

# **TERMINAL EVALUATION REPORT**

## **Accelerating the BUB through Inclusive and Effective Governance**

(11 May 2016 to 30 October 2019)

### **PHILIPPINES**

**United Nations Development Programme  
Department of Social Welfare and Development**

Prepared by:

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08 March 2020

## **Acknowledgments**

The independent evaluator (IE) would like to express his warmest gratitude to the United Nations Development Programme – Country Office and the Department of Social Welfare and Development – Philippines for this opportunity to be of service to this strategic and responsive “Accelerating the BUB through Inclusive and Effective Governance” Project.

My deepest appreciation to the project Implementing Partners, the United Nations Development Programme – Country Office and the Department of Social Welfare and Development; the dedicated officers and staff members of the DSWD Regional Offices in Bicol and Eastern Visayas; the Social Welfare and Development Office of Local Government Units in the Cities of Surigao and Naga, the Municipalities of San Francisco, Tago, Marihatag, Cantilan, Placer, Mainit, San Jose, and Gigaquit (CARAGA Region, the Municipalities of Mayorga, Sta. Rita, San Jorge and Tarangnan (Eastern Visayas Region), the Municipalities of Buran, Casiguran, Matnog, Daraga, Canaman, Magarao, and Sagnay (Bicol Region), and the numerous Barangay Captains and Community Leaders and Beneficiaries; the Civil Society Organizations’ officers and staff members in the CARAGA, Eastern Visayas and Bicol regions; and the National Economic and Development Authority Central Office.....

***.....who all shared their valuable time to relate their individual and collective experience and thoughts on the ‘Accelerating the BUB through Inclusive and Effective Governance’ Project during the conduct of interviews and group discussions.***

Lastly, sincerest gratefulness is much extended to the officers and staff of the BUB Project Management Office who provided access to needed data and information, and for the effective organization of planned meetings and efficient logistics arrangement.

All these efforts made the conduct of this terminal evaluation truly possible.

## Project and Evaluation Information Details

### Project/outcome Information

<b>Project/outcome title</b>	Accelerating Bottom Up Budgeting through Inclusive and Effective Governance	
<b>Atlas Award ID</b>	00094900 / 00098964	
<b>Corporate outcome and output</b>	<p>UNDAF/CDP 2012-2018 Outcome 3: Capacities of claimholders and duty bearers will have been strengthened to promote human rights, inclusivity, integrity, accountability, and the rule of law in governance.</p> <p>PFSD/CDP 2019-2023 Outcome 1: The most marginalized, vulnerable, and at-risk people and groups benefit from inclusive and quality services and live in a supportive environment wherein their nutrition, food security, and health are ensured/protected.</p> <p>UNDP Strategic Plan Outcome 3: Countries have strengthened institutions to progressively deliver universal access to basic services; and, Output 3.2: Functions, financing and capacity of subnational level institutions are enabled to deliver improved basic services and respond to priorities voiced by the public.</p>	
<b>Country</b>	Philippines	
<b>Region</b>		
<b>Date project document signed</b>	11 May 2016	
<b>Project dates</b>	<b>Start</b>	<b>Planned end</b>
	11 May 2016	29 February 2020
<b>Project budget</b>	US\$ 10,911,268.72	
<b>Project expenditure at the time of evaluation</b>	US\$ 10,329,447.66	
<b>Funding source</b>	Department of Social Welfare and Development	
<b>Implementing party</b>	United Nations Development Programme	

### Evaluation information

<b>Evaluation type (project/ outcome/thematic/country programme, etc.)</b>	Project	
	Final	
	<b>Start</b>	<b>End</b>
	11 May 2016	30 October 2019
<b>Final/midterm review/ other</b>		
<b>Period under evaluation</b>		
<b>Evaluator</b>	Roberto Maria R. Arquiza	
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<b>Evaluation dates</b>	<b>Start</b>	<b>Completion</b>
	30 September 2019	12 February 2020

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## List of Acronyms

Annual Progress Report	APR
Barangay Nutrition Scholar	BNS
Bottom Up Budgeting	BUB
Child Development Worker	CDW
Children in Conflict with the Law	CICL
City/Municipal Action Team	C/MAT
Civil Society Organizations	CSOs
Commission on Audit	COA
Country Development Programme	CDP
Department of Budget and Management	DBM
Department of the Interior and Local Government	DILG
Department of Social Welfare and Development	DSWD
Direct Implementation Modality	DIM
Early Childhood Care and Development	ECCD
Focus Group Discussion	FGD
Government Cost Sharing	GCS
Government Procurement and Policy Board	GPPB
Human Development and Poverty Reduction Cluster	HDPRC
Independent Consultant / Independent Evaluator	IC / IE
Indigenous People	IP
Joint Memorandum Circular	JMC
KALAH I CIDSS	KC
Kapit-Bisig Laban sa Kahirapan-Comprehensive and Integrated Delivery of Social Services-National Community-Driven Development Program	KALAH I CIDSS-NCDDP
Local Government Unit	LGU
Local Poverty Reduction Action Plan	LPRAP
Local Poverty Reduction Action Team	LPRAT
Long Term Agreement	LTA
Low Value Grant Agreements	LVGA
Memorandum of Agreement	MOA
Micro-Capital Grant Agreement	MCGA
Monitoring and Evaluation	M&E
Municipal Action Team	MAT
Municipal Social Welfare Development Office	MSWDO
Mutual Partnership Agreement	MPA
National Anti-Poverty Commission	NAPC
National Convergence Technical Support Unit	NCTSU
National Economic Development Authority	NEDA
National Government Agency	NGA
National Poverty Reduction Action Teams	NPRAT
Office of Audit and Investigation	OAI
Persons With Disabilities	PWD
Personal Cash Advance	PCA
Programme Operations Policies and Procedures	POPP
Programs Management Bureau	PMB
Project Board	PB
Project Completion Report	PCR
Project Management Office	PMO
Protective Services Bureau	PSB
Provincial Action Team	PAT
Provincial Social Welfare Development Office	PSWDO
Regional Poverty Reduction Action Teams	RPRAT
Regional Support Team	RST
Social Welfare Development Office	SWDO
Standard Basic Assistance Agreement	SBAA
Supplemental Feeding Program	SFP
Sustainable Livelihood Program	SLP
Technical Working Group	TWG
Terminal Evaluation	TE
Terms of Reference	TOR
United Nations Development Assistance Framework	UNDAF
United Nations Development Programme	UNDP
Value Added Tax	VAT
Violence Against Women and Children	VAWC

## **Executive Summary**

### **Brief Description of the Bottom-Up Budgeting (BUB) Project**

The BUB is a national government program of the Aquino administration (2011-2016) for selected national government agencies, DSWD included, to facilitate annual participatory planning and budgeting at the city and municipal levels with the active participation of civil society organizations (CSO), grassroots organizations, and communities – in support of the country's development goals of inclusive growth and poverty reduction by funding relevant projects to significantly address prevalent socio-economic disparity, and strengthen state-society relationships by providing incentives to local government units (LGU) to engage citizens in planning and budgeting of projects to address poor governance systems.

DSWD, as one of the selected departments, implemented BUB through its KALAHI-NCDDP, PSB, and SLP programs. The performance on BUB implementation for DSWD was relatively poor. Completion rates of projects for fiscal years 2013 and 2014 only reached 86% and 63%, respectively, despite having been implemented for 2 years. For fiscal year 2015, completion rate was only at 11% as of February 2016. The below par performance were largely attributed to:

1. Lack of social structure (technical expertise) to support BUB;
2. Financial and administrative bottlenecks;
3. Limited human resources capabilities of LGUs;
4. Weak capacities of Civil Society Organizations;
5. Government environment not conducive to efficient service delivery (policy gaps and issues; simple listing of priority projects), and poor coordination between regular LGU service & DSWD BUB

These led DSWD to seek UNDP assistance to accelerate BUB implementation and deliver 99% of selected 2015 and 2016 BUB projects in LGUs who did not pass the eligibility requirements of the BUB program by piloting an enhanced governance structure that enables DSWD, LGUs and civil society to sustain an effective and wider service delivery process. To be eligible, an LGU must possess the following: Attainment of the Seal of Local Good Governance (DILG); Attainment of the Good Financial Housekeeping (DBM); and, Liquidation of all cash advances (DSWD).

UNDP's direct implementation modality (DIM) offered several advantages: legality of UNDP-Government co-financing scheme / government cost-sharing agreement; world-wide track record in co-implementing government projects; transparency; cost efficiency and timely delivery of goods; no additional cost to DSWD; augmenting existing DSWD BUB personnel; and, a clear strategy to improve and sustain DSWD BUB capacity.

UNDP will accelerate implementation of selected 2015 and 2016 BUB projects (minus cash grants) over an 18 months period, i.e. from May 2016 to November 2017, in all ineligible LGUs in 11 regions within the proximate coverage of regional hubs that had been jointly identified and agreed upon by both DSWD and UNDP based on the number of LGUs, projects and budget, as well as the geographic coverage. The scale of the Project initially covered 549 projects with a Project value of Php613,511,852.46.

To ensure that the BUB process becomes inclusive, efficient and effective, the strengthening of regional governance hubs (G-Hubs) would require the provision of requisite technical support with the deployment of technical experts, the conduct of baseline assessments, capacity building activities for LGUs and CSOs, and the development and advocacy of policy reforms on service delivery. And, to accelerate BUB implementation, administrative support is to be provided to augment existing human resources to assist DSWD and LGUs, and the UNDP Procurement System will be adopted.

A Project Board, composed of representatives from UNDP, DSWD and NEDA, was established to provide direction and management for this collaborative endeavor. UNDP will be assigned the executive role, DSWD as signatory to annual work plans and budget, each Board member the responsibility of project assurance but delegated to UNDP portfolio manager for an objective and independent oversight and monitoring functions, and DSWD Project Manager will handle day-to-day management and decision-making within given parameters. Project progress will be monitored through three (3) quarterly and annual progress reports, and annual project reviews set against implementation milestones. Continuous monitoring on data collection and assessments of field implementation will involve key Project staff, meeting periodically to review operations and field implementation and assess whether new priorities are required.

Several significant changes were introduced, notably: Three (3) extensions covering 27 months until February 2020; Amendments on the ProDoc and government cost-sharing agreement; Reduction of number of projects to cover 487 projects with a Project value of Php507,013,317.46. These were adapted due to lack of due diligence during Project design development phase resulting to a cascade of limitations / weaknesses that emerged during implementation start, namely: non-readiness of most project proposals; rigidity of UNDP procurement system and finance and administration policies; non-fit organizational complementation; applicability and extent of use of the micro capital grant agreement; difficulty in mobilizing civil society organizations; among others.

### **Purpose and Objectives of the Evaluation, Intended Audience and Uses**

The conduct of terminal evaluation is to assess Project's overall performance vis-à-vis its targets and expected outputs, and its contribution towards its objective, and draw lessons to improve the sustainability of benefits arising from the Project. The results will be used by UNDP and DSWD to enhance programming of future similar interventions on enabling

the functions, financing and capacity of sub-national level institutions to deliver improved basic services and respond to priorities voiced by the general public; and, as reference by Philippine national/regional agencies, civil society organizations, private sector, academe and local government units (LGUs) to help them improve inclusive and effective governance interventions and efforts. The evaluation will cover the period 11 May 2016 to 30 October 2019.

The achievements of the Project will be assessed towards the achievement of the intended outcome of *Local communities, especially the poor, women, youth, senior citizens, people with disabilities (PWDs), and marginalized groups have access to protective services, sustainable livelihood, and KALAHI projects (minus cash grants) that they themselves have identified through an enhanced bottom-up budgeting process that is inclusive, efficient, effective and responsive to the development needs of the community* through the 3 strategic outputs on:

1. Governance hubs strengthened to provide technical support to BUB;
2. Administrative support provided to accelerate the implementation of BUB; and,
3. Capacities of social welfare offices built to ensure the effective and efficient execution of BUB and wider service delivery processes in 2 regions

And, specifically on identifying the level of achievement in project outputs and the contribution to results at the outcome level, including unintended positive and negative results; and, identify the key lessons learned and best practices. The evaluation will assess:

- The relevance of the project
- The effectiveness of the achievement of results at the output levels and the level of efficiency in the use of project resources
- The usefulness and sustainability of the results for the project beneficiaries
- UNDP's performance as a development partner
- UNDP's added value to the expected results

#### Main Aspects of the Evaluation Approach and Methods

Main characteristics of the approach and methods used included: review and use of existing and available Project documentation; use of guide questions for key informant interviews and focus group discussions in the 3 sample regional clusters and home offices of DSWD, UNDP and NEDA; data analysis using a framework of analysis; and ethical considerations centered on confidentiality. Data collection procedures relied on evidence-based information, a participatory and consultative approach with identified stakeholders and beneficiaries interviewed and participated in group discussions given all opportunities to openly express their views.

#### Key Findings and Conclusions

1. The activation of regional G-hubs, as planned, proved difficult thus, was not fully realized. Instead, 5 CSOs play a key role on still on-going activities in each of 5 regions on implementing quality assurance standards, document best practices, recommend improvements in implementation, identify capacity needs, recommend strategies to sustain infrastructure projects, and conduct customer satisfaction surveys. The extent of attainment of these outputs remain undetermined; and, the cessation of UNDP regional support teams in July 2019 adds to the difficulty. The remaining regions (i.e. Central Luzon, NCR, CALABARZON, NIR, Central Visayas,) will not have the benefit from this technical assistance.
2. Another 11 CSOs were directly engaged on capacity building of LGUs; for beneficiary groups on supplemental feeding program, on Auxiliary Services (hearing impairment, provision of prosthesis) in PSB, and in the implementation of SLPs (skills training and provision of starter kits); and, on the construction of a level 2 potable water system. All these 11 CSOs were able to cover all regions.
3. The completion rates for SLP, PSB, and KC has reached 92.77%, 86.07%, and 86.88%, respectively, as of 30 October 2019. The availability of funds and the on-going status of these 3 programs render highly probable that all can approach a 100% completion rate by Project end in February 2020.
4. The monitoring of Project progress was not entirely compliant to the design of the M & E system as regular quarterly and annual progress reports were delayed, and annual project reviews were not conducted. Had quarterly reports been regularly generated on a timely manner, Project Board and management could have immediately addressed issues and concerns notably on BUB Project design limitations. The Project Board met only six (6) times during over the more than 3-year Project period, i.e. May 2016 - October 2019, and not at least once each quarter or as necessary as suggested in the ProDoc. However, in its place, a total of eight (8) technical meetings were conducted from November 2017 to May 2018 to discuss several implementation concerns.
5. The initial identified risks during the Project design phase were found to be adequate and indeed materialized. The continuing expansion of risks indicated that Project management consistently monitored the emergence of new risks with management responses to the identified risks were generally found to be sufficient in mitigating the risks. Hence, during Project implementation, management of risks was more highly responsive than proactive.
6. The OAI audit findings on the BUB Project has in fact strengthened the capacity of UNDP to formulate and implement new Projects. UNDP Management has agreed, implemented and adapted these on: Insufficient due diligence and

risk assessment activities; Ineffective procurement strategy; Direct contracting of suppliers without appropriate justification; and, Single sourcing of suppliers for micro-purchases.

7. The BUB Project is found to be generally responsive and aligned with UNDP's Country Development Program, its Strategic Plan and UNDAF. Furthermore, the design was largely anchored on the prevailing condition of DSWD BUB's low implementation accomplishment rates during the years 2013 and 2014. And, the Project continue working towards making contribution to the SDGs.
8. The concept of 'Project support at no extra cost to DSWD' hinged on UNDP ability to generate accumulated funds (i.e. savings) through VAT exemption and from soliciting competitive prices of quality goods and services through consolidated procurement; and using these, UNDP then funded the programmable cost of the Project's planned activities and interventions. Actual proportional cost of activities and interventions reached 25.5% of total Project value, higher than the ProDoc estimate of 19.4% - or, a difference of PHP17.3 Million. This resulted from: 1] The 'out-of-scope' activities notably the review and completion of project documentation for almost all projects and, the unexpected number of sub-projects that reached 1,183 at Project start; and, 2] Project extension of another 27 months that required extending the tenure of the Project staff at the home office and the regional teams.
9. Sustainability of results include: signing of the Mutual Partnership Agreement (MPA) between LGU representatives and DSWD Regional office to carry out O & M activities to extend the economic life of a project; referral systems for advanced optical care with regional public health centers and/or hospitals, and in the LGU for the repair, maintenance, and replacement of hearing aid, awareness sessions with LGU staff personnel, and counseling with family members of beneficiaries on use and maintenance of the device. Capacity building activities provided for LGUs, CSOs, implementers and beneficiary-communities on nutrition and feeding, initiatives in community based rehabilitation (CBR) in the provision of assistive devices, knowledge and skills on enterprise development, operations and management, enhancing self-wage and employment opportunities, monitoring system for fisher folks. On capacitating partners in the national level, UNDP was able to provide trainings in Project Management, Chartered Institute of Purchasing and Supply, Knowledge Product development and orientation on SDGs. These are proofs that sustainability in SLP and PSB projects have been enhanced, and likely to be continued during the post-Project period.
10. For the implementing partners, UNDP emphasized its commitment to strengthening low absorptive capacities of national and sub-national agencies to benefit beneficiary-communities; and, its adoption of contracting modalities to work with CSOs to ensure better project implementation – despite the Project's design limitations. For DSWD, the presence of functioning DSWD field offices and their long established coordination mechanisms with their counterpart LGU-P/C/MSWDOs and their previous experience in implementing BUB prior to the UNDP-DSWD BUB partnership provided valuable Project head starts on the finalization of project proposals, on the already established relationships with communities because of other previous social programs, e.g. 4Ps, feeding program, conduct of community consultations, local procurement, and on familiarity with specifications of assistive devices.
11. The Project was able to successfully provide gender disaggregated data on beneficiaries and further classified these as children, senior citizens, PWDs, beneficiaries and participants. Various capacity building activities were conducted on sustainable livelihood, orientation on gender sensitivity and the Magna Carta for Women, case management of violence against women and children (VAWC) and children in conflict with the law (CICL).

### Recommendations

#### For UNDP:

1. The Project developer relied heavily on information gathered at the national and less from the sub-national level. Hence, the first month of project implementation should include extensive scoping and validation of the ProDoc, with emphasis on operability of the results and resources framework; the feasibility of implementing activities with utmost consideration on timeframe and adequacy of fund resources; availability and commitments of key stakeholders, and organizational structure and complementation, among all other strategies. The initial scoping and validation of BUB Project could have concluded and determined that the original 18 months Project period indeed maybe too short a period of time to attain intended results.  
  
Hence, a Project Inception Report can then be presented as one important agenda item during the first Project Board meeting. The BUB Project did not undertake scoping and validation thus, never had the opportunity early on to assess the overall Project design and discover its limitations.
2. The DIM provides for fast-tracking of contract and procurement processes. The readiness of about 30 project proposals at Project start could have been the opportunity to pilot test the procurement system in consideration of a heterogeneous array of goods and services. Certainly, red flags on issues on delivery and storage, specifications, contract repackaging, changes in the requirements of LGUs, turn-around times, and non-responsiveness of infrastructure contract packages would have immediately emerged, and provided Project management early indications and time to develop a more responsive procurement plan. The plan's consolidation and procurement process should be made on a quarterly basis to accelerate projects implementation to shorten turn-around times, thus avert further delays.
3. Engaging the G-Hubs and CSOs require the conduct of a stakeholders' analysis during the scoping and validation period, as they are to perform a critical role and wide ranging responsibilities in accelerating implementation. The



analysis can provide a planning tool for engaging the services of functioning and available stakeholders both at the national and sub-national levels.

4. The development of Project manuals is an important Project activity and output. These are the Implementation Manual and the Construction, Supervision and Contract Management Manual. Moreover, as part of the M & E Plan, a Project Monitoring-Data Collection manual at the beneficiary level could have been developed for the conduct of a prospective surveys on satisfaction, and on changes on the lives of beneficiaries of sustainable livelihood programs and of assistive devices. The Project could have opted to nevertheless proceed with its development and publication as future reference materials by DSWD and other national agencies.
5. The latest progress report cited the need to strengthen documentation of experiences, lessons learned, and mitigation measures during project implementation. The regular generation of quarterly reports as one of the M & E outputs should be given equal importance on cross-cutting issues, i.e. gender equality, human rights, etc., updating of risks and assumptions, monitoring or Project progress towards attaining results. All these are critical inputs for decision making. In all future Programmes and Projects, especially using DIM, the critical importance of timely generation of requisite reports, e.g. regular quarterly and annual progress reports and project implementation reviews, can never be downplayed.
6. Oversight functions are best effective whenever regular policy and operational reviews are conducted with and at the Board level. To enhance oversight, one agenda item is the presentation by project management of the latest quarterly and/or annual reports, and an annual Project Board review. This certainly will lead to the exercise of better adaptive management through the timely and immediate resolution of issues and concerns. As mentioned in the ProDoc, regular feedback will enable Project management to continuously learn lessons and modify approaches and strategies, and overcome challenges and exploit opportunities

For DSWD:

7. The programs on infrastructure, sustainable livelihoods and protective services undoubtedly will remain as one of many flagship programs. Hence, the review and subsequently pursuit of policy and operational reforms will continue. In this regard, DSWD can consider the inclusive features on project proposal development, the advantages of bulk procurement in improving efficiency and generating savings whenever applicable and adaptable, use of CSOs in providing capacity building interventions, use of quality assurance in implementing infrastructure projects, and in the conduct of beneficiary satisfaction surveys. These reforms can be introduced with inherent revisions to suit the needs of these existing programs and in future programs.
8. The devolution of SWDOs at the local government levels has provided enormous challenges not only on the continuity and alignment of delivery of social services to communities but more than that, has affected the continuing capacity-building needs of SWDOs on their level of awareness and responsiveness to the emerging changes and challenges posed by the development goals of the country. Connectivity and coordination mechanisms with local governments across the country have long been established, but these must go beyond implementation of programs and projects.

Remaining activities of PMO

9. For the PMO, the February 2020 extension for Project completion will have to focus on ensuring that delivery of results are attained on the following:
  - Completion of all on-going projects to attain 100% Project delivery rates
  - For CSOs to substantially accomplish the formulation of sustainability plans, and improve the extent of the conduct of the satisfaction survey
  - Submission of the Project Completion Report
  - Provide justification on the Project need to maximize its remaining funds to complete all the remaining activities
  - Ensure that all Project documents are properly archived to facilitate retrieval in the future

#### Summary of Evaluation Ratings

Summary of Evaluation Ratings			
1. Monitoring and Evaluation	Rating	2. IA, EA & Project Team Execution	Rating
M&E design at entry	<b>S</b>	Quality of UNDP Implementation – Implementing Agency (IA)	<b>HS</b>
M&E Plan Implementation	<b>S</b>	Quality of Execution-Executing Agency (EA)	<b>HS</b>
Overall Quality of M&E	<b>S</b>	Overall Quality of Implementation / Execution	<b>HS</b>
3. Assessment of Outcomes	Rating	4. Sustainability	Rating
Relevance	<b>R</b>	Overall likelihood of sustainability	<b>L</b>
Effectiveness	<b>S</b>		
Efficiency	<b>S</b>		
Overall Project Outcome Rating	<b>S</b>		

## 1. Introduction

### 1.1 Purpose of the Terminal Evaluation

With the operational closure and target completion of all projects on February 2020 (as suggested by UNDP during the 6<sup>th</sup> PBM) of the 'Accelerating the BUB through Inclusive and Effective Governance' Project, or the BUB Project, this terminal evaluation (TE) assessed the overall performance of the Project vis-à-vis identified targets and objectives. This is compliant with United Nations Development Programme (UNDP) Monitoring and Evaluation (M&E) policies and procedures that require a terminal evaluation upon completion of implementation.

Evaluations are deemed critical for UNDP to progress towards advancing human development. Through the generation of evidence and objective information, evaluations enable UNDP to make informed decisions and plan strategically. This evaluation is intended to demonstrate the level of change in the project outputs indicators and the project's contribution to outcome level changes, which are normally demonstrated as changes in the performance of institutions or behavior changes. It also considered whether resources have been properly and judiciously harnessed towards implementation and delivery of stated outputs and the extent to which these outputs contributed to observed results achieved.

The evaluation also identified operational issues that may be improved to facilitate better program implementation and delivery for similar programs in the future. The evaluation will be used by the main parties, UNDP and partner government agency Department of Welfare and Social Development (DSWD), to assess their approaches to development assistance and to design future interventions. It is expected to ensure accountability and to generate knowledge for wider use.

### 1.2 Primary Audience and Intended Users and Uses

The results of the TE will be used by UNDP and DSWD, and by National Economic Development Authority (NEDA) to enhance programming and implementation of future interventions on delivering poverty reduction projects through a participatory local governance process. The results can likewise be used as reference by national/regional agencies, civil society organizations, private sector, academe and local government units (LGUs) to help them improve on efforts on poverty reduction projects.

### 1.3 Structure and Contents of the Evaluation Report

*Executive summary* – Describes the BUB Project, the purpose and objectives of the evaluation, the audience for the evaluation and intended uses, key aspects of the evaluation approach and methods, a summary of the principal findings, conclusions, and recommendations, and the IE's quality standards and assurance ratings.

*Introduction* – Explains the purpose of the evaluation and why the BUB Project is being evaluated at this point in time; the primary audience or users of the evaluation, what they wanted to learn from the evaluation and why, and how they are expected to use the evaluation results. Describes the intervention being evaluated; acquaints the reader with the structure and contents of the report and how the information contained in this report meets the purposes of the evaluation; and, satisfies the information needs of the report's intended users.

*Description of the intervention* – Describes what is being evaluated, who seeks to benefit, and the problems or issues it addressed. Explains the expected results framework, implementation strategies, and the key assumptions underlying the strategy; and, the complementation, linkages and synergies to national priorities, UNDAF priorities, corporate multi-year funding frameworks or Strategic Plan goals, or other programme or country specific plans and goals. Identifies the phase in the implementation of the intervention and any significant changes (e.g., plans, strategies, logical frameworks) that have occurred over time, and explains the implications of those changes for the evaluation; describes the key partners involved in the implementation and their roles; and identifies relevant cross cutting issues addressed through the intervention, i.e., gender equality, human rights, marginalized groups.

Further, it describes the scale of the intervention, such as the number of components (e.g., phases of a project) and the size of the target population for each component; and, the context of the social, political,

organizational, operational, economic, environmental and institutional factors within which the intervention operates, and explains the effects (challenges and opportunities) those factors present for its implementation and outcomes. Finally, it indicates the total resources, including human resources and budgets; and, points out design weaknesses (e.g., intervention logic) or other implementation constraints (e.g., resource limitations).

*Evaluation scope and objectives* – Defines the parameters of the evaluation, i.e. the time period, the geographic area included, and which components, outputs or outcomes were and were not assessed, if any, the evaluation criteria or performance standards used, and the rationale for selecting the criteria; and, the main evaluation questions used in guiding the evaluation to generate information.

*Evaluation approach and methods, and limitations* – Describes the methodological approaches, methods and analysis, the rationale for selection, and how, within the constraints of time and money, the approaches and methods employed yielded data that helped answer the evaluation questions and achieved the evaluation purposes. Some specifics are also included on how gender equality, vulnerability and social inclusion were addressed in the methodology, including how data collection and analysis methods integrated gender considerations, use of disaggregated data and outreach to diverse stakeholders' groups.

The description on methodology include discussions of each of the following: data sources, analysis, and collection procedures and instruments; selection and involvement of stakeholders; performance standards; major limitations of the methodology; and, ethical considerations on measures taken to protect the rights and confidentiality of informants

*Data analysis* – Framework used to analyze the data collected to answer the evaluation questions, including appropriateness of the analysis to the evaluation questions.

*Findings and Conclusions* – Statements of fact based on analysis of the data, structured around the evaluation criteria and questions, and focused on the specific objectives of the evaluation, as enumerated in the ToR. Explanations on variances between planned and actual results, as well as factors affecting the achievement of intended results. Discussions on the assumptions or risks in the project or programme design that subsequently affected implementation. And finally, the findings reflects a gender analysis and cross cutting issue questions to the extent possible. Highlights the strengths, weaknesses and outcomes of the intervention, as substantiated by the evidence and logically connected to evaluation findings – that are responsive to key evaluation questions, and provides insights into the identification of and/or solutions to important problems or issues pertinent to the decision making of intended users, including issues in relation to gender equality and women's empowerment.

*Recommendations* – Provides a number of practical, actionable and feasible recommendations directed to the intended users of this report about what actions to take or decisions to make, corollary to the findings and conclusions around key questions addressed by the evaluation. Addresses the sustainability of the initiative, and provides specific advice for future or similar projects or programming. Also addresses any gender equality and women's empowerment issues and priorities for action to improve these aspects.

*Lessons learned* Includes discussion of lessons learned from the evaluation, that is, new knowledge gained from the particular circumstance (intervention, context outcomes, even about evaluation methods) that are applicable to a similar context; and, based on specific evidence presented in this report.

*Annexes* – Found at the end of this TE Report, this includes the following: 1] Terms of Reference; 2] Project Results and Resources Framework; 3] Annual Work Plan 2016-2017; 4] Matrix of Proposed Amendments on the ProDoc and GCS Agreement; 5] Communication Plan; 6] Evaluation Matrix; 7] Resumé of the Terminal Evaluation Consultant; and, 8] Code of Conduct Signed by the TE Evaluator.

The above structure and content of this Terminal Evaluation Report closely resemble the template of the Annex 3: Evaluation Report Template of the UNDP Evaluation Guidelines, 2019.

#### 1.4 The Bottom Up Budgeting (BUB) Project

Despite strong economic growth performance by the Arroyo administration (2004 - 2010), the Aquino administration began its term in 2010 with the country continuing to face recurring challenges in poverty, inequality and social conflict. Growth has not been inclusive and the quest for attaining good governance

has not been attained, with sectors in civil society still remaining marginalized. The new Aquino administration recognized that reforms needed to be introduced that will empower the citizenry, especially the poor, for greater participation and improved involvement in the decision making process. This can be achieved through a strategy of inclusive governance so that inclusive growth can be attained.

Thus, the Philippine Government embarked on a program of reforming the planning and budgeting process with the end goal of ensuring spending within its means, on the right priorities and with measurable results. Further, the government felt it needed to revisit the concept of devolution to ensure enforcement of local autonomy and citizens' empowerment during the implementation of these process reforms.

The BUB is a national government program designed to facilitate annual participatory planning and budgeting at the city and municipal levels with the active participation of civil society organizations (CSO), grassroots organizations, and communities. The BUB has 2 main goals, i.e. 1] support the Philippine Development Plan's goal of inclusive growth and poverty reduction by funding relevant projects; and, 2] strengthening state-society relationships at the local level by providing incentives to local government units (LGU) to engage citizens in the planning and budgeting of projects.

Under the BUB program, target LGUs are required to constitute Local Poverty Reduction Action Teams (LPRAT) composed of LGU officials and representatives from CSOs and communities. The planning and budgeting process included the identification of priority poverty reduction projects within the pre-determined budget ceiling of the LGU for subsequent consolidation into the Local Poverty Reduction Action Plan (LPRAP) and submission to the participating national line agency. The agency then endorses this to DBM for inclusion in the agencies' budgets for the subsequent fiscal year.

In 2012, the Philippine Government, through the Human Development and Poverty Reduction Cluster (HDPRC), introduced the Bottom-Up Budgeting (BUB) initiative among selected Departments, the National Electrification Administration and the Philippine Coconut Authority, and All City and Municipal Local Government Units, to significantly address prevalent socio-economic disparity and poor governance systems through the delivery of poverty reduction projects using a participatory local governance process on planning and budgeting.

Once funds are made available, these are directly expended either through the LGU or through the line agency. Eligibility criteria for LGUs, as defined by BUB regulations and existing procurement laws and government accounting and auditing rules and regulations, included:

- 1] Proven technical capabilities;
- 2] Recipient of the seal of good housekeeping;
- 3] Submission of the Public Financial Management Improvement Plan; and,
- 4] No unliquidated cash advance.

DSWD, as one of the selected departments, implemented BUB through its KALAH-I-NCDDP, PSB, and SLP programs. If an LGU is deemed ineligible, then the projects are directly implemented by the line agency, and in this case the DSWD.

There are three (3) main categories of BUB projects under DSWD, namely:

1. Sustainable Livelihood Program (SLP) – provision of seed capital fund and skills training
2. Protective Services Bureau (PSB) – supplemental feeding; assistance to individuals in crisis situation; provision of early childhood care and development (ECCD) learning materials for day care centers and supervised neighborhood playgroups; provision of hygiene kit/materials in day care centers; auxiliary social services for people with disabilities (PWDs); Unlad Kabataan Program for Youth; protective services for children in need of special attention; services for solo parents and women in difficult circumstances. In 2019, PSB was rebranded as PMB (Program Management Bureau) but for consistency, PSB will be used in this report.
3. KALAH-I-NCDDP – basic social services sub-projects (community water system, school buildings, day care centers, barangay health stations, electrification, tribal housing/shelter); basic access infrastructure (roads, small bridges/footbridges and access trails); community production, economic support and common services facilities (community economic enterprise training, equipment and materials support sub-projects, pre- and post-harvest and multi-purpose facilities, small-scale irrigation and community transport); environmental protection and conservation (drainage, river/flood control, sea wall, soil protection, artificial coral reef sanctuary, sanitation

facilities); skills training and capability building sub-projects and others like lighthouse and/eco-tourism sub-projects

There are key differences in the implementation of the SLP and PSB (non-KALAHl) and KALAHl projects, and these have been officially recognized early on by DSWD. In both SLP and PSB, administrative costs are capped at 3% by DBM to defray monitoring and evaluation. The planning process is simple. SLP and PSB projects complement the regular projects in the Municipal Development Plan/Annual Investment Plan. If the LGU is eligible, projects are implemented directly by the Social Welfare Development Office (SWDO)-LGU, with procurement done by the DSWD regional offices. For KALAHl, administrative costs are capped at 30%, enabling the program to finance an enhanced support system composed of an entire coordinating team as well as a comprehensive system of social preparation. This provides for a much more detailed and accurate plan in addition to the budget, and documentation. The system also provides for a procurement system that enables the community to drive the implementation.

Overall, the entire BUB initiative was confronted with huge challenges, garnering only a combined 24% delivery rate from 2013 to June 2015 among all involved departments, agencies and LGUs. During the same period, DSWD had a completion rate of only 29%.

## **2. Description of the Intervention**

### **2.1 Target Beneficiaries and, Problems and Issues it Seek to Address**

The performance on BUB implementation for DSWD has been relatively poor. The completion rate of projects for fiscal year 2013 only reached 86% despite being implemented for 2 years. For fiscal years 2014 and 2015, projects' completion rates was only at 61% and 11%, respectively and as of February 2016. With a projected increasing number of projects through the succeeding fiscal years, there was a felt need to revisit the BUB processes.

Serious efforts were exerted within DSWD to fast track and complete the BUB projects for the above fiscal years. Field offices then were directed to:

- 1] Complete the 2013 BUB projects by end September 2015;
- 2] 100% of 2014 BUB projects by end December 2015; and,
- 3] 2015 BUB projects by March 2016.

And, strategies put in place to achieve these included:

- i) Exhaustion of other modalities to implement infrastructure projects;
- ii) Delisting of infrastructure projects of ineligible LGUs;
- iii) Acceleration of fund transfers to eligible LGUs; and,
- iv) Completion of projects with lesser documentary requirements.

While these measures were expected to help speed up delivery of the DSWD 2015 funds, a number of challenges remain for the 2016 BUB budget of DSWD, although the 2016 budget was comparatively lower than the previous years with lower number of projects and in less number of LGUs. Of particular concern is the predominance of infrastructure projects in non-KALAHl areas that is certain to stretch the capabilities and time of the engineers in the required review of technical designs and costs, procurement of goods and services and supervision. Identified challenges included:

- a] Implementation of non-KALAHl projects normally takes 2 years;
- b] The 2015 BUB funds, although already obligated, has an accomplishment rate of only 11% as of March 2016; and,
- c] Year 2016 is a national and local election year, and LGUs' pre-occupation of the electoral exercise will certainly neglect their obligations on BUB and cause more delays.

However, by the early part of 2016, and despite the introduction of initiatives by DSWD to accelerate completion of its 2015 projects, backlogs on 2015 were still experienced. The below par performance level were attributed on the following issues:

- 1] Lack of social structure (technical expertise) of LGUs to support BUB;
- 2] Financial and administrative bottlenecks;
- 3] Limited human resources capabilities of LGUs;
- 4] Weak capacities of Civil Society Organizations;

- 5] Government environment not conducive to efficient service delivery (policy gaps and issues; simple listing of priority projects), and poor coordination between regular LGU service & BUB despite the creation of Local Poverty Reduction Action Teams (LPRAT) and CSOs roles and responsibilities being strengthened.

Thus, in 2016, the challenges became notably on addressing the 2015 backlogs and at the same time on delivering the 2016 projects during a national election year.

For its part, UNDP offered support to DSWD in BUB implementation through a government co-financing initiative, drawing from the provisions of the 1977 Standard Basic Assistance Agreement (SBAA) between the Government of the Philippines and United Nations Development Programme (UNDP), further clarified by a 2015 resolution issued by the Government Procurement and Policy Board (GPPB) that favorably supported the initiative. The challenges faced by DSWD in BUB implementation led DBM and DSWD to accept the assistance offered by UNDP to enhance and accelerate the implementation of BUB, more particularly the non-KALAHIs categories of protective services and sustainable livelihoods.

Therefore, this Project, a UNDP programme in partnership with DSWD, aims to deliver 99% of selected 2015 and 2016 projects in mostly ineligible LGUs that are proximate and within the effective service areas of 10 governance hubs. Essentially, the Project will pilot an enhanced governance infrastructure that will enable DSWD, LGUs and civil society to implement BUB; and, effectively introduce a wider service delivery process that through time is independent of any external intervening support.

UNDP was considered as an ideal partner for the following reasons, namely:

1. Clear, full legality of UNDP Government co financing;
2. UNDP global and track record in co-implementing government programs;
3. Highest standards of transparency;
4. Cost efficiency and timely delivery of goods;
5. Project support at no extra cost to DSWD;
6. Augmenting existing BUB PMO, improving procurement, logistics and supply chain management, and fast tracking of procurement; and,
7. Clear strategy to build government capacity for DSWD to independently operate of external support.

UNDP will accelerate the implementation of selected 2015 and 2016 BUB projects (minus cash grants) in all ineligible LGUs in 11 regions within the proximate coverage of regional hubs that had been jointly identified and agreed upon by both DSWD and UNDP based on the number of LGUs, projects and budget, as well as the geographic coverage. The target beneficiaries of the capacity building interventions in 2 regions to be selected are the DSWD, LGUs, CSOs, and particularly those representing women and the youth sectors.

The strengthening of governance hubs (G-Hubs) would require the provision of requisite technical support to the BUB process that is inclusive, efficient and effective. This would entail the deployment of technical experts, conduct of baseline assessments, capacity building activities for LGUs and CSOs, the development and advocacy of policy reforms on service delivery, and formal agreements between universities and LGUs, CSOs and DSWD. Additionally, the provision of administrative support by augmenting human resources to assist DSWD and LGUs and the adoption of the UNDP Procurement System is expected to accelerate BUB implementation.

By strengthening governance hubs and accelerating BUB implementation, local communities will ultimately have wider access to protective services, sustainable livelihood and KALAHIs projects that they themselves have identified and responsive to the development needs of the community.

Initially, the Project was deemed to run for 18 months, i.e. from May 2016 to November 2017. Three extensions were mulled and subsequently agreed upon, i.e. a first extension provided the Project an additional 12 months until November 2018; and, another 8 months until July 2019. The most recent 6<sup>th</sup> Project Board meeting held on October 30, 2019 also discussed a series of activities leading towards a target Project completion date by February 2020 or, for another 7 months. Total Project extension has reached 27 months.

## 2.2 Results and Resources Framework; Implementation Strategies; and, Key Assumptions

### 2.2.1 Results and Resources Framework

The UNDP BUB Project will attain the Main Outcome ***“Local communities, especially poor women and youth, have access to protective services, sustainable livelihood, and KALAHI projects (minus cash grants) that they themselves have identified through an enhanced bottom up budgeting process that is inclusive, efficient, effective and responsive to the development needs of the community.”***

This was envisioned to be attained through identified components, outputs and results during the entire UNDP BUB Project from May 11, 2016 to November 10, 2017 or, eighteen (18) months. These are defined in the results and resources framework in the ProDoc, first signed on May 11 and 12, 2016 by DSWD and UNDP, respectively; and, further amended and signed on June 20, 2016 by both parties.

Component 1: Strengthen government hubs (G-Hubs) / regional support teams (RST) to provide a network of continuous technical support to BUB implementation.

**Result 1.1** Ten (10) governance hubs / regional support teams covering eleven (11) regions set up to provide continuous technical support to BUB specifically in regards to deployment of professional experts; community organization and mobilization; training of DSWD, LGUs, and CSOs; research and development of governance reforms that promote more conducive environment to service delivery.

**Output 1** Governance Hubs / Regional Support Teams strengthened to provide technical support to BUB

Ten (10) Governance Hubs / Regional Support Teams at the regional level across the Philippines shall have been set up and/or strengthened to provide technical support for the BUB project. Each Hub is constituted by members from civil society, local government and the private sector, typically headed by a university. A number of existing hubs were originally focused on organizing and training citizens to participate in water governance processes under the Water (now the ProWATER Project), with remarkable success. Some hubs have developed a specialization in public finance, with tools now prepared for roll out in some areas. This UNDP-DSWD GCS (Government Cost Sharing) Partnership, therefore, will build upon the existing hub structure, broadening its network, areas of expertise and focus, so that they can eventually perform the following roles to support BUB.

- Deployment of Technical Experts – the Hub will house a pool of full time and part time technical experts, e.g. engineers, water and sanitation experts, disaster risk reduction experts, planners and architects, who can be deployed to municipalities on a demand driven basis.
- Monitoring and Reporting – The Hubs will conduct the baseline assessments and final project evaluation report.

Through time, the Hubs may also be used to perform other supporting activities, such as capacity building activities for LGUs and CSOs, as well as the development and advocacy of policy reforms to enhance the local governance system of service delivery. The UNDP BUB Project will draft the memorandum of agreement between the Hub members in regards to BUB, formalizing the relationship between the universities and CSOs, LGUs and DSWD. A roster of full-time and part-time professional experts will be set up and mobilized for DSWD and LGUs to draw from on a need basis during the course of BUB implementation. An orientation will be provided to the Hubs on the BUB process and types of support required.

The DSWD field offices will orient these technical experts, including intensive area exposure for the experts to build rapport with the LGUs and the region prior to deployment. The Governance Hubs will interface strongly with the DSWD structures at the Regional level, and the Provincial and Municipal Action teams (P/MATs) and with the LGU Provincial and Municipal levels, particularly with the PSWDOs/MSWDOs. As there will only be 10 Hubs supported by the Project, certain hubs will have to cover 2 regions.

Time will be needed to prepare and sign the Hub MOAs, set them up and orientate them on the BUB. In anticipation of this, technical experts will be recruited from the hubs to

report to the DSWD Regional offices in support of the Project. Once Hubs are set up, and the roster is active during the course of the Project, then DSWD can tap into the pool upon demand.

Indicator Number of Governance Hubs set-up to provide continuous technical support to BUB. *Baseline: No Regional Support Team currently providing technical support to the implementation of BUB projects.*

Planned Activities 1.1 1.1.1 Orientation on BUB project conducted with Regional Support Teams, together with DSWD counterparts and several LGU front liners.  
1.1.2 Experts identified and hired immediately to support the DSWD regional offices  
1.1.3 A roster of professional experts set up and orientation will be provided on the BUB process and types of support required.

Component 2: Provide administrative support to accelerate the implementation of BUB

Result 2.1 100% of BUB aggregated planned projects under 2015 and 2016 budget delivered by the end of the Project.

Result 2.2 DSWD and LGUs have 40% more time saved from administrative concerns to focus on capacity building and governance reforms during Project implementation period

Result 2.3 DSWD and LGU self-rated much improved knowledge of general principles of procurement is significantly improved as they are mentored through key decision making processes in the UNDP procurement system, implementation, monitoring and evaluation.

Output 2 Implementation of BUB accelerated through the provision of administrative support  
This output aims to provide immediate administrative support to accelerate the delivery of BUB projects, particularly protective services, sustainable livelihoods, and KALAH I projects in non-KALAH I areas. UNDP will support the existing DSWD structure to deliver 100% of 2016 BUB budget by 2107. This output will temporarily relieve DSWD and LGUs of the administrative burden of project implementation, and create the time and space needed for them to benefit from the capacity building and governance reform interventions provided for by UNDP in 2016. Towards the end of the Project, when capacities have been built and reforms underway, the UNDP staff will be gradually withdrawn from DSWD regions who have been able to demonstrate the capacity to operate independently. Administrative support will be provided in:

Human resource augmentation – to assist DSWD and LGUs with BUB implementation, the Project will instantly provide an influx of staff to support the existing BUB structure in key areas where the workload is currently overwhelming. Staff will be hired within the first 2 weeks of Project start date. At the regional level, the DSWD regional BUB and convergence secretariat will each be augmented with 4 staff, namely a Regional Program Coordinator (coordination of the different offices and hubs), a Procurement Assistant (expedite the procurement process), a Finance and Administrative Assistant and a Monitoring and Evaluation Officer. At the national DSWD office, a Project Manager, a Project Coordinator, a Senior Monitoring and Evaluation Officer, and Finance and Administrative Officer. At UNDP, a further 4 staff will be hired to coordinate the Project and provide support particularly in regards to procurement.

Adopting the UNDP Procurement System – much of the project implementation bottlenecks are attributed to the government procurement system. By temporarily adopting the UNDP system in the first phase of the Project, it can overcome the following bottlenecks and inefficiencies, namely:

- UNDP is not covered by the election ban
- Can overcome the COA eligibility requirements of LGUs
- Can use more streamlined processes compared to government long timelines
- Can counter political interference in the bidding process, while local buyers may have the opportunity to recommend suppliers, the actual bidding process will be done at the national and/or regional level in a fair and proper process
- Can adopt and expand the network of suppliers both at the local and regional level, drafting long term agreements and repeat orders so that the process is streamlined



- Exemptions from customs duties and taxes for importations, which can reach an average of 13% of the value of the imported goods and service, value of staff time and waiting times excluded
- Exemptions from value added taxes on goods, averaging 12% of the value of goods
- Immunity from legal risks that may arise from any procurement implementation activities which third parties may take against the Project itself, the Government implementing agency, or any of its personnel involved in procurement, thus delaying the procurement and Project completion.

UNDP can operate through long term agreements (LTA) that are concluded based on an open competitive exercise, with vendors and service providers at a defined pricing scheme, fixed over a period of time, against which orders can be placed anytime within the LTA duration. This system is used for goods and services that are repeatedly needed on an urgent and high volume basis. All that is needed is the issuance of a Purchase Order, thus skipping the tendering part normally required by policy, hence, the only waiting time is the lead time for the vendor to deliver the ordered goods. While UNDP will be taking the lead on procurement, the LGUs will be mentored throughout this process.

The tendering process will not be done at the local but rather at the national level. First, the requirements (type of goods and services, volume and location) from the municipalities will be consolidated nationwide, and clustered into goods and services that can be serviced from the same vendors. Tendering will be done by cluster, procurement drawn from LTAs, from which purchases may be drawn during implementation. This limits the risk of receiving no interest from suppliers, thus increasing the efficiency of the procurement process. UNDP will also make use of freight forwarding companies that have experience in delivering to far flung areas, hence negating any supplier refusal to deliver the goods.

CSOs may be selected both as beneficiaries and project implementers through either the UNDP direct contracting modality or micro grant modality. CSOs will be selected to receive said grants by the micro grant board, consisting of DSWD and UNDP. The DSWD Regional Director will submit a suggested list for review and approval to the DSWD National Director, who subsequently said list to the UNDP Country Office.

Indicator(s)	<p>Completion rate of projects in 17 target regions through the service coverage of 10 Regional Support Teams  <i>Baseline: 36 % average</i></p> <p>Time saved for DSWD and LGUs to focus on capacity-building and governance reforms for BUB  <i>Baseline: Limited time for DSWD and LGUs who are burdened with administrative concerns of project administration, and have limited time to focus on capacity-building and governance reforms</i></p> <p>Knowledge of administrative management and implementation of projects of DSWD and LGU staff (self-rated)  <i>Baseline: To be determined</i></p>
Planned Activities 1.2	<p>1.2.1 Delivering BUB programmes through UNDP procurement</p> <p>1.2.2 Mentoring DSWD / LGUs through procurement</p> <p>1.2.3 Conducting feedback sessions to entrench learning process</p> <p>1.2.4 Phase out UNDP procurement</p>

### Component 3: Effective Project Management

Indicative Activities	<ol style="list-style-type: none"> <li>1. Hiring and training of UNDP delivery unit to augment DSWD / LGU staff capacity for BUB</li> <li>2. Reporting, monitoring, evaluation, audit.</li> </ol>
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*The UNDP BUB Project's Results and Resources Framework and the Annual Work Plan 2016-2017 are presented as Annex 2 and Annex 3, respectively.*

## 2.2.2 Implementation Strategies

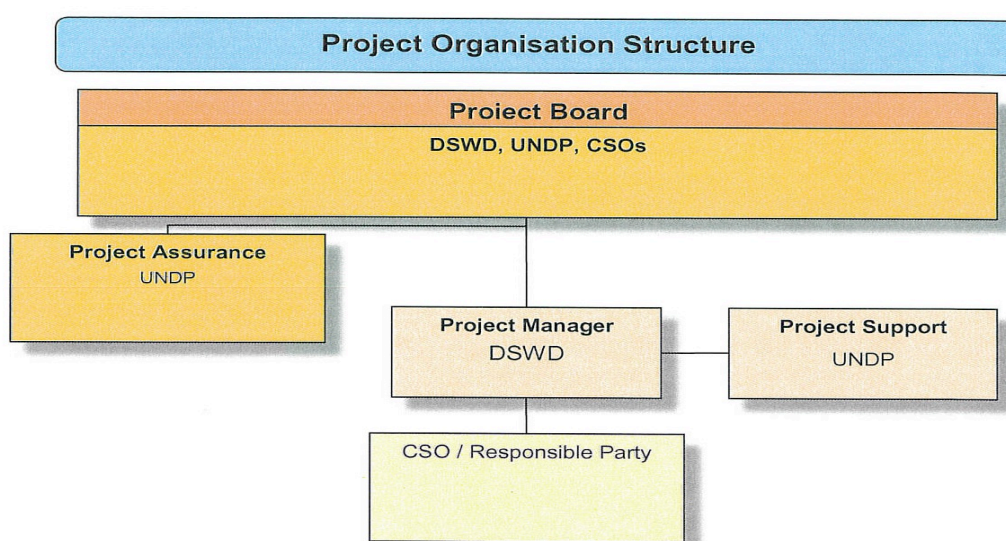
### *Management Arrangement of Key Partners*

The BUB Project will be a collaborative endeavor and jointly implemented by UNDP and DSWD.

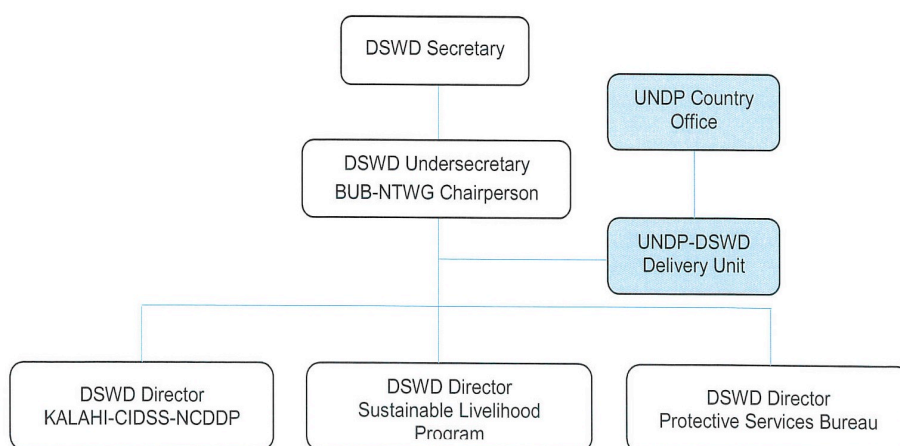
The Project Board (PB) will be established to provide direction and management of the Project, and will be composed of representatives from UNDP, DSWD and CSOs. PB will meet at least quarterly or as necessary to review and approve annual work plans and decide on other Project management concerns; and, work on a consensus basis while final decision-making on Project activities and accountabilities rest with UNDP in accordance with applicable regulations, rules, policies and procedures. While the original ProDoc and amended ProDoc indicate CSOs as part/member of the PB, NEDA was the institution included as member of the PB in all the PB meetings.

While the Project will be executed via the Direct Implementation Modality (DIM), DSWD will nevertheless be a signatory of annual work and financial plans. The Executive role will be performed by the UNDP Country Director. Project Assurance is the responsibility of each Board member, however, the role will be delegated to the UNDP Portfolio Manager for Democratic Governance. This role supports the Board by carrying out objective and independent Project oversight and monitoring functions to ensure that management milestones are managed and completed.

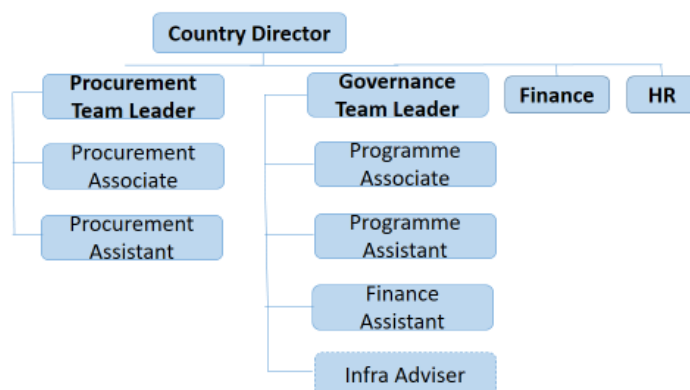
The DSWD Project Manager will hand day-to-day management and decision-making within the parameters laid down by the PB, and lead the operations team consisting of the Coordinator, Senior Monitoring and Evaluation Officer and a Finance and Administration Officer. The Project Manager will work closely with PSB, SLP and KALAH! Directors to determine their respective program's implementation standards and requirements. And, with the assistance of the technical staff, will prepare the DSWD-UNDP BUB Implementation Manual to provide specific guidelines on how the system will work, especially in the provision of technical assistance and procurement.



For Project delivery, it is to be stressed that UNDP will be reinforcing the existing DSWD BUB structure with additional staff and technical support to implement the BUB projects in a joint partnership. At the National DSWD Office, the Project staff will complement the BUB TWG, and the Project will not alter but rather augment the existing staff structure within DSWD for BUB. UNDP contracted personnel will have reporting responsibilities to UNDP, and UNDP is the de-facto entity responsible for anyone holding contracts that UNDP issues. Further, the oversight for construction works will be carried out by the Infrastructure Adviser, and will coordinate with relevant personnel from LGUs in need.



### UNDP Country Office (Metro Manila)



The regional team will collaborate closely with the DSWD Regional BUB and augment them on M & E, procurement and finance activities. The Regional Coordinator will assume responsibility for ensuring that BUB implementation proceeds according to Project timelines. This will require working closely with the Coordinators of KALAHI, PSB and SLP and the Convergence Team in the review of projects, determining technical assistance required, and assisting the LGUs in complying with documentary requirements, facilitate efficient procurement activities, and eventually monitor sub project implementation. Furthermore, the Regional Coordinator will assess the technical assistance required by the Municipal Action Teams and the LGUs and collaborate with the Governance Hubs to address these by providing the needed technical expertise.

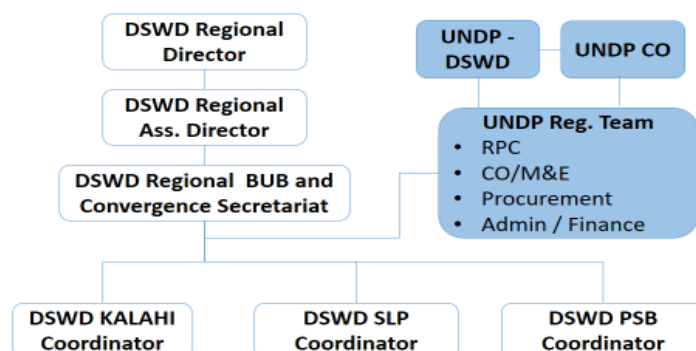
A system of matrix reporting will be utilized for Project staff based in the DSWD main and regional offices, wherein they will report to assigned DSWD personnel identified by DSWD, to be clearly stipulated in their respective Terms of Reference. UNDP rules will govern holders of UNDP contracts, and should there be DSWD rules that personnel may be required to follow, this will have to be discussed on a case-to-case basis, all for the purpose of ensuring that they are aligned with UNDP mandates.

For trainings, trainers may be recruited by the DSWD regional offices from the governance hubs or, elsewhere. LGU participation in project implementation is crucial for it allows for a degree of local ownership, wherein the LGU personnel can be mentored during the process, thus enabling the LGUs to eventually assume full BUB Project implementation independent of UNDP and DSWD support at the end of this initiative.

The Governance Hubs may serve as technical support to the regional teams, and eventually screen qualified experts in engineering, project development and sustainable livelihood, to be deployed where and when needed. This will ensure that specific requirements of the region are addressed. The Hubs will also

assess the capabilities of the LGUs, CSOs and design training programs and activities to address the identified needs.

### DSWD Regional Office



A more detailed delineation of roles and responsibilities of UNDP and DSWD especially at the sub national levels will be developed during the preparatory phase of the Project in order to map accountabilities for processes and outputs, relationships and reporting arrangements. A planning workshop will be held by UNDP, DSWD and other key stakeholders to identify the precise needs of the regions, the local political dynamics that are likely to be encountered, the details of staff reporting arrangements, and other concerns.

In view of the widely differing physical and development conditions of BUB municipalities, UNDP and DSWD both agreed that sub-regional or municipal level planning between UNDP hired personnel and DSWD municipal level staff is necessary to adequately capture information to informed planning, e.g. for deployment of technical experts, procurement and capacity building requirements, and nuance the strategies to address local and institutional constraints.

UNDP will disclose to DSWD information to track status of procurement. Such information are necessary for management decision-making and allow for quick resolution of issues around possible delays.

#### *Monitoring Framework and Evaluation*

Project progress will be monitored according to UNDP rules and regulations through three (3) quarterly and one (1) consolidated annual report, and Project Board annual reviews set against implementation milestones. Continuous monitoring on data collection and assessments of field implementation will involve key Project staff, meeting periodically to review operations and field implementation and assess whether new priorities are required.

Indicators, both quantitative and qualitative were included in the Results and Resources Framework. The monitoring of Project progress were to be done annually (field visits, annual review report, annual project review, and quality at implementation), and quarterly (quality assessment, issue log, risk analysis, project progress report, lessons learned log, and monitoring schedule plan). The Project will be further subjected to the conduct of one standard UNDP programme audit, one internal M & E exercise (i.e. mid-term assessment), and at the end of Project implementation, a terminal evaluation.

At Project completion, a Project Completion Report (PCR) will sum up the level of accomplishments on objectives, outcomes and outputs; highlight the breakthroughs and innovative contributions of the Project in terms of coordination system development worth replicating in similar projects to be undertaken; and, set out strategies to efficiently manage resources. Results from the Project will be disseminated within and beyond the Project intervention through information sharing networks and/or through publications. For publications, proper acknowledgment to UNDP for providing funding will be ensured.

The results and resources framework will provide the project management with regular information on the Project status. In addition, regular feedback will come from the Project Board. Collectively, this feedback will enable Project management to continuously learn lessons and modify approaches and strategies, and overcome challenges and exploit opportunities. Budget revisions/amendments to the contract including an extension will be done through a formal exchange of letters between UNDP and DSWD along with the revised Work and Financial Plan.

## 2.2.3 Key Assumptions

The successful conduct of the indicative activities and the attainment of outputs are premised on the assumptions that:

- DSWD and LGUs, when properly capacitated, can lead to successful BUB implementation
- Civil Society can be mobilized and sustainably engaged by LGU for BUB project implementation
- Governance hubs are functioning and can provide Technical experts that are engaged for BUB delivery
- Appropriate policies and support mechanisms can be introduced to reform BUB

Moreover, the achievement of the Project results are premised on the following assumptions, namely:

- Technical experts can be tapped to assist projects needing assistance
- Governance hubs are sustained through a business model
- UNDP administrative support is able to overcome administrative and financial bottlenecks
- Capacities are effectively utilized by LGUs, CSOs, and DSWD
- CSOs are effectively engaged

## 2.3 Scale of the Project - Total Resources, Human Resources and Budgets

UNDP will support non-KALAH programs, i.e. protective services and sustainable livelihoods) as well as selected KALAH projects in non-KALAH areas. The UNDP-DSWD Project proposes to take on the BUB 2015 and 2016 budget for 11 regions – for selected KALAH in non-KALAH areas, and the protective service and sustainable livelihoods for all the 17 regions, through the 11 regional hubs. Table 1 below shows the regional breakdown of the total number and amounts of the 2015 and 2016 projects for inclusion.

**Table 1: Summary of Aggregate 2015 and 2016 Projects**

Region	KALAH-CIDSS		SLP (minus cash grants)		PSB (minus cash grants)		Aggregate Totals	
HUBS	KC (#)	KC (PhP)	SLP (#)	SLP (PhP)	PSB (#)	PSB (PhP)	Total (#)	Total (PhP)
CARAGA	36	47,192,780.00	7	7,614,800.00	6	4,350,000.00	49	59,157,580.00
NCR	2	5,428,000.00	0	-	23	29,660,955.00	25	35,088,955.00
NIR	18	18,702,000.00	1	850,000.00	29	20,907,000.00	48	40,459,000.00
Region 2	12	19,470,000.00	5	7,627,896.28	23	19,240,250.00	40	46,338,146.28
Region 3	23	35,454,867.00	8	10,191,690.50	37	26,731,140.00	68	72,377,697.50
Region 4A	14	15,010,000.00	1	975,000.00	32	24,121,960.00	47	40,106,960.00
Region 5	11	15,685,000.00	9	13,496,940.00	49	37,493,250.00	69	66,675,190.00
Region 7	17	25,320,000.00	13	23,250,794.40	28	28,531,000.00	58	77,101,794.40
Region 8	18	29,305,800.00	20	24,870,000.00	113	8,373,000.00	51	62,548,800.00
Region 11	2	5,800,000.00	3	1,800,000.00	2	2,217,000.00	7	9,817,000.00
Region 12	20	31,785,211.28	11	8,802,350.00	11	13,550,000.00	42	54,137,561.28
<b>Totals</b>	<b>173</b>	<b>249,153,658.28</b>	<b>78</b>	<b>99,479,471.18</b>	<b>253</b>	<b>215,175,555.00</b>	<b>504</b>	<b>563,808,684.46</b>
<b>Non-HUBS</b>	<b>KC (#)</b>	<b>KC (PhP)</b>	<b>SLP (#)</b>	<b>SLP (PhP)</b>	<b>PSB (#)</b>	<b>PSB (PhP)</b>	<b>Total (#)</b>	<b>Total (PhP)</b>
CAR	11	16,472,768.00	0		3	2,700,000.00	14	19,172,768.00
Region 4B	0		3	1,500,000.00	20	16,480,400.00	23	17,980,400.00
Region 6	0		0		0		0	
Region 9	0		1	3,875,000.00	4	2,575,000.00	5	6,450,000.00
Region 10	2	4,000,000.00	0		1	2,100,000.00	3	6,100,000.00
<b>Totals</b>	<b>13</b>	<b>20,472,768.00</b>	<b>4</b>	<b>5,735,000.00</b>	<b>28</b>	<b>23,855,400.00</b>	<b>45</b>	<b>49,703,168.00</b>
<b>GRAND TOTALS</b>	<b>186</b>	<b>269,626,426.28</b>	<b>82</b>	<b>104,854,471.18</b>	<b>281</b>	<b>239,030,955.00</b>	<b>549</b>	<b>613,511,852.46</b>

UNDP will deliver all 549 selected projects (minus all cash grants) identified in the BUB plans for 2015 and 2016 to the Philippine government through its procurement system amounting to PhP613,511,852.46. As a result, total savings of PhP89,737,187.90 will be generated from the 12% VAT exemption and from cheaper prices from suppliers. These savings will be used to finance the substantive aspects of the Project (strengthening of governance hubs, capacity building, and policy reforms) as well as costs on general management support and technical support. Hence, the Project will be financed at no extra cost to DSWD.

If more savings are generated, then these can be used to support substantive outputs and activities to support BUB implementation in the long term. This may include additional support strengthening the G-Hubs, capacity building support for CSOs and the LGUs particularly the Provincial and Municipal Social Welfare Offices, policy reforms and other relevant activities.

The 3% general management support services follows the UNDP cost recovery policy, and the additional 2% technical assistance fund will be used to provide, among others, for capacity development, but not limited to, government agencies contributing to the fund. Furthermore, as long as they are unequivocally linked to the specific project(s), all direct costs of implementation, including the cost of the implementing partner, will be identified in the Project budget against a relevant budget line and borne by the Project accordingly. Finally, all unutilized funds by the Project shall be reprogrammed back into the Project.

Table 2 below shows the Project financing:

**Table 2: Project Financing**

Budget Item	Amount (PhP)
Total BUB allotment for DSWD 2016	613,511,852.46
Procurement 'savings' from 12% VAT	59,061,595.28
Procurement 'savings' from cheaper prices	30,675,592.62
Total 'savings'	89,737,187.90
3% UNDP General Management Support	17,528,910.07
2% Technical Support	11,685,940.05
Total Project Programmable Cost	584,297,002.34
UNDP Contribution (Staff Time)	2,000,000.00
Total Project Value	613,511,852.46

Table 3 below provides for the detailed operational budget:

**Table 3: Project Operational Budget**

Human Resource Staffing							
	Regions	Duration	Base cost/mo.	Adjusted cost/mo.	Total Cost PhP	USD	
UNDP Country Office (CO)							
Procurement Associate	1	16	55,000.00	60,000.00	960,000.00	21,000.00	
Procurement Assistant 1	1	16	34,700.00	39,700.00	635,000.00	14,000.00	
Admin / Finance	1	16	34,700.00	39,700.00	635,000.00	14,000.00	
Programme Associate	1	16	69,000.00	74,000.00	1,184,000.00	25,000.00	
Programme Assistant	1	16	34,700.00	39,700.00	635,000.00	14,000.00	
DSWD National Office							
Project Manager	1	16	120,000.00	125,000.00	2,000,000.00	43,000.00	
Coordinator	1	16	70,000.00	75,000.00	1,200,000.00	26,000.00	
Senior M & E Officer	1	16	50,000.00	55,000.00	880,000.00	19,000.00	
Finance / Admin Officer	1	16	50,000.00	55,000.00	880,000.00	19,000.00	
DSWD Regional Office (17 Regions)							
Procurement Assistant	10	12	29,500.00	34,500.00	4,140,000.00	89,000.00	
Admin / Finance Assistant	10	15	29,500.00	34,500.00	5,175,000.00	111,000.00	
CO M & e	10	15	29,500.00	34,500.00	5,175,000.00	111,000.00	
RPC Coordinator	10	15	29,500.00	34,500.00	5,175,000.00	111,000.00	
Total HR Cost					28,674,000.00	617,000.00	
Travel							
	Per Diem	Units	Duration	Base cost/mo	Adjusted cost/mo.	Total Cost	USD
National Staff	10,000.00	9	17	90,000.00	90,000.00	1,530,000.00	33,000.00
Regional Staff	10,000.00	40	17	400,000.00	400,000.00	6,800,000.00	146,000.00
Hub Consultant	20,000.00	18	12	360,000.00	360,000.00	4,320,000.00	93,000.00
Total Travel and Per Diem Cost						12,650,000.00	272,000.00
Workspace							
Office		Units	Duration	Base cost/mo	Adjusted cost/mo.	Total Cost	USD
Equipment (laptop)		64	1	30,000.00	1,920,000.00	1,920,000.00	41,000.00
Supplies		64	14	500.00	32,000.00	448,000.00	10,000.00
Communications		64	14	500.00	32,000.00	448,000.00	10,000.00
Furniture		10			40,000.00	400,000.00	9,000.00
Total Workspace Cost						3,216,000.00	70,000.00
Regular Meetings							
	Regions	Duration	Base cost/mo.	Adjusted cost/mo.	Total Cost	USD	
UNDP Staff with Regular Staff	1	17	6,000.00	102,000.00	102,000.00	2,000.00	
Regional Staff Meetings (17 regions)	10	17	3,000.00	510,000.00	510,000.00	11,000.00	
Total Meetings Cost						612,000.00	13,000.00
Technology							
	Units	Duration	Base cost/mo	Adjusted cost/mo.	Total Cost	USD	
Hub Consultants							
Engineers	18	12	37,000.00	7,992,000.00	7,992,000.00	171,000.00	

Trainings and Assessment						
Staff orientation, meetings, for a	1		1,800,000.00	1,800,000.00	1,800,000.00	39,000.00
Hub meetings, planning, assessment	1		1,400,000.00	1,400,000.00	1,400,000.00	30,000.00
Project evaluation	1		690,300.00	690,300.00	690,300.00	15,000.00
Audit	1		690,300.00	690,300.00	690,300.00	15,000.00
<b>Total Technology Cost</b>					<b>12,572,000.00</b>	<b>270,000.00</b>
<b>TOTAL DSWD-BUB COST</b>					<b>57,724,000.00</b>	<b>1,242,000.00</b>

## 2.4 UNDP DSWD BUB Project Link to UNDAF and Country Programme Priorities

UNDP DSWD BUB Project intends to contribute to the attainment of Outcome 3 of the United Nations Development Assistance Framework (UNDAF) and the UNDP Country Programme by “*Strengthening the capacities of claimholders and duty bearers who promote human rights, inclusivity, integrity, accountability and the rule of law in governance*”.

The BUB Project follows UNDP Strategic Plan Outcome 3: *Countries have strengthened institutions to progressively deliver universal access to basic services*; and, its Output 3.2: *Functions, financing and capacity of subnational level institutions are enabled to deliver improved basic services and respond to priorities voiced by the public*.

Furthermore, the Project is aligned with the country's development needs and priorities, including its commitment to contribute to the attainment of the 2030 Sustainable Development Goals, particularly on:

- Goal 1. End poverty in all its forms everywhere
- Goal 2. End hunger, achieve food security and improved nutrition and promote sustainable agriculture
- Goal 3. Ensure healthy lives and promote well-being for all at all ages
- Goal 4. Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all
- Goal 5. Achieve gender equality and empower all women and girls
- Goal 6. Ensure availability and sustainable management of water and sanitation for all
- Goal 9. Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation
- Goal 11. Make cities and human settlements inclusive, safe, resilient and sustainable
- Goal 12. Ensure sustainable consumption and production patterns
- Goal 16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels

The Project will likewise ensure the incorporation of gender perspectives in its various outputs and activities by giving emphasis on gender sensitive concerns especially in the capacity building and protection of women, including children and elderly persons.

## 2.5 Significant Changes over Time, and Implications to the Evaluation

There were five (5) significant changes that occurred during BUB Project implementation. These were on:

- 1] Expansion of Project outputs' indicators;
- 2] Three (3) extensions of the implementation period;
- 3] Amendments introduced on the Project Document (ProDoc) and the Government Cost-Sharing Agreement (GCS);
- 4] Reduction in the final number of projects as a result of delisting; and,
- 5] Drafting of a communications plan as a result of the reduction/delisting.

### 2.5.1 Project Output Indicators

The 2017 Annual Work Plan made revisions with the expansion of Project output indicators, as follows:

Output 1: Governance hubs strengthened to provide technical support to BUB

Aside from the previous indicator on the number of G-Hubs set up to provide continuous technical support to BUB, two (2) more indicators were added. These are: Extent to which G-Hubs were able to provide technical support to BUB; and, Extent to which a sustainability plan is developed by G-Hubs to continue



technical support to LGUs and DSWD regional offices on project development, implementation and monitoring, and citizen's engagement.

Output 2: Administrative support to accelerate BUB implementation

The indicator on 'Average project delivery duration' was added to complement the previous indicators on completion rates for BUB projects, time saved for DSWD and LGU to focus on capacity building and governance reforms, and knowledge of administrative management and implementation of DSWD and LGU staff (self-rate).

### 2.5.2 Project Extensions

The first extension was discussed during the executive session of the 2<sup>nd</sup> Project Board meeting of October 27, 2017 and confirmed by DSWD to UNDP on November 8, 2017. The extension granted an additional 12 months to November 10, 2018. UNDP proposed the extension to cover for time lost in delivering and resolving 'out-of-scope' outputs experienced during the 1<sup>st</sup> six (6) months of Project implementation. These outputs were mainly on: Completion of project proposals, and list of projects and sub-projects; Procurement issues more specifically on high costs of delivery and storage; Resolution on the conversion of cash grant projects to goods deliveries; Securing commitments of LGU counterpart funds; and, Preparation and execution of bid documents of infrastructure projects.

The second Project no-cost extension to September 30, 2019 was approved during the executive session of the 4<sup>th</sup> Project Board meeting on October 18, 2018. During the same meeting, UNDP disclosed that project funds already with UNDP are to be accomplished during the period April to July 2019 or, of equal importance, that the schedule of extension will largely depend on when the Project savings can cover the Project expenditures.

The third extension was suggested during the 6<sup>th</sup> Project Board meeting on October 30, 2019, allowing for the final target date of Project completion to March 2020. It was further agreed that UNDP: 1] Provide an update on actual accomplishment of ongoing projects with actual target of delivery; 2] Letter of extension to cover the operational closure of UNDP BUB project to include a chronological events of what happened, justify why there was a delay in the communication, UNDP Policy on project implementation as annex, the matter on the PhP9 Million to be returned or to be utilized with recommendations, and a letter on the terminal evaluation. However, the BUB TWG Chairperson, A/Sec. Peñaflor did not officially agree on the extension until March 2020, instead what remains to be the official project end is September 2019.

### 2.5.3 Amendments to the ProDoc and GCS Agreement

During the 3<sup>rd</sup> Project Board meeting on April 19, 2018, the Technical Working Group, after a series of meetings conducted from November 2017 to April 2018, were able to present 40 proposed amendments to the ProDoc, including its annexes, and 10 proposed amendments to the GCS.

Some of the proposed amendments and addenda on the ProDoc, considered of significant importance, consisted of the following:

- i. Cover page
  - o From 2 regions to *at least 2 to a maximum of 5 regions*
  - o Programme period – from 2016 - 2017 to *2016 – 2018, with end date of 10 November 2018*
  - o Total resources – from PhP613,151,852.46 to PhP613,502,184.46 to *PhP507,013,317.46*
  - o UNDP staff time – from PhP2,000,000.00 to *PhP35,364,205.11*
- ii. Situation Analysis
  - o BUB under DSWD – *DSWD-NCTSU (National Convergence Technical Support Unit) providing secretariat support to the BUB National technical Working Group*
  - o Partnership with UNDP – ...fund the actual programmable cost to *fund the operational activities*
- iii. Component 1, Result 1.1 – Ten (10) Governance Hubs covering 15 regions to *five (5) to ten (10); G-Hubs are able to provide technical support to BUB; and, G-Hubs are able to provide sustainability plans to continue technical support to LGUs and DSWD regional offices*
- iv. Human resource augmentation – rationalization of the composition and functions of the Project's national office and physical location (from DSWD to UNDP premises), and the regional project support teams with the removal of the procurement function



- v. Project financing – from 497 selected projects identified in plans 2015 and 2016 for the 11 regions to 487 projects...15 regions...fund allocation per program shall be used specifically for the projects within the program, i.e. KC, PSB and SLP. The word 'savings' has been deleted and replaced by the words 'leverage' and 'accumulated funds' with respect to Project operating costs and UNDP general management support costs. Further, in cases that projects are delisted/dropped/unexecuted, corresponding amount shall be returned by UNDP to DSWD.
- vi. Management arrangements - the composition of the UNDP Country Office team will be expanded to include a *Governance Analyst, Programme and Procurement Associates, Human Resource Assistant, Finance and Administrative Assistant* and the collapse of the position *Finance and Administrative Officer*. At the DSWD national office, the expansion calls for the creation of the positions *Project Analyst, Field Logistics Coordinator, and Administrative Assistant*. The position of Senior Monitoring and Evaluation Officer was collapsed.
- vii. Monitoring Framework and Evaluation – additional provisions were added, namely: *submission of monthly reports by UNDP to DSWD Secretary and other documents; UNDP staff time amounting to Php35,364,205.11 to form part of UNDP's contribution to the Project.*

The Project Board, in its executive session, agreed to amend the ProDoc while attaching the original GCS Agreement. Meanwhile, a parallel effort by UNDP was performed to seek confirmation from UNDP HQ Legal team and assisted DSWD respond to earlier COA findings that the GCS agreement is 'disadvantageous to the government'.

*The amendments on the ProDoc and GCS Agreement are contained in Annex 4*

#### 2.5.4 Reduction of Number of Projects, Delisting

During the 3<sup>rd</sup> Project Board meeting on April 19, 2018, one of the agreed amendments on the ProDoc was the reduction of total Project resources from Php613,151,852.46 to Php507,013,317.46 – as a result of DSWD decision to no longer download to UNDP the remaining KC and SLP funds. This led to the delisting of 68 projects in 45 LGUs resulting to the reduction of the number of projects to 487. In identifying the delisted projects, the DSWD-UNDP Technical Meeting of January 3, 2018 agreed that the criteria to be used for finalizing the project list were on completeness of project documents and the transfer of an LGU's cash counterpart to UNDP. This in effect revised Annex E of the ProDoc.

The revised summary of 2015 and 2016 projects are presented in Table 4, below:

**Table 4: Revised Summary of 2015 and 2016 Projects**

Region	KALAHI-CIDSS		SLP (minus cash grants)		PSB (minus cash grants)		Aggregate Totals	
HUBS	KC (#)	KC (PhP)	SLP (#)	SLP (PhP)	PSB (#)	PSB (PhP)	Total (#)	Total (PhP)
CARAGA	36	47,542,780.00	4	3,664,800.00	5	3,250,000.00	45	54,457,580.00
NCR	2	5,428,000.00			23	29,660,955.00	25	35,088,955.00
REGION II	9	9,070,000.00	5	7,627,896.28	22	18,117,350.00	36	34,815,246.28
REGION III	3	6,500,000.00	7	5,691,690.50	36	23,082,940.00	46	35,274,630.50
REGION IV A	11	12,610,000.00	1	975,000.00	32	24,121,960.00	44	37,706,960.00
REGION V	10	13,885,000.00	9	13,496,940.00	48	36,993,250.00	67	64,375,190.00
REGION VII	17	19,920,000.00	14	24,100,794.40	43	40,031,000.00	74	84,051,794.40
REGION VIII	7	13,100,000.00	20	24,870,000.00	13	8,373,000.00	40	46,343,000.00
REGION XI			3	1,800,000.00	2	2,217,000.00	5	4,017,000.00
REGION XII	19	29,685,211.28	11	8,802,350.00	11	13,550,000.00	41	52,037,561.28
<b>Totals</b>	<b>114</b>	<b>157,740,991.28</b>	<b>74</b>	<b>91,029,471.18</b>	<b>235</b>	<b>199,397,455.00</b>	<b>423</b>	<b>448,167,917.46</b>
Non-HUBS	KC (#)	KC (PhP)	SLP (#)	SLP (PhP)	PSB (#)	PSB (PhP)	Total (#)	Total (PhP)
CAR	8	12,500,000.00			10	7,700,000.00	18	20,200,000.00
REGION IV B			5	3,500,000.00	21	17,040,400.00	26	20,540,400.00
REGION VI			3	2,500,000.00	11	7,055,000.00	14	9,555,000.00
REGION IX			1	3,875,000.00	4	2,575,000.00	5	6,450,000.00
REGION X					1	2,100,000.00	1	2,100,000.00
<b>Totals</b>	<b>8</b>	<b>12,500,000.00</b>	<b>9</b>	<b>9,875,000.00</b>	<b>47</b>	<b>36,470,400.00</b>	<b>64</b>	<b>58,845,400.00</b>
<b>GRAND TOTALS</b>	<b>122</b>	<b>170,240,991.28</b>	<b>83</b>	<b>100,904,471.18</b>	<b>282</b>	<b>235,867,855.00</b>	<b>487</b>	<b>507,013,317.46</b>

### 2.5.5 Drafting of Communications Plan

The delisting and non-realization of 68 projects in 45 LGUs required the need to develop a communications plan intended to reach all levels of stakeholders, both internal and external. For internal stakeholders, i.e. DSWD-BUB implementers from KC, SLP and PSB from the Central Office and Field Offices, the objectives of the plan were: Build understanding among stakeholders for the BUB Project closure; Inform the DSWD staff counterparts of the reasons for delisting of projects; and, Provide data and other necessary documents relative to these reasons.

For the external stakeholders, consisting of the affected 45 LGUs and beneficiaries, and the UNDP as the partner implementer, they will be covered by this part of the communication plan that intends to build understanding among stakeholders for the BUB Project closure, and raise awareness and solicit understanding among the LGUs of management's decision not to download the remaining KC and SLP funds to UNDP.

The DSWD Field Offices, with the assistance of the BUB TWG representatives, and NCTSU will spearhead the implementation of the communication plan in close coordination with the UNDP BUB PMO Country Office and their regional counterparts.

*The entire communication plan is attached as Annex 5.*

### 2.5.6 Implications to the terminal evaluation

With the above changes, the evaluation findings, conclusions and recommendations will principally and thoroughly focus on activities undertaken and on the expected outputs of the BUB Project. The Project has produced sufficient documents on strategic and operational activities undertaken and these were mostly validated during the field missions, and thus sufficient and relevant portions of these were widely quoted in this TE report narratives. Finally, the departure of most, if not all, members of the UNDP regional support teams limited the interviews to the remaining, and available former, Project management officers and staff at the central offices.

## 2.6 Key Partners in Project Implementation

In order to contribute to results and sustainability, the Project in 2017 was able to forge two (2) key partnership arrangements with the following, namely:

1. *Optometric Association of the Philippines (OAP)* – for vision screening, diagnostics and supply of eyeglasses (lenses and frames) for various communities, with key outcomes on 100% completion of the aforementioned contracted services for 995 beneficiaries in 11 LGUs, and for beneficiaries requiring advanced optical care, the establishment of a referral system with regional public health centers and/or hospitals.
2. *Nestle Professional, Inc. (NPI)* – “Project Impact” was established between UNDP and NPI to enhance the skills of LGUs, CSOs and implementers of the Supplemental Feeding Program (SFP); connect the trainees with national and/or local suppliers and to improve capacities on cooking skills, nutrition, food safety, and preparation.

During the same year in 2017, initial negotiations resulted to prospective agreements with five (5) potential G-Hubs, namely: *Bicol University*, *University of Southern Philippines (USEP)*, *Sultan Kudarat State University*, *Ateneo de Davao University* and *Xavier University* to provide quality standards and compliance to standards for infrastructure projects. G-Hubs will also provide guidance to the UNDP-BUB Team and the Citizens Integrity Monitoring Groups in monitoring and documenting day-to-day project site activities to ensure compliance with plans and specifications; monitor the conduct of weekly quality control and coordination meetings organized by the UNDP-BUB Team; ensure communications exist and maintained between the Team, the LGUs and contractors; and, provide technical assistance and guidance to site construction engineers when requested, among others.

Plans were also in place for UNDP to partner with Civil Society Organizations (CSOs) and has identified the *Naga City People's Council (NCPC)* to serve as lead convener of other CSOs to be engaged as citizen monitors. The CSO partners will be conducting monitoring activities in six (6) regions, namely: CAR, CARAGA, NCR, and in Regions 5, 7 and 11.

In 2018 and 2019, fourteen (14) more partnerships were formed with the following CSOs, namely:

1. *Integrated Resource Development for Tripeople, Inc. (IRDT)* – strengthen the capacities of small-scale organized fisherfolks and women's groups through the material support and enhance knowledge and skills on enterprise development, operations and management; and, act as conduit partners to fast track the delivery and to establish monitoring mechanism to ensure sustainability of the 12 sub projects in Zamboanga Sibugay.
2. *Humanity and Inclusion (HI)* – build LGU capacities, family members and beneficiaries to understand the spectrum of disability and hearing impairment through the provision of awareness, identification and assessment, training, support for users provision of hearing devises for 257 beneficiaries in 27 LGUs covering Regions 2, 4A, 4B, 5, 7, 9, 10, 11, 12 and NCR.
3. *Hope Worldwide International, Inc. (HWP)* – supports the improvement of nutritional status of identified malnourished children by providing more nourishing meals and teaching the parents of students in preparing affordable yet nutritious meals for over 4,000 children in barangay LGUs in Regions 4B, 5 and 7.
4. *Hapag-Asa (Assisi Development Foundation)* – similar to HWP above, and working on over 300 children in San Manuel, Isabela (Region 2)
5. *Operations Blessing Inc. (OB)* – similar to HWP, and focusing on over 900 children for 2 barangay LGUs in Regions 3 and 4A.
6. *St. Paul University (SPUF), Tuguegarao* – similar to HWP, and targeting over 900 children in 3 barangay LGUs in CAR
7. *Coalition for Bicol Development, Inc. (Regon 5), Center for the Development of Sustainable Communities for Social Progress, Inc. (Region 8), Integrity Watch for Water Anti-corruption Group, Inc. (CARAGA), Concerned Citizens of Abra for Good Governance (CAR and Region 2), and Coalition of Social Development Organizations, Inc. (Region 12)* – these CSOs were engaged to support the Team in monitoring infrastructure projects more particularly to ensure the compliance of contractors in the quality assurance standards, document best practices, recommend improvement in the implementation, identify capacity needs, and recommend strategies to sustain the projects. Further, these 3 CSOs were initially contracted for the period December 2018 to May or June 2019, and extended at no-cost to UNDP until the completion of the UNDP-BUB Project.
8. *BIDLISIW Foundation, Inc.* - aims to support the implementation of 13 Sustainable Livelihood program (SLP) in Bohol and Cebu. They will provide skills training as well as starter kits to capacitate the participants necessary to establish and manage their sustainable microenterprise business and/or enhancing self-wage and employment opportunities.
9. *Tribal Leaders Development Foundation, Inc.* - engaged to implement the project on "Construction of Level II Potable Water System for Three IP Villages in the Municipality of Tboli.
10. *Simon of Cyrene Community Rehabilitation and Development Foundation, Inc.* - engaged to implement the project on "Provision of Prosthesis" in Regions 5 and 7.

## 2.7 Relevant Cross-Cutting Issues Addressed by the Project

The annual progress reports (APR) for the years 2017 and 2018 made several disclosures on mainstreaming gender equality, while the 2018 APR cited several on human rights and safety, on indigenous peoples and other marginalized groups.

On mainstreaming gender equality, qualitative descriptions were provided and these were: (2017) - UNDP provided administrative and technical support for 287 LGUs and DSWD officers in the delivery of services to 10,382 children; 3,319 senior citizens and PWDs; and, for 11,662 community members. Further, 8,731 women were engaged in various capacity building and sustainable livelihood activities such as the orientation on gender sensitivity and the Magna Carta for Women, advanced project management training, skills training for the production of assistive devices and on value chain and business planning, meat processing, case management of violence against women and children (VAWC) and children in conflict with the law (CICL), etc. Gender disaggregation of data of activities conducted under the Project has been implemented, and has further classified them as children, senior citizens, PWDs, beneficiaries and participants.

In 2018, governance mechanisms were in place to ensure sex disaggregation reporting of beneficiaries /recipients for all projects, and the conduct of focus group conversations with indigenous women in regard

to accessibility of social services provided by DSWD. In capacity building and policy, planning and programming, the Project ensured that women are encouraged to be hired in infrastructure projects; there were more women beneficiaries under SLP coming from the urban and rural poor sectors; and, for SFP, the Project was able to capacitate 534 barangay nutrition scholars (BNS) and child development workers (CDW) who are mostly women.

Gender issues include the non-inclusion of gender monitoring in DSWD projects in project reporting and is considered one of the weaknesses of an already a generally weak monitoring and evaluation system of the Project, and gender stereotyping for most projects developed/implemented by LGUs, e.g. BNS are mostly women, and feeding is a role of mothers. To respectively address these issues, the Project intends to conduct gender mainstreaming workshop and how to include them in their reporting as UNDP's capacity development support; and subject to availability of funds, with selected LGUs.

Although the project was able to deliver a significant number of goods and services to men and women, the project team intends to include in its reporting the significant changes of the project's intervention to their lives. This will monitor the number of jobs placed to beneficiaries because of their job placement training or assistive device provided, or if lives have improved due to sustainable livelihood program, etc.

On human rights, right-holders will be able to assert their voices with the goods and services they received during the planned conduct of the satisfaction survey. On safety concerns brought by structural failure of infrastructure projects, standard designs have been developed by KC, signed off by the municipal engineer, construction are subjected to regular monitoring to ensure quality, among other quality measures. The conduct of prior consultations of communities by LGUs, including indigenous peoples, are also being validated by the Project prior to project implementation.

In the 2019 3<sup>rd</sup> quarter progress report, no advancement on mainstreaming gender equality were reported, and attainments similar to 2018 were simply repeated. The ProDoc, both the original and amended versions, and the annual work plans for the years 2016 to 2019, never identified any other cross-cutting issues. Nor did the 2016 annual progress report.

## 2.8 Operational, Political, Environmental, Financial, Infrastructure, Strategic, Organizational Factors – Challenges and Opportunities

During its inception, the Project anticipated that it will face political, organizational and operational risks. Political risks were attributed to the then upcoming 2016 elections, more particularly the failure of the Project to take off expeditiously at the start of the Project (1<sup>st</sup> half of 2016 being election season); and, LGU officials and others who are used to benefit from the procurement system may indirectly block the Project. Countermeasures to be adapted by management included highlighting the 'independent implementing entity role' of the UNDP Project to shield the Project from political machinations of local officials (while current/sitting officials will want the Project to take off immediately so that they may claim the gains as their accomplishments while political adversaries will want the opposite); and, strengthen the capacities of citizens, CSOs and other stakeholders in the communities to foster transparency in the procurement process.

Organizational risks were ascribed to the capacity of Governance Hubs (G-Hubs) to pool qualified and available experts and technical support; and, the acceptability of the additional structure (Governance Hubs) and how these will foster smooth working relations with the RSTs and C/MAT. Mitigating and countermeasures include the hiring of full time engineers to be lodged at the RSTs rather than rely on G-Hubs pool unit until it is properly set up and, the conduct of orientation for RSTs and C/MAT on the role and added value of the G-Hubs.

Operational risks were due to difficulty in transporting goods in far flung areas; and, the burden of work of procurement personnel – which are to be mitigated by UNDP using a freight forwarding company that has experience in shipping goods to far-flung areas, including humanitarian context, and in case the supplier refuses to deliver the goods themselves, they may use (or UNDP) this company; and, the technical experts (engineers, architects, etc.), assisted by the regional procurement staff will be drafting the specifications for technical goods and services, as the Project has reserved a budget for full-time technical experts as well as consultancy-based technical experts, to be supplied by the G-Hubs, on a need basis.

During the implementation of the Project and towards the end in 2018, the 2019 AWP expanded the types of risks to now include strategic, infrastructure, environmental, and financial factors, and also expanded the identified risks on the political, operational and organizational factors.

Political risks have expanded to LGUs having no capacity to meet their Project obligations; the change in leadership and re-organization of DSWD during the post-election period; the May 2019 mid-term elections maybe affecting implementation. To mitigate these risks, the Project continued to augment the human resource needs of the LGUs; constant coordination with DSWD and provision of Project orientation to the new leadership; and, monitor the effects on implementation of the mid-term election.

On operations, COA may possibly issue an adverse audit finding on the LGU counterpart fund transfer to the Project, and the legality of the GCS agreement; the UNDP consolidated procurement process may not address the varying specifications from LGUs; delivery and storage costs of procured items may impact a project's budget; absorptive capacity of contractors to comply with bank guarantee requirements; low turn-around payment time for suppliers and service providers; delays in the issuance of contract awards may lead to a contractor's withdrawal; and, lack of monitoring of the entire procurement process. To counter these risks, the Project are looking for alternative means with the LGU to defray counterpart funds and at the same seek support from COA on the legality of the GCS agreement. Goods will be procured based on LGU specifications and if possible directly delivered to LGUs to minimize storage cost. Repackaging of contracts, downscaling of project size or replacing with another back-up project or, declaring the entire project as undeliverable – are among the options to address the absorptive capacity of a contractor. To improve payment turn-around time, additional staff were hired to check on the completeness of documentary submissions, and responsibility placed on the finance team and no longer with procurement team. To stem more withdrawals, other performance security types were resorted to such as warranty bonds, which is less costly than the financial requirement needed for the issuance of a manager's check. And, a monitoring system was put in place to track procurement.

On organizational risks, the implementation of projects using the Micro-Capital Grant Agreement (MCGA) modality initially faced policy issues with regard to its applicability on existing UNDP Programmes and Operations Policies and Procedures (POPP); and, changes in the procurement strategies, notably the use of personal cash advances (PCA) for travel and food allowances. These were resolved after UNDP CO made representations with UNDP HQ, which subsequently clarified that CSOs can be engaged using the MCGA modality. On procurement, it was clarified that PCA can be used only for procuring goods below US\$5,000.

The presence of indigenous people (IP) in project areas and location of projects in IP lands posed environmental risks. To mitigate these, IPs were welcomed to participate in the consultative process, and in fact are considered target beneficiaries of the Project.

A strategic risk also emerged during a stakeholder's engagement process wherein human rights concerns were raised, to which UNDP responded by validating the proposal and has ascertained that indeed the LGU engaged the community during the consultative process on project proposal preparation.

Infrastructure risks, i.e. structural failure and a project located in an identified danger zone, were addressed by ascertaining structural integrity was determined as further evidenced by the submission of a structural analysis, and thereafter, regular monitoring during implementation. No projects were to be constructed in danger zones, and permits from the LGU and the Mines and Geoscience Bureau (MGB) were required.

Financial risks pertained to a general upward market price movement due to inflation and the Tax Reform for Acceleration and Inclusion (TRAIN) law. Aside from requesting suppliers to provide goods within the specified budget, adjustment in quantities and/or specifications were resorted to.

## 2.9 BUB Project Design Limitations

There were several UNDP-DSWD BUB Project design limitations principally emanating from the need for more extensive 'due diligence' efforts during the design of the Project as reflected in the Project Document, which in some instances resulted to a cascade of related difficulties during the Project implementation phases. In retrospection, these can now be presented, namely:

### *2.9.1 Readiness of listed project proposals*

The Project initially listed 549 project proposals consisting of 186 KCs, 82 SLPs and 281 PSBs. These were later raised to 555 projects and discovered that these consisted of 1,183 including sub-projects. Some projects actually had more than one sub-project, e.g. one listed project covering 3 day care centers in 3 different barangays. The sheer number of projects and sub-projects immediately placed immense pressure on the UNDP-DSWD regional support teams. Initial assessment at the onset of Project in mid-2016 on the readiness for implementation of the project proposals revealed that most of the proposals were not ready for implementation.

Prior review and consultations with DSWD on the status of project proposal readiness, with actual random examination of a representative sample number, and a formal request for a checklist of existing documents of each project portfolio would have given UNDP a more accurate assessment and determination of the resources, i.e. personnel, funds and time, required to make the project proposals immediately ready for implementation.

### *2.9.2 UNDP procurement system*

The UNDP procurement system design is best responsive for acquiring homogenous goods and services, and in the case of the BUB Project, prior examination of the types, quantities and supply chain of goods and services usually procured for the DSWD KC, SLP and PSB programs could have provided the Project design developer(s) a more accurate visualization and analysis of the appropriate procurement strategy needed to support the acceleration of Project implementation. The UNDP procurement system (consolidation and bulk procurement) was entirely different to what DSWD and its KC, SLP, and PSB programs were currently using, i.e. construction by administration, and liquidation of cash advances.

### *2.9.3 Organizational complementation*

The design of the organizational function especially of the UNDP regional support teams rested on deficient assumptions on the level of readiness of the project proposals, and the appropriateness and flexibility of the UNDP procurement system. The prior determination of these existing conditions could have subsequently resulted to suitably define organizational functions, roles and responsibilities, and staff qualifications and complementation.

#### *2.9.1 Micro-Capital Grant Agreement*

The applicability and extent of use of the MCGA modality for the purpose of the Project could have been examined thoroughly, and conclusive recommendations that are responsive to the operational needs of the Project could have been attained.

#### *2.9.2 Finance and administration policies*

The required support services from the finance and administration functions of UNDP, more particularly with respect to field personnel remuneration, mobility and availability, and in purchases of small quantities of goods, among others, could have undergone a determination early on during the pre-Project phases on existing policies and its level of applicability, and if found necessary, modifications could have been recommended and introduced.

#### *2.9.3 Civil society organizations, Governance hubs*

While these stakeholders are already existing prior to the Project, it was assumed outright in the ProDoc that they can be mobilized to provide their intended functional roles and responsibilities to the Project. Had a stakeholders' analysis been conducted, potential risks, constraints and even conflicts could have been identified, and subsequently resolved through the conduct of activities to strengthen their respective organizations to ensure their relevant participation and value addition to the Project. Likewise, an early determination on the number of eligible CSOs and G-Hubs could have provided the Project planners with a better overview of their relative levels of importance and influence.

#### 2.9.4 Generation of savings

Beside an enumeration of the possible sources of savings, i.e. VAT exemption and cheaper prices, the Project omitted the creation of a system that could have tracked the accumulation of savings (or, as redefined as ‘leverage’ and ‘accumulated funds’) with respect to Project operating costs and provide management with a planning tool in the formulation and implementation of capacity-building activities, and other adaptive management responses such as Project staff complementation to further increase the likelihood of attaining Project outcomes.

### 3. Evaluation Scope and Objectives

#### 3.1 Scope of the Evaluation

The conduct of this terminal evaluation (TE) is to assess the Project’s overall performance vis-à-vis its targets and expected outputs, and its contribution towards its objective, and draw lessons to improve the sustainability of benefits arising from the Project. The results will be used by UNDP and DSWD to enhance programming of future similar interventions on enabling the functions, financing and capacity of sub-national level institutions to deliver improved basic services and respond to priorities voiced by the general public. Of equal importance is the terminal evaluation can be used as reference by the Philippine national/regional agencies, civil society organizations, private sector, academe and local government units (LGUs) to help them improve inclusive and effective governance interventions and efforts. The evaluation will cover the period 11 May 2016 to 30 October 2019.

The evaluation will review in general the elements contained in the Project Document specifically the resources and results framework and the theory of change vis-à-vis the project’s achievements, and assess the project’s potential effects on the target groups. It will likewise highlight strengths, weaknesses/gaps, good practices, and provide forward looking recommendations for future government financing projects.

The achievements of the Project as it moves towards the terminal phase will be assessed towards the achievement of the intended outcome of ensuring that *“Local communities, especially the poor, women and youth, have access to protective services, sustainable livelihood, and KALAHI projects (minus cash grants) that they themselves have identified through an enhanced bottom-up budgeting process that is inclusive, efficient, effective and responsive to the development needs of the community”* through the 3 strategic outputs on:

1. Governance hubs strengthened to provide technical support to BUB;
2. Administrative support provided to accelerate the implementation of BUB; and,
3. Capacities social welfare offices built to ensure the effective and efficient execution of BUB and wider service delivery processes in 2 regions

To the extent possible, and from data generated and made available, the evaluation will also provide an analysis of the data generated from the client satisfaction surveys that were collected by partner CSOs. Similarly, the evaluation will assess the contributions of the project to the quality of life of the BUB beneficiaries, namely: Extreme Poor from urban and rural families (Pantawid Pamilya Pilipino Program-4Ps beneficiaries), Youth (out-of-school youth), Solo Parents, Senior Citizens, Women, Early Childhood Care and Development (ECCD) students, Supervised Neighborhood Play (SNP) (children who are not able to avail ECCD center- based services), Government Employees (child development workers, municipal/city employees, etc), Persons with Disabilities (PWDs), fisher folks and farmers.

#### 3.2 Objectives of the Evaluation

The evaluation will identify the level of achievement in project outputs and the contribution to results at the outcome level, including unintended positive and negative results. The evaluation will also identify the key lessons learned and best practices. The evaluation will assess:

- The relevance of the project
- The effectiveness of the achievement of results at the output levels and the level of efficiency in the use of project resources
- The usefulness and sustainability of the results for the project beneficiaries
- UNDP’s performance as a development partner
- UNDP’s added value to the expected results

### 3.3 Evaluation Criteria

The evaluation core criteria on relevance, efficiency, effectiveness, sustainability were used, and in addition, the criteria gender mainstreaming (i.e. equity, inclusiveness and participation) were included. The Evaluation Matrix and Data Guide (Sources, Collection Methods, Analysis) in Annex 4 consists of the core and additional criteria, relevant guide questions, key and specific sub- questions; and, data guide on sources, collection methods, and analysis.

By defining the criteria, the evaluation can assess the overall performance of the Project vis-à-vis its targets and expected outputs and its contribution towards its outcome objective of increasing the capacities of key stakeholders. The results of the assessment, together with the enumeration of lessons learned, can definitely guide the users of this terminal evaluation report in designing similar projects in the future.

### 3.4 Evaluation Key Questions

The ToR clearly specified that the conduct of the evaluation be based on the aforementioned criteria on relevance, efficiency, effectiveness and sustainability, and has provided key guide questions that became the basis for developing the evaluation matrix and data guide.

#### 1. Relevance

The relevance of the BUB Project basically seeks to determine the extent to which it remains consistent with beneficiaries' requirements; its appropriateness to local and national development priorities and organizational policies, including changes over time, if any; and, whether the objectives of the activities/interventions and/or its design remain appropriate given changing circumstances for future government financing Projects. Key guide questions include:

- a. Did the project design and choice of activities and deliverables properly reflect and respond to specifically identified needs of the government and of the beneficiaries? How were the needs determined and assessed?
- b. How valid is the Theory of Change? Were the planned and actual activities and outputs of the project consistent with the intended outcomes?

#### 2. Efficiency

This refers to the extent to which outputs have been delivered with the least costly resources/inputs (i.e. funds, expertise, time, etc.) possible.

- a. To what extent was the project managed and delivered in a cost-effective way?
- b. How was the project managed in terms of timeliness?
- c. How did project risks influence the efficiency of project implementation? Were all major risks adequately identified before and during project implementation?

#### 3. Effectiveness

The evaluation will determine the extent to which the overall goal, outcomes, and outputs have been achieved or how likely it is to be achieved, taking into account their respective relative importance towards the BUB Project.

- a. To what extent is the project successful in achieving results, both expected and unexpected?
- b. How effective was the project in building the capacities of partners and beneficiaries?
- c. To what extent has the use of UNDP accelerated the implementation of the project effective in the following areas: budgeting, procurement, human resource augmentation, partnerships and CSO engagement, finance, and monitoring?
- d. To what extent has UNDP met standard integrity/accountability measures in the delivery of civil works projects, goods, and services?
- e. What are the innovative approaches or strategies that the project introduced?
- f. What value has UNDP added? Both expected and unexpected?
- g. Is the project reaching the intended beneficiaries, rights holders and duty bearers?
- h. To what extent has the project been effective in policy/systems influencing at the national and local level?
- i. Did the project build effective synergies with other existing initiatives?
- j. What are the results of the client satisfaction surveys carried out by partner CSOs?
- k. To what extent does the project integrate gender equality, women's empowerment, and human rights?



#### 4. Sustainability

Sustainability will examine the probability and likely ability of the BUB Project to continue to deliver political, financial, and social benefits after its completion.

- a. To what extent can project results be continued without the project's further involvement?
- b. To what extent has the project built in systems to address future risks? (e.g. wastage, over-budgeted specs)
- c. What are the learnings and best practices?

#### 4. Evaluation Approach and Methods

The ToR has sufficient information on how to handle this assignment. The proposed approach and methodology does have a number of characteristics, namely:

##### 4.1 Data Sources

##### 4.1.1 *Review and use of existing documentation*

Project documents that were made available to the IE consisted of the following, below enumerated:

- a. Project Document (as signed on May 11, 2016, and amendments as presented and approved during the 3<sup>rd</sup> Project Board meeting on April 19, 2018)
- b. Theory of Change and Results and Resources Framework, as attached to the ProDoc
- c. Standard Basic Assistance Agreement, Government of the Philippines and UNDP dated 21 July 1977
- d. Cost-Sharing Agreement between UNDP-CO and DSWD-CO, signed 11 May 2016 and as amended 10 June 2016
- e. Annual Work Plans for 2016, 2017, 2018 and 2019
- f. Monitoring Plan for 2019
- g. Annual Project Reviews for 2016, 2017 and 2018
- h. Quarterly Progress Reports
- i. Minutes of Project Board Meetings (Series 1 to 5; PBM No. 6 – Powerpoint presentation only)
- j. BUB Liquidation Report for DSWD @ 30 September 2019; BUB Financial Status @ 30 November 2019 (in excel worksheet formats)
- k. Amended BUB Project List (including delisted projects)
- l. Various DSWD Guidelines on BUB Implementation, SFP, Protective Services Program, Auxiliary Social Services for PWD,
- m. Implementation Guidelines: Project Impact 2017, Nestle Professionals
- n. MCGAs with CBD, CDSCSP, IWAG, CCAGG and CSDO
- o. Organigram (as of July 2019), and sample ToRs of UNDP CO and RST personnel
- p. Communication Plan
- q. Terminal Reports: Supplemental Feeding Program - Operation Blessing and Hope Worldwide International; Tribal Leaders Development Foundation, Inc.
- r. Back to Office Reports (1-Eugene Molina, 1-Rosario Panganiban, 1-Ruby Lamac)
- s. BUB Project Implementation Review Report, Krishan K. Batra-Consultant
- t. Sample project portfolios
  - o. KC infrastructure projects (as submitted by DSWD, as revised by UNDP)
    - Program of Works and Cost Estimates, Bill of Quantities ( 5 Day Care Cnters @ Colombio, Sultan Kudarat; 1 Potable Water System, 1 Box Culvert @ Tiboli, South Cotabato)
  - o. SLP @ Kabankalan City, Negros Occidental
    - Banana Catsup (2016 Project Proposal, Training Design, Beneficiaries' Profile, Pre-Evaluation, Skills Training, Work and Financial Plan)
    - Pinasugbo (Training Design, Beneficiaries' Profile, Pre-Evaluation)
    - Peanut Brittle/Butter (Training Design, Beneficiaries' Profile, Pre-Evaluation)
    - Meat Processing (2017 Project Proposal, Beneficiaries' Profile, Pre- and Post-Evaluation)
  - o. SLP @ San Jose, Negros Oriental
    - Coconut Sap-Sugar (Project Proposal, Beneficiaries' Profile, Pre- and Post-Evaluation)
- u. Sample infrastructure contract packages between UNDP and Nirvana Construction and Supplies (Tiboli, South Cotabato); Albatech Engineering (Bislig, Surigao del Sur); C & R Construction and Supply (Pilar, Surigao del Sur)
- v. Contract for Goods/Services between UNDP and Camarines Sur International School, Inc.

- w. Construction Supervision and Contract Management Manual (unfinished, 9 pages only completed)
- x. Satisfaction surveys (23 respondents, NIR)
- y. Various Correspondences
  - o UNDP-CLO Opinion on SBAA, Procurement Guidelines dated 26 October 2015
  - o Letter by DSWD Secretary Corazon Soliman to NAPC Secretary Jose Eliseo Rocamora dated 07 March 2016 and NAPC response letter dated 06 April 2016
  - o GPPB PM No. 01-2015 dated 01 December 2015
  - o COA Memorandum 2015-014 dated 18 December 2015
  - o DBM-DILG-DSWD-NAPC Joint Memorandum Circular No. 7-A
  - o DSWD Letter to UNDP Acknowledgment of Final BUB-UNDP Project List dated 19 February 2018
  - o COA letter to DSWD on GCS Agreement dated 05 October 2018

Documents and information that were requested but were not forwarded, for reason these being non-existent or cannot be located in the archives, namely:

- i. Project Inception Report
- ii. Project quality assurance reports
- iii. Monitoring Plan for 2016, 2017, 2018
- iv. M&E Plan, Financial, Technical and Audit Reports and Follow-up Audit Action Plans
- v. Baseline assessments reports
- vi. Satisfaction surveys (latest draft final reports)
- vii. Final reports including sustainability plans of projects from CSOs

The review of non-Project generated documents included the following:

1. UNDP Philippine Country Programme 2012-2016, 2019-2023
2. Philippine Development Plan 2011-2016, 2017-2022
3. UNDP Strategic Plan 2018-2021
4. 2030 United Nations Agenda for Sustainable Development Goals
5. UNDAF – Philippines: Supporting inclusive, sustainable and resilient development (2012-2018)
6. UNDP Evaluation Guidelines, 2019
7. UNEG Ethical Guidelines for Evaluation, March 2008
8. UN Convention on Privileges and Immunities

Studying all these documents made available, as well as related studies and government policy documents, provided critical and important guidance towards progressively understanding and appreciating the prevailing and current general condition of the Project in its focal geographic areas.

#### *4.1.2 Key Informant Interviews and Focused Group Discussions*

To safeguard reliability and validity of information collection, ample attention were given on the selection of the key interviewees and group discussants among stakeholders; the final schedule of the field missions that took into consideration the timing on the availability of targeted participants who were purposively selected players and stakeholders in the project areas and the respective central offices of DSWD and UNDP, and all other identified stakeholders, e.g. CSOs, all involved with the Project; and, the finalization and approval of the proposed guide key and focus questions in the evaluation matrix and, the acceptance and approval of the Inception Report of the terminal evaluation.

As much as possible, the key informant interviews were preferably conducted before the FGDs. This sequence ensured that information gathered from both the preceding review of documents made available and conduct of interviews allowed for a more robust and vigorous exploration and probing of facts during the focused group discussions.

In addition, informant interviews were resorted to in order to understand the motivation and beliefs of key stakeholders and beneficiaries with diverse backgrounds and opinions, and able to ask in-depth and probing questions; and, discussed sensitive topics, got respondents' candid or in-depth responses and discussion of the topic on hand, or the depth of information needed.

The Focus Group Discussion (FGD) approach was utilized as a qualitative method for gathering substantial information with homogenous groups consisting of ten (10) to fifteen (15) people who were knowledgeable

on the Project, and long enough (a duration of 1 to 1 ½ hours) to stimulate an active and highly participatory discussion among participants.

During the FGDs, participants were encouraged to reflect on their experiences from a 1<sup>st</sup> person point of view; and, probed to increase understanding on the questions pertinent to the criteria being explored, as well as to validate, interpret and analyze other secondary information and qualitative data already made available.

Considerations included representation, gender, Project output components, among others. Key informants were excluded from being participants in the FGD. Availability, weather conditions, and security would also be considered during the conduct of the interviews and focused group discussions.

#### 4.2 Regional Clusters Covered by the Field Missions

Based from the orientation meeting with UNDP CO on October 15, 2015, it was agreed that three (3) regions will be the focus of the field mission visits and on-site validation. These constituted half of the total six (6) regional clusters of Project BUB, and are further divided into provincial clusters, namely:

- 1) CARAGA – Cluster A (Butuan City and Agusan Sur); Cluster B (Surigao Sur); Cluster C (Surigao Norte and Dinagat Islands)
- 2) Eastern Visayas (Region VIII) - Cluster D (Leyte and Tacloban City); Cluster E (Samar);
- 3) Bicol (Region V) - Cluster F (Sorsogon); Cluster G (Albay, Masbate and Catanduanes); Cluster H (Camarines Norte and Camarines Sur)

The selection of the 3 regional clusters were based mainly on the criteria of their respective and comparable overall level of performance, as requested by the IC and shared by the UNDP CO, in terms of high, average and poor. By straddling these differing performance levels, it is expected that the evaluation will ensure the capture of varying and diverse information.

#### 4.3 Data Collection Procedures, and Instruments

During the initial stages of the terminal evaluation, the IC immediately requested electronic copies of most of the documents listed in above section 4.1.1, made a review of documents received and made additional requests for additional documents. The review of these documents provided sufficient information for validation and subsequent confirmation on the accuracy of data and the results with the key stakeholders during the evaluation missions. The IC provided UNDP BUB PMO with a proposed list of interviewees and groups including suggested dates over a 3-week period, i.e. November 10 to 20, 2019 (for the 3 covered regions) and December 9 to 12, 2019 (central offices).

The evaluation relied on evidence-based information that is credible, reliable and useful. The evaluation followed a participatory and consultative approach ensuring close engagement with government and private sector counterparts, including barangay leaders principally to validate the wealth of information from Project documents that were made available.

Key informant interviews were qualitative semi-structured interviews with stakeholders who have in-depth knowledge and direct exposure on what is occurring within the Project. The purpose was to collect information from a wide range of people — because of their particular knowledge and understanding, insights on the nature of issues and concerns, problems and possibly proffer recommendations for solutions.

On the other hand, focus group discussions were held with the Regional Provincial, City and Municipal SWDOs; with barangay LGU leaders who were directly involved in the Project; with beneficiary groups; and, with UNDP BUB Program and Project staff - who were invited and who were able to participate. The homogeneity of participants in the FGDs was preferred to avoid dynamics that may be found restricting for those wanting to present and discuss sensitive information.

Being participatory implied that the identified stakeholders and beneficiaries who were interviewed and participated in the group discussions were given all opportunities to openly address their views. It also implied that their involvement would increase if they feel that this evaluation would benefit their respective institutional and personal interests. These benefits and interests were discussed before the interviews and

discussions, and towards the end of the evaluation would likewise increase the feasibility of adoption of the recommendations made. A participatory approach was applied towards the officers and personnel of the Project, who were a major source of information and a partner in developing the outcomes and recommendations of this study.

Participatory also meant that the evaluation took into utmost consideration equal opportunity for men and women to be participants in the conduct of interviews and group discussions of stakeholders, Project implementers in the national and sub-national levels, and beneficiaries alike.

The ToR had provided for specific scope and objectives of the terminal evaluation and as required, the terminal evaluation is in harmony with current and existing UNDP evaluation guidelines<sup>1</sup>. The core criteria of relevance, effectiveness, efficiency and sustainability have been expounded and aligned, and herein presented as *Annex 6: Evaluation Matrix*, taking into consideration the definitions contained in the guidelines, and in the ToR. The guide questions developed at the onset of the assignment were used flexibly. Experience has shown that this approach increases the quality of the results of the evaluation, and consequently the conclusions and recommendations.

Lastly, during the conduct of the informant interviews and focus group discussions, transect walks and on-site observations along the Project areas provided a creative and technical insights on the general condition of the communities. Observations were done on the presence or absence and condition of infrastructures. Opportunities for field visits to observe livelihood activities after focus group discussions with the beneficiaries did not push through due to distance from the venue, and these could certainly have contributed to the evaluation of the Project.

#### 4.4 Performance Standards

The evaluation criteria on Monitoring and Evaluation, Implementing and Executing Agencies and Project Team, Assessment of Outcomes (*relevance, effectiveness, efficiency, and overall Project Outcome*), and Sustainability will be summarized and make use of rating scales, below presented in **Table 5**.

**Table 5: Summary of Evaluation Ratings and Rating Scales**

Summary of Evaluation Ratings			
1. Monitoring and Evaluation	Rating	2. IA, EA & Project Team Execution	Rating
M&E design at entry		Quality of UNDP Implementation – Implementing Agency (IA)	
M&E Plan Implementation		Quality of Execution-Executing Agency (EA)	
Overall Quality of M&E		Overall Quality of Implementation / Execution	
3. Assessment of Outcomes	Rating	4. Sustainability	Rating
Relevance		Overall likelihood of sustainability	
Effectiveness			
Efficiency			
Overall Project Outcome Rating			

<sup>1</sup> Handbook on Planning, Monitoring and Evaluating for Development Results, UNDP 2009 and, UNDP EVALUATION GUIDELINES©UNDP Jan 2019

Rating Scales		
Relevance	Monitoring and Evaluation; Assessment of Outcomes; IA, RP& PMO Execution	Sustainability
1. Not relevant (NR) 2. Relevant (R)	1. Highly Unsatisfactory (HU): The project had severe shortcomings 2. Unsatisfactory (U): there were major shortcomings in the achievement of project objectives in terms of relevance, effectiveness, or efficiency 3. Moderately Unsatisfactory (MU): the project had significant shortcomings 4. Moderately Satisfactory (MS): there were moderate shortcomings 5. Satisfactory (S): There were only minor shortcomings 6. Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency	1. Unlikely (U): severe risks that project outcomes as well as key outputs will not be sustained 2. Moderately Unlikely (MU): significant risks that key outcomes will not carry on after project closure, although some outputs and activities should carry on. 3. Moderately Likely (ML): moderate risks, but expectations that at least some outcomes will be sustained 4. Likely (L): negligible risks to sustainability, with key outcomes expected to continue into the foreseeable future.

Source: *Project Level Evaluation, Guidance for Conducting Terminal Evaluations, UNDP Evaluation Office, 2012*

#### 4.5 Major Limitations of the Methodology

One major limitation of the methodology used was the non-availability of all the staff members of regional support teams as most of their office tenure expired on July 2019, at the latest. They could have provided information on the issues and concerns and problems, including possible recommendations on what could have been done better during the BUB Project period. Another major limitation was the difficulty of accessing requested documents, hence heavy reliance was resorted on documents made available and on the results of the field missions.

Finally, the lukewarm level of attendance of MSWDOs during the conduct of focus group discussions in the field missions in the Project areas. Despite formal invitations have been forwarded by UNDP BUB PMO to them ahead of time, less than 30% attended the group discussions.

Despite all these, the gaps on information crucial for the evaluation were addressed by the several interviewees at the central office levels of UNDP, DSWD, NEDA and PMO during the Manila field mission; and, from documents already made available – all of which allowed for a comprehensive and in-depth evaluation of the Project.

#### 4.6 Ethical considerations

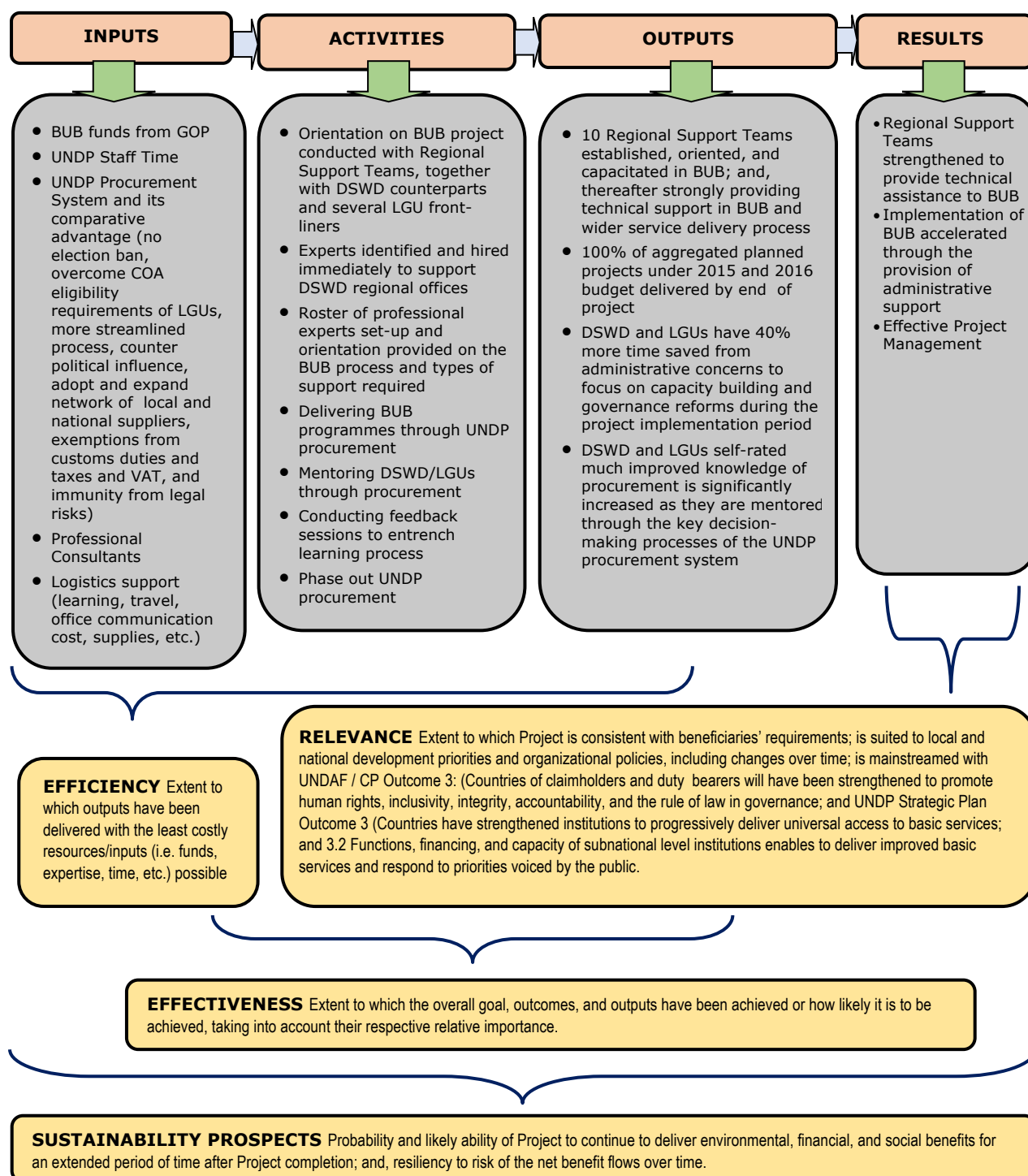
The IC has carefully studied the UNEG Ethical Guidelines for Evaluators (2008) and adhered to the ethical conduct and principles required in performing evaluations. The rights of participants were ensured, and respect for people's right to provide information in confidence and made participants aware of the scope and limits of confidentiality. The Evaluator also ensured that sensitive information cannot be traced to its source so that relevant individuals are protected from reprisals. Refer to *Annex 7*

#### 4.7 Background of Independent Consultant

The resumé of the IC is attached in *Annex 8*

## 5. Data Analysis

The conduct of the terminal evaluation was guided by the framework of analysis, below illustrated, and provided a clear roadmap and guidance in data analysis.



**Figure 1: Terminal Evaluation Framework of Analysis**

The careful study of the Terms of Reference for the terminal evaluation and the Project Document provided the necessary inputs in the formulation of the framework of analysis. In the framework, the enumerated definitions on inputs, activities, outputs and results and, on the evaluation criteria on relevance, effectiveness, efficiency and sustainability became the primary basis for determining the specific list of

Project documents (see section 4.1.1) that needed to be reviewed. The framework also became the basis for constructing the evaluation matrix that incorporated and expanded the evaluation criteria by providing more focus and additional details on key evaluation questions, and defining possible data sources, data collection methods/tools, indicators and success standards, and methods for data analysis. The initial review of documents intermittently forwarded by UNDP CO to the IC led to the discovery for more requests for additional documents.

The contents of the documents were then analyzed, and structuring them in view of the objectives, scope of work and the evaluation criteria and matrix. Further, it is assumed throughout the analysis of Project documents that these have undergone quality assurance from source and therefore are accurate and reflected the real conditions of the BUB Project. The field missions conducted underscore the need to validate the contents of the Project documents, and seek an added context from stakeholders on what occurred during Project implementation. Finally, the analysis will provide for a set of findings and conclusions and recommendations for the terminal evaluation of the Project.

The non-availability of the Project's regional support teams during the conduct of the field missions in the 3 covered regions could have further enhanced the way findings may be interpreted and conclusions drawn.

## 6. Findings and Conclusions

### 6.1 Overall Performance on Attainment of Outputs and Activity Targets

The interim performance of the Project is based on the review of documents made available, more particularly the Annual Progress Reports for the years 2016 to 2018; the draft 3<sup>rd</sup> quarter 2019 progress report (the only quarterly report received) together with the powerpoint presentation presented during the 6<sup>th</sup> PB meeting on October 30, 2019; financial reports and updated risk logs; and, the initial approved ProDoc and subsequent amendments introduced on the ProDoc and the GCS agreement.

Output 1: Regional Support Teams strengthened to provide technical support to BUB

Indicator 1.1 Number of Governance hubs setup to provide continuous technical support to BUB

Indicator 1.2 Extent to which Governance Hubs were able to provide technical support to BUB

Indicator 1.3 Extent to which a sustainability plan is developed by Governance Hubs to continue technical support to Local Government Units and Department of Social Welfare and Development regional offices within their region on project development, implementation and monitoring, and citizen's engagement

For Output 1, Table 6 below presents a summary of the progression of these indicators based on the annual intended outputs and targets, end-of-project targets, annual milestones, annual and cumulative accomplishments – as gathered from the review of the aforementioned reports and documents.

**Table 6: Output 1 and Indicators - Summary Matrix of Annual Accomplishments, Work Plan Targets, and ProDoc Baseline and Targets**

REFERENCE	Output 1 Indicators		
	1.1 Number of Governance hubs setup to provide continuous technical support to BUB	1.2 Extent to which Governance Hubs were able to provide technical support to BUB	1.3 Extent to which a sustainability plan is developed by Governance Hubs to continue technical support to LGUs, DSWD, ROs....
<b>Annual Progress Report</b>			
Cumulative Accomplishments (May 2016 to 2019, 3Q)	•5 GHubs engaged	•G-hubs will be trained on the UNDP quality assurance checklist. They will also be trained on the use of Devlive to gather customer satisfaction survey.	•Development of sustainability plans is on-going
Remaining tasks			•It is planned to have these implemented by the Regional Project Coordinators; and, outputs will be shared in the technical working

			group of DSWD or the project board.
2019 (as of 3Q) Accomplishments	•Two (2) additional GHubs for CAR Region and Region 2 provided orientation, and LVGAs signed.	•None added.	•None added.
2018 Accomplishments	•Orientation of, and finalization of MVGAs with 3 GHubs in Regions 5 (Bicol), 8 (Eastern Visayas), 12 (CARAGA)	•3 GHubs engaged & provided technical support on monitoring, project development, validation & implementation •Tools for technical support developed with monitoring (quality assurance) checklist for GHubs use. •Devlive, an online monitoring tool, will be customized to immediately capture status of infrastructure projects.	•GHubs updated on different project types, project list, and proposals. •GHubs documenting the project implementation process •Development of draft sustainability plans together with the LGUs is on-going
2017 Accomplishments	•Partnered with Naga City People’s Council to be lead convenor of CSOs •Agreed partnerships with 6 academic institutions as GHubs	•Still at planning stage. •No sustainability plan developed.	
2016 Accomplishments	•5-day joint UNDP-DSWD orientation workshop & team-building •Follow-through orientation for LGUs •Technical engineers hired •Project sites visits •Discussion with GHubs		
Annual Work Plan			
2019			
Target, end-of-project – 2019	5	Largely - all identified GHubs have provided technical support to BUB on monitoring, project development, and implementation	Largely – sustainability plan developed with transition and phase-out arrangements, and complied project manuals presented by GHubs to LGUs and DSWD
Cumulative Target from year 2016	5	Partially – 2 GHubs have provided technical support to BUB on monitoring, project development, and implementation	Largely - sustainability plan developed with transition and phase-out arrangements
Annual Target	2	Partially – 2 GHubs have provided technical support to BUB on monitoring, project development, and implementation	Largely - sustainability plan developed with transition and phase-out arrangements
2018			
Target, end-of-project – 2018	10	Partially - all identified GHubs have provided	Largely – sustainability plan developed with



		technical support to BUB on monitoring, project development, and implementation	transition and phase-out arrangements, and complied project manuals presented by GHubs to LGUs and DSWD
Milestone 2017	5	Not adequately - Ghubs identified not yet engaged	Not adequately - no sustainability plan developed
2017			
Target, end-of-project - 2017	10	Partially – all identified GHubs have provided technical support to BUB on monitoring, project development, and implementation	Largely – sustainability plan developed with transition and phase-out arrangements, and complied project manuals presented by GHubs to LGUs and DSWD
Milestone 2016	5	Not adequately – Ghubs identified not yet engaged	Not adequately – no sustainability plan developed
2016			
Target, end-of-project - 2017	10		
Target - 2016	0		
ProDoc (May 2016)			
Baseline	No governance hub providing support		
Target (2016)	10 Governance hubs oriented and capacitated on BUB		
Target (2017)	10 Governance hubs strengthened to provide technical support in BUB and wider service delivery process		

### Findings

- As of the 2019 3<sup>rd</sup> quarter report, the attainment of results for all 3 output indicators stated that all these were on-going activities.
- The definition of a G-Hub is that it is constituted by members of civil society, local government and the private sector, typically headed by a university. The absence of the academe in all the G-Hubs may require a re-thinking of whether G-Hubs were actually formed. Rather, the CSOs have actually replaced the G-Hubs, with the former taking most of the role for providing technical support.
- There are now four (4) active CSOs as one (1) is still under negotiation, and these 5 CSOs will be able to cover their respective region of assignment, i.e. Regions 2 & CAR, Bicol, Eastern Visayas, CARAGA and SoCCSKSarGen
- The existing MCGAs with CBDI, CDSCSP and IWAG, and the recent Low Value Grant Agreements (LVGA) given to Concerned Citizens of Abra for Good Governance (CCAGG) and negotiated with Coalition of Social Development Organizations, Inc. (CSDO-SC) will ensure continuous trainings on the use of the UNDP quality assurance checklist, and prospectively, on the formulation of sustainability plans for both the LGU and DSWD for their respective BUB projects, and on the use of Devline for the conduct of the customer satisfaction survey.
- Aside from these 5 CSOs, another eleven (11) CSOs were also directly engaged on capacity building of LGUs; on beneficiary groups on projects related to SFPs (supplemental feeding program), PSBs (hearing impairment, provision of prosthesis), and in the implementation of SLPs (skills training and provision of starter kits); and, on the construction of a level 2 potable water system. All these 16 CSOs were able to cover all regions.
- However, a more thorough review could have been done had end-activity reports of CSOs been completed and already available from the Project archives. Hence, information was limited to what were stated in the previous section 2.6 (key partners in project implementation) of this evaluation report.

- Total allocated budget for 2019 is US\$45,835 with expenditures to date reaching US\$38,595.12 or, a remaining balance of US\$ 7,239.88 (30 September 2019)

#### Conclusions

- The no-cost extension of MCGAs and new LVGAs will at least enhance the probability on the use of the quality assurance checklist, formulation of sustainability plans and the conduct of satisfaction survey in at most five (5) regions. These activities should have been conducted during the earlier Project phases, hence the extent to which these can be completed and analyzed in the 5 regions remains to be determined yet.
- The remaining regions (i.e. Central Luzon, NCR, CALABARZON, MIMAROPA, NIR, Central Visayas, Zamboanga Peninsula and Northern Mindanao) will not have the benefit of this type of technical assistance and thus implement quality assurance, formulate sustainability plans, and get customer satisfaction feedback.
- The cessation of operations of the UNDP regional support teams in July 2019 further reduced the level of extent of fully performing these activities due to the stoppage of their assistance to CSOs.

Planned Activities 1.1 Organize and setup the governance hubs to provide technical support

#### Findings

- The Project progress report on the orientation on BUB on selected hubs indicated that:
  - The engagement of the G-Hubs (or, CSOs) at this latter stage of Project implementation phase would not optimize their added value and contributions to the Project.
  - Memorandum of agreement (MCGAs and LVGAs) between hub members for BUB further made a clarification that the LVGAs will act as third-party monitors for the BUB projects in CAR and Region 2. Meanwhile, another CSO is already under negotiation for their engagement as monitors in Region 12.
  - The conduct of technical support of governance hubs to LGUs or DSWD would mean that these CSOs were trained on the UNDP quality assurance checklist. They will also be trained on the use of Devlive to gather customer satisfaction survey.
  - Development of sustainability plan for the LGUs and/or DSWD will be implemented together with the Regional Project Coordinators. The output of this will be shared in the technical working group of DSWD or the project board.
- The other remaining activities on the identification and hiring of experts, and the setting up of their roster has been deleted from the report.

#### Conclusion

- These in effect is the realization that had these CSOs been engaged earlier, they would have been given sufficient time to document the Project implementation processes and draw sustainability plans.
- It is reasonable to expect that only a partial accomplishment of all sustainability plans and coverage of the satisfaction survey will be attained, despite the development of the quality assurance checklists and the satisfaction survey metrics, due to the remaining time of the Project with target completion on February 2020 and the dissolution of the regional support teams.
- This situation will ultimately lead to the non-completion of certain activities notably on the identification and hiring of experts, and the setting up of their roster

Output 2: Administrative support to accelerate the implementation of BuB

For Output 2, Table 7 below presents a summary of the progression of these indicators based on the annual intended outputs and targets, end-of-project targets, annual milestones, annual and cumulative accomplishments – as gathered from the review of the aforementioned reports and documents.

**Table 7: Output 2 and Indicators - Summary Matrix of Annual Accomplishments, Work Plan Targets, and ProDoc Baseline and Targets**

REFERENCE	Output 2 Indicators			
	2.1 Project completion rate for BUB projects	2.2 Knowledge of administrative management and implementation of projects DSWD and LGU staff	Time saved for DSWD and LGUs to focus on capacity-building and	Average project delivery duration

			<b>governance reform for BUB</b>	
<b>Annual Progress Report</b>				
2019 (as of 3Q) Accomplishments	•41% milestone achieved, or a 67% cumulative achievement	•20% milestone achieved, or a 70% cumulative achievement		
2018 Accomplishments	•31% milestone achieved, or a 45% cumulative achievement	•20% milestone achieved, or a 70% cumulative achievement		Cumulative results: Construction – 30%; Repair – 17%
2017 Accomplishments	•14% milestone for the year achieved	•Not adequately – capacity building has yet to commence	•Not adequately – capacity building has yet to commence	
2016 Accomplishments	•48 of 55 personnel provided augmentation in DSWD regional offices •Initially identified 176 projects that are procurement ready •Procurement team conducted pre-qualification process from 30 interested companies. Company details forwarded to Senior Infrastructure Adviser for review. •Initial orientation on UNDP procurement system attended by DSWD and LGUs; followed by Procurement planning; an orientation on specific goods; and, prequalification workshop •Feedback sessions and strategic planning with regional project staff and technical engineers			
<b>Annual Work Plan</b>				
2019				
Target, end-of-project – 2019	100%	-	-	-
Cumulative Target from year 2016	100%	-	-	-
Annual Target	100%	-	-	-
2018				
Target, end-of-project – 2018	100%	Much improved	TBD	TBD
Milestone 2017	0.1%	Improved	0%	0%
2017				
Target, end-of-project - 2017	100%	Much improved	TBD	TBD
Milestone 2016	0.1%	Improved	0%	0%
2016				
Target, end-of-project - 2017	100%	Much improved	-	
Target - 2016	30%	Improved	46% more time	
<b>ProDoc (May 2016)</b>				
Baseline	36% average in 17 targeted regions	To be determined	Limited time for DSWD and LGUs for capacity building and governance reforms due to administrative concerns	
Target (2016 and 2017)	100% of aggregated planned projects under 2015 & 2016 budget delivered by end-of-project	DSWD and LGU self-rated much improved knowledge on procurement is significantly increased as they are mentored through key decision-making processes in UNDP procurement system.	40% more time for capacity-building and governance reforms	

Indicator 2.1 Project completion rate for BuB projects under the Accelerating Bottom – Up Budgeting through inclusive and effective governance project

*Attainments* The indicative overall attainment level for goods delivery was placed at 67%, further disaggregated below:

**Table 6.1: Overall Attainment Level of Projects as of 30 September 2019**

Sub-Indicator	Cumulative Result (from Start Year 2016)
2.1.1 Delivery of Goods: Completion rate of delivery	95.24%
2.1.2 Training: Completion rates of trainings	95.41%
2.1.2.1 Training: Percent of target beneficiaries trained	66.15%
2.1.3 Feeding Completion rate of supplemental feeding program	95.00%
2.1.3.1 Percent of target beneficiaries receiving supplemental feeding	79.35%

For KC delivery of infrastructure projects, the latest progress reports have made separate entries, below:

**Table 6.2: Overall Attainment Level, KC Projects as of 30 September 2019**

Sub-Indicator	Cumulative Result (from Start Year 2016)
2.1.1 Construction: Average completion rate of all construction projects	88.21%
2.1.2 Repair: Average completion rate of all repair projects	78.28%

#### *Findings*

- The indicative 67% does not provide for any basis, hence difficult to understand
- For all projects, total funds allocated for 2019 is US\$1,309,915.00 with total expenditures of US\$1,310,157.36 or, a remaining balance of US\$ 242.36 (30 September 2019)
- For KC infrastructure projects, total funds allocated for 2019 is US\$145,900, with total expenditures of US\$143,443.19 or, a remaining balance of US\$ 2,456.81 (30 September 2019)
- Still on KC, only one contract package remains to be tendered namely, CARAGA-6 for the construction of production center for PWDs. The chosen contractor cannot comply with the documentary requirements of UNDP i.e. submission of Philippine Contractors Accreditation Board (PCAB) certificate. And, requisitioners for the BUB project continue to receive a red flag notification in Atlas system because of purchase orders without Atlas receipt. This is due to limited to weak monitoring system of dispatched POs that the project team has no access.

#### *Conclusions*

- The remaining fund balances for KC, SLP and PSB projects remain sufficient in attaining a 100% accomplishment rates
- The non-compliant contractor for the sole remaining KC project may eventually face with the probability of being delisted unless corrective measures can be done

Indicator 2.2 Knowledge of administrative management and implementation of projects of DSWD and LGU staff

*Attainments* The cumulative attainment level since Project start has been placed at 70%, and by Project end is seen to rise to 72%.

#### *Findings*

- There is no indication on how the proportional rate(s) were determined
- The level of knowledge of administrative management and implementation of projects of DSWD and LGU staff is described as “Largely - measured increase in the percentage level of knowledge of training of participants in procurement, project proposal preparation, and management”
- Neither was there any indication on how a baseline was been determined for this particular indicator, however, the Project has indicated that all baseline were at 0% in 2016, the year the BUB Project started

#### *Conclusions*

- The inclusion of weight distribution for the sub-indicators, even as a footnote, could very well assist the reader in verifying accuracy.

- What is important is that with activities still on-going, the projected attainment level by Project end is confidently being pegged at 100%, with all the PSB, SLP and KC projects achieving 100%. This is in conformity with the overall result of achieving 100% by Project end.

#### Activity 1.2 Provide administrative and human resource support to the implementation of BUB

##### *Findings*

- As of 30 September 2019, no regional support staff remained deployed, and the continuance of the Project until its completion date is handled by four (4) staff members principally tasked to continue work for the operational and financial closure of the Project
- The delivery of BUB projects through UNDP procurement system has achieved the following:
  - For KC-NCDDP, a total of 106 out of 122 projects have been completed or, a delivery rate of 86.88%
    - ⇒ In construction projects, completed 124 out of 140 or, an 88.57% delivery rate
    - ⇒ In repair projects, completed 59 out of 61 or, a 96.72% delivery rate
  - For PSB projects a total of 256 out of 282 have been delivered or, an 86.07% delivery rate
    - ⇒ 100% of the 32 First aid kits have been delivered to intended beneficiaries
    - ⇒ 100% of 35 Hygiene kits have been delivered to 3,408 beneficiaries (1,645 M, 1,763 F)
    - ⇒ 97% of 99 ECCD materials have been delivered to 13,700 beneficiaries (8,081 M, 4,989 F); ECCD materials for the provinces of Albay, Camarines Sur, Catanduanes and Masbate are for delivery and distribution while those for Zamboanga Sibugay, Basilan, Davao del Sur, Sultan Kudarat and North Cotabato are in warehouses awaiting completion prior to delivery, all targeted on November 2019.
    - ⇒ 100% of the 73 mobility device projects have been delivered to 3,027 beneficiaries (1352 M, 1831 F)
    - ⇒ 100% of 11 projects for provision of eyeglasses have been delivered to 995 beneficiaries (332 M, 673 F)
    - ⇒ 100% of 27 Hearing aid projects have been delivered to 152 beneficiaries (92 M, 60 F)
    - ⇒ 62% of prosthesis projects have been implemented to 22 beneficiaries (15 M, 7 F); the low percentage accomplishment rate was due to the conversion of prosthesis projects to assistive devices in the provinces of Palawan and Davao Oriental, but is expected to rise further with the assistance of CSO Simon of Cyrene in the provinces of Camarines Sur, Catanduanes, Masbate and Cebu. Target date for completion is November 2019.
    - ⇒ Recipients of the SFP in 20 LGUs has reached 6,298 children (3,305 M, 2,993 F)
  - For Sustainable Livelihood projects, a total of 77 out of 83 projects or, a delivery rate of 92.77%
    - ⇒ 98% of starter kits have been delivered to 968 beneficiaries (609 Males, 359 Females)
    - ⇒ Except for the empanada production in Mandaue, Cebu, the other 4 projects on quail production, coconet production, water refilling and fiber glass boat production are all intended for completion
  - A total of 148 individual and institutional contracts have also been awarded by the procurement team during implementation of the BUB project. These contracts range from documenters, resource persons, etc. to institutional service providers.
- Mentoring DSWD/LGUs through procurement system - Four (4) social workers of San Jose, Occidental Mindoro were strengthened on their skills on group counseling skills through employment of the techniques on Cognitive Behavioural Therapy (CBT), Reality Therapy and Transactional Analysis (TA).
- Conducting feedback sessions to entrench learning process
  - The Supplemental feeding projects under Hope Worldwide Inc. and Operation Blessing recently concluded and they were able to report on their experience and results of the implementation during a closing meeting with UNDP CO staff.
  - Regional feedback sessions with their counterparts are still in place with teams conducting immediate post-implementation assessments by identifying risks and best practices.
  - G-hubs were oriented on the UNDP quality assurance checklist and have begun their monitoring activities. They are in close coordination with the BUB regional staff to give feedback on the results of monitoring activities which they have conducted. They are yet to be trained on the use of Devlive to facilitate customer satisfaction survey.
- Reporting to DSWD Convergence Unit - DSWD convergence unit has been dissolved with the reorganization that happened upon the assumption of the new DSWD Secretary. The Project team

currently reports to the office of Assistant Secretary Rhea Peñaflor of the Special Projects Unit of DSWD.

- UNDP still have to return the funds covering delisted projects in the amount of Php 9,334,469.520.

#### Conclusions

- The remaining KC-NCCDP construction and repair projects are now in varying stages of implementation thus, the projected timeline for completion of all these remaining infrastructure during the period November 2019 to January 2020 is deemed reasonable and attainable.
- For PSB, the delivery and distribution of ECCD materials is expected to attain a 100% accomplishment rate; whereas for prosthesis, this is certain to improve further from the present accomplishment rate of 62%.
- The remaining fund balances remains sufficient for the Project to attain a 100% accomplishment rate.

Output 3: Effective project management

Indicator 3.1 Extent to which there is functional Project Management Team

Indicator 3.2 Percentage of required progress, financial and monitoring reports are completed and delivered on time

For Output 3, Table 9 below presents a summary of the progression of these indicators based on the annual intended outputs and targets, end-of-project targets, annual milestones, annual and cumulative accomplishments – as gathered from the review of the aforementioned reports and documents.

**Table 9: Output 3 and Indicators - Summary Matrix of Annual Accomplishments, Work Plan Targets, and ProDoc Baseline and Targets**

REFERENCE	Output 3 Indicators	
	3.1 Extent to which there is a functional Project Management Team	3.2 Percentage of required progress, financial and monitoring reports are completed and submitted on time
<b>Annual Progress Report</b>		
Cumulative Accomplishments (May 2016 to 2019, 3Q)	Largely, with cumulative result at 67	100%, with cumulative result at 100%
2019 (as of 3Q) Accomplishments	Largely, with cumulative result at 67	100%, with cumulative result at 100%
2018 Accomplishments	Largely, with cumulative result at 67	100%, with cumulative result at 100%
2017 Accomplishments		<ul style="list-style-type: none"> <li>•AWP submitted for DSWD endorsement</li> <li>•Interim QPRs submitted; APR submitted and uploaded</li> <li>•ICPE results for discussion</li> <li>•Regional spot checks conducted</li> <li>•2016 financial report submitted to DSWD</li> </ul>
2016 Accomplishments	<ul style="list-style-type: none"> <li>•Hirings for UNDP CO and DSWD CO, regional staffs done</li> </ul>	<ul style="list-style-type: none"> <li>•Milestones: AWP revised @ 18Nov2016; 2Q and 3Q reports submitted;; draft APR submitted</li> <li>•DSWD convergence unit submitting status of approved BUB projects</li> <li>•Financial and narrative reports submitted monthly</li> <li>•Monthly updates reported to DSWD technical group</li> <li>•Dropbox repository established for project files</li> </ul>
<b>Annual Work Plan</b>		
2019		
Target, end-of-project – 2019		
Cumulative Target from year 2016		
Annual Target		
2018		
Target, end-of-project – 2018		

Milestone 2017	
2017	
Target, end-of-project - 2017	
Milestone 2016	
2016	
Target, end-of-project - 2017	
Target - 2016	
<b>ProDoc (May 2016)</b>	
Baseline	
Target (2016 and 2017)	

**Attainments** Cumulative results for a functional management team has been determined to be at 67 (?) and considered largely completed; while a 100% result rating has been assigned for report preparation and submission, and considered on-going.

#### *Findings*

- The rating assigned to indicator 3.1 is nebulous at best as it stands alone and does not indicate any unit of scale, e.g. percentage?
- Eight (8) technical meetings were conducted from November 2017 to May 2018 as mandated during the PBM #2 in October 2017 to discuss several implementation concerns on: implications of extension of the Project; unpacking of procurement packages; possibility of delisting of projects; detailed status and work plans for PSB, KC-KALAH and SLP; prioritization of projects; downloading of remaining funds with DSWD to UNDP; amendments to the ProDoc and GCS agreement; review of KC projects' list based on agreed criteria on complete project documents and transfer of LGU counterpart funds to UNDP; finalization of project listing; among others. All these were reported during the 3<sup>rd</sup> PBM on 19 April 2018.
- The preparation and submission of reports has been one of the issues raised during the 2<sup>nd</sup> PB meeting on 17 October 2017 and made as one of the prior conditions for the first Project extension until 10 November 2018. A perusal of annual progress reports would reveal that these have been progressively complied with.

#### *Conclusions*

- The several technical meetings between UNDO and DSWD evidently reflected the enormous shared challenges being addressed in Project management and to a large extent, the continuing coordination between UNDP and DSWD.
- Moving towards the completion of the Project by February 2020, remaining available resources (staff, funds and time) may prove difficult yet hopefully the 100% completion rate target remains achievable.

#### **Activity 1.3 Strategic, financial and administrative management**

#### *Findings*

- The activity on the submission of quarterly reports have been left blank
- The total budget for 2019 and onwards have been reduced from the 2019 annual work plan of US\$1,797,955.00 (exchange rate of 1:52.703) to US\$ 1,746,886.00 (no exchange rate given) in the 2019 3<sup>rd</sup> quarter progress report
- For output 3, the 2019 planned budget is US\$367,129, and the total expenditure as of the 3<sup>rd</sup> quarter is reported to be at US\$ 339,365.33 or, a remaining balance of US\$27,763.67
- Project Audit Exercise/Spot check conducted by the UNDP Office of Audit and Investigation (OAI), completed last May 13-22, 2019 on the BUB project disclosed six major or high-level audit findings and categorized as follows: 2 management, 3 compliance and 1 financial, with compliance still on-going. These 6 findings are on:
  - Regional staff have undue control and influence on procurement since they are also charged with sourcing suitable suppliers for the project.
  - Lack of review of procurement decisions at a regional level because procurement documentation including matrices, quotation, and official responses from suppliers were consolidated by the regional teams as part of their primary responsibility.
  - The procurement strategy initially applied was not appropriate.
  - Insufficient due diligence performed prior to commencing the project because of the large volume of procurement required by the Project that put a significant burden on the procurement unit and Project team.

- Direct contracting without appropriate justification.
- Vendor quotation does not appear genuine particularly in Region 2.

The project team has responded to the audit findings and provided documentation after the exit meeting with the external auditor i.e. copy of advertisements, bid analysis sheets and written communication to prove that due diligence was done by the project team. The final report dated Aug. 16, 2019 has been submitted, and findings have been implemented starting in 20 September 2019 as the BUB team has been advised to comply with audit recommendations.

- o Facilities and Administration Implementation

- The 2019 3<sup>rd</sup> quarterly report will be submitted to DSWD with Philippine peso value equivalent and uploaded in UNDP system. The National Acceleration Modality (NAM) report with ATLAS-generated figures reflecting committed and expended amounts for July to September were also submitted diligently to the Country Office on a bi-monthly basis.

### Conclusions

- It proved difficult to make any conclusive assessment on fund positions as the progress report make no indication if the remaining balance for output 3 is sufficient to defray costs until Project completion by February 2020; nor, on the reason(s) for the revision made on the overall 2019 budget.
- Compliance to most of the OAI audit findings may be partial and progressive as the Project is nearing the finish line. The UNDP regional staff have been terminated thus, and can no longer exercise 'undue control and influence and review of decisions' in relation to procurement. Insufficient due diligence on the adoption of the UNDP procurement process is best regarded as a lesson learned and more relevant in designing future similar programmes.

### 6.2 M & E Plan, Assumptions and Risk Logs, and Adaptive Management and Project Revisions

The design of the M&E systems that were propounded in the ProDoc's Monitoring Framework and Evaluation relied on standard UNDP templates. The monitoring of Project progress was not entirely compliant to the design of the M & E system as regular quarterly progress reports, annual project implementation reviews, and back to office reports / field visit reports were not generated. The Project Board met only six (6) times during over the more than 3-year Project period, i.e. May 2016 to October 2019, and not at least once each quarter as indicated in the ProDoc.

Had these reports been regularly generated, these could have apprised Project management with timely and sufficient and available information on Project progress over a shorter span of time between reports.

Once apprised of the progress arising from these reports, Project management would have been in a better position to formulate the agenda for PB meetings to immediately address issues and concerns arising from the BUB Project design limitations (section 2.9). An examination of strategic alternatives and options could have been deliberated upon specifically on addressing projects' proposal documentation and revised organizational complementation necessary to fast-track readiness for project implementation, the appropriateness and applicability of the UNDP procurement system in its entirety, the limitations of the MCGA, finance and administration policies, the engagement of G-Hubs and CSOs, and generation of savings – as all these require immediate policy discussions and decisions.

All these would have been considered as critical and immediate, and thus serve as crucial agenda items and justification for convening more frequent Project Board meetings.

The M&E Plan was only formally uploaded/updated in Atlas during the formulation of the annual work plan for 2019. Previous progress reports and reviews for the years 2017 to 2018 does not contain any entry on the M & E section. In fact, during the 4<sup>th</sup> PB meeting on 18 October 2018, it was mentioned that DSWD Central Office only conducted its field monitoring and evaluation activities during the early part of year 2018 when implementation of projects were underway. Prior to this, monitoring or evaluation were focused on the project proposals and other documentary requirements, with support provided to UNDP and DSWD regional counterparts to ensure the timely service delivery and quality control of the projects. Further, DSWD constantly reminded UNDP through official communication letters to submit updated physical and financial reports.

Hence, the Project reported that the period wherein project proposals were being finalized did not require monitoring activities of results. Truly, no M & E activities may have been required. However, had an



alternative strategic plan on addressing the readiness of project proposals and organizational revision been formulated and implemented early on in 2016 and 2017, the need for M & E activities on these would have become necessary.

Despite the lack of some of the requisite UNDP reports, the actual cumulative progress made on results on objectives, outcomes, outputs and activities, both qualitatively and/or quantitatively, were still compiled in the annual progress reports for the years 2016, 2017 and 2018. The minutes of the first five (5) PB meetings also provided sufficient details that augmented some information that could have been contained in the quarterly progress report, for the most part. The PB minutes of meetings contained discussions on issues and concerns, clarificatory statements and management responses, financial highlights and burn rates, implementation updates especially on physical accomplishments and on G-Hubs, presentation and actions taken on proposed amendments to the resources and results framework and on the GCS agreement. This led to a determination on progress made on impact and status of implementation of activities within each of the outputs and outcomes that allowed all key stakeholders to make adaptive measures.

Since the start of Project implementation in May 2016 and until the conduct of this terminal evaluation, the Project Board, implementing partners UNDP and DSWD, and the PMO largely subscribed to the amended Project Results and Resources Framework as their overall guide and followed on the implementation results even until the conduct of this evaluation.

The risks log were constantly updated and new risks identified in the annual progress reports and as presented during PB meetings. Discussions previously presented in section 2.8 indicated that the ProDoc initially identified 3 types of risks that were in nature political, organizational and operational. In the annual progress reports, the risks updates were constantly expanded as new risks were identified during the course of Project implementation, and corresponding appropriate management responses were likewise indicated. Towards the end of 2019, the Project has expanded these risks to include strategic, infrastructure, environmental, and financial factors.

The initial identified risks during the Project design phase were found to be adequate and indeed materialized. The continuing expansion of risks indicated that Project management consistently monitored the emergence of new risks with management responses to the identified risks were generally found to be sufficient in mitigating the risks. Hence, during Project implementation, management of risks was highly responsive than proactive.

Financial performance was also monitored on the status of use of project funds, and fund burn rates were compared with physical accomplishments of projects as a quick reference management tool. Recommendations arising from DSWD audits and spot checks were attended to and responded to with respect to actions taken, when taken and the responsible persons identified to address findings were likewise reported once in the 2017 annual progress report. The audit findings primarily was focused on the petty cash fund more particularly on the maintenance of a register and that it be chronologically arranged, reminders for regional support teams to regularly send replenishment requests, reconciliation of cash balances through a physical cash count against disbursements, method of reimbursing transportation expenses, proper approval of vouchers, and electronic files be password protected.

The OAI audit findings in the 2019 3<sup>rd</sup> quarter progress report on the BUB Project has in fact strengthened the capacity of UNDP to formulate and implement new Projects. UNDP Management has agreed with, implemented and adapted these on:

- *Insufficient due diligence and risk assessment activities* - The need to strengthen the process of due diligence at the formulation stage of the project document is now reflected in a number of subsequent new projects with significantly improved design and risk management. Risk assessment and regular updates with donors/partners during project implementation are now in place and with direct engagement of senior management. Moreover, UNDP Management noted the need for improved documentation of these processes; and, the Programme Management Unit responsible for the oversight of the BUB Project has also been strengthened.
- *Ineffective procurement strategy* - A procurement strategy was drafted based on the available information at the time of inception of the project to consolidate the procurement of standardized goods and services and benefit from economies of scale. However, weak LGUs capacity challenged the quality of available information. Staff recruited for project implementation were redirected to support both DSWD and LGUs to build capacity in the design of projects. It is in fact in the context of a developing country with low governance capacities that UNDP added value. UNDP also

subsequently adopted a range of contracting modalities including working with CSOs to ensure projects

- *Direct contracting of suppliers without appropriate justification* - The project management team, owing to the need to expedite delivery, failed to adequately test the market before deciding to adopt direct sourcing. The competency and cost of the various direct sourced suppliers do however reflect the current market based on a review of similar works undertaken.
- *Single sourcing of suppliers for micro-purchases* - Procurement is now centralized. Micro-purchasing is subject to oversight from Global Shared Services Unit (GSSU) and without their endorsement payments cannot be made.

The OAI audit findings are in fact a precursor to the anticipated findings and conclusions of this terminal evaluation and will prove helpful in the consolidation of recommendations to be propounded in the succeeding section.

Given the above, the Project's performance on Monitoring and Evaluation at entry and on plan implementation, and on the overall quality of M&E were all rated **Satisfactory (S)**.

### 6.3 Overall Project Relevance

#### 6.3.1 Link to UNDAF and Country Programme priorities, or other programme or country specific plans and goals

The Inception Report submitted for this TE further defined relevance as *"the extent to which the BUB Project (BUB) is consistent with beneficiaries' requirements; is suited to local and national development priorities and organizational policies, including changes over time; and, whether the objectives of an intervention and/or its design remain appropriate given changed circumstances for future government financing Projects."*

In the Project Document, the Project was approved for funding based on UNDAF and Country Program Outcome 3: *"Capacities of claimholders and duty bearers will have been strengthened to promote human rights, inclusivity, integrity, accountability, and the rule of law in governance"*.

Thus, the BUB Project was aligned with the UNDP Strategic Plan 2014-2017, as translated in its Integrated Results and Resources Framework Outcome 3: *"Countries have strengthened institutions to progressively deliver universal access to basic services"*. Further, Output 3.2 was defined as *"Functions, financing and capacity of subnational level institutions are enabled to deliver improved basic services and respond to priorities voiced by the public"*. Output indicators are: Ratio of expenditure to budget allocation received at the sub-national level (recurrent and capital); and, Number of sub-national governments/administrations which have functioning planning, budgeting and monitoring systems.

Thus, the design the BUB Project is found to be generally responsive and aligned with the UNDP Country Development Program and Strategic Plan and UNDAF. Furthermore, the design was largely anchored on the prevailing condition of DSWD BUB's low implementation accomplishment rates by DSWD during the years 2013 and 2014. The lack of due diligence during the Project design phase eventually resulted to design limitations, as has been previously discussed in section 2.9.

Moreover and moving forward, Outcome 1 of the 2019–2023 United Nations-Philippines Partnership Framework for Sustainable Development (PFSD, formerly UNDAF) also clearly stated that *"The most marginalized, vulnerable, and at-risk people and groups benefit from inclusive and quality services and live in a supportive environment wherein their nutrition, food security, and health are ensured/protected."* Furthermore, this is also aligned with the Goal of the Medium-Term Philippine Development Plan (2017-2022) of *"People-centered, clean and efficient governance."*

On Project contribution to the attainment of Sustainable Development Goals (SDG) the most recent report to during the 4<sup>th</sup> PB meeting on 18 October 2018 generally stated that the Project continue working towards making contribution to the SDG of the country. Specifically, these were on:

- Goal 1 (No poverty) – provision of livelihood projects with starter kits;
- Goal 2 (No hunger) – supplemental feeding program, food assistance;
- Goal 3 (Good health and well-being) – provision of assistive devices, medicines;
- Goal 4 (Quality education) – skills trainings, capacity building activities;

- Goal 5 (Gender equality) – information dissemination on human trafficking and sexual violence including among the youth;
- Goal 6 (Clean water and sanitation) – construction of water systems, water refilling stations;
- Goal 9 (Industry, innovation and infrastructure) – construction and repair projects of roads, bridges, day care centers;
- Goal 11 (Sustainable cities and communities) – universal access to safe, inclusive and accessible green and public spaces, in particular for women and children, older persons, and persons with disabilities; and,
- Goal 16 (Peace, justice and strong institutions) – rehabilitation of women and children who are victims of violence; information dissemination on human trafficking among the youth, training of LGUs in handling violence of women and children (VAWC).

The enumeration clearly illustrate the attainment of Project contributions to the country's commitment to the UN SDGs, and available data on the extent of these contributions are found in Project reports' statistics which can be shared by DSWD to the national government.

### 6.3.2 Implementation Strategies

The BUB ProDoc, in the cover page, defined three (3) expected outputs as:

1. Government hubs strengthened to provide technical to the BUB;
2. Administrative support provided to accelerate the implementation of BUB
3. Capacities of Social Welfare Offices built to ensure the effective and efficient execution of BUB and wider service delivery processes in 2 regions

However, in the strategy section of the ProDoc and on the results and resources framework, it only listed the first 2 above-mentioned outputs as both components and outputs; and, output 3 has been subsumed as part of Output 2 and Component 2. This is considered acceptable though and has not altered in any way the design of the implementation strategy.

The early phases of Project implementation in 2016 and onwards to 2017 compelled Project management to undertake several technical working group discussions to identify and propose several necessary amendments to both the ProDoc and GCS agreement (see section 2.5.3). The discussions and subsequent identification and acceptance of the proposed amendments during the PB meeting on 19 April 2018, though belatedly done and only made during the 1<sup>st</sup> Project extension, are still to be considered as proof that adaptive management was present and showed the extent of management level of adaptability, degree of participatory planning, and openness to scrutiny of strategic weaknesses.

There were other changes and improvements that the Project introduced. As previously presented in section 2.5, these are on indicators, extensions, reduction of projects through delisting, and drafting of a communications plan. Other adaptive management responses were on partnership arrangements with sixteen (16) private sector groups as key partners (section 2.6), and on addressing the emerging and expanding challenges and opportunities on operational, political, environmental, financial, infrastructure, strategic, organizational factors.

The needs of target beneficiary-communities at the municipal and barangay levels have been likewise largely addressed, as evidenced by the expected, with confidence, full delivery of all BUB projects by Project completion in February 2020 (as presented and discussed in section 6.1, activity 1.2). Upon completion, the number of beneficiaries will further increase in all likelihood.

The extent and impact of providing capacity building for LGUs especially on MSWDOs and the DSWD on knowledge of administrative management and implementation of projects (section 6.1, indicator 2.2) has been assigned a proportional rate. It can be surmised that this is an estimate made based on the fact that most of the MSWDOs were relegated to tasks such as: providers of information gaps, e.g. updating of beneficiary listing and technical specifications; providing assistance in scheduling field visits of project sites; and for trainings and meetings of beneficiary groups and concerned LGU personnel; among others. Other probable reasons are: the introduction of new social development programs implemented by DSWD that required additional staff time; and, the presence of regional support teams being viewed as a full support system that reduced their participation in BUB project implementation to a minimum level, to the extent possible.

Hence, the low level of attainment, i.e. 70%, of capacity building on knowledge of administrative management and implementation of projects for DSWD and LGUs are concluded to be a fair appraisal as the review and revision of project proposals during the early Project phase, consolidation of items for procurement, and monitoring of projects' implementation were mostly performed by the UNDP regional support teams.

From the foregoing and based on the interviews, discussions and observations during the field missions, the Project is considered as highly **relevant (R)**; and, there were no other circumstances during its implementation that would have reduced its relevance.

#### 6.4 Effectiveness and Efficiency in Use of Project Resources

Effectiveness pertains to the extent to which the Project objective has been achieved from May 11, 2016 to October 31, 2019, and how likely it is to be achieved given that this terminal evaluation has excluded, for the most part, the Project period from November 1, 2019 until Project completion on February 2020. Given the preceding extensive presentation (sections 6.1 to 6.3), the Project's **effectiveness is** given the rating of **Satisfactory (S)**.

This rating was given despite the fact that the Implementation Manual was not developed and the Construction, Supervision and Contract Management Manual remains incomplete. Moreover, the original Project design for the formation of G-Hubs was not fully attained, yet partnerships with 16 CSOs were done as an alternative and allowed for the attainment of expected results in providing for technical and administrative support. Lastly, the prospective attainment of 100% delivery of all projects has been deemed a possibility.

On the assessment of Project efficiency, this refers to the extent implementation was performed efficiently and in line with international and national norms and standards; and, extent to which results have been delivered at the least cost.

The concept of 'Project support at no extra cost to DSWD' hinged on UNDP able to generate accumulated funds (i.e. savings) through VAT exemption and from soliciting cheaper prices from suppliers; and using these, UNDP then fund the programmable cost of the Project planned activities and interventions.

The projected funds made available by DSWD to UNDP, based on the amended ProDoc, and the latest liquidation report submitted to DSWD as of 30 September 2019, are comparatively provided in Table 10:

**Table 10: Project Liquidation Report as of 30 September 2019**

Project Financing at 'no additional cost' to DSWD		BUB Liquidation for DSWD, 30 September 2019	
Total planned allotment for BUB	613,511,852.46	KC-NCDDP	152,160,384.45
Procurement 'savings' from 12% VAT	59,061,595.28	PSB	164,754,163.51
Procurement 'savings' from cheaper prices	30,675,592.62	SLP	81,856,535.43
<b>TOTAL 'SAVINGS'</b>	<b>₱ 89,737,187.90</b>	<b>TOTAL DIRECT PROGRAMME COST</b>	<b>₱ 398,771,083.39</b>
3% UNDP Management Support	17,528,910.07	Contractual Services	82,288,827.17
2% Technical Support	11,685,940.05	Travel	20,854,106.33
<b>TOTAL MGNT and TECHNICAL SUPPORT</b>	<b>29,214,850.12</b>	Office Supplies	911,311.65
		Communication	1,441,234.04
<b>TOTAL PROGRAMMABLE COST</b>	<b>584,297,002.34</b>	Office Equipment	2,259,751.82
		Miscellaneous	398,412.91
UNDP Contribution-Staff Time	2,000,000.00	Meetings and Conferences	4,181,038.07
		Office Rent	4,903,116.00
<b>TOTAL PROJECT VALUE</b>	<b>613,511,852.46</b>	G-Hubs	3,610,774.40
Less: Unremitted DSWD allotment to UNDP	97,164,993.65	General Management Support	15,457,479.43
<b>TOTAL PROJECT VALUE, adjusted</b>	<b>516,346,858.81</b>	<b>TOTAL PROJECT OPERATIONAL COST</b>	<b>₱ 136,306,051.82</b>
<b>Ratio: Sum of total savings, management and technical support to Total Project Value</b>	<b>19.4%</b>	<b>TOTAL COST</b>	<b>₱ 535,077,135.21</b>
<b>Sum of total savings, management and technical support</b>	<b>₱ 118,952,038.02</b>	<b>Ratio: Total operational cost to Total cost</b>	<b>25.5%</b>
		<b>Difference between ProDoc vs. Liquidation</b>	<b>₱ 17,354,013.80</b>

From Table 10 above, the ProDoc implied that almost one-fifth (19.4%) of total Project value will be used to fund the planned activities and interventions, however, the proportions emerging from the liquidation report would show that this has surpassed one-quarter (25.5%) of actual total Project costs incurred. This larger than planned proportion can only be principally attributed to the following: 1] The 'out-of-scope' activities notably the review and completion of project documentation for all 555 projects and, the

unexpected number of sub-projects that reached 1,183; and, 2] Project extension of another 27 months that required extending the tenure of the Project staff at the home office and in the regions. The difference of Php17.3 Million can be considered as acceptable given the above cited attributions.

Table 11 below shows the Project's sources of funds, the expenditure levels as of 15 November 2019 and until Project completion in 2020, and the remaining balance as of 30 November 2019.

**Table 11: Fund Sources, Expenditures and Balances, as of 30 November 2019**

Sources of Funds of BUB Project		Expenditures		Remaining Budget	
Total funds downloaded from DSWD	516,346,858.81	Direct Programme Cost	548,675,803.84	Total Budget	562,457,987.94
Total Funds downloaded from LGU	25,334,638.39	Projected Payables (Travel, LOAs, POs)	28,694,285.75	Expenditures	591,842,743.88
Total Downloads	541,681,497.20	Sub-total	577,370,089.59	Budget Balance @ 50 PHP	4,195,273.49
Foreign Exchange Gains	5,574,241.00	Project Management & General Management Support	14,472,654.29	POs to be issued	3,533,815.00
Interest earned (2016 & 2017)	9,183,584.74	Total Expenditures	591,842,743.88	Total Budget Balance	661,458.49
Interest earned (2018)	6,018,665.01			To be returned to DSWD	9,334,469.52
TOTAL PROJECT COST	562,457,987.94			Deficit, projected	8,673,011.03

From the above Table 11, the following other sources of funds from LGU counterpart contributions, foreign exchange gains and interest earned totaling Php46,111,129.13 provided large augmentation to DSWD downloaded funds. Although there were no projections made on the ProDoc, the immediate conversion of DSWD downloaded funds to US\$ provided for forex gains averaging a little above 1% of total downloaded funds, while interest earnings averaging 2.8% of downloaded funds can be traced to the slow burn-rate of funds during the period wherein project proposals were being reviewed and the slow process of implementing the procurement plan.

The remaining budget columns would show that total expenditures of Php591.8 Million has actually exceeded total budget (available funds) of Php562.4 Million. Upon verification with the Finance staff of the BUB Project, this was partly explained as due to additional foreign exchange adjustments. This resulted to a positive foreign currency availability of US\$83,905.47 or, equivalent to the stated budget balance of Php4,195,273.49 @ Php50.4373:US\$1.00. The bulk of the remaining balance is programmed to be used for the additional issuance of purchase orders (PO). Thus, a deficit of Php8.67 Million is projected. UNDP and the PMO of the BUB Project have not fully come up with a plan on how to address this deficit.

Given all the above discussions on the preceding portions of this section 6, and with the Project remaining on track in terms of project implementation and delivering substantive outputs despite its extended implementation period, with satisfactory and high quality results as reflected in the progress reports, Project **efficiency** should be **Satisfactory (S)**.

#### 6.5 Usefulness and Sustainability of the Results for the Project Beneficiaries

The first indication on results for sustainability appeared in the 2018 annual progress report, with the same results in the 2019 3<sup>rd</sup> quarter progress report. It noted that DSWD guidelines for KC-NCDDP infrastructure projects, which UNDP is also implementing, is the signing of the Mutual Partnership Agreement (MPA) between the Barangay Captain, Head of the Operations and Maintenance Group, Mayor and the DSWD Regional Director to carry out operation and maintenance activities of the project. These undertakings will ensure that the economic life of infrastructure projects is likely achieved and lengthened as it mobilizes resources for the maintenance and operations of a facility.

For assistive device, UNDP and the Humanity and Inclusion (HI) established a referral system in the LGU for the repair, maintenance, and replacement of hearing aid. To ensure sustainability, HI also did a counseling with the family members of all the beneficiaries on the use and maintenance of the device, and conducted awareness sessions with LGU staff personnel i.e., City/Rural Health Units, City/Municipal SWDOs and PDAOs (Persons with Disability Affairs Office).

Also, the selected DSWD-TWG member-partner of UNDP will make use of the capacity building support provided to them such as: 35-hours of Project Management Certification training by the Project Management Institute of the Philippines, M&E Brown Bag session on Data Collection in Challenging Situations at the CO.

At the LGU level, capacity building activities on Water, Sanitation, and Hygiene (WASH), Parent Effectiveness Seminar, Awareness session and Community-Based Rehabilitation were conducted during project implementation.

Capacity building activities were provided for LGUs, CSOs, implementers and beneficiary-communities on nutrition and feeding, knowledge and skills on enterprise development, operations and management, enhancing self-wage and employment opportunities, monitoring system for fisherfolks in Zamboanga Sibugay, spectrum of disability and hearing impairment. A referral system was also established in all Project areas for beneficiaries requiring advanced optical care with regional public health centers and/or hospitals. These are proofs that sustainability in SLP and PSB projects have been enhanced, and likely to be continued during the post-Project period. The Project's 10 key partners on SLP and PSB practically covered all regions, however there were no reports made available that would have made indications that it also covered all provinces and municipalities, and even covered all SLP and PSB projects.

The formulation of sustainability plans for infrastructure projects remain in process and still for submission by the 5 CSOs that will only cover 5 regions, and a CSO on the potable water system. Certainly, these will include at least an operations and maintenance plan and the aforementioned MPA, among others.

Further capacity building activities (including CIPS) for our implementation partners are being programmed and will be rolled out by end-2018. UNDP/CIPS cooperation on procurement certification UNDP procurement certification courses are accredited by the Chartered Institute of Procurement and Supply (CIPS) assuring compliance with high international qualification standards as well as offering participants access to a world-wide. There are no indications though that this program was pursued, or if it was, there are no accomplishment report cited.

From the above presentation, the overall rating on sustainability is therefore **Likely (L)**.

#### 6.6 UNDP's Performance as a Development Partner, and Added Value to Expected Results

The BUB Project was implemented with DSWD through the Direct Implementation Modality (DIM), and one of the few projects through a government cost-sharing agreement under the 1977 SBAA. The use of DIM was in response to the need to fast-track the 2015 and 2016 implementation of selected BUB projects.

The ProDoc defined the implementation arrangements between co-implementing partners UNDP with DSWD. UNDP was envisioned to perform the executive role and reinforce the DSWD BUB organizational structure with additional staff and technical support. Two parallel organizations within both UNDP and DSWD will handle program and project management, procurement, finance and administration, and monitoring and evaluation to essentially ensure coordination of Project implementation at the national and regional levels. In the regions, the G-Hubs were to provide technical support to the UNDP regional support teams.

This partnership arrangement was anchored on several UNDP's advantages to take on the DSWD BUB program on selected projects for the years 2015 and 2016. UNDP was able to secure opinions from the Government Procurement Policy Board (GPPB) and belatedly from the Commission on Audit on the legality and advantages of the GCS under the SBAA. Transparency during Project implementation was achieved for the most part as project documents were thoroughly reviewed, updated and revised to reflect the aspirations of the beneficiaries and conform to acceptable standards on infrastructure planning and implementation, provision of assistive devices to optimize benefits, nutrition and feeding responsive to the needs of communities, enterprise planning, among others.

Both cost-efficiency and timely delivery of projects faced several challenges primarily caused by the ProDoc design limitations that were discussed in section 2.9. UNDP responded to these limitations through adapting several changes in the ProDoc and in the GCS – to ensure that most, if not all, projects are delivered during the extended Project term by February 2020. The reliance on new partnership arrangements with private sector groups was an innovative approach to the original G-Hubs concept. This

ensured that capacity building activities were performed, and that projects' sustainability plans were developed.

While the BUB program has been replaced by other social development programs by the Duterte administration, the procurement system of UNDP provided DSWD with an alternative system as its infrastructure, SLP and PSB flagship programs continue to evolve and expand. Alternatives include consolidation for bulk procurement to generate savings, adherence to specifications that reflect the actual needs of intended beneficiaries, and conversion of cash to goods and services – are among the reforms that DSWD may want to consider should commonalities/ similarities on the procured goods and/or services e.g. contract packaging, are present.

UNDP participation in the BUB Project emphasized its commitment to pursue strengthening low governance capacities of national and sub-national agencies to benefit beneficiary-communities; and, its adoption of contracting modalities to work with CSOs to ensure better project implementation – are among the value addition UNDP can be credited with.

Despite the design limitations of the Project, the BUB Project has greater chances of delivering all the selected projects of 2015 and 2016, net of delisting, to the communities. This alone overshadows the 27 months extension the supposedly 18-month Project was given, and amidst the myriad of issues and concerns arising from the shortcomings of the Project design, and the emergence of new risks.

Without the involvement of UNDP in DSWD BUB, these projects would have faced with the high likelihood of being not implemented, with allocated resources reverting to the national government.

The quality of UNDP implementation, execution is given the rating of **Highly Satisfactory (HS)**.

#### 6.7 DSWD Performance as Implementing Partner, and Added Value to Expected Results

The presence of functioning DSWD field offices and their long established coordination mechanisms with their counterpart SWDOs in local government units and their previous experience in implementing BUB prior to the UNDP-DSWD BUB partnership provided valuable Project head starts on the finalization of project proposals, on the already established relationships with communities because of other social programs, e.g. 4Ps and feeding program and the conduct of community consultations, on local procurement, and on familiarity with specifications of assistive devices.

The issues and concerns that initially hounded the Project on proposal readiness and on procurement were basically due to the differing systems and processes both UNDP and DSWD were used to. However, consistent discussions and coordination and collaboration by both parties eventually ironed these out as both parties remained focus on delivering benefits to the targeted beneficiaries.

The quality of DSWD implementation, execution is given the rating of **Highly Satisfactory (HS)**.

**Table 12: Summary of Evaluation Ratings, with Brief Explanations**

Main Criteria	Rating	Summary Explanation/s
Monitoring and Evaluation	Satisfactory (S)	<ul style="list-style-type: none"> <li>Tracking of amendments introduced in ProDoc</li> <li>Continuous updating and expansion of the risks log.</li> <li>Completion of regular reports despite encountering delays in preparation and submission.</li> <li>Adaption of the OAI findings and recommendations</li> <li>M &amp; E Plan uploaded in Atlas</li> <li>Operationalization of DevLive for use by CSOs, UNDP and DSWD</li> </ul>
Relevance	Relevant (R)	<ul style="list-style-type: none"> <li>Aligned with UNDP Strategic Plan 2014-2017, UNDAF/CDP 2012-2018, PFSD/CDP 2019-2023, and the Philippines MTPDP 2017-2022</li> <li>Contributed to UN SDG # 1, 2, 3, 4, 5, 6, 9, 11 and 16</li> <li>Implementation strategies largely contributed to the attainment of Project expected outputs that were aligned with UNDP and the Philippines development thrusts.</li> </ul>
Effectiveness	Satisfactory (S)	<ul style="list-style-type: none"> <li>The high likelihood of prospectively attaining 100% of the projects, as amended, by Project completion date.</li> </ul>

Efficiency	Satisfactory (S)	<ul style="list-style-type: none"> <li>Despite the Project extension by another 27 months from the original 18-month duration and the 'out-of-scope' activities, the Project management is confident towards achieving a 100% completion of deliverables – at an operational cost only exceeding by 5% of total Project value.</li> </ul>
Sustainability	Likely (L)	<ul style="list-style-type: none"> <li>Existence of partnership agreements on operations and maintenance of facilities between LGUs and DSWD</li> <li>Establishment of referral systems</li> <li>Conduct of capacity building activities for LGUs, CSOs and communities on livelihood, monitoring, operations and management, water and sanitation and hygiene, nutrition and feeding, knowledge and skills on enterprise development, parenting, among others.</li> <li>Prospective completion of sustainable plans by CSOs</li> </ul>
Implementing Agency, Executing Agency & Project Team Execution	Highly Satisfactory (HS)	<ul style="list-style-type: none"> <li>Highly adaptive overall Project management in addressing challenges in Project design limitations</li> <li>Introduction of innovative approaches in quality assurance in projects' delivery</li> <li>Strong commitment in strengthening governance capacities to benefit beneficiary-communities</li> <li>Presence of strong and long established coordination relationship with communities</li> <li>Continuous discussion and coordination by DSWD and UNDP to address their respective differing systems and processes</li> </ul>

## 6.8 Mainstreaming Gender Equality

The Project was able to successfully provide gender disaggregated data on beneficiaries and further classified these children, senior citizens, PWDs, beneficiaries and participants. These included reports on the various capacity building and sustainable livelihood activities, orientation on gender sensitivity and the Magna Carta for Women, case management of violence against women and children (VAWC) and children in conflict with the law (CICL).

On mainstreaming gender equality, the plans of the Project on the conduct of gender mainstreaming workshop and the inclusion in its reporting of significant changes of the project's intervention to the lives of beneficiaries of sustainable livelihood programs and of assistive devices were not implemented.

## 7. Recommendations

### 7.1 Policy and programme recommendations for UNDP

These recommendations are for consideration by UNDP, as direct implementer of a similar BUB Project and for other applicable projects in the future, to enrich its policies on programme management, namely:

1. Since DIM is a fast-track response, the Project developer expectedly relied heavily on information gathered at the national and less from the sub-national level. Hence, the first month of project implementation should devote time and resources for extensive scoping and validation of a Project Document (ProDoc) especially for the BUB Project. Emphasis will be on the operability of the overall design of the results and resources framework; the feasibility of implementing the activities with utmost consideration on the timeframe and adequacy of fund resources; the availability and commitments of stakeholders more particularly those who will play key roles during implementation, and organizational structure and complementation, among all other strategies. The initial scoping and validation of BUB Project could have then concluded and determined that the original 18 months Project period is indeed too short a period of time to attain intended results. All these become the main findings of the Project Inception Report to be immediately presented to the Project Board as one of the most important agenda items during its first board meeting. The BUB Project did not undertake scoping and validation thus, never had the opportunity early on to assess the overall Project design and discover its limitations.
2. The DIM provides for fast-tracking of contract and procurement processes. Since the Project intended to utilize the UNDP procurement system for a heterogeneous array of goods and services, Project management need to conduct a pilot test of its applicability. The readiness of



about 30 project proposals at Project start could have been the opportunity to pilot test the procurement system. Certainly, red flags on issues on delivery and storage, specifications, contract repackaging, changes in the requirements of LGUS, turn-around times, and non-responsiveness of infrastructure contract packages would have immediately arose and given Project management early indications and sufficient head-start to develop a more responsive procurement plan. The plan's consolidation and procurement procedure should be made on a quarterly basis to accelerate projects implementation, as a longer period will just lead to longer turn-around times, thus incur added delays. These red flags should be able to immediately address negative slippages on progress of implementation.

3. Engaging the G-Hubs and CSOs must immediately take cognizance of the need for the conduct of a stakeholders' analysis during the scoping and validation period, as they are to perform a critical role and wide ranging responsibilities for the Project success in accelerating implementation. The analysis can provide program and Project management a planning tool for engaging the services of functioning and available stakeholders both at the national and sub-national levels.
  4. The development of Project manuals should always be considered as an important Project activity and output. For the BUB Project, these are the Implementation Manual and the Construction, Supervision and Contract Management Manual. Moreover, as part of the M & E Plan, a Project Monitoring-Data Collection manual at the beneficiary level could have been developed for the conduct of a prospective satisfaction survey and on changes on the lives of beneficiaries of sustainable livelihood programs and of assistive devices. Due to lack of material time and resources to produce these during the implementation period, the Project could have opted to nevertheless proceed with its development and publication as future reference materials by DSWD and other national agencies.
  5. The latest progress report cited the need to strengthen documentation of experiences, lessons learned, and mitigation measures during project implementation. The regular generation of quarterly reports as one of the M & E outputs should be given equal importance not only for the subject matters but also on cross-cutting issues, i.e. gender equality, human rights, etc., updating of risks and assumptions, monitoring or Project progress towards attaining results. All these are critical inputs for decision making. In all future Programmes and Projects, especially using DIM, the critical importance of timely generation of requisite reports, e.g. regular quarterly and annual progress reports and project implementation reviews, can never be downplayed.
  6. Oversight functions are best effective whenever regular policy and operational reviews are conducted by the Board. To enhance oversight, one agenda item is the presentation by project management of the latest quarterly and/or annual report. This certainly will lead to the exercise of better adaptive management through the timely and immediate resolution of issues and concerns. As mentioned in the ProDoc, regular feedback will enable Project management to continuously learn lessons and modify approaches and strategies, and overcome challenges and exploit opportunities
- 7.2 Policy recommendations for DSWD
7. The programs on infrastructure, sustainable livelihoods and protective services is undoubtedly to remain as one of the many DSWD flagship programs. Hence, the review and subsequently pursuit of policy and operational reforms will continue. In this regard, DSWD can consider the inclusive features on project proposal development, the advantages of bulk procurement in improving efficiency and generating savings whenever found applicable, use of CSOs and other partners in providing capacity building interventions and in training activities, use of quality assurance in implementing infrastructure projects, and in the conduct of beneficiary satisfaction surveys. These reforms can be introduced with inherent revisions to suit the needs of these existing programs and in future programs.
  8. The devolution of SWDOs at the local government levels has provided enormous challenges not only on the continuity and alignment of delivery of social services to communities but more than that, has affected the continuing capacity-building needs of SWDOs on their level of awareness and responsiveness to the emerging changes and challenges posed by the development goals of the country. Connectivity and coordination mechanisms with local governments across the country have long been established, but these must go beyond implementation of programs and projects.

### 7.3 Recommendations on remaining activities for the PMO

9. For the PMO, the February 2020 extension for Project completion will have to focus on ensuring that delivery of results are attained on the following:
  - Completion of all on-going projects to attain 100% Project delivery rates
  - For CSOs to substantially accomplish the formulation of sustainability plans, and improve the extent of the conduct of the satisfaction survey
  - Submission of the Project Completion Report
  - Provide justification on the Project need to maximize its remaining funds to complete all the remaining activities
  - Ensure that all Project documents are properly archived to facilitate retrieval in the future

### Lessons Learned

From reports generated by the BUB Project and from this evaluation, the following lessons learned were culled from new knowledge gained from circumstances which may be applicable with similar projects in the future.

1. The conduct of due diligence plays a key role for Project design developers to consider in all circumstances. An excellent understanding and appreciation of the real situation and existing issues and concerns would certainly lead to the development of a responsive package of interventions that is most effective and efficient, including human resource requirements.
2. The recognition that project proposals emanating from local government units will always carry with it some degree of political influence. The institutionalization of processes in developing project proposals reduces this level of influence. These processes may include community consultations, use of cost-benefit analysis, among others in order to prioritize and identify projects that bring the most benefit the communities.
3. Standardization and consolidation of procurement cannot be implemented on a national scale as nuances such as non-standard goods and geographic distances and accessibility have to be considered. Thus, a delineation of goods and services that can be served through both centralized and decentralized procurement methods have to be identified at the onset. Moreover, benefits from cheaper prices must be balanced with delivery cost and turn-around times, storage fees. Corollary, the procurement system has to have flexibility features to make it responsive to certain nuances, without foregoing accountability and transparency. Support services on finance and administration also play a critical role for the success of an innovative procurement system
4. Consistent fostering of communication, coordination and transparency are all equally crucial in project implementation as partnerships will always be faced with issues on sharing and delineation of roles and responsibilities.
5. Partnerships in direct implementation of Projects can become a feasible and acceptable modality and can be piloted further not only at the national level but also at the sub-national level.
6. The early adaption of monitoring and evaluation activities, especially on cross-cutting issues, can ensure that sufficient data can be captured, processed, and added to the attainment of Project results.