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THE INTEGRITY PROJECT

ANNUAL PERFORMANCE REPORT FOR THE PERIOD
ENDING SEPTEMBER 30, 2010

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The Integrity Project

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INTRODUCTION

This annual report covers the 2009 accomplishments of the Integrity Project (iPro) in pursuit of the objective of “improved good governance in the Philippines.” The report highlights activities completed, outcomes realized and the progress of ongoing activities for the four components of the project: 1) Strengthening the Office of the Ombudsman; 2) Supporting Effective Prosecution of Corruption Cases in the Lower Courts; 3) Building Institutional Cooperation to Reduce Corruption; and 4) Cascading the Fight Against Corruption to the Local/Regional Levels.

PROJECT MANAGEMENT

INTEGRITY PROJECT IMPLEMENTATION COMMITTEE (IPIC)

At the beginning of the Integrity Project (iPro), a counterpart group of senior officials of the Office of the Ombudsman (OMB) was created to support the implementation of project activities. Specifically, the OMB-IPIC was organized to determine policy guidelines to ensure the success of this undertaking. The IPIC is chaired by Deputy Ombudsman for Luzon Mark E. Jalandoni and composed of the heads of various key units and area-sectoral offices of the OMB. To support the IPIC, a secretariat was also formed composed of technical and administrative personnel from across OMB units. Within the IPIC, a technical working group (TWG) was also set up for each of the components expected to provide technical guidance as defined activities.

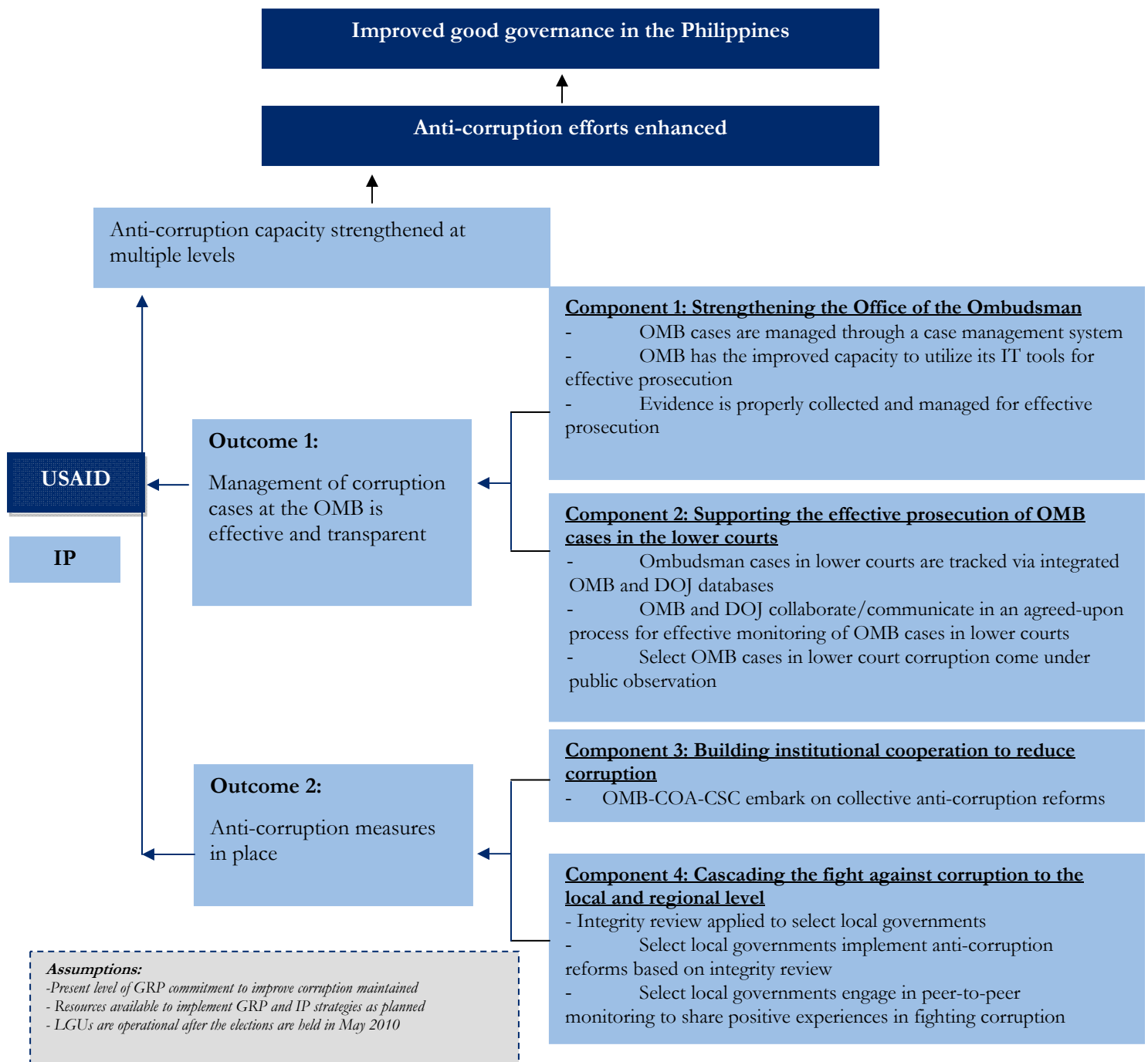
In December 2009, iPro convened the members of the IPIC in a management briefing to present and discuss the components and related project tasks. During this meeting, the OMB manifested its support to the iPro and enjoined OMB personnel to extend assistance in the implementation of the project.

iPro personnel likewise visited the area-sectoral offices of the OMB in Visayas and Mindanao to explain the project goals and activities that will be undertaken. Management level support from these offices was also solicited during this period. As in the central office, OMB Visayas and Mindanao likewise expressed their interest and cooperation to the project.

PROJECT MONITORING AND EVALUATION

The iPro Monitoring and Evaluation Plan and Results Framework was developed and submitted to USAID on March 22, 2010. Ten performance indicators across the 4 components were formulated to guide and assess the extent to which the project is attaining expected outcomes, as is shown in the below diagram.

Diagram I: Integrity Project Results Framework



PROJECT COMPONENTS

COMPONENT 1: STRENGTHENING THE OFFICE OF THE OMBUDSMAN

Activities under component 1 focused on ensuring OMB ownership in carrying out business process enhancement (BPE), developing a scope of work for and selection of a subcontractor to undertake the BPE, conducting an information technology (IT) assessment exercise at the OMB, carrying out an OMB evidence handling and security evaluation, and initiating preliminary work on the establishment of a records storage facility.

Key Accomplishments

Initial OMB meetings

iPro facilitated meetings with the OMB management as well as with the Component 1 TWG members to discuss the results and recommendations of the case records management and evidence security study (CRMESS) undertaken during the Millennium Challenge Account (MCA) threshold program considered as the precursor of the BPE initiative. Discussion points also centered on the objectives and activity schedule of the BPE and on current operational policies and procedures to ensure that these are aligned with the OMB-led development of the Complaint and Case Management System (CCMS).

Procurement of a subcontractor

In conjunction with TWG 1, iPro developed and finalized a scope of work for the procurement of a subcontractor. Following an open competition, CD Asia Technologies, Inc. (CD Asia) was awarded the subcontract on April 19, 2010, out of two other candidates, to undertake BPE activities. CD Asia has a long-standing relationship with the OMB. During the MCA project, it was subcontracted to produce the case records management and evidence security study. It was also involved in a number of studies and trainings at the OMB during the threshold program. Owing to its familiarity with OMB technical operations and issues that challenge the OMB, CD Asia is expected to successfully implement the BPE. To ensure the smooth implementation of this activity, iPro participated in the drafting of an OMB memorandum signed by Ombudsman Ma. Merceditas N. Gutierrez authorizing the conduct of identified activities.

Preliminary activities on the BPE

Following the awarding of the subcontract, CD Asia carried out a review of the CRMESS to identify and collect office orders, memoranda and circulars relevant to the business processes of the OMB not contained in the study. The summary report on the review contained culled materials on past and current operating procedures necessary in redesigning the OMB business process system. In addition, OMB units which were not part of the study were revisited for additional inputs.

Collection and scanning of relevant issuances for the development of the Legal Information Archive (LIA) were also initiated during Year 1. As of August 2010, 5,000 pages have been scanned. Document processing of these pages for conversion into text/word files, proofreading, hyper linking and editing of related legislative and executive issuances was also carried out

during Quarter 3 of the project. Because of the security and sensitivity level of the issuances to be included in the LIA, the OMB designated Office of Legal Affairs (OLA) Director Maribeth T. Padios as point person in gathering these issuances.

In relation to the development of the OMB Manual of Procedure, CD Asia undertook the preparation of the BPE implementation plan which highlights the conduct of focus group discussions (FGD) and interviews in various OMB offices on their processes and procedures.

On ensuring that IT perspective is included in the BPE initiative, iPro with CD Asia made efforts to discuss and encourage the OMB Management Information System Services (MISS) to move towards the standardization of the CCMS. It was documented in the CRMESS that OMB offices and units are maintaining separate case management systems and formats directly affecting the management, security and reliability of information on complaints and cases handled by the OMB.

OMB IT assessment

The general objective of this exercise is to evaluate the readiness of the infrastructure of the OMB to undertake BPE, IT system and capacity of OMB personnel to sustain the system. The assessment is seen as an activity complementing the BPE as well as the OMB efforts to develop its own CCMS. It covered OMB Central, OMB for the Military and Other Law Enforcement Offices (MOLEO), Office of the Special Prosecutor (OSP), OMB for Visayas, OMB for Luzon and OMB for Mindanao. Following the conduct of interviews, FGDs and surveys, it was found out that in terms of software, hardware and security, and network capacities, only OMB Central, Visayas and Mindanao are ready to participate in the CCMS because of the complete package state of the art equipment invested in by threshold program. OMB Luzon and MOLEO systems are obsolete and need replacements. In terms of personnel capabilities, most IT staff is not proficient with software and hardware systems and need training. Target end-users such as records officers and technical staff were found to be adept with Microsoft Office.

Evidence management and security evaluation

The departure of the Component Manager handling Component 1 concerns caused the delay in completing the evidence management security evaluation initiated during the threshold program. An implementation plan identifying the OMB offices and units that must be consulted, ideal locations in setting up a storage facility and evidence tracking forms was however prepared. The results of the evaluation will form part of a section in the Manual of Procedures. Change management sessions on the proposed evidence management system will also be incorporated in the sessions on the BPE.

Records storage facility

Although not contained in Year 1 workplan, iPro proceeded in starting discussions on a possible records storage facility at the OMB. A pilot location was identified at the OMB for Luzon. Specifications of the equipment were also discussed. Procurement process on the purchase of the equipment began during Year 1.

Fourth quarter ongoing activities

CD Asia is continuing to support the MISS by providing design inputs to the CCMS at the request of MISS Director Ginalyn Lucas. Docketing procedures and standardization of definition and forms in support of the CCMS are also underway. Simultaneous to these is the finalization of the proposed business process flows. CD Asia will carry out a presentation of the revised business process flows and CCMS design inputs as well as the draft LIA at the OMB.

COMPONENT 2: SUPPORTING EFFECTIVE PROSECUTION OF CORRUPTION CASES IN THE LOWER COURTS

During Year 1, activities implemented under Component 2 focused on the creation and maintenance of a database of corruption cases filed in the regular courts, development of an OMB-DOJ monitoring system for lower courts corruption cases, discussion on the conduct of prosecutorial training for both agencies, and implementation of a court watch program.

Key Accomplishments

Creation and maintenance of database of corruption cases filed in lower courts

Separate meetings to push for the creation of an integrated database of corruption cases filed in lower courts at the OMB and Department of Justice (DOJ) were facilitated by iPro. At the OMB, a TWG was created to provide direction in the implementation of this activity. For its part, DOJ formed a loose group of senior state prosecutors and senior officials to participate in this undertaking. In numerous meetings, both agencies have expressed an interest to pursue this endeavor. However, they have demonstrated varying appreciation of the MCA threshold program-sponsored Study on Ombudsman Cases in Lower Courts. The recommendations of the study form part of the rationale of the database. While DOJ agrees with the recommendation to complete an inventory of cases and the development of an effective inter-agency monitoring system, the OMB has raised concerns on the methodology used in defining the scope of the initial inventory of cases as well as the data-gathering tools applied in the study. iPro held several discussions with the OMB to address these concerns. With backing from TWG 2, iPro assisted in the preparation of a memorandum signed by Ombudsman Gutierrez approving the conduct of a case inventory using a template formulated with inputs from the TWG 2 members.

Based on final discussions with TWG 2 focal person Prosecution and Monitoring Bureau (PAMB) Director Elvira C. Chua, the scope of the case inventory as well as the needed logistical support from the OMB were identified.

Execution of a Memorandum of Agreement (MOA) on OMB-DOJ monitoring system

As in carrying out the inventory of corruption cases, the OMB and DOJ likewise agreed on the importance of setting up a functional monitoring system that will address concerns on the reliability, completeness and progress of cases turned-over by the OMB to the DOJ for prosecution in lower courts. Groundwork for this activity has been laid during Year 1.

Prosecutorial training

Simultaneous with the discussions on the case inventory and monitoring system, training program for OMB and DOJ prosecutors was also raised. The prosecutorial training is designed to improve the skill set of government lawyers from both agencies towards the expeditious and successful prosecution of corruption cases filed in regular courts. A training needs assessment tool was prepared by iPro to help in conceptualizing the training design.

Court watch program

During this year, iPro carried out a rapid review of past and current court watch programs in the Philippines. Based on the review, court watch programs in the Philippines have been found to be case-specific and focused on specific aspects of the judicial system such as the selection, nomination and appointment of justices in the Supreme Court. Most court watch programs are implemented by a network of anti-crime groups which also provide pro bono legal assistance to the victims.

Fourth quarter ongoing activities

iPro is preparing for the full implementation of the case inventory, engaging the OMB and the DOJ to discuss and agree on the parameters of the monitoring system and designing the program for the series of prosecutorial trainings. Implementation details on awarding of the grant on the court watch program are also continuing.

COMPONENT 3: BUILDING INSTITUTIONAL COOPERATION TO REDUCE CORRUPTION

In support of the Constitutional Integrity group (CIG) formally created in December 2009, the iPro set out to implement activities focused on the execution of a MOA between the OMB and the Commission on Audit (COA), development of joint memorandum-circulars (JMC), inter-agency trainings and participation of the Civil Service Commission (CSC) in the CIG efforts.

Key Accomplishments

Execution of a MOA between the OMB and the COA

Efforts to address operational and logistical issues between the OMB and the COA were launched and sustained during Year 1 of the iPro. Upon the request of Deputy Ombudsman Jalandoni, iPro concentrated its efforts to support the CIG via strengthening the institutional relationship between the two agencies. Following the designation of their respective TWGs, OMB and COA participated in a series of FGDs to initiate discussions on identifying all issues and formulating solutions to these concerns. After the FGDs, both agencies met in a plenary to agree on the proposed solutions and develop an inter-agency plan of action which highlights the need to: 1) conduct joint investigation for high profile cases; 2) designate a respective records officer to preserve and secure documents and evidence and to monitor/track cases; 3) conduct inventory of active/pending cases preparatory to the establishment of evidence rooms in all COA offices and setting up of a case management system at the OMB and COA; 4) conduct trainings by COA to OMB on audit investigations and procedures and by OMB to COA on rules and

procedures for criminal investigation and prosecution; and 5) develop a joint guidebook on case-building and prosecution. The principals of both agencies inked a MOA on July 16, 2010 to bind them on the plan of action. The MOA specifically calls for the two agencies to:

- cooperate in joint monitoring, effective investigation and prosecution of cases before courts, and quasi-judicial bodies;
- pool resources, create a Joint Task Force for special cases requiring highly technical and multi-disciplinary skills and strategies;
- conduct case conferences;
- undertake joint capability building activities to enhance skills for effective case investigation and prosecution;
- submit promptly and refer documents or matters for appropriate action;
- issue circulars on areas of cooperation, coordination, and sharing of information;
- develop a joint investigation and prosecution manual;
- undertake joint public awareness campaigns and full information dissemination; and
- designate a focal person for all of such undertakings.

Development of JMCs

Subsequently, OMB and COA led in the development JMCs on the conduct of joint investigations and development of case records management system. The drafting of the JMCs indicated the level of commitment and collaboration by both agencies to address concerns that affect the investigation and prosecution of audit-related corruption cases. The JMCs provide general guidelines in carrying out joint investigations and the creation of a joint investigation team composed of auditors, investigators and prosecutors as well as details on how each agency will set up its case records management system in support of the joint investigations.

Training on audit and audit procedures

As of September 2010, investigators, prosecutors and resident ombudsman of the OMB have been trained by the iPro. With COA officials as lecturers and speakers, OMB personnel have been provided training on COA rules of procedures and relevant issuances, audit reports and working documents, detecting fraud and irregularities and best practices on OMB successfully prosecuted COA cases. Discussions to design a counterpart training for COA also commenced during Year 1. Trainings for CIG members focused on addressing operational concerns and not on the Statement of Assets, Liabilities and Net worth (SALN) because of the CSC postponement of the use of the revised SALN forms.

CSC involvement in the CIG

To complete support to the CIG, iPro initiated meetings with CSC Chairperson Francisco T. Duque III and senior technical officials to discuss possible areas of partnership. Specific activities in line with the 2010-2015 CSC Road Map for Development/Reforms were identified during the meetings including supporting the National Forum on Ethics and Accountability to be held on November 2010 and conduct of trainings between members of the CIG on improving detection and prosecution of un-liquidated cash advances.

Fourth quarter ongoing activities

Trainings on corruption investigation for COA and CSC and forensic audit for the CIG members are currently being designed by iPro. Around 160 auditors, lawyers, investigators and prosecutors are expected to benefit from these training courses. Initial discussions on developing the joint guidebook on handling audit-related corruption cases are also ongoing. Preparatory work on the signing of the JMCs is likewise continuing. iPro is also helping the COA in coming up with its own strategic plan to push its governance reforms.

COMPONENT 4: CASCADING THE FIGHT AGAINST CORRUPTION TO THE LOCAL AND REGIONAL LEVELS

Focusing on carrying out anticorruption initiatives at the local level, iPro initiated the implementation of the integrity development review (IDR) and peer mentoring program in select local government units (LGUs).

Key Accomplishments

Initial meetings with OMB

As part of the preparatory work on the implementation of the IDR, OMB set out a TWG for Component 4. At the subsequent meetings, Deputy Ombudsman Jalandoni made several proposals that the IDR should be made more than just a corruption prevention tool and should be made useful for investigators and prosecutors as well. He also initiated a high-level meeting with the Department of the Interior and Local Government (DILG) to solicit their inputs and expertise in local governance which would be an important element of the recalibration of the present IDR tool.

Procurement of a subcontractor

Following policy directions from the two counterpart agencies, iPro sent out a request for proposals to implement the IDR in ten LGUs in the Philippines. The University of the Philippines Public Administration Foundation (UPPAF) was selected as subcontractor from three other shortlisted bidders on May 4, 2010. The UPPAF proposal considered the multifarious mandates and challenges of the four types of local government units which must reflect on the IDR tool. The institutional relationships that the UPPAF and the National College of Public Administration and Governance (NCPAG) have with the DILG and the Local Government Academy as well as with the OMB were considered in the selection of UPPAF as subcontractor.

Recalibration of the integrity development review for LGU use

During Year 1, the UPPAF set out to recalibrate the present IDR tool which was developed in the context of a national government agency. On May 11, 2010, a project briefing was conducted with iPro and OMB. The following suggestions were made: 1) the IDR tool for LGUs should be simplified in such a manner that the LGU personnel can sustain the initiatives and carry out the IDR themselves, 2) the IDR tool should also account for the financial capacity of the LGUs for replication to materialize, and 3) the results of the IDR exercise should be made useful to the enforcement efforts of the OMB.

Based on the draft recalibrated tool, the levels of achievements of LGUs will be assessed in five sub- dimensions – mandatory written policy, optional written policy, transparency of information, implementation and enforcement and innovations and sustainability. These dimensions will be applied in specific functions of the four types of LGUs namely, taxation function, procurement management, utilization of assets, human resource management, program-based service delivery, civil procedures and regulatory and policy-making functions. The iPro purchased four sets of wireless audience response system with thirty buttons each set for use in the surveys to be conducted for LGU clients and employees.

Rapid review of local government peer mentoring programs

To complement the IDR exercise, a peer mentoring program will be undertaken by iPro. Towards this goal, iPro conducted a rapid assessment of past and present peer mentoring programs in the Philippines as basis for designing the program which will be supported by iPro. Based on results of the review, mentoring programs focused on spurring economic development is more marketable at the local level. Because of their need to raise revenues to supplement the yearly Internal Revenue Allotment (IRA) LGUs receive from the national government, local authorities are on the lookout for schemes that will stimulate economic activities in their area of jurisdiction. The potential gains of mentee LGUs from the technology should also be clear at the outset. The review also proposed that Tagum City be invited as mentor LGU for its economic enterprise management policies and practice while the Municipality of Maasin and Tacloban City are considered as mentee LGUs.

Fourth quarter ongoing activities

Validation of the recalibrated IDR tool with OMB and local government consultants of the UPPAF is ongoing. Selection of the ten participant LGUs will follow the validation. Preparations for the peer mentoring program are also in progress.

TABLE 1: INTEGRITY PROJECT-SUPPORTED TRAININGS AND WORKSHOPS WITH INFORMATION ON GENDER CONSIDERATIONS

SUMMARY OF MSI-SUPPORTED TRAININGS & WORKSHOPS						
For the Year 2009 – 2010						
Title of Activity	Date Covered	No. of Participants			Counterpart Agency	Component
		# Male	# Female	Total		
Management Briefing on the Integrity Project	Dec. 11, 2009	18	24	42	OMB	All components
Technical Working Group 4: IDR for LGUs	Dec. 14, 2009	2	4	6	OMB	4
TWG Meeting on Business Process and Re-Engineering	Dec. 21, 2009	6	10	16	OMB	1
Meeting of the IPIC TWG2, Prosecution of Lower Courts Corruption Cases	Dec. 22, 2009	4	6	10	OMB	2
IP Secretariat Meeting	Jan. 6, 2010	1	5	6	OMB	
Meeting of the TWG: Constitutional Integrity Group	Jan. 14, 2010	3	9	12	OMB	3
Business Process Re-engineering Committee Meeting	Jan. 20, 2010	5	10	15	OMB	1
Business Process Re-engineering Committee Meeting	Feb. 1, 2010	7	9	16	OMB	1
Business Process Re-engineering Committee Meeting	Feb. 8, 2010	2	6	8	OMB	1
OMB-PAMO Presentation for the CIG Meeting	Mar. 4, 2010	7	7	14	OMB	3
OMB Group Discussion on COA Concerns	Mar. 5, 2010	18	14	32	OMB	3
Working Meeting on Consolidation of OMB Internal FGDs re: COA concerns	Mar. 10, 2010	1	6	7	OMB	3
Working Meeting on Consolidation of OMB	Mar. 11, 2010	1	7	8	OMB	3

SUMMARY OF MSI-SUPPORTED TRAININGS & WORKSHOPS						
For the Year 2009 – 2010						
Title of Activity	Date Covered	No. of Participants			Counterpart Agency	Component
		# Male	# Female	Total		
Internal FGDs re: COA concerns						
Working Meeting on Consolidation of OMB Internal FGDs re: COA concerns	Mar. 18, 2010	4	8	12	OMB	3
COA Focus Group Discussion (COA-OMB Initiative/Constitutional Integrity Group)	Mar. 24-25, 2010	12	24	36	COA	3
MISS Roadmap Meeting	Mar. 30, 2010	3	5	8	OMB	1
IPIC TWG2, Prosecution of Corruption Cases in the Lower Courts	Apr. 6, 2010	4	10	14	OMB	2
Focus Group Discussion (FGD) with Ombudsman Visayas and Mindanao on COA Matters	Apr. 7, 2010	6	19	25	OMB	3
COA-OMB Meeting on Admin and Program Development	Apr. 15, 2010	1	6	7	OMB	3
Luzon & MOLEO FGD on COA Concerns	Apr. 19, 2010	5	5	10	COA	3
COA OMB Meeting Re-Finalize Program for the Joint Meeting	Apr. 22, 2010	0	4	4	COA	3
CCMS Meeting	Apr. 23, 2010	1	7	8	OMB/CD Asia	1
TWGI Business Process Re-Engineering (BPR) Meeting	Apr. 29, 2010	11	16	27	OMB	1
OMB Final Meeting Re-Joint Workshop on May 19-21, 2010	May 12, 2010	6	9	15	OMB	3
OMB Final Meeting Re-Joint Workshop on May 19-21, 2010 (Part 2)	May 17, 2010	7	6	13	OMB	3

SUMMARY OF MSI-SUPPORTED TRAININGS & WORKSHOPS						
For the Year 2009 – 2010						
Title of Activity	Date Covered	No. of Participants			Counterpart Agency	Component
		# Male	# Female	Total		
Joint Workshop on Strengthening Institutional Commitments between COA and OMB Towards Winning Corruption Cases	May 19-21, 2010				OMB/COA/USAID	3
May 19		21	23	44		
May 20		16	23	39		
May 21		18	23	41		
OMB-COA Strengthening Institutional Commitments Integrity Project	June 10, 2010	6	7	13	OMB	3
TWG 2 Meeting 3	June 22, 2010	8	10	18	OMB	2
OMB Joint Plan of Action (JPA) Sub TWG 1 Members Meeting	June 29, 2010	8	4	12	OMB	3
OMB Joint Plan of Action (JPA) Sub TWG 1 Members Meeting 2	July 8, 2010	7	4	11	OMB	3
COA Joint Plan of Action (JPA) Sub TWG 1 Members Meeting 1	July 15, 2010	3	10	13	COA	3
OMB Joint Plan of Action (JPA) Sub TWG 2 Members Meeting 1	July 15, 2010	1	5	6	OMB	3
OMB-COA MOA Signing	July 16, 2010	13	33	46	OMB/COA/USAID	3
COA Joint Plan of Action (JPA) Sub TWG 1 Members Meeting 1	July 19, 2010	3	7	10	COA	3
OMB Joint Plan of Action (JPA) Sub TWG 2 Members Meeting 2	July 22, 2010	1	4	5	OMB	3
COA Joint Plan of Action (JPA) Sub TWG 2 Members Meeting 1	July 27, 2010	1	9	10	COA	

SUMMARY OF MSI-SUPPORTED TRAININGS & WORKSHOPS						
For the Year 2009 – 2010						
Title of Activity	Date Covered	No. of Participants			Counterpart Agency	Component
		# Male	# Female	Total		
OMB Joint Plan of Action (JPA) Sub TWG 3 Members Meeting I	July 29, 2010	3	4	7	OMB	3
COA Joint Plan of Action (JPA) Sub TWG 3 Members Meeting I	Aug. 9, 2010	4	8	12	COA	3
Meeting re-OMB Complaints & Case Management System	Aug. 11, 2010	2	13	15	OMB/CD Asia	1
OMB Plenary	Aug. 13, 2010	10	10	20	OMB	3
OMB Audit Training and Audit Procedures	Aug 17-18, 2010				OMB/COA	3
August 17		14	34	48		
August 18		12	28	40		
COA Plenary	Aug. 20, 2010	5	13	18	COA/USAID	
Constitutional Integrity Group TWG Meeting	Aug. 31, 2010	5	4	9	OMB/COA	3
OMB Audit Training and Audit Procedures	Sept 1-2, 2010				OMB/COA	3
September 1		12	32	44		
September 2		11	29	40		
OMB-COA Joint Small Group Sub TWG Meeting	Sept 3, 2010	2	4	6	COA/OMB	3
OMB Audit Training and Audit Procedures	Sept. 8-9, 2010				OMB/COA	3
September 8		17	29	46		
September 9		20	29	49		
OMB Audit Training and Audit Procedures	Sept. 15-16, 2010				OMB/COA	3
September 15		16	36	52		
September 16		19	33	52		
COA Validation Workshop on the Assessment of the Records Management System	Sept. 21, 2010	2	7	9	COA	3
OMB Audit Training	Sept. 29-				OMB/COA	3

SUMMARY OF MSI-SUPPORTED TRAININGS & WORKSHOPS						
For the Year 2009 – 2010						
Title of Activity	Date Covered	No. of Participants			Counterpart Agency	Component
		# Male	# Female	Total		
and Audit Procedures	30, 2010					
September 29						
September 30						
Presentation Meeting on the BPE	Sept. 29, 2010	2	2	4	USAID/iPro/CDAsia	I

ANNEX A: MONITORING AND EVALUATION OF PROJECT FOUR COMPONENTS

Component 1: M&E Report

Component 1: Performance Indicator Reference Sheet				
Indicator 1.1: Percentage of new complaints and cases with evidence logged and secured into the evidence storage and security system				
INDICATOR DESCRIPTION				
Definition(s): Complaint is defined as a sworn statement charging a person with an offense, subscribed by the offended party, any peace officer or other public officer with the enforcement of the law violated. This document bears a CPL number. Case is defined as a complaint duly endorsed by the Field Investigation Office (FIO) to the Preliminary Investigation, Administrative Adjudication and Monitoring Office (PAMO) for adjudication, marked with OMB number. Evidentiary materials refer to admissible testimonies, exhibits, and original documentary materials for cases pending with the OMB.				
Unit of Measure: Percentage				
Disaggregated by: Location and case type (corruption / non-corruption)				
Justification & management utility: Logging of case evidence, both documentary and physical, will reduce occurrences of lost, missing or mishandled case records.				
METHOD OF DATA ACQUISITION				
Data Collection Method: Document Review				
Data source: Evidence logs, forms				
Frequency/Timing of Data Collection: Annually				
PERFORMANCE INDICATOR TARGETS				
Year	Baseline	Target	Actual	Notes
1	0	N/A		
2				
Notes on baselines/targets: No evidence security system is currently in place, thus the baseline is 0. Actual use of the system is scheduled to begin in Year 2.				

Indicator 1.1 can be measured only if two critical components are in place, namely, (1) Enhanced procedures to monitor complaints and cases is practiced within OMB, and (2) Common database to record information on complaints and cases is existing

1. Enhanced procedures to monitor complaints and cases is practiced within OMB

Current. The Case Records Management & Evidence Security Study (CRMESS, done under the MCA-PTP TAP) found that original documents and other pieces of evidence submitted are made part of the original case folder routed within OMB offices as part of the established business procedures. The study also found no established procedures for document transfers and turn-over of case through each step of the case process. This practice makes the documents susceptible to

security risks, loss, damage, or unauthorized changes along the way. There is an OMB Office Order 60-05 on evidence handling and storage that is not implemented across all OMB offices.

The same study also indicated a lack of system for proper evidence storage. OMB also does not have evidence custodians who can track and monitor the whereabouts of any piece of evidence. Furthermore, OMB also in general does not have facilities to securely store original documents and other pieces of evidence.

Solution. An ideal scenario is for OMB to have a streamlined and uniform procedure in managing complaints and cases, following best practices. The Project will attempt to establish and institutionalize an enhanced business procedure to improve case monitoring, in particular enabling OMB to better track case folders and document transfers, and put accountability to those handling the documents and case folders. A supplementary deliverable is the Ombudsman Legal Information Archive (LIA), a searchable CD-based library containing all OMB issuances (i.e., office orders, office circulars, office memoranda, administrative orders, and other such issuances) with annotations.

The Project will also strengthen the evidence handling procedures of OMB, to include the provision of secured document filing facilities to select offices as pilot sites, and the introduction of enhanced evidence security practices.

The above solutions are in currently in process of implementation. The target date of implementation is around late Q2 to early Q3, 2011

Common database to record information on complaints and cases in place

Current. Each OMB office typically maintains its own database of complaints and cases that do not have interface with one another. Each office would have its own computerized system where the data on case information are generally different in structure and format from the others. This situation creates a problem in producing consistent OMB-wide information on cases regularly required by stakeholders.

Solution. The ideal scenario is for OMB to have a standard computerized system that use a common database to records its cases and complaints information. The Management Information System Service (MISS) of the OMB is currently developing a complaints and case monitoring system (CCMS) that will be deployed agency-wide within 2011. The objective of this computerized system is to standardize and normalize all entry procedures and data related to case information, and eventually produce consolidated reporting of case information seamlessly.

The Project per se will not fund the development efforts of the MISS. It will however, provide system design inputs for the CCMS. The Project will also provide limited system support such as some trainings and possibly system infrastructure enhancement, if needed.

MISS targets Q1 2011 to start deploying the data entry module of MISS at select pilot offices within OMB. Other MISS modules shall be deployed within year 2011.

Components 2 and 3: M&E Report

Component 2: Performance Indicator Reference Sheet				
Indicator 2.1: Percentage of OMB-originated corruption cases at the DOJ tracked in an integrated OMB and DOJ common information system				
INDICATOR DESCRIPTION				
Definition(s): OMB-originated cases are the cases originally filed at the OMB and forwarded to DOJ for preliminary investigation and prosecution. An integrated OMB and DOJ information system is a process (not a merged system) whereby DOJ and OMB share information regarding case status for those cases transferred between the two organizations. The percentage is computed on those cases transferred from the OMB to the DOJ.				
Unit of Measure: Percentage				
Disaggregated by: Location and case type(corruption / non-corruption)				
Justification & management utility: OMB needs to be able to know the status of cases that were transferred to DOJ.				
METHOD OF DATA ACQUISITION				
Data Collection Method: Case management reports				
Data source: Integrated OMB/DOJ information sharing process; OMB and DOJ databases				
Timing/Frequency of Data Collection : Annually				
PERFORMANCE INDICATOR TARGETS				
Year	Baseline	Target	Actual	Notes
1	0	30%		
2		75%		
Notes on baselines/targets: Baseline will be developed once the databases are actively used.				

Current. iPro in its first year of implementation exerted effort to coordinate, facilitate and establish inter-agency communication between the Office of the Ombudsman (OMB) and the Department of Justice (DOJ) to: 1) determine the level of their willingness to meet and discuss issues relating to the investigation, prosecution and monitoring of corruption cases filed in the lower courts considering that the last attempt done during the threshold program was unsuccessful; and 2) encourage both agencies to collegially discuss institutional and operational issues.

Prosecutors and mid-level management were approached during this process. However, any degree of success reached was blocked off because of political, institutional and personal difficulties that have challenged the leadership of OMB and DOJ. These may have arisen because of the concurrent jurisdiction that both offices claim over corruption cases filed against government personnel with salary grade below 27. This has permeated and festered among the ranks and even top-level management of both organizations.

Solution. Coordinating between the two agencies continues to be a challenge. Although issues of national interest affecting the relationship of the OMB and the DOJ remain serious setbacks to

any efforts at encouraging discussions, iPro intends to undertake a series of activities to engage and direct both agencies towards meeting and addressing inter-agency problems.

The OMB during the threshold program has carried out the initial process in assessing business process flows through an organization-wide study of existing processes and systems. The recommendations of the study are currently being implemented through a business process enhancement project under the iPro. This activity will have direct impact over how the OMB manages and monitors its caseload. Parallel efforts are also being conducted at the DOJ. Inter-agency monitoring of corruption cases filed at the lower courts however is yet to be strengthened.

iPro plans to document the monitoring system of DOJ. This will be studied alongside that of the OMB. Following this, iPro will propose an integrated system that will respond to the individual and inter-agency needs of the OMB and the DOJ. Complementing this task will be a series of joint meetings with OMB, DOJ and the Supreme Court - Office of the Court Administrator to synchronize the system with the courts. A series of trainings to strengthen the capabilities of the prosecutors of both agencies will be also be implemented. These trainings will focus on effective trial advocacy.

Component 3: Performance Indicator Reference Sheet

Indicator: 3.1 Number of joint initiatives undertaken by CIG or other anti-corruption alliances

INDICATOR DESCRIPTION

Definition(s): The CIG was created out of the recognition of the anticorruption mandates of OMB, CSC, and COA. Through its precursor, the Solana Covenant, the three constitutional bodies have accomplished joint activities since 2004 in the investigation and prosecution of administrative and criminal cases; trainings.

Unit of Measure: Number of joint initiatives undertaken

Disaggregated by: Location

Justification & management utility: The CIG has been proven to be an effective anticorruption partnership as demonstrated in the accomplishments gained during the Solana (anticorruption summit of independent accountability institutions) regime. The OMB leadership sees the benefits of reactivating this initiative not only in building institutional cooperation in reducing corruption but also in convening substantial support for anticorruption at the highest level.

METHOD OF DATA ACQUISITION

Data Collection Method: Document Review

Data source: CIG member agencies

Timing/Frequency of Data Collection: Annually

PERFORMANCE INDICATOR TARGETS

Year	Baseline	Target	Actual	Notes
1	0	3		
2		5		

Notes on baselines/targets: While there may be joint activities already undertaken, the indicator will measure new or revised programs, the baseline will be 0, but will still gather the existing reforms based on Solana I and II. Also, a comparative analysis will be provided between the SOLANA I and II reforms and the CIG reforms.

PERFORMANCE INDICATOR TARGETS				
Year	Baseline	Target	Actual	Notes
1	0	3	24	Includes preparatory activities to joint activities. Major activities have resulted in further strengthening institutional relationships notably that of the OMB and the COA, specifically on investigating and prosecuting corruption cases developed through the conclusion of fraud audit investigations. A memorandum of agreements was signed, a joint plan of action was prepared and implementing guidelines were also issued jointly by the OMB and the COA. iPro anticipates that these initiatives will be sustained even after the project is completed.
1		5		

Component 4: M&E Report

Component 4: Performance Indicator Reference Sheet				
Indicator 4.1: IDR key milestones				
INDICATOR DESCRIPTION				
<p>Definition(s): A scorecard (sample attached) will be used to show the progress of the IDR and changes that occur as the result of the IDR. Since conduct of the IDR is a process, it is deemed best to use milestone tracking/scoring to take into account not just the quantity or number of reforms that will be implemented but also the qualitative aspects of the reforms.</p> <p>Measured by: Score</p> <p>Disaggregated by: LGU type, Location</p> <p>Justification & management utility: This indicator will assist the OMB in measuring the achievements of applying the IDR at the local levels. By undertaking this exercise, the OMB promotes integrity-building reforms in the LGUs which eventually will translate to improved delivery of services to the public.</p>				
METHOD OF DATA ACQUISITION				
Data Collection Method: Review of LGU and subcontractor reports				
Data source: LGU and subcontractor reports and records; Discussions with LGUs				
Timing/Frequency of Data Collection: Annually				
PERFORMANCE INDICATOR TARGETS				
Year	Baseline	Target	Actual	Notes
1	0	NA		
2				
total				
Notes on baselines/targets: to be determined in consultation with the subcontractor and OMB				

The performance indicators for Component 4.1 would be more useful when differentiated in phases. Given the shortened period (less than one year) to implement the IDR, the Project will not immediately observe the adoption of policies by LGUs.

The adoption of policies is expected to take place after the LGU pursue the IDR track in improving integrity in its systems and procedures. Thus, the more appropriate performance indicators to assess the success of the IDR within this shortened period of implementation shall be those that are based on output and process.

Measuring by Implementation Phase

The objective of Phase 1 Implementation is the adoption of the LGUs of the integrity review tools. Performance indicators such as LGU's average percentage of IDR results, implying that the LGUs have undertaken the self-assessment, and the number of LGUs committed to apply the IDR the following year, should provide accurate measures.

The objective of Phase 2 Implementation, on the other hand, is the adoption of policies that will help control corruption within the agency - this assumes that the LGUs have already agreed to take the IDR track. In this case, the higher targets can be set for the average percentage of IDR results, and additional indicators for reform measures can be used.

Finally, by the Phase 3 Implementation, the outcome indicators such as those that measure efficiency of service delivery will provide a better guide.

Sample Balanced Scorecard for IDR Milestones

Balanced Scorecard Perspectives	Milestones	Indicators	Target Indicators		Actual Indicators	
			Q2 2011	Q3 2011		
Financial	IDR affordable to LGUs	Number of written commitment of LGUs to apply IDR the following year (2012/2013)	3	10		
	Timely release of payments	Percentage of tranches released on target dates within a margin of 7 days		80%		
Internal work processes	LGUs ready to adopt policies to improve integrity	Average percentage of LGUs IDR results		20%		
	LGUs aware of procedural risks	Number of written process maps with identified risks	3	10		
	Timely delivery	Percentage of milestones achieved within a margin of 7 days		80%		
Stakeholders	Stakeholders provide meaningful feedback	Significant number of stakeholders providing comprehensive feedback		Significant participation / comprehensive report		
	Ombudsman's satisfaction	Ombudsman agreements on the actions taken and overall IDR project		100%		
Learning and Growth	LGUs ready to conduct self-assessment	Number of assessors trained from the LGUs	40			
	Implementation challenges and resolutions well documented	Comprehensive reporting of challenges and resolutions undertaken		Comprehensive report		