkbox"/> Ensuring that by-laws and economic development policies support the informal sector <input type="checkbox"/> Promoting equal inheritance rights for land and property

Practical means of realizing this norm include, *inter alia*,

- Ensuring that women and men have equal access to decision-making processes, resources and basic services and that this access is measured through gender disaggregated data;
- Establishing equitable principles for prioritizing infrastructure development and pricing urban services.

SECURITY of individuals and their living environment

Every individual has the inalienable right to life, liberty and the security of person. Insecurity has a disproportionate impact in further marginalizing poor communities. Cities must strive to avoid human conflicts and natural disasters by involving all stakeholders in crime and conflict prevention and disaster preparedness. Security also implies freedom from persecution, forced evictions and provides for security of tenure. Cities should also work with social mediation and conflict reduction agencies and encourage the cooperation between enforcement agencies and other social service providers (health, education and housing).

Objectives	Operational Principles
Environmental Management	<input type="checkbox"/> Implementing environmental planning and management methodologies based on stakeholder involvement
Disaster preparedness	<input type="checkbox"/> Raising awareness about the risk of disasters and formulating local emergency management plans, based on reduction of risk, readiness, response and recovery, for natural and human-made disasters and, where necessary, relocating residents of disaster-prone areas <input type="checkbox"/> Integrating emergency management among city departments and with national plans
Personal safety, crime control and prevention	<input type="checkbox"/> Creating a culture of peace and encouraging tolerance of diversity, through public awareness campaigns <input type="checkbox"/> Creating safety and security through consultative processes based on rule of law, solidarity and prevention, and supporting indigenous institutions that promote security <input type="checkbox"/> Address the specific needs of vulnerable groups such as women and youth through women's safety audits and youth training programmes <input type="checkbox"/> Developing metropolitan-wide systems of policing as a means of realizing more inclusive cities <input type="checkbox"/> Resisting all forms of abuse against the person, especially abuse against women, children and the family
Security of tenure and livelihood	<input type="checkbox"/> Promoting security of tenure, recognizing a variety of forms of legal tenure and providing counseling and mediation for people at risk of forced evictions <input type="checkbox"/> Promoting security of livelihoods, particularly for the urban poor, through appropriate legislation and access to employment, credit, education and training

Practical means of realizing this norm include *inter alia*.

- Creating a culture of peace and encouraging tolerance of diversity;
- Creating safety and security through consultative processes based on rule of law, solidarity and prevention;
- Developing metropolitan-wide systems of policing as a means of realizing more inclusive cities;
- Raising awareness about the risk of disasters and formulating vulnerability reduction and preparedness plans for natural and human-made disasters;
- Resisting all forms of abuse against the person, especially abuse against women, children and the family.

EFFICIENCY in the delivery of public services and in promoting, local economic development

Cities must be financially sound and cost-effective in their management of revenue sources and expenditures, the administration and delivery of services, and in the enablement, based on comparative advantage, of government, the private sector and communities to contribute formally or informally to the urban economy. A key element in achieving efficiency is to recognize and enable the specific contribution of women to the urban economy.

Objectives	Operational Principles
Management and service delivery	<ul style="list-style-type: none"> <input type="checkbox"/> Encourage city departments to find innovative means of delivering public goods and services through management contracts <input type="checkbox"/> Promote integrated, inter-sectoral planning and management <input type="checkbox"/> Removing unnecessary barriers to secure tenure and to the supply of finance <input type="checkbox"/> Developing and implementing fair and predictable legal and regulatory frameworks that encourage commerce and investment, minimize transaction costs, and legitimize the informal sector <input type="checkbox"/> Adopting clear objectives and targets for provision of public services, which maximize the contribution all sectors of society can make to urban economic development <input type="checkbox"/> Encouraging volunteerism
Efficient investment in infrastructure	<ul style="list-style-type: none"> <input type="checkbox"/> Delivery and regulation of public services through partnerships with the private and civil society sectors <input type="checkbox"/> Promote equitable user-pay principles for city services and infrastructure <input type="checkbox"/> Promote integrated, inter-sectoral planning and management <input type="checkbox"/> Improving the effectiveness and efficiency of local revenue collection

Practical means of realizing this norm include, *inter alia*,

- Delivery and regulation of public services, through partnerships with the private and civil society sectors;
- Improving the effectiveness and efficiency of local revenue collection;
- Removing unnecessary barriers to secure tenure and to the supply of finance;
- Developing and implementing fair and predictable legal and regulatory frameworks that encourage commerce, minimize transaction costs, protect human rights and legitimize the informal sector;
- Adopting clear objectives and targets for the provision of public services, which maximize the contributions all sectors of society can make to urban economic development.

SUSTAINABILITY in all dimensions of urban development

Cities must balance the social, economic and environmental needs of present and future generations.¹ Leaders must have a long-term, strategic vision of sustainable human development and the ability to reconcile divergent interests for the common good.

Objectives	Operational Principles
Balanced social, economic and environmental priorities	<ul style="list-style-type: none"> <input type="checkbox"/> Undertaking consultations with stakeholders within communities to agree on a broad-based mission-statement and long-term strategic vision for the city, using tools such as city development strategies <input type="checkbox"/> Integrating urban poverty reduction strategies into local development planning <input type="checkbox"/> Increasing green cover and preserving historical and cultural heritage
Stakeholder Involvement	<ul style="list-style-type: none"> <input type="checkbox"/> Engaging in consultative processes such as environmental planning and management [EPM] or Local Agenda 21, geared to reach agreement on acceptable levels of resource use, applying the precautionary principle in situations where human activity may adversely affect the well-being or present and/or future generations <input type="checkbox"/> Ensuring financial viability by promoting economic activity through the participation of all citizens in the economic life of the city <input type="checkbox"/> Promoting the transfer of appropriate technologies

Practical means of realizing this norm include, *inter alia*,

- Undertaking consultations with stakeholders within our communities to agree on a broad-based, long-term strategic vision for the city;
- Engaging in consultative environmental planning and management processes that are geared to reach agreement on acceptable levels of resource use, applying the precautionary principle in situations where human activity may adversely affect the well-being of present and/or future generations;
- Ensuring financial viability by promoting economic activity through the participation of all citizens in the economic life of the city.

DECENTRALIZATION [Subsidiarity] of authority and resources

Responsibility for service provision should be allocated on the basis of the principle of subsidiarity, that is, at the lowest appropriate level consistent with efficient and cost-effective delivery of services. This will maximize the potential for inclusion of the citizenry in the process of urban governance. Decentralization and local democracy should improve the responsiveness of policies and initiatives to the priorities and needs of citizens. Cities should be empowered with sufficient resources and autonomy to meet their responsibilities.

Objectives	Operational Principles
Local Autonomy and Accountability	<ul style="list-style-type: none"> <li data-bbox="539 540 1343 661">❑ In consultation with local authorities, developing clear constitutional frameworks for assigning and delegating responsibilities and commensurate powers and resources from the national to the city level and/or from the city level to the neighborhood level <li data-bbox="539 661 1343 782">❑ Adopt local legislation to translate constitutional amendments in support of subsidiarity into practical means to empower civil society to participate effectively in city affairs and which promote the responsiveness of local authorities to their communities <li data-bbox="539 782 1343 883">❑ Creating transparent and predictable intergovernmental fiscal transfers and central government support for the development of administrative, technical and managerial capacities at the city level <li data-bbox="539 883 1343 983">❑ Protecting financially weaker local authorities through systems of vertical and horizontal financial equalization agreed to in full consultation with local authorities and stakeholders <li data-bbox="539 983 1343 997">❑ Promoting decentralized cooperation and peer-to-peer learning

Practical means of realizing this norm include, *inter alia*,

- Providing clear frameworks for assigning and delegating responsibilities and commensurate resources from the national to the city level and/or from the city level to the neighborhood level, such as endorsing the World Charter of Local Self-government;
- Creating transparent and predictable intergovernmental fiscal transfers and central government support for the development of administrative, technical and managerial capacities at the city level;
- Protecting financially weaker local authorities through systems of vertical and horizontal financial equalization agreed to in full consultation with local authorities and all stakeholders.

TRANSPARENCY AND ACCOUNTABILITY of decision-makers and all stakeholders

The accountability of local authorities to their citizens must be a paramount concern; there is no place for corruption in cities. Transparency and accountability are essential in allowing stakeholders to have insight into local government operations and to assess which sectors of society are benefiting from decisions and actions. Universal access to, and the free flow of, information is fundamental to transparent and accountable governance. Laws and public policies should be applied in a transparent and predictable manner. Public officials should adhere to high standards of professional and personal integrity.

Objectives	Operational Principles
Transparent and accountable decision-making processes	<ul style="list-style-type: none"> <input type="checkbox"/> Regular, organized and open consultations of citizens on city financial matters and other important issues, through such mechanisms as the participatory budget; transparent tendering and procurement procedures and the use of integrity pacts and monitoring mechanisms in the process; internal independent audit capacity and annual external audit reports that are publicly disseminated and debated <input type="checkbox"/> Creating public feedback mechanisms such as an ombudsman, hotlines, complaint offices and procedures, citizen report cards and procedure for public petitioning and/or public interest litigation
Access to information	<ul style="list-style-type: none"> <input type="checkbox"/> Promoting the public's right of access to city information <input type="checkbox"/> Providing access to city information to create a level playing field for potential investors
High standards of ethics and professional conduct	<ul style="list-style-type: none"> <input type="checkbox"/> Regular, independently executed programmes to test public officials integrity response <input type="checkbox"/> Removing administrative and procedural incentives for corruption, including simplifying local taxation systems and the reduction of administrative discretion in permit processing <input type="checkbox"/> Promoting an ethic of service to the public among officials while putting into place adequate remuneration for public servants <input type="checkbox"/> Establishing codes of conduct and provision for regular disclosure of assets of public officials and elected representatives <input type="checkbox"/> Developing practically enforceable standards of accountability and service delivery, such as ISO, that will transcend the terms of public office holders

Practical means of realizing this norm include, *inter alia*,

- Free and open consultations of citizens on city budgets, transparent tendering and procurement procedures; publishing annual independent audit reports;
- Removing administrative and procedural incentives for corruption;
- Promoting an ethic of service to the public among officials;
- Creating local integrity networks and establishing codes of conduct for public officials;
- Creating public feedback mechanisms such as an ombudsman, "citizen report cards" and procedures for public petitioning and/or public interest litigation;
- Encouraging open, timely and free debate about urban issues in the media.

CIVIC ENGAGEMENT AND CITIZENSHIP

People are the principal wealth of cities; they are both the object and the means of sustainable human development. Civic engagement implies that living together is not a passive exercise: in cities, people must actively contribute to the common good. Citizens, especially women, must be empowered to participate effectively in decision-making processes. The civic capital of the poor must be recognized and supported.

Objectives	Operational Principles
Leadership for public participation and stakeholder involvement and responsibility	<ul style="list-style-type: none"> ☐ Making use of mechanisms such as public hearings and surveys, town hall meetings, citizens' forum, city consultations and participatory strategy development, including issue-specific working groups ☐ Undertaking city referenda concerning important urban development options
Building democratic culture	<ul style="list-style-type: none"> ☐ Promoting strong local democracies through free and fair elections and participatory decision-making processes ☐ Promoting an ethic of civic responsibility among citizens through such mechanisms as "City Watch" groups
Enablement	<ul style="list-style-type: none"> ☐ Enabling the equal contribution of men and women and the full participation of citizenry in civic life ☐ Establishing the legal authority for civil society to participate effectively through such mechanisms as development councils and neighborhood advisory committees

Practical means of realizing this norm include, *inter alia*,

- Developing a culture of civic solidarity wherein all residents and stakeholders treat each other on the basis of respect and acceptance of diversity of opinion;
- Establishing the legal authority for civil society to participate effectively;
- Promoting an ethic of civic responsibility among citizens;
- Enabling the equal contribution of men and women and the full participation of citizenry in civic life;
- Making use of mechanisms such as public hearings, town hall meetings, citizen's forums, city consultations and participatory strategy development;
- Undertaking city referenda concerning important urban development options.

NAGA AS “MAOGMANG LUGAR”

PROFILE OF AN INCLUSIVE CITY

I am honored to be with you in this preparatory workshop for the launch of the International Campaign for Good Urban Governance in the Philippines.

My task today is to present a profile of Naga as an inclusive city to aid in perspective setting for this activity. This presentation will therefore cover the following areas:

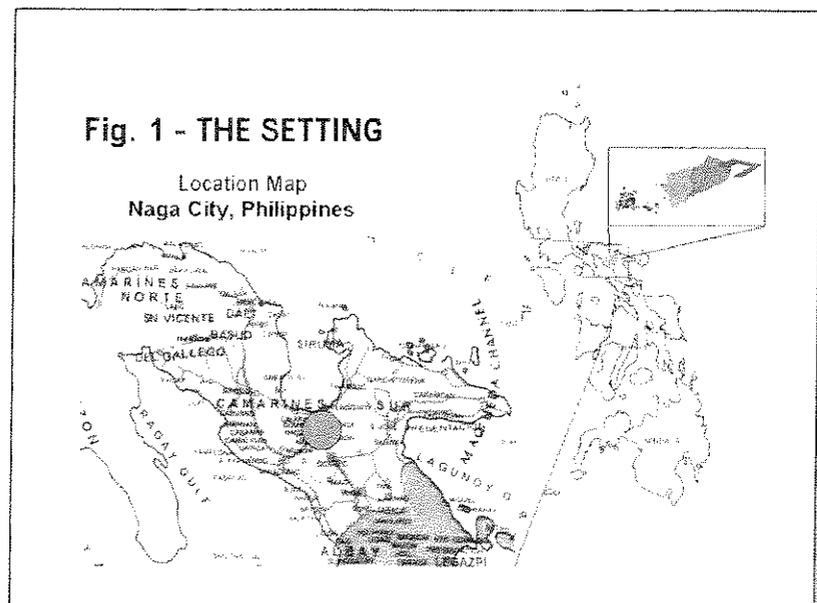
- The Setting
- The Naga Governance Model
- The Story of a Shared Vision—Beginnings of the Naga Model
 - Development Challenges
 - Participative Visioning
- Evolving the Naga Model
 - Progressive Perspective
 - Partnerships
 - Participation
 - The *i*-Governance Program
- Impact of the Naga Model
- Conclusion

THE SETTING

A riverine city in southern Luzon, Naga is located in the province of Camarines Sur, between 13 to 14° North Latitude and 123 to 124° East Longitude. It is about 450 kms south of Manila and about 100 kms north of Legazpi City. (See Fig. 1.)

As a city, Naga is one of the country's oldest. Originally called Ciudad de Nueva Caceres, it was one of the five cities created by royal Spanish decree in the late 16th century.

The “Heart of Bicol,” Naga has established itself as the religious, educational and business center of Bicol, one of the country's 15 administrative regions. Since the Spanish era, the city has served as seat of the Archdiocese of Nueva Caceres, which oversees the Roman



Naga in a nutshell

Population (2000)	140,325
Number of households	25,986
Per capita gross city product (1998)	US\$1,953
Average annual family income	US\$4,620
Poverty incidence	29%

Catholic hierarchy of the whole region.

It is home to two of the country's oldest colleges—the Holy Rosary Minor Seminary founded in 1793 and Colegio de Sta. Isabel (now Universidad de Sta. Isabel), the first normal school for women in the Orient, founded in 1868.

WHAT IT IS NOT

Naga is medium-sized, not big. Of the more than 100 Philippine cities today, Naga lies at the middle in terms of land area and population. Its 77.5-sq. kms territory pales in comparison with Davao and Puerto Princesa, the Philippines' two biggest whose land area both exceeds 2,000 sq. kms. Its 140,000 population is not even 10% of the population of Manila and Quezon City in the National Capital Region.

Naga is landlocked, not a port city. Hence, it does not have the advantage of access by sea.

All it has is the Naga River, which can only accommodate small motorized boats. Situated at the heart of Bicol's agricultural peninsula, its landlocked location places Naga at an obvious disadvantage vis-à-vis the country's port cities.

Naga is peripheral, not central. The city is around 450 kms away from Manila, the national capital. Likewise, it is equally that far from Metro Cebu,

the country's second largest urban center. Hence, its location and distance from these major urban centers is another disadvantage, especially in a country where the capital—derisively called Imperial Manila—remains the veritable center of national life.

Naga, therefore, is the typical rural Philippine city—one of the faceless, ordinary urban centers dotting the countryside.

WHAT IT IS

These limitations notwithstanding, Naga has made a name for itself in the area of local governance.

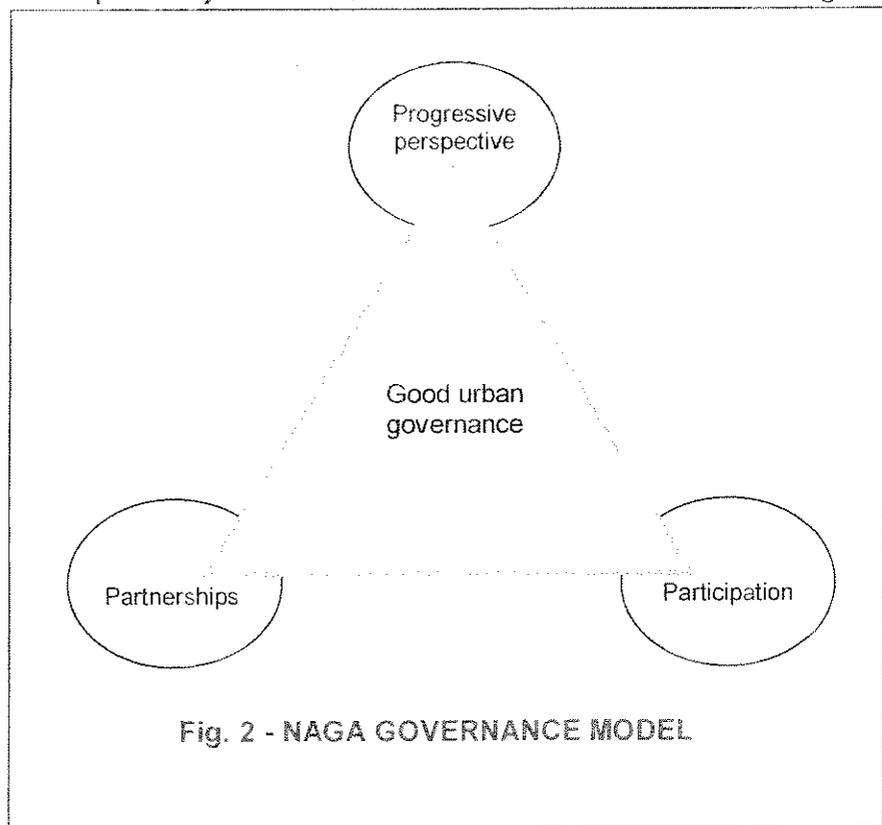


Fig. 2 - NAGA GOVERNANCE MODEL

It is a recognized center of local innovations. Over the years, Naga has built a reputation for being a model local government unit, and a center for innovations in local governance.

This is borne out by more than 50 national and international recognition accorded to Naga by various award-giving bodies. The most prestigious came in 1998, when the Participatory Planning Initiatives Project of the city was chosen to receive the 1998 Dubai International Award as one of the Top 10 Best Practices worldwide.

In November 1999, it was cited by *Asiaweek Magazine* as one of the five most improved cities in Asia in recognition of its participative processes, strong democratic traditions and commitment to excellence.

It is a livable city. Naga, likewise, is considered one of the Philippines' most livable cities, says *Interface*, the newsmagazine of the League of Cities of the Philippines.

It has a strong non-government sector. Another outstanding feature of Naga is the presence of a strong non-government sector, in the form of civic, business and people's organizations.

It took advantage of local autonomy. Finally, the state policy to promote local autonomy and decentralization has helped Naga mainly because it has helped itself, crafting a number of innovations that even antedated the 1991 Local Government Code.

THE NAGA GOVERNANCE MODEL

To provide a conceptual framework to my presentation, Figure 2 presents the model of governance we have developed, based on our collective experience over the last decade.

At its simplest, sustainability is a quality that can be associated with good urban governance. This type of governance therefore can be represented by a triangle --- the most stable of all geometric shapes.

Three elements form the foundation of good urban governance:

- **Progressive perspective.** In the model, it lies at the apex of the triangle because it is a function of leadership, which the local administration must provide.
Among others, a progressive perspective seeks to build prosperity for the community at large. But the goal of prosperity-building is tempered by an enlightened perception of the poor, whose upliftment is an end to governance.
- **Functional partnerships.** These are vehicles that enable the city to tap community resources for priority undertakings, in the process multiplying its capacity and enabling it to overcome resource constraints that usually hamper government.
- **Participation.** These are mechanisms ensure long-term sustainability by generating broad-based stakeholdership and community ownership over local undertakings.

Partnerships and participation lie at the base of the triangle because they are the elements that provide it sustainability.

THE STORY OF A SHARED VISION— BEGINNINGS OF THE NAGA MODEL

The model I have presented does not exist in a vacuum; as previously pointed out, it is based from the collective experience of the city government in managing Naga's development over the last 13 years.

Nor is it impressed with finality; the model as presented is a dynamic one, and will continue to evolve as the city continuously strives to find "the better way" because we believe that the quest for excellence is always an unfinished business.

But the Naga Model is essentially the story of how a shared community vision made a difference in improving a city. How we arrived at the current version of the Naga model is a story in itself. It goes without saying that this model is merely an outcome—or more correctly, a representation—of the city vision.

DEVELOPMENT CHALLENGES

When I became mayor in 1988, our administration had to overcome formidable challenges that helped shape much of our development strategies.

Economic. Economically, Naga was in bad shape.

- Its distinction as Bicol's premier city was fast becoming eroded. A former first-class city, Naga had been reduced to third-class by the Department of Finance. Its coffers were empty, strained by overspending that left almost a P1-million deficit.
- Its three-storey public market—considered in 1969, as Southeast Asia's biggest—was in shambles and was hit by a fire that ate up 1/3 of available space.
- The central business district (CBD), its size unchanged for more than four decades, was already overcrowded, shying potential investors away. Traffic volume, swollen by countless buses and jeepneys, which held terminal right inside the CBD, was already unmanageable.
- The local economy was sluggish and employment scarce. There was widespread indifference and very little stakeholdership among the various sectors of society. Business sector confidence was low. The narrow tax base remains narrowed to the 2,000 business establishments registered with the city government. As a result, tax collection was poor.

Social. The government's tight financial position spawned a vicious cycle that impacted negatively on service delivery.

- Basic services, particularly for health and education, had been deteriorating.
- Resources required to address the problems were not forthcoming.
- Crime was on the rise.
- Smut films and lewd shows proliferated.
- Illegal gambling, a menace in the last five decades, was rampant—unchecked by the police and military and tolerated by the leadership.

- The homeless urban poor population was growing in numbers, doubling to more than 20% of the city's household population from only a little over 10 in just a decade.

Combined, these socioeconomic problems led to the loss of faith and confidence of the people in their local government.

Political. In the political front, we had to contend with old politics that disdained change and sought to maintain status quo.

- Patronage was the rule. City hall was teeming with political appointees, and priorities were being dictated by political allegiances.
- My being a minority mayor (winning only 24% of the vote) who defeated my closest opponent by a margin of less than 1,000 and owed a debt of gratitude to the former mayor compounded the situation.
- In pushing the development agenda, my administration had to work with an opposition-controlled city council. While I had the leadership mandate, it was not solid but rather stood on an unwieldy ground. This impelled the need to produce tangible fast results that would reinforce that mandate.

PARTICIPATIVE VISIONING

In overcoming the challenges described above, a participative visioning process helped crystallize the aspirations of our people, in the process helping build stakeholdership across society.

Just as Naga was not built in a day, the local visioning process did not come about overnight. It evolved over time, building on individual and institutional management capabilities enhanced by technical assistance from international development agencies. Ultimately, it is the product of our commitment to improve government as a means of improving the city.

As it evolved, the local visioning process has three essential elements: a core development perspective, a mechanism for updating the corporate vision/mission from time to time, and a strategy for communicating that vision.

Development perspective. A development perspective is the philosophy that anchors all development efforts and seeks to mainstream all sectors of society in accepting their role in local development.

In Naga, we have embraced the concept of "growth with equity" as our core philosophy. This philosophy is based on our belief that every constituent is a "partner-beneficiary" in the development of the city.

This belief is rooted in our experience over the last 10 years. Naga's preeminent status today is more of a geometric than arithmetic progression. What it is now is not only the sum total of what its people has become; rather, it is the product of what its people have contributed to development. Consequently, development must accrue to all residents regardless of their station in life.

Updating mechanism. The updating mechanism is a function of the local strategic management process.

Essentially, it involves a conscious effort by the leadership to make the corporate vision/mission relevant to its constituency (internal) and the operating environment (external). With vital inputs from technical assistance projects—particularly the USAID-assisted Governance and Local Democracy (GOLD) as well as the ongoing City Development Strategy 2 Project (CDS2)—we have developed and installed this management capability in the local bureaucracy.

Through this mechanism, we are confident that our corporate vision and mission statements emphasize stakeholderhood across society,

underscoring the role of the bureaucracy and the constituency in attaining our common goals.

They are also reflective of the aspirations, bias, development perspective, and kind of leadership being envisioned by the community at large.

More importantly, these vision and mission statements define the city's development agenda, functioning as anchor of all local development efforts. Thus, all programs, projects and activities of the city government represent its efforts to operationalize that agenda.

For instance, under the auspices of the CDS2 Project, with more than 250 representatives of the civil society in Naga participating, we recently revisited our "Maogmang Lugar" vision and tried to express it in more concrete, practical terms.

The draft output, which will be presented for validation by the same group in a follow-up activity on February 21, is reproduced above.

"An Maogmang Lugar"

WE envision Naga as home of

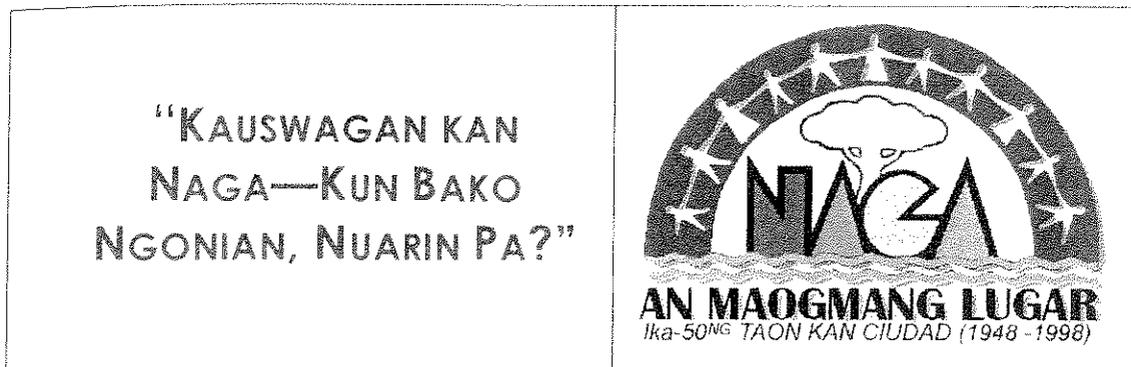
- **God-loving, gender-fair, globally competitive happy people**
- **rooted in positive moral and cultural values**
- **belonging to strong, unified and mainstreamed sectors**

of a progressive, peaceful city

- **considered a center of education, development and people-focused governance**
- **with a clean, healthy and sustainable environment**
- **and an economy that provides livelihood opportunities for all,**
- **thereby ensuring equitable distribution of wealth and proper utilization of resources.**

Communication strategy. Communication strategy refers to various approaches utilized by the leadership in presenting the corporate mission/vision to its constituency, with the end view of securing their support so that the corporate vision becomes a shared community vision.

Before a community can share one's vision, they must understand it first, and then relate to it. In Naga, slogans and logos proved to be potent tools in communicating our vision.



Two examples stand out:

- *The "Kauswagan" slogan.* In the 1988 elections, our development program bannered the theme "A City for the People." This program, however, was captured more succinctly by our battlecry: "Kauswagan kan Naga—Kun Bako Ngonian, Nuarin Pa?"

This highly effective slogan has a clear, definitive and unique Bikol ring to it that no translation could fully capture. Literally, it means "Naga's Progress—If Not Now, When?".

- *The "Maogmang Lugar" logo.* Aside from playing on the city's golden anniversary in 1998, this powerful logo captures the essence of a "happy place" that Nagueños aspire their city to be—people with linked arms to signify inclusive and participative governance; a tree to signify environmental integrity; and the blue waters to signify Naga's characteristic as a primarily riverine community.

EVOLVING THE NAGA MODEL

Given the circumstances at the time, almost no one believed us when we said that Naga would reclaim its reputation as the premier city of Bicol before the end of my first term in 1992, more so when we envisioned Naga establishing its niche as one of the best managed local governments in the country. The challenge was to implement our vision and bring the city where it was to where we wanted it to be.

In the process, we realized the importance of effective leadership in managing change, especially in providing a progressive perspective that made a difference in those difficult times of Naga's urban transformation.

PROGRESSIVE PERSPECTIVE: A FUNCTION OF LEADERSHIP

It was very evident when we took over that for us to accomplish our covenant with the electorate, the first step is to restore Nagueños' faith and confidence in their local government. There is no other way if the administration were to harness the community's wellspring of vast potentials.

Guided by these considerations, we identified three elements that would facilitate the process. We focused on these doables to jumpstart implementation of the city's corporate vision:

- For the leadership, it was building trust.
- For the bureaucracy, it was building confidence and capacity.
- For the city as a whole, it was restoring pride in the Nagueño.

Leadership. The city's leadership must not only demonstrate the required instrumental qualities that enable it to manage well—maximizing authority to structure, to control and to reward in the pursuit of desired changes. Leadership must also be bold and inspiring—energizing, enabling and ennobling, making the bureaucracy and constituency collectively confident in their capacities.

When I took over, we immediately confronted two long-standing and politically difficult problems that eroded the credibility of the previous administrations' leadership. We ran after illegal gambling, whose presence gave the impression that local civilian and police officials are on the take. We closed down all nightclubs and seedy joints, most of which were fronts for prostitution and drug dealing. In doing so, we proved that nothing was difficult if the leadership has the resolve worthy of the constituents' trust.

For city hall clientele, our message was "their government not only works, it always does things better." For the city hall rank-and-file, it was "the city government can be as good, if not better, than the rest." We would excel not only in a few but also in all facets of our responsibilities to the constituency. This we set out to do by putting more time and thought in what we were mandated to deliver and by taking the extra mile when necessary. In particular, in contrast to the previous mayor who did not maintain regular hours, I put in more hours of work than anyone did during the first few months of my term. Certainly, the leadership cannot ask of others what it itself is not willing to do.

City hall. Although bold and inspiring, the leadership also acknowledged that by itself, it can only do so much. Evidently, the local bureaucracy must be convinced to join in and do its share. Aside from being assured that the administration is well meaning and capable, this requires building confidence in their own capacity.

Thus, we launched a number of measures aimed at sending the message that we seriously mean business. Guided by the recognition that our people at City Hall are our most precious resource, we sought to empower them by applying private management systems in a government setting. They include the following:

- A better compensation package was implemented.
- A system based on aptitude and competence was set up.

- The Merit and Promotions Board was activated (with an employee representative to eliminate patronage).
- Tangible measures for service delivery were agreed upon and regularly measured.
- An “atmosphere of competition” was cultivated, and
- A more open, deliberative and participative system of management was also adopted.

Instead of harping on the inadequacies of the past and threatening the security of employment of everybody, a clean slate was presumed. Everyone was given the opportunity to prove his worth. However, it also became clear to everyone that a no-nonsense leadership is at the helm. In a matter of weeks, these efforts paid off, firmly securing the rank-and-file's support and cooperation for our programs and projects.

The constituency. Aside from political considerations, the leadership believed that the extent of our success was contingent on how the people respond to our initiatives.

In other words, the leadership must not only be bold, inspiring and empowering; it must also be inclusive. The response of various constituencies—be it the businessman, the market stallholder, the squatter, the farmer or the regular household—depends on how receptive the administration is to their participation in the decision making process.

It is precisely for this reason why very early on, we have reached out to the city's NGO-PO community as a matter of policy. Instead of confining deliberation on local government matters within a select group of elected officials, the leadership encouraged and formalized mechanisms to enhance constituency participation.

When the rest of the country, except for a few areas, was slowly shutting the door on progressive, left-leaning sectors of society, we not only continued dialoguing but began working with them. It was not surprising, therefore, according to Atty. Soliman Santos, Jr., executive director of the Institute of Politics and Governance (IPG), that with regard to people's councils, “it has taken the Naga popdems to deliver what the Manila popdems were promising a decade ago.”

Clearly, restoring pride in the Nagueño required, among others, restoring accountability of city hall and promoting “citizen ownership” of their government.

FUNCTIONAL PARTNERSHIPS

Our success in building confidence in the new administration emboldened us to attempt doing more with less, realizing that we must think beyond the city government's limited resources. **And the key, we found out, lies in effective community resource mobilization through partnerships.**

“Doing more with less” became a management mantra, an overriding goal of governance; “functional partnerships” became the vehicle for attaining this goal. What is the rationale behind our policy for continuing engagement in partnerships?

Based from experience, partnership systems and mechanisms enable local initiatives to access community resources (particularly the private sector), thereby augmenting the city's resources.

The beauty of partnerships is that it allows involved parties to attain mutually beneficial objectives even with minimum individual resources. Thus, partnerships multiply the local government's internal capability, opening doors to opportunities that are otherwise beyond our own resources to pursue and implement. In short, they enable a local authority to do more with less.

Operating principles. In trying to forge functional partnerships, we have identified three operating principles, which I want to share with you:

1. *Role definition.* By properly defining and delineating roles of each partner within the partnership, responsibilities and accountabilities are clarified and clear, unambiguous rules of engagement can be set. This prevents potential conflicts and other operational problems.
2. *Resource complementation.* A partnership is a venue for resource pooling, and more. It should attain synergy—ensuring that the total is greater than the sum of its parts. A good partner, therefore, must bring resources that others do not have into the partnership.
3. *Specialization.* This is predicated on marked inefficiencies that arise from the “do-it-all” approach that spawned big governments and unwieldy bureaucracies. In such situation, the strategic response is to take the opposite direction and move towards one's core competencies. Or specialize, to put it simply.

Illustrative examples. Having described our brand of governance from a higher plane, let me discuss some illustrative programs that exemplify these partnerships and participation mechanisms.

- ***To promote equitable development and tilt the balance in favor of the poor,*** the city implemented a unique tripartism-driven program called *Kaantabay sa Kauswagan* that facilitated homelot acquisition for urban poor beneficiaries. In 1996, it was named one of the Top 40 Best Practices by UNCHS in during the Habitat II conference in Istanbul, Turkey.

As of December 31, 2001, a total of 41 on-site and off-site development projects under the program have covered a total of 6,940 urban poor households, which represents 27 percent of the entire population of the city. The figure is roughly 500 families shy of the 7,400 low-income Naga households who, according to Asian Development Bank (ADB) estimates, live below poverty line

In terms of direct benefit, 67 percent of the 6,940 households city are on their way to getting their property titles, having benefited from 27 completed projects under the program. Negotiations are ongoing for 14 more projects that will cover the remaining 33 percent, thereby ensuring total direct benefit—something that eluded them in all of Naga's 50 years as a city.

In implementing the project, the NGO sector has played a critical role in social preparation and community organizing. Admittedly, these areas lie outside the city government's core competence. The partnership between City Hall and its NGO partners like the Community Organizers of the Philippines Enterprise (COPE) Foundation therefore made sense in that specific instance.

- **To provide quality health services**, Naga built its own city hospital, which continues to provide accessible and affordable health services to residents. It also serves as headquarters of Emergency Rescue Naga, an award-winning emergency response service inspired by Rescue 911.

But while ERN is famed for its 24-hour quality quick-response service in times of emergencies, its strength really lies in its successful community resource mobilization effort, pooling together the people, equipment, facilities and other resources of local schools, the police and fire departments, amateur radio groups and the national and local health agencies in the city.

- **To improve the quality of education**, the city began investing on the future through the establishment and institutionalization of a Montessori-based daycare system in all of Naga's 27 barangays. By targeting preschoolers, the program called Naga Early Education and Development ensures that local youngsters are better prepared before entering grade school.

Today, there are more than 70 Montessori daycare centers throughout Naga, including a showcase center called the School for Early Education and Development.

Just like ERN, NEED is also built on vital inputs from the UP College of Medicine, the local division of city schools, the DSWD, a private NGO specializing in educating the differently-abled kids of the city, the association of barangay councils, and the parents-teachers associations in each of the 27 barangays of Naga.

- The city government's other mandates and priorities prevent it from putting money on the establishment and operation of satellite markets all on its own. By allowing private entities to establish these markets and do what the city cannot under the circumstances, we attained our objective **of creating additional livelihood opportunities for Nagueños**. At the same time, the private investors are given the opportunity to realize their profit-motive.

In all of these, we see that partnerships can occur between and among the various levels of government (national, regional, local); between government and the NGO-PO community; and between government and private individuals or entities.

PEOPLE PARTICIPATION

But still, the city government found out that there is a downside to focusing on partnerships alone.

A limiting factor arises from their nature. At the operational and practical level, partnerships have to occur between institutions and organized groups, resulting often to the exclusion of the community at large, reducing them to a spectator's role in governance processes. Marginalized sectors—especially the urban poor and other unorganized basic sectors—are usually the ones left along the wayside.

For the long-term, this is not sustainable. **Partnerships therefore must be complemented by participatory mechanisms that mainstream the marginalized, and actively engage them in governance.**

A tradition of participation. By tradition, Naga is most ideal to the development of these mechanisms.

In his introduction to the book *The Theory and Practice of People's Councils: Focus on the Naga City Model* (IPG, 1998) Attorney Santos tried to answer the question—What is it about Naga, including its political, social and cultural context, which has given rise to its successful innovations?

Santos identified the following (and allow me to quote liberally):

Naga has a characteristic of expressing in various ways its sentiment of the moment in a continuing quest for meaningful politics and governance...In its history of active citizens' participation, the Naga citizens answers back to the politico. And there are many venues for such expression, including institutions like the "Jardin" in Rizal Park (Naga's version of Hyde Park or Plaza Miranda) and the "freest press in the Philippines."

Naga has a tradition and fondness for political debates and discourse. This leads to openness to new ideas. Naga is pluralist, not purist. Naga is free spirit, as in butterflies are free to let a hundred flowers bloom. Debates are occasions for people to come together. Along the way, some of the ideas become experiments like the peace zone and the people's council.

Because of such tradition, Naga has seen generations of politicized elders who have left a legacy of meaningful politics and governance, which is a challenge for each new political generation to improve on....

On the other side of this, of course, is the presence of an active and vibrant NGO-PO community in Naga, which is characteristically pluralist (like its roots in the cause-oriented sector of the 80's). It was the Naga City NGO-PO Council of the early 90's which held quiet discussions (with city government officials) to conceptualize the "Empowerment Ordinance" creating the NCPC to maximize the historical moment and LGC-inspired momentum of people's participation in local governance....

Participatory mechanisms. The preponderance of NGOs and POs is, in fact, one of the reasons behind Naga's success. Unlike other local governments who seem to have an institutional aversion to NGOs and POs, we tried hard to breathe life to the provision of the 1991 Local Government promoting partnerships with community-based organizations under our People Empowerment Program (PEP).

As an evolving program, the PEP has successfully concretized at the local level the abstract concept of "people power" by empowering and continuously engaging the community in governance processes, leading to the development of a participative society in Naga.

These are evident in the following mechanisms we established under the program:

- *Continuing NGO accreditation.* After the Code was passed, Naga was among the first to implement the provision mandating NGO accreditation. During its first run in 1993, more than 40 applied with the city council and were duly accredited.
- *Multi-level consultation mechanisms.* Under its Naga SPEED (Socialized Program for Empowerment & Economic Development) component, the program laid down multiple channels through which specific sectors, groups, or the entire constituency can participate in identifying

developmental priorities, or stamp their mandate—or disapproval—on major policy issues.

- *Referendum on development issues.* Among these channels is the citywide Referendum, which Naga pioneered on August 6, 1993 when three development issues were submitted to Nagueños for decision. In the process, the city government demonstrated that participation even at this scale works.
- *The Empowerment Ordinance and the Naga City People's Council.* Four years later, we took the concept a step further. Through a landmark legislation called the Empowerment Ordinance, the local government initiated the establishment of a system of partnership wherein the city encouraged the federation of these NGOs and POs into the Naga City People's Council (NCPC). This institutionalized a system of self-regulation among the rank and file of NGOs and POs in the city.

Among others, the Naga City People's Council was empowered to

- appoint NGO representatives to local special bodies of the city government
- observe, vote and participate in the deliberation, conceptualization, implementation and evaluation of projects, activities and programs of the city government,
- propose legislations, participate and vote at the committee level of the Sangguniang Panlungsod, and
- act as the people's representatives in the exercise of their constitutional rights to information on matters of public concern and access to official records and documents.

THE I-GOVERNANCE PROGRAM

Even then, the city government noted that the participatory mechanisms anchored on the NCPC and the Empowerment Ordinance do not address the needs of the individual citizens who, by choice or circumstance, do not want or cannot join organized groups.

For this reason, it launched on December 15, 2001 its *i-Governance Program* during the celebration of Naga's 53rd charter anniversary.

The *i-Governance Program* seeks to bring the current partnerships-driven model of governing in the city into the next stage: anchored on stronger participation at the level of individual citizens.

What is *i-Governance*?

i-Governance stands for:

- *inclusive governance*, which seeks to embrace, rather than exclude, individuals, peoples and sectors in running government
- *information openness*, which demonstrates that information is power, and truly empowering when placed at the hand of the citizens
- *interactive engagement*, which puts premium on information exchange through continuing dialog between authority and constituency, and
- *innovative management*, which is committed to a culture of excellence sustained by creativity and innovations.

Why *i-Governance*?

i-Governance is the next level in Naga City's advocacy for and experience in good governance. By expanding and creating participatory mechanisms that empower individual citizens, participation—the third element in the Naga Governance Model, together with progressive perspective and partnerships—is strengthened.

Greater participation of individual citizens is the defining feature of *i-Governance*. For more than five years, Naga has pioneered a system of partnerships through the Naga City People's Council, the local federation of close to 100 non-government and people's organizations in the city. In fact, functional partnerships have powered most, if not all, of Naga's outstanding innovations over the last decade.

But because working partnerships are biased towards organized groups for practical and operational reasons, *i-Governance* seeks to overcome this inherent limitation by opening wider avenues for participation of individuals in governing the city.

How does *i-Governance* work?

At the operational level, *i-Governance* is manifested in the following projects of the city government:

naga.gov ("naga-dot-gov") - This refers to the revitalized and reengineered website of the city government which harnesses cutting-edge IT (or "information technology") in providing accurate, relevant and engaging information about Naga to the global Internet community, particularly to web-enabled Naga residents here and abroad.

The naga.gov Project has four major components:

- *Sell Naga*. This component provides the essential information about the city, anchored on news updates; an extensive city profile, urban indicators and statistics; tourism assets; investment opportunities; and downloadable maps and tables.
- *Services Naga*. Also known as NetServe, this component provides an extensive catalog of the wide array of services being provided by the city government—including procedures, response time and responsible personnel for each type of service. It also features downloadable forms commonly used in transacting with various agencies of the city government.
- *Share Naga*. To promote information openness, this component offers information about city finances, including details about the annual city budget; postings of biddings and public offerings and their outcomes; city ordinances and resolutions; and a directory of city officials, their contact numbers and email addresses.
- *Star Naga*. This "feel-good" component seeks to promote civic pride by focusing on various awards, recognitions and milestones reached by the city over the last decade.

Of course, the site is armed with a message board and guest book that allow web-connected Nagueños to touch base with fellow residents.

Naga City Citizens Charter – This is a guidebook on key services of the city government, the next logical step in the continuing evolution of a new service

orientation and consciousness at city hall. This printed publication is the newest tool developed by the city government to empower its citizenry by promoting transparency and accountability in service delivery.

It describes the key services of the City Government, written for the benefit of its customers. Its strength lies in the way the services are presented: the step-by-step procedure for availing each service, the response time for its delivery, and the city hall officers and staff responsible for the service.

These information are complemented by list of requirements a customer must comply to facilitate service delivery. Maps sketching location of the department or office handling the service enrich these checklists.

In addition to performance pledges of each agency, a detachable customer feedback form is also provided, intended to generate readers' feedback on the quality of service being delivered by the city.

Designed for distribution at the household level, the guidebook has catalogued a total of 101 services for this first edition. The list is expected to grow as reader interest is aroused, feedback is generated, city hall services improve, momentum picks up, and the Citizens Charter takes a life of its own.

IMPACT OF THE NAGA MODEL

More than 10 years after launching its efforts to reform the city government, Naga's trailblazing experiment in governance has produced concrete results.

- **A participative society exists, where a form of direct democracy works hand in hand with representative democracy, the first and perhaps only one of its kind in the Philippines.** Through the Naga City People's Council (NCPC), close to 100 nongovernment and people's organizations (NGOs and POs) are now actively involved in governing the city.

Through Naga SPEED, the city government laid down multiple channels through which specific sectors, groups, or the entire constituency can participate in identifying developmental priorities, or stamp their mandate—or disapproval—on major policy issues.

Among these channels is the citywide Referendum on Development Issues, the first and perhaps only one of its kind, which demonstrated that participation even at this level works.

- **The marginalized sectors of society have been strengthened and organized, both at the city and barangay levels.**

Through the revolutionary Empowerment Ordinance (Ordinance No. 95-092), a functional framework for partnership between the city government and the NGO/PO community was laid down, thus creating an avenue for its meaningful participation in governance.

This was replicated in each of Naga's 27 barangays where a functional Barangay People's Council (BPC) was organized, mainly through NCPC initiative even if it was not provided for in the ordinance.

Over the last two years, with funding support from the Philippine-Australian Governance Fund (PAGF), NCPC has focused on strengthening the 12 basic sectors of society.

This resulted to a significant increase in the number of NGOs and POs in Naga, from only a little over 40 when the first round of accreditation was conducted in 1996 to a total of 94 in 2001.

- **Participation and inclusiveness in direction setting, policymaking, as well as program and project implementation, monitoring and evaluation at the city level, has been widened.**

NCPC representatives have been sitting as full-fledged members of all local special bodies (both mandated and non-mandated under the Local Government Code), standing committees of the Sangguniang Panlungsod, various task forces, councils and boards of the city government.

Membership in these entities goes through an independent selection process within NCPC. The nominees are then endorsed to the City Mayor for approval and appointment, which has become largely ministerial.

On top of that, the NCPC also

- takes the lead role in community organizing
 - helps evaluate the granting of incentives to investors in the Naga City Investment Board (NCSB)
 - helped formulate the Integrative Livelihood Masterplan (ILM) of the City Government, and
 - contributed significantly in the resolution of two major development issues in Naga: the establishment of the proposed sanitary landfill in Barangay San Isidro (which did not push through due to acceptability and environmental concerns NCPC raised); and the establishment of state-of-art mortuary in a suburban area (which, in spite of resistance from a number of residents, pushed through with its endorsement).
- **Broadbased stakeholdership, propelled by greater NGO/PO participation, has enhanced the sustainability and acceptability of Naga's innovative programs and projects.**

In varying degrees, its Galing Pook Award-winning programs like Metro Naga Development Program (integrated area development), Kaantabay sa Kauswagan (housing and poverty reduction), Emergency Rescue Naga (emergency services), and the Naga Early Education and Development (education) continue to do more with less resources.

Others have evolved into superior programs. For instance, the Naga Local Initiatives for Economic Activities and Partnerships (Naga LEAPS) LEAPS was split into two more focused programs:

- the multi-awarded ILM being implemented by Metro PESO, which addresses the needs of small entrepreneurs and low-income beneficiaries; and
- the NCIB which focuses on promoting big-ticket investment opportunities in Naga to middle and high-end investors.

Of course, the multi-level consultations-driven Naga Socialized Program for Empowerment and Economic Development (Naga SPEED)—under whose aegis Naga conducted the first ever LGU referendum on development issues in 1993—was the forerunner of the People Empowerment Program.

Moreover, under the auspices of the program, around 30 strategic management plans were completed in environment management, health planning and livelihood development, including the Integrated Livelihood Masterplan (ILM) for small entrepreneurs. Their common characteristic is ownership by stakeholders that participated in their crafting.

- **A positive change in perception and attitude of the civil society towards the city government, and vice versa, was engendered.**

This particular change led to positive behavior towards each other. There is now a heightened level of trust and confidence, openness to and acceptance of each other, and a more pronounced interaction between them. Thus, the program did not merely bring ordinary people closer to their government, but systematically involved them in the processes of governance itself.

As a result, the program harnessed the energies of those in civil society and transformed them into active partners in running the affairs of government—becoming not just mere spectators (or critics) but players who participate in various levels of planning, policymaking and implementation.

- **The ubiquitous presence of the NCPC has promoted greater transparency, engendering an atmosphere of mutual trust and encouraging the city government to blaze new trails in information openness.**

For instance, the 2001 Budget of the City Government has been made available in both print and in digital format, the latter accessible through the city's website at www.naga.gov.ph, the first ever Philippine LGU to do so.

This moved a visitor to remark in the website guestbook that by putting up the numbers for every one to see, the city is "requiring from us more than greetings. They are asking us, for the sake of the city, to look at the numbers, study them, question them."

- **International recognition of Naga's successful experiment in political empowerment under the program has confirmed the city is on the right track.**

In 1998, the program's planning applications—through the Naga City Participatory Planning Initiatives (NCPPI)—was given the Dubai International Award by the United National Centre for Human Settlements (Habitat) and the Municipality of Dubai as one of the ten best practices worldwide.

In 1999, *Asiaweek* cited the program as "perhaps the greatest of all of Naga's accomplishments" in a feature article on Naga as one of the most improved cities in Asia.

In 2000, the Ramon Magsaysay Award for Government Service cited Mayor Jesse M. Robredo for "his giving credence to the promise of democracy by demonstrating that effective city management is compatible with yielding power to the people." The full citation made special mention of the fact that "he further enshrined citizen empowerment through the distinctive ordinance creating a People's Council that would explicitly ensure the continuing participation of NGOs and POs in all future city deliberations."

This progression is summarized under the following table:

MILESTONE	BRIEF DESCRIPTION	IMPACT
"City of the People" Vision (1988-95)	Confidence building phase which laid down groundwork for reforms within City Hall and in the community	<ul style="list-style-type: none"> • Restoration of people's confidence in government • Organization of sectoral groups and holding of regular consultations.
Promotion of functional partnerships	Community resource mobilization efforts enabled the city government to do more with less	<ul style="list-style-type: none"> • Launching of innovative programs such as Kaantabay sa Kauswagan, Emergency Rescue Naga (ERN), Naga Early Education and Development (NEED), and Productivity Improvement Program (PIP)
"Uswag Naga 1998" (1995-98)	<ul style="list-style-type: none"> • Emphasis on economic growth • Period of rapid economic expansion 	<ul style="list-style-type: none"> • Implementation of economic development initiatives such as the Metro Naga Development Council (MNDC) and the Central Business District (CBD) II Project
Institutionalization of participatory mechanisms	Establishment of structures and mechanisms to achieve active partnership and greater participation between the city government and the people of Naga	<ul style="list-style-type: none"> • A fully functional system of GO-NGO-PO partnership that operationalizes a form of direct democracy • Wider participation in policymaking, planning, implementation, monitoring and evaluation through NCPC representation in local bodies and entities • Multiple channels for consultations through the Naga SPEED component • Expansion of the partnership down to the grassroots level
"Maogmang Lugar" Vision (1998 to Present)	Redefinition of shared vision towards becoming an inclusive city	<p>Empowerment of marginalized sectors is being addressed at three levels:</p> <ul style="list-style-type: none"> • Social, through Kaantabay sa Kauswagan • Economic, through the Integrated Livelihood Masterplan, and • Political, through the People Empowerment Program
Strengthening of participatory mechanisms	i-Governance Program brings the Naga Model to its next level: empowerment of individual Nagueños	<ul style="list-style-type: none"> • naga.gov Project • Naga City Citizens Charter

CONCLUSION

From our experience as a developing city, it is evident that sustainable partnerships are critical to livable, inclusive cities in the 21st century.

But they must be complemented by a progressive perspective among local leaderships, particularly one that is shaped by an enlightened perception of the poor.

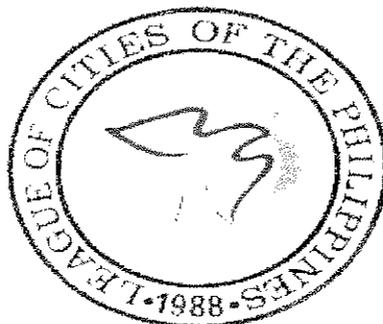
Mechanisms for greater participation in governance process—both for marginalized groups and individuals—is also critical, to address the exclusionary nature of partnerships at the operational and practical level. In this context, the Naga City People's Council and I-Governance are good mechanisms that we can look at and learn from.

As pointed out above, a strong commitment to functional partnerships and meaningful participation has keyed almost all of Naga's innovations, grounded on the key concepts of role definition, resource complementation and specialization.

The challenge before us is to transform these concepts into our second nature. It should become as ordinary or ubiquitous as the air we breathe—so very much around we often take it for granted but it sustains life.

When partnerships and participation become the norm and not the exception between neighbors, between and among families, and between individuals and their communities, then we can proudly say that we have overcome an important roadblock to our maturing as livable, inclusive cities.

LEAGUE OF CITIES OF THE PHILIPPINES



We Share the Vision ... We Move on...

DILG-NCR CITIES URBAN GOVERNANCE ORIENTATION
23 March 2002 * Barangay Bel-Air, Makati City

A Campaign for Good Urban Governance

To operationalise the Habitat Agenda

- Address global trends towards urbanization
 - Increasing poverty and insecurity
 - Local government capacities
- Take new approaches to “good governance”
 - Local authorities as “enablers” and “facilitators”
 - Emphasis on partnership for service delivery

The Global Campaign for Good Urban Governance

- **Habitat Strategic Objective**
Reduction of poverty through good governance
- **Campaign Goal**
Improved quality of life in cities, particularly for the poor and the marginalised
- **Campaign Theme**
Promote and achieve “Inclusiveness” among cities – The Inclusive City being both a vision and a strategy built around 7 Global Norms within local contexts

The 7 Global Norms of Good Urban Governance

- Equity
- Security
- Efficiency
- Sustainability
- Decentralization and Subsidiarity
- Transparency and Accountability
- Civic Engagement and Citizenship

**The 7 Global Norms of
Good Urban Governance**

Equity *of access to
decision-making
processes and the
basic necessities
of urban life*

**The 7 Global Norms of
Good Urban Governance**

Security *of individuals
in their
living
environment*

**The 7 Global Norms of
Good Urban Governance**

Efficiency *in the delivery
of public services
and in promoting
local economic
development*

**The 7 Global Norms of
Good Urban Governance**

Sustainability *in all
dimensions
of urban
development*

**The 7 Global Norms of
Good Urban Governance**

Decentralization
and
Subsidiarity *of authority
and
resources*

**The 7 Global Norms of
Good Urban Governance**

Transparency
and
Accountability *of decision-
makers
and all
stakeholders*

The 7 Global Norms of Good Urban Governance

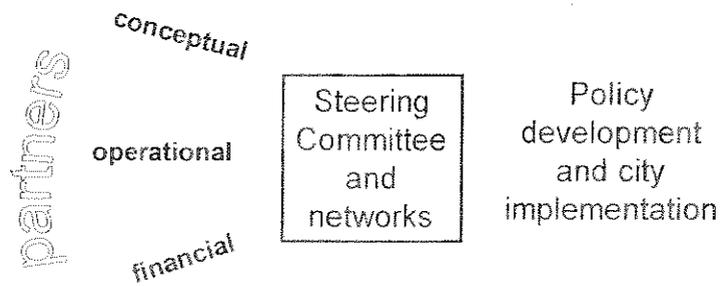
Civic Engagement and Citizenship

*where people,
as the principal
wealth of cities,
are held as both
the object and the
means of
sustainable
human
development.*

Features of the potential “Inclusive City”

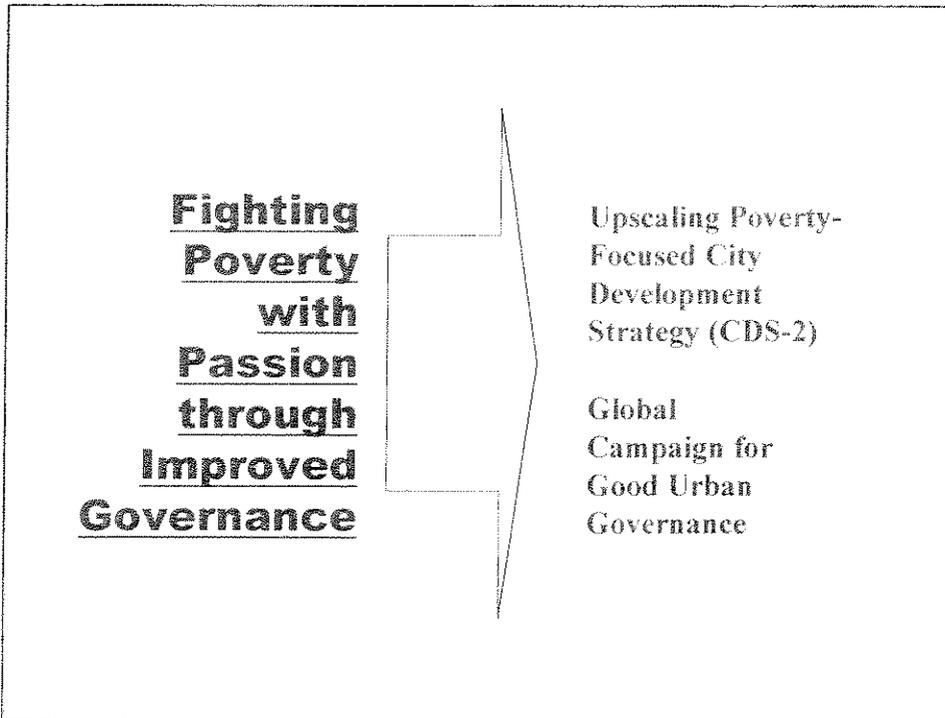
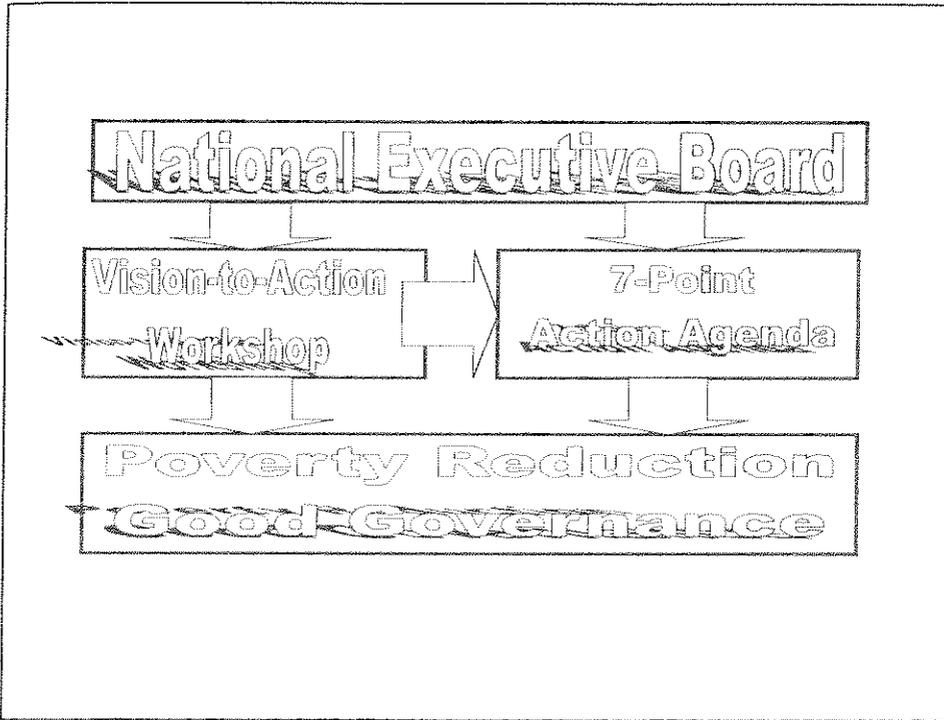
- *Local participatory democracy
and decentralization*
- *Financial efficiency, transparency,
responsibility and accountability*
- *Social equity and empowerment*
- *Environmental sustainability,
security and personal safety*

Partner involvement



League of Cities of the Philippines

**Good
Urban
Governance
Framework
Localization
Initiatives**





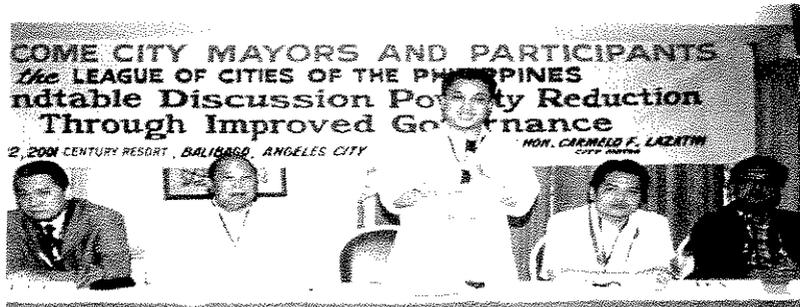
**CDS 2 Grant Signing with President
Gloria Macapagal as witness**

October 8, 2001

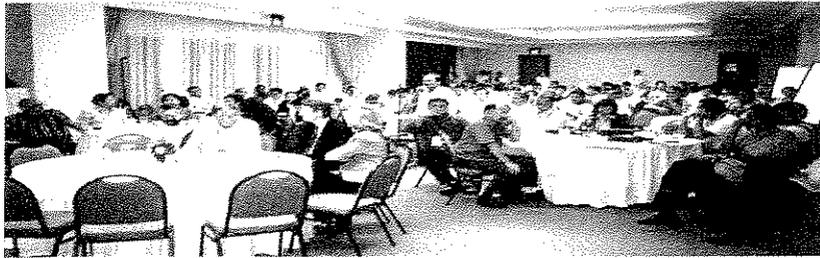
Poverty Reduction through Improved Governance

Process & Methodology

--- Conduct of a series of Island Cluster Roundtable
Dialogues (Luzon, Visayas, Mindanao)



Objectives of Roundtables



- Develop the local perspective to feed into the operationalization of the National Good Urban Governance Framework
- Formulate localization strategy with poverty reduction bias
- Identify and document innovative practices in poverty-reduction through improved governance
- Craft a model city action plan on “*Poverty Reduction through Improved Urban Governance*”

GOVERNANCE

is the exercise of political, economic and administrative authority in managing a country’s affairs at all levels.

It comprises the mechanisms, processes and institutions through which citizens and groups:

- Articulate their interests;
- Exercise their legal rights;
- Meet their obligations; and
- Mediate their differences.

Good Urban Governance

Is the sum of the many ways individuals and institutions, public and private, plan and manage the common affairs of the city.

It is a continuing process through which conflicting or diverse interests may be accommodated and cooperative action can be taken.

It includes formal institutions as well as informal arrangements and the social capital of citizens.

Our Operational Framework of Good Urban Governance

Good Urban Governance is the instrument by which the city leaders' full commitment to reduce urban poverty in all its forms is expressed and implemented.

This Framework recognizes and addresses ***urban Poverty*** as a multidimensional phenomenon and, therefore, works to break the urban poor free from all forms of deprivation such as income, health, education, land tenure insecurity, insecurity in their life and assets, isolation, and disempowerment.

**Good Urban Governance National Framework
Localization Workshop
PROCESS OUTPUTS**

Presentation Outline:

- A. The Norms – Basic Agreements**
- B. Indicators, Outputs and Objectives**
- C. Enhancement of the Definitions**
- C. Revised Framework**
- E. Components**

7 NORMS

- 1 Have **Equitable** access to basic needs
- 2 **Urban Citizenship** principal wealth
- 3 **Security** tenure
- 4 **Sustainability** social economic environment
- 5 **Accountable, Responsible, Transparent**
- 6 **Decentralization** (subsidiarity/cost-effective)
- 7 **Efficient** and Innovative
- 8 **Globally Competitive** (livability, quality of life, products, investment climate)
- 9 **Transformative Leadership** that creates a culture of Excellence

EQUITY

Indicators

- equal employment opportunities (for marginalized sectors, women)
- participation of NGOs/POs in LDCs and local special bodies (down to barangay level)
- equal access to basic services & training & education
- fair competition among businesses
- flexibility in access to credit facilities
- allocation for socialized housing

Outputs/results

- minimum standards for services are met or are improved from present level (example - number of doctors/population)
- more resource complementation
- better accountability & transparency
- thriving small enterprises and urban poor settlements
- thriving medium and big businesses
- rationalized & equitable land distribution
- less informal settlements

2 - Zero Informal Settlements

SECURITY

Indicators

- Less number of crimes
- More investments
- Organized marginal sectors
- Availability of equipment for disasters
- Formulation of public safety plan
- Reduced rate of unemployment
- Sufficient & affordable housing
- Less out of school youth
- Availability of non-formal education/skills training
- Reduced # of informal settlements & settlers
- Adequate basic services
- Less drug related crimes

Outputs/Results

- peaceful & orderly community
- more jobs/employment
- more income for LGU
- higher income per capita
- more environmentally conscious
- minimize risk vs disasters (less loss of lives & property)
- higher literacy rates
- establishment of more business
- less number of informal settlers
- more orderly communities
- more SMEs
- healthy (less morbidity & mortality) & productive citizenry
- information more accessible

3. Based on the matrix what are the appropriate indicators?

<ul style="list-style-type: none"> ➤Compliance of the city sa UDHA 2 3 ➤All residents have a certain level 2 5 ➤Better service 1 	<ul style="list-style-type: none"> ➤People become prime movers 1 ➤"people led initiatives" 2 ➤eg. Illegal fishing ➤Contented citizenry and happy ➤Discipline citizenry 2 	<ul style="list-style-type: none"> ➤healthy ➤Self sufficiency 1 ➤Communitic (dj na humilting) 1 ➤Walang beggars sa kalye /street children 1 4 	<ul style="list-style-type: none"> ➤maluwag na pagtanggap ng mga tao sa mga pangkasatuku yang program ng pamahalaan 	<ul style="list-style-type: none"> ➤Clean surrounding ➤well planned land used ➤peaceful community 	<ul style="list-style-type: none"> ➤Proud to be a part of the comm 1 5
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EFFICIENCY

INDICATORS

- Amendment of LGC particularly on the reduction of supplemental budget 1
- LCP advocacy of unfunded mandates/ policies 1

OUTPUTS

- Department performance appraisal
- Self sufficiency
- Self reliant
- Client satisfaction rating survey
- Reduce number of signatories and processing time

1. Ano ang sustainability?

<ul style="list-style-type: none"> ➤ Pagunlad ng hindi naapektohan ang kalikasan 2 ➤ Patuloy di-naubong 2 ➤ Pagpapatuloy pagyabong ➤ Walang katapusan 2 ➤ Perpetual availability of resources 2 	<ul style="list-style-type: none"> ➤ Cycle maximization of all available resources ➤ Low wastage scheme ➤ Doable continuity 2 ➤ Pagunlad ng kabuhayan 	<ul style="list-style-type: none"> ➤ Development of one sector with out sacrificing the others ➤ Pagaalaga caring 11 ➤ Kakayahan sa pagkakaisa
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DECENTRALIZATION

INDICATORS

- Roles and functions define
- Elimination of unfunded mandates (nat'l & local)
- Stronger participation of Civil society inn the delivery of services
- Empowerment of department heads of LGUs

OUTPUT

- Amendment of LGC particularly on the reduction of supplemental budget 1
- LCP advocacy of unfunded mandates/ policies 1

TRANSPARENCY AND ACCOUNTABILITY
Transparent and Accountable Decision-making

INDICATORS	OUTPUT
1. Consultations in various forms ²	<ul style="list-style-type: none"> • Responsive Programs/Services • Participative Informed Decisions
2. Functional Local Special Bodies School Board, Health Board, PLEB, PBAC, Peace & Order Local Housing Board ²	<ul style="list-style-type: none"> • Strong partnerships/alliances • Compliance to laws and policies ^{1 1} • Public champions
3. Communication System Freedom of Access, Billboards, Websites, Newsletters/Flyers, In-media Customer Information Centers, Suggestion Boxes ¹	<ul style="list-style-type: none"> • Informed, engaged and enlightened constituents ^{1 1 1} • Continuing flow of innovative ideas • Support of constituents at less cost (economies of scale)
4. Transparent and Streamlined Systems and Procedures ¹ Floorplans, Manual of Operations open to public, Local Administrative Codes, IT-based systems	<ul style="list-style-type: none"> • Elimination of graft & corruption • Increase in revenues • Greater efficiency and effectiveness ¹ • Enhanced local economy & development client
5. Institutionalized Participative Process in Planning ¹	<ul style="list-style-type: none"> • Enhanced decision-making • Ownership & commitment to the plan • Responsiveness & judicious use of resources ^{1 1}
6. High standards of ethics & professional conduct	<ul style="list-style-type: none"> • More accountable and professional bureaucracy • Improved corporate image
7. Performance Management System - Awards & Sanctions (PRAISE) - internal ¹	<ul style="list-style-type: none"> • Continuing learning within bureaucracy ^{1 1} • Targets met • Highly motivated staff
8. Performance and Social Audit by Civil Society	<ul style="list-style-type: none"> • Constituency Satisfaction • Opportunities for improvement • Responsive communities w/ sense of ownership and belongingness

CPPMS
Urban Governance Report Card
Development Watch
Urban Kame ¹
People's Efficiency and Transparency Campaign
ICM/Quality Code

¹ - UDHA Specificity Sec. 28

Civic Engagement and Citizenship

INDICATORS

- Increase number of accredited NGOs/Pos more than the minimum required by law
- Frequency of meaningful consultation ¹
- Pos in the frontline in defending the development projects ¹
- Citizens are aware of the rights and responsibilities and exercise them (political maturity)

OUTPUTS

- Publish lists of NGOs/Pos accredited
- LGUs performance rating are prepared by NGOs/Pos
- Agreements finalize
- Citizen's participation thru participation in IEC activities

How relevant is the framework in your city? Why?

How is norm of EQUITY relevant to your city?

- * programs should not be prejudicial to anyone & justly distributed
- * equal access to lands
- * equal access to education/training/capability building
- * employment not biased vs women & disabled
 - + attitude that women should stay home ²
- * meaningful participation of marginalized sectors ¹
- * fisherfolks and farmers can advance their concern
- * lack of access to infrastructure by the poor
- * lack of access to micro finance/ credit
- * lower DTI requirement for registration of trade name since it discourages small businesses ³
- * with all sectors participating in entire process, including setting criteria, resource allocation will be better prioritized
- * people in far flung areas and poor, esp. informal settlers have less access to services ¹
- * NGOs & POs have less voice
- * need for NGO accreditation
- * some have no supply of drinking water ^{5 2}
- * need for special body to address & give voice to concerns of indigents/urban poor ¹

Why is it relevant?

- * investment ready ^{1 1}
- * builds trust in govt
- * peace, contentment & sense of belonging ¹
- * encourages social mobilization and development
- * doable & livable communities ^{1 1}

How is the norm of SECURITY relevant to your city?	Why is it relevant?
<ul style="list-style-type: none"> * disaster preparedness and disaster mgt. ¹ * crime & lack of PNP personnel ² * peace and order and insurgency problems * security of tenure and livelihood for people affected by infra projects * informal settlers in danger zones * drug free * conservation of environment - high risk environmental areas ³ * poor have no access to adequate health care ^{1 1} * lack of livelihood support for farmers & fishermen * out of school youth training * security for small entrepreneurs * need to address conservation & proper management of envi risky areas * high number of informal settlers * housing for 	<ul style="list-style-type: none"> * to attract investors & residents ^{1 1} * to conserve the environment * to address environmentally high risk areas * secured life means happy & progressive communities ¹ * needed for grassroots economic development ⁴ * people are unhappy ²

2. Paano relevant ang sustainability sa ating mga cities?

<ul style="list-style-type: none"> * Improved social services * healthy ³ environment to make our city livable, competitive, bankable * Preserve the cultural heritage as well as promote artistic potentials of each in 	<ul style="list-style-type: none"> * To be able to attain our vision for the city ³ * Very important * Despite the changes in political leadership ¹ * Relevance * Good programs should be continued by future leaders for the common good ¹ 	<ul style="list-style-type: none"> * Mahalaga para sa susunod na henerasyon ² * Cost cutting to implement attainable ¹ objectives goal * Wastong paggamit ng resources para sa kaunlaran 	<ul style="list-style-type: none"> * Para mgpatuloy ang mataas na ^{1 1} antas ng buhay * Ito ang salalayan n gating mga goals ³ * Suporta ng mamamayan
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3. Why is sustainability relevant to our cities?

<ul style="list-style-type: none"> ➤ Mapadali at maging epektibo ang delivery ng basic services ➤ Opportunities for poor people to access/own/ buy/ public lands ➤ Wastong paggamit ng lupa at kapaligiran ➤ Pagmulat ng mga tao sa batas 	<ul style="list-style-type: none"> ➤ Improve budget preparation 	<ul style="list-style-type: none"> ➤ Relevant but should include people ➤ (isang poste isang tao) ➤ pagpapalakas ng paikilahok ng bawat mamamayan upang magkaroon ng tamang "desisyon" ➤ epektibong mechanism for participatioln lalo na ang mga "poor" ➤ extract accountability 	<ul style="list-style-type: none"> ➤ If you'll have fewer poor people in your city then you have succeeded as a leader ➤ Better politics
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DECENTRALIZATION

- Delineation of roles and responsibilities of SP executive and legislative
- Impose funding from local authorities to support health programs/ projects
- Control on excesses of accountabilities
- Come up with a unified approach in public management
- Inadequate capability building

CIVIC ENGAGEMENT AND CITIZENSHIP

1. Government cannot exist without people's support
2. Promote sense of ownership
3. Generate popular support for government programs and activities
4. Facilitate information dissemination and advocacy
5. Tap resources of people
6. Life long education vis-à-vis participation and responsibility
7. Leveling off and come up with consensus

WHY?

- Set aside politics
- Basic embodiment

Inputs to Civic Engagement and Citizenship Norm

•Wide spectrum of participation of civil societies

•Organized responsible elderly, women, youth, & other groups. ⁵

•The individual has a keen sense of responsibility and accountability to the community ⁵

CIVIC ENGAGEMENT AND CITIZENSHIP

- Give emphasis on education, health and security under basic services
- Quality of local leadership “collective effort/ team chemistry”
- Culture that is responsive or sensitive
- Inclusion of culture and gender
- Effective leadership

Good Urban Governance National Framework Localization Workshop PROCESS OUTPUTS

The Norms – Basic Agreements

- All 7 norms are unanimously adopted
- Submit two additional norms for adoption by the body or for incorporation in the framework [Globally competitive and transformative leadership]

Good Urban Governance National Framework
Localization Workshop
PROCESS OUTPUTS

Enhancement of the Definitions

- Security, Equity and sustainability – definition adopted, concrete manifestations identified
- Civic Engagement and Citizenship – remove the phrase “especially women”; every individual should be aware of his rights, as well his responsibility and accountability to the community to the community [political maturity]

Good Urban Governance National Framework
Localization Workshop
PROCESS OUTPUTS

The 7 norms are GOALS shared by the people with their local leadership

Civic Engagement and Citizenship and **Decentralization** are continuing PROCESSES at the same time. [For decentralization, The principle of subsidiarity should be strengthened]

Good Urban Governance National Framework
Localization Workshop
PROCESS OUTPUTS

Revised Framework - Diagram

- Change House Design to reflect “local color”
- Change “Livable Sustainable Cities”
to “Inclusive Cities”
- Change “Urban Policy Framework”
to “Good Urban Governance Framework”
- Increase the “Pillars” to include “Local
Economic Development”

Good Urban Governance National Framework
Localization Workshop
PROCESS OUTPUTS

Revised Framework – Diagram [Continued]

- “Environment” is not a stand-alone component,
but must include “People” and “Culture”
- Add “Local Leadership” to represent the norms
and as visualisers, carriers, and implementors of
the Norms in “shared ownership” with the people
- Attainment of all the norms leads to globally
competitive cities

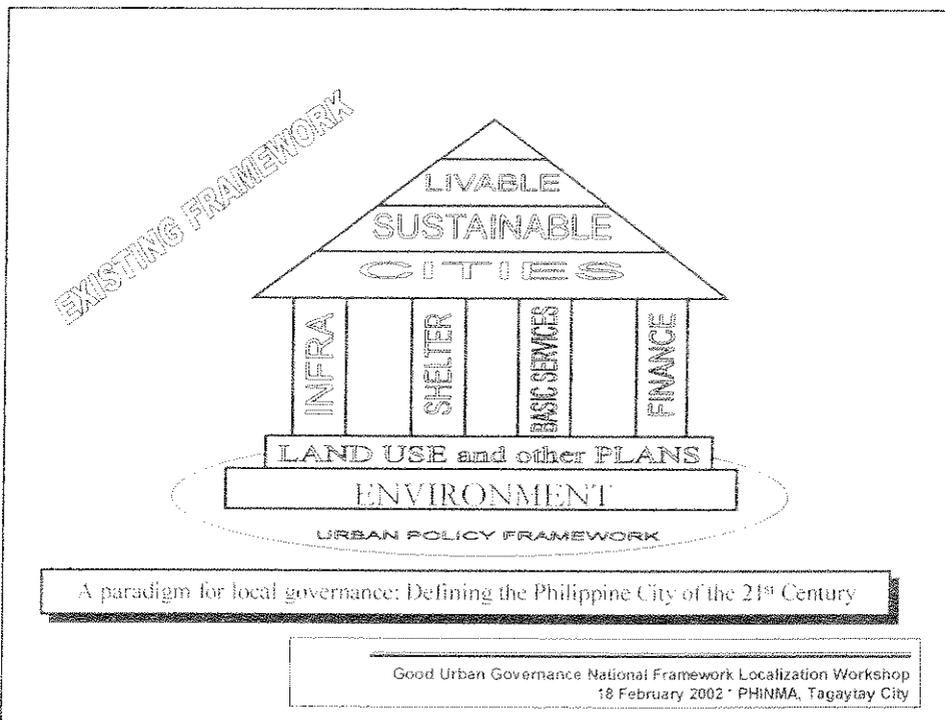
**Good Urban Governance National Framework
Localization Workshop
PROCESS OUTPUTS**

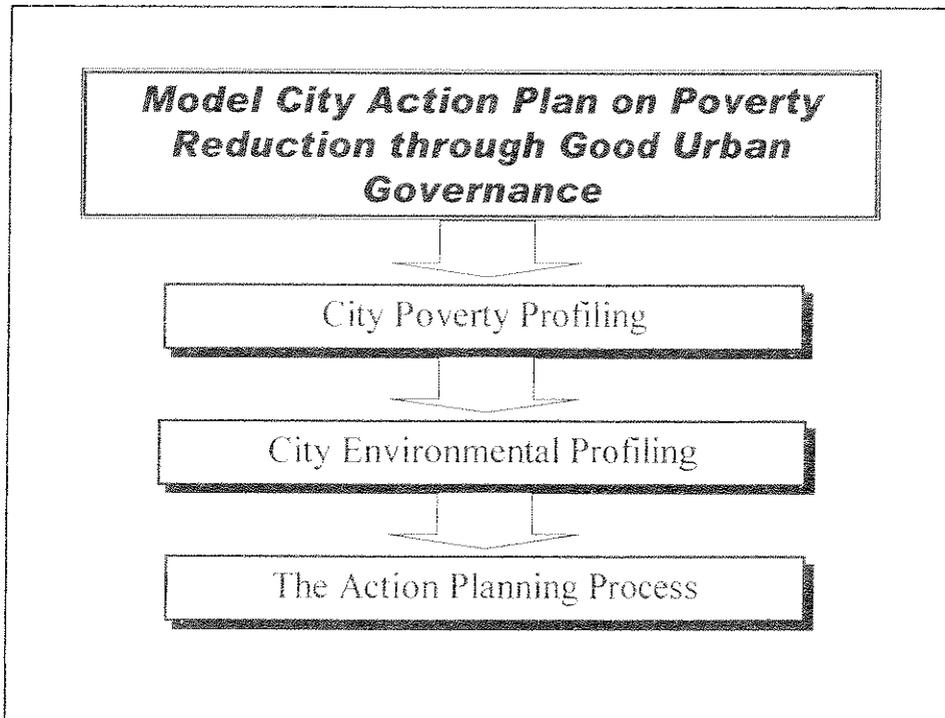
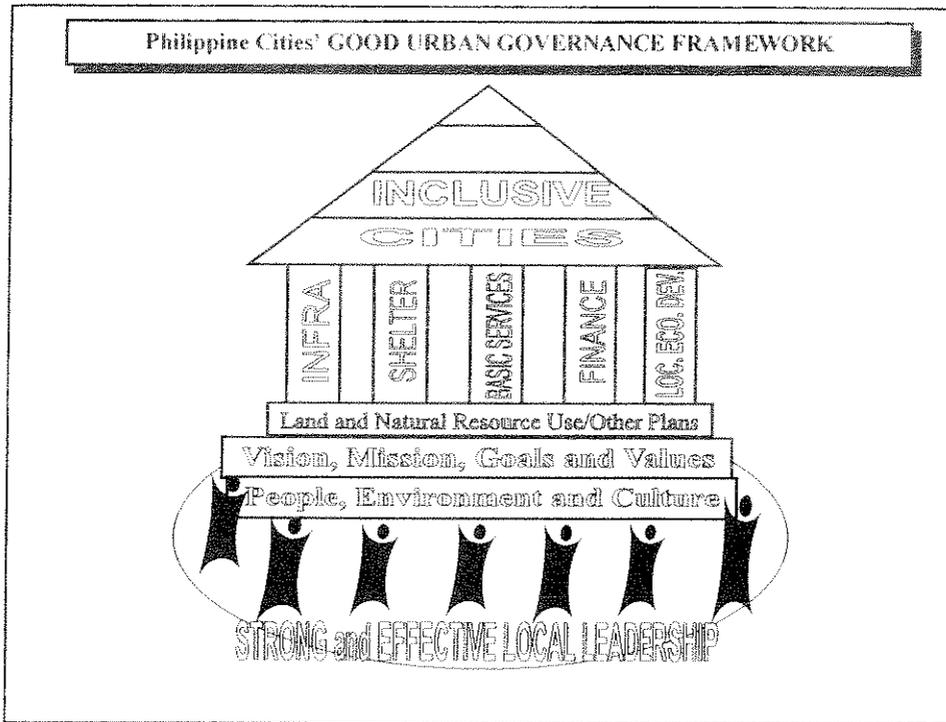
Amended Components of “Inclusive Cities”

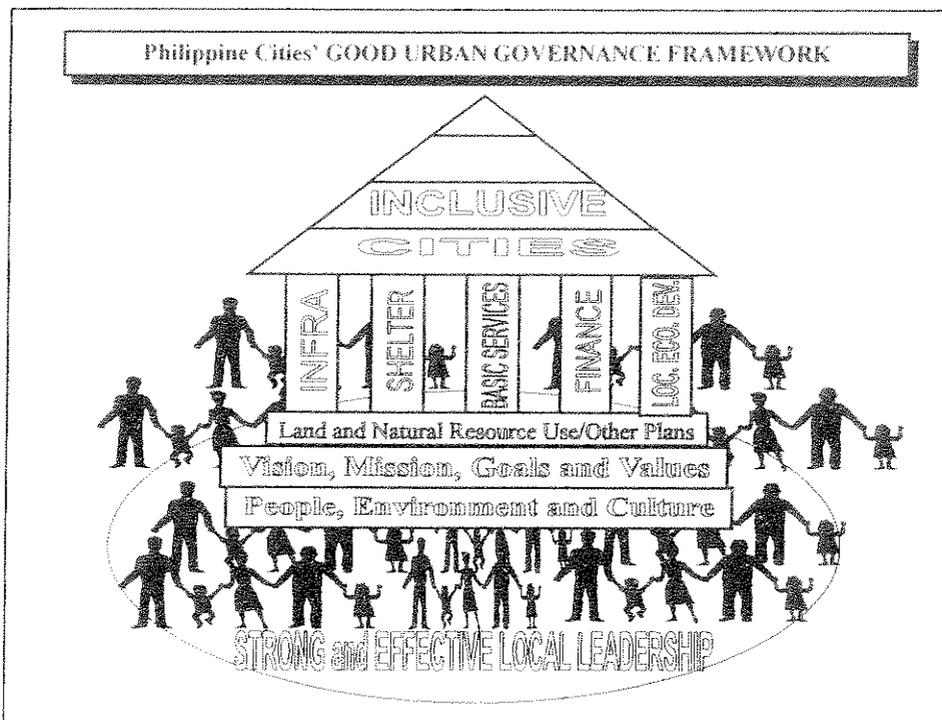
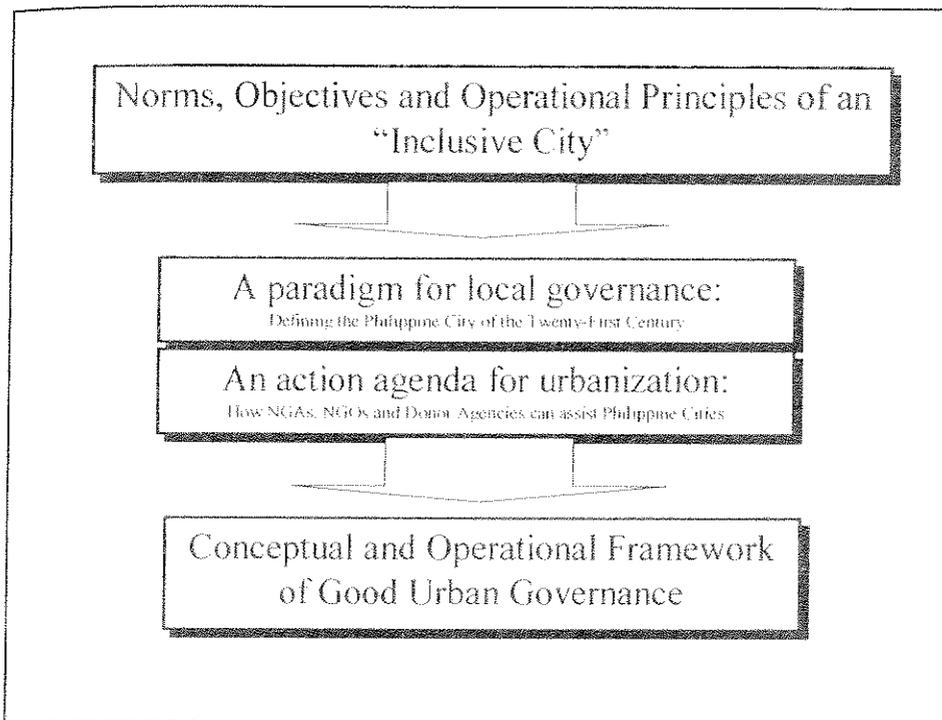
• Add two new boxes for:

1. “Local Leadership” – which should be effective, transformative, enlightened and collective—with strong vision, mission, values and goals

2. Local Economic Development







League of Cities of the Philippines
We Share the Vision . . . We Move On!



On to the Philippine Launch of the
International Campaign on
GOOD URBAN GOVERNANCE

In support of Project 10+10+10
10th Anniversary of the
1991 LOCAL GOVERNMENT CODE

Attachments

Philippine
LGUs'
Best
Practices
on
Good
Governance

Culled from:
The UNCHS/BLP
Best Practices Database Website

Supported by:



Through the Philippine Governance Forum [PHI/98/011]

"Linis Ganda" Program: Recycling Household Waste in Metro Manila

Categories:

Production and Consumption Patterns:

- consumer awareness
- production/consumption cycles
- waste reuse and recycling

Poverty Eradication:

- income generation
- job creation

Economic Development:

- cooperative opportunities
- enterprise development (formal and informal sectors)

Level of Activity: Metropolitan

Ecosystem: Tropical/Sub-Tropical

Summary

The Linis Ganda (Clean and Beautiful) program has organized waste material dealers into cooperatives in order to obtain government subsidies and credit. The program has dignified and formalized scavenging in Metro Manila, renaming them as Eco Aides and establishing fixed routes and prices. Participant households and schools separate their garbage into wet and dry, and the Eco Aides purchase the recyclables from them. Approximately 500 waste dealers, employing 1,000 Eco-Aides take part in this program. Eco Aides earn between U.S. \$5-20 a day, depending on the income level of the area where they work. Eco Aides recover 4,000 tons of recyclables (mostly paper, plastics, bottles and cans) a month from 200,000 participant households. The recovery of recyclables through the program has an economic impact of over U.S.\$ 250,000 per month. The Linis Ganda program provides a stable and decent livelihood to scavengers, inexpensive raw materials to industry, reduces the need for collection and transportation of wastes, helps clean up the urban environment, and extends the life of the local landfills.

Narrative

a. Situation before the initiative began

Before Linis Ganda was created, scavengers suffered prosecution from police and local authorities, as well as a hostile attitude from the general public, who saw them as vagrants or even as criminals. The Marcos regime declared scavenging illegal, which made life still harder for scavengers. Metro Manila scavengers had low incomes and substandard living conditions. Linis Ganda attempted to help scavengers, waste dealers and industry.

b. Preparing information and clarifying priorities

A public education and publicity campaign for the program was conducted by the Council of Women Balikatan Movement, informing households of the benefits of recycling, and informing them of the program, the Eco Aides, their routes, as well as on the materials to be purchased by the Eco Aides, and the prices to be paid. From the beginning, the collaboration of the waste dealers was obtained. The local government allowed Balikatan to use a vacant lot as a collection center.

c. Formulation of objectives, strategies and mobilization of resources

The objectives of the program were the following:

- 1) Organize waste dealers
- 2) Improve the working and living conditions of scavengers
- 3) Start a source-separation program at households

- 4) Help clean up the urban environment
- 5) Supply inexpensive and high-quality recyclable materials to industry

The actions taken were defined at meetings of the Council of Women Balikatan Movement. Balikatan members contacted waste dealers to request their participation in the program, as well as individual scavengers. Collection carts were painted green and Eco Aides were provided with green T-shirts and IDs.

Political support was mobilized by contacting the mayor of San Juan at the time, who was very supportive of the initiative and played an important role in launching the program. Ms. Leonarda Camacho, who headed the Council of Women Balikatan Movement, assumed the leadership role in formulating the objectives and in implementing the initiative.

d. Process

Initially, the program was to be launched in the city of Mandaluyong, Metro Manila, but the mayor at the time feared that if the program was successful, Ms. Camacho would run for mayor and replace him. Consequently, he opposed the launching of the program in the city. The main limitation in implementing the initiative has been the scarcity of funds to extend the program to other areas of Metro Manila. Local sanitation authorities also resent the loss of influence that Linis Ganda could cause. An active informal, and sometimes illegal, series of activities have developed around the management of solid wastes in Metro Manila, such as kickbacks in the awarding of collection contracts to private contractors, in purchasing equipment and construction of facilities. A successful and expanding Linis Ganda program could translate into fewer income opportunities and diminished role for local sanitation officials.

Problems so far have been overcome by persistence and by working in areas of the city where the cooperation of waste dealers and local authorities has been obtained.

e. Results achieved

The objectives have been fully achieved. The waste dealers' and Eco Aides' earnings have increased, their livelihood now has a higher degree of security, the scavenging occupation has been dignified for the participants in the program, who have been accepted by residents. Public participation in the program is high: 70% of residents in the covered areas separate their recyclables. Waste dealers are now organized in cooperatives, one in each of the 17 municipalities that comprise Metro Manila.

The success of Linis Ganda has effected a change in the Philippine Central Government policies toward scavengers. The Department of Trade and Industry now offer soft loans to Eco-aides; the Department of Social Welfare and Development offers financial assistance for income-generating projects to scavengers, and the Land bank also offers loans to the cooperatives. Foundations, such as the Ayala foundation, and other NGOs and civic organizations (The Recycling Movement of the Philippines, The Ecology Centre, and the Rotary Club) now also support Philippine scavengers and recycling projects in the country.

The program has had a clear impact in changing people's attitudes and behavior toward waste, recycling and scavengers. They now know that scavengers render a useful service to the city, that waste materials can be recycled, while at the same time they obtain extra income. The program has proven that income generation for unskilled labor, environmental protection and economic growth can be compatible and achieved simultaneously.

f. Sustainability

The integration of the social, economic, environmental and cultural elements of sustainability were achieved by first considering the previously existing informal scavenging activities. The program did not attempt to destroy or replace them with a new program. Instead, they built on what existed and improved on the existing activities.

Since there is strong industrial demand for recyclables in the Philippines (and also abroad: some of the cardboard recovered by scavengers in the country is exported to Taiwan), cost recovery is achieved by the sale of materials. Similarly, bank loans to the cooperatives are being repaid from the sale of recovered recyclable materials.

g. Lessons Learned

Balikatan learned from other initiatives (recycling programs in the United States and Switzerland) that source-separation produces materials that are clean and command the highest prices.

The most important lessons learned are:

- 1) The support of local authorities was crucial for the creation and success of the program
- 2) The leadership, ingenuity and persistence of the Council of Women Balikatan Movement and of Ms. Camacho in particular, was determinant in overcoming problems and in tailoring the program to the local conditions
- 3) Incorporating and formalizing informal scavenging activities into a recycling program can be economically viable, socially-desirable and environmentally sustainable (in 1982 the government-run recycling program "Pera sa Basura" -Cash for Trash- attempted to replace informal activities with officially-sanctioned buy-back centers and failed because of the opposition of scavengers and middlemen, who were not considered in the decision-making process).

h. Transferability

Other developing country cities can learn from Linis Ganda that poverty alleviation, recycling and environmental protection are not only compatible, but mutually reinforced. Many successful recycling programs exist in industrialized countries, and Linis Ganda demonstrates that developing country cities can also develop successful source-separation programs.

Linis Ganda has been expanding and replicated throughout Metro Manila.

There is a high potential for transferring Linis Ganda to other cities, particularly the importance of incentives in promoting public participation in recycling programs, which could be tailored to the local conditions.

Key Dates

1983: Linis Ganda is launched by the Council of Women Balikatan Movement in the municipality of San Juan, Metro Manila

1992: Linis Ganda is extended to all 17 cities and towns that comprise Metro Manila

1998: Plans to start composting of organic wastes, and generation of biogas from market and slaughter house wastes

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Management in San Juan, Metro Manila, CAPS, 1991

Contact

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Type of Organization: Non-Governmental Organization (NGO)

Nominating Organization

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Type of Organization: Non-governmental organisation (NGO)

Partners

Philippine Department of Trade and Industry

Type of Organization: Central Government

Type of Partner Support: Financial Support

Ayala Foundation

Type of Organization: Foundation

Type of Partner Support: Financial Support

World Bank

Type of Organization: International Agency (Multilateral)

Type of Partner Support: Technical Support

Innovative Urban Infrastructure Development and Finance, Municipality of Bauan

Categories:

Economic Development:

- capital formation
- enterprise development (formal and informal sectors)
- entrepreneurial ship
- investment development
- training

Infrastructure, Communications, Transportation:

- safe water provision
- sanitation
- transportation and mobility

Urban Governance:

- decentralization
- human resources and leadership development
- legislation
- partnership development
- public administration and management
- public policy

Level of Activity: City/Town

Ecosystem: Tropical/Sub-Tropical

Summary

The Bauan Case Study is a showcase exemplifying how the political leadership has effectively balanced the challenge of managing the municipality's urban growth brought about by massive industrialization by mobilizing various financial resources in support of projects. Through the Municipal Development Project (MDP) the municipality of Bauan was able to expand and upgrade its most essential infrastructures, utilities and basic services as well as its maintenance capacity through sound investment planning, financing and project implementation, consistent with the national policy of decentralization and local autonomy.

Today, the people of Bauan enjoy the fruits of a successful partnership of central-local government and community in terms of the following achievements:

- (a) improved provision of potable water supply through increased number of piped water service connections to households;
- (b) improved market facilities that provided permanent stalls for transient vendors; safer and more properly-arranged facilities; more efficient distribution of goods and services; and, overall heightened business activity in the market;
- (c) more spacious, convenient, and safe public secondary school building which offers free secondary education in Bauan;
- (d) improved roads and traffic flows, providing greater mobility, accessibility, and increasing property values;
- (e) improved drainage/flood control systems, minimizing flooding in the municipality, reducing damage to property and public infrastructure and improving health conditions in the municipality through the reduction in incidence of water-borne diseases;
- (f) strengthened technical, financial and managerial capabilities through capacity building programs.

Narrative

Situation Before The Initiative Began

During the early 1980s, the municipality of Bauan started experiencing the ill effects of rapid urbanization

and industrialization. While the presence of many industrial establishments has provided employment to its labor force, this has increased pressure on municipal infrastructure, facilities and services. The municipal government could not however, expand or build new infrastructures or increase basic services to cope with increasing demand.

When the existing public market was razed to the ground, market vendors built temporary makeshift stalls right in the market site which were disorderly, disorganized and did not conform to sanitary standards. Moreover, the water system operated by the municipal government was no longer adequate to provide potable water to the town's increasing population. Roads were unpaved, drainage systems clogged and traffic congestion was everywhere.

The local government recognized the most glaring issues it faced as: weak local governance, financial constraints, and pressure on the LGU to cope with the expanding demands of urbanization on infrastructure and services. At about this time the national government started to implement decentralization and greater local autonomy. With World Bank assistance, the government implemented the Municipal Development Project (MDP), a development assistance program employing the "bottom-up" demand driven approach intended to enhance strong local participation and sense of project ownership.

Preparing Information and Clarifying Priorities

In 1988, the municipality of Bauan, led by Mayor Bienvenido C. Castillo, sought financial assistance from MDP in response to an orientation briefing conducted by the DPWH-Central Project Office (CPO) on the Program. MDP was supporting special projects designed to enable local governments to finance their priority development projects through a variety of financing mixes (credit, grant, and LGU equity financing), technical assistance, and capacity building. DPWH is a Philippine government infrastructure agency which is also the lead executing agency for the Program (MDP). The orientation seminar highlighted the salient features of the Program and detailed the project requirements to merit approval for financing.

Formulation of Objectives, Strategies and Mobilization of Resources

Through democratic consultation, the Mayor and the local legislative council arrived at a consensus on the overall objective of the municipality in seeking financial assistance

Under the MDP, the LGU is given primary role in every phase of the project, from project identification, project preparation, implementation and monitoring, including post project operations.

The Mayor employed a variety of strategies to mobilize resources and ensure successful project execution:

- a. Political Acceptability: Several Council Resolutions were passed by the local legislative (Sanggunian) Council endorsing the project. A municipal ordinance was also passed imposing a tariff fee structure once the MDP projects become operational.
- b. Financial Capacity: The financial capacity of the local government to repay the loan was strengthened by including debts service payments and equity in the annual budget fund requirements of the local government. Separate trust accounts in local banks were set up for debt service repayments and equity. Finance officials of the local government familiarized themselves with the financial requirements of the project, attending capacity-building programmes of the MDP and closely monitoring that financial targets are met.
- c. Social Acceptability: Consultation meetings and public hearings were conducted regularly to disseminate the benefits of the project to the beneficiaries.
- d. Project Execution: To ensure smooth project execution, a Project Local Office (PLO) was created, staffed with competent personnel. Municipal officials were involved in capacity-building programmes. Close and regular consultations were held with DPWH-CPO officials on matters governing project requirements, which were complied with immediately. Project records were systematically organized and managed.

It is important to underscore that the political will of the Mayor, as local chief executive, was key to the success of Bauan MDP's.

Process

The MDP projects in Bauan were the results of concerted efforts from the executive and legislative officials of the municipality as well as the project beneficiaries.

While problems were encountered in project implementation, these were however, manageable. A right balance between the mayor's charisma and his decisive political will worked to advance the projects. Some problems noted and corresponding actions taken, as documented, are as follows:

SECTOR/PROJECT

1. Public Market (hereinafter, SP1)
2. Water Supply (SP2)
3. School Building (SP3)

SP1 Public Market

PROBLEMS

Vendor's refusal to transfer to temporary relocation sites.

REMEDIES/ACTIONS

dialogue, strong political will of the local leadership

PROBLEMS

Vendors' refusal to pay increased tariff fees

REMEDIES/ACTIONS

Political will of the local leadership to implement ordinance specifying rates duly approved by the local legislative council and imposing penalties for non-compliance

SP2 Water Supply

PROBLEMS

Refusal of concessionaires to have their water consumption metered.

REMEDIES/ACTIONS

information, campaign/dialogue, strong political will to implement ordinance

SP3 School Building

PROBLEMS

Apprehension of parents that projects will disrupt school activities.

REMEDIES/ACTIONS

dialogue with parents on advantages of a new, spacious and safer school building.

To date, the package of projects is operating smoothly and people enjoy their benefits. The Mayor has established committees which have instituted a transparent system to address problems immediately at their level. The committees monitor the projects and assist to ensure efficient and effective project operations.

Results Achieved

The package of projects not only improved and upgraded the municipality's infrastructures, they also strengthened the financial and managerial capabilities at the local government level which altogether benefited the municipality of Bauan. The testimonies of the project beneficiaries and of the Mayor himself attest to the positive effects of the projects, notably:

Public market project: (a) increased economic returns in terms of trade, business and real estate values in surrounding areas; (b) increased local employment (i.e. market stall helpers, new entrepreneurs, fishermen found a permanent market place for their catch, etc.); (c) people enjoyed the benefits of complete, more hygienic/sanitary market facilities; and (d) increased local business from traders from other surrounding areas.

Water Supply Project: increased potable water supply and decreased the risks associated with water-borne diseases to the local population.

School Building: Parents of school children expressed satisfaction over their children's free access to a better and more spacious school building, free from pollution, noise and vehicular accidents.

The market increased LGU revenue significantly. Before the MDP project in 1988, the municipality's income was P24.328 million. With the MDP projects in operation, the municipality's income galloped to P115.443 million in 1996, an average increase of 439 per cent or an annual average growth rate of 23.5 per cent per annum.

Actual financial and economic evaluation for the public market showed a Financial Internal Rate of Return (FIRR) of 13.84 per cent and an Economic Internal Rate of Return (EIRR) of 14.89 per cent. The project has exceeded the 10 per cent benchmark/indicator set for its viability as a self-liquidating undertaking. Data on physical and financial indicators to measure the results/impact are readily available in the municipality, thanks to an efficient management information system set in place through the project's technical assistance component. Better coordination and integration of work has been observed in municipal operations. Other impacts noted were the following:

On local social, economic and environmental policies/strategies. A systematic, transparent and accountable reporting of income derived from project operations was instituted. Coordinative effort among stakeholders to ensure sanitation and safety was set in motion. More people voluntarily complied with municipal laws, rules and regulation.

On institutional capacity at the local levels. The trainings attended by municipal officials and staff increased local capacity to plan and implement, monitor and maintain development projects and enhanced the municipality's financial performance. The Mayor of Bauan has become a regular resource person of the Local Government Academy (LGA), a government training institute, on mobilizing local resources in handling development projects.

On local decision-making, including institutionalization of partnership. With the establishments of rules and procedures through the passage of local laws, decision-making at the local level has been made easier and voluntary compliance to laws is the rule of the day, thereby institutionalizing partnership between the "ruler" (LGU) and the "ruled" (constituents/population).

On the use and allocation of human, technical and financial resources at the local level. With operational procedures now in place in every department/unit and local staff armed with strengthened capabilities, there is now clear delineation of functions and responsibilities and efficient monitoring of work outputs/results/impact.

On changing people's attitudes and behavior. The MDP Bauan experience has proven that with strong political will, clear development vision, full support of all sectors, participatory decision making effected through dialogues and public hearings and consultations, positive changes have been noted in people's attitudes and behavior toward development.

The full support of both the executive and legislative bodies as well as the people's responsiveness to developmental changes from the planning stage to implementation all contributed to the project's success. The special opportunity to mobilize financial resources from a variety of financing mix has been wisely taken advantage of by the political leadership.

Sustainability

The projects are economically and environmentally sustainable. Collection efficiency of rates/tariff fees for the market and water supply projects are high. Income derived from project operations turned out higher than expected targets. The Mayor noted that the municipal government was able to recover enough funds from the project to finance other developmental projects as well as to enable the local government to promptly pay its debt obligations under the MDP. The building and other projects passed environmental standards, and their long-term operations will not pose a threat to environmental degradation in the municipality. The calculations of actual financial and economic returns prove that the MDP projects are viable, self-liquidating investments.

Lessons Learned

Essentially, the Bauan experience in handling development projects proves that strong political will, a demand driven, bottom-up program approach, political and social acceptability of the project and full commitment of all project implementers, are critical factors to success. So are appropriate and timely budgetary support, relevant capability building programs, and clear development vision.

The three most important lessons learned from the Bauan experience are:

- (a) a "bottom-up", demand driven program approach to project financing is more efficient and effective for project implementation than the "top-down" pre-selected project specific approach. LGUs perform better and show greater commitment to a project when they are primarily responsible for project preparation, financing, management and implementation;
- (b) an institutional framework for project financing in place prior to undertaking actual physical improvements is vital to project success. The full commitment of all project implementers including budgetary support and relevant capability building programs enhance and strengthen the LGU's financial and managerial capabilities; finally
- (c) strong political will at the local level and social acceptability are significant aspects of local governance.

During the Second International Expert Panel Meeting on Urban Infrastructure sponsored by the United Nations Center for Regional Development (UNCRD) and Urban Management Programmed-Asia (UMP-ASIA) held in December 1997 held at Bangkok, Thailand, the Bauan Case Experience was selected as a Best Practice in Urban Infrastructure Development, based on these result areas: (a) political acceptability (b) adequate financial capacity (c) social acceptability and good understanding of the basic needs of the constituents (d) techno-economic feasibility (e) strong "sense of project ownership" among the people of the municipality (f) smooth project execution (g) strong and fully committed political leadership (h) able support of competent local officials, and (i) concerted efforts of the executive and legislative branches of government.

Transferability

The Bauan package of projects is one of the pilot initiatives of the Municipal Development Program. Since then, the experience has been replicated in more than 145 LGUs all over the Philippines. The Mayor is a regular resource person in most seminar/training conducted by the Local Government Academy, sharing the Bauan experience in implementing projects at the local level to many other local governments implementing large-scale development projects for the first time. The Performance Audit Report of the World Bank completed in June 1997 also cites the Bauan experience for sustainability. A more in-depth impact assessment study on the Bauan Case is being undertaken by the World Bank to document its project experience as a showcase of successful World Bank-assisted MDPs being implemented in 35 countries.

Replicability is highly evident in three more new World Bank assisted projects: the Community-Based

Resource Management Project (CBRMP) (120 LGUs) and the LGU Finance and Development Project (LOGOFIND) (200 LGUs) in the Philippines and a similar MDP in Thailand.

Summing up, the Bauan Experience in mobilizing financial resources for development projects at the local level instructs us that: (a) the participatory approach to urban/local governance is still the most effective as it draws out local commitment, empowers communities, and upgrades local capacity to handle development projects. (b) the right balance between strong political leadership, and open dialog and consultations foster social acceptability of development projects which in turn promotes economic development, sustainability of project impact, community empowerment. (c) the project indirectly promotes gender equality and equity by generating employment and local associations participated in by men and women alike.

Lastly, the MDP enhanced and strengthened the municipality's access to information, a powerful tool and improved their management information systems, which has improved and systematized recording and retrieval of financial records of the municipality.

Key Dates

CHRONOLOGY OF IMPORTANT DATES

- a. August 1988 - date the Hon. Bienvenido C. Castillo, Mayor of the municipality of Bauan, Batangas submitted the municipality's expression of interest to access credit financing from the Municipal Development project (MDP) for its basic municipal infrastructure projects.
- b. September 1989 - date the Local Legislative Council endorsed the Mayor's project proposal for MDP financing and authorized him to enter into Project and Loan Agreements and providing the necessary resources (LGU counterpart fund, staff complement, etc.) as required under MDP.
- c. March 1989 - date the Project Agreement and Loan Agreement between the Municipality of Bauan and the Department of Finance and Department of Public Works and Highways was approved.
- d. June 1989 - date of approval of Municipal Ordinance specifying the rates/tariff fees that would be imposed/collected when MDP projects become operational.
- e. October 1991 - date of completion and start of project operations.

Contact

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Type of Organization: Central Government

Nominating Organization

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Type of Organization: International Agency (Multilateral)

Partners

Municipality of Bauan, Batangas
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Municipality of Bauan Batangas Philippines 4201
63-43-7271253; 63-43-7271004

Type of Organization: Local Authority

Type of Partner Support: Political Support

Paranaque Health Card System (Blue Card)

Categories:

Social Services:

- health and welfare
- Urban Governance:
- legislation

Level of Activity: City/Town

Ecosystem: Tropical/Sub-Tropical

Summary

Driven by the desire to provide and deliver basic health care system to his Paranaque constituents, Mayor Joey P. Marquez with the support of the Sanggunian Bayan, notably Councilor Rudy B. Punzalan, MD who was then the Chairman of Health and Sanitation, introduced Ordinance No.95-10, creating the Paranaque Health Card System (Blue Card), a component of the newly created Paranaque Health Plan Office (PHPO).

The Paranaque Health Card System identifies bonafide residents of Paranaque. Those who are qualified can avail themselves of all and any Health Care Services provided by the Municipality. It is also a part of its objectives to carry out an integrated and comprehensive approach to the Health development of the residents of the Municipality of Paranaque. The program brings the wide range of Medical and Hospitalization Services to the people of Paranaque, and later to our medically indigent populace. The full range of Medical and Health Services at the Paranaque Community Hospital, our catchment hospital, can be availed by any card holder of Paranaque Health Card System, which includes Medical, Surgical, Obstetrical and other Allied Health Services.

The Paranaque Health Card System gives dignity to the recipient of the program by making them pay a token fee for whatever health or medical service they receive. Considering the member of depressed areas and medically indigent members of the population in the Municipality, we consider that a program of this kind will give a big impact on our target beneficiaries. The success of this program is enhanced by the sound management and co-ordination among different health related agencies of the Local Government Units.

Narrative

Purpose:

To adopt and establish an effective and efficient system and/or mechanism to be known as the "Paranaque Health Card System" which will identify bonafide residents of the Municipality of Paranaque who are guided on any and all health and medical services provided by the Municipality.

Activities:

Filing application at any of the following:
Paranaque Health Plan Office - Paranaque Municipal Hall
Paranaque Community Hospital
Barangay Health Center
Barangay Hall

Application is being partially screened by the time it is being applied

Verification of applications is done by midwives of different Health Centers assigned in their respective areas who were trained along this line. Screening and Certification of applicants will be focused as the correctness of:

- Whether they are bonafide resident of Paranaque

- b) Address
- c) Income for classification purposes

To qualify for Eligibility - after screening, applicants are given list of requirements to be submitted to their respective Health centers.

List of Minimum Requirements

- 1) I.D. picture 2 (2x2)
- 2) Voters affidavit
- 3) Residence certificate
- 4) Marriage Certificate

Finalization of Health Card Issuance

- a) Submission of Requirements
- b) Application screened and certified as eligible by PHPO

Classification of Blue Card Holders

- a) Paranaque Health Plan I: Family Income of P2,000 or below
- b) Paranaque Health Plan II: Family Income of P 2,001-P3,000
- c) Paranaque Health Plan III: Family Income of P 3,001-P5,000

Types of Services rendered.

- a) Medical
- b) Obstetrics
- c) Surgery
- d) Pediatrics

Positive socio-economic and/or investment impact

The program's funding source is through the local government unit. The Paranaque Health Card System through its lead agency the Paranaque Health Plan Office has direct link in the implementation of the different public health program, caring positive socio-economic and environmental impact with the co-ordination of the Municipal Health office. the following health programs is being implemented :

- a) Sexually transmitted diseases
- b) Dental Program
- c) Maternal and Child Health
- d) Expanded Program of Immunization (EPI)
- e) Environmental Sanitation
- f) National Tuberculosis Program
- g) Nutritional Program
- h) Control of Acute Respiratory Infection
- i) Control of Diarrheal Disease
- j) Under Five Clinic
- k) Leprosy Control
- l) Family and Responsible Parenthood
- m) Primary Health Care
- n) Urban Health and Nutrition Program
- o) Urban Basic Service
- p) Health Education
- q) Traditional medicine
- r) Cardiovascular and Cancer Program
- s) Mental Health Program

Impact of the Program

- 1. Blue Card Holders are 18,670 (11.7%) of the targeted population).
- 2. Total No. of dependents of these Blue Card Holders availing of Blue Card benefits is 41,566

3. Thirty two percent 32% or total of 6,002 of Blue Card Holders have enjoyed the benefits under the program
4. Total amount of Hospital expenses incurred by all Blue Cardholders totaled to 4,687,957.19. The actual amount paid by Blue Cardholders is only 2,577,671.78. This would amount to 2,110,285.41 savings for the blue cardholders
5. Implementation of this Public Health Program resulted in diminishing out Infant Mortality Rate from 30.08 per 1,000 live births before the implementation of the Paranaque Health Card System in 1995 to 32.1 cases per 1,000 live births in 1997.
6. There was also a decrease in the incidence of communicable diseases.

Program Environmental, Management, Development Component

Environmental Measurement - This is being accomplished by the program by establishing a direct link with Municipal Health Office through its environmental Sanitation program. Among the programmes implemented are the following:

- a. Water Sanitation
- b. Food Sanitation
- c. Insect and Vermin Control
- d. Excreta and Waste Management Disposal

Promotion of people Empowerment

Peoples Participation

Through Community Networking, team building and other components of the program and putting proper emphasis on program information and dissemination. The community and the target beneficiaries becomes fully aware of the program and thus be able to facilitate access and control of resources by the local people, build their capabilities in managing their resources and participate in local government decision making monitoring and evaluation.

Program participation of the beneficiaries

By constant dialogue, consultative meeting, meeting Barangay heads frequently, result to know the problems about the program and is taken up in our regular staff meeting to thresh out problem and proper solution to be undertaken.

Organized Beneficiaries

Beneficiaries Organization:

They are organized in the sense that they have their own area leaders whom they meeting regularly. Public health programs of these target beneficiaries in terms of manpower and facilitation of the program like Expanded Program of Immunization and Araw ng Sangkap Pinoy (ASAP). These beneficiaries have time and again displayed their worthiness in the implementation and success of the program.

Training undertaken by the Staff of the beneficiaries

Members of the staff undergo training and attend conventions from time to time. Social workers update their skills relevant to the nature of their work. Rural midwives update their knowledge on Public Health Program and attend program implementation review so as to keep current on program for implementation

Regular Feedback/Interaction Between Program Managers, staff and beneficiaries

Group distribution of Blue cards is being held regularly by the staff and often times graced by the presence of the Mayor and the committee chairman on Health and Sanitation. Emphasis is being made during these card manager of the program has exerted the efforts to see to it that program goals and

objectives are attained. We believe and we maintain that the program has the support of the people considering the number of card holders and dependents it has helped with regards to the medical and hospital needs is concerned. The continuous application for Blue Card Holder membership is an indication that the populace has its support.

Replicability of the Program

The program can be replicated in the other parts of the country as long as there is that strong political will, dedication and commitment of the program implementor. Proper motivation on the part of beneficiaries with regards to their share, duties and responsibilities that would lead towards the success of the program.

Key Dates

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Contact

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Type of Organization: Local Authority

Nominating Organization

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Partners

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Oscar F. De Leon MD : Antonio Valley 1 Sucat Road

City of Makati Metro Manila Philippines

City Health Office

Monchi M. Vargas : Sucat Road, Paraque, Metro Manila, Philippines

Type of Partner Support: Administrative Support

Innovative Financing of Urban Development in Tagaytay

Categories:

Urban and Regional Planning:

- budgeting
- capital investment programming
- consultative process
- metro/urban-wide planning
- urban renewal

Economic Development:

- capital formation
- cooperative opportunities
- enterprise development (formal and informal sectors)
- entrepreneurial ship
- investment development
- micro-credit

Urban Governance:

- decentralization
- legislation
- partnership development
- resource mobilization

Level of Activity: City/Town

Ecosystem: High Plateau

Summary

Cities in the Philippines used be financially dependant on the redistribution of tax revenue by the national government. Their ability to undertake development projects, therefore, was limited. The 1991 Local Government Code, however, empowered local government to pursue innovative means of finance.

The City of Tagaytay is one of the leading tourist destinations in the Philippines. Each weekend and every holiday, its population swells, placing extra burdens on the City's infrastructure and services. The City's tax base could not support the need for improved public services. The Local Government Code, however, enabled Tagaytay to identify innovative means of financing the City's development plans:

1. **Development Levy:** a tax was introduced for weekend residents who had previously enjoyed the benefits of the City's infrastructure and services at practically no cost;
2. **City Centrum Project:** 15 ha of idle government property was contributed as an incentive to the private sector to develop a new city center;
3. **People's Park in the Sky:** a vacation house once ordered built by Imelda Marcos has been transformed into a park, generating revenue for the city;
4. **Mahogany Complex:** a premier quality slaughterhouse was built under the Build-Operate-Transfer scheme with the private sector;
5. **Green Card system:** workers coming into the city as a result of the construction boom are required to pay for the issuance of identification that allows them to practice their trade and helps maintain peace and order.

The success of the Tagaytay program is being heralded as proof of the wisdom of local autonomy in the Philippines.

Narrative

I. SITUATION BEFORE THE INITIATIVE BEGAN

The Tagaytay Financial Engineering Program was borne out of a clear vision to be able to attain financial independence for the City Government of Tagaytay. This independence would in turn allow the City to institute and implement its socio-economic programs.

The key partners or stakeholders in the program are the Local Government Unit of Tagaytay (LGU), the National Government (NG) and the constituents or general citizenry in the City. Prior to the initiative, it was a common practice of local government units was to depend on the Internal Revenue allotment (IRA) which is its percentage share in the total revenue earned by the National Government in the collection of taxes. As a result of this, the ability of LGU's to undertake innovative and versatile projects for the welfare of its constituents was limited. In 1991 Republic Act 7160 or the Local Government Code was enacted giving LGU's greater autonomy in pursuing ingenuitive means to raise its revenues.

Tagaytay's Context:

The City of Tagaytay is one of the leading tourist destinations in the country. The Tagaytay 10-20 year Master Plan aims to promote the City as the main Eco-Tourism center in the Region. Main economic factors in the City are agriculture and tourism. Situated 2,500 feet above sea level, the City is located on a ridge overlooking the Taal Volcano and Lake. A substantial part of the City is classified as "reserved forest" while the main urban centers are encircled with agriculture areas.

The Issues to be Addressed:

The main issue is to be able to raise needed revenues to implement plans and programs such as socialized housing, healthcare, livelihood, employment and many others. The city owns certain prime real estate properties which had remained non-performing or dormant prior to the initiative's implementation. Thus, the program's key mechanism is to turn otherwise idle resources into income generating assets without dependence on National Government support.

II. PREPARING INFORMATION AND CLARIFYING PRIORITIES

The city government under the leadership of the City Mayor served as the main catalyst. It was also necessary to get the City Council or the Legislative arm of the City Government involved as local ordinances and resolutions are the main legal instruments for implementing the initiative. Private sector participation was also actively encouraged to spur development in the city. The citizenry also got involved as public meetings on the initiative were held to get the pulse of the residents regarding the initiative.

The components of the initiative were set and prioritized based on the following factors:

- Resource availability
- Maximum benefit to majority of the constituents
- Retroactive effect in spurring economic development
- Synchronicity to the Tagaytay 10-20 year Master plan
- Viability and innovation.

Refinement was accomplished through constant interaction and periodic assessment of the initiative's progress.

III. FORMULATION OF OBJECTIVES, STRATEGIES AND MOBILIZATION OF RESOURCES

The objectives:

- To be able to raise needed revenues for the City Government's plans and programs.
- To impose a legal, reasonable and humane taxation on the "cost" of development in the city. The high cost of maintenance of roads, cleanliness, public service, healthcare has made it necessary for weekend residents to be taxed because of the fact that they incur additional burden to the city, they are enjoying the privilege of the city's resources at practically no cost.
- To utilize otherwise idle government properties and turn it into productive institutions for the citizens.
- To provide a balance between the environment and the necessity of rapid urbanization
- To provide livelihood employment and entrepreneurial opportunities for residents and prospective investors in accordance with the guidelines stipulated in the City's Master Plan
- To be able to compete in the demands globalization by providing avenues for growth and development.

Program Description:

The TAGAYTAY FINANCIAL ENGINEERING PROGRAM is a five (5) pronged approach to increasing revenues for government programs in line with the 10-20 year Master Plan.

COMPONENTS

1. Development Levy - a special development privilege tax imposed innovative in order to serve as a buffer for the cost of weekend residents (garbage, traffic, health, maintenance, etc.). Derived from a percentage of the development project's total cost, this tax is a first of its kind in the country and other LGU's are seeking to enact the same ordinance in their respective jurisdiction.
2. City Centrum Project - Considered as a pioneer application in the implementation of the Local Government Code, the city centre project was borne out a vision to establish a city center out of an otherwise idle 15-hectare government property at the heart of the City. After numerous public hearings, the parameter for the Terms of Reference (TOR) were established giving prime importance to environmental and sustainable development. Prospective private sector developers were invited to participate in the bidding process in which a Joint Venture Corporation (JVC) was formed with the city providing the property as its investment. The Joint Venture Partner infuses the initial cash flow into the JVC based on the valuation of the property. After six (6) months the complete bid price is given to the City Government. An estimated additional revenue of P400 - P600 Million (US\$30 Million) will go to the City's coffers to be used to finance various infrastructure projects in the City for its residents.
3. People's Park-in-the-Sky - One of the greatest evidence of the excesses of the Marcos Regime is the grand vacation house ordered built by former First Lady Imelda Marcos for the aborted visit of Former President Ronald Reagan of the United States. Construction was not completed due to the People's Revolt which started in 1983. In 1994 President Fidel V. Ramos envisioned to establish the sight which is the highest peak in the region as an accessible and affordable People's Park. Thus, the City Government undertook rehabilitation of the area and constructed promenade areas, children's playground, restaurants, a museum and a conference hall in the property. A once non-performing asset now grosses over P1,000,000.00/month in revenues from the affordable entrance fee of P10.00 per visitor. The People's Park is one of the highlights which has made Tagaytay the 2nd most visited tourist destination in the country according to the latest statistics of the Department of Tourism.
4. Mahogany Complex - Tagaytay is known nationwide as a center for the best meat products (beef and pork). Numerous market stalls used to sprout all over the city causing monstrous traffic jams especially during weekend. The Mahogany Complex got its name from the main National Road (Mahogany Avenue) where the complex is located. To provide a suitable conducive venue for market vendors and visitors, three (3) huge permanent structures were built to house all market vendors subdivided into wet, dry and fruit areas. A premium class slaughterhouse was also built under a Build-Operate and Transfer (BOT) scheme with the private sector. Stalls were rented out to vendors who were mandated to transfer to the facility thereby decongesting traffic and providing visitors with world-class quality products.

Due to the influx of visitors in the city, hotel rooms are in great demand. To further enhance the City's tourism industry a 4-storey 20-room hotel (Mahogany Hotel) was built as a reasonable alternative to tourists. The hotel serves as an integral part of the Mahogany complex and has added much needed revenue to the city (see attached graphs and figures).

5. Green Card - The City is experiencing a construction boom with development projects going on left and right. This has resulted in the increase of workers, professionals and other transient personnel from other places. Both as an income generating component and for the maintenance of peace and order, an ordinance was passed instituting the "green card" system whereby workers are required to pay Seventy Pesos (P70.00) for the issuance of a green card. This card gives them the "go" signal to practice their profession and at the same time serves as an identification card in case of need.

6. In cases where legislation was necessary, extensive public hearings/meetings were held. A special committee was formed to oversee the process of raising revenues with the use of idle government properties. The city government's administrative staff as well as line departments were all tasked to formulate ways and means to increase revenues for projects and programs.

The city government's actions were chosen out of a regular consultation with constituents, research and development of innovative fiscal initiatives, pro-active stance towards problem solving and good-oriented program formulation.

Mobilizing Political Support:

Political support was mobilized through the barangay (smaller political unit within the city) leaders. Massive information campaign (print and broadcast media) was also used to mobilize support. It was relatively easy to gain support once the people were informed.

Mobilizing Resources:

Resources were mobilized through the following means:

REAL PROPERTY -- Geodetic surveys, certificate of title registration, appraisals, formulation and feasibility studies, etc.

Infrastructure development was done through the normal process of bidding out the project to private contractors for implementation. Human resources were also mobilized by means of the City Administration.

National agencies also served as support to the city's project but only in terms of facilitation of necessary permits and approvals.

Leadership Roles:

The City Mayor spearheaded the program with the help of the city's legislative body (city council). Likewise, the respective Department Heads who sit in the program's oversight committee assumed leadership roles. Implementation of the initiative was likewise spearheaded by the City Mayor and the concerned Department Heads.

IV. PROCESS

Problems Faced During Implementation:

The following difficulties were faced:

- Ensuring legal basis and framework;
- Adequately informing all constituents;
- Opposition from parties with vested interests;
- Expediting the procedures and process;
- Ensuring social acceptability;
- Environmental safeguards;
- Sustainability.

By constant and persistent fine tuning of the program through inter-action with concerned entities these problems were overcome. Progressive development of the program's implementation was also instituted. The City government remained on top of every situation in the program's implementation resulting in the immediate address of problem.

The few problems that remain are the duplicability and reciprocability of the program to benefit other local government units. Second is the continuous information dissemination to all constituents. Third is the enhancement of further resource development leading to a prolonged sustainability.

V. RESULTS ACHIEVED

All the objectives described above were realized.

Results were measured by the significant phenomenal increase in city revenues as evidenced by the city's receipt of payments and audited financial statements.

The quantitative aspect was measured by the visible, tangible and physical evidence of infrastructure development. The overall upliftment of the quality of lives of the people is the greatest measure of qualitative success.

Indicators were used to measure results. Record of payments, number of citizens benefited, record of tourist visitors, number of development permits issued and so on. The following line departments are the source of monitoring of indicators:

CITY TREASURER'S OFFICE
CITY TOURISM OFFICE
CITY PLANNING AND DEVELOPMENT OFFICE
ECONOMIC ENTERPRISE OFFICE
CITY Engineer's OFFICE
MAYOR'S OFFICE

Impact of the Practice on Policies/Strategies

- (a) Local Level - Local policies became more aggressive in terms of planning for social reform related issues and programs.
- (b) National Level - The policy of autonomy was positively affected due to the success of the program. Now being heralded as a proof of the wisdom of local autonomy.
- (c) Social Impact - Greater number of families provided for with minimum basic needs (health, livelihood, shelter).
- (d) Economic Impact - Economic policies are now geared towards more innovative non-traditional means of generating more livelihood and socially responsible projects.
- (e) Environmental Impact - A more concerned, responsible sustainable policy towards development is now in place. The Tagaytay Master Plan integrates strict environmental guidelines and the first Environment Code in the country is now being implemented.
- (f) Institutional Capacity - at the national, sub-national and local levels, were greatly increased with the development of support systems, infrastructure made possible by increased revenues.
- (g) National Decision-making - National and local decision-making was made more expeditious in responding to specific needs by virtue of availability of means to act concretely and decisively. Partnerships were established on a national-local, local-local, local-international levels.

Special opportunities for Change:

The opportunities for change occurred during the deliberation process of the project's implementation. Once the project was implemented, change was done through administrative adjustments.

The impact on the allocation of human, technical and financial resources by the initiative is characterized by liberality in projections and aggressive promotion. With greater revenues comes greater flexibility in project selection and technical use.

The greatest impact on people's attitude and behavior in the instilling of a higher sense of pride in the people's hearts. Due to new economic and livelihood opportunities people have begun to feel good about themselves and their future.

VI. SUSTAINABILITY

The integration of social, economic, environmental and cultural elements of sustainability was by and large a smooth task. With the formulation of the Tagaytay Master Plan, the setting of long-range goals

and objectives and a clear fiscal strategy, the process of integration was a just a matter of careful coordination and interaction of all the department coordinators. Particularly significant is the fact that the country is celebrating its centennial celebration (100 years) of independence. In the City a new form of independence is being celebrated. Independence from traditional sources of revenue, independence to pursue innovative program for the welfare of citizens and more.

By putting premium value on the resources being converted to performing assets the city was able to leverage the best price even in the midst of the Asian Economic Crisis.

The initiative is all about liberating the local government from dependence on external sources. By generating income within its own means and resources, the city has taken local autonomy to a new level of effectivity.

At the present rate of return the time-line factor ranges from a minimum of five (5) years to a maximum of twenty (20) years for the long-term real property investment.

There are no loans involved here because infrastructures built and projected to be constructed are financed through local city funds.

VII. LESSONS LEARNED

The primary lesson learned from other initiatives is the issue of a firm legal framework prior to the initiative's implementation. Since the program is a pioneer effort by an LGU, a precedent is now set for other LGU's to emulate.

The three (3) most important lessons are:

1. Innovation - if there is a clear and versatile legislative act (such as the local government code) then innovative thinking and programming is just a matter of living a vision and will to act.
2. Foresight Planning - other LGU's must not only be reactive to the problems of local governance but they must also be able to project future situations and problems and do something now to address them.
3. Independence - Fiscal programming and financial base enlargement is not limited to traditional means and procedures. There must be the aggressiveness to look beyond the norm and experiment.

VIII. TRANSFERABILITY

The greatest lesson others can learn from the initiative is the determination to attain self-sufficiency. With due respect, the city's income and budget is now at the same level if not greater than the province of Cavite where it belongs.

The ordinance and program is a pioneer effort then, replication is just starting. There is a tremendous potential for transferring the initiative nationwide or even worldwide. The only thing needed is a little imagination and a lot of heart.

Key Dates

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Contact

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Type of Organization: Local Authority

Nominating Organization: HOUSING & URBAN DEVELOPMENT COORDINATING COUNCIL (HUDCC)

Partners

Urban Poor Elderly Health Workers

Categories:

Older Persons:

- employment
- financial security
- group homes
- health
- participation

Social Services:

- health and welfare

Level of Activity: City/Town

Ecosystem: Tropical/Sub-Tropical

Summary

Older people are respected but not a priority on anyone's agenda in the Philippines. For example: There are more than 200 groups in the Greater Manila Area alone dealing with street children but for "street elderly" and urban poor elderly, virtually nothing. Resources are scarce and the potential of residential care for older persons is not only economically but culturally unattractive.

The Coalition of Services of the Elderly (COSE) was founded in 1989 as an attempt to keep the elderly poor in the community. The program empowers them to make the decisions which determine their lives. An organized urban poor community (so-called "squatter area") chooses two of its members to become "community gerontologists (CG's)". A number of those chosen have been involved in traditional health care through herbal medicine, as massagers, midwives, etc. For three days they are trained by a doctor, dentist and a nurse with an emphasis on ailments and their prevention, especially those of older people. Upon graduation, they receive a kit with a thermometer, blood pressure and sugar measuring instruments, basic tools for examining teeth and common medicines. The two then become the health workers for their own organized elderly in their urban poor area. Thereafter, all the CG's from the different areas meet once a month with the medical staff/team of COSE to discuss their experience of the past month and upgrade their skills. Four times a month, the medical team along with the CG's visit an organized community to render medical outreach services. On days when there is no outreach, the COSE medical team and a rotation of CG's maintain a clinic for the elderly in a leading commercial area (Cubao) on health care for older people.

There are presently 40 organized urban poor communities of older people in Metro Manila and affiliates in major areas of the country (Davao, Cebu, Bacolod, Baguio, Bicol, Abra, etc.)

Narrative

Due to a confluence of factors the Philippines is on the verge of a crisis in the care of the elderly:

- An estimated 10 million mainly young and majority women workers are employed outside the country (the traditional care-givers of the elderly).
- As in many Asian countries, a massive rural to urban migration has put a strain on the traditional, extended family system.
- Better health care means people are living longer and a moderately successful family planning program results in people over 60 being the fastest growing sector of Philippine society.

The situation of older people in urban Philippines and especially in Manila is precarious at best. The day time population of the Metropolis is estimated to be around 11 million with at least a third termed "squatters," i.e., people living on land to which they have no legal claim. Next to Bombay, Manila has also been regarded as "the most polluted environment in Asia." While the government's Department of Social

Welfare and Development (DSWD) ranks the elderly among 10 other areas of concern, in reality, a limited budget and other pressing demands have made the elderly a low priority.

From its very inception, COSE has made empowerment of elderly its main objective. If income generation, social activities, health care, a fund to cover expenses at the time of their death, or a good counsellor, are priorities of the elderly urban poor, COSE can help in a supporting role for older people to realize those objectives. The long range goal is for the urban poor elderly to become the policy-making body of the NGO -- whose members will eventually be employees of the elderly.

Every year, a consultation is held with leaders of organized elderly groups, wherein they review and critique the activities of the ending year and make plans for the upcoming year. At the November 1995 consultation, while expressing that they were grateful for the health services offered by Coalition members (of which there are 15, representing the GO, NGO and PO sectors), leaders felt it not enough and asked for more comprehensive health care and challenged one another to seek candidates among their own members to be trained as health workers. After discussion among themselves, they returned with two volunteers from each group. COSE, for its part, found among its Coalition members a geriatrician willing to experiment with the program and who pioneered the development of the training program for community gerontologists. A dentist and a nurse have since joined the medical team of COSE. The training needed some special adjustments since it is inconvenient for older people to sit for long lectures and demonstrations. A more dialectical approach, utilizing their experience and resources already in the community, was necessary. Skills in herbal medicine, massaging and even psycho-medical healing are common in even the poorest urban communities. The challenge was to put together sound existing skills with newer ones. Accommodations were simple with participants sleeping on the floor at night and eating the simplest of fare. Graduation consisted in a certificate and a kit presented to each pair (on the presumption that the elderly would work in pairs and share enthusiasm, knowledge and skills.) Twenty-six graduated the first workshop and received their medical kit.

Soon after, the team produced in Filipino a 120-page "Health Care Manual for the Community Gerontologists and Gerodontists," highly illustrated and presented copies to each CG Area Team. Copies were also sent to health care and community workers for their critique. A number of recommendations will be incorporated into the final edition (e.g. nutrition for older poor people -- lacking in the original) to be available in 1998. Community gerontologists were encouraged to keep a medical file of the members in their respective community, so that when the medical outreach arrived or, in the estimation of the CG -- a doctor was necessary, the preliminaries had already been accomplished. The CG serves as a monitor of the health condition of every older person in the urban poor area where she lives (the majority of CG's are older women).

In addition to two CG's, every organized urban poor elderly community has a set of officers. The president represents the organization in the Federation of all the organized elderly communities; the treasurer, aside from the usual functions relating to finances, is also responsible for the members' collecting and recording death benefit contributions, and the business manager is responsible for assisting members with their income-generating projects. Each area has two fund-raisers and, soon, a pair of peer counselors.

The jump from professional medical care to "one of us" becoming a health practitioner was a dramatic one -- and not without some resistance. One of the important lessons learned in the initial stages of the program was that people need to be "won over." Rather than an air of professionalism -- CG's rather needed more to be service-oriented with an air of humility. Since there were no competing alternatives -- where CG's sincerely offered services -- people were "won over."

The greatest indicator of success came from the government's Department of Health (DOH) which recently has proposed a nation-wide health program for the elderly and invited the COSE Medical Team as health trainers to participate in the formulation of such a program emphasizing the services of elderly as health workers. Legislation is pending in Congress to establish a national commission "for" older persons. COSE has been incorporated in the legislation as a charter member of the commission and will

propose outstanding elderly from among its membership to participate in the commission to be established.

Originally funding for the health program came from Caritas Netherlands with supplementary aid from Help Age International and the Philippine Games and Amusement Board (PAGCOR). Total cost of the first year of operation was approximately US\$15,000.

Recipients of services (i.e., the elderly) normally give a small cash contribution in exchange for services rendered, or more likely, a chicken, some vegetables, etc. Once in full motion, the CG Program will be more or less sustainable. Last year, when the CG's complained about a lack of medicines during their ministrations, at their monthly meeting in November, they devised a strategy to raise funds. They decided to go Christmas carolling from which they were able to raise the equivalent of US\$1,000 -- enough to purchase the needed medicines. (COSE estimates that the entire community-based program of the elderly can be sustainable within a 2 to 3 year period but each organized group designates two members to be trained for local fund- raising.)

Certain external factors have contributed to the success of the program:

- a) There are not many advantages to living in a squatter area but one is that people live in close proximity to each other and in at least some cases, share a common culture (i.e., come from the same region of the country, share the same language), thus organizing is facilitated by this factor;
- b) The ousting of the dictator by "people power" in 1986 has contributed to a sense of empowerment on the part of "ordinary people;"
- c) The country has a pattern of community- based ventures (health programs, religious, social) and the CBHP fit into an already known pattern.

Lessons learned:

- 1.) That ordinary people, regardless of level of formal education, have the ability to become skilled health workers to serve people like themselves;
 - 2.) That appropriate pedagogical tools can be created where a group shares the same vision in order to accomplish a task;
- d) That the process itself of becoming a health worker or community gerontologist (CG) is in itself a health process, i.e., the empowerment process is an end in itself and contributes to holistic health.

The program is replicable in other places as evidenced by the Department of Health's invitation to participate in the formulation of a nation-wide health program for (with) older people. COSE has received inquiries from other HelpAge country programs (Mauritius, Pakistan, Indonesia and Cambodia) as to the feasibility of establishing a CG Program. COSE's response has been to invite older persons (sometimes with translators) to live in a CBPE for a period of time and then discuss with the Medical Team and other staff of COSE regarding the suitability and applicability of the program to another culture.

Key Dates

November 1989 - Organization of COSE emphasizing community-based approaches to (mainly) urban poor elderly.

1990-1991 - Networking with groups (GO - NGO) concerned with the elderly to offer services.

November 1995 - At the annual consultation, leaders of organized groups ask for more comprehensive health care.

April 1996 - First group of CG's are trained.

June 1997 - Second group of CG's are trained.

References

The August 1997 issue of the World Health Magazine (WHO) published from Geneva included an article on the CG

Program of COSE, as did "Ageways," the official publication of HelpAge International of London in January 1997.

Two recent news-type TV programs on the most popular channel in the country, Channel 2 -- "Inside Story", and "Magandang Gabi, Bayan" (Good Evening, Nation) featured the COSE Program of the elderly including the health

program.

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Type of Organization: Non-governmental organisation (NGO)

Partners

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Catalina L. Fermin, Director
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Type of Organization: Central Government

Type of Partner Support: Exchange of Services and Mutual Support

St. Luke's Hospital Geriatric Center

Dr. Emmanuel Gatchalian

E. Rodriguez, Sr. Avenue

E. Rodriguez, Sr. Avenue

Quezon City, Philippines

Type of Organization: Private Sector

Type of Partner Support: Medical Services and Training

University of Sto. Tomas Social Science Research Department

Ms. Amor Pedro

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Manila, Philippines

Type of Organization: Academic/Research

Type of Partner Support: Advocacy and Research

Participatory Urban Planning for Improved Local Governance, Province of Guimaras

Categories:

Urban and Regional Planning:

- community-based planning
- consultative process

Technology, Tools and Methods:

- planning tools and techniques
- training and capacity building

Urban Governance:

- decentralization
- partnership development
- public policy
- resource mobilization

Level of Activity: Provincial/State

Ecosystem: Island

Summary

In 1994, the Provincial Government of Guimaras in partnership with the Canadian Urban Institute (CUI) embarked on a community-based and multi-stakeholder development planning process involving all the three levels of local governments (engaging a total of 102 local government units).

The program, undertaken with funding support of the Canadian International Development Agency (CIDA), has been focused on developing the capacities of local government units to promote sustainable development practices and community involvement in planning and decision-making. It supports the Philippine Government's thrust towards decentralization of power to local authorities and empowerment of local communities, which is required under the country's Local Government Code (LGC) enacted in 1991. This partnership project is a case study in approaches to "operationalizing" the LGC.

The project has been able to engage more than 5000 stakeholders from national government agencies, local authorities, private sector and civil society in a community-based planning and decision making process. This process resulted in the completion of strategic plans in all three levels of local government: provincial, 5 municipalities and 96 barangays (which is the officially recognized village-based level of government in the Philippines). The strategic plans are providing directions for the local governments in mobilizing human and financial resources for the various priority economic, environmental and social development thrusts in the island province.

Integral to the strategic planning process has been action learning, or "learning-by-doing." Based on the priorities determined in the strategic planning process and using a participatory community-based process, the project has been implementing three pilot projects. The purpose of these projects is to have some tangible community focus for realizing concrete benefits from the project (in addition to the planning and capacity-building elements). These three pilot projects have been in the area of integrated solid waste management, heritage tourism development and land use planning skills development. The solid waste management project aims to design and implement an action plan for the integrated and ecologically-sound management of solid waste in Guimaras. The second pilot project relates to the development of a heritage tourism program (ecologically-sound, community-based, tourism with a focus on cultural and natural heritage). The action plan is complete and it is now beginning to be implemented through public-private-community partnership arrangements in the Municipality of Nueva Valencia (the municipality with the most tourism assets). The third pilot project was focused on capacity building and training in the area of land use planning. It trained key planners and technicians in skills related to regional growth management, land use planning techniques and the collection and management of land and demographic information using computer technologies.

Narrative

a. Situation before the initiative began

The island Province of Guimaras, Philippines is located approximately 500 kilometres south of Manila, nestled between the larger islands of Panay and Negros in the Western Visayas. The island has a total area of 60,465 hectares (about the same size as Singapore) and a population of 133,000. Located just 3 kilometres across the straight from the medium-sized city of Iloilo (population 300,000 and capital of Iloilo Province), Guimaras can be considered to be a peri-urban region that is coming increasing under the urban growth shadow. Its topography is gently sloping and rolling hills with land elevation up to 300 metres above sea level. Fertile agricultural lands dominate the island landscape. Guimaras also has strong economic ties with Bacolod City, another medium-sized urban centre located on nearby Negros. The economy of Guimaras is based primarily on agriculture and agri-based industries, producing mangoes, cashews, coconuts, corn, rice and citrus fruits. Other economic activities include industrial lime mining, small-scale handicraft making, fishing, aquaculture and tourism.

Once a sub-province of Iloilo, Guimaras was granted full Provincial status on May 22, 1992. Because of its ranking among the 20 poorest provinces in the country and because its LGUs were in their infancy, the national government gave Guimaras priority status for development. This meant that greater financial and technical assistance were directed toward the province. The first Governor, Emily R. Lopez continues as the head of the province following her election to the post on May 8, 1995. Guimaras was originally divided into three municipalities -- Buenavista, Jordan and Nueva Valencia. On July 25, 1995, the Philippine Congress enacted a law creating two new municipalities of San Lorenzo and Sibunag. These five municipalities are further subdivided into 96 barangays (village-based units of government).

In 1992, around the time of passage of the new Local Government Code (decentralization legislation) and immediately after the province was given its new autonomy, Guimaras was faced with significant challenges. Quite suddenly a significant degree of powers and responsibilities had been transferred downwards to the new province and its municipalities; yet overall there was a lack of human and technical capacities to absorb them. With population growth and migration, uncoordinated planning and development was threatening the island's environmental health and affecting the livability of its settlements. Poverty prevailed and was placing a significant strain on the delivery of services, especially in the area of social services and health. What was needed was a program that helped to build capacity in managing social, economic and environmental issues in partnership with local communities, as well as to increase efficiency in service delivery and to foster good governance. Governmental and private resources were available but local governments had to first define their development priorities. As an island ecosystem, Guimaras stakeholders believed that there was a need to balance the diverse interests of the different stakeholders, the fragile environment and economic development to ensure viability and livability of the island.

The community-based, "bottom-up" approach to planning was seen as an effective means of identifying the needs of people in the barangays and conveying their needs to the higher levels of government. The local governments' concern for adapting smoothly to the Philippine decentralization efforts and for building the capability of the local governments to perform the powers and responsibilities provided by the new LGC gave the impetus to the capacity building efforts on strategic planning.

b. Preparing Information and Clarifying Priorities

The project was initiated by the Province of Guimaras and Canadian Urban Institute by conducting multi-stakeholder workshops, and professional information and expertise exchange in order to define the issues and problems and to identify activities and mechanisms to address the development issues the province was facing. Canadian consultants were asked to study the development issues in the province. At the same time Guimaras professionals went to Canada to study successful local government planning, development approaches and methodologies in engaging citizens. Subsequent consultation meetings were done in the various levels of the local authorities to validate and approve the project design and approaches, prior to the securing of funding from the Canadian government.

c. Formulation of Objectives, Strategies and Mobilization of Resources

The Provincial Government of Guimaras, Philippines, in partnership with the Canadian Urban Institute (CUI), embarked on a cooperative program on strategic planning and project implementation. Funded by the Canadian International Development Agency, the CUI assisted the provincial government in developing the provincial, municipal and barangay governments' capacity in establishing a province-wide, community-based and multi-stakeholder strategic planning and project implementation process.

The project involves two major phases: 1) multi-stakeholder strategy development; and 2) strategic project implementation. The specific activities were as follows:

- Formulation of the framework for decentralized decision making by setting up management structures with community representation and preparation of a strategic management approach;
- Organisation of a multi-disciplinary strategic planning team with a diverse membership, comprising of community representatives, government line agencies, devolved agencies of local government units, NGOs and research institutions;
- Conduct of consultations in 96 barangays using PRAGEN methodology (a unique combination of Participatory Rural Appraisal (PRA) and Environment, Community Organization and Gender (ECOGEN) Tools) to identify needs and problems. Community participants contributed their knowledge and views by participating in the development of the following PRAGEN tools (maps, indicators, assessments, prioritisation etc.): a) Master Map; b) Barangay Map; c) Barangay Infrastructure; d) Water Tools; e) Health Delivery Program; f) Social Service Delivery; g) Institutional Development; h) Natural Resource Transect; i) Livelihood Transect; j) Ranking Problems Venn Diagram; k) Strategic Barangay Development Plan. This exercise created an incredible amount of important "primary" data for the provincial and municipal strategic planning processes.
- Preparation of a strengths- weaknesses-opportunities-threats analysis for each barangay through the strategic planning team. The information provided a comprehensive view of priority needs of the barangays, and was an important step to the eventual finalization of each of the Strategic Barangay Development Plans.
- Up scaling of the strategic planning process to the municipal and provincial levels was done through the municipal situation analysis of priority environmental, social, economic, infrastructure and development administration issues. These priority issues were documented in the situation analysis, which together comprised the Provincial Situation Analysis.
- Holding of Provincial and Municipal Strategic Planning workshops were held to provide community and stakeholder inputs and to build consensus on development priorities. The workshops included visioning process, objectives setting, and determining the spectrum of programs concretizing the goals and objectives of the strategic plans. The Municipal Strategic Plans with broad policy directions for social, environmental, infrastructure, economic and development administration and other areas were then produced. The respective Municipal Development Councils had ratified all five municipal strategic plans. An ad-hoc Provincial Working Group was convened to formulate strategic actions and policies based on the results of the municipal workshops and consultations. The output was then upscaled to the Provincial Strategic Directions Document which contain broad policy directions, together with a vision, mission statement and objectives for each of the five sectors: environment, social, economic, infrastructure and development administration.
- Design and implementation of two key pilot projects identified from the strategic plans. The first project aims to design and implement an action plan for the integrated and ecologically-

sound management of solid waste in Guimaras. The second project focused on heritage tourism development. A third pilot project in land use planning was undertaken simultaneously with the barangay process.

The project is under the strong leadership of the Governor Emily R. Lopez with the various provincial departments and municipal governments supporting the partnership. The provincial departments such as the Planning and Development Office, Provincial Environment and Natural Resource Office, Provincial Engineering Office, Provincial Health Office and the Provincial Social Welfare and Development Office contributed human and financial resources.

d. Process

Some of the problems encountered during the project implementation:

1. Lack of understanding of strategic methods early in the process -- the need to gain the support of senior politicians, decision-makers and key community stakeholders through education

Early in the project, a focus was placed on educating and having elected officials and senior bureaucrats appreciate and support a community-based planning approach. This was essential, given that many of the concepts being introduced were new, and the value-added to the governing process of citizen participation needed to be demonstrated before buy-in was achieved. Ongoing education and communication activities were done to inform senior politicians, decision-makers and key community stakeholders. Of course, the fact that the new Local Government Code required a certain degree of citizen participation added impetus to the buy-in process.

2. Dissemination of Information to an Under-Educated Population was a Challenge

Given that more than 60% of the population of Guimaras had not been educated beyond elementary school and with high rates of illiteracy prevailing, special process tools were developed to overcome this. Community based workshops using graphic and oral methods were necessary to ensure quality participation. Written documentation was used more at an organization level.

3. Raising of expectations became an issue following community engagement

This process was the first comprehensive exercise to engage barangays in planning for the future of the island as a community. So, with this new-found access to decision-making, citizens began to believe and expect that change would come rapidly to their respective communities and that funding and technical assistance would come readily after the planning process. To counter this, the project placed as heavy an emphasis as it could on implementation of priority pilot projects, within budget limits. Funds were then sought for additional implementation activities.

4. Funding for prioritized projects was limited

Because Canadian funding was limited primarily to capacity development and due to the limited tax base and transfers of the province, actual implementation of projects was a challenge. To deal with this the project placed a big emphasis on building the capacity of the province to source funding, to develop proposals and to market itself generally. The results were successful, with additional sponsorship of the pilot projects.

e. Results Achieved

The project has succeeded in:

- Mobilizing a large percentage of the population in 96 villages in participatory planning and decision making;

- Building municipal and provincial consensus on development priorities and strategies through the inclusion and harmonization of 96 community-based plans into the 5 municipal strategic plans and in the provincial strategic plan;
- Defining the development strategies for key sustainable development issues on the island province such as environmental, agri-industrialization, sustainable tourism development, gender equity and institutional capability building;
- Producing useful socio-economic data and information to prospective investors, national planners, international agencies and academic researchers about Guimaras;
- Initiating the implementation of two pilot projects using a community-based and multi-stakeholder approach (on solid waste management and heritage tourism development) and one pilot project on capacity development (land use planning). The solid waste management project has completed community based waste stream assessment and prepared 5 municipal solid waste action plans. In heritage tourism, one municipality has completed a tourism strategic plan, a marketing plan and a comprehensive tourism ordinance to guide the municipality's tourism thrusts. In land use planning, training has been delivered to key technicians on planning techniques for growth management and on computer-based data management for land use planning;
- Formulation of support legislation and policies to implement environmental, social and economic programs identified in the strategic plans; and
- Mobilizing human and financial resources (\$ 200,000) to implement two key projects on solid waste management and heritage tourism.
- Achievement of a commitment to professionalism in public service among Guimaras LGUs and creation of an environment conducive to and expecting of good governance. There has also been an overall change in mindsets among local authorities towards efficiency and effectiveness in administration, transparency and openness in local government, a commitment to community participation, and toward integrated, holistic approaches to achieving sustainable development.

f. Sustainability

Sustainability of the process and of the capability building activities has been pursued through several means:

- The CUI project management systems were, from the beginning, integrated into the decision-making structures of the province. A multi-stakeholder steering committee, which has ensured the project meets local needs and priorities, is now in the process of being re-established as a sub-committee of the Provincial Development Council. Furthermore, in 1996, the CUI moved from having a Canadian local project manager to a project manager of Filipino origin who both represents CUI interests and acts as consultant to the province and other LGUs.
- The community based strategic planning and implementation program has initiated significant changes in the development planning process in the province, 5 municipalities and 96 barangays. In particular, it has involved communities and stakeholders to such a degree that there is now an expectation of involvement, openness and transparency and good governance. It is providing a force "from below" that is ensuring sustainability by keeping government accountable.

- A favourable political climate and leadership are providing ongoing momentum and continuity, even over several years. The leadership of Governor Emily Lopez, and the strong commitment she has brought to the basic principles of the Canada-Philippines partnership, have created a fertile environment for building good governance in the Philippines.
- The Guimaras experience in community based, participatory planning is now serving as a case study and model for other LGUs in the Philippines that are facing similar obstacles to development.

g. Lessons Learned

The following valuable lessons were learned in this project

- The community-based and multiple stakeholder approach in strategy development and project implementation was seen by the local authorities as an effective means of identifying needs of the community and of effectively conveying their inputs to higher levels of government.
- Creating a multi-stakeholder team of local people from the government and NGOs allowed for strong local ownership of the project and participatory planning process.
- Action plans and demonstration projects allow participants to identify obstacles and concretize development strategies.
- Gaining political support of the decision makers allowed the project implementation to proceed smoothly.
- Innovations in strategic planning and project implementation such as using multiple stakeholders and community-based approach resulted to unifying diverse interests and agenda of the national and local governments, business, non-government organizations and citizens and allowed to balance and support each others' priorities.
- Women played a key role in the coordination and facilitation of the planning process. Six out of the eleven members of the Strategic Planning Taskforce were women. Around 45% of the 22-member Steering Committee were women. Further, most of the senior-level officials from the Province and other partner organizations and national-level agencies participating in the project were women. The same ratio is being maintained in strategic implementation of solid waste and tourism project initiatives.
- The approach taken by the Canadians to capacity building, experience sharing and technology transfer allowed for Canadian methodologies and approaches to be properly adapted to the local context. A strong emphasis was placed on showing a range of alternative approaches, rather than on "prescription" or "advice". A special sensitivity was placed on understanding local context, matching needs to learning, and comprehending and respecting local modes of "learning" and of "knowing."

h. Transferability

As a result of the outcomes and impacts of the Guimaras experience, the CUI and the Province of Guimaras were asked to share their learnings in three different places:

With Boracay Island, through linkages with the Philippine Department of Tourism (DOT) the Province of Aklan, and the Municipality of Malay (Aklan Province) In Boracay Island, the CUI took the Guimaras learnings and applied them on a mini-scale to produce a community-based planning and implementation approach to addressing the sustainable tourism development issues on this famous tourist island.

The Boracay project has been:

- building the capacity of local government units (barangay, municipal and provincial) as well as the local DOT bureau;
- formulating a sustainable development strategy for the island;
- reviewing and recommending appropriate amendments to strengthen Boracay Island's development control system (which includes the Master Development Plan Guidelines and municipal ordinances) based on principles of sustainable development;
- designing and commencing implementation of an integrated solid waste management action plan for the island using a strategic, community-based and participatory approach;
- undertaking an analysis of the island's carrying capacity;
- designing an environmental monitoring system on the island; and
- conducting community participation, outreach, and education activities.

A second phase of the project is now being planned. It will focus on the formation (in cooperation with DOT and the Municipality of Malay) of a public-private consortium to be responsible for the planning, development, overall management, maintenance and promotion of Boracay Island on a sustainable basis.

- With Iloilo City Government, which has requested assistance to do a mini-strategy development process to address the environmental problems of the city. Special emphasis will be placed on learning from the Guimaras experience and finding modes of adapting the process to a different context.

The Iloilo City project on environmental management planning will commence in May 1998. The project will focus on involving multi-stakeholders in assessing and planning for the environmental sustainability of the city.

- With the Municipality of Phuket, Thailand. The Guimaras experience was shared in a 3-day strategy development workshop for the Municipality of Phuket, Thailand delivered by the CUI in partnership with the Urban Management Programme Asia-Pacific. In addition to learning about the experiences of Guimaras, Thai municipal officials were delivered training on how to engage a community in a strategic process of development.

Key Dates

1994 4-month pilot phase involving exchange of professionals between Canada and Guimaras, training on strategy development, and joint project design, as well as the sourcing of funding.

1995-96 Community-based strategic planning process in 96 barangays, 5 municipalities and province. Implementation of land use planning pilot project.

1996-98 Implementation of key demonstration projects in solid waste management, heritage tourism and land use planning skills development

1997-98 Replication of community-based planning process in Boracay Island in partnership with the Department of Tourism and the Municipality of Malay, Aklan Philippines. Current emphasis placed on replicating the process and transferring learning to the City of Iloilo.

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Type of Partner Support: Technical Support

Canadian International Development Agency

Type of Organization: International Agency (Bilateral)

Type of Partner Support: Financial Support

Naga City Participatory Planning Initiatives

Categories:

Urban and Regional Planning:

- budgeting
- community-based planning
- consultative process
- localizing Agenda 21

Urban Governance:

- accountability
- decentralization
- human resources and leadership development
- institutional reform
- legislation
- openness and transparency
- partnership development

Civic Engagement and Cultural Vitality:

- civic education
- community participation

Level of Activity: City/Town

Ecosystem: River Basin

Summary

The Naga City Participatory Planning Initiatives (NCPPI) represent serious and concrete efforts of the City Government of Naga to actively involve the stakeholders of local communities and interest groups as stakeholders to undertake action plans on key health and environment concerns.

These initiatives were launched after a multi-sectoral project planning activity identified three areas for government action: rehabilitation of Naga River; upgrading of the Naga City Hospital; and improvement of solid waste management.

Taking its mandate from a revolutionary "Empowerment Ordinance," the City Government tapped consultants through the Governance and Local Democracy (GOLD) Project for technical assistance on how meaningful people participation and stakeholderism can be ensured for action plans on these key areas. Technical assistance extended under the GOLD Project provided a select group of city and NGO personnel with necessary skills on the highly participative Technology of Participation (ToP) planning techniques.

These skills enabled the city to

- Draft the Naga City River Watershed Strategic Management Plan based on extensive inputs from stakeholders who have approved the plan themselves through a stakeholder congress;
- Draft the Ecological Solid Waste Management Plan (EWAMP) that is helping enhance the system for local solid waste management, and
- Revitalize the moribund City Health Board, which is now managing the conduct of grassroots health planning exercises together with 27 village health councils of Naga. The City Health Plan (which will also guide the upgrading of the city hospital) will be based on the village health plans generated through these community-based planning exercises.

Narrative

- a. Situation before the initiative began

Naga is a city of 135,000 people in Central Philippines. Over the last seven years, it has become one of the recognized models in Philippine local governance, largely because of its effective and innovative program and projects. In fact, its Kaantabay sa Kauswagan programme was adjudged one of the Top 40 Best Practices during the Istanbul Habitat II Conference.

Early in 1995, the City Government saw the need for installing systems and mechanisms that would sustain the development and implementation of its successful programs and projects. It was argued that institutionalizing community participation and stakeholdership in current as well as proposed programs and projects is one sustaining strategy. Further, this is consistent with relevant provisions under the 1991 Local Government Code, which mandated the need for greater participation of the people-through NGOs, POs and the private sector-in local governance.

In response, the city legislature came up with its revolutionary "Empowerment Ordinance of 1996." The ordinance organized and operationalized the Naga City People's Council (NCPC)-the umbrella organization of NGOs and POs in the city-that is envisioned to open up more avenues for greater people participation in governance, including local development planning.

With the Empowerment Ordinance in place, the following issues therefore emerged:

- How can people and stakeholdership participation be ensured in sustained local development planning?
 - How can the City Government, particularly its planning office, develop capability to undertake, manage and coordinate participative planning in the spirit of the Empowerment Ordinance?
- b. Preparing information and clarifying priorities

On June 16 and 17, 1996, the City Government conducted its regular project planning activities. The two-day multi-sectoral gathering identified the following priority concerns:

1. Reforestation of Watershed and implementation of the Naga River Revetment, Dredging, and Beautification Project
2. Sustain and improve Solid Waste Management Project
3. Expansion of City Hospital and Upgrade Equipment and Diagnostic Services
4. Strengthen Sectoral, Barangay and People's Councils' Participation
5. Metro Naga Land Use Plan 6 Bond Floatation and other financial schemes for Central Bus Terminal
6. Update Tax Base
7. Access to Credit through Guarantee Fund Scheme
8. Local Power Generation Viability 10. Institutionalize a Private-led, Government-supported Investment Promotions
9. Program
10. Establishment of Eco-Park at Peñafrancia Island

Interestingly, the identified top priority areas for government action required strategic action planning measures.

In view of the above, the City Government submitted these four priority areas for technical assistance under the auspices of its Naga Participatory Planning Initiatives (NCPPI).

Formulation of objectives, strategies and mobilization of resources

In the context of the above, the NCPPI primarily seeks to ensure sustainability of City Government programs and projects by insuring greater people participation and stakeholdership in local governance.

Specifically, it seeks to:

1. Institutionalize systems and mechanisms that would allow greater people participation in local development planning, and
2. Develop in-house capability of the City Government, through its planning office, to undertake participative planning in the spirit of the Empowerment Ordinance.

The NCPPI, as conceptualized, dovetailed perfectly with the mandate of GOLD Project, a demand-driven technical assistance project of the national government. Nevertheless, it strengthened its hand by virtue of a resolution from the City Council manifesting its support to the identified priority areas.

Needless to say, the GOLD Project extended technical assistance which took the form of extensive training in Technologies of Participation (ToP), a highly participative planning technique, for a select group of personnel from the City Planning and Development Office (CPDO), other key city departments and the NCPC. This group later became trainers and facilitators that helped conduct workshops and consultations that generated inputs for the plans.

At the outset, the City Government already had a wide ranging, pre-defined set of objectives for the NCPPI. A needs assessment conducted by a team composed of city officials and GOLD Project representatives crafted the more focused set of objectives described above. Necessarily, the CPDO was tasked to implement the initiative, given its mandate and functions in the local bureaucracy.

c. Process

At the outset, the main problem confronting the City Government was its limited capability to undertake, manage and coordinate participative planning that would be consistent with salient provisions of the Local Government Code of 1991 and the Empowerment Ordinance.

Prior to the NCPPI, there were inadequate systems and mechanisms that promote people consultation in local development planning. While the city had the needed resources and technical capabilities to implement development programs and projects, it had very limited skills to initiate consultations with its constituency where NGOs have the expertise. In short, the City Government and the NGOs were performing their roles in relative isolation insofar as local development planning is concerned.

This concern was overcome by the technical assistance extended under the GOLD Project that facilitated the transfer of the highly participative ToP planning technique from the consultants to a local corps of trainers and facilitators.

The remaining concern now lies in the proper and effective implementation of the strategic plans that were crafted under the NCPPI (particularly the doabics spelled out): sustain the active participation shown by the people, particularly the stakeholders, even in the implementation phase; and mobilize community resources to support measures and interventions specified under these plans.

d. Results Achieved

Overall, the specific objectives set out under the NCPPI had been realized. Two levels of the consultation process had been effectively utilized and institutionalized-(a) at the Working Committee level focusing on Committees and Task Forces; and (b) Representative Consultations focusing on clusters of villages and citywide consultations. With these, the necessary systems and mechanism that would guarantee greater people participation in local development planning has been put in place.

With the transfer of ToP planning technologies to the local CPDO personnel and its NGO partners, local capability to undertake, manage and coordinate participative planning has also been institutionalized.

e. Impact.

Specifically, the NCPPI brought about the following impact:

- Quantitatively. In terms of consultations, before there had been very limited, sporadic conduct of consultations in local development planning. But in strategic planning for the four priority areas above during a one-year period, the following consultations were held:
 - 21 committee/task force consultations participated in by an average of 24 per session;
 - 5 consultations for village clusters participated in by 498; and
 - 2 citywide consultations participated in by 235 individuals.

In terms of plans crafted, a total of 30 strategic management plans (three at the city level and 27 at the village level) were developed and completed within the same period:

- The Naga City River Watershed Strategic Management Plan which provides specific directions and needed interventions for the rehabilitation and protection of the Naga River and its watershed over the next 10 years;
- The Naga City Solid Waste Management Plan which specified measures and interventions to improve the solid waste management system in the city; and
- A city health development plan and 27 village health plans that are currently undergoing integration at the city level which would help improve the delivery of health services at the community level and upgrade the City Primary Hospital as a center for wellness and curative health services.
- Coordination. Through these consultations, better coordination between actors in the local development process and integration of their respective plans were achieved--the city government and its offices and agencies; its NGO partners under the auspices of the NCPC, individuals and volunteers with stakes in the priority areas; as well as concerned national government agencies like the Department of Environment and Natural Resources, the Department of Public Works and Highways, and the Department of the Interior and Local Governments.
- Policymaking. In terms of local policymaking, the NCPPI attained the following:
 - (i) facilitated the revitalization of the City Health Board (CHB), the city's highest policymaking and direction-setting body in health, and the allocation of budgetary support for its activities by the City Council;
 - (ii) helped enact a number of ordinances, including one that officially adopted the Naga City River Watershed Strategic Management Plan and its proposed strategic interventions, including the creation, budget allocation, and staffing of the City Environment and Natural Resources (ENRO) Office; and
 - (iii) caused the issuance of executive orders that mobilized human and financial resources for the priority NCPPI activities, both from the city government and from its NGO partners.

• Institutional Development. In terms of institutional development, the NCPPI caused the creation, budget allocation and staffing of the City ENRO, a new office mandated to implement the Naga City River Strategic Management and the Solid Waste Management plans; develop and implement other environment programs, projects and activities of the city; and attend to all other local environment concerns. This provides organizational consistency, single-point accountability and clarifies functional overlaps--a marked improvement from the previous situation where separate offices, bodies and agencies of the city government are implementing varied environment activities.

Also, the NCPPI caused the revitalization of the CHB and allocated budgetary support for its activities. Whereas before the CHB is a non-functioning paper tiger, today it:

- (i) has been fully reactivated (indicated by the fact that for its first six months of revitalized existence, the CHB held 9 meetings and passed 11 resolutions, a significant improvement from previous inactivity).
- (ii) its membership was expanded from six to 11 members.

- (iii) systematized its operating procedures through organizational restructuring, function and roles clarification and activity planning.
- (iv) successfully integrated various activities of health-related offices of the City Government
- (v) and has in fact begun extending technical support to local legislation.

Parallel to the reactivation and revitalization of the CHB was the organization of Barangay Health Councils in each of the city's 27 villages that would implement their respective village health plans in partnership with the City Health Office.

- Partnerships. Similarly, institutionalization of partnerships was accomplished at the city and village levels.

At the city level, the NCPPI provides opportunities for the City Government and its planning, environmental and health agencies and bodies to forge and institutionalize partnerships with the NGO sector (represented by the NCPC), individual volunteers and stakeholders and concerned national government agencies. A concrete example of this is the expanded CHB where the private sector was given two seats, the NCPC one and the Philippine Dental Council another. National government agencies, on the other hand, are represented by the Departments of Health (DOH) and the Interior and Local Governments (DILG).

At the village level, each Barangay Health Council also consists of representatives of the NGO operating in the area (under the umbrella of the NCPC) as well as private health volunteers in addition to elected village officials.

- Opportunities for change. Taking its cue from the mandate of the Local Government Code and the Empowerment Ordinance, the NCPPI significantly increased the level of awareness of the population and enhanced their participation in governance, both at the city and village levels. This has radically altered the configuration-from relative isolation and distrust in the past to one of mutual cooperation and healthy partnership between the program actors today
- Resource allocation. At the city level, the City Government allocated a total of \$75,000 for health and environment initiatives under NCPPI for the last two years, including \$25,000 this year. This year's allocation, however, was matched by \$7,500 from the Naga City People's Council; \$4,600 from the City Health Board; and \$9,450 from the Association of Barangay Councils, bringing the total to \$46,550 which approximates the \$50,000 spent by the City Government in 1997.

At the village level, the city's 27 villages allocated a total of \$32,740 for various grassroots-based health initiatives identified during a series of clustered village health planning exercises that ended last April 1. This was a dramatic improvement, given the fact that there was no systematic village budgeting that focused on and prioritized health service delivery during the preceding years.

Attitudinal and behavioral changes. Finally, the NCPPI brought about concrete attitudinal and behavioral changes among program partners, generally from relative isolation to productive and empowering partnerships.

For city government agencies, increased awareness of the importance of and respect for people participation in development planning was engendered, resulting to superior, implementable and realistic plans.

For the NGO sector, the NCPC overcame its traditional distrust and adversarial approach towards the city government (although a healthy critical perspective remains). This is a hurdle that was eventually cleared through willingness to cooperate with one another for the common good. This willingness, on the other hand, stemmed from confidence brought about by the "Empowerment Ordinance" and the city's track record of openness towards GO-NGO-PO partnerships.

At the village level, there was the empowerment engendered by the knowledge learned through the use of a highly participative health planning tool (the ToP) with potentially wide-ranging applications. Willingness to cooperate and participate in community development activities was also greatly encouraged in the process.

f. Sustainability

One major strength of the NCPPI is its minimal dependence on external assistance. It entailed no loan covenants nor cost-recovery mechanisms as its implementation required minimal resources. At the outset, the more compelling need is for participative planning tools and technologies, but this type of need is one-time and non-recurring. Effective transfer of technology easily overcomes it.

Thus, the integration of political, social, environmental and cultural elements of sustainability for the NCPPI was achieved mainly through the following:

- Enactment of ordinances and issuance of executive orders promoting participative governance. The "Empowerment Ordinance" stands out as an example of this.
- Social preparation in villages undertaken in partnership with NGOs. The city government recognized that social preparation is not its strength but that of its NGO partners in the NCPC. By allowing the NCPC to focus on its specialization, the basis for productive partnership was further reinforced. At the same time, it also prepared the villagers to become productive actors themselves in the development planning process.
- Installation of partnership systems and mechanisms based on competence and specialization. The bottom line is: for the partnership to work, each one needs the other.
- The process itself. One advantage of participative planning is that it surfaces early on which strategies are culturally acceptable and which ones are not. This minimizes resistance in the implementation phase.

g. Lessons Learned

The following are the emerging lessons from NCPPI's implementation.

- Effective participative planning should be founded on a strong shared vision and development principles. In Naga's case, the "Empowerment Ordinance" that operationalized the people and community empowerment principles laid down under the 1991 Local Government Code provided such a solid foundation.
- Local development planning is an area where greater people and stakeholders participation in local governance can be engendered and made possible.
- Public consultations can be mainstreamed through wide-ranging multi-level consultations-at the committee, village and city levels. On the whole, these consultations are one effective strategy for encouraging and increasing stakeholders support for local development programs, projects and activities.
- In the absence of local capability in participative planning, there are tools and technologies available but these must be transferred effectively to local development planning actors for it to matter and become meaningful.
- Partnership systems and mechanism enable local initiatives to access community resources (particularly the private sector), thereby augmenting the city's limited resources.

h. Transferability

In view of the above, the NCPPI in whole or in part is easily transferable, mainly because

- The needed tools and technologies are readily available and transferable
- It maximizes human resources, which are almost always available
- It does not need, and is not dependent on, substantial financial resources for implementation.

In fact, during a conference sponsored by the GOLD Project on January 27-29, 1998 in Manila where the City Government participated, a number of Philippine cities and provinces have manifested their intention of replicating the NCPPI. Toward this end, a process documentation is now being prepared to facilitate replication.

Key Dates

- December 20, 1995 - Enactment of "Empowerment Ordinance"
- June 16 and 17, 1996 - Multi-sectoral project planning activity conducted
- July 23, 1997 - Revitalized City Health Board meets for first time
- November 14, 1997 - Stakeholders Congress for the Naga River Strategic Management Plan
- March 11, 1998 - First of four clustered village health planning workshop starts

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Type of Partner Support: Financial Support

Fighting Poverty Through Sustainable Farming Practices in Initao

Categories:

Technology, Tools and Methods:

- appropriate technologies
- training and capacity building

Poverty Eradication:

- access to credit
- income generation

Economic Development:

- capital formation
- cooperative opportunities

Level of Activity: City/Town

Ecosystem: Tropical/Sub-Tropical

Summary

The central concern in rural transformation is how to rapidly improve the living conditions of severely disadvantaged farming families comprising the land-less, near land-less and daily wage earners? This sector is very vulnerable to disadvantageous economic policies and poverty has tied them to a vicious cycle of hunger, poor health, malnutrition and general malice.

The answer we found is by the provision of draft animals on a low-interest loan scheme coupled with the promotion of sustainable farming practices, social mobilization and training. The result is that the hitherto asset-less and voiceless small farmers in the municipality of Initao where this project is implemented has increased incomes and widen their economic base, improved farm productivity, enhanced family security, promoted gender equity and increased participation in the life of the community.

A farmer without a draft animal is considered crippled as he must resort to costly and inefficient means to cultivate his farm. The draft animal provided by the project proved tremendously to be the most useful, versatile and economical asset the farmer possess as it provided direct and multiple economic benefits in the form of: animal labor for hire, increment in weight and market value of the animal, offspring (if female), aid in hauling farm produce, even carrying the local beauty during festivals.

The project negates the idea that the rural poor are not bankable and rapidly breaks the cycle of poverty, powerlessness, low productivity and marginalization of small farmers. This project is innovative given that most attempts to increase the well-being of rural farming families falls short of expectations because they do not meet squarely felt needs, because it is psychologically inaccessible or because it instead benefited the better off in the community.

Narrative

Situation before the initiative began

About 90% of the population in Initao municipality (35,000 in 1994) are farmers growing corn, bananas, camote and coconuts and a majority of them are small, marginal farmers without draft animals. The farmers without draft animals suffers low farm productivity and unable to efficiently develop their farms since they will be using hand tools or have to rent other animals, low incomes and generally had poor living conditions. They have no access to credit except the middlemen that charges interest rates of up to 250% per year! Banks are psychologically distant to the small farmer given their inferiority complex and "low class lifestyle".

They cannot spare a minute to attend to community activities whilst they and their family go hungry for the day, they cannot diversify and plant trees and wait for it to grow as they need food here and now, cash loans are only used to buy food and necessities.

Preparing information and clarifying priorities

Community consultations were undertaken in order to prepare information, determine strengths and weaknesses and to identify priorities and opportunities. The so called Technology of Participation (TOP) was utilized which provided the process wherein local stakeholders themselves, in a demand-driven, participatory, fast-paced and transparent manner define their own situation, formulate their own vision and goals, define strategic directions and formulate their own action plans. The technology emphasizes individual and group brainstorming, small group discussion and workshops. The brainstorming process assures that key ideas coming from the individual and the group are considered and consensus arrived at. Annual re-planning and general monitoring and evaluation activities were also done using the TOP technology.

Formulation of objectives, strategies and mobilization of resources

There were 3 main objectives of the project, a) provision of draft animals to resource-poor farming families, b) improve their knowledge and skills in animal management and sustainable farming, and c) rural organizing.

To generate technical and financial support, a proposal was developed with elements largely based on learning of a similar program being implemented albeit on a micro-scale and using the TOP Technology cited above during the program formulation process. Linkages with local and foreign partners were then initiated. SEHRDEP assisted in catalyzing prospective beneficiaries and technical/fund supporter so that realistic targets could be set. Political support was mobilized by involving the municipal local government unit in the planning and provision of technical expertise via the agriculture department. The agriculture department of the locality has a total of 9 technicians available and helping in the project. Major fund supporter of the project is CEBEMO based in the Netherlands which provided about 50,000 USD for a 3-year program starting in January 1997.

There are 3 main leaders who assumed roles in implementing the project, these are: a) SEHRDEP direct project officers because they provide the catalytic and technical know-how and guided the project participants in ensuring that key agreements are followed and, b) the NAKAGAMA Farmers Federation which provides the arena for peoples' participation and project administration and management (NAKAGAMA means "Nagkahiusang Kapunongan sa Gagmay nga Mag-uuma" or Federation of Small Farmers' Organizations), c) the 15 community-based organizations directly implementing field activities.

Process

One problem was faced in implementing the project and this was how to overcome the dole-out mentality of the people. The main reason for the dole-out mentality is that so many projects have failed especially in income generating and revolving fund projects. The Philippine Government has treated project inputs in the past as leverage during elections, as carrots to prop up an unpopular regime, etc. This was overcome by treating everyone fairly and equally and by following in a strict business manner what has been agreed by the community associations and SEHRDEP officers. Two of these are: no certificate of ownership will be given until there is full repayment and confiscation of the animal after 3 repayment defaults.

Results Achieved

Early during the project the following indicators were set: income, farm production, number of local associations formed and functioning, ability to access additional resources, adoption of sustainable farming technologies and presence of functional farmers' federation. Annual monitoring using a simple format was done.

Results showed that:

In terms of incomes, farmers were able to generate incomes from being hired in other farms (7,200 pesos per farmer per year), own savings as a result in no longer hiring animals (3,314 pesos per farmer per year), 21 offspring owned by 9 farmers valued at 105,000 pesos. Added to this is animal weight increment but data in this aspect was not gathered. Note: 38 pesos = 1 USD. 1 mature cow or carabao is 12,000 pesos. This is not yet counting the income in farming and the improvement in land valuation as a result of contour farming and the planting of perennial crops.

In terms of environmental enhancement, all farmers, given more free and productive time as labor is greatly reduced, practiced varying degrees of sustainable farming practices consisting of multiple and multi-storey cropping, contour farming, tree enterprise and crop-animal integration. Realizing that no two farm and farmer is alike, SEHRDEP provides guidance through participatory farm planning and budgeting as to what is the most lucrative combination given a piece of land and the financial capacity and ability of a farmer.

In the arena of decision-making, 15 community-based organizations and 1 farmers federation are now able to plan, manage and implement their own activities with minimum intervention. The local associations have their own set of officers, keeps their financial books and accounts, assist in repayment collection, assist in training new members, conduct their own meetings, determine who will qualify as the next participant and solve internal problems.

Decision-making and the sharing of the fruits of family labor in the home is given importance as the project is family-centered whilst before the usual focus is the male farmer and his welfare. The gender and development dimension emphasized through training and coaching sessions provides a conscious sharing of labor in the home from among the husband, wife and children. Our data shows that the wife most often keeps the purse and prioritize food and basic necessities in spending.

In terms of use and allocation of human, financial and technical resources, several partners are now cooperating with SEHRDEP and the community based associations. These institutions located internationally and locally have infused funds, technical expertise and further contacts. They have also promised support for replication, clearly seeing that breakthroughs have already been made.

In terms of changing people's attitudes and behavior, the value of self-help mutual-help is being practiced via the community-based organizations and in undertaking group farm work whereas before family pervades. The dignity of a person and self-worth has intensified rather than fatalism and inferior attitude. Doie-out mentality has been erased and replaced with the attitude of self-reliance and co-responsibility.

Sustainability

The key to sustainability is what is called as Passing-on-the Gift (POG). To illustrate this element, for example there are 12 participants receiving 1 animal each during the first year valued at 12,000 pesos each animal. On a 5-year repayment scheme at 12% interest rate per year, the 12 will be able to pay 2,688 pesos each or a total of 32,256 pesos on the first year. Note that the repayment of 2,688 can easily be had by just hiring the animal to other farms in 22 days per year (or 2 days per month!). This amount will be used to buy 2 more animals for the next set of beneficiaries. This process will go on and on compounding as the years go by. Administrative and overhead cost will be taken from interest income and penalties. As shown in the CEBEMO-funded project, we originally requested fund for only 70 draft animals but project an increase in the number to 96 or 137% in just 3 years time.

Hence, the total independence from external sources is computed at just 3 years of project implementation. This is also the time line for achieving self-sufficiency as the community-based organizations are able to run the whole set-up on their own since a major component of the project is catalyzing the community associations to be self-propelling by infusing skills in the areas of local governance, financial management, board control, technical and managerial.

In terms of socio-economic and environmental integration, the project is fine-tuned to the socio-economic milieu (i.e. increase in social status with the ownership of an animal, economic independence, no need for

fuel and repairs compared to when machines are employed in farming). Environmental integration is achieved in the promotion and practice of crop diversification and multiple cropping.

Lessons Learned

The main lesson learned which was on the aspect of passing-on-the-gift was actually patterned after a similar program implemented by the Xavier Agriculture Extension Services of which SEHRDEP was a conduit for 20 animals distributed among 20 farmer participants.

Three most important lessons learned includes:

- a) Draft animals coupled with the promotion and practice of sustainable farming tremendously increased farmers level of living, break the vicious cycle of poverty and powerlessness and improve the environment.
- b) Community organizing coupled with good economics spelled early sustainability of the project.
- c) Institutional linkages and partnership is necessary as each player assumes unique roles, i.e. Farmers and their associations as subject and object of the initiative. SEHRDEP as organizer and facilitator. HPI, CEBEMO and others as enablers.

Transferability

Others can learn lessons in terms of the process of pass-on, formation and strengthening of community-based organizations, setting operational eligibility criteria and promotion of sustainable farming technologies.

The initiative has already been replicated in 5 municipalities in Bukidnon province, the Philippines and in 4 other municipalities in Misamis Oriental. This will soon be replicated in the neighboring municipality of Manticao with assurance for another funding from the Heifer Project International. A nearby province, Lanao del Norte has sent representatives to observe the process and pre-operational planning has already been done.

Most important is that community leaders coming from Vietnam, Cambodia, Thailand and Myanmar has already visited the municipality to learn from the project. Funding agency representatives coming from the USA, Australia and the Philippines have also come to observe.

Two of our farmer-leaders who won regional (Asia-Pacific) awards and ourselves are the resource persons. A 15-minute video documentation is available and was presented to development workers in a national conference last month.

All of the project components can be easily transferred to other farming communities using animal power in the Third World.

Key Dates

1. June 1984 - Establishment of SEHRDEP and registration with the Securities and Exchange Commission as a non-stock, non-profit organization. SEHRDEP is the only social development NGO working with the disadvantaged folks in Initao and neighboring municipalities of the province of Misamis Oriental.
2. August 1986 - First attempt at revolving loan system and animal dispersal which turns into failure. Systems and procedures were lacking and capability-building not implemented.
3. January 1994 - Linkage with Xavier Agriculture Extension Services (XAES) of Xavier University, with XAES providing 20 draft animals and SEHRDEP trained to handle the organizing and training of the participants.
4. January 1997 - Was able to access funds from CEBEMO, The Netherlands for consolidating and expanding the results of the XAES linkage. The funds initially support dispersal of 70 animals to same number of beneficiaries and to reach a total of 166 animals during year 3 with the 96

coming from repayments. The German Doctors for Developing Countries also provided support for the dispersal of 25 animals to complement the project and training grant.

5. March 1998 - Presented the lessons of the project (video and text) in a national conference on animal production and rural development. A project participant won a regional award, Golden Talent (prize 1,000 USD and a trip to Thailand). HPI notified SEHRDEP the availability of funds for expansion of the initiative to other areas and a new proposal to cover another municipality has already been packaged.

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Type of Partner Support: Financial Support

CEBEMO (Netherlands)

Type of Partner Support: Financial Support

Type of Organization: Local Authority

Type of Partner Support: Political Support

Feast of the Nature in Palawan (Pista ng Kalikasan sa Palawan) Program

Categories:

Poverty Eradication:

- income generation

Economic Development:

- enterprise development (formal and informal sectors)

Environmental Management:

- ecological sustainability
- environmental health
- environmental remediation
- environmentally sound technologies
- pollution reduction
- urban greening

Level of Activity:

Ecosystem: Island

Summary

Pista ng Kalikasan was launched on June 19, 1994 through Executive Order No. 15-94 issued by Governor Salvador P. Socrates. It is a movement to mobilize people from all walks of life with an end goal of enhancing Palawenos environmental awareness through tree planting. Pista ng Kalikasan kicks off every 19th day of June each year. Its main activity is a year-round planting, maintenance and protection of industrial trees, fruit trees, mangrove species, ornamentals and medicinal plants in designated areas province wide. The Office of the Governor leads, coordinates and monitor Pista ng Kalikasan with the participation of all government of all agencies, Local Government Units, Non-Government Organizations, civic and religious groups. In the municipal level, the Mayor together with members of the Municipal Government spearhead the activities.

The Palawenos response to the Pista ng Kalikasan has been very encouraging. Planting a million trees and mangroves takes place in a festive atmosphere where the spirit of volunteering or the concept of "bayanihan" prevails. Families, friends, co-workers, NGOs, private civic and religious groups get together unmindful for the long walks and the heat of the sun to the planting sites.

Since its inception, with an annual budget of P 200,000 for the procurement of seedling bags, seeds, propagules, monitoring and evaluation, Pista ng Kalikasan has successfully planted over three Million trees in more than 2,000 hectares of land province wide, directly benefiting 120,000 Palawenos. From 1997, Pista ng Kalikasan became a component of the Search for the Cleanest and Greenest LGU in the form of a contest. Thus the festival contributed significantly to Palawan's winning the Cleanest and Greenest Province award for three consecutive years from 1996, 1997 and 1998 to eventually become the first Hall of Fame Awardee in the provincial level. This accomplishment beholds the constituents with high degree of pride and deep sense of unity. Indeed, residents of Palawan never felt more than any way before how good it is to be a Palaweno. Pista ng Kalikasan have just won the 1998-1999 Gawad Galing Pook of Galing Pook Awards. It was conferred to Palawan by the Center for Development Management of the Asian Institute of Management in cooperation with the DILG through the Local Government Academy.

Narrative

SITUATION BEFORE THE INITIATIVE BEGAN

The Province of Palawan has the highest forest cover in the Philippines i.e. 54% in 1988 (Source: Satellite imagery from SPOT). In spite of the province large forest cover, experts say and advise that we have to maintain at least 70%. (We are already short of 24% or 358,000 hectares of its total land area of 1,4489,655 hectares) because of its delicate bio-physical structure. Mainland Palawan has a long but narrow stretch of land. The widest stretch is only 44 kilometers (i.e. coast to coast) while the narrowest is

only eight kilometers. It is mountainous with limited flatlands resulting to immediate loss of precipitation and excessive erosion.

The rapid forest denudation is indeed very alarming. This problems/issue have effects and impact on the ecological balance of nature such as erosion, siltation of creeks, rivers and estuarine areas, putting to the brink of extinction of flora and fauna that are endemic to Palawan, reduction of water supply, drought, flood, reduction in food production, aggravates greenhouse effect and global warming and other catastrophes. Erosion and siltation have damaging effects in the marine environment specifically in the death of coral reefs that will eventually lead to the reduction of coastal and marine resources.

Given this situation, the Provincial Government of Palawan launched the "Pista ng Kalikasa" (Feast of the Nature) as part of its ongoing ecological impact of tree planting. Tree planting contributes to economic development/poverty alleviation because of the high demand of wood products. Tree farm enterprise (i.e. for economic purposes more than ecological ones) has been the recent trend in the Philippines and Southeast Asia.

ESTABLISHMENT OF PRIORITIES

The "brains" of the program prioritize to form a core group at the provincial, municipal and barangay/community levels. Functions of these "warm bodies" include planning of what are the activities to be done, who shall do the activities i.e. division of labor when and how the implementation and monitoring and evaluation of the program shall be pushed through/carried out.

The second priority is the massive information, education and communication (IEC) through the use of audio, audio-visual and prints media. This priority activity is imperative in order to entice people's participation especially at the barangay/village/community level. There is a need to "inculcate" into the hearts and minds of Palaweños the ecological and economic importance of planting trees and other "must do's" to promote sustainable development of Palawan's remaining natural resources.

Other priorities were put in place such as: the on-time production of seedlings by participating Local Government Units (LGUs), National Government Agencies (NGAs), Non-Government Organization (NGOs), People's Organizations (POs), private tree planters and communities; the identification of planting sites where the province and municipalities shall start the yearly ceremonial "kick-off" of the program; the coastal clean-up; search for municipalities who are the yearly best performers of the program and most of all: the planting of not less than one million trees per year.

FORMULATION OF OBJECTIVES AND STRATEGIES

The short-term goal is to reforest/rehabilitate denuded areas in Palawan and to increase and maintain the 70% forest cover. The long-term is to improve the quality of life of Palaweños through the development of tree enterprise both for economic and ecological purposes. The short-term objectives are: to plant one million different species of forest trees, fruit trees, mangroves, ornamental and medicinal plants per year and to inculcate into the hearts and minds of Palaweños the economic and ecological importance of planting trees.

There is a need to involve all sectors of the society in order to fully realize the program's goals and objectives. Hence, the "brains" agreed to include not only Non-government Organizations (NGOs) People's Organizations (POs) and Military Sector but even the religious sector.

All of the program's goals/objectives and strategies were formulated through series of workshop meeting of "warm-bodies" who belong to different participating organizations/offices and/or sectors of society.

MOBILIZATION OF RESOURCES

The meager fund of P 200,000 i.e. equivalent to US \$ 5,000 (inclusive of the fund to support the Clean and Green Program of the National Government) is utilized during the ceremonial kick-off of "Pista".

Usually, this kick-off is done in a municipality where the Provincial Chief Executive prefers to choose. Sixty-three per cent of the aforesaid amount is allotted for trophies and cash prizes for winning municipalities. The remaining 37% is used for travelling expenses and other Maintenance and Other Operations expenses (MOOE) of the Provincial Search Committee for winners of "Pista" and Clean and Green. Municipal LGUs who participated in the contest use their own human and non-human resources to win the same.

With regards to mobilization of human resources by the Provincial Government of Palawan, a multi-sectoral core group at the provincial level is organized that will oversee the operation of the program. Municipal and Barangay (Village) LGUs also created their respective core group and/or working bodies. The term "multisectoral" means the core group is represented by LGU-Palawan, National Government Agencies, Non-Government Organizations/People's Organizations, Military Sector, private Sector and even the Religious Sector.

PROCESS

One of the problems encountered in the implementation of the program is the difficulty in obtaining the actual number of trees planted per year. The data during ceremonial tree planting by 21 municipalities is easily recorded including the number of surviving trees. The statistics regarding the plantation established by private tree growers was more difficult to get. However, due to continuous support of participating organizations, specially the Palawan Tropical Forestry Protection Program (PTFPP) and the Department of Environment and Natural Resources (DENR), the aforesaid problem was addressed.

Another problem/issue raised was the use of exotic species of industrial trees that are fast-growing like Paper Tree (*Gmelina arborea*), Big-Leafed Mahogany (*Swietenia macrophylla*), Falcata (*Albizia falcataria*), Mangium (*Acacia mangium*) etc. Although these trees are fast growing i.e. can be harvested and used as construction materials from 7-25 years of age; it has some disadvantages like decrease in volume of water of springs, allelopathic effect to other plants like in the case of Paper Tree), outbreak of pests and diseases because of monoculture and "biological pollution). Such problem issue is being addressed by mixing endemic species of trees like Narra (*Pterocarpus indica*), native Acacia (*Samanca saman*), Agoho (*Casuarina equisetifolia*) etc. and fruit trees. For this year and succeeding years to come, the brains of the program shall be introducing fast-growing tree species that are endemic to Palawan such as the Kaatoang Kalantas (*Toona kalantas*) and Bagalunga.

A perceived problem is the continuity of the program even beyond the term of the incumbent governor which will terminate on May 2001, the next leadership may or may not continue the program. In order to address this problem, a resolution to be passed by the Palawan Provincial Development Council and the highest law-making body of the province i.e. Sangguniang Panlalawigan (Provincial Board) that will adopt Pista ng Kalikasan sa Palawan Program as one of the long-term programs of the Provincial Government is being worked out. One of the main provisions of the resolution is the continuity of the program until the 70% forest cover of the province has been realized/attained.

Municipal Local Government Units participate in the program by joining the yearly search for Pista ng Kalikasan sa Palawan Best Performer Award. The Palawan Council for Sustainable Development Staff serves as overall coordinator. The tri-media provided support by information campaign and environmental education. The Palawan Tropical Forestry Protection Program, Department of Environment and Natural Resources and Department of Agriculture provides the provincewide survey of plantations, seedling production and technical assistance on silviculture. Students and teachers produce seedlings and participate on tree planting and cleanliness activities. Non-Government Organizations, private/business, military and religious sectors lend vehicles and participate in tree planting and cleanliness drive. Most of all, the community/barangays/villages produce their own planting materials, lend vehicles, haul seedlings and actively participate in tree planting and cleanliness campaign.

RESULTS ACHIEVED

One of the short-term objectives of the program is to plant one million trees of different species per year. The 1996-1996 (?) provincewide plantation survey conducted by the Palawan Tropical Forestry Protection Program and the Department of Environment and Natural Resources showed that a total of 2,537, 255 trees has been planted by private tree growers. This does not include the number of trees planted in public places/public land during the yearly commemorative tree planting. It shows that the aforementioned objectives of planting one million trees per year were surpassed.

Another short-term objective of the program is to inculcate into the hearts and mind of Palawenios the ecological and economic benefits of tree enterprise/planting. This is being realized by the fact that ordinary community members are producing their own seedlings and actively participate in ceremonial tree planting. Participants on ceremonial kick-off age one to 94 and the latest statistics on the annual number of attendees provincewide is 53,000

One of the major results/impact of the program is increased in density of coastal and marine resources. For instance, the communities in the municipalities of Cuyo, Magsaysay and Aborlan observed that bivalves, mollusks, coelenterates, crustaceans, and fishes abound/flourished within a span of one to two years after planting mangrove propagules.

Another significant result of the program is the change in local policy. Since the hectareage of industrial tree plantation is growing by geometric proportion (e.g. many coconut growers have cut their coconut trees and substituted industrial trees). It prompted the environment and natural resources offices (both local and national) operating in the province of Palawan to conduct fora/symposia/meeting to "expedite" the processing of permits for planted trees.

We would like also to include as a result/impact of this initiative is the better coordination and integration of organizations/institutions whether national and local government, non-government, private, military and religious sectors. Each group contributed a lot in accomplishing the common goals and objectives. As a result of this harmonious working relationship, the program won the prestigious 1998-1999 Gawad Galing Pook or Galing Pook Awards. This is a national award. It was conferred to the Provincial Government of Palawan by the Center for Development Management of the Asian Institute of Management in cooperation with the Department of the Interior and Local Government through the Local Government Academy

Key Dates

June 19-1994 -launching of the program

June 19 -yearly ceremonial kick-off of "Pista"

June 19, 1997 -"Pista" celebrated ceremonial kick-off in the municipality of Araceli

October 1999 -Palawan won the Cleanest and Greenest Province Hall of Fame Award

October 1999 -"Pista" won a national award

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Agroforestry Support Prog. for Empowering Communities Towards Self-Reliance

Categories:

Environmental Management:

- ecological sustainability
- environmental remediation
- environmentally sound technologies
- resource management

Land Use Management:

- land development
- land-use planning
- open space conservation

Civic Engagement and Cultural Vitality:

- community participation
- social and cultural vitality

Level of Activity: Provincial/State

Ecosystem: High Plateau

Summary

ASPECTS aims to strengthen the capacities of the partner communities to build and maintain their very own farmer training centers as venue for the community-managed agroforestry extension services (CMAFES). At the same time, ASPECTS aims to strengthen the agroforestry education, research and extension programs of the collaborating schools to produce quality agroforestry graduates who can help increase agricultural productivity, and maintain food security and ecological stability. The Program also aims to study effective ways of linking upland communities with sources of development assistance, and organize and provide agroforestry support services to the schools and the communities.

ASPECTS works in three pilot sites covering the three island groups of the Philippines - Benguet in Luzon, Iloilo in Visayas, and Misamis Oriental in Mindanao. The three partner communities have varying attributes, particularly on the basis of the inputs and nature of intervention that have been provided in the area. The three collaborating schools, meanwhile, represented the spectrum of schools offering various degree programs in agroforestry. Considering the multi-level structure of the Program, ASPECTS employed the multisectoral strategy by enhancing the participatory approach in project planning and management through the organization of program management teams and Project Facilitating Teams (PFTs). The PFTs are composed of representatives from the collaborating schools, partner communities, and the participating or member institutions working in the respective sites. They facilitate the implementation of project activities and enhance synergy among the collaborating agencies in each of the three sites.

The three-year implementation of ASPECTS assisted the partner communities to form new and strengthen existing people's organizations (POs) that would serve as lead actors for CMAFES. Through the Program, agroforestry farms were improved, better marketing strategies were employed, and the pool of farmer-trainers with technical capabilities in agroforestry was strengthened. Moreover, ASPECTS was able to organize the POs into training management groups, improve physical training and field facilities, and develop better networking capabilities for the POs.

ASPECTS also enabled the collaborating schools to develop and increase their pool of agroforestry faculty, improve library resources in agroforestry, and develop appropriate agroforestry education programs. Through ASPECTS, the schools' field facilities were developed and strengthened, close collaboration among the schools' concerned units was attained, and the potentials of the schools as Centers of Excellence were harnessed. More importantly, the schools were able to internalize the culture of reaching out to the grassroots through the grassroots-extension program of ASPECTS.

The multisectoral partnership promoted by ASPECTS intensified agroforestry development and promotion in the municipalities, province and region. At present, the continuity of ASPECTS is being handled by the re-structured PFTs in the respective regions. These new PFTs plan to fully operationalize CMAFES, provide skills training to the farmer-trainers, increase the number of demonstration farms, radiate CMAFES to other areas, and sustain linkages with other concerned agencies.

Narrative

Situation Before Initiative Began

Before ASPECTS began, potential partner communities and collaborating schools were visited and their representatives interviewed. Results were used as basis to select the partner community and collaborating school each for the Luzon, Visayas and Mindanao sites.

Exploratory visits revealed that the partner communities' leadership potentials could be strengthened, the farmer-trainers need additional agroforestry skills, and that majority of the PO members in ASPECTS-Luzon and -Visayas were inactive. Participation of the women was also found active in every organizational activity of the existing POs. In ASPECTS-Mindanao, the visits showed that the community has yet to be organized. Some agroforestry technologies were also practiced in very few farms and few income-generating projects were implemented. The communities have linkages with the local government and government agencies at a minimal level. All the partner communities were found to be accessible to any type of transportation, although roads were impassable during rainy season.

The collaborating schools, meanwhile, were found to have few faculty members equipped with agroforestry knowledge and skills. The curricula being offered by the schools have developed the students' entrepreneurial skills in agroforestry and interest in agroforestry farm development. All the schools have field demonstration and experimentation areas. They have also established linkages with other academic and research institutions, and to some extent some government agencies. All the schools do not have the grassroots-oriented extension programs that reach out to communities within their vicinities. These communities oftentimes serve as the laboratory areas of the schools' students.

Establishment of Priorities

ASPECTS primarily worked to build the capacities of the upland farming communities to maintain community-managed agroforestry extension services (CMAFES). This endeavor aimed to increase farm productivity, maintain ecological stability, and develop efficient extension organizations. To achieve these goals, technical capability-building programs such as on-site training courses in agroforestry, livelihood, management, and leadership aspects are being conducted among the existing and potential farmer-trainers to enhance their technical and management skills. Participatory project planning and implementation are likewise being done to enable them to realize the value of community participation in any project endeavor. Various strategies are being employed to strengthen the existing people's organizations that would take the lead in the establishment and maintenance of CMAFES. Field facilities such as the farmer-owned and community-managed demonstration farms, and the physical training facilities, were established as support systems in the implementation and management of the people's organizations' own training programs. Income-generating activities/projects were also initiated to improve the livelihood of the farmers while sustaining the operations of the people's organizations.

The Program also strives to strengthen the agroforestry programs of the three collaborating schools. Hence the implementation of staff development programs (i.e. formal and non-formal programs) for the faculty members involved in the implementation of agroforestry curricula. ASPECTS also developed the culture of reaching out, and opened avenues for establishing the schools' grassroots-oriented extension programs in agroforestry. Likewise, opportunities for farm-based research and technology development allowed the schools to further strengthen linkage with the farming communities. Altogether, these school-level activities led toward developing more pro-active and responsive agroforestry curricular programs that would address the issues and concerns confronting sustainable upland development.

Essentially, the multisectoral partnership that was employed by the partners in project-level implementation of ASPECTS served as a mechanism to develop synergy among the participating organizations. Thus facilitating the implementation of the community and school-level priority activities.

Formulation of Objectives and Strategies

ASPECTS was conceptualized by Dr. Romulo del Castillo (IAF Director) based on his active involvement in the 15-year implementation of the Upland Development Program (UDP) of the Department of Environment and Natural Resources. From the lessons learned in UDP, ASPECTS hopes to build a grassroots-oriented extension model of empowering communities while strengthening the agroforestry programs of the collaborating schools. Unlike other development projects which are channeled through NGOs and government agencies, ASPECTS harnesses the potentials of agriculture and forestry schools to reach out to the communities - thereby assisting them in establishing and maintaining the community-managed agroforestry extension services. More importantly, ASPECTS hopes to study and institutionalize effective ways for partner communities to link with sources of development assistance, while providing other agroforestry support services.

The objectives of ASPECTS were formed with the ideas of making multisectoral partnership work and utilizing participatory project planning, management and implementation. We believe that joining and collaborating with other agencies from various sectors, and involving the communities in all aspects of planning, managing and implementation are the only means to attain sustainable upland development. Hence, the Project Facilitating Teams in all the sites manifest the collective efforts of the organizations to plan and manage ASPECTS activities at the project sites.

Mobilization of Resources

Consistent with its goal of promoting multisectoral partnership in project implementation, the project involved a number of member-institutions that are mostly those implementing existing projects either in the collaborating schools or partner communities. Representatives from these organizations (i.e. local government units at the provincial, municipal and barangay levels; non-government organizations, research institutions, and national government agencies) are actively involved in the Project Facilitating Team (PFT), one each for Luzon, Visayas and Mindanao. These PFTs facilitate and oversee the overall implementation of activities at the three project sites. In project sites where there are already existing community organizers, their respective institutions allowed them to serve as the part-time community organizers of ASPECTS. Capable leaders of the people's organizations are tapped as local community organizers. Besides technical support, some PFT member-institutions, especially the local government units, extends financial assistance in the establishment of community-managed nurseries and other physical facilities that would sustain the initiatives of the people's organizations.

On the other hand, each of the three collaborating schools reduced the academic and administrative load of one faculty member to serve as the Agroforestry Development Facilitator, who facilitates the implementation of project-level activities. Selected key officials of the collaborating schools also serve as active members of the PFTs. For its part, the Institute of Agroforestry (IAF) employed three Area Specialists to conduct process monitoring and documentation activities in each of the three sites. The technical experts of IAF, meanwhile, were tapped as members of the Program Management Committee.

Collaborating schools that require additional manpower hire technical staff using their own funds to assist in project implementation. The collaborating schools and the PFT member-institutions provide financial support to their personnel/employees to attend the short-term training courses in agroforestry, in cases where the number of interested training applicants exceeds the two slots being provided by the ASPECTS Training Fellowship. Whenever necessary, partner communities make use of their available funds to support the food expenses of their fellow members/farmers during the re-echo training programs that they conduct upon return to the respective sites.

The Ford Foundation-Philippines is the main funding institution of the three-year project implementation.

Process

The candidate schools and communities have already been involved in ASPECTS' initial stages, even during the series of exploratory visits that were conducted in 1996. The collaborating schools were selected on the basis of geographical location, their proximity to the partner community, initiatives in agroforestry development and promotion, and potentials to implement a grassroots-oriented agroforestry extension program like ASPECTS. On the other hand, the partner communities were chosen based on their receptiveness to the project, existing people's organizations, and agroforestry farm development and promotion.

The Project Facilitating Teams (PFTs) conduct monthly meetings to provide direction in the overall project implementation. The Program Management Committee (PMC) sends its representatives during these PFT meetings to address the issues and concerns. In addition, the core PFT members meet weekly to strategize. These provide opportunities to discuss pressing issues and concerns that need immediate attention from the group and the Program Management Committee. Meanwhile, the PMT meets weekly to devise management systems, and attend to the issues and concerns at the project level.

Participatory project planning activities are being conducted at the community-level primarily aimed at orienting the partner communities about ASPECTS, and developing plans by the farmer-trainers themselves for the establishment and maintenance of CMAFES. The concerned project partners (i.e. PFT Chair, PO President, PFT Secretary, Community Organizer, Agroforestry Development Facilitator, and representatives from LGU and DENR) from the three project sites meet yearly for review and planning workshops. These activities often serve as venues for reviewing the project accomplishments, issues and concerns; distilling the lessons generated from project implementation; and drawing up of plans for the remaining project duration.

The Area Specialists conduct quarterly process monitoring to capture the dynamics of project field implementation and facilitate the learning process. Likewise, the Agroforestry Development Facilitators and the Community Organizers prepare monthly narrative reports to the PMC. Team building activities were conducted especially during the initial stages of ASPECTS. Whenever necessary, special training courses are conducted among the concerned project staff to strengthen their capabilities for an effective and efficient facilitation and implementation of project activities.

The three-year project implementation faced a number of challenges. For one, ASPECTS worked with collaborating schools and partner communities with varying conditions in terms of the leadership and organizational set-up in the collaborating schools, and nature of inputs and intervention that have been provided to the partner communities in the past. With these variations, ASPECTS did not standardize strategies, but rather work for more effective, site-specific strategies that would address these variations. Secondly, the project partners all realize that the ASPECTS goal of capacitating the partner communities while strengthening the collaborating schools is not attainable within a span of two or three years. Although, the financial support from the funding agency ended in 1999, ASPECTS opened opportunities for a stronger partnership among the PFTs. The project partners have all come to realize that the commitment, dedication and the will to go on, and not the cessation of funding support, are the key factors in the sustainability of project initiatives. Each project site came up with respective plans to sustain ASPECTS even beyond the no-cost extension period of that will last until June 2000.

Results Achieved

In its efforts to capacitate the partner communities to develop and maintain CMAFES, ASPECTS was able to form new and strengthen existing POs, significantly improve agroforestry farms through the collective efforts of the PO members, and developed better marketing strategies among the POs. The pool of farmer-trainers with technical capabilities in agroforestry was also developed and increased, the POs were organized into training management groups, and physical training and field facilities were established and/or improved. Moreover, the networking capabilities of the POs were improved and strengthened through ASPECTS.

For its part, ASPECTS was able to strengthen the agroforestry programs of the collaborating schools by developing and increasing the pool of agroforestry faculty/staff members, improving library resources in agroforestry, and develop relevant agroforestry curricular offerings. Likewise, the schools' agroforestry (in- and off-campus) field facilities were developed and strengthened, closer collaboration within the concerned school units were promoted and enhanced, and the culture of reaching out through grassroots-extension programs were developed through ASPECTS. Moreover, the schools' potentials as Centers of Excellence were developed.

ASPECTS also enabled the schools to link with the Southeast Asian Network for Agroforestry Education (SEANAPE) being supported by the International Centre for Research in Agroforestry and the Swedish International Cooperation Development Agency. The Network serves as mechanism to facilitate the development of high quality, farmer-oriented agroforestry curricula as an interdisciplinary field of study. SEANAPE is composed of leading universities and colleges in the Indonesia, Lao PDR, Philippines, Thailand and Vietnam.

In its provision of agroforestry support services, ASPECTS facilitated the offering of special and regular agroforestry training courses, establishment of a scholarship program for the post-graduate Diploma in Agroforestry, provided technical assistance in the review and improvement of existing agroforestry curricular offerings, and the development of new agroforestry curricular programs. Four agroforestry videos were also produced through ASPECTS: DAWNING OF HOPE for Accelerated Agroforestry Development; SOWING THE SEEDS through Agroforestry Education Development; ASPECTS in Sustainable Development of the Uplands; and WINNING THE WAR Against Upland Poverty and Environmental Degradation.

The multisectoral partnership employed by ASPECTS has also intensified the development and promotion of agroforestry in the municipality/province and the region. These efforts were exhibited through various radio broadcasts on ASPECTS, development and fund sourcing for the proposals replicating ASPECTS in several towns, municipalities and regions, and implementation of farmer-led extension programs as an offshoot of ASPECTS. Like that of the collaborating schools, ASPECTS also helped develop the culture of reaching out to the communities among the local government units - thereby widening the scope of extension work among these units.

Sustainability

From past experiences of government agencies and NGOs, three years fall short of the goals people empowerment and self-reliance. The Program Level Planning Workshop held December 1999 provided the venue for the partners to express their plans to continue what ASPECTS had begun.

There was a consensus during the workshop that the local government units take the lead in continuing ASPECTS. The collaborating schools and the partner communities have also expressed their commitment to continue ASPECTS and continue collaborating with new stakeholders. Hence, ASPECTS at the project level was re-structured - increasing the involvement of the local government units, especially the municipal agricultural office, and other government agencies. The re-structured ASPECTS at the project sites hopes to fully operationalize CMAFES, enhance the facilitating skills of the farmer-trainers and training of other farmers, and continue showcasing the potentials and capabilities of agroforestry. Moreover, radiation of CMAFES to other communities, and exploration and sustaining linkages with other concerned agencies are also on the agenda.

Like the previous ASPECTS, these activities will again utilize the multi-level strategies of implementation. The partners believed that this seems the best way to further strengthen the partnership and collaboration already established.

Lessons Learned

ASPECTS gained a lot of lessons that may prove useful to other agencies implementing similar participatory, multi-agency and multi-sectoral projects.

In strengthening the agroforestry programs of the collaborating schools, there should be focus in addressing the identified common needs and priorities of the schools, adoption and expansion of the ASPECTS' concept in the schools' extension activities, and continuous commitment from the schools to implement and sustain ASPECTS. Agroforestry should also be recognized as a separate discipline or field of specialization. Making multisectoral partnership work at the grassroots through the PFTs was indeed found to be a workable mechanism. Other lessons gained were that key school officials should be directly involved in the implementation of project-level activities, staff development programs be continuous, and the development of indicative action plans based from lessons gained from training programs be responsive to the needs of the partner communities.

In empowering the partner communities, the ASPECTS team learned that community profiling is an important activity prior to program implementation, implementation strategies should be appropriate to the given variations and local conditions of the areas, and that project implementation is truly a learning and evolving process. The team also learned that although plan of activities is well prepared, implementation requires innovation and flexibility on the part of the different players. The ASPECT team also found that capability building is a requisite if CMAFES will be fully operational, and the key result areas developed served as useful indicators in gauging the progress of participatory project planning and implementation, and monitoring and evaluation activities. Traditional systems of collective action/cooperation should also be harnessed to facilitate implementation of community activities. Moreover, it was learned that ASPECTS had promoted camaraderie among the community members and served as venue for informally discussing community issues and concerns.

The active involvement of the PO representatives in ASPECTS activities truly manifests genuine participatory project planning and management. Moreover, the marketing knowledge and skills gained have provided the POs better marketing potentials. Time management among the PO leaders and improved coordination are also necessary to avoid "work overload" among the farmers. The motivation of the POs to work and adopt agroforestry should be sustained and strengthened through community activities. More importantly, the POs' perspective in project implementation should be re-oriented - from having the "dote-out" mentality to that of self-help.

Transferability

The ASPECTS concepts have already been imbibed by the collaborating schools, as they now consider ASPECTS as a major component of their extension program. The three schools as their extension barangays have likewise identified the partner communities. Likewise, the institutions involved in the PFTs have embraced the idea of the project. The involvement of representatives from the municipal and provincial governments served as an effective mechanism to disseminate agroforestry among the local government units. The Municipal Government of Dingle in Visayas committed to take the lead in sustaining ASPECTS in the municipality through the implementation of the "Farmer-led Extension Program: The Dingle Approach to Promoting Agrikulturang MakaMASA (Agriculture for the Masses)." This strategy would allow for the adoption and promotion of agroforestry technologies not only in the concerned municipality, but in the provincial level as well. The Department of Agriculture-Cordillera Highland Agricultural Resources Management (CHARM) also plans to replicate the ASPECTS model of Agroforestry promotion in the six provinces of the Cordillera Administrative Region, with the BSU as the lead institution.

As regards technology adoption, the implementation of "Paligsahan sa Barangay (Contest in the Town" in ASPECTS-Mindanao, which was initiated by the local government units, in collaboration with the PFT, is now being replicated in almost all barangays of the town. "Paligsahan sa Barangay" is one of the strategies to promote the adoption of agroforestry technologies, and soil and water conservation measures, thereby intensifying agroforestry development and promotion in the municipality. The participation of other PFT member-institutions in the short-term agroforestry training courses have also allowed them to adopt various agroforestry technologies and enabled them to apply the learnings in their respective institutions and individual farms as well. In the case of the collaborating schools, their demonstration/experimental farms in agroforestry were further strengthened. In addition, the faculty

members also begun to realize the value of community need-driven research studies, as indicated by the implementation of re-entry plans that address the needs of the community, and involve the partnership of the farmers.

Key Dates

JANUARY 1997 Received Support from Ford Foundation to Officially Start ASPECTS

MAY 1997 Selection, Confirmation and Profiling of the ASPECTS Sites

JUNE 1997 1st Meeting of the Project Facilitating Teams for ASPECTS-Luzon, ASPECTS-Visayas and
for ASPECTS-Mindanao

JANUARY 1998 1st ASPECTS Program Coordinating Committee Meetings

DECEMBER 1999 ASPECTS Program Level Planning Workshop

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3. Sharing the ASPECTS Dream. Abigail Vellido. Philippine Agroforestry Development News. 1999. pp. 24; in Agroforestry Monitor. May-June 1999. pp.3; Makiling News. May-June 1999. pp.9.
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6. ASPECTS Team Prepares for Program Realization. Leah Arboleda. Agroforestry Monitor. January-February. 1999. pp.3; Makiling News. January-February 1999. pp.10.
7. Ford Foundation Representative Visits ASPECTS-Visayas and -Mindanao. Ana Tuico and Leila Landicho. Agroforestry Monitor. April 1998. pp.1; in Makiling News. April-May. 1998. pp.3.
8. ASPECTS: Involving the People in its Quest for Self-Reliant Communities. Leila Landicho, Ana Tuico and Jimson Solatre. Agroforestry Monitor. November 1997. pp.1; Makiling News. January 1998. pp.1; UPLB Newsletter. January-March 1998. pp.4.
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Type of Organization: Academic/Research

Partners

The Ford Foundation

Type of Organization: International Agency (Bilateral)

Type of Partner Support: Financial Support

Banangan Upland Farmers Association

Type of Partner Support: Technical Support
Department of Environment and Natural Resources (DENR)

Type of Organization: Central Government
Type of Partner Support: Technical Support

Bantay Puerto Program (Puerto Princesa Watch)

Categories:

Disaster and Emergency:

- civic awareness and preparedness
- contingency planning
- early warning systems
- hazard reduction and mitigation
- life-line systems
- reduction of vulnerability
- rehabilitation/reconstruction
- response capacity

Environmental Management:

- ecological sustainability
- environmental health
- environmental remediation
- environmentally sound technologies
- monitoring and control
- pollution reduction
- resource management
- urban greening

Land Use Management:

- development incentives
- geographical information systems
- land-use planning
- open space conservation

Level of Activity: City/Town

Ecosystem: Island

Summary

Protect. Rehabilitate. Plan. These are the program's key management thrusts. Protect what is there, rehabilitate what has been destroyed, and plan for the intelligent utilization of the city's terrestrial and marine resources. This is the life cycle that the program envisions for the community to achieve sustainable development.

The Bantay Puerto Program has been such a success that all forms of illegal and destructive methods of harvest and production such as logging, slash-and-burn-farming, trawl, dynamite and cyanide fishing became virtually things of the past. Protection, rehabilitation, and intelligent utilization of resources became the buzzwords among the Puerto Princesans.

Among the major awards that the City received because of the program's success are the Earth Day Award, Macli-ing Dulag Environmental Achievement Award, Best Governed Local Government Unit Award, Development Management Award, Heritage Award, and the UNEP Global 500 Roll of Honour Award.

As a consequence of the numerous recognitions, Puerto Princesa's erstwhile image of being the abode of prisoners and malaria-causing mosquitoes was drastically changed to becoming the country's model city in sustainable development. With the change of image followed the change in the kind of people who visited and made it their permanent homes. Where before the city was getting only the rejects and misfits of the other cities and provinces who contributed nothing but devastate its fragile ecosystem, now it has become the favourite destination of tourists from all over the world. In fact, it is fast becoming the eco-tourism capital in this part of the globe.

Narrative

Situation Before The Initiative Began

Puerto Princesa was a microcosm of the Philippines' environmental drift. Its forests and seas were the most convenient sources for both the needy and greedy to make a fast buck, with no regard for the future. Thus illegal logging, slash-and-burn farming, blast, cyanide and trawl fishing were most rampant.

Establishment of Priorities

- Forest Protection - headed by the Bantay Gubat (Forest Watch) under Mr. Daniel Tabanga, this group is responsible in policing the city's forest areas to stop logging and slash-and-burn farming.
- Marine Resources Protection - the Bantay Dagat (Baywatch) under Mr. Benito Marcelo III is responsible in the drive against all kinds of destructive marine-life harvesting such as trawl, dynamite, and sodium-cyanide fishing.
- Forest Rehabilitation - the program's success caused the increase of the city's forest cover by 2,088.3 hectares from 1992 to 1998. It is the only city in the country to have achieved such an magnificent feat.

Formulation of Objectives and Strategies

Protect what is there, rehabilitate what has been destroyed, and plan for the intelligent utilization of the city's terrestrial and marine resources. These are the program's clear-cut objectives and strategies. These are the products of consultations by Mayor Edward Hagedorn among the various concerned agencies, non-government organizations, and stake-holders.

Having established the goals, and after enlisting the cooperation of the other stakeholders, including the barangay (village) officials and residents, the city Government proceeded to providing the necessary manpower, equipment, vehicles, radio-communication network, and other logistical support to ensure the effective implementation of the program.

Mobilization of Resources

When Mayor Hagedorn assumed the mayoralty post in July, 1992, the city's coffers were almost empty, having only about P26,000 (approximately \$1,000.00) available for special projects. But this did not deter the Mayor from starting the implementation of the Program a month after (August). Even if it meant spending his own personal funds. Thus, radio handsets, motorcycles and pumpboats were procured and issued to the Baywatch and Forest Watch teams, most of them working as volunteers, but duly deputized.

The Non-government organizations contributed technical and legal assistance. The Village officials, including the indigenous people, became the eyes and ears. The Western Command of the Armed Forces of the Philippines provided the helicopters. Only recently, the City Government purchased its own helicopter to improve its monitoring capability. The Department of Environment and Natural Resources and the Maritime Police, aside from providing legal and police backup, prosecuted in court those found violating environmental laws and ordinances.

Every apprehension was assiduously reported by the local media. The almost daily accounts of arrests, seizures and incarceration, especially during the initial phase, finally convinced the would-be violators of the seriousness of the environmental protection drive that, in early 1993 Puerto Princesa Bay, the city's biggest and most strategic among its four major bays, was cleansed of any marine-related crime.

Process

Since time immemorial, the farmers of Puerto Princesa City had been used to engage in "sidelines" or cash-generating activities while they waited for their crops to be harvested. The most common of such sidelines involved cutting down trees to be sold as lumber, firewood and charcoal.

Kaingin (Slash-and-burn) farming, because it involved relatively minimal land preparation, was another practice that was also very prevalent. People would indiscriminately cut down everything in the forest and burn them (very often resulting in huge forest fires). After which, the kaingin rice, an upland variety, can then be planted.

When the City Government, through the Bantay Puerto Program, therefore, started strictly implementing the anti-logging law and its controlled-burning policy, the farmers were the first to make the biggest howls. Predictably, too, the trawl-cyanide-and-dynamite fishermen also caused quite a furor.

The farming and fishing sectors were joined by the few but powerful forces (merchants of their illicit products) who enriched themselves from the wanton exploitation of the city's forest and marine resources.

To wean the farmers from their destructive practices and to tide them over during the difficult transition period, Mayor Hagedorn instituted:

- Stop-gap measures such as Cash-for-Work Program (they get paid by the City Government while working on their own fields) and rice subsidies; and.
- Permanent productivity-enhancing mechanisms like the Carabao and Tractor Pool (free use of the city's carabaos and tractors), and provision of free seedlings.

To the wayward fishermen, the full force of the law was applied. During the first two years of the Program, 1,657 pump-boats and 46 fishing-boats were seized for various violations. Then the Cyanide Detection Test Laboratory was established to scientifically determine if fish were caught by illegal means. An ordinance was passed banning the shipment of live fish, the catching of which is blamed for the destruction of the city's coral reefs through the use of cyanide. Finally, affected families were given capital assistance for alternative sources of livelihoods.

Side by side with the above measures was a massive information and education campaign, participated in by local media and non-government organizations, to underscore the importance of environmental conservation towards sustainable development.

These and the goodwill already earned by the City Leadership over the farming and fishing sectors through such pro-poor programs as the Satellite Hospitals and Barangay Libraries caused the opposition to the conservation program to soon die down.

Results Achieved

The owners of the 1,657 pump-boats and 46 fishing-boats apprehended by the Baywatch Team during the early implementation of the Program were mostly local people. Since 1994, the number of local fishermen involved in illegal fishing had drastically diminished. Of the 84 violations in 1999, 56 (66%) came from neighbouring provinces such as Batangas, Cavite, and Quezon. One vessel was of Vietnamese origin.

With the marine ecology now able to rejuvenate itself, having found a respite from wanton abuse, local fishermen already get more harvests without having to travel to long distances.

As a measure of the Program's success in forest protection and reforestation, Puerto Princesa City's forest cover increased by 2,088.3 hectares within a six-year period from 1992 to 1998. It is the only city in the country to have achieved such a magnificent feat.

Because of the Program's success, Puerto Princesa's image has been radically transformed into becoming the cleanest and greenest city of the Philippines (a Hall of Fame Awardee) and its most awarded city. Consequently, it has become the favourite destination of tourist arrivals. Investments grew manifold, from 14 tourism establishments in 1992 to 204 in 1999. Plans are now afoot to establish a direct

flight between Puerto Princesa City and Brunei Darussalam as the city has already been declared a port of entry.

Even UNESCO was encouraged to put up a "Coastal Resource Management and Sustainable Tourism Project" in the city. The project area covers the coastal and marine environs of Ulugan Bay, one of the most environmentally-critical semi-enclosed bays in Palawan, encompassing about 7,200 hectares of coastal waters.

Only recently, the St. Paul (now aptly renamed Puerto Princesa) Subterranean River National Park made it to the UNESCO World Heritage List. This is the only national park in the country whose management and control was devolved to a local government unit. The devolution was made in 1993.

Sustainability

From a financial viewpoint, the Bantay Puerto Program is undoubtedly sustainable. From 1993 to 1999, its total budget allocation was P55,236,250.00 (\$1,380,906.00). Meanwhile, the value of goods (Lumber, logs, trucks, chainsaws, fishing vessels, and various equipment) seized and forfeited in favour of the City Government amount to P50,000,000.00 (\$1,250,000.00). This does not include of course the value of the coral reefs, mangroves and forests that have been effectively protected and conserved. While the amount of goods confiscated is expected to decline because of the diminishing number of violators, the value of a protected environment will conversely rise.

Support for the Program cuts across all socio-economic strata: local and national government agencies; civic, religious, media and other non-government organizations; the tribal communities who have become volunteer forest sentinels; the barangay (village) units; the business sector, particularly those engaged in the tourism industry; and even the farmers and fishermen themselves who have now come to understand the many benefits of sustainable development planning and utilization of the city's resources.

The massive information and education campaigns also inculcated the proper attitude among the Puerto Princesans toward rehabilitation and conservation, making it the "in" thing to do. There is a sense of self-ownership of the program.

With the current level of environmental consciousness among the Puerto Princesans (the highest in the country), no political leader - present and future can afford to be remiss in this concern. Following the doctrine that the government is only as good as its people, the sustainability of its Program is thus assured precisely because of the constituency's admirably high environmental consciousness.

Lessons Learned

In the context of Philippine politics, there never was any political leader, national or local, who advocated and pursued environmental conservation as a political platform. The prevalent belief then was that environmentalism was a politically risky proposition. At no time was this mode of thinking put to a serious test than when Mayor Hagedorn ran for re-election in 1995.

In 1992, when he first threw his hat into the political arena against the incumbent who had been in office for almost thirty years, Hagedorn won only by a measly 436 votes out of more than 70,000 total votes cast. In the subsequent 1995 elections and squaring off with the same opponent who lambasted his environmental programs as causing mass poverty because of the numerous restrictions they entailed (farmers were deprived of their so-called "ash-generators or sidelines," prevented from further engaging in slash-and-burn farming which they have been doing for ages; and fishermen stopped from employing destructive and illegal, but otherwise lucrative, methods of harvest such as trawl-dynamite-and-dyanide fishing, plus the fact that their boats were confiscated and a good number had been put behind bars), Mayor Hagedorn won in all but one of the city's 66 barangays. That overwhelming victory came down as the biggest upset in Palawan's political history.

Through the Bantay Puerto Program, Mayor Hagedorn has thus amply demonstrated the political correctness of environmentalism. Since then, Philippine politics have changed in favour of the environment.

Another precious lesson learned is that Filipinos, known to be quite intractable and non-conformists, do respect and follow the government when they see that it is leading them to the right direction. Puerto Princesa City's well-known cleanliness and greenness, sustainable through the years, attest to this fact.

Transferability

Having been adjudged and given the "National Distinction Award for Best-Governed Local Government Unit." Puerto Princesa City was made by the Department of Interior and Local Government, a national government agency, the center of Lakbay-Aral (study tours) among the country's local government units. To date the chief executives, members of the local councils, barangay leaders, and department heads of almost all of the country's 78 provinces, 83 cities and 1,818 municipalities have already visited the city to learn from its experiences.

Because of the continuous flow of such study tours, the City Government had to create a Protocol Office whose sole function was to attend to the itineraries and information needs of these special visitors. During each briefings where the visiting Government delegations meet with their local counterparts, the most commonly asked, and the topic that takes the longest to discuss, is the Bantay Puerto Program. Obviously, this Program generates the widest attention and interest among the other local government units in the country.

The National Government, under then President Fidel Ramos, had actually replicated the Program when they launched the nation-wide Bantay Dagat Movement. The City of Manila, the City of Manila, the country's capital, likewise implemented its own program aptly called Manila Baywatch. The Asian Institute of Management, through its GALING-Pook Awards Committee, is also promoting Bantay Puerto's replication by other LGU's after they have chosen it in 1994 as one of the ten Best Programs in the Philippines.

The disbursement of the city funds for alternative livelihoods of affected families used to be handled directly by the City Government under the Office of the City Agriculturist. Now, the funds have been coursed through the Land Bank of the Philippines under the "City Guarantee Fund". Thus, for people and cooperatives to avail of these funds, they have to pass through the bank's requirements. They also make repayments directly to the bank. But aside from this, the City Government would do exactly the same things and pursue the same approaches for the Program as they have proven to be highly effective.

Key Dates

August 1992 The Bantay Puerto Program was organized

February 1993 City Ordinance No. 110-93, "Regulating the Shipment of Live Fish and /or Lobster Outside Puerto Princesa City", was passed

June 1993 Conduct of the first Pista Y Ang Kagueban (Feast of the Forest)

August 1993 The Cyanide No. 110-94, otherwise known as the "Controlled Burning Ordinance", was passed.

References

The Program, having reaped numerous awards for the City of Puerto Princesa, has been extensively written about in national and international newspapers, magazines and books. It was also featured in German, Dutch, Korean, Japanese, British, and American television programs. The following are samples of such write-ups:

Title of Article Testing The Law - The Puerto Princesa Experience
Author Jing A. Mable
Publication Title Philippines Free Press
Date July 17, 1999
Page Numbers 22-30

Title of Article Dynamite Fishers Caught Off Palawan
Author Jing A. Mable
Publication Title Manila Standard
Date July 6, 1999

Title of Article Born Again in the Philippines
Author Martin Symington
Publication Title British Airways "Highlife"
Date June 1998
Page Number(s) 118-124

Title of Article A Taste of Eden
Author Butch Dalisay
Publication Title Metro
Date December, 1996
Page Number (s) 130-138

Title of Article How Puerto Princesa Became The Country's
Cleanest And Greenest
Author Eloy A. Calimoso
Publication Title Manila Bulletin
Date December 12, 1996

Title of Article The Born-Again Mayor: Once a Gangster, Now A Symbol of Mature Politics
Author Marifess Vitug
Publication Title Newsweek
Date July 15, 1996
Page Number(s) 15

Title of Article 30,000 Join Palawan Tree Planting
Publication Title Manila Bulletin
Date June 24, 1996
Page Number(S) 18

Title of Article Puerto Princesa: Where Wildlife Protection Comes Naturally
Author J. Menorca
Publication Title Manila Standard
Date March 18, 1996

Title of Article The Philippines' Pride: Puerto Princesa City
Authors Sr. Luz Emmanuel Soriano, Dr. Corazon P.B. Claudio, and Lilita Delgado Fanser
Publication Title Sustainable Development - A Philippine Perspective
Volume/Number ISBN 971-06-0419-8
Date
Email questions or problems to
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Page Numbers) 197-202

Title of Article Puerto Princesa Mayor Gets Earth Day Award
Publication Title Philippine Star

Date April 24, 1993

16. Awards

Philippine Earth Day Award

Given by the Department of Environment and Natural Resources on April 22, 1993

"HOY! GISING" AWARD

Given by the Management and Staff of Hoy! Gising TV Program ABS-CBN Broadcasting Corporation.

NATIONAL DISTINCTION AWARD FOR BEST-GOVERNED LOCAL GOVERNMENT UNIT

Given by the Progressive Alliance of Citizens for Democracy and the Department of Interior and Local Government on

January 6, 1994

GRAND AWARD OF THE FIRST MACLI-ING DULAG ENVIRONMENTAL ACHIEVEMENT AWARDS

Given by the Rizal Commercial Banking Corporation and the Rotary Club of Makati on April 25, 1994

GANTIMPALANG PANDLINGKOD POOK (GALING-POOK) AWARD (BANTAY PUERTO PROGRAM

Given by the Asian Institute of Management (AIM) and the Department of the Interior and Local Government on June 28, 1994.

AWARD OF EXCELLENCE: 1994 CLEANEST AND GREENEST COMPONENT CITY IN THE PHILIPPINES

Given by His Excellency President Fidel V. Ramos at the Riza Park in Manila on December 14, 1994.

BEST TOURIST DESTINATION IN THE PHILIPPINES

Given by the Philippine Travel Mart in November 1994.

THE PEACE AWARD

Given by His Excellency President Fidel V. Ramos in Recognition of the City's Success in Maintaining Peace and Order.

COMMERCE AND CONSCIENCE AWARD

Given by the Dwyer and Rice Foundation on January 30, 1995.

1995 CLEANEST AND GREENEST CITY IN REGION IV AND CLEANEST INLAND BODY OF WATER (Irawan River)

Given by the Department of Interior and Local Government on November 9, 1995

AWARDS OF EXCELLENCE: 1995 CLEANEST AND GREENEST COMPONENT CITY IN THE PHILIPPINES

Given by His Excellency President Fidel V. Ramos in Manila on December 19, 1995.

MOST OUTSTANDING PERFORMER OF THE YEAR

Given by the Progressive Alliance of Citizens for Democracy and the Department of Interior and Local Government on

January 7, 1996 in Davao City.

1994 NUTRITION GREEN BANNER AWARD

Given by the Regional Sub-Committee on Nutrition Sectoral Committee on Social Development IV on December 15, 1995.

BEST CITY POLICE STATION OF THE YEAR

Given by the Philippine National Police, Region IV on February 1, 1996

ASIAN DEVELOPMENT MANAGEMENT AWARD

Given by the Asian Institute of Management on March 7, 1996.

GAWAD PAMANA NG LAHI (HERITAGE AWARD)

Given by His Excellency President Fidel V. Ramos in Malacanang on April 10, 1996.

1995 LIKAS YAMAN AWARDS FOR ENVIRONMENTAL EXCELLENCE

Given by the Department of Environment and Natural Resources on June 10, 1996.

GANTIMPALANG PANGLINGKOD POOK (GALING-POOK) AWARD

FOR: OPLAN LINIS PROGRAM

SATELLITE HOSPITALS

SATELLITE LIBRARIES

Given by the Asian Institute of Management on 17 July 1996.

HALL OF FAME AWARD

Given by the Asian Institute of Management on 17 July 1996

MOST ACTIVE PROPONENT OF COASTAL CLEAN-UP

Given by His Excellency President Fidel V. Ramos on October 26, 1996.

AWARD OF EXCELLENCE: 1996 CLEANEST AND GREENEST COMPONENT CITY IN THE PHILIPPINES

Given by His Excellency President Fidel V. Ramos in Manila on December 14, 1996.

HALL OF FAME AWARD (CLEANEST AND GREENEST COMPONENT CITY IN THE PHILLIPINES

Given by His Excellency President Fidel V. Ramos in Manila on December 14, 1996.

GLOBAL 500 ROLL OF HONOR AWARD

Given by the United Nations Environment Program in Seoul, Korea on June 6, 1997

GANTIMPLANGA PANGLINGKOD POOK (GALING-POOK) AWARD (CARABAO AND TRACTOR POOL)

Given by the Asian Institute of Management (AIM) and the Department of the Interior and Local Government in 1997.

MOST OUTSTANDING ENVIRONMENTAL MAYOR

Given by the Green Philippines Foundation in November, 1998

OUTSTANDING PUBLIC SERVICE AWARD

Given by the Consumers Union of the Philippines, 1999

NATIONAL LITERACY AWARD

Given by the Department of Education, Culture and Sports, 1999

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Type of Partner Support: Technical Support

Socialized and Incremental Housing Project

Categories:

Technology, Tools and Methods:

- appropriate technologies
- technology transfer
- training and capacity building

Poverty Eradication:

- income generation
- job creation

Housing:

- access to housing finance
- affordable housing
- homelessness

Level of Activity: City/Town

Ecosystem: Island

Summary

The socialized and incremental housing project using alternative technology was launched in 1993 in partnership with MISEREOR and implemented in collaboration with the national and local government, institutions engaged in socialized housing and the private sector.

The initiative was designed to make housing affordable and accessible to the disadvantaged groups and lower income families in the Island of Negros. This core objective is complemented by the project's thrusts to (1) alleviate poverty through job and income generation and (2) improve capacities of community workers on the use of alternative housing construction technology using earth based materials.

The project has served some 2,630 households directly and about 15,780 individuals indirectly. It has constructed a total of 650 socialized housing units for 4 homeowners associations and helped out 445 disadvantaged families through the incremental housing scheme where families avail of credit assistance for home improvements. In partnership with the European Union (EU), the project constructed a post harvest complex for some 1500 upland agrarian reform beneficiaries that include a warehouse, mechanical dryer and multi purpose center.

The project's employment and income generation component facilitated the formation and strengthening of workers' cooperatives with about 305 members engaged in the production of micro concrete roof tile and compressed earth block products and the construction of the housing units under the project creating employment in the community. Further collaboration with the government's Department of Labor and Employment facilitated the placement of some 3000 workers for local and overseas jobs.

Strong project linkages has contributed to the national- wide advocacy for the improvement of a shelter program for marginal and low income sectors and development of best practices in socialized housing world wide.

Narrative

Situation before the initiative began.

The Island of Negros in the 80's was a simmering social volcano. Poverty incidence was high at around 60%. There was militarization because of insurgency. The province has high unemployment and suffer from other social problems on health and education. The disadvantaged families have no access to housing support while low and middle income groups find the cost of housing unaffordable.

These conditions gave birth to many social development programs and formation of non-government organizations (NGOs). This period also saw the implementation of the Local Government Code that gave civil society more opportunities to participate in local governance and implementation of development programs.

Establishment of priorities

The project priorities are focused on the following complementary areas of

- Socialized housing for the low income and disadvantage families
- Employment and income generation support
- Capacity building for communities
- Enterprise development through cooperatives

The project priorities were established in a highly participatory mode which provides for the involvement of the project's various stakeholders. The Foundation in its preparation of the project design conducted a series of consultative meetings and focused group discussions with its leadership, assisted communities and government sector to formulate the project design including priorities, strategies and involvement of the various stakeholders in project implementation.

Formulation of objectives and strategies

Project design preparation was highly participatory and involved the various project stakeholders. Communities, local government and the officers of the Foundation all contributed in the finalization of the project plan and strategies.

The project's core objectives and strategies are the following:

1. Increase access of the marginal and low income groups to housing and shelter;
2. Generate job and income opportunities; and
3. Empower community organizations.

Meanwhile, the project's implementing strategies include the following:

1. Community based institutional formation and capacity building;
2. Micro finance;
3. Community based housing construction;
4. Incremental housing and slum upgrading;
5. Socialized housing and urban renewal; and
6. Linkage building and resource accessing.

Mobilization of resources

The Foundation adopted several reinforcing strategies to mobilize the needed resources for the project. These include resource accessing from various sectors, fund leveraging and internal resource generation. Financial resources were largely tapped from international donors both bilateral and NGOs whose priorities fit those of the project. These essentially were sourced out from MISEREOR and CIDA in forms of grants which pumped prime the initiative of the Foundation. These funds were then used to leverage funding from government institutions providing financial support for socialized housing and shelter programs like the Social Security System, PAG-IBIG Home Development Fund and the Government Social Insurance System.

Meanwhile, technical resources such as human, technology and equipments were tapped from other NGOs engaged in similar initiatives. Pagtambayayong Foundation provided the technical support in the use of alternative earth based technology in forms of experts and on-job training. CRATerre EAG University in France and SKAT-Switzerland similarly provided technical training to the project engineer on the construction technology. Local expertise and human resources needed for the construction and

material production came from the cooperative communities who were trained and organized by the Foundation for the purpose.

Process

Problems encountered:

The project encountered major blocks during its implementation. However, a dynamic management team successfully responded to the issues that paved for the effective implementation of the project.

1. Limited financing resources. Limited resources continue to be a key constraint in the scaling up of the project. This dampened the capacity of the project to reach more beneficiaries or cover a wider geographic base. Construction of housing units even at the socialized category and cost of US\$4,390.00 is still capital intensive and tie up scarce resources of the Foundation. While at present, Pag-ibig HDMF, a government institution is providing financing support for the construction of the units, it is on a billing system basis and the Foundation has to advance the cost of constructing the unit to specifications before it gets paid. This constraint is carefully managed by proper cash flow budgeting, fund leveraging, development of a more diversified resource base and efficient production that limits the project's cost drivers.
2. Heavy loan documentation requirements. Loan documentation and requirement of the funding institution is very substantial and technical that is often not within the capacity of the community associations to comply. Likewise, the heavy documentation causes delays in the "take out" or payments of completed units and further tie up the resources of the Foundation limiting its production capacity. Constant dialogue with partner institutions to streamline the documentation and processing procedures have improved the system and enhanced the expertise of the Foundation but there is more room for improvement to further hasten the flow of documents.
3. Inconsistency in product quality. Product quality was, for a while, a problem as the workers failed to maintain consistency in the quality of their production of earth based materials. This was traced to variations in quality of raw materials, measurement of ingredients and curing period. The adoption by management of the Total Quality Management (TQM) strategy has strongly improved the quality of production and even increased the average daily production more than half and surpassed the government quality standards set by the Department of Trade and Industry (DTI).
4. Learning curve in acquiring of technology. The introduction and adoption of the new and alternative construction technology had initially slowed down the pace of project implementation. It took sometime before the workers acquired the high level of skills and expertise in the production of micro concrete roof tiles as well as the compressed earth blocks that are new materials in construction. Similarly, the workers have to learn the construction technology using the alternative materials which require them to unlearn many conventional and traditional ways of housing construction using popular materials. Again, a continuous in-house training program over time improve effectiveness and efficiency. Technology tie in with Pagtambayayong Foundation, CRATerre EAG University- France, Building Advisory Service Network (BASIN) and Mindanao State University strongly helped in fast tracking the adoption of the new technology.

Results achieved:

This best practice has significantly achieved its set of objectives. In housing, it has reached directly some 2,630 households with indirect impact to about 15,780 individuals. The project has constructed 650 socialized housing units and assisted 445 disadvantaged families with its incremental housing plan. The initiative has also organized 3 workers' cooperatives with total membership of 305 who are engaged in the production of earth-based housing materials and construction of housing units using alternative technology. This job and income generation is complemented by job placements of another 3000 workers in collaboration with the government's Department of Labor and Employment.

Project gains were measured based both quantitatively and qualitatively using the project's evaluation and monitoring scheme. This involves the scientific use of equipments to measure product quality vis-à-vis set standards of the industry. Moreover, management periodically reviews and assesses project

milestones based on its implementation plan and standards. These are measured against specific indicators on numbers of clients reached; numbers of workers assisted; amount of increase in household income; number of units constructed; organizational indicators; financial indicators and linkages established.

These results have made its mark on stronger partnerships among institutions engaged in socialized housing, poverty eradication and social advocacy. The working collaboration has resulted to synergy and better complementation of services and programs for a more integrated development at targeted communities. The assisted community groups of cooperatives have likewise shown greater capacities for self governance, entrepreneurship and charting their own development priorities and direction. The initiative has strengthened participation in local governance and influenced government policy and program planning that is more responsive to the needs of the marginal and low income groups.

Sustainability:

The project has achieved a degree of sustainability. Through fund leveraging and accessing of financial resources, the project has mobilized some P84.2 million (US\$2.13 million) from government financing institutions to fund its socialized housing component on a sustained basis. The project adopts a full cost recovery policy to insure the viability of the enterprise and project sustainability. Good management has similarly kept the cost drivers down for efficiency while guaranteeing a 25% cost reduction in construction vis-à-vis conventional technology. Meanwhile, housing loans are covered by government institutions and spread on a 25- year term with variable payment schemes. Payment of housing loans is high with only a 5% default record as per Pag-Ibig HDMF recent record.

Gender issues have been consciously integrated into the project design. Women participate in the various aspects of implementation both at the Foundation and community levels, respectively. The cooperatives have a gender fair policy with women occupying leadership position in the organization. Project implementation is participatory and allows the involvement of stakeholders in the process. The project has a bias for the disadvantage families and low income groups and has formulated operational policies that increase their access to support services from the government and formal institutions. The strong linkages established with the various sectors of Philippine society have created a safety net for its sustainability including advocacy for policy reforms and program support.

The project is also culturally sensitive and environment friendly. Housing unit design is based on the collection of intelligent architecture and best practices of economical, cultural and energy efficient building systems. The technology minimizes the use of cement, wood and other energy intensive raw materials. The blocks are made from ordinary soil rather than sand and gravel in the case of the popular hollow blocks. This lessens the impact on the sand and gravel supply in the area that has been depleted.

Lessons learned:

The lessons gained from this best practice are numerous and served as basis for designing more responsive strategies in sustaining project implementation.

1. The right mix of success factors is important for project success.

These factors include strong capacity for program management, mobilization of resources, participation of stakeholders and clarity of program focus and goals. Management must be able to strike a balance between maintaining product affordability and profitability to insure the sustained delivery of services. It is important to establish strong stakeholders' sense of ownership for effective support and participation. The project must also have good management capacity for planning, leading, organizing, monitoring and evaluation, financial controls and entrepreneurial skills.

2. Partnership with local government

The initiative on informal and socialized housing needs the strong support of government. These can be in the areas of policies that promotes access and protection, budget and program support and development planning that is responsive to the shelter needs of the disadvantaged and low income groups of society. Collaboration with government facilitates complementation of resources that helps create a more integrated project design and service delivery. The developer, for instance, can focus on construction of housing units while local government attends to support infrastructures like drainage and road network, power and water facilities and other basic services needed by the community.

3. Strong network building among support institutions providing related services and programs.

A strong multi- sectoral support network is vital in the effective delivery of project services. These linkages provide the mechanism for synergy and resources required by the initiative. Information sharing within the support network creates access to technology, financial and human resources critical in maintaining high quality products and services. Networking also provides the structures and mechanism for stronger collaboration and advocacy for the promotion of sustainable technologies with mass application.

Transferability:

This initiative has gained national and international recognition for mass application and replicability. Several projects have been and are being implemented based on the same technology and model in the country. Through the Philippine Undertaking on Social Housing (PUSH), and the Association of Foundations (AF), the Foundation has replicated the project at Cavite and Vigan, respectively. The technology has also been adopted in construction of socialized housing and other structures in the various towns of Negros Occidental in collaboration with other groups like the Paghidaet Development Group (PDG), Philippine Business for Social Progress (PBSP) and MUAD- Negros.

Again, through the MCR Network Philippines, other projects are replicated in the Mindanao area such as the housing for scavengers with the Sisters of the Blessed Virgin Mary (SBVM) under the Mother Ignacia Development Foundation, Inc. in Cagayan de Oro City and the Mindanao Shelter Foundation in Iligan. The project's participation in the Center for Alternative Technology has also expanded the reach of the technology among other NGOs who are venturing into housing and shelter programs.

The replication process has eliminated some of the traps and problems of the technology that greatly improved the quality of products and the pace of implementation. The documentation requirements are given due diligence from the very start to speed up processing and approval of government regulatory and credit institutions. Partners are similarly taught effective financial management given their cash flows to prevent delays, problem with suppliers, lag time and slippages in construction.

Key Dates

1993 Launching of 1st JFLFI- MISEREOR partnership
1995 Start of JFLFI- Pag-ibig HDMF collaboration
1996 Forging of JFLFI- Canada Fund employment initiative
Initiation of the 2nd JFLFI- MISEREOR partnership

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Type of Partner Support: Financial Support

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Type of Partner Support: Financial Support

Women, Home And Community Campaign-The Bantay Banay Program

Categories:

Gender Equity and Equality:

- empowerment
- gender roles and responsibilities
- gender specific needs
- removing barriers to equity
- social integration

Use of Information in Decision Making:

- improved participation
- indicators (including sectoral and performance)
- policy making

Social Services:

- crime reduction and prevention

Level of Activity: National

Ecosystem: Island

Summary

Since its inception, Bantay Banay has reached out, vertically and horizontally, in order to respond more holistically to the needs of physically and sexually abused women and children. Over time, the program has grown and expanded in various ways. In terms of participation and membership, it has successfully been implemented in over 50 towns in Cebu City and has expanded to 7 other cities and 12 municipalities while further expansion to 13 more cities and 2 municipalities is being planned. The information and training initiatives of the program have generated much commitment and interest from different levels. The national, provincial, municipal, and city government agencies as well as village leaders have shown great support for the Bantay Banay groups in their respective areas. Different sectors (health, social welfare, religious, police, law and private sectors to name a few) have coordinated and collaborated with the communities and government agencies to provide a range of services for victims and their families. Through the involvement of other sectors, alternative resources have been tapped to sustain local initiatives. The communities continuously educate themselves and practice what they have learned. They find innovative ways to care for each other through intervention, referral and monitoring systems. Furthermore, Bantay Banay programs have broadened to include other important family concerns/ issues in the community. The experiences, learning and practices have generated a new perspective on women's rights and entitlement which is founded and reinforced on strong and vibrant support among the women themselves.

Narrative

The main proponent of Lihok Pilipina Foundation, Inc., began when a group of 20 women in a depressed neighborhood in Cebu organized themselves in order to exchange information on health care. This small organization slowly grew, and over time it included family matters and livelihood projects such as Social Credit and Livelihood program, Water and Sanitation program, Women's Education and Organizing. Bantay Banay emerged from the realization that helping poor women gain economic power was not enough to free them from conditions that prevented them from actively participating in the community and improving their lives. In addition, a survey conducted by Lihok Pilipina in two urban poor communities indicated that six out of every ten women were victims of abuse and 60 percent of incest victims were under the age of 15. It was realized that battery and abuse cut across categories in a circle of self-perpetuating destruction - many batterers were once childhood victims, many mothers of abused children are themselves abused, among battered women more than half the of the husbands are on drugs, and many cases of homelessness, poverty, and sickness are results of violence. When these results and realizations were presented to an assembly of representatives of government institutions, NGOs, POs, police, church, lawyer's groups and Barangay Captains in 1992, it was decided that a wider community-

based program was needed to address the problem. Bantay Banay was formally organized in coordination with government agencies, NGOs, the Philippine National Police and with legal assistance from FIDA .

Bantay Banay is a comprehensive community-based program, initiated and operated by grassroots women, covering a spectrum of activities and interventions directed to alleviate, if not totally eliminate domestic violence and violence against women. It advocates the following performance objectives:

Organization of Bantay Banay groups which are community based and multi-sectoral should be able to access their own resources and facilitate referrals for the following services: temporary shelter, immediate medical check-up, legal assistance, counseling and livelihood.

Mobilization of community groups serviced by the agencies represented in Bantay Banay areas around violence against women and other issues affecting their communities.

Training of core teams of who can echo the following: basic sensitivity workshop, laws and legal processes, basic counseling, violence against women, and family dialogues.

Establishment of resource inventory, commitments and working relationships among the different groups in the village such as the NGOs, Church, government and private groups to respond to violence.

Sensitivity to the issue of violence against women in the policies and programs of local government units (LGUs) in the areas identified through resolutions and budget allotments.

Systematic documentation of cases in order to provide an ongoing update on data on violence against women to establish trends such as: extent of battering, rape and incest and corresponding coping mechanisms; effects on children; profiles of perpetrators and victims of battering; and prevailing attitudes.

As a community-based organization Banatay Banay enters most communities through already existing women's organizations using the following strategies and approaches:

Organization and Training of Communities - the Bantay Banay groups are oriented against gender violence and organized to respond to acts of violence, make referrals and mediate. Training consists of gender sensitivity training (GST), violence against women (VAW) and basic counseling, family dialogues, laws and legal processes (legal literacy) regarding issues on women and the family and on-the-job-case-handling. The groups include women, men, local support groups, and the youth.

Involvement and Training of the Inter-Agency Committees per Area that Respond to Community Referrals - the agencies involved include the police, Department of Social Welfare and Development (DSWD), Department of Health (DOH), Department of Interior and Local Government (DILG), LGUs, NGOs and other private sectors.

Mainstreaming in local governance - one program objective is to make LGUs recognize issues of family violence such that they support the effort by establishing desks in their offices and allocate a portion of their budget for training and honorarium for volunteers.

Bantay Banay provides the following general services and activities:

Services - include medical and medico-legal check-ups, counseling, legal assistance, temporary shelter and livelihood projects. Referral among agencies involved and often necessary.

Direct Action - since most of the violence happens within the communities direct interventions may be done such as: actual interventions in on-going violence, prevention of violence, mediation at the barangay level, temporary shelter before the referral process.

Advocacy and Media Work - Bantay Banay also supports the passage of bills affecting women. In cases

of court hearings, members are mobilized to attend court hearings to provide moral support for the victims/survivors. It also calls media attention to lapses in procedures and delays.

The Bantay Banay program has expanded, since its inception, both horizontally (to other areas) and vertically (including agencies at different levels). Aside from 50 barangays in Cebu, assistance from Misereor and TUCP DAW has allowed its replication in other regions.

Initially, other agencies were reluctant to participate in the program but training and education have radically changed systems and perspectives in these agencies. The importance of seminars that develop commitment through an understanding of the magnitude of the problem and the need for immediate action cannot be emphasized enough. The seminars allow people to see that they are working for a common goal and are effective means of generating interest and commitment.

The Bantay Banay experience has changed the face of local governance. The implementation of Republic Act 7192 Women in Nation Building - Gender and Development Act (WIN GAD) in 1996 identified the DILG as the lead agency for implementation. Having little experience, the DILG found it necessary to link with Lihok Pilipina - the main proponent of issues regarding gender and women's issues. Through a GST seminar the DILG realized that in the area of WIN GAD they had the same concerns as Bantay Banay offering support and participation. The DILG responded by holding training, allocating training funds and reaching out to barangay captains. It monitors the 5% that local governments are supposed to spend on supporting the WIN GAD at the annual barangay council meetings. Information dissemination is promoted through the circulation of memos. Eventually, an Inter-Agency Coordination Council (IACC) was created for coordination and collaboration among members. The IACC was also formed for full and complete representation in responding and meeting. The Bantay Banay IACC provides support services such as shelter, organizing, livelihood, counseling, training, legal assistance, law enforcement, medical services, and youth involvement.

As law enforcement was considered a 9 to 5 job, officers were not interested in the training being offered because they thought that participation meant more work for them. Through the perseverance of NGOs like Lihok Pilipina, and the DSWD, seminars such as Gender Sensitivity Training (GST) were finally held and the police officer felt truly enlightened by the training. Now, they volunteer, respond immediately to calls from Bantay Banay groups, establish and attend to the Women's Desks in police stations while maintaining open communication with other members of the IACC. Other agencies such as the Presidential Commission on the Urban Poor (PCUP) play coordinating roles. The PCUP has seen how Bantay Banay has helped the urban poor through GST, VAW and legal literacy. The DSWD used to think of NGO initiatives as competition but after working together, they recognize each other's expertise and understand that their work is complementary. They enforce preventive aspects regarding domestic violence through celebration of family week, legal literacy, family code orientation, information before marriage and training.

At the forefront of focusing enlightened attention on women and child victims are Bantay-Banay groups in partnership with government agencies (e.g., hospitals), NGOs and POs. Different NGOs and agencies held training and seminars on issues such as gender sensitivity, women's rights, physical/sexual abuse and domestic violence. The attention and concern of the participants were captured and they themselves echoed what they learned to their colleagues and staff. They were able to conduct training at minimal cost by using in-house expertise the participants became trainers and speakers. It was then realized that interventions have to more than medical and that afflictions may be more than physical. While there used to be tendencies to medicalize problems, medical practitioners are now motivated to do work with increased concern and interest. They provide their patients with more personalized treatment, personal care, interest and follow-ups. The hospitals became pilot sites for women and child protection units. Special "pink" and "violet" rooms have been established to provide the victims of physical and sexual abuse with privacy and confidentiality while recognizing their need for treatment with sensitivity, counseling and immediate attention. Laboratory fees, medical certificates, examinations are free for these patients. The importance of issues like VAW, special pediatric care and child abuse are being

institutionalized through integration in the curriculum. Involvement with Bantay Banay has effected a more holistic treatment of women and children in government hospitals through linkages, referrals.

Other NGO partners have integrated Bantay Banay in their programs providing communities with seminars and training. These groups have innovated responses to community needs such as the establishment of Women's Centers in barangays, telephone counseling, home based shelters and preventive measures like family home sessions to encourage open communication which has been effective. Legal partners like PIALO started by being assigned to Lihok Pilipina and handling criminal (rape and child abuse) and civil (declaration of nullity, legal support) cases. There is a substantial number of sympathetic prosecutors and groups who are willing to help in preparing those who need legal services. Also there are groups that can be relied upon to provide support services. Because minimal legal fees are charged, legal services become more accessible to women, especially disadvantaged women. Legal assistance plays an important role in responding to women's issues.

Through participation and cooperation, the various organizations and agencies involved have learned that problems of domestic violence are better and more concretely addressed by a concerted effort. By recognizing expertise, an effective system of referrals, coordination and support has been developed and it has expanded the ability of each agency to respond adequately and immediately to those in need. These efforts are characterized by a special sensitivity towards women and child victims. They have been able to mobilize more resources more efficiently. The ripple and multiplier effects can be seen in how training is passed down the line. Resources at the local level are used and lessons are translated through learning and teaching. Minimal resources are effectively coupled with maximized talent. Both as individuals and as members of groups, people are more able and motivated to work because of the mutual support and partnerships that have been formed. Members have bonded and feel that they are no longer alone. Moreover, they take pride in their work when they have seen how survivors provide effective and inspiring models for victims.

Despite the prevalence of domestic violence and physical/sexual abuse of children and women, it was generally believed that domestic problems were private problems and intervention was improper. These issues were addressed through discussion on the magnitude of the problem and by raising awareness through training and seminars. Seminars and training given by Lihok Pilipina and other partner agencies consisted of GST, VAW, Legal Literacy, Family Code Orientation, Basic Counseling, Women's Rights and other family and gender related issues. Bantay Banay groups were established and volunteers were mobilized. In the community groups, all work is voluntary and motivated by the increasing awareness of the community residents. As one barangay captain put it, "An informed public is a dynamic one". Volunteers mediate during conflict, organize task forces and manage livelihood programs. In mediating conflicts they follow a process of immediate response, intervention (by staging a noise barrage to stop the violence or conflict) and local resolution of the problem. If local resolution is not possible, barangay officials and police are contacted to take over and referral to partner groups is made available. When conflict require legal proceedings, volunteers launch court mobilization to provide moral support to victims by appearing in court. Other support systems include the provision of child minding, temporary shelter services and hospitalization for victims that are either free or paid for in kind.

The communities have used the organization brought about by Bantay Banay to address other community concerns needs outside of gender and family issues. After establishing Bantay Banay in their communities, the groups enter economic ventures such as cooperatives because of the realization that many problems originate from financial problems. Women, especially, are encouraged to put up small businesses. Most of these projects are self-financing initiatives and some groups use the income from their cooperatives to support BB projects and improve the community conditions. Their ability to organize themselves have also enabled the women to participate in politics through advocacy. Some examples of their other activities are:

- Lobbying at the barangay level for the creation of a Women and Family Affairs Committee with corresponding budget allocation
- Supported the 1996 anti-gambling campaign and the campaign for the anti-rape bill
- Participating as representatives in various national and international conferences

- Facilitation of an information drive and distribution of leaflets barangay-wide in order to minimize the incidences of child abuse and domestic violence, to expand membership through the information campaign
- Following up of land tenure problems, lot acquisition, slum improvement resettlement
- Infrastructural improvement such as cementing of footpaths and street lighting
- Provision of health and sanitation services - Clean and Green projects, water management schemes for water cooperatives, drainage systems, impounding of stray dogs
- Conducting watershed tours to promote environmental awareness

Continuous education and awareness programs are aimed at teaching the community conflict resolution and teaching the women to break the silence. These efforts have expanded into the creation of Bantay Banay youth groups which introduce issues regarding children's rights awareness and child abuse. This is considered an important component because of the large number of child victims and the need educate the next generation. The increasing awareness in communities has also captured the attention and interest of local officials. There was initial reluctance of barangay officials to support the project as it was seen as a political threat. But later they saw how Bantay Banay actually makes their work easier by implementing the law for them. Barangay captains now support the movement by providing funds for Bantay Banay projects and some have even successfully tapped the private sector for resources and funding.

Bantay Banay has benefited the communities as a whole and as individuals. Previously, self-interest and self-preoccupation characterized communities. Now, residents report a feeling of true commitment, unity, and communal concern borne from a desire to help others. Their exposure to Bantay Banay showed them, the women especially, the importance of knowing one's rights and having the self-confidence to assert and fight for them. Legal literacy has become an important source of confidence and empowerment. Men have started attending the GST and its effectiveness is seen in greater partnership among spouses, men participating in household chores and parenting and equality in decision-making and resource management. Furthermore, traditional perspectives on disciplining wives and children are changing as well as traditional perceptions of gender and motherhood. Single motherhood is being reconceptualized as single mothers strive to become models of successful living and survival. The stigma and shame of single motherhood has diminished through community support and acceptance. Though many problems and obstacles have been overcome, community members and leaders point to drugs as another problem that has emerged but can only be dealt with in limited ways.

The sustainability of the program hinges on the efforts of the communities themselves. But there are also sustainability schemes through the institutionalization of WIN-GAD which earmarks a built-in budget allocation for women and gender initiatives. The IACC also contributes to project sustainability by mobilizing resources from within and building capabilities through education. The different project areas of Bantay Banay have also found ways of institutionalizing Bantay Banay to ensure its sustainability. Some have made expansion efforts possible through funding from the city's Urban Health and Nutrition Program. Other municipalities have adopted the program as a municipal program and have passed resolutions directing the police and its social service department to include it in their budget. The province of Cebu has set aside 3 million pesos for the establishment of Bantay Banay programs in 4 cities. Each has its own IACC, taps local agencies and partners and has trained its own communities. The experiences of expansion and efforts at ensuring sustainability showcase Bantay Banay's success in replication across cities, municipalities and regions.

Key Dates

1984-Organization of Lihok Pilipina, the main proponent of Bantay Banay

1991 -A realization of the magnitude of domestic and sexual abuse led to the conceptualization of Bantay Banay

31 January 1992 -Formal organization of Bantay Banay in coordination with government agencies, NGOs, the police and with legal assistance from the FIDA (Federacion Internacional de Abogadas).

1995-1998-Expansion to 7 other cities and 12 municipalities through assistance from Misereor.

1998 - present Further expansion to 13 more cities and 2 municipalities through assistance from Misereor and TUCP DAW project.

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Type of Organization: Community-based organisation (CBO)
Partners

Organizing for Land and Housing, Social Inclusion and Human Development

Categories:

Gender Equity and Equality:

- access to resources
- empowerment
- gender roles and responsibilities
- gender specific needs
- legislation
- removing barriers to equity
- social integration

Housing:

- access to housing finance
- affordable housing
- eco-logical design
- homelessness
- land tenure and security

Urban Governance:

- accountability
- human resources and leadership development
- legislation
- metro/urban-wide government
- monitoring and evaluation
- openness and transparency
- partnership development
- public administration and management
- public policy
- resource mobilization

Level of Activity: National

Ecosystem: Tropical/Sub-Tropical

Summary

After seventeen years and four presidents, amidst rapid urbanization and lack of political will of government in developing the National Government Center as a social housing site, the SAMA-SAMA has succeeded in getting 150 hectares proclaimed for onsite resettlement, successfully designing and implementing a social housing innovation called the People's Housing Alternative for Social Empowerment (PHASE) which was adopted and later revised by the Ramos Administration, institutionalized the right of the people's organization to participate in the decision making in the National Government Center Housing Committee. It has also organized 18 day care centers, facilitated the installation of legal electric and water connections to the communities within the 700 hectares NGC settlement, dismantling syndicates preying on poor families, established a credit and savings cooperative for its members. It formed the core of an anti-eviction federation in Metro Manila of poor families threatened with evictions. Majority of its women members has supported the first political party of women that won a seat in Congress, the Abanse Pinay, in the last election. These are highlights of its past and present work. It has worked with planners, architects, economists and the religious in its struggle to make a difference, to be heard, to break out from poverty, ignorance and marginalization.

SAMA-SAMA started as a neighborhood mutual assistance group helping in construction of newcomers' houses, aiding widows to bury their husbands, raising funds for day care centers, resisting demolitions, constructing schoolhouses, and conduct advocacy work with legislators to support their struggle for secure land tenure. In the days of the Marcos dictatorship, it confronted the police and military to keep its community from being demolished, negotiated successfully with The World Bank to convince the Philippine Government to transfer the site of a building to avoid demolition. During dangerous times the

organization, saw that their struggle for land was closely connected to the struggle for freedom and democracy in the country.

Narrative

Values, Principles and Priorities

Human beings, alive, with wisdom, with feelings and dignity, is in the center of all our struggle in order to collectively raise the level of our consciousness and material condition in life. We believe that all people are created equal and have the capability to analyze, decide and act to respond to her/his needs and the needs of her/his neighbors.

Female Leadership

The leadership and general membership of SAMASAMA is almost 100 percent women who are supported by their spouses and families. They are the ones who analyze, decide and implement projects or mobilize people. Thus, our partners have realized that "it was the housewives who were the backbone of the organization. Men went to work, the women worked for their futures and families." This also fostered a more equal status between men and women in the community. In the past, women were seen as secondary only to men, confined within the home, do not have the confidence to face and talk to people of high status in government and in society in general. Thus, most women were seen to be making senseless noise and irrational complaints.

Now, women members and leaders are both seen in the community with respect not simply because they are women but as persons who make informed decisions. Women are also made visible by their courage in taking the frontline during protests, rallies and marches during the martial law days, participating in the popular movement to oust the dictator. Their exposure to discussions and analysis of issues, participation in organizational activities and training sessions gave them the confidence and the power to speak their minds and explain issues about the broader community and their rights and potential as women.

Objectives and Strategies

SAMASAMA's mission is to serve as the voice of the community, to inform government and other sectors about the aspirations of urban poor people. It analyzes and advances solutions regarding the issues faced by the communities in the entire National Government Center (NGC). To be the lead group and actor meaning to provide leadership, direction and genuine service.

1. Work towards the realization of people's security of tenure in the National Government Center.
2. Ensure that the core leadership of the organization will serve as guide and role model to its membership.
3. Continue the process of organizing and recruitment of new members.
4. Equip leaders and members with necessary skills for their own personal development and for the benefit of the organization.
5. Develop and properly manage the existing livelihood programs of the organization like the SAMASAMA Credit Cooperative, Inc., Soap Making Project, etc. to generate funds that could be used to develop new livelihood programs.
6. Create a better and healthier urban environment.
7. Continue the process of consultation with members.
8. Maintain partnership and links with different NGOs and POs.

Process

The general assembly is the highest policy and decision-making body of the organization that operates based on consensus. The Council of Leaders represents all the member neighborhood blocks and makes the necessary decision on the overall direction of the organization. The Executive Body, on the other hand, is given the task to implement the plans, decisions, and policies of the organization through the

active participation of its members. SAMASAMA deemed it important that majority of its members are able to participate in its planning, decision-making, formulation of policies and implementation.

Through the course of its development, SAMASAMA have always emphasized the need to make people informed about issues and how it would affect them, the importance of participation and involvement, the importance of continued communication and the importance of community meetings as a venue for information dissemination and organizational consolidation. Leaders are trained and often reminded of their role as facilitators to foster free exchange of ideas, feelings and opinions of its members that would help the organization in making decisions. Many times in the past, SAMASAMA have been faulted for its process of extensive consultation and participatory decision-making, prompting other people to think that the organization is more interested in the process, i.e. people participate, work together, are empowered, than in the goal of a house and land. But SAMASAMA believes that their struggle for land and housing is also a process of developing people and making them empowered.

Empowerment

"Beyond organizing benefits, such as land, (SAMASAMA) people developed the ability to lead and be important persons in the community. Also, individuals have greater self-respect, sense of dignity. They found the ability to stand up for their rights and engage religious and political leaders. They found a clear sense of self worth. Some of this came from their sense of self-worth. Some of this came from their sense that they were settlers who had banded together and decided they had rights and would determine their own lives and since most SAMASAMA people are women, they mostly got a clear sense of dignity as women who are able to do things. Women who were submerged arose. Many developed skills to move to other jobs and leadership positions."

Both leaders and members of the organization believe that each one of them are made stronger by their collective action and initiative. The courage and confidence fostered in them by their association with SAMASAMA has allowed them to speak their views on the issues at hand, it has also enhanced their trust in the organization and with each other. Collective ownership of decisions made and a strong organization with informed membership is the key to the attainment of a collective goal of development.

Social Inclusion

After seventeen years, two dead SAMASAMA leaders murdered by land syndicates, threats by illegal electricity concessionaires, continued threats of demolitions, misinformation and divide and rule tactics, SAMASAMA is continuing its struggle for land in the urban context. Its quest for recognition, while enshrined in government documents, is still being undermined and challenged. Nevertheless, despite these setbacks and challenges, SAMASAMA has proven through the years, through its members and leaders, the will to fight for their right to housing and human development. It enabled women - mothers, wives, elderly - to get involved, to go to government offices, talk to big, powerful people, debate with policy makers and technocrats, to defend their homes and their friends' in the face of armalites, truncheons and clear danger - during the repressive years of the dictatorship and against legal, procedural obstacles and commercial interest - at present.

According to Atty. Mendoza, a friend of SAMASAMA, "What I remember most is the core of active and activist leaders, officers or people who went to all meetings and rallies, ordinary people, housewives, with some source of side income, perhaps retired people. They were well trained by NGO seminars; they were well informed about all aspects of their problems and strategies and tactics on how to engage government, NGOs, lawyers, etc. This group was the most visible aspect for me in SAMASAMA, but I believe they organized the the entire community or a significant section of the community to take action, decisions, to being updated. I saw this all through my work with them. They picked up issues, fixed on issues and fed back to the people. They were on the ball. They were a few steps ahead of government as far as advocating issues on land and housing."

Impact

Many people who joined SAMASAMA did so for various reasons: the need to have basic services, like water and roads, to resist demolitions, to seek help for their land tenure problem, to put a stop to the extortion of money by the police and barangay (village) officials and because most SAMASAMA members were their friends who helped them in times of need. But in the process of joining the organization, they were not only able to find solutions to these problems, although not yet with the land tenure issue, they have also found much more. Leaders and members have become aware of their housing rights, sought to resolve their problems as a community and thought of solutions. They have showed to their capability to develop what was once a garbage dump and dumping ground for dead people through sheer will and the need to have a place within the city. Seventeen years after government first attempted to remove them from NGC, the people of SAMASAMA have remained in the city. Many members credit their confidence, analytical skills and determination whether within the organization or in their newfound jobs from the experiences, trainings and exposure they had through their association with SAMASAMA. Women who were once housewives have found themselves working as office workers, daycare teachers, field interviewers, aides for lawmakers, government workers and as organizers for elderly groups.

Partnerships

SAMASAMA recognizes its limitation in terms of the technical aspects of planning a huge settlement such as NGC that makes our partnership with groups like PROS and Panirahanan invaluable. For legal matters, we always turn to our friends and lawyers from SALIGAN to consult and hold discussions on matters that are not so clear to us. For economic development and suggestions we have sought the expertise of economists from AIM and FREED. When it comes to community organizing, COPE has been our partner ever since and continue to guide our work. Other NGOs like UPA, Philssa and donors have assisted us in more ways than one with respect and patience. From SAMASAMA's point of view, the trust and sincerity which we gave and found with our partners attests to our principled partnership that helped us find our voices and grow with greater conviction as poor people with rights.

Sustainability

SAMASAMA's mark may not be seen in terms of the very concrete and quantifiable economic terms but in what it did to uplift the status and quality of life of the people of NGC. The presence of basic services, schools for their children which our pioneers secured, barricaded and constructed, safe roads, place of worship - for all this SAMASAMA may not be remembered but their presence will attest to the efforts and sacrifices given by SAMASAMA leaders, members and our partners. The human development aspect of SAMASAMA's organizing, consultation and planning processes will remain with its members. And our struggle for land, our continuous quest for transparency, empowerment, respect and inclusion will sustain us in our organizing work for our community's future and our children.

Lessons Learned

Successful urban planning on the housing and community needs of urban poor families emphasizes the importance of the residents themselves initiating and implementing the development of their areas, drawing on technical support from professionals (architects, planners, sociologists, etc.) and benefiting from the government's supportive, facilitating role. - SAMASAMA's achievements in winning legitimacy in land occupancy, obtaining broad community consensus and undertaking effective self-self efforts at housing and socio-economic development should be recognized and rewarded by the government and by society at large. SAMASAMA is without doubt the best example of citizen participation in urban planning and development in the Philippines, and indeed one of the best in the world.

Replicability and Transfers

Working with SAMASAMA has opened the eyes of professional urban planners and architects to the expensive life in the slums were syndicates milk poor people for almost everything from water, electricity, garbage, etc. Respected architects, like Arch. MaOosa of PROS for instance, were impressed by the level of organizing and consultative process of the organization that they have since asked all the organization

that they work with at present to organize. According to him, "SAMASAMA was very sincere, fresh, open, believable. It was such a good relationship that we offered to host all the meetings. People's participation is a terrific tool for planning."

Many victories, strategies, and innovations done and experienced by SAMASAMA have served as inspiration for community groups within and outside NGC to draw lessons, ideas and to continue their organizing work. The operation of a daycare center in one neighborhood in NGC has led to the setting up of 17 more day care centers run by neighborhood level organizations of SAMASAMA. The strategy employed by another SAMASAMA neighborhood organization to pressure the local government to provide deep wells have provided practical instruction to other neighborhoods and succeeded in doing so. Other urban poor community organization in other municipality like Taguig have benefited from the experience of SAMASAMA through sharing of experience and practice that helped them secure their land. Urban poor communities in Thailand tried to replicate SAMASAMA's PHASE project with the help of Ms. Somsook Boonyabancha of ACHR and succeeded. The leaders of SAMASAMA have also shared its experience and strategies with the newly organized USG group of urban poor people in Phnom Penh.

The government had also decided to institutionalize the PHASE project of SAMASAMA because of its success in designing and implementing a self-help social housing and community upgrading initiative. However, the original mechanics were revised and owned completely by the government under the title PHASE-LAD. Nevertheless, this only goes to show the soundness of the solution and innovation that came from the people.

Key Dates

June 5, 1982 - the KRISKA - BCCs (Basic Christian Communities) were transformed into a more secular organization

April 6, 1983 - people from different parts of NGC defended the Gilami community against trucks of policemen, fire trucks and demolitions crew, it was one of the most violent and bloodiest demolition in the history of NGC. This year SAMASAMA grew in numbers and strength.

May 1985 - the World Bank replied to SAMASAMA's request that it stops funding the construction of a Department of Public Works and Highways (DPWH) depot that would displace hundreds of families. Eventually, the Bank prevailed on the Philippine government to put the depot elsewhere.

January 27, 1988 - through Memorandum Order No. 151, President Corazon Aquino gave SAMASAMA a seat in the NGC Housing Committee with equal voting rights as other representatives of the member housing agencies. Prior to this, 150 ha. of land in the NGC was proclaimed by Pres. Aquino as land grant for the bonafide residents (August 11, 1987) through Proclamation No. 137.

August 1990 - in the face of non-decision and lack of funding for the development of NGC, SAMASAMA proposed that residents plan and finance their site development. In exchange, government will issue lease certificates for 15 years. It was considered, as an interim solution that at the same time recognizes the tenorial rights of bonafide residents until development and disposition by way of direct shall take place. SAMASAMA implemented the PHASE in its 20 chapter communities until government took over and revised the project.

April 1995 - SAMASAMA started its credit cooperative that now has over P800, 000.00 in savings. It has a mutual aid fund for times of death and sickness among its members and their families. It has provided credit to its members who are mostly women in their informal work such as vending, home-based industries like rag making and re-packing of spices and condiments.

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Type of Organization: Community-based organisation (CBO)

Partners

Community Organization of the Philippines Enterprise, Inc.
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14-A Manhattan St., Cubao, Quezon City
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Type of Organization: Non-governmental organisation (NGO)

Type of Partner Support: Financial Support

Christian Aid - UK and Church Action on Poverty
Mr. David Cross
Community Linkwork/ Exchange Project
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Type of Organization: International Agency (Bilateral)

Type of Partner Support: Financial Support

Panirahanan, Inc.
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Type of Organization: Non-governmental organisation (NGO)

Type of Partner Support: Technical Support

Community-based Early Childhood Care and Development Program

Categories:

Gender Equity and Equality:

- access to resources
- empowerment
- gender roles and responsibilities
- gender specific needs
- removing barriers to equity
- social integration

Technology, Tools and Methods:

- appropriate technologies

Children and Youth:

- 0-9 years
- children's participatory planning and leadership development
- community support programmes
- education and vocational training (including day care and after school care)
- health and nutrition
- recreational/ cultural programming
- vulnerable groups

Level of Activity: Village

Ecosystem: Tropical/Sub-Tropical

Summary

In the second district of Quezon City, Philippines, where there is a very large concentration of urban poor families, only 7.9 % of children who need Early Childhood Care and Development (ECCD) services are reached by the public daycare service.

Early childhood is a very crucial phase in human development. This formative stage is characterized by rapid physical growth and mental development. Children at this stage have to be exposed to appropriate mental, physical and emotional development.

Early childhood comes only once in everyone's lifetime. Thus, some urban poor parents decided not to wait for early childcare services that might come too late. A group of women from Sitio Talanay in Barangay Batasan Hills, Quezon City asked HASIK to help them develop a community-based ECCD program. This partnership has since established community-managed daycare centers. From a single center initially servicing 30 children, the program now includes 12 daycare centers reaching more than 600 children annually. The centers are fully supported by the community with parents contributing small amounts to cover cost of operations.

It takes a village to raise a child. A popular African proverb says. In the same spirit, a number of urban poor communities led by women endeavored, and continue to endeavor, to raise their children in better conditions and with better childcare service. At present, community organizations which are implementing ECCD programs have banded together to form the District 2 Alliance for Children's Concerns (D2ACCO). The alliance advocates for government recognition and support to community initiated daycare centers.

Narrative

Values, Principles and Priorities

In urban poor communities, there is very little government support for parents to enable them to fulfill their parental obligations. Parents rue the fact that most of their time is spent on livelihood. Fathers are usually away at work for long duration and mothers take care of everything at home including activities that would augment family income. Women multiple burden inevitably affects quality of childcare.

In Sitio Talanay, Barangay Batasan Hills, Quezon City, women recognized that their children were always at a disadvantage when they entered grade school due to lack of pre-school experience. Privately owned preschools are not affordable and government can only provide daycare service to an estimated 7.9 % of the total number of children who need ECCD service.

Women in Sitio Talanay took on the initial tasks of organizing the community to place some priority on child care and development. Their first hurdle was the prevailing attitude of community members who tend to focus on 'big' issues such as land and housing. The women put forth the idea that child care is also a valid community concern.

Objectives and Strategies

The women's objective was to set up a community-based daycare program that would provide ECCD activities for urban poor children. They conducted household survey and parent meetings to raise awareness about the need to set up a program for their children. The women agreed to fully support the program. They identified a site for the daycare center, identified volunteer community members who are willing to be trained as daycare teachers, raised fund (through raffles, rummage sales, Christmas caroling and solicitations) to be able to construct the physical center and mobilized community members to build the daycare center. Parents agreed to contribute a monthly fee to cover honorarium for the volunteer daycare teachers. HASIK provided technical support in terms of teacher training and curriculum development.

Process

The process of organizing the community was systematically done. Due to the conduct of household survey and parent meetings, awareness was raised that led to the development of a group of stakeholders. The process also ensured sustainability of the daycare program since internal community resources were mobilized.

A 10-day intensive training for volunteers daycare teachers from the community, all women with minimal formal training, was conducted in 1992 (and yearly thereafter). The volunteers' ages ranged from 16 to 40. Majority had finished high school, active in community organizations and signified willingness to work with children. HASIK worked to simplify and to sort out the essentials from a four-year education course. The training program uses a variety of creative methodologies and immerses the participants in an environment of play, fun and participation. These non-formal and non-traditional methodologies have been proven to create an effective learning environment.

Physically setting up the daycare center entails making do with small spaces in the community and designing from the barest of facilities the best environment for the children. Parents were enjoined to give time and labor for the construction of the daycare center. Food for the workers was solicited from concerned community members. The Filipino tradition of bayanihan (communal work) was brought to fore. Apart from attending orientation sessions on the ECCD program, a number of parents also attended the training sessions for the daycare teachers. Thus, their involvement went beyond the administrative aspect of program implementation. Some volunteered to assist the daycare teachers and some even organized daycare centers in other areas themselves.

Empowerment

The challenge of recruiting and training volunteers for the program is enormous. The possibility of a university graduate to work as a daycare worker earning a minimal honorarium is very small. The key is to train volunteers from the community and equip them with teaching skills and the curriculum. But goals went far beyond developing their skills. It was also important for the women to be empowered and confident enough to teach despite having limited experience in formal education and training.

The teacher training program has been proven to be effective in conscientizing and developing the confidence of community volunteers to become daycare teachers. Even if they are not university graduates they were able to impart the vital skills using the curriculum for urban poor children. This only means that more para-teachers can be involved in the task of bridging developmental and educational gaps affecting children who are victims of poverty.

The daycare teachers had infused so much of themselves in the process of setting up a community-based daycare center. Each one of them is an administrator, teacher, community organizer rolled into one. None of them can be described as fragile and insecure ever again.

One of the daycare teachers relate: It has always been my dream to teach. I have not applied for a teaching position because I did not finish college. When the daycare center in Talanay was being set up, I volunteered to attend the teacher training I learned many techniques which I could use for teaching (I realized that) as a daycare teacher, my responsibility does not start and stop with teaching. I also involve myself with other issues in the community

One parent has this to tell: You can never imagine the pride we felt while watching my children and the other children in the community during their graduation day. It was a dream come true: that we were able to provide our children basic education despite our being poor

Impact

The experience of the pilot daycare program in Sitio Talanay and the subsequent daycare programs set up in other communities has proven the viability of community initiated and managed early childhood care and development service. Children need not suffer the lack of ECCD program in their communities because parents and other members of the community can replicate the Talanay experience.

Community organizations with ECCD or daycare programs have banded together to form the District 2 Alliance for Children's Concerns (D2ACCO). It is a fairly big alliance running 30 daycare centers in the district servicing an average of 1,500 children per year. While many children have yet to be reached, D2ACCO's strength lies in its being a grassroots alliance that implements viable ECCD programs. It poses a model of sustainable ECCD program for local government officials that are afraid of expanding daycare service delivery thinking that the program will have to be shouldered solely by the barangay/city government. D2ACCO is currently active in advocating for government support and recognition for community ECCD initiatives.

Partnerships

HASIK's partnership with community organizations that set up their own daycare programs has always been based on the principle of counterparting. Community organizations take care of the tasks of organizing the parents, mobilizing community resources, identifying volunteer daycare teachers and raising fund for the incremental development of the physical centers and honorarium for the daycare teachers. The day-to-day operation is primarily the task of the community members with the able support of the daycare teachers once they are trained. HASIK, on its end and with the help of Save the Children UK, took care of developing the training program and facilitating curriculum development. HASIK also serves as secretariat for D2ACCO.

Advocacy work at the barangay (village) and city government level focus on developing a model of local government-NGO-community collaboration in ECCD service delivery. The experience of community initiated ECCD programs in maximizing community resources – both human and financial – can inform local government officials about programming and supporting viable community ECCD programs. This can bring about a long-term solution to the problem of access of urban poor children to ECCD services and sustaining community initiated ECCD programs.

Lessons learned

With the experience that HASIK had in implementing a community-based ECCD program in partnership with community organizations, several lessons have been culled that can stand as considerations in future undertakings:

ECCD as a valid community issues - the recognition of ECCD as a need by the community is a basic goal of the program. Only when we have achieved this can the ECCD program be sustainable because then the community can be mobilized to support the program and look upon it as a community undertaking.

Organizing around the ECCD issue has been recognized as a support to enhance community organizing efforts. The presence of a daycare center is very helpful as it becomes a community center. Parents and other members of the family of children enrolled in the centers participate, not only in ECCD matters, but in other community issues as well.

Women as prime movers in child-related issues and women find it very easy to internalize the issue of childcare and development. This being a necessary precursor to action, ECCD program implementation had always counted on women power for its success.

Replicability and transfers

The successes of the community-based ECCD program have expanded way beyond the handful of communities seven years ago. Today, HASIK is able to share the experience and lessons from the pilot project in Talanay through an ECCD training program to a dozen urban poor based NGOs and 55 community organizations in major urban centers of the Philippines. These training activities have resulted in 54 community initiated and managed daycare centers that HASIK continues to assist in terms of continuing capability building of daycare teachers and curriculum development.

Key Dates

- 1991 - community women sought HASIK's assistance re ECCD
- 1992 - first training of volunteer daycare teachers
- 1992 - pilot daycare center set up by women
- 1995 - alliance of community organizations with ECCD program formed

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Partners

Save the Children Fund UK

Type of Organization: International Agency (Bilateral)

Type of Partner Support: Financial Support

D2ACCO

Type of Partner Support: Technical Support

Cooperative Pabahay Program

Categories:

Economic Development:

- cooperative opportunities
- entrepreneurialship
- micro-credit
- training

Housing:

- access to housing finance
- affordable housing
- construction industry
- eco-logical design
- land tenure and security

Level of Activity: National

Ecosystem: Tropical/Sub-Tropical

Summary

The Cooperative Pabahay Program of the National Housing Authority shows the deliberate efforts of cooperatives in involving all stakeholders from the government; non-government agencies, private sectors and interest groups as stakeholders in the production of affordable and decent housing for the homeless poor members of cooperatives.

The program was started in 1996 when the National Shelter Program of the government was launched requiring NHA to contribute to the target of providing 1.2 million homes for the year 2000. The financial crisis of 1997-1999 affected the housing construction industry resulting to limited funds provided by the government and high interest rates of banks and other institutions providing housing loans.

The Livelihood Development of NHA tapped the potential of "Millionaire" Cooperatives to provide funds for construction of homes for their homeless poor members. NHA provided technical assistance for land and site evaluation, project feasibility study preparation, subdivision planning, housing design, construction supervision, estate management and project maintenance. The Cooperative Development Authority and other financial institutions. Organizational development and financial management training of the cooperatives were provided by LDD of NHA; Cooperative Development Authority; Cooperative Housing Foundation and National Training Center for Cooperatives.

The cooperatives were taught to raise their own funds for housing through intensive savings mobilization: equity investments, grants and donations as well as borrowings so that they can purchase land, construct their houses and manage their housing project.

Narrative

Situation before the Initiative

Philippines' housing backlog is 3.7 million housing units. There is lack of coordination and cooperation among the government housing agencies. In March 24, 1992 Republic Act 7279, the "Urban Development Housing Act" was implemented. The National Shelter Program was crafted encouraging various sectors " to effectively formulate strategies and design options in providing decent housing to the poor". The Cooperative Housing program was initiated to help poor homeless members of cooperative have decent home, since they are informally employed and find difficulty in accessing credit facilities for housing even from government financial institutions.

Establishment of priorities

Only those cooperatives that are organizationally stable, financially capable and interested to provide housing to their homeless members were prioritized for assistance by NHA, CDA and Land Bank. A Technical Working Committee was set up between NHA and CDA to choose the organizationally stable coops based on criteria developed by the committee. Technical Working Committee between Land Bank and NHA was also created and draw up financial criteria for cooperatives that will be funded by Land Bank. The committees assessed the training needs of these cooperatives so that training suited to the needs of these housing cooperatives were designed and implemented.

Formulation of Objectives and Strategies

Based on the needs assessment of the cooperatives, the objective of providing technical assistance and access to financial resources of qualified cooperatives were formulated by the Technical Working Committee. The committee also drafted the implementing rules and regulations for the Cooperative Housing Program which was approved by the NHA General Manager and the CDA Board of Directors and later published in a newspaper of national circulation. The cooperative will be assisted to construct at least 50 decent and affordable housing units with land titles in the name of the cooperative members.

Mobilization of Resources

Resources of partner agencies like Land Bank, CDA, CHF were maximized to ensure progress in the CPP. Land Bank set aside P500 M initial loan fund for land development and housing construction. A nationwide advocacy program was funded by Land Bank and CDA for the orientation of the key provincial and city staff of Land Bank, CDA and NHA on how the program will be implemented.

Private agencies like Alterplan Inc. and National Training Center for Cooperatives (NATCCO) were involved in the training and advocacy sessions of cooperatives.

The local government units of cities and municipalities were requested to assist in land registration, land conversion, approval of housing subdivision and building permits. The Bureau of Internal Revenue was requested to give cooperatives involved in socialized housing exemptions from payment of Capital Gains Tax and Realty Taxes to lower cost of the project.

The Cooperative Housing Foundation with funds from USAID PROVIDED THE TRAINING OF 60 NHA staff and 106 cooperative leaders on the systems, procedures and practices of cooperative housing and 7 key cooperative and NHA officials were given two weeks study tour in the United States to learn more about US housing and student housing cooperatives.

The Habitat for Humanity signed a MOA with NHA on October 14, 1999 for the construction of the housing units of poor members of cooperatives that do not qualify for bank financing.

Process

Interested cooperative apply for technical and financial assistance to NHA. If found qualified, a Memorandum of Agreement is signed and the cooperative is assessed as to its technical and financial needs. NHA evaluates the land for housing suitability, prepares the subdivision and housing plans and specifications. A Project feasibility study is prepared with the financial requirement and cash flow. The Cooperative Housing Management Committee is organized and trained on the housing project cycle. Sources of funds are identified, pre-qualified and provide equity as share to the project. Housing construction is supervised by NHA. Once the project is completed the members are awarded individual land title with completed houses, for amortization for 10 to 25 years.

Putting up a housing project is capital intensive and requires millions in investment. Common issues identified by cooperatives are: lack of funds for land acquisition; land development and housing construction. Most of the identified cooperatives have millions in assets, however, they do not have sufficient reserved funds to finance their housing projects because most of their funds are already utilized

in regular programs like providential loans, credit and consumer goods. To solve this issue, the cooperatives strategized by sourcing-out funds from the member-beneficiaries and from outside sources. The NHA continuously identifies banks and other financing institutions both national and international to finance the cooperatives housing projects. The Authority also influenced other agencies who have no socialized housing program to develop new policies/programs to accommodate the cooperative housing projects such as the Foundation for Sustainable Society (FSSI), the Cooperative Federations and the Department of Agrarian Reform.

Most of the cooperatives have acquired agricultural land for their housing projects. A land conversion from agricultural into residential use is required. The land process pose a problem to the cooperatives because it takes several months/years until the application for conversion is approved by the Department of Agrarian Reform (DAR) and Department of Environment and Natural Resources (DENR). This affected the enthusiasms of the cooperatives to pursue their housing projects. The NHA made an agency to agency coordination with all the agencies involved in the land conversion process such as Housing and Urban Development Coordinating Council (HUDCC); Department of Agriculture (DA); National Irrigation Administration (NIA); Department of Environment and Natural Resources (DENR); Department of Agrarian Reform (DAR) and to concerned Local Government Units where the proposed housing site is located. As a result a one-stop-shop for land conversion is now proposed at the Cabinet.

Results Achieved

1. Closer cooperation and coordination among the five (5) housing agencies involved in socialized housing through the creation of one-stop shop clearing house at the regional level.
2. LandBank set aside P500 million for housing loans to cooperatives.
3. CDA, NHA NATCCO < LandBank trained almost 1,500 cooperative members and staff on program mechanics of Cooperative Housing.
4. USAID provided technical assistance fund to the Philippines' Cooperative Development program through the Cooperative Housing Foundation (CHF).
5. CHF-NHA trained 106 cooperatives and staff on the systems procedures and practices of housing cooperatives of the U.S., Canada, Thailand and Africa.
6. Ninety-six (96) cooperatives have signed agreement with NHA for the development and production of 20,405 housing units for 1999-2001
7. A total of 12,489 lots and housing units were already produced by nine (9) cooperatives and awarded to their individual members.
8. Some 40 local government units and 20 congressmen and senators were oriented on Cooperative Housing. Some 20 Municipal/City Mayors, 6 Congressmen and 5 Senators endorsed the use of their Congressional Development Funds to finance land development of housing cooperatives.
9. Canadian International Development Assistance has provided funds to NATCCO for training of housing cooperatives under the SEDCOP Program for the years 1999 to 2003.
10. Senate Bill 427 introduced in Congress by Senator Vicente Sotto, on November 16, 1998 provided among others the act to promote and encourage the organization and sustained development of cooperatives as instruments for the fulfillment of basic needs of housing for the homeless and under privilege members of the cooperatives.

Sustainability

The major strength of the program is the active participation of cooperative organizations, who mobilize their internal and external resources to construct homes for their homeless members and support the government effort to lessen housing backlog of the country.

Since housing is a basic need, there will always be an increasing need as Philippine population grows and as migration to urban growth centers continue to be unabated. There is the development of new housing technology that will not only lower the cost of construction and make housing more affordable but also reduce dependence on non-renewable resources like land and diminishing supplies of wood, cement, sand and gravel.

Local and international support has been continuously demonstrated by banks, financing institutions and development organizations because of the unique participation of cooperatives as contractor-developer of their own housing unit, and the transfer of technology to the grassroots level that empowers the poor cooperative members to harness their own resources to contribute to a national priority program.

There are about 39,000 more registered cooperatives in the country that are awaiting to be harnessed and tapped as program partners of the government. If each cooperative will put up a minimum of 50 housing units, that will be 1,950,000 more homes to house the homeless poor members of society, who will enjoy decent, adequate and affordable home and improved quality of life.

The present move in Congress to amend the Cooperative Code of the Philippines and to include a full chapter in Cooperative Housing, will surely propel the initiatives to put up more housing cooperatives.

President Joseph Estrada has also placed socialized housing as the number two priority program of his administration and has made six (6) government and private banks sign an agreement with the Executive, to provide funds for the housing program for the poor families.

Lessons Learned

Funding is the primary problem even for coops that are financially capable. Coop funds are intended for present operations and only upon the ratification of the General Assembly and approval by its Board can be Coop set aside funds for a coop housing project. The Program encourages coops to mobilize its own funds for housing. Various programs for members to save money are promoted, to the extent of saving even P1.00 a day can help build a decent house for the family.

The LDD has signed an agreement with the Land Bank of the Philippines for a P500M loan window to finance the Program. Other funding agreements with the Development Bank of the Philippines, Cooperative Housing Foundation of USA and other local banks are already in the final stages of negotiations. Small funds from various sources when pooled together can finance a capital intensive housing program.

Another problem is the unavailability of land suitable for housing. Most coops prefer single-detached houses over high-rise types. This has caused coops to look for land in the provinces where it is cheaper and bigger, rather than in the cities where land is scarce and costly. In the provinces, specially the countryside, lands are classified as agricultural. It has to be converted to residential use. Among coops presently assisted by NHA, 40% are awaiting land conversion. This problem prompted NHA to coordinate with five other departments at the national level to facilitate the processing of land conversion, for its client - coops. The problem is now being addressed by the Philippine Commission for Socialized Housing headed by the President of the Philippines.

Hence, for prioritization purposes, NHA prioritized partnerships with coops that own lands already converted into residential use.

The last major problem is the lack of technical skills from within the coops to handle the housing project. Coops resort to hiring engineers and architects to oversee the housing project, or much worse, they contract with construction firms who treat them as regular customers making construction costs unaffordable. The program addresses this problem by providing technical assistance, as agreed in the Memorandum of Agreement from the project conceptualization stage, planning, land development, house construction and even to project maintenance. In the process, coop staff are trained to handle the project themselves to minimize costs.

Transferability

One of the functions of the LDD is the transfer of technology on how the Cooperative Pabahay Program will be implemented across the country. It is the cooperatives who are being assisted by NHA who

promote information about the Program by word of mouth. As of fourth quarter of 1999, a total of 96 coops have signed Memoranda of Agreement for partnership with NHA in the implementation of their cooperative housing projects. The 96 coops with MOA have targeted a total of 20,405 housing units, with a total project cost of P2,899,212,000.

Local government units, as well as Legislators (Senators and Congressmen) are provided orientation and technical assistance on the procedures of the Program. The publication of the Cooperative Housing Procedural Manual will provide the Local Government staff involved in housing as well as the Local housing Board a document on the process of putting up a Cooperative Housing Program.

Coops who applied for NHA technical assistance but found not yet qualified through a Coop Evaluation conducted by NHA are given guidance on how to strengthen their organizational, technical and financial capabilities and later may re-apply for partnership and eventually, enter into a Memorandum of Agreement with NHA.

Aside from cooperatives, organizations both government and non-government, or even international agencies have benefited from the program. NTCCO and Alterplan with funding assistance from Canadian International Development Assistance (CIDA) and the International Cooperative Alliance are now developing modules for training of cooperatives for housing services with the assistance of NHA. Cooperative foundations like MASSPEC and VICTO are now targeted as fund conduits for housing cooperative loan.

NHA-LDD staff are training cooperatives are pool to provide orientation and training on the Cooperation Pabahay Program nationwide.

Key Dates

May 22, 1996 NHA Circular 1228 Implementing CPP

June 30, 1996 CDA-NHA MOA signing

Sept. 30, 1996 National Publication of Implementing Rules and Regulations

Jan. 24, 1997 Land Bank provided P500 Million for Cooperative Housing Loan

June 27, 1997 CHF-NHA MOA signing

May 14-18 1999 Training of 106 Cooperatives

Oct. 14, 1999 Habitat-NHA MOA Signing

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- Manila Bulletin Newspaper, page 26, July 18, 1997 pictorial on NHA - ASSAMCO MOA signing on Cooperative Pabahay Program
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- The Philippine Journal Newspaper, page 7, June 16, 1997. Pictorial on NHA-SAFRAGEMC (San Francisco Government Employeess Multi-Purposes Cooperative) MOA Signing on Cooperative Pabahay Program
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- BCDC Newsletter - October 1999 Issue
- Republic Act 7279 - Urban and Housing Development Act
- Senate Bill 426 - Amending Republic Act 6938
- Cooperative Code of the Philippines

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Type of Partner Support: Financial Support

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Type of Partner Support: Financial Support

The Abra Overseas Filipino Workers' Center

Categories:

Poverty Eradication:

- income generation

Economic Development:

- enterprise development (formal and informal sectors)

Social Services:

- education

Level of Activity: Global

Ecosystem: Tropical/Sub-Tropical

Summary

Key Dates:

1. May 2, 1997

The First Lady of Abra, Atty. Ma. Zita Claustro-Valera, visited Hong Kong to crown the queen of the Abra Tingguian-Ilocano Society (ATIS) of Hong Kong, a federation of various associations of OFWs from Abra. That same day, an OFW from Abra died from a fall from the 4th floor of a building. This tragedy opened the eyes of the First Lady of Abra to the many problems suffered by Filipino Overseas Contract Workers in Hong Kong and in other parts of the world. With the encouragement of the officers and members of the ATIS-HK, Atty. Claustro-Valera decided to establish in Abra, the ABRA OFW CENTER to help OFWs and their families.

2. August 11, 1997

The Sangguniang Panlalawigan (Provincial Board of Abra) passed a resolution establishing the Abra OFW Center

3. July 16, 1999

The Abra OFW Center was awarded the highly-coveted GALING POOK AWARD by the Ford Foundation, the Asian Institute of Management, and the Local Government Academy as one of the 10 Most Outstanding Programs in the Philippines for 1999, for creating an innovative program that is responsive to the special needs of a big important and previously ignored sector of society.

4. September 30, 1999

The Abra Overseas Filipino Workers Center Team - the group behind the Abra OFW Center won the PAGASA Award as one of only 6 outstanding teams in the Philippines for maintaining and carrying out the noble mission of the Abra OFW Center and designing new services for the Abra OFWs.

5. February 28, 1999

A new computer with the capability to go ON-LINE is purchased by the Center.

Likewise, a new FAX machine and answering machine to maximize the assistance given by the Abra OFW Center to OFWs and their families.

This is considered an important milestone because the money used to purchase these vital equipment came from the prize money from the 2 awards received by the Center.

Narrative

Situation before the initiative began

15,000 "OVERSEAS FILIPINO WORKERS" come from Abra, 7.5% of Abra's total population. They have 75,000 relatives. Many problems beset these people: Legal ones (Illegal Recruiters, Sexual/Physical Abuse, Breach of Contract), also personal/family problems (absence of communication/financial support, juvenile delinquency, unfaithful spouses). They cry for solutions and assistance.

Establishment Of Priorities

The Center's priorities are: to establish FREE COMMUNICATION BY TELEPHONE between the OFW anywhere in the world and his family in Abra; conduct Information Campaigns in Barangays for prospective OFWs so they can anticipate problems abroad; provide FREE LEGAL ASSISTANCE; follow-up cases of OFWs in National Government Agencies or Embassies here and abroad; look for MISSING OFWs, provide Scholarship Grants for children of OFWs; monitor Financial/Loan Assistance packages from foreign partner organization to local recipients; provide LIVELIHOOD ASSISTANCE to former OFWs; and to TRANSPORT remains of OFWs who died abroad from Manila to their home in Abra, FREE OF CHARGE.

Formulation of Objectives and strategies

The GENERAL OBJECTIVE of the ABRA OFW CENTER is to help the 15,000 migrant workers from Abra and their families.

This objective was established by ATTY. MA. ZITA CLAUSTRO-VALERA when she decided to put-up the Center in May 1997 after members of the ABRA TINGGUIAN-ILOCANO SOCIETY in HONG KONG confided to her the many problems faced by ABRENOS working abroad.

Specific objectives were: to grant free phonecalls to anyplace abroad and to receive messages for relatives in Abra; to give orientation programs regarding the culture of host countries and to help in conducting inquiries or in requesting assistance from different offices. And finally, to respond as effectively as possible in any other case brought to its attention.

Mobilisation Of Resources

To establish the Abra OFW Center, the first resource harnessed was human intelligence and creativity. There were no precedents to follow and no previous nor existing programs to pattern our work after. Only the needs of our migrant workers were guiding us. Second, by harnessing vital political resources in the persons of Gov. Vicente Valera and the Provincial Board of Abra. First Lady, Ma. Zita Claustro-Valera established a small office with one telephone, one coordinator and a small budget. When she became Governor of Abra, she expanded the working team of the Center to include: Provincial Legal Counsel to give free legal services to OFWs, an expert computer analyst to store all data pertaining to cases handled by the Center and to surf the NET to search for missing OFWs, a journalist to prepare presentations that show the world what the Center does and how it works, and a labor specialist to check the track record of recruiters and agencies.

These people ran the center, design and execute new programs that enable the center to grow and expand its services. Another resource mobilized were the ATIS-HK and soon, other migrant organizations of Abrenos abroad and finally, we mobilized the contacts in the National Government Agencies and embassies.

Process

The Abra OFW Center did not meet many problems because its proponent, Atty. Ma. Zita Claustro-Valera had the full support of Gov. Vicente Valera and the Provincial Board. They immediately realized that the problems of the large OFW sector cannot be ignored.

A Coordinator was immediately deployed by the Governor to man the Center.

A telephone was enough to give the OFWs and their relatives a chance to communicate for free in emergencies.

As people learned about the Center, more people came to ask its help for problems more urgent than just phonecalls. Legal services were needed by many who had criminal cases whether as victims or as the accused.

Gov. Valera solved this by asking the Provincial Legal Counsel to render service at the Center. He gives legal advice and makes pleadings. This is a valuable form of assistance for troubled OFWs who were: cheated by illegal recruiters, wrongfully accused by employers, sexually or physically abused by their foreign masters. Without this FREE legal assistance, they would be helpless.

When information is needed from foreign agencies to search for missing OFWs or seek legal counsel for OFWs jailed abroad, the Center calls on institutions like the Department of Foreign Affairs (DFA), the Philippine Overseas Employment Administration (POEA) or the Overseas Workers Welfare Administration (OWWA).

The Center is also faced with problems to help in cases where an OFW arrives from abroad mentally ill or dead. To help the relatives, the Center rents vehicles to transport them home.

Sometimes, aggrieved families ask for autopsies on these unfortunate OFWs. The Center then asks the National Bureau of Investigation (NBI) for forensic doctors.

The Center also designed an Information Program to educate future OFWs regarding the life they may expect abroad. MOBILITY was needed to bring this program to all barangays. Requesting the Department of the Interior is solving this problem and Local Government (DILG) for funds to buy a 4-wheel drive van that can reach the mountainous municipalities.

The Center also needed a Fax machine and an Answering machine to enhance its ability to communicate faster. To solve this, the Abra OFW Center Team donated the Php 30,000.00 (US\$731.70) they won from the Civil Service Commission's PAGASA AWARDS (Award for Outstanding Teamwork) to buy the equipment.

Finally, with all the expanding responsibilities, the Center needed a computer to organize the data and also to go ON-LINE to search for missing OFWs. They solved this problem by using the Php100,000.00 (US\$2,329) cash award from the GALING POOK AWARDS (for Innovation and Excellence in Local Governance) to buy a computer

Results Achieved

In less than 3 years of existence, the Abra OFW Center has succeeded famously in achieving its objective of helping OFWs from Abra and their families. The impact can be measured quantitatively by the number of services rendered and cases resolved (Please see Appendices)

But the qualitative benefits go beyond the numbers. When a missing OFW is found, the joy of his/her family cannot be measured. When he/she is finally absolved of a crime he did not commit, when he/she is freed from jail, when he/she is able to prevent trouble because he/she has been well-oriented on how to protect himself, the value cannot be measured in charts or numbers, rather in the fullness of their hearts, the soundness of their sleep and the well-being of their families. On a larger scale, the success of the Abra OFW Center may also be measured by the recognition it has received from highly respected institutions like the Ford Foundation, the Asian Institute of Management, the Local Government Academy, and the Civil Service Commission. All institutions involved in matters pertaining to Migrant Workers now consider the Abra OFW Center as an effective partner in their common work. Lawmakers like Congressman Mar Roxas and Senator Juan Flavier honored it as a one-of-a-kind

program. These respected individuals are leaders in Congress who influence government programs and policies.

Sustainability

Though barely 3 years old, the Abra OFW Center has handled so many cases that made big differences in the lives of many OFWs. The figures show how relevant the program is in addressing these modern-day problems arising from the Migration of Labor.

The exodus of our people to other countries will continue for as long as Poverty stalks our country and for as long as there are OFWs, the Center will remain relevant. This RELEVANCE is the first assurance that the ABRA OFW CENTER will exist for a long time.

Another big factor to its sustainability is its SIMPLICITY. The Center can be run easily by anyone with dedication, intelligence and creativity to utilize the resources and services of existing local, national and international institutions. The Center delivers its services by channeling the resources and facilities that are already in place, in favor of OFWs. The Center is also sustainable because it is NOT EXPENSIVE to operate.

It is directly under the Office of the Governor, who allocates funds from her Social and Economic Development Fund towards the needs of the Center. It also receives a little support from some Migrant Associations based abroad. Its budget will show that the amount invested by the Government is small in comparison with the number of OFWs served. The last factor that assures the sustainability of the Abra OFW Center may not be noble but it is extremely practical in this country: It is POLITICALLY CORRECT - and as such very advantageous to any candidate who is sympathetic to its cause.

Although the Center was created out of a sincere desire to help, it has since established its political value. A politician risks a huge political backlash, should he close the Center and deprive the OFWs of its much needed services.

Lessons Learned

The first valuable lesson learned from the establishment and success of the Abra OFW Center is that the HEART is a good guide in planning programs for the people. We also learned that planners must not be afraid to blaze new trails in search of ways to answer the people's needs; and that often times, as long as the mind is open, the simplest solutions make the biggest differences.

We also learned that one must look for partners with similar beliefs but with bigger resources, to enhance and reinforce our initiatives.

We also learned that the lack of funds or models are not deterrents to establishing a successful program. That as long as the goals are clear, common sense and determination will find ways.

In the case of the Abra OFW Center, there were no precedents to follow, no previous experience to learn from, but we went ahead anyway and learned our lessons along the way, guided only by their need and our desire to help. This is why we carefully document every activity for others who might wish to learn from us.

After more than 2 years of operation, we can confidently innovate and fine tune the program to help more people in more ways.

We also know that the Center cannot function without the help of other agencies whose services and programs we access for the OFWs.

In the end, the biggest lesson we learned is that the Abra OFW Center must exist alongside government programs that promote economic and social opportunities at home. When an OFW can earn at home

what he does abroad, he will choose to stay home rather than serve foreign masters. When that happens, all problems of OFWs will go away. Until that ultimate solution arrives, the Abra OFW Center will work hard to ease the OFW's troubles.

Transferability

OFW problems are not exclusive to Abra. Every province in the Philippines and every 3rd world country in the world have the sad experience of seeing their people leave their homes for many years to work abroad. Just like in Abra, this phenomenon gives rise to many problems at home and abroad. As such, there is a great need to establish OFW Centers in all provinces.

The exposure received by the Abra OFW Center after winning the 2 national awards has opened the eyes of people from other provinces to set up centers of their own.

The factors that sustain the Abra OFW Center also exist in their provinces: The GREAT NEED because of the great number of OFWs everywhere, the RELEVANCE, the SIMPLICITY, the immense goodwill and POLITICAL CORRECTNESS of a program that immediately connects with a very large but silent majority. What could we have done differently? We could have started sooner because the departure of many people for foreign employment began 20 years ago.

The Province of Abra actively encourages other leaders to put up OFW Centers because we can all benefit from a sharing of knowledge.

We know that there is a wealth of fresh ideas out there that we can utilize to help each other.

We do not have all the answers but we are ready to freely share the lessons and ideas we already have. We envision a network of OFW Centers around the Philippines that would create a deep pool of talents and ideas from where we can draw and multiply the benefits of the Abra OFW Center initiatives.

Key Dates

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Type of Organization: Non-governmental organisation (NGO)

Type of Partner Support: Financial Support

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Type of Organization: Media

Type of Partner Support: Financial Support

Planning and Implementation for Enhanced Environmental/Economic Governance

Categories:

Urban and Regional Planning:

- community-based planning
- localizing Agenda 21

Environmental Management:

- environmentally sound technologies

Urban Governance:

- decentralization
- human resources and leadership development
- institutional reform
- monitoring and evaluation
- partnership development
- public administration and management
- public policy
- visioning

Level of Activity: Provincial/State

Ecosystem: Island

Summary

This program is building the capacity of local authorities in the Philippines to promote sustainable development practices and community involvement in local decision making. It is designed to pilot model approaches to "operationalizing" the Philippine Government's policy towards decentralization of power to local authorities and empowerment of local communities, which is required under the country's 1991 Local Government Code (LGC).

The program is being implemented on the island of Guimaras, with Canadian know-how transfer provided by the Canadian Urban Institute through funding from the Government of Canada. It has strengthened all three levels of local government on the island -- provincial, municipal and barangay (village) - in strategic local government management. The impact has been to build the capacities of communities and local governments to work in partnership to bring about sustainable development. The project has been replicated in two other locations in the country.

The program embarked on an island-wide strategic planning and implementation process using a multi-stakeholder, community-based approach. It involved all three levels of local governments, engaging a total of 102 local government units and more than 5000 stakeholders from national government agencies, private sector and civil society. This process resulted in the completion of integrated strategic plans for all three levels of local government. These plans are providing directions for the local governments in mobilizing human and financial resources for the achievement of priority economic, environmental and social development objectives on the island. Drawing on the priorities set out in the strategic plans, the program has involved communities in the implementation of four multi-year demonstration projects in land use planning, integrated solid waste management, local economic development and heritage tourism development.

In recognition of these achievements, in 1998 the Province of Guimaras received the "Award on Environmental Protection" from the Office of the President of the Philippines under the Presidential Council for Countryside Development.

Narrative

Situation before the initiative began

- Guimaras -- a peri-urban region experiencing increased urban pressures from nearby Iloilo City - faces uncoordinated growth and development. The island's environmental health and liveability of its settlements are threatened.
- Guimaras granted full Provincial status (1992) and two new municipalities created (1995). Philippines decentralization code (1991) transfers significant responsibilities to these "infant" local authorities, yet they lack organizational, human and technical capacities to absorb them. No strong tradition of civil society involvement in local decision making exists.
- One of the country's 20 poorest provinces, widespread poverty is placing significant strains on local service delivery.

Establishment of Priorities

- Province of Guimaras and CUI together designed the project and its approach through multi-stakeholder workshops (government, private sector and civil society) and through exchange of local government professionals to define issues and to design an international partnership program to address the developmental challenges facing the island. Canadian consultants travelled to the island to provide advice and Guimaras professionals visited Canada to study successful models of local governance. Main priorities identified were local government capacity development in strategic planning and management, civil society involvement, environmental management, economic development and land use planning. This process has been repeated on an annual basis throughout the program.

Formulation of Objectives and Strategies

The objective of the program is to develop the capacity of provincial, municipal and barangay governments to implement a province-wide, community-based and multi-stakeholder strategic planning and project implementation process. The main strategies have been to:

- Establish a multi-stakeholder project management system integrated within local decision-making structures.
- Formulate integrated strategic plans at three local government levels through a participatory process involving the public, private, non-governmental and community sectors.
- Implement the strategic plans by building local government/community partnerships to undertake priority demonstration projects.
- Assess capacity development needs and then implement through training programs, action learning and study tours to Canada and/or other regions of the Philippines.
- Undertake local government institutional strengthening through organizational improvement activities.
- Iterate through annual evaluation, feedback and refocusing to ensure program remains relevant.
- Disseminate lessons learned and/or replicate process to other local authorities in the Western Visayas region.

Mobilization of Resources

Various resources were mobilized to implement and to leverage the program:

- CIDA, through the Canadian Urban Institute, was tapped to provide funds for the technical assistance, know-how transfer, professional fees for management and Canadian and Filipino trainers, communication and operating expenses, and international professional exchange.
- The Provincial Government of Guimaras, together with the 5 municipalities, provided needed human resources for implementation, funds for workshop expenses and equipment for various project operations.
- Barangays, non-governmental organizations, community-based organizations and selected private sector groups mobilized civil society actors to work in partnership with local governments for planning and implementation.

- CUI built the capacity of the province in project design and funding proposal preparation, which resulted in cooperation and additional funding for demonstration projects from Philippines national government agencies/programs as well as other international development organizations and donors (e.g., CIDA Local Government Support Project, Institute on Governance, International Centre for Sustainable Cities, Asian Development Bank).

Process

The strategic planning and implementation process in Guimaras has involved a "bottom-up" approach to pursuing development wherein community needs in the barangays were identified then upscaled to the municipal and provincial strategic plans. Main steps in the participatory process have been: 1) organizing and training a local, multi-disciplinary strategic planning team, 2) conducting facilitated planning at the village level with 96 barangays using PRAGEN methodology (a combination of Participatory Rural Appraisal and Environment, Community Organization and Gender tools), which involved graphic/mapping exercises to determine issues, priority actions and indicators in the barangay development plans; 2) upscaling the barangay plans to the municipal- and provincial-level strategic planning exercises, 3) formulating sectoral action plans on environmental management, economic development and tourism, and 4) creating proposals and workplans for the implementation of key demonstration projects.

Problems encountered during project implementation and how they were dealt with include:

- Lack of understanding of the value of strategic planning and management methods early in the process required targeted education of key champions. For the program to have the required initial base of support, an early focus was placed on educating elected officials, senior bureaucrats and key community stakeholders on community-based planning approaches. This was essential, given that many of the concepts being introduced were new, and the value-added to the governing process of citizen participation needed to be demonstrated before buy-in was achieved. This was achieved through on-site training and information exchange as well as bringing Filipinos to Canada to work with their professional counterparts in local government.
- Engaging an under-educated population in the participation process was a challenge. More than 60% of the population of Guimaras is not educated beyond elementary school and high rates of illiteracy prevail. Special process tools had to be developed. Community-based workshops using graphic and oral methods (e.g., participatory mapping exercises) were necessary to ensure accessibility to the participation process. Written documentation was used more at an organizational level.
- Raising of expectations became an issue following community engagement. This process was the first comprehensive exercise to engage barangays in planning for the future of the island. With a new-found access to decision-making, citizens began to expect that funds, technical assistance and change would come rapidly to their communities after the planning process. To deal with this, the project placed an emphasis on implementation of priority demonstration projects, within its budget limits. It also placed an emphasis on leverage by building the province's capacity to design projects, prepare proposals and source funds and financing from national and international agencies for additional implementation activities.
- Change in local government leadership was a challenge but not an obstacle. Several years into the partnership program following local elections, the Governor of the Province (and the main champion of the project) changed. Similar leadership changes resulted at the municipal level. This can be a major risk to sustainability of impact if new leadership puts aside the programs of a previous administration. Because the program had throughout its history involved multiple stakeholders and because of its developmental value to the province, widespread support of the program across sectors and party lines made it easy for the new Governor and new mayors to take ownership and championship of the program.

Results Achieved

In terms of impacts and outcomes, the project has succeeded in:

- Piloting a model approach for local authorities in the Philippines on how to efficiently, effectively and democratically manage their affairs within the decentralized governance framework of the country, according to principles of sustainable development and with priority setting tools that take into consideration limited public resources. The program has been replicated with success in two other locations in the country, and the experiences shared with other countries in Southeast Asia.
- Building a sustainable consensus at the local level, between local authorities and their constituents, on the priorities and strategies for achieving sustainable development. This was achieved through the engagement of 96 village/neighbourhoods through their barangay councils, with an upscaling of the results to the strategic plans of five municipalities and the province.
- Increasing capacity of local authorities to plan, implement, monitor and evaluate programs and projects that are based on long-term strategies rather than short-term problems, and using innovative urban/regional planning and management approaches. Strategic planning and management methodologies are now being used not only by all local governments on the island, but also by their community partners.
- Reaching a high degree of participation of stakeholders in strategic planning and project implementation. Over 5000 stakeholders have been involved to date in project planning and demonstration project implementation activities.
- Developing new comprehensive policies and appropriate institutional structures to tackle specific issues in a participatory manner. In addition to the island-wide strategic plans, the project has formulated and is now implementing a province-wide integrated solid waste management plan, a provincial economic development strategy and community-based tourism action plans. Also formulated comprehensive environmental ordinance to tackle specific issues. Created the Guimaras Council for Sustainable Development to spearhead the implementation of environmental plans.
- Achievement of a commitment to professionalism in the public service among Guimaras local authorities and creation of an environment conducive to and expecting of good governance. There has also been an overall change in mindsets among local authorities towards efficiency and effectiveness in administration, transparency and openness in local government, a commitment to community participation, and toward integrated, holistic approaches to achieving sustainable development.

Sustainability

Sustainability of the process and of the capability building activities is demonstrated by the following.

- A multi-stakeholder steering committee, which is integrated and fully institutionalized into the organizational structure of the provincial government, is ensuring that the program meets local needs and priorities, now and in the future. It is composed of the local government units, national government agencies, businesses and community representatives.
- The community based strategic planning and implementation process has initiated significant changes in the development planning process in the province, 5 municipalities and 96 barangays. In particular, it has involved communities and stakeholders to such a degree that there is now an expectation of involvement, openness and transparency, and good governance. It is providing a force "from below" that is ensuring sustainability by keeping government accountable.
- The creation and implementation of an economic development strategy for the province is promoting growth of the economy, increased investment and creation of livelihood opportunities, which is in turn helping to reduce poverty and supporting increased self-reliance of local authorities through new revenues.
- The implementation of a strategy for "heritage tourism" is promoting economic opportunities through capitalization of natural and cultural heritage of the island, and through the use of community resources and small enterprise development.
- The implementation of an island-wide solid waste management strategy is improving environmental quality, and revenues being generated from recycling and composting spin-off enterprises are illustrating that the social investment in capacity building for community groups

reviewing and recommending appropriate amendments to strengthen Boracay Island's development control system, designing and commencing implementation of an integrated solid waste management action plan for the island, undertaking an analysis of the island's carrying capacity, designing an environmental monitoring system on the island, and conducting community participation, outreach, and education activities.

- Iloilo City Government. The learnings of Guimaras have been applied to the nearby city of Iloilo. This has involved initiating a participatory strategy development process related to environmental management and solid waste management. It has also seen the promotion of inter-government cooperation in the design of a metropolitan governance, planning and service delivery framework for the urban region's 5 municipalities (soon to be implemented). The economic strategy development experiences of Guimaras will be applied in Iloilo City in 2000.
- Municipality of Phuket, Thailand. The Guimaras experience was shared in a 3-day strategy development workshop for the Municipality of Phuket, Thailand delivered by the CUI in partnership with the Urban Management Programme Asia-Pacific and the International Centre for Sustainable Cities. In addition to learning about the experiences of Guimaras, CUI delivered to Thai municipal officials training on how to engage a community in a strategic process of development.
- Other local government units in the Philippines have availed of the soft technologies produced from this project. These include manuals, case studies, local study tours, presentation at seminars and professional-to-professional consultations.

Key Dates

1994-Four-month pilot phase involving exchange of professionals between Canada and Guimaras for local government capacity development and joint project design.

1995- 96 Community-based strategic planning process in 96 barangays; strategic planning process upscaled to 5 municipalities and province. Implementation of land use planning demonstration project.

1996-2000 Implementation of demonstration projects in solid waste management, heritage tourism and local economic development.

1997-2000 Replication of community-based planning process for sustainable tourism development on Boracay Island in partnership with the Philippines Department of Tourism and the Municipality of Malay, Aklan.

Replication of the strategic planning process in nearby Iloilo City for environmental management, integrated solid waste management and metropolitan governance

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and local government agencies can be recovered through interventions that link environmental protection with economic development.

- The Guimaras experience in community-based, participatory planning is now serving as a case study and replicable model for other local authorities in the Philippines that are facing similar obstacles to development and successful decentralization. Two other regions within the Western Visayas have successfully adapted the Guimaras model to help tackle their own developmental challenges.

Lessons Learned

The following valuable lessons were learned in this long-term project

- The bottom-up, community-based and multiple-stakeholder approaches to strategy development and project implementation is viewed by the local authorities as an effective means of identifying needs and wishes of the community and of effectively focusing their inputs into the decision-making process of local government.
- Creating and training a multi-stakeholder team of people from Guimaras to undertake the planning process allowed for strong local ownership of the program and provided a means for "training trainers" that could then transfer the know-how to other professionals, organizations and initiatives.
- The focus on action planning and demonstration project implementation provided an excellent opportunity for local government-civil society partnerships for action learning and developmental change.
- Gaining the support of key champions (local government decision makers and community opinion leaders) through capacity development provided a necessary foundation on which to grow the project in its initial stages and to adapt to important leadership changes.
- The use of innovative strategic planning and project implementation techniques resulted in unifying the diverse interests/agendas of national and local governments, business, non-government organizations and citizens toward shared developmental goals. These mechanisms allowed them to balance and support each other's priorities where consensus could be achieved.
- The early focus placed on the use of gender-aware assessment and planning methodologies during the barangay strategic planning process meant that issues related to women, children, the elderly and disadvantaged were infused at the grassroots level and upscaled to municipal and provincial levels. A conscious effort to balance gender representation in key committees and taskforces (women comprised 6 out of 11 eleven members of the strategic planning team, 10 out of 22 members of the steering committee etc.) has also contributed to the ongoing and increased level of awareness of gender equality issues in planning and policy making of the province and municipalities.
- The approach taken by the Canadians to capacity building, experience sharing and know-how transfer allowed for Canadian methodologies and approaches to be properly adapted to the local context. A strong emphasis was placed on showing a range of alternative approaches, rather than on "prescription" or "consultant advice." A special sensitivity was placed on understanding local context, matching needs to learning, and comprehending and respecting local modes of "learning" and of "knowing."

Transferability

As a result of the outcomes and impacts of the Guimaras experience, the CUI and the Province of Guimaras were asked to share and in some cases replicate/adapt their learnings in three different places:

- Boracay Island. Through linkages with the Philippine Department of Tourism (DOT), the Province of Aklan, and the Municipality of Malay, the CUI took the Guimaras learnings and adapted them to community-based planning and implementation addressing sustainable tourism development issues on this famous tourist island. Results have included building the capacity of local government units, formulating a participatory sustainable development strategy for the island,

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Guimaras Web Page: Visit the Provincial Government of Guimaras web page <http://www.guimaras.gov.ph>

(Note: articles and other supporting materials to be submitted in hard/paper copy to BLP partner organization International Council for Local Environmental Initiatives (ICLEI), Toronto, Canada.)

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Type of Partner Support: Technical Support

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Type of Organization: Central Government

Type of Partner Support: Financial Support
Canadian International Development Agency (CIDA)

Type of Organization: International Agency (Bilateral)

Type of Partner Support: Financial Support