

Republic of the Philippines

**LAND ADMINISTRATION MANAGEMENT  
PROJECT**

**(LAMP)**

**OPERATIONS MANUAL**

**Prototype 2 – Land Records Management  
Quezon City**

**REPORT D16**

**September 2002**



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## **LIST OF REFERENCES**

LRA Administrative Order 48-2000, dated September 15, 2000

DENR Administrative Order 69-2000, dated September 14, 2000

Interagency MOA dated September 13, 2000

DENR Employee Handbook, 1994

World Bank, LAMP Project Appraisal Document

World Bank, LAMP Loan Agreement

# OPERATIONS MANUAL FOR LAMP – PIO2

## 1.0 Proposals for Amendments/Revisions

All amendments and/or revisions to any part of the Manual shall follow the following steps:

- a. A proposal to amend and/or revise any part of the Manual shall be submitted in writing to the Prototype Manager, PIO2.
- b. The proposal shall be reviewed together with the Deputy Prototype Manager, all the Unit Chiefs of PIO2, other staff and advisers, as appropriate.
- c. If a consensus is reached on the proposed amendments/revisions, the Prototype Manager shall make the necessary endorsement and recommendation to the PMO. The proposal must contain adequate justification for the amendment/revision, including but not limited to the minutes of the meeting to discuss the proposal.
- d. Upon approval, the LAMP Executive Director shall issue a corresponding Office Order effecting the revision(s). All listed holders of the Manual shall be given copies of the approved revision(s). *Annex A – Distribution List of the Manual*
- e. Portions of this Manual shall be deemed revised/amended if any of the governing rules from which it is based (Civil Service rules and regulations, internal DENR policies, internal LAMP policies, COA rules and regulations, and applicable World Bank guidelines) are revised. In such cases, the Administrative and Planning Units shall closely monitor any changes in the governing rules and policies and effect the necessary revisions/changes, as may be necessary.

## 2.0 Control Copy

The copy, as kept and maintained by the Chief, Planning and Coordination Unit, shall be considered the official control and final reference of the Manual.

## 3.0 Effectivity

The Manual and/or its amendments/revisions shall take effect on the day of the approval of the Executive Director, LAMP

# CHAPTER 1 INTRODUCTION

## A. Project Framework

### 1. Land Administration and Management Program (LAM Program)

The LAM Program is a long-term commitment of the government to alleviate poverty and enhance economic growth by improving the security of land tenure and fostering efficient land markets in rural and urban areas. The Program hopes to achieve this through the development of an efficient system of land titling and administration, which is based on clear, transparent, coherent and consistent policies and laws, and is supported by an appropriate institutional structure. It was designed to address the structural and basic constraints facing the sector that has contributed to less than optimal performance of the economy, weakened its potential contribution to reducing poverty and sustainable use of land and other natural resources.

The long term program hopes to achieve the following:

- A clear, transparent, coherent and consistent set of land administration policies and laws;
- Accelerated programs that would formally recognize the rights of eligible land holders and facilitate the recording of these rights in a strengthened land administration system;
- An efficient land administration system operating throughout the Philippines in accordance with government policy, and responsive to the needs of the people, supported by a sustainable financing mechanism;
- An effective and transparent land valuation system, in line with internationally accepted standards, that serves the needs of all levels of government and the private sector; and
- A well functioning land market operating in both urban and rural areas.

### 2. Land Administration and Management Project (LAMP)

The LAMP has been designed as a first step towards the implementation of the LAM Program. Its main objectives are to assess the viability of the LAM Program and to formalize the institutional arrangements needed to support its development. Utilizing the learning and innovation approach, the intention is to test alternative approaches to accelerated programs designed to improve the protection of rights to land, eliminate fake titles, and introduce a framework for an equitable system of land valuation. This would be achieved through: (i) policy studies, analysis, and key decisions and actions of the government; (ii) prototypes to test and implement interim institutional arrangements and adjusted processes of work flow to develop an efficient titling and administration system in the prototype areas; (iii) evaluation of the prototypes; (iv) institutional development, which include project management, education and training, and monitoring and evaluation; (v) design of the subsequent phase. The LAMP is to be implemented for a limited period of three years, after which a design for the succeeding phase will be made based on the lessons and learning from the initial phase.

A copy of the LAMP Log frame is presented in *Annex B*.

### *3. The Quezon City Prototype – PIO2*

In line with the Project's overall strategy, the objective of the Quezon City Prototype is to develop and test alternative approaches for land record management and associated institutional arrangements that will improve the protection of rights to land and public confidence in the system. The Prototype aims to address the issues related to the inconsistencies in the land records system among different agencies, the proliferation of fake, duplicate and missing titles, inefficiencies in the system of providing land related services to the public and the associated graft and corruption resulting from it, inadequate feedback from the communities on the nature and quality of services that the public requires from government, and the need to improve the overall land records management system in the country.

The Prototype operates in Quezon City and covers the following five barangays: Commonwealth, Payatas, Bagong Silangan, Holy Spirit and Batasan Hills.

The Prototype aims to achieve the following at the end of the learning and innovation phase:

- Improved land record management systems and procedures developed, tested and documented (this would cover procedures to detect fake, duplicate and missing titles and resolution of anomalies);
- Systems and institutional arrangements for streamlined, efficient and cost-effective delivery of land transaction services and associated information developed and tested, through the establishment and operation of a One Stop Shop;
- Community consultation, customer relations and services strategies developed and tested to support the operations of the Prototype and the longer term LAM Program; and
- A national land records management strategy formulated, based on lessons learned from the project.

### *4. LAMP and PIO2 Implementation Scheme*

By design, the implementation of LAMP involves the cooperation of several agencies involved in land administration and management. For Prototype 2, the main agencies participating are LRA, DENR and ROD. These are the main agencies involved in land records management in various capacities.

The DENR is the lead implementing agency for LAMP. For Prototype 2, the LRA is the lead implementing agency. Guidance and interagency coordination is facilitated by the Local Advisory Group, composed of senior officials from the Quezon City government, the LRA, DENR National Capital Region, Bureau of Internal Revenue, Registry of Deeds, National Government Center Housing Project of the Housing and Urban Coordinating Council, Philippine National Police and Chairmen of the five prototype barangays.

PIO2 is headed by a senior official from LRA as Prototype Manager, and is assisted by two Deputy Prototype Managers, designated by the Quezon City government from its Assessor's Office, and the DENR-NCR. The intent is to maximize the opportunity of transfer of technology provided by LAMP through the active participation of regular staff from participating agencies in the implementation of the

Prototype. Other senior staff from these two agencies also participate in PIO2 in various capacities.

## **B. PIO2 Operations Manual**

The Prototype Management Operations Manual was developed to facilitate implementation of activities within PIO2. The Manual was developed within the framework of existing government rules and regulations issued by the Civil Service Commission and the Commission on Audit. Furthermore, it draws from and is guided by the relevant provisions of the following:

- World Bank guidelines on procurement;
- Internal DENR Policies
- Internal Policies of LAMP as issued by PMO from time to time; and
- Policies on the use of AUSAID-TA funds for LAMP

The premise of this Manual is to facilitate and standardize existing written and unwritten management policies and procedures for managing the operations of the prototype. It also seeks to document agreed protocols to serve as guide for all PIO2 staff and clarify relationships with PMO. It is not intended to be restrictive but rather document the procedures for more efficient operations. The Manual should evolve, as refinements and amendments are made to governing framework conditions and the internal procedures within DENR, PMO and AUSAID TA.

### **1. Objectives**

The Manual is expected to serve the following objectives:

- To document the internal guidelines and procedures for accomplishing outputs, and implementing activities as defined in the Project Appraisal Document, and refined in the Prototype Log frame;
- To establish certain standards and systematize the operations of the Prototype;
- To define specific responsibilities of staff in various aspects of prototype management and operation; and
- To put together in one document the applicable rules and regulations in managing the affairs of the prototype.

### **2. Scope**

The Manual covers the following areas of prototype management and operations:

- Roles and responsibilities of units, staff and the relationship of PIO2 with the PMO, LAG and other agencies/bodies;
- Administrative operations to clarify and facilitate personnel management policies, procurement, and budget monitoring and control; and
- Planning, reporting, monitoring and evaluation and process documentation

### *3. Methodology and Limitations*

The development of the Manual was made after a review of documents and other applicable rules, laws, and policies, and consultation with PIO2 and PMO staff, as well as LEI for PA-LAMP.

The Manual is by no means exhaustive and is not intended to replace nor amend the generally applicable laws, and policies as pronounced in Civil Service rules and regulations, COA Circulars and relevant guidelines. Portions of relevant laws and policies have been cited in the Manual to highlight the importance of complying with such guidelines in the operations of the prototype.

To the extent that policies have been defined by PMO and LEI for PA-LAMP, such are incorporated in the Manual. Revisions will therefore have to be made, as additional policies are generated, and amendments/clarifications are issued for the use of LAMP.

The Manual does not cover technical operations where Procedures Manuals already exists, or where plans are in place to document procedures and methodologies. Thus, the Manual does not include operations involving the production of Cadastral Index Maps (CIMs); Office Validation, Field Validation and Training. Portions of the Monitoring and Evaluation Framework are cited in this document, to highlight the standards and protocols for M and E work within the prototype.

# CHAPTER 2 ORGANIZATION, ROLES AND FUNCTIONS

## A. Structure and Functions

The PIO2 was created in accordance with LRA Administrative Order No. 48-2000 dated September 15, 2000. It is tasked to provide day-to-day management and control, essential in ensuring delivery of outputs required from Prototype 2. The PIO2 has the following functions and responsibilities:

- Facilitate the integration and coordination of Prototype activities with the Project;
- Organize and implement Prototype activities in accordance with the Project implementation plan;
- Prepare the Prototype work and financial plan and ensure consistency of the plan with the Project implementation plan;
- Monitor progress of Prototype implementation against milestones and performance indicators established, identify bottlenecks and implementation issues/problems and facilitate execution of agreed remedial actions;
- Establish linkages and coordination with the LAMP PMO, the Land Titling and Computerization Project of the LRA and other Project/Prototype implementing entities to ensure successful implementation of the Prototype;
- Render reports to the PMO and other implementing entities on the progress of the Prototype and bring to their attention implementation issues and problems requiring their action; and
- Perform such other functions and duties as may be necessary to ensure the successful implementation of the Prototype.

The Office is headed by the Prototype Manager, assisted by two Deputies: (i) for Technical Services which will take charge of the CIM Production, and Title Validation and Reconstitution; and (ii) for Support Services which will be responsible for supervising the three support units namely: Planning and Coordination, Monitoring and Evaluation, and Community Relations Services. Under the structure, the two Deputies are supposed to reinforce each other with the support services providing overall support in ensuring that the major outputs of the Prototype, which are to be produced under the Technical Services Group, are achieved. Because of the learning and innovation nature of the Project, the role of planning, M and E and CRS are deemed equally important in the delivery of tangible outputs, since documentation, planning, and generating effective feedback from communities and stakeholder groups play critical roles in producing the desired results from the prototype.

The Prototype Manager shall also be responsible for managing the operations of the OSS. In the meantime however, preparatory work towards the establishment of the OSS is the responsibility of the Deputy Prototype Manager for Support Services. It is envisaged that the PIO2 will eventually collapse into the OSS at the latter part of the project. In the meantime however, that PIO2 is still trying to complete its outputs (i.e., preliminary CIMs, field validation, etc.), both the PIO2 and the OSS offices will operate in parallel.

The Organizational Structure of PIO2 appears as *Annex C*.

## **B. Roles and Functions of PIO2 units and staff**

### *1. Office of the Prototype Manager*

The Office of the Prototype Manager is responsible for the day to day operations of the Prototype and in the achievement of PIO2's deliverables. It is headed by a Prototype Manager designated from the LRA, and assisted by two Deputies: one from the Office of the Quezon City Assessor, and another from the Office of the DENR. The following describes the functions and reporting arrangements of the Prototype Manager and the two Deputy Prototype Managers.

#### **Prototype Manager**

Reporting Arrangements:

- Reports directly to the Executive Director of LAMP;

Directly supervise:

- 2 Deputy Prototype Managers; and
- Administrative Unit.

Functions:

- Responsible for the day to day operations of the OSS and the PIO;
- Take overall responsibility for the successful execution of the Prototype within time, quality and budget constraints;
- Ensure the integration and coordination of the Prototype activities with the overall LAM Project;
- Establish linkages with the partner agencies, community groups, and other stakeholders (LAG, TWG, barangay representatives, etc) relevant to the implementation of the project;
- Oversee and ensure the efficient delivery of various components' outputs in accordance with the project's objectives and work plans;
- Prepare the Annual Operations Plan (AOP) for the Prototype including the detailed activities of the PIO, based on the PAD, the Loan Agreement and Implementation Letter;
- Organize and carry out Prototype activities in accordance with the AOP;
- Coordinate Prototype activities with all implementing units, including consultants, to ensure successful implementation of the Prototype;
- Review, monitor and assess the progress of Prototype implementation against the milestones and performance indicators established in the AOP, identify the bottlenecks and implementation problems and report the same to the PMO, including those inter and intra institution problems affecting implementation, and facilitate the execution of agreed remedial actions;
- Ensure that Prototype inputs, such as goods, consultants, training, CRS campaigns and civil works, and outputs, such as consultant reports, policies,

procedure and physical resources are leading to the achievement of the objectives of the Prototype;

- Identify areas where policy and legislative actions are required within the context and scope of the Prototype and take appropriate steps to ensure that such actions are taken in a timely manner;
- Obtain formal approval of the PMO at various stages of the Prototype implementation, as required;
- Keep the PMO and the LAG informed of the Prototype's progress, bottlenecks and implementation problems;
- Supervise the CRS campaign under the Prototype to ensure timely and effective dissemination of information about Prototype activities to all stakeholders, including the public at large;
- Responsible for the administrative supervision of all the detailed and project hired staff of the Prototype; monitor staff performance, and institute relevant procedures, standards, in accordance with existing policies to ensure achievement of Prototype objectives;
- Prepare and submit to the PMO progress reports and other documents as may be required; and
- Perform other tasks as may be assigned.

## Deputy Prototype Manager for Technical Services

Reporting Arrangements:

- Reports directly to the Prototype Manager;

Directly supervise:

- CIM Production Unit; and
- Title Validation and Reconstitution Unit.

Functions:

- Assist the Prototype Manager in the management of PIO2, specifically the technical services aspects (CIM Production and Titles Validation and Reconstitution);
- Supervise the overall operations of the CIM Production and Title Validation and Reconstitution Unit, ensuring the targets are achieved, and that acceptable technical standards are applied in the performance of the tasks under the Office;
- In coordination with the TA, test different methodologies for CIM production and titles validation and reconstitution;
- Document lessons and prepare report on the outcome of testing the different methodologies employed;
- Assist the Prototype Manager in presentations of the lessons and other reports on CIM Production and Titles Validation and Reconstitution to the LAG, Presidential Task Force, PMO and other appropriate bodies, as may be necessary;

- Coordinate with concerned agencies in generating the necessary cooperation and establishing linkages to ensure their support in CIM production, titles validation and reconstitution and complementation with relevant programs;
- Prepare and submit regular reports to management; and
- Perform other tasks as may be required.

## Deputy Prototype Manager for Support Services

Reporting Arrangements:

- Reports directly to the Prototype Manager;

Directly supervise:

- Planning and Coordination;
- Monitoring and Evaluation and
- Community Relations Services Units.

Functions:

- Assist the Prototype Manager in the management of PIO2, specifically the support services functions;
- Manage the operations of the PIO2 in the absence of the Prototype Manager;
- Supervise the activities of the Planning, M and E and CRS units, and ensure that appropriate support are provided by these units in the operations of the PIO2, and that work is performed in accordance with acceptable technical standards;
- Install appropriate planning and M and E systems for PIO2 and ensure compliance with relevant Project guidelines and procedures;
- Assist the Prototype Manager in facilitating the active participation of LAG in providing oversight and policy advise to PIO2;
- Coordinate with appropriate agencies and the TA in the establishment of the OSS, and analyze and document lessons relevant to the experience;
- Supervise the preparation of relevant reports to PMO, LAG, WB-AusAID Missions, and oversight agencies, as required; and
- Perform other tasks as may be required.

## 2. *Administrative Support Unit*

### Administrative Officer

Reporting Arrangements:

- Reports directly to the Prototype Manager;

Directly supervise:

- Administrative Assistant;

- Secretary,
- Driver and
- Utility Worker

Functions:

- Undertake personnel management functions such as hiring/selection of staff, attendance monitoring and time keeping, facilitate preparation and signing of contracts, ensure timely processing of payment for salaries, in accordance with existing rules and regulations;
- Facilitate and coordinate all administrative and general services concerns requests, canvass, purchase and inventory of supplies, furniture and other logistical requirements of PIO2;
- Ensure that office equipment including vehicles are utilized properly to support the needs of the project and the proper maintenance of such equipment and vehicles;
- Ensure timely and accurate receiving and dispatching of office documents and other communications;
- Maintain a centralized file management system;
- Act as Finance Officer;
- In coordination with various units, prepare the overall budget for PIO2 and maintain an updated record of budget utilization;
- Facilitate the review, approval, request, disbursement and liquidation of petty cash and other cash advances according to existing accounting rules and regulations;
- Monitor and control cash/budget allocated for the activities of PIO2;
- Perform other tasks as may be required.

## Administrative Assistant

Reporting Arrangements:

- Reports directly to the Administrative Officer

Functions:

- Assist the Administrative Officer in the discharge of administrative and finance management functions; and
- Perform other tasks as may be required.

## Secretary

Reporting Arrangements:

- Reports directly to the Administrative Officer

Functions:

- Maintain confidential files;
- Take dictation and transcribe notes of staff meetings;

- Type correspondence, reports and other documents;
- Independently answer routine correspondence, prepare clerical reports;
- Keep daily schedule of activities of PIO2 as well as the Prototype Manager and Deputy Prototype Managers; and
- Perform other tasks as may be assigned

## Driver

Reporting Arrangements:

- Reports directly to the Administrative Officer

Functions:

- Drive project vehicle;
- Pick up and transport project personnel;
- Ensure that the vehicle is in good running condition;
- Transport and assist in loading and unloading office machine and supplies;
- Submit report on fuel and oil consumption and distance traveled; and
- Perform other functions as necessary.

## Utility Worker

Reporting Arrangements:

- Reports directly to the Administrative Officer

Functions:

- Keep office equipment and furniture clean and orderly;
- Maintain cleanliness of office premises, doors and windows;
- Occasionally does messenger, minor clerical and simple carpentry repair work;
- Operate the copier and ensure its proper maintenance;
- Collects, dump garbage; and
- Perform other tasks as may be assigned from time to time.

### *3. Planning and Coordination Unit*

Overall Responsibilities:

- The Planning and Coordination Unit is responsible for coordinating the preparation of integrated plans of PIO2;
- Ensuring that unit and individual plans remain consistent with the overall plan and objectives of the Prototype;
- Support to training, including the preparation and updating of TNA, development of training calendar and outsourcing of providers, conduct of training also form part of the responsibilities of the PCU;

- The Unit is also responsible for providing Secretariat and coordinating the LAG meetings.

## Chief, Planning and Coordination Unit

Reporting Arrangements:

- Reports directly to the Deputy Prototype Manager for Support Services;

Directly supervise:

- Planning Assistant;
- Training Officer; and
- Planning Officer

Functions:

- Coordinate the preparation and review of Prototype WFP;
- Prepare and maintain an updated Annual Operations Plan and Life of Project Operations Plan. These plans will integrate all aspects of implementation of the Prototype including the activities of the consultants and the PIO staff;
- Responsible for the regular updating of the plans, based on progress reports, outputs and development impacts and on modifications agreed to with the World Bank and or approved by the PMO;
- Prepare and periodically review adequacy of Prototype performance indicators of the various Prototype units;
- Provide overall support to training, through continuous review and updating of the TNA, preparation of training plan and training calendar for PIO2 staff and other partners of PIO2, coordinate the conduct of training through the provision of logistical support, facilitating inputs from providers and the TA team in various training activities, prepare training reports and necessary documentation;
- Provide overall support to the LAG, organize LAG meetings, develop agenda in coordination with the Prototype management and other unit heads, document LAG meetings, and bring to the attention of management, important matters/issues arising which need action by the Prototype;
- Prepare and update a Manual of Operations for PIO2, in coordination with the TA; and
- Perform other tasks as may be assigned.

## Planning Officer

Reporting Arrangements:

- Reports directly to the PCU Chief

Functions:

- Assist in preparing and reviewing the overall project work and financial plan;
- Assist in developing and carrying out the training plan for PIO2;

- Document meetings and other important activities;
- Assist in the organization and conduct of LAG meetings and other important conferences; and
- Perform other tasks as may be assigned.

## Planning Assistant

Reporting Arrangements:

- Reports directly to the Chief, PCU

Functions:

- Assist the Planning Officer(s) in the performance of his/her functions; and
- Perform other tasks as may be assigned.

## Training Officer

Reporting Arrangements:

- Reports directly to the PCU Chief

Functions:

- Prepare and update the Basic Orientation Material for new staff of PIO2;
- Update the training needs analysis (TNA) regularly and prepare the revised training plan based on results of such updates;
- Administer TNA to new staff of PIO2;
- Coordinate with other units in the processing of training event requests, and ensure that all training events are in compliance with the competency based standards and the LAMP Training Manual;
- Coordinate with the PMO-HRD unit in the revision or providing inputs to revise the LAMP Training Manual;
- Coordinate the conduct of training events for PIO2; and take responsibility for appropriate documentation of such events, in coordination with other units;
- Conduct regular evaluation of training as well as the conduct of impact evaluation of training activities; and
- Perform other tasks as may be assigned.

## *4. Monitoring and Evaluation Unit*

Overall responsibilities:

- Consolidate/collate progress reports of the different project components and facilitate timely submission to the PMO;
- Develop M and E mechanisms/systems according to the needs of the prototype; and

- Document experiences and lessons from implementation of PIO2 and prepare recommendations accordingly.

## Head, Monitoring and Evaluation Unit

### Reporting Arrangements:

- Reports directly to the Deputy Prototype Manager for Support Services;

### Directly supervise:

- Monitoring and Evaluation Officer

### Functions:

- Monitor progress of Prototype implementation against the milestones and performance indicators established in the Logframe and M and E Framework;
- Identify bottlenecks and implementation problems, obtain explanations of implementing entities regarding slippages encountered and report the same to the Prototype Manager, including inter and intra institution problems affecting implementation and facilitate execution of agreed remedial actions;
- Facilitate and coordinate the conduct of regular assessment exercises, prepare reports and monitor compliance to agreed actions and/or remedial measures;
- Keep the Prototype Manager informed of the Prototype's progress, bottlenecks and implementation problems;
- Monitor and facilitate the work of the consultants, specially their interaction with other GOP entities;
- Provide information needed by AusAID/Bank supervision missions and facilitate their work;
- Facilitate external evaluation required of the Prototype;
- Lead in the documentation of experiences, key lessons and learning, and call the attention of the Prototype Manager of opportunities for adjustment in light of learning from the experiences of the Prototype ; and
- Perform other tasks as may be required.

## Monitoring and Evaluation Officer

### Reporting Arrangements:

- Reports directly to the Chief, M and E Unit

### Functions:

- Assist in monitoring and evaluating the conduct of project activities vis-à-vis the WFP;
- Assist in the preparation of required reports;
- Assist in the conduct of regular assessments and in the documentation of such activities;

- Assist in the operationalization and updating of the M and E framework for PIO2;
- Assist the prototype areas with regards to documentation of activities, strategies adopted and experienced bottlenecks during project implementation;
- Facilitate the conduct of review and assessment exercises, document proceedings and submit reports to management; and
- Perform other tasks as may be required.

## Process Documenter

Reporting Arrangements:

- Reports directly to the Chief, M and E Unit

Functions:

- Responsible for the overall documentation of strategies, plans and major activities of the prototype;
- Analyze the processes involved in project implementation and preparation of workflows, and diagrams;
- Assist the prototype area with regards to documentation of activities, strategies adopted and experienced bottlenecks during project implementation;
- Maintain an updated document list of all available reports and documents produced by the prototype;
- Monitor the submission of relevant documents and reports by the different units and assist in improving the quality of documentation of activities conducted by the prototype; and
- Perform other tasks as may be necessary.

## 5. Cadastral Index Mapping Unit

Overall Responsibilities:

- Ensure timely retrieval of all records from DENR, LRA, and the Assessor's Office;
- Ensure systematic organization and storage of land records retrieved from the agencies;
- Prepare CIM based on consolidated records from various agencies;
- Coordinate with NAMRIA and TA in the conduct of geodetic surveys;
- Coordinate with the TA in the development and application of alternative procedures in CIM production;
- In coordination with the TA, review lessons and document the outcome of the application of alternative procedures for CIM production;
- Prepare regular progress reports on activities undertaken, identify bottlenecks and recommend measures to address these;

- Assist the Prototype Manager in the presentation of results and other reports;
- Coordinate with the OSS in the final utilization of CIM in the OSS functions; and
- Perform other tasks as may be assigned.

## Chief, CIM Production Unit

### Reporting Arrangements:

- Reports directly to the Deputy Prototype Manager, Technical Services;

### Directly supervise:

- Supervising Cartographer,
- Cartographers,
- Computer
- Operator,
- and Geodetic Engineer

### Functions:

- Coordinate with relevant agencies to ensure retrieval of records required for CIM production;
- Organize, store, and maintain a systematic filing system of records, plans, etc. retrieved from agencies;
- Establish liaison with relevant agencies to document the state of land records management in various agencies and make recommendations for improvement for easy access by the public, avoid duplication and confusion, and minimize anomalies;
- In coordination with the TA, identify, develop and supervise the application of different procedures for CIM production;
- Document procedures and lessons from the application of different methodologies for CIM production;
- Make presentations to appropriate authorities on the results of activities undertaken;
- Prepare regular progress reports on activities, including special reports of major activities, and notify management of bottlenecks, constraints and recommendations or measures to address these;
- Coordinate with the OSS and the Title Validation and Reconstitution Unit for other information needs and provide relevant results that may be useful to their operation; and
- Perform other tasks as may be assigned.

## Supervising Cartographer

### Reporting Arrangements:

- Reports directly to the Chief, CIM

Functions:

- Responsible for the retrieval of records from DENR;
- Prepare preliminary CIM;
- Update CIM;
- Apply/test alternative approaches in CIM production;
- Document procedures tested and lessons learned in CIM production (Manual Preparation)
- Prepare reports as may be required; and
- Perform other tasks as may be necessary.

## Cartographer

Reporting Arrangements:

- Reports directly to the Chief, CIM Production Unit

Functions:

- Prepare preliminary CIM;
- Update CIM;
- Apply/test alternative approaches in CIM Production; and
- Perform other tasks as may be required.

## Computer Operator II

Reporting Arrangements:

- Reports directly to the Chief, CIM Production Unit

Functions:

- Encode technical documents;
- Digitize CIM;
- Assist in the application of computer aided procedures in CIM production;
- Test and evaluate the use of computer software for CIM production;
- Document procedures tested and lessons learned in CIM production (software aided)
- Investigate GPS data; and
- Perform other tasks as may be required.

## Geodetic Engineer (1)

Reporting Arrangements:

- Reports directly to the Chief, CIM Production Unit

Functions:

- Prepare CIM using AutoCAD;
- Test and evaluate the use of computer software for CIM production;
- Document procedures tested and lessons learned in CIM production;
- Investigate GPS data; and
- Perform other tasks as may be assigned.

## Geodetic Engineer (2)

Reporting Arrangements:

- Reports directly to the Chief, CIM Production Unit

Functions:

- Prepare preliminary CIM;
- Assist NAMRIA in the conduct of geodetic surveys
- Investigate GPS data;
- Update CIM;
- Apply/test alternative approaches in CIM production;
- Perform other tasks as may be required.

## 6. *Titles Validation and Reconstitution Unit*

Overall Responsibilities:

- Retrieval of title records from relevant agencies
- Review of land record management systems in relevant agencies
- Identification of anomalies in land records
- Development and application of alternative procedures for detecting fake, duplicate, and missing titles and other land record anomalies
- Documentation of application of methodologies, lessons learned and experiences
- Review of existing reconstitution processes
- Development and application of alternative procedures for streamlining reconstitution process

## Chief, Title Validation and Reconstitution Unit

Reporting Arrangements:

- Reports directly to the Deputy Prototype Manager for Technical Services;

Directly supervise:

- Title Validation Officers,

- Records Examiner; and
- Information Systems Analyst.

Functions:

- Coordinate with relevant agencies to ensure retrieval of records required for office and field validation;
- Organize, store, and maintain a systematic filing system of titles retrieved from agencies;
- Establish liaison with relevant agencies to document the state of land records management in various agencies and make recommendations for improvement for easy access by the public, avoid duplication and confusion, and minimize anomalies;
- In coordination with the TA, identify, develop and supervise the application of different procedures for detecting fake, duplicate and missing titles and other land record anomalies;
- Document procedures and lessons from office and field validation of title records;
- Coordinate with appropriate agencies in the identification of alternative approaches for streamlining the reconstitution process;
- Test alternative approaches for streamlining title reconstitution, document lessons learned;
- Make presentations to appropriate authorities on the results of activities undertaken;
- Prepare regular progress reports on activities, including special reports of major activities, and notify management of bottlenecks, constraints and recommendations or measures to address these;
- Maintain an updated database of land records and the results of validation;
- Coordinate with the OSS and the CIM Production Units for other information needs and provide relevant results that may be useful to their operation; and
- Perform other tasks as may be assigned.

## Title Validation Officers

Reporting Arrangements:

- Reports directly to the Chief, Title Validation and Reconstitution Unit

Functions:

- Assemble CIM in preparation for office validation;
- List all surveys and block number involved in the CIM, lot matching and data control form for database print out;
- Assign lot number and ensure that there is no duplication of these numbers
- Validate database against CIM;
- Highlight parcels in the CIM against database;
- Validate TCT records;

- Identify anomalous records/titles requiring field validation;
- Organize a centralized storage of titles;
- Prepare the list of missing lots and research the missing lots; and
- Perform other tasks as may be assigned.

## Records Examiner

### Reporting Arrangements:

- Reports directly to the Chief, Title Validation and Reconstruction Unit

### Functions:

- In coordination with the TA, develop and implement alternative approaches to field validation;
- Coordinate the conduct of actual field validation to verify titles;
- Prepare the necessary materials in the conduct of field validation;
- Analyze field validation results and prepare regular reports to prototype management;
- Assist in the documentation of lessons and experiences from field validation activities;
- Assist in disseminating information on and generating community interest on title reconstitution processes;
- Provide assistance in facilitating requests received for reconstitution; and
- Perform other tasks as may be assigned.

## Information Systems Analyst

### Reporting Arrangements:

- Reports directly to the Chief, Title Validation and Reconstitution Unit

### Functions:

- Maintain an updated database of land records and the results of validation;
- Coordinate with OSS and the CIM Production Units for other information needs and provide relevant results that may be useful to their operation;
- Develop and maintain a Local Area Network within PIO2 and OSS;
- Coordinate with other agencies to ensure that electronic records can be accessed within the OSS;
- Design and implement land records validation systems and OSS computer system; and
- Train staff in the use of the system, database, and other computer programs; and perform other tasks as may be assigned.

## Documentation Assistant

### Reporting Arrangements:

- Reports directly to the Chief, Titles Validation and Reconstitution Unit

### Functions:

- Document the procedures and innovations adopted in the validation of titles and records on land administration and management;
- Collaborate with the staff of the unit in the identification of lessons learned and document the same for appropriate guidance of the Prototype;
- Provide assistance in the overall planning, coordination and implementation of the unit's activities;
- Provide technical inputs in the formulation and development of the Office and Field Validation Manuals in collaboration with the TA;
- Provide assistance in monitoring and reporting the progress of the unit in coordination with the M and E Unit; and
- Perform other duties as may be assigned from time to time.

## 7. *Community Relations Services Unit*

### Overall Responsibilities:

- Develop, oversee and implement the CRS strategy supporting the various efforts and objectives of the project;
- Disseminate and conduct relevant IEC, advocacy and community organizing activities
- Organize and generate participation involving partner agencies, LGUs, and other project stakeholders
- Develop and conduct relevant capability building activities in response to the CRS needs of the staff, partner agencies and target clients/stakeholders of the project;
- Provide assistance in the different specific CRS needs of the project components (i.e., publications, documentation, community relations, etc.); and
- Document lessons learned from the implementation of CRS activities and report the same to the PM in support of the long term LAM program in collaboration with the TAs and M and E unit.

## Community Participation and Networking

### Overall Responsibilities:

- Organize a core of community partners to assist in the implementation of CRS; and
- Conduct regular consultations with project stakeholders to assess the effectiveness of CRS and adjust strategies accordingly.

## IEC Materials Production

- Prepare/develop, produce and distribute IEC materials in consultation with different PIO2 components

## Capability Building/Advocacy

- Develop and implement relevant awareness and orientation activities to enhance the participation and involvement of partner agencies and other stakeholders in prototype implementation; and
- Develop and conduct relevant skills enhancement training on CRS for PIO2 staff.

## CRS Officer

### Reporting Arrangements:

- Reports directly to the Deputy Prototype Manager for Support Services;

### Directly Supervise:

- CRS Assistant and
- Community Development Officer

### Functions:

- Develop, oversee, coordinate and implement the CRS strategies/operational plan with concerned groups/units;
- Document lessons learned from implementing CRS activities in collaboration with the TAs and M and E Unit;
- Disseminate and conduct relevant IEC, advocacy and community organizing activities, organize and generate participation involving partner agencies, LGUs and other project stakeholders;
- Develop and conduct relevant capability building activities in response to the CRS needs of the staff, partner agencies and target clients/stakeholders of the project;
- Supervise the implementation of the following:
  - IEC materials production
  - CRS training/workshop
  - Advocacy/networking
- Report to the LAG and the PMO on social issues that are evident from prototype experience; and
- Perform other duties as may be assigned.

## CRS Assistant

### Reporting Arrangements:

- Reports directly to the CRS Officer

Functions:

- Assist in the development of a CRS Strategy for the Prototype;
- Assist in the development, coordination/facilitation, implementation and documentation of CRS strategies and/or operational plan with concerned units and stakeholders;
- Assist in the preparation of relevant progress reports on CRS and documentation of lessons in coordination with M and E unit;
- Assist in the preparation and production of IEC materials i.e., brochures, leaflets, posters about the Prototype; and
- Perform other duties as may be assigned.

## Community Development Officer

Reporting Arrangements:

- Reports directly to the CRS Officer

Functions:

- Responsible for the overall preparation of strategies, plans with regards to community development and public relations;
- Responsible in monitoring and evaluation of activities related to community organizing and development;
- Assist in the revision of work plans and strategies as a result of the social assessment specially on the approaches, systems to be adopted;
- Conduct regular consultation with the project stakeholders to assess the effectiveness of CRS campaigns and steps that might be taken by the project to improve participation by stakeholders;
- Present reports on the social issues that are evident from prototype experience;
- Assist the prototype in ensuring smooth implementation and in anticipation of the problems with regards to community organization and development; and
- Perform other tasks as may be assigned.

## Materials Development Officer

Reporting Arrangements:

- Reports directly to the CRS Officer

Functions:

- Research and scan relevant available materials from other agencies and projects with similar efforts in disseminating information on land administration policies and procedures;

- Develop and design relevant publications and information materials in support of the CRS strategies for PIO2 and translate the same into popular forms as needed;
- Facilitate the packaging, reproduction (commercial or in-house) and placement (i.e., advertisements, plugs, etc.) of CRS materials;
- Facilitate and monitor the dissemination/distribution of materials according to target stakeholders/audiences and channels;
- Facilitate and supervise the procurement of professional services relevant to the development and production of CRS materials;
- Provide creative assistance in other relevant efforts of the Prototype such as special events and exhibition fairs whenever there are opportunities to promote PIO2s efforts; and
- Perform other tasks as may be assigned from time to time.

## 8. One Stop Shop

The OSS will provide a structure that will enable the land titling, reconstitution, registration, tax collection and documentation and recording activities to be developed into an efficient process. For the Prototype area, co-management formalized through administrative agreements will be used to coordinate the administration and management of the land related activities. Initially these are administrative reconstitution activities of the LRA, initial verification of survey plans by LRA and DENR, title registration activities of the ROD, and the collection of taxes and fees by the LGU and BIR. The operations of the OSS will be expanded to include as many related operations as are viable.

During the Project, statutory agencies and their officers will retain their current line of reporting as regards their independent statutory responsibilities. This will ensure that legal integrity is retained as regards the reconstitution, registration, and title activities done in the Prototype. At the middle stage of LAM Project, the directions for long-term institutional change will be developed as basis for implementation in the subsequent phase of the Program

The OSS will be responsible for providing assistance to the general public within the prototype areas:

- Registration with the ROD of subsequent land transfer transactions;
- Providing information and services for registration of land transactions through the ROD;
- Providing information and services for preliminary verification on administrative and judicial reconstitution of titles by the LRA;
- Producing and maintaining a set of cadastral index maps and using these as a key index for subsequent land registration to help eliminate fake titles;
- Providing information and services for payment of taxes and fees for the LGU Assessor's Office;
- Providing information and services for the preliminary approval of LRA and DENR survey plans;
- Developing an effective community relations program;

- Initial processing and release of Certificate Authorizing Registration (CAR);
- Issuance of Tax Identification Number; and
- Maintenance and updating of cross index.

## **C. Project Management and Coordination**

### **1. Project Management Office (PMO)**

The PMO is mainly responsible for the overall management and administration of LAMP. It receives advice from the Interagency Technical Working Group and reports to the Presidential Task Force on LAMP for policy guidance and oversight.

It provides day-to-day management and control essential to ensuring the delivery of outputs required from the project. In accordance with DENR Administrative Order No. 69, series of 2000, dated September 14, 2000; the PMO shall have the following functions and responsibilities:

- Prepare the work and financial plans for the PMO;
- Organize and implement project activities in accordance with the project implementation plan;
- Consolidate the work and financial plans of the two prototype offices with those of the PMO and ensure consistency with the project implementation plan;
- Facilitate the integration and coordination of the project with other projects and initiatives of the Government of the Philippines (GOP) which are related to land administration and management;
- Monitor progress of Project implementation against milestones and performance indicators established, identify bottlenecks and implementation issues/problems and facilitate execution of agreed remedial actions;
- Manage and disburse Project funds in accordance with World Bank and GOP procedures;
- Establish linkages and coordination with other implementing entities involved in the Project (Task Force, PIOs, etc.) to ensure successful implementation of the Project;
- Render reports to the Task Force and the Project' funding agencies – the World Bank and the Australian Agency for International Development (AusAID) – on the Project's progress and bring to their attention implementation issues and problems requiring their action; and
- Perform such other functions and duties as may be necessary to ensure the successful implementation of the Project.

More specifically, the role of the PMO with respect to PIO2 are the following:

#### **Management oversight and guidance**

- The PMO is responsible for ensuring that the project is implemented within the framework defined in the Project Appraisal Document, and subsequently refined in the Logframe. As such, it is responsible for the following:
- Providing overall guidance in the implementation of the prototype. It oversees the implementation of annual work plans and budgets, to ensure that prototype activities remain consistent with the overall Project framework and

the learning and innovation nature of the Project.. It reviews and decides on proposed revisions on scope and activities of the prototype which will deviate from the agreed upon Project framework;

- Ensuring that the prototype work plans and activities are consistent with the general approach and strategies of the Project;
- Ensuring that the required participation of various agencies at the highest level are obtained, including coordination of projects, provision of staff and other needed government counterpart support to the prototype;
- Monitoring and evaluating progress in prototype implementation and ensure that relevant issues and bottlenecks brought to its attention are adequately addressed;
- Coordinating the preparation of policy studies and ensure that sufficient linkage is made between the issues emanating from the prototype and the relevant work of the policy studies teams;
- Coordinating with the Technical Assistance team in the provision of adequate technical support to the prototype;
- Developing complementation mechanisms with relevant initiatives at the national government level which are relevant to prototype implementation;
- Resolving policy issues and bring to the attention of the Task Force, concerns which need to be addressed related to the prototype;
- Provide support to Human Resources Development concerns and in accessing the training funds of World Bank and PA-LAMP;

### **Administrative Guidance and Financial Management**

- The PMO exercises administrative supervision over the Prototype. It also assists in accessing WB/GOP funds through the internal processing of payments within the DENR As such, it is responsible for ensuring prototype compliance with existing government regulations and other applicable guidelines, and laws and policies. More specifically, the PMO is responsible for the following:
  - Setting standards and review of performance of prototype management;
  - Regular review of staffing pattern and other proposals for changes in structure, staffing and major assignments;
  - Review and approval of budget proposals. It will also conduct monitoring of expenditures and exercise budget control functions;
  - Review and endorsement of contracts and provide assistance in their approval by DENR authorities, assistance in processing of payments and request for cash advance; and
  - Assistance in procurement of services, supplies and equipment for the prototype.

## ***2. The Land Registration Authority***

The LRA is the lead implementing agency for the prototype. As such, it shall provide overall technical and management direction to and support to the

implementation of prototype activities. Specifically, the LRA shall have the following responsibilities:

- Conduct monthly reviews of progress in prototype implementation;
- Resolve implementation and technical issues brought to its attention by the prototype;
- Provide sufficient and qualified counterparts to facilitate sharing of knowledge and transfer of technologies as well as ensure successful implementation of activities of the prototype. Per MOA dated September 13, 2000, the LRA shall designate appropriately qualified personnel to serve full time as Prototype manager to perform the functions of prototype management and coordination. In addition, it shall designate a suitably qualified person to serve as the Monitoring and Evaluation Unit Head of the prototype;
- Ensure that relevant units within LRA provide the necessary support to carry out the targets and outputs of PIO2 (e.g., copies of plans, titles, access to other records, sharing of procedures, etc.)
- Establish complementation with similar or related programs within LRA such as the BOO Project;
- Ensure PIO2's linkage with other regular initiatives and formulate ways to institutionalize the innovations and improved methods developed within the prototype;
- Support the PIO2 in securing the commitments of all relevant agencies to ensure the success of PIO2; and
- Provide adequate space for PIO2 and the OSS.

### *3. The Local Advisory Group (LAG)*

The LAG was created to provide overall guidance in Prototype implementation and set policy directions consistent with the Project goals and objectives. It serves as a mechanism for integrating and coordinating administration and management of particular agency responsibilities and activities within the prototype. It shall likewise be responsible for ensuring local support for project activities. Specifically, the LAG has the following functions:

- Resolve implementation problems elevated by PIO, particularly those relating to local support, community organizations, and dispute resolution;
- Coordinate all actions of government agencies involved in the Prototype and ensure compliance with agreed roles/commitments of the agencies concerned;
- Review the annual work plan of the Prototype, vis a vis achievement of Prototype objective and provide recommendations for work plan adjustment when necessary;
- Assist the PIO2 in identifying areas where policy and legislative actions are required within the context and scope of the Prototype and take appropriate steps to ensure that such actions are taken in a timely manner; and
- Determine causes of delays or problems in the implementation of Prototype activities and resolve the same, if within its mandate, and/or provide advise on appropriate remedial measures.

(The LAG is composed of the Mayor, Quezon City, Administrator, LRA, Director, DENR – National Capitol Region; Register of Deeds, Quezon City; Directors, Bureau of Internal Revenue Regional District Operations 2 and 4; Director, Philippine National Police, National Government Center Housing Program; and the barangay chairpersons of barangays Payatas, Commonwealth, Bagong Silangan, Holy Spirit and Batasan Hills. It is Chaired by the Quezon City Mayor, with the LRA Administrator as Vice Chair.)

#### ***4. The Technical Assistance Team***

A team of international and national advisers have been assigned to PIO2 to provide technical assistance in implementation. International experts in the fields of land parcel mapping, land title records, survey control; while national experts on organization and development, land title records, community mobilization, monitoring and evaluation and gender have been mobilized to support PIO2.

The team shall assist Prototype 2 in the following:

- Development, documentation, and training on methodologies and processes to create cadastral Index maps (CIMs) from existing map data in offices of participating agencies, using survey information and orthophotos to control the mapping process;
- Development of methodologies and processes to facilitate the identification of fake, duplicate and missing titles, the resolution of title anomalies and the improvement of title and associated records in the Quezon City Registry of Deeds;
- Document, test and review the initial procedures and methodologies for land title validation and improvement of records integrity and completeness;
- Development of a strategy to design and operationalise the OSS;
- Interactions with the BOO Project in LRA;
- Planning, establishing and maintaining a Project monitoring and evaluation system and to train staff on the operation of the system;
- Strengthening the capability of PIO2 staff to implement the Project, in particular provide advise and training to staff to improve planning, organization, monitoring and evaluation and reporting;
- Planning, development, documenting and training on procedures and methods for survey control to facilitate the creation of the CIM of existing land parcels from the existing survey and map data in offices of participating agencies, especially the LGU, LRA and DENR/NCR, and from orthophotos.

#### ***5. Interagency Technical Working Groups (TWGs)***

In keeping with the interagency nature of the Prototype, two technical working groups have been created to assist in the design and implementation of the One Stop Shop and CRS activities. The following describes the Terms of reference of these TWGs:

## OSS TWG

- Attend and actively participate in the meetings of the TWG and serve as the focal person on OSS matters relevant to their respective agency;
- Identify agency operations that can be performed in the OSS and the possible issues/problems that need to be addressed by PIO2 and the agencies in bringing said operations in the OSS;
- Provide assistance in the identification of manpower and equipment as well as administrative requirements to efficiently perform the identified operations; and
- Assist in the periodic evaluation of the OSS operations and identification of streamlining opportunities for the processes involved.
- The TWG is composed of representatives from LRA, DENR-NCR, QC, ROD, BIR and QC-LGU (Assessor's and Treasurer's Offices).

## CRS TWG

- Participate in the formulation of CRS strategy/framework for PIO2;
- Regularly attend all the meetings and activities of the TWG;
- Assist the project in facilitating its technical and information requirements within their respective agencies and units in relation to the implementation of the CRS strategy/framework; and
- Provide backstop in the implementation of CRS activities in the communities.

(The TWG is composed of Information and community relations officers of DENR-NCR, LRA, ROD, QC LGU Community Relations Office, and Urban Poor Affairs Office of the People's Bureau (UPAO-PB) and the heads of the Barangay Security and Development Officers (BSDOs) of the 5 target barangays.)

## Barangay Advocacy Group (BAG)

To assist the CRS in its work and to ensure the participation of local communities in the field activities of the PIO2, the BAG is organized per barangay, composed of representatives and leaders of local organizations within the area.

The BAGs shall have the following functions:

- Assist the project in disseminating relevant and accurate information to their respective constituents and neighbors in accordance with the principles and thrusts of the Project;
- Act as area coordinators, together with the Office of the Barangay Chairman, of the Project in pursuing the efforts of LAMP particularly in the conduct of community consultations and dialogues relative to the conduct of the Global Positioning System (GPS), Field Validation and other activities of the Prototype in their barangay; and
- Assist LAMP in advocating and espousing all its relevant initiatives to their members, neighbors and leaders in the community in accordance with the type of information and specific roles that they have to undertake as prescribed and authorized by the Project.

# CHAPTER 3 ADMINISTRATIVE OPERATIONS

## A. Purpose and Scope

This chapter is intended to clarify the internal, operational and generally applicable policies regarding personnel management, record keeping and document/file management, conduct of training, workshops, meetings and organization of study tours, purchase of equipment, supplies and materials; budget monitoring and controls, management of cash advance; and engagement of services.

It is envisioned to serve as guide to the different actors within the Prototype on the scope of their responsibilities, obligations, authority levels, and the governing policies on each subject.

## B. Personnel Management

### 1. Scope

The policies and procedures described herein shall apply to all personnel working in the Prototype whether they are detailed permanent, contractual, or engaged through a service contract; unless otherwise specified.

### 2. General Policies

All personnel are required to strictly follow the policies set forth herein in the hiring, selection, and termination; including policies governing attendance and code of conduct;

- The basis for hiring/recruitment of personnel shall be the approved staffing pattern, or additional proposals as may be forwarded by the Prototype Manager to and approved by the PMO. Under no circumstances shall the Prototype hire personnel without clearance/approval of the Executive Director, PMO-LAMP;
- The designation or assignment of regular government employees from participating agencies shall be governed by the agency's rules and regulations, and applicable guidelines of the Civil Service Commission;
- Remuneration of regular government personnel assigned to the Prototype is considered part of the government counterpart contribution to the Prototype;
- Honoraria and other benefits shall be provided by PMO-LAMP to regular government personnel detailed from other agencies subject to the guidelines of the Department of Budget and Management;
- The Prototype Manager and/or the immediate supervisor shall conduct a monthly evaluation and assessment of the performance of personnel assigned in each Unit. The evaluation/assessment may also be conducted at the end of the contract period, if the contract is less than three months. Such evaluation/assessment shall form the basis for the renewal, termination of services or recommendation for salary upgrade of the concerned personnel;
- Notice of termination, non-renewal, or non-extension of contracts shall be given at least 30 calendar days prior to the end of the existing contract.

### 3. Conduct and Ethical Standards

#### Office Norms of Conduct and Ethical Standards

The Prototype will abide by the provisions of Republic Act No. 6713, otherwise known as the “Ethical Standards for all Public Officials and Employees Act” which states that it is the policy of the state to promote a high standard of ethics in public service. All Prototype personnel, being government employees, shall at all times be accountable to the people and shall discharge their duties with utmost responsibility, loyalty, integrity, competence, efficiency, “delicadeza”, candor, openness, and transparency.

##### 3.1 Norms of conduct of public sector employees

- Commitment to public interest – that personal interest should be subordinated in favor of public welfare;
- Professionalism – that public officers and employees must perform and discharge duties with utmost dedication and earnest devotion to public service, with the highest degree of professionalism;
- Justice and sincerity – all public officials and employees are required to be fair, sincere and honest in all dealings and to respect the rights of others at all times;
- Political neutrality – dispensing of services to everyone shall be without discrimination and regardless of party affiliation or preference;
- Responsibilities to the public – the prompt, courteous and adequate service be extended to the public;
- Nationalism – public officials and employees must be loyal to the Republic and to the Filipino people and are encouraged to promote locally produced goods, resources and technology;
- Commitment to democracy – public officials and employees must at all times uphold the Constitution, and the supremacy of civilian authority over the military, and to commit themselves to the democratic way of life and values; and
- Simple living – public sector employees shall lead modest lives appropriate to their position and income and shall not indulge in extravagant or ostentatious display of wealth in any form.

##### 3.2 Prohibited Acts and Transactions

- Financial and material interest – Prototype personnel should not, directly or indirectly, have any financial or material interest in any transaction requiring the approval of the office;
- Outside employment and other related activities
  - Prototype personnel should not own, control, manage, or accept employment as officer, employee, consultant, counsel, broker, agent, trustee or nominee in any private enterprise regulated, supervised or licensed by the Office unless expressly provided by law;
  - Engage in the private practice of his/her profession unless authorized by the Constitution; or

- Recommend any person to any position in official transaction with the Office.
- Disclosure and/or misuse of confidential information – it is strictly prohibited to give out for purposes of personal benefit, confidential information connected with his/her job in the Office;
- Solicitation or acceptance of gifts – Prototype personnel shall not accept, directly or indirectly, any gift, gratuity favor, entertainment, loan or anything of monetary value from any person in the course of his/her official duties or in connection with any operation being regulated by the Office.

#### *4. Recruitment and hiring of contractual staff*

The recruitment and hiring of contractual staff will be governed by the principles of efficiency and effectiveness; and shall be based on pre-approved staffing pattern of PIO2. In case it will be necessary to hire additional personnel, clearance and/or approval from the Executive Director must be sought prior to any recruitment. The following outlines the steps in the hiring of additional contractual staff:

- The Unit Chief assesses the staff requirements based on existing and planned workloads; proposals for new staff will be prepared, together with a justification, Terms of Reference, qualification standards and duration of services of staff required;
- Deputy and Prototype Manager reviews and evaluates proposal of Unit Chief;
- Prototype Manager endorses proposal to PMO for approval, and proposed method of recruitment, specifying source of payment of salaries or category of employment (i.e., whether from object 29 or plantilla). The proposed position, rate, duration of contract, Terms of Reference, selection criteria shall be included in the proposal;
- Upon approval, PIO2 Admin Officer prepares advertisement/notice; initiates recruitment process;
- A Selection Group composed of the Deputy Prototype Manager, concerned Unit Chief, Admin Officer and the Training Officer reviews qualifications of applicants and submits shortlist and recommendations to the Prototype Manager. The recommendation should include the ranking of short-listed applicants using the criteria for evaluation;
- Prototype Manager reviews and endorses recommendations to PMO for concurrence.
- PMO reviews recommendations and provides feedback to PIO2;
- PIO2 notifies successful candidate, Administrative Officer prepares contract and advises new staff to prepare required documentation and contract.
- Training Officer and Administrative Officer conducts general orientation to new staff. The orientation shall cover the following:
  - Goals and Objectives of LAMP;
  - Goals and Objectives of PIO2;
  - Organization of PIO2 and roles and responsibilities;

- Operations Manual of PIO2;
- The Unit Chief shall then provide a technical orientation for the newly hired staff on the different aspects of operations of the Unit, the standards of performance, and the work plan and targets of the Unit. For CIM Production Unit, the Titles Validation and OSS, this would require orientation on the relevant Manuals.
- The staff prepares weekly targets based on Unit work plan and his/her TOR. After one month in the Prototype, the Training Officer then administers the:
  - Training Needs Assessment to the newly hired staff.
- For the hiring of contractual staff within the approved staffing pattern, the same procedure shall be adopted, starting with step number 4.

### *5. Detail of regular staff from agencies*

The following steps describe the process for the detail of regular staff from participating agencies:

- Unit Chief reviews current staff complement and identifies new requirement for detailed staff from concerned agencies; prepares TOR, qualification requirements and identifies the agency from where the staff will come from;
- Deputy/Prototype Manager reviews recommendations of Unit Chief and endorses to PMO;
- PMO reviews request and communicates requirements to concerned agency;
- Concerned agency reviews request and provides feedback, nominates candidates;
- PMO and PIO2 (Unit Chief and Prototype Manager) reviews qualifications of nominated staff, provides feedback to the agency, notifies staff involved
- Agency prepares documents and Office Orders;
- PIO2 Training Officer and Administrative Officer conduct orientation to new detailed staff. The orientation should include:
  - Goals and objectives of LAMP;
  - Goals and objectives of PIO2;
  - Organization of PIO2 and roles and responsibilities; and
  - PIO2 Operations Manual.
- Unit Chief conducts technical orientation to new detailed staff on the detailed aspects of operations of the Unit, the standards of performance and the Unit work plan and targets. For CIM Production, Titles Validation and OSS, this would require orientation on the relevant Manuals;
- New staff then prepares weekly targets based on the Unit work plan and his/her TOR. After one month in the Prototype, the Training Officer then administers the Training Needs Analysis to the new detailed staff.

## ***6. Processing and payment of salaries***

Salaries of plantilla and contractual personnel shall be paid out of GOP and Loan proceeds, on the basis of yearly allocations from DBM. Permanent personnel on the other hand, shall receive their basic salaries from their respective mother agencies. This section describes the procedures involved in the processing and payment of salaries of personnel to be paid out of GOP proceeds.

- Payments for salaries are processed on the 15<sup>th</sup> and end of the month. For each payment period, the Administrative Assistant shall prepare a daily time record.
- For each payment period, the staff submits copies of the following documents to the Administrative Assistant:
  - Approved Office Pass Slips (*Annex D*)
  - Approved Leave Form
  - Accomplishment report duly signed by the Unit Chief and the Prototype Manager. Reports should be based on the weekly accomplishment reports submitted by each staff to the Unit Chief.
- The Administrative Assistant prepares the Disbursement Vouchers for signature of the Prototype Manager and endorsement to the PMO;
- The Administrative Officer monitors status of payment and advises concerned personnel if there are additional requirements which have to be complied with or questions regarding payment;
- The Administrative Officer then notifies concerned staff of availability of salaries
- For permanent personnel detailed to PIO2, the Administrative Officer shall prepare a Daily Time Record every 15<sup>th</sup> and end of the month for signature of the personnel concerned, the Prototype Manager and endorsement to the concerned mother agencies. The submission should include duly approved Pass Slips, Leave Forms, and Accomplishment reports for the period.

## ***7. Attendance, Absences, Tardiness, and Undertime***

### **7.1 Applicable Rules**

### **7.2 Office Attendance/Hours**

- The Civil Service Commission (CSC) requires all government employees to render 40 hours of service in a week, or 8 working hours in a day for five days in one week.
- Office hours start at 8:00 AM and ends at 5:00 PM with one hour lunch break at 12:00 NN to 1:00 PM. However, the management may allow personnel to adopt a flexible time (“flexitime”) schedule for greater efficiency and expeditious delivery of public service.
- Personnel who need to avail of a different work schedule should seek the approval of the Prototype Manager, duly recommended by the Unit Chief, duly advising the Administrative Officer.

### **7.3 Tardiness/Absences (per CSC Memorandum Circular No. 4, series of 1991)**

- Any employee shall be considered habitually tardy if he/she incurs tardiness, regardless of the number of minutes, ten (10) times a month for at least two (2) months in a semester, or at least two (2) consecutive months during the year
- An officer or employee shall be considered habitually absent if he/she incurs unauthorized absences exceeding the allowable 2.5 days monthly leave credit (for permanent and plantilla personnel) under the leave law for at least three (3) months in a semester or at least three (3) consecutive months during the year.
- Personnel who are habitually tardy or habitually absent shall be rendered disciplinary action by the DENR in the case of plantilla personnel, and the concerned mother agency, in the case of detailed personnel.

### **7.4 Other Internal Policies**

- All PIO2 personnel, whether detailed or contractual or holding plantilla positions, shall maintain a daily time card. A bundy clock is provided and lodged in a conspicuous place in the Office. All personnel are required to punch their daily time card in the bundy clock, in the morning, to signal the time when the staff reported for work; at lunch break; and in the afternoon before the staff leaves the office;
- The daily time record shall be returned to its rack after punching. It is against office regulations to delegate to anybody punching of one's time cards.
- The time record should always be free from falsification or irregularities. Personnel who commit offenses against this rule shall be reported to appropriate authorities for disciplinary action.
- Everybody should notify the Administrative Officer and Unit Chief in advance if the staff will be late or absent for work, in cases where the staff has advance information. In case of emergency, the staff shall endeavor to call the Administrative Officer or Unit Chief of his/her inability to report to the office for the day, or inability to report for work on time;
- At all times, a Pass Out Slip shall be accomplished by all concerned personnel in case he/she will leave the Office, whether for Official business or personal reasons. The Pass Out Slip should be duly signed by the Unit Chief or Deputy/Prototype Manager, before the personnel leaves the office. A copy of the pass out slip shall be given to the Administrative Assistant.
- The PIO2 shall maintain a Locator Board to be posted in a conspicuous place within the office. The Board shall indicate the whereabouts of the staff at specific points in time. It will be the responsibility of the staff to mark the Board of his/her whereabouts and in case of absences, the Administrative Assistant shall register the mark correspondingly.

## ***8. Change of assignment***

In some instances, it may be necessary to change the assignment of staff within PIO2. The following conditions shall warrant a change of assignment of staff:

Where one unit would require the expertise of the staff assigned to another unit, either because:

- of workload;
- modifications in activities, or
- new tasks assigned to the unit;
- For personal reasons, which should be explained fully by the staff concerned.

Any proposal for change in assignment shall be fully discussed between the Unit Chiefs concerned, the Administrative Officer, Deputy Prototype Manager and the Prototype Manager. Once an agreement is reached, the Administrative Officer shall prepare an Office Order to be signed by the Prototype Manager. Copies of the Order shall be furnished to the staff concerned, the Unit Chiefs affected, and the PMO. The Administrative Assistant shall keep a record of such Orders. The Administrative Officer then modifies the TOR of the staff, and if necessary, the contract.

The Chief of the Unit where the staff has transferred shall then conduct a detailed technical orientation for the new member of the Unit.

## ***9. Performance evaluation***

The PMO/HRD Unit shall prepare a performance assessment system for LAMP, which will be the basis of PIO2.

The PIO2 shall conduct a monthly assessment of performance of all personnel, whether detailed, contractual or those holding plantilla positions. For personnel whose contract is less than three months, such assessment shall be made 15 days before the termination of the contract. A report on the results of the evaluation shall be furnished to the PMO for information. For detailed personnel, the Prototype Manager shall submit copies of the reports to the Personnel Division and the Heads of offices of their respective mother agencies. For the Deputy and the Prototype Manager, the assessment shall be made by the Executive Director of LAMP-PMO.

## ***10. Renewal, Termination of Contracts and Upgrading of Salaries***

The result of the performance assessment shall be the sole basis for renewal, termination, and upgrading of salaries. Under no circumstances shall a recommendation for renewal, termination of contract or upgrading of salaries shall be approved without such evaluation.

For detailed personnel, the Prototype Manager may recommend to the mother agency, through the PMO the recall, in case of poor performance, or promotion, in case of excellent performance.

Notices for renewal, termination, or resignation by staff, whether detailed permanent or contractual shall be made at least thirty (30) calendar days prior to

effectivity. The Administrative Officer shall be responsible for preparing such notices, except the resignation notice, which shall be the responsibility of the concerned personnel.

### *11. Grounds for Disciplinary Action*

The Civil Service Commission has issued relevant provisions governing personal discipline for civil service employees. These policies shall be adopted by PIO2 to also cover contractual personnel (i.e.; those receiving salaries through Object 29). While the regular detailed personnel are subject to disciplinary action by their respective mother agencies, is the responsibility of the PIO2 management to render a formal report to the mother agency of personnel concerned, found to be performing any of the acts enumerated hereunder. A copy of said report shall be given to the PMO.

Article IX, Section 36 of the Civil Service Decree (PD 807) provides the following grounds for disciplinary action:

- Frequent unauthorized absences or tardiness in reporting for duty, loafing or frequent unauthorized absences from duty during regular office hours;
- Habitual drunkenness;
- Inefficiency and incompetence in the performance of official duties;
- Discourtesy in the course of official duties;
- Neglect of duty;
- Misconduct and being notoriously undesirable;
- Disgraceful and immoral conduct;
- Conviction of a crime involving moral turpitude;
- Falsification of public document and dishonesty;
- Oppression;
- Receiving for personal use, a fee, gift or other valuable things in the course of official duties, or in connection therewith, when such fee, gift or other valuable thing is given by any person in the hope or expectation of receiving a favor or better treatment than that accorded other persons, or committing acts punishable under the anti-graft laws;
- Improper or unauthorized solicitation of contributions from subordinate employees;
- Violation of existing Civil Service Laws, Rules, or reasonable office regulations;
- Gambling prohibited by law;
- Disgraceful, immoral or dishonest conduct prior to entering the service;
- Refusal to perform official duty or render overtime services;
- Physical or mental incapacity or disability due to immoral or vicious habits;
- Borrowing money by superior from subordinates or lending by subordinates to superior officers;
- Contracting loans of money or other property from persons with whom the office of the employee concerned has business relations;

- Lending money at usurious rates of interest;
- Willful failure to pay just debts or willful failure to pay taxes due to the government;
- Pursuit of private business, vocation or profession without the permission required by the Civil Service rules and regulations;
- Insubordination;
- Engaging directly or indirectly in partisan political activity by one holding non-political office;
- Lobbying for personal interest or gain in legislative halls and offices without authority;
- Promoting the sale of tickets in behalf of private enterprises that are not intended for charitable or public welfare purposes, and even in the latter case, if there is no prior authority;
- Nepotism as defined in Section 49 of the Decree.

## 12. *Office Decorum*

The following were taken from the DENR Employee Handbook dated 1994:

- Wearing tight jeans, spaghetti strap or very short blouses/t-shirts, plunging neckline, and backless dresses or the like, are not appropriate for office work for lady employees;
- All employees are requested to refrain from wearing slippers in the office. Also, it is desirable that all employees are groomed neatly and properly in the office;
- Strictly follow the prescribed office hours as well as the fifteen (15) minute break time and lunch break;
- Smoking is not tolerated within the offices;
- All personnel are reminded to extend courteous, prompt, and adequate service to the transacting public;
- Voice should be toned down when speaking, any trace of arrogance should not be displayed;
- While telephones may be used for emergency and non-official matters, it should not be treated as somebody's personal connection and indulge in petty and lengthy calls;
- During periods where there is no work assigned to the staff, he/she should think of other useful activities to avoid meaningless chatter which gives a bad image to the office;
- Nobody should loiter around the office lobby/premises during office hours;
- Reading of newspapers, magazines and other periodicals not related to official functions are not allowed
- Peddling items and/or engaging in personal business within the Office premises are not allowed.

## **C. Record Keeping and Document/File Management**

### ***1. General Policies***

The Prototype shall develop and maintain a systematic record keeping and document/file management to ensure that vital files are easily available to its users and for appropriate reference. The following defines the responsibility for custody, management, maintenance and updating of the identified documents and/or files. It should be noted that the list needs to be updated and if appropriate, supported by databases for ease of manipulation, query and updating.

### ***2. Administrative Support Unit***

- Important documents and manuals
- Files of incoming and outgoing communications
- 201 Files of PIO2 staff
- Contracts for personal services and other services
- Financial documents
- Inventory list of equipment and supplies
- Minutes of staff meetings
- Daily Time Sheets
- Performance Assessment reports
- Detail/Assignment Orders

### ***3. CIM Unit***

- Copies of survey plans from DENR, LRA and other sources, supported by a database
- Communications/requests for survey plans
- Orthophotos
- Preliminary and updated CIMs
- Complete set of different versions of CIM Manuals
- Monthly, quarterly, and annual unit reports
- Reports on GPS survey controls
- Reports on lessons learned in CIM production
- Reports on different methods of CIM Production

### ***4. Titles Validation***

- Monthly, quarterly, and annual unit reports
- Communications emanating from the unit
- Copies of titles supported by Cross index database

- Complete set of different versions of the Office and Field Validation Manuals
- Report on documentation of major activities and lessons learned
- Survey returns from field validation
- Land records retrieved from residents during field validation
- CIMs marked based on field validation returns
- Reports and documentation of lessons learned from field validation
- Field validation reports
- Monthly office validation reports

### ***5. One Stop Shop***

- Records of transactions
- Baseline report on OSS transactions
- CIM and cross index
- Reports on client feedback
- Monthly, quarterly and annual OSS reports
- Reports on OSS performance reviews
- Copies of all versions of OSS Manuals
- Minutes of TWG meetings and workshop proceedings
- Interagency OSS MOA
- Profile of OSS staff
- TNA and training reports on OSS
- Communications emanating from the unit

### ***6. Monitoring and Evaluation Unit***

- Consolidated monthly, quarterly, mid year and annual reports for PIO2
- Reports on performance assessment of PIO2
- Updated document list for PIO2
- Copies of work plans and LOP Operational Plan
- Reports on baseline studies, social assessments and community/client surveys
- Client feedback on OSS
- Analysis of OSS transaction reports
- Process documentation on major lessons learned from PIO2 implementation

### ***7. Planning and Coordination Unit***

- Complete versions of PIO2 and unit work plans

- Minutes of LAG meetings, and other relevant documents
- Interagency MOAs on LAMP and PIO2
- Updated training plan
- Updated Training Needs Assessment reports
- Training and workshop reports
- Operations Manual for PIO2
- Weekly and monthly targets

## 8. *Community Relations Services*

- CRS Strategy and Manual
- BAG Training reports
- Minutes of CRS TWG meetings
- Barangay specific files
- Progress reports and lessons learned
- Summary of issues from community dialogues
- Communications emanating from the unit
- Monthly, quarterly and annual reports

## **D. Training, Workshops, Meetings and Study Tours**

### *1. Scope*

The LAMP, being a learning and innovation project, emphasizes the development of capability of major actors involved in land administration and management, specifically, the staff involved in the implementation of the current project. Training therefore is an important component of the Project. The scope of the training program and the guidelines for the conduct and avilment of training funds are articulated in the Training Manual and Training Guidelines for LAMP.

### *2. General Policies*

All training and workshops to be conducted should form part of the training work plan and calendar. In case there are unprogrammed activities which need to be undertaken, the Prototype Manager shall secure approval from the PMO.

All training and workshops shall be supported by a Training Event Request, duly prepared by the concerned Unit Chief, reviewed by the PIO2 Training Officer, endorsed by the Prototype Manager, and approved by the Executive Director of LAMP-PMO. A copy of the TER form is attached in *Annex E*. As a general policy, the TER shall be submitted two weeks before the planned activity to ensure adequate preparations, secure the required approvals, and accomplish the required Orders and other documentation for the activity.

The following attachments should form part of the TER submission:

- Program of Activities/Program Design

- List of Participants
- Three quotations for venue and transportation, if required
- Three quotations from program/training providers, if the training/workshop will be conducted by a third party
- Complete modules of contracted program provider
- Draft Special Order, if the activity is to be partially financed by GOP

While it is the responsibility of the Unit Chief to accomplish the TER, the task of the Training Officer is to make sure that the TERs are accomplished properly and on time, the preparations by the Units are adequate, and there is proper documentation of events. The detailed procedures and role of the Training Officer is described in the LAMP Training Manual and Guidelines.

### *3. Documentation*

Documentation of training, workshops and other similar events is the responsibility of the Unit sponsoring the activity. The preparation of the training report however, which summarizes the main points of the workshop and/or training is the task of the Training Officer. Reports, and documentation of issues/concerns raised during the activities should be submitted to the PMO two weeks after the event.

Important meetings of units are to be documented as well by the unit concerned. Copies of such minutes are to be provided to the M and E Unit and the Prototype Manager, two days after the meeting.

## **E. Purchase, Use and Management of Equipment, Supplies and Engagement of Services**

### *1. Scope*

Policies and procedures for the purchase, use and management of equipment, supplies and materials shall follow existing DENR processes and requirements as mandated in relevant COA Circulars, and specific provisions of the WB Procurement Guidelines, as applicable.

### *2. General Policies*

Requirements for equipment, supplies and materials shall be identified by the Unit Chief, and incorporated in the work and financial plan of the PIO2 for submission to the PMO

It shall be the responsibility of the Administrative Unit to provide regular updates to the Unit Chief concerned on the status of requests for financing the equipment, supplies, and materials requested

Upon approval of the work and financial plan, the Administrative Unit shall prepare a procurement program for PIO2. The Administrative Unit shall also prepare the necessary Requisition and Issuance Voucher, with inputs from the concerned Unit Chief, for the approval to purchase

Upon approval of RIV by PMO/DENR, the Administrative Unit shall cause the necessary canvass and preparation of supporting documents to ensure their timely purchase and availability

The Administrative Unit shall be responsible for providing the concerned Unit Chief of updates or other information on the status of the purchase orders which may affect the timely availability for their use (*Form F*, for monitoring report)

The Administrative Unit shall be responsible for the proper storage, control, and reasonable use of supplies and materials

Equipment shall be issued through Memorandum Receipts (MR) to the end users who shall be responsible for their custody; while supplies and other expendable materials shall be issued on the basis of requisition slips (*Form G*). In case the user is a contractual, the MR shall be issued to a permanent staff, while a sub MR shall be issued to the end user.

The Administrative Unit shall prepare a monthly updated inventory of equipment and supplies for PIO2; and in ensuring that all equipment are in appropriate working conditions (*Form H*).

The use of vehicles shall be managed by the Administrative Officer, who shall prepare a daily schedule of trips. Staff requiring the use of vehicles should forward the request two days in advance so that appropriate prioritization can be made (*Form I*).

### ***3. Budget Preparation, Monitoring and Controls***

The preparation of budget requirements to support the implementation of the work plan is the responsibility of the Unit Chiefs involved. The Planning Coordination Unit shall ensure the proper review of the budget proposals and the integration of the overall requirements of the office to fully carry out the targets and objectives of PIO2.

The consolidated work plan and budget are then submitted to the PMO for further review, integration and/or approval.

Upon approval of the budget and work plan, the Planning Coordination

Unit then provides the Unit Chiefs with copies, and adjustments shall be made in the targets and schedules in the work plan, if any, based on the new levels of approved budget

Responsibility for preparing the updated work plans rest with the Unit Chiefs, while the Planning Coordination Unit shall be responsible for reviewing and consolidating the PIO2 work plan

Copies of the updated budgets and work plans shall then be given to the Administrative Unit, which shall develop a monitoring system for expenditures made against the budget

The Administrative Unit shall maintain a monthly updated report on expenditures made against allocation for each component (broken down per budget line item) with copies given to the Prototype Manager, Deputy Prototype Manager, and Unit Chiefs (*Form J*, for budget monitoring and control)

#### *4. Management of Cash Advance*

The Administrative Unit shall prepare a schedule of cash requirements based on the requirements of relevant units for each quarter

The Prototype Manager shall review and endorse the request to PMO for consideration and/or approval.

Upon approval, the Administrative Officer shall be responsible for managing the disbursement and allocation of cash advance based on the schedule prepared.

Disbursements shall be covered by a cash advance request, supported by RIV (with complete specifications) to be submitted two days before the date the cash will be required.

The requisitioning officer shall be responsible for the liquidation of the cash advance made, complete with supporting documents, to be submitted no later than two days after disbursement. Any remaining amount thereof shall be returned and shall not be used for activities, supplies or other payments not covered in the approved request.

The Administrative Officer shall ensure the proper disbursement of cash advance, and the liquidation thereof. Therefore, he/she shall be responsible reviewing the adequacy and appropriateness of liquidations made and the completeness and appropriateness of supporting documents.

Under no circumstances shall a cash advance be issued to personnel who have not liquidated their previous cash advance. Failure to liquidate within two weeks after disbursement shall be ground for appropriate disciplinary action.

#### *5. Engagement of Services*

##### *1. Scope and General Policies*

The Prototype can engage the services of third parties to undertake specific tasks or activities defined in its work plan. In support of this, the following procedures shall be followed:

- Proposals to engage consultants, contractors, or third parties to undertake specific tasks shall emanate from the relevant Unit Chief, who shall prepare a Terms of Reference for the purpose, indicating therein, the scope of services, the expected outputs, the duration of services, the qualifications of the persons/groups who will undertake the activity, the payment schedule and basis of payment, and the proposed procurement mode.
- The Deputy/Prototype Manager shall review the draft TOR, and determines its consistency with the work plan and budget of PIO2;
- The TOR is then endorsed to the PMO for review and/or approval
- Once an approval is secured, the Unit Chief and the Administrative Unit undertakes the necessary procurement of required services in accordance with section C.2

## *2. Procurement Procedures*

### *2.1 Procurement of Works*

The following guidelines specify the prior review and approval by the Bank for certain works to be financed out of loan proceeds as defined in the Project Appraisal Document:

- Procurement of works to be financed by the Bank involve the renovation of the Quezon City ROD for the OSS site. For contracts costing less than US \$ 300,000; National Competitive Bidding (NCB) shall be used. The model bidding document for NCB is available with the PMO.

The following works contracts shall have prior World Bank review:

- First works contract through NCB;
- All works estimated to cost more than US \$ 100,000 per contract

### *2.2 Procurement of Goods*

- For goods costing less than US \$ 200,000 per lot, the NCB method shall be used.
- For goods costing less than US \$50,000 per lot, the national shopping procedure shall be used, wherein price quotations from three suppliers shall be compared, indicating the quality of goods and delivery time and place.
- The Bank shall review the first procurement of goods through NCB, and all goods contracts which cost more than US\$ 100,000 per lot.

### *2.3 Procurement of Services*

The following are the applicable procedures in the procurement of services to be paid out of Loan Proceeds:

- The single source selection method can be used for consultancy services less than US\$30,000 per contract (for a maximum of US\$60,000 for one NGO hired under this procedure) to be provided by accredited NGOs, for very small assignments.
- Individual consultants can be engaged to perform more complex, more specialized tasks, such as design and supervision of buildings. These are individual consultants whose experience and qualifications are the paramount requirements of the project. The selection of individual consultants would be based on their qualifications for the assignment.
- Prior Bank review shall be required for the procurement of the following services:
  - All service contracts financed by the Bank which cost more than US\$ 100,000 per contract for firms;
  - Individual consultancy contracts costing more than US \$50,000;
  - All contracts procured through Single Source Selection Method;

- All TOR's and cost estimates regardless of value.

# CHAPTER 4 PLANNING, REPORTING, MONITORING AND EVALUATION AND PROCESS DOCUMENTATION

## A. Plan Preparation, Consolidation and Updating

- Each unit is required to have an approved monthly, quarterly, and annual work plan, based on the Life of Project Work Plan and the Logical Framework;
- Monthly work plans shall be signed by the Unit Chief, and approved by the Prototype Manager;
- Quarterly work plans shall be signed by the UNIT Chief and the Prototype Manager, and signed by the PMO Executive Director;
- Annual work plans shall be signed by the Planning Coordination Chief and Prototype Manager, and approved by the PMO Executive Director;
- The Planning Coordination Unit shall be responsible for the review of Unit work plans, and ensuring its consistency with the overall PIO2 work plan. It shall at all times, maintain a copy of the current approved work plan for PIO2;
- Plan updating shall be undertaken quarterly as a result of the quarterly assessment process;
- Weekly plans and targets, monitoring and reporting;
- The approved monthly Unit work plan shall be translated into weekly work plans by each staff;
- Each staff member shall prepare and update a weekly plan target to carry out his/her Terms of Reference. This plan is to be accomplished and submitted every Friday preceding the week planned for;
- The Unit Chief will review the weekly plan and ensure it is consistent with the monthly and overall work plan of the Unit;
- Copies of the weekly plan shall be provided to the Planning Unit;
- At the end of each week, the staff will prepare a list of accomplishment based on the weekly target. This accomplishment report shall be accomplished and submitted every Friday of the week;
- The weekly accomplishment shall be validated by the Unit Chief by affixing his/her signature and remarks/observations on the space provided for;
- Unit Chief prepares a consolidated report and submits a copy to the Deputy/Prototype Manager, with a copy to the Planning and M and E Unit. The consolidated report shall be prepared every Monday to cover work accomplished the previous week;
- The weekly accomplishment reports shall become the basis of the performance assessment of staff;
- A copy of the weekly work plan and accomplishment form is presented in *Annex K*.

## **B. Monthly plans, targets, monitoring and reporting**

- The Unit Chief shall prepare a consolidated monthly report of activities undertaken, and submits it to the Deputy/Prototype Manager, with a copy furnished to the M and E and Planning Unit. The report shall be due on the last working day of the month;
- The Unit Chief shall also prepare a consolidated monthly work plan/target and submit it to the Deputy/Prototype Manager, with copies furnished to the M and E and Planning Units;
- The Deputy/Prototype Manager reviews the plans and accomplishments, verifies the plan's consistency with the overall work plan and target of PIO2, and the accomplishment's veracity;
- The Deputy/Prototype Manager reviews the recommendations, reasons for deviation, and acts on the recommendations or remedial measures, if necessary;
- The M and E Unit prepares the consolidated PIO2 monthly report for endorsement of the Deputy/Prototype Manager to PMO;
- A copy of the format for the monthly work plan per unit is shown in *Annex L*.
- A copy of the suggested format for the consolidated PIO2 monthly, quarterly and annual reports to PMO appear as *Annex M*.

## **C. Quarterly plans and targets and reporting**

- Plans and targets are to be revised every quarter, and shall result from the quarterly assessment exercise to be facilitated by the M and E Unit. The design of the quarterly assessment should capture the review of accomplishments for the period, identification of hindering and facilitating factors, measures taken, and lessons learned. The result of assessment shall become the basis for revisiting and making adjustments in the work plan for the succeeding quarter. A sample design for quarterly assessment appears in *Annex N*.
- Responsibility for preparing the work plans rest with the Unit Chiefs. As much as possible, the work plan review and preparation should be participated in by all the members of the unit, to ensure shared ownership of the targets, and ensure more realistic achievement. The Planning and Coordination Unit then reviews the plans for consistency, completeness, and achievement towards the PIO2 outputs and purpose;
- Quarterly reports are to be prepared for each Unit by the Unit Chiefs, following the assessment results. The reports are to be submitted to the M and E Unit for review, who shall in turn prepare a consolidated report for PIO2. The draft reports are to be submitted to the Deputy/Prototype Manager for review before endorsement to the PMO. The Unit reports are to be submitted no later than one week following the end of each quarter, while the consolidated reports shall be submitted to the PMO no later than two weeks after the end of each quarter. The PMO shall then submit the report to FASPO, WB and AusAID and other stakeholders not later than a month after each quarter. The PIO2 quarterly assessment should fall every last week of the quarter;
- The format for quarterly work plan appears as *Annex O*.

## **D. Annual Assessment, Reporting and Planning**

- Annual assessments shall be facilitated by the M and E Unit. The design should be able to capture vital information such as accomplishments, facilitating and hindering factors, measures taken, emerging effects, lessons learned, implications for the long term LAM Program, as well as prospects for achieving the outputs and objectives specified in the Logframe;
- Annual reports shall be prepared by the Unit Chiefs, based on the assessment results, to be submitted no later than two weeks after the end of the calendar year. The M and E Unit shall prepare the consolidated PIO2 Annual Report for review by the Deputy/Prototype Manager and submission to the PMO. The final Annual Report shall be submitted to PMO no later than January 31, of each year;
- The preparation of annual work plans shall be conducted and form part of the year end assessment. The annual planning process shall be facilitated by the Planning Coordination Unit, in coordination with the Monitoring and Evaluation Unit, who shall prepare the corresponding planning framework and guidelines. The Units involved shall prepare their corresponding work plans which shall be reviewed by the PCU, endorsed and reviewed by the Deputy/Prototype Manager, and submitted to PMO for review and approval;
- The format for Annual Work Plans appears in *Annex P*.

## **E. Activity Planning**

- Major events or activities involving the participation of more than one Unit shall be covered by an Action Plan, which describes the objectives, expected outputs, activities and time frame for completion of activities, the person(s) responsible for each task, and the logistical requirements and/or budget to carry them out. The Plan should be prepared at least two weeks before the event, and shall be used as basis in assessing its outcome. Reports and/or documentation of planned activities should be submitted at least two weeks after the event;
- A sample format of the Activity Plan appears in *Annex Q*.

## **F. Documentation**

### *1. What to Document*

There are a number of activities in the project requiring documentation. It is important that the staff are able to identify all the events and activities requiring documentation and prepare timely documentation and of sufficient quality.

The objective of documentation is not just to document per se, but to be able to use the results in making certain adjustments or modifications in approach, methodology, or strategy as implementation proceeds.

The main users of documentation would be the following:

- Project staff involved in planning and implementation
- Experts who would be involved in the design of the long term program;
- Implementers of the follow on or long term program

- Donors/funding agencies
- Oversight agencies of the GOP
- Presidential Task Force

The log frame and the M and framework will provide a general idea of the activities that need to be documented. However, there will surely be other activities that need to be documented as implementation proceeds.

## ***2. Responsibilities for Documentation***

Responsibility for documentation need to be identified early on in the planning stage of the activity. However, this does not mean that other members of the team who are involved in a certain activity need not take notes and make their own observations.

Depending on the activity, the task of documenting may be lodged with a single person or shared among the members of the group. It is important that all those involved participate in the planning for the activity, discuss the results, identify the lessons, and agree on the structure of the report. In any case, the documentation report should capture the observations of all the group members.

After a draft report is prepared, it is important for the group members to review the report, and for somebody to edit the report for consistency, and ensure it meets the required standards.

Responsibility should be lodged with the Team/person who was involved in implementation, with the assistance of the M and E unit.

## ***3. Maintaining an Updated List of Documents***

The M and E system for the project requires that the responsible offices maintain an updated list of documents/reports produced. In PIO2, this list should be prepared and updated by the M and E Unit. Each component however, should maintain its own list of documents available and provide regular updates to the M and E unit.

Attached as *Annex R* is the Activity Documentation Guide.

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## **Annex A Distribution List of the Manual**

## **Annex B LAMP Log frame**

## **Annex C Organizational Structure of PIO2**

## **Annex D Office Pass Slips**

# **Annex E Training Event Request Form**

## **Annex F Monitoring Form on Status of Equipment**

## **Annex G Supply Requisition Slip**

# **Annex H Form for Inventory of Equipment**

# **Annex I Vehicle Request Form**

# **Annex J Form for Monthly Expenditure Report**

## **Annex K Sample Format Individual Weekly Work plan and Accomplishment**

## **Annex L Format for Monthly work plan**

## **Annex M Suggested Format for Monthly, Quarterly and Annual Reports**

## **Annex N Sample Design for Quarterly Assessment**

## **Annex O Format for Quarterly work plan**

## **Annex P Format for Annual Work plan**

## **Annex Q Format for Activity Plan**

# **Annex R Activity Documentation Guide**