

INDEPENDENT PROGRESS REVIEW (IPR) OF THE TECHNICAL ASSISTANCE FACILITY (TAF) FOR SOCIAL PROTECTION REFORMS

**FINAL REPORT
29 NOVEMBER 2013**

**REY GERONA
IPR CONSULTANT**

AID ACTIVITY NAME	PHILIPPINES SOCIAL PROTECTION INITIATIVE		
AID WORKS INITIATIVE NUMBER	INI428		
COMMENCEMENT DATE	3 FEBRUARY 2009	COMPLETION DATE	30 JUNE 2015
TOTAL AUSTRALIAN \$	\$AUD15,503,266.01		
TOTAL OTHER \$			
DELIVERY ORGANIZATION(S)			
IMPLEMENTING PARTNER(S)	DEPARTMENT OF SOCIAL WELFARE AND DEVELOPMENT (DSWD)		
COUNTRY/REGION	PHILIPPINES		
PRIMARY SECTOR	EDUCATION/SOCIAL PROTECTION		

ACKNOWLEDGMENTS

The IPR Consultant would like to thank the Technical Assistance Unit (TAU) of the Technical Assistance Facility (TAF) led by Mr. Gil Tuparan for their active and constructive participation during the review. Particular thanks go to Mr. Darwin Espinosa for his efforts in arranging interview appointments with the Directors or representatives of the DSWD Offices, Bureaus, Services and Units (OBSUs).

The IPR Consultant would also like to thank Mr. Pablo Renato Lucero of DFAT for providing guidance and support throughout the Review process.

About the IPR Consultant

Mr. Rey Gerona is a licensed civil engineer with a master's degree in rural development and a master's degree in community development. He has more than 20 years of experience in program/project management and governance including results-based monitoring and evaluation (RbME). He has long years of working experience in the Philippines with government organizations including local government units, NGOs and the academe. His international work experiences include Sri Lanka, Thailand, Vietnam and Cambodia. Mr. Gerona has worked with various ODA (Official Development Assistance) organizations such as the AIDAB (then AusAID and now DFAT), CIDA, GTZ (now GIZ), EU, World Bank, IFC, ADB, JBIC and JICA.

CONTENTS

	PAGE No.
EXECUTIVE SUMMARY	6
1 INTRODUCTION	11
1.1 OUTLINE OF THE REVIEW	11
(1) BACKGROUND OF THE REVIEW	11
(2) OBJECTIVES	11
(3) METHODOLOGIES	12
(4) SCHEDULES	13
1.2 OUTLINE OF THE TAF	14
(1) BACKGROUND OF TAF	14
(2) TAF FRAMEWORK AND GOVERNANCE ARRANGEMENTS	14
2 EVALUATION OF TAF'S MID-TERM PERFORMANCE	17
2.1 RELEVANCE	18
(1) TAF ALIGNMENT WITH CURRENT MACRO-POLICY AND NATIONAL STRATEGIC FRAMEWORKS	18
1) ALIGNMENT WITH PHILIPPINE DEVELOPMENT PLAN	18
2) ALIGNMENT WITH AUSTRALIA-PHILIPPINES DEVELOPMENT COOPERATION STRATEGY	18
3) CONSISTENCY WITH THE NEED OF DSWD	19
(2) TAF'S RELEVANCE AS MODEL FOR DONOR HARMONIZATION AGENDA	19
(3) TAF'S ABILITY TO ACCOMMODATE ACTIVITIES THAT SUPPORT SHARED OBJECTIVES	19
(4) EXTENT TO WHICH ACTIVITIES ARE HARMONIZED WITH OTHER DONORS	19
(5) AREAS FOR IMPROVEMENT	19
2.2 EFFECTIVENESS	20
(1) EXTENT TO WHICH TAF'S OBJECTIVES ARE MET	20
1) PROGRESS IN THE PRODUCTION OF EXPECTED OUTPUTS	20
2) PROGRESS IN ACHIEVING INTENDED OUTCOMES	22
• ON ENSURING COMPLEMENTARY AND RESPONSIVE TA ALONG STRATEGIC PRIORITIES	22
• ON ENSURING COORDINATION, ADVISORY AND INFORMATION-SHARING IN PROVIDING TA	23
• ON FACILITATING AND MONITORING TA IMPLEMENTATION	23
3) PROSPECTS OF ACHIEVING DESIRED CONTRIBUTIONS AT GOAL LEVEL	24
(2) EFFECTIVENESS OF TAF IN TERMS OF FUNDING ARRANGEMENT, MODALITY OF DELIVERING SUPPORT AND APPROPRIATENESS OF OVERALL APPROACH	24
(3) CONTRIBUTIONS OF TAF'S ACTIVITIES TO THE ACHIEVEMENT OF TAF'S OVERALL OBJECTIVES	25
(4) STATUS OF TAF'S RISK MANAGEMENT FRAMEWORK	25
(5) CHANGES NEEDED TO ENSURE FULL ACHIEVEMENT OF TAF'S OBJECTIVES	27
2.3 EFFICIENCY	27
(1) PROGRESS IN THE PROVISION OF INPUTS	27
(2) EFFICIENCY IN TERMS OF UTILIZATION OF RESOURCES	29
(3) PROGRESS IN CARRYING OUT TAF ACTIVITIES	30
2.4 SUSTAINABILITY	31
(1) CONTINUITY OF STRENGTHENED PARTNERSHIP	31
(2) TECHNICAL ASPECT OF TAF'S SUSTAINABILITY	32
(3) ORGANIZATIONAL ASPECT OF TAF'S SUSTAINABILITY	32
(4) INSTITUTIONAL ASPECT OF TAF'S SUSTAINABILITY	32
(5) FINANCIAL ASPECT OF TAF'S SUSTAINABILITY	32
2.5 MONITORING AND EVALUATION	32
(1) MONITORING PROGRESS OF IMPLEMENTATION	33
(2) M&E ARRANGEMENTS WITH DSWD IMPLEMENTING UNITS	33

	(3) AREAS FOR IMPROVEMENT	34
	2.6 GENDER AND OTHER SOCIAL SAFEGUARDS	
	(1) TAF'S ADVANCEMENT ON GENDER EQUALITY AND PROMOTION OF WOMEN'S EMPOWERMENT	35
	(2) TAF'S SAFEGUARDS ON CHILD PROTECTION AND DISABILITY	35
	(3) TAF'S ANTI-CORRUPTION PLAN/STRATEGY	35
3	FACTORS AFFECTING TAF PERFORMANCE	36
	3.1 PROMOTING FACTORS	36
	(1) SUPPORTIVE DSWD LEADERSHIP	36
	(2) SUSTAINED INTEREST OF DONORS TO SUPPORT SOCIAL PROTECTION PROGRAMS	36
	3.2 HINDERING FACTORS	36
	(1) LIMITATIONS OF TAF DESIGN AND PLAN	36
	(2) HIGH STAFF TURN-OVER RATE AT TAU	36
4	RECOMMENDATIONS	37
	4.1 ISSUES AND RECOMMENDATIONS FOR IMMEDIATE ATTENTION	37
	(1) DFAT'S FUNDING FOR TAU OPERATIONS WILL END BY JANUARY 2014	37
	(2) TAF FRAMEWORK IS NOT UPDATED YET TO ALIGN WITH THE PRESENT ENVIRONMENTS IT OPERATES	37
	4.2 ISSUES AND RECOMMENDATIONS FOR MEDIUM-TERM ATTENTION	38
	(1) DFAT'S INITIATIVE ON TAF IS FORESEEN TO BE INSTITUTIONALIZED BY DSWD THROUGH THE NEWLY CREATED RGMO OFFICE	38
	(2) OTHER CONSIDERATIONS	38
5	LESSONS LEARNED	39

LIST OF FIGURES, TABLES & BOXES:

Figure 1: Length of Cooperation between DFAT and DSWD on TAF, p.11

Figure 2: Alignment of the IPR Evaluation Framework and the TAF Performance Management Framework, p.12

Figure 3: Summary of Main Activities and Intermittent Schedules of IPR, p.13

Figure 4: Progression of the Human Resource Contributions of DFAT and DSWD at TAU, p.28

Figure 5: Expenditures of TAU and TAF Budget Allocations, p.29

Table 1: Status of Producing Outputs, p.21

Table 2: Number of TAs along TAF Priorities, p.23

Table 3: Status of Risk Events, p.26

Box 1: List of Activities of TAF, p.30

Box 2: Status of TAF Activities, p.31

Box 3: Number of Performance Indicators per Output, p.20

Box 4: Relationship between KRA (Outputs) and Strategic Objectives (Outcome), p.22

Box 5: Evaluation ratings of TAF Performance at Mid-Term, p.35

ANNEXES:

Annex 1- List of Secondary Data Used in the Review

Annex 2- List of Persons Interviewed

Annex 3- List of Evaluation Questions

Annex 4- DFAT's QAI Evaluation Rating Scale

Annex 5- IPR Activities and Schedules

Annex 6- TAF Framework

Annex 7- List of TAs Funded by DFAT's AUD5 million grant

Annex 8- List of TAs Funded by Other Donors, Including DFAT

Annex 9- Learning and Dissemination Plan

ABBREVIATIONS

ADB	Asian Development Bank
APEC	Asia-Pacific Economic Cooperation
AIDAB	Australian International Development Assistance Bureau
ASEAN	Association of Southeast Asian Nations
AusAID	Australian Agency for International Development
CB	Consultative Body
DFAT	Department of Foreign Affairs and Trade
DSWD	Department of Social Welfare and Development
EU	European Union
GIZ	German Society for International Cooperation
GTZ	German Agency for Technical Cooperation
GOA	Government of Australia
GOP	Government of the Philippines
IFC	International Finance Corporation
IPR	Independent Progress Review
M&E	Monitoring and Evaluation
NGAs	National Government Agencies
NGO	Non-Governmental Organization
OBSUS	Offices, Bureaus, Services and Units
ODA	Official Development Assistance
PDPB	Policy Development and Planning Bureau
QAI	Quality At Implementation
RGMO	Resource Generation Management Office
SC	Steering Committee
TA	Technical Assistance
TAF	Technical Assistance Facility
TAU	Technical Assistance Unit
TOR	Terms of Reference
UNICEF	United Nations Children Fund
WFP	World Food Programme

EXECUTIVE SUMMARY

Based on the request of DSWD, Australia-DFAT is supporting the activities of the Technical Assistance Facility (TAF) of DSWD through two separate but related agreements. The first agreement signed in May 2011 is about the operations of the Technical Assistance Unit (TAU), which serves as the Secretariat of TAF. This agreement covers the period from June 2011 to January 2014 (as amended). The second agreement, called a Subsidiary Arrangement, signed on December 2011 is about the DFAT's estimated contribution of AUD\$5 million to TA activities defined by TAF's Steering Committee and approved by DFAT. This agreement covers the period from 2011 to June 2015. The TAF is designed as a mechanism to effectively coordinate technical assistance of various donor organizations and, in the process, capacitate DSWD implementing offices in managing technical assistance. After 28 months of cooperation with DSWD on TAF, DFAT engaged the services of an independent consultant to conduct a review on the progress of TAF implementation. The independent Review was conducted intermittently between October 2013 and February 2014. The Independent Progress Review (IPR) report was finalized on 8 March 2014. In addition to assessing the progress of TAF implementation, the Review was expected to present recommendations to two specific issues: (i) should DFAT extend the funding for TAU operations, and (ii) will DFAT continue providing the remainder of its AUD\$5 million funding for TA activities under TAF.

The cooperation between DFAT and DSWD on TAF is scheduled to end by June 2015. At the time of the Review (October 2013), TAF has only 20 months left to wrap up the cooperation.

How is the TAF Implementation Progressing?

TAF's activities are progressing well although activities relating to TA development and implementation had only taken place in the last 18 months. The first 10 months of TAF implementation can be described as the planning and organizing part, where most activities were spent on staffing the TAU, organizing the TAF's CB and SC, orienting the DSWD's OBSUs and on preparing TAF's 5-Year Strategic Framework and Operation Manual.

HOW RELEVANT IS THE TAF?

At mid-term, the relevance of TAF remains high. Its goal of contributing to improved service delivery of social protection programs to enable the poor overcome poverty and manage risks is consistent with the Philippine Development Plan for 2011-2016 and also consistent with Australia-Philippines Aid Program Strategy for 2012-2017. Its project purpose of coordinating and harmonizing TAs of various donor organizations and, in the process, capacitate OBSUs to manage TAs remains responsive of the current need of DSWD. TAF's relevance as model for harmonizing donors' agenda and TA coordination is also high. At present, there is no other office in DSWD that coordinates and monitors TAs. Since 2012, the PDPB's External Affairs Division is only focusing on ASEAN, APEC and other regional and international agreements and commitments on social welfare. This leaves TAF the only mechanism in DSWD that coordinates TAs of various donor organizations. DSWD values

the relevance of TAF. This is expressed by DSWD's issuance of Memorandum Circular in February 2012 which manifests TAF's trajectory towards the newly created Resource Generation and Management Office (RGMO). TAF's relevance is also strongly demonstrated by the regular invitation of TAU's representative to DSWD's top level Management Committee (ManCom) meetings.

HOW EFFECTIVE IS THE TAF?

Overall effectiveness of TAF is satisfactory. TAF is making evident improvements in coordinating and harmonizing TAs in support of DSWD's social protection programs. TAF is noticeably exerting efforts to capacitate OBSUs by sharing thoughts and information in the process of developing TA proposals, evaluating and marketing them with donors and in monitoring the implementation of approved TAs. In general, the mid-term achievements of TAF are making progress towards achieving its key result outcomes and strategic objectives. As of Review time, the number of TAs for social protection programs increased from only two in 2011 to 28 in 2013, demonstrating the effectiveness of TAF as donors' TA coordination mechanism. Among the 28 TAs, eight are funded by the DFAT's AUD5 million with a total amount of 74.9 million Pesos. This is equivalent to a 37.4% utilization rate.

HOW EFFICIENT IS THE TAF?

Overall, the efficiency of TAF is less than satisfactory. While the budget for TAU operations is well on target, the budget utilization of AUD5 million for TAs is less than 40% with only 20 months to go. As of December 2013, the budget utilization rate for TAU operations is 89% with its remaining budget expected to be fully utilized by January 2014. But the utilization rate of the AUD5 million grant for TA activities is only 37.4% with only eight TA proposals approved and funded. Achieving full budget utilization for the next 20 months of TAF implementation is therefore a tall order for TAF. Nevertheless, the TAF is making progress in achieving most of its outputs despite limitations in monitoring for results like the inadequacy of indicators and targets at the strategic objectives level.

HOW IS THE PROSPECTS FOR TAF'S SUSTAINABILITY?

As far as prospects are concerned, the TAF is sustainable. The Review sees good chances of a continued partnership between DSWD and donor organizations in the implementation of TAs supporting social protection programs. The experiences of implementing 28 TAs (including 8 of them funded by DFAT's AUD5 million) can be considered adequate for OBSU staff to accumulate sufficient knowledge and skills in managing TAs. The TAF is accorded priority attention by DSWD such that DSWD formally created an office in February 2012 which functions include those that are presently undertaken by TAF, thereby institutionalizing the TAF within the DSWD organizational structure. Once operationalized, financial requirements for TAF operations will then become regular features of DSWD's annual budget, thus securing financial sustainability.

HOW IS M&E DONE?

The existing M&E practices and system of TAF is satisfactory. TAF activities are regularly reported formally by TAU monthly and quarterly to DSWD; and annually to DFAT and

Steering Committee (SC) members. Monitoring information is also shared with DSWD authorities during DSWD's Management Committee (ManCom) meetings. For TA implementation, TAU maintains an updated list of TAs but monitoring information is not yet publicly accessible via the internet. While data generated through monitoring is usually found useful, information on the progress of achieving results especially at TAF strategic objectives level is found insufficient. Roles and responsibilities of monitoring TA implementation between TAU and OBSUs are clear but at times gaps in understanding and information however exists.

HOW IS GENDER CONSIDERED?

Gender and other social safeguards of TAF are satisfactory. DSWD is popularly known as one of the leading government agencies in the Philippines that advances gender equality, promoting women's empowerment and safeguarding child protection and disability. DSWD is also one of the few government agencies at present that enjoy high public trust ratings because of its anti-corruption practices embedded in its procurement system. Gender and other social safeguards are already embedded in DSWD programs and most DSWD staff continues to receive gender and development trainings. The Asian Development Bank also has gender-related technical assistance with DSWD. Nevertheless, emphasis and clarity on gender equality advancement and women empowerment should be reflected in the performance and results indicators of TAF.

RECOMMENDATIONS

Originally, the expiry date of the Agreement between DFAT and DSWD concerning TAU operations (Agreement Number 58809) is set on November 2013. This was extended to January 2014, with only 11% of DFAT's budget for TAU operations left as at December 2013. The Review recommends for the extension of DFAT's funding for TAU's operations to coincide with the DFAT's support to TAF originally scheduled for June 2015 (refer to Subsidiary Arrangement dated 2 December 2011). This recommendation is based on the following grounds:

- That the four staff positions funded by DFAT in TAU are key positions that facilitate TAF activities. The staff presently occupying the Senior Technical Officer (STO) position effectively provides direction of TAU activities and effectively links TAF to DSWD management; and DSWD to donor organizations
- That the other three staff funded by DSWD in TAU are not technically prepared yet to assume fully the tasks and activities performed by the four technical staff funded by DFAT funds

The recommendation however is anchored on the condition that DSWD develops a sustainability plan for the eventual assumption of TAU tasks and activities by staff funded out of DSWD's own funds

The first 18 months of implementation had created more challenging situations and had accumulated experiences that offer lessons for a more improved implementation in the future. Also, as discussed in the Report, the insufficiency of verifiable indicators and targets

of TAF's strategic objectives and goal has increased the difficulty of tracking progress and communicating successes of TAF. In view of this, the Review recommends for a revisit of the TAF design framework and accompanying plans with the objective of strengthening TAF project management. This would operationally mean reviewing the existing TAF framework and adjust results indicators appropriate to present situation of TAF. The Review would also include revisiting existing risk management framework and make adjustments such as planning for preventive and contingency actions. Based on the adjusted design, a 20-month plan of operations could then be formulated. This plan could be further elaborated in the annual TAF plan (January-December 2014 and January-June 2015). Based on these adjusted design and plans, a results-based monitoring and evaluation system could then be developed taking into account the existing monitoring and reportorial practices.

The newly created Resource Generation and Management Office (RGMO) in DSWD is envisioned to absorb the functions and tasks of TAF after DFAT's funding. Although created in February 2012, RGMO is not operationally functioning as yet owing to the unavailability of staff and uncertainty on budget allocation. In view of this, the Review recommends for studying the possibility of extending TA to determine the organizational preparedness of RGMO and based on the assessment results; formulate the RGMO results-based framework and operational plan.

In line with the capacity building of DSWD on management of Technical Assistance (TA), the Review recommends for the formulation of a training intervention plan for OBSU staff. Based on the technical gaps identified through a comprehensive assessment process, the training interventions may include the "how tos" of conducting TA needs assessment and analysis, TA planning; concept note/proposal writing and evaluation as well as donors' TA program familiarization and matching; negotiation, formulation of Terms of Reference (TOR) for TA consultants; facilitating procurement of services of consultants; acquittal; monitoring and evaluation of TAs; closing of TAs and learning dissemination.

The existing governance arrangement for the DFAT's AUD5 million grant for TA activities of TAF had kept DFAT Manila Office occupied with oversight and fund management activities, potentially negating the objective of reducing transaction costs on the part of DFAT. On the other hand, the Philippine government's procurement system is tied to long but anti-corrupt processes that could not facilitate quick-disbursements for TAs. In view of this, the Review recommends revisiting the current arrangement and determine the most practical and feasible option about governance arrangement of DFAT's commitment funds of AUD5million for TAs on social protection. The determination should take into account the limited time to disburse the funds within the next 20 months of TAF. In line with this, the Review further recommends studying the possibilities of creating a Sub-Committee within TAF to take on some or all oversight and fund management activities now being undertaken by DFAT-Manila Office. This Committee must be free from the strict guidelines of the Philippine government's procurement system to allow appropriate quick-disbursements for TAs. Furthermore, the Review recommends studying the possibilities of extending the DFAT-DSWD cooperation on TAF to 2016 (last year of the current Philippine Development Plan) or to 2017 (last year of the current Australia-Philippines Development Cooperation Program). Extending the TAF beyond 2015 would not only offer an opportunity to see through the effects and impacts of TAs on the delivery of social protection programs but also to see the

TAF model sustain the momentum for donors' coordination and information-sharing. It is also expected that DSWD will continue to expand its major programs through to 2016.

LESSONS LEARNED

The first 18 months of TAF implementation offer a wealth of lessons about managing, implementing and reviewing of the activities supported by TAF. The Review captures some of them.

In terms of managing TAF-supported activities, support of DSWD's leadership is important. The TAF could have not achieved substantial progress in the first 18 months had the support of DSWD Secretary not extended. The favourable issuances of directives and the continued invitation of TAU's Senior Technical Officer in the DSWD's Management Committee meetings have sustained the promotion and awareness-raising on TAF within the DSWD's bureaucracy. This is expected to result to better coordination and communication among OBSUs.

In terms of implementing TAF-supported activities, the 18-month experience reveals the importance of considering timely adjustments in the TAF design and plans after accumulating some implementation experience. Adjustments could come in the form of verifiable indicators as a result of the environmental changes in which the TAF has to operate.

In terms of reviewing TAF-supported activities, it is important that more interactive, relationship building measures between TAU and OBSUs have to take place as more and more TAs are implemented. In order to maximize the utilization of TAs, it is also important to summarize results of every TA and disseminate the learning to wider audience as possible.

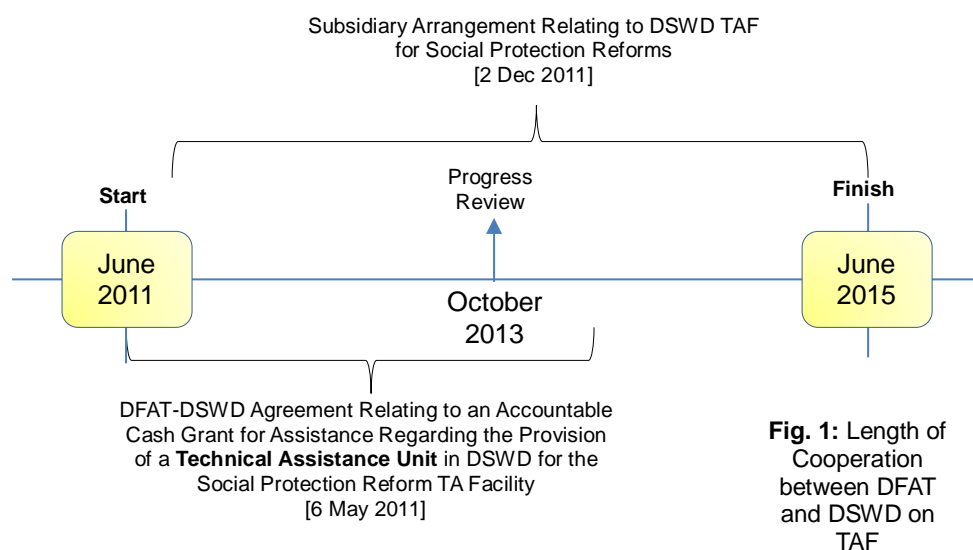
1. INTRODUCTION

1.1 OUTLINE OF THE REVIEW

(1) Background of the Review

Based on the request of DSWD, DFAT is presently supporting the activities of the Technical Assistance Facility (TAF) of DSWD through two separate but related agreements between DFAT and DSWD. The first agreement signed in May 2011 is about the operations of the Technical Assistance Unit (TAU), which serves as the Secretariat of TAF. This agreement covers the period from June 2011 to January 2014¹ (as amended). The second agreement, called a Subsidiary Arrangement, signed on December 2011 is about the DFAT's estimated contribution of AUD5 million to TA activities defined by TAF's Steering Committee and approved by DFAT. This agreement covers the period from 2011 to June 2015². The TAF is designed as a mechanism to effectively coordinate technical assistance of various donor organizations and, in the process, capacitate DSWD implementing offices in managing technical assistance (see section 1.2 of this report below for the explanation about TAF).

After 28 months of cooperation with DSWD on TAF, DFAT engaged the services of an independent consultant to conduct a Review on the progress of TAF implementation. The independent Review was conducted intermittently between October 2013 and February 2014 (as amended).



(2) Objectives of the Review

The Review was carried out to:

- assess the relevance and effectiveness of the TAF as a model for harmonization of donor community agenda and in coordinating TA activities;
- assess the effectiveness and efficiency of the TAF operations and on how it contributes to DSWD's social protection programs in terms of technical assistance support;
- assess the broad contributions of the TAF supported activities;

¹ Agreement No. 58809 dated 6 May 2011.

² Subsidiary Arrangement dated 2 December 2011

- check whether or not governance arrangements for the TAF contribute to enhancing the quality and results of TA activities;
- evaluate adequacy and appropriateness of M&E and reporting mechanism;
- draw lessons regarding management, implementation and review of activities supported under the Facility;
- identify areas for improving TAF implementation;

(3) Methodologies

1) Evaluation planning and feed-backing

Based on the Terms of Reference (ToR) for the Review, an evaluation plan was prepared and approved by DFAT. The evaluation plan explained the methods of data gathering, analysis and execution of the review including the report format. An “entry” and “exit” meetings were conducted with DFAT at the beginning and towards the end of the Review. A meeting with DSWD (including TAU staff) to present the results of the Review was also conducted.

2) Aligning understanding between TAF Design Framework and IPR Evaluation Framework

The objectives of the TAF are presented in the TAF 5-Year Strategy Framework (November 2011), TAF Performance Management Framework (March 2012) and TAF Operations Manual (undated). The Review uses the objectives structure presented by the TAF Performance Management Framework as basis for aligning the results framework of the Review. Figure 2, below illustratively explains the alignment of understanding on the design frameworks of the TAF and the Review.

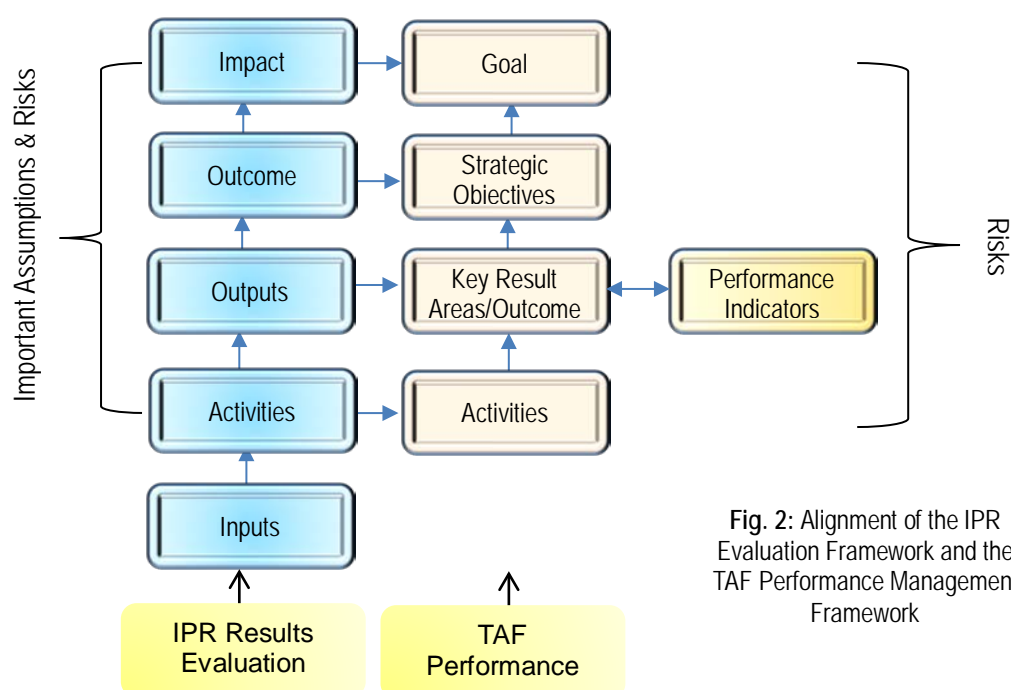


Fig. 2: Alignment of the IPR Evaluation Framework and the TAF Performance Management Framework

3) Data gathering methods

The Review used three primary methods in collecting data, opinions or views. These methods were “secondary data collection and review”, “interviewing key informants” and “survey questionnaire for TAU”.

- ➡ Collection and review of documents and reports from DFAT, TAU (DSWD), and publications collected from online sources (See **Annex 1** for the list of secondary data collected and used in this Review).
- ➡ Key informant interviews using face-to-face, semi-structured conversations with individuals and groups of individuals (focus group interviews) from DFAT, TAU, DSWD, and donor organizations. A total of 25 persons were interviewed (See **Annex 2** for the list of persons met and interviewed).
- ➡ Three sets of Questionnaire were prepared for and collectively filled up by TAU staff. The Questionnaires solicited feedback from TAU on matters related to status of TAF activities, achievements of expected outputs and desired outcomes; and status of projected risks. Two donor organizations filled up the Questionnaire concerning their opinions on TAF.

The Review also applied informal, non-structured conversations to gather opinions and views. This method was particularly applied to DFAT staff, TAU staff and representatives of WFP and UNICEF. The results of secondary data collection and review, interviews and questionnaires were consolidated and compared against the evaluation questions of the Review.

4) Use of Evaluation Questions in Analyzing Results of Data Gathering

The Review anchored its analysis about relevance, effectiveness, efficiency; sustainability; practices of monitoring and evaluation; and gender on the evaluation questions set out by DFAT (see **Annex 3** for the list of evaluation questions used in this Review). The Review also used the rating scale of DFAT’s Quality at Implementation (QAI) Ratings Matrix (**Annex 4**) in determining ratings of TAF’s mid-term performance.

(4) Schedules

The Review was carried out intermittently between later part of October 2013 and February 2014 (as amended). The Review culminates with the presentation of results to DFAT and DSWD in January and February 2014, respectively. See **Annex 5** for the activities and schedules of the review.

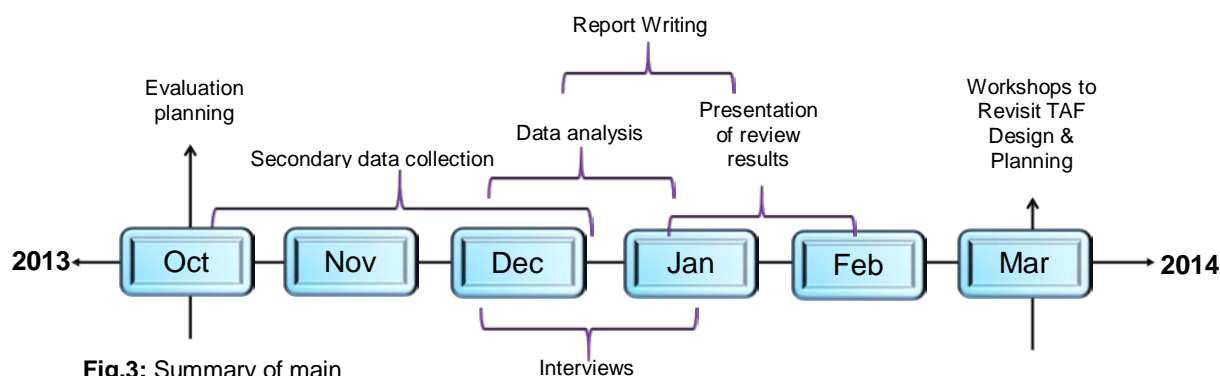


Fig.3: Summary of main activities and intermittent schedules of the Review

1.2 OUTLINE OF THE TECHNICAL ASSISTANCE FACILITY (TAF)

(1) Background of TAF

The persistent rise of the number of individuals and families living in poverty conditions prompted DSWD to expand the coverage of its core social protection programs namely: the *Pantawid Pamilyang Pilipino* Program (also called, Conditional Cash Transfer or CCT), the *Kapit-Bisig Laban sa Kahirapan* – Comprehensive and Integrated Delivery of Social Services (*Kalahi-CIDSS*), Community Driven Development (CDD) and the Sustainable Livelihood Program (SLP). Recognizing their importance in the government's poverty reduction and inclusive growth strategies, these programs are accorded with priority attention by both the Philippine government and donor organizations. In terms of funding, the Philippine government increased its allocation for these programs, from a budget of some \$23 million in 2005 to around \$1.5 billion in 2013³. On the donor side, the *Pantawid Pamilyang Pilipino* program in 2012 was funded by a \$405 million loan from World Bank (WB) and a \$400 million loan from ADB. The *Kalahi-CIDSS* on the other hand is funded by a \$59 million grant from WB, a \$120 million grant from MCC and a \$10 million grant from DFAT. Earlier on, WB provided DSWD a \$100 million loan for the implementation of *Kalahi-CIDSS*. This loan was closed in 2011⁴.

The rapid expansion of DSWD's core social protection programs had created demands for more technical assistance (TA). In response, various ODA donors (also called, donor organizations in this Report) are providing technical assistance to DSWD, mostly on short-term basis. The TAs kept on increasing over time, prompting DSWD in 2010 to create the Technical Assistance Facility (TAF) that would serve as mechanism to coordinate and harmonize TAs, facilitate further development of DSWD's capacity to manage TAs and promote information-sharing between DSWD and donor organizations. But the operationalization of the TAF required funding, which the DSWD did not have at that time. So, based on DSWD's request, DFAT provided DSWD in May 2011 a grant to support the operations of the Technical Assistance Unit (TAU) that serves as the Secretariat of the TAF, from June 2011 to November 30, 2013 and extended to January 2014, as amended. In December 2011, DFAT and DSWD entered into a Subsidiary Arrangement concerning the provision of AUD5 million to fund the i) TAU operations, ii) TAs identified and procured by DSWD and iii) TAs procured and managed by DFAT on behalf of DSWD. This Arrangement covers the period from 2011 to June 2015. TAU operationally started in September 2011 with the hiring of two TAU staff. The funding of DFAT to TAU's operations covering salaries of four TAU staff is expected to end by January 2014 unless otherwise extended to cover the full life of TAF up to June 2015.

(2) TAF Framework⁵ and Governance Arrangement

The goal of the TAF is to contribute to the efficient and effective delivery of social protection programs of DSWD through coordinated, harmonized and timely implementation of technical assistance (TA). This is to be achieved by (i) ensuring complementary and responsive technical assistance (TA) along strategic priorities, (ii) strengthening coordination, advisory and information-sharing, and by (iii) facilitating and monitoring TA implementation (see **Annex 6**).

³ Reference: Interview results with DSWD OBSUs

⁴ Ref.: TAF Operations Manual, undated

⁵ Extracted from the TAF Operations Manual, undated

Australia's interest in providing TA to DSWD through the TAF is aimed at improving education outcomes for the poor, through major social protection programs such as the CCT and CDD.

The TAF is based at DSWD-central office with DSWD leading its operations. Its day-to-day activities are run by a 7-person TAU⁶ which serves as its Secretariat. It has a Steering Committee (SC) composed of three national government agencies (NGAs) including the DSWD and seven donor organizations⁷. The TAF has also thematic consultative bodies (CBs) on CCT, community-driven development, gender, sustainable livelihood, among others, which are composed of the donor organizations sitting in the SC and 14 government organizations⁸. The TAU convenes the meetings of the TAF's SC and CB members regularly.

In terms of ODA governance arrangement, TAF is implemented by DFAT differently from other assisted programs or projects. In other programs, DFAT implements development assistance through Managing Contractors⁹ or through multilateral organizations like the World Bank (WB)¹⁰. Under the first scheme, Managing Contractors take full responsibility for the execution of the program including procurement and financial management, among others. Under the second scheme, DFAT's assistance takes in three forms. First, DFAT co-finances with a multilateral organization. In this form, DFAT appoints a Managing Contractor to manage its assistance which complements that of the multilateral organization. Second, DFAT channels its funds to a Trust Fund which is administered by a multilateral organization. And third, DFAT provides financial support to specific projects or activities to be implemented by a multilateral organization¹¹.

TAF, being directly implemented by DSWD, establishes the difference with other DFAT assistance modalities. The financial management of the Australian funds under TAF is done in two separate arrangements. Covered by an DFAT-DSWD Agreement that took effect in June 2011, the Australian funds of Php6,403,365.51 intended for the TAU operations (until January 2014, as amended) is deposited at a Trust Account managed by DSWD. On the other hand, the AUD5 million intended for TA activities of TAF, covered by a separate DFAT-DSWD Subsidiary Arrangement that took effect in December 2011, is being managed by DFAT-Manila Office. Intended to support TA activities that support the implementation of DSWD's social protection programs, the AUD5 million grant is accessed by having individual TA proposals submitted to DFAT for review and approval. Under the TA Facility, DFAT can directly manage small technical assistance activities for DSWD when this is agreed to be more efficient and effective.¹²

⁶ The TAU is presently composed of 7 persons, 4 of whom are paid by DFAT

⁷ The members of the SC are NEDA, DBM, DSWD, WB, ADB, DFAT, JICA, UNICEF, MCC and AECID

⁸ In addition to donor organizations in the SC, the members of the CB are DA, DAR, DepEd, DENR, DOF, DOH, DILG, NAPC, NEDA, PhilHealth, NNC, Philippine Commission on Women, National Commission on Disability Affairs, and the Council for the Welfare of Children

⁹ Example of DFAT's Managing Contractor is Coffey International Ltd., which is implementing such programs as the Philippine-Australia Human Resource Organizational Development Facility and the Provincial Road Management Facility (PRMF), among others

¹⁰ The World Bank is implementing the DFAT-World Bank Philippines Development Trust Fund (PH-PTF). Under this partnership mode, the Australian Government provides AUD50 million to support projects and activities that contribute to sustained and inclusive growth in the Philippines while the World Bank administers the funds.

¹¹ Extracted from the Mid-Term Review of the DFAT-World Bank Philippine Development Trust Fund, July 2012

¹² An example of this is the Procurement of an International Social Protection Expert, Dr. Castaneda to help DSWD manage the scale up of its major programs through strategic policy advice and guidance.

According to the TAF Framework, the TAF's Steering Committee (SC) approves a TA list at the beginning of each year. The TAF's Operations Manual clearly explains the proposal generation from DSWD's offices, bureaus, services and units (OBSUs) and approval processes of the TAF's Steering Committee (SC). The TAU plays a very important role in all the processes including the monitoring of the implementation of approved TAs.

Before TAF, donor organizations deal individually and separately with DSWD's OBSUs to farm out TA proposals and monitor implemented TAs. This arrangement tends to create unintended overlaps and even duplication of TAs and usually provides very limited opportunity for information-sharing during and after the implementation of TAs. This situation was changed with the establishment and functioning of TAF, where donors are brought together into one coordinating mechanism, thus avoiding tendencies of overlaps and instead create more opportunities for information-sharing.

2. EVALUATION OF THE MID-TERM PERFORMANCE OF TAF

The cooperation of DFAT and DSWD on TAF is designed for 48 months, from June 2011 to June 2015. As at Review time, the TAF implementation was already 28-month old, with only 20 months remaining.

The first 10 months (June 2011-April 2012) can be described as the organizing part of TAF implementation where most of the activities were devoted to organizing the Technical Working Group or Consultative Bodies, staffing the TAU, making the 5-Year TAF Strategic Framework including the Operation Manual and orientation to DSWD OBSUs about the TAF. As such, TA development and implementation only really took off in the last 18 months (May 2012-October 2013) where most of TAF activities were focused on developing TA proposals, discussing these with donors and concluding TA implementation agreements as well as monitoring of TA implementation. The Review took note of the TAs that were already funded by other donors and were already being implemented by some DSWD OBSUs even before the TAF.

The Review examined the progress of TAF implementation by comparing, as much as practical, planned and actual accomplishments in the provision or utilization of inputs, in carrying out planned activities and in producing results (KRA/Outcomes, strategic objectives and goal levels specified by the TAF Performance Management Framework). In evaluating the mid-term performance of TAF, the Review used the OECD-DAC criteria on relevance, effectiveness, efficiency and sustainability including DFAT's Quality At Implementation (QAI) criteria on monitoring and evaluation, gender and other safeguards (see **Annex 4**).

Following the DFAT's QAI ratings matrix, the evaluation criteria standards¹³ are summarized as follows:

RELEVANCE: The initiative (program/project or activity: in this case, the TAF) is the most appropriate way to meet high priority goals that Australia shares with its development partners (in this case, the GOP, DSWD) in the given context

EFFECTIVENESS: The initiative (or TAF) is meeting or will meet its outcomes

EFFICIENCY: The resources allocated to the initiative (or TAF) are appropriate to the outputs achieved.

SUSTAINABILITY: The initiative (the TAF) is well-positioned to ensure that benefits will endure after Australia's involvement ceases

MONITORING & EVALUATION: An appropriate M&E system is in place, provides robust information and informs management of the initiative (or TAF) towards outcomes

GENDER: The initiative (or TAF) integrates appropriate strategies to advance gender equality and promote women's empowerment.

¹³ These standards are copied from DFAT's QAI Ratings Matrix (please refer to **Annex 4**).

2.1 RELEVANCE [Rating: 5]

Overall, relevance of TAF is high. Its goal of contributing to improved service delivery of social protection programs to enable the poor overcome poverty and manage risks is consistent with the Philippine Development Plan for 2011-2016 and also consistent with Australia-Philippines Aid Program Strategy for 2012-2017. Its project purpose of coordinating and harmonizing TAs of various donor organizations and, in the process, capacitate OBSUs to manage TAs remains responsive of the current need of DSWD. TAF's relevance as model for harmonizing donors' agenda and TA coordination is also high.

At present, there is no other office in DSWD that coordinates and monitors TAs. Since 2012, the PDPB's External Affairs Division is only focusing on ASEAN, APEC and other regional and international agreements and commitments on social welfare. This leaves TAF the only mechanism in DSWD that coordinates TAs of various donor organizations.

DSWD values the relevance of TAF. This is strongly expressed by DSWD's issuance of Memorandum Circular in February 2012 which manifests TAF's trajectory towards the newly created Resource Generation and Management Office (RGMO). TAF's relevance is also strongly demonstrated by the regular invitation of TAU's representative to DSWD's top level Management Committee (ManCom) meetings.

The following discussions explain why the "Relevance" of TAF is rated "High".

(1) TAF'S ALIGNMENT WITH CURRENT MACRO POLICY AND NATIONAL STRATEGIC FRAMEWORKS

TAF's objective of improving the delivery of social protection programs aimed at enabling the poor overcome poverty and manage risks is consistent with the national development priorities of the Philippines and Australia's development cooperation strategy:

1) Alignment with Philippine Development Plan

Improving the delivery of social protection programs, to which TAF is expected to contribute, is consistent with the Philippines' human development and targets for Millennium Development Goals (MDG). This is explicitly articulated by the Philippine Development Plan for 2011-2016 under Inclusive Growth Strategy and Social Protection (PDP, pages 26-29 and 244-262).

2) Alignment with Australia-Philippine Development Cooperation Strategy

One of the strategic objectives of Australia's development cooperation with the Philippines is about "strengthening basic services for the poor" which is further articulated in the Australia-Philippines Development Cooperation Program Statement of Commitment 2012-17 agreed at GOA-GOP high level consultations in March 2012 (Australia-Philippines Aid Program Strategy 2012-17, pages 4 & 8). One main strategy of the Australian development cooperation to achieve this strategic objective is to improve education outcomes. Social protection programs like the CCT act on enhancing the demand side of education by ensuring that children of poor families regularly attend schools. According to the Philippines' National Statistical Coordination Board (NSCB), there are 4.2 million poor families in 2012 representing 19.7% of the Philippines' total number of families.

3) Consistency of TAF With the Need of DSWD

The interest of donor organizations to support DSWD's social protection programs remains high as evidenced by the consistent increase of technical assistance (TAs) in 2012 and 2013, in addition to ODA loans and financial grants DSWD is implementing with various donor organizations (see **Annex 8**). The increasing ODA activities require a central mechanism in DSWD for donor coordination which also serves as clearing house for proposals from various DSWD units and offices, an avenue for information-sharing and an effective link of DSWD to donor organizations. These requirements are being responded to by TAF. As such, TAF is still consistent with and responsive to the present need of DSWD.

(2) TAF'S RELEVANCE AS MODEL FOR DONOR HARMONIZATION AGENDA

Common to DSWD and donors is the desire to harmonize ODA support for social protection programs. Both are exerting efforts to realize ODA support harmonization through the TAF. The TAF presently serves as avenue for sharing not only information but also views and opinions on various matters concerning donors' harmonization agenda and DSWD's convergence strategies of enabling poor Filipinos overcome poverty and manage risks.

Before TAF, the External Assistance Division (EAD) of DSWD's Policy Development and Planning Bureau (PDPB) served as the office that coordinates donors' activities in DSWD. But the EAD (now, External Affairs Division) concentrates only on ASEAN and APEC affairs such that donors' coordination particularly TAs are being carried out now by TAF. In the future, DSWD envisaged that the new Resource Generation and Management Office (RGMO) will function like the TAF.

(3) TAF'S ABILITY TO ACCOMMODATE ACTIVITIES THAT SUPPORT SHARED OBJECTIVES

TAF has demonstrated its ability to accommodate activities that support common objectives of implementing social protection programs by facilitating the proposal production, approval and implementation of eight TAs in 2012 and 2013 (see **Annex 7**), with approval processes of additional four TAs still ongoing. TAF was able to accommodate such activities through the TAU which coordinates donors and OBSUs

(4) EXTENT TO WHICH TAF ACTIVITIES ARE HARMONIZED WITH OTHER DONORS

While there is insufficient clarity on how harmonization should be interpreted, there are indicators that TAF is achieving donors' harmonization in many ways. One of the indicators is the ability of TAF to rationalize TAs along eight strategic priorities of social protection. The ratio of priority and strategic TAs may not be ideal though but this rationalization may not have had happened without the TAF doing coordination and orchestration activities inside the DSWD. TAU is planning of revisiting TAF's monitoring and evaluation (M&E) system which may pave the way for formulating strategies towards a more effective harmonization.

(5) AREAS FOR IMPROVEMENT

To ensure continued relevance of TAF, there is need for TAU to enhance TA planning to ensure aligned priorities of OBSUs. This can be done through more frequent face-to-face interactions with OBSUs and core social protection programs. There is also need for TAU to update the database of TAF, then establish and harmonize M&E system for TAs. Conduct of more frequent meetings with donor organizations is also vital. Moreover, it is imperative for TAF stakeholders to revisit TAF mandates in view of the changes of situations, then identify

its core business and performance indicators; and communicate effectively to OBSUs and donors so that differing expectations on TAF are leveled-off.

2.2 EFFECTIVENESS [Rating: 4]

Overall effectiveness of TAF is satisfactory. TAF is making evident improvements in coordinating and harmonizing TAs in support of DSWD's social protection programs. TAF is noticeably exerting efforts to capacitate OBSUs by sharing thoughts and information in the process of developing TA proposals, evaluating and marketing them with donors and in monitoring the implementation of approved TAs.

The following discussions explain why the "Effectiveness" of TAF is rated "Satisfactory"

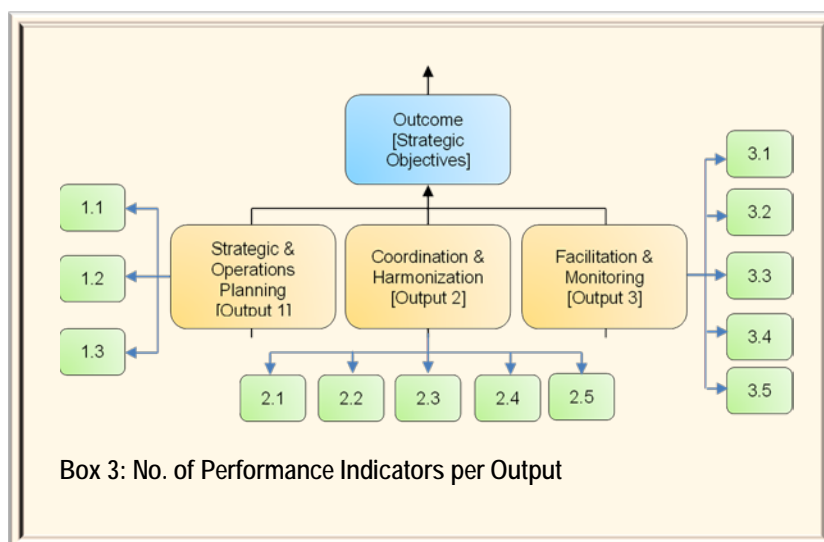
(1) EXTENT TO WHICH TAF'S OBJECTIVES ARE MET

1) Progress in the Production of Expected Outputs

According to the TAF Performance Management Framework, three Outputs should be produced fully to completely achieve the desired Outcomes (Strategic Objectives). Output 1 has three (3) performance indicators, Output 2 has five (5) and Output 3 also another five (5) performance indicators.

Following the logic of the TAF Performance Management Framework,

the Review examines the progress of producing the expected Outputs by reviewing the TAF Annual reports for 2011 and 2012, by collecting survey questionnaires filled up by TAU staff and by interviewing TAU staff, OBSUs and some development partners.



The Review finds that the TAF is progressing well in terms of producing its expected Outputs. Detailed assessment of the progress of achieving target performance indicators would reveal that the TAF 5-Year Strategic Framework was developed and adopted by SC in 2011. The Annual TA plan for 2012 was developed in 2011 and the plan for 2013 in 2012. The conduct of the annual assessment and planning workshop (or PREW) was started in November 2013 and expected to become a regular activity throughout the remaining period of the TAF implementation. The Steering Committee (SC) is convened every year and three meetings were already conducted since 2011. Four meetings of the Consultative Body (CB) were also conducted since 2011.

Table 1: Status of Producing Expected Outputs

List of Performance Indicators		Fully	Produced				Production Ongoing	Not Produced Yet
			Partially			Not Done Yet		
			2011	2012	2013	2013		
1.1	Strategic Framework developed and adopted	x						
1.2	Annual TA Plan developed and adopted			x	x	x		
1.3	Annual Assessment and Planning Workshop conducted				x	x		
2.1	Steering Committee meeting conducted at least once annually		x	x		x		
2.2	Consultative Bodies organized and convened		x	x		x		
2.3	Number of TA proposals reviewed or prepared						x	
2.4	Number of TA proposals submitted to Donors and approved for funding						x	
2.5	Consultation meetings and dialogues between and among DSWD and donors conducted		x	x		x		
3.1	Number of TA agreements implemented and closed						x	
3.2	TAF Annual Reports prepared		x	x		x		
3.3	TA database validated and updated quarterly						x	
3.4	Completed TAs evaluated and results disseminated to stakeholders							x
3.5	Number of communication materials developed and disseminated							x
	Source: Results of Survey Questionnaire							

As of 2012, eight TA proposals from DSWD OBSUs were developed, submitted, reviewed and eventually approved by TAF's CB and SC members; and funded out of DFAT's AUD5 million funding window for TAF. Five of the eight implemented TAs were already completed.

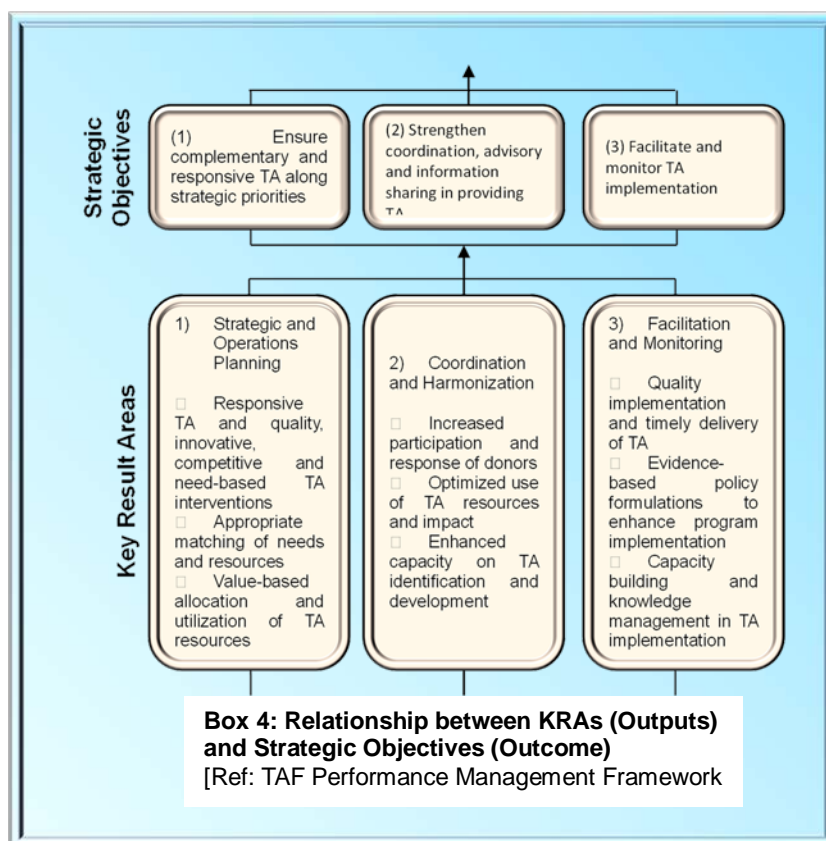
TAF has made significant contributions in coordinating and harmonizing TA grants from donor organizations. It has made considerable progress in allowing DSWD to access and manage TA grants and respond appropriately to donor's TA management requirements, therefore effectively reducing transaction costs on the part of DSWD.

2) Progress in Achieving Intended Outcomes

The TAF specifies three outcome areas (strategic objectives) but did not identify corresponding objectively verifiable indicators. So, the assessment at this level of results was based on the actual achievements of the TAF as reported by TAU and information shared by interview respondents.

Results of the Review reveal that despite absence of target indicators at the “strategic objectives” level, TAF is so far successful in making progress in ensuring complementarity and responsiveness of TAs, in strengthening coordination and

information-sharing between DSWD and donor organizations; and in facilitating and monitoring TA implementation:



2.1) On ensuring complementary and responsive TA along strategic priorities

Including TAs already implemented prior to its inception in 2011, the TAF has coordinated and monitored the implementation of 28 TAs by various DSWD OBSUs with support from different donor organizations, including DFAT. Seven of these TAs were already completed. In total, the strategic priority that received most of the TAs is the Strategic Priority No. 7 (SP7) which aimed at “strengthening organizational and system capacities” with eight TAs (4 completed), followed by SP1 (strengthening the implementation of Pantawid) and SP2 (designing and implementing NCDDP) with five TAs each. SP6 (gender and social safeguards) and SP8 (convergence) have each one on-going TA.

Table 2: Number of TAs along TAF Priorities
[including TAs which implementation already started before TAF was established in 2011]

Strategic Priority No.	TAF Strategic Priorities	No. of TAs		
		Completed	Ongoing	Total
SP1	Strengthening the implementation of the Pantawid Pamilyang Pilipino Program	2	3	5
SP2	Designing and implementing the National Community Driven Development Program (NCDDP)	1	4	5
SP3	Designing and implementing the Sustainable Livelihood Program		3	3
SP4	Enhancing targeting, data management and monitoring and evaluation systems		3	3
SP5	Enhancing support to early childhood care and development (ECCD)		2	2
SP6	Harmonizing approaches to gender and social safeguards		1	1
SP7	Strengthening organizational and system capacities	4	4	8
SP8	Enhancing the implementation of programs' convergence		1	1
	TOTAL	7	21	28

Sources: TAF Operations Manual, TAU reports

60% of the interview respondents (n=25) viewed that the number and distribution of the ongoing TAs is fairly complementary. The responsiveness of these TAs is also viewed need-based and fairly timely (42%). Only 25% of the interview respondents doubted that some of the implemented TAs may not be based on real needs and did not really complement with other TAs.

2.2) On strengthening coordination, advisory and information-sharing in providing TA

In total, the TAF convened three meetings for SC members, four meetings for CB members and one meeting for TWG members. These meetings served as avenues and mechanisms that further strengthened coordination and information-sharing concerning TA provision. A reader-friendly format about TA projects is being formulated by TAF to enhance transparency and information-sharing (refer to TAF Annual Report 2012).

18 of the 25 interview respondents (72%) said that, compared to the situation before where there was no TAF, coordination and information-sharing among OBSUs and between DSWD and donor organizations are done more frequent this time. 80% of the interview respondents however believed that there is still need for more interactive, face-to-face conversations (not just through phone or paper/electronic-based exchanges) between OBSUs and the TAU.

2.3) On facilitating and monitoring TA implementation

Through the TAU, the TAF has been actively facilitating TA implementation by communicating with OBSUs and donor organizations particularly on matters related to procuring services of local consultants, coordinating TA activities and acquitting expenses incurred for TA activities. TAU is also regularly monitoring implementation of TAs, among others, reminding implementing OBSUs and programs of timelines for deliverables and informing donors of the progress of TA activities.

3) Prospects of Achieving Desired Contributions at Goal Level

The TAF hopes to contribute to the “efficient and effective delivery of social protection programs through coordinated, harmonized and timely implementation of technical assistance”. But it did not identify as yet the “verifiable indicators” as well as “contribution targets”. But results of the Review reveal that, although it is still premature, TAF is actually making “headways” toward making indirect but concrete contributions to the achievement of TAF’s goal.

83% of the interview respondents concurred that it is still early to see concrete contributions of TAF in the “efficient and effective delivery of social protection programs”. However, same interview respondents also opined that there are potentials for TAF to substantially contribute to achieving its “Goal” (impact level) because most TAs are focused on alleviating individual knowledge and skills of OBSU staff, which are expected to realize “strengthened organizational capacity and systems”, and which in turn, contributes to the efficiency and effectiveness of the implementation of social protection programs (SPP). Implementing the SPPs effectively would ensure improvement of educational outcomes of children of SPP beneficiaries.

Meantime, unintended impacts of the TAF activities are becoming observable. Some interview respondents expressed that because of the TAF, DFAT has become known to donor organizations within DSWD to have effectively provided link between social protection and basic education programs.

DSWD values the importance of a continued TAF operation. For this purpose, DSWD created the “Resource Generation and Management Office” (RGMO) within the Institutional Development Group (IDG) of DSWD in February 2012. The RGMO is not yet functioning though (no personnel yet, no budget) but its functions and tasks are akin to those of TAU’s of TAF manifesting eventual absorption of TAF activities in the future.

Some interview respondents reported that TAF had eased donor organizations in making follow ups of TA proposals “approved in principle” and in following up compliance of reportorial requirements for implemented TAs because there is TAF that facilitates such activities (e.g., ADB). From this angle, it can be safely assumed that transaction costs are lessened or minimized.

On the other hand, the continued operations of TAF have expectedly increased the demand for management oversight of DFAT especially on matters related to financial transactions on approved TA proposals largely because DFAT is directly managing the AUD5 million committed for TAs via TAF. This effectively scale-up program management activities of DFAT staff overseeing TAF operations.

(2) EFFECTIVENESS OF TAF IN TERMS OF FUNDING ARRANGEMENT, MODALITY OF DELIVERING SUPPORT OR APPROPRIATENESS OF OVERALL APPROACH

The funding arrangement between DFAT and DSWD for TAU operations (including salaries of staff, utilities, office supplies, etc.) is working well. Under this funding arrangement, TAU prepares budget plan annually and submits to DFAT for approval. Once approved, DFAT downloads the funds to TAU via a trust account established and managed by DSWD for this purpose. TAU then uses the funds and liquidates expenses to DFAT periodically.

The funding arrangement between DFAT and DSWD for DFAT’s \$5million commitment for TA proposals is different: DFAT keeps the committed funds. While the approval of the Annual TA Plan is tasked to TAF’s Steering Committee, the approval of individual TA proposal in the Plan is lodged with DFAT or other identified development partner. This arrangement keeps

DFAT logistically and administratively busy in addition to being adequately loaded with management oversight functions. Some TAF stakeholders suggest that the funds should be downloaded to DSWD (through TAF funding mechanism) to unburden DFAT of management oversight functions and administrative activities. Some other TAF stakeholders however suggest that the funds should remain with DFAT to free it from bureaucratic and long procurement processes of DSWD. The Review suggests that TAU facilitates a process where DFAT and other TAF stakeholders study what is the most practically feasible among the options including the possibility of having the funds managed by other entities.

The existing modality of delivering support identifies OBSUs as “process owners” and “managers”, which means that OBSUs identify its TA needs, write proposals and implement approved TAs, respectively. TAU assists in procuring services of local consultants while the approving donor independently procures the services of international consultants. In reality, OBSUs could not have the luxury of time to assess by themselves their TA needs, formulate corresponding TA plans and independently implement approved TAs. Under this circumstance, TAU assists OBSUs in all the processes of managing TAs, from planning to evaluating to implementing and closing the implementation of TAs. This includes such activities as assisting OBSUs in acquitting TA funds. This complementation between TAU and OBSUs appears working well.

The present governance arrangement of TAF is contributing to the enhancement of the quality and results of TA activities. The TAF, being inside DSWD’s central office, makes decision-makers directly accessible and policy advocacy more directly influential. With the TAU operations funded by DFAT and a standby AUD5 million for TA activities that support social protection programs, Australia’s direct contributions to enabling poor population overcome poverty and manage risks have become known not only within DSWD but also among donors.

(3) CONTRIBUTIONS OF TAF ACTIVITIES TO THE ACHIEVEMENT OF TAF’S OVERALL OBJECTIVES

Through the TAF, TAU is able to consult OBSUs and Program Management Offices of their TA needs, help OBSUs produce TA proposals; match and negotiate them with donors including DFAT, and monitor implementation of approved TAs ensuring prompt compliance to donors’ requirements. These activities directly contribute to achieving complementary and responsive TAs for social protection programs, and strengthen coordination as well as information-sharing between DSWD and donors.

Summarily, all the TAs that are supported by at least seven donor organizations (DFAT, WB, ADB, MCC, UNICEF, WFP and AECID) directly contribute to efforts of improving implementation of DSWD’s social protection programs. These include developing skills of PMOs on poor household targeting, integration of ECCD and disability into the CCT, accelerating CCT implementation, gender responsiveness of CCT; and graduation policy formulation for CCT beneficiaries. The TAs are also into improving capabilities of OBSUs in strengthening database of national household targeting system, assessment of DSWD’s organizational competency; early childhood development and public finance management. Other TAs include workshops (NCDDP), assessment of bottom up budgeting processes, study tour and proposal preparation (NCDDP).

(4) STATUS OF TAF’S RISK MANAGEMENT FRAMEWORK

TAF has a Risk Management Framework and identified 24 risk events that are considered important in achieving TAF’s strategic objectives. The Review took note of the observation of TAU that 16 of the 24 risks are happening (see Table 3) and the TAU’s flexibility of adjusting its activities to manage potentially hindering external factors. During the Review, TAU staffs

agree that to better manage TAF risks, it is important to identify and plan out “preventive” and “contingency” actions corresponding to each identified risk. This will then be integrated into the TAF’s monitoring and information management system.

The TAF had prepared a Risk Management Framework (RMF) and have it approved by the Steering Committee (SC) on March 2012. The RMF projected 24 risk events considered crucial in attaining TAF objectives and managing TAF results.

Results of the survey questionnaire reveal that, of the 24 projected risk events, 16 risks are observed happening (67%), most of which pertains to “overworked TAU staff” that resulted to “high staff turn-over” at TAU. Five staff already resigned from TAU since 2011.

Risks are not yet formally and systematically monitored. Because risks are identified per objective, it is worth noting that several of these risks are redundant. During the Review, TAU staff agreed that monitoring and making use of the RMF is easier and more convenient if RMF is translated into “monitorable” risk management plan that identifies “preventive” and “contingency” measures; including the person responsible and timing of their execution.

Table 3: Status of Risks Events Identified by TAF Risk Management Framework

Strategic Objective	Risk Events [copied from TAF’s RMF]	Status	
		Happening	Not Happening
Complementary and responsive TA Along identified strategic priorities	1. Duplication of (donors) assistance for the same priority area	x	
	2. Competition among donors	x	
	3. High transaction cost for lead/implementing OBSUs/Overstretched OBSUs	x	
	4. Identified TAs of OBSUs are not based on thorough analysis of gaps and needs/TA needs are not within the TAF priority areas	x	
	5. Duplication of assistance for the same priority area	x	
Strengthen coordination, advisory and information sharing in providing TA	6. Duplication of (donors) assistance for the same target areas		x
	7. Lack of information on differing management protocol of donors		x
	8. Low participation in TWG meetings by donors		x
	9. Lack of ownership or non-prioritization of management	x	
	10. Program champions are reassigned away from the TAF	x	
	11. Turn-over of TAU staff	x	
Facilitate and monitor TA implementation	12. DSWD has difficulty in managing TA interventions because of limited absorptive capacity; limited staff with the appropriate skills	x	
	13. Dependence on TA and expert services	x	
	14. Delayed implementation of TA activities by lead OBSU/Agency		x
	15. Delayed/Non-report of and account for on-going and/or completed TA activities by lead OBSU/Agency	x	
	16. Fragmented identification and implementation of TA	x	
	17. Insufficient data provided/submitted by proponent OBSUs	x	
	18. Failure to submit complete reports and updates on time		x
	19. Technical issues (haywire) with the DSWD website	x	
	20. Failure by service providers/proponent OBSUs to submit complete reports/updates on time		x
	21. Delays in project implementation	x	
	22. DSWD is dependent on TA from donors	x	
	23. Delayed or non-delivery of program activities		x
	24. Increase implementation cost and leakages due to corruption or political influences		x

Source: Results of the Questionnaire Survey for TAU Staff

(5) CHANGES NEEDED TO ENSURE FULL ACHIEVEMENT OF TAF OBJECTIVES

To ensure full achievement of TAF objectives, there is need for TAU to facilitate review of TAF's design framework to check or establish suitability of results indicators to the present situation and accordingly, adjust its plan of operations for the remaining period of TAF implementation. It is important for TAF to facilitate participatory and interactive diagnosis and identification of TA gaps of OBSUs from which future TA proposals be based upon. It is also worth looking into the possibilities of revisiting the pronouncements of DSWD and secure its commitment of "graduating the TAF to RGMO". In connection with this, DSWD needs to prepare the transition of TAF to RGMO the soonest time possible considering the limited time left for TAF implementation. It is also important for DSWD to revisit the eight (8) strategic priority areas for TAs under the TAF and see if they still remain valid under the current operating circumstances of the "new normal" of DSWD¹⁴.

2.3 EFFICIENCY [Rating: 4]

Overall, the efficiency of TAF is less than satisfactory. While the TAU operation is on budget, the utilization rate of the DFAT's AUD5 million for TAs is only 37.4%. As of December 2013, the budget utilization rate for TAU operations is 89%. The budget for TAU operations is only up to January 2014 and the remaining budget for TAU operations is expected to be fully utilized by then. But the utilization rate of the AUD5 million grant for TA activities is only a little over 37% and achieving full budget utilization for the next 20 months of TAF implementation is a gigantic challenge for TAF. Nevertheless, the TAF is making progress in achieving most of its outputs despite limitations in monitoring for results like the inadequacy of indicators and targets at the strategic objectives level.

Specific details about TAF's efficiency are discussed below:

(1) PROGRESS IN THE PROVISION OF INPUTS

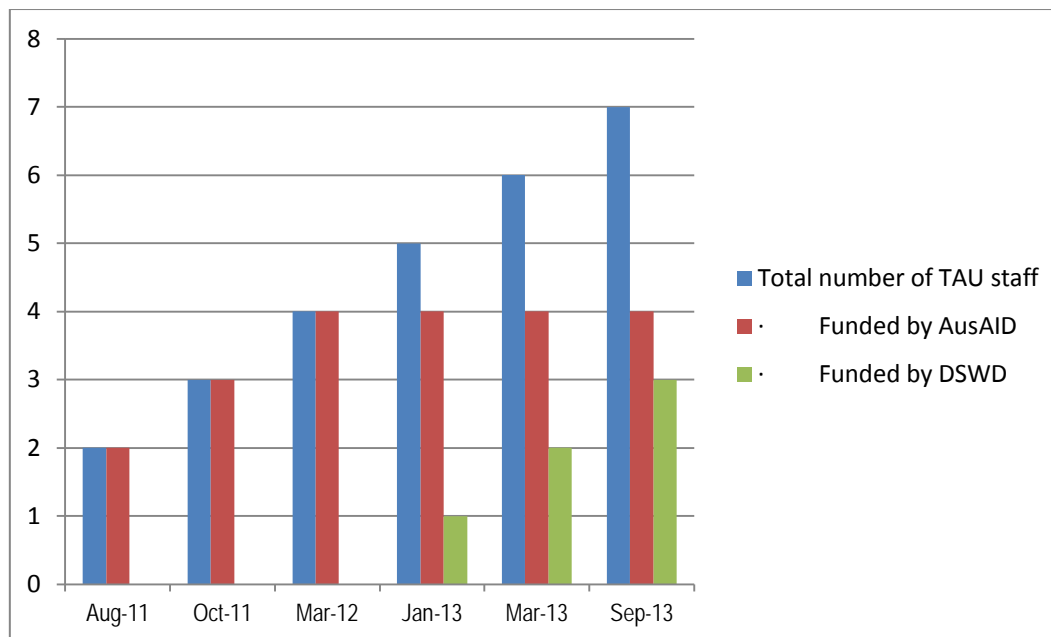
DFAT is funding the assignment of TAU staff since the beginning of TAF operations. In August 2011, DFAT financed the assignment of two staff to TAU. This became three starting in October 2011 and became four since May 2012, until at present.

Despite not being required by the cooperation agreement with DFAT, DSWD nevertheless financed the assignment of additional TAU staff due to increasing work volume requirements. On contractual employment basis, DSWD started funding a staff position at TAU in January 2013. This became two in March 2013 and three beginning July 2013, until at present. DSWD first assigned the Assistant Secretary for Operations as the TAF Overall Coordinator from the start of the Cooperation Agreement in June 2011. This institutional set up underwent leadership changes from several Assistant Secretaries under different clusters. To emphasize the relevance of TAF, DSWD assigned its Undersecretary as TAF Overall Coordinator beginning in January 2013¹⁵.

¹⁴ The "new normal" is a term used by DSWD to describe the changed conditions that DSWD's anti-poverty activities have to operate. DSWD acknowledges that the weather patterns have changed and that natural events are becoming bigger, stronger and harder. Under this "new normal" conditions, DSWD aims at "increasing people's resiliency against poverty and disasters". DSWD's "new responses" to the "new normal" challenges are to: (1) identify who, where and how vulnerable the poor are, (2) review convergence of CCT, CDD and SLP; and (3) intensify protective services. The "new order" of DSWD is to (i) institutionalize enhanced capacities and to (ii) institutionalize energized commitments.

¹⁵ The position of Undersecretary is a position next to the Secretary of DSWD. The Assistant Secretary reports to the Undersecretary.

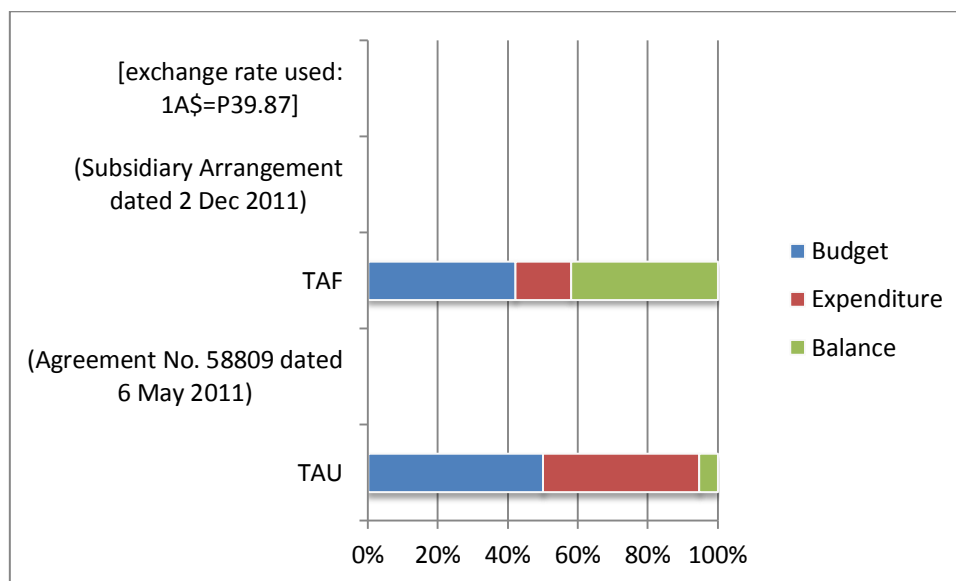
Fig.4: Progression of the human resource contributions of DFAT and DSWD at TAU
[as of September 2013]



DSWD provided a well-furnished office space for TAU's day-to-day activities as well as office equipment, supplies and budget for utilities (electricity, water).

DFAT provides a AUD5 million funding for the implementation of TA proposals approved by the TAF's Steering Committee (see **Annex 7** for the list of TAs). This is covered by a "Subsidiary Arrangement" between DFAT and DSWD separate from the agreement for funding the TAU's operations. As of December 2013, a total of eight TA proposals were approved and funded by DFAT's \$5 million with a total cumulative amount of P74.9 million (at 1AUD=P39.87, the equivalent total of AUD5 million used in this Report is P199.35 million), representing a utilization rate of only 37.4%.

Fig.5: Expenditures of TAU and TAF budget allocations
[as of December 2013, in Pesos]



(2) EFFICIENCY OF TAF IN TERMS OF UTILIZATION OF RESOURCES

The present resources of TAF can be summarized as follows: seven TAU staff (4 funded by DFAT and 3 by DSWD), office space, equipment, supplies and utilities (DSWD); a “standby” AUD5 million grant for TA proposals (DFAT); and 21 ongoing TA projects funded by donor organizations including DFAT.

Although TAF did not prepare a comprehensive Resource Utilization Plan (RUP) that would have specified the timing of personnel dispatch and budget scale periodically, it is apparent that TAF is using its available resources efficiently. Seven of the 28 approved TAs were completed successfully on schedule, manifesting efficient use of TA resources. The short-term vacancies created by resignation of some TAU staff were immediately filled up by DSWD using its own funds.

The utilization rate of the DFAT’s committed funds of AUD5 million for TA activities is 37.4%. This is perceived to be low, considering that there are only 20 months left of the DFAT-DSWD cooperation on TAF. A more aggressive TA needs identification, quality-oriented proposal evaluation and more results-based TA design implementation and project management is therefore required.

The low utilization rate of the AUD5 million can be attributed to the following:

- (a) DSWD Absorptive Capacity. The Philippine government accorded high priority to DSWD’s social protection programs and provided more funding for its expansion. More and more ODA organizations also provided more and more funding for the implementation and expansion of DSWD’s social protection programs. This doubles the workload of DSWD personnel that it has become difficult for OBSUs to find time to collectively identify TA needs and fully attend to TA implementation activities such as acquittal and other reportorial requirements. Because of this situation, TAU had to take on some of the related tasks such as initiating processes of TA needs identification, writing proposal concepts; and following up and responding to acquittal and report writing. These activities somewhat deviate from TAF’s objectives of making the OBSUs “process owners” and “TA implementation managers” but also made TAU and TAF more

responsive to DSWD needs. Recognizing the inadequacy of staff at TAU to effectively respond to such challenges, DSWD assigned three additional staff to TAU beginning January 2013.

- (b) Delays in GOP procurement. As mandated by law, DSWD adheres to the guidelines and steps prescribed by the Government Procurement Reform Act of 2003 (GPRA 2003) in procuring goods and services. While the guidelines and steps involved in the procurement process of DSWD are aimed at combating corruption and strengthening accountability, these however cause longer time, usually delay the process and may therefore defeat the purpose of urgency. Because of this limitation, some TAF stakeholders prefer that the AUD5 million remains at DFAT or other similar quick-disbursing mechanism which is not necessarily tied to GPRA's strict guidelines and procedures.

(3) PROGRESS IN CARRYING OUT TAF ACTIVITIES

In lieu of a Plan of Operations (POO), the TAU formulated a TAF Performance Management Framework for 2011-2013 (in illustrative form), which indicates a list of activities meant to produce outputs ("performance indicator") which are expected to achieve outcomes ("key result areas/outcomes"), the achievement of which is expected to contribute to desired impact ("strategic objectives" and "goal").

Results of the interviews, survey questionnaires and secondary data reviews would reveal that the TAF activities in 2011 were considered "organizing and planning" activities. In that year, the TAF activities were focused on "staffing" the TAU and on "raising the awareness" of the DSWD OBSUs including donor organizations about the TAF through consultations and meetings. Barely five months before the year ended, the activities of TAF or TAU in 2011 was concentrated on formulating the 5-Year TAF Strategic Framework, the TAF Operations Manual and the TAF Annual Plan for 2012.

Box 1:

List of Activities of TAF

(Source: TAF Performance Management Framework)

- (1) Identification of TA needs
- (2) Development of Strategic Plan
- (3) Preparation of Annual TA Plan
- (4) Annual Assessment and Planning Workshop
- (5) Steering Committee meetings
- (6) Consultative process in the development of TA plans and policies
- (7) Consultation meetings re: development and delivery of TAs
- (8) Participative project proposal development
- (9) Review of TA research/analytical reports
- (10) Review and analysis of proposals
- (11) Consultative Body meetings
- (12) Updating and validation of database
- (13) Knowledge-sharing and complementation between and among donors
- (14) Information dissemination
- (15) Regular coordination with Donors and implementing agencies/ Offices
- (16) Monitoring of TA implementation
- (17) Regular reporting of progress by implementing office/partner
- (18) Performance review / evaluation

The TAF or TAU activities actually “took-off” only in May 2012 with the recruitment and reporting of the TAU Senior Technical Officer (STO). Since then, “proposal farming” and “bridging” DSWD OBSUs and donor organizations only actually took place¹⁶.

Most of the 18 activities listed on the TAF Performance Management Framework are considered continuing activities and therefore undertaken regularly all year round.

Status	List of Activities Enumerated by the TAF Performance Management Framework for 2011-2013 dated March 2012																	
[Refer to Box 1]	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Completed		x																
Ongoing/ Continuing	x		x	x	x	x	x	x	x	x	x				x	x		x
Not yet started												x	x	x			x	
Not Pursued																		
Source: Results of the Survey Questionnaire to TAU, November 2013																		

Box 2: Status of TAF activities

Results of the survey questionnaire and interviews reveal that TAU is also undertaking other but equally important activities like “monitoring of the acquittal status of finances of ongoing TAs” including activities that “facilitate procurement of TA consultants”. These activities are also reported as “continuing”.

The activities of TAF are progressing well, keeping the TAU staff even busier compared to the situation when it started in mid-2011.

In terms of tracking the TAF activities, TAU staff agree that it is more convenient and easier done if “main activities” of TAF (Box 1, above) are “broken down into smaller activities” with timelines that signal “when to start”, “when to delay”, “when to stop” and “when to trade with other but also important activities”. Also, TAF activities can be more efficiently carried out if TAU staff segregates those that cut across and identifies which activities are contributing more to the production of what output

2.4 SUSTAINABILITY [Rating: 4]

Overall, the prospect of sustainability of TAF is satisfactory. The Review sees good chances of a continued partnership between DSWD and donor organizations in the implementation of TAs supporting social protection programs. The experiences of implementing 28 TAs (including 8 of them funded by DFAT’s AUD5 million standby grant for TA activities of TAF) can be considered adequate for OBSU staff to accumulate sufficient knowledge and skills in managing TAs. The TAF is accorded priority attention by DSWD such that DSWD formally created an office in February 2012 which functions include those that are presently undertaken by TAF thereby institutionalizing the TAF within the DSWD organizational structure. When this happens, financial requirements for TAF operations will then become regular features of DSWD’s annual budget

(1) CONTINUITY OF STRENGTHENED PARTNERSHIP

There is good chance that the partnership between DSWD and donor organizations particularly in the implementation of social protection programs will continue even after the phase out of the DFAT-DSWD cooperation on TAF in 2015. DSWD’s personnel involved in

¹⁶ The Review took note that there are already TAs being implemented before the TAF establishment

the implementation of social protection programs are accumulating technical expertise in managing not only TAs but also ODA grants and loans. The TAF enjoys organizational attention from DSWD and some policies were already crafted for its formal entry into the DSWD structure. DSWD is enjoying priority budget provisions both from the government and ODA sources. As such, continued funding for TAF operations is not foreseen a problem in the future

(2) TECHNICAL ASPECT OF TAF'S SUSTAINABILITY

Technically, a substantial number of DSWD personnel had received and continue to receive technical assistance from local and international consultants. The experiences of cultivating project proposals and implementing 28 TAs can be considered fairly substantial for OBSUs to grasp basic understanding about how donor organizations deliver TA assistance.

(3) ORGANIZATIONAL ASPECT OF TAF'S SUSTAINABILITY

Organizationally, TAF is accorded priority status by DSWD as evidenced by (i) the assignment of DSWD-funded additional staff at TAU since January 2013, (ii) issuance of a Memorandum from the DSWD Secretary in September 2013² clarifying the role and functions of the TAU; (iii) the issuance of Memorandum Circular No. 1 in February 2012 re-clustering the OBSUs at the DSWD-central office and explaining the role of the newly created Resource Generation and Management Office (RGMO) over TAF functions and tasks; and (iv) the requested attendance of the TAU Senior Technical Officer in DSWD Management Committee meetings. The creation of RGMO under the Institutional Development Group (IDG) can be interpreted as forward-looking move of DSWD for the eventual institutionalization of the TAF and TAU within the DSWD.

(4) INSTITUTIONAL ASPECT OF TAF'S SUSTAINABILITY

Institutionally, more donors are coming in to provide TA in support of DSWD's social protection programs. This increased the number of TAs from only two in 2011 to 28 in 2013, including eight TAs funded by DFAT's AUD5 million standby grant for TA activities of TAF. The sustained interest of donor organizations in providing TAs to support DSWD's social protection programs is expected in the future, flourishing further the relationship between DSWD and donor organizations including other government agencies involved in the implementation of social protection programs

(5) FINANCIAL ASPECT OF TAF'S SUSTAINABILITY

Financially, DSWD is presently one of the top executing Departments in the Philippines that receives the biggest funding allocations every year. The government's budget allocation for DSWD's social protection programs alone (e.g., Pantawid, Kalahi-CIDSS, etc.) is increased by 98%, from only 1 billion pesos in 2005 to 64 billion pesos in 2013. At present, DSWD is implementing a 994 million USD worth of ODA for Pantawid and Kalahi-CIDSS programs alone, 19% of which are grants from WB, MCC and DFAT. With the huge funding available for DSWD's social protection programs, problem of funding TAF operations is not seen forthcoming. Also, once finally approved and operational, funding for RGMO operation, which is seen to eventually assume the functions and tasks of TAF, is expected to become a regular budget feature of DSWD.

2.5 MONITORING AND EVALUATION [Rating: 4]

The existing M&E practices and system of TAF is satisfactory. TAF activities are regularly reported formally by TAU monthly and quarterly to DSWD; and annually to DFAT and Steering Committee (SC) members. Monitoring information is also shared with DSWD

authorities during DSWD's Management Committee (ManCom) meetings. For TA implementation, TAU maintains an updated list of TAs but monitoring information is not yet publicly accessible via the internet. While data generated through monitoring is usually found useful, information on the progress of achieving results especially at strategic objectives level is found insufficient. Roles and responsibilities of monitoring TA implementation between TAU and OBSUs are clear but at times gaps in understanding and information exists.

(1) MONITORING PROGRESS OF IMPLEMENTATION

TAU is monitoring its activities through staff meetings which are conducted from time to time. TAU also prepares and submits monthly reports ("List of Major Activities and Projects") which are circulated within DSWD. These monthly reports are consolidated every three months and submitted as Quarterly Reports. TAF annual reports are also distributed to DFAT and SC members and information about TAF activities are shared with DSWD management during DSWD's ManCom meetings.

TAU maintains a list of TAs and Grants (with information such as "Lead Agency/Proponent", "Total Grant" and "Remarks"). In its 2012 Annual Report, TAU however acknowledged the "lack of an established and harmonized TA M&E system" in TAF. It planned to "institutionalize M&E of project implementation" in 2013 but the plan did not take-off yet.

The difficulty of TAU in monitoring and evaluating results can be attributed to the limitations of the TAF's design and plan. The TAF's design (5-Year Strategic Framework, Operations Manual) does not define yet the "objectively verifiable indicators" for outputs, outcome and impact levels. It does not clarify its baselines (or benchmarks) and targets or indicate distribution of targets periodically (i.e., annually, semi-annually and quarterly). The TAF Performance Management Framework attempts to operationalize the TAF Strategic Framework by identifying "indicators" and "targets for 2013". But these "indicators" and "targets" are limited only to outcome level (Key Result Area). The TAF design (as represented by the Strategic Framework, Operations Manual, Performance Management Framework) has not been translated yet into an operational plan that enumerates the breakdown of main activities, timelines and expected deliverables. This is also true to the TAF's Risk Management Framework, which is not translated yet into an operable Risk Management Plan that identifies preventive and contingency actions corresponding to each identified risk

(2) M&E ARRANGEMENTS WITH DSWD IMPLEMENTING UNITS

The TAF Strategic Framework specifies that the "OBSUs" as "process owners" and "managers" of TA, while the TAU "monitors the implementation of TA projects, with focus on compliance to grant agreements, fund utilization and coordination with donor agencies" (Memo from the DSWD Secretary dated September 2012). The External Affairs Division (EAD) of the Policy Development and Planning Bureau (PDPB) monitors compliance of DSWD to regional and international commitments (ASEAN, APEC, UN and other bilateral and multilateral agreements) on social welfare. The M&E demarcation of roles and responsibilities seems clear: implementing OBSUs for ODA loans and grants, TAU for TAs and grants with TA components and EAD for ASEAN and APEC. As such, there appears no conflict or misunderstanding about M&E arrangements within DSWD.

However, M&E Responsibility Matrix and M&E Accountability Levels are not defined yet, particularly for technical assistance (TAs). This means that it still remains unclear "who needs what kind of information" and "who monitors what level of results" of TA implementation.

(3) AREAS FOR IMPROVEMENT

The foregoing discussions point to the following areas for improvement: (i) revisiting and adjusting TAF's design to suit with present conditions, (ii) formulating TAF's Plan of Operations based on adjusted design, (iii) establishing a results-based monitoring and evaluation framework, M&E and communications plan

Revisit TAF's Design: This includes reviewing and redefining TAF's core mandate or business building on the positive experiences of TAF in the last 18 months. Based on which, establish hierarchy of objectives (output= outcome = impact) and define corresponding results indicators (and targets) as well as assumptions or risks using the existing Risk Management Framework as reference. Once clarified and improved, the Risk Management Framework will then be translated into a Risk Management Plan

Formulate Plan of Operations. Based on the adjusted and improved TAF design, the Plan of Operations for the remaining 30 months of TAF can be formulated. The Plan of Operations contains the breakdown of the main activities in the TAF design, the timelines and the deliverables (and targets) of the specific activities. The 30-month Plan of Operations will be cascaded annually and semi-annually.

Establish RbME Framework and System: Based on a complete assessment of the existing M&E practices including reportorial system in OBSUs and TA proposal forms, a results-based M&E framework for TAs can be formulated, which defines M&E responsibility and accountability matrices, among others. The establishment of the RbME framework and system includes the development of the Performance Monitoring Plan (PMP) for the TAU and a Results-based Communications Plan for TAF

With all of the above produced, it is then easier to develop a results-based M&E framework, system and plan for each of the TAs for DSWD's social protection programs. Undertaken in participatory manner, the above activities and processes will also serve as capacity enhancement for OBSUs.

2.6 GENDER AND OTHER SAFEGUARDS [Rating: 4]

Gender and other social safeguards of TAF are satisfactory. DSWD is popularly known as one of the leading government agencies in the Philippines that advances gender equality, promoting women's empowerment and safeguarding child protection and disability. As such, DSWD programs are crafted with gender perspective and other social safeguards and that DSWD staff continues to receive regular trainings on Gender and Development (GAD). The Asian Development Bank has a number of gender-related TAs with DSWD.

DSWD is also one of the few government agencies at present that enjoy high public trust ratings because of its anti-corruption practices embedded in its procurement system.

(1) TAF'S ADVANCEMENT ON GENDER EQUALITY AND PROMOTION OF WOMEN'S EMPOWERMENT

Aside from its regular activities of advancing gender equality and promotion of women empowerment, an ongoing TA is being implemented by Pantawid National Program Management Office that aims at developing community-based gender action plans. This TA is funded by ADB and coordination requirements are responded to by TAF

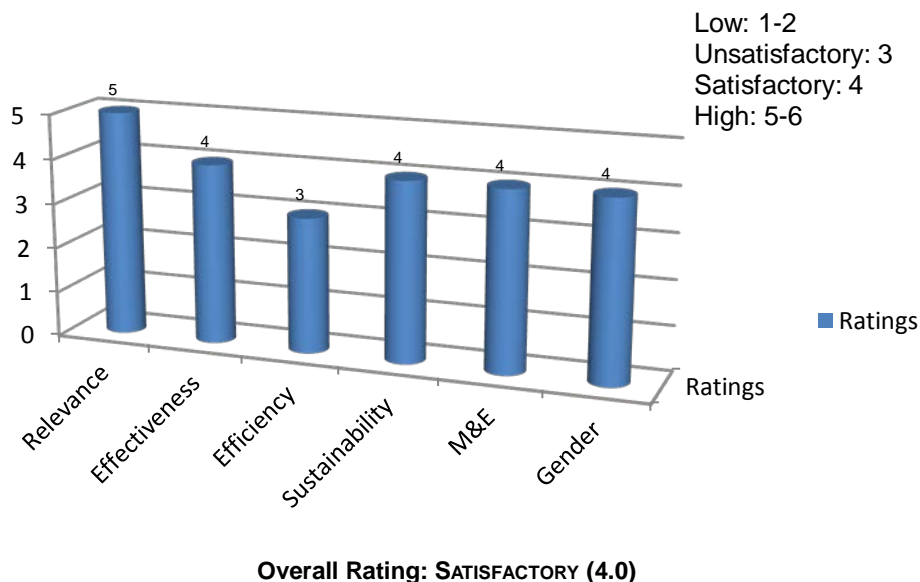
(2) TAF'S SAFEGUARDS ON CHILD PROTECTION AND DISABILITY

The TAF's activities under this theme include the following: The implementation of DSWD's Early Childhood Care and Development (ECCD) program is being supported by UNICEF. Led by PDPB, UNICEF is also supporting the implementation of the ECCD Rolling Work Plan every year. Also recently completed, was the implementation of TA on a research incorporating disability in Pantawid and on developing disability-inclusive FDS module. This TA was funded by DFAT and implemented by Pantawid NPMO.

(3) TAF'S ANTI-CORRUPTION ACTION PLAN/STRATEGY

The procurement activities of TAF follow the steps and processes prescribed by the government's Procurement Reform Act (Republic Act 9184). This is the reason why some procurements entail longer time as expected but nonetheless, anti-corruption measures are lawfully followed and executed in all TAF procurement activities.

Box 5: Evaluation Ratings of TAF Performance at Mid-Term



3. FACTORS AFFECTING TAF PERFORMANCE

3.1 PROMOTING FACTORS

(1) Supportive DSWD Leadership

TAF enjoys a strong support from the DSWD leadership. This is evidenced by (i) DSWD's assignment of additional staff at TAU, (ii) the issuance of a Memorandum to all DSWD offices in September 2012 clarifying the role and functions of TAF and TAU in DSWD; (iii) the issuance of Memorandum Circular No. 1 in February 2012 clarifying the role of newly created RGMO over TAF; and (iv) the regular invitation for TAU Senior Technical Officer to attend to DSWD's Management Committee (ManCom) meetings.

(2) Sustained interest of donors to support social protection programs

The interest of donor organizations in supporting social protection programs of DSWD is sustained. This is evidenced by the increasing number of financial and technical cooperation projects between donors and DSWD. Before TAF, there were only loans from World Bank and ADB as well as grants from MCC, AECID and WB-JSDF. Technical assistance (TAs) came in slowly shortly before and when TAF started in 2011. From only two in 2011 (existing before TAF), TAs increased to 28 in 2012 through 2013, with other donor organizations coming in such as the UNICEF and WFP in addition to WB, ADB and MCC in addition to DFAT.

3.2 HINDERING FACTORS

(1) Limitations of TAF design and plan

The TAF design (strategic framework, risk management framework, operations manual) is limited in form and content to facilitate a results-based implementation, monitoring and evaluation. The hierarchy of objectives statements (from activities to outputs, to outcome and impact) and their corresponding results indicator statements are not yet reviewed and re-clarified with TAF stakeholders. Except for the TAF Performance Management Framework that attempted to identify quantitative targets but only at the outcome level, the TAF's overall design does not yet contain clear baselines and targets (of results indicators) distributed periodically. The frameworks (strategic framework, operations manual, performance management framework) are not yet effectively translated into operational plans where sets of main activities meant to produce specific outputs are broken down into smaller activities with timelines and clear deliverables, among other planning information contained therein. As such, monitoring the progress of activities, evaluating the results of interventions and communicating what TAF is really expected to achieve periodically becomes difficult.

The "projected risk events" in the TAF's Risk Management Framework are not yet reviewed and collectively clarified. The framework was also not yet translated into a "monitorable" Risk Management Plan where preventive and contingency actions corresponding to each risk are identified and planned.

(2) High staff turn-over rate at TAU

Since its inception in 2011, the TAU is run only by an average of five persons. There were only three staff at the closing of 2011 and four at the closing of 2012. It has become seven starting only in September of 2013. TAU operates without a Team Leader (Senior Technical

Officer) for two months each in 2011 and 2012. In 2013 alone, four staff resigned from TAU, thus losing the accumulated expertise in TA coordination and management facilitation.

4. RECOMMENDATIONS

Considering the preceding discussions, the Review puts forward the following recommendations corresponding to issues that need to be addressed in the immediate and medium term:

4.1 ISSUES AND RECOMMENDATIONS FOR IMMEDIATE ATTENTION

(1) DFAT's funding for TAU operations will end by January 2014

Originally, the expiry date of the Agreement between DFAT and DSWD concerning TAU operations (Agreement Number 58809) is set on November 2013. This was extended to January 2014, with only 11% of DFAT's budget for TAU operations left as at December 2013. The Review recommends for the extension of DFAT's funding for TAU's operations to coincide with the DFAT's support to TAF originally scheduled for June 2015 (refer to Subsidiary Arrangement dated 2 December 2011). This recommendation is based on the following grounds:

- That the four staff positions funded by DFAT in TAU are key positions that facilitate the TAF activities. The staff presently occupying the Senior Technical Officer (STO) position effectively provides direction of TAU activities and effectively link between TAF and DSWD management; and between DSWD and donor organizations
- That the other three staff funded by DSWD in TAU are not technically prepared yet to assume fully the tasks and activities performed by the four staff funded by DFAT funds

The recommendation however is anchored on the condition that DSWD develops a sustainability plan for the eventual assumption of TAU tasks and activities by staff funded out of DSWD's own funds

(2) TAF framework is not updated yet to align with the present environments it operates

The first 18 months of implementation had created more challenging situations and had accumulated experiences that offer lessons for a more improved implementation in the future. Also, as discussed in the preceding sections of this Report, the insufficiency of verifiable indicators and targets of TAF's strategic objectives and goal has increased the difficulty of tracking progress and communicating successes of TAF.

In view of this, the Review recommends for a revisit of the TAF design framework and accompanying plans with the objective of strengthening TAF project management. This would operationally mean reviewing the existing TAF framework and adjust results indicators appropriate to present situation of TAF. The review would also include revisiting existing risk management framework and make adjustments such as planning for preventive and contingency actions. Based on the adjusted design, a 20-month plan of operations could then be formulated. This plan could be further elaborated in the annual TAF plan (Jan-Dec 2014 and Jan-June 2015). Based on these adjusted design and plans, a results-based monitoring and evaluation system could then be developed taking into account the existing monitoring and reportorial practices.

4.2 ISSUES AND RECOMMENDATIONS FOR MEDIUM-TERM ATTENTION

- (1) DFAT's initiative on TAF is foreseen to be institutionalized by DSWD through the newly created RGMO office

The newly created Resource Generation and Management Office (RGMO) in DSWD is envisioned to absorb the functions and tasks of TAF after DFAT's funding. Although created in February 2012, RGMO is not operationally functioning as yet owing to the unavailability of staff and uncertainty on budget allocation. In view of this, the Review recommends for studying the possibility of extending TA to determine the organizational preparedness of RGMO and based on the assessment results, formulate the RGMO results-based framework and operational plan.

- (2) Other considerations

In line with the capacity building of DSWD on management of Technical Assistance (TA), the Review recommends for the formulation of a training intervention plan for OBSU staff. Based on the technical gaps identified through a comprehensive assessment process, the training interventions may include the "how tos" of conducting TA needs assessment and analysis, planning; concept note/proposal writing and evaluation as well as donors' TA program familiarization and matching; negotiation, formulation of Terms of Reference (TOR) for TA consultants; facilitating procurement of services of consultants; acquittal; monitoring and evaluation of TAs; closing of TAs and learning dissemination. The processes involving the revisit of TAF design (mentioned above) can also be good training exercises on project management for OBSU staff

The existing governance arrangement for the DFAT's AUD5 million grant for TA activities of TAF had kept DFAT Manila Office occupied with oversight and fund management activities, potentially negating the objective of reducing transaction costs on the part of DFAT. On the other hand, the Philippine government's procurement system is tied to long but anti-corrupt processes that could not facilitate quick-disbursements for TAs. In view of this, the Review recommends revisiting of the current arrangement and determine the most practical and feasible option about governance arrangement of DFAT's commitment funds of AUD 5million for TAs on social protection. The determination should take into account the limited time to disburse the funds within the next 20 months of TAF.

In line with this, the Review further recommends studying the possibilities of creating a Sub-Committee within TAF to take on some or all oversight and fund management activities now being undertaken by DFAT-Manila Office. This Committee must be free from the strict guidelines of the Philippine government's procurement system to allow appropriate quick-disbursements for TAs. Furthermore, the Review recommends studying the possibilities of extending the DFAT-DSWD cooperation on TAF to 2016 (last year of the current Philippine Development Plan) or to 2017 (last year of the current Australia-Philippines Development Cooperation Program). Extending the TAF beyond 2015 would not only offer an opportunity to see through the effects and impacts of TAs on the delivery of social protection programs but also to see the TAF model sustain the momentum for donors' coordination and information-sharing.

5. LESSONS LEARNED

The first 18 months of TAF implementation offer a wealth of lessons about managing, implementing and reviewing of the activities supported by TAF. The Review captures some of them.

In terms of managing TAF-supported activities, support of DSWD's leadership is important. The TAF could have not achieved substantial progress in the first 18 months had the support of DSWD Secretary not extended. The favorable issuances of directives and the continued invitation of TAU's Senior Technical Officer in the DSWD's Management Committee meetings have sustained the promotion and awareness-raising on TAF within the DSWD's bureaucracy. This is expected to result to better coordination and communication among OBSUs

In terms of implementing TAF-supported activities, the 18-month experience reveals the importance of considering timely adjustments in the TAF design and plans after accumulating some implementation experience. Adjustments could come in the form of verifiable indicators as a result of the environmental changes in which the TAF has to operate.

In terms of reviewing TAF-supported activities, it is important that more interactive, relationship building measures between TAU and OBSUs have to take place as more and more TAs are implemented. In order to maximize the utilization of TAs, it is also important to summarize results of every TA and disseminate the learning to wider audience as possible.

ANNEX 1

LIST OF SECONDARY DATA USED IN THE REVIEW

1. Australia-Philippines Program Strategy (2012-2017), www.ausaid.gov.au
2. Agreement between The Government of Australia and the Government of the Philippines Relating to an Accountable Cash Grant for Assistance Regarding the Provision of a Technical Assistance Unit in the DSWD for the Social Protection Reform TA Facility (Agreement No. 58809)
3. DSWD 2011 TAF Annual Report, dated July 2012
4. DSWD 2012 TAF Annual Report (draft), undated
5. DSWD Memorandum Circular No. 01 Series of 2012, "Re-clustering of Offices, Bureaus, Services and Units (OBSUs) at the DSWD Central Office, dated February 2012
6. Memorandum from the DSWD Secretary, "Reiterating and Clarifying the Role and Functions of the TAU" dated September 2012
7. DSWD Memorandum Circular No. 6 Series of 2012 "Amendment to Memorandum Circular No. 1 dated April 2012
8. Briefer on Social Protection, Policy Development and Planning Bureau of the DSWD dated September 2013
9. TAU Monthly Reports from January 2013 to October 2013
10. Matrix Overview of ADB Loan and Technical Assistance (TA) Support for Philippines' Social Protection, ADB
11. Summary of PAHRODF's assessment on DSWD's organizational capacity, competency and change readiness
12. TAU's List of Completed, Ongoing and Pipelined TA Projects, TAU
13. The DSWD Convergence Framework, JICA
14. Pantawid Pamilyang Pilipino Program (4 Ps), ppt, DSWD
15. Theory of Change-Education Delivery Strategy, Philippines 2012-2017; AusAID
16. Approved TAF Performance Management Framework, DSWD dated March 2012
17. Approved Risk Management Framework of TAF, DSWD; dated March 2012
18. Education Delivery Strategy, AusAID; undated
19. TAF 5-Year Strategic Framework Approved by SC on November 2011
20. Draft Operations Manual of TAF, DSWD, undated
21. Subsidiary Arrangement Between GOA and GOP Relating to the DSWD Technical Assistance Facility for Social Protection Reforms dated 2 December 2011

Annex 2

List of Persons Met and Interviewed


1. Ms. Robyn Biti, Counselor, Human Development, DFAT (November 6, met only)
2. Mr. Andrew Parker, Social Development Adviser, DFAT (Nov 6 and November 29)
3. Ms. Evelyn Daplas, Portfolio Manager, Education Team II, DFAT (November 6 and November 25)
4. Mr. Pablo Lucero, Acting Senior Program Officer, Social Protection, DFAT (November 6 and November 25)
5. Mr. Gil Tuparan, TAU Senior Technical Officer, DSWD (November 7 & 15)
6. Mr. Emmanuel Alfiler, TAU Project Development Officer V, DSWD (November 7 & 15)
7. Ms. Myda Nieves, TAU Project Development Officer V, DSWD (November 15)
8. Mr. Darwin Espinosa, TAU Project Development Officer III, DSWD (November 7 & 15)
9. Ms. Vejes Primitiva Potot, TAU Project Development Officer III, DSWD (November 7 & 15)
10. Ms. Maridyl Macasa, TAU Administrative Officer V, DSWD (November 7 & 15)
11. Ms. Angelita Gregorio-Medel, Undersecretary, DSWD (November 7)
12. Ms. Honorita Bayudan, Director, Poverty Reduction Programs Bureau, DSWD (November 12)
13. Mr. Amador "Ding" Abasa, Poverty Reduction Programs Bureau, DSWD (November 12)
14. Ms. Shanna Rogan, Statistician, World Bank (November 12)
15. Ms. Shiel Velarde, Economist, World Bank (November 12)
16. Ms. Malu Padua, Senior Social Development Specialist, World Bank (November 12)
17. Mr. Alfrey Gulla, Project Development Officer IV, Sustainable Livelihood Program, DSWD (November 13)
18. Mr. Dipayan Bhattacharyya, Head, Food Security, World Food Programme (November 13)
19. Ms. Ma. Cecilia Dajoyag Arcadio, ECD Officer, Education Section, UNICEF (November 13)
20. Ms. Hannah Giray, Policy Development and Planning Bureau (November 15)
21. Mr. Chris Spohr, Social Development Adviser, Asian Development Bank (November 25)
22. Ms. Rosel Agcaoili, Senior Program Officer, DFAT (November 25)
23. Mr. Mark Flores, Deputy Facility Director, Philippines Australia Human Resource and Organisational Development Facility (PAHRODF), Coffey International Development (November 29)
24. Ms. Milalin Javellana, Facility Director, Philippines Australia Human Resource and Organisational Development Facility (PAHRODF), Coffey International Development (November 29)
25. Ms. Erika Geronimo, Portfolio Manager, Philippines Australia Human Resource and Organisational Development Facility (PAHRODF), Coffey International Development (November 29)
26. Ms. Vilma Cabrera, Assistant Secretary, Institutional Development Group, DSWD (December 3)
27. Ms. Rhodora Babaran, National Program Manager, Pantawid Pamilya Program or Conditional Cash Transfer (CCT), DSWD (December 3)

Annex 3

List of Evaluation Questions [Extracted from Purchase Order No. 69105]

1. Relevance
 - Is the Facility able to accommodate activities that support the shared objectives of DFAT, GPH and other donors? What needs to improve to ensure its relevance?
 - Check on the alignment of the Facility with current macro policy and national strategic frameworks including but not limited to the Philippine Development Plan 2011-2016, Australia-Philippines Development Cooperation Strategy 2012-2017, DSWD Social Protection Framework
 - Consider the extent to which the Facility activities are harmonised with the work of other donors supporting social protection reforms in DSWD
2. Effectiveness
 - To what extent are the objectives of the Facility being met? What changes need to be made for the rest of its life to ensure that these objectives are likely to be achieved?
 - How effective was the Facility in terms of funding arrangement, modality of delivering support, or appropriateness of overall approach in supporting these activities?
 - What have been the contributions of the supported activities to the overall objectives?
 - Does the Facility have a Risk Register and Risk Management Framework? Is it continuously being updated?
3. Efficiency
 - How efficient has the Facility been in terms of use of DFAT, other donors and DSWD time and resources?
 - Have there been variations from rules and operating guidelines of the Facility, and have these variations and amendments been justified?
 - Is it efficient for DSWD? What is the effect on DSWD in terms of using the Facility?
4. Sustainability
 - In relation to strengthened partnership (donor coordination and harmonisation), is this likely to endure beyond the life of the TAF?
5. Monitoring and evaluation
 - How is the Facility monitoring its activities to measure progress of implementation and towards meeting its objectives? Is the system delivering useful information for decision-making?
 - What are the arrangements in terms of conducting M&E with DSWD Implementing Units? Are the arrangements working efficiently? What needs to improve?
6. Cross-cutting
 - Does the Facility advance gender equality and promote women's empowerment in the course of undertaking its functions?
 - Does the Facility address safeguards on child protection and disability?
 - Does the Facility have an anti-corruption action plan/strategy?

Annex 4:

 Australian Government AusAID	TOOL
QAI Ratings Matrix	

Date of effect	December 2012	Current to	November 2013
Registered number	297	Version	1.0
Business Process Owner	ADG. Quality Performance and Results (QPR) Branch		
For help, contact	qualityreports@ausaid.gov.au or Manager. Performance Policy and Systems Section		
For use by	Initiative managers, those approving QAIs, and QAI moderators		
Use with	<u>Guideline: Moderate a Quality at Implementation Report</u>		

QAI RATINGS MATRIX

This matrix is to provide guidance to initiative managers, those approving QAIs and QAI moderators on the allocation of ratings against QAI quality criteria. These indicators help define the performance characteristics which are typically associated with the various (1-6) ratings. Use of the matrix is not mandatory; it is a guide to support clear thinking and good practice around the consistent application of ratings. AusAID operates in a wide range of contexts using a range of approaches and modalities. As such this matrix may not be readily applicable in all circumstances.

Three overarching issues need to be considered when assessing content and applying ratings for each of the six QAI criteria:

	Requirements
Management Response	<ul style="list-style-type: none"> • Are the actions listed in the QAI future-oriented rather than simply describing what has already occurred? • Are ratings based on what is actually happening now and not potential performance? • Do the management actions clearly address issues highlighted in the assessment against each criterion?

	<ul style="list-style-type: none"> Is the management action specific and clear on what concrete actions need to be taken, notes who is responsible for taking that action (individual/position) and when will the action be taken (timeline/deadline)?
Analytical Quality	<ul style="list-style-type: none"> Is the QAI describing the current situation and exploring the relevant factors that caused the situation. Does the QAI report identify implications such as - how good or bad the situation is; what does it mean for the initiative in terms of progress; does the initiative require any adjustment to its outcomes or plans; or do we need to change the resources mix, time-line or budget?
Evidence	<p>Ratings should be based on all available evidence and should provide a strong case and clear professional judgement for the rating. Some of the following evidence should be available in the QAI report:</p> <ul style="list-style-type: none"> Reference to last year's QAI report, recent monitoring data, activity reports and any recent reviews or evaluations are noted Reference to discussions which have taken place with implementing partners (and other stakeholders as relevant) Mention of a monitoring trip being conducted by the initiative manager to implementing locations in the field to check any first hand evidence. Reference to research, studies or surveys conducted in the sector (could be through external institutions such as the World Bank or other donors if available) Reference to informal sources or the initiative manager's own observations being used to triangulate other sources of evidence All sources of evidence are noted

Scale for ratings against Quality Criteria - Performance against quality criteria is rated using a six point scale, shown below.

Satisfactory		Less than satisfactory	
6	Very high quality; needs ongoing management and monitoring only	3	Less than adequate quality; needs work to improve in core areas
5	Good quality; needs minor work to improve in some areas	2	Poor quality; needs major work to improve
4	Adequate quality; needs some work to improve	1	Very poor quality; needs major overhaul

	SATISFACTORY			UNSATISFACTORY	
RELEVANCE	High (rating 5 or 6)	Satisfactory (rating of 4)		Unsatisfactory (rating 3)	Low (rating 1-2)
The initiative is the most appropriate way to meet high priority goals that Australia shares with its development partners ¹⁷ in the given context	Development partners clearly agree with the initiative's importance and it aligns with partner priorities	Development partners consider the initiative is important but not necessarily a priority		It is not clear what development partners priorities are, or whether this initiative aligns with them	Development partners don't see the importance of the initiative and don't view it as a priority
Focus:	The initiative clearly responds to Australia's five strategic goals and is closely aligned to the delivery and/or program strategy	The initiative aligns with the program strategy but could make a stronger contribution toward the delivery strategy and/or the Australian aid program's goals		Changes are required to align the initiative with the delivery and/or program strategy	The initiative makes very little contribution, or there is little evidence of the initiative's contribution, to delivery and/or program strategies
Partner Agreement					
Strategic alignment					
Context					
Partner Priority					
Flexibility	Considering alternatives, this is the best modality and approach to achieve Australia's and development partner's shared higher level development goals based on solid contextual analysis	The initiative is working well towards development goals, but it is not clear if this is the best modality and/or approach of working in this context		Significant changes are required to adapt the initiative to meet development goals and there is little reference to contextual analysis for the chosen modality and	This is not the best way of achieving AusAID's or partners' shared development goals , or AusAID is not best placed to do this work

¹⁷ Note: 'Development Partners' include governments, civil society, whole-of-government, development banks and other donors.

				approach	
	There is strong evidence and a reasoned case can be made to demonstrate the relevance of the initiative to the context and development needs	There is evidence which demonstrates the relevance of the initiative to the context and development needs		There is not enough evidence that the initiative sufficiently contributes to the context and development needs	The initiative doesn't suit the context or development needs
	The initiative is highly flexible and adaptive to a changing context	The initiative shows aspects of flexibility to a changing context but has limited ability to adapt to more fundamental change		There is not enough flexibility nor adaptability to changing circumstances	The initiative is unable to adapt or change to new circumstances
	SATISFACTORY			UNSATISFACTORY	
EFFECTIVENESS	High (rating 5 or 6)	Satisfactory (rating 4)		Unsatisfactory (rating 3)	Low (rating 1-2)
The initiative is meeting or will meet its outcomes.	The outcomes and/or theory of change are realistic given the context, and evidence shows that this initiative is making strong progress towards outcomes	The outcomes and/or theory of change are realistic given the context, but progress towards outcomes is not as strong as expected		The outcomes and/or theory of change are unrealistic given the implementation context and little is known about what works and why.	The initiative has no theory of change and/or outcomes are unrealistic and there is no evidence that the initiative will achieve its outcomes
Focus: Progress on outcomes	We can successfully link decisions, actions and initiative deliverables to expected outcomes	We can link some decisions, actions and initiative deliverables being attributable to emerging outcomes		We cannot yet see our decisions, actions or initiative deliverables attributing to outcomes	Our decisions, actions and initiative deliverables are not contributing to outcomes

Policy dialogue	Policy dialogue and partnerships are used to influence the agenda and support our outcomes	There is a mixed record on using policy dialogue and Australian aid to leverage partners		There is little engagement with partners or policy dialogue	There is no engagement with partners or policy dialogue
Behaviour change					
Quality of deliverables					
Assessment	There is strong evidence of behaviour change amongst partners and beneficiaries consistent with intended outcomes	There is some evidence of behaviour change emerging amongst partners and beneficiaries		There are limited examples of behaviour change amongst partners and evidence mostly reflects output based deliverables	There is no evidence of behaviour change amongst partners and beneficiaries
Risk Management					
	The quality of our deliverables (training, technical assistance, materials, construction) is of a very high standard	The quality of our deliverables (training, technical assistance, materials, construction) is at an acceptable standard but there is room for improvement		The quality of deliverables is mixed and needs major improvement in some areas	The quality of deliverables is low and does not meet the needs of beneficiaries or partners
	We have evidence from assessment that effectiveness is strong	Performance has been assessed and steps are underway to improve effectiveness	Performance has been assessed and shows need for improvement but this has yet to be actioned	There has been no assessment of performance	
	We are managing the risks and challenges well	Risks and challenges are mostly responded to well, but some need further consideration	A few risks and challenges are understood but more work needs to be done to manage them satisfactorily	Risks and challenges are not well understood or managed	
	SATISFACTORY			UNSATISFACTORY	
EFFICIENCY	High (rating of 5 or 6)	Satisfactory (rating of 4)		Unsatisfactory (rating of	Low (rating of 1-2)

				3)	
The resources allocated to the initiative are appropriate to the outputs achieved.	The program is within budget, funds are being expended as planned, and the delivery of high quality outputs is on track	The program is on budget, but expenditure could be better spread across the year. Good quality outputs are being delivered		The program is under or over budget, and funds are not being expended as planned	The program is substantially over or under budget and spending is not in line with activities
Focus:	The program is achieving all of its outputs as required	The program is achieving most outputs, but others are off-track		Significant attention is required to get the delivery of most outputs back on track	Most outputs are poor quality, and their delivery is significantly delayed
Budget					
Planning					
Staffing	Strategic and operational planning is strong and governance arrangements are appropriate and well utilised	Operational planning is strong but more focus could be given to strategic planning. Governance arrangements being used but commitment could be improved		Planning is weak and governance arrangements are not well utilised	There is little evidence of planning and governance arrangements don't exist or don't work.
Technical Expertise					
Reporting					
Avoids duplication					
Timeliness	Staff levels are appropriate and staff have the necessary skills to do their jobs	Most positions are filled and adequate technical expertise can be sourced, but doing so can be slow or challenging		Positions tend to be vacant some time before being filled and sourcing staff with adequate skill is difficult	Many positions are vacant and technical expertise is generally inadequate
	Technical expertise being used to deliver the initiative is high quality with strong experience suitable to the context.	Technical expertise is generally good quality but sometimes previous experience is not entirely suitable to the context.		Technical expertise is often inadequate and doesn't consistently reflect the desired level of quality and experience required	Technical expertise is unsuitable and lacks the required level of experience and quality in this context.

	The program is meeting accountability and reporting requirements with consistent quality	The program meets accountability and reporting requirements but at times quality is inconsistent		Accountability and reporting is generally late and quality is inconsistent	Accountability and reporting requirements are not met
	The implementing partner and modality maximise achievements	The implementing partner and modality are satisfactory, but more could be done to increase achievements		Given the context, other choices of implementing partner and modality could produce better achievements	This implementing partner and modality are not the best way to work in this context
	The initiative complements those of other development partners	This initiative has some complementarity to those of other development partners, but there are instances of overlap		The initiative substantially overlaps with those of other development partners	The initiative duplicates that of other development partners
	The initiative has experienced no delays and is being implemented according to the annual plan	There are some minor delays but overall implementation is going well and will be able to catch up over time		Unexpected problems substantially delay program delivery and key aspects of the annual plan will be affected	Major delays will result in the annual plan being unable to be implemented as required
	SATISFACTORY			UNSATISFACTORY	
MONITORING & EVALUATION	High (rating of 5 or 6)	Satisfactory (rating of 4)		Unsatisfactory (rating of 3)	Low (rating of 1-2)
An appropriate M&E system is in place, provides robust information and informs management	Staff can readily access the performance information they need to manage the initiative through the M&E system	M&E data is available but accuracy and timeliness is inconsistent and there is not a good match between what is collected and what is required		Only some of the M&E data required for reporting, briefing and management is available and data is unreliable and not timely	There is little or no M&E data available, and initiative management decisions are based on assumptions rather than evidence

of the initiative towards outcomes.	The data collected through M&E systems is highly useful, so managers can make informed decisions based on data and analysis.	The data collected by the M&E system is useful and has some influence on initiative management decisions		Management decisions are often based on assumptions about performance rather than evidence	There is no clear link between M&E data and decision-making
Focus Accessibility High quality data Evidence-based decisions Roles/Responsibilities Resources Alignment	All staff, partners and contractors understand the roles and responsibilities for M&E and are able to deliver the required information	The roles and responsibilities for M&E are usually clear but at times there are gaps in information		The responsibility for and expectations of M&E between AusAID, partners or contractors needs to be clarified and the data required is not being collected	There is no clear responsibility for M&E between AusAID, partners or contractors
	There are ample resources provided for M&E	Resources are provided for M&E are sufficient but these are not optimal		Insufficient resources are allocated to M&E	No resources are allocated to M&E
	The M&E system provides quality information to feed into country performance frameworks	The M&E system provides some information on country PAFs.		There is insufficient information available from the initiative's M&E system to inform country PAFs	The M&E system does not align with country PAFs
	Good evidence is available both of short term achievements and long term outcomes	There is good data available on outputs and some evidence on emerging and/or long term outcomes - but these are sometimes difficult to assess		There is information available on short term outputs but little information on progress towards outcomes	Management is unable to provide evidence for outputs or outcomes
	SATISFACTORY			UNSATISFACTORY	
SUSTAINABILITY	High (rating of 5 or 6)	Satisfactory (rating of 4)		Unsatisfactory (rating of 3)	Low (rating of 1-2)

The initiative is well-positioned to ensure that benefits will endure after Australia's involvement ceases.	The outcomes and/or modality are appropriate in terms of working towards benefits which will endure after the initiative closes	The outcomes and/or modality are mostly appropriate in terms of working towards benefits which will endure after the initiative closes		The outcomes and/or modality need to be re-considered to ensure benefits will endure after the initiative closes	Little or no consideration has been given to whether benefits will endure after the initiative closes
	At this point in the initiative, partners (including beneficiaries) report and demonstrate a high level of ownership	There is evidence of ownership in some aspects of the initiative, but more behaviour change is needed.		Program partners (including beneficiaries) demonstrate little ownership over the initiative and no evidence of behaviour change	The program is not an interest or priority for partners, and partners demonstrate no ownership
Focus Enduring benefits Ownership Behaviour change Risk understood Local Systems used Environmental impact	Risks to sustainability are well understood by managers, partners and contractors and are well managed	Risks to sustainability are understood, but not fully managed		Risks to the sustainability of the initiative are not managed	Risks to sustainability of the initiative are not considered
	There is a consistent trend away from using consultants to partner management of the initiative	There is a trend towards partner management, but the initiative still relies on consultants to a large extent		The initiative is heavily reliant on external consultants	The initiative only uses external consultants
	Local systems are used appropriately	The initiative is mostly delivered through local systems		The initiative delivery makes little use of local systems	The initiative is delivered entirely through parallel systems
	Environmental risks and opportunities are comprehensively monitored and managed in accordance with environmental analysis.	Some environmental risks and opportunities are managed in accordance with environmental analysis.		Environmental risks and opportunities are considered in a limited way but are not being actively managed.	Environmental analysis was incomplete or inadequate. No active management of environmental risks and opportunities.

	SATISFACTORY			UNSATISFACTORY	
GENDER	High (rating of 5 or 6)	Medium (rating of 4)		Low (rating of 3 or below)	Low (rating of 1-2)
The initiative integrates appropriate strategies to advance gender equality and promote women's empowerment.	Appropriate strategies for gender equality and/or women's empowerment are clearly stated within the theory of change and implementation plan	Strategies for achieving gender equality and/or women's empowerment exist, but are unclear or unrealistic		The initiative considers gender equality and/ or women's empowerment but these are not linked to a coherent gender equality strategy	There is no strategy for gender equality nor women's empowerment and no evidence of programming gender activities
Focus: Explicit on gender Gender a priority Dialogue Gender Data Gender Resources (funding & staff)	There is evidence that partners and beneficiaries consider gender equality as a high priority	There is some evidence that partners and beneficiaries consider gender equality as a priority		There is limited evidence that Partners and beneficiaries consider gender equality as a priority	There is no evidence that gender equality has been considered as a priority
	Dialogue with partners noticeably influences partner gender equality policy and practices	Some ad hoc dialogue on gender issues takes place with partners		There is little discussion of gender equality issues with partners, and the initiative has little impact on partners' awareness or capacity to improve gender equality	There is no discussion of gender issues with partners
	The M&E system incorporates the theory of change for gender equality and includes a key question and data collection to improve understanding about the effects of the initiative on gender equality. The M&E system collects sex disaggregated data	The M&E system collects some sex disaggregated data, but is insufficient to improve understanding about the effects of the initiative on gender equality		Most M&E data is not disaggregated by sex and there is little monitoring of gender equality issues	M&E data is not disaggregated by sex and there is no understanding of the effects of the initiative on gender equality

	There is ample funding and resources directed toward gender equality activities	There is sufficient funding and resources directed toward gender equality activities but these are not optimal		Few resources and limited funds are directed toward gender equality activities.	No funds or resources are directed toward gender equality activities.
--	---	--	--	---	---

Annex 5

Activities and Schedules [Intermittent]

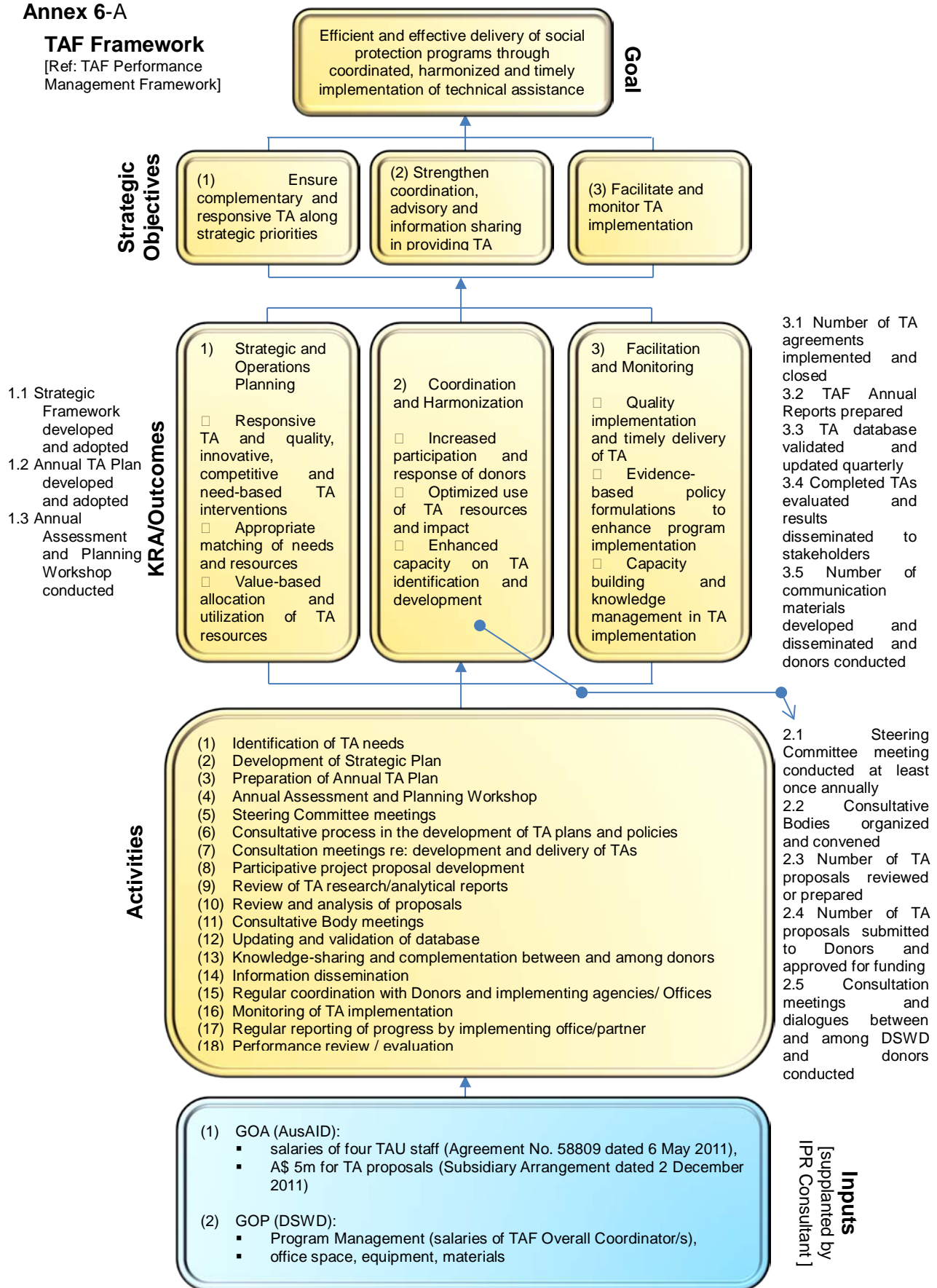
Dates	Activities
October 16-18	Collect and review project-related documents from DFAT (DFAT-DCB)
October 19-20	Write draft Evaluation Plan
October 21	Submit draft Evaluation Plan to DFAT (DFAT-DCB)
October 22-23	Collect and analyze comments (from DFAT and DSWD/TAU) on the draft Evaluation Plan
October 24	Write Final Evaluation Plan incorporating comments and suggestions from DFAT and DSWD/TAU
October 25	Submit Final Evaluation Plan
October 26-31	Search on the internet DSWD publications related to TAF operations; collect additional project documents from DFAT
November 1-4	Review and analyze additional project documents and DSWD papers related to TAF operations Collect and analyze TAU answers to Survey Questionnaires
November 5	Make presentation materials for the meeting with DFAT
November 6	Make presentation on the evaluation plan during the “entry meeting” with DFAT officers (Ms. Robyn Biti, Mr. Andrew Parker, Ms. Evelyn Daplas and Mr. Pablo Lucero) in DFAT office
November 7	Conduct interview to Mr. Gil Tuparan, Senior Technical Officer of the TAU of TAF in DSWD office; and collect additional project documents Conduct group interview to TAU staff (Mr. Vani Alfiler, Mr. Darwin Espinosa, Ms. Vejes Potot and Ms. Maridyl Macasa) in DSWD Conduct interview to Usec. Angelita Gregorio-Medel in DSWD office
November 8-11	Review additional TAF documents collected from TAU staff
November 12	Conduct interview to Director Honorita Bayudan and staff of Poverty Reduction Programs Bureau in DSWD office Conduct group interview to officers in World Bank office in Taguig City (Ms Shiel Velarde, Economist and Ms. Shannah Rogan, Statistician) Conduct key informant interview to Ms Malu Padua, Senior Social Development Specialist of World Bank in WB office Conduct interview to Project Development Officer of Sustainable Livelihood Program (SLP) in DSWD office
November 13	Conduct interview to Mr. Dipayan Bhattacharyya, Head, Food Security of the World Food Program in WFP office in Makati City Conduct interview to Ms. Ma. Cecilia Arcadio, ECD Officer of UNICEF in Makati
November 15	Conduct second round of group interview to TAU staff (Mr. Alfiler, Mr. Espinosa, Ms. Potot, Ms. Macasa and Ms. Myda Nieves) in DSWD, Quezon City Conduct interview with Director/staff of PDPB in DSWD office Conduct interview with Director/staff of National Household Targeting Office (NHTO) in DSWD office Conduct interview with Director/staff of KALAHY-CIDSS in DSWD office
November 18-22	Review interview notes and make interview reports Make outline of the draft IPR report

November 25	Conduct interview to Mr. Chris Spohr, Social Development Adviser of the Asian Development Bank (ADB) in ADB office, Ortigas, Pasig City
	Conduct interview to Ms. Rosel Agcaoili, Senior Program Officer of DFAT
	Conduct interview to Ms. Evelyn Daplas, Portfolio Manager and Mr. Pablo Lucero, Acting Senior Program Officer of DFAT in DFAT office
November 27-28	Make draft IPR report
	Make draft Learning-Dissemination Plan
November 29	Conduct interview to Mr. Andrew Parker, Social Development Adviser of DFAT in NEDA office in Pasig City
	Conduct group interview to Facility Director, Deputy Facility Director and Portfolio Manager of the Philippines Australia Human Resource and Organisational development Facility (PAHRODF) in Ortigas, Pasig City
	Submit drafts of IPR report and Learning-Dissemination Plan to DFAT
December 3	Conduct interview to Dir. Rhodora Babaran, National Program Manager of the Pantawid Pampamilya program of DSWD in Quezon City
January 6	Make presentation on the draft report to DFAT, RCBC Makati
January 30	Meeting with Mr. Pablo Lucero re Amendment to PO, RCBC Makati
February 6	Presentation and meeting with Usec. Medel of DSWD, Quezon City
February 28	Conduct Workshop to Revisit TAF Design and Planning with DFAT and TAU-DSWD staff, DFAT office
March 3-6	Make discussion papers for the Follow-up Workshop for TAF Design Review and Planning
March 7	Follow-up Workshop on TAF Design Review and Planning with DFAT and TAU staff, and with Usec. Medel of DSWD; Shangrila Mall, Ortigas, Pasig City

Annex 6-A

TAF Framework

[Ref: TAF Performance Management Framework]



Annex 6-B

TAF Performance Management Framework, 2011- 2015

<p style="text-align: center;">GOAL</p> <p style="text-align: center;">Efficient and effective delivery of social protection programs through coordinated, harmonized and timely implementation of technical assistance</p>
--



KEY RESULT AREAS / OUTCOMES		
<p>1. Strategic and Operations Planning</p> <ul style="list-style-type: none"> ↳ Responsive TAs aligned to strategic priorities ↳ Appropriately matched needs and resources ↳ Enhanced DSWD capacity on TA identification and development 	<p>2. Coordination and Harmonization</p> <ul style="list-style-type: none"> ↳ Optimized use of TA resources ↳ Facilitated advisory and information sharing ↳ Increased participation of donors 	<p>3. Facilitation and Monitoring</p> <ul style="list-style-type: none"> ↳ Contributed to evidence-based policy formulation and enhanced program implementation ↳ Quality implementation of TA based on approved grant agreement



PERFORMANCE INDICATORS		
<p>Strategic Framework developed and adopted</p> <p>Annual TA Plan developed and disseminated</p> <p>Annual Assessment and Planning Workshop conducted</p> <p>Number of proposals reviewed as adequate and sufficient in quality</p>	<p>Number of TA proposals approved</p> <p>Number of TA proposals agreed and consulted among TAF members</p> <p>Steering Committee meeting conducted at least once annually</p> <p>Consultative Bodies organized and convened at least twice a year with donor members attending</p> <p>Consultation meetings and dialogues between and among DSWD and donors conducted</p>	<p>Number of TAs utilized for evidence-based policy formulation and enhanced program implementation</p> <p>Number of TA agreements implemented with no contract breaches, commitments complied</p> <p>Number of TA Agreements completed</p> <p>TAF Annual Reports prepared</p> <p>TA database updated quarterly</p> <p>TA results disseminated to SC and CB members</p>

ACTIVITIES/ INPUTS
<p>(1) Identification of TA needs</p> <ul style="list-style-type: none"> ▪ Development of Strategic Plan ▪ Preparation of Annual TA Plan ▪ Annual Assessment and Planning Workshop ▪ Steering Committee meetings ▪ Consultative process in the development of TA plans and policies ▪ Consultation meetings re: development and delivery of TAs ▪ Participative project proposal development ▪ Review of TA reports ▪ Review and analysis of proposals ▪ Consultative Body meetings ▪ Updating of database ▪ Knowledge-sharing and complementation between and among donors ▪ Information dissemination ▪ Regular coordination with Donors and implementing agencies/offices ▪ Monitoring of TA implementation ▪ Performance review/evaluation ▪ Quarterly management meetings

MEANS OF VERIFICATION

- TAF Strategic Framework
- Annual TA Plans
- Reports on Annual Assessment and Planning Workshop
- TA Proposals
- Signed TA Agreements and Amendments
- Minutes of Steering Committee meetings
- Minutes of Consultative Body meetings
- Minutes of TWG meetings
- Minutes of Individual donor meetings
- TAF Annual Report
- NPMO reports or confirmation
- Revised program/project designs
- TA Progress and Completion Reports

TAF Performance Management Framework, 2011- 2015

Goal: Efficient and effective delivery of social protection programs through coordinated, harmonized and timely implementation of technical assistance.			
Outcome	Performance Indicator	2013	Means of
		Targets	Verification
KRA 1: Strategic and Operations Planning			
Responsive TAs aligned to strategic priorities	Strategic Framework developed and adopted	Reviewed Strategic Framework	TAF Strategic Framework
Appropriately matched needs and resources	Annual TA Plan developed and disseminated	1 TA Plan updated every 6 months	Annual TA Plans
		TA Plan disseminated to SC members	Annual TA Plans
	Annual Assessment and Planning Workshop conducted	1 workshop	Reports on Annual Assessment and Planning Workshop
Enhanced DSWD capacity on TA identification and development	Number of proposals reviewed as adequate and sufficient in quality	12	TA Proposals
KRA 2: Coordination and Harmonization			
Optimized use of TA resources	Number of TA proposals approved	8	Signed TA Agreements and Amendments

	Number of TA proposals agreed and consulted among TAF members	12	TA Proposals; Minutes of Consultative Body meetings; Minutes of individual donor's meetings
Facilitated advisory and information sharing	Steering Committee meeting conducted at least once annually	2	Minutes of Steering Committee Meetings
Increased participation of donors	Consultative Bodies organized and convened at least twice a year with donor members attending	12	Minutes of Consultative Body Meetings
	Consultation meetings and dialogues between and among DSWD and donors conducted	24	Minutes of TWG Meetings
KRA 3: Facilitation and Monitoring			
Contributed to evidence-based policy formulation and enhanced program implementation	Number of TAs utilized for evidence-based policy formulation and enhanced program implementation	3	TAF Annual Report; NPMO reports or confirmation; Revised program/project designs
Quality implementation of TA based on approved grant agreement	Number of TA agreements implemented with no contract breaches, commitments complied	8	TAF Annual Report; TA Progress and Completion Reports
	Number of TA agreements completed	5	TAF Annual Report; TA Progress and Completion Reports
	TAF Annual Report prepared	1	TAF Annual Report
	TA database updated quarterly	Quarterly updating of database	TA Progress and Completion Reports
	TA results disseminated to SC and CB members	100% of TA results disseminated	Minutes of SC and CB meetings

Annex 7

List and Status of TAs Funded by DFAT's A\$5 million Grant for TA Activities of TAF* [Source: TAU]

No.	TA Project	Strategy	Status	Cost (Pesos, in Million)	Timeframe	Lead Agency/ Proponent
1	Agreement No. 58809: Accountable Cash Grant for Assistance Regarding the Provision of a Technical Assistance Unit in DSWD for the Social Protection Reform TA Facility	Convergence	Ongoing	6.4	Jun 2011 - Jan 2014	TAU
2	Agreement No. 61692: Training Program on Bridging Leadership for Convergence	Convergence	Ongoing	17.7	Feb 2012 - 30 Jun 2014	PRPB
3	Development of Supply Side Assessment (SSA) Tools - Extension	Pantawid	Completed	0.2	Apr 2012 - Sept 2012	Pantawid NPMO
4	Agreement No. 63449: Assessment of Pilot Bottom-Up Processes (BUP) in Planning and Budgeting	NCDDP	Completed	7.5	Jun 2012 - Apr 2013	PDPB
5	Supply-Side Research on Incorporating Disability in the CCT Program and Development of Disability-Inclusive FDS Module	Pantawid	Completed	2.6	Sep 2012 - Feb 2013	DFAT
6	NCDDP Workshop Facilitation	NCDDP	Completed	0.1	Nov 2012 - Dec 2012	KC NPMO
7	DSWD-DFAT Agreement No. 65842: Analysis and Preparatory Work Supporting the NCDDP in the ARMM	NCDDP	Ongoing	9.2	Apr 2013- Dec 2014	KC NPMO
8	DSWD-DFAT Agreement No. 65843: Sustainable Livelihood Program - Enhancing CCT Program Graduation Strategy for Exiting Beneficiaries	SLP	Ongoing	31.0	May 2013- Apr 2015	SLP
9	Support to the Philippine Study Tour at the WFP Centre of Excellence Against Hunger in Brazil	Convergence	Completed	0.2	Jun 2013	OSEC

* Add other projects care of DFAT (i.e. International SP Adviser [Dr. Castaneda Mission], Development of Supply Side Assessment (SSA) Tools)

ANNEX 8

LIST OF COMPLETED AND ONGOING TAS FUNDED BY OTHER DONORS INCLUDING DFAT's AUD5 MILLION (Source: TAU Report)

	TAF Strategic Priorities [Source: TAF Operations Manual]
1	Strengthening the implementation of the Pantawid Pamilyang Pilipino Program
2	Designing and implementing the National Community Driven Development Program (NCDDP)
3	Designing and implementing the Sustainable Livelihood Program
4	Enhancing targeting, data management and monitoring and evaluation systems
5	Enhancing support to early childhood care and development (ECCD)
6	Harmonizing approaches to gender and social safeguards
7	Strengthening organizational and system capacities
8	Enhancing the implementation of programs' convergence

Title of TA	Implementing OBSUs/Program	TA Provider	TAF Strategic Priorities							
			1	2	3	4	5	6	7	8
A. Completed										
1. Support to the Philippine Study Tour at the WFP Centre of Excellence Against Hunger in Brazil (Brazil Tour)	OSEC	DFAT								x
2. Supply-side Research on Incorporating Disability in the CCT Program and Development of Disability-Inclusive FDS Module (PWD Research)	PANTAWID NPMO	DFAT	x							
3. International Social Protection Advisor to DSWD CCT in 2012	TAU	DFAT								x
4. NCDDP Workshop Facilitation (2 workshops)	KC NPMO	DFAT		x						
5. Assessment of Pilot Bottom-Up Processes (BUP) in Planning and Budgeting [Agreement No. 63449]	PDPB	DFAT								x
6. Development of Supply-side Assessment Tools-Extension	PANTAWID NPMO	DFAT	x							
7. Human Resource and Organizational Development	HRDB (CBB)	DFAT (PAHRODF)								x
B. Ongoing										
1) Support to TAU	TAU	DFAT								x
2) Training Program on Bridging Leadership for Convergence	PRPB	DFAT								x
3) Sustainable Livelihood	SLP	DFAT			x					

Program-Enhancing CCT Program Graduation Strategy for Exiting Beneficiaries											
4) Analysis and Preparatory Work Supporting the NCDDP in ARMM	KC NPMO	DFAT (WB)		x							
5) Strengthened Gender Impacts for Social Protection	PANTAWID	ADB							x		
6) Support to Social Protection Reforms	PANTAWID	ADB	x								
7) Enhancing Social Protection Through CDD Approach	KC NPMO	ADB		x							
8) Preparing Support for National Community Driven development Program	KC NPMO	ADB		x							
9) Improving Livelihood Opportunities for Vulnerable Urban Communities	KC NPMO	JSDF-WB			x						
10) Community Enterprise Development as Pathway Out of Poverty	SLP				x						
11) Early Childhood Care and Development Rolling Work Plan for CY 2013		UNICEF						x			
12) Development of the Framework and Early Warning System on Hunger and Food Insecurity Mitigation	PRPB	WFP	x								
13) Harnessing Social Media for Hunger and Food Insecurity Mitigation	PRPB	WFP								x	
14) KALAHI-CIDSS Millennium Challenge Corporation Project	KC NPMO	MCC					x				
15) KC External Impact Evaluation		MCC					x				
16) Local Empowerment and Development Towards Good Governance (LEadGOV) Project	KC NPMO	AECID								x	
17) Programmatic AAA on Strengthening Local Governance and Accountability	KC NPMO	DFAT (WB)		x							
18) UTF Social Protection Programmatic AAA		DFAT (WB)					x				
19) TA on Philippines Social Protection	PANTAWID NPMO	DFAT (WB)	x								

20) Early Childhood Care and Development: Creating a Foundation for Lifelong Learning		DFAT (UNICEF)					x			
21) Phil-Australia Public Financial Management Program		DFAT (IAS)							x	

Summary

TAF Strategic Priorities	No. of TAs		
	Completed	Ongoing	Total
1. Strengthening the implementation of the Pantawid Pamilyang Pilipino Program	2	3	5
2. Designing and implementing the National Community Driven Development Program (NCDDP)	1	4	5
3. Designing and implementing the Sustainable Livelihood Program		3	3
4. Enhancing targeting, data management and monitoring and evaluation systems		3	3
5. Enhancing support to early childhood care and development (ECCD)		2	2
6. Harmonizing approaches to gender and social safeguards		1	1
7. Strengthening organizational and system capacities	4	4	8
8. Enhancing the implementation of programs' convergence		1	1
TOTAL	7	21	28

ANNEX 9

INDEPENDENT PROGRESS REVIEW OF THE TECHNICAL ASSISTANCE FACILITY FOR SOCIAL PROTECTION REFORMS

LEARNING AND DISSEMINATION PLAN

PREPARED BY: REY GERONA, IPR CONSULTANT

APPROVED BY:

DATE APPROVED:

1. BACKGROUND

Based on the request of DSWD, Australia-DFAT is supporting the activities of the Technical Assistance Facility (TAF) of DSWD through two separate but related agreements. The first agreement signed in May 2011 is about the operations of the Technical Assistance Unit (TAU), which serves as the Secretariat of TAF. This agreement covers the period from June 2011 to January 2014 (as amended). The second agreement, called a Subsidiary Arrangement, signed on December 2011 is about the DFAT's estimated contribution of AUD5 million to TA activities as defined by TAF's Steering Committee and approved by DFAT. This agreement covers the period from 2011 to June 2015. The TAF is designed as a mechanism to effectively coordinate technical assistance of various donor organizations and, in the process, capacitate DSWD implementing offices in managing technical assistance. After 28 months of cooperation with DSWD on TAF, DFAT engaged the services of an independent consultant to conduct a review on the progress of TAF implementation. The independent review was conducted intermittently between October 2013 and February 2014. The Independent Progress Review (IPR) report was finalized on 8 March 2014. In addition to assessing the progress of TAF implementation, the Review was expected to present recommendations to two specific issues: (i) should DFAT extend the funding for TAU operations, and (ii) will DFAT continue providing the remainder of its AUD5 million funding for TA activities under TAF.

The purpose of the Learning and Dissemination Plan is to share the key messages of the findings, recommendations and lessons to TAF stakeholders.

2. LEARNING AND DISSEMINATION APPROACH

2.1 KEY MESSAGES:

- (1) The cooperation between DFAT and DSWD on TAF is scheduled to end by June 2015. At the time of the Review (October 2013), TAF has only 20 months left to wrap up the cooperation.
- (2) TAF's activities are progressing well although activities relating to TA development and implementation only took place in the last 18 months. The first 10 months of TAF implementation can be described as the planning and organizing part, where most activities were spent on staffing the TAU, organizing the TAF's CB and SC, orienting the DSWD's OBSUs and on preparing TAF's 5-Year Strategic Framework and Operation Manual.

- (3) At mid-term, the relevance of TAF remains high for the partner government. Its goal of contributing to improved service delivery of social protection programs to enable the poor overcome poverty and manage risks is consistent with the Philippine Development Plan for 2011-2016 and also consistent with Australia-Philippines Aid Program Strategy for 2012-2017. Its project purpose of coordinating and harmonizing TAs of various donor organizations and, in the process, capacitate OBSUs to manage TAs remains responsive to the current needs of DSWD. TAF's relevance as model for harmonizing donors' agenda and TA coordination is also high. At present, there is no other office in DSWD that coordinates and monitors TAs. Since 2012, the PDPB's External Affairs Division is only focusing on ASEAN, APEC and other regional and international agreements and commitments on social welfare. This leaves TAF the only mechanism in DSWD that coordinates TAs of various donor organizations. DSWD values the relevance of TAF. This is expressed by DSWD's issuance of Memorandum Circular in February 2012 which manifests TAF's trajectory towards the newly created Resource Generation and Management Office (RGMO). TAF's relevance is also strongly demonstrated by the regular invitation of TAU's representative to DSWD's top level Management Committee (ManCom) meetings.
- (4) Overall effectiveness of TAF is satisfactory. TAF is making evident improvements in coordinating and harmonizing TAs in support of DSWD's social protection programs. TAF is noticeably exerting efforts to capacitate OBSUs by sharing thoughts and information in the process of developing TA proposals, evaluating and marketing them with donors and in monitoring the implementation of approved TAs. In general, the mid-term achievements of TAF are making progress towards achieving its key result outcomes and strategic objectives. As of Review time, the number of TAs for social protection programs increased from only two in 2011 to 28, demonstrating the effectiveness of TAF as donors' TA coordination mechanism. Among the 28 TAs, eight are funded by the DFAT's AUD5 million with a total amount of 74.9 million Pesos. This is equivalent to a 37.4% utilization rate.
- (5) Overall, the efficiency of TAF is less than satisfactory. The utilization rate of the AUD5 million grant for TA activities is only 37.4% and achieving full budget utilization for the next 20 months of TAF implementation is a big challenge for TAF. Nevertheless, the TAF is making progress in achieving most of its outputs despite limitations in monitoring for results like the inadequacy of indicators and targets at the strategic objectives level. The TAU operation is on budget. As of December 2013, the budget utilization rate for TAU operations is 89%. The budget for TAU operations is only up to January 2014 and the remaining budget for TAU operations is expected to be fully utilized by then.
- (6) **As far as prospects are concerned**, TAF is **sustainable**. The Review sees good chances of a continued partnership between DSWD and donor organizations in the implementation of TAs supporting social protection programs. The experiences of implementing 28 TAs (including 8 of them funded by DFAT's A\$5 million standby grant for TA activities of TAF) can be considered adequate for OBSU staff to accumulate sufficient knowledge and skills in managing TAs. The TAF is accorded priority attention by DSWD such that DSWD formally created an office in February 2012 which functions include those that are presently undertaken by TAF thereby institutionalizing the TAF within the DSWD organizational structure. When this happens, financial requirements for TAF operations will then become regular features of DSWD's annual budget

- (7) The existing M&E practices and system of TAF is satisfactory. TAF activities are regularly reported formally by TAU monthly and quarterly to DSWD; and annually to DFAT and Steering Committee (SC) members. Monitoring information is also shared with DSWD authorities during DSWD's Management Committee (ManCom) meetings. For TA implementation, TAU maintains an updated list of TAs but monitoring information is not yet publicly accessible via the internet. While data generated through monitoring is usually found useful, information on the progress of achieving results especially at TAF strategic objectives level is found insufficient. Roles and responsibilities of monitoring TA implementation between TAU and OBSUs are clear but at times gaps in understanding and information however exists.
- (8) Gender and other social safeguards of TAF are satisfactory. DSWD is popularly known as one of the leading government agencies in the Philippines that advances gender equality, promoting women's empowerment and safeguarding child protection and disability. DSWD is also one of the few government agencies at present that enjoy high public trust ratings because of its anti-corruption practices embedded in its procurement system. Gender and other social safeguards are already embedded in DSWD programs and most DSWD staff continues to receive gender and development trainings. The Asian Development Bank also has a number of gender-related technical assistance with DSWD. Nevertheless, emphasis and clarity on gender equality advancement and women empowerment should be reflected in the performance and results indicators of TAF.
- (9) Originally, the expiry date of the Agreement between DFAT and DSWD concerning TAU operations (Agreement Number 58809) is set on November 2013. This was extended to January 2014, with only 11% of DFAT's budget for TAU operations left as at December 2013. The Review recommends for the extension of DFAT's funding for TAU's operations to coincide with the DFAT's support to TAF originally scheduled for June 2015 (refer to Subsidiary Arrangement dated 2 December 2011). This recommendation is based on the following grounds:
- That the four staff positions funded by DFAT in TAU are key positions that facilitate the TAF activities. The staff presently occupying the Senior Technical Officer (STO) position effectively provides direction of TAU activities and effectively links between TAF to DSWD management; and between DSWD to donor organizations
 - That the other three staff funded by DSWD in TAU are not technically prepared yet to assume fully the tasks and activities performed by the four technical staff funded by DFAT funds
- The recommendation however is anchored on the condition that DSWD develops a sustainability plan for the eventual assumption of TAU tasks and activities by staff funded out of DSWD's own funds
- (10) The first 18 months of implementation had created more challenging situations and had accumulated experiences that offer lessons for a more improved implementation in the future. Also, as discussed in the Report, the insufficiency of verifiable indicators and targets of TAF's strategic objectives and goal has increased the difficulty of tracking progress and communicating successes of TAF. In view of this, the Review recommends for a revisit of the TAF design framework and accompanying plans with the objective of strengthening TAF project management. This would operationally mean reviewing the existing TAF framework and adjust results indicators appropriate to present situation of TAF. The review would also include revisiting existing risk management

framework and make adjustments such as planning for preventive and contingency actions. Based on the adjusted design, a 20-month plan of operations could then be formulated. This plan could be further elaborated in the annual TAF plan (January-December 2014 and January-June 2015). Based on these adjusted design and plans, a results-based monitoring and evaluation system could then be developed taking into account the existing monitoring and reportorial practices.

- (11) The newly created Resource Generation and Management Office (RGMO) in DSWD is envisioned to absorb the functions and tasks of TAF after DFAT's funding. Although created in February 2012, RGMO is not operationally functioning as yet owing to the unavailability of staff and uncertainty on budget allocation. In view of this, the Review recommends for studying the possibility of extending TA to determine the organizational preparedness of RGMO and based on the assessment results, formulate the RGMO results-based framework and operational plan.
- (12) In line with the capacity building of DSWD on management of Technical Assistance (TA), the Review recommends for the formulation of a training intervention plan for OBSU staff. Based on the technical gaps identified through a comprehensive assessment process, the training interventions may include the "how to's" of conducting TA needs assessment and analysis, TA planning; concept note/proposal writing and evaluation as well as donors' TA program familiarization and matching; negotiation, formulation of Terms of Reference (TOR) for TA consultants; facilitating procurement of services of consultants; **acquittal**; monitoring and evaluation of TAs; closing of TAs and learning dissemination.
- (13) The existing governance arrangement for the DFAT's AUD5 million grant for TA activities of TAF had kept DFAT Manila Office occupied with oversight and fund management activities, potentially negating the objective of reducing transaction costs on the part of DFAT. **On the other hand, the Philippine government's procurement system is tied to long but anti-corrupt processes that could not facilitate quick-disbursements for TAs.** In view of this, the Review recommends revisiting the current arrangement and determine the most practical and feasible option about governance arrangement of DFAT's commitment funds of AUD5million for TAs on social protection. The determination should take into account the limited time to disburse the funds within the next 20 months of TAF. In line with this, the Review further recommends studying the possibilities of creating a Sub-Committee within TAF to take on some or all oversight and fund management activities now being undertaken by DFAT-Manila Office. **This Committee must be free from the strict guidelines of the Philippine government's procurement system to allow appropriate quick-disbursements for TAs.** Furthermore, the Review recommends studying the possibilities of extending the DFAT-DSWD cooperation on TAF to 2016 (last year of the current Philippine Development Plan) or to 2017 (last year of the current Australia-Philippines Development Cooperation Program). Extending the TAF beyond 2015 would not only offer an opportunity to see through the effects and impacts of TAs on the delivery of social protection programs but also to see the TAF model sustain the momentum for donors' coordination and information-sharing. It is also expected that DSWD will continue to expand its major programs through to 2016.
- (14) The first 18 months of TAF implementation offer a wealth of lessons about managing, implementing and reviewing of the activities supported by TAF. The Review captures some of them.

- 1) In terms of managing TAF-supported activities, support of DSWD's leadership is important. The TAF could have not achieved substantial progress in the first 18 months had the support of DSWD Secretary not extended. The favourable issuances of directives and the continued invitation of TAU's Senior Technical Officer in the DSWD's Management Committee meetings have sustained the promotion and awareness-raising on TAF within the DSWD's bureaucracy. This is expected to result to better coordination and communication among OBSUs.
- 2) In terms of implementing TAF-supported activities, the 18-month experience reveals the importance of considering timely adjustments in the TAF design and plans after accumulating some implementation experience. Adjustments could come in the form of verifiable indicators as a result of the environmental changes in which the TAF has to operate.
- 3) In terms of reviewing TAF-supported activities, it is important that more interactive, relationship building measures between TAU and OBSUs have to take place as more and more TAs are implemented. In order to maximize the utilization of TAs, it is also important to summarize results of every TA and disseminate the learning to wider audience as possible.

2.2 TARGET AUDIENCES

The target audiences for the key messages are DFAT officials, DSWD officials; other government agencies as members of the TAF's Consultative Body and other donor organizations as members of the TAF's Steering Committee

2.3 DISSEMINATION APPROACH

- (1) Meetings. The results of the Review can be shared during meetings of DFAT staff, TAU staff and during DSWD management meetings where TAU is invited. The results of the Review can also be shared with TAF stakeholders during meetings of the Steering Committee and Consultative Bodies. TAU staff may also share the results of the Review during their meetings with DSWD OBSUs
- (2) Workshop. A DFAT-DSWD joint workshop was already envisioned after the Review. The results of the Review can be shared with the participants during this workshop and follow-up meetings
- (3) Electronic mails. The results of the Review can be disseminated through e-mails to relevant offices

3. LEARNING AND DISSEMINATION ACTIONS

3.1 PUBLIC RELEASE

It is not advisable to release the document to broader Philippine public. The IPR Report contains discussions on possible DFAT funding for TAs that may unduly raise expectations prematurely from member agencies of the TAF's Consultative Body, DSWD OBSUs and even other donor organizations.

3.2 DISTRIBUTION LIST

STAKEHOLDER	MANAGEMENT RESPONSE INCLUDED?	DISTRIBUTION METHOD
DFAT	YES	email, discussions
DSWD	YES	email, meetings
DSWD OBSUs:	YES	
• SUSTAINABLE LIVELIHOOD PROGRAM NPMO	YES	email, meetings
• POLICY DEVELOPMENT AND PLANNING BUREAU	YES	email, meetings
• NATIONAL HOUSEHOLD TARGETING OFFICE	YES	email, meetings
• KALAHI-CIDSS NPMO	YES	email, meetings
• CCT NPMO	YES	email, meetings
MEMBERS OF THE TAF STEERING COMMITTEE:	NO	During SC meetings
• NEDA	NO	During SC meetings
• DBM	NO	During SC meetings
• WB	NO	During SC meetings
• ADB	NO	During SC meetings
• JICA	NO	During SC meetings
• UNICEF	NO	During SC meetings
• MCC	NO	During SC meetings
• AECID	NO	During SC meetings

3.3 LEARNING AND DISSEMINATION ACTIVITIES

ACTIVITY	TARGET AUDIENCE	BY WHEN?	WHO IS RESPONSIBLE?
Presentation of the draft IPR report	DFAT-Manila office	January 6, 2014	Mr. Pablo Lucero
	DSWD-Undersecretary	February 6, 2014	Mr. Pablo Lucero
Workshop to Revisit TAF Design	DFAT staff, TAU staff	February 28, 2014	DSWD Technical Assistance Unit
Follow-up Meeting to the Workshop	DFAT staff, TAU staff, DSWD Undersecretary	March 7, 2014	DSWD Technical Assistance Unit