

International Alert Philippines

Conflict Monitoring and Land Resource Management for Marawi and BARMM [P173706]

STAKEHOLDER ENGAGEMENT PLAN (SEP) AUGUST 2020

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1. Introduction

This document is the Stakeholder Engagement Plan (SEP) which forms part of the environmental and social standard (ESS) requirement of the World Bank for the implementation of the International Alert Philippines *Conflict Monitoring and Land Resource Management for Marawi and BARMM* Project.

The project focuses on strengthening capacity of multiple stakeholders in Lanao del Sur, particularly Marawi and adjoining municipalities and BARMM regional entity, more broadly, for the enactment of participatory, inclusive and conflict-sensitive resource-based planning and management and utilization of data and analysis by government and community for evidence-based decision-making.

The SEP outlines the context-specific and conflict sensitive approaches to consultation, engagement and disclosure throughout the implementation of the various components of the project, and includes a mechanism where people can raise concerns and provide feedback on the project and its related activities. The SEP brings focus and emphasis to the local population who will be involved in this project or will be impacted by it, the involvement of local stakeholders is key to the achievement of the project goal and sustainability of results. The SEP aims to improve and facilitate participation, decision making and enable an atmosphere of understanding, inclusion, and objective engagement that meaningfully involves stakeholders in an effective and efficient manner and ensures social and conflict risks are minimized and mitigated. The SEP is a useful tool for managing communications between Alert and key economic, social, and political actors, and the local populace.

The key objectives of the SEP can be summarized as follows:

- Provide guidance for stakeholder engagement such that it meets the standards of International Best Practice;
- Identify key stakeholders that are affected, and/or able to influence the Project and its activities;
- Identify the most effective methods, timing and structures through which to share project information, and to ensure regular, accessible, transparent and appropriate consultation;
- Develops a stakeholders engagement process that provides stakeholders with an opportunity to influence project planning and design;
- Establish formal grievance/resolution mechanisms;
- Define roles and responsibilities for the implementation of the SEP; and
- Define reporting and monitoring measures to ensure the effectiveness of the SEP and periodical reviews of the SEP based on findings.

1.1 Context

New pressures and potential flashpoints emerge as the all-out war in Marawi moves towards the rebuilding phase. The absence of any significant progress in the rebuilding of Marawi continues to fuel a growing sense of despair and anger towards the government that threatens the fragile peace. Critical issues that remain unaddressed include compensation for losses incurred by the people of Marawi, water supply and sanitation, and land ownership and property rights.

Land is an extremely complex issue in Bangsamoro Autonomous Region in Muslim Mindanao (BARMM), Lanao del Sur and Marawi, particularly in the Most Affected Area of Marawi (MAA). It is a highly contested terrain and is a major cause of resource-based violence. The issues are manifold:

- Property rights system is weak, with many ~~urban~~ resources such as land being untitled or with spurious titles—an obvious source of violence.
- Where titles exist, the authenticity of those titles are often challenged.
- Transactions on the sale and transfer of lands are often informal.
- Many claims overlap, reproducing conflicts between clans, tribes and other identities that can run for decades, takes years to resolve, and exacts significant human costs.
- Revenge-killings and violent conflicts over property rights and urban dwelling could flare up when residents return to the area to start rebuilding their homes.

Specific to Marawi, resource-based and identity-based violence brought about by residual issues from the May 2019 elections, boundary disputes and claims, and the delays and poor implementation of development programs for the rebuilding have created new flashpoints of identity-based, resource-related conflict, and new strings of violence.

The resolution of the abovementioned issues will help mitigate the threat of violent conflict and will certainly facilitate the redevelopment of Marawi and its environs.

Alert's learning from previous projects underscored the necessity for a conflict sensitive resource-use management program (RUMP) to march in step with the monitoring of violent strings that emanate from resource-related conflicts. Hence, timely and reliable conflict data must support the primary aim of resolving land-related violence. The stepwise process in achieving the overarching objective of the Action includes: (1) determining priorities and strategies for resource utilization and management; (2) undertaking participatory RUMP processes; (3) accompanying and capacitating local stakeholders in planning and mediation; (4) engaging multi-stakeholder approaches in land dispute resolution; (5) monitoring tensions and conflicts arising from land and other resource and identity-related issues; and (6) undertaking stronger advocacy initiatives at the local level to ensure policy consistency and coherence that will prevent future flashpoints.

1.2 General project description

Resurgent violence and longer delays in the reconstruction process in Marawi and Lanao del Sur are imminent as tensions rise over resource and identity issues related to land that caused violent conflicts in the past. The reconstruction process has reopened old disputes brought about by the absence of an effective and strong land and resource use management system that can redress inequalities and prevent violent flashpoints in the city and the province. These flashpoints are also being tapped by violent extremists to radicalize and recruit among the population and are reproducing strings of violence that need to be monitored and resolved in an effective and timely manner. Hence, the overarching objective of this Action is to strengthen capacity of multiple stakeholders in BARMM, particularly in Marawi City and Lanao del Sur, for participatory, inclusive and conflict-sensitive resource-based planning and management and strengthen conflict-related data and analytical foundations for government and community decision-making.

Figure 1. Conflict Monitoring and Land Resource Management project areas



The project covers the Bangsamoro region for conflict monitoring and Marawi City and the surrounding municipalities of Kapai, Ditsaan-Ramain, and Bubong of the province of Lanao del Sur for the RUMP process and land resource management and has three main components:

1. The **conflict monitoring system “Conflict Alert”**, which is an ongoing activity initiated by Alert in 2013, with World Bank (WB) funding since 2015. Conflict Alert is a subnational conflict monitoring system that tracks the incidence, causes, and human costs of violent conflict in the BARMM region. It aims to shape policymaking, development strategies, and peacebuilding approaches by providing relevant, robust, and reliable conflict data. Conflict Alert has a strong track record and established solid reputation as a source of reliable data on conflict in BARMM.
2. The second part is participatory and inclusive **Resource Use and Management Program (RUMP)**. The RUMP is a planning tool and process developed in 2014 that aims to strengthen the capacity of LGUs for facilitating community input into development planning and building community buy-in. The RUMP process, through a series of workshops, brings communities together to identify resources, map claims and conflict timelines, articulate their vision for the development of their community, and develop approaches for participatory, inclusive, and conflict-sensitive resource use. This strengthens their foundation for negotiating, influencing, and engaging in the LGU development plans for their area, including potential investments by private groups, by identifying mutually beneficial solutions.

3. The third part of the project is **dissemination for increased demand and usage of available data**. This component will attempt to generate more demand by actively reaching out to local government to showcase how they can effectively make use of Conflict Alert data and combine it with the output of the RUMPs to inform their development planning processes.

1.3 Previous engagement on multi-stakeholder processes

Alert has a number of strong initiatives in Lanao del Sur and Marawi City focused on multi-stakeholder dialogue processes, addressing land-related issues, and critical events monitoring and early response even before the siege in 2017. These enable stakeholders to surface issues, recommend solutions, and participate in its resolution at multiple levels.

- **Resource Use Management Program (RUMP)**. The RUMP is an innovative, evidence-based, technology-assisted and participatory process that mediates various and sometimes competing claims over the most effective, efficient and sustainable use of land and other natural resources. Alert facilitated RUMP activities in the municipalities of Saguieran, Piagapo, and Marantao from 2018 and has initiated similar initiatives in other areas in the province. A Memorandum of Agreement (MoA) is in place between International Alert and the Office of the Governor, Lanao del Sur Province to collaborate on developing a management and policy framework for resource governance in order to (a) promote socio-economic development while minimizing the risk of violent conflict rooted on identity and contestation over resources; and (b) harness local-level hybrid conflict resolution mechanisms to resolve conflict in a context-specific and peaceful manner.
- **Conflict Alert**. Lanao del Sur and Marawi form part of Conflict Alert database, which has generated a nine-year panel data on violent conflicts in the Bangsamoro. Conflict data was used in RUMP workshops conducted in the municipalities of Piagapo, Saguieran and Marantao. This was crucial particularly in providing technical accompaniment to the LGUs' technical working group comprised of departments such as the Municipal Planning and Development Office, Municipal Assessor's Office, Municipal Economic, Enterprise Development Office, Municipal Engineering Office, Municipal Environment and Natural Resource Office, Municipal Agrarian Reform Office, Municipal Disaster Risk Reduction and Management Office, and Municipal Agricultural Office which aided in the formulation of Barangay Development Plans, barangay resolutions on land use and the resolution of inter-barangay boundary conflicts. Relevant data and maps were provided by Alert to the Task Force Bangon Marawi (TFBM) for inclusion in the Bangon Marawi Comprehensive Rehabilitation and Recovery Program (BMCRRP).
- **Critical Events Monitoring System (CEMS)**. This monitoring system is distinct from Conflict Alert and relies on an SMS-based reporting system that captures conflict incidents and tensions in communities that may lead to the eruption of violence. It is used by the Alert-supported Early Response Network (ERN) in the Bangsamoro. It has been used for sharing information and working with local governments, key agencies, the security sector and religious and traditional leaders in coordinating quick and context-specific responses to tensions, violent conflicts, disasters and displacement as they happen.

- **Establishment and strengthening of the Lanao del Sur Early Response Network (ERN)**, which is comprised of local disaster responders in Marawi City and 39 municipalities of Lanao del Sur and is connected to the CEMS system. Members deploy timely and relevant responses to various natural and human-induced disasters, in particular incidents that have the potential to result to violence and massive human cost.
- **Marawi Reconstruction Conflict Watch (MRCW)**. This is a multi-stakeholder body that provides advice to relevant government officials to help conflict-sensitize the reconstruction process. Alert provides secretariat function and expert advice on key issues relevant to the reconstruction such as conflict and risk analysis, resource management -- land and water, and the drafting of the Marawi Compensation Bill and position papers for Congress. The MRCW has been recognized as a credible resource on grassroots Marawi issues of the Committee on Disaster Management of the House of Representatives (HoR) responsible for oversight of the Marawi rehabilitation process. It is working with Senator Miguel Zubiri on the authorship of the Senate counterpart bill on Marawi Compensation.
- **Clan mapping**. Alert conducted clan mapping in Lanao del Sur in 2018. The outputs informed the RUMP process particularly identifying prominent families in the municipalities of Saguiran, Marantao and Piagapo – areas where the RUMP workshops were being conducted. Highlights of the consultations were also relayed to Task Force Bangon Marawi specifically on the issues raised by the clans, through members of the MRCW. The analysis has been included in the BMCRRP.

The series of consultations with clan leaders and members were held from 10-20 April 2018. The objectives of the consultations were to (a) elicit meaningful and wider participation of local citizens in the task of rebuilding Marawi; (b) assuage the concerns and fears of many stakeholders over the perceived priorities, strategies, directions, and effects of development plans that would be undertaken by the government in the rebuilding and rehabilitation of Marawi, particularly its most affected areas (MAA); and (c) prevent potential violent conflict that may erupt from inadequate consultations, misunderstandings, and misconceptions. A total of thirty-nine (39) clans, grouped into fourteen (14) clusters participated in the consultations that were facilitated by Alert. The consultations provided the privacy, confidentiality, and space for the suffering and anger of the clans to be heard, understood, and accepted.

The strategy employed was to harness the voice, influence, and expertise of Marawi's clans and families to inform and shape the redevelopment and rehabilitation process. The methodology was to create safe spaces for dialogue and discussion between local people most affected by the 2017 war in Marawi, and government agencies engaged in the rebuilding and rehabilitation of Marawi, specifically Task Force Bangon Marawi (TFBM). It was understood at the outset that the clan consultations shall run parallel to separate and equally important dialogue-consultations with the private sector/ business groups; women's groups, religious groups; academic and technical experts, and others. The summary findings were compressed into a common format consolidating the results of the wider consultation process that TFBM has undertaken. This provided input into the Bangon Marawi Comprehensive Rehabilitation and Recovery Program (BMCRRP).

2. Resource Use Management Program (RUMP) as a stakeholder engagement and participation tool

2.1 Description

RUMP enables the participation of key representatives from the community and from local governments. The process is a platform for dialogue and negotiation where the evidence-based information serves as common ground for negotiating interests and identifying mutually beneficial solutions. Alert has supported the development of twenty-four (24) RUMPs to date covering 13 ancestral domains of indigenous peoples and 256 barangays in 11 local government units in the BARMM and in Southern and Eastern Mindanao.

Its key feature is the process of identifying resources, mapping claims and conflict timeline, developing strategies for resource use that is adaptable, inclusive, participatory, and enables the development of conflict resolution and mitigation strategies by local communities. It utilizes mapping technology (ArcGIS and QGIS). It is an interoperable tool that support and/or complement mandated local government plans such as the Comprehensive Development Plan (CDP) and Comprehensive Land Use Plan (CLUP) and relevant LGU plans co-managed with national government agencies such as the Forest Land Use Plan (FLUP) or Coastal Resources Management Plan (CRMP). It is interoperable, as well, with other International Alert tools such as the SMS-based Critical Events Monitoring System (CEMS) and Conflict Alert, and compatible with available maps and datasets relevant to evidence-based development planning, emergency response, and monitoring.

The RUMP methodology is sensitized and customized to respond to specific contexts, interests of stakeholders, and the nature of the demand. Local governments for example, utilize RUMP data in relation to multi-sectoral and comprehensive development and spatial planning. Meanwhile, communities collectively come up with development priorities and conflict-mitigation and resolution strategies through a process of identifying and assessing resources, biodiversity assets, and sacred grounds and securing areas for production and settlements. RUMP data can also be used to inform engagements with the private sector and to enable communities to negotiate from an informed position with local governments, as well as with business.

Central to RUMP is the development of the People's Resource Use Agenda that details the locality's available resources and the aspirations of the local citizens on its use -- may this be protection, community, and commercial – represented by thematic maps. A narrative on strategies and approaches accompany the maps and will delve on the conflict and context-sensitive management of resources based on the surfaced conflict history and flashpoints in the locality, including overlaps in the administrative boundaries of the locality that are jointly identified by the participants.

The People's Resource Use Agenda can aid in conflict-sensitive investment and development planning, policymaking, decision-making, and addressing resource-based conflicts. It reflects the collective aspiration of community stakeholders and is a tool that can enliven meaningful participation of communities in local planning and development processes and enable them to negotiate their position with their local governments and other entities, including actual and potential investors in their area.

The diversity of interests and values influence the variability of outcomes. What cuts across is the underlying function of RUMP in flagging actual and potential conflicts and its ability to provide a platform for identifying common ground, transforming relationships and preventing violence.

2.2 Stakeholders

The matrix outlines the stakeholders and its specific group/office to be engaged, their roles in the RUMP processes and the methods of engagement to be undertaken by the project team. Strategies for Covid-19 are discussed separately in Annex A of the final project paper (P173706).

The identification of the stakeholders enumerated below was informed by the in-depth understanding of Alert of the different stakeholders and dynamics in the project areas. Alert has long-standing work in Lanao del Sur and (B)ARMM on violent conflict and critical events monitoring, multistakeholder processes on resource-based issues and governance, resource use management planning, and dialogue processes that aim to surface issues, recommend solutions, and ensure stakeholders are able to participate in its resolution at multiple levels. The clan consultations conducted by Alert in 2018, as part of the dialogue process on the Marawi rehabilitation, has likewise accorded nuance to and informed this stakeholder identification.

The mapping process done involved the identification of stakeholders' interests; mechanisms to influence other stakeholders; potential risks; the key people to be informed about the project during the execution phase; and key offices and agencies crucial in the achievement of results. Alert defines “stakeholder” as any person, group, or organization that positively or negatively affects or is affected by a particular issue, goal, undertaking or outcome. They are individuals or groups with a direct, significant and specific stake or interest in a given territory or set of resources and, thus, in policies or projects relating to those resources.

The identified local and regional stakeholders enumerated herein have the political power, social capital, and influence important to achieve target results. These are actors and agencies who are able to use their skills, knowledge, or position of power to positively contribute to the project, some of them may have veto power – they can effectively say yes to a project or derail it. Other than local level engagement with relevant offices at the LGU level, BARMM entities such as the Ministry of Human Settlements and Development (MHSD); Ministry of Environment, Natural Resources and Energy; Ministry of Agriculture, Fisheries and Agrarian Reform; and the Ministry of Interior and Local Government will be engaged as the regional agencies mandated to address land management issues and will benefit from data and analysis that will be produced by the project. Community members and sectoral representatives are primary stakeholders who will be directly affected, as project beneficiaries - they stand to gain or lose power and privilege or on the other hand, may be negatively affected if mechanisms are not in place hence, the importance of a clear and viable SEP that outlines relevant and timely strategies to navigate evolving local dynamics and ensure meaningful stakeholder participation.

NGOs are considered as actors whose involvement in the project is only indirect or temporary, for example, intermediary service orgs, NGO advocates, lawyers, etc. The stakeholders identified here are key and primary who have a direct stake in the process and whose involvement are crucial.

Stakeholder analysis is a continuing process that will engage different groups, as issues, activities, and agendas evolve. Therefore, the matrix below will be regularly revisited and adjustments will be made where necessary and appropriate throughout implementation.

Stakeholder	Group/Office	Roles and responsibilities	Strategies of engagement	Methods of engagement
Local government units (LGUs) of Marawi City, Ditsaan-Ramain, Bubong and Kapai	Office of the mayor	<ul style="list-style-type: none"> • Level-off with Alert on the shared objectives, identified gaps and demands that RUMP can address, and responsibilities of the engagement • Act as official signatory of the LGU in forging MOA with Alert for RUMP processes • Convene the Technical Working Group (TWG) • Release official memo to the barangay for their participation to RUMP workshops • Deploy or assign to specific office the provision of logistical and technical support during the conduct of RUMP workshops • Recommend RUMP strategies to legislative council for policies and/or specific municipal offices for implementation 	<ul style="list-style-type: none"> • Alert’s strong network in the project areas will be utilized in engaging with the local government units to address low buy-in of local chief executives (LCEs) • Social preparations are conducted for conflict-sensitive and context-specific engagement • Build on Alert’s long work in province, partnership with the provincial government of Lanao del Sur and expertise on RUMP processes, conflict monitoring and land advocacy • Series of one-on-one meetings with potential TWG members for orientation, level-off on the process and expected outputs and outcomes, and forward plans • The TWG composed of Alert, LGUs and local partners will identify participants and ensure inclusivity and avoid elite capture during workshops and consultations • In Marawi, the RUMP process is demand-driven as it can identify gaps in the current CLUP, informs the process of enacting 	<ul style="list-style-type: none"> • Courtesy calls and series of meetings with LCEs, Alert, and partners (virtual and/or face-to-face)
	Municipal offices (heads of the offices and technical staff) <ul style="list-style-type: none"> - Municipal Planning and Development Office - Municipal Assessor’s Office - DILG Coordinator 	<ul style="list-style-type: none"> • Act as members of the TWG for RUMP processes • Formulate Terms of Reference (TOR), including criteria of workshop participants selection • Heads of the offices serve as members of 		<ul style="list-style-type: none"> • Meetings (via virtual and/or face-to-face) • Capacity development sessions including hands-on demonstration

Stakeholder	Group/Office	Roles and responsibilities	Strategies of engagement	Methods of engagement
	<ul style="list-style-type: none"> - Peace and Order Council - Municipal Engineer's Office - Municipal Administrator's Office - Municipal Treasurer's Office - Municipal Disaster Risk and Reduction Officer - Municipal Agricultural Office - Municipal Environment and Natural Resources Office - Municipal Economic Investment Promotion Office - Municipal Tourism Office 	<p>the advisory board that will assess and recommend RUMP outputs for policies and implementation</p> <ul style="list-style-type: none"> • Technical staff (preferably in permanent position) of these offices provides technical knowledge on land use, mapping, local plans (on economy, tourism, environment, etc.), past and current conflict incidents • Technical staff participates in meetings, pre-RUMP trainings, actual conduct of RUMP workshops, post-RUMP workshop processing • Technical staff takes charge of the required logistical arrangement for RUMP workshops, including coordination with barangay officials and clustering of participants • Technical staff assists in the facilitation and documentation during RUMP workshops 	<p>the zoning ordinance and its implementation.</p>	<ul style="list-style-type: none"> • Shadowing activities

Stakeholder	Group/Office	Roles and responsibilities	Strategies of engagement	Methods of engagement
	Office of the Vice-mayor and the legislative council	<ul style="list-style-type: none"> • Preside legislative sessions on RUMP outputs as basis for formulation of local ordinance or resolution • Can be tapped as champion in fast-tracking the approval of the local ordinances related to RUMP • Relevant committees push draft ordinances based on RUMP outputs 		<ul style="list-style-type: none"> • Courtesy calls and series of meetings (virtual and/or face-to-face)
	Barangay LGU - Barangay chairperson - Select barangay councilors	<ul style="list-style-type: none"> • Identify participants based on the criteria indicated in the TOR as formulated by the TWG • Take charge of daily convening of participants during RUMP workshops • Ensure consistent participation of community members • Provide data on plans and existing maps, if available • Participate in all RUMP workshops across clusters • Provide local knowledge on resource use, conflict issues, and recommend strategies for RUMP outputs • Maintain objective positions during workshops • Provide mediation among participants as needed 		<ul style="list-style-type: none"> • Capacity development sessions

Stakeholder	Group/Office	Roles and responsibilities	Strategies of engagement	Methods of engagement
Key community representatives	Community members - Farmers/ Fisherfolk - Local businesspersons - Traditional/ Religious leaders - Women - Youth - Elderly Persons with disabilities (PWDs) - <i>Note there are no IP claims and no ancestral lands in the areas to undergo RUMP process</i>	<ul style="list-style-type: none"> • Provide local knowledge on resource use and conflict issues • Recommend strategies for RUMP outputs • Participate in all RUMP workshops and concluding activities • Lobby support for implementation of strategies of RUMP outputs • Monitor implementation of RUMP strategies 	<ul style="list-style-type: none"> • Criteria for selection of the participants are indicated in the RUMP design to ensure inclusivity and active participation, including women, youth, elderly and PWDs • Ensure that groupings for workshops are divided according to alliances and schedules are sensitized according to existing conflict dynamics in the barangays. • Level off on the objectives, expected outputs, various uses of RUMP outputs to manage expectations and address misinterpretations • Emphasize project adherence to the principle of privacy of personal data and confidentiality of sensitive information. • A feedback mechanism is in place throughout the duration of workshops to manage tensions, grievances, and concerns • Workshop facilitators, mappers and documenters are trained on community relations, facilitation, and conflict and cultural sensitivity. • Representatives of ERN and/or MRCW will be present during the workshops for added technical support and advice. 	<ul style="list-style-type: none"> • Capacity development sessions (workshops)
	Early Response Network (ERN)	<ul style="list-style-type: none"> • Provide in-depth knowledge on the local dynamics, balance of 	<ul style="list-style-type: none"> • Harness existing networks and links of partners to 	<ul style="list-style-type: none"> • Meetings (virtual and/or face-to-face)

Stakeholder	Group/Office	Roles and responsibilities	Strategies of engagement	Methods of engagement
		<p>forces, resource, and other conflict issues, as part of social preparations before RUMP workshops</p> <ul style="list-style-type: none"> • Connect Alert and LGUs for partnership in the conduct of RUMP processes • Assist in the facilitation and documentation during workshops as needed 	<p>local government units and other key stakeholders</p> <ul style="list-style-type: none"> • Amplify the roles of ERN and MRCW as in-house experts on conflict analysis and resource use mapping • Enhance partners' knowledge and skills on RUMP methodologies for support and advise throughout RUMP workshops • ERN, MRCW and 	<ul style="list-style-type: none"> • Capacity development sessions on facilitation and documentation
	Marawi Reconstruction Conflict Watch (MRCW)	<ul style="list-style-type: none"> • Provide in-depth knowledge and other inputs on the local dynamics, balance of forces, resource, and other conflict issues, among others • Utilize RUMP outputs as basis for advocacy on Marawi rehabilitation and other related advocacy points 	<p>representatives from clan cluster will participate as external advisory board to ensure comprehensive and inclusive RUMP processes.</p>	<ul style="list-style-type: none"> • Meetings (virtual and/or face-to-face) • Briefings to regional and local bodies
Regional level	Bangsamoro Transition Authority	<ul style="list-style-type: none"> • Utilize RUMP outputs as basis in parliamentary proceedings in relation to Marawi rehabilitation and other land issues in the Bangsamoro 	<ul style="list-style-type: none"> • Development of strategies for advocacy informs the local governments and communities in going forward with their People's Resource Use Agenda, including engaging with BARMM 	<ul style="list-style-type: none"> • Dialogues and briefings (via virtual and/or face-to-face)
	BARMM ministries - Ministry of Human Settlements and Development (MHSD) - Ministry of Environment, Natural Resources and Energy	<ul style="list-style-type: none"> • Utilize RUMP outputs for nuanced recommendation among ministries on Marawi rehabilitation and land issues in the Bangsamoro, i.e. Marawi RUMP outputs as input to MHSD; strategies for resource use on protection and 	<ul style="list-style-type: none"> • Invite BARMM representatives during presentation of RUMP outputs for initial engagements with the regional bodies. 	

Stakeholder	Group/Office	Roles and responsibilities	Strategies of engagement	Methods of engagement
	<ul style="list-style-type: none"> - Ministry of Agriculture, Fisheries and Agrarian Reform - Ministry of Interior and Local Government 	<p>community informs the Ministry of Environment and Energy (MENRE) and Ministry of Agriculture, Fisheries, and Agrarian Reform (MAFAR) programming and approaches</p>		

2.3 Methodology

RUMP is a tool that residents of a locality – be it a barangay, municipality, or province – can use to identify existing resources in their locality and agree on their efficient and equitable utilization. Part of this process is the development of strategies around resource-based conflicts and utilization issues. The maps therefore become both a planning and a peacebuilding tool and strengthen people’s participation in economic, development, and emergency response. RUMP differs from other planning processes because it is bottom-up rather than top-down: the planners are the residents themselves and not bureaucrats. It is also sensitized to the different issues and conflicts in the community and is open to traditional ways of conflict resolution.

Alert’s methodology and strategies specific to this process is informed by the (1) results of the series of consultations it facilitated with 39 clans in Marawi City; (2) the accompaniment that Alert provided to the WB in the development of the MCRP; and (3) the consultations it facilitated between the military and claimants of the area identified for the military camp. Alert is familiar with the different issues and claims of the different clans, the different alliances and networks, and the leaders to harness to help convey the objectives of the initiative and why it is relevant to them.

RUMP has three main parts that distinguish the different phases of the work and outline the flow of the process.

A. Partnership development and contextualizing RUMP process design

a. Securing participation and cooperation

Because the project aims to equip LGUs with a stronger appreciation and better tools for participatory processes and allow communities to dialogue with them and other parties to solve resource-based tensions in their area, it is important to secure the commitment of both the LGUs and community members in undergoing the process, in investing in needed capital, and in continuously using these tools going forward.

Alert has long-standing links and engagements with local governments at the provincial, municipal, and at the level of Marawi City in Lanao del Sur and the different civil society groups in Marawi on shared objectives related to conflict analysis, land conflicts and resolution, critical events monitoring and early response, and recently with the Covid-19 public health emergency, on transforming interoperable platforms of RUMP and conflict monitoring to inform conflict-sensitive emergency response.

Alert will thus harness its ongoing partnership with the Province of Lanao del Sur and its strong network on the ground to gain support of the process. Adequate social preparation processes before the roll-out of the RUMP activities will be undertaken. These involve a series of meetings with local chief executives and technical staff in the target areas to agree on shared objectives and responsibilities of the engagement, identify gaps and demands that can be addressed through the RUMP, contextualize the process, and identify the strategic members of the Technical Working Group (TWG) from the local government unit and civil society. A series of one-on-one meetings with potential members will be undertaken to orient them of the initiative, level off on the process, on the expected outputs and outcomes, and forward plans. The TWG will develop and agree on its Terms of Reference (ToR),

including criteria of workshop participants selection, and code of conduct that ensure inclusivity and conflict-sensitivity.

Part of the design process with the LGU and the TWG is finalizing the criteria of the participants, which in broad terms are (i) individuals or groups who possess important local knowledge, (ii) community members with historical memory, (iii) community members who understand current realities, and (iv) women, youth, elders, traditional leaders, and those who utilize the resources such as farmers, fisherfolks or local businesspersons (depending on the leading economic activity), among others. Community representatives are invited to participate because they are viewed as possessing important knowledge about their area and have experiences or perspectives important to enrich the outputs.

These series of meetings include one with clans and key community representatives to level-off on the process and its outputs and expectations, and to serve as a critical confidence building activity to gain trust of community members, particularly in light of people's frustration of the slow progress of the rehabilitation process.

b. Ensuring conflict-sensitivity and do no harm approach

It is fundamental at the outset to protect the process from domination of vested interests of parties involved. The Technical Working Group (TWG) that will be formed will help identify participants and ensure inclusivity and to avoid elite capture during the conduct of the workshops and consultations, especially where powerful clans are mostly occupying local level political and administrative posts. This step will ensure a balance of interests and provide an open and safe community-level discussion platform.

Several mechanisms are put in place to ensure this, one of which is the methodology itself and harnessing strategic champions at the local government level to form the TWG at the start. The TWG is composed of the Alert team, facilitator and documenter from local NGO partner, and representatives from the LGU, i.e., Municipal Planning and Development Officer, Municipal Assessor, DILG Coordinator, Peace and Order Council representative, Municipal Engineer, Municipal Administrator, Municipal Treasurer, Municipal Disaster Risk Reduction Officer, Municipal Agricultural Officer, Municipal Environment and Natural Resources Officer, Municipal Economic Investment Promotion Officer, Municipal Tourism Officer, and the Vice Mayor or the relevant committee chairperson in the local Council for the legislation/ordinance aspect of the process. While this is an enumeration of who can be part of the TWG, the key element is the inclusion of individuals whose position is critical to the process, including in championing the output later on. The selection of strategic members of the TWG will be jointly agreed as part of the series of meetings with the LCEs and their representatives.

The series of meetings of Alert with local partners, with clan representatives, and key community members are also a way to appraise the current dynamics and identifying issues that may pose a risk to the credibility and inclusivity of the process. These discussions will likewise inform the clustering of villages (barangays) and representatives in the conduct of the RUMP workshops. Clustering of villages and individuals will be along the understanding of the balance of forces in the locality, thus, groupings will be done according to who do not have active or latent feuds with families and their allies. Careful clustering of participants and scheduling of the workshops is an important part of the preparatory

activities involving the LGUs and TWG validated through separate meetings of Alert with local partners and networks.

The project adheres to the principle of privacy of personal data and confidentiality of sensitive information. These are translated to Alert's practice of redacting private details such as names and addresses from outputs shared to the broader public. The recordings and documentation during workshops will not be attributed to the participants. Focus is made on inputs and analysis rather than personalities in the process. Information disclosure protocols will be guided by confidentiality protocols of Alert with the principles and details of implementation agreed upon with the LGU and RUMP participants.

c. Contextualization and validation of data

The series of meetings with various stakeholders are also important in the collection and better contextualization of secondary data and in the validation of data from Alert's conflict monitoring database data and analysis as these information would have to be triangulated to arrive at a level of consistency for reporting and presentation. Secondary data includes socio-economic and demographic data, and other governance indicators such as expenditures on education, health, tourism, among others. Geohazard data such as landslide and flood susceptibility and fault lines and topographical features such as rivers and forests systems will be validated, as well as information on infrastructure projects such as road networks, water systems, power grids, and public markets, and other local and national programs that would give a clear picture of the existing resources in a municipality and their current use as well as the probable fulcrums of conflict.

Validation of conflict data will necessitate the surfacing of conflict history and multicausality, identification of conflict actors especially among clans, and the determination of existing and potential triggers of violent flashpoints, to understand the balance of forces including inter- and intra-municipality relations.

Parallel to the abovementioned processes, Alert's mapping team conducts geo-processing of secondary data and Conflict Alert data and prepares the satellite image map overlays for use in the workshops in the next phase of the process. Development of workshop materials such as printed large-format maps, video briefings, digital thematic maps, and preparation of personal protective equipment (PPEs) such as face shields, face masks, gloves, shoe covers, disinfectants for staff, partners and participants will be part of technical preparations.

d. Preparatory trainings

When the substance of the partnership agreement is set and the TWG objectives, members, and roles are worked out, the technical part of contextualization of the RUMP process commences. Alert's GIS staff and counterparts at the local government review relevant secondary data/datasets, existing maps, and plans. The GIS staff conducts geo-processing of these data and maps and prepares the satellite image overlays for use in the workshops in the next phase of the process.

Preparatory training will be done for the facilitators of the RUMP process. The objective is to ensure they have the tools necessary to facilitate the workshops and understand the critical issues affecting the

community. It is necessary to have a basic awareness of sensitive issues so that facilitators and the process itself do not fuel latent tensions unknowingly or unintentionally. For example, awareness of on-going clan feuding or community-based violence occurring in the area is crucial. One mitigation employed is the clustering of villages and individuals who are aligned with each other or do not have latent feuds with families and their alliances. Careful clustering of participants and scheduling of the workshops is an important part of the design.

The trainings include basic mapping using QGIS, workshop facilitation, documentation, conflict sensitivity/conflict analysis, including familiarization of technologies that will be used. The trainings will be done across several days by experts within Alert and shadowing and simulation exercises. *(Refer to Annex 1 for the training design)*

B. Conduct of RUMP

This component utilizes a four-step process that comprises workshops and focus group discussions facilitated by a RUMP team composed of geographic information system (GIS) and community development staff Alert and local partners. Key to this stage is the participation of community representatives in the identification of resources, mapping claims and conflict timelines, developing strategies that are adaptable, inclusive, participatory and conflict sensitive.

Workshop facilitators will begin the process with an orientation and levelling-off exercise. Workshop facilitators will explain the nature of the RUMP openly and in a way that is understandable to the participants. It is the responsibility of the facilitator to ensure that each participant understands the nature of the RUMP, its purpose, the potential risks and benefits of participation, and the fact that they may withdraw from participation at any time.

Note that all the workshops will be done in Filipino and all materials and guides will also be in Filipino. Local translators to the vernacular will be available, they will be from Alert's local partner organizations or networks who will co-facilitate the workshops

a. Workshop 1: Resource mapping (1/2 day)

The objective of this workshop is to identify existing resources, determine their current use, and identify who has access and control of these resources. The session will also surface existing property rights claims and overlaps which have or potentially could result to conflict.

In the first workshop, representatives of a barangay or a cluster of barangays are grouped and, using the prepared geo-processed maps that contain basic information such as land and water systems, road networks, and boundaries, they identify the natural resources that are available in their area and which they propose to protect, or to open to investments or put to commercial use. They also identify the areas they currently occupy and the structures therein, and areas which they wish the community to expand and for what structures. Areas based on this classification – protection, commercial and community – are plotted on the maps.

A co-facilitator will assist the GIS-mapper/main-facilitator during this process. A local GIS mapper will adjust the pre-processed maps according to what surfaces in the discussions. A documenter will be

tasked to take down detailed and organized notes of the discussion and audio record the proceedings in full, after obtaining consent from the participants.

b. Workshop 2: Conflict mapping (1/2 day)

The second workshop will begin with a summation of the results and agreements from the Workshop 1.

Note that Alert facilitators will already have an analysis of the major conflict context, actors, causes, and timeline from the series of consultations with key interlocutors and contacts as described in the preparatory stage of the process. This analysis has also already been juxtaposed with conflict data from Alert's conflict monitoring systems – Conflict Alert and Critical Events Monitoring System. Careful facilitation is done and confidentiality is assured, particularly emphasized in this workshop considering the sensitivity of the topic.

The objective of Workshop 2 is to surface major conflict flashpoints and events in the area relating to access and control over critical resources. In the second workshop, participants will be divided into smaller groups according to pre-identified clusters and asked to recall and discuss their local context and the major conflicts related to resources (emphasis on multicausality of causes) in their area. This mapping exercise will surface the political, economic, and socio-cultural context of the area; the emergent political, economic, ecological, and social issues; conflict prone/ affected areas; and the history of conflicts.

History of conflicts and the conflict actors are drawn from community experts in order to examine the relation between resource wealth and the onset of conflict in a particular area. Factors such as interests and constraints of each stakeholder, class or group in the areas are likewise surfaced in this workshop.

Local facilitators will be assigned per group while the main facilitator will guide and supervise the process. While the discussions will mainly focus on resource-based issues, facilitators will welcome discussion on important conflicts which might prove the multicausality and stringing of conflict, such as those caused by clan/identity feuding, the shadow economy of illegal drugs and illicit weapons, governance issues, political issues, or identity issues, including gender-based violence.

Facilitators will present a conflict map containing data from Conflict Alert and CEMS and validate these with the participants. The facilitator will note congruence of this data with the group's discussion, document additional information on conflict plotted in the map, seek explanation where needed, and document additional conflict incidents and local stakeholders' analysis.

Due to the sensitive nature of the information, facilitators will make sure to handle the discussions with utmost care, following protocols and procedures. The facilitators will see to it to maintain an open, free, respectful, and productive tenor and atmosphere during the workshops and will employ their good judgment in extreme cases where a time out or suspension of the session is necessary.

The conflict mapping workshop for Marawi City will need a special approach in that participants in barangays in the most-affected area (MAA) will be separated from participants outside the MAA. The guide questions will be based on the results of the clan consultations done by Alert in 2018 and the data

it has from Conflict Alert, CEMS, documentation of meetings and analysis of the multi-stakeholder group MRCW, and other secondary reports, including Conflict Alert Annual Reports beginning 2018. Aside from the prepared conflict map, the participants will also be presented with the government's rehabilitation plan for the City and a map of overlapping claims or land boundaries of presidential decree- and executive order-created areas in Lanao del Sur, among other maps. The design of this process will be informed by MRCW and other key interlocutors who have intimate knowledge and understanding of the current dynamics and balance of forces of the area.

The main and local GIS mappers will revise the conflict map based on additional information gleaned during the session. Discussions will continue to be recorded by the documenters.

An evaluation of the first day of the RUMP process will be undertaken by the training team at the end of the day to check if workshop objectives are met, to identify what worked, to strategize how to respond to difficulties and challenges encountered, to rectify mistakes, and to calibrate approaches as necessary.

c. Workshop 3: Strategy development (1 day)

The objective of this workshop is for the community to come up with a People's Resource Use Agenda that details how and what they envision their communities to be and the steps that need to be undertaken to achieve these. The workshop will include the creation of an advocacy and communications strategy in engaging key actors at the local and regional levels in integrating the People's Resource Use Agenda in local development plans and in relevant multi-level processes on land resource management and development. By the end of the workshop, participants will be better equipped in designing an effective strategy plan and in effectively influencing relevant stakeholders for policy change. Through the process, the workshop also aims to capacitate participants with the basic skills and tools on how to effectively communicate and advocate to relevant stakeholders.

This workshop will blend evidence vetted and enriched during the first two workshops. Participants will consolidate all learnings since the start of the RUMP process which will be the basis for the development of the People's Resource Use Agenda.

The People's Resource Use Agenda will be the forward plan of the community on how they want their resources to be managed, what they envision their community to be, and how they can operationalize their plans and strategies. The People's Resource Use Agenda will be used by both communities and local governments, as a basis in building context-sensitive nuance in local processes. Community representatives advocate for this agenda to enable them to solve resource-based conflicts in their localities through harnessing local mechanisms and working and engaging with relevant stakeholders such as the local government itself.

Once the information has been collected and mapped, developing strategies around governance and conflict issues is an important next step. Participants will discuss management strategies to be able to realize their agenda for their localities. While at the onset they may not all agree with every strategy discussed, it is critical that they identify a common ground. A process will be undertaken to plan activities, including how to strategically communicate their agenda, how to involve municipal and provincial officials, and identify the people expected to lead or be responsible for these. They will plan

for the medium- and long-term using scenarios such as conflict flashpoints, emergencies, population growth and natural resource depletion.

Stakeholder mapping

To aid in the crafting of an advocacy and communications strategy, the RUMP team will provide participants with a brief input on stakeholder analysis in simple easy-to-understand ways. The objective of this presentation is to provide a framework in understanding the different interests at play that may facilitate or impede the realization of their vision. The facilitator will provide examples of a conflict or problem and its corresponding key, primary, and secondary stakeholders based on the endowments of each stakeholder.

d. Workshop 4: Validation and finalization

The workshop outputs and maps are organized and presented to the larger set of barangay representatives, environmental experts, and local government executives in this last workshop. The aim of this validation workshop is to check the areas initially marked for protection, commercial use and community use and to confirm, change, or update these if necessary. Participants also examine the plans and mitigation strategies.

The consolidated RUMP outputs will then be further refined adding a risk matrix that will guide the implementation of the strategic advocacy. This includes identifying potential ruptures of issues surfaced during the process such as administrative boundary disputes between villages, municipalities, or provinces that could trigger conflicts. The output will include identification of local conflict resolution mechanisms – formal or informal -- such as alternative dispute resolution mechanisms or recommendation of the conduct of series of dialogues to help resolve resource-based conflicts and boundary disputes.

Completion of these series of workshops and focus group discussions builds into the next component of RUMP, which is the facilitation of the use of the outputs as an intervening process towards achieving the desired outcomes of the initiative.

C. Development of strategic application of RUMP outputs into policies and actions

The workshop outputs and maps are then finalized and compiled into a *People's Resource Use Agenda* that embodies the desire for sustainable and conflict sensitive resource use and reflects the development aspirations of the local communities and other stakeholders who participated in the workshop and the validation process. A presentation is made to the local government, particularly in the local development offices, to inform monitoring of progress in their development plans and to serve as community-driven reference for updating their local plans and potentially the creation of new ones that take into consideration people's needs and aspirations around resources.

The RUMP outputs will be used by both communities and local governments as a basis into building context-sensitive nuance in local processes. Community representatives acquire the information and knowledge to enable them to solve resource-based conflicts in their localities through harnessing local

mechanisms and working with relevant individuals or entities such as the local government itself. Expert advice and accompaniment will be provided by Alert to communities through a multistakeholder dialogue platform or through partners and to local governments to ensure inclusive and data-driven processes using the RUMP outputs. Local governments will benefit from guidance on harnessing interoperability of the methodology introduced, the technical data, and the RUMP outputs for other demand-driven needs, which include evidence-based natural and man-made emergency response, perception and risk mapping to inform community engagement strategies and programming, among others.

3. RUMP implementing team

An overall Project Management Committee (PMC) will be established to set direction and ensure effective implementation of activities. Programme leads will ensure the smooth delivery of expected outputs within the agreed timeline as reflected in the workplan. A training team composed of Alert staff and local partners will be assembled to carry out the process on the ground.

The Senior Programme Managers for advocacy and conflict monitoring are the main proponents in the implementation of stakeholder engagement activities. Both staff has long experience in doing community work and conducting researches. The GIS specialists, as the main facilitators in daily operations, ensures implementation of SEP. These specialists possess relevant educational background particularly on geosciences and mapping technologies, and substantial experience in conducting RUMP processes in ancestral domains and local governments.

Monthly meetings involve Senior Management Team in assessing project implementation where stakeholder engagement will be discussed extensively, as part of Alert’s methods in ensuring conflict-sensitivity and socially inclusiveness of Alert’s projects. The monitoring of stakeholder engagement activities will be part of Alert’s internal monitoring and evaluation processes. The Senior Project Officer for Monitoring, Evaluation and Learning (MEL) takes charge of this aspect.

The project management team will gather and discuss comments and feedback, both written and oral, and decide on the reporting method to the stakeholders. Feedback during the RUMP workshops will merit immediate discussion among the project team including partners to give feedback the soonest possible time. Alert considers these feedbacks valuable in improving the overall design and processes of the project towards achievement of results.

The project implementation documents include matrices on assessment reports and sidesteps, project outcomes and impacts, and stakeholder engagement where feedbacks and other concerns are documented.

Project Implementing Team	Composition	Roles and Responsibilities
Project Management Committee (PMC)	<ul style="list-style-type: none"> • Country Manager • Senior Peace and Conflict Adviser 	<ul style="list-style-type: none"> • Take responsibility for the strategic direction of the project and adjustments to strategies and approaches done according

	<ul style="list-style-type: none"> • Senior Programme Manager for Conflict Monitoring • Senior Programme Manager for RUMP • Senior Programme Manager for Advocacy • Land Policy Action Group (LPAG) core members • Marawi Reconstruction Conflict Watch (MRCW) members • Subject matter experts 	<p>to changes in the local context and security scenario develop</p> <ul style="list-style-type: none"> • Maintain relationships with senior-level stakeholders, and to develop and implement an advocacy strategy for the project. • Meet on a quarterly basis throughout the project period to regularly review progress • Submission of regular reports to the World Bank, according to the schedules identified in the workplan
Programme leads	<ul style="list-style-type: none"> • Senior Programme Manager for Conflict Monitoring • Senior Programme Manager for RUMP • Senior Programme Manager for Advocacy 	<p>Regularly coordinate with</p> <ul style="list-style-type: none"> • Representatives from the local government units of Marawi, Kapai, Bubong and Ditsaan-Ramain • Representatives of the Technical Working Groups that will be formed in each of the four municipalities for the conduct of RUMP • The training team • Academic partners who are responsible for data gathering and validation for Conflict Alert.
Training team	<ul style="list-style-type: none"> • GIS mappers (2) • Local GIS mappers (2) • Alert lead facilitator (1) • Local facilitator (4-5) • Alert lead documenter (1) • Local documenter (4-5) • Alert lead Logistics officer (1) • Local logistics officer 	<ul style="list-style-type: none"> • Invite participants based on agreed-upon criteria • Prepare workshop materials, venue, and refreshments • Prepare RUMP programme and presentation materials including secondary data, pre-processed RUMP, and thematic maps • Conduct the workshops drawing out salient information from the participants using agreed upon guide questions and learned facilitation skills • Document proceedings through detailed note-taking and audio recording • Process information into applicable formats such as geo-maps, document matrices, and narrative accounts • Maintain a collaborative, respectful, and safe tenor to the discussions and session atmosphere

		<ul style="list-style-type: none"> • Prepare a narrative workshop report and draft People’s Resource Use Agenda based on the participant’s workshop outputs and documentation reports
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The project implementing team will be supported by Alert Senior Finance Officer, Bookkeeper, Security Officer, Analyst/Quantitative Specialist, ICT Manager, Senior Communications Officer, among others. A project operations manual will developed for approval of the Bank and will guide the implementation of the project.

4. Beneficiaries

The project beneficiaries for RUMP processes in Lanao del Sur will consist of the local government units (LGUs) of Marawi City and the adjacent municipalities Kapai, Bubong and Ditsaan-Ramain, people of Marawi and at the regional BARMM level.

4.1 Local government units (LGUs)

- Local Chief Executives (LCEs). The office of the LCE will be the first contact in establishing formal partnership for RUMP and following series of meetings on shared objectives and expected outputs and outcomes, signing of agreement, creating of TWG and recommending RUMP outputs for programming and policymaking. As LGUs participate in the process, they will gain additional experience in managing its resources and formulating strategies, their institutional capacity will be enhanced considerably.
- Technical Working Group. The TWG, composed of key agencies with critical roles on local programming and approaches, is expected to provide strategic oversight and support to the implementation of the RUMP, from preparatory trainings before RUMP, actual RUMP workshops, and concluding activities in pushing the People’s Resource Use Agenda into policies and programmes. RUMP outputs inform their programming and enhances their technical skills such as mapping capacities for future participatory planning processes.
- Barangay LGUs. The barangay officials, under the leadership of the barangay chairperson, will identify and mobilize people’s participation in RUMP processes and participate in all workshops of their barangays. They can utilize RUMP outputs in crafting local policies and designing projects and programs. They also learn skills and tools for inclusive and participatory processes they can use for community-level processes.

4.2 People of Marawi

- Community members. Community members are invited to participate because they “local experts” possessing important knowledge on resource use and conflict dynamics and context-specific perspectives on their community needs. The RUMP will draw from their expertise and traditional knowledge on different aspects of their community lives, from environment, households, agriculture, labor, industry, local business, and cultural and religious practices.

Participation of women, youth, elders, traditional leaders and persons with disabilities is utmost importance to express their interests in these participatory processes.

- Early Response Network (ERN) in Lanao del Sur. This multi-stakeholder network whose experience in monitoring tensions and violent conflict and deploying responses through formal and hybrid mechanisms, will provide valuable inputs in social preparation prior to RUMP, particularly understanding the violent dynamics of the target areas. Their participations will continue during conduct of workshops as part of the facilitation and documentation team.
- Marawi Reconstruction Conflict Watch. The MRCW is an autonomous and independent multi-stakeholder group that shall channel wider public attention and participation in the monitoring of the Marawi reconstruction process and coordinate with relevant and key stakeholders. Engaging the MRCW for the RUMP is critical not only in social preparations but more importantly, in utilizing RUMP outputs as evidence in pushing advocacy points related to Marawi rehabilitation.

4.3 Regional level

- Bangsamoro Transition Authority and BARMM ministries. Engagement with BARMM government is deemed important as the various codification of the regional policies are still underway. RUMP outputs, including conflict data, are critical inputs in crafting laws on land use, environment, human settlement, agriculture and fisheries, among others.

4.4 Public

- National government. The RUMP outputs are useful input to national legislative bodies in the House of Representatives and Senate on land management, environment, disaster resiliency and related to Marawi rehabilitation. Other land management agencies such as DAR, DENR, among others, can also peruse the data to anchor their programs and projects especially in the context of the Bangsamoro.
- Development partners, academe, NGOs/CSOs. Organizations pushing for land advocacy and the peacebuilding will benefit from the RUMP outputs as basis for their programs and in advocacies for community-based and context-specific participatory processes. Other groups from civil society and the academe, including the private sector, engaged and interested in spatial and resource use data and resources more broadly in areas within the Bangsamoro will find the RUMP outputs and its methodology useful.
- Media. Media can use the data to showcase stories from the ground, focusing on how communities can formulate their own plans, identify mechanisms and push for local policies and programs towards sustainable local development of their localities. The People's resource use agenda can be used as a case in point for articles on national issues such as Marawi, land, or Bangsamoro. The project will engage media for dissemination of advocacies that will come out of the RUMP process.

5. Information disclosure strategy

Various types of information will be disclosed in different formats to particular stakeholders throughout the project cycle and at differing frequencies. This SEP document will be publicly disclosed on all International Alert websites and project platforms once approved by the World Bank. The Environmental and Social Commitment Plan (ESCP) has been disclosed on August 11, 2020.

Because of the sensitive nature of some of the land- and resource-related issues that will be examined and discussed in the conduct of the RUMP, information about the project as well as socio-economic and conflict data particular to the municipalities and barangays will mostly be circulated to implementing stakeholders and participants during the first two phases of project development and design and the actual conduct of the RUMP workshops. In the third project phase of applying the RUMP outputs to policy and action, the amount and kind of information including the People's Resource Use Agenda, will be decided upon by the community members, LGUs, and TWG beforehand when planning for advocacy and communication strategies for their agenda and during the validation and finalization workshop. These agreements will be considered in Alert's own policy work in influencing land management framework and mechanisms in Lanao del Sur and BARMM and at the national level as well as in its dissemination of RUMP impacts with the aim of increasing demand for the process among other LGUs and communities.

Project Stage	List of Information to be disclosed	Methods proposed	Locations	Target stakeholders	Responsibilities	Timeline <i>(full timeline in Section 7)</i>
1. Partnership development and contextualizing project design	Project brief documents Conflict Alert data RUMP briefer/design Processed RUMP and thematic geohazard maps	Formal meetings, online meetings Emails MOA signing event Trainings Online via Zoom for periods of lockdown/travel restrictions	Marawi, Kapai, Bubong, Ditsaan-Ramain	LGUs Local partners TWG Members RUMP Training Team	Project Management Committee Programme Leads	Sept to Dec 2020 Ditsaan-Ramain (Sep 2020) Kapai (Oct 2020) Bubong (Nov 2020) Marawi City (Dec 2020)

Project Stage	List of Information to be disclosed	Methods proposed	Locations	Target stakeholders	Responsibilities	Timeline <i>(full timeline in Section 7)</i>
	Secondary socio-economic data					
2. Conduct of RUMP workshops	RUMP workshop design Conflict Alert data Secondary socio-economic data Workshop outputs such as - Processed RUMP and thematic geohazard maps People's Resource Use Agenda	Plenary inputs and small group workshops a. Resource mapping b. Conflict mapping c. Strategy development including advocacy and strategic communication d. Validation and finalization	Marawi, Kapai, Bubong, Ditsaan-Ramain	Community members from the barangay Barangay LGU officials Municipal officials Local partners TWG members	RUMP Training Team	Oct 2020 to Feb 2021 Ditsaan-Ramain (Oct 2020) Kapai (Nov 2020) Bubong (Dec 2020) Marawi City (Jan 2021)
3. Development of strategic application of RUMP outputs into policies and action	People's Resource Use Agenda Risk matrix for implementing People's Resource Use Agenda that includes	Workshop Plenary Meetings Presentations	Marawi, Kapai, Bubong, Ditsaan-Ramain	Community members from the barangay Barangay LGU officials	Programme leads	Nov 2020 to Mar 2021 Ditsaan-Ramain (Nov 2020) Kapai (Jan 2021)

Project Stage	List of Information to be disclosed	Methods proposed	Locations	Target stakeholders	Responsibilities	Timeline <i>(full timeline in Section 7)</i>
	<ul style="list-style-type: none"> - Potential raptures of issues surfaced - Conflict resolution mechanisms - Recommendation on series of dialogues to help resolve resource based conflict and boundary disputes 			<p>Municipal LGU officials</p> <p>Marawi Reconstruction Conflict Watch and other multistakeholder platforms</p>		<p>Bubong (Feb 2021)</p> <p>Marawi City (Mar 2021)</p>
*Dissemination for increased demand/ utilization of RUMP	<p>Impact of RUMP process in Lanao del Sur</p> <p>People's Resource Use and complete RUMP narrative report (subject to agreement among community, LGU, and TWG)</p>	<p>Press releases</p> <p>Media outreach including newspapers, radio, TV</p> <p>Web/social media posts on social media sites of Alert and partner LGUs</p> <p>Regular briefings and technical advice</p>	<p>Lanao del Sur</p> <p>BARMM</p> <p>Metro Manila</p>	<p>Philippine press, international press – anchored on issues</p> <p>Municipal and provincial Local governments in BARMM and other parts of</p>	<p>Project Management Committee,</p> <p>Alert Communications Officer</p>	<p>Ditsaan-Ramain (Dec 2020)</p> <p>Kapai (Jan 2021)</p> <p>Bubong (Feb 2021)</p> <p>Marawi City (Mar 2021)</p>

Project Stage	List of Information to be disclosed	Methods proposed	Locations	Target stakeholders	Responsibilities	Timeline <i>(full timeline in Section 7)</i>
	Policy notes on particular thematic areas	to local governments in BARMM and government bodies on conflict-sensitive governance and management and development planning Webinars Regular briefings Participation in relevant Congressional hearings and Technical Working Group meetings on National Land Use Act, Marawi rehabilitation		Mindanao (executive, planning and development offices, peace, and order councils) MRCW, other multistakeholder groups and networks BTA Key civil society organizations Academic institutions		

6. Grievance mechanism

International Alert has a policy of zero tolerance to abuse and will make every endeavor to prevent and stop abuse from happening. We have a duty of care to protect anyone, especially our beneficiaries, who comes into contact with our work, from any form of abuse. The project will institute a grievance mechanism through which beneficiaries and stakeholders can anonymously raise concerns and issues related to the project implementation. For the purpose of clarity, a grievance is defined here as an individual or individuals bringing to Alert's (management's) attention concerns or complaints about the process of project implementation and/or actions of project staff and partners in the course of implementing a project activity that caused offense or deemed abusive.

Alert's safeguarding policy ensures that all concerns and issues are dealt with following proper procedure. Alert's safeguarding policy (*refer to Annex 2*) will be adapted to the specificities of the project, particularly with regards -

- Ensuring Alert provides a safe and trusted environment which safeguards anyone who Alert has contact with.
- Ensuring that safeguarding policies, procedures and measures are understood by all staff, partners, and beneficiaries.
- Promoting an organizational culture that prioritizes safeguarding and makes it safe for those affected (directly or indirectly) to report incidents and concerns with the assurance that they will be handled sensitively and properly.
- Providing clarity on how incidents and allegations will be handled, should they arise; and
- Reflecting our obligations to our donors that support our work, as well as the laws of the countries in which we work.

The grievance mechanism is initiated when a project-related concern is raised through project partner Dansalan College Foundation informally or verbally during the course of the project implementation. Individuals or groups who wish to raise a concern/s may email, call, or relay in person through Dansalan College Foundation. The partner will forward the concern to the Senior Programme Manager for Conflict Monitoring as the designated project lead. An informal dialogue will be arranged by the Senior Programme Manager to understand the nature and extent of the grievance and to find out the outcome that the complainant is looking for. The Senior Programme Manager will endeavor to come up with an immediate appropriate resolution with the complainant during this dialogue.

In case the grievance is not resolved informally, the complainant will be asked to detail the grievance in writing to commence a formal process. This document will be forwarded to the Project Management Committee who will arrange a formal meeting with the complainant. A documenter will be engaged to take minutes of the formal meeting where the grievance will be discussed in detail and where the aggrieved party will declare his or her recommendations for redress. If deemed necessary, an investigation may take place before and/or after the grievance meeting. A decision will be provided to the complainant in writing within five working days from the day of the formal meeting.

All staff involved will work confidentially and will not discuss the case with anyone outside of the grievance process.

6.1 Appeals

If the grievance has not been resolved to the satisfaction of the complainant, they may appeal in writing, stating their full grounds of appeal. This letter should be sent to Alert Philippines Country Director within five working days of the date on which the decision was sent or given to the complainant. The complainant will be asked to come to a meeting as soon as possible at a reasonable time and location for their appeal to be heard. A written decision on the appeal within five working days will be given. If it is not possible to respond within this time period, the complainant will be given an explanation and informed when a response can be expected.

If the complainant is still not satisfied with the outcome of their concern, they can ask for the grievance to be considered by Alert's Regional Manager for Asia. The complainant should put their appeal in writing, explaining the outcome of the previous appeal and what they are still concerned about. The Regional Director will provide a written decision on the appeal within five working days upon the receipt of the letter. If it is not possible to respond within this time period, the complainant will be given an explanation and informed when a response can be expected. The Regional Manager's decision is final and there can be no further appeals after this.

6.2 Records

Records will be kept detailing the nature of the grievance raised, the response, all actions taken and the reasons for these. These records will be kept confidential and stored in accordance with the Data Protection Act of 1998, and in compliance with the General Data Protection Regulations introduced in May 2018, which requires the release of certain data to individuals involved at their request. Copies of any meeting records will be given to the complainant. The Senior Programme Manager will ensure that records are made and passed to Alert's Human Resource Department.





6.3 Contact information

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7. Project timeline (RUMP)

Legend:

Bubong	
Ditsaan-Ramain	
Kapai	
Marawi City	

Components and activities	2020 (4 months)																2021 (3 months)															
	September				October				November				December				January				February				March							
	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4				
1.1 Series of meetings and consultations with experts and networks on tailor-fitting RUMP design and process, potential risks, and strategies																																
1.6 Digitizing of secondary data and preparation of satellite image overlays																																
1.2 Development of workshop materials such as printed large-format maps, video briefings, digital thematic maps																																
1.3 Series of briefings and orientations of LCEs, TWG members on RUMP process, ToR, and MoA																																
1.4 Agreement and signing of MOA with LGUs articulating shared objectives, ToR, outputs, results, counterparting, and timeline.																																

Components and activities	2020 (4 months)																2021 (3 months)											
	September				October				November				December				January				February				March			
	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4	W1	W2	W3	W4
1.5 Capacity-building on basic mapping using QGIS, workshop facilitation, documentation, conflict sensitivity, COVID-19 quarantine measures and safety protocols, including familiarization with technologies used by partners, LGU staff/TWG, including Alert GIS staff																												
1.7 Series of meetings with TWG on clustering of participants, scheduling of the offsite and onsite workshops and validation, logistical arrangements, and COVID-19 protection measures																												
1.8 Conduct of RUMP workshops																												
1.9 Geo-processing of workshop outputs and production of large-format general and thematic maps for validation																												
1.10 Validation workshops following the same barangay clustering																												
1.11 Series of presentation of outputs to TWG, local government executives, advisory groups, land management bodies, and conflict resolution bodies																												
1.12 Finalization of workshop outputs and maps																												
1.13 Final presentation and turn-over to the LGU																												



ON BEHALF OF INTERNATIONAL ALERT PHILIPPINES

**Nikki Philine C. de la Rosa (sgd.)
Country Manager**

Annex A. Scenarios and implications relating to the COVID-19 pandemic

A. Context

The current Covid-19 crisis has surfaced new tensions, fissures, and conflicts resulting from the inability of the state to respond in a timely and effective manner to reduce people's vulnerabilities. Reports from Alert's Critical Events Monitoring System (CEMS) and Early Response Networks (ERN) across the Bangsamoro, Eastern and Southern Mindanao, and parts of Metro Manila point to instances of intimidation, tensions, and near confrontations among citizens and implementors of quarantine measures, including of measures that are not sensitized to other cultures and practices such as of Islam.¹

To add to this is the rise of polarization of identities and increase in incidents of discrimination, as blame is directed towards certain identities and discriminatory actions are undertaken. In Mindanao, there are brewing conflicts that bear close watching and will require early and preventive mediation to head off violent flashpoints that may erupt. The first pertains to the fight between the Mayor of Cotabato City and the Bangsamoro Autonomous Region in Muslim Mindanao (BARRM) and the Moro Islamic Liberation Front (MILF). The second pertains to the rise in resource and trade related disputes between geographical areas, especially between urban centers and its peripheries such as the example of the tension between Marawi and Iligan where recently the LGU of Iligan imposed a lockdown that closed access points to Iligan from Marawi, especially after reports circulated of a Covid-infected Malaysian who attended an Islamic gathering before traveling to Marawi. This lockdown impacts the longstanding economic and social relations of the two areas, Iligan being a crucial node in the commercial and trade viability of Lanao del Sur, because the city functions as a commercial center for goods from that area and also functions as transport hub for those who need to travel to Lanao del Norte or to Cagayan de Oro.

Meanwhile, we cannot discount the likelihood of opportunistic attacks by insurgent, terrorist, and criminal groups, and even warring clans in this period as security forces are harnessed to impose quarantine measures in primary urban centers leaving secondary and tertiary municipalities vulnerable. Prior to Ramadan two attacks happened, one is the deadly encounter between the Armed Forces of the Philippines (AFP) and the Abu Sayyaf Group (ASG) in Patikul, Sulu and two, the BIFF harassment of a military detachment in Maguindanao. According to community reports, the ASG were conducting recruitment and training activities while stocking up on food supplies when the military caught up with them. The BIFF attack followed the same pattern of attacks attributed to the extremist group that normally coincided with the start of Ramadhan. From 2016 to 2019, the BIFF would initiate sporadic attacks targeting checkpoints and minor detachments along major highways and thoroughfares.

The number of violent incidents attributed to the ISIS/Dawla Islamiya group in Lanao del Sur was substantially lower than in the previous quarter. Some members of the BIFF even surrendered to the military in Maguindanao. The cumulative data suggests that the downward trend will continue as crime-related violence, political violence, and shadow economy related violence subsides. Nevertheless, our early response network in Lanao del Sur did report some evidence of a regrouping the corridor areas that straddle the border between LDS and Bukidnon and the border between LDS and the Iranun corridor.

¹ CEMS and ERN have expanded in coverage from February 2020 to cover the Covid emergency. To date, we have over 300 COVID-19 related reports in our database in addition to non-COVID related cases we monitor in the Bangsamoro. The monitoring of incidents related to the COVID-19 health emergency kicked into high gear in right after the confirmation of the Philippines's first case of infection on January 30. International Alert's early response capacity and the CEMS was replicated beyond the Bangsamoro region to Eastern and Southern Mindanao. Critical event reports have been generated in the National Capital Region (NCR) though these are presently limited to the Muslim enclaves in Culiati, Maharlika Village, and BASECO only.

All these illustrate the point that the current pandemic and its effects must also be examined in the light of conflict dynamics and divisions already at play in the region. Context specific nuance is critical in ensuring that existing differences do not exacerbate tensions and pressures brought about by the global health crisis.

When the pandemic does subside, people's demands will likely change. Tensions are increasing in many areas under quarantine, whether in urban, peri-urban, or rural areas, and these pressures could explode into higher levels of collective violence "geopolitical and religious lines." Preventing tensions and pressures from being mobilized to justify higher levels of collective violence entail coordinated and collective efforts at mediation. People need to be able to voice their demands peacefully and dialogue with their governments to identify the common ground. Likewise, it is important not to put in the back-burner unresolved issues such as the Marawi rehabilitation and that resources are still ringfenced and delivered urgently to the displaced. Existing programs and tools such as the Resource Use Management Program (RUMP) and evidence-based conflict analysis through the conflict monitoring system (Conflict Alert) is used to inform response and sustain multi-stakeholder constituency and actions that are targeted towards meeting the needs of communities that are under threat of being left behind.

B. Scenarios and implications

Below are likely trajectories related to Covid-19 and how this will play out given key dynamics and trends in the context and corresponding potential adjustments in programme implementation and organizational response. This is preliminary scenario generation that is regularly revisited as context is expected to change rapidly in the next months. International Alert is itself regularly conducting rapid scenario planning exercises drawing from our databases and real-time information from CEMS and wide local and multi-level networks across Mindanao and the National Capital Region. This optimizes our resilience to threats and challenges across different scenarios and enable us to respond decisively and flexibly to the challenges and opportunities that arise from the impacts of the COVID-19 outbreak.

Scenario 1: Government extends the national emergency characterized by a mix of hard lockdowns of specific localities and gradual opening of others. This implies hard lockdowns in some areas characterized by severe quarantine measures and restricted movement where public transportation systems are suspended and only businesses offering essential goods and services are allowed to operate. Areas under GCQ expect relaxed quarantine measures and public transportation is resumed but social distancing is still strictly enforced with select establishments allowed to open.

Scenario 2: Government lifts the emergency. The surge of population movement could lead to a deadlier second wave of the outbreak. This implies stringent restrictions are progressively relaxed in several provinces and businesses and offices are gradually reopening. People return to work and slowly recover from foregone economic opportunities during the lockdown period. The sudden surge in movement, however, may result to high risk of and sharp increase in re-infection.

Scenario 3: Localized effects of Scenario 1 where some LGUs show even stronger forms of controls such as hard lockdowns and stricter border controls. This implies mobility and access of goods and services remain limited within communities. Quarantine, food and travel passes are still required and gathering of people remains prohibited within and across cluster of areas within the village, city, municipality, or province.

Scenario 4: The impacts of the humanitarian crisis multiplies and edges closer to conflict and violence. Tensions arising from discrimination, violations on quarantine measures, pressures due to geo-political dynamics, the inability of the government to sustain social amelioration programs and/or the selective allocation of aid, the overwhelmed health sector's lack of capacity and resources to adequately provide

health care to those in need, and reported abuses by the government may escalate to actual violence as the crisis continues for a longer period.

These aforementioned scenarios represent narratives about possible futures in the immediate and short-term and inform programmatic and organizational decisions that respond to the new context, its threats and opportunities and ensure that we can keep delivering our mission.

- Fundamental to our ability to deliver our mandate and program objectives is a nuanced understanding of the context and implications of these dynamics and uncertainties. We will harness our evidence bases and interoperable tools namely, conflict monitoring system, CEMS-ERN, redundant political and risk perception mapping surveys of high-risk areas of the Bangsamoro, multisectoral networks, and research toolboxes. A comprehensive assessment of the impact of the recent humanitarian crisis on political settlements and the processes of reconstruction and redevelopment, including the role of resources in shaping new geo-political identities and resultant tensions in conflict-ridden communities emerging from subnational wars and insurgencies will be undertaken and concluded at the earliest time to shape peace building and development trajectories in the Bangsamoro. This will be a special theme in the forthcoming Conflict Alert 2020 Annual Report under this proposed project.
- Monitoring the spread of the virus and the critical events and flashpoints that accompany the illness across the country must be undertaken in an autonomous yet cooperative manner with the government at various levels. Independent efforts are necessary in a situation where timely, accurate, and relevant information may work at cross-purposes with the objectives of certain State actors or bureaucracies to withhold information, deny accountability, or evade responsibility for the crisis. Cooperative efforts, on the other hand, are needed to influence sustainable responses among state and non-state actors to the public health crisis and offset the violent flashpoints that are bound to emerge as the crisis intensifies. This means sustaining support to ERNs in gathering data on emerging crises, monitoring hotspots of violence, conflict triggers and provision early response to critical events at local level. Alert's conflict monitoring systems can be leveraged to enable quick response (as the model of the Early Response Network showed) to issues that can result in violent conflict, social unrest, and further exacerbate local conflict dynamics. Thematic maps from the RUMP can further inform LGU's response strategies in terms of where the most vulnerable populations are and where aid and other efforts should be concentrated and/or closely monitored.
- Alert's interoperable conflict monitoring system and the RUMP are therefore crucial and best placed to assist LGUs and other support groups in disaster response and recovery aspects. For example, RUMP can respond to identify routes, modes of transportation and relocations during evacuation and control ingress to and egress from restricted areas and finally, expanded to locate stockpile areas to prevent stockouts and mitigate market disruptions and hoarding. We have demonstrated the interoperability of the RUMP tool in the deployment of thematic digital maps on geo-hazard (landslide susceptibility, flood susceptibility, and active fault lines) representing man-made and natural risks complemented by large-format general reference map that helped nuance emergency response and strategies of C-19 operation centers of the provinces and municipalities of Lanao del Sur and Maguindanao. Overall, the maps helped local planners ask appropriate questions and identify data that still need to be obtained in order to employ a level of evaluation suitable for the stages of the response process. Conflict Alert continue to monitor violent conflict including issues on food and medicine shortages due to restricted distribution. RUMP will be utilized to generate operational maps that inform actions needed to be taken by various agencies and organizations to address people's vulnerabilities.

The implications organizationally are manifold, including potential re-alignment of donor focus to purely Covid-19 response. However, as aforementioned, the work being proposed is particularly relevant to understanding and helping address the complexities brought about by the pandemic.

- Organizationally, Alert will ensure appropriate technologies – hardware and software, and equipment are harnessed and made available to continue the level and quality of work now done remotely. This involves designing the aspects of RUMP and Conflict Alert to transition to full-online, e.g., for some of the in-program (face to face) segments that can work using tech platforms we already possess or enhance what are available externally. We have full-time ICT, database management, and GIS expert teams that can quickly map and enhance or develop the transition platforms if we have the resources needed for this.
- Capacity development of local partners and stronger engagement with local governments will be crucial. Local partners will be trained on facilitation to be able to independently run local face to face sessions with Alert using applicable videoconferencing platforms for segments of the RUMP process or the multistakeholder validation group meetings to analyze conflict data. The development of a resiliency plan that has a long-term goal but will employ short-term strategies will be the norm. Major programme activities will be segmented into phases and milestones. For one, capacity building activities will be frontloaded on the first months of the project to maximize periods of opening up of areas until the next lockdown is declared. This agility is crucial and implies that programming will be tightly informed by CEMS while harnessing existing partners and networks to access real-time information on local developments, security measures, and actions, and in facilitating on-site activities such as workshops and briefings. Setting-up satellite offices in strategic areas within project sites, equipped with software, hardware, internet connectivity, communication platforms and technical support to staff and project partners will ensure quick action by Alert and ability to deliver project outcomes in a timely, effective, and efficient manner.
- Similarly, work from home arrangement of Alert staff in Manila and Davao may be the best option in the midst of uncertainty. Support to enable efficient and unhampered online-based work (including additional equipment and technology necessary), online collaborations and communication for unhampered project implementation will be guaranteed. HR support will also include flexible work arrangements, paid leave, safe transport, PPEs when travelling, and guidance on home isolation for staff at risk, including provision of resources for additional equipment necessary for unhampered online-based work.
- Technical, equipment, and software needs of partners will likewise be necessary for unhampered work and engagement. This includes equipment and software necessary to enable stable connection during online meetings, workshops, and discussions such as internet connection provision, LCD projector and wide screen, good audio-visual facilities, portable computers, and portable generators, among others.

Annex B. International Alert safeguarding policy



SAFEGUARDING POLICY

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INTRODUCTION

1. POLICY STATEMENT

International Alert has a policy of zero tolerance to abuse and will make every endeavour to prevent and stop abuse happening.

International Alert has a duty of care to protect anyone, especially our beneficiaries, who comes into contact with our work, from any form of abuse.

It is essential that in all of our work - in the UK and globally – International Alert (hereafter ‘Alert’) upholds the highest standards of conduct in its **staff** (trustees, employees, interns, volunteers), **partners, and other associates** (consultants, partner organisations, suppliers). These standards are embodied in our Ethical Framework and related policy documents.

Alert does work in some countries with children or adults at risk. However, in all our work, proactively safeguarding and promoting the welfare of all who come into contact with Alert¹ is a key governance priority for Alert’s Trustees. Implementing and upholding the policy is a key duty of all of our managers, and **all staff, partners, and other associates** have a responsibility to comply with the policy and promptly report any breaches.

This Policy will be made compliant with local legislation by each of our overseas offices and forms part of the Staff Handbook in each office.

2. WHAT IS SAFEGUARDING?

Safeguarding and promoting well-being and welfare means:

- protecting the rights of adults (aged 18 and over) to live in safety, free from abuse and neglect;
- protecting children and young people under 18 years of age from maltreatment;
- preventing impairment of health or development;

¹ Applies to all activities taking place on Alert premises and includes work-related functions held outside of normal working hours, either on or off the organisation’s premises, such as leaving celebrations, working lunches, etc. Expatriate Alert staff are considered to be on Alert business **at all times** except when they are on officially-sanctioned annual leave.

- ensuring they are growing up in circumstances consistent with the provision of safe and effective care; and
- taking action to enable them to have the best outcomes.

Everybody has the right to be safe no matter who they are or what their circumstances. Abuse and neglect can have devastating effects on individuals, families and wider society, and the damage from safeguarding incidents and allegations can be devastating.

3. POLICY AIMS

The aims of this policy are to:

- Ensure Alert provides a safe and trusted environment which safeguards anyone who Alert has contact with;
- Ensure that safeguarding policies, procedures and measures are understood by **all staff, partners, and other associates**;
- Promote an organisational culture that prioritises safeguarding and makes it safe for those affected (directly or indirectly) to report incidents and concerns with the assurance that they will be handled sensitively and properly;
- Provide clarity on how incidents and allegations will be handled, should they arise;
- Reflect our obligations to our UK regulators, and to the donors that support our work, as well as the laws of the countries in which we work.

4. WHAT IS ABUSE?

Abuse is a misuse of power and control that one person has over another. Where someone is dependent on another, there is the possibility of abuse or neglect unless enough safeguards are put in place. Abuse takes many forms, can occur in any relationship and may result in significant harm or exploitation. Alert considers that abuse is any behaviour towards a person that causes harm, endangers life or violates rights. Within this broad definition of abuse, the following subtypes of abuse are identified:

- (i) Physical abuse - includes assault, hitting, slapping, pushing, restraining someone or only letting them do certain things at certain times.
- (ii) Domestic abuse - includes psychological, physical, sexual, financial or emotional abuse. It also covers so-called 'honour' based violence.
- (iii) Sexual abuse – includes rape, indecent exposure, sexual harassment, inappropriate looking or touching, sexual teasing or innuendo, taking sexual photographs, making someone look at pornography or watch sexual acts, sexual assault or sexual acts the adult didn't consent to or was pressured into consenting.
- (iv) Sexual exploitation – includes any actual or attempted abuse of a position of vulnerability, differential power, or trust for sexual purposes including, but not limited to, profiting financially, socially or politically from the exploitation of someone else. Using prostitutes is strictly forbidden at any time when engaged on Alert business.
- (v) Harmful cultural practices – includes child marriage.
- (vi) Commercial exploitation - includes child labour, slavery (including domestic slavery), human trafficking and forced labour.

(vii) Financial or material – includes theft, fraud, internet scamming, putting pressure on someone about their financial arrangements (including wills, property, inheritance or financial transactions) or the misuse or stealing of property, possessions or benefits.

(viii) Psychological abuse – includes emotional abuse, threats of harm or abandonment, depriving someone of contact with someone else, humiliation, blaming, controlling, intimidation, putting pressure on someone to do something, harassment, verbal abuse, cyber bullying, isolation or unreasonable and unjustified withdrawal of services or support networks.

(ix) Neglect and negligent treatment.

(x) Discrimination – includes types of harassment or insults because of someone's race, gender or gender identity, age, disability, sexual orientation or religion.

5. ALERT'S ETHICAL FRAMEWORK: VALUES AND PRINCIPLES

All Alert staff, partners, and other associates are required to adhere to the following **values**:

- **Progress** because no society is perfect, and each contains both the need and opportunities for improvement;
- **Fairness** because everyone should have access to opportunities, and should not be treated arbitrarily, nor discriminated against, because of status or identity;
- **Respect** because everyone should be valued and respected as a person with inalienable human rights and her or his own values and views;
- **Inclusion** because the participation and collaboration of people with diverse and complementary knowledge and perspectives is critical for cohesion and the quality of outcomes;
- **Openness** about intentions and actions, because this is an essential element of trust, accountability and collaboration.

All Alert staff, partners, and other associates are required to adhere to the following **principles**:

- We have a duty of care to those with whom we work and with whom our representatives work;
- We monitor the consequences of our actions, and discontinue or change any that are not contributing to peace
- We avoid increasing people's risk of harm by our actions, though we respect the choices they make themselves
- We are aware of the possibility of abuse of the power which unequal relationships at times confer on us and take reasonable measures to prevent that possibility
- We recognise that every human has equal rights to protection from abuse and exploitation and that the welfare of vulnerable persons should particularly be safeguarded and promoted
- We have a responsibility to ensure contractors with whom we work meet minimum standards of safeguarding in their work and to support them wherever them to achieve this
- We have a duty to report any actual or suspected incident of abuse using Alert's reporting system
- We will take all suspicions and allegations of abuse seriously and respond swiftly and appropriately.

6. PUTTING SAFEGUARDING INTO PRACTICE

All activities undertaken by Alert shall be planned, organized and delivered in accordance with the principles of this Policy.

Due Diligence:

- To the fullest extent possible, due diligence will be conducted prior to contracting to ensure that there is no history of prior abuse of the principles of this Policy. This will apply to:
 - New staff (strengthened guidelines on reference taking)
 - Partners, and other associates (will also be vetted to ensure they provide adequate guidance for their staff to avoid any abuse of the principles of this Policy)
- Any Alert staff and contractors who will work directly with children and /or vulnerable adults will be subject to more rigorous vetting procedures. For more information regarding vetting procedures contact Alert's Director of Finance & Operations, Senait Fassil on sfassil@international-alert.org

Deterrence:

A key aspect of prevention is to deter potential perpetrators from committing abuse:

- All **staff** are required to have read and signed the Ethical Framework and Staff Handbook, which (in forming part of the employment contract with Alert) provide a firm basis (if breached) for disciplinary action and other sanctions, as appropriate.
- **Partners and other associates** are required to have read and signed the Ethical Framework, and this policy also forms part of their contract with Alert. Failure to comply may result in immediate termination of the contract and other sanctions, as appropriate.
- **Compliance** with this policy is integrated within Alert's internal compliance monitoring mechanisms (including internal audit).

Support

Alert will deliver safeguarding briefings and support to help **Alert staff, partners and other associates** know:

- what is acceptable, and what is unacceptable, behaviour when working for Alert.
- how to safely and securely report their concerns when they experience or witness abuse or other misconduct.

CHILD PROTECTION

1. POLICY STATEMENT

While the UN Convention on the Rights of the Child was almost universally ratified fifteen years ago, there is still much to be done to ensure the protection of this especially vulnerable group.

Alert is committed to protecting children from abuse. We recognise that child abusers may try to infiltrate charitable organisations and cannot be easily identified. Abusers can be male or female members of any social, cultural or economic group and of any age.

Alert's Safeguarding Policy and procedures place particular emphasis on preventing incidences of child abuse, and responding to accusations of abuse in a manner that respects all involved.

1. CHILDREN'S RIGHTS

All children have needs and rights. Alert believes the following is an essential, but not exhaustive, list of the rights of a child:

- The need for physical care and attention;
- The need for intellectual stimulation;
- The need for emotional love and security;
- The need for social contact and relationships;
- The right to have their needs met and safeguarded;
- The right to be protected from neglect, abuse and exploitation;
- The right to be protected from discrimination;
- The right to be treated as an individual.

2. CHILD PROTECTION PROCEDURES

All Alert staff and contractors are required to adhere to the following child protection procedures in order to protect children and young people with whom we work, and also to protect themselves and Alert from allegations of misconduct:

- Always work in an open environment (e.g. avoiding private or unobserved situations and encouraging open communication with no secrets). Never allow yourself to be left alone or make gratuitous physical contact with a child or young person (there may be occasions where a distressed participant needs comfort which may include physical comforting and staff should use their discretion to ensure that it is appropriate and not unnecessary or unjustified contact.) Be aware of the limits within which such contact should take place and of the possibility for misinterpretation of such contact;
- Treat all children equally, and with respect and dignity;
- Ensure that children are protected from discrimination on any grounds, including ability and challenge discriminating comments and behaviour. Activities should be designed to include all children and to promote positive attitudes towards differences;
- Be clear about what the objectives of the activity are before it begins and always put the welfare of each child first e.g., before achievement of goals;
- Maintain a safe and appropriate distance with children (e.g. it is not appropriate to have an intimate relationship with a child or to share a room with them during residential activities);
- Build balanced relationships based on mutual trust which empowers children to share in the decision-making process;
- Ensure that if children of mixed genders are to be supervised, they should always be accompanied by a male and female member of staff. However, remember that same gender abuse can also occur;
- Adults should not enter children's rooms (unless it is essential because a child is ill and in these circumstances, adopt the procedures set out above in relation to private interviews). Staff should never invite children into their rooms;
- Conduct yourself in a manner that sets a good example to children and young people. Be an excellent role model – this includes not smoking or drinking alcohol in the company of/whilst responsible for children;
- Give enthusiastic and constructive feedback rather than negative criticism;
- Never use physical force. If it is necessary to restrain a child or young person because they are an immediate danger to themselves, others or property, then the minimum amount of force should be used for the shortest amount of time. Remain calm and get

the attention and support of other staff. The incident should be recorded in writing, with a witness statement (where possible), immediately afterwards;

- Never use physical punishment;
- Secure parental consent in writing if the need arises to administer emergency first aid and/or other medical treatment where the child is under 16. First aid given should be recorded in writing and reported to the lead member of staff who will inform the parent or carer;
- Keep a written record of any injury that occurs, along with the details of any treatment given;
- Request written parental consent if staff are required to transport young people in their cars;
- Question any unknown adult who enters the protect area/premises and/or who attempts to engage with the children.

VULNERABLE ADULTS

1. POLICY STATEMENT

Alert believes all adults at risk ('vulnerable adults') have a right to protection from harm. This includes physical, sexual and emotional abuse as well as exploitation, neglect or bullying. Alert will not tolerate any abuse, exploitation or neglect of vulnerable adults: it being against the beliefs, values and aims of the organisation. Alert's Vulnerable Adult Policy formalises this and is the framework which applies whenever Alert works with adults at risk.

This framework should be sufficient to enable **Alert staff, partners and other associates** to take appropriate and timely safeguarding action locally allowing for local demographics and environmental characteristics. However, they should all reflect the key Principles set out below:

Principles

Empowerment - Presumption of person-led decisions and informed consent.

Protection - Support and representation for those in greatest need.

Prevention - It is better to take action before harm occurs.

Proportionality – Proportionate and least intrusive response appropriate to the risk presented.

Partnership - Communities have a part to play in preventing, detecting and reporting neglect and abuse.

Accountability - Accountability and transparency in delivering safeguarding.

2. PRINCIPLES INTO PRACTICE

Empowerment - We give individuals relevant information about recognising abuse and the choices available to them to ensure their safety. We give them clear information about how to report abuse and crime and any necessary support in doing so. We consult them before we take any action. Where someone lacks capacity to make a decision, we always act in his or her best interests.

Protection - Our local complaints, reporting arrangements for abuse and suspected criminal offences and risk assessments work effectively. Our governance arrangements are open and transparent and communicated to all.

Prevention - We can effectively identify and appropriately respond to signs of abuse and suspected criminal offences. We make staff aware, through provision of appropriate training and guidance, of how to recognise signs and take any appropriate action to prevent abuse occurring. In all our work, we consider how to make communities safer.

Proportionality - We discuss with the individual and where appropriate with partner agencies the proportionality of possible responses to the risk of significant harm before we take a decision. Our arrangements support the use of professional judgement and the management of risk.

Partnership - We have effective local information-sharing and multi-agency partnership arrangements in place and staff understand these. We foster a “one” team approach that places the welfare of individuals above organisational boundaries.

Accountability - The roles of all agencies are clear, together with the lines of accountability. Staff understand what is expected of them and others. Agencies recognise their responsibilities to each other, act upon them and accept collective responsibility for safeguarding arrangements.

3. OUTCOMES FOR ADULTS AT RISK

Empowerment – Adults at risk feel consulted about the outcomes they want from the safeguarding process and these directly inform what happens.

Protection - Adults at risk feel they are provided with help and support to report abuse. They feel supported to take part in the safeguarding process to the extent to which they want and to which they are able.

Prevention - Adults at risk feel they are provided with easily understood information about what abuse is, how to recognise the signs and what they can do to seek help.

Proportionality - Adults at risk feel confident that the responses to risk will take into account their preferred outcomes or best interests.

Partnership - Adults at risk feel confident that information will be appropriately shared in a way that takes into account its personal and sensitive nature. They are also confident that agencies will work together to find the most effective responses for their situation.

Accountability - Adults at risk are clear about the roles and responsibilities of all those involved in the solution to the problem.

BULLYING AND HARASSMENT

1. POLICY STATEMENT

Bullying and harassment are forms of abuse and will not be tolerated under any circumstances.

The examples in the following paragraphs are not exhaustive and it is (within reason) the perception of the recipient that determines whether any action or statement can be viewed as bullying or harassment.

Where it cannot be established that there was an intention to offend, conduct will be regarded as violating a person's dignity if, taking all the circumstances into account - particularly including the recipient's views - it would be reasonable to come to that conclusion.

The damage, tension, and conflict that bullying or harassment create for the individual, for teams, for the impact of our work and for our reputation cannot be underestimated. Therefore, bullying or harassment of colleagues or third parties will be promptly dealt with and may result in immediate termination of contract and other sanctions, as appropriate.

2. BULLYING

Bullying is a sustained form of psychological abuse that aims to make victims feel demeaned and inadequate. It is defined as:

“Offensive, intimidating, malicious or insulting behaviour, or an abuse or misuse of power, which has the purpose, or effect of, intimidating, belittling and humiliating the recipient, leading to loss of self-esteem for the victim and ultimately the self-questioning of their worth, both in the workplace and society as a whole”

Bullying can range from extreme and obvious forms such as violence and intimidation to less obvious actions like deliberately ignoring someone.

Examples of obvious bullying:

- shouting or swearing at people in public and private;
- ignoring or deliberately excluding people;
- persecution through threats and instilling fear;
- spreading malicious rumours;
- constantly undervaluing effort;
- dispensing disciplinary action which is totally unjustified;
- spontaneous rages, often over trivial matters.

Examples of less obvious bullying:

- withholding information or supplying incorrect information;
- deliberately sabotaging or impeding work performance;
- constantly changing targets;
- setting individuals up to fail by imposing impossible deadlines;
- removing areas of responsibility and imposing menial tasks;
- blocking applications for holiday, promotion, or training.

Cyberbullying can be defined as the use of information and communication technologies to support deliberate, repeated and hostile behaviour by an individual or group that is intended to harm others. Typically cyberbullying involves the use of the Internet, email or mobile phones to send or post text or images intended to hurt or embarrass another person. In many cases, the spreading of offensive jokes or shocking or sexual material via phone or email may also constitute cyber-harassment.

3. HARASSMENT

Harassment is unwanted conduct (ranging from relatively mild banter to actual physical violence) that intentionally or unintentionally violates a person's dignity, or creates an intimidating, hostile, degrading, humiliating, or offensive working environment for him or her.

As harassment can occur on a variety of grounds, anyone perceived to be different is at risk. It is unlawful under the Equality Act (2010) and may also be a criminal offence under the:

- Criminal Justice and Public Order Act 1994
- Protection from Harassment Act 1997 and Criminal Justice and Police Act 2001
- Anti-terrorism, Crime and Security Act 2001 (which cites religiously aggravated harassment as a criminal offence)

Perpetrators and managers who fail to take steps to prevent harassment, report it or investigate complaints, may be held liable for their unlawful actions.

People can be subjected to harassment on a wide variety of grounds including:

- sex or gender;
- sexual orientation;
- transsexualism (gender reassignment);
- marital status;
- race, nationality, ethnic origin, national origin or skin colour
- disability;
- age;
- employment status, eg part-time, fixed-term, permanent, self-employed, agency worker, contractor, sub-contractor, et cetera;
- membership or non-membership of a trade union;
- the carrying out of health and safety duties;
- religious or political beliefs;
- deeply held personal beliefs;
- criminal record;
- health, e.g. AIDS/HIV sufferers, et cetera;
- physical characteristics;
- willingness to challenge harassment — being ridiculed or victimised for raising a complaint.

Examples of harassment:

- **verbal** harassment — examples include crude language, open hostility, offensive jokes, suggestive remarks, innuendoes, rude or vulgar comments, malicious gossip, and offensive songs or making insulting gender-based remarks.
- **non-verbal** harassment — examples include wolf-whistles, obscene gestures, sexually suggestive posters/calendars, pornographic material (both paper-based and generated on a computer, including offensive screensavers), graffiti, offensive letters, offensive e-mails, text messages on mobile phones and offensive objects.
- **physical** harassment — examples include unnecessary touching, patting, pinching, or brushing against another employee's body, intimidating behaviour, assault, and physical coercion.
- **coercion** — examples include pressure for sexual favours (e.g. to get a job or promotion) and pressure to participate in political, religious or trade union groups, etc
- **isolation or non-co-operation and exclusion** from social activities
- **intrusion** — examples include stalking, pestering, spying, etc.

COMMUNICATIONS: MINIMUM STANDARDS

1. POLICY

The following minimum standards must be observed when communicating about those with whom Alert works, especially children. Any queries regarding such communications should be directed to Alert's Head of Advocacy and Communications:

jegan@international-alert.org

- Always check what photography or filming is appropriate with an Alert representative before taking photos or videos.
- Always ask permission if you wish to take photos or videos, and explain how they will be used. In the case of a child, ask permission from the child and the child's guardians.
- Written permission must be obtained from the individual concerned or their guardians when a photo, video or story:

- o Clearly identifies and provides substantial information about a particular person; and
- o Places a person in a situation that could be damaging to their dignity, safety or reputation. For example, information about HIV status, involvement in prostitution or armed conflict.
- Be extremely sensitive to a person's vulnerability at times of trauma or grief, and always assess how a photo, video or story will impact on the safety, dignity and well-being of the person concerned.
- Do not portray people as helpless victims. Balance human needs with positive language about what people are doing to help themselves.
- Photos and stories must not use real names or real locations, especially when communicating sensitive information. For example, HIV status or sexual abuse.

OTHER RELEVANT POLICIES

The above policies are also complemented by a range of policies and documents, available in full, accessible to and actively promoted to all Alert Staff through the intranet portal.

These include:

- [Ethical Framework](#)
- [Dishonest Practices Policy](#)
- [Equal Opportunities Policy](#)
- [Core behaviours](#)
- [Performance management process](#)
- [Grievance Policy](#)
- [Disciplinary Policy](#)
- [Whistleblowing Policy](#)

REPORTING INCIDENTS AND CONCERNS

1. POLICY STATEMENT

Informal and formal incident reporting mechanisms are available to **anyone** who has experienced abuse during contact with Alert or has any concerns about abuse they wish to report.

All Alert staff, partners and other associates are obliged to report any suspicions of abuse of others.

2. CONFIDENTIALITY

Alert has an overall duty of care to safeguard and promote the welfare of all who come into contact with Alert. Nevertheless, we will make every effort to ensure that confidentiality is maintained for all concerned. Information will be handled and disseminated on a need to know basis only.

3. SEEKING ADVICE

Alert recognises the sensitive nature of abuse. Whether you believe you have been subjected to abuse or you have concerns that another individual may have been, you may wish to discuss a particular situation before deciding what action to take.

Alert operates an open-door policy and employees can choose to discuss the matter with their manager on an informal basis. If this is not appropriate in the circumstances, you can discuss the situation with the next higher level of management or with a member of the Human Resources department:

Ruth Kamaria: rkamaria@international-alert.org

Irene Sullivan: isullivan@international-alert.org

Anyone giving advice will:

- ensure the conversation remains confidential as far as possible;
- listen sympathetically;
- help individuals consider objectively what has happened;
- discuss what outcome the individual would wish to see;
- draw attention to available procedures and options;
- inform the individual of the legal liabilities involved;
- help weigh up the alternatives, but without pressure to adopt any particular course;
- assist the individual in dealing with the situation (if the individual asks for help).

Note: where a serious abuse has occurred or is suspected, the formal reporting mechanism will be instituted (either instead of or in addition to the informal reporting mechanism).

FORMAL MECHANISMS

1. WHISTLEBLOWING POLICY

Alert's Whistleblowing Policy can be found on our website: www.international-alert.org.

Any person who is aware of suspicions, allegations or actual abuse by a person involved with Alert's work has an obligation to notify the Director of Finance and Operations immediately. You can contact the DOF direct in any of the following ways:

- By writing to the Director of Finance and Operations at International Alert, 346 Clapham Road, London, SW9 9AP, United Kingdom. Write 'Private and confidential' on your envelope.
- By telephoning **0207 627 6857**. You can leave a voicemail message 24 hours a day. Only the DOF can pick up the messages left.
- By sending an e-mail to whistleblowing@international-alert.org

It is best to put your concerns in writing and give as much information as possible - including any relevant names, dates, places and so on. The earlier you raise a concern, the easier it is to take effective action.

For a comprehensive understanding of the process of raising concerns, please refer to the full text of Alert's [Whistleblowing Policy](#)

2. GRIEVANCE

Staff can bring a formal complaint against a colleague in the form of a grievance. Alert's Grievance Policy can be found in the Staff Handbook for every office and is also available upon request from a member of the Human Resources department:

Ruth Kamaria: rkamaria@international-alert.org

Irene Sullivan: isullivan@international-alert.org

For a comprehensive understanding of the grievance procedure, please refer to the full text of Alert's [Grievance Policy](#).

3. COMPLAINTS PROCEDURE

Alert's Complaints Procedure can be found on our website: www.international-alert.org. Third parties can use this to bring a formal complaint against Alert or one of its staff. Alert staff can use the Complaints Procedure to bring a formal complaint against a third party with whom they have come in contact in the context of their work for Alert.

For a comprehensive understanding of how to raise a complaint, please refer to the full text of Alert's **Complaints Procedure**.

4. INVESTIGATION

Alert is committed to investigating all allegations of abuse. This commitment to fully investigating every allegation is an important source of deterrence to the potential abuser

Every disclosure is treated with the highest levels of care and professionalism using rigorous, fair, and impartial investigation procedures in respect of all parties to an investigation.

Investigations are an internal administrative process and would not therefore involve the police or judiciary. Investigations are carried out so that Alert can have the best information possible on which to base its decisions concerning **Alert staff / partner / other associates** conduct and consequences thereof.

5. INTERNAL REPORTING

Country Managers and London-based managers are required to report internally within 24 hours:

Details	How?	To whom?	Relevant policy
All Alert staff, partners and other associates are obliged to report any suspicions of abuse.	In writing	Director of Finance and Operations whistleblowing@international-alert.org	Whistleblowing
Safeguarding contraventions	In writing	Director of Finance and Operations	Safeguarding Policy
Formal grievances	In writing	Director of Finance and Operations	Grievance Policy

Formal complaints	In writing	Director of Finance and Operations	Complaints Policy
Disciplinary action taken against Alert staff, partners or other associates	In writing	Director of Finance and Operations	Disciplinary Policy
Threatened or actual legal action taken out against Alert, Alert staff, partners or other associates	In writing	Director of Finance and Operations	

Bearing in mind the requirements of Data Protection legislation, the Director of Finance and Operations will:

- Notify the following (as appropriate):
 - Senior Management Team
 - Board of Trustees
 - Section leader
- Keep a log of reports received and the outcomes of investigations for reporting purposes to Alert's Board of Trustees.

6. NOTIFYING APPROPRIATE AUTHORITIES

Following an investigation Alert will notify the appropriate authorities if it judges that:

- It is required by the terms of the contract held with a Donor;
- It is required by the terms of our registration with the Charities Commission and/or Companies House;
- A crime has taken place.

Extreme caution will be exercised to ensure that

- Confidentiality can be ensured;
- The victim(s) will not be subject to further abuse, disrespect or violence.

7. PENALTIES

Directly Contracted Individuals

Any directly contracted individual who breaches this policy (including the above clause on confidentiality) will face disciplinary action, which could ultimately result in dismissal for gross misconduct. Depending upon the nature and extent of the allegations legal action may also be brought against them.

Third Parties

Any third party involved with Alert's work who is found to be in breach of this policy (including the above clause on confidentiality) will be deemed in breach of contract and the contract will be terminated with immediate effect. Depending upon the nature and extent of the allegations, legal action may also be brought against them.

8. MALICIOUS COMPLAINTS

Where a complaint is blatantly untrue and has been brought out of a malicious motivation, the complainant will be subject to the organisation's disciplinary procedure, as will any witnesses who have deliberately misled the organisation during its investigations.

VERSION CONTROL

Version	Changes	Author	Date
1.1	Changed all references to Chief Operating Officer to Director of Finance & Operations Linked to policies on intranet for ease of access	Ruth Horsfall	Aug 2020