



Republic of the Philippines  
Department of Social Welfare and Development

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SUBJECT : **GUIDELINES IN THE MONITORING AND EVALUATION OF  
EXTERNALLY FUNDED PROJECT**

**I. RATIONALE**

Monitoring and evaluation is an integral part of project management that is essential to realize the outcome or impact of a certain project.

Consistent with the thrusts and direction of the Department, monitoring of externally funded projects is now one of the core functions of the Policy and Plans Bureau. The External Assistance Division (EAD) is primarily responsible for the generation of resources and promotion of projects requiring financial assistance either through local or foreign sources. Its mandate likewise includes conducting monitoring of externally funded projects to ensure timely completion in accordance with donor requirements.

After its four years of implementing resource generation strategies, the Department has no guideline in monitoring and evaluating external funded projects, hence there is a need to formulate standard monitoring and evaluation guidelines in order to outline the parameters at the national and field office level along externally funded projects. The current guidelines of the department on Monitoring and Evaluation as stipulated in A.O. 13 series of 2004 is limited to retained/statutory programs and special projects particularly SEA-K and CIDS projects. Considering the reportorial requirements of National Economic and Development Authority (NEDA) and the donor agencies, this guidelines would be very helpful in facilitating immediately the information required by them. Further, to avoid difficulties in project implementation, a system of project monitoring and evaluation is needed to immediately detect and diagnose potential bottleneck areas. In spite of the many years of experience with planning and managing development projects, many problems are still encountered such as how to conduct monitoring and evaluation of externally funded projects e.g. how to validate the monitoring reports submitted by proponents, who will monitor, delineation of Field Office and Central Office monitoring and evaluation functions. It is also essential that anticipated benefits of externally funded projects be progressively assessed. With the existence of on-going 20 locally funded and 5 foreign funded projects and the Department's direction to engage with more externally funded projects the need to this guidelines is found necessary. Hence, this order is issued for the purpose.

## **II. OBJECTIVES**

Specifically, the guidelines has the following objectives:

1. To establish a system of conducting monitoring and evaluation for technical assistance to concerned POs, LGUs, NGOs and ODA projects
2. To identify problems in project implementation and adopt immediate corrective measures
3. To distinguish roles between the national office and the field offices in terms of monitoring and evaluation of externally funded projects
4. To provide timely feedback information for management's decision-making purposes
5. To determine the effectiveness of the externally funded projects vis-à-vis the proposed desired goals
6. To identify best practices and gaps and apply the lessons gained from such experience and coordinate with appropriate bureaus for program/project enhancement and policy recommendations.

To support the objectives of the monitoring and evaluation system the following must be part of its operation.

1. Information must be on time
2. Information must be reliable for decision-making; and
3. Staff capabilities and fund requirements must be adequate to operate the system.

## **III. Definition of Terms**

1. Monitoring - is the continuous or periodic review and overseeing of the implementation of resource generation that are funded out of externally generated resources to ensure that input deliveries, work schedules, targeted outputs and other required actions are proceeding according to plan during implementation.
2. Evaluation - is a process of determining systematically and objectively the relevance, efficiency, effectiveness and impact of activities in the light of their objectives. It is an organizational process for improving activities still in progress and for aiding management in future planning, programming and decision making. Evaluation is carried out prior to implementation (project appraisal), during implementation (on-going or mid-year evaluation, at completion (terminal) and after completion (ex post evaluation).
3. Externally Funded Projects - are projects whose financial support are not taken from the regular general appropriation of DSWD which are funded through local sources and Official Development

Assistance (ODA) and other bilateral/multilateral cooperation (both loans/grants).

4. Official Development Assistance (ODA)- is financial/technical assistance aimed at enhancing bilateral ties between governments with the end view of promoting development e.g. Kalahi-CIDSS, ECD Project
5. AHON-Bayan Projects- are projects needing the Department's external resource accessing assistance that could be channeled thru the ABP Sectors in the concerned field offices. Foreign funded Ahon Bayan Projects implemented directly by NGOs, POs and LGUs are not considered ODA e.g. funding from international NGOs.
6. Non-AHON Bayan Projects - are projects needing the Department's external resource accessing assistance but are not covered by the ABP Sectors in the concerned field offices.

#### IV. ELEMENTS AND FEATURES OF MONITORING AND EVALUATION OF EXTERNALLY FUNDED PROJECTS

<b>Regular Monitoring</b>	<b>On-Going Evaluation</b>	<b>Terminal Evaluation</b>
<b>Basic Purpose</b> Keeping track of progress implementation of the project in relation to targets, time schedule, costs constraints and lags and corrective action if required	<b>Basic Purpose</b> Determination of continuing relevance and likely outputs, effectiveness and impact of activity during implementation, major correction , adjustments if required	<b>Basic Purpose</b> Assessment of the overall outputs, effects and impacts and drawing lessons for future planning
<b>Sources of Information</b> Periodic, administrative and technical reports, observations	<b>Sources of Information</b> Surveys, observations, periodic reports	<b>Sources of Information</b> Socio-economic survey
<b>Reporting to</b> Bureau/Field Directors and Undersecretary and Donor Agency	<b>Reporting to</b> Management, Donor Agency and Proponent	<b>Reporting To</b> Management and Donor Agency
<b>Main Focus</b> Inputs and their utilization, timeliness of operation and realization of outputs against set targets	<b>Main Focus</b> Assessment of continuity, validity of project design and targets and assessment of effects and review of cost effectiveness	<b>Main Focus</b> Maximum and long term objectives, effects and impacts on beneficiaries, drawing lessons for future critical factors affecting the project
<b>Timeframe</b> Depending on the Quarterly or Monthly visits as required by the Bureau/Field Offices.	<b>Timeframe</b> Depending on the status of the project as maybe required by donor agency usually semi-annually or annually	<b>Timeframe</b> At the end of the project term or five years after completion

## **V. MONITORING REPORTS AND ACTIVITIES REQUIRED FOR EXTERNALLY FUNDED PROJECT**

The following activities must be observed and regular reports shall be required as basis for monitoring the progress of externally funded projects and for consolidation and provision of technical assistance to externally funded projects by the Central Office.

### **A. FOR ODA PROJECTS**

All ODA funded projects are covered by the following monitoring mechanism under the leadership of the Department's Project Implementation Officer (PIO). The PIO shall be supported in undertaking this reporting by the EAD as the designated Secretariat.

**1. Annual Foreign Assisted Projects (FAPs) Conference** - this activity is conducted to determine the future directions and to assess the status of the different funded projects as basis for determining Department's overall ODA performance. This must be organized by the Designated Project Implementation Officer (PIO). The conference is for sharing innovative practices and lessons learned during the project implementation especially in the resolution of project bottlenecks usually encountered by the FAPs. It is a venue for mainstreaming best practices of successfully completed FAPs into the regular DSWD programs/services.

The output of the activity is the FAPs Conference documentation indicating the current projects physical and financial performance and issues/concerns for action by the concerned implementing office.

**2. ODA Portfolio Review** - during the first quarter of every year, NEDA requires all agencies with ODA projects to prepare their respective ODA Portfolio using the NEDA's prescribed format. This report must be prepared by each ODA implementing office for submission to EAD. Prior to its submission to NEDA, the reports are subject for review and consolidation by EAD to ensure its consistency with the requirements of NEDA.

**3. Foreign Assisted Project Status Report** - this report contains the current level of performance of each project and its situation as against the performance indicators of the funding institutions. This must be submitted on a quarterly basis to the External Assistance Division by the concerned bureau/office implementing the FAP. (Please refer to Form 5).

These reports are subject for review/assessment by the PIO Secretariat should there are noted issues, EAD shall raise to the level of PIO and recommend possible course of action e.g. site validation.

## **B. FOR NON-ODA FUNDED PROJECTS DIRECTLY IMPLEMENTED BY SPECIFIC DSWD OFFICE, NGOs AND LGUs**

These covers other externally funded projects accessed through AHON Bayan resource generation strategy and other non-AHON Bayan tie-up of the Department. The Field Office specifically the designated Ahon Bayan Focal Person and or technical staff concerned is tasked to conduct monitoring of externally funded projects every quarter.

### **B.1. Roles of the Field Office in terms of Reporting**

#### **1. Monitoring Schedule Matrix**

This matrix is prepared on a semestral basis by the Field Offices reflecting the externally funded projects schedule to be monitored by the Regional Staff per quarter. This must be submitted one month before the succeeding semester. Please refer to EAD-Form 1-MS

#### **2. Project Periodic Status Report**

This report is prepared by the implementing agency submitted on a quarterly basis to the DSWD Field Office for onward submission to EAD-PPB. The FO shall also be responsible in reviewing and validating the reports prepared by the implementing NGO, LGU and RPMO prior to forwarding the same to the EAD. This process will likewise guide the FO if there are project implementation issues needing technical assistance. However, for those projects which donor/funding agency have specific monitoring reports, the concerned proponent or Field Office may use instead the prescribed format or of the donor agency.

This should reflect information on the actual status of the major project components plus the problems/delays encountered during implementation, reasons for the delay and the remedial measures taken/recommended. Please refer to EAD- PSR-Form 2.

#### **3. Project Completion Report**

Upon culmination of the project, the Regional Project Management Office (RPMO) or technical staff concerned must submit a project completion report duly signed by the Field Director to EAD-PPB. In the case of NGO and LGU funded projects, the implementing office must submit the report to DSWD Field Office for onward submission to EAD-PPB. The FO is responsible for reviewing and validating the contents of the report submitted by the implementing agency. It summarizes all major activities of the project and shows the physical and financial requirements met by the project. Further, the project completion report should include the follow up action to be taken or needed, aspects of project operation requiring special attention and issues not resolved before physical

completion. It should also put emphasis on project interventions/strategies found effective and need to be integrated with the existing program of the Department. Please refer to EAD-PPB Form 3.

#### **4. Externally Funded Project Monitoring Checklist**

This monitoring checklist along externally funded projects is the standard form to be used by the Regional Ahon Bayan Focal Person in the conduct of its regular monitoring. Please refer to Form 6.

### **B.2. ROLES OF EXTERNAL ASSISTANCE DIVISION-POLICY AND PLANS BUREAU**

Relative to the oversight function of the EAD for purposes of check and balance, it must observe the following monitoring activities covering the non-ODA funded projects.

In the case of ODA funded projects, the EAD's on site monitoring is dependent on the directives of the DSWD designated Project Implementation Officer (PIO).

#### **1. On-Site Monitoring**

EAD will conduct once a semester monitoring of externally funded projects in close coordination with the Regional Ahon Bayan Focal Person. The presence of donor agency shall also be explored whenever necessary.

#### **2. Project Mid-Assessment Review**

The conduct of the activity depends on the status or conditions of the externally funded projects such as deviations in project strategies and components at mid-point or there are early stages of implementation that would require immediate verification of their impact. The EAD must be responsible to conduct the activity.

#### **3. Cluster Annual Project Review**

This activity will serve as a venue for information sharing on projects implemented by specific DSWD office, NGOs, LGUs and POs; identification of issues requiring other inputs and recommendations. The EAD must be responsible to ensure that this activity is undertaken annually.

#### **4. Project End Review**

The EAD is responsible to conduct an evaluation of externally funded projects to gauge the project performance vis-à-vis its target goals, objectives and expected output. This will be done in coordination with the Field Offices concerned

In terms of monitoring reports, EAD will make use or prepare the following:

### 1. Externally Funded Project Monitoring Checklist

This monitoring checklist is the standard form to be used by the technical staff in the conduct of monitoring and technical assistance. It can also be utilized in monitoring the implementation of externally funded projects at the Field Offices. (Please refer to Form 4)

### 2. Quarterly Consolidated Report

This report will reflect the status of on-going NGO, LGU and specific DSWD ODA projects accessed by the EAD. This shall be submitted to the Undersecretary for PPG copy furnished other EXECOM members

### 3. Post Evaluation Report

This report is prepared after completion of the project. The report contains project performance, over-all result vis-à-vis its set project goal and objectives.

## VI. TIMEFRAME

A maximum of three working days will be allocated for the monitoring visit/technical assistance of each technical staff per region every semester. However, this would not prejudice extension of period whenever necessary provided the Director is notified of the extension prior to the expiration of travel order.

For the regional staff, a quarterly monitoring is required for externally funded projects.

The timeframe for the submission of reports and duration of every activity is already stipulated in item VI.

## VII. EFFECTIVITY

This order shall take effect immediately and revokes all previous orders contrary thereto.

Done this 11<sup>th</sup> day of November, Quezon City

A CERTIFIED COPY

  
CARMELITA F. ZAFRA  
Chief, General Services Division  
and OIC, Records Unit

  
CORAZON JULIANO SOLIMAN  
Secretary

EAD-Form, I

Project Title	Proponent	200__ Monitoring Schedule (Quarterly, based on from the date of implementation)											
		Jan	Feb	Mar	April	May	June	Jul	Aug	Sept	Oct	Nov	Dec
XXX	YY			x			x			x			

Prepared by:  

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Noted by:  

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Field Office Director



**PROJECT PERIODIC STATUS REPORT**  
\_\_\_\_\_ Quarter, CY \_\_\_\_\_

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

1. NAME OF PROJECT \_\_\_\_\_

2. TYPE OF PROJECT \_\_\_\_\_

3. LOCATION \_\_\_\_\_

3. PROPONENT \_\_\_\_\_

4. DONOR AGENCY \_\_\_\_\_

5. IMPLEMENTING AGENCY (If applicable)

6. APPROVED FUNDING ASSISTANCE \_\_\_\_\_

7. DATE FUNDED \_\_\_\_\_ PROJECT DURATION \_\_\_\_\_

6. PROBLEMS ENCOUNTERED

Problems Encountered	Recommendations/Remarks

7. EFFECT OF PROBLEMS ON ACTIVITIES  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8. Please refer to Annex A for Financial and Physical Accomplishment of the Project

\_\_\_\_\_

Validated by \_\_\_\_\_ Date \_\_\_\_\_

Noted by \_\_\_\_\_  
Field Director

\_\_\_\_\_

**PROJECT COMPLETION REPORT**  
Field Office \_\_\_\_\_

1. NAME OF PROJECT \_\_\_\_\_
2. TYPE OF PROJECT \_\_\_\_\_
3. LOCATION OF THE PROJECT \_\_\_\_\_
4. PROPONENT \_\_\_\_\_
5. DONOR AGENCY \_\_\_\_\_
6. IMPLEMENTING AGENCY (if applicable)  
\_\_\_\_\_
7. STARTING DATE \_\_\_\_\_ COMPLETION DATE \_\_\_\_\_
8. DURATION OF THE PROJECT \_\_\_\_\_
9. TOTAL PROJECT COST \_\_\_\_\_
10. FUNDING REQUIREMENTS

Source	Amount

10. BENEFITS DERIVED FROM THE PROJECT  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

11. PROJECT ACCOMPLISHMENT PER COMPONENT

Component	Accomplishment

11. PROBLEMS NEEDING ACTIONS OR FOLLOW-UP

PROBLEMS ENCOUNTERED	ACTIONS REQUIRED

12. SUGGESTIONS/RECOMMENDATIONS

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

Validated by \_\_\_\_\_ Date \_\_\_\_\_

Noted by \_\_\_\_\_

Field Director

**EXTERNALLY FUNDED PROJECT MONITORING CHECKLIST**

Field Office : \_\_\_\_\_  
 Date Monitored : \_\_\_\_\_  
 Project Monitored : \_\_\_\_\_  
 Proponent : \_\_\_\_\_

Contents	Y	N	P	Remarks
<b>A. Field Office Level</b>				
• <b>Monitoring</b>				
1. Focal Person monitored accessed project implementation through actual visit/consultation to the proponent at least once every quarter				
2. Focal Person provides necessary technical and administrative support to proponent				
3. Quarterly submit status of project implementation of externally funded projects				
4. Submits project completion report after the closing of the project				
5. Submit monitoring schedule report every semester				
6. Submits feedback report of quarterly monitoring visit				
<b>B. Externally Funded Project</b>				
• <b>Fund Status</b>				
1. Utilization is on time based on approved budget in the proposal plan				
2. Fund disbursement is appropriate based on the approved allocation				
3. No unpaid obligations				
4. Financial requirements per unit				

of activity and time are met on time				
<b>• Project Status</b>				
1. Physical target and Timeframe of each activity are observed				
C. Reporting				
1. Submits periodic status report every quarter				
2. Submits project completion reports				

Legend:

Y – Yes

N – No

P - Partially

Validated By \_\_\_\_\_

Date \_\_\_\_\_

**STATUS REPORT ON FOREIGN ASSISTED PROJECT**  
\_\_\_\_\_ Quarter, CY \_\_\_\_\_

**PART I - PROPONENT PROFILE**

- 1. Name of Proponent :
- 2. Address :
- 3. Project Title :
- 4. Project Site :
- 5. Funding Agency :
- 6. Amount Granted :
- 7. Number of Beneficiaries :

**PART II - STATUS OF THE PROJECT**

<b>Area of Concern</b>	<b>Status to date</b>
1. Objectives	
2. Target vs. Actual Accomplishment	
3. Fund Disbursement Target Against Actual Cash Disbursements	
4. Over-all Target Timeliness Against Actual Achievements	
5. Major Issues of Project Bottlenecks and Recommended Solutions	
6. Lessons Learned	
7. Best Practices	

Validated by: \_\_\_\_\_ Noted By: \_\_\_\_\_

Field Director

Date

**EXTERNALLY FUNDED PROJECT MONITORING CHECKLIST (FO)**

<b>A. Externally Funded Project</b>	<b>Y</b>	<b>N</b>	<b>P</b>	<b>Remarks</b>
<b>• Fund Status</b>				
1. Utilization is on time based on approved budget in the proposal plan				
2. Fund disbursement is appropriate based on the approved allocation				
3. No unpaid obligations				
4. Financial requirements per unit of activity and time are met on time				
<b>• Project Status</b>				
1. Physical target and Timeframe of each activity are observed				
<b>C. Reporting</b>				
1. Submits periodic status report every quarter				
2. Submits project completion reports				

Legend:

Y – Yes

N – No

P - Partially

Validated by \_\_\_\_\_

Date \_\_\_\_\_

Noted By \_\_\_\_\_

Field Director