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Baseline Assessment and Case Study Development on Financing for Early Actions on Climate Risks in the Philippines



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PDRMC-SORSOGON
EMERGENCY MEETING
TROPICAL DEPRESSION UDELLIA
DECEMBER 14, 2017 @ 8:00AM

COAST GUARD

EXECUTIVE SUMMARY

This report presents the findings of a study commissioned by the UN World Food Programme (WFP) to determine the existing capacities of its partner provincial local government units (hereinafter referred to as WFP partner provinces) for institutionalizing financing for early actions based on disaster forecasts and for mapping existing financing windows for early actions. Through this study, WFP hopes to identify the gaps and challenges so that appropriate support anchored on empirical pieces of evidence can be rationalized and provided.

Data for this study were generated using a mixed methods approach. Specific qualitative methods used include key informant interviews (KIIs), focus group discussions (FGDs), desk review of documents and records, and use of quantitative data obtained from relevant reports and data shared by the informants.

This report is divided in eleven (11) major parts. Part 1 provides a background of the study, discusses the objectives, scope, units of analysis, sampling, methodology, and key activities undertaken during the research process. Part 2 briefly discusses the research instrument used for the baseline assessment. Part 3 presents a map of early actions on climate risks based on forecasts that are being implemented by the provincial local government units (LGU) that are WFP partners. Part 4 presents existing formal and non-formal arrangements for financing early actions at the local level. Part 5 discusses existing mechanisms or windows for financing early actions. Part 6 discusses the Local Disaster Risk Reduction and Management Fund (LDRRMF) and presents how these are allocated or utilized by the WFP partner provinces. Part 7 presents cases of good practice on financing for early actions and climate financing. The conclusions and recommendations are presented in Part 8. The instrument used in the baseline assessment is in Annex A. Annex B briefly describes the hazard profiles of the WFP partner provinces. Annex C provides a listing of the informants.

The study covers a range of different climate risks or hazards through which the study examined forecast-based early actions or responses. The climate risk or hazard was then situated in a sample site that can serve as a good observation unit for an analysis of these early actions or responses. The sample sites were confined to areas that are partners of WFP. These include the provinces of Batangas, Laguna, Benguet, Cagayan, Sorsogon, Iloilo, Compostela Valley, Davao Oriental, Misamis Oriental, and Maguindanao.

The cases of the municipality of Del Carmen in the province of Surigao del Norte, the municipality of Sta. Teresita in the province of Cagayan, and the province of Albay in the Bicol Region are presented as cases of good practice in financing early actions.

Key findings include:

- There is a semblance of practice in sampled provinces of financing for early actions. While WFP partner provinces have yet to fully embrace and appreciate financing for early actions based on forecasts in principle, in practice, their responses indicate that they already carry out early actions even if these are currently not tagged as early actions but as part of preparedness and response.
- The absence of an overarching policy provision in Republic Act 10121 and in relevant Commission on Audit (COA) directives governing LDRRMF disbursements limits the local government units (LGU) from carrying out more early actions that will require financing.
- There is a presence of both formal and non-formal arrangements at the local level that support early actions even if these are not currently tagged as such.
- There exists financing windows that the LGUs may tap. Institutionalizing financing for early actions is, therefore, feasible with policy amendment and advocacy work at the local level.

- The PSF as a window for climate financing but this remain largely untapped by WFP partner provinces. The reasons cited include lack of technical capacity, particularly in crafting science-informed project proposals that will merit the approval of the vetting body which was then the Climate Change Commission (CCC). Lack of manpower and the tedious process of complying with the documentary requirements also keep the LGUs from accessing climate financing.
- The Disaster Management Assistance Fund (DMAF), like the PSF, may be tapped to support early warning system (EWS) procurement and for mobilizing experts to train local disaster risk reduction and management (DRRM) actors to manage EWS and build their predictive capacities such as that for interpreting EWS data at the local level.
- Current priorities of WFP partners are geared towards infrastructure and equipping while allocation for food and non-food items and disaster risk communication which are critical for survival remain at the bottom.

Among the recommendations are:

- Advocating for policy review so that specific provisions for early actions based on forecasts can be made more explicit under the section on the LDRRMF in Republic Act 10121 and subsequent review and enhancement of the COA Guidelines to reflect specific budget line items that are clearly early actions;
- Defining and leveling off on what constitutes early actions and what can and cannot be financed this component once defined;
- Providing for a more uniform tagging of budget line items in the LDRRMF, and clearer provisions on the specifics of what can be financed under each budget line item;
- Developing a system in which financing is only undertaken when the probability of extreme event is high which has implications on LGU compliance to agreed upon standard operating procedures (SOP);
- Streamlining current procedures so that LGUs can leverage financing windows;
- Leveraging local experts such as those in the academe for technical support in the preparation of science-informed proposals and for complying with the documentary requirements;
- Creating greater awareness and better appreciation for financing early actions as a distinct component of the overall disaster and climate financing scheme;
- Communicating findings of the study to other LGUs in order to create greater awareness among them on the practical value of financing for early actions based on forecasts;
- Complying with the SOPs that were earlier developed and periodically updating the same based on changing and emerging needs;
- Undertaking a follow up study after two or three years to see how allocations have changed over time based on changing needs and scenarios;
- Defining standards and outlining housing principles that constituents can adhere to for house strengthening; and,
- Strengthening local capacities to predict onset of disasters based.



INTRODUCTION

Background of the Study

In 2015, the UN World Food Programme in the Philippines piloted its Forecast-based Financing (FbF) programme and emergency preparedness for climate risks in support of the global initiative of the other WFP offices in Bangladesh, Nepal, Haiti, and the Dominican Republic. The initiative is funded by the German Federal Foreign Office.

Forecast-based financing, or financing for early actions on climate risks based on forecasts, forms part of a broader Early Warning Early Action Program that seeks to shift the focus of humanitarian assistance from response to anticipatory actions to reduce disaster impact.

FbF is an approach that leverages scientific data to inform and trigger action and the release of humanitarian funding in anticipation of a potential threat or disaster. The program is supported by the German government under the Action Plan of the Federal Foreign Office for Humanitarian Adaptation to Climate Change (2015-2019). Other governments that support FbF include the United Kingdom, Netherlands, Australia, and the United States. The Food and Agricultural Office (FAO) also supports the program.

FbF has three components, namely: triggers, selection of actions, and financing mechanism. The program argues that “many of the most devastating natural disasters had been forecasted before they occurred; yet actions to reduce their impact remain limited.”

The Baseline Assessment on Financing for Early Actions on Climate Risks in the Philippines

In November 2017, WFP commissioned a baseline assessment and case study development on financing for early actions. The objective was to determine the existing capacities of the WFP partner provinces for institutionalizing financing for early actions and for accessing climate financing windows such as the PSF to finance adaptation activities that can strengthen the capacities of these LGUs to enhance forecasting and EWS as part of preparedness to climate change. With an effective EWS and forecasting capacity in place, the LGUs could implement early actions efficiently. In undertaking the baseline assessment, WFP hopes to take stock of the status of the capacity of its partner LGUs and to determine the gaps and challenges so that appropriate support anchored on empirical pieces of evidence can be rationalized and provided.

This study, the third to be commissioned under the program, looks into financing mechanisms for early actions based on forecasts. In the context of the Philippines, these financing mechanisms include the legislated National Disaster Risk Reduction and Management Fund (NDRRMF), the LDRRMF which are both stipulated in The Philippine Disaster Risk Reduction and Management Act of 2010 or Republic Act No. 10121. Other financing mechanisms include the PSF which was created by Republic Act No. 10174 and the DMAF which is lodged under the Department of Finance (DOF).

Objectives of the Study

The objectives of the study are:

- to develop a research policy paper for peer review and publication on the status of climate/disaster risk financing in the Philippines;
- to undertake a baseline assessment of the financing mechanisms being implemented or practiced by partner LGUs;
- to develop a stakeholder map and database for each LGU on climate/disaster financing;
- to develop an assessment tool and conduct a baseline assessment of LGU capacities and

resources to determine their readiness for institutionalizing and accessing climate financing;

- to develop case studies on early action and climate/disaster risk financing from ten WFP partner provincial LGUs (Benguet, Cagayan, Batangas, Laguna, Sorsogon, Iloilo, Maguindanao, Compostela Valley, Misamis Oriental, Davao Oriental) and non-WFP provincial and municipal local government units such as Sta. Teresita, Cagayan; Lanuza, Surigao del Sur; Carmen, Surigao del Norte; and Albay province; and,
- to develop up to five (5) infographics and/or knowledge products related to the assessment tool developed; climate/disaster financing in the Philippines; guidelines on accessing climate financing, including risk assessment, processes, flow charts; case studies; preparedness funding available, etc.



Figure 1. Covered Areas of WFP on FbF Project

Scope of the Study

The study covers two major types of data. The first set of data is an assessment of baseline information related to early actions on climate risks, which include the following:

- the type of case hazard in a sample site;
- the early actions taken related to particular climate risk;
- the legal instruments or formal arrangements upon which the actors premise their early actions;
- the non-formal arrangements that inform early actions of the actors; and,
- the utilization of the LDRRMF and any other type of funding for early actions on climate risks.

The second set of data is a documentation of best practices in financing for early actions and in accessing the PSF.

Unit of Analysis and Units of Observation

The climate risk or hazard is the unit of analysis for the assessment of baseline information related to early actions, while the province serves as the unit of observation. On the other hand, the processes of project proposal development and the project proposal itself serve as the units of analysis for the documentation of good practices in accessing the PSF, while the province or the municipality serves as the unit of observation.

Sampling

For the assessment of baseline information, the study covers a range of different climate risks or hazards through which the study can examine forecast-based early actions or responses. The climate risk or hazard is then situated in a sample site that can serve as a good observation unit for an analysis of these early actions or responses. The sample site is confined to areas that are partners of WFP. The sample covers the following hazards: landslides, flooding, typhoon that occurred in ten (10) provinces in the three major island clusters of the Philippines. (Tables 1 and Figure 1).

Table 1. Sample hazards and sites in which the hazards are examined.

Climate Risk or Hazard	Province	Major Island Cluster
Landslide: rain-induced (The case of typhoon <i>Ineng</i> ; international code name <i>Goni</i> ; 2015)	Benguet	Luzon
Flooding: typhoon-induced (The case of super typhoon <i>Lawin</i> ; international code name <i>Haima</i> ; 2016)	Cagayan	
Flooding: typhoon-induced (The case of typhoon <i>Glenda</i> ; international code name <i>Rammasun</i> ; 2014)	Batangas	
Flooding: typhoon-induced (The case of tropical depression <i>Maring</i> ; 2017)	Laguna	
Typhoon (The case of typhoon <i>Nona</i> ; international code name <i>Melor</i> ; 2015)	Sorsogon	
Typhoon (The case of typhoon <i>Yolanda</i> ; international code name <i>Haiyan</i> ; 2013)	Iloilo	Visayas
Typhoon (The case of typhoon <i>Agaton</i> ; international name <i>Bolaven</i> ; 2018)	Misamis Oriental	Mindanao
Landslide: typhoon-induced (The case of Typhoon <i>Vinta</i> ; international code name <i>Tembin</i> ; 2018)	Compostela Valley	
Typhoon (The case of Typhoon <i>Pablo</i> ; international code name: <i>Bopha</i> , 2012)	Davao Oriental	
Flooding	Maguindanao	

Table 2. Sample sites for good practices

Major Island Cluster	Province/Municipality	Case Study
Luzon	Province of Albay	Declaration of the state of calamity due to imminent threat and the utilization of the quick response fund (QRF)
	Municipality of Sta. Teresita in the province of Cagayan	Provision of housing materials to households living on the coast based on seasonal patterns and the distribution of cash for housing assistance
Mindanao	Province of Lanao del Sur	WFP's El Niño intervention
	Municipality of Del Carmen in the province of Surigao del Norte	Access to the PSF
	Municipality of Lanuza in the province of Surgao del Sur	Access to the PSF

Research Methodology

The overall research approach is abductive. Abduction, first introduced by Charles Sanders Pierce as the third logic of scientific inquiry, is the process of “drawing conclusions that include preferring one hypothesis over others which can explain the facts when there is no basis in previous knowledge that could justify this preference or any checking done after the hypothesis was subjected to a trial period.” It is a process that has been found to be particularly useful in situations in which distinct local contexts need to be considered. Unlike deduction in which the process begins with a theory that is either confirmed or refuted, and unlike induction in which one draws out patterns and themes for the purpose of generalization, the process of abduction involves (1) creating an initial explanation for new discoveries or surprising facts, which are called hypotheses on probation and (2) testing this initial explanation against all other observations. The hypotheses are based on facts and not on theory. Abduction, therefore, is an inference to the best explanation.

Levin-Rozalis argues that in evaluative studies, such as in baseline assessments, one does not attempt to formulate a theory, but to give the best possible explanation for diverse phenomena one discovers in the course of undertaking the research. One also deals with immediate and specific facts and not generalized or abstract variables. It is also likely that a researcher may stumble upon surprises, such as the unpredictable factors in the field, interfering variables, or internal and external influences.

Many hypotheses stem from facts discovered in the field that can serve to explain the phenomena. This is why one needs to infer to the hypothesis that can best explain phenomena, and this implies that the process is both speculative and iterative.

Data-gathering Methods

The research team of the Holy Trinity College (HTC) of General Santos City employs a mixed-methods approach. This allows for both qualitative and quantitative data to surface. As per initial discussions, data-gathering methods include FGDs and KIIs involving the Office of the Governor, the Provincial Planning and Development Office (PPDO), the Provincial Disaster Risk Reduction Management Office (PDRRMO), local finance units, the Provincial Social Work and Development Office (PSWDO), and the Provincial Agriculture Office (PAO). In the course of undertaking the fieldwork, practices that exhibit financing for early actions were identified and surfaced.

- Literature review. The HTC Research Team undertook an extensive literature review, particularly for the development of the research instrument. Among the documents reviewed were the study done by the Alcanz' Consulting which assessed the climate risks and impacts; current warning systems and preparedness protocols; policy environment and compliance at all government levels in all the ten WFP partner provinces.
- The HTC research team also looked into the standard operating procedures (SOPs) which were developed by the Development Academy of the Philippines (DAP) for the ten WFP partner provinces and presentation materials from the regional and global Dialogue Platforms on Forecast-based Financing.
- Joint HTC-WFP Team Meetings. Representatives from the HTC team also met with the WFP team to discuss the framework for the development of the baseline assessment tool based on the information needs of WFP and to level off on expected deliverables. The team utilized the inputs from these meetings to enhance and eventually finalize the baseline assessment tools.
- Validation workshops among researchers. HTC team members convened three workshops to level off on understanding what the project entails, and to decide on appropriate methods that will generate the data required. While the specific methods used for the baseline assessment have been identified at the start of the project cycle, the team members agreed to be open about the need to employ other methods that may emerge as the process progresses, as initial data are generated and collated, and as the preliminary analysis is made.
- Focus group discussion (FGD). The team agreed to conduct FGDs which involve key actors from WFP partner provinces. These included the officers or representatives of the following offices: Office of the Governor, PDRRMO, PSWDO, PPDO, PAO, provincial finance units, and other members of the Local Disaster Risk Reduction and Management Council (LDRRMC).
- Key Informant Interviews (KII). The team conducted KIIs were also undertaken to generate information that did not surface during the FGDs and to collate documents that were needed for the study such as those on the utilization of the LDRRMF.

The HTC research team convened WFP partners from its partner provinces, including representatives from non-WFP partner LGUs including those from the municipalities of Del Carmen in Surigao del Norte and Lanuza in Surigao del Sur.

Key Processes

Within the project cycle, the HTC research team undertook the following key processes:



Fig. 2. Key Baseline Assessment Processes

Project Disclosure. Project disclosure was done to ensure that the members of the HTC Research Team fully understand the requirements of the project, including their respective roles and deliverables.

Desk Review of Documents. The desk review of documents commenced as soon as the project was awarded to the HTC in January 2018.

Drafting of the Inception Report. The HTC research team leaders met among themselves and with the WFP team on January 22 and February 26, 2018. Discussions from these meetings informed the Inception Report, which was submitted to WFP on March 9, 2018. The Research Team received feedback from WFP on March 19, 2018. The revised version of the Inception Report reflects the required changes.

Development of the Baseline Assessment Tool. In February and April 2018, the Holy Trinity College of General Santos City (HTC) Research Team convened to develop the research instrument that will be used for the baseline assessment and case study development. The objectives of the workshop for the development of the research instrument were:

- To re-orient members of the research team on the project;
- To level off members' understanding of basic and key terminologies relevant to the project;
- To present initial data from the desk review of documents; and,
- To develop a framework and the most appropriate research instrument for conducting the baseline assessment.

The development of the baseline assessment instrument was informed by the inputs from the initial meetings with the WFP team, including the materials that WFP shared and the research team's own literature review.

Pilot Testing of Baseline Assessment Tool. The team pilot-tested the research instrument in the provinces of Benguet and Sorsogon in May 2018 to ensure that the instrument is able to capture the required data and information, and to identify potential challenges that the teams may encounter during the field data-gathering activity.

Presentation of the Study at the 2nd Asia-Pacific Dialogue Platform in Kuala Lumpur in Malaysia and at the 5th Technical Working Group Meeting in Mandaluyong City, Philippines. Fraulein A. Oclarit, Research Lead, upon the invitation of WFP, made a project presentation before the different DRRM and forecast-based financing (FbF) actors in the Asia-Pacific Region on May 30, 2018. Her participation in the 2nd Asia-Pacific Dialogue provided valuable inputs to the study being undertaken, particularly in terms of learning from the practices of neighboring countries in the region who are likewise implementing the FbF concept.

Presentation of the Study to the National Technical Working Group on Forecast-Based Financing. Together with Dr. Eulalio R. Guieb III, a member of the research core team, Oclarit also did a similar presentation before the Technical Working Group (TWG) on Forecast-based Financing in June 2018.

Project Updating Meetings. The Research Lead, following her participation in some major activities of WFP, convened special meetings with members of the research team to discuss project updates.

Pre-Fieldwork Orientation. The HTC Research Center held a pre-fieldwork orientation on July 6, 2018. The objectives were (1) to level off team members (1) on fieldwork processes and protocols, (2) on deliverables from the first fieldwork, and (3) on how to administer the baseline assessment research instrument.

During this activity, the team did a final review of the instrument to ensure that the researchers have a common understanding of the informational requirements of the research. The Research Lead walked them through the presentation material that was used for Project Disclosure.

The team agreed on the following fieldwork protocols:

- Introducing the HTC Research Team members to the partners;
- Expressing gratitude to the partners for granting the request for the team's visit, for mobilizing key DRRM actors for the KIIs and FGDs, and for providing the team access to relevant documents and reports;
- Fully disclosing project objectives and making partners understand what the research entails from them, what level of support is needed from the partners, and what the expected deliverables are;
- Securing the necessary permission to record interviews and take photos; and,
- Building good relations but maintaining that one is in the field as a researcher.



Photo 1. Project Disclosure with the key DRRM actors of the Province of Sorsogon

Fieldwork for Baseline Assessment and Case Study Development. HTC began deploying its researchers for simultaneous fieldwork for data gathering in July 2018. The objective was to do FGDs with the identified key actors in each of the provinces under study. Initial fieldwork proved that FGDs were not enough to generate all the information needed, and most teams decided to do KIIs to generate more information and more depth to the narratives of the partner provinces.

The research completed its data gathering in the following provinces by the end of June 2018: Laguna, Batangas, Cagayan, Sorsogon, Iloilo, Compostela Valley, Misamis Oriental, and Lanao del Sur. Data gathering for Davao Oriental and Albay was completed in mid-June 2018. Data gathering for Benguet, Del Carmen in Surigao del Norte, and Lanuza in Surigao del Sur were undertaken on the last week of July 2018.

Team Workshop on Data Processing. The HTC Research Team convened on August 6-7, 2018. The objective was for each of the research teams to present and interrogate data from the field. The two-day workshop validated the research data and yielded a set of initial impressions.

Validation with WFP Partners. HTC convened a validation and knowledge-sharing activity on September 6-7, 2018. The objectives were: (1) to present, discuss, and validate the initial impressions from the data generated for the baseline assessment; and, (2) to generate feedback and additional inputs from the partners.



Photo 2. HTC Research Team together with the WFP FbF Focal Persons, representative of WFP partner provinces and other baseline assessment informants during the Validation and Knowledge Sharing Session held at the Microtel Hotel in General Santos City of September 6-7, 2018.

Revision and Finalization. The members of the HTC Research Team updated their initial narrative reports to incorporate inputs that the representatives of the partner provinces shared during the Validation and Knowledge Sharing Session. Data systematization and analysis occurred immediately after.

THE RESEARCH
INSTRUMENT:
CONTRIBUTING TO
THE STUDY ON
FORECAST-BASED
EARLY ACTIONS ON
CLIMATE HAZARDS
AND RISKS

The Research Instrument: Contributing to the Study on Forecast-Based Early Actions on Climate Hazards and Risks

A major contribution of the study is the development of a research instrument on forecast-based early actions related to climate hazards and risks. An instrument or tool of this nature is absent in the literature reviewed by the study. In developing the instrument, the HTC team referenced information from the desk review of documents, inputs from meetings with WFP, including brainstorming sessions, and online discussions among the members of the HTC research team.

The instrument has five (5) main parts. Part 1 seeks to describe the hazard profiles of the province. Part II identifies a case event or disaster as a unit of analysis along with forecast information on that hazard, including financing for early actions based on hazard forecast. Forecast information includes (a) platform, timing, and frequency of forecast; (b) date of actual incident; (c) source/s of forecast information; (d) accuracy of forecast; (e) availability of financing mechanism after the forecast; (f) type of financing mechanism; (g) a description of how early actions are developed based on forecasts or how the forecast gets translated to financing early actions at the local level. Part III identifies and enumerates institutional arrangements on financing for early actions on climate risks such as the presence or absence of legal instruments and presence or absence of non-formal arrangements for financing for early actions; (c) coordination mechanisms (actors, roles, tenure, levels of decision-making). Part IV generates information on the presence or absence of EWS, including their statuses or conditions, owners and/or operators, and LGU utilization of EWS for financing early actions). Part V assesses LGU compliance to the requirements of the PSF, a climate financing window mandated by law in the Philippines, local capacities for accessing the PSF and the challenges encountered in accessing climate financing. Finally, the tool seeks to assess how local government units utilize LDRRMF, specifically looking into their appropriations for financing early actions based on forecasts.

The instrument (Annex A) is a useful tool that may be used by other local governments in the country, including other countries in similarly-situated contexts who are looking at conducting baseline assessments on forecast-based early actions on climate risks. The tools may also be useful for continuing assessments.

MAP OF EARLY
ACTIONS ON CLIMATE
RISKS BASED ON
FORECASTS

Map of Early Actions on Climate Risks Based on Forecasts

This chapter presents the results of the desk reviews, FGDs, and KIIs on early actions on climate risks based on forecasts. The case hazards included in this study are limited only to those which were identified by the key disaster risk reduction and management (DRRM) actors in the ten (10) sampled WFP partner provinces.

Early actions, as used in this study, refer to all actions in response to a forecast of an impending disaster before it even strikes. In the DRRM continuum, forecast-based early actions lie between the x-y continuum, x being the issuance of a forecast and y, the event.

Early Actions in the Philippine Context

In 2015, the Philippines, through the initiative of the Department of Interior and Local Government (DILG), published the Operation LISTO, a set of disaster preparedness manuals whose target audience include the local chief executives (LCE) and key DRRM actors at the local level. DILG's objective is "to strengthen the capacity while preserving the flexibility of LGUs in responding to disasters in their areas." DILG recognizes the crucial role that the LGUs play being the ones at the frontlines in the event of a disaster. The manuals provide for checklists that allow the LGUs to self-evaluate their readiness for a disaster, and the information and tools that the LGUs and other DRRM actors may find useful. These manuals provide input for local planning processes.

One of the Operation LISTO Manuals include the *Checklist of Minimum Critical Preparations for Mayors* which lists what actions can be undertaken according to the intensity and possible impacts of a typhoon. It comes with the three Flowcharts (Alpha, Bravo and Charlie), Tropical Cyclone Information Board, and reference boxes that will be helpful for the LCEs. The minimum actions can be adapted to local contexts.

Table 3 below provides a summary of forecast-based early actions taken by the WFP partners based on the sampled case hazards. The informants' responses were categorized according to common themes and those that are distinct in some of the provinces. These are summarized in the succeeding table.

Table 3. Summary of early actions on case hazards based on forecasts.

Provinces	Case hazard	Issuance of Forecast Information	Coordination Meetings	Prepositioning of food and non-food items	Pre-emptive evacuation	Others
Batangas	Typhoon (Typhoon Glenda (International code name, Rammasun, 2014)	/	/	/	/	Emergency fish harvest; shutting down of operations in the Batangas seaport
Laguna	Typhoon-induced flooding Tropical Depression Marin (2017)	/	/	/	/	

Provinces	Case hazard	Issuance of Forecast Information	Coordination Meetings	Prepositioning of food and non-food items	Pre-emptive evacuation	Others
Cagayan	Flooding Super typhoon Lawin (2016)	/	/	/	/	Early Harvests of agricultural products
Benguet	Typhoon – induced landslide Typhoon Ineng (2015)	/	/	/	/	Drawing of cash advances to augment food and non-food items
Sorsogon	Typhoon Typhoon Nona (2016)	/	/	/	/	72-Hour assessment
Iloilo	Typhoon Typhoon Yolanda (International name Haiyan; 2013)	/	/	/	/	
Davao Oriental	Typhoon Typhoon Pablo (International Name Bopha; 2012)	/	/	/	/	
Compostela Valley	Typhoon-induced landslide/ Typhoon Vinta	/	/	/	/	
Misamis Oriental	Typhoon Typhoon agaton	/	/	/	/	
Maguindanao	Flooding	/	/	/	/	

Common early actions to all ten provinces are the following: (1) issuance of forecast information, (2) coordination and activation of the LDRRMCs, (3) prepositioning of goods that include both food and non-food items, and (4) preemptive evacuation. All of these form part of the early actions that are stipulated in Operation LISTO.

It may be gleaned from the table, however, that there are provinces such as Benguet, Cagayan, and Batangas that take early actions which require and, therefore, imply financing. Batangas, for instance, orders emergency fish harvests and the shuts down operations in the Batangas Port once a forecast is made. There is also a similar action in municipalities along the stretch leading to Matnog, Sorsogon such as Casiguran which support stranded passengers once the seaport in Matnog is ordered closed after a forecast. Cagayan immediately orders the harvesting of agricultural products. Benguet, on the other hand, allows for emergency cash advances to be drawn to finance early actions subject to proper liquidation. While these innovations on the part of some partner provinces have not yet been institutionalized in the sense that these have not yet been legislated, these already indicate a semblance of practice. Generally, however, the LGUs maintain that they are constrained by COA regulations to finance early actions even if they recognize that these are necessary.

EXISTING FORMAL
AND NON-FORMAL
ARRANGEMENTS ON
FINANCING FOR EARLY
ACTIONS

Existing Formal and Non-Formal Arrangements on Financing for Early Actions

This chapter presents the existing formal and non-formal arrangements on financing for early actions based on forecasts in the ten (10) sampled WFP partner provinces.

Formal arrangements, as used in this study, refer to all government-legislated policies at the provincial level that explicitly allocate financing for early actions based on forecasts. This can come in the following forms: memorandum circulars, issuances, etc.

Non-formal arrangements, on the other hand, refer to verbal and, therefore, unlegislated agreements by and between the provincial and municipal LGUs and a business entity such as groceries which can release food and non-food items, gasoline stations which can provide fuel, pharmacies which can release medicines, among others. Table 4 below outlines these existing formal and non-formal arrangements. It is worth noting that some practices imply financing for early actions even if these are not yet understood nor appreciated as such and are not yet institutionalized practices.

Table 4. Existing formal and non-formal arrangements on financing for early actions among WFP's partner provinces

Province	Formal Arrangements	Non-Formal Arrangements
Batangas	Other than the presence of a contingency plan and LDRRM duly approved by the Sangguniang Panlalawigan, there are no other legislated instruments that institutionalize financing for early actions on climate risks based on forecasts.	There are no non-formal arrangements on financing for early actions although the PLGU received support in the form of donations from the SM Foundation, Office of the Davao City Mayor, and other private individual or companies during typhoon Glenda. Emergency fish harvests and automatic shutdown of port operations, while not yet institutionalized, are being practiced.
Laguna	There is a contingency plan approved and duly approved by the Sangguniang Panlalawigan and an approved Local Disaster Risk Reduction and Management Plan (LDRRMP). In 2017, Sangguniang Resolution 01a was released to activate key DPR actors who form part of the province's Alliance and Response System. This group of responders are mobilized for activities such as the distribution of goods and to help carry out pre-emptive evacuation before a disaster. Administrative Order No. 01-A S.2016b institutionalizes the pre-emptive evacuation residents in low-lying areas and forced evacuation before the event.	The PSWDO has existing arrangements with the local suppliers so that food and non-food items can be released to augment stocks consumed during a disaster.

Province	Formal Arrangements	Non-Formal Arrangements
Benguet	Other than the presence of a contingency plan and LDRRM duly approved by the Sangguniang Panlalawigan, there are no other legislated instruments that institutionalize financing for early actions on climate risks based on	The PDRRMO is allowed to draw cash advances once a forecast has been made even before the disaster strikes. The cash advances may be used to finance food and non-food items to augment existing supplies even before the disaster strikes.
Sorsogon	Other than the presence of a contingency plan and LDRRM duly approved by the Sangguniang Panlalawigan, there are no other legislated instruments that institutionalize financing for early actions on climate risks based on	There are no non-formal arrangements for financing for early actions on climate risks based on forecasts.
Cagayan Province	<p>There is a contingency plan approved and duly approved by the Sangguniang Panlalawigan and an approved LDRRMP.</p> <p>In 2013, the PLGU of Cagayan issued Provincial Ordinance No. 2013-8-007: An Ordinance Institutionalizing the Cagayan Consignment System.c</p> <p>This ordinance formalized a consignment arrangement with suppliers of medicines and medical supplies. These are lodged at the provincial, district or municipal hospital pharmacies on consignment. This helps ensure a steady that there is a steady supply of medicines that can be used to augment existing supplies in the event a disaster strikes. The goods may be drawn even before the disaster.</p>	There are no non-formal arrangements for financing for early actions on climate risks based on forecasts.

Province	Formal Arrangements	Non-Formal Arrangements
Iloilo	Other than the presence of a contingency plan and LDRRM duly approved by the Sangguniang Panlalawigan, there are no other legislated instruments that institutionalize financing for early actions on climate risks based on forecasts.	There are no non-formal arrangements for financing for early actions on disaster risks based on forecasts.
Davao Oriental	Provincial Ordinance No. 13-2-2013d mandates the implementation of forced evacuation when a disaster or emergency is declared in a specific area.	There exist non-formal arrangements with non-government institutions and local businessmen in most municipalities for the release of supplies, food and other necessities before a hazard hits the municipalities. This informal arrangement is reflected in the provincial LDRRM Plan 2017-2022. Suppliers of food, medicines, and other basic commodities needed are indicated in the LDRRMP.
Misamis Oriental	Other than the presence of a contingency plan and LDRRM duly approved by the Sangguniang Panlalawigan, there are no other legislated instruments that institutionalize financing for early actions on climate risks based on forecasts.	There are existing memoranda with private entities such as Geo Gas for the provision of fuel and lubricants on a credit basis for emergency, disaster, and calamity response; with MarketZone for the provision of medicines and medical supplies on credit and with Kevin Enterprises for the provision of rice and grocery items, also on credit, for emergency, disaster, and calamity response.
Compostela Valley	Other than the presence of a contingency plan and LDRRM duly approved by the Sangguniang Panlalawigan, there are no other legislated instruments that institutionalize financing for early actions on climate risks based on forecasts.	The Compostela Province Governor extends support in the form of load cards for some employees of PDRRMO to augment communication expenses. These load cards are used by the PDRRMO staff for coordination and other preparatory work before a disaster event. This is reflected in the Province's LDRRMF.
Maguindanao	Other than the presence of a contingency plan and LDRRM duly approved by the Sangguniang Panlalawigan, there are no other legislated instruments that institutionalize financing for early actions on climate risks based on forecasts.	There are no non-formal arrangements for financing for early actions on climate risks based on forecasts. The Muslims consider it culturally-inappropriate to get food and non-food items on credit.

Data from the table indicate there exists formal arrangements by way of legislations such as those in the Provinces of Laguna, Cagayan, and Davao Oriental. There is also a semblance of practice of financing for early actions as exhibited by the non-formal arrangements in the Provinces of Batangas, Benguet, and Compostela Valley. These innovations involve financing even if these are currently classified as disaster preparedness and/or disaster response actions than early actions triggered by a forecast.

It appears that financing for early actions based on forecasts have yet to be fully embraced by the LGUs, and have yet to be fully recognized by them as something that is distinct from preparedness and response. Financing for early actions should occur anywhere between the x-y continuum, x being the release of forecast and y, the event.

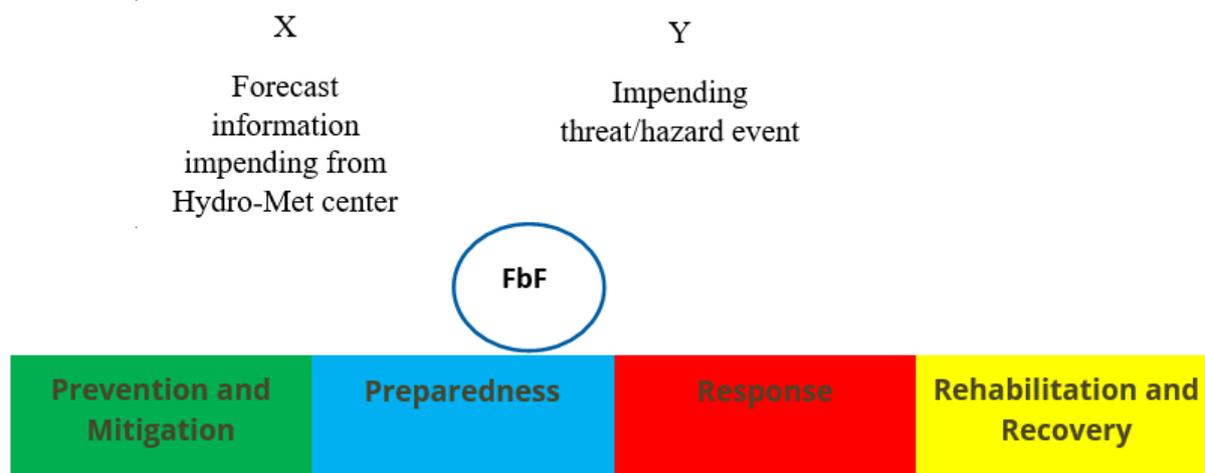


Fig. 3. Early Actions in the X-Y Continuum

In the current DRRM spectrum, this x-y period lies between the latter part of preparedness and early part of response. It appears, however, that the LGUs currently see no need to distinguish the thin lines that separate **preparedness financing** which occurs pre-forecast and pre-disaster; **financing for early actions** which occurs after a forecast before a disaster event, and **financing for response and rehabilitation** which occurs post-disaster. Despite this need for clear distinctions, however, the findings point to an observed sense of practice of financing for early actions in some of the sampled provinces. a

The data also indicate that there is currently an open window, a menu of clear financing source that may be utilized by the LGUs for financing forecast-based early actions. Current legislative environment, however, constrains key DRRM actors from accessing financing. Existing laws, therefore, have to adapt to the bio-ecological conditions of hazards and the requirements for quick processes such as financing for early actions. Currently, these risks resulting from a hazard or a "threat" of a hazard are not conceived as a legally justified basis for the release of funds. It appears that a justified basis for it to be legally acceptable is that a hazard needs to be turned into a disaster, its impact and aftermath characterized by negative consequences. Current legal discourses recognize only the threats and risks of a disaster, especially when it strikes, but current legal discourses do not cover the threats or risks of a hazard before it even strikes.

In the course of the KIIs and FGDs, informants from Misamis Oriental, Sorsogon, and Lanao del Sur have also expressed apprehension on the risks of financing of this type, citing its potential for corruption and misuse such as when these funds are leveraged to advance a political or business agenda.

The map of early actions also indicates that some arrangements are mainly government; some a combination of government, civil society groups, and private groups; but these are rarely led by civil society or private groups with support from the government. Basically, responses to a hazard are seen mainly the responsibility of the government. These bring to the fore the need for processes and systems for forecast-based early actions that are both participatory and inclusive, which may require mobilization of the different sectors within these LGUs.

Existing Financing Mechanisms at the National and Local Levels

Rationalizing Financing for Forecast-Based Early Actions

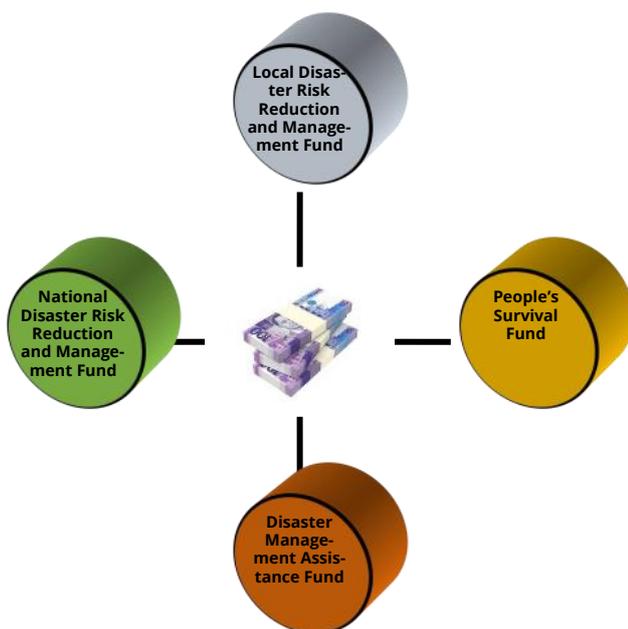


Fig. 4. Financing Mechanisms

This paper argues that institutionalizing financing for early actions on climate risks based on forecasts needs to be legislated at the national level. The informants unanimously claimed that without such legislated support from the national government, key actors at the local level will be constrained to take early actions, especially if this requires accessing funds for which no budget item has been allocated. Existing financing mechanisms such as the NDRRMF and the LDRRMF do not have provisions that explicitly state financing can be made for early actions based on forecasts. Current financing is mostly geared towards the four thematic areas that include (1) disaster prevention and mitigation, (2) disaster preparedness, (3) disaster response, and (4) disaster rehabilitation and recovery.

A closer look at the permissible budget items under the Disaster Prevention and Mitigation and Disaster Components in the *NDRRMC, DILG-DBM Joint Memorandum Circular 2013-1: Allocation and Utilization of the Local Disaster Risk Reduction and Management Fund (LDRRMF)* exhibits this limitation. Disaster Prevention and Mitigation and Disaster Preparedness are the two thematic areas where financing provisions can be possibly embedded and where financing for early actions triggered by a forecast can be made more explicit.

- Disaster Prevention and Mitigation
- Conduct of risk assessments; vulnerability analysis and other science-based technology and methodologies to enhance LGU ecological profile, sectoral studies; and, other mainstream disaster risk reduction and management activities
 - Implementation of community-based monitoring system with disaster risk reduction and management and CCA indicators
- Disaster Prevention and Mitigation
- Conduct of activities to review and integrate DRRM and CCA into various environmental policies, plans, and programs
 - Conduct of vulnerability analysis and risk assessment for critical facilities and infrastructure
 - Development of tools on risk assessment
 - Construction of dams and embankment that will reduce and mitigate flood risks
 - Other projects and programs of similar nature and are considered necessary
- Disaster Preparedness
- Conduct of trainings on disaster preparedness and response; and search, rescue, and retrieval operations
 - Conduct of simulation exercises
 - Development of IEC materials
 - Development of SOPs for Disaster Operation Centers
 - Development and institutionalization of early warning systems, information sharing among LGUs
 - Conduct of DRRM researches
 - Conduct of multi-stakeholder dialogue
 - Development, conduct, and regular review of contingency plans
 - Development of information and database generation
 - Stockpiling of basic emergency supplies
 - Other projects and programs of similar nature and considered necessary

All of these items are subject to the provisions set forth in the *COA Circular 2014-002: Accounting and Reporting Guidelines on the Receipt and Utilization of National Disaster Risk Reduction and Management Fund (NDRRMF), cash and in-kind aids/donations from the local and foreign sources, and funds allocated from the agency's regular budget for Disaster Risk Reduction and Management (DRRM) program.*

The absence of an explicit budget line item for financing early actions constrains the LGUs from drawing funds for fear of violating COA regulations even if they recognize that these actions are warranted.

In the succeeding paragraphs, four of such financing windows are discussed. These are the: (1) NDRRMF; (2) [LDRRMF](#); (3) [PSF](#); and, (4) [DMAF](#).

The National Disaster Risk Reduction and Management Fund

The NDRRMF is a that “shall be used for disaster risk reduction or mitigation, prevention and preparedness activities such as but not limited to training of personnel, procurement of equipment, and capital expenditures. It can also be utilized for relief, recovery, reconstruction, and other work or services in connection with human-induced calamities...” It is a fund appropriated under the General Appropriations Act (GAA). It is lodged in different government line agencies. In 2016, the fund was lodged under the Department of National Defense (DND), Department of Social Welfare and Development (DSWD), Department of Education (DepEd), Department of Health (DOH), Department of Public Works and Highways (DPWH), the National Irrigation Administration (NIA). In 2017, the NDRRMF was lodged under the DND-Office of Civil Defense, DND-Armed Forces of the Philippines, DSWD Office of the Secretary (OSEC), DOH-OSED, DPWH-OSEC, and the National Electrification Administration. The fund supports disaster risk reduction, mitigation, prevention and preparedness activities, including relief, recovery, rehabilitation, reconstruction and other works or services that are connected with natural of human induced calamities. While the intent of this fund is to empower the LGUs as the ones in the frontlines, a 2016 study by the Center for Disaster Prevention, Australian Aid and The Asia Foundation found that it is the national government that gets most of the funds. The study claims that the guidelines on the NDRRMF utilization are “outdated, unclear, and unpublished.”

Table 5. Requirements for NGA and LGU on NDRRMF Utilization

NGA Requirements	LGU Requirements
<ul style="list-style-type: none"> • Complete description of the project • Work and financial program/plan of the agency • Endorsement of the head of the agency requesting for assistance • Pertinent document that may be required on a case-to-case basis 	<ul style="list-style-type: none"> • Complete description of the project • Damage report – Calamity Impact • Assessment Report • Sanggunian Resolution appropriating local counterpart • LCE certification that the project will be completed • Endorsement from concerned NGAs • LCE certification that funding requests are emergency in character • Finance officer certification that the Local Calamity Fund is exhausted • Certification that infrastructure requested is not covered by insurance • Pertinent documents may be required on a case to case basis.

Source: CDP (2016). Moving Towards a Proactive National DRRM Fund

The Local Disaster Risk Reduction and Management Fund (LDRRMF)



Figure 5. Local Disaster Risk Reduction and Management Fund

The LDRRMF is mandated by R.A. 10121. It is a fund, which is not less than five percent (5%) of the estimated revenue from regular sources. The fund allows LGUs to support disaster risk management activities and to finance its disaster reduction, preparedness and mitigation measures, and disaster risk management activities. It includes the quick response fund (QRF) which is a standby fund for relief and recovery programs equivalent to 30% of the total LDRRMF, and accessible only via a Sangguniang Bayan resolution. The LDRRMF can be explicitly used to pay premiums on calamity insurance.

Disaster Management Assistance Fund

The DMAF is yet another financing window. source. The DMAF is a fund that is lodged under the DOF to provide financing support to mitigation and prevention, response and relief, and recovery and rehabilitation initiatives of LGUs. The fund excludes Metro Manila LGUs. The table below outlines the items that may be funded under the DMAF.

Table 6: Budget line items that may be financed by the DMAF

Category	What the Financing is for?	What can be financed?
Category 1	Financing for disaster prevention and mitigation initiatives of all provinces and municipalities.	C1.A Soft Component DRM-related training/capacity building activities; hazard mapping; vulnerability assessment; risk mapping; conduct of local assessment of LGU capacity and vulnerability to natural disasters; cost to be incurred in preparing for mainstreaming of climate change and DRR into local development plans and programs; preparation of Comprehensive Land Use Plan; development of Local Disaster Risk Reduction and Management Plan (LDRRMP); contingency planning; conduct of community drills/exercises; augmentation for health-related epidemics (i.e., outbreaks on Diarrhea, Dengue, etc.); and development of IEC and other advocacy materials.
		C1.B Equipment Provinces and Municipalities Early warning system, emergency and life support vehicles, emergency tools and equipment, Safety of Life at Sea (SOLAS) equipment set, life support vehicles for rescue and evacuation (i.e., ambulance).

The People's Survival Fund

The PSF is the Philippine government's flagship climate finance program. It is a program mandated by R.A. 10174 enacted in 2012. The law seeks to address the absence of climate finance provisions in R.A. 9729 or the Climate Change Act, an earlier mandate which was enacted in 2009.

The PSF provides financing to well-crafted and science-based and science-informed climate change adaptation (CCA) projects proposed by the LGUs and accredited local community organizations. It also supplements the annual appropriations allocated by relevant government agencies and local government units for climate change-related programs and projects.

By law, the Fund has an annual rolling minimum budget allocation of ₱1 billion in the national budget appropriated through the CCC. This amount shall not be reverted to the National Treasury regardless of its utilization and can be further augmented through additional budget allocations or through financial grants and donations. (Banaguas, 2017).

Such adaptation programs and projects are identified through risk or vulnerability assessments (RVAs) done in the locality. These assessments are component of the Enhanced-Comprehensive Land Use Plan (CLUP), Comprehensive Development Plan (CDP) and the Local Climate Change Action Plan (LCCAP). As a fund solely dedicated to help adapt to climate change, it aims to ensure that programs and projects are aligned with the climate sensitive development plans of the local units.

Adaptation programs that may be funded by the PSF include the following:

1. adaptation activities in the areas of water resources management, land management, agriculture and fisheries, health, infrastructure development, natural ecosystems including mountainous and coastal ecosystems;
2. improvement of the monitoring of vector-borne diseases triggered by climate change, and in this context improving disease control and prevention;
3. **forecasting and early warning systems as part of preparedness for climate-related hazards;**
4. institutional development, for local governments, in partnership with local communities and civil society groups, for preventive measures, planning, preparedness and management of impacts relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme climate events;
5. strengthening existing, and where needed, establishment of regional centers and information networks to support climate change adaptation initiatives and projects;
6. guarantee for risk insurance needs for farmers, agricultural workers and other stakeholders; and,
7. community adaptation support programs by local organizations

In order to access the PSF, proposals for CCA programs and projects need to be strategically aligned with the ultimate goal of the National Climate Change Action Plan (NCCAP) which is to build the adaptive capacities of men and women in their communities, to increase the resilience of the vulnerable sectors and natural ecosystems to climate change, and to optimize mitigation opportunities towards gender-responsive and rights-based sustainable development.

Proposed CCA projects must also be aligned with the seven strategic priorities of NCCAP which includes (a) food security, (b) water sufficiency, (c) environmental and ecological stability, (d) human security, (e) sustainable energy, (f) climate-smart industries and services, and (g) knowledge and capacity development.

All LGUs and L/COs are eligible to receive resources from the Fund. *Table 7 below refers to the criteria is used in the prioritization of LGUs seeking to access the fund:*

Criteria	%	Definition
Poverty incidence	40	Priority is given to communities that are considered most vulnerable to the impacts of climate change. These are those that are located in the poorest LGUs. The poverty incidence, or the proportion of families (or population) with per capita income less than the per capita poverty threshold to the total number of families (population), serves as the indicator for identifying the most vulnerable communities.
Presence of multiple hazards	30	Priority is given to communities where the potential climate risks in relation to projected mean temperature, rainfall change, and extreme weather events is high.
Presence of key biodiversity area (KBAs)	30	Priority is given to communities where there are biodiversity areas which can provide goods and services that have significant economic value to the local communities who are directly dependent on them. KBAs also provide services that have important contribution to CCA. KBAs are networks of areas, of any size, that can be delimited and actually or potentially managed for conservation, that are critical for the conservation of globally important biodiversity.

Table 8. Requirements in accessing People Survival Fund

- *Sanggunian*/Board Resolution affirming the interest of the LGU/local/community organization to apply and authorizing the chief executive to enter into an agreement with the Board for the implementation of the proposed project
- Certified true copies of Accreditation and SEC Registration/Incorporation papers (community organizations only)
- Organizational Structure (with Officials/Board/Members updated General Information Sheet)
- Audited Financial Statement covering the last three (3) years
- Project Proposal
- Vulnerability/Risk Assessment/ Hazard Maps/ Relevant documents demonstrating/ indicating climate risk exposure Feasibility Study (if applicable)
- Administrative Order/Executive Order creating the LGU/ Community Organization Project Implementation Unit/Team (with the General Information Sheet of the members)
- Minutes and highlights of consultation with stakeholders for the project development
- Database of stakeholders consulted (name, organization, contact details, affiliation)
- Sex/ Gender-disaggregated data in proposal consultations and proposal beneficiaries Program of Work
- Detailed cost estimates of the project
- ECC and CNC (if applicable)
- Results Framework (milestones, targets and indicators)
- Certificate of No Derogatory Record of the officials/board/members.

All other necessary documents as may be required upon evaluation of the application.

The municipalities of Lanuza in Surigao del Sur, Del Carmen in Surigao del Norte, Gerona in Tarlac and San Francisco, Camotes Islands were among the first to access the PSF.

Among the four financing windows, findings indicate that LDRRMF is generally tapped by the WFP partner provinces for financing. None of the WFP's partner provinces have accessed the PSF. Interview data indicate that key DRRM actors find it tedious and time-consuming to comply with all the documentary requirements. Informants also cited lack manpower and technical capacities within the LGU to assist them in the development of science-informed and evidence-based proposals that will merit the CCC's approval. They also cited that their LCCAP, a critical and prerequisite document requirement, are still being developed. As of this writing, only the LCCAP of Maguindanao and Davao Oriental have been adopted and approved. Developing the LCCAP requires inter-government agency coordination for the data requirements and this poses a challenge because of data inconsistencies in the different offices within the LGU. The PSF, while primarily geared towards funding adaptation projects, is a window for LGUs to fund the acquisition of early warning devices and the strengthening of their early warning systems which are both critical to forecasting.

The responsibility for the PSF is now transferred to the DOF from the CCC. The DOF recognizes the difficulties that the LGUs face and is working at streamlining the process. Currently, the DOF is focusing its efforts on the approval of previously shortlisted projects and securing appropriations and obligation authorities for the ₱1B appropriation based on the FY2016 General Appropriations Act (GAA) so that the fund will not revert back to the General Fund. Part of streamlining approaches of the DOF include tapping the expertise and competence of DBP to facilitate the conduct of the review and appraisal of the projects in the pipelines and continuous enhancement of the processes with support from the DBP and the CCC. Moreover, it sees that the advocacy for financing early actions based on forecasts is timely given the changes that will

take place when the plan to establish the Department of Resilience and Disaster Risk Management materializes. The concept can fit into the priority being accorded by the new administration.

The DOF also recognizes the need to popularize early actions based on forecasts and to determine whether these can actually be supported by the NDRRMF and the LDRRMF. The DOF agrees that parameters for accessing funding may need to be set and modifications in existing policies may need to be reflected in the revised COA guidelines. The LGUs can be innovative and can champion the advocacy for providing a basis for financing early actions within the existing guidelines. Budgeting for future PSF, while still not defined, will still be based on the national GAA processes.

LDRRMF UTILIZATION
OF WFP PARTNER
PROVINCIAL LOCAL
GOVERNMENT UNITS

In assessing the LDRRMF utilization of WFP partner LGUs, the researchers looked into earlier related studies which shed light on how the fund is being utilized by other LGUs.

The *Commission on Audit's 2014 Assessment of Disaster Risk Reduction and Management (DRRM)* is among the earlier studies at the local level which looked into how LGUs utilized the LDRRMF. The findings revealed the following issues: (1) a mismatch of local capacities and skills which affect how the LDRRMF is being utilized, (2) non-observance of some LGUs of statutory LDRRMF utilization; (3) non-implementation of LDRRMF programs and projects by some LGUs; and, (4) incorrect charging and misclassified LDRRMF expenditures.

Another study by Enriquez, et al which examined the funding sources and requirements of LGUs and whether current funds and mechanisms are responsive to their needs found that the issues of technical capacities at the local level contribute to low budget utilization. Some LGUs, particularly those that belong to the 4th and 5th class municipalities and are usually the most vulnerable communities, have insufficient funding.

These findings mirror the same findings from this baseline assessment. In the succeeding paragraphs, the LDRRMF utilization of the nine sampled WFP partner LGUs will be discussed. These provinces include Batangas, Laguna, Cagayan, Benguet, Sorsogon, Iloilo, Davao Oriental, Compostela Valley, and Maguindanao.

The researchers used that data on LDRRMF for 2018 which was collected from nine (9) out of ten (10) provincial LGUs. Raw data were culled from the documents provided by the concerned offices. These were assumed to be authentic sources of the figures that were used in this study. These were validated with the provincial LGUs concerned and encoded as validated. After validation, the team then proceeded to identify the fund clusters that are logically related. The fund clusters are as follows: (1) infrastructure, (2) equipment/equipping, (3) disaster response, (4) rehabilitation, (5) early warning systems, (6) trainings, (7) administrative support and planning (8) adaptation and mitigation programs, (9) food items, (10) non-food items, (11) IECs and publication, (12) transportation, (13) livelihood and (14) land acquisition.

Table 9 below provides for the clustering of allocating LDRRM fund are as follows:

Fund Clusters	Definition
Infrastructure	All of the constructions related to DRRM (e.g. PDRRM Office, evacuation centers, etc.). This does not include the drainage constructions, storm surge protection, river protection, slope protection and other road constructions.
Equipping/Equipment	Procurement of equipment for DRRM-related actions. This includes the equipment, tools and kits (medical and first aid) of DRR responders and the DRRM office listed in the DILG LISTO.
Disaster Response	This are budget line items for during the conduct of disaster relief, search, rescue and response operations. This covers the support for search rescue and recovery (SRR) operations and Damage Assessment and Needs Assessment (DANA) and other calamity response expenses. The actual relief operation is also categorized in this line item.
Rehabilitation	This pertains to funding allocated post-disaster to help support rehabilitation activities of the LGUs.
Early Warning Systems	This pertains to procurement and installation EWS devices and equipment such as installation of local flood and landslide early warning and monitoring system and materials & supplies for the EWS. This is also generally stated only as EWS in the budget.

Fund Clusters	Definition
Trainings	All capacity building related activities are classified under this budget line item. This includes trainings on community-based disaster risk reduction and management (CBDRRM), land and water search and rescue, Incident Command System (ICS) management, simulation exercise and emergency drills.
Administrative Support and Planning (including CLUP, CBMS, Research)	Includes representation allowances, maintenance and other operating expenses (MOOE), administrative and personnel services, and insurance for personnel, responders and equipment of the PDRRM Office.
Adaptation and Mitigation Programs	All programs related to the risk, hazard and disaster adaptation and mitigation are funded here. Example of these are reforestation programs, clean-up drive along river system, solid waste management, water system rehabilitation, organic agricultural support and others.
Food Items	Includes all food items for relief operation.
Non-Food Items	All medical and other Non-Food Item (NFI) kits are under this budget line item.
IECs and Publication	Includes all printing, publications, IEC activities such as radio programs and advocacy works. Also includes signages, prizes and donations
Transportation Costs	Includes travel expenses and fuel, oil and lubricant expenses, which are not clearly defined under disaster response.
Livelihood Support	Includes funding that will support community members in building back their lives post-disaster.

LDRRMF Allocation of WFP Partner Provinces

The figure below illustrates WFP’s partner provinces’ allocation of their 70% LDRRMF for the year 2018. Specific allocation per cluster including the percentages against the budget of the province are presented in the succeeding table:

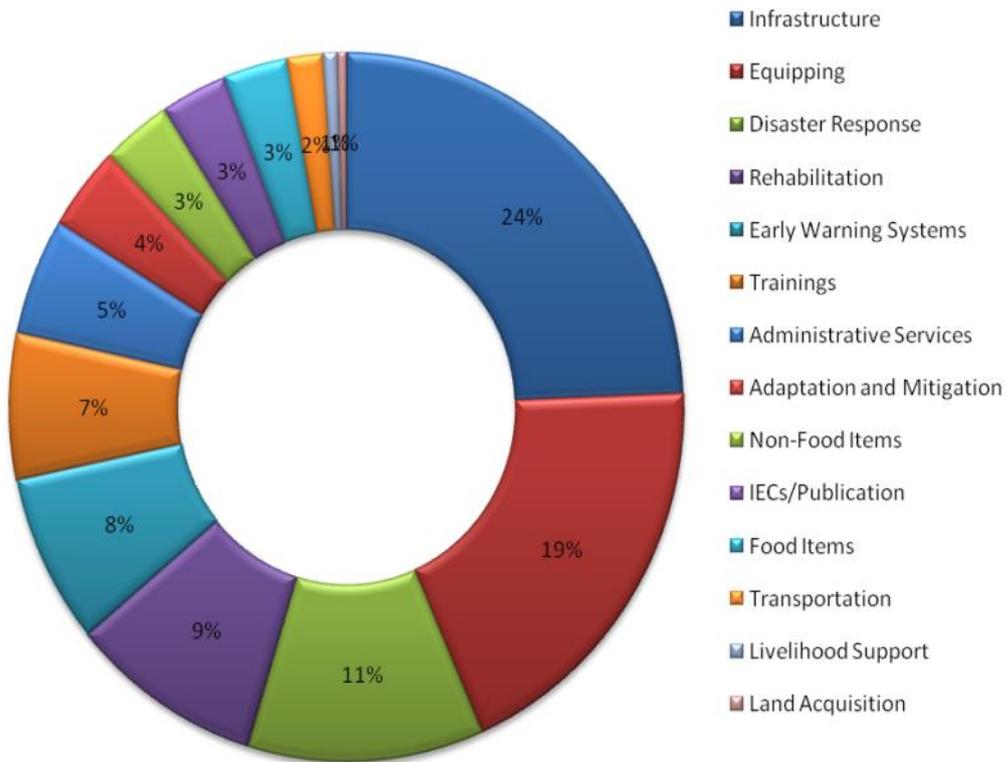


Fig. 6. LDRRMF (70%) Allocation of WFP Partner Provinces

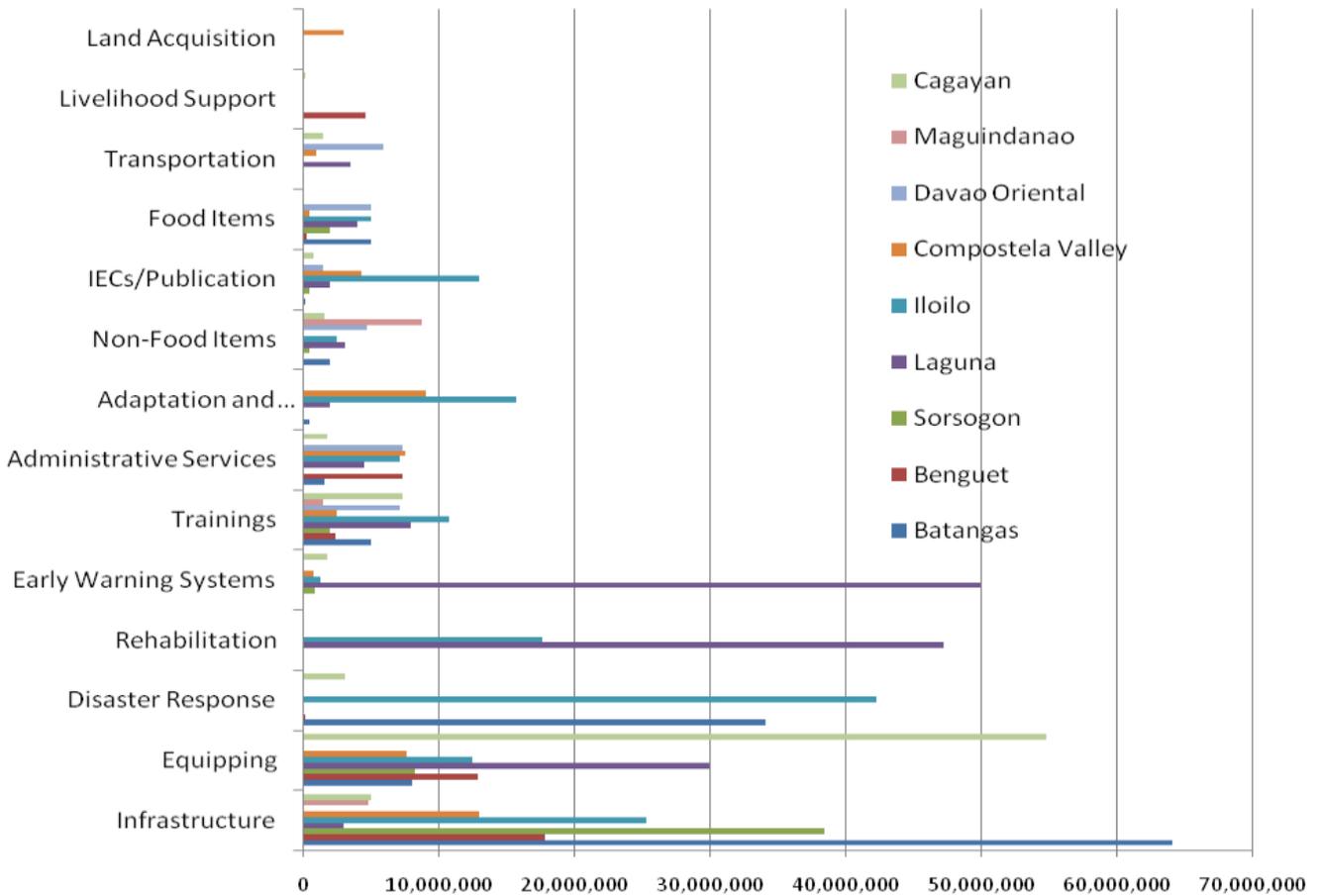


Fig. 7. LDRRMF (70%) Allocation of WFP Partner Provinces Per Cluster

Infrastructure allocation averages 31% of the 70% LDRRMF across all nine sampled provinces, and ranges between ₱3M-PhP64. Highest fund allocation in terms of percentage against their 70% LDRRMF is at 2% (Sorsogon). However, in monetary terms, Batangas has the highest fund allocation at ₱64M (representing 53% of their 70% LDRRMF) among the provinces. No allocation for infrastructure has been noted for Davao Oriental.

Fund allocation for **equipping/equipment** averages 23% overall with the highest percentage allocation for Cagayan at 70% and lowest for Batangas at 6.71%. In terms of monetary allocation, Cagayan has the highest allocation at close to ₱55M for equipment. Davao Oriental and Maguindanao's LDRRMF do not indicate any allocation for equipment.

Four (4) of the nine (9) provinces allocated funding for **disaster response**. These are Batangas, Benguet, Cagayan, and Iloilo with the biggest allocation at ₱42M representing 28% of their LDRRMF.

Only Iloilo and Laguna allocated funds for **rehabilitation**. Iloilo's fund allocation is ₱18M representing 12% of the 70% LDRRMF. Laguna allocation is at ₱47M or 30% of their fund.

Average fund allocation for **EWS** is only between 1-2%. In stark contrast, however, Laguna allocated ₱50M representing 32%, or a huge chunk of the province's LDRRMF. The huge allocation may be partly explained by Laguna's exposure to flooding. The overflow from Laguna de Bay and inland rivers turn the farmlands into vast bodies of water due to heavy downpours. The installation of many EWS is meant to address the need to forewarn communities and to facilitate their preparedness and response efforts.—s

Allocation for **training** averages 8% across all provinces and ranges between ₱1.5M-11M.

All provinces except Cagayan and Maguindanao have funding allocation for **administrative services and support** which ranges between ₱150,000.00 (0.28%, Sorsogon) to a high ₱7,600,000.00 (15%, Compostela Valley).

Five provinces have funding for **adaptation and mitigation** which ranges between 0.5% -18% of the provinces 70% LDRRMF. The provinces of Sorsogon, Cagayan, Davao Oriental and Maguindanao do not have funds reflected for adaptation and mitigation.

For **non-food items**, it is worth noting that except for Davao Oriental and Maguindanao with 15% and 58% funding respectively, in general, allocation is a measly 1-2% for the other provinces. Together with food items, these are early response goods that need to be distributed to community members to see them through the initial onslaught of a disaster.

For **IECs and publications**, allocation ranges between ₱115,000.00 (Benguet) to as high as ₱13M for Iloilo. Average fund allocation is at 3% across all provinces except Maguindanao which does not have fund allocation for IECs and publications.

Allocation for **food items** is only at 5% on the average across the provinces and ranges just between ₱300,000 to ₱5M.

Only Benguet (PhP 4,640,000.00 or 10.07%) and Cagayan (PhP200,000.00 or less than 1% of their LDRRMF provided funding for **livelihood support** out of their LDRRMF.

In the succeeding section, the LDRRMF allocation for each of the provinces is presented.

Key Findings on the Per Province LDRRMF Allocation

This section presents how each of the WFP partner provinces allocated their 70% LDRRMF based on the 2018 records obtained by the research team from the informants.

Batangas

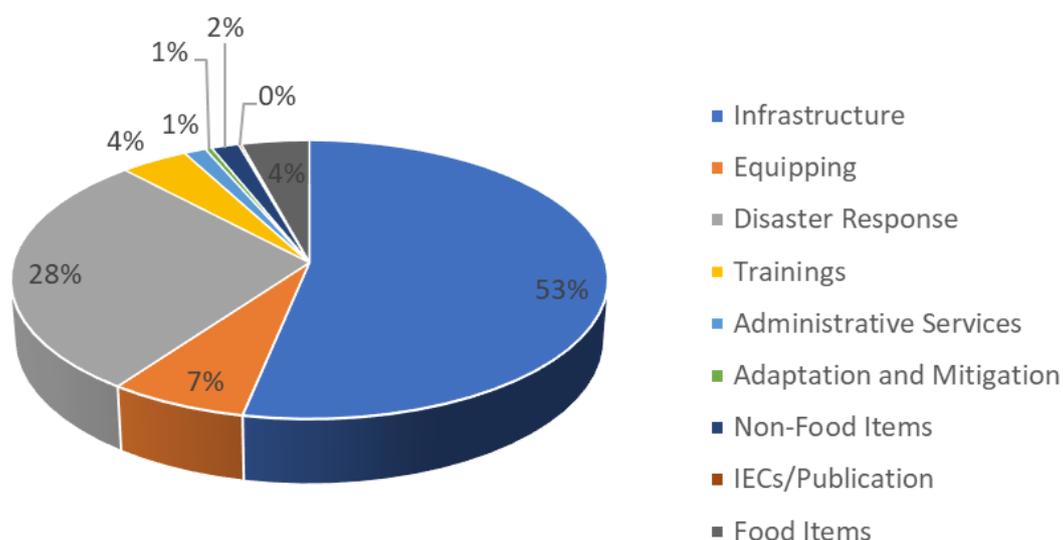


Fig. 8. 70% LDRRMF Allocation (Province of Batangas)

Budget Line Item	Allocation	Percentage
Infrastructure	64,187,276.00	53.18%
Disaster Response	34,100,000.00	28.25%
Equipping	8,100,000.00	6.71%
Food Items	5,000,000.00	4.14%
Trainings	5,000,000.00	4.14%
Non-Food Items	2,000,000.00	1.66%
Administrative Services	1,610,000.00	1.33%
Adaptation and Mitigation	500,000.00	0.41%
IECs and Publications	200,000.00	0.17%
Total	PHP20,697,276.00	100.00%

Table 10. 70% LDRRMF Allocation (Province of Batangas)

Largest allocation in Batangas is for infrastructure at 53.18%. This is followed by disaster response particularly for the purchase of rescue and response vehicles at 28.25% and equipping at 6.71%. The lowest investment is for IECs and publications at 0.17%. Allocation for food items and non-food items is a measly 4.14 and 1.66%, respectively.

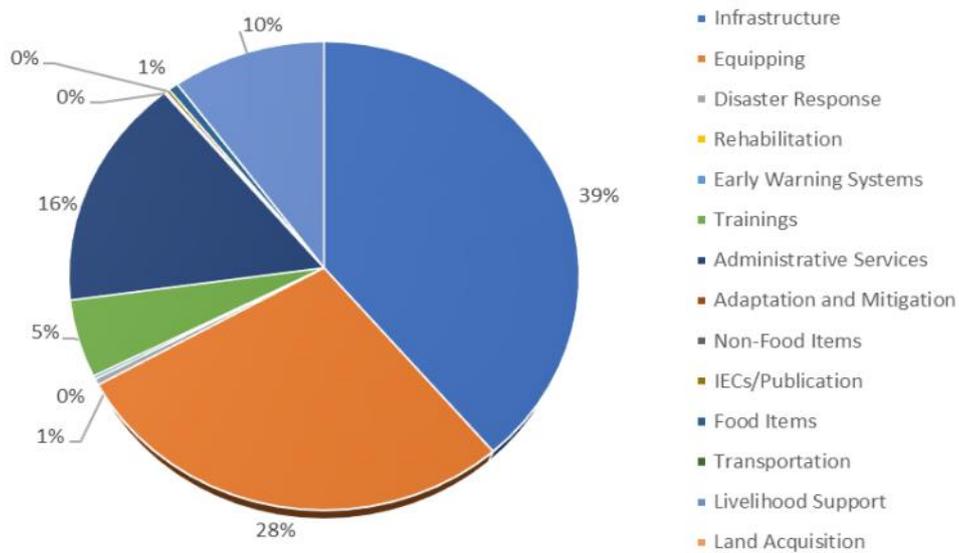


Fig. 9. 70% LDRRMF Allocation (Province of Benguet)

Budget Line Item	Allocation	Percentage
Infrastructure	17,900,000.00	38.84%
Equipping	12,895,252.00	27.98%
Administrative Services	7,420,385.00	16.10%
Livelihood Support	4,640,000.00	10.07%
Trainings	2,460,000.00	5.34%
Food Items	300,000.00	0.65%
Disaster Response	200,000.00	0.43%
IECs/Publication	115,000.00	0.25%
Early Warning Systems	100,000.00	0.22%
Adaptation and Mitigation	60,000.00	0.13%
Total	PHP46,090,637.00	100.00%

Table 11. 70% LDRRMF Allocation (Province of Benguet)

Benguet's main priority is infrastructure cornering the bulk of the fund at 38.84% out of total fund. This is followed by equipping, 27.98%; administrative services, 16.10%; and livelihood support, 10.07%. IECs and publication is least with only 0.52% allocation. Food items, disaster response, IECs and publication, EWS and adaptation and mitigation were given less than a percent each.

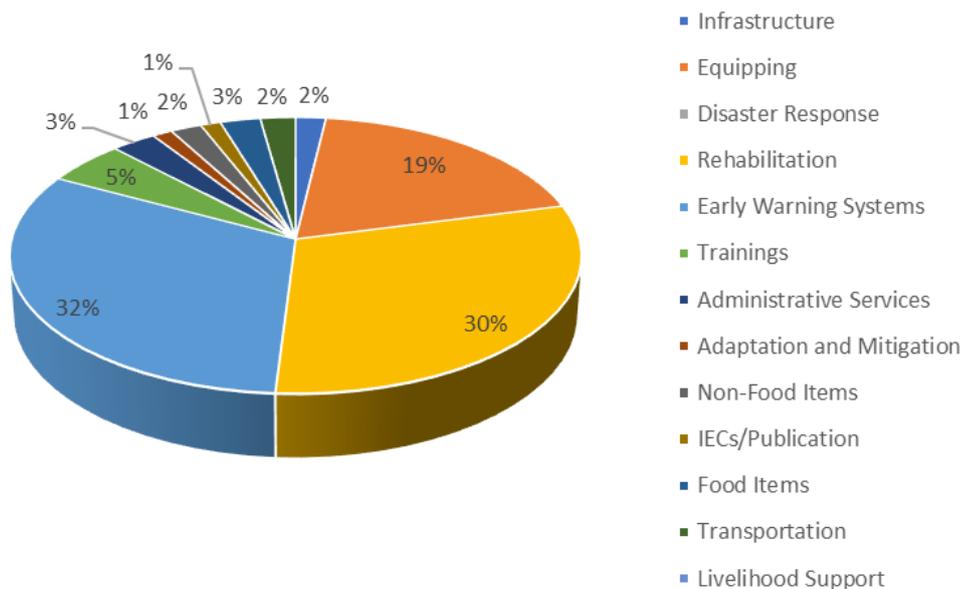


Fig. 10. 70% LDRRMF Allocation (Province of Laguna)

Budget Line Item	Allocation	Percentage
Early Warning Systems	50,000,000.00	31.77%
Rehabilitation	47,265,745.81	30.04%
Equipping	30,000,000.00	19.06%
Trainings	8,000,000.00	5.08%
Administrative Services	4,500,000.00	2.86%
Food Items	4,000,000.00	2.54%
Transportation	3,500,000.00	2.22%
Non-Food Items	3,100,000.00	1.97%
Infrastructure	3,000,000.00	1.91%
Adaptation and Mitigation	2,000,000.00	1.27%
IECs/Publications	2,000,000.00	1.27%
Total	PHP157,365,745.81	100.00%

Table 12. 70% LDRRMF Allocation (Province of Laguna)

Unlike other provinces, Laguna invested heavily on EWS (31.77%) and rehabilitation (30.04%) and equipping (19.06%). Like the other provinces, however, allocation for food items and non-food items are at low 2.54% and 1.97%, respectively.

Cagayan Valley

Cagayan Valley apportioned more than 70% for equipping, 9.47% for training and 6.39% for infrastructure. Only Cagayan among the provinces studied allocated funds for livelihood support even if this is a measly 0.26% of their budget.

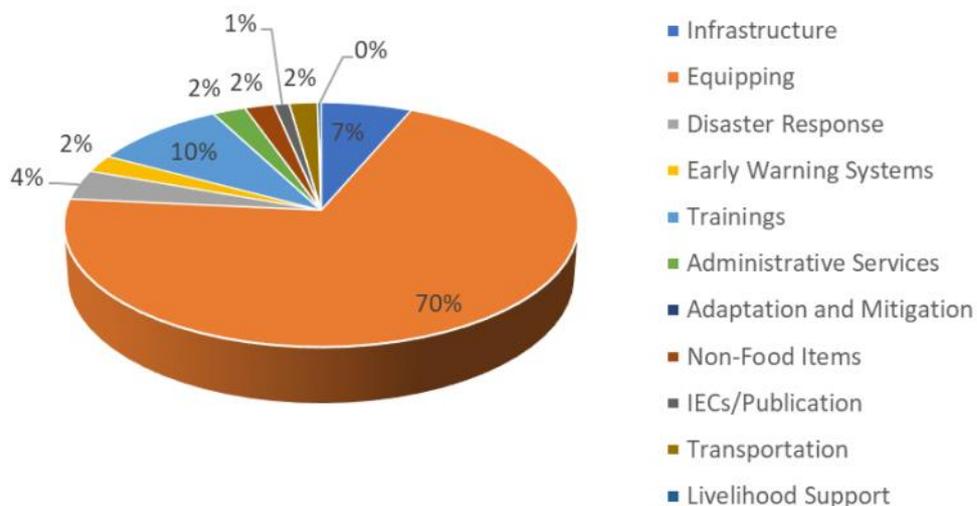


Fig. 11. 70% LDRRMF Allocation (Province of Cagayan)

Table 13 .70% LDRRMF Allocation (Province of Cagayan)

Budget Line Item	Allocation	Percentage
Equipping	₱54,819,930.00	70.11%
Trainings	7,404,776.80	9.47%
Infrastructure	5,000,000.00	6.39%
Disaster Response	3,104,000.00	3.97%
Early Warning Systems	1,830,000.00	2.34%
Administrative Services	1,824,850.00	2.33%
Non-Food Items	1,614,315.70	2.06%
Transportation	1,550,000.00	1.98%
IECs/Publication	845,700.00	1.08%
Livelihood Support	200,000.00	0.26%
Total	₱78,193,572.50	100.00%

Sorsogon

Sorsogon prioritized infrastructure (72.82%) and equipping (15.61%). Least funded are non-food items and IECs and publication at less than 1% of the 70% LDRRMF.

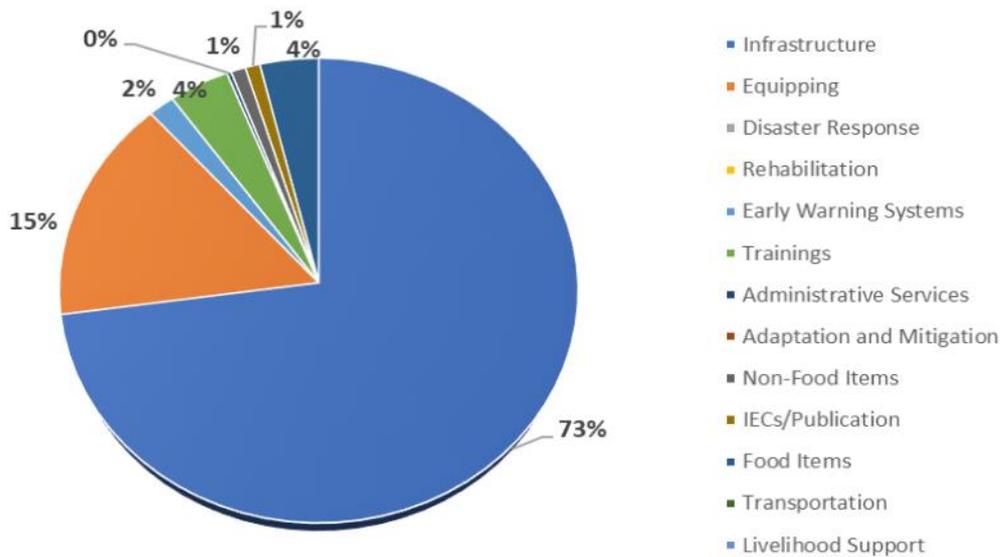


Fig. 12: 70% LDRRMF Allocation (Province of Sorsogon)

Table 14. 70% LDRRMF Allocation (Province of Sorsogon)

Budget Line Item	Allocation	Percentage
Infrastructure	₱38,500,000.00	72.82%
Equipping	8,253,000.00	15.61%
Trainings	2,061,000.00	3.90%
Food Items	2,000,000.00	3.78%
Early Warning Systems	905,000.00	1.71%
Administrative Services	150,000.00	0.28%
Non-Food Items	500,000.00	0.95%
IECs/Publication	500,000.00	0.95%
Total	₱52,869,000.00	100.00%

Iloilo

Iloilo Province focused on disaster response (27.57%), infrastructure (16.56%), rehabilitation (11.54%) and adaptation and mitigation (10.30%). Food and non-food items were allocated 3.26% and 1.63% only out of the 70% LDRRMF.

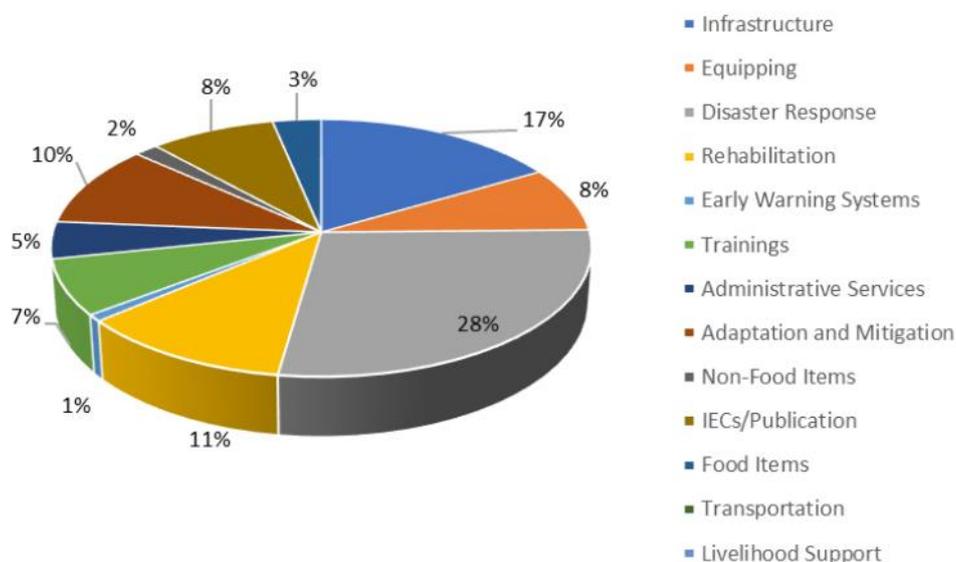


Fig. 13. 70% LDRRMF Allocation (Province of Iloilo)

Table 15. 70% LDRRMF Allocation (Province of Iloilo)

Budget Line Item	Allocation	Percentage
Disaster Response	₱42,291,879.00	27.57%
Infrastructure	25,400,000.00	16.56%
Rehabilitation	17,700,000.00	11.54%
Adaptation and Mitigation	15,800,000.00	10.30%
IECs/Publication	13,000,000.00	8.47%
Equipping	12,500,000.00	8.15%
Trainings	10,764,000.00	7.02%
Administrative Services	7,150,000.00	4.66%
Food Items	5,000,000.00	3.26%
Non-Food Items	2,500,000.00	1.63%
Early Warning Systems	1,300,000.00	0.85%
Total	₱153,405,879.00	100.00%

Davao Oriental

Davao Oriental allocated allotted 23.24% out of the 70% of its LDRRMF for its administrative services. The second highest fun allocation is on trainings at 22.65%. Allocation for food was at 15.73% and non-food items at 14.79% of the fund.

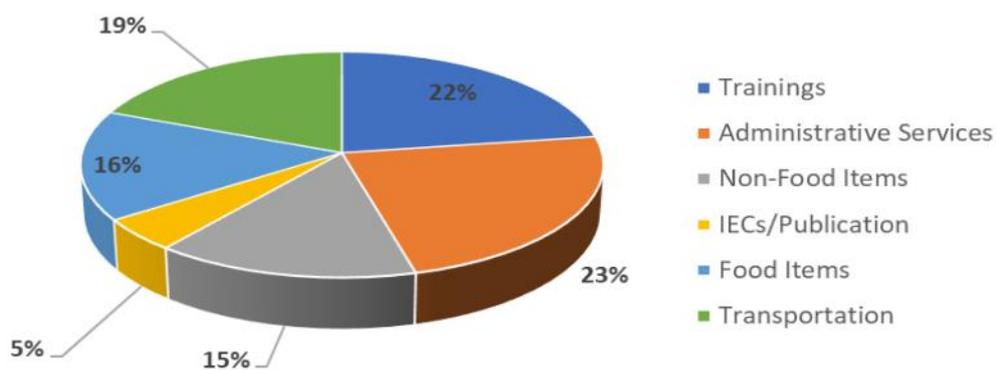


Fig. 14. 70% LDRRMF (Province of Davao Oriental)

Table 16. 70% LDRRMF (Province of Davao Oriental)

Budget Line Item	Allocation	Percentage
Administrative Services	₱7,388,394.00	23.24%
Trainings	7,200,000.00	22.65%
Transportation	6,000,000.00	18.87%
Food Items	5,000,000.00	15.73%
Non-Food Items	4,700,000.00	14.79%
IECs/Publication	1,500,000.00	4.72%
Total	₱31,788,394.00	100.00%

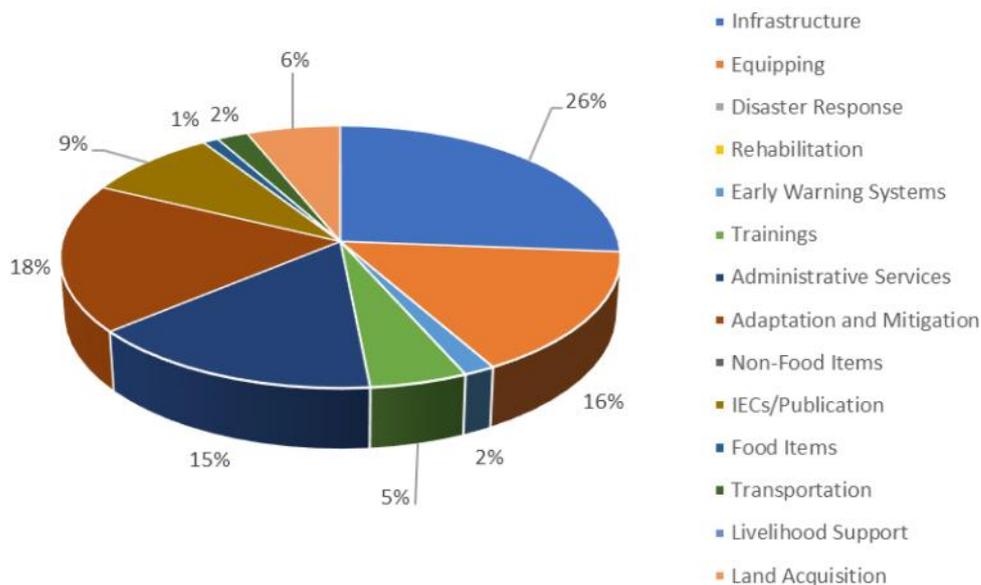


Fig. 15.70% LDRRMF Allocation (Province of Compostela Valley)

Table 17. LDRRMF Allocation (Province of Compostela Valley)

Budget Line Item	Allocation	Percentage
Infrastructure	13,000,000.00	26.26%
Adaptation and Mitigation	9,100,000.00	18.38%
Equipping	7,700,000.00	15.55%
Administrative Services	7,600,000.00	15.35%
IECs/Publication	4,300,000.00	8.69%
Land Acquisition	3,000,000.00	6.06%
Transportation	1,000,000.00	2.02%
Trainings	2,502,198.00	5.05%
Early Warning Systems	800,000.00	1.62%
Food Items	500,000.00	1.01%
Total	49,502,198.00	100.00%

Compostela Valley invests heavily in infrastructure (26.26%); adaptation and mitigation (18.38%), equipment/equipping (15.55%). It is noteworthy that the province invests 18% of its LDRRMF for mitigation and adaptation programs.

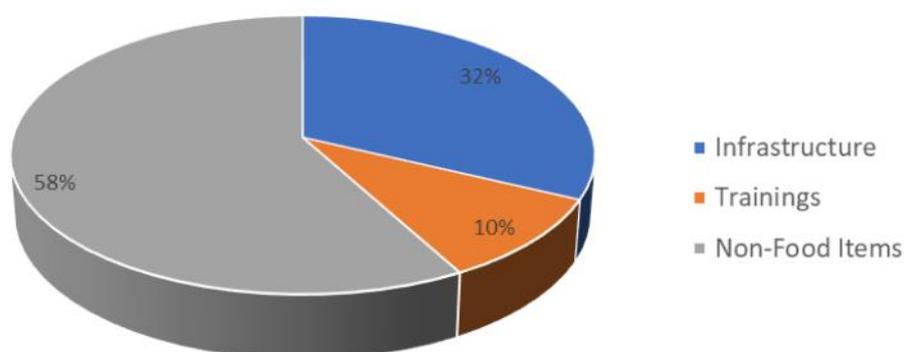


Fig. 16. 70% LDRRMF Allocation (Maguindanao)

Table 18. 70% LDRRMF Allocation (Maguindanao)

Budget Line Item	Allocation	Percentage
Non-Food Items	₱8,769,100.00	58.00%
Infrastructure	4,850,900.00	32.08%
Trainings	1,500,000.00	9.92%
Total	₱15,120,000.00	100.00%

Across the sampled provinces' allocation, infrastructure and equipping/equipment procurement are included in the top three budget allocation 67% of the time while the same percentage place IECs at the bottom three budget allocation. This is also noted for non-food items which show in the bottom four of the 6 out of 9 provinces. Non-food items is the top budget allocation only in Maguindanao. The two highest allocations seem to indicate that WFP provinces may still be bolstering their DRRM capacity while giving secondary priority to ability to respond and provide relief immediately after a disaster.

Overall, it can be gleaned that some of the funding allocation may actually be supported by the 20% development fund of the LGUs instead of the LDRRMF. Examples of these are infrastructure projects that include improvement of roads and schools as in the case of Benguet Province and the greening, reforestation, and solid waste management programs like those in the Provinces of Compostela Valley and Maguindanao. Other budget line items such as administrative costs that are not necessarily DRRM-related such as those for the purchase of office equipment, furnitures, and fixtures may be also charged against another fund source.

The meager allocation for the prepositioning of goods (food and non-food items) may be revisited as these have implications on the LGU's mobility to respond in the aftermath of disasters.

Using the same raw data from the sampled provinces, budget line items from the provinces LDRRMs have been re-reclassified under each of the clusters. The re-classified tables in *Annex C* exhibit differences in terminologies used for the same budget items in the nine (9) partner provinces sampled for this research. Some budget items are specific while the others are generic. Some of the budget items have been lumped together such as budget on food and non-food items, making it challenging to disaggregate data for purposes of expense tracking. See, for example, clustered items under infrastructure in the table

Table 19. Sample budget line items per province

Fund Clusters	Batangas	Laguna	Cagayan	Benguet	Sorsogon
Equipment	equipage of disaster reduction equipment	purchase of disaster response and rescue equipment	<ul style="list-style-type: none"> LED Monitors 50in (Widescreen) HD Still/Video Camera ultra-high definition flying camera/drone equipping (personal computers, tables and chairs repair, improvement and upgrading and PCCDRMO & equipment tool establishment of sub-stations equipment tool upgrading of DRRM system and other DRR search and rescue equipment personal protective equipment for responders 	<ul style="list-style-type: none"> equipage of PDRMO building acquisition of DRR/SRR equipment tools, gears, medical equipment 	<ul style="list-style-type: none"> installation enhancement and maintenance of AWGs/ARGs and monitoring device/ instruments and VHF radio equipment/set-up SMS allocation/ develop information and database system for province wide information and tools on risk assessment

These findings support the need to come up with a tagging system for the LDRRMF with specific guidelines on which budget items may fall under each.

The succeeding section presents cases of good practice in the area of financing for early actions and climate financing.

GOOD PRACTICES
ON FINANCING FOR
EARLY ACTIONS

Good Practices on Financing for Early Actions

This section presents four cases. The first, Sta. Teresita, Cagayan's *Bahay Mo, Patitibayin Ko* Program is a case of good practices on financing for early actions that focuses on house strengthening. The second case presents WFP's intervention program that supported drought-affected households in Lanao del Sur during the onslaught of El Nino in 2016.

Two cases from now-WFP partners are presented. The case of Albay is presented to highlight that innovations at the local level go a long way in helping local DRMM actors better manage and deal with disaster. The case of the municipality of Del Carmen in Surigao del Norte is presented as a case of good practice for LGUs looking into accessing the PSF.



Sta. Teresita, Cagayan's Bahay Mo, Patitibayin Ko Program

Sta. Teresita, Cagayan is one of the municipalities of Cagayan Province. It is composed of thirteen (13) barangays and has a total land area of approximately 16,698.93 hectares of plain, mountains and swampy lands. Geographically, the municipality is situated on the northeastern part of the province.

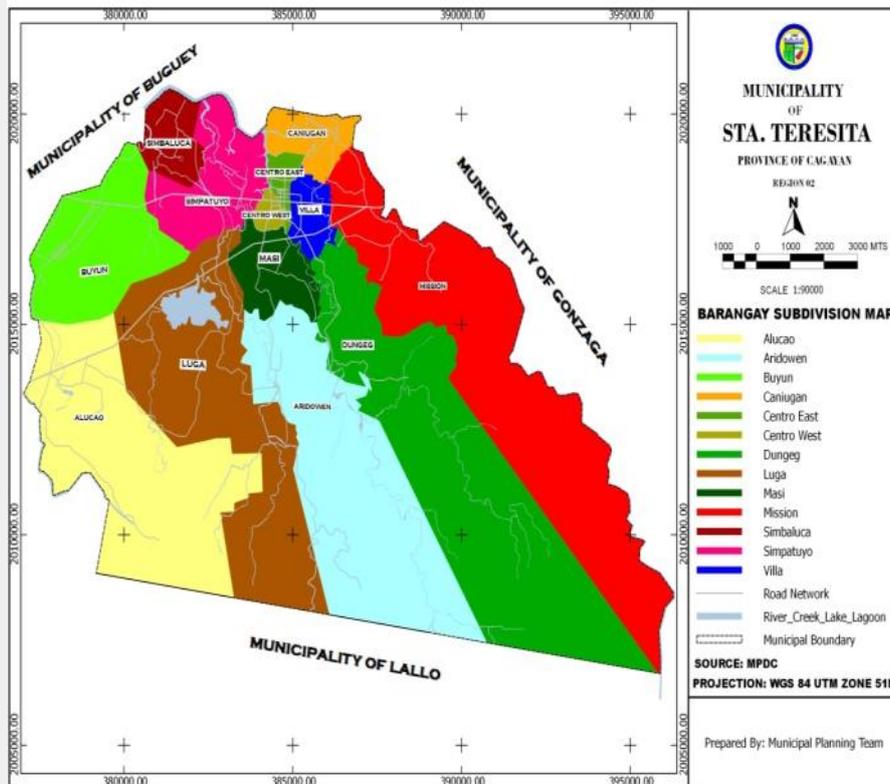


Fig. 17. Map of Sta. Teresita, Cagayan

There are long stretches of mountain ranges that characterize the municipal topography. These ranges are in the southern part of the town. On the Northern part are agricultural, swamps, and residential areas. The terrain varies from plain to gently sloping to undulating to rolling, rolling to hilly to mountainous as it goes from North to South. The municipality falls under the fourth type of climate (Type IV) in the Philippines as identified by Coronas Climate Classification. This means that wet season falls on the months of October, November, and December and dry season during the rest of the year. Typhoons are usually experienced during the months of July to December.

Sta. Teresita is a fourth class municipality. It is primarily an agricultural town with rice and corn as the major products. The municipality has 1,853 hectares of cropland devoted to rice production. Corn is the secondary crop grown in the municipality. There are 168 hectares or 8% of the total agricultural area of the municipality.

Cagayan Province is located at the typhoon belt and has also felt a significant effect from typhoons that are not directly passing the province. Although the municipality does not have its shoreline and river, heavy rains may bring more water in the upper streams and the rise of sea water level in the Babuyan Channel flows down to the floodplains.

Bahay Mo, Patitibayin Ko Program

In 2011, Sta. Teresita implemented the *Bahay Mo, Patitibayin Ko* Program which seeks to provide for a safer and stronger shelter to the *Listahanan* families. The LGU provides for housing materials through a voucher system in lieu of the financial assistance given to support families. The LGU provides materials such as galvanized iron sheets, plywood, nails, and others depending on the assessed needs of the families.

The program seeks to (1) help families alleviate their standards of living; (2) help poor families improve their shelter so that they are safer and more secure in times of disaster; and, (3) enhance participation of the marginalized families to be more active partners in community development, disaster preparedness, and other climate change-related activities.



Fig. 18: Sample strengthened houses

In order to qualify as recipient, one needs to be a resident of the municipality. Current conditions of the family shelter are assessed along with their economic status and vulnerability to disasters. Support is extended based on the severity of the status of the family shelter, the economic status of the family, number of family members and vulnerability to disaster. Financial support ranged from ₱1,000 to ₱4,690.00. In the first year of implementation in 2012, the beneficiaries were from the areas in the municipality which are vulnerable to disasters and the most depressed barangays. Since its inception in 2011 with 33 households, the LGU has already supported a total of 487 beneficiaries and have spent ₱911,290.00. Part of the LDRRMF of Sta. Teresita is used to support this project. Since it was first implemented in 2011, the LGU has invested nine hundred eleven and two hundred ninety pesos (₱911,290) to the Program.

Prior to the provision of the said assistance, an MSWDO staff conducts home visits to assess the needs of the potential beneficiaries. They also monitor the recipient families to ensure successful implementation of the project. The barangay officials are also partners in the implementation of the project as they assist in the monitoring of the beneficiaries.

Priority is given to households, particularly those in the *Listahanan* beneficiaries whose houses are made of light materials such as cogon, nipa, and even dilapidated galvanized iron sheets. Thus, the LGU provided a program that helps families alleviate from such condition.

There are 135 *Listahanan* families served under this program. Each family receives between PhP1,500–3,000.00 depending on the assessed needs of the family for their shelter improvement. Though a minimal amount was provided, it greatly helps the beneficiaries. Children, pregnant mothers, senior citizens, and persons with disabilities are more secure and safe especially when disaster comes because of their improved houses.

Among the challenges articulated include limitations in funding which limits the assistance that the local government can provide. There is also a need to come up with a standard design and house size to ensure that the shelter are typhoon-resistant. At the moment, no design principles guide house strengthening. There is also manpower limitation in program implementation.

Dealing with the Pangs of Drought: WFP's El Nino Intervention in Lanao del Sur

As early as 2014, the World Meteorological Organization (WMO) issued warnings of a potential El Nino event that will hit several provinces in the country, including Lanao del Sur. El Nino was forecasted as early as February 2015. At the national level, the National Economic and Development Authority (NEDA) was tasked to head the El Nino Task Force aimed at mitigation the impact of the El Nino phenomenon in the areas of food security, health, energy, and safety.

In an attempt to respond to drought, WFP, in partnership with the Autonomous Region of Muslim Mindanao (ARMM), undertook the Emergency Food Security Assessment (EFSA), a multi-stage survey that involved 37 clusters (barangays) in 30 cities/municipalities in the provinces of Lanao del Sur and Maguindanao. The study sought to "assess the situation regarding food security, nutrition, livelihood in drought-affected areas." The findings of the study fed into the recommendations made to the Regional Government of ARMM which, in turn, informed the kind of interventions required and assistance needed for the most affected population.

WFP's El Nino intervention in Lanao del Sur was in response to a request made by the Autonomous Region of Muslim Mindanao (ARMM) government for rice subsidy for the El Nino affected areas via a cash-for-work scheme. For this, WFP partnered with the Department of Agriculture (DA) in both the ARMM and the Provinces of Lanao del Sur. WFP provided one-time rice subsidy as well as support for agriculture-related/livelihood-related cash-for-work that run for three months. DA ARMM, on the other hand, provided drought-resistant seeds shifted from planting lowland rice to planting corn and upland rice (WFP provide food requirements). Rice subsidy for three months.

The process begins with a food request from the province which focal persons from the WFP Sub-Offices in coordination with the WFP national office. Rice is released based on approved distribution plan. WFP did progress and post-distribution monitoring. The monitoring activities were meant to assess the benefits of WFP interventions – lesser expenses on the part of the farmers which allow them to use the money for their other needs that included farm implements.

Among the challenges faced by the project implementers is the political structure within the ARMM which necessitated dealing with different key actors from both the Department of Agriculture at the provincial (Lanao del Sur and Maguindanao) and regional levels (ARMM) whose approaches and priorities sometimes differed with each other. This despite, WFP's intervention supported households whose livelihood depended on farming. Decreased agricultural production due to El Nino meant that the households had lesser income which compromised food security and nutrition and made worse existing food and security problems.

The case of Lanao del Sur surfaces the need to leverage forecasts of an impending drought to trigger planning for interventions at the local level that will focus on supporting households that will be affected. Unlike other hazards, there is sufficient lead time from forecast to the onset of an El Nino event which will allow LGUs to deal with its effects better with better planning and resource mobilization.

Leveraging Local Experts for Accessing Climate Financing: Del Carmen’s PSF Journey

The municipality of Del Carmen, Surigao del Norte, a fifth class municipality in the province of Surigao Del Norte, is among the first four municipalities that has accessed the PSF, along with the municipalities of Lanuza in Surigao del Sur, Gerona in Tarlac, and San Francisco in Camotes Island.



Fig. 19. Map of Del Carmen, Surigao del Norte

In 2016, the PSF Commission approved the proposal of the local government unit of Del Carmen to establish the Surigao Climate Field School for Farmers and Fisherfolks (SCFSFF). The SCFSFF is envisioned to be an institute that will focus on improving agriculture and aquaculture which are the main sources of livelihood of the constituents of the municipality. The development of the proposal was initiated by the LGU of Del Carmen, with support from its implementing partner from the academe, the Surigao State College of Technology-Del Carmen (SSCT-DC).

The proponents looked into mitigating the natural hazards posed by climate change in the area. They utilized the results of a vulnerability assessment which they conducted to inform the development of the proposal. The vulnerability assessment results indicate that monsoons during the *Habagat* season bring in drought while increase in rainfall results to flooding and abrupt landslides as well as huge wind-induced ocean waves occur during the *Amihan*. Considering other climate scenarios such as El Niño and La Niña, their prediction was that these conditions will continue to occur and may even worsen. Therefore, there is a need for adaptive measures to be developed.

The key components of the SCFSFF include the following: integrating natural resource protection and climate-resilient livelihood; protecting watershed, river, and mangroves; providing technical assistance to vulnerable farmers and fisherfolks, providing mechanisms for reducing vector-borne diseases affecting agricultural dependent households; promoting community education on weather forecasting and climate variability to support decision making for agro-fishery practices; and building a regional center for research and extension.



Fig. 20. Proposed Surigao Climate Field School for Farmers and Fisherfolks

How Del Carmen Accessed the People's Survival Fund (PSF)

The proponents complied with all the requirements stipulated by the PSF. However, it helped the LGU of Del Carmen has an existing working relationship with the CCC when it was identified as a pilot site for the CCC's Ecotown Program in 2011.

As an ecotown, this means that the LGU of Del Carmen has already integrated climate change and disaster risk reduction in its local government plans. When the PSF Act was enacted, they mobilized their stakeholders and engaged experts from the SSCT-DC to develop the climate field school concept.

Del Carmen Municipal Mayor Alfredo M. Coro II forged partnership with SSCT-DC and with various non-government organizations such as SIKAT, ICSC, GGGI, Oxfam, and engaged national government agencies such as the DepEd, Department of Environment and Natural Resources (DENR), Department of Science and Technology (DOST) and Philippine Atmospheric, Geophysical, and Astronomical Services Administration (PAGASA). The partnership gave birth to what they now call Partnership between the Academe and LGU System (PALS).

These partners from the academe attended capacity building workshops on PSF. The Del Carmen Team presented the first design and layout of the SCFSFF building during a PSF orientation-workshop convened by the Global Green Growth Institute and the CCC. They also worked on the required revisions based on feedback by the PSF Commission.

They submitted the proposal to the PSF Board on December 22, 2015. On December 28, 2015, the PSF Board responded and requested submission of other requirements leading to a validation process.

They also engaged the DOST, the DA, and other agencies to critique the proposal. From the original proposal amounting to ₱45M, the proposed budget increased to over ₱95M .

It helped that the LCE proactively lobbied the project to the Philippine Congress and engaged the CCC and other government agencies just to ensure that their proposed project is prioritized. The multi-stakeholder paid off. On November 22, 2016, the PSF Commission approved the proposal to put up the Siargao Climate Field School for Farmers and Fisherfolks. PALS was mobilized to complete the necessary documentary requirements, to constitute the project team, to determine project beneficiaries from the coastal and agriculture-based barangays, and to forge MOAs with partner implementing agencies and to constitute a Technical Working Group.

The case of Del Carmen, Surigao del Norte bring to the fore factors that have clearly contributed

to their success in accessing the PSF include the following.

Foremost of these is a pro-active Local Chief Executive who recognizes that the absence of expertise within the LGUs may be compensated by the presence of technical knowhow in the academe.

In the case of Del Carmen it helped that the LGU has provided a committed human resource willing to cooperate with their partner organizations in the preparation of the documentary requirements. The LGUs willingness to cooperate with a partner and the strong commitment of the partner academe, which is a public higher educational institution willing to take on an equally major role in the preparation and implementation of the project were also crucial. Also worth noting is the support that a good number of civil society groups that sponsored the trainings in the preparation of the proposal whose thrusts are in line with the intent of the LGU. It helped that the partners see this as an opportunity for continuing education of both LGU, academe, and other partners.

Del Carmen is a highly vulnerable island because of its ecological conditions, upon which majority of the population depend. Among the community condition variables that could have also contributed include their clear vision of an area-specific climate change adaptation project, a clear sustainability plan of the project, a strong, resilient leadership and a good return of investment for those involved in the preparation and implementation of the project, e.g., inclusion in the knowledge map, plus a vision to be a center of excellence in research (e.g., the field school eventually is turned over to the state university), which brings us to the issue of rights to the project.

Albay: Trailblazing Good DRRM Practice

Albay's goal is resilient community and public safety for sustainable development. Its objective, zero casualty. Key DRRM actors have put in a place a system which help them proactively manage disasters. Managing disaster begins with scenario development that is informed by risk analysis and mapping and leverages information which are not just based on hazard information but also takes into consideration the potential population that will be affected, including availability of resources.

Albay makes full use of real-time, customized, and hazard-specific information that emanate from both the national agencies such as the PAGASA and their own local, micro-forecast information. Key DRRM actors follow a six-step process that begins with prediction and culminates in resource mobilization.

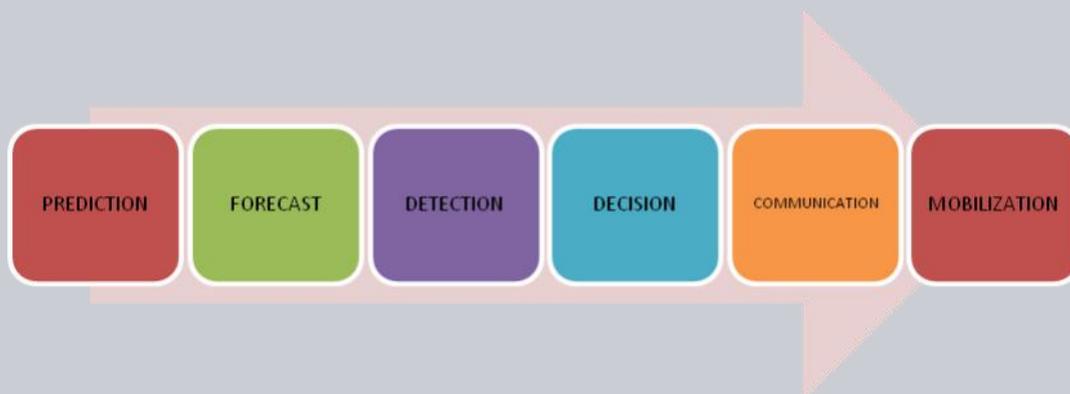


Fig. 21. Albay's Six-Step Process for Disaster Management

It is to Albay's advantage that a key DRR actor has the scientific knowledge and technical expertise to predict impending hazards using existing EWS. Forecasts from PAGASA remains the official basis for detection and scenario building that triggers scenario-based planning. Some scenarios may warrant release of financing based on forecasts. They operate on a principle of *Building Better Now* and not just the rehabilitative *Building Back Better*. While other LGUs seem to prioritize response, relief, and rescue, their advocacy is for pouring in more investments for preparedness, and this includes financing actions based on prediction and forecast. This proactive stance is translated in the way the Province allocates its LDRRM Fund. The fund is integrated in their Annual Investment Plan (AIP) as approved by their legislative body through a budget ordinance. While this is common practice among other LGUs, what sets Albay apart is that in their LDRRMF, there are deliberate allocations for emergencies and these provide them access to financing actions prior to a disaster event. Albay is also the only province from among those interviewed that has accessed approximately PhP3.2B pesos from the NDRRMF for structural mitigation. Earlier international assistance that Albay was able to access focused on strengthening their early warning systems which are critical for forecasting.

In terms of disaster fund management, when a disaster strikes and funds are nearing depletion, Albay declares such within five days and propose items for funding from the national government. They also present needs analysis based on forecast information to trigger support from humanitarian organizations. They have sophisticated early warning systems and a communication system that makes full use of the different platforms (print, broadcast, social media).

The Province of Albay boasts of having mobilized a multi-sectoral body which represent all the different sectors and a pool of international organizations that can support them in times of disaster.

This despite, among the challenges that Albay faces is how to sustain their gains, especially when there are changes in leadership; and how to access more financing as DRRM funds are insufficient which necessitate continuous mobilization of funding sources.

When asked what recommendations they can share with fellow LGUs, they said that other than integrating the DRRM Fund into their Annual Investment Plan (AIP) and deliberately including provisions for funding early actions based on forecasts. They say it will also be good to develop a DRR Master Plan and to craft proposals geared toward forecast-based financing based on risk analysis.

This section presents the conclusions and way forward recommendations which may be explored by WFP, its partners, and policy-makers at both the local and national levels.

Conclusions

Early Actions on Climate Risks Based on Forecasts. Findings of the study indicate a semblance of practice in sampled provinces of financing for early actions. While WFP partner LGUs have yet to fully embrace and to appreciate financing for early actions based on forecasts in principle, in practice their responses indicate that they already carry out early actions even if these are currently attributed more as preparedness and response and not early actions.

The absence of an overarching policy provision in RA 10121 and in relevant COA directives governing LDRRMF disbursements limits the LGUs from carrying out more early actions that will require financing based on forecasts. Findings also indicate presence of both formal and non-formal arrangements at the local level that support early actions, even if these are currently not understood as such but as preparedness.

There exists financing windows that the LGUs may tap. Institutionalizing financing for early actions is, therefore, feasible with policy amendment and advocacy work at the local level.

Windows for Financing Early Actions. Findings of the study indicate that opportunities or windows for financing are present but remain largely untapped other than the LDRRMF. None of the sampled WFP partners have accessed climate financing such as the PSF, for example. The PSF is a financing window that can support the LGUs' enhancement of their EWS which are critical for making accurate forecasts. The reasons cited include lack of technical capacity, particularly in crafting science-informed project proposals that will merit the approval of the vetting body which was then the Climate Change Commission. Lack of manpower and the tedious process of complying with the documentary requirements also keep the LGUs from accessing climate financing.

The DMAF, like the PSF, may be tapped to support EWS enhancement and for mobilizing experts to train local DRRM actors to manage EWS and build their predictive capacities such as that for interpreting EWS data at the local level.

LDRRMF Utilization. Findings of the study indicate that current priorities of WFP partner provinces are geared towards infrastructure and equipping while allocation for food and non-food items which are critical for survival remain at the bottom.

Recommendations

The advocacy for financing for early actions based on forecasts begins at the policy level. The team recommends that specific provisions for early actions based on forecasts be made more explicit under the section on the LDRRMF in R.A. 10121. This action also necessitates review and changes in the COA guidelines to reflect specific line items that are clearly early actions.

In institutionalizing financing for early actions based on forecasts, it is important to collectively agree on what constitutes early actions and what can and cannot be financed under early action components once these are defined.

There is a need for a more uniform tagging of budget line items in the LDRRMF, and clearer provisions on the specifics of what each can be financed under each budget item.

It is important to develop a system in which financing is only undertaken when the probability of extreme event is also high, bringing to the fore the need for more accurate EWS data interpretation and prediction at the local level. Access to timely and accurate forecast data from agencies such as the PAGASA and other hydromet organizations is also critical.

Leveraging current financing windows may require more streamlined procedures which need to be communicated to the LGUs. Relevant capacity-building activities, particularly in the preparation of science-informed proposals and complying with the documentary requirements need to be provided to the LGUs.

More than policy craft, however, there may be a need to raise the LGUs awareness on and appreciation for financing early actions as a distinct component of the overall disaster and climate financing scheme. Advocacy for financing for early actions based on forecasts among the LCEs and key DRRM actors at the grassroots level is important to ensure that such is understood as something that is distinct from financing preparedness, response, and rehabilitation. The presence of early action advocates at the local level may help increase awareness on the value of financing early actions at the local level. The research team recommends that findings of this study be shared with other non-WFP partners to create greater awareness among other LGUs in the country.

Compliance with the standard operating procedures that were earlier developed is also important.

Findings of current study point to infrastructure, equipping, and disaster response as the top three allocation priorities of LGUs while allocation for food and non-food items are at the bottom. It would be interesting to know from a future similar study how allocations change along with changing and emerging needs over time.

Financing for house strengthening such as in the case of Sta. Teresita may require defining standards and outlining housing principles that constituents can adhere to.

Accessing climate financing such as the PSF, as the case of Del Carmen has exhibited, require leveraging local experts such as those in the academe, and mobilizing other resources at the local level to support the LGUs in complying with PSF requirements.

Financing for early actions based on forecasts, while still not in the consciousness level of many DRRM actors, is an advocacy that looks at disaster from a more proactive than reactive stance. Generating a buy in require mobilizing champions within the LGUs to influence policy and practice.

ANNEXES



Baseline Assessment on Financing for Early Actions Based on Forecasts in the Philippines

This tool was developed for the UN World Food Programme-Philippines by the Holy Trinity College of General Santos City Research Team.

Date of FGD/KII		Province of:	Municipality of:	Barangay	Researcher(s)
Venue					
Respondents					
Name <i>Please indicate the full names of respondents.</i>	Office <i>Please indicate the complete address and contact details for each respondent.</i>	Designation	Sex	Age	Ethnic Affiliation

I. PROFILE OF THE PROVINCE

1.1. Please provide a profile per province, including the source(s) of data/information. Researchers may ask for the following documents from the Planning Office: (1) Comprehensive Land Use Plan (CLUP), Disaster Risk Reduction and Management Plan (DRRM Plan), Provincial Framework Plan, Provincial Socio-Economic Profile, or any other plan with a provincial profile.

II. HAZARDS AND FORECASTS

2.1. Hazard and Forecast Information. Please identify the hazard that had great impact in the province (or respondent municipality/barangays) where a forecast was made. Include when this happened. Please use one form per hazard to ensure that the responses are focused on the hazards being documented. Please indicate which platform of forecast is(was)/are(were) used).

Type of Hazard	Platform of Forecast*	Timing of Forecast (Please identify # of day (s), week(s), or month(s) the forecast was made prior to incident)	Frequency of Forecast	Date of Actual Incident	Source of Forecast Information (Office/ Agency and/ or Person(s))	Accuracy of Forecast	Availability of Financing Mechanism after the forecast	Type of Financing Mechanism
	Broadcast (Radio) Broadcast (TV) Social Media SMS Print House-to-house EWS Indigenous <i>Please specify:</i> Others <i>Please specify:</i>	___ days ___ times/ day ___ weeks ___ times/ week ___ months ___ times/ month Others: <i>Please specify:</i>	___ daily ___ weekly ___ monthly Others: <i>Please specify:</i>			Hit Miss	Yes No	Cash <i>Please indicate amount:</i> Goods food, medicines clothes construction materials hygiene kits emergency kits toys others Services medical, psychosocial communication transportation housing/ shelter, funeral/death, etc.

- 2.2. How was/were the early actions based on forecasts developed?
 2.3. Describe how the forecast got translated to financing early actions at the local level?

3. INSTITUTIONAL ARRANGEMENTS

3.1. Presence of Legal Instruments							
	0	1	2	3	4	Rating	Remarks
Is/Are there existing memorandum/memoranda on FbF in place in the province/respondent municipality or barangay?	There is/are memorandum/memoranda on FbF in place in the province/respondent municipality or barangay.	There is a recognition of the need for memorandum/memoranda on FbF among the key officials of the P/M/BLGU.	A memorandum/memoranda for FbF is/are currently being drafted.	A memorandum/memoranda for FbF has/have been legislated but has/have not yet been implemented.	A memorandum/memoranda Legal instrument(s) for FbF is/are in place and is/are being implemented.		
Is/Are there local issuance(s) on FbF in place in the province/respondent municipality or barangay?	There is/are no local issuance(s) on FbF in place in the province/respondent municipality or barangay.	There is a recognition of the need for local issuances on FbF among the key officials of the P/M/BLGU.	Local issuances for FbF is/are currently being drafted.	Local issuances for FbF has/have been legislated but has/have not yet been implemented.	Local issuances for FbF is/are in place and is/are being implemented.		
Is/Are there existing resolution(s) on FbF in place in the province/respondent municipality or barangay?	There is/are no resolution(s) on FbF in place in the province/respondent municipality or barangay.	There is a recognition of the need for resolution(s) on FbF among the key officials of the P/M/BLGU.	Resolution(s) for FbF is/are currently being drafted.	Resolution(s) for FbF has/have been legislated but has/have not yet been implemented.	Resolution(s) for FbF is/are in place and is/are being implemented.		

Is/Are there existing Executive Order(s) on FbF in place in the province/ respondent municipality or barangay?	There is/are no Executive Order(s) on FbF in place in the province/ respondent municipality or barangay.	There is a recognition of the need for Executive Order(s) on FbF among the key officials of the P/ M/BLGU.	Executive Order(s) for FbF is/are currently being drafted.	Executive Order(s) on FbF has/have been legislated but has/have not yet been implemented.	An Executive Order(s) on FbF is/are in place and is/are being implemented.	
Is/Are there other legal instruments on FbF in place in the province/ respondent municipality or barangay? Please indicate the type of legal instrument in the next table.	There is/are no other legal instruments on FbF in place in the province/ respondent municipality or barangay.	There is a recognition of the need for other legal instruments on FbF among the key officials of the P/ M/BLGU.	Other legal instrument(s) on FbF is/are currently being drafted.	Other legal instrument(s) on FbF has/have been legislated but has/have not yet been implemented.	Other legal instruments on FbF is/are in place and is/are being implemented.	

3.1.1. Please identify the legal instrument(s). Please indicate full title. For example, Ordinance/ Resolution/ Republic Act Number No. and title and request for a printed or electronic copy if at all possible.

Title of Legal Instrument	Source of Document	Signatories	Specific Provision(s) <i>Please cite.</i>	Status
Provincial				
Municipal/City				
Barangay				

3.2. Non-Formal Arrangement(s) for FbF

3.2.1. Presence of Non-Formal Arrangement(s) for FbF

	0	1	2	3	4	Rating	Remarks
Is/Are there existing non-formal arrangements for FbF in place in the province/respondent municipality or barangay?	There is/are no non-formal arrangements for FbF in place in the province/respondent municipality or barangay.	There is a recognition of the need for non-formal arrangements for FbF among the key officials of the P/M/BLGU.	Non-formal arrangements for FbF is/are currently being explored	Non-formal arrangements for FbF has/have been made but has/have not yet been implemented.	Non-formal arrangements for FbF is/are in place and is/are being implemented		

3.2.2. Description and other details of Non-Formal Arrangements for FbF. Please describe the other non-formal arrangements in place in the province or respondent municipality or barangay.

Description of Non-Formal Arrangement/s for FbF	Partner Organization/s or Individual(s)	Documentary Evidence (if any)	Status
Provincial			
Municipal			
Barangay			

3.3 Coordination Mechanism

3.3.1. Government FbF Actors. Please identify each of the key government FbF actors. Add more rows or use a separate form as necessary. Please indicate the full name of person and if organization (or committee/council) and provide complete address and full contact details. Please add rows or use a separate form as necessary.

FbF Government Actors <i>Who are/what are the people/ organizations involved in FbF for this particular hazard?</i>	Major Role	Internal or External to the LGU	Types of FbF Decisions Made	Tenure of Actor	Remarks
	Data Provider (the person/ organization charged with providing raw data to the data gatherer, including what type of data is provided) Data Gatherer Data Processor (the person/ organization charged with systematizing the data) Data Analyst (the person/ organization charged with or authorized to analyze data) Hazard Information Disseminator (the person/ organization charged with communicating the hazard information) Funder/Donor FbF Implementor Please specify: _____ Others _____	Internal External		Tenured Non-tenured	

3.3.2. Non-Government FbF Actors. Please identify each of the key non-government FbF actors. Add more rows or use a separate form as necessary. Please indicate the full name of person and if organization (or committee/council) and provide complete address and full contact details. Please add rows or use a separate form as necessary.

3.4. Governance and Management Structures or Arrangements for FbF. Please identify existing governance and management structures or arrangements for FbD. Add more rows or use a separate form as necessary.

	0	1	2	3	4	Rating	Remarks
Are there existing governance and management structures or arrangements for FbF?	There is/are no existing governance and management structures or arrangements for FbF in the province/municipality/barangay.	There is a recognition of the need for governance and management structures or arrangements for FbF among the key officials of the P/M/BLGU.	Governance and management structures or arrangements for FbF is/are being explored.	Governance and management structures or arrangements for FbF has/have been legislated but not yet functional.	Governance and management structures or arrangements for FbF have been legislated and functional.		

3.4.1. Governance and Management Structures or Arrangements for FbF. Please identify existing governance and management structures or arrangements for FbD. Add more rows or use a separate form as necessary.

4. UTILIZATION OF THE LOCAL DISASTER RISK REDUCTION AND MANAGEMENT FUND

4.1. Utilization of the Local Disaster Risk Reduction and Management Fund

4.1.1. How is the LDRRMF being utilized at the local level?

4.1.2. Has the LDRRMF been used for early actions before?

4.1.3. What are the challenges/gaps in using the LDRRMF?

4.1.4. What are the other sources of government funding for early action?

4.1.5. What are some policy recommendations with regards to LDRRM utilization?

5. ACCESS TO OTHER FINANCING WINDOWS

5.1. Presence of Non-People's Survival Fund (non-PSF)

5.1.1. What other non-People's Survival Fund (non-PSF) financing are available?

Fund Source	Amount	Description
Local		
National		
International		

5.1.2. What are the requirements for accessing other non-People's Survival Fund (non-PSF) financing? Please identify the requirements.

5.2. Compliance to Non-Peoples' Survival Fund (non-PSF) Requirements.

5.2.1. How compliant is/was the PLGU or any respondent LGU with the requirements for accessing non-People's Survival Fund (non-PSF) financing?

___ Not Compliant ___ Compliant

5.2.2. What are the reasons for non-compliance with the requirement for non-People's Survival Fund (non-PSF) financing?

5.2.3. What capacities do the LGUs who were able to access non-People's Survival Fund (non-PSF) possess? Please allow LGUs to self-evaluate.

6. ACCESS TO PEOPLE'S SURVIVAL FUND (A CLIMATE FINANCING WINDOW)

6.1. How compliant is/was the PLGU or any respondent LGU with the requirements for accessing the People's Survival Fund (PSF)? Please indicate if LGU has a Certificate of Approval from the Philippine Survival Fund?

Yes

No

6.2. _Compliance to People's Survival Fund (PSF) Requirements. For non-compliant or partially-compliant LGUs, check the following documents:

PSF Requirements	Status (Approved, Drafted, etc)	Remarks
Sanggunian/Board Resolution affirming the interest of LGU/CO to apply and authorizing the head executive to enter into an agreement with Board for the implementation of the proposed project		
<i>Project-Relevant</i> Organizational Structure (with Officials/Board/Members updated General Information Sheet)		
Audited Financial Statement for the last three (3) years		
Project Proposal		
Vulnerability/Risk Assessment		
Hazard Maps / Or any relevant document that explains climate risk exposure		
Feasibility Study (if applicable)		
Administrative Order/Executive Order creating the LGU/ Project Implementation Unit/ Team (with the General Information Sheet of the members)		
Minutes and highlights of consultation with stakeholders for the project development		
Database of stakeholders consulted (name, organization, contact number, affiliation)		
Sex-aggregated data in project consultation and project beneficiaries		
Program of Work		
Detailed Cost Estimates of the Project		
Environmental Compliance Certificate (<i>if applicable</i>)		
Certificate of Non-Coverage (<i>if applicable</i>)		
Results Framework (milestones, targets and indicators)		
Certificate of No Derogatory Record of the officials/board/members.		
And all other necessary documents as maybe required upon evaluation of the application		

- 6.3. Which among the requirements do the LGUs find difficult to comply with and why?
- 6.4. What capacities do the LGUs who were able to access People's Survival Fund (PSF) possess? *Please allow LGUs to self-evaluate.*
- 6.5 Are/Were these requirements flexible enough such that the LGUs are able to comply?
- 6.7 What are the steps, procedures, and limits in accessing non-PSF financing?
- 6.8. What is the timeframe for the approval of financing?⁶
- 6.9. What technical skills are needed to comply with the requirements for financing?
- 6.10. For LGUs who were able to access financing, what packages are/were provided?
- 6.11. What specific financing has been accessed and for what specific purpose?

7. EARLY WARNING SYSTEMS

7.1. Presence, Conditions, etc. of Early Warning System(s)

EWS (for this hazard)	Status/ Conditions	Owner(s)	Operators	Users of the information	Means of Accessing Information from	Interpretation of EWS Done By

6.2. How does/did the information from the EWS for this hazard get translated into an early action/financing?

8. RISKS

8.1. What risks to climate/preparedness financing can the actors identify that can hamper FbF Implementation? *Identify what hazards the risks are identified with. Examples: political risks, mis/communication, threats to food security, etc.)*

Annex B

Hazard Profiles of WFP's Partner Provinces

Province	Hazard Profile
Batangas	Batangas Province is located along the vicinity of the Philippines' typhoon belt which makes the province susceptible to light to moderate tropical storms. Its geographical location and physical environment also contribute to its high susceptibility to storm surges, sea level rise, tsunami, volcanic eruptions, volcanic and tectonic shakes, landslides, and light to serious levels of flooding. Huge parts of the municipalities of Nasugbu, Calatagan, Balayan, and Tuy are considered to be natural catch basins. Lowland areas in Batangas City, San Pascual, and Bauan, likewise, experience flooding due to drainage problems. One hundred fifty-one (151) coastal barangays in 14 municipalities and 1 city of the province vulnerable to such and they are: Balayan (11), Bauan (9), Calaca (8), Calatagan (16), Lemery (13), Lian (6), Lobo (10), Mabini (13), Nasugbu (7), San Juan (15), San Luis (6), San Pascual (3), Taal (1), Tingloy (15), and Batangas City (18).
Laguna	Flooding is the most common natural hazard in Laguna Province. Heavy rains from tropical storms and typhoons can cause floods or flash floods that can develop within minutes or hours depending on the intensity and duration of the rain, topography, soil condition, and ground cover of the area. Flooding in the province is often caused by the overflowing of the waterways like creeks and rivers which traversed the low-lying localities along Laguna Lake
Cagayan	<p>The Province of Cagayan is among the four provinces that host Cagayan River, the longest river in the country. It is also crisscrossed by other rivers. Top hazards include flooding due to river overflows and flash floods, rain-induced landslides and storm surges during typhoons, and extreme rainfall occurrences. The Province is also vulnerable to droughts. The province is susceptible to hydro-meteorological occurrences, which covers those that are related to water and the atmosphere such as typhoon, flood, rain-induced landslide, and storm surges. It experiences coastal and river flooding that are aggravated by the opening of the floodgates of the Magat Dam.</p> <p>Practically all of the municipalities of the Province are rain-induced landslide prone in different degree of susceptibilities. The province has two minor faults: Dummun fault in Gattaran and Taboan fault in Baggao which make earthquakes and tsunami likely occurrences. The province also hosts five active volcanoes that may pose volcanic hazard to its inhabitants: Mt. Cagua, Smith, Didicas, Babuyan Claro and Camiguin De Babuyan.</p>
Benguet	The major hazards in Benguet Province are mostly geophysical given its mountainous terrain. It is also prone typhoon-induced landslides because of the amount of rainfall that it receives. The rains that occur in the months of June to December also make the province susceptible to rain-induced landslides. Flooding also occurs in a small portion of the province, particularly in those areas that where river systems converge.

Sorsogon	Sorsogon Province’s geographic location within the country’s typhoon belt make it susceptible to typhoon, flooding, storm surges and tropical cyclones. Records indicate that an average of nine (9) typhoons visit the province annually. Flooding also occurs even minus typhoons because of the siltation in Cadac-an River which affect the areas of Irosin, Juban and Casiguran,. The diminishing forest cover also contribute to land erosion in Bulusan, Juban, Magallanes and Sorsogon City. Red tide occurs in the coastal areas of Sorsogon except Irosin.
Iloilo	Iloilo is located along the path of destructive tropical cyclones that occur in the months of June to December. Common hazards that occur in the province include flood that is brought about by extreme weather events like heavy rain in Iloilo due to the province’s low elevation and silted river systems. The province is also prone to storm surges (or dalagkongamgabalod “Daklod” a term coined by Provincial Disaster Risk Reduction and Management Office Head, Dr. Jerry “DAKLOD” Bionat for easy understanding and recall of the residents and is now widely used in the province). Sudden gusts of wind caused the sea to swell and big waves hit the shores which caused damage to properties and people near the shores.
Compostela Valley	The whole Region XI to which the province of Compostela Valley belongs is under Climate Type IV which, based on the Modified Corona’s Climate Classification, indicates that rainfall is more or less evenly distributed throughout the year. Immediate past hazard events include Typhoon Pablo made landfall on December 4, 2012 and was the first known typhoon event in the province. One hundred forty-eight (148) of its 237 total barangays 48 are considered highly to very highly landslide susceptible areas.
Davao Oriental	<p>Davao Oriental has a topography composed of mountain ranges with rolling hills on the northern portion and alluvial plains near its numerous rivers. During rainy season, the southwest monsoon brings typhoons and floods, while its proximity to the Philippine Trench and presence of fault lines traversing the province continuously endangers it to natural hazards such as landslides, earthquakes, and earthquake related hazards. Other identified hazards are drought, El Niño and La Niña, liquefaction, tsunami, and sea level rise,</p> <p>Typhoon Pablo was the strongest known typhoon to ever hit Davao Oriental, making landfall as a Category 5 super typhoon with winds of 175 mph (280 km/h). It resulted to 404 deaths, 1,740 casualties (mostly unidentified), and 108 missing individuals including infants. It damaged crops and infrastructures.</p>
Misamis Oriental	Misamis Oriental has an uneven topography, with mountainous regions to the east, while the west has narrow coastlines and riverine plains and valleys especially in the central portion of the province, including Cagayan de Oro City. In recent years, Misamis Oriental has been affected by flooding and other flood-related events such as flash floods and rain-induced landslides. There were 35 incidents of natural disasters recorded in the province for the period 2004-2011. Flash floods post the highest number of affected families at

	<p>44.75% (21,312 families), and persons at 42.18% (84,673 persons). Rain-induced landslides post the second highest number of affected families at 11,380 (PDRRM Plan 2014 – 2019).</p> <p>The coastal areas of the province are seasonally inundated by coastal flooding caused by storm surge particularly during November to January. Low-lying areas situated near the mouth and along the banks of the major rivers are prone to riverside floods particularly during heavy rainfall. For the period 2004 - 2016, there were 21 flood-related events recorded that affected the province, displacing about 43,323 families with an estimated cost of damage to properties of about P1.145B (PDRRM Plan 2014 – 2019).</p>
Maguindanao	<p>Maguindanao province serves as a catch basin of floodwaters from South Cotabato, Sultan Kudarat, North Cotabato and Bukidnon before the water flows toward the Moro Gulf. Typhoons and heavy rains caused several rivers to overflow, in particular the Pulangi River, Mindanao River, Ligawasan Marsh and Rio Grande de Mindanao.</p>

**Annex C.
LDRRMF Line Item Budget of WFP Partner Provinces (Per Fund Cluster Used in the Study)**

Fund Clusters and Sub-allocations	Batangas	Laguna	Cagayan	Benguet	Sorsogon
Infrastructure	<ul style="list-style-type: none"> infrastructure projects 	<ul style="list-style-type: none"> construction/renovation of evacuation center/public infrastructure 	<ul style="list-style-type: none"> establishment of sub-stations emergency operation center 	<ul style="list-style-type: none"> construction of PDRMO Building (Phase 2) construction of flood control along Sip-Sip Naguey Provincial Road in Atok construction of slope protection at Benguet SPED Center, Wangal, La Trinidad construction of drainage canal and concrete pathway at Poplaville Subdivision, La Trinidad Benguet construction of drainage canal system and concrete retaining wall improvement along Sagpat-Sapdaan Provincial Road 	<ul style="list-style-type: none"> rehabilitation of box culvert to evacuation center at Brgy. Salvation, Bulusan construction of multi-purpose hall/evacuation center at Cabarawan, Quezon, Bulan and Maracabac, Castilla completion of evacuation center at Brgy. San Jose, Donsol and Brgy. Gabao, Irosin construction of multi-purpose hall/evacuation center at Culasi, Matnog and Coron-Coron, Matnog completion of multi-purpose gymnasium/evacuation center at Brgy. Cabiguharan, Pilar construction of water system at Suwa Matnog

Fund Clusters and Sub-allocations	Batangas	Laguna	Cagayan	Benguet	Sorsogon
Infrastructure				<ul style="list-style-type: none"> rehabilitation of Loacan E/S Building in Itogon 	<ul style="list-style-type: none"> construction of foot-bridge to evacuation center in Patag-Mapaso-Cawayan, Irosin construction of foot-bridge to evacuation center at Brgy. Manjumlad, Matnog construction of slope protection at Brgy. Bayawas, Don-sol construction of slope protection at Brgy.Sta. Fe, Pilar construction of slope protection at Brgy.Sabang Beach, PrietoDiaz construction of river/flood control at Brgy. Soma-gongsong,Bulan construction of river/flood control at Brgy. Banban, Don-sol construction of storm surge/shore protection(seawall) at Banuang Daan, Matnog

Fund Clusters and Sub-allocations	Batangas	Laguna	Cagayan	Benguet	Sorsogon
Equipment	<ul style="list-style-type: none"> • equipage of disaster reduction equipment 	<ul style="list-style-type: none"> • purchase of disaster response and rescue equipment 	<ul style="list-style-type: none"> • LED Monitors 50in (Widescreen) • HD Still/Video Camera • ultra-high definition flying camera/drone • equipping (personal computers, tables and chairs • repair, improvement and upgrading and PCDDRR-MO & equipment tool • establishment of sub-stations equipment tool • upgrading of DRRM system and other DRR search and rescue equipment • personal protective equipment for responders 	<ul style="list-style-type: none"> • equipage of PDRR-MO building • acquisition of DRR/SRR equipment tools, gears, medical equipment 	<ul style="list-style-type: none"> • construction of storm surge/shoreprotection (seawall) at Brgy. • installation/enhancement and maintenance of AWWGs/ARGs and monitoring device/instruments and VHF radio equipment/set-up • SMS allocation/develop information and database system for province wide information and tools on risk assessment • enhancement of search & rescue tools and equipment • enhancement of two-way radio and broadcast communication equipment • provision/purchase of equipment, tools and accessories • •

Fund Clusters and Sub-allocations	Batangas	Laguna	Cagayan	Benguet	Sorsogon
Disaster Response	<ul style="list-style-type: none"> • conduct of emergency meetings • activation of operation centers • 24/7 manning of operation centers 	<ul style="list-style-type: none"> • Disaster Risk Reduction and Management Program - Relief and Recovery 	<ul style="list-style-type: none"> • Relief operations • mobilization of responders and other disaster teams 	<ul style="list-style-type: none"> • support to search/rescue and retrieval • support to medical consultations, water, sanitation, and nutritional assessment in evacuation centers and disaster-stricken areas, including social welfare and protection services • conduct of Damage Assessment and Needs Analysis (DANA) 	<ul style="list-style-type: none"> • provision of food for the staff and checked-in responders at Emergency Operation Center (EOC) during emergencies/ calamities and fuel/oil maintenance expenses for government-owned vehicle, equipment and identified resource's vehicle being used for immediate response, (during monitoring, planning and execution of actual response)
Rehabilitation Early Warning Systems	<ul style="list-style-type: none"> • • 	<ul style="list-style-type: none"> • • Phase II of command center and installation of local flood and landslide early warning & monitoring system 	<ul style="list-style-type: none"> • • EWS 	<ul style="list-style-type: none"> • • 	<ul style="list-style-type: none"> • • Early Warning System/public awareness/monitoring, • maintenance & installation of EWS/licensing and procurement of equipment
Trainings	<ul style="list-style-type: none"> • trainings 	<ul style="list-style-type: none"> • capability building 	<ul style="list-style-type: none"> • capability building • workshops and emergency operation center, maneuvers, and SOPs 	<ul style="list-style-type: none"> • conduct of community-based DRRM training • mountain search and rescue training • provincial DRRM jamboree 	<ul style="list-style-type: none"> • capacity training/training on high risk barangays CDRRM/CCA and Health Hazard, ICS Training, Prevention and Mitigating Measures/Programs

Fund Clusters and Sub-allocations	Batangas	Laguna	Cagayan	Benguet	Sorsogon
Trainings			<ul style="list-style-type: none"> strengthening the preparedness capacity of PCCDRRMC, MDRRMOs & responders SIMEX on all hazards 	<ul style="list-style-type: none"> water search and rescue training emergency medical responders' training alliance building workshop 	<ul style="list-style-type: none"> National Disaster Resiliency Celebration and Respondents Assessment Earthquake, Fire, Volcanic and other type of Hazards Simulation Drill
Administrative Support And Planning					
Representation		<ul style="list-style-type: none"> representation expenses 			
Administrative Services				<ul style="list-style-type: none"> DRRM administrative services 	
Personnel Services				<ul style="list-style-type: none"> 	
Insurance	<ul style="list-style-type: none"> insurance for disaster volunteers 	<ul style="list-style-type: none"> insurance of volunteers and other facilities like evacuation centers. 'laptop, desktop, printer, camera, video camera, USB, presenter, speakers, tables and chairs 	<ul style="list-style-type: none"> responder's risk transfer mechanism (life and health insurance) 	<ul style="list-style-type: none"> enrollment of PDRMS emergency and disaster response volunteers for insurance 	

Fund Clusters and Sub-allocations	Batangas	Laguna	Cagayan	Benguet	Sorsogon
MOOE		<ul style="list-style-type: none"> purchase of gasoline and oil expenses repair and maintenance of other equipment and motor vehicles 	<ul style="list-style-type: none"> maintenance/repair/ rehab of disaster transport and other equipment 	<ul style="list-style-type: none"> support to PDRRM activities maintenance DRR equipment transport vehicles, communication 	<ul style="list-style-type: none"> license and permits for the acquisition of new equipment for the use as early warning device maintenance of equipment for preparedness and response program/activities
Office Equipment, Furniture And Fixtures	<ul style="list-style-type: none"> purchase of office equipment and furniture 				<ul style="list-style-type: none"> procurement of digital copier for IEC reproduction and for training materials
Other Supplies		<ul style="list-style-type: none"> other supplies 			<ul style="list-style-type: none"> CLUP Zoning Ordinance
Research				<ul style="list-style-type: none"> infra audit of provincial government-owned buildings conduct of research on hazard and vulnerability assessment profile of the province conduct of research on improving surveillance and control of climate-sensitive diseases 	

Fund Clusters and Sub-allocations	Batangas	Laguna	Cagayan	Benguet	Sorsogon
Research				<ul style="list-style-type: none"> • conduct researches on climate change impact on the eco-system • conduct of water testing for potable water supply for the 140 barangays of the province 	
CBMS			<ul style="list-style-type: none"> • CBMS (Program Management) • CBMS (Capability Building) • CBMS (Monitoring) • Best Prepared Purok competition 		
Other					
Adaptation And Mitigation Programs		<ul style="list-style-type: none"> • clean-up drive along rivers and creeks • reforestation program (province-wide) 			

Fund Clusters and Sub-allocations	Batangas	Laguna	Cagayan	Benguet	Sorsogon
Food Items	<ul style="list-style-type: none"> stockpile of food items 	<ul style="list-style-type: none"> purchase of food supplies 			<ul style="list-style-type: none"> stockpiling of relief goods (rice/canned goods/ready to eat meal pack/medicines) and pre-positioning of goods during heavy rains with/without warning signal from DOST- PAGASA to the affected community/ passenger due to a tropical storm/ typhoon or LPA/bad weather disturbance)
Non-Food Items	<ul style="list-style-type: none"> hygiene kits 	<ul style="list-style-type: none"> purchase of medicinal supplies purchase of medicine and drug expenses 	<ul style="list-style-type: none"> emergency medicines 	<ul style="list-style-type: none"> stockpiling of basic emergency relief supplies/items 	
IECs and Publications	information education campaigns	printing and publication of information education communication campaign materials	information system supplies (tarpaulin and eco-ink) hazard maps frames reading materials/ bookshelves/ flyers rack information education campaign	enhancing of DRRM communications system printing of provincial DRRM and contingency plans printing of updated LCCAP printing of Provincial DRRM and Contingency Plans	procurement of digital copier for IEC reproduction and for training materials public address system (alert warning device with complete accessories)

Fund Clusters and Sub-allocations	Batangas	Laguna	Cagayan	Benguet	Sorsogon
Transportation Costs	rescue boats emergency response vehicles sea ambulances ambulance			heavy equipment support services acquisition of fire truck acquisition of ambulance and accessories acquisition of mobile storage facilities (2-20 foot container vans)	procurement of brand new dump truck procurement of brand new truck
Livelihood Support				emergency shelter assistance and/or livelihood assistance to affected families in disaster-stricken communities	
Land Acquisition					
Transportation					

Fund Clusters and Sub-allocations	Iloilo	Compostela Valley	Davao Oriental
Infrastructure	<ul style="list-style-type: none"> improvement of schools/centers/halls identified as evacuation centers construction of pilot evacuation centers in vulnerable/ strategic area financial assistance for the acquisition/ development of relocation sites/ evacuation centers 	<ul style="list-style-type: none"> road networks other structures provision of funds for permanent shelter for evacuees provision of funds for the establishing of command center for 24/7 operations 	<ul style="list-style-type: none"> public infrastructures (roads, hi-ways & bridges) and other structures construction of PDRRMC construction of command center and facilities storage and parking construction of evacuation center housing project
Equipment/Equipping	<ul style="list-style-type: none"> procurement of radio communication units for local response operations procurement of other machineries, equipment & furniture for use of the PDRRM procurement of rescue equipment for local response operation procurement of health emergency equipment for use of MDRRM on health and MHO procurement of tools & other supplies for response operation 	<ul style="list-style-type: none"> procurement of additional hazard-specific rescue tools including wash tools and equipment acquisition of science-based tools for DRRM and CCA monitoring facilities and systems 	<ul style="list-style-type: none"> purchase of rescue, communication monitoring, it software, equipment and other machinery other equipment
Disaster Response	<ul style="list-style-type: none"> relief programs for local victims of calamities financial assistance for local response teams for their response operation & procurement of rescue equipment 	<ul style="list-style-type: none"> provision for fuel, oil and lubricants during the conduct of disaster preparedness activities, search, rescue and retrieval operations 	<ul style="list-style-type: none">

Fund Clusters and Sub-allocations	Iloilo	Compostela Valley	Davao Oriental
Disaster Response	<ul style="list-style-type: none"> travelling expenses of personnel during emergencies, calamity response/relief operations & enumerators of data gathering & profiling 	<ul style="list-style-type: none"> provision for logistical support for the pre-positioning of disaster responders, relief operations and conduct of search, rescue and retrieval provision for logistical support for the pre-positioning of disaster responders, relief operations and conduct of search, rescue and retrieval operations (food supplies) 	
Coordination And Manpower Mobilization	<ul style="list-style-type: none"> PDRRMC/committees/ unit meetings/activities 		<ul style="list-style-type: none"> military, police, BFP, and PCG expenses subsidy to operating unit
Rehabilitation			
Early Warning Systems			
Trainings			
Trainings	<ul style="list-style-type: none"> Honoraria for trainers/lecturers of seminars, workshops, trainings, enumerators & encoders for data gathering & profiling Training-workshop on DRRM programs for local responders Fire suppression programs/activities Training-workshop on DRRM, Climate Change & Earthquake Drills for Boy/Girl Scout Coordinators 		

Fund Clusters and Sub-allocations	Iloilo	Compostela Valley	Davao Oriental
<i>Trainings</i>	<ul style="list-style-type: none"> • Training-workshop on DRRM, Climate Change & Earthquake Drills for Elementary social science/civic teachers/ pupils • Training-workshop on DRRM Programs & Climate Change for Persons with Disabilities • Training-workshop on DRRM & Climate Change for BDRRMC members • Training-workshop on the DRRM & Climate Change for Barangay Secretary/BDRRM coordinators • Training on First Aid & Basic Life Support Vehicular Injuries for selected government employees • Training-seminar on the DRRM operation on response system on natural hazards to selected barangay residents/stakeholders • Training-workshop on the Evacuation Center Management for BDRRMC Chairmen/ Coordinators/Day Care Workers/others • Seminar-Workshop on DRRM Programs & Natural Hazard for Local Phil. Coast Guard Auxiliary Members • Conduct of training on Identification of local hazards & preparation of maps 		

Fund Clusters and Sub-allocations	Iloilo	Compostela Valley	Davao Oriental
<i>Trainings</i>	<ul style="list-style-type: none"> • Conduct training on local emergency response operations with the members of the MDRRMC, BDRRMC & BDRRM Committee members • Conducts trainings on evacuation center management (EMC) with the LDRRMC, BDRRMC & BDRRM Committee members • Conduct of trainings & safety drills on fire • Conduct of training on the preparation of strategic plan and contingency plan 		
<i>Administrative Support And Planning</i>	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> •
<i>Representation</i>	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> • representation expense • 	<ul style="list-style-type: none"> •
<i>Administrative Services</i>	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> •
<i>Personnel Services</i>	<ul style="list-style-type: none"> • personnel services of PDRRM Office 	<ul style="list-style-type: none"> • other professional services 	<ul style="list-style-type: none"> •
<i>Insurance</i>	<ul style="list-style-type: none"> • Financial assistance to associations/ councils for the Insurance Premium of accredited members of local response/rescue groups • Insurance expenses for local responders 	<ul style="list-style-type: none"> • Insurance for disaster expense 	<ul style="list-style-type: none"> •
<i>Maintenance & Other Operating Expenses</i>	<ul style="list-style-type: none"> • Maintenance & Other Operating Expenses 	<ul style="list-style-type: none"> • internet subscription expenses • repairs maintenance-machinery and equipment • provision of funds for the maintenance of early warning device 	<ul style="list-style-type: none"> • Other MOOE

Fund Clusters and Sub-allocations	Iloilo	Compostela Valley	Davao Oriental
Maintenance & Other Operating Expenses		<ul style="list-style-type: none"> repairs and maintenance of rescue tools and equipment repairs and maintenance of equipment used for disaster projects 	
Clup	<ul style="list-style-type: none"> Workshop on Finalization of PDRRM Contingency Planning 		
Research Cbms			
Adaptation And Mitigation	<ul style="list-style-type: none"> risk/hazards preventive/mitigating programs/projects 	<ul style="list-style-type: none"> water system rehabilitation services solid waste management program greening program agri-infra, pre and post harvest facility development program rice support program corn cassava production support program high value crops development program organic agriculture support program 	
Food Items			<ul style="list-style-type: none"> Food supplies
Non-Food Items	<ul style="list-style-type: none"> provision/ procurement of drugs & medicines for prevention/control of infectious diseases 		<ul style="list-style-type: none"> medicines medical supplies
lecs AND PUBLICATION	<ul style="list-style-type: none"> advocacy program on Dengue/ Leptospirosis 	<ul style="list-style-type: none"> signages 	

Fund Clusters and Sub-allocations	Iloilo	Compostela Valley	Davao Oriental
Iecs AND PUBLICATION	<ul style="list-style-type: none"> • production of IEC on climate change, different hazards & other related materials • radio program/IEC on DRRM Programs/ Climate Change/ public awareness of RA 10121 • DRRM forum & activity during the celebration of National Consciousness Month • procurement of materials/supplies for highway road signs, G.I. poles, materials • procurement of Tropical Cyclone/Flood Warning Flags/G.I poles & materials • procurement of Quick Extension SMS Alert System 	<ul style="list-style-type: none"> • development, reproduction and distribution of IEC materials for families at risk to various hazards • provision of funds for printing and publication 	
Transportation			<ul style="list-style-type: none"> • travelling expenses • gas, oil, & lubricants expenses
Livelihood Support			
Land Acquisition		<ul style="list-style-type: none"> • land 	
Transportation Cost			

Annex D

INFORMANTS

Province	Date of Activity	Type of Activity	No. of Persons Involved
Batangas		FGD	12
	July 13, 2018	FGD	10
	July 16, 2018	Verification and Gathering of Documents	6
	July 17, 2018	Verification and Gathering of Documents	3
Benguet	August 1, 2018	FGD	7
Compostela Province	July 12, 2018	KII	3
	July 13, 2018	FGD	4
	July 16, 2018	KII	7
	July 17, 2018	KII	4
Davao Oriental	July 27, 2018	Meeting	28
	July 30, 2018	Meeting of Heads of Offices	20
	July 30, 2018	KII	2
	July 30, 2018	KII	2
	July 30, 2018	KII	2
	July 31, 2018	FGD	7
Iloilo	July 18, 2018	FGD	9
	July 19, 2018	KII	2
Laguna	July 9, 2018	KII	4
	July 10, 2018	KII	2
	July 11, 2018	KII	6
Maguindanao	July 30, 2018	FGD	10
	July 31, 2018	KII	1
	August 2, 2018	KII	
Misamis Oriental	July 16, 2018	FGD	7
	July 17, 2018	KII	3
	To be identified	To be identified	3
Sorsogon	July 25, 2018	FGD	9
	July 26, 2018	KII	4

Laguna

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