

FINAL REPORT

MCA Philippines

Process Evaluation of KALAHI-CIDSS

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List of Acronyms

ACT	Area Coordinating Teams
ADB	Asian Development Bank
AIP	Annual Investment Plan
ARR	Accountability Review and Reporting
BA	Barangay Assembly
BC	Barangay Captain
BDP	Barangay Development Plan
BLGU	Barangay Local Government Unit
BRT	Barangay Representation Team
BSPMC	Barangay Sub-project Management Committee
BUB	Bottom-up Budgeting
CBE	Community-based Evaluation
CBME	Community-based Monitoring and Evaluation
CBMT	Community-Based Monitoring Team
CDD	Community Driven Development
CEAC	Community Empowerment Activity Cycle
CIDSS	Comprehensive and Integrated Delivery of Social Services
CF	Community Facilitators
CV	Community Volunteers
DAC	Deputy Area Coordinator
DILG	Department of the Interior and Local Government
DSWD	Department of Social Welfare and Development
FGD	Focus Group Discussion
FMR	Farm-to-market Road

GRP	Government of the Republic of the Philippines
IP	Indigenous Peoples
IPA	Innovations for Poverty Action
LCC	Local Counterpart Contributions
LGU	Local Government Units
KC	Kapit-Bisig Laban sa Kahirapan – Comprehensive and Integrated Delivery of Social Service (KALAHI-CIDSS)
KII	Key Informant Interview
MAC	Municipal Area Coordinator
MCA-P	MCA-Philippines
MCC	Millennium Challenge Corporation
MCF	Municipal Community Facilitator
MCT	Municipal Coordinating Teams
MFA	Municipal Financial Analyst
MIAC	Municipal Inter-agency Committee
MIBF	Municipal Inter-barangay Forum
MLGU	Municipal Local Government Unit
MSWD	Municipal Social Welfare Development
MT	Makamasang Tugon
M&E	Monitoring and Evaluation
M&I	Monitoring and Inspection
NCDDP	National Community Driven Development Program
NGO	Non-governmental Organization
NORC	National Opinion Research Center
NPMO	National Project Management Office
O&M	Operations and Maintenance

POM	Project Organizational Management
PAMANA	Payapa at Masaganang Pamayanan
PDW	Project Development Workshop
PISP	Project Identification, Selection and Planning
PIT	Project Implementation Team
PPT	Project Preparation Team
PT	Procurement Team
PSA	Participatory Situational Analysis
RFR	Request for Fund Release
RPMO	Regional Project Management Office
SET	Sustainability Evaluation Tool
SP	Sub-project
SSI	Semi-structured Interviews
TA	Technical Assistance
UPLBFI	University of the Philippines Los Baños Foundation, Inc.
WB	World Bank

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1. Evaluation Purpose and Evaluation Questions

1.1 Evaluation Purpose

The goal of the KALAH-I-CIDSS (KC) project, implemented by the Department of Social Welfare and Development (DSWD) and funded by the Millennium Challenge Corporation (MCC) and the World Bank is to have barangays/communities of targeted municipalities become empowered to achieve improved access to services and to participate in more inclusive local planning, budgeting, and implementation. More concretely, the program objectives are to: (1) improve the responsiveness of local governments to community needs, (2) encourage communities to engage in development activities, and (3) deliver benefits to barangay residents through individual sub-projects by providing grants for livelihood activities and small-scale rural infrastructure identified by the community.

As with all community driven development (CDD) programs that include a strong participatory element and pro-poor focus (targeting communities that have a higher-than-average poverty incidence), the intended results and impacts of the KC project are affected by the process: the input of citizens regarding priority projects/sub-projects, prioritization and selection, implementation, and monitoring of the sub-projects. Additionally, in highly participatory and decentralized programs, the involvement of local government units (LGUs) and adoption of CDD initiatives into regular planning and budgeting is critical to ensure sustainability. The implementation and evaluation of CDD programs like KC is challenging given the large number of communities involved and geographic dispersion of project sites. Moreover, social, behavioral, cultural, religious, and governance conditions could impede or facilitate the successful implementation of the project, as well as the striking disparities among the municipalities and barangays where the project is being implemented such as those with high poverty incidence; conflict or typhoon/earthquake affected municipalities; and those with indigenous populations.

MCA-P contracted NORC at the University of Chicago (NORC) to conduct a process evaluation of the KC project, focusing on the Community Empowerment Activity Cycle (CEAC) which is the primary community driven development (CDD) process and intervention of the KC project. The main objectives of the evaluation identified by MCA-P and DSWD are as follows:

- To document characteristics of the intervention;
- To identify barriers to and/or facilitators of the intervention components and recommend if and how any of these barriers should be redesigned or removed;
- To understand and to document how the CEAC processes of KC are being received by LGU and community and how these promote empowerment, transparency, accountability and participation;
- To identify innovations and enhancement to the processes that were done both in the absence and presence of special circumstances like conflicts, disasters, presence of Indigenous People (IPs), etc.;
- To understand how project results (impacts, outcomes and outputs) will be met;
- To determine how CEAC processes promote or could promote convergence/complementarity among different NGOs and stakeholders; and
- To understand how KC processes influence or could influence regular LGU processes in terms of planning, budgeting, implementation and monitoring.

The evaluation will help DSWD, MCA-P and MCC understand how KC works and how it produces the results that it does. The results of the study will be used as a key input for the continuous quality improvement process targeted at improving the KC process, especially as it is taken to scale across the country by the National Community Driven Development Program (NCDDP).

Evaluation Questions

The process evaluation is based on several questions proposed by MCA-P that can be grouped as follows:

- General questions dealing with implementation, barriers and facilitating factors, involvement of stakeholders, use of monitoring data and KC's influence on regular LGU processes.
- Cross-cutting questions applicable to each stage of the CEAC such as constraints in each stage, timeline, use of training skills, involvement of citizens and LGU, grievances and how they were addressed.
- Questions specific to the Social Preparation Stage.
- Questions specific to the Project Identification, Selection, and Planning Stage.
- Questions specific to the Implementation of the Sub Project, Operations and Maintenance Plan, and Monitoring and Evaluation Stage.

NORC regrouped these questions into eight overarching questions, as follows:

Question 1: How can project implementation be improved?

Question 2: How can project structure be improved?

Questions 3-7. For each of the five stages of the project's Community Empowerment Activity Cycle: Are the stages and process clear? What is the role of specific stakeholders in this stage and can this stage be improved?

Question 8: What is the sustainability of KC?

The eight questions, along with sub-questions, and indicators, were elaborated for the Detailed Methodology Report for the KC process evaluation. This matrix, which also depicted the targeted informants for each indicator, can be seen in Annex A: Matrix with Evaluation Questions, Indicators, and Targeted Informants.

Previous Assessments of KC

There have been several previous assessments of the KC project as well as numerous citations in community driven development literature. Here we briefly summarize the results of assessments shared with NORC by MCA-P.

World Bank, The KALAH-CIDSS, Impact Evaluation, A Revised Synthesis Report, January 2013¹: The World Bank conducted a rigorous impact evaluation using quantitative and qualitative methodologies to collect data in 2003, 2006, and 2010. Data was collected from KC municipalities and control municipalities (those that did not receive project support). The objectives were to measure impacts on poverty reduction, social capital, access to basic services, empowerment, and local governance. The evaluation also hoped to identify strengths and weaknesses, suggest improvements for project improvement and scaling up.

Relevance to current study:

-Confirms that men are more likely to be involved in sub-project implementation than women.

-Identification of similar project benefits including infrastructure improvements, increased access to services and community empowerment.

¹ "World Bank. 2013. Philippines - The KALAH-CIDSS Impact Evaluation: A Revised Synthesis Report. Washington, DC. © World Bank. <https://openknowledge.worldbank.org/handle/10986/12536> License: CC BY 3.0 IGO."

Findings: Participation by the households and governments was high indicating perceived value of the KC approach. However, there was attrition during the CEAC with 64% of citizens involved in the preparatory and planning stages, and 31% in sub-project implementation; women were more likely to be involved in sub-project planning and selection while men were more likely to be involved in sub-project implementation; 80% of citizens were aware of the KC project among the treatment municipalities, and of those aware of the project 60% were satisfied with the project; 75% LGU officials were satisfied with the project as well. Project benefits identified by the respondents include infrastructure improvement, increased access to services and community empowerment. Elite capture was not considered to be an issue since the best organized villages were selected for financing, and sub-projects chosen within barangays were not subject to disproportionate desires of the Barangay Captain. No impact was seen on governance at the municipal level since at the time of the evaluation Makamasang Tugong was just kicking off. The project did relatively well at empowering community volunteers, but empowerment of barangay citizens in aggregate was less clear.

Analytical Report, Qualitative Baseline Study of the KALAH-CIDSS Project, December 3, 2013²: MCA-P commissioned a qualitative baseline study to serve as a benchmark for monitoring the KC Activity. Data collection activities included 72 Focus Group Discussions (FGD), 192 Key Informant Interviews (KII) and 24 community observations. Objectives of the study included assessing the impact of KC processes on government and non-government processes, levels of participation and dynamics in regular processes at the barangay and municipal levels, the existence of social capital within barangays, and how perceptions of government and non-government processes differ across gender. The findings are of interest as they validate the context for the assumptions and ultimate appropriateness of certain components of the KC project.

Relevance to current study:

-LGUs were given low ratings in areas such as responsiveness to community needs, and inclusiveness of formal planning and budgeting – elements that are the objectives of KC – thereby raising concerns regarding sustainability.

Findings: The study suggests that levels of participation in local governance is reflective of trust in the particular government unit, and that participation is often quite high, especially for women. That said, local governments were rated low in three areas – inclusiveness of formal planning and budgeting, responsiveness to community needs, and implementing reforms and improvements. Most barangay residents attributed their exclusion from public services due to physical distance from municipality centers. In terms of social capital, trust in local governments is a factor of the institution's performance relative to expectation, accessibility, and general relations between the citizens and officials. The study found that the barangay is a highly trusted institution, with the barangay captain being considered the most popular and trusted local leader; there is relatively lower trust in municipal governments. In terms of inclusion, access to various services is mixed. Access to education and potable water is deemed low, but paved and passable roads are considered present and good. In terms of barangay collective action, the high rating placed on the social cohesion indicates a strong social connectedness among village residents. Furthermore, the general sentiment is that ordinary citizens have the potential to become leaders – a positive finding for the KC intervention.

Innovations for Poverty Action (IPA), Impact Evaluation of the KALAH-CIDSS: Interim Report, September 2014³: The MCC contracted Innovations for Poverty Action (IPA) to perform an impact evaluation of KC. The baseline was conducted in 2012, when 198 municipalities across 26 provinces and 12 regions were paired and then randomly assigned to treatment or control groups through a public lottery. At baseline, data was collected from 5940 households in 198 barangays in the 198 municipalities.

² Lim, C., and Pascual, C. 2013. ANALYTICAL REPORT: Qualitative Baseline Study of the KALAH-CIDSS Project.

³ Beatty, A., BenYishay, A., et al. Innovations for Poverty action (IPA). 2015. Impact Evaluation of the Kalahi-CIDSS: Interim Report.

A qualitative component of the evaluation collected data from 24 municipalities (12 pairs) using KIIs with barangay and municipal leaders, coupled with FGDs with barangay residents. The interim data collection took place in 2014, when 80 of the 198 baseline municipalities were revisited. The purpose of the interim data collection was to assess the project's socio-economic, governance and community empowerment outcomes; focusing on short-term outcomes only.

Findings: Only one socio-economic short-term outcome was assessed – travel time and cost to key services. The interim report found that the effect has been positive, though not statistically significant. In terms of governance short-term outcomes, KC had a positive significant effect on the quantity and quality of citizen participation in local governance. However, that finding, which was derived through household and barangay survey data, was contradicted by the findings of a direct observation component of the evaluation. The interim report found that knowledge and awareness of local governance increased significantly relative to the baseline in KC communities. In terms of community empowerment, interactions among peers increased significantly in KC communities. Lastly, no impact was detected in terms of the alignment of KC and non-KC subprojects with the needs of barangay citizens, a finding largely driven by the fact that alignment at baseline was already quite strong. Across the three domains of analysis, the largest positive impacts were seen in community empowerment. Short-term outcomes in governance were quite positive as well, though IPA acknowledges that these results are related to barangay assemblies, and subsequently participation, knowledge and awareness of governance may be a product of barangay assemblies currently being compulsory under the KC model – it is unknown what the effects will be once KC cycles are completed. Socio-economic short-term outcomes on the whole were not significant, however this will be an area for greater scrutiny in the next round of evaluation.

Relevance to current study:

-Significant and positive effect on governance, that is the quantity and quality of citizen participation in local governance.

Asian Development Bank (ADB), “Sharing Knowledge on Community Driven Development, 2012⁴”: The ADB commissioned four separate studies of Community Driven Development Projects in People’s Republic of China, Indonesia, the Republic of Korea, and the Philippines. In the Philippines, the study sought to assess KC’s impact on 1) community participation, 2) utility and sustainability of subprojects, 3) accountability and transparency, 4) and institutional impacts on barangay and municipal governments. The study consisted of a survey of 180 residents across six prioritized villages along with 13 FGDs with local government officials, community volunteers, and KC staff.

Findings: Overall, the assessment found that KC is an effective project with positive impacts on decreasing poverty. Particularly, the study found that KC was effective in facilitating resident participation, implementing sub-projects aligned with community needs, providing barangay residents with management and leadership skills which will allow them to engage with municipality leadership more confidently and effectively, and creating a platform for engagement between citizens and municipal officials that encourages transparency, accountability, and responsiveness. The study also acknowledged key lessons learned for future KC implementation, chief among them: 1) quality community facilitators are essential to program success, 2) KC has especially been critical in enhancing women’s community involvement, though improvements can be made to enhance gender equity, 3) timelines for KC must be more flexible, 4) the Municipal Inter-Barangay Forum (MIBF) is an effective means for selecting subprojects and allocating resources, but there is room for improvement, 5) the

Relevance to current study:

Highlights several key lessons for future implementation. (1) need for more flexible timeline in implementation; (2) improvements are necessary to enhance gender equality; (3) quality CFs are essential to project success.

⁴ Asian Development Bank. 2012. The KALAHY-CIDSS Project in the Philippines Sharing Knowledge on Community-Driven Development.

importance of the social preparation stage must not be overlooked, it is a pivotal investment in the sustainability of the KC process.

World Bank, Implementation Completion and Results

Report, November 2014⁵: This is a summary report by the

World Bank, briefly presenting the results of three loans provided by the Bank of the GRP and the implementation of the KC project from 2002 to 2014. The original project development objectives were empowerment, governance and poverty reduction; but the last objective was revised to

access to services during the mid-term review in November 2007. The original components funded by the Bank included (1) community grants, (2) implementation support, (3) monitoring and evaluation (M&E). These components were revised to include (1) grants to barangays in rural areas (2) capacity building and implementation support, (3) grants to barangays in urban areas, and (4) project management and M&E. The mid-term review also included the development of the Makamasang Tugon (MT) which is a local government unit (LGU)-led CDD pilot.

Findings: Overall the World Bank gave the project a “Moderately Satisfactory” rating, and stated the following lessons learned many of which have been incorporated into NCDDP: (1) adopt phased scaling-up and flexible learning-by-doing approach informed by empirical evidence to enhance prospects of success, (2) build in design to institutionalize the CDD approach in local development, (3) provide large enough investments with regular frequency to ensure impacts, (4) balance the quality of the project with enhanced use of project structure through careful phasing, and (5) invest in M&E especially at entry.

Relevance to current study:

-Need to have a flexible learning-by-doing approach (such as the MT) to enhance sustainability.

-Greater emphasis on M&E.

Kalahi-CIDSS Gender Incentive Grant Pilot Sub-Projects

Evaluation Report (MCA-P/DSWD/MCC Joint Review Team):⁶ The Gender Incentive Grant (GIG) is a

complementary grant facility to support gender components of the KC Program. The GIG is meant to

enhance gender mainstreaming at the barangay level,

address gender issues at the municipality level, and also serve to leverage Gender and Development (GAD) funds of the local governments. GIGs are awarded to barangays which identify SPs with gender issues at their core. The proposed SPs must aim to promote gender equality and women’s empowerment through the KC SPs. The gender issues should be part of the Barangay Action Plan as well as the MLGU priorities. The SPs should address gender related constraints pertaining to community activities, decision making processes, or economic activities. GIG funded SPs can either supplement existing KC SPs or be one-off SPs.

Relevance to current study:

-Highlights the GIG to enhance gender mainstreaming specifically during sub-project implementation.

The evaluation used FGDs (number unknown) to assess perceptions and participation outcomes in two guaranteed municipalities – Madalag, Aklan and Torrijos, Marinduque. This evaluation revealed that the GIG’s focus on influencing the municipal and barangay planning and budgeting processes helps the LGUs properly allocate and use the GAD funds. The study furthermore emphasized that LGU buy-in is highly important for the success of the GIG, with the role of the GAD Focal Persons at the municipal and barangay levels being important. That being said, the study itself acknowledged that it is too early to assess the impacts of the GIG SPs on gender mainstreaming.

⁵ The World Bank. November 24, 2014. Implementation, Completion, and Results Report. Report No: ICR00003238.

⁶ MCA-P/DSWD/MCC Joint Review Team. September 2014. *KALAHI-CIDSS Gender Incentive Grant Pilot Sub-Projects Evaluation Report*.

2. KALAH-CIDSS Program

Context and background

The MCC funded Kapit-Bisig Laban sa Kahirapan (“linking arms in the struggle against poverty”) - Comprehensive and Integrated Delivery of Social Services (KALAH-CIDSS or KC) Project aims to improve life conditions in rural areas by targeting communities where poverty exceeds the national average to receive small-scale, community-driven development projects. The KC project does this through providing grants for infrastructure and services associated with community-selected and managed sub-projects, strengthened community participation in development and governance activities at the village and municipal level, and improved responsiveness of local government to community needs. The KC project started in December 2002 with the World Bank and the Department of Social Welfare and Development (DSWD) funding. It was designed as a combination of the Government of the Republic of the Philippines (GRP) poverty alleviation flagship program the Comprehensive and Integrated Delivery of Social Services (CIDSS) being implemented by DSWD, and the World Bank supported Kecamatan Development Program in Indonesia based on the principles of community driven development (CDD). The World Bank-funded KC is referred to as KC-1.

When the Millennium Challenge Corporation (MCC) and the GRP entered into a Millennium Challenge Compact to help facilitate poverty reduction through economic growth, the KC project became one of three Compact components to receive funding from MCC from 2010 to 2015, and have oversight by the Millennium Challenge Account – Philippines. The project continues to be implemented by DSWD.

MCC funded 160 municipalities across the country under KC-2, to implement a 3-year KC cycle (i.e., a set of three consecutive year-long iterations of the CEAC process), with MCC as the main funder and the World Bank funding only a one year cycle under World Bank – Additional Financing.

The Makamasang Tugon (MT), which is a LGU-led CDD pilot, was introduced during KC-1 after a mid-term review of the World Bank in November 2007. The MT gives greater management autonomy with supplemental funding to well-performing LGUs – that is, those who have demonstrated adherence to the principles and processes that promote participation, transparency, and accountability in implementing the first 3 cycles of KC project; while expecting them to cover a great part of the operational cost requirements. Under the MT the KC project is implemented by the municipality with additional support provided by DSWD.

KC Objectives

KC-1 and KC-2 focused on the 25% poorest municipalities in the country, ranked on a poverty index. The goals and objectives of the project include:

- **Community Empowerment:** Empower communities by treating them not as passive recipients of assistance and services but as partners in development
- **Improved Governance:** Improve local governance by improving people’s engagement with and access to their local government units (LGUs), and making it more democratic and participatory.
- **Reduction of Poverty:** Reduce poverty by implementing barangay-level projects that respond to the community’s felt needs and problems.

In addition to the overall project goals, the sustainability of the project was pursued through also specifying objectives for each ensuing year of the three years as well as the MT, as shown in Exhibit 2.1 below. Cycle 1 was to build an understanding of the CDD process within the LGU and provide citizens with a platform to engage with the LGU on development issues; cycle 2 was to build the capacity of

community volunteers and of LGUs to involve citizens in the development process; cycle 3 hoped to integrate CDD elements in the LGU planning development and budgeting process; and the MT cycle hoped to integrate the CDD process into the LGU planning and investment cycle.

Exhibit 2.1: Cycle Specific Objectives for MCC-KC

Cycle 1	Cycle 2	Cycle 3	Cycle 4 (MT)
- Build appreciation of community-driven development among community stakeholders through experiential learning of CEAC; - Provide beginning experiences for citizens to engage LGUs in development dialogue.	- Build capability of community volunteers to undertake lead role in selected CEAC processes/activities; - Build the capability of LGUs to initiate and manage citizens participation in development	Facilitate community initiative to integrate community-driven-development (CDD) elements into the local development planning and budgeting.	Assist LGUs in integrating CDD principles and processes in the local planning and investment programming cycle, by way of an LGU-led implementation scheme of the KALAH-CIDSS processes.

KC Design and Management

The key design features of KC that distinguish it from other CDD programs are⁷:

- Social Inclusion / Coverage:** all barangays in KC municipalities are eligible to participate in the project and up to a maximum of 50% of municipalities in a target province. Target municipalities include previously covered KC areas (under KC-1) as well as new candidates.
- Focus of Facilitation Effort:** emphasis is given on the representation of the poorest and disadvantaged groups in the community, such as the indigenous peoples (IPs).
- Sub-project Approval Mechanism:** sub-projects are approved, and the allocation of funds decided by barangay assemblies and inter-barangay forum composed of representatives from participating barangays.
- Community Procurement:** communities take the lead in the procurement processes, from finding prospective suppliers to managing the bidding process.
- Fund Release Mechanism / Finance:** KC follows a direct fund transfer system, where resources that will be used for the implementation of the sub-projects will be sent directly from DSWD-Central Office Special Account to the accounts of the community which will be managed by the residents themselves.
- Common Fund System:** community grants, local counterpart contributions (LCCs) from LGUs, communities and other sources are pooled together. During the municipal inter-barangay forum, representatives of all barangays determine how the funds will be allocated.
- Community Implementation:** the residents through the Barangay Sub-Project Management Committee (BSPMC), a group formed for KC every cycle, are also directly responsible for the implementation of their community project.
- Open Menu System:** barring items on a Negative List, the program follows an open menu system that allows communities to propose subprojects that will address their needs.

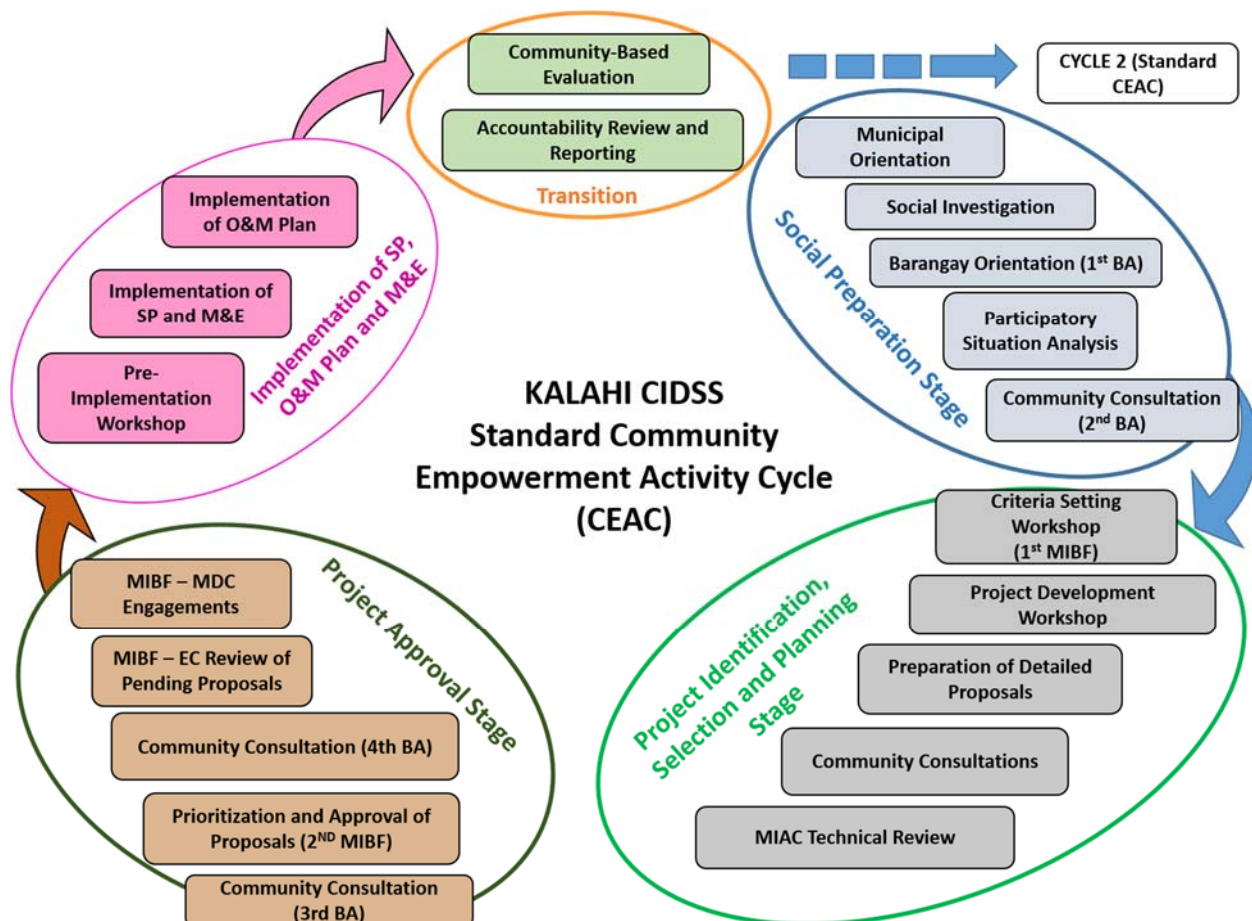
⁷ Sources: (1) Department of Social Welfare and Development. *Bayanihan: Working for the Common Good*. KALAH-CIDSS, 2014, and (2) The KC National Project Management Office, DSWD, “Kapit-Bisig Laban sa Kahirapan – Comprehensive and Integrated Delivery of Social Services Primer.”

- **Grievance Redress System:** Any stakeholder from the barangay to the national level, may pose questions, comments, or complaints about the project.
- **Monitoring and Evaluation:** in addition to DSWD internal monitoring, the project promotes transparency and encourages community monitoring and external monitoring by independent groups, nongovernmental organizations (NGOs) and the media.

The heart of the KC process is the CEAC which comprises 5 stages and 20 steps and is shown in Figure 1 below. The stages can be summarized as follows:

- **Social Preparation Stage:** communities are mobilized to identify their problems and needs, and to formulate an action plan to address them.
- **Project Identification, Selection and Planning Stage:** Barangay volunteers are trained to design and package community project proposals that address their needs.
- **Project Approval Stage:** The Municipal Inter-Barangay Forum (MIBF) selects which barangay proposals will be funded by KC using criteria they themselves developed.

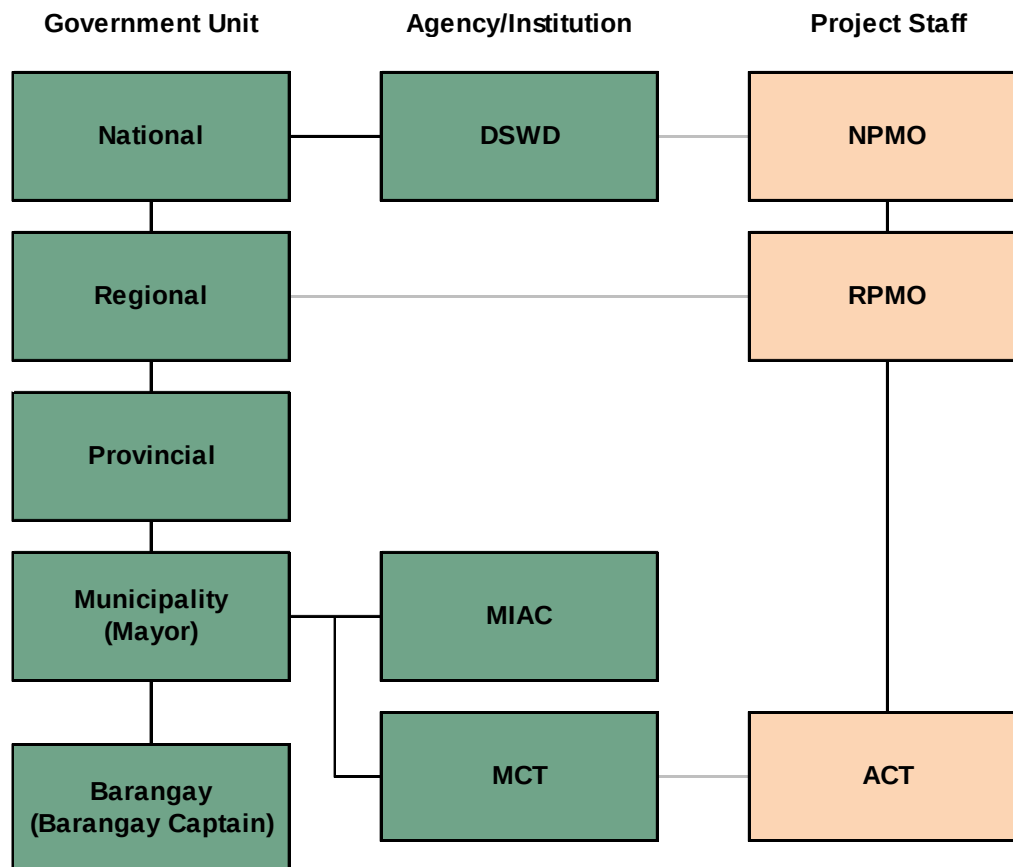
Figure 2.1. KC Community Empowerment Activity Cycle



- Implementation of the Sub-project and Operation & Maintenance (O&M) plan and Monitoring and Evaluation (M&E): Barangays with approved proposals implement their community projects and after completion, operate and maintain the projects.
- Transition: Communities reflect on and evaluate the processes in the preceding stages before entering another cycle, in which another set of community projects will be funded.

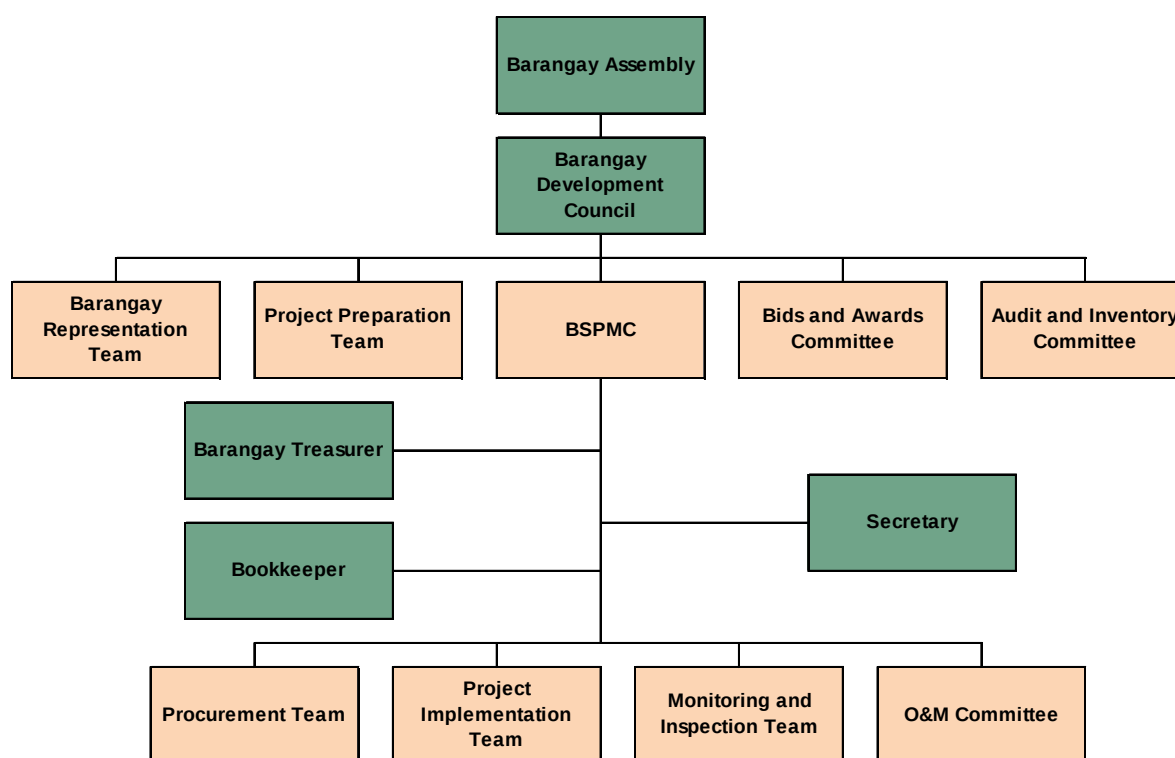
The implementation of KC requires structures in place at the national, regional, and LGU level. DSWD is the lead implementing agency of the project. Its implementing arm includes the National Project Management Office (NPMO), the Regional Project Management Office (RPMO), and the Area Coordinating Team (ACT)⁸. During the MT cycle the implementation of the KC project is transferred to the Municipal Coordinating Team (MCT). Figure 2.2 below shows structures in charge of KC oversight and their relationship with the government at different levels. On the left we see different levels of government, and on the right their counterpart project staff. Since sub-projects are implemented at the barangay level, government structures and volunteers involved in the KC process within each barangay are shown in Figure 2.3.

Figure 2.2. KC Oversight and Relationship to Government



⁸ The ACT comprises of (1) area coordinator (1 per municipality); (2) deputy area coordinator / municipal engineer (1 for every 25 barangays); (3) municipal financial analyst (1 for every 25 barangays); and (4) community facilitator (1 for every 5 barangays).

Figure 2.3. Barangay Level KC Oversight



The roles and responsibilities of various government officials, project staff, and barangay volunteers are explained in Exhibit 2.2. NORC conducted key informant interviews (KIIs) and focus group discussions (FGDs) with several individuals indicated in this table. More information on the target population for the process evaluation is provided in Section 3: Evaluation Methodology and Limitations.

Exhibit 2.2: Roles and Responsibilities of Key Implementing Teams

National and Regional Project Management Office	
National Project Management Office (NPMO)	Headed by a National Project Manager, the NPMO is responsible for the overall management of the project. It is composed of DSWD organic staff, as well as contracted consultants and technical staff.
Regional Project Management Office (RPMO)	Headed by a Regional Project Manager, the RPMO is responsible for the daily operations of the project. Its functions include, but are not limited to: - Implementation of national policies and regional directions and strategies; - Provision of technical assistance and supervision of work performance of the ACTs; - Management of the LGU engagement and other stakeholders.
Local Government Units	
Provincial LGU	- Observes the selection of municipalities; - Provides complementary support to barangay sub-projects (for example, cost sharing and technical assistance); and

	Supports the integration of CDD principles of people's participation, transparency and accountability in local-decision making.
Municipal LGU	- Provides counterpart contribution (cash and in-kind), logistical support and counterpart staff; - Convenes municipal inter-barangay forum and local-agency committees; - Provides technical assistance to barangays (planning, engineering, agricultural inputs, etc.) - Assists in the operation and maintenance of the sub-projects; - Commits to integrate CDD principles of people participation, transparency and accountability in local decision-making.
DSWD Staff	
Area Coordinator (AC)	- Act as the Team Leader and assumes full responsibility of supervising the ACT members; - Facilitate municipal and barangay level activities; - Provides TA to CFs, who facilitate barangay level activities (part of TA may be in the form of initially demonstrating the facilitation of the process); - Establish partnerships/linkages with project stakeholders such as LGUs, NGOs, and other agencies working in the municipality; - Ensure efficient and effective ACT operations; - Establish, develop, and implement ACT-level and field-level operations management and monitoring systems, processes and mechanisms towards effective performance of the ACT function.
Deputy Area Coordinator (DAC)	- Supervise team members in the absence of the AC; - Provide technical assistance, together with the municipal engineer to community volunteers in the preparation, development, and implementation of community projects that involve small rural infrastructure, and in community procurement and implementation of environmental safeguards; - Ensure that community infrastructures built and managed by volunteers meet KC-prescribed design, construction, procurement, and safeguard standards.
Municipal Finance Analyst (MFA)	- Act as primary technical specialist on community finance at the municipal / barangay level; - Train community volunteers on financial management and fiduciary processes; - Assist and provide TA to CVs in setting up systems and processes for community-based finance management and fiduciary control; - Exercise quality assurance (QA) and quality control (QC) over financial transactions relative to the request for, release, and accounting of community grants; - Ensure that costs of subproject proposals are complete, economical, and reasonable; - Ensure compliance with internal control measures, and with the project's financial reporting requirements.
Community Facilitator (CFs)	Act as the KC CEAC participation specialist and main facilitator of the CEAC at the community/barangay level;

	- Ensure that barangay and community-level development processes and activities along the CEAC are facilitated efficiently, with the direct participation, inclusion, and engagement of all stakeholders; - Ensure that opportunities are provided, processes are designed, and mechanisms are established at the barangay level, that allow all sectors, especially the most marginalized groups, to engage in and benefit from project activities.
Municipal Staff	
Municipal Coordinating Team (MCT)	- A composite team formed by the Municipal LGU in a KC municipality to support implementation of the KC project. - Formed through Executive Order as part of the requirements for enrolling of a municipality into the Project. - Formed at the start of the first cycle, the MCT observes and assists the ACT in implementing activities along the CEAC, and (i) gradually takes over the facilitation of the selected activities in the KC CDD process and (ii) facilitates integration of CDD processes into the local planning and budgeting process of the LGU.
Municipal Inter-Agency Committee (MIAC)	A gathering of all the heads of the various offices, bureaus, and services of the municipal LGU. An ad-hoc structure formed through Executive Order by the Municipal Mayor as part of the requirements for entry of the municipality into the KC project. - Provide relevant data to the barangays to facilitate the latter's needs assessment and analysis; - Provide direction in planning based on development goals and priorities emanating from the national or municipal level; - Provide technical assistance in project planning, design, and proposal writing; and - Monitor ongoing barangay projects.
Barangay Community Volunteers (CV)	
Participatory Situation Analysis volunteers (PSA)	Elected during the first barangay orientation - Formed to lead in the conduct of community research - Composed of three community volunteers per purok, at least one of which should be a woman. - In large barangays the group may be bigger.
Barangay Monitoring Team (BMT)	Formed during the barangay assembly for PSA validation - Groups that lead in community monitoring of progress made on PSA identified priorities; - Composed of a minimum of three CVs per barangay. - More volunteers can be included
Barangay Representation Team (BRT)	Elected during the first barangay assembly meeting, or can be elected during the BA for PSA validation, conducted prior to the criteria setting workshop - Group formed to represent the barangay in the MIBF - Composed of three CVs per barangay, at least one of which should be a woman
Project Preparation Team (PPT)	Elected during the BA for PSA validation, prior to the criteria setting workshop. Group formed to lead in the preparation of community proposals for sub-projects recommended by the barangays for prioritization in

	subsequent project activities, or for submission to possible funding groups ▪ Composed of a minimum of three CVs per barangay, at least one of which should be a woman ▪ Different teams can be formed to prepare proposals for different projects
Barangay Sub-Project Management Committee (BSPMC)	Formed during the BA after the criteria setting workshop ▪ Formed to manage and lead in the implementation of prioritized community sub-project. ▪ Composed of smaller committees tasked to implement specific activities in project implementation. These can include: - o Procurement Teams (PT) - o Project Implementation Teams (PIT) - o Audit and Inventory Teams (AIT) - o Membership Teams - o Finance Teams - o Operation and Maintenance Teams (O&M)

3. Evaluation Methodology and Limitations

Study design

In accordance with the evaluation's terms of reference, this evaluation relied solely on qualitative methods, which include document review, key informant interviews and focus group discussions. The KC process is of critical importance to the result of the KC project. Rather than funds being spent directly on providing services or building infrastructure, the project emphasizes a process in which communities play the central role in selecting, developing, and implementing a sub-project. The development of skills of key implementers (community volunteers and municipal staff) through that process is in itself an important outcome. Accordingly, it is not sufficient for the actions of the community volunteers, for example, to result in the completion of the sub-project, but it must also have helped them develop skills and confidence for the program to be deemed successful and achieve its overall goals. The qualitative approach is especially valuable in this instance by allowing a rich conversation on the "how" of the program.

The question of integration with local government units also presents particular challenges. The engagement and effectiveness of the local government are key to the attainment of project objectives and to the sustainability of the process. Also of particular relevance given the magnitude of the investment this project represents is program sustainability – both the longevity of the sub-projects and the sustainability of the participatory process undertaken. This was a topic that emerged during initial meetings with MCA-P and DSWD, as well as with stakeholders at the World Bank and the Asian Development Bank as being a crucial question looking forward.

NORC therefore designed an evaluation that focused on obtaining feedback from several stakeholders involved in the KC process – national and regional project management staff, project staff working at the municipal and barangay level, LGU officials including the Mayor and Barangay Captain, and finally community volunteers and residents.

Document Review

As part of the evaluation, the NORC evaluation team reviewed a wide range of documents relating to the design and implementation of the program, including manuals and training materials, the Monitoring and Evaluation Plan, actual documents completed by specific municipalities, forms required by the program, and various evaluations and assessments of the project.

List of Documents Reviewed

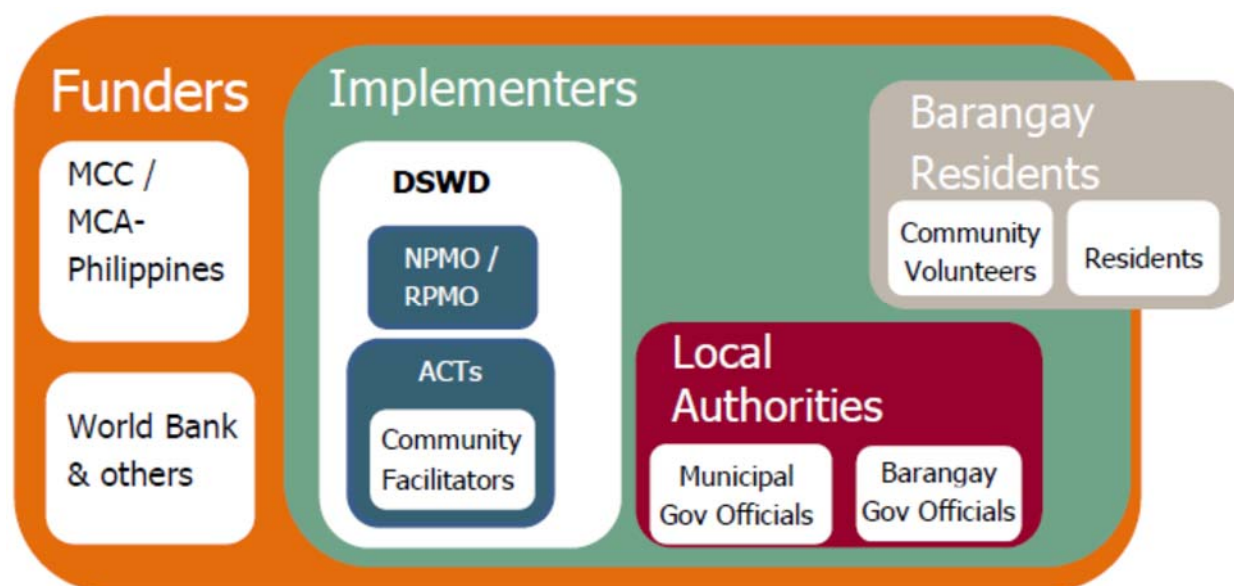
1. KALAHI-CIDSS Program Documents
 - a. List of DSWD Indicators
 - b. Compilation of KC Community and Municipal Paper-Based Forms
 - c. SUB-MANUAL: CEAC Field Guide for Kalahi-CIDSS Area Coordinating Teams
 - d. Kalahi-CIDSS Project Management Manual
 - e. Community-Based Infrastructure Sub-Projects Manual
 - f. Kalahi-CIDSS Project & Community Finance Manual
 - g. Community-Based Procurement Manual
 - h. Technical Assistance Fund Policy
2. Other studies / evaluations
 - a. Impact Evaluation of the Kalahi-CIDSS: Baseline and Interim Reports (IPA)
 - b. Kalahi-CIDSS Gender Incentive Grant Pilot Sub-Projects Evaluation Report (MCA-P/DSWD/MCC Joint Review Team)

- c. The Kalahi-CIDSS Project in the Philippines: Sharing Knowledge on Community-Driven Development (ADB)
- d. MCA-Philippines Data Quality Review of Compact Projects (NORC)
- e. Qualitative Baseline Study of the Kalahi-CIDSS Project
- f. World Bank KC Impact Evaluation: A Revised Synthesis Report, 2013.
- g. World Bank Kalahi-CIDSS Project Implementation Completion and Results Report. November 24, 2014

Qualitative Data Collection

Most of the data to support this process evaluation and answer the evaluation questions were collected from informants related to the program in different ways and playing different roles. To illustrate the composition of this group of informants and their relation to the program, Figure 3.1 shows a map of the KALAH-CIDSS program's stakeholders. We distinguish four main groups of actors: funders, the implementation agencies and bodies, local authorities and program participants at the barangay level.

Figure 3.1. Map of Stakeholders - KALAH-CIDSS Program



Key informants were asked about the program and its internal organization and functioning; as well as about the program's context, scope and interactions with other institutions, rules and programs. Annex A lists the questions and indicators, and cross-walks each one with the different key informants and focus group participants to be interviewed. As the data collection instruments were developed, that linkage was fine-tuned, yielding a matrix linking specific questions from the protocols to types of respondents (see Annex B).

Data collection instruments for the KIIs and FGDs were developed using the evaluation questions as a starting point. As a first step the Evaluation Team developed indicators for each of the sub-questions highlighting the information sought. These indicators then guided the creation of individual questions for each target group. Drafts of the instruments were developed and reviewed multiple times by MCA-P and

DSWD. They were piloted March 16 – 19, 2015, and then further revised based on the results of the pilot and additional feedback received from DSWD and MCA-P.

Key Informant Interviews

NORC/UPLBFI obtained data from key informants from the program implementation agencies and local authorities at the municipal and barangay level. Key informants were selected from each of the groups of implementers (see Exhibit 3.1).

Exhibit 3.1. Key Informants

Organization	KII Respondents
Department of Social Welfare and Development	NPMO
KC Regional Project Offices	Regional Director, RPMO
ACT	Area Coordinator Deputy Area Coordinator Community Facilitators
Municipal Government	Mayor Municipal Engineer / Municipal Coordinating Team
Barangay (for 13 municipalities, and two barangays within each municipality)	Barangay Captain Barangay Sub-project Management Committee (BSPMC) Chair Community Volunteers (including heads of procurement committee and operations and maintenance committee)

In determining the number of each informant type that could be interviewed, the evaluation team started from the planning requirement that only about 12 interviews could be covered in each of the 13 municipalities to be visited. The priority was ensuring responses from each of the local government officials involved and a substantial number of community volunteers, as well as representing KC staff from both the localities and the regional and national staff. It should be noted that the numbers dictated that only some types of volunteers could be interviewed in each barangay; accordingly a schedule was developed that would ensure that interviews captured input from each of the different positions. This had to be somewhat amended due to the availability of CVs, but the number of actual interviews for each position were sufficient to help answer the evaluation questions.

Exhibit 3.2. Number of Respondents, by Type

Type	Respondent	Number interviewed
KC Leadership	NPMO	4
	RPMO	5
Local Government Representatives	Mayor	13
	Barangay Captain	27
	DAC/Municipal Engineer	6
Kalahi-CIDDS staff / Municipal staff	AC/MAC/MMMF	15
	CF/MCF	19
	BSPMC	15
Community Volunteers and team representatives	CBMT	5
	PT	12
	PIT/MIT	12
	PPT	8

	O&M	10
	PSA	7
	BRT	10
TOTAL		168

Focus Group Discussions

Nine focus groups were also held, three each of community facilitators and of the two subgroups of barangay residents, i.e., the community volunteers and the citizens. The Focus Group Discussion (FGD) format allowed for rich conversations with program participants about their experience with the program and its outcomes; while these actors were not program decision-makers, they can provide the evaluation team with valuable feedback about the mechanisms that the program is undertaking to deliver services and comply with its participatory and community-based approach.

NORC/ UPLBFI team conducted a pilot test of three FGDs in the General Luna municipality – one per type of participant, and in then again the full set of 3 FGDs in two additional municipalities Cuyo, Palawan and Manjuyod, Negros Oriental. In total, nine FGDs were conducted with KC community volunteers, community facilitators and barangay residents, as displayed below:

Exhibit 3.3. List of Focus Groups

Category	FGD Respondents and explanation
Community Facilitators	Three focus groups with community facilitators (CFs) in the selected municipality. This included CFs working in the sample barangays visited by the data collection team as well as CFs responsible for other barangays in the municipality.
Community Volunteers	Three focus groups were conducted with community volunteers (CVs), who are popularly elected by the barangay who undertake a number of tasks throughout the KC CEAC in their community. These would be the CVs for one of the two barangays selected in the municipality.
Barangay Residents	Three focus groups were conducted with barangay residents, if possible including those who provided input into priority projects at the barangay level during the BA, participated in implementation, are project beneficiaries, and/or submitted grievances. This included residents in the barangay selected for the CVs as well.

Sampling

The evaluation team conducted semi-structured KIIs with a wide range of project stakeholders across 13 Municipalities in 11 regions where KALAH-CIDSS has been implemented.

A sample of thirteen municipalities, purposefully selected as good performers⁹ was provided to the Evaluation Team by MCA-P. The municipalities were selected to represent a mix of attributes, including some municipalities that have substantial IP populations, some affected by typhoons, and some by conflict; municipalities with different numbers of cycles completed, and two that are in the MT stage. Since the sample included only well-performing municipalities, findings from data collection need to be understood in this light – they stem from municipalities where KC was fairly successful rather than representing the full range of performance. The final list of municipalities visited changed somewhat for a number of practical reasons. Given safety concerns for the data collection teams, MCA-P replaced two municipalities in Mindanao with two municipalities in Visayas just prior to the start of field work. Kitcharao, Agusan del Norte and Matungao, Lanao del Norte of Mindanao were replaced by Burauen,

⁹ DSWD initially selected all high performers, but decided to expand the scope slightly in order to include some in the conflict-affected and disaster-affected categories.

Leyte and Tanal, Aklan of Visayas. The replacement municipalities were deemed suitable given the similarity in attributes compared to the municipalities included in the original sample selection.

The pilot took place in General Luna. Data drawn from the pilot are handled a little differently, because of the changes in questions after the pilot, but where applicable the findings have been integrated in the analysis.

Building on this set of municipalities, the priority for barangay selection was to create a sample that encompasses enough variation to capture a considerable range of circumstances to allow exploration of a diverse set of challenges that poor communities face. In each municipality two barangays were visited. The barangays were selected in accordance with the following process:

1. Collect names of all KC barangays with at least one “prioritized” sub-project in each of the 13 municipalities.
2. For each barangay, assemble information about types of sub-projects completed, underway, and/or planned, as well as which cycle they are in.
3. Assemble additional information available (e.g., with respect to geography, remoteness, economic development, poverty incidence, recent weather events, conflict, number of IPs).
4. Select in each municipality two barangays to ensure a variety of types of sub-projects and of number of cycles.

Annex C provides a final list of the municipalities and barangays visited.

Limitations

The Evaluation Team encountered some limitations inherent to the design of the KC evaluation and during fieldwork in the sample municipalities. Some of the more relevant limitations are listed below:

- Small sample. KC-2 has been implemented across 160 municipalities. This evaluation is based on a sample of 1 (pilot) + 12 municipalities which is very small and not representative of the full sample.
- Small barangay sample within each municipality. Municipalities vary in size across the Philippines and can include 7 to 27 barangays. The funding and timing for this evaluation only permitted interviews with two barangays within each of the 13 municipalities.
- Anecdotal responses cannot be taken to represent all sample municipalities.
- Only interviewed barangays that received funding. The evaluation collected information only from barangays that received funding and implemented their prioritized sub-projects. No feedback was obtained from barangays who went through stages 1, 2 and 3 but did not move on to stages 4 and 5 of the CEAC cycle.
- Sample of municipalities that have performed well. Findings from this evaluation have to be considered in light of the fact that the pre-determined (and not randomly drawn) sample primarily included municipalities that performed well and for the most part not those that faced challenges resulting in poor performance.
- Varied municipal characteristics, but sample size too small to capture their implications on the KC process. The sample of 13 municipalities were also as those including indigenous populations (IPs), conflict affected, in the MT cycle, randomly selected, guaranteed (due to high incidence of poverty), and typhoon/earthquake affected municipalities. Having these multiple characteristics for such a small sample did not enable us to capture nuances regarding the overlapping characteristics.

Given these limitations the research is not able to generalize observations. A positive or negative observation in one or more municipalities does not imply the same or opposite observation can be said in other municipalities.

Despite the above limitations, and applying the caution implied by those limitations, the Evaluation Team believes that the data and information collected are sufficient to produce valid findings and recommendations for this process evaluation.

One final word of caution regarding interpretation of the findings. The findings refer to very extensive interviews with many individuals, and they quote liberally from those interviews. Unlike a close-ended survey, where the range of responses is very limited – which allows greater precision – these open ended questions allow much more freedom to the respondent, to mention areas that may not have been foreseen by the evaluators. This adds to the richness of the data, but by the same token requires more caution in interpretation. It should be borne in mind that many choices are being made throughout the interviews about what to mention and what to leave it. Accordingly, if the finding is that “17 respondents mentioned Topic A” that does not in any way imply that the other respondents would either agree or disagree – only that they did not mention Topic A.

4. Evaluation Findings

NORC has grouped the findings around three topics: project structure, implementation, and sustainability. Design and Implementation target the first six evaluation questions which consider how the project as a whole and each of the individual stages of the project cycle can be improved. The third section looks squarely at KC's sustainability.

The three sub-sections as follows:

- Project Structure: which deals with staffing, training and professional development and purpose/objectives of the KC project.
- Project Implementation Process: which covers oversight, the CEAC cycle, grievances/feedback on the process, use of monitoring data, and benefits of the KC process.
- Project Sustainability: which includes alignment with LGU development objectives, long-term sustainability, and recommendations made by KC beneficiaries.

4.A: KC Project Structure

1. Staffing/role of program Implementers

The implementation of the KC process is contingent on having sufficient and capable project staff, municipal staff, and barangay volunteers. Project staff are contract employees and paid by DSWD; municipal staff are assigned to work on KC in addition to meeting their regular municipal responsibilities; and volunteers usually do not get paid; but some do receive minor compensation (such as small honorariums or rations provided by the barangay). Topics highlighted in interviews included the workload of volunteers and project staff, challenges with recruiting, and questions about job descriptions.

Workload for Project Staff and Volunteers.

Job responsibilities under KC are considered burdensome by a number of ACs, MACs and CVs. Overall, five ACs mentioned the overloaded responsibilities while only one AC indicated that his/her duties as mentioned in the contract were "rather easy compared to [his/her] other responsibilities." According to one AC the contract itself says that there may be "other jobs" but these other jobs are not well defined. This respondent mentions that "that particular aspect is abused" in the sense that these other jobs may encompass many different tasks outside the scope of their contract. Another AC mentions that when other team members such as the Municipal Financial Analyst (MFA) or DAC cannot handle certain tasks due to their workloads, it falls on the AC's shoulders to take over the work.

"How you strategize your time for you to easily manage the challenges you are encountering in the area, it seemed hard, for example, with the prioritization. Then you will find out you have activities in the morning. How will you accomplish those within the day since you already made a plan? That is the challenge." [AC]

In general, the interviewed ACs gave the sense that although their workloads may be heavy or the tasks may be beyond what their contract specifies, they feel a duty to their community and to their team to do the work. For instance, one AC mentioned that "the responsibilities are heavy [but] that you are just doing them for the team"; another one says of the fact that he/she has to do unscheduled tasks "the position doesn't matter. What's important is it will be done."

Some of the MACs interviewed also emphasized the heavy workload, but perhaps not as much as the ACs. Two MACs mentioned the heavy workload, indicating that "you need to work double-time or triple", while two other MACs had a more positive view of their workload. For instance one indicated that

at first the list of tasks seemed daunting but that “in the long run, [he/she] has learned everything” while the other indicated that one person is sufficient for undertaking all the tasks that this position is responsible for.

“You need to work double-time or triple I still have the role as the head of MSWD. I have programs that needed implementation there because many are believing in me as the Area Coordinator, there are also additional responsibilities given to me so I really need time management. Also sometimes there are reports that I was not able to make because in the implementation of Makamasang Tugon there were always trainings there are always meetings I can’t do any work in the office.” [MAC]

“At first I saw it I feel like it is too many, can I really do this? In the long run I have learned everything, my only benefit is to be identified as MAC.” [MAC]

For CVs the main challenge in implementing KC is the fact that they don’t get paid as volunteers and that they have other responsibilities at home.

“However there are times when we call a meeting and some [CVs] cannot make it and some do not want to attend. They say that the work is tiring, and they don’t get paid for it.” [BSPMC]

Some of them complain about not getting paid for the work they do. I tell them that we are volunteers so we should not expect to get paid. Others complain about their multiple responsibilities, at home then there’s work. I tell them that we are all the same. I, too, have a lot of duties and responsibilities but I don’t complain.” [BSPMC]

Challenges with Hiring or Recruiting Project Staff and Community Volunteers

Hiring qualified project staff was considered problematic by both regional and national officials of KC. One RPMO mentioned difficulty because they are in a remote area where the supply of professionals is limited and another one indicated that he thinks a “worker of KC [needs to] know the structure and process of governance, [needs to have] concern for the community, [...] [needs to] have experience already in community organizing, community development, local governance, knowledge on local governance.” When this RPMO advertised for the position they received many applications from fresh graduates who did not know about rural development and the typology of LGUs, and therefore needed a lot of training. NPMO staff noted that due to limited resources at the municipal level, MCT staff are also contracted and not regular employees of the LGU.

“During hiring since we have high demand of staffs for all the projects nationally, we don’t have a choice but to hire fresh graduates. However those fresh graduates of course lack experience, so we still have to capacitate them. The advantage here is we can hire staff who can be taught.” [RPMO staff]

“Sometimes they [municipal staff] are just casuals. Just to provide. Because you can’t really also enforce that because some of the municipalities don’t really have much of the resource also to pay on a regular basis.” [NPMO staff]

On the other hand, most BCs communicated that recruiting community volunteers did not prove to be a difficult task; indeed 8 Barangay Captains thought that recruiting volunteers was relatively easy while only 3 explicitly said that it was difficult. All the BSPMC also responded that they managed to recruit volunteers even though some required a certain amount of convincing. According to the BCs who experienced no difficulty in recruiting CVs, even though some CVs volunteered while others were selected or nominated, they were generally committed as demonstrated by their attendance to meetings, and understood that their contribution would benefit the entire barangay. Of those Barangay Captains that expressed difficulty in recruiting CVs, the most common reason cited was the lack of pay as the tasks assigned to CVs are added on top of sometimes already long lists of responsibilities at home.

One CF noted that a challenge with recruiting CVs was their education as “there are some people that are willing to volunteer but are being limited by their educational attainment”; it seems that some CVs may

be reluctant to participate fully in stages such as project proposals and audits because they feel they do not have the proper educational background to contribute. This CF noted that “you really have to push them.”

One CF indicated that there were in general no problem recruiting volunteers except for recruiting women who refused; this CF specified that “they were probably mothers”, likely implying that these women were already too busy with taking care of their children. Another challenge mentioned by a BC was the fact that since these are volunteers, “sometimes [they] can’t really control them.”

On the whole, the large majority of respondents indicated that CVs were excited, motivated, and effective.

Nomination of Community Volunteers

As stated in the point above, some CVs volunteer while others are selected or nominated. Nomination is necessary where there are insufficient people volunteering on their own volition. One CF mentioned that he/she had built rapport with the community previously and explained what CVs’ roles would be in the process, so the community had informally discussed who would be good in what position and when the election time came, it was clear who would be effective for a specific position. Another BC also mentioned that “when people vote, they choose those who are dedicated to their work.”

“I asked them to participate and encouraged them to help. Without their help, we cannot have any project. I told them that they can learn new things such as engineering and architectural works. They can make use of this knowledge and learning for personal growth and concerns. It’s not just for the barangay, they can also do it for themselves.” [BC]

“Somewhat because it is by election. Others agree to be chosen as volunteers. Because they know there is training they are worried about participating in training because it takes time off from their families. They just take comfort of the fact that this project is for all, so they accept the volunteer work.” [BSPMC]

One result of insufficient volunteers is that CVs sometimes need to take on several roles in the KC process. During the evaluation, among the 12 sampled municipalities NORC’s data collection team encountered 3 cases in the Barangays where the CVs being interviewed had multiple roles.

In addition, it is not uncommon for the Barangay Captains to hold multiple CV roles as well; for instance one BC presided over the PSA while one was a BC, BSPMC chairman, BRT chairman, and even PSA chairman of the last cycle and another one had three positions (BC, BRT member and BSPMC). It was the perception of this last BC that having multiple roles is allowed by KC.¹⁰

Motivating and Providing Feedback to Staff

Getting feedback on job performance can be a good motivation for individuals involved in the KC process. KIIs revealed that project staff such as ACs and CFs get feedback from DSWD, but municipal staff usually do not get feedback from the municipality. Two ACs communicated that they get evaluated every six months or at the end of the contract before they can renew a contract while another said that they get feedback from HR, every quarter. Another AC said he/she gets feedback on performance from the municipal mayor. One AC mentioned getting evaluated during the regional meetings where they get ranked. One RPMO staff stated that the period of the performance of the ACs contract is problematic. Every contract is signed for a period of 6 months only and at the end of the 6 months, there is a long process for the renewal which delays payment of their salary. This RPMO believes that “that is why it is

¹⁰ According to KC senior management, for CVs to play multiple roles is allowed (and sometimes unavoidable) but not desirable. However, BCs should not play the role of volunteers, and if they would like to volunteer, they should not head any committees to avoid undue influence.

unfair to demand so much output from them [when] we have that kind of problem.” They are now trying to extend their contract to one year.

One CF mentioned they receive an evaluation on an annual basis from the region. Another CF said they received feedback during their contract performance review. They had ratings given by the secretariat and by the person who would “PC them” (referring to the “performance contract,” a performance review process). This was echoed by another CF who said their AC evaluated them when they filled in their performance evaluation form; and they had one-on-one meetings with him/her.

On the other hand, MACs are less likely to receive personal feedback on their performance. Four MACs said they received no feedback. One MCF said he received no feedback on his/her performance “because of course you have to do everything in the barangay” implying that it is expected of them to do everything. Another MAC indicated that they themselves received no feedback but “if it is the whole performance of the municipality, there is. They even have an award.” Another MAC said that they received feedback from the DSWD Regional Office.

Clarity of Job Responsibilities

Most of the CFs and MCFs indicated that their role description as specified in their contract was clear. Indeed, 7 CFs indicated that their Terms of Reference were clear and that they had no question, including 1 who specified that the description in Cycle 1 was not clear but that that of Cycle 2 was better and 1 other who indicated that the contract was quite general but he/she did not have any questions. Only 2 CFs seemed unhappy with their contract, one indicated that he/she did not sign a contract as the offer was “casual” and his/her responsibilities were not clear and another mentioned that the contract did not indicate the need to work overtime despite the fact that the job does require him/her to often work on weekends. This respondent may not have been clear about the nature of the contract, which may have been of the type that pays according to outputs or deliverables and not according to hours worked.)

One MCF also mentioned concern about the lack of clarity:

“We were hired by the municipality and we were not advised on what are the specific things that we should do. [...] It was not made clear to us in terms of our responsibilities.” [MCF]

2. Training & Professional Development

The majority of the project staff and volunteers mentioned attending some sort of training. A few said that they attended trainings but could not remember the exact topics; these were generally respondents who had received the trainings a few years ago and had been involved in KC for several years. ACTs, for instance, are trained on a number of topics before the implementation of the project, such as procurement, finance, audit and inventory and project implementation. Similarly, CFs receive trainings on finance, procurement, operations and maintenance, project organizational management (POM) and gender. BCs generally attend trainings on different topics; CVs receive training on topics relevant to their particular role in the KC process.

Most respondents stated that the trainings have been useful and that they have been able to apply what was taught in trainings to their work. In particular the training on procurement was particularly well received as it was mentioned by at least four CFs. In fact, one of these CFs indicated that they should receive additional and continuous trainings on procurement, with an emphasis on the forms, which they described as “always changing.” The training on finance, as well, received positive reviews. One other CF mentioned that the training in community facilitation was very useful and that “the thing [he/she] used most is how to carry oneself while working with people in all walks of life during the process of KC.”

CF participants from an FGD indicated that they received a one-week training but that what really taught them about KC was the actual experience of going to the barangay and working side by side with the community. Another CF agreed and said he didn’t need additional trainings because “we are learning

from the actual situation.” Seven other respondents said they did not need additional training, but the large majority of respondents (including PPTs, BRTs, PTs, PITs, BSPMCs, MIT, PSA, O&M, ACTs and CFs) did mention that more training would be welcome. In many cases this could be refresher training for experienced staff and CVs.

“At the start, we have the orientations and trainings. We were oriented in all of the cycles - from the procurement training, finance training, audit and inventory. We also have the project implementation workshop. The project implementation workshop should be conducted first since it is where we discuss the division of work. What else?...Gender is also included there.” [AC]

“The first training we received is the community activity cycle. It’s like five days then the community empowerment activity cycle, one by one, in the procurement.” [MAC]

“It helped a lot sir because we are not really oriented or we have no idea as to the nature of our work. From the trainings, we managed to really know what are our functions and responsibilities.” [MIT]

“In spite of the number of seminars I cannot remember any. I may not remember the things Learned from the training, but I am doing everything to take good care of the [sub]-project”. [O&M]

“So, they have varied trainings, they have barangay training, municipal training, and the volunteers actively participate in the training of KC, even sometimes they were discouraged by the non-volunteers...But they were still willing to help and to participate as volunteer in the barangay because they could see that it could be a great help to the barangay even if they don’t have incentives for working in KC.” [CFs, FGD]

“Our basic training course as community facilitator. At first when we started, we have no single idea on what our job will be, the community organizing is all we know but in the basic training course, the whole process was being taught one by one in which you could use when you are already in the area. And then they are also giving ideas on how you will go to use it when you are in a certain situation. Although it was a basic training course, you knew that it is only a process but I had no idea about the procurement process. But when we had this training, that’s the only time I knew what procurement is. It was a training as a whole in which the Engineer should focus as well as we, the ACT staff needs to be familiar with it.” [CFs, FGD]

Several suggestions and recommendations were made by KII and FGD respondents on training and additional topics needed, as seen in Exhibit 4.A.1. Overall there is a request to update some of the manuals, provide follow up training since the manuals themselves are not sufficient and ensure that new staff are given sufficient training before deployment.

Exhibit 4.A.1. Suggestions for Additional Training under KC

<i>Suggestions by RPMO</i>
Training on all the technicalities of the implementation of NCDDP (and differences between KC and NCDDP)
<i>Suggestions by ACT and MCT</i>
- Trainings on core values/trainings on values formation - Follow-up on basics in management - Handbook on best practices in TA provision - Better trainings on gender integration. This ACT indicated that usually women participate in the social preparation stage or when making the plan, but then during implementation it is mostly men.

- Focus on O&M plan and M&E training - Trainings received by ACT should also be received by the MCT since the two are partners. This MAC says “[ACTs] are always in training and [MACs] are here doing the community work”. When asked about transfer of knowledge, this MAC responds “my opinion is that they just want us to observe always”. - If a staff is deployed while the cycle has already started, there should be an orientation about the process. The manual alone is not sufficient.
Suggestions by CF/MCF
- Trainings for volunteers on basic computer skills as well as writing skills such as how to take meeting minutes. - More time needed for team building activities. - Training on Barangay Assembly could be better. - Livelihood training for CVs in communities with livelihood projects. - There should be training before deployment orders.
Suggestions by Community Volunteers
- Leadership - Skills training including carpentry and livelihood - Supervision skills - Project implementation
Suggestions by Mayor and BC
- If a volunteer has been working with KC already, there is no need to re-train them. Rather than should be the ones training the new volunteers. - Continuous training is needed given that volunteers are different for every project.

Training Manuals and Guides

Of all the respondents, it seems that ACTs are the ones who most consistently received training manuals, while CVs do not always receive manuals. Some indicated that the BCs receive them but that they either only received a soft copy, or could not remember receiving any.

Those having training manuals indicated that the manuals serve as a reference, especially when staff are new. However not everything in the manual is applicable as each barangay is different so what is in the manual needs to be adapted (2 respondents in FGD, 1 CF). One FGD respondent gave an example of something not explicitly mentioned in the manual, but is important to do – i.e. taking the initiative of reaching the most remote puroks of the barangay because people living in those areas don’t attend assemblies given the distance.

“It serves as a reference. But to be honest I don’t bring my manual always whenever I go to the field. But before I go to the area, especially when I was still a newbie in KC, it really serves as my reference. I really know what activity to do, because I really read my manual. But not everything in the manual is applicable; it depends on the situation in the site.” [CF, FGD]

Another CF in the same FGD added “Just like when you impose a policy that it is prohibited to cut down trees, so it is followed.”

Two CFs said the procurement manual is especially useful and another CF said that the manuals were sufficient. One CF indicated that what's most useful in the training manuals is to see the whole process of the CEAC. As he/she put it "it was explained clearly in the gender toolkit. You can see there what to be done in the first barangay assembly, what would be the output, what are the objectives. So you can see everything in the gender toolkit."

A CV participating in another FGDs indicated that whenever she has a question, she does not refer to training manuals but asks the CF or AC directly. Finally, one CF indicated inconsistencies between manuals.

"Manuals must be consistent especially in selecting the volunteers because in one manual barangay officials can be a CV but on the other manual it can't be that a barangay official will be one of the volunteers. That's why there was a conflict in the appointment system. The explanation about this issue must be included in the manual though we have explained it already to them but there must be enough information about the rule." [CF, FGD]

Our team's review of the manual concords with the views of the respondents. We found that the Operations manual and its accompanying CEAC sub-manual and tool-kit are comprehensive references document that describe each unit in great detail and provide a thorough introduction to the KC process. However they seem to be more descriptive documents rather than how-to guides, which may explain why participants may not use the manual to actually implement KC per se but rather go to their CF or AC when they have questions. On the other hand, the Project Management manual¹¹ provides a good overview of the KC process with well-defined terms and seems easier to digest than the CEAC Manual. Furthermore, the finance and procurement manuals which are divided into 11 and 14 books respectively are easy to read, well organized, with visually appealing graphics. These manuals provide step-by-step procedures of how to do things such as handle cash, use project funds, conduct bookkeeping etc. and each book is accompanied by its associated forms making it easy to use.

3. Purposes/objectives of the program

In asking stakeholders their opinion on the goals of the KC project and the achievement of each of the three-year cycles and MT objectives, the Evaluation Team hoped to examine the extent to which the program design aided/facilitated or created challenges in the attainment of project goals and objectives.

Match between Project Design and Achievement of Overall Goals

Most respondents understood and cited the three main goals of the KC project. When asked what in their view the goals of KC are, some respondents gave broader statements such as "the objectives of the KC program is to promote the well-being, the community, the people and to improve their lifestyle, to improve the way they live" or simply that KC was meant to "help people."

Overall, the large majority of Barangay Captains and Mayors thought that the objectives of KC were attained (12 BCs and 7 Mayors believed objectives were met against 3 BCs and 2 Mayors who thought the contrary). However, ACTs, NPMO and RPMO were more nuanced in their assessment than BCs and Mayors. They believed that the KC program helped make great progress but that more was still to be done. They also indicated discrepancies between municipalities. For instance, one NPMO stated that the success of KC was highly dependent on outside factors such as environmental factors, socio-political factors as well as the effectiveness of the ACT.

¹¹ The Project management manual is not one of KC's core set of manuals, but was the product of a separate consultancy.

“To some extent the objectives have been met but it’s highly dependent on the context and circumstances such as: environmental factors (typhoons), socio political factors (capture provided by local elite, people living in remote areas and not being able to get to the center), and quality of the ACT.” [NPMO]

This NPMO also spoke about the way the ACs can affect the accomplishment of objectives. Some ACTs are very experienced and do the job well while in other areas ACTs are relatively new. Sometimes the ACTs focus more on the deliverables than the overall objectives or outcomes of the project. In other cases there are some other small problems related to the release of salaries, of reimbursements to field staff, which are small problems but can affect the implementation and the entire timeline of the project.

Two RPMO staff said that KC is “still work in progress.” According to one RPMO staff participants are not fully participating but rather attend out of duty for the sake of attendance rather than out of full interest. The other RPMO staff indicated that the LGU should understand that “this is their battle” and that KC staff are only temporary staff. Some LGUs understand this and the people participate, but “the majority does not get it”. This is due to facilitation skills and personal interest of the LGU; there are still many “trapo” (traditional politicians). In terms of whether people are capacitated, it is “50-50” for this respondent.

There are two main aspects to **community empowerment**: (1) giving the community knowledge of government processes such that they have a strong understanding of the functioning of the government, and (2) teaching the community concrete skills that they can apply not only in local governance but in a variety of other settings. For instance, one mayor said that “The program is very good. It is teaching the people not to be fooled/deceived by the government.” Another mayor indicated that what he meant by empowering is

“...that they transfer some technologies which can be taught to the people in the barangays which are able to help the people even when KC is not present anymore [such as] procurement, ... and all the process that were done. In bidding, the volunteers were taught what to do to make all the transactions transparent. Even in the implementation of projects, everything can be traced; they can trace how the money was spent even up to the last centavo.”

Another respondent, a barangay captain, saw an increase in trust:

“What’s also the best was that we as politicians were able to gain back the trust of the people. Before, the image of the politicians are ugly. But when Kalahi came, their trust in the government returned. Because you can see the process. Where did it go, how much was the budget, the citizens were the ones doing this.” [BC]

Improved **local governance** has been achieved primarily due to: (1) participation of the community such that barangay captains do not make decisions on their own any longer but also seek the voice and opinion of the citizens, and (2) transparency and accountability as there is an established formal and clear process for choosing projects. For instance one mayor stated how, previously, given that funds are limited he/she had to select one barangay from the municipality to receive funds which led to feelings of distrust and unhappiness in other barangays while on the other hand the KC program has enabled the process of selecting projects to prioritize to be completely transparent and therefore more fair.

“Yes, all constituents participated, good governance [has been] attained.” [BC]

“Yes participatory processes achieved. Sometimes BC doesn’t agree with projects that are being prioritized but cannot do anything about it since it was chosen by the people.” [BC]

“Yes helped in community participation and “big help” for reducing the number of the poor.” [BC]

“Yes, before it is a “one-way traffic” but now government and people work side by side so there is a difference in governance. Yes also in terms of poverty reduction because most projects selected are in support of their livelihood. “ I see a very vast improvement in the lives of our people” [Mayor]

Finally, the third main goal mentioned is that of **poverty reduction**. This comes in two main forms: (1) by giving comprehensive services targeted at the poorest of the poor, such as health facilities or construction of schools in the community, and (2) by providing paid labor to community members.

“Poverty reduction cannot be achieved quickly. But they invested in a daycare center because they believe education is key to poverty alleviation. On the other hand, transparency is much better now.” [BC]

“Some was achieved but not 100%....maybe about 30% because the income from the fishing project they implemented is still small.” [BC]

“Yes, in particular poverty reduction because the projects helped even if small.” [BC]

“Yes in terms of giving work and income to people.” [BC]

“Yes the overall goals of KC have been attained, but more so for the basic service delivery component. The impact is more apparent on poor areas.” [NPMO]

Progress in Handover Objective

Respondents had mixed views about KC objectives related to the gradual handover of the project through 3 cycles culminating in the MT. One AC said that the objectives of the 3 cycles were met, while an NPMO staff felt that the results of the 3+1 cycles were being achieved, but not evenly across the municipalities. Most RPMO staff felt that the capacity building of the municipal staff was not sufficient and referred to the turnover or election of new Mayors who then replace the municipal staff who had already been trained with new inexperienced staff.

“Yes objectives of each of the 3 cycles were met. During the first cycle the “one from the region” coordinated, then during the second cycle they observed and during the third cycle the mayor “was already involved” and the MAC and other participants at the municipal level “were always involved in [KC] activities.” [AC]

“Yes goals were achieved, and now after 4th cycle “the people, our people are ready to implement the KC project.” [Mayor]

“In terms of the cycle-based objectives, it’s happening but not evenly across all municipalities. It’s a matter of understanding where municipalities actually begin in terms of political openness. To implement the KC process and get to MT, it requires some inputs that cannot be provided by the program itself such as grants and resources for the local government. Often mayors attempt to take control over the allocation of resources not necessarily because they are corrupt but rather because they are concerned about how well the money is spent, their overriding concern is growth rather than poverty reduction.” [NPMO]

“Municipalities can be divided into regular municipalities and those experiencing difficulties. For the regular ones, 3 cycles are sufficient to get to MT, but for the others, it is really challenging.” [NPMO]

“I don’t see any document that shows that in the third cycle the mayor or the Barangay Captain will lead the discussion. Let’s say that it really exist but then it’s too long because the Mayor will be

replaced and also for what reason? What about for the Barangay Captain? In the fourth year who will decide? The officer is different, you teach them for the first, second and third year but then for the fourth year, who will be the presiding officer? There will be a new officer again.” [RPMO]

“First is, the organic staffs of the LGU should be capacitated. So regardless if a new mayor will be elected, the capacitation is still institutionalized.” [RPMO]

“Well that is the problem in implementing KC especially in the local ‘Makamasang Tugon’ is the political factor. For instance, the current MCT staffs are already capacitated. However after the election when there is a new Mayor, then new government will hire their preferential staff. So all the ‘Makamasang Tugon’ staffs that has already been capacitated will be replaced by the preferred staff of the new government. That is one of the challenges.” [RPMO]

“What is still needed if three years are not enough? Because it easy to adopt the technology and the technical. What is cannot be adopted is change... cultural change. The cultural change, the way we govern our people, the way people respond to governance. That is the most... the consultative capability of the LGU, the participatory response of the people is the most challenging aspect of the KALAH-CIDSS.... But three years of telling the LGU to open its doors to the people and telling the people to participate in the governance, three years is not enough.” [RPMO]

4. Summary

Both KC project staff and CVs concur that they have a heavy workload. Most, however, feel motivated by the purpose of their work, and feel they benefit from their involvement with the project. Recruiting qualified project staff has been challenging especially in remote areas, but recruiting volunteers is usually not a problem. Project staff have indicated some frustrations with lack of clarity in their roles. Municipal staff in particular do not receive frequent enough feedback in their work.

Training is a critical part of KC. Most respondents found the trainings to be useful, but many felt they needed additional training on new subjects, or even refresher courses. The manuals are well used and appreciated, but there is a preference for the manuals that focus more on “how-to” with step-by-step instructions.

While it is apparent that all three objectives are being affected by the project, the feedback suggests that the project design has had most visible impact on community empowerment. With respect to overall cycle objectives, the outcome is less clear.

4.B: KALAH-CIDSS Implementation Process

1. National/regional guidance and oversight of program implementation

Interviews with NPMO and RPMO staff shed light on the nature of the relationship between KC management and field staff. Two RPMOs mentioned that they are often approached by ACTs for technical assistance, particularly when issues arose in the field that ACTs were not sure how to address. Two RPMOs also mentioned providing logistical support, such as coverage of communications costs, travel reimbursements, and ensuring that salaries were disbursed in a timely manner. One RPMO said they were responsible for assigning ACTs to “another place in a safer community” if the ACTs received threats.

“It’s always TA but it’s a very broad tool. On some things along the process, maybe they were afraid to make mistakes. And also in logistics, that is the major support they were asking from the region. They were always provided with the necessary logistics... Travel, travel expense claim, communication, salary.” [RPMO]

RPMO staff also mentioned friction with some of the ACTs they supervised. One RPMO mentioned that they felt ACTs could “be disobedient because they were not doing their job properly,” but also went on to state that they also faced occasional accounting and logistical issues. Another issue related to the chain of command, with one RPMO remarking that ACTs were directly approaching NPMO staff for help addressing issues for a while, due to an issue in the release of funds to the RPMO – this was later resolved, and the RPMO resumed being the first point of contact. Two RPMOs remarked that they were stretched thin, and were not able to conduct field visits to all the municipalities they oversee. Another RPMO also mentioned that the work overload extended to financial review, stating “it is really impossible to review all the RFR here because of the number of all the barangays. Especially now that in the NCDDP, we are responsible for the disbursement of the funds.”

“You can really feel it when you visit around the area. As much as possible I want their concerns to be attended. So when we roam around, a day is not enough. When we did that for 5 days, it was really not enough. Yes, in province X we almost have 33 municipalities to visit. And when you arrived there, you’ll be meeting the Mayor and the Mayor would tell you, ‘We’ll bring you there to our projects.’ Then you will spend hours in one municipality. It’s important that there is also interaction and you will be delighted. They are many and I can’t visit them all.” [RPMO]

Suggestions for areas for improvement included “training our people, both the local government and our own project staff [in] participatory planning”, and placing more emphasis on encouraging community investment and participation in the project rather than simply focusing on meeting deadlines.

“Ah this is also true on our original RPMOs, too focused on meeting the deadlines, too focused on delivering and utilizing the funds and delivering sub projects. They tend to focus on these activities not knowing that, it would affect their deliveries, so if they not being in the social operation stage, if they cannot do it very well, it will affect implementing the sub projects because they couldn’t mobilize the community.” [NPMO]

KC also has several guides, manuals and tool kits that support project staff during project implementation. The Evaluation Team reviewed several of these documents, and our feedback is provided in sub-section 4.A.2: Training and Professional Development.

2. The Community Empowerment Activity Cycle (CEAC)

As the organizing principle of the KC project, the CEAC cycle with its five stages is a dominant feature in the experience of KC. Many of the questions included in the KIIs and FGDs addressed specific aspects of each of the stages as well as getting input on critical elements of implementation that play out in all the stages, such as their planned and actual timelines, the degree of consultation, gender aspects, the workload entailed for volunteers, and the required documentation. This section looks first at the specific features of each of the stages and then at the cross cutting topics.

A. The Five Stages

A.1. Social Preparation Stage

The first stage of the CEAC has 4 steps. A Municipal Orientation first introduces the project to the municipality and to the barangays through public assemblies and gatherings. Project activities are launched with two research activities: KC project staff learn about the community through the Social Investigation step and CVs undertake a Participatory Situation Analysis (PSA) in their own barangay. The results of these activities are presented to the community via the Community Consultation step in a second Barangay Assembly, where teams present findings on conditions, problems, and proposed solutions to the community for validation. At the same assembly, members of the Barangay Monitoring Team are elected.

Community Volunteers described the role of the PSA Team in the Social Preparation Stage as making the map of the barangay, selecting when the project should start such that it won’t interrupt activities of every

barangay, for instance selecting time when harvesting/farming (this is called “ubaya”, i.e. traditional work) is not happening so that people do not have an excuse for not joining. The team’s job is to identify problems and their causes and effects. Then come up with solutions and from that come up with the project to solve the problem identified.

Fifteen respondents remarked that the PSA accurately reflects the conditions in the barangays – they attributed their certainty to strong community participation, attendance at barangay assemblies, PSA engagement, and the benefits of the community mapping exercise it entailed. In particular, a PSA mentioned that the social preparation stage was helpful in teaching the CVs how to map the barangay, and gain a deeper understanding of the experiences of community residents, both of which informed the identification of issues to be addressed. Another PSA volunteer mentioned that through doing the PSA, the PSA CVs got to know residents with whom they were not previously acquainted. An MCF from one of the municipalities mentioned that his experience with the social preparation stage was largely positive, due to the involvement of multiple stakeholders including local government and nearly all of the community residents. An AC stated that an important benefit for residents of the social preparation stage was the platform that this stage provided to voice their concerns, which resulted in greater citizen empowerment in decision-making. A Barangay Captain noted that there was no difficulty in convincing residents to participate in KC since many saw it an opportunity to earn an income during the SPI stage.

“Here, this is where we came to know about what had been happening before until this time regarding the disaster [Typhoon Yolanda] if it has a positive or negative effect. Also, they did not know how to make a map of the barangay, and this is where they learned. We did our best in drawing how the barangay really looks like. And then we told stories about life in the village. This is how we examined the situation in the barangay, so we were able to identify the projects that are needed.” [PSA]

“MLGU are involved, BLGU are involved, the community is involved, the other employees are also involved, municipal employees are also involved. In the social prep, problems of the community come out...Positive because, because social prep, almost all that happens in community involvement, not just one, all are involved.” [MCF]

“...In cycle 3, there were people from the barangay, volunteers who approach the barangay captain if they want changes if their previous problems are not applicable anymore. We appreciate those who come and request for changes because they are empowered. They are now able to speak for their problems. Unlike before Yolanda when they don’t have the voice to say their problems. Then we assist them to see through the decision making in the barangay.” [AC]

“Even the barangay council, they were saying that they never experienced such kind of activities. It was their first time to have an activity that identifies the needs and problems in their barangay that they themselves were the ones who did it. After they identify the problem they will find a solution for the said problem they’ve identified and they will try to find a funding to make the solution happen in the action planning. They rank their problems so that they will be able to come up with a problem that will be prioritized that needs immediate action. All I can say, during the PSA it is when we open the minds of the community to take part in the activities in the barangay. Then in the problem identification.” [CF]

A barangay captain from one of the municipalities mentioned that the needs of women, as well as the elderly and children, were taken into consideration when determining the issues in the community. In this community in particular, the need for better infrastructure was identified, which the respondent mentioned affects all residents regardless of background. A PSA CV from another municipality mentioned that similarly in their community, the characteristics of the community, especially related to infrastructure needs, were taken into consideration during the PSA.

A PSA CV from another municipality mentioned that women in the community had formed an organization which is active in encouraging residents to participate in barangay assemblies that share the PSA results.

“Anyway before it was started, they gathered the number of the population - how many elderly, how many men, how many women, how many are children from 0 to 5 years old, they gathered all of that. How many children are malnourished - they also got that. Where do they get clean water to drink every day. Everything. Everything was gathered but we only have one goal and that is the project that we have studied for.” [PSA CV]

Three PSA volunteers mentioned that it was taxing for them to visit various offices to obtain data, especially since they often discovered that the data housed by the LGU was outdated. Another respondent commented on the geographic challenge of gathering data from respondents, mentioning that it was difficult for CFs and volunteers to travel from one island or islet to the next.

Three respondents from two municipalities mentioned that in the second cycle the PSA was not conducted in full, which saved money and time. Instead, results from the first cycle were presented again in a single barangay assembly, where residents had the opportunity to provide suggestions on updates.

The Challenges of Building Engagement

The social preparation stage presented challenges for many of the respondents. As one respondent remarked, “The most challenging part is the social preparation stage. Because this is the most crucial stage. It is the time that you build rapport with the community residents and prepare them about the project. If you fail to do so, then for sure, [you] will have a problem as the process goes.” Convincing residents of the importance of KC was the most frequently mentioned barrier for the respondents (5 PSA volunteers). One AC noted that “If a district is not supporting of course the people won’t attend,” while an MAC remarked that it fell to the CF to convince the residents in the barangays of the benefits of KC. Four respondents mentioned challenges in gathering data for the social investigation. A barangay captain in one municipality remarked that residents would often not attend the assemblies unless an incentive was provided.

A barangay captain from one of the municipalities mentioned that the adjustment they made was to visit the homes of residents they felt were important in the community but who may not have felt comfortable raising concerns during the barangay assembly, to ask about opinions on issues in the barangay. They went on to state that this approach has been very helpful in gaining additional feedback, and that the findings are presented in the assembly.

“... I asked people from time to time, ... not everyone... people whom I asked what really that problem in our barangay is... I’m doing it one by one so that I’ll be able to know what really the best way to do it...Because, sometimes, in the barangay assembly, the people are not speaking, they are shy from their companions” [BC]

A MAC mentioned that during the first barangay assembly, the most remote barangay had a very low attendance rate, so the barangay was divided into clusters, each of which had a separate assembly, so that more people would be able to attend.

Support from the LGU

In general, support from the LGU – and in particular the barangay – is useful in encouraging attendance at the assemblies, providing food and rides for volunteers to support their work, providing data to help develop the PSA, and providing counterpart funding.

Three respondents mentioned that local government officials attended the municipal orientation and barangay assemblies, and displayed their support for KC and for the residents. An AC described how the LGU officials would visit the barangays, and while there, motivate volunteers and share knowledge about the KC processes in the local dialect, which the AC seemingly was not always able to do. A CF noted that

in some of the barangays, residents would be intoxicated during the assemblies, and barangay officials would help “maintain the peace.” Two PSA volunteers stated that the barangay captains provided food during the volunteers’ meetings; one of the PSA volunteers stated that their barangay captain even arranged rides to trainings for the volunteers so that they did not have to pay for transportation themselves. A MAC mentioned that barangay officials readily provided counterpart funding for the projects in their community. An RPMO mentioned that the role of LGU is important in providing data to inform the PSA; volunteers typically approach the LGU first for baseline data, and in cases where the LGU does not have the data they reach out to the regional government.

“He [barangay captain] encouraged the volunteers. Those with no money for transportation he gave them. He fetched them and made them ride vehicles. Brought them here at the vehicle...The captain spends for the participants. He provided food for the volunteers in our barangay. He does not ask them to go to their homes.” [PSA]

“The LGU...If they are free, they visit the areas and that motivates the staff. They actually not only accompany the KALAH! staff but they also [discuss some] topics. They talk to the people – they know their dialects so they can explain the project to the people better. They just transfer what they know since they are also oriented on what the project is all about.” [AC]

A.2. Project Identification, Selection and Planning (PISP) Stage

The PISP stage leads to the development of the community’s proposal based on their needs. It includes 5 steps, criteria setting, the project development workshop, preparation of detailed proposals, community consultations (which is a barangay assembly) and a technical review by the municipal inter-agency committee (MIAC).

Respondents mostly had praise for the PISP Stage. Four respondents had positive experience with LGUs and two respondents had a positive experience with Barangay Captains. No respondents mentioned outright negative experiences with them. Two respondents each also noted the importance of both female and youth involvement.

For the most part, KC participants feel that the PISP stage does a good job of encouraging participation and empowering citizens. One respondent noted that involvement is strong across barangays because citizens are sick of just being recipients of programs, they are eager to embrace the opportunity to have their voice heard and have an impact on what assistance from the government their community receives. One CF shared that the citizens he worked with learned a lot during the PISP Stage. At the beginning some were very adamant about the sub-projects (SPs) they wanted for their barangays, but SP-specific advocates learned both how to better articulate why their programs would be best suited to benefit the community, as well as how to hear other advocates out as to why a SP they may not originally have thought important may actually be the best option for benefiting the citizens in the barangay.

One BC believes the transparency and community consultation underlying the PISP are important aspects which should be introduced in other areas of barangays functions, noting “Such, [prioritization] is a big help for us... people expect the same process. We should always prioritize.”

A PSA was forthcoming about how his barangay assessed the appropriateness of proposed SPs, noting 1) how long has the problem existed, 2) is the proposed SP solution sustainable? and 3) how many people in the barangay will benefit, as the driving questions aiding the community to select a SP. Two PSA volunteers from different regions noted that no matter what SP was ultimately selected in their communities, everyone knew they needed to come together to support each other if they wanted to be prioritized for funding. Lastly, a DAC was eager to share belief in the ability of KC, and the PISP Stage in particular, to be driven by and be representative of the people.

“In the process, we could see what’s inside their mind. The project that they wanted to implement came from them. Unlike the others, the KC process is much better since it came from them [people]...”

Unlike before, the project would just be implemented in the barangay, they didn't even know if it's really the needs of the people. "What do you want?" What they preferred, that was implemented. So, it was a big impact and during implementation all of them had participation, eh. So, each one of them, this was explained by the CF, all of you had participation, so you are also accountable; they have accountability on the project since they were part of the project." [DAC]

One final positive experience observed in the KIIs was by a PSA. They noted that site visits to other barangays that already had SPs, provided valuable insights for the CVs. The experience showed them what was possible in their communities.

Challenges of Developing the Sub-Project Proposal

Developing the sub-project proposal is an especially challenging task for the volunteers. During a focus group discussion, a CF commented that CVs face difficulties in the preparation and submission of the SP proposal as well as the length of the training courses.

"The making of the project proposal and the attachments, it seems that it was the hardest part and they were having a hard time in doing it. What we do, we help the volunteers to meet those guidelines because if we will not assist them, after they submitted it to us, we will just return it to them, then they will submit it back to us. They can meet those guidelines if we're going to assist them, it becomes easier for them. And the time of processing will be shortened." [CF]

"It's just when we discuss about it the length of the course was getting long, it seems that they were getting bored, so after the discussion were back to number one. So, I think the workshop seems best compared to the discussion, so that if they have questions we can respond immediately." [CF]

The CFs, ACs, and MCTs noted further concerns with the PISP Stage in terms of their capacity to properly serve the barangays in developing their SP Proposals. Two CFs shared that they didn't have the time to assist all of the CVs in the barangays they were assigned to as they deserved, and furthermore that the CVs needed more financial resources in order to better design SPs for their communities. Another CF shared that they personally did not feel they had the technical skills or knowledge to assist the CVs at this stage. Similarly, an MCT Head revealed that the Municipal Engineer on their team was stretched too thin to provide adequate technical services to the barangays throughout the municipality. The MCT Head took the step of staffing an additional engineer to support the PISP Stage.

Several adjustments were incorporated at the PISP Stage. As noted in the previous paragraph, one MCT Head turned to an outside engineer for additional support at the PISP Stage. Similarly, in one municipality, the MCT Head enlisted support from engineers employed by the Mayor at the LGU for short-term assistance.

CFs in two different municipalities noted that special BAs were required in order for all of the barangays to finalize the SPs they wanted to proceed with. One Municipal Engineer explained that given some frustrations with the PISP Stage during their first cycle, they decided to work more closely with the BLGU and MLGU during the second cycle. Representatives from both the barangay and municipal councils were invited to collaborate with CVs, with the primary goal being that CVs are abreast of the development plans at both levels.

"We involved the [politicians – i.e., members of the municipal and barangay council] in the second cycle, in the planning. This is because there were problems that the community could not answer; we went to the barangay council for these kinds of problems. That's when the barangay council came into the picture, especially during planning. In the Barangay, they make a report that contains their 5-year plan and we check that... We also invited the (elected official) Municipal Council so we could assign them in the municipality. They also looked at the municipal plan for comparison." [Municipal Engineer]

A.3. Project Approval Stage

This stage selects the barangay proposals that will be funded by KC. It has 5 steps, Community Consultations which are the third and fourth barangay assemblies in each barangay, the Prioritization and Approval of Proposals by the municipal inter-barangay forum (MIBF), the Review of Pending Proposals, and MIBF-MDC Engagements.

Selection Process

While a sizable number of respondents mentioned how pleased they were to have projects that were prioritized, there were a significant number of respondents who reported feeling very discouraged when they found out their projects had not been selected. Some also mentioned how demoralizing it was for their communities – in more than one barangay, it was difficult to encourage interest and participation in the second cycle when the barangays' project was not selected in the first. A CF talked about how strongly the communities believed in their proposals, mentioning that some even cried during their presentations, but believed that ultimately the barangays who had the greatest need were prioritized.

“.. When we were informed that we were one of the prioritized, in our project, that was the biggest experience and I became happy.” [Barangay Captain]

“We were never prioritized. We are always the last; this is...just a small barangay. Other barangays have many projects already. Here in us, it seems so hard to be prioritized...It is just happened sometimes we cannot win the votation, which is why sometimes, in my own opinion, I lose my interest, because we really are exerting our efforts to finish things yet we gain nothing.” [BRT]

“I really feel the needs of the community because when they presented their proposal, they really cried in the front especially during barangay votation of the proposal they really show how they feel because what they show was really happening in their community. And you can really see that they weren't acting. It's as if that the emotion they show was their real feelings. The activity of the cycle that I really like were the PSA and MIBF where there is prioritization that take place. In the PSA there was also prioritization but only among the community. In the municipality, the one that will be prioritize were those that has extreme needs.” [CF, FGD]

Seventeen respondents mentioned that non-prioritized projects in their communities were often funded by the barangay, municipality or province, in cases where funds were available and the project aligned with LGU interests. In cases where funding was not received, the projects were often prioritized in the following cycle. A BRT mentioned that in the MT cycles, non-prioritized barangays were asked to submit their proposals to DSWD, who would help them identify funding sources.

“The third cycle.... There were two barangays which were not funded... The money was not enough, so the Governor promised that they will give funds but until now, they haven't. Then in the fourth cycle, almost all the priority projects are there. Solution was given; the barangay and the municipality contributed so that all the priority projects would be given chance.” [MAC]

“We were informed the list of the barangays that were not included in the priority, after the BPRA. We have a reflection system in the team for those barangays that were not included in the prioritization. Then we do a special BA to allow the community to present their projects and for us to make an endorsement to the other government agencies. For example, if the project is road then we can endorse it to the DPWH. For water system, we can endorse it to the Department of Agriculture. For the livelihood or roads, we can endorse it to the department of agriculture. However during the fifth BA, we felt that the community doesn't trust the national government anymore. They would rather fight for the project in the cycle 3 of KC instead of trusting in the government agency that would never fund their projects. We felt their hopes in the KC in D. Fortunately in the cycle 3, they were given enough funds for their projects.” [AC]

“According to the DSWD, they just asked them to submit the proposals and they would look for agencies to get funds from. If there would be an agency that would provide funds, then these projects would be prioritized. I don’t know if there was fund arrived.” [BRT]

Adjustments Made

One barangay captain mentioned that the captains from the various barangays represented in the local MIBF voted to adjust the criteria (by revising their respective weights) used to rank projects, which he felt improved the process.¹² An AC mentioned that in their municipality, they have adjusted the timeline by incorporating a site visit before the MIBF. The site visit allows the PPTs and BRTs to visit all 27 barangays in the municipalities, so that they have a sense of the local context in each barangay before presenting proposals and casting votes for particular projects during the MIBF.

“... This is the site visit before the conduct of the prioritization. This is ... all the barangays....We really look for resources because if we visit all the barangays, the distances travelled from one barangay to another are long so we need a vehicle, we need fuel, we need things so...we initiate, we make plans regarding the access of the vehicles that we need, so we borrow dump trucks from captains who have them, from farm owners. We tap these people to borrow their vehicles and we just buy the fuel or gasoline to the [local government counterpart contribution] , to do the site visit,. ...What we do is that., a PPT and a BRT... they will form groups, ...so all in all there are 3 groups for the site visit, it’s not validation anymore, only visit so we can see the condition of the barangay, so if they are going to vote, when they are rated during the MIBF, it’s not just for, it’s not just for the sake that the PPT only speaks without seeing the barangay, so at least in the rating they do not ... the rating will come from their hearts based on what they actually saw, and that’s what they are going to rate.” [AC]

Support from LGU

Ten respondents mentioned that the BLGU and MLGU provided important support during the project approval process. A barangay captain from a different municipality mentioned that the mayor would check in with him as to how the project was going. Two other barangay captains mentioned that the MLGU provides substantial support through the awarding of counterpart funds. In contrast, a BRT felt additional support from the BLGU and MLGU was needed; they mentioned that while the volunteers were given food during the meetings, they were forced to cover transportation fare, which was difficult for them to have to provide.

“They were very supportive... Aside from the barangay counterpart, the municipality also provides municipal counterpart so that ... wherever the projects are allotted, they can also provide funds....That’s my positive experience, especially with the mayor. The mayor is also motivated to implement all the projects of KC.” [BRT]

A.4. Sub-project Implementation (SPI), O&M Plan and M&E

The Sub-Project Implementation, O&M Plan and M&E stage involves the implementation of KC funded projects, as well O&M and M&E. It includes three steps, the Pre-implementation Workshop, Implementation of SP and M&E, and Implementation of O&M Plan.

Findings about the implementation phase were generally quite positive, although some shortcomings were noted. Procurement proved more challenging than not – lack of resources and the poor perception on KC by private vendors are hurdles to good procurement. Although the importance of O&M is known and understood, O&M is most often practiced informally. A subset of barangays are prepared with rigorous O&M plans and ambitions, but various funding setbacks can prevent proper plan implementation. Respondents felt monitoring and inspection (M&I) and oversight were integral to timely and successful

¹² Unfortunately it is not clear in the interview transcript whether citizens were also involved in the adjusting or voting on the change, but the remark at least raises the possibility that this was done unilaterally and without consultation.

SP completion. Experiences with LGU were quite positive overall, but on the whole, documentation requirements were found too onerous.

Procurement

Generally, respondents felt frustrated with several aspects of the procurement process of the SP Implementation stage. Four CVs noted the lack of resources, whether time, petty cash, or transportation, to properly conduct canvassing for the procurement of materials. Time constraints and lack of transportation were particularly problematic in remote municipalities and barangays. In several instances the respondents recognized that either additional barangay or municipal level funding was used to complete the canvassing process. Several CVs also found the paperwork tedious and challenging to complete properly the first time (three respondents). This at times led to bottlenecks in the procurement process, and subsequently in the construction of the SPs.

The most recurrent challenge acknowledged by respondents pertained to the attitudes of local businesses when it came to engaging with KC. Many businesses were hesitant or completely unwilling to bid on work for KC given the project's reputation for delays and awarding only the cheapest bidder (5 respondents).

“In canvassing? It is kind of hard. It is far. We don't have money for travels. We asked the barangay captain for a service. We don't have a budget for that... The barangay captain said since he has a vehicle, then we could use it... When we did the canvassing, some of them [businesses] refused when they knew that it is by KC. They said the payment might be delayed.” [PT Head]

Three respondents even noted that when their municipalities had tried to complete the transactions with suppliers who had won bids, a few suppliers would try to back out of their deals if market prices for the materials increased relative to what was agreed upon months earlier during the bidding process. This led to either recanvassing or barangays rechanneling funding to meet higher material costs. Per the account of one BSPMC “For example, today in the bidding is 210 [Php]; after one month it became 220 [Php]... of course there is delay on the work... and the 10-peso increase was paid by the barangay.”

Almost all PTs noted that the prevailing metric for the selection of a winning bid was cost – the cheapest proposals win. One respondent noted that they felt pressure from the municipality¹³ to select the cheapest option, even though the barangay was interested in weighing other metrics such as quality. The KIIs revealed that delays in actually receiving the materials for construction were common as well. One DAC mentioned that they reluctantly took over the PT's procurement responsibilities during a cycle in order to prevent further delay.

Procurement is also a challenging activity because of the money involved and there were some comments made about instances when personal interests were interfering with project decisions. In one interview an MAC, responding about the positives and the negatives of implementation, said:

In the implementation, okay, with the help of the engineers good projects were implemented. It was based on the plan. But there are really barangays that have that personal interest. Because it is money. They are... it's not in us. It's in them. Sometimes I did not like the experience where they were able to learn is it how to be corrupt? It's like they put their personal interest in buying the materials although let's say it's somehow good that the hardware gives percentages. It's ok. The problem is they are already quarrelling. That's the problem.... Sometimes there are captains that are also fools. Sometimes that person wants to be given....commission, that's why he/she is angry, they are quarrelling. We had here in the implementation stage grievance. We grievanced many barangays. In barangay that you are going to go, it has grievance. Not because of

¹³ In this instance it was not clear why the municipality would have been involved, since this municipality was in its second cycle.

implementation but because of money. Because everybody wants to have money, isn't it not good in the implementation? [MAC]

Conversely, there were several positive sentiments regarding the procurement process. One CV noted that the workload was burdensome, but that it was overall quite manageable. Another respondent noted that the training for canvassing prepared them well for the task. Lastly, three individuals noted that generally speaking, the procurement process went smoothly in their barangays.

Monitoring and Inspection and Oversight

Generally speaking, the MITs as well as other barangay and municipal level actors felt that M&I and oversight were important aspects of the SP Implementation Stage. Respondents felt that timely inspection of materials prior to construction in combination with close monitoring of workers involved in SP construction were requisite for a successful SP Implementation Stage. Among the few negatives emerging from our review of M&I efforts was one instance of a CF acknowledging that they were unaware of any M&I efforts in their barangays.

Positive experiences with M&I and oversight were prevalent. One BSPMC noted that their barangays' ability to complete its most recent SP in roughly half the time which was projected was due in part to strong M&I: "It [SP] was actually 110 days but we finished it in 52 days... because we always monitor. And we did it fast, for fear that we won't finish it in 110 days. That's it. Then, there we finished it early. A recurrent theme in this regard was M&I leading to more timely delivery of quality materials and ensuring sufficient labor participation.

One DAC who had KC experience in several municipalities previously, noted that close monitoring encouraged more efficient work during SP Implementation, "Yes because before cycle one, we already encouraged the other barangay volunteers to have close monitoring in... because I saw ... in municipality Y [that it seems] to speed up the implementation."

Respondents noted several other interesting outcomes of M&I and oversight efforts in their barangays or municipalities. One ACT revealed that M&I was an effective tool for confronting workers who falsify hours – a concern noted across several barangays.

"I do random checking to the barangays. I am the one to close the logbook at 8 am. During 5 in the afternoon, or at around quarter to 4 I check the barangays with project implementation in order to make sure that they close at the right time. I do the check because there are some cases of ghost payroll... When I found about the ghost payroll, I personally visited the barangay and it was exposed." [ACT]

In another barangay, a PT Head stated that close monitoring efforts revealed missing materials in the inventory required for constructing the SP:

"When it started, we all helped there even if we don't get salary for it. We go there to monitor especially when they deliver materials.... We did have one bad experience though. Some of the materials were stolen but it was immediately solved since we all helped. Our barangay captain assigned someone to sleep in the place where materials are stored for it not to happen again." [PT head]

Another barangay enhanced their M&I efforts by undertaking them at the port of delivery in the municipality. This decision was made so that should the materials not pass inspection, either due to quantity or quality, the MIT could flag the issue immediately rather than hours, days, or even weeks later when the materials are actually required for SP construction in the barangay. An MCF noted, "Before it arrives here, it is already being checked in the port. Because if it's not checked there, it could be not enough when it arrives here. And then, that's not in the Program of Works...."

Lastly, several respondents noted that top-down support from BCs and Mayors was important to ensure M&I efforts were sufficient and sustained in their respective barangays.

Operations and Maintenance

Respondents' knowledge regarding SP O&M was relatively uniform, though largely lacked detail and pertained to aspects of funding. The overarching sentiment across most respondents was that the communities understood the importance of the SP for the community, and thus all kept a close eye on them, but usually with no set schedule and not adhering to an O&M Plan. However, three barangays cited established quarterly efforts in which the barangay would meet to inspect, clean and maintain the SPs. The most notable shortcomings in maintenance across the interviews pertained to insufficient funding (six respondents). Generally speaking, the need for maintenance seems well understood – but the actual maintenance approaches in the barangays seem too passive.

Several respondents were completely unaware of the existence of an O&M plan within their barangay, and one PT CV even concluded that KC would shoulder the cost of any needed maintenance if alerted by his barangay. “I think we just need ... maintenance of the roof, because it is made of nipa leaves, we need to change it from time to time... [O&M funding] from the KC... I think there is still budget to buy materials.”

In terms of actual O&M Plan implementation, two barangays with farm-to-market road (FMR) SPs acknowledged strict rules they imposed to limit the size of vehicles which could utilize the new FMRs until the cement completely sets several months later – an effort to slow deterioration. Interestingly, three barangays noted that maintenance efforts were passed on to non-LGU units – two barangays delegated this responsibility to associations which were the primary direct beneficiaries of the SPs, while one placed maintenance responsibilities on an individual who was the primary operator of the SP. The logic behind these decisions was that those most benefiting should be in charge of O&M efforts, and intuitively that they would also be the first to note any maintenance needs before issues became too problematic. Per the experience of one CF, “So we created an association [which] was delegated to maintain the said project... Yes, it is an Income Generating Program, so that's why there is an association created who will maintain the project in the long run.” The respondent went on to note, however, that O&M efforts are contingent upon the barangays ability to get the SP operating to generate necessary funding: “Yes there is that one problem. That was, where will they get the fund to sustain the project. So the project really needs to operate to answer this problem.”

Another barangay took an interesting approach to enhancing maintenance efforts. The barangay leveraged income from user fees accruing from an earlier SP, and funneled a percentage for maintenance of a more recent SP. Another illuminating response from a BSPMC noted that despite funding from both the barangay and the municipality, even more was needed to deal with larger maintenance issues. The barangay's O&M plan called for the establishment of a toll mechanism along the FMR, but the barangay lacked the upfront funding to implement it.

In one instance a respondent noted that their barangay's SP O&M Plan was quite good, though impractical due to insufficient funding. Generally speaking, the need for maintenance seems well understood and O&M Plans in some localities are developed with care; but execution of the plans often falls short due to funding and recurring efforts are institutionalized too informally.

Financial Flows

The most common responses regarding funding was that it was sufficient for SP implementation (32 respondents). Four respondents noted that the barangay actually received too much funding and had to return a portion to KC. Conversely, two respondents noted that their barangays had excess funds which they were able to repurpose for either additional labor funds or additional materials to enhance their SPs – one purchasing paint and the other chairs for the facility constructed through the SP. One respondent noted the returning of the funds to KC, lamenting “it has an excess of 640,000... It was returned... The 640 should have been used for something, there are still things to be cemented, but there was no social

safeguard. Thus, it was not given to them.” It was not clear whether the other respondents who returned the funds to KC were aware that they could re-purpose funds, or pursued that option.

While 25 respondents said funding was received in a timely manner, 19 respondents revealed that their barangay dealt with delayed receipt of funding for materials or paying labor during the SP Implementation Stage. Most frequently these delays were due to paperwork being filled out improperly, either by suppliers or CVs, but other bottlenecks emerged because certain signatories would be absent for long stretches of time or holidays would set timelines back. One CF preached the importance of the 3Cs for KC paperwork – consistency, correctness and completeness. They noted that it was common for paperwork to be returned for corrections, thus delaying fund delivery. One PT respondent alluded to these issues but also noted that accountability for proper paperwork may be absent.

“Maybe sometimes, there are papers that [were] not fixed immediately. Of course it’s not easy transact without right documents... sometimes there are important persons we need to find for signatures. I think that was the reason of the delays... Sometimes we are not so sure about whose fault it was, sometimes here in the barangay, but sometimes from the source also.” [PT]

A BRT also noted an exceptionally long response gap for fund delivery to a supplier, “during the market project implementation, we had a problem. The supplier during that time, the XXX Hardware, sent me a letter asking for the payment and it was almost 5 months or more I think, because there was a delay on the second tranche. I had a pending payment with the XXX’s amounting to more than P200,000.”

Respondents revealed some interesting impacts and adjustments at the barangay and municipal levels. One barangay captain revealed that space had been created in their barangay budget to cover delayed income generation from the operation of the completed SP. One CV noted that their barangay captain had also made room in the budget to provide cash advances to laborers for whenever downloads from KC may be delayed. On a more negative budgetary note, one barangay captain revealed that appropriate budgeting for KC needs were not made for the cycle because the budget for that year had already been finalized for 2015.

Several other respondents detailed how their respective barangays dealt with short-term budget shortages, particularly with the implications for laborers. One BSPMC noted that work schedules were lessened until enough funding would come through. Other respondents noted that workers were just informed that *bayanihan* work (in-kind) would need to be increased but that more snacks would be provided by the barangay. One PIT noted that whenever budget issues emerged they would inform the BC, and trust that they would take care of it.

Experience with LGUs

One RPMO representative mentioned that ACTs do not always receive necessary support for the LGU’s during SP implementation.

“The main challenge is the weak support of the LGU when it comes to the implementation. During engagement, of course they are obliged to comply with the conditions or the requirements of the project because they want to avail the project. But during the implementation, because their budget is not enough, then the needs of the project cannot be provided.” [RPMO]

In general, however, respondent experience with LGUs during the SP Implementation Stage was more encouraging, with 24 individuals displaying positive sentiments and 7 with more mixed sentiments. Barangay Captains were viewed favorably for their willingness to contribute financially or in-kind during procurement and construction efforts (8 respondents), an important gesture for volunteer morale. Despite responses being generally affirmative, respondent experiences with mayors were slightly less positive. When prodded about overall experience with barangays captains compared to mayors, respondents were generally more outwardly thankful of BC involvement, while citing mayor involvement as being more tacit (5 respondents).

Experience with LGUs in terms of funding was generally positive, with respondents often noting financial contributions from barangay or municipality development funds, and even in-kind or financial contributions directly from BCs or Mayors. One BSPMC noted, “It [the budget] was not enough. The municipal mayor provided additional budget. Before prioritization, we did MIBF and decide that if there are any excess funds, it would be given to us... [from the mayor] Php200,000 plus.”

One O&M Head highlighted his positive experience with his BC, “...I and my CF will talk to our barangay captain to tell him that we need his support even just a small amount of money... If we ask for small amount sir he always can provide it even until now.”

Adjustments

Overall, incorporating adjustments, however slight, to the SP Implementation Process were quite common, 34 interviewees noting the need in their barangay or municipality. Most commonly, excessive rain caused significant construction delays, forcing barangays to adjust their timelines and work schedules for timely SP completion (5 respondents).

“In the implementation of the project we had experienced problems during the delivery because of rain. The other gravel we have poured it to the road because it’s slippery and after that the budgeted stones were not enough already for the construction so Kapitan provided about fifty-thousand to cope up and finish the construction.” [BSPMC]

Another adjustment two CFs noted was that additional procurement was required because the initial procurement was underestimated; particularly one stated, “There was in the community procurement plan ... his proposal was not estimated right. When it was already ongoing, we lack on materials. So the project was distracted...so we needed to suspend it.”

On a positive note, four CVs noted that M&I efforts led to tweaking SP plans or specifications in real-time. A few barangays mentioned another positive adjustment, the addition of special assemblies during the SP Implementation Stage as challenges or opportunities emerged. One barangay used excess KC funds to upgrade certain input materials used in the construction of their SP.

A.5. Transition Stage

The Transition Stage involves a reflection and evaluation of the processes in the preceding stages and includes two steps. The Community-Based Evaluation (CBE) and the Accountability Review and Reporting (ARR).

Findings regarding the transition stage were muted. Respondents were for the most part aware of the stage and the primary reporting efforts – Community-Based Monitoring and Evaluation (CBME) and ARR – but a very limited set of respondents provided substantive responses. The overwhelming sentiment emerging was that the transition stage is fine as is, and no changes are required. When these respondents were asked to delve further into their reasoning, approaches were notably varied in execution.

One MAC’s reflection on aspects of the Transition Stage captures the general awareness and execution in most sampled barangays:

“I can’t recall ... what we did there in the community based evaluation, this is only what I can recall... We had accountability the barangay captain is involved there and the volunteers plus all of us here MLGU, all of us because the MIAC, the mayor, all of us were involved in the accountability we review the projects to be reported of what is the status of the project, status of O&M, status of community these are what we do in accountability, accountability review. But this community-based, I can’t recall if we did that. Because I was the one who made the project proposal here in the accountability review.” [MAC]

Several broad negative aspects of the transition stage emerged. Four respondents were forthcoming that they were unsure as to whether the Transition Stage – including CBE, CBME, ARR – took place at all in

their barangay. One respondent noted that their barangay chose to skip the stage given various constraints within the barangay and another respondent noted that the reporting requirements at this stage of the cycle were too extensive. Two respondents noted that their barangays did not use the Sustainability Evaluation Tool (SET).

Two respondents flagged another concern about the Transition stage. During the very public exercise of sharing lessons learned through the ARR while prepping for the next KC cycle, many laborers from the SPI become frustrated that given funding bottlenecks they were still not paid for work conducted in the previous stage, sometimes weeks or months earlier. Not being compensated for the most tangible aspect of the project makes it difficult for community members to be committed to the future of the projects.

One Mayor noted his frustrations with the overreach and focus of the reporting and meetings at the Transition Stage, noting that it should not be so focused on a snapshot of “what we learned” and applying those lessons in the next step. Instead, the stage should be simplified and focused more on O&M and sustainability – this message was glossed over or lost in the more celebratory mood at the events.

Some general positives emerged regarding the Transition Stage as well. Across several municipalities respondents noted the use of the Sustainability Evaluation Tool (SET), including one CF who said, “Every six months there is a sustainability test. Every six months they will check the building if there are cracks or leaks. They will monitor it.” One CF noted a clear understanding of the SET as well as the intent of their barangays moving forward:

“Here in KC, we have here what we call SET, sustainability evaluation tool. It is being conducted every six months. For example, it was handover in the barangay in March. After six months we will conduct a SET. That’s for every barangay. So April, May, June, July, August, and September. So September 18, we will conduct SET to ensure the maintenance, operation, we ask how was it, is there funding, how was it given allocation. We ask the Community Volunteers and the Barangay Council elected now. We follow the SET guidelines and from there, you will know if there is authorization and proper maintenance in the project.” [CF]

Several respondents noted that the participation of non-prioritized barangays in the Transition Stage was quite good and that LGU involvement and support was strong.

Many respondents noted that the CBME, CBE, ARR, or some combination were completed within their barangay or municipality, though when pressed for further information very few could delve into the documents or process. One respondent noted that the outcomes of the CBME were taken as important feedback and incorporated into the execution of each stage in the subsequent KC cycle.

In one municipality, a new mayor came to office, identified the 8-10 KC SPs which were incomplete as identified through the transition stage reporting, and built an AC-type unit (of predominantly previous ACT staff) tasked with completing the outstanding SPs.

“When Mayor X assumed Office last July 2007. We reviewed the projects under KC KKB 123 and we saw that there were numerous incomplete projects... So what we did is we evaluate the barangays. What are the things that need to be done? We ... per barangay which ah, implemented the project and we saw that ah, if I’m not mistaken, it was really 8 to 10 projects... Were the incomplete projects. So, that ... Mayor held a barangay assembly and ... she asked for the people’s opinions. What are we going to do with these?” She asked. So the people replied, “Mayor ... it was not our intention to leave the projects suspended and incomplete. ” So what she did is she organize the ... municipal coordinating team. Hiring those ... staff of the ACT before.... since after 3 cycles they didn’t have work. So she did hire ... the Engineer, the deputy area coordinator ... and at least 4 staff to help us, the MCT, to complete the project.” [MAC]

Though for the most part the Transition Stage was either implemented as planned or skipped in respondent barangays, two KC staff noted interesting adjustments made during the Transition Stage. One

MAC noted that through the SET, they determined that barangays should contribute 10,000 PHP annually to their O&M. The other interesting adjustment was noted by an AC where at the consolidation of ARRs at the municipal level where the process was more forward thinking than he had seen in other municipalities. The municipality emphasized the need to complete these tasks even while moving forward with the next cycle of KC.

B. Cross-Cutting Topics in Implementing KC

B.1. Summary of adjustments made to the CEAC stages or steps

Drawing from the evidence gathered in the preceding sections, a summary table (see Exhibit 4.B.1) has been prepared listing all the adjustments made, listed by relevant stage and step of the CEAC. For convenience, the Table also lists some of the suggestions made by respondents (these are identified with an “[S]”). In some cases, comments regarding the effect or implication of the change is noted in italics.

Exhibit 4.B.1. Adjustments made or suggested for CEAC stages and steps

STAGE & STEP	IMPLEMENTED/SUGGESTED [S] ADJUSTMENTS
Overall	
Overall	MCC-CEAC cycle should have fewer steps (like NCDDP) [S]
	Timelines relaxed to allow proper SP implementation [S]
Social Preparation Stage	
Social Investigation	A review of the previous cycle's social investigation was used for the present cycle
	Tagalog technical terms were translated to English
Barangay Orientation	Sitio/Purok/Cluster Assembly is done instead of one barangay-wide assembly
	One-by-one or house-to-house interview to supplement BA
	Convergence of 4Ps and KC
Participatory Situational Analysis	Back-to back BA and PSA
	Previous cycle's PSA was used for the present cycle, and then revalidated
	Clustering per barangay
Project Identification, Selection and Planning	
	Barangay officials identified the project and asked the community if it was fine with them. <i>Note: this is not consistent with KC design and purpose.</i>
Criteria Setting Workshop (1st MIBF)	Added criteria that the barangay with the highest participation rate would gain points. <i>Note: this may disadvantage some barangays where attendance is more of a challenge.</i>
Preparation of Detailed Proposals	SP planning should be more integrated with municipal and barangay development efforts. [S] <i>Note: Focusing on integration at this stage is interesting. This would imply enforced collaboration between the municipality and all barangays.</i>
Community Consultations	Attendance hurdle could be relaxed to 60% or 70%, and more energy should be placed on the actual quality of the SP Proposals [S] <i>This suggestion makes clear that it is necessary to increase awareness that the attendance standard of 80% is not mandatory.</i>
Project Approval	
	Site visits by PPTs and BRTs before the MIBF, to better understand local context. <i>It appears that this adjustment has been made in many different municipalities.</i>
Prioritization and Approval of	Adjusted the weight of different criteria. <i>Note: If this was done unilaterally by barangay captains (as implied in the relevant transcript, it should be noted that this is inconsistent with KC design and purpose.</i>

Exhibit 4.B.1. Adjustments made or suggested for CEAC stages and steps

STAGE & STEP	IMPLEMENTED/SUGGESTED [S] ADJUSTMENTS
Proposals (2 ND MIBF)	Funding minimums and limits should be introduced to prevent SPs which would take too much money from the municipal pool to be funded, while also discouraging barangays from undercutting others' costs in order to win [S] There was an agreement between two barangay captains in terms of prioritization. <i>Note: This was a violation of KC design and purpose.</i>
Community Consultation	If the attendance reached 50% of the total household, assembly will push through as long as there is a quorum. <i>Note: This could be done more generally.</i> A community changed their proposal <i>Note: Although this is noted as an adjustment, this is hopefully not an exception.</i> Instead of doing the fourth BA, MAC just met with the Barangay Development Council and BSPMC <i>Note: This is consistent with other suggestions to reduce the number of Barangay Assemblies.</i>
Implementation of SP, M&E and O&M	
Implementation of SP and M&E	Change of plans upon implementation (Project was implemented earlier due to bad weather, change in cement mix, change in measurements, extension etc.) CFs were not allowed to handle projects beyond PhP 5million budget Additional suppliers to be canvassed Timelines should be relaxed to permit proper SP completion [S] Update of material records sheet Fines charged for late deliveries Inter-barangay arrangements such as borrowing of materials
Implementation of O&M Plan	Require fixed annual contributions towards O&M [S]
Transition	
Accountability Review and Reporting	Conducted the barangay ARR in the morning and then community-based monitoring in the afternoon of the same day Back to back review, with a barangay assembly first then community based evaluation afterwards
Community-Based Evaluation	Sustainability, efforts such as the SET, should be more strongly enforced [S]
N.B. [S] Indicates adjustments that were suggested but not yet implemented	

B.2. The Level of Participation and Consultation

As a community development project with the major objective of encouraging citizen participation, KC has built into its project design a number of different barangay assemblies and community consultations with specific attendance requirements. Several questions emerged on this topic, such as whether there are too many assemblies, and whether the attendance requirements are too high.

In the context of the Social Preparation Stage, two respondents mentioned that barangay assemblies were held in multiple areas to increase attendance. A barangay captain discussed how he created a list of all households, and had the barangay police officers visit each of the households to verify the list. Households that did not attend barangay assemblies were then fined 50 pesos.

“The problem, sometimes, before, was the attendance. Like what I was saying, if you did not offer incentives, it really is hard to invite.” [Barangay Captain]

A MAC mentioned that during the first barangay assembly, the most remote barangay had a very low attendance rate, so the barangay was divided into clusters, each of which had a separate assembly, so that more people would be able to attend.

According to one barangay captain, in cases where attendance was less than 80% for the project approval barangay assembly, it was decided not to hold an additional barangay assembly. He mentioned that the AC and CF were on board with this decision, provided that a quorum (at least 50%) was achieved. He also stated that less than 80% attendance did lead to demerits during the MIBF ranking process (although DSWD NPMO has stated that the 80% benchmark is officially intended to be a “standard” and not a requirement).

In the PISP stage, three CFs employed a flexible schedule for BAs depending on citizen availability in order to hit 80% attendance requirements. As one of the CFs noted, this was often a function of the livelihoods and region where the barangay was located. Certain livelihoods forced BAs to be either during evenings or on the weekends. One RPMO suggested that a focus on such a high participation rate was not ideal. The RPMO believed that the hurdle could be relaxed to 60% or 70%, and that more energy should be placed on the actual quality of the SP Proposals. Much effort was spent wrangling enough citizens to hit the 80% target.

One Municipal Coordinator felt it was burdensome to have so much consultation. Referring to the PISP stage, “It’s already enough, it’s enough that’s why there are those doubles like this community consultation, there are so many community consultation. Maybe if we can reduce this... the volunteers will always be in the meeting.” When asked specifically what could be removed or combined the MAC felt that the criteria setting could be combined with the Project Development Workshop.

“I think the criteria setting and the PDW, the criteria setting can be done in one day with the PDW to be incorporated as well that is why we are having problems in the preparation of detailed something, it is very slow. This community consultation can be removed hopefully..... After the preparation will go directly to the community consultation because the process is too long. That’s all because the others are really needed. [MAC]

B.3. The Workload of Volunteers

The lion’s share of the work involved in the KC project rests on the shoulders of the community volunteers (more on this is also written under section 4.A.1: Program Design: Staffing). While the nature of the project rests on the premise of volunteerism, there is no question that their work requires enormous effort for no tangible compensation. The non-tangible benefits are substantial but there are many concerns related to the magnitude and nature of their work, and the sacrifices it requires. In discussing the different stages of the project, many respondents commented on these concerns.

A barangay captain from one of the municipalities said he thinks volunteers’ responsibilities are too taxing in the social preparation stage. He mentioned that volunteers should not be forced to present the same results in multiple assemblies.

“The volunteers undergo a lot...The volunteers get tired, eh. The time, you know, volunteer is a volunteer. The process should not be that long. It’s already known. When it comes to the barangay level you also present that. Right? It should be short cut. We will have drama here again just to give us another project.” [BC]

Another barangay captain from a different municipality noted that the PSA CVs in his community found their tasks to be difficult due to a lack of time. An MCF in one municipality mentioned that although the municipality was in the MT cycle, they still conducted a municipal orientation at the start of the most recent cycle. They also noted that the volunteers are very active, but some dropped off because of financial constraints, and needed to be replaced. They mentioned that the cost of transportation was a challenge.

“Sometimes volunteers just come and go because they need other source of income especially if the farm field they till has been affected by calamity like Yolanda, they need to look for other source...So during validation process, we check if they are still there in the organization. If they are not anymore part of the organization, other volunteers would come...The transportation fare is costly.”[MCF]

Another issue, mentioned by two respondents, was that volunteers were often pulled away from KC tasks by work or family responsibilities – a CF complained that in some of the barangays, volunteers would arrive late to meetings or miss them altogether, while an AC in a different municipality described how the PSA became delayed in some barangays since volunteers had to attend to personal obligations first.

Traveling Concerns

Many remarks were made about the challenges about travel required of the volunteers, whether to obtain data during the preparation of the PSA, to attend training sessions, or to conduct canvassing expeditions.

A CF noted safety concerns when traveling to the barangays. A Barangay Captain remarked that it was very difficult for the volunteers to pay for transportation costs, and to be away from their homes during multi-day trainings.

“Time is wasted and they are too ... Because the volunteers, they’re senior citizens and so it’s difficult to gather data. That’s where we had difficulty, in gathering data. (After) the data, you can’t avoid that there will be mistakes so you will give it thrice to the barangay for another review. Then when you get it, another mistake again, give it back again. Something like those. It takes three days before you can finalize the data.” [MCF]

“When we arrive there, they’ll tell, ‘ma’am why did you come there alone? Even us who lives here we don’t go there.’”[CF]

“Sometimes volunteers had no money for transportation fare, there’s no one to be left at their homes, so I really thought about how I can return them to the barangay. For example, I looked for a boat going there and pay for its crude oil so that they would not spend any money for transportation. That’s the only problem because the volunteers are poor. Another problem is that when the meeting is 2-3 days, they would tell me that they cannot go or join because there’s no one to look after their homes.” [Barangay Captain]

B.4. Documentation Requirements

A large number of forms are required for the KC process. The KC CEAC Forms/Tools lists a total of 99 forms, cataloguing them by associated activity and CEAC. Stage. Many of the forms are used on multiple occasions (e.g., the Attendance Sheets and Minutes Forms for both municipal level and barangay / community activities or the Community Volunteers Profile). Others are more specific, targeted at one particular step in the KC process, such as procurement, or development of the sub-project proposal.

Given the large number of forms and the significant role they play in the responsibilities of both staff and CVs, it was added as a specific question to the interview guides, focusing on the level of difficulty of the documents. During the interviews, respondents were asked to comment on documents generally, and then were prompted to address some of the relevant documents individually. For this purpose, the six most relevant forms were identified for each of the different types of CV to be interviewed. For example, project implementation team head was asked about the financial inspection report, the weather chart and the physical programs report, while the head of the procurement team would be asked about the abstract of canvass, request for quotation form for goods/works, and the schedule of in-kind local counterpart contribution.

Document Requirement during PISP Stage

A significant portion of volunteers’ work load is completing the considerable documentation required by KC. Three respondents noted that the volume of documentation required in PISP step alone was

overwhelming. Two CFs discussed their frustration in the amount of effort required to keep CVs encouraged throughout the stage, one stating “the challenge is that it is difficult, because sometimes if you will not strongly encourage those people in the Barangay in doing the documents, they will not do it. My experiences in the different barangay I handled are they really need encouragement.” On the other hand, CVs shared their own frustrations with the documentation requirements of the stage. Two noted that the time required is far more than what is ideal. One respondent further noted that even when they thought they had completed paperwork for their SP proposal, they would find out that they need to recomplete components otherwise they will not be able to partake in the MIAC review. One PPT openly reflected on his hesitation in asking for help from the CF in his barangay during the PISP Stage:

“It got a little difficult for me. The facilitator assigned to us, who takes us to the municipality for training, you see, I am very inquisitive when there was something I do not understand. They sometimes become impatient... Sometimes being as I am not very young, it was sometimes difficult to catch things up. I am not knowledgeable of everything.” [PPT]

Several commented on the particular challenges with documentation in different stages. Regarding the PISP stage, CVs noted that too much time was required, and sometimes they had to recomplete components, or would not be able to participate in the MIAC review. One PSA volunteer said “there were some parts that were difficult to fill out.” They also complained that they were repetitive, with the same question being asked over and over again. Specific documents cited included the problem tree and solution tree as being difficult to do and “brainstorming takes a lot skill.” A problem with the Request for Fund Release is that “the form always changes, for the NCCDP and the ESMP.”

Document Requirement during SP Implementation Stage

Sentiments regarding program documentation requirements during the SP implementation stage varied. Many respondents thought the required documents were relevant and program participants were able to complete them (28 respondents). Conversely, 18 respondents had negative thoughts and 14 held more nuanced views reflecting both good and bad views of the documentation requirements.

Seven respondents were forthcoming about their need to ask either CFs or ACs for assistance in completing and reviewing the documents. Some of the respondents said that they could rely on good support from KC staff to complete necessary documents, but others saw this as a weakness in the documentation requirements. Three respondents flagged that the physical program report specifically as a very challenging document which required the support of CFs/ACs. The most common critique of the documentation requirements pertained to the volume and tedious or repetitious nature of the forms (10 respondents).

“There were parts that were difficult because it needs to be... it’s really just difficult to fill out... It needs to be explained. And then, it’s not really the explanation that is my problem but the others were repetitive.” [PSA]

Three respondents noted trainings on the documents being essential for successful completion, and six respondents were adamant that their hands-on experience in previous cycles made the documentation requirements much easier to handle currently. Some respondents felt strongly about the existing reporting requirements, with a MAC noting, “All of the documents that they make are really needed. There are even no excess in the documents.”

One notable and recurrent negative response was that when respondents were prodded for specific forms they used to complete for their work as a CV, many just said there were too many to remember any specifically. Aside from the repetitiveness of the canvassing forms, the respondents found them manageable. Several respondents viewed CF and AC review of forms as essential for them to be completed properly. One CV in an MT municipality acknowledged that forms were too difficult. One respondent noted their relief in holding a CV position which is now much lighter in terms of documentation related work – they are still very happy to be involved in KC.

There were many comments about the repetitiveness and redundancy of documents. One MAC said that it is hard to collect documents when you need it. “It really needs to be collected because you need approval for the request of fund release.” A MAC complained that some forms require more signatures than necessary. “It was like ‘What is this? Signature again?’ A MAC commented:

“In KALAHI there really are redundant, documents that need to be complied to... Like the, SF form, SPCF. The SPCF Sub Project Concept Form, since if there is already a proposal, it’s already there. Why require SPCF? It seems redundant already...since it’s already in the proposal.” [MAC]

General Comments on Documents

On the other hand, in a regional office the financial officer complained about receiving too much information, more than the system could bear. He said others want to include other indicators with the financial data, but that should not happen. For instance, the payroll should just provide information on who should be paid and how much, not calculate the percentage of women. That should be in a separate database.

In one municipality several comments regarding documents shed some light. A PIT CV interviewed said that training helped making the forms easier. But in a subsequent question it emerged that the barangay treasurer filled out all the documents. One O&M volunteer responded that it is “Not very difficult to fill out the documents.” But with probing it emerged that she/he did not actually fill any of them out. “I only signed the prepared documents” – which had been prepared by the engineer. The MAC observed that many documents asked for the same information over and over. But they just explained that to the region, and didn’t fill them out. The Community-based Monitoring Team (CBMT) responded “It was always difficult at first, but once you get used to it ...” explaining that it became easier in subsequent cycles, and the training was very helpful.

One CF claims that they translate documents most frequently used by CVs because they cannot understand English or Tagalog. The CF also notes that they don’t have the capacity or time to translate everything. One ACT struggled with time management and documentation efforts because they had barangays with MCC-KC cycles, NCDDP cycles, as well as PAMANA cycles all at once, noting “For them, [the documentation] is difficult; for me, it is somehow difficult too... The forms always change... [due to] the NCCDP and ESMP.”

B.5. Timeline of the Cycle and the Individual Stages

Each cycle is designed to take about one year, with typically the first cycle taking a little longer¹⁴, and there are specific timelines allocated to each stage of the cycle. An important topic of investigation was the appropriateness of the time allocations, whether there were delays or lags, and whether one year was the right length.

Two respondents felt that the timeline of the PSA was too rushed. An AC raised the concern that the schedule of barangay assemblies coincided with harvest season, which rendered it difficult for residents to attend. Three respondents from two municipalities mentioned that in the second cycle the PSA was not conducted in full, which saved money and time. Instead, results from the first cycle were presented again in a single barangay assembly, where residents had the opportunity to provide suggestions on updates.

During the implementation stage, there are often delays. Most commonly, excessive rain caused significant construction delays, forcing barangays to adjust their timelines and work schedules for timely SP completion (5 respondents). Others expressed concern that the construction period is timed to occur too close to the rainy season.

¹⁴ The three cycles together are required to be completed within 36 months. Cycle 1 usually takes up to 14 months, with the transition stage overlapping with the start of cycle 2. (According to comments from NPMO.)

A major issue for the Transition Stage pertained to the timeline of execution. Three respondents noted that ARR/CBE/CBME efforts took place in their barangay before the SPI Stage was even completed. These respondents were emphatic that if the barangay waits for SPI Stage to finish before initiating the Transition Stage, then it is very difficult to complete the transition stage before the next KC cycle begins. That said, they felt that barangays should wait until SPI is completed, and if anything, allow the Transition Stage to overlap with the next KC cycle. That way it would be conducted with complete information and proceed at a pace which will encourage a more thorough assessment.

In addition to the specific suggestions on timing, NPMO has remarked that many adjustments in timing have been made *de facto*, in particular with shortened timelines in the later cycles. However, these are not formal changes and the effect of these changes has not been assessed.

B.6. Institutionalization by the LGUs

A major objective of the KC program is its movement towards greater institutionalization within LGUs. There were many examples of practices that are being incorporated into local government practice, but there are also signs that some localities are resistant to change.

One BC believes the transparency and community consultation underlying the PISP are important aspects which should be introduced in other areas of barangay functions, noting “Such, [prioritization] is a big help for us... people expect the same process. We should always prioritize.”

One AC noted that election cycles at the barangay level were problematic given the potential for turnover of BCs – a pivotal actor in the KC process within barangays. The AC noted that when there is turnover, the best case scenario is a new BC that is open and appreciative of KC. Even in this situation much time and effort may be required to get them up to speed as to KC requirements. In the worst case scenario, BCs can be elected who care little for development, or more specifically KC itself. In these situations, one actor can easily derail positive momentum previously built within the barangay.

But there are also positive outcomes. In one municipality, a new mayor came to office, identified the 8-10 KC SPs which were incomplete as identified through the transition stage reporting, and built an AC-type unit (of predominantly previous ACT staff) tasked with completing the outstanding SPs.

“When Mayor X assumed Office last July 2007. We reviewed the projects under KALAHI KKB 123 and we saw that there were numerous incomplete projects... So what we did is we evaluate the barangays. What are the things that need to be done? We ... per barangay which implemented the project and we saw that if I’m not mistaken, it was really 8 to 10 projects... Were the incomplete projects. So, that ... Mayor held a barangay assembly and ... she asked for the people’s opinions. “What are we going to do with these?” She asked. So the people replied, “Mayor ... it was not our intention to leave the projects suspended and incomplete.” So what she did is she organize the municipal coordinating team. Hiring those ... staff of the ACT before, like for example, Engineer since after 3 cycles they didn’t have work. So she did hire the Municipal Engineer, the deputy area coordinator, the MFA, the assigned CFA, and at least 4 staff. To help us, the MCT to complete the project.” [MAC]

The Role of Funding

Overall, it appears that the funding provided by the KC project is the dominant reason for support by the municipality and the Mayor.

One mayor indicated that people are reluctant to participate as they do not seem to see a role for themselves since traditionally they do not participate in such decisions/projects, but given that KC provides funds the mayor wants to convince them to not pass up this opportunity. Another mayor remarked:

“KC is a big help because of its counterpart, a very small counterpart and there’s this also this big budget that is coming from the national and from the local that is very small, so you won’t turn down the national program.” [Mayor]

One mayor was skeptical at first, but then got excited about the project. Another echoed this sentiment especially because his town is on a mountainside and they had a farm to market road that needed financing. This mayor indicated that they are a first-class municipality and did not think they would normally be eligible to receive KC funding, but said they did manage to get it as some other municipalities could not afford the counterpart (of 10 percent). The mayor said that “God is good” and that this project is “from heaven really.”

B.7. Gender Considerations

Five respondents commented on women’s involvement in the social preparation stage. They did note, however, that the gender tool kit was not used. An AC from one of the municipalities also mentioned that women’s views were taken into consideration, noting that women spoke liberally during assemblies. A PSA from one of the municipalities mentioned that women were in greater attendance at the PSA barangay assembly since men often went off to work. They also mentioned that of the leaders of the purok, only one was a woman.

“About the women, usually, a higher number from the women sector attended compared with men because the men chose to attend work. Usually, the men who attended are purok leaders...Among the purok leaders, only one was a woman..” [PSA CV]

Although beyond the scope of this evaluation, an important question is to what extent the fact that women’s voices are heard translates in the selection of projects. This would require careful tracking of the projects first supported by women at the barangay level; the results of such analysis would be valuable to determine what more may be necessary to ensure that women’s priorities are fully acted upon.

In this regard it is worth mentioning Gender Incentive Grants (GIG). GIG provides grant funds to support SPs that promote gender equality and women’s empowerment, and in one barangay visited two references were made to GIG projects. The MCTCF noted that a farmers cooperative was active in identifying women to work on GIG subprojects. The MCF went on to clarify how GIG works: “20% of the workers should be women. For example in every 10 workers it should have 3 women workers and 7 men.”

The BRT described the GIG project, which is a public toilet used by people from three barangays and confirmed that many people have benefited from it. According to the BRT, the barangay in question “is the center among the upland barangays so especially now there is high school in our barangay that was the first high school in the upland so there are more there it’s like the staff just like in the terminal they stop there, so many have benefited.”

It was not infrequent for women to be involved in Sub-Project Implementation, though the manner and extent were quite different. Fourteen respondents noted that overall women and men had very different roles when it came to contributing to SP construction. Seven respondents explicitly stated that women and men were delegated different roles given their ability to conduct work. For example, men did heavy lifting, paving, etc., and women fetched water, moved light items, swept, cleaned and kept time.

In one barangay, a CV noted that individuals involved in a previous KC cycle made a significant effort to encourage more female participation in the Implementation Stage of the most recent cycle.

Six respondents noted general sentiments regarding the overall involvement of women in the SPI stage, one respondent noted that in their barangay women had become increasingly more involved through the KC cycles implemented in their barangay and one noted that the engagement of women in this stage in particular was empowering.

Participation differentials between men and women emerged through several means. One respondent revealed that the municipal engineer would help inform them of how many women should be working on their SP. The barangay would subsequently rotate 15 women through the 3-4 spots which were held for women. One BSPMC highlighted this by saying “We have more male workers than female. When the engineer tells us that we need only 2 [women], we hire only 2, if 3, then we hire 3.”

There was evidence in a number of interviews that attitudes are not open to full inclusion of women as either volunteers or paid workers. When asked about women’s roles during implementation, including for tasks like monitoring materials or recording laborers’ attendance, one BSPMC responded:

“I don’t allow women, what will they do there? ... They clean the area.... I told them whatever I give them to not ask more than it. They are useful most especially during the times we have visitors here... They do the cooking for the food that will be served to the laborers.” [BSPMC]

When asked to confirm that women have no direct participation in construction, the BSPMC replied “It was the order of the Kapitan. He says why the need to hire women. He is thinking about the budget.” It is interesting to note that per this input, those who made the decision on women working were not the volunteers: those specifically mentioned were the municipal engineer and the Barangay captain. It would be useful to examine whether this is regularly the case, as opposed to having community volunteers leading the process as designed.

Several respondents noted that CVs in their barangays were predominantly women, while the paid labor positions for SP construction were predominantly, or even exclusively men. One CF suggested this was because earlier in the process women were much more eager to volunteer to assist the project.

“Women volunteers were more... Because ... there was election during assembly, right?... So, it’s the women who mostly attended the assembly... Then during election, plenty of women would volunteer.” [CF]

In one barangay a respondent noted that even when women were able to attain paid positions during SPI, they would be paid less than the men.

These considerations raise the question of whether decisions on project design itself might have inadvertently perhaps built in this disadvantage for women. Specifically, the KC design requires that all work by barangay citizens be on a volunteer basis – with the exception of project construction. What is the rationale for that decision? It is clear that the whole KC process requires a lot more work by many people, and the project design ensures that most of it is done for no pay. Obviously this design feature has far more implications than those that result in gender inequities – for example, the fact that paying for work earlier in the cycle would mean not limiting expenses to the barangays that will have their projects prioritized – but the gender issues at least can promote revisiting that question. Might gender roles have contributed to a view of construction work – as opposed to work building citizen engagement – as the “real work”? Again, this analysis is beyond the scope of this evaluation, but appears worth consideration.

3. Feedback / Grievances regarding the process

KC provides citizens and volunteers several options/methods in providing their feedback or grievances regarding KC: a suggestion box usually placed in the barangay hall, letters, email, text messages, and direct verbal communication. Key informants and FGD respondents overwhelmingly stated that the suggestion box was either available but left unused (17), or not available at all (10). In these cases, many respondents mentioned that the reasons for disuse were that it was more expedient to convey feedback orally; feedback was typically provided to the BC, Barangay Council, or the BSPMC. Only one respondent mentioned use of the suggestion box in their barangay. One respondent mentioned that feedback and grievances were sometimes mentioned over the phone, while four others mentioned that

texts were used as the mode of communication since it was the most efficient. The types of feedback provided by respondents in the KIIs and FGDs are shown in Exhibit 4.B.1 below.

Exhibit 4.B.1 Types of Feedback/Grievances under KC

- Volunteers showing up late - Additional labor needed - Too much labor - Volunteers needing to work harder - Delays in sub-project implementation - Volunteers rejecting their appointment and later expressing interest	- Excessive documentation - Too many barangay assemblies - Long wait for second tranche – community started to feel impatient - Subsidies for volunteers - Salaries for laborers (they approached the barangay treasurer for remuneration, but were told to instead approach KC for payment)
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An AC said that, since in one barangay the grievances were reported directly to the regional program staff rather than being raised first with the BLGU, this meant the grievance process was “not followed properly.” Twenty-two respondents remarked that no complaints were raised in their communities, remarking that the sub-project implementation went smoothly and that the residents largely benefitted from the results of the SPI.

“And the grievance has one level where it should be accepted and we were not able to give importance to it because those who had grievance did not file any intake form. But there were also grievances which went directly to the region. It was already texted, so we were not able to...The grievance process was not followed, that there should be grievance in LGU....It did not function because the grievance went directly to the region.” [AC]

There was also a gender component to the types of grievances raised. A BSPMC remarked that a single woman in their barangay applied to be hired for labor, but was turned down on the basis of her gender. A CF in a different municipality stated that there were some complaints raised regarding a pregnant woman who had wanted to serve as a volunteer. In response, the BSPMC met and created a policy whereby any woman who is pregnant is not allowed to serve in any capacity, including as a volunteer.

“There was a complaint why there are no women hired for the labor. Why all those hired were men. There was a woman who applied but was not accepted by the foreman because he is hiring skilled workers... We talked to the volunteer. We explained to her that you should not complain because the foreman is looking for skilled workers. If the woman has a son who is a skilled worker, he will be hired to work. The woman understood the foreman.” [BSPMC]

“Like for example during the SPI, there was a volunteer who insists to work. There were some who say: ‘Why would she work? She’s pregnant.’ I am not informed about her pregnancy because her tummy is not that big yet. So I called on a meeting to talk about that... Regarding the pregnant laborer, we are not allowed to deploy such because she will become our responsibility. So we also made policies about that during the meeting. We are not allowed to employ pregnant even if they are volunteers.” [CF]

5. Use of monitoring data to make program improvements/refinements

KC has a sophisticated monitoring system with extensive requirements for performance data to be reported on a regular basis. There are official 35 indicators for MCC. There is also a list of 38 indicators¹⁵

¹⁵ In “List of DSWD Indicators,” with eight indicators listed under Activity 1. Capacity Building and Implementation support Activity, and Activity 2. Grants for Community Projects Activity.

used by DSWD. These include objective indicators such as “Percentage of households that report increase in confidence to participate collectively in community development activities”, outcomes such as “Percentage of IPs that are present during Barangay Assemblies,” and Outputs such as “Number of barangays that have completed all the trainings during the social preparation phase.” In addition, there are 28 Key Performance Indicators for use under NCDDP; these are actually presented in the form of targets, such as KPI #5: “80% of barangays have community development plans prepared in accordance with the KC process.”¹⁶

The main responsibility for reporting these indicators lies with the ACT within each municipality. Results were quite mixed regarding the collection and use of monitoring data at the NPMO, RPMO and ACT levels. One respondent noted that M&E data encoders in the municipalities are not paid well and are insufficient in numbers to complete the work demanded by the current system. The respondent noted that in their region alone they were in need of seven additional data encoders, while the two currently on staff held down all the work. CFs in one municipality said that the CFs transmit the data but don’t even know what the indicators are. Another respondent noted that data collection requirements ask a lot of ACTs, especially considering the context of various versions of KC being implemented:

“At the ACT level...data collection is a challenge because (pause) we are in a very tight timeline also and because the nature of implementation in the ground because the data should come from the ground but the reality is in a given municipality, there’s a strong likelihood you’re not just implementing one project, you might be implementing PAMANA, you might be implementing BUB, you’re doing NCDDP and their doing convergence work as well. Now that’s a lot of work for an ACT. For collecting the data that goes up, encoded at the municipal level and that’s, you know, close up work. Most of this data come from the ACT, participation data in barangay assemblies, data on subprojects, disbursements, sustainability, volunteer data, training data they all come because the locus of implementation is there at the ACT. So we’ll be dead if they don’t generate those data.”
[NPMO]

Use of M&E data at the RPMO level seems to be inconsistent across regions, with one noting: “In monitoring if the money was used according to the schedule, that’s the only thing I see on that.” At the NPMO level, a respondent noted that M&E data is being analyzed, but that there is room for improvement. The extent and quality of analysis of M&E data at all levels is mixed. One respondent noted that M&E data analysis is not occurring on the ground, and when it occurs in the central office there is typically a one month delay.

“On the ground it’s not really used that much for analysis and for management decision making. It is always our agenda ... to set a good system to generate information for the management decision, and ... one of the differences with that is insuring you get timely, ...almost like real time information. At the moment, our imminent data are actually a month delayed, there is really nobody doing analysis, beyond strategy trending, lest that we do I do here.” [NPMO]

A different respondent questioned the quality of data within a month of delivery from the field.

In terms of the use of the M&E data, responses were quite different at different levels. At the municipal level one MAC responded “I don’t know because here the data that are turned over to me, I have no use of them,” and further that “For record purposes only, only if you need to see something on the record.” An ACT respondent pointed out that KC data was used during disasters, for instance when the Department of the Interior and Local Government (DILG) asked for the use of their KC data. Another AC noted that the data from their municipality was being used regularly in reporting for transparency purposes. For instance, they report the poverty incidence of this particular municipality.

¹⁶ In “Annex 6 Attachment. Compilation of KC Community and Municipal Paper-Based Forms,” which also contains the documents that are required to substantiate each of the KPIs.

At the RPMO level a respondent noted that:

“The RPMO ... really [needs] the more day-to-day real time information, they get information that is two weeks old, there is going to be a problem it happens so fast. So ... it has to be real time, it also needs to be reliable, some valid information. There is a way to validate something, so what happens often times to get imminent data that is a week old, that official, and then you get our operations levelling, that is real time. That also may have a lower level of reliability, so program management what tends to be use this one or rather than this one, or rather than this one, tends to be use for recording purposes but we want to get as close as each process.” [NPMO]

At the national level, outputs of the analysis of M&E data were noted: “data is used to demonstrate the success of analysis it included in the development plan. It is also used to justify the approval of NCDDP... some monitoring data are being used to trigger thematic studies.”

Furthermore the volume of M&E forms relative to other KC program forms was noted: “First, we have to group all the forms if we count, all the forms we have one hundred plus forms. For the M&E it is only around twenty forms we used or less.”

NPMO M&E staff noted that they have been advocating use of data, and they know it is not happening to the extent that it should; although one person remarked that sometimes the ACT’s or municipalities are in fact using M&E data, but don’t realize it is “M&E,” and gave as an example, when they track attendance at barangay assemblies. A new project management training emphasizes that M&E is an integral part of the AC job.

6. Benefits of the process

A large number of respondents mentioned that either they or their communities benefitted from participating in the KC program. The impact of KC on citizens was most pronounced (122), followed by volunteers (54) and then project staff (7).

Benefits to Citizens

A sizable number of respondents (121) felt that KC helped improve access to and quality of services in their communities. A BC noted that a drainage canal built in his barangay prevented flooding during rainy season, and also remarked that KC had the added benefit of helping communities organize themselves to plan and execute projects. A Mayor stated that a farm-to-market road in his community helped increase farmer income by decreasing dependence on middlemen to transport goods over roads that were previously difficult to traverse. A PPT also spoke of the benefits of roads that were rebuilt in her barangay, stating that it became easier for students and teachers to travel to school, and for pregnant mothers to access health centers.

“In the past, there was no canal drainage. When it rains heavily, everything is flooded. Now, there's a drainage canal. The water follows a single course so it stays centered until it drains below. That problem was solved so the people say, ‘KC is really good.’ [BC]

“Actually KALAHI gives a lot of benefits in this municipality because the main problem of our municipality is the physical appearance of our road, our roads are really dilapidated. When KC came, a lot of roads are fixed and were made concrete....In the farm to market road as I said a while ago, gives us economic stability...the farmers themselves sell their products directly because there will be no middleman anymore. So their income increases then they now have easy access already since the roads are good now.” [Mayor]

“The roads became accessible. It became easier for us to respond when people needed our help. We used to have a school in that remote area in the mountains but it had been closed. It had become more convenient for the teachers and students to go to and from there. And then the pregnant mothers who needed prenatal care. Once the roads were paved, it became easier for them to visit the

health center. Before the roads were cemented, there were incidents where they had given birth in the middle of the way... But it has all been resolved.” [PPT]

Citizens themselves spoke of the benefits of the KC project in similar terms.

“For me yes, just like our drainage we can barely see that it was already been manage and everyone is using it. And talking about the training center it is a 100 percent helpful to us ...[that] it is open to all ages.” [Manjuyod]

In one location there was an appreciated training course as part of a livelihood project that unfortunately did not have any long term effects because of the lack of a market for the furniture being developed. While the training was appreciated, it translated into a request to just have future investment.

“I’m one of the trained bamboo craft makers, I’m a carpenter and I learned a lot from this livelihood program but there is no expansion of the project maybe because we lack manpower this time. Also, maybe we lack of funds to be allotted to the materials needed. I do hope that skilled and interested handicraft maker will be willing to work again and make handicrafts again so that they will be met by the Kalahi to continue the project at least it’ll help them financially of course.” [Citizen]

In addition to service improvements KC also resulted in other benefits for barangay residents. A BC remarked that their barangay’s involvement provided employment opportunities and allowed some important programs to be completed. A PPT in the same municipality pointed to the transparency of the KC process. They previously were often unaware of the source and schedule of projects; in contrast, KC’s multiple barangay assemblies allowed the community to be well informed on how projects would be executed.

“During the first cycle we were a bit surprised because we were used to just be receiving programs just like that without even knowing how much, where did it came from and we don’t know when it will end. The project will just come and we don’t know the source of it and who is the contractor. But with KC, up to the last centavo was very transparent... because even during the first BA, everything is disclosed about KC projects until the project will be finished, everything is posted regarding implementation or activities. And what is good about this is the process itself.” [PPT]

“It has provided some jobs for the community, some good projects were done and volunteers were able to appreciate the sense of responsibility.” [BC]

Citizens also pointed to other less tangible benefits.

“There is a big change since we had a [Sub-Project] because of KALAH-CIDSS. Now there is progress and order.” [General Luna]

“For me it will give me a peace of mind since it will make people busy instead of doing unnecessary acts.”

“The benefits for me of KALAH program, is that I did really see them very prepared, and very useful to the out of reach youths.”

Benefits to Volunteers

Many volunteers felt that they benefitted greatly from their participation in KC. Some volunteers became part of the barangay staff after volunteering for KC for one or two years; several mentioned becoming more confident in approaching others and taking a leadership role. A BSPMC noted that he “learned how

to manage people in my area and I also learned to work in the construction.” A PPT in another municipality noted that while her role led to some conflict with her husband, and she had to invest significant time and money as a volunteer, she felt these sacrifices were worth it since the project improved the community.

“What impacted me the most was what I felt during that time when I was a volunteer; that however livid my husband got at me, whenever I am needed here in the barangay, I was never mindful of the anger. I always wanted to be in attendance, I don’t know. I just wanted to help. And even when we have to use our personal money for fares when attending seminars, though we were provided with food, we have to leave our families for whole days, it may not be enough for some. But I learned during those times, in MT2, was that wholehearted commitment to help the community and its people.” [PPT]

“For me I learned how to manage people in my area and I also learned to work in the construction.” [BSPMC]

Benefits to Project staff

KC staff noted a number of benefits resulting from their participation in the program. An AC mentioned improvements in management and leadership capacity from navigating new and sometimes difficult situations, while another AC remarked that their knowledge of the local dialect improved, along with her visibility and rapport with community members. The sentiments of a CF in a third municipality echoed the latter, stating that “the feeling that the people are giving you is you feel like you are a celebrity”, and that this appreciation helped them feel that they made a difference. Another CF mentioned the benefits of interacting with the community, noting that their skills in speaking and socializing with others improved, as well as their comfort with filling documents and managing proposals – all skills they felt they could pass on to their children. An AC remarked that they previously did not feel the government played an important role, but came to understand this better through their involvement with KC.

“For me my capacity was enhanced. In terms of management, leadership in facilitating the area, in planning, strategizing. Those things. Then the character, the discipline. It is not easy to adjust in the situation.” [AC]

“My knowledge with their dialect has improved...And with regards to my career, I experience meeting a lot people. Wherever I go someone would recognize me. This way you establish rapport and the legacy you have left.” [AC]

“Helping the people and the barangay as a whole is happiness in the heart.....it is overwhelming that you know within yourself that you gave an effort and it was appreciated. To that point, you should disregard the payment you are receiving because it is already intact that you are working for money but the feeling that you are being appreciated by the people, it is something different.” [CF, FGD]

“Being a staff of the Kalahi, I learned how to socialize with other people. I was trained how to speak publicly, I was exposed how to handle a certain area or community, I also learned the process in the government, how to make proposals and aside from I’m receiving a salary and I was also able to help my family, maybe the more I last in my job the more I am exposed. It is really a big help for me, and I could possibly share the process to my kids.” [CF, FGD]

“It’s huge. In knowledge, my understanding was deepened more on how government works, how government operates. Because it was not yet clear to me when I was working out of the government. I appreciate that this is really how the government works. I thought they are just sleeping, but it’s not. Like that. Then one more, I look more I read more those republic acts...In the past, I don’t read those. Then there’s those refresher courses.” [AC]

4.C: Program Sustainability

Sustainability is a cornerstone of the KC process. Several important elements of the project have been designed with sustainability in mind:

- Integration of the local government into the project
- The nature of the three year KC cycle, which promotes learning and ownership by allowing the community to repeat the process several times
- The increasing responsibilities of the municipality over the three years, capped with the MT phase

On the other hand, some project features make complete sustainability a challenging proposition, notably the complexity of the process, the number of project staff required to make it work, the level of skill required, and the reliance of the process on largely unskilled volunteers. Perhaps most critical is the enormous leap required of citizens: through repetition of the CEAC cycle, people can become more accustomed to participation, while individual volunteers gain important skills, but at what point might they be able to independently take on the degree of responsibilities incorporated in KC, and further take on the role of a watchdog to hold the government accountable, without the KC structure in place?

The CEAC sub-manual defines it broadly as “the capacity of a community to respond to development challenges in ways that will provide continuing benefit to its members.” In this sense, the aim is not necessarily to propagate the KC process itself but rather to imbue the regular functioning of the community itself – importantly, this includes both citizens and LGUs – with the principles embodied by KC. The full conversion to a sustainable system would be a multi-year process, with a first phase refining the KC processes, and a second phase in which the project and CDD practices increasingly adopted by the LGUs, and citizens are more stronger and more empowered. At the end of the process there would be two fundamentally transformed groups; on the one hand, LGUs that are responsive and open to full citizen participation, and citizens who are empowered and fully engaged in local governance. The various elements of KC that are contributing to this conversion can be grouped as follows:

KC Project

- KC processes streamlined to be consistent with LGU systems, and fully manageable by (a) LGUs and (b) volunteers

Local Government Units

- Handover of the KC project to the municipality over the course of the CEAC
- LGU development objectives aligned with KC priorities
- CDD processes integrated into LGU processes

Citizens

- Citizens empowered through participation in CEAC and volunteer work
- Citizens supported by strong CBOs

1. Streamlined Processes

At the heart of the KC project are a number of carefully defined processes that accomplish the many objectives of the project. These range from barangay assemblies, to development of plans and proposals, to procurement, construction, and monitoring. As described in the Implementation section of the report, most of these processes are working, are well understood, and are having the desired effect.

There was also evidence from many of the interviews that a number of KC processes are labor-intensive and/or time-consuming. It will be important going forward to ensure that each process is as efficient as possible and that as the project matures, only “necessary” steps are kept. Quite apart from questions of efficiency, an important question with an eye to sustainability is which ones of those processes are

integral parts of the KC-process and are likely to be adopted by LGUs and citizens in the future. In fact some of the processes are essential in the first cycle of KC but less necessary in subsequent years. Similarly, some of the processes that are necessary while the project is being implemented by DSWD may not be necessary when it is a more local process.

The evidence in these areas –levels of participation, workload of volunteers, and documentation requirements, for example – has been largely presented under the Implementation section of this evaluation report, but these elements should be re-examined under the sustainability lens as well, as they will certainly affect the likelihood that the KC process will be institutionalized.

2. Handover to the Municipality

An intrinsic element of KC design is the expectation that ACTs will gradually hand over responsibilities to the MAC/MCT over a three year period. As one Mayor described the process: “In the first cycle...we watched them. In the second cycle, we worked together...And during the third cycle, they are the ones checking on us.”

Nineteen respondents felt the three year timeframe was sufficient, with two respondents remarking that the turnover could even occur in two years.

“I think three years is enough from ACT to MCT because our MCT’s are eligible to the process of KALAHI-CIDSS, they already know enough in those three years. They are knowledgeable enough to conduct [it] even [if] ACT is gone.” [Mayor]

An AC in one of the municipalities felt there was still some hesitation among the MCTs in their municipality, but that if the ACs were to leave, the MCTs would be able to handle their responsibilities. In contrast, a Mayor from another municipality remarked “Yes they can do it, but there should be a commander that would command and oversee...that person would oversee, to do the quality checking so that they will be able to meet the deadline”, a sentiment that was echoed by another respondent.

Four respondents said they were unsure whether three years was sufficient turnover time, with six respondents remarking that this amount of time was insufficient. A Barangay Captain remarked “The municipality might forget Kalahi. It’s better if Kalahi is still there.” A Mayor in a different municipality provided a specific timeline they felt was adequate, stating that an additional two years would be helpful. An MAC remarked that there was no MCT in their municipality in the second cycle; thus, the ACT had no one to transition to since the MCT was only brought on in the third cycle. An MCT from one of the municipalities also commented that support from the ACT should extend beyond three years; in speaking of their own needs, they remarked “I still need technical assistance...And also those trainings.”

“I could still, we could still need the help ... and that’s additional employment. Isn’t that good? For us, it’s okay but ... we’re also thinking...sometimes it’s better to have the Region [to] monitor the program. If there will be a total cut-off between the Region and the municipality, the relationship might also be cut off, they might feel unaccustomed to it.” [Mayor]

Officers in the NPMO also agreed that all municipalities may not be ready for the MT after 3 years of KC. And that even though there is currently no option/structure to continue supporting the LGUs they would benefit from this support, until strengthened and ready to take on MT by themselves.

“There is an assessment process and first it is conducted independently by our regional team... And that assessment feeds into a decision for whether to go or not to go for MAKAMASANG TUGON. If we discover that they’re too weak, and we have not incorporated this into the design, but the idea, and I personally support this, [is] if they are not qualified, I think government should continue supporting [the LGU] until such time [that] they really address their weaknesses in governances. For as long as the LGUs are aware that they are also being measured and that they have a gold standard to meet I

think we should not allow them to implement MAKAMASANG TUGON. That is an area for strengthening I think for the future.” [NPMO]

“The idea [of MT] is an incentive, they perform well then you give them MAKAMASANG TUGON. What if they don’t perform well? And it’s not the fault of the communities, it’s a factor of governance. Should we deprive the communities? Or should we continually strengthen the barangay level so they will be able to do a sort of MAKAMASANG TUGON after a one year intervention or two.” [NPMO]

3. Continuation of KC Processes within LGUs in the Absence of National Funding

Fourteen respondents felt that the KC processes would be used even in the absence of national funding. They remarked that KC had facilitated increased participation through community consultations and barangay assemblies and that the KC process thus increased transparency and improved governance, and these were the main reasons for its continuation. One BC believes that the transparency and community consultation underlying the PISP are important aspects which should be introduced in other areas of barangays functions, noting “Such, [prioritization] is a big help for us... people expect the same process. We should always prioritize.” A CF mentioned, in particular, that the sustainability plan in their municipality incorporates most of the KC activities.

“We have just conducted [the] sustainability plan. The results revealed what are the effects of Kalahi to the barangay. Almost all the activities of Kalahi [have been] adopted by the barangay, only they lessened the frequency of the community consultation, but it is still there.” [CF, FGD]

Two respondents were unsure as to whether KC processes would continue to be used, stating that continuation was contingent on the outcomes of barangay council and mayoral elections, and the priorities of the newly elected officials.

“That depends, ma’am. The agreement was 36 months only. If you are still seated in the barangay, you will be one to implement the project. But it’s a different situation in the barangay. There are no guarantees after 36 months. That’s the moral function of the barangay official since it’s already election.” [Barangay Captain]

Three respondents stated that KC would not likely continue without national funding, since other sources of funding were limited and KC was an expensive process to implement. A Mayor in one municipality mentioned the challenge of dividing a limited budget across 30 barangays, stating that it was nearly impossible to fund all, and that the prioritization of barangays to receive funding was determined by the municipal development council.

“Although the fund is insufficient, I can’t subject my 20% of 24 million in the Kalahi process because the captains will have rivalry. We have 30 barangays, all are my friends. Political reason might flaunt, right? Oh, what is needed in A is road. I know, where else should we helped? The money is [not] big. To how many persons can I give, 10 only, how about the other 20 barangays? The money can’t reach them, right? So I just subject it to MDC, municipal development council. Just there. I have a prepared list. I made my own list. I have a prepared list. I was with the planning officer because he knows who are the ones in need.” [Mayor]

In addition to financing, a number of respondents mentioned that other resources are needed to allow the KC processes to be sustainable. These included technical assistance, in the form of additional training and the presence of engineers to aid sub-project implementation (11), additional staff for monitoring (3), the continued involvement of barangay residents (1), and materials for sub-project implementation (1).

“Technology and financing because we really can’t do it without those. The Region was of big help in terms of training the people implementing the project. The training and preparations they taught the people were good. I think the way they equipped them was good. So, if that will be taken away from the municipality, the municipality will not be able to handle it, especially a fifth class

municipality like ours...So, we really have difficulty and I hope the Region will continue their participation. It's the reason why I mentioned suddenly cutting-off our relationship with the Region. The municipality might feel unaccustomed; there might be a turnaround with the usual practices." [Mayor]

One respondent spoke about the use of donor funding as a critical element in making it possible to test a new approach.

"Admittedly, the funding we receive from external sources, MCC whether it be grants or loans, allowed us to want to test the technology. Okay. And to test it using a design that will be difficult to pilot if we were to use. I'm not saying that government is not inclined to give resources for that but (pause) the amount of TA we receive from MCC for instance has been instrumental in helping us sharpen the design of the project. So... in view... I think the key is using those outside resources to forge new paths which government otherwise will have difficulty doing because of constraints. ...Our government for example, they can give you some grants for hard projects, but may not be able to fund trainings, staff, getting specialists because... because there's a cap also on the number of people we can hire. Now, in the future the idea is for government to increasingly finance CDD. And I think there is a good chance we will be able to achieve that because during this administration, sufficient funds have been made available for grass roots driven projects like Bottom up Budgeting (BUB), PAMANA." [NPMO]

A suggestion was also made that in the absence of national funding for KC, the national government could assist LGUs by changing policy and allowing: (1) citizen groups to directly receive funding from the government as beneficiaries and implementers of projects (currently only CSO accredited with DSWD can receive direct funding from the national government); and (2) direct procurement by citizens as currently allowed under KC (MCC agreement), but not allowed under national procurement laws. This is a serious issue to consider long term – the sustainability of KC principles and processes in the absence of MCC funding.

"There are very good local governments willing to transfer funds to communities but are constrained to do so because [of] our current regulations by the commission on audit. You can transfer to civil society organization if it is accredited by the DSWD, that's good we have no problem. But most of these CSOs are intermediaries, they are not beneficiaries. The difference in KC is we are transferring to beneficiaries and implementers who are citizens that are not actually registered like an adhoc character but are recognized by the barangay assembly which is the highest decision making body in the barangay. They are not registered they are not accredited by the DSWD. Now policies will constrain LGUs after KALAHY CIDSS to continue giving funds." [NPMO]

"The other one is to allow community based procurement. There's a national procurement law that prevents communities from using our own community procurement system which is... we've been using it for the past 12 years with a lot of success... and many government agencies would like to adapt it. But the national procurement law while it has provisions for community participation in government procurement only sees the citizens as service providers for government. That's a very different thing. In KALAHY CIDSS they receive the grants, they manage the grants, they do the procurement themselves. In the procurement law, they're not the ones who procure it's the government, meaning the barangay local government unit or municipal local government unit. Again, we are able to do that in KALAHY CIDSS because of our compact with MCC or the loan agreements with our partners. So those policies are critical to remove barriers to (pause) you know... widespread CDD... adaption." [NPMO]

4. Alignment with LGUs' Development Objectives

Critical to adoption of KC by municipal governments is the extent to which the sub-projects align with LGU development objectives. Interviews with mayors and barangay captains yielded some positive

indications of alignment. At the municipal level six mayors noted that SPs implemented under KC were more often than not well aligned with MLGU Development Plans. In total, eight mayors outlined their approach to integrating KC SP implementation with their development plans. Three mayors discussed how they viewed their role as complementary and integrated into the overall KC Process. These mayors channel funding towards completed KC SPs, in essence picking up where the SPs left off:

“...And then it’s a continuation. The project of the LGU, we adopt them there. For example, the FMR from X to J1, what we do so that it won’t be cut there -- because that’s where the [KC SP] project stops, right? What we did was, we got a seal of good housekeeping from the DILG, and we qualified for 800,000, that’s where we placed the continuation of Kalahi.... The taxes we get there are being used for the continuation and maintenance of the project of Kalahi. The things that needed to be maintained, we get it from there, but if there are projects that need to be continued, it is focused on infra projects. We also add that with some budget. It’s for that, that’s why it’s at the same time with the Municipal Development Plan.” [Mayor]

Two mayors pointed out that they have successfully appealed non-prioritized SPs to the provincial governments and received funding. Two respondents revealed that they typically direct all non-prioritized SPs to Bottom up Budgeting (BUB) for funding, since BUB projects can often fall under DSWD they believe likelihood of getting funding is good. Lastly, one mayor notes that they endorse all non-prioritized SPs in the Municipal Annual Investment Plan (AIP) for funding, but if the SPs are larger in scope, they are elevated to the provincial level to appeal for funding. Only one mayor viewed the KC Process and its SPs as being relatively independent from the MLGU Development Plans and objectives, noting that he felt KC was more for the barangays to be concerned with.

At the barangay level, 16 BCs noted that at least some of the SPs in their respective barangays were aligned with their Barangay Development Plans. Three BCs discussed how the SPs selected through the PSA were not in their Barangay Development Plans, which left them somewhat surprised but ultimately happy that what the citizens wanted was being funded. Four BCs discussed in detail what from the KC Process was integrated into their general barangay operations. One BC revealed that they adopted the PSA aspect of KC to all of their barangay projects:

“What we are doing is, like PSA, what the majority want are prioritized. That’s the process we adopt from Kalahi... Yes, to choose the most important needs of the people... For the barangay development fund, we do it in the assembly so that everyone will know. What they want is what we follow.” [BC]

Other BCs discussed changes they have made within their regular barangay processes. One BC shared that because of KC, participation and accountability are now central to their operations. Another BC mentioned that attendance at BAs is up, even those which are not for KC, and that *bayanihan* (community in-kind work) is more common. Lastly, one BC shared that community buy-in is evident through increased general participation. Conversely, two BCs revealed less encouraging experiences in their barangays. One BC stated that even after two completed MT cycles, they feel they are not capable of taking the lead on the KC process in their community. Another BC seemed detached from the notion of integrating KC with the Barangay Development Plan.

5. Citizens Empowered to be Engaged in Governance

Perhaps more than any other element, the sustainability of the KC processes is dependent on the presence of competent and engaged citizens. An important question is the feasibility of their playing such a role without the full structural support of KC. Especially challenging will be the fundamental independence from LGUs required to promote their accountability, which could be supported through a mature network of CBOs, which is not yet present (see below). Many of these issues have been discussed under the section on implementation above. For instance, as designed now, there is heavy workload for volunteers, with challenging tasks that cannot realistically be accomplished without considerable assistance. Going

forward it will be critical to determine which of those impediments will be most significant and how they might be overcome.

6. Participation of community organizations in KC

The strengthening of community-based organizations is an important element in KC's sustainability plan, with the aim of becoming a future source of support for community engagement. Overall, there was not very much evidence of the involvement of community organizations in KC, which would be an essential element to support citizen engagement in the future.

Nine respondents commented on the participation of other organizations and stakeholders in KC and the sub-project implementation. Three respondents mentioned the extent of involvement as attendance at barangay assemblies and other meetings. One of these respondents, a CF, also noted that KC influenced the organizations, helping them strengthen their structure through participation in KC activities. Another of these respondents, a CF, remarked that efforts were made to involve the organizations, noting "we give another orientation aside from the first cycle so that they will understand the process." An MCF noted that IPs, and to a lesser extent religious organizations became involved in the PSA, where they "suggested what can and cannot be done to protect their culture."

Five respondents mentioned the participation of women's organizations in KC. A PSA remarked that the women's organization in their barangay was instrumental in encouraging barangay residents to participate in barangay assemblies and the overall program. Three respondents spoke of the involvement of farmers associations. A CV stated that both the women's and farmers' groups in their barangay helped clean the canals near the road constructed during the sub-project implementation. A CF in a different municipality also commented on the importance of farmers association's involvement, stating that it was helping in ensuring SP sustainability.

"In the implementation the members or the volunteer needs to be active especially in supporting the organization...There were organizations that want to help with the sustainability of the project...Farmers association...They were willing to sustain the project." [CF, FGD]

"They [women] also have their own organization...They collaborated with us...They also convinced barangay residents to join especially in the barangay assembly – we really need to attain 100% attendance – that is why they need to cooperate and collaborate with the barangay." [PSA]

An MAC noted issues in managing others' involvement, remarking that the contractor that was hired backed out due to difficulties with the project, which interrupted the SPI process; the MAC did mention that the issue was resolved through a community assembly.

7. Summary

It appears that there is still some work to be done before the KC process can continue at a significant level without any national funding. The funding, at least for the sub-projects themselves, seems to be critical to the municipalities' support of the project. Although many local leaders appear to be supportive of the participatory processes, this shift is not something accomplished rapidly. The mayor who hesitates to adopt the KC process because the barangays are "all my friends" and "the planning officer ... knows who are the ones in need" is indicative of how challenging it is to change from a top-down process to one that leaves control in the hands of the community. Especially with strapped budgets, it is unlikely that mayors are ready yet to dedicate substantial funding to projects allocated through the KC process, unless they are strongly aligned with municipal development objectives.

On the other hand the participatory approach seems to have made more inroads at the barangay level, and particularly in those barangays with prioritized projects, the participatory nature of decision-making is likely to continue in some form. (It bears repeating that this evaluation relied almost exclusively on input from barangays with prioritized projects so it cannot draw conclusions about the effect of the process in those without funded projects.)

In addition, in most cases at least some degree of TA and regional support seems to be strongly desired and still needed. And the very limited involvement of CBOs in the KC project suggests that they are not ready to play a strong role supporting citizens.

5. Recommendations

In this section we first provide the recommendations suggested by the respondents¹⁷ followed by recommendation of the Evaluation Team.

5.A: Recommendations from Beneficiaries

1. Project Structure

All of those interviewed were asked to make some suggestions about how to improve the KC project. Respondents revealed numerous overarching sentiments when asked for recommendations regarding how to improve the KC model given their experience with it. The most common response, cited by 27 respondents, was to simply keep KC going in their municipalities and barangays. Twenty respondents felt that the KC model could be left as is. Several respondents also took this opportunity to highlight the importance that transparency (two respondents) and participation (three respondents) remain central tenets in the KC model.

Design/Staffing

Recommendations on program design and staffing were quite common across respondents. In terms of staffing, two respondents felt that strict restrictions should be placed on the number of barangays a CF can be responsible for at any given time. In a similar suggestion, one DAC recommended more staff be hired to adequately support CV efforts within the municipality. Another issue noted by an ACT is that staff at the ACT are hired on a contractual basis and receive no benefits. They believe that since KC employs so many ACT staff throughout the Philippines that better benefits are important. A final staffing note, one mayor pointed out that individuals hired in their municipality as ACT staff were not well suited for KC work. Engineers were at times fresh out of school with little job experience, and practically no knowledge of the SPs which were promoted under KC. Furthermore, other ACT staff were hired from different sectors and held jobs supporting KC just until they could find work back in their own sector. The mayor suggests strong efforts be made to hire individuals who are better fits, or provide incentives for key staff to stay in their positions longer.

In terms of design, a few recommendations emerged. Two respondents felt the MCC-CEAC cycle should have fewer steps. Three respondents believed timelines should be relaxed to permit proper SP completion. One respondent believed the rule of 10% counterpart contributions for SPs should be abandoned because they were quite challenging for certain barangays. (Note that in actuality it is municipalities that have formal responsibility for paying the counterpart contributions.) Lastly, one barangay captain felt strongly that the 80% attendance rate for BA participation should be relaxed to 50-60%.

Several respondents recommended that SP planning approaches be more integrated. Four respondents suggested that multi-year planning rather than one-year cycles be considered. Furthermore, one MCF recommended that guidance be given to encourage barangays to plan mutually beneficial SPs, citing the example of a network of FMRs being needed in their municipality, not disjointed SPs focusing on benefits at the barangay level only.

Capacity Building

Respondents felt quite strongly regarding capacity building for KC participants. Three CVs, one MCF and an ACT felt that more trainings are essential for KC program success. On a slightly different note, a mayor recommended that some flexibility be introduced for CVs that are serving in positions for which

¹⁷ All KII and FGD respondents were asked if they had any recommendations on improving the KC process; and RPMO and NPMO staff were also asked if they could change three things in the KC process what would it be?

they have already attended trainings, reasoning that they should be exempt if they feel comfortable with their role in KC. Lastly, one MAC suggested that capacity building is a key aspect of the KC cycle:

“In terms of capacity building, I think, you can take short cuts in other phases of the CEAC cycle except in the capacity building of the volunteers... The problems would arise and maybe you can’t solve them”. [MAC]

2. Project Implementation

Funding

Funding is a topic which many respondents felt strongly about. Ten respondents, predominantly mayors and barangay captains, felt that more money was needed within each municipality in order to reach more barangays. On a similar note, six respondents felt that prioritization should be based more closely on the participation of barangays. Two respondents flagged diverging concerns regarding the size of grants for SPs. One respondent recommended that SPs with larger funding requirements be more acceptable because too many barangays felt discouraged from planning more expensive SPs because they felt they would more likely be turned away, as those would leave less funds to be shared throughout the municipality. One CV noted that floors and ceilings should be introduced to prevent SPs which would take too much money from the municipal pool to be funded, while also discouraging barangays from undercutting others’ costs in order to win. Three respondents suggested that the bottlenecks caused by funds flowing too slowly must be addressed to ensure timely completion of SPs. One of the respondents suggested a working capital fund for municipalities to disburse funds at their discretion while waiting for funds to be approved by KC staff. A final interesting set of suggestions regarding funding pertained to the tranche disbursement system in place. Four respondents noted that the three-tranche, 50-40-10 system impeded project completion given delays. A more ideal solution would be adopting the NCDDP approach of a two-tranche 90-10 disbursement system.

Documentation and Manuals

Respondents also held strong views regarding potential recommendations on documentation and manuals. Five respondents feel that documentation requirements must be lessened because they are too onerous for the CVs, and too slow. One MAC pointed out their general frustrations with documentation requirements:

So one of the problems there is their requirement for documents, too many. In a good sense, they meticulously review so of course, it just depends. They are the ones who provide the money but what I mean to say is maybe it could be make simpler, right? Because you just look at their documents, it is an accepted fact here in the Philippine government bureaucracy that we should maintain at least three signatories in a document; that is enough. In the document of KALAHI, there are like ten who sign.... In a way, it means that they are really putting their accountability there, but look at it, if there are ten signatories, then it’s gone, it’s too slow. [MAC]

In terms of manuals and guides, one AC pointed out that all such materials came from the central office in English. In their experience the guides are in English rather than Tagalog because KC program participants are encouraged to learn English, however, in practice the guides are translated into Tagalog and then the local dialect. In the process much time is wasted and important information may be lost in translation. The ACT recommends that guides and manuals be disseminated in Tagalog.

3. Sustainability

Sustainability

Recommendations pertaining to themes of sustainability emerged from the KIIs and FGDs in terms of staffing priorities and applying the program model appropriately. One RPMO noted that strong leadership at the MCT level is essential for a successful and sustainable KC experience within a municipality. Three respondents suggested that more support and stronger incentives such as allowances should be established

for CVs in order to bolster sustainability of KC benefits. In terms of the KC program itself, one respondent recommended that efforts be made to bolster monitoring efforts across the board. Similarly, two respondents suggested that sustainability, efforts such as the SET, should be more strongly enforced.

5.B: Evaluation Recommendations

The rich commentary of respondents, the specificity of challenges, and the multitude of small innovations already taking place suggest that there are many fruitful improvements that can be made to both project structure and implementation. Given the nature and limits of this evaluation, many of the recommendations provided here will require a more detailed analysis of current practice before making specific changes, but the evaluation team would encourage taking action, even in small steps, where practical. In several cases the recommendations encourage increased flexibility, responding to the considerable evidence that the principles of the project are well developed and that the flexibility will allow for more successful implementation.

1. Project Structure

Community Volunteers

1. Review, streamline, and clarify CV roles. This might include: (1) identifying overlaps and perhaps realigning tasks that could more effectively be done by local government staff for example; (2) streamlining required activities (such as the number of consultations required) and required documentation (see more detail below); and (3) distributing volunteer responsibilities across wider range of people (encourage greater empowerment and train more people on leadership).
2. Make a fund available to reimburse volunteers' transportation costs. (In principle, there are funds available but they are routinely insufficient.) One method would be to provide barangays with a transportation fund allotted at the beginning of the project managed by a barangay council.
3. An official CV liaison should be designated by the ACT office. All CVs would be able to go to that person with specific questions, special requests, or any problems that they are facing. This individual should receive special training and report directly to the RPMO; this should not require a full-time position.
4. Steps should be taken to opening up more paid positions to women and having more flexibility about the kind of work women can do – perhaps through incentives that reward barangays for greater women's participations rates. Also provide materials and/or training on mainstreaming gender into the CEAC cycle.

Staffing

5. Consider recruiting CFs locally. Now that the KC project is more mature, recruiting KC personnel from other localities to ensure that they are not subject to local political pressures should be less important. This would make it more likely for them to stay, and to share local knowledge; CFs might also transition to MCFs.
6. Review the current pay scale differences, hiring practices, and incentives for retention of municipal and project staff with a view to facilitating continuity during the KC cycle, reducing disparities between individuals who need to work closely together, and encouraging the development of a core staff in the different localities.
7. Explore ways – through performance goals, guidelines, and specific indicators – to ensure that CFs focus on KC objectives such as encouraging community participation, prioritization of community needs and problems, and citizen engagement, rather than on meeting deadlines and reporting deliverables.

Training

8. Provide training manuals in Tagalog or the appropriate local dialect to ensure its continued use and practicality.
9. For training manuals that are especially dense, revise them into a more user-friendly, step-by-step approach.
10. Consider having shorter (perhaps just 1 or 1.5 days) but more frequent training across the CEAC cycle to decrease the burden on CVs, especially those with small children at home. Shorter refresher training could be provided to experienced CVs.

2. Project Implementation

General

11. Identify ways to promote the Technical Assistance Fund (TAF) more widely as a source of expert assistance.
12. Introduce working capital funds for municipalities to disburse funds at their discretion while waiting for funds to be approved by KC staff.

Timing

13. Consider adjusting the timing of each individual stage, as well as the full CEAC cycle. One example might be giving a longer timeline or a flexible range for the completion of each stage and individual CEAC cycle as well as a higher ceiling for the completion of the full set of 3 cycles + MT cycle. The evaluation shows, for example, that according to some stakeholders the PSA stage was too rushed; that there are often delays in implementation; and that the Transition Stage often requires more time, especially the SET which is done 6 months after project completion. A more flexible and expanded timeline will first, ease the pressure of completing a cycle within a year, enabling advanced or more developed municipalities to finish the stages and cycles within the lower acceptable range of timing while those that are more geographically or otherwise challenged can complete the KC project towards the upper acceptable range of timing. Second, an expanded time period would allow flexibility in the schedule for sub-project implementation especially for harvest and rainy season.

Participation / Barangay Assemblies

14. Relax requirements (or correct misapprehensions) regarding the frequency of assemblies and consultations and the attendance rates, with attendant hardships on residents and volunteers. Options to consider include: (1) reducing the number of consultations in some of the stages, (2) clarifying to staff and volunteers that the 80% attendance figure is not mandatory, and (3) encouraging larger or geographically dispersed barangays to consider holding separate meetings in different locations for added convenience, when maximum participation is essential.

Project Approval

15. Consider requiring site visits prior to the MIBF to allow the PPTs and BRTs to visit all the barangays in the municipality, so that they have a sense of the local context in each barangay before presenting proposals and casting votes for particular projects during the MIBF.
16. Step up efforts to work with barangays whose projects were not selected, to help them locate other funding. CFs could also be given additional training on how to approach and what assistance they could provide to non-prioritized barangays. Additionally, non-prioritized barangays should be considered first for merit in subsequent KC rounds to help them stay motivated with the KC process.

Sub-Project Implementation, O&M, M&E

17. Provide models or training on how to include quality requirements in Programs of Works (POW) to avoid compromising quality for lower costs when awarding contracts.

18. Explore ways to get the B/M LGU to commit non-fungible resources (counterpart funding) for the O&M of sub-projects for a certain minimum number of years to ensure their sustainability. At the same time also allow the final remaining budget which is often not used, to be used for funding O&M for additional years beyond the minimum already funded by the LGU. Also provide additional training on approaches to O&M.
19. Review guidelines for community monitoring and consider inclusion of additional techniques to monitor service outcomes (such as low-cost Trained Observer Ratings that can be carried out by laypeople).

Transition Stage

20. Send a consistent message that the Transition Stage is as important as the earlier stages, and that all steps within this stage must be completed.

KC Monitoring and Evaluation

21. Review all the monitoring indicators for KC, categorizing and retaining only those that are useful for reporting, policy decisions, resource allocation, and corrections in project implementation. Also provide training and guidance on data analysis and use as well as collection and reporting.

Gender Issues

22. Change the negative attitude in some communities about women's employment during project implementation. Explore a separate awareness raising session on this issue specifically (perhaps by modifying the Gender Toolkit as needed?). Also provide additional training/guidance on women's employment issue, targeted specifically to the engineers who are noted by the communities as assigning how many women are to be employed in the project.
23. Further examine the prevalence of and reasons for women being paid less than men. Is this because they are officially an apprentice or because two women may share a job? Or is it discrimination?
24. The evaluation shows one incidence of job discrimination based on gender and pregnancy, including the creation of specific policies prohibiting women from serving in the project while pregnant. The NMPO should examine if this practice is in violation of the Philippine labor law and provide training to project staff in the barangay to avoid this in the future.

3. Sustainability

Streamline the project process

25. Identify activities that may be important for the current stage of implementation that may not be useful in the future.
26. Review current roles of staff and volunteers to identify which activities are most appropriate for citizens to engage in and which be undertaken by LGU staff.
27. Review and streamline documentation requirements. A thorough analysis should be undertaken of the required forms, with the aims of reducing and simplifying them, and reducing redundancy. A suggested process might be as follows:
 - a. Identify the purpose (e.g., to complete a task, for transparency for M&E, compliance with government regulations)
 - b. Identify the user of the document and the use
 - c. For those without a specific user, consider elimination
 - d. Ask user to review and give feedback on what information is necessary (and delete other information requested)
 - e. Review for duplication and redundancy across documents

Handover to the Municipality

28. Make capacity building of MCFs a formal requirement. For example, this could be written into the job descriptions of CFs from the start of the CEAC.
29. Rephrase the description of CEAC Cycle 1 away from “Other stakeholders observe.” The municipality should be expected to be an active participant from the start.

Alignment with LGU Development Objectives

30. Identify avenues to connect the sub-project development process to the municipal and barangay development planning process.
31. Consider adjusting the timeframe of the KC CEAC to align with the municipal budget cycle.
32. Encourage the setting of municipal development priorities to become increasingly based on inclusive and participatory methods. While a focus on internal municipal procedures is beyond the scope of the KC project, the project should work closely with other municipal programs to move in tandem in that direction.

Involvement of Community Organizations in KC

33. Carry out analysis to determine how to increase the participation of CBOs in KC.

4. Further Analytical Work

This evaluation has identified a number of areas where further study would be beneficial. The following are suggestions for other research, analysis, or further evaluation.

1. An analysis of the extent to which sub-projects supported by women get picked for prioritization. The evidence in this evaluation suggests that women are very active in the early stages of the KC cycle, but it is not able to identify whether that translated to actual prioritization of the projects they supported.
2. Survey of barangays with non-prioritized projects. This evaluation focused exclusively on barangays that had received KC funding for projects, but there was evidence that the experience of non-selected barangays was discouraging. It would be an important area of exploration to review what is happening in those barangays, to what extent the projects they prepared do find funding, and whether the barangays are willing to continue participating in new rounds of KC.
3. Critical to the sustainability of the project is the extent to which local governments – and in particular municipalities – are actually adopting CDD practices into their own budgeting and planning processes. This evaluation was only able to glean a few impressions on that process, but it would be extremely useful to conduct a much deeper investigation of this issue. This could include an examination of the current practices of a random selection of KC municipalities, including interviews with municipal staff and other stakeholders, as well as citizen surveys, for example.

Annex A: Matrix with Evaluation Questions, Indicators, and Targeted Informants

Questions	Indicators	National /Regional KIIs		Municipal KII				Barangay KIIs				FGDs		
		National Program Officials	Regional Director/Office	Municipal Mayor	ACT Head	Community Facilitator	Municipal MCT Engineer	Barangay Head of CVS	O&M	Procurement Specialist	Barangay Captain	Community Volunteers	Community Facilitators	Barangay Residents
I. How can program implementation be improved?														
To what extent was the program implemented as planned?	Opinion of officials and stakeholders that program process/stages needed changes or adjustments (more time, steps changed, gender focus added, etc.).	X	X		X	X	X	X					X	X
	Perception of program staff regarding planned and actual finances required for the program	X	X		X	X	X	X	X	X				
	Opinion of program staff regarding planned and actual human resources required for implementation	X	X		X		X	X	X	X				
How is the program received by the target group and program staff?	Perception of program staff regarding possible benefits of participating in the project (Project staff is NOT volunteers)		X		X	X							X	
	perception of project volunteers regarding possible benefits of participating in the project							X	X	X		X		
	Perception of citizens regarding possible benefits to the community from participating in the KC program			X				X			X			X
	Opinion of program staff and community that the KC program led to an improvement in services			X	X	X	X	X	X		X	X	X	X
	Support for the project by the local leadership			X		X	X	X		X	X	X	X	X

Questions	Indicators	National /Regional KIIs		Municipal KIIs				Barangay KIIs				FGDs		
		National Program Officials	Regional Director/Office	Municipal Mayor	ACT Head	Community Facilitator	Municipal MCT Engineer	Barangay Head of CVS	O&M Specialist	Procurement Specialist	Barangay Captain	Community Volunteers	Community Facilitators	Barangay Residents
What are the social, behavioral, cultural, religious, and governance profiles of the community?	Factual, ask appropriate key informant													
What are the barriers and facilitating factors to program delivery?	Problems encountered in carrying out the programs (inadequate budget, burdensome paperwork, inexperienced staff, finding volunteers, difficulty in motivating community..)	X	X	X	X	X	X	X	X	X	X	X	X	X
	Factors that aided program delivery (supportive mayor, familiarity with participatory processes, dynamic volunteers, etc.)	X	X	X	X	X	X	X	X	X	X	X	X	
How was monitoring data used to make program improvements/refinements?	Program staff's familiarity with the data collected to monitor the KC project.		X	X	X	X		X	X	X	X			
	Use of the monitoring data by program staff to identify problems or successes	X	X	X	X	X	X	X	X		X			
	Use of the monitoring data by program staff to make resource allocation decisions	X	X	X	X	X	X	X	X	X	X			
	Use of the monitoring data by program staff to make adjustments to the process or implementation steps	X	X	x	X			X	X	X	X			
Are there any other stakeholders involved in the KC implementation? What are their involvements?	Consultation or cooperation with civil society or the private sector in implementing KC		X	X	X	X					X	X	X	
How does/could the KC process influence regular LGU processes in terms of planning, budgeting, implementation and monitoring?	Perception of municipal staff that the KC process introduced or exposed them to new practices			X			X	X		X				
	Adoption of KC methods, tools, or processes by the LGU into regular			X	X	X	X	X		X				

Questions	Indicators	National /Regional KIIs		Municipal KIIs				Barangay KIIs				FGDs		
		National Program Officials	Regional Director/Office	Municipal Mayor	ACT Head	Community Facilitator	Municipal MCT Engineer	Barangay Head of CVS	O&M Specialist	Procurement	Barangay Captain	Community Volunteers	Community Facilitators	Barangay Residents
	planning, budgeting, procurement, monitoring, etc.													
II. Social Preparation Stage: Is it clear? What is the role of specific stakeholders in this stage and can this stage be improved?														
Feedback on various activities within this state [4 activities: (1) municipal orientation, (2) barangay orientation, (3) PSA, (4) community consultation.]	Feedback on various activities in this stage taking either more or less time than planned			X	X	X	X	X	X	X	X	X	X	
	Perception of constraints/difficulties in this stage across the 4 activities			X	X	X	X	X	X	X	X	X	X	
	Extent to which the trainings received in this stage used by the attendees (questions should name specific relevant trainings for each group)			X	X	X	X	X	X	X	X	X	X	
	Perception of ACT's facilitation during this stage					X	X	X	X	X	X		X	
	Perception of citizen and LGU regarding their involvement in this stage			X	X	X	X	X			X	X	X	X
	Grievances during this stage and if they were addressed			X	X	X		X			X	X	X	X
	Feedback on how this stage could be improved	X	X	X	X	X	X	X	X	X	X	X	X	X
How did the barangay identify and select the volunteers?	Factual, ask appropriate key informant	NO						X			X			
How well did the Participatory Situational Analysis (PSA) output reflect the condition of the barangay?	Feedback on whether the PSA accurately reflected the conditions of the barangay			X	X	X	X	X	X	X	X	X	X	X
	Feedback on the facilitation of the PSA				X	X	X	X			X	X	X	X
	Feedback from program officials if the PSA was adjusted to capture and address barangay specific factors				X	X		X			X	X	X	
III. Project Identification, Selection, and Planning Stage: Is it clear? What is the role of specific stakeholders in this stage and can this stage be improved?														

Questions	Indicators	National /Regional KIIs		Municipal KIIs				Barangay KIIs				FGDs		
		National Program Officials	Regional Director/Office	Municipal Mayor	ACT Head	Community Facilitator	Municipal MCT Engineer	Barangay Head of CVS	O&M Specialist	Procurement	Barangay Captain	Community Volunteers	Community Facilitators	Barangay Residents
Feedback on various activities within this stage [5 activities: (1) criteria setting workshop, (2) project development workshop, (3) preparation of detailed proposals, (4) community consultations, (5) MIAC technical review of the process.]	Feedback on various activities in this stage taking either more or less time than planned	X	X		X	X	X	X	X	X		X	X	X
	Perception of constraints/difficulties in this stage across the 5 activities (what does "5 activities" referring to?)	X	X	X	X	X	X	X	X	X	X	X	X	X
	Extent to which the trainings received in this stage used by the attendees				X	X	X	X	X	X	X	X	X	
	Perception of ACT's facilitation during this stage		X		X	X	X	X	X	X	X	X	X	
	Perception of citizen and LGU involvement in this stage			X	X	X	X	X			X	X		X
	Grievances during this stage and if they were addressed			X	X	X		X		X	X	X	X	X
	Feedback on how this stage could be improved	X	X	X	X	X	X	X	X	X	X	X	X	X
How are the sub-projects prioritized?	Factual, ask appropriate key informant							X			X	X	X	X
How well did the prioritized sub-projects reflect the needs of the barangay?	Officer feedback on if the prioritization process ensures that the sub-projects are based on the needs of the barangay and needs of marginalized groups including women and children [what is meant by "officer"?)			X				X		X	X	X	X	X
	Feedback on main beneficiaries of the prioritized sub-projects. Any marginalized groups? Women?			X	X			X			X	X	X	X
IV. Project Approval Stage: Is it clear? What is the role of specific stakeholders in this stage and can this stage be improved?														
Feedback on various activities within this stage [5 activities: (1) community consultations, (2) prioritization and	Feedback on various activities in this stage taking either more or less time than planned	X	X	X	X	X	X						X	

Questions	Indicators	National /Regional KIIs		Municipal KIIs				Barangay KIIs				FGDs		
		National Program Officials	Regional Director/Office	Municipal Mayor	ACT Head	Community Facilitator	Municipal MCT Engineer	Barangay Head of CVS	O&M Specialist	Procurement Specialist	Barangay Captain	Community Volunteers	Community Facilitators	Barangay Residents
approval of proposals, (3) community consultations, (4) MIBF-EC Review of Pending Proposals (5) MIBF-MDC engagements.]	Perception of constraints/difficulties in this stage across the 5 activities	X	X	X	X	X	X	X			X		X	
	Extent to which the trainings received in this stage used by the attendees			X	X		X	X				X	X	
	Perception of ACT's facilitation during this stage			X	X		X							
	Perception of citizen and LGU of their involvement in this stage			X				X						X
	Grievances during this stage and if they were addressed			X			X	X	X	X	X	X	X	X
	Feedback on how this stage could be improved			X	X		X	X						
V. Implementation, SP, O&M Plan and M&E Stage: Is it clear? What is the role of specific stakeholders in this stage and can this stage be improved?														
Feedback on various activities within this stage [3 activities: (1) pre-implementation work plan, (2) implementation of SP and M&E, (3) implementation of O&M plan.]	Feedback on various activities in this stage taking either more or less time than planned	X	X	X	X	X	X	X	X	X	X	X	X	X
	Perception of constraints/difficulties in this stage across the 3 activities				X	X	X	X	X	X	X	X	X	
	Extent to which the trainings received in this stage used by the attendees				X	X	X	X	X	X	X	X	X	
	Perception of ACT's facilitation during this stage					X	X	X	X	X	X		X	
	Perception of citizen and LGU of their involvement in this stage							X			X	X	X	X
	Grievances during this stage and if they were addressed			X		X		X	X	X	X			X
	Feedback on how this stage could be improved	X	X			X	X	X	X	X	X		X	X
How are the paid workers selected? And who makes the decision?						X		X			X	X	X	

Questions	Indicators	National /Regional KIIs		Municipal KIIs				Barangay KIIs				FGDs		
		National Program Officials	Regional Director/Office	Municipal Mayor	ACT Head	Community Facilitator	Municipal MCT Engineer	Barangay Head of CVS	O&M Specialist	Procurement Specialist	Barangay Captain	Community Volunteers	Community Facilitators	Barangay Residents
What are the challenges in data collection?	ACT feedback on completeness, quality and timeliness in collection of project data		X		X	X		X			X		X	
	Challenges in data collection	X	X		X						X			
Is the sub-project implementation process on track to be sustainable?	O&M challenges faced by the sub-projects			X		X	X	X	X		X			
VI. Transition Stage: Is it clear? What is the role of specific stakeholders in this stage and can this stage be improved?														
Feedback on various activities within this state [2 activities: (1) community-based evaluation, (2) accountability review and reporting, (3) PSA, (4) community consultation.]	Feedback on various activities in this stage taking either more or less time than planned		X	X	X		X	X	X		X	X	X	
	Perception of constraints/difficulties in this stage across the 2 activities	X	X	X	X		X	X	X		X	X	X	
	Extent to which the trainings received in this stage used by the attendees						X	X	X		X	X	X	
	Perception of ACT's facilitation during this stage				X			X			X			
	Perception of citizen and LGU of their involvement in this stage			X				X			X			
	Grievances during this stage and if they were addressed			X	X	X		X	X		X			
	Feedback on how this stage could be improved	X	X		X	X	X	X						
VII. General Sustainability of KC														
Sustainability of KC in the absence of national funding	Feedback from staff and citizens on ideas regarding sustainability in the absence of national funding	X	X	X				X			X			X
	Extent to which municipalities follow good performance management practices to make better resource allocation decisions	X	X	X				X						
	Extent to which there has been a gradual handoff from ACT to MCT	X	X	X	X			X	X		X			

Annex B: Master List of KII Guide Questions

	Q No.	Text	NPMO	RPMO	Mayor	Barangay Captain	ACT Head / MAC / MM	DAC/Municipal Engineer	CFS / MCFS	PSA Head	BSPMC	CBMT	PPT	BRT	PIT	Procurement Team	O&M Committee
Role in the program	0.1	What were your main responsibilities in the Kalahi program/Kalahi sub-project?					X	X	X	X	X	X	X	X	X	X	X
	0.2	Had you worked in the Kalahi program for previous cycles?					X	X	X	X	X	X	X	X	X	X	X
	0.3	What was your role in the Kalahi program?			X												
	0.4	What was your role in the KALAHI-CIDSS program's last completed sub-project?				X											
Purposes of the program	1.1	To your knowledge or understanding, what are the objectives of the Kalahi program?			X	X											
	1.2	To what extent do you think the KALAHI-CIDSS program has achieved its objectives?			X	X											
	1.3	In your opinion and to your knowledge what are the goals of the KALAHI-CIDSS program?	X	X													

	Q No.	Text	NPMO	RPMO	Mayor	Barangay Captain	ACT Head / MAC / MM	DAC/Municipal Engineer	CFs / MCFS	PSA Head	BSPMC	CBMT	PPT	BRT	PIT	Procurement Team	O&M Committee
	1.4	Do you think the program attained the specific goals of each subsequent MCC cycle culminating in the MT?	X	X			X										
Alignment with LGUs	2.1	What has been the main contribution of the Kalahi program to local services and daily life in the barangays?		X													
	2.2	Are there any processes introduced by the Kalahi program that have been adopted by the LGUs [municipality OR barangay] after the program's implementation there? Please, provide some examples, if any.			X	X	X										
	2.3	Is the Kalahi program aligned with the goals and objectives stated in your Municipal Development Plan? Please, explain.			X												
	2.4	Were any of the sub-projects funded under Kalahi included in your municipal/barangay development plan?			X	X											
	2.5	Has the Kalahi program influenced how the municipality makes its policy decisions and conducts its policy programs and affairs? In what ways?			X		X										

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Social Preparation stage	3.1	Please, indicate who was involved in each step? How did they participate in each step?							X	X							
	3.2	Describe your experience during social preparation. What positive experience/s did you have? What were the challenges? Please describe.					X		X	X							
	3.3	In your opinion did the participatory situational analysis (PSA) accurately reflect the conditions of your/each different barangay?			X	X	X			X							
	3.4	Based on your experience, did the social preparation stage require any adjustments to what was originally planned?					X		X	X							
Project Identification, Selection and Planning (PISP) Stage	4.1	Please, indicate who was involved in each step? How did they participate in each step?					X	X	X	X			X				
	4.2	What criteria were used to prioritize the subprojects? How were those criteria selected?					X	X	X	X			X	X			

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	4.3	Describe your experience with the steps of the PISP stage. What positive experience/s did you have? What were the challenges? Please describe.					X	X	X	X			X				
	4.4	Based on your experience, did the PISP stage require any adjustments to what was originally planned?							X	X			X				
Project Approval Stage	5.1	Please describe who was involved in each step of the Project Approval stage.				X								X			
	5.2	Describe your experience during Project Approval stage? What positive experience/s did you have? What were the challenges? How were these challenges addressed or solved?				X	X							X			
	5.3	Based on your experience, did the Project Approval stage require any adjustments to what was originally planned?				X								X			
	5.4	What happened to the non-prioritized projects?				X	X							X			

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Sub-project Implementation (SPI) and O&M Plan	6.1	Please tell me who was involved in each step within the SPI stage. Describe all the activities you did at this stage.									X	X			X	X	X
	6.2	Describe your experience during SPI. What positive experience/s did you have during SPI? What were the challenges that affected SPI? How were these challenges addressed or solved?				X	X	X			X	X			X	X	X
	6.3	Based on your experience, did the SPI stage require any adjustments compared with what was originally planned?						X	X		X	X			X	X	X
	6.4	How did you ensure the quality or compliance with standards/specifications for infrastructure subprojects or quality of trainings for livelihood subprojects, of the completed sub-project?						X	X		X	X			X	X	
	6.5	Was the sub-project completed within the prescribed timeframe?				X		X	X		X	X			X	X	
	6.6	Was funding sufficient to cover the planned cost of the sub-projects?				X		X	X		X	X			X	X	X

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	6.7	How was your experience with the KC procurement process?									X				X	X	
	6.8	Based on your O&M plan, describe the concrete actions undertaken to maintain the sub-project over time.									X				X	X	X
	6.9	Based on the O&M plans in the barangays, please describe the concrete actions undertaken to maintain the sub-project over time. Remember that we are talking about all the subprojects completed across all MCC cycles.					X	X									
	6.10	Were there any challenges that you faced regarding implementing the O&M?						X	X		X				X	X	X
	6.11	Based on your experience, please describe how the monitoring and inspection of SPI was undertaken.						X	X		X	X			X		
	6.12	Can you tell us who was/were involved in each activity? How engaged were they in each activity?						X	X		X	X			X		

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	6.13	What positive experience/s did you have? What were the challenges? How were these challenges addressed or solved?						X	X		X	X			X		
	6.14	During the last completed cycle, can you remember the reporting documents that community volunteers had to fill out for each step and stage?							X								
	6.15	Can you remember the reporting documents you had to fill out for the KALAHI-CIDSS program?								X	X	X	X	X	X	X	X
	6.16	Did the monitoring and inspection process require any adjustments compared with what was originally designed? (Ask if needed more or less time, elements, finance, human resources required.)						X	X		X	X			X		
	6.17	What is your view of the documentation required by the Kalahi program? Is it collected efficiently? Is it easy to complete? Do you receive complaints that it is burdensome to complete? Would you recommend maintaining, eliminating or adding to the requirements?	X	X			X										

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	6.18	To your knowledge, has the monitoring data of the Kalahi program/sub-project(s) ever been used? If yes, how?	X	X			X										
Transition Stage	7.1	Who was involved in each step of the Transition stage? How engaged were they?					X		X			X					
	7.2	Describe your experience during the transition stage? What positive experience/s did you have? What were the challenges? How were these challenges addressed or solved?				X	X		X			X					
	7.3	Based on your experience, did the transition stage activities require any adjustments compared with what was originally planned?					X		X			X					
	7.4	Have you received any feedback on the Barangay and Municipal Accountability Reporting?			X	X	X										
	7.5	Were the results of the community-based monitoring and evaluation (CBME) shared with the barangay residents? If yes, how?				X	X					X					

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Training & Professional Development	8.1	What kind of information and trainings did you receive to implement the Kalahi program?					X	X	X	X		X	X	X	X	X	X
Grievances	9.1	What are the common feedback/issues/grievances raised about KC program in your [barangay/municipality]? How were they answered or resolved? In your opinion, could this have been handled differently?				X	X		X		X						
	9.2	How does the community relay any questions, feedback or complaints about KALAHİ?				X	X				X						
Benefits	10.1	Describe the benefits, if any, brought by the implementation of Kalahi to you and your barangay or municipality?			X	X	X				X	X	X	X	X	X	X
	10.2	Are there any changes in local social services as a result of the KALAHİ program?			X	X	X				X	X	X	X	X	X	X
	10.3	Have there been any changes in local social services not due to the KALAHİ program?			X	X	X				X	X	X	X	X	X	X

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Staffing	11.1	How did you find the expected roles and responsibilities in your signed Contract of Service?					X		X								
	11.2	Have you obtained any feedback on your performance in the program? If yes, from who?					X		X								
	11.3	Are there any challenges you faced on a regular basis in your position?					X		X								
	11.4	Can you describe your experience in mobilizing and managing the community volunteers?					X		X		X						
	11.5	Have any of your staff previously worked on a Kalahi project?					X										
	11.6	What were the challenges of establishing and maintaining the MCT?			X		X										

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	11.7	What are the challenges in recruiting effective community volunteers?				X	X		X								
Sustainability	12.1	To your knowledge, to what extent has the Makamasang Tugon (MT) cycle been implemented by the MCT?	X	X	X	X	X										
	12.2	How ready do you think municipalities and barangay residents are to conduct community-driven development (CDD) processes like the KALAH-CIDSS program in the absence of national funding?	X	X													
	12.3	Please, describe how ready the municipality and the barangay would be to continue using the participatory processes from the KALAH-CIDSS program in the absence of national funding.			X	X	X										
	12.4	Do you think the turnover of responsibilities from the ACT to the MCT in a three year cycle is enough time?	X	X	X	X	X										

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	12.5	What further assistance other than financial do the LGUs need to help sustain the Kalahi process?	X	X	X	X	X										
	12.6	Given your experience during the last cycle completed, what lessons did you learn in the process of Kalahi implementation?		X	X	X	X										
General Program Implementation	13.1	In your opinion, has the program been implemented as designed?	X	X	X	X											
	13.2	Could you talk briefly about your general impression of each stage of the standard CEAC cycle as implemented?	X			X											
	13.3	Could you talk briefly about your general impression of the challenges of each stage of the standard CEAC cycle as implemented in municipalities in your region?		X													
	13.4	How would you characterize the performance of the ACTs and MACs in general?	X	X													
	13.5	Did you encounter any difficulties in finding qualified staff for the ACT positions		X													

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Recommendations	14.1	Do you have any other recommendations to help improving the KALAH! Program?		X	X	X	X	X	X	X	X	X	X	X	X	X	X
	14.2	If you could easily make three changes in Kalahi, what would those be?	X														

Annex C: Sample Municipalities for Process Evaluation

Region	Municipality	Last Completed Cycle Based on the Interview with the Current AC	Suggested Barangay 1 Based on the Availability of ACT/MCT			
			Barangay 1		Barangay 2	
			Name	Sub-project	Name	Sub-project
CAR	Pasil, Kalinga	Guaranteed, Cycle 2	Guina-ang	Footpath	Galdang	Fall Protection
	Besao, Mountain Province	Crossover, Cycle 3	Agawa	Farm-to-market Road	Banguitan	Drainage System
IV-A	General Luna, Quezon (PILOT)	Cycle 1	Sta. Maria Ilaya	Farm to market road	San Ignacio Ilaya	Farm-to-market road
IV-B	Cuyo, Palawan	Cycle 2	Tucadan	Livelihood Project	Pawa	Road Concreting
V	Rapu-Rapu, Albay	MT	Villa Hermosa	Sea Wall	Buhatan	School Building
VI	Jamindan, Capiz	MT, Cycle 2	Maantol	Farm to market road	Bayebaye	Farm to market road
VII	Manjuyod, Negros Oriental	Cycle 2	Tupas	Training Center	Bolisong	School Building
VIII	Barugo, Leyte	Random, Cycle 2	Banuyo	Tire Path	Hinugayan	School Building
IX	Malangas, Zamboanga Sibugay	Pamana, Cycle 1	Sinusayan	Bagsakan	Palalian	Provision of farm facilities
VII	Tangalan, Aklan	Cycle 2	Afga	Classroom	Baybay	Sea Wall
XI	Kapalong, Davao del Norte	Random, Cycle 2	Florida	School building	Luna	Solar Light (Electrification)
VI	Burauen, Leyte	Cycle 2	Barangay Limburan	Tire Path	Barangay Hibunawan	Classroom
Caraga	Gigaquit, Surigao del Norte	KCAF, Cycle 2	San Isidro	Barangay Health Station	Villaflor	Solar Panel Installation