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## ANNEX A

# Local Development Indicators Rationalized Planning System (SEROTE, 2005)

Sector/ Subsector	Core Concerns	Indicator of Development or Underdevelopment
<b>1. Social Sector</b>		
Demography	Population Size	• Population size (all census years available including latest)
	Population Growth Rate	• Growth rate, urban and rural, short-term, medium-term, long-term
	Population Distribution	• Gross population density, 2 reference years • Net population density, 2 reference years • Percent of urban population, 2 reference years • Urban population density, 2 reference years
Level of Well-Being	Access to education	• Proportion of 6-12 years old children who are not in elementary school, by sex, latest • Proportion of 13-16 years old who are not in secondary school, by sex
	Access to health services	• Percent of households without sanitary toilets, latest • Proportion of children 0-5 years old who are below normal weight for their age • Proportion of children under 5 years old who died of illness, 2 reference years • Proportion of women who died due to pregnancy, 2 reference years • Proportion of births attended by skilled health personnel, latest • Prevalence rates of HIV/AIDS, malaria, tuberculosis, and other diseases, latest • Death rates of HIV/AIDS, malaria, tuberculosis, and other diseases, latest





Sector/ Subsector	Core Concerns	Indicator of Development or Underdevelopment
Social Justice	Poverty	<ul style="list-style-type: none"> <li>Proportion of households whose members eat less than 3 full meals a day, 2 reference years</li> <li>Proportion of population with incomes below poverty line</li> </ul>
	Security	<ul style="list-style-type: none"> <li>Proportion of households who are squatters, 2 reference years</li> <li>Proportion of households with dwelling structures unable to protect them from the elements, 2 reference years</li> <li>Proportion of households with members victimized by crime to total households, 2 reference years</li> <li>Proportion of households without access to level II or level III water supply system, 2 reference years</li> </ul>
	Gender Equality	<ul style="list-style-type: none"> <li>Ratio of girls to boys in elementary, secondary and tertiary school, latest</li> <li>Share of women in non-agricultural wage employment</li> </ul>
<b>2. Economic Indicators</b>		
General	Labor and employment	<ul style="list-style-type: none"> <li>Percent of labor force employed, by sex, 2 reference years</li> <li>Dependency ratio, 2 reference years</li> <li>Percent of workers in non-agricultural occupation, 2 reference years</li> <li>Proportion of persons 15 years old and above who are not working but actively seeking work</li> <li>Proportion of children below 15 years old who are employed to the total members of employed persons</li> <li>Fishing households/Total households</li> </ul>
		<ul style="list-style-type: none"> <li>Ratio of area of land in agricultural establishment, in EEU, 2 reference years</li> <li>Volume/value or agricultural crop production by major crop, 2 reference years</li> <li>Volume/value of fish production inland and marine, 2 reference years</li> </ul>
Agriculture	Agricultural land utilization	<ul style="list-style-type: none"> <li>Volume/value of fish production inland and marine, 2 reference years</li> <li>Food self-sufficiency</li> </ul>
		<ul style="list-style-type: none"> <li>Index by food groups, latest</li> </ul>
	Forestry	<ul style="list-style-type: none"> <li>Per capita value of production employment contribution in percent of total employment</li> </ul>
	Fishery	<ul style="list-style-type: none"> <li>Per capita fish consumption (metric ton/year) ratio of commercial fishing production versus municipal fishing production</li> </ul>
Industry		<ul style="list-style-type: none"> <li>Ratio of electrical energy consumption in industry and commerce to total consumption</li> <li>Volume/value or mining/quarrying production, 2 reference years</li> </ul>
Industry and Services	Household income	<ul style="list-style-type: none"> <li>Percentage of households with secondary/tertiary source of income</li> <li>Percentage of households engaged in main source of income only to total number of households</li> </ul>

Sector/ Subsector	Core Concerns	Indicator of Development or Underdevelopment
Services		<ul style="list-style-type: none"> <li>Total number of commercial establishments, in EEU, 2 reference years</li> <li>Ratio of residential electrical energy consumption or average household consumption of electrical energy</li> <li>Tourism receipts per year</li> </ul>
<b>3. Environment &amp; Natural Resources</b>		
Forest Ecosystem	Resource Base and Land Use	<ul style="list-style-type: none"> <li>Change in stock of forestry resources: dipterocarp, tree plantation, mangroves, pine, rattan (hectares/year)</li> <li>Soil erosion in upland areas (mm/year)</li> <li>Forest land classification ratios (in percent)</li> <li>Ratio of forest cover to population (in percent)</li> <li>Ratio of population to certified A&amp;D areas (in percent)</li> <li>Percentage of timberland proclaimed as forest reserve</li> </ul>
	Tenure Management	<ul style="list-style-type: none"> <li>Area covered by leases and permits per lessee/permittee</li> <li>Area covered by Community-Based Fisheries Management Agreement (CBFMA) as percent of total forest area</li> <li>Area covered by community forest stewardship agreements as percent of total forest area</li> <li>Number of families benefiting from community-based projects as percent of total number of families</li> <li>Growth rate of upland population (per annum)</li> </ul>
Lowland/ Agricultural Ecosystem	Land Use and Land Productivity	<ul style="list-style-type: none"> <li>Extent of area devoted to agriculture in percent of A&amp;D</li> <li>Land use changes (hectare/year)</li> <li>Land productivity (metric ton/hectare)</li> <li>Ratio of upland devoted to agriculture over total upland area (in percent)</li> <li>Areas under IPM relative to total cropland (in percent)</li> </ul>
Lowland/ Agricultural Ecosystem (cont.)	Other Agricultural Areas	<ul style="list-style-type: none"> <li>Cropland per agricultural worker (hectare)</li> <li>Agricultural workers per tractor (in percent)</li> <li>Agricultural workers per harvester/ thresher (in percent)</li> <li>Percentage of irrigable, irrigated, rain fed, non-irrigated and prime lands converted to non-agricultural uses</li> </ul>
	Soil Degradation	<ul style="list-style-type: none"> <li>Extent of problem soils (hectare) as percent of total land area</li> <li>Erosion rates by land use (mm/year)</li> <li>Area distribution of erosion/degradation classes as percent of total land area</li> <li>Extent of soil conservation (area coverage) as percent of eroded/ degraded soils</li> </ul>
	Fertilizer and Pesticides Use	<ul style="list-style-type: none"> <li>Nitrogen use per unit of agricultural output (kilogram/ metric ton)</li> <li>Pesticide use per unit of agricultural output (kilogram/ metric ton)</li> <li>Inorganic fertilizer used per unit area (kilogram/hectare)</li> <li>Organic fertilizer used per unit area (kilogram/hectare)</li> <li>Ratio of organic to inorganic fertilizer used</li> </ul>
	Tenure	<ul style="list-style-type: none"> <li>Area by tenure of farm per household</li> </ul>



Sector/ Subsector	Core Concerns	Indicator of Development or Underdevelopment
Urban Ecosystem	Air quality	<ul style="list-style-type: none"> <li>Concentration of air pollutants at selected sites: number of violations of standards in a year per site Incidence in a year per site per 1000 inhabitants</li> <li>Emission levels of different pollutants per source</li> <li>Solid Waste Management Solid waste per capita in metric ton or cubic meter</li> <li>Non-biodegradable waste per capita (metric tpm, or cu.m.)</li> </ul>
	Water Quality	<ul style="list-style-type: none"> <li>Waste generated per capita per year (in metric ton or cubic meter)</li> <li>Effluents by source (various units)</li> <li>Concentration of water pollutants selected water (various units)</li> </ul>
	Land Use	<ul style="list-style-type: none"> <li>Squatter density (squatter population/total population) percentage of total land area occupied by squatters</li> <li>Rate of change in industrial land use (hectare/year)</li> </ul>
Coastal Marine Ecosystem	Resource Base	<ul style="list-style-type: none"> <li>Mangrove area: annual rate of depletion (hectare/year)</li> <li>Seagrass beds: number of species seagrass beds: status or condition</li> <li>Coral reef and coral cover: status or condition</li> <li>Area of fishing ground</li> <li>Marine protected areas as percent of total area of municipal waters</li> <li>Presence of indicator fish species</li> </ul>
	Threats	<ul style="list-style-type: none"> <li>Concentration of key pollutants in selected sites</li> <li>Concentration of coliform in selected beaches</li> <li>Oil spills: number and magnitude</li> <li>Rate of sedimentation on selected bays</li> </ul>
Freshwater Ecosystem	Surface and Ground Water Quality	<ul style="list-style-type: none"> <li>Physical quality indicators</li> <li>Chemical quality indicators</li> <li>Biological quality indicators</li> <li>Nitrate content of selected rivers</li> </ul>
	Quality of Major Freshwater Bodies	<ul style="list-style-type: none"> <li>Rating of the general condition of freshwater body, latest</li> <li>Number of times standards are exceeded</li> <li>Number of licensed abstractors and volume of abstraction in mcm per annum</li> <li>Area of fishpens as percent of area of freshwater bodies</li> </ul>
Critical Resources	Minerals and Mines	<ul style="list-style-type: none"> <li>Ratio of mining incidents and accidents. Incidence of illness due to mining operations</li> <li>Hectarage disturbed by mining</li> <li>Estimates of mineral deposits</li> </ul>

Sector/ Subsector	Core Concerns	Indicator of Development or Underdevelopment
Biodiversity	Ecosystem Diversity	<ul style="list-style-type: none"> <li>Proportion of ecosystem area highly threatened due to existing infrastructure</li> </ul>
	Species Diversity	<ul style="list-style-type: none"> <li>Number of threatened species over total number of known species</li> <li>Number of sites identified for migratory birds per 100 hectares</li> <li>Number of exotic species introduced over total number of species</li> <li>Species diversity index</li> </ul>
	Conservation Efforts	<ul style="list-style-type: none"> <li>Proportion of protected areas with illegal settlements to total protected areas</li> <li>Level of ex situ conservation in percent</li> <li>Critical habitat/areas restored in ha/year</li> <li>Number of conservation programs implemented per five years</li> <li>Habitat size restored/rehabilitated per year</li> <li>Number of visitors in protected areas</li> <li>Percent of protected areas converted to other uses</li> <li>Number of household/family over protected area</li> </ul>
4. Infrastructure		
Social Support	Utilities	<ul style="list-style-type: none"> <li>Percent of household served by electric power</li> <li>Ratio of households served by piped water supply to total urban households</li> </ul>
	Health	<ul style="list-style-type: none"> <li>No. of hospital beds per 1000 population</li> </ul>
	Education	<ul style="list-style-type: none"> <li>Classroom-to-pupil ratio in elementary schools; in secondary schools</li> <li>No. of telephones/1000 urban households</li> <li>Ratio of postal employees to total household population</li> </ul>
Economic Support	Public Roads	<ul style="list-style-type: none"> <li>Road density (area covered by roads to total land area)</li> <li>Total length of roads in kilometer/total land area of A&amp;D land</li> <li>Kilometer of road per 100 population</li> <li>Density of farm to market roads (kilometer/100 hectares of farmlands)</li> <li>Percent of permanent bridges</li> </ul>
Administrative Support	Office Space	<ul style="list-style-type: none"> <li>Total office floor per municipal employee</li> </ul>
	Public Safety	<ul style="list-style-type: none"> <li>No. of fire trucks per capita</li> <li>No. of police outposts/1000 population</li> <li>No. of prisoners/detention cell</li> </ul>
	Municipal Cemetery	<ul style="list-style-type: none"> <li>Percent occupancy of municipal cemetery</li> </ul>
	Open Space	<ul style="list-style-type: none"> <li>Total area of public open space per 1000 inhabitants</li> <li>Total number of covered courts/number of barangays</li> </ul>



Sector/ Subsector	Core Concerns	Indicator of Development or Underdevelopment
5. Institutional		
Local Fiscal Management	Revenue Performance	<ul style="list-style-type: none"> <li>Total revenue per capita, 2 reference years</li> <li>Self-reliance index, 2 reference years</li> <li>Proportion of delinquencies to total real property tax (RPT) collected, 2 reference years</li> <li>Ratio of proceeds from special levies to total revenues, 2 reference years in previous and present administrations</li> <li>Ratio of financial grants or donations to total LGU income, 2 reference years in previous and present administrations</li> </ul>
	Expenditure	<ul style="list-style-type: none"> <li>Total public expenditure on capital outlay per capita, 2 reference years</li> <li>Proportion of delinquent real property tax (RPT) payers to total listed taxpayers</li> <li>Ratio of municipal government employees to total no. of local taxpayers</li> </ul>
	Real Property Tax (RPT)	<ul style="list-style-type: none"> <li>Number of big taxpayers who account for 80% of tax revenues</li> <li>Total revenue collected as percent of annual collection target, 2 reference years</li> <li>Percent RPT collected to total potentially collectible</li> <li>Amount of tax arrears recovered over total tax arrears at the beginning of budget year</li> </ul>
	Municipal Enterprise	<ul style="list-style-type: none"> <li>Proportion of receipts from municipal enterprises to total local revenues</li> </ul>
Organization and Management		<ul style="list-style-type: none"> <li>Proportion of vacancies to total plantilla positions, previous and present administrations</li> <li>Ratio of casual employees, previous and present administrations</li> <li>Ratio of employees to total number of personnel by type, 2 reference years <ul style="list-style-type: none"> <li>Managerial</li> <li>Technical</li> <li>Administrative</li> </ul> </li> <li>Ratio of confidential positions to total plantilla positions, previous and present administrations</li> </ul>
Public Participation		<ul style="list-style-type: none"> <li>Ratio of LDC-member NGOs and peoples organizations (POs) per capita, past and present administrations</li> </ul>
Development Orientation	Legislative Output	<ul style="list-style-type: none"> <li>Proportion of "development" legislation to total sanggunian output, last and current administrations</li> </ul>
	Credit Financing	<ul style="list-style-type: none"> <li>Total public debt incurred by the LGU per capita, past and present administrations</li> </ul>

## ANNEX B

### List of Key Informants and Project Participants

Integrating Peace-building and Conflict Prevention  
in Local Government Planning (IPBLGP)  
Project of the Peace Institutions Development Office of OPAPP  
in Partnership with Surveys, Training Research & Development Services, Inc.

#### Local Government Units Representative

Aguilar, Renato	Secretary to the Mayor and member of the Municipal Peace and Order Council of Agdangan, Quezon
Altura, Josephine	Municipal Planning Development Coordinator, Rosario, Batangas
Anacion, Celedonia	Municipal Social Welfare Development Officer and designated Local Poverty Reduction Action Officer of Gumaca, Quezon
Anacion, Francisco I.	Municipal FM, Gumaca, Quezon
Astillero, Ma. Corazon B.	Provincial Planning & Development Officer, Sorsogon
Aurilla, Carubo	City Social Welfare Development Officer and Project Evaluation Officer, Sorsogon City
Barcia, Marita L.	Provincial Social Welfare Development Officer, Laguna
Baroña, Lysander	Vice Mayor, Lacub, Abra
Bersamin, Elmer	Provincial Social Welfare Development Officer & Provincial Engineer Officer II, Abra
Bogwana, Ruth Esther	Accountant, Aguinaldo, Batangas
Bunao, Marian	Municipal Social Welfare Development Officer, Guinobatan, Albay
Castillo, Florentino	Chief of Police, Lacub, Abra
Challonga, Dora C.	Philippine Constabulary Officer, Mountain Province
Dancel, Jimmy	Municipal Planning Development Coordinator, San Jose, Tarlac
Dimamling, Emiliano T.	Provincial Planning & Development Officer, Ifugao
Dimaguila, Luisitio	Municipal Planning Development Office Staff, Liliw, Laguna





Dollison, Racquel Municipal Planning and Development Coordinator, Castilla, Sorsogon

Enriquez, Arnold Municipal Social Welfare Development Officer, San Juan, Batangas

Fernando, Geminina Municipal Planning and Development Coordinator, Gumaca, Quezon

Flores, Celeste Municipal Social Welfare Development Officer, Liliw, Laguna

Gabaden, Timoteo Municipal Planning and Development Coordinator, Tubo, Abra

Gangangan ,Gabino Mayor, Sadanga, Mountain Province

Hermo, Salvacion L. Social Welfare Assistant, Sorsogon

Hubilca, Carmen C. City Social Welfare & Development Officer/Project Coordinator, Sorsogon City

Huenda ,Orlando City Planning and Development Officer , Sorsogon City

Jordan, Honore Executive Assistant, Sorsogon City

Kabfilan, Romeo Sangguniang Bayan Member and Tribal Leader, Sadanga, Mountain Province

Llamazares, Arnido O. Municipal Planning & Development Coordinator/Agriculture Technician, Gubat, Sorsogon

Lorico, Erma Officer-in-Charge (OIC), Municipal Social Welfare Development Officer Castilla, Sorsogon

Lositano, Ma. Lourdes D. City Social Welfare Development Officer, Ligao City

Marchan, Reynaldo C. Sanggunian Bayan Secretary, Castilla, Sorsogon

Meredor, Dionisia Officer-in-Charge (OIC), Municipal Social Welfare Development Office, San Jose, Tarlac

Mindango, Danilo S. Vice-Mayor, San Juan, Batangas

Mombael, Myrtle Population Officer I, Aguineldo, Batangas

Morareng, Fausto Sanggunian Bayan Member, Sadanga, Mountain Province

Morpe, Elizabeth M. Administrative Officer, Rosario, Batangas

Navarro, Norma R. Assistant Provincial Development Coordinator, Albay

Padding, Marcelina G. Budget Officer I, Banawe

Pangket, Leticia Municipal Planning & Development Coordinator, Sadanga, Mountain Province

Pasco, Bernardo M. Municipal Engineer, San Juan, Batangas

Pascual, Jesus Sangguniang Bayan Member, San Jose, Tarlac

Peñaflor, Sahlee City Agriculture Technician, Ligao, Albay

Peñaflor, Salve City Planning & Development Officer, Ligao City

San Juan, Elizabeth M. 2nd Assistant for Plans & Programs, Office of Plans & Programs (OPP), Quezon

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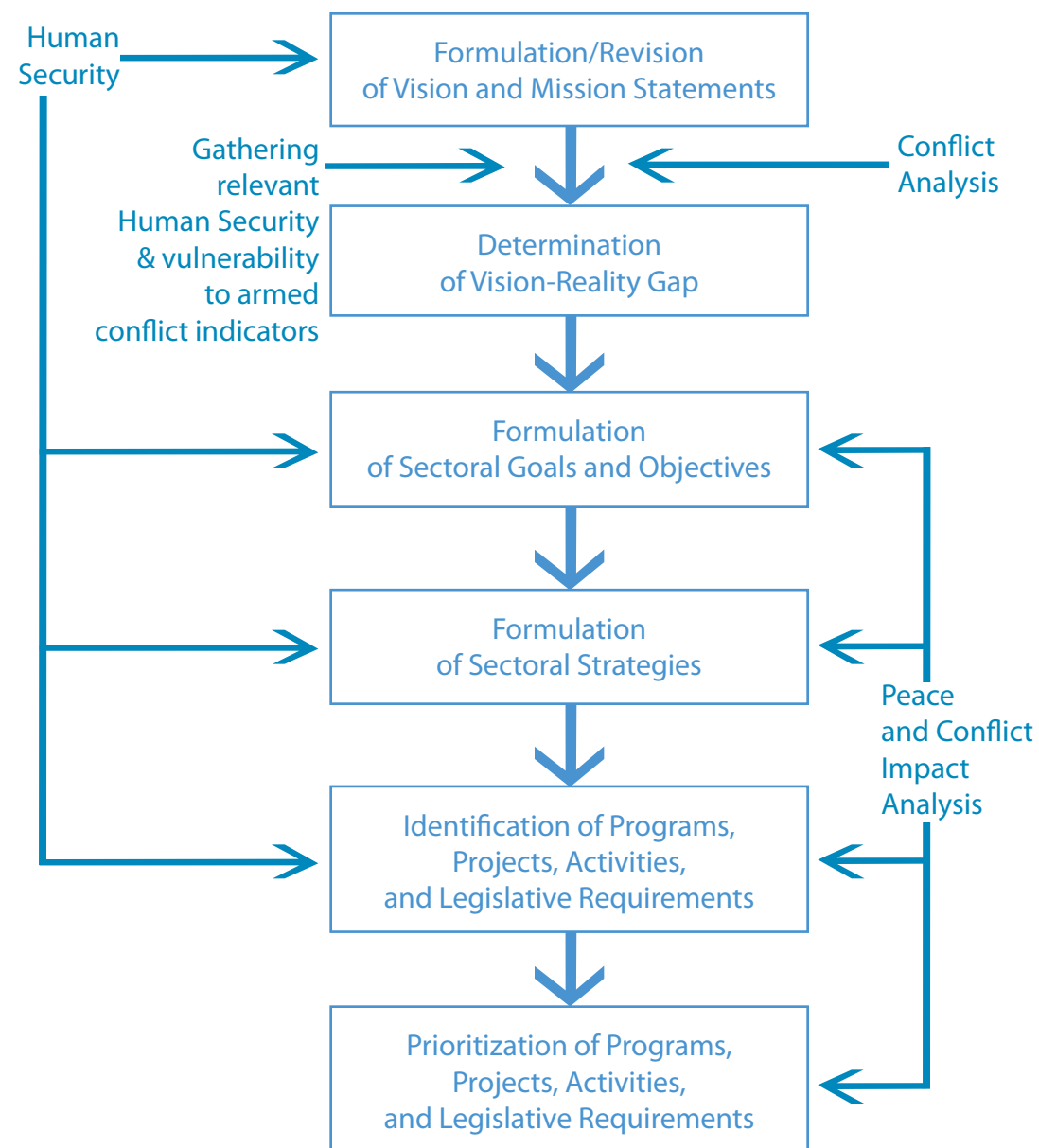
## ANNEX C

# Conducting Conflict-Sensitive and Peace-Promoting Comprehensive Development Planning and Executive Legislative Agenda Formulation in your LGU: A Step-by-Step Guide

### OVERVIEW:

This step-by-step guide discusses in details how the CSPP CDP ELA processes that incorporate human security and conflict analysis could be conducted by the LGU planning team. This guide outlines the preparatory planning activities including data gathering, and the proposed planning workshops (from visioning to program prioritization).





A. PRE-PLANNING STEPS HAVE BEEN COMPLETED

By this time, you should have completed the pre-planning preparatory steps for CDP and ELA formulation, namely:

You have already

1. Conducted the LCE/SB orientation on CSPP CDP and ELA and the planning process;
2. Organized your LGU's planning structure/s;
3. Assessed your information data base and gathered additional Conflict-Sensitive Peace-Promoting data as you deemed necessary; and
4. Conducted barangay consultations to gather data on forms of conflicts as well as identified priority needs to barangays.

B. YOU ARE READY WITH YOUR CONSOLIDATED LGU/SOCIO-ECONOMIC AND HUMAN SECURITY/ DISPARITY DATA THAT YOU HAVE SUMMARIZED IN A LOCAL DEVELOPMENT INDEX MATRIX

LDI Matrix

Sector Indicators	Municipal Data	Standard	Status

C. YOU HAVE A PLANNING TEAM AND MEMBERS OF YOUR PLANNING TEAM HAVE BEEN BRIEFED ABOUT THE SERIES OF PLANNING ACTIVITIES THAT WILL BE UNDERTAKEN IN THE LGU FOR CSPP CDP ELA

D. PROPOSED PLANNING WORKSHOPS THAT NEED TO BE CONDUCTED BY THE LGU FOR CSPP CDP ELA

	TITLE OF WORKSHOP	Duration/Days Needed
1	Visioning Workshop	1 day
2	Vision-Reality Gap Workshop and Conflict Analysis	1 day
3	SWOT and Goals, Objectives, Strategies Formulation and revisiting of results of the Conflict Analysis	1 day
4	PPA and Legislative requirements Identification and Peace and Conflict Analysis	1 day
5	LDIP or PPA prioritization and resource identification	2 days (preferably with the LDC)
6	Identification of capacity development needs, communication and monitoring plan for effective implementation	1 day



**CSPP CDP ELA WORKSHOP # ONE:**  
**FORMULATION WORKSHOP OF CSPP VISION AND MISSION STATEMENTS OF THE LGU**

**OBJECTIVES**

For the LGU Planning Team to:

1. Come up with a conflict-sensitive and peace-promoting vision and mission statement for their LGU that will anchor the formulation of the LGU’s comprehensive development plan (CDP);
2. Gain an appreciation of how conflict analysis should be undertaken in relation to sectoral analysis and planning; and
3. Formulate conflict-sensitive and peace-promoting sectoral strategies

**SCHEDULE**

- 9:00 Introduction to the Workshop  
 Objectives  
 Proposed Process and Timetable
- 9:30 Review of Importance of Mainstreaming Human Security and Conflict Sensitivity
- 10:00 Visioning Workshop  
 1. Discussion by Sector  
 2. Sectoral presentation to the plenary
- 12:00 Lunch
- 1:00 Putting together a municipal vision from sectoral visions
- 3:00 Formulation of a mission statement

**WORKSHOP PROCESS**

- A. Discuss with participants the role of LGUs in peace-building and conflict prevention and the requirements of mainstreaming human security in local governance (use as reference for inputs OPAPP-PIDO-STRIDES Guidebook titled “Conflict-Sensitive and Peace Promoting Local Development Planning”).
- B. Divide the participants into groups (preferably five) to correspond to the key vision elements (or sectoral groupings) and give them time to individually reflect on the trigger question. Then ask the members of each group to share their images of the particular sector or element assigned with their group mates.
- C. Then ask the trigger questions

Sample Trigger Questions:

1. Today is year 2013, your municipality/city is an awardee in a prestigious international local governance event. What is the award for? (please describe the award—be as detailed as possible)

2. What is your vision for your municipality/city in the next six (6) years, in your particular sector? (economic, social, institutional, infrastructure, human security, environmental)

SMART: Specific, Measurable, Attainable, Relevant/Realistic, Time-bound

- D. Instruct the group to identify descriptors or adjectives, that is, words and phrases that signify the desired the state for the sector or vision element assigned to the group. Further, ask them to more concretely describe the desired state of the assigned sector/vision element by enumerating as many success indicators.
- E. Ask each group to present their outputs of the desired future state (descriptors and success indicators) of the assigned sector/vision element to the plenary.
- F. Then ask additional question during the plenary:

Does the picture (LGU 5 or 10 years from now) you have painted so far show your aspirations for peace and human security in your municipality? Identify concrete descriptors and success indicators for your peace and human security aspirations?

**Elements of Human Security**

Element	Description
Economic security	Access to employment, income, and resources needed for survival
Food security	Physical and economic access to basic food
Health security	Linked with poor nutrition and unsafe environment; access to basic health care
Environmental security	Need for a safe and sustainable physical environment, including access to safe water, sanitation, protection from pollution and natural disasters
Personal/ Physical security	Security from various forms of physical violence (torture, war, crime, traditional practices, ethnic tension; directed at women or children)
Community/ Ethnic and Cultural security	Social climate where minority populations feel secure in expressing their cultural identity
Political security	Assured basic human rights
Dignity	Incorporates personal autonomy, control over one’s life, and unhindered participation in community life
Democracy	Ensures the opportunity for participation by all people in the decisions that affect their lives

UNDP 1994 Human Development Report, Thomas, 2000 (cited in Versteegen et al 2005) and Buttedahl, 1994 (cited in Versteegen, et al 2005)

- G. Ask the group to form a style committee/vision team among the participants to put the vision statement into its final form, utilizing the descriptors or adjectives supplied in the group brainstorming.

Note: the success indicators are saved for use in the vision-reality-gap analysis which leads towards the preparation of the CDP.

- H. After the vision has been formulated and a consensus has been reached to adopt it, proceed to formulating the mission statement of the LGU.





I. Give a definition of a “mission statement”

MISSION STATEMENT

- Purpose
- Describes the general thrust of the LGU
- Clear statement: What the LGU is trying to accomplish for its constituents and how it can be attained
- Use as basis, LGC Section 16: General Welfare Mandate
  - Reflects what the LGU seeks to accomplish
  - Anchored on its vision
  - Communicates purpose to all local stakeholders

J. Give the Trigger Questions for Formulating the LGU’s mission statement

- How will your LGU work towards its vision in the next 6 years?
  - What will it aim to accomplish?
  - How will this be accomplished?
  - Who are the constituents it will aim to serve?
  - Revisit previous mission statement:
    - > How can it be improved?
    - > What concrete human security and peace-building initiative/s will the LGU aim to do in the next six (6) years given its vision of having a “physically and psychologically secure environment” (address the CSPP element of your vision)?

CSPP CDP ELA WORKSHOP # TWO:

VISION-REALITY GAP WORKSHOP

OBJECTIVES

For the LGU Planning Team to:

1. Be able to identify core sectoral problems through a Vision-Reality Gap workshop using validated socio-demographic LGU.
2. Gain an appreciation of how conflict analysis should be undertaken in relation to sectoral analysis and planning

SCHEDULE

- 10:00 Introduction to the Workshop  
Objectives and Schedule
- 10:30 Sectoral Workshop: Problem Identification and Conflict Analysis
- 12:00 Lunch
- 1:00 Plenary presentation and discussion of workshop results
- 4:00 Summary

WORKSHOP PROCESS

SECTORAL WORKSHOP: Please group yourselves according to the sector assigned to you (e.g., economic, infrastructure, institutional, human security, etc.). Review the sectoral vision that you formulated. Then discuss the questions in the template below.

For Sectoral Groupings: Discuss among yourselves and write your answers to each question on manila papers.

A. Identifying Key Sectoral Problems or Gaps

1. Go through your sectoral data: List the indicators (in your sector) that need to be improved in your municipality? (below benchmark, below standard)
2. Based on the data, identify key problems in the sector
3. Identify other significant Sectoral Vision-Reality Gaps or problems (compare your vision with sectoral data)
4. Re-examine the problems that you identified, from among the problems, agree on which is the cause and which is the effect. Identify convergence points. Convergence points of problems serve as the core problems and should serve as the over-riding concern/problem that will need to be addressed by your municipality.



B. Conducting Conflict Analysis in your Sector

1. Give a short input/overview on what conflict is

Conflict

- (Mitchell, 1981; Neufeldt, 2002): is a dynamic process that occurs when two or more parties believe that their interests are incompatible and subsequently, express hostile attitudes or take action that damages the other parties' ability to pursue their interests.
- becomes a cause for concern when the conflict becomes violent. Conflict becomes violent when parties no longer seek to attain their goals peacefully but resort instead to violence in one form or another. (Resource Pack on Conflict Sensitive Approaches, 2004).
- Forms of violence: direct violence, structural violence

2. Ask sectoral groupings to discuss and answer the following questions:

- What are the types of conflict (direct violence/structural violence) being experienced in your sector?
  - Is there competition over resources? what kind of resources, who are the groups interested to have control over resource? how is the allocation of resources being done?
  - Identify inequity, marginalization, differential treatment issues in your sector that need to be looked into?
- What are the causes of the conflict? its consequences?
- Is there a conflict management and conflict resolution mechanism in place in relation to resolving conflicts in your sector?

C. Expected Group Output

1. Core Problems in the Sector

Identified Core Problem	Municipal data	Standard/Benchmark	Short Description of the core problem

2. Results of Conflict Analysis

Sector	Types of Conflict	Causes	Consequences	Conflict management/ conflict resolution mechanism in place?

CSPP CDP ELA WORKSHOP # THREE:  
CSPP GOALS-OBJECTIVES AND STRATEGIES-SETTING WORKSHOP (PER SECTORAL TWG)

OBJECTIVES

For the LGU Planning Team to:

Formulate conflict-sensitive and peace-promoting goals, objectives, and sectoral strategies based on the results of their Conflict and SWOT analysis

SCHEDULE

- 10:00 Introduction to the Workshop  
Objectives  
Proposed Process and Timetable
- 10:30 SWOT Analysis and Goals, Objectives, and Strategies Sectoral Workshop
- 12:00 Lunch
- 1:00 Continuation of Workshop
- 2:00 Plenary presentation and refinement

WORKSHOP PROCESS

A. SWOT Analysis

Complete a Sectoral SWOT Analysis. Please be guided by the template below



<p><b>Internal Strengths and Advantages</b></p> <ul style="list-style-type: none"> <li>- Foundations to build on, competitive advantage of Rosario in the sector, resources, assets, people, experience, location, cultural, organizational</li> <li>- "What gives us confidence that there is a bright future ahead of us in this sector?" (sources of strength or advantage)</li> </ul> <p>Recent Accomplishments of the LGU in the Sector</p> <p>What have we done in the past two years that has helped the sector?</p> <ul style="list-style-type: none"> <li>- Breakthroughs</li> <li>- Concrete accomplishments and indicators for these accomplishments</li> <li>- Key events and LGU projects that made a difference in addressing the problems</li> <li>- How much was spent by your department for programs and services in the last fiscal year?</li> </ul>	<p><b>Internal weaknesses and disadvantages</b></p> <ul style="list-style-type: none"> <li>- Gaps in capabilities, vulnerabilities, data gaps, level of morale, commitment, gaps in terms of structures, etc.</li> </ul>
<p><b>External Opportunities that can be used to address sectoral problems</b></p> <ul style="list-style-type: none"> <li>- National thrust? Partnerships, programs of neighboring towns</li> </ul>	<p><b>Challenges and Obstacles/External Threats</b></p> <ul style="list-style-type: none"> <li>- Barriers to progress in your sector—what are the roadblocks, challenges or obstacles that you foresee</li> </ul>

**B. Goals- and Objective-Setting**

**1. FORMULATE your SECTORAL GOALS and OBJECTIVES for CORE PROBLEMS identified**

**GOALS:** long-term results that bring the LGU closer to the vision

**OBJECTIVE:** specific statement or a short or medium range desired outcome or result that the LGU will be directly accountable for its achievement

Please consider provincial and national goals when formulating your goals and objectives.

Core Problem	Goal (long-term)	Objective (short to medium term)
#1		
#2		
#3		

**IMPORTANT:** Please make sure that your Goals and Objectives are SMART—specific, measurable, attainable, relevant/realistic and time-bound.

**2. Review Goals and Objectives identified using the following questions:**

Did you consider national/provincial/regional goals like the MDG?

- Eradicate extreme poverty and hunger
- Achieve universal primary education
- Promote gender equality
- Reduce child mortality
- Improve maternal health
- Combat HIV/AIDs, malaria and other diseases
- Ensure environmental sustainability

Did you consider the Human Security and Conflict-Sensitive Roles of LGUs?

- Work for greater equity
- Bridge the great divide between the rich and the poor, powerful and vulnerable
- Eliminate marginalization and differential treatment
- Protect human rights
- Ensure that programs do not inadvertently cause new tensions and conflict to arise
- Eliminate practices that increase competition over limited resources and create perceptions of inequity

Do your sectoral goals, objectives, and strategies provide concrete solutions to conflicts identified in the conflict analysis?

How can goals, objectives, and strategies be refined to make them more conflict-sensitive and peace-promoting?





## OBJECTIVES

For the planning team to:

- Review and make final refinements on their vision, mission statement, goals, and strategies given the results of sectoral conflict analysis;
- Gain an understanding of peace and conflict impact analysis (PCIA) and how it can be used in relation to PPA and ELA formulation; and
- Formulate conflict-sensitive and peace promoting PPAs and ELA

## SCHEDULE

10:00	Introduction to the Workshop Objectives Proposed Process and Timetable
10:30	Review of vision, mission statement, goals and objectives
11:30	Input: PPA and PCIA
12:00	Lunch
1:00	Sectoral Workshop: PPA Identification and PCIA Test
3:30	Plenary presentation and refinement

## WORKSHOP PROCESS

- A. Review your CSPP Vision-Mission Statement during the plenary
- B. Review your CSPP goals, objectives, and strategies during the plenary
- C. Introduce the workshop: Identification of CSPP PPAs for CDP and ELA
- D. Level-off on definitions of terms and provide the following inputs:

### Definition of Terms

- Programs and Projects:
  - building blocks of CDP and ELA
  - means to operationalize plans and translate chosen strategies into implementable activities
- Program: A major operation composed of activities and projects designed to accomplish or implement the mandate, function or objectives
- Project: A special undertaking within a program composed of activities which are carried out within a definite timeframe and intended to result in the accomplishment of an identified output

- Activity: a work process which contributes to the implementation and accomplishment of a program, project; a sequence of actions done to implement the project
- Package of legislative measures that are needed to achieve the development goals and priorities identified in the CDP
  - New legislation
  - Amendments
  - Updates

### Example

- Goal: Reduce child mortality
- Objective/Target: Reduce children under 5 mortality rate by 2/3rd by 2015
- Strategy: Develop feeding programs for children under
- Program/Projects:
  - School feeding program
  - Tap NGOs to provide additional feeding program
- Activity: Launch feeding program on Women's day
- Policy Development/Legislative requirement: Sangguniang Bayan (SB) resolution providing funding for school feeding program

Peace and Conflict Impact Analysis (PCIA) - a tool that will be used to ensure that PPAs are conflict-sensitive and peace-promoting.

### PCIA

- A popular tool for assessing conflict and peace impacts of projects
  - Peace-building impact: factors that strengthen the chances for peace and decrease the chances that violent conflict/structural violence will breakout, continue, or start again
  - Conflict-creating impact: factors that increase the chances that conflict/structural violence will be dealt with through the use of violence
- While PCIA focuses on peace and conflict "impacts", some of the questions it raises during the pre-project design phase can be used to guide your identification of conflict-sensitive and peace-promoting programs and projects.



PCIA questions:

1. What peace-building or conflict-creating impact will the program/project and legislative action have on the community?

Sample Questions:

- Location: What are the possible impacts of the location of the proposed projects?
- Timing: How might the timing of the proposed project affect its chances of success?
- Political Factors: How might the changing political context affect the proposed projects?
- Militarized violence and Human Security
- What is the possible impact of militarized conflict on the proposed program/project
- What socio-economic factors might affect the program or project?

2. What can we do to reduce its conflict impact? Or how do we increase its peace impact?

E. After giving the above inputs, ask Planning Team members to go to their assigned sector and as a group, identify PPAs for each strategy and prioritize programs and projects that will be implemented in the next 3 years. On priority projects, ask them to identify legislative requirements and ask them to run the PCIA test by asking the questions above.

F. Expected Workshop Output

Sector	Goal	Objective	Priority Program/Project	Legislative Requirement	Timeframe	Peace Impact	Conflict Impact	What to do re Peace or Conflict Impact	Responsible Group/Committee
Inst	Improved fiscal capacity of the LGU	Fiscal gap reduced by 10%	Revenue Enhancement program: >IEC >Improve collection	Update the Revenue code	2007				Finance committee

CSPP CDP ELA WORKSHOP # FIVE:

PPA PRIORITIZATION, ELA, AND LDIP; AND RESOURCE IDENTIFICATION WORKSHOP

OBJECTIVES

For the Planning team and the Local Development Council (LDC) to:

- Be able to screen, rank and prioritize projects that will be endorsed for implementation in the ELA and LDIP; and
- Agree on the contents of conflict sensitive and peace promoting ELA and LDIP

SCHEDULE

This is a two-day planning process

Day 1: Planning Team Prioritization

Day 2: Presenting Planning Results to the LDC

Day 1: Planning Team

10:00 Introduction to the Workshop  
Objectives  
Proposed Process and Timetable

10:30 Input: ELA and LDIP

12:00 Lunch

1:00 Project-sifting and resource-matching

4:00 Preparatory work for Day 2

Day 2: Planning Team with the LDC

9:00 Introductions  
Objectives of the Workshop  
Proposed Process and Timetable

10:00 Presentation of Outputs of the Planning Team

12:00 Lunch

1:00 Project prioritization and ranking

4:00 Resource-matching and identification of resource needs



## WORKSHOP PROCESS

### DAY ONE

#### A. Give the following inputs:

##### 1. Format of the ELA (National)

Message of Local Chief Executive (LCE)

Message from the Vice LCE

Sanggunian Resolution Adopting the ELA

LGU Vision and Mission Statement

Brief Profile of the LGU:

a. Physical

b. Demographic

c. Economic Development Goals, Objective, Strategies per Sector

- Sectoral situation;
- Sectoral goals, objectives, strategies;
- Priority programs and Projects/sector; and
- Priority Legislative Requirements

Local Development Investment Program (LDIP)

Priority Capacity Development Needs and Interventions

Resource Mobilization Plan

Plan Monitoring and Evaluation

##### 2. LDIP: Identifying PPAs for each strategy and prioritize programs and projects that will be implemented in the next 3 years.

LDIP

Sec. 107 LGC: Prepare the following to operationalize the local development plan:

- LDIP - multi-year timeframe/at least 3 years
- Annual Investment Program (AIP): one year
  - Principal instruments for implementing the CDP;
  - Links the plan to the budget;
  - Considers only programs and projects that are to be financed by LGU funds, including national programs that are prioritized for LGU implementation and for which local LGU counterpart is required;
  - Unlike the CDP-long list of programs and projects that are envisioned to meet sectoral goals, investment programming entails the prioritization of sectoral projects;
    - > ranking the priority programs and projects vis-à-vis a set of criteria,

- > matching the ranked programs and projects with available financial resources, and
- > formulating a financing plan to support the implementation of priority projects that cannot otherwise be funded out of LGU funds;
- not simply a list of priority programs and projects that the LGU wants to carry out; and
- contains a program for planned financing or for using the investible portion of the local budget to finance PP implementation and/or raising additional funds utilizing the LGU's fiscal management powers and authority.

##### 3. The Simplified LDIP Process

- Produce a ranked list of programs and projects with individual cost estimates;
- Derive the list of priority programs and projects and rank them according to a set of criteria;
- Present to the LDC for approval;
- Prepare project briefs for prioritized projects/ for each project in the shortlist;

Preparing Project Briefs (Serote 2006)

- Prioritized programs and projects need to be translated into project briefs
- Not more than one page
- Project briefs are to be prepared by the concerned sectoral and functional committees with support from the secretariat of the LDC

FORMAT:

- Name and type of project
  - Activity components
  - Proponent or originator of the project idea
  - Justification for the project (derived from the CLUP or CDP)
  - Intended beneficiaries (population sectors or geographical areas)
  - Estimated cost or resource inputs (broken down by activity component)
  - Target outputs or success indicators
  - Expected private sector response to this particular public investment
- Determine or validate estimates of costs of each of the priority program/projects; important to allow matching of investment requirements with the estimate of available funds.
  - Determine available future funds for investment; and
  - Match the fund requirements with projected funds available and decide on financing options should the funds available be insufficient





B. After giving the input, conduct project Screening with the Planning Team

1. Explain the following steps and conduct these steps:

- a. Initial project screening: participated in by the members of the Local Development Council (LDC), all department heads, and members of the expanded Local Finance Committee (LFC)
- consolidate repetitive and redundant proposals;
  - reject obviously impractical or undesirable project proposals; and
  - sift “non projects” from “projects”

Projects are development interventions that have definite time frames, require definite resource inputs like additional staff, equipment, and space separate from the existing office and with specific outputs.

- b. Sift programs and projects for ownership
- screen out projects that are more appropriately implemented by other agencies/ organizations
  - determine projects that fall under the responsibility of the LGU

Guide to Distinguish Projects from Non- Projects

PROJECT	NON-PROJECT
<ul style="list-style-type: none"> <li>• specific life cycle, with definite start and completion points with calendar dates</li> <li>• can be abruptly terminated if goals are not met; always terminated with project is completed</li> <li>• total effort must be completed within fixed budget and schedule</li> <li>• prediction of ultimate time &amp; cost required is difficult</li> <li>• rate and type of expenditures constantly changing</li> </ul>	<ul style="list-style-type: none"> <li>• continuous; no specific event tied to calendar dates other than fiscal year budget</li> <li>• assurance of continued function even in a major re-organization</li> <li>• maximum work is performed within the annual budget ceiling</li> <li>• prediction of annual expenditures is relatively simple</li> <li>• constant rate and type of expenditure</li> </ul>

Source: LGSPA CDP ELA Manual, 2007

DAY TWO

A. Make a presentation of Planning Team outputs to the LDC: Vision, Mission, Goals, Objectives

B. Present the list of projects that have gone through initial project screening

C. Explain the following process:

Project Ranking

- Selected projects will be subjected to a ranking process.
- Tool: Goal Achievement Matrix (GAM)
  - participation by the members of the Local Development Council (LDC), expanded Local Finance Committee (LFC) and the Local Council (Sangguniang Panlungsod/ Bayan).
  - popular planning tool used to evaluate alternatives.
  - evaluates options in terms of how well they contribute to the goals and objectives of

the plan.

- examine the alignment of proposed programs/projects with the goals and objectives.

- In ranking programs and projects, important criteria for CSPP: equity, contribution to human security
- Conflict and poverty analysis can be an additional tool to help focus on sectors or groups that are most in need of assistance.
- For projects in the priority shortlist, the team should prepare individual project briefs.

D. Explain the GAM process and conduct the GAM with LDC members

Goals Achievement Matrix (GAM)

1. Group the participants by sector.
2. List down all sectoral goals.
3. Based on the perceived importance of each goal to the interests of the sector, each group will assign weights to each goal. The numerical total of the weights should be 1 or 100%
4. Each proposed project will be rated by the groups using the following scale:
  - (-1)Project slightly inconsistent with the fulfillment of the goal
  - (-2)Project moderately inconsistent with the fulfillment of the goal
  - (-3)Project greatly inconsistent or contradicts the fulfillment of the goal
  - (0)Project does not contribute to the fulfillment of the goal
  - (1) Project contributes slightly to the fulfillment of goal
  - (2) Project contributes moderately to the fulfillment of goal
  - (3)Project contributes greatly to the fulfillment of goal
5. The rating is multiplied by the corresponding weight of the goal and the product (score) entered in the appropriate cell. The scores are summed up for each project proposal.
6. The projects are finally arranged according to their total scores. The project with the highest total score is ranked as number one, the next number two, and so on.

E. Making LDIP Conflict-Sensitive and Peace-Promoting

- After screening or ranking projects for prioritization and funding, ask the following conflict-sensitive and peace-promoting filter questions on your identified priority projects.

Conflict Management Capacities

- Will the programs and projects (PPs) provide opportunities for individuals/groups to get involved in peace-building efforts?



#### Militarization/armed and human security

- Will the PP affect the people's sense of security positively or negatively? How?
- Will the PP affect the military/paramilitary/criminal environment directly/indirectly, positively/negatively? How?
- Will there be real improvements in the political, economic, physical, food security among men and women?
- How can benefits be more broadly or fairly distributed?

#### Political structure and processes

- Will the PP help or hinder the strengthening of the relationship among stakeholders in the municipality? How?
- Will the PP have positive or negative impact on the political structures and processes?
- What will be the impact of the PP on the human rights conditions within the municipality?

#### Economic structure and Processes

- Will the PP contribute to or distract from efforts to reconstruct damaged economic and social infrastructure?
- Will the PP address the unequal distribution of wealth?

#### Social Empowerment

- Will the PP create or support equity and justice?
- Will the PP be shared equitably by both genders?
- Will the PP contribute to positive communication or interaction?

F. Summarize and get LDC endorsement of the final list of priority projects for adoption by the LGU

#### CSPP CDP ELA WORKSHOP # SIX:

#### IDENTIFICATION OF CAPACITY DEVELOPMENT NEEDS, COMMUNICATION AND MONITORING PLAN FOR EFFECTIVE IMPLEMENTATION

#### OBJECTIVES

For the Planning team to gain a deeper appreciation and come up with concrete plans for ELA and LDIP implementation and monitoring.

#### SCHEDULE

- 10:00 Introduction to the Workshop  
Objectives  
Proposed Process and Timetable
- 10:30 Provide Input on Plan Implementation and Monitoring  
Review all outputs thus far, zeroing on identified priority projects
- 12:00 Lunch
- 1:00 Plenary planning  
1. Capacity Development Plan  
2. Communication/Advocacy Plan  
3. Plan Monitoring
- 4:00 Closing

#### WORKSHOP PROCESS

A. Provide the following inputs:

1. Requirements of Plan Implementation
  - a. SB resolution
  - b. AIP
    - Translate ELA/LDIP into an AIP: The AIP should be prepared using the prescribed forms in the Updated Budget Operations Manual for Local Government Units (UBOM) guided by related issuances released by the DBM.
  - c. Budget Preparation: Executive Budget



d. Prepare your Capacity Development Plan:

- A document that seeks to rationalize and strategically focus the capability building efforts of LGUs; and
- Outlines the capability building interventions or programs that need to be undertaken to address an identified capability deficiency. The benefits derived from capacity development planning are not only confined to Plan implementation but can last even beyond the plan period.

Steps in Preparing Capacity Development Plan

- 1) Establish the organizational and individual competencies that are needed to implement the CDP. What capacities should be present in the LGU to support the implementation of priority programs and projects?
- 2) Examine existing capacity vis-à-vis desired competencies. Does the LGU have adequate leadership, management, technical skills, organization arrangement, motivation, technology and equipment, systems and procedures, regulations, ordinances, and funds to accomplish the goals of the CDP?
- 3) Identify capacity gaps. Where are gaps in capacities? Which capacity areas need to be prioritized? Available local government performance management systems such as the LGPMS of the DILG should provide useful information on the organizational capacity of the LGU.
- 4) Identify priority strategies or actions that need to be taken to improve capacities. What should be done to improve or develop capacities?
- 5) Prepare a capacity development plan and budget. How much time, effort and budget would be required to make improvements in the present capacity of the LGU and is it worth it?
- 6) Assign roles and responsibilities to achieve the goal and the capacity objectives.
- 7) Monitor the plan and make adjustments as required. Should goals and objectives be adjusted given present capacity?

e. Advocacy plan: Develop a communications plan

Rationale: A Local Development Plan that is widely communicated and understood by all possible stakeholders not only helps enlist support for the plan but also promotes transparent and accountable governance.

Preparing a communication plan: Example of a Communications Plan

- Key Audiences: Community
- Communication Objectives: Make the public aware of the ELA and its merits.
- Key Messages: The Local Development Plan promotes transparency, good governance and meaningful people's participation in the local development process.
- Channels/Vehicles: Stickers, Jingle, Pulong sa Barangay, Performance updates (Ulat sa Bayan) Radio spots
- Feedback Mechanism: Community consultations, interviews

- Success Indicators: Increasing number of NGOs/POs participating in LGU activities/projects; Ordinary citizens talk positively about the ELA

f. Preparing for Plan Monitoring

Give input on Plan monitoring steps:

- 1) Organize/Identify Monitoring Structure
- 2) Conduct annually and at the end of three years.
- 3) Complete the M & E Strategy Template: a straightforward form that can be completed by the monitoring team.
  - Clear and expected results (goals, objectives, outputs);
  - Explicit targets per result;
  - Indicators to measure progress towards results;
  - Data source to assess performance;
  - Collection methods;
  - Frequency at which measurements will be made; and
  - Roles and responsibilities
- 4) Use any of the following Monitoring Tools:
  - Annual/End-of-Term Accomplishment Report
  - Community Based Monitoring System (CBMS) – The CBMS can be used in monitoring and tracking progress of LGUs towards the attainment of their poverty reduction goals including the MDGs.
  - Peace and Conflict Impact Assessment (PCIA) – The PCIA is a tool developed to assist LGUs to anticipate, monitor and evaluate the impact of their interventions on peace and conflict.
  - Local Governance Performance Management System (LGPMS)
- 5) Communicate monitoring results

B. Conduct Plenary Planning using Metacards or the brainstorming technique

