



Republic of the Philippines
Department of Social Welfare and Development
Batasan Pambansa Complex, Constitution Hills
Quezon City
Telephone No. 931-8101 to 07

Administrative Order
No. 13
Series of 2007

**Subject: REVISED GUIDELINES IN THE MONITORING AND
EVALUATION OF EXTERNALLY FUNDED PROJECTS**

I. Rationale

In recognition of the need to strengthen the Department in its role given the limited budget, the Department intensified its resource generation efforts to help meet the minimum basic needs of disadvantaged and marginalized sectors of society.

In 2000, the Department issued Administrative Order No. 2, Series of 2000, establishing the External Assistance Office, which is now known as the External Assistance Division of the Policy Development and Planning Bureau, to function as the resource generation and project monitoring arm of the Department. Since then, the Department has implemented projects that were accessed from both foreign (Official Development Assistance) and local funding organizations and institutions such as the National Sector Support for Social Welfare and Development Reform Project, Access to Justice for the Poor Project, *Poder y Propseridad dela Comunidad Project*, Caltex Funded Projects, and SM Funded Projects to name a few.

Due to the increasing number as well as the need to ensure timely and effective implementation of externally-funded projects, the Department issued Administrative Order No. 32, Series of 2004 (DAO-2004-32), titled "*Guidelines in the Monitoring and Evaluation of Externally Funded Project.*" Through DAO-2004-32 a monitoring and evaluation system of externally-funded projects was established providing the donors, management and project implementors with timely information on the status of on-going projects enabling them to immediately address existing or anticipated problems.

However, since the implementation of DAO-2004-32 there were some problems observed in using the prescribed monitoring tools. The major problems are: a) actual accomplishments of some projects are not captured in the design of the monitoring tool; b) absence of performance indicators that will reflect the physical accomplishments of projects; and c) unclear and limited definition of the different types of externally-funded projects and other terminologies. Moreover, projects such as those funded under the UNICEF Country Program for Children and UNFA Country Program, among others, are not covered by DAO-2004-32.

It is in light of these problems that DAO-2004-32 is being revised to effectively monitor and evaluate externally-funded projects.

II. Objectives

- A. To enhance the current monitoring and evaluation system for externally accessed and funded projects;
- B. To provide timely feedback on issues/gaps in the implementation of externally-funded projects for immediate corrective measures and/or management intervention;
- C. To provide a set of project indicators to effectively measure the performance of externally-funded projects;
- D. To distinguish the roles among the Policy Development and Planning Bureau (PDPB), proponent DSWD Office/Bureau/Service/Unit (OBSU), Field Office (FO), and Project Management Office (PMO) in the implementation of the guidelines;
- E. To design a report format that reflects the performance of externally-funded projects; and
- F. To identify best practices, and lessons gained in project implementation in aid of program, project and policy development/enhancement.

III. Definition of Terms

- A. Program - refers to a homogenous group of activities maintained over a period of time necessary for the performance of a major purpose for which the Department is established.
- B. Project - refers to a component of a program designed to respond to certain needs and demands of specific sectors in society. It consists of inter-related activities/interventions/services geared towards attaining specific objectives for a specific geographic area and/or sectors within a well-defined timeframe and with limited resources.
- C. Externally Funded Projects - are projects which funding support and other resource requirements for implementation are not taken from the regular budget of the Department as provided for in the General Appropriations Act. These projects are categorized based on funding source as follows: i) Foreign Funded Projects and ii) Local Funded Projects. (Please refer to Annex A.)
- D. Foreign Assisted Projects - are projects funded through loans and/or grants from Official Development Assistance (ODA) and foreign based individuals or organizations, i.e. Non-Government Organizations, foundations, and civic/religious groups.
- E. Official Development Assistance (ODA) - are assistance in the form of grants and/or loans as well as technical cooperation/assistance provided or shared by bilateral and multilateral institutions to a country meant to enhance relations or to assist in the development of the recipient country.

- F. ODA Projects – are projects which funding and other resource requirements are provided wholly or partially through ODA and implemented by the DSWD.
- G. Local Assisted Projects - are projects funded through loan and/or grant from local based individuals or organizations.
- H. Non-ODA Projects – are projects which funding support and other resource requirements are provided wholly or partially by foreign or local based individuals or organizations that were accessed through the Ahon Bayan Program and other resource generation efforts of the DSWD. These projects may be directly implemented by proponent Local Government Units (LGU), Non-Government Organizations (NGOs), and Peoples Organizations (PO) in coordination/partnership with the DSWD.
- I. Monitoring - is the systematic and continuous/periodic review and overseeing of the implementation of a project to ensure that input deliveries, work schedules, target outputs and other required actions are proceeding according to plan during implementation.
- J. Evaluation - is a process of determining systematically and objectively the relevance, efficiency, effectiveness and impact of a program or project in the light of its objectives. It is an organizational process for improving activities still in progress and for assisting management in planning, programming and decision making. It is carried out prior to implementation (project appraisal), during implementation (on-going or mid-year evaluation, and after completion (terminal and ex-post evaluation).
- K. Bilateral Institutions - are offices/agencies accredited to a specific donor country/government.
- L. Multilateral Institutions - are organizations composed of member governments that do not possess any national identity such as the United Nations, the World Bank, and the Asian Development Bank.
- M. Proponent - An office or organization that identifies, develops, and endorses project proposals on behalf of marginalized sectors/groups to prospective donor agencies for possible financial and technical assistance. Depending on the agreed terms and conditions of the approved project, the proponent is responsible for the monitoring and coordination of the project as well as in providing technical assistance to the project beneficiaries.
- N. Implementing Office/Organization - An office or organization that is primarily responsible for the implementation of the project. This may be DSWD OBSUs, FOs, LGUs, NGOs, and POs.
- O. Project Management Office (PMO) - a unit within an implementing agency, complementing its regular or organic units, directly responsible for the implementation, coordination and monitoring of project activities of an ODA project.

- P. Project Implementation Officer (PIO) – A designated senior official, with the rank of Undersecretary, of an agency implementing ODA project(s). This is in pursuance to the Office of the President's Memorandum dated November 2000 directing all government agencies implementing ODA funded projects, either through loans or grants, to designate a PIO to ensure that ODA projects are implemented in accordance with the funding agencies' requirements.
- Q. Ahon Bayan Program (ABP) - is the resource generation and mobilization strategy of the DSWD that seeks to expand the delivery of social welfare and development services to marginalized sectors. Under the ABP, feasible projects of partner LGUs, NGOs, and POs needing external resource accessing are matched with prospective donors for funding and technical cooperation.

IV. Coverage

The guidelines shall cover all externally-funded projects accessed by the DSWD and implemented by either the DSWD OBSUs/FOs and/or partner LGUs, NGOs, and POs.

V. Implementing Procedures

The implementing procedures for the monitoring and evaluation of externally-funded projects are divided into two categories, namely: A) For ODA Projects; and B) For Non-ODA Projects.

A. For ODA Projects

1. All ODA funded projects shall be subject to the supervision of the designated PIO per Administrative Order No. 37, series of 2004, "*Terms of Reference of the DSWD Project Implementation Officer for Official Development Assistance and the Secretariat.*"
2. All PMOs and OBSUs/FOs implementing ODA projects shall be responsible in conducting the following activities:
 - a. Submission of the following project documents to the Policy Development and Planning Bureau - External Assistance Division (PDPB-EAD) as the designated PIO Secretariat within one (1) month upon signing of the Contract/MOA and/or approval of the project proposal/Annual Work Plan.
 - Approved project proposal/Annual Work Plan
 - Signed Contract/Memorandum of Agreement, if any
 - Project Brief using **Form 1-A**
 - Other pertinent documents (including, but not limited to Loan Agreement, Project Appraisal Document, and Project Logical Framework)

- b. Conduct periodic monitoring, desk and/or on-site, of the ODA project(s). Actual site visit shall be conducted at least once every semester or depending on the Monitoring and Evaluation (M&E) Plan of the project by the assigned focal person. The Monitoring Checklist **Form 2** may serve as a guide in the conduct of the monitoring.
- c. Prepare a quarterly status report of the ODA project using **Form 3-A** and submit to the PDPB-EAD, five (5) working days after the end of the reported quarter.
- d. Participate in the annual Official Development Assistance (ODA) Projects Conference convened by the PIO every first semester of the year to review the status of on-going and completed ODA projects as a basis for determining the Department's overall ODA performance. The ODA Projects Conference serves as a venue for sharing of innovative practices and lessons learned as well as for mainstreaming of best practices of successfully completed ODA projects to the Department's regular programs and services.
- e. Prepare and submit a project completion report upon culmination of the project to the donor agency, copy furnished PDPB-EAD. The report shall be in accordance to the timeframe and format required by the donor agency. However, in case there are no specific schedule and report format required by the donor agency, the PMO or Implementing OBSU/FO shall prepare a project completion report using **Form 4** to be submitted to the donor agency within one (1) month, copy furnished PDPB-EAD.
- f. Conduct post project evaluation within two (2) months after the culmination of the project in coordination with the donor agency, PDPB-EAD, and other concerned OBSUs of the Department. The PMO/implementing OBSU/FO shall submit a copy of the proceedings of the evaluation to the PIO, copy furnished PDPB-EAD, within fifteen (15) working days after the said activity.

In case the funding for this activity is not included in the project budget, the OBSU/FO shall provide the required funds for this activity and/or include it in their respective year-end evaluation.

- g. As applicable, prepare ODA Portfolio using the NEDA's prescribed format and submit same to PDPB-EAD for review to ensure that all forms are properly accomplished and all information are in accordance with NEDA requirements.

B. For Non-ODA Both Foreign and Local Assisted Projects

1. Submission of Basic Project Documents

- a. The implementing office/organization shall submit the following documents to the proponent DSWD OBSU/FO for ready reference:

- Approved project proposal/Annual Work Plan,
- Signed Contract/Memorandum of Agreement (MOA), if any; and
- Project Brief using **Form 1-A**.

The said documents shall be submitted within one (1) month upon signing of the Contract/MOA and/or approval of the project proposal/Annual Work Plan.

- b. In case the DSWD OBSU/FO is both the proponent and implementing office/organization, the documents shall be submitted to the PDPB-EAD.
2. The proponent DSWD OBSU/FO shall prepare and submit a semestral Consolidated Project Profile and Monitoring Schedule using **Form 1-B** summarizing all on-going externally-funded project(s) scheduled for monitoring within the succeeding semester. This shall be submitted to PDPB-EAD seven (7) working days before the reported semester.
 3. The assigned focal person of the proponent DSWD OBSU/FO shall conduct on-site monitoring of externally-funded project(s) at least once every quarter. The Monitoring Checklist **Form 2** may serve as a guide in the conduct of the monitoring. This report shall provide information on the immediate issues and problems that need to be addressed as well as actual accomplishments of the project.
 4. Preparation and Submission of the Project Status Report
 - a. All implementing office/organization shall prepare and submit a status report of the project on a quarterly basis using **Form 3-A** to the proponent DSWD OBSU/FO three (3) working days after the reported quarter. This report shall provide the latest status and performance of externally-funded projects in terms of financial and physical accomplishments.
 - b. For projects directly implemented by the DSWD OBSU/FO, the concerned office shall be responsible in preparing the quarterly project status report.
 - c. For projects with specific status/monitoring report format required by the donor agency, the implementing office/organization shall still be required to prepare the status report using **Form 3-A** to be submitted to the proponent DSWD OBSU/FO along with a copy of the report submitted to the donor agency.
 - d. The quarterly status report shall be submitted during the entire duration of the project. However, for infrastructure-related projects (e.g. water system, road, multi-purpose buildings, etc), submission of status report shall only be made during the construction phase and at the first six (6) months of the project operation phase.

- e. The proponent DSWD OBSU/FO shall prepare a consolidated status report using **Form 3-B** of all externally-funded projects within their respective region/jurisdiction and submit to PDPB-EAD within seven (7) working days after the reported quarter.

5. Preparation and Submission of Project Completion Report

- a. Upon culmination of the project, the implementing office/organization shall prepare and submit a Project Completion Report using **Form 4** within a month to the donor agency, copy furnished proponent OBSU/FO and PDPB-EAD. For projects implemented by the DSWD OBSU/FO, the concerned office shall submit the report duly signed by the Regional/Bureau Director within a month to the donor agency, copy furnished PDPB-EAD.
- b. The project completion report will also depend on the requirements of the donor agency in terms of schedule of submission and report format which, in such case, the required schedule and format by the donor shall be observed by implementing office/organization.
- c. The following criteria shall serve as a guide in determining whether or not a project is already completed. If the project has met at least three (3) of the given indicators, the project is deemed completed.
 - The project has reached the defined project duration as agreed upon by the donor agency, implementing office/organization, and project beneficiaries;
 - The project has met the physical targets in relation to the project objectives;
 - The project has fully disbursed the approved funding vis-à-vis work and financial plan; and
 - All project activities/components were accomplished based on the project design/work plan.

6. Conduct of Post Project Evaluation

- a. The proponent DSWD OBSU/FO shall conduct a post project evaluation not later than two (2) months after the culmination of a project. In case the approved budget of the project does not include post project evaluation, the OBSU/FO shall provide the required funds for this activity and/or include it in their respective year-end evaluation.
- b. The evaluation shall determine the performance of a project in terms of implementation process, accomplishment of objectives and expected outputs, issues/problems encountered, lessons learned, and recommendations.
- c. The proponent DSWD OBSU/FO shall coordinate this activity with the implementing office/organization, donor agency, and PDPB-EAD.

- d. The proponent DSWD OBSU/FO shall submit a copy of the proceedings of the project evaluation to PDPB-EAD within fifteen (15) days after the said activity.

VI. Institutional Arrangements

A. Roles of the Proponent OBSU/FO

1. Provide technical assistance to the implementing office/organization in the preparation and submission of the required documents and reports;
2. Provide technical assistance to the implementing office/organization in project management; and
3. Report to the donor agency and the PIO, through the PDPB-EAD for consolidation of the reports, urgent project issues/problems for immediate action.
4. Conduct project mid-term assessment, if necessary.
 - a. The conduct of a mid-term assessment will depend on the nature, situation, or status or condition of the project such as when there are major deviations in the work and financial plan or if there are urgent issues/problems that need to be resolved.
 - b. The OBSU/FO shall coordinate with the implementing office/organization and PDPB-EAD in determining whether or not there is a need to conduct a mid-term assessment.

B. Roles of the PMO of ODA Project(s)

1. Prepare ODA Portfolio in coordination with the PDPB-EAD.
2. Coordinate with the PDPB-EAD in the conduct of monitoring of ODA project(s).
3. Submit semestral report on the status of ODA project(s) to the PIO, through the PDPB for consolidation and other required documents.
4. Conduct project mid-term assessment.
5. Participate in the annual ODA Projects Conference and/or Project Implementation Review organized by the PDPB-EAD.

C. Roles of the PDPB-EAD

Relative to the oversight function of the PDPB-EAD on externally-funded projects, it shall undertake the following activities:

1. Participate in the on-site monitoring of externally-funded projects conducted by the proponent/implementing OBSU/PMO at least once a year or once during the implementation of the project and provide a

feedback to the donor agency within ten (10) working days after the monitoring visit;

2. Review the quarterly status report of all externally-funded projects, particularly the physical and financial performance, and issues/problems encountered as basis for technical assistance.
3. Prepare a semestral consolidated report of Externally-Funded Projects accessed by the Department for submission to the EXECOM through the Undersecretary for Policy and Programs Group within fifteen (15) working days after the reported semester.
4. Participate in the monitoring and mid-term project assessment whenever necessary of externally-funded projects.
5. Review project evaluation reports and recommend for mainstreaming best practices observed and replication of successful projects.
6. Maintain a database of all completed projects.
7. Perform the following monitoring tasks as stipulated in Administrative Order No. 37, series of 2004, "*Terms of Reference of the DSWD Project Implementation Officer for Official Development Assistance and the Secretariat.*"
 - a. Consolidate reports needed in the preparation of the annual DSWD ODA Portfolio.
 - b. Identify and consolidate projects issues and concerns that need to be addressed by the PIO and correspondingly provide advice to the PIO on the resolution of such issues and concerns.
 - c. Undertake an annual ODA Projects conference for sharing and mainstreaming of ODA concerns, best practices, etc.

VII. Effectivity

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

Done this 6th day of August, 2007, Quezon City


DR. ESPERANZA I. CABRAL
Secretary

Attachments:

- Form 1-A - Project Brief
- Form 1-B - Consolidated Project Profile and Monitoring Schedule
- Form 2 - Monitoring Guide
- Form 3-A - Quarterly Status Report
- Form 3-B - Consolidated Status Report
- Form 4 - Project Completion Report
- Annex A - Externally-Funded Projects Diagram
- Annex B - List of Possible Indicators of Projects Per MFO

**EXTERNALLY FUNDED PROJECTS
Project Brief**

A. Basic Information

1. Project Title : _____
2. Name of Proponent (Contact person, address and number)S : _____
3. Implementing Office : _____
4. Partner Agency(ies) : _____
5. Project Site/Coverage : _____
6. Project Duration : _____
7. Project Start and End Date : _____
8. Total Project Cost : _____
9. Funding Agency : _____
10. Approved Funding Amount : _____
11. GOP Counterpart (if applicable) : _____
12. DSWD Counterpart (if applicable) : _____
13. Local Community Counterpart : _____
14. Financing Type (e.g. grant, loan) : _____

B. Background of the Project

C. Project Objectives

D. Area Coverage and Beneficiaries

E. Proposed Interventions

F. Proposed Implementation

G. Project Activities, Timeframe, and Budget

H. Budget

1. External Budget

2. GOP/DSWD Counterpart

Note: Please limit the project brief to three pages

Prepared by : _____ Date: _____

Noted by : _____
Head of Implementing Office

Form 1-B

(To be accomplished by the FO/OBSU Focal Person)

EXTERNALLY FUNDED PROJECTS
Consolidated Project Profile and Monitoring Schedule
 ___ Semester, CY ___
 Field Office ___/OBSU

A. Project Profile

Project	Proponent	Implementing Office	Partner Agency	Project Site/ Coverage	Project Duration	Project		Total Project Cost	Funding Agency	Approved Amount	Counterpart		Financing Type
						Start	End				GOP	LC	

B. Monitoring Schedule

Name of Project/s	Monitoring Schedule for this Semester					
	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6

Prepared by : _____ Date: _____
 Name and Signature
 Designation

Noted by : _____
 Regional/Bureau Director

**EXTERNALLY FUNDED PROJECT
Monitoring Guide for Technical Staff**

Project Title : _____
Date Monitored : _____

Item	Accomplishment		Variance/Remarks
	Target	Actual	
A. Project Activities/Output/Indicators			
B. Financial 1. Fund disbursement 2. Monthly amortization (for microfinance projects)			
C. Outstanding Issues/Problems			
D. Other observations/findings (i.e. Best practices, areas for improvement, etc)			
E. Recommendations			

Conducted by: _____
 Signature over printed name
 Position/Designation

Date: _____

**EXTERNALLY FUNDED PROJECT
 Status Report
 ___ Quarter, CY ___**

Date: _____

Project Title: _____

I. Project status

A. Fund disbursement

Amount received (a)	Fund disbursed this period (b)	Balance (c=a-b)	Variance/Reason

B. Accomplishment as against Project Indicators

Project indicators (Project output)	Target	Actual accomplishment	Variance/Reason

C. Accomplishment as against Project Work Plan

Project Activities (Project inputs)	Timeframe	Actual Accomplishment	Variance/ Reason	Actions required by Office/Person Responsible

II. Problems encountered

Problems Encountered	Actions taken/Recommendations	Office/Person Responsible

III. Plans for next reporting period

Planned Activities	Schedule	Office/Person Responsible	Estimated Budget

Prepared by : _____
 Signature over Printed Name Position/Designation

Noted by : _____
 Head of Implementing Office

Form 3-B
 (To be accomplished by the FO/OBSU Focal Person)

EXTERNALLY FUNDED PROJECTS
Consolidated Status Report
 ___ Quarter, CY ___

Field Office ___/OBSU

A. Project Status

Fund Disbursement

Name of Project	Amount Received	Amount Disbursed	Balance	Variance/ Reason (if any)

Accomplishment as against Project Indicators

Name of Project	Project Indicators	Target	Actual	Variance/ Reason (if any)

Accomplishment as against Project Work Plan

Name of Project	Planned Activities	Timeframe	Actual Accomplishment	Variance/Reason	Actions required by Office/Person Responsible

Form 3-B

(To be accomplished by the FO/OBSU Focal Person)

B. Problems Encountered

Name of Project	Problems Encountered	Actions Taken/Recommendations	Office/Person Responsible

C. Plans for the next Reporting Period

Name of Project	Planned Activities	Schedule	Office/Person Responsible	Estimated Budget

Prepared by : _____
Signature over Printed Name
Designation/Position

Date: _____

Noted by : _____
Regional/Bureau Director

PROJECT COMPLETION REPORT

Date: _____

I. Basic Information

1. Project Title : _____
2. Name of Proponent : _____
3. Project Area : _____
4. Project Duration : _____
5. Project Start and End Date : _____
6. Total Project Cost : _____
7. Approved Funding Amount : _____
8. Local Counterpart : _____
9. Name of Donor Agency : _____
10. Financing Type (e.g. grant, loan) : _____

II. Project Background

- A. Goals and objectives
- B. Project components and implementation schedule
- C. Outputs
- D. Project management
- E. Project costs

III. Project Implementation

- A. Operating performance
- B. Financial performance

IV. Conclusions

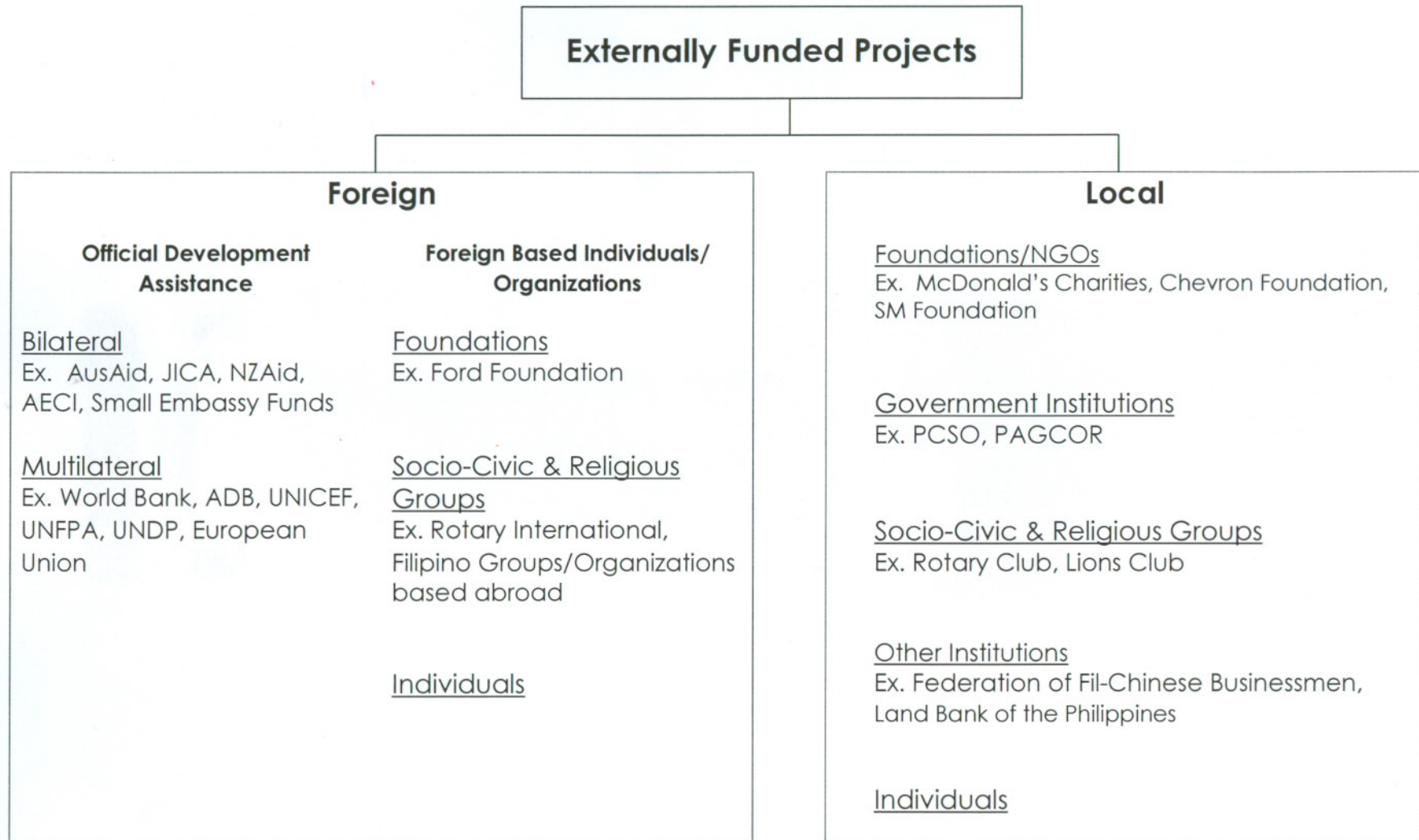
- A.. Focus, impact, milestone

V. Recommendations

Prepared by : _____
Signature over Printed Name

Noted by : _____
Head of Implementing Office

Annex A – Fund Sources of Externally Funded Projects



List of Possible Performance Output Indicators of Projects Per MFO

MFO/Project	Indicators
I. Services relating to formulation and advocacy of SWD Plans, Policies and Programs	
A. Development of Manual, Program, or Policies	<ul style="list-style-type: none"> • Number of manual developed • Number of technical staff trained on the manual (ex. Impact Assessment Manual)
B. Expert dispatch	<ul style="list-style-type: none"> • Number of manual/system developed by consultant • Number of studies conducted by consultant
II. Standards setting, licensing and accreditation services	
A. Conduct of training/seminar	<ul style="list-style-type: none"> • Number of NGOs provided training/seminar on accreditation
B. Development of advocacy/information materials on accreditation	<ul style="list-style-type: none"> • Number of IEC materials developed
C. Standards Development	<ul style="list-style-type: none"> • Number of SWD standards/guidelines developed
III. Support services and technical assistance to intermediaries	
A. Conduct of training/workshop on project development	<ul style="list-style-type: none"> • Number intermediaries provided training on project development
IV. Direct SWD services to community and center-based clients	
A. Livelihood	
<ol style="list-style-type: none"> 1. Capital loan assistance 2. In-kind assistance (e.g. vehicle, tools, equipment, push-carts, etc.) 3. Capability building 	<ul style="list-style-type: none"> • Number of individuals provided seed capital • Number of individuals provided in-kind livelihood assistance • Number of individuals attended livelihood skills training
B. Health and Basic Social Services	
1. Supplemental Feeding	<ul style="list-style-type: none"> • Number of children enrolled • Number of children that gained weight (based on pre and post weight exam)
2. Free medical/dental services (for continuing projects only)	<ul style="list-style-type: none"> • Number of individuals provided medical services
3. Transportation assistance (for continuing projects only)	<ul style="list-style-type: none"> • Number of individuals provided transportation assistance
C. Educational Scholarship and Skills Training	
1. Vocational/Scholarship Assistance	<ul style="list-style-type: none"> • Number of individuals provided scholarship
2. Mobile classroom	<ul style="list-style-type: none"> • Number of individuals provided services
3. Early childhood care and development (for continuing projects only)	<ul style="list-style-type: none"> • Number of parents attended trainings and seminars on parent effectiveness

D. Agricultural Productivity

- | | |
|--|--|
| 1. Farming assistance (e.g. seed, tools, equipment assistance) | • Number of households provided farming assistance |
| 2. Livestock dispersal (e.g. cow, swine) | • Number of households enrolled in the project |

E. Advocacy and Information Campaign

- Number of orientations/seminars conducted
- Number of advocacy materials produced and distributed

F. Infrastructure and basic utilities*

- | | |
|---|---|
| 1. Shelter assistance | • Number of housing units constructed |
| | • Number of beneficiaries provided housing assistance |
| 2. Water System | • Number of households provided access to water |
| 3. Electrification | • Number of households provided electricity |
| 4. Road construction | • Length (in kms.) of road constructed |
| 6. Construction of training center/DCC/Multi-purpose building | • Percentage of structure completed |

* Project indicators can also be derived on the program of works
