



Completion Report

Project Number: 46199-001
Technical Assistance Number: 8106
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Philippines: Enhancing Social Protection through Community-Driven Development Approach

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TA Number, Country, and Name: TA 8106-PHI: Enhancing Social Protection through Community-Driven Development Approach		Amount Approved: \$800,000 Revised Amount: \$1,775,000	
Executing Agency: Department of Social Welfare and Development	Sources of Funding: TASF-Other Sources; Typhoon Yolanda Multi-Donor Trust Fund	Amount Undisbursed: USD285,182.33	Amount Utilized: USD1,489,817.67
TA Approval Date: 4 Jul 2012	TA Signing Date: 6 Aug 2012	Fielding of First Consultant: 20 Aug 2012	TA Completion Date Original: 31 Jul 2015 Actual: 31 Dec 2017 Account Closing Date Original: 31 Jul 2015 Actual: 1 March 2018

Description

The Department of Social Welfare and Development (DSWD) requested policy and advisory assistance from the Asian Development Bank (ADB) to (i) design the government's national program of community-driven development (CDD), and (ii) converge social protection programs to effectively reduce poverty. CDD approaches have been helping the government to improve service delivery at the community level. While it has become a core pillar of the country's overall development program and poverty reduction strategy, the government faced challenges in scaling up CDD: (i) CDD approaches have improved income and non-income outcomes, but benefits have yet to be realized beyond the project context; (ii) the role of provincial local government units (PLGUs) have not been optimized; (iii) the existing policy framework, institutional arrangements, and practices inhibited CDD institutionalization; (iv) absence of a long-term funding for CDD activities; (v) multiple CDD approaches tend to exacerbate inefficiencies and create confusion; (vi) the sizeable coverage and magnitude of National Community-Driven Development Program (NCDDP) will strain current systems and require significant structural and operational changes, and capacity development; and (vii) national government agencies and local government units (LGUs) may take NCDDP as competition to their own service delivery functions and platforms. The TA was therefore needed to sustain and institutionalize CDD in existing structural and operational systems of DSWD and within PLGUs for successful transition and full-scale implementation of NCDDP.

Expected Impact, Outcome, and Outputs

The TA's intended impact was that poor, vulnerable, and disadvantaged individuals, families, and communities are empowered and protected from risks. The TA's expected outcome was enhanced capacity of DSWD to implement the NCDDP. The TA has four outputs (i) options for improved policy and institutional framework for implementing NCDDP identified, (ii) options for strengthened resource allocation, funds flow, and accountability mechanisms identified, (iii) capacities of stakeholders in the provinces enhanced, and (iv) pilot-testing of NCDDP design elements related to PLGU engagement supported. The TA added a fifth output—increased uptake of community livelihood subprojects under the *Kapit-Bisig Laban sa Kahirapan* (Linking Arms to Fight Poverty)-Comprehensive and Integrated Delivery of Social Services-National Community-Driven Development Program (KC-NCDDP).^a The fifth output contributed to improving the capacity of DSWD for implementing livelihood subprojects in municipalities hit by typhoon Yolanda. It produced guidelines, manuals and provided technical support to typhoon affected municipalities.

The TA is *relevant*. DSWD's integration of TA inputs in the program design and implementation arrangements confirmed the suitability of the TA design. The TA aligned with the ADB's Country Partnership Strategy for the Philippines, 2011–2016 and ADB Strategy 2020, particularly the strategic agenda on promoting inclusive economic growth by expanding human capacities through education, health, and social protection investments.^b The TA provided significant support for crafting the NCDDP, and later refocused on areas hit by typhoon Yolanda, requiring support for livelihood and enterprise (L&E) subprojects. The TA's pilot testing activities generated lessons for PLGU engagement in CDD and provided inputs to the KC-NCDDP and the design of future CDD interventions involving PLGUs.

Delivery of Inputs and Conduct of Activities

The TA recruited two international consultants (CDD specialist and lead expert, 9 person-months, and fiduciary management expert, 6 person-months) and two national consultants (social development specialist, 12 person-months, and governance and institutional development specialist, 3 person-months) as planned. The national consultants became part of the team that designed the KC-NCDDP. The TA engaged a consulting firm for capacity development for 261 person-months instead of 21 person-month consulting inputs to meet the requirements of DSWD-recommended pilot testing and a larger number of municipalities during TA implementation. The TA did not engage the monitoring and evaluation consultant as these tasks were assumed by the capacity development consultants. In December 2012, the TA amount was increased by \$225,000 that enabled hiring of the consulting firm. Overall, the TA utilized more national than international consulting inputs due to the huge requirement of PLGU pilot

testing. When typhoon Yolanda struck in November 2013, the TA complemented the preparatory support for KC-NCDDP. Consultants in these TAs worked together in converting the project into an emergency assistance loan, which was approved in December 2013. In May 2015, DSWD requested an increase in KC-NCDDP financing to facilitate the uptake of livelihood subprojects in communities hit by typhoon Yolanda to implement minor infrastructure projects. ADB processed a \$750,000 additional TA financing to support subprojects under the KC-NCDDP Additional Financing. A new set of national consultants was mobilized and developed procedures for livelihood support and operational guidelines. These guidelines improved the implementation and sustainability of livelihood subprojects. The additional TA financing required an extension of completion date until 31 December 2017. The TA undertook six minor changes in scope of implementation arrangements to allow additional financing, adjustments in TA activities, outputs, and extension of TA completion date. The TA underutilized \$285,182 due to the delayed implementation of L&E subprojects. DSWD showed strong ownership of and commitment of the TA results. TA design was appropriate with some minor changes on program requirements, while the terms of reference were comprehensive which allowed consultants to deliver the needed outputs. Individual consultants performed satisfactory while some exceeded expectations. They also delivered the expected outputs and technical support, which led to good working relationships with DSWD. Overall, the performance of ADB, TA consultants, and DSWD was *satisfactory*.

Evaluation of Outputs and Achievement of Outcome

Output 1 was achieved. The TA provided advisory services that contributed to the design of NCDDP and PLGU pilot testing. In lieu of a policy paper on NCDDP implementation, it supported workshops, technical and policy discussions among key stakeholders and integrated recommendations in the design of NCDDP, due to the need to immediately provide policy and advisory services and refocus the NCDDP to address the rehabilitation needs of communities hit by typhoon Yolanda in 2013. A policy note on PLGU engagement in CDD, which informed the design of pilot testing, was prepared and submitted to DSWD in September 2012. Separately, a policy note on integrating CDD in two proposed legislation (Budget Reform Bill and Local Government Code revision) was prepared as part of institutionalizing CDD. It supported the knowledge-sharing events on using the model “ultra-poor graduation” for strengthening the implementation, convergence, and sustainability of key social development programs of DSWD. Although the TA slightly deviated from its expected outputs, it was able to provide relevant advisory services in a timely manner.

Output 2 was substantially achieved. A policy note was prepared which described lessons and policy implications for LGU planning, programming, and budgeting systems and identified options for integrating CDD in these systems. The TA provided options and advice for improving financial management arrangements. It proposed a fund flow mechanism and developed a policy note on designing the required local counterpart contributions of target municipalities. Fund management guidelines adapted from KALAHI-CIDSS manual were prepared and discussed with DSWD and PLGUs. The TA developed policy, operational guidelines, and tools for implementing L&E subprojects under the KC-NCDDP additional grant financing.

Output 3 was achieved. The positive learning outcome of stakeholders trained on CDD was demonstrated by the increased capacity of PLGU staff to carry out the pilot testing activities and implement livelihood and enterprise subprojects. There was no data available to assess the achievement of 90% of stakeholders showing positive learning outcome due to lack of pre-and post-training tests. However, the executing agency confirmed close monitoring and guidance during training activities to ensure learning of the pilot testing. Approximately half of the stakeholders trained on CDD were women. Women also comprised 60% of participants in L&E capacity building activities. These interventions enabled stakeholders to implement the pilot and the L&E subprojects. The TA also conducted six regional forums in Q1–Q2 2014 to mobilize support of local chief executives to KC-NCDDP. These forums raised the awareness and readiness of target LGUs and partner agencies and facilitated initial coordination for target municipalities.

Output 4 was achieved. The TA pilot tested the PLGU engagement in CDD in two provinces using broad operational guidelines. It assisted in the preparation of a knowledge product that offered lessons on policy implications for the KC-NCDDP exit strategy or its successor program. The TA included quality monitoring and reporting of progress of the pilot through quarterly reports. The pilot testing has also built a mechanism for monitoring its progress.

Output 5 was achieved. The TA identified and implemented design enhancements on NCDDP through the guidelines and procedures developed for implementing L&E subprojects, later adopted by DSWD. The design enhancements pertained to the process of implementing L&E subprojects, not covered by the original set of NCDDP manuals. The TA developed guidelines and procedures for multi component L&E subprojects.

The TA’s expected outcome was substantially achieved. DSWD operationalized key policies and procedures for expanding NCDDP on (i) a decentralized implementation setup given the scale of CDD operations; (ii) the design of an accelerated community empowerment activity cycle; (iii) establishing joint funds flow mechanisms with World Bank; (iv) design of local counterpart contributions of KC-NCDDP municipalities; and (v) implementing L&E activities.

DSWD and ADB agreed to use TA resources to inform the design of NCDDP exit strategy or the NCDDP successor program.

The TA is *efficient*. The TA provided timely policy advice and technical inputs from ADB and TA consultants which contributed to the finalization and implementation of the expanded NCDDP and the ADB emergency assistance project designs. The TA provided timely support for the initial activities preparing the target LGUs and DSWD for disaster response operating procedures. The TA activities were closely coordinated with key development partners. Minor changes on the TA were made due to the (i) additional pilot testing activities and required consulting inputs, (ii) approval of Typhoon Yolanda Multi-Donor Trust Funds grant and additional design and monitoring framework output to support livelihood subprojects implementation, (iii) required extension of TA completion date, and (iv) hiring of additional consulting inputs to support livelihood-related activities. These changes did not require budget reallocation. Although Output 5 incurred delays in conducting the post-subproject implementation activities requested by the executing agency due to the delayed implementation of livelihood subprojects, its intended deliverables were completed. The delays did not affect the achievement of TA outcome.

The TA is *effective*. The TA outcome and outputs were substantially achieved. One outcome indicator was reduced from 10 PLGUs to two (2) PLGUs due to (i) lack of readiness of other PLGUs to integrate CDD into their systems; (ii) limited participation of PLGUs in the pilot testing given the required counterpart contribution (e.g. Leyte Province); and (iii) postponed event for disseminating pilot testing results due of internal changes in DSWD. Nonetheless, the pilot testing result proved to be useful for the ongoing CDD institutionalization. DSWD-proposed activities, not undertaken before TA completion, were continued by DSWD using its own resources to further enhance its capacity in implementing livelihood subprojects under NCDDP. While some TA accomplishments deviated from the planned inputs and activities, all the outputs contributed to enhancing DSWD's capacity to implement the NCDDP.

Overall Assessment and Rating

Based on relevance, effectiveness, and efficiency assessments, the TA is rated as *successful*. The TA was suitably designed and aligned with ADB and government strategies. Despite some deviations from planned inputs and activities, the TA outcome was substantially achieved. The TA delivered timely outputs within planned costs. The increased capacity of DSWD to implement the NCDDP and contributed to achieving the TA impact, i.e., poor, vulnerable, and disadvantaged individuals, families, and communities are empowered and protected from risks. While baseline estimates were not yet available to firm up performance targets at TA inception, results of the first round of outcome survey indicated good performance of the NCDDP such as the (i) high percentage of households (94.24%) claiming to have confidence to participate in community development activities; (ii) decrease in time spent in accessing key services by 0.71 minutes from the baseline of 12.91 minutes; and (iii) high percentage of community members attending regular community assemblies, particularly among women (74%) and indigenous peoples (75%). The TA is *likely sustainable*. The operational guidelines and tools prepared under the TA continue to be used under the KC-NCDDP. The institutionalization of CDD through the KALAH-CIDDS and proposed legislation has been initiated. This effort is relevant and timely given the increasing resources being allocated to LGUs for local and community projects.

Major Lessons

Institutionalization of CDD can sustain the NCDDP gains and successes, which requires adequate analytical work, commitment of DSWD and other key stakeholders. Sustained support, ownership and commitment by DSWD management was key to the success of TA implementation. Active participation of DSWD staff during the pilot testing and adoption of new guidelines and procedures also contributed to the success. More consultation and coordination with the executing agency should be carried out during TA processing to ensure that design considerations are fully included in TA outputs and future CDD programs developed by DSWD.

Recommendations and Follow-Up Actions

There is a need for the National Program Management Office to identify further analytical work, including the agencies that will play a key role in the NCDDP (e.g., Department of the Interior and Local Government). Lessons from project implementation should be documented to inform the design of future CDD programs. The evidence-based practices and tools from ADB's emergency assistance project and this TA may be introduced in a future CDD program targeting Mindanao.

TA = technical assistance.

^a ADB. [Additional Financing: KALAH-CIDSS National Community-Driven Development Project](#); In March 2016, ADB approved a \$5 million additional grant financing to KC-NCDDP from the Typhoon Yolanda Multi-Donor Trust Fund.

^b ADB. [Philippines: Country Partnership Strategy \(2011–2016\)](#); and ADB. [Strategy 2020: Working for an Asia and Pacific Free of Poverty](#).