Intervention title

**Mayon, Magayon: The perfect cone of participatory governance, risk reduction and resilient settlements[[1]](#footnote-1)**

**List of abbreviations**

APSEMO-PDRRMO Albay Public Safety and Emergency Management Office - Provincial Disaster Risk Reduction and Management Office

ALTERPLAN Alternative Planning Initiatives

BDRRMC Barangay-level Disaster Risk Reduction and Management Councils

BDRSSP Barangay-level Disaster Risk-Sensitive Shelter Planning

CBO Community Based Organisation

DERF Danish Emergency and Relief Fund

DIB Danish International Human Settlement Service

DRR-CCA Disaster Risk Reduction - Climate Change Adaptation

DRRM Disaster Risk Reduction and Management

HHs Households

LGU Local Government Unit

MDRRMO Municipal Disaster Risk Reduction and Management Office

MSWDO Municipal Social Welfare and Development Office

NGO Non-Governmental Organisation

SAC-Legazpi Social Action Center of the Diocese of Legazpi

PHILSSA Partnership of Philippine Support Service Agencies

PHIVOLCS Philippine Institute of Volcanology and Seismology

PSC Project Steering Committee

PWD People with Disabilities

1. **Objective and relevance (the world around us)**

* *What is the main purpose with the intervention, including challenges that need to be addressed?*

The overall objective of this intervention is to improve the resilience of disaster-affected and high-risk communities in Guinobatan Municipality on the slopes of Mayon Volcano by building their capacity to engage with duty bearers in obtaining access and resources for safer and more resilient settlements.

This will be pursued through three specific objectives:

**Specific objective 1:** At-risk households have a unified voice for claim making through strong community-based organizations

**Specific objective 2:** Community-based organizations are capable of advocating for safer and more resilient settlements through the processes of participatory planning and budgeting

**Specific objective 3:** The 15 most vulnerable and at-risk families have gained protection through access to safe and resilient permanent relocation

A series of strong typhoons and the lahar[[2]](#footnote-2) flow that the typhoons set off on the slopes of Mayon in late 2020 resulted in several casualties and large-scale destruction of homes and livelihoods, prompting government agencies to recommend wholesale relocation of villages. This intervention proposes to deploy the methodology of barangay[[3]](#footnote-3)-level disaster risk-sensitive shelter planning (BDRSSP) in helping affected communities prepare for the eventuality of relocation or on-site risk mitigation, and to safeguard their interests in the development of housing and settlements projects.

These interests refer to access to livelihood opportunities, basic services like water, power, sanitation, and safe road networks, and social services like health, education, police and firefighting. Many government relocation projects lack most of these, and suffer even from substandard construction of housing units. In the context of this intervention, failure to consider livelihood greatly increases the chances that families will choose to go back to residing in danger areas because of the rich agricultural land where they now derive their livelihood. On the other hand, relocation might not be the only option if analysis shows that effective risk-mitigating infrastructure and measures such as observance of easements, slope protection, and flood control could be installed. In this way, displacement from homes and livelihoods would be reduced.

BDRSSP is a series of civil society-driven seminars and workshops designed to integrate local knowledge with scientific evidence, towards understanding the nature of local housing requirements and the different kinds of challenges and risks that limit access to safe and secure housing, especially for the poor. The results of the participatory analysis and the shelter plan generated at the barangay level are advocated for integration in the city- or municipal-level shelter plan, a sectoral plan that supports the comprehensive development plan of local governments in the Philippines.

For reasons including the technical requirements and the level of investment for interventions needed, many local governments, especially those that are not highly urbanized, miss out on the preparation of a shelter plan, even given the compelling and ever-increasing figures for housing need all over the country. In addition, when it is done, planning is often left to external consultants to complete, leading to results that are not likely to be reflective of what the communities in need would want for themselves.

Guinobatan currently has no Local Shelter Plan as housing is typically not seen as a focus or significant problem area of municipalities. However, in light of recent calamities, the Guinobatan municipal government and affected communities have come to recognize that not taking immediate pre-emptive action is untenable. The project partners believe that BDRSSP is a timely intervention in Guinobatan for meeting the needs of at-risk communities through mobilization of government and private sector resources. As the project partners have seen in previous cooperation, recommendations and proposals articulated in the shelter plan have higher chances for obtaining local government and national agency budget allocations.

The intervention seeks not only to introduce in the municipality evidence-based and risk-sensitive shelter planning, but also to influence the practice of local development planning to be more truly participatory. BDRSSP is designed to draw out insights and knowledge from affected communities, rather than just government authorities and/or their consultants. This will be discussed more in succeeding sections.

The intervention also intends to demonstrate that communities should participate in planning not only because relocation might be compelled by the government, but because such preparation would result in their own long-term benefit, especially in improving their resilience. As a foundation for participation in planning and governance, a significant component of the intervention is devoted to formally organizing and building the capacity of community associations so that they can be in a position to engage and advocate.

This intervention seeks to improve resilience in three dimensions:

* By organizing and strengthening community-based organizations that can lead the way for local residents to respond and recover in times of crisis, as well as in pre-emptively finding ways to resist and prevent crisis.
* By developing the barangay-level shelter plan, a multi-year instrument for advocacy that CBOs can use to advocate changes to their living conditions that are currently high-risk.
* By assisting in the design and development of safer and more resilient settlements for the target groups.

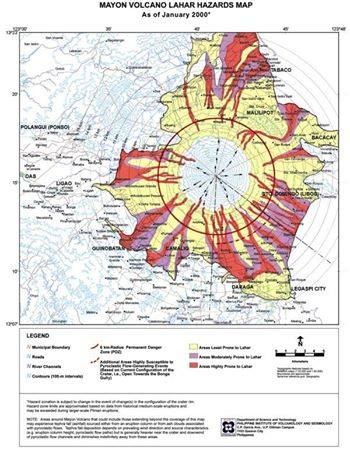
DIB and ALTERPLAN have previously cooperated, together with other civil society organizations in the Philippines, in promoting BDRSSP, at first mostly in low-lying flood-prone areas, but more recently in conflict-affected areas as well. The project outputs have led to the funding and implementation of local government projects such as land acquisition and site improvements for housing, improved water and drainage systems, and construction of evacuation centers.

In this intervention DIB and ALTERPLAN will partner with the Social Action Center of the Diocese of Legazpi (SAC-Legazpi), which is a local civil society organisation, doing both humanitarian interventions and development work in Albay province. DIB, ALTERPLAN and SAC-Legazpi have cooperated before on the intervention 14-1542-SP-sep. This proposed intervention is not an extension of the previous cooperation. Although it uses the same methodology, the intervention varies in terms of location and target population, and also integrates lessons from previous experience. These lessons will be elaborated in section 2.

* *Describe the context of the intervention:*

Mayon Volcano, the dominant natural feature in this intervention, is in Albay Province on the southern tip of Luzon Island, the Philippines. Mayon’s almost perfect conical shape puts it among the most beautiful volcanoes in the world. However, it is also among the most dangerous. Its symmetrical shape is indicative of how often it erupts.[[4]](#footnote-4) In a country dotted with 24 active volcanoes, Mayon Volcano is considered the most active, with eruptions in seven of the last 20 years (2018, 2014, 2013, 2009, 2006, 2001, 2000)[[5]](#footnote-5).

Adding to the danger of frequent eruptions, Mayon is populated almost to its peak. Three cities and five municipalities divide up the slopes of the volcano - the cities of Legazpi, Ligao and Tabaco, and the municipalities of Camalig, Daraga, Sto. Domingo, Malilipot, and Guinobatan. Each of these territories have a slice of the volcano, running from the peak to the base.

The immediate trigger for this application is the series of strong typhoons that ravaged the area in late 2020. Aside from the highly destructive strong winds and heavy rains that brought on flooding, the typhoons loosened volcanic debris and caused lahar flow along river systems and surrounding areas. Houses and buildings along the paths of the typhoons were severely damaged. Floodwaters covered cities and towns. Lahar overflowed rivers and buried houses in several barangays.

The proposed location for the intervention is Guinobatan Municipality, particularly the Barangays of Travesia, San Francisco and San Rafael. The Philippine Institute of Volcanology and Seismology (PHIVOLCS) recommended that these three barangays to be among the seven barangays with villages (locally called “purok”[[6]](#footnote-6)) for immediate relocation. The four other barangays are in three municipalities. The listed villages are not in the Permanent Danger Zone near the peak. They are adjacent to the river systems where volcanic material has been deposited, which were mobilized by the heavy rains.

Guinobatan itself is a first-class municipality, meaning its population and municipal income are big enough to be in the top tier of municipalities in the Philippines, but not big enough to be counted as a city. Guinobatan has a total population of 82,361, almost evenly split among males and females. The three barangays proposed for this intervention have an estimated aggregate population of 16,244, or almost 20% of the total population of the municipality.

In the absence of more detailed information from the barangays, the following municipal-level information on the residents is shown here[[7]](#footnote-7):

* Only 58% of the working-age population (15-64) are considered gainfully employed. Of that, 70% are men, and only 30% are women.
* Reflecting the agricultural base of the economy, skilled agricultural/forestry/fishery workers make up the biggest group of workers, at 20%, while several types of office- or retail-based work make up 37%, and crafts, elementary occupations[[8]](#footnote-8) and machine workers together make up 43%.
* Women’s occupations are largely in office- or retail-based work (69%), with the next biggest group in elementary occupations, crafts and machine work (26%), and a very small group in skilled agricultural/forestry/fishery work (5%).
* Men’s occupations reflect the numbers in skilled agricultural/forestry/fishery work (27%), with a big group also in elementary occupations, machine work and crafts (50%), and a smaller group in office- or retail-based occupations (23%).
* Over 21% of households are women-headed.
* A small percentage of households (2%) is considered doubled-up[[9]](#footnote-9).
* Twenty percent of houses is made of light materials (galvanized iron, aluminium, bamboo, grasses, salvaged/improvised materials)
* More than half of the households have no legal claims to landownership (53%). Of that number, most are in rental or rent-free arrangements with the consent of the landowner. However, a small number are occupying houses or lots without the consent of owners (2%, which is almost 400 families in the whole municipality).
* Poverty incidence was estimated at 23.4% in 2015, higher than the national figure of 18%. The island of Luzon (where Albay is located) as a whole has a lower incidence at 10.9%. Guinobatan’s poverty incidence is closer to that of the less developed Visayas (24.2%) and Mindanao (30.9%).

These types of information will be verified at the barangay and purok (village) levels during the research portion of the BDRSSP process to see if the municipal-level trends and findings hold true. Initially, the information suggest that:

* Families invest in dwelling structures even without land ownership.
* Families depend for livelihood on land that they do not own.
* Women have more “portable” jobs, meaning not depending on fixed locations. However women have the disadvantage of making up a much smaller share of the gainfully employed population. If there should be a change in livelihoods due to relocation, the women’s types of skills and occupations would contribute a lot to recovery, while the men would probably need re-equipping.

In SAC-Legazpi’s interaction with families in evacuation centers, they have expressed concern about the possible lack or inappropriateness of income sources in the localities of government-sponsored resettlement, as seen in previous national government projects. With the main source of livelihood being farming, it is common to see families going back to clearly hazard-prone but highly productive agricultural areas, disaster after disaster. Currently, hundreds of families remain in evacuation centers, which are mostly schools that are not outfitted to deliver adequate water, sanitation and privacy. At the same time, many families have returned to houses that were half-buried in lahar.

Lack of basic services, road networks, and social services are also common in new relocation sites. These conditions worsen an already fragile situation for poor families and communities by taking more of their time and burdening them with added costs for services, and reducing or taking away means for making a living.

Guinobatan was selected by the project partners as the prospective intervention site not only because it has the most number of villages recommended for relocation, but also because the local government has reached out to the SAC-Legazpi for assistance with its shelter planning concerns, showing that the Guinobatan LGU is open and ready for cooperation with civil society, but lacks the experience and instruments for interacting with its own communities on development planning, particularly shelter planning. On the other hand, the residents of the affected villages are not well organized or equipped to be active participants in planning for risk mitigation or preparing for disaster response. Due to the lack of organized and registered groups, the opportunities for civil society participation in governance have not been availed. The BDRSSP process and the underpinning community organizing efforts are intended to contribute to breaking the cycle of under-development and vulnerability in the project area.

SAC-Legazpi was one of the local NGO partners of DIB and ALTERPLAN in intervention no. 11-968-SP-apr where SAC-Legazpi’s project site was Ligao City. Due to Guinobatan Municipality’s proximity to Ligao City, key Guinobatan officials have some knowledge of the previous cooperation on BDRSSP and perceive advantages from the methodology.

The provincial government of Albay, which has oversight on the planning and budgeting of Guinobatan Municipality, has also encouraged the partnership with SAC-Legazpi and ALTERPLAN. In particular, the head of the Albay Public Safety and Emergency Management Office - Provincial Disaster Risk Reduction and Management Office (APSEMO-PDRRMO) has participated in initial discussions with SAC-Legazpi and ALTERPLAN.

The Albay provincial government is making funds available to municipal governments, including Guinobatan, for acquisition of land for relocation. SAC-Legazpi has information from meetings at the provincial level that Guinobatan and Albay have matched funds that have led to purchase of at least two pieces of property located within the municipality. This intervention intends to consider and formulate proposals in the shelter planning workshops for the utilization of such provincial and municipal funds for land acquisition.

* + *Describe whether the intervention takes place in a stable or fragile context. If the intervention takes place in a fragile context, you can find inspiration on CISUs website about* [*nexus*](http://www.cisu.dk/nexus)*.*

The proposed intervention is assessed by the partners to take place in a fragile context due to the following parameters identified below.

**Climate and environmental fragility**: The exposure to natural disasters, such as the volcano eruptions, the frequent and increasingly stronger typhoons, flooding, landslides etc. have been destabilizing the area and putting people at risk over a long period, even resulting in loss of lives. Recently humanitarian assistance to the area has been provided in the wake of the super typhoons in November 2020. At this time, even heavy rains (not typhoons) cause local officials to call for evacuation in order to prevent more casualties.

**Economic fragility:** As mentioned the affected areas have experienced great losses due to the typhoons. Many have lost their houses and belongings completely, others have experienced substantial damage to their housing, their crops and livestock, and others have also lost family members. Today, many of the most vulnerable households still remain in evacuation centers, or live in houses that were half-buried by the lahar flows. The households that are displaced from their farmland suffer from limited livelihood options and income opportunities. The periodic nature of environmental risks contributes to the perpetuation of economic fragility.

**Social and political fragility**: Social cohesion is seen to have suffered as a result of poor communities having been traditionally left out of governance and decision-making. Marginalization has not only been economic but also social and political. National laws in the last 30 years have sought to reverse this situation through various means, such as by institutionalizing participation of people’s organizations in government mechanisms. But as stated above, Guinobatan is one of the many places around the country where constituents are not well organized or equipped to be active participants in planning and governance. Due to the lack of organized and registered groups, the opportunities for civil society participation in governance have not been availed, and therefore the affected communities are being left out of decision-making processes that concern them directly.

While the context is fragile, the partners have identified that the appropriate approach for creating the needed and more sustainable changes are long term and require long term engagement. Therefore we consider our intervention to be a development intervention with nexus elements, rather than a humanitarian one. The local communities identify housing or lack of proper housing to be the biggest issue at the moment. By focusing on housing issues, both current and more long-term, and building the capacity of local organisations to identify, address and vocalize the housing needs of their members as well as formulate disaster risk preparedness and relocation options, the intervention will in the long term be reducing the fragility and enhancing the resilience of the target group to entirely avoid or mitigate current and future risks.

In our previous experiences such processes take time and therefore, in order to address the current immediate needs of protection of a small number of households deemed to be most vulnerable, and to stabilize their conditions so they can contribute to social development, we will also with this intervention provide the material for incremental housing. This step will be taken for families who are not able to provide it themselves. This strategic delivery will also be treated as an opportunity for advocacy. There will be more discussion on this in the section on the strategy of the intervention.

* *Describe how this intervention will strengthen civil society organising to advance social justice (realisation of people’s rights, reducing inequality and fighting poverty, participation in decision-making processes, equal access to resources, and just institutions).*

The intervention will be focusing on community organizing and capacity building towards advocacy actions that will be rights-based and claim making. The Philippines is signatory to several international covenants that commit to an at least adequate quality of life for citizens, as well as their participation in the decision-making processes that will bring about such quality of life. Although there are several pieces of national legislation that localize the covenants, their implementation has been uneven and largely limited to the bigger, more visible cities. The intervention will seek to improve the target groups’ knowledge of such rights, and give them tools and instruments that they can use in striving to claim their rights, not only for housing concerns, but also for other concerns such as appropriate livelihood options, infrastructure and social services.

The intervention’s strategy is to help build local organizations that can act as focal points for:

* Generating less environmentally fragile locations and options for permanent settlements for affected marginalized communities
* Ensuring that alternative locations have suitable opportunities for livelihoods
* Ensuring that solutions and proposed locations are sustainable through the participation of affected households and communities

Thus the intervention not only provides the needed resources and support for a group of people from the affected communities to organize themselves and enhance their capacity, it also provides a venue and approach for the wider community to give voice to their concerns and issues.

While the backbone of the intervention will be capacity building of the community-based organizations, its arms and legs will be the methodology of BDRSSP, a methodology the partners have substantial experience with, and have obtained good results from. The BDRSSP process equips and provides civil society with a venue for engaging in local governance. It is designed to put affected communities on equal footing with other sectors by providing structure and system to local knowledge and aspirations, merged with scientific evidence. The BDRSSP should result in allocation of resources to programs, projects and services that will help address the fragility of the target groups’ situation.

* *What climate- and environmental conditions do the partnership and/or the intervention need to respond to? And how have the partners responded to it? This could be in relation to the conditions of the target groups, the number of flights or the activities of the intervention, and how these affect the environment or climate in the area.*

The substance of the intervention itself is concerned with mitigation of risks associated with volcanic and typhoon hazards; concerns which are embedded in the daily life of the Filipinos living in the area. In general The Philippines is highly affected by climate change and extreme weather events due to its location. According to the Global Climate Risk Index from 2021, the Philippines is the fourth most affected country since 2000[[10]](#footnote-10). In the BDRSSP process, the participants will - among other things - examine how climate change and human activities aggravate risks from natural hazards.

The partners will also strive to introduce more climate-friendly solutions and use of material in the settlements, for better adaptation to climate change risks. These will depend on the analysis of local conditions that will be done in the BDRSSP process.

On the operations side, the blended online-classroom learning process that will be implemented for planning and training sessions, as well as more reliance on virtual communications will reduce domestic travel for project staff. This will not only contribute to a smaller carbon footprint, but also social distancing and related health measures and restrictions during COVID-19. The international travel from Denmark will therefore only be done after careful considerations to both the pandemic and the added value of a physical visit.

1. **The partnership/collaborators (our starting point)**

* *Describe the experiences, capacities and resources of participant partners (including the Danish organisation) as well as other actors (e.g. their experiences with the subject matter concerned, knowledge of the context in which the intervention will take place, networks and relationships).*

**DIB**'smission is to support the development of a strong civil society and democratic planning processes in the South, with the aim of supporting poor and marginalized people in achieving sustainable livelihoods and resilience. Focus has especially been on those who are affected by natural hazards, climate change and environmental degradation, and recently those affected by human-induced disasters have also been included.

From its onset, DIB has been engaged in projects concerning sustainable human settlement throughout the world. However, over the last 15 years the thematic focus has shifted towards the strategic elements of enhancement and capacity building of civil society. Human settlement, local planning and sustainable development are among DIB core competences together with appropriate technology transfer adapted to local conditions. DIB's core activity is capacity building of the local partner (both technical, organizational and administratively), project implementation and monitoring. Furthermore, DIB has experience with evidence-based advocacy involving local community experiences, concerns and needs and adopted solutions in order to improve the conditions for poor and marginalized people. Recent experiences, networks and knowledge from the DRSSP projects, the IDP Initiative project and the Eco-Village Development projects in South Asia will be drawn upon in this intervention. Furthermore DIB has been involved in two DERF interventions; one in the Philippines and one in Bolivia.

DIB presently consists of a secretariat with 2 staff members, and Lykke Valentin, the head of the secretariat, will be the project coordinator for this intervention. She holds degrees in environmental resource management and international studies and she has been involved in the interventions in the Philippines since 2017. Adding to this, DIB has several volunteers that contribute to the activities, mainly in project groups related to the different projects in Nepal and Bolivia. The workload of the projects with DIB is thus dispersed onto several people with different capacities and not necessarily only complied with the staff in the secretariat.

Local partners:

**ALTERPLAN** is an NGO that undertakes projects, programs, policy research, and technical services concerning space and the built environment as integral components or focal points for community development. As a technical service organization, ALTERPLAN works in partnership with community-based organizations and other non-profit, non-government organizations in building their capacities to analyze, implement, plan and steer area-based development. It was incorporated in 1990 by a group of women architects and planners whose mission became not so much to design and build structures, but to help ensure that conditions in both the natural and the built environment are supportive of people’s aspirations. ALTERPLAN also works with local governments and national government agencies in efforts to institutionalize consultative processes in urban planning and management.

With its network of consultants, ALTERPLAN is able to access expertise for poor communities after determining with them their needs and plans of action. Realizing the multi-disciplinary character of community development, ALTERPLAN always seeks to expand the perspective of communities in each aspect of development: from the financial, technical, organizational, to the environmental and socio-economic.

Since 2009, ALTERPLAN has partnered with DIB in promoting disaster risk-sensitive shelter planning with support from the Civil Society Fund, and for this purpose, has led engagements with NGOs in several cities in the Philippines. Aside from these, ALTERPLAN’s more recent engagements included working with the Quezon City LGU in area development and citywide shelter programming since 2010, for several years with the support of The World Bank. Currently, ALTERPLAN is working with the Quezon City LGU to safeguard the welfare of thousands of informal settler families who will be displaced by the development of national infrastructure (roads and flood control).

Through its work in urban management, ALTERPLAN has contacts with national government, particularly in the key shelter agencies, and with experts and professionals in various disciplines. ALTERPLAN seeks to bridge grassroots organizations to these resource organizations and persons.

For the proposed intervention, the team from ALTERPLAN, led by Sarah Redoblado, will have research and training staff, and the needed finance and administrative support staff. Expertise within the team includes urban management and development, including land management and value capture, housing finance, optimization and decision support tools, environmental science, and technical skills for data management and mapping.

**SOCIAL ACTION CENTER of the Diocese of Legazpi (SAC-Legazpi)** is a church-based, non-stock, non-profit organization operating at the Diocese of Legazpi, Province of Albay, established in 1972 as an offshoot of the Second Vatican Council's call for greater involvement of the church in social issues and concerns. SAC-Legazpi is the social action arm of the Diocese of Legazpi.

SAC-Legazpi is an institution for social services. It coordinates, supervises and implements social action programs aimed at improving the conditions of the poor. It addresses the social, cultural, economic and political needs of the people in the diocese. Its thrust is to serve the poor, the deprived and the oppressed, especially women and children. Its programs and projects are clustered under the Seven Developmental Works of Mercy, namely: healthcare, education, livelihood, protection, empowerment, disaster risk reduction - climate change adaptation (DRR-CCA), and the overarching program called Tanganing An Dukha Atamanon (literally translating to: So that the poor may be helped) Its acronym TADA literally means left-over.

Its ongoing projects include: Integrated Nutrition, Education and Livelihood Program; Building Resilient and Healthy Farming Families in Bicol through Sustainable Agriculture and Agro-enterprise Development; Strengthening Partnerships between the Commission on Human Rights and Civil Society Organizations in Region V; Psychospiritual Services for Substance Users; Care for Abused Women and Children; and Social Initiative for Local Accountability in Governance.

SAC-Legazpi works with diverse financing sources such as local individual donors, local donor/church institutions (e.g. Caritas Manila, Risen Savior Mission, Hapag-asa), international NGOs (e.g. Misereor, Catholic Relief Services, Manos Unidas, The Asia Foundation) and even government institutions (e.g. Department of Finance, Department of Agriculture). The Diocese of Legazpi also supports selected programs and projects from its General Fund.

SAC-Legazpi has links with volunteer units in local parish councils that mobilize for humanitarian activities in times of crisis. This set-up allows SAC-Legazpi to have a presence in most barangays. SAC-Legazpi itself is a member of the Provincial Development Council, and is one of the appointed civil society representatives in the Bicol Regional Development Council. SAC-Legazpi is also accredited in all the Municipal Development Councils in Albay, including Guinobatan.

Jason Sevilla is the Community Development Officer of SAC-Legazpi who will be the Field Coordinator for the intervention. He was also the Coordinator for Ligao City in the intervention no 14-1542-SP-sep. He will oversee a small team from SAC-Legazpi who will support the administrative and community organizing work.

* *Describe any previous acquaintance or cooperation between the partners, and how these experiences have fed constructively into the development of the proposed intervention.*

Since 2009 DIB and ALTERPLAN have jointly implemented three phases of Development Interventions (09-646-MP-jan, 11-968-SP-apr, 14-1542-SP-sep) and one project under Partnership Intervention (13-1343-PA-sep), all in the Civil Society Fund, whose subject was the promotion of disaster risk-sensitive shelter planning. For the intervention 14-1542-SP-sep *“Promoting disaster risk-sensitive shelter planning in selected Philippine cities and towns”* from 2015-2018, SAC-Legazpi was the local partner for the activities in Ligao City, located in Albay province. Since the project ended in 2018, the partner consortium have been in regular contact on how to take the collaboration and learnings onwards.

From 2017, DIB and ALTERPLAN have been working together in Iligan with local partners on providing relief assistance to the IDPs of Marawi (17-62-M2, under the DERF fund), followed by a citizen participation intervention (19-2338-MI-feb) to strengthen Lombay Ka Marawi, the people’s organization of the IDPs from Marawi and the subsequent development intervention (19-2364-UI-mar) to strengthen and support the IDPs in their claim for a safe home, also building upon the BDRSSP methodology.

The BDRSSP projects were all initiatives to give life to mandated civil society participation in local development planning. Taking the junction of disaster risk management and housing, two compelling concerns for urban poor households, the BDRSSP projects mobilized communities to take a serious look at long-term disaster preparedness and resilience through better planning of settlements. The participants in the previous projects identified the following hazards in their areas - typhoons, flooding, volcanic activity in Legazpi and Ligao Cities in Albay Province; storm surge, flooding, sea level rise in Ubay Municipality, Bohol Province; typhoons and flooding in Iligan City in Mindanao; and drought and flooding in General Santos City, also in Mindanao. The active engagement and advocacy of communities helped stimulate more responsive plans and budgets from the local governments where the BDRSSP projects were implemented.

Some of the learnings from previous interventions that we have incorporated in developing this application were:

* In both intervention nos. 14-1542-SP-sep and 11-968-SP-apr, the project locations were low-lying flood-prone areas. In the analysis during the interventions themselves, local partners and participants pointed out the need to go upstream in the landscape, where risk mitigation could benefit downstream residents as well as the upstream population who suffer a lot of damage in catastrophic events in the area. This concern led to a choice of location in this intervention that is higher up in the river systems.
* Although natural hazards are a dominant theme in the proposed area because of sheer magnitude of impact, national and global circumstances indicated the need to enrich the capacity-building activities with more content on human-induced hazards (e.g. armed conflict), climate change risks, and infectious and communicable diseases. Also due to the COVID-19 pandemic and the ensuing safety and health protocols, the delivery of BDRSSP learning and planning modules has been customized, starting with the Marawi IDP intervention (19-2364-UI-mar), for blended online-classroom activities, instead of wholly in-person sessions.
* In the DIB-ALTERPLAN intervention to assist Marawi IDPs (19-2364-UI-mar), the total and permanent displacement of families from their homes and income sources make access to livelihood an urgent concern. The partners will be mindful of this such that dedicated staff will ensure that it is taken up as both a long-term concern in the BDRSSPs, and as a short-term concern that will be included early on in dialog with government, non-government and private-sector stakeholders.
* *Describe the contributions, roles and responsibilities of the partners and other actors.*

DIB will be the over-all project manager, and will be accountable to CISU for project implementation, monitoring and reports. DIB will take an active role in the activities listed under 1.11 Learning activities and Project management in the implementation and monitoring plans as well as provide inputs to the policy proposals and communication materials (1.3) and other plans/ advocacy material developed in the project (1.6), particularly in relation to climate change and other environmental risks.

ALTERPLAN will take the lead in designing training and providing content for the housing and resettlement issues, in engaging with relevant national stakeholders and government bodies such as the key shelter agencies and financing institutions, and in accessing technical resources for mapping, feasibility studies, and policy research. Due to its experience with DIB and CISU, ALTERPLAN will be the lead partner to DIB and coordinate the collaboration and implementation activities in the Philippines with SAC-Legazpi and any other cooperating organizations such as the municipal government and community-based organizations. ALTERPLAN will draw up the contracts with local staff and organizations and be responsible for carrying out monitoring activities and also comply with the administrative and reporting requirements. Aside from the Coordinator, ALTERPLAN will assign an Administrative-Finance Officer, a Bookkeeper, and an Administrative Assistant to work on a part-time basis to ensure that the implementation of the intervention observes proper checks and balances, and logistical requirements are provided in a timely manner.

SAC-Legazpi will be responsible for implementing activities in communities, on mobilizing and engaging with both the project’s target groups and with other stakeholders and duty-bearers such as the the provincial, municipal and barangay LGUs in Guinobatan, and local civil society including parish councils, business and academe. SAC-Legazpi will report on activity outputs and expenditures to ALTERPLAN.

* *Describe how the intervention will contribute to developing the relationship and collaboration between the partners.*

The intervention will resume the collaboration of ALTERPLAN, DIB and SAC-Legazpi, which started in 2014 towards the end of the intervention 11-968-SP-apr, the project in Legazpi with COPE Foundation as local partner. In that intervention, Jason Sevilla of SAC-Legazpi came to be tasked with monitoring the official approval and implementation of BDRSSP proposals. In the succeeding intervention (14-1542-SP-sep), SAC-Legazpi became one of the local partners, coordinating project activities in Ligao City, and as mentioned the partners have been wanting to take the cooperation further ever since.

In this proposed intervention, the project partners plan to make the most out of SAC-Legazpi’s strengths (their strong networks, resource mobilization, coordinating capacity etc.) by employing them in the long-term development of sustainable resettlement projects and programs for disaster-affected families. DIB and ALTERPLAN will provide technical assistance to help SAC-Legazpi advance its urban development programs. SAC-Legazpi has already prior experience in working with the BDRSSP approach, and with this intervention the organization will continue to build on their existing knowledge and help fine-tune the methodology with the unique position they hold.

On the other hand, the partnership with SAC-Legazpi will contribute to DIB and ALTERPLAN’s deeper understanding of evolving practices in disaster preparedness and response. DIB and ALTERPLAN will also learn from SAC-Legazpi’s approaches in engaging with communities, funds and networks. The intervention will add to all partners’ experience in working within the nexus-agenda and in linking resettlement and disaster preparedness and response to the climate change agenda.

This setup actively involving several partners and actors enables the project to engage on several levels at the same time, with the partners focusing on different aspects of the project, based on their strengths and competencies. Each organization learns from the other partners, and overall, complements each other in order to meet the objectives of this intervention. Since 2009 DIB and ALTERPLAN have implemented projects together and have thus built a strong and honest relationship, a good collaboration and deep inter-organisational understanding, elements that are very valuable when working in fragile contexts and when starting a new project. The shared experiences and mutual learning can only further strengthen the relationships among DIB, ALTERPLAN and SAC-Legazpi.

* *Describe how the intervention will contribute to strengthening the partners’ relations to other actors, e.g. authorities, other local, national, and international organisations, networks, alliances, private companies or other financial support.*

The intervention will reinforce the relations and credibility of SAC-Legazpi with the municipal and provincial governments, particularly the offices that handle settlements, planning and disaster risk reduction concerns. SAC-Legazpi is already well positioned politically, but the intervention will boost its stock as a technical resource. SAC-Legazpi will also benefit from increased contact with national shelter/social development/livelihood development agencies, and non-government and private-sector formations that can be supportive to the intervention, that ALTERPLAN is currently more familiar with.

Conversely, ALTERPLAN will benefit from a stronger presence in Albay Province through its association with SAC-Legazpi, while also strengthening its links with national agencies and formations through concrete collaboration projects that are expected to result from the intervention.

DIB will increase its visibility in local NGO networks like the Partnership of Philippine Support Service Agencies (PHILSSA), of which ALTERPLAN is a member, and the nationwide Social Action Center network, of which SAC-Legazpi is a part. SAC-Legazpi and ALTERPLAN are expected to benefit from DIB’s participation in international networks and partnerships, particularly on climate actions.

1. **Target groups, objectives, strategy, and expected results (our intervention)**

* *Describe the composition of the target groups: specify approximate number of people in primary (the persons who will participate in the activities of the intervention) and secondary (persons who will be affected by the activities of the intervention without having participated in them) target groups disaggregated by e.g. gender, social groups or other relevant factors.*

The primary target groups will be members of the population of the three barangays (San Francisco, San Rafael, and Travesia) in Guinobatan that have villages recommended for relocation. At the time of this application, the municipal LGU provided the following figures:

|  |  |  |
| --- | --- | --- |
| **Barangay** | **Total number of households in the barangay** | **Number of households in puroks (villages) to be relocated** |
| San Francisco | 1,040 | 409 |
| San Rafael | 1,311 | 271 |
| Travesia | 1,120 | 542 |
|  | 3,471 | 1,222 |

The universe for the target groups is 3,471 HHs (app. 16,244 persons). The rest of the target groups (except local gov't officials) are subsets of this number, so they have not been aggregated.

Given these, sub-groups of the population were identified as target groups for different components of the intervention as follows:

|  |  |  |
| --- | --- | --- |
| **Description of target groups** | **Type of activity** | **Target number of participants** |
| 1. Residents of 3 barangays | Risk communication / information campaign | At least 3,000 families (14,040 persons) out of 3,471 families (16,244 persons) |
| 1. Residents of 7 puroks to be relocated (subset of no. 1) | Local consultations  Membership drive  Membership seminars | At least 1,000 adult family members from 1,222 families |
| 1. CBO leaders (subset of no. 2) | Leadership seminars  BDRSSP training and planning workshops | 35 - 5 officers per CBO (1 CBO per purok to be relocated); at least half should be non-male |
| 1. Women, youth, older people, persons with disability (subset of no. 2) | Sectoral consultations | 140 - 5 members per sector per purok |
| 1. Most vulnerable households e.g., HHs headed by single women, PWD, elderly; HHs with multiple special needs (subset of no. 2) | Housing materials assistance in permanent relocation sites | 15 households |
| 1. City and barangay officials concerned with housing and DRR | BDRSSP training and planning workshops | 10 - 2 staff or elected officials per barangay LGU plus 4 staff or elected officials from municipal LGU |

The intervention will seek to reach all residents of the three barangays through a risk communication campaign that is relevant to all of them. As discussed in section 1 of this Application, the population is almost evenly split on gender, with the single biggest occupation type being agro-based.

The other target groups are subsets of the barangay residents. The residents of the puroks to be relocated will be the focus for CBO activities. Adult family members will be targeted for the members’ capacity-building and consultation activities. CBO members will then elect leaders from among themselves.

In the figures for the target groups, we did not put a target minimum percentage of non-male participants for the activities. Our participants in past projects have had more female participants, even in Muslim Marawi. However, we will ensure at least 50% of the participants in the leadership seminars are non-male (i.e., both female and non-binary), as our experience is that the numbers could be skewed to male leaders.

Another channel for inclusion that is integrated in the organizing activities is the formation of sectoral clusters where women, children and youth, older people, and persons with disability can gather among themselves to discuss their own perceptions, ideas and proposals. The target number listed above is the minimum participation that the intervention should achieve. Any number of suitable and interested community members could join in the sectoral activities.

The most vulnerable households will be selected with the participation of CBO leaders after the project partners and the CBO leaders in consultation with their members agree a set of selection criteria. The criteria may include having multiple family members with special needs, and having a disadvantaged household head (e.g. elderly, unemployed single parent).

Local government officials are part of the target group for the BDRSSP activities. The barangay or the municipality from among the following will nominate them:

* Barangay Councillor who chairs the Committee on Housing
* Barangay Councillor who chairs the Committee on Disaster Risk Reduction and Management
* Barangay Chairperson
* Head of Municipal Disaster Risk Reduction and Management Office
* Head of Municipal Social Welfare and Development Office
* Head of Municipal Planning and Development Office
* Municipal Councillor who chairs the Committee on Housing
* Municipal Councillor who chairs the Committee on Disaster Risk Reduction and Management

The secondary target group will be the rest of the municipal population who will be affected by recommendations and proposals in the BDRSSP output but did not participate in its formulation. They will be residents of adjacent barangays who are likely to benefit from improved infrastructure and risk-mitigating measures resulting from the BDRSSP advocacy. At this time, a figure for this secondary target group is very hard to provide, as it will come from mapping analysis. The entire municipal population is 82,361, but some barangays are upstream of the 3 barangays, and are not likely to be impacted by any BDRSSP infrastructure. An estimate may be made when the BDRSSPs have been prepared.

The secondary target group will also include provincial, regional and national government offices with mandates related to housing, disaster risk reduction and management (DRRM) and development planning.

* *Describe how the target groups will participate in- and benefit from the intervention.*

|  |  |
| --- | --- |
| **Target group** | **How they will participate and benefit** |
| 1. Residents of 3 barangays | The intervention will prepare risk communication materials and mechanisms and launch an information campaign through social media, more traditional print materials, and community engagement. The campaign will be designed to help residents make informed decisions to protect themselves and their families for the long term. The campaign will also encourage residents to participate in risk mitigation by being part of CBOs that actively promote safe and resilient settlements.  Through local consultations in the initial stages of community organizing, the residents will have the chance to help shape the community-based organizations for addressing the risks. Then during the BDRSSP process, residents will also have the chance to participate in community consultations where they may provide input from their own knowledge and perceptions, while also getting information from processed and published data.  Through those kinds of local consultations, the intervention seeks to empower community members by building up awareness and knowledge and providing venues for them to contribute to the improvement of their conditions. |
| 1. Residents of 7 puroks to be relocated | The focus for intensive community organizing activities will be the residents of the puroks recommended for immediate relocation. Once they have volunteered to join the CBO, residents will learn in membership seminars and regular meetings about the rights and responsibilities of membership in an organization, including keeping oneself informed so as to have the capacity to advocate for projects, services and policies as part of a group. |
| 1. CBO leaders | Elected officers of the community-based organizations will have heavier responsibilities and will therefore be provided with more training support in terms of knowledge (e.g. organizational management, housing rights, housing interventions, disaster risk reduction concepts and measures) and skills (e.g. socio-economic and physical data collection and analysis, facilitation of meetings, financial management).  CBO leaders will have the chance to directly participate in the BDRSSP training and planning activities. They will also have the responsibility to lead community consultations to validate and enrich the outputs of BDRSSP activities. |
| 1. Women, youth, older people, persons with disability | The sectoral cluster activities (e.g. consultations and workshops) will be supportive to CBO consolidation. The members of the various sectors can come together to identify their own particular needs that the CBO can bring to the attention of duty bearers and development partners. The sectoral clusters can also identify capacities as individuals and as a group that will contribute to the development of the CBO, the community as a whole, and their own families and persons. A demographic analysis like that shown in the context section can reveal specific contributions that women, younger people,and other sectors can make. The DIB-ALTERPLAN intervention in Marawi has shown that sectoral grouping are also suitable venues for mental health and psychosocial wellbeing activities. |
| 1. Most vulnerable households | The project partners and CBO leaders will interview and consult with the most vulnerable households on their priority needs, and to assess what they can contribute to housebuilding. Since the proposed assistance is only for housing materials, the beneficiary households and other members of the community are expected to contribute available labor (skilled and unskilled). The subsidy from the intervention is intended to leverage a package of contributions from various government and non-government sources to deliver protection to the families most in need, while the self-help aspect is intended to reinforce the families’ concept of ownership or belongingness and value attached to the new dwelling. |
| 1. City and barangay officials concerned with housing, DRR and planning | The local government officials will be invited to join the BDRSSP activities as learners and workshop participants, and in some cases they may serve as resource persons. They are expected to gain in knowledge and skills on housing, disaster risk reduction, and local development planning in general. In this manner, a common vocabulary with community members is developed.  The local government officials are also expected to gain a better appreciation of democratic participation, engagement with communities, and local knowledge. |

* *Describe how the target groups and relevant actors have been involved in the development of the intervention as well as the partners’ legitimacy to act as champions of the target groups’ cause.*

Consultations among DIB, ALTERPLAN, SAC-Legazpi and Guinobatan LGU were conducted on various online platforms including email, Viber, Zoom and Googlemeet. As there is still no central leadership among the members of the target communities, communication in Guinobatan has been limited to the offices of the municipal government, as well as the families that pass through the evacuation and distribution centers where SAC-Legazpi has been assisting.

As mentioned the head of the Albay Public Safety and Emergency Management Office - Provincial Disaster Risk Reduction and Management Office (APSEMO-PDRRMO) has participated in initial discussions with SAC-Legazpi and ALTERPLAN. Furthermore Guinobatan’s Municipal Disaster Risk Reduction and Management Office (MDRRMO) has provided some information for this Application. The MDRRMO, along with the barangay-level Disaster Risk Reduction and Management Councils (BDRRMC), are responsible for immediate response in times of emergency. The municipal office that is more directly involved with relocation of high-risk households is the Municipal Social Welfare and Development Office (MSWDO).

SAC-Legazpi is accepted as a champion of the target groups’ cause because it has been consistently active, and even at the forefront of development and humanitarian work in Albay Province, including Guinobatan, since it’s beginning. At present, SAC-Legazpi includes Guinobatan in its province-wide projects involving nutrition, education, livelihood, youth, human rights, women and children’s rights, accountability in governance, and emergency response.

ALTERPLAN has been working in the housing and urban development sector for three decades and has a long track record of interventions benefitting marginalized communities both in the same region as the proposed intervention and in other parts of the Philippines. Over the years, ALTERPLAN has built up a strong network to national and international NGOs and institutions, local and national government stakeholders and resource persons to enhance the housing and settlement situation for the most at-risk communities. Thus they are in a strong position to act as champions for the target group’s cause.

The partnership with SAC-Legazpi will further contribute to the credibility of ALTERPLAN and DIB towards grassroots organizations in Guinobatan. Government stakeholders know ALTERPLAN and DIB through the previous interventions in Ligao and Legazpi.

* *Describe the strategy of the intervention – how and with what methods will the intervention be implemented so that it leads to the objectives, including how the intervention balances between the elements of the Development Triangle. Describe the objectives, activities, expected results and indicators (or similar ways of formulating criteria of success) of the intervention.*

The table below provides an overview of the intervention’s logical framework analysis.

|  |  |  |  |
| --- | --- | --- | --- |
| **Objectives** | **Indicators** | **Outputs** | **Activities** |
| **Overall objective**  Improve the resilience of disaster-affected and high-risk communities and households in Guinobatan Municipality on the slopes of Mayon Volcano by building their capacity to engage with duty bearers in obtaining access and resources for safer and more resilient settlements | | | |
| **Specific objective 1:**  At-risk households have a unified voice for claim-making through strong community-based organizations | Functional community-based organizations with membership and leadership structures and mechanisms  Official recognition of CBOs as participants in governance | 1.1 A common vision is formulated | 1.1.1 Local consultations  1.1.2 Networking with existing traditional leaders concerned with shelter and settlements |
| 1.2 A functioning set of leaders and at least 1,000 members is established | 1.2.1 Membership orientation and information drive  1.2.2 Membership and leadership seminars  1.2.3 Members’ and officers’ meetings |
| 1.3 A program of action for addressing common concerns is developed | 1.3.1 Action planning workshops |
| 1.4 Government registration and accreditation of at least 7 purok-based CBOs have been obtained | 1.4.1 Courtesy visits to local government and national government agencies  1.4.2 Documentation and application |
| **Specific objective 2:** Community-based organizations are capable of advocating for safer and more resilient settlements through the processes of participatory planning and budgeting | Shelter and resettlement agenda of affected communities taken up in government planning activities  Engagement and partnership of CBOs with other stakeholders  Approved proposals for shelter and resettlement projects and programs | 2.1 Socio-economic and physical profiles of selected communities have been prepared and validated | 2.1.1 Training and implementation of primary and secondary data gathering and processing  2.1.2 Validation of findings by communities  2.1.3 Risk communication |
| 2.2 Proposals for long-term solutions encapsulated in 3 barangay-level disaster risk-sensitive shelter plans have been drawn up | 2.2.1 Consultations with technical and academic organizations  2.2.2 BDRSSP training and planning workshops |
| 2.3 Local and/or national government funding has been committed for projects or programs | 2.3.1 Dialog and presentations to local government and national government agencies  2.3.2 Training and implementation of monitoring of budget release and utilization |
|
| **Specific objective 3:** The 15 most vulnerable and at-risk families have gained protection through access to safer and more resilient permanent relocation | Selected families provided with secure tenure in permanent relocation areas with strategic plan for site improvements and socio-economic growth of the relocation areas  Dwelling structures provided in at least incremental or transition mode | 3.1 List of 15 most vulnerable households needing immediate shelter assistance has been prepared | 3.1.1 CBO meetings to agree on selection criteria and process  3.1.2 Selection process (document reviews, interviews, ocular, etc) |
| 3.2 Partnerships with government and private-sector institutions with counterpart contributions to shelter requirements of selected households have been established | 3.2.1 Dialog with potential government and non-government partners  3.2.2 Processing of documentary requirements |
| 3.3 Technical and housing materials assistance for 15 selected families has been provided | 3.3.1 Design and approval of plans and specifications  3.3.2 Housing materials assistance  3.3.3 Relocation assistance |

The objectives of this intervention have been developed having the three elements of the Development Triangle in mind and making sure they are complementing each other. The intervention proposes to improve resilience by building up local structures and mechanisms that will allow affected persons and families to address their needs and claim their rights to safer settlements collectively. Thus, the basic layer for many of the activities in this intervention is organizational capacity building. This is therefore the focus of activities under Objective No. 1. Under this objective the project partners will extend their knowledge and experiences to the local communities on how to form a CBO, establishing a common goal and vision for their organisation, how to organise themselves and ensure the local democratic processes. Leadership training will be conducted to equip them with tools and knowledge on how to engage with relevant stakeholders to become officially recognized as civil society organisations. The activities on organisational capacity building will be on-going throughout the project, as in our previous experience with the establishment of Lombay Ka Marawi (19-2338-MI-feb), these things take time to internalize, and constant support and guidance is needed in the initial stages of the process.

For objective no 2, all three elements of the development triangle are included. The capacity building elements are mainly embedded in the BDRSSP training components, also including the preparatory elements as data gathering and processing exercises. However there are also planned trainings related to the organisational and advocacy capacity of the CBOs to follow up on funding commitments. The strategic delivery component is the technical assistance provided by external resources for providing input to and validation of the barangay disaster risk-sensitive shelter plans (BDRSSP) which will be developed in the project. This is to ensure legitimacy of the findings and to enhance our advocacy activities. The advocacy elements under this objective are to present the BDRSSPs to relevant duty bearers, obtain approval for their adoption and to secure funding for implementation of projects and programs in the BDRSSPs.

For objective no. 3 advocacy and strategic deliveries are the main components. The strategic deliveries center on facilitating the provision of shelter for the 15 most vulnerable households to help stabilize them, as well as provide opportunities for leveraging resources for the rest of the target group. The strategic deliveries are therefore linked to the advocacy work of the project as well. The advocacy activities under this objective include engaging with government, civil society and the private sector to influence the planning, financing and implementation of relocation and resettlement projects.

The fragile context tempers expectations of success for the advocacy proposals during the project period. This factor also contributes to the importance attached to equipping the target groups with instruments that they can carry into the medium-term and long-term like the BDRSSPs and organisational capacities.

The strategy of our intervention

Overall this intervention will focus on those three barangays which are listed for relocation (1,222 households, approximately 5,719 persons), but we will also work with those who stay (the remaining 2,249 households, approximately 10,525 persons) as the shelter plan is supposed to offer a range of options to suit the varying needs and capacities of the residents. In the three barangays in Guinobatan, the recommended relocation is of a scale that will probably dominate the shelter plan, and there is a possibility that the number of puroks to be relocated may yet increase during the intervention, as PHIVOLCS or the LGU gets more information. However, for some parts of the barangays, relocation might not have to happen if proper mitigation infrastructure or behaviour is established. More specifically the strategy for each objective is as described below.

**Specific objective 1** is for at-risk households to have a unified voice for claim making through strong community-based organizations. The objective is deemed to be achieved when the CBOs have functional leadership and membership structures and mechanisms, and are recognized by government authorities to be qualified to participate in development councils or other local special bodies[[11]](#footnote-11).

At the time of this Application, there are no registered CBOs in the proposed barangays for the intervention. The activities therefore start with local consultations and networking with traditional leaders in order to synthesize a basis of unity and common vision among community members. Traditional leaders such as elders and heads of informal associations are recognized to have influence and may be of help in disseminating information and uniting community members.

In the context of the intervention, the basis of unity is expected to be the shared need for better and safer living conditions. The common vision and other agreements then become the incentive for residents to become members and leaders. Information, training, and regular meetings are the main venues for building up functional leaders and members.

The content for membership activities will include: awareness of human rights, housing and environmental rights; risk communication; life skills; and sectoral psychosocial support interventions.

The content for leadership training will include: facilitation skills; conduct of meetings, elections and other democratic processes; simple financial management and reporting; and negotiation and mediation. These are intended to make the CBOs more effective and sustainable. Additional training will come from activities under Specific Objective 2.

One of the responsibilities of the leaders is to prepare action programs to guide the CBOs’ activities. For this purpose, the intervention will facilitate action-planning workshops.

Finally, the CBOs will strive to have a seat at the development-planning table by obtaining accreditation from the local government as civil society representatives in the local development council and other local special bodies where civil society representation is mandated.

**Specific objective 2** is for CBOs to be capable of advocating for safer and more resilient settlements through the processes of participatory planning and budgeting. This objective will be deemed achieved when the CBOs’ shelter agenda are taken up, adopted and given funding support through the CBOs’ engagement with government, other civil society organizations, and the private sector.

The shelter agenda will be developed through the BDRSSP process, which involves, first, preparing socio-economic and physical profiles leading to a situational analysis, and from there formulating corresponding strategies and interventions. The process of preparing the profiles and situational analysis involves household surveys, mapping, interviews, secondary data gathering, and community consultations for data validation and enrichment. This cluster of activities includes training community members to do the data collection and analysis themselves. It also includes processing the data for use in improving risk communication for community members.

The activities for formulating the proposals, or the strategies and interventions (projects, programs, services, legislation) will be the part of the series of learning and planning workshops making up BDRSSP. The BDRSSP process (including data collection) is designed to take place over six months, which is intended to simulate and align with the development planning and budgeting calendar of local governments. The calendar refers to the officially prescribed annual cycle for preparation of local government plans and budgets, where January to June is more or less the data gathering and planning period, July to September is the period for budget preparation, and October to December is the period for budget authorization.

Throughout the BDRSSP process, the CBO leaders are the primary targets for capacity building. They will take part in all exercises including surveys and mapping, and are expected to take the lead in workshop discussions and community consultations. Their perspectives, including the feedback they gather from community consultations, should anchor the analysis and recommendations in the BDRSSP. The activities will also involve engaging with academe and technical institutions and individuals who can offer expertise on relevant specialized subject matter such as volcanology and geology. Their job will be to provide guidance on technical matters, but not to take over decision-making. The result of the BDRSSP process will be the CBOs’ and barangays’ input to the municipal shelter plan.

The third cluster of activities under Specific Objective 2 is budget advocacy, which includes dialog with government officials, making presentations and participating in discussions in development councils, and monitoring of budget utilization. The activities under Specific Objective 2 also include training for community members and CBO leaders in particular to gain the skills for the above.

**Specific objective 3** is for the most vulnerable and at-risk families to have gained protection through access to safer and more resilient permanent relocation. The objective is deemed achieved when at least fifteen selected families shall have been transferred to safe locations where they have secure tenure and durable dwelling structures.

Through dialog with other non-government and government stakeholders, the project partners intend to put together various contributions that will make up permanent housing for fifteen families. In addition to the housing materials package that the intervention will contribute, the partners will strive to obtain the following from various partners: a) land for relocation from the municipal and/or provincial government, b) land improvements from the municipal government, c) additional building materials from private sector groups, d) supervisory services from young local architects and engineers, and most importantly, e) labour from beneficiary households and other CBO members.

The number of targeted households in this objective and the allotted resources may be relatively small but the assistance is important for leveraging much bigger resources from other stakeholders. The assistance will establish the presence of the intervention partners at the discussions regarding immediate relocation projects of government, and will boost the influence of the intervention partners in improving the quality of design and services towards safer and more resilient settlements.

The proposed duration of the intervention is 30 months. The targeted milestones for the various project components are as follows:

* By the end of month 6, the CBOs shall have been organized, and the processing of their registration with government authorities initiated. The bulk of membership and leadership seminars shall have been conducted by the end of month 9. Onwards, periodic action planning workshops and regular meetings will be held.
* Also by the end of month 6, the project partners and the CBOs shall have prepared the list of most vulnerable households selected to receive technical and housing materials assistance for permanent relocation. (The lack of registration at this time need not be a hindrance to CBO functioning in this matter.) Onwards, partnerships with government and private-sector stakeholders who can contribute to completing the dwellings and improving the overall quality of relocation will be firmed up. Plans and specifications will also be prepared and agreed on at this time. By the end of month 15, the dwelling units shall have been made ready for turn-over to the selected families.
* By the end of month 9, collection of relevant data for planning shall have been substantially completed, and the processed data validated by community members.
* By the end of month 12, the barangay-level shelter plans shall have been prepared through the BDRSSP seminar-workshop series.
* By the end of month 18, the CBOs shall have obtained approval for funding of selected projects in the barangay shelter plans. Onwards, the CBOs shall be monitoring BDRSSP project implementation, including government budget releases and utilization. Training for project and budget monitoring will be conducted during this period.
* By the end of month 30, the CBOs shall have obtained approval for funding of another set of selected projects in the barangay shelter plans for the next fiscal year.
* In the last 12 months or so, assuming the CBO registrations are in place, BDRSSP projects have been budgeted, and the 15 most vulnerable families have been housed, the intervention will focus on activities to sustain and reinforce gains. These activities, also mentioned above, include the regular organizational meetings, monitoring of BDRSSP project funding and implementation, and monitoring of the relocated families’ welfare.
* *Describe how the intervention contributes to establishing sustainable and lasting improvements for poor, marginalised and vulnerable target groups and strengthening the partners’ capacities after the intervention period.*

The intervention seeks sustainability and lasting improvements primarily through two outputs:

* Stronger community organizations and networks that can continue to unite and mobilize members around common goals, expand membership, formulate plans, and engage with other stakeholders. The strong focus on building and strengthening the capacity of the local community based organisations for them to effectively engage with key duty-bearers in government in accessing the services and opportunities that should be made available and accessible to them and the members of the organisation.
* A documented agenda embodied in the barangay-level disaster risk-sensitive shelter plans that can be used by civil society to present proposals for safer and more resilient settlements to local and national government agencies for several years. As mentioned earlier in the previous DIB-ALTERPLAN cooperation, the advocacy of BDRSSPs by communities resulted in the funding and implementation of community-proposed projects that improved sanitation, water supply, fire prevention, and access to safe and secure housing. When the BDRSSPs have been made, they can be implemented and advocated for after the project has ended, and will benefit the entire community. In the case of Ligao, for example, the CBOs used the BDRSSPs generated in order to obtain funding for slope protection and improvement of community pathways in the budget period after the end of the intervention.

For the 15 most vulnerable households selected for technical and housing material assistance, the transfer to a safer location with a durable dwelling structure is intended to provide a fresh start towards reducing their vulnerability. The material assistance, along with their self-help efforts and participation in the CBOs, are expected to change attitudes of helplessness to survivor mentality and increased awareness of their human rights, their own strengths and productivity. The scheme of self-help and partnering with several stakeholders in relocation initiatives would be a replicable model for larger relocation projects resulting from the BDRSSPs or other efforts.

On the part of the intervention partners, the cooperation in Guinobatan is expected to deepen understanding of nexus approaches, especially the focus areas of resilience and protection. Except for the partnership in Marawi and Iligan, previous cooperation on BDRSSP had been implemented in relatively stable locations. While the Marawi-Iligan intervention highlights the element of conflict that resulted in social, political and economic fragility, the Guinobatan experience will center on natural hazards and the associated environmental, climate, and economic fragility, which are exacerbated by social and political fragility.

In the context of the Philippines’ high disaster risk as assessed by various international organizations and reports, understanding of the nexus and the possible roles of the partners within it, and gaining the corresponding skills, competencies and knowledge, will be highly relevant for the long term.

* *Describe possible conditions (risks) that can hinder or delay fulfilment of the objectives and what possible solutions are available to mitigate these risks.*

Contextual risks

A major contextual risk is that another natural disaster disrupts office and project operations, and causes large-scale evacuations before permanent resettlement is in place. To prepare for this possibility, the project partners will maintain strong relations with other organizations and key duty bearers in order to be ready as much as possible for quick response. The proposed intervention component of securing permanent relocation for the most vulnerable (Specific Objective No. 3) is expected to help the project partners gain a louder voice in the resettlement discussions and use that voice to leverage greater resources for the rest of the families who also need assistance to relocate. This is in addition to the component’s principal intent of helping stabilize the most vulnerable persons and families towards their active participation in their households, communities and local organizations.

The project will also try to optimize the use of mobile communications so that it can be an effective and standard parallel form of communication in relatively normal times while being the main channel for continuing operations and selected activities when mobility is severely restricted (such as during the pandemic or when roads are blocked by floods or debris).

Programmatic risks

One of the risks is that the resulting shelter agenda and proposals will have one or a few conflicting recommendations with an existing plan of the local government. For instance, the community organizations might propose sites that they deem to be safe and suitable for housing, but which might be currently classified or zoned for other uses in the municipal land use plan. To mitigate this possibility, the project team will initiate dialog early on with the local government about existing plans, and signal that the shelter agenda might be proposed for revisions or additions in existing plans.

* *Describe the plans to monitor, collect and use experiences along the way and at the end of the intervention. If an external evaluation has been planned (obligatory for interventions above DKK 2 million), this should be described.*

DIB has the overall monitoring responsibility, and will establish and chair the Project Steering Committee (PSC), comprised of key persons from each of the partner organizations (DIB, ALTERPLAN, SAC Legazpi), and as external resource person, Benedict Balderrama from PHILSSA will also be a member of the PSC.

The PSC will enable a close cooperative process surrounding the implementation and monitoring of the project activities; it will act as a forum for discussion and knowledge sharing between all partners and be the platform to discuss and take joint decisions if adjustments to the strategy, budget, activities etc. are needed. The PSC will conduct online meetings quarterly or more often if needed. Furthermore DIB and ALTERPLAN will keep in regular contact between the meetings, and do short online one-to-one meetings as needed.

The ongoing monitoring efforts will be conducted via these Project Steering Committee meetings and the one-to-one meetings, during the planned DIB missions to the Philippines (2 visits in total), and quarterly reports, which will be sent to DIB for analysis, monitoring and feedback. ALTERPLAN will be responsible for collecting the inputs from SAC-Legazpi for narrative and financial reporting, and compile it into a joint report and share it with DIB. The project partners will monitor the project according to the identified indicators, and in the start up of the project a more detailed monitoring plan will be developed. This will include preparing a simple baseline report at inception, in order to have a clearer basis for monitoring of progress towards the success indicators both midway and for the final evaluation. The partners want to do an internal midterm review, to take stock of the direction, effects and shortcomings to the project, and an external evaluation of the project as well, to offer insights to the effect and outreach of the intervention.

Thus an organizational setup/structure in terms of financial management, reporting of activities etc. is established between national and local partners, for the benefit of oversight for DIBs coordination, monitoring and reporting.

The DIB missions to the Philippines and the project sites will be carried out after careful considerations in relation to the risk and safety issues for DIB, the partners and the project communities. In case the COVID-19 continues to be an issue, alternative options for carrying out the visits will be considered. Since the global outbreak of COVID-19, DIB has been engaging in remote monitoring activities for other projects, and these learnings will be relevant to draw upon for this project as well. However we do still hope and plan for two physical visit from DIB, as nothing beats experiencing the project locations and meeting the local people and partners in real life. The missions are planned to take place when the project has come off for a good start/mid-way through the project and at the final stage of the project, or whenever it is relevant – and possible - to go.

1. **Intervention-related information work in Denmark**

In collaboration with the partners, DIB is planning to develop material (video material, case stories, articles, etc.), which can be used locally in the Philippines for advocacy purposes as well as for information sharing in Denmark. The purpose of the material is to give the participants and target group of the intervention a platform to share their stories, the challenges they are facing and their hopes and dreams for the future. DIB intends to work more closely with the project partners on this, and to prioritize the communication elements of the project more, as we all think this could be beneficial for all partners.

The target group for the campaign will be the general population and the stories will run on DIB’s website, social media channels and DIB will try to pitch the stories to the media to reach a bigger audience. DIB will also continue to promote our previously developed material from the Philippines, both the photo exhibition Slum Blues, and FrameVoiceReport!-project #Risefortheworld.

Finally, DIB will continue to do lectures at relevant academic institutions and forums, as these have proven to be a useful platform for attracting young professionals interested in working with development projects to join DIB as members, volunteers, interns and job trainees. It is also an excellent platform to enhance their knowledge on development work in the South, the challenges experienced in the Philippines, the solutions and approaches used in the project and get an inclusive dialogue and discussion going on how to create more stable and sustainable living conditions in a fragile context.

1. **Supplementary financing**

ALTERPLAN will provide a minor supplementary contribution for the wage of their admin staff. The funding is secured and the intervention will not be a prerequisite for implementing the activities or carrying out the project.

1. *Mayon* is a volcano. *Magayon*in Bicol means beautiful. *The perfect cone*is in reference to Mayon's shape [↑](#footnote-ref-1)
2. Lahar is a hot or cold mixture of water and rock fragments that flows down the slopes of a volcano and typically enters a river valley. As lahar rushes downstream, the size, speed, and amount of material carried can constantly change. <https://www.usgs.gov/natural-hazards/volcano-hazards/lahars-move-rapidly-down-valleys-rivers-concrete> [↑](#footnote-ref-2)
3. A barangay is a part of a city or municipality. It is the smallest political-administrative territory in the Philippines. [↑](#footnote-ref-3)
4. <https://www.nationalgeographic.com/news/2018/01/mayon-volcano-philippines-eruption-spd/> [↑](#footnote-ref-4)
5. <https://vmepd.phivolcs.dost.gov.ph/volcan/erupt-history?page=1> [↑](#footnote-ref-5)
6. “Purok” is a village within a barangay. [↑](#footnote-ref-6)
7. Computations are made from 2015 national census data [↑](#footnote-ref-7)
8. Elementary occupations involve the performance of simple and routine tasks, which may require the use of hand-held tools and considerable physical effort (PSA). [↑](#footnote-ref-8)
9. More than one household in one dwelling structure. [↑](#footnote-ref-9)
10. <https://germanwatch.org/sites/germanwatch.org/files/2021-01/cri-2021_table_10_countries_most_affected_from_2000_to_2019.jpg> [↑](#footnote-ref-10)
11. Multi-stakeholder governance and service delivery mechanisms where civil society has guaranteed seats. [↑](#footnote-ref-11)