

**OPERATIONS MANUAL ON THE ICC APPROVAL
PROCESS AND ICC SECRETARIAT APPRAISAL OF
NEW AND ONGOING PURELY GOVERNMENT-FUNDED
PROGRAMS AND PROJECTS**

The Investment Coordination Committee Secretariat

16 November 2015

I. INTRODUCTION

This Manual guides the NEDA Secretariat in efficiently processing major capital programs and projects in the Investment Coordination Committee (ICC) towards the realization of the country's development goals and objectives. This Manual will be disseminated and made available for the reference of the NEDA Evaluating/Sector Staffs and NEDA Regional Offices, and will serve to standardize the procedures for the review/appraisal of new and ongoing purely public/government-financed programs and projects (PGPs)¹, i.e., locally-funded and Official Development Assistance-funded programs/projects (and therefore does not include processes in relation to ICC approval of programs/projects proposed to be implemented through the public-private partnership scheme), requiring the approval of the ICC as a committee of the NEDA Board (NB).

The Manual will be updated, as and when necessary, to consider new policies/developments and changes in the institutional structures and mandates among agencies and in government as a whole, subject to the approvals of the concerned NEDA authorities.

II. DEFINITION OF TERMS

Document and
Assignment Tracking
System (DATS)

DATS is a web based tracking system that facilitates the flow and monitoring of documents, assignments and reports in the office. It enables NEDA officials and other authorized users of DATS to monitor anytime and anywhere the assignments and documents referred to respective office/units, including the status or action taken by concerned office(s) and unit(s). It aims to improve accountability of officials and employees and the overall performance of NEDA as lead socioeconomic planning agency.

Investment
Coordination
Committee (ICC)

The Investment Coordination Committee is one of the committees under the NEDA Board which reviews and approves proposed major capital projects of the government.

ICC Approval
Ad Referendum

In the case of the ICC, it is an ICC approval of a program/project secured through the approval signatures of the majority of the ICC – Cabinet Committee members, in lieu of an approval *en banc*. Said approval is given by an ICC-CC member by affixing his signature on the *ad referendum* signature sheet that is annexed to the Memorandum to the ICC, which provides details about the program/project for which approval of the ICC is being sought. The approval of an individual member is, however, subject to the agreement/approval of the other ICC members (specifically through a majority) and/or finalization of the program/project details. The result of the ICC approval *ad referendum* is reported in the next ICC meeting.

ICC processing of project *ad referendum* may be called when deemed necessary by the ICC to accommodate programs/projects and other

¹ With pre-feasibility and feasibility studies in the case of new programs/projects, or with request for changes in the ICC approved scope, cost, and loan validity in the case of ongoing programs/projects.

agenda items requiring immediate action and/or when a quorum is not available during regular meetings.

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| ICC Core Secretariat / Public Investment Staff | <p>Serves as the focal NEDA Staff coordinating the provision of support to the ICC. On the operational level, the ICC Core Secretariat provides technical and administrative support needed for the effective functioning of the inter-agency ICC at the Technical Board (TB) and Cabinet Committee (CC) levels.</p> <p>The ICC Core Secretariat/PIS is internally organized to have a group directly in support of the ICC process (i.e., ICC Core Group), and separate Financing Divisions handling the processing of programs/projects (based on proposed financing scheme or source), in coordination with Evaluating Staffs/NROs, bilateral/multilateral donor partners, and other agencies.</p> |
| ICC/NEDA Secretariat | <p>The ICC/NEDA Secretariat consists of the different NEDA Evaluating Staffs and the NEDA regional offices (NROs). As Secretariat to the ICC, the NEDA Secretariat provides technical staff support to the TB and CC, in coordination with other government agencies.</p> |
| ICC Project Appraisal Monitor (IPAM) | <p>A guide/tool in the generation/identification of programs/projects requiring review and approval by the ICC. The IPAM also contains information on programs/projects cleared by the ICC and/or approved by the NEDA Board, including the conditions for approval.</p> |
| ICC Requisite Documents for New PGPs | <p>Includes the following documents necessary to facilitate ICC review: (i) Feasibility study/project proposal; (ii) Accomplished ICC PE Forms; (iii) 2 CD/e-copies of economic and financial analyses in traceable formula format; (iv) RDC endorsements for regional, municipal and local projects; (v) Endorsement from other concerned agencies (e.g. ITECC for IT programs, respective mother agency Department level endorsement for proposals of Bureaus or attached agencies); (vi) DOF-CAG review for GOCC projects; (vii) NCC review for relending programs; (viii) ROW acquisition and resettlement action plan; (ix) Location map; (x) DBM certification of budget cover availability for the project; (xi) EIS/ECC/CNC; (xii) Project context in the Department's overall strategy/program; (xiii) Information on job creation/employment impact of the project; (xiv) project evaluation decision matrix.</p> |
| Major Capital Program or Project (MCP) | <p>A program or project costing at least PhP1 billion and involves investments in physical and human capital through expenditures or transfers by the National Government. As a rule, MCPs can be evaluated, specifically in terms of financial and economic viability.</p> |
| Official Development Assistance (ODA) | <p>Official Development Assistance refers to loans or loans and grants from foreign development cooperation partner countries or</p> |

multilateral institutions as defined through R.A. 8182: Official Development Assistance Act of 1996.

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| Project Referral Form | Form used by the NEDA-Public Investment Staff in referring project proposals to NEDA Evaluating Staffs/NROs, for evaluation. |
| Project Evaluation Report (PER) | The report prepared by the NEDA Evaluating Staff/NRO reflecting the results of the evaluation, including issues and concerns, and the recommendation of the Evaluating Staff/NRO, and other agencies, as may be necessary. The PER is presented to the ICC to aid in the deliberation of the project. The PER is signed by the Director/Regional Director of the (lead) Evaluating Staff/NRO. |
| Proponent Agency (PA)/ Implementing Agency (IA) | The agency/office/government-owned or -controlled corporation (GOCC)/ government financing institution (GFI) / local government unit (LGU) who submits the proposed program/project (through its head agency if GOCC/attached bureaus and offices), in accordance with their mandate. |
| Purely Government/ Public-Financed Program or Project (PGP) | Program or project to be implemented by a government proponent/implementing agency or LGU with funding proposed to be sourced through government funds made available through the provisions in the General Appropriations Act (GAA) or through Official Development Assistance (ODA) from bilateral or multilateral partner country sources. |
| Status Report | The report prepared by the NEDA Evaluating Staff/NRO for a project whose appraisal is not yet complete, following the lapse of the allotted period for project appraisal of 4-6 weeks prior to presentation of a project to the ICC, or as instructed by the Chairpersons of the ICC. The Status Report should include the reasons and outstanding concerns why project appraisal cannot be completed, as well as the Evaluating Staff's/NRO's recommendation in order to move forward with completing project appraisal. |

III. THE INVESTMENT COORDINATION COMMITTEE OF THE NEDA BOARD

A. Legal Framework

Executive Order (EO) 230 (*Reorganizing the National Economic and Development Authority*) establishes the inter-agency Investment Coordination Committee (ICC) as one of the committees under the NEDA Board engaged in rationalizing national public investments and expenditures.

Rule 4 of the IRR of RA 8182 (ODA Act of 1996) provides the legal basis for the requirement of ICC review of projects², stating that programs and projects to be financed by ODA loans or grants shall be in accordance with the Guidelines and Procedures of the ICC.

² Both for proposed and ongoing projects, which are proposing re-configuration.

B. Functions of the ICC

As provided under EO 230, the ICC has the following functions:

- a. Review the fiscal, monetary and balance of payments (BOP) implications of major capital projects³ (MCPs) and recommend to the President the timetable of the implementation of these projects and programs on a regular basis. In this regard, the following will be taken into account, among others:
 - i. Peso requirements of the program/project in terms of the current and capital outlays needing financial support, directly or indirectly, from the national government (NG) and/or GFIs;
 - ii. Foreign exchange requirements of the program/project in terms of the current and capital outlays needing financial support, directly or indirectly, from bilateral and/or multilateral sources;
 - iii. Sources of funds;
 - iv. Terms and conditions of the proposed financing;
 - v. Where applicable, compliance to foreign debt ceiling under R.A. 4860 or the Foreign Borrowings Act of 1966, as amended, per certification of the Bureau of Treasury; and
 - vi. Other pertinent legislative and administrative issuances of Government.
- b. Submit to the President a status of the fiscal (budgetary), monetary (credit), and BOP implications of MCPs.
- c. Review/evaluate specific MCPs with respect to technical, financial, economic, social, and institutional development, feasibility/viability as well as from the context of sectoral plans and geographical strategies, and submit to the NEDA Board for confirmation of ICC action.

In general, ICC review and approval is undertaken for programs/projects requiring ICC clearance and/or NEDA Board approval as a pre-conditions for:

- a. Securing loans and guarantees by the National Government agencies and corporations;
- b. Facilitating private sector participation in National Government projects under the RA 7718 (The Philippine BOT Law) as amended as well as access to external financing which require National Government guarantees;
- c. Obtaining Monetary Board and other authorization, as required by law, to negotiate foreign loans and approve foreign borrowing;
- d. Programming forward budgetary obligation requirements; and
- e. Processing any other expenditure decisions the NEDA Board and its Committees may require the ICC to act on.

ICC review/decisions cover:

- a. Programs/projects of national line agencies with total cost of PhP1 billion and above, regardless of financing;
- b. New activities of GOCCs and GFIs requiring investments above PhP1 billion that has to be financed by NG-guaranteed loan;

³ An MCP is a program costing at least PhP500 million and involves investments in physical and human capital through expenditures or transfers by the National Government. As a rule, MCPs can be evaluated, specifically in terms of financial and economic viability.

- c. For projects of national line agencies and GOCCs implemented through the variant PPP schemes;
- d. For local PPP projects to be implemented by LGUs costing above PhP200 million;
- e. Joint venture projects with government contribution of at least PhP150 million;
- f. Programs/projects costing PhP1 billion and above of private sector companies, private foundations and non-government organizations (NGOs) that are intending to tap concessional ODA loan financing through on-lending arrangements and/or NG financing guarantees;
- g. Ongoing ICC-approved programs/projects involving changes in scope; change in cost above established sensitivity parameters and budgetary allocation relative to original/prior ICC approval; or, extension in implementation period or loan validity of more than 12 months; and
- h. Other programs/projects not defined above will be considered on a case to case basis as may be defined by the ICC and the ICC Secretariat.

C. Organizational Structure

The ICC is divided into two levels: the ICC-Technical Board (TB) and the ICC-Cabinet Committee (CC). ICC actions are elevated to the NEDA Board for confirmation. The NEDA Secretariat serves as the Secretariat to the ICC. The functions of the NEDA Board, ICC-CC, ICC-TB and the NEDA Secretariat are described in the succeeding sections.

The NEDA Board

Programs and projects approved by the ICC are elevated to the NEDA Board for confirmation of ICC approval. The NEDA Board is chaired by the President and is currently composed of the following:

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| Secretary of Socioeconomic Planning (NEDA) | - | Vice-Chairperson |
| Secretary of Finance | - | Member |
| Secretary of Budget and Management | - | Member |
| Secretary of Agriculture | - | Member |
| Secretary of Energy | - | Member |
| Secretary of Environment and Natural Resources | - | Member |
| Secretary of Public Works and Highways | - | Member |
| Secretary of Science and Technology | - | Member |
| Secretary of Tourism | - | Member |
| Secretary of Trade and Industry | - | Member |
| Secretary of Interior and Local Government | - | Member |
| Secretary of Transportation and Communications | - | Member |
| Governor of the Bangko Sentral ng Pilipinas | - | Member |
| Cabinet Secretary | - | Member |
| Secretary of the Presidential Management Staff | - | Member |
| Secretary of the Presidential Communications | - | Member |
| Development and Strategic Planning Office | | |
| Chairperson of the Housing and Urban Development Coordinating Council | - | Member |
| Chairperson of the Metro Manila Development Authority | - | Member |
| Chairperson of the Mindanao Development Authority | - | Member |
| Governor of the Autonomous Region for Muslim | - | Member |

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| Mindanao President of the Union of Local Authorities of the Philippines | - | Member |
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The ICC – Cabinet Committee

EO 230 assigns the ICC-CC as the highest decision-making body in the Executive Branch that approves MCPs. However, since it is a Committee of the NEDA Board, its decision on projects are presented to the NEDA Board for a formal confirmation. A certification of ICC approval is a prerequisite for MB approval, inclusion in the annual budget program over the medium-term, or congressional appropriations of NG guarantees or negotiation with creditors.

The ICC-CC is composed of the following members:

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| Secretary of Finance | - | Chairperson |
| Secretary of Socio-economic Planning (NEDA) | - | Co-Chairperson |
| Executive Secretary | - | Member |
| Secretary of Budget and Management | - | Member |
| Secretary of Trade and Industry | - | Member |
| Secretary of Agriculture | - | Member |
| Secretary of Energy | - | Member |
| Governor of the Bangko Sentral ng Pilipinas | - | Member |
| Cabinet Secretary ⁴ | - | Member |

The members of the ICC-CC may be represented by designated alternates.

The ICC – Technical Board

The ICC-TB deliberates on program/project proposals and endorses meritorious ones to the ICC-CC for approval. In particular, the ICC-TB focuses on the various options available to proponents in implementing and financing a program/project. Towards this end, the ICC-TB provides direct advice to the proponent on how proposals can be improved upon before they are elevated to the ICC-CC for approval. Programs/projects presented for ICC-TB deliberations are evaluated by the ICC Secretariat and other concerned agencies, as applicable, whose findings/recommendations are contained in a Project Evaluation Report (PER).

The ICC-TB is composed of senior representatives from the following agencies:

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| NEDA | - | Chairperson |
| Department of Finance | - | Co-Chairperson |
| - International Finance Group | - | Member |
| - Corporate Affairs Group | - | Member |
| Office of the President | - | Member |
| Department of Budget and Management | - | Member |
| Department of Trade and Industry | - | Member |
| Department of Agriculture | - | Member |
| Bangko Sentral ng Pilipinas | - | Member |

⁴ Executive Order No. 99, issued in October 2012, which reconstituted and renamed the Office of the Cabinet Secretariat as the Office of the Cabinet Secretary, also provided for the membership of the Cabinet Secretary of the NEDA Board Executive Committee and other NEDA Board Committees which include the ICC (Sec. 4. Other Memberships).

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| Department of Environment and Natural Resources | - | Member |
| Department of Energy | - | Member |
| Public-Private Partnership Center ⁵ | - | Member |

Other government agencies will be invited to participate in ICC-CC and TB deliberations, as and when necessary.

The ICC/NEDA Secretariat

The ICC/NEDA Secretariat consists of the different NEDA Evaluating Staffs and the NEDA regional offices (NROs). As Secretariat to the ICC, the NEDA Secretariat provides technical staff support to the TB and CC, in coordination with other government agencies. The ICC Secretariat performs the following functions in relation to ICC appraisal and approval:

- a. Undertake the evaluation of all program/project documents submitted to the ICC with respect to technical, financial, economic, social, environmental, institutional development, feasibility/viability as well as policy aspects, in coordination with proponent and/or other agencies, and come up with comments/recommendations for consideration by the ICC;
- b. Review the overall sectoral and spatial context of a specific program/project including the relative priority accorded to the program/project by the proponent; and
- c. Perform other tasks as may be instructed, in support of ICC meetings.

The ICC Core Secretariat

The ICC Core Secretariat is the NEDA Public Investment Staff (PIS), which serves as the focal NEDA Staff coordinating the provision of technical and administrative support to the ICC.

In relation to the facilitation of the ICC process, the ICC Core Secretariat provides the following technical support:

- a. Provides technical staff support in the review of proposed programs and projects on a global and sectoral basis in coordination with the concerned sector staffs/line agencies;
- b. Develops and recommends the criteria and system for evaluating projects in coordination with the Sector Staffs, and/or other agencies, and undertakes continuing improvements on existing methods and guidelines for program/project evaluation for dissemination to proponent agencies;
- c. Facilitates review and monitors the status of proposed and pipeline projects submitted for ICC review;
- d. Conduct studies supportive of the tasks of the ICC, including drawing out policy implications from ICC-TB and CC discussions, as deemed necessary; and
- e. Performs such other appropriate tasks as may be assigned by the Deputy Director-General and the Assistant Director-General for National Development Office.

On the operational level, the ICC Core Secretariat also provides technical and administrative support needed for the effective functioning of the inter-agency ICC at the Technical Board (TB) and Cabinet Committee (CC) levels:

⁵ Section 5 of EO No. 136 issued in June 2013, which amended EO No.8, states that the PPC Executive Director shall be included as member of the ICC-TB. Other government agencies may be invited to participate as and when necessary.

- a. Prepares minutes of ICC-TB/CC meetings;
- b. Consolidates pertinent materials for ICC meetings and NEDA Board presentation of ICC approved projects;
- c. Ensures the preparation and release of letters to proponents relaying the ICC and NEDA Board's decisions on their projects; and,
- d. Undertaking follow-up actions in support of ICC decisions;
- e. Extracts and summarizes policy implications/decisions from ICC-TB/CC minutes of meetings, and drafts the ICC policy memoranda;
- f. Maintains an ICC Project Appraisal Monitor (IPAM);
- g. Serves as the liaison between the TB and the CC; and
- h. Arranges the meetings of the TB and the CC and coordinates the provision of the necessary logistics for the meetings (e.g. notification on the meeting and establishing a quorum; venue preparation and provision of equipment; food; agenda folder preparation and distribution; among others); and
- i. Performs such other appropriate tasks as may be assigned by the Deputy Director-General and the Assistant Director-General for National Development Office – Investment Programming Office (NDO-IPO).

IV. ORGANIZATION AND RESPONSIBILITIES, OPERATIONAL CONTROL AND SUPERVISION

1. Office of the Secretary/ Office of the Deputy Director General / Office of the Assistant Director General of the NDO-IPO
 - Issues instructions on submissions by proponent agencies for the ICC review and approval of PGPs, and/or other documents related to such projects.
 - Clears and/or signs action documents.
2. Staff Director / Regional Director
 - Issues instructions on processing submitted documents, and directs the document/s to the concerned division(s).
 - Conducts final review and endorses action documents for NEDA Management consideration, and/or signs action documents.
 - Approves/endorses, and/or presents to the appropriate body the completed output of the Staff.
3. Assistant Director / Assistant Regional Director
 - Reviews draft action documents, once cleared by Division Chiefs.
 - Endorses action documents for the Director's consideration, once cleared.
 - Reviews and recommends to the Director the action necessary on specific work assignments referred to or falling under the functional areas of the Staff; review staff work/assignments and follow up on such matters requiring immediate action/completion.
4. Division Chief
 - Provides further instructions/guidance and assigns the document/s to the concerned Technical Staff to facilitate completion of the required action.
 - Clears the draft action document prepared by the division and endorses the same for the Assistant Director's/Assistant Regional Director's and/or the Director's/Regional Director's, consideration.
5. Supervising Economic Development Specialist (EDS)
 - Guides junior Technical Staff, as may be necessary, on how to operationalize required action.
 - Refines draft action document prepared by the Technical Staff and submits the same to the Division Chief, for clearance.

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| 6. Technical Staff (i.e., EDS I, II, Senior) | <ul style="list-style-type: none"> • Performs required actions, as instructed/necessary (e.g., undertakes the monitoring and evaluation of development projects pertaining to the division/sector; conducts specific studies and specialized researches pertaining to the work of the division/sector; participates in the evaluation of specific policy/program/project proposals and in the formulation of preliminary comments/recommendations; provides technical assistance to the proponent to improve the proposal, and recommends action on the proposal, and prepares the instructed outputs; among others). |
| 7. Administrative Secretary | <ul style="list-style-type: none"> • Records document in the Document and Assignment Tracking System (DATS) and distributes the document to the concerned officer (i.e., Director/Regional Director, Assistant Director/Assistant Regional Director, Division Chiefs, as applicable), for instructions/action. • Records instructions in the DATS and distributes the documents to the concerned Technical Staff; • Records action/output document in the DATS and submits the action/output document to the Office of the Assistant Director/Assistant Regional Director/Director/Regional Director, for clearance. |
| 8. ICC/NEDA Secretariat | <ul style="list-style-type: none"> • Provides technical staff support to the TB and CC, in coordination with other government agencies. |
| 9. ICC Core Secretariat / Public Investment Staff | <ul style="list-style-type: none"> • Serves as the focal NEDA Staff coordinating the provision of technical and administrative support to the ICC. |

V. OPERATING PROCEDURES

A. Procedures Flow

The key steps on the NEDA Secretariat processes are illustrated in the following flow charts:

Flow Chart 1.a: ICC Core Secretariat Processes for the ICC Approval of New and Ongoing PGPs



| <u>Responsible Staff Officer/Personnel</u> | <u>Key Steps</u> |
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| <ul style="list-style-type: none"> • NEDA Secretary • Deputy Director General, NDO-IPO • Assistant Director General, NDO-IPO | <div style="border: 1px solid black; padding: 5px;">Cascading of project proposals for ICC and project-related document submissions to the ICC Core Secretariat and/or concerned Staffs/NROs. (Part 1, Procedure 1.1)</div> <div style="text-align: center; margin-top: 5px;">↓</div> |
| <ul style="list-style-type: none"> • Deputy Director General, NDO-IPO • Assistant Director General, NDO-IPO • PIS Director • PIS Assistant Director • Division Chief • Supervising EDS • Technical Staff • Administrative Secretary | <div style="border: 1px solid black; padding: 5px;">Acknowledging receipt of project proposals to the proponent agency. (Part 1, Procedure 1.2)</div> <div style="text-align: center; margin-top: 5px;">↓</div> |
| <ul style="list-style-type: none"> • PIS Assistant Director • Division Chief • Supervising EDS • Technical Staff • Administrative Secretary | <div style="border: 1px solid black; padding: 5px;">Referring project proposals and other project-related submissions to the concerned NEDA Staff(s)/NRO(s), for review/appropriate action. (Part 1, Procedure 1.3)</div> <div style="text-align: center; margin-top: 5px;">↓</div> |
| <ul style="list-style-type: none"> • Technical Staff | <div style="border: 1px solid black; padding: 5px;">Updating of project databases. (Part 1, Procedure 1.4)</div> <div style="text-align: center; margin-top: 5px;">↓</div> |
| <ul style="list-style-type: none"> • PIS Director • ICC Core Secretariat | <div style="border: 1px solid black; padding: 5px;">Preparing for the conduct of ICC Meetings – provision of logistical support. (Part 1, Procedure 1.5)</div> <div style="text-align: center; margin-top: 5px;">↓</div> |
| <ul style="list-style-type: none"> • Division Chief • Supervising EDS • Technical Staff | <div style="border: 1px solid black; padding: 5px;">Providing technical support for the conduct of ICC meetings – coordination with the Evaluating Staffs/proponent agencies, preparation of ICC Minutes and Matters Arising, ICC Action Letter, and other ICC-related documents, as necessary. (Part 1, Procedure 1.6)</div> <div style="text-align: center; margin-top: 5px;">↓</div> |
| <ul style="list-style-type: none"> • Administrative Secretary | <div style="border: 1px solid black; padding: 5px;">Preparing agenda folders for ICC meetings. (Part 1, Procedure 1.7)</div> |

**Flow Chart 1.b: ICC Core Secretariat/Public Investment Staff Process for the Request for ICC
Ad Referendum Approval of New PGPs**

| <u>Responsible Staff Officer/Personnel</u> | <u>Key Steps</u> |
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| <ul style="list-style-type: none"> • PIS Director • PIS Assistant Director • Division Chief • Technical Staff • Administrative Secretary | Drafting the Memorandum to the ICC requesting for <i>ad referendum</i> approval of projects/programs, in coordination with the NEDA Secretariat. (Part 1, Procedure 1.8) |
| ↓ | |
| <ul style="list-style-type: none"> • Office of the Deputy Director-General / Office of the Assistant Director-General, NDO-IPO • Administrative Secretary | Transmitting to ICC members, for review and confirmation of <i>ad referendum</i> approval. (Part 1, Procedure 1.9) |
| ↓ | |
| <ul style="list-style-type: none"> • Division Chief • Technical Staff | Providing periodic feedback on the status of request for ICC <i>ad referendum</i> approval. (Part 1, Procedure 1.10) |
| ↓ | |
| <ul style="list-style-type: none"> • Office of the Deputy Director-General / Office of the Assistant Director-General, NDO-IPO • PIS Director • PIS Assistant Director • Division Chief • Technical Staff • Administrative Secretary | Advising the proponent agency on result of request for ICC <i>ad referendum</i> approval of the project/program. (Part 1, Procedure 1.11) |

Flow Chart 2: ICC/NEDA Secretariat Appraisal of New PGPs







| <u>Responsible Staff Officer/Personnel</u> | <u>Key Steps</u> |
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| <ul style="list-style-type: none"> • Director / Regional Director • Assistant Director / Assistant Regional Director • Division Chief • Technical Staff | Conducting initial review/confirmation of completeness of submission, acknowledging receipt of proposal. (Part 2, Procedure 2.1) |
| ↓ | |
| <ul style="list-style-type: none"> • Division Chief • Technical Staff | Conducting in-depth project study/evaluation. (Part 2, Procedure 2.2) |
| ↓ | |
| <ul style="list-style-type: none"> • Director / Regional Director • Assistant Director / Assistant Regional Director • Division Chief • Technical Staff | Providing periodic feedback. (Part 2, Procedure 2.3) |
| ↓ | |
| <ul style="list-style-type: none"> • Director / Regional Director • Assistant Director / Assistant Regional Director • Division Chief • Technical Staff | Preparing and finalizing the Project Evaluation Report (PER) or the Status Report on project appraisal. (Part 2, Procedure 2.4) |
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| <ul style="list-style-type: none"> • Director / Regional Director • Assistant Director / Assistant Regional Director • Division Chief • Technical Staff | <div style="border: 1px solid black; padding: 5px; text-align: center;"> Conducting/Attending preparatory meeting(s) prior to the ICC deliberation. (Part 2, Procedure 2.5) </div> |
|  | |
| <ul style="list-style-type: none"> • Director / Regional Director • Assistant Director / Assistant Regional Director • Division Chief • Technical Staff | <div style="border: 1px solid black; padding: 5px; text-align: center;"> Presenting the proposed project to the ICC. (Part 2, Procedure 2.6) </div> |
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| <ul style="list-style-type: none"> • Office of the Deputy Director General / Office of the Assistant Director General, NDO-IPO • Director / Regional Director • Assistant Director / Assistant Regional Director • Division Chief • Technical Staff | <div style="border: 1px solid black; padding: 5px; text-align: center;"> Initiating/Coordinating appropriate actions resulting from the ICC Meeting. (Part 2, Procedure 2.7) </div> |

Flow Chart 3: ICC/NEDA Secretariat Re-evaluation of Ongoing PGPs

Responsible Staff Officer/Personnel

Key Steps

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|---|---|
| <ul style="list-style-type: none"> • Office of the Deputy Director General / Office of the Assistant Director General, NDO-IPO | <div style="border: 1px solid black; padding: 5px; text-align: center;"> Cascading of proposals on ongoing projects for ICC and other ongoing project-related document submissions to MES. (Part 3, Procedure 3.1) </div> |
|  | |
| <ul style="list-style-type: none"> • Director/AD • Monitoring Evaluation Division (MED) – (Division Chief & Technical Staff) | <div style="border: 1px solid black; padding: 5px; text-align: center;"> Acknowledging receipt of request/submission of additional documentary requirements. (Part 3, Procedure 3.2) </div> |
|  | |
| <ul style="list-style-type: none"> • Director/ Assistant Director • Monitoring Evaluation Division (MED) – (Division Chief & Technical Staff) | <div style="border: 1px solid black; padding: 5px; text-align: center;"> Reviewing IA Request. (Part 3, Procedure 3.3) </div> |
|  | |
| <ul style="list-style-type: none"> • ICC-TB Chair/NEDA Secretary • Director/Assistant Director • Monitoring Evaluation Division (MED) – (Division Chief & Technical Staff) | <div style="border: 1px solid black; padding: 5px; text-align: center;"> Informing the IA about the results of the Review. (Part 3, Procedure 3.4) </div> |
|  | |
| <ul style="list-style-type: none"> • Director/ Assistant Director • Monitoring Evaluation Division (MED) – (Division Chief & Technical Staff) | <div style="border: 1px solid black; padding: 5px; text-align: center;"> Preparing PER or the Status Report on Project Appraisal. (Part 3, Procedure 3.5) </div> |
|  | |
| <ul style="list-style-type: none"> • Director/ Assistant Director • Monitoring Evaluation Division (MED) – (Division Chief & Technical Staff) | <div style="border: 1px solid black; padding: 5px; text-align: center;"> Presenting the PER to the ICC. (Part 3, Procedure 3.6) </div> |
|  | |

- ICC-TB Chair/ NEDA Secretary
- Director/ Assistant Director
- Monitoring Evaluation Division (MED) – (Division Chief & Technical Staff)
- ICC Core Secretariat

Informing the IA and/or concerned oversight agency (as may be applicable) on ICC decision on the proposed project/request. (Part 3, Procedure 3.7)

B. Procedure Details

Part 1. ICC Approval Process

The following are the steps to be followed as the ICC business process for the approval of new and ongoing purely public/government-financed programs and projects:

- 1.1 Receiving and cascading by the Office of the NEDA Secretary (ODG)/ Deputy Director General (ODDG) or Office of the Assistant Director General (OADG) of the NDO-IPO, of project proposals, ICC requisite documents, and/or documents related to projects submitted for ICC review and approval.
 - 1.1.1 The ODG/ODDG/OADG Administrative Secretary stamps the document and indicates the date and time the document is received by the Office.
 - 1.1.2 The ODG/ODDG/OADG attaches a routing slip and indicates transmittal of the document to the Public Investment Staff (PIS)⁶, with the specific instructions of the DG/DDG/ADG, if any. Referral to PIS/Sector Staff: within 2 working days upon receipt.
- 1.2 Acknowledging receipt of project proposals to the proponent agency, in relation to the checklist of ICC requisite documents.
 - 1.2.1 The Office of the PIS Director receives and stamps the documents with the date and time of receipt, and indicates the PIS reference number for the document.
 - 1.2.2 The PIS Director provides specific or additional instructions to those provided by the ODG/ODDG/OADG, as may be necessary, and forwards the submitted documents to the concerned PIS division(s).
 - 1.2.3 Upon receipt, the concerned division's Administrative Secretary records the document in the DATS and forwards the documents to the Division Chief.
 - 2.1.1 The Division Chief provides more detailed instructions/guidance on how to operationalize instructions provided by NEDA management, as may be necessary, and forwards the document to the respective PIS Technical Staff, thru the Supervising EDS, for appropriate action, or acts on the same.
 - 1.2.4 The PIS Technical Staff, with guidance from the Division Chief and the Supervising EDS, reviews the submission and operationalizes the action instructed.

⁶ The ODG, ODDG, or the OADG may deem it necessary to transmit the document directly to the respective reviewing/evaluating staff. In such case, PIS shall be furnished copies of the documents.

- 1.2.5 Specifically for submissions of project proposals for ICC review and approval, the concerned PIS Technical Staff checks the submitted project documents for completeness against the ICC requirements based on the “Checklist for New Project Proposals”. The PIS Technical Staff drafts a letter to the proponent informing that the proposal has been received and advising on remaining ICC requisite documents that the proponent agency needs to submit to complete ICC review and approval.
 - 1.2.6 The draft acknowledgment letter is submitted to the Supervising EDS, for comments, and to the Division Chief thereafter, for clearance, prior to submission of the division input to the PIS Assistant Director/Director.
 - 1.2.7 The Division Secretary records the action/output document in the DATS and submits the action/output document to the Office of the Assistant Director/Office of the Director, for clearance.
 - 1.2.8 Upon the PIS Assistant Director’s/Director’s clearance, the draft acknowledgment letter is endorsed and routed for the Deputy Director General’s signature, through the Asst. Director General.
 - 1.2.9 Upon signature by the DDG, the ODDG forwards the document to the Office of the PIS Director for releasing, and provides copies to pertinent NEDA reviewing staff/NRO. Acknowledgment Letter: within 3 working days following receipt by PIS of project document
- 1.3 Referral of project proposals and other project-related submissions to the concerned NEDA staff/regional office, for appraisal/appropriate action.
 - 1.3.1 In parallel to the preparation of the acknowledgment letter to the proponent agency on the submitted project documents, the PIS Technical Staff drafts a referral of the proposal within two (2) days following receipt, using the Project Referral Form, to the concerned NEDA Evaluating Staff for national programs/projects or to the concerned NRO for region-specific programs/projects (per March 2008 NEDA Memorandum on Evaluation of Region Specific Projects).
 - 1.3.2 The draft referral is submitted to the Division Chief, for clearance.,
 - 1.3.3 The Administrative Secretary records the action/output document in the DATS and submits the division action/output document to the Office of the Assistant Director for the PIS Assistant Director’s clearance and signature. In some cases, the PIS Director clears and signs the project referral.
 - 1.3.4 Upon signature by the PIS Assistant Director/PIS Director, the Office of the Director forwards the document to the respective NEDA Sector Staff/NRO. Project Referral to Evaluating Staff/NRO: within 2 working days after receipt by PIS of project documents

1.4 Updating of Project Databases.

- 1.4.1 The PIS Technical Staff updates the respective entries in the project database upon occurrence of any of the following: (i) receipt of communications from IAs/Evaluating Staffs/NROs; (ii) issuance of communications to IAs/Evaluating Staffs/NROs; (iii) conduct of meetings on the respective program/project; (iv) receipt of updates on post ICC processing of program/project (e.g., activities related to NEDA Board approval of the program/project, Monetary Board processing, ODA donor appraisal and approval); (v) receipt of embassy or Department of Foreign Affairs and other government-to-government communications on the program/project; and (vi) other pertinent program/project milestones.
- 1.4.2 The PIS Technical Staff updates the respective entries in the ICC Project Appraisal Monitor/IPAM, with guidance and clearance from the Supervising EDS, upon occurrence of any of the following: (i) receipt of communications from IAs/Evaluating Staffs/NROs; (ii) upon issuance of communications to IAs/Evaluating Staffs/NROs; (iii) receipt of updates on NEDA Board processing of program/project; (iv) other pertinent program/project milestones related to the ICC/NEDA Board processing.

1.5 Preparing for the conduct of ICC Meetings – provision of logistical support. At least one ICC meeting a month⁷.

For Activities No. 1.5.1 – 1.5.12. The following sequential activities should be completed at least two (2) working days prior to the planned ICC meeting.

- 1.5.1 The ICC Core Group Administrative Secretary confirms availability of the ICC Chair and Co-chair for the scheduling of meetings.
- 1.5.2 The ICC Core Group drafts and sends the advisory, signed by the PIS Director, to the Sector Staffs and NROs requesting confirmation of readiness of projects for presentation to the ICC, as culled from the ICC Project Appraisal Monitor (IPAM).
- 1.5.3 The ICC Core Group Administrative Secretary follows-up the ICC/NEDA Secretariat confirmation of projects ready for ICC deliberation. The ICC Core Group Administrative Secretary drafts the tentative agenda for the ICC meeting, based on the ICC/NEDA Secretariat's confirmation of readiness of projects for ICC presentation.
- 1.5.4 Upon confirmation of the meeting agenda, the ICC Core Group sends an advisory to ICC members and the concerned proponent agencies, signed by the PIS Director, as Head of the ICC Core Secretariat, on the conduct of the ICC meeting by facsimile and email.
- 1.5.5 Upon signature of the PIS Director, the ICC Core Group Administrative Secretary sends through facsimile the advisories to the ICC members and proponent agencies, and records the advisories in Document and Assignment Tracking System (DATS). The ICC Core Group Administrative Secretary files the document in the appropriate

⁷ Subject to the availability of the ICC Chairs, and establishment of a quorum.

filing folder. The ICC Core Group forwards copies of the same documents to the recipients (i.e., ICC members and proponent agencies, etc.) through email.

- 1.5.6 The ICC Core Group Administrative Secretary confirms with the offices of the ICC Chairs and members participation to the ICC meeting, and prepares a list for the PIS Director's, as Head of the ICC Core Secretariat, reference.

1.6 Providing technical support for the conduct of ICC meetings – preparation of ICC Minutes and Matters Arising, and ICC Action Letters, as well as other necessary documents.

- 1.6.1 The Technical Staff(s) of the concerned PIS Financing Division(s) drafts the Minutes for projects presented in the most recent ICC meeting. He/she will solicit comments/request validation of the drafted Minutes from the concerned evaluating staff/NRO, and request clearance from their respective Supervising EDS and Division Chief following the confirmation/validation by the evaluating staff/NRO of the initial draft Minutes. The Technical Staff of the ICC Core Group will consolidate the validated draft minutes submitted by the PIS Financing Divisions. The consolidated draft minutes will be cleared by the ICC Core Group Division Chief and thereafter by the PIS Director. Upon clearance, it is then included in the agenda folder of the next ICC meeting. Draft Minutes of ICC Meeting: within two (2) weeks after the ICC meeting, or at least three (3) working days prior to the next ICC meeting, whichever comes first
- 1.6.2 The Technical Staff from the ICC Core Group drafts the Matters Arising from the Minutes, which includes updates on the projects following the ICC meeting, with inputs from PIS Financing Divisions and Evaluating Staff(s)/NRO(s). The consolidated draft Matters Arising from the Minutes will be cleared by the ICC Core Group Division Chief and thereafter by the PIS Director. Upon clearance, it is then included in the agenda folder of the next ICC meeting. Updates for Matters Arising: one (1) week before the next planned ICC meeting.
- 1.6.3 After the ICC meeting, the Technical Staff(s) of the concerned PIS Financing Division(s) drafts the ICC action letter conveying the decisions/instructions resulting from ICC deliberations, and forwards the draft ICC letter to the concerned evaluating staff/NRO within 2 working days after the ICC meeting. The evaluating staff/NRO provides its comments/validate the details reflected on the draft ICC action letter and forwards its comments/inputs to PIS, upon clearance of the respective Division Chief, and subsequently the evaluating staff/NRO Director within 2 working days upon receipt of PIS request for inputs/validation. PIS Referral to Evaluating Staff/NRO: within two (2) working days after ICC meeting; Evaluating Staff/NRO comments to PIS: within two (2) workings upon receipt of PIS referral.
- 1.6.4 The PIS Technical Staff will consolidate the comments provided by the Evaluating Staff/NRO and finalize the draft letter. Upon clearance of the respective Division Chief, and subsequently the Staff/NRO Director, the draft letter is forwarded to the ODG/ODG (as applicable), for signature. The signed ICC Action Letter is returned to PIS for transmittal to the IA. Consolidation and finalization of ICC Action Letter: within one (1) working day receipt of comments/validation from the evaluating staff/NRO.

1.7 Preparing the agenda folders for ICC meetings. (*The sub-activities 1.7.1 – 1.7.2 shall be accomplished at least two (2) working days prior to the ICC meeting*)

1.7.1 The ICC Core Group Administrative Secretary follows-up the submission of Project Evaluation Reports/Status Reports and PowerPoint presentations with the Sector Staffs and NROs, and the draft Minutes and Matters Arising from the draft Minutes from the concerned PIS Technical Staff. The submitted documents are then consolidated into an agenda folder for distribution to ICC members.

1.7.2 The ICC Core Group Administrative Secretary confirms the list of project presenters with the NEDA Secretariat, and submits the list to the PIS Director, as Head of the ICC Core Secretariat.

The following are the steps in facilitating requests for ICC *ad referendum* approval of projects/programs.

For Activities No. 1.8 – 1.10. The allotted period to accomplish all sub-activities is at least seven (7) working days before the schedule of the next ICC meeting.

1.8 Drafting the ICC Memorandum requesting for *ad referendum* approval of projects/programs.

1.8.1 The Technical Staff, primarily the concerned PIS financing Technical Staff, drafts the ICC memorandum requesting for *ad referendum* approval of the program/project. With guidance and clearance from the Supervising EDS and Division Chief, the PIS Technical Staff will prepare the draft Memorandum, which may include a brief on project/program (i.e., description, objective, cost and proposed financing, the economic and financial viability of the project, as applicable, among others), issues and concerns that should be highlighted to the ICC members, and the basis for recommending ICC *ad referendum* approval. The PIS Technical Staff takes into consideration the results of an earlier ICC deliberation on the project, if any, and includes salient points into the Memorandum, as appropriate. Attached to the Memorandum is the *ad referendum* signature sheet, for each ICC member to affix their signature of approval or disapproval to the *ad referendum* request.

1.8.2 The draft Memorandum is submitted for clearance of the Staff Director, for clearance and subsequent consideration and signature of the Deputy Director-General for Investment Programming, as Chair of the ICC-Technical Board, through the Assistant Director General. Issuance of Memorandum: within three (3) working days following instruction by the ICC or upon request of the concerned proponent agency, with the concurrence of the ICC.

1.9 Issuing the Memorandum on the request for ICC approval *ad referendum* to ICC members, for review and confirmation of *ad referendum* approval.

1.9.1 Following signature of the Memorandum by the Chair of the requesting ICC, the ODG/ODDG forwards the document to PIS for transmittal to the ICC members. The Administrative Secretary provides a scanned copy of the documents to the Technical Staff, and transmits the documents through facsimile to the ICC members. The Technical Staff forwards the documents through email to the ICC members.

1.9.2 The Technical Staff and Administrative Secretary will follow-up the submission of the ICC-CC members of their respective *ad referendum* signature sheets. The Technical Staff consolidates the submissions and files the documents appropriately in the respective project/program folder.

1.10 Providing periodic feedback.

1.10.1 The Technical Staff, with guidance and clearance from the Supervising EDS and Division Chief, provides periodic feedback to the NEDA Secretary and DDG for Investment Programming, as ICC-TB Chair.

1.11 Advising the proponent agency of the result of the ICC *ad referendum* approval of the project/program.

1.11.1 Upon receipt of the required number of signature sheets from ICC-CC members approving the requested *ad referendum* (i.e., 50% of members plus 1), the Technical Staff drafts a letter to the proponent agency, with guidance and clearance of the Supervising EDS and Division Chief, informing of the *ad referendum* approval of the project/program by the ICC-CC.

1.11.2 The draft letter is submitted to the Director for signature and endorsement to the NEDA Secretary, through the DDG for Investment Programming.

Part 2. ICC Secretariat Appraisal Process

The following steps are to be implemented in the preparation of the Project Evaluation Report or Status Report on Project Appraisal for new programs/projects, for presentation to the Investment Coordination Committee (ICC). This follows Procedures 1.1 and 1.3 above:

2.2 Conducting initial review/confirmation of completeness of submission, acknowledging receipt of proposal.

2.2.1 The Office of the Director/Regional Director receives incoming proposal, as forwarded by the ODG, ODDG and/or OADG of the NDO-IPO, or PIS.

2.2.2 The Director / Regional Director forwards the submission to the respective division(s), with specific or additional instructions, as may be necessary.

2.2.3 The Administrative Secretary records incoming proposal's details then forwards the document to the respective Division Chief, through the Assistant Director / Assistant Regional Director (as applicable depending on the internal Staff/NRO arrangements).

2.2.4 The Division Chief either assigns the submitted document(s) to one of the Division Technical Staff, or acts on the same.

2.2.5 If documentation is not yet acknowledged by the Public Investment Staff (PIS), a letter is drafted by the Evaluating Staff/NRO Technical Staff to acknowledge receipt of the project proposal.

- 2.2.6 The Technical Staff concerned checks the submitted project documents for completeness against the ICC requirements based on the Checklist for New Project Proposals. If there are lacking documents, a letter will be drafted by the Technical Staff, requesting for the submission of the lacking documents, and/or providing initial comments and recommendations on the project proposal within a week, and advising that the proponent will receive feedback on the initial review within 15 working days.
- 2.2.7 The draft letter shall be forwarded for the Division Chief's clearance, and subsequently for the clearance and signature of the Director / Regional Director, prior to transmittal to the proponent. Initial Comments: within one (1) week upon receipt of project proposal from ODG/ODDG/OADG/PIS; Feedback on Initial Review: within fifteen (15) working days upon receipt of project proposal from ODG/ODDG/OADG/PIS

For Activities No. 2.3 – 2.5. The allotted period to accomplish all sub-activities is four (4) – six (6) weeks from the Evaluating Staff's receipt of project proposal up to first ICC presentation.

2.3 Conducting in-depth study or evaluation.

- 2.3.1 The Technical Staff exercises initiative and due diligence in validating the different aspects of the project (including methodologies and assumptions), in accordance with the requirements of the ICC Guidelines and Procedures and the processing timelines prescribed therein, and the procedures as provided under the Project Development and Evaluation Manual.
- 2.3.2 The Technical Staff consults and coordinates with other personnel within their respective Staff or personnel of other Staffs or units within NEDA or NROs.
- 2.3.3 Based on the reviewing Staff's conduct of due diligence, in cases of missing data requirements and unclear statements/arrangements based on the project document, the Evaluating Staff/NRO drafts a letter conveying the identified concerns for the proponent agency to clarify. Initially identified issues, recommendations and other concerns regarding the viability of the project shall also be communicated to the implementing/proponent agency for appropriate action through formal letter. The letter is signed by the Director/Regional Director, upon clearance by the respective Division Chief, through the Assistant Director / Assistant Regional Director (as applicable depending on the internal Staff/NRO arrangements).
- 2.3.4 If needed, consultative meetings are conducted with critical stakeholders in order to come up with a definitive evaluation. The objective of such meetings is to provide a venue to give further details about the result of the technical evaluation, and address remaining issues and documentary requirements. In some instances, site visits may be necessary as determined by the Staffs or NROs. Proponent agencies shall be requested to submit their reply/action during consultative meetings or site visits through formal letter.
- 2.3.5 Should there be remaining issues that need to be ironed-out, the Staffs or NROs may call another meeting with the proponent before finalizing the PER.

- 2.3.6 If inputs are needed from other Sector Staffs or NROs, the identified Lead Evaluating Staff as indicated in the PIS Project Referral, will consolidate the inputs from contributing Sector Staffs or NROs.
- 2.4 Providing periodic feedback on the development of the review/evaluation.
- 2.4.1 The Evaluating Staff/NRO drafts a letter to the proponent with its comments and recommendations to improve the project proposal, to be signed by the Staff Director / Regional Director upon clearance of the respective Division Chief. Feedback Letter to Proponent Agencies: within fifteen (15) working days upon issuance of the Letter to Proponent Agencies on Initial Staff/NRO comments
- 2.5 Preparing and finalizing the Project Evaluation Report (PER) or the Status Report on Project Appraisal.
- 2.5.1 The Evaluating Staff/NRO evaluates the proponent's project submissions and response to the raised issues/concerns on whether said matters are sufficiently addressed. If needed, the identified lead Evaluating Staff/NRO may solicit the validation/inputs of other Evaluating Staffs/NROs on the proponent's response on the raised issues/concerns.
- 2.5.2 The lead Evaluating Staff/NRO consolidates the results of its evaluation, inputs from other divisions, Evaluating Staffs, and NROs on the proposed project.
- 2.5.3 All of the findings, comments and recommendations for a particular project should be included in the final PER for the Technical Board, signed by the Director / Regional Director.
- 2.5.4 If the project is already endorsed by the ICC-Technical Board (TB) to the ICC-Cabinet Committee (CC), the Staff drafts the PER for the Cabinet Committee taking into account any concern/information needed arising from the ICC-TB. The PER should also consider major revisions/issues raised or as agreed during the ICC deliberations.
- 2.5.5 The PER for the ICC-CC is submitted to the Assistant Director / Assistant Regional Director and the Director / Regional Director, upon clearance of the Division Chief, for approval/consideration/further instructions. Should further instructions arise, the Technical Staff revises the PER prior to its finalization and onward transmittal to PIS. For projects already endorsed by the ICC-TB, upon clearance by the Director / Regional Director, the PER is submitted to the Chairperson of the ICC-TB together with a covering memorandum for the ICC-TB Chair's signature.
- 2.5.6 The Evaluating Staff / NRO provides the proponent agency with a copy of the final Project Evaluation Report.
- 2.5.7 The Technical Staff prepares a short presentation material (10-15 slides) containing, among others, a description of the proposed project, the objectives, findings, issues and recommendations.
- 2.5.8 The Technical Staff transmits 40 copies of the PER, ICC decision matrix, and the Memo to ICC-TB/CC on the status of proponent agency compliance (if applicable) to

the ICC Core Secretariat. The Technical Staff sends the electronic copies of the same documents including the slide presentation to the ICC Core Secretariat via e-mail.

2.5.9 Should the 4-6 weeks lapse and the proponent agency has not submitted the required documents/information to complete the Evaluating Staff's/NRO's appraisal of the project, the Evaluating Staff/NRO shall prepare the Status Report on the project's appraisal. Or as instructed by the Chairpersons of the ICC, the Evaluating Staff/NRO may be required to prepare such reports for the ICC.

2.5.10 The Status Report is submitted to the Assistant Director / Assistant Regional Director and the Director / Regional Director, upon clearance of the Division Chief, for approval/consideration/further instructions, prior to its finalization and onward transmittal to PIS.

2.5.11 Pertinent documents/communications during the course of the evaluation are filed in a project folder in an organized manner by the concerned Division.

2.6 Conducting/attending preparatory meeting(s) prior to the ICC deliberation, as necessary.

2.6.1 The concerned Division Chief and/or Technical Staff attends preparatory meetings to participate and take note of the discussions. After the meeting, feedback is given by the Technical Staff to the Director / Regional Director and the Assistant Director / Assistant Regional Director.

2.7 Presenting the proposed project to the ICC.

2.7.1 The Technical Staff concerned, including the Division Chief, the Assistant Director/Assistant Regional Director, and the Director/Regional Director attend the meeting of the ICC-Technical Board (ICC-TB), ICC-Cabinet Committee (ICC-CC), or the NEDA Board, as applicable.

2.7.2 For ICC meetings, the Director/Regional Director presents the project.

2.7.3 The Technical Staff takes note of the discussions, agreements, decisions, and instructions on the project.

2.7.4 The Evaluating Staff/NRO may provide clarification or inputs during the discussions when requested.

2.8 Initiating/Coordinating appropriate actions resulting from the ICC Meeting.

2.8.1 After the ICC meeting, the Technical Staff initiates and coordinates the appropriate actions needed based on the outcome of the discussion of the project during the ICC meeting. The PIS Technical Staff drafts the ICC action letter conveying the decisions/instructions resulting from ICC deliberations.

2.8.2 The Evaluating Staff/NRO Technical Staff provides its comments and conducts validation of the details reflected on the draft ICC Action letter, upon transmittal of PIS for comments/validation. Comments and inputs are forwarded to PIS, upon clearance of the respective Division Chief, and subsequently the Director / Regional

Director. Transmittal of Comments on ICC Action Letter to PIS: within two (2) working days upon receipt of PIS referral

- 2.8.3 The Evaluating Staff/NRO Technical Staff provides its comments and conducts validation of the details reflected on the draft Minutes of the ICC's discussion on the project, upon transmittal of PIS for comments/validation. Comments and inputs are forwarded to PIS, upon clearance of the respective Division Chief, and subsequently the Director / Regional Director. Transmittal of Comments on Draft Minutes to PIS: within three (3) working days upon receipt of PIS referral

Part 3. Project Re-evaluation Process

These steps are to be followed in the preparation of the Project Evaluation Report or the Status Report on Project Appraisal for ongoing programs/projects, for presentation to the Investment Coordination Committee (ICC):

- 3.1. Cascading by the Office of the NEDA Secretary, Office of the Deputy Director General (ODDG) or Office of the Assistant Director General (OADG) of the NDO-IPO, of ICC requisite documents or documents related to projects submitted for ICC review and approval.
- 3.1.1 The Administrative Secretary stamps the document and indicates the date and time received.
- 3.1.2 The ODG/ODDG/OADG attaches a routing slip and indicates transmittal of the document to the Monitoring and Evaluating Staff (MES). The ODG/ODDG/OADG may indicate specific instructions, through marginal notes on the documents. Referral to MES: within two (2) working days upon receipt of ODG/ODDG/OADG
- 3.2 Acknowledging receipt of the proponent agency's request for project/program re-evaluation or submission of additional documentary requirements.
- 3.2.1 The Office of the Director logs the request and forward to the documents to the concerned Monitoring and Evaluation Division (MED) for appropriate action.
- 3.2.2 Within three (3) working days, concerned MED to draft letter to proponent agency acknowledging receipt of request or submission and informing that NEDA will send feedback of the initial review on the completeness of the submission of documentary requirements. Acknowledgement Receipt: within three (3) working days upon receipt of the proponent agency's request
- 3.3 Reviewing the proponent agency's request (*The allotted period to accomplish sub-activities 3.3.1 – 3.3.4 is three (3) working days upon receipt of the request*).
- 3.3.1 The concerned Technical Staff identifies the particular nature of the agency request as any or a combination of the following: (a) change in scope; (b) increase/decrease in cost; (c) loan/grant validity extension; (d) loan/grant cancellation; (e) change in

financing mix; (f) extension in implementation period; (g) change in implementation arrangement; among others.

3.3.2 Depending on the nature of request, Technical Staff assesses the completeness of the agency submission of ICC requisite documents which is provided in the ICC Checklist for Re-evaluation of Ongoing Projects.

3.3.3 The Technical Staff reviews the proponent agency's submissions for consistency, accuracy, and technical soundness.

3.3.4 MED sets a meeting with the proponent agency as may be necessary.

3.4 Informing the proponent agency of the results of the initial review of the submitted documents.

Requests with lacking/additional documents required⁸:

3.4.1 The Technical Staff will draft a letter to the proponent agency providing feedback on the results of the initial review including a request for additional documentary requirements or clarifications. The Technical Staff forwards the draft letter to the Division Chief, Assistant Director, and the Director and revises the same should further comments/instructions arise prior to its finalization.

3.4.2 The Technical Staff sends a letter to the proponent after securing approval/signature of the Director/Chairperson of the ICC-TB/Director General, as may be applicable. Feedback Letter: within seven (7) working days upon receipt of IA request

Requests with complete submission of documentary requirements:

3.4.3 The Technical Staff drafts a letter to the proponent agency providing feedback on the results of the review and acknowledging receipt of complete documentary requirements. The Technical Staff forwards the draft letter to the Division Chief, Assistant Director, and the Director and revise the same should further comments/instructions arise prior to its finalization.

3.4.4 The Technical Staff sends the letter to the proponent agency after securing approval/signature of the Director/Chairperson of the ICC-TB/Director General, as may be applicable. Feedback Letter: within seven (7) working days upon receipt of IA request

The allotted period to accomplish all sub-activities under 3.5 – 3.6 is four (4) – six (6) weeks from receipt of IA request up to first ICC presentation.

3.5 Prepare the Project Evaluation Report or the Status Report on Project Appraisal.

⁸ Proponent agency request for re-evaluation with incomplete documentary requirements may still be processed and presented to the ICC-TB for discussion subject to the approval of the Chairperson of the ICC-TB.

- 3.5.1 The Technical Staff exercises the initiative and due diligence in validating the different aspects of the project (including methodologies and assumptions), in accordance with the requirements of the ICC guidelines and procedures, as well as the NEDA Manual on project evaluation.
- 3.5.2 The Technical Staff drafts a Memorandum requesting inputs from the concerned Sector Staff/NRO as may be necessary.
- 3.5.3 MED to set a meeting with the proponent agency/LGU and/or concerned Sector Staffs/NRO as may be necessary.
- 3.5.4 The Technical Staff drafts the PER based on the format provided in the ICC Project Evaluation Report Format. The Technical Staff forwards the draft PER to the Division Chief, Assistant Director, and the Director and revise the same should further comments/instructions arise prior to its finalization.
- 3.5.5 For request with prior ICC conditions of approval, the Technical Staff drafts the Memorandum to ICC-TB/CC on the status of proponent agency's compliance with corresponding recommendation(s). The Technical Staff forwards the draft Memorandum to the Division Chief, Assistant Director, and the Director and revises the same should further comments/instructions arise prior to its finalization.
- 3.5.6 The Technical Staff submits the PER, ICC decision matrix, and the Memorandum to ICC-TB/CC on the Status Report of IA compliance (if applicable) to the Director for comments and approval.

Requests for ICC approval with incomplete documentary requirements:

- 3.5.7 Seven (7) working days before each scheduled ICC meeting, the Technical Staff drafts a report to be submitted to the ICC Core Secretariat on the status of ongoing projects under secretariat review and cite reasons for delays in presentation to the ICC (i.e. non-compliance with ICC requirements, outstanding issues among others). The Technical Staff forwards the draft report to the Division Chief, Assistant Director, and the Director and revises the same should further comments/instructions arise prior to its finalization. Status Report Submitted to the ICC Core Secretariat: at least seven (7) working days before schedule of ICC meetings

a. On Requests for ICC-Secretariat Approval only:

- 3.6 Informing proponent agency and/or concerned oversight agency (as may be applicable) on ICC decision on the request
 - 3.6.1 The Technical Staff drafts the following communications: (a) Letter to proponent agency and/or concerned oversight agency (as may be applicable) on the ICC decision on the request; and (b) Cover Memorandum for the Chairperson of the ICC-TB transmitting the PER and providing the recommendations of the ICC Secretariat.

- 3.6.2 The Technical Staff submits the abovementioned documents to the Director for comments and approval within three (3) days upon approval of the PER.
- 3.6.3 The Technical Staff sends the letter to the proponent agency and/or concerned oversight agency (as may be applicable) after securing the approval of the Chairperson of the ICC-TB. Letter to Proponent Agency and Memorandum for the Chairperson of the ICC-TB: within three (3) working days upon approval of the PER

b. For Requests for ICC Approval:

3.7 Presenting the PER to the ICC

- 3.7.1 The Technical Staff informs the ICC Core Secretariat to include the project being reviewed in the agenda items of the next ICC meeting to be set not later than six (6) weeks after receipt of request from the IA.
- 3.7.2 The Technical Staff prepares a slide presentation for the ICC. The Technical Staff forwards the draft slide presentation to the Division Chief, Assistant Director, and the Director and revises the same should further comments/instructions arise prior to its finalization.
- 3.7.3 The Technical Staff transmits 40 copies of the PER, ICC decision matrix, and the Memo to ICC-TB/CC on the status of IA compliance (if applicable) to the ICC Core Secretariat. The Technical Staff sends the electronic copies of the same documents including the slide presentation to the ICC Core Secretariat via e-mail.
- 3.7.4 The Technical Staff / Division Chief / Assistant Staff Director / Staff Director presents the results of the project re-evaluation to the ICC for discussion.
- 3.7.5 ICC Core Secretariat drafts a letter to the proponent agency, informing of the decision of the ICC including conditions of approval, if any. The Technical Staff provides its comments and conducts validation of the details reflected on the draft ICC Action letter, upon transmittal of PIS for comments/validation. Comments and inputs are forwarded to PIS, upon clearance of the respective Division Chief, and subsequently the Director / Regional Director. Transmittal of Comments to PIS: within two (2) working days upon receipt of PIS referral

VI. ANNEXES

1. ICC Guidelines and Procedures as of March 2005
2. List of ICC Requisite Documents
3. ICC Checklist for New Project Proposals
4. ICC Checklist for Re-evaluation of Ongoing Projects
5. ICC Project Evaluation Procedures and Guidelines

6. ICC Project Evaluation Report Format
7. ICC Project Evaluation Matrix
8. PIS Project Referral Form

Glossary of Terms

| | |
|---------------|--|
| BOP | Balance of Payment |
| EO | Executive Order |
| GAA | General Appropriations Act |
| GFI | Government Financial Institution |
| GOCC | Government-Owned and -Controlled Corporation |
| IA | Implementing Agency |
| ICC | Investment Coordination Committee |
| ICC-CC | ICC-Cabinet Committee |
| ICC-TB | ICC-Technical Board |
| IRR | Implementing Rules and Regulations |
| CIP | Core Investment Programs and Projects |
| LGU | Local Government Unit |
| MCP | Major Capital Program or Project |
| NEDA | National Economic and Development Authority |
| NG | National Government |
| NGO | Non-Government Organization |
| NRO | NEDA Regional Office |
| ODA | Official Development Assistance |
| PER | Project Evaluation Report |
| PIP | Public Investment Program |
| RA | Republic Act |

(End of Document)