



Republic of the Philippines  
*Republika ng Pilipinas*



Department of Social Welfare and Development  
*Kagawaran ng Kagalingang Panlipunan at Pag-unlad*

## Pantawid Pamilyang Pilipino Program



Philippine Conditional Cash Transfer

# Operations Manual



*Kaya ng Pinoy Tumawid sa Kaunlaran*

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## INTRODUCTION

Pantawid Pamilyang Pilipino Program is a poverty reduction measure of the Philippine government that focuses on human capital investment in the poorest of the poor households in the country. The Pantawid Pamilya is a developmental program that uses conditional cash transfers to poor households based on their compliance with verifiable conditions that have been identified and agreed upon by the beneficiaries.

The Pantawid Pamilya is modeled on conditional cash transfer programs (CCTs) that have been successfully implemented in Latin America, where experience has shown that investment in human development, particularly in education and health, vastly improve a country's chances of reducing poverty. CCTs have also been proven to positively impact effects outcomes such as increase in the enrolment of children in schools in Mexico, Colombia, Bangladesh and Turkey. They have also been proven to decrease the incidence of child labor among children aged 7 to 13 years old in Mexico and Nicaragua, lower the incidence of illness among young children as well as increase the utilization of health services among young girls in Honduras, and improve their nutritional status by increasing the average consumption rate in food expenditure.

In the Philippines, the Pantawid Pamilya serves as a vehicle for combating the poverty cycle in Filipino households. It is the flagship poverty alleviation project of the DSWD, and embodies its vision, mission, and mandate. It reinforces the role of the DSWD as the lead agency in championing social welfare and development, and achieving the country's Millenium Development Goals on poverty reduction and empowerment of the poor namely to: *(a) Eradicate Extreme Poverty and Hunger, (b) Achieve Universal Primary Education, (c) Reduce Child Mortality, (d) Improve Maternal Health, and (e) Promote Gender Equality.*

4Ps is anchored on the Social Welfare Reform Agenda of the DSWD through the National Sector Support on Social Welfare and Development Reform Project (NSS-SWDRP). It focuses on the more disadvantaged sectors of society by providing faster and better social protection through improved and appropriate models and programs.

***This Operations Manual (OM) is a "living document." If either Government or World Bank considers it necessary to introduce changes to this OM during the implementation of the program, both parties must discuss the proposed changes with the 4Ps NPMO. Changes must be agreed to in writing.***

# CHAPTER I

## PROGRAM OVERVIEW

### 4Ps Description

The *Pantawid Pamilyang Pilipino Program (4Ps)* is a poverty reduction strategy that provides cash grants to extremely poor households to allow their family members to meet certain human development goals. The focus is on building human capital in the poorest families (through investments in their health/nutrition and education) because low schooling, ill health and high malnutrition are strongly associated with the poverty cycle in the Philippines.

The Pantawid Pamilya provides social assistance in the forms of health and education cash grants which are conditional upon the compliance of the beneficiaries with specific verifiable behaviors such as pregnant women undergoing preventive health check-ups and receiving vaccinations, and of children aged three to five years old enrolled in day-care centers, and children aged 6 to 14 being enrolled in school and maintaining at least an 85% attendance.

As one of the various safety net programs that have been implemented in many developing countries aimed at breaking the poverty cycle, The Pantawid Pamilya addresses the issues of low education achievement, high levels of maternal and infant mortality rates, high malnutrition rate and high child labor rate.

### A. PROGRAM OBJECTIVES

The goal of the program is to promote the accumulation of human capital among young children to break the intergenerational cycle of poverty among poor households. Its objectives are

1. To improve preventive health care among pregnant women and young children
  - To increase growth and nutrition monitoring visits of infants and children under five years old
  - To promote complete immunization of infants and children under three years old<sup>1</sup>
  - To lower the incidence of illness of children five years old and below
  - To increase child growth and lower stunting among children 5 years old below

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<sup>1</sup> Based on DOH protocol, refer to page 4 of this chapter for complete list of required types of vaccination

- To lower the incidence of complications in pregnancy and maternal deaths
2. To increase the enrollment in and attendance rate of children in school
    - To increase the enrollment rate at the Day Care Program/Pre-school and Elementary/Secondary School levels
    - To increase the attendance rate of children at the Day Care/Pre-school and Elementary/Secondary school levels
  3. To reduce the incidence of child labor
  4. To raise the average consumption rate in food expenditure of poor households
  5. To encourage parents to invest in their children's (and their own) human capital through investments in their health and nutrition, education, and participation in community activities

## **B. TARGET BENEFICIARIES**

The beneficiaries of the program are the poorest households as determined by the use of the Proxy Means Test (PMT), a statistical formula that estimates household income through the use of proxy variables indicated in the household survey forms. The use of the Proxy Means Test serves as the main selection process of the program to achieve a uniform, objective and transparent means of identifying potential household beneficiaries.

The identified poor households are processed in a routine called Eligibility Check (EC) which validates the program eligibility of every household and selects the potential recipients of the conditional cash transfer.

### **1. Program Eligibility:**

Eligible households are those that have been found to meet the following criteria:

- Are located in the municipalities and barangays selected for the 4Ps program
- Whose economic conditions are equal to or below the provincial poverty threshold
- Have children aged 0-14 years old or have a pregnant woman at the time of registration into the program (Children aged 6-14 years old children must be in school)
- Are willing and able to commit to meet the conditions specified by the program

## C. PROGRAM CONDITIONALITIES

The specific conditionalities of Pantawid Pamilya on health, nutrition and education are as follows:

### 1. Health and Nutrition

#### a. Pregnant Household Member/s

Should visit their local health center to avail of pre- and post-natal care starting from the first trimester of pregnancy and accomplish the following activities:

- Have one pre-natal consultation each trimester during the course of the pregnancy
  - Have at least one blood pressure and weight monitoring measurement in each trimester during the course of the pregnancy
  - Attend at least one Breastfeeding Counseling Session prior to delivery
  - Attend at least one Family Planning Counseling Session prior to delivery
  - Avail of appropriate delivery services by a skilled health professional at the appropriate level of Basic/Comprehensive Emergency Obstetric Care (BEmOC/CEmOC) services. ***In case the supply side of BEmOC/CEmOC services are not available, delivery of pregnant women should be assisted by skilled health personnel.***
  - Avail of at least one post-partal care within the first six weeks after childbirth and attend the following sessions:
    - At least one Breastfeeding Counseling session within the first six weeks after childbirth
    - At least one Family Planning Counseling session within the first six weeks after childbirth

#### b. Children 0-5 Years Old

Members of the household who are 0-5 years old shall visit the City/Municipal Health Center to avail the following health services:

- Immunization with the following schedules :

**Table 1: Vaccination Schedules of Infants**

<i>Age of Child</i>	<i>Type of Vaccination</i>	<i>Number of Doses</i>
<i>Upon Birth</i>	<i>BCG</i>	<i>1 shot</i>
<i>6 weeks old</i>	<i>OPV</i>	<i>1st dose</i>
	<i>DPT</i>	<i>1st dose</i>
<i>10 weeks</i>	<i>OPV</i>	<i>2nd dose</i>
	<i>DPT</i>	<i>2nd dose</i>
<i>14 weeks</i>	<i>OPV</i>	<i>3rd dose</i>
	<i>DPT</i>	<i>3rd dose</i>
<i>0 month</i>	<i>Hepa1</i>	<i>1st dose</i>
<i>1 month after</i>	<i>Hepa 2</i>	<i>2<sup>nd</sup> dose</i>
<i>6 months after the first dose</i>	<i>Hepa 2</i>	<i>3<sup>rd</sup> dose</i>
<i>9 months</i>	<i>Measles</i>	<i>1 shot</i>

- Have monthly weight monitoring and nutrition counseling for children aged 0-2 years old (0-24 weeks)
- Have quarterly weight monitoring for 25 to 73 weeks old
- Have management of childhood diseases for sick children

**c. Children Aged 6-14 Years Old**

Children aged 6-14 years old receive deworming pills twice a year

**2. Education**

- a. Children aged 3-5 years old enrolled in Day Care Program or pre-school program and maintain a class attendance rate of at least 85% per month (still subject to evaluation/study)
- b. Children aged 6-14 years old enrolled in elementary and secondary schools and maintain a class attendance rate of at least 85% per month

**3. Family Development Session**

Even though the household grantee (mother) is not pregnant, as long as she has children aged 0-14 years old, she or her spouse shall attend Family Development Sessions at least once a month as part of the conditionalities of the program. The household grantee shall also ensure both their attendance in Responsible Parenthood Sessions and Family Counseling Sessions.

***The program prohibits the adding of new conditionalities by any of the stakeholders at any time during the implementation of Pantawid Pamilya. Any changes whatsoever in the conditionalities shall be subject to the approval of the 4Ps National Advisory Committee and the World Bank (for World Bank funded areas only).***

#### **4. Other Duties and Responsibilities of Household Grantees**

- a. Attend meetings and group sessions, and coordinate with 4Ps parent/mother-leader on concerns relevant to the 4Ps program such as the scheduled release of cash grants and activities being undertaken in the community
- b. Attend Family Development Education Sessions with the spouse and other related seminars for 4Ps beneficiaries
- c. Provide regular updates and accurate information to the 4Ps parent/mother leader on meeting the conditionalities of the program including any changes in the status of children in school, household composition and any queries or complaints
- d. Participate in community activities<sup>2</sup> promote and strengthen the implementation of 4Ps

#### **D. THE GRANT PACKAGE**

Eligible households shall receive anywhere from a minimum of PhP500.00/month to a maximum of PhP1,400.00/month (in households with a maximum of three [3] children eligible for the education grant). The health grant totals PhP500.00/month to a household with a pregnant woman at the time of registration and with children 0-14 years old. The education grant is PhP300.00/month per child to benefit a maximum of three children at any time provided they are aged 6 to 14 years old including the day care and pre-school children. These grants are released on a quarterly basis (every three months) to beneficiary household for the duration of their participation in the program, subject to their compliance with conditionalities.

##### **1. The Health/Nutrition Grant**

This package amounts to PhP500.00/month per household for a total of PhP 6,000 pesos per year. This is released every three months to beneficiary households for the duration of their participation in the program, subject to compliance. This grant is to improve the food consumption of beneficiary households, especially the high protein foods required by small children. It is also to provide a subsidy for the transportation expenses of mothers as they meet the health conditions of the program. This grant is a fixed amount and does not depend on the number of eligible children in the family.

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<sup>2</sup> Participation in community activities is encouraged; however, subject for approval or recommendation of the City/Municipal Advisory Committee (C/MAC) and Regional Advisory Committee (RAC). This is to ensure that no additional conditionality shall be imposed during the course of 4Ps implementation including that of contributing any amount for community projects unless otherwise approved and recommended by the C/MAC and the RAC.

## 2. The Education Grant

This package is PhP300.00/child per month for a total of PhP 3,000 for ten months. A maximum of three children per household is allowed. Children aged 3-14 years old who are enrolled in day care or pre-school, elementary or secondary school are the target beneficiaries of this grant. Where possible, priority, however, will be given to children who are in elementary education.

In the event that the child beneficiary of the education grant turns 15 during the school year, he or she shall continue to receive education grants until the end of that school year upon which he or she will no longer be part of the program. His or her slot will be given to any other children in the household who fall between the ages 6-14 years old. The next recipient/s will be the children in high school but below 14 years old, followed by children aged 3-5 years old who are enrolled in a day care program.

**Table 2: Summary of Grants for Different Types of Households<sup>3</sup>**

Types of Households	Health Grant Per Month	Education Grant Per Month	Health Annual Grant PhP	Education Annual Grant PhP	Total Annual Grant PhP
0-5 years old only	500		6,000		6,000
0-5 years old plus 1 child 6-14	500	300	6,000	3,000	9,000
0-5 years plus 2 children 6-14	500	600	6,000	6,000	12,000
0-5 years old plus 3 or more Ch. 6-14	500	900	6,000	9,000	15,000
1 child 6-14 years old only	500	300	6,000	3,000	9,000
2 children 6-14 years old only	500	600	6,000	6,000	12,000
3 or more children 6-14 years old only	500	900	6,000	9,000	15,000

### 1. The Household Grantee

Preferably, the grant recipient will be the *mother* who is responsible for childcare and sending children to school. If the mother is absent or no longer part of the household, the father shall be the household grantee. In case the father is absent or no longer part of the household, either

<sup>3</sup> Children 3-5 years old shall be added as beneficiaries of education grant if the maximum number of 3 children in education grant has not been filled up otherwise priority shall be given to children 6-14 years old who are in elementary and high school levels.

the grandmother or the grandfather will be the household grantee. In cases where parents and grandparents do not constitute part of the household, other guardians such as aunts and older sisters can be designated household grantees subject to verification, endorsement, and monitoring by the municipal social worker. Replacement of household grantee should be based on the household roster in the initial HAF survey

If there is more than one mother in the household, only one may be designated as the household grantee<sup>4</sup>. Based on the experience of other countries in implementing CCTs, women have been found to make better use of grant money by using it to purchase food and/or other necessities such as medicines, transportation to and from school, and school supplies.

## **2. Grant Transfer for Education and Health Grants**

Grants shall be transferred to the recipients electronically via the cash card program of the Land Bank of the Philippines (LBP), a government depository bank, on areas where LBP branches have automated teller machines. Where cash cards are not yet available or the LBP branch does not have automated teller machines (ATMs), on-site over-the-counter transactions or off-site over-the-counter transactions<sup>5</sup> shall be conducted.

Other modes of payment shall be explored in consultation and upon the approval of the Commission on Audit (COA) and other financing institutions of the Government as well as World Bank, to facilitate release of cash transfer to the beneficiaries.

## **3. Payment Termination**

Payments to grant recipients shall be terminated due to any of the following reasons:

- a. Non-compliance with program conditionalities (three times in a year) by the grant recipient
- b. The youngest child in the household has turned 15 (although the education grant shall continue until the end of school year)
- c. The program implementation period of five years has already been completed

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<sup>4</sup> The most responsible mother/member in the household shall be the household grantee in case there will be two or more families in the household subject for recommendation of the social worker in the municipality.

<sup>5</sup> This is subject for approval of the Land Bank of the Philippines upon consideration of the safety and peace and order situation in the area and overall cost in the conduct of off-site release of cash grants.

- d. Violation/s of program rules, e.g. the misuse of grants by the grant recipients or members of their households
- e. Any misrepresentation of 4Ps pertaining to the project implementation as set forth in this manual by the Local Government Units (LGUs) and other stakeholders shall be referred to the DILG or appropriate agency for appropriate action.
- f. Transfer of household beneficiaries in non-4Ps municipalities.

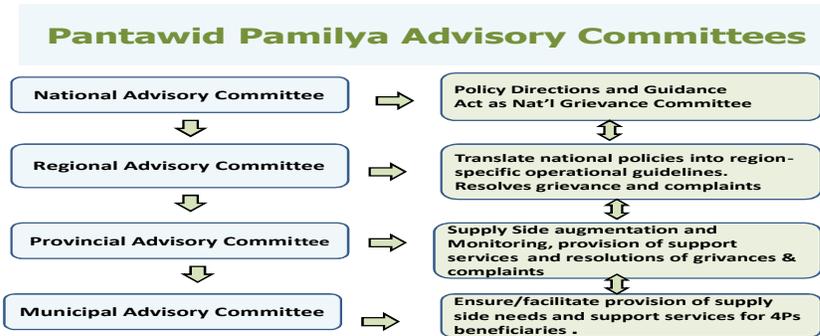
## CHAPTER TWO INSTITUTIONAL ARRANGEMENTS

Executive Order No. 221 of 2003 Amending EO No. 15, Series of 1998, entitled "Redirecting the Functions and Operations of the Department of Social Welfare and Development," mandates the DSWD to provide assistance to local government units (LGUs), non-government organizations (NGOs), other national government agencies (NGAs), people's organizations (POs) and other members of civil society in implementing poverty alleviation programs, projects, and services. Its goal is to empower disadvantaged individuals, families and communities and improve their quality of life through the implementation of programs which have been directly lodged with the Department but devolved to LGUs.

The DSWD has institutionalized the coordination and monitoring system on the devolution of its various projects, programs, and services such as the Pantawid Pamilya to LGUs and other partner agencies to ensure their effectiveness and sustainability.

To effectively implement the Pantawid Pamilya, Advisory Committees were created at the national, regional and municipal levels to enhance national ownership and promote joint efforts with partner agencies and local implementers. This is to ensure the availability of the supply side on health, nutrition and education, as well as to provide the necessary support services to meet the conditionalities for the success of the program as well as promote complementation of services with other stakeholders.

The creation of Advisory Committee at the national, regional and municipal level is stipulated in DSWD Memorandum Circular 09 Series of 2007 and Joint Memorandum Circular No. 01 Series of 2009 as amended by Joint Memorandum Circular No.2 , 2011, as follows:



The National Independent Advisory and Monitoring Committee (IAMC) composed of prominent persons outside of government was established to ensure that the program is being implemented in accordance with the said policies. Its establishment is aligned with the Department's policies on transparency, accountability, participation, equity and quality assurance.

The specific tasks of the Advisory committees and the corresponding membership are as follows;

#### **A. National Advisory Committee**

##### **1. Composition**

- a. Department of Social Welfare and Development (DSWD), Chair
- b. Department of Health (DOH), Vice Chair
- c. Department of Education (DepEd), Vice Chair
- d. Department of the Interior and Local Government (DILG), Member
- e. National Economic and Development Authority (NEDA), Member
- f. National Anti-Poverty Commission (NAPC), Member
- g. Department of Budget and Management
- h. Council for the Welfare of Children
- i. Philippine Commission of Women
- j. National Council for Indigenous People (as a special member of the NAC)

##### **2. Functions**

The National Advisory Committee shall have the following functions:

- a. To provide a forum for high level policy coordination that will ensure convergence and complementation of individual agency programs and services in Pantawid Pamilyang Pilipino Program areas;
- b. Approve interagency policies for program implementation in accordance with the mandates of the agencies concerned;
- c. Review operating plans and resolve all concerns and needs requiring interagency actions;
- d. Identify required interagency resource assistance that will ensure complementation and convergence of programs and services in target areas, ensuring that household beneficiaries are able to comply with all conditions set forth;
- e. Monitor progress in different sectors and propose changes where necessary;
- f. As the National Grievance Committee, decide on any and all grievances, queries, and complaints that are elevated to the national level; and
- g. Perform other program related duties and functions as may be deemed necessary by the oversight agencies.

## **B. NAC Technical Working Group (TWG)**

### **1. Composition**

- a. Program Manager, Pantawid Pamilya-DSWD, Chair
- b. Director for Planning and Director for Operations of the following agencies:
  - Department of Health (DOH)
  - Department of Education (Dep. Ed)
- c. Director for Bureau of Local Government Development, DILG
- d. Director for Social Development of, NEDA
- e. Deputy Executive Director, NNC
- f. Director Budget and Mngt. Bureau B, DBM
- g. Head, Localization and Institutional Development (CWC)
- h. Deputy Executive Director, PCW

The TWG members may be represented by a Division Head designated through an agency memorandum as the agency's permanent alternate member to the TWG.

### **2. Functions**

The Technical Working Group shall have the following functions:

- a. Provide advisory and technical support to the NAC in the formulation of appropriate and relevant guidelines, policies and strategies;
- b. Review program progress/evaluation reports and recommend policy enhancement as necessary;
- c. Monitor the compliance of concerned agencies to agreed actions and recommendations;
- d. Consolidate all inter-agency resource commitment to ensure convergence and complementation of resources in program areas;
- e. Facilitate the efficient information exchange among member agencies to ensure that the needed support to the program areas are considered in the preparation of individual agency plans and programs; and
- f. Perform other Program related duties and functions as may be designated/assigned by the National Advisory Committee

## **C. Regional Advisory Committee**

### **1. Composition**

- a. Regional Director, DSWD Field Office (DSWD), Chair
- b. Regional Director, DOH-Center for Health and Development (DOH-CHD), Vice Chair

- c. Department of Education Regional Office, Vice Chair
- d. Regional Director DILG Regional Office, Member
- e. Regional Director NEDA Regional Office, Member
- f. Regional Director DBM Regional Office, Member
- g. Regional Nutrition Coordinator, NNC Regional Office, Member
- h. Regional Director, NCIP

The Regional Directors may be represented by their Assistant Regional Directors or Division Head designated through an agency memorandum as the agency's permanent alternate member to the TWG.

## **2. Functions**

- a. Translate national policies to specific regional operating guidelines to ensure smooth implementation of the Program;
- b. Coordinate the implementation/operationalization of sectoral activities to better execute Program objectives and functions;
- c. As the Regional Grievance Committee, act on grievance and complaints elevated for resolution by the Provincial Advisory Committee;
- d. Refer to the National Advisory Committee all concerns needing higher level intervention or resolution.
- e. Ensure that supply side requirements for health and education are available at the target municipalities;
- f. Hold regular monthly committee meetings and special meeting as the need may arise to facilitate resolution of cases on grievances and complaints and meeting the supply side needs and requirements; and
- g. Prepare/submit monthly/quarterly accomplishment reports.
- h. Conduct regular validation visits and spots checks to the Pantawid Pamilya areas.
- i. Provide technical assistance to the provincial or municipal counterparts as needed.

## **D. Provincial Advisory Committee as the Provincial Grievance Committee**

### **1. Composition**

- a. Provincial Governor – Chairperson
- b. PSWDO– member
- c. Provincial Health Officer – member
- d. Provincial Health Team Leader – member
- e. Division Superintendent - member
- f. Provincial Planning & Development Officer – member
- g. Sangunian Panlalawigan rep as appropriate
- h. Provincial Nutrition Action Officer – member
- i. DSWD FO SWAD Team Leader – member
- j. Pantawid Pamilya Provincial Cluster Focal Person – Secretariat

- k. NCIP Provincial Officer (if applicable)

The Governor may designate a co-chair preferably the PSWDO

## **2. Functions**

The PAC is tasked to oversee the overall implementation of Pantawid Pamilya in the province and shall be responsible for fulfilling the commitments of the provincial government stipulated in the signed Memorandum of Agreement with the DSWD.

Specifically, the PAC shall have the following functions:

- a. Assist the DSWD Field Office in facilitating the submission of Supply Side Assessment;
- b. Monitor the availability of the required supplies, services and logistical support provided by the target municipalities to ensure that beneficiaries are able to comply with the conditions of the program;
- c. Recommend to the provincial government the provision of the necessary augmentation/logistical support to the municipalities particularly on supply side on health and education and the enrollment of the beneficiaries to Phil. Health program;
- d. Ensure that the required support to the municipalities is covered by appropriate funds support in the annual budget of the province;
- e. Monitor the compliance of the municipalities in the submission of compliance verification forms; grievance and redress and other reporting requirements;
- f. Provide technical assistance to municipal counterparts in the provision of support services and programs such as value formation and education, livelihood assistance, health and sanitation and organization of neighborhood groups to hasten Pantawid Pamilya's implementation;
- g. As the Provincial Grievance Committee, shall act on queries and complaints on non-compliance to Pantawid Pamilya's conditionalities elevated to the province for appropriate action;
- h. Refer to the Regional Advisory Committee all concerns needing higher level intervention or resolution.
- i. Assign a member to sit as representative of the province in the 4P's Regional Advisory Committee;
- j. Advocate to other partner agencies and other non-government organizations (NGOs), People's Organization (POs) and other intermediaries to gain support in the implementation of the Pantawid Pamilya program;
- k. Hold regular monthly committee meetings or as need may arise to facilitate resolution of cases on grievances and complaints and meeting the supply side needs and requirements.

- l. Conduct regular validation visits and spots checks to the Pantawid Pamilya areas.
- m. Prepare/submit monthly/quarterly accomplishment reports to RAC.
- n. Monitor the graduation/exit plan of beneficiaries as stipulated in the convergence strategy of the Department

#### **E. City/Municipal Advisory Committee**

##### **1. Composition**

- a. City/Municipal DOH Representatives
- b. City/Municipal Planning Officer
- c. City/Municipal Local Government Operations Officer
- d. District Supervisors
- e. City/Municipal Link
- f. City/ Municipal Budget Officer
- g. SB member as appropriate
- h. ABC President
- i. Municipal Nutrition Action Officer
- j. NCIP Community Service Center officer (for IP areas)

##### **2. Functions**

The C/MAC is tasked to oversee the overall implementation of Pantawid Pamilya in the city/municipality and shall be responsible for fulfilling the commitments of the provincial government stipulated in the signed Memorandum of Agreement with the DSWD.

- a. Ensure that education and health services required by the program are available and adequate for beneficiaries within the duration of the program;
- b. Facilitate the accreditation of its Rural Health Units (RHUs) to PhilHealth within the first year of program implementation. Provide the corresponding LGU counterpart funds for the enrollment of the household beneficiaries to PhilHealth for the entire duration of the program;
- c. Facilitate the designation of counterpart LGU Links that will assist the DSWD hired Municipal Links in the implementation of all Pantawid Pamilya activities in the city/municipality;
- d. Provide office space and other logistical support to the Municipal and LGU Links such as but not limited to office supplies, equipment and other paraphernalia for the period of program implementation;
- e. Ensure the establishment of an efficient recording system in all health and education facilities that will allow faster retrieval of compliance data and the timely submission of compliance reports;

- f. Review progress reports on verification of commitments and supply of services and produce actions as needed to improve program operation;
- g. Facilitate and address complaints, requests, of poor families concerned; and
- h. Hold regular monthly and special meetings to ensure timely resolution of implementation issues.
- i. Furnish the PAC with a monthly/quarterly MAC accomplishment report of the including issues and concerns.

### **Specific Roles and Responsibilities of Partner Agencies**

Implementing agencies are tasked to ensure the efficient and effective delivery of the program, thus the following roles and responsibilities are defined:

#### **3.1. Implementing Agencies**

Implementing agencies are tasked to ensure the efficient and effective delivery of the Program, thus the following roles and responsibilities are defined:

##### **3.1.1. Department of Social Welfare and Development (DSWD)**

DSWD as lead agency shall:

- a. Oversee and coordinate the implementation, monitoring and evaluation of the Program;
- b. Chair the Advisory Committee at the national and regional level;
- c. Jointly conduct assessment of supplies for health and education in partnership with concerned agencies;
- d. Identify target areas based on the existing data and select potential beneficiaries;
- e. Forge agreements with the LGUs to ensure availability of the supply side;
- f. Provide technical assistance to the regional, provincial, city/municipal level of the over-all operations of the program;
- g. Serve as repository of data and information about the program;
- h. Develop and implement grievance system for the Program, and
- i. Mobilize, manage and account program funds and resources.
- j. Prepare the Budget Operations Manual in Coordination with the Department of Budget and Management (DBM), Department of Finance (DOF), Department of the Interior and Local Government (DILG) and the Commission on Audit (COA).
- k. Monitor the implementation of the Program at all levels.

### **3.1.2. Department of Health (DOH)**

DOH as the principal health agency for the country, shall:

- a. Actively participate in the Advisory Committees at the national, regional, and city/municipal levels;
- b. Ensure that supply of health and nutrition services are available in Pantawid Pamilya target provinces/cities/municipalities and barangays.
- c. Augment the LGUs logistics needs to enable them to provide the supply-side for Pantawid Pamilya, including enrollment to Philhealth;
- d. Assign/designate a permanent staff to form part of the Pantawid Pamilya Technical Working Group at the national level, and Advisory Committees at the regional/provincial/city/municipal levels; and
- e. Help monitor program operations particularly on the compliance of the beneficiaries with the conditions for health.

### **3.1.3. Department of Education (Dep. Ed)**

DepEd which is mandated to provide basic education that is equitably accessible to all, shall:

- a. Actively participate in the Advisory Committees and Technical Working Groups at the national, regional, and city/municipal levels;
- b. Ensure that supply of schools, teachers and education materials are available in Pantawid Pamilya target provinces/ cities/ municipalities/ barangays;
- c. Assign/designate a permanent staff to form part of the Pantawid Pamilya Technical Working Group at the national level, and Advisory Committees at the regional/provincial/city/municipal levels; and
- d. Help monitor program operations particularly on the compliance of the beneficiaries with the conditions for education.

### **3.1.4. Department of the Interior and Local Government (DILG)**

To promote peace and order, ensure public safety, and further strengthen local government capability aimed towards effective delivery of basic services to the citizenry, the DILG shall:

- a. Actively participate in the National Advisory Committee and Technical Working Groups that may be created at all levels for the implementation of the Pantawid Pamilya;

- b. Encourage Local Government Units (LGUs) to incorporate pro-poor programs, particularly on the health, nutrition and education in their plans and budget;
- c. Assist the target LGUs in accessing resources that allow them to upgrade the basic health and education facilities and address the supply side gaps of the city/municipality; and
- d. Actively participate in the monitoring and evaluation of Program implementation specifically at the barangay level focusing on the ability of the LGUs to provide the required services.

### **3.2. Oversight Agencies**

In line with the mandate of oversight agencies to harmonize the implementation and complementation of Program activities between and among LGUs and partner agencies, the oversight agencies shall have the following roles and responsibilities:

#### **3.2.1. Department of Budget and Management (DBM)**

The DBM as an instrument in the achievement of the national socio-economic and political development goals shall:

- a. Actively participate in the Advisory Committees at the national and regional level;
- b. Ensure sound, efficient and effective management and utilization of government resources and Official Development Assistance (ODA) consistent with existing budgeting, accounting and auditing rules and regulations; and
- c. Assist the target LGUs in accessing resources that allow them to upgrade the basic health and education facilities and address the supply side gaps of the city/municipality; and
- d. Actively participate in the **physical and financial** monitoring and evaluation of Program implementation level focusing on the ability of the LGUs to provide the required services.

#### **3.2.2. National Economic and Development Authority (NEDA)**

The NEDA as the country's independent economic development and planning agency shall:

- a. Actively Participate in the Advisory Committees at the national and regional level;
- b. Ensure that plans and activities are focused on the achievement of its goals of contributing to the attainment of the country's commitment to the MDG and the Medium Term Development Plan;

- c. Assist in resource generation and monitoring and evaluation of the program implementation.

### **3.2.2. National Anti-poverty Commission (NAPC)**

The NAPC as the “coordinating and advisory body” that exercises oversight functions in the implementation of the Social Reform Agenda shall:

- a. Actively Participate in the Advisory Committee at the national level;
- b. Assign/designate a permanent staff to form part of the Pantawid Pamilya Technical Working Group at the national level;
- c. Provide data/statistics on poor families, nationwide; and
- d. Help monitor Program operations at the regional level.

### **3.3. Coordinating Agencies**

#### **3.3.1. National Nutrition Council (NNC)**

The NNC as the country’s policy making and coordinating body on nutrition shall:

- a. Actively participate in the Advisory Committees and Technical Working Groups at the national, regional, and city/municipal levels;
- b. Ensure that the Pantawid Pamilya program policies and guidelines on nutrition are aligned with existing national nutrition standards and government’s current thrust and directions for nutrition.
- c. Assist in the monitoring of program implementation particularly on compliance to nutrition related conditionalities.

#### **3.3.2. Council for the Welfare of Children (CWC)**

The CWC as the central coordinating agency of the Philippine government for children’s protection, welfare and development shall:

- a. Actively participate in the Advisory Committee and the Technical Working Group at the national level ;
- b. Ensure that rights and the best interest of children are considered in the crafting of Pantawid Pamilya program policies and guidelines.
- c. Assist in the monitoring of program implementation at all levels.

#### **3.3.3. Philippine Commission on Women (PCW)**

The PCW as the advisory body to the President and the Cabinet on policies and programs for the advancement of women shall:

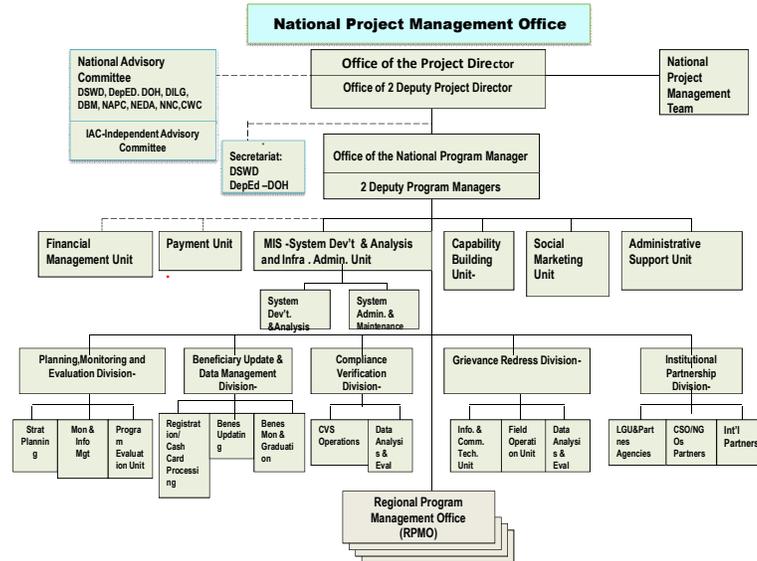
- a. Actively participate in the Advisory Committee and the Technical Working Group at the national level;
- b. Ensure that Pantawid Pamilya program policies and guidelines are in accordance with the government's gender and development plans and policies;
- c. Assist in the monitoring of program implementation at all levels

#### **The 4Ps National Project Management Office**

The primary responsibility of the 4Ps National Project Management Office (NPMO) is to execute all plans, policies, tasks and activities in the implementation of the program. The NPMO is within the structure of the DSWD and is headed by a National Project Director, who is assisted by 2 Deputy Project Directors.

The 4Ps Organizational Structure consists of units with technical staff representing several disciplines to ensure the efficient and effective operation of the program, even in the field. It has five key divisions responsible on the operation of key program systems and procedures and five support units which functions are closely coordinated to the bureaus and service offices of the Department.

The National Advisory Committee is at the level of the Project Director working and coordinating regularly with the respective Secretaries and heads of member- agencies. Likewise, a Secretariat has been created with the secondment of DOH, DepEd and DBM highly technical staff in compliance to the requirement of General Appropriation Act of 2011 to monitor program implementation. The Set up is as follows:



The 4Ps Project Management Office is composed of the following divisions:

### 1. Planning, Monitoring and Evaluation Division

The Monitoring and Evaluation Division is primarily responsible for the development and implementation of the monitoring mechanism in the implementation of 4Ps. It will also be involved in the evaluation of the program and in charge in the generation of data for use by the NPMO.

### 2. Beneficiary Update and Data Management Division

The Beneficiary Update and Data Management shall primarily be involved in the processing, review and approval of updates of household beneficiaries. It shall be focused on operationalizing the data management system at the central level and provide technical assistance and monitoring of Beneficiary updating system at the regional level including monitoring, maintenance and use of beneficiary data.

### **3. Compliance Verification Division**

The Compliance Verification Division is primarily involved in the implementation of the compliance verification system of the program through provision of technical assistance and monitoring focusing on strengthening the program procedures and mechanics at the central level up to the field level. It is involved in developing guidelines and policies on ensuring timeliness and accuracy of compliance results and active engagement of partner agencies in facilitating compliance verification.

### **4. Grievance Redress Division**

The Grievance Redress Division is in-charge of facilitating grievances and complaints of household beneficiaries and the community at all levels of implementation. It prepares detailed guidelines and instructions in responding to grievances and complaints on the program. It shall ensure the functionality of Grievance committees at the national, regional and provincial levels including provision of technical assistance and monitoring of field implementation.

### **5. Institutional Partnership**

This Division shall be primarily involved in assessing the condition of health and education systems and ensuring that the issues and gaps on supply side are met by key partner agencies – the Departments of Health and Education, and the Local Government Units through technical consultations, monitoring and evaluation.

This will also be involved in the coordination and engagement of partner agencies and other stakeholders for resource augmentation and technical support. This is the technical arm of the NMPO in establishing program network with international and local welfare agencies and donors including government agencies and steer the convergence of other social services to facilitate accessing of additional support services on 4Ps beneficiaries and their household members as mandated to government agencies delivering social programs for the poor.

The support units are as follows:

#### **1. MIS System Dev't and Analysis and Infra. Administration**

The Management Information System Unit (MIS) is primarily responsible for promoting the effective use of Information and Communication Technology (ICT) throughout the implementation of 4Ps. MIS plays a key role given the magnitude of the number of program beneficiaries. It maintains the 4Ps data base to facilitate payment and reflect verification of compliance, updates, and the resolution of grievances.

## **2. Capability Building Unit**

The Capability Building Unit shall be responsible for the development of training modules and conducting actual training programs to enhance the implementation of 4Ps, even in the field. The goal will be to equip program and field implementers, including partner agencies, with the knowledge and skills they need to ensure the efficient and effective implementation of the program.

## **3. Social Marketing Unit**

The Social Marketing Unit shall be responsible for the advocacy and marketing of the 4Ps from the national down to the barangay level. It will promote public acceptance of the program and generate support during its implementation. It will be responsible for developing and disseminating advocacy and marketing materials at all levels of program implementation.

## **4. Administrative Support Unit**

The Administrative unit is primarily responsible for the provision, maintenance and management of the logistical requirements in support of the operation of the NPMO.

The Unit shall be responsible for the procurement of goods and services and supplies needed by the NPMO, in coordination with the General Administrative Service of the Department. It shall also be responsible for record management and property maintenance, including coordinating communication and transportation.

## **5. Financial Management Unit**

The Financial Management Unit of the Pantawid Pamilya is in-charge of preparing and implementing budgetary plan for the implementation of the program. It shall be responsible on the management of utilization/disbursement of funds allocated at the regional and liquidation and reporting of the same to the central office.

The Financial Management Unit links directly with the Financial Management Service of the Department and under the supervision of the General Administration Service and Support Group

## **6. Payment Unit**

The Payment Unit shall be responsible in facilitating payment of grants based on the results of compliance verification. It will also monitor and ensure the conduct of over-the-counter payment and reconciliation of payment made to the household beneficiaries of the program.

**The Regional Project Monitoring Office**

The Regional Project Management Office is established in each region and is in-charge of the regional implementation of Pantawid Pamilya. The Regional Project Monitoring Office with technical support of the NPMO will provide support and technical supervision to make sure that all functions are carried out according to the OM and in an efficient and timely manner through having an extended field office at the provincial level and establishment of field implementers at the City/Municipal level.

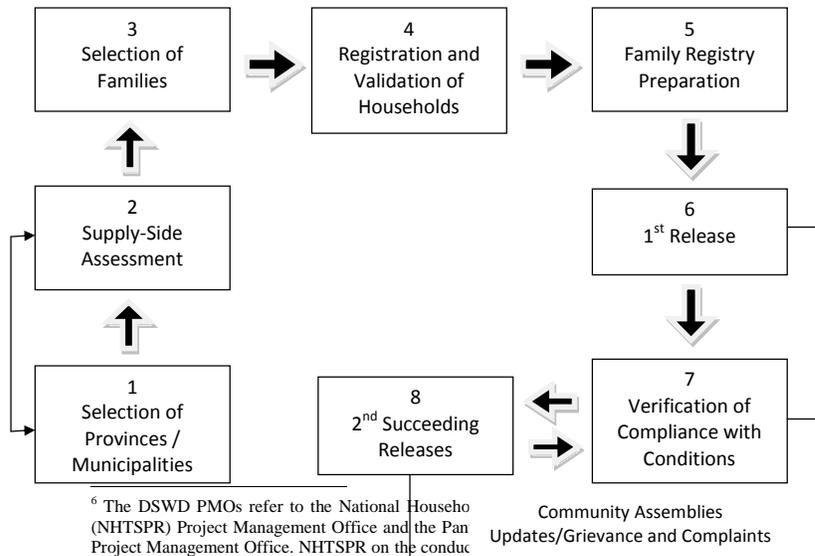
## CHAPTER THREE IMPLEMENTING PROCEDURES

The implementation of the Pantawid Pamilya follows an 8-step cycle beginning with the 1) selection of target areas; 2) supply side assessment; 3) the selection of household beneficiaries; 4) the registration and validation of beneficiaries; 5) the preparation of the Family Registry; 6) the release of the initial cash grant; 7) verification of compliance; and 8) the release of the second and succeeding cash grants.

Steps 1 to 3 cover the selection of target areas and households (demand side) based on the assessments of their eligibility, as well as of service providers (supply side). These are primarily the responsibilities of DSWD-PMOs<sup>6</sup> and Field Offices. Steps 4-6 focus on engaging the prospective households from registration to the release of the initial cash grant, all of which are undertaken by the DSWD in close coordination with the appropriate LGUs. Steps 7-8 cover the cyclical process of verifying compliance with conditionalities and the actual cash transfers themselves. Subsumed into the verification process and subsequent payments, which may also cut across all steps, are the holding of community assemblies and the operation of the 4Ps Grievance Redress System.

The 4Ps operation cycle is as follows:

**Chart 1: Operation Cycle of 4Ps Program**



## **Step 1: Selection of Provinces, Municipalities, Cities, and Barangays**

The Pantawid Pamilya adopts the selection criteria provided in the Operations Manual of the National Household Targeting System for Poverty Reduction. It follows a transparent and objective two-step process in the selection of program beneficiaries. The first step is the geographic targeting or selection of provinces, municipalities, cities, and barangays. The second step is the selection of household beneficiaries. The different steps include the following:

### **1.1 Selection of Provinces**

The selection of provinces is based on the official poverty statistics released by the National Statistical Coordination Board (NSCB). The latest Family Income and Expenditure Survey (FIES) conducted by the National Statistics Office (NSO) ranks the provinces nationwide according to the incidence of poverty. The National Project Management Office (NPMO) determines the cut-off targets at the provincial level.

### **1.2 Selection of Municipalities**

The selection of municipalities is based on the latest Small Area Poverty Estimates (SAEs) developed by the National Statistics Coordination Board (NSCB) within the selected provinces. Municipalities are likewise ranked according to the incidence of poverty. The NPMO then determines the cut-off targets or number of municipalities that will be covered by the program. This is usually based on the allocated targets or allocated budget per province.

### **1.3 Selection of Cities**

Cities are ranked based on a standard set of indicators. The NPMO determines the indicators as well as the cut-off targets. Data gathered based on the indicators established by the NPMO should be not older than three (3) years.

### **1.4 Selection of Barangays**

#### **a. In Municipalities**

All barangays within the selected municipalities shall be included.

#### **b. In Cities**

The cut-off targets or number of barangays or areas selected depends on allocated targets by the NPMO. The regional office submits the list of selected barangays or areas to the NPMO for confirmation.

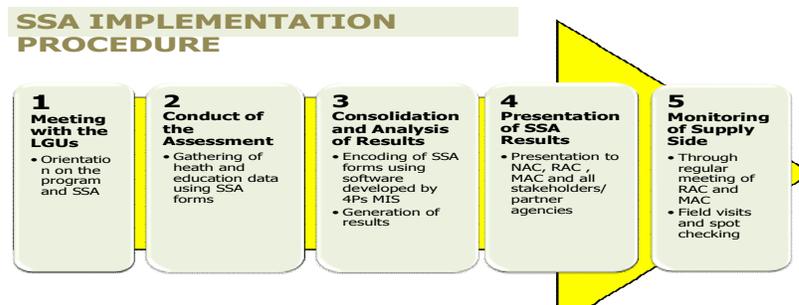
## Step 2: Supply-Side Assessment (SSA)

The supply-side assessment provides a framework for prioritizing, gathering, analyzing supply-side information on health and education and incorporating them into the design and implementation of Pantawid Pamilya. The objective of the assessment is to identify the likely impact that the program has on the provision of health and education services in a given municipality or city given conditionalities of the program. Pantawid Pamilya provides cash grants to families provided they comply with the conditionalities on health and education. The expected response is that families will visit health centers to avail of preventive health services and enroll their children in school, thereby posing an additional demand for health and education services, facilities, supplies and service providers.

The three main objectives of the conduct of supply-side assessment are as follows:

- a. Assess the present condition of health and education systems at the city/municipality and barangay levels
- b. Define the gaps and needs, if any, and their corresponding solutions and recommendations to enable the Pantawid Pamilya beneficiaries to meet the conditionalities of the program
- c. Secure the commitment of LGUs and key partner agencies on supply-side concerns

The supply-side assessment, therefore, aims to determine the readiness of the city/municipal local government units in providing for the possible increase in demand on both health and education. There is a need to inform partner agencies of the likely situation and to find solutions to help household beneficiaries meet the conditionalities of the program. The main process involved in the conduct of supply side assessment is as follows:



The following are the specific activities for the conduct of the supply side assessment:

### **2.1 Meeting with the Local Government Units (LGUs)**

Before the supply-side assessment is conducted, the LGU ideally receives an initial orientation by the Regional Project Management Office about Pantawid Pamilya Program. Next, they receive an orientation on how to conduct supply-side assessment which highlights the procedures and mechanics. The participants in the orientation with LGUs include the Local Chief Executives, City/Municipal Health Officer, the DepEd Division or District Supervisor, the City/Municipal Social Welfare and Development Officer, the ABC President and Sanggunian Bayan Chairman on Social Welfare.

### **2.2 Conduct of the Assessment**

#### **a. Supply-Side Assessment on Health:**

The supply side assessment on health will require all public health facilities in a target municipality or target area in a city to accomplish the supply side assessment form on health. The health personnel in-charge of the health facility shall be the one to accomplish the form.

The forms contain general information about the health center, staffing requirement, health services, and the availability of supplies, vaccines, and equipment. Every health facility shall complete the form with the municipal health officer, nurse or midwife as respondent.

The supply side assessment on health determines the following:

- Doctor ratio per population
- Nurse ratio per population
- Midwife ratio per population
- Availability of vaccines for children 0-5 years old
- Availability of services for pregnant women

#### **b. Supply-Side Assessment on Education:**

The Supply-Side Assessment Form on Education contains basic information about the school, the number of teachers assigned, the classroom area per student, the availability of BEC books, and other facilities in the school. The supply- side assessment on education covers all the elementary and secondary schools in the municipality or target barangays in a city. The elementary schools shall be consolidated separately from the secondary schools. The school principals shall be the main respondents of the SSA. The SSA will be validated and consolidated by the District Supervisor at the elementary level, and by the assigned representative for the high school level. (See SSA Form on Education, Appendix 3)

Key indicators in determining supply-side availability on education are as follows:

- Student-teacher ratio
- Student-classroom ratio
- Area per student ratio
- Student Textbook ratio (only BEC textbooks)
- Student Desk ratio
- Student to deworming ratio

These indicators will be used as proxies for school “quality” and “quantity.” School quality is measured by the pupil-teacher ratio (PTR), while quantity is measured by the number of (lower) primary schools.

### **2.3 Consolidation and Analysis of Supply Side Results**

For each of the indicators on health and education, three measures will be obtained. The first is the actual ratio (which is based on the data gathered using the SSA tools on health and education). The second is the estimated ratio (which is based on the estimated demand due to 4Ps). The third is the benchmark ratio (based on the official ratios of the DOH and DepEd).

- a. **Actual ratio:** This will be calculated based on the consolidated data for each of the key categories or indicators on health and education using the completed SSA tools on health and education.
- b. **Estimated ratio:** This will be calculated on the basis of expected increases in key indicators on health and education based on the implementation of Pantawid Pamilya in 2008.
- c. **Benchmark ratio:** This will be based on the standards provided by the Departments of Health and Education.

The supply side assessment reports on health and education in every municipality and city covered by the program shall be consolidated using the SSA software developed by the Pantawid Pamilya MIS. Finally, the gap is calculated as the difference between the estimated and benchmark ratios.

The Regional Office shall take note of gaps and issues identified based on the results of the SSA and will form part of the Memorandum of Agreement with the Local Government Units. Finalized consolidation will be submitted to the Pantawid Pamilya – PMO for final analysis and recommendations.

### **2.4 Presentation of SSA Results and Preparation of Memorandum of Agreement**

Consolidated results of the Supply-Side Assessments on Health and Education shall be presented to the LGUs by the ROs and the NPMO.

Key gaps and concerns shall be agreed upon and will form part of the Memorandum of Agreement (See Appendix 4) at the municipality level.

In the event that a barangay is not prepared to meet the supply-side requirements, the LGU will be given six months to address the problem/s. Only then shall the program be implemented in the said areas.

In municipalities/barangay where the supply side has been assessed as adequate, the regional office shall facilitate activities leading up to the implementation of 4Ps such as holding feedback consultation meetings with the LGU, and the preparation of the MOA.

The MOA shall be entered into between the DSWD and LGUs to formalize their partnership in the implementation of the 4Ps. The MOA shall define the roles and responsibilities of the DSWD as the lead agency of the program, and the LGU as the implementing unit.

In municipalities/barangays where the supply-side ready has been assessed as inadequate, a feedback consultation meeting will likewise be conducted to assist the LGUs in identifying possible actions to ensure eventual compliance with the conditionalities.

As major partners in program implementation, LGUs are required to honor the following commitments as stipulated in their Memorandum of Agreement (MOA) with the DSWD:

**a. The Provincial Government shall:**

- Provide logistical support to the municipality to ensure the effective implementation of Pantawid Pamilya, particularly on the supply side for health and education
- Organize an interagency Provincial Grievance Redress Committee to address complaints, queries, and cases filed in connection with the implementation of 4Ps in the province
- Serve as advocate to other partner agencies and non-government organizations (NGOs), people's organization (POs), and other intermediaries to gain support for the Pantawid Pamilya program
- Coordinate and assist the municipalities on a regular basis to resolve issues in program implementation
- Assist the municipalities in providing support services and programs such as value formation and education, livelihood assistance, health and sanitation, and the organization of neighborhood groups to facilitate program implementation
- Monitor program implementation at the municipal level in accordance with established rules, regulations, and procedures

**b. The Municipal Government shall:**

- Collaborate with the Departments of Health and Education to ensure that the health and education services required by the program are available, and ensure enrollment of the beneficiaries in the Philhealth Program
- Provide other logistical support including but not limited to office space and equipment for the city/municipal link for the duration of program implementation
- Designate a permanent focal person for the program
- Receive and send updates of household beneficiaries to the RPMO, including birth of children, change of address, change in the household grantee, and other information as specified in the manual
- Provide the RPMO with the information required to verify that household beneficiaries are indeed in compliance with the conditionalities of the program
- Review progress reports on the verification of commitments and supply of services and take action needed
- Address queries and complaints of families concerned
- Help promote and disseminate information on the program to different stakeholders
- Set up an interagency network to ensure the convergence of services and to serve as an advisory group in program implementation
- Perform regular monitoring and provide technical assistance to city/municipal links and parent leaders
- Shall be appropriately represented in the Provincial Grievance Redress Committee.

**2.5 Monitoring of Supply Side**

Monitoring of the supply side on health and education shall be conducted through the Municipal and Regional Advisory Committees throughout the implementation of the program. This may be done via regular meetings of the MAC, PAC and RAC and through field visits and consultations.

Spot-checking of the supply side shall be undertaken by the NPMO on a regular basis (once or twice a year) to enable beneficiaries to meet the conditionalities of the program.

**2.6 Sanctions for Non-Compliance on Supply Side and Program Suspension**

Municipalities that cannot comply with the supply side requirements on both health and education shall be closely monitored. Continued non-compliance on supply side requirements of the program will result in the termination of all program activities in those areas as stipulated in Article

VI of the Memorandum of Agreement (MOA) subject to the approval of the National Advisory Committee.

Any reported LGU violations shall be dealt with and due process shall be undertaken in accordance with the MOA and existing laws.

The program will be suspended in municipalities/barangays where after the inception of the program, the supply of services ceases to be adequate as indicated by:

- a. The failure to address any deficiencies in the barangay health and education services
- b. Education and or health complaints indicate that over 20% of households are unable to comply with program requirements due to the absence of teachers and or medical personnel
- c. The LGU ceases to collaborate with the program by the non-fulfillment of commitments made, including (but not limited to) (1) the non-designation of a focal person at the municipal level to assist the municipal link; and/or (2) not having office space in which to receive and process queries and updates from as well as complaints by program beneficiaries
- d. The misuse and misrepresentation of Pantawid Pamilya, including (but not limited) to (1) obtaining the favor and patronage of household beneficiaries for purposes other than the program's; and (2) imposing other obligations and conditionalities outside those stipulated in the implementing guidelines

### **Step 3: Selection of Households**

A two-step process shall be followed in the selection of households: The first will be the selection of poor households and the second, the selection of potential household beneficiaries.

#### **3.1 Selection of Poor Households**

The selection of poor households shall be conducted by the National Household Targeting System for Poverty Reduction Program (NHTSPRP). If the areas selected by Pantawid Pamilya have not been surveyed by the NHTSPRP, then Pantawid Pamilya shall coordinate with the NHTSPRP to ensure that its areas are covered by the survey.

In both cases, poor households shall be selected using the following steps:

- a. All households in the selected barangays/areas shall be surveyed using a two-page assessment tool. The Household Assessment Form contains all the variables included in the urban and rural Proxy Means Test (PMT) models. The regional offices shall hire

enumerators and field supervisors to ensure quality in enumeration (See Appendix 21). All completed household assessment tools shall be submitted to Regional Offices for encoding or computerized data entry.

- b. The NHTSPRP shall run the PMT, which will generate a ranking of households based on their estimated annual per capita income. The latest provincial poverty thresholds shall be applied as cut-off levels. All households with an estimated annual per capita income equal to or less than the latest provincial poverty thresholds shall be designated as poor and selected as potential poor households.

### **3.2 Selection of Eligible Household Beneficiaries**

The NPMO shall select eligible household beneficiaries from among the potential poor households (as determined by the PMT), namely poor households with pregnant women and/or those with children aged 0-14 years old.

- a. The list of beneficiaries shall be finalized after the validation conducted at the barangay level which shall include the verification of survey data and the signing of the contract, among others.
- b. Based on community assemblies, potential households validated to have pregnant women and/or children aged 0-14 years old shall be eligible for registration and enrollment into the program.
- c. Households that do not meet the eligibility requirements shall neither be registered/enrolled into the program, nor be entitled to replacements. Only those identified eligible household beneficiaries in the master list generated as a result of the Proxy Means Test shall be validated for registration and enrollment into the program.

### **3.3 Protocol for Disclosure and Confidentiality Rule**

Once the poor household beneficiaries have been selected using the Eligibility Check, a final listing of eligible beneficiaries shall be provided by the MIS to all regional offices. The names of eligible household beneficiaries will be arranged alphabetically by barangay and by municipality. The regional offices will coordinate with respective LGUs for the posting of these lists in conspicuous places for a period of one (1) week to give all members of the community sufficient time to find out who the eligible beneficiaries are and to confirm that those who have been selected are indeed poor. The time and place of validation in their respective municipalities and barangays will also be stated.

The set of indicators for both rural and urban PMTs shall be kept confidential at the NPMO to prevent leakages at any time during the program implementation.

#### **Step 4: Registration and Validation of Beneficiaries**

This is an important process in the program, as it will gather the potential beneficiaries in a pre-designated location in the barangay or municipality for validation and updating of household information. During this time, they will also receive an orientation about Pantawid Pamilya, be made to sign an Oath of Commitment, enrolled in the Landbank Cash Card Program, and processed for their Pantawid Pamilya ID cards.

This will be facilitated primarily by DSWD personnel and augmented by members of the interagency group or by the members of the MAC, PAC and other representatives of the LGU. The specific objectives of this step will be to:

- a. Orient the potential beneficiaries about the program, its conditionalities, as well as their other responsibilities as beneficiaries
- b. Verify, update, and complete the pre-registered family roster (for inclusion in the database)
- c. Validate household information of potential beneficiaries, make them sign in the Oath of Commitment, enroll them in LBP cash card program and issue them their Pantawid Pamilya ID cards
- d. Provide counseling, through the MSWDO, to those beneficiaries who were found to be ineligible for the program

The procedures in the conduct of registration and validations shall be as follows:

##### **4.1 Secure List of Potential Beneficiaries**

The Regional Offices secure the lists of potential beneficiaries from the PMO, as generated from the main database. The surnames on these lists are grouped according to barangay, and appear in alphabetical order. This process is to be completed within one week through the Regional Information and Technology Officer (RITO).

The Regional Offices then forward a copy of this list to the Local Chief Executives (LCEs) through the Municipal/City Social Welfare Office along with the request for an immediate consultative meeting wherein the manpower and logistical requirements of registration and validation will be discussed.

#### **4.2 Posting of the List of Eligible Beneficiaries and Announcement of Time, Date and Venue**

The Provincial Operations Office coordinate with respective LGUs/MSWDOs for immediate posting of the lists of eligible beneficiaries in conspicuous places for a period of one (1) week to give all members of the community sufficient time to find out who the eligible beneficiaries are and to confirm that those who have been selected are indeed poor. The time and place of validation in their respective municipalities and barangays will also be stated.

Posting of the Eligibility Check results can be done in the Mun./Brgy. Hall, Social Hall/center, Sports Complex, Public Bulletin Board, Public Plaza, Day care center and schools.

Proper announcement shall be ensured in the barangay to inform all eligible households of the schedule of the conduct of Community Assembly specifying clearly the date, time and place and the need for them to personally attend the said activity. This announcement must also inform the eligible households to bring with them during the Community Assembly supporting documents for validation and updating purposes. This will include marriage license, birth and/or baptismal certificates of their children and certificates of enrollment all school-age children.

Barangay officials, community leaders, and volunteers can be mobilized to make follow-up announcements especially to those beneficiaries who may be residing in highly remote areas of the municipality or barangay.

#### **4.3 Coordination Meeting with the LGUs**

Coordination with the LGUs concerned should be undertaken for the following reasons: To

- a. Orient them on the process involved in the registration and validation of potential beneficiaries, emphasizing that only those whose names appear on the list will be expected to attend the assembly. Those whose names do not appear in the list will not be accommodated.
- b. Explain and emphasize their accountability in the conduct of validation and registration of eligible household beneficiaries.
- c. Solicit their support in providing additional manpower and logistical support for the activity in such forms as but not limited to the following:
  - Sound System
  - Tables (At least 16)
  - Chairs (At least 50)
  - Plain white cloth (to be used as backdrop during picture-taking)

- Electric fans
  - Blackboards/Chalks
  - Wipe cloth/eraser
- b. Discuss the requirements of the activity: Agree on a schedule, identify and recruit volunteers and officials for identification of potential beneficiaries, crowd control and the maintenance of peace in order during registration.
- c. Decide on an appropriate venue for the activity, taking into consideration its proximity of the location of the beneficiaries, its capacity, and the availability of electricity to facilitate computerized validation. Also, the Regional Offices should already prepare the following supplies and equipment one week prior to the scheduled activity:
- Oath of Commitment Forms (*Kasunduan*): Two (2) copies for each potential beneficiary
  - Land Bank Enrollment Forms: One (1) 1 copy for each beneficiary
  - At least six (6) illustration boards (4" by 8" for the name tags, large enough to be visible when placed at the chest level of the household beneficiary during the picture-taking)
  - Chalk or whiteboard markers (24 pieces)
  - Camera with extra batteries or charger
  - Visual aids on 4Ps for the Orientation Validation Forms: One (1) per beneficiary in the case of manual validation
  - LCD/Laptop: 11 to 15 units, including the server
  - Table markings and map of activities to be completed in registration and enrollment in the 4Ps

***Emphasize to the LGU the need to come up with a 100% attendance rate of the potential beneficiaries (i.e. mothers) as this is the final step for their inclusion in the program. Timely coordination and explicit instructions to the LCE, particularly the barangay chairperson, is necessary to achieve this.***

The Pantawid Pamilya Provincial Operations Office shall ensure invitation of Provincial LGUs and partners to assist and witness the registration and validation. Other volunteers, NGOs, civic and faith based organizations may also be invited to participate in the said activity.

#### **4.4 Orientation and Organization of Working Teams**

The Regional Offices, in close coordination with the MSWDOs, shall organize a local team to be composed of at least ten (10) persons to perform several tasks, such as accepting and registering the potential household beneficiaries as they come, validating them, etc. The number

of team members may vary depending on the following factors such as the

- a. Number of barangays
- b. Number of potential beneficiaries identified
- c. Distance of the barangays from the town proper,
- d. Period or number of days required to conduct the assembly for a particular municipality

The Provincial Operations Office and the field staff at the city/municipal level shall facilitate the orientation to the members of the working team on the registration and validation procedures, and provide them with basic interviewing tips and techniques including providing hands-on/demonstration on registration and validation procedures.

The following are the tasks and the minimum number of persons required:

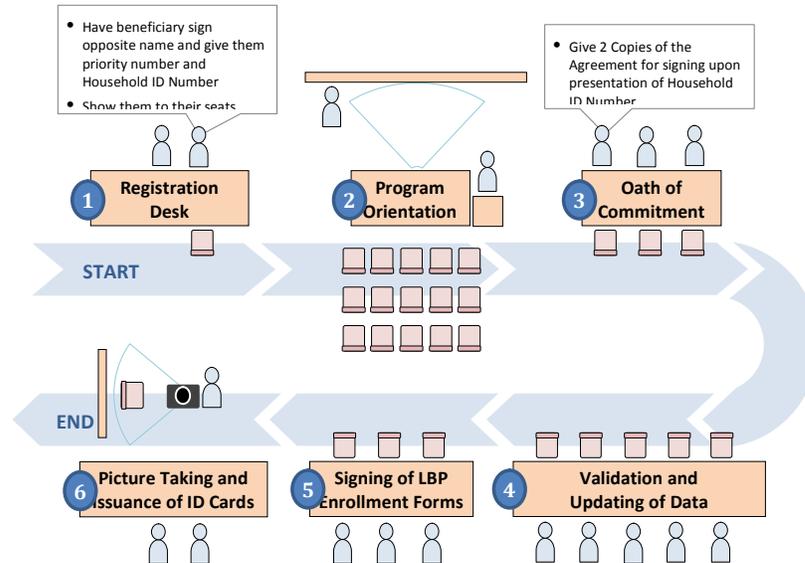
<b>Tasks</b>	<b>No of Persons</b>	<b>Source/ Agency</b>
Registration	1	LGU
Orientation	1	DSWD
Oath of Commitment	1	DSWD
Validation/Updating of Data	5	DSWD or Contractor
Land Bank Enrollment	1	Partner Agencies
Picture Taking/ID Issuance	1	LGU/DSWD
Complaints & Counseling Desk	2	DSWD/MSWDO
Marshalls/crowd control	2-3	LGU/other volunteers

The above team can process 200-300 households a day at the rate of 40 grantees per validator. In the hiring of validators, the following criteria should be met:

- a. Willingness to travel to far-flung areas by any means of transportation available
- b. Willingness to work overtime and during weekends
- c. College graduate
- d. Basic interviewing skills
- e. With positive attitude towards dealing with different persons
- f. Basic computer skills

## 4.6 Registration and Validation Activity

The following diagram illustrates how this activity will be conducted:



### a. Registration of Eligible Beneficiaries

Eligible household beneficiaries sign on the registration form as they arrive and are given a route slip, priority number and their household ID number, along with instructions to present the priority number to the person who will be assisting them. Once they are registered, the eligible beneficiaries will be asked to sit in the orientation area. The Person/Team in charge for the registration must be ready with the Eligibility check list, Route slip, Pen, Paper, and Stamp pad.

### b. Orientation on Pantawid Pamilya

The Regional Focal Person provides a simple yet thorough discussion of the program, with emphasis on the health and education conditionalities as well as the other responsibilities of 4Ps beneficiaries.

An open forum may be conducted to address any queries or requests for clarification.

**c. Validation of Household Data**

The RPMO validates household information manually, using the validation form, or electronically, if electricity and an internet connection are available. The household information contained in the database is verified for accuracy based on the presented documents. This includes the correct names of household members, their birthdates and ages, and the attendance to day care or pre-school and elementary and high schools of children aged 0-14 years old.

Eligible households validated to have pregnant women and/or children aged 0-14 years old shall be eligible for registration and enrollment into the program. Households that do not meet the eligibility requirements shall neither be registered/enrolled into the program, nor be entitled to replacements. Only those identified potential household beneficiaries in the master list generated as a result of the Eligibility Check Result shall be validated for registration and enrollment into the program.

As a general rule, the adding of names to the family roster is not allowed, and in cases where the mother or household grantee was pregnant at the time of the survey and gave birth after the survey, this shall be applied through the Beneficiary Updating procedures.

**d. Signing the Oath of Commitment**

Eligible beneficiaries are made to sign an Oath of Commitment if they agree to the program conditionalities. This is proof that they agree to comply with all the conditionalities of the program..The Oath of Commitment shall be accomplished in duplicate: One copy will be forwarded to the NPMO while the other will be retained by the beneficiary.

**e. Enrollment in the LBP Cash Card Program**

Eligible beneficiaries will be enrolled in the Landbank Cash Card program. The person in charge must first ensure that the Oath of Commitment has been properly signed in duplicate.

In accomplishing the LBP form, ensure that only the cardholder information portion and waiver shall be filled up by the eligible beneficiary. The purchaser portion shall be accomplished by the DSWD Regional Director, who will affix his or her signature as the duly-authorized representative of the DSWD.

It must be ensured that the eligible beneficiary's correct name is printed legibly on the cardholder information portion, as this is

what will appear on the actual LBP cash card. The mother's maiden name (i.e. her surname when she was still single) should also be supplied for the bank's future reference.

The signature of the potential beneficiary should be the identical to that on the Oath of Commitment as this will appear on the Pantawid Pamilya ID. Any discrepancies in the signatures might delay the release of cash cards to potential beneficiary.

***As a general rule, the responsibility of managing the grant is given to the mother. But in her absence, replacement can be done based on the household roster in the initial HAF survey conducted, in the following order of succession:***

- ***Father***
- ***Grandparents***
- ***Aunt or Uncle***
- ***Guardian***

***In case of orphaned children below 18 years of age, the responsibility may be given to oldest sibling subject to the guidance of the local social welfare officer.***

***Home validation is required in exceptional cases such as when the mother has just given birth or is ill. The enrollment of the father as the household grantee should only be considered when the mother is absent or ill and will not be capable to perform the responsibilities of a household grantee.***

**f. Picture-Taking**

The RPMOs, together with the working team, will be responsible for taking the ID pictures of each and every household beneficiary. Once this has been completed, the potential beneficiaries should sign the ID card bearing their unique household number. As much as possible, the ID cards must be released on the actual day of community assembly, and it is important also that somebody from the local government unit or the barangay should be present to witness the ID capture of the beneficiary to establish and confirm the identity of newly enrolled beneficiaries.

If the ID will not be released to the beneficiaries on that day, the beneficiaries may be asked to return home as they will just be informed of the scheduled release of their ID and Cash Cards by the Municipal/City Link in coordination with the Municipal/City Social Worker.

All Pantawid Pamilya ID templates issued to the focal person or city/municipal link shall be accounted fully after the community

assembly. An inventory of unused ID shall be reported and returned back immediately to the Regional Project Management Office after the conduct of community assembly.

***Preparing to Take ID Pictures:***

***Prepare a 4" x 12" piece of illustration board and cover it with plastic. Prepare one box of whiteboard markers. Taking of pictures may be done individually or in groups, provided that each of the beneficiaries has their own 4" x 12" piece of illustration board with their names and household ID numbers clearly written on them and placed against their chest.***

**g. Complaints/Counseling Desk**

A complaints desk manned by a regional staff member and the M/CSWDO shall be set up to respond to queries and requests for clarification, such as inclusion and exclusion errors. The Municipal/City Social Worker should coordinate with barangay officials or as much as possible must be present during the community assembly to confirm clarifications that will be made by the M/CSWDO.

All issues and complaints at the time of community assembly should be documented and validation visits to the household beneficiaries, undertaken immediately so the appropriate reports can be filed with the Municipal Advisory Committee for appropriate action.

**h. Other Validation Requirements**

The registration and validation of beneficiaries should be computer-based. Only in exceptional cases such as the following will manual validation be allowed:

- Area has no electricity, and the possibility of clustering with another barangay is not possible
- Bringing a computer into the area will pose a security risk
- Area is inaccessible and is without electricity, but is home to a large number of potential beneficiaries

The manual validation results should be entered into the 4Ps database within 24-48 hours from the time that access to internet connection is achieved. One week after the successful completion of validation in a municipality, the Landbank Forms and the updated database should be sent to the NPMO for processing and uploading into the main database.

***Delisting of Household Beneficiaries***

**The following households shall immediately be delisted upon validation of any of these cases:**

- **No pregnant mother or children aged 0-14 years old**
- **Transfer of residence to a municipality outside the area of program coverage. Transfers of residence to a municipality within the area of program coverage shall be endorsed for re-assessment to validate eligibility in the new address.**
- **Transfer of children's residence to a municipality outside the area of program coverage.**

**i. Grace Period for Registration of Eligible Beneficiaries**

Eligible beneficiaries who were unable to attend the scheduled registration process (i.e. Community Assembly) shall be given another three weeks to validate household information, sign Oath of Commitment, enroll in LBP cash card program and issue Pantawid Pamilya ID cards to those unable to attend the scheduled registration process

Registration is done through the Municipal Social Welfare Development Office (MSWDO). Failure to do so shall result in the deletion of their household from the list of beneficiaries. Grace period is given to provide time for counseling, through the C/MSWDO, GRS Focal to beneficiaries who were found to be ineligible for the program.

**j. Replacement**

As a general rule, the responsibility of managing the grant belongs to the mother. In her absence, replacement must be based in the household roster in the initial HAF survey conducted in the following order of succession:

- Father
- Grandparents
- Aunt / Uncle
- Guardian

In case of orphaned children below 18 years old, the responsibility may be given to the eldest sibling, with guidance from the local social welfare office.

**Step 5: Finalization and Issuance of the Family Roster (Preparation of the Final List of Validated and Registered Household Beneficiaries)**

After registration and validation, the Provincial Link, with the assistance of the Municipal/City Links, shall generate the Family Roster (i.e. Monitoring Form 1: Master List) of validated beneficiaries using the information from the regional server and list of beneficiaries disaggregated by category and age group (i.e. Monitoring Form 3 Education: Children Aged 6 to 14 years old and Monitoring

Form 4 Health: Pregnant Mothers and Children Aged 0-5 years old and 11 months). Copies of the Family Roster should be sent to the LGUs through the M/CSWDO. Inform the M/CSWDO that formal requests for use of the said roster by other organizations such as NGOs will be made according to the protocol on data sharing.

#### **Step 6: Initial Release of Grant Transfer**

The following specific steps shall be undertaken in the generation and processing of payroll for the payment of grants to the beneficiaries:

##### **5.1 Request for Grant Transfer**

The NPMO requests the Payment Unit, under the supervision of the Financial Management Officer (FMO), to generate a payroll for a specific area. The PMO then creates and prints out the payroll report and summary. The initial payroll report generated per area will include the account numbers assigned to the household beneficiaries.

The Cash Division then verifies that the account numbers are assigned to the correct cash card holders. Any corrections will be made to the same report and countersigned by the Cash Division before being returned to the MIS for implementation and updating of the database.

##### **5.2 Preparation of Financial Data Entry System**

The Payment Unit emails the FinDES (FINancial Data Entry System) Import File created in Step 3 to the Cash Division, which then checks the FinDES Import File to confirm that the amounts coincide with those on the payroll summary. Any discrepancies will have to be verified and corrected by the MIS and the payroll report, reprinted.

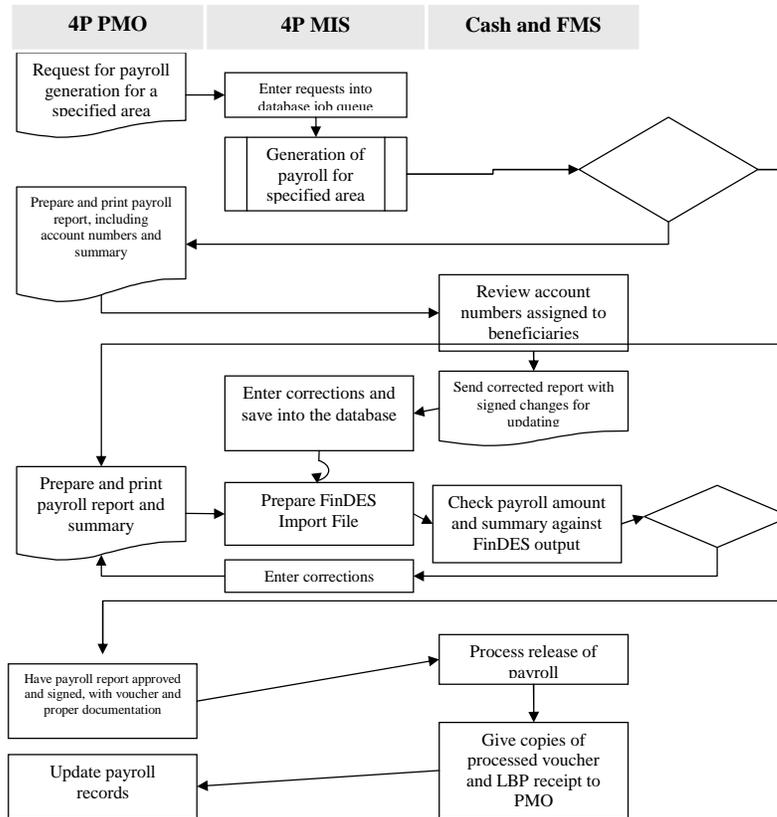
##### **6.3 Preparation of Voucher**

The FMO prepares the voucher and other documentation of the payroll. The payroll report and summary are then submitted to the Project Director and the Project Manager for their approval and signature, and then to the Financial Management Service for processing.

##### **6.4 Payroll Release and Coordination**

The Financial Management Service and Cash Division, in coordination with the FMO, process the release of the payroll. The Cash Division sends a Letter of Request with the appropriate attachments to the Landbank of the Philippines. The Cash Division forwards copies of the approved voucher and both the receipt and Notice of Release of Funds from Landbank to the PMO for their reference.

The following chart diagrams the basic steps in the processing of the payroll:



The corrected data will be forwarded to the LBP by the Payment Unit and will be processed within three working (3) days. LBP will then process the list of household grantees for account number generation for another three (3) working days, and send the completed information back to the NPMO after two (2) days. Upon receipt, the Payment Unit will upload the account numbers into the database within three (3) days. The payroll will then be prepared, and a report generated for approval by the Program Manager and Program Director and an import file created for the FinDES within five (5) days. The Cash Division checks the FINDES Import File for any discrepancies within the next five (5) days. If no errors are found, then total

amount is sent to LBP within three (3) days. The total processing time should not exceed twenty-four (24) working days.

#### **Notes**

- *Only registered and encoded households in the database will be included in the payroll*
- *Computation of the amounts of the cash grant will be based on criteria provided for*
- *Any corrections to discrepancies found in the amounts of the cash grant, particularly with low entitlements, will be applied retroactive, pending recommendation from the grievance and approval by the National Advisory Committee.*
- *All payments will be bi-monthly through ATM, over-the-counter transactions or through other conduits.*

#### **Notes on the Proxy Means Test and Selection**

- *The 4Ps - PMO requests a Proxy Means Test and selection of recipients to the National Household Targeting System –Project Management Office upon completion of household survey in target areas of Pantawid Pamilya*
- *The Pantawid Pamilya - PMO requests a Proxy Means Test for the selection of poor households to the National Household Targeting System –Project Management Office upon completion of household survey in target areas of Pantawid Pamilya*
- *The requests are then entered into a database job queue for processing by the NTHS-PMO*
- *The requests are then merged into the Pantawid Pamilya database for queuing in the Eligibility Check routine for the selection of potential household beneficiaries.*
- *After the PMO has verified that encoding for a specified area is complete, the database is locked to prevent any further changes that could cause conflicts in the system*
- *Pending Proxy Means Tests and Selections are then run, according to queue schedules*
- *Pending Proxy Means Tests and Eligibility Check are then run, according to queue schedules*
- *The results are then summarized into reports which are emailed to the Pantawid Pamilya –PMO for review and dissemination*
- *Cut-off or deadline in running the PMT and Eligibility Check. The PMT and EC is run for every new target area and shall be run upon completion of encoding of 100% target household beneficiaries.*

## Step 7: Verification of Compliance

Compliance verification shall encompass all beneficiaries: Grantees, pregnant members of the household, and children aged 0-14 years old who are sons and daughters and grandsons/daughters chosen using the selection formula provided earlier. It will be conducted on a regular basis using simple and easy to follow verification tools available over the DSWD WAN (Wide Area Network).

The focus of verification is attendance, which in this context means that the beneficiary has been availing of the health services in accordance with the prescribed requirement from the NPMO -has been attending 85% of the school days for the period verified, availed of deworming and attending family development sessions.

Areas for verification shall include:

### a. Health

Health grant is applied to beneficiaries who are pregnant (during the survey); and children/grandchildren of the head of the family who are 0-14 years old.

- Pregnant Women must receive pre- and post-natal care, and be attended during childbirth by a skilled health professional.
- Children aged 0-5 years old must receive regular preventive health check-ups and vaccinations
- Children aged 6-14 years old who are enrolled in elementary level must receive deworming pills twice a year;
- Compliance to health grant as basis for payment *requires that all conditions on health are satisfied* (i.e., check-ups for qualified pregnant mothers, age-appropriate protocols for 0-5, deworming for 6-14 and attendance to Family Development Sessions.

### b. Education

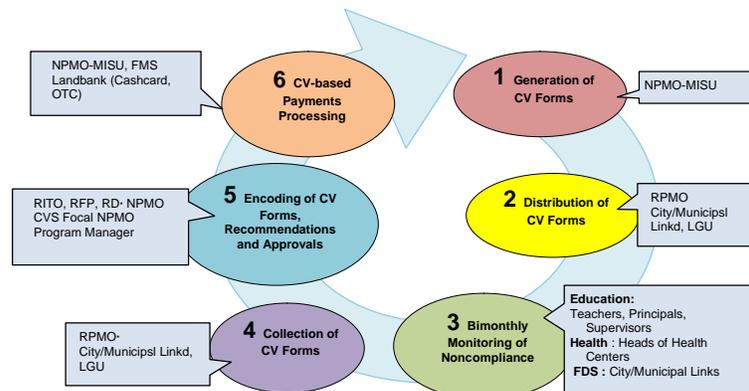
- Children aged 3-5 years old must attend day care or pre-school classes at least 85% of the total schools days per month
- The computation of the 85% is a simple process of multiplying 85% to the total number of school days for the month. If after multiplying, the resulting product is not a whole number (i.e., 17.6 or 20.2) the rule is to simply drop the decimal without rounding off. This is done to make it uniform and less difficult for our partner, the DepEd personnel.

- Children aged 6-14 years old must enroll in elementary or high school and attend at least 85% of the total school days per month. .
- "Continuing" children-- who are 14 years old, attending school and with name of school in the database as of June 1, though may turn 15 years old by June 2 may continue to be monitored in CVS Education and entitled for the education grant until March (the end of the school year).
- Maximum of 3 children per household are being selected by the system to be monitored in education. The first priority in the selection of student-beneficiary in a household is the youngest within the age range of 6-14 years old and the second priority is the oldest within the age range of 3-5 years old.

**c. Family Development Sessions**

- Grantees/Parents/guardians must attend family development sessions that will include topics such as responsible parenthood, empowerment of paternal abilities, child rearing and discipline, parenting sessions and other topics on family development
- Grantees of households who are no longer recipient of the health grant but is still with the program because of the 'continuing' status of their children in education grant, will no longer be monitored on health hence no longer be required to attend the FDS.

d. The Compliance Verification System Process Flow shall be as follows:



The Compliance Verification System (CVS) is a six-step cyclical process that cuts through all levels: National (PMO), Regional (RPMO), and Municipal/City. The CVS involves the:

- Generation of Compliance Verification Forms (by the NPMO/MIS)
- Distribution to the health centers or units and schools and day-care centers (by the RPMO)
- Monitoring of non-compliance by beneficiaries
- Collection of CV forms
- Encoding, verification, recommendation, and approval of compliance and non-compliance report; and
- Processing of payments based on compliance

The above steps are discussed in details below:

### **7.1 Generation of the Compliance Verification (CV) Form**

The NPMO/MIS generates the CV Forms based on the database of beneficiaries, and make them available over the internet to RPMOs and cities/municipalities. The NPMO then sends a soft copy (in PDF Format) to the RPMOs. Listed below are the CV forms and its purpose together with the description of its content:

#### **Form 1. Master List of Beneficiaries**

Form 1 provides the roster of those current beneficiaries of the program. This form provides further information as to who the beneficiaries tied to the grant: pregnant women; children aged 0-5 and 6-14 years old. This form is generated per barangay and will be distributed to the concerned Social Welfare Assistant and City/Municipal Link for their reference. Furthermore, this form is continually being updated as needed.

Form 1 contains the following information:

- 1 Consecutive number- number assigned consecutively for every entry; used for reference
- 2 Household ID- number assigned by DSWD per household
- 3 Household Member ID- number assigned by DSWD per household member
- 4 Name of Household Member- name of the eligible household member
- 5 Gender- household member physiological distinction
- 6 Date of Birth- birth date of the household member
- 7 Relation to the Household Head- relationship of the household member to the household head
- 8 Pregnant- shaded if the household member is pregnant

- 9 Child Age 0-5- shaded if the household member is within the age range of zero (birth) to five (5) years old
- 10 Name of Health Center- name of health center/unit where the household member is registered to and avail health services
- 11 Child Aged 3-14- shaded if the household member is within the age range of three (3) to fourteen (14) years old
- 12 Name of school- name of high school/elementary school/ preschool/day care center where the household member is enrolled
- 13 Hlt Grant- shaded if the concerned pregnant and/or 0-5 years old household member is entitled to the grant
- 14 Educ Grant- shaded if the concerned 3-14 years old household member is entitled to the grant. Note: Maximum of three (3) children will be covered by the maximum education grant of P900 and will be monitored in compliance for education
- 15 \* (asterisk)- name of the grantee in the household that is being monitored in Family Development Session

## **Form 2. Verification of Compliance for Education**

Form 2 contains the list of beneficiaries with ages 3-14 years old who are attending and enrolled to a particular school/preschool/day care center that is situated within the province where the household is residing. It reports non-compliance to Education condition. This form will be filled up by the designated school official.

Form 2 contains the following information:

- 1 Grade Level Codes- code assigned by 4Ps on each grade level of the student beneficiary. Each grade level will have an increment of one every automatically updated in the database, every 1<sup>st</sup> of April of the year. Those who were accelerated or retained, are the only ones needing updating. This applies only to those 3-14 years old attending school and with school names opposite their names in CV Form 1.
- 2 Consecutive number- number assigned consecutively for every entry, used for reference
- 3 Household ID- number assigned by DSWD per household
- 4 Household Member ID- number assigned by DSWD per household member
- 5 Name of Student- name of the student beneficiary
- 6 Recorded Grade Level- grade level of the student beneficiary as recorded in the 4Ps database
- 7 Current Grade Level- space for the head of the school/day care center to indicate the current grade level of the student if the information in the recorded grade level column is incorrect
- 8 Non-attendance based on the two-month reporting period- months covered by the reporting period wherein non-compliance of the beneficiary are reflected by month

- 9 Remarks- space for the reason on a beneficiary's non-compliance which are to be written in codes. Only those remarks written on this column should be indicated on the space provided, if not on the choices, leave the space blank.
- 10 Non-compliance with Deworming requirement (only for students enrolled in elementary school)- month covered by the reporting period wherein non-compliance of the beneficiary should be reflected.
- 11 A question "Was deworming conducted within these two-months?", and a check box - Question with a check box that is checked to signal verification for compliance for deworming for that reporting period.
- 12 Name and Signature of School Principal/ Day care head worker- space for the name and signature of the authorized signatory of the form. In the event that the designated signatory is or cannot be located within the designated time they should be filling-up/signing the form, an alternative signatory is allowed.
- 13 Name and Signature of City/Municipal Link- space for the name and signature of the 4Ps City/Municipal link who distributed and retrieved the form
- 14 Date Received- date when the City/Municipal link received the form from the head of the schools/day care centers
- 15 Date Encoded- date when the Regional Information Technology Officer finished encoding the form of the school

### **Form 3. Verification Tool on Health**

Form 3 contains the list of children beneficiaries with ages 0-5 years old and/or pregnant women who are registered in a particular health center/unit. This will be filled up by the head of the health centers/units such as midwives, nurses, and doctors.

Form 3 contains the following information:

- 1 Consecutive number- number assigned consecutively for every entry, used for reference
- 2 Household ID- number assigned by DSWD per household
- 3 Household Member ID- number assigned by DSWD per household member
- 4 Name of Pregnant Woman/Children Aged 0-5- name of the beneficiary who is either pregnant or aged 0-5 years old
- 5 Classification-type of the beneficiary: pregnant, child 0 to <2, Child 2 to 5
- 6 Non-compliance to Health Conditions based on the two-month reporting period- months/bi-monthly covered by the reporting period wherein non-compliance of the beneficiary are reflected by month or within the two-months reporting period should be reflected.

- 7 Remarks- space for the reason of a beneficiary's non-compliance, which will be entered using the codes provided.
- 8 Name and Signature of Health Center/Rural Health Unit Officer- space for the name and signature of the authorized signatory of the form
- 9 Name and Signature of City/Municipal Link- space for the name and signature of the 4Ps City/Municipal link who distributed and retrieved the form
- 10 Date Received- date when the City/Municipal link received the form from the Health Center/ Rural Health Unit Officer
- 11 Date Encoded- date when the Regional Information Technology Officer finished encoding the form of the Health Center/ Rural Health Unit

**Form 4. Family Development Session**

Form 4 provides verification on the attendance of household grantees in family development sessions. It indicates the household ID number of the beneficiaries, and the names of grantees monitored with the attendance requirement in family development sessions. The primary user of form is the Municipal Link and/or the designated alternate.

Form 4 contains the following information:

- 1 Consecutive number- number assigned consecutively for every entry, used for reference
- 2 Household ID- number assigned by DSWD per household
- 3 Household Member ID- number assigned by DSWD per household member
- 4 Name of Grantee- name of the grantee in a household
- 5 Non-attendance based on the two-month reporting period- months covered by the reporting period wherein non-compliance of the beneficiary are reflected by month
- 6 Name and Signature of City/Municipal Link- space for the name and signature of the 4Ps City/Municipal link who accomplished the form
- 7 Date Accomplished- date when the City/Municipal link accomplished the form
- 8 Date Encoded- date when the Regional Information Technology Officer finished encoding the form/s of the barangay

<b>Schedule of the Compliance Verification Activities</b>	
<b>CVS Flow/Procedures</b>	<b>Schedules</b>
Generation of CV Forms	Done within the 4th week of the first month of the period verified
Distribution of CV Forms	Done within 5 days after receipt of soft copy. Distribution to schools/health centers should be done within 1 <sup>st</sup> -4 <sup>th</sup> week of the second month of the period verified
Bi-monthly Monitoring of Non-Compliance	Done every first two days of the month following the period verified by the teachers (consolidated every two-months by the school head,, health officers and City/Municipal Links.
Collection of CV Forms	Done within the 1 <sup>st</sup> week (5 days) of the month following the period verified.
Encoding, verification, recommendation, and approval of compliance and non-compliance reports	This will be done by the Information Technology Officer I of the RPMO and for approval by Pantawid Pamilya-PMO via the CVS Software provided by the NPMO-MIS. The CVS data will be encoded by the encoder on the software, then the data go through the different access/recommendations/approval levels. Encoded data will be first verified and recommended by the Regional Focal Person, and eventually submitted by the Regional Director for NPMO approval. In NPMO, the National CVS Focal Person accepts the verified data and forwarded it to the Program Manager for the final approval.
Processing of Payments based on Compliance	Done immediately after the National Program Manager's approval. Actual payments follow at real time by Land Bank of the Philippines

## **7.2 Distribution of CV Forms**

The CV forms shall be printed out by the RPMOs and sent to the Provincial Operations Office and the distribution will be facilitated by the CVS Coordinator at the Cluster Unit Offices under the supervision of the Social Welfare Officer III and monitoring by the Provincial Link. RPMOs will be able to access the main database and verification module online, and download forms (over a wide area network with the NPMO).

The Social Welfare Assistants, city/municipal links as well as the LGU Links assigned to the cities and municipalities covered by the program will distribute the printed forms to the health centers/units and schools/day care centers in their respective areas of assignment. Report of distribution status shall be reported to the Provincial Operations Office.

## **7.3 Monitoring of Non-Compliance**

The school principal and health center officer act as focal persons on education and health, respectively, as they perform the bi-monthly

monitoring of non-compliance and record incidences on the corresponding CV Forms. The focal persons at the city/municipal level must submit the accomplished CV Forms to the City/Municipal Link and/or shall be retrieved by the Social Welfare Assistant or LGU Link every first two days of the month following the period verified. The Social Welfare Assistant monitor and ensure the distribution and retrieval of CV forms and reports under the supervision of the city/municipal link.

On Education, the following need to be reported per month on the bi-monthly monitoring:

On Education, the following need to be reported every two months monitoring:

- a. Beneficiary pupils/students aged 6-14 years old who do not meet the required 85% attendance rate as indicated by the manual daily records of the school.
- b. Beneficiary children aged 3-5 years old who do not meet the required 85% attendance rate as indicated by the manual daily records of attendance of the day-care centers/pre-schools

On Health, the following need to be reported every two months.

- a. Pregnant women and children aged 0-5 years old not visiting the health center according to the prescribed timeline;
- b. Children aged 6-14 years old not being administered with deworming pills (within the period of July and January)
- c. Household grantees not attending the family development sessions as required.

#### **7.4 Collection of CV Forms and Encoding of Non-Compliance**

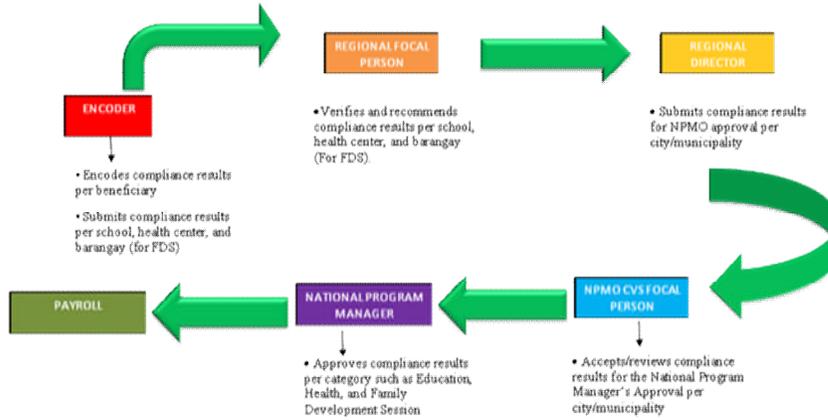
The municipal link collects the CV Forms from health centers/units and schools/day care centers within the prescribed schedule.

#### **7.5. Encoding, Verification, Recommendation and Approval of Compliance and Non-Compliance Reports**

The CV Forms that contain the compliance and non-compliance report will be forwarded at the Field Office by the Provincial Operations Office. Then, the Regional CVS Focal reviews the data and supervises encoding of the same together with the Information Technology Officer (RITO). Encoder encodes the compliance and non-compliance reports into the CVS program developed by the NPMO/MIS. The encoded data will then go through the different access/recommendations/approval levels from the RPMO to the NPMO. In the RPMO, the Regional Focal Person will be responsible in verifying and recommending the CVS data per facility/barangay and forwards it to the Regional Director for approval. The

Regional Director reviews and submits the data per city/municipality to the NPMO for approval. In the NPMO, the National CVS Focal Person will be the first to review the CVS data from the RPMO, accepts it and eventually forwarded to the National Program Manager for final approval.

The CVS Encoding, Verification, Recommendation and Approval Flow from RPMO to NPMO shall be as follows:



### 7.5 Processing of Payments Based on Compliance

The RPMOs reviews the non-compliance data and submits it to the NPMO/ MIS to serve as the basis for preparing the payroll for that period. The RPMOs, upon receipt of the CV Forms from municipalities, will encode non-attendance records of the reporting period into the computer system.

### 7.6 Sanctions for Non-Compliance on Program Conditionalities by Household Beneficiaries

Failure to comply with any of the conditionalities shall result in the following sanctions:

- a. First Offense of Non-Compliance to any of the conditionalities on health and education: Beneficiaries will not receive the grant for that specific month.
- b. Second Offense of Non-Compliance: Beneficiaries will not receive grant and will receive a warning to remind them of

financial repercussions of their continued non-compliance. Cash grants will be withheld beginning the next payment period until the conditionalities are complied with and the beneficiary's record will be updated. Then, they will then be referred to the Municipal/City Social Welfare and Development Officer (M/CSWDO) for counseling and other intervention/s.

- c. Third Offense of Non-Compliance: Beneficiaries will not receive grant and will be temporarily suspended in the program.
- d. Fourth Offense of Non-Compliance: Termination from the payroll pending resolution of the complaint filed to the Grievance Redress System if there is any. The GRS final decision will determine the eligibility of the beneficiary to stay or not in the program.
- e. Non-compliance with any of the health conditionalities will result to proportionate deductions to the number of applicable conditions not met. The whole grant on health may only be restored upon the compliance of the beneficiary. The basis shall be as follows:
  - For Pregnant women in household at the moment of the registration in the Pantawid Pamilya program – conditions are to attend pre-natal and postnatal check-ups as required in DOH protocol and give birth assisted by trained health worker.
  - For children 0-5 years of age-conditions are to attend regular health check-ups, controls and get vaccinations according the DOH protocol.
  - For children 6-14 years old shall receive deworming pills twice a year
  - For the household grantee or the spouse to attend family development sessions or responsible parenthood sessions
- f. In case of non-compliance, the specific month or period not complied with by the household beneficiary shall be applied as basis for non-payment.
- g. Suspension in the case of a household that does not comply with applicable health conditions in any given month will not receive payments for the said month and will receive a written warning for temporary suspension of the program. This will mean that the household will not receive health grant on the third payment period. In case non-compliance will occur again in

the fourth payment period, the household will be delisted from the program and a written letter regarding the delisting.

- h. Suspension in the case of a household that does not comply with education grant in any given period for two consecutive periods will not receive payments for the said month of non-compliance of children and will receive a written warning for temporary suspension. Suspension will mean that no education subsidy will be provided to that household during the third period. If anyone of the children does not comply with conditions in any given month of the fourth (4<sup>th</sup>) period, the child beneficiary will be delisted from the program and a letter of that said act shall be received also by the household.
- i. Compliance with the education grant is treated on a per-child basis. As such, sanctions shall be applied only to the child not in compliant with any of the conditionalities in education. Meanwhile, compliance with the health grant every period is treated on a per household basis. Sanctions shall be applied for every period of non-compliance of household members monitored in health conditionalities.
- j. Other reasons for termination in the Pantawid Pamilya program shall include:
  - Giving false or misleading information at any part of data collection, including information about compliance with program conditionalities and the fulfillment of other responsibilities
  - The transfer of residence to another municipality outside the area of program coverage

Note: Any failure to collect the transfer of cash grant for two consecutive payment periods shall be grounds for validation and investigation. Sanctions shall be determined and applied based on the results of the investigation and the recommendations of the Grievance and Redress Committee.

#### **Step 8: Second Payment and Succeeding Release of Cash Grants**

The second payment and succeeding release of cash grants will depend on the compliance with the conditionalities on health and education, subject to verification. Non-compliance with any conditionality will be reported to the Grievance Redress System for resolution.

## ***Other steps Involved in 4Ps Implementation***

### **Step 9: Update System**

Updating the 4Ps data base is an important component of program implementation. The primary purpose of the System on Update is to gather, validate, report and record the changes that have occurred on the status or condition of any member of the beneficiary household while under the program. It captures and records the changes in the information about HH members to serve as basis in monitoring compliance of beneficiaries.

It helps to monitor the amount of cash grant that was originally given to a beneficiary household, and determines also the amount of money the beneficiary household will receive from time to time. It serves as one of the basis whether to continue, suspend or terminate the grant to the household beneficiary.

The continuity of the cash grant is dependent on two dimensions as follows:

- a. How the beneficiaries abide by the conditionalities as would be monitored through the Compliance and Verification System (CVS)
- b. The change/s on the status/condition of each beneficiary household which would be reflected in the Update Report.

#### **9.1 Types of Updates**

All updates must be accompanied by the appropriate supporting documents. The information and documents provided by the household grantee must be true by providing the original documents. Any false declaration and/or documentation submitted in support of an update will be sufficient ground for the removal of the update and/or suspension of the grant.

Beneficiary households must report any and all changes in the status and/or household composition resulting from a number of different circumstances as follows:

Type of Update	Short Description	Supporting Documents (Most Recent)
1. <b>Newborn</b>	Baby born resulting from the pregnancy of qualified beneficiary at the time of the household assessment. No updating of children born after the survey.	<ul style="list-style-type: none"> <li>• Birth Certificate (NSO /OCR)</li> <li>• RHU/BHS Registration Certificate</li> </ul>
2. <b>CHANGE OF ADDRESS (Within Pantawid Pamilya Areas)</b>	<p>a. If a household moves to a new residence in <b>the same barangay</b>;</p> <p>b. If moving to a <b>different barangay</b>;</p> <p>c. If moving to a <b>different city/municipality</b>, and;</p> <p>d. If moving to a <b>different region</b>.</p>	<p>2a. Certification of transfer of residence from Barangay Captain (BC);</p> <p>2b. Certification of transfer of residence from BCs of old and new addresses;</p> <p>2c. Same as 2b, plus Certification of previous residency from C/ML of former address, photo copies 4Ps ID and LBP cash card (If issued)</p> <p>2d. Same as 2c, plus filled-out LBP form if the household has not been issued with cash card.</p>
<b>MOVED OUT OF THE PROVINCE, CITY OR MUNICIPALITY (NON-Pantawid Pamilya AREA)</b>	If a household transferred to a non-Pantawid Pamilya Area, will be delisted.	<ul style="list-style-type: none"> <li>• Certification from Barangay Captains of Old and New Addresses</li> <li>• C/ML Certification</li> </ul>
4. <b>CHANGE OF SERVICING HEALTH UNIT</b> (Health Center, Rural Health Unit or Barangay Health Station)	If household decided to avail health services from a different health unit or station ( <i>Updating is allowed only if RHU/BHS is within the city/municipality of residence of beneficiary household</i> ).	Registration Certificate from the new health center/unit signed by MHO/Station Head
5. <b>CHANGE OF SCHOOL/NEW ENROLLMENT</b>	<p>If household decided to change the school of child/ren, and;</p> <p>If household decides to enroll a new student aged 3-14 years old.</p> <p><i>(Updating is allowed only if school is located at the adjacent/bordering city/municipality within the province of residency of the beneficiary-household)</i></p>	Proof of Enrollment from receiving school signed by the Principal or Head Teacher
6. <b>CHANGE OF BENEFICIARY/MOTHER GRANTEE</b>	<p><b>If household decides to change grantee due to:</b></p> <p>a. Death;</p> <p>b. Long absence (within 6 months period) in the household;</p>	<p>a. Death Certificate</p> <p>b. Certification by C/ML stating reason for Long Absence</p> <p>c. Medical Certificate</p>

	<p>c. Poor health condition/disability, Old age; and</p> <p>d. abandonment</p>	<p>d. Filled-out LBP form of substitute beneficiary paired with either document a, b, c, d</p> <p>e. Incident report or case study by the MSWDO. For C/ML case study to be validated by MSWDO</p>
7. <b>DEATH/DECEASED HOUSEHOLD FAMILY MEMBER</b>	<ul style="list-style-type: none"> <li>● Death of Child 0-14 years of age</li> <li>● Grantee</li> <li>● Pregnant Woman in 4Ps program</li> </ul>	Death Certificate
8. <b>.Returning Biological OR LEGALLY ADOPTED CHILD 14 YEAR OLD AND BELOW</b>	<ul style="list-style-type: none"> <li>● Qualified child/ren of the couple who were not included in the HAF during the survey /inadvertently excluded during encoding.</li> </ul>	<ul style="list-style-type: none"> <li>● Birth Certificate; (if biological child)</li> <li>● Legal Adoption papers (if adopted child);</li> <li>● School Enrollment Certificate if 3-14 years old;</li> <li>● Certification of Enrollment to Health Center if 0-5; and;</li> <li>● C/ML certification that child is not a Pantawid Pamilya beneficiary from place of origin</li> </ul>
9. Correction of Basic Information, i.e. Name, Sex, Date of Birth, etc.	<p>Typographical errors in the names, sex, date of birth, etc</p> <ul style="list-style-type: none"> <li>● Errors in Names (Spelling, Sequence, etc.)</li> <li>● Gender/Sex</li> <li>● Date of Birth</li> <li>● Relationship to Household Head</li> </ul>	<p>School Enrollment Certificate (if 3-14 year old and in school),</p> <p>RHU/BHS Registration Certificate (if 0-5 year old) and Medical Certificate (for the Differently-abled Child certifying the disability and incapacity</p>

## 9.2 How the Update System Works

The updates system works with the participation of household grantees themselves, parent leaders, city/municipal links, the program staff, and through the use of computer program that was developed for this purpose.

To facilitate the update system, the following people shall be involved with specific responsibilities:

Person/s Responsible	Main Responsibilities (See Presentation of Updates)	Turn-Around Time After Presentation (In Number of Working Days)
1. Household Grantee (HG)	<ul style="list-style-type: none"> <li>• Report any change in circumstances as applicable in the types of updates</li> <li>• Fills out Form 5 with the assistance of Parent Leader</li> <li>• Keeps log sheets signed by City/Municipal Link after transaction</li> </ul>	
2. Parent Leader (PL)	<ul style="list-style-type: none"> <li>• Helps HG fill out Form 5</li> <li>• Verifies information and documents submitted</li> <li>• Signs Form 5 and Log Sheet (LS)</li> </ul>	One(1)
3. Social WelfareAssistant/Municipal Link (ML) or City Link (CL)	<ul style="list-style-type: none"> <li>• Receives updates, reviews supporting documentation, and if complete, signs the Log Sheet (LS)</li> <li>• Submit reviewed Update forms to provincial Operations Office through the BuS cluster Coordinator</li> </ul>	One (1)
4. BUS Cluster Coordinator (BUSCC) at the provincial Operations Office	<ul style="list-style-type: none"> <li>• Receives and reviews updates and their supporting documentation</li> <li>• Monitor submission of update forms per municipality and keep a record of the total number of update forms received</li> <li>• Submit to Field Office</li> </ul>	Three (3)
5. Bus Regional Focal	<ul style="list-style-type: none"> <li>• Review received update forms to keep track of overall submission of update forms per province</li> <li>• Facilitate Encode while cross-checks the supporting documents and other available information.</li> <li>• Monitor proper encoding of update forms Makes the appropriate recommendations to Regional Director ( <b>a day before the scheduled deadline on the approval of updates</b>)</li> </ul>	Daily as they come
7. Regional Director	<ul style="list-style-type: none"> <li>• Recommend approval of Updates to NPMO</li> </ul>	Once a Week
8. BUS Division/NPMO	<ul style="list-style-type: none"> <li>• Verify Updates.</li> <li>• Recommend Updates for final approval of the Program Manager</li> </ul>	Daily (as they come)
9. Program Manager	<ul style="list-style-type: none"> <li>• Approve regional Updates.</li> </ul>	As scheduled (one day)

### 9.3 The Updating Process

#### a. Sources/Availability of Update Forms

An e-copy of Update Form 5 and the Log Sheet will be sent to all 4Ps areas together with other CVS Forms printing at the RPMOs. Update Form 5 and Log Sheets should always be available at the city/municipal link's office for parent leaders and/or household grantees.

#### b. Gathering, Reporting, and Recording an Update

- Updates shall be reported by the household grantee to the parent leader during the regular group meetings of beneficiaries, held once a month. Updates can be presented also directly by the Mother Grantee to the C/ML provided the Form 5 is signed by the Parent Leader.
- The household grantees are expected to fill out the Form 5 personally. They may be assisted by the parent leader should they have difficulty reading and writing on their own. In the event that they are unable to do it completely, they will be interviewed by the parent leader who will fill out their forms on their behalf.
- Updates that require supporting documentation must be submitted with proper attachments as basis for updating the database.
- After all information has been provided, the household grantee and parent leader should sign on top of their printed names on the spaces provided (on the lower half of the form) as a proof of that to the best of their knowledge, all information is accurate and all supporting documentation, complete.
- The completed form (with all supporting documentation) will then be submitted to the Social Welfare Assistant/ LGU Link or city/municipal link, and correspondingly the Social Welfare Assistant or LGU Link will be required to fill out and sign the Log Sheet (LS) as proof that the updates were received. The Log Sheet will serve as a record of the transaction and, and will be given to the household grantee as a reference when following up with 4Ps personnel.

**c. Monitoring and Updating the Family Roster**

- Only the first reported pregnancy (i.e. reported during registration) shall be accepted as an update under newborn baby resulting from the pregnancy of qualified beneficiary at the time of household assessment. Subsequent pregnancies will no longer be considered as an update and will not be added as new member in the roster.
- Other than for the registration of a newborn baby, the other insertion allowed for a new household member in the roster is the Guardian assigned for orphaned/abandoned Pantawid Pamilya children beneficiaries as stipulated in the IRR of "Guardianship of Orphaned Pantawid Pamilya Children Beneficiary.
- Updates submitted by the Pantawid Pamilya beneficiaries can be tracked down through the BUS Tracking System. This system provides quick access and ready reference in responding to queries and follow-ups raised by the beneficiaries and other concerned personnel regarding the status of the update request they submitted.
- Beneficiaries who change address should follow the guidelines stipulated in the Inter-Field Office, City and Municipal change address of Pantawid Pamilya Beneficiaries.

**d. Inter-Agency Collaboration and Other Related Policies**

Policies involving collaboration with other agencies must first be concurred with by the NAC prior to their implementation.

- Food for School Program

Children program beneficiaries will no longer be eligible for the rice subsidy under the Food for School Program, However, they may still avail of the center-based supplemental feeding

- Family Access Card

Program beneficiaries in areas where there are Tindahan Natin Outlet (TNO) may avail of Family Access Cards

**Step 10: Exit in the Program**

**10.1 Exit Rules**

Exit in the program categorized into 2 levels are governed by rules to define the specific circumstances under which a household beneficiary or

a Local Government Unit shall graduate or exit from the program. These rules are as follows:

**a. Beneficiary Level**

i. Exit of the Beneficiary According to Age

When the youngest child reaches the age of 15 at any time during the school year, he or she will continue to receive the education grant until the school year end and/or when his or her household will cease to be a beneficiary of 4Ps.

ii. Exit due to Non-Compliance of Beneficiary

Non-compliance with program conditionalities three times in a year by a grant recipient shall be subject for delisting in the program as specified in Chapter III Implementing Procedures, Item 7.6 Sanctions for Non-Compliance on Program Conditionalities by Household Beneficiaries (Page 40) and item D-3 regarding payment termination (See Page 7).

iii. Exit due to Mis-use of Grants

Mis-use of grants by the grant recipients or members of the household shall be subject for resolution at the Grievance Redress Committee, and may lead to possible delisting in the program.

**b. Local Government Unit Level**

i. Non-Compliant and/or Violation of Program Rules

Beneficiaries and LGUs found to be non-compliant with the rules and regulations of the program such as adding of conditionalities to the beneficiaries or not addressing the supply side concerns of the program as specified in the Memorandum of Agreement shall be sanctioned according to the NAC (Chapter III Implementing Procedures, item 2.6 Program Suspension and Item 2.7 Sanctions for Non-Compliance on Supply Side page 23).

ii. Misuse and Misrepresentation of the program

LGUs not in compliance or that are misusing or misrepresenting the program despite two (2) written warnings and provision of technical assistance shall be referred to the NAC for appropriate action or resolutions including possible suspension or termination of the program as well as endorsing/recommending

other sanctions/penalties in accordance with appropriate provisions of existing laws and/or administrative orders.

## **10.2 Exit due to Other Factors**

a. End of the Program:

After five (5) years in the program, all beneficiaries regardless of the age or the circumstances will be graduated. The program may also end due to the unavailability of funds with which to continue operations.

b. Transfer of Household Beneficiaries in non-4ps Municipalities

Transfer of a household beneficiary to other areas which are not part of 4ps implementation shall mean termination in the program by the household beneficiary.

c. External Factors that May Hinder Program Implementation

Exit may be due to external factors that may hinder program implementation such as problems encountered by the beneficiaries complying with the conditionalities of the program conditionalities as well as problems due to the peace and order situation, inaccessibility of an area, lack of safety, and political instability.

## **10.3 Preparatory Activities for Exit in the Program**

Preparatory activities for exit strategies also include the completion of a modular capacity building package for household beneficiaries that may include the following sessions:

- a. Family development sessions,
- b. Value formation and responsible parenthood,
- c. Health and nutrition education,
- d. Environmental sanitation and safety,
- e. Home management,
- f. Functional and financial literacy,
- g. Gender sensitivity and awareness,
- h. Microenterprise development, and

- i. Community participation and development.

#### **11. Protocol for Data Sharing**

List of household beneficiaries shall be posted in the Pantawid Pamilya website. Request for any information about household beneficiaries other than their names and addresses shall be subject for approval by the National Advisory Committee.

# **CHAPTER FOUR**

## **ORGANIZATION AND STRENGTHENING OF 4Ps PARENTS GROUPS**

### **The Community Assembly**

The community assembly is a barangay-level meeting composed of 20 to 30 household grantees per cluster designed to facilitate open discussion about the overall operation of the program.

It is a strategy to establish peer support and monitor compliance with the conditionalities on health and education, as well as encourage unity and cooperation among household grantees, and opportunity to share their individual concerns with the group, household grantees are empowered to analyze their problems together and solve them, which builds up trust and commitment.

The community assembly serves also as a venue for airing any grievances and complaints about the program as well as other problems requiring intervention by a social worker. It promotes the active participation of household head grantees, mostly are women and therefore, used to playing only an outside role in the development of the community. With Pantawid Pamilya, they are thrust into the roles of primary movers and leaders in their own communities.

### **A. Goals and Objectives**

#### **1. Main Goal**

The main goal of the community assembly is to strengthen the participation of and support among beneficiaries to compliance with the conditionalities, strengthen family life, and increase involvement in community development efforts.

#### **2. Specific Objectives**

- To facilitate feedback systems and family development sessions and activities through community assemblies/neighborhood meetings
- To mobilize parents and other family members into becoming more active and involved in community activities and projects
- To encourage peer support and monitor compliance with conditionalities
- To facilitate solutions to problems and issues encountered by 4Ps beneficiaries in need of intervention by a social worker
- To facilitate the filing of and responding to grievances and complaints

## **B. Steps in the Organizing Community Assemblies**

- **Step 1:**

Identify those household grantees in the same neighborhood and cluster them into an assembly or group with a minimum of 25 and maximum of 30 members.

In case there are more household grantees in the neighborhood, incorporate them into other nearby assemblies or groups as the transfer of membership from one to another will not be possible.

- **Step 2:**

Once they have been organized into a group or assembly, invite them to gather in a place that is easily accessible and where you can meet regularly.

- **Step 3:**

Orient them on the basic concepts of Pantawid Pamilya and the different roles and responsibilities of program beneficiaries. Orient them also on the purposes of the assembly, the different activities they can expect to undertake, and the schedules of their fortnightly meetings.

- **Step 4:**

Agree on a meeting time that is acceptable to all members of the group in order to ensure their regular attendance.

- **Step 5:**

Highlight the fact that as program beneficiaries, it is one of their responsibilities to attend the community assembly regularly. Failure on their part to do so will be considered a non-compliance with conditionalities.

- **Step 6:**

Explain also that one member of the group to be determined by consensus shall serve as the parent leader.

- **Step 7:**

The city/municipal link will explain the different criteria in the selection of a parent leader, citing the qualities that he or she should possess and his or her different roles and responsibilities

- **Step 8:**

There will be no election of officers in the group. The members should propose who among them will serve as parent leader. Once the nominees have been written on the board, the members shall make their selection. The rule of majority shall prevail and should be respected by the group.

- **Step 9:**

The parent leader shall preside over all meetings and coordinate the schedules of parenting education sessions with the group.

- **Step 10:**

Agree that the mode of communication with one another will be either through a bulletin board placed in a strategic location or home visits by their peers. All members of a community assembly have the obligation to support and help one another out in complying with the program conditionalities.

- **Step 11:**

The regular meeting schedule shall also be posted on the bulletin board. During the community assembly, all communication should be coursed through the parent leader who will coordinate with the city/municipal link regarding concerns on the implementation of Pantawid Pamilya, especially on any incidences on non-compliance with program conditionalities. Issues and problems should first be resolved among the members. Only then shall they be raised to the level of the parent leader who will bring them to the attention of the city/municipal link and/or city/municipal social welfare officer.

- **Step 12:**

Mini-assemblies composed of three (3) to eight (8) household grantees each may also be conducted to any problems and issues encountered by the group. The aim of mini-assembly is to provide peer support and the opportunity for consultation before a problem becomes too large to handle.

A general community assembly involving all household beneficiaries and parent leaders may be organized in the barangay, for purposes including socialization.

### **C. Roles and Tasks of Parent Leaders**

The parent leader is the point person between the Pantawid Pamilya, the LGU link, and the household grantees at the barangay level. They are expected to perform the following tasks:

1. Lead the group in all meetings
2. Develop rapport with the members of the assembly
3. Communicate regularly with the members of the community assembly
4. Follow up and monitor the receipt and use of payment of cash grants
5. Follow up and monitor the attendance household grantees in community assemblies and family development education sessions
6. Follow up on and conduct home visits to household grantees who have not been attending the community assembly
7. Disseminate information to household beneficiaries via the barangay bulletin board, the schedules of community and general assemblies

### **D. The Roles of Parent Leaders in Conducting Community Assemblies**

1. Coordinate with the LGU Link or city/municipal link in conducting community assemblies, putting on the agenda any issues and concerns that need to be addressed
2. Coordinate with the barangay captain on scheduled community assemblies, requesting logistical support where necessary
3. Inform the household beneficiaries of scheduled community assemblies by posting notices on the barangay bulletin board
4. Request each member to sign on the invitation letter to confirm their attendance
5. Finalize the agenda with technical assistance from the city/municipal link or LGU Link
6. Invite resource persons to scheduled lectures during community assemblies
7. Arrange with the barangay captain for use of the barangay hall or office as a meeting venue. Where this is not possible, arrange with the owner of a house or open space in the neighborhood large enough to accommodate the group
8. Prepare the materials to be used during community assemblies, such as the agenda, attendance sheet, and other visual aids

## **Roles and Functions of Municipal Link and Local Government Unit (LGU) Links in Conducting Community Assemblies**

The city/municipal links and the LGU links have the lead role in the following activities:

1. Organizing and scheduling community assemblies
2. Coordinating with the barangay captains and focal persons regarding specific issues and concerns on program implementation
3. Supervising the LGU links in conducting community assemblies
4. Convening meetings of parent leaders to consolidate all issues and concerns of household grantees on program implementation
5. Coordinating with the LGU on the provision of logistical support to parent leaders
6. Serving as resource persons during community assemblies
7. Monitoring community assemblies in coordination with the MSWDO of the LGU
8. Preparing consolidated monthly accomplishment reports

### **E. Roles and Functions of Household Grantees**

1. Attend community assemblies at the agreed-upon date, time, and place
2. Provide support to group members and help one another out in complying with program conditionalities
3. Assist parent leaders in coordinating with group members regarding attendance in family education sessions and other activities
4. Cooperate with group members and their families to and establish and maintain good relationships
5. Report to the parent leader any incidences of non-compliance by group members with program conditionalities, as well as the misuse of grant

### **F. Schedule of Community Assemblies**

Community assemblies are scheduled every other week of the month at the most convenient time and most accessible place to the majority of household grantees, to be decided on by the household grantees themselves.

Invitations to the household grantees and barangay captain shall be posted on the bulletin board in the barangay hall. A formal invitation letter stating the agenda shall likewise be passed around to the household grantees. Attendance is confirmed either by their signing the letter or during home visits by the parent leader.

Invitations to the household grantees and the barangay captain shall be posted as much as possible on the the 4Ps barangay bulletin board.

Below is a sample guide session flow for a community assembly and conduct of Family Development Sessions

**4Ps COMMUNITY ASSEMBLY**  
Guide Session Flow

**A. Opening Amenities**

- Prayer
- Attendance Check
- Presentation of Agenda/Concerns
- Group Games/Dynamics

**B. Family Development Sessions**

(Following the modular guide and/or based on the need of the household beneficiaries particularly those who have attended parenting education by the LGU.)

**C. Program Updates and Concerns**

- Review of Agreements/Accomplishments/Highlights from the Previous Session
- Discussion Per Item On the Agenda, e.g. Update on Compliance, Preparation/Consolidation of Reports
- Problems Encountered/Recommendations and Suggestions
- Agreements/Areas for Actions

**D. Closing Session**

- Other Announcements, e.g. Special Events and Schedule of the Next Meeting
- Closing Prayer

#### **G. Family Development Session**

The Family Development Sessions aims to promote, empower and nurture families towards strengthened capacity to meet familial and parental responsibilities through the conduct of neighborhood-based family education activities for the household beneficiaries of the Pantawid Pamilyang Pilipino Program.

It aims to enhance the skills and knowledge of household grantees and parents promote positive familial values, strengthen marital relationships, enhance knowledge and skills in responding to parental roles and responsibilities particularly on the health, nutrition and education needs of children and promote social awareness, participation and involvement in community development efforts.

The Family Development Sessions adopt adult learning methodologies and may include other strategies and approaches to ensure learnings of household grantees of the program such as conduct of Home-visitation/Individual Sessions on Parenting, Peer Counseling Sessions on Parenting and use of related modules on family education such as modules and sessions on ECCD on the – Air, modules on ERPAT, PES manual and FDAPP manual

The Family Development Sessions main goal is capacitate the household beneficiaries to become more productive and responsive to meet family needs and enable them to perform their parental roles and responsibilities in particular to the health, nutrition and education needs of their children 0-14 years old.

The Family Development Sessions may be conducted in areas and venues within the neighborhood to make it accessible and will not require transportation expenses to the household beneficiaries. This will ensure attendance of and timeliness of the household beneficiaries in the Family Development Sessions. Venues in the barangay may include the Barangay Hall, Multi-Purpose Hall, Women Center, Day Care Centers, Barangay Health Station, Nutrition Post, and other facilities in the neighborhood or barangay. This may also be conducted in the backyard or any open space in the home of household beneficiaries.

The Family Development Sessions are likewise conducted at least once a month part of the conditionality of the program. The sessions are scheduled regularly on a specific day of the month depending on the availability and agreed time of the household beneficiaries.

Basic topics in the family development sessions include Understanding Oneself as a Person and as a Parent, Parenting Roles and Duties, Laws on Parenting, Early Childhood Care and Development, The Rights and Duties of Parents and Children, Behavior Management, Health and Nutrition, and Home Management, among others.

Basic steps in conducting of family development sessions shall include the following:

1. Conduct the family development sessions in two (2)-hour blocks to provide enough time for household grantees to absorb the lesson about parenting
2. Conduct home visits to the household grantees who do not seem interested in attending family development sessions and explain the importance of these to them
3. Coordinate with focal persons on health and education on the particular topics assigned to them
4. Conduct closing/evaluation sessions for each module in the Modular Sessions Guide for Parents
5. Train volunteers on family development sessions to assist the parent leaders in conducting the sessions

6. Follow up on and conduct home visits to obtain feedback on how the parents (especially the mothers) are able to apply the lessons in their family life.

#### **H. Monthly Meeting of Parent Leaders**

Parent Leaders Meetings are held once a month, usually at the beginning or end of the month in time for the Municipal Advisory Committee Meeting. The Parent Leaders Meetings are facilitated by the city/municipal links and are also attended by the LGU links. Through the Parent Leaders Meetings, city/municipal links are able to monitor and supervise the LGU links and parent leaders. Any urgent issues and concerns raised at the Parent Leaders Meetings are taken up at the Municipal Advisory Committee Meeting for appropriate action.

The city/municipal link provides technical assistance and direction to build up the capability of parent leaders in facilitating community assemblies at the barangay level. This technical assistance is geared toward promoting compliance with the health and education conditionalities and conducting parent activities for household heads and grantees.

#### **I. Post Community Assembly Meeting**

Every other month, the LGU link assigned to the barangay will select a parent leader representative and a community assembly member to conduct a focused group discussion to review, assess, and provide feedback on the community assemblies and Parent Leaders Meetings. A feedback form may be filled up or a discussion conducted on ways to improve community assemblies. Possible areas may be on the improvement of the facilitating skills of parent leaders or on the identification or selection of topics most appropriate to their respective group. This may include such topics as improving marital communication, where there are cases of marital conflict and misunderstanding, and providing behavior management techniques or positive disciplinary strategies for older children, in cases of child abuse.

## CHAPTER V: PROJECT FINANCIAL MANAGEMENT

### **Fund Management Structure:**

In line with the Department's desire to mainstream management and implementation of the Project into the operations of DSWD, the FM functions of the project shall be mainstreamed. Overall financial management of the Project shall be the responsibility of the DSWD Central Office Financial Management Service (FMS) and the Management Division at the Regional Offices. The current organic finance staff supported by the newly hired FM contractual staff shall be responsible for the financial management function of the project till the time that a financial management group dedicated for the project is created. This dedicated group shall be manned by a finance officer and other key finance staff under the technical supervision of FMS, which shall be hired no later than 5 months after the Effective Date of the loan. Additional staffs shall be hired, which will be increased as the need arises, based on a continuous assessment of the volume of work during project life. The Central Office Financial Management Service (FMS) shall perform the following tasks for the Pantawid Pamilya:

- a. Prepare Annual Financial Plan
- b. Provide recommendations to the National Project Director on the management of the financial resources of the Project
- c. Implement the prescribed financial management, specifically, the procedures for fund releases to the Regional Offices and beneficiaries
- d. Design, install and maintain internal control system to safeguard program's resources
- e. Liaise with DBM, BTR and Land Bank for timely releases of Project funds
- f. Maintain books of accounts, general and subsidiary ledgers, records and files of all financial transactions in accordance with generally accepted accounting principles
- g. Monitor the releases to the beneficiaries
- h. Process all financial transactions for the project
- i. Ensure the legality, propriety, accuracy and completeness of all financial transactions
- j. Prepare and submit periodic financial reports to management and other stakeholders, and
- k. Prepare financial monitoring and other regulatory reports

#### On CCT Grants:

- Generate CCT Payroll based on eligibility check/compliance verification system and disburses thru LBP Servicing Banks for payments to beneficiaries
- Consolidate Liquidation Reports, Statement of Expenditures (SOE)
  
- Monitor CCT grants payments and submit IFRS to management other concerned agencies.

At the Regional level, there is only one division in charge of both Finance and Administrative services. In terms of the Project financial components, the main functions of the Finance Unit are:

- Prepare Annual 4Ps Regional Financial Plan
- Process all financial transactions of the Project at the regional level
- Maintain books of accounts, general and subsidiary ledgers, records and files of all financial transactions of the Pantawid Pamilya in accordance with generally accepted accounting and auditing principles
- Review documents supporting financial transactions undertaken to ensure legality, propriety, accuracy and completeness
- Prepare and submit financial monitoring and other regulatory reports to NPMO and the Central Office FMS

On CCT Grants:

- Prepare Consolidated Order of Payment (OP) to qualified beneficiaries based on payroll.
- Witness OTC payments
- Prepare and submit liq'n reports and SOE's to CO FMS.
- On CVS validation, conduct random sampling.
- Monitor CCT grants/OTC payments and submit reports to Management.

**System of Approval and Authorized Signatories**

Below is the Project's system of approval and authorized signatories.

<b>Document/Transaction</b>		
<b>Central Office</b>	<b>Box A</b>	<b>Box B</b>
Obligation Request	NPMO Manager/HOBS Concerned	Chief, Budget Division
	<b>Review/Certification</b>	<b>Approval</b>
Disbursement Vouchers	Chief Accountant as to supporting documents and availability of funds	Secretary >P50M UsecGASSG – up to P50M Asec GASSG – up to P2M Dir, Admin – up to P500,000 Chief, PSD – up to P10,000
Checks	Signature – Cashier	Countersignature – Usec GASSG Asec GASSG

		FMS Director
<b>Regional Office</b>	<b>Box A</b>	<b>Box B</b>
Obligation Request	RD/ARD/DC Concerned	Head, Budget Unit
	<b>Review/Certification</b>	<b>Approval</b>
Disbursement Vouchers	Regional Accountant/Authorized representative designated by RD	Up to P100,000 - RD/ARD/Chief, Management Division Above P100,000 to P2M - RD/ARD >P2M - RD subject to specific authority from the Secretary
Checks	Signature Cashier/Authorized representative designated by RD	Countersignature - Up to P50,000 - RD/ARD/MSD Chief Above P50,000 to P2M - RD/ARD >P2M - RD subject to specific authority from the Secretary

### **Financial Planning and Budgeting**

The project will be using the government's budgeting system. The NPMO shall have the overall responsibility for preparing the Project Implementation Plan prior to the start of the project and the detailed annual Work and Financial Plans. The FMS shall be in charge of establishing the cost parameters for the output indicators and of generating the cost tables and in coordination with the NPMO prepares the annual disbursement plan.

Plans shall cover all major activities of the Project regardless of the fund source. However, budgeted requirements will be disaggregated by fund source. Planning and budgeting shall be synchronized with the DBM's annual budget cycle, which starts in March since the Project's budget is incorporated in the agency's budget proposal.

### **Fund Releases to Approved Beneficiaries**

The 4Ps provides cash grants for at most five years to the beneficiaries. The release of cash grants is quarterly or on more frequent period as deemed necessary from the directives for the release of grant issued by NPMO

Payment of cash grants shall be as follows:

- P6,000 a year or P500 per month per household for health and nutrition expenses; and
- P3,000 for one school year or 10 months from June to March or P300/month per child for educational expenses. A maximum of three children per household is allowed.

A household with three qualified children shall have a maximum subsidy of P1,400 per month or P15,000 annually as long as they comply with the conditionalities.

The Land Bank of the Philippines (Landbank) is the DSWD's depository bank for all funds of 4Ps. The monthly cash grant to approved beneficiaries shall be received by the most responsible person in the household, usually the mother-

The modes of payment of CCT cash grants shall be as follows:

1. Cash Card Automated Teller Machine (ATM)

Using FinDES, a computerized system used for the data entry of amounts to be transferred to the account of the beneficiaries, transmission of releases to beneficiaries by the LBP Head Office is fast and easy.

2. Over the Counter (OTC) on-site and off-site

The LBP pays the beneficiaries upon presentation of Acknowledgement Receipt (AR) - Annex \_\_\_\_ prepared and validated by FO either within the LBP servicing branch (on-site OTC transaction) or outside of the LBP servicing branch (off-site OTC transaction) which is usually in the municipal area.

On-site or Off-site Over-the-Counter (OTC) Payment shall be done on areas defined not accessible to the Landbank ATM system.

3. Other mode of payment

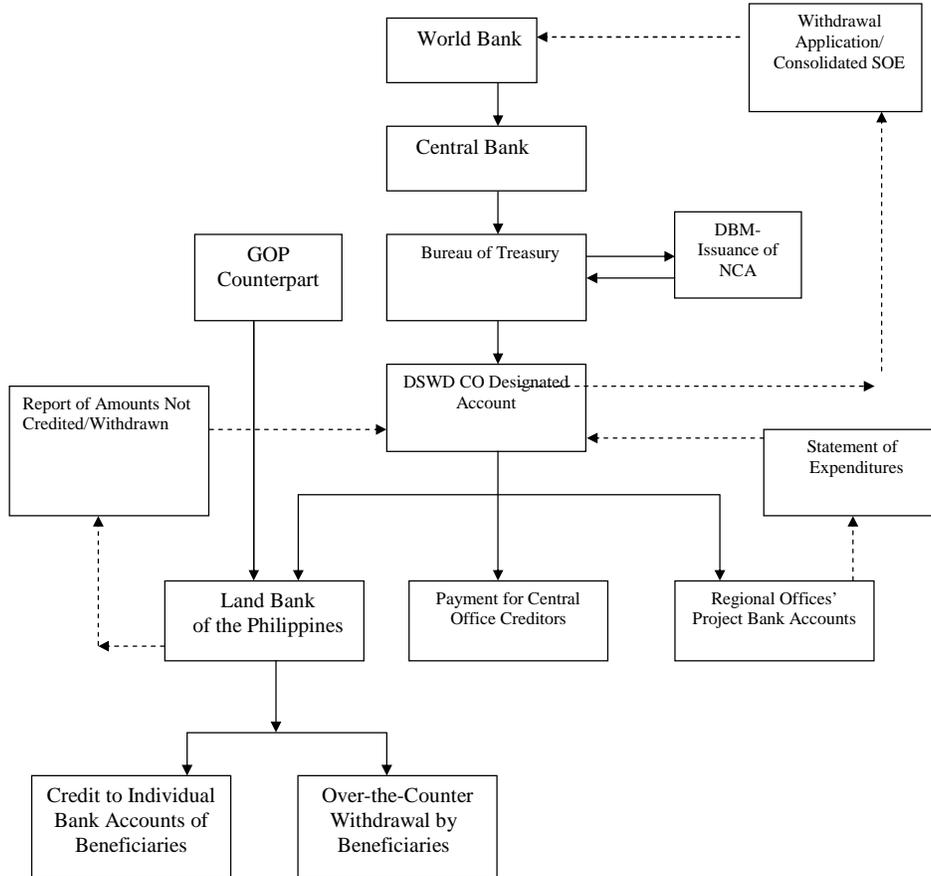
DSWD shall continue exploring other modes of payments in consultation with the Commission on Audit (COA) and other financial institutions. Other method of channelling the funds to the 4Ps beneficiaries during the project implementation shall be subject to a "No Objection" from the Bank.

The NPMO is responsible for the consolidation of reports on monitoring and verification of compliance of household's beneficiaries. The

results of verification shall be used to determine the amount of subsequent release of cash grants to beneficiaries.

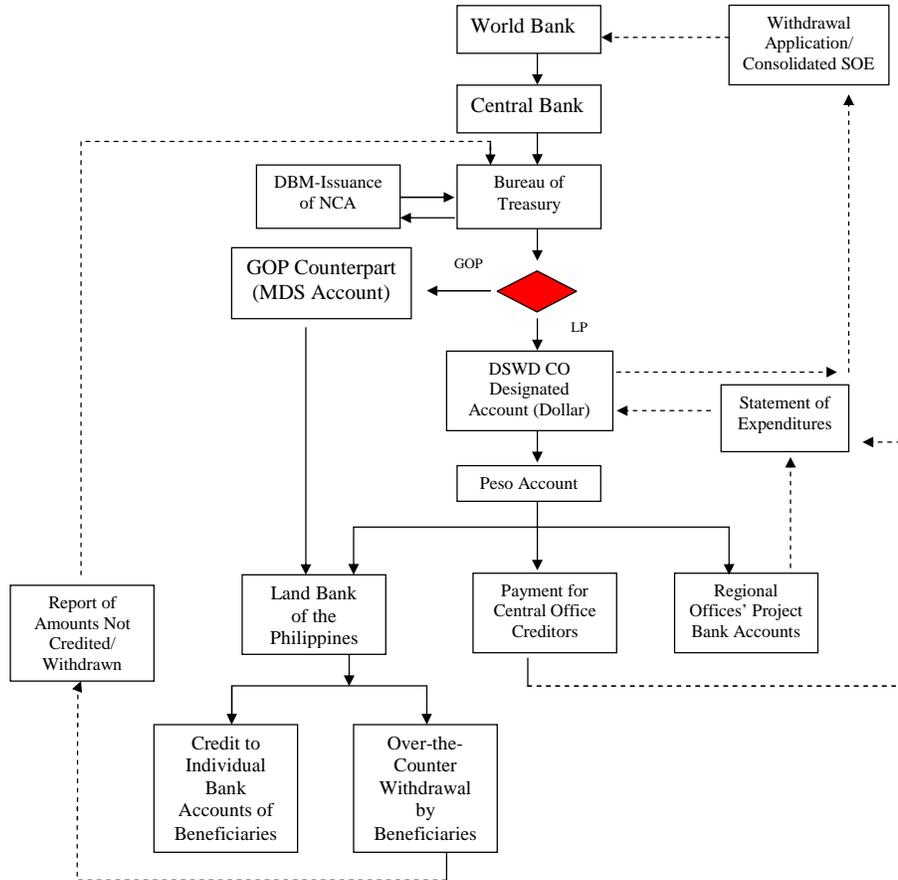
**Funds Flow for Loan Proceeds and GOP Counterpart**

The Project funds are composed of the loan proceeds (LP) and government counterpart (GOP) funds. The funds flow is shown below:



GOP

LP



### **Loan Proceeds for Cash Grants and Institutional Strengthening of the Project**

1. The funds from the loan proceeds will flow from the World Bank to the Bureau of Treasury account at the Central Bank of the Philippines.
2. After the issuance of NCA issued by DBM, the funds will be credited to the Designated Account of the project maintained at DSWD central office.
3. DSWD shall open and maintain a Designated Account (DA) in Dollars with a maximum allocation of \$40 million.
4. A report on the utilization of the funds advanced to the DA shall be submitted to the Bank in the form of Statement of Expenditures (SOEs) at least once a month. A withdrawal shall be submitted to the Bank anytime when the need arises so long as it is still within the ceiling of the DA, which is set at \$40 million.
5. Disbursements under the Project shall comply with the Bank policies and procedures on disbursements and financial management as reflected in the Bank's Disbursements Handbook and Financial Monitoring Report Guidelines.
6. All reimbursements to the DA shall only be for eligible expenditures based on the agreed eligibility/financing percentage in the Loan Agreement and shall have adequate supporting documents. Attachments of supporting documents to the SOEs for withdrawal applications shall be based on threshold limits of SOEs.
7. Funds shall be transferred to the regional offices, which are drawn from the DA to Peso Current Account and deposited into the regional offices' project bank accounts, based on the estimated project quarterly cash requirement of the region.
8. The regional offices shall submit to the central office of DSWD monthly SOEs to liquidate the funds transferred.
9. In addition, other disbursement mechanism such as direct payments and special commitments shall also be available for this Project.

The allocation of the total loan to each category and the percentage of expenditures to be financed for Eligible Expenditures in each category is shown below.

<b>Category</b>	<b>Amount of the Loan Allocated (expressed in US\$)</b>	<b>Percentage of Expenditures to be financed (inclusive of Taxes)</b>
(1) Goods, training, workshops, consultants' services and operating costs for the Project	81,601,000	100%
(2) Conditional Cash Transfer Grants	320,886,000	75% of amounts disbursed under each grant
(3) Front-end Fee	1,012,500	Amount payable pursuant to Section 2.03 of the Loan Agreement in accordance with Section 2.07 (b) of the General Conditions
Unallocated	1,500,500	
<b>TOTAL AMOUNT</b>	<b>405,000,000</b>	

- a. No withdrawal shall be made for (i) payments made prior to the date of the loan agreement, except that withdrawals up to an aggregate amount not to exceed \$81,000,000 equivalent may be made for payments made prior to this date but on or after December 1, 2008 for eligible expenditures under categories 1 and 2; and (ii) for expenditures under Category 1 for activities related to the collection and supervision of household poverty assessments and the issuance of identification cards to households under Part 1 (a) of the Project carried out during January 1, 2010 to June 30, 2010.
- b. CCT grants for education services shall be eligible for financing out of the proceeds of the Loan until June 30, 2010 or such later date as the Bank may agree based on the existing manual monitoring system at the school level and thereafter such grants shall be eligible upon the establishment and operationalization of a compliance verification system linked to payments as set out in this Operation Manual.
- c. CCT grants for health services shall be eligible for financing out of the proceeds of the Loan upon the establishment and operationalization of a compliance verification system linked to payments as set out in this Operation Manual.

- d. No payments made under a CCT Grant to a Beneficiary shall be eligible for financing out of the proceeds of the Loan unless: (a) the Borrower has entered into a Memorandum of Agreement with the relevant Participating LGUs as referred to in Paragraph B 2 of Section 1 of Schedule 2 of the loan agreement, such Agreement has not been suspended or terminated and such LGU has not been declared to be ineligible; (b) the Beneficiary has been selected in accordance with the eligibility criteria as referred to in Paragraph D 1 of Section I of Schedule 2 of the loan agreement; (c) the Borrower has obtained a Letter of Commitment from the Beneficiary and such Letter has not been suspended or terminated; (d) the Borrower and the Beneficiaries have complied with the conditions for the provision of CCT Grants as set out in the Operations Manual including those referred to in Paragraphs D 2 and D 3 of Section I of Schedule 2 of the loan agreement; (e) the payments have been made in accordance with a mechanism satisfactory to the Bank; and (f) the Borrower has carried out a verification of compliance with the above conditions in accordance with the mechanism and procedures set out in the Operations Manual in a manner satisfactory to the Bank and as referred to in paragraphs D.2 (g) and D.3 (d) of Section 1 of Schedule 2 of the loan agreement.

Out of the total loan shown above, the amount allocated for 4Ps is as follows:

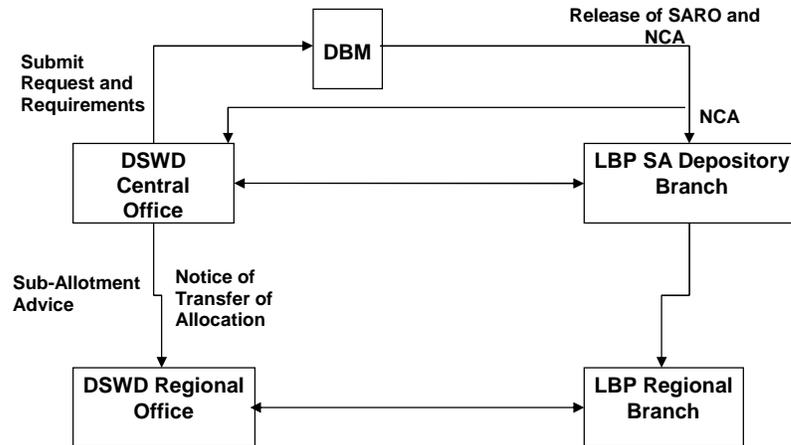
**Table 1: Project Allocation of Loan Proceeds (US\$'000)**

<b>Subcomponent</b>	<b>Amount of Loan</b>	<b>% of Expenditures to be Financed</b>
Grants	US\$ 320,886.00	75%
Institutional Strengthening and Bank Fees	16,530.60	100%
<b>Total Project Cost</b>	<b>US\$ 337,416.60</b>	

**Funds Flow for GOP Counterpart**

GOP funds shall be credited to the Modified Disbursement Scheme (MDS) account maintained by DSWD with the Land Bank of the Philippines. A portion of the GOP counterpart will be sub-allotted to the RPMOs to cover their operating expenses and disbursements for 4Ps activities to be directly undertaken or implemented by them.

### Funds Flow for GOP Counterpart to Regional Offices



### Program Accounting

#### Books of Accounts

The books of accounts of the project shall be maintained using the NGAS and eventually recorded using eNGAS. The project FM at the central office and the FM hired staff of the program at the regional offices, working under the direct supervision of the Head of the Accounting Division/Unit, shall be responsible for the maintenance of the books of accounts, monitoring of the Designated Account (DA), project peso accounts and prepares the Project Financial Reports required by the Bank.

The Central Office project FM shall also be responsible in the preparation of withdrawal applications.

Following government accounting rules and regulations, DSWD FMS shall maintain separate Books of Accounts for 4Ps. These will include journals and ledgers:

<b>Journals</b>	<b>Ledgers</b>
<b>Regular Agency Books:</b>	General Ledgers
- Cash Receipts Journal,	Subsidiary Ledgers
- Cash Disbursement Journal and	Cash
- General Journal	Receivables
<b>National Government Books:</b>	Inventories
- Cash Journal	Property, Plant and Equipment
- General Journal	Liabilities

### **Chart of Accounts**

Pursuant to COA Circular No. 2003-001 dated June 17, 2003, FMS shall use the same revised Chart of Accounts under NGAS. However, disbursement vouchers and other documents shall be properly stamped as charged to 4Ps.

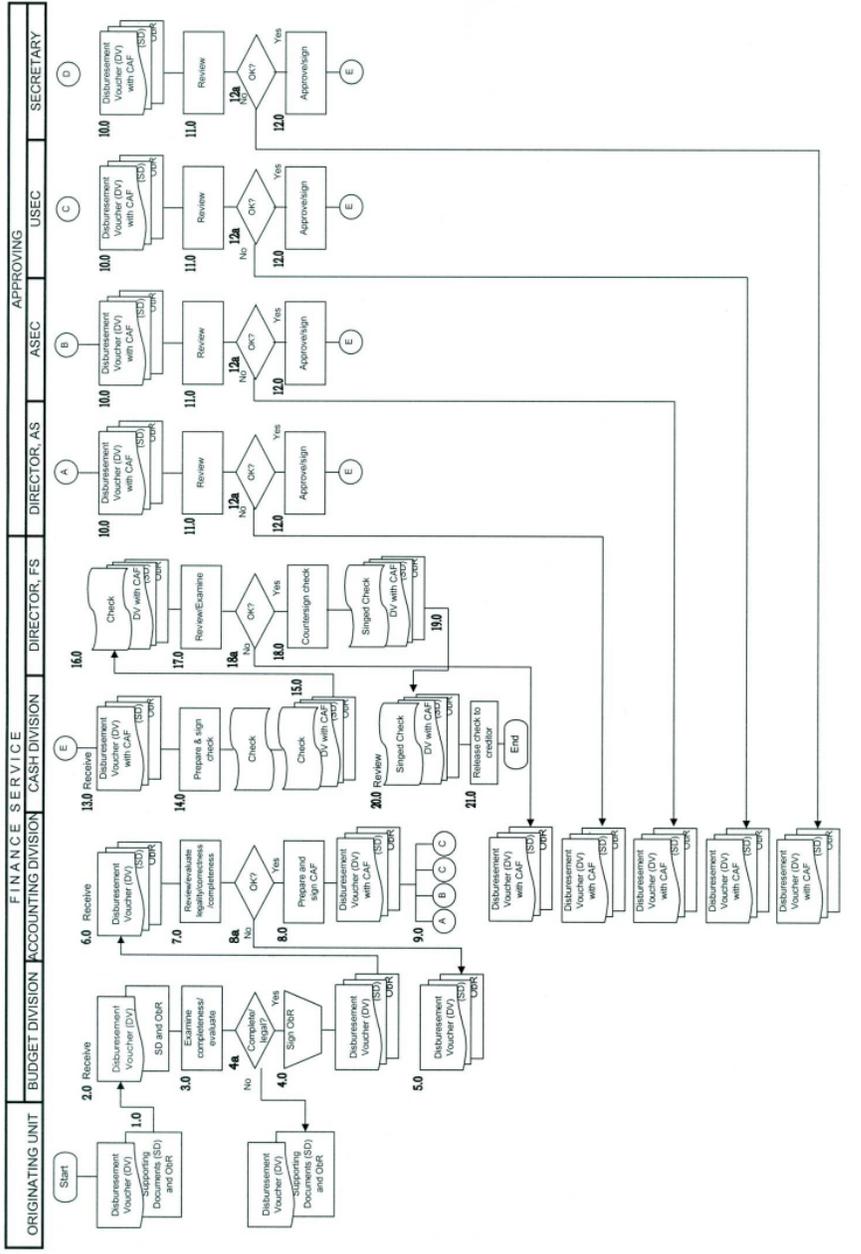
### **Disbursement Procedure for Regular Transactions**

1. The Disbursement Voucher (DV), Obligation Request (ObR) and Supporting Documents (SD) are prepared by the originating office requesting for payment of valid obligations. The Head of Originating office signs "Box A" of the ObR for the charges to Appropriation/Allotment. For Field Offices, authorized signatories under MC # 5, Series of \_\_\_\_\_.
2. The receiving staff/clerk at the Budget Division receives the DV, ObR and SD prepared by the originating office. Assigns ObR number and records in the logbook.
3. The details are reviewed on the basis of validity of the request, correctness of the amounts and information, and completeness of supporting documents.
4. Should there be corrections and clarifications the budget division coordinates with the originating office to resolve the issue or to verify corrections. If the corrections and clarifications cannot be resolved, the documents will be returned to the originating office.
5. If the documents are found in order, the documents are stamped/marked to indicate the sub-components, activity, category and the set/phase covered, then "Box B" of the ObR is signed by the Chief Budget Officer for the availability of Appropriation/Allotment.
6. The Bookkeeper receives at least 2 copies of DV, SDs, and ObR from the Budget Division. Assigns DV Number and records in the logbook the DV date, payee, particulars and amount. Stamps "For Money

Claims submitted supporting documents" on all SDs. Indicates the date of receipt on the "DATE" portion of the DV.

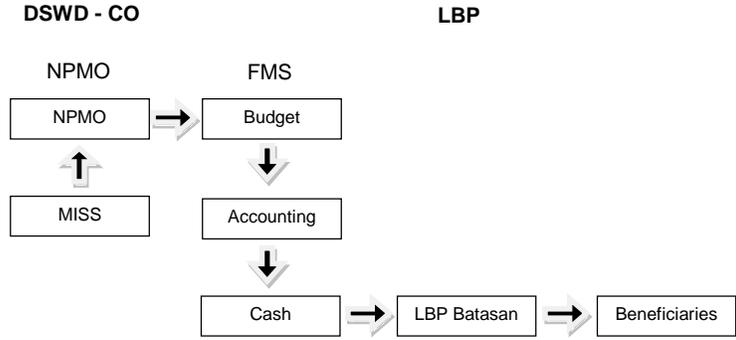
7. Checks the validity of request, correctness of amounts/computations and information, and completeness of supporting documents.
8. Should there be corrections and clarifications, the accounting coordinates with the Budget Division or Originating Unit (OU), depending on the nature of corrections. If the corrections and clarifications cannot be resolved, the documents will be returned to the OU. Posting/Indexing of NCA Balance - the availability of NCA will be checked and ascertained. Assigns Control Number and initials on the stamps "Availability of Cash Allocation. The Chief Accountant reviews the DV and SDs and signs in the "Box A" of DV.
9. The Bookkeeper records in the logbook the date of release of original copies of DV, SDs and ObR. Forwards to the Authorized Signatories/Official the documents for approval.
10. The receiving clerk at the Office of the Authorized Signatories/Official receives the DV, SDs and ObR and records in the logbook.
11. The DV, SDs and ObR are reviewed before approval.
12. If found in order, the Authorized Signatories/Official signs "Box B" of DV and forwards documents to Cash Division. Should there be corrections and clarifications, coordinates with the Accounting Division.
13. The receiving staff/clerk at the Cash Division receives the DV, SDs and ObR from the Office of the Authorized Signatories/Official and records in the incoming/outgoing logbook with the following details: date of receipt, DV number, payee, particular amount and fund code.
14. The documents are reviewed for the completeness of approvals. A check is assigned and prepared for an approved DV. The cashier verifies the availability of NCA and controls the disbursement. Should there be issues/ incomplete approval, the Cash Division will coordinate with the concerned Office of the Authorized Signatories/Official or Accounting Division.
15. The check is forwarded to the Chief Cashier for signing and reviewing of proper charging of disbursement, reviews the amount of check against the DV and supporting documents then forwards documents to the authorized signatories
16. The receiving clerk at the Office of the Authorized Countersignatories/Official receives the Check, DV, SDs and ObR from the Cash Division.

17. Reviews the details of check against the DV.
18. If found in order, the authorized signatories/officials countersigns the check. Should there be any correction, returns documents to Cash Division.
19. Forwards the signed and countersigned check, DV, ObR and SDs to Cash Division.
20. The cashier reviews the check as to completeness of signatures and correctness of check details and ensures that corrections are signed and countersigned by the authorized signatories/officials.
21. Release of check payable to a dealer, supplier, agency, company, organization or entity shall be covered by an official receipt. A certification or Authority to Collect and ID of the collector is presented to the Cashier. The claimant acknowledges the receipt of check in the DV and Check Warranty Registry. Check payable to person or individual is release only to the payee or claimant the check is made.
22. Stamped "PAID" on all paid DV's, ObR and all supporting documents.

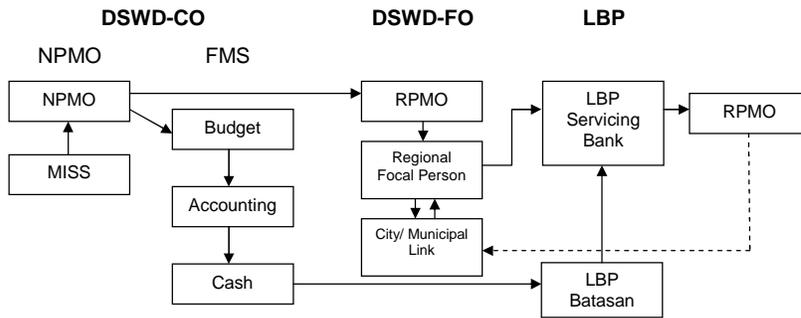


**Funds Flow Process for 4Ps Cash Grant**

**Thru ATM (CASH CARD)**



**Thru OTC**



**National Project Monitoring Office (NPMO)**

- FMS prepares the Disbursement Voucher (DV) and Obligation Request (ObR) payable to the Landbank for the total amount to be transferred to the account of the beneficiaries based on the validated and verified payroll list of beneficiaries. The OR shall be certified by the Project Manager that the charges of appropriation/allotment are necessary, lawful and under his/her supervision. The Project Manager and Project Director shall also certify the validity, propriety and legality of the supporting documents and that the payroll list are for beneficiaries that have fully satisfied the conditionalities set forth in the Operations Manual

- The DV, ObR and payroll list shall be submitted to FMS for processing the transfer of funds.

#### **Financial Management Service – Payments Unit**

- Generation of Payroll List, Payroll Summary based on eligibility check and results of CVS.
- Prepares reports on Payroll Generated, Funded and Disbursed per payment set
- Performs duplicity check.
- FMS shall coordinate and download the payroll list of beneficiaries for Cash Cards and OTC and pre-generated Acknowledgement Receipt for the pay-out period to FO Finance.
- Upon receipt of the LBP schedule of payment from FO, Payments Unit shall determine and process the total funding requirement of OTC payment of cash grant.
- The Payment Unit shall forward the Schedule of OTC payment of FO's to LBP Batasan Branch copy furnish NPMO.

#### **Financial Management Service - Budget Division**

- Reviews and examines the completeness of the documents.
- Certifies the availability of allotment and obligates the amount for the purpose. Approves the ObR.

#### **Financial Management Service - Accounting Division**

- Reviews and examines the completeness, correctness and legality of the documents.
- Controls and records the disbursement in the cash utilization worksheet.
- Certifies the availability of cash allocation and completeness of supporting documents.
- Submits/forwards the DV, ObR with the supporting documents to the approving officer.

#### **Financial Management Service - Cash Division**

##### **A. Payment thru Cash Card**

- Validates the name of beneficiaries and account number through the FinDES provided by the LBP.
- Encodes the approved amount granted to the beneficiaries.
- Prints the Cash Card Summary Report to be certified by the Chief Cashier and for approval of the FMS Director.
- Issues the check payable to LBP for the total grant.
- Submits the Cash Card Summary Report with an electronic copy together with the check issued.

## **B. Payment thru OTC**

### **Central Office**

- Validates the total amount of disbursements with the summary of beneficiaries per municipality.
- Issues check payable to DSWD 4Ps Over The Counter
- Deposits the issued check to LBP together with the submission of summary of beneficiaries per municipality.

### **Regional Project Management Office (RPMO)**

#### On Cash Card:

- FO-Finance shall coordinate RPMO/FP that cash grants are deposited/downloaded to Cash Card beneficiaries.
- FO-Finance forwards copy of payroll to FP/MLs/MRBs.

#### On OTC:

- FO Finance shall coordinate and provide copy of payroll list of beneficiaries to the Focal Persons/MLs/MRBs.
- Based on the payroll provided, the 4Ps FP//ML of the FO's shall group the beneficiaries/municipalities into clusters according to their respective servicing bank.
- The Focal Person shall coordinate with ML and LBP Servicing Branches for the schedule of OTC payment for a period of 15 days.
- The ML/MRB validates the payroll and prepares Schedule of Payment per Cluster and Consolidated Order of Payment (OP), then submits to FO Finance.
- Financial Analysts I and II shall review Schedule of Payment per Cluster (Annex \_\_) and Consolidated OP per cluster (Annex \_\_) submitted by ML & MRBs based on payroll downloaded by CO Finance.
- The Regional Accountant shall certify the Schedule of Payment per Cluster and Consolidated OP to be approved by the Regional Director.
- The FO shall submit to CO FMS the approved Schedule of OTC payment for beneficiaries per cluster with corresponding amount of cash grants to be paid on the particular date of payment within one (1) week after receipt of payroll, while the approved Consolidated OP are forwarded to LBP Servicing Branch.
- During OTC pay-out, the witnesses- Focal Person, MRB shall sign the pre-generated AR in blue or green ink **other than BLACK ink**.

## LAND BANK OF THE PHILIPPINES

### A. Payment thru Cash Card

- Checks the correctness of the Cash Card Summary Report and validates the electronic copy (e-copy).
- Issues Official Receipt pertaining to the check issued.
- Transmits the transfer of funds to the account of beneficiaries.

Based on the Amended Memorandum of Agreement (MOA) between LBP and DSWD, LBP shall submit every quarter to DSWD thru FMS a **Summary of Account Balances of Beneficiaries**. Any abnormal activity or non-activity of the bank accounts of the beneficiaries will be coordinated and monitored by PMO for further verification and review.

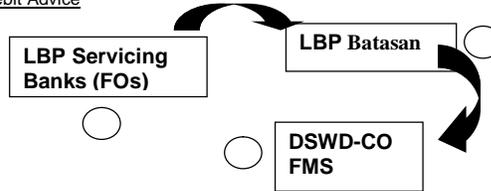
### B. Payment thru OTC

- LBP-Batasan credits the amount of check issued to DSWD 4Ps Over The Counter current account maintained by DSWD
- LBP servicing banks pays beneficiaries upon presentation of Pregenerated Acknowledgment Receipt signed by the Focal Person and by the MRB, to be initialed by the ML as witnesses on the proper identification of beneficiaries based on the approved Consolidated Order of Payment.
- Submits/ forwards reports submitted by LBP servicing banks to DSWD as follows:
  - SNAP SHOT of bank statement / monthly bank statements
  - Liquidation Report
  - Debit Advices issued by LBP servicing banks
  - Acknowledgement Receipts
  - List of Beneficiaries Paid for the Day

**Flow of Liquidation of 4Ps OTC**

Submit to LBP Batasan  
Order of Payment  
Acknowledgement Receipt  
List of Paid Beneficiaries  
Copy of Debit Advice

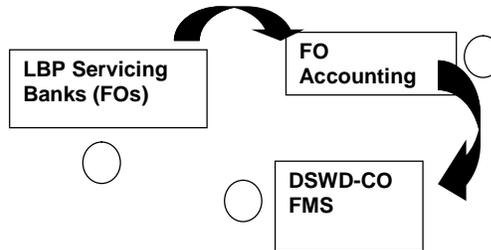
Submit to DSWD-CO  
All documents sent by LBP servicing  
banks  
Bank Statement of 4Ps OTC Current  
Account



Verification of submitted Liquidation Reports Booking up and recording of Liquidation Report

Submit to FO Finance the  
Acknowledgement Receipt  
List of Paid Beneficiaries  
Copy of Debit Advice  
Billing Statement for Service Fees

Submit to DSWD-CO  
Bank Statement of 4Ps OTC Current  
Account  
Liquidation Reports  
Statement of Expenditures



Verification of submitted Liquidation Reports Booking up and recording of Liquidation Report

### **FO Accounting Unit:**

#### **1. Verifies the Liquidation Report submitted by LBP Batasan Branch**

- Check the validity of the Acknowledgement Receipt if duly signed by DSWD-Regional Focal Person and MRB, received by the beneficiary and stamped "PAID" by LBP designated teller
- Validate the List of Beneficiaries paid during the day with the Acknowledgment Receipt issued and paid by LBP servicing bank
- Tally the total amount disbursed/debited by LBP Servicing Branch with the amount of debit advice issued
- Prepare liquidation report and submits to CO FMS.

#### **DSWD Central Office FMS:**

#### **2. Prepares report and books up the Liquidation Report**

- Validate the actual amount debited per bank statement vis-à-vis Debit Advices issued by servicing banks
- Summarize the amounts debited from the DSWD 4Ps OTC current account by LBP Batasan per day
- Prepare Summary of Debit Advices issued by LBP servicing banks to be supported by Order of Payments, Acknowledgement Receipts
- Book up the total cash grant received by the beneficiaries per Summary of Debit Advices
- Prepare bank reconciliation statements
- Consolidate SOE's for Cash Grants.

### **Audit Arrangements**

#### **Internal Controls/Internal Audit**

The project shall follow the internal controls policies and procedures found in the NGAS, Government Audit and Accounting Manual (GAAM), COA and DBM memoranda and circulars, other laws and regulations. In addition, the project shall be covered by an Internal Audit review twice a year, with reports submitted to the Bank 60 days after the end of each calendar semester, starting with the second calendar semester after loan signing.

Additional internal controls that shall be implemented under the project are the following: (a) Regular conduct of spot checks of the 4Ps operation from targeting to receipt of cash grants by the beneficiaries by an independent consulting firm; and (b) Maintenance of Grievance Redress System. All FMS offices at DSWD shall conduct regular review of the reports under these two activities to ensure that all issues with financial impact are adequately and promptly addressed.

### **External Audit**

The Commission on Audit shall be the external auditors of the project. DSWD FMS shall prepare and together with the NPMO agree the Terms of Reference with the COA Auditors.

### **Financial Reports**

The financial reports that shall be submitted to the Bank are as follows:

a. Unaudited Interim Financial Reports (IFRs) within 60 days after the end of each calendar quarter, which shall consist of the:

(1.) Financial Reports consisting of the following:

- Statement of Financial Position;
- Statement of Sources and Uses of Funds which should include the current and cumulative data compared with plan (covering loan proceeds and government counterpart fund);
- Bank Reconciliation Statements, both dollar and all peso project bank accounts;
- Aging Schedule of Outstanding Funds released to the regional offices; and
- Status of the Implementation of the Time-Bound Plans for the eNGAS roll out and the resolution of the COA prior years' issues.

(2) Physical Progress Report which may include narrative information and output indicators linking financial information with physical progress, and highlight issues that require attention; and

(3) Procurement Status Report.

The Physical Accomplishment Report must be linked to the financial report. The first quarter IFR of each year shall also include the report on the results of the reconciliation of the physical count of fixed assets and inventories against the accounting and property & asset management records. There should also be an introductory narrative discussion of project developments and progress during the period, to provide context to (or other explanations of) information reported in the financial, physical and procurement sections.

The Project Manager is responsible for ensuring that a complete IFR is produced, and provided to all stakeholders in a timely manner. As manager of the project, he/she should also work with the appropriate government officials and project staff to provide narrative explanations of project progress and to take actions to address problems or take

advantage of opportunities that may be presented in the IFR. The Central Office FMS is responsible for preparing the financial reports and shall ensure that it received the financial reports from the regional offices on time. The physical progress and procurement reports shall be the responsibility of NPMO and procurement staff in coordination with Administrative Service/Procurement Service Division.

The following IFRs shall be prepared in accordance with the financial covenants before loan negotiation:

b. Annual audited project financial statements, which shall consist of a

- Statement of Financial Position,
- Statement of Financial Performance,
- Statement of Changes in Net Assets/Equity, and
- Cash Flow Statement together with a copy of the Management Letter reflecting the auditor's findings and recommendations,

These shall be submitted to the Bank no later than 6 months after the end of each fiscal year. The notes to the financials statements shall adequately disclosed the disbursements by categories of expenditures translated and the loans proceeds received for the year and cumulative from project start. The Audit Certificate to be issued shall be based on the Bank's pro forma audit certificate.

c. Semi-annual report of the reputable audit consultants and/or the internal audit services unit of DSWD on the results of its review of the Project shall be submitted to the Bank within 60 days after the end of each calendar semester.

The FMS shall prepare and submit the following financial management reports of 4Ps on a quarterly basis:

- Statement of Notice of Cash Allocation, Disbursement and Balances
- Statement of Allotment, Obligations Incurred and Balances (SAOB)
- Summary of Grant to Beneficiaries per region per province per municipality

<b>FINANCIAL REPORTS (to be submitted by Field Offices)</b>	<b>DEADLINE OF SUBMISSION</b>
<b>MONTHLY</b>	
<b>ACCOUNTING</b>	
1. Trial Balance	Every 10 <sup>th</sup> day of the following month
2. Details of Subsidy Income from National Government (651)	

<b>FINANCIAL REPORTS (to be submitted by Field Offices)</b>	<b>DEADLINE OF SUBMISSION</b>
3. Details of Subsidy from Central Office (653), if any	Every 15 <sup>th</sup> day of the following month
4. Details of Accounts 421, 439, 662, etc.	
5. BF 305 – Monthly Charges to Accounts Payable	
6. Summary of List of Checks Issued /Monthly Report of Disbursements	
7. Statement of NCA/NTA Received, Utilization and Balances	
8. Statement of Expenditures (SOEs)	
9. Statement of Receipts and Disbursements (FAPs)	
10. Statement of Sources and Uses of Funds	
10. Uses of Funds by Project Activity	
11. Status of Grant Fund Utilization	
<b>CASH</b>	
1. Summary List of Checks Issued	Every 5 <sup>th</sup> day of the following month
2. Monthly Cash Position Report	
<b>BUDGET</b>	
1. Statement of Allotment, Obligation and Balances	Every 5 <sup>th</sup> day of the following month
<b>QUARTERLY</b>	
<b>ACCOUNTING</b>	
1. Detailed and Condensed Balance Sheet	Every 20 <sup>th</sup> day of the month following the quarter
2. Detailed and Condensed Statement of Income and Expenses	
3. Statement of Cash Flows (Cumulative)	
4. Statement of Government Equity	
5. Statement of Unliquidated Cash Advances (Account Codes 103/123/136/137/138/139)	
6. Report of Income NG Books (Cumulative)	
7. Report of Income RA Books (Cumulative)	
8. Quarterly Status Report on COA Audit Findings and Recommendations	Every 15 <sup>th</sup> day of the month following the quarter
9. Consolidated Quarterly Financial Progress Report	Every 25 <sup>th</sup> day of the month following the quarter
<b>YEARLY</b>	
<b>ACCOUNTING</b>	
1. Pre- and Post-Closing Trial Balance	Every 20 <sup>th</sup> day of the following year
2. Closing JEV	
3. Statement of Accounts Payable (w/ aging)	
4. Notes to Financial Statements	
5. Statement of Management's Responsibility for Financial Statements	
6. Annex B – Detailed Breakdown of Disbursements	
7. Annex C – Report of Income NG Books	
8. Annex D – Report of Income RA Books	

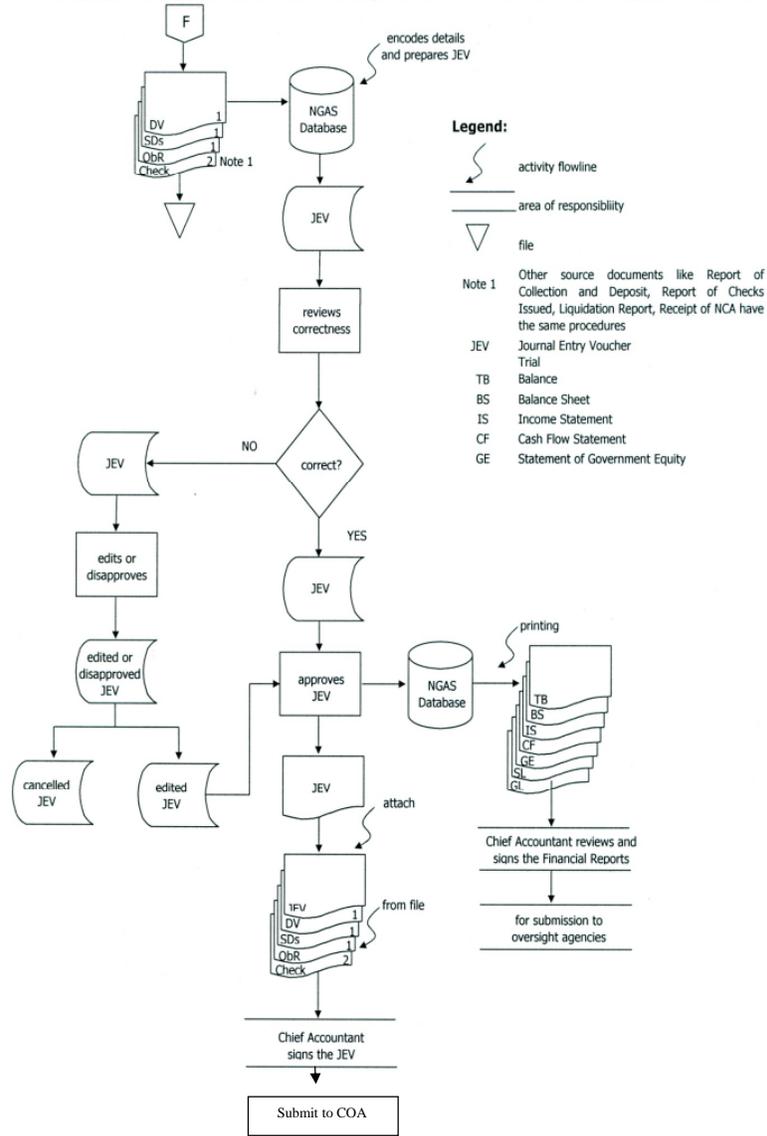
<b>FINANCIAL REPORTS (to be submitted by Field Offices)</b>	<b>DEADLINE OF SUBMISSION</b>
9. Annex F – Breakdown of Expenses	
<b>CASH</b>	
1. Unfunded Sub-Allotment Advice (SAA)/Sub-ARO (SARO)	Every 20 <sup>th</sup> day of the following year
<b>BUDGET</b>	
1. Statement of Allotment, Obligation and Balances	Every 20 <sup>th</sup> day of the following year
2. Detailed Breakdown of Obligation	

### **Financial Reporting System**

1. The DVs, SDs, ObR and duplicate checks including Report of Checks Issued are received from the Cash Division
2. These source documents shall be entered in the NGAS database for preparation of Journal Entry Voucher (JEV)
3. The JEV shall be retrieved from the NGAS database for review as to correctness of details, journal entries and subsidiary ledgers. If found incorrect, the JEV shall be edited or disapproved. Once, disapproved, the system reflects the JEV as cancelled while the edited JEV shall be approved
4. If the JEV is found correct, this shall be approved, including the edited JEV.
5. The approved JEV is now ready for printing and this shall be attached to the DVs, SDs, ObR and duplicate check for signature of the Accountant
6. After approval of the JEV, the financial reports including Trial balance, Balance Sheet, Income Statement, Statement of Cash Flows, Statement of Government Equity, Subsidiary Ledgers and General Ledgers can now be printed
7. These financial reports shall be reviewed and certified by the Chief Accountant and to be submitted to oversight agencies

**DEPARTMENT OF SOCIAL WELFARE AND DEVELOPMENT  
FINANCIAL MANAGEMENT SERVICE - Accounting Division  
FINANCIAL REPORTING SYSTEM**

**ACCOUNTING DIVISION**



**PANTAWID PAMILYANG PILIPINO PROGRAM (4Ps)**  
**Sources and Uses of Funds**  
**World Bank (IBRD) Loan No. \_\_\_\_\_**  
**For the Quarter ended \_\_\_\_\_**  
*In the Philippine Pesos (Php) 000's*

Particulars	Cumulative Total as of Previous Reporting Period	This Quarter	Cumulative Total	Forecast for the next quarter
<b>Sources of Funds:</b>				
Loan Proceeds				
GOP Counterpart				
Cash Available				
<b>Less: Uses of Funds, by Project Component</b>				
<b>GOP</b>				
<b>Grants (cash transfers) to:</b>				
Health Transfers				
Education Transfers				
Bank Fees				
<b>Institutional Strengthening</b>				
PMO				
MIS for 4Ps				
M&E				
<b>Total GOP Expenditures</b>				
<b>Loan Proceeds</b>				
<b>Grants (cash transfers) to:</b>				
Health Transfers				
Education Transfers				
Bank Fees				
<b>Institutional Strengthening</b>				
PMO				
MIS for 4Ps				
M&E				
<b>Total Loan Proceeds Expenditures</b>				
<b>Total Expenditures</b>				
<b>Cash Available Less Expenditures</b>				
Foreign Exchange Difference				
<b>Net Cash Available</b>				
<b>Closing Cash Balances</b>				
Designated Account - Loan Proceeds				
Designated Account - GOP Counterpart				
<b>Total Closing Cash Balances</b>				
<b>Notes: Exchange Rate: US\$ = Php (variable)</b>				

Prepared By

Financial Analyst

Certified by:

Chief Accountant

Reviewed by:

Director for FMS

Approved by:

Undersecretary for GASSG



DEPARTMENT OF SOCIAL WELFARE AND DEVELOPMENT  
REGIONAL OFFICE NO. \_\_\_

SOCIAL WELFARE AND DEVELOPMENT REFORM PROJECT  
(Fund 101)  
STATEMENT OF SOURCES AND USES OF FUNDS  
For the month of \_\_\_\_\_

PARTICULARS					LP	GOP	TOTAL
<b>BEGINNING BALANCE</b>							
<b>ADD: RECEIPTS</b>							
Date	SAA #	NTA#/Check#	Particulars				
<b>TOTAL RECEIPTS:</b>							
<b>TOTAL FUNDS AVAILABLE</b>							
<b>LESS: DISBURSEMENTS</b>							
Date	DV#	Check#	Particulars	Proj Activity			
<b>TOTAL DISBURSEMENTS</b>							
<b>ENDING BALANCE</b>							

Prepared by:

Certified by:

Approved by:

Cash Clerk

Field Office Cashier

Regional Director

DEPARTMENT OF SOCIAL WELFARE AND DEVELOPMENT  
 REGIONAL OFFICE NO. \_\_\_\_\_  
 PANTAWID PAMILYANG PILIPINO PROGRAM (4Ps)  
 (Fund 101)  
 REGIONAL CONSOLIDATED QUARTERLY FINANCIAL PROGRESS REPORT  
 For the quarter ending \_\_\_\_\_

Project Component/Activity/Output	LOAN PROCEEDS			GOP COUNTERPART			TOTAL		
	As of previous quarter	This quarter	To date	As of previous quarter	This quarter	To date	As of previous quarter	This quarter	To date
<b>A. 4Ps Grants</b>	Source: Monthly Uses of Funds by Project Activity	Source: Monthly Uses of Funds by Project Activity	Source: Monthly Uses of Funds by Project Activity	Source: Monthly Uses of Funds by Project Activity	Source: Monthly Uses of Funds by Project Activity	Source: Monthly Uses of Funds by Project Activity			
1. Health Transfers									
2. Education Transfers									
3. Bank Fees									
Subtotal 4Ps Grants									
<b>B. Institutional Strengthening</b>									
<b>1. PMO</b>									
Consultants									
Training									
Social Marketing									
Grievance Communication Systems									
Technical Assistance									
Vehicles									
Subtotal PMO									
<b>2. MIS for 4Ps</b>									
Software Development									
Software Licenses									
Hardware (LGUs)									
Servers and hardware									
Network Connectivity									
Scanners at regions									
Training on MIS									
Subtotal MIS for 4Ps									
<b>3. M&amp;E</b>									
<b>a. Spot Checking</b>									
Consultant Services									
<b>b. Impact Evaluation</b>									
Follow up household survey									
Follow up facilities survey									
Qualitative Survey									
Evaluation Team									
Subtotal Impact Evaluation									
<b>c. Monitoring</b>									
Consultant Services									
Subtotal M&E									
Subtotal Institutional Strengthening									
<b>Total</b>									

Prepared by:

Financial Analyst

Certified by:

Chief Accountant

Reviewed by:

Director for FMS

Approved by:

Undersecretary for GASSG

Department of Social Welfare and Development  
Field Office No. \_\_\_\_\_

**SCHEDULE OF OVER THE COUNTER (OTC) PAYMENTS**

For the Period Covered: \_\_\_\_\_  
Set \_\_\_\_\_

Cluster	Province	City / Municipality	Barangay	No. Of HH Beneficiaries Paid	Education	Health	Total Amount of Cash Grants to be Paid	Schedule of Payments	LBP Servicing Bank		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)		
	Isabela	Divilacan	Dicambangan	31							
			Dicaroyan	12							
			Dicatian	30							
			Bicobian	59							
			Dilakit	22							
			Dimapnat	77							
			Dimapula	43							
			Dimasalansan	24							
			Dipudo	11							
			Dibulos	16							
			Ditarum	20							
			Sapinit	16							
<b>Total</b>						<b>361</b>			<b>621,900.00</b>		

Prepared by:

Reviewed by:

Certified by:

Approved by:

ML / MRB

Financial Analyst II

Regional Accountant

Regional Director



## CHAPTER SIX PROJECT PROCUREMENT MANAGEMENT SYSTEM

### A. The Project Procurement Plan

The DSWD developed a Project Procurement Plan for the first 18 months of project implementation of the Social Welfare and Development Reform Project (SWDRP), which provides the basis for the procurement methods. The Procurement Plan includes procurement packages for 4Ps, which is Component 2 of the SWDRP. It is available at the Procurement and Supply Division (PSD) of the DSWD. It will also be available through the Project's database as well as on the Bank's external website. The Project Procurement Plan will be updated annually in agreement with the Project Team, or as needed to reflect the actual implementation needs of the project and/or improvements in institutional capacity.

### B. Frequency of Procurement Supervision

Based on the overall risk assessment, twice-yearly field supervision missions to include the post review of procurement actions will be implemented. This will be in addition to the prior review to be conducted from the Bank's Manila office. With respect to contracts not subject to prior review, the procedures set forth in Paragraph 5 of Appendix 1 in the Procurement and Consultant Guidelines will apply at an initial ratio of not less than one (1) to ten (10) contracts. This ratio may be adjusted based on the performance of the agency.

### C. Details of the Procurement Arrangements Involving International Competition

This procurement plan, agreed upon by DSWD and the Bank, covers the first 18 months of the activities that will be financed under the project.

#### 1. Goods and Works

- a. The list of contract package(s) to be procured following ICB:

1	2	3	4	5	6	7	8	9
Ref. No.	Contract (Description)	Estimated Cost (US\$ M)	Procurement Method	P-Q	Domestic Preference (Yes/No)	Review by Bank (Prior / Post)	Expected Bid Opening Date	Comments
	ID Cards	3.17	ICB	None	Yes	Prior		SBD Goods
	MIS/ICT Hardware and Software	4.00	ICB	None	Yes	Prior		SBD Goods

- b. The first contract to be awarded following a particular procurement method, as well as all ICB and Direct Contracting, will be subject to prior review by the Bank.

**2. Consulting Services**

a. List of consulting assignment(s) with a shortlist of international firms

1	2	3	4	5	6	7
Ref. No.	Description of Assignment	Estimated Cost (US\$ M)	Selection Method	view by Bank (Prior/Post)	Expected Proposals Submission Date	Comments
	Module/System (Targeting) Development	0.28	QCBS	Yes		SBD/RFP Consultancy
	Module/System (4P's Grant) Development	0.346	QCBS	Yes		SBD/RFP Consultancy

b. The first contract to be awarded following a particular selection method, and subsequent contracts estimated to cost US\$200,000 and above per contract, and single source selection of consultants will be subject to prior review by the Bank.

c. Shortlists of consultants for services estimated to cost less than US\$200,000 equivalent per contract may be composed entirely of national consultants in accordance with the provisions of Paragraph 2.7 of the Consultant Guidelines.

**D. Procurement Management Structure**

**1. Central Office**

Procurement activities will be carried out by the DSWD-CO. In line with the desire to mainstream the Social Welfare and Development Reform Project (SWDRP) into the regular DSWD structure, procurement shall be the overall responsibility of the Administrative Service Director through the Procurement and Supply Division (PSD). The PSD is responsible for the procurement undertakings for the funds administered by the DSWD-CO. This group was responsible for DSWD procurements for local and foreign-assisted projects including the Bank-financed Early Childhood Development Project (ECDP), the Social Expenditure Management Project (SEMP) 1 and 2, the Kapit-Bisig Laban sa Kahirapan--Comprehensive and Integrated Delivery of Social Services Project (KALAHI-CIDSS), and a number of other grants.

In keeping with the provisions of Republic Act No. 9184 otherwise known as the "Government Procurement Reform Act," the DSWD also has a Bids and Awards Committee, which has its own Secretariat to provide administrative support.

Both the PSD and the BAC, including its Secretariat, are well-versed with the Bank's procurement guidelines and are staffed with competent personnel able to implement the proposed procurement arrangement under the project. The DSWD has benefited from its numerous project procurement and implementation experiences, as well as from the reforms and build-up of institutional capacity initiated and mainstreamed under previous Bank-financed activities.

- a. The Administrative Service, through the Procurement and Supply Division, shall perform the following tasks for the Project:
  - Prepare the Project Procurement Plan
  - Prepare bidding documents for goods
  - Prepare requests for proposals for consultancy services
  - Prepare the contracts for goods and consultancy services
  - Manage the contract implementation for goods and consultancy services
  - Prepare and submit periodic procurement reports to management and the Bank
  - Prepare and submit procurement milestones and monitoring reports to NEDA
  - Maintain an orderly file of all procurement transactions for internal and external audit
- b. The Bids and Awards Committee, with the support of its Secretariat, shall perform the following tasks for the Project:
  - Disseminate invitations to bid (for goods) and requests for proposal (for consultancy services)
  - Conduct pre-procurement and pre-bid conferences
  - Issue bidding documents and requests for proposal to prospective bidders
  - Determine the eligibility of prospective bidders
  - Receive bids and/or proposals
  - Evaluate the bids and /or proposals
  - Undertake post-qualification proceedings
  - Resolve motions for reconsideration
  - Recommend award of contracts

**2. Signing Authority for Contracts**

In compliance with DSWD Memorandum Circular No. 07 Series of 2009, "Delegation of Authority by the Secretary," the following shall be the SWDRP's system of approval and authorized signatories for requisitions for issuance and purchase, and contracts.

- a. The authority to sign requisitions for issuance and purchase is delegated as follows:

<b>Type of Requisition/ Purchase Request</b>	<b>Recommending Authority</b>	<b>Approving Authority</b>
	<b>Requesting</b>	<b>Approving</b>
Foreign-Assisted Projects (FAPs) – All requests	Project Manager/ Assistant Secretary for GASSG	Director, Administrative Service/ Project Director/ Deputy Project Director

- b. The authority to approve Purchase Orders and Contracts for the procurement of goods and services is delegated as follows:

<b>Transactions</b>	<b>Authorized Signatory</b>
	<b>Approving</b>
Up to PhP500,000	Director, Administrative Service
More than PhP500,000 up to PhP2M	Assistant Secretary for GASSG
More than PhP2M up to PhP50 Million	Undersecretary for GASSG
More than PhP50 Million	Secretary
BAC Resolution/ Recommendation regardless of amount	Undersecretary for GASSG
Consultancy for Foreign-Assisted Projects (FAPs) regardless of amount <ul style="list-style-type: none"> <li>• Notice of Award</li> <li>• Contract</li> <li>• Notice to Proceed</li> </ul>	Project Director Project Director Director, Administrative Service

**Note:** The first contract to be awarded using a particular procurement method, as well as all ICB and Direct Contracting will be subject to prior review by the Bank.

## **E. Procurement Methods and Procedures**

### **1. Procurement Guidelines**

Project procurement will be carried out in accordance with the following: The World Bank "Guidelines: Procurement under IBRD Loans and IDA Credits" dated May 2004 and revised October 2006, "Guidelines: Selection and Employment of Consultants by World Bank Borrowers" dated May 2004 and revised October 2006, and the provisions stipulated in the Loan Agreement. While the new Philippine Procurement Law (Republic Act No. 9184 entitled the "Government Procurement Reform Act") is in sufficient harmony with the Bank's Guidelines at the National Competitive Bidding (NCB) Level, the Procurement Schedule of the Loan Agreement will include an Annex detailing those procedures under the national law deemed unacceptable by the Bank. Other than that, NCB procurement will be carried out in accordance with the law.

**Table 1. Thresholds for Procurement Methods and Prior Review**

Expenditure Category	Contract Value Threshold (US\$)	Procurement Method	Contracts Subject to Prior Review by Bank (US\$)
Goods	\$1,000,000 or more	International Competitive Bidding (ICB)	Prior
	\$100,000 up to less than \$1,000,000	National Competitive Bidding (NCB)	Post
	Below \$100,000	Shopping	Post
	-	Direct Contracting	Prior

**Note:** The first contract to be awarded using a particular selection method, subsequent contracts costing US\$200,000.00 and up, and single source selection of consultants will be subject to prior review by the Bank.

**2. Procurement of Goods**

a. International Competitive Bidding

Goods to be procured under this project would include ID cards and MIS hardware and software, including information and communication technology (ICT) and office goods for the various implementing units. The bulk of the ICT goods consisting of desktop and notebook computers, printers, scanners, and peripherals to be distributed among the various implementing DSWD units and LGUs will be lumped in one package to be put up for International Competitive Bidding (ICB) procurement using the Bank's standard bidding document (SBD). [Please refer to Annex 15 of the Project Implementation Plan (PIP) for the SBD for ICB].

b. National Competitive Bidding

Contracts worth US\$100,000.00 up to below US\$1M will be procured in accordance with the National Competitive Bidding (NCB) procedures using the Philippine Bidding Document (PBD) as harmonized with the Bank. [Please refer to Annex 14 of the Project Implementation Plan (PIP) for the SBD for NCB]. The following procedures shall apply as harmonized with the World Bank Guidelines :

- There will be no eligibility check.
- All documents described in the Instructions to Bidders (ITB) Clause 13 (Eligibility Documents) shall be included in the Technical Proposal.

Documents will not need to be acknowledged or authenticated by the appropriate Philippine Consulate.

- During Bid Openings, Technical Proposals lacking any of the following documents shall be rejected and returned to the Bidders along with their unopened Price Proposal:
  - Technical Proposal Submission Sheet
  - Evidence of Financial, Technical, and Production Capability
  - Audited Financial Statements
  - Net Financial Contracting Capacity (NFCC), Credit Line Certificate, or Cash Deposit Certificate
  - Bid Security and
  - Authority of the Signatory
- There will be no ceiling for Financial Proposals, unless otherwise agreed upon, in National Competitive Bidding. There will also be no Approved Budget for the Contract (ABC). Bids shall not be declared "Failed" if their total bid price exceeds the ABC of the Procuring Entity.
- No domestic preference is applicable in National Competitive Bidding.

c. Procedure for Shopping

Procurement for off-the-shelf goods and small-value contracts costing below US\$100,000.00 will be awarded based on Shopping Procedures by comparing price quotations obtained from several suppliers, usually at least three (3), as defined in Paragraph 3.5 of the Guidelines.

The following procedures will be followed for Shopping: The BAC Secretariat shall post the Request for Quotation (RFQ) Form on the Philippine Government Electronic Procurement System (PhilGEPS) website as required by R. A. 9184 for the prescribed time period by the RFQ.

The RFQ shall indicate the descriptions and quantities of the goods or the specification of works, as well as the desired delivery or completion times and places. At least three (3) price quotations from bona fide suppliers shall be obtained prior to awarding. The BAC Secretariat shall prepare the Abstract of Quotations, regardless of the amount of goods to be procured, upon the deadline for submission of price quotation or upon the receipt of at least three (3) price quotations. The BAC Secretariat shall then forward the Abstract of Quotations to its members for evaluation and the awarding of the contract. The BAC shall award the contract to the bidder with the lowest calculated responsive quotation. The BAC Secretariat shall forward the signed Abstract of Quotations to the PSD, where the Procurement Officer shall prepare the Purchase Order (PO) and Obligation Request or Budget Utilization Request Form containing the terms of the accepted offer.

d. Direct Contracting

Direct contracting of highly specialized software which is proprietary and obtainable only from one source may be procured with the Bank's prior

agreement. These are software that are necessary to be installed in computers for the LGUs to be able to use the various modules that will be developed with these particular software and will be identified only after the modules and systems are developed.

### **3. Selection of Consultants**

Consultancy services providing technical assistance on the design and development of survey works, the targeting mechanism, the analysis of data, the translation of policy ideas on social welfare reforms into action plans and in building the capacity of key personnel to implement and manage change in line with the reform agenda will be financed under the program.

#### **a. Preparation of the Terms of Reference (TOR)**

The TOR is the key document in the preparation of Request for Proposal in the selection of consultants. It defines the objectives, scope of work, activities, tasks to be performed, responsibilities of the DSWD and the consultant, and the expected results and deliverables of the assignment. A TOR that is adequate and clear is vital to the understanding of the consultancy assignment and its correct execution. It reduces the likelihood of extra work which results in unnecessary delays and expenses on the part of the Department, and removes any ambiguities in the preparation of consultant proposals, contract negotiation, and execution of services. The level of detail and quality of information contained in the TOR will likewise determine the method to be adopted in selecting a qualified consultant.

The PMO of each of the SWDRP Component shall be responsible for preparing the TOR, as they will be most familiar with the type of assignment needed. The TOR usually consists of the following:

- Background of the Project
- Objectives in Hiring of Consultant/s
- Scope of Work
- Transfer of Technology or Knowledge (if applicable)
- List of Reports or Specific Deliverables by the Consultant/s
- Timelines or Performance Period, in particular the Submission Schedule of Reports or the Completion Dates of Deliverables
- Data, Local Services, Personnel, and Facilities to be Provided by the PMO
- Institutional Arrangements
- Qualifications of the Consultant/s (whether individual or a firm. For firms, the Qualifications of the Project Team Leader and Staff must be specified)
- Approved Budget Ceiling, the Terms of Payment, and Source of Funds

#### **b. Preparation of the Cost Estimate and Budget**

The PMO, in consultation with the Financial Management Service, shall prepare the cost estimate and budget for the consultancy assignment. This shall be based on a realistic assessment of the resources needed to carry out the

assignment such as staff time, logistical support, and physical inputs. Costs shall be divided into two general categories:

- Fixed Fee or Remuneration
- Reimbursable Expenses

c. Quality and Cost Based Selection (QCBS)

Quality and Cost Based Selection (QCBS) procedures will be applied in the hiring of consulting firms with contracts equivalent to US\$200,000.00 or more. The Bank's Standard Request for Proposal Form (RFP) will be used. [Please refer to Annex 8 of the PIP for the Sample RFP].

QCBS uses a competitive process among short-listed firms that takes into account the quality of the proposal and the cost of the services in the selection of the successful firm. Cost as a factor of selection shall be used judiciously. The relative weight to be given to the quality and cost shall be determined for each case depending on the nature of the assignment.

The selection process shall comprise the following steps:

- Preparation of the TOR
- Preparation of the Cost Estimate and Budget
- Advertising of the Requests for Expression of Interest (REI)
- Preparation of the Short List of Consultants
- Preparation and Issuance of the RFP [which should include the Letter of Invitation (LOI), Instructions to Consultants (ITC), the TORs and the proposed draft contract]
- Receipt of Proposals
- Evaluation of Technical Proposals: Consideration of Quality
- Public Opening of Financial Proposals
- Evaluation of Financial Proposal
- Final Evaluation of Quality and Cost, and
- Negotiations and Awarding of the Contract to the Selected Firm

d. Least-Cost Selection (LCS)

Survey works consultants consisting of the design, implementation, and analysis involving large number of individuals conducting routine data gathering under well-established practices and standards will be selected through Least-Cost Selection (LCS) procedures.

Under this method, a "minimum" qualifying mark for the "quality" is established. Proposals, to be submitted in two envelopes, are invited from a short list. Technical proposals are opened first and evaluated. Those securing less than the minimum qualifying mark<sup>7</sup> are rejected, and the financial proposals of the rest are opened in public. The firm with the lowest price shall then be selected and the publication of the Award of Contract shall be as described in paragraph 2.28. Under this method, the minimum qualifying mark shall be established,

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<sup>7</sup> This method shall not be used as a substitute for QCBS and shall be used only for the specific cases of very standard and routine technical nature where the intellectual component is minor. For this method the minimum qualifying mark shall be 70 points or higher.

understanding that all proposals above the minimum compete only on “cost.” The minimum qualifying mark shall be stated in the RFP.

e. Selection Based on Consultants’ Qualifications (CQ)

Contracts estimated to cost less than US\$200,000 equivalent may be procured through Selection Based on Consultants’ Qualifications (SBCQ) or through Single Source Selection (SSS), with the Bank’s prior agreement, in accordance with the provisions of the Consultant Guidelines.

CQ may be used for small<sup>8</sup> assignments for which the need for preparing and evaluating competitive proposals is not justified. In such cases, the Department shall prepare the TOR, request expressions of interest and information on the consultants’ experience and competence relevant to the assignment, establish a short list, and select the firm with the most appropriate qualifications and references. The selected firm shall be asked to submit a combined technical-financial proposal and then be invited to negotiate the contract.

f. Single-Source Selection (SSS)

Single-source selection of consultants does not provide the benefits of competition in regard to quality and cost, lacks transparency in selection, and could encourage unacceptable practices. Therefore, single-source selection shall be used only in exceptional cases. The justification for single-source selection shall be examined in the context of the overall interests of the client and the project, and the Bank’s responsibility to ensure economy and efficiency and provide equal opportunity to all qualified consultants.

Single-source selection may be appropriate only if it presents a clear advantage over competition, such as:

- for tasks that represent a natural continuation of previous work carried out by the firm,
- in emergency cases, such as in response to disasters and for consulting services required during the period of time immediately following the emergency,
- for very small<sup>9</sup> assignments, or
- when only one firm is qualified or has experience of exceptional worth for the assignment.

Government research and training institutions with exceptional expertise for the assignment may also be tapped under the program.

g. Selection of Individual Consultants (IC)

Individual Consultants necessary to support the program, meeting the requirements set forth in Section 5 of the Consultant Guidelines, will be selected under contracts awarded on the basis of competition in accordance with the provisions of the Consultant Guidelines, to wit:

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<sup>8</sup> Dollar thresholds defining “small” shall be determined in each case, taking into account the nature and complexity of the assignment, but shall not exceed US\$200,000

<sup>9</sup> Dollar thresholds defining “very small” shall be determined in each case, taking into account the nature and complexity of the assignment, but shall not exceed US\$100,000.

- 5.1 Individual consultants are employed on assignments for which (a) teams of personnel are not required, (b) no additional outside (home office) professional support is required, and (c) the experience and qualifications of the individual are the paramount requirement. When coordination, administration, or collective responsibility may become difficult because of the number of individuals, it would be advisable to employ a firm.
- 5.2 Individual consultants are selected on the basis of their qualifications for the assignment. Advertisement is not required<sup>10</sup> and consultants do not need to submit proposals. Consultants shall be selected through comparison of qualifications of at least three candidates among those who have expressed interest in the assignment or have been approached directly by the Borrower. Individuals considered for comparison of qualifications shall meet the minimum relevant qualifications and those selected to be employed by the Borrower shall be the best qualified and shall be fully capable of carrying out the assignment. Capability is judged on the basis of academic background, experience, and, as appropriate, knowledge of the local conditions, such as local language, culture, administrative system, and government organization.
- 5.3 From time to time, permanent staff or associates of a consulting firm may be available as individual consultants. In such cases, the conflict of interest provisions described in these Guidelines shall apply to the parent firm.
- 5.4 Individual consultants may be selected on a sole-source basis with due justification in exceptional cases such as: (a) tasks that are a continuation of previous work that the consultant has carried out and for which the consultant was selected competitively; (b) assignments with total expected duration of less than six months; (c) emergency situations resulting from natural disasters; and (d) when the individual is the only consultant qualified for the assignment.

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<sup>10</sup> However, in some cases Borrowers may consider the advantage of advertising at their option.

# CHAPTER SEVEN

## GRIEVANCE REDRESS SYSTEM

4Ps faces many challenges in implementation, given how the number of its beneficiaries has expanded since the beginning of the program. Correspondingly, the amount of coordination required to handle such transactions as the validation of household data, payment of cash grants, updates and verification of compliance has also grown. Inevitably, queries, requests for clarification resolutions of problems will arise. Program rules and regulations may not be sufficient, or else be implemented correctly. Hence, the need for the professional handling of grievances and appeals in a systematic and transparent manner is essential to ensure that the program achieves its goals in meeting the needs of the poor.

Thus, the goal of the Grievance Redress System is to capture and resolve all grievances effectively and expeditiously. It is intended as the venue in which both the program beneficiaries and general public can expect their concerns to be responded to, and a general guide for program staff on how to handle and resolve the grievances that will invariably emerge.

### A. Principles of the 4Ps Grievance Redress System

The Grievance Redress System (GRS) operates on the following principles:

1. **Simplicity and Accessibility:** Procedures in filing complaints and seeking redress will be simple enough and easy to understand, and grievances may be submitted through a range of means by the beneficiaries and the community in general
2. **Transparency:** Information about the system will be publicized to a broad audience from the barangay to national level and disseminated to the stakeholders (program beneficiaries, the general public, CSOs, media, government officials)
3. **Empowerment and Participation:** Communities, project implementers, and the media are encouraged to bring any complaints to the attention of project management and the public
4. **Timeliness:** Minimum response times are included in these guidelines to ensure that all grievances are handled in a timely manner
5. **The Right of Appeal:** Channels for appeal will be available if complainants are not satisfied with the resolution of their problem
6. **Confidentiality:** The identity of complainants will remain confidential unless otherwise requested
7. **Pro-community:** Community complaints will be resolved in order to maximize access to the benefits of 4Ps

## B. Objectives of the Grievance Redress System

### 1. Primary Objective

To facilitate due process in the resolution of grievances and complaints arising from program implementation.

### 2. Specific Objectives

- a. To resolve complaints rapidly and with due process
- b. To obtain data on the vulnerabilities of the project with the effect of making refinements where necessary in its implementation
- c. To empower communities in particular and civil society in general to ensure accountability in program implementation

### 3. Functions

- a. To provide information to beneficiaries and the general public on the GRS and the various options available to them
- b. To resolve complaints rapidly through:
  - Grievance redress processes at the provincial, regional, or national level depending on the type of complaints
  - The referral of grievances to the 4Ps committees at the provincial, regional, and national levels according to the nature of the complaint;
  - The investigation and verification of complaints as they are received
  - Coordination with the legal authorities in the event of a violation of the law or laws (e.g. corruption)
  - The compilation of data on the volume and status of grievances through a system that will enable the 4Ps management to identify, understand, and address vulnerabilities in program implementation
- c. To prepare materials for dissemination to the public on the grievance redress system, including steps for resolution and corrective actions to be taken
- d. To establish an appeals system if initial resolution attempts are not satisfactory

## C. Types of Grievances and Complaints

Table 1: Typology of Grievance

TYPOLGY	DESCRIPTION
<b>Exclusion Error</b>	<b>Individuals excluded from the list of beneficiaries feel they should be included</b> <b>Complaint or protest from an individual or household, or a group thereof, excluded from the beneficiary list who feel they should be included in the program.</b>

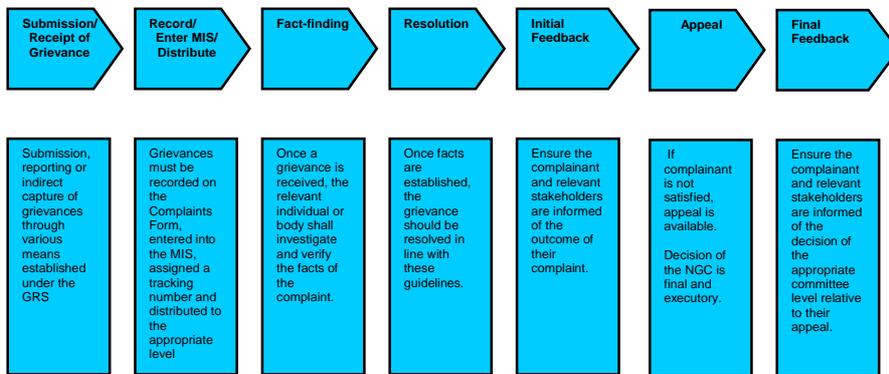
<b>Inclusion Error</b>	Complaint about an individual registered as a beneficiary who is considered to be ineligible to receive the Program's benefits
<b>Registration</b>	Complaint of an individual who was not able to attend initial community assembly for registration/validation or attended initial community assembly and registered but was eventually excluded
<b>Payment</b>	All issues related to grants, including: <ol style="list-style-type: none"> <li>1. Late Payment</li> <li>2. Bank Closed/ATM Off-Line</li> <li>3. No cash grants in card</li> <li>4. Not in Payroll List</li> <li>5. No Cash Card</li> <li>6. Overpayment</li> <li>7. Lost/Stolen Cash Card</li> </ol>
<b>Health Service Provision</b>	Includes closed facility (health center), absent / lack of personnel, slow service, and inadequate supplies/facilities
<b>Education Service Provision</b>	Includes closed facility (school/day care center), absent / lack of personnel, slow service, and inadequate supplies/facilities
<b>Compliance</b>	Complaint from beneficiary marked as non-compliant but is claiming otherwise and has official proof of compliance.
<b>External pressure</b>	Pressure applied on beneficiaries through the imposition of additional conditions or coercion to work/participate on the community projects and other activities not related to the program.
Misdemeanor	Includes the following: <ol style="list-style-type: none"> <li>A. Complaints from beneficiary/s involving Local Officials, Partner Agencies and Project Staff <ol style="list-style-type: none"> <li>o collection of fees/extortion</li> <li>o -collusion</li> </ol> </li> </ol>

	<ul style="list-style-type: none"> <li>o -unethical acts</li> <li>o -other fraudulent acts</li> </ul> <p>B. Complaint from community involving Beneficiary/s</p> <ul style="list-style-type: none"> <li>o false information provided during enumeration</li> <li>o collusion</li> <li>o unethical acts, and</li> <li>o other fraudulent acts such as but not limited to misrepresentation, falsification of documents related to the program, etc.</li> </ul>
Appeals	Suspended/terminated beneficiary appealing for reconsideration due to data error or beneficiary at fault.

**D. Filing of Grievances and Complaints**

Both program beneficiaries and non-beneficiaries, whether individually or as a group, may lodge a legitimate grievance or complaint, comment, or query with the city/municipal link or the designated grievance officer, either directly or indirectly. Direct means would refer to filing complaints through the parent leaders, Municipal Links, or the Grievance Officers.

The grievance handling procedure entails seven main stages, as described below:



• **Step 1: Submission/Receipt of a Grievance**

A grievance may be filed verbally or in writing.

a. Directly via

- Interview through the use of Grievance Form
- Electronic Mail
- Snail Mail

- Phone Call
  - SMS/Text Messaging
  - Networking Sites (FB, Twitter, etc.)
  - Complaint Boxes
- b. Indirectly via
- Monitoring reports on visits to program sites by program staff, independent monitors, NGOs, supervision teams, media, government officials, or any other interested persons
  - Media, including newspapers, television, radio and websites
  - Audit reports by internal and external auditors
  - Elected representatives at local legislative assemblies

***Helping Complainants Who Cannot Write***

If the complainant lacks the necessary skills to fill out the complaints form, he or she may seek the assistance of friends, neighbors, the parent leader, or the city/municipal link.

• **Step 2: Recording of Grievance/Entry into MIS**

- a. Fill out a Grievance Form, if applicable

Each grievance should be entered into a Grievance Form. Required information includes the following:

- How the complaint was received (letter, email, SMS, etc)
- The date the grievance was sent and received
- The name of the complainant, if provided (as well as the address and other contact details)
- The nature of the complaint

If the complaint was not lodged at the community level, then the form will be accomplished by the city/municipal link. If the grievance was received via email, letter, text message or the 4Ps Grievance Hotline, then the receiving officer will encode directly at the Data Entry Application.

A simple query or request for information about the 4Ps program does not need to be captured on a Grievance Form or entered into the MIS.

- b. Entry into MIS/Assignment of Tracking Number

All complaints shall be entered into the MIS through the 4Ps Grievance Database. The MIS will automatically assign a tracking number to each grievance.

If the area cannot access the database and the data entry application, the Grievance Officer assigned can initially process the complaint and forward to the area (with internet access) to be entered in the software application.

c. Categorization and Distribution

Once encoded/recorded, the Grievance Officer will provide appropriate resolution and indicate the appropriate Office or Level based on the nature/type of the complaint and the level at which said issue was submitted.

• **Step 3: Fact-Finding**

Once categorized, the next stage will be the distribution of the grievance for fact-finding and resolution. This activity includes gathering the facts and clarifying the circumstances surrounding the grievance. Usually, this is handled by the municipal/city link unless the complaint is at a higher level or is about the municipal/city link. In that case, either the assigned Grievance Officer shall conduct the fact-finding.

**Table 2: Level and Body Responsible for Fact-Finding**

<b>Level</b>	<b>Verification/Fact-finding Body</b>
National Level	Grievance Redress Division
Regional Level	Regional Grievance Officer
Provincial Level	Provincial Grievance Officer
Municipal/City	Cluster Grievance Officer or Social Welfare Assistant/Municipal/City Link
Barangay Level	Social Welfare Assistant/Municipal/City Link

The fact-finding process shall verify the following information:

- The identity of the complainant (if not filed as confidential) and nature of the complaint
- Status of the complaint: Whether it has already been resolved, is still in process of resolution, etc.
- Compile supporting evidence

Once fact-finding has been completed, recommendations shall be made to the appropriate bodies to redress grievance or complaints.

- **Step 4: Resolution**

This is the action and decision-making process undertaken at different levels. In general, an action will be any of the following, depending on the nature and type of complaint:

**Table 3: Grievance and Summary of Resolution Strategies**

Grievance	Resolution
Exclusion Error	<p>Complainant not surveyed: the response is to explain the selection process. The complainant can be referred to the MSWDO to avail of any other available social services.</p> <p>Complainant surveyed, ineligible: Explain the selection process to the complainant and take no further action</p>
Inclusion Error	<p>Three processes are used to address this complaint:</p> <p>First, validate complaint using Household Assessment Form (HAF) and compare data from the old to check for false information. If there is false information, delist from the list of beneficiaries. If none, proceed to the second process which is the re-running of the Proxy Means Test (PMT). If above the poverty threshold (non-poor), delist from the list of beneficiary. If below, go to the third process which is the community involvement referring to MAC and PGC for inputs and/or further recommendations.</p>
Registration	<p>No re-validation in the area, but three (3) weeks permitted for registration.</p> <p>Beyond deadline, the complainant can be referred to the MSWDO to avail of any other available social services.</p>
Payment Error	<p>Since these usually originate in the MIS payroll and are related to errors in children's ages and/or disputes over compliance with condition, refer such complaints to the PMO for data verification and possible <i>updating of database</i> (refer to updating guidelines).</p>
Service Provider	<p>Initially refer to appropriate Partner Agency thru the Municipal Advisory Committee (MAC). If not acted, refer to Provincial Grievance Committee (PGC) as focal and monitor for supply side.</p>
Misdemeanor	<p>C/ML or the assigned Grievance Officer should validate and provide immediate resolution if applicable.</p> <p>For high profile cases and/or involvement of Officials from</p>

	Partner Agencies and Local Government Units, initially refer to the Provincial Grievance Committee for discussion or raise to the Regional Grievance Committee for appropriate action, and to legal authorities for further investigation if warranted.
External pressure	C/ML or the assigned Grievance Officer should validate and provide immediate resolution if applicable.  Refer to the Provincial Grievance Committee for appropriate action.
Compliance	Request for documents/records as proof and validate actual compliance in facility.

- **Step 5: Feedback**

Once a grievance has been resolved, the complainant shall be informed of the outcome. If the complainant is anonymous but a valid complaint based on initial verification, information on the resolution of the complaint shall be posted on bulletin boards in the municipal and barangay halls, and entered into the 4Ps complaints database to reflect the new status.

- **Step 6: Appeal**

If a complainant is not satisfied with the outcome of the grievance resolution, he/she may appeal to appropriate Grievance Committee to air his/her concern.

- **Step 7: Feedback**

The complainant shall be informed of the outcome of the appeals process. The decision of the National Grievance Committee is final and executor.

#### **E. Grievance Redress Structure and Levels of Handling**

##### 1. The GRS Structure

The core of the GRS will be a dedicated Grievance Redress Division based at the National Project Management Office (NPMO). Comprising fulltime and dedicated personnel, the function of the division is to record and monitor the resolution of grievances. It will build the capacity of people and institutions involved in the 4Ps program to resolve complaints. It will also maintain the grievance database to ensure efficient and effective tracking of complaints' resolutions.

The Division will monitor resolution of grievances at all levels, including through Grievance Committees at the national, regional and provincial levels, The main types of grievances expected to be handled are non-compliance, inclusion and exclusion errors, problems with payment and supply-side complaints. The monitoring of resolutions provided by the grievance monitors/officers/levels will be undertaken to ensure conformity within the prescribed rules and procedures of the System and the Program.

The **National Grievance Committee** (NGC) has the responsibility to handle serious complaints and *appeals* on program cancellation for household grantees committing their final offense of non-compliance which may lead to termination. It also provides guidance and supervision for the Regional Grievance Committee.

The **Regional Grievance Committee** (RGC) hears complaints about counseling or suspension from the program due to the 2nd or 3rd offense of non-compliance. It handles complaints about external pressure, misdemeanor and corruption-related issues (workers, partners and local officials). It also handles cases that cannot be resolved at the Provincial Level and offers technical advice to the Provincial Grievance Committees.

The **Provincial Grievance Committee** (PGC) acts on cases reported to it directly and those referred upwards to it by the Municipal Link, Barangay Captain or Parent Leaders. The Committee shall respond to all complaints it receives either through direct or indirect sources. For major urban areas, the next level committee will be the RGC and the appropriate body to handle cases referred by the City Link.

The City/**Municipal Link** (C/ML) is the main Grievance Monitor and the key frontline worker of the GRS. The C/ML should be able to build the capacity of the other grievance monitors, including parent leaders, service providers and barangay officials, to assist him/her in providing appropriate information and even resolutions to grievances and issues associated with Program implementation.

## **2. Levels of Grievance Handling**

### **a. Parent Leaders**

Parent Leaders are 4Ps beneficiaries selected from a cluster of 25-30 households in each barangay. Parent Leaders act as a conduit of information between beneficiaries and 4Ps management, including facilitation of monthly meetings. They play an important role in capturing grievances and facilitating grievance redress.

Parent Leaders and the City/Municipal Link should also ensure that local leaders such as the barangay captain, religious leaders, traditional customary leaders and others are invited to the Assemblies, given their role in the community as problem solvers. They should also be given complaints forms to distribute to complainants.

### **b. Barangay Officials**

Barangay Officials – main partners in the immediate resolution of cases involving service providers, misdemeanor, targeting and compliance-related issues. They play an important role in mediation and provision of accurate information relative to beneficiaries' data profile and activities.

### **c. Municipal/City Advisory Committee**

The Role of Municipal Advisory Committee (MAC) - acts on cases referred to it by the Municipal Link, Barangay Captain, Parent Leaders, including

inclusion errors. The committee shall respond to all complaints either through direct or indirect sources.

**Minimizing Complaints from Beneficiaries**

*The best way to handle grievances is to prevent them from happening in the first place. To minimize problems in registration and validation, beneficiaries will be sent a letter informing them that they have been selected for the program and inviting them to attend a community assembly where they will:*

1. *Review the family data of household beneficiaries with possible complaints or problems*
2. *Correct any data (by supplying evidence such as birth certificates, a letter from doctor confirming a pregnancy at the time of registration and enrollment cards.)*
3. *Receive or seek information about the program, including where to submit grievances*
4. *Sign an Oath of Agreement to comply with the conditionalities of the program*
5. *Regular feedbacking between and among the parent leaders, municipal link and Igu links on matters affecting the beneficiaries or about the beneficiaries themselves*

*To minimize problems regarding the payment of the cash grants, information will be sent via SMS to the city/municipal links to inform them of when payment has been made by the LBP in their municipalities.*

**d. City/Municipal Link**

The city/municipal link serves as the Grievance Monitor and is the frontline worker in the Grievance Redress System. As the Grievance Monitor, he or she will work closely with parent leaders to keep track of any grievances and provide feedback to the complainant/s.

If the grievance is about the City/Municipal Link, then it should be reported directly to the RPMO or NPMO through any of the channels such as the 4Ps Grievance Hotline, email, letter or text message.

**e. Service Providers**

Service providers ensure the delivery of health and education benefits to the beneficiaries. Health clinics/units and day-care centers/schools in the project target areas will be visited at least once a month by the city/municipal Link. This will be an opportunity for the service providers to make any problems or complaints known, whether on their ability to deliver health and education services and/or the implementation of 4Ps.

**f. The Provincial Grievance Committee (PGC)**

The PGC acts on cases reported to them directly or indirectly and those referred upwards by the Cluster, City/Municipal Link and the Local Government Unit. The Committee shall respond to all complaints receive either through direct or indirect sources.

The members of the Committee shall be composed of the members of the Provincial Advisory Committee (PAC) with secretariat from the Pantawid Pamilya Provincial Team. All cases that need verification shall be conducted by at least the Provincial Grievance Officer (PGO) and any member of the Committee.

All grievances reported to the PGC must be immediately recorded and classified according to the type of complaint. They must be entered into the system directly in the case of on-line access, entered in off-line and sent to the region or filled out in hard copy and sent to the Regional Office for entry into the MIS and assignment of a tracking number.

Complaints that can be resolved at the Provincial Level include:

- a. Inclusion error complaints,
- b. Service providers' issues on health and education,
- c. Appeals on the 3<sup>rd</sup> instance of non-compliance or suspension in the Program
- d. External pressure and misdemeanor committed by service providers and officials

In handling problems, the PGO and any member of PGC with the assistance of the CGO, shall conduct the following:

- a. Interviewing the complainant to verify facts and circumstances surrounding the complaint;
- b. Collating documentary evidence with respect to the complaint (e.g.: reports, verification data, birth certificates, etc);
- c. Interviewing service providers;
- d. Interviewing local leaders;
- e. Interviewing relevant government officials.
- f. And other activities that may be necessary for the resolution of case/complaint.

All transactions received by the PGC related to Payments shall be forwarded to RPMO for verification and provision of appropriate resolution.

If the number of complaints received exceeds the capacity of the Provincial Committee, they may seek support from the Regional Committee, including through the National Grievance Redress Division. Complaints that cannot be resolved by the PGC must be referred to the Regional Committee. For cities with 4Ps implementation, the next level committee will be the appropriate body to handle grievances/cases referred directly or thru the City Link.

**g. The Regional Grievance Committee (RGC)**

The RGC acts on cases reported to them directly or indirectly and those referred upwards by the PGC, DSWD Regional Project Management Office (RPMO), or Local Government Units (LGUs). The Committee shall respond to all complaints receive either through direct or indirect sources.

The members of the Committee shall be composed of the members of the Regional Advisory Committee (RAC) with secretariat from the RPMO. All cases that need verification shall be conducted by at least the Regional Grievance Officer (RGO) and any member of the Committee.

In handling complaints, the Regional Grievance Committee shall take the following actions:

- a. Record and classify each grievance in accordance with the categories/typology
- b. Confirm with the relevant province whether the particular complaint has also been received at the provincial level.
- c. If the grievance has only been sent to the Regional Level, the Regional Committee should advise the relevant Province or City. If the grievance concerns the performance or behavior of institutions, staff or officials at the Provincial or City Level, then the Regional Committee should conduct its own fact-finding.

Oversight

The RGC shall also conduct a quarterly review of at least 10% of cases by PGC to ensure compatibility with the operational guidelines.

**h. The National Grievance Committee (NGC)**

The National Grievance Committee can receive complaints directly and indirectly through the various means. The members of the Committee shall be composed of the members of the National Advisory Committee (NAC).

In keeping with the principle that grievances should be handled at the lowest possible level, the national committee only handles high-level complaints, such as the following:

- a. Review cases referred by the Regional Committee or where the Regional Committee cannot resolve the problem within the stipulated timeframe
- b. Act and provide decisions on appeals, including appeals against termination due to final instance of non-compliance to program conditions
- c. Grievances with respect to the 4Ps procedures and regulations that are having a negative impact on the overall program
- d. Misdemeanor and corruption-related cases, and indications of misuse of grants or manipulation of project implementation for political purposes
- e. Cases that involve regional and local government personnel
- f. Cases that encompass more than one region and are having a negative impact in terms of social conflict, etc

Oversight

The National Committee shall provide technical assistance and advice to Grievance Committees at lower levels.

**i. The National Grievance Redress Division at the NPMO**

The National Grievance Redress Division shall be housed within the 4Ps PMO in Manila and shall be led by a Grievance Focal Person. The Grievance Redress Division shall be comprised of full time personnel dedicated to

overseeing and managing the GRS and handling serious complaints at the national level, together with the National Grievance Committee.

The main functions of the Grievance Redress Division are to:

- a. Monitor and supervise complaints handling, including through regular coordination with the Regional Grievance Monitor and the M/CL.
- b. Assist the Secretariat of the NAC relative to the regular meetings of the National Grievance Committee.
- c. Investigate and help to resolve serious complaints that are referred to the national level for resolution
- d. Categorize and distribute complaints to the appropriate level for resolution.
- e. Prepare regular grievance report for submission to the National Grievance Committee, drawing on reports from the Regional Level and from the MIS. The report shall include information on the volume, type and location of grievances received and the status of resolution. It will particularly highlight serious or high profile cases requiring additional attention, including cases of corruption, complaints against government officials or widespread fraud or manipulation.
- f. Analyze trends in grievance reporting and identify strategies to address major problems
- g. Build the capacity of Regional, Provincial and Municipal/City Grievance Monitors to record and resolve grievances
- h. Ensure the Grievance MIS database is maintained
- i. Together with regional and municipal counterparts, review these guidelines for annual revision and improvement.

### 3. Time Limits for Complaints Resolution

The table below lays out the timeline for the resolution of grievances and complaints:

**Table 5: Estimated maximum timelines for complaint resolution**

Grievance Handling Phase	Working Days	Accumulated Working Days
Receipt of Grievance, Clarification, Entry into MIS, Categorization and Distribution	3	3
Fact-Finding	5	8
Complaint Resolution	15	23
Feedback to Complainant	3	26
Appeal	15	41

As a general rule, grievances should be provided with initial resolution no more than one (1) month at the onset/intake date of complaint.

#### **F. Reporting**

Grievances shall be captured for monitoring purposes and encoded in the Data Entry Software Application for resolution tracking and management.

Consolidated reports shall be generated and updated at all levels based on the Grievance database. The consolidated reports shall include relevant information on the, actions taken, and any actions required (if at all) to resolve the grievance.

It is the responsibility of the Grievance Officer assigned at a particular level to provide reports to concerned on a regular basis.

#### **G. Dissemination**

The Grievance Redress System shall be available to the public. It will be the responsibility of the Grievance Redress Division, with the support of the 4Ps Communications Specialist and the DSWD Social Marketing Service (SMS), to disseminate information about how the 4Ps Grievance Redress System be accessed and utilized.

## **CHAPTER EIGHT ADVOCACY AND SOCIAL MARKETING**

“Challenges in the implementation of the Pantawid Pamilya comes in many forms as it serves as the major national poverty alleviation program with a slogan “Kaya ng Pinoy Tumawid sa Kaunlaran”.

Primarily, it is recognized that for a national program to succeed, it would require the full support and participation of its beneficiaries, the different duty bearers and the civil society.

As the program provides cash grants to the poorest of the poor, misconceptions on the program arises that the Pantawid Pamilya is merely a “dole out” program if not a political tool.

Also, experiences in the implementation also reveal that there’s a need to continuously communicate the program not only to program implementers but to beneficiaries and communities as well to ensure that the program and its set up systems are fully operational to achieve the desired developmental goals.

These challenges can be addressed by continuously reinforcing program implementation with effective communication strategies thru advocacy and social marketing at the national, regional, local and barangay levels.

With increased awareness and deepened understanding of the different target audience on Pantawid Pamilya , it can bring about the right attitude and behavior of these individuals and groups towards program.

### **A. Goals and Objectives**

The communication objectives of Pantawid Pamilya can be translated into the two major goals of the Advocacy and Social Marketing Component as follows:

- To win over the support of key players in successfully implementing and sustaining a conditional cash transfer (CCT) program through Pantawid Pamilya
- To attain the development goals of Pantawid Pamilya through the application of communication strategies.

Specific Objectives:

Specifically the Advocacy and Social Marketing Component will work to:

- a. Build up trust in and acceptance of the selection process by facilitating community-wide awareness
- b. Strengthen commitment of partner agencies from the central to the municipal level in actively supporting 4Ps, participating in the delivery of health and education services as part of their overall mandate
- c. Elicit the support of the LGUs on promoting compliance to program conditionalities through development of local mechanisms and community champions

- d. Intensify the awareness of stakeholders on program systems for efficient operationalization and maximum utilization
- e. To promote transparency and graft-free program to lessen vulnerability to corruption and abuse
- f. Deepen understanding among household beneficiaries on the program conditions and co-responsibilities to accelerate compliance
- g. Elicit the support of the LGUs on promoting compliance to program conditionalities thru development of local mechanism & community champion
- h. Intensify the awareness of stakeholders on program systems for efficient operationalization and maximum

## **B. Communication Framework**

Key elements that need to be addressed in order to achieve the communication and advocacy objectives of the program include the following:

- Which audience/s need to be reached?
- What change/s in behavior is/are required?
- What messages would be appropriate?
- Which channels of communication would be most effective?
- How will the communication process be monitored and evaluated?

### 1. Audience

The audience refers to the key players and stakeholders who are targeted to help the program achieve its developmental goals which include:

- a) Beneficiaries
- b) Service Providers and field implementers
- c) Cabinet secretaries/heads of agencies/LCEs
- d) Legislators
- e) CSO: NGOs, faith-based groups, business groups, etc.
- f) Media
- g) Non-beneficiaries

### 2. Behavior

Behavioral change refers to change in behavior resulting from reinforcement of Advocacy and Social Marketing programs.

- a. Legislators, members of civil society and other stakeholders are actively participating at all levels of implementation particularly on disseminating the right information and providing support to the program
- b. Partner agencies ensure the availability of supply-side requirements and complement other program needs for effective implementation.
- c. The field implementers/service providers are duty-bound to perform their roles and responsibilities in the program with integrity and excellence
- d. The civil society organizations are engaged in program through the public-private partnership along the four (4) areas of concern to mention: spot

checking, technical assistance, resource sharing and monitoring and evaluation.

- e. Increase rate of compliance among household beneficiaries
- f. Increased media mileage along information dissemination and promotional campaign
- g. Community complaints are lessened and resolved, if any. Increased community participation in monitoring the program (i.e. abuse, corruption)

### 3. Take-Away Message

Take-away messages are the advocacy and communication themes that when delivered through appropriate channels to the target audience, can influence support for 4Ps. Good take-away messages should appeal to the audience's needs, cater to their beliefs and opinions, and answers the question: "WHAT IS IN IT FOR ME?"

### 4. Channels of Communication

The 4Ps communication strategy will employ various channels of communication to ensure that the right messages reach the right target audiences. For the beneficiaries, community assemblies, comics, radio commentators, local radio programs, and process posters will be used. Process posters will contain information on the different aspects of the program and will be posted in conspicuous places.

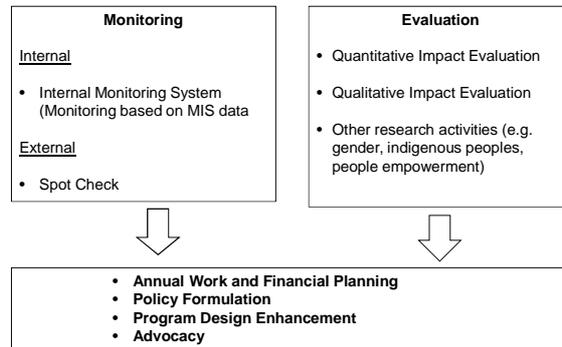
Other channels to be used in the communication strategy are fora, distribution of information kits, websites, recognition of outstanding partners and implementers, manuals, partners' handbook and testimonies from successful beneficiaries.

### 5. Evaluation

Evaluation of how effectively and efficiently the communication strategy and plan are being implemented for the duration of the project will be done by identifying key indicators that will determine how much of the communication and advocacy objectives were achieved. These are the expected behaviors that were identified from key target audience such compliance to conditionalities by the children and household head grantees, availability and adequacy of services on health and education by key partner agencies, bills and policies enacted by legislators in support of Pantawid Pamilya, an increased partnership with leaders and members of civil society, the strong commitment and active participation of local chief executives and field workers, and the increase in write-ups, news items and talks on 4Ps.

## CHAPTER NINE MONITORING AND EVALUATION

The monitoring and evaluation activities of 4Ps have three major components: a) Internal Monitoring; b) Spot Checks (or External Monitoring); and c) Impact Evaluation. These activities are fundamental to gathering information with which to determine how effectively and efficiently the program has met its goals (Please see diagram below).



**Internal** monitoring is performed on the main activities that correspond to each step of the program cycle from targeting, registration, compliance with program conditionalities, payments of cash grants, updates, filing of complaints and grievances, supply-side assessments, and budget execution. The monitoring of key activities allows for insights into how a given activity is being carried out. This ensures that inputs are being delivered, work schedules are followed, and that work progresses are achieved as originally planned. Monitoring activities will help management identify problems in the implementation process as soon as they become apparent and allow for timely corrective measures to ensure successful results in the future.

**External** monitoring involves the follow-up of activities that require a more in-depth investigation of operations to evaluate program performance in key areas, as identified by external parties and management. External monitoring uses information collected from samples of key stakeholders in the program to evaluate their performance through Spot Checks. Spot checks include the review of processes that is carried out on site.

**Impact evaluation** determines the changes in standards of living that have been introduced into the target population since the implementation of the program and for a given period of time.

### A. Internal Monitoring

Internal Monitoring is the regular and systematic collection and analysis of data/information on essential program activities corresponding to each step of the program cycle. The internal monitoring will cover nine critical operation areas as follows:

Operation Area	Indicators
1. Targeting and Registration	Number of s Areas covered by the Program; Number of Registered Households; No. of Children by Age Group; Number of IPs households; Number of households with Philhealth
2. Compliance Verification System	Compliance Rate (Education) of Children 3-5, 6-14, and deworming; Compliance (Health) Rate for Children 0-5 and Pregnant members; Compliance Rate of Grantees attending FDS;
3. Payments	% of Grantees receiving grants through OTC and Cash Card
4. Grievance Redress System	% of Resolved Cases
5. Update System	% Approved Update Filed by Category
6. Supply Side Assessment	% of City/Municipality Submitted SSA Forms; % of City/Municipality complying with Government Standards
7. Budget Execution	Disbursement Rate
8. Social Marketing	Advertorials; Wall Newspaper; Family Booklet; Tarpaulin; Success Stories; Radio/TV Plugs; Press Con; Media tour
9. Capability Building	Personnel trained

## B. External Monitoring (Spot Checks)

While internal monitoring will be conducted by the program focal persons and related staff (including MIS), external monitoring will be performed by an external firm/third party.

### 1. Operational Spot Checks

The main objective of operational spot checks will be to validate the accuracy of the information in the program as well as to measure the efficiency and effectivity of all program processes. This should provide program managers with the necessary feedback with which to improve the system to yield the desired results.

Operational spot checks are unscheduled visits to the various 4Ps participants. In some cases, the purpose will be to confirm the information registered into the MIS, either by health centers or schools as well by the beneficiaries themselves. Any discrepancies will serve to alert management of problems that need to be addressed.

Operational spot checks will be conducted in the following key areas/components of the project cycle:

1. Targeting/selection of beneficiaries
2. Registration of beneficiaries
3. Verifying compliance of conditions
4. Payments
5. Participation of parents and beneficiaries
6. Provision and use of health and education services
7. Social marketing/knowledge
8. Training
9. Updating the beneficiary database
10. Receiving and resolving grievances

Note that while certain areas are identical with those in internal monitoring, spot checks allow for a deeper analysis of the data and the behavior of key stakeholders, among others, which cannot be addressed using the simple monitoring indicators from the MIS.

Note also that not all areas can or should be be spot-checked simultaneously. But spot checks can and should be scheduled and performed gradually throughout the duration of the project.

## 2. Basic Methodology of Spot Checks

Methodology includes random sample surveys directed at the various agents in the program. Spot-check analysis will cover the following:

- a. Assessment of the Targeting Process (Selection of Beneficiaries): This includes 1) Retaking the Household Assessment Form (HAF) used to determine the household poverty level of the sample population and estimate the poverty level based on PMT model. Most variables used to determine household poverty level do not change much over a short period of time. A range of what is acceptable needs to be defined. If variance is high, then very likely changes can be attributed to the wrong procedures being followed in taking the survey.
- b. Assessment of the Registration Process: This includes cross-checking information registered by program beneficiaries, in particular against physical documents signed by household grantees during registration. All the physical documents related to the program must be kept on file by the DSWD (NPMO or RPMO). For example, if during a community assembly a new member is added to the household, the birth certificate or certificate of enrollment of that child will need to be attached to that household file.
- c. Assessment of the Process of Verification of Non-Compliance with Conditionalities: This includes ensuring that the utilization of health services and attendance are accurately recorded. While this is not yet fully in place, the actual compliance with program conditionalities recorded by health centers and schools must be assessed even though they have not been reported into the program yet.
- d. Assessment of the Payment Process: The payment shall be connected to the results of compliance verification. This includes comparing information about the age and status of program beneficiaries (if children aged 0 to 5

and 6 to 14 years old, or pregnant women) against payments calculated and actually made. It also involves drawing random samples of beneficiaries to investigate their family roster and the payments made to them against the MIS payrolls from MIS and LBP payments slips.

- e. **Assessment of Service Provision:** For health, this covers the assessment of services provided by health centers including the availability of staff such as doctors, nurses, and midwives; the availability of vaccines, medicines, and vitamins; the quality of service, and compliance with health protocols. For education, this covers the assessment of services provided by schools including the availability of staff such as teachers; the availability of classrooms and materials; and quality of service. It could also cover assessment of compliance with the supply-side provisions in the Memoranda of Agreement (MOA) with Provinces or LGUs. Random samples of health centers, schools, LGUs and households will be needed. For health services, the health cards of pregnant mothers and children aged 0 to 14 years old will be checked against the reports on compliance provided by health centers.
- f. **Assessment of Social Marketing Activities:** This includes assessment of the degree of efficiency of the social marketing by measuring the levels of knowledge of beneficiaries, parent leaders, service providers, city/municipal links, and other agents about the program rules and regulations, and operations. This assessment includes the revision of the sample population's documents and focus groups discussions, among other methodologies.
- g. **Assessment of the Training Strategy Implementation:** This includes assessment of the effectiveness of training programs provided to the RPMOs, LGUs, service providers, city/municipal links, and beneficiaries.
- h. **Assessment of the Update Process:** This includes checking updates reports and processing any updates. The updates report form was recently introduced and by April 2009 all the regions are expected to be proficient in its use. This assessment also includes the city/municipal links' awareness of the form and their familiarity with it. Likewise the parent leaders and beneficiaries.
- i. **Assessment of the Grievance Redress System (GRS).** This includes assessment of the level of attention paid to reported grievances, from their receipt and verification, to their processing at the different levels and resolution. The grievance report form was recently introduced and by April 2009 all the regions are expected to be proficient in its use. This assessment also includes the city/municipal links' awareness of the form and their familiarity with it. Likewise the parent leaders and beneficiaries.

## C. Impact Evaluation

The impact evaluation will determine the changes in the well-being of the household beneficiaries that can be directly attributed to the program intervention. It will quantify the expected outcome by measuring the improvements in terms of selected health, education and other socio-economic indicators as a result of compliance with the program conditionalities and receiving of cash grants.

### 1. Objectives of Impact Evaluation

- a. To measure the impact of the program
- b. To provide bases for program design enhancement; and
- c. To provide bases for program replication in other areas

### 2. Methodology

The evaluation will apply a two-pronged design: a randomized experiment and a quasi-experimental regression discontinuity design. The evaluation will also provide quantitative evidence to assess the cost effectiveness for future program design enhancement. To assess the effectiveness of the health and education services beneficiaries use, health facilities and schools are also a part of the survey in addition to community level data to account for community effects. A key element of the impact evaluation is to collect high quality, comprehensive data through the processes outlined in this Terms of Reference.

### 3. Sample Selection

From selected provinces, municipalities representative of the average poverty level as those covered by the 4Ps program were chosen. These areas were found to be almost identical in terms of demographic and socio-economic composition to those covered by 4Ps.

Within each of these municipalities, barangays were randomly selected and divided into treatment and control groups.

Whereas 4Ps was rolled out in treatment barangays began in March 2009, the roll out of 4Ps program, it will be frozen in control barangays until the completion of the First Follow-Up Survey in January 2010.

The experimental design of the impact evaluation will allow researchers to quantify evidence regarding the effectivity and efficiency of 4Ps and serve as a guide for subsequent program improvements.

### 4. Importance of Experimental Design

The magnitude of the proposed scale-up of the 4Ps project poses a big challenge to the DSWD. How well the DSWD can obtain full financial support from the government funds and external funding agencies will greatly depend how effective and efficient the implementation of 4Ps is. Only a credible evaluation will gain the program the political support it will require for its long-term sustainability. A credible evaluation relies on a rigorous research design.

The main problem in impact evaluation is the lack of the counterfactual, “How would individuals who benefited from the program have fared in its absence?” Alternatively, “How would those who did not benefit from the program have fared if they had?” Because an individual cannot be both exposed and unexposed to the program at any given time, the same individual cannot be used to measure impact. Thus, the need for a comparison of the outcomes between the program beneficiaries and a valid control group.

The random assignment of potential beneficiaries to treatment and control groups created a valid control group and thus, eliminated any bias in the estimates of impacts. Bias in impact estimation results from pre-existing (unobservable) differences between participants and the comparison group that can be confounded with the effects of program participation. In an experimental design (random assignment) the outcomes of program participants are compared to those who are statistically (on average) similar to the participants except for the fact that they do not participate in the program.

## 5. Steps in Conducting Impact Evaluation

### a. First Follow-up Survey:

The first will be conducted a year after the 4Ps program is implemented in the study areas. This proposal assumes a follow-up survey with a sample size of 8,000 households, where 4,000 households are in the control group and 4,000 households in the treatment groups.

In addition to the First Follow-Up Survey, qualitative information on the program’s impact will also be collected and a new supply-side assessment performed. The facility surveys will be used for verification purposes (for information such as attendance, where self-reported household data could be misleading) and also to assess whether there are any pressing issues emerging from the increased demand on these services.

### b. Identification of Tasks to be Done

Impact evaluation activities comprise a number of different tasks—administrative, analytical, and of supervisory—that need to be carried out and coordinated. It is crucial that the impact evaluation team has complete and updated access to the rest of the project implementing and to the databases that comprise the project MIS.

Moreover, project implementation decisions in the areas where the impact evaluation is carried out should be made in coordination with the impact evaluation team to ensure that they are in line with the timeline and objectives of the proposed research. Specific examples of the tasks where coordination between the impact evaluation and the project implementation teams are most crucial are the following:

- The development of systems to avoid the contamination of the control group: The MIS should be outfitted with all the necessary filters to ensure that those households belonging to the impact evaluation control group are blocked from registering themselves in the program for its duration.

- Linkage of survey and administrative data: There should be a unique identifier that allows the linkage of all project data bases (specifically, the registry of beneficiaries, banking records, as well as the monitoring records from health centers and schools that will be used to assess compliance of conditions and the imposition, if any, of sanctions) to the impact evaluation sample data base. The personal ID has to be unique and needs to remain fixed over time. A complete profile of the impact evaluation sample should be produced by the project implementation team to the impact evaluation team on a periodic basis (monthly or bi-monthly).

Take-up within the treatment group: It would be important ensure that program take-up within the treatment group is comparable to that of the rest of the program. This is to ensure that it remains an accurate sample of the population it is representative of.



BARANGAY		MIMBUNTONG		CITY/MUNICIPALITY		GINGOOG CITY		PROVINCE		MISAMIS ORIENTAL		Reporting Period:		cv-F1	
This form serves as reference for the municipal link. It contains the list of household beneficiary members, including and limited to; the household head, the wife/spouse of the household head, all children/grandchildren selected for the education grant, all children from 0-5 years old, and any pregnant members of the household.												MAR to APR 2011		Master List rev. Nov 2009	
1. Household ID	2. Household Member ID	3. Name of Beneficiary <small>Last, First MI.</small>	4. Gender	5. Birthdate <small>mm/dd/yy</small>	6. Relation to Household Head	7. Preg	8. Child 0-5	9. Name of Health Center	10. Child 3-14	11. Name of School	12. Hlt. Grant	13. Educ. Grant			
1	104308025-1271-00001	28333550		Leones, Roylito S	M	04/25/1968	1 - Head	○ ○	○		○	○			
2	104308025-1271-00001	28333601		*Leones, Luzminda A	F	05/20/1973	2 - Wife / Spouse	○ ○	○		○	○			
3	104308025-1271-00001	28333741		Leones, Roymen H	M	05/01/2000	3 - Son / Daughter	○ ○	○	Mimbalagon Bhs	●	Mimbalagon Es			
4	104308025-1271-00001	28333657		Leones, Jessabil H	F	12/14/1996	3 - Son / Daughter	○ ○	○	Mimbalagon Bhs	●	Mimbunga Nhs			
5	104308025-1271-00001	28333696		Leones, Lea H	F	06/18/1998	3 - Son / Daughter	○ ○	○	Mimbalagon Bhs	●	Mimbalagon Es			
6	104308025-1271-00001	28333775		Leones, Roylito H	M	11/18/2008	3 - Son / Daughter	○ ○	○	Mimbalagon Bhs	●	Mimbalagon Es			
7	104308025-1271-00002	28336401		Tabuada, Simplicio D	M	05/05/1977	1 - Head	○ ○	○		○	○			
8	104308025-1271-00002	28336458		*Rosales, Niza P	F	08/15/1977	2 - Wife / Spouse	○ ○	○		○	○			
9	104308025-1271-00002	28336615		Tabuada, Sweet Precy R	F	02/18/2008	3 - Son / Daughter	○ ○	○	Mimbalagon Bhs	●	Mimbalagon Es			
10	104308025-1271-00002	28336552		Tabuada, May Ann R	F	05/22/2005	3 - Son / Daughter	○ ○	○	Mimbalagon Bhs	●	Mimbalagon Es			
11	104308025-1271-00003	28336783		Surtida, Efen L	M	03/07/1961	1 - Head	○ ○	○		○	○			
12	104308025-1271-00003	28336831		*Surtida, Carmencita B	F	07/14/1962	2 - Wife / Spouse	○ ○	○		○	○			
13	104308025-1271-00003	28336956		Surtida, Jolanie B	F	10/03/1998	3 - Son / Daughter	○ ○	○	Mimbalagon Bhs	●	Mimbalagon Es			
14	104308025-1271-00003	28337012		Toto, Jhon Dave S	M	11/24/1999	6 - Grandson / Granddaughter	○ ○	○	Mimbalagon Bhs	●	Mimbalagon Es			
15	104308025-1271-00004	28337168		Surtida, Jujonday B	M	02/22/1985	1 - Head	○ ○	○		○	○			
16	104308025-1271-00004	28337227		*Grand, Ivy C	F	07/11/1989	2 - Wife / Spouse	○ ○	○		○	○			
17	104308025-1271-00004	28337275		Surtida, Jean G	F	07/13/2007	3 - Son / Daughter	○ ○	○	Mimbalagon Bhs	●	Mimbalagon Es			
18	104308025-1271-00017	28340168		Natcher, Zaldy A	M	02/28/1970	1 - Head	○ ○	○		○	○			
19	104308025-1271-00017	28340200		*Natcher, Eliza Q	F	02/08/1972	2 - Wife / Spouse	○ ○	○		○	○			
20	104308025-1271-00017	28340387		Natcher, Marichu Q	F	11/16/2001	3 - Son / Daughter	○ ○	○	Mimbalagon Bhs	●	Mimbalagon Es			
21	104308025-1271-00017	28340435		Natcher, Marvin Jay Q	M	09/28/2003	3 - Son / Daughter	○ ○	○	Mimbalagon Bhs	●	Mimbalagon Dcc			
22	104308025-1271-00017	28340343		Natcher, Charlie Q	M	08/30/1997	3 - Son / Daughter	○ ○	○	Mimbalagon Bhs	●	Mimbalagon Es			
23	104308025-1271-00017	28340473		Natcher, Harold Kent Q	M	10/09/2006	3 - Son / Daughter	○ ○	○	Mimbalagon Bhs	●	Mimbalagon Es			
24	104308025-1271-00017	28340504		Natcher, Charisse Mae Q	F	01/20/2009	3 - Son / Daughter	○ ○	○	Mimbalagon Bhs	●	Mimbalagon Es			
25	104308025-2769-00010	28307051		Pabualan, Antonio L	M	08/30/1984	1 - Head	○ ○	○		○	○			
26	104308025-2769-00010	28307180		*Pabualan, Ella C	F	11/14/1985	2 - Wife / Spouse	○ ○	○		○	○			
27	104308025-2769-00010	28307289		Pabualan, Ella Mae C	F	10/05/2005	3 - Son / Daughter	○ ○	○	Mimbunga Bhs	●	Mimbalagon Es			
28	104308025-2769-00010	28307444		Pabualan, Antonio C	F	01/14/2006	3 - Son / Daughter	○ ○	○	Mimbunga Bhs	●	Mimbalagon Es			
29	104308025-2769-00010	28307575		Pabualan, Krisha Lou C	F	07/28/2007	3 - Son / Daughter	○ ○	○	Mimbunga Bhs	●	Mimbalagon Es			
<b>Barangay Total</b>		6 Households		29 Members											



Name of School/Preschool/DCC [510581] Didian Elementary School Annex  
City/Municipality PALANAN  
Province ISABELA

**cv-F2**  
Education  
rev. May 2010

This form serves as a monitoring tool on the compliance on education. It contains the list of children beneficiaries with ages 6-14 and 3-5 years old by school/preschool/day care center. The principal/ day care center head worker will fill up the form to report the non-attendance of students in his/her school. The form is then submitted to the Regional Program Management Office through the City/Municipal Link.

Reporting Period:  
**MAR to APR 2011**

**Note to the School Principal:**

- Household ID No. Number Assigned to the Household by DSWD
- Household Member ID Number Assigned to the Household Member by DSWD
- Name of Student
- Non-Attendance for the 2 month Reporting Period Refers to the months covered by the report. Refer to notes at the end of the list
- Non-Compliance with Deworming Requirement Refers to the period covered by the report and applies only to students at the elementary level. Refer to notes at the end of the list

Date Generated:  
**3/28/2011**

**Grade Level Codes:**

- |                      |           |                                  |   |
|----------------------|-----------|----------------------------------|---|
| 0 No grade completed | 3 Grade 2 | 6 Grade 5                        | 9 2nd year highschool                         |
| 1 Kinder / daycare   | 4 Grade 3 | 7 Grade 6 or Elementary Graduate | 10 3rd year highschool                        |
| 2 Grade 1            | 5 Grade 4 | 8 1st year highschool            | 11 4th year highschool or Highschool Graduate |

1. Household ID	2. Household Member ID	3. Name of Student Last, First MI.	4. Recorded Grade Level*	5. Current Grade Level*	6. Non-Attendance for the 2 month report period**		7. Remarks 1. Dropout 2. Not Enrolled in this School	8. Non-Compliance with Deworming Requirement for 2 months***
					MAR	APR		
1	023121004-0182-00188	1482750 CAMAGUING, AIBY M.	2		○	○		○
2	023121004-0177-00100	1457521 DAG-O, ANGELINE A.	2		○	○		○
3	023121004-0157-00166	1479869 DELA PENA, JASTINE C.	2		○	○		○
4	023121004-0177-00115	1457651 LOPEZ, BE-EM E.	2		○	○		○
5	023121004-0177-00054	1457067 LOPEZ, REAJAY C.	2		○	○		○
6	023121004-0177-00033	1456677 BIGANIA, KAYDIELYN L.	3		○	○		○
7	023121004-0182-00188	1482732 CAMAGUING, JOMAR M.	3		○	○		○
8	023121004-0177-00100	1457505 DAG-O, CHRISTIAN A.	3		○	○		○
9	023121004-0157-00166	1479852 DELA PENA, JAYMAR C.	3		○	○		○
10	023121004-0129-00107	1457619 MAGAS, ANGIENEL C.	3		○	○		○

Was deworming conducted within these 2 months? (check if yes)

**\* No. 4 & 5 Recorded Grade Level and Current Grade Level**

If the grade level code indicated on the recorded grade level is incorrect, write the correct current grade level using the **GRADE LEVEL CODES** in the column beside it. Otherwise don't put anything.

\_\_\_\_\_  
Name and Signature of School Principal/  
Daycare Head Worker

**\*\* No. 6 Non-Attendance in the two-month reporting period**

Indicate non-attendance by shading the corresponding circle of a student attending less than 85% of the total number of school days in the reported month. For those attending 85% or more of the total number of school days do not put anything.

\_\_\_\_\_  
Name and Signature of City/Municipal Link

**\*\*\* No. 8 Non-compliance with Deworming Requirement (For Elementary Students Only)**

Indicate non-compliance by shading the corresponding circle of a student who did not receive a scheduled deworming during the reported period. For those who received deworming do not put anything.

MM	DD	YYYY	MM	DD	YYYY
Date Received			Date Encoded		





Barangay: **[012931007] PANGOTAN**  
City/Municipality: **SUGPON**  
Province: **ILOCOS SUR**

**cv-F4**  
**Family Development**  
rev. May 2010

This form serves as a monitoring tool on the compliance on family development sessions. It contains the list of qualified grantees per barangay. The City/Municipal Link will fill up, consolidate and submit the form to the Regional Program Management Office.

**Note to the Municipal Link:**  
Consolidate the non-attendance and report it to the RPMO

Reporting Period: **MAR to APR 2011**  
Date Generated: **3/28/2011**

- Household ID No.
- Household Member ID
- Name of Grantee
- Non-Compliance for the 2 month Reporting Period

Number Assigned to the Household by DSWD  
Number Assigned to the Household Member by DSWD

Refers to the months covered by the report. Refer to note at the end of the list

1. Household ID	2. Household Member ID	3. Name of Grantee Last, First MI.	4. Non-Attendance for the 2 month report period*	
			MAR	APR
1	012931007-9998-06503	4869979 ALVAREZ, MARIA TERESA B.	<input type="radio"/>	<input type="radio"/>
2	012931007-9998-07068	4872470 ANCHETA, ANITA M.	<input type="radio"/>	<input type="radio"/>
3	012931007-9998-63364	5137478 ANGWAY, GREGORIA D.	<input type="radio"/>	<input type="radio"/>
4	012931007-9998-64099	5141021 ATIN-EW, VILMA F.	<input type="radio"/>	<input type="radio"/>
5	012931007-9998-63539	5138327 BALLASIW, GRACELYN A.	<input type="radio"/>	<input type="radio"/>
6	012931007-9998-07298	4873453 BALLASIW, LEONOR F.	<input type="radio"/>	<input type="radio"/>
7	012931007-9998-06341	4869265 BAYENG, BERNADEL S.	<input type="radio"/>	<input type="radio"/>
8	012931007-9998-63471	5138019 BIG-ASAN, ELISA D.	<input type="radio"/>	<input type="radio"/>
9	012931007-9998-99712	5303029 CUYAPEN, LORNA T.	<input type="radio"/>	<input type="radio"/>
10	012931007-9998-99653	5303184 DIAN, MARY JEAN A.	<input type="radio"/>	<input type="radio"/>
11	012931007-9998-07153	4872829 DUCAO, MARIA LOURDES Q.	<input type="radio"/>	<input type="radio"/>
12	012931007-9998-99471	5302217 FETALVERO, DARNA D.	<input type="radio"/>	<input type="radio"/>
13	012931007-9998-06140	4868377 FETALVERO, TESSIE C.	<input type="radio"/>	<input type="radio"/>
14	012931007-9998-06541	4870143 FONTAWA, ANALISSA A.	<input type="radio"/>	<input type="radio"/>
15	012931007-9998-06630	4870566 FONTAWA, DIZAN I.	<input type="radio"/>	<input type="radio"/>
16	012931007-9998-06208	4868682 FONTAWA, GEORGE L.	<input type="radio"/>	<input type="radio"/>
17	012931007-9998-06913	4871846 LACBAO, REXIE A.	<input type="radio"/>	<input type="radio"/>
18	012931007-9998-09059	4881304 LALES, IMELDA A.	<input type="radio"/>	<input type="radio"/>
19	012931007-9998-07181	4872942 LUPASI, JUANITO L.	<input type="radio"/>	<input type="radio"/>
20	012931007-9998-62796	5134789 MONIS, JIMMY M.	<input type="radio"/>	<input type="radio"/>
21	012931007-9998-99765	5303506 MONTE, CARMELITA D.	<input type="radio"/>	<input type="radio"/>
22	012931007-9998-06460	4869795 MONTE, REMEDIOS C.	<input type="radio"/>	<input type="radio"/>
23	012931007-9998-63723	5139215 NOOG, LOLITA D.	<input type="radio"/>	<input type="radio"/>
24	012931007-9998-07251	4873244 NOOG, MADELYN O.	<input type="radio"/>	<input type="radio"/>
25	012931007-9998-99812	5303391 NOOG, TERESITA L.	<input type="radio"/>	<input type="radio"/>
26	012931007-9998-06373	4869402 SABBANG, LOURDES T.	<input type="radio"/>	<input type="radio"/>
27	012931007-9998-63935	5140238 SAGULO, MARISSA S.	<input type="radio"/>	<input type="radio"/>
28	012931007-9998-09090	4881453 TIMOTEO, ADORACION P.	<input type="radio"/>	<input type="radio"/>

**\* No. 4 Non-Attendance for the two-month reporting period**  
Indicate non-attendance by shading the corresponding circle of a beneficiary for the reporting period. For those complying **do not** put anything.

\_\_\_\_\_  
Name and Signature of City/Municipal Link

MM	DD	YYYY	MM	DD	YYYY
Date Accomplished			Date Encoded		



