

Resettlement Policy Framework (RPF)

Project Name:

Metro Manila Flood Management Project



May 1, 2017





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Prepared by:

Department of Public Works and Highways (DPWH)

and

Metro Manila Development Authority (MMDA)

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Acronyms

DDR – Due Diligence Review

DENR –Department of Environment and Natural Resources

DOST – Department of Science and Technology

DPWH – Department of Public Works and Highways

HDH – High Density Housing

HUDCC- Housing and Urban Development Coordinating Council

ISF – Informal Settler Family

LGU – Local Government Unit

MMDA – Metro Manila Development Authority

MMFMP - Metro Manila Flood Management Project

M&E – Monitoring and Evaluation

NHA – National Housing Authority

PAP – Project-Affected Person

PCUP – Presidential Commission for the Urban Poor

PS – Pumping Station

RAP – Resettlement Action Plan

RPF – Resettlement Policy Framework

SHFC – Social Housing Finance Corporation

TESDA – Technical Education and Skills Development Authority

A. Rationale for and Purpose of the Resettlement Policy Framework (RPF)

1. The Philippine Government, through the Department of Public Works and Highways (DPWH) and the Metro Manila Development Authority (MMDA), prepared this RPF to ensure that land acquisition for project needs which result in the physical or economic displacement of people in the areas of influence of sub-projects (including associated facilities) to be implemented by the Metro Manila Flood Management Project (MMFMP) will comply with the relevant policies of the Philippine Government, including the DPWH Social Safeguards and Right of Way Policies, and the requirements of World Bank Operational Policy (OP) 4.12 on Involuntary Resettlement. This RPF is a governing document which sets out resettlement principles, the specifics of assistance and entitlements of all categories of project-affected people (PAP), procedures, organizational arrangements, and design criteria to be applied to all sub-projects (a particular drainage area, served or to be served by a pumping station) to be implemented by the MMFMP.
2. This RPF serves to guide preparation of OP 4.12-compliant Resettlement Action Plans (RAP) for people who will be economically or physically displaced by land acquisition for pumping station sub-projects over the life of the project for which the precise locations and site configurations are yet to be determined. It also provides guidance for the conduct of due diligence in technical footprint of drainage areas where people were resettled previously.
3. It is important to define the technical footprint. The Government of the Philippines launched in 2011 the Oplan Likas Program: Lipat para Iwas Kalamidad At Sakit (Operational Plan: Evacuation to Prevent Calamity and Sickness). The objective of the PhP 50 billion Oplan Likas Program was to relocate over 100,000 informal settler families (ISF) in Metro Manila out of danger areas during a five year period. Prominent danger areas considered under the program included flood prone areas adjacent to and over waterways where ISFs are affected on a regular basis by flooding. The development objective of the Metro Manila Flood Management Project is to improve flood management in selected areas of Metro Manila.
4. Although Oplan Likas and the proposed Project have different objectives, there are certain areas where they overlap. That overlap is determined by the Project area of influence for resettlement, also referred to as the 'technical footprint'. Resettlement under the Project will be unavoidable where dwellings and structures established by informal settlers impede the flow or inhibit access for effective maintenance and operation of the facilities. The technical footprint covers the pumping station (PS) and its related facilities as well as sections of waterways serving the pumping stations. The physical limits of technical footprints for waterways are established on the basis of hydrological and engineering criteria for each drainage area. Waterway sections within the technical footprint are typically in relatively close proximity to the pumping facility. People who live or have properties within the Project's technical footprint or those who were

resettled from the technical footprint under Oplan Likas are considered project-affected persons (PAP) under the Project (see also Section E and Annex A).

5. The project will support rehabilitation of an estimated 36 pumping stations and construct about 20 new pumping stations to be selected from a total number of 51 potential sites. The full list of PS sites to be taken up by the MMFMP will be developed in the first years of project implementation and may be subject to some adaptive adjustments in subsequent years. The project will also support improvements in solid waste management within sections of the drainage areas to reduce the solid waste that ends up at the pumping stations after it has been thrown in waterways and drainage channels. Specifically, the MMFMP supports sub-projects which will: (a) rehabilitate or modernize existing pumping stations (PS) with capacity enhancements and other technical improvements; or (b) finance construction of additional new pumping stations, which are needed to address flooding impacts in an expanding metropolitan area.

6. The MMFMP has selected five pumping station sub-projects to be initiated in the first year of implementation. Of this Year-1 group, one RAP and four Due Diligence Reviews (DDR) which is in accord with this RPF, have been prepared. A RAP was prepared for the Vitas PS where 165 ISFs will be resettled from the technical footprint area to ensure unobstructed water flow to the pumping station. A retrospective due diligence was undertaken for the Paco PS by means of a tracer study to ascertain to what degree the current resettlement conditions of people who resided within the technical footprint and resettled in 2011/12 by a government program correspond with government policies and the objectives of OP 4.12. Additional due diligence carried out for the three other Year-1 sites (at the Tripa de Gallina, Balut, and Labasan PSs) confirmed previous scoping findings by the project preparation team which indicated that there was no past resettlement from the technical footprint of these sub-projects.

B. Application of the RPF

7. The RPF sets out government policy and OP 4.12-compliant specifics of RAP preparation and implementation for MMFMP. As sub-projects are taken up, submissions of RAPs must include the policy principles, entitlements, eligibility criteria, specific organizational arrangements for implementation, arrangements for monitoring and evaluation, a plan for consultations and participation, and mechanisms for grievance redress, which are set out in this RPF. All RAPs will be supported by a timetable and budget and will be submitted to the Project Steering Committee and the World Bank for review and clearance before they are implemented. The Project's Component 3: Participatory Housing and Resettlement is designed specifically to address and manage involuntary resettlement impacts of this Project.

C. Project Description

8. It is well evident that there is a pressing need to improve and augment flood management infrastructure as is set out in the strategic document, the “Metro Manila Flood Management Master Plan.” The World Bank, together with Department of Public Works and Highways (DPWH) and the Metro Manila Development Agency (MMDA), with the involvement of principal oversight agencies, have agreed to prepare and implement MMFMP. MMFMP is one of the three key elements of the Master Plan, to address drainage issues in Metro Manila (the other two key areas of intervention foreseen in the Master Plan are a flood management dam on the Marikina River and interventions around Laguna Lake, both of which are costly and will require several years of studies and planning). This Project will provide the city with more immediate relief and can be undertaken as an initial independent activity while still being a key part of the wider strategic plan. The Project will also support improvements to solid waste management in waterways served by pumping stations. It will necessitate physical resettlement and economic rehabilitation of PAPs, many of whom are Informal Settler Families (ISFs) residing on sites to be acquired for new pumping station as well as PAPs situated within the technical footprint areas of existing PS rehabilitation sub-projects. The chief resettlement-related factor in establishing the technical footprints on associated waterways is the presence of structures which impede the water flow or inhibit access for waterway maintenance which is essential for optimal PS operation. Component descriptions are given in more detail below.

9. *Component 1: Modernization of Drainage Areas (US\$375 million).* Many of the 57 pumping stations managed by MMDA are over 30 years old and no longer operate at full capacity. MMDA has carried out an inventory of its existing pumping stations and it is expected that this component will modernize about 36 existing pumping stations. In addition about 20 new stations will be constructed, with the exact number and locations to be determined during project implementation. Five pumping stations (Vitas, Balut, Paco, Tripa de Gallina and Labasan) are scheduled for implementation starting in the first year of the project. The Department of Public Works and Highways will be responsible for the implementation of the component, in cooperation with the Metro Manila Development Authority.

10. As part of the modernization program pumps will be replaced with modern, more efficient, and higher capacity units. The design discharge determination will be underpinned by hydrological studies of the drainage areas and the best type of pump will be selected for each given situation, including submersible pumps, possibly with variable speed drive, as well as horizontal axial pumps.

11. A program of dredging and cleaning of waterways and drainage systems and increasing the water retention capacity within the project drainage areas will also be developed and implemented. This could include rooftop rainwater collection, retention of drainage water in

public areas such as basketball courts, parking garages, etc. The component will also provide modern dredging and drainage cleaning equipment for DPWH and MMDA.

12. DPWH, through its Flood Control Management Cluster, and with the support of engineering consultants, will be responsible for the design, procurement, and construction supervision of all activities under the component. MMDA, through its Flood Control and Sewerage Management Office, will support DPWH with the implementation of the component, in particular through the provision of data and the participation of operational staff at the PSs. Competitively selected contractors will be responsible for custom manufacturing and installation of pumps and other civil work activities. After completion of the works in a drainage area, MMDA will take charge of operation and maintenance. For new PSs, MMDA will as much as possible assign engineering staff when the design work starts, so that they are fully acquainted with the pumping station at the time of hand-over. A Memorandum of Agreement (MoA) that spells out the primary and secondary responsibilities of DPWH and MMDA was prepared by the two parties.

13. *Component 2: Minimizing Solid Waste in Waterways (US\$48 million).* Since the enactment of RA 9003, awareness of the threat posed by improper disposal of solid waste to the natural environment has increased, however, enforcement of this legislation varies significantly across and even within LGUs. Solid waste remains a major challenge threatening Metropolitan Manila's waterways and severely hampers the optimal functioning of the pumping stations.

14. Urban drainage has been hampered by the accumulation of solid waste in waterways and at pumping stations, which intensifies the flood hazard and increases the risk of direct damage and economic losses. As seen in Figure 2, pumping stations are directly affected by the accumulation of solid waste: numerous pumping stations are functioning at less than their rated capacity, and this is compounded by functional obsolescence.

15. ISF communities are key contributors to solid waste that accumulates in Metro Manila's waterways, but they are not the sole contributor: businesses, both large and small, and residents with land tenure are responsible as well. Moreover, while communities along waterways are key contributors to solid waste accumulation, improperly disposed waste within the catchment area of each station ultimately enters the same waterways.

16. The specific objective of Component 2 is to improve solid waste management practices within the drainage areas of Project financed pumping stations, building on the existing systems implemented by LGUs, barangays, NGOs, and households. This will be achieved through strengthening existing waste collection systems and facilities, improving transport / disposal systems, raising community awareness, and providing incentives for individual behavioral modification. In particular, the component will support the following main activities:

- Strengthening solid waste collection systems, including necessary equipment;
- Implementing an incentive-based approach to improve solid waste management efforts;
- Conducting targeted Information, Education, and Communication (IEC) campaigns on solid waste management; and
- Development of an integrated management information system (MIS) and a solid waste master plan for Metro Manila.

17. MMDA will have overall implementation responsibility for the component, in close collaboration with LGUs and barangays. Specific activities at neighborhood level will mostly be carried out by participating LGUs and barangays, with oversight of MMDA's Solid Waste Management Office. MMDA will manage the financial incentive scheme and the implementation of the metropolitan-wide activities. For the neighborhood-level activities, a Memorandum of Understanding will be signed between MMDA and a particular LGU that specifies the responsibilities for implementation by the LGU and barangays, and the support that is provided by MMDA. For example, MMDA will be responsible for the procurement of equipment for use by LGUs and barangays based on approved requests from LGUs, and MMDA will download advance funds to LGUs to implement agreed activities that are their responsibility.

18. *Component 3: Participatory Housing and Resettlement (US\$55.7 million).* This component will support a community participatory approach to resettlement of Informal Settler Families from the technical footprint in a drainage area. Almost all pumping stations, both existing and proposed, are found in densely populated areas, with ISFs living along many of the waterways served by the pumping stations. Existing pumping stations to be modernized under the project are typically well fenced in with no informal settlers. However, a small number of new pumping stations would involve at least some resettlement, mostly of ISFs, from the area where new pumping stations are planned and from along a few waterways where ISFs have encroached on the water. For the entire project, the magnitude of project-affected people, mostly ISFs, is expected to be around 2,500 families or 11,500 people.

19. Component 3 aims to resettle PAPs who are currently located in the technical footprint of a drainage area. Through the Project intervention, they will have access to better housing, basic community infrastructure, better livelihoods, and stronger community organization. Component 3 will achieve this by consolidating and amplifying the gains made by government's existing innovative shelter solutions such as SHFC's High Density Housing (HDH) Program, DILG's LGU Seed Fund and NHA's In-city Resettlement Program.

20. Resettlement under the Project will thus build on the existing government housing programs and will be implemented by two key shelter agencies (KSA), namely NHA and SHFC. Based on knowledge gained with the implementation of such programs, the two agencies have

agreed to build in some innovative and good practices to improve their existing housing programs. These include: (i) provision of upfront income-based capital subsidy to bridge the affordability gap, specifically for those who opt for in-city vertical housing, with the amount of subsidy to be adjusted every five years through assessments of the ISFs' income levels; (ii) land will be provided by both SHFC and NHA on a usufruct arrangement to minimize the financial burden on the ISFs; (iii) construction price ceiling and minimum specifications will be standardized for both agencies' programs to avoid inequity; and (iv) as needed, rental support, in the form of cash, will be provided to ISFs as a transitory measure until the completion of their new housing units, which is expected to be around 24 months on average. A geographical division of labor between the two agencies has also been agreed upon, while also agreeing that there has to be some flexibility in this based on preference of affected communities. A communications plan will be developed under the project to ensure that PAPs will be given full information on the resettlement options to allow them to make informed decisions.

21. Specifically, this component will fund land acquisition, housing construction, site development, rental support, livelihood assistance, and various technical assistance and capacity-building activities that help strengthen the communities and implementing agencies. Government counterpart fund will finance land acquisition, site development, and housing construction, whereas IBRD funding will be used for the remaining activities. Component 3 will comply with procedures and requirements under WB OP 4.12 (Involuntary Resettlement).

22. Three standard resettlement options will initially be offered to PAPs, with priority being in-city resettlement. Options include: (i) in-city resettlement in vertical housing; (ii) near-city resettlement defined as areas that will result in minimal economic dislocation with secure access to basic services in adjacent LGUs, where people can ideally physically and financially commute to their livelihoods of origin; and (iii) self-resettlement with cash payment. Other options expressed as preference during consultations with PAPs (e.g. off-city resettlement) can be considered as well. Screening of feasibility of options will be undertaken before consulting with PAPs.

23. Where related resettlement has already taken place by Oplan Likas from the technical footprint in a drainage area, the component will assess the needs for, through due diligence, and implement either individual assistance activities to PAPs and/or community development activities in selected sites where people have been resettled for the purpose of carrying out the Project activities. Community development activities can include community based infrastructure, community livelihood programs, and local economic development.

24. DPWH will be responsible for the preparation of resettlement action plans or due diligence reports, which is an integral part of the design of the activities in a drainage area with resettlement. The RAP or DDR will specify how the resettlement and related activities will be implemented, with most responsibility given to the National Housing Authority and the Social

Housing Finance Corporation, in cooperation with LGUs and Civil Society Organizations (CSO). Overall oversight will be provided by MMDA and the Housing and Urban Development Coordination Council (HUDCC).

25. *Component 4: Project Management & Coordination (US\$20 million).* The component will support the operation of the Project Management Offices (PMO) in DPWH and MMDA with respect to the management and coordination of their respective parts of the Project, including in each case: (i) payment of incremental operating costs; (ii) provision of office equipment and materials; (iii) provision of training and carrying out of knowledge sharing and peer-to-peer learning activities; (iv) provision of technical assistance in engineering, monitoring and evaluation for the Project, and design of activities for the implementation of the Program; and (v) establishment and operation of a grievance redress mechanism.

D. Socio-Economic and Resettlement Impacts

26. The positive impacts of flood management projects include enhanced wellbeing of beneficiaries, health benefits, ease of transport during rainy days, continuation of economic activities, increase in land values and property prices, and poverty reduction. However, flood management projects are also known to cause some adverse impacts. Under the MMFMP, the following are the potential social impacts. (The ESIA and ESMF have a comprehensive enumeration of the environmental impacts of the Project as well as the appropriate measures to address them.)

27. **Relocation of Informal Settlers.** As certain areas need to be cleared to ensure optimum water flow in waterways leading to pumping stations and provide proper maintenance, some people who are mostly ISFs, will have to be relocated. For poor households, the destruction of their houses and possessions makes them more fragile for a long time as it could take quite a while for them to rebuild their asset base. Lack of safe drinking water, no electricity, and being cut off from markets and public services can make communities feel helpless and isolated. Poor conditions in staging sites aggravate the disruption in people's lives. Other potential negative impacts of relocation include loss of economic networks, loss of social networks, and loss of access to social services. The resettlement processes and measures provided in this RPF are designed to avoid or mitigate these losses/impacts.

28. Those who will be found living within the Project's technical footprint at the time of census will be resettled. ISFs along waterways leading to the pumping stations are aware that their houses and structures and the waste they contribute obstruct the flow of water and affect the efficiency of the pumping stations. ISFs in Vitas are willing to move out of danger zones provided that they are relocated in livable areas where they can earn a living and their children can go to school. In Tripa de Gallina where some ISFs in Maricaban Creek have already been

relocated from areas outside the technical footprint of the drainage area, residents who used to be neighbors with the relocated families said that they missed their neighbors, but recognized that fewer ISFs led to easier water flow and lower floodwaters in the community.

29. **Loss of livelihood or access to livelihood.** The governments' approach of successive off-city resettlement has been mired with resistance and criticisms in the past, owing to the lack of consideration for the socio-economic impacts (e.g., loss of livelihood and disruption of social networks) on the affected households. Absence of livelihood and/or mismatch between skills and job opportunities is often present during resettlement, resulting in a sharp decline in incomes after resettlement. Many decide to migrate back into the informal settlements in Metro Manila. It should be noted that under Oplan Likas, 76% of the targeted ISFs were relocated off-city away from their sources of livelihood and moved them to areas with limited opportunities for employment and income-generating activities.

30. In the survey for the Due Diligence Report for the resettled families within the Paco Pumping Station technical footprint, 60% of the respondents claimed they are still working in or near Paco, Manila. Of these, 59% travel to Manila on a weekly basis, 26% travel daily and remaining 15% travel once or twice a month. Apart from increased transportation costs, one can also imagine the difficult life of daily commuting in a 40 kilometer distance characterized by poor public transportation and massive traffic gridlock. On the other hand, people who travel weekly or monthly have to bear the impact of temporary separation from their loved ones in order to save money.

31. A World Bank commissioned study found that 72% of the surveyed households resettled off-city reported decreased income up to as much as a 43%. They also reported increased expenditure driven by higher costs of transportation to schools, work, and health services. Thirty-five percent of those resettled off-city also reported difficulties in finding assistance for their daily needs due to disruption in their social support network.¹ From its study of 10 resettlement sites, the Presidential Commission for the Urban Poor (PCUP) reported that 40% of the households lost jobs after the transfer and decrease in income ranges from 5%-57%. The same study called the attention of the National Housing Authority and other concerned agencies for the "serious issues on social services, power and water."² The IPC 2011 study found that a significant proportion of households in the two study sites were considering leaving their current place of residence (26% in Southville 5A and 39% in Eusebio Bliss). For those resettled off-city the main reason was the limited access to employment.

¹ Institute of Philippine Culture, School of Social Sciences, Ateneo de Manila University. (2011). "The Social Impacts of Tropical Storm Ondoy and Typhoon Pepeng". Manila.

² Preliminary findings presented at the Consultative Forum on Resettlers called jointly by the Presidential Commission for the Urban Poor, the House of Representatives and the Senate on 22 October 2015.

32. Under Components 1 and 2, the proposed project could potentially lead to economic displacement of marginal fisherfolk, water hyacinth pickers and weavers, and waste pickers and in the process impoverish them further. Waste pickers constitute a subgroup of ISFs relying on garbage picking as their main source of livelihood. However, almost all the recyclable garbage picked by them is done outside the waterways, so the impact of reduced garbage in the waterways on the waste pickers' livelihood would be small. Harvesters of water hyacinths comprise a very small fragment of Metro Manila's poor who supply dried water hyacinth stalks to local and international buyers at extremely low prices. Water hyacinths will be removed from critical locations only where they affect the performance of the drainage systems, and the impact on hyacinth pickers will be very small. Livelihood restoration opportunities will be offered to affected vulnerable groups, including maintenance of access to waterways for fisher folks and provision of alternative job opportunities for affected waste pickers.

33. **Compensation and resettlement assistance discrepancies.** In the context of the wider resettlement program of the government, host communities can be existing communities or new communities of resettlers within or outside Metro Manila that will live together with project-displaced ISFs in the same neighborhood. Resettlement to nearby in-city resettlement sites will be least disruptive and there would normally be few compensation and resettlement assistance discrepancies. The case is different for off-city host communities where support to PAPs may be much higher than received by already resettled people. The project will study this inequity issue in more detail and will implement practical and doable interventions, such as community development ones that would benefit the larger resettled community.

34. **Community health and safety issues.** Community hazards and accidents from the movement of vehicles along narrow roads leading to the pumping stations may compromise people's safety. Other related issues include nuisance and problems caused by noise, odor, and dust. These risks will be minimized through the implementation of traffic control and safety measures, signage, and educational campaigns that are specifically provided in the Environment and Social Management Plan of each PS.

E. Legacy Context, Project-Affected People and Resettlement Approaches

Legacy Context: Oplan Likas

35. Over the years, the Government has implemented a number of housing programs for the urban poor. Approaches have evolved over the years from centrally administered Government-led approaches to more decentralized participatory and community-driven approaches. Yet, the Government's past efforts to address resettlement, which have mainly been at off-city locations, have been subject to resistance and criticisms. A central issue is the lack of consideration of adverse socio-economic impacts, including loss of livelihood, disruption of social networks, and

reduction or disruption of access to basic services. Physical displacement away from employment and / or a mismatch between skills and job opportunities in resettlement areas typically results in a decline in incomes. As a result, many people return to areas of origin in Metro Manila.

36. In a number of sub-project areas people have been resettled in the past or are currently programmed to be resettled under an ongoing national resettlement program, the *Oplan Likas* Program: *Lipat para Iwas Kalamidad At Sakit* (Operational Plan: Evacuation to Prevent Calamity and Sickness). The program aims to relocate some 104,219 households out of the danger areas especially from within the three-meter easements along the waterways. Government allocated PhP 50 billion (approximately US\$1.15 billion) over 5 years between 2011 and 2016 to finance land acquisition and housing construction costs. *Oplan Likas* advocated initially for in-city relocation within the vicinity of livelihoods, leaving off-city relocation as a last resort. However, land availability constraints, affordability issues, especially for the poorest, and institutional challenges among other factors, have contributed to some 67 per cent of the 36,049 ISFs being resettled (as of April 2015) at off-city sites under NHA where they have been provided with new plots and homes under a 35-year concessionary mortgage arrangement.

37. Late 2015, the World Bank commissioned a short study to take preliminary stock of the outcome of the *Oplan Likas* program at a small number of resettlement areas and its level of compliance with the World Bank's Operational Policy (OP) 4.12 – Involuntary Resettlement.³ The study covered four off-city resettlement sites (Golden Horizons and Sunshine Ville in Cavite Province and San Jose Del Monte Heights and Pandi Residences in Bulacan Province) under NHA, and one in-city (Bistekville 2 in Quezon City) resettlement site under the Social Housing Finance Corporation (SHFC). Among the gaps identified under *Oplan Likas* are: (i) inadequate consultations with the hosting communities (the government only discussed and made agreements with high ranking LGU officials, but no consultations were made with the communities); (ii) instances of lack of preparation of a Peoples' Plan or a Resettlement and Rehabilitation Action Plan (RRAP) for an affected community; (iii) insufficient information regarding the types and extent of the assistance ISFs were entitled to; (iv) unpreparedness of the off-city sites to receive ISFs due to the absence of electricity and water connections; (v) limited livelihood restoration measures, with the government's livelihood support for the resettled people lacking inadequate consideration of the market demand of people's skills and products as well as the people's preferences, and without seed capital or provision of tools; (vi) untimely assistance to the hosting LGU and community to upgrade health, education, and other public facilities and services to cope with the new arrivals as the hosting LGUs were by and large expected to cope with the influx of ISFs through their own resources, which were not enough; and (vii) *Oplan Likas* has a grievance redress mechanism (GRM), but this was not properly utilized.

³ Environs (2016). "Briefing Paper No.1 *Oplan Likas* Review".

38. The government is aware of and has been working on measures to remediate the gaps. Through the initiative of the Presidential Commission for the Urban Poor (PCUP) and with strong support from both houses of Congress, immediate and long-term measures have been agreed upon by key stakeholders, including the resettled ISFs themselves, to address the issues in 18 off-city resettlement sites under Oplan Likas. Immediate measures include, among others: (i) a directive from the Humanitarian, Development and Poverty Reduction (HDPR) Cabinet Cluster to form a Special Committee to immediately address the primary issues of the resettlers; (ii) actions by concerned agencies to ensure resettlers' access to basic services and short-term employment such as cash for work; and (iii) setting up permanent NHA field offices to facilitate regular dialogue between NHA and resettlers. Medium- to long-term measures focus on policy development to address key issues including: (i) formulation of a National Housing and Resettlement Policy Framework; (ii) measures for re-allocation of resettlement budgets needed to accommodate sending and receiving LGUs; and (iii) drafting of enabling legislation to provide specific rules and regulations for resettlement policy implementation.

39. Upon the request of housing agencies and other line agencies, the Department of Budget and Management (DBM) has recently approved a P1.8 billion rehabilitation fund in the 2017 budget to address service delivery gaps in the 18 Oplan Likas resettlement sites. The amount includes budgets for livelihood programs, health, education, solid waste management, and community infrastructure. Concerned agencies are currently working on the finalization of their programs, projects and activities (PPAs) for the said fund. (Annex E provides FY 2017 budget allocation details.)

40. The Oplan Likas stocktaking affirms the good practices the government has been doing in its resettlement program. It noted that the fact that relocation of thousands of ISFs was carried out without any major incident of violence, contrary to many relocation activities prior to Oplan Likas, has been an achievement in itself. Contributing factors include: (i) adoption of certain protocols, e.g. the affected families were allowed to demolish their houses themselves; (ii) incentives such as the transitional assistance of PhP 18,000 (about US\$380) which was introduced under Oplan Likas; (iii) a certain degree of choice on which site to resettle; and (iv) clear eligibility criteria and conduct of a census.

Project Linkage with Oplan Likas

41. The objective of the proposed Metro Manila Flood Management Project (MMFMP) is to improve flood management in selected areas of Metro Manila. Limited resettlement of people will be required for the construction of a number of pumping stations. Resettlement will also be necessary where dwellings and structures established by people impede the flow of flood waters or inhibit effective operation and maintenance of the facilities.

42. As described in Section A, the objective of the PhP 50 billion Oplan Likas Program was to relocate about 104,000 informal settler families (ISF) in Metro Manila out of danger areas during a five year period, starting in 2011. Prominent danger areas considered under the program included flood prone areas adjacent to and over waterways where ISFs are affected on a regular basis by flooding. The activities under Oplan Likas were substantially completed by the end of 2016, but some resettlement for which the planning was in an advanced stage at the end of 2016 will continue through 2017 and maybe a small period in 2018.

43. The Project is not linked with Oplan Likas as it does not meet the three criteria of paragraph 4 of OP 4.12 - Involuntary Resettlement, namely: (a) directly and significantly related to the Bank-assisted project; (b) necessary to achieve its objectives as set forth in the project documents; and (c) carried out, or planned to be carried out, contemporaneously with the project. However, some activities financed by the project overlap spatially with Oplan Likas as they are located within the technical footprint of the project (see Section A). Moreover, the Bank has provided TA in support of Oplan Likas as explained in an Annex in the Project Appraisal Document (PAD).

World Bank Policy Applicability Date and Resettlement Approaches

44. OP 4.12 – Involuntary Resettlement thus applies to the PAPs who were or will be resettled from the technical footprint. The assistance to be provided to PAPs by the project will depend on the time frame of resettlement. In the context of Oplan Likas, the technical footprint, and applicability date, the Project will carry out the following resettlement approaches for three groups of PAPs as illustrated in Figure 1, and as explained in the next paragraphs.

Figure 1. Applicability Date, PAPs Groups and Resettlement Approaches

	Dec 8, 2014	Project Effectiveness
<u>Group 1</u> Consistent with Government policy and OP 4.12 objectives	<u>Group 2</u> OP 4.12 compliant	<u>Group 3</u> OP 4.12 compliant
DDR	RAP	RAP
Community Measures	Entitlements per OP 4.12 Individual Assistance and/or Community Projects	Entitlements per OP 4.12

45. Group 1: Resettlement activities that took place prior to Bank engagement in the project (December 8, 2014 - the date of project identification mission) within the footprint of the project is considered a legacy issue. Resettlement before that date has to be in accordance with country legislation and consistent with objectives of OP 4.12. Should this past resettlement not have been consistent with the national legislation and the objectives of OP 4.12, remedial measures will have to be provided. People will be traced to a particular resettlement site and retrospective due diligence will be carried out to determine whether resettlement was in accordance with country legislation and consistent with objectives of OP 4.12⁴. Any legacy issues and gaps will be addressed at the community level for equity purposes and to avoid conflicts with persons relocated to the same resettlement sites from other areas not related to the project. The safeguard instrument to be prepared is a Due Diligence Report that will describe the remedial measures to be provided and an action plan if and as needed to ensure the consistency of past rehousing/resettlement with the objectives of OP 4.12. Interventions can include community-based improvements such as construction or rehabilitation of community facilities such as health centers, water system, school buildings, or community-based measures to support livelihood and will be done in a manner that benefits a larger group that includes the people that were resettled from the technical footprint or all of a resettlement site community.

46. After the date of project identification, resettlement has to be compliant with OP 4.12, including compensation at full replacement cost for loss of assets and other resettlement assistance. Two groups of PAPs have been identified: (i) people who were resettled from the technical footprint after the project identification date (December 8, 2014), but prior to the date a census is initiated in all sub-project sites during the early stage of project implementation (cut-off date) (Group 2); and (ii) people who will be resettled from the technical footprint after the cut-off date during project implementation (Group 3).

47. Group 2. Due diligence will have to be conducted and the individual PAPs that were resettled from the technical footprint will have to be traced to the extent possible. Should their current resettlement conditions not be in compliance with OP 4.12, the project will have to provide remedial measures to address the gaps, described in a RAP, and measures will have to be applied retroactively to ensure compliance with OP 4.12. Remedial measures will include compensation and assistance to individual PAPs, or through community level interventions for equity purpose if this is acceptable to the PAPs. Recognizing that the Project PAPs are now commingled with bigger community of resettled families, the Project may consider community-based interventions in lieu of individual benefits. However, it has to be made clear during public

⁴ Refers to the following OP 4.12 policy objectives: Where it is not feasible to avoid resettlement, resettlement activities should be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the persons displaced by the project to share in project benefits. Displaced persons should be meaningfully consulted and should have opportunities to participate in planning and implementing resettlement programs. Displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

consultations and other discussions that each individual PAP is entitled to individual measures and must have a choice and agree if collective measures are proposed. The final interventions will be site-specific and sensitive to the peculiar context of each resettlement case.

48. Group 3: People to be resettled during project implementation from an estimated 16 MMFMP sub-projects who are occupying at the time of the census areas of the technical footprint. There will be a census of all 16 or so sites very early during project implementation to find out who are in the technical footprint and are eligible for support under the project. This will be made public to avoid new people coming and claim eligibility. Resettlement for this group must be undertaken based on this RPF and in compliance with the requirements of OP 4.12 to be described in a RAP.

49. As sub-projects are identified to be taken up and a delimitation of the sub-project technical footprint and area of influence is made, DPWH, together with HUDCC, will coordinate with NHA or SHFC and the relevant LGU to determine if people living within the footprint are programmed to be resettled under non-project related resettlement programs, such as those initiated by government agencies under Oplan Likas and by communities in “Peoples Plans”. Through this RPF, the government confirms that resettlement measures and arrangements are compliant with OP 4.12. Where community-driven programs (Peoples Plans) for resettlement are already planned, these plans will be assessed to ensure that resettlement will be completed during the life of the project and if additional support or transition assistance is needed to ensure that areas needed for sub-projects can be made available to the project in a timely way. If resettlement already took place, follow-up due diligence on resettlement outcomes will be applied as indicated for Groups 1 and 2.

50. Scoping of pumping stations and related waterways estimates that the scale of resettlement is on the order of 2,500 households over the life of the project. More precise numbers will be available as baseline census studies are conducted. Based on available information, it is highly probable that the majority of PAPs are Informal Settler Families who are in the poor or very poor category. Previous socio-economic studies on ISFs⁵ have found that only about 20% of those surveyed had completed high school, and only 11% of the household heads engaged in full-time formal employment. ISF employment is generally in the informal sector, such as tricycle drivers, domestic services, and small enterprises. Baseline socio-economic surveys undertaken for sub-project-affected households in RAP preparation for the Vitas PS indicated that half of the households work less than 40 hours a week followed by 44% who work at least 40 hours per week. Some 95% or 157 of 165 household heads interviewed indicated that they had income streams provided on a weekly basis. The bulk of employment for

⁵ John J. Carroll Institute on Church and Social Issues (JJCISI). (2013). “Baseline Study Report for Department of Social Welfare and Development: Improving Livelihoods for Vulnerable Urban Communities Project”. Manila; Institute of Philippine Culture. (2011). “The Social Impacts of Tropical Storm Ondoy and Typhoon Pepeng”. Manila; Environs. (2015). “Final Report on the NHA Livelihood Program”. Manila.

those with some high school education and high school graduates is in unskilled or semi-skilled occupations, such as laborer, helper, street sweeper, janitorial work, pedicab driver, messengers, and other similar occupations. Women have bigger proportion of less than 40 hours of work per week.

F. Legal framework and Analysis of Gaps: Philippine Laws and Regulations and World Bank Policy (OP 4.12) on Involuntary Resettlement.

51. In terms of national legislations in the Philippines, the key legal and administrative policies relevant to involuntary resettlement are:

52. The Bills of Rights of the Constitution of the Republic of the Philippines states in Article III, Section 1, “No person shall be deprived of life, liberty, or property without due process of law, nor shall any person be denied the equal protection of the laws.” In Article III, Section 9, “Private property shall not be taken for public use without just compensation.”

53. Executive Order 1035 (1985) requires conducting of Feasibility Studies, Public Information campaign, Parcellary survey, and assets inventory. It also provides for compensation for acquired land at fair market value based on negotiations between owner and appraiser; relocation assistance to tenants, farmers and other occupants; financial assistance to farmers and agricultural tenants equivalent to the average harvest for the last three years but not less than P 15,000/ha; disturbance compensation to agricultural lessees equivalent to 5 times the average gross harvest during the last 5 years; and compensation for improvement on land acquired under Commonwealth Act (CA) 141.

54. CA 141, Public Land Act (1936) institutes classification and means of administration, expropriation and disposition of alienable lands of the public domain.

55. Supreme Court Ruling (1987) defines just compensation as fair and full equivalent to the loss sustained to enable affected household to replace affected assets at current market prices.

56. Republic Act 6389 provides for disturbance compensation to agricultural leases equivalent to 4 times the average gross harvest in the last 5 years.

57. Republic Act 10752 (2015). The “Right-of-Way Act” ensures that owners of real property acquired for national government infrastructure projects are promptly paid just compensation for the expeditious acquisition of the required right-of-way for the projects.

58. Republic Act 7279 (1992) "Urban Development and Housing Act" mandates the provision of a resettlement site, basic services and safeguards for the homeless and

underprivileged citizens.

59. Republic Act 7160 (1991) "Local Government Code" allows the LGUs to exercise the power of eminent domain for public use.

60. Gaps between Philippine government policies and laws on entitlements to project-affected persons (PAPs) and the WB's social safeguard policies contained in OP 4.12 are given below in Table 1.

Table 1: Comparative Analysis between Philippine law and policy and OP 4.12 on entitlements for project-affected persons.

KEY ISSUES	PHILIPPINE POLICY	WORLD BANK POLICY	MEASURES TO FILL GAPS
Persons Considered as Project-Affected Persons (PAPs) in the context of Bank's concern on legacy issues	PAPs consist of all members of a household who will be adversely affected by the project because their real property shall be acquired for government infrastructure projects	Persons/People impacted by Involuntary taking of land resulting in (i) relocation or loss of shelter; (ii) loss of assets or access to assets; (iii) loss of income sources or means of livelihood, whether or not the affected persons must move to another location.	Everyone who occupies or occupied land or structure and those that conduct livelihood activities within the technical footprint shall be identified and properly documented including their condition in life, and their personal circumstances. Paragraph 25 provides specific guidance in the identification of PAPs and the corresponding measures to ensure they are supported towards a sustainable living condition.

KEY ISSUES	PHILIPPINE POLICY	WORLD BANK POLICY	MEASURES TO FILL GAPS
Loss of Income or Sources of Livelihood	<p>Major government policies (e.g. RA 7279, RA 10752) are silent regarding loss of income directly resulting from land acquisition.</p> <p>However, some agency-specific policies like the DPWH Land Acquisition, Resettlement, Rehabilitation and Indigenous Peoples (LARRIP) Policy 2007 and DO 327 s. 2003 cover income loss.</p> <p>LARRIP on Income Loss. “For loss of business/ income, the PAF will be entitled to an income rehabilitation assistance not to exceed Peso 15,000 for severely affected structures, or to be based on the latest copy of the PAF’s Tax record for the period corresponding to the stoppage of business activities”</p> <p>DO 327 s. 2003 provides transitional allowance for severely affected shop owners for their computed income loss during demolition and reconstruction of their shops, but not to exceed one month period.</p>	Displaced persons should be assisted to improve their efforts to improve their livelihoods and living standards or at least to restore them	The project will compensate for lost income and provide measures to improve livelihoods and living conditions of PAPs or at least restore them to pre-project level.

KEY ISSUES	PHILIPPINE POLICY	WORLD BANK POLICY	MEASURES TO FILL GAPS
Treatment of Informal Settlers	R.A. 7279 states that eligible homeless and poor informal settlers in urban areas are entitled to resettlement if they are affected by development projects. However, R.A. 7279 limits this to residential informal settlers and is silent on informal structures on public or private land used for commercial purposes.	Sections 15-16 stipulate that informal settlers should be provided resettlement assistance.	The project will replace lost structures and other assets of informal settlers. Replacement options include rehousing, including rental support while waiting for the housing units to become available, transportation costs, and, as needed, rehabilitation measures to restore lost livelihood.
Taxes and Transaction Costs involved in the Transfer of Real Property	As per item g of Sec 6. Guidelines for Expropriation Proceedings of RA 10752: “With regard to the taxes and fees relative to the transfer of title of the property to the Republic of the Philippines through expropriation proceedings, the implementing agency shall pay the documentary stamp tax, transfer tax and registration fees, while the owner shall pay the capital gains tax and any unpaid real property tax.”	Taxes, administrative fees, and other transaction costs are not to be deducted from the total compensation due the affected person/s	Not much difference now with the new ROW law (RA 10752); For transactions that are not a willing seller- willing buyer transaction type the project should see to it that it covers other administrative fees and transaction costs that the government may impose over and above those enumerated under RA 10752.

KEY ISSUES	PHILIPPINE POLICY	WORLD BANK POLICY	MEASURES TO FILL GAPS
Valuation of Affected Land	Philippine Constitution states that private lands expropriated or taken for the public interest shall be paid just compensation. The Supreme Court defines just compensation as current market value less the cost of any future benefits the landowner may derive from residual land. Under RA 10752 government offers compensation based on market value of affected lands or properties before proceeding with expropriation using the BIR zonal valuation.	Uses replacement cost without deduction of any future benefits the landowner may derive from the residual land	Under the terms of this Project, replacement cost will be the sole basis for the valuation of land, which for urban land is defined as the pre-displacement market value of land of equal size and use, with similar or improved public infrastructure facilities and services and located in the vicinity of the affected land, plus the cost of any registration and transfer taxes.
Treatment of Residential and Business Renters	Fixed improvements introduced by renters on the land or structures automatically belongs to the land owner, unless there is a specific provision that the owner will compensate the renter for any fixed improvements introduced by the latter. The practice is to ask the landowner to sign a waiver, allowing the renter to be paid compensation for any fixed improvements.	Under OP 4.12 para 16: (i) compensation at full replacement cost for loss of structures/assets other than land; (ii) resettlement assistance; and (iii) other assistance, as may be necessary to fulfill OP 4.12 objectives	Compensation at full replacement cost ⁶ for fixed improvements introduced by the renter will be paid to the renter. Renter will be provided compensation for transfer costs and disturbance compensation ⁷ for temporary closure of the business establishment while transfer is ongoing.

⁶ OP 4.12 explanation of replacement cost for houses and other structures: the market cost of the materials to build a replacement structure with an area and quality similar to or better than those of the affected structure, or to repair a partially affected structure, plus the cost of transporting building materials to the construction site, plus the cost of any labor and contractors' fees, plus the cost of any registration and transfer taxes. In determining the replacement cost, depreciation of the asset and the value of salvage materials are not taken into account, nor is the value of benefits to be derived from the project deducted from the valuation of an affected asset. Where domestic law does not meet the standard of compensation at full replacement cost, compensation under domestic law is supplemented by additional measures so as to meet the replacement cost standard. Such additional assistance is distinct from resettlement measures to be provided under other clauses in OP 4.12, para. 6.

⁷ Computed at average daily net income of the business multiply by the number of days for the entire transfer period.

61. The RPF will serve to meet the requirements of relevant laws and regulations of the Philippines to the extent that they coincide with World Bank OP 4.12. However, where gaps or differences are found between Philippine laws and regulations and the requirements of OP 4.12, the higher standard will prevail.

G. Principles and objectives of MMFMP Resettlement

62. The principles of resettlement in World Bank-assisted projects are governed by OP 4.12, which is applicable when the taking of land for project purposes necessitates involuntary resettlement. The policy covers direct economic and social impacts of the project and its area of influence. Key principles are:

- Resettlement should be avoided where feasible, or minimized, exploring all viable alternative project designs.
- Where it is not feasible to avoid resettlement, resettlement activities should be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the persons displaced by the project to share in project benefits, inclusive of gender, disability, and intergenerational groups.
- Displaced persons should be meaningfully consulted and should have opportunities to participate in planning and implementing resettlement programs.
- Displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

H. Entitlements of Project-Affected People

63. Project-Affected People are entitled to the resettlement and rehabilitation assistance enumerated in succeeding sections and summarized in Table 2. As previously discussed, these various forms of assistance are what the government currently delivers. The Project will monitor and assess actual delivery of these assistance and make the necessary remedial measures when gaps are found.

64. The anticipated categories of project-affected people include:

- People occupying sites needed for new pumping stations;

- People who reside over or along sections of waterways obstructing water flow, which must be cleared to ensure optimal and sustainable operation and maintenance;
- People engaged in commerce, recycling of solid waste, or other income-earning activities within needed sections of the waterway or sites to be used for building new pumping stations;
- People living along access roads or easements or in the immediate environs of a project site whose livelihoods are disrupted by access restrictions during construction, such as vendors and other people engaged in commerce;
- People living on or using private land, which will be acquired for project purposes;
- Leasers of private land to be acquired for project purposes;
- Owners of private land and other assets to be acquired for the project.

Compensation and Entitlement Options for ISF-PAPs

65. Most PAPs under the MMFMP belong to the category of Informal Settler Families. They are characterised in OP 4.12 as, “... *those who have no recognizable legal right or claim to the land they are occupying.*” (para. 15(c)). The policy is clear on entitlements, remedies, and assistance to be provided to this category of project-affected people. The policy states that: “*Persons covered under para. 15(c) are provided resettlement assistance in lieu of compensation for the land they occupy, and other assistance, as necessary, to achieve the objectives set out in this policy, if they occupy the project area prior to a cut-off date established by the borrower and acceptable to the Bank. Persons who encroach on the area after the cut-off date are not entitled to compensation or any other form of resettlement assistance. All persons included in para. 15(c) are provided compensation for loss of assets other than land.*”

66. OP 4.12 policy objectives are clear: “Where it is not feasible to avoid resettlement, resettlement activities should be conceived and executed as *sustainable development programs*, providing sufficient investment resources to enable the persons displaced by the project to share in project benefits. Displaced persons should be meaningfully consulted and should have opportunities to participate in planning and implementing resettlement programs.” Furthermore, “displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.”

67. In straightforward terms, the attainment of these specific policy objectives will require four key provisions:

- a. Compensation at replacement cost for lost structures and fixed or immovable assets (for those who will not avail of the housing/resettlement option);

- b. Affordable in-city or near-city physical resettlement at locations in reasonable proximity to places of work and sources of income, which is essential to preclude any significant increase in travel costs and time to work places. Off-city locations experiencing growth and urbanization where employment opportunities are available are not precluded a priori, however due diligence on job market opportunities and skills training is needed to support a sustainable outcome.
- c. Transitional allowances and related support measures which are needed to assist PAPs with movement to the resettlement location and rental expenses as needed while resettlement accommodations are under construction.
- d. Investments in human development, such as skills training for family members which are needed to improved employability and income.

68. Resettlement programs in the Philippines screen census lists of PAPs to exclude those who have been previously resettled under GoP-supported programs from being resettled once again. There are cases, both individual and more organized schemes, where people take up assets at resettlement sites, dispose or abandon the assets, and return to Metro Manila. Under the terms of this RPF, people who have previously been resettled but have returned and/or settled within the MMFMP technical footprint at the time of census (or cut-off date for the subproject) are not to be automatically excluded as eligible PAPs. The PMO Resettlement Team with LGU support will work closely with concerned agencies to establish the living condition and circumstances of the previously-resettled PAPs. Only in the event that the said PAPs are found to be exploiting the government resettlement programs in bad faith (deceiving the government for personal economic gains) will they be excluded. If they are found to have returned because of loss of employment or because they are financially unable to sustain themselves at the previous resettlement site, the Project will include them and their resettlement and rehabilitation will be supported.

69. Table 2 sets out describes impacts and entitlement by PAP category under this Project.

Table 2. Summary Matrix of Impacts and Entitlements

<i>PAP Category</i>	<i>Impact</i>	<i>Entitlement</i>
Resident owner of informal structure	Loss of dwelling, potential loss of access to work place.	<ul style="list-style-type: none"> • Options:⁸ <ul style="list-style-type: none"> a) Inclusion in rehousing schemes (in-city, near-city, PAP-preferred option like off-city under a community-driven process) b) Cash payment for self-resettlement (Following DPWH's LARRIPP, one-off lump-sum cash compensation at full replacement cost for lost structures/assets based on market value of materials and labor.) • For the housing option, the package includes: <ul style="list-style-type: none"> a) Inclusion in social (amortized) rehousing schemes or provision of subsidized housing rental unit for those unable to afford a mortgage. b) Rental subsidy / voucher for up to 24 months while waiting for the availability of the units in resettlement site or temporary transfer to staging area. (<i>This entitlement may be extended to meet the completion date of resettlement housing.</i>) c) Assistance for incidental costs during transitional period in resettlement site (akin to P18k Oplan Likas Family Assistance) d) Transport/moving assistance – trucks for personal belongings, vans for women and children. e) Free access to skills training and related livelihood restoration programs for qualified family members, with equal access of both male and female members, to be specified in the RAP.
Absentee owner of informal structure	Loss of rental property, loss of rental income.	<ul style="list-style-type: none"> • Compensation at full replacement cost for lost structures/assets based on market value of materials and labor.
Renter of informal structure	Loss of dwelling, potential loss of access to work place.	<ul style="list-style-type: none"> • Inclusion in social rehousing schemes. • Rental subsidy / voucher for up to 24 months while waiting for the availability of the units in resettlement site or temporary transfer to staging area (<i>extendible as necessary</i>). • Assistance for incidental costs during transitional period in resettlement site (akin to P18k Oplan Likas Family Assistance) • Moving assistance – trucks for personal belongings, vans for women and children.

⁸ Following Para #35

		<ul style="list-style-type: none"> Free access to skills training and related livelihood restoration programs for qualified family members, with equal access of both male and female members, to be specified in the RAP.
Owner of private land – market sale	Loss of property and assets	<ul style="list-style-type: none"> Willing seller-willing buyer arrangement, negotiated on the basis of land market price and replacement cost of assets.
Owner of private land - expropriation	Loss of property and assets	<ul style="list-style-type: none"> Replacement cost based on market value based on the conditions and procedures stipulated under government policies (RA 10752).
Private owner Trees	Removal of trees / loss of assets	<ul style="list-style-type: none"> Compensation based on current market value as determined by a government financial institution pursuant to Sec. 5 of RA 10752.
Owner of standing Crops	Loss of income.	<ul style="list-style-type: none"> Compensation based on current market value as determined by a government financial institution pursuant to Sec. 5 of RA 10752
Titled owners' structures and immovable assets	Loss of fixed assets.	<ul style="list-style-type: none"> Compensation at replacement cost.
Renters of private land	Loss of land use; loss of income.	<ul style="list-style-type: none"> Land owner to reimburse unused portion of lease payments made; assistance to shift to another site. Given a minimum of 3 months' notice, compensated for any rent paid in advance as well as for any structures or improvements made by the lease holder.
Informal users of private land	Loss of dwellings and structures; loss of income from land-based activities.	<ul style="list-style-type: none"> Resettlement and assistance as provided for loss of dwellings. Compensation for crops if used for agricultural purposes or allowing harvest existing crops, where possible. Assistance to shift to another site if used for commercial purposes.
Vulnerable People	Resettlement could affect social support networks and physical conditions of elderly, disabled or handicapped PAPs.	<ul style="list-style-type: none"> As an additional measure, welfare agency support will be provided to ensure that vulnerable people like persons with disabilities are assisted as needed in resettlement transition.
Female-headed households	Resettlement may pose additional hardships for female	<ul style="list-style-type: none"> Such households will be identified in baseline surveys with follow-up on specific issues in consultations. The Project will facilitate strong coordination with welfare and livelihood

	household heads, especially those who are very poor or without sufficient social network support.	agencies such as DSWD, DTI, and TESDA who in turn will assist with additional measures needed to ensure a smooth transition in resettlement for female household heads and children.
Fisher folks, water hyacinth harvesters and waste pickers	Economic losses	<ul style="list-style-type: none"> Livelihood restoration opportunities will be offered to affected vulnerable groups, including maintenance of access to waterways for fisher folks and provision of alternative job opportunities for affected waste pickers

I. Land Acquisition, Valuation and Resettlement Procedures

70. The procedures and conditions guiding land acquisition and resettlement are as follows:

Land Acquisition

71. Land acquisition under this Project shall be based on applicable operating policies of the World Bank and government policies particularly RA 10752 as enumerated under Sec. F.

72. SEC. 5. of RA 10752 have the following key steps on negotiated sale:

- a) The implementing agency shall offer to the property owner concerned, as compensation price, the sum of (1) The current market value of the land, (2) The replacement cost of structures and improvements therein; and (3) The current market value of crops and trees.
- b) To determine the appropriate price offer, the implementing agency may engage the services of a government financial institution with adequate experience in property appraisal, or an independent property appraiser accredited by the Bangko Sentral ng Pilipinas (BSP) or a professional association of appraisers recognized by the BSP to be procured by the implementing under the provisions of Republic Act No. 9184, otherwise known as the “Government Procurement Reform Act” and its implementing rules and regulations pertaining to consulting services.
- c) The property owner is given thirty (30) days to decide whether or not to accept the offer as payment for his property. Upon refusal or failure of the property owner to accept such offer or fails anchor refuses to submit the documents necessary for payments, the implementing agency shall immediately initiate expropriation proceedings.
- d) With regard to the taxes and fees relative to the transfer of title of the property to the Republic of the Philippines through negotiated sale, the implementing agency shall pay, for the account of the seller, the capital gains tax, as well as the documentary

- stamp tax, transfer tax and registration fees, while the owner shall pay any unpaid real property tax.
- e) If requested by the property owner, the implementing agency shall remit to the LGU concerned the amount corresponding to any unpaid real property tax, subject to the deduction of this amount from the total negotiated price. Provided, however, that the said amount is not more than the negotiated price.
 - f) The property owner and the implementing agency shall execute a deed of absolute sale: Provided that the property owner has submitted to the implementing agency the Transfer Certificate of Title, Tax Declaration, Real Property Tax Certificate, and other documents necessary to transfer the title to the Republic of the Philippines. The implementing agency shall cause the annotation of the deed of absolute sale on the Transfer Certificate of Title.
 - g) Upon the execution of a deed of sale, the implementing agency shall pay the property owner: (1) Fifty percent (50%) of the negotiated price of the affected land, exclusive of taxes remitted to the LGU concerned under subparagraph (d) herein; and (2) Seventy percent (70%) of the negotiated price of the affected structures, improvements, crops and trees, exclusive of unpaid taxes remitted to the LGU concerned.
 - h) The implementing agency shall, at the times stated hereunder, pay the property owner the remaining fifty percent (50%) of the negotiated price of the affected land, and thirty percent (30%) of the affected structures, improvements, crops and trees, exclusive of unpaid taxes remitted to the LGU concerned under subparagraph (d) herein: *Provided*, That the land is already completely cleared of structures, improvements, crops and trees.

Modes of Land Acquisition

73. In relation to private lands, the following modes of land acquisition will trigger WB's OP 4.12 for which DPWH will be required to conduct necessary field investigations and surveys in accordance with the provisions of this RPF for resettlement plan preparation and implementation:

74. *Grant of Right-Of-Way (ROW)*: If access to pumping stations or related facilities will traverse private properties, the project may seek the imposition of an Easement of Right-of-Way (ROW) provided for under the Philippine Civil Code. In such cases, a R-O-W easement agreement will be made between the property owner and the project, whereby the owner will grant the project the right to use the affected portion of the land parcel as a R-O-W. The owner retains ownership of the said portion of the lot. In these cases and depending upon the agreement between the project and the property owner, either the easement rights are given free of any charges or on some payment by the project to the owner. The payment can be based on the value of the affected portion of the lot determined by an independent appraiser according to internationally accepted norms, and taking into account existing zonal valuation declared by

BIR. In addition, the project is required to compensate the owner for any improvements and/or structures on the land affected by the ROW at replacement cost. The project will enter the easement area after the provision of the full payment for the easement to the property owner. The ROW easement agreement will be immediately registered with the Registry of Deeds.

75. *Usufruct:* The project may also acquire a property through usufruct. The property owner retains the ownership of the land, while the project enjoys the benefit of the use of land. The project and the property owner will execute a usufruct agreement. The agreement will cover the rights and responsibilities of the two parties, including the duration of the usufruct which should not be less than the project life.

76. *Lease Agreement:* The project may also acquire lands through lease agreements with the property owner. The project and the property owner will execute a Lease Contract. The contract will cover the rights and responsibilities of the two parties, including the duration of the lease which should not be less than the life of the project. Under this agreement, the land owner continues to retain legal ownership of the land parcel. All land transactions should be registered with the Registry of Deeds for annotation in the title of subject property.

77. *Expropriation:* DPWH, as a government agency, is empowered to invoke the right of eminent domain to acquire private properties. However the threat of expropriation may not be used as leverage in negotiations with land owners. Expropriation is discouraged as a means of land acquisition under this Project and may only be used in special circumstances where it is determined to be the only viable option for land acquisition, in which case the World Bank is to be informed, consulted, and will provide clearance in such instances.

78. *Open Market Purchase:* DPWH may enter into open market purchase negotiations with the land owner. Where land is acquired by direct purchase from land owners, DPWH will prepare a Land Acquisition Report, which includes a certified cadastral record of the plot(s) and legal documentation of sale. Under this option, a protocol will be applied with the following criteria:

- a) Inventories of affected land and other fixed assets will be prepared in consultation and collaboration with affected land owners and submitted to the World Bank;
- b) An open consultative process will be used to ensure that negotiations for direct purchase are carried out in a transparent manner.
- c) Ensure that compensation paid is at market prices to enable all affected land owners to replace their affected assets and that the affected land owners do not suffer a net loss.
- d) Keep records of public consultations. Document negotiation proceedings in a legal agreement, and up-date land records.

- e) Private land to be acquired will be free of ownership disputes and encumbrances;
- f) The Project will resettle any informal occupants and informal land users in accordance with the RPF. The Project will ensure that any adverse impacts on sources of incomes and livelihood are effectively mitigated;
- g) All negotiation proceedings will be documented and the final agreement will be signed by the negotiating parties;
- h) The negotiated amount will be fully paid (after the submission of the required documents) and before the land is taken by the Project; The Project will submit completed documents including maps to the World Bank to document RPF-compliant acquisition of the required land; and
- i) Where land owners have documented rental agreements for households, businesses, or other purposes, such lease holders or those customarily paying rent to the land owner for use of the land, will be given a minimum of 3 months' notice, compensated for any rents paid in advance as well as for any structures or improvements made by the lease holder. The lease holder has the right of salvage of materials procured by the lease holder.

79. No PAPs, structures, or crops will be moved until PAPs have been fully compensated and relocation sites or transitional arrangement are provided. In cases where relocation sites are not yet ready, PAPs will be offered relocation to a staging area or a rental subsidy up to the time of their transfer to the resettlement site. After PAPs have signed the resettlement and rental subsidy agreement and been fully compensated for lost structures and crops, their structures will be demolished once they have moved to their respective rental units or temporary staging areas with project assistance for transporting personal belongings.

80. Specifically for resettlement under Component 3, other modes of land acquisition enumerated under RA 7279 (Urban Development and Housing Act) such as community mortgage, land swapping, land assembly or consolidation, land banking, voluntary land donations to the Government, joint-venture agreements, negotiated purchase, and expropriation, among others, shall be explored and employed where viable.

Valuation of affected assets

81. The RPF provides for compensation for all assets, including land, at full replacement cost⁹. To meet the above objectives, the project will follow the valuation procedures for different types of affected assets as below.

⁹ Per OP 4.12, "Replacement cost" is the method of valuation of assets that helps determine the amount sufficient to replace lost assets and cover transaction costs. In applying this method of valuation, depreciation of structures and assets should not be taken into account.

82. Land: The project will contract professional real estate appraisers for valuation of affected land to determine the prevalent range of market prices. Subsequent negotiations for land purchase will be based on the market prices determined by the appraisers. The land owner may also engage the services of real estate appraisers to support negotiations. If there is no other option and land must be acquired under eminent domain, the final prices of affected land will be at least equal to or higher than the prevalent market price to ensure that the land owner is able to replace affected land at current market prices. Transaction costs shall be borne by the Project. All instances of land acquisition through expropriation will require justification as the only option and will be submitted for review and clearance by the World Bank.

83. Private Land (Market sale): Valuation of private land will be undertaken by professional registered real estate appraisers or similar certified land agents based on comparator properties. Where land is to be obtained through a willing seller – willing buyer arrangement, in which expropriation is precluded, both parties may engage the services of professional real estate appraisers to facilitate negotiations.

84. Private Land (Expropriation): Under RA 10752, valuation of private land to be acquired through expropriation is determined by the court of law. Where it is unavoidable that land must be obtained by means of expropriation, the project shall acquire the land through the manner described in Para #69.

85. Structures: DPWH or MMDA will ensure that the compensation for affected structures is paid at replacement cost based on current market prices for materials and labor. The compensation for affected structures will be paid without any depreciation and deductions for salvaged material. MMDA/DPWH will ensure that professional expertise be employed to appraise reconstruction costs on the basis of current market prices to arrive at rates for different types of structures.

- a) Valuation of property owners' structures and immovable assets will be based on replacement cost as appraised by qualified builders or similar professional experts and will be a factor in negotiation of a sale price where a willing seller – willing buyer arrangement is used.
- b) Valuation of property owners' structures in unavoidable instances of expropriation will be based on replacement cost as appraised by qualified builders or similar professional experts. Both parties may engage the services of an appraiser. Compensation for lost structures and immovable assets should include a 10% premium to ensure that the amount paid is above replacement cost for structures and immovable assets.
- c) Project-affected persons losing more than 20 percent or all of their productive assets (agricultural land, house, or business) or in cases when the remaining assets are not economically viable, are entitled to: (a) full compensation at replacement cost of the

entire asset or at direct land/asset replacement; and (b) rehabilitation assistance that allows them to enhance or at least maintain their standard of living.

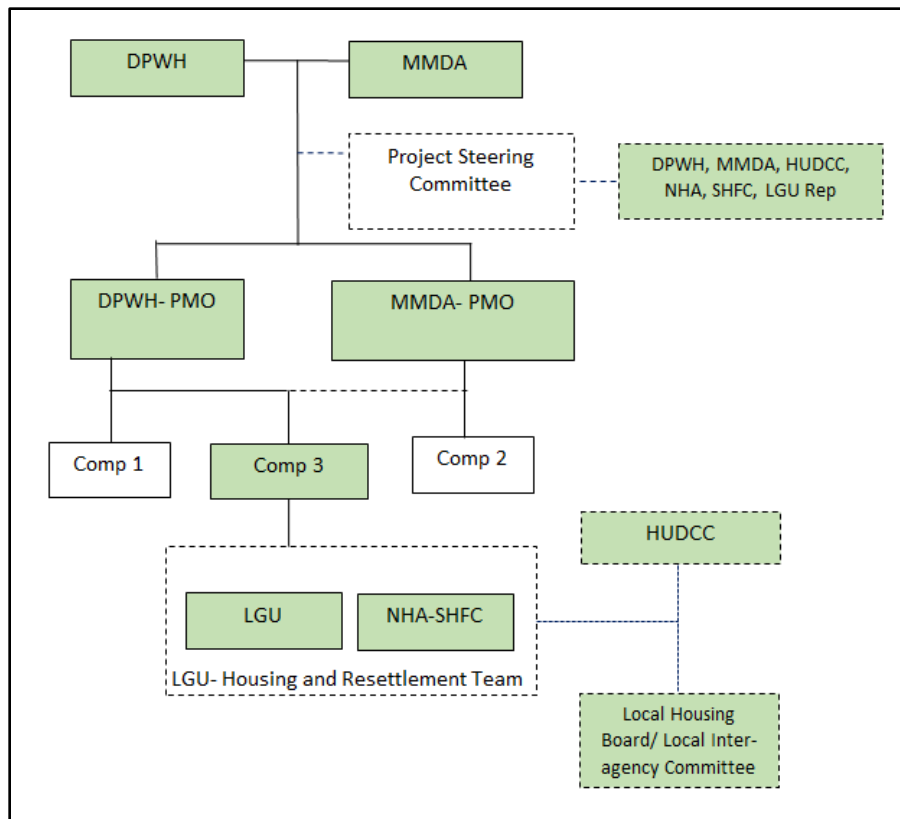
86. Trees and crops: Compensation rates for affected trees are provided by DENR and for affected crops by Department of Agriculture. Market value will be provided for standing crop losses. Compensation for fruit trees will be based on the cost of replacement root stock, and on agronomic data for annual yields needed to calculate the value of production income lost over the time needed to re-establish new root stock to fruit bearing age. The value of timber trees will be assessed at market price.

Determining Fair Market Value

87. Section 7, RA 10752. Standards for the Assessment of the Value of the Property Subject to Negotiated Sale. – In order to facilitate the determination of the market value of the property, the following relevant standards shall be observed:

- a) The classification and use for which the property is suited;
- b) The development cost for improving the land;
- c) The value declared by the owners;
- d) The current selling price of similar lands in the vicinity;
- e) The reasonable disturbance compensation for the removal and demolition of certain improvements on the land and for the value of improvements thereon;
- f) The size, shape or location, tax declaration and zonal valuation of the land;
- g) The price of the land as manifested in the ocular findings, oral as well as documentary evidence presented; and
- h) Such facts and events as to enable the affected property owners to have sufficient funds to acquire similarly situated lands of approximate areas as those required from them by the government, and thereby rehabilitate themselves as early as possible.

J. IMPLEMENTATION PROCESS, LINKING RESETTLEMENT IMPLEMENTATION TO CIVIL WORKS



88. MMFMP will be implemented with oversight provided by a Project Steering Committee which is composed of senior personnel and representatives from line and oversight agencies, including DPWH, MMDA, DILG, HUDCC, NHA, SFHC, PCUP, TESDA, DOST, DoF, DBM, and NEDA. The Project Steering Committee will be responsible for reviewing and approving resettlement plans.

89. The preparation of resettlement action plans (RAP) and due diligence reports (DDR) to be implemented under component 3 will be the responsibility of DPWH as the design agency for a particular drainage area, in close cooperation with MMDA, HUDCC, NHA or SHFC, and the concerned LGU/s. The RAP or DDR will stipulate the arrangements for their implementation, which will be supervised by DPWH.

90. NHA or SHFC will be the direct implementing agencies for all activities related to resettlement. Specifically, NHA or SHFC will be in charge of:

- a. presenting all available resettlement options to PAPs;

- b. land acquisition
- c. housing and site development
- d. contracting service providers for social preparation and technical studies, as needed;
- e. provision of rental assistance to PAPs; and
- f. engaging service providers to implement livelihood support activities for PAPs.

91. A geographical division of labor was agreed between NHA and SHFC. NHA will be the lead agency for Manila, Pasay, San Juan, and Makati (Southern and Western area of NCR), while SHFC will be the lead agency for Quezon City, Malabon, Muntinlupa, and Pasig. However, if certain ISF communities in the designated LGUs already have ongoing/planned partnerships or have preferences for either one of the agencies, communities will be assigned to either one of the agencies on an individual basis, irrespective of the geographical location. All resettlement activities will be carried out in close coordination with relevant LGUs, including the host LGU, and under the oversight of HUDCC.

The Project Management Office (PMO)

92. DPWH has a well-established PMO under the Flood Control Management Cluster that will take charge of Component 1 and 3. The DPWH PMO will coordinate with participating LGUs to establish the definitive list of PS sub-projects. The PMO in association with the relevant LGU/s will identify and delimit the technical footprints and any related areas needed for sub-projects and with NHA/SHFC carry out safeguards screening, including determination of resettlement impacts and the number of PAPs to be resettled in a given drainage area.

93. The PMO will be staffed with qualified DPWH personnel and assisted with implementation support consultants as needed. The PMO will be managed by a project manager, and will include a resettlement specialist, a social development specialist (may come from the DPWH ESSD), a livelihoods specialist, a supervising engineer, a procurement specialist, a financial management specialist, a monitoring and evaluation specialist, a gender and development specialist, and other specialists, as needed during project implementation. With supports from partner agencies and LGUs, the PMO will have overall responsibility for:

- Screening and detailed assessments of involuntary resettlement impacts for the sub-projects to be taken up;
- Screening, evaluating, and approving subprojects proposed by the participating LGUs. Approval of sub-project financing must be supported by confirmation from the participating LGU that sites for re-housing and rental housing stock is made available to meet the resettlement needs of a given LGUs set of sub-projects;

- Identification of sub-project PAPs; conducting mapping, surveys, and census tagging of PAPs;
- Organizing and conducting consultations, arrangements for community participation, and public disclosure;
- Ensuring that resettlement for all sub-projects, regardless of financing source, comply with the provisions of the ESMF and RPF, and WB OP 4.12;
- Assisting the LGUs in setting up their respective Housing and Resettlement Team to handle the day-to-day operation and implementation of housing and resettlement activities;
- Ensuring that sufficient funds are made available for housing and resettlement activities;
- Assisting the LGUs in establishing a grievance redress standardized mechanism, as described in this RPF, to receive and facilitate tracking and resolution of affected peoples' concerns, complaints, and grievances;
- Establishing a Public Complaints Unit which includes a grievance committee or panel composed of respected independent individuals to assist with grievance redress in difficult instances.
- Conducting capacity-building activities for officials and staff of SHFC, NHA, and LGUs, as needed, including but not limited to (a) resettlement planning including identification of PAPs, mapping/survey and census tagging, (b) construction supervision/monitoring, (c) resettlement M&E and reporting, and (d) grievance handling;
- establishing and maintaining a standardized resettlement monitoring and evaluation (M&E) system under the project;
- Preparation of quarterly resettlement monitoring reports to be submitted to MMDA and DPWH management, HUDCC, and the World Bank
- Contracting services of external monitoring agents for independent monitoring and evaluation of RAPs; and
- Ensuring that contracts for contractors and sub-contractors stipulate preclusion of access to project sites before the PMO has issued clearance. (i.e. resettlement has progressed to a point at which PAPs have vacated the site as per provisions of the RAP.)

94. The LGUs will be the anchors of the resettlement activities. Assisted by the DPWH PMO, each participating LGU will be required to establish a tripartite Housing and Resettlement Team (HRT) to oversee and support the day-to-day implementation of resettlement activities. The HRT will be composed of staff drawn from relevant LGU offices (Urban Poor Affairs Office/Urban Settlements Office, City Social Welfare and Development, City Planning Office, and City Engineering Office), designated personnel from NHA or SHFC, and representatives from the CSO that will be engaged to carry out social preparation activities. Staff from other city departments including Budget Office, City Planning and Development Office, and City Environment and Natural Resources Office may be engaged as project activities require.

95. Each LGU, in close collaboration with the PMO and NHA/SHFC, will provide specific details on land or site areas to be used for their sub-projects. LGUs will also identify and assess any current or planned re-housing programs which are underway, such as those taken up as voluntary initiatives by CSOs and community groups, to assess their stage of progress to completion and identify any financial or other assistance needed to ensure that the resettlement process can progress to a point which enables access to sub-project sites in a timely way and that complete resettlement under such arrangements will be achieved before the end of the life of the MMFMP to enable closure.

96. LGUs have options for land acquisition or securing long-term use of sites needed for in-city resettlement. These include LGU land and premises that can be acquired through re-allocation. National Government lands may also be allocated with the assistance of NHA. Private land can be purchased, leased, accessed on the basis of usufruct, or expropriated. (As indicated, expropriation would require review and clearance from the World Bank.)

97. Tenure security and affordability issues associated with the sustainability of resettlement options for PAPs must also be addressed in advance of sub-project approval for inclusion by MMFMP. Some PAPs may have access to mortgage-based schemes through SHFC, which provides group loans to community initiatives seeking financing for what are sometimes called, "Peoples Plans". This option may not be affordable to all. NHA also provides loans, although most are for off-city locations, on an individual basis. Mortgages range from a full mortgage for land and home, others may provide credit with a lower mortgage for a home only where built on land either leased on provided through usufruct. Mortgage-based methods for in-city resettlement will be unaffordable for a large number of PAPs, especially among ISFs. In order to make in-city resettlement an affordable option to all PAPs, component 3 of the project will include: (i) provision of upfront income-based capital subsidy to bridge the affordability gap, specifically for those who opt for in-city vertical housing, with the amount of subsidy to be adjusted every five years through assessments of the PAP's income levels; (ii) land will be provided by both SHFC and NHA on a usufruct arrangement to minimize the financial burden on the PAPs; and (iii)

construction price ceiling and minimum specifications will be standardized for both agencies' programs to avoid inequity.

98. When the issues of site availability and affordability have been addressed, a memorandum of understanding (MoU) is then made between the PMO, NHA or SHFC and the LGU to confirm the resettlement from a drainage area. The MoU will set out key actions to be taken and the respective responsibilities of the parties needed to enable timely site access to sub-projects. These actions will also be reflected in the RAP. This agreement will ensure that arrangements for OP 4.12-compliant resettlement which can reasonably be completed during the life of the project are documented and in place. |

Process for Preparing and Approving Resettlement Plans

99. **Disclosure of the Resettlement Policy Framework in the Affected Barangays.** The PMO, together with NHA or SHFC and LGU concerned will disclose the RPF to the PAPs through the Barangay/s to which they belong. Public consultations or meetings will be held with officials of the barangay together with the PAPs. Minutes of Meetings or other evidence of discussions will be required in accordance with World Bank Policy OP 4.12. The following topics will be discussed during the barangay level meetings:

- a) Brief project description
- b) Entitlement and Compensation policies adapted by the project
- c) Succeeding resettlement planning activities such as census validation and tagging socioeconomic survey
- d) Detailed measurement survey (inventory of affected assets)
- e) Establishing the cut-off date

100. **Identification of Project Impacts and Affected Population.** The PMO will deploy a Social Study Team to identify project-affected persons (PAPs) and assess impacts of resettlement. The Team will also assess: potential break up of communities and social support networks; loss of dwellings and other structures (wells, porch, fences); public structures; agricultural lands (for resettlement sites); trees and standing crops; loss of access to communal resources such as water source; loss of business; loss of access to public infrastructure and services; and reduced income resulting from these losses.

101. **Simultaneous Census and Surveys.** As agreed with partner agencies and the World Bank, census and surveys will be undertaken simultaneously for sites with resettlement impacts. A census and survey team will be commissioned by the PMO to carry out these tasks:

- a) **Detailed Measurement Survey (DMS).** In determining the project impacts and the affected population, the Study Team will be undertaking a DMS. This is the process

where all fixed assets such as land, structures, crops, communal facilities, etc., are measured and their owners are identified. The DMS will also include an assessment of the severity of impacts on income/source of livelihood due to loss of fixed assets.

- b) **Census and Tagging.** Census provides information on the scale and complexity of the required resettlement planning. The census will encompass all people who are physically or economically displaced by the project, regardless of their legal status (landowner, tenant, informal settler).
- c) Locally hired enumerators, after undergoing training, will conduct actual interviews with all families residing or conducting livelihood activities within the project area that will be economically or physically displaced. The Census will compile the following information:
 - i. Summary data on household, by ethnicity; gender of head of household whether the household is headed by women, elderly, ethnic minority, person with disability (PWD); household size, primary and secondary source of livelihood, income level;
 - ii. Tenurial status and duration of tenure; ownership of occupied structure;
 - iii. Whether the affected land or affected livelihood is a primary source of income; and
 - iv. PAPs knowledge on the project, preference for compensation, relocations sites, and rehabilitation assistance.
- d) Following the household interview, a tag sticker – containing the control number, date when the interview was conducted, and the name of enumerator – will be affixed to the affected structure. A photograph of the household and owners, wherever possible, will also be taken.
- e) **Replacement Cost Survey (RCS).** This will be done in parallel with the activities mentioned above. The survey involves collecting information from both primary and secondary sources (direct interviews with people living within the project area, material suppliers, and house contractors) and the PAPs. The results of the RCS will be used as a basis in estimating the compensation and entitlement of affected structures and other improvements. A Quantity Surveyor will be engaged to conduct the RCS.
- f) **Socioeconomic Survey.** To establish baseline information on the demography, income and expenditures, occupation and livelihood (including formal and informal economic activities), resource use patterns including use of common property, social organization and leadership, other cultural and ethnic parameters, a socio-economic survey or other appropriate methodology will be conducted among PAPs.

- g) The sample size for the survey shall not be less than 20% of any significantly affected population of PAPs. The survey will be disaggregated by gender and income in order to determine whether PAPs that are significantly affected are poor or otherwise vulnerable and require additional measures to ensure they are left with at least the same standard of living as their pre-project status. Furthermore, household and economic activities (formal and informal) will be disaggregated by gender wherever possible in order not to create additional burden on men's or women's current activity as a result of the project (e.g. relocating water supply does not significantly impact time spent by family members on water collection tasks each day). The survey will provide a local basis through appraisal of market prices and support recommendations on just compensation procedures and entitlement for all PAPs that will provide replacement cost at current market value.
- h) Locally hired or LGU-referred interviewers, after undergoing training, will conduct actual interviews on selected households under close supervision of the Social Study Team.
- i) **Continuing post-survey consultations** will cover issues related to resettlement site options, entitlements, timing and key steps to be taken in their resettlement. The PMO will introduce the community contact person and contact details; inform them of arrangements for the timely provision of relevant information and management of grievances or issues if and as they arise. The community will be encouraged to actively participate in resettlement activities and asked to designate individuals to represent them in the resettlement process. The actual preparation of the Resettlement Plans may commence after the RPF disclosure process has been completed and engineering designs and the establishment of technical footprints have been completed.
- j) Resettlement site options will necessarily vary: Resettlement areas may be at other in-city locations. However, where physical resettlement at an in-city sites are is not feasible, the LGU may opt to undertake restructuring or redevelopment, preferably in the immediate vicinity, of slum areas. This option will necessarily involve host communities, for whom the same RAP procedures and entitlements will be provided. Where redevelopment is indicated as the best option under prevailing circumstances, census, socio-economic, and assets inventories will be carried out for host areas in this initial phase. To the extent possible, employment priority will be given to PAPs in reconstruction and redevelopment work. If it is arranged that communities from the LGU are to be resettled in a neighboring LGU, the PMO will facilitate a MoU between the two LGUs and ensure effective coordination and the provision of any

budgetary or other resources are provided to ensure that RAPs are implemented in a timely manner in compliance with this RPF.

- k) **Preparation of Compensation and Entitlements.** After determining the replacement costs of affected structures, crops and other improvements, compensation packages will be formulated based on the RPF. The compensation packages will cover the replacement cost of affected assets, disturbance compensation and rehabilitation cost for damaged public structures. The resettlement plans will be prepared following the World Bank format in Section 111 and Annex C.

102. **Submission and Approval.** The RAP will have the following review and approval structure:

- a) DPWH management to sign off on all RAPs and Abbreviated RAPs
- b) World Bank for the first 3 RAPs and 1 Abbreviated RAP.

Land Acquisition/Resettlement Plan Appraisal

103. Land acquisition shall be governed by this RPF. When involuntary resettlement is necessary, the following guidelines in project appraisal shall be adopted:

- a) The Social Safeguards Specialist/Land Acquisition and Resettlement Specialist of the Project Management Office (PMO) together with his/her counterpart in housing agency concerned will conduct an inventory of project-affected persons (PAPs) on the site to be acquired and developed;
- b) Once the inventory of PAPs has been completed, consultations/meetings shall be conducted. During these meetings, the Social Safeguard Specialist will explain the project's benefits and adverse impacts and mitigating measures to be adopted and the resettlement compensation packages, valuation, and payment schemes prescribed under the project;
- c) All consultation meetings including issues raised and agreements reached and other related activities must be properly documented and copies of which shall be submitted to the PMO as basis for validation;
- d) Compensation for lands shall be based on OP 4.12 as well as applicable government policies and guidelines as identified in Section I, above;
- e) The PMO must also prepare a full resettlement plan if the project affected persons are more than 200 or an abbreviated resettlement plan if the PAPs are less than 200 based on OP 4.12 guidelines;
- f) Funds for implementing the resettlement plan shall be provided by the DPWH through NHA or SHFC and that resettlement costs provided should be sufficient to comply with OP 4.12; and

- g) All arrangements and agreements indicated in the resettlement plan shall be subject to review and concurrence/approval of the Project Steering Committee.

Land Acquisition/Resettlement Plan Approval

104. The following guidelines shall govern in the approval of the land acquisition when involuntary resettlement is necessary:

- a) The Project shall not proceed with the endorsement of the land acquisition for approval unless a compensation package in accordance with this framework, satisfactory to all concerned, is agreed upon between the DPWH, the owners of land/asset affected and those who stand to lose their crops, jobs, or sources of income.
- b) Land acquisition for approval that involves resettlement must be supported by the following documentary requirements:
 - i. Resettlement Plan
 - ii. Master list of PAPs
 - iii. Summary of Affected Lands and Improvement/Livelihood
 - iv. Legal documents signed by all the concerned PAPs

Land Acquisition/Resettlement Implementation

105. The Project shall not allow any land development activities to commence until the compensation has been paid and resettlement, when necessary, is completed in accordance with this document and to the satisfaction of the PAPs. Payments of compensation and provision of other entitlements (in cash or in-kind) must be satisfactorily completed prior to the World Bank issuance of “no objection” for award of contract for civil works.

106. Similarly, in cases where PAPs voluntarily contribute any part of their lands and/or assets for the subproject, all deeds of donations and other relevant legal documents must be satisfactorily completed prior to the World Bank issuance of “no objection” for award of contract for civil works.

Resettlement Plan Review and Finalization of Legal Documents

107. After complete mobilization, the PMO will review the Resettlement Plan and all its supporting documentation. This activity aims to:

- a) Familiarize the PMO with the document and the processes that need to be followed;

- b) Determine the commitments of the partner KSA and LGU with the project affected persons (PAPs);
- c) Assess the status of all legal documents related to the transfer of ownership of assets to be affected and determine the remaining works to be done; and
- d) Update the Resettlement Plan if necessary if there is delay in the implementation and prepare the resettlement monitoring instruments for use of the internal and external monitoring agents.

108. Guided by the updated Resettlement Plan, the PMO shall complete all necessary documentation within the prescribed time period. The documentary evidence needs to be reviewed to determine if:

- a) The census of PAPs is complete;
- b) The inventory of affected land, crops/trees, and structures is complete;
- c) Supporting documents are complete and in order (i.e. lot survey plan, deed of sale/donation, engineering drawings, and cost estimates, title to replacement land, etc.); and
- d) Remaining work needs to be done.

109. Deficiencies are to be noted and a work plan put in place with the goal of completing all documentary requirements necessary to effect the transfer of affected assets to DPWH, and payment of compensation and delivery of benefits no less than a month prior to the start of civil works.

Payments Processing

110. Once all of the documentation is determined to be complete, the requests for payment shall be submitted to DPWH for processing using the usual government procedures. One of the essential supporting documents for the processing of lot payments is the Transfer Certificate of Title (TCT) drawn in favor of the government. The process of transferring ownership of the affected lot from its original owner to the government takes time to complete, resulting in the possible delay of payment and delivery of benefits to the PAPs. As a mitigating measure, the DPWH may allow the use of a certification that the TCT for the affected lot is being processed in lieu of a TCT. However, it should be clear that the TCT and consolidation process should be completed prior to compliance monitoring. Otherwise the payment may be held in abeyance or shall be held in escrow.

111. Upon the completion of the required legal documentation, and processing of all claims and Resettlement Plan related expenditures, the PMO/DPWH will proceed to pay the agreed entitlement compensation and deliver the other benefits to all of the PAPs. A record of all

payments received by the PAPs, as well as certificate of acceptance from the concerned PAPs for all received entitlements shall be kept for future review and audit. Other concerned groups may be invited to witness the activity. All records of compensation will be sex-disaggregated and monitoring of compensation delivery and subsequent impacts post-RAP implementation will be sex-disaggregated to ensure that men, women, and children are not disadvantaged by the RAP process.

Acquisition and Clearing of Land and Consolidation of Title

112. After delivery of the entitlements to the PAPs, an order will be issued by DPWH to take possession of the land and clear it of all structures, vegetation, and other obstructions.

113. PAPs will be given a total of 30-day notice after the entitlement is provided before DPWH will take possession of the land. Clearing operations should be scheduled prior to the start of civil works and should be properly relayed to the PAPs at least a week prior to demolition work. If there are PAPs to be relocated, then the PMO should ensure that these households are transferred to the relocation site prior to clearing operations. All resettlement acquisition and compensation must be satisfactorily completed one (1) month prior to the commencement of civil works. If the replacement site is not yet available at the time of clearing, the PMO should provide a suitable temporary shelter for the affected households while waiting for the intended facility to be completed.

Funding Resettlement

114. Funding for the resettlement shall be from DPWH through NHA or SHFC. DPWH shall be responsible in clearing the lands of informal settlers in accordance with the social safeguards stated in this RPF and in the RAP document.

Key Components of Sub-project Resettlement Action Plans (in RAP planning)

115. The scope and level of detail of the sub-project RAPs will vary with respect to the magnitude and complexity of resettlement. In sub-projects where the magnitude of displacement is less than 200 people, an Abbreviated RAP may be prepared, the contents of which is given below. Where more than 200 people are to be resettled, a full RAP is prepared. A sub-project RAP will cover the elements listed below, as relevant. Annex C provides for the complete elements of a RAP.

- a) Description and location of the sub-project.
- b) Specific sub-project impacts and activities that necessitate resettlement; the alternatives considered to avoid or minimize resettlement; and mechanisms established to minimize resettlement during project implementation.

- c) RAPs require a census and related studies of all project-affected people. The census will enumerate all PAPs to be displaced by land acquisition (permanent and temporary). Notification is made to ensure that the cut-off date for eligibility is the date of commencement of the census. This precludes inclusion of any influx of new people or opportunity-seekers seeking benefits.
- d) A socio-economic survey is undertaken, either during the census or as soon thereafter as possible, depending on the number of people affected and logistics. The socio-economic survey will collect information on the demographic composition of affected households, gender-differentiated occupations of household members and their income streams (formal and informal), and data on health status, access to services, levels of education, and other salient features needed to help plan resettlement and provide baseline measures needed for post-resettlement evaluation and closure (sample survey instruments are provided in Annex B). This survey will gather information on vulnerable groups or persons for whom special provisions may have to be made. The socio-economic survey will take note of social support systems, and how they will be affected by the project; access to public infrastructure and social services that will be affected; and social and cultural characteristics of displaced communities, including a description of formal and informal institutions (e.g., community organizations, ritual groups, nongovernmental organizations (NGOs)) that may be relevant to the consultation strategy and to designing and implementing the resettlement activities.
- e) An asset survey is undertaken along with the socio-economic survey. The asset survey will record the area and construction features of dwellings and other structures as well as any fixed or immovable assets to be lost. This data is needed as a basis for calculation of compensation to be paid to PAPs that lose assets, which is calculated at replacement cost (asset inventory forms are shown in Annex B).
- f) The resettlement action plan will list the entitlements and other compensation to be given to each category of affected people.
- g) The RAP will include the institutional responsibilities for implementation and procedures for grievance redress;
- h) The RAP will include the arrangements for monitoring and implementation;
The plan will provide a timetable, which is synchronised with the construction schedule and a budget.

116. Where the number of affected individuals is less than 200 people, an Abbreviated RAP may be prepared. An Abbreviated RAP includes:

- a) a census survey of displaced persons and valuation of assets;
- b) a description of compensation and other resettlement assistance to be provided;
- c) documented consultations with displaced people about acceptable alternatives;

- d) institutional responsibilities for implementation and procedures for grievance redress;
- e) arrangements for monitoring and implementation; and
- f) a timetable and budget.

117. All resettlement plans must document consultations and involve communities in planning and implementation to the extent possible. Project-affected people must be informed in a timely way about key stages and events in the planning and implementation process and made aware of measures in place for grievance redress and management of issues or problems which may arise during implementation. Specifically, they will be cognizant of designated sub-project community contact personnel, the times and locations at which they are available, and their contact details.

K. Remedial Measures for Project-affected and Legacy Groups previously resettled by Oplan Likas and Other Resettlement Programs

118. On the basis of retrospective due diligence, the project will identify significant issues and gaps in the resettlement outcomes for previously resettled project-affected ISFs for whom retroactive measures will be developed. A retrospective due diligence will be carried out for this legacy group which will identify and assess any significant gaps and propose remedial actions at the community level, as needed, to bring resettlement conditions in line with the following overall objectives of World Bank OP 4.12: (a) Resettlement activities conceived and executed as sustainable development programs, providing sufficient investment resources to enable the persons displaced by the project to share in project benefits; and (b) Displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

119. The due diligence process necessitates the use of tracer studies. This requires tracking of specific ISFs from original locations within the sub-project's technical footprint using records and data provided by NHA and LGUs as applicable. Questionnaires will be applied along with structured interviews with key informants and group discussions. Findings will be gender-differentiated and provided in reports for each sub-project. Key gaps in line with the requirements of the RPF and OP 4.12 will be identified and measures will be proposed in consultation with relevant government officials to remediate any significant gaps in resettlement outcomes through community-based developments that will benefit the larger resettlement community.

120. The Project will explore innovative solutions in the implementation of remedial measures. On the one hand, there is an issue of public perception and equity. Provision of extra benefits to a select few poses a potential issue as any remedy or entitlement given to a few would be expected by all. As such, remedial measures will target communities rather than individual

households. It will take the form of community-level interventions such as provision of community-based infrastructure and community livelihood programs. On the other hand, the big population and community dynamics of some resettlement sites will render community-based approach challenging. Innovative and site-specific solutions will be agreed by the PMO and partner agencies with each community.

121. For those who were resettled between December 8, 2014 and specific sub-project's census (Group 2), remedial measures will focus on individual level interventions but may consider community-level interventions, if agreed with PAPs during public consultations with them.

122. Tracing and locating ISFs that were relocated from the technical footprint of drainage areas is complicated by the *Oplan Likas* resettlement. This hinders comprehensive identification of ISFs based on their specific places of origin as they are a sub-set of a much large number of ISFs resettled from entire waterway easements. Data on the original physical locations of ISFs is not available in all instances. Tracer studies will use maps or similar site plans to help with self-identification by those formerly resident in footprint areas. The extent to which tracer studies can identify all former ISFs in MMFMP sub-project footprints will be further moderated by the fact that a significant proportion of those previously resettled may have returned to Metro Manila to resume previous activities.

123. The following are the key methodologies and the general information and data requirements for the preparation of the due diligence:

Census and Socio-Economic Survey of all PAPs

- Names, current and previous locations of identified families.
- Number and percentage of ISFs found at the resettlement site(s).
- Dates of resettlement.
- Availability of basic services for: health, education, electricity, water and sanitation, waste management, administrative services, etc.
- Basic health data at the resettlement site, using the same 2-week recall.
- Reason for remaining or leaving the resettlement community.
- Changes in employment / levels of income and expenditures after resettlement compared with the situation prior to resettlement.
- Changes in the household economy and current economic survival strategy
- Household financial capacity to sustain ownership or rental of resettlement housing.
- For PAPs with fixed assets prior to resettlement, identification of assets lost and any compensation measures provided (particularly relevant for legal land owners that may have been affected by land acquisition or resettlement prior to December 2014.

- For ISF households who have left the resettlement site consult with neighbors / people in the vicinity to discover: (a) reason(s) for leaving the resettlement community; (b) destinations of ISF households which have left the resettlement community; and (c) ascertain if allocated houses are not inhabited or have been rented or purchased by others. Where ISF-allocated houses have been rented or purchased, identify the origin, social characteristics, and arrangements enabling their occupation of the house.

Sample Interviews and Focus Group Discussions

- Significant issues related to estate management and the physical sustainability of the resettlement community.
- Key social organizational factors, including: community-based NGOs, organizations or associations of mutual interest which may play a role in community development.
- Issues related to security and conflict.
- Key issues affecting income and well-being in the resettlement community.
- *(The due diligence will engage in gender-differentiated focus group discussions to identify compensation and benefits received under previous resettlement, as well as key issues confronted by resettled ISFs ranked by significance, and take note of their proposals for measures to address these issues.)*

124. The Due Diligence Review Report for Group 1 will have the following contents at the minimum:

- Project Description and Background.
- Objectives and Methodology of the DDR.
- Findings based on the objectives of the DDR.
- Remedial measures to meet the requirements of national legislation and the *objectives* of OP 4.12.
- Institutional arrangements for implementation of remedial measures, including implementation schedule, budget, consultations and participatory implementation, monitoring and evaluation, and grievance redress mechanism.
- Maps, photos, meeting minutes and other documentary evidence to support findings and remedial measures.

L. Gender-related activities

125. Resettlement could exacerbate gender disparities and inequalities. Women carry the brunt of managing the adverse impacts of relocation. For instance, the due diligence review of the Paco Pumping Station resettlement showed that because of insufficient livelihood opportunities in off-city resettlement, many males leave their families and come home only every weekend or

fortnight to continue with income generating activities they were engaged in prior to relocation. The women are relied upon to manage the meager income the men bring home, send children to school, keep them away from trouble, and keep the family together. There are also anecdotal evidences that resettlement has brought in the “second family syndrome” where husbands stray to another woman’s household out of convenience and sometimes need for someone to provide a home to him in the city. This worsens and intensifies the plight of the women and families left behind.

126. The Project will utilize various gender analytical tools across the different stages of the Project, especially for activities under components 2 and 3, to ensure that the differentiated needs of men and women and boys and girls affected by the project are properly responded to, and appropriate monitoring and reporting tools are developed to keep track of the gender-related progress of the project along gender equality dimensions. Gender analysis will be embedded in its impact assessments to identify gaps between men and women, boy and girls, across human endowments, jobs, ownership and control of assets, and voice and agency. Project measures will then be designed with the objective of closing the gender gaps.

127. Specifically, the project will undertake the following:

- a. Generate gender disaggregated data from consultation, census, socio-economic survey, asset survey, compensation, livelihood restoration programs, among others.
- b. Identify formal and informal arrangements that exacerbate gender inequalities and those that promote gender equality.
- c. Ensure representation of women from different economic groups during consultations and meetings. To achieve this, the Project will ensure consultation/meeting venues are discussed with women to promote freer and uninhibited women participation, female facilitators are mobilized and, if found appropriate, separate meetings for women are organized.
- d. Exert efforts to ensure that women play an important role in analyzing and deciding on resettlement options under Component 3.
- e. Maximize women’s participation in resettlement site development and housing and facilities designs.
- f. Award project benefits, especially land and house titles and other project grants, to both spouses. Pay compensation in a transparent manner and in the name of both spouses.
- g. Ensure livelihood restoration programs are informed by intensive discussions with women. Provide access to training programs for at least one female household member.
- h. Monitor gender indicators throughout project implementation period and assess gender impacts at the end of project.

128. The first task of the Gender and Development Specialist in the PMO is to develop the Gender and Development Framework of the MMFMP, with particular focus on resettlement.

M. Monitoring and Evaluation

129. The SHFC/NHA-RAP implementation team will monitor and document progress to key implementation milestones in monthly reports, facilitated by the RAP's Community Contact person assigned to the sub-project. Issues and grievances must be documented and tracked to their resolution. PAPs will be informed of monitoring activities and encouraged to participate and facilitate in RAP monitoring.

130. An External Monitoring Agent (EMA)—provided by a professional agency or a technically qualified CSO to be engaged by the MMFMP— will use monthly reports and field visits to prepare semi-annual monitoring reports to MMDA or DPWH via the PMOs and to the World Bank. Monitoring parameters will cover key stages in resettlement, including timely provision of entitlements, rental subsidies and transitional support measures, provision of skills training, identification of and measures taken to assist vulnerable PAPs, progress to completion of resettlement housing, etc. as per the entitlement matrix and implementation schedule. The EMA will also provide a final RAP completion and closure report for each sub-project.

131. As indicated above, both the MMDA and DPWH PMOs and LGU Housing and Resettlement Team will work within a standardized monitoring framework in which PMOs provide primary field-level information to the wider system. PMOs will maintain a data base needed to document and track resettlement implementation needed for reporting at the project level. The PMO monitoring units will track substantive and budgetary aspects of the delivery of entitlements, grievances and significant implementation issues, progress with physical relocation, progress and issues with rehousing development schemes, grievance management and other salient features of the resettlement process. LGU's Community Contact personnel will be responsible for monthly provision of monitoring information at the field level. PMOs will define the monitoring and reporting requirements for participating LGUs as well as any information needs from support entities such as collaborating government institutions and NGOs or CSOs, and other support entities engaged in the project. Specific monitoring parameters include: routine provision of information on mobilization and progress for sub-project-linked community groups, consultations and community planning activities, progress with site development and housing development, and delivery of government-sponsored or other programs given as entitlements, such as those for skills training or other social or economic development activities. TESDA, the Technical Education and Skills Development Authority has a substantial range and number of vocational skills training courses, many of which are appropriate for PAPs current levels education and employment. Monitoring data will be gender-differentiated where relevant. Attention will be given to the status of disabled people and vulnerable households. The Project

will conduct both internal and external evaluation of completed resettlement activities to assess outcomes related to livelihood and income restoration.

132. The community contact will liaise with LGUs, CSOs, PCUP, and other institutions or organizations involved in social mobilization and development of in-city housing and maintain a monitoring database and provide feedback needed for change management and adaptive implementation.

N. Capacity-Building

133. To ensure key stakeholders are equipped with necessary capacities to undertake assigned tasks, a composite team of Project staff and consultants will be organized under the supervision by the Bank's task team to take the lead in orienting, training and coaching. Initial capacity-building of the PMO, especially for the trainers for safeguards, will be a responsibility of the Bank task team together with select staff of DPWH and other partner agencies. The trainers are then expected to transfer their learning to teams in the LGUs and other project bodies. Key actors and elements in RAP design and implementation are shown below with respect to anticipated capacity-building and training needs:

PMOs

- Training on OP 4.12-compliant resettlement
- Application of the RPF, including step-by-step procedures for social safeguards screening and RAP planning and implementation.
- Training on local/community development and livelihood planning
- Gender-sensitive resettlement
- Focused training on GRM procedures.
- Standardized MIS, database management, including the M&E system for resettlement monitoring and tracking.
- Communications, consultations, and public information.
- Construction phase safeguards supervision.

LGUs

- Training on OP 4.12-compliant resettlement and use of RPF.
- Step-by-step procedures for social safeguards screening, RAP planning and implementation.
- Grievance management.
- PMO inputs to and management of M&E database, reporting formats and content.
- Stakeholder consultations and communications.

External Monitoring Agency

- Orientation on OP 4.12, RPF, and RAP preparation, reporting, and closure.

CSOs and RAP implementation facilitators (PCUP, NHA, SHFC)

- Orientation on OP 4.12
- RPF procedures and entitlements and RAP implementation.
- Gender-sensitive resettlement
- Management and institutional strengthening as identified.

Independent Advisers to GRM

- Training on OP 4.12 policy and entitlements as per RPF.

134. As part of Project's capacity building, the PMO and partner agencies will conduct the first two implementation support missions (ISM) jointly with the World Bank Task Team which includes resettlement/social development specialists from its global practice groups and the Regional Safeguards Secretariat. Field coaching and hand-holding activities are expected in these missions to maximize the presence of experts. After about one year of project implementation, a full review of the practices and experiences with the implementation of the safeguards instruments will take place with participation of all relevant government agencies and the Bank's task team, and necessary changes and updates to the safeguards documents will be made.

O. Public Disclosure and Consultations

135. In compliance with the requirements of OP 4.12 and part of the development of Safeguards documents including this RPF, DPWH and MMDA conducted public consultations where the following documents were shared and discussed: (a) project background (including objectives, components, benefits, etc.); (b) ESIA; (c) ESMF; (4) RPF; and (5) the three PY1 safeguards documents. Project briefs and flyers highlighting the key sections of the safeguards documents written in Filipino were provided to the five communities prior to the consultation. English versions of the documents were also provided to the five barangays to ensure that interested individuals could easily have access to the full versions of the documents.

136. The draft ESIA, covering the rehabilitation and modernization of the first five pumping stations and drainage areas, and the Executive Summary of the ESIA, ESMF, and RPF were disclosed on February 8, 2016. Consultations on the ESMF, RPF and other safeguards instruments were conducted on August 17-18, 2015, November 9, 2015, and February 24, 2016.

137. Additional consultation was carried out on September 9, 2016 to discuss the project, the ESMF and the results of the ESIA. The copies of these documents were made available at the DPWH-Unified Project Management Office (UPMO), DPWH-Environmental and Social

Safeguards Division (ESSD), DPWH-Unified Project Management Office (UPMO), and at the MMDA-Planning Office. The consultation meeting was attended by representatives from the local government units, Social Housing Finance Corporation, Pasig River Rehabilitation Commission, Presidential Commission for Urban Poor, MMDA, and district engineering offices of DPWH. A total of 85 participants attended the public consultation. Key issues that were raised during the consultation meeting are about the participatory and programmatic approach that will be applied in the planning of the subprojects under the project. In relation with the RPF, the representatives from the housing sector requested DPWH to provide them the list and profile of the informal settler families to enable them to validate whether some of these families are already part of the *Oplan Likas* program. Overall, the participants fully support the project because of the benefits that flood control and solid waste management will bring to Metro Manila.

138. Another set of consultation meetings was held September 23, 2016 for the PAPs in Vitas pumping station. Stakeholders that participated included the City of Manila through the Urban Settlements Office, Barangays 150 and 93, NHA, PCUP, SHFC, and AGOM and Share Foundation, which are local NGOs and community-based organizations in the area, as well as PAPs. Similar community consultations were organized by DPWH, with support from other agencies, for the other four PY1 drainage areas from October 10 to 13, 2016, along with a stage two consultation for the PAPs in Vitas pumping station on October 10, 2016 to further discuss the details of the RPF and RAP. A separate consultation activity was held at Towerville 6 Resettlement Site in San Jose del Monte, Bulacan to discuss the resettlement legacy issues and to learn lessons from past Government resettlement activities that will help improve project implementation. Prior to these public consultations, all the safeguards instruments including a Project Information Booklet in Tagalog containing the pertinent details of the project and executive summary of the RAP and ESIA were widely distributed in advance to the stakeholders and PAPs. The consultations were generally well attended, with more than 100 participants at the Paco and Vitas consultations. The participants were generally supportive of the project as measures to reduced flooding in the communities are deemed very important. In addition, to measures that reduces flooding, participants often mentioned the need to reduce solid waste in the waterways. This RPF as well as the other safeguards instruments were revised based on the feedbacks generated from the consultations.

P. Grievance Redress Mechanism

139. A project grievance redress mechanism (GRM) is necessary for addressing legitimate concerns of affected individuals and groups who raise issues of concern during project implementation. Effective management of grievances is especially important in the context of resettlement, where issues concerning entitlements may arise. DPWH has a established grievance redress mechanism. The MMFMP GRM builds on this mechanism as it takes into

account the elements stipulated in this RPF. It is also envisaged that as the MMFMP GRM is set up, the DPWH's agency-level GRM will be enhanced.

140. As part of its Citizens' Charter, DPWH has a functioning feedback handling system composed of two components: (a) Feedback Handling, a system that receives, sorts and resolves feedbacks on DPWH projects and, (b) Civil society organization (CSO) accreditation to serve as partners and/or observers in all stages of project development cycle (identification, preparation, budgeting, procurement, implementation, operations, and post evaluation) and in other areas of mutual interest. The Feedback Handling Component is managed by the Stakeholders Relations Service (SRS) unit headed by a division head and staffed by six action officers manning the system during office hours. As it is a 24-hour service, one action officer is designated each night. The SRS has two hotlines, a text messaging system (2920), an email account and social media accounts (Facebook and Twitter). It also accommodates walk-in complainants in its office. Feedbacks/complaints are farmed out by Action Officers to concerned units/divisions in the agency and actions are monitored by platform officers (one officer per platform, i.e. email, Facebook, etc.). Serious complaints (i.e. allegation of fraud and corruption) are usually forwarded to high ranking officials (undersecretary level). Service standards and responsible staff are also shown in SRS Chart below in Figure 2.

Figure 2. DPWH SRS Feedback Handling Chart.

STAKEHOLDERS AFFAIRS DIVISION - STAKEHOLDERS RELATIONS SERVICE (SAD - SRS) FEEDBACK MANAGEMENT CENTER: HANDLING OF FEEDBACKS						
Schedule of Availability of Service: -Mondays to Fridays, 8:00 am to 5:00 pm (without noon break) for walk-in and phone-in transactions; - 24 / 7 for feedbacks coursed through 165-02 call center, e-mail, SMS (Text2920) and social media (Facebook / Twitter) Who May Avail of the Service: General Public What are the Requirements: Contact details, mailing address and/or supporting documents, if needed Duration: 5 minutes to 15 days, depending on the urgency and action required for the feedback						
How to Avail of the Service:						
Step	Applicant/Client	Service Provider	Duration of Activity	Person in Charge	Fees	Form
1	Course feedback/ inquiries / request or commendation through any of the following modes: a. Visit Stakeholders Affairs Division - Stakeholders Relations Service, Head Office to address the feedback personally or leave your comments using the Customers' Feedback Form located at the Front Desk of all DPWH Offices. b. Send an email to dpwh_feedback@yahoo.com c. 165-02 Call Center Hotline or SRS Hotline numbers 02-3043370/ 02-3369196; d. Post at DPWH official social media accounts: Department of Public Works and Highways, Philippines Facebook Page and @DPWHph on Twitter. e. Text DPWH (space) message at 2920	Stakeholders Affairs Division (SAD) will gather feedback and contact details of customer and create new transaction on the database. Provide reply to simple feedbacks. For complex queries or concerns, customer's feedback will be properly referred to appropriate DPWH office for proper response and action, if necessary.	*Walk-in - 10 minutes Email - 1 day Phone-in - 5 minutes Social Media - 1 day TEXT 2920 - 1 day 1 day	Action Officer of the Day	P 2.50 for 160-character message sent to 2920	Customers Feedback Form, Walk-in Form
2	Wait for action within 1 -15 working days for complex transactions subject to the request for extension of time w/c the concerned DPWH office may seek action	Preparation and signing of Request for Action (RFA) Memorandum and endorsement to concerned DPWH offices Evaluation of feedback, investigation, preparation of reply and transmittal to Stakeholders Relations Service Relaying feedback to Customer	1 hour 1-15 days for those requiring further 1 day for urgent matters 1 hour	Concerned Regional / Service / Bureau Director Action Officer	none	none
END OF TRANSACTION						

141. Building on the DPWH GRM described above, the Project will establish an information and grievance management function or a Public Complaints Unit to address and resolve any project-related grievances from project-affected people or other stakeholders and members of the public. It will be managed with the support of the social and environmental team in the PMO. Information materials will be published and shared with the public especially the communities surrounding the pumping stations to be rehabilitated or constructed as well as the displaced/resettled families. The GRM information materials will form part of the information,

education and communication (IEC) kits to be distributed during public consultations and community meetings and capacity-building of project staff.

142. The MMFMP GRM will be implemented based on the following principles:

- Simplicity: procedures in filing complaints is understandable to users and easy to recall.
- Accessibility: filing complaints is easy through means that are commonly used by stakeholders, especially by the project-affected people.
- Transparency: information about the system is made widely available to all stakeholders and the general public.
- Timeliness: grievances are attended to and resolved in a timely manner.
- Fairness: feedback or complaints are validated thoroughly and subjects of complaints are given due process and opportunities for appeal.
- Confidentiality: the identity of complainants remains confidential.

143. To achieve these principles, the GRM will be set up with the following features:

- Multiple Uptake Points: In addition to access through the Community Contact, complainants will be provided with multiple channels to submit their complaints. The existing DPWH SRS mechanisms (electronic messages, telephone hotline, SMS, personal delivery/walk-in, social media accounts) will be utilized.
- Timely resolution at the lowest possible level: The project will strive to attend to complaints in a timely manner. To do this, it will designate a Community Contact at the sub-project (pumping station) level. In addressing and resolving complaints, the project will build on existing mechanisms in the community (community leaders, barangay officials, barangay justice system, etc.). It is only when the complaint is not resolved at this level that the complaint goes to the next level of the GRM for resolution.
- System for receiving, sorting, verifying, and tracking. Building on the current SRS system, a simple MMFMP system will be developed to facilitate effective management of complaints to guide the PMO, particularly the Public Complaints Unit, on the steps and arrangements from receiving, sorting, verifying, acting and tracking complaints. These will be detailed out in the project operational manual. Complaints will be categorized and actions on the complaints will be implemented and documented. The project will maintain a database documenting the salient details of complaints, including the dates they were received and when and what actions

were taken. The SRS These documents will be available to the external monitoring team and the World Bank. The project will monitor complaints and coordinate with the concerned LGUs and relevant government agencies as needed to resolve them adequately and expeditiously. MMDA and DPWH will keep the World Bank Task Team informed about any significant complaints and the steps taken to resolve them. To ensure inclusion and participation, MMDA and DPWH will set up an advisory body with representatives from the project affected people and CSOs working with the PAPs.

- Disclosure and ease of access: The salient features of the GRM will be publically disclosed so that people are aware of where and how complaints will be managed. The Community Contact person assigned to the sub-project will further ensure that people in the sub-project's area of influence are aware of grievance management arrangements. Ideally complaints should be written, but if received verbally, the Community Contact person will ensure written documentation is made and that the complaint is dated and recorded.

Q. Budget

Table 3: Budget (in USD million¹⁰ (rounded figures))

Item	GOPG (\$)	Loan Proceeds (\$)	Total
Land, site dev, housing (incl. cash compensation option)	37.7		37.7
Grant support to PAPs related to resettlement and transitional support		11.6	11.6
Rental subsidy		(2.3)	
Transition allowance		(1.0)	
Moving allowance		(0.2)	
Livelihood support		(4.9)	
Remedial measures		(3.2)	
TA (Social preparation, technical studies, FM, procurement, planning, design, estate management. etc.)		3.8	3.8
Resettlement management	2.7		2.7
TOTAL:	40.4	15.4	55.8

¹⁰ Based on exchange rate USD1:PHP47.

144. As discussed in Section C, total budget is USD55.8 with USD15.4 million IBRD loan in addition to US\$40.4 million government counterpart funds which has the following allocation (rounded figures):

- Financing for land acquisition and housing construction (GOP, 37.7M).
- Grant support to PAPs related to resettlement and transitional support, such as rental subsidy, moving assistance, livelihood and skills training, and remedial measures (IBRD, 11.6M).
- Grant support for technical studies, capacity- building and livelihood assistance (IBRD, 3.8M).
- Resettlement Management (IBRD, 2.7M).

Annex A: Methodology for Delimitation of Sub-project Technical Footprints

Project Footprint

The Metro Manila Flood Management Project, in particular Component 1 is anchored upon the rehabilitation of existing pump stations or construction of new ones to enable effective and efficient drainage of flood waters and thereby address urban flooding (this is more extensively described in the Project Appraisal Document).

Typically, excess rainwater will runoff from roofs, roads, and other surfaces before entering drainage pipes. Runoff inside drainage pipes eventually discharge into the **waterways** such as creeks, esteros, or tributary rivers before finally discharging into **external water bodies** such as Manila Bay or main rivers like Pasig River.

Without pumping, runoff discharge from catchments by gravity as dictated by slope of the terrain and the elevation of external water bodies. Flooding occurs when water cannot be discharged fast enough (i.e. higher runoff generation due to urbanization of the catchment; due to intense rainfall; elevated levels of the external water body; or a combination of these and other factors). Pump stations address flooding by discharging rainwater of **a served waterway** faster than what gravity would allow.

The directly flooded area can be further analyzed hydraulically to determine the critical segments of pipes and/or open waterways to ensure the optimum drainage of the area in cases of high rainfall such as typhoon.

This critical portion of the directly flooded area is delimited as the “project footprint.” The project footprint is further composed of sub-areas as below. For purposes determining the project’s area of influence, the OPA that runs along open channels will be the target area for environmental and social impact assessment. Other components will also survey drainage areas to determine whether additional areas should be included for the assessments. Dredging requirements, if any, will be assessed by the end of October 2015.

1. Pump station area
2. Waterway maintenance access points.
3. Optimum pumping area (OPA)

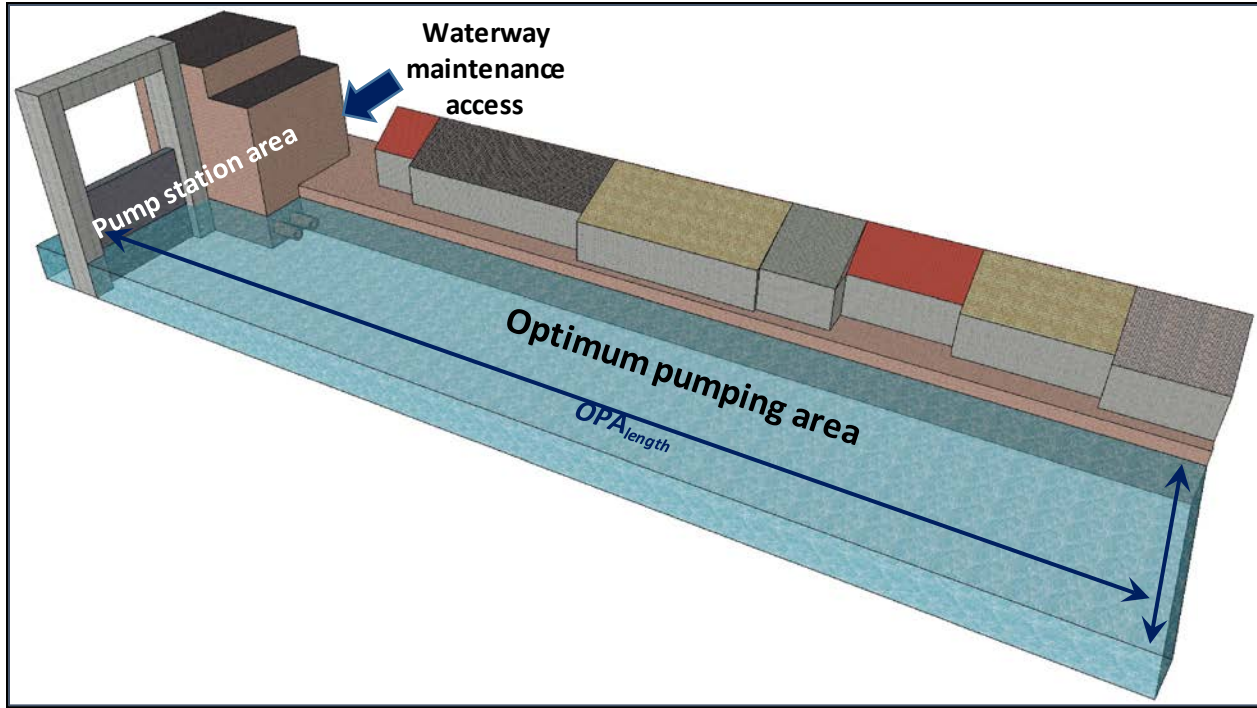


FIGURE 1: PROJECT FOOTPRINT

The **pump station area** is the boundary of the physical structures of the facility which should have sufficient space of the electro-mechanical equipment, floodgates, trash collection and management system, and other ancillary functions. Based on the survey of existing pumping stations, this area is already well established, fenced-off, and have no resettlement issues.

The **waterway maintenance access** includes access roads and staging areas for mobilizing equipment in or over the waterway. Access requirements will vary depending on the characteristics of the waterway including maintenance strategy. In some cases where the catchment is served entirely by a covered drainage system (ex. Balut PS), there is no open waterway to be maintained. Instead, maintenance can be jetting and vacuuming of drainage pipes which can be carried-out from street-side manholes. For open waterways different maintenance strategies will be assessed, with a main focus on floating maintenance equipment. As part of project preparation a specialist will come to Manila early November to advice on the most appropriate equipment.

The **optimum pumping area (OPA)** is defined as the area corresponding to the volume of water stored in the waterway such that the pump station can operate at maximum capacity unimpeded to lower water level from just below street level (revetment elevation) until the stopping elevation (dictated by pump suction elevation) within the **time of concentration (T_c)**. T_c is the time required for runoff to travel from the hydraulically farthest point of the catchment to reach the outlet (i.e. pump station). OPA is given by:

$$OPA = \frac{\alpha C \times \gamma T_c}{\beta D_{op}}$$

Where:

C = maximum pump capacity, α = pump efficiency factor

T_c = Time of concentration, where:

$$T_c = 0.0078 \left(\frac{L^{0.77}}{S^{0.385}} \right), \text{ Kirpich equation; or}$$

design T_c , if available

γ = peak flow factor

L = length from farthest part of the basin

S = channel slope

D_{op} = operating depth, β = factor of safety

For the purpose of planning, OPA is converted to the more tangible parameter, the corresponding length of OPA or OPA_{length} . This is derived by dividing OPA by the waterway's operating flood depth (i.e. elevation of street level minus suction stopping elevation).

The OPA (i.e. waterway along OPA_{length}) must be cleared of obstructions like sediments, solid waste, or informal structures to ensure unobstructed flow to the pump station and avoid pump problems such as vortices, uneven approach flow, uneven velocity profile in the pump, pre-rotation, vibrations, cavitation and increased energy consumption—among others. Note that optimum maintenance is most critical in, but is not limited to, the OPA.

OPA_{length} is computed for identified priority pump stations as shown below. Unless stated otherwise, data are provided by MMDA.

TABLE 1: OPA_{length} CALCULATION

Pump Station	Maximum Capacity (cms)	T_c ¹¹ (minutes)	T_c (sec)	Optimum pumping volume (m ³) ¹²	Depth operating ¹³ (m)	W_{ave} (m)	OPA_{length} (~m)
Paco	7.6	67	4,020	27,460	1.89	20	450
Vitas	32.0	45	2,700	77,760	2.16	43	500
Balut	2.0	45	2,700	4,860	2.34	NA	-- ¹⁴
Tripa	58.0	101	6,060	178,898	5.40	50	420
Labasan	9.0	45	2,700	21,870	2.25	30	-- ¹⁵

Mapping of OPA_{length} :

¹¹ Design T_c provided from design specifications by MMDA

¹² Adjusted for pump efficiency and total additional catchment storage

¹³ Adjusted with factor of safety $\beta = 0.9$

¹⁴ No open waterways, entire catchment served by covered drainage system

¹⁵ Existing storm attenuation basin is 6.4 ha. OPA do not extend further into upstream waterway



FIGURE 2: OPA LENGTH (~450M) FOR PACO P



FIGURE 3: OPA LENGTH (~500M) FOR VITAS PS



FIGURE 4: BALUT PS. ENTIRE CATCHMENT COVERED, NO OPEN CHANNELS



FIGURE 5: OPA FOR TRIPA DE GALINA PS



FIGURE 6: LABASAN PS SHOWING THE 6.4 HA STORM ATTENUATION POND. UPSTREAM WATERWAY REMAINS WIDE AND BANKS UNDEVELOPED

In line with the organizational and administrative structure of Metro Manila, Local Government Units (LGUs) will be the anchor of resettlement activities, coordinating closely with the PAPs and their communities, NGOs, key shelter agencies such as NHA and SHFC, under the oversight of MMDA/DPWH as relevant. Component 3 will use a participatory approach where PAPs and their communities are informed, consulted, and are able to make informed plans for their housing projects. To this end, CSOs that are active and experienced in implementing in-city resettlement will be vetted, given training and technical assistance and preapproved to assist. Viable programs have been and are being developed and successfully implemented for affordable low-income housing in Metro Manila. The World Bank has provided a significant amount of TA to support such community-driven social housing schemes since 2011, especially with respect to the critical issues of financing and affordability, land constraints, institutional strengthening and program improvement of SHFC and NHA, with DILG to incentivize LGUs to provide shelter solutions through provision of LGU seed grants, and with CSOs and communities to help strengthen their capacity.

Annex B: Field Instruments for RAP and DDR

Structure Number _____

HOUSING CENSUS AND INVENTORY OF FIXED ASSETS “METRO MANILA FLOOD MANAGEMENT PROJECT PHASE 1”	<p>Good morning/afternoon. I am _____ part of a team working for DPWH which is gathering information needed for planning for a proposed flood management project. For this purpose, we need your assistance in providing information about you and your household. Your truthful responses and cooperation will allow the project to obtain valuable information that will guide the study team to formulate project strategies. Do you have any question? Can we start?</p> <p style="text-align: center;">1 ASSURANCE OF CONFIDENTIALITY</p> <p>All responses to the questionnaires will be treated with high degree of confidentiality.</p>
2 IDENTIFICATION AND OTHER INFORMATION	
3 SITIO _____ 4 _____ 5 BARANGAY _____ 6 CITY _____ LENGTH OF STAY AT CURRENT RESIDENCE: LOCATION OF PREVIOUS RESIDENCE:	
7 CALL RECORD	
8 DATE	9
10 TIME STARTED	11
12 TIME FINISHED	13
14 REMARKS	15
16 RESPONDENT	
17 Name of Respondent _____ If not the Household Head, relationship with Household Head _____ 	
18 CERTIFICATION	
<p>I hereby certify that all data entered hereto are true and correct to the best of my knowledge</p> <p>_____ Signature over Printed Name of Interviewee – Date</p>	
<p>I hereby certify that the data set forth were obtained/reviewed by me personally in accordance with the instructions given</p> <p>_____ Signature over Printed name of Field interview er – Date</p> <p>_____ Signature of Review er/Supervisor - Date</p>	

SECTION I. HOUSEHOLD CENSUS

A. Demographic Information

Household members	Relationship to HH head A1	Civil Status A2	Age A3	Gender A4	Educational Attainment A5	Employment Status A6	Work Location A7	Religious Affiliation A8	Ethnicity A9	Health Status A10	Disability A11	Membership in Social Organization A12
1.												
2.												
3.												
4.												
5.												
6.												
7.												
8.												
9.												
10.												
11.												
12.												
13.												
14.												
15.												

Codes for A1	Codes for A2	Codes for A5	Codes for A6	Codes for A9
1-Head 2-Wife/Spouse 3-Son/Daughter 4-Son-in-Law/ Daughter in Law 5-Grandson/ Granddaughter 6-Father/ Mother 7-Other Relatives 8-Non- relative	1-Single 2-Married 3-Widow ed 4-Divorced/ Separated 5-Common Law /Live-in 6-Others (specify) Codes for A3 00- less than 1 year 98 – unknow n/cannot remember Codes for A4 1 Male 2 Female	1- Not of schoolage/No schooling 2- Elem Undergraduate 3- Elem Graduate 4- Hi-School Undergraduate 5- Hi School Graduate 6- College Undergrad 7- College Graduate 8- Post Graduate 9- Vocational /TVET 10- Others (Specify)	1-Working at least 40 hrs/wk 2-Working less than 40 hrs/w k 3-Unemployed 4- Too young/old to work Codes for A7 1-Within the Brgy. 2-Outside Brgy. but w ithin City 3-Outside City but w ithin Province 4- Outside Region, w ithin Philippines 5- Overseas Codes for A8 1- Catholic 2-Christian (i.e. Protestant, Born Again Christians) 3-Iglesia Ni Cristo 4-Islam 5-Others (specify)	1-Tagalog 2-Bisaya 3-Kapangpangan 4-Ilocano 5-Ilonggo 6-Others Codes for A10 (two-week recall, can be multiple) 1-Skin Ailment 2-Stomach/Diarrhoea 3-Fever 4-Others Codes for A11 Disability includes: Mobility impairment; Hearing impairment ;Visual impairment; Brain disability (disability in the brain due to brain injury Cognitive disability (impairment present in people w ho are suffering from difficulty in learning to read and accurate comprehension, this include speech disorder. 1-Disabled unable to work 2-Disabled but employable

B. Household Expenditure

	Unit of Measure (PhP) [place in appropriate column]			
Expenditure	Daily	Weekly	Monthly	Yearly
B1. Rent				
B2. Electricity				
B3. Water				
B4. Transportation				
B5. Food				
B6. Clothing				
B7. Medicine				
B8. Education (school daily allow ance)				
B9. Other:				
B10. Totals				

C. Occupation, Employment and Income Sources

Household Members (From Table A)	Primary Occupation C1	Income (Monthly) C2	Secondary Occupation C3	Income (Monthly) C4	Remittances and other sources (Monthly) C5	Income (Monthly) C6
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
9.						
10.						
11.						
12.						
13.						
14.						
15.						
Codes for C1 and C3				Codes for C5		
1- unskilled/semi-skilled (laborer, helper, street sweepers, janitorial work, pedicab driver, messengers, mason) 2- Skilled worker (driver, carpenter, welders, beautician, electrician, mechanics, plumbers), 3- Government employee 4- Office worker/ Company employee 5- Vendor/street hawker 6- Shopkeeper/shop-owner 7- Unemployed 8- Others				1-Government subsidy/pension 2-Remittance from relatives 3-Business income 4-Income from gambling 5-Rental income		

D. List of assets that your household owns

D. How many of each of the following items does the family own?			
D1. Radio		D7. Tricycle	
D2. TV		D8. Washing Machine	
D3. Refrigerator		D9. Gas Stove/Range	
D4. Sala Set		D10. Telephone/Mobile	
D5. Dining Set		D11. Computer	
D6. Car/Jeep		D12. Others: _____	

D13. Do you have any debt now? [1-Yes, 2-No] _____

D14. How much? _____

D15. Source? _____

E. Access to Services

Access to Services	Answers and/or Observations
E1. Electricity Who supply your electricity	<input type="checkbox"/> (1) Gen set private <input type="checkbox"/> (5) Other source/s <input type="checkbox"/> (2) Gen set from developer <input type="checkbox"/> (6) None <input type="checkbox"/> (3) Power Utility/Grid <input type="checkbox"/> (4) Jumper from neighbor
E2. Health service/s Where do you go for your health services needs	<input type="checkbox"/> (1) Barangay/village health center with medical staff and supplies <input type="checkbox"/> (2) Barangay/village health center without medical staff and supplies <input type="checkbox"/> (3) Nearby Barangay/town health center/hospital <input type="checkbox"/> (4) Others _____ <input type="checkbox"/> (5) none within thirty minutes of travel
E3. Water	<input type="checkbox"/> (1) piped water (Manila Water/Maynilad) <input type="checkbox"/> (2) buying from resellers/private sources <input type="checkbox"/> (3) other sources _____
E4. Waste disposal/ management	
E4a. Where do you dispose your solid waste	<input type="checkbox"/> (1) Provided by LGU <input type="checkbox"/> (3) Private collection service <input type="checkbox"/> (2) Provided by Barangay <input type="checkbox"/> (4) None
E4b. Do you have septic tank	<input type="checkbox"/> (1) Yes <input type="checkbox"/> (2) No <input type="checkbox"/> (3) Don't know
E4c. Where do you dispose of your liquid wastes (from laundry, kitchen and bathing)	<input type="checkbox"/> (1) Septic tank <input type="checkbox"/> (4) River <input type="checkbox"/> (2) Drainage canal <input type="checkbox"/> (5) Don't know <input type="checkbox"/> (3) Estero
E5. Basic Education What educational facilities do you have in your community? (multiple answers accepted)	<input type="checkbox"/> (1) Kinder/Elementary school in the barangay or nearby <input type="checkbox"/> (2) High school in the barangay or nearby <input type="checkbox"/> (3) Kinder/Elementary school inaccessible / very far (estimated kilometers) ____ <input type="checkbox"/> (4) High school inaccessible / very far (estimated kilometers) ____
E6. Public Transportation	F6a. Availability [1-Yes, 2-No]
E6.1. To school/s	
E6.2. To market	
E6.3. To work/employment	
E6.4. To health center	
E6.5. To hospital	
E6.6. To bank	
E7. Do you have access to the following government programs?	[1-Yes, 2-No]
E7.1. Scholarship	
E7.2. 4Ps/CCT	
E7.3. PhilHealth	
E7.4. Supplemental feeding	
E7.5. Subsidized rice	
E7.6. Housing program (specify)	
E7.7. Others (specify)	

F. INVENTORY OF FIXED ASSETS					
STRUCTURE					
<p align="center">____(1) Owner ____ (2) Renter</p> <p align="center">If you're not the Owner, name of Owner _____</p>					
No	Type of Structure	Number of floors	Description of Construction Materials	Material	Total area of the structure, in m ²
1.	Main House		F1A.Roof [1- Strong materials (galvanized iron, aluminum, tile, concrete, brick, stone, asbestos), 2- Light materials (cogon, nipa, anahaw), 3- Salvaged /makeshift materials, 4- Mixed but predominantly strong materials, 5- Mixed but predominantly light materials, 6- Mixed but predominantly salvaged materials]		
			F1B.Walls [1- Wood construction, 2- Hollow brick construction, 3- Makeshift/salvaged/improvised, 4- Half concrete/brick/stone and half wood]		
			F1C.Floors [1-wood, 2-cement with tiles, 3-cement with wood, 4-cement only 5-dearth-flooring]		
			F1D.Columns [1- Wood construction, 2- Hollow brick construction, 3- Makeshift/salvaged/improvised, 4- Half concrete/brick/stone and half wood]		
2.	Second Structure (if any)		F2A.Roof [1- Strong materials (galvanized iron, aluminum, tile, concrete, brick, stone, asbestos), 2- Light materials (cogon, nipa, anahaw), 3- Salvaged /makeshift materials, 4- Mixed but predominantly strong materials, 5- Mixed but predominantly light materials, 6- Mixed but predominantly salvaged materials]		
			F2B.Walls [1- Wood construction, 2- Hollow brick construction, 3- Makeshift/salvaged/improvised, 4- Half concrete/brick/stone and half wood]		
			F2C.Floors [1-wood, 2-cement with tiles, 3-cement with wood, 4-dearth-flooring]		
			F2D.Columns [1- Wood construction, 2- Hollow brick construction, 3- Makeshift/salvaged/improvised, 4- Half concrete/brick/stone and half wood]		

G. OTHER STRUCTURES		
No	TYPE OF STRUCTURES	UNIT
G1	Water Well	___ Yes
		___ No
G2	Electric Connection (Metered)	___ Yes
		___ No
G3	Water Connection (Metered)	___ Yes
		___ No
G4	Pump Well	___ Yes
		___ No
G5	Wood//Wire Fence	L___ x H ___ = ___

G6	Concrete Fence	L ____ x H ____ = _____
G7	Others	

END OF INTERVIEW
THANK YOU VERY MUCH!

ATTACH PICTURE OF AFFECTED ASSET WITH OWNER

Survey Instrument for Resettled Families from Paco PS

Introduction: (Interviewer) Good morning/afternoon. I'm _____. My colleague/s here is/are _____. At the request of DPWH, we're here to ask for your assistance in gathering information about your living situation in this resettlement site. This information will help MMDA in its own resettlement planning.

Confidentiality: All information you provide us will be kept in confidence. **Do you have any question? Can we start?**

Screening Question: Is your family among those resettled ISFs from the Estero de Paco near the Paco Pumping Station in Manila? (Show the map showing project footprint)

_____ Yes (If Yes, proceed with interview below) _____ No (If No, stop interview)

=====

=====

Internal Control		
Enumerator:		Date of Interview:
Start Time: __:__	End Time: __:__	Length of Interview: _____ Minutes
Respondent's Information		
Person Interviewed:		Date of Resettlement:
Age:		Current Location:
Family Head ID No: (government issued)		House / Plot No/Blk Number/Lot Number:

A. Household Profile

Household members (A1)	Rel'nship to HH Head (A2)	Age (A3)	Sex (A4)	Health (A5)	Education (A6)	Previous Occupation		Current Occupation (A9)	Current work location (A10)
						Primary (A7)	Secondary (A8)		
1.									
2.									
3.									
4.									
5.									
6.									
7.									
8.									
9.									
10.									

CODES FOR A2	CODES FOR A3	CODES FOR A4	CODES FOR A5	CODES FOR A6	CODES FOR A7, A8 and A9	CODES FOR A10
1- Household head 2- Spouse/ Partner 3- Son/ Daughter 4- Brother/ Sister 5- Son/ Daughter-in-Law 6- Grandson/ Granddaughter 7- Father/ Mother 8- Other relative 9- Boarder 10- Domestic Helper 11- Non-relative	00- less than 1 year 98 – unknown/cannot remember (pls check codes for age) CODES FOR A4 1-Male 2-Female CODES FOR A5 Two-week recall (can be multiple) 1-Skin ailment 2- Stomach / diarrhoea 3- Fever			1- Not of school age/No schooling 2- Elem Undergraduate 3- Elem Graduate 4- Hi-School Undergraduate 5- Hi School Graduate 6- College Undergrad 7- College Graduate 8- Post Graduate 9- Vocational /TVET 10- Others (Specify)	9-unskilled/semi-skilled (laborer, helper, street sweepers, janitorial work, pedicab driver, messengers, mason) 10- Skilled worker (driver, carpenter, welders, beautician, electrician, mechanics, plumbers), 11- Government employee 12- Office worker/ Company employee 13- Vendor/street hawker 14- Shopkeeper/shop-owner 15- Unemployed 16- Others	1-Within the Brgy. 2-Outside Brgy. but within City 3-Outside City but within Province 4-Outside Province, within region 5-Outside Region, within Philippines 6-Overseas

B. Retainers of Pre-Resettlement Employment

Household Members (From Table A)	Frequency of Travel to Work B1	Travel Time (one way) B2	Transport Cost(one way) B3			Cost of Lodging at Work Location B4		
	[1-daily, 2-weekly, 3-2x/month, 4 – less than 2x/month]	[1-less than 30 mins, 2-30mins to one hour, 3-one to two hours, 4-more than two hours]	Daily	Weekly	Bi-Monthly	Daily	Weekly	Monthly
1.								
2.								
3.								
4.								
5.								
6.								
7.								
8.								
9.								
10.								

C. Current Occupation, Employment and Income Sources

Household Members (From Table A)	Primary Occupation <i>[must be same with A9]</i>	Income/Month C1	Secondary Occupation C2	Income/Month C3	Remittances and other sources C4	Income/Month C5
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
9.						
10.						

Note: Interviewers should convert income responses to monthly amounts.

Codes for C1 and C2	Codes for C4
1-unskilled/semi-skilled (laborer, helper, streetsweepers, janitorial work, pedicab driver, messengers, mason) 2-Skilled worker (driver, carpenter, welders, beautician, electrician, mechanics, plumbers), 3-Government employee 4-Office worker/Company employee 5-Vendor/street hawker 6-Shopkeeper/shop-owner 7-Unemployed 8-Others	1-Government subsidy/pension 2-Remittance from relatives 3-Business income 4- Rental income

D. Household Expenditure Estimates

Expenditure	PhP	Unit of Measure			
		Daily	Weekly	Monthly	Yearly
D1. Rent					
D2. Electricity					
D3. Water					
D4. Transportation					
D5. Food					
D6. Clothing					
D7. Medicine					
D8. Education:					
D9. Other:					
D10. Totals / %					

E. Previous and Current Housing and Resettlement Conditions

	Housing Conditions	Housing Conditions in
--	--------------------	-----------------------

	Prior to Resettlement	Resettlement Site
E1.What was/is the tenure status of the house and lot occupied by your family? [1- Owned Being amortized, 2- Rented, 3- Rented free with owner consent, 4- Living with relatives, 5- Provided by employer, 6- Residing without consent of owner (squatter)]	E1.a	E1.b
E2. Where was your house located? [1- On stilts over waterway (estero, river), 2- Along the river/estero easement zone, 3- Under bridges, 4- Along seashore, 5- Along railway/road right of way, 6- Steep sloping terrain]	E2.a	Not applicable
E3.What was/is the family's main source of drinking water? ___ (1) piped water (Manila Water/Maynilad) ___ (2) buying from resellers/private sources ___ (3) other sources	E3.a	E3.b
E4.What kind of toilet did/does the family use? 1- Flush toilet (own), 2- Flush toilet (shared), 3- Others (Pail System), 4- None/Direct to waterway	E4.a	E4.b
E5.What was/is the main type of dwelling? 1- Wood construction, 2- Hollow brick construction, 3- Bamboo/sawali/cogon/nipa, 4- Makeshift/salvaged/improvised, 5- Half concrete/brick/stone and half wood	E5.a	E5.b
E6.Roofing Material 1- Strong materials (galvanized iron, aluminum, tile, concrete, brick, stone, asbestos), 2- Light materials (cogon, nipa, anahaw), 3- Salvaged/makeshift materials, 4- Mixed but predominantly strong materials, 5- Mixed but predominantly light materials, 6- Mixed but predominantly salvaged materials	E6.a	E6.b
E7.Outer Material of the House 1- Strong materials (galvanized iron, aluminum, tile, concrete, brick, stone, asbestos), 2- Light materials (plywood, cogon, nipa, anahaw), 3- Salvaged/makeshift materials, 4- Mixed but predominantly strong materials, 5- Mixed but predominantly light materials, 6- Mixed but predominantly salvaged materials	E7.a	E7.b
E8.Floor Area of the House in square meters	E8.a	E8.b
E9.Number of bedrooms in the house	E9.a	E9.b
E10. Does the dwelling have a second floor or more? [1- Yes, 2- No]	E10.a	E10.b

F. Access to Services in Previous site

Note to Interviewer: Probe on the items under “Access to Services” and indicate answers or observations in the opposite Answer column.

Access to Services	Answers and/or Observations
F1. Electricity Who supply your electricity	___ (1) Gen set private ___ (5) Other source/s _____ ___ (2) Gen set from developer ___ (6) None ___ (3) Power Utility/Grid ___ (4) Jumper from neighbor Other electricity / power supply issues: _____
E2. Health service/s Where do you go for	___ (1) Barangay/village health center ___ (2) Nearby Barangay/town health center/hospital

your health services needs	<input type="checkbox"/> (3) Others _____ <input type="checkbox"/> (4) none within thirty minutes of travel		
F3. Waste disposal / management F3.1. Where do you dispose your solid waste F3.2. Do you have septic tank F3.3. Where do you dispose of your liquid wastes (from laundry, kitchen and bathing) F3.4. Other waste management issues:	<input type="checkbox"/> (1) Provided by LGU <input type="checkbox"/> (3) Private collection service <input type="checkbox"/> (2) Provided by Barangay <input type="checkbox"/> (4) None <input type="checkbox"/> (1) Yes <input type="checkbox"/> (2) No <input type="checkbox"/> (3) Don't know <input type="checkbox"/> (1) Septic tank <input type="checkbox"/> (2) Drainage canal <input type="checkbox"/> (3) Don't know Please specify _____ _____		
F4. Basic Education E4.1 What educational facilities do you have in your community? F4.2 Other education related issues:	<input type="checkbox"/> (1) Kinder/Elementary school in the barangay or nearby <input type="checkbox"/> (2) High school in the barangay or nearby <input type="checkbox"/> (3) Kinder/Elementary school inaccessible / very far (estimated kilometers) <input type="checkbox"/> (4) High school inaccessible / very far (estimated kilometers) Please specify _____ _____		
F5. Public Transportation	F5a. Availability [1-Yes, 2-No]	F5b. Type [1-Tricycle, 2-Jeepney, 3-Buses, 4- FX, 5-Others]	F5c. Cost Roundtrip (PhP)
F5.1 To school/s			
F5.2 To market			
F5.3 To work / employment			
F5.4 To health center			
F5.5 To hospital			
F6. Measures for public safety and security	F6a. Barangay tanod / community patrol <input type="checkbox"/> Yes <input type="checkbox"/> No / none F6b. Police outpost nearby / police presence <input type="checkbox"/> Yes <input type="checkbox"/> No / none F6c. Street lights <input type="checkbox"/> Yes <input type="checkbox"/> No / none		
F7. Estate Management Do you have an organization/office managing the resettlement site?	<input type="checkbox"/> 1-Yes 2- No / None If yes: F7b. Managed by whom: <input type="checkbox"/> 1-LGU <input type="checkbox"/> 3-Developer <input type="checkbox"/> 2-Homeowners <input type="checkbox"/> 4-Other F7c. Are the rules and sanctions posted publicly? <input type="checkbox"/> Yes <input type="checkbox"/> No F7d. Are the rules and sanctions being enforced? <input type="checkbox"/> Yes <input type="checkbox"/> No (Get copy of rules and regulations) F7e. Identify common estate management issues: _____ _____		

G. Access to Services at Resettlement Site

Access to Services	Answers and/or Observations
G1. Electricity Who supply your electricity	<input type="checkbox"/> (1) Gen set private <input type="checkbox"/> (5) Other source/s _____ <input type="checkbox"/> (2) Gen set from developer <input type="checkbox"/> (6) None <input type="checkbox"/> (3) Power Utility/Grid <input type="checkbox"/> (4) Jumper from neighbor Other electricity / power supply issues: _____

G2. Health service/s Where do you go for your health services needs	<input type="checkbox"/> (1) Barangay/village health center <input type="checkbox"/> (2) Nearby Barangay/town health center/hospital <input type="checkbox"/> (3) Others _____ <input type="checkbox"/> (4) none within thirty minutes of travel		
G3. Waste disposal / management G3.1. Where do you dispose your solid waste	<input type="checkbox"/> (1) Provided by LGU <input type="checkbox"/> (3) Private collection service <input type="checkbox"/> (2) Provided by Barangay <input type="checkbox"/> (4) None		
G3.2. Do you have septic tank	<input type="checkbox"/> (1) Yes <input type="checkbox"/> (2) No <input type="checkbox"/> (3) Don't know		
G3.3 Where do you dispose of your liquid wastes (from laundry, kitchen and bathing)	<input type="checkbox"/> (1) Septic tank <input type="checkbox"/> (2) Drainage canal <input type="checkbox"/> (3) Don't know		
G3.4. Other waste management issues:	Please specify _____		
G4. Basic Education G4.1 What educational facilities do you have in your community? E4.2 Other education related issues:	<input type="checkbox"/> (1) Kinder/Elementary school in the barangay or nearby <input type="checkbox"/> (2) High school in the barangay or nearby <input type="checkbox"/> (3) Kinder/Elementary school inaccessible / very far (estimated kilometers) <input type="checkbox"/> (4) High school inaccessible / very far (estimated kilometers) Please specify _____		
G5. Public Transportation	F5a. Availability [1-Yes, 2-No]	F5b. Type [1-Tricycle, 2-Jeepney, 3-Buses, 4- FX, 5- Others]	F5c. Cost Roundtrip (PhP)
G5.1 To school/s			
G5.2 To market			
G5.3 To work/ employment			
G5.4 To health center			
G5.5 To hospital			
G6. Measures for public safety and security	G6a. Barangay tanod / community patrol <input type="checkbox"/> Yes <input type="checkbox"/> No / none G6b. Police outpost nearby / police presence <input type="checkbox"/> Yes <input type="checkbox"/> No / none G6c. Street lights <input type="checkbox"/> Yes <input type="checkbox"/> No / none		
G7. Estate Management Do you have an organization/office managing the resettlement site?	<input type="checkbox"/> 1-Yes <input type="checkbox"/> 2- No / None If yes: G7b. Managed by whom: <input type="checkbox"/> 1-LGU <input type="checkbox"/> 3-Developer <input type="checkbox"/> 2-Homeowners <input type="checkbox"/> 4-Other G7c. Are the rules and sanctions posted publicly? <input type="checkbox"/> Yes <input type="checkbox"/> No G7d. Are the rules and sanctions being enforced? <input type="checkbox"/> Yes <input type="checkbox"/> No (Get copy of rules and regulations) G7e. Identify common estate management issues: _____		

H. Resettlement process.

Note to Interviewer: Probe on the questions below and indicate answers or observations in the space provided.

How was the resettlement process done in Paco? To get the answer for this question, use questions below as guide.

1. What agency or agencies were involved in your relocation/resettlement? _____ [1- NHA, 2- SHFC, 3-PRRC, 4-DPWH, 5-LGU, 6-LIAC]

2. Did the agency consult you for your relocation? _____ [1-Yes, 2-No, 3-Cannot remember]

2a. How many times? _____

3. Did the government give you relocation or resettlement options, like in-city, near city or off city? _____ [1-Yes, 2-No, 3-Cannot remember]

3a. If yes, please explain details of these options.

4. Was there a system for accepting complaints grievance redress? _____ [1-Yes, 2-No, 3-Cannot remember]

5. Were you paid for your damaged house/structures/fences and other assets? _____ [1-Yes, 2-No, 3-Cannot remember]

5a. If yes, how much? _____

6. Were you given transport support like trucks for your belongings and buses for yourself and family members?
_____ [1-Yes, 2-No, 3-Cannot remember]

7. What other support or allowances were given to you? Please specify

8. Were the assistance/entitlements of the option you chose given to you in a timely manner? ? _____ [1-Yes, 2-No, 3-Cannot remember]

9. When was the assistance/entitlement given to you? Please specify date or period. _____

10. How was it given? Please specify. _____

-End of Interview-

Thank you

Annex C. Elements of a Resettlement Plan per OP 4.12

1. This annex describes the elements of a resettlement plan, an abbreviated resettlement plan, a resettlement policy framework, and a resettlement process framework, as discussed in [OP 4.12, paras. 17-31](#).

Resettlement Plan

2. The scope and level of detail of the resettlement plan vary with the magnitude and complexity of resettlement. The plan is based on up-to-date and reliable information about (a) the proposed resettlement and its impacts on the displaced persons and other adversely affected groups, and (b) the legal issues involved in resettlement. The resettlement plan covers the elements below, as relevant. When any element is not relevant to project circumstances, it should be noted in the resettlement plan.

3. *Description of the project.* General description of the project and identification of the project area.

4. *Potential impacts.* Identification of

- (a) the project component or activities that give rise to resettlement;
- (b) the zone of impact of such component or activities;
- (c) the alternatives considered to avoid or minimize resettlement; and
- (d) the mechanisms established to minimize resettlement, to the extent possible, during project implementation.

5. *Objectives.* The main objectives of the resettlement program.

6. *Socioeconomic studies.* The findings of socioeconomic studies to be conducted in the early stages of project preparation and with the involvement of potentially displaced people, including

- (a) the results of a census survey covering
 - (i) current occupants of the affected area to establish a basis for the design of the resettlement program and to exclude subsequent inflows of people from eligibility for compensation and resettlement assistance;
 - (ii) standard characteristics of displaced households, including a description of production systems, labor, and household organization; and baseline information on livelihoods (including, as relevant, production levels and income derived from both formal and informal economic activities) and standards of living (including health status) of the displaced population;
 - (iii) the magnitude of the expected loss--total or partial--of assets, and the extent of displacement, physical or economic;
 - (iv) information on vulnerable groups or persons as provided for in [OP 4.12, para. 8](#), for whom special provisions may have to be made; and

(v) provisions to update information on the displaced people's livelihoods and standards of living at regular intervals so that the latest information is available at the time of their displacement.

(b) Other studies describing the following

- (i) land tenure and transfer systems, including an inventory of common property natural resources from which people derive their livelihoods and sustenance, non-title-based usufruct systems (including fishing, grazing, or use of forest areas) governed by local recognized land allocation mechanisms, and any issues raised by different tenure systems in the project area;
- (ii) the patterns of social interaction in the affected communities, including social networks and social support systems, and how they will be affected by the project;
- (iii) public infrastructure and social services that will be affected; and
- (iv) social and cultural characteristics of displaced communities, including a description of formal and informal institutions (e.g., community organizations, ritual groups, nongovernmental organizations (NGOs)) that may be relevant to the consultation strategy and to designing and implementing the resettlement activities.

7. Legal framework. The findings of an analysis of the legal framework, covering

- (a) the scope of the power of eminent domain and the nature of compensation associated with it, in terms of both the valuation methodology and the timing of payment;
- (b) the applicable legal and administrative procedures, including a description of the remedies available to displaced persons in the judicial process and the normal timeframe for such procedures, and any available alternative dispute resolution mechanisms that may be relevant to resettlement under the project;
- (c) relevant law (including customary and traditional law) governing land tenure, valuation of assets and losses, compensation, and natural resource usage rights; customary personal law related to displacement; and environmental laws and social welfare legislation;
- (d) laws and regulations relating to the agencies responsible for implementing resettlement activities;
- (e) gaps, if any, between local laws covering eminent domain and resettlement and the Bank's resettlement policy, and the mechanisms to bridge such gaps; and
- (f) any legal steps necessary to ensure the effective implementation of resettlement activities under the project, including, as appropriate, a process for recognizing claims to legal rights to land--including claims that derive from customary law and traditional usage (see [OP 4.12, para.15 b](#)).

8. Institutional Framework. The findings of an analysis of the institutional framework covering

- (a) the identification of agencies responsible for resettlement activities and NGOs that may have a role in project implementation;

- (b) an assessment of the institutional capacity of such agencies and NGOs; and
 - (c) any steps that are proposed to enhance the institutional capacity of agencies and NGOs responsible for resettlement implementation.
9. *Eligibility.* Definition of displaced persons and criteria for determining their eligibility for compensation and other resettlement assistance, including relevant cut-off dates.
10. *Valuation of and compensation for losses.* The methodology to be used in valuing losses to determine their replacement cost; and a description of the proposed types and levels of compensation under local law and such supplementary measures as are necessary to achieve replacement cost for lost assets.
11. *Resettlement measures.* A description of the packages of compensation and other resettlement measures that will assist each category of eligible displaced persons to achieve the objectives of the policy (see [OP 4.12, para. 6](#)). In addition to being technically and economically feasible, the resettlement packages should be compatible with the cultural preferences of the displaced persons, and prepared in consultation with them.
12. *Site selection, site preparation, and relocation.* Alternative relocation sites considered and explanation of those selected, covering
- (a) institutional and technical arrangements for identifying and preparing relocation sites, whether rural or urban, for which a combination of productive potential, locational advantages, and other factors is at least comparable to the advantages of the old sites, with an estimate of the time needed to acquire and transfer land and ancillary resources;
 - (b) any measures necessary to prevent land speculation or influx of ineligible persons at the selected sites;
 - (c) procedures for physical relocation under the project, including timetables for site preparation and transfer; and
 - (d) legal arrangements for regularizing tenure and transferring titles to resettlers.
13. *Housing, infrastructure, and social services.* Plans to provide (or to finance resettlers' provision of) housing, infrastructure (e.g., water supply, feeder roads), and social services (e.g., schools, health services); plans to ensure comparable services to host populations; any necessary site development, engineering, and architectural designs for these facilities.
14. *Environmental protection and management.* A description of the boundaries of the relocation area; and an assessment of the environmental impacts of the proposed resettlement and measures to mitigate and manage these impacts (coordinated as appropriate with the environmental assessment of the main investment requiring the resettlement).
15. *Community participation.* Involvement of resettlers and host communities
- (a) a description of the strategy for consultation with and participation of resettlers and hosts in the design and implementation of the resettlement activities;

(b) a summary of the views expressed and how these views were taken into account in preparing the resettlement plan;

(c) a review of the resettlement alternatives presented and the choices made by displaced persons regarding options available to them, including choices related to forms of compensation and resettlement assistance, to relocating as individuals families or as parts of preexisting communities or kinship groups, to sustaining existing patterns of group organization, and to retaining access to cultural property (e.g. places of worship, pilgrimage centers, cemeteries); and

(d) institutionalized arrangements by which displaced people can communicate their concerns to project authorities throughout planning and implementation, and measures to ensure that such vulnerable groups as indigenous people, ethnic minorities, the landless, and women are adequately represented.

16. *Integration with host populations.* Measures to mitigate the impact of resettlement on any host communities, including

(a) consultations with host communities and local governments;

(b) arrangements for prompt tendering of any payment due the hosts for land or other assets provided to resettlers;

(c) arrangements for addressing any conflict that may arise between resettlers and host communities; and

(d) any measures necessary to augment services (e.g., education, water, health, and production services) in host communities to make them at least comparable to services available to resettlers.

17. *Grievance procedures.* Affordable and accessible procedures for third-party settlement of disputes arising from resettlement; such grievance mechanisms should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms.

18. *Organizational responsibilities.* The organizational framework for implementing resettlement, including identification of agencies responsible for delivery of resettlement measures and provision of services; arrangements to ensure appropriate coordination between agencies and jurisdictions involved in implementation; and any measures (including technical assistance) needed to strengthen the implementing agencies' capacity to design and carry out resettlement activities; provisions for the transfer to local authorities or resettlers themselves of responsibility for managing facilities and services provided under the project and for transferring other such responsibilities from the resettlement implementing agencies, when appropriate.

19. *Implementation schedule.* An implementation schedule covering all resettlement activities from preparation through implementation, including target dates for the achievement of expected benefits to resettlers and hosts and terminating the various forms of assistance. The schedule should indicate how the resettlement activities are linked to the implementation of the overall project.

20. *Costs and budget.* Tables showing itemized cost estimates for all resettlement activities, including allowances for inflation, population growth, and other contingencies; timetables for expenditures; sources of funds; and arrangements for timely flow of funds, and funding for resettlement, if any, in areas outside the jurisdiction of the implementing agencies.

21. *Monitoring and evaluation.* Arrangements for monitoring of resettlement activities by the implementing agency, supplemented by independent monitors as considered appropriate by the Bank, to ensure complete and objective information; performance monitoring indicators to measure inputs, outputs, and outcomes for resettlement activities; involvement of the displaced persons in the monitoring process; evaluation of the impact of resettlement for a reasonable period after all resettlement and related development activities have been completed; using the results of resettlement monitoring to guide subsequent implementation.

Annex D: World Bank Relevant Advisory Services and Analytics on Philippine Urban Development and Housing Sector

FY 2011-2016

Project/TA Name	Brief Description and Key Outputs	Implementing Agency
National Informal Settlements Upgrading Strategy (NISUS) for the Philippines	<ul style="list-style-type: none"> Supported the development of a national strategy to guide the National Government and Local Government Units (LGUs) in the preparation and implementation of effective policies and programs on informal settlements upgrading. Key Outputs: (a) Comprehensive Assessment Report on informal settlement communities in the Philippines; (b) Conference proceedings on international and local good practices on upgrading; and (c) National Informal Settlements Upgrading Strategy Report. 	HUDCC (Recipient-executed)
Design of Housing Subsidy Schemes for the ISF Program	<ul style="list-style-type: none"> Supported a consultative process to develop subsidy designs to bridge the affordability gap of the low to middle-income groups, leverage funding from the Home Development Mutual Fund (Pag-ibig), and incentivize private sector participation in housing production. Key Outputs: (a) proceedings of series consultative technical workshop on the design of upfront income-based subsidy for socialized housing, and (b) upfront income-based capital subsidy design to be adopted under the proposed Metro Manila Flood Management Project. 	World Bank/HUDCC/SHFC/NHA
Support to National TWG on ISF	<ul style="list-style-type: none"> Provided expert and just-in-time advisory services in the formulation of a comprehensive framework for the Php 50 billion ISF program, premised on prioritizing on-site improvements and in-city or near-city relocation. The TA provided support to DILG as follows: (a) provided evidence of the welfare benefits of in-city relocation to individual families and to the economy as a whole; (b) provided technical input to the formulation of the Operational Guidelines for the Oplan Likas program; and (c) conceptualized the LGU Housing Seed Fund, which was envisioned to provide funding to LGUs for technical assistance and capacity-building; land acquisition and site development; and/or bridge financing/matching grant for community savings to allow communities to make down-payments for land acquisition. 	World Bank/DILG
SHFC-TA	<ul style="list-style-type: none"> Phase 1 of the TA provided just-in-time technical advice in the review SHFC's existing portfolio, procedures and processes with the aim of addressing current bottlenecks in implementation and scaling up the delivery of the Community Mortgage Program 	World Bank/SHFC

	<p>(CMP). Phase 1 of the TA also reviewed the CMP Portfolio particularly on how different factors have affected the performance of the community repayments. Key recommendations of Phase 1 analytical work was the development of High Density Housing (HDH) Program for in-city/near city housing; and demonstrating the city-wide development approach to shelter provision in LGUs in Metro Manila.</p> <ul style="list-style-type: none"> • Phase 2 of the TA supported SHFC in the establishment of the HDH program and building the capacity of the agency and its stakeholders to operationalize this new program. It also supported SHFC in championing and piloting the city-wide development approach to shelter provision through learning exchange events with SHFC program partners that included LGUs, civil society organizations, and relevant national government agencies. • Key Output: SHFC Review and Recommendation Report; Briefs and presentation materials on key policy and operational issues on an on-demand basis. 	
Citywide Community Upgrading Strategy	<ul style="list-style-type: none"> • This TA aimed to pilot a citywide planning process to help reduce informality in Metro Manila in three flood-prone cities in Metro Manila: Caloocan (Barangay 177), Muntinlupa, and Quezon City (Sixth Congressional District). • Key Outputs: (a) spatial mapping and socio-economic profiling of all informal communities in the city (or district/ village) overlaid with hazard maps; (b) citywide shelter development plan for each LGU based on supply (land, subsidy, other financing) and demand-side (shelter needs, affordability etc.) analyses and prioritization of communities based on a clear set of criteria; (c) prioritization of community-driven slum upgrading projects in each pilot city; (d) establishment or revitalization of a platform for government-civil society-private sector collaboration; and (e) capacity-building activities for key stakeholders. • Key Output: Citywide Community Upgrading Strategy Stock-taking Report 	World Bank, SHFC and the LGUs of Barangay 177 (Caloocan), District 6 of Quezon City and Muntinlupa
NHA-TA	<ul style="list-style-type: none"> • Phase 1 of this TA was to provide advisory assistance to NHA in reviewing its resettlement program with an end view of introducing good practices and enhancements to make the program aligned with international standards. The TA outputs paved the way for NHA to review and improve its standards and manuals for site-selection, site suitability analysis and site planning; and develop an Estate Management Manual. Phase 1 took a learning-by-doing approach to assist NHA in enhancing its organizational capability to sustain the innovations and changes introduced as a result of the analytical work; • Phase 2 of the TA sought to inform the design of the proposed 	World Bank/NHA

	<p>Metro Manila Flood Management Project by providing input to the preparation of its social safeguards instruments; help NHA strengthen its capacity to plan and implement resettlement programs; and determine its appropriate role in livelihood interventions vis a vis other players. The TA reviewed the Oplan Likas program to determine the level compliance and consistency with the World Bank's Operational Policy on Involuntary Resettlement; and recommend improvements for government's future resettlement programs as well as possible corrective actions for past resettlement activities. The TA also conducted an ISF livelihood study to look into optimal livelihood interventions for ISFs who were resettled off-city and in-city considering their differing constraints. Finally, it carried out capacity building activities of for NHA managers and personnel in the areas of resettlement planning, implementation, and monitoring and evaluation; and estate management to help improve the performance and outcome of its large-scale resettlement programs.</p> <ul style="list-style-type: none"> • Key Outputs: (Phase 1) Final NHA-TA Report, Estate Management Manual, Revised Manuals for Site-Selection, Site Suitability Analysis and Site Planning; (Phase 2) Briefing Paper 1 (Evaluation of the performance of Oplan Likas program), Briefing Paper2 (Stock taking of the achievements and gaps of Oplan Likas program in restoring livelihoods of resettled ISFs), Briefing Paper 3 (Recommendations on possible livelihood interventions for and options for implementation arrangements for livelihood interventions). 	
Land Constraints Study	<ul style="list-style-type: none"> • This analytical work sought to generate a better understanding of land-related constraints that hamper the implementation of viable and sustainable housing solutions. The study looked into three key areas: (a) land administration, (b) land mobilization, land tenure and housing rights, and (c) land use and planning regulations. • The study identified and provided recommendations on the following constraints: (i) limited access to up-to-date and reliable information on land and informal settlement families (ISF), (ii) planning rules and regulations particularly relating to Batasang Pambansa 220 inappropriate for in-fill or urban renewal; (iii) overly lengthy process of prodamations; (iv) absence of clear guidelines on administration and disposition of lands proclaimed for ISFs; (v) lengthy process for issuance of special patents; (vi) limited access by ISF to compliance housing projects and mechanisms per Section 18 of UDHA; (vii) high capital gains tax imposed on foreclosed properties prevent LGUs from using these lands for ISFs. These issues and resulting recommendations were unraveled and confirmed during the conduct of the National Housing and Urban Development Summit. 	World Bank

	<ul style="list-style-type: none"> • Key Output: Land Constraints Study 	
Rental Housing Voucher Scheme	<ul style="list-style-type: none"> • Rapid assessment of the supply of and demand for low cost rental housing in Metro Manila to better understand the rental arrangements, pricing, potential supply in the market as well as the behavior and needs of households in informal settlements. A parallel study and development of an Operational Manual on the implementation of a rental housing voucher scheme for Yolanda affected areas was helpful in the design of a transitional rental support program under the Metro Manila Flood Control Project. • Key Output: Metro Manila Rental Housing Assessment Study 	World Bank
National Housing and Urban Development Summit	<ul style="list-style-type: none"> • A year-long process that aimed to bring together the all stakeholders in the housing sector – government, the private sector, and the civil society – collaborate towards identifying key policy reforms needed to close the affordable housing gaps and effecting immediate interventions to address the ISF shelter needs in the Philippines. It focused on “Making In-City Housing a Reality.” It gave keen attention to four major themes, or arenas of issues and concerns, namely: (a) land and housing, (b) housing finance, (c) participatory governance, and (d) urban development. The 2015-16 housing summit will focus Each of these themes will receive intensive assessment, discussions, and dialogues among key stakeholders directly involved in policy making and on-the-ground action. Their sessions took off from the various outputs of the World Bank technical assistance program and recent efforts by various stakeholder groups. • Key Outputs: Policy Briefs by technical experts on the identified issues above and Policy Paper “Closing the Gap in Affordable Housing in the Philippines” that summarizes key policy recommendations. 	World Bank/ House of Representatives and Senate of the Philippines
Urbanization Review	<ul style="list-style-type: none"> • Analytical work to better understand the urbanization process in the Philippines, how Metro Manila could better perform, and how urbanization can be leveraged for employment growth, poverty reduction, and improved quality of life. The work was envisioned to better inform policy makers and the general public of the Philippine urbanization process; assist Government to identify policy and investment constraints, and develop a knowledge base and framework to design and implement effective urbanization policies and programs. • Phase 2 will be designed in or around September 2016 as a more action-oriented research that leads to a tangible investment lending. • Key Output: Philippine Urbanization Review: Fostering Competitive and Sustainable Cities. 	World Bank

Annex E: Allocation of 1.8 Billion Supplemental Resettlement Budget

(see separate PDF file)