



**ATENEO DE MANILA UNIVERSITY**  
**SCHOOL OF SOCIAL SCIENCES**  
**INSTITUTE OF PHILIPPINE CULTURE**

**BOTTOM-UP BUDGETING PROCESS EVALUATION**

**FINAL REPORT | MAY 2013**

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## LIST OF ABBREVIATIONS

4/FOUR Ps	Pantawid Pamilyang Pilipino Program
BUB	Bottom-Up Budgeting
BPLO	Business Permits and Licensing Office
CBMS	Community-Based Monitoring System
CSO	Civil Society Organization
CY	Calendar Year
DA	Department of Agriculture
DA-BFAR	Department of Agriculture – Bureau of Fisheries and Aquatic Resources
DAR	Department of Agrarian Reform
DBM	Department of Budget and Management
DENR	Department of Environment and Natural Resources
DepEd	Department of Education
DILG	Department of Interior and Local Government
DOH	Department of Health
DOLE	Department of Labor and Employment
DMO	Data Management Office
DSWD	Department of Social Welfare and Development
FGD	Focus Group Discussion
FGI	Focus Group Interview
FHSIS	Field Health Service Information System
FMR	Farm-to-Market Road
GGACC	Good Governance and Anti-Corruption Cluster
HDPRC	Human Development and Poverty Reduction Cluster
HRMO	Human Resources Management Office
IPC	Institute of Philippine Culture
JMC	Joint Memorandum Circular
KALAHI-CIDSS	Kapit Bisig Laban sa Kahirapan – Comprehensive and Integrated Delivery of Social Services
KII	Key Informant Interview
LGU	Local Government Unit
LPRAP	Local Poverty Reduction Action Plans
LPRAT	Local Poverty Reduction Action Team
MAFC	Municipal Agriculture and Fishery Council
MAO	Municipal Agricultural Office
MARO	Municipal Agrarian Reform Office

MBO	Municipal Budget Office
MCWL	Municipal Council for Women of Lagonoy
MHO	Municipal Health Office
MLGU	Municipal Local Government Unit
MPDC	Municipal Planning and Development Coordinator
MPDO	Municipal Planning and Development Office
MRDP	Mindanao Rural Development Program
MSWO	Municipal Social Welfare Office
MSWD	Municipal Social Welfare Department
NAPC	National Anti-Poverty Commission
NGA	National Government Agency
NGO	Non-government Organization
NHTS	National Household Targeting System
NSO	National Statistics Office
OTOP	One-Town-One-Product
PESO	Public Employment Service Office
PTA	Parent-Teacher Association
PO	People's Organization
RPRAT	Regional Poverty Reduction Action Team
RHU	Rural Health Unit
SB	Sangguniang Bayan
SPF	Special Purpose Fund
SWO	Social Welfare Officer
TESDA	Technical Education and Skills Development Agency
ToR	Terms of Reference

## EXECUTIVE SUMMARY

The Aquino administration through the Human Development and Poverty Reduction Cluster (HDPRC) and Good Governance and Anti-Corruption Cluster (GGACC) launched a participatory planning and budgeting exercise, Bottom-up Budgeting (BUB), aimed at the poorest municipalities and cities in the Philippines. The BUB targets the poorest local government units in the nation, and engages them in a participatory process that allows them to formulate a data based Poverty Reduction Action Plan (LPRAP). The program-exercise was implemented in 300 pilot LGUs and 609 focus cities and municipalities in 2012 and 595 LGUs in 2013. The program enables Municipal Local Government Units (MLGUs) to include their LPRAP priority projects in the budgets of national agencies thereby strengthening their ability to access national government funds for projects relevant to their locality. This effort was supported by the Department of Budget (DBM), National Anti-Poverty Commission (NAPC) in cooperation with the Department of Interior and Local Government (DILG) with their initiatives to build the capacity of CSOs to engage government planning processes.

As the BUB implementers hope to institute a culture of data based, participatory, anti-poverty planning, the DBM-DILG-DSWD-NAPC outlined its processes and principles in three rounds of Joint Memorandum Circulars (JMC) from March to December 2012. These JMC provide guidance on procedures and steps for the effective implementation of the BUB. The Institute of Philippine Culture (IPC) was asked to study the implementation of the BUB specifically to provide advice on the development of the new JMC that will guide BUB implementation for the 2014 round. To that effect, a rapid assessment was carried out in four purposefully selected LGUs. Two LGUs each were selected in Camarines Sur and Agusan del Norte. These LGUs were pre-selected by the IPC team upon the advice of NAPC. The LGUs selected were similar in their basic poverty situation but were different in their experience of participatory planning and had different levels of CSO participation in governance.

The municipalities of Goa and Lagonoy in Camarines can both be characterized as LGUs that did not have much experience with participatory planning processes and did not have much engagement with CSOs in governance aside from the affiliation with a few groups that are headed by former LGU employees or allied CSOs run by a religious group. On the other hand, the Agusan LGUs, Butuan City and Buenavista, have a greater experience in participatory planning processes and CSO partnerships because these are run by local officials who have worked with CSO networks in various projects.

For this study, four teams conducted a series of Focus Group Discussions (FGDs) and Key Informant Interviews (KIIs) in the four localities. A total of 8 FGDs (two in each of the four LGUs) and around 68 key informant interviews (17 from each study site) were conducted throughout the study. The FGDs were of CSO representatives who were active in the BUB process up to the LPRAP and CSO representatives who may have been invited to the CSO orientations but were not active in the rest of the BUB process. Interviews were conducted with LGU officials who were members of the Local Poverty Reduction Action Team (LPRAT) as well as community leaders who could provide information on the poverty and development situation of the locality.

The BUB process was designed to have various components that ensure there is sufficient data and technical assistance to guarantee anti-poverty projects proposed are genuinely responsive to the poverty situation of the marginalized in a community. It was also designed to involve the CSO community of a locality in the planning of effective programs because they will be able to articulate the reality of poverty in the localities. The process entails the following steps: (1) Preparation for poverty reduction planning and budgeting, including the conduct of a city or municipal civil society assembly; (2) Conduct of the LPRAP Workshop; (3) LPRAP Endorsement of CSOs; (4) LPRAP Adoption of Sanggunian; (5) Submission of the list of priority projects to the DILG Regional Office (RO); (6) Consolidation of the projects by the DILG RO; (7) Validation of the projects by the RPRAT;

(8) Integration of the LGU projects in the budgets of participating agencies; (9) Provision of LGU counterpart; (10) Project Implementation. (JMC Section 5. Guidelines) Each step is designed to ensure that there is sufficient data input, genuine participation, and communal reflection on possible solutions to their poverty. From JMC 1 to JMC 3, the revisions were concerned with the improvement of the participatory and the data based aspects of planning.

As a general finding, the team saw that the BUB process was implemented very differently in the two provinces. Variations in implementation were primarily rooted in the locality's appreciation of participatory, data based planning processes, and the involvement of CSOs in local governance. LGUs that have a strong CSO presence adhered more to the BUB process—at least with regard to its participatory aspects. We can say that the LGUs which had little appreciation of participatory planning processes, skipped the main, participatory planning steps and went ahead and proposed LGU priorities as their LPRAP. CSO assemblies and orientation processes were not implemented in Camarines Sur and CSOs were not represented significantly in their LPRAP workshops. However, the LGUs with more experience with CSOs were able to implement the CSO assembly and at least some preparatory activities. For all our LGUs, the appreciation was not strong for data based planning that adheres to the processes outlined by the JMCs regarding data consolidation and use. None of our areas actually used these data sources mandated by the JMCs in a systematic manner. The input to the local poverty planning was mainly the presentation of unfunded priorities or the components of the local investment plans of the LGUs and, in one way or another, these LGU priorities were adopted as the LPRAP priorities.

On the whole, there was no significant difference in implementation between rounds one and two in our areas except in a few aspects of the process, and these changes were not those particularly intended by the JMCs. The joint circulars were intended to strengthen the practice of data based and participatory planning with each new issuance. Thus, the additions in the procedure were meant to include more and various sources in the processing of planning data, specify the support system (e.g. the RPRAT in providing training and data), and also encourage the more meaningful participation of CSOs. In the two rounds of implementation defined by JMCs 1 to 3, data gathering and utilization practices did not change significantly and participatory processes were not modified. This is because the practices being introduced by the JMCs are meant to transform the culture of planning and the expected adaptation of this new culture will not happen immediately—at least not in two years of practice and especially if this is not supported by training.

LGUs, especially those that have not engaged in participatory planning practices or who have not used data sets as the basis of planning, are not quick to take up new systems that will require them to plan based on a consolidation of various data sets. Also, LGUs that have not engaged CSOs will not be quick to accept their increased participation in the formulation of the local budget priorities. Thus, in our study, there were no substantial changes in the implementation of the BUB—and even the actual changes were not necessarily responses to the JMC revision. Clearly, it is too early to see changes in culture initiated by memoranda alone. Following is a summary of our major findings.

## A. PREPARATIONS AND INPUT TO PLANNING

Although the JMCs already specified the need to collect particular data sets and to consolidate these, and although the issuances are clear about the use of these data sets as the basis for poverty planning, local investment plans or local priority projects were the most often used basis for formulating the LPRAP and the data base of this is always the data set that the LGU habitually turn to for its planning or poverty mapping processes. Clearly, the LGUs do not yet have an appreciation for participatory planning based on the JMC specified data sets, and no training was given for them to use these data sets.

There were also no activities to prepare or orient LGU and CSO participants for the BUB except for the orientation sessions. Beyond these sessions which explained the BUB process there were no additional trainings for data based, participatory planning.

## B. TRAINING

As stated above, LGUs received an orientation from the Regional Poverty Reduction Action Team (RPRAT) for BUB implementation mainly through the efforts of the DILG and NAPC. The training was mainly an exposition on the mechanics of the BUB as outlined in the JMCs. (Processes, rules, deadlines were discussed.) These were generally one-day affairs and there was no in-depth discussion on the rationale and necessity of participatory processes, participatory budgeting, or the consolidation and use of data sets required by the JMCs. The JMCs provide a broad mandate for training, however, the trainings given in the areas are still very basic and do not begin to address the deeper training needs of the LGUs and CSOs in the target areas.

## C. CSO ORIENTATION

CSO orientations and assemblies were not implemented as specified by the JMCs and their potential for empowering communities was not realized. CSO orientations were not implemented in areas where there were no strong CSO-LGU engagements and were actually implemented in areas where there were strong CSO engagements with the LGU. In areas with a strong CSO presence, the CSO orientation was important because it provided the CSOs with information regarding the BUB operations and helped them prepare proposals for the LPRAP. It was clear from the Agusan experience that the presence of a good facilitator for these activities is essential because they design and implement the training which could determine the quality of participation of CSOs. CSOs on their own still do not have the incentive, resources, or capability to engage the BUB unless they are encouraged to organize and participate in planning through good facilitation.

The CSO orientation process, when implemented, was focused mainly on JMC directives and on proposal making. However, training on data based planning was still a clear lack and even CSOs that appreciated the participatory planning process did not understand the whole BUB planning process as laid out by the JMCs and were not enabled to realize this process.

## D. CONDUCT OF LPRAP WORKSHOP

When CSO presence was weak in an LGU, LPRAP workshops were not participatory and did not use or validate data as specified by the JMCs. These workshops used databases that mainly justified the LGU priorities and, ultimately, the LPRAP was an adoption of the LGU investment plans. In localities where there is a strong CSO presence, the LPRAP workshop still did not use data in planning as specified by the JMCs. They however allowed for LGUs and CSOs to engage in dialogue by presenting their priorities to each other, and CSO priorities were included in the LPRAP. But in all cases, the LPRAP adopted the local investment plan. Because planning was not rooted in the use of data, the LPRAT was easily persuaded to adopt local investment priorities as set by LGUs.

## E. TECHNICAL ASSISTANCE

Technical assistance was mainly provided by LGU officers, NAPC facilitator, and the regional DILG representative. Although the RPRAP was mandated to provide technical input, it only provided

orientation seminars for the LGUs and some CSO representatives in the BUB orientation workshop. They were supposed to provide more technical input especially regarding proposals during the LPRAP workshop. However, in the workshops, there was no significant RPRAP presence. This was not really a problem though because the MLGU officers provided whatever input was necessary. Also, technical input would only have mattered if planning processes were more data based and participatory, and were not mainly the process of adopting local investment plans.

The technical input that is most necessary at this point is for the RPRAT to provide technical training that strengthen the skills and appreciation of data based, participatory planning. Also, they must fulfill their mandate to provide empowerment training for capacity building occurred.

## F. INTEGRATION IN LGU PLANNING

In general, all LPRAP plans were integrated in LGU budgets because they were all in one way or the other the adaption of investment plans or unfunded priorities of the local LGU. Even when the LRPAP was defined by CSO priorities, these priorities were still oriented toward CSO priorities. Therefore, it was no problem for the LGU to provide counterpart funding.

## G. KALAHI INTERFACE

In KALAHI areas, the unfunded KALAHI projects were used to fill the LPRAP priorities list. This is actually allowed by the JMCs. However, this adoption of KALAHI priorities in the LPRAP was the result of the same process as the adoption of the local investment priorities. It was rooted in the lack of implementation of data based, planning processes. Of course, the adoption of the KALAHI priorities is useful if indeed the KALAHI process has given a voice to the communities and their needs in the national budget, and if it has contributed a more participatory process to the BUB. However, in this case, it was adapted because the JMC process was not implemented fully.

## RECOMMENDATIONS:

The BUB process aims to realize a change in the culture of planning. The process is meant to give some of the poorest municipalities not only a chance to have their own anti-poverty priorities funded by the national government, but for them to be educated in the processed of data based, participatory planning. This was implemented for two cycles and the process has not yet fully realized its potential to change the existing development culture in these two cycles. It has succeeded in making LGUs aware of the need to involve CSOs in development planning and in accessing certain data sets for anti-poverty planning. However, the localities have not fully appreciated the full potential of this kind of planning. This is clearly because of a lack of training.

The JMCs have already clearly defined the kind of planning process the BUB wishes to institute. They have not lacked in directives regarding the necessary data sets and processes to realize this kind of planning. However, they must clarify these things as necessary:

- Facilitation—in introducing these new skill sets and values, facilitation is necessary. There must be an external facilitator with the authority of the national government to guide LGUs in realizing the effective procedure for data based, participatory planning processes.
- Menu of Trainings—the LGUs going through BUB must have a core set of activities that are non-negotiable and that will introduce the basic skills of data based participatory planning.

But there must also be a menu of possible trainings that will suit various LGUs with various levels of exposure to data based participatory planning.

- Trainings on collecting, consolidating, and applying datasets to participatory planning processes—BUB implementers must design workshops to ensure that data sources can bring together a shared understanding of poverty and how to address it most effectively — this can be solved by designing a dialogical process where stakeholders could level off on data and how to incorporate it. As it is, CSOs are mere agents to validate government data instead of being partners in defining poverty and effective responses to it.

The directives for these are in the JMCs already. The implementers only have to ensure that the JMC directives are implemented. However, in the next JMC issuances, they should determine the following:

- the conduct and program of the regional orientations,
- the actual conduct and program of the basic CSO pre-orientation and orientation workshops,
- the flow of the LRPAP workshop and its program (specifying how data is to be used)
- the minimum skills building workshops to be given by the facilitators, especially with regard to CSO participation and data based planning

These directives have to clearly define the non-negotiable steps that will ensure that these activities impart the most basic skills for data based, participatory planning.

## I. INTRODUCTION

The Aquino administration through the Human Development and Poverty Reduction Cluster (HDPRC) and Good Governance and Anti-Corruption Cluster (GGACC) launched a participatory planning and budgeting exercise Bottom-up Budgeting (BUB), aimed at the poorest municipalities and cities in the Philippines. The HDPRC identified 609 municipalities for the initial phase of BUB and 595 responded and submitted Local Poverty Reduction Action Plans (LPRAPs). The program, exercise was implemented in 300 pilot LGUs and 609 focus cities and municipalities in 2012 and 595 LGUs in 2013.

The BUB program enables Municipal Local Government Units (MLGUs) to include their local development and poverty concerns in the budgets of national agencies through the submission of Local Poverty Reduction Action Plan (LPRAP). These plans, which are formulated through a data based, participatory planning system ensures that their most urgent anti-poverty concerns are funded.

The process as defined by Joint Memoranda Circulars issued by the Department of Budget (DBM), National Anti-Poverty Commission (NAPC) in cooperation with the Department of Interior and Local Government (DILG) aims to ensure that the BUB process come up with effective anti-poverty plans that are genuinely responsive to the local situation because these are based on all available and relevant data. The process also aims to ensure that the formulation of these local plans involve the voices of the most marginalized stakeholders. This way, the poorest of the poor are involved in the formulation of plans that address their needs. Approaches and lessons from various community-driven development processes such as the Kapit-Bisig Laban sa Kahirapan - Comprehensive and Integrated Delivery of Social Services (KALAHI-CIDSS) and the Mindanao Rural Development Program (MRDP) were incorporated in this project.

## II. OBJECTIVES OF THE STUDY

Toward gaining an initial, in-depth qualitative study of the BUB process, the IPC was contracted to study four municipalities in two provinces. These targeted sampling studies were conducted to provide a rapid assessment of BUB implementation for 2012 and 2013 so that the DBM and NAPC are provided with a sufficient understanding of field practices that will help them refine the programs implementation for 2015. It also aims to provide a rapid assessment methodology tool that these agencies can use for the project. Toward this end, the IPC research team will do the following as specified by the World Bank Terms of Reference (ToR):

- provide a rapid qualitative assessment of the BUB implementation in four LGUs;
- provide the BUB Executive committee team with an analysis of the trends observed in BUB implementation especially with regard to LGU and CSO engagement in the locality which will be used to improve the 2015 series of the JMC.

The analysis will focus on the following issues:

- Community dynamics and local stakeholder engagement in the community planning processes. The collection and analysis of information will focus on the dynamics among the different CSO groups and municipal leaders within targeted municipalities, in particular, collaborative behavior and exclusionary/inclusionary decision-making. It will therefore include the identification of key groups, individuals that influence the decision-making process and a review of how vulnerable and marginalized groups engage with these community processes or face specific barriers to influence these decisions.

- Key steps in the BUB implementation process. Selected information will be collected on the main project implementation processes. Given the short-time for the implementation of the process evaluation, the assessment will focus on the areas considered critical in strengthening the participatory aspects of the project so that it can inform the BUB Executive Committee's efforts to improve/adjust the upcoming JMC for BUB implementation in 2014.

These are the main areas of inquiry of the study with the key questions:

Table 1. Areas of Inquiry and Key Questions

Area of Focus	BUB Step	Process Assessment Questions
Municipality (KALAHI-CIDSS and non-KALAHI-CIDSS)		
Preparation (inputs to planning)	<p>Collecting baseline data</p> <p>Data collection through the collation and collection of relevant information and statistics for poverty reduction planning<sup>1</sup></p>	<p>What data was used as the basis for the BUB planning exercise in 2013?</p> <p>What data was used in 2012?</p> <p>Were there different sources information used in 2012 and 2013?</p> <p>Was the necessary information accessible? (Any noteworthy challenges/gaps?)</p>
Training	LGUs	<p>Did the LGU receive an orientation on the BUB process?</p> <p>What kind of information was provided? By whom? When?</p> <p>Was the information comprehensive? Were there any gaps?</p>
	<p>CSOs (Social Preparation)</p> <p>Social preparation through capability building activities</p>	<p>What orientation was provided to CSOs at municipal level?</p> <p>Who provided the orientation?</p> <p>What was its content? What was its duration?</p> <p>Did it focus on CSOs invited to attend the municipal/city assembly or on the smaller group of LPRAP representatives?</p> <p>What was the key/most useful information provided?</p> <p>How did it improve CSO understanding of BUB (Will be important to develop specific questions on steps to assess overall understanding)?</p>

<sup>1</sup> Sources may be CBMS, Field Health Service Information System (FHSIS), NHTS and records of Non-Government Agencies (NGA).

Area of Focus	BUB Step	Process Assessment Questions
Training	CSOs (Social Preparation) . . .	<p>Were their gaps in the information provided?</p> <p>How could these be addressed in future BUB rounds?</p>
Developing and integrating the LPRAP in broader plans (LGUs)	<p>Approach used</p> <p>LPRAP workshops helped formulate LPRAP based on data and feedback from members of expanded Local Poverty Reduction Action Team (LPRAT).</p>	<p>What were the major activities/steps in the LPRAP development in your city/municipality?</p> <p>Who led the process?</p> <p>Who were the main participants? How were the final participants selected?</p> <p>What information was used to develop the plan?</p> <p>In what time-frame was it developed?</p> <p>Were there pre-planning consultations made? If so, who undertook them and how?</p> <p>Beside key Municipal Local Government Units (MLGU) representatives, who else participated?</p> <p>Did the MLGU have previous experience of using participatory approaches? If yes please describe them.</p> <p><i>The research team will develop additional prompts/questions for barangays to be used in KALAHI-CIDSS areas.</i></p>
	<p>Technical Assistance</p> <p>The consolidation and review of all LGU identified priority projects and the institutionalization of governance reforms that include being a recipient of a seal of good housekeeping of the DILG and undergoing the assessment of DBM on public financial management system.</p>	<p>What kind of technical assistance did your LGU receive for LPRAP development?</p> <p>From whom?</p> <p>What was the role of NGAs at Regional vs. National level?</p> <p>What were key successes and areas for improvement?</p>
	Integration in city planning	<p>How to LPRAP priorities fit with broader city/municipal plans?</p> <p>Was Local Counter Contribution allocated by the city/municipality for identified investments? (If yes, how much?)</p>

Area of Focus	BUB Step	Process Assessment Questions
Developing and integrating the LPRAP . . .	Perspective on BUB usefulness	<p>Please describe your experience of participating in BUB. (or) How would you rate your LGUs experience in coordinating BUB?</p> <p>What were the main highlights/advantages?</p> <p>What do you consider are the main challenges/areas that require improvement? (Do you have any specific recommendations?)</p>
CSO involvement	Municipal/City CSO Assemblies	<p>Did a CSO Assembly take place? (Date conducted)</p> <p>Who convened the discussion?</p> <p>When was the announcement/call for the meeting made? (Date that information was issued/reached CSOs)</p> <p>What date was the meeting held?</p> <p>How was information disseminated to CSOs? (Who issued invitations, what networks transmitted the information)</p> <p>Brief profile of participating organizations in 2013 planning.</p> <p>Brief profile of participating organizations in 2012 planning.</p>
	Determining and agreeing on CSO priorities for LPRAP	<p>What was the scope of the discussion during the CSO Assembly?</p> <p>Who were the key participants?</p> <p>Were some groups/organizations more active than others? Why?</p> <p>How about Peoples Organization's (PO) participation? (Were they active in your municipality/city?)</p> <p>Was agreement reached on what priorities to present at the LPRAP meeting(s)? If yes, how was this discussed/decided?</p> <p>Were there issues where organizations present had differences of opinion? (If yes, what specific issues?) How were these resolved?</p>
	CSO representatives for LPRAP endorsement	<p>Who were the CSO representatives selected?</p> <p>Please describe the selection process (nomination/election).</p>

Area of Focus	BUB Step	Process Assessment Questions
CSO involvement	<p>Including CSO priorities in LPRAP</p> <p>Identification of priority poverty reduction projects were done during the LPRAP workshop. The CSOs endorsed the list of priority projects as proof of genuine participation.</p>	<p>Does the final LPRAP reflect the perspectives of CSO representatives in LPRAP meeting(s)?</p> <p>According to participating CSOs what were the main gains/achievements?</p> <p>What were the main areas of compromise/concession?</p> <p>What key CSO concerns were included in LPRAP? How were they addressed? What level of funding was allocated?</p> <p>How did CSO representatives determine what priority areas to focus on during the discussions? (i.e. was there prior agreement on these during the CSO workshop? Did individual CSOs represent their own concerns or those of the broader group consulted during the assembly?)</p>
	CSO perspectives on BUB participation	<p>Please describe your organization's experience of participating in BUB. (or) How would you rate your organization's experience with BUB?</p> <p>What were the main highlights?</p> <p>What do you consider are the main areas that require improvement? (Do you have any specific recommendations?)</p>
<b>Region</b>		
Assessing Regional engagement	RPRAT	<p>Was the RPRAT mobilized in your Region?</p> <p>What plans/actions did it undertake?</p> <p>Did the RPRAT endorse all proposals?</p> <p>Please describe the endorsement process.</p> <p>Where there activities/proposals that were excluded? Why? What discussions were held as part of this process?</p>

### III. FRAMEWORK OF THE STUDY

Proceeding with a discursive framework, the project utilized FGD and key informant interviews (KII) in four municipalities of two provinces. These were sites that had undergone two rounds of BUB planning with the main factors for comparison being the following:

1. a mix of urbanized and rural municipalities
2. municipalities with strong or weak LGU support or engagement of CSO networks or groups.

The research process was designed to allow the interviewers to engage in discourse the various participants in the formulation of the LPRAP. Four research teams were working in parallel on the data collection, whilst collecting relevant information from their area's LGU. In order to gain a good understanding of municipal/CSO dynamics and of the BUB implementation process, the research teams spent at least five days in the locality conducting community immersion in the selected sites.

The key informant interviews and focus group interviews focused on the following persons:

- Mayor
- LPRAT Facilitator where present of person who facilitated LPRAT
- Municipal Local Government Officer
- Sanggunian Chair of Appropriations
- Municipal Planning Officer
- Budget Officer
- Local Agriculture Officer
- Municipal/City Social Welfare Officer
- Health Officer
- Private Sector Representative in LPRAT
- Private Sector Leader Not Involved in CSO Assembly or LPRAT
- Local PO leaders involved in CSO assembly but not LPRAT
- Local PO leaders not involved with CSO assembly nor LPRAT
- NGO leader involved with CSO assembly but not LPRAT
- NGO leader involved in LPRAT
- *Barangay* captain known to head the local *barangay* confederation
- *Barangay* captain known to be in opposition to current LGU officials

There were two FGDs conducted in each study site, one each for the following groups:

- CSO Leaders Directly Involved in the Process
  - One NAPC Basic Sector Accredited Representative involved in LPRAT and one involved in CSO Assembly only
  - National Agency Accredited CSO Leader
  - LGU Accredited CSO Representatives - one involved in LPRAT and one involved in CSO Assembly only
  - Department of Health (DOH) Health Team Leader
  - Pantawid Pamilyang Pilipino Program (Four Ps) Parent Leader
  - People's Organization (PO) Leaders of Marginalized Sector one involved in LPRAT and one involved in CSO Assembly only
- CSO Leaders Not Directly Involved in the LPRAT or CSO Assembly (They could have been involved in other activities)
  - 2 NAPC Basic Sector Accredited Representatives
  - 2 National Agency Accredited Leaders
  - LGU Accredited Leader

- Four Ps Parent Leader
- 2 PO Leaders of Marginalized Sectors

The FGDs were conducted before the KIIs. From the result of the KIIs, the team looked at the KII list and decided who are relevant to the local process and who should be added and removed from the KII list. The team used this opportunity of revision to identify key informants who will deepen the understanding of implementation issues that emerged from the FGDs. Complete data reflecting the research participants in FGDs/FGIs and KIIs are in Appendix 3.

## IV. LIMITATIONS OF THE STUDY

This study was designed to be a rapid appraisal the field work so which would be completed in a week per municipality. Because of that, it relied on the NAPC and DBM to identify the sites which had strong CSO participation in governance and weak participation in governance. The provinces chosen were areas where the IPC already had teams deployed so that it would no longer have to spend time on social investigation to determine the best sites. Thus, the sites identified represent areas that were determined by the NAPC to be those with strong and weak CSO participation, set against the variables of urban and rural LGUs since this was the basis for comparison as determined by the TOR.

Thus, based on the initial suggested areas by the IPC team, the NAPC identified the Camarines Sur LGUs as those with weak and the Agusan del Norte LGUs as those with strong CSO engagements in governance. The basis for the identification of these LGUs is the conduct of the LGUs with regard to participatory planning. The Camarines Sur LGUs which represented the low appreciation for participatory planning processes were chosen because there was no evidence of their engaging CSOs in any significant way in their programs or their local special bodies. Also, they had not initiated any participatory planning practices as a municipal LGU. There was no significant CSO presence in any local special body or the Municipal Development Council. There may be existing civil society organizations, but these were not influential in the LGU. The opposite was true of the Agusan del Norte LGUs. These LGUs had partnerships with their CSOs which, in one LGU, had already federated (Buenavista) and in the other federated for the BUB (Butuan). These federations were known to the LGU and had engagements in LGU projects or participated in local planning and consultation processes.

Another limitation is that the study could not go very deep into issues that could deepen and enhance the understanding of the culture that defines the realization of the BUB in specific areas because of the abbreviated time for data collection. We also did not have the time to explore more deeply the political dynamics in the LGUs that may have affected the implementation of the BUB in terms of participatory processes. Also, the lack of time did not allow the team to go deeply into how LGU officials used data and appreciated its relevance for development and anti-poverty planning.

The rapid appraisal focused on the process of implementation and tried to explain, as much as it emerged from interviews and FGDs, the dynamics that shaped its implementation. However, within these limitations, the study shows how the practice of BUB implementation is realized in certain localities and what influences these variations at least in communities with very weak and very strong CSO implementation.

## V. COMMUNITY PROFILES

The municipalities of Goa and Lagonoy of Camarines Sur, the city of Butuan and the municipality of Buenavista of Agusan del Norte were chosen with these variations in mind:

	ACTIVE CSO ENGAGEMENT	NON-ACTIVE CSO ENGAGEMENT
Urbanized	Butuan, Agusan del Norte	Goa, Camarines Sur
Rural	Buenavista, Agusan del Norte	Lagonoy, Camarines Sur

### THE MUNICIPALITY OF BUENAVISTA

Buenavista is a first class municipality and the second biggest municipality in the whole of Agusan del Norte, covering 54,690 hectares. The CBMS survey CY 2007 shows that of the 9,953 households, 34.3% (3,430) of families are below food threshold while 49.94% (4,980) of families are below the poverty threshold. It has an annual growth rate of 0.68%. The livelihood source within the LGU is mainly farming, with fishing as a secondary source of income, and industrial work in plywood factories being the third. There are 62 existing NGOs and POs in Buenavista. 8,550 households have direct access to potable water while those not served by the Buenavista Water District rely on pumps or natural water sources. Electricity is provided by the Agusan Norte Electric Cooperative (ANECO). The MHO has a 5-bed capacity, staffed by a doctor and 5 regular nurses, with a laboratory manned by a medical technologist; for serious medical situations the nearest facility is the Agusan Norte Provincial Hospital in Butuan City, 16 kilometers away. All 25 *barangays* have their own elementary school; there are 10 National High Schools, two private high schools both located in the *poblacion* and one Technical Education and Skills Development Agency (TESDA)-accredited vocational school, for other collegial options they mostly go to Butuan City. All *barangays* have a municipal park, public market, and multi-purpose gym. Other facilities in the municipality include a cockpit arena, a slaughterhouse and a non-operational municipal fishport. Perennial flooding affects not only the coastal communities but also the resorts that help boost the municipality's economy.

### BUTUAN CITY

Butuan City is located in the Province of Agusan del Norte. Known as "The Timber City of the South," 67.13% of its 81,728 hectares of land is classified as Alienable and Disposable (A&D) lands, relevant for the city's main source of livelihood, logging. As of 2010, NSCB records a total of 61,942 households. NSO-Butuan in year 2000 shows the city's family monthly income of Php 9,279 which is lower than the average national monthly income of Php 12,003 of the same year. The city government provides a total of 164 level 1 and 29 level 2 water systems to augment the water supply provided by the Butuan City Water District (BCWD) to its 86 *barangays*. Water is supplied by both a private water concessionaire and the city government. Electricity is provided by the National Grid Corporation (NGC), formerly National Power Corporation) through AGUS 1 in Iligan City and locally distributed by ANECO. The city has four tertiary hospitals, 1 secondary hospital and two primary hospitals, totaling to a 475-bed capacity. There are 112 daycare centers, 105 public elementary schools and 36 private ones; as well as 35 public high schools and 21 private ones. There is only one Caraga state university, though there are 15 private colleges. New infrastructures in the city include the Macapagal Bridge and its viaduct, and various access roads, for the buses in its various terminals, two ports and one airport. Though it has a new commercial area (Robinsons) under construction apart from the Gaisano Mall, its main issues are the growing number of informal settlers, along with joblessness, perennial flooding, landslides and erosions, illegal logging even in watershed areas, conversions of (irrigated) agricultural lands and highly-frequent brownouts.

## THE MUNICIPALITY OF GOA

Goa is a 21,035-hectare, second-class municipality of the province of Camarines Sur, Bicol region. It is part of the provincial district called Partido, a group of municipalities that lie east and southeast of Naga City, the province's commercial, religious, and educational center. Total number of households is 14,012. In its LPRAP session for Round 1, the municipality of Goa undertook to produce poverty data which provided the LGU information regarding Goa's poverty situation. Among the findings were: 2000 households had no sanitary toilets; 67% of pregnant women lacked access to health facilities/care; 10 barangays had outdated or ill-equipped health centers; low TB cure rate (14% below target); 26% of total households were without access to potable water. The town has 34 *barangays*, ten of which are considered urban areas while the rest are rural. Livelihood sources within the LGU are farming, commercial and service centers, industrial, fishing, and mining. The largest of the 34 *barangays* is Hiwacloy, having an area of 1,818.87 hectares; while the farthest from the *poblacion* area is about 28 kilometers away. It has been the center of commerce for the nearby towns of Tigaon, San Jose, Lagonoy, Caramoan, and Sagnay. The Camarines Sur Electric Cooperative (CASURECO) supplies the municipality's electricity to less than 60% of the total number of households. Its commercial district, which now boasts of a recently opened air-conditioned shopping mall, caters to residents of the town as well as those from the said nearby municipalities who travel by an Integrated Transport Terminal. There are two private hospitals in Goa, and the municipality is also the educational center of the Partido District, having one state university, one integrated school, and various technical institutions for information technology, apart from various elementary and high schools. It seems that there are no CSOs, particularly NGOs, that are actively engaged in local governance and development planning. There is no accessible list of accredited CSOs in the municipality, thus, as we will see in the body of the report, there was no effective or significant CSO participation in the BUB process.

## THE MUNICIPALITY OF LAGONOY

Lagonoy is a second-class municipality in the Partido District of the province of Camarines Sur, Bicol region, with 8,135 households (2000 National Statistics Office [NSO] census). In the municipality of Lagonoy, 2012 CBMS indicates that 67.82% of total population is below the poverty threshold; 57.30% is below the poverty food threshold; and that 45.36% of the working population is unemployed. Lagonoy has seven *barangays* that are considered urban areas while the remaining 31 *barangays* are either rural or coastal areas, supporting their farming, fishing and light industry livelihoods. With the recent destruction of the town's market building by fire, Lagonoy's internal commerce has further suffered, since even with the presence of the market residents tended to go to Goa either to sell their produce or to make purchases, though its rural bank, ATM and one hotel are still present. 16 *barangays* have access to the LGU's piped water system, while the rest are on level 1 water access. Access to piped-in water (level 3) and sanitary toilet facilities are low at below 30% and below 80% of the total number of households respectively. Electricity is supplied by CASURECO IV servicing only less than 60% of the total number of households. There is neither hospital nor ambulance in the municipality; the nearest medical units (if the Rural Health Center will not suffice) can be found 10-15 minutes away in the towns of San Jose and Goa. DILG-Bicol reveals that 36% of children in Lagonoy suffer from protein-energy malnutrition. There are 27 daycare centers and 27 kindergartens, one private elementary school and 32 private ones, 1 private high school and 5 public high schools, as well as a university. Collegial options include Goa, Naga City, or Metro Manila.

Table 2. Summary of Community Profiles

	AGUSAN DEL NORTE		CAMARINES SUR	
	Buenavista	Butuan	Goa	Lagonoy
Classification	1st class municipality	City	2nd Class Municipality	2nd Class Municipality
Land area	54,690 hectares	81,728 hectares	21,035 hectares	37,318 hectares
Number of <i>Barangays</i>	25	86	34	38
Population	47,957	309, 709	54,035	51,814
Livelihood	Farming	Logging	Farming	Farming, Fishing
Description of Area	Coastal	Riverside	Land-bound	Coastal/ Riverside
Water and Sanitation	Jetmatic water pumps, flowing water, springs, wells for potable water.	From local government and private water company		16 <i>barangays</i> : piped water system; 22 <i>barangays</i> : shallow/ deep well, spring, rain collector
Health	MHO: 5 bed-capacity, 1 doctor, 5 regular nurses.  Agusan del Norte Provincial Hospital in Butuan City, 16 kms. away	4 tertiary hospitals  1 secondary hospital  2 primary hospitals (total of 475-bed capacity)	2 private hospitals	Rural Health Center primary health care unit.  Medical facilities in San Jose and Goa, 10-15 minutes away
Education	25 <i>barangays</i> have own elementary school  10 national high schools  2 private high schools  1 TESDA accredited vocational school  Butuan City for college	112 day care centers  105 public elementary schools  36 private elementary schools 35 public high schools  21 private high schools  15 private colleges  1 Caraga state university	St. Paul Academy (SPA)  Goa National High School  Philippine Science High School Bicol Region Campus (PSHS-BRC)  1 state university  1 integrated school  various technical institutions	27 daycare centers  27 kindergartens  1 private elementary school  32 public elementary schools  1 private high school  5 public high schools  1 state university  Goa, Naga City or Metro Manila for college
Other Facilities	All <i>barangays</i> have a municipal park, public market, multi-purpose gym  Cockpit arena	New Macapagal Bridge with viaduct  2 ports  1 airport	1 Integrated Transport Terminal (buses, vans, jeepneys)  1 mall	Market building burned down last year  1 rural bank and ATM  1 hotel

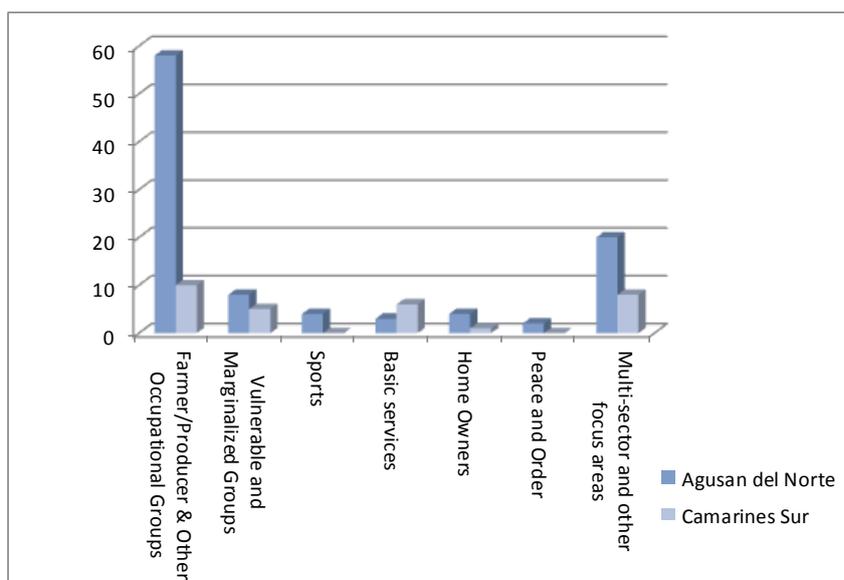
	Buenavista	Butuan	Goa	Lagonoy
Other Facilities	Slaughter house  Non-functional municipal fishport	Various bus terminals  1 mall (Gaisano), new Robinsons being built	Some banks and restaurants	
Main Issues	Perennial flooding along affecting resorts	Illegal logging and informal settlers  Growing population and joblessness  Perennial flooding, landslides, erosions and brownouts		Recent fire in town's market, they go instead to Goa

A review of Civil Society Organization (CSO) profiles in targeted areas indicated a strong presence of farmers associations or organizations representing specific occupational groups (transport in particular). Overall, the number of organizations focusing on basic services (health and education) or advocating for the interests of vulnerable or marginalized groups (including senior citizens, youth, women or people with disabilities) were limited across all sites. The profile of these organizations affects: (i) the extent to which they can effectively engage in the development of Local Poverty Reduction Action Plans and the type of priorities we may see emerging from civil society consultations and; (ii) the type of orientation and training that may be most effective going forward. In addition, as outlined in Graphic 1, there are no significant differences in NGO profiles across the two provinces visited.

Table 3: CSO profile in targeted municipalities (number of CSOs)

	Farmer/Producer Associations	Senior Citizens	Youth	Women	Sports	Health	Education	Transportation	Home Owners	Peace and Order	Disability	Multi-sectoral & other focus areas	Total
<b>Municipality</b>													
Buenavista	34	1	1	5	1	1	2	6	1			8	60
Butuan	13		1		3			5	3	2		12	39
Goa	4	1		1		2	3	4	1		1	5	22
Lagonoy		2					1	2				3	8
<b>TOTAL</b>	<b>51</b>	<b>4</b>	<b>2</b>	<b>6</b>	<b>4</b>	<b>3</b>	<b>6</b>	<b>17</b>	<b>5</b>	<b>2</b>	<b>1</b>	<b>28</b>	<b>129</b>

Graphic 1: Type of CSO by Province (number of CSOs)

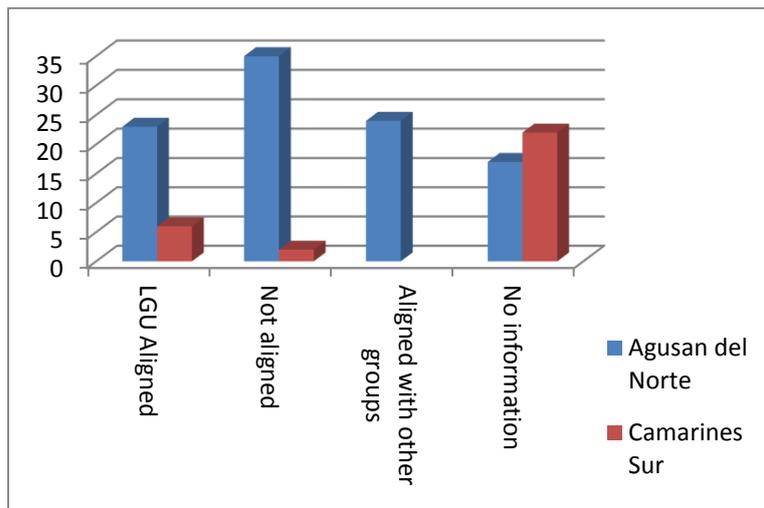


The analysis of CSO participation in Chapter VII of the report (Sections C and D), provides additional details on the types of organizations that engaged more actively with the BUB process at Municipal level. The research team found frequent links between participating CSO and the targeted LGUs. Table 4 and Graphic 2 below, however, highlight the presence of a broad range of civil society organizations in the targeted areas with a significant number of organizations either with no particular affiliation or found to be close to groups (including political groups) other than the LGU. While a full list of civil society organizations is presented in Annex I to this report, an overview of the CSO profile seems to indicate that the particular selection of “aligned” CSOs to engage in the BUB process is not a function of the absence of alternative groups at municipal level. These organizations are indeed present but maybe be less likely to be actively invite to participate in the planning process in the sites visited.

Table 4: CSO and LGU linkages by municipality (number of CSOs)

Municipality	LGU Aligned	Not aligned	Aligned with other groups	No information	Total
Buenavista	23	12	11	14	60
Butuan	0	23	13	3	39
Goa				22	22
Lagonoy	6	2			8
Total	29	37	24	39	129

Graphic 2: CSO Alignment with LGU (and/or other key groups) at Provincial level (number of CSOs)



## VI. PARTICIPATORY GOVERNANCE AS DEFINED BY THE JMCS AND WHAT THE REVISIONS ARE AIMING TO REALIZE

From Joint Memorandum Circular (JMC) 1 issued 8 March 2012 to JMC 3 issued 20 December 2012, the implementers of the BUB aimed to define a system by which participatory, data based development planning could be realized. From issuance to issuance, the JMCs worked to refine the membership of the LPRAP workshop especially with regard to inclusion of CSOs, the role of the RPRAP especially as provider of technical assistance, the preparation of CSOs with regard to effective participation in planning, the relationships of LGUs with NGAs and regional offices, the possibilities of LGUs implementing projects and requirements for LGUs to improve their fiscal competencies, monitoring and evaluations processes, and the expansion of data sets to be used for planning. The JMCs are documents that explain the understanding of the BUB implementers of the kind of governance they are trying to realize through the process of BUB implementation.

Reading the JMCs, one can see that they are clearly oriented toward realizing a certain participatory governance system as it was envisioned in the Local Government Code of 1991. There are two aspects of good, local governance that the BUB is trying to realize—fiscal autonomy and people's participation. In the area of local fiscal autonomy, the BUB is instituting a system by which local government units can plan for their own development investments and projects and by which they can access national government funds for these projects. Coming from the understanding that the people of the localities can determine and plan better their own development projects, the BUB has made the provision for the local government units to insert projects they deem development and anti-poverty priorities into the budgets of national government agencies. Thus, one area of focus of the JMCs and their subsequent revisions are focused on the data-based planning of a local poverty reduction action plan and the creation of a process for the smooth incorporation of the local priority projects in the NGA budgets. As will be seen in the table below, the BUB process is focused on ensuring that 1. projects are relevant to the poverty situation of the localities, 2. that they are relevant to CSO priorities, 3. that they respond to gender and environment issues and much as they are anti-poverty, 4. that they are coordinated well in the region and the national level, 5. that local government units receive technical assistance so that they can enhance their technical capacities in proposing and designing projects that will align with NGA systems and requirements. These are all designed so that an effective investment plan based on local knowledge is crafted by the localities and realized with the assistance of NGAs.

The other aspect of the BUB system is its establishment of a system where an empowered citizenry can participate in local planning and budgeting processes. This is a primary concern of the Local Government Code.<sup>2</sup> It seems to presume that if the local governments want to be able to effectively

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<sup>2</sup> Section 34. Role of People's and Non-governmental Organizations

Local government units shall promote the establishment and operation of people's and non-government organization to become active partners in the pursuit of local autonomy.

### Section 36. Assistance to People's and Non-governmental Organizations

A local organization unit may, through its local government units and with the concurrence of the Sanggunian concerned, provide assistance, financial or otherwise, to such people's and non-governmental organizations for economic, socially-oriented, environmental, or cultural projects to be implemented within its territorial jurisdiction.

Sec. 3 (1): The participation of the private sector in local governance, particularly in the delivery of basic services, shall be encouraged to ensure the viability of local autonomy as an alternative strategy for sustainable development

address the most fundamental development needs of their poorest populations, there must be a mechanism by which its citizenry, especially the most marginalized, are able to provide relevant input to the process because they know well their own situation and because they have to realize that they are stakeholders of the projects to be implemented. This is the reason why the JMCs make sure that the local Civil Society Organizations are involved in the process as stakeholders and resource persons. If CSOs are involved—and CSOs the JMCs define in a way that includes all organizations of citizens which represent their interest as stakeholders in the local government—in development and anti-poverty planning, this will ensure that the most relevant and potentially effective projects get proposed. But this process could also potentially build-up CSO stakeholderhood in the community which could lead to accountable and responsive local governance. Thus, we see how in the JMCs they build up local CSO participation by ensuring their meaningful inclusion in the LPRAP formulation. The JMCs also aim to institute systems by which these CSOs will learn to plan for and identify priority projects through trainings. The JMCs attempt to make provisions for these trainings by stating the necessity for them and by specifying the composition of the LPRAT.

One final aspect of good governance that the JMCs aim to enhance is the need for data based planning that takes into consideration the actual needs of the community. This planning process as defined by the JMC tries to lessen influence and power as the basis of planning by basing development plans on data sets that have been processed by the LGU and the local stakeholders. Thus, in each JMC, attempts are made to specify relevant data sets to consolidate, verify, and update in every round.

What the JMCs are trying to institute is really an enrichment of the existing governance culture in the localities. This targets the planning culture particularly. What the JMCs aim at is not mainly to ensure that national funds reach the local governments in an effective manner but that the local governance culture is enriched with a greater appreciation for the use of data-based participatory planning.

As we will see in this report, local governments and their constituencies are not yet used to participatory planning or data based planning. On the whole, we will see how the local development planning culture is based on the priorities set by the LGU. The LGUs in all the localities we visited have a development plan already developed by the local agencies and, more often than not, they find ways to include these priorities as the LPRAP priorities. The LGUs claim that this is because of a lack of time for the planning process. However, it may also be because LGUs and the local CSOs do not have enough training to consolidate and use relevant data sets that are sourced from different agencies and CSOs for development planning. On top of this, they may not have enough experience in participatory planning processes to implement these.

## VII. GENERAL FINDINGS AND RECOMMENDATIONS

### OVERALL FINDINGS

The BUB process was designed to have various components that ensure that there is sufficient data and technical assistance to guarantee that when anti-poverty projects are proposed, they are genuinely responsive to the lived situation and that they are rooted in real needs that are objectively determined. It was also designed to involve the CSO community of a locality in the planning of effective responses to the poverty situation of the community. This is achieved by, as per JMC Section 5 Guidelines, 1. Preparation for poverty reduction planning and budgeting, including the conduct of a city or municipal civil society assembly, 2. Conduct of the LPRAP Workshop, 3. LPRAP Endorsement of CSOs 4. LPRAP Adoption of Sanggunian 5. Submission of the list of priority projects to the DILG Regional Office (RO), 6. Consolidation of the projects by the DOLG RO, 7. Validation of the projects by the RPRAT, 8. Integration of the LGU projects in the

budgets of participating agencies. 9. Provision of LGU counterpart 10. Project Implementation. Thus, each step is designed to ensure that there is sufficient data input, genuine participation, and communal reflection on possible solutions to their poverty situation. Thus, from JMC 1 to JMC 3, the revisions were concerned with the improvement of the participatory and the data based aspects of planning.

## VARIATIONS IN IMPLEMENTATION

On the whole, the team saw that the BUB process was implemented with much variation in the two provinces. Variations in implementation were primarily rooted in the locality's appreciation of participatory, data based planning processes, and the involvement of CSOs in local governance. LGUs that have strong a strong CSO presence adhered more to the BUB process—at least with regard to its participatory aspects. We can say, the LGUs that had no appreciation of participatory planning processes, skipped the main, participatory planning steps and went ahead and proposed LGU priorities. The LGUs that had an appreciation of participatory planning implemented the process with some modification.

## NO MAJOR DIFFERENCE IN IMPLEMENTATION FROM ROUNDS ONE AND TWO

We must also point out that there was no significant difference in implementation between rounds one and two in our areas except in a few aspects of the process, and these changes were not those particularly intended by the JMCs. On the whole, the JMCs intended to strengthen the practice of data based and participatory planning. The additions and changes in the procedure were meant to include more and various sources in the processing of planning data, specify the support system (e.g. the RPRAT in providing training and data), and also encourage the more meaningful participation of CSOs (by making CSO representative a co-chair with the mayor, the suggestion regarding training for effective participation, etc.). At least, these were the changes to be instituted by the new JMCs that are within the scope of our study. (Other changes meant to improve the coordination between local agencies and the national government agencies and improve project implementation and monitoring, etc.). In the two rounds of implementation defined by JMCs 1 and 3, data gathering and utilization practices did not change significantly and participatory processes did not improve. This is because the practices being introduced by the JMCs are meant to transform the culture of planning and the expected adaptation of this new culture will not happen immediately—at least not in two years of practice. LGUs, especially those that have not engaged in participatory planning practices or who have not used data sets as the basis of planning, are not quick to take up new systems that will require them to plan based on a consolidation of various data sets. Also, LGUs that have not engaged CSOs will not be quick to accept the latter's increased participation in the formulation of the LPRAP, as shall be shown throughout the discussions pertaining to the BUB process which took place in Goa and Lagonoy in Camarines Sur. Thus, in our study, there were no substantial changes in the implementation of the BUB—and even the actual changes were not necessarily responses to the JMC revision.

In what follows, we will present findings per step in this process. In general, we can say that we had two different types of LGUs with two different governance cultures and these governance cultures determined the implementation of the BUB.

### A. PREPARATIONS AND INPUT TO PLANNING

## 1. GENERAL OBSERVATIONS:

*Local Investment Plans or Local Priority Projects were the most often used basis for formulating the LPRAP and the data base of this is always the data set that the LGU habitually uses for its planning or poverty mapping processes.*

The JMCs suggest that the following data sources are consolidated “in a relevant information, statistics and sex-disaggregated data set for poverty reduction planning.” (JMC 3 5.1.3) for the BUB planning process. The JMC 1 suggested that LGUs collect data using Community Based Monitoring System, Field Health Service Information System and National Household Targeting System. JMC3 adds the use of Socio-Economic Profile, Social Protection and Development Report, Operation Timbang Data, School Improvement Plans, administrative records of NGAs, the Participatory Situational Analysis Results (for Kalahi areas), and data from electric cooperatives on sitio and household electrification projects. The consolidated data is supposed to guide the prioritization of poverty projects. During the LPRAP workshops, these are also supposed to be presented and validated. The Comprehensive Development Plan, Comprehensive Land Use Plan (CLUP), Executive Legislative Agenda (ELA), and Annual Investment Program (AIP). CSOs are asked to validate the data and plans during the LPRAP.

None of our areas actually used these data sources in a systematic manner as intended by the JMCs. In sum, there were no pre-workshop data preparation meetings and the input to the LPRAP was mainly the presentation of unfunded priorities or the components of the local development plans of the LGUs. The only data sets used are those the LGU used to formulate its local development or investment plans. At least this is most true in round 1 because all the LGUs were rushing to meet the deadline of LPRAP formulation, as shall be shown below in the case of Butuan. One can say that all our respondent LGUs adopted their unfunded development and anti-poverty projects for this.

The usual procedure in the LPRAP workshops is that departments that deal with poverty and development issues present data to the group that they use in formulating their priority projects. These officers are usually the the Municipal Planning and Development Coordinator (MPDC), Municipal Health Officer (MHO), Municipal Social Welfare Officer (MSWO), Municipal Agricultural Officer (MAO), and the Department of Education representative (DepEd). The data they present is usually a rundown of statistics regarding the highest-ranking problems of their communities. This is the data set that they are used to presenting in the LGU. Also, especially in the first rounds, this was the data set that would justify the adoption of their investment and development plans. During the second round, the data sets expanded a bit more but in essence what was presented as data for consideration were the priorities of the LGU. These points shall be substantiated below.

In all of our study areas, we can say that instead of the prescribed data presentation process that the designers believed would bring about rational choices based on a clear picture of the poverty situation of the community, the presenters during the LPRAP workshops gave reports of the problems and priorities of the LGU. There was no prior data consolidation as recommended by the JMC. It is interesting that when pressed to explain what kinds of information were presented and used in the LPRAP, the respondents answered by presenting the list of problems. This indicates that they were not aware of any data presentation even if it was done and what was significant for them was the list of pressing issues and priority projects. This also indicates that, when asked to present data for planning and prioritization, the LGU instinct is to list priorities and issues. (The projects proposed for both rounds 1 and 2 of the BUB as per the LPRAP are in Appendix 6.)

From the discussions we could see that the LPRAP discussion did not follow the data gathering and presentation structure set by the JMC. Rather the discussions in the workshops went straight to a discussion on unfunded projects. This discussion on the unfunded priority projects is actually anticipated by JMC 1.(JMC No. 1 Series 2012, 7.2.1.1 and .3) However, the skipping of the step where the LRPAT is given a chance to see the locality’s poverty situation form a data based perspective could mean that the decisions about priority making will be colored either by the LGU or the groups in the community with a clear and articulated agenda.

## 2. SPECIFIC FINDINGS:

**Goa, Camarines Sur:** Based on the Round 1 LPRAP Workshop minutes (dated 28-29 March 2012), provided to the research team, reports from the Municipal Health Office (MHO), the MSWD, the Municipal Agricultural Office (MAO), and the Goa National High School Administration were presented during the LPRAP. From these reports, the LPRAT arrived at a “Finalization of Poverty Data” which eventually led to the identification of “Priority Poverty Reduction Projects” for Round 1. It is unclear, nonetheless, how the choice of which LGU agency would be tasked to report at the LPRAP was reached.

FGI results and KII data also reveal that municipal agency heads or their representatives presented data pertinent to their agencies during the LPRAP Workshop for Round 2. The MPDC was also said to have presented initial CBMS data (still subject to on-going validation) during the LPRAP Workshop. According to FGI participants, these data were said to have been used in the preparation of the project proposals that were presented to them for the Round 2 LPRAP Workshop. KIIs with the DILG Officer and MSWD Head, FGI with the MPDC, MAO, and Municipal Engineer confirmed that CBMS data as well as those from MSWD and from MHO were indeed used in identifying the project for Round 2. For Round 2, Goa LPRAT also used CBMS data from one barangay that had been validated, i.e. number of households, access to water and sanitation, livelihood.

No data was solicited from the CSOs since it was assumed that they did not have any pertinent data for the BUB. As the DILG Officer put it when asked if local CSOs can contribute to the data collection: “Actually naka-rely sinda sa government data. *Mayo man sindang sadiring data.*” (“Actually, they rely on government data. They do not have their own data.”)

Indeed, CSO representatives who participated in the FGD admitted to relying on the government’s data because they said they lacked the capability for building and managing their own database. This point, along with the repercussions thereof, shall be discussed at length later in this report under the section, “Conduct of the LPRAP Workshop” for Goa.

**Lagonoy, Camarines Sur:** In this municipality, data used for Round 1 was reported to have been solely sourced from the list of Kalahi-CIDDS Livelihood Community Development Projects. There was no presentation of data from MLGUs and other concerned parties or from the CSOs as ordered by the JMCs.

There was improvement, though, for Round 2. The data used for this round were taken from the yet to-be-completed Community Based Monitoring System (CBMS) and those coming from the Department of Social Welfare and Development (DSWD) regarding beneficiaries of the 4Ps program.

For the CBMS respondents mentioned the 13+1 CBMS format:

1. Children Mortality
2. Pregnancy Mortality
3. Malnourished Children (0-5 Yrs Old)
4. Number of Households (Hhs) W/O Access To Safe Water
5. Number of Households (Hhs) W/O Access To Sanitary Toilet
6. Households Who are Squatters
7. Households Living in Makeshift Housing
8. Households Victimized by Crimes
9. Households with/ Incomes below Poverty Threshold

10. Households with Incomes below Food Threshold
11. Households who Experienced Food Shortage
12. Unemployment
13. Elem School Participation
14. High School Participation

According to MPDC Lany Pesimo, “[g]inamit mi si CBMS data identifying the 10 Major problems digdi, including living beneath the poverty threshold, livelihood and unemployment.” (“We used the CBMS information identifying the 10 Major problems here, including living beneath the poverty threshold, livelihood and unemployment.”)

What is clear though is that the basic data used was the list of KALAHÍ unfunded priority projects. Pesimo explained that “[d]ahil kulang man sa oras, ginamit mi sa BUB round 1 si mga Livelihood Community Development projects kan KALAHÍ CIDDS. Sa round 2, continuation na ini kan ibang KALAHÍ CIDDS programs kan mga barangay.” (“Because of time constraints, we decided to employ the Livelihood Community Development projects of KALAHÍ CIDDS in BUB round 1. BUB round 2 is a continuation of the KALAHÍ CIDDS programs of the barangays.”)

The provisions on data collection were obviously not followed in this municipality. KALAHÍ-CIDDS data was the main source of information with regard to project priorities for both rounds. Information from the CBMS was not really used in identifying priority projects except to support the need for the KALAHÍ projects. Unfunded KALAHÍ projects were given priority and data in this municipality was understood as providing an already completed list of unfunded projects.

**Buenavista, Agusan del Norte:** Data used for Round 1 came from statistical data from 1. RHU (mortality, malnutrition, and morbidity rates, sanitary conditions, etc.), 2. DepEd (numbers of enrollees and numbers/conditions of classrooms, students, teachers, dropouts, 3. MSWO (NHTS from the DSWD, poverty incidence, population, sanitary conditions), 4. DA (data on agricultural production, heritage technologies, etc.), 5. CBMS from MPDO, 6. MENRO (Forest Land Use Plan, Watershed Use Plan, waste management).

For Round 2, however, no definite data base was used in the BUB-LPRAP. The data presented in Round 1 was neither presented nor reviewed here. The MLGU and barangays used existing data from their Annual Investment Programs (AIP) and the MPDC forwarded these as the LGUs suggestions as priority projects. The CSOs were then asked to propose projects based on this list and the felt needs of communities.

One noteworthy piece of information about this issue in Buenavista is that the LGU mistakenly thought, both in rounds one and two, that only CSOs could propose projects. And so all the projects they adopted were the CSO proposed projects. Given the JMCs concern for participatory exercises in all the BUB steps, the fact that CSOs were involved in this process of baseline data collection and the ensuing project proposal production may be considered as a positive development. However, the fact is that the proposed projects were aligned to LGU priorities.

**Butuan, Agusan del Norte:** In the city of Butuan, data for Round 1 was mainly collected from the Executive Legislative Agenda (ELA), which is part of the City Development Investment Plan (CDIP). Reports from our field research team say this was made the main source of baseline data since the participants were apparently pressed for time at this point and the CDIP was the most accessible source of data. It is reported that 80% of plans in Round 1 were already in the CDIP and were merely copied for the LPRAP. CSOs did not question the data. Two projects identified in the CDIP by the CSOs were carried over to the Round 1 plans: two electrification projects for sitios of barangays Libertad and Tiniwisan and the so-called Riverbank protection project. Although it is also mentioned that other sources of data were utilized such as the 1. data from line agencies concerning list of priority projects, viable projects with market potential and a list of projects aligned with the

Menu, 2. CHO: data on health which served as reference for a project concerning a comprehensive health profile of the city, number of children affected with particular diseases, number of barangays with and without health centers and health workers, 3. DSWD: data on Children in Conflict with the Law, number of 4Ps beneficiaries, livelihood projects for poverty alleviation, ultimately LGU priorities were the main source of baseline data for prioritization of poverty alleviation projects.

For Round 2, data used came from existing data from DA and PCA, since these were also the references for formulating project proposals for agriculture / farming even before this round of BUB-LPRAP. A notable development is that CSOs presented information concerning PO profile and data related to project identification per sector (urban poor sector presented data on the number of homeowners associations and the senior citizens sector also presented their concerns). At the end of the day, however, it was the CDIP that was mentioned as the main basis of plans.

### 3. RECOMMENDATIONS:

In order to ensure better use of data that will feed fair and informed planning, we recommend that a process be put in place that will allow the LGU to implement the data consolidation process with CSO participants in order for them to agree upon shared poverty indicators. Actually, the need for such a process is already defined in the JMCs, and in JMC 3 5.1.3 it was expanded to include CSO Data sets. However, the problem is not in the directive and how it defines the data to be collected. The problem is rooted in the lack of appreciation for data consolidation and use in planning processes. From our findings, it is clear that the local LGUs understand the presentation of data always to mean a presentation of the pressing problems in the LGU and a subsequent presentation of the list of unfunded priority projects. What is needed to cultivate the better appreciation of poverty and development data is a workshop to appreciate the need for data consolidation and verification and its use in planning. It would be good if the CSO participants can have a mechanism to participate in this process as the latest JMC calls for the input of CSO data.

There is a need for the next JMC to explain what kinds of activities will enhance data appreciation. This should be an essential part of the training specified in 5.1 which states that NAPC and DILG “shall organize various capacity building activities on constructive engagement and participatory planning and budgeting for CSOs and LGUs in coordination with the RPRATs.” We suggest trainings in these areas:

- The value of community based data gathering
- The importance of the CBMS and NHTS as a data source and targeting system
- Appreciating and consolidating multiple poverty data sources
- Using data in participatory planning processes

If this is not made clear and strictly implemented, data collection, as shown above may translate to the adaptation of ready-made lists of unfunded (and most probably politically partisan) priority projects.

## B. TRAINING

### 1. GENERAL OBSERVATIONS:

*LGUs received an orientation from the Regional Poverty Reduction Action Team (RPRAT) for BUB implementation mainly through the efforts of the DILG and NAPC. The training was mainly an exposition on the mechanics of the BUB as outlined in the JMCs.*

The RPRAT is tasked to “conduct orientation workshops for the LPRAT...on the bottom-up budgeting process particularly workshops that lead to the translation of unmet needs into project concepts.” (JMC 1) It is also tasked to provide guidance on use of NHTS, FHSIS, CBMS, Pantawid Pamilya Compliance Verification System, DOH provincial investment plans for health, and its program for geographically isolated and disadvantaged areas.(JMC No. 1, 7.5.5) It should also provide data from DAR, DA, DENR, DepEd and other government agencies for use of LPRAP formation.

In practice, the training from the RPRAT was only focused on the orientation of LGUs and some CSOs on processes involved in implementing the BUB. What was discussed in the one day orientations were the contents of the JMCs, the deadlines, the kinds of projects allowed, and the rules as stated in the JMC. The rationale of data preparation and consolidation and the necessity of participatory planning were not discussed. There was also no discussion with regard to using and reconciling poverty and development data and participatory planning processes. The RPRATs are very good at discussing the concepts and processes of the BUB including deadlines and procedures, as well as the official formation of LPRAT. They did not discuss the “tools of the LPRAP”—which would have included the value of and method for consolidating data, and also using the consolidated data in a participatory planning process. In Agusan del Norte, there was mention of some input on participatory planning but it was only a topic in a one day seminar.

## 2. SPECIFIC FINDINGS:

**Goa, Camarines Sur:** In general, there was no strict adherence to the JMC guidelines concerning LGU training in this municipality (for both Camarines Sur areas for that matter) for both rounds. The training done at the regional level was a meeting facilitated by a representative of DILG during round 1. Agency heads (MPDC, MARO, MSWO, MAO, MHO, etc) were all invited to attend sessions of the BuB which consisted of an orientation on the BUB process, and a discussion of JMC stipulations regarding “in-menu” projects and “off-menu” ones. For this orientation, the selected CSO participants were picked not so much based on their representation of poverty concerns but in terms of their CSOs positive relationship to the municipality: more specifically, the LGU chose to invite for BuB round 1, a CSO representative who was personally close to them, i.e., a retired MLGU employee who is now a CSO member of “Save the Tahanan Movement.”

For Round 2, FGD participants could not recall orientation activities specific to the BUB process other than the orientation given during the LPRAP Workshop held at the municipal office.

There is an obvious gap with regard to the training processes in this municipality. Though there was an orientation given by the RPRAT in Legazpi, it basically consisted of a rundown of basic information about the BUB. Hence, it would be difficult to say if there was indeed any “training”, in the strict sense as stipulated in the JMC, that took place in Goa.

**Lagonoy, Camarines Sur:** As per our research data, there was no LGU training that took place in this municipality. Based on the Lagonoy FGD, the only activity that may perhaps be assumed to contain activities that concerned “LGU Training” was the CSO assembly where the NAPC coordinator provided orientation on the BUB process, and highlighted the role of CSOs in the said process.

**Buenavista, Agusan del Norte:** For Round 1, training in this municipality was provided by the regional offices of DBM, DILG, DSWD and the NAPC Mindanao Coordinator. It covered the JMC 1 (specifically the BUB orientation, modules, guidelines, PPA and steps in organizing the LPRAT). This was held in Almont Inland hotel on February 2012.

For Round 2, training was provided by the DBM, DSWD, and the NAPC Mindanao Coordinator. Training consisted of an activity which asked the participants to create a project proposal and to

submit the list of priority projects that needed anchorage on the menu. This was held in the capitol compound on January 2013, facilitated by Mr. Johnny Serrano.

**Butuan, Agusan del Norte:** The training and orientation for LGUs for Round 1 on the BUB-LPRAP was provided by the regional offices of DBM, DILG, DSWD and the NAPC Mindanao Coordinator. It covered the JMC 1 (specifically the BUB orientation, modules, guidelines, PPA and steps in organizing the LPRAT). This was also held in Almont Inland hotel on February 2012 since this was the LGU orientation for the whole of Agusan del Norte. Hence both Buenavista and Butuan took part in the same LGU training provided by the same set of people/offices.

The second round of the BUB-LPRAP, which took place on June 2013, took on the following topics: Review of the 1st BUB-LPRAP results, Review of the guidelines, menus etc., Enhancement of the JMC, Discussion on the approved proposals and Special Purpose Fund (SPF) Workshop on project identification and proposal making for the SPF. This round was specified as being facilitated by NAPC urban poor sector representative Mr. Johnny Serrano.

### 3. RECOMMENDATIONS:

With regard to this issue, we suggest that the regional orientations are not just one day events but a series of orientations, especially in the first years of implementation. They should focus on poverty data consolidation, participatory planning processes, and development planning exercises. This can be done on the regional level and/or at the municipal level where trainings will be given according to the needs of the municipality. However, even if the trainings will be tailored to the municipalities, the data appreciation skills, development training, and appreciation of participatory governance processes should be standard training inputs.

In the JMC 3, the responsibility for organizing “various capacity building activities on constructive engagement and participatory planning and budgeting for CSOs and LGUs in coordination with the RPRATs” was mandated. (JMC 3 5) This was a good change considering that the RPRAT did not succeed in organizing other capacity building activities. However, even in the latest round, there was still a lack of such activities from the regional and even national coordinators. It is important thus for the JMC to specify, upon consultation with government and non-government entities that have experience in participatory, data-based planning, to specify what kinds of workshops and training activities can be given to the LPRAT from the regional actors. The activities and forms of training should center on the consolidation of data and its presentation for participatory planning activities as well as the values and methods of participatory planning exercises.

It is important that the RPRAT led by the NAPC and DILG take the lead in this kind of planning because, as we have seen in our study, the local LGUs need much guidance in this new form of anti-poverty planning that does not involve negotiations among stakeholders but relevant, data based decision making. The RPRAT should have a greater role in this because they will have the authority to bring the stakeholders into this kind of training and the capacity to draw various resource persons to realize the training. However, it might be important to train the RPRAT themselves in this. We will see later in this report that the RPRAT members in our different regions did not proactively offer any interventions in the enhancing of the LPRAT capacities through training exercises.

## C. CSO ORIENTATION

### 1. GENERAL OBSERVATIONS:

*It is our observation that CSO orientations were not implemented as specified and their potential for empowering communities was not realized.*

In JMC 1 CSOs and HDPRC member agencies were tasked to organize among themselves various capacity building activities including consultations for their meaningful participation in the CSO assembly and LPRAP. JMC 3 5.1.1 tasked the NAPC designated provincial facilitator to conduct CSO assemblies where they will identify and agree on projects and measures that they will push for in the LPRAP workshops. This was an important change because, as we saw, CSOs on their own still do not have the incentive, resources, or capability to engage the BUB unless they are encouraged to organize and participate in planning through good facilitation. These CSO assemblies were to be held separately from the LPRAP workshop. That said, we saw how CSO orientations were modified or passed up in the BUB implementation.

In the Camarines Sur areas, the first round CSO assemblies were not held and no preparatory activities were implemented. The LGUs went directly into LPRAP activities with only three to five CSO representatives present. In both Lagonoy and Goa, the NAPC facilitator failed to gather the CSOs into an assembly and LGUs went straight into the LPRAP with minimal participation. In Agusan del Norte there was a modified implementation of the CSO assembly because it was held as a workshop that flowed straight into the LPRAP. Both rounds of the BUB were composed of CSO assemblies that were held together with the CSO orientation and the BUB LPRAP compressed into one event.

These types of deviations/modifications with regard to the conduct and schedule of CSO orientations may be regarded as a concrete signal that LGUs and even regional agencies are still in the process of fully appreciating the rationale behind the JMC guidelines on this step. LGUs seemed to have resorted to what is familiar to them. The guidelines are clear. There must be a CSO assembly and even preparatory trainings for their meaningful participation in the LPRAP workshop. However, these were not carried out and in Camarines Sur, the CSOs did not have meaningful participation in the LPRAP.

It must also be noted that facilitation plays a key role in the goal of fulfilling the JMC guidelines. We saw in the Camarines Sur area, there was little outside organizing and facilitation of the CSOs so that they would come to an assembly and so that an assembly be properly implemented. In contrast, because of the active engagement of a CSO facilitator, Agusan del Sur had a well attended CSO assembly and had active CSO participation in the BUB activities.

## 2. SPECIFIC FINDINGS:

**Goa, Camarines Sur:** There was no clear delineation of the respective BUB steps in this area. The CSO orientation, and for that matter, any JMC mandated activity involving CSOs did not take place according to the JMC provision on organizing and training CSOs. The only orientation the CSOs received was from the Regional level orientation in Legazpi (refer to Section B, no. 2, Goa above). It was during the orientation that the Goa LGU realized that they needed two more CSO representatives to be signatories to their submitted LPRAP. As a result, when they returned to Goa, the MPDO invited two more representatives, one of which was a 4Ps Parent Leader as was required by the JMC. The other person invited was another retired MLGU employee who was now a CSO representative. However, our field data indicate that these CSO representatives did not receive a proper CSO orientation, nor was a CSO assembly conducted. The CSO representatives participated in the LPRAP formulation as mere signatories for the list of projects formulated by the LGU beforehand. CSO representatives that were invited to take part in the BUB proceedings are reported to be affiliated with the MLGU.

For round 2, the CSO Orientation, just like in round 1, did not take place. The FGD participants could not recall any orientation activities specific to the BUB process other than the LPRAP Round 2 Workshop. The proceedings that took place in this workshop shall be discussed in the next section

under the heading “Conduct of the LPRAP Workshop”. Suffice it to say that similar to round 1, the only pertinent involvement of CSOs in this locality was to be signatories for the projects prepared by the MLGU, It should be noted though that there was to a certain extent, “greater” CSO involvement in the LPRAP Workshop for round 2. Due to the explicit mandate of the JMC regarding LPRAT constitution, other CSOs were invited to be part of the LPRAT for round 2. This time, five CSO representatives were in attendance as compared to only one (and eventually three) that were “hoarded” in round 1. However, of the five CSO representatives in attendance, three were retired or former LGU employees. This piece of data suggests that at the end of the day, CSOs that were invited to take part in the BUB process were mainly those which have or had personal/professional affiliations with the local government.

**Lagonoy, Camarines Sur:** The only process that took place for BUB round 1 in this municipality is an LPRAP workshop which CSO respondents cannot recall where, when and how it took place (as per field data). The MPDC stated that a round 1 list of priority projects utilizing KALAH data was generated following a supposed round 1 LPRAP Workshop, which produced the approved LPRAP project list that amounted to PhP13.2 million (refer to Appendix 4). During the FGDs and KIIs, participants could not correctly recall the CSO Assembly for round 1, or were unable to distinguish round 1 and round 2 sessions. FGD participants also gave confused responses to queries as to where and when the said CSO Assembly/LPRAP Workshop took place. The confusion could not be clarified because of the lack of round 1 LPRAP minutes. The municipal administrator himself confirmed the absence of a CSO Assembly.

There was, however, a CSO orientation for round two. The NAPC, through its Regional Coordinator, facilitated orientation sessions with invited CSO representatives and other would-be LPRAT members (local agency heads). But this was only attended by 5 CSOs,

which were selected and involved in the process, presumably not so much for their sectoral representation but because of their personal links to the MLGU, e.g., the co-chair of the LPRAT is a long-time municipal official who has since retired and has assumed presidency of the association of senior citizens; or because they were politically neutral, e.g., religious leaders. This point is confirmed by field data which may be gleaned from the section below on “Conduct of the LPRAP Workshop” for Lagonoy (Sec. D, no. 2 Lagonoy). The CSO assembly conducted was only an orientation on the BUB process. No capability building workshops or seminars were held.

**Butuan, Agusan del Norte:** CSO orientation in Butuan for Round 1 was conducted by the NAPC, with the PPVR, DILG, DBM, DSWD, DA, DTI and DOLE last June 2012 in the Mazawa Inland Resort. Topics discussed included NAPC orientation, Objectives of the BUB-LPRAP, Roles of all Participants (CSO & LGU), and the NAPC-DILG Joint Memorandum Circular Workshop on Project Identification and Project Proposal Drafting.

The Round 2 orientation was provided by the NAPC contracted facilitator, assisted by the NAPC basic sector representative for victims of disaster and the NAPC basic sector representative for the informal sector, with the DILG. The activity was composed of a review of BUB round 1 results, review of the guidelines and menus, enhancement of the JMC, and discussions on the approved proposals and SPF. In the project identification and proposal workshop part, CSOs, having already federated (see “Conduct of the LPRAP Workshop” for Butuan below) already presented PO profiles and other data related to sectoral project identification (eg. urban poor sector presented statistics of homeowner associations and their availed projects, senior citizens sector presented their own proposals, etc.). It was held for two days at the Gazebo in Cabadbaran City on January 2013.

Despite having two CSO orientations, the only CSO assembly that occurred coincided with the municipality’s round 2 LPRAP, which was done in two separate occasions. There was a pre-assembly on 10 January 2013 at the LGU conference hall. The invitations for this were sent out two days before through text messaging and oral communication, although the official invitation letters were personally handed on the day of the meeting. The main assembly was done on 21-23 March

2013 at the Mazawa Resort. Further details regarding these two assemblies will be discussed later in the section on “Conduct of the LPRAP” for Butuan.

In general, CSOs in the city of Butuan agree that the BUB gave them a good opportunity to legitimately and effectively engage their LGUs: mechanics on how to identify projects, how to implement, how to participate and in what levels – BUB provided a clarification as to the directedness of actions and plans.

It should be mentioned though that since the Round 1 workshop was rushed, information regarding guidelines and requirements per NGA department for the CSOs were lacking – which reflected on their project proposals. Respondents suggest that the requirements for the proposals per department be submitted to their respective offices.

**Buenavista, Agusan del Norte:** Information about the CSO Assembly was disseminated through formal letters to all CSOs by the vice-mayor: one week before the assembly, and two days before through text messaging. The BUB CSO orientation for round 1 was given coinciding with the CSO Assembly by the LGU, facilitated by the NAPC-contracted facilitator, with two co-facilitators and a documentor. The facilitator discussed the JMC1 content, BUB-LPRAP orientation, process, planning, identification of projects based on barangay-based needs (health, education, agriculture, environment and social development) and facilitated the CSO selection for the LPRAT. More than 60 CSO leaders attended the assembly together with the LGU heads. This also occurs as the first activity of Buenavista’s LPRAP round 1. This orientation/LPRAP took five days to complete (the first two days being the CSO Assembly and Orientation and next three days being the BUB LPRAP workshop). This did not happen in five consecutive days but were spread out within a span of five weeks (one meeting per week in the course of five weeks). This round of the assembly was implemented this way because of the design of the NAPC-contracted PPVR facilitator, who made possible the gathering of CSOs and their being able to present proposals within a pace that allowed for more information processing in terms of JMC content clarification, data presentation and project proposal drafting.

With regard to project formulation, the CSO proposals and the *barangay* annual investment plans were matched to the menu of priority projects in the JMCs. Those that matched were selected and ranked, those that did not were temporarily shelved. The most useful information according to respondents was the JMC content.

Second round of CSO orientations, assembly and LPRAP planning were less organized, in the sense that invitations were sent late (the text message was only forwarded on the morning of the said activity), and there was less time for participants to prepare which resulted in less CSO attendance. It consisted only of a one day CSO assembly with the first half being a presentation of the BUB as defined by the JMCs and the second half being a proposal making activity. The event was facilitated by a last-minute replacement facilitator because the original facilitator’s contract with NAPC had already expired. The NAPC coordinator only asked the replacement coordinator to take over a few days before the event. However, the team received information that the real reason for the switch is that someone in NAPC questioned why the PPVR was the only NGO that was contracted to facilitate the BUB orientations in CARAGA. NAPC asked why there was no consultation or selection process held on who would facilitate the BUB in the cities and in municipalities. Because of this the PPVR then decided to forego its engagement with the NAPC and all the provincial facilitators did not renew their contracts.

Regarding participation, it seems that Butuan City and Buenavista present us with ideals for encouraging CSO participation. However, we must note that it is possible that these CSOs were able to federate and participate in the BUB process because they themselves were close to the officials of the LGU and may have caused the exclusion of other organizations that were not part of their organization. Although there is no proof of such exclusion, the participants in Buenavista, pointed out that CSOs in their municipality are somewhat affiliated with the Bayan and Akbayan political projects. Although on the whole the respondents did not feel that anyone was excluded from the

BUB, certain vague affiliations with NGOs or political entities with specific agenda could still affect the main goal of the BUB process, which is social inclusion in the planning and budgeting processes for local projects.

As a general observation for Agusan del Norte, it is noteworthy that the NAPC prepared well for the CSO BUB engagement by contracting a local network (the PPVR) to deploy facilitators for the assemblies for the CARAGA region, albeit the selection process of the facilitator was not made clear. NAPC also coordinated with the LGUs for the orientation activities. The program for the CSO assemblies was well planned and their conduct was well coordinated and ran smoothly in the first round when there was a group that was in charge of the CSO training component. This was the case as well because the CARAGA NGO networks were used to implementing participatory processes. However, there were problems in the second round because the hiring of the NGO network in charge of implementing BUB orientations was questioned by the NAPC national office. In addition, the CSO assembly was prepared rather late in the process by the volunteers.

### 3. RECOMMENDATIONS:

We can see, especially in the case of Buenavista, how the absence or presence of a good facilitator can affect the CSO assembly. Because, as compared to the organized assembly in Round 1, extraneous issues arose that led to the last minute substitution of the original NAPC-contracted PPVR facilitator, who, by all accounts was judged to be a competent facilitator by respondents who thought that the Round 1 BUB was facilitated well in terms of clarity of schedules and proper discussion of agenda.

We therefore recommend that there be provided competent and professional facilitators sourced from local CSO networks, government agencies, or academic institutions that are not involved in the LPRAT. Although every region is supposed to have a NAPC facilitator, one facilitator cannot run workshops in all the municipalities and prepare for these properly—especially if the schedule is tight and the trainings happen in one season. Thus, the JMCs must specify that local facilitators can be hired and it must very clearly state the qualifications of these facilitators and the process of their selection.

## D. CONDUCT OF LPRAP WORKSHOP

### 1. GENERAL OBSERVATIONS:

*LPRAP workshops are implemented in various ways, and most do not use data sets detailed in JMCs because the LPRAP adopts local investment plans*

As stated in the JMC 1, the mayor chairs the LPRAP workshops but it is facilitated by the RPRAT member in charge of the locality. However, in Camarines Sur this translated to the MPDO and in Agusan it was the facilitators. The LPRAP workshop should be a session or a series of sessions where the LPRAT formulate a local poverty reduction action plan that is based on relevant sex-disaggregated economic, social, and climate change vulnerability data. The LPRAP must also incorporate the poverty reduction strategies to be undertaken by the LGU and stakeholders and from this a list of priority poverty reduction projects must be proposed. JMC 1 and 3 are almost identical in their directives about these workshops except for the following changes. The JMC 3 added the CSO representative as co-chairperson of LPRAT, added representatives from CSOs—namely, leader of Parent-Teacher Associations, leader of an association accredited or recognized by any NGA, a leader of a women’s group, a leader of a basic sector organization, a leader of a basic

sector organization accredited by NAPC, a leader of other community or grassroots orgs, and a representative from the business sector. It also specifies that the LPRAT shall be composed of an equal number of government representatives (including the mayor) and non-government representatives. It should also be composed of at least 40% women. It also states that for municipalities which were previously or currently covered by the KALAHI-CIDDS Project, the KALAHI-CIDDS approach will be used in the steps for data consolidation and the planning workshop, to be implemented by the LGUs with the assistance of DSWD. Also, more input for LGU plans were added—particularly the Comprehensive Development Plan, Comprehensive Land Use Plan (CLUP), Executive Legislative Agenda (ELA), and Annual Investment Program (AIP). The JMC also now asks CSOs to be present particularly for data validation and as sources of data. The RPAT are expected to be the providers of technical assistance. The priority poverty reduction projects should be determined through a vote among its members. Finally, there is a new priority given to climate change mitigation, good governance, provision of basic social services, hunger mitigation, job generation and inclusive local economic development. All these improvements are meant to deepen both the data based and participatory planning aspects of the BUB. We see that both CSO participation is equalized and strengthened and the data sets for validation and updating are increased.

As already indicated in the points above, especially regarding the data input, LPRAP workshops were conducted differently according to their LGUs appreciation of participatory planning processes, CSO presence, and the availability of a facilitator. Even if the composition of the LPRAT is already specified and the process of data validation is determined by the JMCs, the conduct of the workshops is actually up to the facilitator—whoever takes on this role. In all cases, the LPRAP workshop was conducted as a general input of data from various agencies and the presentation of proposals from CSOs when present, and those present would agree on what project would be prioritized through a general consensus. The processes were participatory when CSOs were present and given a chance to engage the planning in a structured way. The process could have been a mere formality when the LGU had already determined its priorities and presented these for approval. In both LGUs of Camarines Sur, participatory processes were circumvented and the LGUs merely inserted their own priorities into the LPRAP priority list. Agusan LGUs, on the other hand, which tend to open in partnership with its CSOs allowed the CSOs to propose their own priorities—although it already directed these NGOs priorities to their investment plans. In these processes, we see different ways of priority setting, In Camarines Sur, there was the priority setting process where the various departments presented their priorities in education, health, sanitation, and the body (composed mainly of LGU officials) agreed to prioritize the LGU's unfunded projects. This was the same in both rounds.

In Agusan, the process was a little more participatory. In Butuan, the LGU was pressed to come up with a priority list within the quick approaching deadline. Thus, they merely submitted their development investment plan, but with the consent of all the CSO participants. In the second round, the CSOs had a proposal making workshop. However, their proposals were already aligned to the investment plan of the city which was provided beforehand. In Buenavista, the case was special because they LGU and CSOs had the mistaken belief that all the projects should come from the CSO proposals. This is why so much of their proposals came from the CSOs. In the second round, the LGU even tried to negotiate a 50-50 split for the BUB funds. But the CSOs insisted they propose all the projects, But even in this case, they were guided by the LGU to align their proposals to the LGUs unfunded priority projects.

In such a case, it makes sense that the data presentation in the workshops were focused on the presentation of LGU priorities. On one hand, the priority setting process seems to be more participatory in one case and less so in the other. However, in both cases, we could see how the CSOs who were involved in the decision making were groups known to and possibly influential to the LGU and how in the end, all the proposals were aligned to the investment and development plans of the LGU.

There are shortcuts in the prioritization process, and these shortcuts may be creative adaptation of the BUB process or they could be a bypassing of the process

There are no definite steps in the implementation of the LPRAP process. As can be inferred above, the LPRAP workshop should be held separately from the CSO assembly, its composition is determined, it is expected to have a process where data is presented and validated and even updated, it is supposed to be participatory and ensure the meaningful participation of CSOs, RPRAT members are present as consultants, and members should vote for the priorities. These broad strokes of the process are not followed in our target LGUs.

Camarines Sur LGUs skipped the participatory processes because they had no CSOs who were present to the LGU and the LGU did not appreciate the need for CSO participation except for the signatures of the required 3 signatories. Goa in round 1 only had three CSO representatives and the most active CSO representative was also a former MLGU employee. It was doubtful in the other representatives attended the meetings. In BuB Round 2, majority of the CSO representatives invited were former MLGU employees. Lagonoy's CSO representatives were allied or politically neutral CSOs. Excepting this, there is no indication that CSOs had been consulted or asked by the Lagonoy MPDO to assist the latter in planning development projects.

Another variation to consider in Lagonoy is the adoption of the unfunded KALAHÍ projects as the LPRAP priorities, The JMC 3 implicitly allows for the adoption of KALAHÍ projects for municipalities which were previously or currently covered by the KALAHÍ-CIDDS Project. It states that the KALAHÍ-CIDDS approach "will be used in steps 1-2 in the process enumerated above, to be implemented by the LGUs with the assistance of DSWD." And in JMC 1 7.2.1.1 "Cities and municipalities with CDP based on recent CBMS ...data may revisit the CDP and cull out anti-poverty programs that fall under the Menu of Programs." In these texts, the KALAHÍ unfunded projects can be the basis of some priority projects. Thus, Lagonoy used the KALAHÍ unfunded projects as its priority list. However, instead of supplementing the participatory aspect, it did this because there was no participatory process implemented by this LGU.

Agusan did not implement the participatory planning as specified in the JMC but this was a local adaptation of non-government Organization (NGO)- type planning. Still, both Agusan localities came up with LRPAPs which are adaptations of LGU investment plans.

## 2. SPECIFIC FINDINGS:

**Goa, Camarines Sur:** Official minutes of the Round 1 LPRAP Workshop showed that of the 31 individuals who took part in it, only one CSO representative had been present. The two others who acted as CSO signatories did not participate in the workshop. Only the Chairman of the Philippine Guardians Brotherhood, Inc. (PGBI), an organization of ham radio enthusiasts, had been indicated as present. The LPRAP Workshop for round 1, which was led by the DILG in Legazpi City consisted of the presentation of data from the Municipal Health Office (MHO), the MSWD, the Municipal Agricultural Office (MAO), and the Goa National High School Administration. From these reports, the LPRAT arrived at a "Finalization of Poverty Data" which eventually led to the identification of "Priority Poverty Reduction Projects" for Round 1. As mentioned earlier, it was unclear how the choice of which LGU agency would be tasked to report at the LPRAP was reached. This is the same activity mentioned earlier in the section under "Training" for Goa, which consisted of an orientation on the BUB process, and a discussion of JMC stipulations regarding "in-menu" projects and "off-menu" ones. For this orientation, the selected CSO participants were picked not so much based on their representation of poverty concerns but in terms of attachment to CSOs friendly to the municipality: more specifically, the LGU chose to invite for BuB round 1, a CSO representative who was familiar with them, i.e., a retired MLGU employee who is now a CSO member. No data was solicited from the CSOs during this session. To avoid confusion with regard to the succession of BUB activities, it should be remembered that in Goa, LGU training, CSO Orientation and the LPRAP

workshop were collapsed into a one day event which took place in Legazpi and facilitated by the Regional DILG officer.

The MPDO conducted the project identification part in the LPRAP round 2 workshop. FGI results and KII data reveal that municipal agency heads or their representatives presented data pertinent to their agencies during this activity. The MPDC was also said to have presented initial CBMS data (still subject to on-going validation) during the LPRAP Workshop. According to FGI participants, these data were said to have been used in the preparation of the project proposals that were presented to them for the Round 2 LPRAP Workshop. KIIs with the DILG Officer and MSWD Head, FGI with the MPDC, MAO, and Municipal Engineer confirmed that CBMS data as well as those from MSWD and from MHO were indeed used in identifying the project for Round 2.

Hence, for instance, the sanitation project was decided upon based on one CBMS report from one barangay. The LGU pushed for it since, based on that CBMS project, there was a clear lack of sanitation facilities. However, this reality that was drawn from one barangay was made a priority of the whole municipality. The approval of the project was not in strict adherence with the BUB implementation guidelines especially because there was no broad and deep data or discussion upon which the prioritization of the project was based. It was discovered by our team that the project was really determined by the LGU and that the CSO participants were used as mere signatories.

As reflected in our findings, a recently retired SB Secretary stated that during the Round 2 LPRAP Workshop, the focus had been on “health and sanitation” because of the validated CBMS data on one barangay which indicated that several households lacked sanitary toilets. Consequently, she recalled, the MPDC suggested the “water system project” (sanitary toilets with access to water source) during the LPRAP Workshop: *“Si Engineer an nag-present na igwang maa-araman na info na sa sarong barangay igwang arog kayan. Ano daw ngaya kun entiruhon ta na. Nag-uruyon man si mga yaon duman.”* (“It was Engineer who informed us that there was validated CBMS data available from one barangay [indicating the need for sanitary toilets.] He asked the group if they thought it a good idea if all households without a sanitary toilet were to be provided with one. Those present agreed.”) In that same FGI, a participant claimed that this was adapted because it was the priority of the mayor and no one contradicted her.

This confirmed narrative illustrates for us how data collection and use, the role of CSOs and its relation to the conduct of the LPRAT, as originally intended in the JMC were not followed in this locality. Although some respondents claim that there was data sourced from different agencies in view of fulfilling the requirements as stated in the JMC and the BUB process, and that CSOs were involved in the drafting of project proposals, at the end of the day, it was still the LGU agenda that was adopted.

In general, there was no strict adherence to the JMC guidelines concerning the conduct of the LPRAP Workshop in this municipality (for both Camarines Sur areas for that matter) for both rounds. The LPRAP workshop for instance in round 1 lumped together separate activities (LGU training, CSO orientation, LPRAP workshop) in one regional activity led by DILG. Meanwhile, the second round LPRAP workshop conducted in the municipal office was mired in controversy, as per our data from KIIs and FGDs mentioned above.

**Lagonoy, Camarines Sur:** In Lagonoy, there was no significant CSO representation in the formulation of the LPRAP for round 1. LPRAP workshops for both rounds took the form of the presentation of the top problems of the municipality. In round one, this was based on the KALAHI unfunded projects and these were adapted as the LPRAP priorities. In round two, they used the CBMS data which identified the “Top 3 Problems” of the municipality (among them living beneath the poverty threshold - 67.82%, living beneath poverty food threshold - 57.30%, and unemployment - 45.36%). In this round there were about 7 CSO representatives in attendance.

In Lagonoy, LPRAP Round 2 minutes showed that the DILG officer facilitated the discussion discussed the “salient points” of JMC 2; presented Round 1 priority projects; discussed salient points

of JMC 3; and facilitated the reorganization of LPRAT. However, field data show that it was actually the MPDC, who facilitated the workshop because that DILG officer is reported to have been just transferred to Lagonoy and was presumably unfamiliar with the people and the issues in the municipality. After this, MPDC also presented the 2012 CBMS data as indicators to determine top 3 problems of municipality; explained the need to align proposals according to NGA priorities identified by JMCs; and facilitated the identification/prioritization of programs and projects for BUB. From there the LPRAT, led by discussed the priorities to set.

The Lagonoy FGDs and KIIs reveal a general sense that the determination of priority projects for Round 2, led by the MPDC were decided by the CSOs themselves and that therefore, these projects represent the concern of the most marginalized sectors in the area (Refer to Appendix 4 for the list of projects). As an example, there was an approved priority project to provide 166 indigent senior citizens with social pensions requiring a total fund of PhP 1M during Round 2. However, it must be noted that the co-chair of the LPRAT is the president of the Office of the Senior Citizens' Association (OSCA). Upon closer inspection, however, the KIIs a participant and the 4Ps Parent Leader reveal that some sectors have been excluded from the process of identifying priority projects, and only CSOs allied with the LGU that were headed by former employees were represented. The parent leader, in particular, felt only utilized as a signatory of the approved BUB project but was never made part of the whole planning process. The 4Ps parent leader, admitted that they were only told to sign the LRPAP:

*"Pinapirma man sana ako sa proposal sabi kong ani sa kumpare ko si Kagawad Elen [SB Chair of Appropriations and Round 2 LPRAT member] kun dai dawa ko magsabit diyan. Ansabi niya man, pirmahanko daa ta makakatabang man ini."* ("I was just prompted to sign that proposal. I even asked my kumpare Kagawad Elen if I might get into any legal trouble because I signed the document. She said I should sign it because it will be of help to our community.")

Similarly, other signatory who represented transportations organizations averred that: *"[g]aro ang nasunod man lang duman si kagustuhan ni Engineer. Arog ka itong FMR sa Pinamihagan. Mga dakulang barangay kaya ito."* ("I think it was what the Engineer wanted which pushed through. Like in the case of the FMR in Pinamihagan which was done because of its being a very big *barangay*.") He continued: *"Garo for formality naman lang sipagpaapodsamo. Garo igwa naman talaga sindan inplano. Arog kadtong seawall sa east coastal barangay, garosa San Sebastian. Mayo man idto samga proposal kan mga nagdumanperotiglaagninda."* ("I think it was only for formality's sake that they called the CSOs. It seemed like they already had a plan. Take for example the proposal for a seawall in an east coastal *barangay*, in San Sebastian I think. It was not proposed by those who attended but it was put on the list.")

As may be presumed from preceding sections, the genuine participation of the CSOs was not fully realized in this locality: two CSO signatories claimed that they were just made to sign the BUB document as a practical requirement. They were not consulted with respect to the identification of priority projects or even significantly informed about the BUB process. It must be acknowledged, nonetheless, that they admitted to being invited to the LPRAP Workshop. Unfortunately, due to the late invitation and other responsibilities, they were not able to attend it.

Meanwhile, only those CSOs which have political ties with the LGU were given a role in the determination of the priority projects. These CSO leaders, such as the OSCA President, believe that the CSOs have been given genuine participation in the BUB Process.

At the end of the day, therefore, the municipality of Lagonoy is a prime example of a municipality which is obviously underprepared to take on the structures set forth in the JMCs for BUB. Without the proper apparatus for a systematic understanding of roles, responsibilities and processes on the part of CSOs and other agencies, the LGU (specifically the mayor) shall take the lead in the determination of priority projects and the other relevant BUB representatives, along with their respective functions in the BUB process as specified in the JMC, shall be either circumvented or modified in accordance with the motives of the LGU.

**Butuan, Agusan del Norte:** The Round 1 LRPAP, participated in by both the CSOs and the LGUs, involved importing most of the data from the CDIP-listed projects (specifically two rural electrification projects for *barangays* Libertad and Tiniwisan; and the project on riverbank protection). Also, the CSO key concerns were social, i.e., issue on the floods-displaced settlers and families; the urban poor livelihood project (hollow block making) was deemed very economically necessary for the core shelter project; the livelihood projects of log ban-affected areas (use of confiscated logs to produce school chairs) will provide jobs for displaced families. This somewhat substantiates the FGD participants' sentiment that the round was "LGU-influenced." The reason for the heavy borrowing of proposals from the CIDP may be the insufficient time for and preparedness from the LGUs and CSOs. The LPRAT respondents agreed that all of the projects, whether "LGU-influenced" or not, should undergo CSO validation, which makes the municipal's CSOs take a part in the BUB process. This indicates that felt needs guide and influence CSOs and LGUs significantly.

Moreover, after the first CSO orientation (which was part of the Round 1 LRPAP workshop in the field report), the CSOs (specifically the representatives of the urban poor sector, private sector, senior citizen sector and one other PO) realized they may end up as competitors (or they may eventually disintegrate), if they do proposals individually. Because of this, they federated themselves, elected their officials, defined their goals objectives, vision, mission, constitution and by-laws and programs of action for unity and cooperation. They then agreed to register this federation so as to be a juridical entity which will represent them in all activities related to the BUB and other matters of organizational importance. The City Mayor gave them a space as their office at the ground floor of the city hall. This federation was spearheaded by the Save Mindanao Movement, Inc., urban poor sector representative, private sector representative and the senior citizen representative. The groups already identified CSO representatives in the LPRAT.

The BUB-LRPAP Round 2, facilitated by NAPC-contracted facilitator, included the CSO assembly (with its pre-assembly meeting) as a major component. The pre-assembly discussed issues about economic, department administration, infrastructure and social services; and it also involved the presentation of a situationer. The pre-assembly was attended by 46 CSO representatives out of the 50 that were invited. Field reports discussing the assembly itself list that it was attended by representatives from the urban poor sector, 4Ps, women's sector, farmers sector, and IPs sector, and also the DepEd, office of the Mayor / Department Administration representative, a city mayor's representative, and a Committee of Appropriation representative.

The content of the pre-assembly was first echoed in the 3-day CSO assembly, and then reviewed and validated the presented data regarding LGU concerns in the BUB (given by DILG, CPDO, City ENRO, etc.) Since the CSOs were already federated by this time, they presented their output which consolidates all the projects that they have identified following the first Round BUB. The CSOs presented PO profiles and data related to project identification per sector (urban poor sector presented the number of homeowner associations and availed projects, the senior citizen sector presented proposals). From these data presentations, a fine-tuning of plans and programs were held. Elections for CSO representatives to the LPRAT also took place.

For this federation, representatives for 12 basic sectors were selected, specifically the sectors for women, farmers, senior citizens, youth, urban poor, PWD, 4Ps, IPs, cooperatives, private sector, transport group, informal settlers, and informal sectors. With regard to the election of CSO representatives for the LPRAT in Round 2, representatives for 12 basic sectors were selected (women, farmers, senior citizens, youth, urban poor, PWD, 4Ps, IPs, cooperatives, private sector, transport group, informal settlers, and informal sectors, though it is unclear whether those chosen previously remained as representatives or were replaced). The selection process was done by consensus for both instances, and before the first election process, there was the interim president to temporarily facilitate the proceedings.

**Buenavista, Agusan del Norte:** On February 2012, the LRPAP Round 1 (together with the CSO orientation and assembly, facilitated by the NAPC-contracted facilitator) was held in five days. First, the JMC 1 content (BUB mandate, menu programs, budget caps, representatives the LGU and CSO in

LPRAP) was discussed and the 25 *barangays* were assigned to submit their AIPS. The next day was used to present and discuss statistical data listed in the section above (“Preparation-Inputs to Planning” for Buenavista), whereby the proposals were matched to the menu. In the last days they finalized the list of priority projects for submission to the SB. Its main participants were the Mayor, 18 heads of offices, 3 CSO reps, 2 4Ps Parent Leaders, 1 women’s group representative, 1 IP group representative, the ABC president, and SB on appropriations. The main participants were selected based on the JMC and the mayor made an executive order to this effect. “The key participants were the 35 leaders of the federation, LNPL (supposedly 48 but were limited to 35 because of double representation), and the 60 accredited CSOs in Buenavista.” (League of NGO and PO Leaders advised by the Vice Mayor), which pre-existed the BUB and is very active in the Municipal Development Council since its institutionalization by the Vice Mayor. Due to this institutionalization, the CSOs somehow became the sole authority that monitors projects implementation. With regard to the election of LPRAT members, for Round 1, Jose Amoroso for the private sector.

Facilitated by NAPC-contracted facilitator, the BUB-LPRAP Round 2 (January 2013) took the same structure as the first Round, holding several events (CSO assembly and orientation) as one. What can be gathered from the field report was that the assembly-orientation also followed the structure of the Round 1 LPRAP. The discussions covered JMC content, orientation, and underwent discussions on drafting and submission of proposals.

### 3. RECOMMENDATIONS:

As can be seen in these findings, and as echoed throughout this report, the Camarines LGUs have little appreciation of participatory processes and tend to impose their own priorities into the LPRAP priority list. Agusan del Norte, on the other hand, seems to open itself to partnership with its CSOs and adapts its LPRAP to the priorities of these CSOs. Despite this being the case, it seems that in the end, the LGUs unfunded investment programs are those adapted by the LPRAP. Even when there is a strong CSO presence, there is a tendency among LGUs to convince their partners to align their proposals to those of the LGUs priorities. Again, we reiterate the necessity of having data based proposal making. But, as we see from the culture of investment plan based priority setting, the LGUs have much invested in their own processes of priority setting and will take much convincing to reorient their planning to be more genuinely participatory and data based. We reiterate, therefore, our suggestion that more trainings in data gathering and consolidation, and data based planning workshops be held.

Although we see in the implementation processes how LGUs and facilitators have creative ways of implementing the LPRAP workshop, and although we understand how these processes could actually be adapted to local ways of planning, we suggest that certain minimum steps be defined by the JMC as non-negotiable. If the JMC wishes to establish a new culture of participatory planning, it must define some necessary steps in the LPRAP workshop. These necessary steps must be studied with regard to which would encourage use of relevant data, review of data and proposals, proposal presentations, and project prioritization discourse.

We also note that in any case, representation of the marginalized is a little precarious and it is very possible for certain influential entities, whether CSO or LGU, to dominate the LPRAP process. Therefore, it is necessary to ensure that CSOs are well represented in the LRPAT and that its composition is not dominated only by certain groups. The JMC 3 has already specified groups that will have to be represented. There is no need to modify this. However, the implementers must make sure that these groups are indeed represented.

## E. TECHNICAL ASSISTANCE

## 1. GENERAL OBSERVATIONS:

*Technical assistance was provided by LGU officers and NAPC facilitator and local DILG representative.*

With regard to technical assistance, the LPRAT was asked to invite the concerned agency regional offices of the participating national agencies to act as resource persons and to provide technical assistance. (JMC 1 5.3) Also, the RPRAT is expected to conduct orientations and workshops that lead to the translation of unmet needs into project concepts. It should also take the lead in organizing workshops and “provide guidance in the use of additional evidence from CBMs, FHSIS and the Pantawid Pamilya Compliance Verification System to more precisely identify and locate PAPs. (JMC 1 7.5)

In JMC 3. 5, the DILG and NAPC are tasked to organize capability building activities for CSOs and LGUs. RPRAT members are also assigned to give technical assistance in formulating the LPAP.

The only discernible technical assistance provided for the LPRAP workshop was that given by the MLGU officials. This assistance was the data input and explanations on the priorities of the locality from the perspectives of their offices. In Agusan, they also provided support in proposal making of CSOs for instance with costing and format. The data they provided was the list of priorities they need to address from their various areas of concern: education, health, livelihood needs, etc.

Although regional offices of NGAs are supposed to be providing assistance in round 1 and RPRAT members in round 2, they are never mentioned in the provision of technical assistance nor are they perceived as partners in the BUB process. In Agusan del Norte, it was mentioned that they showed up but left after a while. RPRAT are only mentioned in the provision of an orientation in BUB processes. This is mainly because the Camarines LGUs already had their proposals prepared. Lagonoy, being empowered by the JMCs to include unfunded projects simply listed its KALAHI projects and other unfunded priorities. Goa used CBMS data which was taken to be a survey of needs and proposed its own unfunded priorities. Without a significant CSO presence in both workshops, it was easy for LGUs to merely present their unfunded priorities as the LPRAP list. Thus, no technical assistance was needed from the RPRAT.

On the other hand, there is the case of Agusan del Sur. Their LPRAP is a listing of LGU priorities based on investment plans or CSO proposals based on the LGU investment plans. Therefore, there was no need for technical assistance from the RPRAT because the local officials provided enough assistance for proposal formulation since the proposals were based on their own investment plans.

Technical assistance as defined in the JMCs is required when planning is carried out in the way defined by the JMCs. In the JMCs, the presupposition is that planning is based on poverty data drawn from various sources including the CSOs. In the actual LPRAP process, planning was seen as a process by which priorities of the LGUs were presented and affirmed by those present or they were the presentation of projects and programs that needed to be funded and were negotiated by those present. In such cases, technical assistance is less necessary because, on the whole, technical assistance is given to those who need technical input to plans that will be considered before these are formulated. But if plans are already formulated and need to be negotiated, data input and technical input are not as necessary.

Technical input will matter more when planning processes are more data based and participatory. It will require that parties enter the planning process not with the intention of pushing their own agenda immediately but with the preliminary openness to mapping the poverty and development needs of the locality based on multiple sources of data. Otherwise, technical input is needed in the phase where plans are actually formulated. And it seems that the LPRAP workshop is not the place where plans are formulated but negotiated.

**On Assistance regarding empowerment training:** As stated, the JMC 3 talks about empowerment training to be provided by the DILG and NAPC. These empowerment trainings are meant to build capacities for constructive engagement and participatory planning and budgeting (JMC 3 5.1) No such trainings occurred. These, as well as data based planning skills, are essential to the realization of an effectively planned LPRAP. Because, as we see in the JMC 3, CSOs are considered partners in verifying data and actively participating in the planning process.

## 2. SPECIFIC FINDINGS:

**Goa, Camarines Sur:** The only form of technical assistance received by this municipality was data presented in reports from the MHO, MSWD, NAO and Goa National High School Administration used for the RPRAP in Legazpi, which served as LGU's training and first round CSO orientation as already discussed above ("Training" and "CSO Orientation" for Goa). For the second round, the MPDO provided the LPRAT members with documents explaining "in-menu" and "out-menu" projects as per the JMC.

**Lagonoy, Camarines Sur:** The only mention of technical assistance from our field report pertains to DSWD data used for BUB LPRAP Round 2. As mentioned, since Lagonoy drew their project proposals from their unfunded KALAHI projects, it was the MPDC that unilaterally took care of all the necessary paperwork for the BUB process. Technical assistance, therefore although severely lacking may also be seen as "unnecessary" in the proposal of BUB projects.

**Buenavista, Agusan del Norte:** In Buenavista, no technical assistance was given other than data provision by the DepEd, RHU, MSWO, MPDO and MENRO. The Regional NGAs assisted at the regional orientation provided for the LGUs at Almont Inland on February 2012 (the same event covering the Butuan orientation). FGD respondents say that they have no idea as to whether or not an RPRAT was mobilized in their region. However, respondents seem to have an idea of what the RPRAT's functions are, i.e., that the RPRAT endorses proposals that are to be approved at the national level. For them, the endorsement process starts from the submission of the municipality, then to the province for the governor's approval and finally endorsed to the region.

**Butuan, Agusan del Norte:** In the city of Butuan, aside from the noteworthy presence of facilitators provided by the regional NAPC for the LPRAP Workshops, as well as the presentation of data from several government offices to facilitate the drafting of project proposals (despite the fact that most of the plans were sourced from the CIDP), it is mentioned in our field data that local agencies like the city engineering office, who provided data about the number of households that can benefit from electrification projects), were useful in the BUB process. The RPRAT, the line agencies and NAPC provided information about the JMC guidelines, budget caps and other related issues. These developments were said to the CSOs in project identification and planning. However, respondents note that participants should be trained on proposal making before the actual workshop for the process to run more efficiently. They feel that there should be pre-workshop and planning activities such as CSO consultations, FGDs and other activities to validate the plans per sector before going straight to the LPRAP.

## 3. RECOMMENDATIONS:

As the BUB progresses with its cycles of implementation, the RPRAT should be made available to all stakeholders as consultants for their proposal formulation which seems to occur prior to the LPRAP.

Their role as defined by the JMCs is already good for the subsequent stages when BUB areas begin to appreciate participatory, data based planning that does not begin with negotiations. Thus, the BUB implementers must again strengthen the appreciations of this kind of planning through data based planning workshops and data based proposal making workshops. The BUB is working to strengthen planning values and styles that are not inherently appreciated by the LGUs and the CSOs who are its stakeholders.

We recommend that the possibilities of giving assistance with regard to participatory planning be studied. This training will be supervised by the DILG and NAPC but should tap into local CSOs, NGAs, and academic institutions that have extensive experience in participatory governance training and participatory planning. Again, the topics should include the following:

- The value of community based data gathering
- The importance of the NHTS as a data source and targeting system
- Appreciating and consolidating multiple poverty data sources
- Conducting participatory processes
- Participatory planning
- Proposal writing
- Understanding NGA priorities
- Understanding and identifying gender and environment priorities
- Community/CSO monitoring and evaluation

## F. INTEGRATION IN LGU PLANNING

### 1. GENERAL OBSERVATIONS:

*In general, plans were integrated in LGU plans because they were the adaption of investment plans or unfunded priorities.*

JMC 1 5.4 states that “the expanded LPRAT shall also identify gender-responsive results-based priority poverty reduction projects to be funded by the LGUs and those which will be submitted to national agencies for consideration in their 2013 budget. The identified priority projects which will be funded by the LGUs shall later be formalized and included by the LGU in its Annual Investment Program and local budget.” JMC 3 5.9 further states the Provision of Counterpart funds: Highly urbanized: 30%, all other cities 20%, 1<sup>st</sup> -3<sup>rd</sup> class municipalities 15%, 4-6<sup>th</sup> class municipalities 5%. LGUs to provide 10% counterpart for FMR projects. 5.9.1 The counterpart to be provided must be sourced from LGU funds. This shall be formalized and included by the LGU in its 2014 AIP and annual budget.

Thus, we see how the LGUs have to offer a counterpart for all the projects and they themselves have to be convinced about the efficacy and worthiness of these to their localities. Our findings show that the local governments have incorporated the LPRAP into their plans at least to the extent that the counterpart funding was approved.

As discussed, LPRAPs were formulated in different ways in different areas but essentially, these were adopted LGU investment plans or unfunded KALAHÍ projects. Therefore, there was no real issue in LGUs adopting priorities.

## 2. SPECIFIC FINDINGS:

**Goa, Camarines Sur:** In Goa, LPRAP projects fit exactly with the LGU and municipality projects, if only because health and sanitation projects consist of the mayor's agenda. As already discussed above ("CSO Orientation" section for Goa), the sanitation project drawn from the CBMS data, and incidentally revealed to be the mayor's project in the first place, was the project proposed for the BUB. When it reached the RPRAT, however, it was rejected initially because of incorrect identification of fund source. According to FGI data, the RPRAT returned the proposal to the LPRAT for revising the project fund source heading to DOH and not to DILG.

**Lagonoy, Camarines Sur:** In Lagonoy, LPRAP projects fit exactly with the municipal development plans, as the LPRAP projects are LGU-listed priorities. The data used for BUB were taken from the yet to-be-completed Community Based Monitoring System (CBMS) and from those coming from the Department of Social Welfare and Development (DSWD). According to the MPDC, "[g]inamit mi si CBMS data identifying the 10 Major problems digdi, including living beneath the poverty threshold, Livelihood and Unemployment." ("We used the CBMS information identifying the 10 Major problems here, including living beneath the poverty threshold, Livelihood and Unemployment.") However, the real data that was used in the drafting of projects was data gathered from the pre-existing Kalahi-CIDDS Livelihood Community Development Projects.

**Buenavista, Agusan del Norte:** There was close coordination between NGOs, POs (via the LNPL) and the LGUs in crafting the proposals (though without the corresponding budget) for city development plans. Recall that the LNPL pre-existed the BUB, and was institutionalized by Vice Mayor Bungabong to be part of the Municipal Development Council. As such, NGO- and PO-led plans have dominant presence in BUB. The LPRAP also incorporated the project proposals (AIPs) of 25 barangays, which were then matched to the menu. In terms of the Local Counter Contribution allocated by the city / municipality for identified investments, the field data reports that Buenavista LGUs normally practiced counter parting at 10% per approved projects, but is committed to allocate 20% contribution to all identified and approved proposals.

**Butuan, Agusan del Norte:** For Round 1 LPRAP in Butuan, the CSO clearly worked hand-in-hand with the LGU to lobby for the DENR-partnered project (3.5 million peso Agusan riverbanks protection project), since these and other plans were already present in the CDIP (along with the two other electrification projects that were noteworthy as discussed in the section "Preparation-Inputs to Planning" for Butuan above. It is not only these two that were imported from the CDIP, since, as was reported previously, 80% of the plans in Round 1 were already in the CDIP and got carried over to the LPRAP. These projects, according to field data, seem to undergo a "tailor fitting" to suit the city development plans. The existing municipal development plans therefore are heavily integrated to the LPRAP in this municipality, as also evidenced in the Round 2 plans also referring to the CDIP. However, in this round, the LPRAP projects also reflected PO's plans and peoples' agenda. In terms of the Local Counter Contribution allocated by the city / municipality for identified investments, the field data reports, the LGU counterparting 30% for the whole RPRAP, except for the FMR projects, which only got 10%.

## 3. RECOMMENDATIONS:

In both regions, there was no problem integrating the LPRAP into the LGU budgets because the LGU felt an ownership for both. In neither area has the issue arisen if the integration would be as smooth

if there were plans that CSOs proposed that the LGU felt strongly against. This has not come about in our areas of investigation because the CSOs in Camarines Sur did not propose any project but one, which was proposed by the LGU allied senior citizens group. In Agusan, CSO proposal making processes were integrated into the whole city and municipal investment plan and so were acceptable to the LGUs.

Interestingly, some of these proposals presumably came from the community through the KALAH I programs unfunded projects. In these cases however, there was no opposition or rejection of the LGUs since it was them who proposed the unfunded KALAH I projects as can be gleaned in the case of Lagonoy. Again, these issues can be improved if there were workshops that presented the value of participatory data-based training. And again we reiterate the following trainings. We also reiterate that most of these trainings are defined by the JMC 3 as the responsibility of the RPRAP.

- The value of community based data gathering
- The importance of the NHTS as a data source and targeting system
- Appreciating and consolidating multiple poverty data sources
- Conducting participatory processes
- Participatory planning
- Proposal writing
- Understanding NGA priorities
- Understanding and identifying gender and environment priorities
- Community/CSO monitoring and evaluation

## G. KALAH I INTERFACE

### 1. GENERAL OBSERVATIONS:

*The inclusion or complete adaptation of KALAH I projects into the priorities list*

As mentioned, the JMC 1 and 2 allow for the insertion or inclusion of the KALAH I projects as priorities in the BUB. This is especially because the planning process can be used for the CSO assembly and data gathering. In this way, KALAH I can take priority in the KALAH I areas. This is useful if indeed the KALAH I process has given a voice to the communities and their needs, and if it has contributed a more participatory process to the BUB. However, it is possible for the KALAH I process to also supersede other voices in the municipality. This is especially true of the sectoral concerns that need a municipal response.

In Camarines Sur, Lagonoy prioritized their unfunded KALAH I projects in the LPRAP list since there was no LPRAP workshop with a significant CSO presence in round 1. Although Buenavista was also a KALAH I area, it seems that with their more significant CSO participation, there was no such substitution. While it is good to find alternative funding for KALAH I projects (considering this was actually allowed by the JMC) the implementers have to ask themselves if such substitutions do not tend to replace the participatory, planning aspects of the BUB. The KALAH I interface is meant to bring the barangay perspective into the planning process. This aspect of the interface should be done creatively.

## 2. SPECIFIC FINDINGS:

**Lagonoy, Camarines Sur:** As already discussed earlier, in Lagonoy, data gathered from the KALAHI-CIDSS were put to use in both rounds. As the MPDC explained, “Because of time constraints, we decided to employ the Livelihood Community Development projects of KALAHI-CIDSS in BUB round 1. BUB round 2 is a continuation of the KALAHI-CIDSS programs of the *barangays*.” ([D]ahil kulang man sa oras, ginamit mi sa BUB round 1 simga Livelihood Community Development projects kanKALAHI CIDSS. Sa round 2, continuation na inikanibang KALAHI-CIDSS programs kan mga barangay.”) Here we see that KALAHI plans were considered the basic data input on which to base their plans.

## 3. RECOMMENDATIONS:

Designers need to ask themselves how KALAHI and BUB can interface without this discouraging participatory planning on the municipal level. If LGUs will tend to just adapt KALAHI projects for their LPRAP, then there will be no further need for a separate BUB planning. However, this trend could marginalize other sectoral groups in favor of the needs of particular communities. The adoption of pre-existing KALAHI plans may seem rational especially if these projects really reflect the needs of the community. However, if the KALAHI’s system is not clearly differentiated from the BUB, then the entire participatory intent of the BUB (paying special attention to CSO involvement) might be circumvented in favor of plans that are easier to use since these were already drafted prior to the LPRAP, for instance.

However, the JMC does allow this interphase and it could be fruitful in enhancing people’s participation. We would recommend that the JMCs clarify the conditions of it and other unfunded priorities’ inclusion in the RPRAP. The JMC must clarify that the inclusion of such priorities is possible if they are once more verified and affirmed by the LPRAT in a properly conducted LRPRP workshop.

## H. OTHER GENERAL RECOMMENDATIONS

*More time is needed to realize participatory processes*

In both rounds, LGUs had only 1 month to effectively implement the BUB. More time is needed to implement participatory planning. This is perhaps the reason why some municipalities failed to implement the planning process properly.

*Improve participatory processes through structured, discursive processes*

There should be structured participatory processes that allow all persons involved in the BUB to contribute to it. There are inherent dangers in subverting the participatory and inclusive character of the BUB in its implementation. In Camarines Sur, we can see how LGUs only invited CSOs run by persons close to the LGU—whether due to a lack of appreciation of the CSO presence in their community or a lack of desire to be inclusive—and in Agusan del Sur, federated CSOs dominated the process (please see CSO profiles, APPENDICES 4 and 4a ). Clearly, the latter case is more desirable because it shows greater participation. However, it is possible that other, non-federated, non-NGO groups were excluded from the planning process. There is no evidence for this, but it is possible especially since these federated CSOs already had a voice in the community.

*BUB planning can be improved by introducing participatory analysis processes and discourse processes that allow the dialogue of CBMS, CSO, and LGU generated knowledge*

In the sites we have seen, there is no creative interface between the sources of knowledge. Data is presented without processes that systematically allow these data sources to be brought together in a coherent manner that will enhance the basis for planning.

#### ADDITIONAL POINTS REGARDING PARTICIPATION

As we noted, part of the success of this process is not just its capacity to strengthen local fiscal autonomy, but its ability to strengthen participatory governance, particularly participatory planning. In this section, we emphasize certain insights about the empowerment and participatory aspects of the BUB implementation.

*CSOs will engage the BUB process when LGUs and NAPC provide them with the venues for engagement:*

Goa and Lagonoy show very weak, even non-existent CSO participation because LGUs do not show an appreciation for their participation and do not open avenues for meaningful participation. In fact, the LGU did not call for CSO assemblies and did not invite groups outside of those NGOs that are run by people closely associated with the municipality. No NGOs or CSOs on their own initiated contact with the LGU for this activity nor did they attempt to engage the LGU. This is because there in Butuan and Buenavista, there were strong CSO communities involved with the LGU that could be called on to engage the BUB process. However, it seems what encouraged participation more was the presence, at least in round one, of an organized group that designed participatory activities oriented toward participatory planning and budgeting. When the organized planners for these activities were lost in the second round, the process was not as successful in involving CSOs. This shows us that many CSOs still depend on the actions of implementing agencies to stimulate and structure their participation in governance systems. Thus, much of the success of BUB processes is still dependent on the actions of government agencies even if there is no active CSO presence in the community. There is a need of an external facilitator to stimulate and motivate organized participation in governance.

*The existence of CSOs and their active presence in the LGU is a contributing factor for participation:*

As noted in the previous point, it helps to have an active CSO community that is engaged with the LGU. Goa and Lagonoy don't seem to have a community that is active in governance activities. Thus, there were no groups to object to the fact that participation was bypassed in the process. There is no possibility for such exclusion in Buenavista where there is a large CSO community that is aware of goings on in the LGU. This is mainly because these CSOs have development advocacies that naturally make them engage their LGUs.

*CSO empowerment mechanisms such as trainings and venues for free discourse can be effective means to encourage meaningful participation:*

In Camarines Sur, there was an almost total absence of trainings and CSO orientation processes. There was even an absence of required activities. There seemed to be no facilitator to gather the CSOs and help them meaningfully engage the LGU. It was the LGU that appointed its own CSO representative to the LPRAT because no one organized a CSO assembly. However, we see in Butuan and Buenavista that at least in round one, activities were well organized and CSO groups had a chance to genuinely engage in planning activities that encouraged them to formulate plans. The participants still hoped for more training to enhance participation but considered the first planning sessions a good start.

*When the process is left to LGUs, they still are focused on compliance and not process:*

We have a perfect example of this in our contrasting areas. Albay is an example of how because there was no pressure from the national government or the CSOs to implement the project

according to its empowerment provisions, they implemented the BUB without involving more than the minimum number of representatives. In Buenavista and Butuan, because the LGU is supportive, the NAPC active, and the CSO community invested in their local government, they did more than just implement the project with minimum compliance. They went through various planning activities that allowed these groups to be involved in LPRAP formulation. Because of this, their LPRAP was influenced by CSO proposals.

## VIII. CONCLUSION

The BUB process as defined in its implementing memorandum circulars is an innovative anti-poverty, budgeting and planning tool. It allows both for people's participation in development planning and also encourages the development of local fiscal autonomy through systematic planning. Toward this end, the JMCs provide guidance toward realizing the goals of systematic and cooperative planning so that local projects responsive to the poverty situation can be factored into the budgets of national government agencies.

On the whole, the JMCs provide a general description of how the process can be accomplished, who should be involved, and how the plans are to be prepared. From the targeted study, we see how this guidance was sufficient to introduce the project, explain its goals, and lead the participants to produce an output. The JMCs were also very specific about how data was to be gathered and validated. The JMCs also explain that support is to be given to the LPRAT in the realization of these aims.

The process of systematic and participatory planning is complex and demands more than just a step-by-step procedure. What it needs, especially when it is introducing the process to LGUs that do not have an appreciation and awareness of participatory planning processes, are specific activities that are going to ensure that the implementing agents have the proper skills and capacities to carry out the JMC directives. Technical training and capability building for concerned parties are essential and non-negotiable steps if the BUB is to be a sustainable anti-poverty and pro-peoples' participation program of the government. The roles of each stakeholder along with the relationship of each participant's role with that of others must be clarified by experience participatory and empowerment training designers and facilitators.

Capacity building activities during the social preparation stage for involved parties especially for areas with no prior community-driven development experience and those with weak LGU-NGA-CSO-PO networks are necessary in order to ensure that steps undertaken within the process are faithful to the technical requirements found in the JMC, such that participation is effective and meaningful.

From our studies, we saw how the LGUs complied with the JMC directives but had the tendency not to realize the full potential of the BUB process—especially with regard to systematic planning and participatory processes. This may be because on the whole, the LGUs looked at the BUB as another way to access national government funds with different requirements. Thus, they were less focused on the process and more focused on fulfilling the requirements.

This may be the problem of training and an education on the value of people's participation in planning. Most of the poorest LGUs probably have not had experience with systematic, data based, participatory planning. Their plans are most probably based on and were the results of negotiations between political forces and constituents.

Left to themselves, participants without proper orientation and training from NGAs, NGOs, and LGUs, especially those which come from the non-government sectors, are likely going to be confused about their roles within the BUB process and will usually fall prey to certain agenda imposed by either their influential peers or the LGU itself. If stakeholder representatives such as the 4Ps parent leader in Lagonoy cited above do not receive sufficient orientation and training with regard to the dynamics of the BUB, then the whole point of the enterprise will be lost. Those who lack information are likely to succumb to peer pressure, especially if the person lobbying either uses a set of technical vocabulary they don't understand or simply appeals to their good conscience and assures them that their signature will do the community a great service. Without proper appreciation of the discursive and consultative spirit behind the BUB, LPRAP workshop stakeholders essentially alienate themselves from their stake in the process that would directly benefit from the proposal.

If the NAPC and BUB are insistent that data based development planning and participatory planning be the focus of the BUB then they must invest in three vital things:

- Facilitation—in introducing these new skill sets and values, facilitation is necessary. There must be an external facilitator with the authority of the national government to guide LGUs in realizing the effective procedure to data based, participatory planning processes.
- Menu of Trainings—the LGUs going through BUB must have a core set of activities that are non-negotiable that will introduce the value of and basic skills of data based participatory planning. But there was also be a menu of possible trainings that will suit various LGUs with various levels of exposure to data based participatory planning.
- Trainings on collecting, consolidating, and applying datasets to participatory planning processes—BUB implementers must design workshops to ensure that data sources can bring together a shared understanding of poverty and how to address it most effectively — this can be solved by designing a dialogical process where stakeholders could level off on data and how to incorporate it. As it is, CSOs are mere agents to validate government data instead of being partners in defining poverty and effective responses to it.

BUB implementers must also allow for various partnerships with experienced groups for training and facilitation—it seems regional facilitators are best able to function when they can tap local resources for training.

Finally, BUB implementing agencies must conduct a study to explore the variations on the implementation in order to discover the local applications of the program and understand what is effective in realizing data based, participatory planning. It is possible that variations on the JMC defined systems can show what procedures are able to more effectively realize participatory processes or which means are more appropriate for filtering and consolidating data, making it more meaningful for its final users.

The BUB is a nationally defined system that is meant to be applied in areas where data based development planning is not widespread. After all, these are some of the poorest municipalities in the nation whose data is lacking and whose data collection systems are only beginning to be developed. They therefore need more attention with regard to training in data collection and appreciation in development planning. On top of this, these LGUs are being asked to apply participatory governance processes to this development planning. As we have seen, some of the LGUs have minimal experience in and appreciation of participatory planning. Some areas may not even have organized groups to speak of. Therefore, they need careful support to realize the aims of the BUB program. If they are encouraged to do so, the BUB will realize some of the most essential aspects of good local governance: it will expand opportunities for local fiscal autonomy, it will strengthen people's participation in local governance, particularly development planning, and it could make government spending more responsive to local needs and more effective and relevant to poverty alleviation.

The JMCs on the whole were effective in defining the principles of bottom-up budgeting. If we look at every issuance, these JMCs defined how localities were to plan based on data sets. They also determined how LGUs and CSOs would interact and how they would plan together. Additionally, they clearly determined the composition of the LPRAT, the RPRAT, the agencies responsible for technical assistance and coordination, as well as how projects would be realized and by whom. They do not specify, however, how to get from a non-participatory, non-data based planning culture to a participatory, data based culture.

It seems that this failure to enact the planning system determined in the JMCs is not the lack of directive but the lack of understanding on the part of the LGUs regarding which is demanded of them. With regard to anti-poverty and development project proposals, their default mode is to refer back to the investment and development plans determined by the local government agencies. This is only natural because these are the unfunded projects that they have prioritized even before the LPRAP was required of them. Thus, with the advent of the BUB, they try to convince the LPRAT that these investment plans are what need to be funded. Thus, the task of the JMC is to convince the LGUs that there is value added in the new process and that it is not just another procedure and another set of requirements in the acquiring of national government funds. Only effective trainings and workshops can do this, because as the LGUs go through a progressive process of trainings and workshops that will build on their skills and appreciation of data based participatory planning, they will deepen their appreciation of the process and their willingness to go through its steps.

Subsequent JMCs must have a defined, non-negotiable set of trainings that are essential to the conduct of the BUB and set a menu of trainings and workshops LPRATs can choose from.

Also, the JMCs must determine the tasks of the regional facilitator and ensure that there are enough coordinators to mobilize CSOs in the region. We see that in regions where CSO engagement is low, there have to be facilitators that encourage them to participate in the process.

In many of our areas, the least interested and engaged are the 4ps mothers. These are the women who are part of the most marginalized groups in the community and they are also the ones who are possibly some of the most valuable resource persons in the LPRAT. However, because of their lack of knowledge and training, they see the LPRAP as confusing and may not know what is going on and how they can make an impact. This shows how there is a need for specific empowerment training programs especially for the most marginalized groups.

#### ANNEX I – OVERVIEW OF CIVIL SOCIETY ORGANIZATIONS (PER MUNICIPALITY)

CIVIL SOCIETY ORGANIZATION	LOCATION / ACTIVITIES / ADVOCAY DETAILS	ALIGNMENTS (POLITICAL / OTHER CSOs)
BUENAVISTA, AGUSAN DEL NORTE		
1. BWSA (Buenavista Women's Informal Sector Association)	Bgy. 1 Buenavista / coco vinegar	Pro-administration/ ND-influenced / Gabriela
2. Senior Citizen's Federation	Bgy. 1 Buenavista / rights advocacy	Pro-administration/ ND-influenced / Veterans Freedom Party
3. SCFO (Guihao-an Small Coconut Farmers Organization)	Bgy. 2 Buenavista / PCA-initiated organization, beneficiaries of PCA projects	Pro-administration / ND-influenced / UMAN-KMP <sup>3</sup>
4. Buenavista Barkadahan Basketball Club, Inc.	Bgy. 2 / sports	none

<sup>3</sup> Unyon sa Mag-uuma sa Agusan Norte – Kilusang Magbubukid ng Pilipinas

5. Barangay Health Workers Association	Bgy. 3 / health advocacy	Pro-administration
6. Cayetano Amoroso Sr. Foundation, Inc.	Bgy. 4 / education scholarships; philanthropy	Pro-administration / AKBAYAN (Pandayan)
7. New Neighborhood Association for Women	Bgy. 5 / women's livelihood	Pro-administration
8. BAUG Agrarian Reform Multi-Purpose Cooperative, Inc.	Bgy. 6 / credit and production loan for farmers; service and marketing assistance	Pro-administration / AKBAYAN (Pandayan)
9. (BAFA) Bgy. 9 Fisherfolks Association	Bgy. 9 / small fishers rights advocacy	Pro-administration / ND-influenced / PAMALAKAYA
10. Buenavista Trisikad Operators and Drivers Association	Bgy. 9 / Trisikad rights	Pro-administration
11. Abilan Farmers AR-MPC	Abilan / farmers' and cooperative rights	Pro-administration / ARC
12. Abilan Farmerns Association	Abilan / farmers' rights and multisectoral advocacy	ND-Influenced / UMAN-KP
13. Almofo-Alubihid Masipag Farmers Association	Alubihid / farmers' and cooperative advocacy	AKBAYAN (Pandayan)
14. RIC-Highland Credit Cooperative		
15. Almofo-Alubihid Mountain Crest Farmers Association		
16. Agong-ong Farmers Association	Agong-ong / farmers' and irrigators' rights advocacy	none
17. Cacia Irrigators Association		
18. GUWafa (Guinabasan Watershed Farmers Association, Inc.)	Guinabasan / farmers' and environment advocacy	ND-influenced / UMAN-KMP
19. Bugta Farmers Association		
20. Guinabasan RIC / Guinabasan MPC		
21. MBLWA Inc. (Malunhaw, Lumboyan, Balatakan Watershed Association, Inc.)		
22. MECCA (Macalang Environmental Farmers Community Association, Inc.)		
23. MMDEVCO (Malacang Mountain View Development Cooperative)	Macalang / farmers, livelihood, environment, cooperative and youth advocacy	Pro-administration / AKBAYAN
24. Malacang Farmers Association		
25. Youth Sector		
26. NMMFO (Navintalan Matabo Masipag Farmers Organization)	Matabao / farmers, livelihood, fisherfolks, women, sustainable agriculture,	None / AKBAYAN (Pandayan)

27. MATODA (Matabao Tinago Operators 7 Drivers Associtaion)	cooperative, and transport advocacy	
28. NOW (Navintalan Women's Organization)		
29. TISFA (Tinago Small Fisherfolk Association)		
30. Matabao RIC		
31. Rural Venture Cooperative		
32. Talao-ao Matabao Communal Irrigators		
33. Tinago Coastal Villagers Association	Matabao / farmers, livelihood, fisherfolks . . .	None / AKBAYAN (Pandayan)
34. MSDOA (Manapa Single Motor Drivers Operators Association)	Manapa / transportation, cooperative, homeowners advocacy	Pro-administration / AKBAYAN (Pandayan)
35. Manapa Women's Credit Cooperative		
36. PUMABUHAI (Purok 5 Manapa Buenavista Agusan del Norte Homeowners' Association, Inc.)		
37. ARB-MPC		
38. MARB-MPC		
39. Malapong Irrigators Association	Malapong / agriculture advocacy	Pro-administration / AKBAYAN
40. KAMAO (Kahugpungan sa mga Mag-uuma sa Olave)	Olave / agriculture, cooperative, multi-interest, multi-service NGO	Pro-administration / AKBAYAN
41. Mambulawan Small Farmers Association		ND-influenced (Bayan Muna)
42. KISFAMCO (Kipundao Farmers Multi-Purpose Cooperative		
43. Tapnigue Farmers Multi-Purpose Cooperative		
44. New Bohol Farmers Association		
45. TOUCH Foundation (Technology Outreach on Community Help)		
46. Simbalan Rubber Farmers Association	Simabalan / agriculture, cooperative advocacy	Pro-administration / ND-influenced (Bayan Muna)
47. Simbalan South District Credit Cooperative		
48. SEA	Sacol / transportation, small industry advocacy	no details
49. Pebbles Picking Producers Cooperative		

50. Buenavista Motorized Tricycle Operators and Drivers Association		
51. SAWAPA, Inc. (Sangay Watershed Planters Association)	Sangay / environmental advocacy	Pro-administration / AKBAYAN (Pandayan)
52. NEWKIMAWA (New Bohol Kilat-ay Malinao Watershed Association)		
53. TUFA, Inc. (Tacub Upland Farmers Association, Inc.)	Rizal / agriculture, community, education advocacy	Pro-administration / AKBAYAN (Pandayan)
54. DARICA (Dalao-an Rizal Community Association)	Rizal / agriculture, community . . .	Pro-administration / AKBAYAN (Pandayan)
55. BUDASTREA (Buenavista District Teachers Retirees Association)		
56. Malambo-ong Mag-uuma sa Dalao-an, Inc.		
57. Rizal Improvement Club of the Philippines / Rizal Rural Improvement Club		
58. RIC Talao-ao	Talao-ao / cooperative advocacy	none
59. Talao-ao Women's Credit Cooperative		
60. Talao-ao Farmers Multi-Purpose Cooperative		
<b>BUTUAN, AGUSAN DEL NORTE</b>		
1. AlterDev Foundation	Butuan / sustainable agriculture, multi-interest, multi-service NGO	ND-led
2. BXU Business Club	Butuan / business	None
3. Treskelion de Agusan Marketing Cooperative	Butuan / fraternity consolidation / cooperative development	none
4. SIKAP (Sibog Katawahan Alang sa Pag-lambo, Inc.)	Sibog / livelihood, sustainable agriculture	none
5. TABLAN (Tabuan Laborers Association)	Poyohon /cooperative, multi-service NGO	Former NGD progressives
6. Por Cristo Foundation	Libertad / children, elderly, landless and poor	none
7. Silver Lining Credit Cooperative	Cooperative development	none
8. Butuan Global Forum, Inc.	Butuan / climate change advocacy	Former NGD progressives
9. (SITODA) San Ignacio Tricycle Operators and Drivers Association	Butuan / transport interest	none

10. Karaga Ukay Traders	Butuan / vendors' rights	None
11. Prestige Guardians Brotherhood, Inc.	Butuan / peace and order	none
12. Butuan Green Multi-Purpose Cooperative	Limaha / cooperative, agriculture	none
13. BLACODA (Butuan, Bancasi, Libertad Auto Calesa Operators and Drivers Association, Inc.)	Butuan / transportation advocacy	no details
14. Butuan Seed Producers Multi-Purpose Cooperative	Butuan / agriculture, cooperative	none
15. TOUCH Foundation	Butuan / multi-service, multi-interest NGO	none
16. South Butuan Organic Farmers Association	Tungao / sustainable agriculture	none
17. Stockpile Village Irrigators Association, Inc.	Sto. Niño / farmers, irrigators advocacy	none
18. Tagdasab Van Transport Service Cooperative Philippines	Tagum / transportation advocacy	none
19. San Antonio de Padua Homeowners Association, Inc.	Libertad / homeowners' rights	ND-influenced
20. Southern Muslim Unity and Development Association, Inc.	Langihan / developmental cooperation	none
21. PARFUND (Philippine Agrarian Reform Foundation for National Development)	Quezon City (active in Butuan) / agriculture	SD-influenced
22. Butuan Premium Bus Terminal Cargo Handlers Association	Butuan / employment	none
23. Midtown Agri-Products Producers Association	Antongalon / agricultural products advocacy	none
24. Guingona Homeowners Association, Inc.	Butuan / homeowners' rights	ND-influenced
25. BALAI (Balangkasi Landless Association, Inc.)	Butuan / landless rights	none
26. People's Alternative Center for Research and Education in Social Development CARAGA (PASCRES-CARAGA)	Butuan / agrarian reform, farmers' rights, sustainable agriculture, multi-interest, multi-service NGO	SD-influenced
27. Madrig Taekwondo Gym	Butuan / sports development	none
28. Peddlers Association	Langihan / peddlers' interest	ND-influenced
29. Biangon Hong mga So-on Producers Cooperative	Butuan / producers' cooperative rights	ND-influenced
30. Butuan Tennis Club	Butuan / sports development	none

31. BUICTFED (Butuan Intra-City Transport Federation)	Butuan / transport rights	ND-influenced
32. Team Butuan - Darts	Butuan / sports development	none
33. PACRUP (People's Anti-Crime Crusade of the Philippines, Inc.)	Butuan / peace and order	Anti-communist
34. Edcads, Inc.	Butuan / multi-interest, multi-service NGO	SD-led
35. Create Food, Inc.	Butuan / livelihood, food production and marketing	none
36. P178 Maug Homeowners Association, Inc.	Maug / homeowners' rights	ND-influenced
37. AYCAN (Active Youth for Christ and Nationalism, Inc.)	Butuan / youth development	ND-led
38. NATDOB (Nagkahiusang Tricycle Drivers and Operators Butuan)	Butuan / transportation rights	ND-influenced
39. Sto. Niño Multi-Purpose Cooperative	Sto. Niño / cooperative	none
<b>GOA, CAMARINES SUR</b>		
1. Senior Citizens' Federation of Goa	San Isidro / senior citizens' rights	no details
2. Road Runner Partido Chapter, Inc.	Goa / no details	no details
3. CLEAVE (Community of Laborers Empowering Aright Values Education, Inc.)	Goa / education	no details
4. Respall Subdivision Homeowners Association	Gimaga / homeowners' rights	no details
5. PGBI (Philippine Guardians Brotherhood, Inc.) – Goa Matanos Chapter	Goa / no details	no details
6. MAFC (Municipal Agricultural and Fishery Council)	Goa / agriculture, fisheries	no details
7. Camarines Sur Barangay Health Workers Federation, Inc. – Goa Chapter	Goa / health development	no details
8. PARD (Partido Rural Development Foundation, Inc.)	Goa / rural development	no details
9. KALIPI / Goa Women's Federation	Goa / women's rights	no details
10. Save-A-Tahanan Movement Philippine Foundation, Inc.	Goa / no details	no details
11. Day Care Workers Association	Goa / education	no details
12. FENGODA (FILCAB Express Naga-Goa Van Operators and Drivers Association)	Goa / transportation	no details

13. GOTODA (Goa Trimoble Operators and Drivers Association)	Goa / transportation	no details
14. GOPARRDS (Goa Peasants for Agrarian Reform and Rural Sustainable Development Association)	Goa / agrarian reform	no details
15. Barangay Nutrition Scholars	Goa / health development	no details
16. CASAFI (Caceres Social Action Foundation, Inc.)	Naga / no details	no details
17. Mr. and Mrs. Club	Goa / no details	no details
18. Samahan ng mga may Kapansanan sa Goa	Goa / differently-abled rights	no details
19. Maymatan Farmers Multi-Purpose Cooperative, Inc.	San Isidro / cooperative development	no details
20. GONOVAN Transport Service Multi-Purpose Cooperative, Inc.	Goa, cooperative	no details
21. GMEC (Goa Municipal Employees Cooperative)	Goa / cooperative	no details
22. Baao Parish Multi-Purpose Cooperative – NATCCO Network	Goa / cooperative	no details
<b>LAGONUY, CAMARINES SUR</b>		
1. PAGCAIN (Partido Glorious Christian Association, Inc.)	Lagonoy / religious development	LGU-friendly
2. CLEAVE	Lagonoy / education	LGU-friendly
3. CESTODA, Inc.	Lagonoy / transportation	none
4. LAPODA	Lagonoy / transportation	none
5. MCWL	Lagonoy / no details	LGU-aligned
6. OSCA (Office of Senior Citizens Association)	Lagonoy / senior citizens' rights	LGU-aligned
7. VVTI (Vision Translators of Tomorrow, Inc.)	Lagonoy / no details	LGU-friendly
8. LOPWA	Lagonoy / no details	LGU-aligned