Memorandum Circular
No. 22
Series of 2009

SUBJECT: DSWD MONITORING AND EVALUATION (M & E) FRAMEWORK

I. INTRODUCTION

The Reform Agenda (RA) has laid down the niche of the Department of Social Welfare and Development (DSWD) that is to be at the forefront of the social protection (SP) sector. With the heavy involvement in the two components of SP, namely the social welfare and social safety nets, it is important to strengthen its technical capacity as well as establish a comprehensive monitoring and evaluation system in order to determine the achievement and impact of the RA and its relation to institutional and organizational development.

With the internal assessment conducted by the Department through the National Sector Support for Social Welfare and Development Reform Project (NSS-SWDRP), challenges needed to build capacities and synergies to enable the Department to lead and steer amidst varying demands in social protection were identified. One of the challenges identified is the absence of a department-wide monitoring and evaluation system. This is one of the weaknesses in establishing a comprehensive assessment of the programs and projects as well as performance of the DSWD. The establishment of an M & E system shall be used in the Department's assessment of its performance vis-à-vis the reform agenda and the major final outputs (MFOs).

The current monitoring and evaluation functions of M & E system in the DSWD is being undertaken by the respective unit with key result areas of monitoring and evaluation. It can be described as project-based and limited to a small amount of information, particularly cost-effectiveness of the outputs (Lanzona 2008). Thus, establishment of the M & E was included in the Reform Agenda, particularly under RA 4 which is Improving Delivery Systems and Capacities. A comprehensive M & E will then provide the Department with a mechanism to measure the progress which both internal and external stakeholders can interact with one another in arriving at appropriate policies, programs and projects.

II. DESCRIPTION

The establishment of M & E in the Department can be put in place as a development management system that would track the progress or changes in the Departments' performance over time. M & E measures organizational

- RA 1: Engaging the sector in establishing strategic and results-oriented policies in social protection
- RA 2 : Providing faster and better social protection programs
- RA 3: Introducing financial reforms to sustain the reform process
- RA 4: Improving delivery systems and capacities

The M & E would look into the implementation of the Reform Agenda pillars which emphasized the following strategic outputs:

- Effective policies and sustainable programs
- Clear and effective communications
- Empowered LGUs, NGOs, POs and other stakeholders
- Better relationship with partners in social protection

III. DEFINITION OF TERMS

- **Monitoring** is the systematic collection of data to provide management, donors and other stakeholders with an indication of project or program progress. It is a process of determining if the target inputs, activities and/or outputs are being achieved on time (Source: Monitoring and Evaluation Report of Dr. Leonardo Lanzona and Harvey Buena Consultant of National Sector Support for Social Welfare and Development Project, 2008).

- **Evaluation** is the systematic and objective assessment of an ongoing or completed project or program, including its design, implementation, and results. It is a process of determining if the target effects, outcomes and/or impacts are achieved. Evaluation leads to more informed decisions, allowing those involved in the project or program to learn from experience and to be accountable to donors and stakeholders (Source: Monitoring and Evaluation Report of Dr. Leonardo Lanzona and Harvey Buena Consultant of National Sector Support for Social Welfare and Development Project, 2008).

- **Monitoring and Evaluation** refer to the whole process of assessing progress of a program/project/activities towards its results (Source: Basic Concept on Monitoring and Evaluation, Chapter 2, PASSIA Seminars document).

- **Indicator** is a quantitative or qualitative factor or variable that provides a simple and reliable basis for assessing achievement, change or performance (Source: Basic Concept on Monitoring and Evaluation, Chapter 2, PASSIA Seminars document).

- **Logical Framework** is a management tool that aims to promote good project design by clearly stating the defined project logic and components

- **M & E Action Plan** consists of detailed information and targets to implement the M & E process (Source: Brief Guide to Action Planning with M & E Components, Development Center for Asia Africa Pacific, 2009)

- **M & E Logmap** provides the framework for the action plan. It shows the element and the ingredients of a program/project. It also shows that the objective which contains the effects, outcomes and impacts are to be evaluated, the inputs, activities and outputs are to be monitored (Source: Brief Guide to Action Planning with M & E Components, Development Center for Asia Africa Pacific, 2009)
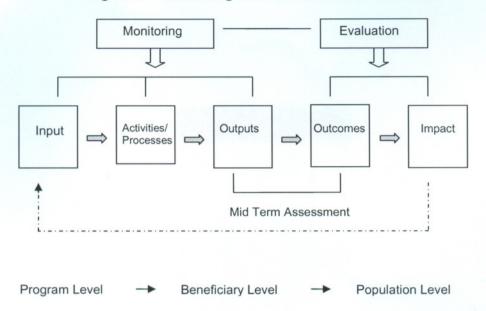
IV. LEVELS OF M & E

The following are the different levels of program/project M & E:

- Inputs are necessary to produce the intended results of a program/project (e.g. human resources, financial resources, equipments).

- Activities/processes refer to different steps in the implementation of programs/projects (e.g. training sessions conducted).

- Outputs are the immediate results of the activities conducted (no. of people trained, kilometer of roads built).

- Outcomes are the medium term results of one or several activities (e.g. efficiency, effectiveness, productivity, capacity, access)

- Impact refers to the highest level of results. It generally refers to the overall goal or goals of the program/project (e.g. reduced poverty, reduced malnutrition).

V. M & E FRAMEWORK

The Department M & E component shall be two-pronged, the first shall be for organizational performance and the second is for program/project. This is to ascertain how an organization performs in terms of management, productivity, efficiency and overall performance.

Figure 1 – Monitoring and Evaluation Framework

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    ┌──────────────┐              ┌──────────────┐
    │  Monitoring  │──────────────│  Evaluation  │
    └──────┬───────┘              └──────┬───────┘
           ▼                             ▼
  ┌────────────────────────┐   ┌────────────────────────┐
┌───────┐  ┌──────────┐  ┌───────┐  ┌──────────┐  ┌────────┐
│ Input │⇒ │Activities/│⇒│Outputs│⇒ │ Outcomes │⇒│ Impact │
│       │  │Processes │  │       │  │          │  │        │
└───┬───┘  └──────────┘  └───┬───┘  └────┬─────┘  └────────┘
    ▲                        └────────────┘
    │                         Mid Term Assessment
    └─────────────────────────────────────────────┘
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Program Level ➔ Beneficiary Level ➔ Population Level

The above diagram (Figure 1) shall be the framework for both the performance and program/project M & E of the Department. M & E have distinct function, however, they are in a way interrelated. It primarily deals with the tracking of qualitative and quantitative data pertaining to program/project/performance inputs and outputs while evaluation focuses on whether the expected outcomes and impacts were achieved.

- **The Logical Framework**

        The logical framework (LogFrame) helps to clarify Objectives and Goals of any project, program or policy. It leads to the identification of performance indicators at each stage of the chain: inputs, processes, outputs, outcomes and impact. The LogFrame serves as a useful tool for results monitoring and evaluation to review progress and take corrective action especially if the programs/projects/activities (P/P/As) are experiencing slippages in achieving the desired results.

- **Program / Project Indicators**

        It is important to identify key indicators to establish quantitative or qualitative measurements for each of the objectives especially for the outcomes and impact level.

A. Performance M & E

        The devolution of power to the local government units allows for more participatory processes that render poverty reduction programs to be more responsive to the needs of the community. Consequently, this demands a shift in the roles of the DSWD. The issuance of Executive Order 15 as amended by Executive Order 221 magnified the roles of the Department as leader in social welfare and development.

The shift requires an equally strategic focus on institutional strengthening and management to ensure that the development and utilization of organizational resources, capacities and competencies are geared towards achieving economy, efficiency and effectiveness in corporate performance. Performance monitoring and evaluation require key indicators that will determine if the organization's strategic goals, objectives, vision and values are achieved.

The performance of the Department shall be monitored through the existing performance indicators as reflected in the Major Final Outputs (MFOs) which consist of four areas that were classified based on the Department's mandate. Its output indicators laid emphasis on the services provided to the clientele group of the Department. It is a tool to evaluate performance vis-à-vis budget allocation.

Monitoring the Department's performance is done annually. On the other hand, impact evaluation which is either a long or medium-term is done every three or five years to evaluate the Department's performance. Monitoring and evaluation will focus on program implementation as regard to the achievement of the Department's MFOs, Reform Agenda, contribution to the achievement of the Medium-Term Philippine Development Plan (MTPDP), Millennium Development Goals (MDGs) and various international commitments.

With the recent Reform Agenda, the Department takes the task of providing leadership role in the social protection sector. To carry out its mandate, the following objectives and their corresponding performance measures are to be used to monitor the implementation and effectiveness of the Department's strategies, determine the gap between the actual and targeted performance as well as determine its operational efficiency. Attached is the logframe for the Department showing the goals, objectives, verifiable indicators, means of verification and assumptions/risks pertaining to the Department's internal and external environment.

- **Objectives and Performance Indicators**

  Objective 1: Poverty Reduction by improving the outcomes of basic social welfare and development services in reducing vulnerabilities and improving welfare of the poorest and marginalized groups through targeted programs and coherent and effective social policies.

  - Percent or number of households assessed for the National Household Targeting System for Poverty Reduction (NHTSPR)
  - No. of agencies utilizing the NHTSPR database
  - Percent or number of poor families included in SWD programs/projects
  - Percent or number of LGUs with Social Protection and Development Report
  - No. of SWD-related social policy researches conducted
  - No. of social protection policies and programs formulated and implemented at the national and local levels
  - Functional harmonized system of accreditation/licensing/registration

- Percent or no. of SWDAs, DSWD and LGUs complied to social welfare and development standards

Objective 2: Improved Governance and Capacity Building in order to improve service delivery of basic social assistance and social protection through integrated reforms at national and local level.

- Percent or no. of intermediaries and partners provided technical assistance on analysis, design, implementation, monitoring and evaluation of social protection programs
- Percent or no. of DSWD staff / intermediaries trained
- Pilot-testing/implementation of Social Protection Handbook to percent or no. of LGUs
- Percent or no. of LGUs assessed through a systematic diagnosis and provided with appropriate technical assistance/capacity building and monitoring of performance
- Percent or no. of SWD policies implemented/adopted at the LGU level
- Percent or no. of LGUs and NGOs provided incentives/recognition for exemplary performance/best practices
- Operational classification system for the LGUs as basis for program interventions
- Functional performance-based system for devolved programs and resources
- Operational Monitoring and Evaluation (M & E) system
- Percent or no. of visit by DSWD staff, partners and stakeholders to the Knowledge Management Portal

Objective 3: Empowering the poor and increasing their opportunities to address causes of vulnerabilities by improving the demand side of social service access.

- Percent or no. of households/families provided services through different programs and projects of DSWD
- Percent or no. of coverage of social protection programs/services vis-à-vis target beneficiaries
- No. and scope of social protection programs addressing specific risks/vulnerabilities
- Initiatives to address risks/vulnerabilities
- Community/citizen engagement in poverty reduction programs

B. Program/Project M & E

The results of monitoring of program and project inputs and outputs are useful tool in the evaluation process. It also provides feedback to the monitoring system to improve indicators and other components of the monitoring process. Similarly, the result of the impact evaluation provides relevant information to program/project inputs as basis for policy decisions, program enrichment, expansion, replication, development of social technologies and for further research and study. Meanwhile, some program/project evaluation only establishes the interventions being

undertaken in making a difference. Results presented are the achievement of the overall goal or goals of the programs/projects.

VI. M & E Action Plan and Logmap

The M & E Action Plan will serve as a guide in the annual plan implementation of the M & E of the Department. It provides as basis to work on strategies for each level of M & E and assist in implementing the M & E framework. It includes priority action on how each M & E level will be reviewed and monitored to include various components such as resources, technical competencies, activities, timeframe of data collection and analysis, frequency of reporting, dissemination and use of findings. This will be in a matrix form containing the following parts: the beneficiaries/stakeholders; the objectives or the effects or outcomes the project wants to achieve; the outputs, activities, inputs, responsible unit/staff and the timeline. (Please refer to Annex A). The Action Plan contains major components such as the physical and financial forms (Please refer to Annex A.1) which will serve as a monitoring and evaluation tool, to determine how much of the target outputs (physical), activities (process) and/or inputs (financial) have been achieved during the period.

On the other hand, a logmap will provide the framework for the M & E Action Plan. It shows the elements and the objective which are to be monitored and evaluated (Please refer to Annex B). It was designed as an alternative to the logframe for a more user-friendly tool.

VII. EFFECTIVITY

This Memorandum Circular shall take effect immediately upon its approval.

Issued this 9th day of December 2009 in Quezon City, Philippines.

DR. ESPERANZA I. CABRAL
Secretary

DSWD – OSEC

In Replying Please Cite: R0000016164

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MONITORING AND EVALUATION (M & E) LOGICAL FRAMEWORK MATRIX

Goal : Reduced Poverty Incidence and Improved Quality of Life

OBJECTIVE		VARIABLE/INDICATOR	MEANS OF VERIFICATION	ASSUMPTION
OPIF / Major Final Output (MFO)	Reform Agenda			
Impact				
Improved Capacity and Increased Opportunities for the Poor, Vulnerable and Disadvantaged Sector	Poverty reduction by improving the outcomes of basic social welfare and development services	- Percent or no. of households assessed for the National Household Targeting System for Poverty Reduction (NHTSPR) - *No.of agencies (NGAs, LGUs, NGOs) utilizing the NHTSPR database* - Percent or no. of poor families included in SWD programs/projects - Percent or no. of LGUs with Social Protection and Development Report - No. of SWD-related social policy researches conducted - No. of social protection policies and programs formulated and implemented at the national and local levels - Functional harmonized sytem of accreditation/*licensing*/registration - *No. or percent* of SWDAs, DSWD and LGUs complied to social welfare and development standards	> NHTSPR Baseline Database > Social Protection and Development Report (SPDR) > Inventory of SWD researches > Inventory of social protection laws and policies > *Inventory of agencies utilizing the NHTSPR database* > Annual/semestral/quarterly accomplishment report > Administrative Order/Department Order/Memorandum Circular > *Inventory of local legislations/ ordinances passed/adapted/ implemented* > *Updated list of SWDAs complying to SWD standards*	>Utilization of the National Household Targeting System for Poverty Reduction >Adoption of the SP Framework >Roll-out of the SPDR to FOs and LGU level > MTEP budget allocation for researches and social protection programs > *Compliance of SWD standards by all SWDAs*
	Improve governance and capacity building	- Percent or no. of intermediaries and partners provided technical assistance on analysis, design, implementation, monitoring and evaluation of social protection programs - Percent or no. of DSWD staff/intermediaries trained - Pilot-testing/implementation of Social Protection Handbook to Percent or No. of LGUs - Percent or no. of LGUs assessed through a systematic diagnosis and provided with appropriate technical assistance/capacity building and monitoring of performance - Percent or no. of SWD policies implemented/ adopted at the LGU level - Percent or no. of LGUs and NGOs provided incentives/recognition for exemplary performance/best practices - Operational classification system for the LGUs as basis for program interventions	> Report on capability buildings conducted > Annual/semestral/quarterly accomplishment reports > LGU social protection and development report > Performance Assessment Report > Monitoring and Evaluation Report > SWD related local policies/ ordinances adopted at the LGU level	> Capacity building plan for DSWD Intermediaries/ Development Partners >LGU compliance to SPD report >Regular reporting & monitoring >Rationalized allocation of budget for SWD P/P/As

OBJECTIVE		VARIABLE/INDICATOR	MEANS OF VERIFICATION	ASSUMPTION
OPIF / Major Final Output (MFO)	Reform Agenda			
	Empowering the poor and increasing their opportunities	- Functional performance-based system for devolved programs and resources - Operational Monitoring and Evaluation (M & E) System - Percent or no. of visit by DSWD staff, partners and stakeholders to the Knowledge Management Portal - Percent or no. of households/families provided services through different programs and projects of DSWD - Percent or no. of coverage of social protection programs/services vis-à-vis target beneficiaries - No. and scope of social protection programs addressing specific risks/vulnerabilities - Initiatives to address risks/vulnerabilities - Community/citizen engagement in poverty reduction programs	>*Result of* client satisfaction survey > Results of Focused Group Discussions (FGDs) > Local social welfare and development report > *LGU Scorecard* > *LGU Annual Investment Plan* > *Inventory of organized local structures*	> Continue the pro-poor programs with the change/ new administration > *Rationalized allocation and utilization of budget for SWD sector*
Outcomes				
Responsive Policy Environment for Social Welfare and Development Concerns	Reduction of Poverty and Reduction of Vulnerabilities	- Reduced poverty incidence	> FIES 2009 > Social Protection and Development Report > NHTSPR Report > *4Ps report* > *KALAHI-CIDSS report* > Local SWD situationer	> Continue the pro-poor programs with the change/ new administration
Strengthened Capacity and Increased Resources of Intermediaries Sector	Social Protection Protecting the Poor & Vulnerable from Risks	- Enhanced LGU capacity and fiscal performance to deliver SP programs/projects - *No. or % of LGUs/SWDAs capacity and fiscal performance to deliver SP programs and projects*	> Local Development Plans > Local Annual Investment Programs > Report on the number of SWDAs assessed for registration and license to operate > Report on the number of SWDAs assessed and issued Certificate of Accreditation	> Commitment of LGUs to SWD programs and services
Empowered/Protected Poor Disadvantaged and Vulnerable Individuals, Families and Communities	Mitigate Pressures on Households	- *No. or % of family/HH provided/extended programs/projects*	> Agency Performance Reports	> Policies are geared towards strengthening social protection to the poor and vulnerable
Outputs				
Policies, Plans and Programs Formulated/Enhanced/Implemented	Formulation of Operational Social Protection Framework Establishment of a National Household Targeting System for	- *No. of* SP policies formulated/enhanced/ implemented - *No. of* SP programs/projects developed/ implemented	> SDC Resolution No. 1 > AO 232, AO 232-A > D.O. No. 1 s. 2008 > Social Pact on Social Protection	> Social Protection is the overarching social development thrust of the administration

OBJECTIVE		VARIABLE/INDICATOR	MEANS OF VERIFICATION	ASSUMPTION
OPIF / Major Final Output (MFO)	**Reform Agenda**			
	Poverty Reduction Social Protection Handbook	- *No. of* Operational SP Framework		
Standards Formulated: License and Accreditation Issued/Implemented/ Enforced	Strengthen regulatory functions to ensure standards and quality assurance	- *No. of* clear standards formulated for quality implementation of SP programs & services	> "Seal of Excellence" Award/ Recognition > Developed incentive system for performing LGUs/NGOs	> Strong partnership with partners/intermediaries > Functional ABSNET
	Codification of all existing policies and ensure easy access by partners and intermediaries	- *No. of* harmonized system of accreditation developed	> Accreditation System *Tool*	
	Development of incentive system for performing LGUs/NGOs	- *No. of* performance-based system for devolved programs and resources implemented - No. of SWD standards developed - No. of auxiliary SWDAs registered - No. of SWDAs registered and licensed - No. of SWA programs and services accredited - No. of DSWD centers and institutions monitored - No. of LGU centers and facilities monitored - No. of Senior Citizen Centers accredited - No. of Service Providers accredited - No. of SWDA monitored	> LGU Performance Reports/Reports on Best Practices > *Masterlist of Intermediaries Registered/Licensed and Accredited*	
Training and Capability-Building, *Technical Assistance* and Resource Augmentation Provided to Intermediaries	Capability building of management and staff CB-TA to LGUs	- No. of trained staff (internal) - No. of trained implementers (external)	> Core group of specialists/experts > Capacity Building Plan & *Accomplished Report*	> Support of management on TARA
Appropriate SWD Services Delivered to Community and Center-Based Clients	Service delivery models	- *No. of appropriate SWD models developed* - *No. of best practices documented and replicated*	> SWD models replicated by partners on social protection	> Harmonized delivery models in place
Inputs				
MFO 1 - Services Relating to the Formulation and Advocacy of SWD Plans, Policies and Programs	RA 1 - Engaging and leading the sector in establishing strategic and results-oriented policies in social protection	Major Final Output (MFO) 1	> MFO Reporting Forms	> MFOs continue to respond to the mandate and functions of the Department
MFO 2 - Standards Setting, Licensing, Accreditation and Compliance Monitoring	RA 2 - Providing faster and better social protection programs	Major Final Output (MFO) 2	> MFO Reporting Forms	

OBJECTIVE		VARIABLE/INDICATOR	MEANS OF VERIFICATION	ASSUMPTION
OPIF / Major Final Output (MFO)	Reform Agenda			
MFO 3 - Provision of Technical Assistance and Capability Building to Intermediaries	RA 3 - Introducing Financial Reforms to Sustain the Reform Process		> MFO Reporting Forms > MTEP Report	
Training and Capability Building Program - Central Office (SWIDB)	RA 4 - Improving Delivery Systems and Capacities	Major Final Output (MFO) 3 Major Final Output (MFO) 2	> Institutional Development Report > MIS Report > M & E Report	
Provision of technical assistance and related services to Intermediaries - Field Offices Social Protection and Promotion of Right and Welfare of the Poor, Vulnerable and Disadvantaged				
- Augmentation and Support Services to Intermediaries of Social Welfare and Development Program and Activities for Distressed and Displaced Individuals, Families and Communities in Especially Difficult Circumstances including Victims of Disasters and Calamity				
MFO 4 - Provision of Services for Community and Center Based Clients - Protective and Rehabilitation Services for Community and Center-Based Clients		Major Final Output (MFO) 4	MFO Reporting Forms - Centers and Institutions	
- Foreign Assisted Project KALAHI-CIDSS		Major Final Output (MFO) 4 C	- FAPs Report	
MFO 5 - Strategic Support Services		Major Final Output (MFO) 5	- MFO Reporting Forms	

File: local disk\m & e\logical framework matrix
as of July 8, 2009/Oct 21, 2009

Department of Social Welfare and Development
Monitoring and Evaluation (M & E) Action Planning Form

ACTION PLAN						
Beneficiaries/Stakeholders	Objective	Output	Activities	Input	Responsible Unit/Staff	Timeline
250 farmers	To improve knowledge of 250 farmers on water management through training	250 farmers trained on water management	10 training sessions conducted	P250,000	Department of Agriculture	January 2 to May 30, 2010

Department of Social Welfare and Development
M & E Physical and Financial Monitoring Form

Outputs/Activities/Inputs	Physical			Financial			REMARKS
	Target	Actual	% Acc	Target	Actual	% Acc	

Department of Social Welfare and Development
Monitoring and Evaluation (M & E) Logmap

	AGENCY		COMMUNITY	
INPUTS	**ACTIVITIES**	**OUTPUTS**	**OUTCOMES**	**IMPACTS**
- Management - Manpower - Money - Materials - Machines - Manhour - Message	- Technical Assistance - Conduct training sessions	- Technical assistance report - Training design developed - Trained staff	*Personal* - Knowledge - Attitude - Skills *Organizational* - Efficiency - Effectiveness - Productivity - Performance - Quality - Access - Empowerment	*Societal* - Reduced poverty - Reduced malnutrition - Increased employment