Memorandum Circular No. 04
Series of 2014

TITLE: GUIDELINES IN THE OPERATIONALIZATION OF THE UNIFIED RESULTS-BASED MONITORING AND EVALUATION SYSTEM

I. Rationale

The mandate of the Department of Social Welfare and Development (DSWD) evolved through time from being a direct provider of social welfare services (E.O. 123, S. 1987) to indirect delivery of these services through provision of technical assistance to the Local Government Units except for "the maintenance and operation of centers and institutions nationwide" (R.A. 7160). In subsequent issuances, the mandate of the Department was expanded to include administrative supervision and control of attached agencies primarily involved in protecting the welfare of children, youth, women, family and older persons. In Section 2 under Roles of DSWD in Executive Order No. 15, S. 1998, it states that for DSWD to fulfil its responsibility in providing assistance to LGUs, the DSWD shall, among others, serve as "the monitor and evaluator of the implementation of policies, plans and programs on family welfare and development and poverty alleviation efforts in the SWD sector".

With the increasing budget and manpower of the Department to ensure that its programs, projects and services are effectively and efficiently managed, along with the implementation of big ticket projects, not only of the Department but of the entire Administration, a robust monitoring and evaluation which can provide evidence-based information on the programs being implemented is thus required and indeed very necessary.

At the context of the Philippine Government, under the initiative of National Economic Development Authority, through its Project Monitoring Staff, the current Philippine Development Plan (2011-2016), for the first time, has a companion document which contains the Results Matrices (RMs) of the Plan Chapters. The formulation of these RMs are based on the principles of results-based management/results-based Monitoring and Evaluation. Continuing efforts are being done to refine the performance indicators and link these with the Agencies' MFOs.

Results-Based Management (RBM) as defined in the literature is a management approach and a set of tools for strategic planning, monitoring and evaluating performance, reporting, and organizational improvement and learning. Results based management improves organizational performance by applying traditional tools such as strategic planning, results frameworks, monitoring and program evaluation in the modern context of decentralization, networking, flexibility, participatory processes and accountability.

RBM is governed by principles that have an important bearing on the methodology, the focus, organization system and role of leadership in the process. At the core of results thinking is the

methodology of the Results Chain, which is a schematic illustration of the intended causal relationship among various elements overtime.

II. Background

Since 2008, the Department through the National Sector Support for Social Welfare and Development Reform Project (NSS-SWDRP) made an assessment on the existing systems, processes and protocols of DSWD. One of the major findings identified in the evaluation was the absence of a department-wide M&E System in assessing the performance of the Department as a whole. The current M&E system in the Department was identified as project-based. (Lanzona, 2008)

In view of this, Memorandum Circular (MC) 22, S. 2009 entitled DSWD Monitoring and Evaluation Framework was issued which provided the basis for a two-pronged Department-wide M&E System. This was further highlighted in the DSWD Reform Agenda (RA) of 2010 wherein under RA 4: Improving Delivery Systems and Capacities, the establishment of a well-defined Monitoring and Evaluation (M&E) System was specified. (MC. 5, S. 2010)

In order to attain this, a dedicated M&E unit at the Policy Development and Planning Bureau (PDPB) was created in 2011, as envisioned in the DSWD Thrusts and Priorities for the said year with the support from the World Bank - assisted Social Welfare Development Project (SWDRP). With the approval and finalization of the M&E Operations Manual which provides for the installation of a unified system for a results-based monitoring and evaluation for the Department, and the creation of dedicated Research, Monitoring and Evaluation Office (RMEO) under the Policy and Plans Group, this Circular is crafted for the adoption of the said Manual and to provide guidance in the implementation of the aforementioned system.

III. Legal Bases

1. **Executive Order No. 15, S. 1998.** Redirecting the Functions and Operations of the Department of Social Welfare And Development – redirects the mandate of DSWD from a direct service deliver to a technical assistance provider as a result of the devolution of basic services which further iterates the role of DSWD as monitor and evaluator of SWD policies, programs and projects.

2. **Executive Order No. 80, S. 2012.** Directing the Adoption of a Performance-Based Incentive System for Government Employees – provides for the need to strengthen performance monitoring and appraisal system based on existing systems like the Organizational Performance Indicator Framework (OPIF) and the Results-based Performance Monitoring System (RBPMS).

3. **Office of the President Administrative Order No. 25, S. 2011.** Creating an Inter-agency Task Force on the Harmonization of National Government Performance Monitoring, Information and Reporting Systems – states the need to rationalize, harmonize, streamline, simplify, integrate and unify the efforts of government agencies relative to the

National Leadership's Agenda, the Philippine Development Plan (PDP) 2011-2016, agency mandates, commitments and targets.

4. **DBM National Budget Circular No. 532, S. 2011.** Guidelines on the Review of Major Final Outputs (MFOs) and Performance Indicators (PIs) and Restructuring of Programs, Activities and Projects (PAPs) – mentions the objective of the Government to use a results-based budgeting system or the OPIF as basis for allocating the budget and monitoring, reporting and evaluating department/agency performance.

5. **DSWD Memorandum Circular No. 5, S. 2010.** The DSWD Reform Agenda – Under RA 4: Improving Delivery Systems and Capacities, the installation of a department-wide M&E system and conduct of risk assessment and impact evaluation.

6. **DSWD Memorandum Circular No.22, S. 2009.** DSWD Monitoring and Evaluation (M&E) Framework – provides that the Department M&E component shall be two-pronged both for organizational performance and for program/project.

7. **DSWD Memorandum Circular No.12, S. 2012.** CY 2013 DSWD Thrusts and Priorities – provides for the synchronization of the existing Monitoring and Evaluation (M&E) Systems into a Department-wide M&E System

IV. Definition of Terms[1]

1. **Development Effectiveness** - The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.

2. **Evaluation** - The systematic and objective assessment of an on-going or completed project, program or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors.

3. **Efficiency or Development Efficiency** - A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.

4. **Impact** - Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

5. **Input** - The financial, human, and material resources used for the development intervention.

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[1] Sources:
OECD-DAC, Glossary of Key Terms in Evaluation and Results Based Management, 2004.
IFAD, Managing for Impact Rural Development, A Guide for Project M&E, 2002.

6. **Logical framework matrix** - Also known as "logframe" or "logframe matrix". A table, usually consisting of four rows and four columns, that summarizes what the project intends to do and how (necessary inputs, outputs, purpose, objectives), what the key assumptions are, and how outputs and outcomes will be monitored and evaluated.

7. **Monitoring** - The regular collection and analysis of information to assist timely decision-making ensure accountability and provide the basis for evaluation and learning. It is a continuing function that uses methodical collection of data to provide management and the main stakeholders of an on-going project or program with early indications of progress and achievement of objectives.

8. **Monitoring and Evaluation (M&E)** - The combination of monitoring and evaluation which together provide the knowledge required for: a) effective project management and b) reporting and accountability responsibilities.

9. **Outcome** - The likely or achieved short-term and medium-term effects of an intervention's outputs.

10. **Outputs** - The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.

11. **Results Chain** - The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts, and feedback. In some agencies, reach or program coverage is part of the results chain.

12. **Results Framework** - The program logic that explains how the development objective is to be achieved, including causal relationships and underlying assumptions.

13. **Results-based Management (RBM)** - A management strategy focusing on performance and achievement of outputs, outcomes and impacts.

14. **Results-based Monitoring and Evaluation (RBME)** - An undertaking to assess the performance of an institution and/or a program or a project, on the basis of outcomes and impacts that the institution and/or the program/project is expected to produce. RBME measures and reports on results. It is seen as a dynamic tool for directing planning and budgeting efforts towards results.

V. Objectives

This Circular aims to officially adopt Results-based Monitoring and Evaluation as an approach in measuring the Department's contribution to development effectiveness. Specifically, it aims to:

1. Institutionalize the adoption of the Unified Results-based M&E System Operations Manual; and
2. Provide guidance to all Offices, Bureaus, and Services, Field Offices and Attached Agencies in the operationalization of the said Manual, focusing on the reporting flow, timelines and institutional arrangements.

VI. Scope and Coverage

The Unified Results-based M&E System identified in this Circular which provides the process for regular monitoring and evaluation on a department-wide level will be implemented by both the Central and Field Offices, including its Attached Agencies. Hence, all DSWD Offices, Bureaus and Services including the Field Offices and Attached Agencies are covered by the provisions of this Circular.

VII. The URBME System

The Unified Results based Monitoring and Evaluation System of the Department is a system for regular monitoring and evaluation of the Results Frameworks of the Department including its various Offices, Bureaus and Services (OBSs), Field Offices (FOs), Programs/Projects and Attached Agencies (AAs) as these contribute to the overall Department-wide objectives, sectoral outcomes and to the societal goal of the Philippine Development Plan (PDP).

A. Elements of the System[2]

Figure 1. Elements of the URBME System
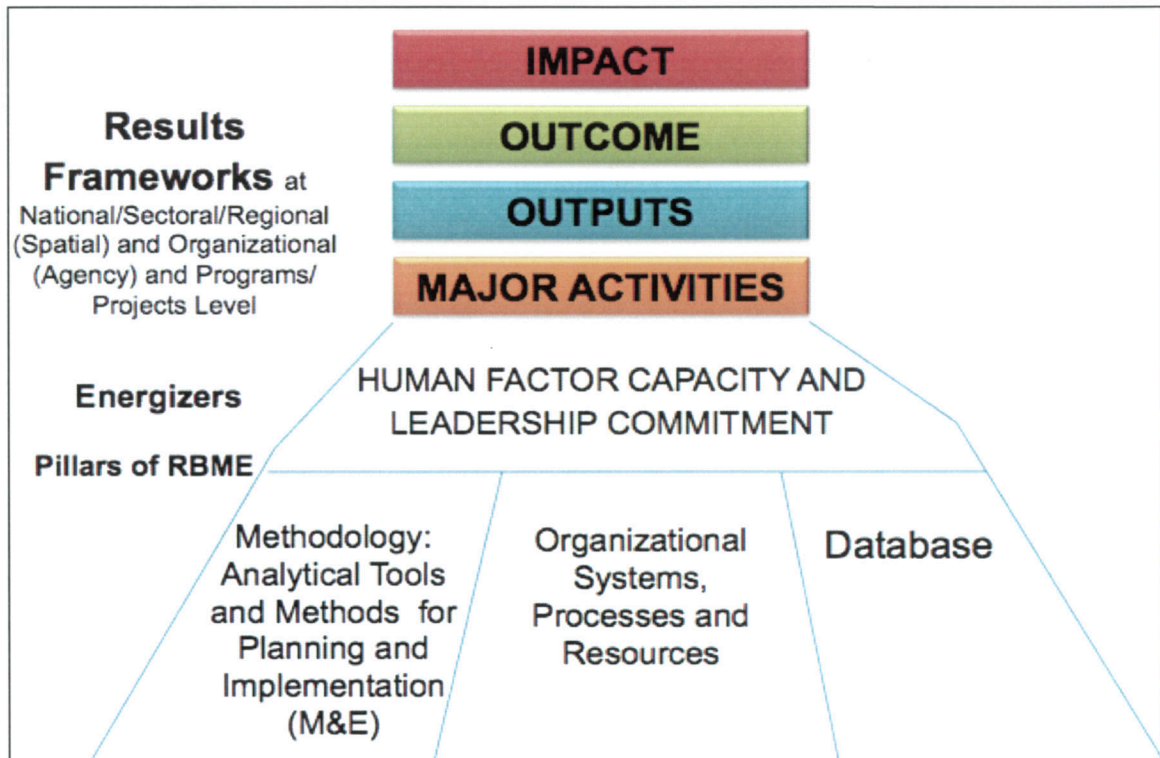
Based on the figure above there are three major elements of the System namely: the Pillars of RBME, the Energizers and the Results Frameworks. The foundation or the pillars of the system are the methodologies and analytical tools on planning and M&E such as the logical framework approach. The enabling organizational systems, processes and resources including the existence of a strong database management are also essential foundations of the system. This enabling condition means that monitoring and evaluation function and performing units/ offices and staffs are available and accorded priority in resource allocation, M&E units are organized and strengthened at each level and the databases are updated and data collection and retrieval systems are available.

The energizers of the system are capacities of the human resource and leadership commitment. This means that RBM&E is officially adopted by management as an approach to measuring the Department's contribution to development effectiveness and a coherent capacity-building plan for M&E staff development is adopted and pursued.

At the top of the system is the Results Frameworks of the Department at various levels. It is expected that the vision and mission of the Department are clearly adopted and reflected in the Department's Results Framework.

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[2] Lifted from the Unified Results-based M&E Operations Manual

B. Procedures and Processes

The URBME System is composed of three major phases and five major stages as presented in the figure below (*See Figure 2*). The system starts with Planning for Results where the drafting and adoption of the Department's Overall Results Framework (see Annex A) and the preparation of the various OBS Results Frameworks as cascaded from the overall framework is delivered. In this phase, the development and finalization of indicators for each level of development results is conducted.

After formulation, adopting and cascading of results frameworks, the M&E for Results takes place (Phase 2). In this phase, results-based M&E planning both at the Department level and at the OBS and FO level happens to be followed by internal assessment and reporting or the assessment of performance at each implementing levels.

The third phase is Managing Performance for Results which mainly focuses on feed-backing of the results for policy and decision-making purposes and knowledge management.

Planning for Results ➡	M&E for Results ➡	Managing Performance for Results

STAGE TWO
3. Identify, Characterize and Select SMART Indicators
Outputs:
URBM&E Form 1
URBM&E Form 1-A

STAGE THREE
4. Planning for M&E
   - Develop indicator documentation sheets
   - Prepare data collection plans
   - Prepare M&E plans
Outputs:
URBM&E Form 2
URBM&E Form 2-A

Figure 2: **The URBME Process Flow**

STAGE ONE
1. Draft and Adopt the Overall Results Framework (ORF)
2. Prepare Results Framework of OBS, FOs and Attached Agencies

STAGE FOUR
5. Assess and Report Performance and Replan
Outputs:
URBM&E Form 3
URBM&E Form 3-A

STAGE FIVE
6. Managing Performance
   - Communicates
   - Feedback
   - Mitigate
   - Network
   - Partner
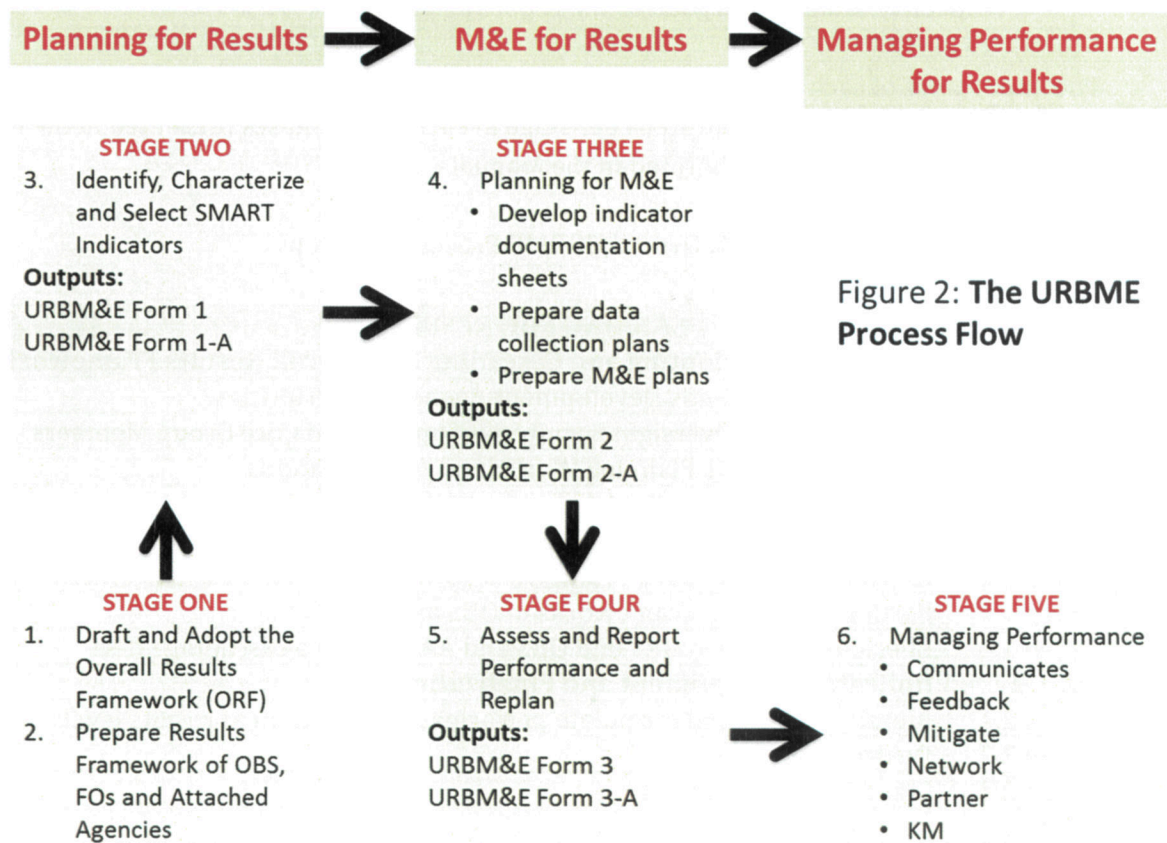   - KM

Generally, there are three major forms both at the Department level and at Offices, Bureaus, Services/Field Offices/Attached Agencies level which serve as outputs of the said system. These are:

- The Overall Results Framework (ORF) (Form 1) is the program logic (input to impact) which contains the objectives or desired results of the Department as a whole. Alternatively, the OBS, FOs, AA Results Framework (Form 1A) is the cascaded framework at their own level anchored on the ORF.

- The Overall M&E Plan (Form 2) provides the basis for monitoring of the Department-wide results framework and reflecting changes or adjustments made from the original baseline and target values. Similarly, the M&E Plan of the OBS, FOs and AAs (Form 2A) is the basis for the monitoring of the OBS, FOs and AAs results frameworks. The M&E Plan also indicates the planned targets on a periodic basis.

- The Overall Assessment Report (Form 3) reflects the summary of performance at each implementing level and recommendations for necessary actions that need to be taken by senior management if there are major deviations in performance. This form also provides the basis for measuring the likelihood of accomplishing results indicators at the outcome levels. This form represents the managing for performance phase of the URB&E system. On the other hand, the Assessment Report of OBS, FOs and AAs (Form 3A) provides an assessment of how the OBS and AAs are performing based on their respective indicator targets for the reporting period.

The importance of each output and the procedures in accomplishing the forms are detailed in the Manual. Table 1 shows the list of steps per stage in each of the phases presented in the earlier figure. These steps are further elaborated in the Manual.

Table 1. Overall URBME Process and Steps

PLANNING FOR RESULTS	
STAGE 1	**Formulating, Adopting and Cascading the Overall Results Framework**
Step 1.1	Set the Department's Development Agenda and Priorities
Step 1.2	Designate M&E Oversight Secretariat Support and Core Group Members
Step 1.3	Organize Strategic Planning Workshops/Consultations
Step 1.4	Endorse to Secretary for Approval
Step 1.5	Issue Department Memorandum Circular
Step 1.6	Cascade Overall Results Framework (ORF) down to the various offices
Step 1.7	Formulate Results Frameworks of OBS and AAs
Step 1.8	Check link between ORF and OBS and AA's RFs in a cascading effect
STAGE 2	**Indicator Development and Finalization**
Step 2.1	Identify, design and formulate performance indicators at results levels
Step 2.2	Design Indicators
Step 2.3	Characterize Indicators
Step 2.4	Assess Indicators
MONITORING AND EVALUATING FOR RESULTS	
STAGE 3	Results-Based M&E Planning
Step 3.1	Prepare the M&E plan documents
	Prepare Indicator Documentation Sheet (IDS)
	Prepare corresponding Data Collection Sheet (DCS) for each indicator
Step 3.2	Design plan for monitoring of assumptions/risks
Step 3.3	Collect data on the indicators
Step 3.4	Process data collected

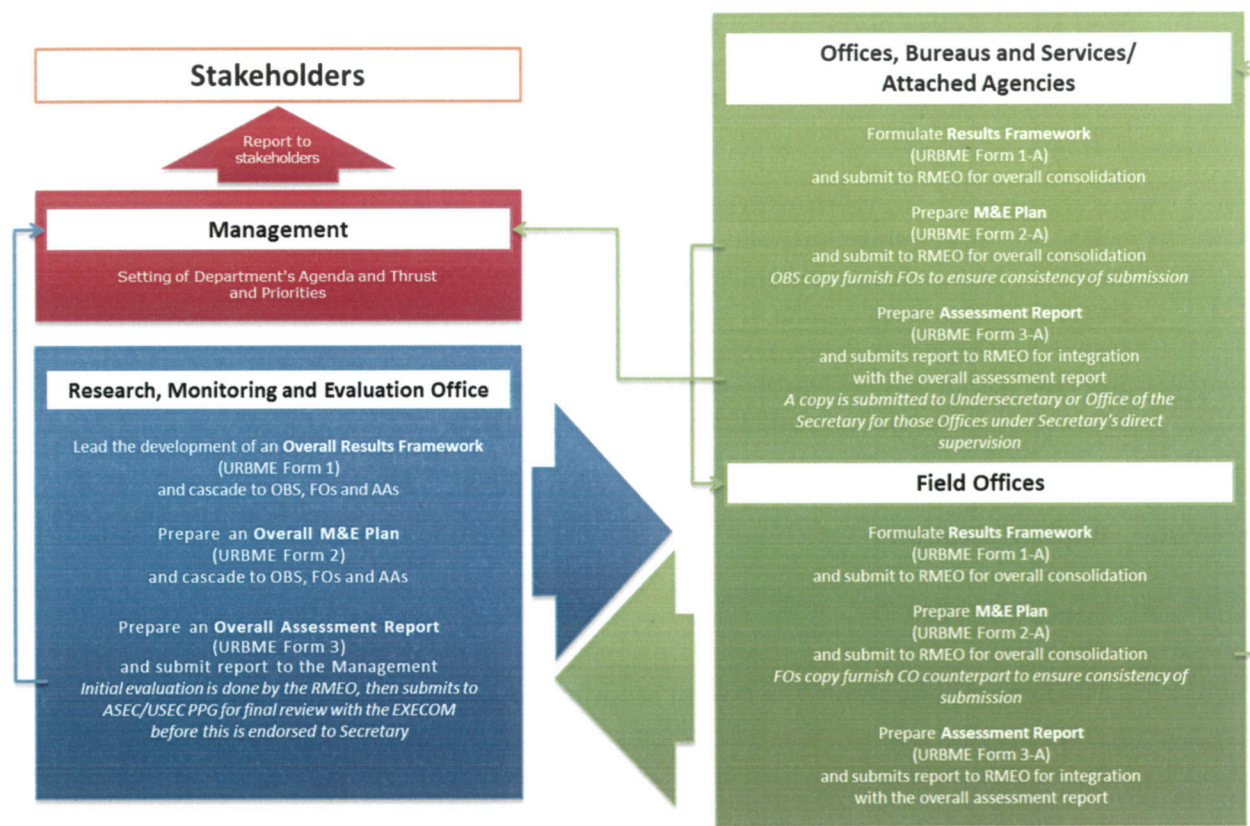|	
Step 3.5	Document/record performance
Step 3.6	Detect unforeseen side effects, especially negative effects
STAGE 4	**Internal Assessment and Reporting**
Step 4.1	Assess performance at each implementing level
Step 4.2	Recommend adjustments based on assessment
Step 4.3	Decide on adjustments
Step 4.4	Decisions taken/made
Step 4.5	Document assessment report in prescribed URBM&E Forms
MANAGING PERFORMANCE FOR RESULTS	
STAGE 5	**Managing Performance for Results**
Step 5.1	Identify accountability roles at each level of management
Step 5.2	Feedback results of actions taken
Step 5.3	Report to external stakeholders
Step 5.4	Cull lessons learned as part of knowledge management
Step 5.5	Observe reporting frequency and timetable

VIII. Implementation

A. Reporting Flow

The figure below shows the flow of reporting under the URBME system.

1. As prescribed by the System, Planning starts with the setting of the Department's Agenda and Thrusts and Priorities by the DSWD Management which serves as the basis for PDPB, RMEO and the Composite M&E Team (CMET) in the development of the ORF.

2. The ORF is cascaded to the OBS, FOs and AAs for the formulation of their own Results Frameworks. The same process goes similar to the development of the Overall M&E Plan vis-à-vis the OBS/FOs/AAs M&E Plans.

3. Subsequently, the OBS, FOs and AAs submit to RMEO their RFs and M&E Plans for overall consolidation. The FOs and OBS provide copies of the reports to (copy furnished) their respective counterparts to ensure consistency of submissions.

4. Consequently, the RMEO will provide the DSWD Management with the evaluation or assessment results for information, policy and decision-making purposes.

URBME Reporting Flow

Stakeholders

Report to stakeholders

Management

Setting of Department's Agenda and Thrust and Priorities

Research, Monitoring and Evaluation Office

Lead the development of an **Overall Results Framework**
(URBME Form 1)
and cascade to OBS, FOs and AAs

Prepare an **Overall M&E Plan**
(URBME Form 2)
and cascade to OBS, FOs and AAs

Prepare an **Overall Assessment Report**
(URBME Form 3)
and submit report to the Management
Initial evaluation is done by the RMEO, then submits to ASEC/USEC PPG for final review with the EXECOM before this is endorsed to Secretary

Offices, Bureaus and Services/ Attached Agencies

Formulate **Results Framework**
(URBME Form 1-A)
and submit to RMEO for overall consolidation

Prepare **M&E Plan**
(URBME Form 2-A)
and submit to RMEO for overall consolidation
OBS copy furnish FOs to ensure consistency of submission

Prepare **Assessment Report**
(URBME Form 3-A)
and submits report to RMEO for integration
with the overall assessment report
A copy is submitted to Undersecretary or Office of the Secretary for those Offices under Secretary's direct supervision

Field Offices

Formulate **Results Framework**
(URBME Form 1-A)
and submit to RMEO for overall consolidation

Prepare **M&E Plan**
(URBME Form 2-A)
and submit to RMEO for overall consolidation
FOs copy furnish CO counterpart to ensure consistency of submission

Prepare **Assessment Report**
(URBME Form 3-A)
and submits report to RMEO for integration
with the overall assessment report

B. Timelines

FORM	SUBMISSION
Form 1. Overall Results Framework	(Submitted twice per Plan Period) Every 15th of January of the initial and middle year of the plan period (e.g. for 2011-2016 Plan Period, first submission is on 15 January 2014)
Form 1A. Offices/Bureaus/Services, Field Offices and Attached Agencies (AAs) Results Frameworks	(Submitted twice per Plan Period) Every 15th of February of the initial and middle year of the plan period (e.g. for 2011-2016 Plan Period, first submission is on 15 February 2014)
Form 2. Overall M&E Plan	(Submitted on an annual basis) Every 15th of March of the initial year of the plan period and revised/updated on an annual basis (e.g. for 2011-2016 Plan Period, since submission of Form 1 which serves as basis for Form 2 is on 15 January 2014 first M&E Plan is on 15 March 2014)
Form 2A. Offices/Bureaus/Services, Field Offices and Attached Agencies M&E Plan	(Submitted on an annual basis) Every 30th of March of the initial year of the plan period and revised/updated on an annual basis

	(e.g. for 2011-2016, first submission is on 30 March 2014)
Form 3. Overall Assessment Report	(Submitted on a semestral basis) Every 30th of July of the current year and 30th of January of the following year (e.g. for 2014 Assessment Report, first submission is on 30 July 2014 and second submission on 30 January 2015)
Form 3A. Offices/Bureaus/Services, Field Offices and Attached Agencies Assessment Reports	(Submitted on a semestral basis) Every 15th of July of the current year and 15th of January of the following year (e.g. For 2014 Assessment Reports, first submission of OBS and AA is on 15 July 2014 and second submission on 15 January 2015)

A) Activities required for the preparation of each of the form as detailed in the manual should be done at least three months ahead of the schedule of the submission of the said forms. For example, in the preparation of the Overall Results Framework, RMEO should have conduct the workshops during the last quarter of the previous year prior to the year of the submission of the said form.

B) Reporting for the indicators under the refined MFOs and performance indicators will still be done on a quarterly basis, per the requirements of the oversight agencies, legislators, and other stakeholders.

C) Continuous capacity building activities and technical sessions should be done by the RMEO all throughout the implementation period.

C. Institutional Arrangement

1. Research, Monitoring and Evaluation Office (RMEO) – The RMEO shall spearhead the overall implementation of the URBME System as prescribed in the Operations Manual. Particularly, it shall:
   a. Lead in the development of the Overall Results Framework (ORF), and along with this it shall:
      a.1 Assist in the development of the Department's Development Agenda and Priorities, in collaboration with the Office of Strategy Management (OSM) and PDPB
      a.2 Assist the OSM in organizing Strategic Planning Workshops/ Consultations
      a.3 Cascade the ORF down to the various offices
      a.4 Check link between ORF and OBS and AA's RFs in a cascading effect
      a.5 (With the CMET) Identify, design and assess performance indicators at the Department's results levels

   b. Develop the Overall M&E Plan, and along with this it shall:

b.1 Prepare the M&E plan documents (IDS and DCS) for the Department's overall results framework

b.2 (With the CMET) Design plan for monitoring of assumptions/risks

b.3 Collect and process data on the indicators reflected in the ORF

b.4 Document/record performance at results level

b.5 Detect unforeseen side effects, especially negative effects

c. Prepare the Overall M&E Assessment Report, and along with this it shall:

    c.1 Consolidate and assess performance of each Office and its contribution to the organizational performance

    c.2 Recommend adjustments based on assessment made

    c.3 Document assessment report in prescribed URBM&E Forms

    c.4 Take note of lessons learned and good practices and forward such to CBB to form part of the knowledge product/s for sharing

d. Assist in managing performance for results, and along with this it shall:

    d.1 Report to external stakeholders the findings on M&E

    d.2 Observe reporting frequency and timetable prescribed in this Circular and in the Manual

e. Allocate funds for the operationalization of the URBME System at the Central Office level; and

f. Serve as the secretariat of the working group (1.a) responsible for technical support, coordination and information sharing on M&E of the Department, and along with this it shall:

1.a **Composite Monitoring and Evaluation Team (CMET)** – As created under Special Order No. 601, Series of 2012, the CMET, composed of representatives from all OBS and nearby Field Offices (FOs NCR, III and IV-A) being the Department's working group on M&E, shall:

    1.a.1 Ensure coordination, data sharing, tracking and monitoring within and across OBS in the Department; and

    1.a.2 Attend regular meetings and actively participate on M&E activities, CMET being a venue to discuss issues and challenges on M&E experienced by each OBS.

The Undersecretary for PPG shall remain Chairperson of the said working group.

In addition to their functions as members of the CMET, the following are the respective roles of the concerned Offices in operationalizing the system:

2. **Policy Development and Planning Bureau (PDPB)** – The PDPB shall be the major partner of the RMEO in the operationalization of the said system. Particularly, the PDPB shall:

a. Assist in the development of the Overall Results Framework (ORF), and along with this it shall:

      a.1 Participate in the development of the Department's Development Agenda and Priorities, in collaboration with the Office of Strategy Management (OSM) and RMEO;

      a.2 Participate with the OSM in organizing Strategic Planning Workshops/ Consultations; and

      a.3 Draft Memorandum Circular on the Agency Thrusts and Priorities.

3. **Office of Strategy Management (OSM)** – The OSM, in partnership with the PDPB, shall assist the DSWD Management in setting the Department's Agenda and Priorities. As the lead Office assigned to conduct strategic planning for DSWD, it shall organize, with the assistance of the PDPB and RMEO, strategic planning workshops and/or consultations relative to the development of the Overall Results Framework of the Department. The OSM is also responsible in installing risk assessment and risk management plan, per M.C. 11 Series of 2012.

4. **Capacity Building Bureau (CBB)** – The CBB as the main Office responsible for enhancing the competencies of DSWD staff and partners shall:

      3.1 Prepare M&E Capability Building Plan for the Department, in partnership with the RMEO;

      3.2 Facilitate/manage the conduct of the capability building activities indicated in this plan; and

      3.3 Ensures that relevant M&E findings form part of knowledge products for sharing.

5. **Information and Communication Technology Management Service (ICTMS)** – The ICTMS shall:

      4.1 Develop the Information and Communication Technology (ICT) Plan of the URBME system, in partnership with the RMEO; and

      4.2 Administer/manage the ICT component of the URBME system, in close coordination with the RMEO.

6. **Social Marketing Service (SMS)** – The SMS shall:

      5.1 Formulate the RBME Communication Plan, in collaboration with the CMET, along the critical stages of the URBME system, particularly communicating the goals stated in the Department's Overall Results Framework and the results and findings reflected in the Overall Assessment Report.

7. **Internal Audit Service** – The IAS shall:

      7.1 Conduct process audits to check if the OBS and FOs comply with the requirements along the implementation of the URBME System as indicated in this Circular and in the Manual.

8. **All Offices/Bureaus/Services (OBS), Field Offices (FOs) and Attached Agencies (AAs)** – All OBS, FOs and AAs shall commit to implement the URBME system and in particular, shall:

7.1   Assist in the development of the Department's Development Agenda and Priorities

7.2   Participate actively in the strategic planning workshops/consultations in the development of the Overall Results Framework

7.3   Formulate their respective results frameworks (Form 1A)

7.4   Identify, design, characterize and assess the performance and operational indicators at their own results levels

7.5   Prepare the M&E plan documents (Form 2A), including the IDS and DCS, for their own results frameworks

7.6   Design plan for monitoring of assumptions/risks of the results/objectives at their level

7.7   Collect and process data on the indicators reflected in their OBS/FO/AA results frameworks

7.8   Document/record performance at implementation and results level

7.9   Detect unforeseen side effects, especially negative effects to their own monitoring plans

7.10 Assess performance at each implementing level and recommend and decide on adjustments based on assessment

7.11 Document assessment report in prescribed URBM&E Form (Form 3A)

7.12 Prepare a list of capability building activities needs on M&E for their respective OBS

The discussion on the operationalization of these activities, processes and steps are further detailed in the URBME Manual.

7.a. Field Office (FO) Implementation

At the FO level, the **Planning Unit**, as the RMEO counterpart in the region, shall spearhead the implementation of the URBME system at the FO and in particular shall:

7.a.1   Initiate the formulation of the FO Results Framework and M&E Plan;

7.a.2   Consolidate, review, analyse and package the assessment reports of the FO Units;

7.a.3   Submit to the Regional Director the FO Assessment Report for onward submission to RMEO;

7.a.4   Facilitate meetings and/or workshops necessary in the attainment of expected outputs;

7.a.5   Form an M&E technical working group or Regional CMET to serve as a venue for M&E discussions in the region; and

7.a.6   Serve as secretariat of the Regional CMET.

Capacity Building Unit (CBU)

7.a.7   The CBU shall prepare an M&E capability building plan for the region and submit the same to the Capacity Building Bureau in the Central Office.

Each Unit in the FO shall:

7.a.8   Assist the Planning Unit in the development of the FO Results Framework and M&E Plan;

      7.a.9   Prepare and submit their Assessment Reports and/or their own results frameworks and M&E Plans; and

      7.a.10 Participate actively in the M&E Activities organized by the FO.

In view of this, the FOs shall designate an M&E Officer at the Planning Unit to serve as the M&E Focal Person of the region and shall allocate funds for the operationalization of the URBME System at the FO level.
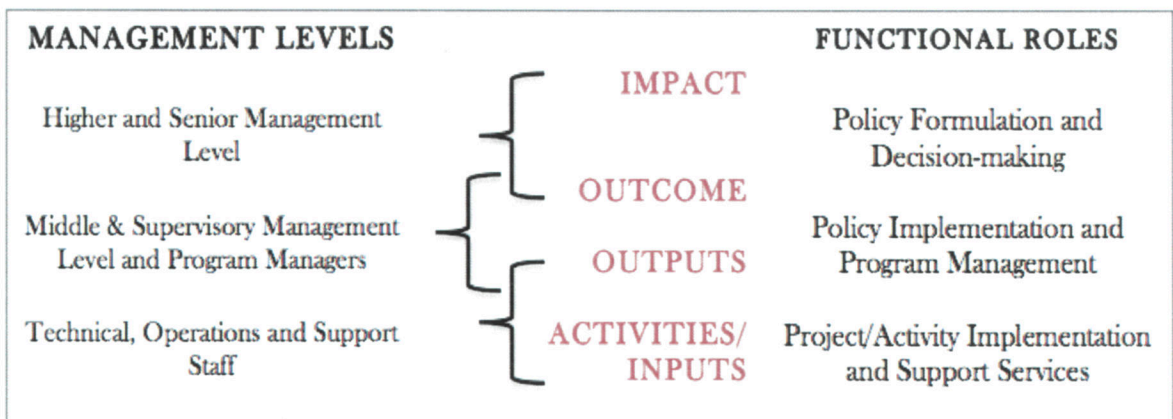
7.b. Attached Agencies

For the attached agencies, the reports/forms are expected to come from the Planning Office of each agency. In such, the attached agency's Planning Office shall:

      7.b.1   Prepare and submit the required forms as prescribed in this Circular (Forms 1A, 2A, 3A); and

      7.b.2   Facilitate meetings and/or workshops in their agency necessary in the attainment of expected outputs.

IX.   Utilization of Output

1. The findings of the assessment/evaluation, must lead to action or decision on the part of the relevant levels of management. The results framework itself pinpoints the responsible/accountable officers at each level of the objectives hierarchy. The accountability roles are shown in the figure below.

MANAGEMENT LEVELS		FUNCTIONAL ROLES
	IMPACT	
Higher and Senior Management Level		Policy Formulation and Decision-making
	OUTCOME	
Middle & Supervisory Management Level and Program Managers	OUTPUTS	Policy Implementation and Program Management
Technical, Operations and Support Staff	ACTIVITIES/ INPUTS	Project/Activity Implementation and Support Services

At each management level, attention should focus on important Assumptions/Risks of the results framework since these are normally the factors, which can hinder realization of the objectives as reflected in the targets. In results management, it is also necessary to identify what are the critical issues and how these could be addressed or managed at the outset of its occurrence before it becomes a festering problem.

2. The results of the evaluation and the actions/decisions taken on the findings or recommendations should be feedback to the relevant offices, implementers and affected stakeholders.

3. The consolidated performance reports and the agency reports including the programs and projects provide the information required in preparing the Annual Accomplishment Report of the Department. This report is disseminated to oversight agencies, the Office of the President/Presidential Management Staff, Congress, DSWD's intermediaries and other stakeholders. This is in addition to periodic and special requests from the same external stakeholders.

4. The evaluation results should be treated as lessons learned and an integral part of knowledge management. The findings of M&E and decisions taken by management on issues that were raised and reported and addressed become an integral part of knowledge sharing among the implementers and planners within DSWD (e.g. good practices).

X. Effectivity

This Circular shall take effect immediately upon issuance and supersedes previous issuances inconsistent herewith.

Issued in Quezon City, this 7th day of March 2014.

CORAZON JULIANO-SOLIMAN
Secretary