



Department of Agriculture

**Bureau of Fisheries and Aquatic Resources**

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**Fisheries and Coastal Resiliency Project**  
**(FishCoRe)**  
**Matching Grants Operation Manual**

**February 2025**

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## ACRONYMS

### Acronyms and Abbreviations

ABC	Aqua-industrial business corridor
ABTI	Aqua business technology incubation
ADMP	Aquaculture Development and Management Plan
BFAR	Bureau of Fisheries and Aquatic Resources
CAR	Cordillera Administrative Region
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CRM	Coastal resources management
CSO	Civil society organization
DA	Department of Agriculture
EAFM	Ecosystem approach to fisheries management
EIA	Environmental Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
Esp.	Especially
ESS	Environment and social safeguards
FAO	Fisheries Administrative Order
FCU	FMA Coordinating Unit
FishCoRe	Fisheries and Coastal Resiliency Project
FMGM	FishCoRe Matching Grants Manual
FMGP	Fish CORE Matching Grants Program
FishCRRM	Fisheries and Coastal-Resilient Resource Planning and Management
FMA	Fisheries management area
FMP	Fisheries management plan
GFI	Government financial institution
GIT	Grant Implementation Team
GMT	Grants Management Team
GOP	Government of the Philippines
GRM	Grievance Redress Mechanism
HCR	Harvest control rules
IBRD	International Bank for Reconstruction and Development
IMA	Implementation Management Agreement (PRDP I-REAP)
Incl.	Including
IP	Indigenous People
IPF	Investment Project Financing (WB term)
I-REAP	Enterprise Development (PRDP component)
IRR	Implementing Rules and Regulations
Km	Kilometer
LGC	Lead Grant Coordinator
LGU	Local government unit
Logframe	Logical Framework
MARLIN	Modern and Resilient Livelihood Investments
MB	FMA Management Board
M&E	Monitoring and evaluation
MOA	Memorandum of agreement

MSME	Micro, small, and medium enterprises
NAFMIP	National Agriculture and Fisheries Modernization and Industrialization Plan
NCR	National Capital Region
NFRDI	National Fisheries Research and Development Institute
NGO	Non-government organization
NPMO	National Project Management Office
OM	Operations Manual
PAP	Project-affected people
PCIP	Provincial Commodity Investment Plan
PD	Presidential Decree
PFDA	Philippine Fisheries Development Authority
PFO	Provincial Fisheries Office
PhP	Philippine Peso
PLGU	Provincial local government unit
PPCP	Public-private-community partnership
PPP	Public- private partnership
PRDP	Philippine Rural Development Project
RFO	Regional Fisheries Office
RGC	Regional Grants Coordinator
RPAB	Regional Project Advisory Board
RPIU	Regional Project Implementation Unit
SC	Subcomponent
SRE	Statement of Receipts and Expenditures
SuPrIM	Support to Project Implementation and Management
TESDA	Technical Education and Skills Development Authority
TOR	Terms of reference
TWG	Technical working group
WB	World Bank
WFP	Work and financial plan
VCA	Value chain analysis

## The FISHCORE Matching Grants Operation Manual

### 1. PURPOSE OF THE GRANT OPERATION MANUAL

1. This Manual defines how the FishCoRe Matching Grants Program (FMGP) sub-components 2.1(b) and 2.2(b) will be implemented in support of (i) fishers' livelihood development and diversification, and (ii) aquaculture and fisheries enterprise development, respectively under FISHCORE project Component 2. The FMGP is a major step toward achieving the main aim of the project, that is, improved resource management and enhanced socioeconomic value of fisheries and aquaculture, while increasing fisheries and coastal resources resilience to climate, economic, and environmental shocks. The Grant Manual describes the eligibility and selection criteria, and other rules that are applicable to the use of grants for purposes of carrying out the sub-projects by beneficiaries. The manual is referenced within the financing agreement between the World Bank and the GOP and therefore is a legal document. The approval of the Grant Manual by the World Bank and the GOP is a condition for disbursement of any grants under the FISHCORE project. The approved Grant Manual can only be amended, changed, or revised with the written agreement of the World Bank.
2. This Grant Manual will guide the BFAR National Project Management Office (NPMO), Regional Project Implementation Units (RPIUs) and FMA Coordinating Units (FCUs) of the FishCoRe Project responsible for implementing the Subproject Grant Program and is intended for reference by the entire FishCoRe Project management structure and beneficiaries. Its focus, however, in line with a decentralized governance framework, is on the Grants Implementation Team (GIT) presented in Section 6.
3. This Grant Manual focuses on financing of livelihood [Sub-component (SC) 2.1(b)] and enterprise [SC2.2(b)] sub-projects proposed by fisherfolk/ farmers' groups or associations as direct and end-beneficiaries.<sup>1</sup> The grants will fall under two subcomponents of FISHCORE project Component 2- MARLIN, namely, SC2.1 Livelihood diversification and development which aims to provide supplemental and alternative livelihood to fisherfolk who *may be* affected by the implementation of resource management measures in the Fishery Management Area (FMA); and SC2.2 Aquaculture and fisheries enterprise development which aims to diversify and upscale enterprises that are linked to fisherfolk organizations. This Grants Manual is anchored to and revolves around each of the above two subcomponents.

### 2. OBJECTIVES AND PURPOSE OF FishCoRe MATCHING GRANTS PROGRAM (FMGP)

4. The objectives of the FMGP are to (i) enhance sustainable employment and income earning opportunities of fishers' from diversified sources along the value chain of aquaculture and fisheries, including on-farm and off-farm livelihoods; and (ii) expand the overall value of the fisheries and aquaculture sector within FMAS 6 and 9 through strategic and climate-resilient investments to reduce post-harvest losses, product value additions, and expand aquaculture production, initially focusing on establishing the Aqua-Industrial Business Corridors (ABCs). The purpose of FMGP is to support

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<sup>1</sup> The phrase "fisherfolk/ farmers organization" considers that fisherfolk are usually also part-time farmers who go into crops, livestock and/ or poultry production as complementary or secondary sources of income.

livelihood development and diversification sub-projects of fisherfolk/farmer group<sup>2</sup> dependent on fishing in municipal waters in FMAs 6 and 9 as well as aquaculture and enterprise development sub-projects within the designated ABCs designed under Component 1 of the FishCoRe Project. Complemented by public sector infrastructure investments, the FishCoRe project grants will leverage critical value chain investment in aquaculture and fisheries and improve production, handling and processing technologies, alongside related Technical Assistance (TA) for new climate-smart technology adoption and business advisory services to catalyze wider private sector and Local Government Unit (LGU) investments. The Grant Program Logframe is provided in Annex 1.

- The subproject grants are envisioned to increase women’s capacity to grow their enterprises through increased access to finance and participation in technical training and knowledge-building on relevant topics of coastal resources management (CRM), ecosystem rehabilitation, aqua-/ mariculture, entrepreneurial ventures, and alternative livelihood along with business and leadership training and support to formalize female fishers’ groups participation in the fisheries value chain. Priority will be accorded to subproject proposals that are women- and Indigenous Peoples (IP)-led by giving additional scores in the appraisal and approval process. The project will also provide grants to women-owned/ -led organizations to upgrade machinery and equipment required to expand their businesses and facilitate linkages for credit access and market opportunities.

### 3. DESCRIPTION AND KEY FEATURES OF THE MATCHING GRANTS PROGRAM

- The FMGP will serve as a vehicle to protect, sustainably enhance, and secure the livelihoods of fisherfolk/farmer households or groups dependent on the marine and coastal fisheries resources and other supplementary occupations within the municipal waters of FMAs 6 and 9. In particular, by financing fishers’ groups and associations, it will assist in livelihood transition of the fisherfolk/farmer households over a season or period during which their usual livelihood activities could be temporarily or permanently disrupted by fisheries management measures, or during the time that fishery resources planning and management are still being reformed/enhanced following an ecosystem-based approach to be implemented under Component 1. Grants under SC2.1(b) will focus on the regions and provinces within FMAS 6 and 9, shown in Table 1.

**Table 1. Geographical Focus of Matching Grants Program**

FMA	Lead region	Area in hectares	Regions Covered	Provinces Covered	Municipalities covered
FMA 6	3	29,393,000		Ilocos Norte, Ilocos Sur, La Union, Pangasinan,	Bacarra, Badoc, Bangui, Burgos, Currimao, Laoag City, Pagudpud, Paoay, Pasuquin, Cabugao, Caoayan, City of Candon, City of Vigan, Magsingal, Narvacan, San Esteban, San Juan, San Vicente, Santa, Santa Catalina, Santa Cruz, Santa Lucia, Santa Maria, Santiago, Santo Domingo, Sinit, Tagudi, Agoo,

<sup>2</sup> The Grants Program recognizes that fisherfolk normally engage in fish farming to increase income and food security from diverse sources. The DA “commodity systems” strategy promotes household diversification into off-farm and non-farm activities -- also in line with the value chain approach adopted in the FishCoRe Project.

			1		Aringay, Bacnotan, Balaoan, Bangar, Bauang, Caba, Luna, Rosario, San Fernando City, San Juan, Santo Tomas, Agno, Anda, Bani, Binmaley, Bolinao, Burgos, City of Alaminos, Dagupan City, Dasol, Infanta, Labrador, Lingayen, San Fabian, Sual
			3	Bataan, Bulacan, Pampanga, Zambales,	Guagua, Lubao, Macabebe, Masantol, Sasmuan, Botolan, Cabangan, Candelaria, Iba, Masinloc, Olongapo City, Palauig, San Antonio, San Felipe, San Narciso, Santa Cruz, Subic, Abucay, Bagac, City of Balanga, Hermosa, Limay, Mariveles, Morong, Orani, Orion, Pilar, Samal, Bulaka, City of Malolos, Hagonoy, Obando, Paombong
			4A	Batangas, Cavite	Lian, Nasugbu, Bacoor City, Kawit, Maragondon, Naic, Noveleta, Rosario, Tanza, Ternate, Cavite City
			4B	Occidental Mindoro	Looc, Lubang
			CAR	Abra	Tineg, Lagayan, San Juan, Dolores, Langiden, La Paz, Tayum, Lagangilang, Bangued, Pidigan, San Quintin, Bucay, Sallapadan, Manabo, Villaviciosa, Luba, Tubo
			NCR	Metro Manila	City of Las Piñas, City of Navotas, City of Parañaque, City of Pasay, Manila, (Taguig and Muntinlupa)**  ()**Note: Subject for confirmation
FMA 9	10	2,822,800	7	Bohol, Siquijor	Alburquerque, Anda, Baclayon, Candijay, Daus, Dimiao, Duero, Garcia Hernandez, Guindulman, Jagna, Lila, Loay, Mabini, Panglao, Pres. Carlos P. Garcia (Pitogo), Ubay, Valencia, Enrique Villanueva, Larena, Lazi, Maria, San Juan
			8	Southern Leyte	Bontoc, City of Maasin, Libagon, Liloan, Limasawa, Macrohon, Malitbog, Padre Burgos, Pintuyan, San Francisco (Ana-aon), San Ricardo, Sogod, Tomas Oppus
			9	Zamboanga del Norte, Zamboanga del Sur	Dapitan City, Rizal, Sibutad, Aurora, Tambulig
				Camiguin, Lanao del Norte,	Catarman, Guinsiliban, Mahinog, Mambajao, Sagay, Bacolod, Baroy, Iligan

			10	Misamis Occidental, Misamis Oriental	City, Kapatagan, Kauswagan, Kolambugan, Lala, Linamon, Maigo, Tubod, Aloran, Baliangao, Bonifacio, Clarin, Jimenez, Lopez Jaena, Oroquieta City, Ozamis City, Panaon, Plaridel, Sapang Dalaga, Sinacaban, Tangub City, Tudela, Alubijid, Balingasag, Balingoan, Binuangan, Cagayan De Oro City, City of El Salvador, Gingoog City, Gitagum, Initao, Jasaan, Kinoguitan, Laginglong, Laguindingan, Libertad, Luqait, Magsaysay, Manticao, Medina, Naawan, Opol, Salay, Sugbongcogon, Tagoloan, Talisayan, Villanueva
			Caraga	Agusan del Norte, Surigao del Norte	Buenavista, Butuan City, Carmen, City of Cabadbaran, Jabonga, Magallanes, Nasipit, Tubay, Malimono, San Francisco, Surigao City

Source: Fisheries Management Areas' Profile

7. Grants under SC 2.2(b) will support market-oriented enterprise development sub-projects for catalytic and resilient investment in partnership with private sector enterprises, solo enterprise, and clustered or federated enterprises within the ABCs to be designed under sub-component 1.2. The prospective beneficiaries of sub-project grants under SC 2.2(b) will receive technical assistance in value chain analysis and preparation of business plans provided through SC2.2(a) and technical and marketing support for aquaculture and fisheries enterprise operations organized under SC2.2(c). Recipients of sub-projects grant have the beneficial advantage of aquaculture and fisheries infrastructure to be supported under SC2.3 falling in three categories: (i) resilient infrastructure supporting municipal fisheries and aquaculture (BFAR/ LGU responsibility); (ii) research and regulatory facilities (BFAR/ NFRDI responsibility); and (iii) commercial services facilities operated by the private sector, for which BFAR will provide complementary infrastructure such as effluent treatment facility at the wholesale markets, processing plants, water supply system, among others.
8. From the policy and results perspectives, the FishCoRe Grant Program can be regarded as the "Convergence point" among the three basic components of the ecosystem approach to fisheries management (EAFM): (i) the science of sustainable ecosystems (FishCRRM); (ii) fisherfolk-responsive and accountable project management promoting transparent use of project resources (SUPRIM); and (iii) fisherfolk and community participation, livelihood, and socioeconomic well-being (MARLIN) (Figure 1).



**Figure 1. Subproject Grants as Convergence of Ecosystem Science, Economics and Management.**

9. Because funds are limited and not all proposals received can be funded, quality and relevance of the sub-projects will be given priority in ranking sub-project proposals. Review of proposals and selection of grantees will be guided by due diligence standards and procedures. This way, the grant program can be inclusive and yet ensure likelihood of success, and potential contribution to economic and social development and marine resources management. In addition, the grant program will promote green development, including enhancement of environmentally beneficial measures, nature-based solutions, and reducing impacts of damaging and harmful practices (e.g., plastic pollution) on coastal and marine ecosystem; additionality of the investment (e.g., matching funds); inclusion of diverse groups of stakeholders (e.g., women, indigenous populations, and ethnic minorities); and an aptitude for partnership to foster innovation.
10. Grants will preferably be provided for sub-projects submitted by legally incorporated or registered groups or associations with legitimate authority and operating within the FISHCORE project FMAs. Individual subprojects will be selected for grant financing based on a “traffic light” risk assessment system linked to strengthening of capture fisheries controls – e.g., licensing systems, vessel tracking, IUU fishing reduction, and traceability and certification schemes. Investments that could directly or indirectly increase harvesting capacity of capture fisheries (e.g., illegal, destructive, and active fishing gears), except those that support strictly controlled fishing gear replacement schemes (e.g., passive fishing gears), will be discouraged. Sub-projects having significant or irreversible environmental and social impacts will not be eligible for funding. Sub-project grants will be awarded mainly to organizations or associations of fishers or aquamarine farmers as in-kind or support supplies and materials, and all procurement and disbursement to suppliers of goods and works will be directly borne by the FishCoRe. Furthermore, all procurement, regardless of fund source / categorization (i.e., LP/GOP) shall abide with the funding agency’s approved procurement guidelines.

#### **4. GRANT WINDOWS AND TARGET BENEFICIARIES**

11. Two separate grant windows will be established under the FMGP to support the sub-projects of beneficiaries targeted under SC2.1 and SC2.2, respectively as described below. A summary of Grant Windows is presented in Table 2.

**Table 2. Summary and Main Features of FishCoRe Matching Grants Financing Windows**

Comparators	Window 1 <i>Livelihood Grant</i>	Window 2 <i>Enterprise Grant</i>
1. Major Objective of the Grant	Enhance sustainable employment and income earning opportunities of fishers from diversified sources along the value chain of aquaculture and fisheries, including on-farm and off-farm livelihoods by funding subprojects on replacement/alternative livelihood to fisherfolk/farmer groups affected by resource management measures under FishCoRe within FMAs 6 and 9.	To support enterprise development sub-projects within the designated ABCs designed under Component 1 of the FishCoRe Project.  Support aquaculture and enterprise development within the designated ABCs designed under Component 1 of the FISHCORE Project by funding sub-projects that will create business opportunities for fishers', fish-farmers' and women's cooperatives partner with private sector, and expand the overall value of the fisheries and aquaculture sector through strategic and climate-resilient investments to reduce post-harvest losses, increase value additions, and expand aquaculture production within FMAs 6 and 9.
2. Ancillary Objectives of the Grant Program	Support fisheries management measures under FISHCORE by assisting the affected fishers/communities through providing alternative livelihood.	Catalyze BG-sole enterprise, BG-clustered enterprise and private sector investment by demonstrating viable fishery investments and business models within aqua-industrial business corridor (ABCs) ("agglomeration")
3. Strategic Context for Grants	Fisheries Management Plans / Sub-plans (FMPs) to be used as guidance or reference (i.e., subprojects/activities/ other assistance not-in-conflict with FMP) including other existing Fisheries management policies /local ordinances within the FMAs covered areas (refer to FishCRRM).	FMA Plan (consistent or not-in-conflict), ADMPs, and VCA (including value added aquaculture and fisheries commodity interventions) to be used as guidance or references
4. Target Beneficiaries and Eligible Proponents	Groups or associations comprised by fisherfolk/ aquamarine farmer households directly affected by resource management measures carried out under FishCoReFMP/Sub-FMPs within FMAs 6 and 9 and other existing Fisheries management policies/local ordinances within the FMAcovered areas for the sustainability of fish stocks (refer to FishCRRM). Indirectly affected beneficiaries are defined as part-time fisherfolk and communities	Cooperatives and similar associations classified as small and medium enterprises (SMEs), including producer clusters within FMA 6 and 9 that are registered in BFAR FishR and/or other similar legal/formal system of the government with ability to partner with private sector in the ABCs.

Comparators	Window 1 <i>Livelihood Grant</i>	Window 2 <i>Enterprise Grant</i>
	engaged in fisheries-related activities.	
5. Amount of Grant per sub-project by category of the proponent	Micro: Up to PhP 3 million Small: Up to PhP 5 million	Small: Up to PhP 10 million Medium: Up to PhP 50 million
6. Cost-sharing	<p>95-5-0% (WB-BFAR-Grantee)</p> <p>BGs is still required to contribute either in-kind, in cash, or both to be eligible for applying for grants, which could be in the form of asset, workforce, management inputs, and other miscellaneous items.</p> <p><i>(Refer to Table W1 2. 1 Eligible Items for in-kind/cash or combination of cash and in-kind beneficiary contribution for the subproject). A separate section in the subproject proposal/business work and financial plan will describe the details on beneficiary contribution.</i></p>	<p>75-5-20% (WB-BFAR-Grantee)</p> <p>Options:</p> <ol style="list-style-type: none"> <li>1) Solo Beneficiary Group Enterprise SMEs (Cooperatives/Fisherfolk Associations – 20%)</li> </ol> <p>Note: Individual/Solo/Private SMEs that are registered in BFAR FishR and/or other similar legal/formal system of the government with fisheries related activities and able to operate in the ABCs with affected fishers of the FMP &amp; other Ordinances as their workers.</p> <ol style="list-style-type: none"> <li>2) Beneficiary Group Enterprise (Cooperatives/ Fisherfolk Associations) with Private Partners (SMEs) – 20%</li> <li>3) Cluster/ Federation Beneficiary Groups (SME) (Cooperatives/ Fisherfolk Associations - 20%)</li> <li>4) Sole proprietor (SMEs) engaged in aquaculture and fisheries, subject to additional eligibility criteria and separate selection process.</li> </ol> <p>Note: 20% Grantee counterpart will be cash or in-kind</p>
7. Grant Modality	In-kind support by FishCoRe using approved funding agency procurement guidelines.	In-kind support by FishCoRe using approved funding agency procurement guidelines.
8. Sub-project Support Duration	Up to 2 to 4 years including additional project for expansion/upgrading as applicable towards sustainability	Up to 3 to 5 years including additional project for expansion/upgrading as applicable towards sustainability

<b>Comparators</b>	<b>Window 1 <i>Livelihood Grant</i></b>	<b>Window 2 <i>Enterprise Grant</i></b>
9. Grant Management	FishCoRe FMA Coordination Unit (FCU) under the overall supervision of NPMO and RPIU	FishCoRe FMA Coordination Unit (FCU) under the overall supervision of NPMO, and RPIU
10. Grant Approval	Decentralized approval authority based on cost threshold of sub-project as described in Table 5.	Decentralized approval authority based on cost threshold of sub-project as described in Table 5.
11. Other features	Window 1 financing represents a livelihood transformation strategy from fishing dependence to resource management and sustainable and resilient livelihood development linked to market opportunities.	Window 2 financing represents win-win for fishers' organizations and private sector in long term business collaboration through establishment of ABCs.

**Window 1 (W1): Livelihood Diversification and Development**

Grant support under this Window will cater to the groups or organizations of fishers, fish workers, farmers, women and similar groups living within the FishCoRe project FMAs willing and able to create or assist in the transition to alternative and/or supplemental income earning opportunities. The in-kind grant support together with skills enhancement and capacity building efforts under SC2.1a and SC2.1c is expected to transform current livelihood practices of the beneficiary groups belonging to the lower stratum of the economic and social ladders into ones that enhance their organizing and entrepreneurial capacities to participate in and benefit from fishery value chains.

Fishers and families whose source/s of income and/ or employment will be totally or partially lost due to resource management measures to be implemented under FishCoRe project will be given priority for awarding sub-project grants, subject to fulfilment of other eligibility and selection criteria for receiving sub-project grants including the expedition of establishment of Ecosystem-based friendly and market-driven livelihood projects through Hands-On Technology Demonstration Projects exercises on the ground by the identified fisher folks' beneficiaries. Through the Technology Demonstration Projects, the fishers and families will be provided with hands-on capability enhancement skills training in preparation for their engagement of the "big-ticket" livelihood and enterprise sub-projects in the near future linking to performing as the "de facto community-lead" in the protection and conservation of the coastal and marine ecosystems in the FMAs covered areas.

12. As fish stock recovery will take years due to decades of overfishing, livelihood development will transcend to include diverse set of activities such as post-harvest value chain operations, pollution abatement (e.g., wastewater management and treatment, installation of Effluent Treatment Plant, solid waste and sewage management, etc.), environmental restoration (e.g., mangrove and seagrasses restoration cum aqua-silviculture activities, MPA establishment, environmental clean-up, etc.), aquaculture, off-farm, and non-farm occupations and/or fisheries related business ventures (e.g., fish processing, trading, marketing, production, etc.). Groups or associations composed of fishers and fisherfolk households affected by resource management measures carried out under Fisheries and Coastal Resilient Resource Planning and Management (FishCRRM) (SC1.1) will be targeted as potential grant recipients under Window 1. On the other hand, Technical and Vocational Education and Training (TVET) program and courses to be jointly designed and implemented by BFAR and TESDA

and offered to members of fishers’ groups or organizations under SC2.1(c) will enable their capacity to engage in alternative and supplementary livelihood activities; training and capacity building support for fishers’ organizations or associations’ entrepreneurial strength and business formation capacity will enable these groups to prepare viable livelihood sub-projects for grant financing under W1.

**Table 3. Size of livelihoods to be eligible for grant and ceiling of grants under Window 1**

Livelihoods Category	Nature of activity/ engagement	Number of member workers involved in the operations	Grant Ceiling
Micro	Start-up	Less than or equal to 15 members/ workers	ELIGIBLE - up to PhP 3 million
Small	Expansion/upgrading/ scale-up	Above 15 members/ workers	ELIGIBLE – up to PhP 5 million

**Window 2 (W2): Enterprise Development**

13. **Sub-project** grants under Window 2 are intended to diversify and upscale 1) Fisherfolk associations or cooperatives; 2) federated/clustered fisherfolk associations or cooperatives; 3) Fisherfolk associations or cooperatives through partnership with private sector enterprises; and 4) Sole proprietor (SMEs) engaged in aquaculture and fisheries. By catalyzing private sector engagement and demonstrating viable investments and business model fisherfolk organizations will be able to participate in aqua-industrial business corridors (ABCs) opportunities and blue economy growth. Technical assistance will be provided to existing small and medium fisherfolk organizations to build capacity for catalytic enterprise identification and business plan development. Enterprise grants will focus on catalytic investments needed to establish new climate-resilient technologies and practices. Sub-projects will be clustered to support the development of ABCs, providing a geographically integrated set of equipment, and support facilities (e.g., feed production and services along aquaculture and fishery value chains from brood stock, hatchery, nursery, and grow-out farms up to postharvest processing, and marketing. The FishCoRe project under SC 2.2(a) will enhance technical and extension services to support the development of start-ups and small fishery business enterprises through the delivery of an integrated bundle of services (e.g., demand-driven technology development, entrepreneurship training). Market development support will also be provided to the Subproject beneficiaries of Window 2 through FishCoRe Aqua-business Technology Incubation (ABTI) platforms or hubs to be operationalized under the project SC2.2(c).
  
14. Subproject grants under W2-SC 2.2(b) focus on clustering enterprises in identified sites within Aqua-Industrial Business Corridors (ABC) in FMA 6 and FMA 9. Three ABCs are planned to be established per FMA, where the development, implementation, and sustainability of aquaculture and fishery- based entrepreneurial activities will be supported by the project based on the managed priority stocks identified in the FMA Framework Plan, FMP, and ADMP. Value chain analysis (VCA) will be the main tool for the selection and prioritization of subprojects, and the business plan to be prepared by participating enterprises, which in turn will determine the types of interventions that will be needed and can be customized to suit the skills, knowledge, and capacity of entrepreneurs.

**Table 4. Size of enterprises to be eligible for grant and ceiling of grants under Window 2**

Enterprise Category	Value of Assets	Number of Employees/members *Inclusive of regular & seasonal workers	Grant Ceiling
Small	PhP 3 to 15 million	10 to 99 employees/members	ELIGIBLE – up to PhP 10 million
Medium	Above PhP 15 to 100 million	100 to 199 employees/members	ELIGIBLE – up to PhP 50 million
Large	Over PhP 100 million	Over 200 employees	NOT ELIGIBLE

*\*in case of discrepancy between value of assets and number of employees, the value of assets will prevail.*

## 5. GRANT ELIGIBILITY

### 5.1. Eligible Beneficiaries and Proponents of Sub-projects

15. Groups or associations of subsistence fisherfolk/ farmer households, women affected by resource management measures carried out under FishCoRe/FMP within FMPs 6 and 9 are the primary beneficiaries of the sub-project grants under both W1 and W2. Duly established and accredited organizations and business enterprises of various sizes owned and operated by fishers', farmers' and women's groups within FMA 6 and 9 will qualify for applying for Matching Grants under W1 and W2 as shown in Table 3 and 4. However, cooperatives and similar associations classified as small and medium enterprises (SMEs), including producer clusters within FMA 6 and 9 that registered in BFAR FishR and/or other similar legal/formal system and capable of partnering with private sector in the ABCs will be given priority for sub-project grants under W2. Groups that are not registered in one of the above systems may apply for sub-project grants but will be required to be registration compliant before receiving and grant support. Established and accredited organizations should submit registration documents, organization profile, list of members, constitutions and by-laws at the time of submitting expression of interest/sub-project proposal.

### 5.2. Eligible Sub-project

The FMGP has been designed to be flexible and responsive to the socioeconomic needs of the fisherfolks, who are the grant program's direct beneficiaries as well to strengthen the fisheries management, environmental and ecosystem sustainability, and climate change resilience of the human and natural systems within the FMAs 6 and 9. Subprojects under W1 and W2 are expected to promote livelihood development and diversification, and entrepreneurships, respectively, amongst eligible beneficiaries defined in Section 5.1. Subproject activities should generally be in line/ not inconsistent with the Fisheries Management Plan developed under FishCoRe (FishCRRM 1.1). Assessment of subproject proposals will include adherence/ compliance to Environmental and Social Safeguards (ESS) standards, detailed guidance of which can be found in the Environmental and Social Management Framework (ESMF) which can be downloaded through the BFAR Official website ([bfar.da.gov.ph](http://bfar.da.gov.ph))<sup>3</sup>. Using the above criteria, indicative lists of potential sub-projects for grant funding under W1 and W2 in consultation with BFAR Regional Fisheries Offices (RFOs), Provincial Fisheries Offices (PFOs), and other stakeholders were prepared during FishCoRe feasibility study, which are listed in Attachments 1-3 as described below:

- **Attachment 1:** Indicative Fishers' Livelihood Diversification and Development Subprojects for FMAs 6 and 9 – showing subproject titles, target year of implementation, fishery commodities,

and geographical coverage (regions, provinces/ cities, and municipalities);

- **Attachment 2:** Indicative Aquaculture and Fisheries Enterprise Development Subprojects Development in Aqua-Industrial Business Corridors in FMA 6 – showing subproject titles, year of implementation, commodities, regions, provinces/ cities, and partners, presence or absence of tenure, and target year of implementation.
- **Attachment 3:** Indicative Aquaculture and Fisheries Enterprise Development Subprojects Development in Aqua-Industrial Business Corridors in FMA 9 – showing information as in Attachment 2.

<sup>3</sup><https://www.bfar.da.gov.ph/download/environmental-and-social-assessment-and-management-framework-esmf/>

16. Proponents are free to propose subprojects that enhance their livelihood and income, restore/rehabilitate local resources, and upgrade/expand existing livelihood and enterprise activities, choosing from the Indicative Lists in Attachments 1-3, existing technologies offered by BFAR Technology Outreach Station (BFAR-TOS), or BFAR-NFRDI Aqua-business Technology Incubation (ABTI) program supported by FishCoRe. Additional potential sub-projects will be included for consideration by grant sub-project proponents at the time of implementing the FMGP. In addition, a “Negative List”, comprising activities or sub-project that should not be eligible for funding was developed during the feasibility study (Annex C).

## 6. GRANT PROGRAM MANAGEMENT

17. A decentralized and coordinated Grant Program Management set-up will be established to implement the FMGP that will ensure efficient, transparent, and accountable operation and management of the grant funds. The organizational structure for Grant Program Management will be aligned with the overall FishCoRe Project organizational structure described in PART I of the FishCoRe Project Operation Manual (POM) with responsibilities and accountabilities shared among national, FMA and regional level offices, namely National Project Management Office (NPMO), Regional Project Implementation Unit (RPIU) and FMA Coordination Unit (FCU), respectively. The highest level of authority in Grant management will be the BFAR National Director (ND) to whom FishCoRe Project supervision responsibility is delegated by the DA Secretary.

18. At the national level FMGP management will be coordinated by the head of Component 2 - MARLIN, supervised by NPMO National Project Manager. The Head of MARLIN Unit will be the National Grants Management Coordinator (Grant Manager) responsible for field support and coordination of the FMGP implementation on behalf of NPMO. Within the NPMO, RPIU and FCU the grant program implementation will be adequately resourced with available managerial and technical staff, support services, and technical assistance (experts and advisers) for decision making, organizing, supervising, and monitoring of the grant implementation process on behalf of the Grant Program Authority. The FMGP organizational structure is presented in Figure 2.

19. At the field level, grant management and operation will be anchored within the RPIU established for each FishCoRe Project FMA. The head of RPIU, the Regional Director of each FMA Lead region will be responsible for overseeing, supervising, and coordinating the grant program implementation process in the concerned FCUs as well as providing all required reports on the progress of the FMGP implementation to the NPMO-MARLIN Unit. Within the RPIU, one **FMA Lead Regional Grant Coordinator (LRGC)**, the *RPIU MARLIN lead* will be responsible for FMGP operation and management in all concerned regions with support and assistance of the designated staff for SC2.1 (Window 1) and SC2.2 (Window 2). In each **FMA Coordinating Units (based in RFOs)**, *FCU MARLIN leads* will act as the **Regional Grant Coordinator (RGC)**. In addition, two Regional Grants Facilitators (RGF), will be designated as GRF-W1 (Window 1 Lead) and GRF-W2 (Window 2 Lead), respectively to assist the RGC in carrying out all day-to-day grant operation and management related tasks under its respective concerned Windows. Together these entities and personnel will constitute the Grant Implementation Team (GIT) in each FMA.

### **6.1. Role of MARLIN Units**

20. A robust system of support should be established for the FMA level GITs to implement the grant program in widely scattered geographic regions. The MARLIN component lead in the BFAR NPMO and RPIUs will be responsible to channel necessary administrative and technical support to the GITs. External (outsourced) TA might be necessary during grant program implementation. The Head of MARLIN Component and Lead Regional Directors of RPIUs will convene regular coordination and business planning meetings with GIT to assess the level of support including technical and expert support that will be required in each step of the grant implementation process as described in Section 1. The oversight of the MARLIN Unit Head and RPIU heads will ensure that adequate human and technical resources are available to GITs to implement the grant program effectively in the field by ensuring that

- (i) FishCoRe Grant Program will be widely socialized so that eligible applicants will have an equal opportunity to receive a grant;
- (ii) Grant Program will operate in a transparent and timely manner;
- (iii) A pipeline of subprojects is developed to achieve the Grant Program objectives;
- (iv) Grantees are properly supervised and assisted as necessary;
- (v) prompt actions are taken in case of unsatisfactory Grantee performance; and
- (vi) Regular progress reports on portfolio performance are prepared.

### **6.2. Role of MARLIN Unit: RPIU LRGC and FCU RGC (MARLIN leads)**

21. The RPIU LRGC will be responsible for the operational management of the FMGP in the regions covered by the FMA. The LRGC will coordinate with the RGCs on day-to-day management of the grant program in each of the FMA regions. RGCs will be responsible for organizing and mobilizing the grant beneficiaries and stakeholders for grant sub-project preparation and submission by the beneficiaries. RGCs will work with the two RGFs assigned to Lead W1-SC 2.1 and W2-SC 2.2, respectively as a team,

and take on the Grant Program tasks itemized in Section 7 of this Grants Manual. Together, the RPIU LRGC, FCU RGCs and RGFs will be responsible for: (i) socializing the Grant Program; (ii) preparatory groundwork for the call for expressions of interest and subsequent more detailed proposals; (iii) providing or sourcing training and technical assistance to proponent fisherfolk and farmer groups; (iv) ensuring the application of social and environmental policies and procedures; (v) steering prioritized proposals through the project review and approval process; (vi) assisting and coordinating in the procurement and delivery of goods, work, inputs and services to sub-project grantees; (vii) reporting on progress and results of Grant Program implementation under W1 and W2; and (viii) providing Grantees with technical and administrative support.

### **6.3. Role of Provincial Fisheries Offices and LGUs**

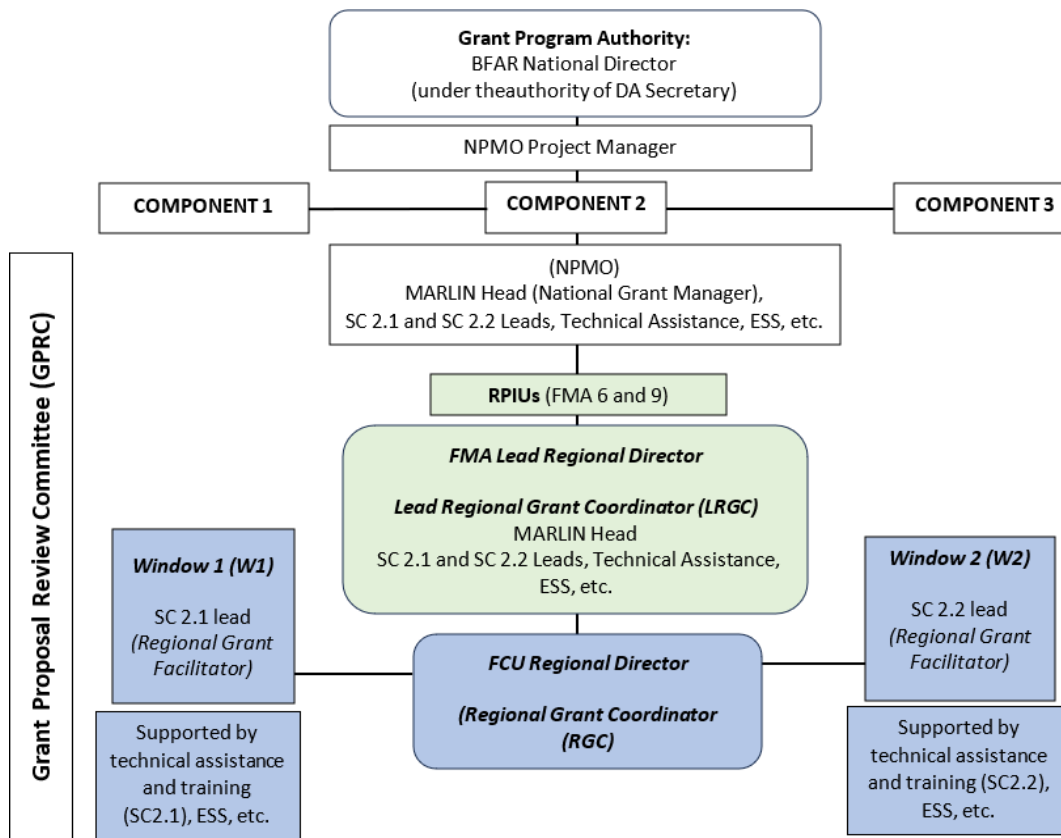
22. The PFOs will augment the capacity of the FCU grant implementation team by coordinating with LGUs and private-sector partners throughout the implementation of the FMGP in their respective provinces. PFOs will provide, among others: (i) technical advisory services to the LGUs and the private sector as well as take part in implementing training and capacity building activities for fisher/farmer/women groups that will be organized and prepared for participating in the FMGP; (ii) facilitate in the preparation of grant proposals; (iii) participate and in contribute in relevant training and workshops on FMGP implementation and (iii) participate or represent in FMA-GPRC.
23. The *LGUs* will (i) actively collaborate and engage with the FMGP by extending the assistance of the LGU administration and technical teams, especially the LGU agriculture, fisheries and environmental staff; (ii) participate in relevant training and workshops, and ensure visibility of the FMG; (iii) proactively support the sub-project preparation and implementation by the FishCoRe beneficiary target groups; and (iv) implement fisheries and habitat-management measures within municipal waters in alignment
24. With agreed FMA-level plans, the specific roles, responsibilities, and obligations of LGUs to the overall FishCoRe project and FMGP will be defined in a Memorandum of Agreement (MOA) between FishCoRe project and LGUs.

### **6.4. Role of Regional Grant Facilitators (RGF)**

25. RGFs will provide overall technical and administrative support to the FCU-GIT. Reporting to the FCU-RGC, RGFs will provide all types of assistance in each step of the grant operational procedures described in Section 7 of the Manual. Specifically, RGFs will, among others, (i) prepare materials for training and workshops for fisher groups; (ii) coordinate with LGUs and fishers organizations during preparation of EOIs and subproject proposals; (iii) provide support to the sub-project proponents throughout the preparation of the EOI and proposals; (iv) assist the RGC (MARLIN lead) in assessing and evaluating EOIs and proposals submitted by Fisherfolk associations or organizations; (v) prepare documentations for GPRC review and recommendation meetings; (vi) draft all communication materials to sub-project proponents; (vii) prepare draft MOA between grantees and BFAR/FishCoRe Project to formalize FishCoRe project support to approved sub-projects; (viii) assist FCU-GIT in the procurement and delivery of work, goods and services to grantees for grant financed subprojects; (viii) provide technical support to grantees during implementation of the subprojects; and (ix) prepare regular and periodic reports on the progress and performance of subprojects during implementation the grant subprojects.

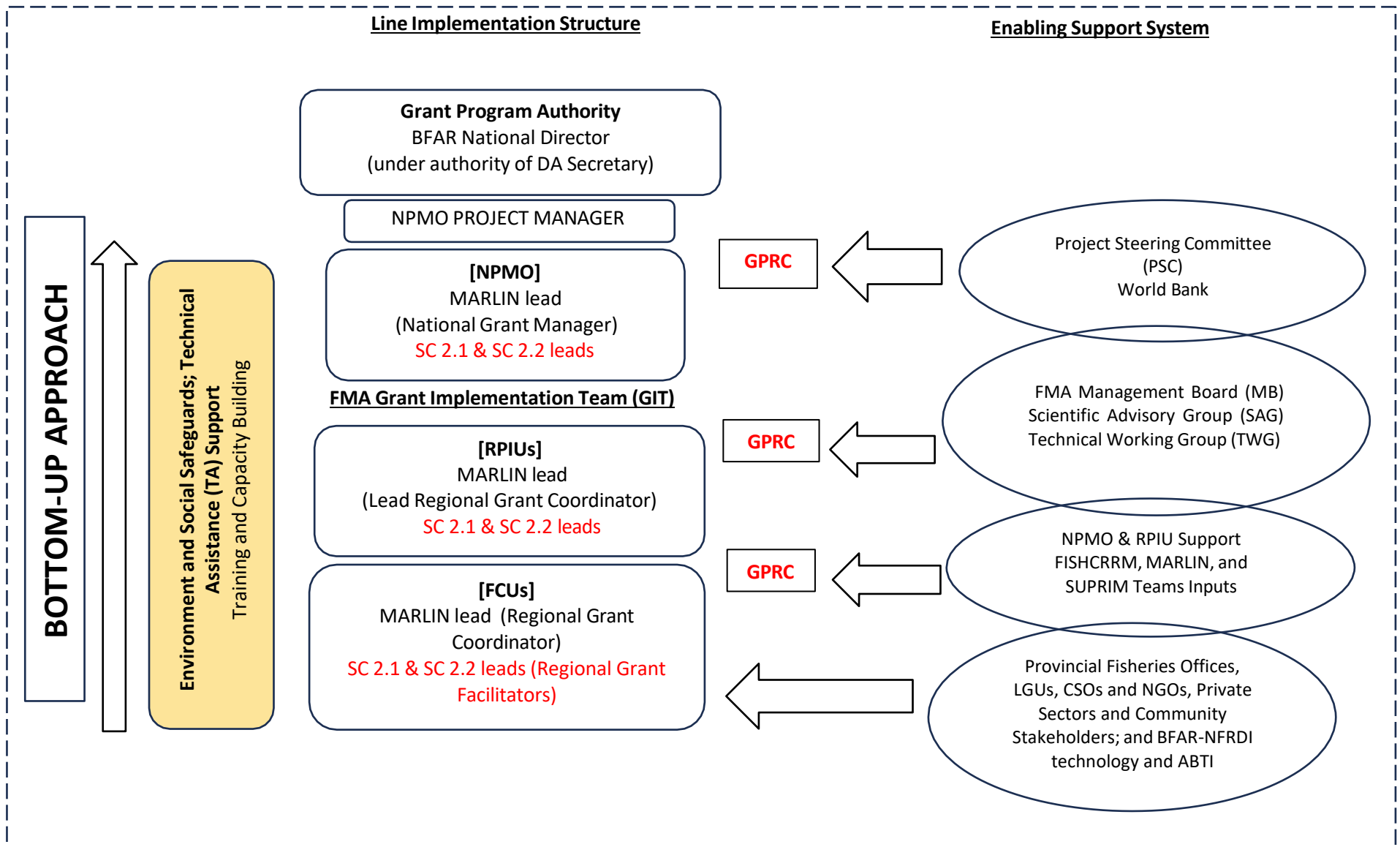
## 6.5. Grant Program Supervision and Support Framework

A schematic diagram of grant program supervision and support framework is shown in Figure 3. It has three parts: (i) the overall FMGP authority, NPMO Project Manager and Lead of MARLIN (Component 2); (ii) the FMA GIT (FMA Lead Regional Director, RPIU LRGC: RPIU MARLIN lead, and Technical Assistance services); and (iii) the enabling policy and operations support systems (PSC and WB for policy and supervision; FMA MB, Scientific Advisory Group, Technical Working Group, and NFRDI for technical support and advisory assistance; and NPMO, FISHCRRM, MARLIN and SUPRIM Teams for operation related assistance. In addition, Technical Assistance support will be needed throughout the grant implementation process to support the GIT at the FMA and FCU (FCU RGC: FCU MARLIN lead, RGFs, Technical Assistance Services) levels. A proposed Technical Assistance and Staffing Pattern for Grant Operation and Management is shown in Annex B. However, further assessment of staff and expertise capacity at the FCU level be made during implementation of FMGP.



**Figure 2.** FishCoRe Matching Grants Organizational Structure

**Note:** Green shaded boxes represent the FMA-Grant Implementation Team (FMA-GIT); Blue shaded structures represent FMA Coordinating Unit – Grant Implementation Team (FCU-GIT)



**Figure 3.** Grant Program Supervision and Support Framework

## **6.6. Approving Authority and Allocation of Grant Funds**

26. The BFAR National Director will have overall authority over the FishCoRe Grant Program with the supervision and coordination responsibility given to National Project Manager (NPM), NPMO, and head of MARLIN. NPM will report to and seek guidance from the Project Steering Committee (PSC) and World Bank on all matters related to FMGP periodically and as required. However, under the decentralized grant management structure delegation of sub-project approval authority to RPIU and FCU, will help reduce administrative layers, give empowerment and accountability to downstream decision-making, and bring efficiency in the grant program operation in geographically dispersed regions. Accordingly, delegation of sub-project approval authority based on the threshold of grant funds will be vested to different levels of project management stakeholders as shown in Table 5. The allocation of grant funds among regional FCUs as well as across the two Grant Windows will be determined by NPMO in discussion with RPIUs during the Work and Financial Plan (WFP) preparation process, using criteria such as beneficiary size (people dependent on fisheries and coastal resources), level of involvement or cooperation of fishers' and their associations in the implementation of fishery management measures, and readiness of ABCs.

## **6.7. Grant Proposal Assessment and Evaluation**

27. The MARLIN lead in each FCU will be responsible for grant sub-project proposals evaluation and assessment with the assistance of the W1 (SC 2.1) and W2 (SC 2.2) leads (RGFs), respectively. For technically complex projects, especially those under W2, assistance of subject matter specialists or resource persons should be sought as part of sub-project proposal evaluation. The environmental and social safeguards specialists will be involved during the evaluation and assessment process. All eligible proposals will be reviewed for World Bank environmental and social safeguards compliance by FishCoRe Environment and Social Safeguards Specialist(s) (ESS) based in NPMO/RPIU/FCU. Final selection will include environmental and social review/recommendations.

## **6.8. Grant Proposal Review Committee**

*(NPMO to issue SO/Memo based on the submitted names from the FCUs and RPIUs)*

28. A Grant Proposal Review Committee (GPRC) will be composed of the NPMO MARLIN Lead, SC 2.1 or 2.2, Finance, Planning, Legal, ESS, Technical Division (IFAD, CFD, PHTD, FIDSSD), concerned FCU Representative, RPIU Representative, Livelihood and VCA Specialist. While at the FCU and RPIU levels, GPRC will be composed of the MARLIN Lead, SC 2.1 or 2.2, ESS, Post-harvest and Marketing, Training Division, Production Unit, Legal, Finance, and RPIU/NPMO MARLIN representative as observer and resource person but has no voting rights. GPRC will conduct a joint review on the results of evaluation and assessment of all EOIs and Proposals carried out by the FMA-GIT (LRGC, RGCs and RGFs), including environmental and social review/recommendations by ESS. GPRC will be set up at FCU, RPIU and NPMO levels headed by respective MARLIN leads to review and recommend sub-projects (EOIs and Proposals) of various budget thresholds and approval authorities defined in Table 5. All Sub-projects with a budget of above Php 20 million will be reviewed by NPMO-GPRC. At the FCU level, GPRC will have membership of the concerned Provincial Fisheries Offices (PFOs); at the RPIU level, GPRC will have membership of the concerned Regional Fisheries Office (RFO); and at the NPMO level, GPRC will

have membership of the unit head of Components 1 and 3, among others. Additional members can be included in GPRCs at the discretion of NPMO/RPIU/FCU BFAR.

29. As per Project Appraisal Document (PAD) of DA-BFAR-FishCoRe under the Implementation Arrangement and Support Plan of Section 10 that in order to facilitate project start-up and capacity building within the DA-BFAR in reviewing subprojects, the first five (5) enterprise subprojects exceeding PHP 3 million from each FMA will be reviewed by the World Bank for issuance of NOL. Recipients will be required to meet minimum standards of business organization including having opened an account to manage funds for enterprise/business operation. They will also be required to sign a Grant Memorandum of Agreement with the DA-BFAR prior to the awarding and operations of the enterprise subprojects.

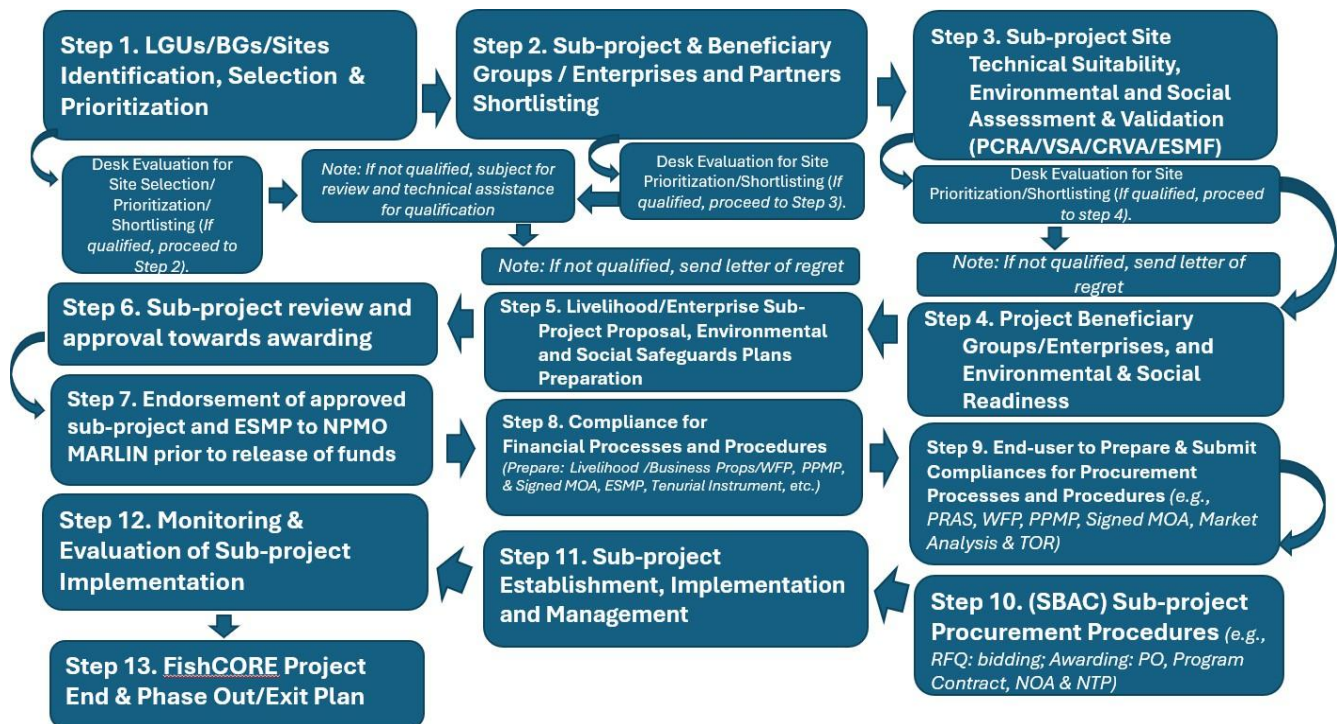
**Table 5.** Delegation of Subproject Approval Authority and Threshold

<b>Approving Authority</b>	<b>Grant Funds Threshold</b>
FCU	Below 10 million Pesos
RPIU	10 to 20 million Pesos
NPMO	Above 20 million Pesos but below 50 million Pesos
World Bank	Above 50 million Pesos

## **7. GRANT OPERATIONAL PROCEDURES FOR W1 AND W2**

30. Both W1 and W2 operations will follow the essential detailed steps and operational process flow as summarized in Tables 6 and 7. The MARLIN Component teams and ESS teams (NPMO, RPIUs, FCUs) will have specific responsibilities for the subproject development, implementation, management, and monitoring in each step as highlighted in Tables 6 and 7. The MARLIN Component teams will be responsible for the provision of technical assistance throughout the process of subproject development and their implementation as well as providing assistance to the BGs in the compliance of the ESS team requirements. The ESS teams ranging from the FCUs, RPIUs, NPMO will carry-out the validation of ESS Checklist towards the development, review and approval of ESMP and submission to the World Bank for approval (if applicable) and perform related interventions during the subprojects implementation and management. The BGs will be provided with the necessary ESS training to comply with ESS requirements. Figure 4 shows a summary of the processes and procedures to be followed for grant operations and project management cycle. The Grant Program will be launched with “Road Show Presentation” and opening to Calls for Expression of Interest (EOI) that will target a wide range of potential grantees, using a variety of information dissemination platforms, scoping tools, approaches and methodologies. Calls for EOI will be issued by the FCUs on a rolling basis throughout the duration of the FishCoRe Project with sufficient lead time to deliver the subproject implementation cycle (from 2024 to 2027). Templated EOIs received will

then be evaluated using pre-determined eligibility criteria and evaluation scoring procedures. Shortlisted proponents will be asked to submit detailed proposals, using standard templates and with guidance to be provided by project staff. The detailed proposals will then be evaluated using established subproject feasibility criteria and scoring procedures. However, subprojects under Window 1 with a budget threshold of less than PHP 5 million can be processed in a single step by combining EOI and Proposal submissions steps into one, provided it meets the eligibility criteria, and contains environment and social screening checklists. Sub-projects that meet the evaluation criteria will be approved for funding and implemented with technical, management and M&E support coming from FishCoRe Grant Implementation Team (GIT).



**Figure 4.** Summary Steps and Operational Process Flow for the Sub-project Development Implementation and Management Cycle (Window 1 and 2)

**Table 6.** Detailed Steps and Operational Process Flow for Subproject Development Implementation and Management Cycle under Window 1 (SC 2.1)

Ref#	Key Activities and Actions Undertaken	Output Indicators and Means of Verification (MOV)	Reference Forms / Tools	Estimated Number of Days / Months/ Years to Accomplish	Responsible Centers & Partner Institutions
1.	<b>LGUs/BGs/Sites Identification, Selection &amp; Prioritization</b>			10 days	MARLIN 2.1: FCU & PFO, RPIU, and NPMO
	<ul style="list-style-type: none"> <li>Finalized priority LGUs based on the FishCRRM SC 1.1 priority LGU list/ BGs / Sites</li> </ul>	Priority LGUs determined; Orientations conducted; BGs/Sites	FishCRRM SC 1.1 Memorandum on the priority LGUs		
	<ul style="list-style-type: none"> <li>Beneficiary Groups (BGs) and LGUs Orientation &amp; Workshop conducted</li> </ul>	shortlisted; EOIs sent to qualified BGs; List of BGs received, and pre-scoping conducted			
	<ul style="list-style-type: none"> <li>Call for EOIs sent to priority LGUs and capsule proposals received from the BGs</li> </ul>	to selected BGs and sub-projects	<i>Form 1a: Call for EOIs (on a rolling basis from 2024 to 2027)</i>		
	<ul style="list-style-type: none"> <li>Shortlisting of BGs based on: (1) track record; (2) women-participation; (3) type/quality of proposal; (4) LGU poverty incidence</li> </ul>		<i>Form 2a: EOI Review Template W1- SC 2.1 Livelihood Diversification and Development</i>		
	<ul style="list-style-type: none"> <li>Pre-scoping on shortlisted BGs / sub-projects</li> </ul>		<i>Livelihood guide questionnaire</i>		
2.	<b>Sub-project &amp; Beneficiary Groups/Enterprises and Partners Shortlisting</b>			10 days	FishCoRe-MARLIN-NPMO, RPIU, FCU, & BGs
	<ul style="list-style-type: none"> <li>BGs and LGUs Identified Sub-Projects Assessed, Validated and Selected</li> </ul>	Desk evaluation and shortlisting	Sub-project profile		

	<ul style="list-style-type: none"> <li>Sub-project profile submitted</li> </ul>	BGs Organizational Profile generated and documented			
	<ul style="list-style-type: none"> <li>Sending of letter of regret for non-priority BGs / Unsuccessful EOIs for the FY</li> </ul>	Letter Sent to Unsuccessful BGs	<b>Form 2e:</b> <i>Template Letter on Unsuccessful EOIs</i> W1- SC 2.1 <i>Livelihood Diversification and Development</i>		-do-
3.	<b>Sub-project Site Technical Suitability, Environmental and Social Assessments &amp; Validation</b>	<p>*Applicable to short-listed projects</p> <p>On-site evaluation, ES screening and final shortlisting</p> <p>Those marked with low, moderate, substantial, and high risk after ESS Screening will be subjected to technical assistance by the ESS Teams (Please refer to column 6 for the responsible center and partner institutions)</p>	Refer to paragraph 30 for the detailed roles and responsibilities of the ESS Teams	10 days (depending on the number of subprojects)	FishCoRe-MARLIN and ESS Teams (NPMO, RPIU, FCU) & BGs
	<ul style="list-style-type: none"> <li>Validation of Proposed Fishers' Livelihood &amp; Diversification Sub-project Production Sites conducted</li> </ul>	Data gathered & Geotagged Maps generated and Picture; ES Screening checklist administered	<i>PCRA &amp; VSA Tools &amp; LGU Thematic Maps</i>  <b>Attachment 6:</b> <i>ES/ ESMF screening checklist</i>		
	<ul style="list-style-type: none"> <li>Geographical Location, Environment &amp; Social Assessments Conducted</li> </ul>	Data gathered & Geotagged Maps generated and Pictures;			

	<ul style="list-style-type: none"> <li>• Sending of letter for qualified Sub-project sites and not qualified Subproject sites</li> </ul>	Corresponding Letters sent to concerned BGs	<b>Form 3a:</b> <i>Letter on Subproject Proposals W 1 - SC 2.1</i>		
	<ul style="list-style-type: none"> <li>• Sending of letter(s) to unqualified Sub-project site(s)</li> </ul>	Letter sent to unqualified Sub-project(s)	<i>Refer to Form 2e: Template Letter on Unsuccessful EOIs</i>		
4.	<b>Project Beneficiary Groups/Enterprises, and Environmental &amp; Social Readiness</b>			10 days	FishCoRe MARLIN: NPMO, RPIU, FCU, & BGs
	<ul style="list-style-type: none"> <li>• Organizational Meeting/ Planning Conducted</li> </ul>	Minutes of Meetings/ Resolutions prepared; BG's Work Plan Prepared and all Pertinent documents available and ready			-do-
	<ul style="list-style-type: none"> <li>• Sales/Service Invoice or Acknowledgement Receipt</li> </ul>	Sales/Service Invoice and AR of Proponent Groups ready and available.			BGs, Cooperatives, Private Business Industries and or NGO partners
5.	<b>Livelihood/Enterprise Sub-Project Proposal, Environmental and Social Safeguards Plans Preparation &amp; Development</b>	*During desk evaluation of submitted requirements, BGs without Sub-project Proposal will be subjected to capacity building and provision of technical assistance		30 days	FishCoRe MARLIN: ESS Teams (NPMO, RPIUs, FCUs), & BGs
	<ul style="list-style-type: none"> <li>• Subproject Livelihood Proposal Planning Workshop conducted</li> </ul>	Subproject Proposal Prepared	<b>Form 3b:</b> <i>Sample Subproject Proposal Outline Format W 1-</i>		FishCoRe MARLIN: NPMO, RPIU, FCU, & BGs.

			SC 2.1 Livelihood Diversification and Development		
<b>FCU &amp; RPIU collaborate with ESS Unit of the following below:</b>					
	<ul style="list-style-type: none"> <li>ESMP Planning Workshop Conducted</li> </ul>	ESS Unit -ESMP prepared	ESMF & ESMP Outline		ESS Unit
	<ul style="list-style-type: none"> <li>Joint Review of ESMP conducted</li> </ul>	ESMP reviewed & approved			ESS Unit
6.	<b>Sub-project Review and approval towards awarding</b>			10 days	
	<ul style="list-style-type: none"> <li>Joint Sub-project Technical &amp; Feasibility Review conducted</li> </ul>	Sub-project Proposal reviewed & approved	<b>Annex D.</b> Livelihood Scoring and Approval Sheet		<p>NPMO GPRC: NPMO MARLIN Lead, SC 2.1 or 2.2, Finance, Planning, Legal, ESS, Technical Division (IFAD, CFD, PHTD, FIDSSD), concerned FCU Representative, RPIU Representative Livelihood and VCA Specialist.</p> <p>RPIU/FCU GPRCs: MARLIN Lead, SC 2.1 or 2.2, ESS, Post-harvest and Marketing, Training Division, Production Unit, Legal, Finance, and RPIU/NPMO MARLIN representative as observer and resource person but has no</p>

					voting rights.
7.	<b>Endorsement of approved sub-project and ESMP to NPMO MARLIN prior to release of funds</b>	Approved subproject proposal and signed ESMP Letter request for release of funds		10 days	FishCoRe GPRC for the approval  Regional Director for endorsement
8.	<b>Compliance for Financial Processes and Procedures</b>		Refer to Finance Unit and/or Financial Management System Operation Manual	5 days	FishCoRe MARLIN: NPMO, RPIU, FCU, & BGs
	<ul style="list-style-type: none"> <li>• Packaged Documents submitted to Finance Unit towards Sub-project Funds Obligation</li> </ul>	Approved Livelihood Subproject Proposal	<b>Form 4a:</b> <i>Proposal Evaluation Form and Criteria</i> <i>W 1- SC 2.1 Livelihood Diversification and Development</i>		-do-
		Subproject Site Geotagged Map			-do-
		Approved ESMP for the Subproject	Formal letter re: ESMP approval		-do-
		Approved WFP of the Subproject			
		Approved PPMP submitted and Procurement NOL Issuance (NPMO/RPIU /FCU)			-do-

		Memorandum of Agreement for Subproject Operation and Management Plan	<b>Form 5a:</b> <i>Template Memorandum of Agreement between FishCoRe and Grantee</i> W 1- <b>SC 2.1 Livelihood Diversification and Development</b>		-do-
		Tenorial Instrument / permits (if applicable)	Refer to MARLIN FOO on Tenorial Guidelines and/or Legal Unit		
9.	<b>End-User to Prepare and Submit Compliances for Procurement Processes and Procedures</b>		Refer to Finance Unit	<i>15 days</i>	FishCoRe MARLIN: NPMO, RPIU, FCU, & BGs
	<ul style="list-style-type: none"> <li>Packaged Documents submitted to Procurement Unit/SBAC</li> </ul>	PRAS with Complete Project Specifications, Agreements with Warranty Clause, RFQ			
		WFP, PPMP, Signed MOA & Tenorial Instrument (if applicable)			FishCoRe MARLIN: NPMO, RPIU, FCU, SC 2.1 Focal Person & Finance Unit
		Request procurement clearance and issuance of NOL from World Bank			FishCoRe – MARLIN – RPIU, and SBAC

	<b>Total number of days for Livelihood Subproject Preparation and approval level of efforts</b>			<b>115 days</b>	<b>FishCoRe MARLIN: NPMO, RPIU, FCU, SC 2.1 Focal Person &amp; Finance Unit</b>
10.	<b>SBAC Sub-project Procurement procedures</b>	Note: Public Bidding for Sub-project with corresponding amount is required by SBAC.	Refer to SBAC/ Procurement Unit/COA	<i>50-60 days (Until Awarding)</i>	FishCoRe: NPMO, RPIU, FCU, Procurement Unit/SBAC
	<ul style="list-style-type: none"> <li>Sub-project Procurement through Publication to PhilGeps of Interested Suppliers and Implementers</li> </ul>	Market/Canvass Form, REOI, RFQ for Subproject Public Bidding for Goods and Services Published			FishCoRe: NPMO, RPIU, FCU, Procurement Unit/SBAC
	<ul style="list-style-type: none"> <li>Send Notice of Award to the Winning Bidder;</li> <li>Publish Program Contract; &amp; Send Notice to Proceed</li> </ul>	Notice of Award (NOA) served; Program Contract of Winning Bidder Signed & Notarized; & Notice to Proceed (NTP) served	Please refer to Table 8 of this Manual		FishCoRe: NPMO, RPIU, FCU, Procurement Unit/SBAC
	<ul style="list-style-type: none"> <li>Goods and services from vendors delivered to Beneficiary Groups with acknowledgment receipt signed</li> </ul>	Geotagged Inspection Report & Delivery Receipts Geotagged Bill of Materials, among others		<i>30-45 days (Delivery Period)</i>	FishCoRe: NPMO, RPIU, FCU, Procurement Unit/SBAC
	<b>Total number of days of SBAC &amp; Procurement level of efforts</b>			<b>80-105 days</b>	<b>Procurement &amp; SBAC</b>

11.	<b>Livelihood Sub-project Establishment, Implementation &amp; Management</b>			<i>Livelihood subproject establishment is estimated to start on the <b>220<sup>th</sup> day</b> (from commencement of call for EOIs)</i>	FishCoRe MARLIN: NPMO, RPIU, FCU, & PGs
	<ul style="list-style-type: none"> <li>Sub-project Implementers Planning</li> </ul>	O & M Structure Established & Organizational Detailed Implementation Plan			-do-
	<ul style="list-style-type: none"> <li>Mobilization of Project Management Staff &amp; Workers</li> </ul>	Policies Systems & Procedures (PSPs), Employment Contract, etc..			-do-
	<ul style="list-style-type: none"> <li>Project Implementation, Supervision &amp; Management</li> </ul>	Sub-project Established & Implemented			-do-
	<ul style="list-style-type: none"> <li>Project Works Completion and Reporting</li> </ul>	Updated Sub-project Implementation Report			-do-
12.	<b>Monitoring and Evaluation of Sub-Project Implementation</b>		Refer to M&E Unit	Quarterly	FishCoRe MARLIN: NPMO, RPIU, FCU, & PGs

	<ul style="list-style-type: none"> <li>Subproject implementation, monitoring and evaluation through field inspection, supervision and management</li> </ul>	Documented project development updates, reporting and feedback			-do-
	<ul style="list-style-type: none"> <li>Fisherfolks and communities increase of household income, employment and increase of Fish Stocks monitored and documented</li> </ul>	<p>_____ # of Subprojects Implemented</p> <p>% of HH Incomes,</p> <p>% of FMA Fish Stocks,</p> <p>% of Employment recorded and reported to BFAR-FishCoRe.</p> <p>- Annual status of financial capabilities (e.g., fixed assets, cash, etc.) that can be qualified for the succeeding rounds of livelihood/enterprise sub-project opportunities</p>			-do-
13.	<b>FishCoRe Project End &amp; Phase Out/Exit Plan</b>		Refer to FishCoRe Management		FishCoRe MARLIN: NPMO, RPIU, FCU, and BGs
	<ul style="list-style-type: none"> <li>Subproject Turn-Over and ceremony conducted</li> </ul> <p>Project Completion Report Preparation</p>	<p>Subproject Turn-Over:</p> <p>(i) Certificate of turnover</p> <p>(ii) Signed Deed of donations of all items provided</p> <p>Project Completion</p>			-do-

		Report			
	<ul style="list-style-type: none"> <li>Continuous project monitoring and provision of necessary technical assistance</li> </ul>	Project status updates monitored and documented			-do-

**Notes:** \*\*Subproject Proposal Preparation completed within 90-115 days

\*\*\*Procurement process (SBAC) within 80-105 days

**Table 7.** Detailed Steps and Operational Process Flow for Subproject Proposal Development Implementation and Management Cycle under Window 2 (SC 2.2)

Ref. #	Key Activities and Actions Undertaken	Output Indicators and Means of Verification	Reference Forms / Tools & Window	Indicative Number of Days/ Months/ Years to Accomplish	Responsible Centers & Partner Institutions
1.	<b>Locations/Sites of BG Business/Enterprises and Partners Selection Identification and Prioritization</b>	Orientations conducted; BGs Inventory & Directory documented/ established; EOIs sent; List of Leads BGs/ FAs/ COOPs/Private		15 days	MARLIN 2.2: FCU, RPIU, RFO & NPMO
	<ul style="list-style-type: none"> <li>BGs and LGUs Orientation &amp; Workshop conducted</li> </ul>				
	<ul style="list-style-type: none"> <li>Call for EOIs sent to priority BGs and Concept proposals received from the Lead BGs/LGUs/PPP/PPC P/NGO</li> </ul>	Business Plans received, and pre-scoping conducted  Per FCU/PFO Road	<b>Form 2a: Call for EOIs W 2-SC 2.2 (on a rolling basis from 2024 to 2027)</b>		

	<ul style="list-style-type: none"> <li>Shortlisting of Lead BGs/Coops/FAs (SME) based on: (1) track record; (2) women-participation; (3) type/quality of proposal</li> </ul>	<p>Show/ Mapping of Potential Private Business Partners &amp; Orientation Meeting of FishCoRe Project conducted</p>	<p><b>Form 2b:</b> EOI Review Eligibility Criteria W 2- SC 2.2</p>		
	<ul style="list-style-type: none"> <li>Pre-scoping on shortlisted BGs/Coops /LGUs/PPs (SME) sub-projects</li> </ul>	<p>*During desk evaluation of submitted requirements, BGs without submitted requirements will be subjected to capacity building and technical assistance</p>			
2.	<p><b>Sub-project and beneficiary groups/enterprises and partners shortlisting</b></p>			10 days	<p>FishCoRe MARLIN: NPMO, RPIU, FCU, &amp; BGs</p>
	<ul style="list-style-type: none"> <li>BGs Identified Sub-Projects Assessed, Validated and Selected</li> <li>Sub-project profile submitted</li> </ul>	<p>BGs Organizational Profile generated and documented</p>	<p>Sub-project profile</p>		
	<ul style="list-style-type: none"> <li>Sending of letter of regret (or maybe waiting list) for non-priority POs / Unsuccessful EOIs for the FY</li> </ul>	<p>Corresponding Letter sent to the BGs &amp; Partners</p>	<p><b>Form 2c:</b> Template Letter on Unsuccessful EOIs W2 SC 2.2</p>		

3.	<b>Subproject Site Technical Suitability, Environmental and Social Assessments &amp; Validation</b>	<p>*Applicable to short-listed projects</p> <p>On-site evaluation, ES screening and final shortlisting</p> <p>Those marked with low, moderate, substantial, and high risk after ESS Screening will be subjected to technical assistance by the ESS Teams (Please refer to column 6 for the responsible center and partner institutions)</p>	Refer to paragraph 30 for the detailed roles and responsibilities of the ESS Teams	15 days	FishCoRe MARLIN: NPMO, RPIU, FCU, & BGs
	<ul style="list-style-type: none"> <li>Validation of Proposed Aquaculture and Fisheries Enterprise Sub-project Production Sites conducted</li> </ul>	Data gathered & Geotagged Maps generated and Picture; ES Screening checklist administered	-PCRA & VSA Tools & LGU Thematic Maps by MARLIN - CRVA by NFRDI  <b>Attachment 6:</b> ES/ESMF screening checklist		
	<ul style="list-style-type: none"> <li>Geographical Location, Environmental &amp; Social Assessments Conducted</li> </ul>	Data gathered & Geotagged Maps generated and Pictures;			
4.	<b>Subproject Beneficiary Groups/Enterprises and Partners Readiness</b>			10 days	FishCoRe MARLIN: NPMO, RPIU, FCU, LGUs/Private Partners & BGs

	<ul style="list-style-type: none"> <li>• Proof of Equity depending on the category of BG in-kind and/or in-cash or mix cash or in-kind equivalent to 20% of the total project cost assessed and validated</li> <li>• Specify category as follows: solo beneficiary group enterprise (20%); Enterprise BGs' with Private Partner (20%); &amp; Clustered/ Federated (20%)</li> </ul>	<ul style="list-style-type: none"> <li>-Payroll and List of Laborers documented and certified;</li> <li>- Equivalent valuation of Property and Equipment documented &amp; certified;</li> <li>-Cash in Bank or On-hand validated and certified;</li> <li>-All of the above must be presented form part of the Subproject Work and Financial Plan &amp; Subproject Procurement Plan</li> </ul>	<ul style="list-style-type: none"> <li>-Refer DOLE Regional Rates Salaries &amp; Wages</li> <li>-Refer LGUs Land Market Value</li> <li>-Refer Analysis of Equipment Depreciation Cost such as Boat, Truck, etc.</li> </ul>		<p>Solo BG; Clustered/Federated Cooperatives; BG with Private Partner; and or NGO partners</p>
	<ul style="list-style-type: none"> <li>• Official Receipts (OR) or Acknowledgement Receipt</li> </ul>	OR and AR Forms of Beneficiary Groups ready and available.			<p>Solo BG, Clustered/Federated Cooperatives, Private Business Industries and / or NGO partners as applicable</p>
	<ul style="list-style-type: none"> <li>• Sending of letter to all qualified subproject sites or not qualified subproject sites or need technical assistance</li> </ul>	Corresponding Letters sent BGs & partners	<b>Form 3a:</b> <i>Letter of Interest on Subproject Enterprise/Business Plan W 2 - SC 2.2</i>		
5.	<b>Business/Enterprise Sub-Project, Environmental and Social Management Plans Preparation &amp; Development</b>	BGs without a prepared Business Plan will be subjected to capability building and provision of technical assistance	-VCA Processes/ Strategies/ Tools	45 days	FishCoRe MARLIN: NPMO, RPIU, FCU, Private partners & BGs

	<ul style="list-style-type: none"> <li>Subproject Business Planning Workshop conducted</li> </ul>	Subproject Business Plan prepared	<i>Refer-form Inserted-Sample Business Plan Outline Format W 2-SC 2.2</i>		-do-
<b>FCU &amp; RPIU to collaborate with ESS Unit of the following below:</b>					
	<ul style="list-style-type: none"> <li>ESMP Planning Workshop Conducted</li> </ul>	ESS Unit -ESMP prepared	<i>ESMF &amp; ESMP Outline</i>		ESS Unit
	<ul style="list-style-type: none"> <li>Joint Review of ESMP conducted</li> </ul>	ESMP reviewed & approved			ESS Unit
6.	<b>Subproject Enterprise/ Business Plan Review Towards Approval</b>			15 days	-do-
	<ul style="list-style-type: none"> <li>Joint Technical and Financial Review of Sub-project Business Plan conducted (Per threshold by FCU, RPIU, NPMO)</li> </ul>	Subproject Business Plan reviewed & approved	<b>Annex D.</b> <i>Livelihood and Enterprise Scoring and Approval Sheet</i>		<p>NPMO GPRC: NPMO MARLIN Lead, SC 2.1 or 2.2, Finance, Planning, Legal, ESS, Technical Division (IFAD, CFD, PHTD, FIDSSD), concerned FCU Representative, RPIU Representative Livelihood and VCA Specialist.</p> <p>RPIU/FCU GPRCs: MARLIN Lead, SC 2.1 or 2.2, ESS, Post-harvest and Marketing, Training Division, Production Unit, Legal,</p>

					Finance, and RPIU/NPMO MARLIN representative as observer and resource person but has no voting rights.
7.	<b>Endorsement of approved copy of subproject proposal to NPMO MARLIN prior to release of funds</b>	Approved subproject proposal and signed ESMP Letter request for release of funds		10 days	FishCoRe GPRC for the approval  Regional Director for endorsement
8.	<b>Compliances for Financial Processes and Procedures</b>		Refer to Finance Unit and/or Financial Management System Operation Manual	10 days	FishCoRe-MARLIN-NPMO, RPIU, FCU, LGUs/Private Partners & BGs
	<ul style="list-style-type: none"> <li>Packaged Documents submitted to Finance Unit towards Sub-project Funds Obligation</li> </ul>	Approved Subproject Enterprise / Business Plan	<i>Refer to Business Plan Evaluation Form and Criteria -W 2- SC 2.2</i>		-do-
		Subproject Site Geotagged Map			
		Approved Project Work and Financial Plan			-do-
		Approved Project Procurement Plan			-do-
		Approved ESMP for the Subproject Enterprise	Formal letter re: ESMP approval by		-do-

			ESS Unit		
		Approved PPMP submitted and Procurement NOL Issuance (NPMO/RPIU/FCU)	PPMP		-do-
		Memorandum of Agreement for Sub-project Enterprise Operation and Management	<i>Refer to FCU/RPIU Unit &amp; Attached Inserted Sample Memorandum of Agreement between FishCoRe and Grantee -W 2- SC 2.2</i>		-do-
		Tenurial Instrument	Refer to MARLIN FOO on Tenurial Guidelines or FCU/RPIU Legal Unit		-do-
9.	<b>End-Users to Prepare and Submit Compliances for Procurement Processes and Procedures</b>		Refer to FCU/RPIU Finance Unit	<i>10 days</i>	FishCoRe MARLIN: NPMO, RPIU, FCU, & BGs
	Packaged Documents submitted to Procurement Unit/SBAC	PRAS with Complete Project Specifications, Agreements with Warranty Clause, RFQ			
		WFP, PPMP, Signed MOA & Tenurial Instrument			FishCoRe MARLIN: NPMO, RPIU, FCU, SC 2.2 Focal Person, Finance Unit
	<b>Total number of days for Enterprise Subproject Preparation level of efforts</b>			<b>130 Days</b>	<b>FishCoRe-MARLIN-NPMO, RPIU, FCU, SC 2.2 Focal Person, Finance Unit</b>

10.	<b>SBAC Sub-project Enterprise Bidding and Awarding</b>		Refer to FCU/RPIU	<i>50-60 days</i>	FishCoRe: NPMO, RPIU, FCU,
			Procurement Unit		Procurement Unit/SBAC
	<ul style="list-style-type: none"> <li>Sub-project Procurement Bidding through Publication to PhilGeps of Interested Suppliers and Implementers</li> </ul>	Market Analysis & TOR, REOI, RFQ for Subproject Public Bidding for Goods and Services Published			FishCoRe: NPMO, RPIU, FCU, Procurement Unit/SBAC
	<ul style="list-style-type: none"> <li>Send Notice of Award to Selected Bidder;</li> <li>Publish Contract Award; &amp;</li> <li>Send Notice of Award to the winning Bidder</li> </ul>	Notice of Award (NOA) served & Signed; Program Contract of Selected Bidder Signed & Notarized; & Notice to Proceed (NTP) served	Refer to Procurement Process Flow in Table 8 of this Manual		FishCoRe: RPIU, FCU, Procurement Unit/SBAC
	<ul style="list-style-type: none"> <li>Goods and services from vendors delivered to Beneficiary Groups with acknowledgment receipt signed</li> </ul>	Winning Bidders Delivery of Goods and Services		<i>30-45 days</i>	FishCoRe MARLIN: NPMO, RPIU, FCU, Procurement Unit/SBAC (Care-off Selected Suppliers)
	<ul style="list-style-type: none"> <li></li> </ul>	Geotagged Inspection Report & Delivery Receipts			-do-
	<ul style="list-style-type: none"> <li></li> </ul>	Geotagged Bill of Materials, among others			-do-
	<ul style="list-style-type: none"> <li><b>Total Number of Days for the Procurement &amp; SBAC level of efforts</b></li> </ul>			<b>80-105 days</b>	<b>Procurement Unit &amp; SBAC</b>
11.	<ul style="list-style-type: none"> <li><b>Enterprise Sub-project Establishment,</b></li> </ul>		Refer to FCU/RPIU Manage	<i>Enterprise Subproject Establishment is</i>	FishCoRe MARLIN: NPMO, RPIU, FCU, &

	<b>Implementation &amp; Management</b>		ment	<i>estimated to start on the 236<sup>th</sup> Day (from commencement of Call for EOIs)</i>	BGs
	<ul style="list-style-type: none"> <li>Sub-project Enterprise Implementers Planning</li> </ul>	O & M Structure Established & Organizational Detailed Implementation Plan			-do-
	<ul style="list-style-type: none"> <li>Mobilization of Project Management Staff &amp; Workers</li> </ul>	Policies Systems & Procedures and / or Operations Manual Developed	Refer-Business Plan Document		-do-
	<ul style="list-style-type: none"> <li>Project Implementation, Supervision &amp; Management</li> </ul>	-Sub-project Established & Implemented -Technology Implementation & management provided & -Financial Mgt Systems Recording, Auditing & Reports established			-do-
	<ul style="list-style-type: none"> <li>Project Works Completion and Reporting</li> </ul>	Updated Subprojects Implementation Report			-do-
12.	<ul style="list-style-type: none"> <li><b>Monitoring and Evaluation of Sub-Project Implementation</b></li> </ul>		Refer to M&E Unit	Quarterly	FishCoRe MARLIN: NPMO, RPIU, FCU, & BGs
	<ul style="list-style-type: none"> <li>Sub-project Enterprise implementation, monitoring and evaluation through field inspection supervision</li> </ul>	Documented project development updates, reporting and feed-backing and status of PDO analyzed			-do-

	and management	and reported			
	<ul style="list-style-type: none"> <li>Fisherfolks and communities increase of household incomes, employment and increase of Fish Stocks</li> </ul>	<p>____# of Subproject Enterprises Implemented; ____% of HH Incomes; ____% of FMA Fish Stocks; and ____% of Employment recorded and reported to BFAR-FishCoRe.</p>			-do-
13.	<ul style="list-style-type: none"> <li><b>FishCoRe Project End &amp; Phase Out/Exit Plan</b></li> </ul>			<i>After 3 to 5 years (since the start of implementation)</i>	FishCoRe MARLIN: NPMO, RPIU, FCU, and BGs
	<ul style="list-style-type: none"> <li>Subproject-Enterprise Turn-Over and ceremony conducted</li> <li>Subproject Completion Report Prepared</li> </ul>	<p>(1) Subproject Enterprises turned over to BGs/NGOs/Private Partners, etc;  (2) Certificate of Turn Over;  (3) Signed Deed of Donation of all items provided;</p> <p>Sub-project Completion report</p>			-do-
	<ul style="list-style-type: none"> <li>Continuous Subprojects Monitoring and Evaluation</li> </ul>	<p>Project status updates monitored and (4) documented</p>			-do-

**Notes:** \*\*Subproject Proposal Preparation completed within 90-115 days

\*\*\*Procurement process (SBAC) within 80-105 days

## **Socialization**

31. The Grant Program is open to all relevant groups within the two FMAs. Initial priority target audience for the “First Call” for EOIs will be the fisherfolk/ farmer groups affected by fisheries management measures in the two FishCoRe project FMAs. Consultation with stakeholders during the project feasibility study stage resulted in a wide range of indicative subprojects, listed in Annexes A-C of this Grants Manual. FishCoRe Project implementers will launch meetings, workshops, and other IEC forums to socialize the grant program. The Grants management and implementation coordinators should make sure that the Grant Program gains maximum visibility, along with other project components and activities, during these forums.

## **8. FINANCIAL AND PROCUREMENT MANAGEMENT**

32. Given that the Grants will only be provided as in-kind support, close coordination between the grantee, and FishCoRe financial and procurement management unit/group at the NPMO, RPIU and FCU levels is necessary to ensure that procurement and financing activities are undertaken timely and efficiently. The General Guidelines and Requirements on financial management will be reflected in the Memorandum of Agreement between FishCoRe and the Grantee and will be in line with the overall FishCoRe Financial Management System Operations Manual – which is a document separate from this Grants Manual. The NPMO at the BFAR Central Office, particularly the designated financial management and procurement staff within the administration and finance unit of NPMO will be responsible for overseeing all financial management and procurement tasks to be performed by the FishCoRe project on behalf of the grant sub-projects. It is suggested that the quantities of procurement activities could be quite large for central handling of the procurement. As such, it is advisable that procurement tasks be divided among NPMO, RPIU and FCU administration and finance units following established rules on delegation and decentralization of procurement.

*\*\*Procurement and Financial Management System Operations Manuals may be accessed through these links:*

<b>Manual Type</b>	<b>Link</b>
Procurement Manual (Volume 1)	<a href="https://drive.google.com/file/d/13XtmqkTQFwXz8RhOSEGkjtzpEgcwgcOo/view?usp=sharing">https://drive.google.com/file/d/13XtmqkTQFwXz8RhOSEGkjtzpEgcwgcOo/view?usp=sharing</a>
Procurement Manual (Volume 2)	<a href="https://drive.google.com/file/d/1ziGhpVdCnSrYkTq59_Z1KVCsHG_JQv8x/view?usp=sharing">https://drive.google.com/file/d/1ziGhpVdCnSrYkTq59_Z1KVCsHG_JQv8x/view?usp=sharing</a>
Procurement Regulations	<a href="https://drive.google.com/file/d/1C4HHBRvJ3FfwlvM9rgKR6pm7yO6jsuR/view?usp=sharing">https://drive.google.com/file/d/1C4HHBRvJ3FfwlvM9rgKR6pm7yO6jsuR/view?usp=sharing</a>
Financial Management System Operations Manual	<a href="https://drive.google.com/file/d/1yli3PCg2Pj8mdwlmglEww4e7Vlfqcrq1/view?usp=sharing">https://drive.google.com/file/d/1yli3PCg2Pj8mdwlmglEww4e7Vlfqcrq1/view?usp=sharing</a>

### **General Guidelines**

33. As practiced in DA and World Bank projects, financial management training will be provided at the onset of implementation to all designated FishCoRe Project personnel including those in the Grant Program. Procurement management training will be provided at the beginning of Grant Program implementation to everyone comprising the Grant Implementation Team. FishCoRe Project funds will not be downloaded to the Grantees. The procurement training will form part of a wider capacity-building program covering all FishCoRe Project personnel. All FishCoRe Project inputs/ support will be provided to the Grantee in-kind. The NPMO will download Grant funds to the FCUs who will manage such funds following the standard BFAR practice.
34. In any case, the Grantee's financial management capacities will be assessed and enhanced for the two purposes. First, to ensure proper management of funds that will be provided as a counterpart by the Grantee or by its partner/s (private group, LGUs). Second, to build the Grantee's internal financial management capacity to implement future projects. Basic financial management capacities to be enhanced will include: (a) bookkeeping; (b) financial policies, regulations, and procedures; (c) financial report templates; and (d) opening and maintaining a bank account for its own funds or funds to be provided by its other partners. Fisherfolk/ farmer groups will not be eligible to participate in the Grant Program if they have not fully liquidated funds availed of under previous Government-funded projects.
35. The Grantees will not be using FishCoRe Project funds for procurement, because such funds will not be downloaded to the Grantees. In any case, the Grantee's procurement management capacities will be assessed and enhanced to enable them to: (a) effectively implement procurement using funds that will be provided as counterpart by the Grantee or by its partner/s (private group, LGUs); (b) perform similar procurement tasks in other FishCoRe components/ activities in which they may participate; and (c) apply procurement knowledge and skills in other existing and future projects. Procurement management capacities to be enhanced will include: (a) formation or strengthening of a procurement committee); (b) procurement policies, regulations, and procedures; and (c) procurement forms and documentation.
36. All procurement will be governed by the Philippines' Procurement Reform Act (Implementing Rules and Regulations updated as of 31 March 2021) and the WB Policy on Procurement in IPF and Other Operational Procurement Matters. Aside from achieving value for money, procurement methods are driven by the core principles of Economy, Integrity, Fit for Purpose, Efficiency, Transparency, Fairness.
37. Upon signing of the Memorandum of Agreement and completion of procurement training, the Grantee, with assistance from the FCU Grants Implementation Coordinator procurement staff, will proceed with the procurement of counterpart-funded goods, works and/ or services pursuant to the approved subproject procurement plan. The Procurement Plan shall be linked to/ matched with the Subproject Work and Financial Plan.

### **Grantee Co-financing and Bank Account**

The Grantee will ensure, as part of the signed MOA, that grantee's own funds (including those of partner enterprise(s)/NGOs will be available on time as per sub-project financing plan to undertake all planned financing activities. In this regard the grantee must open a bank account with any government/ commercial bank to deposit its own counterpart funds for the sub-project and submit

bank financial statement along with the regular and periodic (quarterly and annual) progress reports as required by FISHCORE project authority (NPMO/BFAR).

**Financial Reports**

38. Based on the FishCoRe Financial Management System Operations Manual, the Grantee will submit monthly, quarterly, and annual financial reports to FishCoRe including certified copies of supporting documents reflecting the disbursement of its own cash counterpart. The required reports should be submitted not later than the 5<sup>th</sup> day of the ensuing month or quarter, or as may otherwise be specified in the overall Financial Management Manual.

**Procurement Management Guidelines**

39. The following General Guidelines and Requirements on procurement will be reflected in the Memorandum of Agreement between FishCoRe and the Grantee, and adopted in line with the overall FishCoRe Procurement Manual which is a document separate from this Grants Manual. The NPMO at the BFAR Central Office, particularly the designated procurement staff, will be responsible for overseeing all procurement activities, cutting across all components of the FishCoRe Project.

**Procurement Process**

40. The following World Bank Core Procurement Principles will guide the procurement process under the FishCoRe Project: value for money, economy, integrity, fit for purpose, efficiency, transparency, and fairness. The process will involve the sequential major steps outlined below (Table 8). Intervening steps will be needed depending on the selection method, details of which will be available in the FISHCORE project Procurement Operations Manual.

**Table 8.** Procurement Process (as applicable for SC 2.1 & SC 2.2 only)

Steps	Description
1	Prepare Bid Documents including, TOR and decide on Selection Method and Market Approaches
2	Seek World Bank No Objection whenever applicable including transmission of Bidding documents to the Bank, and respond to queries if any
3	Advertise Invitation For Bids
4	Issue Bid Documents, Conduct Pre-Bid Meeting when necessary, and Receive and Open Bids
5	Evaluate quotations/Bids and seek BFAR approval
6	Seek World Bank Approval of the Bids Evaluation Report
7	Send Notice of Award to selected Bidder
8	Publish Contract Award
9	Sign Contract
10	Send signed Contract for World Bank, whenever applicable

### **Procurement Reports**

41. Based on the FishCoRe Procurement Management Manual, the Grantee will submit regular progress to FishCoRe on the progress of procurement from both FishCoRe Project and counterpart funds. The required reports should be submitted no later than the 5<sup>th</sup> day of the ensuing month or quarter, or as may otherwise be specified in the overall Procurement Manual.

42. Subproject M&E will be anchored to the Subproject Logical Framework (Logframe) agreed between FishCoRe and the Grantee. The Logframe – as subproject performance management tool – will specify the Life-of-Subproject indicators and targets (both physical and financial) that will be further disaggregated in more detailed Work and Financial Plans (WFP), and used as basis for subproject monitoring, evaluation, and reporting.

43. Subproject Level Evaluation: Apart from the Project Completion Report shown in the above matrix, the FCU Grants Management Team will conduct an ex-post evaluation of each subproject grant for the purpose of assessing the extent to which the subproject was able to contribute to achieving the objectives of FishCoRe W1 and W2. Operationally, FishCoRe Project managers will use the evaluation results as input to streamline and refine the design and implementation of the Grants Program.

44. Program Level Evaluation: The BFAR NPMO M&E Unit will evaluate the Grants Program six months after implementation start-up, and then annually thereafter. The purpose of the first six months evaluation at which time sufficient initial experience and learning would have been compiled from Program implementation is to assess, tweak and refine the processes and mechanics by which the Program is being implemented. The evaluation results will be used to adjust grant operations. On the other hand, the Annual Evaluation, focusing on the achievement of the Grants Program objectives as depicted in the Grant Program Logframe in Annex A (which matches the Logframe to be submitted by proponents) will seek to identify and implement more substantial adjustments in the Grants Program such as in terms of eligible beneficiaries and types of subprojects.

## **9. ENVIRONMENTAL AND SOCIAL/GENDER MANAGEMENT**

45. The FMGP will operate within the legal and institutional framework that provides the policies and regulatory instruments for effective environmental and social management as it pertains to the fisheries sector. Environmental risks could be substantial in coastal and marine resource planning and management for livelihood and enterprise development and pose site-specific risks in ecologically sensitive areas. Aquaculture production, postharvest operations, and development of fish and fishery products may involve risks and impacts such as threats to biodiversity as well as waste and byproduct contamination of aquatic ecosystems, which may cause repercussions on the environment, communities, and occupational health and safety.

46. FISHCORE project Environmental and Social Safeguards (ESS) will assess the extent to which the Applicant has addressed all relevant environmental and social/gender management issues or opportunities in the initial screening report submitted at the time of submission of EOI. Where environmental risks are identified, the ESS will approve a risk elimination or mitigation plan, included in the ESMP, to be provided by the Applicant. Compliance with the ESMP will be a precondition for grant disbursement. At the EOI stage designated Environment and Social Safeguards (ESS) Personnel will review

each of the shortlisted EOIs against the points contained in the environmental, social and gender checklist and provide report/comments/suggestions accordingly. The review is designed to highlight any unanticipated issues or opportunities arising from the proposed investments following the project Environmental and Social Management Framework (ESMF)<sup>3</sup>, Resettlement Policy Framework (RPF), Small Ethnic Community Development Framework (SECDF) and Pest Management Plan (PMP). The Expert will prepare a brief report to the NPMO on each EOI highlighting the adequacy of the assessments. Based on the ESS' note LRGC/RGC may ask the proponent to reassess the environmental and social risk and impacts and resubmit the proposal. ESS reviews will also identify any specific conditions that should be included in the Grant Agreement. Detailed environmental, social and gender impact assessment will be conducted to identify relevant risks and impacts and ensure that the risks are minimized, and impacts mitigated adequately along with an accessible and responsive grievance redress mechanism (GRM) for all medium sized sub-projects under Window 2.<sup>4</sup>

## 10. ANTI-CORRUPTION POLICY

47. The FishCoRe Grants Program will be subject to the same GOP-wide policies and regulations prevailing and in effect and based on: (1) Republic Act No. 3019: Anti-Graft and Corrupt Practices Act which applies to certain actions of public officers and private persons alike (underscoring supplied) which constitute graft or corrupt practices or which may lead thereto; (2) Procurement Reform Act (Implementing Rules and Regulations updated as of 31 March 2021); and (3) COA Circular 96-003 governing the release of government funds to NGOs and Pos. BFAR national and regional offices, along with LGUs, are quite familiar with anti-corruption legislation and regulations. On the World Bank side, the FishCoRe Project is subject to the Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants. As part of complementation with PRDP, FishCoRe could collaborate with the PRDP Institutional Strengthening Action Plan (ISAP) currently being developed. The effort seeks to enhance capacities to detect fraud, collusion, and corruption.

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<sup>3</sup> FISHCORE ESMF has provided detailed guidelines for addressing environmental, social and gender concerns under the project (see FISHCORE ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (Revised), September 21, 2021. Bureau of Fisheries and Aquatic Resources Department of Agriculture, Government of Philippines <https://www.bfar.da.gov.ph>; [info@bfar.da.gov.ph](mailto:info@bfar.da.gov.ph))

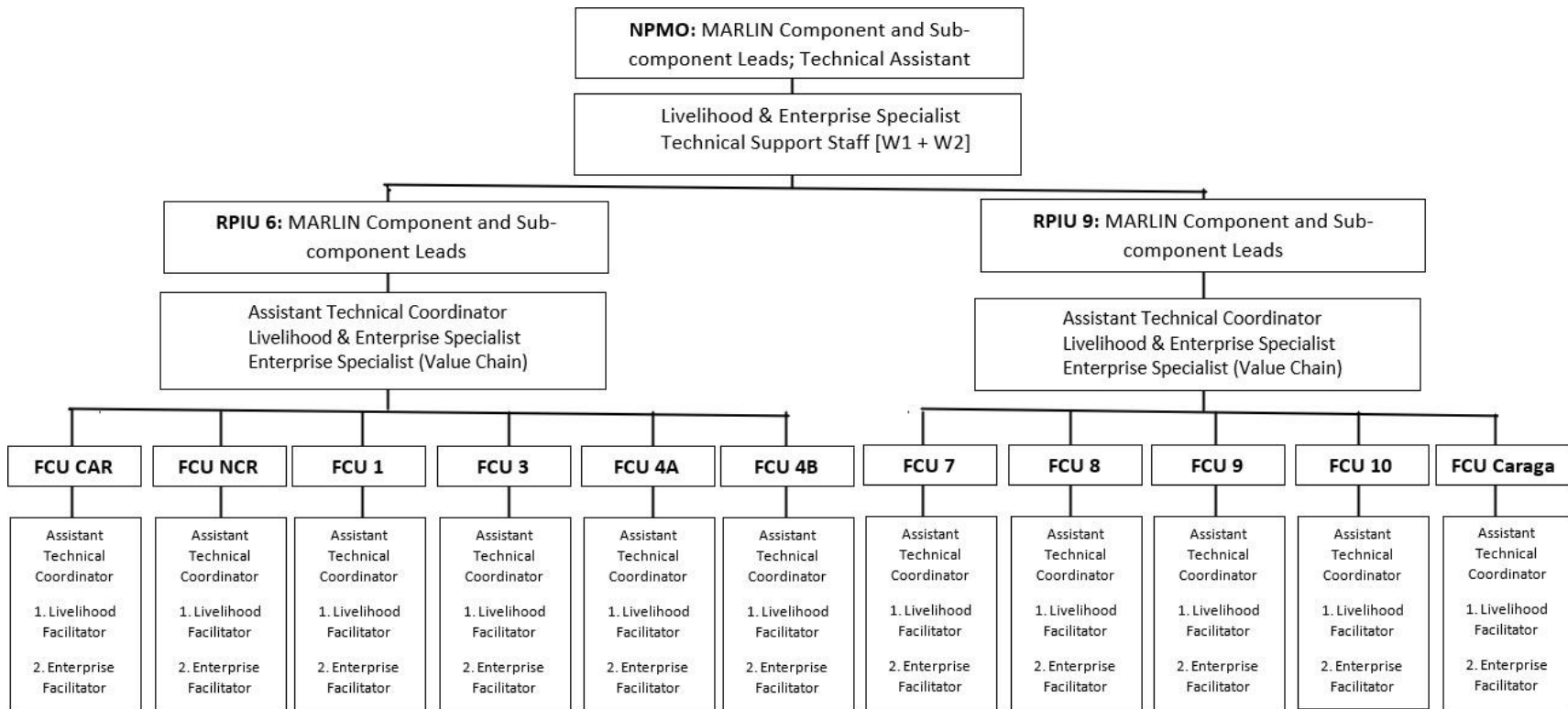
<sup>4</sup> FISHCORE project will set up a GRM within the existing conflict resolution system of BFAR, which will also be used for FMGP related grievances as described in POM PART IV and detailed in FISHCORE ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (Revised), September 21, 2021. Bureau of Fisheries and Aquatic Resources Department of Agriculture, Government of Philippines <https://www.bfar.da.gov.ph>; [info@bfar.da.gov.ph](mailto:info@bfar.da.gov.ph)

## Annex A: Grant Program Logframe

Hierarchy of Results	Success (Performance) Indicators	Program Evaluation Guide Questions
<p><b>Goal</b> (MARLIN Output Statement) – the higher-level objective <b>to which the Grants Program will contribute</b> to achieve but cannot achieve all by itself.</p> <p>Modern and resilient catalytic investments for fishers’ livelihood diversification, aquaculture and fisheries enterprises, aquaculture and fisheries infrastructure, technologies and support services delivered effectively to target stakeholders in FMAs 6 and 9</p>	<ol style="list-style-type: none"> <li>1. Sustainable employment from diversified sources increased by 3% annually</li> <li>2. Three Aqua-Industrial Business Corridors (ABCs) established and operational per FMA</li> <li>3. Aqua-Business Technology Incubation (ABTI) platforms operationalized for extension delivery in 50% of provinces</li> <li>4. Market dev support services piloted and operational</li> <li>5. 25% of livelihood and enterprises subprojects led by women</li> <li>6. Less days of fishing observed by members of beneficiary groups</li> <li>7. Beneficiary groups follow fisheries management regulations</li> <li>8. Post-harvest losses reduced observed</li> </ol> <p><b>Note:</b> Reduction of fishing effort, and fishermen/fishing vessels could only be calculated once the policy targets are in place or agreed based on recommendations of FMPs or Sub-FMPs.</p>	<ul style="list-style-type: none"> <li>● To what extent is the Grants Program contributing to Goal achievement?</li> <li>● What factors are facilitating or hindering the contribution of the Grants Program to Goal achievement?</li> <li>● How can the Grants Program’s contribution to Goal achievement be enhanced?</li> </ul>

<p><b>Row 2. Purpose</b> – the objective which the Grants Program is expected to achieve during its life, for which it is <u>fully</u> accountable.</p> <p>SC 2.1 Purpose: Fisherfolk (whether currently affected by resource management measures or not) are engaged in supplemental and/or alternative livelihood</p> <p>SC 2.2 Purpose: Enterprises or clusters thereof that are linked to fisherfolk organizations with expanded and/ or diversified scope of business</p>	<ol style="list-style-type: none"> <li>1. Number and value of subprojects funded under Grants Program</li> <li>2. Percent of subprojects completed on time and within approved budget</li> <li>3. Number and percent of SC 2.1 Grantees upscaled to pre-enterprise level or higher</li> <li>4. Number and percent of SC 2.2 Grantees with expanded or diversified scope of business</li> <li>5. Number of direct and indirect beneficiaries under SC 2.1 and 2.2</li> <li>6. Percent of women-led Grantees</li> </ol>	<ul style="list-style-type: none"> <li>● To what extent is the Grants Program achieving its annual and life-of-project targets?</li> <li>● What are the key factors for the success of subproject implementation achievement?</li> <li>● How can the Grants Program be improved in terms of: (a) policy framework; and (c) operations?</li> <li>● What key lessons are emerging from implementation?</li> </ul>
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**Annex B. Proposed Technical Assistance and Support Staffing Pattern for Grant Implementation**



## Annex C. Negative list under the FishCoRe Project

*\*\*Negative list refers to sub-projects and/or activities that are not allowed under the FishCoRe Project. This covers both SC 2.1. and SC 2.2.*

1. Sub-projects that would involve civil works inside an officially declared protected area of critical habitat, except those civil works that are part of the management and protection plan of the protected area and approved by the protected area management board.
2. Aquaculture using non-native species in natural water bodies (except for species identified strategically to be farmed in aquaculture ponds, under the approved Fisheries Management Plan).
3. Activities involving large-scale industrial plants and industrial estates.
4. Sub-projects that plan to use funds from the program to purchase prohibited pesticides or other agrochemicals.
5. Production of, or trade in, any product or activity deemed illegal under Philippine laws or regulations or international conventions and agreements or subject to international phase-outs or bans, such as: (i) pharmaceuticals, pesticides, and herbicides; (ii) ozone- depleting substances; (iii) polychlorinated biphenyls and other hazardous chemicals; and (iv) wildlife or wildlife products regulated under the Convention on International Trade in Endangered Species (CITES).
6. Activities that involve the introduction of invasive species into the natural environment.
7. Subproject activities in disputed waters.
8. Commercial fisheries activities within the municipal waters and in disputed areas.
9. Marine and coastal fishing practices, such as large-scale pelagic drift net fishing (i.e., more than 2.5 km in length) and fine mesh net fishing, which are harmful to vulnerable and protected species in large numbers and damaging to marine biodiversity and habitats.
10. Sub-projects that would alter, damage, or render inaccessible any cultural heritage property and historical monuments, or those that would involve commercial exploitation of cultural properties.
11. Sub-projects that would result in the significant conversion of critical habitats (e.g., primary forest, habitat of endangered species, wetlands, mangrove forest and coral reefs)
12. Sub-projects that would involve significant socio-economic impacts involving permanent involuntary resettlement.
13. Sub projects whose area of operation/ activities is located in sites with territorial dispute between multiple countries.

## Appendix 1: Illustrative Templates

### **Form 1a. Call for EOIs: FMGP-W1 – SC 2.1 Livelihood Diversification and Development (FCU to Target LGU/BG)**

#### TO WHOM IT MAY CONCERN

**Subject:** Call for Expression of Interest (EOI) and submission of proposal on Livelihood Diversification and Development under the Matching Grants Program Window 1 (FMGP-W1), Fisheries and Coastal Resiliency (FishCoRe) Project, Bureau of Fisheries and Aquatic Resources (BFAR)

We wish to invite fisherfolk organizations, groups or associations comprised of fishers, fish processors, fish farmer households, and women affected/likely to be affected by resource management measures carried out under FishCoRe/Fisheries Management Plan (FMP) within FMAs 6 and 9 to submit an Expression of Interest (EOI) and sub-project proposal to participate in the Matching Grants Program. The objective of the Grants Program is to enhance sustainable employment and income earning opportunities of fisherfolks from diversified sources along the value chain of aquaculture and fisheries, including on-farm and off-farm livelihoods by funding subprojects on replacement/alternative livelihoods to unsustainable fishing and marine resources harvesting activities. A “fisherfolk organization” is defined to include cooperatives and similar associations of fisherfolk, women, youth, or other community members in designated Fishery Management Areas (FMAs). Established and accredited organizations should provide **copies of registration documents, organization profile, list of members, and constitutions and by-laws** at the time of submitting expression of interest/sub-project proposal.

The types of subprojects eligible for funding include but are not limited to: (a) expansion of existing fisheries and aquaculture livelihood activities that do not encourage overfishing or destruction of marine habitats; (b) livelihood diversification to other commodities/ value chain segments; and (c) non-fishery/ non-farm livelihood such as eco-tourism, fish processing and handicraft production; and (d) skills development and capacity building training such as financial literacy and good aquaculture practices, among others. Our requirements for eligibility are that your organization:

No.	Eligibility Criteria
1	Is registered or in the process of registering with BFAR FishR* as a fisherfolk organization (DOLE/DSWD/SEC/DTI/CDA, etc).
2	Has a minimum of 15 individual members
3	Is willing to undergo trainings and related capability building interventions to be provided by the FishCoRe Project
4	Is willing and able to participate and provide necessary support and necessary efforts within the period of pre-subproject preparation, development, implementation, management, feedback and reporting.
5.	Is proposing livelihood activities that are generally in line/ not inconsistent with the FMA Plan** developed under Fish Core or in line with added value products segment coverage
6.	After short-listing, is willing to prepare a Livelihood Project Proposal using the project’s standard template

7	Have fully liquidated loans or credit funds availed of under previous Government-funded projects
8.	Certification of the Secretary of the PO that its Treasurer, Bookkeeper, Auditor and President or Chairman of the Board of Directors are not related by each other up to the second civil degree of consanguinity or affinity;
9.	Will promote sustainable fisheries and aquaculture practices, and members are willing to comply with the resource management and regulatory measures to be implemented under the Fisheries Management Plan (FMP)

\* FishR is BFAR’s nationwide registration system for municipal fisherfolk to generate data for designing fisheries management and biodiversity conservation measures.

\*\* The FMA Fisheries Management Plan Summary is available online (may be provided as Attachment 1 to this Call for EOI)

\*\*\*Successful beneficiaries can still access the second round and /or expansion Livelihood Sub-project implementation as applicable provided that their members, employees and income will be also increased to at least 20% from the baseline income.

The template for the EOI is attached. For further information, please feel free to contact:

Regional Grants Implementation Coordinator  
FMA Coordinating Unit  
Fisheries and Coastal Resiliency (FishCoRe) Project  
Contact information:

We can assist you in preparing an EOI if you meet the above criteria.

Name and signature: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

**Form 1b. Expression of Interest and submission of subproject proposal: FMGP- W2 (SC 2.1) Livelihood Diversification and Development**

(to be co-prepared by FCU and Beneficiary Group)

*If subproject budget is PhP 5 million and below complete proposal can be submitted along with the EOI*

**Part II. Declaration of Eligibility**

This is to certify that we:

No.	Eligibility Criteria
1	Are registered or in the process of registering with BFAR FishR* as a fisherfolk organization (DOLE/DSWD/SEC/DTI/CDA, etc).
2	Have a minimum of 15 individual members and able to contribute either in-kind or in cash or a combination of cash and in-kind.
3	Are willing to undergo trainings and related capability building interventions to be provided by the FishCoRe Project
4	Are willing and able to participate and provide necessary support and necessary efforts within the period of pre-subproject preparation, development, implementation, management, feed-backing and reporting.
5	Are proposing livelihood activities that are generally in line/ not inconsistent with the FMA Plan** developed under Fish Core or in line with added value products segment coverage
6	After short-listing, we are willing to prepare a Livelihood Project Proposal using the project's standard template
7	Have fully liquidated loans or credit funds availed of under previous Government-funded projects
8	Have certification of the Secretary of the PO that its Treasurer, Bookkeeper, Auditor and President or Chairman of the Board of Directors are not related by each other up to the second civil degree of consanguinity or affinity;
9	Will promote sustainable fisheries and aquaculture practices, and members are willing to comply with the resource management and regulatory measures to be implemented under the Fisheries Management Plan (FMP)

\* FishR is BFAR's national registration system for municipal fisherfolk generating data to design fisheries management and biodiversity conservation measures.

**Name and signature of authorized representatives:** \_\_\_\_\_

Date: \_\_\_\_\_

**W1-SC 2.1 Eligibility Criteria Scoring Sheet**

No.	Eligibility Criteria (Passing Rate 70%)	Equivalent Score (%)	Actual Score (%)	Remarks (Passed/Failed)
1	Are registered or in the process of registering with BFAR FishR* as a fisherfolk organization (DOLE/DSWD/SEC/CDA/DTI, etc).	15		
2	Have a minimum of 15 individual members and can contribute in-kind/ cash or combination of cash and in-kind	10		
3	Are willing to undergo trainings and related capability building interventions to be provided by the FishCoRe Project	10		
4	Are willing and able to participate and provide necessary support and necessary efforts within the period of pre-subproject preparation, development, implementation, management, feedbacking and reporting.	10		
5	Are proposing livelihood activities that are generally in line/ not inconsistent with the FMA Plan** developed under Fish Core or in line with added value products segment coverage	10		
6	After short-listing, we are willing to prepare a Livelihood Project Proposal using the project's standard template	10		
7	Have fully liquidated or able to pay loan or credit funds availed of under previous Government-funded projects	10		
8	Have certification of the Secretary of the PO that its Treasurer, Bookkeeper, Auditor and President or Chairman of the Board of Directors are not related by each other up to the second civil degree of consanguinity or affinity;	10		
9	Will promote sustainable fisheries and aquaculture practices, and members are willing to comply with the resource management and regulatory measures to be implemented under the Fisheries Management Plan (FMP)	15		
10	Total	100		

**Name and Signature of Screening Officer:** \_\_\_\_\_

**Date Completed:** \_\_\_\_\_

**W1 2.1 Eligible Items for in-kind/cash or combination of cash and in-kind beneficiary contribution for the subproject**

<b>Beneficiary Counterpart</b>	<b>Group</b>	<b>Means of Verification</b>	<b>Remarks</b>
Land and other assets		Tenurial Instrument	Only the portion to be used in the operation of the livelihood/enterprise will be valued  Cost is based on current book value/ assessed value
Pumpboat/Vehicle/ Equipment/ and other fixed assets		Proof of ownership such as OR/CR/PCG/ PNP Maritime Registration under the beneficiary group's name, certificate of turnover if from government agencies and NGOs	Cost is based on current book value  Note: the beneficiary group may also submit inventory of fixed assets as reference. Include acquisition cost and date acquired to compute for the depreciated value
Direct labor			May be accounted as in-kind for the first year of operations
Salaries and wages, permits and licenses		Bank certificate under the beneficiary group's name	Must be in cash counterpart
Fuel		Include vehicle schedule to computing for the fuel consumption	Must be in cash counterpart
Utilities		If possible, include basis for computation such as cost per kwh (for electricity) and cubic meter (for water)	Must be in cash counterpart

## Appendix 2: Illustrative Templates

**Form 2a. EOI Review Template: FMGP-W1 - SC 2.1 Livelihood Diversification and Development**  
(to be prepared by FCU)

[EOIs will be ranked only when the budget for all eligible subprojects exceeds available project resources.]

Title of Subproject:			
Proponent Organization:	Women-led?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Reviewer/s:			
Date reviewed:			

### Part 1. Proponent Eligibility Review

Certificate of Declaration signed? (check one of the boxes below)

Yes       No

If Yes, continue to Part 2 below. If No, end the review for this proponent.

### Part 2. Subproject Review Template

Review Criteria <i>to provide supplemental and alternative livelihood to fisherfolks</i>	Points Indicate scores in cells based on points system: 1-10, lowest to highest)					Weight	Score (Points x Weight)
	VL	L	M	H	VH		
1. Magnitude and urgency of livelihood constraints or issues being faced (based on overall project rational and objective)						0.30	
2. Soundness of proposal based on Simplified Logframe						0.20	
3. Overall potential to provide supplemental and/or alternative livelihood to target fisherfolk, year-round and esp. during the off-season						0.20	
4. No of beneficiary relative to sub-project cost (divide total beneficiary by total proposed sub-project grant)						0.15	
5. Targeted beneficiaries are vulnerable groups (women/ girls, IPs)						0.15	
<b>Total</b>						<b>1.00</b>	

Uniform points system: Very low (VL) = 1-2; Low (L) = 3-4; Median (M) = 5-6; High (H) = 7-8; Very high (VH = 9-10)

**Form 2b. EOI Review Results Summary Matrix (same for both SC 2.1 and 2.2)**  
(to be prepared by FCU)

Proponent Name and Subproject Title	Proponent Eligible?	Proposed Subproject Eligible?	Subproject Review Score

**Appendix 3: Illustrative Templates**

**Form 3a. Letter on Subproject Proposals SC 2.1 Livelihood Diversification and Development**  
(to be sent by FCU to the shortlisted fisherfolk organizations)

Name of individual addressee  
Position  
Name of organization

Dear \_\_\_\_\_:

**Subject:** Subproject Grants Program, Fisheries and Coastal Resiliency (FishCoRe) Project

We are pleased to inform you that your organization qualified for *possible* financing. The next step is for you to prepare and submit a proposal, following the attached standard outline. Please make sure that your proposal is based on the Expression of Interest (EOI) that you previously submitted to us. The criteria for proposal evaluation, which should guide you in proposal preparation, will be:

Review Criteria	Points Indicate scores in cells based on points system: 1-10, lowest to highest)					Weight	Score (Points x Weight)
	VL	L	M	H	VH		
1. Clarity and coherence of hierarchy of objectives (outputs > outcomes)						0.15	
2. Completeness of activities to achieve objectives						0.20	
3. Do-ability of activities within subproject timeframe						0.15	
4. Adequacy of implementation structure and arrangements						0.15	
5. Overall subproject potential to provide fisherfolk with year-round supplemental and alternative livelihood						0.35	
<b>Total</b>						<b>1.00</b>	

\* Uniform points system: Very low (VL) = 1-2; Low (L) = 3-4; Median (M) = 5-6; High (H) = 7-8; Very high (VH) = 9-10

The proposal template is attached. For further information, please feel free to contact:

Grants Implementation Coordinator  
FMA Coordinating Unit  
Fisheries and Coastal Resiliency (FishCoRe) Project  
Contact information:

We can assist you to prepare a proposal.

Name and signature: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

**W1 - SC 2.1 - Initial Environmental and Social Screening**

[Proposed subproject should not violate any item below. In case of a YES answer a statement on impacts and plans for mitigation will be required]

**Checklist of Environmental and Social Concerns and Risks** [Proposed subproject should not violate any item below. In case of a YES answer to any items a statement on impacts and plans for mitigation will be required]

Checklist of Environmental and Social Concerns (check one of the clickable boxes per row)	Yes	No	Not applicable
<b>A. Environmental concerns</b>			
• Loss of ecological value when subproject is located within/ close to natural ecosystem such as biodiversity, mangrove, or wetland area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Soil pollution/ health risks due to application of fertilizers and pesticides	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Overexploitation of fish stocks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Degradation of resource base; habitat damage through use of destructive fishing methods and gears	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Capture of non-target species	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Downstream water pollution from discharge of pond effluents with drain water, potential restriction of water circulation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Pollution of nearby aquatic environment by pond drainage water	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>B. Social concerns</b>			
• Adverse effects on property and/or livelihood	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Displacement of homes and/or livelihood or restricted access to traditional economic resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Involve acquisition of land, right-of-way and/or easements rights	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Involuntary resettlement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Changing, damaging, or rendering inaccessible any cultural resource, structure, or heritage site	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Located in ancestral domain	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Indigenous people to be affected	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**A.** Guide Notes: In collaboration with FishCoRe Project ESS Team, please refer Attachment 5 for the Final Environment and Social Safeguards Screening Checklist and Attachment 7 for the Environment and Social Management Plan (ESMP) Outline towards preparation of ESMP.

**B. Guide Notes: Proceed to Part II below if all the above documentary requirements are met by the beneficiary groups.**

**Part II. Form 3b. Sub-project Proposal Template for SC 2.1. Fisher’s Livelihood Diversification and Development**

**I. Basic Proponent Group Profile**

**A. Proponent Group Profile**

Name of the Proponent Group	
Location	
Business Registration	
Year of Registration	
Total Number of Members	
Male	
Female	
Contact Person	
Contact Details	
Mobile	
Landline	
Fax	
Email	

**B. Proponent Group Member’s Activity Involvement Inventory**

Particulars/Specific activities	Quantity		Sub-total
	Female	Male	
Inland Capture			
Marine Capture			
Inland Aquaculture			
Mariculture			
Post-harvest			
Others (please specify)			
Grand total			

## II. Livelihood Subproject Profile

### A. Subproject Profile

Subproject Title																			
Subproject Location																			
Subproject Duration (maximum of 2 years)																			
Subproject Dimension	<input type="checkbox"/> Input provision/production ( <i>refers to provision of any livelihood package of inland/mariculture of commodities in nature</i> ) <input type="checkbox"/> Post-harvest ( <i>refers to provision of any livelihood package of post-harvest in nature</i> ) <input type="checkbox"/> Processing ( <i>refers to post-processing / value-addition of raw commodities</i> ) <input type="checkbox"/> Marketing/Trading																		
Brief Description/Rationale of the Subproject	Briefly describe the business model, how the sub-project will aid the issues being faced by organization and its members (i.e., closed fishing season impacts on current livelihoods, etc.)																		
Subproject Cost	<table border="1"> <thead> <tr> <th rowspan="2">Fund Source</th> <th colspan="2">Livelihood</th> <th rowspan="2">Total Amount of Livelihood</th> </tr> <tr> <th>Amount</th> <th>Sharing</th> </tr> </thead> <tbody> <tr> <td>World Bank – LP</td> <td></td> <td>95%</td> <td></td> </tr> <tr> <td>Government of the Philippines – GOP</td> <td></td> <td>5%</td> <td></td> </tr> <tr> <td><b>Total</b></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Fund Source	Livelihood		Total Amount of Livelihood	Amount	Sharing	World Bank – LP		95%		Government of the Philippines – GOP		5%		<b>Total</b>			
Fund Source	Livelihood		Total Amount of Livelihood																
	Amount	Sharing																	
World Bank – LP		95%																	
Government of the Philippines – GOP		5%																	
<b>Total</b>																			

### B. Subproject Objectives

General Objective	Specific objectives	Components/Key activities	Success indicators	Data source	Scheduled completion
<i>To provide alternative livelihood</i>	1. To help fisherfolks increase their			Project M& E	

<i>sub-projects for the fisherfolk affected by the fisheries management measures to reduce fishing pressure (SAMPLE ONLY)</i>	income of about __%			Report s	
	2. To produce ____ MT of (insert product/species name) per annual cycle while conserving coastal and marine ecosystem in sustainable manner within the area				
	3. To capacitate ____ fisherfolks in (insert livelihood sub-project here); and				
	4. To generate ____ alternative jobs within the community during its implementation				
	5. To reduce postharvest losses by 5% from the baseline				
	6. To reduce fishing effort by ____% from the baseline				

**C. Market Study (4Ps of marketing)**

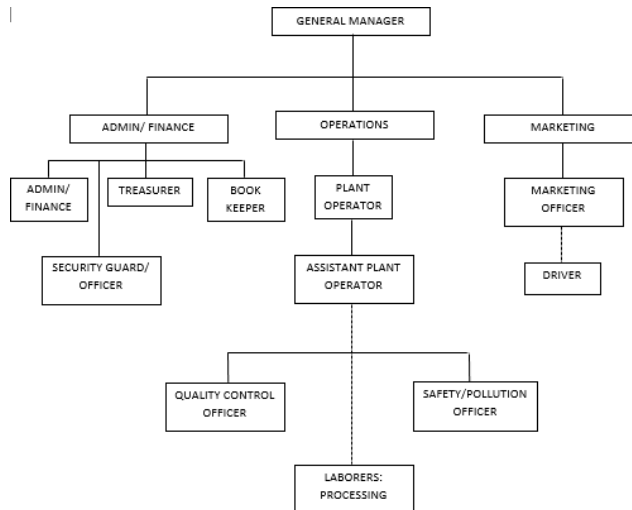
1. Product Description (What exactly do you sell? Physical description of each product, specifications, species for culture, average marketable weight)
2. Place and Target Market/s (Discuss who are the target markets and their characteristics. Where are they located? Discuss the distance of livelihood site to the target markets)
3. Pricing (How much is your product? What is the basis of your pricing?)
4. Promotion (Identify how you will promote your product/ strategies in marketing your products)
5. Customer Analysis

Type of Market/ Customer	Description	Location	Existing Volume	Target Volume Requirement	Price	Frequency of Delivery	Marketing Arrangements	Specifications

**D. Operational Plan**

1. Ownership and Management (Briefly describe how the subproject will be managed and the key personnel needed for the project implementation including necessary skills and additional training needs. Present organizational chart.)

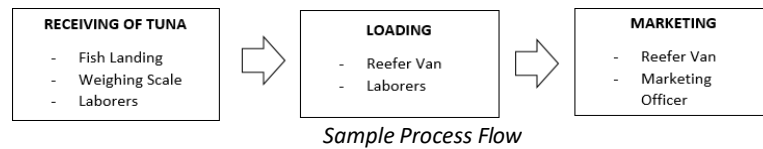
*Sample Organizational Chart*



- Implementation Personnel – the position/roles in the organizational chart should be included in the table below

Position/Personnel	Specific Role/Tasks	Salary/Honorarium

- Production and Operation Processes (Discuss the production method, harvest cycles, schemes, process flow/procedures and technology to be used)



Suggested table for detailed process flow:

Activity Process	Description of the Activity	Input Requirement	Output	Location	Responsible Personnel	Quality Control Measures

*The steps in the process flow chart should be included in this table*

- Resources Needed (Discuss the resources needed such as the inputs/raw materials and how these resources will be sourced)
- Production Schedule (Discuss the production schedule indicating the number of months of operation per year, numbers of days operating in a week)

6. Gantt Chart for Subproject Implementation (*Please fill out/modify table below as needed*)

Major Activities	Timeline of activities							
	Year 1				Year 2 (if applicable)			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b><i>Pre-implementation</i></b>								
Site validation								
Social Preparation								
Preparation of necessary required documents								
Construction and installation of the project								
Provision of Livelihood inputs								
<b><i>Implementation stage</i></b>								
Operation and Management								
Harvest and Marketing								
Project Monitoring and reporting								

**E. Financial Aspects**

1. Investment Capital Requirements (How much is the investment requirement for the enterprise? Where and how will the funds to support the investment requirement to be sourced?)

Items	Quantity	Unit	Cost / Unit	Total Amount	Fund Source			
					WB-LP 95%	GOP 5%	Proponent Group	
							In-cash	In-kind
Small Works								
.....								
Tools and Equipment								
.....								
.....								
Raw Materials								
.....								
.....								
Operating Capital								
Direct Labor								
Packaging								
Salaries and Wages								
Utilities								
Proponent Group Equity								
.....								
.....								
<b>Total</b>								

## Loan proceeds – BFAR – Beneficiary cost-sharing

Fund Source	Livelihood		Total Amount of Livelihood
	Amount	Sharing	
World Bank – LP		95%	
Government of the Philippines – GOP		5%	
<b>Total</b>			

## 2. Technical Assumptions

Production area :	
Species / commodity classification :	
Culture period :	
Crops/Cycles per year :	
Initial stocking density/cycle :	
Cost per stock (PhP) :	
Survival rate :	
No. of stocks/harvest :	
Yield per run (kg) :	
Feed conversion ratio (FCR) :	
Average body weight (initial stocking) :	
Average body weight at harvest (marketable weight) :	
Average feeding rate :	
Investment cost :	
Annual investment cost (PhP) - Feeding cost estimates - Investment capital	
Price per kilo (PhP) :	

**3. Income Statement** - Present the monthly (per cycle), yearly income statement

*For livelihood subprojects below Php 1 million, include 1 year financial projection. For Php 1 million up to Php 3 million livelihood subprojects, include 3 year financial projections. For livelihood projects above Php 3 million up to Php 5 million, include 5 year financial projections*

*Suggested table for Projected Income Statement*

<b>Item</b>	<b>Include monthly</b>	<b>Y1</b>	<b>Y2</b>	<b>Y3</b>
.....				
<b>Gross Sales</b>				
<b>Less:</b>				
<i>Allowance for spoilage/ substandards</i>				
<b>Net Sales</b>				
<b>Less: Direct cost</b>				
.....				
.....				
.....				
.....				
<b>Total Direct Cost</b>				
<b>GROSS PROFIT</b>				
<b>Gross Profit Margin</b>		%	%	%
<b>Less: OPEX</b>				
.....				
.....				
.....				
.....				
.....				
.....				
<b>Total Opex</b>				
<b>NET OPERATING INCOME</b>				
<b>Operating Income Margin</b>		%	%	%
<b>Less Taxes</b> <i>*if exempted, please provide certification</i>				
<b>Net Profit</b>				
<b>Net Profit Margin</b>		38%	38%	40%

4. **Projected Return on Investment (ROI)** – the suggested minimum ROI for livelihood and enterprise subprojects is 7% and above

Suggested table for presentation of ROI

Net Income	
Year 1	
Year 2	
Year 3	
Year 4	
Year 5	

Return on Investment	<u>Net Income</u>
	Cost of Investment
<b>ROI</b>	
Year 1	%
Year 2	%
Year 3	%
Year 4	%
Year 5	%
<b>Average ROI</b>	<b>%</b>
Cost of investment:	PHP _____

**F. Projected Economic Benefits** (Discuss the economic impact or benefits that the community will generate as a result of the enterprise)

1. Increase in Fisherfolks/Farmer's Income (Discuss how the income of the fisherfolks will be affected)

Suggested table for presentation of increase in fisherfolks/farmers income:

Particulars	Without FishCoRe intervention	Particulars	With FishCoRe intervention				
			Y1	Y2	Y3	Y4	Y5
Income	Php	Income	Php	Php	Php	Php	Php

		Increase in Income	Php	Php	Php	Php	Php
		% increase in income	%	%	%	%	%

2. Employment Generation (Is the subproject going to provide employment opportunities to the community? How many will be employed?)

**Table 5.** Economic Opportunities of the Livelihood Subproject (*Note: unique count*)

Job Title	Existing	New Jobs	Total Jobs Generated
<b>TOTAL</b>			

3. Distribution of Net Income (Discuss the profit sharing/distribution scheme of the subproject)
4. Other potential benefits

**G. Sustainability Mechanism** (*Discuss the following*)

1. Membership Expansion
2. Proposed Capacity Building Activities

**Note:** Cost for Capacity building activities shall be EXCLUDED from the total grant amount / total sub-project cost. This will be provided by FishCoRe from a different fund source.

Type/Nature of Technical Assistance	Source/Service Providers	Estimated cost	Target Period (insert year here)			
			Q1	Q2	Q3	Q4

- H. Environmental and Social Screening (*attach signed ES Screening Checklist*)
- I. Environmental and Social Risks and Impacts Management and Mitigation Measures (*attach approved ESMP*)

**Proponent Group Representative:**

**Signature:**

**Date:**

**Form 2a. Call for EOIs: FMGP-W2-SC 2.2 Aquaculture and Fisheries Enterprise Development**

(to be prepared by FCU)

(translatable to local languages)

TO WHOM IT MAY CONCERN

**Subject:** Call for Expression of Interest (EOI) to receive grants for Aquaculture and Fisheries Development subprojects under FishCoRe Matching Grants Program Window 2 (FMGP-W2), Fisheries and Coastal Resiliency (FishCoRe) Project, BFAR

We wish to invite market-oriented “fisherfolk” enterprises (cooperative and similar organizations) operating in Fishery Management Areas (FMAs) 6 and 9 to submit Expression of Interest (EOI) to participate in subject Grants Program in association or partnership with private sector enterprises for the purpose of improving/ expanding the nature, scale, and/ or efficiency of their business operations using the attached Format. The objective of the FMGP-W2 is to enable enterprising fisherfolk organization to engage with private sector enterprises in viable business ventures in aqua-industrial business corridors (ABCs) within FMA 6 and 9. Established and accredited organizations should provide copies of registration documents, organization profile, list of members, and constitutions and by-laws at the time of submitting EOI /subproject proposal.

The types of subprojects eligible for funding include but are not limited to: (a) expanding the scope/ scale of current operations; (b) venturing to new commodities/ value chain segments; (c) engaging or enhancing engagement with local community groups/ members as business partners; and (d) training and capacity development. The following criteria will be used to determine your organization’s eligibility for grants under the FMGP-W2:

No.	Eligibility Criteria
1	Registered with BFAR FishR* and in any one or more of the following: CDA, SEC, DTI, DOLE, or other relevant government agencies (Certificate of Registration and Authenticated Constitution & By-Laws)
2	A cooperative or similar entity classified as small or medium enterprise (MSME) (Small = Php 3-less than 15 million in assets and 15-99 employees/working members; Medium = Php 15-100 million in assets and 100-199 employees/working members) and  *duly registered association may be considered under w2 for as long as it is active in operation for at least 2 consecutive years. *Type of qualifying COOP must be Multipurpose and/or Marketing COOPs in fisheries
3	Audited Financial Report in the last 2 years and Certificate of Good Standing (as applicable)
4	Able or willing to expand/newly develop an aqua-business venture(s) for operation within one of the ABCs in FMA 6 and 9 (Conditionality clause in the MOA)
5	Willing to undergo training and other capacity development to be provided by the FishCoRe Project (Conditionality clause in the MOA)
6	Proposing business activities that are generally in line/ not inconsistent with the FMA Plan and Value Chain Analysis developed under FishCoRe

7	Prepare and submit a Business Plan Proposal using the project's standard template.
8	Both the proponent organization and partner private sector enterprise are able and willing to share at least 10% of the total cost of the sub-project
9	Beneficiary Group Proof of Equity (Cash- Bank Certificate); Land Title/ Lease Contract/ Deed of Donation, etc (as applicable) and/or capability to provide an equity or counterpart of at least 20% in cash and/ or in kind of the total project cost (cost structure should be form part of the WFP and Budgetary requirements of the subproject business proposal).  Categories: <ol style="list-style-type: none"> <li>1. Solo Beneficiary Group Enterprise SMEs (Cooperatives/Fisherfolk Associations – 20%)</li> <li>2. Beneficiary Group Enterprise (Cooperatives/ Fisherfolk Associations) with Private Partners (SMEs) – 20%</li> <li>3. Cluster/ Federation Beneficiary Groups(SME) (Cooperatives/ Fisherfolk Associations - 20%)</li> <li>4. Sole proprietor (SMEs) engaged in aquaculture and fisheries, subject to additional eligibility criteria and separate selection process.</li> </ol>
10	Have a sworn affidavit of the Secretary of the Cooperative/NGO/PO that none of its incorporators, organizers, directors, or officials is an agent of or related by consanguinity or affinity up to the second civil degree to the officials of the Government Organization authorized to process and/or approve the proposal, the MOA and the release of funds. Relationship of this nature shall automatically disqualify the NGO/PO from being granted the Subprojects.  *In cases of island communities where residents are usually blood related families up to the fourth civil degree by consanguinity or affinity, they may be eligible provided that they are not part of the approving committee/authority.
11	Have fully liquidated all loan/credit funds availed of under previous Government-funded projects  Note: Ex. SAAD beneficiaries can be potential beneficiaries for FishCoRe.
12	The group, its members as well as associated private enterprise are willing to comply with the resource management and regulatory measures to be implemented under the FMA Fisheries Management Plan

\* FishR is BFAR's nationwide registration system for municipal fisherfolk to generate data for designing fisheries management and biodiversity conservation measures.

The FMA Fisheries Management Plan Summary is available online (may be provided as Attachment 1 to this Call for EOI)

The template for the EOI is attached. For further information, please feel free to contact:

Regional Grants Implementation Coordinator  
FMA Coordinating Unit  
Fisheries and Coastal Resiliency (FishCoRe) Project  
Contact information:

Name and signature: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

**Form 2b. FMGP-W2 - SC 2.2 Expression of Interest: Aquaculture and Fisheries Enterprise Development**

\*(Refer to ABCs and ABTIs as spatial frameworks in the FMA Plan as a necessary eligibility condition).

**Part I. Proponent Identification**

<b>1. Name of organization and address of the organization</b>			
<b>2. Contact person name, position, phone number</b>			
<b>3. Profile of the organization:</b>			
a. Purpose/ reason for organizing			
b. Members' occupation			
c. Registration details* (include year of registration)			
d. Whether women/indigenous people's organization?			
e. Number of members (break down by gender)	Female	Male	Total
f. Organization's current activities and last year's income	Activity	Income (PhP)	
g. No. of employees/working members (full-time and part-time)	Full-time	Part-time	Total
	Employee		
	Member		
h. Value of Assets (Cash and kind value) (PhP)	Cash in Bank/Hand	Asset Value	Total

\* May or may not be formally organized at the time of EOI submission.

**1. Identity and Profile of the Partner Private Enterprise**

a. Name and Address of the Partner Enterprise	
---	--

b. Business Background of the Partner Enterprise	
c. etc.	

## PART II. Certificate of Eligibility

This is to certify that:

No.	Eligibility Criteria
1	We are registered with BFAR FishR* and in any one or more of the following: CDA, SEC, DTI, DOLE, or other relevant government agencies (Certificate of Registration and Authenticated Constitution & By-Laws)
2	We are a cooperative or similar entity classified as small or medium enterprise (MSME) (Small = Php 3-less than 15 million in assets and 15-99 employees/working members; Medium = Php 15-100 million in assets and 100-199 employees/working members) and  *Duly registered association may be considered under w2 for as long as it is active in operation for at least 2 consecutive years. *Type of qualifying COOP must be Multipurpose and/or Marketing COOPs in fisheries
3	We have audited Financial Report in the last 2 years and Certificate of Good Standing (as applicable)
4	We are able or willing to expand/newly develop an aqua-business venture(s) for operation within one of the ABCs in FMA 6 and 9 (Conditionality clause in the MOA)
5	We are willing to undergo training and other capacity development to be provided by the FishCoRe Project (Conditionality clause in the MOA)
6	We are proposing business activities that are generally in line/ not inconsistent with the FMA Plan and Value Chain Analysis developed under FishCoRe
7	We will prepare and submit a Business Plan Proposal using the project's standard template.
8	Our organization and partner private sector enterprise are able and willing to share at least 10% of the total cost of the sub-project
9	We have Proof of Equity (Cash- Bank Certificate); Land Title/ Lease Contract/ Deed of Donation, etc (as applicable) and/or capability to provide an equity or counterpart of at least 20% in cash and/ or in kind of the total project cost (cost structure should be form part of the WFP and Budgetary requirements of the subproject business proposal).  Categories: <ol style="list-style-type: none"> <li>1. Solo Beneficiary Group Enterprise SMEs (Cooperatives/Fisherfolk Associations – 20%)</li> <li>2. Beneficiary Group Enterprise (Cooperatives/ Fisherfolk Associations) with Private Partners (SMEs) – 20%</li> <li>3. Cluster/ Federation Beneficiary Groups(SME) (Cooperatives/ Fisherfolk</li> </ol>

	<p>Associations - 20%)</p> <p>4. Sole proprietor (SMEs) engaged in aquaculture and fisheries, subject to additional eligibility criteria and separate selection process.</p>
10	<p>We have a sworn affidavit of the Secretary of the Cooperative/NGO/PO that none of its incorporators, organizers, directors, or officials is an agent of or related by consanguinity or affinity up to the second civil degree to the officials of the Government Organization authorized to process and/or approve the proposal, the MOA and the release of funds. Relationship of this nature shall automatically disqualify the NGO/PO from being granted the Subprojects.</p> <p>*In cases of island communities where residents are usually blood related families up to the fourth civil degree by consanguinity or affinity, they may be eligible provided that they are not part of the approving committee/authority.</p>
11	<p>We have fully liquidated all loan/credit funds availed of under previous Government-funded projects</p> <p>Note: Ex. SAAD beneficiaries can be potential beneficiaries for FishCoRe.</p>
12	<p>Our group, its members as well as associated private enterprise are willing to comply with the resource management and regulatory measures to be implemented under the FMA Fisheries Management Plan</p>

\* FishR is BFAR's nationwide registration system for municipal fisherfolk to generate data for designing fisheries management and biodiversity conservation measures.

Authorized name and signature: \_\_\_\_\_

Date: \_\_\_\_\_

## W2-SC 2.2 Eligibility Criteria Scoring Sheet

No.	Eligibility Criteria (Passing Rate 70%)	Equivalent Score (%)	Actual Score (%)	Remarks (Passed/Failed)
1	Registered with BFAR FishR* and in any one or more of the following: (CDA/SEC/DOLE/DSWD) or other relevant government agencies (Certificate of Registration and Authenticated Constitution & By-Laws)	10		
2	A cooperative or similar entity classified as small or medium enterprise (MSME) (Small = Php 3-less than 15 million in assets and 15-99 employees/working members; Medium = Php 15-100 million in assets and 100-199 employees/working members) and  *Duly registered association may be considered under w2 for as long as it is active in operation for at least 2 consecutive years. *Type of qualifying COOP must be Multipurpose and/or Marketing COOPs in fisheries	10		
3	Audited Financial Report in the last 2 years and Certificate of Good Standing (as applicable)	5		
4	Able or willing to expand/newly develop an aqua-business venture(s) in association with an established private enterprise for operation within one of the ABCs in FMA 6 and 9 (Conditionality clause in the MOA)	5		
5	Willing to undergo training and other capacity development to be provided by the FishCoRe Project (Conditionality clause in the MOA)	5		
6	Proposing business activities that are generally in line/ not inconsistent with the FMA Plan** and Value Chain Analysis developed under FishCoRe	10		
7	Prepare and submit a Business Plan Proposal using the project's standard template.	10		
8	Both the proponent organization and partner private sector enterprise are able and willing to share at least 10% of the total cost of the sub-project	10		
	Beneficiary Group Proof of Equity (Cash- Bank Certificate); Land Title/ Lease Contract/ Deed	10		

9	<p>of Donation, etc (as applicable) and/or capability to provide an equity or counterpart of at least 20% (10% for beneficiary and 10% for the partner) in cash and/ or in kind of the total project cost (cost structure should be form part of the WFP and Budgetary requirements of the subproject business proposal).</p> <p>Category 1 Solo Enterprise (20%)  Category 2 Partnership w/Private Sector. (20%)  Category 3 Clustered or Federated Beneficiary Groups (SEC/CDA/DOLE/DSWD) (20%)</p>			
10	<p>A sworn affidavit of the Secretary of the Cooperative/NGO/PO that none of its incorporators, organizers, directors, or officials is an agent of or related by consanguinity or affinity up to the second civil degree to the officials of the Government Organization authorized to process and/or approve the proposal, the MOA and the release of funds. Relationship of this nature shall automatically disqualify the NGO/PO from being granted the Subprojects.</p> <p>*In cases of island communities where residents are usually blood related families up to the fourth civil degree by consanguinity or affinity, they may be eligible provided that they are not part of the approving committee/authority.</p>	10		
11	<p>Fully liquidated all loan/credit funds availed of under previous Government-funded projects  Note: Ex. SAAD beneficiaries can be potential beneficiaries for FishCoRe.</p>	5		
12	<p>The group, its members as well as associated private enterprise are willing to comply with the resource management and regulatory measures to be implemented under the FMA Fisheries Management Plan</p>	10		
13	Total	100		

**Name and Signature of Screening Officer:** \_\_\_\_\_

**Date Completed:** \_\_\_\_\_

**W2- SC 2.2 Eligible Items for in-kind/cash or combination of cash or in-kind beneficiary contribution for the subproject**

<b>Beneficiary Group Counterpart</b>	<b>Means of Verification</b>	<b>Remarks</b>
Land	Tenurial Instrument	Only the portion to be used in the operation of the livelihood/enterprise will be valued  Cost is based on current book value/ assessed value
Pumpboat/Vehicle/ Equipment/ and other fixed assets	Proof of ownership such as OR/CR/PCG/PNP Maritime Registration under the beneficiary group's name, certificate of turnover if from government agencies and NGOs	Cost is based on current book value  Note: the beneficiary group may also submit inventory of fixed assets as reference. Include acquisition cost and date acquired to compute for the depreciated value
Direct labor		May be accounted as in-kind for the first year of operations
Salaries and wages, permits and licenses	Bank certificate under the beneficiary group's name	Must be in cash counterpart
Fuel	Include vehicle schedule to compute for the fuel consumption	Must be in cash counterpart
Utilities	If possible, include basis for computation such as cost per kwh (for electricity) and cubic meter (for water)	Must be in cash counterpart

**Form 2c.** EOI Review Template: FMGP-W2 - SC 2.2 Aquaculture and Fisheries Enterprise Development  
(to be prepared by FCU)

[Ranking EOIs will be made only when the budget for all eligible subprojects exceeds available project resources.]

Title of Subproject:
Proponent Organization:
Reviewer/s:
Date reviewed:

**Part 1. Proponent Eligibility Review**

Certificate of Declaration in Form 2b signed? (check one of clickable boxes below)

Yes       No

If Yes, continue to Part 2 below. If No, end the review for this proponent.

**Part 2. Subproject Review Template**

Review Criteria	Points* Indicate scores in cells based on points system: 1-10, lowest to highest)					Weight	Score (Points x Weight)
	VL	L	M	H	VH		
1. Market or other business opportunities to be pursued under the Grant						0.30	
2. Soundness of proposal based on Simplified Logframe						0.20	
3. Overall potential to diversify and upscale the enterprise						0.20	
4. Number of subproject beneficiaries						0.15	
5. Targeted beneficiaries are vulnerable groups (women/ girls, IPs and/ or youth)						0.15	
<b>Total</b>						<b>1.00</b>	

\* Uniform points system: Very low (VL) = 1-2; Low (L) = 3-4; Median (M) = 5-6; High (H) = 7-8; Very high (VH) = 9-10

**Form 2d. EOI Review Results Summary Matrix (same for both SC 2.1 and 2.2) (SAME AS FORM 2B)**

(to be prepared by FCU)

Proponent Name and Subproject Title	Proponent Eligible?	Proposed Subproject Eligible?	Subproject Review Score

**Form 2e. Template Letter on Unsuccessful EOIs (same for both SC 2.1 and 2.2)**

(to be sent by FCU to proponents that do not meet eligibility criteria)

Date:

Dear \_\_\_\_\_:

Subject: SUBPROJECT GRANTS PROGRAM, FISHERIES AND COASTAL RESILIENCY (FISHCORE) PROJECT

On behalf of the FishCoRe Project, thank you for submitting an Expression of Interest (EOI) to participate in the Subproject Grants Program. We regret to inform you that we are unable to finance your proposed subproject at this time. We hope you will continue to be interested in participating in future FishCoRe activities.

(Signature of FCU Regional Director)

**Form 3a. Letter on Subproject Proposals SC 2.2 Aquaculture and Fisheries Enterprise Development**  
(to be sent by FCU to short-listed enterprises)

Name of individual addressee

Position

Name of organization

Dear \_\_\_\_\_:

Subject: Subproject Grants Program, Fisheries and Coastal Resiliency (FishCoRe) Project

We are pleased to inform you that your organization qualified for *possible* financing. The next step is for you to prepare and submit a Business Proposal, following the attached standard outline. Please make sure that your proposal will be based on the Expression of Interest (EOI) that you previously submitted to us.

The criteria for proposal evaluation, which should guide you in proposal preparation, will be:

Review Criteria	Points Indicate scores in cells based on points system: 1-10, lowest to highest)					Weight	Score (Points x Weight)
	VL	L	M	H	VH		
1. Completeness, clarity, and coherence of overall business plan to diversify and upscale enterprise operations						0.20	
2. Strength of sustainability, resiliency, and phase-out plan						0.20	
3. Do-ability of activities within subproject timeframe						0.15	
4. Strategies and activities to engage directly with fisherfolk organizations						0.15	
5. Likelihood that subproject will catalyze additional private/ NGO sector investments						0.30	
<b>Total</b>						<b>1.00</b>	

\* Uniform points system: Very low (VL) = 1-2; Low (L) = 3-4; Median (M) = 5-6; High (H) = 7-8; Very high (VH) = 9-10

The proposal template is attached. For further information, please feel free to contact:

Grants Implementation Coordinator  
FMA Coordinating Unit  
Fisheries and Coastal Resiliency (FishCoRe) Project  
Contact information:

We can assist you to prepare a proposal.

Name and signature: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

**W2 - SC 2.2 - Initial Environmental and Social Screening**

[Proposed subproject should not violate any item below. In case of a YES answer a statement on impacts and plans for mitigation will be required]

**Checklist of Environmental and Social Concerns and Risks** [Proposed subproject should not violate any item below. In case of a YES answer to any items a statement on impacts and plans for mitigation will be required]

Checklist of Environmental and Social Concerns (check one of the boxes in each row)	Yes	No	Not applicable
<b>A. Environmental concerns</b>			
• Loss of ecological value when subproject is located within/ close to natural ecosystem such as biodiversity, mangrove, or wetland area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Soil pollution/ health risks due to application of fertilizers and pesticides	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Overexploitation of fish stocks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Degradation of resource base; habitat damage through use of destructive fishing methods and gears	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Capture of non-target species	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Downstream water pollution from discharge of pond effluents with drain water, potential restriction of water circulation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Pollution of nearby aquatic environment by pond drainage water	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>B. Social concerns</b>			
• Adverse effects on property and/or livelihood	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Displacement of homes and/or livelihood or restricted access to traditional economic resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Involve acquisition of land, right-of-way and/or easements rights	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Involuntary resettlement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Changing, damaging, or rendering inaccessible any cultural resource, structure, or heritage site	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Located in ancestral domain	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Indigenous people to be affected	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**1. Environmental and Social Risks and Impacts Management and Mitigation Measures**

Risk Types	Statement of Risks and Impacts	Proposed Solutions /Mitigation Measures	Comments
<i>Environmental</i>			
<i>Social</i>			

- C.** *Guide Notes: In collaboration with FishCoRe Project ESS Team, please refer Attachment 5 for the Final Environment and Social Safeguards Screening Checklist and Attachment 7 for the Environment and Social Management Plan (ESMP) Outline towards preparation of ESMP.*
- D.** *Guide Notes: Proceed to Part III below if all the above documentary requirements are met by the beneficiary enterprises and partners.*

**Part III: Business Plan Proposal Template SC 2.2 Aquaculture and Fisheries Enterprise Development (to be prepared by the Beneficiary Group)**

**ENTERPRISE GENERAL PROFILE (*serves as Cover Sheet of the business plan*)**

Subproject Title																								
Location																								
Proponent Group/ Beneficiary	SP																							
Cluster Members, if any	<table border="1"> <thead> <tr> <th>Name of organization</th> <th>Total no. of members</th> <th>Area of operation</th> <th>Distance to PG area</th> <th>Volume of production/yr (kg)</th> <th>Registration status</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>						Name of organization	Total no. of members	Area of operation	Distance to PG area	Volume of production/yr (kg)	Registration status												
Name of organization	Total no. of members	Area of operation	Distance to PG area	Volume of production/yr (kg)	Registration status																			
Contact Person																								
Contact Number																								
Financing Modality Based on the Amount of Subproject	<i>Micro Enterprise? Small Enterprise? or Medium Enterprise?</i>																							
Type of Beneficiary Group Undertaking	<i>Expansion</i>																							
Nature of Expansion																								

Products and/or Services	<i>What is the Product or Service that will be offered by the enterprise</i>																																																
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Duration of Project Implementation	Target Start Date: Target Completion Date:				

### Sub-project Summary Data/Monitoring Sheet

Parameters	Baseline	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10
Increase Farmers Income											
Increase Marketable surplus											
Increase Income of Enterprise											
Increase in Beneficiaries											
No. of Women engaged											
Employment Generated											
Increase Membership											
Reduction of postharvest loss											
Reduction of fishing effort											

## EXECUTIVE SUMMARY

(a snapshot of each of the major business plan components)

A maximum of two-page brief presenting the following key points:

1. rationale for the proposed subproject, its contribution to value chain upgrading and to farmers/fishers income;
2. description of the business enterprise;
3. experiences and current state of the enterprise;
4. target market;
5. operational plan;
6. economic benefits; and
7. results of the financial analysis

### **I. PROJECT RATIONALE** *(write up should be maximum of 2-pages only)*

#### **1. Business Overview** *(Discussion on the profile and existing operation or business activities of the Proponent Group (including cluster members if applicable))*

Discuss the following

Profile of the PG, including its registration (organization and business), current business operations, total amount of assets, number of members, existing projects and accomplishments, any awards and grants received from the government and non-government agencies. Elaborate the experience of the cooperative relative to the proposed enterprise/business. If clustering is involved, please provide discussions.

#### **2. Role of the Enterprise in Value Chain Upgrading**

Discuss the following

- Role of the proposed enterprise in the commodity value chain. Discuss the constraints being addressed, the contribution of the subproject in the development of value chain upgrading

#### **3. Objectives of the Enterprise**

The enterprise and farmer/fisherfolks should be aligned with the FishCoRe Project Development Objectives

Enterprise Level Objectives:

- 1.
- 2.
- 3.

Farmer/Fisherfolk Level Objectives:

- 1.
- 2.
- 3.

## II. MARKET ANALYSIS

### 1. Market characteristics (1-2 paragraphs)

- Brief discussion on the general market industry, trends, recent developments, if any
- VCA can be used as reference

### 2. Customer analysis (1 paragraph)

- Present the data on the target markets of the enterprise
- If multiple products, provide table for each product form
- Data on market supply and demand (gap) for each target market, if available

*Suggested Table for presentation of data:*

Type of Market/ Customer	Description	Location	Existing Volume	Target Volume Requirement	Price	Frequency of Delivery	Marketing Arrangements	Specifications

### 3. COMPETITOR ASSESSMENT (write up should be maximum of 1-page only)

- Discuss the key competitors of the enterprise (same product)  
If available, discuss the marketing strategies of the competitor, including price, promotions, strength and weaknesses

*Suggested Table for presentation:*

Key Competitors	Description	Location	Product	Price	Market share

### 5. MARKETING PLAN (Discuss here the marketing objectives and targets in terms of sales volume, income and profit margin. Outline the strategy by defining the 4Ps of marketing)

#### a) Product

- i. What exactly do you sell? (Physical description of each product, uses, attributes and functional benefits, specifications, quality control/services, standards)
- ii. Discuss the unique selling proposition of the product
- iii. How is the product made or developed?

#### b) Price

- i. How much is your product price?
- ii. How will your price compare with your competitors?
- iii. If multiple products, include price for each product form

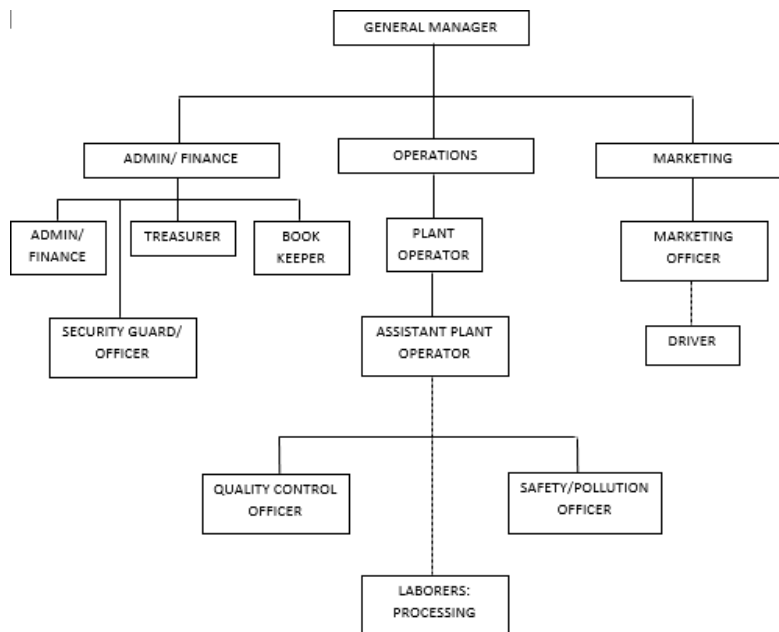
- c) **Place**
- i. Where will you sell your product?
  - ii. Why did you choose that location?
  - iii. Pick-up points, if any
  - iv. If there are other distribution channels, please provide the exact location/address.
- d) **Promotion**
- i. Identify how you will promote your product or discuss your advertising and promotions plan (such as tri-media or social media campaigns).

### III. OPERATIONAL PLAN

#### A. Ownership and management

- Discuss how the enterprise will be managed. Include organizational structure, roles and functions of each position/staff.
- Discuss staffing requirement (identify whether existing or new)
- Include GRM Focal

*Present enterprise organizational chart/structure*



*Sample Organizational Chart*

*Suggested Table for presentation of the enterprise management team (officers and staff should match with the positions indicated in the organizational chart):*

Position	No. of Staff	Qualifications (education, year of experience, skills requirement)	Duties and Responsibilities/Job description

*Present the remuneration/honorarium, government mandatory/statutory benefits for the enterprise management team (officer and staff positions should match with the organizational chart and table).*

Position	No. of Staff	Salary/ Remuneration/ Honorarium/ Daily wage	Contribution/month			Other Benefits such as 13 <sup>th</sup> month pay
			SSS	Pag-Ibig	Philhealth	

*Note: State the basis or source of the salary rates here.*

**B. Pre- Production and operational process**

Discuss the initial processes to be done prior to the start of the enterprise. This may include securing permits, agreements, conduct of training needs assessment, and capacity development plans

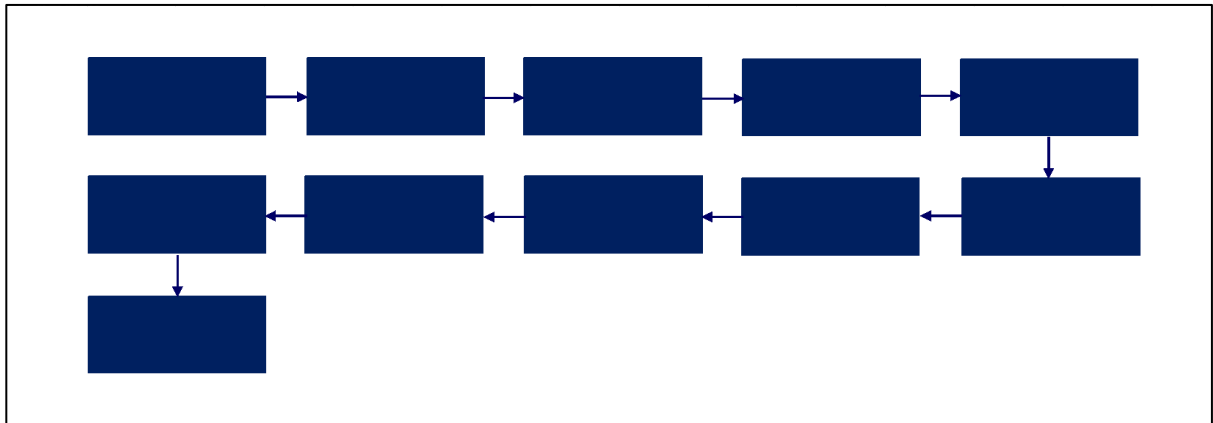
Pre-operation Activity	Description	Input Requirement/s	Output	Timelines (when will it be conducted)

**C. Actual Operation**

**a. Production Process (two paragraphs)**

- Discuss the production schedule (period of operation, volume to be produced and marketed, target increase in production, if any, etc.)
- Discuss the production method and technology to be used
- Include process flow chart and detailed process flow using the suggested template of table
- Discuss where to source out the production materials or raw materials (and at what price)

**Figure 2. Sample Operations Flow Chart**



**Suggested template for the activity description**

Present a detailed description of each process in this format (items in the activity process should match the activities stated in the operations flow chart):

Activity Process	Description of the Activity	Duration of the activity	Input Requirement	Output	Location	Responsible Personnel	# of Laborers	Quality Control Measures

**b. Machineries, equipment, and facilities**

- Discuss the tools, equipment, machinery, and other facilities needed in the operation of the enterprise

Tools/Equipment/ Machinery/ Civil Works Requirement	Purpose	Specifications (complete specifications)	Rated Capacity (design capacity of the equipment, if applicable)	No. of Units		Unit Cost (New) / Market Value (Existing) Php	Allocation for repair and maintenance
				Proposed	Existing		

**IV. FINANCIAL PLAN (write up should be maximum of 10-pages only)**

**a) Sources of Funds**

- Describe how much is the investment requirement for the enterprise
- Where and how will the funds to support the investment requirement be sourced?

FUND SOURCE	ENTERPRISE		TOTAL AMOUNT OF BUSINESS
	Amount	Cost Sharing	
a) World Bank Loan Proceeds		75%	
b) Government of the Philippines - BFAR		5%	
TOTAL			
c) Proponent Group		20%	
<b>TOTAL WITH PROPONENT GROUP</b>			

**b) Investment/Project Cost (in details including fixed capital, working capital and pre-operating expenses).**

Sample table format:

Items	Quantity	Unit	Cost / Unit	Total Amount	Fund Source			
					LP	GOP	BG	
							Cash	In-Kind
Facility								
Land (Site)								
Facility Total								
Vehicle				-				
....								
Tools and Equipment								
...								
...								
...								
Operating Capital								
...								
...								
...								
BG Equity								
...								
...								
<b>Total</b>								

**Eligible Items for in-kind/cash or combination of cash or in-kind beneficiary contribution for the subproject**

<b>Beneficiary Counterpart</b>	<b>Group</b>	<b>MOV</b>	<b>Remarks</b>
Land		Tenurial Instrument	Only the portion to be used in the operation of the livelihood/enterprise will be valued  Cost is based on current book value/assessed value
Pumpboat/Vehicle/ Equipment/ and other fixed assets		Proof of ownership such as OR/CR/PCG/PNP Maritime Registration under the beneficiary group's name, certificate of turnover if from government agencies and NGOs	Cost is based on current book value  Note: the beneficiary group may also submit inventory of fixed assets as reference. Include acquisition cost and date acquired to compute for the depreciated value
Direct labor			May be accounted as in-kind for the first year of operations
Salaries and wages, permits and licenses		Bank certificate under the beneficiary group's name	Must be in cash counterpart
Fuel		Include vehicle schedule to compute for the fuel consumption	Must be in cash counterpart
Utilities		If possible, include basis for computation such as cost per kwh (for electricity) and cubic meter (for water)	Must be in cash counterpart

**c) Financial and Technical Assumptions**

*Sample table for Technical assumptions*

<b>Particulars</b>	<b>Data</b>
Total production area	
No. of cropping per year	
Culture period/cropping	
Survival rate	
Total volume of harvested fresh seaweeds per cropping/ha	

Less: 5%	
Less: Volume of fresh seaweeds used for replanting/ha	
Less: Volume of fresh seaweeds for drying/ha	
Less: Total volume of seaweed propagules for sale	
Conversion ratio (Fresh to Dried Seaweeds)	
Total volume of raw dried seaweeds in one hectare/cropping	
Total production of raw dried seaweeds/hectare for year 1	
Average selling price of raw dried seaweeds per kilogram	
Gross sales for year 1 in _____hectare	
Gross sales for year 1 in _____hectares	

**Sample table for Depreciation Schedule**

Fixed asset	Acquisition cost	Year of Acquisition	Est useful life	Annual depreciation

**d) Cost Assumptions - Include all direct and indirect cost**

Direct Cost

- expenses related to the production of the products. This may include among others the cost for the procurement of raw materials, packaging materials, labor, facilities and equipment

Suggested table for cost of raw materials

Raw materials	Unit	Number of units	Price per unit	Month 1	Month 2...	Y1	Y2....

Suggested table for direct labor cost

Direct Labor	Number of Laborer	Cost per laborer/ day	Number of days	Month 1	Month 2...	Y1	Y2...

Indirect Cost

Indirect costs refer to expenses related to the maintenance of the operation of the business. Cost items under this classification include among others the payment for salaries of

employees and its benefits, repairs and maintenance, office supplies, utilities, marketing expenses, advertising and promotion, representation expenses and others

Suggested table for salaries and wages

Position	Monthly Salary	Y1	Y2	Y3	Y4.....	Y10

e) **Sales Assumptions** – Include all possible sources of revenues

Suggested table for sales assumptions

Product	Unit	Number of Units	Price per Unit	Month 1	Month 2...	Y1	Y2...

f) **Financial projections/financial forecasts:**

1. *Monthly (Y1) and yearly income statement*

Item	Include monthly	Y1	Y2.....	Y10
.....				
<b>Gross Sales</b>				
<b>Less:</b>				
<i>Allowance for spoilage/ substandards</i>				
<b>Net Sales</b>				
<b>Less: Direct cost</b>				
.....				
.....				
.....				
.....				
<b>Total Direct Cost</b>				
<b>GROSS PROFIT</b>				
<b>Gross Profit Margin</b>		%	%	%
<b>Less: OPEX</b>				
.....				
.....				
.....				
.....				
.....				

.....				
<i>Total Opex</i>				
<b>NET OPERATING INCOME</b>				
<i>Operating Income Margin</i>		%	%	%
<i>Less Taxes *if exempted, please provide certification</i>				
<i>Net Profit</i>				
<i>Net Profit Margin</i>		38%	38%	40%

2. Monthly (Y1) and yearly cash flow and balance sheet

e) Financial Analysis

- Present the financial ratios here as computed in the EFA: ROI, NPV, FIRR, BCR, Payback period, Break even analysis per product. Hurdle rate to be used is 6.91% WACC (Weighted Average Cost of Capital).

<i>Indicator</i>	<b>Result</b>
<i>FIRR</i>	
<i>FNPV</i>	
<i>BCR</i>	
<i>ROI</i>	

e) Risk and Sensitivity Analysis

<b>Ratios</b>	<b>5% decrease in revenue</b>	<b>5% increase in expense</b>	<b>10% decrease in revenue</b>	<b>10% increase in expense</b>
<b>FIRR</b>				
<b>FNPV</b>				
<b>BCR</b>				

f) *Payback Period*

<b>Payback Period</b>		
<b>Investment:</b>		<b>Php</b> _____
<b>Year</b>	<b>Net Cash Flow</b>	<b>Cumulative Net Cash Flow</b>
0		
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
<i>Payback period is _____ years since the cumulative cash flow exceeds the initial amount of investment</i>		

g) Breakeven Analysis

<b>Indicator</b>	<b>Enterprise</b>
Average Break-even Units	
Average Break-even Sales	
Average Break-even Price	

## V. ECONOMIC IMPACT

Describe the economic impact or benefits that the community will generate as a result of the enterprise.

### a) Increase in Beneficiaries Income

Describe how the income of beneficiaries affected?

Proposed sample table:

Particulars	Without FishCoRe intervention	Particulars	With FishCoRe intervention				
			Y1	Y2	Y3	Y4	Y5
Income	Php	Income	Php	Php	Php	Php	Php
		Increase in Income	Php	Php	Php	Php	Php

### b) Employment Generation

- Is the enterprise going to provide employment opportunities to the community?

Proposed sample table:

Job Title	Existing	New Jobs	Total Jobs Generated
<b>TOTAL</b>			

d) **Profit sharing scheme** - discuss the profit sharing/distribution scheme of the enterprise (if applicable)

e) **Other potential benefits** - discuss other targeted or potential impact of the Project

## VI. SUSTAINABILITY MECHANISM

### 1. Sustainability Plan

Include discussions on the plans of the beneficiaries on how to sustain the operations of the enterprise

Enterprise Objective	Target (based on technical and financial projection)	Timeline of Implementation	Strategies to Meet Target	Actions to be taken	Responsible Personnel	Estimated Cost

**2. Capacity Development Plan**

Include the discussion on the required technical assistance to be conducted to capacitate the beneficiary

***Proposed presentation table: (Capacity Development Plan)***

<b>Aspects</b>	<b>Business Plan Target</b>	<b>Proposed Interventions/ Recommendations</b>	<b>Activities to be Undertaken</b>	<b>Responsibility Center</b>	<b>Timeframe</b>	<b>Support Service Provider</b>	<b>Source of Fund</b>

**3. Business Continuity Plan**

Discuss the plans of the beneficiaries on how to maintain business operations in cases of disruptions, crises, and disasters. Discussions may also include the result of Climate Resiliency Vulnerability Assessment (CRVA).

<b>Business Function</b>	<b>Involved Threats</b>	<b>Business Strategy / Activity Details</b>	<b>Continuity Resources Needed</b>	<b>Recovery Time Objective</b>

**ATTACHMENTS**

*A - Work and Financial Plan*

*B - Procurement Plan*

*D – Detailed Engineering Design (DED) (including facilities and equipment technical plan)*

*E – Program of Works (POW) (including construction Schedule (bar chart/s-curve) for the facilities and equipment)*

**Annex D. Livelihood Proposal & Enterprise/Business Plan Scoring and Approval Sheet for FCU/RPIU/NPMO Review Team/Committee**

<b>Livelihood Proposal &amp; Enterprise/Business Plan Scoring and Approval Sheet</b>			
<b>(Passing Grade: 70 % and above)</b>			
<b>Component: Market Strength Indicators</b>	Equivalent Score (%)	Actual Score (%)	Remarks (Passed/Failed)
<b>Market Aspect:</b>			
1. Basic assumptions, production schedules and sales projections are reliable	4		
2. Clear marketing projection and strategies (4Ps Product, Price, Promotion, and Place)	4		
4. Products’ markets are clearly defined	4		
5. Clear Marketing organization and plan	4		
6. Marketing arrangements and strategies. Ex. method of payment, terms of payment, agreements, date of delivery, frequency of delivery and quality requirements clearly analyzed	4		
<b>Competition:</b>			
Enterprise producers and competitors clearly analyzed and defined	6		
<b>TOTAL</b>	<b>30</b>		
<b>Component: Financial Soundness Indicators</b>	Equivalent Score (%)	Actual Score (%)	Remarks (Passed/Failed)
<b>Profitability of Operations:</b>			
1. Income Statements translate into money terms the production and market plans	6		
3. Financial component items defined and presented	3		
4. Variable and fixed costs of the operation well presented	2		

5. Financial Soundness: Profitability, ROI (For 2.1 – ROI, For 2.2 – ROI, NPV, IRR, BCR, Payback Period)	3		
6. Sources of capital: (LP-GOP-BG & Enterprise Partners)	1		
<b>TOTAL</b>	<b>15</b>		
<b>Component: Production and technical capacity Indicators</b>	Equivalent Score (%)	Actual Score (%)	Remarks (Passed/Failed)
1. Availability of raw material requirements in the area and neighboring areas (Nursery, Hatchery & Wild sources)	2		
2. Suitability of the proposed production sites and its ecosystems for the plant species/fingerlings/fry/juveniles, among others (Water quality parameters & Geographical Locations)	2		
3. Skills and experience of the implementers (technical know-how and support) in the project operations	2		
4. Completeness of the proposed production inputs until harvesting and marketing	1		
5. Completeness of required budget for the whole duration of project operations	1		
6. Realistic basic project assumptions	1		
7. Required capital outlays are complete	1		
8. Applicable production technology and applicable strategies in cases of emergency and natural calamities	2		
9. Realistic and conservative production cycle (Refer seasonal calendar through wind directions, monsoons and climatic conditions - typhoons)	1		
10. Required care and protection measures from destruction like illegal fishing like dynamite, poisonous substances and other related human induced calamities.	2		
<b>TOTAL</b>	<b>15</b>		
<b>Component: Organization and Management / Ownership Structure Indicators</b>	Equivalent Score (%)	Actual Score (%)	Remarks (Passed/Failed)
<b>Organization and management (10%):</b>			

Managerial Knowledge, Skills & Competencies	3		
Experience in the line of Production and Trading Project Operations	3		
Internal control measures in place	4		
<b>TOTAL</b>	<b>10</b>		
<b>Organization &amp; Management Structure (10%)</b>			
Open to broad-based equity participation			
Clear profit distribution scheme			
<ul style="list-style-type: none"> <li>Enterprise operation clearly defined that it is in the form of Project Management Team of the PG/PO with considerations of clear profit sharing towards sustainability and MPA and Coastal Waters protection measures</li> </ul>	2		
<ul style="list-style-type: none"> <li>Organizational structure and staffing with defined roles, functions and responsibilities for effective enterprise project operations</li> </ul>	2		
<ul style="list-style-type: none"> <li>The PG/PO enterprise manager have experience in the project production and enterprise operations</li> </ul>	3		
<ul style="list-style-type: none"> <li>Financial Management System and control system in place through defined roles, functions and responsibilities of the Auditor, Bookkeeper, Treasurer and Cashier.</li> </ul>	3		
<b>TOTAL</b>	<b>10</b>		
<b>Component: Stakeholder Participation and Social Benefits Indicators</b>	Equivalent Score (%)	Actual Score (%)	Remarks (Passed/Failed)
1. BGs direct beneficiaries increased income of at least 3% per year	3		
2. Sustainable community employment from peak and lean seasons with income is equivalent to minimum local wage or more	3		
3. Improved market access and demand for supply increases	3		
4. Community values of the production and enterprise increases	3		

5. Positive contribution to common social problems			
• minimized or eliminated child labor in family-based labor - children spend more time in school;	2		
• increased participation of women and other sectors;	2		
• provided opportunities for indigenous groups	2		
• encouraged communities to join the enterprise project operations	2		
<b>TOTAL</b>	<b>20</b>		
<b>Grand Total</b>	<b>100</b>		
<b>Component: Risk Rating / Indicators (Note: Passed-1%-5%) (Failed-6%-12% )</b>	<b>Equivalent Score (%)</b>	<b>Actual Score (%)</b>	<b>Remarks (Passed/Failed)</b>
Worst case scenario (5%)			
• Describe greatest risk factor	5		
Exposure to environmental risks (3%)			
• Date and cost of damage in last year	3		
New enterprise (2%)			
• Inadequate business experience	2		
Governance risks (2%)			
1. History or likelihood of failure of governance	2		
<b>TOTAL RISK</b>	<b>12</b>		

Name and Signatures of all Review Committee Members: \_\_\_\_\_

Date Completed: \_\_\_\_\_

Approved By:

Chairman of the Review Committee \_\_\_\_\_

Date: \_\_\_\_\_

## **Appendix 4: Illustrative Templates**

### ***Form 5a: Template Memorandum of Agreement between FishCoRe and Grantee***

(to be prepared by FCU)

The MOA will provide the following Grantee's functional responsibilities:

1. Implement the subproject with due diligence and efficiency and in accordance with sound technical, economic, financial, managerial, environmental, and social standards and practices satisfactory to the FishCoRe Project.
2. Maintain policies and procedures to enable the Grantee to monitor and evaluate the progress of the Grant in accordance with agreed indicators.
3. Prepare agreed financial/project status reports.
4. Provide agreed counterpart contributions in a timely manner.
5. Allow physical or documentary inspection by the FishCoRe.
6. Complete the subproject by the closing date.
7. Abide by all other terms and conditions of the Grant.

Reference: Grant Operation Manual for the Sustainable Coastal and Marine Fisheries Project (June 2021)

**E. Guide Notes: Please refer Sample MEMORANDUM OF AGREEMENT (MOA) below.**

## MEMORANDUM OF AGREEMENT

KNOW ALL MEN BY THESE PRESENTS:

This **MEMORANDUM OF AGREEMENT** is made and entered into by and between:

The **DEPARTMENT OF AGRICULTURE - BUREAU OF FISHERIES AND AQUATIC RESOURCES**, a national government agency created under the laws of the Republic of the Philippines, with office address at \_\_\_\_\_, \_\_\_\_\_ City, Philippines, represented herein by BFAR Director and hereinafter referred to as **DA-BFAR**.

– and –

The FISHERMEN ASSOCIATION/Coops/Private Partners, a proponent beneficiary group with the principal address at Sitio, Barangay, Municipality, Province, Philippines, represented herein by its President Mr./Mrs. \_\_\_\_\_, and hereinafter referred to as Fishermen Association.

Hereinafter collectively referred to as the **“PARTIES.”**

– WITNESSETH –

**WHEREAS**, the **DA-BFAR**, a government agency primarily mandated to ensure the development, management, and conservation of the country’s fisheries and aquatic resources by virtue of the Republic Act 8550, also known as the “Philippine Fisheries Code of 1998,” as amended by the Republic Act 10654;

**WHEREAS**, the **Philippine Fisheries and Coastal Resiliency Project** of the **DA-BFAR**, also known as the **FishCoRe Project** is a seven-year World Bank funded project under the **Department of Agriculture - Bureau of Fisheries and Aquatic Resources**, that aims to improve the management of the country’s fishery resources and provide income-earning opportunities to fisher

organizations and expand the overall value of the sector in select Fisheries Management Areas (FMAs).

**WHEREAS**, the Modern and Resilient Livelihood Investments Component of the FishCoRe Project, also known as the **MARLIN Component**, through its **Matching Grants Program (MGP) and corresponding FMA Coordinating Units (FCUs)**, aims to provide livelihood grants with corresponding capacity building support to eligible beneficiaries within the eleven (11) regions (i.e., 1, 3, 4A, 4B, NCR, CAR, 7, 8, 9, 10 and Caraga) comprising the Fisheries Management Area (FMA) 6 and 9.

**WHEREAS**, the **FISHERMEN ASSOCIATION/Coops/Private Partners** manifested its interest to participate in the Project, and forwarded to the BFAR-FishCoRe pertinent documentary requirements for its proposed sub project;

**WHEREAS**, the **BFAR-FishCoRe Grant Implementation Team (GIT)** Region \_\_\_\_\_ approved the proposed Livelihood Subproject \_\_\_\_\_ in its **Resolution No. \_\_\_\_\_ dated \_\_\_\_\_ 2024;**

**WHEREAS**, the **FishCoRe National Project Management Office – FishCoRe National Project Manager** has issued a **No Objection Letter (NOL)** on \_\_\_\_\_, 2024, which is the basis of this Memorandum of Agreement (MOA);

**WHEREAS**, the **FISHERMEN ASSOCIATION/Coops/Private Partners** and the BFAR-FishCoRe committed to perform actions as set out in this Memorandum of Agreement (MOA) hereinafter referred to as the Agreement to ensure the successful implementation of the subproject, and thus achieve the Project’s desired objectives;

**WHEREAS**, the **FISHERMEN ASSOCIATION/Coops/Private Partners** through **Resolution No. \_\_\_\_\_ dated \_\_\_\_\_, 2024** authorized its PRESIDENT to sign this Agreement and commit the FISHERMEN ASSOCIATION to the provisions therein;

**NOW, THEREFORE**, the foregoing premises considered, and the mutual covenant and stipulations hereinafter set forth, the PARTIES hereby agree to enter into this Memorandum of Agreement (MOA) subject to the following terms and conditions:

## **Article I. Purpose of Agreement**

Sec 1.1 This Memorandum of Agreement (MOA) sets out the commitments of the DA-Bureau of Fisheries and Aquatic Resources (BFAR) under the Philippines Fishery and Coastal Resilience Project (FishCoRe) and the Subproject Grantee for implementing the Subproject (specify title \_\_\_\_\_).

## **Article II Subproject Description and Cost Estimates**

Sec. 2.1 The subproject covered by this Agreement is the (title) and described in Attachment 1 Subproject Description, hereinafter referred to as the "Subproject".

Sec. 2.2 The Subproject cost is estimated at (specify total cost in PHP). The cost breakdown and sources of funds are set forth in Attachment 2 Subproject Costs and Financing.

Sec. 2.03 The Fisherfolk/ Fishers Organization counterpart will be cash or in-kind or mix-cash and in-kind for Window 2 SC 2.2. (Note: However, Fishers Organization is not required for a counterpart under the Grant Window 1 SC 2.1).

Sec. 2.4 Any increase or decrease in cost but not beyond the approved total subproject cost shall follow the approved financing mix and does not require an amendment to MOA.

Sec. 2.5 In case the total subproject cost exceeds the amount (of the supplies, equipment, and materials) stated in the MOA, the Grantee will cover the additional cost.

## **Article III – Subproject Account and Records**

Sec. 3.1 The Grantee shall:

- a) Upon signing of this MOA, establish and maintain a Subproject Trust Account for:
  - (i) DA-BFAR (Grant) for the approved Subproject; and
  - (ii) Livelihood/Enterprise Grantee's in-cash counterpart funds. (Note: Fisherfolk/ farmers Organization counterpart will be in-kind or mix-cash as applicable for W2 SC 2.2 but no counterpart for the W1 2.1 grantee).
- b) Maintain a subsidiary ledger for the Subproject Trust Account for proper accounting, record-keeping, and monitoring of transactions, and to facilitate the preparation of financial reports.
- c) Maintain a financial management system and prepare financial statements in a manner adequate to reflect its operations and financial condition, including Subproject expenditures.

d) Establish and maintain separate accounts and books for the Subproject, reflecting all expenditures and withdrawals requested and received from DA-BFAR on the basis of the (SRE). Maintain records adequate to reflect the operations, resources, and expenditures.

d) Disburse funds in accordance with the Subproject components and activities for which the Grant was provided as presented in Attachments 1 –as in-kind and/ or mix-cash for W2 SC 2.2).

e) Retain, until one (1) year after Subproject Closing Date, all records, including contracts, orders, invoices, bills, and receipts evidencing expenditures and payments on the accounts of the Subproject, and enable the DA-BFAR’s representatives to examine such records.

f) Furnish the FCU such other information concerning the Subproject Trust Account, records and expenditures and the audit thereof as the FCU may reasonably request from time to time.

#### **Article IV – Subproject Implementation Responsibilities**

Sec. 4.1 The Grantee shall start the implementation of the Subproject, based on Attachment 3 Subproject Implementation Plan immediately from the date of the effectivity of this Agreement.

Sec 4.2 Upon signing of this Agreement and establishment of the Subproject Trust Account, in compliance with the additional conditions referred to in Section 9.02 of this Agreement, DA-BFAR will release Tranche 1 of the Grant to the Subproject Trust Account in accordance with Attachment 3 Schedule of Release and Delivery of Supplies and Materials.

Sec. 4.3 The Grantee shall:

a) Carry out the Subproject with due diligence and efficiency.

b) Disburse payments to contractors/creditors in accordance with Attachment 3 to this Agreement.

c) Provide salaries and wages to the workers/members of the subproject livelihood/enterprise operations.

d) Provide and consider the livelihood/enterprise profit or surplus sharing to the workers/members.

d) Submit monthly, quarterly, and if appropriate, annual, financial, and physical progress reports regularly to FCU copy furnished RPIU on or before due dates.

Sec. 4.4 DA-BFAR and/or the FCU shall:

a) Monitor, supervise, and evaluate the Grantee in the Subproject implementation and compliance with this Agreement.

b) Review procurement of goods, services, and equipment as well as the works/outputs of consultants/ contractors/suppliers.

c) Ensure that the Subproject is implemented in accordance with the provisions of this Agreement, relevant laws, rules and regulations, and professional and technical standards.

### **Article V – Monitoring, Reporting and Evaluation**

Sec. 5.1 The Grantee shall comply with FishCoRe guidelines.

Sec. 5.2 FCU shall undertake overall monitoring and evaluation of the performance of the Grantee in carrying out the tasks, responsibilities and obligations set forth in this Agreement.

Sec. 5.3 The Grantee shall allow the FCU to monitor, examine all goods, facilities, sites, and equipment included in the Subproject, the operation thereof, and any relevant records and documents. The findings of FCU shall be forwarded to the concerned RPIUs, copies of which should be furnished to the Grantee.

Sec. 5.4 Status reports such as Statement of Expenditures (SRE), Statement of Sources and Application of Funds (SSAF), financial statements (Trial Balance, Cash Flow Statement and Bank Reconciliation Statement) and Monthly Progress Report shall be forwarded by the Grantee to the FCU on or before the 5th day of the ensuing month in such detail as may reasonably be requested. (Care-off RPIUs and FCUs)

Sec. 5.5 The Grantee shall:

- a) Maintain policies and procedures adequate to enable it to monitor and evaluate in accordance with performance indicators specified in the Subproject Description (Attachment 1).
- b) Prepare a semi-annual report summarizing the results of monitoring and evaluation on Subproject implementation progress during the preceding semester.

Sec. 5.6 The Grantee shall allow the FCU and RPIU to conduct audit inspections and review of financial accounting records.

Sec. 5.7 In the event that the performance of the Grantee falls short of Subproject objectives and targets, the Grantee shall promptly notify the FCU in writing so that necessary adjustments can be made.

### **Article VI – Other Covenants**

Sec. 5.1 All national and local taxes, duties, fees, levies, and other government impositions on the Subproject shall be for the account of the Grantee.

Sec. 5.2 The Grantee shall be responsible for bank charges and other expenses associated with remittances to and from the Subproject Trust Account established by the Grantee.

Sec. 5.3 The FCU/RPIU shall maintain a monitoring and record system reflecting all the funds released and the expenditures made for the execution of the Subproject.

Sec. 5.4 The Grantee shall submit the Subproject Completion Report not later than six (6) months after the last payment is made by DA-BFAR.

Sec. 5.5 Upon the issuance of the Certificate of Completion, DA-BFAR shall turn-over the structures, facilities and equipment provided under the Subproject to the Grantee which shall operate and maintain the same.

Sec. 5.6 By mutual consent, this Agreement or any part thereof may be changed or supplemented for the purpose of effective implementation and management of the Subproject. All other parties concerned shall be notified/informed of such changes, revisions, and amendments.

Sec 5.7 All disputes or controversies between the parties arising out of or in connection with this Agreement which is not settled between the parties shall be elevated initially to the DA-BFAR Office of the Director.

Sec. 5.8 Notarial fees and expenses incidental to the processing of this document shall be chargeable to the Grantee.

**Article VII – Remedies**

Sec. 6.1 DA-BFAR shall suspend releases of the Grant if any of the following occurs:

- a) The Grantee has no or insufficient equity for the Subproject.
- b) Unsatisfactory performance of the Grantee in the implementation of the Subproject.
- c) Extraordinary conditions such as force majeure, fortuitous events, and the like which shall make it necessary to suspend the implementation of the Subproject.
- d) Non-compliance or violation of any provisions of this Agreement.
- e) Corrupt or fraudulent practices as provided for under R.A. 3019 or otherwise known as Anti-Graft and Corrupt practices Act.

**Article VIII – Effectivity**

Sec. 7.1 This Agreement shall become effective upon signing of the parties concerned.

\_\_\_\_\_  
FMGP Authority

\_\_\_\_\_  
Grantee’s Authorized Representative

Witnesses:  
  
\_\_\_\_\_

\_\_\_\_\_  
  
\_\_\_\_\_

**ACKNOWLEDGMENT**

REPUBLIC OF THE PHILIPPINES)

\_\_\_\_\_ ) S.S.

Before me this \_\_\_\_\_ day of \_\_\_\_\_ at \_\_\_\_\_ personally appeared:

Name	Competent Evidence of	Place	and
Date Issued			
	Identity		

\_\_\_\_\_  
\_\_\_\_\_

Known to me and to me known to be the same persons who executed the foregoing agreement and they acknowledged to be the same is of their own free and voluntary act and deed and those of the offices they represent.

WITNESS MY HAND AND SEAL on the date and at the place first written above.

NOTARY PUBLIC

Doc. No. \_\_\_\_\_

Page No. \_\_\_\_\_

Book No. \_\_\_\_\_

Series of \_\_\_\_\_

**ATTACHMENT SCHEDULES FOR THE MEMORANDUM OF AGREEMENT**

**For details, please refer to the attached Livelihood Project Proposal**

**The hereunder presented schedules are described in the MOA for references for the Subproject Implementation.**

**1. Subproject Description, Costs and Financing**

1) Title					
2) Objective (subproject outcome based on final Logframe)					
3) Brief description of proposed subproject (Add space as needed.)					
a. Location (Province, municipality, barangay)					
b. Period of implementation (MM/YY until MM/YY)					
c. Types and number of beneficiaries (e.g., fisherfolk, fish workers, women, youth, etc.)					
d. Major components (e.g., training, equipment, working capital, etc.)					
4) Performance milestones/ indicators (by subproject component; refer to final Logframe)					
	Components	Indicators	Scheduled completion		
1)					
2)					
3)					
	(add rows as needed)				
5) Cost and Financing (PhP)					
	Items	Breakdown and Sources			Total Cost
		Grant	Counterpart	Others Sources*	
<b>A. Grant-funded</b>					
	1. Construction or rehabilitation of livelihood facilities	PhP xxx			PhP xxx
	2. Purchase or repair of livelihood tools and equipment				
	3. Working capital (livelihood inputs, raw materials, fuel, communication, etc.)				
	4. Others (please specify)				
	Sub-total				
<b>B. Counterpart-funded</b>					
	1. Land				
	2. Management personnel/ labor				
	3. Others (please specify)				
	Sub-total				

<b>Grand total</b>	PhP xxx	PhP xxx	PhP xxx	PhP xxx

\* "Other sources" may include, for example, LGUs, NGOs, private financiers, etc.

## 2. Subproject Implementation Plan

Subproject Title

Activities Organized by SP Component	Implementation Schedule								
	M1	M2	M3	M4	M5	M6	Etc.		
<b>Subproject Component 1</b>									
Activity a									
Activity b									
Activity n...									
<b>Subproject Component 2</b>									
Activity a									
Activity b									
Activity n...									
<b>Subproject Component n...</b>									
Activity a									
Activity b									
Activity n...									

M = month

Note: Component listing under this table refers to subproject components to be proposed by the beneficiaries.

**Attachment 1-3: Indicative Lists of Eligible Subprojects**

**Attachment 1: Indicative Fishers' Livelihood Diversification and Development Subprojects for FMAs 6 and 9**

FMA	Subprojects	Year to Implement	Commodities	Region	Province/City	Municipalities
6, 9	Polyculture of seaweeds (diversify the species) with shellfish (clams, cockles, mussels) in deep sea floating lines**	Y2	Clams, cockles, mussels, seaweeds	1, 3, 9, 10	Zambales, Pangasinan, Misamis Oriental, Zamboanga del Norte	Pangasinan: Bolinao, Anda Zambales: Palauig, Masiloc Zambo del Norte: Dapitan, Rizal, Sibutad Misamis Oriental: Balingasag
6	Offshore culture of green mussels ( <i>Perna viridis</i> ) hanging in large rafts**	Y3	Mussels	1, 3, 4A, NCR	Zambales, Bataan, Pangasinan, Cavite	Pangasinan: Anda, Bolinao Zambales: Palauig and Masinloc Bataan: Abucay, Samal, Orion, Limay, Pilar Cavite: Bacoor, Cavite City Metro Manila: Navotas, Las Pinas, Paranaque
6, 9	Small-scale hatchery production for stock enhancement of highly exploited marine species for captive aquaculture** Tenure:	Y3	Siganid, grouper	1, 7, 8	Pangasinan, Bohol	Pangasinan: Infanta So. Leyte: Tomas Oppus Bohol: Ubay, Candijay, Pres. Carlos P. Garcia (Pitogo), Mabini
6, 9	Community-based hatchery production of sea cucumber, abalone, sea urchin, angel wings for stock enhancement**	Y3	Sea cucumber, abalone, sea urchin, angel wings	1, 3, 7, 8, 9, 10	Zambales, Pangasinan, Maasin, Bohol, Camiguin, Misamis Oriental, Misamis Occidental	Zambales: Masinloc Pangasinan: Bolinao Southern Leyte: Sogod, Maasin

FMA	Subprojects	Year to Implement	Commodities	Region	Province/City	Municipalities
	Tenure:					Bohol: (Candijay, Pres. Carlos P. Garcia (Pitogo), Mabini) Camiguin: Sagay Misamis Oriental: Naawan Misamis Occidental: Sinacaban, Oroquieta  Zamboanga del Norte: Rizal
6, 9	Aquasilviculture: Growout of mangrove crab in mangrove areas**	Y2	Mangrove Crab	1, 3, 7, 9, 10, 13	Pangasinan, Ilocos Sur, Zambales, Pampanga, Zamboanga del Sur, Zamboanga del Norte, Misamis Occidental, , Lanao del Norte, Agusan del Norte	<u>Ilocos Sur</u> : Cabugao <u>Pangasinan</u> : Anda, Bani, Dasol, Labrador <u>Zambales</u> : Sta. Cruz, Masinloc <u>Pampanga</u> : Sasmoan, Macabebe, Masantol <u>Bataan</u> : Orani, Orion, Hermosa <u>Bohol</u> : Candijay and Ubay <u>Misamis Occidental</u> : Tangub City, Ozamis City <u>Lanao del Norte</u> : Lala, Kolambogan, Kapatagan, <u>Zamboanga del Sur</u> : Aurora, Tambulig <u>Zamboanga del Norte</u> : Dapitan <u>Agusan del Norte</u> : Buenavista, Butuan city, Magallanes and Cabadbaran city
9	Development of low-quality catch into marketable products**	Y2	Sardines, roundscad	9, 10, 13	Zamboanga del Norte, Agusan del Norte, Misamis Oriental, Misamis Occidental	<u>Zamboanga del Norte</u> : Dapitan <u>Agusan del Norte</u> : Buenavista, Tuba, Nasipit <u>Misamis Oriental</u> : Balingasag <u>Misamis Occidental</u> : Baliangao, Sapang Dalaga
9	Technology roll-out program to produce sea cucumber in Mindanao**	Y3	Sea cucumber	10	Misamis Oriental (MSU Naawan), Misamis Occidental, Camiguin	<u>Misamis Oriental</u> : Naawan), <u>Misamis Occidental</u> : Oroquieta, Lopez Jaena, Baliangao, <u>Camiguin</u> : Sagay

FMA	Subprojects	Year to Implement	Commodities	Region	Province/City	Municipalities
6	Docking facility or HDPE Plastic/Floating Pontoon Platform/Wharf near CFLC***	Y3		4A	Cavite, Occidental Mindoro	<u>Cavite:</u> Naic, Tanza, Bacoor  <u>Occidental Mindoro:</u> Lubang, Looc
6, 9	Development of storm shelters for municipal fishing boats***	Y3		1, 3, NCR, 4A, 4B, 7, 8, 9, 10, 13	Ilocos Sur, La Union, Pangasinan, Zambales, Bataan, Bulacan, Cavite, Metro Manila Mindoro, Bohol, Camiguin, Southern Leyte, Zamboanga del Norte, Agusan del Norte Misamis Oriental Surigao del Norte	1 per province (TBD)
6, 9	Scaling up of mangrove rehabilitation (R2R) and management of crablets***	Y3	Mangrove crab	TBD	TBD	For evaluation. Subject to results of 1.3.
6, 9	Scaling up of conversion of trawlers into bottom set longlines***	Y3	To be evaluated under SC 1.3	TBD	TBD	For evaluation. Subject to results of 1.3.

Legend: \*public-private partnership; \*\*public-private community partnership; \*\*\*public; TBD – to be determined

Source: GOP approved Feasibility Study.

**Attachment 2: Indicative Aquaculture and Fisheries Enterprise Development Subprojects Development in Aqua-Industrial Business Corridors in FMA 6**

FMA	Subproject	Commodity	Region	Province/ City	Partner	Tenurial (Presence/ Absence)	Years to Implement
<b>Southern Luzon ABC: Taguig Hub for Freshwater Aquaculture (Base: Taguig)</b>							
6	Mobile diagnostic fish health laboratory***	All commodities	NCR	Taguig	Covering NCR Area (Manila Bay and Laguna Lake Area)		3 <sup>rd</sup> 3 <sup>rd</sup> 5 <sup>th</sup>
6	Tilapia hatchery and nursery enterprise development *** Additional 12 modules HDPE nursery cages  Additional request of service vehicle (Van and SUV)	Tilapia	NCR	Brgy. Hagonoy, Taguig City	Fisherfolk Assn./LGU  NOTE: cross-ref 2.3 Civil Works <b>New:</b> Building for BFAR-NCR Technology Outreach Station and Training Center, and Freshwater Multi-Species Hatchery with equipment's, tanks, hybrid power source (from electric distribution company and solar power energy), and water supply	Tenurial status: with 10-year MOA with LLDA (usufruct)	5 <sup>th</sup>
6	Grow-out culture of milkfish and tilapia in cages**	Milkfish and tilapia	NCR	Muntinlupa LGU Expansion of current area))	Fisherfolk Assn./LGU (In partnership with CFARMC and LGU of Muntinlupa City)	With tenurial instrument	3rd - 5th
6	Demonstration of a depuration system and value-added products for mussels in close partnership with BFAR and SUCs**	Mussels	NCR	Paranaque	Fisherfolk Assn./LGU	With tenurial instrument	3rd - 4th

FMA	Subproject	Commodity	Region	Province/ City	Partner	Tenurial (Presence/ Absence)	Years to Implement
6	Fish processing with value-adding packaging and labeling**	Tilapia, milkfish, shellfish	NCR	Taguig	Brgy. Hagonoy, Taguig City	With tenurial instrument 10-year MOA with LLDA (usufruct)	5 <sup>th</sup> year
				Parañaque	Fisherfolk Assn/LGU		3rd
<b>Southern Luzon ABC: Batangas Hub (Batangas City)</b>							
6	Satellite multispecies marine fish hatcheries (2 hatcheries/site) **	Milkfish, siganid, and pompano	4A	Cavite: Tanza Cavite City	Fisherfolk Assn	With tenurial instrument	3rd - 4th
6	Mobile diagnostic fish health laboratory***	All commodities	4A	Cavite (PFO)			3rd - 5th
6	Offshore mariculture in climate-resilient cages with solar power***	Milkfish and shellfish	MIMAR OPA	Occidental Mindoro Lubang Looc	Fisherfolk Assn/LGU	With tenurial instrument	3rd - 4th
6	Postharvest handling and fish/ shellfish processing with value-adding packaging and labeling**	Seaweeds , milkfish, oyster mussel	MIMAR OPA	Lubang	Fisherfolk Assn/LGU	With tenurial instrument	4 <sup>th</sup> year
6	Postharvest handling and fish/ shellfish processing with value-adding packaging and labeling**	Tilapia, milkfish, sardines, and shellfish	4A	Batangas City	Fisherfolk Assn/LGU	With tenurial instrument	3rd
<b>Central Luzon ABC (Base: Masinloc, Zambales)</b>							
6	New IBH with private sector partner**	Milkfish	3	Bgy. Bamban, Masinloc Zambales	Feedmix Specialist (in-kind)	With tenurial instrument	3rd
6	Satellite multi-species marine fish hatcheries (2 hatcheries/site) **	Milkfish, siganid, and	3	Zambales: Bgy. Sto. Nino San Felipe	Golden Ocean Hatchery	With tenurial instrument	3rd - 4th

FMA	Subproject	Commodity	Region	Province/ City	Partner	Tenurial (Presence/ Absence)	Years to Implement
		pompano		Iba Bataan: Sitio Looc, Bgy. Bonaong, Bagac	CDO  Fisherfolk Organization/LGU	-do-	
6	Production of quality  tilapia fingerlings in BFAR Tilapia Breeding Center in Muñoz, Nueva Ecija for broodstock development and distribution to accredited tilapia hatcheries***	Tilapia	3	Science City of  Munoz, Nueva Ecija		n/a	2nd  - 5th
6	Nursery farms for advance fingerling production**	Milkfish and tilapia	3	Zambales: (Milkfish) Masinloc  Sta. Cruz  Bataan: Abucay  Bulacan: Hagonoy  Paombong  Pampanga:	Individual Operators/Cooperators (3 to 5)     Individual Operators/Cooperators (3 to 5) Hagonoy Fisher- farmers/Producers Cooperative  Individual Operators/Cooperators (3 to 5)	With tenurial instrument	2nd  - 5th

FMA	Subproject	Commodity	Region	Province/ City	Partner	Tenurial (Presence/ Absence)	Years to Implement
				Sasmuan	Individual Operators/Cooperators (3 to 5) Federation of Sasmuan of Fisherfolk Assn.		
				Masantol	Individual Operators/Cooperators (3 to 5) Organized Fisherfolk		
				Guagua	Central Luzon Reg. Tilapia Hatchery Association		
6	Establishment of quarantine facility for tiger prawn/shrimp breeders caught from the wild while undergoing laboratory tests for pathogenic diseases**	Tiger prawn/ shrimp	3	Bgy. Sto Nino, San Felipe Zambales	Golden Ocean Hatchery, Organized Shrimp Hatchery Operators	With Tenurial Instrument	3rd - 4th
6	Polyculture of aquaculture species**	Milkfish, tilapia, crab, shrimps, ulang	3	<b>Bataan:</b> Hermosa Orani Odeon Abucay Balanga Pilar Samal <b>Bulacan:</b> Paombong Malolos Bulakan  <b>Pampanga:</b> Masantol	Individual Operators and/or Fisherfolk Associations  -do-  -do-	With Tenurial Instrument	3rd - 4th

FMA	Subproject	Commodity	Region	Province/ City	Partner	Tenurial (Presence/ Absence)	Years to Implement
				Lubao Sasmuan Macabebe Guagua			
6	Seaweed ( <i>Kappaphycus</i> ) farming by IP communities**	Seaweed	3	<b>Bataan:</b> Bgy. Mabayo, Subic, Morong (outside of SBMA)  Bgy. Bian, Mariveles	Organized IP (Aeta)	With NCIP partnership and LGU	2nd
6	Shellfish (oyster and mussel) culture in coastal communities with demo farm for oyster culture using raft or longline method) **	Shellfish	3	<b>Bulacan:</b> (oyster) Hagonoy Malolos Paombong  <b>Bataan:</b> (Mussel) Orani Samal Abucay Balanga City Pilar Limay Orion  <b>Zambales:</b> Masinloc Palauig	Individual Operators and/or Fisherfolk Associations  Individual Operators and/or Fisherfolk Associations  Individual Operators and/or Fisherfolk Associations	With Tenurial Instrument	2nd - 3rd
6	Seaweed ( <i>Gracilaria</i> sp.) production in brackishwater ponds**	Seaweeds	3	<b>Bulacan:</b> Paombong Hagonoy  <b>Pampanga:</b> Sasmuan	Individual Operators and/or Fisherfolk Associations  Individual Operators and/or Fisherfolk Associations		2nd - 3rd

FMA	Subproject	Commodity	Region	Province/ City	Partner	Tenurial (Presence/ Absence)	Years to Implement
6	Freshwater aquafarm park with PPP-run freshwater hatchery and nursery**	Tilapia	3	<b>Zambales:</b> Bgy. Looc, Castillejos (TOS)  Bgy. Uacon, Candelaria Olongapo	Individual Operators and/or Fisherfolk Associations		3rd - 5th
6	Fish postharvest handling and processing with value-adding packaging and labeling**	Seaweeds, tilapia, milkfish, oyster, and tiger prawn and other marine species e.g., blue swimming crab, sardines; (NB: Cross ref 2.3 With infra support)	3	<b>Zambales</b> San Narciso, San Antonio Palauig Cabangan <b>Bataan:</b> Orion Balanga Bagac Morong  <b>Pampanga:</b> Masantol  <b>Bulacan:</b> Paombong Obando	Individual Operator and/or Fisherfolk Associations/LGU (convenor/permits; with initial negotiations) Individual Operator and/or Fisherfolk Organizations/COOP  -do-  -do-		2nd -3rd
6	Fish transport using reefer vans and area for plug-in type reefer vans for fresh and processed fish and fishery products**	Tilapia, milkfish, oyster, and tiger prawn	3	<b>Zambales:</b> San Antonio  <b>Bataan:</b> Orion Morong Balanga <b>Pampanga:</b> Guagua Lubao	-do-  -do-  -do-		3rd - 4th

FMA	Subproject	Commodity	Region	Province/ City	Partner	Tenurial (Presence/ Absence)	Years to Implement
				<b>Bulacan:</b> Paombong Hagonoy	-do-		
6	Mobile diagnostic fish health laboratory***	All commodities	3	Botolan, Zambales Orion, Bataan Sn. Fernando Pampanga PFO Hagonoy, Bulacan	-do- -do- -do- -do-		3rd - 5th
<b>Northern Luzon ABC (Base: Sual, Pangasinan)</b>							
6	Nursery farms for advanced fingerling production**	Milkfish and tilapia	1	<b>Ilocos Norte:</b> Paoay and Laoag <b>Ilocos Sur:</b> Vigan and San Vicente <b>La Union:</b> Santo Tomas, Aringay, Agoo <b>Pangasinan:</b> Anda, Bani, Alaminos  Civil works: Earth work Rehabilitation: Dikes, canal, and water supply	Organized Fisherfolk Groups/COOP for all Provinces	With tenurial instrument	1st - Social preparation 2 <sup>nd</sup> - La Union 3 <sup>rd</sup> - Pangasinan 4 <sup>th</sup> - Ilocos Sur 5 <sup>th</sup> - Ilocos Norte
6	Satellite multi-species marine fish hatcheries with natural food facility for secondary culture of micro-algae (2 hatcheries/site)**	Milkfish, siganid, and pompano	1	<b>Pangasinan:</b> Bolinao, Sual (Clean water), Infanta <b>La Union:</b> Balaoan with SUCs (DMMMSU)	PLGU/ Private Sector  SUCs	With tenurial instrument	1 <sup>st</sup> -2 <sup>nd</sup> - Business Planning 3 <sup>rd</sup> - La Union 4 <sup>th</sup> -Pangasinan
				Civil Works <b>New:</b> Building for			

FMA	Subproject	Commodity	Region	Province/ City	Partner	Tenurial (Presence/ Absence)	Years to Implement
				office and laboratory with equipment, tanks, power source, water supply			
6	Mobile diagnostic fish health laboratory***	All commodities	1	Ilocos Norte, Ilocos Sur, La Union, Pangasinan		n/a	Year 3: Procurement (All province)
6	Upgrading of BFAR Integrated Lab with Eliza for residue analysis	All commodities	1	AB Fernandez West, Dagupan City	BFAR	With tenurial instrument	4 <sup>th</sup> year
6	Provision of Elf Van	All commodities	1	La Union (RFO)	n/a	n/a	2 <sup>nd</sup> year
6	Upgrading and expansion of BFAR multispecies marine IBH to include natural food production***	Milkfish, siganid, and pompano	1	<b>Pangasinan:</b> Lucap, Alaminos  Rehabilitation: additional tanks, HDPE broodstocks cages, sea water supply, additional water pumps and blower, equipment		With tenurial instrument (government property)	2nd
6	BFAR-LGU/private sector demonstration farm for GMP, tilapia in ponds or lake/river using climate-resilient HDPE cages**	Tilapia, Milkfish	1	<b>Ilocos Sur:</b> San Ildefonso (with aquapark, mariculture in fresh water), San Vicente (community) <b>Pangasinan:</b> Bugallon,	Organized fisherfolk/ LGU  Organized Fisherfolk LGU	With tenurial instrument	Year 3

FMA	Subproject	Commodity	Region	Province/ City	Partner	Tenurial (Presence/ Absence)	Years to Implement
				Lingayen, Labrador, Infanta, Binmaley  (No civil works) Aquapark: secure ECC from DENR			
6	Offshore mariculture in climate- resilient cages with solar power**	Milkfish and shellfish	1	<b>Ilocos Sur:</b> Narvacan <b>La Union:</b> Bacnotan <b>Pangasinan:</b> Sual  Installation of solar panels	Organized fisherfolk		3rd - 4th  3- Pangasinan 4- Ilocos Sur and La Union
6	Postharvest of raw dried seaweeds by providing solar and mechanical dryer and storage**	Seaweeds	1	<b>Pangasinan:</b> San Fabian, Burgos, Dasol  La Union: Rosario, Balaoan  NB: cross ref only for 2.3 With construction New: storage	Organized fisherfolk	With tenurial instrument	3rd
6	Computer vision-based fish sorter (for sorting of size and weight of fish): Association of municipal/ commercial fishers**	Milkfish, shellfish, and tilapia	1	<del>Ilocos Norte:</del> <b>Ilocos Sur:</b> Narvacan <b>La Union:</b> Bacnotan  <b>Pangasinan:</b> Sual	Organized Fisherfolk Organization		3rd
6	Fish processing with value-adding packaging and labeling including	Tilapia, milkfish, and shellfish	1	<b>La Union:</b> Santo Tomas (going for the same	Organized fisherfolk	With tenurial instrument	3rd - 4th

FMA	Subproject	Commodity	Region	Province/ City	Partner	Tenurial (Presence/ Absence)	Years to Implement
	reefer van (1 each province) **			arrangement as Sual within the municipal port) <b>Pangasinan:</b> Sual, (prospective location is the existing expo municipal wharf)  With Civil Works New: building and appropriate equipment, ongoing land negotiation with LGU and private sector/coop, licenses/ requirements to operate (FDA, LGU, DTI, BFAR), nutritional analysis (DOST, FDC)			3- Pangasinan 4-La Union
<b>Abra Hub</b>							
6	Community-based intensive tilapia hatchery and nursery**	Tilapia	CAR	Abra: Tubo, Lagangilang, Lagayan  With civil works New: water supply, power source, ponds, structure for	Organized fisherfolk/ LGU/ SUCs	Lagangilang: Abra State University Tubo: LGU (MAO) will provide Lagayan: LGU	2nd - 5th

FMA	Subproject	Commodity	Region	Province/ City	Partner	Tenurial (Presence/ Absence)	Years to Implement
				mini laboratory for fish health and natural food (with equipment), other aquaculture structure, water pump		(MAO) will provide	
6	Community-based techno demo on livelihood projects (pond culture, integrated farming (rice-fish), and fish cage culture) **	Tilapia and milkfish	CAR	<p>Abra: San Quintin, Pidigan, Langiden, Bangued, La Paz, San Juan, Tineg, Lagayan, Dolores, Tayum, Lagangilang, Bucay, Manabo, Tubo, Villavissosa, Luba</p> <p>New: Fish Cage (Bamboo) Community counterpart *tied to 1.3 ridge to reef</p>	Organized fisherfolk/ LGU	With tenurial instrument	2nd – 5th
6	Upgrading of CFLC with postharvest equipment***		CAR	<p>Abra: Bangued existing)</p> <p>Equipment: ice making machine with shed and accessories, stainless tables, blasts freezers, weighing scales, and processing</p>	Organized fisherfolk/ LGU	With tenurial instrument	3rd

FMA	Subproject	Commodity	Region	Province/ City	Partner	Tenurial (Presence/ Absence)	Years to Implement
				materials for fish deboning, drying, smoking, and marinating.  With civil works Civil works for the expansion and upgrading of the CFLC to include training hall and processing area			
6	Provision of Elf vehicle (transport of inputs)	Tilapia	CAR	Bangued, Abra	PFO	n/a	2 <sup>nd</sup> year

\* PPP: Public-Private Partnership; \*\* PPCP: Public-Private-Community Partnership

Note: As indicated in Box 5 in Section 3.1 above, PPPs and PPCPs are larger-scale investments not covered by this Grants Manual.

Source: GOP approved Feasibility Study.

**Attachment 3: Indicative Aquaculture and Fisheries Enterprise Development Subprojects Development of Aqua-Industrial Business Corridors in FMA 9**

FMA	Subproject	Commodity	Region	Province/City	Partner	Tenurial Instrument	Year to Implement
<b>Northwestern Mindanao ABC: Based Dapitan (Hub for Research Innovation Extension and Support Services Facilitation covering Zamboanga del Sur, Zamboanga del Norte, Misamis Occidental, and Lanao del Norte</b>							
9	Seaweed nursery and growout**	Seaweeds	10, 9	<b>Misamis Occidental:</b> Ozamis <b>Lanao del Norte:</b> Kulambugan, Tubod  <b>Zamboanga del Norte</b> Sibutad Rizal Dapitan	Growout: organized fisherfolk association  Nursery: fisherfolk association/ Cooperative	With tenurial instrument	3rd
9	Integrated multi-trophic aquaculture (IMTA)** (Mariculture Park) (Culture of milkfish in marine cages mixed with high-value fish such as pompano or <i>siganid</i> );		9, 10	<b>Zamboanga del Norte:</b> Sibutad Rizal Dapitan <b>Misamis Occidental:</b> Lopez Jaena <b>Lanao del Norte:</b> Kulambugan	Operators in Mariculture Park (Private Sector)  20 operators	n/a	
9	Establishment of regional integrated fisheries laboratory***	Shrimps, prawns, and milkfish	9	Zamboanga del Norte: (new cross ref for 2.3)  Dapitan		With tenurial instrument	3rd – Zambo
9	Primary trading/marketing and distribution of fresh fish and processed fishery products**	Sardines and other fishery products	9	<b>Misamis Occidental:</b> Oroquieta City, Baliangao, Tangub City, <b>Lanao del Norte:</b> SND, Linamon, Maigo, Tubod, Kapatagan	Fisherfolk Organizations/ Associations		3rd - 4th

FMA	Subproject	Commodity	Region	Province/City	Partner	Tenurial Instrument	Year to Implement
				<b>Zamboanga del Norte:</b> Dapitan (new)  NOTE: related to 2.3 only for cross referencing data) Misamis Occidental: docking area Lanao del Norte: docking area and equipment Agusan del Norte			
9	Provision of climate-resilient technologies, movable and durable solar dryers, and storage house for upgrading of dried seaweed production**	Seaweeds	10	<b>Camiguin:</b> Mahinog (new) <b>Misamis Occidental:</b> (storage) Ozamis <b>Lanao del Norte:</b> Tubod, Kulambugan  <b>Zamboanga del Norte:</b>  Sibutad Rizal Dapitan  (Storage: Cross Ref data with 2.3)	Organized Fisherfolk Association	To be validated	3rd
9	Improvement of BFAR Technology Outreach Station: subdivision of existing larger growout ponds to smaller nursery ponds including establishment of tertiary gates; milkfish nursery for fingerlings production; saline tilapia hatchery and nursery production; king crab,	Saline tilapia, king crab, <i>Caulerpa</i> , and prawns	10, 13	<b>Misamis Occidental:</b> Kitcharao (tilapia) Misamis Occidental: Brgy Malaobang, Ozamis  <b>Lanao del Norte:</b> Brgy Pacita, Lala	TOS	With tenurial instrument	2nd
	<i>Caulerpa</i> , and prawn production in nursery ponds**						

FMA	Subproject	Commodity	Region	Province/City	Partner	Tenurial Instrument	Year to Implement
	Mussel culture in rafts and longlines in deep water**	Oysters and other shellfish	9	<b>Zamboanga del Norte</b> Rizal Sibutad Dapitan	Organized Fisherfolk Association		2nd 3rd
9	Transport of sardines through refrigerated trucks/ reefer vans to connect harvest to storage and processing facility**	Sardines and other fishery products	9, 10	<b>Zamboanga del Norte</b> (1/province) Dapitan Rizal Sibutad  <b>Zamboanga del Sur</b> (1/province) Tambulic Aurora  <b>Misamis Occidental:</b> Plaridel, Ozamis City  <b>Lanao del Norte:</b> Linamon, Kauswagan, SND	Organized Fisherfolk Association	n/a	3rd
9	Development of low-quality catch into marketable products**	Sardines, roundscad	9	<b>Zamboanga del Norte:</b> (Capture and Municipal) Dapitan	fisherfolk association/ commercial fishing boat association		2nd
9	Provision of harvesting machines for aquaculture farms to prevent excessive fish stress during harvest**	Milkfish, tilapia, tiger prawn/ shrimp	10	<b>Misamis Occidental:</b> Lopez Jaena	fisherfolk association	n/a	3rd
9	Postharvest and fish processing with value-adding packaging and labeling	Sardines and other fishery products	9,10	<b>Zamboanga del Norte:</b> Dapitan (sardines and bangus) Rizal (sardines and eel)	LGU/ Fisherfolk/ Organized	With Tenurial Instrument	3rd

FMA	Subproject	Commodity	Region	Province/City	Partner	Tenurial Instrument	Year to Implement
	(processing of dried fish: deboned, marinated, smoked, and bottled) **			<p><b>Zamboanga del Sur:</b> Tambulig Aurora</p> <p><b>Misamis Occidental:</b> Lopez Jaena (NOTE: cross ref 2.3 with, ongoing negotiation with LGU, ongoing negotiation on partnerships with LGUs and fisherfolk group, with letter of commitment with private sector thru Chamber of Commerce – in already)</p> <p><b>Lanao del Norte:</b> Lala and Kapatagan (with proposal, no tenurial problem), Kulambugan and Linamon (NB: cross ref 2.3 additional to the existing CFLC, no tenurial problem)</p>	<p>Fisherfolk Association</p> <p>PLGU/ Organized Fisherfolk Association</p>	Under negotiation with LGU	
9	Establishment or upgrading of existing BFAR testing center (food safety laboratory) with appropriate facilities and equipment and making it accessible to customers before exporting fish and aquaculture products***	Sardines and other fishery products	9, 10	<p><b>Zamboanga del Norte (new)</b> Dapitan</p> <p><b>Misamis Occidental:</b> Ozamis (existing) <b>Lanao del Norte:</b> Lala (existing)</p>		With tenurial instrument	3rd –
9	Production of fry and fingerlings and culture of milkfish, tilapia, mussel,	Seaweeds, shrimp, prawns,	10	<b>Misamis Occidental:</b> Brgy Malaobang, Ozamis	Private Sector/ TOS/ Organized	With tenurial instrument	2nd - 3rd
	oyster, lobster, crab, and sea cucumber; and seaweed farming**	milkfish, tilapia, oyster, lobster, mangrove crab, and sea		<b>Lanao del Norte:</b> Brgy Pacita, Lala	fisherfolk/ Cooperative		

FMA	Subproject	Commodity	Region	Province/City	Partner	Tenurial Instrument	Year to Implement
		cucumber					
9	Commercial food retail using facilities such as mobile markets for wider distribution of fresh, fresh/chilled, fresh/frozen, and processed fish**	Milkfish, squid, sardines, and other fishery products (fresh, fresh/chilled, fresh/frozen, and processed fish)	10	Misamis Occidental: Lanao del Norte: Provincial level	Organized fisherfolk Association	n/a	3rd - 4th
9	Rehab of brackishwater and freshwater nursery and fish farms for advance fingerling production to include perimeter fencing***					<b>Lanao del Norte:</b> Brgy Pacita, Lala  Kitcharao Misamis Occidental	
<b>Northern Mindanao ABC: Base – Balingasag, Misamis Oriental covering Misamis Oriental, Camiguin, Agusan del Norte and Surigao del Norte</b>							

FMA	Subproject	Commodity	Region	Province/City	Partner	Tenurial Instrument	Year to Implement
9	Integrated multi-trophic aquaculture (IMTA)** (Mariculture Park) (Culture of milkfish in marine cages mixed with high-value fish such as pompano or <i>siganid</i> ); seaweeds in longlines along marine cages to absorb dissolved organic nutrients from feeds and feces; and sea cucumber at the bottom to feed on sediments from aquaculture)	Seaweeds, milkfish, pompano, siganid, and sea cucumber	10	<b>Misamis Oriental:</b> Balingasag (200 operators)	200 Operators	With tenurial instrument	2nd
9	Seaweeds nursery and grow-out**	Seaweeds	10	<b>Camiguin:</b> Mantique Island, Mahinog <b>Misamis Oriental:</b> Balinguan (growout), El Salvador (Nursery)	Growout: organized fisherfolk association  Nursery: fisherfolk association/ Cooperative	With tenurial instrument	3rd
	Mindanao seaweeds ( <i>ulva and Gracilaria</i> ) production for feeds, fertilizer, and probiotics towards socioeconomic, upliftment	Seaweeds	10	Misamis Oriental: Naawan	MSU Fisherfolk	With tenurial instrument	3rd
9	Provision of climate-resilient technologies, movable and durable solar dryers, and storage house for upgrading of dried seaweed production**	Seaweeds	10	<b>Camiguin:</b> Mahinog (new) <b>Misamis Oriental:</b> Balingasag Misamis Occidental:  Cross-Ref 2.3: Storage: Misamis Occidental, Lanao del Norte	Organized Fisherfolk Association	Tenurial?	3rd
9	Establishment of regional integrated fisheries laboratory***	Shrimps, prawns, and milkfish	10	<b>Cagayan de Oro</b> Cross Ref: 2.3 New construction: (50M – whole structure and equipment) –		With tenurial instrument	2 <sup>nd</sup> - CDO

FMA	Subproject	Commodity	Region	Province/City	Partner	Tenurial Instrument	Year to Implement
9	Establishment of quarantine facility for tiger prawn breeders caught from the wild while undergoing laboratory tests for pathogenic diseases***	Tiger prawn	10	<b>Misamis Occidental:</b> Ozamis City (existing) <b>Lanao Del Norte:</b> Lala (existing)  <b>Misamis Occidental/ Lanao-</b> Civil works: expansion of laboratory rooms		With tenurial instrument	3rd 4th
9	Transport of sardines through refrigerated trucks/ reefer vans to connect harvest to storage and processing facility**	Sardines and other fishery products	10,13	<b>Misamis Oriental:</b> Hasaan, Gingoog City, Opol  <b>Agusan del Norte:</b> Kabadbaran Buenavista	Organized Fisherfolk Assn	n/a	3rd
9	Development of low-quality catch into marketable products**	Sardines, Roundscad	10, 13	<b>Agusan del Norte:</b> Buenavista, Kabadbaran Tubay Nasipit  <b>Misamis Oriental:</b> Cagayan de Oro, Hasaan Opol	Organized Fisherfolk Assn  Organized fisherfolk association/ commercial fishing boat association		2nd – 3rd

FMA	Subproject	Commodity	Region	Province/City	Partner	Tenurial Instrument	Year to Implement
9	Postharvest and fish processing with value-adding packaging and labeling (processing of dried fish: deboned, marinated, smoked, and bottled) **	Sardines and other fishery products	10,13	<p><b>Misamis Oriental:</b> Balingasag (new area and construction c/o provincial government, with proposal/FS, in PCIP list)</p> <p><b>Agusan del Norte:</b></p> <p>Carmen (deboned/smoke and bottled bangus) since we have mariculture in gosoon :</p> <p>Nasipit (smoked, deboned and bottled bangus)-</p> <p>Buenavista</p>	<p>LGU/ Fisherfolk/ Organized Fisherfolk Association</p> <p>Gosoon Women Association</p> <p>Ata-atahon Rural Improvement Club Assoc and Sta. Ana Productive Women's Association,</p>	<p>Under negotiation with LGU</p> <p>With tenurial instrument</p>	<p>3rd</p> <p>4th</p>

FMA	Subproject	Commodity	Region	Province/City	Partner	Tenurial Instrument	Year to Implement
				Cabadbaran  Tubay  Butuan City  Kabadbaran  <b>Surigao del Norte</b>  Malimono	Pasil Food Processors Association and GAMASA La Union Women Fisherfolk Organization)  Tubay Women's Federation (sardines: bottled  Aquamarine Industry Movers of Caraga  – Bottled sardines (naa tay fish processing sa pagatpatan te and dried  Cantapoy Fisherfolk Organization and WOLIVET (dried squid)		
9	Establishment or upgrading of existing BFAR testing center (food safety laboratory) with appropriate facilities and equipment and making it accessible to customers before exporting fish and aquaculture products***	Sardines and other fishery products	10,13	<b>Misamis Oriental:</b> Balingasag (new area and construction c/o provincial government, with proposal/FS, in PCIP list)  <b>Agusan del Norte:</b> Masao, Butuan City	Organized Fisherfolk Assn/COOP  -do-	With tenurial instrument  With tenurial instrument	4th – 3rd
				Additional building			

FMA	Subproject	Commodity	Region	Province/City	Partner	Tenurial Instrument	Year to Implement
9	Primary trading/marketing and distribution of fresh fish and processed fishery products**	Sardines and other fishery products	10,13	<p><b>Camiguin:</b> Guinsiliban (new, additional civil works) <b>Misamis Oriental:</b> Cagayan de Oro, Balingasag, Opol, Hasaan, Binauangan, Lagunlong, Medina, Talisayan, Alubihid, Initaw, Lugait, Lagidingan, Libertad</p> <p><b>Agusan del Norte:</b> Buenavista (construction)</p> <p>Carmen Nasipit</p> <p>Pasil</p> <p>Cabadbaran</p> <p>Butuan City Tubay</p>	<p>Organized Fisherfolk Assn/COOP</p> <p>Gosoon Fisherfolk Association (bangus),</p> <p>Fish Coop and Makanunayong Mananagat sa Atatahon (Bangus and Siganids)</p> <p>Pasil Food Processor Association (sardines), La union Women Fisherfolk Organization (sardines) AIM Caraga- (Bangus and sardines) Cagtina-e Fisherfolk Association (Squid, Hairtail)</p>		3rd - 4th

FMA	Subproject	Commodity	Region	Province/City	Partner	Tenurial Instrument	Year to Implement
				<b>Surigao del Norte</b> Malimino  NOTE: 2.3 cross ref: With Civil Works Camiguin: docking area rehab with equipment, minor repairs (rehab) Misamis Oriental: Docking area (Rehab for all, new construction for Balingawan)	Tubay Women Federation (Sardines)		
9	Improvement of BFAR Technology Outreach Station: subdivision of existing larger growout ponds to smaller nursery ponds including establishment of tertiary gates; milkfish nursery for fingerlings production; saline tilapia hatchery and nursery production; king crab, <i>Caulerpa</i> , and prawn production in nursery ponds**	Saline tilapia, king crab, <i>Caulerpa</i> , and prawns	10, 13	Agusan del Norte: Masao (earth work) Buituan City (milkfish and saline tilapia)  Kitcharao (earthwork)  <b>Camiguin:</b> Brgy Benoni, Mahinog,	TOS	With tenurial instrument	2nd
9	Production of fry and fingerlings and culture of milkfish, tilapia, mussel, oyster, lobster, crab, and sea cucumber; and seaweed farming**	Seaweeds, shrimp, prawns, milkfish, tilapia, oyster, lobster, mangrove crab, and sea cucumber	10, 13	<b>Agusan del Norte:</b> Masao, Kitcharao Nasipit, Carmen, Butuan City (No construction)  <b>Camiguin:</b> Brgy Benoni, Mahinog  Agusan del Norte: Magallanes (Saline tilapia and bangus culture in pond;	Private Sector/ TOS/ Organized fisherfolk/ Cooperative	With tenurial instrument	2nd - 3rd

FMA	Subproject	Commodity	Region	Province/City	Partner	Tenurial Instrument	Year to Implement
				bangus fry to fingerlings production), Nasipit and Carmen (bangus culture in Cage) Butuan City and Buenavista Cabadbaran (Bangus fry to fingerlings production)			
9	Rehabilitation/improvement of BFAR brackishwater and freshwater nursery and fish farms for advance fingerling production to include perimeter fencing***	Seaweeds, shrimp, prawns, milkfish, tilapia, oyster, lobster, mangrove crab, and sea cucumber	10, 13	<b>Agusan del Norte:</b> Masao (Perimeter fencing)		With tenurial instrument	2nd - 3rd
9	Provision of harvesting machines for aquaculture farms to prevent excessive fish stress during harvest**	Milkfish, tilapia, tiger prawn/ shrimp	10,13	<b>Misamis Oriental:</b> Balingasag  Camiguin: Lanao del Norte: Lala  <b>Agusan del Norte:</b> Nasipit Carmen Butuan City Magallanes	Private Sector/ Organized fisherfolk/ Cooperative   Private Sector/ Organized fisherfolk/ Cooperative	With tenurial instrument	3rd
9	Postharvest and fish processing with value-adding packaging and labeling (processing of dried fish; deboned, marinated, and bottled milkfish production; shellfish processing; squid drying; smoked, bottled, and dried sardines) with women organizations as beneficiaries**	Milkfish (bottled), squid (dried), sardines (bottled and dried), and dried fish	10, 13	<b>Camiguin:</b> Sagay  <b>Misamis Oriental:</b> Balingasag  <b>Misamis Occidental:</b> Ozamis City  <b>Lanao del Norte:</b> Lala	Organized fisherfolk Association	With tenurial instrument	3rd - 4th
				NB: Cross ref 2.3 With			

FMA	Subproject	Commodity	Region	Province/City	Partner	Tenurial Instrument	Year to Implement
				construction			
9	Commercial food retail using facilities such as mobile markets for wider distribution of fresh, fresh/chilled, fresh/frozen, and processed fish**	Milkfish, squid, sardines, and other fishery products (fresh, fresh/chilled, fresh/frozen, and processed fish)	10, 13	Misamis Oriental Camiguin:  <b>Agusan del Norte:</b> Butuan City Cabadbaran City Nasipit  Surigao del Norte: Malimono  Provincial level	Organized fisherfolk Association	n/a	3rd - 4th
<b>Visayas ABC: Bohol Hub (Base- Ubay)</b>							
9	Establishment of mangrove crab hatchery**	Mangrove crab	7	<b>Bohol</b> Candejay Ubay (NB Cross ref 2.3 With construction)	Private Sector/Organized Fisherfolk/LGU	With tenurial instrument	3rd - 4th
9	Improvement/rehabilitation of existing aquafarms**	Shrimp, prawns, milkfish, tilapia, <i>Macrobrachium (ulang)</i> and native catfish	7	<b>Bohol</b>	Private Sector/Organized Fisherfolk		2nd - 4th
9	Improvement of BFAR IBH facilities and establishment of multispecies marine hatcheries***	Shrimp, prawns, milkfish, pompano, and siganid	7	<b>Bohol</b> Sinandigan, Ubay		n/a	2nd - 3rd
9	Establishment of multispecies freshwater hatchery for production of Tilapia, Giant fresh water shrimp ( <i>ulang</i> ), Common Carp, Catfish, etc.**	Tilapia, <i>Macrobrachium</i> , and Native Catfish	7	<b>Bohol</b> Ubay Jagna	Private Sector/Organized Fisherfolk	With tenurial instrument	2nd - 3rd

FMA	Subproject	Commodity	Region	Province/City	Partner	Tenurial Instrument	Year to Implement
9	Rehabilitation/improvement of BFAR brackishwater and freshwater nursery and fish farms for advance fingerling production to include perimeter fencing***	Seaweeds, shrimp, prawns, milkfish, tilapia, oyster, lobster, mangrove crab, and sea cucumber	7	<b>Bohol</b> Ubay (Son-oc)			2nd - 3rd
9	Establishment of Integrated Laboratory Facility	All covered fishery products	7	Brgy Gabi, Ubay Bohol		With tenurial instrument	3 <sup>rd</sup> year
<b>Visayas ABC: Southern Leyte Hub (Base: Maasin land in Macrohon)</b>							
9	IMTA in mariculture parks (Culture of Milkfish in marine cages mixed with high-value fish such as Pompano or Rabbit Fish ( <i>Siganid</i> ); seaweeds in longlines along marine cages to absorb dissolved organic nutrients from feeds and feces; and sea cucumber at the bottom to feed on sediments from aquaculture) **	Seaweeds, Milkfish, Pompano, Siganid, and Sea Cucumber	8 South ern Leyte	Bontoc, Sogod, Tomas Oppus, Padre Burgos, Libagon Liloan, Malitbog,  Maasin (feedmill, fish processing, ice plant cold storage) – cross ref only 2.3	Private Sector/Organized Fisherfolk	With tenurial instrument  Maasin PLGU (ongoing negotiations)	2nd-3rd year
9	Support to BFAR demo farm to demonstrate technical and economic viability of milkfish culture in HDPE cages, polyculture of milkfish and lobster culture in HDPE cages**	Milkfish, mangrove crabs, and lobster	8 South ern Leyte	Sogod, Bontoc, Tomas Oppus, Padre Burgos Liloan, Malitbog, Libagon	Private Sector/Organized Fisherfolk/LGU	n/a	2nd
9	Provision of climate-resilient technologies, movable and durable solar dryers, and storage house for upgrading of dried seaweed production**	Seaweeds	8 South ern Leyte	Tomas Oppus Liloan Bontoc	Private Sector/Organized Fisherfolk/		2nd
9	Transport of fishery products through refrigerated trucks/ reefer vans (2) to connect harvest to storage and processing facility**	Bangus, high value fish	8 South ern Leyte	IMTA and seaweeds operators in Sogod Bay	Organized Fisherfolk Association (IMTA and seaweeds)	n/a	3rd

FMA	Subproject	Commodity	Region	Province/City	Partner	Tenurial Instrument	Year to Implement
9	Establishment of BFAR Integrated Laboratory Facility	All covered fishery products	8 Southern Leyte	Maasin ABC (Land in Macrohon c/o PLGU)	BFAR	With tenurial instrument	3 <sup>rd</sup> year

\* PPP: Public-Private Partnership; \*\*PPCP: Public-Private-Community Partnership

Note: As indicated in Box 5 in Section 3.1 above, PPPs and PPCPs are larger-scale investments not covered by this Grants Manual.

Source: GOP approved Feasibility Study

**Attachment 4. Livelihood Guide Questionnaire (sub-component 2.1)**

*For FCU/PFO/Scoping team use*

**Potential Pipeline Project:**

<b>FMA:</b>		<b>FCU:</b>	
<b>Name of Project:</b>			
<b>Location of the Project:</b>	<i>(Municipality / City, Province, Region)</i>		

1. **BASELINE:** Establish livelihood activities and community income sources.

<b>Guide questions:</b>	<b>Response / Remarks:</b>
1. Name of the fisherfolk organization:	
2. Office Address:	
3. Contact Person:	
4. Designation:	
5. Contact Number:	
6. Email:	
7. Total Assets:	
8. Active Bank Account:	
9. Registration: (SEC, CDA, DOLE)	
10. Date of Registration/Establishment:	
11. Registration Number:	
12. Initial Members:	Male: Female:
13. Current Members:	Male: Female:
14. Number of Years Active:	
15. Number of Years Inactive:	
Reason/s:	
16. Existing Fisheries Livelihood Activities in the Community:	
17. Type of Livelihood Activities/Nature of Business ( <i>Production, Trading, Marketing, Custom Service, Processing, Marketing,</i>	

<i>Financing):</i>			
18. Number of Members Involved in Fisheries Livelihood Activities:	<b>Livelihood:</b>	<b>Number of Members Involved:</b>	
19. Fish Species Catch by Members:			
20. Total Volume of Fish Caught ( <i>per week/month</i> ):	<b>Species:</b>	<b>Volume:</b>	
21. Current Target Markets:	<b>Species:</b>	<b>Target Markets:</b>	
22. Number of Fishing Boats Owned by Members <i>If none, do you rent fishing boats?</i>			
23. Number of Days of Deployment of Fishing Boats ( <i>day/week</i> ):			
24. Average Monthly Income from Fisheries Livelihood Activity:			
25. Existing Area for Fisherfolk Livelihood Activities:			

26. Other income source/ existing non-fisheries livelihoods in the area and relevant training undergone	<b>Other income source / Non-fisheries livelihood</b>	<b>Relevant training undergone</b>
27. Issues/Concerns that is experienced during the Implementation of BFAR Harvest Control and Closing Seasons or Any Other Relevant Legislations Pertaining the Target Species:		

## 2. NEEDS ASSESSMENT

### A. Alternative Livelihood Needs

<b>Guide questions:</b>	<b>Response / Remarks:</b>
1. Proposed Livelihood Subproject:	
2. Number of Group Members Needing Alternative Livelihood:	
3. Reasons for proposing the Livelihood Subproject: <i>(e.g., market opportunities, increase income, additional source of employment, etc.)</i>	
4. Type of Livelihood Undertaking (Start-Up / Expansion):	
5. Estimated Amount Needed for the Proposed Livelihood Subproject:	

6. Materials/Equipment:	
7. Building/Facility:	
8. Products and/or Services:	
9. Target Markets:	
10. List of Competitors:	
11. Technical Support Agencies:	
12. Ownership and Management:	
13. Type of Operation (e.g., marketing, processing, production, etc.):	

## B. Capability Building Needs

Guide questions:	Response / Remarks:
1. Specific Training Support/Program Needed for the Proposed Livelihood ( <i>Operations, Processing etc.</i> ) and the Target Provider ( <i>Govt Agency, NGO, Private Entities</i> ):	
2. Specific Training Support/Program for the Fisherfolk Association ( <i>Organization, Technical, Financial</i> ) the Target Provider ( <i>Govt Agency, NGO, Private Entities</i> ):	
3. Other Capacity Building Support Needed Beneficial for the Group and the Target Provider ( <i>Govt Agency, NGO, Private Entities</i> ):	
4. List of Trainings Previously Attended:	
Women Participation	
1. Number of Women Members in the Group/Organization:	
2. Roles/Participation of Women in the Group/Organization: Number of Officers: Number of Members:	
3. Women Participation in the Proposed Livelihood:	
4. Capacity Building Support Needed for the Women in the Group/Organization (e.g., leadership training, financial management, bookkeeping, job specific skills, etc.):	

**C. Checklist of Documents/Requirements**

Are the following requirements complied?	Answer (Yes, No, NA-Not Applicable)	Remarks
1. Is the selected fisherfolk group/organization legally registered with SEC, CDA, DOLE, DSWD with BFAR FishR at the LGU.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
2. Copy of latest Articles of Incorporation or Articles of Cooperation and By-Laws or Constitutions.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
3. Certificate of Compliance/ Good Standing for CDA registered or Certificate of No Derogatory Record for SEC registered or Certificate of Registration for DOLE Registered.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
4. Existing Organizational Structure.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
5. FishR Registration	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
6. Fisherfolk Profile / List of Members.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
7. Records of Minutes of Meetings/Resolutions	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
8. Financial Records (as applicable)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
10. Copy of applicable/ existing legislation (FAO, ordinances, etc.) affecting the fisherfolk.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	

**Name and Signature of Screening Officer:** \_\_\_\_\_

**Date Completed:** \_\_\_\_\_

### W1-SC 2.1 Required Documents Checklist Scoring Sheet

Are the following requirements complied (Passing Rate 70%)	Equivalent Score (%)	Actual Score (%)	Remarks (Passed/Failed)
1. The selected fisherfolk organization must be legally registered with SEC, CDA, DOLE, DSWD with BFAR FishR at the LGU.	15		
2. Copy of latest Articles of Incorporation or Articles of Cooperation and By-Laws or Constitutions.	15		
3. Certificate of Compliance/ Good Standing for CDA registered or Certificate of No Derogatory Record for SEC registered or Certificate of Registration for DOLE Registered.	10		
4. Existing Organizational Structure.	10		
5. FishR Registration	10		
6. Fisherfolk Profile / List of Members.	10		
7. Minutes of meetings/resolutions	10		
8. Financial Records (as applicable)	10		
9. Copy of applicable/ existing legislation (FAO, ordinances, etc.) affecting the fisherfolk in the B/MLGU	10		
Total	100		

Name and Signature of Screening Officer: \_\_\_\_\_

Date Completed: \_\_\_\_\_

**Attachment 5: Template for Preparing Project Profiles for Proposed Subproject Activities**

*Note: Please delete text in the middle column after adding the information under the Project Description*

No.	Project Information	Guide questions <i>(This column will be deleted prior to submission)</i>	Project Description <i>(Fill out this column with information available at the time of submission of project proposal)</i>
1	<b>Sub-Project component</b>	Which project sub-component does the proposed project fall into? <b>Component 1. FishCRRM</b> 1.1 Fisheries Management Planning and Institution 1.2 Aquaculture Development Planning and Implementation 1.3 Coastal Ecosystem Services Improvement for Priority Fish Habitats <b>Component 2. MARLIN</b> 2.1. Livelihood Diversification and Development 2.2. Aquaculture and Fisheries Enterprise Development * <b>Cross-Cutting Activities</b> such as Fisheries Research and Development Extension or Market Development Support Services <b>Component 3: Project</b> management, coordination and M&E <ul style="list-style-type: none"> <li>• Integrated Project Management System</li> <li>• Monitoring and Evaluation including MIS</li> <li>• Web-based Platforms</li> </ul>	
2	<b>Name of Project</b>	Indicate the project title. Indicate if the project is <b>New</b> or <b>Existing</b> (for upgrade or expansion)	
3	<b>Location or Address</b>	Indicate the location (street name, barangay, municipality, province and region) of the proposed project and which FMA it falls into. For example:	

No.	Project Information	Guide questions <i>(This column will be deleted prior to submission)</i>	Project Description <i>(Fill out this column with information available at the time of submission of project proposal)</i>
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		Street No. (if known), Barangay Marcelo, Municipality of Mabini, Province of Bohol, Region 7, FMA 9.  Indicate the project coordinates (latitude and longitude)	
4	<b>Size and Scale of the Project</b>	Indicate scale and size of the project as follows, whichever is applicable: <ul style="list-style-type: none"> <li>• Total number of hectares for fishery or aquaculture including seaweed farming</li> <li>• Total number of buildings, floor area, and number of floors</li> <li>• Length of dike or riprap (meters or km)</li> <li>• Capacity of ice plants / processing / cold storage (metric tons or water or chemical consumption rate or production rate)</li> </ul>	
5	<b>Main subproject objectives</b>	Please describe briefly the subproject purpose (intended benefits and target groups)	
6	<b>Indicative Investment Cost</b>	Indicate the anticipated investment cost in Philippine Pesos (if known)	
7	<b>Contact Person / Authorized Representative</b>	Mention the name of the person or authorized representative and contact number for the proposed project	
8	<b>Permits and Licenses</b>	Indicate whether the project has secured any permits issued by the government or licensing authorities such as DA, BFAR, LGU, DAR, DENR, EMB, DPWH, etc.	
9	<b>Proposed Investment Activities</b>	Describe briefly (dot points) key activities that subproject plan to do. For example: <ul style="list-style-type: none"> <li>• Upgrading existing landing site to a) improve land area for more vessels, b) improve hygiene condition for selling area, c) install cold storage/ warehouse), upgrading access road (for middlemen, traders, reetailed sellers, buyers)</li> </ul>	

No.	Project Information	Guide questions <i>(This column will be deleted prior to submission)</i>	Project Description <i>(Fill out this column with information available at the time of submission of project proposal)</i>
		<ul style="list-style-type: none"> <li>• Establishment of a mangrove crab hatchery by a) allocate land lots (from existing mangrove land) for select households who want to join hatchery model, b) provide training on crab culture for beneficiary households, c) connect beneficiary household with the crab value chain (middlemen, traders, private sectors), d) promote long-term contract farming), etc.</li> <li>• List other project components, which may be required under the project such as improvement of road access, water supply sources, electricity connection, wastewater treatment, and supply chain sources</li> </ul>	
10	<b>Initial Technical Engineering Information</b>	<p>Describe briefly (if available) the key technical specification. For example:</p> <ul style="list-style-type: none"> <li>• Expand the existing fish selling/processing area by extending the existing structure for about 500m<sup>2</sup> to improve hygiene condition for sellers, and for cold storage).</li> <li>• Upgrade existing access road (aggregate subbase) with cement concrete to improve access condition, particularly during rain season, and allow smooth transportation of vehicle that transport cold products.</li> <li>• Laying of water supply pipeline network from water sources or electricity connection for sustainable power supply</li> <li>• Building new infrastructure or refurbishment of existing structure for laboratory equipment (e.g., HAB laboratory)</li> </ul>	
11	<b>Subproject Stakeholders</b>	<b>Direct beneficiaries:</b> Please estimate the number of direct beneficiary households. Direct beneficiaries are	

No.	Project Information	Guide questions <i>(This column will be deleted prior to submission)</i>	Project Description <i>(Fill out this column with information available at the time of submission of project proposal)</i>
		<p>households who receive direct project benefits such as they are directly trained/supported by the project as subproject target group.</p> <p><b>In-direct beneficiaries:</b> Please add the estimated number of indirect beneficiary households. Indirect HHs are those who do not receive subproject benefits (like those received by direct beneficiaries), such as local residents who come and buy fish (as they benefit from improved hygiene and improved surface condition and service from the improved landing sites).</p> <p><b>Any beneficiary households from Indigenous Peoples group? (Yes/No)</b></p> <p><b>Any household from Indigenous Peoples</b> who could be potentially affected adversely – as a result of subproject investment? <b>(Yes/No)</b></p> <p><b>Interested stakeholders.</b> Are there any groups that may be interested in the subproject investment? e.g. NGO or CSO, fishery association, other donors, etc.</p>	
12	<p><b>Existing Income Generation Activities and Intended Key Sub-Project Benefits</b> (Operation Stage).</p>	<p><b>Existing income generation activities</b></p> <ul style="list-style-type: none"> <li>List the main income generation activities (jobs) of the current target groups (e.g. fishing (80% of the planned beneficiary group), retailed services (15%), other jobs (construction, 5%).</li> </ul> <p><b>Intended key subproject benefits</b></p> <ul style="list-style-type: none"> <li>Provide some dot points that <b>highlight main socio-economic benefits</b> that target individual beneficiary households will have in the future (during subproject operational stage), and <b>intended beneficiary impact</b> at community level (including a) direct beneficiaries, b) indirect beneficiaries, and c) interested stakeholders).</li> </ul>	

No.	Project Information	Guide questions <i>(This column will be deleted prior to submission)</i>	Project Description <i>(Fill out this column with information available at the time of submission of project proposal)</i>
	<b>Linkage between this subproject’s benefit and expected impact associated with sub-FMA</b> <i>This potentially links with the Strategic Environment and Social Assessment (SESA)</i>	Please confirm briefly ( <b>Yes, or No</b> ) if this subproject plans to <b>support target beneficiary households</b> to enable them to earn additional income from the new livelihoods (subproject investment) and become less dependent on coastal resources – in a manner that contribute to realization of regulation as per Philippine Fisheries Code (RA 8550) and local regulations for sub-FMAs.	
13	<b>FORESEEN SOCIAL RISKS AND IMPACTS</b>	<i>Please indicate whichever information is known at this stage.</i>  <b>Land Acquisition</b> <ul style="list-style-type: none"> <li>• Does subproject anticipate to acquire land <b>permanently</b> for subproject purpose? (<b>Yes, or No</b>). If yes. How much land is required (in square meter or hectares)</li> <li>• Does subproject anticipate to acquire land <b>temporarily</b> (during construction) for subproject construction? (<b>Yes, or No</b>).</li> <li>• Will the project be built in <b>ancestral domain lands</b> or claims regulated by the NCIP?</li> </ul> <b>Local Employment</b> <ul style="list-style-type: none"> <li>• Will the project present opportunities for employment and hiring of local workers?</li> </ul>	
14	<b>FORESEEN ENVIRONMENTAL RISKS AND IMPACTS</b>	<i>Please indicate whichever information is known at this stage.</i>  <b>Natural Hazards and Vulnerability to Climate Risks</b>	

No.	Project Information	Guide questions <i>(This column will be deleted prior to submission)</i>	Project Description <i>(Fill out this column with information available at the time of submission of project proposal)</i>
		<ul style="list-style-type: none"> <li>• Is the project located in <b>natural hazard prone areas</b>?</li> <li>• Is it exposed to or vulnerable to <b>climate change risks</b>?</li> </ul> <p><b>Protected Area / Species</b></p> <ul style="list-style-type: none"> <li>• Is the land located in regulated <b>protected area or key biodiversity areas</b>?</li> <li>• Will the project involve harvesting or aquaculture of <b>regulated species</b>?</li> </ul> <p><b>Hazardous Chemicals and Waste Materials</b></p> <ul style="list-style-type: none"> <li>• Will the project utilize hazardous chemicals or produce hazardous waste materials?</li> <li>• Will the project generate solid and liquid wastes?</li> <li>• Will the project use carbon-based fuel?</li> </ul> <p><b>Water Supply, Solid and Wastewater Generation</b></p> <ul style="list-style-type: none"> <li>• Will the project generate solid waste and wastewater?</li> <li>• Will the project utilize water resources for water supply?</li> </ul> <p><b>Vehicles and Construction Equipment</b></p> <ul style="list-style-type: none"> <li>• Will the project use heavy equipment or construction vehicles?</li> <li>• Will the project use generator set for back-up power supply?</li> </ul>	
15	<b>Other Relevant Project Information</b>	Please add further information that may be useful to the upcoming environmental and social risk and impact assessment, or other relevant information about the subproject area, and subproject investment.	
16	<b>Annex</b>	<b>Maps.</b>	

No.	Project Information	<b>Guide questions</b> <i>(This column will be deleted prior to submission)</i>	<b>Project Description</b> <i>(Fill out this column with information available at the time of submission of project proposal)</i>
		<ul style="list-style-type: none"> <li>• <b>Provide Map(s) and coordinates</b> (Google) indicating the location of the subproject area</li> </ul>	
		<b>Photos</b> <ul style="list-style-type: none"> <li>• Please add some recent photos taken for the subproject sites</li> </ul>	

## NEGATIVE LIST<sup>11</sup> UNDER FISHCORE PROGRAM

Based on country systems, considerations in similar WB projects in the region, and consultations with DA-BFAR and other stakeholders, the following activities are excluded (not eligible) for funding under the FISHCORE Program:

1. Subprojects that would involve civil works inside an officially declared protected area of critical habitat, except those civil works that are part of the management and protection plan of the protected area and approved by the protected area management board.
2. Aquaculture using non-native species in natural water bodies (except species identified strategically to be farmed in aquaculture ponds, under the approved Fisheries Management Plan).
3. Activities involving large-scale industrial plants and industrial estates.
4. Subprojects that plan to use funds from the program to purchase prohibited pesticides or other agrochemicals.
5. Production of, or trade-in, any product or activity deemed illegal under Philippine laws or regulations or international conventions and agreements or subject to international phaseouts or bans, such as (i) pharmaceuticals, pesticides, and herbicides; (ii) ozone- depleting substances; (iii) polychlorinated biphenyls and other hazardous chemicals; and (iv) wildlife or wildlife products regulated under the CITES.
6. Activities that involve the introduction of invasive species into the natural environment.
7. Subproject activities in disputed waters.
8. Commercial fisheries activities within the municipal waters and in disputed areas.
9. Marine and coastal fishing practices, such as large-scale pelagic drift net fishing (i.e., more than 2.5 km in length) and fine mesh net fishing, which are harmful to vulnerable and protected species in large numbers and damaging to marine biodiversity and habitats.
10. Subprojects that would alter, damage, or render inaccessible any cultural heritage property and historical monuments, or those that would involve commercial exploitation of cultural properties.
11. Subprojects that would result in the significant conversion of critical habitats (e.g., primary forest, habitat of endangered species, wetlands, mangrove forest and coral reefs)
12. Subprojects that would involve significant socio-economic impacts involving permanent involuntary resettlement.
13. Sub-projects whose area of operation/ activities is located in territorial dispute between multiple countries.

### Notes:

- *Provision of conditional clearance to projects needing further consideration. Example: A species of fish cultured on different parts of the Philippines and introduced to a new site/area.*
- *Application of mitigation measures*
- *Development of a Biodiversity Plan (as required)*
- *Meeting with DENR for ECC permit application and PAMB Clearance or SAPA (if applicable)*
- *Meeting with NCIP for securing CNO or FPIC and MOA execution with ICCs (if applicable)*

<sup>11</sup> Also referred to as exclusion criteria.

### **Attachment 6: Screening Checklist for FishCoRe Subprojects Specific to Livelihood Projects**

On the request of BFAR/ NPMO, the FCU and RPIU E&S Focal Persons and Specialists shall furnish details in the following two templates to facilitate the screening and selection of subprojects.

- Checklist C1: Rapid FMA level environmental/social/ institutional profile, RPIU wise, and consolidated at FMA level by lead RPIU to aid in the screening process
- Checklist C2: Subproject-wise E&S details based on subproject activities (including Component 1 activities as applicable). Checklist C2 contains – (i) inputs for exclusion, (ii) inputs for identification of clearance requirements from country systems; and (iii) inputs for identifying ESSs triggered and mitigation instruments to be employed as per ESF.

*Note: The Checklists apply to subprojects and can provide input along with SESA which will be utilized in developing FMPs, ADMPs, zoning, and other area-wide plan preparation.*

**Checklist C1:**

***RAPID FMA LEVEL ENVIRONMENTAL AND SOCIAL PROFILE/RISK CHECKLIST TEMPLATE***

**Objective:** Following the set of ESS under the World Bank ESF, these checklists intend to collect further details on the environmental and social profile/risk of the possible pipeline FISHCORE projects per region to enable screening of the projects for their impact category.

**Instructions:** FISHCORE Briefer and FMA 6/ FMA 9 Profiles have been made available to respective RPIUs. Additional information shall be provided on environmental/social/institutional profile, potential issues, impacts, and risks that may be applicable by **putting [X] on the boxes** (Yes, No), based on area knowledge by **BFAR Environment/Social Safeguard Focal Persons and Specialists** assigned to the FMAs. Remarks or additional information shall be included in the last column to expound on the answer.

<b>Date (MM/DD/YYYY)</b>	<b>Weather Conditions: (Rainy/Sunny)</b>	
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*[To be filled out by FCU Environmental and Social Safeguard Focal and RPIU Environmental and Social Safeguard Focal and Specialists]*

FMA: \_\_\_\_\_ FCU: \_\_\_\_\_

**A. Potential Pipeline Project<sup>12</sup>:** \_\_\_\_\_

Note: Kindly provide the proposed project details, if available (i.e., area/size, capacity, availability of surrounding facilities, roadworks, etc.) that have been identified by FCUs in FMA 6 and 9.

<b>1.</b>	<b>Name of Project</b>	Name and Location (Municipality / City, Province, Region)	
<b>2.</b>	<b>Project Owner / Proponent / Beneficiaries</b>	(Name of Proponent)	(Name and of Beneficiaries and Number of Members)
<b>3.</b>	<b>Project Details*</b>  <i>*Specify Type of Livelihood</i>	Project Description (i.e., type of project or livelihood, size/capacity, purpose of livelihood)	
<b>4.</b>	<b>Project Category Based on Part II</b>	(Please refer to DAO 2003-30, Category A, B, C, or D)	
<b>5.</b>	<b>Environmental Compliance Certificate to Acquire:</b>	ECC or CNC	(DENR Regional Office)
<b>6.</b>	<b>Required Plans/ Linked Studies</b>	(i.e., Feasibility Study, Business Plan, SESA, ESIA, IEE, ESMP)	
<b>7.</b>	<b>Philippine EIS System (PEISS) Requirements for Submission:</b>	<i>{i.e., Environmental Impact Statement (EIS); Initial Environmental Examination Checklist (IEEC); Project Description Report (PDR); Environmental Performance and Management Plan (EPRMP)}</i>	

<sup>12</sup> Basis for the rapid environmental and social impact screening

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Query Items	Presence of Issue/Risk/ Protected area/Resource/ Details		
A. Environmental Profile	Ye s	N o	Remarks
1. Areas declared by law as national parks, watershed reserves, wildlife preserves, marine protected areas, wetlands, sanctuaries, etc. <ul style="list-style-type: none"> <li>● Areas declared as such under the Republic Act No. 7586 or the National Integrated Protected Areas System (e-NIPAS) Act. [Amended by RA 11038, Expanded National Integrated Protected Areas System Act of 2018]</li> <li>● Areas declared as such through other issuances from pertinent national and local government agencies such as presidential proclamations and executive orders, local ordinances, and international commitments and declarations.</li> <li>● Areas declared as Local Conservation Areas (LCA) through issuances from pertinent national and local government agencies such as presidential proclamations and executive orders, local ordinances and international commitments and declarations.</li> <li>● Areas identified as key biodiversity areas (KBAs) by BMB.</li> </ul>			If yes, provide names and status (Proposed? Approved? Managed? Abandoned? etc.)
2. Areas set aside as aesthetics, potential tourist spots, and unique historical, archaeological, geological, or scientific interests			If yes, mention local ordinance or declaration by LGU or the National Government Agency
3. What are the geological characteristics and soil type? Is the area exposed to geohazards? Is the area a former contaminated site?			For infrastructure supporting livelihood, how old is the building? For buildings more than 20 years, perform structural integrity assessment by civil engineer.
4. Areas frequently visited and or hard hit by natural calamities: Landslide, prone to land subsidence and ground settling; areas with sinkholes and sags as determined by the MGB or as certified by other competent authorities.			*DRRM Records, PAGASA *Geohazard (i.e., HazardHunter.ph) *Secure EGGAR if performing excavation
4.1 Flood Prone			*DRRM Records, PAGASA *Geohazard (HazardHunter.ph) *Perform Hydrological Study and Hydraulic Assessment to prevent flooding within project area and its vicinity
4.2 Areas prone to volcanic activities/earthquakes			*PhilVolcs data with frequency and incidences of volcanic activities
5. Presence of Infrastructure in proposed E-NIPAS Protected areas			If Yes, identify Infrastructure and status. How old is the building? Does it have permit from PAMB? Secure relevant permits from PAMB / DENR.
5.1 If No, any presence of significant habitats (Marine/Terrestrial). If Yes, kindly identify.			Secure relevant permits from PAMB / DENR. Prepare Biodiversity Management Plan if the project will impact important / significant biodiversity habitats.
6. Presence of Dominant Species?			*Both Terrestrial & Aquatic (plants & animal) *Verify status (endangered, threatened, etc.) IUCN, CITES
6.1 Any significant species? If Yes, kindly identify.			Philippines and IUCN Red List

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7. Endangered species? If Yes, kindly identify.			CITES, Philippines and IUCN Red List
8. Protected species? If Yes, kindly identify.			CITES, Philippines and IUCN Red List
9. Critical habitat (Corals, Seagrass, mangrove, etc)			ENIPAS, CLUP, CRM Plans
10. Presence of water bodies/Aquifers?			*Check data from Local Water District or NWRB *Secure NWRB if utilizing water resources for project purposes
11. Resource degradation issues:			*ICM/CRM Plan/MMK Scrapbook
11.1 Mangrove deforestation?			
11.2 Coral reef and seagrass area degradation?			
11.3 Wetland conversions?			
11.4 Forest conversions?			
11.5 Farm conversions?			
11.6 Marine/river pollution?			
11.7 Congestion and eutrophication of water bodies?			
11.8 Destructive fishing methods?			
11.9 Illegal, unreported, and unregulated fishing (IUU)?			*Ordinance/Resolutions *ICM/CRM Plan/MMK Scrapbook
11.10 Other resource degradation issues (please identify)			
11.11 Is the area a recognized sea mammal aggregation spot or migratory path for marine species and avifauna species?			
12. Presence of other Infrastructures within the Area? (Fish Cages, etc.)			
12.1 Is the delineation of municipal waters approved or ongoing?			Please provide the status.
13. Zoning Plan from the LGU?			Please secure a copy of the zoning clearance, if available.
13. Do you have any existing Fisheries /Environmental Plans (e.g. CRMP, FMP, etc.) being implemented within your area?			If yes, please provide status.
14. Comprehensive Land Use Plan by the LGU			Please secure a copy of this document.
15. Climate and Disaster Risk Assessment (CDRA) and Management Plan			Verify FISHVOOL or HAZARDHUNTERPH recommendations *Secure a copy of documents
<b>B. Socio Economic Profile</b>			
1. Areas that are historically/traditionally occupied as ancestral lands or ancestral domains by indigenous communities as documented in reputable publications or certified by NCIP.			*Secure Certification for non-coverage of CADT and CADC from LGU/ NCIP
2. The whole barangay or municipality, where archeological, paleontological, and anthropological sites/reservations are located as proclaimed by the National Museum and areas with cultural heritage significance as declared by the LGUs or NCCA).			*Secure Certificate of non-overlap (from LGU)
3. Presence of Residential Areas? If Yes, kindly identify them and specify proximity to the proposed location of livelihood. Will there be economic displacement or physical relocation of residential houses? How many numbers of households will be affected or will benefit from the project?			*Photo-documentation *Perform Focus Group Discussion / Stakeholder Engagement with Residential Communities
4. Near industrial areas? If Yes, kindly identify and describe and specify proximity to the proposed location of			*Photo-documentation *List down the surrounding

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livelihood. What type of industrial activities? Is there existing right-of-way or road access? Are there traffic issues.			industries and assess level of cumulative impacts of livelihood activity on existing industrial activities
5. Source of Water? If Yes, kindly identify and describe. Will the livelihood activity require water supply or extraction of water resources?			*Name the water district, if present. *Secure NWRB permit if involving water extraction
6. Source of Electricity? If Yes, kindly identify and describe.			Name the electric cooperative, if present.
7. Fish landing site? Specify proximity to the proposed location of livelihood.			*Identify distance/development map *CLUP/CRMP/ICM
8. Markets? Specify proximity to the proposed location of livelihood.			*Identify distance/development map *CLUP/CRMP/ICM
9. Presence of aquaculture areas? Specify proximity to the proposed location of livelihood.			*CLUP/CRMP/ICM *Zoning Plan
10. Ice Plants? Will the livelihood project require the supply of ice?			*Products requiring ice supply, except fishery
11. Storage areas? Warehouses? Specify proximity to the proposed location of livelihood.			*Identify distance/development map *Facilities other than cold storages
12. Construction activities nearby? If Yes, kindly identify and describe.			*Constructions that could directly affect the project (Road, Commercial Building, etc.) within 5km
13. Presence of public utilities (toilets, etc.) within 100 m from the project site? If Yes, kindly identify and describe.			*Type and number of public utilities (e.g., male and female toilets)
14. Beach Resorts? Other Tourism Areas? Specify proximity to the proposed location of livelihood.			*Photo-documentation
15. Places of Worship or Church? Specify proximity to the proposed location of livelihood.			*Photo-documentation
16. Other pertinent major establishment such as seaport or airports or train station within 5-km radius?			*Describe the level of activity (i.e., daily commuters, frequency of travel services)
17. Road System? If Yes, kindly identify and describe.			*Estimated daily traffic volume and types of vehicles passing
18. Describe the peace and order situation in the area			* Crime index (from DILG/PNP)
- Police Stations, embankments, etc.			
19. Fire Station? Specify proximity to the proposed location of livelihood.			
20. Is there an existing Cellular Site or Communication Tower? And Internet Connection? Means of Communication?			*Name of available communication service provider
21. Clinics and Hospitals?			*Name of hospital and contact number for emergency cases
22. Government Buildings/Infrastructures? Civil Amenities? Please specify.			
23. Peoples Organizations, Cooperatives? Describe membership and participation in the livelihood program.			*Number of POs/Coops and determine status (active/inactive) from LGU/CDA
24. Any Fishing village nearby?			*Ordinance/Resolution for its declaration
25. Income sources? List down household income sources of livelihood beneficiaries.			*Includes all other sources (labor/farming etc.)
26. Average income? Estimate household income of livelihood			*Average income per household

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beneficiaries (baseline).			
27. Main local products and produce?			*List of local products and markets
28. Presence of other government projects?			*List related projects on proposed livelihood program (e.g., assistance from DSWD)
29. Presence of other ODA / IDA projects in the area?			*Specify ODA/IDA project and duration
<b>B. Grievance Mechanism/System (for partner organization / institutions / associations)</b>			
1. Do you have a grievance mechanism for staff and workers (i.e., direct workers, contractors, suppliers, and community workers) to raise concerns/feedback to management?			Functional GRM/GRS of Host LGU / Fisherfolk Organization
2. Are you currently adapting a working grievance mechanism for staff and workers (i.e., direct workers, contractors, suppliers, and community workers) to raise concerns/feedback to management?			Specify if the entity is aware of the LGU Grievance Redress Mechanism protocols
3. Does your Grievance Redress System address all ESF Standards including land acquisition and resettlement issues with local communities/local government units established in your proposed project site?			Specify if there is no awareness of World Bank ESF Standards.
4. Are you aware of the BFAR Grievance Mechanism? Also, are you aware of the FISHCORE GRS System?			If not, BFAR to increase IEC on GRS for FishCoRe Project.
5. Are you willing to adopt the FishCoRe Grievance Redress System?			Specify training needs
<b>C. Social Safeguard Policies and Systems (Questions for Entities / Association / LGU Offices / Proponent)</b>			
1. Does your office have existing procedures to offer compensation or other assistance that will establish entitlement for affected persons or communities?			Specify compensation received from economic displacement or physical relocation from the LGU or ODA projects (if any)
2. Does your office have specific policies or procedures on non-discrimination and providing equal employment opportunities?			Request copy of the Fisherfolk Association or Peoples Organization By-Laws (if any)
3. Does your office have specific policies or procedures on preventing child labor and forced labor?			Copy of By-Laws, Policies, Procedures (whichever is available)
4. Does your office have finance management capabilities?			*Copy of Audited Financial Statement (if available) *Specify training needs to financial management
5. Does your office have specific policies or procedures on preventing gender-based violence and sexual harassment and abuse in workplaces?			Secure copy of the relevant ordinances, policies, by-laws (whichever is applicable)
6. Does your office have an established emergency preparedness and response with the local communities/local government agencies?			Secure copy of the Emergency Preparedness Plan (if available)
7. Does your office have conflict resolution procedures amongst members?			Secure copy of internal procedures and protocols for conflict resolution
<b>Name of Respondent/s:</b> <b>Designation/Position:</b> <b>Region:</b> <b>Date:</b>			

(Insert additional page if necessary, for many respondents / other offices)

\*optional -i.e., size/area, capacity

- Notes: 1. All remarks should be specific and detailed  
2. Provide corresponding evidence to justify answers to the checklist question

**Checklist C2:**

**E&S Screening Template**

*[This checklist should be made available to the Proponents who are prospecting to develop a subproject on livelihood and/or an Enterprise and secure funding under FISHCORE so that they will be guided early on what is eligible and what are the requirements. This checklist shall be filled up during subproject identification and separately for each subproject]*

Screening Question	Yes	No	Remarks
<b>A. Subproject Eligibility</b>			
Is the Subproject listed in the Negative List under the ESMF?			If YES, Revisit and Review ESMF/Negative list/Subproject Mitigation Plan for project reconsideration/approval.
Is the Subproject listed in the Negative List (ESMF, Annex 1) and subproject mitigation plan rejected?			If YES, Subproject is not eligible for funding under FISHCORE
<b>B. Screening under PEISS<sup>13</sup></b>			
Is the subproject a Category A as per DAO 2003-30 Procedural Manual?			<p>If YES, Subproject needs to undergo the EIA process and to secure ECC from DENR</p> <p>Subsequently for selected subprojects, the EIS and the ECC shall be submitted to the RPIU to conform to project readiness requirements. ESIA and ESMP is required.</p>
Is the subproject a Category B as per DAO 2003-30 Procedural Manual?			<p>If YES, Subproject needs to undergo Initial Environmental Examination (IEE) and to secure ECC from DENR.</p> <p>Subsequently for selected projects, the IEE report and the ECC shall be submitted to the RPIU to conform to project readiness requirements. ESIA and ESMP is required.</p>
Is the subproject a Category C as per DAO 2003-30 Procedural Manual?			<p>If YES, Subproject needs to undergo EIA/IEE and secure ECC/CNC from DENR</p> <p>Subsequently for selected projects, the EIA /IEE report and ECC/CNC secured from DENR shall be submitted to RPIU to conform to project readiness requirements. ESIA and ESMP is required.</p> <p>Note: <i>At the time of identification, provide brief note on timelines and support requirements for completing the clearance process as per PEISS requirements for the livelihood subproject</i></p>

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Is the subproject a Category D as per DAO 2003-30 Procedural Manual?			<p>If YES, Subproject needs to secure CNC from DENR.</p> <p>Subsequently for selected projects, the Subproject FS should include sections on Environmental and Social Assessments; prepare and submit an ESMP to the RPIU; ESIA and ESMP is required.</p>
<b>C. Screening – ESS wise</b>			
<b>ESS1: Assessment and Management of Environmental and Social Risks and Impacts</b>			
Is the livelihood subproject linked to the area-wide Fisheries Management Plan?			If Yes, refer to SESA to be conducted in parallel to FMP preparation.
Will the subproject have associated facility <sup>1</sup> ?			If YES, include the associated facility in the assessment of impacts (i.e., ESIA/ IEE/ ESMP)
<p>Will the livelihood project require infrastructure or facility support?</p> <p>Is the project facility operational? If operational, is it covered by the Philippine EIS System and does the facility have an ECC or CNC?</p> <p>If not operational, will the facility undergo upgrade and rehabilitation.</p>			<p>If YES, request copy of the ECC / CNC of existing facility or infrastructure?</p> <p>If the existing facility does not have a CNC or ECC, prepare a Project Description Report (PDR) for CNC application and Environmental Performance Report and Management Plan (EPRMP) for ECC application.</p>
<b>ESS2: Labor and Working Conditions</b>			
<p>Would the subproject livelihood activity involve hiring of people during construction?</p> <p>Who will be participating in the livelihood activity during operation? Please specify the number of men and women.</p>			If YES, the Subproject will be subject to the FISHCORE Labor Management Guidelines/Plan, DOLE requirement, MGB Requirement (if with Reclamation Works) and other related agencies.
Does the subproject employ vulnerable individuals or groups, such as women, people with disabilities, migrant workers and/or youth (of working age)?			Indicate the existing number of workers and categories?
Does the subproject engage migrants during construction and operation phases?			Indicate the expected number of workers and categories to be hired by the subproject.
Does the subproject engage community workers during construction and operation phases?			
Does the subproject engage government workers during construction and operation phases?			Indicate vulnerable groups present.

<sup>1</sup> Associated facilities are defined means facilities or activities that are not funded as part of the project and are: (a) directly and significantly related to the project; (b) carried out, or planned to be carried out, contemporaneously with the project; and (c) necessary for the project to be viable and would not have been constructed, expanded or conducted if the project did not exist.

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Does the subproject provide at least the minimum wage requirement for all workers engaged from preparation, construction/implementation of the new facilities?			
Does the subproject involve working at heights and other such areas with occupational health safety/Health, Safety and Environment (HSE) issues and hazardous substances and conditions?			HSE Manual/Plan shall be prepared. CESMP/CEMP shall contain provisions for addressing these risks. Identify hazardous substances that might be used during construction and operation.
Does the subproject engage child labor/ forced labor			If YES, Subproject is not eligible for funding under FISHCORE.
Will the subproject likely trigger Gender-Based Violence / Sexual Exploitation and Abuse / Sexual Harassment (GBV/SEA/SH) at all project phases?			Risk to be addressed through GBV/SEA/SH mitigation plan
<b>ESS3: Resource Efficiency and Pollution Prevention and Management</b>			
Would the subproject result in the production of large amounts of liquid organic waste that requires treatment before disposal?			If YES, the subproject proposal shall include construction and operation of a Wastewater Treatment Facility or hire an accredited Waste Service Provider (WSP). Formulate and submit a Project Waste Management Plan (PWMP).
Would the subproject involve regular use and disposal of hazardous chemicals?			If YES, Subproject should be subject to provisions of RA 6969. Subproject to provide a list of chemicals to be used onsite. Formulate and submit a Hazardous Waste Management Plan and A Chemical Management Plan.
Does the subproject involve works that impact air, noise and or water quality? Unpleasant odor problems?			If Yes, ESMP shall be prepared. Formulate an Air Quality Monitoring Plan (AQMP) and Noise Monitoring Plan (NMP) and Water Quality Monitoring Plan (WQMP).
Does the subproject involve use of water resources?			If Yes, ESMP/CEMP shall specifically contain plan and process on water balancing, reuse of water. Secure Water Rights Permit from NWRB.
Will the project impact on water quality or the nearby water body (e.g. because of dredging)?			If YES, what pollutant (chemicals, sediments, heavy metals, organic wastes, is likely expected?
Would the subproject result in the production of solid or liquid waste (e.g. water, domestic or construction waste), or result in an increase in waste production, during construction or operation?			If YES, the ESMP/WMP should include sites for proper disposal of waste and measures to minimize waste generation.
Would the subproject involve crop production or post-harvest handling that may require the use of pesticide?			If YES, Subproject should provide the following for review: <ul style="list-style-type: none"> <li>● List of Chemicals</li> <li>● Chemical Management Plan</li> <li>● Hazardous Waste Management Plan</li> </ul> When rejected, Subproject is not eligible for funding under FISHCORE.

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			If NO, Subproject needs to submit evidence that the subproject area is covered by IPM-FFS (KASAKALIKASAN) Project of DA
Would the subproject involve use or regular application of pesticides and other agricultural chemicals?			<p>If YES, Subproject should provide the following for review:</p> <ul style="list-style-type: none"> <li>● List of Chemicals</li> <li>● Chemical Management Plan</li> <li>● Hazardous Waste Management Plan</li> </ul> <p>When rejected, Subproject is not eligible for funding under FISHCORE.</p>
Would the subproject require resources from outside of the project footprint (e.g. construction aggregates, water supply, etc.)?			If YES, Subproject should assess impacts of resource extraction outside of the project footprint.
<b>ESS4. Community Health and Safety</b>			
Would the subproject involve production, handling and marketing of fresh fishery produce?			If YES, they must secure certification from BFAR for its products.
Would the subproject involve production of processed food products and additives?			If YES, the Subproject must secure DOH- FDA certification for its products.
Would the subproject require establishing worker camps with outside workforce?			Prepare mitigation/ management measures in ESMP.
Does the sub project require traffic restrictions/ diversions?			Prepare traffic management plan as part of ESMP.
Does the subproject trigger risks for vulnerable groups?			Include risks assessment for vulnerable groups in the ESMP.
Does the project involve or engage private security forces?			Clearances to be obtained (if necessary). Use of security forces shall not lead to access restriction or community unrest. Consultations with communities shall be held.
Does the subproject lead to impacts on ecosystem services?			Implement appropriate mitigation measures relevant to the ecosystem service affected by the livelihood project
Does the subproject lead to risk of transmissible diseases – HIV/AIDS; COVID 19?			In addition to facilitating access to quality health systems, plan and implement programs to increase awareness on prevention measures.
Does the LGU / RHU have a record of HIV / AIDS / Communicable diseases cases?			
Does the subproject involve potential for community exposure to water-borne/released/related diseases?			Include mitigation measures in the ESMP.
Would the subproject be in areas prone to natural disasters or extreme weather events?			<p>Indicate common natural disasters experienced in the area?</p> <p>Prepare mitigation plan as part of the ESMP.</p>

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Would the subproject expose communities to emergency events/hazards that involve health or safety risks/ impacts (i.e. labor influx, dust generation during construction)?			Prepare mitigation plan as part of the ESMP.
<b>ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement</b>			
Would the subproject adversely affect lands, crops, structures, other properties and/or livelihood.			If YES, conduct survey of Project Affected Persons (PAP), establish and document impacts on livelihood displacement, and document Minutes and other Evidences of consultation to be included in the subproject proposal package.
Would the subproject displace people from their homes and/or people’s livelihoods or restrict access to traditional economic resources?			If YES, the subproject Proponent shall prepare a Resettlement Action Plan (RAP) consistent with ESS5.
Would the subproject involve, require, or result in land acquisition, right-of-way and/or easements rights?			If YES, prepare proper Land Acquisition Documents, clearly showing transfer of ownership or rights from landowners to concerned LGU. Acceptable documents include: TCT, Deed of Sale; Deed Donation (individual or group); and Quit Claim and Waiver of Rights (individual or group).
Would the project result in physical or economical displacement of informal settlers or vulnerable groups?			If YES, in addition to RAP provisions, implementation shall be strengthened by providing additional support to the informal settlers and the vulnerable in the form of access to government schemes, livelihood opportunities.
Is the land to be used still classified under public land?			If YES, secure a Special Land Use Permit (SLUP) from DENR.
Would the project result in access restriction to resources?			If YES, prepare a RAP on access restriction.
Will the project impact foreshore land?			If YES, secure Foreshore Lease Agreement.
<b>ESS6: Biodiversity Conservation and Sustainable Management of Living Resources</b>			
Does the subproject results in impacts to critical and natural habitats/ ecosystem services?			Conduct risk assessment (as part of ESA) and develop Biodiversity Management Plan
Does the subproject result in introducing alien species?			If YES, seek clearance from BFAR in introduction of alien aquatic species in Philippine waters, marine and aquaculture practices.
Is the subproject site located close to any protected areas designated by the government (national park, forest reserve, world heritage site, key biodiversity areas, wetlands, etc.)?			If YES, prepare an ESMP that includes measures to ensure that project activities do not encroach into protected areas and measures to minimize or mitigate any impacts of subproject activities in the nearby protected area.

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Is the project site (e.g., fish cages or aquaculture site) a migratory fish path for marine species or avifauna species?			If YES, prepare a Biodiversity Management Plan, indicating preventive measures such as seasonal closure.
<b>ESS7: Indigenous Peoples</b>			
Is the Subproject site inside any Ancestral Domain?			If YES, the subproject Proponent must undergo FPIC process and secure Certificate of Precondition (CP) from NCIP.
If the subproject is not within any ancestral domain, are there any IP community/ies in the subproject's influence area to be affected (either positively or adversely) by the subproject?			If YES, the subproject must engage with IP communities through meaningful consultations and prepare an IPP.  Determination of ancestral domain shall go through the process as espoused under IPRA of securing a Certificate of No Overlap/Certificate Precondition.
Would there be any resources / supply from Ancestral Domain (e.g., aggregates, water supply) that would be affected?			If YES, the subproject must engage with the IP communities in the Ancestral Domain (AD) and secure consent (FPIC) for extraction of resources on AD.
<b>ESS8: Cultural Heritage</b>			
Is the proposed subproject site near/affect a known tangible and/or intangible cultural heritage (e.g., archaeological or paleontological site; or is it within a potential archaeological or paleontological site, culturally important landscape, artifacts, ecological elements)?  Will the project include areas/sites with recognized tangible and intangible cultural significance?  Is the project located within a legally protected area or an internationally recognized cultural heritage area?			If YES, adopt Cultural Heritage Protection Plan including the Chance Finds Procedure; (Attach a Chance Finds Procedure to the Subproject Proposal).  If there are tangible/ intangible cultural heritage that will be affected, please identify.
Will the project activities involve excavations, demolitions, earth movements, flooding or changes to the physical environment that could affect cultural values?			Identify such activities, if there are.
<b>ESS10: Stakeholder Engagement</b>			
Does the Subproject have a Stakeholder Engagement Plan (SEP) or similar document like a Communication Plan?			If No, adopt relevant project SEP provisions, and update according to the needs of the proposed sub-projects.
Have stakeholder consultations been conducted for the proposed subproject?			If No, design and organize stakeholder consultation meetings with project affected households at project concept preparation and during project implementation (see Project SEP implementation phase).
Does the Subproject have a Grievance Mechanism System in place?			If No, organize orientation and

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			information campaigns to increase familiarity of the Project GRS
<b>Social Inclusiveness</b>			
Does the Subproject involve extension of grant to a private enterprise?			If YES, the Subproject must pass the Social Inclusiveness Criteria (See ESMF Annex 4).
Does the subproject include participation of disadvantaged, indigenous peoples, and vulnerable groups?			If YES, the Subproject has to develop management measures to address project impacts on disadvantaged, indigenous peoples, and/or enhance their benefits from subproject activities.
<b>Contextual Risks</b>			
Is there a history of environmental and/or social activism in the project area (local or international organizations) that could present an increase of safety concern to project-affected communities and/or increase of harm to any environmental receptor within the project's area?			If yes, pls provide mitigating measures in the ESMP such as development of safety procedures and secure a copy of the Crime Index (From DILG and PNP) and/or Certificate of No Insurgency
Are there illicit activities (e.g., mining, IUU, mangrove wood harvesting for firewood/smoking, etc.) in the project vicinity that pose a risk to project execution and related overall ES management performance?			If yes, pls specify and provide copy of the existing policies and regulations in place
Are there political conflicts / issues, political unrest known at the time of the screening? Are issuances of licenses during election likely to become an issue?			If yes, pls provide existing policies/mechanism of the resolution of such conflict and secure a copy of the Crime Index (From DILG and PNP) and/or Certificate of No Insurgency
Are there any influential sectoral groups in the area that might have interest on the project?			If yes, kindly specify the religious group and their intent and status of concern, if any
Are there any legacy issues in the project's area likely to exacerbate project-related ES risks or impacts (e.g., health risks to local communities associated with previous contamination; legacy issues regarding involuntary resettlement, unfulfilled projects, or government commitments)?			If yes, pls specify and provide mitigating measures in the ESMP
Do you have a Citizen's Charter and Process Flow Chart for Permits Application and Processing?			If yes, please provide copies

**Screening Result Summary**  
**(To be filled out by the Screening Officer)**

Check the box that applies:

**The Subproject is not eligible for funding under FISHCORE due to (state reason briefly):**

**The Subproject proposal currently does not qualify for FISHCORE funding but may be resubmitted for consideration after complying with the following requirements/actions** (check all that applies based on the above screening table):

Change of location/site (i.e. avoiding protected area of natural habitat, purchase of pesticides from project funds, cultural heritage property sites)

Change in the Subproject Design to address the following (please specify such as Wastewater Treatment Facility, etc.)

Others (Pls. specify)

Note that subprojects that are revised and resubmitted will be subjected again to the above screening checklist.

The Subproject as proposed is eligible for funding and may proceed to comply with processing and preparation of the following safeguard instruments (check only those that apply based on the above screening):

- PDR for CNC from DENR
- EIA and ECC from DENR
- IEE and ECC from DENR
- ESIA and ECC from DENR
- ESMP Matrix
- IPP
- FPIC/CP from NCIP
- Land Acquisition and Resettlement Action Plan
- Guidelines to Adopt
  - FISHCORE Labor Management Guidelines
  - BFAR Code of Practice for Aquaculture
  - FISHCORE Chance Find Procedure

**SUBMIT OTHER REQUIRED PLANS AND DOCUMENT ATTACHMENTS (if relevant):**

Check if relevant	No.	Name of Plans / Document Requirements
<input type="checkbox"/>	1	Coastal Resource Management Plan (CRMP)
<input type="checkbox"/>	2	Integrated Coastal Management Plan (ICMP)
<input type="checkbox"/>	3	Zoning Plan
<input type="checkbox"/>	4	Comprehensive Land Use Plan (CLUP)
<input type="checkbox"/>	5	Comprehensive Development Plan (CDP)
<input type="checkbox"/>	6	Delineation of Municipal waters
<input type="checkbox"/>	7	Waste Management Plan
<input type="checkbox"/>	8	Fisheries Ordinances
<input type="checkbox"/>	9	Certificate of Non-Overlap (IP)
<input type="checkbox"/>	10	Certificate of Precondition (CP)
<input type="checkbox"/>	11	Free-Prior and Informed Consent (FPIC)
<input type="checkbox"/>	12	Certificate of Non-Overlap (Cultural Heritage)
<input type="checkbox"/>	13	List of Coops/POs with status
<input type="checkbox"/>	14	Other related ordinances/resolutions
<input type="checkbox"/>	15	Fish Catch Records
<input type="checkbox"/>	16	LGU GRM/GRS
<input type="checkbox"/>	17	Ordinance/Resolution adopting the BFAR ESF GRS System
<input type="checkbox"/>	18	DRRM Records/Plan
<input type="checkbox"/>	19	Crime Index (From DILG and PNP)
<input type="checkbox"/>	20	PAG-ASA Records
<input type="checkbox"/>	21	Geohazard (HazardHunter.ph)
<input type="checkbox"/>	22	PhilVolcs Data
<input type="checkbox"/>	23	Philippines and IUCN Red List
<input type="checkbox"/>	24	CITES
<input type="checkbox"/>	25	E-NIPAS
<input type="checkbox"/>	26	IUU Records
<input type="checkbox"/>	27	Required Permitting, provide list
<input type="checkbox"/>	28	National Water Resources Board (NWRB) Water Extraction Permit
<input type="checkbox"/>	29	Other plans required, i.e., _____ _____

[Note that the specific issues/recommended measures identified in the above screening checklist shall also be addressed in the relevant safeguard instruments. During the review, the instruments will be checked against the above checklist.]

Name and Signature of Screening Officer: \_\_\_\_\_

Date Completed: \_\_\_\_\_

**ANNEX 3: FISHCORE SAFEGUARD EVALUATION AND CLEARANCE  
FORM FOR SUBPROJECTS**

**SAFEGUARD REVIEW AND CLEARANCE**

(To be filled only after review of the Subproject proposal package)

This Subproject is deemed ineligible because of the following reasons

[State valid reasons such as erroneous Screening]:

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This Subproject is not yet cleared of Safeguards requirements pending compliance of the following [Write down pending requirements and sign with initials of the reviewing officer]:

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This Subproject is given conditional clearance and may proceed to implementation subject to the compliance of the following requirements on or before the deadlines specified. [Write down requirements and their agreed deadlines. Note that this option should only be resorted to when the pending requirements are already underway and will not have implications on the implementation of the subproject]:

Requirement Deadline:

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This Subproject is cleared of Safeguards requirements and may proceed with implementation.

Recommended for Clearance by:

\_\_\_\_\_  
**FCU Environmental Safeguard Focal**

\_\_\_\_\_  
**FCU Social Safeguard Focal**

Cleared by:

\_\_\_\_\_  
**RPIU Environmental Safeguard Focal**

\_\_\_\_\_  
**RPIU Social Safeguard Focal**

Reviewed and Approved by:

\_\_\_\_\_  
**NPMO Environmental Safeguard Focal**

\_\_\_\_\_  
**NPMO Social Safeguard Focal**

## NEGATIVE LIST<sup>11</sup> UNDER FISHCORE PROGRAM

Based on country systems, considerations in similar WB projects in the region, and consultations with DA-BFAR and other stakeholders, the following activities are excluded (not eligible) for funding under the FISHCORE Program:

1. Subprojects that would involve civil works inside an officially declared protected area of critical habitat, except those civil works that are part of the management and protection plan of the protected area and approved by the protected area management board.
2. Aquaculture using non-native species in natural water bodies (except species identified strategically to be farmed in aquaculture ponds, under the approved Fisheries Management Plan).
3. Activities involving large-scale industrial plants and industrial estates.
4. Subprojects that plan to use funds from the program to purchase prohibited pesticides or other agrochemicals.
5. Production of, or trade-in, any product or activity deemed illegal under Philippine laws or regulations or international conventions and agreements or subject to international phaseouts or bans, such as (i) pharmaceuticals, pesticides, and herbicides; (ii) ozone- depleting substances; (iii) polychlorinated biphenyls and other hazardous chemicals; and (iv) wildlife or wildlife products regulated under the CITES.
6. Activities that involve the introduction of invasive species into the natural environment.
7. Subproject activities in disputed waters.
8. Commercial fisheries activities within the municipal waters and in disputed areas.
9. Marine and coastal fishing practices, such as large-scale pelagic drift net fishing (i.e., more than 2.5 km in length) and fine mesh net fishing, which are harmful to vulnerable and protected species in large numbers and damaging to marine biodiversity and habitats.
10. Subprojects that would alter, damage, or render inaccessible any cultural heritage property and historical monuments, or those that would involve commercial exploitation of cultural properties.
11. Subprojects that would result in the significant conversion of critical habitats (e.g., primary forest, habitat of endangered species, wetlands, mangrove forest and coral reefs)
12. Subprojects that would involve significant socio-economic impacts involving permanent involuntary resettlement.
13. Sub-projects whose area of operation/ activities is located in territorial dispute between multiple countries.

### Notes:

- *Provision of conditional clearance to projects needing further consideration. Example: A species of fish cultured on different parts of the Philippines and introduced to a new site/area.*
- *Application of mitigation measures*
- *Development of a Biodiversity Plan (as required)*
- *Meeting with DENR for ECC permit application and PAMB Clearance or SAPA (if applicable)*
- *Meeting with NCIP for securing CNO or FPIC and MOA execution with ICCs (if applicable)*

<sup>11</sup> Also referred to as exclusion criteria.

**Attachment 7: Screening Checklist for FishCoRe Subprojects Specific to Enterprise Projects**

On the request of BFAR/ NPMO, the FCU and RPIU E&S Focal Persons and Specialists shall furnish details in the following two templates to facilitate the screening and selection of subprojects.

- Checklist C1: Rapid FMA level environmental/social/ institutional profile, RPIU wise, and consolidated at FMA level by lead RPIU to aid in the screening process
- Checklist C2: Subproject-wise E&S details based on subproject activities (including Component 1 activities as applicable). Checklist C2 contains – (i) inputs for exclusion, (ii) inputs for identification of clearance requirements from country systems; and (iii) inputs for identifying ESSs triggered and mitigation instruments to be employed as per ESF.

*Note: The Checklists apply to subprojects and can provide input along with SESA which will be utilized in developing FMPs, ADMPs, zoning, and other area-wide plan preparation.*

**Checklist C1:**

**RAPID FMA LEVEL ENVIRONMENTAL AND SOCIAL PROFILE/RISK CHECKLIST TEMPLATE**

**Objective:** Following the set of ESS under the World Bank ESF, these checklists intend to collect further details on the environmental and social profile/risk of the possible pipeline FISHCORE projects per region to enable screening of the projects for their impact category.

**Instructions:** FISHCORE Briefer and FMA 6/ FMA 9 Profiles have been made available to respective RPIUs. Additional information shall be provided on environmental/social/institutional profile, potential issues, impacts, and risks that may be applicable by **putting [X] on the boxes (Yes, No)**, based on area knowledge by **BFAR Environment/Social Safeguard Focal Persons and Specialists** assigned to the FMAs. Remarks or additional information shall be included in the last column to expound on the answer.

<b>Date (MM/DD/YYYY)</b>		<b>Weather Conditions: (Rainy/Sunny)</b>	
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*[To be filled out by FCU Environmental and Social Safeguard Focal and RPIU Environmental and Social Safeguard Focal and Specialists]*

FMA: \_\_\_\_\_ FCU: \_\_\_\_\_

**A. Potential Pipeline Project<sup>12</sup>:** \_\_\_\_\_

Note: Kindly provide the proposed project details, if available (i.e., area/size, capacity, availability of surrounding facilities, roadworks, etc.) that have been identified by FCUs in FMA 6 and 9.

<b>1.</b>	<b>Name of Project</b>	Name and Location (Municipality / City, Province, Region)	
<b>2.</b>	<b>Project Owner / Proponent / Beneficiaries</b>	(Name of Proponent)	(Name and of Beneficiaries and Number of Members)
<b>3.</b>	<b>Project Details*</b> <i>*Specify Type of enterprise subprojects</i>	Project Description (i.e., type of project or enterprise subprojects, size/capacity, purpose of enterprise subprojects)	
<b>4.</b>	<b>Project Category Based on Part II</b>	(Please refer to DAO 2003-30, Category A, B, C, or D)	
<b>5.</b>	<b>Environmental Compliance Certificate to Acquire:</b>	ECC or CNC	(DENR Regional Office)
<b>6.</b>	<b>Required Plans/ Linked Studies</b>	(i.e., Feasibility Study, Business Plan, SESA, ESIA, IEE, ESMP)	
<b>7.</b>	<b>Philippine EIS System (PEISS) Requirements for Submission:</b>	{i.e., Environmental Impact Statement (EIS); Initial Environmental Examination Checklist (IEEC); Project Description Report (PDR); Environmental Performance and Management Plan (EPRMP)}	

<sup>12</sup> Basis for the rapid environmental and social impact screening

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Query Items	Presence of Issue/Risk/ Protected area/Resource/ Details			
	Yes	No	Remarks	
<b>A. Environmental Profile</b>				
1. Areas declared by law as national parks, watershed reserves, wildlife preserves, marine protected areas, wetlands, sanctuaries, etc. <ul style="list-style-type: none"> <li>• Areas declared as such under the Republic Act No. 7586 or the National Integrated Protected Areas System (e-NIPAS) Act. [Amended by RA 11038, Expanded National Integrated Protected Areas System Act of 2018]</li> <li>• Areas declared as such through other issuances from pertinent national and local government agencies such as presidential proclamations and executive orders, local ordinances, and international commitments and declarations.</li> <li>• Areas declared as Local Conservation Areas (LCA) through issuances from pertinent national and local government agencies such as presidential proclamations and executive orders, local ordinances and international commitments and declarations.</li> <li>• Areas identified as key biodiversity areas (KBAs) by BMB.</li> </ul>			If yes, provide names and status (Proposed? Approved? Managed? Abandoned? etc.)	
2. Areas set aside as aesthetics, potential tourist spots, and unique historical, archaeological, geological, or scientific interests				If yes, mention local ordinance or declaration by LGU or the National Government Agency
3. What are the geological characteristics and soil type? Is the area exposed to geohazards? Is the area a former contaminated site?				For infrastructure supporting enterprise subprojects, how old is the building? For buildings more than 20 years, perform structural integrity assessment by civil engineer.
4. Areas frequently visited and or hard hit by natural calamities: Landslide, prone to land subsidence and ground settling; areas with sinkholes and sags as determined by the MGB or as certified by other competent authorities.				*DRRM Records, PAGASA *Geohazard (i.e., HazardHunter.ph) *Secure EGGAR if performing excavation
4.1 Flood Prone				*DRRM Records, PAGASA *Geohazard (HazardHunter.ph) *Perform Hydrological Study and Hydraulic Assessment to prevent flooding within project area and its vicinity
4.2 Areas prone to volcanic activities/earthquakes				*PhilVolcs data with frequency and incidences of volcanic activities
5. Presence of Infrastructure in proposed E-NIPAS Protected areas				If Yes, identify Infrastructure and status. How old is the building? Does it have permit from PAMB? Secure relevant permits from PAMB / DENR.
5.1 If No, any presence of significant habitats (Marine/Terrestrial). If Yes, kindly identify.				Secure relevant permits from PAMB / DENR. Prepare Biodiversity Management Plan if the project will impact important / significant biodiversity habitats.
6. Presence of Dominant Species?				*Both Terrestrial & Aquatic (plants & animal) *Verify status (endangered, threatened, etc.) IUCN, CITES
6.1 Any significant species? If Yes, kindly identify.				Philippines and IUCN Red List

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7. Endangered species? If Yes, kindly identify.			CITES, Philippines and IUCN Red List
8. Protected species? If Yes, kindly identify.			CITES, Philippines and IUCN Red List
9. Critical habitat (Corals, Seagrass, mangrove, etc)			ENIPAS, CLUP, CRM Plans
10. Presence of water bodies/Aquifers?			*Check data from Local Water District or NWRB *Secure NWRB if utilizing water resources for project purposes
11. Resource degradation issues:			*ICM/CRM Plan/MMK Scrapbook
11.1 Mangrove deforestation?			
11.2 Coral reef and seagrass area degradation?			
11.3 Wetland conversions?			
11.4 Forest conversions?			
11.5 Farm conversions?			
11.6 Marine/river pollution?			
11.7 Congestion and eutrophication of water bodies?			
11.8 Destructive fishing methods?			
11.9 Illegal, unreported, and unregulated fishing (IUU)?			*Ordinance/Resolutions *ICM/CRM Plan/MMK Scrapbook
11.10 Other resource degradation issues (please identify)			
11.11 Is the area a recognized sea mammal aggregation spot or migratory path for marine species and avifauna species?			
12. Presence of other Infrastructures within the Area? (Fish Cages, etc.)			
12.1 Is the delineation of municipal waters approved or ongoing?			Please provide the status.
13. Zoning Plan from the LGU?			Please secure a copy of the zoning clearance, if available.
13. Do you have any existing Fisheries /Environmental Plans (e.g. CRMP, FMP, etc.) being implemented within your area?			If yes, please provide status.
14. Comprehensive Land Use Plan by the LGU			Please secure a copy of this document.
15. Climate and Disaster Risk Assessment (CDRA) and Management Plan			Verify FISHVOOL or HAZARDHUNTERPH recommendations *Secure a copy of documents
<b>B. Socio Economic Profile</b>			
1. Areas that are historically/traditionally occupied as ancestral lands or ancestral domains by indigenous communities as documented in reputable publications or certified by NCIP.			*Secure Certification for non-coverage of CADT and CADC from LGU/ NCIP
2. The whole barangay or municipality, where archeological, paleontological, and anthropological sites/reservations are located as proclaimed by the National Museum and areas with cultural heritage significance as declared by the LGUs or NCCA).			*Secure Certificate of non-overlap (from LGU)
3. Presence of Residential Areas? If Yes, kindly identify them and specify proximity to the proposed location of enterprise subprojects. Will there be economic displacement or physical relocation of residential houses? How many numbers of households will be affected or will benefit from the project?			*Photo-documentation *Perform Focus Group Discussion / Stakeholder Engagement with Residential Communities
4. Near industrial areas? If Yes, kindly identify and describe and specify proximity to the proposed location of			*Photo-documentation *List down the surrounding industries and assess level of

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enterprise subproject. What type of industrial activities? Is there existing right-of-way or road access? Are there traffic issues.			cumulative impacts of enterprise subprojects activity on existing industrial activities
5. Source of Water? If Yes, kindly identify and describe. Will the enterprise activity require water supply or extraction of water resources?			*Name the water district, if present. *Secure NWRB permit if involving water extraction
6. Source of Electricity? If Yes, kindly identify and describe.			Name the electric cooperative, if present.
7. Fish landing site? Specify proximity to the proposed location of enterprise subproject.			*Identify distance/development map *CLUP/CRMP/ICM
8. Markets? Specify proximity to the proposed location of enterprise subproject.			*Identify distance/development map *CLUP/CRMP/ICM
9. Presence of aquaculture areas? Specify proximity to the proposed location of the enterprise subproject.			*CLUP/CRMP/ICM *Zoning Plan
10. Ice Plants? Will the enterprise subprojects project require the supply of ice?			*Products requiring ice supply, except fishery
11. Storage areas? Warehouses? Specify proximity to the proposed location of enterprise subproject.			*Identify distance/development map *Facilities other than cold storages
12. Construction activities nearby? If Yes, kindly identify and describe.			*Constructions that could directly affect the project (Road, Commercial Building, etc.) within 5km
13. Presence of public utilities (toilets, etc.) within 100 m from the project site? If Yes, kindly identify and describe.			*Type and number of public utilities (e.g., male and female toilets)
14. Beach Resorts? Other Tourism Areas? Specify proximity to the proposed location of enterprise subproject.			*Photo-documentation
15. Places of Worship or Church? Specify proximity to the proposed location of enterprise subproject.			*Photo-documentation
16. Other pertinent major establishment such as seaport or airports or train station within 5-km radius?			*Describe the level of activity (i.e., daily commuters, frequency of travel services)
17. Road System? If Yes, kindly identify and describe.			*Estimated daily traffic volume and types of vehicles passing
18. Describe the peace and order situation in the area			* Crime index (from DILG/PNP)
- Police Stations, embankments, etc.			
19. Fire Station? Specify proximity to the proposed location of enterprise subproject.			
20. Is there an existing Cellular Site or Communication Tower? And Internet Connection? Means of Communication?			*Name of available communication service provider
21. Clinics and Hospitals?			*Name of hospital and contact number for emergency cases
22. Government Buildings/Infrastructures? Civil Amenities? Please specify.			
23. Peoples Organizations, Cooperatives? Describe membership and participation in the enterprise subproject program.			*Number of POs/Coops and determine status (active/inactive) from LGU/CDA
24. Any Fishing village nearby?			*Ordinance/Resolution for its declaration
25. Income sources? List down household income sources of enterprise subproject beneficiaries.			*Includes all other sources (labor/farming etc.)
26. Average income? Estimate household income of enterprise subproject beneficiaries (baseline).			*Average income per household

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27. Main local products and produce?			*List of local products and markets
28. Presence of other government projects?			*List related projects on the proposed enterprise projects (e.g., assistance from DSWD)
29. Presence of other ODA / IDA projects in the area?			*Specify ODA/IDA project and duration
<b>B. Grievance Mechanism/System (for partner organization / institutions / associations)</b>			
1. Do you have a grievance mechanism for staff and workers (i.e., direct workers, contractors, suppliers, and community workers) to raise concerns/feedback to management?			Functional GRM/GRS of Host LGU / Fisherfolk Organization
2. Are you currently adapting a working grievance mechanism for staff and workers (i.e., direct workers, contractors, suppliers, and community workers) to raise concerns/feedback to management?			Specify if the entity is aware of the LGU Grievance Redress Mechanism protocols
3. Does your Grievance Redress System address all ESF Standards including land acquisition and resettlement issues with local communities/local government units established in your proposed project site?			Specify if there is no awareness of World Bank ESF Standards.
4. Are you aware of the BFAR Grievance Mechanism? Also, are you aware of the FISHCORE GRS System?			If not, BFAR to increase IEC on GRS for FishCoRe Project.
5. Are you willing to adopt the FishCoRe Grievance Redress System?			Specify training needs
<b>C. Social Safeguard Policies and Systems (Questions for Entities / Association / LGU Offices / Proponent)</b>			
1. Does your office have existing procedures to offer compensation or other assistance that will establish entitlement for affected persons or communities?			Specify compensation received from economic displacement or physical relocation from the LGU or ODA projects (if any)
2. Does your office have specific policies or procedures on non-discrimination and providing equal employment opportunities?			Request copy of the Fisherfolk Association or Peoples Organization By-Laws (if any)
3. Does your office have specific policies or procedures on preventing child labor and forced labor?			Copy of By-Laws, Policies, Procedures (whichever is available)
4. Does your office have finance management capabilities?			*Copy of Audited Financial Statement (if available) *Specify training needs to financial management
5. Does your office have specific policies or procedures on preventing gender-based violence and sexual harassment and abuse in workplaces?			Secure copy of the relevant ordinances, policies, by-laws (whichever is applicable)
6. Does your office have an established emergency preparedness and response with the local communities/local government agencies?			Secure copy of the Emergency Preparedness Plan (if available)
7. Does your office have conflict resolution procedures amongst members?			Secure copy of internal procedures and protocols for conflict resolution
<b>Name of Respondent/s:</b> <b>Designation/Position:</b> <b>Region:</b> <b>Date:</b>			

(Insert additional page if necessary, for many respondents / other offices)

\*optional -i.e., size/area, capacity

- Notes: 1. All remarks should be specific and detailed  
2. Provide corresponding evidence to justify answers to the checklist question

**Checklist C2:**

**E&S Screening Template**

*[This checklist should be made available to the Proponents who are prospecting to develop enterprise subprojects and secure funding under FISHCORE so that they will be guided early on what is eligible and what are the requirements. This checklist shall be filled up during subproject identification and separately for each subproject]*

Screening Question	Yes	No	Remarks
<b>A. Subproject Eligibility</b>			
Is the Subproject listed in the Negative List under the ESMF?			If YES, Revisit and Review ESMF/Negative list/Subproject Mitigation Plan for project reconsideration/approval.
Is the Subproject listed in the Negative List (ESMF, Annex 1) and subproject mitigation plan rejected?			If YES, Subproject is not eligible for funding under FISHCORE
<b>B. Screening under PEISS<sup>13</sup></b>			
Is the subproject a Category A as per DAO 2003-30 Procedural Manual?			<p>If YES, Subproject needs to undergo the EIA process and to secure ECC from DENR</p> <p>Subsequently for selected subprojects, the EIS and the ECC shall be submitted to the RPIU to conform to project readiness requirements. ESIA and ESMP is required.</p>
Is the subproject a Category B as per DAO 2003-30 Procedural Manual?			<p>If YES, Subproject needs to undergo Initial Environmental Examination (IEE) and to secure ECC from DENR.</p> <p>Subsequently for selected projects, the IEE report and the ECC shall be submitted to the RPIU to conform to project readiness requirements. ESIA and ESMP is required.</p>
Is the subproject a Category C as per DAO 2003-30 Procedural Manual?			<p>If YES, Subproject needs to undergo EIA/IEE and secure ECC/CNC from DENR</p> <p>Subsequently for selected projects, the EIA /IEE report and ECC/CNC secured from DENR shall be submitted to RPIU to conform to project readiness requirements. ESIA and ESMP is required.</p> <p>Note: <i>At the time of identification, provide brief note on timelines and support requirements for completing the clearance process as per PEISS requirements for the enterprise subproject</i></p>

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Is the subproject a Category D as per DAO 2003-30 Procedural Manual?			<p>If YES, Subproject needs to secure CNC from DENR.</p> <p>Subsequently for selected projects, the Subproject FS should include sections on Environmental and Social Assessments; prepare and submit an ESMP to the RPIU; ESIA and ESMP is required.</p>
<b>C. Screening – ESS wise</b>			
<b>ESS1: Assessment and Management of Environmental and Social Risks and Impacts</b>			
Is the enterprise subproject linked to the area-wide Fisheries Management Plan?			If Yes, refer to SESA to be conducted in parallel to FMP preparation.
Will the subproject have associated facility <sup>2</sup> ?			If YES, include the associated facility in the assessment of impacts (i.e., ESIA/ IEE/ ESMP)
<p>Will the enterprise subproject require infrastructure or facility support?</p> <p>Is the project facility operational? If operational, is it covered by the Philippine EIS System and does the facility have an ECC or CNC?</p> <p>If not operational, will the facility undergo upgrade and rehabilitation.</p>			<p>If YES, request copy of the ECC / CNC of existing facility or infrastructure?</p> <p>If the existing facility does not have a CNC or ECC, prepare a Project Description Report (PDR) for CNC application and Environmental Performance Report and Management Plan (EPRMP) for ECC application.</p>
<b>ESS2: Labor and Working Conditions</b>			
<p>Would the subproject enterprise subproject activity involve hiring of people during construction?</p> <p>Who will be participating in the enterprise subproject activity during operation? Please specify the number of men and women.</p>			<p>If YES, the Subproject will be subject to the FISHCORE Labor Management Guidelines/Plan, DOLE requirement, MGB Requirement (if with Reclamation Works) and other related agencies.</p>
Does the subproject employ vulnerable individuals or groups, such as women, people with disabilities, migrant workers and/or youth (of working age)?			Indicate the existing number of workers and categories?
Does the subproject engage migrants during construction and operation phases?			Indicate the expected number of workers and categories to be hired by the subproject.
Does the subproject engage community workers during construction and operation phases?			Indicate vulnerable groups present.
Does the subproject engage government workers during construction and operation phases?			

<sup>2</sup> Associated facilities are defined means facilities or activities that are not funded as part of the project and are: (a) directly and significantly related to the project; (b) carried out, or planned to be carried out, contemporaneously with the project; and (c) necessary for the project to be viable and would not have been constructed, expanded or conducted if the project did not exist.

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Does the subproject provide at least the minimum wage requirement for all workers engaged from preparation, construction/implementation of the new facilities?			
Does the subproject involve working at heights and other such areas with occupational health safety/Health, Safety and Environment (HSE) issues and hazardous substances and conditions?			HSE Manual/Plan shall be prepared. CESMP/CEMP shall contain provisions for addressing these risks.  Identify hazardous substances that might be used during construction and operation.
Does the subproject engage child labor/ forced labor			If YES, Subproject is not eligible for funding under FISHCORE.
Will the subproject likely trigger Gender-Based Violence / Sexual Exploitation and Abuse / Sexual Harassment (GBV/SEA/SH) at all project phases?			Risk to be addressed through GBV/SEA/SH mitigation plan
<b>ESS3: Resource Efficiency and Pollution Prevention and Management</b>			
Would the subproject result in the production of large amounts of liquid organic waste that requires treatment before disposal?			If YES, the subproject proposal shall include construction and operation of a Wastewater Treatment Facility or hire an accredited Waste Service Provider (WSP). Formulate and submit a Project Waste Management Plan (PWMP).
Would the subproject involve regular use and disposal of hazardous chemicals?			If YES, Subproject should be subject to provisions of RA 6969. Subproject to provide a list of chemicals to be used onsite. Formulate and submit a Hazardous Waste Management Plan and A Chemical Management Plan.
Does the subproject involve works that impact air, noise and or water quality? Unpleasant odor problems?			If Yes, ESMP shall be prepared. Formulate an Air Quality Monitoring Plan (AQMP) and Noise Monitoring Plan (NMP) and Water Quality Monitoring Plan (WQMP).
Does the subproject involve use of water resources?			If Yes, ESMP/CEMP shall specifically contain plan and process on water balancing, reuse of water.  Secure Water Rights Permit from NWRB.
Will the project impact on water quality or the nearby water body (e.g. because of dredging)?			If YES, what pollutant (chemicals, sediments, heavy metals, organic wastes, is likely expected?
Would the subproject result in the production of solid or liquid waste (e.g. water, domestic or construction waste), or result in an increase in waste production, during construction or operation?			If YES, the ESMP/WMP should include sites for proper disposal of waste and measures to minimize waste generation.

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<p>Would the subproject involve crop production or post-harvest handling that may require the use of pesticide?</p>		<p>If YES, Subproject should provide the following for review:</p> <ul style="list-style-type: none"> <li>● List of Chemicals</li> <li>● Chemical Management Plan</li> <li>● Hazardous Waste Management Plan</li> </ul> <p>When rejected, Subproject is not eligible for funding under FISHCORE.</p> <p>If NO, Subproject needs to submit evidence that the subproject area is covered by IPM-FFS (KASAKALIKASAN) Project of DA</p>
<p>Would the subproject involve use or regular application of pesticides and other agricultural chemicals?</p>		<p>If YES, Subproject should provide the following for review:</p> <ul style="list-style-type: none"> <li>● List of Chemicals</li> <li>● Chemical Management Plan</li> <li>● Hazardous Waste Management Plan</li> </ul> <p>When rejected, Subproject is not eligible for funding under FISHCORE.</p>
<p>Would the subproject require resources from outside of the project footprint (e.g. construction aggregates, water supply, etc.)?</p>		<p>If YES, Subproject should assess impacts of resource extraction outside of the project footprint.</p>
<p><b>ESS4. Community Health and Safety</b></p>		
<p>Would the subproject involve production, handling and marketing of fresh fishery produce?</p>		<p>If YES, they must secure certification from BFAR for its products.</p>
<p>Would the subproject involve production of processed food products and additives?</p>		<p>If YES, the Subproject must secure DOH- FDA certification for its products.</p>
<p>Would the subproject require establishing worker camps with outside workforce?</p>		<p>Prepare mitigation/ management measures in ESMP.</p>
<p>Does the sub project require traffic restrictions/ diversions?</p>		<p>Prepare traffic management plan as part of ESMP.</p>
<p>Does the subproject trigger risks for vulnerable groups?</p>		<p>Include risks assessment for vulnerable groups in the ESMP.</p>
<p>Does the project involve or engage private security forces?</p>		<p>Clearances to be obtained (if necessary). Use of security forces shall not lead to access restriction or community unrest. Consultations with communities shall be held.</p>
<p>Does the subproject lead to impacts on ecosystem services?</p>		<p>Implement appropriate mitigation measures relevant to the ecosystem service affected by the enterprise subproject</p>
<p>Does the subproject lead to risk of transmissible diseases – HIV/AIDS; COVID 19?  Does the LGU / RHU have a record of HIV /</p>		<p>In addition to facilitating access to quality health systems, plan and implement programs to increase awareness on prevention measures.</p>

**ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK**

AIDS / Communicable diseases cases?			
Does the subproject involve potential for community exposure to water-borne/released/related diseases?			Include mitigation measures in the ESMP.
Would the subproject be in areas prone to natural disasters or extreme weather events?			Indicate common natural disasters experienced in the area?  Prepare mitigation plan as part of the ESMP.
Would the subproject expose communities to emergency events/hazards that involve health or safety risks/ impacts (i.e. labor influx, dust generation during construction)?			Prepare mitigation plan as part of the ESMP.
<b>ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement</b>			
Would the subproject adversely affect lands, crops, structures, other properties and/or other livelihoods.			If YES, conduct survey of Project Affected Persons (PAP), establish and document impacts on enterprise subproject displacement, and document Minutes and other Evidences of consultation to be included in the subproject proposal package.
Would the subproject displace people from their homes and/or people’s livelihoods or restrict access to traditional economic resources?			If YES, the subproject Proponent shall prepare a Resettlement Action Plan (RAP) consistent with ESS5.
Would the subproject involve, require, or result in land acquisition, right-of-way and/or easements rights?			If YES, prepare proper Land Acquisition Documents, clearly showing transfer of ownership or rights from landowners to concerned LGU. Acceptable documents include: TCT, Deed of Sale; Deed Donation (individual or group); and Quit Claim and Waiver of Rights (individual or group).
Would the project result in physical or economical displacement of informal settlers or vulnerable groups?			If YES, in addition to RAP provisions, implementation shall be strengthened by providing additional support to the informal settlers and the vulnerable in the form of access to government schemes, and other livelihood opportunities.
Is the land to be used still classified under public land?			If YES, secure a Special Land Use Permit (SLUP) from DENR.
Would the project result in access restriction to resources?			If YES, prepare a RAP on access restriction.
Will the project impact foreshore land?			If YES, secure Foreshore Lease Agreement.
<b>ESS6: Biodiversity Conservation and Sustainable Management of Living Resources</b>			
Does the subproject results in impacts to critical and natural habitats/ ecosystem services?			Conduct risk assessment (as part of ESA) and develop Biodiversity Management Plan
Does the subproject result in introducing alien			If YES, seek clearance from BFAR in

**ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK**

species?			introduction of alien aquatic species in Philippine waters, marine and aquaculture practices.
Is the subproject site located close to any protected areas designated by the government (national park, forest reserve, world heritage site, key biodiversity areas, wetlands, etc.)?			If YES, prepare an ESMP that includes measures to ensure that project activities do not encroach into protected areas and measures to minimize or mitigate any impacts of subproject activities in the nearby protected area.
Is the project site (e.g., fish cages or aquaculture site) a migratory fish path for marine species or avifauna species?			If YES, prepare a Biodiversity Management Plan, indicating preventive measures such as seasonal closure.
<b>ESS7: Indigenous Peoples</b>			
Is the Subproject site inside any Ancestral Domain?			If YES, the subproject Proponent must undergo FPIC process and secure Certificate of Precondition (CP) from NCIP.
If the subproject is not within any ancestral domain, are there any IP community/ies in the subproject's influence area to be affected (either positively or adversely) by the subproject?			If YES, the subproject must engage with IP communities through meaningful consultations and prepare an IPP.  Determination of ancestral domain shall go through the process as espoused under IPRA of securing a Certificate of No Overlap/Certificate Precondition.
Would there be any resources / supply from Ancestral Domain (e.g., aggregates, water supply) that would be affected?			If YES, the subproject must engage with the IP communities in the Ancestral Domain (AD) and secure consent (FPIC) for extraction of resources on AD.
<b>ESS8: Cultural Heritage</b>			
Is the proposed subproject site near/ affect a known tangible and/or intangible cultural heritage (e.g., archaeological or paleontological site; or is it within a potential archaeological or paleontological site, culturally important landscape, artifacts, ecological elements)?  Will the project include areas/sites with recognized tangible and intangible cultural significance?  Is the project located within a legally protected area or an internationally recognized cultural heritage area?			If YES, adopt Cultural Heritage Protection Plan including the Chance Finds Procedure; (Attach a Chance Finds Procedure to the Subproject Proposal).  If there are tangible/ intangible cultural heritage that will be affected, please identify.
Will the project activities involve excavations, demolitions, earth movements, flooding or changes to the physical environment that could affect cultural values?			Identify such activities, if there are.
<b>ESS10: Stakeholder Engagement</b>			
Does the Subproject have a Stakeholder Engagement Plan (SEP) or similar			If No, adopt relevant project SEP provisions, and update according to the

**ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK**

document like a Communication Plan?			needs of the proposed sub-projects.
Have stakeholder consultations been conducted for the proposed subproject?			If No, design and organize stakeholder consultation meetings with project affected households at project concept preparation and during project implementation (see Project SEP implementation phase).
Does the Subproject have a Grievance Mechanism System in place?			If No, organize orientation and information campaigns to increase familiarity of the Project GRS
<b>Social Inclusiveness</b>			
Does the Subproject involve extension of grant to a private enterprise?			If YES, the Subproject must pass the Social Inclusiveness Criteria (See ESMF Annex 4).
Does the subproject include participation of disadvantaged, indigenous peoples, and vulnerable groups?			If YES, the Subproject has to develop management measures to address project impacts on disadvantaged, indigenous peoples, and/or enhance their benefits from subproject activities.
<b>Contextual Risks</b>			
Is there a history of environmental and/or social activism in the project area (local or international organizations) that could present an increase of safety concern to project-affected communities and/or increase of harm to any environmental receptor within the project's area?			If yes, pls provide mitigating measures in the ESMP such as development of safety procedures and secure a copy of the Crime Index (From DILG and PNP) and/or Certificate of No Insurgency
Are there illicit activities (e.g., mining, IUU, mangrove wood harvesting for firewood/smoking, etc.) in the project vicinity that pose a risk to project execution and related overall ES management performance?			If yes, pls specify and provide copy of the existing policies and regulations in place
Are there political conflicts / issues, political unrest known at the time of the screening? Are issuances of licenses during election likely to become an issue?			If yes, pls provide existing policies/mechanism of the resolution of such conflict and secure a copy of the Crime Index (From DILG and PNP) and/or Certificate of No Insurgency
Are there any influential sectoral groups in the area that might have interest on the project?			If yes, kindly specify the religious group and their intent and status of concern, if any
Are there any legacy issues in the project's area likely to exacerbate project-related ES risks or impacts (e.g., health risks to local communities associated with previous contamination; legacy issues regarding involuntary resettlement, unfulfilled projects, or government commitments)?			If yes, pls specify and provide mitigating measures in the ESMP
Do you have a Citizen's Charter and Process Flow Chart for Permits Application and Processing?			If yes, please provide copies

**Attachment 8: Social Inclusiveness Criteria for Enterprise Subprojects**

This scoring sheet should always accompany the Subproject Proposal Package. The primary purpose of this Social Inclusiveness Scoring Sheet is to screen out obvious cases of "elite capture" of the program's support (i.e., grants) to enterprise subprojects. The score may also be used to prioritize enterprise subprojects.

This scoring sheet shall be accomplished by the LGU and/or the proponent group, and validated by the FCU-Social Safeguard Focal during the enterprise subproject validation and based on ocular inspection and random interviews with PG members, the PG By-Laws, the Enterprise Business Plan, etc. The filled-up sheet will be part of the proposal package. In cases of numerous clusters, a sampling of the cluster POs or Associations may be interviewed as the basis of the rating.

Name of Enterprise : \_\_\_\_\_  
 Subproject Location: \_\_\_\_\_  
 Name of the Proponent Group: \_\_\_\_\_  
 Subproject Scale and Type: \_\_\_\_\_  
 Estimated Subproject Cost: \_\_\_\_\_

Criterion	Score Range	PG Rating
1. Open membership/stockholder policy	0-10	
2. Plan for expansion of membership tied up to the grant	0-5	
3. Farmers and/or fishers are themselves members/stockholders of the PG	0-10	
4. Business plan shall show clear increase in farmers and/or fishers incomes (both members and non-members)	0-10	
5. Tangible benefits to the workers of the enterprise, including any plan to increase wage, fringe benefits and any plan to increase the number of workers	0-5	
6. Lot where permanent facilities to be funded will be constructed should be covered by sufficient security of tenure for the PG.	0-5	
7. No potential economic displacement of existing similar or exactly the same enterprise/business in the area	0-5	
Total score	3-50	

Scoring Guide:

Criterion and Indicators	Y/N	Rating Guide	Rating
<b>1. Open membership/stockholder policy</b>			
(i) Open membership/stockholder policy is indicated in the By-Laws of the PG.		<ul style="list-style-type: none"> <li>● If all of the indicators are present, 10 points.</li> <li>● If 2 of the indicators are not present, 5 points.</li> </ul>	
(ii) There is no restriction aside from relevance of livelihood/profession to the enterprise (e.g. only dairy farmers			

may be a member in a dairy cooperative).		<ul style="list-style-type: none"> <li>● If no written by-laws or membership is exclusive, 0 point.</li> </ul>	
(iii) There are no artificial barriers to membership/stockholders such as family affiliation, controlling stock, political affiliation, gender, religion, ethnicity or the use of political boundaries to restrict membership in natural resource-based PG.			
(iv) The corporation, cooperative or association must not amend their membership/share of stock policy such that it will effectively place such or similar barriers, during the entire economic life of the proposed enterprise.			
(v) Requirements for membership must be simple enough to accomplish (i.e. documentary requirements) and membership fee is reasonable even for small farmers/fisherfolks to be members.			
<b>2. Plan for expansion of membership tied up to the grant</b>			
(i) With concrete, feasible and attainable targets (e.g. after 2 years of implementation there is a 5 % increase in membership)		<ul style="list-style-type: none"> <li>● If both indicators are present – 5 points</li> <li>● If there are targets, but no specified concrete steps on how to achieve the targets - 3 points</li> <li>● If no plans indicated - 0 points</li> </ul>	
(ii) With an Action Plan that specifies steps/activities on how to achieve the target (e.g. conduct of pre-membership orientation and seminar that discusses the VMG, values and principles of the Cooperative or PO).			
<b>3. Farmers and/or fishers are themselves members/stockholders of the PG</b>			
(i) Fishers are themselves members of the PG and the PG is a cooperative with one-man one vote, and equitable sharing of earnings (i.e. based on capital contribution and patronage).		<ul style="list-style-type: none"> <li>● If (i) and (iii) indicators are met, 10 points.</li> <li>● If (ii) and (iii) indicators are met, 7</li> <li>● If only (i) is met, 5 points.</li> <li>● If only (ii) is met, 3 points.</li> <li>● If only (iii) is met, 3 points.</li> <li>● If none is met, 0 point.</li> </ul>	
(ii) Fishers are themselves stockholders of a Corporation with no one person controlling more than 50% of the voting rights and dividend shares.			
(iii) There is meaningful participation of fishers in decision-making processes			

of the Cooperative/PO (can also look into women participation)			
<b>4. Business plan shall show clear increase in farmers and/or fishers incomes (both members and non-members)</b>			
(i) Business plan shows clear increase in income of members		<ul style="list-style-type: none"> <li>● If all the indicators are present – 10 points</li> <li>● If only increase in income of members - 5 points</li> <li>● If does not clearly show benefits to farmers/fisherfolks - 0 points.</li> </ul>	
(ii) Business plan show clear increase in income of non-members			
(iii) Business plan show other benefits to the members and non-members			
<b>5. Tangible benefits to the workers of the enterprise, including any plan to increase wage, fringe benefits and any plan to increase the number of workers</b>			
(i) BP includes plan to increase the number of workers/hire more workers		<ul style="list-style-type: none"> <li>● If all the indicators are met, 5 points</li> <li>● If only (i) is met, 4 points</li> <li>● If only (ii) is met, 3 points</li> <li>● If none is met, 0 point.</li> </ul>	
(ii) BP has plans to increase/improve wage rate or provide additional/ improve the benefits such as SSS, Pag-ibig, PhilHealth, etc.			
<b>6. Lot where permanent facilities to be funded will be constructed should be covered by sufficient security of tenure for the PG.</b>			
(i) Lot is already owned by PG as evidenced by Land Title/Deed of Sale, Or If lot is public land (i.e. coastal area), it should be covered by an adequate Fishpond/Foreshore Lease Agreement (FLA) issued to the PG.		<ul style="list-style-type: none"> <li>● If this criterion is met, 5 points.</li> </ul>	
(ii) The PG is arranging to purchase the lot prior to construction of the facility or the PG is applying for an FLA of the area.		<ul style="list-style-type: none"> <li>● If this criterion is met, 4 points.</li> </ul>	
(iii) Lot is private property and is leased to the PG for over a period sufficient to cover the economic life* of the enterprise; and, (a) the owner-lessor of the lot is not be a key official of the PG or should not occupy a managerial position in enterprise such that he/she can influence in the continued viability of the enterprise; or,		<ul style="list-style-type: none"> <li>● If this criterion is met, 3 points.</li> <li>● If none of the criteria is met, 0 point.</li> </ul>	

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<p>(b) if the owner-lessor is a key official of the PG, all of the following should be true: (1) the cost of lease is cleared by the BOD and comparable to the prevailing rates in the area; (2) historically, the PG has a high turn-over of set of officers and election of officers is held regularly; (3) the owner of the property/land is not be the one directly managing the enterprise; and (4) the lease contract should include provisions for the fate of the facility in the leased property in case of bankruptcy of the enterprise.</p>			
<p><b><i>7. No potential economic displacement of existing similar or exactly the same enterprise/business in the area</i></b></p>			
<p>There are no existing similar or exactly the same enterprise/business in the area</p>		<ul style="list-style-type: none"> <li>● If all of the indicators are met, 5 points</li> </ul>	
<p>Creation of the enterprise/business does not deliberately and unfairly compete with the identified existing enterprise/s</p>		<ul style="list-style-type: none"> <li>● If proposed enterprise is found to be competing with existing hard-working individuals, small scale enterprises or small household-based businesses but will not displace their captured market, 3 points</li> </ul>	
<p>Captured market/clientele is clearly defined in the Business Plan and doesn't overlap with existing operations in the area</p>		<ul style="list-style-type: none"> <li>● If there are existing similar or the same enterprise/business in the area, wherein the proposed enterprise would unfairly compete with these existing businesses (especially the small-scale enterprises or small household-based businesses), 0 points</li> </ul>	
<p>Total score</p>		<p>3-50</p>	

**\*Note:**

(1) Basis for “economic life” can be: a) COA Circular 2003-007 Annex A wherein “useful life” is qualified as 30 years for concrete building; 20 years for mixed and 10 years for wood material. Cost of the infrastructure should also be taken into consideration in assessing if lease of contract should be more than 30 years; or b) the economic life of the enterprise as discussed in the Business Plan.

**Rule:**

To qualify for funding, the PG Group (PG) must not have zero score on either Criterion#1, Criterion #4, or Criterion #6 and must have a total score of at least 25. Upon scoring, if the PG obtained a low rating or zero score then the PG must look into these items and see what can be done to be able to meet/satisfy the criteria.

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Scored/Evaluated by: \_\_\_\_\_  
Printed Name and Signature

Designation/Position: \_\_\_\_\_

Office: \_\_\_\_\_

Date: \_\_\_\_\_

Reviewed/Validated by: \_\_\_\_\_  
Printed Name and Signature

Designation/Position: \_\_\_\_\_

Office: \_\_\_\_\_

Date: \_\_\_\_\_

Screening Result Summary  
(To be filled out by the Screening Officer)

Check the box that applies:

**The Subproject is not eligible for funding under FISHCORE due to (state reason briefly):**

**The Subproject proposal currently does not qualify for FISHCORE funding but may be resubmitted for consideration after complying with the following requirements/actions (check all that applies based on the above screening table):**

Change of location/site (i.e. avoiding protected area of natural habitat, purchase of pesticides from project funds, cultural heritage property sites)

Change in the Subproject Design to address the following (please specify such as Wastewater Treatment Facility, etc.)

Others (Pls. specify)

Note that subprojects that are revised and resubmitted will be subjected again to the above screening checklist.

The Subproject as proposed is eligible for funding and may proceed to comply with processing and preparation of the following safeguard instruments (check only those that apply based on the above screening):

PDR for CNC from DENR

EIA and ECC from DENR

IEE and ECC from DENR

ESIA and ECC from DENR

ESMP Matrix

IPP

FPIC/CP from NCIP

Land Acquisition and Resettlement Action Plan

Guidelines to Adopt

FISHCORE Labor Management Guidelines

BFAR Code of Practice for Aquaculture

FISHCORE Chance Find Procedure

**SUBMIT OTHER REQUIRED PLANS AND DOCUMENT ATTACHMENTS (if relevant):**

<b>Check if relevant</b>	<b>No.</b>	<b>Name of Plans / Document Requirements</b>
<input type="checkbox"/>	1	Coastal Resource Management Plan (CRMP)
<input type="checkbox"/>	2	Integrated Coastal Management Plan (ICMP)
<input type="checkbox"/>	3	Zoning Plan
<input type="checkbox"/>	4	Comprehensive Land Use Plan (CLUP)
<input type="checkbox"/>	5	Comprehensive Development Plan (CDP)
<input type="checkbox"/>	6	Delineation of Municipal waters
<input type="checkbox"/>	7	Waste Management Plan
<input type="checkbox"/>	8	Fisheries Ordinances
<input type="checkbox"/>	9	Certificate of Non-Overlap (IP)
<input type="checkbox"/>	10	Certificate of Precondition (CP)
<input type="checkbox"/>	11	Free-Prior and Informed Consent (FPIC)
<input type="checkbox"/>	12	Certificate of Non-Overlap (Cultural Heritage)
<input type="checkbox"/>	13	List of Coops/POs with status
<input type="checkbox"/>	14	Other related ordinances/resolutions
<input type="checkbox"/>	15	Fish Catch Records
<input type="checkbox"/>	16	LGU GRM/GRS
<input type="checkbox"/>	17	Ordinance/Resolution adopting the BFAR ESF GRS System
<input type="checkbox"/>	18	DRRM Records/Plan
<input type="checkbox"/>	19	Crime Index (From DILG and PNP)
<input type="checkbox"/>	20	PAG-ASA Records
<input type="checkbox"/>	21	Geohazard (HazardHunter.ph)
<input type="checkbox"/>	22	PhilVolcs Data
<input type="checkbox"/>	23	Philippines and IUCN Red List
<input type="checkbox"/>	24	CITES
<input type="checkbox"/>	25	E-NIPAS
<input type="checkbox"/>	26	IUU Records
<input type="checkbox"/>	27	Required Permitting, provide list
<input type="checkbox"/>	28	National Water Resources Board (NWRB) Water Extraction Permit
<input type="checkbox"/>	29	Other plans required, i.e., _____ _____

[Note that the specific issues/recommended measures identified in the above screening checklist shall also be addressed in the relevant safeguard instruments. During the review, the instruments will be checked against the above checklist.]

Name and Signature of Screening Officer: \_\_\_\_\_

Date Completed: \_\_\_\_\_

**ANNEX 3: FISHCORE SAFEGUARD EVALUATION AND CLEARANCE FORM FOR SUBPROJECTS**

**SAFEGUARD REVIEW AND CLEARANCE**

(To be filled only after review of the Subproject proposal package)

This Subproject is deemed ineligible because of the following reasons  
[State valid reasons such as erroneous Screening]:

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This Subproject is not yet cleared of Safeguards requirements pending compliance of the following  
[Write down pending requirements and sign with initials of the reviewing officer]:

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This Subproject is given conditional clearance and may proceed to implementation subject to the compliance of the following requirements on or before the deadlines specified. [Write down requirements and their agreed deadlines. Note that this option should only be resorted to when the pending requirements are already underway and will not have implications on the implementation of the subproject]:

Requirement Deadline:

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This Subproject is cleared of Safeguards requirements and may proceed with implementation.

Recommended for Clearance by:

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**FCU Environmental Safeguard Focal**

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**FCU Social Safeguard Focal**

Cleared by:

---

**RPIU Environmental Safeguard Focal**

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**RPIU Social Safeguard Focal**

Reviewed and Approved by:

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**NPMO Environmental Safeguard Focal**

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**NPMO Social Safeguard Focal**

[INSERT DATE HERE]

# Philippines Fisheries and Coastal Resiliency Project (FISHCORE)

P174137

Environmental and Social Management Plan (ESMP) for (insert  
sub-project title) in (insert barangay, province region)  
(FMA\_)

## I. PROJECT BACKGROUND

## II. OBJECTIVES OF THE ESMP

## III. SUB-PROJECT INFORMATION

**Table 4**

<b>Sub-Project Information</b>	<b>Details</b>
<b>Sub-Project Title</b>	
<b>Address</b>	
<b>Project Coordinates</b>	
<b>FISHCORE Component</b>	
<b>Estimated Cost</b>	
<b>Start Date</b>	
<b>FCU Contact Person</b>	
<b>LGU Contact Person</b>	
<b>FCU E&amp;S Focal Person</b>	
<b>RPIU E&amp;S Focal Person</b>	

## IV. BASELINE INFORMATION

### 2.1 Socio-Cultural Context

*Livelihoods, indigenous peoples, physical cultural resources, migration patterns, health, pollution, resettlement, land tenure, conflicts over the use of resources, transboundary issues, and institutional capacity for natural resource management.*

1. **Demography and Land Area**
2. **Economy**

#### **A. Marine Resources**

*Status of land and water resources, vulnerability of natural resources that livelihoods depend on. The potential for exploitation, and analysis of ecosystem carrying capacity (land degradation, unsustainable agricultural practices).*

## 2.2 Climate

*Explicit reference to current climate, observed trends, projections and expected climate risks in the target zones (frequency and intensity of extreme weather events and increasing climate variability).*

### V. PROJECT DESCRIPTION

- Seaweed and Shellfish Polyculture
- Objectives of the Project
- Planned Activities and Associated Facilities
  1. **Social Preparation**
  2. **Capacity Building and Training**
  3. **Construction of infrastructure set-up for (insert subproject here)**
  4. **Monitoring and evaluation**
- Project Beneficiaries

### VI. PROJECT RISKS, IMPACTS AND MITIGATION MEASURES, AND MONITORING PLAN

*This section should identify anticipated site-specific adverse environmental and social risks and impacts; describe mitigation measures to address these risks and impact; and list the monitoring measures necessary to ensure effective implementation of the mitigation measures. It may draw from the ESMF's pre-identification of potential risks/impacts and mitigation measures, as applicable, and drill down further to ensure relevance and comprehensiveness at the site-specific level. For subprojects involving construction, two sets of tables may be needed, for the construction phase and the operation phase.*

2. This section presents the potential risks, impacts and proposed mitigation measures to manage such impacts. Performance indicators to monitor effectivity of management measures are indicated in the next table.

**Table 5:** *Project Risks, Potential Impacts, Mitigation Measures and Monitoring*

Anticipated E&S Risks and Impacts	Risk Mitigation and Management Measures	Timing / Frequency of Mitigation	Responsibility	Cost of Mitigation Measures	Monitoring Parameter	Timing / Frequency of Monitoring	Responsibility
<b>Pre-Construction Phase</b>							
<b>ESS 1: Assessment and Management of Environmental and Social Risks and Impacts</b>							
<b>ESS 2: Labor and Working Conditions</b>							
<b>ESS 3: Resource Efficiency and Pollution Prevention and Management</b>							
<b>ESS 4: Community Health and Safety</b>							
<b>ESS 5: Land Acquisition, Restriction on Land Use and Involuntary Resettlement</b>							
<b>ESS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources</b>							
<b>ESS 7: Indigenous Peoples</b>							

Anticipated E&S Risks and Impacts	Risk Mitigation and Management Measures	Timing / Frequency of Mitigation	Responsibility	Cost of Mitigation Measures	Monitoring Parameter	Timing / Frequency of Monitoring	Responsibility
<b>ESS 8: Cultural Heritage</b>							
<b>ESS 10: Stakeholder Engagement and Information Disclosure</b>							
<b>Construction Phase</b>							
<b>ESS 1: Assessment and Management of Environmental and Social Risks and Impacts</b>							
<b>ESS 2: Labor and Working Conditions</b>							
<b>ESS 3: Resource Efficiency and Pollution Prevention and Management</b>							
<b>ESS 4: Community Health and Safety</b>							
<b>ESS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources</b>							

Anticipated E&S Risks and Impacts	Risk Mitigation and Management Measures	Timing / Frequency of Mitigation	Responsibility	Cost of Mitigation Measures	Monitoring Parameter	Timing / Frequency of Monitoring	Responsibility
ESS 10: Stakeholder Engagement and Information Disclosure							
Operation Phase							
ESS 1: Assessment and Management of Environmental and Social Risks and Impacts							
ESS 2: Labor and Working Conditions							
ESS 3: Resource Efficiency and Pollution Prevention and Management							
ESS 4: Community Health and Safety							
ESS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources							
ESS 10: Stakeholder Engagement and Information Disclosure							

Anticipated E&S Risks and Impacts	Risk Mitigation and Management Measures	Timing / Frequency of Mitigation	Responsibility	Cost of Mitigation Measures	Monitoring Parameter	Timing / Frequency of Monitoring	Responsibility

## VII. CAPACITY DEVELOPMENT AND TRAINING

Based on the implementation arrangements and responsible parties proposed above, this section outlines any capacity building, training or new staffing that may be necessary for effective implementation.

Table 6 Proposed Training and Capacity Building Program for ESMP Implementation

Participants	Training and Capacity Building Program	Training Provider (lead) and Resource Persons	By When

## VIII. IMPLEMENTATION SCHEDULE AND COST ESTIMATES

This section states the implementation timeline for the mitigation measures and capacity development measures described above, as well as a cost estimate for the implementation. The cost estimate can focus on the line items that will be covered by the project implementing agency, with costs of mitigation measures to be implemented by the contractor left to the contractor to calculate.

## IX. REVIEW AND APPROVAL

<p><b>Prepared By</b>.....(Signature)                  Position: ..... Date .....</p>	
<p><b>Reviewed By</b> .....(Signature)                  Position: .....Date .....</p>	<p><b>Approved By</b>.....(Signature)                  Position: ..... Date .....</p>

## X. ATTACHMENTS