



USAID | PHILIPPINES
FROM THE AMERICAN PEOPLE

Final Evaluation Report

Evaluation Services for the USAID Phil-Am Fund Activity



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SEAMEO
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LIST OF ACRONYMS

AFON	Antique Federation of NGOs
ALS	Alternative Learning System
BALAOOD	Balay Alternative Legal Advocates for Development in Mindanao, Inc.
BCAT	Barangay Council Against Trafficking
BCPC	Barangay Council for the Welfare of Children
BIR	Bureau of Internal Revenue
BMS	biodiversity monitoring system
BUB	bottom-up budgeting
C3MC	Candis Marketing Cooperative
C3PH	Community Centered Conservation Philippines, Inc.
CAP	corrective action plans
CAT	Council on Against Trafficking
CB-NRM	community-based natural resources management
CCPC	City Council for the Protection of Children
CDA	Cooperative Development Authority
CLAFI	Conrado & Ladislawa Alcantara Foundation, Inc.
CLB	Children's Legal Bureau
CPK	content and pedagogical knowledge
CSOs	civil society organizations
CWGs	Community Watch Groups
DepEd	Department of Education
EGRA	Early Grade Reading Assessment
eLF	electronic learning facilitators
FCU	Filamer Christian University
FGDs	focus group discussions
FO	Finance Officer
FORGE	Fellowship for Organizing Endeavors
FIT-ED	Foundation for Information Technology Education and Development
GRF	Gerry Roxas Foundation
GMP	good manufacturing practices
HFI	Haribon Foundation, Inc.
ICD	Institute of Corporate Directors
IMAN	Integrated Mindanaons Association for the Natives
ISO	Institute of Social Order
JVOFI	Jaime V. Ongpin Foundation, Inc.
KBA	Key Biodiversity Areas
KIIs	key informant interviews
LACs	Learning Action Cells
LCAT	Local Councils for the Protection of Children
LGEs	local government executives
LGUs	local government units
M&E	monitoring and evaluation
MDFI	Maguindanaon Development Foundation, Inc.
MDT	Multi-disciplinary Team
MFI	Mabuwaya Foundation, Inc.
NATRIPAL	NagakaisangTribu ng Palawan, Inc.
NCPC	Naga City People's Council
NNNP	Northern Negros Natural Park
NUPAS	Non-US Organization Pre -award Survey

OD	organizational development
ORO CHAMBER	Cagayan de Oro Chamber of Commerce and Industry Foundation
PARFUND	Philippine Agrarian Reform Foundation for National Development
PATH	PATH Foundation Philippines, Inc.
PBCFI	Philippine Biodiversity Conservation, Inc.
PCs	People's Councils
PEF	Philippine Eagle Foundation
Phil-Am Fund	Philippine American Fund
PFI	Pagtambayayong Foundation, Inc.
PLMES	people-led monitoring and evaluation system
PMBs	People Monitoring Boards
POs	People's Organization
PREDA	People's Recovery and Development Assistance Foundation ()
RBI	Resources for the Blind
RFI	Roxas Foundation, Inc.
SEC	Securities and Exchange Commission
SEDMFI	Surigao Economic Development and Microfinance Foundation, Inc.
SGV	Sycip Gorrez and Velayo
SOW	statement of work
SPIADFI	South Pacific Integrated Area Development Foundation, Inc.
SWCFI	Soil and Water Conservation Foundation, Inc.
TAMACO	Tamaraw Salt Producers Cooperative
TDFI	Tuason Development Foundation, Inc.
TIP	trafficking in persons
TKI	Tanggol Kalikasan, Inc.
TLDFI	Tribal Leaders' Development Foundation, Inc.
ToC	theory of change
TPD	teacher professional development
TSNA	teachers' strengths and needs assessment
USAID	United States Agency for International Development
YPS	Young Public Servants

EXECUTIVE SUMMARY

The study evaluated the performance of the Philippine American Fund (Phil-Am Fund) implemented by the Gerry Roxas Foundation (GRF) through the civil society organizations (CSOs) as sub-grantees. This USD24-million United States Agency for International Development (USAID) funding facility started on August 5, 2013 and ended on December 31, 2018. Phil-Am Fund provided a total of 37 grants to specific CSOs. The funding consisted of 16 projects promoting biodiversity conservation, seven in enterprise development, six in anti-trafficking in persons, five in governance and four in education.

The evaluation aimed to explore the contribution of the Phil-Am Fund in meeting the USAID Forward objective of promoting sustainable development through high-impact partnerships and local solutions. The organizational capacity and performance were the focus of the evaluation and these were viewed from the lens of organizational development (OD). The organizational performance was also gauged by examining the extent to which the CSOs successfully implemented the projects. The Non-US Organization Pre-Award Survey (NUPAS) was the primary tool used in examining organizational capacity.

The complete enumeration of 37 CSOs was done for the assessment of organizational capacity using the NUPAS with 11 of them randomly selected for the facilitated NUPAS assessment and the rest through mailed NUPAS questionnaires. Facilitated NUPAS assessment entailed actual visits of the evaluation team to 11 CSOs to personally administer the NUPAS questionnaires and carry out key informant interviews to validate other relevant information. The NUPAS was used to determine the mode of grant release to the CSOs. It also served as a benchmark of good organizational practices. The results of evaluation using this tool were used as a basis in identifying specific interventions or corrective actions that had to be made in any of the six areas of organizational capacity.

The GRF managed the call for proposals, review, approval as well as monitoring and evaluation of the various projects and with SyCip Gorres Velayo & Company (SGV & Co.), carried out the capacity building through training and mentoring activities for the CSOs. This move aimed to enable the CSOs to implement their corrective action plans (CAP) drawn from the NUPAS findings and the variances and gaps in accomplishments identified during project monitoring and evaluation (M&E). GRF required them to use the online accounting/auditing system called AuditPal to track all financial transactions in real-time.

Of the 16 biodiversity-themed projects, one was pre-terminated for failure to address corrective actions in the NUPAS. The 15 projects had a total grant of nearly PHP200 million. The projects aimed to address issues about biodiversity conservation, natural resources management, habitat restoration and protection.

The seven economic growth grants amounting to over PHP300 million assisted development of more than 700 micro-enterprises, the development of a technology for sugarcane-derived fabric and the establishment of the first salt processing plant in Mindoro.

The five governance grants intended to strengthen the work of CSOs in promoting public sector accountability and transparency. The accomplishments of five sub-grants ranged from the establishment of chapters and improvement of practices through training and the involvement of local government units (LGUs) in participatory planning and budgeting covering 31 municipalities. The total grant amount was close to PHP70 million.

The six anti-trafficking in persons grant aimed to improve the capacity of the Philippines to combat trafficking in person. It supported activities across the three pillars of USAID's counter-trafficking strategies which were prosecution, prevention and victim protection. The grant increased the awareness of 66,054 people through mass media campaigns while 912 received services. The total grant amounted to PHP56 million.

The education grants financed innovative, cost-effective and technology-based solutions that provided quality education to early grade learners in remote areas. The funding also supported initiatives to improve adult literacy and paved the way for the provision of 20,110 textbooks, training of 4,030 K-3 public school teachers and allocation of 15,812 reading interventions.

The baseline organizational capacity of CSOs based on the results of the initial NUPAS assessment showed that half of the CSOs passed the initial assessment (those with “adequate” rating). All others had either “weak” or “below adequate” rating. In the biodiversity theme, half of the CSOs were assessed to have weak organizational capacity. Four of these, however, showed improvement in NUPAS scores during the mid-term reassessment. Under the governance theme, two of the five CSOs were found to have weak organizational capacity. For the economic theme, all seven CSOs have weak organizational capacity. Under the anti-trafficking in persons theme, four out of six CSOs initially have weak organizational capacity but achieved considerable improvement in the course of the project such that they were all considered of adequate organizational capacity during the NUPAS reassessment.

Regardless of thematic areas, however, the evaluation showed that there was a considerable improvement in the organizational capacity of the CSOs and such changes were the results of corrective measures required of them based on the NUPAS findings. For the CSOs, NUPAS itself made them realize their shortcomings as an organization especially on legal and statutory concerns and other administrative matters.

CSOs reported improvements were visible on financial management and internal control system. Common to all CSOs were practices on bank reconciliation and variance analysis. Often mentioned was the use of the AuditPal accounting software. On the legal structure, revision of articles of incorporation and by-laws, compliance to reportorial requirements of Securities and Exchange Commission (SEC), Bureau of Internal Revenue (BIR) and Cooperative Development Authority (CDA) were reported. The formulation, review, finalization and approval of the code of ethics, as well as its communication and cascading of information to the staff were the most noted improvements among CSOs. Updating of organizational chart and authorization matrix were also reported. Improvements in human resources were reported in areas of formulating, revising and updating of salary structures, policies on travel and food allowances, performance evaluation and policy on recruitment, personnel selection and promotion. Systematizing the procurement processes to include the use of procurement forms, approval process and matrices were also mentioned. Many CSOs also reported improvements in performance management and organizational sustainability. For performance management, these were mostly about the documentation of existing systems and practices in their manuals of operations. On organizational sustainability, these were on the use of and analysis of financial documents, reports and analysis to aid management in decision-making.

The CSOs do their work within a societal setting and were concerned with what they could do to society. Since they were cause-oriented and non-profit, assessment of their capability to implement Phil-Am Fund projects was **for the most part “traumatic” to them. However, accepting their capability as “weak” and later “adequate”, GRF** guided them as they went through the process of addressing the NUPAS recommendations.

The Phil-Am Fund was also instrumental in effecting changes in organizational performance, particularly in terms of relevance, effectiveness, efficiency and sustainability. On relevance, all the projects funded under the Phil-Am Fund were intended to address important development needs in each thematic area, making the CSOs appreciative of the support provided to them by GRF. They reported that their projects enabled them to be more relevant actors in community development works, thereby, improving their relationship with the various stakeholders and even improving their reputation as CSOs in the community.

There were pieces of evidence suggesting that the Phil-Am Fund interventions led to more effective and efficient performance of CSOs. They felt their effectiveness as they provided documentation of stories of interest of project beneficiaries felt by various stakeholders on the ground and the extent to which the project objectives had been attained. On efficiency, the NUPAS experience was seen as the most important aspect that provided realization on the importance of having a strong administrative and financial system for sustainability. These strengthened systems and processes enabled the CSOs to deliver outputs more efficiently.

Training and coaching activities carried out were the enabling factors that improved the organizational capacity and performance of the CSOs. These were achieved through one-on-one sessions with grantees to address specific NUPAS findings and technical assistance in such areas as M&E, writing stories of interest, taking good project photos and grant close-out, among other things.

The **CSOs' capacity, performance and achievement of project objectives** were also indirectly affected by cultural, political, economic and technological environment factors external to them. The cultural environment was a critical factor particularly in the biodiversity, governance and trafficking in persons projects. In biodiversity projects, for instance, the CSOs had to work hard so that the communities would co-own the project.

The political setting within which CSOs operate reportedly affected their performance. The level of political support, especially by the local government units, was an important factor in almost all projects. Adequate local government support helped the CSOs achieved their project objectives. At the organizational level, access to multiple sources of funds of the CSOs was found to be key to their survival and flexibility. At the project implementation level, economic factor such as extreme poverty was seen as the single most important reason for the continued proliferation of trafficking in persons in the country. It was also the main reason for poaching and degradation of natural resources as reported by CSOs under the biodiversity theme.

The most important hindering factor was the mode of fund release. The CSOs that did not pass the NUPAS could access funds only through reimbursement mode and this resulted in a large number of CSOs struggling to implement their projects due to lack of funds. A number of CSOs did not even have the funds to finance their start-up activities but ironically, GRF even had to revert funds to USAID, especially during the initial years as many CSOs were under reimbursement mode.

Another hindering factor was the Phil-Am Fund implementation of a standard mechanism of engagement with CSOs regardless of the level of capacity and organizational maturity. This resulted to varied feedback about the engagement ranging from favorable to unfavorable. **The "flow down" of USAID requirements to Phil-Am Fund grantees** resulted in stricter requirements for grantees as if they were direct grantees of USAID. Efforts to streamline this process had required a lot of time and effort from USAID and Phil-Am Fund staff. The innovative nature of the fund proved challenging as well to the USAID team, which had difficulty shifting their paradigms from the traditional processes of the Agency to one that should allow some flexibilities and should be open to some risk-taking in the grant-making process.

At least four important sets of outcomes of Phil-Am Fund were found to be directly contributing to the goals of USAID Forward, namely: (1) strengthened organizational capacity of CSOs; (2) expanded opportunities for CSO **leveraging**; and (3) **innovative modalities of local solutions**; and (4) **building stakeholder's commitment**.

The Improvement in the organizational capacity of the 37 CSOs was the most important outcome contribution of the Phil-Am Fund to the goals of USAID Forward. This resulted directly from the design of the Phil-Am Fund, which did not only provide access to USAID grant but gave considerable focus on the organizational capacity improvement of the CSO. The NUPAS served as a diagnostic tool to determine specific weaknesses of CSOs along with six domains, as well as a benchmark of good organizational practices towards which organizational improvements were directed. The targeted mentoring and coaching of GRF and SGV were keys to addressing the specific organizational weaknesses and effecting improvement in organizational capacity.

The evaluation found out that financial management was the most important improvement in organizational capacity common to all CSOs. Among the practices introduced under the Phil-Am Fund, CSOs highly appreciated the variance analysis, bank reconciliation and the use of AuditPal. On human resource development, the updating of personnel files and the conduct of performance evaluations of employees were also generally appreciated. Other practices introduced by Phil-Am Fund particularly on project management, which were adopted by all CSOs and effected improvement in organization capacity, were the formulation of the theory of change (ToC). CSOs claimed the conception of ToC helped them clarify and better understand the development problem that they intended to work on such as project monitoring and evaluation (M&E) and the development of stories of interest which were deemed helpful especially by the relatively smaller CSOs, albeit viewed as redundant by the bigger CSOs which have already been adopting such practices long before their participation in the Phil-Am Fund.

Achieving the goals of USAID Forward and the Journey to Self-Reliance required frontline development organizations such as CSOs to have the capacity to fund or seek funding for local solutions that they intended to put in place. The Phil-Am Fund was able to help address this necessity, although indirectly, by empowering the sub-grantees and providing them the opportunity to build a track record (especially involving a USAID project) which they could capitalize in seeking future funding support from various sources.

The Phil-Am-Fund-supported projects served as rich breeding and testing grounds for the development of innovative local solution modalities. Such modalities were important outcomes that may help achieve the goals of USAID Forward and the Journey to Self-Reliance. A wide variety of modalities or approaches had been generated owing to the wide variety of themes and CSOs supported by the Fund.

One important organizational trait which made CSOs effective in addressing local development challenges was the flexibility of their operational systems. Unlike corporate and government entities with rigid structures and processes that made them less agile as change agents, CSOs have operated under a more flexible system governed more by a culture of trust rather than by a set of rigid controls.

Determining how to develop mechanisms and approaches to support locally led developments that would strike a balance between flexibility and control had been seen as a challenge for the local works community. This part was crucial especially when engaging with CSOs which placed a premium for flexibility and organizational operation based on a culture of trust.

An important lesson from the Phil-Am Fund was the realization that the mechanism or approach of engagement with CSOs might have to be tailored depending on the capacity and level of maturity of the organization. This implied that instead of one standard mechanism or approach, a basket of options could be developed from which a specific mechanism could be drawn depending on the characteristics of the organization.

The Phil-Am Fund experience appeared to suggest that mechanisms and approaches to support locally-led development and adaptive management could view sustainability as the primary and most important metric of organizational capacity. Sustainability referred to the ability of CSO partner to sustain its operation.

This lesson surfaced when a number of CSO partners of Phil-Am Fund were found to be struggling at present to keep their organizations afloat with the termination of the Phil-Am Fund. A closer examination of these organizations revealed that they were drawing their strength from a single personality (i.e. the head of the organization) who had the social capital needed to access funding and the skills to package good project proposals. These personality-based organizations might have high capacity at a given time but could fail when the person driving the organization was gone. It was learned from the experience of Phil-Am Fund that sustainability could be secured once the CSO has matured to a level where strength was drawn from its organizational reputation and the image or branding of the organization was seen as quite independent of the one heading it.

I. INTRODUCTION

The study evaluated the performance of the United States Agency for International Development (USAID) activity Philippine-American (Phil-Am) Fund, an initiative implemented by the Gerry Roxas Foundation (GRF) in various areas of the Philippines through a local competitive process. The Phil-Am Fund was a USD24-million USAID funding facility, however, only USD16.5 million of the budget has been disbursed. The fund covered the USAID grant-making activities in the areas of governance, economic growth, counter-trafficking in persons, education and biodiversity from August 5, 2013 to December 31, 2018. As specifically prescribed in the statement of work (SOW), the evaluation focused primarily on exploring the contribution of the Phil-Am Fund in meeting the USAID Forward objective of promoting sustainable development through high-impact partnerships and local solutions (see *Annex 1*). The evaluation aimed to answer the following research queries:

- What positive and negative major changes in organizational capacity and performance of the grantees emerged as a result of the Phil-Am interventions?
- Which key interventions of the Phil-Am Fund influenced specific changes in organizational capacity and performance of the grantees, as well as the realization of their specific project objectives?
- **What were the major enabling or hindering factors that contributed to the improvement of the grantee's organizational capacity and performance and the realization of their specific project objectives?**
- Have the grantees achieved their specific project objectives (outputs and outcomes) as originally envisaged and targeted?
- What key outputs and emerging outcomes of the Phil-Am activity contributed to the USAID Forward goals of promoting sustainable development through high-impact partnerships and local solutions?

Overview of the Phil-Am Fund

One important mechanism of the Phil-Am Fund was that the grant-making activity was administered by a local organization on behalf of the USAID. This factor was an important step along with the goals of USAID Forward and the Journey to Self-Reliance. As the grant administrator and primary grantee, GRF managed the call for proposals, review, approval and monitoring and evaluation of various projects. More importantly, the provision of the grant was coupled with capacity building of the sub-grantees—mainly the civil society organizations (CSOs) that could gain access to the grant facility. GRF teamed up with SyCip Gorres Velayo & Co. (SGV & Co.), one of the leading consulting firms in the Philippines, for the capacity building component of the Phil-Am Fund.

The training and mentoring activities carried out by the GRF and SGV in the course of project implementation were targeted to enable the CSOs in accomplishing their corrective action plans (CAP) based on the findings of the Non-U.S. Organization Pre-award Survey (NUPAS) and the variances in accomplishments identified during project monitoring and evaluation (M&E). GRF and SGV conducted orientation workshops and coached the CSOs during field visits on how to address the identified gaps.

The GRF staff conducted frequent field visits of on-going projects to examine the accomplishments of the CSOs against the agreed deliverables and to formulate CAP with the CSOs to address variances. The use of an online accounting/auditing system called AuditPal enabled the GRF to track all financial transactions in real-time.

Projects Supported by the Phil-Am Fund

The Phil-Am Fund provided a total of 37 grants implemented by 37 CSOs covering five thematic development areas. These grants consisted of 16 projects promoting biodiversity conservation, seven in enterprise development, six in anti-trafficking in persons, five in governance and four in education (see *Table 1*).

Table 1. Number of Sub-grants of the Phil-Am Fund Activity, by Thematic Area and Major Island Group

Thematic area	Luzon	Visayas	Mindanao	Total
Anti-trafficking	1	3	2	6
Biodiversity	8	4	4	16
Economic Growth	2	1	4	7
Education	2	0	2	4
Governance	4	1	-	5
Total	17	9	12	38

There were 16 biodiversity-themed projects funded under the Phil-Am Fund activity: eight in Luzon and four each in Visayas and Mindanao. However, one project in Visayas handled by Filamer Christian University (FCU) was pre-terminated as a result of failure to address corrective actions in the NUPAS. The remaining 15 projects had a total grant of approximately PHP200 million. The various projects were designed to address issues in the terrestrial and aquatic ecosystems, particularly marine. These issues pertained to biodiversity conservation, natural resources management, habitat restoration and protection.

The economic growth grants targeted the development of various enterprises and feasible business start-ups for the sustainable generation of jobs in the community. Seven projects were funded under this category: one in Luzon, two in Visayas and four in Mindanao. The total cost of the project amounted to more than PHP300 million.

The governance grants intended to strengthen the work of CSOs in promoting public sector accountability and transparency. By mobilizing the private sector and public support, the CSOs could help install political reforms in the community. The fund also encouraged more responsible business behavior to promote corporate integrity.

The accomplishments of the five sub-grants ranged from the establishment of chapters and improvement of practices through training and local government units (LGUs) practicing participatory planning and budgeting covering 31 municipalities. The total grant amounted to nearly PHP70 million.

The anti-trafficking in persons grant aimed to improve the capacity of the Philippines to combat trafficking in person. It **supported activities across the three pillars of USAID's counter-trafficking strategies** which included (a) prosecution, (b) prevention and (c) victim protection. Collectively, the six sub-grants increased the awareness of 66,054 people through mass media campaigns while 912 received services. The total grant amounted to PHP56 million.

Lastly, the education grants financed innovative, cost-effective and technology-based solutions that provided quality education to early grade learners in remote areas. The funding also supported initiatives to improve adult literacy. A more detailed discussion on the Phil-Am Fund activity could be found in *Annex 3*.

II. EVALUATION APPROACH AND METHODOLOGY

As evident from the research queries, organizational capacity and performance were the focus of the evaluation. The former referred to the capacity of the organization to sustainably operate effectively and efficiently, while the latter pertained to how such capacity translated to the execution of certain tasks/deliverables. Organizational capacity and performance were viewed through the lens of organizational development (OD). Also, the organizational performance was gauged more empirically by examining the extent to which the CSOs or sub-grantees successfully implemented the project funded by the Phil-Am Fund.

The Non-U.S. Organization Pre-award Survey (NUPAS) was the primary tool used in examining the effect of the Phil-Am Fund on the organizational capacity and performance of the CSOs. The tool was found ideal considering that GRF and SGV conducted the baseline organizational capacity assessment using the NUPAS, which could serve as a reference for the current assessment. The baseline assessment was used by GRF as the basis for specific interventions designed to improve organizational capacity. Hence, to determine the effect of the Phil-Am Fund on the organizational capacity and performance of the CSOs, the assessment identified/tracked these recommendations/interventions and directly examined the CSOs for the results of such. The investigation consisted of determining/validating objectively verifiable changes in organizational capacity and performance resulting from the recommendations/interventions of the GRF.

A complete enumeration of the 38 CSOs was done for the assessment of organizational capacity and performance using the NUPAS. Eleven of which were randomly and proportionately selected by theme and major island groups (i.e. Luzon, Visayas and Mindanao) for the facilitated NUPAS assessment while the remaining 27 were assessed through mailed NUPAS questionnaires. Facilitated NUPAS assessment entailed actual visits of the members of the evaluation team to the CSOs to personally administer the NUPAS questionnaire, carry out key informant interviews and determine specific changes in organizational capacity and performance through an objectively verifiable pieces of evidence.

The performance evaluation of the 11 randomly selected CSOs also covered the Phil-Am-funded projects that these CSOs had implemented. Such project-level evaluation examined the extent by which the project objectives had been achieved and to determine whether the outputs and foundational outcomes, which could eventually lead to impact, had already been put in place. Project performance evaluation entailed the review and validation of the theory of change of the project followed by the mapping of inputs, process, outputs and intermediate outcomes. The evaluation used both secondary and primary data. Secondary data were obtained from project reports and other relevant documents. Primary data gathering employed a triangulation approach, which involved survey, focus group discussion (FGD) and key informant interview (KII). The eleven randomly selected CSOs and the number of respondents in the survey, KIIs and FGDs were indicated in *Table 2*. See *Annex 2* for the presentation of the evaluation design.

Table 2. Data Gathering for the 11 Selected CSOs (The data gathering instruments were presented in *Annex 4*)

CSO	Number of Respondents				NUPAS Validation
	Survey	KII	FGD	Total	
Haribon Foundation, Inc. (Haribon)	39	1	11	51	Done
Tamaraw Salt Producers Cooperative (TAMACO)	32	2	14	46	Done
Institute of Social Order (ISO)	35	7	20	62	Done
Antique Federation of NGOs (AFON)	30	16	17	63	Done
Children's Legal Bureau (CLB)	35	26	10	71	Done
Philippine Biodiversity Conservation Foundation (PBCFI)	35	5	23	63	Done
Philippine Agrarian Reform Foundation for National Development (PARFUND)	30	8	11	49	Done
Philippine Eagle Foundation (PEF)	35	15	19	69	Done
Foundation for Information Technology Education and Development (FIT-ED)	40	3	n/a	43	Done
Naga City People's Council (NCPC)	30	1	15	46	Done
Resources for the Blind, Inc. (RBI)	35	3	13	51	Done
Total	376	87	153	614	

III. RESULTS

A. Changes in Organizational Capacity and Performance of CSOs

The organizational capacity enhancement under the Phil-Am fund was largely hinged on the results of the NUPAS. The survey covered six areas: legal structure; financial management and reporting systems; procurement systems; human resources systems; project performance management; and organizational sustainability. The NUPAS was used by the Phil-Am Fund to determine the mode of grant released to the CSOs—which could either be on a fixed price mode (i.e. output-based), cash advance or reimbursement modes. The fixed price and cash advance modes were used for those who passed the NUPAS while those who failed were placed under the reimbursement mode. The CSOs who failed the initial NUPAS were upgraded to the cash advance mode when they passed the mid-term NUPAS. It was worth emphasizing that the NUPAS had never been used as a basis for project approval or disapproval. The decision to approve or disapprove a project was based on its merit to address a given development challenge.

Aside from being used as a basis for the mode of fund release, the other and probably the more important use of the NUPAS was as a basis for well-targeted interventions, especially on organizational capacity. The NUPAS served as a benchmark of good organizational practices and the results of evaluation using this tool were used as a basis in identifying specific interventions or corrective actions that had to be made in any of the six areas of organizational capacity.

The baseline organizational capacity of the CSOs could be gleaned from the results of the initial NUPAS assessment. Under the biodiversity theme, half of the CSOs were assessed to have weak organizational capacity. These were the C3PH, C3MC, NATRIPAL, SWCFI, PBCFI, SPIADFI, FCU and TLDFI. Four of these, however, showed improvement in the NUPAS scores during the mid-term reassessment. The C3MC which initially had 1.87 initial NUPAS score improved to 2.53 during the reassessment. Similarly, NATRIPAL achieved some improvement from 2.04 to 2.25; SWCFI from 2.27 to 2.71; and SPIADFI from 2.13 to 2.38 (Table 3).

Table 3. NUPAS Scores of CSOs

Sub-Grantee CSO	NUPAS Score	NUPAS Reassessment Score	Adjectival Rating
BIODIVERSITY			
1. Mabuwaya Foundation, Inc. (MFI)	2.6		Adequate
2. Haribon Foundation, Inc. (HFI)	2.65		Adequate
3. Community Centered Conservation Phils., Inc. (C3PH)	2.16		Weak
4. Candis Marketing Cooperative (C3MC)	1.87	2.53	Weak
5. Institute of Social Order (ISO)	2.56		Adequate
6. NagkakaisangTribu ng Palawan, Inc. (NATRIPAL)	2.04	2.25	Weak
7. PATH Foundation Phils, Inc. (PATH)	2.62		Adequate
8. Tanggol Kalikasan, Inc. (TKI)	2.75		Weak
9. Soil and Water Conservation Foundation, Inc. (SWCFI)	2.27	2.71	Weak
10. Phil. Biodiversity Conservation, Inc. (PBCFI)	2.17		
11. South Pacific Integrated Area Development Foundation, Inc. (SPIADFI)	2.13	2.38	Weak
12. Filamer Christian University (FCU)	2.34		Weak
13. Philippine Eagle Foundation (PEF)	2.64		Adequate
14. Surigao Economic Development and Microfinance Foundation, Inc. (SEDMFI)	2.56		Adequate
15. Tribal Leaders' Development Foundation, Inc. (TLDFI)	2.49		Weak
16. Maguindanaon Development Foundation, Inc. (MDFI)	2.55		Adequate
GOVERNANCE			
17. Institute of Corporate Directors (ICD)	3.03	n/a	Adequate
18. Jaime V. Ongpin Foundation, Inc. (JVOFI)	2.80	n/a	Adequate
19. Naga City People's Council (NCPC)	2.39	With reassessment; no score indicated	Weak
20. Young Public Servants (YPS)	1.75	With reassessment; no score indicated	Weak
21. Antique Federation of NGOs (AFON)	2.91	n/a	Adequate
ECONOMIC GROWTH			
22. Roxas Foundation, Inc. (RFI)	2.52	n/a	Below adequate
23. Tamaraw Salt Producers Cooperative (TAMACO)	1.82	With reassessment; no score indicated	Weak
24. Philippine Agrarian Reform Foundation for National Development (PARFUND)	1.93	With reassessment; no score indicated	Weak

Sub-Grantee CSO	NUPAS Score	NUPAS Reassessment Score	Adjectival Rating
25. PinoyME Foundation Inc.	2.54	n/a	Below Adequate
26. Tuason Development Foundation, Inc. (TDFI)	1.83	With reassessment; no score indicated	Weak
27. Pagtambayayong Foundation, Inc. (PFI)	1.93	n/a	Weak
28. Cagayan de Oro Chamber of Commerce and Industry Foundation (ORO CHAMBER)	2.41	n/a	Below Adequate
ANTI-TRAFFICKING IN PERSONS			
29. People's Recovery and Development Assistance Foundation (PREDA)	2.43	With reassessment; no score indicated	Weak
30. Children's Legal Bureau (CLB)	2.16	2.69	Adequate
31. Fellowship for Organizing Endeavors (FORGE)	2.58		Adequate
32. Bidlisiw Foundation	2.26	2.92	Adequate
33. Tambayan Center for Children's Rights, Inc.	2.62		Adequate
34. Balay Alternative Legal Advocates for Development in Mindanao, Inc. (BALAOD)	2.08	2.57	Adequate
EDUCATION			
35. Resources for the Blind (RBI)	2.57		Adequate
36. Foundation for Information Technology Education and Development (FIT-ED)	2.62		Adequate
37. Integrated Mindanaons Association for the Natives (IMAN)	2.36		Adequate
38. Conrado & Ladislawa Alcantara Foundation, Inc. (CLAFI)	2.65		Adequate

Source: GRF Reports

Rating of scores: 1.0 – 1.5 Inadequate; 1.51 – 2.5 Weak; 2.51-3.5 Adequate; 3.51 – 4.0 Strong

Under the governance theme, two of the five CSOs, namely NCPC and YPS, were found to be of weak organizational capacity based on the initial NUPAS assessment. These were subjected to a mid-term reassessment, but the scores were not indicated in the reports. Under the economic theme, all of the seven CSOs were found to be of weak organizational capacity. Under the anti-trafficking in persons theme, four out of six CSOs were initially assessed through the NUPAS as having a weak organizational capacity. Interestingly though, all the CSOs have achieved considerable improvement in the course of the project since they were all considered of adequate organizational capacity during the NUPAS reassessment.

The initial NUPAS assessment that was carried out by GRF and SGV identified the specific gaps by CSOs and NUPAS domain. The initial assessment also indicated the specific measures needed to address the gaps. The evaluation team determined the measures based on objective sets of evidence—whether or not the measures had been adopted by the CSOs and how such measures affected the organizational capacity and performance of the said CSOs. Each specific gap was listed as well as the number of CSOs with findings and the number of CSOs which implemented the corrective measures. The results ratio¹ was then calculated.

Results of evaluation showed considerable improvement in the organizational capacity of CSOs regardless of the thematic development area (Table 4). The changes in organizational capacity invariably resulted from the NUPAS assessment since CSOs were required to address findings in the NUPAS. Financial management and internal control systems were among the areas where noted improvements were most reported. Common to all CSOs were practices on bank reconciliation and variance analysis. The use of AuditPal accounting software was often cited.

On the legal structure, the revision of the articles of incorporation and the CSO by-laws, compliance to reportorial requirements of SEC, BIR and Cooperative Development Authority (CDA) was noted. The formulation, review, finalization and approval of the code of ethics, as well as the communication and cascading of information to the

¹The ratio between the number of CSOs which adopted the corrective measures and the number of CSOs with findings.

staff were the most noted improvement. Updating of the organizational chart and the authorization matrix was also reported.

The improvement in human resources was reported in the areas of formulating, revising and updating of salary structures, policies on travel and food allowances, performance evaluation and policy on recruitment, personnel selection and promotion. Systematizing the procurement processes to include the use of procurement forms, approval process and matrices was also reported.

Although only for a few areas, many CSOs noted improvements in performance management and organizational sustainability. For performance management, these were mostly documentation of the existing systems and practices in their manuals of operations. On organizational sustainability, these were measures on the use of and analysis of financial documents and reports to aid decision-making by management. Results from the facilitated assessment were corroborated by the results from the mailed survey of 22 CSOs (*Table 5*).

Table 4. Changes in Organizational Capacity and Performance of the 11 CSOs

NUPAS Domain	Key Findings	No. of CSOs with Findings	No. of CSOs which Adopted the Key Interventions	Key Intervention	Change in Organizational Capacity	Change in Organizational Performance	Result Ratio*
Legal Structure	Mayor's permit, barangay clearance and sanitary permit must be secured annually	4	4	Guidance in organizing registration requirements	Enhanced record management, improved ability in monitoring and compliance to regulatory processes	Achieved transparency through proper documentation	1
					Easy access and monitoring of documents for inspection	Improvement in management and administration	1
					Legal identity was solidly established, including identification of specific address	Effectiveness in meeting government and donor standards	1
	Code of Discipline and Code of Ethics should be required for all its employees and filed in their 201 files	3	2	Code of ethics	Strengthen understanding of office rules and policies by all concerned	Clear accountability or roles and functions lead to more efficient job performance	0.67
	Organizational structure should reflect the oversight roles of different committees. The present organizational structure is not detailed.	7	7	Updated and approved organizational chart	Improved awareness of roles, responsibilities and accountability among staff	Streamlined human resource requirements; clearer roles and responsibility structures; better relationship among departments	1
		2	2	Updates on by-laws and articles of incorporation specifically to include strategic planning	Improved capacity to formulate strategic plans	More strategic operation	1

NUPAS Domain	Key Findings	No. of CSOs with Findings	No. of CSOs which Adopted the Key Interventions	Key Intervention	Change in Organizational Capacity	Change in Organizational Performance	Result Ratio*
Financial Management and Internal Control System		10	10	AuditPal Online System	More effective financial monitoring	More efficient financial management system	1
	There should be a resolution for the approval of the financial management policies and procedures	11	11		Improved financial transaction processes	More transparent and efficient system	1
		3	3	Formulation/revision/updating of accounting manual	Better guided financial management operation	More accurate financial reports	1
		2	2			Improved budget utilization	1
	<ul style="list-style-type: none"> • Finance Officer (FO) should prepare the bank reconciliation statement while the Program Director will provide review and approval; • Enhance the proposed Chart of Accounts; • Should develop and finalize policies and procedures on variance analysis and annual budgeting 	4	4	Adoption of standard practices: <ul style="list-style-type: none"> • Variance analysis; • Bank reconciliation 	Improved financial monitoring	More accurate financial reports	1
	Books of accounts for	1	1	Maintenance of separate	Improved financial	More efficient	1

NUPAS Domain	Key Findings	No. of CSOs with Findings	No. of CSOs which Adopted the Key Interventions	Key Intervention	Change in Organizational Capacity	Change in Organizational Performance	Result Ratio*
	different projects/fund sources were one and the same			accounts	management	operations	
	Proposed allowable and unallowable cost policies should be finalized	4	4	Constant monitoring of NUPAS recommendation compliance	On allowable costs, cash disbursements and petty cash—improved financial management and internal controls	More efficient operations	1
	There was double function for one financial staff	3	3		On approval/authorization matrix—clear delineation of authority to avoid conflict of interest	Legality of documents, unbiased reports for more transparent organization	1
		1	1		On use of templates/forms	Meets transparency standards	1
		1	1		On maintenance of transfer and share book—ability to provide information to members regarding capital share accounts	Compliance with CDA requirements	1
Procurement System	<ul style="list-style-type: none"> No formal requisition form and purchase order (At least three quotations must be obtained from different suppliers)	11	11	Development of operations manual and constant monitoring of NUPAS recommendation compliance	Systematized and institutionalized procurement systems and procedures	More transparent and facilitative project implementation	1

NUPAS Domain	Key Findings	No. of CSOs with Findings	No. of CSOs which Adopted the Key Interventions	Key Intervention	Change in Organizational Capacity	Change in Organizational Performance	Result Ratio*
		3	3		Policies and procedures on community procurement and sole sourcing led to transparency of transaction and minimized pilferage	Procurement of supplies and equipment for community projects were facilitated; delays were avoided	1
		3	3		Canvassing	Maximized use of resources	1
	• Previous manual had insufficient details and processes	1	1		Compliance with best practices and facilitated cost-effective operations	Improved sustainability	1
		1	1		Approval matrix in procurement	More efficient and transparent operations	1
Human Resources		4	4	Development and updating of the HR Manual to cover the following areas: <ul style="list-style-type: none"> • Evaluation systems • Policy on travel and travel allowances • Timely remittance of contribution to regulatory bodies • Timekeeping • Cost allocation and payroll system 	Clearer policy on travel and travel allowances	Better monitoring of project	1
		1	1		Timely remittance of contribution to	Boosted employee morale	1

NUPAS Domain	Key Findings	No. of CSOs with Findings	No. of CSOs which Adopted the Key Interventions	Key Intervention	Change in Organizational Capacity	Change in Organizational Performance	Result Ratio*
					regulatory bodies (PhilHealth, BIR, SSS, etc.)		
	<ul style="list-style-type: none"> There were no controls in the timekeeping of each staff DTR was not yet utilized 	6	6		Better timekeeping	More effective HR governance systems; improved employee efficiency	1
	<ul style="list-style-type: none"> Details of policies and procedures on payroll, including salary scale was not furnished 	5	5		More appropriate cost allocation, payroll system	Improved efficiency of employee; improved employee-employer relations	1
	<ul style="list-style-type: none"> Had formulated policies and procedures on performance appraisal but measures were not being practiced 	5	5	Development and updating of the HR Manual	Better personnel evaluation system	More effective operation and project implementation	1
Performance Management	Project management personnel was recommended to have skills enhancement	4	4	Training on M&E, theory of change and results-based management	Improved knowledge and skills on project management and implementation	Better management and implementation of projects	1
		3	3			M&E system's role was more emphasized in the organization	1
		1	1	Provision of template and guidance for program performance management	Improvements in organization's strategic plan, work plan, change management	Sustained work with partners and clients	1

NUPAS Domain	Key Findings	No. of CSOs with Findings	No. of CSOs which Adopted the Key Interventions	Key Intervention	Change in Organizational Capacity	Change in Organizational Performance	Result Ratio*
					(especially when resources were limited) and resource generation for sustaining services; Streamlining of services; Improved accountability;		
		1	1	Manualization of process	Used in performance and capacity evaluation	Provided guidance in direction setting	1
Organizational Sustainability	FO was not producing cash flow forecasts and as well as monthly cash position reports	2	2	Use of sustainability metrics, e.g., burn rate and other financial ratios	Improved planning skills especially on development and implementation of sustainability plans	Development of sustainability plans with better basis	1
		1	1		Increased capacity to participate and handle contracts with partners	Able to financially assist beneficiaries better	1

Table 5. Changes in Organizational Capacity and Performance of the 22 CSOs

NUPAS Domain	Key Intervention	Change in Organizational Capacity	Change in Organizational Performance	CSO	Percent Reporting (n=22)
Legal structure	Guidance in organizing registration requirements	Enhanced record management, improved ability in monitoring and compliance to regulatory processes	Achieved transparency through proper documentation	YPS, TDFI, PinoyME, Oro Chamber	18
		Easy access and monitoring of	Improvement in management	YPS, Oro Chamber, PinoyME,	23

NUPAS Domain	Key Intervention	Change in Organizational Capacity	Change in Organizational Performance	CSO	Percent Reporting (n=22)
		documents for inspection	and administration	Oro Chamber, CLAFI	
		Legal identity was solidly established, including identification of specific address	Effectiveness in meeting government and donor standards	CLAFI	5
	Code of ethics	Strengthened understanding of office rules and policies by all concerned	Clear accountability or roles and functions led to more efficient job performance	YPS, TDFI, Oro Chamber, PinoyME, CLAFI, IMAN	27
	Updated and approved organizational chart	Improved awareness of roles and responsibilities and accountability among staff	Streamlined human resource requirements; clearer roles and responsibility structures; better relationship among departments	YPS, JVOFI, ICD, TDFI, Oro Chamber	23
	Updates on by-laws and articles of incorporation specifically to include strategic planning	Improved capacity to formulate strategic plans	More strategic operation	YPS, TDFI, Oro Chamber, PinoyME	18
	Guidance in reviewing of contracts and MOA	More equipped in the preparation and review of agreements	Effectiveness in engaging third party agreements	YPS	5
Financial Management and Internal Control System	AuditPal Online System	More effective financial monitoring	More efficient financial management system	PREDa, CLB FORGE, Tambayan, Bidlisiw, TDFI, YPS, CLAFI, C3MC, MDFI	45
		Improved financial transaction processes	More transparent and efficient system	FORGE, Tambayan, CLAFI	14
	Formulation/ revision/ updating of accounting manual	Better guided financial management operation	More accurate financial reports	FORGE, Tambayan, PinoyME, Oro Chamber, JVOFI, YPS, TDFI, CLAFI	36
	Adoption of standard practices: <ul style="list-style-type: none"> variance analysis bank reconciliation 	Improved financial monitoring	More accurate financial reports	JVOFI, YPS, TDFI, PinoyME, Oro Chamber, CLAFI, IMAN, MDFI, ICD	41

NUPAS Domain	Key Intervention	Change in Organizational Capacity	Change in Organizational Performance	CSO	Percent Reporting (n=22)
	Maintenance of separate accounts	Improved financial management	More efficient operations	YPS, TDFI	9
	Constant monitoring of NUPAS recommendation compliance	On allowable costs, cash disbursements and petty cash— improved financial management and internal controls	More efficient operations	YPS, ICD, TDFI, PinoyME, Oro Chamber, CLAFI	27
		On approval/authorization matrix— clear delineation of authority to avoid conflict of interest	Legality of documents, unbiased reports for more transparent organization	TDFI, PinoyME, Oro Chamber, CLAFI, IMAN	23
		On safekeeping of records		TDFI, Oro Chamber	9
		On use of templates/forms	Meets transparency standards	TDFI	5
	Regular training for finance staff	Improved competences of staff	Application of acquired knowledge and skills	Oro Chamber	5
Procurement System	Development of operations manual and constant monitoring of NUPAS recommendation compliance	Systematized and institutionalized procurement systems and procedures	More transparent and facilitative project implementation	JVOFI, YPS, ICD, PREDA, CLB, FORGE, Tambayan, Bidlisiw, Oro Chamber, MDFI, TLDFI	50
		Policies and procedures on community procurement and sole sourcing led to transparency of transaction and minimize pilferage	Procurement of supplies and equipment for community projects were facilitated; delays were avoided	PREDA, CLB, FORGE, Tambayan, Bidlisiw, CLAFI, IMAN	32
		Canvassing	Maximized use of resources	Oro Chamber	5
		Compliance with best practices and facilitate cost-effective operations	Improved sustainability	JVOFI, YPS, ICD	14
		Approval matrix in procurement	More efficient and transparent operations	PREDA, CLB FORGE, Tamabayan, Bidlisiw, Oro Chamber	27

NUPAS Domain	Key Intervention	Change in Organizational Capacity	Change in Organizational Performance	CSO	Percent Reporting (n=22)
Human Resources	Development and updating of the HR Manual to cover the following areas: <ul style="list-style-type: none"> Evaluation systems; Policy on travel and travel allowances; Timely remittance of contribution to regulatory bodies; Timekeeping; Cost allocation and payroll system 	Better personnel evaluation system	More effective operation and project implementation	CLB, FORGE, Tambayan, PREDA, MDFI, TKI, JVOFI, YPS, ICD	41
		Guidance in HR policies including organizational structure and management of 201 files	Office tasks relatively done faster	JVOFI, YPS, ICD, Bidlisiw, Tambayan, CLAFI, IMAN, Oro Chamber	36
	Development and updating of the HR Manual	Clearer policy on travel and travel allowances	Better monitoring of project	Bidlisiw, Tambayan	9
		Better timekeeping	More effective HR governance systems, improved employee efficiency	PREDA, CLB FORGE, Tamabayan, Bidlisiw, PinoyME, Oro Chamber	32
		More appropriate cost allocation, payroll system	Improved efficiency of employee; improved employee-employer relations	JVOFI, YPS, ICD, PinoyME, Oro Chamber	23
Performance Management	Training on M&E, theory of change and results-based management	Improved knowledge and skills on project management and implementation	Better management and implementation of projects	MDFI	5
			M&E system's role was more emphasized in the organization	YPS, FORGE, Tambayan, CLB, MDFI	23
	Provision of template and guidance for program performance management	Improvements in organization's strategic plan, work plan, change management (especially when resources were limited), resource generation for sustaining services;	Sustained work with partners and clients	TDFI	4

NUPAS Domain	Key Intervention	Change in Organizational Capacity	Change in Organizational Performance	CSO	Percent Reporting (n=22)
		Streamlining of services; Improved accountability			
	Manualization of process	Used in performance and capacity evaluation	Provided guidance in direction setting	JVOFI, CLAFI, IMAN, TDFI	18
Organizational Sustainability	Use of sustainability metrics, e.g., burn rate and other financial ratios	Improved planning skills, especially on development and implementation of sustainability plans	Development of sustainability plans with better basis	JVOFI, YPS, ICD	14
		Increased capacity to participate and handle contracts with partners	Able to financially assist beneficiaries better	SWCFI	5

B. Key Interventions of the Phil-Am Fund which Effected Organizational Capacity and Performance

While the NUPAS was intended as a tool to determine the mode of the award to the CSOs, it also became instrumental in determining recommendations for capacity enhancement that were constantly followed up by GRF. Some of the recommendations were followed through with specific interventions. These included the provision of AuditPal software, assistance in developing the operations and financial manuals, various sets of training and seminars on administrative and financial matters as well as on the technical aspects.

Most of the CSOs—particularly those which were subjected to KIIs—believed that the conduct of the NUPAS itself made them realize their shortcomings as a CSO, especially concerning legal and statutory concerns and other administrative matters. For instance, PBCFI was unaware that its status as a foundation was revoked as a result of the non-submission of the report, resulting from a miscommunication between the CSO and its consultant.

In general, the major changes in organizational capacity as a result of the Phil-Am Fund interventions in relation to the implementation of the NUPAS recommendations included (1) the crafting, formulation and revisions of the operations and financial manuals of the CSOs; (2) compliance to statutory regulations particularly relating to SEC and BIR requirements; (3) clarification of the CSO by-laws, rules and regulations; (4) the use of AuditPal in accounting; and (5) improvements of the capacity along with the project cycle. These changes boosted the confidence of the CSOs as they raised the level of their operations to be at par with the more established and larger organizations. Industry standards and practices coupled with compliance to statutory regulations on human resources management, accounting and finance, procurement processes were followed. The CSOs indicated that all these changes resulted in more transparent transactions that led to a more efficient organization.

Observations about changes in organizational capacity came with some caveats. First, it must be noted that sustained changes in organizational capacity could only be realized over some time beyond the length of engagement with the Phil-Am Fund activity. The CSOs could not all be expected to become fully transformed into their desired organizational capacity level, on account of completing one intervention cycle. RBI, for example, might have complied with most of the NUPAS-based recommendations but might still be a work in **progress in terms of institutionalizing newly adopted processes. Secondly, the nature of CSOs' identity and organizational culture provided a challenge in the efforts to align organizational capacity standards implied by the NUPAS. Being more cause-oriented rather than profit-centered and working within a societal setting, CSOs tended to find the assessment of their capability to implement the Phil-Am Fund projects, given the six areas of concern covered by SGV, as for the most part "traumatic". However, finding their capability as "weak" and later "adequate", GRF was there to guide them as they went through the process of addressing the SGV recommendations. GRF made them aware of the necessity of amending their articles of incorporation and by-laws, provided them samples and templates of approval report matrix, minutes of BoD meetings, variance analysis and purchase orders for procurement. GRF provided them technical assistance in updating their financial and operations manual, updating of necessary permits, vision statements, code of ethics and conduct, bank reconciliation and selection of external auditors. More importantly, GRF was able to improve its accounting and financial reporting through the AuditPal and improved the capability of their finance officers and staff. Through GRF's constant reminder on the importance of organizational sustainability, the sub-grantees had thought of incorporating such in their planning process.**

The Phil-Am Fund was also instrumental in effecting changes in organizational performance, particularly in terms of relevance, effectiveness, efficiency and sustainability. On relevance, all the projects funded under the Phil-Am Fund were intended to address important development needs in each thematic area. The projects were proposed by the CSOs themselves thus, they were appreciative of the support provided to them. Based from the KII, the CSOs reported that projects supported by the Phil- Am Fund enabled them to be a more relevant actor in development works, thereby improving their relationship with various stakeholders and even improving their reputation as CSOs (see Table 6).

Table 6. Changes in Organizational Capacity Leading to Relevance, Effectiveness, Efficiency and Sustainability

Key Intervention	Change in Organizational Capacity/Performance	Objectives (Relevance, Efficiency, Effectiveness, and Sustainability)
NUPAS Application: <ul style="list-style-type: none"> • Actual conduct • Development of CAP • Training/mentoring/ coaching • Monitoring 	Improved legal structure <ul style="list-style-type: none"> • Compliance to regulatory requirements • Strengthened understanding of office rules and regulations • Improved capacity to formulate strategic plan 	Improved effectiveness and sustainability
	Improved financial management <ul style="list-style-type: none"> • Effective financial monitoring • Meets transparency standards • Improved budget utilization 	Improved efficiency
	Improved procurement system <ul style="list-style-type: none"> • Improved transparency • Maximized use of resources • Minimized pilferage 	Improved efficiency
	- Improved HR: Better project monitoring	Improved efficiency
	Improved organizational performance management: <ul style="list-style-type: none"> • Better knowledge/skills on project management and implementation • Improved strategic planning • Improved accountability 	Improved relevance and sustainability
	Improved organizational sustainability: <ul style="list-style-type: none"> • Improved planning skills especially on the development of sustainability plan • Sustainability plan with better basis 	Improved sustainability

There were pieces of evidence suggesting that the Phil-Am Fund interventions led to the more effective and efficient performance of CSOs. For instance, the PEF reported that the improvement in database management, use of log frames and monitoring forms, harmonization of plans and policies, manualization of processes, use of AuditPal and overall improvement in coordination skills had been achieved as a result of the Phil-Am Fund interventions, which enabled them to get funding from international donors using their experience from the Phil-Am Fund as a leverage. On the other hand, the RBI reported improvements in strategic planning and change management—evidenced by the practice of more detailed project conceptualization and planning—that resulted to successful delivery of their target outputs. Moreover, RBI’s adoption of financial and administrative processes and forms as a result of its engagement with GRF and AuditPal improved its accountability mechanisms. Moreover, the improvement placed RBI on track (though still very much a work in progress) toward a systematic financial and internal control system that ensured efficient use of resources. Regardless of the themes, CSOs placed a high appreciation on stories of project beneficiaries because these narratives provided shreds of evidence that the projects were felt by various stakeholders on the ground, as well as on the extent by which the project objectives had been attained. On efficiency, the NUPAS experience was seen as the most important aspect that provided realization on the importance to have a strong administrative and financial system for sustainability. These strengthened systems and processes enabled the CSOs to deliver outputs more efficiently.

A more detailed discussion on the key interventions and the changes in organizational capacity and performance by thematic area could be found in Annex 5.

C. Major Enabling or Hindering Factors to Improving the Grantee’s Organizational Capacity and Performance and Realization of Specific Project Objectives

The study found direct and indirect factors which either enabled or hindered the improvement of the grantee’s organizational capacity and performance and realization of specific project objectives. Factors that had a more direct effect included those relating to the interventions of the Phil-Am Fund. Foremost of the enabling factors

were the training sessions and coaching activities carried out by GRF and SGV which directly targeted the needs of sub-grantees in implementing their projects. Such needs were identified during the due-diligence checks, pre-award surveys and project implementation orientations.

The capacity development plan of the Phil-Am Fund was customized to address the specific capacity-building needs of grantees in project management and implementation. The implementation of cross-cutting training or empowerment activities was found difficult due to the varying schedules and needs of grantees. The one-on-one session with grantees to address specific NUPAS findings and provide technical assistance in areas such as M&E, writing stories of interest, taking good project photos and grant close-out proved to be more effective.

There were also factors external to the CSOs and even to the Phil-Am Fund which affected, albeit indirectly the sub-grantee's capacity, performance and achievement of project objectives. The study found that cultural, political, economic and technological environment figured prominently among these factors (see Table 7).

Table 7. **Enabling Factors to Improving CSOs' Organizational Capacity and Performance**

Enabling Factors	Validated Results	CSOs
INTERNAL		
• Training activities	Facilitated capacity activities for CSOs	All CSOs
• Needs Assessment	Well-targeted capacity needs	All CSOs
• Training/ Mentoring/ Coaching	Effective implementation of capacity activities	All CSOs
• Financial	Multiple sources of funds to allow for flexibility and ensure survival.	PEF, ISO
• Organizational	<ul style="list-style-type: none"> • Successful branding • High level of maturity 	PEF, PBCFI, RBI, ISO, Haribon
	Effective management of personnel	Children's Legal Bureau (CLB)
• Technology	Adoption of AuditPal	All CSOs
EXTERNAL		
• Cultural	Considering indigenous knowledge systems and practices	PEF
• Political	<ul style="list-style-type: none"> • LGUs providing honorarium, training, development plans and support to CSO activities • Tax Exemption 	PEF, PBCFI, TAMACO
• Community co-ownership and stakeholder participation	<ul style="list-style-type: none"> • Active involvement of communities in project activities • Capacitation of stakeholders in resource management • Assistance by LGU and private sectors 	PEF, ISO, PBCFI, PARFUND
• Economic	- Direct economic benefits encourages encouraged communities to support the projects	ISO, PEF, PBCFI
• Technology	Use of GPS and high-resolution cameras	PEF, PBCFI

The cultural environment was a critical factor particularly in the biodiversity, governance and trafficking in persons projects. In biodiversity projects, the CSOs had to work hard so that the communities would co-own the project. In PEF for instance, the main entry point employed was to help the tribes in ensuring that their sacred heritage (*pusaka*) was documented and would be passed on to the next generation as well as to educate the non-tribal population by incorporating this information in textbooks. The Philippine eagle had been declared a *pusaka*; thus, all actions related to the survival of the eagle would be made—even long after the PEF project was gone. Paramount to this was ensuring the habitat of the eagle. Another example was the ISO project, which had to design a strategy for increasing incentives for community participation in biodiversity conservation through the establishment of community-managed and environment-friendly enterprises such as an eco-tourism social enterprise and aqua-silviculture projects.

The political setting within which CSOs operated also affected their performance. The level of political support, especially from the local government units, was found to be an important factor in almost all projects supported by the Phil-Am Fund. In cases where such support was adequate, this factor considerably helped the CSOs

achieved their project objectives. There were cases though when political factors served as a formidable hindrance in the achievement of certain development objectives. For example, the success or failure of Watershed and River Systems management greatly depends on the relationship of LGUs with one another since these resources often fell under overlapping jurisdiction. Political conflict between local executives was a major challenge faced by JVOFI in implementing its Amburayan River project. Another case where political factors served as a hindrance was when some LGUs viewed the Peoples Councils established through the NCPD project as a threat to their political power. In general, governance projects had problems in soliciting political support due to lack of encouragement from regulatory agencies, varying strategies across municipalities and cities, boundary and territorial disputes across LGUs being viewed as a political threat by some local government executives.

Economic and technological factors also played important roles in the performance of CSOs. At the organizational level, access to multiple sources of funds of the CSOs had been key to their survival and flexibility. At project implementation level, it is obvious that economic factor such as extreme poverty was the single most important reason for the continued proliferation of trafficking in persons in the country. It was also the main reason for poaching and degradation of natural resources as reported by CSOs under the biodiversity theme.

Technological factors appeared to have served as an enabler rather than a hindrance to the performance of CSOs. In biodiversity projects, the use of new surveillance and monitoring technologies, such as GPS and other digital devices, proved to be very effective in real-time monitoring of protected areas. In education, the use of on-line system for distant education, such as the one employed by FIT-ED, enabled nationwide coverage of technology-supported elementary school teachers with professional development project. The project aimed to accelerate the professional development of K-3 teachers on early literacy.

The most important hindering factor was the mode of fund release. The CSOs which did not pass the NUPAS could access funds only through reimbursement mode. As a result, a large number of CSOs struggled to implement their projects due to lack of funds. A number of CSOs did not even have the funds to finance their start-up activities. Ironically, GRF even had to revert the funds to USAID, especially during the initial years since many CSOs were under reimbursement mode (*Table 8*). However, the GRF tried to address this problem in the succeeding cycles.

Table 8. Hindering Factors to **Improving CSOs'** Organizational Capacity and Performance

	Enabling	Hindering
Internal	<ul style="list-style-type: none"> • Training activities • Needs assessment • Training/mentoring/coaching • Financial • Organizational • Technology 	<ul style="list-style-type: none"> • Financial • Organizational
External	<ul style="list-style-type: none"> • Cultural • Political • Community co-ownership and stakeholder participation • Economic • Technology 	<ul style="list-style-type: none"> • Political support • Economic

Another important hindering factor was the Phil-Am Fund implementation of a standard mechanism or approach of engagement with CSOs. The feedback implied that instead of one standard mechanism or approach, a basket of options should have been developed from which a specific mechanism could be drawn depending on the characteristics of the organization. The Phil-Am Fund applied a standard procedure in engaging with its CSO partners regardless of the level of capacity and organizational maturity. As a result, varied feedback on the engagement—ranging from favorable to unfavorable were expressed by the CSO partners. **The “flow down” of USAID requirements to the Phil-Am Fund grantees resulted to stricter requirements for grantees as if they were direct grantees of USAID.** Efforts to streamline the process had required a lot of time and effort from USAID and the Phil-Am Fund staff. The innovative nature of the fund proved challenging as well to the USAID team, which had difficulty shifting their paradigms from the traditional processes of the agency to one that should allow some

flexibilities and should be open to some risk-taking in the grant-making process. The detailed discussions of these factors were presented in *Annex 6*.

D. Achievement of Grantee’s Specific Project Objectives (Outputs and Outcomes) as Originally Envisaged and Targeted

The performance evaluation of 11 randomly selected Phil-Am Fund supported projects was carried out to determine the outputs and outcomes generated. This entailed an actual visit to the CSOs to conduct KIIs, field surveys and FGDs involving the beneficiaries of the project (*Table 9*).

Table 9. Achievement of Grantee-Specific Project Objectives

Thematic Area	Input	Output	Foundational Outcomes
Biodiversity	PHP200 million	<ul style="list-style-type: none"> Improved areas of watershed, forest and mangrove Training on natural resources management 	<ul style="list-style-type: none"> Increased awareness and capacity of the stakeholders Encouraged more volunteers, community and IP members and LGU participation Evidence-based monitoring systems Created more potential livelihood sources
Governance	PHP70 million	<ul style="list-style-type: none"> Seminars on fiscal policy and administration Practice of participatory planning and budgeting 	<ul style="list-style-type: none"> Participatory planning and budgeting—now integral parts of governance practices Enhanced knowledge on fiscal policy and administration
Economic Growth	PHP300 million	<ul style="list-style-type: none"> Trained and obtained knowledge and skills on value chain and business proposal and management Establishment of new enterprises 	<ul style="list-style-type: none"> Enhanced knowledge and skills on enterprise management and value chain Created other sources of livelihood
Anti-trafficking in Persons	PHP56 million	<ul style="list-style-type: none"> Assistance of TIP victims Exposure to mass media campaigns 	<ul style="list-style-type: none"> Established community watch groups Increased awareness on the problems on ATI
Education	PHP48 million	<ul style="list-style-type: none"> Completion of professional development activities Production of teacher’s manual and reading and instructional materials, including Braille modules 	<ul style="list-style-type: none"> Completion of professional development activities Production of teacher’s manual, and reading and instructional materials, including Braille modules

Biodiversity Projects

There were four biodiversity projects subjected to performance evaluation, namely the PEF Mt. Apo project; PBCFI project in Negros Island, the ISO project in Palawan and the Haribon project in Mindoro.

The PEF project was implemented from August 6, 2015 to August 5, 2017 with a total budget of PHP16,264,125. It covered the municipalities of Magpet and Arakan in North Cotabato and Davao City. Guided by a theory of change (ToC), the fundamental weakness of current forest management was the failure to localize the effort of communities and LGUs which assumed the responsibility of managing the resource under a system where conservation was incentivized. The project set out to manage the unprotected forests of Mt. Apo and promoted sustainability through conservation financing and knowledge management. The project had also increased

awareness of the importance of conservation by including the Philippine eagle and other focal species to the project.

Implemented from October 15, 2016 to October 31, 2018, the PBCFI project covered Negros Island—particularly the Northern Negros Natural Park, Mt. Kanlaon Natural Park and the Balinsasayao Twin Lakes Natural Park. With a total grant of PHP11,627,400, the project was more focused on generating scientific information and translating them **to layman's terms for better appreciation of the community and LGUs. Its key activity was the** establishment of monitoring stations and conduct of regular monitoring from which scientific information about the biodiversity resource was generated.

The ISO project aimed to protect the biodiversity of the coastal and marine resources of Culion Island, Palawan through participatory governance and community-based natural resources management (CB-NRM). Its ToC was anchored on the belief that environmental degradation was a result of unmanaged tourism and economic activities, weak enforcement of relevant laws and limited participation of local communities in coastal resource management. The project engaged local communities in coastal, marine and mangrove protection and conservation by instilling the values of responsible stewardship. It was designed to put up appropriate structures and systems of sustainable development, develop local capacities on environmental governance and encourage conservation enterprises that would balance the economic and social well-being of the people.

The HFI project targeted the improvement of local stakeholders' **engagement in the conservation of Naujan Lake** National Park Sub-Watersheds. Its ToC was that watershed management was dependent on the capacity of local conservation actors and the need to effectively involve the LGUs and local communities. The project carried out capacity building for local conservation actors and harmonized the watershed conservation efforts of LGUs and law enforcement officers.

Results of performance evaluation showed impressive outputs and outcomes from the four biodiversity projects. The PEF project was able to place 37,670 hectares of biologically significant natural resources under improved management, exceeding its target of 30,000 hectares. As a foundational outcome that could help ensure sustainability, the project preceded **the LGUs' formulation and adoption of ordinances** that commit resources and budget to the program, particularly the provision of allowance for the Bantay Gubat, as well as in influencing municipal and *barangay* conservation efforts.

Similarly, the PBCFI project placed 110,000 hectares of natural resources under improved management, thereby achieving its target for the project period. However, it fell short of its target of over 59,000 man hours of training in natural resource management having conducted only a little over of 23,000 man hours of training as of the time of evaluation. As an important outcome though, the Negros Island Biodiversity Action Plan (NIBSAP) was completed through the leadership of the project which became the base plan on biodiversity conservation by various LGUs.

The ISO project performed the transfer of 856 hectares of natural resources to improved management, exceeding its target by almost four-folds. It has also accomplished 19,960 man hours of training in natural resource management—more than double its target of 8,240 man hours. The outcomes of the project included the formulation and adoption of local ordinances on natural resource conservation with associated resource commitment by LGUs, the formulation of a natural resource management framework, system of effective enforcement and greater awareness and commitment of communities, among others.

The Haribon project was able to place 114,134 hectares of natural resources under improved management—exceeding its target of 96,000 hectares. The project also carried out the training of 16 fellows under its biodiversity fellowship program—**exceeding its target of 12 for the project period. Moreover, the initiative's most** important outcome was the formulation of the plan for forest land use in the municipalities of Naujan and Victoria.

The evaluation results of the four projects showed that communities were highly dependent on their livelihood resources. About 60 percent of households within and around Mt. Apo reported they derived their income directly from this resource. The households were also found to be in deep poverty as average monthly household income was merely PHP5,348. Similar situation was uncovered among households in the Northern Negros Natural Park, Mt. Kanlaon Natural Park and the Balinsasayao Twin Lakes Natural Park for the PBCFI-implemented project. In the case of the ISO project, high dependency on the natural resource was found among households in Binudac Island where the Similic Protected Area is located. Almost 86 percent of households in this island were small-scale fisher folks. Similarly, the evaluation of the Haribon project revealed that majority of

the households in the Naujan Lake Sub-Watershed were dependent on this resource for livelihood. The IPs were dependent especially on the natural resources since it was their main source of livelihood and it also increased their resiliency against natural calamities. Naujan Lake, especially the lower area, was also their source of irrigation and livelihood income.

The strategy of the four projects, which placed central focus on improving community and LGU awareness of the importance of resource conservation, was obviously the key in the success of the projects. The evaluation found that majority of the households were aware of the CSOs and the conservation measures these CSOs were promoting in their areas. Almost all of the respondents in the survey (see *Annex 7* for the presentation of the survey results for PEF, ISO, PBCFI and HFI) agreed with such measures and even participated actively in some of the activities. In all the four projects, the active participation and support of the LGUs were deemed crucial, especially in sustaining the gains achieved.

Governance Projects

There were two governance projects subjected to performance evaluation. The NCPC project—implemented from June 10, 2014 to September 30, 2016—aimed to advance and establish greater accountability and transparency through expanded civic engagement in the Metro Naga Area. On the other hand, the Antique Federation of Non-Government Organization (AFON) project was designed to replicate the establishment of people-led monitoring and evaluation system (PLMES) for the improvement of transparency and accountability in government-funded and -implemented projects. The AFON project was implemented from June 10, 2014 to July 31, 2017 with a Phil-Am Fund grant of PHP15,813,587.

The ToC of the NCPC project was that CSOs and People's Organization (POs) acting as People's Councils (PCs) in targeted municipalities would lead to greater accountability and transparency in local governance. The Local Government Code of 1991 (Republic Act No. 7160) provided for such representation but many of the CSOs and POs did not fully understand their role nor have the capacity to fulfill such responsibilities. AFON had similar ToC in its project except that its emphasis was on the institutionalization of effective monitoring system of government projects using proven models that involved the people themselves.

Although the LGUs found the PLMES useful, only the Sibalom LGU adopted the project. According to its MPDC chief, AFON was a long-time partner and was aware of their LGU projects. Before the implementation of PLMES, the LGU had a project monitoring committee whose members included the MPDC, **Assessor's Office, Engineering and staff from the Mayor's Office.** There was an institutionalized feed backing system from the *barangays* to the municipal that allowed the LGU to know the problems in the field. The complaints were directly addressed by the municipal engineer/MPDC. This activity was sustained even after PLMES. When PLMES was implemented, a line was established between *barangays* and municipal offices. As a result of this initiative, the *barangays* had gained a clearer perception of which municipal office to approach when they encountered a specific problem. Ever since PLMES started, the relationship between the *barangays* and the LGU had significantly improved. The *barangays* were more empowered to communicate which projects to implement based on their needs.

However, other LGUs were not as determined, citing lack of staff and budget as the main hindrances in implementing PLMES (see *Annex 8* for the presentation of survey results for AFON and NCPC).

The main strategy of NCPC was the training of CSOs and POs on the financial and technical monitoring of government projects and other aspects of organization building. These organizations, acting as PCs, were then made to engage with their respective LGUs for the actual monitoring of government projects.

The evaluation found out that the NCPC project exceeded its major target of organizing, strengthening and operationalizing PCs in Metro Naga. Apart from the seven targeted PCs, the project was able to establish three additional PCs as municipalities, which were not originally included in the target. The outcome reported was the registration of the seven PCs with the SEC, four of which were also registered with the BIR.

The major challenge faced by the NCPC project was the low level of acceptability by the local government executives (LGEs) of the PC officers since they were viewed as competitors or threats to LGEs' power and authority. On the administrative part, the project experienced a delay in the release of fund by GRF and sudden changes in its reportorial requirements.

Results of the survey of 30 randomly selected residents in the Metro Naga area showed the majority (87 percent) of respondents were aware of the NCPC project and believed the strategy of the project was effective in achieving greater accountability and transparency in local governance. Other survey results were presented in *Annex 8*.

Similar to NCPC, the major strategy of the AFON project was anchored in people's participation in the monitoring of government projects. This CSO had earlier successfully implemented a Social Accountability Project which developed and used PLMES. Through the Phil-Am Fund, AFON, therefore, set out to replicate this model in other local government units. The model entailed training community members to observe the Bids and Award Committee Meetings as well as in post-bidding activities for proper monitoring of the procurement activities of LGU partners. The output from observation activities was a procurement monitoring report presented to the procurement agency and the Municipal Monitoring and Evaluation Committee.

The AFON project achieved its target of engaging nine LGUs in the course of the project implementation. A total of 502 individuals were trained on PLMES where a total of 270 People Monitoring Boards (PMBs) were constituted and installed in 270 *barangays*. A total of 225 projects were monitored by these teams. However, the monitoring teams were no longer in existence, except in Sibalom which is the only LGU that adopted the PLMES.

A survey of 30 randomly sampled households in the project area showed a high level of community awareness (67 percent) about AFON and its project. Around 40 percent **indicated they participated in AFON's activities and others** (26.47 percent) stated they attended interface meetings about PLMES (please refer to *Annex 8*).

Among the challenges faced by AFON in implementing its project included delays in the disbursement of funds by the municipal coordinators (MCs) that eventually caused the delays in the release of funds from GRF.

Economic Growth Projects

The two projects subjected to performance evaluation under the economic growth theme were the poverty alleviation through intensification of salt farms productivity and capacity building implemented by TAMACO and the duck enterprise for employment generation and growth in Mindanao implemented by PARFUND.

The TAMACO project was implemented from June 2014 to March 2018 with a total budget of PHP28 million, 77 percent of which was the Phil-Am Fund grant. The ToC of the project was that poverty among salt producers could be alleviated by improving productivity, capacity building and expanding market share. The project, therefore, embarked on building the capacity of salt producers through sets of training and procured a salt washer-dryer and iodizing machine fabricated by Shriram Engineering from India. The machine was intended to improve the quality of salt through the achievement of consistent moisture content to enable the iodization of salt. The seminars provided included appropriate farm design, brine management, good manufacturing practices (GMP) and iodine testing, among others. The project also initiated warehousing of salt to increase salt inventory at TAMACO.

The outcomes of the project included the improvement in salt quality in both farm and plant levels. Such improvement was achieved by lowering the moisture content of salt using the salt washery equipment. However, the equipment was still on the test-run during the time of evaluation. The more important outcome was that the price received by farmers for their salt output reportedly increased by PHP1.50 per kilo as TAMACO was able to effectively compete with Chinese traders who have long been controlling the salt market.

Survey of salt producers showed that TAMACO projects were perceived to be a source of financial and technical support to expand the salt market and increase the efficiency of salt farms (please refer to *Annex 9*). The project was also considered as the driving factor in the stabilization of salt price in the Mindoro province. The respondents who participated in the training programs of TAMACO reported their technical knowledge of salt making had improved as well as their overall skills in managing their salt business. Overall, the project was considered effective in improving productivity and realizing a premium buying price of their salt product.

Similar to the TAMACO project, the PARFUND project was a commodity-focused project, albeit of a lower budget. The project was implemented from June 10, 2014 to June 9, 2017 with a grant of PHP19,754,832. The project aimed to transform farmers and other agricultural workers into entrepreneurs by enhancing their capacities in business development, management and marketing. Developing the duck industry value chain was the focus of the project on which several duck-based enterprises could be built and would eventually benefit the

farmers. PARFUND assisted the establishment of various duck enterprises in the implementation sites that served as venues for training, mentoring and coaching activities. Moreover, in-kind loans in the form of ducklings and duck feeds were provided. As a result, 317 duck enterprises were established and supported in the course of the project implementation. Right after the project, the 317 duck entrepreneurs secured capital on their own or from other sources to sustain their operations. Still, there were some continued support from PARFUND through coaching on duck raising. To continue their support, PARFUND is assisting the farmers in establishing a cooperative that could help manage or consolidate the supply of eggs. Survey results for TAMACO and PARFUND could be found in *Annex 9*.

Anti-Trafficking in Persons (ATIP) Projects

One ATIP project was evaluated entitled “Empowering Communities and Building Partnerships for Anti-trafficking in Persons Project”. The Children’s Legal Bureau (CLB) implemented the project from July 9, 2014 to June 30, 2018 with a Phil-Am Fund grant of PHP13,895,63.44 and a CLB cost share of PHP90,000.

The project aimed to protect children and vulnerable groups in Cordova, Talisay City and Bogu City in Cebu from trafficking and other forms of exploitation and to ensure that laws were enforced by prosecuting traffickers. The **project’s specific objectives also included the improvement** of the capacity of Barangay Council for the Welfare of Children (BCPC) and concerned city/municipal level government agencies for the prevention of trafficking in persons, creation of mechanisms that aim to improve the enforcement of the anti-trafficking law and related laws, policies and programs and prosecution of anti-trafficking cases.

The project’s major achievement was the establishment of mechanisms from the municipal and city levels down to the *barangay* and community levels to respond to the case of trafficking in persons (TIP) from prevention, protection to law enforcement and prosecution. This was made possible through the local ordinances on ATIP created by the three LGUs. At the city/municipal level, Local Councils for the Protection of Children (LCAT) were established in Cordova, Talisay City and Danao City. Under the LCAT, the Multi-disciplinary Team (MDT) was composed of the agencies directly handling the victims of TIP.

At the *barangay* level, the BCPCs of 41 *barangays* were further strengthened by organizing ATIP Committee or Barangay Council against Trafficking (BCAT). Members of the community were also organized as Community Watch Groups with a total of 570 volunteers from the 41 *barangays* who were tasked to report cases and possible cases of TIP. From the BCPC and Community Watch Groups (CWGs), paralegals and para-social workers were trained to assist the victims from case filing up to reintegration.

With these mechanisms in place, information dissemination activities reached more than 19,000 people. This resulted in 26 incidents of TIP reported to the MDT (20 reports came from the BCPC/CWD) with 91 victims assisted (including 18 victims whose cases were filed before the project). Fourteen of the reported incidents ended up with rescue and/or filing of cases against 13 perpetrators, 12 were arrested and detained while one was still at large.

In addition, 62 possible TIP/recruitment activities were reported by BCPCs and CWG to the MDT plus more than 600 cases related to children and women. Most of these cases were responded by BCPC and LCAT; henceforth, preventing these vulnerable groups to become victims of trafficking.

In general, CLB had achieved its objectives as originally planned. On the aspect of prevention, no traffickers had been reported at the time of this evaluation and no rescues conducted in project areas. This could be attributed to the vigilance of the community monitors who reported suspected traffickers in their areas. It could also be that traffickers had transferred to other areas. The project had established a strong local mechanism to prevent trafficking in the project site despite the problem of regular turnover of policemen as practiced by the PNP.

CLB continued to monitor the activities in the three sites despite the completion of the project. The local solution put on the ground and was being continued was the conduct of quarterly Inter-LCAT meetings in the three areas. The meeting was a venue where the LGUs were reporting their accomplishments based on the sustainability plans/strategic plans formulated through the CLB facilitation. Representatives from CLB were present during the meeting (detailed results were discussed in *Annex 10*).

Education Projects

There were two education-themed projects subjected to **performance evaluation, namely the RBI's Improved Braille Literacy among Adults with Visual Impairment Project and FIT-ED's project, Technology Supported Teacher Professional Development in Early Literacy for K-3 Teachers.**

The RBI project was implemented from August 6, 2015 to December 15, 2017 with a total budget of PHP9,951,417. It focused on the conflict-affected areas of Mindanao, specifically Cotabato City, Zamboanga City, Lanao del Norte, Bukidnon and Cagayan de Oro City. On its second year, the project included Davao del Norte, Davao City, Bislig City in Surigao del Sur, Agusan del Norte, Bayugan City in Agusan del Sur, South Cotabato, Tacurong City in Sultan Kudarat, North Cotabato, Lanao del Sur, Misamis Oriental, Iligan City, Camiguin, Zamboanga del Sur and Sibugay Province. Vision-impaired individuals tend to have disadvantages in livelihood and self-actualization as an effect of the challenges in accessing education due to disability. The overall goal of the project was to promote and facilitate Braille literacy among blind adults, thereby opening greater possibilities for their academic and economic success. The provision of equipment in the centers expedited the work of the Braille instructors in the preparation of instructional materials, especially since the number of learners increased through referrals from the project coordinators and other stakeholders. Blind adults can now access Braille copies of the laws about their welfare. Supplemental reading materials that they could use in daily living were also now available in Braille format.

On the other hand, the FIT-ED project was implemented from August 6, 2015 to December 31, 2017 with a total budget of PHP10,867,228. It covered 240 schools in 31 divisions nationwide who had no exposure in training **programs in literacy instruction by the Department of Education (DepEd) and its partners. With DepEd's ongoing** K-12 basic education curriculum reform efforts, the conventional in-service teacher training program in early literacy and numeracy rendered DepEd hard-pressed to reach all K-3 teachers on its target list cost-effectively. There is a need for flexible, cost-effective, scalable and sustainable models for continuing teacher professional development (TPD) in early literacy and numeracy, which could supplement and complement current and future initiatives by DepEd and its partners. The FIT-ED project was a pilot run of an iteration of technology-supported TPD model specific to early literacy, making use of digital technologies in pedagogically appropriate ways for TPD. The use of digital technologies is expected to: 1) enhance early literacy instruction by improving teacher competencies; and 2) broaden the reach of existing face-to-face TPD activities in a flexible, cost-effective, scalable and sustainable manner.

Results of performance evaluation showed impressive outputs and outcomes from the two education-themed projects. In its terminal report, RBI showcased having been able to provide 202 Braille modules to learners, **50 copies of teacher's manual, 2,114 sheets of supplementary reading materials (Alternative Learning System (ALS) modules, reviewer, stories, vocabulary exercises and Magna Carta for PWD).** It reported improvements in literacy rates of a total of 204 blind adults through Braille education. After the basic literacy program, some of the blind adults were able to continue their studies under the ALS program of DepEd. In the survey conducted for this study, about 67 percent of the respondents reported that participation in the course led to improvements in their ability to get engaged in income-generating activities. Of those already employed before participating in the course, 70 percent reported improved ability to find higher paying jobs or income-earning activities. Moreover, majority of the respondents indicated interest to further pursue informal learning (64 percent) and formal/higher education (58 percent). **There were also marked improvements in participants' interest to engage in social and civic activities, a similarly valuable gain in promoting welfare of PWDs.** About 39 percent of the respondents reported a change in occupation after completing the course. Most of those changes came as a result of movements from unemployed status to getting a job as a massage therapist (69 percent). On average, monthly incomes of 13 respondents had almost tripled, from an average monthly income of PHP1,155 to PHP4,554. Such improvement could also be attributed to other capacity development activities in the AVRC facility where the course was facilitated.

Similarly, the FIT-ED project was able to develop a blended TPD program on early literacy for K-3 teachers, with two components: (1) interactive, multimedia courseware designed for self-study; and (2) collaborative learning in school-based Learning Action Cells (LACs). The TPD program called ELLN Digital was piloted with 4,030 K-3 teachers in 240 public elementary schools. It gave each participating school the interactive, self-study ELLN Digital courseware and five storybooks, as well as guidance on organizing the participating teachers into LACs. The LACs were supported and monitored by 31 division- and region-based electronic learning facilitators (eLF)

who were trained in mentoring LACs through webinars. Mobile phone and wireless modems were also distributed to facilitate regular communication with LACs. In the survey conducted for this evaluation study, the number of respondents who gained the said abilities increased to 27 (68 percent) **after TPD's implementation**. Two teachers did not report any change and this was because they already had the highest rating before the intervention. Most of the teachers shared that as a result of their participation in the LACs and the use of the courseware, they were now applying the new teaching strategies and different activities they have learned. The Majority of the respondents (73 percent) indicated experiencing improvements in their teaching careers after their participation in the project. These improvements were mostly in their personal development and performance in the classroom.

Both projects conducted their evaluation of the effectiveness of their interventions. RBI's assessment showed significant gains in learning from the beginning until the end of the program through the use of the Early Grade Reading Assessment (EGRA) assessment tool. The RBI evaluation reported the highest improvements in letter name identification in both Filipino and English, as well as significantly different gains for learners aged 30 and below on the letter sound identification and reading comprehension. On the other hand, FIT-ED determined the effectiveness of their TPD program in improving teachers' knowledge and skills in early literacy instruction by administering two tests to a randomly selected sample of 434 pilot K-3 teachers before the start and at the end of the course. Results showed significant improvement in the teachers' content and pedagogical knowledge (CPK) and teachers' strengths and needs assessment (TSNA) scores at the end of the TPD program. Assessment results also indicated appreciation for the usefulness of the ELLN Digital course and LAC sessions among the participants, despite some flexibility limitations.

In the two projects, the evaluation validated positive results of the interventions on the knowledge and skills of participants, as well as improvements in self-efficacy and income of some visually impaired learners. Partnership with DepEd could be given much credit for enabling the success of the FIT-ED project. With regard to sustaining the gains and scaling the model out to the rest of the schools, the continued partnership between the CSO and DepEd was the key. The capacity enhancement alternatives delivered by FIT-ED offered some sustainability value to the changes targeted for K-3 teachers in the Philippines. On one hand, the courseware provided the availability of teaching materials to further enhance **the teachers'** skills even after the project has been completed. The success of LACs as venues for skills enhancement highlighted the importance of collaborative learning among teachers, which the FIT-ED helped improve through this project. There were also clear challenges in ensuring the sustained participation of the learners in the RBI project. Despite the difficulties, RBI had managed to reach its target number of learners. The project demonstrated that knowledge gains from the Adult Braille Literacy Course could open opportunities for employment and financial independence as well as self-efficacy for persons with vision impairment. Moreover, RBI was successful in forming the Braille Network to act as a coordinating body representing Braille stakeholders nationwide in the promotion of Braille literacy. The project offered lessons that could inform future initiatives aimed at delivering solutions to relevant problems in communities. As with FIT-ED, the success of RBI was propped on institutional partnerships with key agencies working with the target population. As with lessons learned from the FIT-ED project, CSOs should recognize and tap into partnerships with government agencies enabling support in the implementation of activities. Finally, the completion of the RBI project resulted to the availability of learning materials and the formation of a dynamic network of advocates who could sustain the promotion of literacy among the visually impaired members of the community (read *Annex 11* for the full presentation of the survey results for RBI and FIT-ED).

Table 10 showed the CSOs and the resulting community awareness of their project, its relevance and effectiveness based on the results of surveys and FGDs. In general, all of the projects evaluated were found to be relevant and effective. In addition, the community stakeholders were found to be highly aware of the interventions being provided and in many cases were even in fact involved in the implementation. This impressive project performance was indicative also of improved organizational performance which to some extent could be attributed to the improvement in organizational capacity.

Table 10. CSO Awareness, Relevance and Effectiveness

CSO	Title of the Project	Community Awareness (percent)**	Community Assessment		Remarks
			Relevance*	Effectiveness*	
Philippine Eagle Foundation (PEF)	Enhancing Biodiversity Conservation within the Unprotected Region of the Mt. Apo Key Biodiversity Areas (KBA)	100	Relevant	5	<ul style="list-style-type: none"> • Deputization of forest guards with honorarium received from Davao City • Recognition of IPs as key decision-maker and partner in the protection of biodiversity. Most of the forest guards were IPs. • Institutionalization of the <i>Pusaka</i> Declaration • Capacity built on the use of monitoring gadgets (e.g., GPS)
Institute of Social Order	Promoting Participatory Island Development Strategy for Culion, Palawan	83	Relevant	4	<ul style="list-style-type: none"> • Deputization of <i>bantay-dagat</i> • Mangrove areas rehabilitated • Strict implementation of the no-cutting of mangrove policy (If violated: 3 months imprisonment and PHP25,000 penalty) • Improved partnership between <i>bantay-dagat</i> and the LGUs (e.g. joint effort in patrolling)
	Promoting Participatory Island Development Strategy for Culion, Palawan	83	Relevant	4	<ul style="list-style-type: none"> • Deputization of <i>bantay-dagat</i> • Mangrove areas rehabilitated • Strict implementation of the no-cutting of mangrove policy (If violated: 3 months imprisonment and PHP25,000 penalty) • Improved partnership between <i>bantay-dagat</i> and LGUs (e.g. joint effort in patrolling)
Philippine Biodiversity Conservation Foundation, Inc. (PBCFI)	Mainstreaming Biodiversity Conservation in Negros Island Regional Development Agenda Project	90	Relevant	5	<ul style="list-style-type: none"> • Deputization of forest guards • Supported the development of the NIBSAP and the Northern Negros Natural Park (NNNP) Protected Area Management Plan • Capacity built on the conduct of synchronized biodiversity monitoring system (BMS) • BMS was done in 44 newly established transects • Negros was identified as new bird-watching area
Resources for the Blind Inc. (RBI)	Improved Braille Literacy among Adults with Visual Impairment	n/a	Relevant	5	<ul style="list-style-type: none"> • First formal training on Braille system to the ALS teachers or the mobile teachers. • First initiative for the visually impaired in Camiguin. • Provided the visually impaired set of skills to aid them in engaging in daily activities and potential productive opportunities.

CSO	Title of the Project	Community Awareness (percent)**	Community Assessment		Remarks
			Relevance*	Effectiveness*	
					<ul style="list-style-type: none"> • Modules developed for three adults • Training modules developed
Children's Legal Bureau (CLB)	Empowering Communities and Building Partnerships for Anti-Trafficking in Persons	63	Relevant	3.5	<ul style="list-style-type: none"> • Referral system was established in the <i>barangay</i>. <i>Barangay</i> LGUs can now handle cases of human trafficking and serve as the first line of defense • Established system of monitoring TIP for alert and raising of red flags • Institutionalization of TIP monitoring by hiring permanent staff at the Municipal/City Social Welfare and Development Office • Formation of the Council on Against Trafficking (CAT) • Strengthening the City Council for the Protection of Children (CCPC)
Antique Federation of Non-Government Organizations (AFON)	People-led Monitoring and Evaluation System (PLMES)	67	Relevant	4.5	<ul style="list-style-type: none"> • Increased participation in the LGU planning and bottom-up budgeting (BUB) • Increased in number of CSOs involved and part of the Municipal Development Council (MDC) • Empowered CSO monitors in evaluating projects especially the bidding process and transparency in the government operation and use of funds
Naga City People's Council (NCPC)	Advancing and Instituting Greater Accountability and Transparency through Expanded Civic Engagement in Metro Naga Area	87	Relevant	4	<ul style="list-style-type: none"> • Passing of the Empowerment Ordinance in the municipalities of Ocampo and Pamplona. In other areas, the ordinance has passed the second and third reading • Formation of PCs in the seven municipalities • PCs seating as member of the Municipal Economic Council • Leveraging and networking improved. NCPC was able to forge new project on social accountability with EU
Philippine Agrarian Reform Foundation for National	Duck Enterprise for Employment Generation and Growth (DUCK EGG) in Mindanao	97	Relevant	5	<ul style="list-style-type: none"> • Improved capacity of farmers in duck production and processing as well as enterprise management. • Improved income of project participants with the following income estimate: Breeder/egg producers - PHP4,000/month,

CSO	Title of the Project	Community Awareness (percent)**	Community Assessment		Remarks
			Relevance*	Effectiveness*	
Development (PARFUND)					<p>RTL - PHP17,000/month Hatchery operators - PHP34/female chick, however negative income of PHP7/male chick (estimated buying price of PHP45/female chick and PHP5/male chick. Cost of duckling production is at PHP11/chick) <i>Balot</i> vendor - PHP3/egg Egg processor - PHP3-4/egg</p> <ul style="list-style-type: none"> • Increased access to credit/loan facility
Tamaraw Salt Producers Cooperative of Occidental Mindoro (TAMACO)	Poverty Alleviation through Intensification of Salt Farms Productivity and Capacity Building	28	Relevant	4	<ul style="list-style-type: none"> • The producers were given technical know-how to improve salt quality and quantity • Early salt production was also observed given the technical trainings with financial support • The technologies and machine were able to improve the quality of the salt. Salt was cleaner resulting in higher grade classification (green grade) • Increased its Net Financial Contracting Capacity (NFCC). The increase in NFCC allowed TAMACO to participate in government bidding to supply the necessary salt for the Philippine Coconut Authority's Salt Fertilization Program. The expansion of TAMACO's market included areas in Regions 1,2,3,4 and 13 • The project heightened the support to the salt industry through the drafting of the Occidental Mindoro Salt Industry Roadmap 2018-2022

*Based on FGDs

**Based on Field Survey

E. Key Outputs and Emerging Outcomes which Contributed to the USAID Forward Goals of Promoting Sustainable Development through High-Impact Partnerships and Local Solutions

The USAID Forward was primarily conceived to create the conditions where USAID interventions will no longer be needed in addressing local development problems. USAID Forward is a policy framework prior to the current Journey to Self-Reliance framework, which is anchored on developing local capacity and commitment so that local development players can identify, fund and implement local solutions to address local development needs. The evaluation found at least four important sets of outputs/outcomes of the Phil-Am Fund directly contributing to the goals of USAID Forward, namely: (1) strengthened organizational capacity of CSOs; (2) expanded opportunities for CSO leveraging; and (3) innovative modalities **of local solutions; and (4) building stakeholder's** commitment.

Table 11. Key Outputs, Emerging Outcomes and Salient Features of the CSO Projects

Key Outputs and Emerging Outcomes	CSO	Salient Features
Strengthened Organizational Capacity of CSOs	Almost all CSOs reported some improvements on capacity and performance	Financial management: use of AuditPal, Variance Analysis and Bank Reconciliation Human Resources: Updating of 201 files Program Management: Use of ToC, M&E and stories of interest
Expanded Opportunity for CSO Fund Leveraging	8 CSOs (PEF, CLB, NCPC, PBCFI, Haribon, RBI, FIT ED and ISO)	PEF secured funding from AusAid, UNDP and PLDT NCPC accessed funds from EU Haribon established partnership with Bird Life and Toyota RBI had several international funding such as USAID, Christoffel Blindel Mission, Light in the World etc.
Innovative Local Solution Modalities	PEF, ISO, Haribon, PBCFI, AFON, CLB and RBI	Establishment of biodiversity fellows (eco-rangers, eco-guardian) People-Led Monitoring and Evaluation System (PLMES) Community Watch Group RBI Adult Braille Literacy Module
Building Stakeholder's Commitment	PEF, PBCFI, AFON, CLB, RBI and FIT-ED	Enhanced commitment of the CSOs, LGUs and NGAs

Strengthened Organizational Capacity of CSOs

Improvement in the organizational capacity of the 37 CSOs was undoubtedly the most important outcome contribution of the Phil-Am Fund to the goals of USAID Forward. Such capacity improvement resulted directly from the design of the Phil-Am Fund which did not only provide access to USAID grants but more importantly paid considerable focus on the organizational capacity improvement of the sub-grantees. The NUPAS served as a diagnostic tool to determine specific weaknesses of CSOs along with six domains as well as a benchmark of good organizational practices towards which organizational improvements were directed. The targeted mentoring and coaching of GRF and SGV were keys to addressing the specific organizational weaknesses and effecting improvement in organizational capacity.

The evaluation found out that financial management was the most important improvement in organizational capacity that was common to all CSOs. The study also showed the CSOs highly valued the practices introduced by the Phil-Am Fund such as variance analysis, bank reconciliation and the use of AuditPal. On the human resource development, the updating of 201 files and the conduct of performance evaluations of employees were also appreciated. There were other practices introduced by the Phil-Am Fund particularly on project management, which were adopted by all CSOs and effected improvement in organizational performance. Foremost of these was the formulation of ToC, which according to CSOs helped them clarify and better understand the development problem they intended to work on. Other practices such as those on project M&E and the development of stories of interest were deemed helpful especially by relatively smaller CSOs such as

RBI and FIT-ED, albeit viewed as redundant by the bigger CSOs which have already been adopting such practices long before their participation in the Phil-Am Fund.

The strengthened organizational capacity of CSOs would go a long way in helping achieve the goals of USAID Forward and the Journey to Self-Reliance in the Philippines. The CSOs were at the forefront of development works in the country. Their genuine commitment to help advance societal well-being remained applauded despite recent controversies arising from unscrupulous ones which tarnished the reputation of these organizations in the country.

Expanded Opportunity for CSO Fund Leveraging

The success of CSOs in resource generation was primarily a function of their leveraging position as they engaged with funding agencies, especially foreign donors. The evaluation found out pieces of evidence suggesting that the Phil-Am Fund became instrumental in opening up leveraging opportunities at least for some CSOs. The PEF, for instance, claimed they have leveraged their Phil-Am Fund experience in securing funding from AusAid and UNDP. The NCPC likewise, explicitly stated their Phil-Am Fund experience and the improvement in their organizational capacity as sub-grantee of the Phil-Am Fund were key factors in successfully securing fresh funding from the EU.

Table 12. Expanded Opportunity for CSO Fund Leveraging

CSO	Funding Agency	Project
PEF	<ul style="list-style-type: none"> AusAid UNDP PLDT 	<ul style="list-style-type: none"> The Rufous Hornbill plush toy was a project funded by AusAid while the Philippine Trogon Plush toys were funded by PLDT Inc. The finished products were mainly sold at the Philippine Eagle Center with the proceeds benefiting the partner communities. Biodiversity Conservation: Mainstreaming in Local Agricultural Landscapes/Biodiversity Partnerships Project (BPP)
NCPC	EU	Social Accountability Project
PBFCI	<ul style="list-style-type: none"> Counterpart funds of LGU DENR 	<ul style="list-style-type: none"> Biomonitoring surveys Supplies
Haribon	<ul style="list-style-type: none"> Bird Life Toyota 	Haribon Foundation in partnership with Bird Life helped improve the understanding of the status and habitat requirements of Philippine Eagle
RBI	<ul style="list-style-type: none"> USAID Christoffel Blinden Mission Light for the World International Council for Education of People with Visual Impairment (ICEVI) Overbrook Nippon Networking on Educational Technology-USA Hilton Perkins United Bibles Society Lion's Club 	<ul style="list-style-type: none"> Purchase of equipment such as Braille computer supplies, Braille slate and stylus Education aid, tools and kits Sponsorships
ISO	Ateneo de Manila University	<ul style="list-style-type: none"> MOOE Community-Based Resources Management (CBRM) projects in Quezon

The experience of CSOs as sub-grantees of the Phil-Am Fund was an important “laurel” on which the CSOs could capitalize in their resource generation program. While few CSOs have so far taken advantage of this

opportunity, it was expected that more CSOs were bound to realize this benefit as they highlighted their Phil-Am Fund track record in their organization's credentials.

Achieving the goals of USAID Forward and the Journey to Self-Reliance necessitated frontline development organizations such as the CSOs to have the capacity to fund or seek funding for local solutions they intended to organize. The Phil-Am Fund was able to help address this necessity, albeit indirectly, by enabling the sub-grantees and providing them the opportunity to build a track record (especially involving USAID project) which they could capitalize in seeking future funding support from various sources.

Innovative Local Solution Modalities

The projects supported by the Phil-Am Fund served as rich breeding and testing grounds for the development of innovative local solution modalities. Such modalities were important outputs/outcomes which could help achieve the goals of USAID Forward and the Journey to Self-Reliance. A wide variety of modalities or approaches have been generated owing to the wide variety of themes and CSOs supported by the fund.

The Phil-Am Fund was replete with interesting cases of innovative modalities of local solutions. These modalities were actually best practices employed by the various CSOs in order to achieve their project objectives. In general, these were characterized by greater involvement and commitment of the various stakeholders, community mobilization, as well as more effective processes of monitoring and evaluation. Under the biodiversity theme, for instance, HFI came up with a modality of community engagement where CSOs, LGUs and teachers served as eco-warriors; senior high school students as eco-rangers; and science teachers as eco-guardians. Under the governance theme, AFON mobilized the community as citizens monitor and key players in the PLMES. To combat trafficking in persons, CLB actively engaged the people as a community watch group and the CSOs as monitors. Under education, RBI pioneered the adult Braille literacy module, which even became the official SPED module of the DepEd.

The development of effective mechanisms and approaches to support locally-led development and adaptive management was of crucial interest in the USAID Forward and the Journey to Self-Reliance. The Phil-Am Fund offered a rich experience along with this concern which was worth examining for possible replication in future development initiatives.

Building Stakeholder's Commitment

The evaluation found out concrete shreds of evidence indicating that the Phil-Am Fund was able to help increase the commitment of various stakeholders in local development projects. This outcome was another crucial contribution to USAID Forward and the Journey to Self-Reliance as achieving the goals of these programs were anchored, among other things, on the commitment of local development players.

The CSOs, LGUs and NGAs were the important players in local development works. The communities—apart from being the development beneficiaries—had also participated in establishing local solutions on the ground. There were clear indications that the Phil-Am Fund through the various projects supported was able to enhance the commitment of these stakeholders. A good example was the PEF project, which was very effective in engaging the LGUs such that the latter committed to providing financial support to fund the honorarium of the Bantay Gubat formed through the project. The LGUs continued to provide the honorarium despite the termination of the PEF project. Another example was the PBCFI project, the initiative of which on the bio-monitoring survey is continuously being supported by the LGUs up to present. The LGUs have also clearly demonstrated their commitment by signing the memorandum of agreement with AFON as part of their support for the AFON project on PLMES. In the anti-trafficking in person project of CLB, the Cebu City LGUs passed three ordinances to support the project and committed resources to fund the inter-LCAT meetings.

The commitment of NGAs has also been enhanced as demonstrated in some Phil-Am Fund supported projects. The DENR and NEDA for instance, used the NIBSAP which was the output of the PBCFI project as agency framework and basis for the development of regional plan. As another example, the DEPED signed a MOA with RBI committing its SPED teachers to the project and ensuring the brail module developed by RBI is used in its SPED program. It also signed a MOA with FIT-ED committing the provision of learning action cells as venue for the capacitation activities of the project.

IV. INSIGHTS, CONCLUSIONS AND RECOMMENDATIONS

A. Insights and Conclusions

The pieces of empirical evidence were enough to conclude that the Phil-Am Fund has been successful in achieving its targeted outputs and outcomes. The organizational capacity of sub-grantees has improved considerably especially in the areas of financial, human resources and project management. The organizational performance has been likewise impressive based on field-validated outputs and outcomes of sampled CSOs and the favorable views of various stakeholders obtained through surveys, KIIs and FGDs. In aggregate, the 37 CSOs supported by the Phil-Am Fund implemented the protection of 22 key biodiversity areas; improved more than 448,000 hectares of natural resources; assisted the development of more than 700 microenterprises; enhanced governance in 31 municipalities; increased awareness of more than 66,000 people on the problems of human trafficking and how this could be prevented; and helped boost the literacy rate among marginalized groups by establishing provision of more than 20,000 textbooks, training more than 4,000 K-3 teachers and accomplishing more than 15,800 reading interventions.

The improvements achieved in organizational capacity and performance could be attributed to the Phil-Am Fund as these resulted directly from the training and coaching/mentoring activities carried out by GRF and SGV. These activities were considered as the primary enabling factor in effecting the necessary improvements on top of the financial grant to the CSOs which could enable them to pursue their various development projects. However, the mode of grant release was viewed as a hindering factor because some CSOs under the reimbursement mode struggled to even fund their start-up activities. This factor stemmed from a grant policy where CSOs, which failed the NUPAS, have been placed under reimbursement mode. This policy does not sit well with the USAID goal on inclusivity as relatively smaller and fledgling CSOs—expectedly with a lower chance of passing the NUPAS—were the ones placed in a disadvantageous mode of fund release.

The cultural, political, economic and technological environment served either as enabling or hindering factors depending on the context and particular circumstances of the projects. The political support, especially of LGUs, was crucial in all projects regardless of themes and was found enabling when such support was adequate but hindering otherwise. Economic factor, particularly abject poverty, was the single most important reason for the proliferation of trafficking in persons and the continued degradation of natural resources. Technological factors generally served as enablers especially in biodiversity monitoring (e.g. use of GPS and other digital technologies) and education projects (e.g. on-line system of education).

The Phil-Am Fund was able to make important contributions to the goals of USAID Forward and Journey to Self-Reliance. These included the strengthened organizational capacity of CSOs in the Philippines, the expanded opportunity for CSO fund leveraging, innovative local solution modalities and the increased commitment of various development stakeholders. In addition, some important insights and lessons learned could be derived from the Phil-Am Fund experience which could help inform the general local works community on mechanisms and approaches to support locally-led development and adaptive management:

1. The Need to Strike a Balance Between Flexibility and Control
2. **The flexibility of CSOs' operational systems was an important organizational trait that made them highly effective in addressing local development challenges.** Unlike corporate and government entities with rigid structures and processes—which make them less agile as change agents—CSOs operated under a more flexible system governed more by a culture of trust rather than by a set of rigid controls. In the Philippines, a concrete demonstration of the importance of such flexibility was evident when CSOs, both local and international, outpaced the government in the rescue and rehabilitation effort to help the victims of Typhoon Haiyan.

There were observations that the system of control introduced by the Phil-Am Fund might undermine the flexibility of CSOs. As mentioned, GRF through SGV employed the NUPAS to assess organizational capacity, the results of which were used by GRF as basis in determining the mode of fund release to the sub-grantees. The NUPAS served as the benchmark of good organizational practices and the capacitation activities of GRF were all intended for CSOs to improve their NUPAS scores. The major reason why many CSOs failed the NUPAS was the absence of manualized procedures and a rigid system of tracking, verification and control of

financial transactions. Interestingly, since their establishment, these CSOs have been operating without manualizing their procedures and establishing a system of rigid controls since this made them more flexible.

The obvious challenge for the local works community was the development of mechanisms and approaches to support locally led development that would strike a balance between flexibility and control. This was crucial, especially when engaging with CSOs which placed a premium for flexibility and organizational operation based on a culture of trust.

3. No One Size Fits All

An important lesson from the Phil-Am Fund was the realization that the mechanism or approach of engagement with CSOs could be tailored depending on the capacity and level of maturity of the organization. This implied that instead of one standard mechanism/approach, a basket of options may have to be developed from which a specific mechanism may be drawn depending on the characteristics of the organization.

The Phil-Am Fund applied a standard procedure in engaging with its CSO partners regardless of the level of capacity and organizational maturity. As a result, varied feedback about the engagement ranging from favorable to unfavorable was expressed by the CSO partners. For instance, there were CSOs that lamented the reportorial requirements of GRF, especially the monthly report submission, while there were those which appeared comfortable with it.

The most eye-opening case was the standard application of the NUPAS. Regardless of the size, capacity and level of maturity of the organization, the NUPAS was applied to assess organizational capacity and the results were used as the basis of fund release. As mentioned, those that failed the NUPAS were placed under a reimbursement mode while those that passed were under the cash advance or fix-price mode. As a result, large and higher capacity CSOs were provided a more favorable mode of fund release (since they were the ones which passed) compared to those that were smaller and with less capacity. These smaller CSOs which were placed under reimbursement mode struggled to keep up since they did not even have the fund to finance their start-up activities.

4. Sustainability as Primary Metric of Organizational Capacity

The Phil-Am Fund experience appeared to suggest that mechanisms and approaches to support locally led development and adaptive management might need to view sustainability as the primary and most important metric of organizational capacity. Sustainability referred to the ability of the CSO partner to sustain its operation.

This lesson surfaced when several CSO partners of the Phil-Am Fund were found to be struggling at present to keep their organizations afloat with the termination of the fund. A closer examination of these organizations revealed that they were drawing their strength from a single personality (i.e. the head of the organization) who had the social capital needed to access funding and the skills to package good project proposals. These personality-based organizations could have high capacity at a given time but could fail when the person driving the organization has left. It was learned from the experience of Phil-Am Fund that sustainability could be secured once the CSO has matured to a level where strength was drawn from its own organizational reputation, image or branding and was quite independent of the one heading it.

B. Recommendations

1. The grant-making modality adopted by USAID, which the local CSOs administered on their grant-making activities appears viable. The modality enables peer-to-peer engagement in local works and has resulted in the achievement of the goals and objectives of the grant. The same modality may therefore be replicated in future grant-making programs of USAID.
2. The NUPAS is a good diagnostic tool for identifying gaps in organizational capacity and its results are an excellent basis for targeted interventions. However, its use as a risk-assessment tool and basis for mode of fund release should be reexamined. As shown in the study, using the NUPAS as the basis for mode of fund release actually discriminated against the smaller CSOs with lesser capacity.
3. Future USAID grant-making activities may have to strike a balance between flexibility and control when dealing with CSOs. The agility of CSOs as change agents should not be compromised by very rigid financial

and management controls. A minimum set of such controls may have to be devised but should still allow the CSOs to maintain some level of operational flexibility.

4. Developing the capacity of CSOs to sustain their operation should be the primary goal of the organizational capacity development of USAID. The CSOs should be assisted to achieve a higher level of organizational maturity characterized as being less dependent on a particular personality and should move towards the development of stronger organizational identity (branding), improved resource-generation ability and better leveraging position.
5. The GRF may have to be requested to come up with a brief publication documenting the processes it has employed in implementing the Phil-Am Fund, the challenges it has encountered and the lessons learned in the course of the implementation. Such publication would be invaluable in future undertakings of similar nature.
6. To sustain the gains achieved by the Phil-Am Fund in building capacity and commitment and to drumbeat its achievement, the conduct of various learning events by thematic areas involving various stakeholders (especially the local government units and non-government agencies) may be worth pursuing.

ANNEX 1. STATEMENT OF WORK

I. Purpose of the Evaluation

This external evaluation will concentrate on the USAID activity Philippine-American Fund being implemented by the Gerry Roxas Foundation (GRF) in various areas in the Philippines. The overall objective of the evaluation is to assess the extent to which the Philippine-American Fund achieved USAID Forward's overall objective of promoting sustainable development through high-impact partnerships and local solutions and distilling lessons on engaging with local non-state actors.

In particular, the assessment will broadly cover two main areas: 1) the extent to which the capacity of partner local non-state organizations in developing and implementing solutions for many of the country's development challenges have been strengthened and 2) the extent to which the partner organizations were able to meet specific activity objectives. The assessment will examine the level of influence the interventions undertaken in the Phil-Am Fund had on these two areas and discover critical enabling and hindering factors.

The results of the evaluation will be used to inform the Mission's implementation of Local Works—especially in facilitating locally-led development—and in engaging with local non-state organizations. This evaluation may also be useful for the Mission's formulation of the successor Country Development Cooperation Strategy (CDCS)—given the Agency's emphasis on local self-reliance.

II. Activity Information

Activity Name	Philippine-American (Phil-Am) Fund
Contractor	Gerry Roxas Foundation
Contract #	AID-492-C-13-00016
Total Estimated Cost (TEC)	\$24,000,000
Life of Activity	August 5, 2013 to December 31, 2018
Active Geographic Area	Nationwide
Mission Objective	DO 1: Broad-based and inclusive growth that is accelerated and sustained

III. Background

Philippine-American Fund

USAID contracted the Gerry Roxas Foundation (GRF) to carry out the five-year USD24 million Philippine-American (Phil-Am) Fund activity which aims to establish a grant-making facility that will provide funding to qualifying recipients through a local competitive process; integrate the overall strategy, allocations and management of USAID grant-making activities in the areas of governance, economic growth, counter-trafficking in persons, education and biodiversity; and manage and administer the grant facility on behalf of USAID.

In 2010, USAID embarked on an ambitious reform effort called USAID Forward to change the way the Agency does business. USAID Forward aimed to modernize and strengthen USAID so that it can meet the most pressing development challenges and work more efficiently toward its ultimate goal—creating the conditions where USAID involvement is no longer needed. As part of the reform efforts under USAID Forward, the Agency committed to change its business processes by contracting with—and providing grants to—more and varied local partners through Implementation and Procurement Reform (IPR).

By working through a local implementing organization and providing grants to local organizations, the Phil-Am Fund sought to contribute to USAID's goals of working more with and empowering local organizations in line with the agency's USAID Forward reform agenda. Integral to USAID's IPR, the Phil-Am Fund sought to build more local capacity while also streamlining Agency procedures so that USAID can work with a broader range of local partners and increase the procurement local competition. As a leading implementer of IPR for the Agency, USAID/Philippines aims to establish new partnerships to help create the conditions where aid is no longer necessary in the Philippines. The Activity supported IPR Objective 2: strengthen local civil society and private

sector capacity to improve aid effectiveness.

The Philippine-American Fund aims to contribute to Development Objective 1 (broad based and inclusive growth **accelerated and sustained**) of **USAID/Philippines' draft Country Development Cooperation Strategy** through grants in economic growth, education and governance areas. The activity also aims to contribute to USAID's **objective of strengthening the Philippines' environmental resilience through grants aimed at protecting biodiversity resources.**

To date, the Phil-Am Fund has awarded 37 grants to non-government institutions which implement community-based projects that promote economic growth (7), biodiversity conservation (15), governance (5), anti-trafficking in persons (6) and education (4). In terms of geographic reach, 18 awards were made in Luzon, nine in the Visayas and 10 in Mindanao.

Key accomplishments of the grantees by area include the following:

Anti-trafficking in Persons:

- More than 157,000 people were informed on the issue of trafficking in persons;
- Around 750 victims of trafficking were provided with healing and protective services;
- 188 children were provided with legal services to seek justice against their perpetrators;
- A consortium of anti-trafficking nongovernmental organizations was established to provide stronger support for the elimination of commercial sexual exploitation of children in the Visayas region.

Education:

- Improved access to basic education for more than 15,000 students and learners in Mindanao;
- Developed a computerized module for in-service training of 4,053 K-3 teachers in 11 regions in the country.

Economic Growth:

- Assisted in the establishment of more than 700 micro-enterprises in Cebu, Davao del Norte and Bukidnon;
- Improved the capacities of 15 cooperatives in Mindanao to access loans and financing;
- Developed a technology to create fabric from sugarcane and provide alternative livelihood to sugarcane farmers;
- Established the first integrated salt-processing plant in Occidental Mindoro.

Biodiversity Conservation and Management:

- Protected 22 key biodiversity areas with a total area of 275,962 hectares;
- Discovered new species of orchids in South Cotabato and Philippine mistletoe in Negros Island;
- Developed a software for coastal monitoring and patrolling in Quezon province.

Governance Improvement:

- Promoted participatory planning and budgeting in 31 municipalities in Camarines Sur, Antique, Benguet, La Union and Ilocos Province;
- Established an alliance of local government units to protect the Amburayan river, leading to its designation as a water quality management area;

- Educated 17,580 youth on government processes to extract accountability from their public officials;
- Improved corporate governance practices of 392 publicly listed companies, mutual benefit associations, insurance companies and government-owned and -controlled corporations.

Local Works

In 2015, the United States Congress enacted a new Small Grants Program—which has been designated as Local Works—to provide small grants, cooperative agreements and other assistance mechanisms and agreements that further promote and support local initiatives, resources and action in countries where USAID operates. Local Works seeks to invest in the creativity and resourcefulness of local communities, enabling them to drive their development. In February 2017, the Philippines was selected as one of the countries where Local Works will be implemented.

As part of its mandate to promote locally-led development, Local Works will engage with local resource **organizations (LROs) which are trusted by other local organizations and are seen as “hubs” for ideas** and resources. They are the connectors and influencers—the organizations that others go to for help, advice or expertise. They are capable of supporting other local organizations to better serve communities. This wholesale approach enables USAID to efficiently manage Local Works programming which also supports local institutions that other smaller organizations and communities can rely on after Local Works implementation has concluded. As per the Local Works orientation conducted for the Philippine Mission in April 2017, some of the characteristics of LROs are as follows: well connected to other local organizations; seen by other local organizations as key resources; able to positively influence other local organizations; responsive to the interests of their local constituents; respectful and collegial toward other local organizations; and able to provide support, resources and ideas to other local organizations.

IV. Evaluation and Research Queries

To explore the contribution of the Phil-Am Fund in meeting the USAID Forward objective of promoting sustainable development through high-impact partnerships and local solutions, this evaluation will answer the following evaluation questions:

1. What major changes—positive or negative—in organizational capacity and performance² of the grantees emerged as a result of the Phil-Am Fund interventions?
2. Which key interventions of the Phil-Am Fund influenced changes in organizational capacity and performance of the grantees as well as the realization of their specific project objectives?
3. **What are the major enabling or hindering factors to improving the grantees’ organizational capacity and performance and the realization of specific project objectives?**
4. Have the grantees achieved their specific project objectives (outputs and outcomes) as originally envisaged and targeted?
5. What key outputs and emerging outcomes of the Phil-Am Fund activity contribute to the USAID Forward goals of promoting sustainable development through high-impact partnerships and local solutions?

V. Evaluation Approach and Methodology

This shall be categorized as a performance evaluation of the Phil-Am Fund activity. It shall delve into the **activity’s performance and key results at the grantee level. It shall encompass before-after** comparisons of the **grantee’s** condition(s) as a result of Phil-Am Fund assistance. It shall be guided by the overall Phil-Am Fund Theory of Change (ToC) designed to lay the foundation for linking the grantee-level results framework to the

² Well-established measures –including but not limited to Organizational Capacity Assessment Index and Organizational Performance Index as well as elements included in the USAID Non-U.S. Organization Pre-Award Survey (NUPAS) –should be utilized in assessing changes.

overall Phil-Am Fund-level results framework. Based on the ToC, it shall trace the output/outcome relationships between the grantee and the Phil-Am Fund activity.

Triangulation shall be used to gather data through a combination of techniques namely: (1) desk review of secondary sources and other data **found in reports generated through the activity's regular performance** monitoring and internal evaluations if any; (2) primary data collection through key informant interview (KII) and focus group discussion (FGD) and surveys if deemed appropriate; and (3) direct and/or field observations by the evaluation team, among others. During the evaluation, USAID estimates the conduct of two (2) field visits per thematic sector or a total of 10 field visits.

The descriptive analysis shall be used to explore the changes in organizational capacity and performance. This will be qualitative and to a certain extent, will use descriptive statistics to analyze quantitative data. The qualitative analysis shall provide a clear narrative to enable a better understanding of the **"breadth and depth"** of these changes. The evaluation shall identify and analyze the enabling and hindering factors to improving organizational capacity and performance.

Should a survey be necessary to explore changes in household conditions among grantees' **beneficiaries**, the evaluation shall quantitatively test significant changes in before-after household conditions and well-being. It will establish correlation and causality of key explanatory variables with household condition/well-being variables. Multi-variate regression analysis if appropriate shall also be employed to establish and measure causality.

The evaluation team is encouraged to recommend other approaches and methods which it deems appropriate to answer the evaluation questions cited above.

VI. Deliverables and Reporting Requirements

The following are the deliverables under this evaluation contract:

1. Briefing and Workshop to Review the Evaluation Approach and Implementation Plan. The evaluators will organize a briefing and workshop with USAID Philippines to finalize the evaluation approach and implementation plan at the latest two (2) calendar weeks of contract commencement. These will be submitted for approval by the evaluation COR.
2. Summary Report of Desk Study and Evaluation Approach and Implementation Plan. The evaluators will submit a summary of the desk study and draft evaluation approach and implementation plan, including **data collection tools and means of analyses and criteria for respondents' selection to the evaluation** COR for review within three (3) calendar weeks of evaluation contract commencement.
3. Data-Gathering Instruments. Together with the evaluation approach and implementation plan, all data-gathering instruments shall be submitted—at the latest three (3) calendar weeks of contract commencement, to the evaluation COR for review and approval.
4. Fieldwork Itinerary and Mid-Fieldwork Update. The evaluators will develop a draft itinerary for the fieldwork and submit it to the evaluation COR for approval within four (4) calendar weeks of contract commencement. They will also provide a narrative report covering the first half of the data collection and highlighting the key findings from the data collection exercise. The update should outline the evaluators' progress in fieldwork including implementation challenges and any proposed changes. Updates in the form of a report shall be provided at the latest one (1) calendar week after completion of fieldwork. Fieldwork is expected to be finished within two (2) calendar months after contract commencement. Specific data and reporting formats and other reportorial requirements shall be discussed during the inception workshop. As indicated in the previous section, USAID estimates a total of 10 field visits to be conducted.
5. First Draft Evaluation Report. The draft evaluation report will be a comprehensive report of all deliverables associated with the evaluation. It shall not exceed 30 pages with no more than five (5) pages of executive summary excluding annexes. The report shall follow the USAID's general guidance

on Preparing Evaluation Reports. The first draft of the evaluation report shall be submitted at the latest three (3) calendar months after contract commencement.

6. Debrief Summary Report and Draft Presentation Slides. The evaluators will provide a debriefing presentation to USAID Philippines consisting of: a) a 5-10 page summary of key findings, conclusions and recommendations and b) a PowerPoint presentation covering the above material. The draft debriefing presentation slides and the written summary will be submitted to the evaluation COR for review and comment the week before the scheduled debriefing date. These shall be finalized by the evaluators for approval by the evaluation COR. This briefing shall be held—at the latest —90 calendar days from contract commencement.
7. Final Report, Summary and Final Debriefing Presentation Slides. The final report in MS Word format will be submitted together with a separate summary in PDF format not exceeding 10 pages and debriefing presentation slides. The report, summary and presentation will be in English and submitted within five (5) days from receipt of USAID/Philippines' comments on the draft report. The final briefing of USAID shall be held at the latest two (2) weeks before the completion of the evaluation contract.
8. Dissemination of the Evaluation Report. The evaluators shall organize—at the latest two weeks before completion of the contract—a seminar with key Phil-Am Fund stakeholders to disseminate the evaluation findings.
9. Final publishable evaluation report. This report needs to be submitted to USAID/Philippines no later than March 31, 2019. Submission is inclusive of the following:
 - a. Five (5) hard copies
 - b. Five (5) USB flash drives containing:
 - Electronic copies of the report (in PDF and MS Word formats);
 - Supporting documentation inclusive of complete data collected;
 - Pictures and other visual materials; and
 - Presentation materials
10. Electronic Copy of the Evaluation Report and Collated Data. The approved evaluation report shall be uploaded to the DEC by the evaluators. Per ADS 579, all collated data shall be stored in electronic readable form and submitted to the Development Data Library.

VII. Evaluation Team Composition

An evaluation team shall carry out the final performance evaluation. It shall be composed of a senior evaluation specialist—who shall act as evaluation team leader—and two team members: one junior evaluation specialist and one technical associate.

The senior evaluation specialist/team leader should possess the following qualifications:

1. Proven experience in conducting high-quality and authoritative evaluations of development assistance/programs/projects. Experience in evaluating organizational capacity development and capacity development outcomes is a must. At most three evaluation publications, journal articles, reports, technical papers and similar documents under his/her senior authorship shall be submitted for review by USAID.
2. Adequate knowledge and skill on appropriate research methods for conducting performance and impact evaluation. S/he must be adept in both quantitative and qualitative analyses and in the use of appropriate software for data analysis.
3. Strong technical writing skills and familiarity with USAID technical and style guidance in report writing;
4. Familiarity with USAID's activity planning, implementation, monitoring and evaluation and the TOC approach for evaluation of project effectiveness is preferred.

5. At least a Master's degree in evaluation and measurement, organizational behavior and development, sociology, anthropology, public/business administration and/or relevant social sciences.
6. No involvement—past or present and in whatever capacity—in implementing the Phil-Am Fund activity.

Aside from the senior evaluation specialist, the evaluation team—whose member(s) should not have any past and present involvement with Phil-Am Fund—shall be composed of the following:

1. Junior evaluation specialist - S/He must have an educational background, training and work experience related to evaluation and measurement.
2. Technical Associate - S/He must have an educational background, training and work experience related to social science research and/or evaluation.

The evaluation team shall be supported by one administrative assistant who shall perform coordination, logistical and financial backstopping to the evaluation team. The evaluation COR shall review and approve the evaluation team composition.

The Offeror may recommend an alternative team composition or structure to better meet the requirements of this SOW.

VIII. Evaluation Schedule

The attached table shows the indicative tasks, level of effort and timelines for the evaluation. This shall be refined by the contractor when s/he submits the evaluation design and work plan cited in Section VI. The total level of effort of 87 work days for the team leader shall be spread for four months (from the date of contract awarding to submission of the final technical report). The indicative four-month duration of this evaluation contract covers November 2018 to March 2019.

IX. Final Report Format

The evaluation final report should include: an executive summary; introduction; background of the local context and the projects being evaluated; the main evaluation questions; the methodology or methodologies; the limitations to the evaluation; findings, conclusions and recommendations; and lessons learned (if applicable). The executive summary should be three to five pages in length and summarize the purpose, background of the project being evaluated, main evaluation questions, methods, findings, conclusions and recommendations and lessons learned (if applicable).

The evaluation methodology shall be explained in the report in detail. Limitations to the evaluation shall be disclosed in the report, with particular attention to the limitations associated with the evaluation methodology (e.g., selection bias, recall bias, unobservable differences between comparator groups, etc.)

The annexes to the report shall include:

- The evaluation SOW;
- Any statements of difference regarding significant unresolved differences of opinion by funders, implementers and/or members of the evaluation team;
- All tools used in conducting the evaluation such as questionnaires, checklists and discussion guides;
- Sources of information, properly identified and listed; and
- Disclosure of conflict of interest forms for all evaluation team members—either attesting to a lack of conflicts of interest or describing existing conflicts of interest.

All quantitative data collected by the evaluation team must be provided in an electronic file in easily readable format agreed upon with the COR. The data should be organized and documented for use by those who are not familiar with the project or the evaluation. USAID will retain ownership of the survey and all datasets developed.

USAID/Philippines will make the final evaluation reports publicly available through the Development Experience Clearinghouse within 90 calendar days of the official completion date of the evaluation contract.

X. Criteria to Ensure the Quality of the Evaluation Report

Per USAID Evaluation Policy, the draft and final evaluation reports will be evaluated against the following criteria to ensure the quality of the evaluation report:

- The evaluation report should represent a thoughtful, well-researched and well-organized effort to objectively evaluate what worked in the project, what did not and why.
- Evaluation reports shall address all evaluation questions included in the SOW.
- The evaluation report should include the SOW as an annex. USAID must approve in writing all modifications to the SOW— whether in technical requirements, evaluation questions, evaluation team composition, methodology or timeline
- The evaluation methodology shall be explained in detail. All tools used in conducting the evaluation—such as questionnaires, checklists and discussion guides—will be included in an annex in the final report.
- Evaluation findings will assess outcomes and impact on males and females.
- Limitations to the evaluation shall be disclosed in the report, with particular attention to the limitations associated with the evaluation methodology (selection bias, recall bias, unobservable differences between comparator groups, etc.).
- Evaluation findings should be presented as analyzed facts, evidence and data and not based on **anecdotes, hearsay or the compilation of people’s opinions**. Findings should be specific, concise and supported by strong quantitative or qualitative evidence.
- Sources of information need to be properly identified and listed in an annex.
- Recommendations need to be supported by a specific set of findings.
- Recommendations should be action-oriented, practical and specific, with defined responsibility for the action.

XI. Proposed Payment Schedule, Payment Terms and Delivers

Based on satisfactory completion and subject to acceptance of all work and services including the submission of required reports/deliverables, payment shall be as follows:

Description of Deliverables	% of Contract Price
Summary Report of Desk Review, Evaluation Approach/Design and Evaluation Implementation Plan	15
Briefing and Workshop to Review Evaluation Implementation Plan	15
Completion of Primary Data Gathering and Field Work	15
First Draft of Evaluation Report	15
Revision and Finalization of Evaluation Report; Completion of Briefings and Dissemination of Evaluation Findings	20
Final Evaluation Report	20

XII. Modification 1

Description of Deliverables	Amount
Submission of detailed draft program for the Learning Event for clearance by the evaluation COR	\$6,000.00

USAID/Philippines will process the above payment once the Facilitation Partner has submitted a letter requesting for payment/invoice and it has been signed by OEDG/PRM to signify that the required deliverable(s) have been completed as described above. Payment shall be made through electronic fund transfer (EFT).

ANNEX 2. EVALUATION DESIGN

I. Evaluation Approach

This evaluation approach will provide details on how the team will implement the assessment of the Phil-Am Fund. The approach is based on various documents including: the scope of work enumerated under the USAID request for proposal; the proposal submitted by the Southeast Asian Regional Center for Graduate Study and Research in Agriculture (SEARCA); agreements during the introductory meeting between SEARCA and USAID; and the desk review conducted by the evaluation team (Annex 1).

The overall aim of the evaluation is to assess the extent to which the Phil-Am Fund achieved USAID program on journey to self-reliance (formerly USAID Forward) overall objective of promoting sustainable development through high impact partnerships and local solutions and distilling lessons on engaging with local non-state actors.

The evaluation seeks to address the following evaluation questions:

1. What positive and negative major changes in organizational capacity and performance of the grantees emerged as a result of the Phil-Am interventions?
2. Which key interventions of the Phil-Am Fund influenced specific changes in organizational capacity and performance of the grantees as well as the realization of their specific project objectives?
3. What are the major **enabling or hindering factors to improving the grantee's organizational capacity and performance** and realization of specific project objectives?
4. Have the grantees achieved their specific project objectives (outputs and outcomes) as originally envisaged and targeted?
5. What key outputs and emerging outcomes of the Phil-Am activity contributed to the USAID Forward goals of promoting sustainable development through high-impact partnerships and local solutions?

Based on this, the objectives of the evaluation are organized into:

1. Validating the theory of change and impact pathway of the Phil-Am Fund and the consistency of interventions relative to such pathways;
2. Assessing the extent to which the capacity of local non-state organizations in developing and implementing **solutions to many of the country's development challenges have been strengthened**;
3. Assessing the degree to which the partner organizations achieved the specific activity objectives;
4. Drawing insights and lessons learned and provide specific recommendations on how to more effectively engage with local non-state actors.

II. Evaluation Design

Selection of CSO. As agreed with the USAID team during its December 17, 2018 meeting, the assessment team followed the weighted proportional random sampling design in identifying the civil society organizations (CSOs) to be included in the detailed evaluation. From these CSOs, 30 randomly selected project beneficiaries will be included in the survey. The sampling design for the CSOs took into account the number of projects in each of the five thematic areas of (1) anti-trafficking in persons, (2) education, (3) economic growth, (4) biodiversity and (5) governance as well as the geographic distribution of such projects in the three major island groups of Luzon, Visayas and Mindanao. The number of projects per island group by thematic area is presented in Table 1.

Table 1. Number of Sub-grants of the Phil-Am Fund Activity by thematic area and major island group

Thematic Area	Luzon	Visayas	Mindanao	Total
Anti-trafficking	1	3	2	6
Biodiversity	8	4	4	16
Economic Growth	92	1	4	7
Education	102	0	2	4
Governance	4	1	-	5
Total	17	9	12	38

Using weighted proportional sampling design, the number of sample CSOs by thematic area and major island group is presented in Table 2. The specific project titles are found in Annex 2.

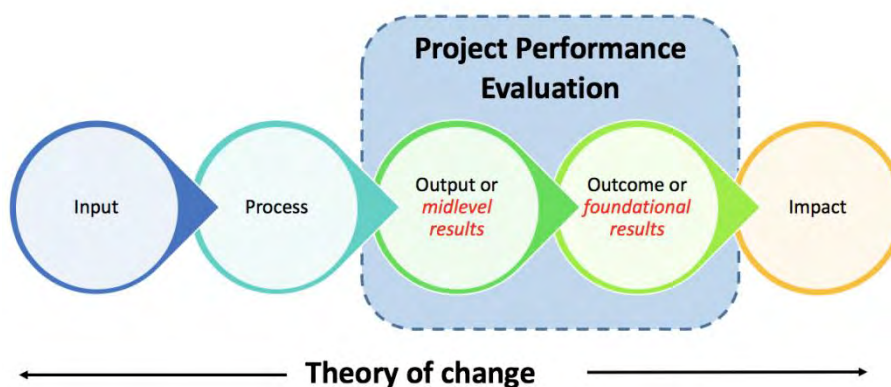
Table 2. Number of sample sub-grants to be included in the assessment survey

Thematic Area	Luzon	Visayas	Mindanao	Total
Anti-trafficking		1		1
Biodiversity	2	1	1	4
Economic Growth	1		1	2
Education	1*			1
Governance	1	1		1
Total	5	3	2	10

*national coverage, but CSO is based in Bulacan

III. Evaluation Approach and Methodology

The evaluation questions and the assessment objectives will be answered following the evaluation methodology and approach:



There will be two aspects of performance evaluation: Assessment of organizational capacity and assessment of organizational performance.

Organizational capacity refers to the capacity of the organization to sustainably operate effectively and efficiently, while organizational performance refers to how such capacity translated to the execution of certain tasks/deliverables. Organizational capacity and performance are viewed through the lens of organizational development (OD). In addition, the organizational performance was gauged by examining the CSO or sub grantee's degree of success in rolling out the project funded by the Phil-Am Fund.

Assessment of Organizational Capacity

The Non-U.S. Organization Pre-award Survey (NUPAS) will be the primary tool used in examining organizational capacity. This tool is ideal for the current evaluation since all the sub-grantees have a baseline and mid-term NUPAS, albeit a few have been included in the final NUPAS assessment carried out by GRF randomly. Moreover, the NUPAS is a comprehensive tool that covers six important dimensions of organizational capacity namely: (1) legal structure; (2) financial management and internal control system; (3) procurement system; (4) human resources system; (5) project performance management; and (6) sustainability.

The complete enumeration of the 38 CSOs will be done for the assessment of organizational capacity using the NUPAS. Eleven of which will be randomly selected for the facilitated NUPAS assessment while the remaining 27 will be chosen through mailed NUPAS questionnaires. Facilitated NUPAS assessment entails actual visits of the members of the evaluation team to the CSOs to personally administer the NUPAS questionnaires and conduct key informant interviews to validate other relevant information.

Assessment of Organizational Performance

The evaluation of each organization's achievement of specific activity objectives will be examined by:

- a. Validation of the Theory of Change (TOC) and Impact Pathway (IP) to guide the mapping of inputs, process, outputs, outcomes and impact
- b. Retrospective Documentation of the Process of Implementation which aims for a more comprehensive understanding of what interventions have been carried out; how such have been implemented; and the specific context and circumstances with which the project operated
- c. Assessment of:
 - i. relevance or the alignment of project interventions to the needs of the project beneficiaries, the objectives of the Phil-Am Fund and USAID Forward;
 - ii. effectiveness or the extent the project has achieved its objectives according to the results of program indicators;
 - iii. efficiency or how the project resources (inputs) led to the desired results (outcomes);
 - iv. sustainability or the likelihood that the benefits of the project will endure over time after the project is completed; and
 - v. learnings or knowledge, skills and lessons gained from project implementation

To obtain a “panoramic” review of the projects, results from the self-administered questionnaires will be analyzed. The analysis from this attempted to see the general pattern of changes. However, the input-process-output-outcome chains elicited from the case studies done on the 11 randomly chosen sub-grantees will be used to conclude on the how's and why's of the different organizations' operations that led to the changes.

The SEARCA team recognizes some respondent biases. There is a tendency for respondents to provide what **would be deemed 'acceptable' answers for various intents and purposes. The team proposes to address this risk** through triangulation techniques, by including KII tools for validation. Verifiable pieces of evidence like corporate documents will also be gathered from the CSOs.

To identify beneficiary respondents, the evaluation team will obtain the list of beneficiaries during the field visit. From there, the samples will be randomly drawn. A total of 30 respondents from each project will be surveyed, **except for the Children's Legal Bureau's (CLB) project titled “Empowering Communities and Building Partnerships for Anti-Trafficking in Persons (ATIP). The nature of CLB's beneficiaries being child human-trafficking victims makes it difficult to conduct the field survey.**

For the Key Informant Interviews, all 10 randomly chosen sub-grantees will be visited to conduct the interviews. Moreover, a KII with representatives from GRF will also be conducted before the start of field surveys and interviews. Questions for the KII are attached in Annex 4 of this report.

To add, a special case study will be made regarding Resources for the Blind, Inc., apart from the case studies of the initial 10 sub-grantees. The CSO scored low according to their recent NUPAS results and this has caused the termination of one of their grants. This implies that the organization did not improve in terms of capacity and performance—even with the aid of the Phil-Am Fund. The study will attempt to explore the link between inputs **and the organization's lack of improvement.**

The specific data gathering and analysis approaches are presented by thematic areas below.

1. Biodiversity Grant

Data Gathering. Primary data collection will be done through field survey involving 30 Bantay Gubat members, covering the improvement in awareness, commitment, dedication and capacity (qualitative using Likert Scale); and a facilitated assessment of organizational capacity using the NUPAS results to answer the five key evaluation questions. There will also be an actual field observation (Key Informant Interview) with questions on relevance, effectiveness and efficiency. Lastly, a Focus Group Discussion (FGD) with the Local Government Units (LGUs) and community members will be conducted.

Data Analysis. Mapping of the Inputs-Process-Output-Outcome including retrospective documentation will be done. There will also be a validation of the conservation financing system where there is a possibility of using the Contingent Valuation Method (CVM).

2. Anti-trafficking in Person Grant

Data Gathering. For primary data collection, 30 respondents will be surveyed covering: the awareness of the problem on human trafficking using the Likert scale; commitment and dedication of volunteers to help the program and the overall perception about the program; and a facilitated assessment of organizational capacity using the NUPAS results to answer the five key evaluation questions. KII with stakeholders will be conducted, e.g., commitment and dedication of council members, partnerships, reintegration system, prosecution process, policies and ordinances. There will also be questions on relevance, effectiveness and efficiency. FGD will be conducted for the LGUs and community members.

Data Analysis. Mapping of the Inputs-Process-Output-Outcome including retrospective documentation will be done.

3. Economic Growth

Data Gathering. Primary data collection will be done through a field survey of 30 salt farmers, covering the improvement in awareness, commitment, dedication and capacity (qualitative using Likert Scale); their financing adequacy (access to credit); and a facilitated assessment of organizational capacity using the NUPAS results to answer the five key evaluation questions. There will also be an actual field observation through KII among stakeholders with questions on relevance, effectiveness and efficiency. Lastly, an FGD with the LGUs and community members will be conducted.

Data Analysis. Similarly, mapping of the Inputs-Process-Output-Outcome including retrospective documentation will be done; and for further analysis, there will be a Technical Efficiency Analysis (average daily gain, feed conversion ratio, mortality, average egg production) and a Financial Efficiency Analysis (profitability, investment viability) along the value chain to include all enterprises in duck raising (e.g., hatchery, egg production, duck retailing, etc.).

4. Education

Data Gathering. For primary data collection, there will be a pre- and post-evaluation knowledge scores on a random sample of 30 teachers which will be done through mail. A survey (e-mailed questionnaires), SRS of 100 respondents will also be necessary to collect their feedback about the program. In addition, there will be a facilitated assessment of organizational capacity using the NUPAS results to answer the five key evaluation questions. To validate the cost of training per teacher, KIIs will be conducted. This will be used for stakeholders to determine policies on accreditation and viability of scaling-out, among others. There will be questions on relevance, effectiveness and efficiency. FGD with the LGUs and community members will be conducted as well.

Data Analysis. Mapping of the Inputs-Process-Output-Outcome including retrospective documentation will be done.

5. Governance

Data Gathering. In primary data collection, 30 respondents will be surveyed— covering the perception on transparency, accountability, level of trust in government through Likert scale and perceived **effectiveness of People's Councils (PCs) in representing the marginalized sectors. A facilitated** assessment of organizational capacity using the NUPAS results to answer the five key evaluation questions. KII with stakeholders will be conducted, e.g., PCs commitment, dedication, performance and institutional conflicts; and there will be questions on relevance, effectiveness and efficiency. FGD with the PCs, LGUs and community members will be conducted as well.

Data Analysis. Mapping of the Inputs-Process-Output-Outcome including retrospective documentation will be done.

References:

John Snow, Inc. 2012. Organizational Capacity Tool: Facilitator's Copy. Retrieved from <https://www.usaid.gov/sites/default/files/documents/1864/OCA%20Tool%20Generic%20Version%20Facilitators%20Copy.pdf> on January 28, 2019.

McKinsey & Company. 2013. The Organizational Capacity Assessment Tool (OCAT):2.0. Retrieved from https://www.mckinsey.com/-/media/mckinsey/industries/social%20sector/working%20with%20us/how%20we%20help%20clients/organizational%20capacity%20assessment%20tool/ocat_brochure_v6.ashx on January 28, 2019.

ANNEX 3. OVERVIEW OF THE PHIL-AM FUND

The Phil-Am Fund was a USAID grant-making activity put into effect in the Philippines from 2013 to 2018 to support locally-led development in the country. It was developed in line with the goals of USAID Forward and the Partnership for Growth (PFG). The former was the forerunner of the USAID Journey to Self-Reliance and aimed at creating conditions where USAID assistance will no longer be needed in addressing local development challenges. This was to be achieved through the strengthening of local capacity covering the whole intervention spectrum from the sourcing of funds to the identification, evaluation and implementation of local solutions. On the other hand, the former is a bilateral agreement to which the U.S. government and the Philippines can work together to improve economic growth and development in the Philippines.

One important mechanism of the Phil-Am Fund was that the grant-making activity was administered by a local organization in behalf of the USAID. This was an important step toward achieving the goals of USAID Forward and the Journey to Self-Reliance. The grant administrator was the Gerry Roxas Foundation (GRF) which, as the primary grantee, managed the call for proposals, review, approval and the monitoring and evaluation of the various projects. More important, the provision of the grant was coupled with capacity building of the sub-grantees—mainly the civil society organizations (CSOs) which successfully accessed the grant facility. The GRF teamed up with the Sycip Gorres and Velayo (SGV), a well-known consulting firm in the Philippines, for the capacity building component of the Phil-Am Fund.

The Phil-Am Fund has awarded 38 grants to NGOs to implement community-based projects that promote economic growth (7), biodiversity conservation (15), governance (5), anti-trafficking in persons (6) and education (5).

1.0 Activities Carried Out by Phil-Am Fund

The grant-making activity has the following components:

Solicitation, Review and Approval of Proposals

The first step in the grant-making activity as administered by the GRF was the solicitation of proposals. This was done mainly through regional launches/conferences where participants were made aware of the grant facility and the guidelines for accessing the grants. CSOs were also invited through solicitation advertisements **in nationwide and regional newspapers. Likewise, email invites were sent to GRF's network of organizations.**

Interested applicants first submitted concept papers indicating the primary goals of their proposed projects. These papers were reviewed by the GRF and those considered worth pursuing were requested to submit full-blown proposals. Out of 400 concept papers, 211 were chosen to submit full-blown proposals. The proponents (CSOs) whose full-blown proposals passed the GRF desk review were then subjected to field validation. The GRF technical team discussed the results of field validation and voted on which proposals were to be recommended to the USAID. A one-page summary was prepared for each recommended proposal and submitted to USAID Grants Management Board (GRB). The GRB reviewed the proposals and provided comments/suggestions.

The GRF then met with the sub-grantees/CSOs **to discuss GRB's comments on their proposal and negotiated on the conduct of GRB's suggested activities.** The sub-grantee then revised the proposal to incorporate the comments/suggestions of the GRB. The final proposal is endorsed by the GRF to the USAID-GRB. Once finally approved, the GRF prepared the contract and released the grant.

Conduct of NUPAS

The Non-U.S. Organization Pre-award Survey (NUPAS) for the CSOs were conducted by SGV. This was done after GRF conducted field validation activities and deliberated on which projects to recommend to GRB. The NUPAS results did not affect the selection of proposals. It was just a tool used to determine financial modality

for the selected CSOs. Those with passing NUPAS results qualified for Cash Advance mode of financing while those which failed were through the reimbursement mode.

The results of the NUPAS were also used by the GRF to gauge the risk of granting funds to the CSOs. While majority of the CSOs failed the NUPAS the GRF still proceeded in approving the projects. This was because part of the Phil-Am Fund mechanism was to capacitate the CSOs. The GRF believed that with such capacitation (through training and coaching by GRF and SGV) the CSO will eventually pass the NUPAS.

The initial NUPAS was administered by SGV for all CSOs. For CSOs which failed the NUPAS, a mid-term NUPAS was again administered by the SGV. The final NUPAS was administered by the GRF to randomly selected samples of CSOs.

Training and Mentoring

The training and mentoring activities carried out by the GRF and SGV in the course of project implementation were targeted for CSOs to be able to implement their corrective action plans (CAP) based on the findings of the NUPAS and the variances in accomplishments identified during project monitoring and evaluation (M&E).

The NUPAS is a comprehensive assessment tool. It enabled the identification of specific gaps in organizational capacity and performance which the GRF and SGV used to execute well-targeted interventions. The tool covers six important dimensions of organizational capacity namely: (1) legal structure; (2) financial management and internal control system; (3) procurement system; (4) human resources system; (5) project performance management; and (6) sustainability.

During field visits, the GRF and SGV conducted orientation workshops and coached the CSOs on how to address the identified gaps. For CSOs with very weak NUPAS scores, the workshops and coaching activities proved to be of crucial importance. As mentioned, those that failed the NUPAS had to implement their projects under reimbursement mode. This means the CSOs had to use their own funds in financing a given project activity and their expenses would be reimbursed only after such activity had been field validated by the GRF. An example of an SGV-conducted workshop was on Good Governance for Civil Society Organization which emphasized integrity, transparency, efficiency and how to manage risks, among others.

During the start-up activities, the difficulties in project implementation encountered by the CSOs were mostly on addressing the NUPAS findings and implementing their CAP. Many CSOs under reimbursement mode could not even finance their start-up activities due to lack of funds. In response, the GRF had to release some funds to cover the costs associated with the implementation of the CAP.

Monitoring and Evaluation

When grant awards have been made and project implementation commenced, the GRF implemented a monitoring system that kept track, in real-time, of the progress of implementation and corresponding disbursements. A monitoring template was used which tracked the technical, financial and organizational progress of the project. SGV provided advisory services in setting up the USAID/Phil-Am Fund financial management system. Specifically, SGV reviewed operational and financial policies across the operating and support units of the grant facility particularly the design of internal controls.

The GRF staff conducted frequent field visits of ongoing projects to examine the accomplishments of the CSOs against the agreed deliverables and to formulate with the CSOs the corrective action plan (CAP) to address variances. An online accounting/auditing system called AuditPal was used by the grantees which enabled the GRF to track all financial transactions in real-time.

2.0 The Sub-Grantees and their Accomplishments

The Phil-Am Fund provided a total of 38 grants that were carried out by 38 CSOs covering five thematic development areas. These consisted of 15 projects promoting biodiversity conservation, seven (7) in enterprise development, six (6) in anti-trafficking in persons, five (5) in governance and four (5) in education.

The number of sub-grants per thematic area and island group is summarized in Table 1. The promotion of biodiversity conservation received the highest number of sub-grants where majority is implemented in Luzon. This is followed by enterprise development where majority is in the Mindanao region. Out of the 38 sub-grants, about half were implemented in Luzon.

Table 1. Number of projects supported per thematic area and island group

Thematic Area	Number of Projects			Total
	Luzon	Visayas	Mindanao	
Biodiversity conservation	8	3	4	15
Economic growth	2	1	4	7
Counter trafficking in persons	1	3	2	6
Education	2	0	3	5
Governance	4	1	0	5

Source: Phil-AM Fund Progress Reports, 2018

The Biodiversity Grants supported initiatives for the conservation and management of natural resources to strengthen environmental resiliency and sustain inclusive economic growth. There were 16 biodiversity-themed projects funded under the Phil-Am Fund Activity: 16 in Luzon and four each in the Visayas and Mindanao. Ten of these projects addressed issues in the terrestrial ecosystems while six were on aquatic ecosystems, particularly marine. These issues pertain to biodiversity conservation, natural resources management, habitat restoration and protection.

In summary, the projects covered 462,000 hectares in 22 key biodiversity areas that included Mt. Apo, Sierra Madre, Mt. Nacolod, Mt. Kanlaon Natural Park, Northern Negros Natural Park and Balinsasayao Twin Lakes Natural Park, Verde Island, Naujan Lake, Siargao Island and Ligawasan Marsh, among others. Common in these projects is stakeholder engagement, particularly community involvement and alternative livelihoods to ease pressure from the environment. The community and stakeholder engagement approach was able to form, strengthen and mobilize locals groups—most particularly the indigenous peoples—into environmental wardens (Bantay Gubat, Bantay Dagat, forest patrollers, Bantay Pawikan, Bantay Pawas, etc). These groups were tapped not only as stewards but also as advocates and citizen scientists as they were trained to conduct biodiversity and habitat monitoring surveys. These surveys have led to discoveries of new species of flora (mistletoe and orchid) and fauna (hornbills, monitor lizard). Community engagement also means tapping into indigenous knowledge systems and practices to ensure co-ownership and sustainability. These outputs were invariably used as inputs to local planning for local biodiversity conservation and protection.

Recognizing that the local communities also depend on the natural resources for their livelihoods, the projects also provided alternative sources of income or trainings on sustainable resource use such as honey bee culture, vegetable farming and almaciga resin tapping, among others.

The total cost of the project amounted to over PHP200 million. The project by FCU was pre terminated in January 2016 due to the difficulty of the CSO to address the special award condition due to the result of the NUPAS, particularly pertaining to the submission of the corrective action plan. The complete profile of the projects is shown in Table 2.

Table 2. Profile of sub-grants of the Phil-Am Fund activity for biodiversity

	Sub-Grantee CSO	Title of Project	Grant Amount (PHP)
1.	MFI-Mabuwaya Foundation, Inc.	Northern Sierra Madre Natural Park Ating Buhay-Ilang, Ating Gubat, Ating Buhay (Our Wildlife, Our Forest, Our Home) Project	11,437,095
2.	HFI – Haribon Foundation, Inc	Strengthening Capacity of Local Conservation Actors in Managing the Sub-watersheds of Naujan Lake National Park Project	12,703,044
3.	C3PH – Community Centered Conservation Phils., Inc	Protecting the Dugongs and Busuanga's Marine Habitats Project	6,451,337
4.	C3MC – Candis Marketing Cooperative	Biodiversity Conservation in Puerto Princesa's Northwest Area and its Attached Interconnected Ecosystems Project	19,627,789
5.	ISO – Institute of Social Order	Promoting Participatory Island Development Strategy for Culion, Palawan Project	12,821,255
6.	NATRIPAL – Nagkakaisang Tribu ng Palawan, Inc	Strengthening the Role of Indigenous People in Biodiversity Conservation and Environmental Governance Project	12,442,460
7.	PATH – PATH Foundation Phils, Inc	SEAnergy Project	18,835,913
8.	TKI – Tanggol Kalikasan, Inc.	Reducing Threats and Improving Sustainable Management of Biodiversity in Tayabas and Pagbilao Bay Project	13,133,240
9.	SWCFI – Soil and Water Conservation Foundation, Inc.	Strengthening Governance, Biodiversity Conservation and Protection and information system in Central Cebu Protected Landscape Project	12,077,562
10.	PBCFI – Phil. Biodiversity Conservation, Inc	Mainstreaming Biodiversity Conservation in the Negros Island Regional Development Agenda Project	11,627,400
11.	SPIADFI – South Pacific Integrated Area Development Foundation, Inc.	Securing Biodiversity in High Conservation Value Areas in the Mt. Nacolod Landscape Project	10,196,163
12.	FCU-Filamer Christian University	Protecting Resources by Organizing Teams for Environmental Conservation and Transformation - preterminated	Total - 9,804,039 Actual - 576,978
13.	PEF -Philippine Eagle Foundation	Enhancing Biodiversity Conservation within the Unprotected Region of the Mt. Apo Key Biodiversity Area (KBA) Project	16,627,125
14.	SEDMFI – Surigao Economic Development and Microfinance Foundation, Inc.	Improved Management of the Siargao Islands Protected Landscapes and Seascapes (SIPLAS) Key Biodiversity Conservation Areas for Sustainable Communities Project	9,845,909
15.	TLDFI – Tribal Leaders' Development Foundation, Inc.	Sustaining a Viable Environment in the Allah Valley Watershed Forest Reserve (SAVE Allah Valley) Project	17,816,275
16.	MDFI – Maguindanaon Development Foundation, Inc.	Improved Biodiversity Conservation Through Effective Local Governance	15,175,515
	TOTAL		201,395,060

Economic Growth Grants targeted the development of various enterprises and feasible business start-ups for sustainable generation of jobs in the community. Seven projects were funded under this category. Depending on the interventions made, the accomplishments range from a number of generated employment, participants trained, enterprises established and incubatees, among others. The important highlights include the assisted development of more than 700 microenterprises, the development of a technology for sugarcane derived fabric and the establishment of the first salt processing plant in Mindoro.

The total cost of the project amounted to over PHP300 million. The complete profile of the projects—including project title, amount of grant received and the development issues addressed—is found in Table 3.

Table 3. Profile of Sub-grants of the Phil-Am Fund activity for economic growth

Sub-Grantee CSO	Project Title	Amount of Grant Received	Economic Growth-Related Development Problems Addressed
1. Roxas Foundation, Inc. (RFI)	Turning a New Leaf: Threads and Weaving from Sugarcane Project	PHP14,250,910	The sub-grant was able to improve the technologies in the processing of sugarcane by-products. They were able to produce improved quality yarns and more products such as bags, pouches, placemats, fans, runners, roman shades, accessory holders and clothes. RFI enhanced the skills and capacity of its beneficiaries in textile production through the experience in their TESDA-accredited training centers. Lastly, the project had generated income for the participants through the sale of finished products.
2. Tamaraw Salt Producers Cooperative (TAMACO)	Poverty alleviation through intensification of salt farms productivity and capacity building project	PHP28,060,072	The Tamaraw Salt Producers Cooperative (TAMACO) is the sole cooperative in the country for salt producers. Organized in 2010, the cooperative has sought to improve the enabling environment for the salt industry in Occidental Mindoro.
3. Philippine Agrarian Reform Foundation for National Development (PARFUND)	Duck Enterprise for Employment Generation and Growth (DUCK EGG) in Mindanao	PHP19,754,832	The project generates employment by enhancing the performance of the duck industry through: (a) development of enterprises along the duck industry value-chain; and (b) enhancing the capacities of interested entrepreneurs in business development, management and marketing.
4. PinoyME Foundation Inc.	Reducing Rural Poverty through Agroentrepreneurship	PHP19,998,530	The project builds on a successful model of production clustering where farmers can consolidate bigger volumes, penetrate the value chain and sell products directly to bigger markets. It hopes to sustain marketing efforts so that farmers can earn larger revenues from their products and penetrate the mainstream market, instead of serving as mere suppliers of unscrupulous traders.
5. Tuason Development Foundation, Inc. (TDFI)	Davao Gulf Business Incubator Facility for Start-up Business Project	PHP13,123,495	The project was implemented for a period of three years to harness the creativity, energy and potential of micro, small and medium enterprises (MSMEs) in Davao by offering them a self-sustaining facility for start-ups and struggling entrepreneurs through the Davao Gulf Business Incubator.
6. Pagtambayayon	Economic Recovery	PHP9,523,230	The project aims to improve the quality

g Foundation, Inc. (PFI)	and Growth for Small Farmers in the Typhoon Yolanda-Affected Areas of North Cebu Project	of life of 2,000 farmers in Yolanda-affected areas through the implementation of Organic Natural Farming Technologies. The target project locations are barangays in the City of Bogo, Municipality of Medellin and Municipality of Daanbantayan.
7. Cagayan de Oro Chamber of Commerce and Industry Foundation	Program Support for the Chamber's Promotion of "Inclusive Growth Through Inclusive Business"	The project aimed to pilot inclusive business models for inclusive economic growth by engaging marginalized sectors like indigenous communities of subsistence farmers to engage private companies "in the Core Business of their Business" —the most common example in agriculture being out grower programs between farmer groups and corporations.

Governance Grants intended to strengthen the work of civil society organizations in promoting public sector accountability and transparency. By mobilizing private sector and public support, the CSOs can help install political reforms in the community. The Fund also encouraged more responsible business behavior to promote corporate integrity. The accomplishments of five sub-grants range from establishment of chapters and **improvement of practices through trainings and LGU's practicing participatory planning and budgeting covering 31 municipalities** (Table 4).

The Phil-Am Fund supported five governance-related projects with a total grant amount of almost PHP70 million. The largest grant amounting to more than 20 million pesos was given to the Jaime V. Ongpin Foundation, Inc. (JVOFI) to implement the project intended to protect and defend the Amburayan River Basin and Watershed through good governance and active participation of indigenous people. The next largest grant was provided to the Young Public Servants (YPS) which implemented a project designed to enhance the political participation among Filipino youth. The Antique federation of NGOs (AFON) was given a grant of close to 16 million pesos for the implementation of a people-led monitoring and evaluation project, while the Institute of Corporate Directors (ICD) received a grant of close to PHP12 million to administer the ASEAN Corporate Scorecard (ACGS) for Philippine public listed companies (PLCs). The smallest grant of close to 6 million pesos was given to the **Naga City People's Council to advance and institute greater accountability and transparency by expanding civic engagement in Metro Naga.**

Table 4. Profile of sub-grants of the Phil-Am Fund activity for biodiversity

Sub-Grantee CSO	Title of Project	Grant Amount (PHP)
1. Institute of Corporate Directors (ICD)	ASEAN Corporate Governance Scorecard (ACGS) for Philippine Publicly Listed Companies (PLCs)	11,686,564
2. Jaime V. Ongpin Foundation, Inc. (JVOFI)	Protecting and Defending the Amburayan River Basin and Watershed through Good Governance and Active Indigenous People's Participation	20,262,315
3. Naga City People's Council (NCPC)	Advancing and Instituting Greater Accountability and Transparency through Expanded Civic Engagement in Metro Naga	5,922,935
4. Young Public Servants (YPS)	Democratic citizenship and good governance for change: Enhanced political participation among the Filipino youth project	16,079,546
5. Antique Federation of NGOs (AFON)	People-led monitoring and evaluation system (PLMES) project	15,813,583
TOTAL		69,764,943

Anti-Trafficking in Persons Grants aimed to improve the capacity of the Philippines to combat trafficking in person. **It supported any activities across the three pillars of USAID's counter-trafficking strategies** which include

(a) prosecution, (b) prevention and (c) victim protection. Collectively, the six (6) sub-grants increased the awareness of 66,054 people through mass media campaigns while 912 received services.

The sub-grantees for awareness building are Balay Alternative Legal Advocates for Development in Mindanaw, Inc. (BALAOD) and Tambayan Center for Children’s Rights, Inc. (Tambayan). Recovery and healing programs were implemented by Bidlisiw Foundation (Bidlisiw), Fellowship for Organizing Endeavors (FORGE) and People’s Recovery Empowerment and Development Assistance Foundation, Inc. (PREDA) while the provision of assistance in prosecuting and seeking justice for ATIP victims was handled by Children’s Legal Bureau (CLB).

The trafficking in persons (TIP) is reported in many places, specifically in metropolitan areas where seaports and gateways to tourist destinations exist. This problem is caused by ignorance of many as well as poverty and the deterioration of moral values typically among the poor. Hence, BALAOD’s goal is to support the prevention of TIP through the provision of legal awareness about laws on human trafficking to high school students and other stakeholders. On the other hand, Tambayan’s goal is to raise awareness and strengthen mechanisms for prevention, protection and provision of support to TIP victims through the formation of interagency council against trafficking.

Bidlisiw aimed to prevent TIP among children and young adults through prevention education and provision of healing, recovery and reintegration services for TIP survivors and their families while FORGE’s goal is to empower the grassroots and local communities to work toward prevention of child trafficking. PREDA sought to ensure that the trafficked victims, particularly children, are healed and empowered to seek justice and rebuild their lives. CLB’s project aimed to protect children and vulnerable groups from trafficking and other forms of exploitation, create a mechanism to improve enforcement anti-trafficking laws and policies and assist in the prosecution of anti-trafficking cases.

The profile of sub-grants is presented in Table 5.

Table 5. Profile of Sub-grants of the Phil-Am Fund activity for ATIP

CSO	Project Title	Grant Amount	Duration
1. BALAOD	The Human Awareness Initiative: Integrating Human Rights Framework in Educating High School Students on Anti-Human Trafficking Project	10,544,560	Jul 01, 2016- Aug 31, 2018
2. Tambayan	Counter Trafficking in Persons by Sharing Information, Advocacy, Training, Education and Responsive Local Governance (COUNTER/TIPSTER) Project		Aug 05, 2015 - Mar 31, 2018
3. Bidlisiw	Withdrawing and Preventing Children and Young People from Trafficking and Commercial Sexual Exploitation in a Post-Disaster (Typhoon Yolanda) Area Project	14,461,246	Aug 06, 2015 - May 17, 2018
4. FORGE	Anti-Child Trafficking Initiatives at Source Communities in Cebu Province (ACT@Source)		Jul 01, 2016 - Sept 30, 2018
5. PREDA	Rescuing Girls and Boys from Trafficking and Providing Healing, Education and Legal Assistance to Victims Project	17, 603,576	Jun 10, 2014 - Dec 31, 2017
6. CLB	Empowering Communities and Building Partnerships for Anti-trafficking in Persons Project	13,399,727	Jul 09, 2014 - Jun 30, 2018

The sub-grantees' project sites are spread across parts of Northern and Southern Mindanao, Northern Iloilo, Cebu and Olongapo City as shown below:

BALAOOD	Cagayan de Oro City, El Salvador City and in the municipalities of Opol and Alubijid.
Tambayan	Davao City, Digos City and General Santos City
Bidlisiw	Iloilo Province: Barotac Viejo, Ajuy, Sara, San Dionisio, Batad, Balasan, Carles, Concepcion and Estancia. These areas are also known as the "Yolanda Hi-way", since they were the most affected by Typhoon Yolanda (Haiyan) in November 2013.
FORGE	Metro Cebu, 3 urban barangays and 1 island barangay (Brgy. Paknaan in Mandaue City, Brgy. Pasil in Cebu City, Brgy. Basak and Brgy. Sta. Rosa in Lapu-Lapu City). In rural area, 4 barangays of Poblacion, San Remigio and Poblacion, Santa Fe in Northern Cebu; and Tangbo, Samboan and Bunlan, Santander in Southern Cebu.
PREDA	Olongapo City
CLB	Cebu: Cordova, Talisay City and Bogu City

BALAOOD's information dissemination campaign was implemented through educational awareness caravans and massive campaigns utilizing photo exhibit, contest and concert. The awareness caravan reached 34 schools, raising awareness to 11,063 students on the issue and exposed 2,585 individuals to the relevant information and encouraged the further dissemination of information either through face-to-face or social media communication. As a result, 20 out of 34 schools improved their response mechanisms in their Child Protection Policy to address abuse and exploitation of children. Around 15 barangays and 17 schools agreed to create joint actions to counter trafficking in persons and allowed schools to participate and exercise their involvement in the plans and actions of the Barangay Council for the Protection of Children (BCPC). There were 68 students, 34 teachers and 66 out-of-school youth leaders who were trained as paralegals to assist in the community in implementing their various actions against trafficking in persons, while eight (8) representatives from CSOs received further training. Three policies related to anti-trafficking in persons were passed by Cagayan de Oro City LGU. Orientation sessions on counter-trafficking in persons were also extended to at least 9,000 parents resulting in support from the general parents-teachers association (GPTA) in the formulation of school mechanisms to counter-trafficking.

Tambayan's information dissemination project resulted to increase in awareness of 9,065 identified vulnerable individuals and indirectly in about 130,000 individuals; and strengthening of preventive, protective and providential mechanisms against trafficking in persons through formation by the Inter-Agency Council Against Trafficking (IACAT) of the Barangay Anti-trafficking Task Force (BAT-TF) and the Local Council Against Trafficking and Violence Against Women (LCAT-VAWC) at the city or municipal level. The project facilitated the organization of the Davao Gulf Anti-Trafficking (DaGAT) Consortium through the execution of a Memorandum of Understanding between the Tambayan, Luna Legal Resource Center for Women and Children, Inc. (LUNA) and Family Planning Organization of the Philippines (FPOP) – SOCCSKSARGEN Chapter. The consortium **harnessed Tambayan's 20-year experience in managing development projects and providing psychosocial services, LUNA's network of social-oriented lawyers and FPOP's experience in social development work.** Working as a consortium allowed Tambayan to focus on project governance with LUNA and FPOP addressing the project implementation in Davao del Sur and Sarangani respectively. Overall, the project strengthened mechanisms for prevention, protection and provision of support to TIP; standardized the referral and case recording systems of the partner LGUs; and developed an internet-based Monitoring and Information System (MIS). The developed MIS tracking of the status of each victim has an offline option that protects the identity and actual location of the victim.

Bidlisiw's recovery and healing project reached a total of 1,110 Commercially Sexually-Exploited Children. Of these, 30 became advocates by pointing out the locations where human trafficking take place and referring friends who were vulnerable to trafficking. One hundred sixty (160) children and young people completed the four-month therapeutic sessions. Seventy percent or 112 of them pursued alternative — decent activities — which eventually led to their withdrawal from commercial sexual exploitation and recovery from their trafficking experiences. Sixteen percent or 26 victim-survivors have manifested behavioral changes while 14 percent are still engaged in the same trade. One hundred seventy-two (172) family members of these children and young adults have undergone Family Development Work-up for a minimum of one year, where issues affecting the

family are discussed and resolved together with their parents. This helped improve the families' capacities in acting on the issues affecting their families with the guidance of the Family Development Staff.

Port help desks, with support from the Local or Municipal Council Against Trafficking (L/MCAT), were established in the municipalities of Estancia, Ajuy, Carles and Concepcion as local protection mechanisms. The L/MCATs approved the appointment of personnel to man the help desks. They also approved the setup of billboards with information about anti-trafficking in persons and the flowchart in handling cases of trafficking in persons at the ports. With support from the project and the L/MCATs, the municipalities of Batad, Balasan, Carles, Concepcion and Estancia drafted a two-year strategic plan for the prevention and protection of victims of trafficking. Community-based protection mechanisms were also organized through the formation of Community Watch Groups (CWGs). Eighty-two (82) members of CWGs were actively helping in disseminating information about trafficking in persons and other child protection issues in their respective communities. With fund assistance from the Municipal Social Welfare and Development Office (MSWDO), they also assisted in accessing services for victims of trafficking in persons and other abuses. From August 2017 to March 2018, help desk volunteers from Concepcion, Iloilo referred 11 cases of Violence Against Women and Children (VAWC) and one case of trafficking to their MSWDO. This partnership between the MSWDO and the CWGs was finalized during the closeout workshop conducted by Bidlisiv for this project.

FORGE's project established eight community volunteer groups and eight youth groups in its target barangays which were mobilized to engage with barangay officials in addressing issues and concerns on children's safety and welfare. The 293 Community Child Protection Volunteers (CCPV) and 387 Kabataan Batok sa Trapiking ug Abuso (KABATA) or Youth Against Trafficking and Abuse, were trained on children's rights, gender sensitivity, ATIP laws, the Local Governance Code and other related child protection laws. This helped develop their skills in basic counselling, leadership, facilitation and advocacy planning to improve their community engagements. CCPV and KABATA members were integrated into local special bodies in the eight target barangays of three major cities and four municipalities in Cebu to lobby issues and concerns on women and children, particularly on human trafficking.

Some 2,400 people participated in local events such as Women's Month, World Day Against Trafficking and Children's Month. Some 300 individuals joined motorcade for the World Day Against Trafficking (WDAT) Summit. On September 21, 2018, the Consortium composed of FORGE, CLB and Bidlisiv organized the Blue Heart Campaign: The Survivors' Journey, a concept musical that showcased the journey of CSEC and TIP survivors in celebration of the National Family Week. The event gathered 685 seated audience and hundreds of mallgoers who listened to the survivors' stories of triumph through creative song and dance presentations and monologues. The event was also a chance to raise the public's awareness about the current situation of TIP in Cebu and how to detect and report cases of trafficking particularly CSEC and OSEC.

The project contributed to the reactivation, reorganization and strengthening of the BCPC of eight target barangays ensuring sustained delivery of basic services for children and the passage of barangay resolutions and ordinances responsive in promoting child survival, protection, participation and development. USAID supported the capacity building of 477 BCPC members to enhance their knowledge, skills and attitudes in fulfilling their duties and responsibilities in providing child welfare and protection services in their respective barangays. After undergoing basic counselling and paralegal training sessions, participants realized their crucial role as first responders to handle TIP and other child abuse cases. Those who underwent training included selected CCPV and KABATA members, barangay officials, barangay staff, barangay peace and security officers (BPSO) or tanods, barangay health workers, (BHW), teachers and principals. The training sessions also included representatives from law enforcers and service providers from the Philippine National Police (PNP), Philippine Coast Guard (PCG), social workers and personnel from the Department of Social Welfare and Development (DSWD), staff from the Department of Tourism (DoT), Department of Interior and Local Government (DILG) and other local government offices in the target cities and municipalities.

To affect changes in system and policies, eight drafts were penned by BCPC members themselves to develop their respective referral and reporting pathways for local response to TIP and child abuse cases for proper coordination and cooperation of different law enforcement agencies and duty-bearers in responding to reported cases in the barangay. This led to the establishment of the Gender and Development (GAD) Focal Officer in

Barangay Sta. Rosa, Lapu-Lapu City. The four target rural barangays (Barangay Tangbo, Samboan; Barangay Bunlan, Santander; Poblacion, San Remigio; and Poblacion, Santa Fe) also appointed individuals to become their respective Violence Against Women and Children (VAWC) officers starting in 2019.

The project provided psychosocial support for 50 children survivors of CSE and provided full funding for **FORGE Boys' Home**, the first shelter facility in Cebu City catering to CSE boys survivors. In its first year of being operational—from October 2017 to September 2018—11 teenaged boys were given a chance for a better life starting with meeting their basic needs: food, shelter, education, medical and health services. To facilitate their recovery and healing, they were also provided with psychosocial interventions through one-on-one dialogues, counselling and therapeutic sessions, group dynamics activities, study sessions and art therapy. **FORGE tried to extend the boys' shelter through other funding support but was unsuccessful, as the global funding for child protection services is changing focus from center-based operations to community-based interventions.** At the closing of **FORGE Boys' Home, seven boys were referred to the recently opened PREDA Foundation Home** for continued shelter interventions.

From 2016 to September 2018, USAID provided supplemental support for the psychosocial interventions of 39 teenage girls in **FORGE Teen Dreamers Home for Girls**, a shelter for CSE girls survivors funded by Terre des Hommes - Netherlands. Like the boys, the girls also underwent appropriate psychosocial activities to support their journey toward healing and recovery. In preparation for **FORGE's shift to community-based operations**, in July 2018 some of the girls were also referred to other shelters in Cebu while the others were reintegrated into their families. Social workers at their home cities and municipalities will take charge of aftercare follow-up and services.

In terms of prevention, PREDA implemented a community-based preventive education program orienting **parents, teachers, local social workers, village officials and temporary residence personnel on children's rights** and motivate them to take action on behalf of children. PREDA reached a total of 18,103 individuals at the end of the project with parents comprising the bulk of the attendees who were taught about child abuse prevention and responsible parenting. Village officials and local social workers were oriented on their accountability in responding to child abuse cases. School personnel, hoteliers and residential staff were also briefed on responding to child abuse cases in their respective communities. These activities led to an increased number of **clients referred to PREDA's therapeutic homes. From the 2015 baseline, the homes admitted an average of 47 victims—a 40 percent increase in 2016 and 2017.**

Its therapeutic homes in Olongapo provide shelter support services and help victims restore emotional health through programs developed by in-house therapists and social workers. It also provides emotional release therapy sessions which victims have acknowledged as instrumental to their recovery from emotional distress. A total of 171 abused victims (92 percent them were girls) were assisted by PREDA through its therapeutic homes. It provides the victims medical assistance, counseling sessions, formal and non-formal education, skills training and psychological and family therapy. Sports and other recreational activities are also conducted in the homes to ensure that children-victims enjoy their childhood while in the center. Of the total, 115 victims (95 percent of them were girls) were admitted to the center during the life of the project. A total of 86 victim-survivors were also **reintegrated into their families with PREDA's assistance. Children assisted by the center are also enrolled in schools and provided with school supplies even after reintegration.**

During the last year of the project, PREDA **also launched the Victoria Children's Home, an expanded center for abused girls that can physically accommodate more than 80 children.** The home was built using donations from various individual and institutional donors of PREDA and is a **symbol of PREDA's continuous commitment to uphold and protect the rights of the most vulnerable children.**

In prosecuting traffickers, 128 children from the total number of victims decided to file charges against their abusers. As of project end, 31 cases were promulgated resulting in the conviction of 10 perpetrators. One case is **still awaiting the final court decision. There are also 18 cases under the prosecutor's investigation and 80 cases are undergoing court proceedings.** However, 18 cases were dismissed due to recantation by victims, death of suspects/respondents and/or probationary dismissal of other abuse cases.

Regarding prosecution, CLB's project facilitated the establishment of Local Councils Against Trafficking (LCAT) in the three target areas of Cordova, Talisay City and Bogu City. LCAT organized a Multi-Disciplinary Team (MDT), composed of agencies directly handling the victims of TIP such as the Department of Social Welfare and Development (DSWD) and the Philippine National Police (PNP).

At the barangay level, 41 Barangay Councils for the Protection of Children (BCPCs) were strengthened and an ATIP Committee or Barangay Council Against Trafficking (BCAT) was organized under each BCPC. A total of 570 volunteers from 41 barangays were also organized into Community Watch Groups (CWGs) tasked to report and monitor cases of TIP and possible cases of TIP. From the BCPC and CWGs, paralegals and para-social workers were trained to assist the victims in the process—from case filing to reintegration.

Through these mechanisms, information dissemination activities reached more than 19,000 people. This resulted in 26 incidents of TIP reported to the MDT and 91 victims assisted. Fourteen of the reported incidents resulted in rescue and/or filing of cases against 13 perpetrators; 12 were arrested and detained while one is still at large.

In addition, 62 possible TIP/recruitment activities and more than 600 cases related to children and women were reported by the BCPCs and CWGs to the MDTs. The BCPCs and LCATs responded to the cases, thereby preventing members of these vulnerable groups from becoming victims of TIP.

To improve the capacity of LGUs and other community leaders to prevent and advocate against trafficking, the project facilitated the passing of 41 barangay ordinances authorizing 41 BCPCs to implement programs to prevent TIP in the three areas. A City Ordinance on ATIP was passed in Bogu City while the City Ordinance on ATIP of Talisay City was updated and amended. A Municipal Ordinance on ATIP was also passed in Cordova. These ordinances formalized the creation of an LCAT in each and appropriated funds for ATIP Programs. Out of the 26 incidents reported to the LCATs, 20 came from BCPCs and CWGs; 14 cases were filed (54 percent) with 12 traffickers arrested. For some, more than one case was filed for each incident, as most trafficking cases include elements of Child Pornography and Child Abuse.

As a result, the consciousness of more than 19,000 members of communities has been improved on the issue of TIP. Out of the 19,000 reached by the advocacy, a total of 570 individuals became members of the CWGs across 41 barangays in the three LGUs. This number does not include those people whose consciousness was raised as a result of reading IEC materials like billboards and brochures reproduced by these LGUs.

The improved capacities and coordination of concerned agencies and mobilization of volunteers led to 91 survivors receiving services from the trained MDTs created under the project. These include legal services, financial assistance, psychosocial services, referrals to temporary shelters, educational services and home visits to monitor the condition and needs of victims. Eighteen (18) of the survivors were rescued prior to project implementation but continued to receive services during the project term. Sixty (60) out of the 64 volunteer paralegal and para-social workers from the BCPCs and CWGs who have undergone training are active in assisting victims and render paralegal and para-social services. They also refer them to appropriate services at the city/municipal levels. In addition, 16 more volunteers from barangays who were not able to attend the training sessions were recruited and became active members of the Child Protection Team (CPTs).

Lastly, the Education Grants financed innovative, cost-effective and technology-based solutions that provided quality education to early grade learners in remote areas. The funding also supported initiatives to improve adult literacy. The sub-grants paved the way for the provision of 20,110 textbooks, training of 4,030 K-3 public school teachers and 15,812 reading interventions. In summary, the projects trained a total of 19,782 learners from four learning centers and 383 schools. The projects also involved the provision of equipment and courseware to primary stakeholder institutions, development of learning modules and mentoring and coaching for teachers. A common theme among the projects is the expansion and reinforcement of literacy. The use of information and communications technology (ICT) in the delivery of services was also very apparent. The projects also collaborated with the Department of Education in the implementation of their activities.

There were four education-themed projects funded under the Phil-Am Fund Activity: three implemented in Mindanao and one across the country. While one of the projects was focused on a blended teacher development

program for basic literacy among K-3 students (FIT-ED), the rest targeted indigenous and vulnerable groups of learners **to revive “flalok”, the B’laan art of storytelling for use in Mother Tongue-Based Multilingual Education (CLAFI)**, improve the quality of education of Moro children especially in literacy, numeracy and essential life skills in the conflict-affected communities (IMAN) and facilitate braille literacy among blind adults (RBI) (Table 6).

The total cost of the project amounted to over PHP48 million. The projects were all grantees in the second cycle of the Phil-Am Fund Activity. While the other CSOs were given up to six months extension, IMAN was provided a whole year extension period as well as additional funding in order to cover Region 12.

Table 6. Profile of Sub-grants of the Phil-Am Fund activity for Education

	Sub-Grantee CSO	Title of Project	Grant Amount (PHP)
1.	RBI (Resources for the Blind)	Improved Braille Literacy Among Adults with Visual Impairment Project	9,951,417
2.	FIT-ED (Foundation for Information Technology Education and Development)	Technology-Supported Elementary School Teacher Professional Development Project	10,867,228
3.	IMAN (Integrated Mindanaons Association for the Natives)	Innovation for Rural Education Advancement (iREAD) Project for Moro Children in Mindanao Project	12,812,012
4.	CLAFI –(Conrado & Ladislawa Alcantara Foundation, Inc.)	Flalok Project: Reviving the B’laan Art of Storytelling to Improve Literacy and Develop a Community of Readers in South Central Mindanao	14,479,166
	TOTAL		48,109,823

ANNEX 4. DATA GATHERING INSTRUMENTS

Sample Questionnaire for Biodiversity Projects

Sub-grant: Strengthening capacity of local conservation actors in managing the sub- watersheds of Naujan Lake National Park Project

CSO: Haribon Foundation for the Conservation of Natural Resources, Inc.
Area of Coverage: Municipalities of Naujan, Victoria, Socorro and Pola in Oriental Mindoro

Intervention:
Harmonize natural resource management initiatives in watershed areas through capacity building and community engagement.

Field Survey Questionnaire for 35 Randomly Sampled Households

The Haribon Foundation Inc. has been provided a grant by the USAID through the Gerry Roxas Foundation to strengthen the local conservation actors in managing the sub-watersheds of Naujan Lake National Park. Local conservation actors refer to the LGUs and communities in the area. This survey is intended to assess how well the Haribon Foundation Inc. implemented the project. You have been selected to serve as one of the respondents in the study. There will be no right and wrong answer and you are just expected to answer the questions to the best of your knowledge. Your answers will be treated with utmost confidentiality.

Barangay: _____

Date and time of interview: _____

1.0 Socio-Economic and Demographic Profile

1.1 Name of respondent: _____

1.2 Age: _____ 1.3. Sex: Male Female

1.4. Marital Status: a. Single c. Separated e. Others: _____
 b. Married d. Widowed

1.5. Education (Number of years) : _____

1.6. Household Size: _____

1.7. Sources of Income (Check relevant item):

a. Farming b. Fishing c. Non-Farm d. Off-Farm Employment
 e. Others (specify): _____

1.8. Monthly Average Household Income: _____

2.0 Membership in Organization

2.1. Of the groups/associations/organizations listed below (check one for each A and B), are you aware of **this group's existence in your community?**

2.2. Do you belong to any of this group?

Groups/Associations/Organization	A. Aware of		B. Belong to	
	No	Yes	No	Yes
a. Religious groups				
b. Farmers' Union				
c. Women's Union				
d. Youth Union				
e. Senior Citizen's Organization				
f. Bantay Gubat				
g. Bantay Dagat				
h. Others, please specify: _____				

3.0 Resource Conservation Awareness

3.1. What is your view of the current state of the sub-watershed of Naujan Lake?

- a. Still in pristine condition_____;
- b. Somewhat Degraded_____
- c. Degraded_____;
- d. Very Degraded _____

3.2. If you think the sub-watershed is degraded, what caused the degradation?

- a. Over-exploited by the community_____
- b. Illegal practices of some interest groups (e.g. loggers, etc. pls. specify) _____
- c. Failure of authorities to protect the resource _____
- d. Others (pls. specify) _____

3.3. Do you think measures should be implemented to protect the resource?

Yes___ No___

3.4. If your answer to 3.3. is YES, what conservation measures should be implemented?

3.5. Do you know of any effort by the LGU to conserve the sub-watershed of Naujan Lake?

Yes___ No___

3.6. If your answer to 3.5. is yes, what is/are these efforts?

3.7. Do you know of any effort by non-government organizations to conserve the sub-watershed of Naujan Lake?

Yes___ No___

3.8. If your answer to 3.7. is yes, who are the NGOs and what are their efforts?

3.9. Are you currently involved in any activity or effort to protect the sub-watershed of Naujan Lake?

Yes___ No___

3.10. If your answer to 3.9 is yes, what is this activity/effort and what is your involvement?

4.0. Awareness of Haribon Foundation Inc and its project to conserve the watershed of Naujan Lake

4.1. Do you know of the Haribon Foundation Inc?

Yes___ No___

4.2. If your answer to 4.1. is yes, how did you know about the Foundation?

4.3. Are you aware of the Haribon Foundation activities to conserve the sub-watershed of the Naujan Lake?
Yes___ No___

4.4. If your answer to 4.3. is yes, what are these activities?

4.5. Related to 4.4., how did you know about these activities?

4.6. Related to 4.4. have you been involved in these activities?

Yes___ No___

4.7. If your answer to 4.6. is yes, what has been your involvement?

4.8. Do you think these activities of the Foundation can effectively lead to better conservation of the sub-watershed of Naujan Lake?

Yes___ No___

4.9. If your answer to 4.8. is yes, how do you think these activities will lead to better conservation of the sub-watershed of Naujan Lake?

5.0. If you are familiar with the activities of the Haribon Foundation for conserving the sub-watershed of Naujan Lake in your area, please indicate your level of agreement to the following statements:

5.1. The Haribon Foundation is implementing very important activities to conserve the sub-watershed of Naujan Lake.

Agree _____
Somewhat agree _____
Don't know _____
Somewhat disagree _____
Disagree _____

5.2. The Haribon Foundation involves the LGU in its effort to conserve the sub-watershed of Naujan Lake.

Agree _____
Somewhat agree _____
Don't know _____
Somewhat disagree _____
Disagree _____

5.3. The Haribon Foundation involves the community in its effort to conserve the sub-watershed of Naujan Lake.

Agree _____
Somewhat agree _____
Don't know _____
Somewhat disagree _____

Disagree _____

5.4. The Haribon Foundation has been able to harmonize (meaning able to put together) the efforts of LGUs and the communities so that measures to conserve the sub-watershed of Naujan Lake can be made effective.

Agree _____

Somewhat agree _____

Don't know _____

Somewhat disagree _____

Disagree _____

5.5. The effort of Haribon Foundation to conserve the sub-watershed of Naujan Lake is able to prevent further deterioration in the sub-watershed resources of Naujan Lake.

Agree _____

Somewhat agree _____

Don't know _____

Somewhat disagree _____

Disagree _____

5.6. The effort of Haribon Foundation to conserve the sub-watershed of Naujan Lake is impacting positively on the income we derive from the sub-watershed of Naujan Lake.

Agree _____

Somewhat agree _____

Don't know _____

Somewhat disagree _____

Disagree _____

5.7. I want the Haribon Foundation to continue with its effort of conserving the sub-watershed of Naujan Lake.

Agree _____

Somewhat agree _____

Don't know _____

Somewhat disagree _____

Disagree _____

6.0. Please indicate whatever recommendations you have to effectively conserve/protect the sub- watershed of Naujan Lake.

7.0. Please indicate whatever recommendations you have so that the Haribon Foundation can be more effective in its effort to conserve/protect the sub-watershed of Naujan Lake.

Sample Questionnaire for Economic Growth Projects

Project Title: Duck enterprise for Employment Generation and Growth (DUCK EGG) in Mindanao
 CSO: Philippine Agrarian Reform Foundation for National Development or PARFUND
 Area of Coverage: Agusan del Sur (Municipality of Trento and Bayugan City)
 Intervention: Training (i.e., duck value chain enterprises, alternative duck feeds, duck egg production, product retailing, etc.) and loans (in form of ducklings and feeds)

Field survey questionnaire for 35 randomly sampled beneficiaries

The Philippine Agrarian Reform Foundation for National Development or PARFUND has been provided a grant by the USAID through the Gerry Roxas Foundation to capacitate local farmers and help develop various enterprises along the duck industry value-chain in Agusan del Sur. This survey is intended to assess how well the PARFUND implemented the project. You have been selected to serve as one of the respondents in the study. There will be no right and wrong answer and you are just expected to answer the questions to the best of your knowledge. Your answers will be treated with utmost confidentiality.

Barangay: _____

Date and time of interview: _____

1. Socio-Economic and Demographic Profile

1.1. Name of respondent: _____

1.2. Age: _____

1.3. Sex: Male Female

1.4. Marital Status: a. Single b. Married c. Separated
 d. Widowed e. Others: _____

1.5. Education (Number of years): _____

1.6. Number of household members: _____

1.7. Sources of income:

Current source of family income (pls. specify)	Year the business started	Estimated current monthly or annual income
1. Farming: _____		
2. Fishing: _____		
3. Non-farm: _____		
4. Off-farm employment:		
5. Others: _____		

2. Membership in organization

2.1. Of the groups/associations/organizations listed below (check one for each A and B), are you aware of **this group's existence in your community?**

2.2. Do you belong to this group?

Groups/Associations/Organization	A. Aware of		B. Belong to	
	No	Yes	No	Yes
a. Religious groups				
b. Farmers' Union				
c. Women's Union				
d. Youth Union				

Groups/Associations/Organization	A. Aware of		B. Belong to	
	No	Yes	No	Yes
e. Senior Citizen's Organization				
f. Others, please specify: _____				

2.3. What services or assistance does the organization extend to its members?

3. DUCK EGG Project

3.1. What is your idea about the objectives of the PARFUND's 'Duck enterprise for Employment Generation and Growth (DUCK EGG) in Mindanao'?

3.2. When did you first join the DUCK EGG Project? _____

3.3. What was your motivation in joining the DUCK EGG Project? _____

3.4. Did you attend trainings from the project?

Training topics	Year	Were you able to apply the learnings? Remarks
1.		
2.		

3.5. What are the assistance/services you have availed from the project (i.e. loans)?

Types of services (NOTE: in form of loans)	First cycle		Second cycle	
	Quantity	PHP	Quantity	PHP
a. Ducklings				
b. Feeds				
c. Others: _____				

3.6. Were there conditions provided when you availed of these services?

Yes No

3.7. Please indicate your level of agreement to the following statements:

A. The value of assistance (ducklings and feeds) provided is adequate for my needs.	Agree (1)	Somewhat agree (2)	Don't agree (3)	Somewhat disagree (4)	Disagree (5)
B. The policies of the PARFUND regarding loan (interest rate, repayment period, etc.) is clear.	Agree (1)	Somewhat agree (2)	Don't agree (3)	Somewhat disagree (4)	Disagree (5)
C. The interest rate is not excessively high.	Agree (1)	Somewhat agree (2)	Don't agree (3)	Somewhat disagree (4)	Disagree (5)
D. The repayment period is reasonable.	Agree (1)	Somewhat agree (2)	Don't agree (3)	Somewhat disagree (4)	Disagree (5)
E. The CSOs provides adequate assistance to beneficiaries to sustain business start-ups	Agree (1)	Somewhat agree (2)	Don't agree (3)	Somewhat disagree (4)	Disagree (5)

3.8. Did you experience default in paying loans? Why?

4. Enterprise profile and productivity

4.1. Are you involved in (please fill-out enterprise applicable):

Type of enterprise	Scale of production	Number of years of the enterprise	Number of staff employed
1. Duck feed production (please answer 4.2)	___ kilos per ___		
2. Duck breeding (please answer 4.3)	___ heads per ___		
3. Duck product retailing (please answer 4.4)	___ pieces per ___		
4. Duck product processing (please answer 4.5)	___ pieces per ___		
5. Duck hatchery (please answer 4.6)	___ heads per ___		
6. Ready-to-lay pullet growing (please answer 4.7)	___ heads per ___		

4.2. Duck breeding (production cycle: _____)

Items	Quantity	Units	Price per unit	Rate of application	Total value (PHP)
<u>Inputs to production</u>					
1. Ducks		heads			
2. Feeds		kilograms			
3. Vitamins/medicines		liter			
4. Family labor		mandays			
5. Hired labor		mandays			
6. Equipment and tools		pieces			
7. Others: _____					
<u>Production outputs</u>					
8. Ducklings		pieces			
9. Other products:					

4.3. Duck product retailing (Balut vending) (production cycle: _____)

Items	Quantity	Units	Price per unit	Rate of application	Total value (PHP)
<u>Inputs to production</u>					
1. Eggs		pieces			
2. Salt		kilograms			
3. Condiments (vinegar, chili)					
4. Gasoline		tank			
5. Plastic		pack			
6. Basket		pieces			
7. Family labor		mandays			
8. Equipment and tools		pieces			
9. Others: _____					
<u>Production outputs</u>					
10. Balut		pieces			
11. Penoy		pieces			

4.4. Duck growing business (ready-to-lay) (production cycle: _____)

Items	Quantity	Units	Price per unit	Rate of application	Total value (PHP)
<u>Inputs to production</u>					
1. Ducklings		heads			
2. Feeds		kilograms			
3. Vitamins/medicines		liter			
4. Family labor		mandays			
5. Hired labor		mandays			
6. Equipment and tools		pieces			
7. Others: _____					
<u>Production outputs</u>					
8. Ducks (RTL)					
9. Other products					

4.5. What would be your business had the project not been introduced to you? (probe if respondents will engage into other business not related to duck industry)

4.6. How much would be your estimated monthly income from this business? _____

5. Assessment of social changes

5.1. Did your income increase because of the DUCK EGG project?

Yes No

5.2. Were you able to improve your conditions because of participation in the project, in terms of the following?

5.2.1. Savings Yes No

5.2.2. House assets Yes No

5.2.3. Education Yes No

5.2.4. Health Yes No

5.3. Did your access to financing facilities improve because of the project (or your participation to the project)? Yes No

5.4. If yes, how? _____

5.5. Did your level of living improve because of the project? Yes No

5.6. If yes, how? _____

6. Perceptions

6.1. Please indicate your level of agreement to the following statements:

A. The PARFUND is implementing very important activities to enhance the performance of the duck industry in the area.	Agree (1)	Somewhat agree (2)	Don't agree (3)	Somewhat disagree (4)	Disagree (5)
B. PARFUND involves the LGU in its effort to enhance the performance of the duck industry.	Agree (1)	Somewhat agree (2)	Don't agree (3)	Somewhat disagree (4)	Disagree (5)
C. PARFUND involves the community in its effort to enhance the performance of the duck industry.	Agree (1)	Somewhat agree (2)	Don't agree (3)	Somewhat disagree (4)	Disagree (5)
D. PARFUND has been able to harmonize (meaning able to put together) the efforts of LGUs and the communities so that measures to enhance the performance of the duck industry can be made effective.	Agree (1)	Somewhat agree (2)	Don't agree (3)	Somewhat disagree (4)	Disagree (5)
E. I want PARFUND to continue with its effort to enhance the performance of the duck industry.	Agree (1)	Somewhat agree (2)	Don't agree (3)	Somewhat disagree (4)	Disagree (5)

6.2. Please indicate whatever recommendations you have to further improve the performance of the duck industry in the area.

6.3. Please indicate whatever recommendations you have so that PARFUND can be more effective in its activities toward improving the performance of the duck industry in the area.

Sample Questionnaire for Education Projects

Project Title: Technology-Supported Elementary School Teacher Professional Development Project
 CSO: Foundation for Information Technology Education and Development, Inc. (FIT-ED)
 Area of Coverage: Bulacan

Intervention: The project makes use of a technology-based courseware that covers DepEd's basic course for K-3 teachers, providing a flexible, cost-effective, scalable and sustainable alternative for teachers to obtain training on basic literacy.

Field Survey Questionnaire for 30 Randomly Sampled Teachers

The Foundation for Information Technology Education and Development, Inc. (FIT-ED) has been provided a grant by the USAID through the Gerry Roxas Foundation to implement a technology-supported elementary school teacher professional development project. This survey is intended to assess how well the Foundation for Information Technology Education and Development, Inc. (FIT-ED) implemented the project. You have been selected to serve as one of the respondents in the study. There will be no right and wrong answer and you are just expected to answer the questions to the best of your knowledge. Your answers will be treated with utmost confidentiality.

Barangay: _____

Date and time of interview: _____

1.0 Socio-Economic and Demographic Profile

- 1.1 Name of respondent: _____
- 1.2 Age: _____ 1.3. Sex: Male Female
- 1.4. Marital Status: a. Single c. Separated e. Others: _____
 b. Married d. Widowed
- 1.5. Education (Number of years): _____
- 1.6. Household Size: _____
- 1.7. Sources of Income (Check relevant item):
 a. Farming b. Fishing c. Non-Farm d. Off-Farm Employment
 e. Others (specify): _____
- 1.8. Monthly Average Household Income: _____

2.0. Membership in Organization

- 2.1 Of the groups/associations/organizations listed below (check one for each A and B), are you aware of **this group's existence in your community?**
- 2.3. Do you belong to this group?

Groups/Associations/Organiza tion	A. Aware of		B. Belong to	
	No	Yes	No	Yes
a. Religious groups				
b. Farmers' Union				
c. Women's Union				
d. Youth Union				
e. Senior Citizen's Organization				
f. Others, please specify: _____				

3.0. Teacher Development Program Awareness

3.1. What is your view of the current state of ELLN Digital courseware?

a. The courseware is efficient enough that training for teachers have improved

b. Access to the technology is difficult and could be improved

c. Others: _____

3.2. If you think the ELLN Digital courseware is not efficient, what are the possible factors affecting difficulty of use?

3.3. Do you think technology-based measures should be implemented to improve trainings of teachers?

Yes No

3.4. If your answer to 3.3. is yes, what measures should be implemented?

3.5. Do you know of any effort by the LGU in making use of technology-based instruments to improve trainings for teachers?

Yes No

3.6. If your answer to 3.5. is yes, what is/are these efforts?

3.7. Do you know of any effort by non-government organizations in making use of technology-based instruments to improve trainings for teachers?

Yes No

3.8. If your answer to 3.7. is yes, who are the NGOs and what are their efforts?

3.9. Are you currently involved in any activity or effort in making use of technology-based instruments to improve trainings for teachers?

Yes No

3.10. If your answer to 3.9 is yes, what is this activity/effort and what is your involvement?

4.0. Awareness of the Foundation for Information Technology Education and Development, Inc. (FIT-ED) and its activities to implement technology-supported elementary school teacher professional development project.

4.1 Do you know of the Foundation for Information Technology Education and Development, Inc. (FIT-ED)?

Yes No

4.2 If your answer to 4.1. is yes, how did you know about the FIT-ED?

4.3 Are you aware of the Foundation for Information Technology Education and Development, Inc. (FIT-ED) and its activities to implement a technology-supported elementary school teacher professional development project?

Yes No

4.4 If your answer to 4.3. is yes, what are these activities?

4.5 Related to 4.4., how did you know about these activities?

4.6 Related to 4.4. have you been involved in these activities?

Yes No

4.7 If your answer to 4.6. is yes, what has been your involvement?

4.8 Do you think these activities of the Foundation for Information Technology Education and Development, Inc. (FIT-ED) can effectively lead to an improvement in training teachers through the technology-based courseware?

Yes No

4.9 If your answer to 4.8. is yes, how do you think these activities will lead to a better training mechanism for teachers?

5.0. If you are familiar with the activities of the Foundation for Information Technology Education and Development, Inc. (FIT-ED) for a technology-supported elementary school teacher professional development project in your area, please indicate your level of agreement to the following statements:

5.1 The Foundation for Information Technology Education and Development, Inc. (FIT-ED) is implementing very important activities to improve the current state of training teachers for basic literacy.	Agree 1	Somewhat Agree 2	Don't Know 3	Somewhat Disagree 4	Disagree 5
5.2. The Foundation for Information Technology Education and Development, Inc. (FIT-ED) involves the LGU in its efforts to improve the current state of training teachers for basic literacy.	Agree 1	Somewhat Agree 2	Don't Know 3	Somewhat Disagree 4	Disagree 5

5.3. The Foundation for Information Technology Education and Development, Inc. (FIT-ED) involves the teachers in its efforts to improve the current state of training teachers for basic literacy.	Agree 1	Somewhat Agree 2	Don't Know 3	Somewhat Disagree 4	Disagree 5
5.4. The Foundation for Information Technology Education and Development, Inc. (FIT-ED) was able to provide a flexible, cost-effective, scalable and sustainable technology-supported teacher professional development program for basic literacy.	Agree 1	Somewhat Agree 2	Don't Know 3	Somewhat Disagree 4	Disagree 5
5.5. I want the Foundation for Information Technology Education and Development, Inc. (FIT-ED) to continue providing a flexible, cost-effective, scalable and sustainable technology-supported teacher professional development program for basic literacy.	Agree 1	Somewhat Agree 2	Don't Know 3	Somewhat Disagree 4	Disagree 5

6.0. Please indicate whatever recommendations you have to further improve technology-based alternatives for training teachers on basic literacy teaching.

7.0 Please indicate whatever recommendations you have so that the Foundation for Information Technology Education and Development, Inc. (FIT-ED) would be more effective in providing a flexible, cost-effective, scalable and sustainable technology-supported teacher professional development program for basic literacy.

Sample Questionnaire for Governance Projects

Project Title: People-Led Monitoring and Evaluation Systems (PLMES)
CSO: Antique Federation of Non-Government Organizations, Inc. (AFON)
Area of Coverage: Antique

Intervention:

The project makes use of a monitoring and evaluation scheme that the organization utilized before in compliance with the implementation of the Social Accountability Project. The said scheme encourages active participation of community members in projects of the government.

Field Survey Questionnaire for 30 Randomly Sampled Households

The Antique Federation of Non-Government Organizations, Inc. (AFON) has been provided a grant by the USAID through the Gerry Roxas Foundation to implement a people-led monitoring and evaluation system (PLMES). This survey is intended to assess how well the Antique Federation of Non-Government Organizations, Inc. (AFON) implemented the project. You have been selected to serve as one of the respondents in the study. There will be no right and wrong answer and you are just expected to answer the questions to the best of your knowledge. Your answers will be treated with utmost confidentiality.

Barangay: _____

Date and time of interview: _____

1.0 Socio-Economic and Demographic Profile

1.1 Name of respondent: _____

1.2 Age: _____ 1.3. Sex: [] Male [] Female

1.4. Marital Status: [] a. Single [] c. Separated [] e. Others: _____
[] b. Married [] d. Widowed

1.5. Education (Number of years) : _____

1.6. Household Size: _____

1.7. Sources of Income (Check relevant item):

[] a. Farming [] b. Fishing [] c. Non-Farm
[] d. Off-Farm Employment [] e. Others (specify): _____

1.8. Monthly Average Household Income: _____

2.0 Membership in Organization

2.1 Of the groups/associations/organizations listed below (check one for each A and B), are you aware of **this group's existence in your community?**

2.2 Do you belong to this group?

Groups/Associations/Organization	A. Aware of		B. Belong to	
	No	Yes	No	Yes
a. Religious groups				
b. Farmers' Union				
c. Women's Union				
d. Youth Union				
e. Senior Citizen's Organization				
f. Others, please specify:				

3.0 Governance Transparency Awareness

3.1. What is your view of the current state of project implementation of the government?

- a. All project information is transparent and accounted for
- b. All project information is somewhat transparent and accounted for
- c. All project information is not transparent and accounted for

3.2. If you think the information involving government projects are not transparent, what are the possible factors affecting ambiguity of information?

- a. Poor information dissemination by government agencies
- b. **Corruption existing in LGU's and national agencies**
- c. Lack of interest of community members in government projects
- d. Others (Pls. specify) _____

3.3. Do you think measures should be implemented to assess performance and transparency of government projects?

- Yes
- No

3.4. If your answer to 3.3. is yes, what measures should be implemented?

3.5. Do you know of any effort by the LGU to relay transparent information regarding government projects?

- Yes
- No

3.6. If your answer to 3.5. is yes, what is/are these efforts?

3.7. Do you know of any effort by non-government organizations to relay transparent information regarding government projects?

- Yes
- No

3.8. If your answer to 3.7. is yes, who are the NGOs and what are their efforts?

3.9. Are you currently involved in any activity or effort to relay transparent information regarding government projects?

- Yes
- No

3.10. If your answer to 3.9 is yes, what is this activity/effort and what is your involvement?

4.0. Awareness of the Antique Federation of Non-Government Organization (AFON) and its project to implement a people-led monitoring and evaluation system of government projects

4.1. Do you know of the Antique Federation of Non-Government Organization (AFON)?

- Yes
- No

4.2. If your answer to 4.1. is yes, how did you know about the AFON?

4.3. Are you aware of the Antique Federation of Non-Government Organization (AFON) activities to implement a people-led monitoring and evaluation system of government projects?

Yes No

4.4. If your answer to 4.3. is yes, what are these activities?

4.5. Related to 4.4., how did you know about these activities?

4.6. Related to 4.4. have you been involved in these activities?

Yes No

4.7. If your answer to 4.6. is yes, what has been your involvement?

4.8. Do you think these activities of the Antique Federation of Non-Government Organization (AFON) can effectively lead to better project implementation and transparency of government agencies?

Yes No

4.9. If your answer to 4.8. is yes, how do you think these activities will lead to better project implementation and transparency of government agencies?

5.0. If you are familiar with the activities of the Antique Federation of Non-Government Organization (AFON) for a people-led monitoring and evaluation system of government projects in your area, please indicate your level of agreement to the following statements:

5.1 The Antique Federation of Non-Government Organization (AFON) is implementing very important activities to engage community members in monitoring and evaluating government projects and activities.	Agree 1	Somewhat Agree 2	Don't Know 3	Somewhat Disagree 4	Disagree 5
5.2. The Antique Federation of Non-Government Organization (AFON) involves the LGU in its effort to engage community members in monitoring and evaluating government projects and activities.	Agree 1	Somewhat Agree 2	Don't Know 3	Somewhat Disagree 4	Disagree 5

5.3. The Antique Federation of Non-Government Organization (AFON) involves the community in its effort to monitor and evaluate government projects and activities.	Agree 1	Somewhat Agree 2	Don't Know 3	Somewhat Disagree 4	Disagree 5
5.4. The Antique Federation of Non-Government Organization (AFON) has been able to harmonize (meaning able to put together) the efforts of LGUs and the communities so that measures to engage community members in monitoring and evaluating government projects and activities can be made effective	Agree 1	Somewhat Agree 2	Don't Know 3	Somewhat Disagree 4	Disagree 5
5.5. I want the Antique Federation of Non-Government Organization (AFON) to continue with its effort to engage the community in monitoring and evaluating government projects and activities	Agree 1	Somewhat Agree 2	Don't Know 3	Somewhat Disagree 4	Disagree 5

6.0. Please indicate whatever recommendations you have to effectively engage the community in monitoring and evaluating government projects and activities

7.0 Please indicate whatever recommendations you have so that the Antique Federation of Non-Government Organization (AFON) can be more effective in its effort to engage the community in monitoring and evaluating government projects and activities

Key Informant Interview Guide

Project Title:

CSO: _____

Area of Coverage: _____

Interventions:

1. Entrance Conference (Introduce yourself and the purpose of assessment.)

2. Organizational Profile of the CSO

When organized: _____

Founder: _____

Projects carried out in the past:

What are some of its significant achievements even prior to the USAID project?

Other information

3. Brief narrative on how they learned about the USAID grant being administered by GRF:

How did they identify the project to be proposed for the grant?

What processes did they have to go through to access the grant?

How long did it take to finally get the approval?

How much grant was given to them?

4. Ask for a brief narrative of the project funded by the grant. (Be sure to fill-out Tables 1 and 2.) Describe the project.

What inspired them to propose this project?

What are the target outputs of the project?

What specific interventions did they carry out?

Per materials from GRF (Indicate the objectives of the sub-grantee.)

What were the significant achievements and final outputs?

(Indicate here the accomplishments as reviewed in the GRF reports.)

What are the implementation processes (methods of implementation) used by the project?

What is the monitoring system used by the project?

Who are the other stakeholders involved in the project? What are their roles? (e.g LGUs, NGOs)

Who are the direct beneficiaries? Specify type and number/type.

Who are the direct beneficiaries? Specify type and number/type.

What were the problems and limitations (challenges) encountered in project implementation?

What measures are in place to ensure sustainability of project after funding has completed?

5. Validate the theory of change (ToC) as well as the assumptions/comments we have on the (ToC).
(Indicate here the Theory of Change.)
(Indicate here the Comment on the Theory.)
(Indicate here the Foundational Outcomes.)

6. What were the technical and financial reportorial requirements that had to comply with?

How were they monitored and evaluated by GRF?

7. What are some of the specific positive and negative changes in organizational capacity that happened to your organization during the last five years?

8. What kind of interventions did USAID through the GRF introduce to your organization since your organization became a beneficiary of the USAID grant?

9. What specific changes in organizational capacity which you identified in question 8 can be considered the results of the interventions you identified in question 9?

10. What particular interventions of the GRF have been effective? What made them effective?

11. What had your organization been doing before that changed as a result of the USAID grant? What was the specific change? Did the change lead to better organizational capacity? Did the change lead to better organizational performance?

12. What had your organization been doing before that stopped as a result of the USAID grant? Did the stoppage lead to better organizational capacity? Did it lead to better organizational performance?

13. What did your organization start doing as a result of the USAID grant? Did it lead to better organizational capacity? Did it lead to better organizational performance?

14. What capacity along the project cycle has been improved? (e.g. conceptualization, packaging, implementation, M&E, dissemination and sustainability systems). Cite specific verifiable evidences to support the answers.

15. What local solutions have been put on the ground as a result of the project? Cite specific verifiable evidences on this. (Note: Local solutions refer to interventions introduced through the USAID grant that address certain local development challenges. The interventions should be co-owned by the CSO and relevant local players such as the LGUs or the communities).

16. What outputs and immediate outcomes have been generated? How will these eventually lead to impact?

17. What are the mission, vision, plans and organizational objectives of the CSO?

18. How was the CSO fulfilling its mission, vision, plans and organizational objectives before the USAID project?

How was the CSO fulfilling its mission, vision, plans and organizational objectives with the USAID project?

19. What specific aspect of organizational performance (e.g. relevance, effectiveness, efficiency and sustainability) has improved as a result of the USAID project? (Note that questions 8 and 9 are on organizational capacity and 13 and 14 are on organizational performance). Cite examples on how work has become more effective and sustained.

20. **What are the major enabling or hindering factors to improving the grantee's** organizational capacity and performance and realization of specific project objectives?

21. Have the grantees achieved their specific project objectives (outputs and outcomes) as originally envisaged and targeted?

22. Which among the interventions introduced by USAID through GRF did your organizations benefit from the most?

23. What, if any, did you think were not useful and why?

24. Any thoughts on what USAID activities should be done in case it plans to do something similar to the Phil-Am Fund (i.e. partner with local organizations to design and implement projects)?

Administer to the CSO the following Likert exercise:

- a. How do you find GRF as conduit of the USAID grant-making activity? Check the statement with which you agree most:

Statement	Highly Agree	Agree	Not Sure	Disagree	Highly Disagree
a.1. The GRF has effectively facilitated the grant-making activity of the USAID.					
a.2. The application and approval process to access the grant was easy to comply with for CSOs.					
a.3. The technical reportorial requirements are reasonable.					
a.4. The financial reportorial requirements are reasonable.					
a.5. The M&E system employed by GRF (to monitor and evaluate CSO performance) is effective.					
a.6. The USAID's innovation of outsourcing its grant-making activity to local organization such as GRF is a partnership that could lead to higher impact on ultimate beneficiaries of the grant.					
a.7. The USAID's innovation of outsourcing its grant-making activity to local organization such as GRF is a partnership that could lead to better local solutions.					
a.8. Our CSO is willing to seek another USAID grant under exactly the same system where GRF is the conduit.					

Comments/Recommendations from CSO

Please feel free to provide whatever comments/recommendations you have to improve the USAID grant-making activity in the country.

Table 1. Basic Project Information

CSO	Project Title	Project Duration	Budget (Grant Received)	Target Outputs	Key Interventions	Final Output	Remarks
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Table 2. Other Project-Related Information

CSO	Project Title	Implementation Process, including M&E System	Other Key Stakeholders Involved (e.g. LGUs, other NGOs, etc)	Direct Beneficiaries (Type and Number)	Indirect Beneficiaries (Type and Number)	Implementation Problems/Limitations Met	Recommendations to Improve Implementation of Future Programs
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Validation of the Non-U.S. Organization Pre-Award Survey (NUPAS) Results

CSO: _____
 Project Title: _____

(CSO) has been provided a grant by the United States Agency for International Development (USAID) through the Gerry Roxas Foundation to “CSO’s project objective”. As part of the process, the SyCip Gorres Velayo & Co. (SGV) was tasked to conduct the NUPAS for (CSO). This survey is intended to assess the changes in organizational capacity and performance of (CSO) by looking into the actions taken by your organization on the comments provided by SGV. There will be no right and wrong answer and you are just expected to answer the questions to the best of your knowledge. Your answers will be treated with utmost confidentiality.

Instruction: Kindly fill up the table. For the items with observations/findings and recommendations from SGV, please state the actions taken by the CSO under the column provided. If there were items without findings and recommendations, please state the activities currently being done by the CSO which were not done before the Phil-Am Fund intervention (questions in parenthesis).

Organizational Capacity means changes in the following domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)

Organizational Performance considers the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)

The following are lifted from the Non-U.S. Organization Pre-Award Survey (NUPAS) results of the Phil-Am Fund Grants Management Team (GMT), through the endorsement of SyCip Gorres Velayo & Co. (SGV).

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
Example	The CSO's Employee Policy mentions annual performance assessments of its employees. However, no detailed discussion of procedures and necessary authorization was provided for this.	The CSO may consider updating its Employee Manual to include standard procedures on annual performance assessments of its employees. At a minimum, the following should be documented: <ul style="list-style-type: none"> • Process owners (e.g., administrator for performing the assessments) • Performance assessment template • Detailed procedures. In addition, job titles in the policy will also be updated to reflect the current job titles of employees.	Possible response: Employee manual has been updated to include specific policies on evaluation	Possible response: GRF sent a sample template for evaluation.	Possible response: Employee performance has improved. The performance assessment is also used as a solid basis for promotion. Issues with regards to employee performance can be properly addressed.	Possible response: Operations are now more efficient, leading to better project implementation. The template sent by GRF is still being used as of this date.	

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1.	Legal Structure						
1.1	Local Company Definition						
	<p>CSO is an existing local organization registered under the SEC. It is owned and controlled by 11 Filipino citizens all of whom are legal residents of the Philippines, based on their residence stated in the General Information Sheet (GIS).</p> <p>It was incorporated on 20 November 1984. The Foundation's principal place of business is at the 2nd floor Santos & Sons Bldg., 973 Aurora Blvd., Cubao, Quezon City.</p> <p>On November 19, 1984, the Board of Trustees (BOT) submitted its Articles of Incorporation (AOI).</p> <p>The Foundation filed its 2015 GIS and Audited Financial Statements (AFS) with SEC as evidenced by a SEC receipt page stating that the GIS has been "received" on 18 September 2015.</p>						
1.2	Legal Requirements						
a.	Securities and Exchange Commission (SEC)						
	<p>The Foundation does not submit the Certificate of Existence of Program (COEP). As per the Finance Supervisor, CSO performs courtesy calls to the LGUs to provide an orientation on the project; however, a COEP is not issued.</p> <p>Along with the GIS, the Foundation submitted its Annual Sworn Statement by the President and the Treasurer of the Sources, Amount and Application of Funds and Program/Activity Planned, Ongoing</p>	<p>Per SRC 68, Foundations are required to submit the COEP along with the Annual SSSAA and AFS annually. The Foundation should file the COEP to avoid the possibility of incurring penalties.</p> <p>The Foundation may consider consulting with the local SEC office if it will accept the Memorandum of Agreements (MOAs) with Local Government Units (LGUs) as the Foundation's COEPs. However, it is still</p>					

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
	<p>and Accomplished (SSSAA) for 31 December 2014 in compliance with SEC requirements.</p> <p>Non-submission of the COEP may result in payment of penalties.</p>	<p>recommended to secure actual COEPs to validate the existence of a project in the area. Also, as per the SEC's notice on the guidelines on the accomplishment and submission of the SSSAA and COEP, "COEP issued by Heads/Officers of the private institution or actual beneficiaries/recipients of the program/activity shall be allowed in lieu of COEP issued by the government offices/entities... provided, that COEP issued by such private persons/entities shall be notarized."</p> <p>Per SRC 68 and SEC MC No. 4-2013, Foundations and NGOs are required to submit sworn statements on various schedules along with the AFS in a timely manner.</p>					
b.	Bureau of Internal Revenue (BIR)						
a.	<p>Based on Foundation's BIR Certificate of Registration (COR) dated January 1, 1997, it is registered to pay for (a) income tax, (b) withholding tax – compensation, (c) registration fee and withholding tax - expanded/OTH.</p> <p>The Foundation filed and paid for its annual registration fee on 12 December 2015 as evidenced by the BIR Form 0605.</p> <p>Based on the sample documents inspected, the 1601-E and 1601-C</p>						

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	<p>filed for 2015, except for December, are complete.</p> <p>For December, the 1601-C and 1601-E were not yet filed. However, as of 13 January 2015, the Foundation is still compliant with BIR requirements as per guidelines documented in the BIR website (http://www.bir.gov.ph/index.php/bir-forms/payment-remittanceforms.html) which stipulates that the deadline for the filing of 1601-C and 1601-E forms is on or before January 15.</p>						
b.	<p>The Foundation does not display the BIR COR and BIR Form 0605 in the principal place of business. This is mandated by BIR as per Revenue Regulation (RR) 7-2012.</p> <p>Failure to display BIR COR and BIR Form 0605 is subject to a penalty of PHP1,000 per violation as indicated in the BIR's Revised Schedule of Compromise Penalties.</p> <p>The Foundation displays the Notice to the Public "ask for receipt" signage in the office premises.</p>	<p>Permits must be displayed in the principal place of business as required in BIR's RR 7-2012. The Foundation should consider displaying the BIR registration and BIR Form 0605 to be compliant.</p>					
c.	<p>Local Government Units</p>						
	<p>The Foundation has secured the Mayor's permit, Fire Safety Inspection permit and Barangay Clearance pertaining to the operations of the Foundation for 2015. These permits are required by the city of Quezon and evidence the Foundation's legal identity in the municipality.</p>						

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
	<p>The Foundation's permits and clearances were issued on the following dates:</p> <ul style="list-style-type: none"> ➤ Mayor's permit: February 26, 2015 ➤ Barangay Clearance: January 6, 2015 ➤ Fire Safety Inspection: February 16, 2015 <p>The Fire Safety Inspection certificate is valid until February 16, 2016.</p> <p>The Mayor's Permit and the Barangay Clearance are only valid until December 31, 2015. As per the website of the Local Government of Quezon City, the process for renewing Business Permits states that – "...under the Local Government Code of the Philippines, the business tax must be paid annually within the first 20 days of January. That is also the time within which business registration is renewed." The Foundation is in the process of renewing their permits as per the interview with the COO.</p>						
d.	Department of Labor and Employment (DOLE)						
	<p>The registration certificate for PhilHealth was issued on January 13, 2016.</p> <p>The latest remittance for the following government agencies was filed on the following dates:</p> <ul style="list-style-type: none"> ➤ SSS: Dec. 18, 2015 ➤ Pag-IBIG: Dec. 18, 2015 						

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
	<p>➤ PhilHealth: Dec. 18, 2015</p> <p>Based on the review of filed remittance forms for 2015, the Foundation consistently files and remits its obligations with the respective government agencies.</p>						
1.3	Organizational Structure						
	<p>The Foundation is noncompliant with the Amended AOI as it currently has 10 board members whereas the provisions require 11 board members.</p> <p>One BOT member, Alejandro Flores, Jr., was elected as interim Treasurer, as the previous Treasurer, Archimedes R. King, passed away last July 2015.</p> <p>Noncompliance with the provisions on the required number of board members may result into decrease in the collective oversight capabilities of the Foundation's board members.</p> <p>Based on the Employee Manual provided by the Foundation, its vision is "CSO is a credible and pioneering leader in transforming every individual into a biodiversity champion".</p> <p>While its mission is "CSO members and employees advocate for biodiversity conservation by building constituencies, empowering communities and applying scientific and multidisciplinary approaches".</p>	<p>In the next annual General Membership meeting, the Foundation's members should elect an additional member to comply with the provisions of the amended AOI which requires 11 board members.</p>					

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
	<p>The roles and responsibilities of the officers of the board are documented and defined in its By-laws.</p> <p>The Foundation's projects are aligned with the Foundation's vision and mission.</p> <p>The Foundation's Organizational Structure is approved through a signed minutes of the meeting.</p>						
1.4	Governance						
a.	Stakeholders in Good Governance						
	<p>The Foundation does not have a Code of Governance that provides guidelines for the members of management in accomplishing its roles and responsibilities with the exception of provisions in the By-laws providing the duties of the Chief Operating Officer (COO), Maria Belinda E. De la Paz, who performs managerial functions.</p> <p>Lack of Code of Governance guidelines may result to insufficient governance practices.</p> <p>The Foundation consistently maintains MOA with its partner foundations, donors and maintains contracts with its employees.</p>	<p>The Foundation should consider developing a Code of Governance that serves as a set of documented guidelines and references for present and future members of management in executing their roles and responsibilities. At the minimum, the Code should contain clear provisions on:</p> <ul style="list-style-type: none"> ➤ Qualifications and disqualification of the management ➤ Committees appropriate for the Foundation ➤ Responsibilities, duties and functions of the Board members in general and committees ➤ Internal control responsibilities (e.g., review of the strategic plan by the Board members) 					
b.	Disclosure and Transparency						
	The SEC-received 2014 AFS dated						

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
	<p>September 7, 2015, 2013 AFS dated December 22, 2014 and 2012 AFS dated February 18, 2014, were prepared in accordance with Philippine Financial Reporting Standards for Small and Medium-sized Entities (PFRS for SMEs). The AFS package submitted to the SEC and stamped as received by the BIR on September 7, 2015, December 19, 2014 and February 18, 2014, respectively, contains the following documents, as required by SEC:</p> <ul style="list-style-type: none"> ➤ Statement of Management Responsibility for Annual Income Tax Return ➤ Statement of Management's Responsibility for Financial Statements ➤ Independent Auditor's Report ➤ Sworn Statement for Schedule of Cash Receipts and Disbursements, Schedule of Contributions/Donations 						
c.	Management Meetings						
	<p>According to the interviewed personnel, they hold regular quarterly meetings. They also mentioned that special meetings are also held, if necessary.</p> <p>Based on the inspection of Management Committee (ManCom) minutes of meetings, the meetings discussed the following general topics, among others:</p> <ul style="list-style-type: none"> ➤ Financial status (e.g., unrestricted fund targets) 						

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	<ul style="list-style-type: none"> ➤ Updates on the annual plan ➤ Personnel requirements <p>The ManCom is composed of the following personnel:</p> <ul style="list-style-type: none"> ➤ COO ➤ Constituency Development Manager ➤ Site Action Manager ➤ Research Manager ➤ Finance Supervisor <p>All meetings have documented minutes, which are filed and kept by the COO. These are also discussed in subsequent meetings for review and monitoring. The most recent meetings were held on the following dates:</p> <ul style="list-style-type: none"> ➤ September 11, 2015 ➤ June 29, 2015 						
d.	Code of Ethics						
	<p>The Acknowledgement and Agreement form stating the employees received the Employee Manual does not require the employee to mention that they have read and understood the policies and they will attest compliance with policies embedded in such.</p> <p>Incomplete provisions in the Acknowledgement and Agreement form may result to a failure to protect the interests of the Foundation.</p> <ul style="list-style-type: none"> ➤ The Foundation's documented 	<p>The Foundation should continue its practice of requiring employees to sign Acknowledgement and Agreement form. This can be improved by adding a provision stating that the employee has read and understood the policies and that they will attest compliance with the Foundation's policies and procedures.</p>					

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
	<p>Code of Conduct contains provisions that serve as guidelines on the professional conduct of every member and employee.</p> <ul style="list-style-type: none"> ➤ The Code of Conduct covers areas relevant to the accomplishment of the members' and employees' roles and responsibilities particularly in the following areas: <ul style="list-style-type: none"> • Roles and responsibilities (e.g., protect with zeal and caution confidential knowledge or data on CSO's products/outputs, strategies, processes, systems) • Principles and values • Disciplinary actions ➤ Based on the inspection performed, each member and employee signs the Acknowledgement and Agreement form stating that they have received the Employee Manual which contains the Code of Conduct. ➤ As per the interview with the COO, the Foundation conducts orientations on its Code of Conduct and other policies to new employees. 						
1.5	Control Environment						
a.	Board Roles and Responsibilities						
	The powers of the BOT and the general roles and responsibilities of the officers are documented in the By-laws.						

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
	<p>The following are some of the powers of the BOT as documented in the By-laws:</p> <ul style="list-style-type: none"> ➤ Conduct, manage and control the business affairs ➤ Determine sound policies <p>Alejandro T. Flores, Interim Treasurer, mentioned during the interview that the main role of the Board in the Foundation is to provide oversight over the Foundation, provide guidance on the projects being undertaken, enforce policies and provide strategic guidance. He also stressed that they are not in the position to perform operational matters.</p> <p>The By-laws identified the officers of the BOT and also stated their functions and responsibilities.</p>						
b.	Board Composition and Mix						
	<p>Based on the 2015 GIS, the Foundation currently has 10 board members with varying professions and work experiences. Professions and work experience of the current board are the following, among others:</p> <ul style="list-style-type: none"> ➤ John Lesaca, Chairman - BS Industrial Engineering; Speaker and resource person on Intellectual Property rights; more than 10 years' experience as board member/officer of various organizations (e.g., Intellectual Property Coalition, Filipino Society of Composers, Optical Media 						

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
	<p>Board)</p> <ul style="list-style-type: none"> ➤ Dante Ang, Vice Chairman - PhD Economics; more than 10 years top management experience under Manila Times Publishing Corp, Manila Times School of Journalism and Manila Times ➤ Jose Franciso, Member - BS in Chemistry; BA in Literature; PhD in Philosophy; experience as Jesuit Priest ➤ Alejandro Flores, Member - Masters in Public Administration; 20 years of experience in agricultural enterprises; 20 years government service in the areas of fund management (e.g., AFP Retirement Fund) ➤ Andrew Tan, Member - BS in Food Technology; he has more than two (2) years of Marketing and Communications experience ➤ Margarita Lavidés, Member - PhD Marine Science; more than 10 years' experience in the area of research, framework development concerning Marine Protected Areas and Climate and Biodiversity. ➤ Antonio Picazo, Member - Master of Laws Major in Taxation; more than five (5) years top management experience under Bancom Audiovision, Bancom group, Bancom Development Corporation and Union Bank of the Philippines; Founded Cayetano Bautista Picazo & Reyes 						

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
	<ul style="list-style-type: none"> ➤ Teodulo San Juan, Corporate Secretary - Bachelor of Laws; BA Social Sciences Major in Economics; serves as Director of five (5) active corporations ➤ Ferdinand Rafanan, Member - Bachelor of Laws; AB Political Science; cofounder of Tanggol Kalikasan ➤ Regina Jimenez-Lopez, Member - BS Commerce, Major in Marketing; specializes in Advocacy Press Relations 						
c.	Board Meetings						
	<p>Article V Section 5.04 of the By-laws stipulates that the members shall meet every second Thursday of the second month of every quarter. Based on the submitted GIS, the date of the actual, annual meeting for 2015 was 25 April 2015. Special meetings may also be conducted, in case the need arises.</p> <p>Based on the inspection of minutes of meetings, the meetings discussed the following general topics, among others:</p> <ul style="list-style-type: none"> ➤ Status of fundraising activities ➤ Financial report (e.g., funds received for the year, Statement of Support, Revenue, Expenses and Fund Balance) ➤ Project updates ➤ Updates on tasks identified during the previous meeting ➤ Approval of the last BOT minutes of the meeting 						

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
	<ul style="list-style-type: none"> ➤ Accomplishments in Strat Plan 2011-2015 ➤ Election of officers <p>According to the interviewed BOT members, they hold regular (quarterly) BOT meetings.</p> <p>All meetings have documented minutes, which are filed and kept by the Membership Officer. These are also discussed in subsequent meetings for review and monitoring. The most recent meetings were held on the following dates:</p> <ul style="list-style-type: none"> ➤ December 9, 2015 ➤ September 23, 2015 <p>A quorum of six (6) Board members is required before any board meetings and decisions are considered valid.</p>						
d.	Other Matters						
	<p>There are minutes of the meetings available to evidence the election and appointment of the BOT and the officers. However, there is absence of sign-offs evidencing the accuracy of the contents of the said minutes of the General Assembly held on 21 June 2014.</p> <p>Lack of signed Secretary's Certificate or Board Resolution may result to a failure to formally document election results.</p> <ul style="list-style-type: none"> ➤ The By-laws were amended and submitted to SEC on July 23, 	Elections and appointments should be properly documented and evidenced by the signed Secretary's Certificate or Board Resolution.					

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	<p>2007.</p> <ul style="list-style-type: none"> ➤ The Amended By-laws provide the guidelines on the following: <ul style="list-style-type: none"> • Membership • Election and term of the Board • Compensation of the Officers • Creation of committees ➤ Based on the Amended By-laws, the officers shall be elected and shall hold office for a term of three (3) years, or until their successors are duly elected and qualified. On the other hand, the COO's tenure will depend on the performance evaluation determined by the Board. The Officers shall be elected by the BOT among themselves with the exception of the COO. The officers of the Foundation shall be composed of the following: <ul style="list-style-type: none"> • Chairman • Vice Chairman • Secretary • Treasurer • Chief Operating Officer ➤ According to the interviewed Trustees, elections are consistently done every three (3) years. ➤ The following officers have been with the Foundation as Board members/officers for the specified number of years: <ul style="list-style-type: none"> • Chairman - seven (7) years or 						

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	since 2008 <ul style="list-style-type: none"> • Vice Chairman - five (5) years or since 2010 • Antonio Acevedo Picazo - since 1987 • Andrew Tan - one (1) year or since 2014 						
2.	Financial Management and Internal control Systems						
2.1	Banking Relationship and Accounts						
a.	<p>CSO maintains 13 bank accounts under its name. Four (4) bank accounts are maintained for the general fund, which include two (2) membership accounts. Nine (9) bank accounts are maintained for the projects and programs of the Foundation.</p> <p>Per inquiry with Daisy Salumbre, Finance Supervisor, one (1) of the membership accounts is a cash account while the other is supported by a payment terminal to collect membership fees paid through cards.</p> <p>CSO maintains two (2) bank accounts for administrative purposes. The other account concerns administrative disbursements in dollar denomination.</p>						
b.	<p>The Finance Manual does not document the following:</p> <ul style="list-style-type: none"> ➤ Procedures in performing bank reconciliation ➤ Required attachments/ references to support the reconciling items in the bank reconciliation reports 	<p>The Foundation should document the following policies and procedures on bank reconciliation:</p> <ul style="list-style-type: none"> ➤ Procedures in performing bank reconciliation ➤ Required attachments/references to the bank reconciliation 					

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	<p>The Finance Manual contains policies on the following:</p> <ul style="list-style-type: none"> ➤ Regular preparation of bank reconciliation statements on a monthly basis ➤ The Project Accountant is responsible for the preparation of the Bank Reconciliation Statements, which is reviewed and approved by the Finance Supervisor <p>Incomplete documented policies on bank reconciliation may result to inconsistent bank reconciliation practices.</p> <p>The Bank Reconciliation Statement is reviewed and approved by the Finance Supervisor. Approval of such by a superior of the reviewer is not required as per policy and practice.</p> <p>Absence of approval from the COO may result to lack of oversight over cash movements and cash projections.</p>	<p>The reviewed Bank Reconciliation Statement should be approved by the Foundation's COO to provide oversight over cash movements and cash projections. Such practice should be documented in the Finance Manual.</p> <p>Also, the Foundation should develop an approval/authorization matrix that contains the forms and reports to be prepared and the process owners for the preparation, review and approval of such.</p>					
c.	<p>Bank Reconciliation Statements inspected are not dated as prepared. Moreover, these reports are reviewed and approved quarterly instead of monthly, as evidenced by the dates affixed with the signature of Finance Supervisor.</p> <p>This may lead to the risk that discrepancies will not be detected within a reasonable period of time.</p>	<p>The Foundation should observe strict compliance with its policy on performing monthly bank reconciliation.</p> <p>Also, the preparer, reviewer and approver of the Bank Reconciliation Statements should document the date of sign-off for preparation, review and approval. This recommended practice</p>					

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	<ul style="list-style-type: none"> ➤ The Foundation consistently performs monthly bank reconciliations for all of its existing bank accounts. ➤ Bank reconciliation statements are signed but not dated as prepared by Raquel Mogol, Finance Officer and Jennifer Martinez, Finance Assistant. It is then reviewed and approved by Daisy Salumbre, Finance Supervisor. ➤ Copies of bank statements and GL are attached to support the contents of the bank reconciliations statements. ➤ Reconciling items are supported with references and supporting documents. 	should be documented in the Finance Manual.					
2.2	Accounting/Bookkeeping System						
a.	<p>The following accounting policies are not documented in the Foundation's Finance Manual</p> <ul style="list-style-type: none"> ➤ Method of accounting ➤ Accounting standards applied ➤ Books maintained ➤ Frequency of recording transactions <p>Lack of accounting policies may result to inconsistencies in the performance of applicable accounting procedures.</p>	<p>The Foundation should document the following in its Finance Manual:</p> <ul style="list-style-type: none"> ➤ Method of accounting used (e.g., Double-Entry method) ➤ Accounting standards applied ➤ Books maintained ➤ Maintenance of a bookkeeping system (i.e., QuickBooks) ➤ Frequency of recording transactions 					
b.	The Foundation prints and binds the books of accounts for submission to the BIR annually. Upon inspection,	The Foundation should print and bind its General Ledger for submission to the BIR annually to					

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	<p>however, the General Ledger (GL) contains the General Journal (GJ). In effect, the Foundation does not submit the GL to the BIR annually which results to noncompliance with BIR requirements.</p> <p>The Foundation's noncompliance with RMC No. 82-2008 may result to payment of fines and penalties. Failure to make/ file/ submit any return or supply correct information at the time required by law or regulation may be a ground for fines and penalties as stated in Section 255 of National Internal Revenue Code (NIRC).</p> <p>➤ As per the interview with the Finance Officer, the following are observed in preparing financial statements:</p> <ul style="list-style-type: none"> • Use of double-entry method of accounting • Financial Statements (FS) are prepared in accordance with PFRS for SMEs. • CSO maintains loose-leaf books of accounts. An accounting software (i.e., QuickBooks) is used to update the Cash Disbursement Journal (CDJ), Cash Receipts Journal (CRJ), General Journal (GJ) and General Ledger (GL) and generate other financial reports. Books of Accounts are then printed, bound and submitted to 	<p>comply with RMC No. 822008 which states that the registration deadline for loose-leaf bound books of accounts (e.g., CDJ, CRJ, GJ, GL) is on or before the 15th day after the end of a calendar year.</p> <p>As per the terms and conditions of the Permit to use Prenumbered Loose Leaf Books of Accounts, the Foundation should secure a certified true copy of the said permit since it is required to frame and permanently display such in a conspicuous place in its establishment at all times.</p>					

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	<p>BIR for stamping. The use of loose-leaf books is supported by a photocopy of Permit to use Pre-Numbered Loose-Leaf Books of Accounts dated June 3, 1997 that is kept by the Foundation. The Finance Supervisor has no knowledge as to the location of the original copy of the permit.</p> <ul style="list-style-type: none"> The Finance Officer records financial transactions on a daily basis. 						
2.3	Chart of Accounts, General Ledger and Financial Statements						
a.	<p>The following issues on the Chart of Accounts (COA) have been noted:</p> <ul style="list-style-type: none"> Lack of account descriptions Duplicated account names (e.g., ADMIN, Admin) Existence of dormant accounts (e.g., BDO) <p>As per interview with Daisy Salumbre, Finance Supervisor, duplicated account names cannot be deleted, hence the existence of dormant accounts due to system limitations.</p> <p>The Foundation's Finance Manual documents how account codes are constructed, taking into consideration the following:</p> <ul style="list-style-type: none"> Program Major financial statement caption Financial statement sub-caption Major account 	<p>The Foundation should develop the descriptions of each account to have a common understanding on the proper use of each account.</p>					

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	<p>➤ Specific account</p> <p>Its COA segregates relevant high-level accounts into assets, liabilities, capital or fund balance, revenues and expenses. The COA is documented separately from the Finance Manual of CSO.</p> <p>The inadequacy of details and lack of distinctiveness of the chart of accounts may pose a risk of financial reporting errors or misstatements.</p>						
b.	The Foundation maintains a GL. The GL is updated on a real-time basis.						
c.	<p>As per Note 2 of its 2014 AFS, the Foundation prepares FS in accordance with PFRS for SMEs.</p> <p>Pertinent accounts presented in the FS are used in its GL and are also listed in its COA.</p>						
2.4	Financial Reporting						
	<p>The Finance Manual of the Foundation does not include documentation on the process owners for financial reporting and their respective duties and responsibilities.</p> <p>Absence of financial reporting policies and procedures may hinder the Foundation's financial reporting system and accounting personnel to produce reliable financial reports used by the BOT and Management for decision-making.</p>	The Foundation should document and update its Finance Manual to reflect the process owners relevant to the preparation, review and approval of financial reports.					

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	<ul style="list-style-type: none"> ➤ CSO's Finance Manual states that the following are prepared on a monthly basis: <ul style="list-style-type: none"> • Statement of Assets, Liabilities and Fund Balances • Statement of Support, Revenues, Project Costs, Expenses and Changes in Fund Balances • Budget-variance analysis (per project) • Bank reconciliation statements • Aging of cash advances • Cash position report ➤ The Finance Supervisor reports the consolidated financial reports to the COO and BOT while the Project Accountant reports the financial reports per project to the COO and Project Manager. As per the interview, the Finance Officer and Finance Assistant prepare the financial reports per project. Also, QuickBooks has the ability to generate consolidated financial reports. The financial reports are reviewed and approved by the Finance Supervisor. ➤ FS are reported to the funders depending on the agreement while quarterly FS are reported to the BOT. This is evident in the relevant minutes of meetings kept by the Foundation. 						
2.5	Audit and Review of Financial						

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	Statements						
a.	<p>The Foundation's By-laws and/or Manuals do not indicate policies and procedures on the selection of external auditor.</p> <p>➤ The Foundation's By-laws Section 7.04 states that the BOT shall at least annually secure the services of a certified public accountant whose written report shall be submitted to the members of the Foundation.</p> <p>The Absence of such policies on the selection of an external auditor may lead to getting an external auditor whose expertise is not in line with the Foundation's needs and requirements.</p> <p>➤ The external auditor of the Foundation for its 2013 AFS is Ma. Corazon M. Enriquez, Partner of VALDEZ, ABAD & ASSOCIATES with the following profession details:</p> <ul style="list-style-type: none"> • CPA Certificate No. 031628 • SEC Accreditation No. 1426-A • Tax Identification No. 123-046-974 • BIR Accreditation No.08-002126-2 • PTR No. 4233443- 01/08/14 <p>➤ The Foundation's external auditor</p>	<p>The BOT may consider amending the By-laws or issue a resolution for procedures on the selection of an external auditor. This may include but are not limited to the following:</p> <ul style="list-style-type: none"> • Frequency of selection • Process on the selection of external auditor • Qualifications of the external auditor (according to SRC 68) <p>In reference to the latest SEC database, the Foundation should consider clarifying the status of its current external auditor with the SEC to ensure that it will comply with the reportorial requirements of the regulatory bodies. This is in relation to the SEC SRC 68 3. Qualification and Report of Independent Auditors.</p>					

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	for the 2014 AFS is Alas Oplas & Co., CPAs.						
b.	The auditor's opinion for the 2014 and 2013 AFS are unqualified.						
c.	<p>The 2013 Management Letter (ML) contains findings on the audit of Accounts Receivable and Advances to Officers and Employees including the following:</p> <ul style="list-style-type: none"> ➤ Cash Advances (CA) to Rogel Razel Meim amounting to PHP574,853.36 are not updated. ➤ CA of resigned employees amounting to PHP969, 154.48 is non-moving. <p>An ML was issued in 2013. No ML was issued to the Foundation for its 2014 AFS.</p>	Please refer to the recommendation on strict compliance to cash advance liquidation policies under Cash Flow Management sub criterion 6.1.d.					
d.	<p>The Foundation does not have documented policies on the closing of audit findings.</p> <ul style="list-style-type: none"> ➤ The Finance Manual does not document any provisions in closing audit findings and recommendations. ➤ As per the interview, the Foundation closes the audit findings by addressing them immediately after the discussions with the auditor. The Foundation takes into account the recommendations proposed, which are assessed if practical for the Foundation. 	<p>The Management may consider developing and implementing policies and procedures on the closing of audit findings for such to be addressed properly and yield its value adding effects to the Foundations' operations. The policies may include, but not limited to, the following:</p> <ul style="list-style-type: none"> ➤ Process owners ➤ Timeframe for which the finding is to be addressed 					

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	The absence of policies on the closing of audit findings may cause confusion as to process owners and the steps to take in this process. Critical audit findings may be overlooked and may cause negative financial implications to the Foundation.						
2.6	Variance Analysis (Budget to Actual Cost)						
a.	<p>The Foundation's policies on Variance Analysis are inadequate as policies on the following are not included:</p> <ul style="list-style-type: none"> ➤ Defined process owners (i.e., preparer, reviewer, approver) ➤ Procedures in preparing the variance analysis ➤ Requirement to document the variance between the budget and the actual amount for a certain period ➤ Requirement to provide explanation for significant variances ➤ Clause stating that the variance analysis report requirements may vary depending on funder requirements <p>The Foundation's Finance Manual states that the Finance Supervisor is responsible for preparing the consolidated variance analysis report quarterly and annually.</p> <p>Lack of written policies on process owners may lead to inconsistency in</p>	<p>The Management should revisit and enhance its policies on variance analysis by including the following:</p> <ul style="list-style-type: none"> ➤ Process owners (i.e., preparer, reviewer, approver and other users such as the BOT) ➤ Procedures in performing variance analysis ➤ Requirement to document the variance between the budget and the actual amount for a certain period ➤ Requirement to provide explanation for significant variances ➤ Clause stating that the variance analysis report requirements may vary depending on funder requirements 					

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	<p>the preparation, review and approval of the variance analysis reports.</p> <p>Also, the lack of written policies regarding the amount or percentage for a variance to be considered as significant may hinder the Foundation from prioritizing those that need immediate action plans. This may lead to ineffective use of the Foundation's resources.</p>						
b.	<p>The Core Program Report does not include the following:</p> <ul style="list-style-type: none"> ➤ The variance between the budget and the actual amount ➤ The corresponding explanation for significant variances <p>As per the interview with Finance Officer Raquel Mogol, the Foundation prepares Variance Analysis Reports per project. The amount or percentage of variance that is considered significant varies with what was instructed by the funder. Likewise, the Foundation prepares Variance Analysis Reports for unfunded programs and administrative expenses as evidenced by its Core Program Report.</p> <p>Absence of the above-mentioned information may not allow Management to assess its current performance in terms of its budgets, targets and work plans.</p> <p>For the project-related Variance</p>	<p>The following information should be included in the Core Program Report:</p> <ul style="list-style-type: none"> ➤ The variance between the budget and the actual amount ➤ The corresponding explanation for significant variances <p>The Foundation should document the explanation for noted significant variances in the project-specific Variance Analysis Reports.</p>					

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	<p>Analysis Report, the variance between budget and actual is documented— however, the explanation for significant variances are not documented.</p> <p>Absence of documented explanations for significant variances may result in failure to formulate effective action plans based on reliable and relevant information.</p>						
2.7	Allowable and Unallowable Cost						
a.	<p>The Foundation does not have documented policies or clause stating that the policies regarding unallowable cost is not absolute and may be modified based on donor requirements.</p> <p>Lack of documented provisions for such may lead to conflicts with donor requirements.</p> <p>The Foundation has documented policies on allowable and unallowable costs under the Allowable Expenses Policy section in its Finance Manual.</p>	<p>The Management should consider developing and updating the policy or include a clause stating that the list of unallowable costs is not absolute and may be modified based on donor requirement.</p>					
b.	<p>The Finance Officer reviews liquidation reports and canvass forms to check whether costs are allowable.</p> <p>Based on sample documents inspected, no amounts liquidated were identified as unallowable costs. Documents checked also contain the sign-offs of the appropriate process owners for preparation, review and approval of such.</p>						

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2.8	Direct and Indirect Costs						
	<p>The Foundation does not have documented policies and procedures on cost allocation.</p> <p>The Foundation's Finance Supervisor, Finance Officer and Finance Assistant have a basic understanding of the concepts of direct and indirect cost and cost allocation principles. They allocate direct costs based on which project it was incurred.</p> <p>Indirect costs, on the other hand, are allocated based on the number of hours a staff rendered for each project. Hours rendered by each staff are reported in the timesheets.</p> <p>The absence of policies on cost allocation may lead to inconsistent practices in allocating indirect costs accordingly.</p>	<p>The Foundation should consider documenting its policies on cost allocation for proper identification of a project's performance and cost. It may state in its Finance Manual that cost allocation policies mandated by funding agencies will be adhered to accordingly.</p>					
2.9	Payments – Segregation of Duties						
	<p>The Foundation does not have an approval/authorization matrix documenting its practice on approvals for certain thresholds in amounts of cash advances.</p> <p>Segregation of incompatible duties in the payment process is documented in its Finance Manual. Procedures for Cash/CA disbursements are as follows:</p> <ul style="list-style-type: none"> ➤ Requesting employee submits the Payment Request Form for 	<p>Concerning the recommendation on approval/authorization matrix under 2.1.b, the Foundation should develop an approval/authorization matrix for cash advances documenting the following approvers for certain amounts of disbursements as per practice:</p> <ul style="list-style-type: none"> ➤ PHP10,000 and below to be approved by the COO ➤ Amounts greater than PHP10,000 to be approved 					

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	<p>cash advance, seeks approval from authorized signatories documented in page 23 of the Finance Manual and submits approved CA request to the Finance unit</p> <ul style="list-style-type: none"> ➤ Finance Officer reviews and approves the payment request based on completeness of required documents. Also, the Finance Officer prepares the Vouchers Payable and indicates a note in case the requesting staff has pending liquidation at the time of processing ➤ Cashier prepares the Check Voucher (CV) and the check based on the amount documented in the Vouchers Payable ➤ Finance Supervisor reviews the CV and the check and signs off on the CV to signify approval ➤ Foundational Support Division approves the CV ➤ The check signatory signs the check <p>Lack of documented approval/authorization matrix may result to inappropriate approval of material cash advances.</p> <p>The Foundation's documented Petty Cash Fund (PCF) policies are incomplete as the following are not included:</p> <ul style="list-style-type: none"> ➤ Process owners (preparer, 	<p>by the BOT</p> <p>The Foundation should enhance its PCF policies by indicating the following:</p> <ul style="list-style-type: none"> ➤ Process owners (preparer, reviewer and approver of related forms) ➤ Procedures (request, approval, liquidation and replenishment) ➤ Authorized signatories ➤ Required attachments for liquidation <p>The Foundation should amend the Finance Manual to reflect the COO or the OIC as the approver of the CVs.</p> <p>The Foundation should assign the responsibility of reconciling cash on hand for the PCF to personnel other than the custodian. As agreed, the custodians will be responsible for reconciling cash of the PCF not assigned to them.</p>					

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	<p>reviewer and approver of related forms)</p> <ul style="list-style-type: none"> ➤ Procedures (request, approval, liquidation and replenishment) ➤ Authorized signatories ➤ Required attachments for liquidation <p>Based on the Finance Manual, the following policies are documented for PCF:</p> <ul style="list-style-type: none"> ➤ The custodian should only disburse from the PCF upon presentation by the requestor of an IOU approved by the respective Project Managers or Directors. The IOU serves as an evidence that the staff owes money from the PCF. ➤ Disbursements from the PCF shall be considered as cash advances of requesting employees until valid supporting documents are presented. Liquidation of such advances should be within three (3) days from the date of expenditure. ➤ Liquidation shall be documented using the Petty Cash Voucher (PCV). Unliquidated cash advances shall be subject to the existing policies on cash advances. <p>Inadequate documented PCF policies may result to inconsistent PCF processing practices.</p>						

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	<p>The Foundation's policy on review and approval of CVs is not aligned with their current practice. As per inspection of sample CVs, the COO signs off as the approver. Also as per interview with Finance Officer Raquel Mogol, the Officer in Charge (OIC) may also sign off as approver of the CVs if the COO is unavailable. However, documented policies stipulate that the CVs will be approved by the Organizational Support Division (OSD) —which includes the Admin, Human Resources and Finance Division.</p> <p>Based on the inspection performed, sample CVs and PCVs are:</p> <ul style="list-style-type: none"> ➤ Signed and dated as prepared by the Cashier and reviewed by the Finance Supervisor ➤ The CVs and PCVs are then approved by the COO ➤ Stamped as paid ➤ Attached with relevant supporting documents <p>Misalignment between policies and practices on the review and approval of the CV may result to inconsistent practices on such.</p> <p>Cash count performed to ensure completeness of the fund is performed solely by the custodians themselves which results to improper segregation of duties.</p>						

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	<p>As per interview and the checking of CVs and PCVs for the payment cycle of the Foundation, the following were observed:</p> <ul style="list-style-type: none"> ➤ Cashier and Finance Officer are custodians of PCF amounting to PHP15,000 for administrative purposes and PHP10,000 for projects, respectively. These are stored in one (1) vault. ➤ Only purchases of below PHP1,000 are paid through the PCF. ➤ Improper segregation of incompatible duties may lead to risks and/or opportunities to misappropriate Foundation assets or commit fraud. 						
2.10	Accounting Cycle – Segregation of Duties						
a.	Segregation of incompatible duties in the accounting cycle process is documented in the Finance Manual.						
b.	<p>The following positions documented in its Finance Manual are not existing as per practice:</p> <ul style="list-style-type: none"> ➤ Payroll Accountant ➤ Accounting Assistant <p>On the other hand, Finance Assistant is existing in practice but not documented in the Foundation's Finance Manual.</p> <p>Based on interviews, the following were noted:</p> <ul style="list-style-type: none"> ➤ General ledgers, trial balances 	The Foundation should update its Finance Manual to reflect the current job positions and the related roles and responsibilities.					

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	<p>and periodic financial statements are signed and dated as prepared by the Finance Officer and Finance Assistant and reviewed by the Finance Supervisor</p> <ul style="list-style-type: none"> ➤ Finance Assistant prepares the Payroll Register ➤ The Cashier receives the cash and issues official receipts (OR) to employees who returned excess cash from cash advances and petty cash ➤ Bank reconciliation reports are signed and dated as reviewed and approved by the Finance Supervisor <p>Outdated documented job descriptions and position titles may lead to inconsistent practices in the performance of duties and responsibilities related to the Foundation's accounting cycle.</p>						
2.11	Financial Records						
	<p>The Foundation does not have the following documented policies on backup and recovery of records and files in its Manual:</p> <ul style="list-style-type: none"> ➤ Guidelines and procedures on safekeeping of important financial and non-financial documents ➤ Procedures and process owners (i.e., Accountant and Administrative Manager or equivalent) for the backup and recovery of financial and 	<p>The Foundation should consider establishing a contingency plan in its Manual. The plan should serve as the Foundation's guidelines on safekeeping of important financial documents and pre-numbered accountable forms. It should also include procedures, instruments used and schedule for backup and recovery of financial and non-financial documents as deemed appropriate and efficient by the</p>					

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	<p>operational reports,</p> <ul style="list-style-type: none"> ➤ Instrument used for back-up process ➤ Schedule and frequency of back-ups ➤ Retention period of 10 years (compliant with Revenue Regulation No. 17-2013) <p>Absence of standard procedures on the safeguarding of documents may result to loss of important documents.</p> <p>The instruments where the important documents are saved are kept in the office of the Foundation.</p> <ul style="list-style-type: none"> ➤ As per interview, financial reports are kept and filed in a shelf. According to the Finance Supervisor, important documents are retained for 10 years. ➤ The Finance Supervisor keeps soft copies of the financial records and data in her computer, a flash drive and an external hard drive. She keeps these instruments in the office. Based on the inspection of the flash drive and external hard drive, the documents filed are updated. ➤ Back-up of important data is performed every day. Once the Finance Supervisor closes the QuickBooks software, a message would appear confirming the back-up of files made during the 	<p>Management.</p> <p>As per BIR Revenue Regulation (RR) No. 17-2013, all taxpayers are required to preserve their financial records for a period of 10 years. The Foundation should consider 10 years as its retention period for books of accounts and other accounting records.</p> <p>Moreover, BIR RR No. 5-2014, entities have the following options in preserving its books and other accounting records:</p> <ul style="list-style-type: none"> ➤ Within the first five years of the 10-year retention period, the taxpayer shall retain the hard copies of the accounting records. ➤ After the five-year period to retain hard copies, the taxpayer may retain only an electronic copy in an electronic storage system, which complies with the requirements of these regulations. <p>Other accounting records include the corresponding invoices, receipts, vouchers and returns and other source documents supporting the entries in the books of accounts.</p> <p>The Foundation should photocopy/scan and keep reports and documents in both onsite and</p>					

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	day. The occurrence of a fortuitous event may lead to the loss of documents and other data.	offsite storage, as practical.					
2.12	Sources of Funding						
a.	Based on interview with the Finance Officer and inspection of documents: ➤ Separate manual books of accounts are maintained for each project to monitor the related funds. The manual books serve as the SL of all transactions recorded. ➤ Separate bank accounts are opened for each project to easily track all sources of funds. Currently, the Foundation maintains 11 separate books and bank accounts for its ongoing projects.						
b.	As per interview with Board Member Alejandro Flores and COO Maria Belinda de la Paz, the Foundation is concerned with the current level of unrestricted funds to match foundational priorities and programs. The Foundation has multiple sources of funds from various projects and fundraising activities. The Foundation's main sources of funding, aside from restricted funds for specific projects, are as follows: ➤ General and specific grants and donations from various donors • Adopt a Seedling (donation)	The Foundation should implement its developed 2016-2020 strategies to assist in achieving long-term and short-term resource mobilization goals to have flexibility in funding foundational priorities and programs.					

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	<ul style="list-style-type: none"> • Tree Planting (donation) • Sale of Merchandise (donation) • Donation from the sale of merchandise • Membership fees bullets consistency ➤ Fundraising campaigns <ul style="list-style-type: none"> • Snorkelling (Underwater the Sea Exploration) • Pro-Earth Run/ Fun run for Earth Day • Birdwatching • Hari Econvan Travel ➤ Based on inquiry with the COO, potential sources of funds are regularly discussed during Management and BOT meetings. 						
2.13.	Financial Personnel Management						
	<p>Based on the provided curricula vitae, we have noted the following:</p> <ul style="list-style-type: none"> ➤ Daisy Salumbre, Finance Supervisor - BS Accountancy graduate; attended a training about ledger accounting and a seminar on some auditing techniques. She had worked as an Audit Staff where one of her duties is the drafting of audited financial statements and income tax returns. She also worked as an accounting staff where she checks, encodes and keeps documents for sales book and cash disbursement book. ➤ Raquel Mogol, Finance Officer I - 						

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	<p>BSC major in Financial Accounting; has been working for CSO for four (4) years. She previously worked as an Accounting Officer handling general ledger, accounts payable and payroll. She also worked as a Branch Accountant for a supermarket. Some of her responsibilities were monitoring of the fixed assets and supplies of the branch, preparation of employee payroll and handling of petty cash fund.</p> <p>➤ Jennifer Martinez, Finance Assistant II - BS Accountancy graduate. She had worked as an Admin & Finance Assistant in a non-stock, non-profit, non-governmental Foundation for four and a half (4½) years. Main responsibilities include preparation of checks and disbursements, bank reconciliation, handling of PCF, bookkeeping and filing of sales invoice.</p> <p>Based on the interviews conducted, the Finance Officer and Finance Supervisor are knowledgeable of the accounting cycle, budgeting, forecasting and cost allocation.</p>						
3.	Procurement Systems						
3.1	Procurement Policies, Procedures and Practices						
a.	Purchasing policy states that purchases below PHP5,000 should be	As agreed upon during the closing conference, the following will be					

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	<p>approved by a manager. No authorized signatories are stated for purchases amounting to PHP5,000 and above.</p> <p>The Purchasing policy is contained in the Administrative Manual of CSO. Procedures and process owners in the following areas were covered:</p> <ul style="list-style-type: none"> ➤ Purchase requisition to approval process ➤ Vendor accreditation process ➤ Bidding and quotation process ➤ Duties which cannot be performed by purchasers <p>The following templated forms are documented:</p> <ul style="list-style-type: none"> ➤ Purchase Request (PR) ➤ Abstract of Canvass/Quotation/Bids/Award ➤ Purchase Order (PO) <p>Lack of authorized signatories for purchases above PHP5,000 may result to inappropriate approval process which provides opportunities to conceal fraud.</p> <p>Purchasing policy of CSO only provides the purchasing process of the Foundation. This does not include provisions on receiving of goods.</p> <p>Incomplete purchasing policy exposes</p>	<p>included in the policy:</p> <ul style="list-style-type: none"> ➤ Provision stating that all purchases should be authorized by the COO. In the absence of the COO, the OIC COO may be authorized ➤ Administrative Supervisor to receive goods but should be accompanied by the requestor for inspection and counter-signature ➤ Detailed procedure in receiving and monitoring goods 					

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	the Foundation to the risk of misappropriation of assets, as the standard practice of receiving goods (e.g., quantity check, quality inspection and report preparation) may be inconsistently carried out.						
b.	<p>The Purchase Requisition (PR) form is only prepared after executing canvassing procedures. This is prepared simultaneously with the Purchase Order (PO) and Abstract of Canvass/Quotation/Bids/Award. In this sense, the PR does not serve its purpose.</p> <p>Administrative Officer (AO) prepares pre-numbered PR after obtaining quotation. The preparer fills out the following details in the PR:</p> <ul style="list-style-type: none"> ➤ Preparer ➤ Date prepared ➤ Program/Project ➤ Item Quantity ➤ Item description/scope of work ➤ Item cost ➤ Selected vendor <p>PRs are defined as a document that formalizes a requestor's need to seek management approval to proceed with the purchase. While, POs generally serve as the legally binding document between the buyer and seller.</p> <p>The current practice only adds up to the review and approval procedure when it does not impact the</p>	<p>The Foundation should utilize its existing PR form to aid in formally requesting for procurement transactions. To maximize its purpose, PRs should be used as a trigger point to proceed with canvassing then PO processing. At a minimum, the PR should contain the following details:</p> <ul style="list-style-type: none"> ➤ Preparer/Requestor (signed) ➤ Date prepared ➤ Purpose of request ➤ Item description ➤ Quantity ➤ Date needed ➤ Reviewer and/or Approver (signed) ➤ Date approved 					

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	transaction, exposing the process owners to the risk of inefficiency in performing their respective duties.						
c.	<p>The Program Manager and COO approved all POs, regardless of its amount (PHP1,000 and above).</p> <p>This exposes the Foundation to the risk of delays in operation if the COO is unavailable for approval of the PO.</p> <p>The Administrative Officer prepares pre-numbered PO simultaneously with PR and Abstract of Canvass/ Quotation/Bids/Award upon receipt of the PR. PO is prepared in one (1) copy, distributed only to Finance for payment processing.</p> <p>Administrative Officer also fills out the following details in the PO:</p> <ul style="list-style-type: none"> ➤ Preparer ➤ Date prepared ➤ Program/Project ➤ Item Quantity ➤ Item description/scope of work ➤ Item cost ➤ Selected vendor <p>Upon accomplishment—affixed with quotations obtained—the PR, PO and Abstract of Canvass/Quotation/Bids/Award are routed for approval to the Program Manager and COO.</p>	<p>The Foundation agreed to document the approval process of purchase transactions. It should be provided that all purchases should be authorized by COO and in absence thereof, the OIC COO will be authorized to approve.</p> <p>The Foundation will consider utilizing a PO monitoring file to oversee status (i.e., open, closed, cancelled) of all issued POs. This will be the responsibility of the Administrative Officer.</p>					
d.	Receiving of goods is performed also	The Foundation should assign					

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	<p>by the purchaser or the personnel assigned to procure the goods.</p> <p>Inadequate controls on procurement may result in misappropriation of assets due to error or fraud.</p> <p>AO is authorized to receive goods. Upon receipt, AO verifies physical quantity of goods against the delivery receipt (DR). As to the quality, AO relies on the condition indicated in the DR. Once verified, AO signs on the DR.</p>	<p>purchasing (including purchase order processing and canvassing) and receiving functions to two (2) different personnel. As discussed, the AO will still be assigned in receiving goods, accompanied by the requestor for inspection and counter-signature. This shall be provided in the policies.</p>					
3.2	<p>Compliance with Policies and Procedures—Reasonableness of Price</p>						
	<p>The Foundation has policies and procedures on procurement, documenting the following, among others:</p> <ul style="list-style-type: none"> ➤ Process owners involved ➤ Minimum number of quotations ➤ Justification for selecting which does not meet certain requirement/s, including sole-sourcing ➤ Supplier accreditation requirements <p>AO seeks price quotations from at least three (3) potential suppliers mostly through supplier-visit upon receipt of email notice from the requestor. This notice should be received by the Administrative Officer at least two (2) weeks before the date needed. The AO compiles quotations</p>						

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	<p>obtained then prepares Abstract of Canvass/ Quotation/ Bids/ Award, Purchase Request and Purchase Order and fills out the following details:</p> <ul style="list-style-type: none"> ➤ Supplier/service provider name ➤ Reference number ➤ Date prepared ➤ Quoted price ➤ Item description ➤ Signatories <p>The following additional details are contained in the supplier's quotation attached in the Abstract of Canvass/Quotation/Bids/ Award:</p> <ul style="list-style-type: none"> ➤ Contact person ➤ Contract number <p>The Supplier with lowest quoted price is the one selected in the quotation process. A tick-mark is indicated in the Abstract of Canvass/Quotation/Bids/Award for such selection. The same is reviewed and approved along with the PR and PO.</p>						
4.	Human Resources System						
4.1	Overall HR Policies and Procedures						
a.	<p>CSO's Employee Policy mentions annual performance assessments of its employees. However, no detailed discussion of procedures and necessary authorization was provided for this.</p> <p>The Human Resource (HR) policies of</p>	<p>CSO may consider updating its Employee Manual to include standard procedures on annual performance assessments of its employees. At a minimum, the following should be documented:</p> <ul style="list-style-type: none"> ➤ Process owners (e.g., administrator for performing 					

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	<p>the Foundation are documented in the Employment Policy and covers the following areas:</p> <ul style="list-style-type: none"> ➤ Recruitment and selection for regular, probationary and temporary employees ➤ Payment of salaries, overtime and bonuses ➤ Separation from the Foundation ➤ Official business trips ➤ Working hours ➤ Employee movements ➤ Dress code ➤ Mandatory annual physical examination <p>The HR manual was reviewed and approved by the former COO and was effective beginning June 18, 2003.</p> <p>Lack of detailed documented procedures may cause confusion in the process and the process owners in implementing these assessments.</p>	<p>the assessments)</p> <ul style="list-style-type: none"> ➤ Performance assessment template ➤ Detailed procedures <p>In addition, job titles in the policy will also be updated to reflect the current job titles of employees.</p>					
b.	<p>The Foundation maintains incomplete 201 files. Based on our inspection of documents, we noted that the SSS form of one (1) employee [Noel Resurreccion] is missing. Also, two (2) employees [Resurreccion and Banaszak] do not have NBI Clearances in their 201 files, which is part of the employment requirements.</p> <p>Upon hiring, the HR Supervisor prepares the 201 files of the</p>	<p>Prospectively, the Foundation should strictly file all documents they required from its employees in their respective 201 files. For missing documents, HR Supervisor agreed to have existing employees comply with the requirements.</p>					

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	<p>employees. Upon examination, the 201 file of an employee is composed of the following copies:</p> <ul style="list-style-type: none"> ➤ Applicant Information Sheet ➤ Curriculum vitae ➤ Applicant Interview Rating Sheet ➤ Background Information Form ➤ Offer appointment letter ➤ Signed contract ➤ Job description (signed) ➤ SSS E-4 form ➤ PhilHealth Member Registration Form ➤ Birth Certificate ➤ Certificate of Marriage (if married) ➤ HDMF Transaction Card <p>Failure to secure and file necessary employment documents may result to failure to assess the eligibility of an applicant.</p>						
c.	<p>Organizational Chart only indicates the departments (e.g., Organizational Support Division, Site Action Department) of the Foundation. Moreover, the Organizational Chart does not contain all the names of personnel and the reporting lines of all personnel.</p> <p>The following positions are not indicated in the organizational chart, among others:</p> <ul style="list-style-type: none"> ➤ Board members ➤ Positions and reporting lines under 	<p>The Organizational Chart should include the names and positions of all the employees, including vacancies to guide the Foundation in determining the accountable employees as well as the manpower requirement. The Foundation should clearly reflect the actual reporting lines of its personnel. A structured reporting line will assist in mitigating the risk of incompatible duties or determine positions that need close supervision.</p>					

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	<p>each department</p> <ul style="list-style-type: none"> ➤ Membership Development Officer I ➤ Graphic Artist and Web Designer ➤ HR Officer II ➤ Partnership Development Officer ➤ Finance Assistant <p>The following positions are not indicated as vacant in the organizational chart.</p> <ul style="list-style-type: none"> ➤ Advocacy Officer ➤ Organizational Support Manager ➤ Conservation Officer <p>The Foundation has a documented organizational chart and written job descriptions in the employees' 201 files.</p> <p>Incomplete organizational chart may lead to risk of performance of overlapping duties and/or incompatible duties.</p> <p>Job descriptions are incompletely documented in the Manual. Among others, Job Descriptions of the Administrative Supervisor, Program Manager and Finance Assistants are not documented in the Manuals.</p> <p>Moreover, following positions documented in its Finance Manual are not existing as per practice:</p> <ul style="list-style-type: none"> ➤ Payroll Accountant ➤ Accounting Assistant 	<p>The Foundation should establish and formalize the Organizational Chart and Job Descriptions based on actual and current roles and responsibilities of each position. This document will serve as guidance on the scope of work to be performed by each employee.</p>					

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	<p>Based on the interview with the Finance Officer, there are currently four (4) staff members comprising the Finance Division. These are:</p> <ul style="list-style-type: none"> ➤ Finance Supervisor ➤ Finance Officer ➤ Finance Assistant ➤ Cashier <p>The aforementioned may result to unclear reporting lines within the Foundation and unclear accountabilities and responsibilities among employees.</p>						
4.2	Staff Time Management						
a.	<p>Existence of an established labor activity system and Implementation of labor system</p> <p>The timekeeping system (GatesPCTimeIn) used by the Foundation only requires the employee to enter his or her employee number. There is no monitoring to determine that only employees present can log in their attendance.</p> <p>This exposes the Foundation to risks of ineffectively monitoring actual staff attendance.</p> <ul style="list-style-type: none"> ➤ Based on the Foundation's Employee Manual, office-based employees are required to report to work for 40 hours per week from Monday to Friday. Working hours start at 8 a.m. and ends at 5 p.m. Office-based employees are given 	<p>As discussed with the Management, the Foundation is considering procuring a biometrics system that has the capability to capture the attendance of the Foundation staff.</p> <p>In the meantime, the Management may consider assigning personnel (e.g., HR Supervisor) to perform spot checks at any time during the day to validate the attendance captured in the GatesPCTimeIn.</p> <p>The Foundation should update its Manual to reflect the current practice of allowing submission of Overtime Authority Form after rendering overtime work. Also,</p>					

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	<p>one (1) hour grace period (8 a.m. to 9 a.m.) and has the option to complete the eight (8) hour-shift from 9 a.m. to 6 p.m. Personnel who reports for work beyond 9 a.m. are considered late.</p> <ul style="list-style-type: none"> ➤ On the other hand, field-based employees are required to observe the following work schedule: <ul style="list-style-type: none"> • 17 days - community work • Five (5) days - alliance building (e.g., office work) • Eight (8) days - rest or free days ➤ Field-based employees are expected to follow office-based employees' working hours when they are in the office. Tardiness is defined as the inability to comply with the time required by the job (e.g., training sessions, meetings). ➤ Office-based employees are required to use the Attendance Monitoring Form for monitoring their time-ins and -outs. The Receptionist Desk employee is accountable and responsible for the custody and accomplishment of this form. The office-based employees sign on the Attendance Monitoring Form and attach supporting documents (e.g., leave application forms, overtime authority request forms and travel orders) at the end of the payroll period and the Receptionist Desk employee submits the same to HR Supervisor for processing. ➤ Field-based employees are also 	<p>policies should be amended to note that employees who render overtime of at least one (1) hour instead of three (3) hours are entitled to overtime pay.</p>					

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	<p>required to complete and submit a daily journal and Monthly Plan/Report. These reports should be approved by the employee's supervisor. For payroll purposes, field-based employees are required to accomplish the Timesheet for Field-based Personnel. This form, affixed with supporting documents (e.g., leave application forms, overtime authority request forms and travel orders) should be submitted on or before the 7th of every month to the HR Supervisor for payroll purposes.</p> <p>Policy states that requests to work overtime should be approved prior to rendering overtime work. In practice, Overtime Authority Form is accomplished after rendering overtime work. Furthermore, overtime work is stated in the policy to be at least three (3) hours, anything under this will not entitle the employee to overtime pay. In practice, based on two (2) inspected documents, the employee is entitled to overtime pay upon rendering at least one (1) hour of overtime work.</p> <p>In rendering overtime, an Overtime Authority Form should be approved by the immediate supervisor and submitted to the HR Supervisor one (1) day prior to rendering overtime work. For urgent situations, approval should be obtained via text or phone.</p>						

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	<p>Based on the Employee Manual, employees are entitled to the following paid leaves:</p> <ul style="list-style-type: none"> ➤ 15 days vacation leave ➤ 15 days sick leave ➤ 60 days maternity leave, for normal delivery, miscarriage, medically necessary abortion ➤ 78 days maternity leave, for delivery by caesarean section ➤ Seven (7) days paternity leave to married male employees for four (4) maternity cases <p>Leaves are approved by immediate supervisors.</p> <p>Misalignment between policies and practices on overtime eligibility may result to inconsistent practices on such.</p>						
b.	<p>HR Supervisor manually prepares the report summarizing remarks for days in which an employee has not completed the eight (8) working hours. This is prepared by individually checking the employee's log times. The time summary report does not contain total hours worked by an employee, but the hours not worked are indicated with remarks (e.g., half-day, sick leave).</p> <p>Office-based employees input their employee number to log their time-in on a desktop computer by the office entrance upon arrival. The system used is called GatesPCTimeIn. Every 15th and 30th of the month, the HR</p>	<p>As agreed with the Management, the Foundation should continue canvassing for a timekeeping system that enables its employees to extract a report summarizing the total hours worked by an employee on a daily basis.</p>					

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	<p>Supervisor accesses the system and prints a report summarizing the remarks for days in which an employee has not completed the mandatory eight (8) working hours. Time-ins and -outs are not captured in this report. HR Supervisor forwards the same to Finance Supervisor for payroll processing.</p> <p>Field-based employees prepare activity reports reviewed and approved by the Program Manager. Once accomplished, this is forwarded to the HR Supervisor every first week of the following month.</p> <p>Manual preparation of the time summary report exposes the Foundation to risk of human error.</p>						
c.	<p>The Foundation's finance and administrative personnel do not use timesheets to track work hours incurred for a particular project or activity.</p> <p>Non-utilization of timesheets in monitoring time charges made to a project may hinder the Foundation in determining the actual labor costs for a particular project or activity.</p> <p>Labor costs of employees are allocated to different projects/programs based on hours worked by the employee, taking into consideration the agreed budget with the program funder. Allocation of costs to projects/programs is forwarded to</p>	<p>The Foundation's finance and administrative personnel should document the hours worked for a particular project or activity in their timesheets for tracking of labor hours incurred.</p>					

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	the Program Manager for review.						
d.	<p>According to the interview with HR Supervisor Evarose Cinco, she manually prepares the time report of employees as basis for payroll computation. Blank cells signify that the employee completed eight (8) working hours while cells with remarks contain the reason for which the employee rendered incomplete working hours.</p> <p>Payroll computations are based on the salaries indicated in the contract of employees. Upon examination of the payroll register extracted from the payroll system of the Foundation, CETPAY, details such as basic pay, overtime pay and other allowable deductions are accurate.</p> <p>HR Supervisor produces time report for office-based employees every 15th and 30th of the month and compiles activity reports by field-based employees every first week of the month. These are forwarded to Finance for payroll processing.</p> <p>The time reports are susceptible to human error and may cause inaccurate recording of hours rendered by the employee (deleted cells may be misinterpreted as completed eight (8) working hours.</p>	The HR Supervisor may consider indicating "8" or another legend in the time reports to signify that the employees completed the eight (8) working hours for that day. This may also serve as the completeness check when reviewing the time reports.					
4.3	Payroll System						
a.	Although payment of salaries is mentioned in the Employee Manual, detailed payroll procedures are in a	The Foundation should also include provisions for payroll processing in its Manual. At a					

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	<p>separate document which is not approved.</p> <p>The Foundation adopts an automated payroll system, CETPAY. The Finance Assistant inputs overtime hours and other deductions in the system before initiating computation.</p> <p>According to the Finance Supervisor, however, the tax table configured in the system was not updated since 2004, resulting to understated salaries of employees. The understatement is adjusted every yearend and reimbursed to employees.</p> <p>Once computation is complete, the Finance Assistant prints the payroll register for review of the Finance Supervisor, who forwards the same to the Cashier. Cashier inputs net pay of employees to the Foundation's online bank account for fund transfer. COO or OIC COO is the only personnel authorized to initiate the transfer.</p> <p>Lack of consolidated approved payroll policies and procedures may result in inconsistencies in the performance of standard HR practices.</p>	<p>minimum, the following should be documented:</p> <ul style="list-style-type: none"> ➤ Preparation of accountable forms ➤ Authorization of payment ➤ Form/s of payment ➤ Detailed procedures in processing payroll, in sequence. 					
b.	<p>Finance Supervisor thoroughly reviews the payroll register prior to recording in the accounting system QuickBooks. Because of this, regular reconciliation.</p>						
c.	<p>Upon examination, the salary structure approved in 2005 does not reflect the</p>	<p>The salary scale may be determined through the</p>					

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks								
	<p>salary structure currently maintained by the HR Supervisor.</p> <p>The Foundation has a documented salary structure that presents the salary range under each rank of an employee. Approval was obtained in 2005.</p> <p>Undocumented and outdated salary structure may lead to distribution of uncompetitive pay levels as compared to the industry, which may have a negative effect on employee retention.</p>	<p>assessment and comparison with similar industry practices, workload per position, personnel qualifications and the Foundation's financial capacity. This will aid the Foundation in providing pay levels that are competitive in the market. The Foundation may consider hiring an HR consultant to conduct a study in concluding for the Foundation's salary structure.</p>													
4.4	Travel Policies and Procedures														
a.	<p>There are documented policies requiring employees to document request for travel by accomplishing Travel Order, Itinerary of Travel and Official Business Trip forms. Approval limits for local travel is documented as follows:</p> <table border="1" data-bbox="179 1105 510 1240"> <thead> <tr> <th>Requesting Employee</th> <th>Authorized Signatories</th> </tr> </thead> <tbody> <tr> <td>Middle management and Rank and file</td> <td>Project Manager/Director</td> </tr> <tr> <td>Project Manager/ Program Director</td> <td>Chief Operating Officer</td> </tr> <tr> <td>Chief Operating Officer</td> <td>Management Committee</td> </tr> </tbody> </table> <p>For foreign travels, the trip should be covered by minutes of meeting of Management Committee.</p> <p><u>Cash Advance</u> There are documented cash advance</p>	Requesting Employee	Authorized Signatories	Middle management and Rank and file	Project Manager/Director	Project Manager/ Program Director	Chief Operating Officer	Chief Operating Officer	Management Committee						
Requesting Employee	Authorized Signatories														
Middle management and Rank and file	Project Manager/Director														
Project Manager/ Program Director	Chief Operating Officer														
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No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
	<p>policies covering the following:</p> <ul style="list-style-type: none"> ➤ Use of Payment Request Form (PRF) for cash advance requests ➤ Detailed procedure on preparation to approval of cash advance requests <p>Program Manager, Department Manager, COO and OIC approve the PRF.</p>						
b.	<p><u>Liquidation</u> There are documented liquidation policies covering the following:</p> <ul style="list-style-type: none"> ➤ Use of Liquidation Report for liquidating cash advances ➤ Detailed procedures on preparation for the approval of liquidations ➤ Requirement to submit the Liquidation Report within three (3) working days from the completion of activity/travel ➤ The Liquidation Report is reviewed by the Finance Supervisor and approved by the Program Manager, Department Manager and COO 						
c.	<p><u>Travel Allowance</u> There are documented policies on travel allowance covering the following:</p> <ul style="list-style-type: none"> ➤ Accommodation expenses ➤ Meal allowance ➤ Transportation expenses ➤ Medical expenses ➤ Meeting expenses 						

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
d.	<p><u>Travel Authorization</u> Employee travel is properly authorized through a Travel Order/Official Business Form. This is reviewed and approved by the Program Manager and endorsed to the Finance Supervisor.</p> <p><u>Cash Advance</u> Cash advances are requested through Payment Request Form (PRF) which should be accomplished at least five (5) days before the date needed. PRFs pertaining to CAs should be supported by any of the following:</p> <ul style="list-style-type: none"> ➤ Travel order/Official business form—for travel ➤ Program design flow—for training and workshops <p>This is reviewed and approved by the Program Manager for appropriateness based on the latest budget from the Finance Supervisor.</p> <p><u>Travel Allowances</u> Based on sample liquidation reports inspected, employees are compliant with policies on allowances and expenses (e.g., per diem, hotel and lodging and transportation).</p>						
e.	<p>Based on the inspection of Liquidation Summary forms, the following were noted:</p> <ul style="list-style-type: none"> ➤ One (1) Liquidation Summary inspected does not indicate the date it was prepared. 	<p>Based on observations, the Foundation should implement the following:</p> <ul style="list-style-type: none"> ➤ Remind process owners that employees should utilize the Liquidation Summary template 					

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
	<ul style="list-style-type: none"> ➤ One (1) sample liquidation was made not using the Liquidation Summary template. This poses a risk of the employee missing out relevant details upon submission of liquidation. ➤ PRF/CV number for which the liquidation should be applied is not indicated in the Liquidation Summary. <p>Employees liquidate cash advances through Liquidation Summary which an employee prepares three (3) to seven (7) days after the activity for which cash advance was requested.</p> <p>Liquidation Summary forms should be supported by activity reports and official receipts of transactions.</p> <p>Inconsistencies in liquidation of cash advance practices may result to failure to adequately account for expenses.</p> <p>Furthermore, the following practices are not documented in the policy:</p> <ul style="list-style-type: none"> ➤ Use of acknowledgment receipts ➤ Documentation of the names of the members of the requestor's team during the activity ➤ "Liquidation Summary" as the name of the form instead of "Liquidation Report" <p>Requirement to stamp supporting documents as "paid" upon liquidation</p> <p>Incomplete documented liquidation</p>	<p>and dates should be specified in the accountable forms for monitoring</p> <ul style="list-style-type: none"> ➤ Require the Finance Assistant to indicate the PRF/CV number in the Liquidation Summary upon review to provide evidence of verification. <p>The Foundation should consider updating its policies to reflect the following:</p> <ul style="list-style-type: none"> ➤ Document provisions in using acknowledgment receipts for liquidation ➤ Require employees to indicate the names of their team members during the activity ➤ Change the name of the report from Liquidation Report to Liquidation Summary ➤ Document as part of procedures to stamp supporting documents as "paid" upon liquidation 					

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
	policies may result to inconsistent practices.						
f.	<p>The Foundation requires the following travel-related documents from its employees:</p> <ul style="list-style-type: none"> ➤ Itinerary of travel ➤ Program design flow for training and workshops <p>Based on the inspection of its travel advances, the following are filed per project:</p> <ul style="list-style-type: none"> ➤ Check voucher ➤ Vouchers payable ➤ Employee's list of unliquidated cash advances ➤ PRF and its attachment/s <p>Furthermore, the liquidation of these advances is separately filed per project as well. Documents filed include:</p> <ul style="list-style-type: none"> ➤ Journal voucher ➤ Liquidation summary and supporting documents ➤ Activity report/s 						
5.	Program Performance Management						
a.	<p>Organization has adequate project management system but needs to be documented in a manual.</p> <p>Organization is accredited by PCNC. Based on desk review and discussion with staff, the following observations were noted:</p> <ol style="list-style-type: none"> 1. The organization has a well- 	Project monitoring and evaluation division—accomplishment of the projects					

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
	<p>documented project management system but needs to strengthen its process in consolidating management systems at the institution level. CSO is responsive to management requirements of donor institutions.</p> <p>2. The proponent requires staff to submit monthly activity reports. The inputs are consolidated on a quarterly and annual basis for reporting to the Project Management Team and Board of Trustees, respectively.</p> <p>3. The reports are prepared regularly but need to be improved for consistency of format and monitoring of indicators at the organization level.</p> <p>4. The Project Management Unit is assigned to perform regular monitoring of projects.</p> <p>5. The organization has qualified personnel with impressive track record with USAID and other donors to manage the projects.</p> <p>Documents reviewed include:</p> <ul style="list-style-type: none"> ➤ Project proposals. Grant agreements ➤ Implementation/work plan ➤ Progress reports; five-year strategic plans with details for each project ➤ Monitoring and evaluation manual was not available 						
b.	Need to include in the manual the project management processes and monitoring system.	The progress and issues of individual project are discussed in the reports but the organization					

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		has to put into manual the procedures and processes in monitoring system.					
c.	Organization has adequate qualified personnel for project management and a responsive board that has signified full support to proposed project which is a continuing advocacy of the organization. The project management team mentioned that processes and monitoring system will be considered in the section for good governance of the manual.						
6.	Organizational Sustainability						
6.1	Cash Flow Management						
a.	<p>There are no existing policies and procedures documented in its Finance Manual for the Cash Flow Projection and Cash Position Report.</p> <p>Lack of policies and procedures may result to inconsistent cash flow projection and cash position report practices.</p> <p>The Finance Manual stipulates that the Cashier should prepare the Cash Position Report monthly. The Foundation's definition of Cash Position Report is a summarized collection and disbursement to come up with the cash balance of each bank account as of a certain date. This includes information on postdated checks issued for the month.</p> <p>The Foundation does not maintain Cash Flow Projection.</p>	<p>The Foundation should develop and strictly implement policies and procedures on Cash Flow Projections and Cash Position Report. This may include the following among others:</p> <ul style="list-style-type: none"> ➤ Process owners ➤ Frequency of preparation ➤ Steps in the preparation process <p>The Foundation should regularly perform cash flow projections in accordance with the developed policies and procedures to timely respond to identified liquidity issues in the Foundation, if any.</p>					

No.	Observations	Recommendation(s)	What is/are the action(s) taken by your organization? (What are you doing now which you have not been doing before the project?)	What assistance have you received from Phil-Am Fund (or GRF) regarding your actions taken? (What assistance has Phil-Am Fund (or GRF) provided so that you can do what you are doing now?)	What is/are the change(s) in <u>Organizational Capacity</u> ? (i.e., changes in the ff domains: 1. Governance, 2. Administration, 3. Human Resources, 4. Financial Management, 5. Organizational Management, 6. Program Management, 7. Project Performance Management)	What is/are the change(s) in <u>Organizational Performance</u> ? (i.e., considering the effect of the Phil-Am Fund project to the CSO: 1. Effectiveness - Achieving Results and Meeting Standards; 2. Efficiency - Delivering Services and Enhancing Reach; 3. Relevance - Engaging Stakeholders and Learning; and 4. Sustainability - Mobilizing Resources and Increasing Social Capital)	Remarks
	Failure to monitor and anticipate the Foundation's cash needs and cash position may cause liquidity problems to the Foundation.						
b.	Cash Position Report is not signed and dated as prepared, reviewed and approved. This may give an implication that no review or monitoring from the Management was performed. Thus, potential liquidity problems weren't identified.	The Management should sign off on the cash position report on a regular basis so that monitoring of the Foundation's cash position is documented.					
c.	The Foundation does not maintain accounts payable aging reports. As per interview with the Finance Supervisor, obligations should be paid immediately. If the Foundation fails to track its payables, it may fail to manage its cash position properly. Based on the 2014 FS, the Foundation has project payables amounting to PHP8,286,351. This pertains to obligations to projects and communities supported by CSO. Accrued expenses pertaining to the accrual of professional fees, printing and publication, maintenance, rent, supplies, accommodation, travel and communication amounted to PHP8,135,115.	The Management should designate personnel—other than the one releasing checks and disbursing cash to suppliers or creditors—to monitor and prepare an aging of the Foundation's liabilities. This allows the Foundation to prevent incurring past due accounts. Once a process is designed, consider documenting it in the Finance Manual. The Foundation should maintain aging of payables cut-offs: ➤ 0-30 days ➤ 31-60 days ➤ 61-90 days ➤ 91 days and beyond					
d.	The Foundation has past due unliquidated balances. An aging of cash advances reported an	The Management should enforce strict compliance with the policy for liquidation of cash advances in					

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	<p>unliquidated cash advance as far back as 2004.</p> <p>The required cash advance liquidation period as documented in its policy is as follows:</p> <ul style="list-style-type: none"> ➤ Cash advance for travel (foreign or local)—within three (3) working days upon arrival from work station or completion of the activity or within three (3) working days upon arrival ➤ Cash advance from petty cash—within three (3) days from actual purchase or disbursement ➤ Unliquidated cash advances will be immediately deducted in full from the salary of concerned employee's salary after seven (7) days from receipt of a Notice of Unliquidated Cash Advances ➤ Authority to Deduct form shall be required to be signed by the concerned employee as his/her consent to have the unliquidated cash advance deducted from his/her salary for failure to liquidate <p>Accumulated unliquidated cash advances will lead to unutilized Foundation resources that should have been appropriated for its other operational need.</p> <p>The Aging of Cash Advances Report policy is inadequate as the following</p>	<p>their Finance Manual, including policies on salary deduction for unliquidated advances.</p> <p>The Foundation should develop policies and procedures on Aging of Cash Advances Report. This may include the following among others:</p> <ul style="list-style-type: none"> ➤ Process owners ➤ Steps in the preparation process <p>The Aging of Cash Advances should be prepared in a way that only the total overdue cash advance balances for each employee are presented for proper monitoring under the following cut-offs:</p> <ul style="list-style-type: none"> ➤ 30 days ➤ 31-60 days ➤ 61- 90 days ➤ 90 days and beyond <p>The Foundation should enforce strict compliance with the policies to be developed on sign-offs required from the process owners (i.e., preparer, reviewer, approver).</p>					

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	<p>are not covered by policies:</p> <ul style="list-style-type: none"> ➤ Process owners ➤ Steps in the preparation process <p>Lack of policies may result to inconsistencies in the performance of such report.</p> <p>The Aging of Cash Advances prepared by the Foundation does not allow its users to identify the total overdue cash advance balances, for each employee, for particular cut-offs (i.e., greater than 30 days, greater than 60 days, greater than 90 days).</p> <p>Failure to prepare Aging of Cash Advances in a way that total overdue cash advance balances are presented may result to inadequate monitoring of overdue cash advances and fund mismanagement.</p> <p>Aging of Cash Advances is not signed and dated as prepared, reviewed and approved.</p> <p>Lack of sign-offs may result to failure to establish accountability for information contained therein.</p>						
6.2	Absorptive Capacity						
	<p>The Foundation plans to hire additional staff however, they are not yet confident with the Foundation's ability to sustain the employment of such personnel.</p> <p>This may lead to inefficiencies in</p>	<p>Raise additional funds by carrying out developed 2016-2020 strategies to achieve long-term and short-term resource mobilization goals to have flexibility in funding the Foundation's priorities and</p>					

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	<p>implementing additional projects by the Foundation.</p> <p>The Foundation is currently implementing various projects and programs:</p> <ul style="list-style-type: none"> ➤ General and specific grants and donation from various donors <ul style="list-style-type: none"> • Adopt a Seedling (donation) • Tree Planting (donation) • Sale of Merchandise (donation) • Donation from the sale of merchandise • Membership fees ➤ Fundraising campaigns <ul style="list-style-type: none"> • Snorkelling (Underwater the Sea Exploration) • Pro-Earth Run/Fun run for Earth Day • Birdwatching • Hari Econvan Travel <p>The Foundation has the following current ratios:</p> <ul style="list-style-type: none"> ➤ 2014: 1.81 • 2013: 2.20 ➤ 2012: 2.34 <p>The Foundation has the following monthly defensive interval ratios:</p> <ul style="list-style-type: none"> ➤ 2014: 12.3 • 2013: 8.24 ➤ 2012: 9.23 <p>The 2014 current ratio signifies that the Foundation has sufficient short-term assets to cover its short-term immediate liabilities. The 2014 MDI</p>	<p>programs.</p>					

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	<p>indicates that the Foundation could operate for 12.3 months without any additional funds. This shows that the Foundation is capable of implementing an additional project/activity given its current level of resources.</p> <p>As per the interview, the Foundation plans to hire the following additional staff:</p> <ul style="list-style-type: none"> ➤ Foundational Support Manager ➤ Conservation Officer <p>➤ As per the 2016-2020 Goals Draft, the following indicators of goals set are noted:</p> <ul style="list-style-type: none"> ➤ Generate restricted funds worth PHP100,000,000 of approved grant proposals for Constituency Development Department (CDD) for the next five years <ul style="list-style-type: none"> • Generate at least PHP66.25 million unrestricted funds through communication & advocacy, PHP250,000 per year and PHP500,000 by 2020. • A 6,000 membership target, 88 percent of membership retention per month. 						

Accomplished by: _____

Position: _____

Accomplished on: _____

FGD Guide Questions

A. Involvement in the Phil-Am interventions

1. Do you know of the Phil-Am project in the municipality/community? (Highlight the history and background of the Phil-Am project in the area, including objectives/mission of the project)
2. Who were the key persons/institutions involved in the project?
3. How did you learn of the Phil-Am project?
4. What/who encouraged you to participate in the Phil-Am project? (cite reasons/factors in joining the project)
5. What is your major role in the project implementation or achieving the goals of the project?

B. Benefits derived from the Phil-Am interventions

1. What are the major issues/problems that the project addressed and the respective interventions provided by the project? Identify key persons/institutions involved. (Highlight the relevance of the project interventions)

	Problems/issues addressed by the interventions?	Interventions	Key Person/ Institution involved
Community-level			
Household-level			

2. What are the major skills, learnings and benefits derived from the interventions provided by the project?

Interventions	Skills, Learnings, Benefits

3. What are the major changes observed at the household and in the community due to the Phil-Am interventions? (Highlight both positive and negative changes/outcomes from the project)
4. Were the initial outcomes also benefitted other communities outside the project area?

C. Perception on project effectiveness and efficiency

Effectiveness

- 1- What are the expected outputs/outcomes from the project? (Elicit/request to enumerate project outputs/outcomes)
- 2- Do you think the project was able to achieve these expected outputs/outcomes?
- 3- How would you rate **the project's level of effectiveness in achieving its expected outputs/outcomes?**

Efficiency

- 1- Do you think the project was able to efficiently use its resources to achieve the expected outputs/outcomes?
- 2- **How would you rate the project's level of efficiency** in achieving its expected outputs/outcomes?

D. Problems encountered

1. What are the observed issues/problems in the project implementation?
2. What are the problems encountered in participating to the project?
3. What are the suggested solutions/mitigating measures to address the issues/problems encountered?

E. Sustainability of the project implementation

1. Do you think the benefits derived from the project will be sustained after the project is completed?
2. What are the factors that will contribute to its sustainability/possible discontinuance?
3. Are there other possible projects/initiatives needed to complement or to ensure the sustainability of the project?

KII Guide for GRF's Representative

1. Would you know how GRF was chosen as the USAID partner in the latter's grant-making activity in the Philippines? If yes, please briefly narrate the process the way you understand it.
2. Do you think the organizational capacity of GRF has been improved as a result of the USAID-GRF partnership? If yes, please identify specific improvements. If no, please explain your answer.
3. There are five thematic areas covered by the USAID grants administered by GRF. Were these areas pre-identified by USAID? What was the role of GRF in the identification of these areas?
4. Were the five areas given equal weights in terms of importance? Was there some sort of prioritization made and if so, what was the role of GRF and the USAID in the prioritization process? Why is it that the majority of the grants actually went to biodiversity projects?
5. Please briefly narrate the process which a project proposal from a given CSO has to go through before it finally gets approved for implementation.
6. In general, how long did it normally take for proposals to get approved from the time it was submitted to GRF?
7. What were the requirements for CSOs to become eligible as proponents for the GRF administered USAID grants? Are CSOs required to pass the NUPAS? Was there any assessment of organizational capacity of CSOs before they can access the grant? If yes, who did the assessment and what was the process involved?
8. Did GRF conduct activities to help the CSOs improve their organizational capacity? If yes, what were these? Did you actually notice any improvement? Do you think such improvement translated to improvement in the capacity of CSOs to achieve their organizational objectives? Please cite specific cases of CSOs which exhibited improvement in organizational capacity and organizational performance (i.e. achievement of organizational objectives).
9. In the course of your monitoring and evaluation of the CSOs implementation of their approved projects, what were the common problems you observed and how were these addressed? How did you validate what the CSOs were reporting as their accomplishments for a given period? Were there cases of untruthful reporting? If yes, how were these handled?
10. The USAID outsourced to GRF its grant-making activity out of its belief that such a strategy of involving local organizations can lead to high impact partnership and local solutions. Do you think the strategy is sustainable and viable and will really lead to a high impact? Please substantiate your answer.
11. In general, how would you characterize the USAID and GRF partnership? Did GRF enjoy certain level of independence in administering the grant or was USAID practically prescribing everything?
12. In general, how would you characterize the GRF and CSOs (i.e. beneficiaries) relationship? Did the CSOs enjoy a certain level of independence in implementing their projects or was GRF practically prescribing everything?
13. **What were the inputs of SGV and how did it affect GRF's implementation of the Phil-Am Fund to the CSOs?**
14. What happened with the grant for Resources for the Blind, Inc.? Kindly expound.

ANNEX 5. GRANT PROFILE AND KEY INTERVENTIONS AND CHANGES IN ORGANIZATIONAL CAPACITY AND PERFORMANCE OF CSOS, BY THEMATIC AREA

A. Biodiversity-Themed Projects

A.1. Grant Profile

There were 16 biodiversity-themed projects funded under the Phil-Am Fund Activity: 16 in Luzon and four each in the Visayas and Mindanao. Ten of these projects addressed issues in the terrestrial ecosystems, while six were on aquatic ecosystems, particularly marine. These issues pertained to biodiversity conservation, natural resources management, habitat restoration and protection.

In summary, the projects covered 462,000 hectares in 22 key biodiversity areas that included Mt. Apo, Sierra Madre, Mt. Nacolod, Mt. Kanlaon Natural Park, Northern Negros Natural Park and Balinsasayao Twin Lakes Natural Park, Verde Island, Lake Naujan, Siargao Island and Ligawasan Marsh, among others. Common in these projects was stakeholder engagement, particularly community involvement and alternative livelihoods to ease pressure from the environment. The community and stakeholder engagement approach was able to form, strengthen and mobilize locals groups, most particularly the indigenous peoples, into environmental wardens (bantay gubat, bantay dagat, forest patrollers, bantay pawikan, bantay pawas, etc). These groups were tapped not only as stewards, but also as advocates and citizen scientists as they were trained to conduct biodiversity and habitat monitoring surveys. These surveys have led to discoveries of new species of flora (mistletoe and orchid) and fauna (hornbills, monitor lizard). Community engagement also means tapping into indigenous knowledge systems and practices to ensure co-ownership and sustainability. More importantly, these outputs were invariably used as inputs to local planning for local biodiversity conservation and protection.

Recognizing that the local communities also depend on the natural resources for their livelihoods, the projects also provided alternative sources of income or trainings on sustainable resource use such as honeybee culture, vegetable farming and almaciga resin tapping, among others.

The total cost of the project amounted to over P200 million. The project by FCU was pre-terminated in January 2016 due to the difficulty of the CSO to address the special award condition due to the result of the NUPAS, particularly pertaining to the submission of the corrective action plan. The complete profile of the projects was shown in Table 1.

Table 1. Profile of Sub-Grants of the Phil-Am Fund Activity for Biodiversity

	Sub-Grantee CSO	Title of Project	Grant Amount (PHP)
1.	MFI-Mabuwaya Foundation, Inc.	Northern Sierra Madre Natural Park's Ating Buhay -Ilang, Ating Gubat, Ating Buhay (Our wildlife, our forest, our home) Project	11,437,095
2.	HFI – Haribon Foundation, Inc	Strengthening capacity of local conservation actors in managing the sub-watersheds of Naujan Lake National Park Project	12,703,044
3.	C3PH – Community Centered Conservation Phils., Inc	Protecting the dugongs and Busuanga's marine habitats project	6,451,337
4.	C3MC – Candis Marketing Cooperative	Biodiversity Conservation in Puerto Princesa's Northwest Area and its Attached Interconnected Ecosystems Project	19,627,789
5.	ISO – Institute of Social Order	Promoting participatory island development strategy for Culion, Palawan Project	12,821,255
6.	NATRIPAL – Nagkakaisang Tribu ng Palawan, Inc	Strengthening the role of indigenous people in biodiversity conservation and environmental governance project	12,442,460
7.	PATH – PATH Foundation Phils, Inc	SEAnergy Project	18,835,913

8.	TKI – Tanggol Kalikasan, Inc.	Reducing threats and improving sustainable mangement of biodiversity in Tayabas and Pagbilao Bay Project	13,133,240
9.	SWCFI – Soil and Water Conservation Foundation, Inc.	Strengthening governance, biodiversity conservation and protection and information system in Central Cebu Protected Landscape Project	12,077,562
10.	PBCFI – Phil. Biodiversity Conservation, Inc	Mainstreaming biodiversity conservation in the Negros Island Regional Development Agenda Project	11,627,400
11.	SPIADFI – South Pacific Integrated Area Development Foundation, Inc.	Securing biodiversity in high conservation value areas in the Mt. Nacolod Landscape Project	10,196,163
12.	FCU-Filamer Christian University	Protecting Resources by Organizing Teams for Environmental Conservation and Transformation—pre-terminated	Total - 9,804,039 Actual - 576,978
13.	PEF -Philippine Eagle Foundation	Enhancing biodiversity conservation within the unprotected region of the Mt. Apo key biodiversity area (KBA) Project	16,627,125
14.	SEDMFI – Surigao Economic Development and Microfinance Foundation, Inc.	Improved management of the Siargao Islands Protected Landscapes and Seascapes (SIPLAS) key biodiversity conservation areas for sustainable communities project	9,845,909
15.	TLDFI – Tribal Leaders’ Development Foundation, Inc.	Sustaining a Viable Environment in the Allah Valley Watershed Forest Reserve (SAVE Allah Valley) Project	17,816,275
16.	MDFI – Maguindanaon Development Foundation, Inc.	Improved biodiversity conservation through effective local governance	15,175,515
TOTAL			201,395,060

A.2. Changes in Organizational Capacity and Performance

The NUPAS overall scoring system and its adjectival rating is as follows:

1.0 – 1.5	Inadequate
1.51 – 2.5	Weak
2.51 – 3.5	Adequate
3.51 – 4.0	Strong

Half of the CSOs fall **under the “weak” category and the other half under the “adequate” category** (Table 2). **With the reassessment, two more CSOs were reclassified to “adequate.** The four CSOs subjected to performance evaluation are HFI, ISO, PEF and PBCFI. Except for the latter, **all three CSOs scored under the “adequate” category.** All these 4 CSOs were under fixed amount award scheme.

Table 2. Summary of NUPAS Scores of CSOs implementing biodiversity projects

Sub-Grantee CSO	NUPAS Score	NUPAS Reassessment Score	Adjectival Rating
1. MFI-Mabuwaya Foundation, Inc.	2.6		Adequate
2. HFI – Haribon Foundation, Inc	2.65		Adequate
3. C3PH – Community-Centered Conservation Phils., Inc	2.16		Weak
4. C3MC – Candis Marketing Cooperative	1.87	2.53	Weak

5. ISO – Institute of Social Order	2.56		Adequate
6. NATRIPAL – Nagkakaisang Tribu ng Palawan, Inc	2.04	2.25	Weak
7. PATH – PATH Foundation Phils, Inc	2.62		Adequate
8. TKI – Tanggol Kalikasan, Inc.	2.75		Adequate
9. SWCFI – Soil and Water Conservation Foundation, Inc.	2.27	2.71	Weak
10. PBCFI – Phil. Biodiversity Conservation, Inc	2.17		Weak
11. SPIADFI – South Pacific Integrated Area Development Foundation, Inc.	2.13	2.38	Weak
12. FCU – Filamer Christian University	2.34		Weak
13. PEF -Philippine Eagle Foundation	2.64		Adequate
14. SEDMFI – Surigao Economic Development and Microfinance Foundation, Inc.	2.56		Adequate
15. TLDFI – Tribal Leaders’ Development Foundation, Inc.	2.49		Weak
16. MDFI – Maguindanaon Development Foundation, Inc.	2.55		Adequate

Table 3 summarizes the noted improvements of the CSOs per NUPAS domain. The information was taken from key informant interviews, mailed NUPAS questionnaire validations and project terminal reports.

Table 3. Noted Improvements of CSOs Implementing Biodiversity Projects

NUPAS Criteria	Noted Improvements	CSO	
Legal Structure	Compliance to reportorial requirements of government bodies (SEC, CDA) for financial statements, etc.	TLDFI, C3M3, MDFI, PEF, PATH	
	Revision of by-laws/articles of incorporation considering NUPAS recommendations	TLDFI, C3M3, MDFI, PEF	
	Revision of strategic plan and updating of annual work plan and financial plan	TLDFI, C3M3, MDFI	
	Updated permits (LGU, fire, etc.)	MDFI	
	Compliance to BFP requirements	PEF	
	BoD selection (criteria), to include BoD functions, financial oversight in BoD for FRs , termination clause	C3M3, PATH	
	Updating of organizational chart and authorization matrix	C3M3, PATH, MDFI, PEF	
	Vision statement updating	PATH	
	Code of ethics – formulation, review, finalize, cascaded to employees	TLDFI, C3M3, MDFI, SPIADFI, SWCFI, PEF	
	Code of governance updating	PATH, MDFI	
	Approval of manuals by BoD	PEF, SWCFI	
	Financial Management and Internal Control System	Clarification of financial report preparation, review and approval system	TLDFI, PATH, MDFI
		Approval matrix clarified	TLDFI, C3M3, MDFI
		Safekeeping of records	TLDFI, C3M3, PATH, MDFI, PEF
Cost allocation scheme		TLDFI	
Use of checking accounts rather than cash		C3M3	
Bank reconciliation		C3M3, PATH, MDFI, SPIADFI, SWCFI, PEF	
Use of AuditPal for accounting system		C3M3, SPIADFI, SWCFI	
Chart of accounts updated		C3M3, PATH, MDFI, PEF	
Variance analysis		C3M3, PATH, MDFI, SPIADFI,	

	Allowable costs, direct & indirect costs, petty cash	SWCFI, PEF C3M3, PATH, MDFI
	Cash receipts manual	PATH
	General accounting system, financial reporting	PATH
	Check signatories	MDFI
	Financial personnel capacity improvements	C3M3
	Selection and approval of auditors by BoD	TLDFI, C3M3, PATH, PEF, PBCFI, SWCFI
	BIR requirements for registration	PATH
	Clear delineation of duties (cashier, bookkeeper, accountant)	MDFI
	Bank accounts – policy on closing and opening and dormant accounts	PEF
	Maintain independent audit	PEF
Procurement System	Update/revise procurement policy to include procurement forms, process and approval matrix	TLDFI, C3M3, PATH, MDFI, SPIADFI, NATRIPAL, CANDIS, PEF
	Reasonable pricing determination	PATH
Human Resources	Formulate/revise/update salary structure	TLDFI, C3M3, PATH, MDFI, PEF
	Timekeeping for payroll processing, overtime	TLDFI, C3M3, PATH, MDFI
	Disciplinary action	TLDFI
	Policies on travel and food allowances	TLDFI, C3M3, PATH, MDFI
	Performance evaluation	PATH, MDFI
	Standardized job descriptions	PATH
	201 Files	C3M3, PATH, MDFI
	Policy on recruitment, promotion, personnel selection	MDFI, SPIADFI, CANDIS, NATRIPAL,
Performance Management	Documentation of processes in the Manual of Operations	C3M3, MDFI, SPIADFI, SWCFI
	Project management and monitoring system documentation	PATH
	Internal governance systems, including evaluations	MDFI
Organizational Sustainability	Cash flow statement, financial statements	TLDFI, C3M3, MDFI
	Use of financial ratios in decision making	C3M3
	Cash position report preparation and approval	PATH
	Aging of reports	PATH, MDFI, NATRIPAL, SWCFI

Financial management and internal control system is the area where noted improvements were most reported. Common to all CSOs with data or information are practices on bank reconciliation, selection of the external auditor and variance analysis. The use of AuditPal accounting software was often cited.

On the legal structure, the revision of the articles of incorporation and the CSO by-laws, compliance to reportorial requirements of SEC, BIR and CDA were noted. The formulation, review, finalization and approval of the code of ethics, as well as its communication and cascading to the staff is one of the most noted improvement. Updating of the organizational chart and the authorization matrix was also revised.

Improvements in human resources was reported in the areas of formulating, revising and updating of salary structures, policies on travel and food allowances, performance evaluation and policy on recruitment, personnel selection and promotion. Systematizing the procurement processes to include the use of procurement forms, approval process and matrices were also reported.

Although only for few areas, many CSOs noted improvements in performance management and organizational sustainability. For performance management, these were mostly documentation of the existing systems and

practices in their manuals of operations. On organizational sustainability, these were on the use of analysis of financial documents, reports and analysis to aid decision-making by management.

A.3. Key Interventions of Phil-Am Fund which Effected Organizational Capacity and Performance

The conduct of the NUPAS resulted in recommendations that were constantly followed-up by GRF. Some of the recommendations were followed through with specific interventions. These included the provision of AuditPal software, assistance in developing the operations and financial manuals, various seminars on administrative and financial matters as well as on the technical aspects.

Most of the CSOs, particularly those who were subjected to KIIs believed that the conduct of the NUPAS itself made them realized their shortcomings as a CSO especially with regards to legal and statutory concerns and other administrative matters. PBCFI, for instance, was unaware that the status as a foundation was revoked due to the non-submission of the report, resulting from a miscommunication between the CSO and its consultant.

The result of the KII and survey among CSOs as well as project document reviews to determine changes in organizational capacity and organizational performance was summarized in Table 4.

Table 4. Changes in Organizational Capacity and Organizational Performance due to Key Interventions of GRF of CSOs Implementing Biodiversity Projects

NUPAS Domain	Key Interventions by GRF	Change in Organizational Capacity	Change in Organizational Performance	CSO
Financial Management and Internal Control System	AuditPal online system	Resulted to a strong technical and financial administration capacity; led to efficiency of the process of financial report generation and reporting	Enabled the CSO (C3MC) to access another project from USAID on Municipal waste recycling; Adopted in other projects (PEF)	C3MC MDFI PEF
	Constant monitoring for compliance assessment of NUPAS result	Recommendations were integrated into the administrative and operations manual and other important policies	The organizational development has brought the CSO at par with other non-government social development-oriented organizations that could be relied upon to handle and implement high impact projects	MDFI
Procurement Systems	Assistance in developing Operations Manual	Systematized and institutionalized procurement systems and procedures, making the organization transparent and facilitative in implementation of projects	Project implementation has become smooth as the processes were clearer for all concerned	MDFI, TLDFI
	NUPAS recommendation monitoring	Policies and procedures on community procurement and sole sourcing has led to transparency of transactions and minimize pilferage		PEF
Human Resources	Assistance in developing the Operations Manual	More transparent, efficient and effective in handling projects similar to Phil-Am		MDFI, TKI

Performance Management	Trainings on M&E, theory of change and results-based management	Fund grant CSO was able to discover limitations and opportunities for improvement and learn to immediately rectify and improve on the limitations	CSO was able to understand better how management of social development projects should be done	MDFI
Organizational sustainability	Revisions of manual	Recertification from PCNC Recognition as Donee institution by the BIR		SWCFI SWCFI

Changes in Organization Capacity

In general, the major changes in organizational capacity as a result of the GRF interventions in relation to the implementation of the NUPAS recommendations included (1) the crafting, formulation and revisions of the operations and financial manuals of the CSOs; (2) compliance to statutory regulations particularly relating to SEC and BIR requirements; (3) clarification of the CSO by-laws and rules and regulations; (4) the use of AuditPal in accounting; and (4) improvements of the capacity along the project cycle. These changes boosted the confidence of the CSOs as they raised the level of their operations to be at par with more established and larger organizations. Industry standards and practices coupled with compliance to statutory regulations on human resources management, accounting and finance, procurement processes are followed. The CSOs indicated that all these changes resulted in more transparent transactions that led to a more efficient organization. This is particularly true for the four CSOs covered by the survey (PEF, PBCFI, ISO, HFI) as well as for MDFI, TLDFI, TKI, SWCFI, SPAIFI and PATH.

Specific improvements along with the domains of the NUPAS were as follows:

a. Legal Structure

For PEF, the NUPAS and implementation of the recommendations served as a vehicle for the BOT to be more aware and conscious of the rules governing the foundation. They gained awareness on the need for a structure so that the organization will run as a business. However, there were perceptions that the perspective of the conducted auditing system was more appropriate for large corporations. Although fiduciary requirements should be followed, there were also NUPAS recommendations that could be inapplicable to the CSO being assessed. This view was also shared by PBCFI and ISO.

For ISO, there has been increased awareness of the BOT members on procedural standards such as SEC **requirements. This translates to greater involvement of the BOT on the CSO's** decision-making process. There was also an increase in the level of awareness of the staff since decisions made by the BOT were communicated to the staff. However, improvements in the capacities of the BOT could not be solely attributed to GRF since the Philippine Council for NGO Certification (PCNC) was also conducting capability-building activities along with Samahang Lingkod Bayan (SLB).

Moreover, the code of ethics of the organization was finalized, formally approved and cascaded to the employees of PBCFI, PEF and other CSO such as TLDFI, C3M3, MDFI, SPAIDFI and SWCFI. This important move ensured **that staff culture and behavior were consistent with the CSOs' mandate and profile as well as to protect the credibility and integrity of both staff and organization.**

The formulation of a strategic plan and updating of annual work plans were also mentioned by the PBCFI as a major accomplishment **resulting from the GRF intervention. Strategic plans were important guides to the CSO's** operations.

b. Financial Management and Internal Control System

Most of the CSOs reported improvements in capabilities in the area of financial management and internal control systems, particularly generation of reports following financial and accounting processes in accordance to standards, including standardization and harmonization of chart of accounts, variance analysis, safekeeping of financial records, bank reconciliations, clarification of all types of costs (allowable, direct, indirect, petty cash), selection and approval of auditors and the clear delineation of duties among key personnel such as cashiers, bookkeepers and accountants. Such improvements were necessary to meet project deliverables, efficient generation of reports for submission while following acceptable standards on financial management. Another change was improved capability to meet deadlines for deliverables, which is attributed to the means of verification (MoV) scheme of payment where they need to deliver outputs at a specific timeline.

Most importantly, almost all CSOs were appreciative of the accounting software AuditPal which was provided by the GRF. Accordingly, these has made the recording, processing and generation of financial reports more efficient. In fact, a number of CSOs such as ISO and PEF has opted to continue using AuditPal even after the Phil-Am Fund activity.

In response to the recommendations aimed at installing a system of “checks and balances”, ISO now has a delineation of accounting tasks. ISO has become more careful in their financial documentation, which includes implementing a system with proper segregation of transactions and faster summary of accounting transactions.

c. Procurement Systems

Procurement systems is an area where most CSOs also had a change in practice. The revisions and updating of procurement policies were noted, such as the use of procurement forms, numbering system, use of canvass and the proper approval matrix were important considerations for TLDFI, C3M3, PATH, NATRIPAL, CANDIS, PEF and PBCFI. These systems have resulted to faster and better tracking of transactions, resulting to a more transparent procurement processes and faster delivery of goods and services needed for project implementation.

d. Human Resources

A more systematic management of personnel has been instituted in various CSOs. For instance, ISO has a lot of staff movements such as transfers, hiring and resignations. This has provided a challenge in terms of personnel records. ISO has become stricter on the implementation of such human resource policies. This is also true for SWCFI. Also, for MDFI, SPIADFI, CANDIS and NATRIPAL, the policy on recruitment, promotion and personnel selection ensures that they are able to hire personnel best suited for the job.

Other areas of improvement included the formulation, revision and or updating of salary structures, along with standardization of job descriptions for a number of CSOs such as PEF, PBCFI, MDFI, TLDFI, C3M3 and PATH. Although the policy is difficult to implement because of the size of some CSOs, compliance to the requirement ensures the legitimacy of the organization as it seeks to follow industry rates and standards for personnel compensation.

The Employee performance evaluation, an important concern to maintain personnel of high caliber able to deliver the desired output of the project, has been instituted in PEF and PBCFI.

e. Performance Management

There are improvements in the project management capabilities that can be credited to feedbacks from the GRF. For instance, in conducting a participatory community assessment, ISO now considers IP, gender and culture in the assessment. The CSOs improve their capacity to comply with requirements of the donor agencies such as **the quarterly and monthly progress reports. All CSOs collect “Stories of Interest”, which are documentations of impact narratives from the stakeholders themselves.** Improvement of technical reporting and documentation is also realized. Validation of data is now being done before submitting reports, especially for ISO. Through the process, ISO can revisit their own approach to M&E, now infusing the theory of change. The staff is also able to

recognize that the reportorial demands from GRF enabled them to become flexible in utilizing their expertise on their field, not to mention innovate some of the internal communication mechanisms through the use of digital technology and social media.

On the capacity built along the project cycle, ISO has reported that under M&E, adoption and use of the theory of change are perceived to be helpful as the tools are very specific. Under dissemination, the process of capturing stories of interests is effective since the results of the interventions become real. Under project implementation, **the grant provided opportunities to improve ISO's capacities on project management** and implementation. In fact, they are now utilizing staff with a certain level of expertise (e.g., biodiversity) to projects concerning their own fields. Effective diffusion of knowledge is facilitated. Finally, there is now an effective collaboration among ISO units (i.e., HR, Finance, among others.)

Capacities of the PEF that was built because of the project included development of a database of project information and outputs/knowledge management systems, use of log frames, monitoring forms, coordination of project sites, harmonization of plans and policies, clarifying and manualizing of processes in the organization. More importantly, the organization can leverage this experience in getting funding from international donors. On knowledge sharing, they have improved their capacity in terms of always being prepared if there is a need for presentation. They are also more vocal now to share updates and learning to bigger audiences like seminars and workshops.

For PBCFI, the sets of training attended by the CSO staff provided additional capacity and new skills and knowledge, such as on the theory of change and stories of interest and capacity improvements along the project cycle, including the use of means of verification, packaging of proposal, monitoring and evaluation.

f. Sustainable Organization

For PBCFI, addressing the NUPAS recommendations has led to the realization of the importance of good governance for the sustainability and efficiency of the CSO. The project provided them the opportunity to work extensively on biodiversity in Negros Island—which placed the organization in a better position to implement conservation programs in the Philippines—to contribute not only on the local and national levels but also on a global scale. Through this effort, links have been established with organizations that have similar priorities as well as with a network of citizen scientists.

SWCIF credits the revisions of the manuals and policies as a result of the NUPAS to have contributed re-certification from the PCNC as well as the BIR Certificate as a Donee Institution.

Changes in Organizational Performance

The NUPAS was also instrumental in the changes in organizational performance, particularly in terms of relevance, effectiveness, efficiency and sustainability.

a. Relevance

CSOs that were founded to work on environmental issues such as most of the CSOs under biodiversity theme remain relevant, as the projects under the Phil-Am Fund are also aligned with their respective vision and mission. This factor has resulted in strengthened relationships with stakeholders and reputation of the CSO as a reliable actor in biodiversity conservation. The CSOs perceive that they are more able to effectively address the issues.

b. Efficiency

On efficiency, the NUPAS experience has been seen as the most important aspect that provided realization on the importance or needs to have a strong administrative and financial system for sustainability and consolidate its gains.

These strengthened systems and processes enable the CSOs to deliver outputs in a more efficient manner. For ISO, for instance, the systems supporting the deliverable-based release of funds to the CSO enable the team to craft change management strategies. The design of the project called for the extensive networking with stakeholders as ISO needed to always coordinate with LGUs and the community in order to meet reporting and fund release conditions of the grant.

c. Effectiveness

For most CSOs, including ISO and PBCFI, there is a better appreciation of stories of interest. ISO is now able to place value on their efforts. Documented stories of the project beneficiaries place a measure of project outcomes and impacts. The stories of interest provide shreds of evidence that the projects are felt by various stakeholders on the ground, as well as on the extent by which the project objectives have been attained. For ISO, for instance, the project was able to do a complete community and environment profiling through the PCREA (database and maps). While they are doing this before, the grant enabled them to conduct more comprehensive and simultaneous profiling activities. The grant also allowed a wider ground-truthing activity. This is important especially in the development of maps since they can identify areas for possible reforestation activities and validate overlap of activities between organizations (i.e., DENR). USAID is pushing for gender development **through the reinforcement of ISO's gender advocacy. For PBCFI, the conduct of biological monitoring surveys** with the volunteers to collect information are used as basis for the formulation of the conservation framework of NIBSAP. For PEF, the successful formation of forest guards and the PUSAKA declaration were two of the most **important proofs of the project's effectiveness.**

d. Sustainability

Finally, on sustainability, the involvement of agencies and institutions ensures buy in and provides assurance for the continuance of project activities for which they were designed for (BMS, use of monitoring stations, inventory, use of NIBSRA by LGU and DENR). Fund leveraging was another measure of sustainability.

B. Governance-Themed Projects

B.1. Grant Profile

There were five governance-related projects supported by Phil-Am Fund with a total grant amount of almost PHP70 million (see Table 5). The largest grant amounting to more than PHP20 million was given to the Jaime V. Ongpin Foundation, Inc. (JVOFI) to implement the project intended to protect and defend the Amburayan River Basin and Watershed through good governance and active participation of indigenous people. The next largest grant was provided to the Young Public Servants (YPS) which implemented a project designed to enhance the political participation among Filipino youth. The Antique Federation of NGOs (AFON) was given a grant of nearly PHP16 million for the implementation of a people-led monitoring and evaluation project, while the Institute of Corporate Directors (ICD) received a grant of close to PHP12 million to administer the ASEAN Corporate Scorecard (ACGS) for Philippine public-listed companies (PLCs). The smallest grant, nearly PHP6 million, was **given to the Naga City People's Council to advance and institute greater accountability and transparency by expanding civic engagement in Metro Naga.**

Table 5. Profile of Sub-grants of the Phil-Am Fund Activity for Governance

Sub-Grantee CSO	Title of Project	Grant Amount (PHP)
1. ICD - Institute of Corporate Directors	ASEAN Corporate Governance Scorecard (ACGS) for Philippine Publicly Listed Companies (PLCs)	11,686,564
2. JVOFI - Jaime V. Ongpin Foundation, Inc.	Protecting and Defending the Amburayan River Basin and Watershed through Good Governance and Active Indigenous People's Participation	20,262,315
3. NCPC - Naga City People's Council	Advancing and Instituting Greater Accountability and Transparency through Expanded Civic Engagement in Metro Naga	5,922,935
4. YPS - Young Public Servants	Democratic citizenship and good governance for change: Enhanced political participation among the Filipino youth project	16,079,546
5. AFON - Antique Federation of NGOs	People-led monitoring and evaluation system (PLMES) project	15,813,583
TOTAL		69,764,943

B.2. Changes in Organizational Capacity and Performance

The ICD, JVOFI and AFON were assessed through the NUPAS as having adequate organizational capacity even before receiving the grants from Phil-Am Fund (see Table 6). They were therefore placed under the cash advance mode of fund release. In contrast, NCPC and YPS were found to have weak organizational capacity thus were placed under the reimbursement mode of fund release. Both NCPC and YPS were subjected to NUPAS reassessment, but no scores were indicated in the report.

Table 6. Summary of NUPAS Scores of CSOs implementing governance projects

Sub-Grantee CSO	NUPAS Score	NUPAS Reassessment Score	Adjectival Rating
1. ICD - Institute of Corporate Directors	3.03	n/a	Adequate
2. JVOFI - Jaime V. Ongpin Foundation, Inc.	2.80	n/a	Adequate
3. NCPC - Naga City People's Council	2.39	with reassessment but no indicated score	Weak
4. YPS - Young Public Servants	1.75	with reassessment but no indicated score	Weak
5. AFON - Antique Federation of NGOs	2.91	n/a	Adequate

There were considerable changes in organizational capacity of the CSOs as a result of their participation in the project (see Table 7). The CSOs with weak NUPAS scores (i.e. NCPC and YPS) reported improvements in their legal structure, which include the revision of their by-laws/article of incorporation; updating of local permits; updating of organizational chart and authorization matrix; formulation of code of ethics; and proper documentation of the minutes of BoD meetings. NCPC also reported it had required the signing of conflict of interest and disclosure forms and had these included in the employee's 201 files.

Table 7. Noted Improvements of CSO implementing governance projects

NUPAS Criteria	Noted Improvements	CSOs	
Legal Structure	Compliance to reportorial requirements of government bodies (SEC, CDA) for financial statements etc.	YPS, AFON	
	Revision of by-laws/articles of incorporation considering NUPAS recommendations	YPS, AFON, NCPC (revised by-laws still to be presented to the GA)	
	Updated permits (LGU, fire, etc.)/ Compliance to local registration requirements	YPS, AFON, NCPC	
	NEDA Accreditation	AFON	
	Accreditation from municipalities	AFON	
	BoD selection (criteria), to include BoD functions, financial oversight in BoD for FRs, termination clause	YPS	
	Updating of organizational chart and authorization matrix	YPS, JVOFI, ICD, NCPC	
	Vision and Mission statements displayed in the office premises	YPS	
	Code of ethics – formulation, review, finalize, cascaded to employees	YPS (Complied with establishing a code of ethics but it is not indicated if COE is being properly cascaded to employees), AFON	
	Signing of Conflict of Interest Disclosure Form and filed in employees' 201 files	NCPC	
	Approval of manuals by BoD	YPS	
	Proper filing of minutes of the board meeting	YPS, AFON	
	Minutes signed by the secretary	NCPC	
	Financial Management and Internal Control System	Clarification of financial report preparation, review and approval system	JVOFI (ongoing; hopefully can be resolved by the updated acctg system), NCPC
		Safekeeping of records	YPS, JVOF, ICD, NCPC
		Bank reconciliation	JVOFI, YPS, ICD, AFON, NCPC
		Use of AuditPal for accounting system	JVOFI (uses MYOB), YPS, AFON
		Chart of accounts updated	JVOFI, NCPC
		Variance analysis	JVOFI, YPS, ICD, AFON
		Policies on allowable costs, direct & indirect costs, petty cash, cash advance	YPS, NCPC
General accounting system, financial reporting		JVOFI, ICD	
Financial personnel capacity improvements		AFON	
Clear delineation of duties (cashier, bookkeeper, accountant, Treasury Assistant)		JVOFI, YPS	
Maintain independent audit		AFON	
Use of acknowledgement receipts instead of official receipts for funds returned to the CSO (not income)		JVOFI	
Updating of CSO's shares of stocks/ investments		JVOFI	
Authorization matrix for procurement and disbursement		JVOFI	
Monitoring and handling of supplies		JVOFI	
Budget processes and policies		JVOFI (but was being done even before the NUPAS)	
Monitor cash advances through aging and adopt policy on liquidation		JVOFI, ICD	
Ensuring accuracy of data on purchases		JVOFI	

	Maintenance of a bank account for Phil-Am Fund	YPS
	Updated financial manual to reflect recommendations in the NUPAS	YPS, NCPC
	Approved policies and procedures on cash disbursements	YPS
	Complete set of manual books of account	YPS, AFON
	Policy on records management and contingency plans	ICD
	Authorized check and bank recon signatories	NCPC
	Separate books of accounts for different projects of the CSO	NCPC
	Required approvals of vouchers	NCPC
	Allocation of resources for attendance to workshops or trainings	NCPC
Procurement System	Update/Revise procurement policy to include procurement forms, process and approval matrix	JVOFI, YPS, ICD, AFON, NCPC
Human Resources	Update manuals (preparation, review and approval of HR documents)	JVOFI
	Formulate/revise/update salary structure	ICD
	Timekeeping for payroll processing, overtime	YPS, ICD, AFON, NCPC
	DTR review and approval of Superior/Manager	JVOFI, ICD, AFON, NCPC
	Policies on travel and food allowances	YPS, ICD, NCPC
	Performance evaluation	AFON, NCPC
	201 Files	YPS, ICD, AFON
	Policy on recruitment, promotion, personnel selection	ICD
	Payroll cutoff and payment of salary schedules	JVOFI, AFON
	Policy on sick leaves and monetizing unused SLs	JVOFI
	Standardization of policy on employee insurance and other benefits	JVOFI
	Policies on salary deduction	NCPC
	Succession plan for key personnel	JVOFI (“Ongoing concern. Succession plan prepared in 2014 but needs frequent updating due to staff turnover. JVOFI is currently studying the possibility of adopting the Association of Foundations’ Lead to Serve assessment tool as a means for identifying and developing successors.”)
	Formulate BOT approved section on human resource management policies and procedures	YPS
Performance Management	Policies and review of liquidation reports	YPS
	Documentation of processes in the Manual of Operations	YPS
	Project management and monitoring system documentation	YPS, JVOFI (has an M&E manual)
	Attendance to skills management workshops/ trainings	NCPC
Organizational Sustainability	Including financial ratios in regular financial reporting and use in decision making	JVOFI, YPS, ICD
	Aging of reports	AFON
	Policies on cash flow monitoring	NCPC

On financial management, NCPC and YPS reported they now have a system for safekeeping important records, a system for bank reconciliation and used AuditPal in their accounting system. In addition, they have formulated policies on allowable costs, direct and indirect cost, petty cash and cash advances. Both CSOs also reported they formulated a complete manual book of accounts and have updated their financial manuals to reflect the recommendations of the NUPAS. Timekeeping for payroll processes and overtime is also practiced coupled with daily time record (DTR) review and approval. They have also documented their policies on travel and food allowances and liquidation of cash advances as well as policies on salary deduction.

Both NCPC and YPS also reported they have updated their procurement policies to include procurement forms, process and approval matrix. They have also improved their human resources policies and had these approved by their respective BoDs. On performance management, important improvements were on the documentation of all processes and project performance monitoring system.

The CSOs with adequate organizational capacity namely, ICD, JAVOFI and AFON also reported improvements in their operation which further strengthened their capacity. On legal structure, JAVOFI and ICD updated their organizational structure and authorization matrix while AFON reported improvement in filing the minutes of BoD meetings. On financial management and internal control system, these three CSOs reported they now have a system for bank reconciliation and they are now using AuditPal in their accounting system. They are also carrying out variance analysis to identify areas in their operations that can still be improved. Moreover, they have updated/revised their procurement policy to include procurement forms, process and approval matrix.

B.3. Key Interventions of Phil-Am Fund which Affected Organizational Capacity and Performance

All the five CSOs reported that almost all of the changes in organizational capacity enumerated above can be attributed to the assistance provided by the Phil-Am Fund through the GRF. Reportedly, the GRF provided guidance in strengthening the legal structure of the CSOs particularly in terms of completing and updating registration requirements and other legal documents as well as in firming up organizational policies that govern their operation. As a result, regulatory requirements are now properly addressed and staff members have become more motivated as organizational policies have become more explicit and transparent.

The GRF was also instrumental in instituting better processes on financial management and internal controls. The AuditPal which improved financial records and transactions was introduced by the GRF. Policies on bank reconciliation and fund disbursements were formulated by CSOs since these were required by the GRF, which also shared with them best practices along with these concerns. Overall, these changes resulted to more efficient operation as claimed by the CSOs themselves.

The GRF also assisted in developing the procurement manuals of the CSOs. This led to more systematic procurement procedures and contributed to greater transparency in procurement operation which, prior to such intervention was identified as a primary area where corruption can occur. The GRF likewise guided the institutionalization of specific reforms in the internal control system which, according to the CSOs enabled them to be more cost-effective.

Table 8. Changes in Organizational Capacity and Organizational Performance due to key Interventions of GRF for Governance Grants

NUPAS Domain	Key Interventions by GRF	Change in Organizational Capacity	Change in Organizational Performance	CSO
Legal Structure	Guidance in dealing with the CSO's contract with its secretariat services	Administrative and regulatory requirements are properly attended to	Improved efficiency in terms of human resources. Hired employees are kept to a minimum.	YPS
	Guidance in organizing local registration requirements and other legal documents	Enhanced records management	Achieved transparency through proper documentation	YPS, AFON, NCPC
	Updated and approved organizational chart	Improved awareness of roles and responsibilities and accountability among staff	Streamlined human resource requirements contributing to improved efficiency.	YPS, JVOFI, ICD, NCPC
			Knowledge of roles and structure enable staff to more effectively carry out their roles	
			Harmonious relationship with other departments.	
	Thorough review of contracts and MOA	CSO is better equipped into preparing and reviewing agreements	Improved effectiveness in engaging third parties	YPS
	Displayed Vision and Mission Statement	Staff are better motivated as they have a long-term vision for the work they are doing.	Relevance - ability to relate activities to vision and mission	YPS
	Documentation of roles and responsibilities of all employees	Staff are guided with processes and procedures; discipline imposed in terms of working hours	Processes are standardized resulting in improved effectiveness and efficiency	YPS
	Establishment of Audit and Ethics Committee	Roles of different BOT members identified; improved monitoring of operations	More effective operations as BOT can guide strategy and governance activities	YPS
	Establishment of Code of Ethics	Improved behavior of staff in terms of ethical conduct	Integrity of the organization ensured	YPS
Updated by-laws to reflect system on election and dissolution	Improved governance by establishing a process to transition leadership	Improved sustainability	YPS	
Financial Management and Internal Control System	AuditPal online system	Improved financial records and transactions	Improved financial records and transactions	AFON
	Maintenance of a separate bank account for the Phil-Am Fund	Improved financial management	More efficient operations	YPS, NCPC
	Approved documented policies on bank reconciliation	Improved monitoring of financial records	More efficient operations	YPS, NCPC
	Policies on allowable and unallowable costs, cash disbursements and petty cash fund	Improved financial management and control. Staff was made aware of unallowable expenses	More efficient operations	YPS, ICD, NCPC
	Policies on preparation and review of FS	Improved monitoring of financial transactions	Efficient operations	YPS, ICD
	Constant monitoring for compliance	Recommendations were integrated into the	The organizational development has brought	JVOFI, YPS

	assessment of NUPAS result	operations and governance manuals	the CSO at par with other non-government social development-oriented organizations that can be relied upon to handle and implement high impact projects	
Procurement Systems	Assistance in bank reconciliation (template)			ICD*
	Assistance in developing Procurement Manual	Systematized and institutionalized procurement systems and procedures, making the organization transparent and facilitative in implementation of projects	Project implementation has become smooth as the process are clearer for all concerned	JVOFI, YPS, ICD, NCPC
		Compliance with best practices and facilitate cost-effective operations	More efficient and transparent operations	
Human Resources		Improved control and monitoring system and CSO became cost-effective.	Improved sustainability of the CSO	
	Assistance in developing HR policies in the Operations Manual	More transparent, efficient and effective in handling projects similar to Phil-Am Fund grant	Admin and finance became more effective in monitoring company assets	JVOFI, YPS, ICD
		Improved discipline and transparency among employees	Improved effectiveness and efficiency as employees are guided by standard policies and procedures	
Performance Management		Improved cost-control	Resources are used wisely	
	Documented 201 file management	Enhanced records management	Information on employees readily available to facilitate decision-making	YPS, ICD
		Improved the security of the organization and its personnel	More effective in documenting the personnel of the CSO	
Organizational sustainability	Strengthen monitoring and reporting	Improved program performance through close monitoring and feedback	CSO is able to understand better how management of social development projects should be done, thus leading to effective operations	YPS
	Recommendation to create standard approaches in monitoring and reporting based on experience in project implementation			JVOFI
Organizational sustainability	Improvement in financial reporting	Improved monitoring of transactions and planning of activities	Effective and sustainable operations	JVOFI, YPS, ICD, NCPC

*("Initially, template provided by GRF was used. Later, a system was adopted and is now used in accomplishing the task.")

C. Economic-growth-themed Projects

C.1. Grant Profile

CSOs continue to play the role of catalyst in the attainment of sustainable economic growth and development, working for the benefit of the people with numerable activities. Their main tasks are to organize these people, create awareness in them and make them development-oriented. These organizations are working based on the assessed needs and demands of the communities.

There were seven economic growth-themed projects funded under the Phil-Am Fund Activity: one in Luzon, two in Visayas and four in Mindanao. Most of the projects address issues about socio-economic development such as the improvement in technologies and production and marketing structures. Common in these projects is the promotion of the development of communities in its area of operation which is consistent with the principles of self-reliance and total human development. The projects have provided benefits to farmers by giving them livelihood opportunities from the project. The total cost of the project amounted to over PHP300 million. The complete profile of the projects including project title, amount of grant received and the development issues addressed is found in Table 9.

Table 9. Profile of sub-grants of the Phil-Am Fund activity for economic growth

Sub-Grantee CSO	Project Title	Amount of Grant Received
1. Roxas Foundation, Inc. (RFI)	Turning a New Leaf: Threads and Weaving from Sugarcane Project	PHP14,250,910
2. Tamaraw Salt Producers Cooperative (TAMACO)	Poverty alleviation through intensification of salt farms productivity and capacity building project	PHP28,060,072
3. Philippine Agrarian Reform Foundation for National Development (PARFUND)	Duck Enterprise for Employment Generation and Growth (DUCK EGG) in Mindanao	PHP19,754,832
4. PinoyME Foundation Inc.	Reducing Rural Poverty through Agro-entrepreneurship	PHP19,998,530
5. Tuason Development Foundation, Inc. (TDFI)	Davao Gulf Business Incubator Facility for Start-up Business Project	PHP13,123,495
6. Pagtambayayong Foundation, Inc. (PFI)	Economic Recovery and Growth for Small Farmers in the Typhoon Yolanda-Affected Areas of North Cebu Project	PHP9,523,230
7. Cagayan de Oro Chamber of Commerce and Industry Foundation (ORO CHAMBER)	Program Support for the Chamber's Promotion of "Inclusive Growth through Inclusive Business"	

C.2. Changes in Organizational Capacity and Performance

The CSOs which implemented projects on economic growth had undergone Pre-Award Risk Assessment (PRA) during the **Phil-Am Fund's 1st, 2nd and 3rd Cycle Regional Solicitation Conferences**. CSOs were given scores according to the assessment in six primary areas: (1) Legal Structure; (2) Financial Management and Reporting Systems; (3) Procurement Systems; (4) Human Resources Systems; (5) Project Performance Management; and (6) Organizational Sustainability. Recall that the NUPAS overall scoring system and its adjectival rating is as follows:

1.0 – 1.5	Inadequate
1.51 – 2.5	Weak
2.51 – 3.5	Adequate
3.51 – 4.0	Strong

Majority (4 out of 7) of the CSOs fall under the “Weak” category while the remaining are under “Below Adequate” category (see Table 10). Three of them had undergone a NUPAS reassessment but without indicated score in the report. Most of them (RFI, TAMACO, PARFUND, TDFI and PFI) fall under reimbursement scheme. By contrast, cash advance/ liquidation basis was applied for PinoyME.

Table 10. Summary of NUPAS Scores of CSOs implementing economic growth projects

Sub-Grantee CSO	NUPAS Score	NUPAS Reassessment Score	Adjectival Rating
1. Roxas Foundation, Inc. (RFI)	2.52	N/A	Below Adequate
2. Tamaraw Salt Producers Cooperative (TAMACO)	1.82	with reassessment but no indicated score	Weak
3. Philippine Agrarian Reform Foundation for National Development (PARFUND)	1.93	with reassessment but no indicated score	Weak
4. PinoyME Foundation Inc.	2.54	N/A	Below Adequate
5. Tuason Development Foundation, Inc. (TDFI)	1.83	with reassessment but no indicated score	Weak
6. Pagtambayayong Foundation, Inc. (PFI)	1.93	N/A	Weak
7. Cagayan de Oro Chamber of Commerce and Industry Foundation (ORO CHAMBER)	2.41	N/A	Below Adequate

Noted improvements of the CSOs per NUPAS domain are summarized in Table 11. The information was taken from key informant interviews, mailed NUPAS questionnaire validations and project terminal reports.

Overall, the major changes in organizational capacity as a result of GRF interventions in relation to the implementation of the NUPAS recommendations included (1) the crafting, formulation and revisions of the operations, human and financial manuals of the CSOs; (2) compliance to statutory regulations particularly relating to SEC and BIR requirements; (3) clarification of the CSO by-laws and rules and regulations; (4) the use of AuditPal in accounting; and (5) improvements of the capacity along the project cycle. These changes enhanced the level of their operations of the CSOs to be at almost the same level as more established organizations. The CSOs have indicated that all these have led to a more effective project management. This is particularly true for the CSOs such as TAMACO, TDFI, Oro Chamber and PinoyMe.

NUPAS comments about procurement mostly involve the manualization of the procurement process in the organization. These organizations make use of purchase request and purchase order forms and follow certain guidelines and budgetary requirements in choosing suppliers for their needed products. TAMACO, TDFI, PinoyMe and Oro Chamber indicated that they have revised their Operations Manual to properly document these processes, forms, as well as the approval matrix.

Three CSOs stated that they improved in terms of proper delineation of authorized personnel for procurement. One example of this is assigning personnel to inspect and receive delivered items to the CSO. That person is tasked to check if the product has proper specifications or if it has any defects to ensure quality. In case the checker is not available, the CSO should assign another personnel as back-up.

Improvement in terms of cash advance liquidation was also observed by TAMACO, PARFUND and PinoyMe. **This is necessary to maintain transparency in the staff's usage of funds.**

Lastly, only TDFI noted a change in reasonable price determination.

Table 11. Noted Improvements of CSOs Implementing Economic Growth Projects

NUPAS Criteria	Noted Improvements	CSO
Legal Structure	Compliance to reportorial requirements of government bodies (SEC, CDA, BIR) for financial statements etc.	TAMACO, TDFI, PINOYME, Oro Chamber
	Safekeeping of original and duplicate copies of legal documents for compliance	Oro Chamber
	Revision of by-laws/articles of incorporation considering NUPAS recommendations	PARFUND, TAMACO, TDFI, Oro Chamber
	Display of permits in the office space	Oro Chamber
	Revision of strategic plan and updating of annual workplan & financial plan	PARFUND, PINOYME, Oro Chamber
	BoD selection (criteria), to include BoD functions, financial oversight in BoD for FRs, termination clause	TAMACO, TDFI, Oro Chamber
	Updating of organizational chart and authorization matrix	TAMACO, TDFI
	Code of ethics —formulation, review, finalize, cascaded to employees	PARFUND, TAMACO, TDFI, Oro Chamber
	Safekeeping of all legal documents	TAMACO
	Policies on procedures upon dissolution of the cooperative	TAMACO
	Criteria for selection for board membership	TAMACO
	Development of code of ethical conduct	TAMACO, TDFI (updated), PINOYME
	Documentation and filing of all minutes of the board meetings	TAMACO, PINOYME, Oro Chamber
	Documentation of regular management meetings	Oro Chamber
	Management and finance personnel capacity improvements	TAMACO
Financial Management and Internal Control System	Clarification of financial report preparation, review and approval system	TAMACO, PINOYME, Oro Chamber
	Approval matrix clarified	TAMACO, TDFI, PINOYME, Oro Chamber
	Maintenance of a bank account for the Phil-Am Fund	TDFI
	Safekeeping of records and back-ups	TAMACO, TDFI, Oro Chamber
	Development of budgeting policies and procedures	TAMACO, TDFI
	Bank reconciliation statements are reviewed, approved and signed and process is documented properly	PARFUND, TAMACO, TDFI, Oro Chamber
	Use of AuditPal for accounting system	PARFUND, TDFI
	Updated/revised chart of accounts	TAMACO, TDFI
	Documentation of policies for variance analysis	PARFUND, TAMACO, TDFI, Oro Chamber
	Policies on allowable costs, direct and indirect costs, petty cash, cash disbursements/cash advance	PARFUND, TAMACO, TDFI, PINOYME, Oro Chamber
	Development of policies for cost allocation	Oro Chamber
	Updating/revision of financial and accounting manuals to consider NUPAS recommendations	TAMACO
	General accounting system, financial reporting	PARFUND

	Check signatories and development of check policies	PARFUND, TDFI
	Selection and approval of auditors by BoD and included in manual	TAMACO, PARFUND, PINOYME, Oro Chamber
	Regular reportorial requirements of BIR	TAMACO, Oro Chamber
	Clear delineation of duties (cashier, bookkeeper, accountant)	PARFUND, TAMACO
	Appointment of designated Finance Staff aside from Finance and Admin Officer	TDFI, PARFUND
	Training of financial staff relevant to their duties	Oro Chamber
	Job descriptions against compatible duties	TAMACO, PARFUND
	Bank accounts—policy on closing and opening and dormant accounts	PARFUND
	Maintain independent audit	PARFUND
	Maintain Transfer and Shares Book	TAMACO
	Development of practices on monitoring funding sources	TAMACO
Procurement System	Update/revision of procurement policy to include procurement forms, canvassing, process and approval matrix	TAMACO, TDFI, PINOYME, Oro Chamber
	Segregation of duties in procurement authorization and execution	TAMACO, PINOYME, Oro Chamber
	Policies on cash advance liquidation	TAMACO, PARFUND, PINOYME
	Reasonable pricing determination	TDFI
Human Resources	Formulate/update human resource management policies and procedures considering NUPAS recommendations	TAMACO, PARFUND, Oro Chamber
	Policies on work hours, time keeping, salary structure, benefits and compensation	TAMACO, TDFI, Oro Chamber
	Policies on travel order, standard rates for travel related expenses, allowable and unallowable costs	TAMACO, TDFI, PINOYME, Oro Chamber
	Policies on volunteer training and development	TAMACO
	Policies on management of 201 files	TAMACO, Oro Chamber
	Distinguish personnel roles	TAMACO, Oro Chamber
	Policy on recruitment, promotion, personnel selection	PARFUND
	Updated organizational chart	Oro Chamber
	Registration with PhilHealth, SSS and Pag-ibig	TAMACO
Performance Management	Documentation of processes in the Manual of Operations	TAMACO
	Documentation of policies and procedures for travel	PARFUND
Organizational Sustainability	Policies on the preparation of cash flow statement, financial statements on a regular basis	TAMACO, Oro Chamber
	Cash position report preparation and approval	TAMACO, Oro Chamber
	Aging of reports	PINOYME
	Formulation of strategies on how to generate income to sustain its operations	TAMACO

C.3. Key Interventions of Phil-Am Fund which Effected Organizational Capacity and Performance

The conduct of the NUPAS resulted in recommendations that were assisted by GRF. Some of the recommendations were followed through with specific interventions. These included the provision of AuditPal software, assistance in developing the human resources, operations and financial manuals, assistance in the administrative, financial and technical aspects.

Most of the CSOs, particularly those who were subjected to KIIs believed that the conduct of the NUPAS itself made them realize their shortcomings as a CSO—especially legal and statutory concerns and other administrative and financial matters. The result of the KII and survey among CSO as well as project document reviews to determine changes in organizational capacity and organizational performance is summarized in Table 12.

Table 12. Changes in Organizational Capacity and Organizational Performance Due to Key Interventions of GRF

NUPAS Domain	Key Interventions by GRF	Change in Organizational Capacity	Change in Organizational Performance	CSO
Legal Structure	Guidance in organizing local registration requirements and other legal documents	Documents are available for inspection and the validity of permits and licenses can easily be monitored. The availability of documents can now easily be accessed by the rightful process owners or auditors.	Documents are available for inspection and the validity of permits and licenses can easily be monitored. This helped improved management in administration.	TAMACO, TDFI, Oro Chamber
	Recommendations on updated and approved organizational chart. (GRF gave a comparison with other organizations wherein reporting lines are well defined. They told us that concerns of the members of the board of trustees should be relayed to the Executive Director only.)	Duties and responsibilities are properly segregated.	Effective management. Reporting lines are now clear and employees feel more comfortable.	TAMACO, TDFI, Oro Chamber, PARFUND
	The CSO needed to create a strategic direction as advised by the PCNC. Verbal advice from GRF management on how to secure PCNC requirements.	Creating a strategic direction as advised by the PCNC.	It enhances effectiveness of the project management.	TDFI
Legal	Recommendations	Documents are	Documents are	TAMACO, TDFI

<i>Structure, cont.</i>	on document safekeeping	available for inspection and the validity of permits and licenses can easily be monitored	available for inspection and the validity of permits and licenses can easily be monitored. Overall, filing system improved.	
	Encouraging capacity improvement of officers and staff	Additional knowledge is used in day-to-day operations.	Additional knowledge is used in day-to-day operations.	TAMACO
	Guidance in updating/revising the accounting and operation manuals		Ability to comply with the requirements of CDA	TAMACO, PARFUND
	Updated by-laws to reflect system on dissolution	Now has defined policy on dissolution	Now has defined policy on dissolution	TAMACO
	Recommendation on articulating the provisions embodied in the Articles of Cooperation and by-laws	Strategic plans are now written. Clearer directions and goals are set.	Improved procedures on strategic planning, information disclosure and implementation of the activities	TAMACO
	Guidance in documentation and filing of minutes	Able to address immediately the Issues and concerns	Can effectively address issues and concerns	TAMACO, Oro Chamber
	Proper documentation of formal contractual engagements with third parties.	Helps improved management in administration.		TDFI, PARFUND
	GRF sent a template to help develop Code of Ethics and a Declaration of Understanding	It ensures updated AOI, by-laws and operating manuals		PinoyMe, Oro Chamber (no COE yet but with DOU), PARFUND
	Manualization of the conduct of regular meetings and proper documentation and filing of minutes.	Meeting schedules are now consistent and the organization is now able to conduct annual Strategic planning.	Meetings are now done timely and that respective personnel or board of trustees assigned to the meeting are now properly identified.	Oro Chamber
	Financial Management and Internal Controls System	Assistance in updating/revising the accounting manual	Can easily gather details/files for financial report preparation.	Financial reports are being used to validate the correctness of cash records
<i>Financial Manage-</i>		Board of trustees and staff members who attended the seminars and coaching sessions are now more confident		

<i>ment and Internal Controls System, cont.</i>	Bank reconciliations are now signed and dated	to run the organization. The bookkeeper is now closely keeping tabs on the processes and policies to do bank reconciliation.	On time and accurate financial reports are rendered monthly	Oro Chamber, PARFUND
	Recommendations on segregation of finance staff duties	Staff are now doing finance-related works as stated in the job description	Better management structure and lessened conflicts on job assignments	TAMACO
	Financial documents and reports are signed by proper signatories	The Board of Trustees is now more confident in the Finance Report during Board of Trustees Meeting.	All documents presented to the board especially financial documents are signed by all process owners involved.	Oro Chamber, PARFUND
	Recommendations on maintaining a Transfer and Shares Book, chart of accounts and general ledger	Able to check the total capital share of the members	Ability to comply with the requirements of CDA	TAMACO
	Constant monitoring of monthly and quarterly report requirements	Timely reporting of financial reports	Timely decision making based on financial reports	TAMACO
	Assistance on the conduct of variance analysis	Easier to evaluate the effectiveness of the action for a specific program activity	Projects are to be completed according to the plans to avoid the alarming variance rate.	TAMACO, PARFUND
	Guidance on policies on allowable and unallowable costs, cash disbursements, petty cash	Staff are able to submit liquidation report with complete documentation. Personnel in-charge is able to check if the expenses are allowable and reasonable before the approval	Avoidance of incurring unallowable costs Operations are now more efficient, leading to better implementation.	TAMACO, TDFI, PinoyMe, Oro Chamber, PARFUND
	Assistance in the development of practices on monitoring funding sources	Manuals help employees understand their responsibilities and ensures their compliance Ability to comply to monthly and quarterly reports to GRF	Template sent by GRF is still being used. Strengthens the capacity of the cooperative to handle future grants	TAMACO
	<i>Financial Management and</i>	Separate bank accounts for the	Finance Team can easily monitored the	TDFI

<i>Internal Controls System, cont.</i>	CSO's general funds and the Phil-Am Fund	funds under the project because it was accounted separately.		
	Use of AuditPal as the computerized accounting system		Accounting system is more efficient, leading to better project implementation.	TDFI, PARFUND
	Chart of Accounts has been prepared in accordance with relevant accounting standards taking into account the specific nature of operations of the Foundation.		Template sent by GRF is still being used.	TDFI
	GRF sent a sample template and ensure that chart of accounts is relevant to the standard in line with the pre-numbering of general ledger accounts.			
<i>Financial Management and Internal Controls</i>	Proper documentation of the CSO's authorization matrix		Operations are now more efficient, leading to better project implementation.	TDFI, PinoyMe, PARFUND
	Finance Monitoring Officer of GRF always helps the CSO's Admin if there is any transaction that requires approval.		Operations are now more efficient, leading to better project implementation.	TDFI, PARFUND
	Policies and procedures on the conduct of variance analysis	The organization is now conscious on strict implementation and control of budget as approved.	All financial matters now go through a strict scrutiny by the finance committee before approval and adoption.	Oro Chamber, PARFUND
	Documentation of explanations for variances	Minutes of the meeting are now more detailed.	Explanations for significant variances are now documented and presented clearly.	Oro Chamber, PARFUND
	Safekeeping of records	Easy monitoring of financial documents as legal and important financial documents are	Implementation of this recommendation will commence once the Procedure	Oro Chamber

<i>System, cont.</i>		now sorted in their library	Manual is approved by the Board of Trustees.	
	Regular training sessions for finance staff	Employees can now join training sessions or seminars specially that a budget has been allocated for this specific purpose.	Employees now have improved competencies after joining seminars/training sessions	Oro Chamber
Procurement Systems	Assistance in developing/updating procurement manual	Authorized personnel are well-guided on the forms to be used and policies and procedures to follow. There is practice of fairness among suppliers. It also helped the office keep track of all transactions and purchases.	Purchases are being documented and approved. All payments are being supported with either OR or AR. Staff members involved in the procurement activities could easily refer to the approved policies and procedures.	TAMACO, Oro Chamber, PARFUND
	Establishment of approval matrix for procurement transactions	It helped the concerned process owners to keep track of the proper authorization.		Oro Chamber, PARFUND
	Use of standard forms for procurement	Standardized forms now help the organization to keep track of official chamber procurement process.	Standardized forms are now being adapted and shall be used in the proper procedure for procurement process.	Oro Chamber, PARFUND
Human Resources	Assistance in developing/updating policies and procedures on human resource management	The officers and staff members are well guided about the policies and procedures Ability to comply with regulatory bodies— employees' registration with BIR TIN, SSS, PhilHealth and PAG-IBIG	Effective management Employee records are readily available for reference.	TAMACO, Oro Chamber
<i>Human Resources, cont.</i>	Guidance in policies on attendance, timekeeping, salary increase and payroll system	Easier to identify the activities completed under a project and employees' hours rendered per day. Manuals also helped employees understand human resource	Documents are readily available for reference	TAMACO, PinoyMe, Oro Chamber

		<p>policies and ensures their compliance therewith.</p> <p>The employees are now more effective and inspired as they look forward to improved salary structure that includes retirement benefits, among others.</p>		
	Assistance in travel policies, allowable and unallowable expenses	Officers and staff members are guided on the allowable and reasonable travel expenses.	Availability of written, discussed and approved policies	TAMACO, PARFUND
	Organization and completion of 201 files	It is now easier to keep track of applicants and employees of the chamber with the 201 files completed and filed properly.	Helped the HR department in retrieving files of the employees.	Oro Chamber
	Organizational Structure with job descriptions	Information (job titles, positions and job descriptions) added in the Manuals helps the employees to identify their responsibilities.	Manuals include only the proper positions needed by the organization (positions that are no longer applicable are being replaced by positions address the organization's needs).	Oro Chamber
			Job descriptions are now updated and provided to every employees of the chamber. Moreover, the board of Trustees are also oriented and given BOT manuals to guide them on their specific roles.	
<i>Human Resources, cont.</i>	Updated organizational chart	The corrected organizational chart has helped employees and Board of Trustees to follow the reporting lines properly.	Actual reporting lines are now reflected in the Organizational Chart. Moreover, BOTs and employees are informed that proper reporting lines should be observed.	
Performance Management	Guidance in developing expanded and improved policies	Can easily refer to the manuals for review of action plans and procedures of activities	The manuals serve as guide for the effective implementation of	TAMACO

	and procedures manual on project management Trainings on M&E, theory of change and results-based management Activity report/written timesheet of all TDFI employees prepared monthly and submitted to GRF for evaluation. GRF sent a sample template for evaluation.	and those that have been completed	program activities.	
Organizational sustainability	Recommendation on preparation of cash position report on a regular basis, strategic plan and business plans and cash flow projection Overall assistance in the implementation of the project Documentation and implementation of aging policies	Easier checking and managing of finances	Ability to regularly prepare and submit reports for review and evaluation of projects/activities	TAMACO
		Increased capacity to participate and handle contracts with partners	CSO was able to financially assist its beneficiaries	TAMACO
		This will help the management to properly handle and find solutions to aging receivables.	The Finance committee are reviewing all finance-related documents and policies especially those that currently involves aging receivables and liabilities.	Oro Chamber, PARFUND

D. Anti-Trafficking in Persons—Themed Projects

D.1. Grant Profile

The Anti-Trafficking in Persons Grants aim to improve the capacity of the Philippines to combat trafficking in person incidences. It supports activities across the three pillars of USAID's counter-trafficking strategies, namely prevention, victim protection and prosecution. These were made possible through the grants for implementation of awareness-building projects, recovery and healing projects and law enforcement and prosecution. The sub-grantees for awareness building are Balay Alternative Legal Advocates for Development in Mindanaw, Inc. (BALAOD) and **Tambayan Center for Children's Rights, Inc. (Tambayan)**. **Recovery and healing programs were implemented by Bidlisiw Foundation (Bidlisiw), Fellowship for Organizing Endeavors (FORGE) and People's Recovery Empowerment and Development Assistance Foundation, Inc. (PREDA)** while the provision of **assistance in prosecuting and seeking justice for ATIP victims was handled by Children's Legal Bureau (CLB)**.

The trafficking in persons (TIP) is reported in many places, specifically in metropolitan areas where seaports and gateways to tourist destination exist. This problem is blamed on poverty, ignorance of many people and the deterioration of moral **values typically among the poor**. Hence, **BALAOD's goal is to support the prevention of**

TIP through the provision of legal awareness about laws on human trafficking to high school students and other stakeholders. **By comparison, Tambayan’s goal is to raise** awareness and strengthen mechanisms for prevention, protection and provision of support to TIP victims through the formation of interagency council against trafficking.

Bidlisiw aimed to prevent TIP among children and young adult through prevention education and provision of **healing, recovery and reintegration services for TIP survivors and their families while FORGE’s goal is to** empower the grassroots and local communities to work toward prevention of child trafficking. PREDA sought to ensure that the trafficked victims, particularly children, are healed and empowered to seek justice and rebuild **their lives. CLB’s project aimed to protect children and vulnerable groups from trafficking and other forms of** exploitation, create a mechanism to improve enforcement anti-trafficking laws and policies and assist in the prosecution of anti-trafficking cases.

The profile of sub-grants is presented in Table 13. Each project was implemented for about 30 months.

Table 13. Profile of sub-grants of the Phil-Am Fund activity for ATIP

CSO	Project Title	Grant Amount (in PHP)	Duration
1. BALAOD	The Human Awareness Initiative: Integrating Human Rights Framework in Educating High School Students on Anti-Human Trafficking Project	10,544,560	Jul 1, 2016 - Aug 31, 2018
2. Tambayan	Counter Trafficking in Persons by Sharing Information, Advocacy, Training, Education and Responsive Local Governance (COUNTER/TIPSTER) Project		Aug 5, 2015 - Mar 31, 2018
3. Bidlisiw	Withdrawing and Preventing Children and Young People from Trafficking and Commercial Sexual Exploitation in a Post-Disaster (Typhoon Yolanda) Area Project	14,461,246	Aug 6, 2015 - May 17, 2018
4. FORGE	Anti-Child Trafficking Initiatives at Source Communities in Cebu Province (ACT@Source)		Jul 1, 2016 – Sept 30, 2018
5. PREDA	Rescuing Girls and Boys from Trafficking and Providing Healing, Education and Legal Assistance to Victims Project	17, 603,576	Jun 10, 2014 – Dec 31, 2017
6. CLB	Empowering Communities and Building Partnerships for Anti-trafficking in Persons Project	13,399,727	Jul 9, 2014- Jun 30, 2018

The sub-grantees’ project sites are spread across parts of Northern and Southern Mindanao, Northern Iloilo, Cebu and Olongapo City as shown in Table 14 below:

Table 14. Sites of anti-trafficking in persons sub grants

BALAOD	Cagayan de Oro City, El Salvador City and in the municipalities of Opol and Alubijib.
Tambayan	Davao City, Digos City and General Santos City
Bidlisiw	Iloilo Province: Barotac Viejo, Ajuy, Sara, San Dionisio, Batad, Balasan, Carles, Concepcion and Estancia. These areas are also known as the “Yolanda Hi-way”, since they were the most affected by Typhoon Yolanda or Haiyan in November 2013.
FORGE	Metro Cebu, 3 urban barangays and 1 island barangay (Brgy. Paknaan in Mandaue City, Brgy. Pasil in Cebu City, Brgy. Basak and Brgy. Sta. Rosa in Lapu-Lapu City). In Rural area, 4 barangays of Poblacion, San Remigio and Poblacion, Santa Fe in Northern Cebu; and Tangbo, Samboan and Bunlan, Santander in Southern Cebu.
PREDA	Olongapo City
CLB	Cebu: Cordova, Talisay City and Bogu City

BALAOOD's information dissemination campaign was implemented through educational awareness caravans and massive campaigns utilizing photo exhibit, contest and concert. The awareness caravan reached 34 schools, raising awareness to 11,063 students on the issue; exposed 2,585 individuals to the relevant information and encouraged the further dissemination of information either through face-to-face or social media communication. As a result, 20 out of 34 schools incorporated better response mechanisms to their Child Protection Policy to address abuse and exploitation of children. Fifteen (15) barangays and 17 schools agreed to create joint actions to counter trafficking in persons and allowed schools to participate and exercise their involvement in the plans and actions of the Barangay Council for the Protection of Children (BCPC). Sixty-eight (68) students, 34 teachers and 66 out-of-school youth leaders were trained as paralegals to assist in the community in implementing various actions against trafficking in persons while eight (8) representatives from CSOs received further training. Three policies related to anti-trafficking in persons were passed by Cagayan de Oro City LGU. Orientation sessions on counter trafficking in persons were also extended to at least 9,000 parents resulting in support from the general parents-teachers association (GPTA) in the formulation of school mechanisms to counter trafficking.

Tambayan's information dissemination project resulted to increase in awareness of 9,065 identified vulnerable individuals and raised awareness indirectly in about 130,000 individuals. The project also strengthened the preventive, protective and providential mechanisms against trafficking in persons through formation by the Inter-Agency Council Against Trafficking (IACAT) of the Barangay Anti-trafficking Task Force (BAT-TF) and the Local Council Against Trafficking and Violence Against Women (LCAT-VAWC) at the city or municipal level. The project facilitated the organization of the Davao Gulf Anti-Trafficking (DaGAT) Consortium through the execution of a Memorandum of Understanding between the Tambayan, Luna Legal Resource Center for Women and Children, Inc. (LUNA) and Family Planning Organization of the Philippines (FPOP) – SOCCSKSARGEN Chapter. **The consortium harnessed Tambayan's 20-year experience in managing development projects and providing psychosocial services, LUNA's network of social-oriented lawyers and FPOP's experience in social development work.** Working as a consortium allowed Tambayan to focus on project governance and LUNA and FPOP to focus on project implementation in Davao del Sur and Sarangani, respectively. Overall, the project strengthened mechanisms for prevention, protection and provision of support to TIP, standardized the referral and case recording systems of the partner LGUs and developed an internet-based Monitoring and Information System. The developed MIS tracking of the status of each victim has an offline option that protects the identity and actual location of the victim.

Bidlisiw's recovery and healing project reached a total of 1,110 Commercially Sexually-Exploited Children. Of these, 30 became advocates by pointing out locations where human trafficking takes place and referring friends who were vulnerable to trafficking. One hundred sixty (160) children and young people completed the four-month therapeutic sessions. Seventy percent or 112 of them pursued alternative, decent activities, which eventually led to their withdrawal from commercial sexual exploitation and recovery from their trafficking experiences. Sixteen percent or 26 victim-survivors have manifested behavioral changes while 14 percent are still engaged in the same trade. One hundred seventy-two (172) family members of these children and young adults have undergone Family Development Work-up for a minimum of one year, where issues affecting the family are discussed and **resolved together with their parents. This helped improve the families' capacity in acting on the issues affecting their family members with the guidance of the Family Development Staff.**

Port help desks, with support from the Local or Municipal Council Against Trafficking (L/MCAT), were established in the municipalities of Estancia, Ajuy, Carles and Concepcion as local protection mechanisms. The L/MCATs approved the appointment of personnel to man the help desks. They also approved the setup of billboards with information about anti-trafficking in persons and the flowchart in handling cases of trafficking in persons at the ports. With support from the project and the L/MCATs, the municipalities of Batad, Balasan, Carles, Concepcion and Estancia drafted a two-year strategic plan for the prevention and protection of victims of trafficking. Community-based protection mechanisms were also organized through the formation of Community Watch Groups (CWGs). Eighty-two (82) members of CWGs were actively helping in disseminating information about trafficking in persons and other child protection issues in their respective communities. With fund assistance from the Municipal Social Welfare and Development Office (MSWDO), they also assisted in accessing services for victims of trafficking in persons and other abuses. From August 2017 to March 2018, help desk volunteers from Concepcion, Iloilo referred 11 cases of Violence Against Women and Children (VAWC) and one case of

trafficking to their MSWDO. This partnership between the MSWDO and the CWGs was finalized during the closeout workshop conducted by Bidlisiw for this project.

FORGE's project established eight community volunteer groups and eight youth groups in its target barangays which were mobilized to engage with barangay officials in addressing issues and concerns on children's safety and welfare. The 293 Community Child Protection Volunteers (CCPV) and 387 Kabataan Batok sa Trapiking ug Abuso (KABATA) or Youth Against Trafficking and Abuse, were trained on children's rights, gender sensitivity, ATIP laws, the Local Governance Code and other related child protection laws. This helped develop their skills on basic counselling, leadership, facilitation and advocacy planning to improve their community engagements. CCPV and KABATA members were integrated into local special bodies in the eight target barangays of three major cities and four municipalities in Cebu to lobby issues and concerns on women and children, particularly on human trafficking.

Some 2,400 people participated in local events such as Women's Month, World Day Against Trafficking and Children's Month. Some 300 individuals joined motorcade for the World Day Against Trafficking (WDAT) Summit. On September 21, 2018, the Consortium composed of FORGE, CLB and Bidlisiw organized the "Blue Heart Campaign: The Survivors' Journey," a concept musical that showcased the journey of CSEC and TIP survivors in celebration of the National Family Week. The event gathered 685 seated audience and hundreds of mallgoers who listened to the survivors' stories of triumph through creative song and dance presentations and monologues. The event was also a chance to raise the public's awareness about the current situation of TIP in Cebu and how to detect and report cases of trafficking, particularly CSEC and OSEC.

The project contributed to the reactivation, reorganization and strengthening of the BCPC of eight target barangays, ensuring sustained delivery of basic services for children and the passage of barangay resolutions and ordinances responsive in promoting child survival, protection, participation and development. USAID supported the capacity building of 477 BCPC members to enhance their knowledge, skills and attitudes in fulfilling their duties and responsibilities in providing child welfare and protection services in their respective barangays. After undergoing basic counselling and paralegal training sessions, participants realized their crucial role as first responders to handle TIP and other child abuse cases. Those who underwent training included selected CCPV and KABATA members, barangay officials, barangay staff, barangay peace and security officers (BPSO) or tanods, barangay health workers, (BHW), teachers and principals. The training sessions also included representatives from law enforcers and service providers from the Philippine National Police (PNP), Philippine Coast Guard (PCG), social workers and personnel from the Department of Social Welfare and Development (DSWD), staff from the Department of Tourism (DOT), Department of Interior and Local Government (DILG) and other local government offices in the target cities and municipalities.

To affect changes in system and policies, eight drafts were penned by BCPC members themselves to develop their respective referral and reporting pathways for local response to TIP and child abuse cases for proper coordination and cooperation of different law enforcement agencies and duty-bearers in responding to reported cases in the barangay. This led to the establishment of the Gender and Development (GAD) Focal Officer in Barangay Sta. Rosa, Lapu-Lapu City. The four target rural barangays (Barangay Tangbo, Samboan; Barangay Bunlan, Santander; Poblacion, San Remigio; and Poblacion, Santa Fe) also appointed individuals to become their respective Violence Against Women and Children (VAWC) officers starting in 2019.

The project provided psychosocial support for 50 children survivors of CSE and provided full funding for FORGE Boys' Home, the first shelter facility in Cebu City catering specifically to CSE boys survivors. In its first year of being operational—from October 2017 to September 2018--11 teenaged boys were given a chance for a better life starting with meeting their basic needs: food, shelter, education, medical and health services. To facilitate their recovery and healing, they were also provided with psychosocial interventions through one-on-one dialogues, counselling and therapeutic sessions, group dynamics activities, study sessions and art therapy. FORGE tried to extend the boys' shelter through other funding support but was unsuccessful, as the global funding for child protection services is changing focus from center-based operations to community-based interventions. At the closing of FORGE Boys' Home, seven boys were referred to the recently opened PREDA Foundation Home for continued shelter interventions.

From 2016 to September 2018, USAID provided supplemental support for the psychosocial interventions of 39 teenage girls in FORGE Teen Dreamers Home for Girls, a shelter for CSE girls survivors funded by Terre des Hommes - Netherlands. Like the boys, the girls also underwent appropriate psychosocial activities to support their journey toward healing and recovery. In July 2018, some of the girls were also referred to other shelters in **Cebu while the others were reintegrated into their families. This is in preparation for FORGE's shift to** community-based operations. Social workers at their home cities and municipalities will take charge of aftercare follow-up and services.

In terms of prevention, PREDA implemented a community-based preventive education program orienting parents, teachers, **local social workers, village officials and temporary residence personnel on children's rights** and motivate them to take action on behalf of children. PREDA reached a total of 18,103 individuals at the end of the project with parents comprising the bulk of the attendees who were taught about child abuse prevention and responsible parenting. Village officials and local social workers were oriented on their accountability in responding to child abuse cases. School personnel, hoteliers and residential staff were also oriented on responding to child abuse cases in their respective communities. These activities led to an increased number of **clients referred to PREDA's therapeutic homes. From the 2015 baseline, the homes admitted an average of 47** victims, a 40 percent increase, in 2016 and 2017.

Its therapeutic homes in Olongapo provide shelter support services and help victims restore emotional health through programs developed by in-house therapists and social workers. It also provides emotional release therapy sessions which victims have acknowledged are instrumental to their recovery from emotional distress. A total of 171 abused victims (92 percent of which were girls) were assisted by PREDA through its therapeutic homes. It provides the victims medical assistance, counseling sessions, formal and non-formal education, skills training and psychological and family therapy. Sports and other recreational activities are also conducted in the homes to ensure that children-victims enjoy their childhood while in the center. Of the total, 115 victims (95 percent of them were girls) were admitted to the center during the life of project. A total of 86 victim-survivors **were also reintegrated into their families with PREDA's assistance. Children assisted by the center are** also enrolled in schools and provided with school supplies even after reintegration.

During the last year of the project, PREDA also launched the Victoria Children's Home, an expanded center for abused girls that can physically accommodate more than 80 children. The home was built using donations from **various individual and institutional donors of PREDA and is a symbol of PREDA's continuous commitment to** uphold and protect the rights of the most vulnerable children.

In prosecuting traffickers, 128 children out of the total number of victims decided to file charges against their abusers. As of project end, a total of 31 cases were promulgated resulting in the conviction of 10 perpetrators. One case is still awaiting the final court decision. There are also **18 cases under prosecutor's investigation while** a total of 80 cases are undergoing court proceedings. However, 18 cases were also dismissed due to recantation by victims, death of suspects/respondents and/or probationary dismissal of other abuse cases.

With regards to prosecution, CLB's project facilitated the establishment of Local Councils Against Trafficking (LCAT) in the three target areas of Cordova, Talisay City and Bogo City. LCAT organized a Multi-Disciplinary Team (MDT), composed of agencies directly handling the victims of TIP, such as the Department of Social Welfare and Development (DSWD) and the Philippine National Police (PNP).

At the barangay level, 41 Barangay Councils for the Protection of Children (BCPCs) were strengthened and an ATIP Committee or Barangay Council Against Trafficking (BCAT) was organized under each BCPC. A total of 570 volunteers from 41 barangays were also organized into Community Watch Groups (CWGs) tasked to report and monitor cases of TIP and possible cases of TIP. From the BCPC and CWGs, paralegals and para-social workers were trained to assist the victims in the process—from case filing to reintegration.

Through these mechanisms, information dissemination activities reached more than 19,000 people. This resulted in 26 incidents of TIP reported to the MDT and 91 victims assisted. Fourteen of the reported incidents resulted in rescue and/or filing of cases against 13 perpetrators; 12 were arrested and detained while one is still at large.

In addition, 62 possible TIP/recruitment activities and more than 600 cases related to children and women were reported by the BCPCs and CWGs to the MDTs. The BCPCs and LCATs responded to the cases, thereby preventing members of these vulnerable groups from becoming victims of TIP.

To improve the capacity of LGUs and other community leaders to prevent and advocate against trafficking, the project facilitated the passing of 41 barangay ordinances authorizing 41 BCPCs to implement programs to prevent TIP in the three areas. A City Ordinance on ATIP was passed in Bogo City, the City Ordinance on ATIP of Talisay City was updated and amended and a Municipal Ordinance on ATIP was passed in Cordova. These ordinances formalized the creation of an LCAT in each and appropriated funds for ATIP Programs. Out of the 26 incidents reported to the LCATs, 20 came from BCPCs and CWGs; 14 cases were filed (54 percent) with 12 traffickers arrested. For some, more than one case was filed for each incident as most trafficking cases include elements of Child Pornography and Child Abuse.

Also as a result, the consciousness of more than 19,000 members of communities has been improved on the issue of TIP. Out of the 19,000 reached by the advocacy, a total of 570 individuals became members of the CWGs across 41 barangays in the three LGUs. This number does not include those people whose consciousness was raised as a result of reading IEC materials like billboards and brochures reproduced by these LGUs.

The improved capacities and coordination of concerned agencies and mobilization of volunteers led to 91 survivors receiving services from the trained MDTs created under the project. These include legal services, financial assistance, psycho-social services, referrals to temporary shelters, educational services and home visits to monitor the condition and needs of victims. Eighteen (18) survivors were rescued prior to project implementation but continued to receive services during the project term. Sixty (60) out of the 64 volunteer paralegal and para-social workers from the BCPCs and CWGs who have undergone training were active in assisting victims and render paralegal and para-social services. They also refer them to appropriate services at the city/municipal levels. In addition, 16 additional volunteers from barangays who were not able to attend the training sessions were recruited and became active members of the Child Protection Team (CPTs).

D.2. Changes in Organizational Capacity and Performance

While the sub-grantees appeared to have achieved their project goals, they actually scored low (weak) in the initial assessment of their capacity to implement their projects except for Tambayan (see Table 15). This means that these sub-grantees did not receive reimbursement payment until they meet the required conditions for fund control and accountability. Complying and making corrective actions after six months to most of the recommendations in the initial assessment, the sub-grantees achieved an “adequate” rating, thus entitling them to the cash advance payment.

Table 15. Summary of NUPAS Scores of CSOs implementing ATIP projects

Sub-Grant CSO	NUPAS Score	NUPAS Reassessment Score	Adjectival Rating
1. People’s Recovery and Development Assistance Foundation (PREDA)	2.43		
2. Children’s Legal Bureau (CLB)	2.16	2.69	Adequate
3. Fellowship for Organizing Endeavors (FORGE)			
4. Bidlisiw Foundation	2.26	2.92	Adequate
5. Tambayan Center for Children’s Rights, Inc.	2.62		Adequate
6. Balay Alternative Legal Advocates for Development in Mindanao, Inc. (BALAOD)	2.08	2.57	Adequate

In the NUPAS, issues and recommendations common to all pertain to legal structure and financial management and internal control (see Table 16). Recommendations related to legal structure include revision of the by-laws

and amendments to articles of incorporation, compliance to reportorial requirements and revision of the code of ethics.

Specific to sub-grantees, the criteria should be specified in the BoD selection, along with the specific roles and responsibilities of the members (Tambayan). Another recommendation is the need to document BOT meeting following the template provided by GRF as guide (for FORGE and CLB). GIS updating is recommended to Tambayan and FORGE. Vision statement updating is recommended to FORGE. All these have been addressed and incorporated in their revised operations manual. The manual also provided the updated procedure in the selection of external auditor (FORGE, CLB and Tambayan). Necessary permits (DSWD, LGUs) were secured. Organizational structure was also updated (PREDA, Tambayan **Bidlisiw**). **FORGE's vision statement has been revised.**

The above recommendations enhanced the sub-grantees' **legal structure and provide a clearer understanding of the roles and responsibilities of BoD and staff.**

On financial management and internal control, the sub-grantees generally scored low in the NUPAS which is quite understandable considering that they are non-profit oriented and their focus is not on financial return but on serving their well-defined vision and mission. The issues common to all is on authority limit and approval on financial matters, clear delineation of duties among the administrative and finance staff, bank reconciliation, updating of charge accounts, variance analysis, allowable costs, direct and indirect cost, cost allocation scheme and BIR requirement for registration. Specific to the sub-grantees, financial personnel capacity improvement was recommended (FORGE and Tambayan), selection and approval of external auditors by BoD (FORGE and CLB), safekeeping of records (CLB, Tambayan and FORGE) and clarification of financial report preparation, review and approval system (FORGE and Tambayan) and allowable cost (FORGE).

To address the recommendations, the sub-grantees updated/revised their respective manual of operations and used the AuditPal introduced by GRF. They find AuditPal to be of great help and they intended to adopt the software for their new projects. They now have better internal control of their financial system.

On procurement system, the sub-grantees have revised their procurement policy following the recommendations in the NUPAS. These were contained in their manual of operation which includes supplier selection, accreditation procedure and PO processing. The sub-grantees now find the procurement policies transparent and management of funds for procurement clearer. They were guided accordingly as they continue to adhere to their respective procurement policy.

On human resources, it is usual for staff of CSOs to have personal commitment to the cause of the organization, sometimes working as volunteer before becoming regular staff. Timekeeping for payroll processing can become an issue and this has been common to all sub-grantees. This was resolved through adding the guidelines in timekeeping in their manual of operation. It also contains guidelines for the conduct of performance evaluation, policies on recruitment and promotion, disciplinary action on erring staff, policy on tardiness and retirement of regular staff, among others. As a result of the project, the 201 files of staff have been updated and properly filed **for easy reference if there are matters referring to employee's record. Travel policies and procedures have been improved, e.g. cash advances and approval of travel requests.**

On performance management, the sub-grantees have yet to come up with concrete policies and procedures on monitoring and evaluation. FORGE is in the process of finalizing a manual on performance management. Tambayan is also preparing a Program Implementation Manual for review of its BOT within this year (2019). CLB is still preparing a draft.

On organizational sustainability, the sub-grantees are striving to generate financial resources to sustain itself over the long term. One of the lessons they learned is to incorporate sustainability in their planning process. The recommendation in the NUPAS to come up with cash-flow projection is being adhered to with the help of GRF. Better projection of financial resources and gaps is viewed by Badlisiw to help management in identifying possible sources of funds beforehand. FORGE has considered other means to generate funds and has an approved five-year Resource Mobilization Plan with specific targets. Tambayan has created a Resource

Mobilization Committee and enhanced its Resource Mobilization Manual. This increased the efforts and involvement of BoD and management in finding possible sources of donors. CLB has created a sustainability committee tasked to initiate resource mobilization. PREDA however had not done any activity involving financial planning.

Table 16. Noted Improvements of CSO implementing ATIP

NUPAS Criteria	Noted Improvements	Sub-Grantee	
Legal Structure	Compliance to reportorial requirements of government bodies (SEC, CDA) for financial statements etc.	All	
	Revision of by-laws/articles of incorporation considering NUPAS recommendations	All	
	Revision of strategic plan and updating of annual workplan & financial plan	All	
	Updated permits (LGU, fire, etc.)	All	
	BoD selection (criteria), to include BoD functions, financial oversight in BOD for FRs, termination clause	Tambayan, FORGE	
	Updating of organizational chart and authorization matrix	PREDA, Tambayan Bidlisiw	
	Vision statement updating	FORGE	
	Code of ethics – formulation, review, finalize, cascaded to employees	All	
	Approval of manuals by BoD	All	
	Financial Management and Internal Control System	Clarification of financial report preparation, review and approval system	FORGE, Tambayan
		Approval matrix clarified	
		Safekeeping of records	CLB, Tambayan, FORGE
		Cost allocation scheme	FORGE, CLB, Tambayan
		Use of checking accounts rather than cash	
Bank reconciliation		All	
Use of AuditPal for accounting system		All	
Chart of accounts updated		FORGE, CLB, Tambayan	
Variance analysis		All	
Allowable costs, Direct & indirect costs, petty cash		All	
Cash receipts manual		FORGE	
General accounting system, financial reporting		FORGE	
Financial personnel capacity improvements		FORGE, Tambayan	
Selection and approval of auditors by BoD		FORGE, CLB	
BIR requirements for registration	Bidlisiw, FORGE, PREDA		
Clear delineation of duties (cashier, bookkeeper, accountant)	Bidlisiw, FORGE, PREDA, Tambayan		
Bank accounts – policy on closing and opening and dormant accounts			
Maintain independent audit			
Procurement System	Update/revise procurement policy to include procurement forms, process and approval matrix	All	
	Reasonable pricing determination	All	
Human Resources	Formulate/revise/update salary structure		
	Timekeeping for payroll processing, overtime	All	
	Disciplinary action	Tambayan	
	Policies on travel and food allowances	Bidlisiw, Tambayan	
	Performance evaluation	Tambayan, CLB	
	Standardized job descriptions	Bidlisiw, Tambayan	
	201 Files	Bidlisiw, Tambayan	
	Policy on recruitment, promotion, personnel selection	CLB, FORGE, Tambayan, PREDA	

Performance Management	Documentation of processes in the Manual of Operations Project management and monitoring system documentation	FORGE, Tambayan, CLB FORGE, Tambayan, CLB
Organizational Sustainability	Internal governance systems, including evaluations Cash flow statement, financial statements	FORGE, Tambayan, CLB FORGE, Tambayan, CLB, Bidlisin
	Use of financial ratios in decision making	FORGE
	Cash position report preparation and approval	FORGE
	Aging of reports	All

D.3. Key Interventions of Phil-Am Fund which Affected Organizational Capacity and Performance

The sub-grantees (CSOs) do their work within a societal setting and are concerned with how they can help society. As they are cause-oriented and non-profit, an assessment of their capability to implement Phil-Am Fund projects—given the six areas of concern covered by the SGV—is for the most part “traumatic” to them. **However, finding their capability as “weak” and later “adequate”, GRF/ Phil-Am Fund was there to guide them as they addressed gaps in their capability.** GRF/Phil-Am Fund made them aware of the necessity of amending their articles of incorporation and by-laws, provided them samples/ templates of approval report matrix, minutes of BoD meetings, variance analysis and purchase orders for procurement. GRF/Phil-Am Fund provided them technical assistance in updating their financial manuals/operations manual, updating of necessary permits, vision statement, code of ethics/ conduct, bank reconciliation and selection of external auditors. More importantly, GRF/Phil-Am Fund was able to improve their accounting and financial reporting through AuditPal and improved **the capability of their finance officers and staff. And through GRF’s constant reminder on the importance of organizational sustainability, the sub-grantees have thought of incorporating such in their planning process.**

Table 17. Changes in Organizational Capacity and Organizational Performance due to Key Interventions of GRF

NUPAS Domain	Key Interventions by GRF	Change in Organizational Capacity	Change in Organizational Performance	CSO
Legal Structure	Reminder to amend by-laws, vision statement and articles of incorporation	Systematized the organizational and obligatory documents required	The rank and file employees have better appreciation of the sub-grantees vision, mission and goals	FORGE,
Financial Management and Internal Control System	AuditPal online system	Resulted to a strong technical and financial administration capacity which leads to efficiency of the process of financial report generation and reporting	Adopted in other projects	Bidlisiw, Balaod, FORGE, CLB, PREDA, Tambayan
	Constant monitoring for compliance assessment of NUPAS result	Recommendations were integrated into the administrative and operations manual and other important policies.	The organizational development has brought the sub-grantees on par with other non-government social development-oriented organizations	All sub-grantees
Procurement Systems	Assistance in developing Operations Manual	Systematized and institutionalized procurement systems and procedures, making the organization transparent and facilitative in	Project implementation has become smooth as the process are clearer for all concerned	All sub-grantees

	NUPAS recommendation monitoring	implementation of projects Policies and procedures on community procurement and sole sourcing has led to transparency of transactions and minimize pilferage		All sub-grantees
Human Resources	Assistance in developing Operations Manual	More transparent, efficient and effective in handling projects similar to Phil-Am Fund grant		All sub-grantees
Performance Management	Trainings on M&E, theory of change and results-based management	CSO able to discover limitations and opportunities for improvement and learn to immediately rectify and improve on the limitations	CSO is able to understand better how the management of social development projects should be done	Tambayan, FORGE
Organizational sustainability	Revisions of manual and constant reminder on the need to plan	Better projection of financial gaps and help management identify possible sources of funds beforehand. Capacity building plan for the next five years is now anchored in the sub-grantees organizational pillars		Bidlisiw, FORGE

E. Education-themed Projects

E.1. Grant Profile

There were four education-themed projects funded under the Phil-Am Fund Activity: three implemented in Mindanao and one across the country. While one of the projects was focused on a blended teacher development program for basic literacy among K-3 students (FIT-ED), the rest targeted indigenous and vulnerable groups of **learners to revive flalok, the B'laan art of storytelling for use in Mother Tongue**-Based Multilingual Education (CLAFI), improve the quality of education of Moro children especially in literacy, numeracy and essential life skills in the conflict-affected communities (IMAN) and facilitate braille literacy among blind adults (RBI).

In summary, the projects trained a total of 19,782 learners from four learning centers and 383 schools. The projects also involved provision of equipment and courseware to primary stakeholder institutions, development of learning modules and mentoring and coaching for teachers. A common theme among the projects is the expansion and reinforcement of literacy. Use of information and communications technology (ICT) in the delivery of services was also very apparent. The projects also collaborated with the Department of Education in the implementation of their activities.

The total cost of the project amounted to over PHP48 million. The projects were all grantees in the second cycle of the Phil-Am Fund Activity. While the other CSOs were given up to six months extension, IMAN was provided a whole year extension period as well as additional funding in order to cover Region 12.

Table 18. Profile of Sub-grants of the Phil-Am Fund activity for Education

	Sub-Grantee CSO	Title of Project	Grant Amount (PHP)
1.	RBI - Resources for the Blind	Improved Braille Literacy Among Adults with Visual Impairment Project	9,951,417
2.	FIT-ED - Foundation for Information Technology Education and Development)	Technology-Supported Elementary School Teacher Professional Development Project	10,867,228
3.	IMAN - Integrated Mindanaons Association for the Natives)	Innovation for Rural Education Advancement (iREAD) Project for Moro Children in Mindanao Project	12,812,012
4.	CLAFI - Conrado & Ladislawa Alcantara Foundation, Inc.	Flalok Project: Reviving the Blaan Art of storytelling to improve literacy and develop a community of readers in South Central Mindanao	14,479,166
	TOTAL		48,109,823

E.2. Changes in Organizational Capacity and Performance

The NUPAS overall scoring system and its adjectival rating is as follows:

1.0 – 1.5	Inadequate
1.51 – 2.5	Weak
2.51 – 3.5	Adequate
3.51 – 4.0	Strong

Among the CSOs, only IMAN falls under the “weak” category and the others under the “adequate” category (see Table 19). The four CSOs subjected to performance evaluation were RBI, FIT-ED, IMAN and CLAFI. All these four CSOs were under the cash advance amount award scheme.

Table 19. Summary of NUPAS Scores of CSOs implementing biodiversity projects

	Sub-Grantee CSO	NUPAS Score	NUPAS Re-assessment Score	Adjectival Rating
1.	RBI - Resources for the Blind	2.57	n/a	Adequate
2.	FIT-ED - Foundation for Information Technology Education and Development	2.62	n/a	Adequate
3.	IMAN - Integrated Mindanaons Association for the Natives	2.36	n/a	Weak
4.	CLAFI - Conrado & Ladislawa Alcantara Foundation, Inc.	2.65	n/a	Adequate

Table 20 summarizes the noted improvements of the CSOs per NUPAS domain. The information was taken from key informant interviews, mailed NUPAS questionnaire validations and project terminal reports.

Table 20. Noted Improvements of CSO implementing education projects

NUPAS Criteria	Noted Improvements	CSOs
Legal Structure	Obtaining official proof of registration with relevant agencies as well as certificates of exemption or accreditation for filing with other legal and registration documents	RBI, CLAFI, IMAN
	Amendment of the AOI to indicate its actual and complete principal business address	FIT-ED, IMAN
	Submission of all current mandatory SEC requirements	FIT-ED
	Monitoring and following-up status of official PCNC accreditation document	FIT-ED
	Revisiting of staffing and organizational charts to ensure accurate reflection of current structure, qualifications and committee engagements for BOT approval	RBI, FIT-ED, CLAFI, IMAN

	Engaging, as part of the BOT, experts on relevant fields to provide technical advice and oversight over its flagship programs	CLAFI
	Documentation of by-laws relevant details (e.g., frequency of meetings, date of annual meeting, stipulation of AFS review into annual meetings, elections) regarding BOT meetings	RBI, CLAFI, IMAN
	Ensuring all minutes of meetings are duly signed by the Corporate Secretary	RBI
	Formalizing the adoption of a separate Code of Ethics to summarize the principles documented in the Organization's various manuals	RBI, CLAFI, IMAN
Financial Management and Internal Control System	Development of policies and procedures on the opening and closing of bank accounts	RBI, CLAFI, IMAN
	Stipulating in the manuals the maintenance of a separate bank account for each project	RBI
	Documentation and implementation of detailed policies and procedures on the conduct of bank reconciliation	RBI, FIT-ED, CLAFI, IMAN
	Development of policies and procedures on process owners and required documentation	RBI, FIT-ED, CLAFI
	Revision and documentation of the approval of the Organization's Chart of Accounts (COA)	RBI, FIT-ED, CLAFI
	Application for the permit to use Computerized Books of Accounts with the BIR to make QuickBooks as its official Computerized Accounting System	CLAFI
	Documentation of policies and procedures on Financial Statement Close Process (FSCP)	RBI
	Consolidation of financial transactions recorded in the separate books of accounts of the projects	IMAN
	Consistent application of the accrual basis of accounting	IMAN
	Documentation and implementation of policies and procedures on the preparation and review of variance analysis reports	RBI, FIT-ED, CLAFI, IMAN
	Documentation of practice on the cost principle of allowable and unallowable costs	RBI, CLAFI
	Allocation of labor costs based on the actual level of effort exerted by the project staff to reflect accurate direct and correct costs for the project	RBI, CLAFI
	Development of an authorization/approval matrix that will identify approving authorities	RBI, CLAFI, IMAN
	Documentation of further details on the procedures and process owners regarding the disbursement of funds	RBI, FIT-ED, CLAFI, IMAN
	Revisiting and documentation of the policy on replenishment of the Petty Cash Fund for determining appropriate limits and consistent application of such as well as naming custodian	RBI, FIT-ED, CLAFI
	Development of policies on the review of cash advance requests and liquidations	FIT-ED
	Designing templates for Cash Advance Request	FIT-ED
	Regular preparation and filing of financial statements	RBI, FIT-ED, CLAFI, IMAN
	Development of policies and procedures on the conduct of audit and closing of audit findings and recommendations	RBI, FIT-ED, CLAFI, IMAN
	Development of detailed policies and procedures on safeguarding financial records and other relevant legal documents	RBI, FIT-ED, CLAFI
Procurement Systems	Development of policies and procedures to ensure consistency in procurement, including identification of authorized reviewer and approver for each kind of transaction	RBI, FIT-ED, CLAFI, IMAN
	Development of standard templates for each step of the procurement process, including pre-numbered Purchase Order (PO) forms	RBI, FIT-ED, IMAN
	Cascading of reviewed and approved procurement policies to relevant personnel	RBI
	Attachment of relevant purchase requisition form to purchase orders	RBI
	Revision of policies to clarify procedure for purchases above a certain threshold (e.g., PHP10,000, instead of PHP1,000)	CLAFI, IMAN

	Consistent implementation of policies requiring quotations from suppliers for purchases above PHP10,000	CLAFI, IMAN
	Conduct of annual inventory of office supplies and other project material items	IMAN
	Preparation of standard canvass sheet to provide a quick view on the price difference of the suppliers	RBI, FIT-ED
Human Resources Systems	Revisit of HR and other manuals to improve appropriateness and consistency of documented provisions	RBI
	Consolidation of all policies and procedures in one manual	RBI
	Documentation of policies on recruitment	FIT-ED
	Contracts indicating the compensation and benefits of the employee	IMAN
	Review, revision, approval and dissemination of JDs to all employees	RBI
	Completion and filing of personnel 201 files in accordance with policy on records maintenance	RBI, CLAFI, IMAN
	Maintenance of a system to monitor the hours worked and activities done by each employee, e.g. time cards	RBI, FIT-ED, CLAFI, IMAN
	Development of policies on recognition and allocation of indirect activities	RBI
	Documentation and implementation of processes and standard forms for performance appraisal and promotion	FIT-ED, CLAFI, IMAN
	Development and documentation of detailed policies and procedures on payroll processing and regular review and maintenance of templates	RBI, FIT-ED, CLAFI, IMAN
	Review, revision and documentation of salary scales, for official approval of the BOT	RBI, FIT-ED, CLAFI, IMAN
	Development of detailed travel policies and procedures and corresponding forms, including travel request and travel accomplishment report templates	FIT-ED
	Expansion of manuals to include standard rates on per diem/meal allowance, accommodation per location and transportation	RBI, FIT-ED, IMAN
Project Performance Management	Development of a comprehensive project management manual that will provide details on project development, monitoring and evaluation	RBI, FIT-ED
	Development and implementation of detailed policies and procedures for project reporting	RBI, FIT-ED, CLAFI
Organizational Sustainability	Preparation of organization-level cash flow budgets	RBI, FIT-ED, IMAN
	Development of detailed policies and procedures on cash flow budgeting, for inclusion in revised manuals	RBI, FIT-ED
	Review of cash flow projection reports for a particular period, along with the variance analysis reports	CLAFI
	Development of payable aging reports, for inclusion in revised manuals	RBI, FIT-ED
	Preparation of an aging schedule of cash advances and other receivables	RBI, FIT-ED, IMAN
	Development of a resource mobilization plan	IMAN
	Development of policies and procedures on cash advance, for approval of BOT	RBI

Most of the reported improvements were found in the area of financial management and internal control system. Common to all CSOs are the particular improvements in the area of documentation and implementation of policies and procedures on: 1) conduct of bank reconciliation; 2) preparation and review of variance analysis reports; 3) disbursement of funds; and, 4) conduct of audit and closing of audit findings and recommendations. Regular preparation and filing of financial statements was also an improvement common to the four CSO. As for changes common to most CSOs, the reports point to improvements on policies and procedures in opening and closing of bank accounts, identification of process owners, revision and documentation of the Chart of Accounts (COA), replenishment of the petty cash fund, identification of approving authorities and safeguarding of financial records.

Another area where the CSO shared similar improvements is the Human Resources Systems. Reported developments include: 1) Maintenance of a system to monitor the hours worked and activities done by employees; 2) Development and documentation of detailed policies and procedures on payroll processing and on regular review and maintenance of templates; and 3) Review, revision and documentation of salary scales. While

there are already existing processes being followed by the CSOs, these changes represent ones that emphasize documentation and formalization of those processes for sustained implementation of the organization.

Concerning the area of legal structure, the most common improvement among CSOs was the updating of organizational charts to ensure accurate reflection of the current structure. As with most of the CSOs, the improvements mostly involve establishing legal identity through the updating and organizing of documents for the purpose and documentation of by-laws.

In the area of procurement systems, the CSOs shared one common improvement, which was the development of policies and procedures to ensure consistency in procurement. Additionally, the development of standard templates for each step in the procurement process was an improvement reported by most of the CSOs. RBI, for example, shared that after their engagement in the Phil-Am Fund activity, they have become stricter in following their procurement processes.

While there were very few improvements reported in the area of project performance management, most of the CSOs reported that they have since developed and implemented detailed policies and procedures on project reporting, after the Phil-Am Fund activity engagement.

On organizational sustainability, most of the CSOs reported such improvements like the preparation of organizational level cash flow budgets, which aid their planning and decision making. The preparation of an aging schedule of cash advances and other receivables are now being practiced by most of the CSOs.

E.3. Key Interventions of Phil-Am Fund which Effected Organizational Capacity and Performance

The conduct of the NUPAS resulted to recommendations that became the subject of follow-ups by GRF when they had discussions with the CSOs. Other forms of interventions were provided such as sharing of best practices and template documents, guidance on the development of operations and financial manuals and conduct of training and seminars on administrative, financial, project management and organizational management. CSOs who were subjected to KIIs believed that the conduct of the NUPAS itself made them realize points in which they can still improve, particularly in the manualization of their processes and procedures, among others.

Results of the KII and survey among CSO, as well as project document reviews to determine changes in organizational capacity and organizational performance is summarized in Table 21.

Table 21. Changes in Organizational Capacity and Organizational Performance Due to Key Interventions of GRF for Education Grant

NUPAS Domain	Key Interventions by GRF	Change in Organizational Capacity	Change in Organizational Performance	CSO
Legal Structure	NUPAS recommendation and monitoring	Organizational chart more accurately reflects current structure	More efficient performance of functions	RBI, FIT-ED, CLAFI, IMAN
		With more specific address, office location is easier to find	More efficient correspondence with the government and stakeholders	FIT-ED, CLAFI
		Legal identity is solidly established with evidence of registration with public agencies and organizations	Improved effectiveness in meeting government and donor standards	RBI, FIT-ED, CLAFI
		Documents for legal identity are organized and readily available		
		Manual and Code of Ethics and the Declaration of Understanding developed	Accountability strengthened with the understanding of the Manual and the Code of Ethics	RBI, CLAFI, IMAN
		Engagement of technical experts in BOT leading to improved needs assessment and technical implementation of the activities/projects	Financial resources are maximized according to the needs of the beneficiaries	CLAFI
		Policies and procedures updated and documented in financial management manuals	Improved efficiency of budget utilization	RBI, FIT-ED, CLAFI, IMAN
		Regular preparation of FS	Meeting financial management standards of other agencies	
		Use of standard forms for various financial transactions	Improved organizational sustainability	CLAFI, IMAN
		Meeting transparency standards in financial management		RBI
Financial Management and Internal Control System	NUPAS recommendation and monitoring	Improved comprehensive financial records management system	Meeting government standards	CLAFI
		Improved bank savings	Improved organizational sustainability	CLAFI
		Cash transactions in the bank and organization records are regularly compared and updated		
		Strengthened accounting and audit system	Improved organizational sustainability	CLAFI
		Sharing of accounting practices and templates		
		Recommendation of and training on the use of AuditPal		
		Provision of guidance on transparent audit		

NUPAS Domain	Key Interventions by GRF reporting	Change in Organizational Capacity	Change in Organizational Performance	CSO
Procurement Systems	NUPAS recommendation and monitoring	More systematic procurement process as documented in operations manual	Meeting standards for procurement process	RBI, FIT-ED, CLAFI
	Sharing of best practices on canvassing	Improved the canvassing process	Maximizing use of resources	RBI, CLAFI
Human Resources	NUPAS recommendation and monitoring	Improved accounting and allocation of labor and other costs to projects	Improved efficiency of employees	RBI, FIT-ED, CLAFI
		Indirect costs now considered		
		Improved employee attendance		
		Employee performance has improved		
Performance Management	Provision of reporting template Trainings on M&E, theory of change and results-based management	Clearer payroll system and transparent remuneration packages Compensation and benefits are included in employment contracts Regularly monitored accomplishment of project activities	Relations with employees have improved	RBI, CLAFI IMAN
		M&E system's role is more emphasized in the organization	Improved efficiency of employees	CLAFI
			Improved learning for organization members and stakeholders	RBI, FIT-ED
Organizational sustainability	NUPAS recommendation and monitoring Provision of template and guidance for program performance management NUPAS recommendation and monitoring	More systematic project management	Improved efficiency in project management	CLAFI, IMAN
		Improvements in Organization's strategic plan, workplan, management of change — especially in management of limited resources —and resource generation for sustainable services	Sustained work with partners/clients	RBI
		Streamlining of services		
	Monitoring of cash flow projections and guidance on expending for next activities	Improved accountability mechanism Strengthened system for resource monitoring	Improved organizational sustainability	CLAFI, IMAN

Changes in Organizational Capacity

In general, one of the major changes in organizational capacity as a result of GRF interventions in relation to the implementation of the NUPAS recommendations was the updating and documentation of policies and procedures in all areas of concern such as legal structure, financial management and internal controls, procurement, human resources, performance and organizational sustainability management of the CSOs. Manualization of operations—particularly the review of process manuals for consistency and consolidation purposes—was a common change observed in the CSOs. The organizational charts were observed to have improved accuracy in reflecting the current structure of each of the respective organizations. Compliance with statutory regulations particularly relating to government agency requirements was also observed in most CSOs.

These changes improved the performance of the CSOs in terms of efficiency in the performance of their functions, the use of various resources and relationship with various stakeholders. Effectiveness in meeting government and donor standards were also appreciated from these modifications in their capacities. Improvements in the system of resource monitoring were credited for gains in organizational sustainability. Greater emphasis on M&E in the organization was noted to have helped improve learning for organization members and stakeholders. Moreover, these changes have led to more transparent transactions that helped improve relations with various stakeholders.

Specific improvements along the domains of the NUPAS are as follows:

a. Legal Structure

RBI acknowledged that the NUPAS and the guidance that followed the recommendations was helpful particularly in orienting new staff to the organization. Respondents noted how their organization was going through a transition, in which tenured staff members (who knew the processes of the organization very well) were guiding new colleagues on the organizational structure of RBI. Old and new employees alike were properly informed on how the organization is being governed through the use of a more updated organizational chart and manuals.

The composition of the BOT is also an important consideration for an organization.

CLAFI, for example, was advised to engage technical experts in the BOT, which was reported to have led to improved needs assessment and technical implementation of the project. Such experts were engaged and the effect on performance was reported to be in terms of efficiently allocating financial resources toward actual needs of primary stakeholders.

Establishment of legal identity by way of available documents certifying registration with public agencies and organizations was a common development among RBI, FIT-ED and CLAFI. This is deemed to have improved the effectiveness of the CSOs in meeting government and donor standards. Interviews with some of these CSOs revealed that most of them have updated registrations with key agencies but had to make the proofs more accessible for inspection whenever needed.

The Code of Ethics Manual and the Declaration of Understanding have been developed in RBI, CLAFI and IMAN. This is important so that staff culture and behavior are consistent with the CSO mandate and profile and to ensure the credibility and integrity of both staff and organization.

b. Financial Management and Internal Control System

The CSOs reported improvements in capabilities in the area of financial management and internal control systems—particularly the updating of policies and procedures in accordance to standards—including standardization and harmonization of chart of accounts, variance analysis, safekeeping of financial records, bank reconciliations, clarification of all types of costs (allowable, direct, indirect, petty cash) and the selection and approval of process owners. CLAFI and IMAN regularly prepared financial statements after receiving guidance from GRF. Such improvements were necessary to improve efficiency in the utilization of the budget, meeting financial management standards and improving organizational sustainability.

About the use of the accounting software AuditPal (which was provided by the GRF) only CLAFI used the software. AuditPal **was deemed to 'strengthen the accounting and audit system' in CLAFI**. AuditPal makes the recording, processing and generation of financial reports more efficient. By contrast, FIT-ED used a different accounting software, which it deemed to be just as effective. In cases where there is no software preceding AuditPal, **adoption would entail efficiency improvements in the organization's processes. But when there is an existing software doing the same function, the CSO will have to be convinced that there is some net benefit in migrating into the new software.** The adoption is less likely if the cost involved in continued use of AuditPal is greater compared to the existing software.

c. Procurement Systems

Procurement systems is an area where most CSO also had a change in practice. The revisions and updating of procurement policies were noted, such as the use of procurement forms, numbering system, use of canvass and the proper approval matrix. These were important considerations for RBI, FIT-ED and CLAFI. These systems have resulted to the organization meeting transparency and efficiency standards in the procurement process. **RBI staff reported accounts of "birth pains" in carrying out the canvassing process for large purchases but later shared how they appreciate the benefits of the process.** RBI continued to implement the process way after the Phil-Am Fund activity.

d. Human Resources

Improvements in the accounting and allocation of labor and other costs to projects has been done in RBI, FIT-ED and CLAFI, which in turn resulted to improved efficiency of employees. RBI and CLAFI have reported having a clearer payroll system and transparent remuneration packages resulting to improved relationship with employees.

e. Performance Management

GRF has provided training opportunities on M&E for the CSOs. The training attended by the CSO staff provided additional capacity and new skills and knowledge—such as on the theory of change—and stories of interest and capacity improvements along the project cycle, including the use of means of verification, packaging of proposal, monitoring and evaluation. One improvement in the project performance management capacity that resulted from this intervention was putting greater importance on the role of the M&E system in RBI and FIT-ED. In turn, this improved learning for organization members and stakeholders. GRF has also provided a template and guidance for program performance management, which has enabled the project management in CLAFI and IMAN to be more systematic. As a result, both CSOs reported improved efficiency in project management.

f. Organizational Sustainability

For RBI, addressing the NUPAS recommendations has led to improvements in their organization's strategic plan, workplan, management of change, management of limited resources and resource generation. RBI was likewise able to streamline its services and improve its accountability mechanism. CLAFI and IMAN credited GRF's monitoring of cash flow projections and guidance on expending for next activities for the improved system of resource monitoring they now have (deemed to improve organizational sustainability).

Changes in Organizational Performance

The NUPAS was also instrumental in the changes in organizational performance, particularly in terms of relevance, effectiveness, efficiency and sustainability.

a. Relevance

Relevance of CSOs can be sustained with continued engagement with stakeholders and learning. One brilliant **example of such a strategy was with CLAFI's engagement of technical experts in the BOT that led to improved needs assessment and technical implementation of activities and projects.** FIT-ED was not advised to make the

same arrangements in their BOT, possibly because their BOT has at least one member from the education sector. **As the organization's governance structure accommodates elements that would enhance understanding of the sector it is trying to reach, there is always an opportunity to strengthen links with immediate stakeholders through responsive service delivery.**

Furthermore, the installation of an M&E system promoted learning in the organization not only about what it was **doing well but "how" and "why". This enhanced its relevance to the sector it is trying to serve. The M&E system** has been given more emphasis in CSOs like RBI and FIT-ED.

b. Efficiency

Strengthened systems and processes enabled the CSOs to deliver outputs in a more efficient manner. For the CSOs, updating of the organizational chart led to a more efficient performance of functions as employees and officers got a clear idea of their roles and responsibilities. Updated and documented policies and procedures in financial management manuals have also improved efficiency in budget utilization. For the human resources systems, proper accounting and allocation of labor and other costs have improved employee efficiency in most CSOs. Introduction of reporting templates proved to increase efficiencies in employee inputs as well as in project management.

c. Effectiveness

In terms of achieving results and meeting standards, NUPAS recommendations that have helped RBI, FIT-ED and CLAFI better establish their legal identity through updating of registration and other documents have enabled **them to meet government and donor standards. In the same way, the CSOs' update and documentation of their policies and procedures in financial management manuals have enabled them to meet standards of other agencies. RBI noted that GRF's guidance in the design of template documents for use in various transactions** has enabled them to meet transparency standards in financial management.

d. Sustainability

In terms of mobilizing resources and increasing social capital, RBI exemplified the strategy of streamlining its services without necessarily leaving out the core of its identity as a CSO—service to the vision impaired. RBI has managed to come up with a range of projects and services that cater to the needs of various subgroups of the vision impaired—e.g., young learners, adult learners, those with poor vision, their families, etc. At the same time, it has also racked up a big pool of donors that placed their stakes on core activities they were interested the most, such as: early intervention and preschool, inclusive education, higher education, eye care and blindness prevention, low vision assessment and intervention, Christian growth, accessible media, job placement, **rehabilitation program, building of parents' support and advocacy. RBI has also engaged in various special projects through grant funding such as the Phil-Am Fund activity, through which it strengthened its capacity for accountability and improvements in services. FIT-ED, by contrast, has developed its niche of services to ICT-based literacy promoting interventions. CLAFI and IMAN—which have strengthened their system of resource monitoring—have also improved organizational sustainability as it is now more able to monitor its own cash flow, for planning and decision making.**

ANNEX 1. MAJOR ENABLING AND HINDERING FACTORS TO IMPROVING ORGANIZATIONAL CAPACITY AND PERFORMANCE AND REALIZATION OF SPECIFIC PROJECT OBJECTIVES, BY THEMATIC AREA

A. Biodiversity-Themed Projects

Enabling factors

a. Culture

All the biodiversity projects involved the community. For these to be successful, it was inevitable that the CSOs consider the culture in the area. In areas where IPs were present, their way of living was taken as an entry point. Thus marrying the indigenous knowledge systems and practices (IKSP) with science was an approach by PEF. This was best illustrated in the successful declaration of the Philippine Eagle as sacred as part of the *pusaka*, ensuring the protection of its habitat.

b. Political Support

Like many development projects, the support of the local government is crucial. The PEF project was able to garner the support of the LGUs of various levels. The Davao City LGU provided honorarium for the Bantay Gubat, even after project completion. The LGU in General Generoso shared their expertise on almaciga enterprises with the project beneficiaries. The municipal and barangay LGUs worked with the project in formulating their community development plans, ensuring the inclusion of environmental conservation.

The project also ensured that they worked within the boundaries of the political system in the area. As politics is a major part of the community, the CSO worked with the barangays in facilitating the formulation of **community development plans. The CSO also advocated for the inclusion of indigenous people's management representatives (IPMRs) and ensuring that forest conservation and management was adequately addressed.** The formation of forest guards by the project was in line with the government strategy of tapping local communities to patrol their own areas.

Social cohesion is important so that the communities can work together harmoniously. PEF has worked hard to ensure that conflict among members of the tribe will not impede in the activities. The project provided venue for **discussion of issues and facilitates the identification of solutions to problems by appealing on the leader's sense of community.**

In Negros, the use of NIBSAP in conservation planning was reported. The various LGUs in the island used the data from the project in their respective development plans. The Provincial LGU worked with the CSO in drumbeating biodiversity conservation through the annual Wildlife Conservation Week celebration. The conduct of biomonitoring surveys were supported by the LGU and DENR through co-funding and participation of employees and more importantly, the utilization of data for decision and policy making. All these were achieved because the CSO worked hard to advocate for the harmonization of vision and priorities with government organizations and for counterpart funding.

For MDFI project in Ligawasan Marsh, the linkage with community and the LGUs facilitated the formulation and approval of policies and ordinances such as the Critical Habitat Declaration.

c. Community Enthusiasm and Co-ownership

The community's cooperation is very important as they can be the project's advocate, promoter and protector. For MDFI, for instance, the community members stopped the use of electro-fishing.

The CSOs have worked hard so that the communities will co-own the project. For PEF, The main entry point of the project in this aspect was the assistance provided to the tribes to ensure that their sacred heritage (*pusaka*) was documented and will be passed on to the next generation as well as to educate the non-tribal population by incorporating this in textbooks (Mother Tongue subject). The Philippine Eagle has been declared a *pusaka*,

making all actions related to the survival of the eagle a high priority, even after the project has been completed. Paramount to this is ensuring the habitat of the eagle. The approach is unique and logical. A wide forest area is **the eagle's natural habitat and ensuring** the survival of the eagle means protecting its habitat. The project used science in educating the communities—by teaching them the necessity of monitoring through foot patrolling and use of cameras, inventory and others

ISO set out to capacitate stakeholders to take on the tasks of coastal resources management and participatory governance through the following activities: (1) Facilitating the organizational development of fisher folk **organizations; (2) Revitalizing Culion's Municipal Fisheries and Aquatic Resources Management Council (MFARMC)** as a policy regulatory body for coastal resources management and its Bantay Dagat group(s) for the monitoring of its marine protected areas (MPAs); and (3) Strengthening of the Culion Livelihood Ecosystem (CLE)—a **network of people's organizations, civic and academic institutions and increasing incentives for community participation in biodiversity conservation through the establishment of community-managed and environment-friendly enterprises such as an eco-tourism social enterprise and aquasilviculture projects.**

d. Economic Factors

Economic considerations are equally important in the success of the projects. At the organizational level, the multiple sources of funds of the CSOs have been key in their survival and flexibility. Without these sources of funds, there is little elbow room for movement of the project as bridging funds will be very difficult.

For ISO, aside from generating funds for project implementation, it also gets funds by making venues available to other institutions for meetings, conferences, training and workshops. The income that ISO earns from the Residence Hall, the Walter Hogan Conference Center and the Benigno Mayo Hall are used to support the program operations of ISO. Furthermore, the institution receives core allocation from the Ateneo de Manila University (ADMU) system. PEF, which also runs the Philippine Eagle Center, gets its funds for its maintenance from entrance fees, as well as from unrestricted donations such as individual and corporate sponsorships, where companies adopt an eagle by providing for its food and biologics. For instance, Shell Philippines has been sponsoring one eagle, Pag-Asa, for many years now as part of its corporate social responsibility.

At the community level, livelihoods are perhaps the most important motivator of cooperation, as this provides for the day to day survival of the members of the community. Communities will be more supportive if they see direct economic benefits from conservation projects. Thus, the effort of the project to educate the communities on the economic potential of Almaciga resin is a good local solution in PEF, as well as forest guards directly receiving incentives even after the project. For PBCFI and NATRIPAL, the provision of training for honey bee production was important for beneficiaries. Other alternative livelihood activities introduced by the CSOs included vegetable gardening for fisherfolks to relieve pressure from fishing.

e. Organizational Factors

Some organizations have inherent characteristics that have helped them perform well in the project and has also contributed to its successful implementation. One of these characteristics is successful branding. This is the result of years of hardwork, clear and consistent vision that built the CSO reputation and credibility. For instance, PBCFI in Negros is associated with bird conservation, PEF for eagle conservation in Mindanao and ISO for natural resource management in Palawan.

High level of maturity is another factor. Maturity is associated with performance and experience and not necessarily with the length of existence. ISO, PEF, Haribon and PBCFI have all attained high maturity levels as evidenced by the number of projects, the reception of the community and the survival of the organization when some are already on the verge of closure.

f. Technological

Technology also facilitated the project implementation. The adoption of AuditPal software and the use of advance technologies in project implementation, such as GPS, high resolution cameras and WiForFi application for fish monitoring has been constantly mentioned as facilitating project implementation.

g. Stakeholder Support and Participation

The stakeholders support and participation is another important consideration as this will serve as credibility and confidence booster for the project. Proper coordination with other stakeholders—especially government institutes—will facilitate project implementation, ensuring utility of project outputs. This affirms its relevance to the community and more importantly, assure sustainability of measures that were introduced. As expected, DENR plays a key role in the biodiversity projects.

The deputation of forest guards in Davao, Naujan and Ligawasan Marsh, as well as assistance and recognition of the work and methodology for the biomonitoring surveys in Negros have provided legitimacy of the project activities. NEDA support for the NBSAP has also provided a legitimate purpose, assistance and recognition of the work and methodology of the BMS. NBSAP will be used for regional planning for NEDA.

Hindering Factors

a. Peace and Order

The insurgency problem in the project sites has caused delays in implementation. This was true in the Mindanao projects, particularly for PEF in Magpet area and for the TLDFI where the presence of armed groups has threatened the implementation of the project.

b. Political

Differing levels of support for the LGUs has posed a challenge to project implementation and to the CSOs. As with the case of other programs, receptiveness of the LGUs depends mostly on their priorities and its leader, as experienced by NATRIPAL. In some areas, such as in the case of the SAVE ALLAH Valley project of TLDFI, biodiversity conservation took low priority in the LGU plans and programs.

In Culion, there was difficulty for NGOs working in the area to link with the LGUs and work in the communities. **Local chief executives always refuse outsiders. This may be attributed to the municipalities' long history of being a leper colony.** ISO believed that maintaining the presence (making them visible) and sustaining their coordination efforts in the community and LGU were the local solutions that they introduced. As simple it may sound, ISO was very persistent and dedicated to the implementation of the project even though they encountered refusal from the LGU.

c. Community Dynamics

Relationships among members of the community, particularly among rival clans of IPs also affected program implementation, resulting to delays. This was experienced by PEF in one of its project sites in Magpet, Arakan Valley where brothers who are both clan leaders have been in conflict for year. However, concerns for the environment and the community brought them together and settled their differences through the project. The initial hindrance was turned into a moment of triumph for the brothers and the community as well.

In some project like the TLDFI and MDI, there were observed little community support especially in areas where illegal activities are rampant. According to the reports, these were committed by government officials and powerful political figures, hence violations remained unreported. This affected community enthusiasm and created indifference to activities like natural resources management.

d. Stakeholder Support

Another hindrance was the lack of stakeholder support by key government agencies. The changes in leadership in agencies disrupted project activities as reported by SWCFI, as well as the lack of participation from key partner DENR due to lack of manpower. In addition, the granting of the prior informed consent to work with IPs took some time and this has caused significant delays.

B. Governance-Themed Projects

Except for ICD which focused on corporate governance, the other four CSOs namely AFON, NCPC, YPS and JAVOFI had to deal with LGUs in the course of implementing their Phil-Am Funded projects. All of the four CSOs reported that the LGUs were generally supportive, although local political dynamics somehow adversely affected project implementation. In the watershed governance project of JAVOFI for instance, there were nine municipalities traversed by the Amburayan River. It was reported that there were difficulties encountered in bringing some municipal executives or their staff together in a meeting due to political differences. In the case of **NCPC which advocated for people participation in local governance through the People's Councils (PCs)**, it was reported that there were municipal executives who viewed the PCs as threats to their power and authority. This resulted to low level of acceptability of the PC officers by LGU leaders. Another example was the case of YPS which implemented a project designed to increase political participation of the Filipino youth. As reported, certain caution had to be exercised in dealing with LGUs to protect the non-partisan image of YPS.

C. Economic Growth-Themed Projects

Enabling Factors

This section looks into how culture, politics, community engagement, economics, organization, technology and stakeholder participation assisted the CSOs in carrying out their project.

a. Culture

Initial beneficiaries of Oro Chamber's project were Indigenous Peoples in Northern Mindanao. The project titled "Program Support for the Chamber's Promotion of Inclusive Growth through Inclusive Business" aimed to connect marginalized sectors to businesses for sustainable economic growth, both for the farmers and their partner corporations. Peace as a prerequisite of a successful business in the area was also addressed because according to Oro Chamber's final performance report, military reports cited that members of the marginalized sectors comprise 70 percent of newly-recruited rebels.

b. Political Support

Support of the local government played a major role in kickstarting the TAMACO's project operations. TAMACO was able to get the support of the local government units in Occidental Mindoro, specifically in San Jose and Magsaysay. This made the procurement of permits for the processing plant easier.

PARFUND did not establish the Memorandum of Agreement (MOA) nor the Memorandum of Understanding (MOU) with any of the LGUs involved in the study. According to the CSO, they have partnered with these LGUs on previous projects and did not encounter issues before. Consequently, PARFUND was also able to train individuals from local agricultural offices of 19 LGUs. These people later on served as mentors for the farmers for the Phil-Am Fund project.

c. Economic Factors

For TAMACO, the low market price of salt was dictated by the traders. So since 2009, there was an increase in the number of small-scale salt producers who had stopped operating their farms, which in turn affected the operations of the cooperative.

d. Organizational Factors

Organizational factors considered in this analysis include unique organizational characteristics of the CSOs that were beneficial to their project implementation or attributes that arose from the legal entities organized through the projects. TAMACO is the only cooperative in the Philippines that concentrates on salt production. It also started the first commercial processing plant for salt in the country. **As a result of the project, TAMACO's NFCC reached PHP321 million which made the CSO eligible to bid in all regions of the country.**

e. Technological Factors

Technological factors include modern equipment procured by CSOs or technical know-how that was obtained and transferred to the beneficiaries. For TAMACO, the CSO purchased a salt washery machine. Aside from that, **member-producers were informed of the "true" market price of salt. Because of this, they were able to sell their produce at a higher rate compared to the prices in their previous years of trading. Consequently, this led to a higher income for the farmers.**

Selected board members were also given the opportunity to go to Indonesia, Sri Lanka and India to study the technology used by these countries in producing salt.

TAMACO also tapped AuditPal's **service provider, Innovative Thinker Software Solutions, to adjust the software** in such a way that financial transactions of the farmers are recorded.

f. Stakeholder Support and Participation

This section discusses the organizations or institutions with significant contributions to the success of the projects. TAMACO, for instance, sought the assistance of TESDA in training the farmers to identify prospective businesses. TESDA also provided capital to selected member-producers of TAMACO.

Being the sole salt producer cooperative, TAMACO is being approached by researchers for data as well as government agencies such as DTI and DOST.

TAMACO also sent participants to training sessions conducted by the Occidental Mindoro State College. The training focused on financial management and accounting principles.

Hindering Factors

The hindering factors in improving the grantees' organizational capacity, performance and the achievement of organizational objectives were obtained from the review of final project reports of the CSOs. These factors were identified under six categories - Technical and Environmental, Organizational and Management, Implementation and Monitoring, Economic and Financial, Behavioral/Capacity-Related and Stakeholder Support.

a. Technical and Environmental Factors

In the case of TAMACO, the project encountered problems in importing the machine. So to expedite the process, the GRF intervened and took over the importation of the machine. The delays were also due to unavailability of other machine components from local markets in the Philippines. TAMACO thought that Shriram Engineering would fabricate all machine components and would just assemble the parts in the warehouse. But the machine required local fabrication of pedestals and other parts. Some specific screws and other parts were difficult to source locally. The purchase of the additional machine parts/components as well as construction of pedestals and frames for the machine resulted to higher total price of the machine and its installation. Initial estimated cost of PHP8 million was increased to PHP10 million. Acquisition and installation of salt machine—delays due to additional machine components that could only be sourced from India.

For PARFUND, environmental issues encountered include climatic factors affecting food supply and mortality; insufficient supply of raw materials; Diseases and abnormalities caused by age of ducks; market for produce; failed agreements with the supplier; unestablished market for larger volume of produce.

b. Organizational and Management Factors

Turnover of management staff and improper endorsement to new staff provided hindrance to project implementation in the case of PARFUND.

c. Implementation and Monitoring Factors

For PARFUND, the difficulty in regular collection of loan repayments, the lack of system of loan recording and reconciling and the delays in the downloading of funds as well as the delays in the approval of re-loan applications has hindered project implementation.

d. Economic and Financial Factors

One of the hindering factors in the development of the salt industry in Occidental Mindoro was the insufficient capital of producers. This situation was taken advantage of large traders. Salt producers have the tendency to **agree with the traders' low pricing scheme in exchange of a sure transaction, giving the traders the control over the buying price of salt.**

Another factor was that the quality of salt produced by the machine was not well accepted in the domestic market. It was noted that the quality of the salt processed by the machine was not suitable for domestic demand. According to the Plant Manager and TAMACO Chairperson, the domestic market preferred a coarser or rock-type of salt. The fine salt produced by the machine was often likened to imported salt which have a bitter taste than the domestically produced salt. This problem was related to the issue in the marketing of processed salt. TAMACO has not yet established the market for the salt that will be produced by the machine. Hence, the machine was not regularly operated. At the time of the FGD, a study to estimate the cost of operating the machine was being conducted by Occidental Mindoro State College (OMSC).

Unwillingness of some salt producers to sell their produce on credit; Big traders controlling the buying price of salt; Market acceptability of salt quality.

e. Behavioral/Capacity-Related Factors

For the case of TAMACO, some salt producers and farmers were resistant to changing conventional salt farming practices. For PARFUND, some beneficiaries were hesitant to join as there were no existing enterprise during the start of the project.

D. Anti-Trafficking-in-Persons-Themed Projects

Resolving social problems like human trafficking have many challenges and provide a major source of opportunities to the sub-grantees whose purpose is to maintain their relevance, credibility and integrity in the community where they operate as well as to transform their vision and goals into reality. As they are **“special-purpose” and non-profit/cause-oriented** institutions, they basically operate under a set of norms and values far different from profit-oriented institutions. The challenge to handle the Phil-Am Fund projects was stressful and traumatic for most of these sub-grantees they wade through the process of transforming their organization where there is adequate financial and managerial capacity. These sub-grantees needed to address the SGV recommendations to continue implementing the Phil-Am Fund to achieve their organizational goals.

The ethics of responsibility among the sub-grantees' **BoD and management was there, judging from their** recognition of the need to revise their articles of incorporation and by-laws, improve their organizational structure, formulate an organizational sustainability plan, improve their financial policies and administrative processes and project monitoring and evaluation.

The sub-grantees appeared to have effective management people and staff, all willing to learn new things. Commitment was evident as they centered on what they can contribute in resolving TIP in their community. Results were clearly visible as reflected in the achievement of the project goals.

E. Education-Themed projects

Enabling Factors

a. Political Support

The support of the Department of Education was crucial to these Education-themed projects of CSOs. The projects were carried out in partnership with DepEd and often situated in the premises of the Department or its partner LGUs or organizations. For RBI, many of the learners were met by a trained Special Education teacher from DepEd at local LGU offices where the Alternative Learning System sessions are usually conducted. FIT-ED, has conducted training for K-3 teachers of DepEd in various regions.

b. Economic Factors

Economic considerations were equally important in the success of the projects. At the organizational level, the multiple sources of funds of the CSOs have been key in their survival and flexibility. Depending on the size of the organization, some were able to provide bridge funding while awaiting disbursement of funds. One good thing for the CSOs in this sector was that they are on funded cash advance basis, which lessens the need for bridge financing (which in most cases were short-term fixes).

c. Organizational Factors

Some organizations have inherent characteristics that have helped them perform well in the project and has also contributed to its successful implementation. One of these characteristics is successful branding. This is the result of years of hardwork, clear and consistent vision that built the CSO reputation and credibility. A classic example here is RBI, which managed to distinguish itself from others by specializing on the needs of the vision impaired.

d. Technological Factors

Technology also facilitated the project implementation as all CSOs used ICT.

e. Stakeholder Support and Participation

The stakeholders' support and participation is another important consideration as this will serve as credibility and confidence booster for the project. Proper coordination with other stakeholders, especially local DepEd schools facilitated project implementation, ensured the utility of project outputs thereby affirming its relevance to the community and more importantly assuring sustainability of measures that were introduced. All CSOs provided modules that can be continually used beyond the lifespan of the project.

Hindering Factors

c. Cultural

CLAFI had to address some hesitation and initial resistance from indigenous communities in the transformation of traditional practice or knowledge to be part of the mainstream intervention. At the beginning, some tribal leaders who resisted the idea of transforming the flalok tradition to written form. As flalok is a sacred gift from God and one would require the guidance of spiritual forces in performing it, documenting the story and putting it in a book is a huge alteration of this tradition. The IPs feared that there might be unpleasant consequences when one alters this tradition.

c. Peace and Order

Another challenge is the security of the staff and the braille instructors in the communities. Most of the time, scheduled visits were canceled due to security concerns. Braille instructors were not allowed to enter communities with blind learners. The declaration of Martial Law in Mindanao also prevented the consultants from conducting monitoring visits with trained braille instructors.

c. Political

The first major challenge to project implementation of FIT-ED was the delay in the signing of the Memorandum of Agreement with DepEd because of the change in government leadership and the department reorganization that followed. In the interim, GRF and administrators of the Phil-Am Fund requested that FIT-ED provide for the continuation of program activities. The change in funding arrangements caused a delay in payments to service providers and in output delivery

c. Economic

The monthly Cash Advance Liquidation type of budget fund release was a major challenge to the timeliness of activity implementation and service delivery of CLAFI. Though CLAFI accepted and complied with this scheme and recognized its importance for financial and internal controls, there were times that it caused problems with regard to the timeliness of the accomplishment of tasks as projected in work and financial plans. There were months when the release of Cash Advance Requests would only take place mid-month for major activities that required huge funding and needed funds to be available earlier. In addition, as fund balance is already at negative, the CLAFI general fund would sometimes bridge funds, or worse, the activity would have to be delayed to the following month when funding would be available.

Absenteeism of the children because they are forced to work (child labor) to help their parents augment the family income.

c. Administrative

CLAFI only has three technical and one financial staff working full time on the project. Due to slim staffing, the workload of the project staff was heavier compared to that of regular staff members. Sometimes, it affected the quality and timeliness of their performance in fulfilling tasks at hand

RBI encountered difficulties in hiring project coordinators to conduct the field work. The process of hiring took eight months before the positions were filled. The delay in hiring also pushed back the activities for project implementation, including the search for beneficiaries in the areas covered by the project. The delay also **affected the conduct of the learners' assessment to help measure the learner's current level of literacy.**

To compensate for the delays, project coordinators worked with SPED centers to enroll additional blind adults for the literacy program. Coordinators also trained SPED teachers in the delivery of Braille literacy modules.

c. Stakeholder Support

Another operational challenge to FIT-ED was the monitoring of program implementation in the schools. As originally conceived, teacher engagement reports would be read and processed by the eLFs, who were required to submit synthesis reports to the TPD Delivery Team. The eLFs were also expected to report on and discuss issues arising from their reports during the webinars. It was the intention to model the facilitation of teacher learning and program implementation from the outset. In practice, however, because of the large numbers of participants nationwide (4,030 teachers in 357 LACS in 31 divisions, 11 regions), the 42 eLFs (11 region- and 31 division-based) found it difficult to collect and synthesize reports from the LACs and FIT-ED had to contact the schools directly to facilitate turn-over of data. This had a knock-on effect on data processing. When probed, most of the eLFs found it difficult to find time to sustain engagement with their assigned schools via school visits or remotely (through calls or social media).

ANNEX 2a. SURVEY RESULTS FOR BIODIVERSITY–THEMED PROJECTS

A. PHILIPPINE EAGLE FOUNDATION (PEF)

Title: Enhancing Biodiversity Conservation within the Unprotected Region of Mt. Apo Key Biodiversity Areas (KBAs)

1. Overview of the Project

Mt. Apo is one of the Key Biodiversity Areas (KBAs) in Mindanao known to host significantly important species of flora and fauna. However, only two-thirds of the KBA is legally protected and the rest is vulnerable to threats. Threats include agriculture (swidden farming and plantation), biological resource use (logging, wildlife hunting, trapping and poaching), human intrusions and disturbances (farming too close to breeding sites) and natural system modifications (such as fires). Poor law enforcement was seen as one of the reasons behind these stresses.

The project aims to promote biodiversity conservation in the unprotected areas of Mt Apo KBA. The objectives of the project are (1) to manage the unprotected forests as local conservation areas and (2) promote sustainability through conservation financing and knowledge management. It utilized the Philippine eagle and other focal species to increase awareness on the importance of conservation.

2. Theory of Change

The fundamental weakness of current forest management is the failure to completely localize the effort in such a way that local communities and the local governments through well-informed judgment assume the responsibility of managing the resource under a system where conservation is incentivized.

3. Mapping of Input-Process-Output-Outcome

a. *Input*

The project was implemented by the Philippine Eagle Foundation, Inc. (PEF). The project runs from August 6, 2015 to August 5, 2017 with a total budget of PHP16,264,125. It was implemented in the municipalities of Magpet and Arakan in North Cotabato and Davao City.

b. *Process*

The project organized numerous workshops and meetings with tribal leaders and local government units for the development and finalization of several important documents concerning biodiversity conservation. Some of these documents are: (a) Pusaka Declaration, (b) Ancestral Domain Sustainable Development and Protection Plan (c) Forest Land Use Plans for Arakan and Magpet, (d) Memorandum of Agreement between barangay and Pusaka Council, (e) documentation of the Ponownan ni Songayan and (f) community development plans, among others.

Several capability building activities on both biodiversity conservation and enterprise development were also undertaken. Biodiversity training includes training on forest guard patrolling and Global Positioning System (GPS) and map plotting. The training course on GPS was designed to introduce the principles of GPS and its operation, including the signal structure, modulation, access technologies, operational considerations and key types of measurement being utilized in the field. Meanwhile, training for plush toy making (rafflesia, deer and hornbill plush toys) and almaciga resin tapping were also conducted. These activities are means to incentivize conservation by engaging the communities with livelihood opportunities that strongly address their basic needs. Participants were trained on accounting for non-accountants by the Philippine Institute of Certified Public Accountants.

Biodiversity mapping and eco-profiling (including density studies) of local conservation area was conducted to increase the knowledge base on flora and fauna along the unprotected areas of Mt. Apo. The information will help the community sustain protection of their ancestral domain with their community development plans. These activities helped in the identification of ecologically important species such as Philippine eagle, hornbills, dove, owls, pecker, deer among others.

c. Outputs

Several documents and plans were reviewed and crafted from the project. One of the most important is the Pusaka Declaration. Pusaka is a worldview of the Obu Manuvu tribe that defines sacred grounds, plants and animals. The declaration identifies self-imposed rules for the protection and conservation of forest and all life therein in accordance with their customary practices and tradition.

Two Forest Land Use Plans (FLUPs) were also reviewed and finalized for Arakan and Magpet, North Cotabato. The plans incorporated biodiversity conservation and sustainable development initiatives such as forest guarding. A Memorandum of Understanding was signed between Barangay Tambobong, Davao City and Pusaka **Council for the creation of a barangay ordinance that will institutionalize and mainstream the Pusaka Council's** policies in the barangay LGU. A documentation of the Ponownan ni Songayan (Home of the Ancestors) of the Libertad, Arakan tribal group supports the Indigenous and Community Conserved Area (ICCA) declaration in Libertad, Arakan and present the sub-management unit within the Limlimluwan ancestral domain. Community development plans was also crafted during the project.

A total 2,604 man-hours of foot patrolling were conducted in Arakan as of June 2017. The activities surveyed the KBA and the focal species and assessed the status of habitats. There were around 22 illegal loggers and timbers poachers apprehended, 25 posters removed and 10 areas cleared during the foot patrolling.

Biodiversity enterprises were established for the plush toy making and almaciga resin tapping. The Department of Agriculture also committed to provide the Magpet communities with PHP525,000 worth of livelihood projects and P20 million worth of farm-to-market roads on the condition that the Magpet tribes review and enhance their ADSDPP.

In all, the project reported the following accomplishments (see Table 1).

Table 1. PEF Project Accomplishments versus Targets

Indicator	Target	Cumulative Accomplishment
Number of hectares of biological significance and/or natural resources under improved natural resources management as a result of USG assistance	30,000 hectares	37,670.01 hectares

Source: Project Documents

d. Outcome

The project enabled the formulation and approval of LGU ordinances committing resources and budget to the program, particularly the provision of allowance for the Bantay Gubat, as well as in influencing municipal and barangay conservation efforts. The implementation of the PUSAKA as a justice system is well recognized. The commitment of the bantay gubat in monitoring the forests and the discovery of almaciga and the trainings provided to take advantage of the economic potential of the tree as a source of livelihood.

4. Results and Discussion

Survey, key informant interviews and focus group discussion were conducted two years after project implementation to assess how well the project was implemented in the municipality of Malagos, Davao City. The evaluation aimed to examine the level of awareness of the community on the project, its objectives and activities to improve biodiversity in the area. It also aimed to assess the perception of community on the changes in biodiversity brought about by the project.

Around 35 community members from Barangays Tawan-tawan, Carmen, Tambobong and Salaysay, all in Davao City, were interviewed on April 11-12, 2019. They were randomly selected from a list of forest guards and forest rangers provided by PEF. Forest guards monitor illegal activities in Mt. Apo while the forest rangers were tasked in safeguarding Mt. Apo's watershed and forestry areas.

a. Profile

On average, a typical respondent is 41 years old, married, mostly male and living with five family members (see Table 2). Average years of schooling is five, equivalent to elementary level. Majority (60 percent) of the household income comes directly from the resources in Mt. Apo KBA.

Table 2. Socio-demographic Profile of the Respondents of PEF Project Evaluation

Socio-Demographic Characteristic	Percent Reporting (n=30)
Average age	41
Civil status	
Single	13
Married	83
Widowed	3
Average number of household members	5
Sex	
Male	83
Female	17
Education	
0 – 6 years	80
7 – 10 years	13
11 – 14 years	7
Average years of formal schooling	5
Percentage of your household income comes directly from resources in the Mt. Apo KBA	60

The community is highly dependent on the natural resources of Mt. Apo. Around 90 percent of the respondents are farming communities, with 60 percent reporting to generate income directly from the natural resource base (see Table 3). Abaca, coconut and cacao are the common crops grown in the area. The average household income is PHP5,348 per month.

Table 3. Income Profile of the Respondents of the PEF Project Evaluation

Socio-Economic Variable	Percent Reporting (n=30)
Farming	90
Non-farm	10
Monthly income (PHP)	
Below 5,000	70
6,000 to 10,000	23
Above 10,000	7
Average monthly income	5,348
Percent of income directly coming from municipality's natural resource base	
0 – 20%	9
21 – 40%	17
41 – 60%	35
61 – 80%	22
81 – 100%	17
Average	60

b. *Awareness of community on conservation activities*

Mt. Apo is the main source of livelihood of the beneficiaries. Most (50 percent) of them view Mt. Apo as still in its pristine condition (see Table 4). However, some (30 percent) assessed the current status of their natural resource base as somewhat degraded citing that illegal practices of some interest groups as the main reason. They identified illegal activities such as logging and slash burn as the main reasons behind such degradation.

In terms of awareness of LGU efforts to conserve KBA of Mt. Apo, 27 percent said that the LGU is active in monitoring the conditions of flora and fauna in the KBA. Some (15 percent) said that the LGU is keen on arresting illegal loggers in the area. Meanwhile, 19 percent are aware of the tree planting efforts of the LGU through the provision of rubber, cacao, mahogany and narra seedlings. In terms of NGO's efforts to conserve biodiversity, majority mentioned the PEF activities in their area like the monitoring activities of forest guards and forest rangers, measures to apprehend illegal loggers, seminars and lectures on protection of ancestral domain and the significance of existence of animals in KBA for the next generation and provision of seedlings for tree planting such as cacao, abaca, coffee, durian and falcata.

Table 4. Awareness of Respondents of PEF Project Evaluation on Resource Conservation Activities

Resource Conservation Awareness	Percent Reporting (n=30)
Current view of the status of the resource	
Still in pristine condition	50
Somewhat degraded	30
Degraded	17
Very degraded	3
Causes of resource degradation	
Illegal practices of some interest groups	53
Over exploited by the community	30
Mt. Apo is less supervised	10
Natural calamities	3
LGU efforts to conserve Mt. Apo KBA*	
Monitoring the conditions of flora and fauna	27
Arrest illegal loggers	15
Provide seedlings of rubber, cacao, mahogany and narra	19
Arrest those who violate rules and caused damage in the area	12
NGO (PEF) biodiversity conservation activities*	
Formed forest guards to monitor current conditions in Mt. Apo	33
Formed forest rangers to help them conserve the unprotected areas in Mt. Apo especially the trees where Philippine eagle live and lay eggs	15
Provides measures to capture illegal loggers	14
PEF conducts lectures about protection of ancestral domain and the significance of existence of animals in KBA for the next generation	22
PEF provides seedlings for tree planting	11
Involvement to conserve biodiversity in the Mt. Apo KBA*	
Member of forest guard to conduct monitoring and patrolling in KBA	46
Tree planting and monitoring	39
Share about Mt. Apo Conservation	11
Conduct meetings regarding ways in protecting ancestral domain	4
Building of foot trails	4
Participate in literacy programs	4

* multiple responses

c. *Awareness of the community on PEF and its activities*

The respondents are also fully aware that the Philippine Eagle Foundation as a non-government organization contributing to the protection of biodiversity in the municipality. They are familiar with their project as well as their activities. Survey results revealed that the monitoring of sites and species is the activity that the respondents are

most familiar with. They also knew that PEF provides nursery seedlings. They recognize that many species of wildlife depend on trees for habitat. Trees provide food, protection and homes for many birds and animals. Most of the respondents are involved as forest guards and as forest rangers. They also are active in monitoring of species and cleaning the trail in Mt. Apo and in tree planting activities. Other activities identified are as follows: promotion of almaciga resin, attendance in seminars on biodiversity conservation measures (see Table 5).

Table 5. Awareness of Respondents of the PEF and its Activities

Activities	Percent Reporting (n=30)
Awareness of the PEF's activities to biodiversity conservation in the Mt. Apo	
Yes	100
Activities to conserve Mt. Apo*	
Monitoring of sites and species in Mt. Apo	67
Literacy programs on how to protect the environment through seminar and meetings	33
Providing nursery seedlings such as cacao, abaca and coffee	23
Involvement in PEF activities*	
As a Forest Guard	45
As Forest Ranger	12
Tree planting	10
Monitoring of species in Mt. Apo	14
Attendance in seminars	3
Promotion of almaciga resin	3
Cleaning the trail of Mt. Apo	3

* multiple responses

In general, majority of the respondents are familiar with the activities of the PEF for conservation of biodiversity. In fact, most of them said that there should be another project that would continue the efforts to conserve Mt. Apo. (see Table 6).

Table 6. Rating of Respondents on the Activities Implemented by PEF

Statement	Agree Percent reporting (n=30)
1. PEF is implementing very important activities to conserve biodiversity within the unprotected region of Mt. Apo.	100%
2. PEF involves the LGU in its effort to conserve Mt. Apo.	100%
3. PEF involves the community in its effort to conserve the Mt. Apo.	100%
4. PEF has been able to harmonize the efforts of LGUs and the communities so that measures to conserve Mt. Apo can be made effective	100%
5. The effort of PEF to conserve biodiversity within the unprotected region in Mt. Apo is impacting positively on the level of living of the community.	100%
6. I want PEF to continue with its effort to conserve Mt. Apo	100%

d. Impact

In involving the communities, the PEF considered the cultural practices and economic needs of the people. Thus, the project had to marry the indigenous knowledge systems and practices (IKSP) with science. This led to the idea of helping the tribal communities in documenting their PUSAKA as a means of incorporating the necessity of protecting the eagle habitat.

There are three main project sites: Davao area, Arakan Valley and Magpet. Although there are commonalities in terms of focus interventions, it would seem to appear that each of these areas have different stories in terms of successes and experiences.

In all three areas, forest guards were trained and deputized to patrol their respective CADT areas and apprehend violators. There are therefore 2 ways of implementing the justice system: (1) when the violator clearly violates a law – heavy violation such as cutting of naturally grown trees like lauan, poaching of endangered species including the Philippine eagle; and (2) the PUSAKA if the violator violates the laws or abuses those that are deemed sacred by the tribes. The Davao City LGU has provided the forest guards a monthly allowance of PHP2,500 for a 10-day monthly patrolling.

According to key informants, in Davao, the highlight of the project accomplishment is the documentation of PUSAKA. In addition, the PEF-implemented project was instrumental in the identification of the abundant almaciga trees in the area and informing the tribal communities of their economic potential. The communities use the almaciga resin only as torch and did not know that these can be a source of livelihood. The forest guards were trained on tapping the trees for resin, provided with materials for tapping and packaging. They were also educated on how to manage an almaciga resin enterprise. Given that these are naturally grown in their CADT area and are therefore considered a communal property, the division of proceeds from the sale of the resin, the management of the trees should be clear at the start to avoid conflict. The community beneficiaries in Davao City were therefore assisted in setting up their associations, as well as in the processing of the permits to enable them to transport and sell the resin. It must be noted that all non-timber forest products, including resins from almaciga, needs certificates of origin duly issued by the CENRO.

In Arakan Valley, the project was able to promote social cohesion. In the development of the community plans by the LGUs, three brothers who have been fighting for a long time came together for the first time and made peace for the benefit of the community. The effort of the project in bringing them into the table has strengthened community relations and enabled a healing process.

In Magpet, the formation of the MAGPICA-DIMMA or the Magpet Pusaka Impon Conservation Council-Don Panaca, Mamalim, Manobo, Manabisa and Amakol is one of the main accomplishments of the project and the formation of the Limlimuan Council

e. Conclusions and Recommendations

In general, the project exceeded its targets. More importantly, the project was able to institutionalize conservation measures by capacitating the community so that they will become true stewards of their natural resources. Thus, the project was successful in using the advocacy of conserving the Philippine eagle habitat by ensuring **community participation and making use of the indigenous people's PUSAKA.**

Some of the recommendations to effectively conserve the biodiversity within the unprotected region of the Mt. Apo KBAs include (1) forest rangers should continue to have strong commitment in protecting and conserving Mt. Apo; (2) building of nurseries to plant more trees (3) Promotion of strong policies at a barangay level; (4) strengthen the security and policy on the unprotected areas of Mt. Apo; (5) increase the numbers of forest guards to monitor unprotected areas; and (6) give awareness to the community on how important is the conservation of Mt. Apo.

Recommendations for PEF to continue its effort on biodiversity conservation are (1) PEF should continue to support to the community especially the forest rangers and forest guards for effective conservation of biodiversity of Mt. Apo; (2) Monthly meeting of forest guards for updating the current conditions in the area; (3) Strengthen the enforcements in protecting the Mt. Apo; and (4) increase tree planting activities.

B. PHILIPPINE BIODIVERSITY CONSERVATION FOUNDATION, INC. (PBCFI)

Title: Performance Evaluation of Mainstreaming Biodiversity Conservation in Negros Island Regional Development Agenda Project

1. Overview of the Project

Negros Island is home to 41 globally threatened species some of which are critically endangered, endangered and vulnerable species. Information on biodiversity is lacking, where scientific information contains only lists of threatened species.

The was project geared toward translating scientific information available into layman's terms to allow for better understanding of the community and local government units. Through this, the project hoped to integrate conservation activities in local development and management plans. Moreover, increased public awareness regarding the status of biodiversity in Negros could lead to higher engagement of community members in conservation activities. The project was implemented in Negros Island, particularly in the Northern Negros Natural Park, Mt. Kanlaon Natural Park and the Balinsasayao Twin Lakes Natural Park.

2. Theory of Change

Information on the status of biodiversity is important input to planning and decision making. Establishment of monitoring stations and conduct of regular monitoring activities help generate important scientific data that could be inputted to biodiversity conservation framework and plan. Involving the various stakeholders in these activities ensure appreciation of the importance of science-based decision making, as well as on the need to conserve biodiversity.

3. Mapping of Input-Process-Output-Outcome

a. *Inputs*

The project was implemented by the Philippine Biodiversity Conservation Foundation, Inc. (PBCFI) for three years from October 15, 2016 to October 31, 2018, with a budget of PHP11,627,400.

b. *Process*

PBCFI initially coordinated with its project partners comprised of government and non-government agencies **concerned with environmental conservation movements. DENR and LGU's made recommendations regarding** the selection of implementation sites, resulting to the project choosing four out of the six proposed communities.

Biological monitoring surveys were conducted in coordination with the LGUs. Trainings on Evidence-based Biological Monitoring System were done with a focus on proper sampling and monitoring methods, habitat characterization, photo documentation, field diary and data analysis.

To gain support for the project and to attain its goal of integrating biodiversity conservation into the local **government's management plans, numerous meetings with LGUs, DENR and other stakeholders were held.**

Training sessions on sustainable beekeeping as a possible source of income were hosted by PBCFI.

As part of the celebration of the Provincial Wildlife Month and the Philippine Bird Festival, PBCFI produced billboards, posters, framed photos and leaflets on conservation awareness.

c. *Outputs*

The following are the outputs of the project:

- From trainings, 223 community dwellers were oriented on bee ecology, sustainable bee harvesting techniques and business planning; 186 volunteers given orientation on BMS; 67 participants trained on proper monitoring techniques focusing on habitat characterization, photo documentation, field diary and data analysis;
- The formulation of the Negros Island Biodiversity Sustainability Action Plan (NIBSAP) included conduct of workshop with 120 participants from various stakeholders groups and presentation of said document to another 32 participants.
- On the conduct of the BMS, the project established 15 monitoring trails in 6 municipalities; 137 volunteers recorded sightings of indicator species of Visayan hornbills and Visayan cuckoo shrike and tracks of warty pigs; conducted synchronized hornbill counts with 176 volunteers; 61 volunteers, 2 botanists and 1 ornithologist conducted flora and fauna surveys recording 300 flowering plant species and 640 plant species.
- Beekeeping equipment were turned over to 46 beneficiaries. A bird field guide and biodiversity system manual were produced.

PBCFI's performance indicators show that they attained their target number of hectares of biological significance and/or natural resources under improved natural resources management. They did not, however, attain the targeted number of man-hours of training in natural resources management and/or biodiversity conservation. Table 7 below shows a summary of the figures for their accomplishments.

Table 7. Targets versus Actual Achievements of PBCFI

Indicator	LOP Target	Accomplishment as of September 30, 2018
Number of hectares of biological significance and/or natural resources under improved natural resources management	110,000 hectares	110,000 hectares
Number of man-hours of training in natural resources management and/or biodiversity conservation	59,064 man-hours	23,336 man-hours

d. *Outcome*

The project spearheaded the formulation of the NIBSAP, where management plans for the various LGUs were based. These management plans paved the way for specific activities and funding for biodiversity conservation in the communities. Evidence-based monitoring systems generated updated scientific information and data on flora and fauna. Livelihood enterprises were also created through the beekeeping trainings.

4. Results and Discussion

a. *Profile*

The survey to determine performance of the project was conducted in one of the three project sites, the Balinsasayao Twin Lakes. The Lake is bounded by three municipalities, namely: Valencia, Sibulan and San Jose. The survey was done in the municipality of Sibulan, with 70% of the respondents being comprised of residents from barangay Janay-janay, 26.67% from barangay Enrique Villanueva and one respondent from barangay Cambaluktot, San Jose.

Respondents are mostly male, married, 45 years of age, has an elementary level of education and has an average household size of 5 (see Table 8). **Majority of the respondents are members of farmers' organizations and at the same time serve as Bantay Gubat or Bantay Bukid.**

Table 8. Socio-demographic Profile of Respondents of the PBCFI Project Evaluation

Socio-Demographic Characteristics	Percent Reporting (n=30)
Average age (years)	45
Civil Status	
Single	7
Married	77
Widowed	6
Gender	
Male	60
Female	40
Average number of household members	5
Education (years)	
0 – 6	
7 – 10	
11 – 14	
Memberships in organizations	
Religious group	40
Farmers associations	90
Women's Union	7
Senior Citizen's organizations	17
Bantay Gubat/Bantay Bukid	80

The main source of income is farming (see Table 9). Majority of respondents source their livelihood from the Park and its resources. These included farming, working as boatmen and employment in agencies operating with Park-related mandates. The average monthly income ranges from PHP500 to PHP30,000.

Table 9. Income Profile of Respondents of the PBCFI Project Evaluation

Income and source	Percent reporting (n=30)
Source	
Farming	40
Self-employment	36
Employed in park-related agencies	23
Employed in non-park related agencies	26
Monthly income (PHP)	
500 – 5,000	50
5,001 – 15,000	43
15,001 – 30,000	7

b. Awareness on conservation measures implemented in the area

All respondents view the state of the Park as still in pristine condition. However, all of them also believe that conservation measures must be implemented. Table 10 shows what conservation measures are deemed necessary, the awareness of respondents of the efforts of the LGU and NGOs to protect and conserve the park. Suggested conservation measures included regular monitoring of the park; strict implementation of the law, such as no hunting and illegal logging, as well as implementation of park rules such as cleaning the area; other activities to improve the park such as improving its trail and addition of animals to boost tourism. Majority of the respondents are aware that LGUs implement conservation activities in the Park, including regular monitoring and maintenance of watershed, maintaining infrastructure to ensure cleanliness, safety and cleanliness such as changing of old pipes, proper drainage disposal and putting up of new tanks; as well as enforcement of laws and regulations such as prohibitions in swimming, cutting of trees, burning of trash and hunting of animals.

Awareness of the efforts of NGOs is lower, with only 43% reporting they are aware. The most common conservation effort that they are aware is on livelihood training.

Table 10. Resource Conservation Measures and Awareness of Respondents

Awareness and Conservation Measures	Percent Reporting (n=30)
Suggested conservation measures	
Strict implementation of laws and park rules and regulations	40
Regular monitoring of the park	20
Activities to improve the park	20
Increase security personnel	17
Additional information	10
Awareness of efforts of the LGU to conserve BTLNP	
Aware	90
Not aware	10
Efforts of LGUs for park conservation	
Regular monitoring and maintenance of watershed	57
Maintaining infrastructure for Lake safety and improvement	47
Enforcement of rules and regulations	43
Ensuring security	17
Relocation of residents away from the Lake	3
Conduct of BMS	6
Awareness of efforts of NGOs to conserve BTLNP	
Aware	43
Not aware	57
Efforts of NGOs for park conservation	
Conduct of livelihood seminars	37
BMS training	20
Habitat monitoring	13
Monitoring and protection of the park and its resources	6
Maintenance of the park	

Majority of the respondents in the area aware of the project and the CSO (see Table 11). The activities that the respondents know are mostly on trainings, seminars and bird protection.

Table 11. Awareness of Respondents on PBCFI and its Activities

Awareness and Conservation Measures	Percent Reporting (n=30)
Awareness of PBCFI and the project	
Aware	90
Not aware	10
Awareness of PBCFI activities	
Tree planting	17
Trainings on BMS, lake monitoring	83
Training on beekeeping	22
Bird protection	3
Respondent involvement in PBCFI activities	
Participated	86
Did not participate	14

Majority of the respondents agreed that the CSO is implementing a very important activity that will mainstream biodiversity conservation, that the LGU and community is involved (see Table 12). More importantly, the respondents believed that PBCFI is able to harmonize their efforts with the LGUs and that they should continue with the activities as these have positive impacts on biodiversity. However, a few respondents have no idea on the activities of the CSO.

Table 12. Rating of Respondents on Activities Implemented by PBCFI

Statement	Percent reporting (n=30)	
	Agree	Don't Know
1. PBCFI is implementing very important activities to mainstream biodiversity conservation in the Negros Island.	87	13
2. PBCFI involves the LGU in its effort to mainstream biodiversity conservation in the Negros Island.	83	17
3. PBCFI involves the community in its effort to mainstream biodiversity conservation in the Negros Island.	83	17
4. PBCFI has been able to harmonize (meaning able to put together) the efforts of LGUs and the communities so that measures to mainstream biodiversity conservation in the Negros Island.	77	23
5. The effort of the PBCFI to mainstream biodiversity conservation in the Negros Island is impacting positively on the natural resources we derive from Northern Negros Natural Park	83	17
6. I want PBCFI to continue with its effort to mainstream biodiversity conservation in the Negros Island.	97	3

c. Impact

The project was able to generate substantive results that has the potential for long term impact. The capacity built through the trainings for the conduct of BMS ensures that generation of the scientific data will continue. The strong coordination with and involvement of the various stakeholders, especially the DENR and the LGUs is crucial in this activity. In conducting the BMS, the CSO was able to generate huge interest in the Negros Island on the issues surrounding the three national parks and the need to provide continuous protection. In fact, BMS has become part of the task of the Bantay Bukid according to the PENRO. Expertise has been downloaded to the LGUs and the communities in the conduct of BMS. Due to the monitoring result and the information provided by the project, apprehension on poaching of Visayan deer and sea horse has been done. Data from the project is processed and presented to the Sangguniang Panlalawigan or Sangguniang Bayan, where these are used for decision making, such as Declaration of San Carlos City Sanctuary for birds, as well as data to support declaration of Ramsar Site in the island.

Interest from outside the Island was also evident as professional photographers' associations provided free pictures for the photographic field guide, as well as international experts providing free services.

Awareness campaign in the community of schools as they participated in the various activities of the project such as BMS and wildlife month

According to the CSO, their experience, especially in the formulation of the NIBSAP provided inspiration for the other key biodiversity areas such as Mt. Apo and Panay Island in coming up with a similar document. The importance of the document is evidenced by the LGUs in the area using it as basis in formulating their own specific conservation plans and activities. Commitments from NEDA to use the document in regional planning was also indicated.

In the area of livelihood, the project was able to ensure sustainable honey gathering practices by providing beekeepers with adequate training and equipment to generate income while ensuring forest conservation.

d. Conclusions and recommendations

The credibility of the CSO is a factor in the performance of the project. The CSO was able to increase the awareness of the communities on the importance of biodiversity conservation. More importantly, the CSO used this increased awareness in generating support and cooperation in the conduct of their activities.

Recommendations from the survey included: (1) additions of animals/ wildlife species to attract more tourists in the park; (2) enhance rules and regulations to improve park protection, as well as its security; (3) continue the conduct of BMS and (4) construction of tourist facilities

Recommendations of the respondents to PBCFI include the continuous conduct of seminars to remind people that they have to protect the area; conduct trainings and seminars that would benefit the community as a whole, as well as conduct of more livelihood programs that might be a source of income for the community members. If people have stable jobs, they will not resort to kaingin and hunting.

C. INSTITUTE OF SOCIAL ORDER

Title: Promoting Participatory Island Development Strategy for Culion, Palawan

1. Overview of the Project

Culion, Palawan is a key marine biodiversity. The area is rich with commercially important fish species, **mangroves, seagrass and corals that support the rich marine life. Threats to the island's ecosystem and biodiversity resources.** This includes (a) degradation of coastal and marine resources due to unmanaged and rapidly growing tourism and economic activities, (b) weak law enforcement and natural resource governance and (c) limited participation of local communities in coastal resource management.

This project was aimed to protect the integrity of the biodiversity of the coastal and marine resources of Culion Island through participatory governance and community-based natural resources management (CB-NRM) strategies. The project engaged with local communities in coastal, marine and mangrove protection and conservation by instilling the values of responsible stewardship among them. It was designed to put up appropriate structures and systems of sustainable development, develop local capacities on environmental governance and encourage conservation enterprises that will balance the economic and social well-being of the people.

2. Theory of Change

The project hoped for the improvement of coastal waters and mangroves of Culion Island. To achieve this, the project aimed to improve the awareness of the fisherfolk on biodiversity policies and encourage active participation to CRM activities. The project implemented (a) community organizing, (b) capacity building, (c) community-based natural resources management, (d) law enforcement, (e) establishment of sustainable livelihood and (f) networking and linking.

The theory of change is anchored on the belief that environmental degradation is due to unmanaged tourism and economic activities as well as the weak enforcement of relevant laws and limited participation of local communities in coastal resource management. The root causes of these are the absence of a natural resource management framework that will ensure a sustainable system of resource management; limited capacity on natural resource governance; failure to harness indigenous knowledge; and failure to promote conservation enterprises that balance economic and social well-being.

3. Mapping of Input-Process-Output-Outcome

a. *Inputs*

The project was implemented by the Institute of Social Order with a total budget of PHP12,821,255. It was implemented in selected barangays in Culion, Palawan (Galoc, Osmeña, Libis, Baldat, Patag and Binudac).

b. *Process*

A Local Research Team (LRT) was formed to conduct the Participatory Action Research for the Participatory Coastal Resource and Ecological Assessment (PCREA). The LRT is composed of multi-disciplinary members

from the various stakeholder groups who can help assess and monitor marine resources of Culion. Activities conducted by the LRT included the: (a) household and community assessments on awareness and status of marine biodiversity, (b) inventory of mangrove resources and (c) coral reef assessment. The LRT was provided with trainings on Basic Global Positioning System (GPS) and Quantum Geographic Information System (QGIS) mapping.

People Organizations (POs) were assessed and selected as partners in protecting and conserving marine biodiversity in the municipality. The selected POs are (1) Samahan ng mga Responsableng Mamamayan ng Galoc or SAREMAGA; (2) Samahan ng may Makabagong Kabuhayan ng San Ignacio or SAMAKASI; (3) Hugpong Mananagat ng Binudac (HUMABI); (4) NYSMNLIBIS; (5) BAFFA; and (6) UBCCC. The POs were provided with trainings activities for organizational strengthening such as the Values Formation and Environmental Stewardship Training and the Organizational Development and Management Training. They were also provided a training on Nursery Management Establishment. Workshop on livelihood enterprise development was also facilitated to identify potential livelihood enterprises for the selected POs.

The project also pushed for the formation of the Municipal Fisheries and Aquatic Resources Management Council (FARMC). The formation of the FARMC will ensure the sustainability of the conservation and patrolling activities of the partner POs in the municipality. As such, they were provided with trainings and seminars on ordinance and policy formulation. In addition, six Barangay FARMCs were also formed in Barangays Galoc, Osmeña, Libis, Baldat Patag and Binudac.

Further, mangrove reforestation activities were implemented during the project and mapping and survey of potential reforestation sites were conducted. Awareness-raising sessions on mangrove conservation and other coastal resource management-related topics were conducted in barangays where mangrove reforestation is targeted.

c. Output

Four mangrove nurseries were established in Barangays Galoc, Binudac, Libis and Balda, near the identified mangrove reforestation sites for easy transport of seedlings. The most common mangrove species available in the nurseries are the *Rhizophora* spp and *Bruguiera cylindrica*. As of June 2018, a total of 256,969 seedlings were already propagated, of this, 188,954 were out-planted in 62.98 hectares of mangrove reforestation sites. Another 66.12 hectares of municipal waters were identified as possible reforestation sites.

A total of 19,960 man-hours of trainings were conducted to the community including POs and FARMCs. Trainings cover topics on resource mapping, nursery establishment, value formation, organizational development, ordinance and policy formulation, financial management and livelihood enterprises, among others.

A Sustainable Development Plan was crafted and presented to the municipal council which, consequently, committed to adopt the plan and to integrate the activities in the annual investment plan of the municipality. The plan contains the resource maps and recommendations provided in the participatory coastal resources and ecological assessment studies, particularly the maintenance of the MPAs and mangrove reforestation, which were validated by the participants. Among the salient information yielded from the Participatory Action Research were: (1) declining fish catch is caused mostly by illegal fishing; (2) the claim on lack of access to marine resource is partly an effect of climate change and partly due to private businesses that are prohibitive to fishing; and (3) the coral reef assessment and mangrove inventories showed that coral reefs in Culion are relatively in good condition. Sitio Nihad in Barangay Galoc displayed excellent coral reef cover, high diversity species for both corals and fish stocks. Other sites, however, showed signs of degradation, possibly due to anthropogenic stressors, i.e., overfishing

Business plans were drafted by the respective POs for their proposed social enterprises as follows: (1) HUMABI – Main: one-stop fish shop (talipapa); (2) HUMABI – Berg: seafood marketing and processing; (3) SAREMAGA - fish processing; (4) KCCFFA - fish processing; (5) SAMAKASI - fish processing; and (5) BAFFA - mangrove tour and floating restaurant with store.

In all, the project reported the following outputs (Table 13).

Table 13. ISO Project Accomplishments versus Targets

Indicator	Target	Cumulative Accomplishments
Number of hectares of biological significance and/or natural resources under improved natural resources management	210 hectares (60 hectares mangrove, 150 hectares municipal waters)	856.17 hectares municipal waters, 66.12 hectares mangrove
Number of man-hours of training in natural resources management and/or biodiversity conservation	8,240 man-hours	19,960 man-hours

d. Outcome

The following are the outcomes of the project: (1) Local ordinances and policies; (2) Resource commitment of the LGUs integrated in the local investment plans; (3) Natural resource management framework; (4) Effective system of inter-agency involvement (5) Established conservation enterprises; (6) System of effective enforcement (e.g. establishment of bantay-dagat); (7) Awareness, commitment and participation of the community; (8) Incorporation of indigenous knowledge in the conservation initiatives; (9) Improvement in economic and social well-being; (10) Improvement in capacity (LGU- and community-level); and (11) Validation all outputs reported by the project.

4. Results

Five months after its completion, an assessment was made to determine the performance of the project. In particular, a survey was conducted to examine the level of awareness of the community on the project, its objectives and activities. It also aimed to assess the perception of community on the changes in biodiversity brought about by the project.

Thirty-five community members of Barangay Binudac were interviewed on February 20 and 21, 2019. They were randomly selected from a list of members of the Hugpong Mandaragat ng Barangay Binudac (HUMABI). HUMABI was purposively selected considering the feedback from ISO that they were the target beneficiaries of the project.

a. Profile

On average, the respondents are aged 47, married and living with five family members (see Table 14). The average number of formal schooling is 7 years. While the barangay has an elementary school, the nearest high school and university is approximately one-hour from the barangay proper. Considering the mountainous terrain and poor road system, access to higher education has been very difficult.

Table 14. Socio-demographic Profile of the Respondents of ISO Project Evaluation

Socio-Demographic Characteristic	Percent Reporting (n=35)
Average age	47
Civil status	
Single	3
Married	86
Widowed	11
Average number of household members	4.6
Sex	
Male	23
Female	77
Education	
0 – 6 years	57
7 – 10 years	31

11 – 14 years	12
Average years of formal schooling	7
Membership in organizations*	
Religious group	21
Farmer's union	2
Women's group	21
Senior Citizen	6
Bantay dagat	3
People's organization (HUMABI)	23

* multiple responses

Binudac is one of the coastal barangays of Cullion. It is home to the Similic Marine-Protected Area (MPA) in the municipality. Owing to its location, the community is highly dependent on its coastal resources. Around 86 percent of the respondents are small-scale fisherfolk (see Table 15). Squid and small fishes (i.e., tulingan) are the common catch. Some respondents are engaged in farming activities such as vegetable and hog fattening (17 percent) while other operate a sari-sari store and buy-and-sell business such as ready-to-wear garments (49 percent). The average household income is PHP10,657 per month. Of this, around 77 percent directly comes from fishing activities.

Table 15. Income Profile of the Respondents of the ISO Project Evaluation

Variable	Percent reporting(n=35)
Sources of income*	
Fishing	86
Farming	17
Non-farm	49
Others	3
Monthly income (PHP)	
Below 10,000	77
10,001 to 20,000	11
20,001 to 30,000	6
Above 30,000	6
Average monthly income	P10,657
Percent of income directly coming from municipality's natural resource base	
0 – 20%	11
21 – 40%	-
41 – 60%	14
61 – 80%	17
81 – 100%	57
Average	77%

* multiple responses

Considering their dependence on coastal resources, it is not surprising that locals are truly concerned on their environment. Majority assessed that the current status of their natural resource base is somewhat degraded citing that mangroves are almost gone in some area and marine life including corals are not as rich as before (see Table 16). They identified illegal activities such as dynamite fishing (e.g., use of compressor) and illegal cutting of mangrove trees as the main reason behind such degradation. The locals believed that measures should still be implemented to protect the biodiversity.

Majority of them are aware of activities spearheaded by the LGU to conserve the biodiversity in the community. For instance, almost half (49%) attested that LGU is active in patrolling around the MPA (49%). In addition, they also recalled conduct of information dissemination through seminars and meetings (9%) as well as provision of necessary items such as buoys (3%), mangrove seedlings (3%) and trashcans (3%).

Table 16. Awareness of ISO Respondents on Resource Conservation Activities

Resource Conservation Awareness	Percent Reporting(n=35)
Current view of the status of municipality's coastal resource	
Still in pristine condition	23
Somewhat degraded	60
Degraded	17
Causes of resource degradation*	
Illegal activities (e.g., dynamite fishing and cutting of mangrove trees)	74
Failure of authorities to protect the resource	6
LGU's efforts to conserve natural coastal resources*	
Conduct patrolling activities especially near marine-protected areas	49
Information dissemination	9
Arrest people doing illegal activities	5
Establishment of BFARMC	3
Provision of trashcan near coastline	3
Provision of mangrove seedlings	3
Provision of buoys in the MPA	3
No idea	25

* multiple responses

The respondents are also fully aware that the CSO contributes to the protection of biodiversity in the municipality. They are familiar with the project as well as their activities (Table 17). The survey revealed that mangrove reforestation is among the activity they are most familiar with. Trainings and meetings to instill values of responsible stewardship of the environment were also conducted. Proper ways of collecting, nursing and transplanting seedlings were among the modules given during the training. A nursery was established in the barangay for this purpose (Figure 3).

Table 17. Awareness of the ISO and its Activities

Items	Percent Reporting (n=35)
ISO's activities to conserve coastal resources in the community*	
a. Mangrove reforestation	83
b. Meetings, trainings and information drive	31
c. MPA protection	17
d. Fish drying	6
Involvement to ISO activities	
Yes*	51
Attendance to meetings	13
Fish drying	1
Planting mangroves	2
MPA patrolling	1
Provided support for the conduct of meetings	2
Cleaning of coastline	2
No	49

* multiple responses

Other than mangrove reforestation, around 17 percent of the respondents knew that ISO also deployed buoys to provide demarcation of the MPA to limit navigation and fishing activity within the MPA zone. A boat was procured for the purpose of patrolling. However, some residents said that such boat is seldom used for patrolling and only showcased when USAID officials and dignitaries visit the place.

Meanwhile, two respondents said that ISO introduced and capacitated residents on fish processing and squid drying. However, the activity was not sustained since a problem on supply of fresh squid was encountered. According to them, businessmen already buy squids at a higher price even before fishermen reach the coast.



Figure 3. (a) buoys deployed as markers of the MPA, (b) seedling nursery established in Sitio Berg, (c) mangroves planted in Barangay Binudac and (d) patrol boat acquired for the project

It is interesting to note that while resident's concern on the biodiversity is high, such concern did not translate much to participation and involvement in conservation activities. Based on survey, half (51%) of the respondent participated on ISOs activities and their participation is only limited to attendance to meetings. Only two respondents experienced planting mangroves and one respondent participated in fish drying. The common reasons cited were the need to attend to their own livelihood as well as family obligations like taking care of their children. It was observed that majority of the members of HUMABI are women. Nonetheless, all respondents thought that ISO's activities will bring beneficial impacts to their community in the future (Table 18).

Table 18. Perceived Benefits from the ISO Activities

ISO Activities	Perceived Effects	Percent Reporting (n=35)
(a) Mangrove reforestation	• Increase in number and size of fishes	62
	• Protect the community against disaster such as tsunami	25
(b) MPA protection	• Reduction in number of illegal activities in the ocean	17
	• Increase in fish catch	6
(c) Fish drying	Increase in income	6

* multiple responses

For those familiar with mangrove reforestation, they thought that the activity will result to increase in number and sizes of fishes. They are aware that mangroves are home to fishes, serve as breeding grounds and protect coastal community from natural disaster such as tsunami. Meanwhile, they also taught the activities concerning MPA protection through deployment of buoys and patrolling are important as it will lead to reduction in number of economic activities, within the MPA zone. They believed that fishes can breed and grow better in undisturbed water within the MPA. Squid drying, was regarded as beneficial to improve household income.

Respondents were asked to rate the activities implemented by ISO using a five point-Likert Scale, as an indication of how well the project was implemented on the ground. For every statement, a score of one means

that respondents highly agree while five if they highly disagree. In general, respondents agreed to the statements on the activities implemented the CSO (Table 19).

Table 19. Rating of Respondents on the Activities Implemented by ISO

Statement	Agree (%)	Neutral (%)	Disagree (%)
1. ISO is implementing very important activities to conserve coastal resources in Culion, Palawan	97	3	0
2. ISO involves the LGU in its effort to conserve coastal resources in Culion	97	3	0
3. ISO involves the community in its effort to conserve coastal resources in Culion	94	6	0
4. ISO has been able to harmonize (meaning able to put together) the efforts of LGUs and the communities so that measures to conserve coastal resources in Culion can be made effective	94	6	0
5. The effort of ISO to conserve coastal resources in Culion is impacting positively on the level of living of the community	97	3	0
6. I want ISO to continue with its effort to conserve coastal resources in Culion	100	0	0

5. Conclusion and Recommendation

The evaluation saw that residents are truly concerned with biodiversity in the area. This is due to the **respondent's high dependence on their natural resources for their livelihood**. The level of knowledge of the locals is high considering that they can assess status of the biodiversity as somewhat degraded. They recognized that measures should be done to conserve natural resources. Respondents are aware that the LGU is conducting activities to conserve natural resources, including the USAID project which the community believed translate to positive outcomes and greater impacts.

While they recognize the importance of the project and its activities, their participation is limited only to attendance to meetings. Only few have tried transplanting mangroves and drying of fish. Majority of the members of the target people organization is female. Given the remote and island landscape, females are expected to look after their children and engage in small business for a living.

D. HARIBON FOUNDATION INC. (HARIBON)

Title: Improving Local Stakeholder Engagement in the Conservation of Naujan Lake National Park Sub-Watersheds

1. Overview of the Project

The Naujan Lake, the fifth largest in the Philippines, was recognized as a Wetland of International Importance as it provides home to the Philippine Duck, which is listed vulnerable in the International Union for Conservation of Nature (IUCN) red list. The sub-watersheds of the Naujan Lake National Park (NLNP) are also inhabited by endangered and critically-endangered biodiversity species, including the Philippine Teak, Philippine Warty Pig and the Tamaraw.

The major threat in the area is the ongoing loss of forest cover. This averages 557 hectares per year due to the **communities' limited capacities to participate in conservation work, lack of coordinated support for biodiversity conservation** and very limited options in alternative livelihood.

USAID supports Haribon Foundation in strengthening capacities of local conservation actors for the protection of sub-watershed areas in the NLNP. Local government efforts and law enforcement initiatives were harmonized to

improve natural resource management of the key biodiversity area. Communities were mobilized to engage in biodiversity-friendly livelihood and agricultural practices.

2. Theory of Change

Effective watershed management hinges on the capacity of local conservation actors and effectively engaging them. Local conservation actors include the LGUs and the communities whose effort must be harmonized and collectivized. The theory seems to stand purely on the idea that better and more informed governance and increased community capacity will lead to significant improvement in managing the watershed.

3. Mapping of Input-Process-Output-Outcome

a. *Inputs*

The sub-grant was implemented in 96,000 hectares in Naujan Lake National Park, covering the municipalities of Naujan, Victoria, Socorro and Pola in Oriental Mindoro. The sub-grant was implemented in June 2014 to June 2018, with the approved budget of PHP12,703,044.

b. *Process*

The Haribon Foundation, Inc. established a field office and conducted coordination visits with government agencies and civil society organizations who work in the NLNP sub-watersheds. The Foundation also conducted training needs assessments (TNAs) for the eco-guardians and eco-rangers, Biodiversity Fellows Program (BFP) and Bantay Gubat (BG). These became the basis for the eco-guardians training for Grades 8 and 9 teachers from four LGUs (Naujan, Victoria, Pola and Socorro), integrating relevant subjects on biodiversity, environmental laws, eco-disaster risk reduction and climate change adaptation.

Field implementation of the biophysical survey and secondary data gathering for socio-economic survey were conducted by the project. Also, there was the launching of the Biodiversity Fellows Program (BFP) for local conservation leaders and completion of four modules, where all qualified candidates can collaborate for the purpose of community-based conservation and resource management. Close monitoring, coaching and mentoring to Biodiversity Fellows were made to ensure the effective implementation of their proposed conservation projects.

The project also established the Important Biodiversity Area Monitoring Systems (IBAMS) in Victoria and Pola to form part of the monitoring sites of the Bantay Gubat; used to determine the state, pressure and management response in a target conservation area.

c. *Outputs*

The Haribon Foundation had developed training modules for its beneficiaries and other stakeholders. These modules include: Module 1 which covers the fundamentals of biodiversity, forest and watershed conservation, including its threats and impacts on communities; Module 2 which covers the national framework, strategies and action plans on biodiversity, forests and watershed conservation; and Module 3 which covers resource generation, marketing, monitoring, evaluation and assessing management effectiveness.

Moreover, 25 Bantay Gubat members have established their individual bio-intensive gardens (BIG) planted with assorted vegetables, although only 11 of them have maintained their gardens, covering a total area of 1,212 square meters (sqm). Nine (9) of the prospective Bantay Gubat members have also been recognized by the LGU as members of the Samahang Green Forest in Victoria.

For the training of Eco-Guardians and Eco-Rangers, a total of 53 eco-stories were written by the Eco-Rangers (Grade 8 and Grade 9 students). These eco-stories depict the experience of the students on forest restoration, biodiversity conservation, solid waste management and the conduct of awareness-raising campaigns. These were published into a book and distributed among the participants of the environmental leadership conference.

The Forest Land Use Plans (FLUP) was finalized, incorporating the Forest Protection and Law Enforcement Plans prepared by the Bantay Gubat teams. The enforcement plans of Pola and Socorro were also promoted for integration into their own FLUPs. For the development of conservation projects, three (3) Biodiversity Fellows from Socorro developed the “Establishment of Buffer Trees along 1.5km Lake Naujan Coastline to Reduce Risk Brought about by Climate Change”; and two (2) Biodiversity Fellows from Pola developed the “Pagpapanumbalik Sa Dating Ganda ng Kapaligiran sa Pamamagitan ng Rainforestration Farming sa Pola (Rainforestation Project).”

Other outputs are (1) 75 participants from situational analysis workshop; (2) 25 trainees from Module 1 of Bantay Gubat, (3) 25 trainees for Module 2, (3) 20 trainees for Module 3, (4) 48 participants for forest law enforcement planning (5) 44 trainees on bio-intensive gardening, (6) 50 trainees on basic principles in using the status, pressure and response methodology in biodiversity monitoring and (7) 85 high school student leaders attending the environmental leadership conference.

d. *Outcome*

Harmonized natural resources management initiatives in watershed areas through capacity building and community engagement.

4. Results and Discussion

Naujan Lake is bounded by four municipalities: Naujan, Victoria, Socorro and Pola. The survey was conducted in all municipalities, including 39 respondents who were community members; and considered indirect beneficiaries of Haribon’s project. Fifteen respondents were from Naujan (38%), 16 from Victoria (41%), four from Socorro (10%) and four from Pola (10%).

a. *Socio-Economic and Demographic Profile*

The average age of the respondents is 46, 51% are female and 56% are married (Table 20). Majority (56%) have attended elementary school, while 38% and 5% reached high school and college levels, respectively. The average household size is four, where most earn income from fishing (51%), fruits and livestock farming (26%) and other sources of income such as employment, vendors and service providers (23%). Average monthly household income is PHP 8,904, with 66% coming directly from resources in the Naujan Lake sub-watershed.

Table 20. Socio-demographic Profile of the Respondents of the HFI Project Evaluation

Socio-Demographic Characteristic	Percent Reporting (n=39)
Average age	46
Sex	
Male	49
Female	51
Civil status	
Single	31
Married	56
Widowed	13
Education	
0 – 6 years	56
7 – 10 years	38
11 – 14 years	5
Average years of formal schooling	7
Average number of household members	4
Monthly income (PHP)	
0 – 10,000	83
10,001 to 20,000	15
20,001 to 30,000	2
Average monthly income	PHP 8,904

Sources of income*	
Fishing	51
Farming (e.g., fruits, livestock)	26
Non-farm (e.g., sari-sari store, employment, services)	41
Others (i.e., remittances)	5
Percent of income directly coming from municipality's natural resource base	
0 – 20%	41
21 – 40%	0
41 – 60%	15
61 – 80%	33
81 – 100%	10
Average	66%
* multiple responses	

b. *Resource Conservation Awareness*

Respondents were asked about their view of the current state of the Naujan Lake sub-watershed and their awareness of the efforts to protect and conserve it (Table 21). Majority (82 percent) see that the Naujan Lake sub-watershed is still in pristine condition, 13 percent say that it is somewhat degraded and 5 percent perceive it to be degraded. Among those who see the sub-watershed degraded, most have observed that the resource was over-exploited by the community itself. Others noticed that degradation was caused by illegal practices of some interest groups, the failure of authorities to protect the resource and natural calamities such as typhoons. Nonetheless, almost all (92 percent) still think that measures should be implemented to protect the resource. These include the planting of mangroves, fruit trees and hardwood trees along rivers and in their surroundings; the prohibition of illegal logging, kaingin, littering and the use of small nets in fishing; and the actions of Bantay Lawa and Bantay Gubat volunteers.

As for the efforts to conserve the Naujan Lake sub-watershed, unfortunately, 49 percent of those surveyed do not know any effort by the LGU. For those who are aware, efforts from the local government and provincial offices like DENR and BFAR include: tree planting activities that include the community; implementing ordinances such as planting of trees before a wedding or baptism; prohibition of illegal logging; provision of coconut seedlings and fish fry; monitoring activities; and the appointing of Bantay Gubat volunteers. For non-government organizations, **only one knew a Farmers' Organization which reports illegal logging activities in the area. In terms of the community's involvement in any activity to protect the Naujan Lake sub-watershed, only 13% said they had efforts like the planting of trees, removing trash from the lake and reminding those who cut trees without permit.**

Table 21. Perception of HFI Respondents on Resource and Awareness/Involvement in Resource Conservation Activities

Resource Conservation Awareness	Percent
Current view of the status of the sub-watershed	
Still in pristine condition	82
Somewhat degraded	13
Degraded	5
Causes of resource degradation*	
Overexploited by the community	13
Illegal practices of some interest groups	8
Failure of authorities to protect the resource	3
Other causes (i.e., typhoon)	8
LGU's efforts to conserve the sub-watershed*	
Implementation of ordinances and tree-planting activities	15
Monitoring/ Activities of Bantay Gubat volunteers	33
Provision of seedlings and fish fry	3
No idea	49
Other NGOs' efforts to conserve the sub-watershed	
Reporting of illegal loggers to the LGU	3

Community's involvement in any activity to protect the sub-watershed

Planting of trees	5
Removing trash from the lake	5
Reminding loggers of securing a permit when cutting trees	3
*multiple responses	



a. The Naujan Lake National Park recognized as a Ramsar Wetland Site

b. Part of the Naujan Lake Sub-watershed



c. Awareness of Haribon Foundation Inc. and its Project

Unfortunately, only one of the respondents have heard of Haribon (Table 22). There were two who were familiar of the effort to conserve the Naujan Lake sub-watershed and that the activities were initiated by the local DENR. Accordingly, Haribon had teamed up with the local DENR to facilitate the trainings and appointment of Bantay Gubat volunteers.

Table 22. Awareness of Respondents on HFI as an Organization which Proposed to Conserve the Sub-watershed of the Naujan Lake

	Awareness	Percent
Yes		3
No		92
Knows the objective, but not being Haribon as the proponent		5

c. *Perceived Benefits of Haribon's Activities*

Although unaware of Haribon and its efforts, the respondents were given a brief overview of its objectives and activities. Table 23 presents the perceived benefits of Haribon's activities. **Twenty nine (74%) of them recognize** that the project will be effective in the prevention of excessive flooding. Increase in the harvest of fish from Naujan Lake and increase in the harvest of fruits from the sub-watershed was perceived by some of them (23% and 8%, respectively). Consequently, one expects the project to have an effect on the conduciveness of the resource for wildlife habitat. Unfortunately, 10 (26%) had no idea or no response about this.

Table 23. Perceived Benefits of HFI activities

Perceived Benefits	Number/Percentage*
Flood prevention	74
Increase in fish harvest	23
The sub-watershed as a conducive habitat for wildlife	8
Increase in fruit harvest	3
No idea/ response	26
* multiple responses	

d. *Recommendations*

As residents within the Naujan Lake sub-watershed, they believe that planting more fruit and hardwood trees will conserve the sub-watershed and at the same time provide them a source of income. Some of these trees are lanzones, banana, rambutan, mahogany, gmelina, acacia and mangroves. For authorities, strict implementation of ordinances against the cutting of trees, kaingin and disposal of waste into the lake must be done to lessen flooding and increase the number of animal species inhabiting the area. Provision of tree seedlings may promote **more planting. In addition, the community's awareness and participation in projects/programs related to the** protection and conservation of the sub-watershed must be encouraged. In general, there must be discipline and sense of responsibility among all stakeholders of the sub-watershed.

Since almost all respondents are not aware of the Haribon foundation and its efforts, they were given a short **overview of Haribon's project concerning the sub-watershed of Naujan Lake.** Majority perceived that the project was helpful. They recommend the continuation of the project and widen its scope to eliminate problems in flooding and improve awareness and discipline of the community members. Others recommend that project implementers involve everyone **in any future projects similar to Haribon's; and appoint more Bantay Gubat and Bantay Lawa** volunteers.

ANNEX 7b. SURVEY RESULTS FOR GOVERNANCE–THEMED PROJECTS

A. **NAGA CITY PEOPLE’S COUNCIL (NCPC)**

Title: Advancing and Instituting Greater Accountability and Transparency through Expanded Civic Engagement in Metro Naga Area

1. Overview of the Project

The project of Naga City People’s Council (NCPC) aimed to increase public participation in seven (7) targeted municipalities toward the promotion of projects/programs of the marginalized sector in the developmental plans of the local government of Camarines Sur. According to KII, this initiative served as a continuation of NCPC’s previous project with the United Nations Democracy Fund (UNDEF), “Expanding and Fortifying Local Democracy through the People’s Council in the Philippines” involving only six municipalities in the Metro Naga area. Thus, this project with USAID expanded their efforts to the other municipalities not covered by the UNDEF project.

The Local Government Code of 1991, which states that “the territorial and political subdivisions of the State shall enjoy genuine and meaningful local autonomy to enable them to attain their fullest development as self-reliant communities and make them more effective partners in the attainment of national goals”, is not fully implemented in most provinces and cities in the country. This project of NCPC planned in institutionalizing the collective efforts of the local government of Naga City and apply it to the neighboring municipalities. The primary focus was to **increase awareness and conduct capacity building activities among People’s Councils and People’s Organizations (PCs and POs) for them to fully understand and execute their roles and duties.**

2. Theory of Change

The Local Government Code of 1991 (Republic Act No. 7160) provided for local sectoral representation of marginalized sectors in local legislative bodies. However, the implementing rules of the policy on sectoral representation was not drafted by the assigned agency. The selection of the last seat for the sectoral representatives was left to the decision of the local government units (LGUs). Where there is such **representation, civil society organizations (CSOs) and people’s organizations often do not fully understand their role or have the capacity to fulfill their responsibilities.**

The project theorizes that the active involvement of CSOs and POs can be achieved through the organization **and institutionalization of People’s Council (PC) in each of the target municipalities.** This will lead to greater accountability and transparency in local governance.

Four assumptions were considered in this evaluation: (1) CSOs did not fully understand their respective roles; (2) shift from top-down to bottom-up approach will lead to transparency and accountability; (3) POs are representatives of marginalized sectors; and (4) POs and CSOs commitment and dedication.

3. Mapping of Input-Process-Output-Outcome

a. *Inputs*

In achieving NCPC’s objectives, the primary set of activities was focused on capacity building of the established people’s councils. As mentioned, this particular project was proposed to continue the efforts which NCPC had started even before the Phil-Am intervention. Thus, the training guidelines and modules which they have previously produced and utilized were the ones used for this project.

The sub-grant was implemented in June 2014 to September 2016, with an approved budget of PHP5,948,323 from the Phil-Am Fund, constituting 87% of the total.

b. Process

To execute NCPC's project, the following were the activities conducted within the duration of the project (Table 1).

Table 1. Activities Conducted by NCPC within the Duration of the Project

Activity	Particulars	Participants
CSO Profiling and Mapping	Profiles of member-organizations were the basis for consideration of their membership	128 member-organizations of the 7 PCs that have submitted profiles
Project Presentation	Sharing of objectives, importance of people's participation and prospects of people's councils in the current programs of the administration	90 PC core group, LGU officials, other stakeholders, guest speakers
Organization of People's Council	Unite sectors in each municipality such as PWD, Women, Youth, Farmers and Fisherfolk in the formation of the PCs	PC in the 7 target municipalities
Training for Bids and Awards Committee (BAC) Observers	Training on financial and technical monitoring of government budget execution	66 BAC observers
Training for community-based project monitoring		56 participants
Completion of SEC and BIR registrations	Institutional development of the PCs	PC in the 7 target municipalities
Conduct of organizational management training	Training on Organizational Management	98 PC leaders and members
Sectoral Agenda	76 agenda-building activities relevant to the PC agenda, in the local investment plan of their respective LGUs and in the Local Poverty Reduction Action Plan of the LGUs for the BUB Process 2017	PC leaders and members
Formulation and adoption of PCs' Organizational, Operational and Financial Policies and Guidelines Documentation and filing, both hard and soft copies, of generated materials of the project	Assistance in the formulation and finalization of their respective operation policies and guidelines Improvement of knowledge management	PC leaders and members PC leaders and members
Training on government systems and processes	Enhancing capacity of PCs through trainings on Social Accountability and Governance, Local Legislation Process and Local Planning Process	367 PC officers and members
PCs actively engaging their respective LGUs	56 activities on Joint PC-LGU Program/Project Implementation and PC Engagements with Available Local Executive and Legislative Bodies	PCs and LGUs
Collaborative engagement of PCs in the Metro Naga area	Conduct of the Metro Naga People's Council Conference	213 PC leaders and members, local officials, members of the media and representatives from NCPC

c. Output

As stated in the project documents, three main outcomes were identified. First, the establishment and institutionalization of PCs in the target municipalities was achieved. Along with it are capacitation activities to strengthen the organizations. Second was the enhancement of the awareness and capacity of PCs on government systems and processes. Lastly, there was active engagement of PCs and member-organizations in the development projects/ programs and other initiatives of LGUs.

d. Outcome

The seven PCs established are registered with the Securities and Exchange Commission (SEC), wherein three of them have been registered in the Bureau of Internal Revenue (BIR), as of the writing of the final report. The **standardized procedures adopted from NCPC's processes has helped them through this. Adding the technical and management trainings held for PC leaders and members, the PCs and its member-organizations were capacitated and strengthened. They were given opportunities to observe and participate in planning, budgeting and project implementation activities of LGUs. Through these efforts, there is higher potential to improve accountability and transparency in local governance in the Metro Naga area.**

4. Results and Discussion

The sub-grant was implemented in seven municipalities in Metro Naga – Calabanga, Camaligan, Minalabac, Ocampo, Pamplona, Pasacao and San Fernando. With the objective of expanding the engagement of **civic groups in the target areas, the perceived beneficiaries of this project were the People's Council officers and members.**

The survey was conducted in the third week of April 2019, among thirty (30) respondents who were members of **municipal PCs and POs such as Youth Unions, Cooperatives, Women's Unions and other civic groups.**

a. Socio-Economic and Demographic Profile

Questions on the socio-economic and demographic characteristics were administered in the survey to obtain a brief profile of the respondents (Table 2). The average age of the respondents is 54, where 17 (57%) are male and 13 (43%) are female. The number of married respondents is 21 (70%), single 5 (17%) and widowed 4 (13%). Majority of them (70%) have attained college level, while 20%, 7% and 3% reached high school, post graduate studies and elementary levels, respectively. The average household size is six, where most earn from employment under the local government (37%), businesses (23%), professional services (20%) and other sources of income such as remittances and volunteer work (20%). Average monthly household income is PHP 20,837.

Table 2. Socio-demographic Profile of the NCPC Respondents

Socio-Demographic Characteristic	Percent Reporting (n=30)
Average age	54
Sex	
Male	57
Female	43
Civil status	
Single	17
Married	70
Widowed	13
Education	
0 – 6 years	3
7 – 10 years	20
11 – 14 years	70
15 and above	7
Average years of formal schooling	12
Average number of household members	6

Monthly income (PHP)	
0 – 10,000	40
10,001 to 20,000	23
20,001 to 30,000	14
Above 30,000	23
Refused to answer	10
Average monthly income	PHP 20,837
Sources of income	
Government employee	37
Small business	23
Professional fee	20
Others (i.e., remittances, volunteer work)	20

b. Membership in Organizations

The survey included questions regarding their membership in various organizations to somehow determine their eagerness and level of participation in different activities facilitated by the respective groups. All 30 respondents were members of civic groups, where most of them (87%) are directly connected with NCPC and the rest (13%) **are members of POs which are affiliated to NCPC. With multiple response, Table 3 shows the respondents' membership in the different organizations identified.**

Table 3. Membership in Organizations of NCPC Respondents

Membership in Organizations*	Percent
NCPC	87
Religious group	70
Farmer's Union	47
Youth Union	13
Women's Group	30
Senior Citizen	33
Cooperative	7
Others (e.g., action groups, professional organizations, etc.)	20

* multiple response

c. Awareness and Perception of the NCPC Sub-Grant

Among respondents who were aware of NCPC's project "Advancing and Instituting Greater Accountability and Transparency through Expanded Civic Engagement in Metro Naga Area", they were asked about their perceptions of the objectives; and whether they think its activities can effectively lead to greater accountability and transparency in local governance (Table 4). Around 87% are aware of the project and out of those while 37% perceive that implementation can improve the awareness in transparency and accountability and the participation of PCs and POs in local government activities. Moreover, six (20%) of them believe that the project would open opportunities and help smaller organizations in their projects. Some respondents say that NCPC's efforts can unite different PCs, organizations and groups (10%), is effective in solo parents project (10%) and gives opportunity for small groups to voice out their feedback and suggestions in local governance (7%).

Table 4. Perception of Respondents on NCPC's Project Objectives and Activities

Perception	Percent
Awareness of the project and its objectives	
Aware	87
Not aware	13
Perception of the objectives*	
Can improve awareness in transparency and accountability and participation in local government activities	37
Can open opportunities and help smaller organizations in their projects	20
Can unite different PCs, organizations and groups	10
Effective in solo parents project	10
Gives opportunity for small groups to voice out	7
Objectives were good in general	13

Not applicable	13
Activities of NCPC can effectively lead to greater accountability and transparency in local governance in your area	
Yes	0
No	83
No response	3
Not applicable	13
How these activities will lead to greater accountability and transparency in local governance*	
Applying the additional knowledge from trainings and seminars	37
Increasing cooperation and involvement among different PCs/ POs	20
Establishing good relationship between PCs/ POs and the LGUs; and giving opportunities to participate in activities	33
Constant monitoring and ensuring sustainability of the project	17
No response	3
Not applicable	13
Awareness of efforts by the LGU to improve accountability and transparency in local governance and civic involvement	
Yes	67
No	33
Awareness of efforts by other CSOs to improve accountability and transparency in local governance and civic involvement	
Yes	4 (13%)
No	26 (87%)

* multiple response

As for the perceived effectiveness of NCPC's project, 83 percent agree that these efforts can effectively lead to greater accountability and transparency in local governance, mainly through the application of additional knowledge earned from the trainings and seminars (37% of the responses). Others say that the objectives of NCPC can also be achieved through encouraging cooperation and involvement among different PCs/ POs (20%); establishing good relationship between PCs/ POs and the LGU and giving opportunities to participate in activities (33%); and creating a good monitoring system and ensuring sustainability of the project (17%).

The survey also included questions on people's awareness on the efforts to improve accountability and transparency in local governance from the LGU itself and from other civil society organizations (CSOs). Results show that 67 percent recognize the LGU's efforts in terms of sponsoring the activities and events of PCs/ POs'; inviting representatives during meetings of the municipal development council; involving leaders of PCs/ POs in governance-monitoring teams; and the like. As for the awareness of efforts by other CSOs, only 13% agreed to have similar agenda as NCPC, but in terms of close participation and observation during executive and legislative meetings.



(a)



(b)

Figure 1. Field survey among respondents at an LGU station along the highway (a) and at the Municipal Hall of Pamplona (b)

To further determine the success of implementation of NCPC’s project, the respondents were asked to rate its activities using a five-point Likert Scale – 1 being Highly Agree and 5 as Highly Disagree. Eight statements were asked for the rating and the results are classified into Agree, Disagree and Do Not Know (Table 5). Note that the five respondents who were unaware of NCPC’s activities is not shown in this analysis.

Table 5. Respondents’ Rating on the Activities Implemented by NCPC

Statements	Percent		
	Agree	Disagree	Do not know
1. NCPC is implementing very important activities to improve accountability and transparency in local governance.	83	0	17
2. NCPC involves the LGU in its effort to improve accountability and transparency in local governance.	80	3	17
3. NCPC involves the community in its effort to improve accountability and transparency in local governance	83	0	17
4. NCPC has been able to harmonize (meaning able to put together) the efforts of LGUs and the communities so that measures to improve accountability and transparency in local governance.	83	14	3
5. The effort of NCPC is able to improve accountability and transparency in local governance.	83	0	17
6. The effort of NCPC to improve accountability and transparency in local governance enhances the knowledge of People’s Council members in government systems and processes.	80	13	4
7. The effort of NCPC to improve accountability and transparency in local governance increases the engagement of People’s Council members and member-organizations in LGU development process and initiatives.	83	0	17
8. I want NCPC to continue with its effort to improve accountability and transparency in local governance.	83	0	17
Overall Rating	83	2	15

As observed, an average of 83% of the respondents agree that NCPC has successfully implemented its project activities in the target municipalities. Most of them believe that NCPC was able to unite PCs/POs and LGUs, made way for the smaller organizations to be involved in the activities of the local government and that the aim of improving accountability and transparency in local governance was achieved. By contrast, the percentage responses for Disagree and Do Not Know are very low at 2% and 15%, respectively.

d. Participation and Perceived Benefit from the Sub-Grant

Though respondents were identified to be directly and indirectly affiliated with NCPC, they were still asked about their participation in this particular project. Generally, 24 (80%) of them were involved in various activities of their respective PCs/ POs (Table 6). However, for the attendance in trainings and seminars of NCPC in particular, 77% of them have participated, where most (53%) learned about project proposal and business plan writing, budgeting, feasibility study and financial management. Further, 30% and 33% of them gained additional knowledge on empowerment ordinance and good governance and other legislative processes, respectively.

In terms of the effectivity of the trainings and seminars, the survey included questions on whether these have contributed to improving the accountability and transparency in local governance. Shown in the results below that 23 (77%) of the respondents observe that the said activities were effective. Consequently, they were asked to rate the level of accountability and transparency before and with the sub-grant. Note that the seven respondents who disagreed is not shown in this analysis. Before the project, most of the surveyed (60%) rated a Low level, 17% at Moderate and none for High level. With the project, the ranking improved, where only one respondent rated a Low, 20% for Moderate and 54% for High. Two of them perceive that there were no changes in the accountability and transparency in local governance before and with the project.

Table 6. Participation and Perceived Benefit from the NCPC Sub-grant

Participation and Perceived Benefit	Frequency/ Percentage (n=30)
Participation in the project of NCPC in general	
Yes	80
No	20
Attendance in trainings/ seminars conducted by NCPC	
Yes	77
No	23
Agenda of the trainings/seminars*	
Project proposal and business plan writing, Budgeting, Feasibility Study, Financial Management	53
Empowerment ordinance	30
Good governance and other legislative processes	33
Did trainings and seminars help improve accountability and transparency in local governance	
Yes	77
No	23
Rating the accountability and transparency <u>before</u> the sub-grant	
Low	60
Moderate	17
High	0
Rating the accountability and transparency <u>with</u> the sub-grant	
Low	3
Moderate	20
High	54
No change	7
* multiple response	

e. *Issues Encountered and Recommendations from Respondents*

The survey has identified four main areas of issues encountered and their corresponding recommendations to be more effective in project implementation in general and in achieving accountability and transparency in local governance. These are: (1) information dissemination activities; (2) activeness and unity of PCs, POs and LGUs; (3) provision of facilities, budgetary requirements and other needs of the PCs/ POs; and (4) adoption of monitoring and sustainability schemes.

Information Dissemination Activities, Trainings and Seminars. During the survey, a number of respondents expressed that only PC and PO leaders and officers were being invited in local government meetings, trainings and seminars. Worse, for some groups who have less effective leaders, there was no proper sharing of knowledge, issues faced and objectives of current projects. Although NCPC has been effective in building PCs, however, some members felt that they were being limited to speak out and that suggestions from them were not open. Because of this, they recommend that NCPC and PC/ PO officials must give equal opportunities for leaders and members alike to observe and participate in local government gatherings as well.

Aside from mentioned, information dissemination can also be done through public bulletins, transparency board, newspaper features, brochures, quarterly and annual reports and radio programs, so that members and the community may not only depend on the leaders and officials. As for other recommendations, the participation of other sectors and newly founded organizations must be encouraged with the assistance of NCPC. There were also respondents who suggest to consider conducting seminars on farming and alternative livelihood.

Activeness and Unity of PCs, POs and LGUs. Effectiveness of **NCPC's project is dependent on the participation** of the PCs, POs, LGUs and its members. Since it was observed in the survey results that some PCs are becoming inactive, respondents recommend that there should be constant communication between NCPC and the PCs. Consequently, PC leaders must keep their connections with member-organizations. Team building activities, more trainings and seminars may be necessary to promote sharing of knowledge and consultation among various groups. Monthly meetings led by NCPC must also be imposed and attendance of its members

should be required. Creating harmonious relationship with the LGU and creating partnerships with other organizations are also helpful.

Provision of Facilities, Budgetary Requirements and Other Needs of the PCs/ POs. In order to do their functions properly, PCs must have the necessary facilities and equipment. There were responses that some PCs lack an office space, including office supplies and equipment needed for meetings and group activities. With this, **respondents recommend that there should be provisions as mentioned, including financial assistance for officers' honoraria and budget for activities.**

Adoption of Monitoring and Sustainability Schemes. Another issue is the lack of sustainability initiatives from **NCPC. Monitoring of the PCs is one of the initial steps in sustaining the NCPC's project. A number of** respondents suggested that, along with the constant communication between NCPC and PCs/ POs, there should be regular monthly meetings and required submission of reports by each of the PCs. Also, as the lead and model unit of this project, NCPC must provide continuous guidance and open PC gatherings to the LGUs in order to gain understanding and possibilities for partnership and budget assistance.

B. ANTIQUE FEDERATION OF NON-GOVERNMENT ORGANIZATION (AFON)

Title: People-Led Monitoring and Evaluation System (PLMES)

1. Overview of the Project

Corruption in local and national government agencies is a problem that is yet to have a solution. The Antique Federation of Non-Government Organization (AFON) has implemented a Social Accountability Project that **utilizes participatory monitoring and evaluation tools. For the project titled "People-Led Monitoring and Evaluation System (PLMES)", the organization planned on replicating its Social Accountability Project with the aim of improving government transparency and accountability through active engagement of the community with regards to monitoring projects and activities of the LGU. Community members were trained by the project to observe in the Bids and Award Committee Meetings as well as in post-bidding activities for proper monitoring of the procurement activities of the LGU partners. The output from observation activities was a procurement monitoring report presented to the procurement agency and the Municipal Monitoring and Evaluation Committee.**

Extent of community engagement, transparency and accountability of the projects of the LGU were determined **through a people's score card and a partner's evaluation scorecard prepared by the project monitors and partner LGU's, respectively.**

The intended results of the project were (a) better delivery of public services and program implementation by adopting a participatory monitoring and evaluation scheme, (b) Mobilization of capable and proactive community monitors in the implementation of government programs, projects and services and (c) LGU project implementation monitored by the community.

2. Theory of Change

Corruption in public-funded projects can be minimized if not completely eliminated through effective monitoring system such as the Social Accountability Project Model.

The project had the following assumptions: (a.) SAPM is a tested model, (b.) monitoring is a primary measure to address corruption, (c.) process allows transparency by involving the CSOs in government budget processes, (d.) adverse implications of CSO involvement (e.g. delay of procurement process) and (e.) avoidance of institutional conflicts between CSO and public organizations.

3. Mapping of Input-Process-Output-Outcome

a. *Input*

The project was implemented by the Antique Federation of Non-Government Organization (AFON) for three years from June 9, 2014 up to June 9, 2017. The project however, ended on August 30, 2017 with a total budget of PHP 15,813,584.20. It was implemented in nine selected municipalities of Antique.

b. *Process*

After the project launch, AFON conducted a municipal assembly to identify potential CSO partners. Nine LGU's were chosen and the AFON project monitors were trained regarding the Local Government code and avenues for civil society participation. AFON also conducted trainings in Citizen Led Monitoring, Participatory Planning and Budgeting and Project Development and Management after receiving accreditation from the Department of Interior and Local Government - Local Government Academy (LGA). Moreover, a unified tool of the PLMES scorecard for LGU project monitoring and DILG's Ugnayan ng Barangay at Simbahan (UBAS) monitoring tool was devised to aid in the assessment of Bottom-Up Budgeting (BUB) of LGU's in the country.

To garner involvement of the community leaders and members, community meetings and workshops were conducted in the target municipalities. The purpose of the workshops was to orient the project monitors in tracking inputs and assessing the project status by comparing plans and budget stipulations to the actual **implementations. To validate project implementations, Focus Group Discussions (FGD's) were conducted that included on-site inspections.**

Community feedback used for improving the projects were determined through the People Score Card. People Monitoring Boards were also installed in barangays indicating current projects of the chosen municipalities. Aside from the community, the LGU and National Government Assistance (NGA) also gave feedbacks, ratings and recommendations which were discussed to the participants during interface meetings along with the corresponding improvement plans.

c. *Output*

PLMES reached its aim of engaging nine LGU's to practice participatory planning and budgeting, namely; Aniniy, Tobias Fornier, San Jose de Buenavista, Sibalom, Belison, Sebaste, Pandan, Libertad and Caluya. To formalize the partnership, a Memorandum of Agreement was signed between AFON and the LGUs.

AFON was accredited by DILG-LGA, so the CSO was constantly invited to be the resource speakers for the **topics shown in Table 7. This is due to the Capability Program for Civil Society Organizations (CSO's) involved in the Bottom-Up Budgeting (BUB)**

Table 7. Topics Handled by AFON and the Corresponding Location and Dates of the Trainings

Topics	City/ Municipality/ Province	Date
Participatory Governance, Values Formation, Procurement Monitoring and Gender & Development	Sebaste and Pandan, Antique	Apr. 5-8, 2016
Participatory Governance, Values Formation, Procurement Monitoring and Gender & Development	Binalbagan and Hinigaran, Negros Occidental	Apr. 12-15, 2016
Project Development & Management and Simple Bookkeeping	Silay City, Negros Occidental	Apr. 12-15, 2016
Participatory Governance, Values Formation, Procurement Monitoring and Gender & Development	Hamtic and Laua-an, Antique	Apr. 19-22, 2016
Financial Management	Mambusao, Capiz	Apr. 26-29, 2016
Project Proposal Preparation, Simple Bookkeeping and Business Planning	Libertad, Antique	Jun. 15-17, 2016

Two hundred seventy People Monitoring Boards (PMBs) were installed in 270 barangays in the project areas. For capacitating the monitoring teams, 502 individuals were trained. However, only 30 individuals were chosen per municipality to **comprise the People’s Monitoring Team (PMT)**.

A total of 225 projects were monitored by PLMES. Table 8 shows the summary of the number of monitored projects and their corresponding funding agencies.

Table 8. Number of Projects Monitored by PLMES and their Corresponding Fund Source

Fund Source	Total Number of Projects Monitored
Bottom-Up Budgeting	125
KALAHI-CIDSS	76
LGU Development Fund	22
DOLE-DILEEP	4
DOH	3
Others	4

Source: Project Documents

d. Outcome

The project was able to enhance capacities of community members as local monitors of government-implemented programs. PLMES mobilized local community members for project monitoring, evaluation and procurement monitoring. Strong linkages between the CSO monitors and local and national government agencies were established, resulting to a greater obligation of the said agencies to provide data needed for monitoring and evaluation. The CSO monitors and volunteers observed self-improvement and growth through the project. The monitors, along with community members who were able to participate in the project had a better understanding of their roles in project implementation. Beneficiaries realized a sense of ownership of the projects since they acted as partners, not just recipients.

This led to a demand for greater transparency of the projects. Consequently, pace and quality of project implementation improved in the project areas. Some Punong Barangays now require community meetings to be held before certain projects are implemented.

To assess AFON’s implementation of the project, key informant interviews, focus group discussions and a survey were conducted a year and three months after the project. LGU partners and CSO monitors from various municipalities were interviewed as key informants. Two separate focus group discussions was done in the **municipality of Belison; one with LGU partners and one with officers from people’s organizations in the area.**

Thirty (30) randomly selected community members from Barangay Cansadan Tubugan in San Jose de Buenavista, Antique **were interviewed last April 5 to 7. The respondents were 4P’s beneficiaries who had been** able to attend interface meetings for monitoring the construction of a day care center in their area. Logistics, time and the difficulty of contacting CSO monitors as well as beneficiaries of monitored projects by PLMES served as limitations in choosing respondents for the survey.

4. Results and Discussion

The youngest respondent was 29 years old while the oldest was 64 years old. The average age of a resident in Barangay Cansadan Tubugan is 46 (Table 9). Majority (70%) of the respondents are married with approximately five family members. Sixty percent were able to reach secondary level of schooling, followed by those who were able to go to college with 36.67%. All of the respondents are members of religious groups while 16.67% indicated **that they were part of an organization for senior citizens. The number of respondents belonging to a farmer’s union and women’s group were the same with 43.33%.**

Table 9. Socio-economic and Demographic Profile of AFON Respondents

Socio-Demographic Characteristic	Percent Reporting (n=30)
Average Age	46
Civil Status	
Single	17
Married	83
Widow	3
Average number of Household members	5
Sex	
Male	10
Female	90
Education	
Elementary	3
High school	60
College	37
Membership in organizations	
Religious group	30
Farmer's Group	43
Women's Group	43
Senior Citizen	17

Twenty-three percent indicated farming (Table 10) as their source of income while only 3 percent indicated fishing. The respondents who indicated non-farm related sources of income were comprised of barangay health workers, construction workers/laborers, dress makers, drivers, housekeeper, technician, vendors and one radio announcer. One respondent stated that she has no job but receives monthly remittances from her sibling in Manila.

For the average monthly household income, majority (70%) were earning amounts ranging from PHP0 to PHP5,000. The minimum average monthly household income was PHP 600 while the maximum amount was PHP20,000.

Table 10. Income Profile of the AFON Respondents

Item	Percent
Source of Income	
Farming	23
Fishing	3
Non-Farm	71
Others	3
Monthly Income (PHP)	
0 – 5, 000	70
5,001 – 10,000	27
10, 001 - 20, 000	3

*multiple response

When asked about their perception of the government's transparency in implementing projects, 56.67% answered that they see all project information are transparent to the community (Table 11).

The main possible reason that the respondents identified for ambiguity of project information was the lack of communication between the LGU, the barangay and the community. This was followed by the difficulty of relaying information to residents in far flung areas. Approximately 11% of the respondents thought that the lack of active participation of the community members in barangay meetings affected the information they received. Three respondents speculated that the LGU may have hidden agendas so they select contractors based on personal preferences. They also added that billboards might be posted containing project information but the community members have no way of checking if the proposed project matches the actual implemented output. Another respondent said that the project may not be actually relevant to the beneficiaries and was just

implemented so that corrupt officials could have a means of obtaining public funds. Other reasons cited were conflict between politicians and delayed information dissemination of the LGU and the barangay.

Table 11. Awareness on Governance Transparency by AFON Respondents

Actions	Percent Reporting
View of the current state of project implementation of the government	
All project information is transparent and accounted for	57
All project information is somewhat transparent and accounted for	30
All project information is not transparent and accounted for	13
Possible Factors Affecting Ambiguity of Information*	
Community members are invited to barangay meetings but they do not attend	11
Conflict between politicians	3
Delayed information dissemination of the LGU and barangay	6
LGU did not inform community	6
Project may not be relevant to beneficiaries	3
Far flung areas	14
Hidden agenda of LGU	9
Lack of communication between LGU, barangay and the community	49
LGU efforts to relay transparent information regarding government projects*	
Informs people through radio broadcasts	2
Informs people through barangay meetings	54
Putting up billboards	24
LGU staff and officials visit the community	9
Texted by the barangay officials	6
Invitation letters to associations	4

*multiple response

Around 67% of the respondents knew AFON (Table 12). Ten respondents answered that they did not know **AFON. However, based on their answers regarding their familiarity of AFON's PLMES, they were aware of the project activities. They just didn't know that AFON implemented it. This is because PLMES activities at the barangay level (such as interface meetings and field visits) were mostly conducted and coordinated by CSO monitors and the municipal coordinator.**

The respondents came to know about AFON because they either knew a CSO officer or someone who worked for AFON, attended trainings and seminars hosted by AFON, or heard about it from the barangay meetings and on radio announcements. Some respondents (18.75%) also stated that they have heard about AFON but it was **unclear to them what AFON's goals were. Majority of them (52.38%) understood that AFON's project was to evaluate government implemented projects. Forty percent indicated that they participated in AFON's activities and 26.47% specified that they attended interface meetings pertaining to PLMES.**

Table 12. Respondent Awareness of AFON and Involvements of its Activities

Awareness and Involvement	Percent Reporting
Awareness of AFON	
Aware of AFON	67
Not aware of AFON's name, but is aware of its activities.	33
How the respondents knew about AFON*	
AFON assisted her organization	3
From trainings and seminars	19
From a CSO monitor	16
From a barangay meeting	3
From the radio	3
Knows someone from AFON	6
Has heard about AFON but is not aware of its goals	19
No answer	31

Understanding of AFON's activities*	
Aware of project monitoring but is not aware of the scorecard	2
Aware that AFON is an NGO but is not aware that they were monitoring government projects	2
Called for barangay meetings	12
Evaluated government projects	52
House to house visitation	2
Conducted interviews	12
Went with LGU to monitor projects	2
Helped in the proposal of projects	5
No answer	10
Involvement in AFON's Activities*	
Involved	40
Non Involved	60
Type of involvement in AFON's Activities	
Attended meetings	26
Helped with AFON's projects in the barangay	3
Relayed information to community members	6
Resource person	6
CSO monitor	3
No participation	53
Interviewee	3

* multiple response

The respondents' perceived benefits of PLMES is that information regarding government projects are relayed to the community. Prior to PLMES, there were projects launched by the LGU that were not implemented in all barangays. A respondent cited that they were not aware that the municipality conducted job fairs. When they learned about this, they expressed their concern on including their barangay in the activity. Now, the LGU holds **job fairs on site or in the different barangays. Through PLMES' project monitoring**, the community members have gained better understanding of project information and have become vigilant in observing projects implemented by the government. It is also worth noting that the LGU now goes to the barangay level, assesses the local situation and asks the community members what projects they need.

A five-point Likert Scale was included in the questionnaire, asking the respondents to rate statements pertaining to AFON (Table 13). For all of the statements, majority of the respondents answered "don't know" because despite being aware of the activities of AFON and PLMES, they were not directly involved/ had no direct participation in the project. For those who were able to participate, 30 to 33% answered that they believe AFON is implementing important activities to involve the community in project monitoring and evaluation and that it was able to harmonize the efforts of the LGU and the community members to achieve the goals of the project. Approximately 36% out of the 40% respondents with direct participation in PLMES said that they want AFON to continue with its project to engage the community in the M&E of government projects.

Table 13. Respondent's Rating on AFON and its Activities

Items	Agree	Slightly Agree	Don't Know	Slightly Disagree	Disagree
AFON is implementing very important activities to engage community members in monitoring and evaluating government projects and activities	30	6.67	60	3.33	0
AFON involves the LGU in its effort to engage community members in monitoring and evaluating government projects and activities	33.33	6.67	60	0	0
AFON involves the community in its effort to monitor and evaluate government projects and activities	33.33	3.33	63.33	0	0

AFON has been able to harmonize (meaning able to put together) the efforts of LGUs and the communities so that measures to engage community members in monitoring and evaluating government projects and activities can be made effective	30	10	60	0	0
I want AFON to continue with its effort to engage the community in monitoring and evaluating government projects and activities	36.67	3.33	60	0	0

5. Conclusion and Recommendation

More than half of the respondents view information of government project as transparent and accounted for, however, they do recognize that this may not be the same situation for all and cited possible factors affecting ambiguity of information. The main reason identified was the lack of communication between the LGU, the barangay and the community. Respondents who were directly involved in the implementation of PLMES gave positive ratings to the project.

When asked what recommendations they could give to improve future projects of AFON, the respondents stated that they wanted AFON to continue implementing PLMES so that the people know if the money allotted for the project is being used for its intended purpose. They also asked for more meetings and seminars, for project information to be relayed on a house-to-house basis and to release results of the M&E process via radio, television and other media outlets. There were some respondents who asked that the community members too, should be trained in monitoring and evaluating government projects. There were also comments that AFON should introduce themselves properly in the barangay (and with the community members) so that the people are aware of its projects and goals.

ANNEX 7c. SURVEY RESULTS FOR ECONOMIC-GROWTH-THEMED PROJECTS

A. TAMACO

Title: Poverty Alleviation through Intensification of Salt Farms Productivity and Capacity Building

1. Overview of the Project

Along with **the motivation of founding TAMACO, this project emanated from the founders' observation of the dying salt industry in Occidental Mindoro. Thus, the aim of the project was "to improve the salt farm industry of Mindoro by elevating the quality and increasing the quantity of their salt". It was expected that the project results in greater local market share and incomes for salt farm workers, producers, allied service providers, including the families.**

The project was implemented from June 2014 to March 2018, working on a total approved budget of PHP28,060,072, where 77% of which is the grant fund.

2. Theory of Change

TAMACO sub-grant's theory of change is that poverty among salt farmers and producers can be alleviated by improving productivity, farmers' capacity and increased market share.

There were three assumptions formulated for this evaluation: (1) income from salt is large enough such that when improved it can lead to significant poverty alleviation; (2) poverty alleviation will be achieved if the salt producers have direct link to the market; and (3) there is a significant gap between the actual and maximum productivity.

3. Mapping of Input-Process-Output-Outcome

a. *Input*

TAMACO provided capacity building through trainings and provision of machinery to improve salt quality. The trainings included technical knowledge on farm design and brine management, good manufacturing practices (GMP) and iodine testing. The skills training also included benchmarking activities in other major salt-producing countries such as India, Sri Lanka and Indonesia to observe practices in model salt farms. Appropriate farm design and brine management were observed during the benchmarking. A seminar on New Saltern Technology was provided covering the practices on brine management and basics of salt production.

The GMP was provided by DTI while the iodine testing was given by DOST. Further, through the project, **Technical Education and Skills Development Authority (TESDA) provided the farm workers and their families' trainings on enterprise development, financial management and accounting and record and bookkeeping.** At the end of the training, participants developed business plans on alternative sources of income such as sari-sari store and livestock raising (e.g. goat and swine). Each qualified beneficiary/trainee was given PHP 3,000 – PHP 5,000 as start-up capital for the identified enterprise with business plan.

The salt washer-dryer and iodizing machine that was fabricated by Shriram Engineering from India, is also an intervention targeted to improve the quality of the salt. The machine would ensure that salt produce has consistent moisture content. It should be noted that one of the major issue on the iodization of salt is the inconsistent moisture content of salt which makes iodine unstable. The machine would also increase the production of food grade or green grade salt, hence, increase in the potential profitability of salt production.

Through the project, TAMACO was able to link with DOST and OMSC to conduct study on effects of climate on salt production. The provincial DOST provided a weather monitoring system in selected salt farms to monitor temperature and wind. The objective of the study is to establish the optimum temperature level, evaporation rate and wind that would optimize the salt produced in farms.

The project also provided funds to initiate the project Warehousing of Salt Program to increase the inventory of salt at TAMACO and support the production of salt. Under the Warehousing of Salt Program, TAMACO provided loan to salt producers to advance the schedule of salt production and to cover for other related cost in harvesting and trucking the salt. Upon salt delivery, the producers received prices using the prevailing price of salt at the time of delivery. TAMACO did not dictate the price of salt nor the producers became price takers.

TAMACO also served as the source of information of salt prices in the province. It provided price monitoring services and disseminated the information to salt producers through SMS.

b. Process

To execute TAMACO's objectives, the following activities were performed in correspondence to their target outcomes (Table 14).

Table 14. Activities Conducted by TAMACO within the Duration of the Project

Target Outcome	Activity
Enhanced technology capability and management through improved salt production	Acquisition of mobile washery, weighing scales and drying machine Technology transfer training on machine operation Development of standards for salt manufacturing Conduct of water or brine management training seminar, farm design and good manufacturing practices
Strengthened capacities of cooperative members in business planning and financial management	Constant updating of knowledge and skills Establish revolving fund for procurement of salt Procurement of salt Provision of freight and trucking services for salt produced
Enhanced well-being of salt farmers	Conduct of Business Planning and Financial Management Training (Financial Management, Records Management, Marketing and Sales, Value Chain Analysis and Values Formation) Identify potential individuals to engage in ancillary enterprises Identify potential market Selection and funding assistance Attendance to seminars and training (Good manufacturing practices specifically on Quality Assurance in repacking iodized salt) Identify potential individuals to engage in alternative livelihood

c. Output

As reviewed from the project documents, seven outputs were identified according to the expected outcomes. In achieving enhanced technology capability and management through improved salt production, they found ways to improve salt quality in both farm and plant levels. Farm-level salt improvement was done through new practices learned from trainings abroad. Currently, two of the BoDs have been applying the practice in their respective salt farms. Plant-level salt improvement, however, was done through lowering the moisture content of salt using the salt washery equipment. Unfortunately, only test runs were done as of the date of visit and has not been operating in full capacity.

In strengthening the capacities of cooperative members in business planning and financial management, trainings were conducted among the project team and cooperative members. They were able to supply new markets and secure a regular supply of salt through their buffer stock.

As for enhancing the well-being of salt farmers, TAMACO had assisted five salt farm workers in establishing alternative livelihood. Five were given financial assistance, where they ventured into sari-sari store and hog fattening.

d. Outcome

At the end of TAMACO's project, enhanced technology capability and management through innovative practice in salt production has been achieved by some of the members. Capacities of the members, including the BoD, in business planning and financial management has also been improved through the trainings conducted. Lastly, since TAMACO's capacity to procure salt has given the opportunity to compete prices against the Chinese enterprises, buying prices have relatively increased. Thus, there is an improvement in the well-being of salt producers and workers alike.

4. Results and Discussion

The sub-grant of Tamaraw Salt Producers Cooperative (TAMACO) aimed at improving Mindoro's salt industry through improving the quality and increasing the volume of salt production. Their perceived beneficiaries were producers, salt farm workers and allied service providers, including the families. This project was implemented in three municipalities in Occidental Mindoro—Sablayan, Magsaysay and San Jose. The survey was conducted in the third week of March 2019, among thirty two (32) respondents who were salt producers (farm owners) and salt farm workers. The results are as follows.

a. Socio-Economic and Demographic Profile

Table 15 presents a brief profile of the respondents, wherein questions on the socio-economic and demographic characteristics were administered. The average age of the respondents is 41, where 20 (63%) are female and 12 (38%) are male. The average household size is five, with the number of married respondents 24 (75%), single 7 (22%) and widowed 1 (3%). Majority of them (34%) have attained college level, while both elementary and high school were attained by 31% of them. One respondent had a Masters degree. All surveyed earns from salt farming, but only 5 (16%) are producer-owners and the rest are salt farm workers. Others earn from palay and onion farming (22%), aquaculture (22%), employment (13%) and small business and services (13%). Average monthly household income is PHP 35,507, where an average of 86% consider salt farming as their main source of livelihood and 8% indirectly, from aquaculture, since salt farms are converted into fish ponds during the rainy season.

Table 15. Socio-demographic Profile of the TAMACO Respondents

Socio-Demographic Characteristic	Percent Reporting (n=32)
Average age	41
Sex	
Male	62
Female	38
Civil status	
Single	22
Married	75
Widowed	3
Education	
0 – 6 years	31
7 – 10 years	31
11 – 14 years	34
15 and above	4
Average years of formal schooling	10
Average number of household members	5
Monthly income (PHP)	
0 – 10,000	44
10,001 to 20,000	31
20,001 to 30,000	6
Above 30,000	6
No comment	13
Average monthly income	PHP35,507

Sources of income*	
Salt farming (Producer-owner)	16
Salt farming (Farm worker)	84
Crops farming (i.e., palay and onion)	22
Aquaculture	22
Employment	13
Others (i.e., small business and services)	13
Percent of income directly from salt farming	
0 – 30%	3
31 – 70%	22
71 – 100%	69
No comment	6
Average percentage of income directly from salt farming	86%
Percent of income directly coming from salt farming	88
0 – 30%	6
31 – 70%	0
71 – 100%	6
No comment	8%
Average percentage of income indirectly from salt farming	

* multiple response

b. Membership in Organization

The survey included questions regarding their membership in various organizations to somehow determine their eagerness and level of participation in different activities facilitated by the respective groups. Of the respondents, only four are members of TAMACO, where three are the chairman and the members of board of directors. It was observed that members of TAMACO are salt producers, while non-members are salt farmers or workers. Table 16 shows the respondents' membership in other groups.

Table 16. Membership in Organizations

Membership in Organizations*	Percent
TAMACO	13
Religious group	44
Farmer's union	9
Senior Citizen	6
Others	3
No membership in any group	34

* multiple response

c. Awareness and Perception of the TAMACO Sub-Grant

TAMACO was introduced to the participants through the USAID project. Its ultimate objective is to stabilize the price of salt thereby improving the income and well-being of all stakeholders in the salt industry. The partner-institutions, especially the resource persons from the OMSC, became knowledgeable of TAMACO through the project; while other government institutions have known TAMACO through monitoring activities. Also as part of the mandated function of the Department of Trade and Industry (DTI), it has been monitoring prices of major regional commodities. Salt is one of the major commodities in Occidental Mindoro. TAMACO is also known as one of the major buyers of salt in the province. Initial members are composed of the medium-scale to large-scale salt producers.

The USAID project is perceived to be a source of financial and technical support to expand the salt market, increase efficiency of salt farms and improve quality and production of salt. The project is also considered as driver for the advocacy to stabilize price of salt.

Among the **survey respondents who were aware of TAMACO's project, they were asked about their perceptions** of the objectives; and whether they think its activities can effectively lead to an increase in the productivity of salt farmers in Occidental Mindoro (Table 17). Unfortunately, only nine were aware of the project and out of those, five of them perceive that its implementation is helpful in terms of knowledge gained and has united salt farmers. Moreover, four of them believe that the project is helpful in controlling the price of salt, while two said that it is attainable and efforts will go far.

Table 17. Perception of TAMACO's Project Objectives and Activities

Perception	Percent
Awareness of the project and its objectives	
Aware	28
Not aware	72
Perception of the objectives*	
Helpful in terms of knowledge gained and has united salt farmers	16
Helpful in controlling the price of salt	13
Project is attainable and will go far	6
Activities of TAMACO can effectively increase the productivity of salt farmers in Occidental Mindoro	
Yes	28
No	0
Not Applicable	72
How these activities will increase the productivity of salt farmers in Occidental Mindoro*	
Uniting salt farmers and TAMACO	9
Keeping high buying price	9
Improving the procedures/ management and quality of produce	1
No response	3
Not applicable	72
Awareness of efforts by the LGU to increase the productivity of salt farmers in Occidental Mindoro	
Yes	9
No	84
No response	6
Awareness of efforts by other CSOs to increase the productivity of salt farmers in Occidental Mindoro	
Yes	0
No	94
No response	6

* multiple response

As for the perceived effectiveness of TAMACO's project, all agree that the efforts can effectively lead to increased productivity of salt farmers through the cooperation of salt producers, farmers and TAMACO and maintaining a premium buying price for salt. Others say that the objectives of TAMACO can also be achieved through adapting improved practices in production and the quality of the produce itself.

The survey also included questions on **people's awareness on the efforts to increase the productivity of salt farmers from the LGU and from other civil society organizations (CSOs).** Results show that only 9% recognize **the LGU's efforts in terms of lending TAMACO the capital to buy salt during** their starting period. DTI and the Department of Science and Technology (DOST) has also supported in formulating the roadmap for the salt industry in Occidental Mindoro and in developing a weather monitoring system. As for the awareness of efforts by other CSOs, none were found to have similar agenda as TAMACO.



Figure 1. (a) Salt farm in Magsaysay; (b) survey with one of the salt farm workers and (c) the salt washery equipment of TAMACO

To further determine the success of implementation of TAMACO's project, the respondents were asked to rate its activities using a five-point Likert Scale – 1 being Highly Agree and 5 as Highly Disagree. Seven statements were asked for the rating and the results were classified into Agree, Disagree and Do Not Know. Out of the 32, nine were aware of the project while two are familiar of TAMACO's objectives. The 21 respondents who were not aware of TAMACO's activities is not shown in the Table 18.

Table 18. Respondents' Rating on the Activities Implemented by TAMACO

Statements	Frequency/Percentage (n=32)		
	Agree	Disagree	Do not know
1. TAMACO is implementing very important activities to increase the productivity of salt farmers in Occidental Mindoro.	34	0	0
2. TAMACO involves the LGU in its effort to increase the productivity of salt farmers in Occidental Mindoro. *	31	0	0
3. TAMACO involves the community in its effort to increase the productivity of salt farmers in Occidental Mindoro.	31	0	1
4. TAMACO has been able to harmonize (meaning able to put together) the efforts of LGUs and the communities so that measures to increase the productivity of salt farmers in Occidental Mindoro can be made effective. *	25	0	6
5. The effort of TAMACO is able to increase the productivity of salt farmers in Occidental Mindoro	34	0	0
6. The effort of TAMACO to increase the productivity of salt farmers	31	0	3

in Occidental Mindoro is impacting positively on their income.			
7. I want TAMACO to continue with its effort to increase the productivity of salt farmers in Occidental Mindoro	34	0	0
Average Rating	31	0	2

As observed, an average of 31.43% of the respondents agree that TAMACO has successfully implemented its project activities. Of those surveyed who were aware of these efforts, most believe that TAMACO was able to increase the productivity of the salt industry in Occidental Mindoro, as well as the income of both salt producers and workers. By contrast, percentage responses for Disagree and Do Not Know are zero and 1.71%, respectively.

d. Participation and Perceived Benefits from the Sub-Grant

It was identified earlier that there were four salt producers among the respondents who are members of TAMACO. Since salt producers have the most capacity to execute the project objectives as opposed to farm workers; and that TAMACO members are the most knowledgeable of ways to implement this project, these four were some of the main participants of the sub-grant. They were familiarized of this project as most are the proponents and that they have seen the need to support the dying salt industry in Occidental Mindoro. There were two, however, who did not participate but are aware of the activities being implemented by the cooperative (Table 19).

As for the salt washery equipment, none has utilized it yet since TAMACO is still experimenting on how to optimize its use. As of the date of visit, they had only performed test runs. Furthermore, they wish to expand their market first before going into full-scale operations using the equipment.

Table 19. Participation of Respondents in the TAMACO Sub-Grant

Participation	Frequency/ Percentage (n=32)
Participation in the project of TAMACO in general	
Yes	13
No	81
No, but familiar with the activities	6
How the project was known	
One of the proponents of the project	3
No response	1
Motivation in joining the project	
To help the dying salt industry	9
To help maintain high buying price of salt	3
Was able to use the salt washery equipment	
Yes	0
No	13

In terms of the effectivity of the trainings and seminars, the survey included questions on whether these have contributed to improving capacity in salt farming. In this activity, salt producers and the more experienced farm workers were invited to join. However, only seven were able to participate in the trainings/ seminars which included topics on business planning, financial management, salt farming practices, etc. It was observed during the survey that information had not been properly disseminated to smaller farm workers.

Consequently, respondents were asked to rate the level of capacity in salt farming and knowledge in business/ financial management before and with the sub-grant. Note that the 25 respondents who did not participate is not shown in the table. Before the project, most of those participated rated themselves a Low level, zero at Moderate and one for High level. With the project, the ranking improved, where none rated a Low, one for Moderate and four for High. One of them perceive that there is no change in his capability in salt farming.

As for loan grants, the average amount of loan awarded was PHP277,167 payable at an average of 7.5 months. Two loan grantees, who were salt farm workers, used the money as capital for new small business ventures. The

amount of their loans, including other salt farm workers who were granted loans as well, range only from PHP3,000-PHP20,000. It is notable that these two have fully paid their loans within a year as they have generated good income from it. By comparison, the five borrowers who were salt producers, used the loan as additional capital in their existing salt farms. **The loan was apparently known as “advance payment”, a scheme of TAMACO wherein the salt produce will be given as payment to the loan.** This is also a way to ensure the **cooperative’s supply of salt. As the loan amounts were larger, ranging from PHP180,000-600,000,** these were not yet fully paid at the time of interview. Also, as salt producers say, TAMACO is the one who decides the schedule of salt procurement.

Table 20. Perceived Benefit from the TAMACO Sub-Grant

Perceived Benefit	Frequency/ Percentage (n=32)
Agenda of trainings/seminars attended	
Business Planning, Technical (salt farming), Financial/Accounting, Budgeting	22
Did not attend	78
Rating of personal capacity <u>before</u> the sub-grant	
Low	13
Moderate	0
High	3
Cannot determine	6
Rating of personal capacity <u>with</u> the sub-grant	
Low	0
Moderate	3
High	13
Cannot determine	6
No change	3
Applied for loan	
For business start up	6
For expansion of existing business	16
Loan details	
Average amount of loan	PHP 277,167
Average no. of months terms of payment	7.5 months
Interest rate	0
Repayment status	
Fully paid	6
Not yet fully paid	16
Reasonableness of loan amount	
Enough	9
Not enough	13

5. Conclusions and Lessons Learned

Based on the FGDs among implementers and beneficiaries, more producers and farm workers were capacitated. The producers were given technical know-how to improve salt quality and quantity. The learnings from the benchmarking and seminars on farm design and brine management improved salt production.

Early production period was also observed given the technical trainings with financial support. Salt producers were able to apply the technologies provided and with the loan from TAMACO, they have financial support to pay for labor and other production expenses.

The technologies and machine were able to improve the quality of the salt. Salt is cleaner and was classified with higher grade (green grade), hence, commanding higher price. Because of the early production and the new saltern technologies, salt production increased. The improvement in salt quality and quantity translated into increased farm income of salt producers and farm workers. The income sharing scheme practice in Occidental

Mindoro is 70:30. Seventy percent of the profit goes to the producer while 30% is given to the farm workers. Hence, any increase in quantity and quality would be translated to greater income for farm workers.

The project supported TAMACO's goal of increasing market share of salt. Through the USAID funding, TAMACO was able to increase its Net Financial Contracting Capacity (NFCC). The increase in NFCC allowed TAMACO to participate in government bidding to supply the necessary salt for the Philippine Coconut Authority's Salt Fertilization Program. The expansion of TAMACO's market included areas in Regions 1,2,3,4 and 13.

The project heightened the support to the salt industry through the drafting of the Occidental Mindoro Salt Industry Roadmap 2018-2022. The initiative is a multi-agency collaboration of TAMACO, OMSC, government agencies such as DOST, DTI, DENR, TESDA, BFAR, DA, DOLE, DOH and the local government units both at the municipal level (municipalities of Magsaysay and San Jose City) and the provincial level through the Office of the Provincial Agriculturist. TAMACO representative seats as the co-chairperson of the Technical Working Group to craft the roadmap.

B. PARFUND

Title: Duck Enterprise for Employment Generation and Growth (DUCK EGG) in Mindanao

1. Overview of the Project

This project was designed to transform farmers and other agricultural workers in rural communities of Mindanao into entrepreneurs by enhancing their capacities in business development, management and marketing. It aimed to develop various enterprises along the duck industry value-chain where entrepreneurs could apply learnings gained from capacity building activities. It is expected that the business startups will be able to provide families and communities with the incentives, opportunities and attractive environment to live and work in.

The project was implemented by the Philippine Agrarian Reform Foundation for National Development or PARFUND, one of the leading experts and practitioners of duck raising technology in the Philippines. The project runs for three years from June 10, 2014 up to June 9, 2017 with a total budget of PHP19,754,832. It was implemented in selected municipalities of Agusan del Sur and Bukidnon.

PARFUND assisted on the establishments of various duck enterprises in the implementation sites. Mentoring and coaching activities through trainings were done. Other than these, loans in forms of ducklings and duck feeds were also provided. From the total of 505 farmers trained, a total of 317 farmer-entrepreneurs were assisted with their business start-ups.

2. Theory of Change

Farmers and agricultural workers need to learn about agri-based opportunities and gain market-ready skills to participate and benefit more from the growth of the Philippine agricultural sector. One such opportunity is in duck raising. Increased employment can be generated through the development of the duck industry in the area.

3. Mapping of Input-Process-Output-Outcome

a. *Input*

In general, PARFUND envisioned to transform farmers and other agricultural workers into entrepreneurs through practical and hands-on experience in duck industry-related businesses through:

- Generate employment, if duck raising is labor intensive
- Duck raising is a profitable enterprise
- Duck raising is suitable to the agro-climatic condition of the area

b. Process

The following activities were done during the implementation of the project: (1) identified interested agri-entrepreneurs; (2) conducted initial coordination meetings with partner LGUs; and (3) conducted orientations to farmers and entrepreneurs on the duck industry value chain-ups.

c. Output

Below are the outputs as a result of the sub-grant:

- Enhanced capacities of entrepreneurs in the duck industry value chain
- Enhanced performance of the duck industry
- Improved access to financing for business start-ups

d. Outcome

The project assisted on the establishments of various duck enterprises in the implementation sites. Mentoring and coaching activities through trainings were done. Other than these, loans in forms of ducklings and duck feeds were also provided. From the total of 505 farmers trained, a total of 317 farmer-entrepreneurs were assisted with their business start-ups (Table 21).

Table 21. Number of Enterprises and Loan Amount by Type of Enterprise, Duck Egg Project

Type of Enterprise	No. of Enterprises Established	Total amount of Loans Released (PHP)
1. Alternative Duck Feeds	21	96,065
2. Duck Breeder Farm	112	4,356,905
3. Duck Product Processing	2	30,000
4. Duck Product Retailing	102	433,000
5. Hatchery	8	205,000
6. Ready-to-lay Growing	72	2,305,950
Total	317	PHP 7,426,920

4. Results and Discussion

The project had four types of beneficiaries, corresponding to the duck value chain industry. The survey for the performance evaluation covers all types of beneficiaries: (1) Duck breeder farm, 52%; (2) Ready to lay duck (RTL) growers, 34%, (3) hatchery, 7%; and (4) duck product retailing, 7%. Other types of beneficiaries, but were not interviewed as there were alternative feeds and meat retailing. There were only very few beneficiaries for these two enterprises (Table 22).

Table 22. Type of Beneficiary Included in the Survey and Loan Scheme, PARFUND

Type of Beneficiary	Percent (n=30)
Duck breeder farm	52
Ready to lay duck growing	34
Hatchery	7
Duck product retailing	7

a. Beneficiaries and their enterprises

The project focuses on improving the duck value chain, with PARFUND as the main coordinator of the chain orchestrating the activities of the various players. The loan module and equivalent amount is presented in Table 23.

Table 23. Module and Equivalent Loan Amount by Type of Enterprise, Duck-Egg Project

Type of Enterprise	Module	Equivalent Loan Amount (PHP)
Duck breeder farm	100 female, 10 male; feeds	28,000 - 32,000
Ready to lay duck growing	500 female, 100 male, feeds, net, blue canvass	30,000 - 36,000
Hatchery		20,000
Duck product retailing		6,000
Alternative feeds	Did not push through	
Meat/product processing		6,000

Ready to lay (RTL) duck enterprises. The project releases RTLs to loan beneficiaries. At the start of the project, the ducklings were sourced from commercial growers in Valencia, Bukidnon and from Luzon. The succeeding releases for next batch of beneficiaries came from hatchery-beneficiaries. The module is for 500 female, 100 male head; feeds, net and blue canvass sheets. The equivalent amount for these items ranged from PHP30,000 to PHP36,000. This is payable at harvest and may be deducted from the RTLs during buy-back by PARFUND. The ducks are to be raised for 4 ½ months or up to 1.2 kg then PARFUND will buy back the RTLs for distribution to breeder farm beneficiaries. Some of the beneficiaries, however, sold some of the young ducks, not yet RTL, to others due to financial needs. Repayment rate as of 2019 is 99%; many of the beneficiaries caught up with the payments. In terms of sustainability, around 30% of the beneficiaries continued as RTL growers, while about 10% of the RTL beneficiaries shifted to other duck enterprises like retailing and some expanded to breeder farm and hatchery.

Breeder farm enterprise. Under this scheme, the module is 100 female, 10 male and feeds worth PHP28,000 to PHP32,000 RTL and payable in monthly installment for 1 year. Ideally the ducks should come from the RTL enterprise. Initial feeds should be alternative feeds from the beneficiary (e.g. corn) for one month to stabilize the ducks; then feeds (layers) from the project is given or at 10% egg production. There is a buy back agreement for the eggs, implemented in the second cycle, to be used as inputs to the hatchery; however many of the eggs were brought to other buyers. Repayment is only 30% (fully paid) and the rest are still paying (all past due); only 1 beneficiary did not pay. Sustainability is only at 10% because there are no RTLs to replace the non-laying ducks (cull).

Hatchery. This enterprise needs an incubator as the beneficiary counterpart. The project provided an average capitalization of PHP20,000 payable in monthly installments with a one-month grace period. Ideally, eggs should come from the breeder farms sometimes through PARFUND buyback operations. Product is for balut for retailing and ducklings for the RTLs, however, what actually happened is by order only for ducklings. Only four beneficiaries availed. Currently, only two are still in operation. Of the four beneficiaries, three are fully paid and 1 did not pay any amount.

Retailer. The beneficiaries from this enterprise are supposed to get the balut from the hatcheries. They were balut vendors who were provided capitalization of PHP6,000. Only 4% were able to pay the loans fully. Some of the beneficiaries still continue to sell balut.

Alternative feeds. This enterprise is for azolla growing as alternative for commercial feeds and when duck ranging in the rice fields is not possible. This did not push through because of many problems encountered by farmers such as flooding or not enough water for azolla growing.

b. Motivation of beneficiaries

The foremost motivation for joining the project is for additional income (52%), as source of financing (24%), trainings (14%), marketing support (7%) and for the expansion of their existing duck enterprises (Table 24).

Table 24. PARFUND Beneficiary's Motivation for Joining the Project

Motivation	Percent
Additional income	52
Source of financing	24
Trainings	14
Marketing support	7
Expansion of existing duck enterprise	3

c. Production performance of beneficiary-enterprises

In terms of loan details, 79% said that the purpose of availing the loan is for start-up while the rest is for expansion (Table 25). This means that 21% of the respondents were already into duck enterprises. Majority (79%) of the respondents had fully-paid their loans; the same percentage said that the amount that was granted was enough for the financing requirement of the duck enterprises.

Table 25. PARFUND Beneficiary Loan Purpose and Repayment Status

Details	Percent
Purpose of loan	
Start-up	79
Expansion	21
Repayment status	
Fully paid	79
Not fully paid	21
Reasonableness of amount	
Enough	79
Not enough	21

The production performance of the beneficiaries is shown in Table 4. On average, the beneficiaries had an increase in inventory from 330 head to 447 head, also increasing the number of head sold from 306 to 380 (Table 26). With the assistance of the CSO, the prices received were also higher by PHP 38.90/head from PHP115 to PHP153.90/head.

Table 26. Production Performance of Duck-Egg Beneficiary Enterprises

Item	Before Project	With Project	Difference
Number of heads	330	447	117
Number of heads sold	306	380	74
Price received (PHP/head)	115	153.9	38.9
Gross value of production (PHP)	35,190	58,482	23,292

According to key informant interviews with the beneficiary for duck breeder farm and hatchery, the loan provided the beneficiary the chance to have additional income aside from being a government employee (job order/contractual) and from his own rice field.

One of the duck breeder farm beneficiary who started with the 100-duck module now has an existing inventory of 1142 ducks - 600 for breeder and 542 free range in rice fields. The same beneficiary expanded operations to producing RTLs, operates an incubator for balut and hatchery for chicks with a capacity of 18,000 eggs. The operator is now able to harvest on average 300 and 200 eggs/day from the breeders and free range chicks.

The income from duck raising were used to repair a vehicle for use in the farm; contribute to the purchase of a lot and construction of a building; buy a motorcycle and provide for the daily expenses of the family. The farm provides employment for 3 persons on a full time basis. The ducks were also able to control pests from the farms where they feed free range.

The demand for balut is very high and this is not filled by the current supply. In addition, there is demand for slaughter duck, but the producers have problems in dressing the duck. The existing facility for chicken is not appropriate for ducks because the skin of the ducks is harder and the feathers are not cleanly pulled out.

Another successful example is one of the RTL beneficiary who availed of the module for four cycles. Before the loan, the beneficiary already has been raising ducks, but on a “do it yourself” mode; with the project, technical trainings provided the correct management practices for feeding and disease management. For 4 cycles of RTL, the ducklings are released to the rice field (rice-duck scheme), this minimizes the use of feeds for ducks and use of pesticides in rice as the ducks eat the pests (kuhol and other insects). The RTLs are then bought by PARFUND at 180/head. This provides a sure market. Very important as this provides assurance to the beneficiary on the stability of prices.

From the RTL, the following were the impact on the household: during the first cycle, she was able to buy two machines for carwash business; for the second cycle, bought a motorcycle which is being used to fetch and ferry the children at school; and for the 3rd and 4th cycles, savings and other household expenses. More importantly, the beneficiary also has a sense of empowerment as she say she does not depend anymore on her husband for money. From the Project, she was able to have knowledge on proper handling of money, especially budgeting

Not so successful experiences were also reported. In particular for the hatchery enterprises, the experience of the farmer in putting up the incubator – by trial and error – has provided him with adequate knowledge. Accordingly, he now has 2 incubators: from the project with a capacity of 3,000 eggs and another new incubator with 5,000K capacity; however the hatchery has stopped since December because the financial capital was used up in paying of the medical expenses of the beneficiary. The knowledge in operating the hatchery is already there; what is lacking is the financial capital to restart the whole business; capital was also lost during trial and error.

Another type beneficiary is one who shifted from one enterprise to another. The beneficiary started as with RTL and ended up in duck breeder farm enterprises. As RTL, he started with 300 RTL ducks and 6 sacks of feeds. According to him, income was good but the enterprise was very laborious. Thus, after one cycle of RTL, he shifted to breeders with 100 duck module of 100 females, 100 males ducks and 18 bags of feeds; payable in 1 year at monthly installments. Still the income was low because of feed costs and management is also a problem. Finally, he settled on retailing as this provides a higher income – 3 trays per day (30 eggs/tray), providing a net income of PPH15,000 per month.



PARFUND-Phil-Am Fund beneficiary showing the duck eggs; behind him are breeder ducks from the project (a) Hatchery of the successful beneficiary (b) Ducks on their way to the palayan; this practice is common in the breeder duck farm enterprise (c)

The main impact of the projects are:

- a. Additional livelihood of the beneficiaries; KII revealed that many of the more diligent beneficiaries were able to improve their income and level of living; many used the income for capital investments (lot, **business, duck expansion) and household expenses, notable for children's schooling**
- b. Knowledge transferred enabled farmers to manage duck raising, with some farmers continuing on even without PARFUND; some even are expanding
- c. Knowledge on bookkeeping help farmers how to be conscious on financial management and budgeting
- d. The local duck industry is thriving because of the continued effort of the CSO in promoting the duck industry along with rice cultivation. The importation of ducklings and duck eggs for balut from Luzon has **been reduced. There is even a perception that the local duck eggs for balut is "organic" and is more preferred by consumers**
- e. There is no doubt that the efforts of PARFUND has helped the duck industry in Mindanao. Ducklings and duck eggs reach the markets of Davao, Cagayan de Oro and Butuan. Despite this, there is still a large gap in supply.
- f. The networking of the beneficiaries among the various players of the duck industry is a good impact indicator. For those who have expanded their duck enterprises and those who have continued on in duck raising or hatchery, sources of inputs as well as information on markets have helped in the decision to forge on.

The plan to put up an association or cooperative as a more viable alternative to PARFUND is a good indicator of sustainability. The more successful beneficiaries wanted this to happen so that there is a stronger duck industry that can address the gap in supply without resorting to imports from Luzon.

5. Conclusions and Recommendations

In general, the CSO was successful in stimulating the growth of the duck industry in the project area, through the DUCK EGG project which was also built on from their previous project on rice-duck farming. Some of the insights and lessons learned were as follows:

- a. On program implementation processes, the insights were:
 - The timing of loan releases was not synchronized with the critical activities, e.g., the release of the RTL should be synchronized with the planting season, so that by the time the ducks are big enough, they can feed on the harvested fields;
 - Lack of personnel for technical support for the beneficiaries; hence they also ask assistance from DA.
 - Collection of loan repayment – the project has no personnel to do the collection, hence the farmers come to the office to pay. This opens the risk of the beneficiaries spending the money for other purposes, instead of using the money to pay for the loan. High past due on the loans, although now that demand letters are sent, this has gone down.
 - Transport of products – since some of the beneficiaries are under buy back scheme (RTL, eggs), transport of the ducklings, RTL and eggs poses a problem and causes some eggs to be in bad condition
- b. There is no sustainability plan that was followed. However, the transfer of knowledge:
 - On duck raising, particularly on feeding, management is a form of sustainability as many of the beneficiaries continued on in duck raising and some even shifting to or expanding to other duck enterprises;

- On farm record keeping, business planning and accounting has helped the beneficiaries track their enterprises and even applies this to their other enterprises like native chicken, pigs and others
- Networking for the source of inputs, like ducklings, RTL and eggs
- Networking for markets – where to dispose their eggs, culled ducks and RTLs
- Current plan of the beneficiaries, with the help of PARFUND personnel, to form association or cooperative to continue the work of CSO but with the beneficiaries taking the lead in managing the duck value chain.

ANNEX 7d. SURVEY RESULTS FOR ANTI-TRAFFICKING IN PERSONS–THEMED PROJECTS

A. CHILDREN'S LEGAL BUREAU

1. Overview of the Project

The project's goal is for the children and vulnerable groups in Cordova, Talisay City and Bogu City to be prevented and protected from trafficking and other forms of exploitation, the law is enforced and traffickers are prosecuted.

The specific objectives are to: (1) Improve the capacity of Barangay Council for the Welfare of Children (BCPC) and concerned City/municipal level government agencies for the prevention of trafficking in persons; (2) Improve the consciousness of the community and families on trafficking in persons and strengthen community advocacy/watch groups and mechanisms to protect children from trafficking and other forms of exploitation; (3) Improve family and community integration of vulnerable groups who are at risk of being trafficked such as out of school youth, street children, abused children, child labourers, victims of Yolanda, unemployed and those below poverty line; (4) Improve capacities and coordination of concerned agencies in the three areas to provide services to trafficked persons; (5) Improve family and community integration of the victims/survivors of trafficking in the three areas and (6) Create mechanisms to improve enforcement of the anti-trafficking law and related laws, policies and programs and prosecution of anti-trafficking cases.

2. Theory of Change

Proliferation of human trafficking is due to the absence of strong legal and institutional mechanism to address the problem and limited capacity of the responders. This can be addressed through the formulation of policies on local anti-trafficking in persons, promotion of awareness, strengthening of local referral network and strengthening capacity to prosecute the offenders. It will also necessitate the training of frontline responders in detection and protection

3. Mapping Input-Process-Output-Outcome

a. Input

The Phil-Am Fund grant amounted to PHP 9,025,750.30 while the CLB counterpart fund is PHP90,000. The approved project implementation was 9 July 2014 to 31 March 2018 but was extended until 30 June 2018 to support additional technical activities and complete the rest of planned activities. The grant was also incrementally funded on December 20, 2017 making the total grant to PHP13,895,63.44 while the CLB cost share remained unchanged at PHP90,000.

The project was implemented in Talisay, Cordova and Bogu City. All three areas had several cases of child **cyber pornography and "akyat barko (women and girls board ships docked at the port for prostitution).**

b. Process

CLB made a formal launching of the project in July which was attended by local Cebu officials and GRF representatives. This was followed with a series of activities as follows:

1. Capacity Building - Orientation Trainings on ATIP (Barangay level and Local Council on Anti-Trafficking in Persons (LCAT) at City/Municipal Level), Writeshop on Protocols in Handling TIP Cases, Paralegal and Para-Social Workers Training on ATIP, Orientation trainings to teachers and youth in Bogu, Orientation trainings to PWD, ERPAT, fisherfolks and youth in Cordova
2. Policy Development and Advocacy - Ordinance Writeshop on ATIP for barangay and municipal/city level and lobbying for its approval

3. Case Conferences and Dialogues among agencies - case conferences of the Multi-Disciplinary Team (MDT) for case build-up and monitoring of cases, dialogue among five pillars of justice, Barangays and LCAT.
4. Organizing and setting up of mechanisms – Formation and regular meetings of LCAT, Inter-LCAT, Inter-BCPC, Community Watch Groups (CWG), Child Protection Teams composed of paralegal and para-social workers, regular assessment and planning sessions.
5. Information Dissemination - forum, film showing, assemblies, room to room campaigns in schools and communities
6. Additional Activities - workshops to come up with sustainability plans for the LCAT, CPT and CWG and Visayas CSO Summit on ATIP and sustainability program for CLB

c. Output and Outcome

As previously discussed, the major achievement of the project is the setting up of mechanisms from the Municipal/City Levels down to the Barangay and Community levels to respond to case of TIP from prevention, protection to law enforcement and prosecution. At the city/municipal level, the Local Councils for the Protection of Children (LCAT) were established in the three target areas of Cordova, Talisay City and Danao City. Under the LCAT, the Multi-disciplinary Team (MDT) is organized composed of the agencies directly handling the victims of TIP.

At the barangay level, the Barangay Councils for the Welfare of Children (BCPCs) of 41 barangays were strengthened and ATIP Committee or Barangay Council Against Trafficking (BCAT) is organized under the BCPC. Members of the community were also organized as Community Watch Groups with total of 570 volunteers from the 41 barangays tasked to report cases of TIP and possible cases of TIP. From the BCPC and CWGs, paralegals and para-social workers were trained to assist the victims from case filing up to reintegration.

With these mechanisms in place, information dissemination activities reached more than 19,000 people. This resulted in 26 incidents of TIP reported to the MDT (20 reports coming from the BCPC/CWD) with 91 victims assisted (including 18 victims whose cases were filed before the project). 14 of the reported incidents ended up with rescue and/or filing of cases against 13 perpetrators, 12 are arrested and detained while 1 is still at large.

Aside from this, 62 possible TIP/recruitment activities were reported by the BCPCs and CWG to the MDT plus more than 600 cases related to children and women which could make them more vulnerable to TIP. Most of these cases were responded by the BCPC and LCAT, thereby preventing these vulnerable groups to become victims of TIP.

In general, CLB has achieved its objectives as originally planned. On aspect of prevention, no traffickers had been reported now and no rescues conducted in project areas which may be attributed to the vigilance of the community monitors who report suspected traffickers in their areas. It could be that traffickers had transferred to other areas.

The project has also established a strong local mechanism to prevent trafficking in the project site despite the problem of regular turnover of policemen as practiced by the PNP.

4. Challenges Encountered in the Project Implementation

The major challenge encountered by CLB is working with the LGUs. This is particularly true to Bogu City, **being CLB's first time to engage with the said LGU. There was also a change in leadership at the middle of project term after the elections and with the identified lead agency, the City Social Welfare and Development Officer (CSWDO) who is not so cooperative in collaborating with CLB.** Another problem is the frequent **turnover of policemen in the project sites. PNP is CLB's program partner but policemen who attend CLB-sponsored trainings are not usually retained in their assigned posts.**

The challenge to management office is the submission and approval of financial reports. Quarterly reports are submitted online following the template provided by GRF. It was only during the last year of implementation that GRF required a narrative report. A GRF Representative/Program Officer assigned to the CLB monitored the project implementation through quarterly visits to the project sites.

Preparation of financial report during the time when CLB budget was on reimbursement scheme was a challenge and disallowances were often incurred for lack of supporting documents. The internet-based AuditPal, an electronic accounting system made the accounting process more efficient and preparation of the required financial report had become easy. CLB would like to adopt the AuditPal. An offline version is available for a fee which CLB could not afford.

Changes in Organizational Capacity

Changes in administrative processes were noted. CLB had come up with financial management guideline which was non-existent before. For instance, travel allowance is now in the form of per diems instead of actual expenses incurred wherein all expense items should be supported by receipts. Before, CLB made use of canvass/quotations valid for six months in purchase of materials and services. The procurement process is now systematized and transparent. Filing system is now organized and it is easy to locate documents and files. CLB would have wanted to make use of the AuditPal in its on-going projects but it lacks the resources to purchase the software.

Sustainability

CLB has thought of coming up with a sustainability plan which focuses on Trainings as an income generating activity for CLB. This includes long term plan of building a Training Center. Courtesy call was done with the Governor for possibility of the Province to donate a lot for this purpose. Part of the training center, but as a **separate source of income is the “catering” services. All these have to be put on paper for approval by its BoD.**

CLB has already come up with training packages with registration fees to be marketed to LGUs, NGOs and the private sector. It has organized training for LGU Balamban where CLB collected training fees. Other possible income generating projects are production and sale of publications and advocacy notebooks, consultancies and retainership and fund raising through social media. CLB is also in the process of setting up a new website since the website developer in the past cannot anymore be contacted and he has not completely turned over the website to the organization. Thus, CLB cannot update and edit it as needed.

CLB was also able to organize a network of Visayas CSOs with programs or planning to implement programs related to Anti-Trafficking in Persons. Focal persons were identified per area. The network is a venue to share information, researches, IEC materials and referrals. A facebook page for the network was set up right after the Summit.

Local solutions put on the ground as a result of the project

CLB continues to monitor the activities in the three sites despite the completion of the project. Local solution put on ground and is being continued is the Inter-LCAT meetings which is already a regular quarterly activity in the three areas. The meeting is a venue where the LGUs are reporting their accomplishments based on the sustainability plans/strategic plans formulated through CLB facilitation. Representatives from CLB are present during this meeting. Through the Cebu Against Child Sex Tourism Network (CAST), the three areas who are members of the CAST can also be monitored and given further trainings.

5. Results of Quantitative and Qualitative Assessment

Key informant interview and focus group discussions were conducted to assess the relevance of Phil-Am Fund intervention at the project sites. Interviewed were paralegals, parasocials, municipal social worker, representatives from the PNP and DepEd district office and officials in the local government units. Rescued TIP

victims were also interviewed to determine what had changed in their life and their current goals and aspirations. A survey of some 30 residents in Talisay was conducted to determine what their impressions are about the project.

a. Causes of human trafficking in the project sites

The respondents pointed poverty, decline in moral values and lack of knowledge as the main causes of trafficking among the youth in the project sites. Cebu has several street children and marginalized ones living in squatter areas where illegal activities are rampant. They interact with foreigners in internet cafes and lure them to become objects of trafficking with a promise of money and material things. Peer pressures from friends who are involved in illegal activities in the red light districts that eventually lead them to work as pimps, lack of parental supervision especially among children coming from dysfunctional/broken families, parents who are jobless and those whose mother is an OFW, are also cited as causes of the problem. Lured with money and material things, they feel a sense of pride for being able to provide for their family.

Another problem is the lack of knowledge or inability to recognize that victims as object of human trafficking. A case in point is the trafficked victims from Davao, mostly Lumads, who were promised high paying jobs in a fish processing plant in Cebu. Not knowing they are victims of trafficking, they were rescued by barangay officials when one of their ailing companions went out beyond curfew hours to seek medical assistance in the barangay,

b. Effectiveness of Phil-Am Fund Intervention

The project brought together and established collaborative efforts among the local government units through the LCAT and BCAT, the Department of Social Welfare and Development, the Philippine National Police and the local prosecutors office with the common goal of resolving the human trafficking and prosecuting the offenders.

The respondents were one in saying that the Phil-Am Fund intervention implemented by CLB influenced the reduction of cases on human trafficking. Until now, no case of human trafficking is reported in Bago City and Cordova following the implementation of the project.

With a strengthened LCAT and BCPC in place, the community watch groups in the project sites are able to identify victims or would be victims of human trafficking. The watch group are the ones who report to authorities when they observe possible TIP cases.

The respondents credit the use of purok system for the success of the Phil-Am Fund intervention. Every purok in the barangay is composed of 30 families. They elect officers from the 30 families and conduct meetings once a month. After the meeting, they relay their concerns to the barangay which is then discussed in the monthly BCPC meeting at the City Hall. Each purok has a watch group composed of 30 volunteers. The watch group leaders are readily available when there are trafficking cases that have to be responded to immediately. Areas with red flags have more watch group members than others.

The school youth are informed on human trafficking during the conduct of orientation and information dissemination activities led by CLB along with paralegals and parasocial workers. CLB also produced notebooks with the cover having details on human trafficking but these were also used by the paralegals and parasocial workers.

On the part of the PNP, the designated officers per area conduct surveillance at night especially on squatters' area, red light districts and internet shops. Their job has been made easier because tasks became clear among concerned agencies. The MDT (Multi-disciplinary team) immediately meet when there is a case. Before the CLB project, the rescued child would be under PNP first, transferred to municipal health office and then MSWD. Now, it is easier to coordinate because only one interview is conducted (except for the medical exam), unlike before where each agency would interview the victim.

Although the PNP gives credit to CLB and the project, they indicated that real solution to the problem comes from the parents themselves who should be well informed about human trafficking. A case in point is an educator in

Bogo City who persuaded her teenage daughter to live with a foreigner in exchange for a good life. According to the parent, she only wanted a secure future for her daughter and did not know she is committing a crime.

The whole process from rescue to after care is being handled by the DSWD/MSWD. Rescued victims are housed **in centers such as Happy Horizon's Children's Ranch.**

For rescue missions, the police and the social worker go to the area to retrieve the victim. The police enters inside the house where the victim is, while the social worker waits for the victim outside. The social worker does not bring legal papers. The perpetrator is apprehended. The victim is not immediately turned over to the parents because he/she has to undergo medical exams. The affidavit for the perpetrator should also be finished on the same day. The process is as follows: the child is interviewed, undergoes medical examination and then prepares an affidavit. Interventions that should be given to the victim depend on the assessment of the social worker and a psychologist.

The rescued victims stay for three months at a temporary shelter. Before reintegration, an assessment is done at the center and in the community. **The center's social worker conducts the assessment on the victim while the MSWD conducts the assessment in the community where the victim will be reintegrated.** The latter mostly involves parenting assessment where MSWD determines if the parents are capable of taking care of the victim once he/she has been reintegrated. They also coordinate with DepEd if necessary. If they see that the victim and the community is ready for reintegration, they conduct a discharge conference.

Follow-up monitoring or after care is done after reintegration. Frequency of follow-up monitoring depends on how at risk the reintegrated child is. Some cases require more follow-up sessions due to the possibility that the child might return to TIP activities. Along with this, four TIP victims were interviewed and asked about how they are along with their future plans. One has returned to her family, one stays in FORGE center and the two stay in Happy Horizon. All four credit CLB for their rescue and thankful to their social workers for guiding them along the way. The three appear to be normal and personable teenagers who are bubbly and full of hope. The other is meek and quite. The one who has reintegrated with her family has sad stories to tell but appears to have a strong personality, enough for her to cope with the past ordeal that dealt on sex, drugs and human trafficking. She is now 16 years old. Her plan is to go back to school and become a lawyer. The other one is 14 years old and is in her last year at the Happy Horizon. She wishes to stay there for long to finish her tutorial type education conducted at the facility. The meek and quite type would like to go home but her social worker thinks the girl is not ready for reintegration yet.

The cases of the three teenagers are **now in the prosecutor's office. The victim who stays at FORGE is now 18** years old and a third year education student. She would like to be a flight attendant someday. She keeps the facility clean, tutors the residents and except for her social workers, no one in the facility knows her past. Credit is due to the social workers and to the project for what these four victims have now become.

Overall, the respondents in the three project sites rated the level of effectiveness of the intervention as "very effective".

c. Institutionalizing the Phil-Am Fund Intervention

Ordinance establishing new and strengthening existing LCAT and providing funds made possible the institutionalization of the interventions introduced in the project sites. A year before the project ended, CLB conducted workshops aimed at formulating sustainability plan in each site. With available funds, members of BCAT from 22 barangays continue to meet monthly to update and share their experiences. A rotation system has been established wherein every barangay is given a chance to host one meeting. Representatives from CLB attend these monthly meetings.

d. Results and Discussions

The field survey was done on 30 randomly selected community members of Barangay Poblacion in the Municipality of Cordova last March 10 and 11. The average age of the respondent is 47 (Table 1). The youngest

is 19 years old and the oldest is 74. Forty-six percent are married with six household members. Household size ranged from two to eight. More than half (63.33%) were able to reach high school while 20% were able to enter college.

Majority (60%) have monthly average income of less than PHP10,000. All are engaged in non-farm related activities with two as government officials and the other two respondents relying on remittances from relatives and pension.

Table 1. Socio-Economic and Demographic Profile of CLB Respondents

Socio-Demographic Characteristic	Percentage (n=30)
Average age (years)	49.6
Civil Status	
Single	37
Married	47
Widowed	6
Separated	10
Average number of household members	
Sex	
Male	17
Female	83
Education	
0 - 6 years	16
7 - 10 years	63
11-14 years	20
Membership in organizations*	
Religious group	67
Farmer's Union	20
Women's group	73
Senior Citizen	17
Monthly Income (PHP)	
Less than 0000	60
10001-20000	27
20001-30000	7
30001-40000	0
40001-50000	3
50001-60000	3

*multiple response

The main problem in Cordova pertaining to human trafficking is cybersex. Majority of the respondents (90%) stated that they knew of efforts by the LGU for anti-trafficking in persons (Table 2). Approximately half indicated that the LGU conducted trainings and seminars discussing human trafficking and child development. One respondent also cited that the LGU had a step-by-step procedure on how to properly address cases of trafficking in persons. In general, the respondents viewed these efforts of the LGU to be effective in addressing the problem against human trafficking. However, two respondents said that quick witted minors would hide when there were roving barangay officials/ policemen around and would go out after the officers have finished their rounds in the area. They cite a lack of manpower to do the roving every night and strictly implement the curfew.

When asked about what anti-trafficking measures should be implemented, the main answer of the respondents were still to conduct ATIP seminars in the community. One respondent even suggested that if possible, a house-to-house mini seminar should be conducted because not all people have time to attend seminars in case the barangay called for one. This was followed by strict implementation of curfew. The respondents believe that by keeping minors inside the house after 10:00 pm lessens their likelihood of being involved in illegal activities. Another suggestion is to continue prosecuting the perpetrators so that the community would see that human trafficking activities are not tolerated. One respondent even answered lethal injection as a form of punishment for caught perpetrators.

Table 2. Awareness of CLB respondents on Anti-Trafficking in Person

Items	Percent Reporting
Awareness on efforts of the LGU to protect residents from human trafficking	
Aware of activities	90
Not aware of any activities	10
Specific activities of the LGU to protect residents from human trafficking*	
Arresting people liable for cybersex related activities	13.89
Conduct of seminars about human trafficking and child development awareness	52.78
Existence of community watch groups	2.78
Poster making activity for the youth	2.78
Posts tarpaulins/bulletin boards for awareness	2.78
Conducted activities for the youth	8.33
Barangay officials assist in conducting ATIP activities	5.56
Raids/rescues	5.56
Has a step-by-step process on how to handle TIP cases	2.78
Implementation of Anti-Cybercrime activities	2.78
Anti-trafficking measures that the respondents think should be implemented*	
Raid to stop child pornography/cybersex in the area	6.06
Strict screening of computer shop customers	3.03
Strict implementation of curfew	18.18
ATIP seminars for parents and the youth (house-to-house)	33.33
Conduct activities for the youth such as poster making contests/ sports	6.06
Lethal injection as punishment for perpetrators	3.03
Proper dress code (especially for girls)	3.03
Proper guidance of parents	6.06
Prosecution of perpetrators	12.12
Laws for ATIP	3.03
Reporting of cases to the barangay	6.06

*multiple response

Out of 30 respondents, 19 were aware of CLB's existence (Table 3). The lack of awareness of the other respondents could be explained by CLB's strategy of capacitating and mobilizing the LGU in conducting awareness campaigns for ATIP. It is possible that a respondent might have attended or participated in an activity of CLB without knowing that it was organized by CLB, because the direct implementers were the LGU partners. The respondents had known CLB through various sources. Some heard about it during meetings and seminars, but there were also some who saw CLB being featured in the local news.

When asked about what their understanding was of CLB's project, 46.67% answered that CLB conducted seminars on TIP awareness. One answered that it conducted feeding programs for children while two answered that CLB had video presentations about human trafficking. **Only ten respondents participated in CLB's activities.** Six out of ten stated that they were able to attend seminars on human trafficking. Three indicated that they were able to attend trainings for CWG members while one indicated that she was able to organize activities pertaining to ATIP.

Table 3. Awareness of CLB and its Activities

Items	Percent Reporting
Awareness of Children's Legal Bureau (CLB)	
Aware of CLB	67
Not aware of CLB	37
How the respondents knew about CLB	
Attended seminars discussing child crime awareness	10
Through DSWD Programs	3

During barangay meetings	7
From CLB itself	13
From the TV/radio	13
From a CLB employee	3
From an information drive	7
From the Municipal Hall	3
Through a CWG member	3
Not aware of CLB but aware of its activities	3
Not aware of CLB	33
Understanding of CLB's activities*	
Conducted workshops and seminars about human trafficking	47
Feeding programs for the youth	3
Video presentation about human trafficking	10
Aware that there are activities but don't know what they are	7
Not aware of activities	57
Number of respondents involved in CLB's activities	
Not Involved	67
Involved	33
Involvement in CLB's activities	
Attended seminars on human trafficking	20
Trained as a CWG member	10
Organized ATIP activities	3
No involvement	67

*multiple answers

The perceived benefits from CLB's project was that a lot of people had been made aware of what human trafficking is, how to spot red flags and how parents could protect their children from engaging in such activities. The children themselves being oriented on ATIP helps prevent them from being victims. There were respondents who stated that immediate action was taken to address human trafficking such as prosecution of perpetrators.

The respondents were asked to rate CLB using a five-point Likert scale. Approximately 70% answered "don't know" for all statements because these are the respondents who were not able to directly participate in CLB's activities. However, those who were involved in the activities gave the highest rating for each of the statements.

Table 4. Rating of Statements Pertaining to CLB

Items	Agree	Don't Know
1. CLB is implementing very important activities to empower communities and build partnerships for anti-trafficking in persons.	27	73
2. CLB is implementing very important activities to empower communities and build partnerships for anti-trafficking in persons.	30	70
3. CLB involves the community in its effort to empower communities and build partnerships for anti-trafficking in persons.	30	70
4. CLB has been able to harmonize (meaning able to put together) the efforts of LGUs and the communities so that measures to empower communities and build partnerships for anti-trafficking in persons are effective.	30	70
5. The effort of CLB to empower communities and build partnerships for anti-trafficking in persons is impacting positively on the victims of human-trafficking in the area.	30	70
6. I want CLB to continue with its effort to empower communities and build partnerships for anti-trafficking in persons.	30	70

6. Conclusion and Recommendation based on the survey results

Majority of the respondents are aware of CLB's existence, however, only 33% percent were able to participate in the activities directly conducted by CLB for ATIP. This could be because CLB capacitated the LGUs to conduct the ATIP activities in their respective areas. The respondents were aware of various activities held by the LGU with regards to anti-human trafficking efforts. It is possible that the respondents have attended or participated in these activities without them knowing that CLB initiated it. CLB received high ratings from respondents who knew that they were directly involved in the activities.

The respondents recommended that CLB should continue conducting more activities on ATIP and that more anti-trafficking policies and laws should be implemented. With regards to spreading awareness, they also see the need for more seminars, workshops and trainings as well as provision of livelihood to parents. To prevent parents from trafficking their own children, they must be helped in finding a stable source of income. Strictly implement curfew for children is recommended. One respondent wanted the electric chair to be brought back as punishment for the perpetrators who are caught.

ANNEX 7e. SURVEY RESULTS FOR THE EDUCATION–THEMED PROJECTS

A. FIT-ED

1. Overview of the Project

The Department of Education aims to train at least 200,000 public K-3 teachers to produce better basic literacy rates. However, DepEd's current "face-to-face" method only allows for 4,000 teachers to be trained annually. Given the need for continuing teacher professional development program (TPD) in early literacy and numeracy in particular and across the K12 Basic Education Curriculum in general, which can supplement and complement current and future initiatives by DepEd and its development partners, the Foundation for Information Technology Education and Development, Inc. (FIT-ED) teamed up with DepEd and the Digital Learning for Development (DL4D) program to develop a TPD program that makes use of a digital courseware called Early Language, Literacy and Numeracy (ELLN), which contains multimedia material based on DepEd's module on basic language and literacy. At the same time, FIT-ED launched Digital and Learning Action Cells (LACs)--- a school-based mentoring and co-learning mechanism to support continuing teacher professional development (TPD) (DepEd, 2014a). The project sought to support existing initiatives by DepEd and its partners to promote early literacy education (K-3) by piloting the use of digital technologies in pedagogically appropriate ways for TPD.

FIT-ED has earlier set the overall goal of piloting a flexible, cost-effective, scalable and sustainable technology-supported TPD program on early literacy. The specific project objectives were to: (1) design technology-supported instruction and develop a courseware on early literacy for K-3 teachers based on DepEd's face-to-face ELLN basic course; (2) deliver the technology-supported instruction on early literacy to pilot teachers using the courseware and combinations of synchronous and asynchronous online tools and technologies; (3) assess the strengths and needs of the pilot teachers in relation to the course content; and (4) assess the learning gains of the pilot course participants, identify key design and delivery issues and formulate recommendations for scaling up the technology supported TPD program.

2. Theory of Change

The present face-to-face and cascade training method for in-service of teachers can accommodate around 4,000 teachers per year and is only being done during the school breaks. The Department of Education (DepEd) currently lists 193,364 K-3 teachers nationwide who require basic literacy training (DepEd, 2014). Without any alternative intervention, it will take DepEd 50 years to train all K to 3 teachers. To hasten the process, there is a need to develop blended teacher development program which will include the use of interactive multi-media design for self-study and the establishment of collaborative learning action cells.

The main assumptions of this TOC are that the program is tested and sufficient and the program is accredited by DepEd.

3. Mapping of Input-Process-Output-Outcome

a. Inputs

The project was implemented by FIT-ED for over two years from August 6, 2015 to December 31, 2017. The project ended with a total budget of PHP10,867,228. The ELLN Digital course trained a total of 4,030 K-3 teachers in 240 schools in 31 divisions nationwide who had not had exposure to training programs in literacy instruction by DepEd and its partners.

b. Process

Before the project started, a Memorandum of Agreement was signed with the DepEd. Choosing the implementation sites and contents of the courseware were done with the agency. FIT-ED also screened teacher-facilitators that conducted the webinars and oriented the participants on the use of ELLN Digital. USAID Basa

Pilipinas has a similar project on education so before FIT-ED's project was implemented, the CSO made sure to meet up with USAID to clarify its project's objectives and target beneficiaries.

Before the digital courseware was finalized, FIT-ED conducted a survey on the selected participants and acknowledged their inputs in adjusting the training design. The modules also underwent numerous reviews. A Content Development Workshop was done and it raised comments regarding localization of examples and that the activities and contents should allow for more interaction.

After DepEd issued a national memorandum containing the list of participating schools in the project, FIT-ED then proceeded to the MOA signing with the Regional Offices. Once this was established, the participating schools were then sent the course package. Learning facilitators and regional monitors were also sent webinar packages. Table 1 shows the selected region, division and number of participating schools for each area.

Table 1. Number of Participating Schools per Region and Division

Region	Division	Number of Participating Schools
IV-A	Laguna	9
	Lucena City	10
	Antipolo City	9
	Cavite Province	3
	San Pablo City	9
IV – B	Oriental Mindoro	9
	Marinduque	9
NIR	La Carlota City	7
VI	Roxas City	6
	Capiz	9
	Aklan	9
X	Lanao Del Norte	9
	Cagayan De Oro City	9
	Malaybalay City	9
XI	Davao Del Sur	9
	Digos City	9
	Mati City	9
	Samal City	9
XII	North Cotabato	8
NCR	Navotas City	4

ELLN Digital, was piloted over a five-month period with K-3 teachers who had not previously participated in **DepEd's teacher training programs on literacy instruction. It included the 10-day face-to-face Early Language, Literacy and Numeracy (ELLN) training program.** The participating schools were given the interactive, self-study ELLN Digital courseware and 5 storybooks and given guidance on organizing the participating teachers into LACs and the LACs were supported and monitored by 31 division- and region- based electronic learning facilitators (eLF). The eLFs were trained in mentoring LACs through webinars and they were given a set of resources (i.e. a mobile phone and wireless modems) for communicating with the LACs on a regular basis.

Before the project ended, an ELLN Digital Project Summit was held wherein FIT-ED turned over the ELLN Digital Courseware and Toolkit to DepEd.

c. Output

The number of teachers trained exceeded the target because the coverage was extended to all of the K-3 **teachers in the 240 pilot schools, as requested by DepEd. There was a clear improvement in the teachers' knowledge and skills in early literacy instruction, as shown by test scores and end-of-course survey results.**

Analysis of the participants' pre-test and post-test scores in the CPK test showed a significant improvement overall, from a mean score of 27.72 in the pre-test and a mean score of 28.84 in the post-test, out of a maximum

possible score of 60. The gain, though small, is statistically significant. In general, the post-test scores of all groups of teachers were higher than their pretest scores and the differences in change scores were significant among teachers grouped by school location (i.e. urban vs. rural), by highest educational attainment and by rank.

The TSNA results likewise indicated a significant improvement overall. Many teachers were reasonably confident in their knowledge prior to the course, with a mean score of 168 out of 195 and this confidence increased after the course. As in the CPK test, the TSNA scores of participants from the rural areas were significantly higher than the TSNA ratings of the participants from the urban areas. The scores of female and male participants improved between the pre-test and post-test, although there was no significant difference in scores between the genders.

A Teacher Strengths and Needs Assessment (TSNA) and Content Pedagogical Knowledge (CPK) was conducted before FIT-ED finalized its materials. The CSO created learning materials such as the following modules: Foundations of Early Language and Literacy Development and Instruction (Module 1), Literature-Based Instruction (Module 2), Language Learning and Literacy Development (Module 3), The Teaching of Reading and Writing in the K-3 Classroom (Module 4) and Numeracy (Module 5). The ELLN Digital courseware with the other learning materials were then distributed to the participating schools.

Table 2. FIT-ED Performance Indicator

Indicator	Target	Cumulative Accomplishment as of 2017
Number of primary school educators who complete professional development activities	1,500 educators	4,030 K-3 public school educators

The end-of-course survey that was conducted independently showed an overwhelmingly positive response to the ELLN Digital course among the teacher participants. They found the courseware clear and easy to navigate and they said that the LAC helped them learn. There was also a high level of satisfaction with the LACs, the second component of the ELLN Digital blended learning model, as shown by a mean rating of more than 4 out of 5 for survey items about the LACs.

The division- and region-based Learning Facilitators (eLFs) who were tasked with supporting and monitoring the LACs in the pilot schools confirmed the findings from the course evaluation survey. In their synthesis reports and in focused group discussions with the project team, the eLFs reported that the participating teachers generally found both the course content and the mode of delivery (i.e. the combination of courseware and LAC sessions) useful and engaging. They mentioned the following as positive aspects of the courseware: engaging interactive activities; well-structured content; can be reviewed by teachers on their own; and useful printable resources such as checklists and templates.

d. Outcome

The FIT-ED project provided results indicative of realizing the improvement of basic early literacy teaching and assessment competencies of pilot K-3 teachers. Not only were target number of trainees were exceeded; K-3 teachers were also provided access to self-study learning materials that they can use at their own pace. The project provided a flexible, cost-effective, scalable and sustainable alternative solution for the professional development of K-3 teachers, compared to the longer-**termed traditional “face-to-face” method of training.** Improved CPK and TSNA scores point to the efficacy of the FIT-ED project’s concept.

4. Results and Discussion

A survey was conducted among the teacher participants of FIT-ED’s project under the Department of Education (Dep Ed) San Pablo Division. The respondents were four (4) teachers each from the participating schools in San Pablo, namely: Guadalupe Elementary School, Dapdapan Elementary School, Paaralang Pag-ibig at Pag-asa, San Crispin Elementary School, Del Remedio Elementary School, San Pablo Central School, Ambray Elementary School, Sto. Angel Elementary School, Bagong Bayan Elementary School and Don Enrique Bautista Elementary School.

a. *Profile*

On the average, the respondents are 39 years of age and have about 14 years of experience working as teacher. Most of them are female and married (Table 3). About 38% of the interviewed teachers have added to **their Bachelor's degree level education by taking academic units** or even completing Masters degrees in education. The respondents served an average of 11 years as a K-3 teacher. Majority of them (43%) are ranked as Teacher 1 while those ranked as Teacher 3 make up about 35%.

Table 3 Socio-Demographic Profile of Respondents for FIT-ED Project Evaluation

Socio-Demographic Characteristic	Percent Reporting (n=40)
Average Age	39 years old
Sex	
Male	8
Female	92
Civil Status	
Single	33
Married	63
Widowed	4
Education	
MA Level (graduated and with units)	37
BS/ BE Level	60
No response	3
Total number of years working as a teacher (Number of years)	
0-5	28
6-10	25
11-15	33
16-20	0
21-25	13
Above 25	3
Average number of years as a teacher	14 years
Number of years working as K-3 teacher (Number of years)	
0-5	28
6-10	25
11-15	32
16-20	0
21-25	13
Above 25	3
Average number of years as K-3 teacher	11 years
Current position/rank	
Teacher 1 (T1)	43
Teacher 2 (T2)	13
Teacher 3 (T3)	35
Master Teacher 1 (MT1)	5
Master Teacher 2 (MT2)	5

b. *Awareness of the CSO and the project*

More than half of the respondents expressed familiarity with FIT-ED. Of those who do, the average number of years they reported knowing the CSO is two years. Some participants know them as an organization related to the ELLN courseware while others know them as provider of the courseware. Knowledge of FIT-ED is hence largely associated with the courseware, which is still being used in the DepEd schools (Table 4).

Awareness of the FIT-ED project has been facilitated by the DepEd as respondents indicated that they were made aware of the TPD launched by FIT-ED primarily through the school head or principal. There were participants who came to know about TPD through their co-teachers while there were also some who learned

about it through DepEd's division office, seminars and regional trainings. Sixty-five percent of the respondents indicated that they last attended a face-to-face training on teaching basic literacy from years 2017 to 2019 and that most of them (95%) did not incur any expenses from attending these trainings because it was either shouldered by the school or the division office of San Pablo City.

Table 4. Perception of FIT-ED's Project Objectives and Activities

Perception	Percent Reporting (n=40)
Awareness of FIT-ED	
Yes	52
No	48
Number of years knowing FIT-ED	
0-3	50
Above 3	3
Not applicable	47
Average number of years knowing FIT-ED	2 years
Perception of FIT-ED's objectives/efforts*	
As funder of the program/ technology assistance/ provider of courseware	18
Supports ELLN/ Related to ELLN	35
Others	5
Not applicable	48
Source of information about the teacher development program (TPD)*	48
School Head	30
Fellow Teachers	33
Others (Dep Ed office, seminars, regional trainings)	
Year last attended a face-to-face training on teaching basic literacy	30
2013-2016	65
2017-2019	5
No response	
Were there fees/expenses incurred**	
Yes	5
No	95

*multiple responses

**all expenses were reimbursed

c. *Participants' perspective of interventions*

The respondents were then asked to rate statements pertaining to the ELLN courseware. Five respondents who indicated that they did not use FIT-ED's courseware were not included in this analysis.

Based on Table 5, majority of the teachers responded positively to the statements in the survey. However, it is worthwhile to note that there is a small proportion of respondents who either disagree or unsure whether the ELLN courseware could replace the traditional face-to-face teaching method.

Table 5. Respondents' Rating on the Courseware Provided by FIT-ED

Statements	Percent reporting (n=40)		
	Agree	Disagree	Do not know
1. It is intellectually stimulating.	88	0	0
2. It is flexible for different types of learners.	85	0	3
3. It provides some fun with the learning.	85	0	3
4. It is visually appealing and sufficiently audible.	83	0	5
5. It can replace traditional face-to-face teaching.	80	8	13
Average Frequency/Percentage	84.2	1.60	4.8

The courseware is frequently used by most of the respondents. For the school year 2018 to 2019, 38% of the interviewed teachers reported using the ELLN Digital three times a week while about 23% do so everyday. However, there were still some (23%) who indicated that they did not use the courseware at all for the past year.

In terms of learning pace, majority (63%) of the respondents spent at most 100 hours in going through the entire ELLN Digital for self-study. Still, some (20%) reported spending more hours on the courseware. An option stating **“not applicable”** could be found in Table 6 for the participants who answered that they could not estimate or could no longer remember the amount of time that they spent for the courseware.

The respondents reported enthusiastic participation in LACs. The scheme has seemingly been institutionalized in DepEd schools. All interviewed teachers have been continuously participating in LACs. A typical LAC session runs for at least three hours. Almost all participants report not incurring expenses in joining these sessions.

Table 6. Participation in the FIT-ED Project

Participation	Percent Reporting (n=40)
Used the project’s technology-based courseware	
Yes	88
No	10
No response	3
Number of times used in the past year	
Everyday to almost everyday	23
One to three times a week	38
Very seldom	8
Did not use	23
No response	10
Number of times used since first introduced	
Everyday to almost everyday	33
One to three times a week	40
Very seldom	13
Did not use	5
No response	10
Number of hours to completely go through the entire courseware	63
0-100	20
101-200	5
No response	13
Not applicable	
Participation in a Learning Action Cell (LAC)	
Yes	100
No	0
Number of hours of a typical LAC session	
1-3	45
More than 3	48
No response	8
Were there fees/expenses incurred**	
Yes	3
No	97

**all expenses were reimbursed

Majority of the respondents indicated that the LAC sessions have helped support their personal growth as teachers (Table 7). Many of them credit the LACs for improving their teaching strategies and techniques and that they were able to use videos and other learning materials shared during LAC sessions. In relation to this, all participants answered that LACs were very helpful in equipping them for teaching basic literacy. There were some who reported issues encountered in the LACs such as having difficulty in applying what was learned from the LAC sessions to class, use of personal time for the sessions, issues in venues and language and limitations

in content covered. Even with these issues cited, all respondents believe that the LAC sessions were helpful. Conduct of more LAC sessions, provision of more facilitators and instructional materials, discussion of more relevant and newer topics and training the facilitators to be more knowledgeable and hands on are some of the **respondents' suggestions for the betterment of LACs. Most of the respondents were not able to provide reason** for not attending the LACs. Some respondents indicated that they would only stop attending LACs if they were on sick leave or the session is scheduled on weekends. Still, a few said that their non-attendance may be triggered by absence of technical and facility assistance and if they deem the topics to be discussed redundant and useless.

Eighty percent of the respondents were able to get assistance from learning facilitators and all of them agreed that the facilitator was helpful to them as basic literacy teachers. The respondents recommended that for the facilitator to be effective, he must impart additional knowledge and teaching strategies, adjust session schedules and make them more comprehensive and provide moral support to the teachers.

Table 7. Perceived Benefits from the FIT-ED Project

Perceived Benefits	Percent Reporting (n=40)
Forms of support provided by the LAC on their professional development*	23
Provision of videos and other learning and instructional materials	38
Improved teaching strategies and techniques	50
Personal growth as a teacher	
Issues/challenges encountered while learning in the LAC*	
Personal challenges in application in class	18
Consumes personal time	15
Limitations in content	8
Others (venue, language setting of the materials, etc.)	13
None	48
Rating on how helpful the LAC was in equipping for teaching basic literacy	48
Very helpful	53
Helpful	0
Slightly helpful	0
Not helpful	
How LAC's support to professional development can further be improved*	25
Schedule more LAC sessions	15
Provide more facilitators and instructional materials	13
Continuous conduct of LAC sessions that are well-organized and managed	10
Assign more equipped/knowledgeable/hands on facilitators	10
More relevant and newer topics	15
None	15
No response	
Possible reasons to stop participating in the LAC	
None	65
Sick leave/Medical condition	10
No technical and facility assistance	10
If topics are redundant and useless	5
If LAC sessions are conducted on weekends	3
No response	8
Received assistance from a learning facilitator in the LAC	
Yes	80
No	20
Rating on how helpful the facilitator was in equipping for teaching	

basic literacy	
Very helpful	43
Helpful	38
Slightly helpful	0
Not helpful	0
Not applicable	20
How the facilitator's support to professional development can further be improved*	
Impart additional knowledge and teaching strategies	23
Adjusting session schedules and make them more comprehensive	10
Giving moral support	10
None	20
No response	20
Not applicable	20
*multiple responses	

Through the project, the participants were exposed to various approaches in equipping them knowledge on teaching basic literacy. They were then asked to rank these approaches into which is most useful to them (Table 8). Note that there was one respondent who did not have response in the questions, thus, not included in this table.

In terms of equipping for teaching basic literacy, most of the respondents still rank face-to-face training as most useful. Almost half of them indicated that the assistance of learning facilitators is the next most useful approach. This is then followed by the courseware-based learning and the LAC having high numbers of ranks 3 and 4, respectively. Such trend suggests that use of the digital courseware and LAC approach, while not necessarily replacing the significance of traditional face-to-face training, still can be presented as close alternative in promoting basic literacy teaching skills and professional development of K-3 teachers.

Table 8. Respondents' Ranking of Approaches in Terms of Usefulness in Equipping for Teaching Basic Literacy

Approach	Percent reporting (n=40)			
	Rank 1	Rank 2	Rank 3	Rank 4
1. Face-to-face Training	33	10	35	20
2. Courseware-based Learning	23	18	33	28
3. Learning Action Cells (LAC)	28	25	13	30
4. Learning Facilitators	15	45	18	20

1 = very useful; 4 = less useful

d. Participants' learning and behavior change

As for the perceived benefit in the participant learning and behavior, respondents were asked to rate their ability to teach basic literacy in the K-3 classroom before and after participating in the teacher development program (TPD). It is shown in Table 9 that before the TPD, only two respondents reported being able to design and **implement lesson plans and develop innovative and adaptive teaching strategies. But after TPD's** implementation, the number of respondents who gained the said abilities increased to 27 (68%). There were two teachers who did not report any chance and this is because they already had the highest rating before the intervention. Most of the teachers shared that as a result of their participation in the LACs and use of the courseware, they are now applying the new teaching strategies and differentiated activities they have learned.

Majority of the respondents (73%) indicated experiencing improvements in their teaching careers after their participation in the project. These improvements were mostly in their personal development and performance in the classroom. A few have even got promotion.

Table 9. Participant Learning and Behavior

Perceived Benefits	Percent Reporting (n=40)
Before the teacher development program (TPD)	
Zero to nil	5
Able to implement a basic lesson plan but recognize need to learn effective lesson plan design skills and teaching strategies	40
Able to design and implement a basic lesson plan and apply a few effective teaching strategies	48
Able to design and implement lesson plans and develop innovative and adaptive teaching strategies	5
After the teacher development program (TPD)	
Zero to nil	0
Able to implement a basic lesson plan but recognize need to learn effective lesson plan design skills and teaching strategies	5
Able to design and implement a basic lesson plan and apply a few effective teaching strategies	25
Able to design and implement lesson plans and develop innovative and adaptive teaching strategies	68
Rating without change	5
Other things able to do differently in the K-3 classroom now*	
New teaching strategies and differentiated activities	43
Teaching with more patience and deeper understanding	18
Integration of other topics into existing lessons	10
Became more creative, efficient and effective	10
Improved classroom instruction and management	8
Others	5
None	8
No response	3
Was there a change in teaching career	
Yes	73
No	25
No response	3
Type of change	
Personal development	43
Improvement in teaching strategies	23
Promotion	8
Not applicable	28
Other life changes experienced after attending the TPD*	
Personal improvements (became more creative, confident, productive, efficient and effective)	143
Able to know and apply appropriate teaching strategies	18
Teaching with more patience and deeper understanding	18
Others	3
No change	15
No response	5
Most significant change experienced as a participant*	
Personal improvements (became more creative, confident, productive, efficient and effective)	63
Teaching with more patience and deeper understanding	20
Able to know and apply appropriate teaching strategies	10
No change	10
No response	3

*multiple responses

5. Conclusion

In general, the project exceeded its target outputs. Moreover, the project was able to demonstrate through the pilots that utilization of digital courseware and LACs could be cost-effective and potentially sustainable **alternatives for the promotion of DepEd's TPD program on early literacy. By engaging its key partner and client, the DepEd, the project was successful in ensuring high participation and continued of target teachers.** While the project itself offers empirical evidence of knowledge and skill gains from its own evaluation activities (included in **the project's terminal report**), the survey conducted by this external review team was able to validate the immediate and intermediate outcomes from interviews with randomly sampled teachers.

The organizational structure of DepEd can be given much credit for enabling the success of the FIT-ED project. With regard to sustaining the gains and scaling the model out to the rest of the schools, continued partnership between the CSO and DepEd is key. CSOs may also take away from this case study the crucial role of partnership with government agencies for the enabling support in implementation of activities.

One challenge in the implementation of development interventions focused on knowledge and skills development is being able to balance the need for extensive coverage with resource limitations. As illustrated in the model of the FIT-ED project, it would be prudent to explore possibilities of expanding the portfolio of options that can address capacity enhancement needs of those being targeted. In this case, use of the digital courseware and LACs proved to be effective, though still by sampled K-3 teachers as alternative or complement to face-to-face training.

The capacity enhancement alternatives delivered by FIT-ED offer some sustainability value to the changes targeted for K-3 teachers in the Philippines. On one hand, the courseware makes available to teachers relevant material to enhance their teaching skills way after the project is completed. On the other hand, the success of LACs as venues for skills enhancement underscore the importance of collaborative learning among teachers, which the FIT-ED helped improve through this project. With the institutionalization of LACs further strengthened through the project, the capacity enhancement can be maintained in the years to come.

B. Resources for the Blind, Inc.

Title: Improved Braille Literacy among Adults with Visual Impairment

Resources for the Blind, Inc. (RBI) is non-government Christian organization that designs and implements programs aimed at enabling those with visual impairment to understand and reach their God-given potentials. RBI provides resources in the form of aids and services, which will enhance the spiritual orientation of blind Filipinos and in turn foster in them the desire and to make significant contributions to their own welfare and to that of others in society. RBI promotes braille literacy among blind adults in Mindanao, consistent with the international consensus that braille literacy provides better education and employment opportunities for blind adults.

Based on the assessment of the current braille literacy modules developed by RBI, most of their students fail to **achieve full braille literacy due to low learner motivation and teachers' lack of experience in teaching adult braille literacy.** There is no standardized assessment tool and adult braille literacy curriculum for teachers. In addition, none of the instructors have access to, or training in, new technology which could greatly enhance braille learning. The same challenges are faced by other adult braille literacy teachers nationwide, mostly based in local **government units' (LGUs) Persons with Disabilities Affairs Offices (PDAO) and in sites of the Department of Education's (DepEd) Bureau of Alternative Learning System (BALS).**

RBI has earlier set the overall goal of promoting and facilitating braille literacy among blind adults, thereby opening greater possibilities for their academic success and giving them better employment options. The specific project objectives were to: (1) design and administer an adult braille literacy assessment tool to establish baseline braille literacy rates; (2) develop, pilot and evaluate the Adult Braille Literacy Instruction Module (ABLM); (3) train trainers on ABLM; (4) equip centers with the appropriate braille technology and equipment to be used in implementing the ABLM; (5) educate 200 people with visual impairment in Mindanao and; (6) initiate the

formation of a National Braille Network (BrailleNet) to serve as a coordinating group for the promotion and advancement of braille literacy.

1. Theory of Change

Most of the vocational centers that RBI worked with in the past faced many challenges in servicing blind adults, e.g. lack of training on the part of the instructors, lack of facilities and equipment and the unavailability of instructional materials, greatly affected the delivery of services to the blind clients. The motivation and learning process of blind adults were adversely influenced. The project draws on the previous experience of RBI and addresses the needs of blind adults in Mindanao who were not knowledgeable in braille, who were not able to attend school and those who were newly-blinded.

From the evaluation team's appreciation, that project theorizes that Braille education of clients trained in the Alternative Learning System (ALS) program of the Department of Education (DepEd) or in the Persons with Disability Affairs Office (PDAO) program of the local government units in conflict-affected areas of Mindanao would improve literacy for many vision impaired adults in the area. The provision of facilities, the necessary equipment, assessment tools and instructional materials, as well as training of instructors to teach braille to blind adults would be necessary to attain desired outcome.

Two assumptions were considered in this evaluation: (1) Learners will commit to consistently attend learning sessions until completion of the module; and (2) local agencies will cooperate with RBI in the implementation activities.

2. Mapping of Input-Process-Output-Outcome

a. *Input*

Through the Philippine-American Fund Activity, RBI was able to produce braille literacy assessment tools. The grant also supported RBI in acquiring new braille technology and developing an Adult Braille Literacy Module (ABLM). The module is intended to address the need of most teachers in the target centers without formal training in teaching braille to adults. RBI implemented the project for 3 years from 2015 up to 2017 with a total budget of PHP9,951,416. Total disbursement rate (grant fund expenditures/LOP grant budget) is 96 percent, while the grant fund utilization rate (grant fund expenditure/fund received) is 102 percent.

b. *Process*

Stakeholders were identified to form the Braille Network to act as a coordinating body representing braille stakeholders nationwide in the promotion of braille literacy. One of the target partners in the implementation of the RBI project is the Persons with Disabilities Affairs Office (PDAO) in every province, municipality and city in target sites. Institutional partners from the public sector include the Center for the Handicapped in Cotabato City, Area-Vocational Rehabilitation Center III in Zamboanga City and the Alternative Learning System (ALS) of the Department of Education. One partner from the private sector is the Bukidnon Visually-Impaired Entrepreneur Incorporated (BVIE), a non-government, non-sectarian organization. After a series of consultations, MOAs were signed with institutional partners to facilitate implementation of RBI project in target communities.

A workshop was conducted to come up with an assessment tool for blind adults. The tool developed was based in Early Grade Reading Assessment (EGRA) and was modified according to the needs of the blind adults. With the help of trained assessors, the tool was used in the field for assessment of selected blind adults. The project also assembled Braille literacy experts to plan and design the Adult Braille Literacy Course, on which a total of 40 instructors were trained in teaching braille to blind adults. Among the instructors trained were ALS teachers who do not have prior experience in teaching braille. Half of the participants came from PDAOs and non-government organizations helping blind people in Mindanao.

Appropriate Braille technology hardware, software and materials, were placed in the 5 selected rehabilitation centers of DSWD and ALS. Trainings on use of the technology and other assistive devices were likewise

conducted. The project proceeded to identify blind youth and adults and enroll them in the 5 vocational rehabilitation centers of DSWD, PDAO, BALS and NGOs in Mindanao for the Adult Braille Literacy Module course.

c. Output

The project's accomplishments include the forging of institutional agreements with five centers for the implementation of the project. A total of 202 Braille modules were distributed by the project to learners, 50 copies of teacher's manual and 2,114 sheets of supplementary reading materials (ALS modules, reviewer, stories, vocabulary exercises, Magna Carta for PWD). The geographic location of the 202 adult blind learners who received reading interventions are presented in the table below:

Table 10. Distribution of ABLM Learners by Region

Region	Number of Learners
Region IX	51
Region X	62
Region XI	24
Region XII	43
Region XIII	19
TOTAL	202

There were 112 adults who underwent baseline assessment but only 80 were able to participate in the endline assessment due tendency of adult learners to move around the region for job opportunities, thereby hindering their progress in completion of the modules. The end-line assessment was conducted in the learning centers to ensure the presence of trained braille instructors. The assessment result were reportedly presented during the close-out conference. The geographic location of the 80 adult blind learners who completed end-line assessment are presented in the table below:

Table 11. Distribution of endline assessment participants, by region

Region	Number of Endline Assessment Participants
Region IX	24
Region X	35
Region XI	5
Region XII	9
Region XIII	7
TOTAL	80

d. Outcome

The RBI project set out to pursue improved braille literacy in the country, deemed to ultimately enhance economic and social well-being of persons with visual impairment. Essential to the attainment of such results is the stepping-up of capacities for Braille literacy assessment and instruction. Institutionalization of the advocacy for Braille literacy is also a key outcome of the project through creation of a coordinating body to help promote braille and assistive technology as instruments for literacy, information and communication of people with visual impaired.

3. Results and Discussion

A survey was conducted among the 33 visually impaired learners in Zamboanga City, Cagayan de Oro, Lanao del Norte, Misamis Oriental, Camiguin and Bukidnon. Most of the respondents are based in Zamboanga City (36%) followed by those residing in Cagayan de Oro (24%). The rest are scattered in adjacent provinces.

a. *Profile*

The average age of respondents is 33 years. Most of them are single (61%) and about half are female (Table 12). Most of the learners who responded to the question on educational attainment indicated having some elementary level education. The RBI project targeted mainly adult-aged school dropouts. When asked about their plans to come back to school, most of the respondents (39%) indicated wanting to go back to school. However, some 33% of them have no plans of going back to school due mostly to old age and preference to earn money instead.

Table 12. Sociodemographic Profile of RBI Respondents, 2019

Socio-Demographic Characteristic	Percent Reporting (n=33)
Average age	33
Civil status	
Single	61
Married	30
Separated	3
Widowed	6
Average number of household members	4
Sex	
Male	48
Female	52
Education	
Primary	24
Secondary	15
Tertiary	15
Post graduate	3
No response	42
Plans to return back to school	
Yes	39
No	33
Undecided	3
No response	24
Reason for not returning to school	
Financial problem	9
Old age	27
Difficulty in comprehension	9
Preferred to work than to study	5

b. *Awareness of the project*

Majority of the respondents reported learning about RBI's Adults Literacy Program from the Alternative Learning School System (ALS) under DepEd (45%), DSWD's Area Vocational Rehabilitation Center (AVRC) (9%) and the local government unit (9%) (Table 13). The institutional partnership of RBI with the two government agencies has facilitated the promotion and recruitment of adult learners into the learning program.

Table 13. Source of information of the Braille Literacy Program

Source of Information	Percent Reporting
AVRC	9
ALS	45
Neighbor	6
LGU	9
Cannot answer	18

Since recruitment for the literacy program commenced upon the development of assessment tools and the ABLM that served as reference material for instruction, most of the respondents learned about the project a year after **RBI's program started in 2015**. In Table 14 below, there were respondents who mixed up the RBI project with ALS activities from early 2000 to 2014.

Table 14. Year Attended the Braille Literacy Course

Year Attended the Braille Literacy Course	Percent Reporting
2001	3
2009	3
2011	6
2013	3
2014	3
2015	3
2016	36
2017	18
2018	9
Cannot recall	12

c. Participants' perspective of interventions

There were varying frequency of attendance to the Adult Braille Literacy Course. About one-third of the respondents reported coming to the venue for learning everyday while significant proportions attend twice (24%) and once a week (30%) (Table 15). Frequency is likely dependent on the type of delivery. In some areas, the instructor handling the course is a roving SPED teacher who cannot hold daily learning sessions when such require face to face teaching in which teachers visit the learners at home. In other areas, the course is part of regular learning activities for individuals with vision impairment in facilities like the AVRC where learners live in dorms. In cases where learners are brought to an ALS/SPED school, the frequency of sessions can be at least twice a month. **In other cases, remoteness of learners' residence from the learning venue can limit the frequency of meetings.** Each teaching session runs for an average of three hours a day.

Table 15. Number of Attendance to the Braille Literacy Course

Frequency	Percent Reporting
Everyday	33
Twice a week	24
Once a week	30
Twice a month	6
Cannot remember	9

The respondents reported encountering many challenges in attending the course. Most of those difficulties involved in the process of learning Braille. About 32% of the interviewees indicated challenges in memorizing the Braille alphabet system while 25% expressed difficulty in writing in Braille and 10% had a hard time understanding the Braille (Table 16). One learner shared that she was sighted before and just got into an accident thus learning Braille was a big challenge for her. Other notable challenges to the learners were financing their travel expenses from house to the learning venue and lack of consideration from public transportation drivers for PWDs. Despite these challenges, learners drew motivation from peers and a desire to learn.

Table 16. Challenges or Difficulties Encountered in Attending the Braille Literacy Course

Challenges	Percent Reporting
Difficulty in Transportation	6
Memorizing Braille Dots (Alphabet System)	32
Finances	23
Comprehension	10
Prioritization of work over school	6

d. Participants' learning and behavior change

The participants were asked to rate their ability to read and write in Braille before and after participating in the Adult Braille Literacy Course. Majority indicated having zero knowledge of Braille before attending the course. After completing the course, most of the respondents reported being able to read braille at a comfortable speed, with fluency and competency (Table 17). In terms of writing ability, majority (65%) remarked that they were able to write readable documents using Braille/word processing (Table 18).

Table 17. Rating for Reading Ability for Braille before and after the Course

Rating	Before Course	After Course
	Percent Reporting	
Zero to nil	76	12
Recognizes and understands use of alphabet, numbers, punctuations, etc. in Braille	15	70
Able to read braille at a comfortable speed, with fluency and competency	6	15
Can independently access curricular materials	3	9

Table 18. Rating for Writing Ability for Braille before and after the Course

Rating	Before Course	After Course
	Percent Reporting	
Zero to nil	79	9
Able to write readable documents using braille/word processing	15	64
Able to proficiently write in Braille writing skills by completing draft documents	3	15
Able to accurately complete a variety of written materials at post-high school level	3	12

In terms of the benefit of the Braille Literacy Course to their learning needs, majority (76%) of the respondents gave a positive response, **with 70% giving it a "Very Useful" rating** (Table 19). Some of the reasons provided by these learners is that the course enabled them to not only read and write in Braille but also to count, walk alone, communicate with other people and even use the mobile **phone**. **RBI's one project component is the mobility program** that provides training that is designed or develop the skills and concepts a blind or a visually impaired person needs to travel safely and independently through his or her environment. Some of the other reasons given by respondents were the boosting of their self-confidence and interest in higher education, employment and other pursuits

Table 19. Usefulness of Braille Literacy Course to your Learning Needs

How helpful was the Braille Literacy Course to your learning needs?	Percent reporting
Not Useful	6
Quite Useful	18
Useful	6
Very Useful	70
Total	100

e. Intermediate results

About 67% of the respondents reported that participation in the course led to improvements in their ability to get engaged in income generating activities. Of those already employed before participating in the course, 70% reported improved ability to find higher paying jobs or income earning activities (Table 20). Moreover, majority of the respondents indicated interest to further pursue informal learning (64%) and formal/higher education (58%). **There were also marked improvements in participants' interest to engage in social and civic activities, a similarly valuable gain in promoting welfare of PWDs.**

Table 20. Changes in **Respondent's Economic and Social Capabilities, 2019**

Change	Number (%)
Ability to get employed or engage in income generating activities	
1- Not at all	6 (18)
2- Improved a little	10 (30)
3- Improved significantly	12(37)
4- No response/NA	5(15)
If already earning, ability to find higher paying jobs or income-earning ventures	
1- Not at all	4(12)
2- Improved a little	12(37)
3- Improved significantly	11(33)
4- No response/NA	6(18)
Interest to pursue more informal learning	
1- Not at all	10(30)
2- Improved a little	8(24)
3- Improved significantly	13(40)
4- No response/NA	2(6)
Interest to pursue more formal learning (like higher education)	
1- Not at all	11(33)
2- Improved a little	2(6)
3- Improved significantly	17(52)
4- No response/NA	3(9)
Interest to engage in social and civic activities	
1- Not at all	3(9)
2- Improved a little	4(12)
3- Improved significantly	21(64)
4- No response/NA	5(15)

About 39% of the respondents reported a change in occupation after completing the course. Most of those changes were due to movements from unemployed status to getting a job as a massage therapist (69%). On average, monthly incomes for those 13 respondents have almost tripled, from an average monthly income of PHP1155 to PHP4554. Such improvement may also be attributed to other capacity development activities in the AVRC facility **where the course was facilitated. Given respondents' appreciation of the socioeconomic gains from the course** summarized in Table 12, we can still surmise that the Braille literacy program was contributory to the results on income.

4. Conclusion

In general, the project met target outputs as it facilitated braille literacy among blind adults in selected areas of Mindanao. Although there were clear challenges in ensuring sustained participation of the learners, the project still managed to reach its target number of learners. It demonstrated that knowledge gains from the Adult Braille Literacy Course can open opportunities for employment and financial independence as well as self-efficacy for persons with vision impairment. Moreover, RBI was successful in forming the Braille Network to act as a coordinating body representing braille stakeholders nationwide in the promotion of braille literacy. The project offers a few lessons that can inform future initiatives aimed at delivering solutions to relevant problems in communities.

As with FIT-ED, the success of RBI was propped on institutional partnerships with key agencies working with the target population. The learner mapping and recruitment efforts of coordinators from ALS-DepEd and AVRC-DSWD ensured that the expert-drawn assessment tools and learning modules of RBI would have adult learners enrolling in the program. Partner agencies and organizations from both the public and private sectors have rallied behind the project, ensuring that not only would the delivery of the course be sustained, but also that advocacy for promoting the welfare of the visually impaired be initiated. Sustaining and scaling out the gains from the RBI project rests upon the strengthening of such partnerships. As with lessons learned from the FIT-ED

project, CSOs need to recognize and tap into partnerships with government agencies for the enabling support in implementation of activities.

Finally, the completion of the RBI project leaves with its key partners not only learning materials can be utilized for the next few years but also a dynamic network of advocates who can sustain the promotion of literacy among the visual impairment members of the community.



Figure 1. Stylus used for Braille