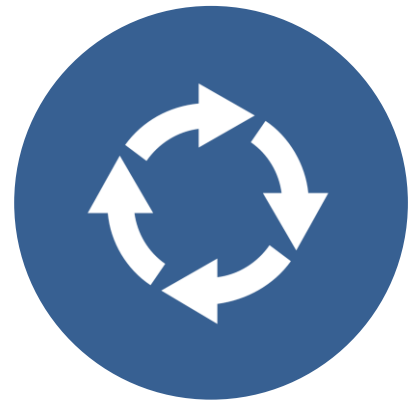


# MONITORING SUB-MANUAL



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# LIST OF COMMONLY-USED ABBREVIATIONS & ACRONYMS

ARD	Assistant Regional Director
CBLA	Cash for Building Livelihood Assets
CCG	Community Core Group
CEEDO	Community-Driven Enterprise Development Officer
CSO	Civil Society Organization
DPM	Deputy Program Manager
ERO	External Relations Officer
FGD	Focus Group Discussion
IMB	Information Management Bureau
KC-NCDDP	KALAHI-CIDSS National Community-Driven Development Project
KII	Key Informant Interview
LSWDO	Local Social Welfare Development Office
LGU	Local Government Unit
M&E	Monitoring and Evaluation
MAT	Municipal Action Team
MIAC	Municipal Inter-agency Committee
MOV	Means of Verification
NGA	National Government Agency
NGO	Non-Government Organization
NHTS-PR	National Household Targeting System for Poverty Reduction
NPMO	National Program Management Office

PDO	Program Development Officer
PMEF	Planning, Monitoring, Evaluation, and Finance
PPDAW	Provincial Project Development and Assessment Workshop
RBME	Results-Based Monitoring and Evaluation
RD	Regional Director
RPC	Regional Program Coordinator
RICTMU	Regional Information and Communication Technology Unit
RPMO	Regional Program Management Office
RD	Regional Director
RF	Results Framework
SEA-K	Self-Employment Assistance – Kaunlaran
SCF	Seed Capital Fund
SLP	Sustainable Livelihood Program
SLPA	SLP Association
SLPIS	Sustainable Livelihood Program Information System
ST	Skills Training
SWDI	Social Welfare Development Indicators
TA	Technical Assistance
TO	Training Officer

# PURPOSE OF THE MANUAL

This Monitoring Sub-manual seeks to provide guidance on the monitoring flow and tools of the Sustainable Livelihood Program (SLP), based on its results-based monitoring and evaluation (RBME) framework.

In particular, this Sub-manual seeks to discuss salient points on the ff. relevant topics:



**SLP RBME:** Results framework, Key indicators, and Assumptions



**Monitoring & Reporting Flow:** Unified M&E Flow, Roles, and Responsibilities



**SLPIS Online System:** Rationale, Data Review & Approval Process Flow



**SLPIS Forms & Guides:** General Guidelines & Overview of the SLPIS Forms

## USERS OF THE MANUAL

The direct users of this Sub-manual are all SLP staff in the National Program Management Office (NPMO) and all Regional Program Management Offices (RPMOs). This Sub-manual recognizes that all program staff are heavily involved in results and operations monitoring and, consequently, the operationalization of this Sub-Manual.

Indirect users of this Sub-manual include other DSWD offices / units and SLP's public and private partners such as other NGAs, LGUs, CSOs, academe, development agencies, and other key stakeholders.

## SCOPE & LIMITATIONS

The Sub-manual is based on the SLP Results Framework as of April 2015, crafted in consultation with the SLP-RPMOs during the *Technical Consultation cum Data Validation Workshop on the SLP RBME Framework and M&E Manual* held last 06-17 April 2015. Any future major changes in the Results Framework may affect the monitoring guidelines, flow, and tools stated in this Sub-manual.



SECTION I.

# **PROGRAM RESULTS FRAMEWORK**



# I.1 RBME FREQUENTLY-ASKED QUESTIONS (FAQs)

## WHAT IS RESULTS-BASED MONITORING & EVALUATION (RBME)?

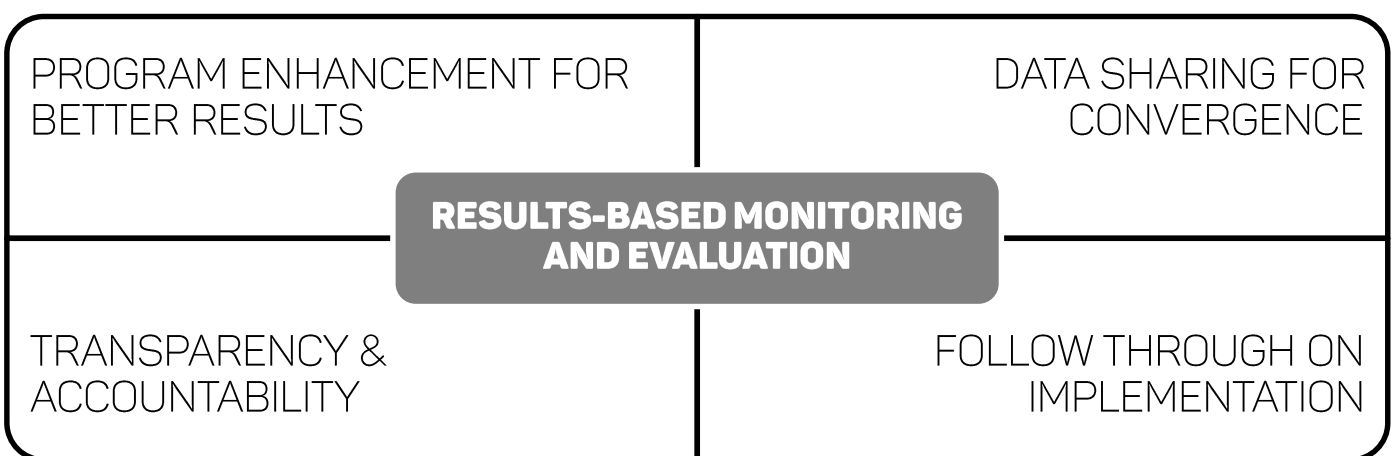
RBME seeks to assess a program’s performance on the basis of outcomes and impacts that the program is expected to produce. It measures and reports on results, and is therefore a dynamic tool for directing planning and budgeting efforts towards results.<sup>1</sup>

## WHY RBME?

RBME should not be seen as an add-on or a post-implementation activity; rather, it is an **integral stage which permeates the entire implementation process** to:

- ✓ Ensure that project implementation is aligned with SLP’s intended results
- ✓ Answer the “so what?” question in relation to the implementation process
- ✓ Generate and communicate results-based information to key stakeholders in a timely manner for program enhancement, data sharing for convergence, transparency, accountability, and follow-through implementation

Figure 1. Key Objectives of Results-based Monitoring & Evaluation



<sup>1</sup> Based on the DSWD Unified Results-Based Monitoring and Evaluation (URBME) Manual

## WHAT'S THE DIFFERENCE BETWEEN MONITORING AND EVALUATION?

**Monitoring and evaluation are distinct yet complementary.** Monitoring provides a description of where the Program is relative to its desired outcomes, whereas evaluation seeks to provide evidence of why the Program did or did not achieve its desired outcomes.

*Table 1. Distinction between Results-based Monitoring and Evaluation*

	RESULTS-BASED MONITORING		RESULTS-BASED EVALUATION
	<i>Operations</i>	<i>Results</i>	
<i>Scope</i>	Efficiency <i>"How well did we do it?"</i>	Effectiveness <i>"So what?"</i>	Program Enhancement <i>"Are the right things being done?"</i> <i>"Are things being done right?"</i> <i>"Are there better ways?"</i>
<i>Link to the Results Framework</i>	Inputs, Activities, and Outputs	Immediate Outcomes, Intermediate Outcomes	Impact
<i>Frequency</i>	Continuous		Sporadic
<i>Involved</i>	Internal project staff and managers		Internal project staff and managers, External evaluators

## WHO ARE INVOLVED IN RBME?

**Everyone is involved in RBME.** All internal Program staff—both regional and national levels—are heavily involved. For instance, the field PDO has a pivotal role in RBME since it starts (data collection) and ends (follow through on implementation using results-based data) with the PDO.

## WHEN IS RBME USED?

**RBME is *not* used only after project implementation.** Monitoring is a continuous activity done simultaneously with the other stages, whereas evaluation can be conducted anytime depending on the key objectives and questions of the evaluation study.

## HOW IS OPERATIONS MONITORING RELATED TO RBME?

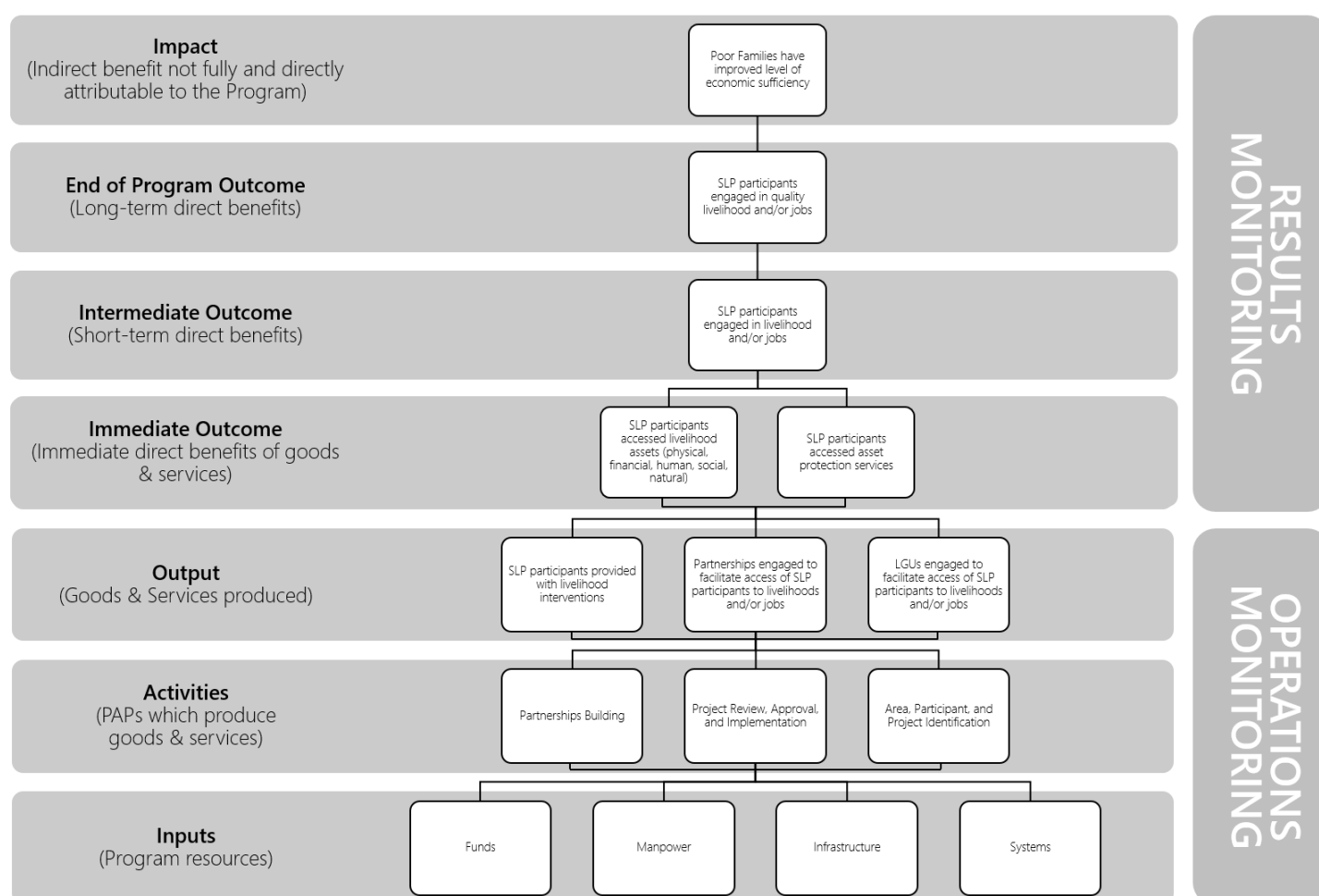
**RBME entails *both* results monitoring and operations monitoring.** RBME highlights the connection and interrelation between the Program's inputs, activities, and outputs (operations monitoring) to the Program's desired outcomes and impact (results monitoring). Concretely, this is shown through setting outcome targets based on what the inputs, activities, and outputs can potentially yield.

# I.2 RESULTS FRAMEWORK

For streamlined monitoring processes, the Program’s operations monitoring and results monitoring will be synchronized and linked through the SLP Results Framework.

See below for the framework and **Annex A.1** for the high-resolution version. For SLP RBME posters and learning materials, please refer to **Annexes A.2-A.3**.

Figure 2. SLP Results Framework

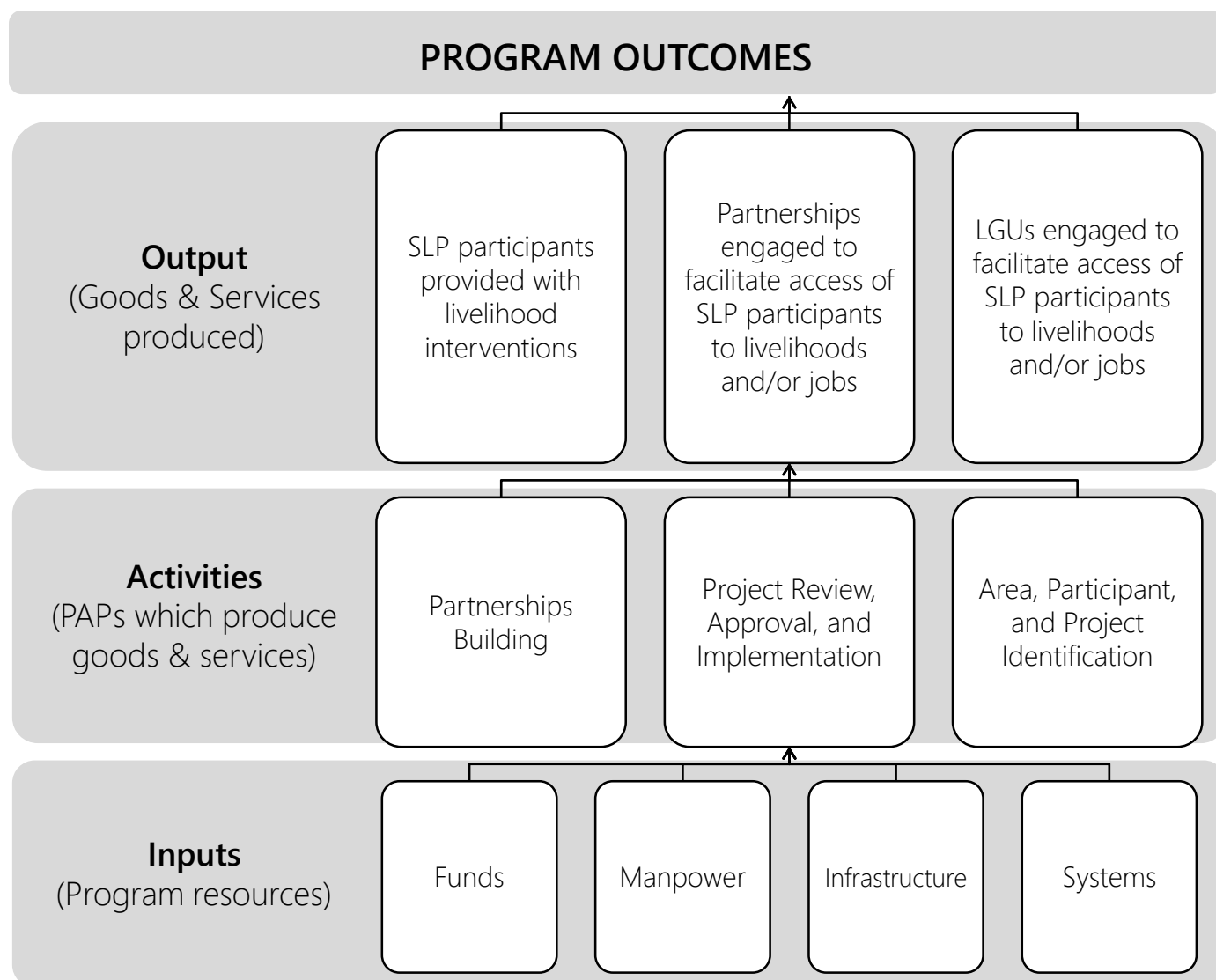


## I.2.1 OPERATIONS MONITORING

Operations monitoring aims to track the program’s inputs, activities, and outputs, which is commonly done in most programs and projects. It is therefore not surprising that SLP monitoring has predominantly been focused on operations monitoring, as demonstrated by the regular use of Work and Financial Plans (WFP), Schedules of Activities, staffing / organizational plans, status reports on SLP project implementation, among others.

There is a need, however, to situate operations monitoring tools and reports within the SLP Results Framework and analyze program inputs, activities, and outputs in view of the program’s desired outcomes.

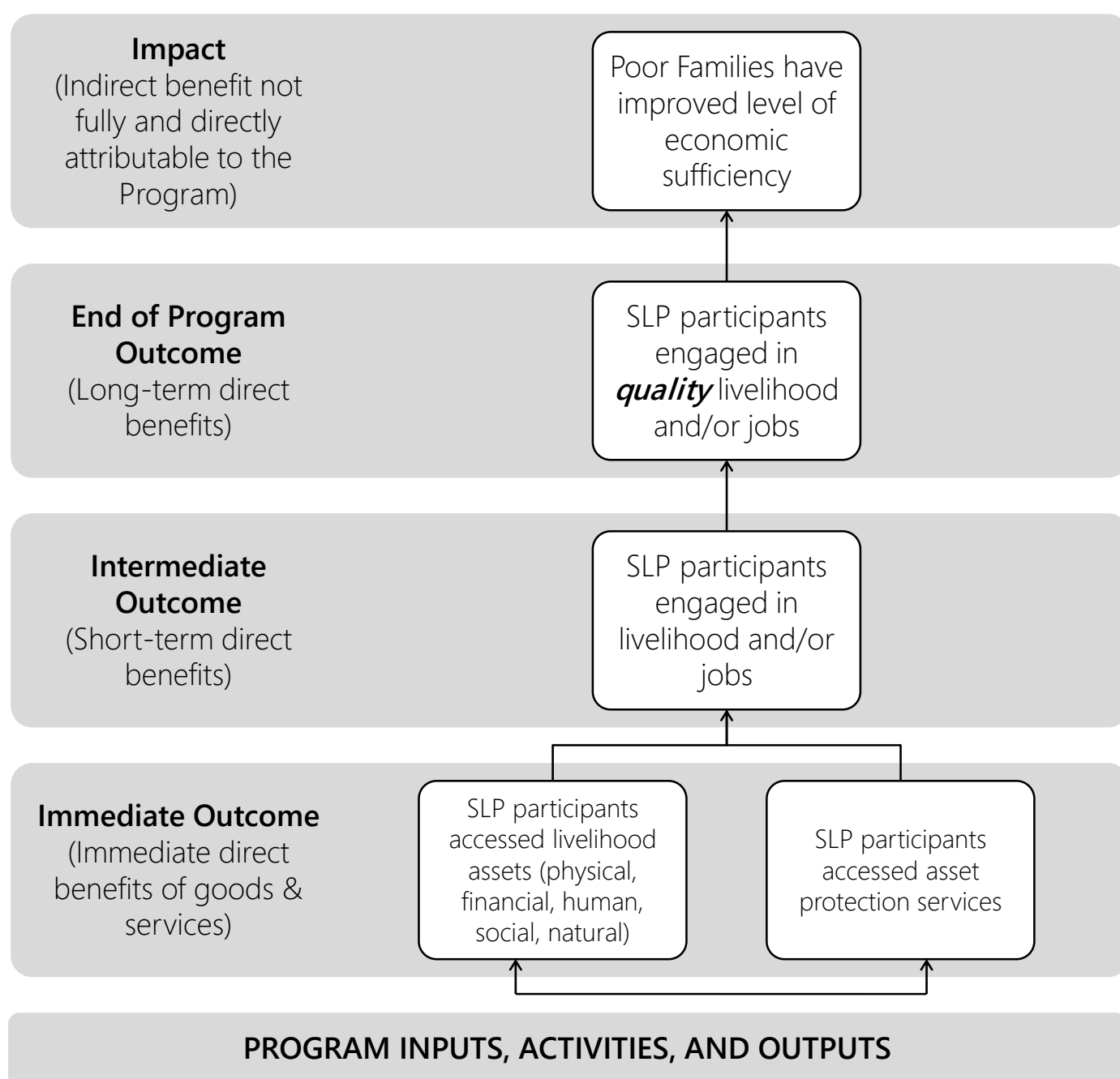
*Figure 3. SLP Results Framework: Operations Monitoring*



## I.2.2 RESULTS MONITORING

With the increasing relevance and urgency of effective and efficient program implementation, there is a need for the program to measure and analyze accomplishment data based on its desired outcomes. The figure below outlines the program outcomes and impact, based on key agreements from consultation within NPMO and with RPMOs.

Figure 4. SLP Results Framework: Results Monitoring



## I.3 KEY PERFORMANCE INDICATORS

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In line with the SLP Results Framework, the program's Key Performance Indicators will be based on the End-of-Program Outcome (EOPO) and Intermediate Outcome (IO). Therefore, the EOPO and IO indicators will be used as basis for reporting program performance, specifically:

- ✓ **Quantity** indicator will be based on the **IO indicators**;
- ✓ **Quality** indicator will be based on the **EOPO indicators**; and
- ✓ **Timeliness** indicator will be based on the achievement of the program targets within the set period.<sup>2</sup>

As the EOPO and IO indicators are used for program performance measurement, it must be noted that they are interrelated with the EOPO indicators having higher standards/requirements compared to the IO indicators. **While IO indicators focus on the quantity of the participants with livelihood and/or jobs, the EOPO indicators focus on the quality of the livelihood and/jobs of the SLP participants**, looking at the SLP participant's / Association's income and their microenterprise activity and/or employment duration. See **Subsections I.3.1-1.3.2** for the specific EOPO and IO indicators.

To link SLP operations monitoring and results monitoring in terms of performance measurement, there is a need to assess if program outputs contribute to the program's desired outcomes. Towards this end, **the program output indicator for SLP participants provided with livelihood interventions will also be monitored**, in particular the number of participants served through each SLP modality.<sup>3</sup> This will enable measuring and comparing which SLP modalities lead to better outcomes for the program participants and associations, for program design enhancement.

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<sup>2</sup> In line with DSWD's planning and budget cycle, the period for program targets is usually annual.

<sup>3</sup> Current SLP modalities include SEA-K or Seed Capital Fund (SCF), Skills Training, Cash for Building Livelihood Assets (CBLA), and Pre-Employment Assistance Fund (PEAF).

## Section I. Program Results Framework

### Subsection I.3 Key Performance Indicators

It must be emphasized that the **program's key performance indicators are based on the program's EOPO and IO indicators, and not the output indicators.** Therefore, program accomplishment on participants provided with livelihood interventions such as seed capital fund, skills training, cash for building livelihood assets, or pre-employment assistance are not counted as EOPO unless they reach the minimum standards set by the definition of the EOPO indicators.

#### I.3.1 END OF PROGRAM OUTCOME (EOPO)

**SLP participants engaged in quality livelihoods**

% of SLP participants involved in an active microenterprise, i.e., has ongoing business operations for the past 3 months and is at least breakeven.

**SLP participants engaged in quality jobs<sup>4</sup>**

% of SLP participants who are being paid and:

- (1) have a regular or permanent job; or
- (2) have worked for at least 4 months (at least 704) during the past 6 months;
- (3) are currently working and have worked for at least 3 consecutive months (at least 528 hours)

#### I.3.2 INTERMEDIATE OUTCOME

**SLP participants engaged in livelihoods**

No. of SLP participants who have or are involved in a microenterprise with ongoing business operations

**SLP participants engaged in jobs**

No. of SLP participants who are employed

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<sup>4</sup> For consistency, the EOPO indicator for SLP participants engaged in quality jobs is based on the SWDI indicator for employment.



## I.4 ASSUMPTIONS

Although the program logic outlined in the SLP Results Framework is achievable and measurable, program management and staff must always be cognizant that there are assumptions and risks per result level which the program assumes and must therefore monitor and treat, if needed. Towards this end, the SLP Risk Register and Treatment Plan and Integrity Management Plan are all based on the SLP Results Framework.

### End of Program Outcome

- ✓ Livelihoods are assumed to be market-driven and asset-based.
- ✓ Public and private partners fully support and complement with SLP. LGUs foster an enabling environment for SLP and its participants to be able to engage in quality livelihood and/or jobs.
- ✓ Asset protection services are adequate for disaster resiliency of livelihood and/or jobs. There is no major calamity/disaster, whether natural or man-made, that would disrupt the economy.

### Intermediate Outcome

- ✓ Public and private partners extend resources to, purchase products from, and employ SLP participants.
- ✓ LGUs foster an enabling environment for SLP and its participants to be able to engage in livelihood and/or jobs.

### Immediate Outcomes

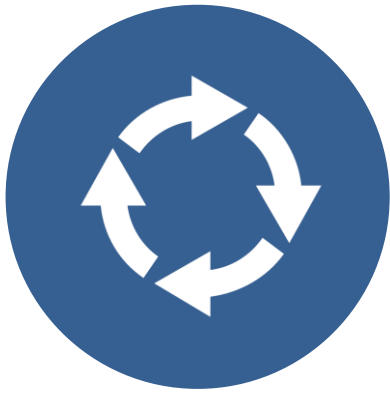
- ✓ Public and private partners extend resources to SLP and its participants for access to livelihood assets and asset protection services.
- ✓ LGUs foster an enabling environment for SLP and its participants to have access to livelihood assets and asset protection services.
- ✓ For asset protection: SLP participants have assets which can be subject to asset protection services.

### Outputs

- ✓ Participants are willing to be involved in projects for access to employment or for livelihood.

### Activities

- ✓ There is full support to the program by partners, i.e. NGAs, LGUs, other stakeholders



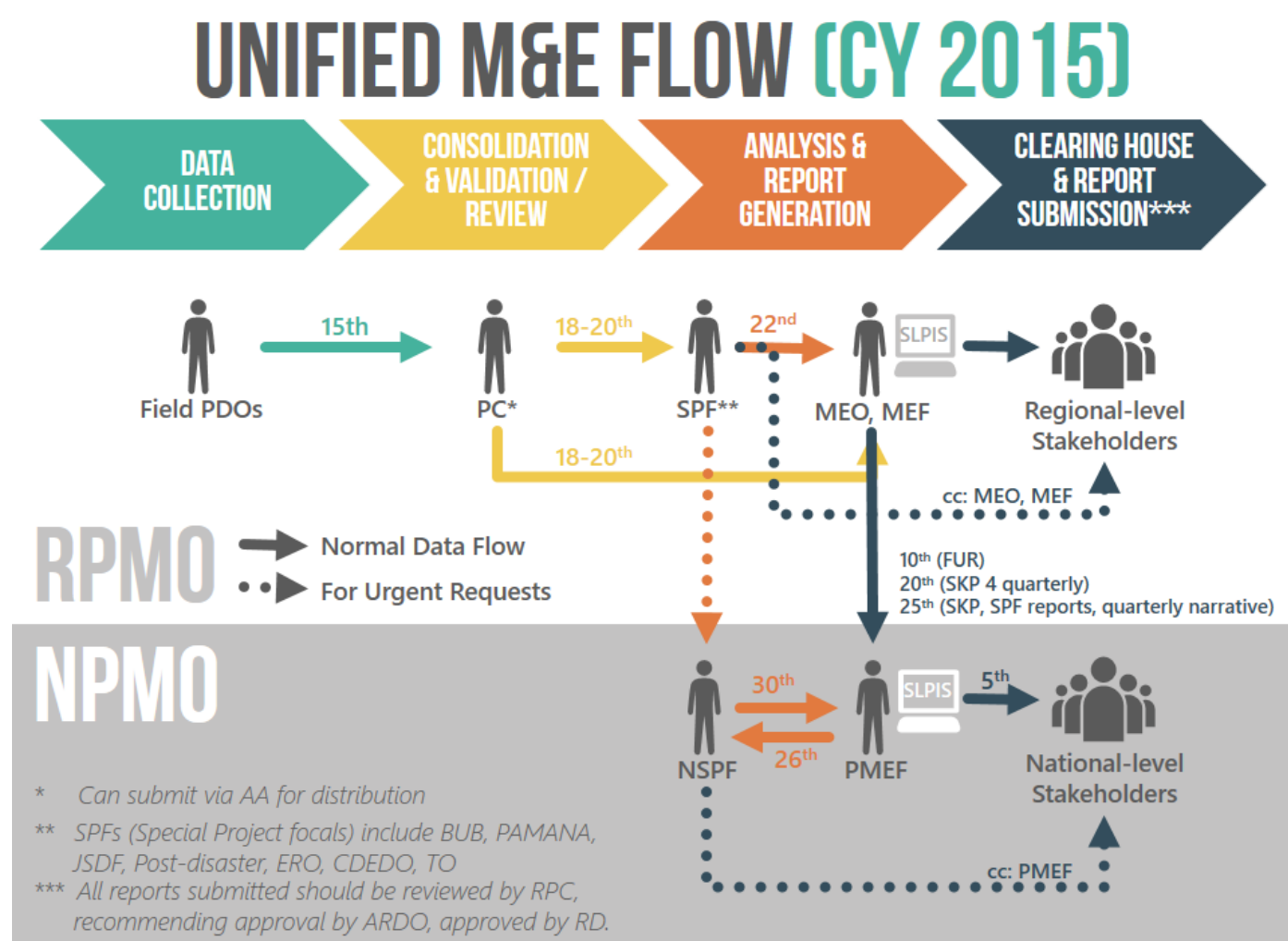
SECTION II.

# **MONITORING & REPORTING FLOW**

# II.1 UNIFIED MONITORING & REPORTING FLOW

Monitoring is not the sole responsibility of M&E staff; rather, it is a shared responsibility among program staff at all levels. The interconnection of key SLP staff and their corresponding monitoring roles and responsibilities can be seen in the unified monitoring and reporting flow for CY 2015, based on key agreements during the *Technical Consultation cum Data Validation Workshop on the SLP RBME Framework and M&E Manual* held last 06-17 April 2015.

Figure 5. Unified Monitoring & Reporting Flow for CY 2015



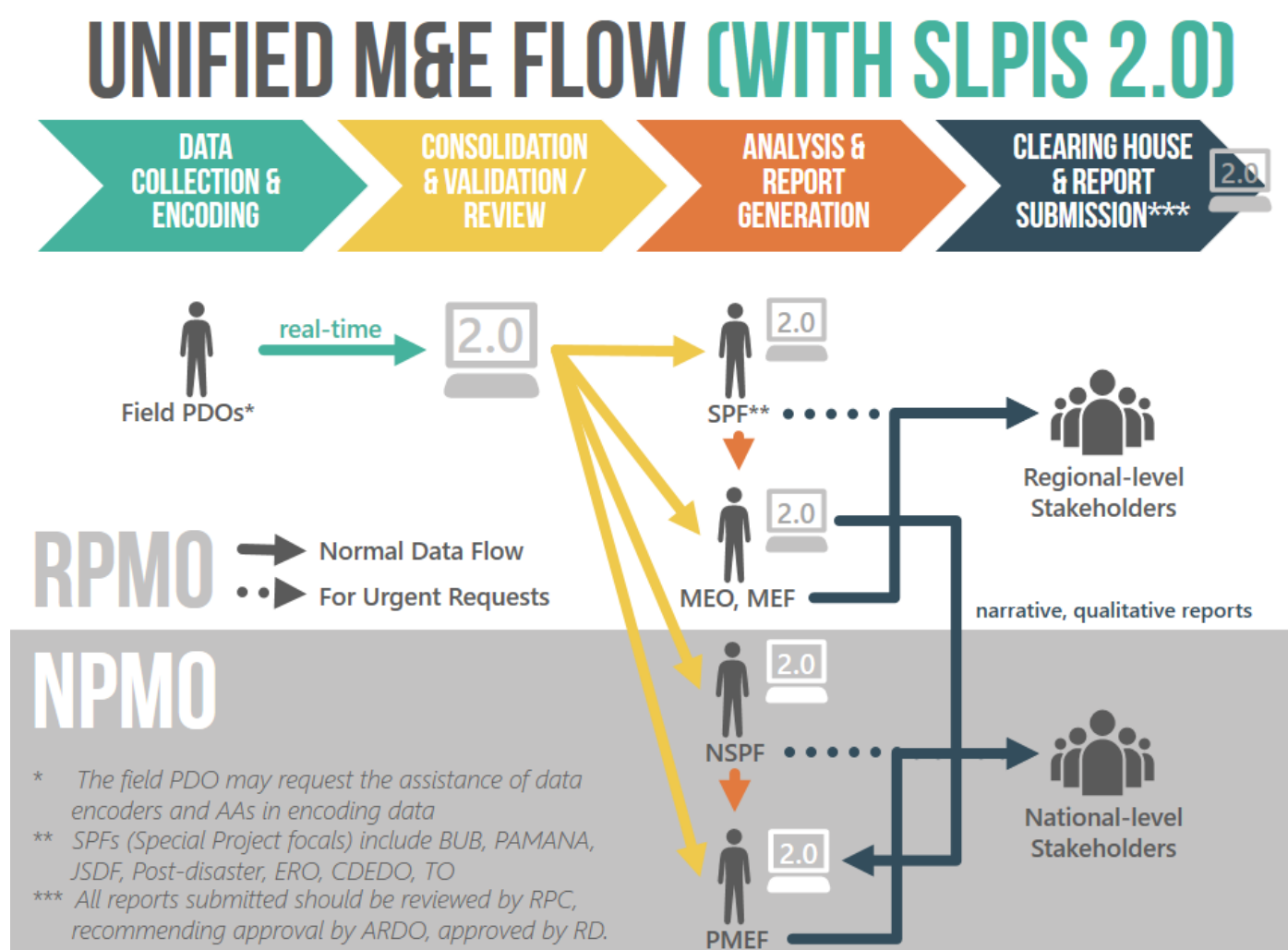
## Section II. Monitoring & Reporting Flow

### Subsection II.1 Unified Monitoring & Reporting Flow

During the aforementioned consultation workshops with the RPMOs, critical gaps and limitations of the current program monitoring and reporting flow were recognized. To address these pressing concerns, the SLPIS has been enhanced directed towards streamlining and data integration of all SLP projects into a unified M&E process which captures all key SLP indicators based on its results framework.

Once SLPIS is operationalized this January 2016, the monitoring and reporting flow using the enhanced SLPIS will take into effect, as portrayed below.

Figure 6. Unified Monitoring & Reporting Flow using SLPIS 2.0



## II.2 M&E ROLES & RESPONSIBILITIES

### II.2.1 SLP-NPMO

At the SLP-NPMO, each division has the responsibility to ensure that planned processes are implemented properly to generate expected results and targets.

*Table 2. SLP-NPMO M&E Roles and Responsibilities*

POSITION	M&E RESPONSIBILITIES
SLP Director	<ul style="list-style-type: none"><li>✓ Overall responsible for program operations, including program implementation, monitoring and evaluation; and</li><li>✓ Provides guidance and actions to be taken based on the recommendations provided by the M&amp;E reports.</li></ul>
Deputy Program Manager for Planning, Monitoring, Evaluation, and Finance (PMEF)	<ul style="list-style-type: none"><li>✓ Oversees general matters related to planning, monitoring, evaluation; and finance;</li><li>✓ Provides the final analysis for M&amp;E reports; and</li><li>✓ Provides feedback on the M&amp;E reports at the concerned levels as relevant and necessary.</li></ul>
Planning, Monitoring, and Evaluation Division (PMED)	<ul style="list-style-type: none"><li>✓ Consolidates M&amp;E reports on the entire SLP outputs;</li><li>✓ Analysis of M&amp;E reports and identifies actions needed on the recommendations;</li><li>✓ Provides feedback at various levels as relevant and necessary;</li><li>✓ Facilitates the conduct of evaluation of outcomes and impacts, in coordination with the other divisions and other stakeholders, as well as with external consultants; and</li><li>✓ Overall management of the SLPIS.</li></ul>
Finance Division	<ul style="list-style-type: none"><li>✓ Monitors the fund utilization performance of the regions.</li></ul>

**Section II. Monitoring & Reporting Flow**  
**Subsection II.2 M&E Roles & Responsibilities**

<b>POSITION</b>	<b>M&amp;E RESPONSIBILITIES</b>
Information Management Bureau (IMB)	<ul style="list-style-type: none"> <li>✓ Maintains the SLPIS at the Central Office.</li> </ul>
NPMO M&E / Data focals for BUB, PAMANA, JSDF, Disaster	<ul style="list-style-type: none"> <li>✓ Coordinates with PMED for data validation and report generation specific to their respective areas; and</li> <li>✓ Analyze M&amp;E reports and identifies actions needed on the recommendations specific to their respective areas, in coordination with PMED;</li> <li>✓ Provides feedback at various levels as relevant and necessary specific to their respective areas, in coordination with PMED; and</li> <li>✓ Facilitates the conduct of evaluation of outcomes and impacts, in coordination with PMED and other stakeholders, specific to their respective areas, in coordination with PMED.</li> </ul>
Capacity Building & Knowledge Management	<ul style="list-style-type: none"> <li>✓ Gathers of explicit and tacit knowledge from recognized good practices across regions and sectors and transforming them into knowledge products.</li> </ul>
Cluster Coordinators and Regional Monitors	<ul style="list-style-type: none"> <li>✓ Monitors that the inputs/resources are being utilized efficiently and effectively to produce the expected outputs;</li> <li>✓ Monitors that the CDED processes undertaken are within the Field Operations Manual;</li> <li>✓ Participates in the assessment of program outputs in coordination with field implementers and partners; and</li> <li>✓ Provides feedback at various levels as necessary.</li> </ul>
Social Marketing	<ul style="list-style-type: none"> <li>✓ Communicates M&amp;E reports, assessments, knowledge products, and other pertinent information to key stakeholders.</li> </ul>

## Section II. Monitoring & Reporting Flow

### Subsection II.2 M&E Roles & Responsibilities

#### II.2.2 SLP-RPMO

The SLP-RPMO is responsible for ensuring that all the inputs/resources as well as the processes of the program is well undertaken.

*Table 3. SLP-RPMO M&E Roles and Responsibilities*

POSITION	M&E RESPONSIBILITIES
Regional Director	<ul style="list-style-type: none"> <li>✓ Overall responsible for regional operations including SLP implementation in the region, monitoring and evaluation;</li> <li>✓ Acts on the recommendations at his/her level identified in the M&amp;E reports; and</li> <li>✓ Provides feedback to the concerned levels as necessary.</li> </ul>
Assistant Regional Director for Operations	<ul style="list-style-type: none"> <li>✓ Provides assistance to the Regional Director in the day-to-day operations of the region; and</li> <li>✓ Clarifies issues related to the implementation of SLP based on reports and endorses recommended actions to the Regional Director.</li> </ul>
Project Development Officer III (Regional Program Coordinator)	<ul style="list-style-type: none"> <li>✓ Leads in accomplishing RPMO targets by monitoring the expected outputs of RPMO staff</li> <li>✓ Assures that all inputs/resources are being utilized properly and that required SLP processes are conducted</li> <li>✓ Provides immediate, timely and appropriate feedback to Assistant Regional Director or Regional Director on the progress of the activities;</li> <li>✓ Provides feedback to SLP-NPMO on the progress of the program; and</li> <li>✓ Approves all encoded data into the SLPIS.</li> </ul>
M&E Officers for Operations and for Finance	<ul style="list-style-type: none"> <li>✓ Monitors regional outputs through management of the SLP Information System;</li> <li>✓ Analyses reports and provides relevant and timely feedback to field PDOs with prior approval from PDO III;</li> <li>✓ Provides Technical Assistance to PDO II on SLPIS;</li> </ul>

**Section II. Monitoring & Reporting Flow**  
**Subsection II.2 M&E Roles & Responsibilities**

<b>POSITION</b>	<b>M&amp;E RESPONSIBILITIES</b>
	<ul style="list-style-type: none"> <li>✓ Provides immediate, timely and appropriate written/verbal feedback to PDO II on the analysis of the reports; and</li> <li>✓ Reviews all encoded data into the SLPIS.</li> </ul>
Data Encoders	<ul style="list-style-type: none"> <li>✓ Assists the M&amp;E Officers and the field PDOs for the timely and accurate encoding of all validated data into the SLPIS.</li> </ul>
RPMO M&E / Data focals for BUB, PAMANA, JSDF, Disaster Data	<ul style="list-style-type: none"> <li>✓ Coordinates with the RPMO M&amp;E Officers for data validation and report generation specific to their respective areas; and</li> <li>✓ Analysis of M&amp;E reports and identifies actions needed on the recommendations specific to their respective areas, in coordination with the RPMO M&amp;E Officers; and</li> <li>✓ Provides feedback at various levels as relevant and necessary specific to their respective areas, in coordination with the RPMO M&amp;E Officers/</li> </ul>
CEDED Officer, Training Officer & External Relations Officer	<ul style="list-style-type: none"> <li>✓ Provides relevant feedback on the progress of their respective activities to the PDO III.</li> </ul>
Project Development Officer II (Provincial Coordinator)	<ul style="list-style-type: none"> <li>✓ Provides oversight in the implementation of SLP activities in the province;</li> <li>✓ Provides technical assistance to PDO IIs in the implementation of SLP activities; and</li> <li>✓ Consolidates reports from the PDO IIs in the municipalities and submits to the PDO III.</li> </ul>
Project Development Officer II (Field PDOs at the municipal level)	<ul style="list-style-type: none"> <li>✓ Assures that the entire program process is being implemented utilizing properly available inputs/resources;</li> <li>✓ Provides up-to-date feedback on the progress of activities to PDO III through the Provincial Coordinator;</li> </ul>



**Section II. Monitoring & Reporting Flow**  
***Subsection II.2 M&E Roles & Responsibilities***

POSITION	M&E RESPONSIBILITIES
	<ul style="list-style-type: none"> <li>✓ Maintains personal files of feedback monitoring reports submitted;</li> <li>✓ Provides immediate, timely and appropriate information to PDO III through the Provincial Coordinator on problems arising from program implementation; and</li> <li>✓ Accountable for validating monitoring data prior to encoding into the SLPIS through field visits and the provision of sufficient and adequate means of verification (MOVs); and</li> <li>✓ Accountable for the encoding of validated data into the SLPIS.</li> </ul>
RICTMU	<ul style="list-style-type: none"> <li>✓ Maintains the SLPIS at the RPMO.</li> </ul>



SECTION III.

**M&E TOOL:  
SLPIS ONLINE  
SYSTEM**

## III.1 RATIONALE FOR SLPIS 2.0<sup>5</sup>

---

Last CY 2013, the SLP Information System (SLPIS) version 1 was operationalized for real-time monitoring of served SLP participants and associations. Unfortunately, fast-paced changes in program design and implementation<sup>6</sup> have rendered the SLPIS version 1 inadequate to monitor program accomplishment and post-intervention statuses of served participants.

In response to the challenges encountered, the SLPIS has been enhanced as follows:

- ✓ Structured based in the SLP Results Framework indicators, thereby **allowing data-driven recommendations for additional interventions** to served SLP participants and SLPAs as well as results-based program monitoring and assessment;
- ✓ Serves as the **link between operations monitoring and results monitoring** by interconnecting participant and project tracking with program accomplishment and post-intervention monitoring;
- ✓ Allows a **multiple-level approach in monitoring individuals and associations served** by monitoring multiple modalities provided per SLP participant, distinguishing between individual and group assets, and monitoring organizational activities and membership;
- ✓ **Streamlines data collection processes for all SLP projects**, across all special projects and fund sources; and
- ✓ **Visualizes collected data for the different program end-users** for evidence-based policies, plans, and implementation.

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<sup>5</sup> Note that Section 3 refers exclusively to the SLPIS 2.0 data infrastructure system and database. For more information on the SLPIS and step-by-step instructions on performing common system-related tasks, please refer to the SLPIS Technical User's Manual prepared by the Information Management Bureau (IMB) of DSWD.

<sup>6</sup> Examples include the introduction of new modalities (e.g., Cash for Building Livelihood Assets (CBLA) and Pre-Employment Assistance Fund (PEAF)) as well as the inclusion of special projects and fund sources (e.g., Rehabilitation and Reconstruction Program (RRP) fund for Yolanda-affected areas)

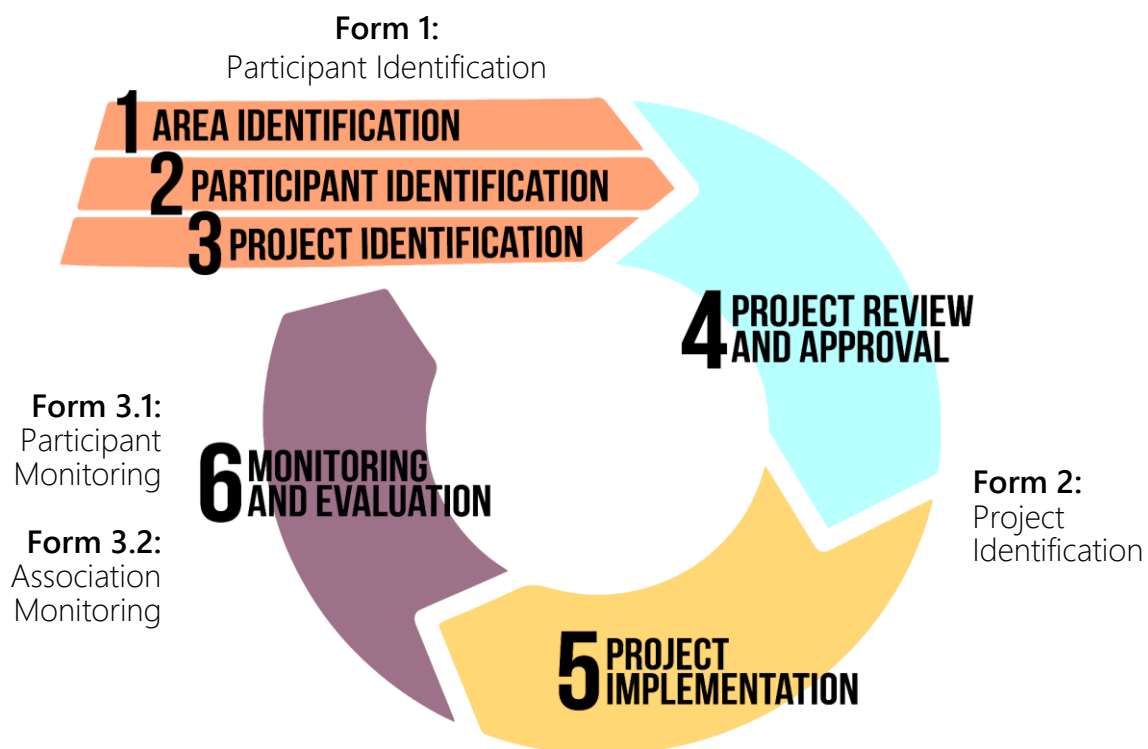
In a nutshell, **the SLPIS 2.0 serves as the backbone of SLP monitoring as an integrated data collection, validation, and visualization platform throughout the entire program implementation process.**

Due to time and system limitations, however, note that the SLPIS does not yet include financial monitoring and qualitative data reporting.

## III.2 THE IMPLEMENTATION PROCESS & SLPIS 2.0

The enhanced SLPIS online system and forms were developed based on the six-step implementation process of SLP. In particular, the **enhanced SLPIS online system and forms serve to guide field PDOs in tracking their progress throughout the implementation process**, by ensuring timely and standardized data collection which ensures the capture of relevant and complete data based on the SLP Results Framework.

Figure 7. SLP Implementation Process and the SLPIS forms



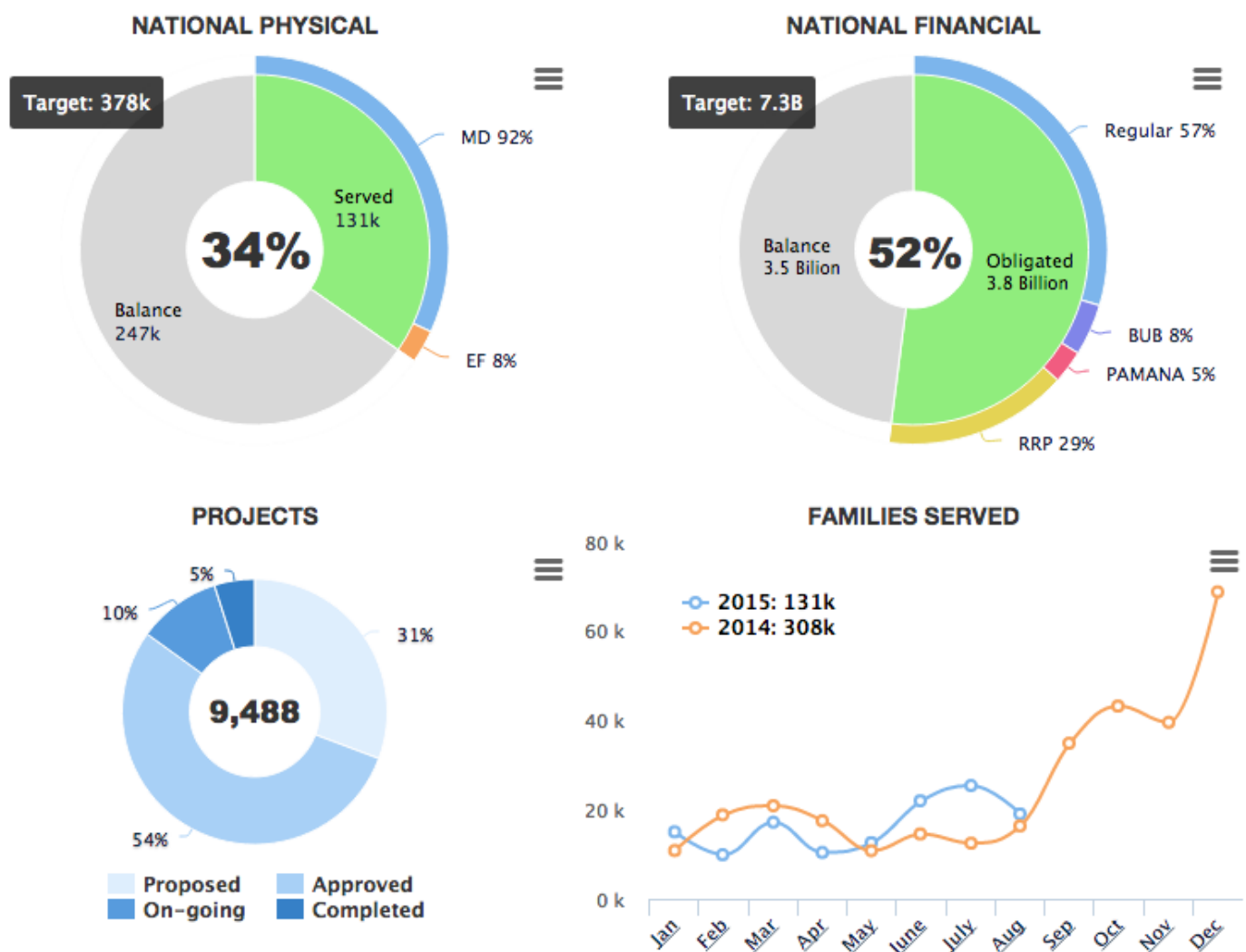
### Section III. M&E tool: SLPIS Online System

#### Subsection III.2 The Implementation Process & SLPIS 2.0

For data collection to achieve its intended purpose, these must be analyzed and communicated to key SLP staff and stakeholders to inform decision-making in relevant areas such as physical and financial allocation, microenterprise and employment facilitation clustering, and overall program management.

Towards this end, the **SLPIS has user-specific dashboards which provides the various SLPIS end users**—which ranges from the field PDO to the SLP Director—with an accessible visual environment for real-time updates and analysis of relevant data for planning and implementation.

Figure 8. SLPIS national-level dashboard



## III.3 SLPIS DATA REVIEW & APPROVAL PROCESS FLOW

To properly inform planning and decision-making with accurate and substantial analysis, there is a need for valid, comprehensive, and real-time data collection through the SLPIS.

Towards this end, the SLPIS will employ a data review and approval process flow which balances the need for data validation of crucial data fields while limiting areas for possible backlog. The SLP staff involved in this process can be classified into three (3) roles—namely, Data Encoder, Data Reviewer, and Data Approver—with each role having specific responsibilities and corresponding deadlines.

*Table 4. SLPIS Data Review & Approval Process, Users, Responsibilities, and Deadlines*

ROLE	USER	DEADLINE
<b>Data Collector &amp; Encoder<sup>7</sup></b>	Field PDOs	3 days from data collection
<b>Data Reviewer</b>	Provincial Coordinators	3 days from data encoding
<b>Data Reviewer and Approver<sup>8</sup></b>	M&E Officer for Operations	3 days from data review
	M&E Officer for Finance	
	Special Project Focals	
	Regional Program Coordinator	
	Regional Director	

<sup>7</sup> Field PDOs may ask for the assistance of Data Encoders and AAs in encoding data.

<sup>8</sup> These users listed under this classification can both review and approve data. Data will only be counted as accomplishments once approved.



SECTION IV.

**M&E TOOL:  
SLPIS FORMS  
& GUIDES**

# IV.1 GENERAL GUIDELINES

## IV.1.1 COMMON FEATURES OF AN SLPIS FORM

As a standardized data collection and monitoring tool, the SLPIS forms 1 to 3.2 were developed with similar features for ease in familiarity and understanding. Common features such as the form title, form identification, input codes<sup>9</sup>, and required data fields are seen below.

Figure 9. Common Features of an SLPIS Form

**Form Title, Frequency, and Scope.** For ease in form identification, the topmost portion of the form contains its title, frequency, and scope.

**A. Form Identification.** For proper tracking and accountability, the first section always contains information on the concerned field PDO (and interviewer, if applicable), his/her geographical assignment, and the date he/she accomplished the form.

**FORM 1: PARTICIPANT IDENTIFICATION FORM** Frequency: Administered once, during the area and participant identification stage after community consultation and validation through CCG members. Scope: One form should be used per target barangay.

<b>A. FORM IDENTIFICATION</b>			
<b>A.1 Date Accomplished</b> (mm/dd/yyyy) *		<b>A.5 Barangay *</b>	
<b>A.2 Region *</b>		<b>A.6 Name of PDO</b> (Surname, First Name, Middle Name) *	
<b>A.3 Province</b>		<b>A.7 Name of Interviewer</b> (Surname, First Name, Middle Name) *	
<b>A.4 Municipality / City *</b>			
<b>B.9 Sex</b> M = Male F = Female	<b>B.12 Type of Disability</b> 0 = No disability 1 = Hearing 2 = Visual 3 = Speech 4 = Orthopedic 5 = Multi-handicapped 6 = Mental 7 = Others	<b>B.13 IP</b> Please input IP Group, please input "N/A".	<b>B.14 HEA (Highest Education Attained)</b> 0 = No Grade Completed 1 = Kinder or Day Care 2 = Elementary Level 3 = Elementary Graduate 4 = Junior HS Level (1st Year to 4th Year HS Level) 5 = Junior HS Graduate (4th Year HS Graduate Level) 6 = Senior HS Level (Grade 11 and 12 Level) 7 = Senior HS Graduate (Grade 12 Graduate)
<b>B.10 Sole Parent</b> Y = Yes N = No	<b>B.11 Former Incumbent Group Member</b> Y = Yes N = No	<b>B.15 Attending School</b> Y = Yes N = No	<b>B.16 PSIC of microenterprise</b> Please refer to Annex B.2 of the SLP Monitoring Submanual for the input codes for PSIC.
<b>B.20 Desired Intervention Type</b> I = Individual G = Group		<b>B.21 Possible Project Type</b> 1 = SLP Modality SCF 2 = SLP Modality PEAF 3 = SLP Modality CBLA 4 = SLP Modality ST 5 = CMFP/PSDF 6 = Partners	
<b>B.22 Fund Source</b> Indicate the year of the fund source for SLP REG GAA, BUB GAA, and PAMANA. 1 = SLP REG GAA [yyyy] 2 = REG 3 = BUB GAA [yyyy] 4 = PAMANA [yyyy] 5 = RDP 6 = CDF 7 = REP 1B 8 = REP 1-1B 9 = Gov't - PDSO 10 = Gov't - GOCC/GOI 11 = Gov't - BLOU 12 = Gov't - CMLGU 13 = Gov't - FLOU 14 = Gov't - STC 15 = Gov't - NOAA 16 = Private - Acad Unit 17 = Private - Acad Coll 18 = Private - Acad Vnc 19 = Private - Bank 20 = Private - Corp 21 = Private - MFI 22 = Private - MSME 23 = CSO - Corp 24 = CSO - NGO 25 = CBO 26 = CBO 27 = CBO 28 = CBO 29 = CBO 30 = CBO 31 = CBO 32 = CBO 33 = CBO 34 = CBO 35 = CBO 36 = CBO 37 = CBO 38 = CBO 39 = CBO 40 = CBO 41 = CBO 42 = CBO 43 = CBO 44 = CBO 45 = CBO 46 = CBO 47 = CBO 48 = CBO 49 = CBO 50 = CBO			

**Input Codes.** For easy reference, the portion below Section A. Form Identification contains input codes for type/category-based data fields in the form.

**Data fields with an asterisk (\*).** All data fields marked with an asterisk (\*) are required data fields, i.e., they must not be left blank.

<sup>9</sup> Please refer to **Annexes B.1-B.2** for the SLPIS Input Codes for PSIC and PSOC. For the rest of the input codes, please refer to SLPIS Forms 1-3.2 and their respective detailed guides.



## IV.1.2 REMINDERS IN CONDUCTING INTERVIEWS WITH PROGRAM PARTICIPANTS

In administering the SLPIS forms especially Forms 3.1-3.2, the field PDO will have to conduct interviews or focus group discussions (FGDs) with the program participants for the collection and validation of accurate, timely profiling and monitoring data. The key reminders on these can be seen below.

### IV.1.2.1 *Who to interview*

SLP Participants or any SLP Association (SLPA) officer actively participating in the SLPA. Special cases include:

- ✓ **Unavailability of participant during the time of visit.** The Field PDO must reschedule the visit until both parties are available for an interview the participant for monitoring. For SLPAs, the association may assign an alternate representative among its members to be interviewed.
- ✓ **Transfer of residence within the Philippines.** The Field PDO must capture this in his/her feedback to the Field Office, to be submitted to the SLP-NPMO. The Field Office covering the region from which the participant originated must also prepare an endorsement to the Field Office covering the region to which the SLP participants transferred.
- ✓ **Transfer of residence outside the Philippines.** The Field PDO must capture this in his/her feedback report to the Field Office, to be submitted to the SLP-NPMO.

### IV.1.2.2 *Where to conduct interviews*

House-to-house interviews may be the best for areas where assembly or convening participants is not really possible. However, administering the SLP Forms can be done in various venues such as weekly meetings of Parents' Groups, monthly meetings of SLPAs, barangay assemblies, training, and meetings.

For geographically isolated and disadvantaged areas (GIDA) areas, the field PDO can consider maximizing the support of SLP stakeholders (e.g., MIAC, LGU Livelihood Worker) and capacitating the CCG members and SLPAs officers in administering the forms.

### ***IV.1.2.3 What to Prepare before conducting Interviews***

To ensure quality data collected from the interview and to fast track the interview process, the field PDO must prepare the following:

- ✓ **Acquire the list of names and contact information of SLP Participant/ Association to be monitored from the SLPIS.**
- ✓ **Coordinate with the Community Core Groups (CCG) before the actual interview for strategizing on the conduct of the interview.** For instance, focus group discussions may be held instead of individual interviews.
- ✓ **Inform the interviewees of requested data prior to the interview.** This is to allow the interviewees adequate time to prepare their answers and necessary supporting documents before the conduct of interview.

For interviews using hard copies of the form:

- ✓ **Print the necessary forms and bring a pen.** Make sure to have enough printed forms for each interviewee. Use a pen instead of a pencil to record the responses to avoid tampering.
- ✓ **Bring a notebook.** Field PDO may bring a notebook for note-taking and computations during the interview.
- ✓ **Bring a stamp pad.** This will be used to acquire the fingerprint of the respondents for the purposes of data validation and quality assurance.

## **IV.1.3 FREQUENTLY-ASKED QUESTIONS (FAQS) ON ADMINISTERING FORMS 3.1-3.2**

### ***IV.1.3.1 What are the appropriate questions to gather data for Forms 3.1-3.2?***

There is no absolute and correct way to ask questions, as the appropriateness would depend on the context of the SLP participant / Association as well as the field PDO.

## Section IV. M&E tool: SLPIS Forms & Guides

### *Subsection IV.1 General Guidelines*

#### ***IV.1.3.2 Are SLPIS Forms used only for data collection purposes?***

No. Administering SLPIS forms should be used by the field PDO as an avenue to effectively monitor and provide further assistance to program participants. Examples include mentoring and coaching to SLP participants / SLPAs to better improve their microenterprises (e.g., enhance SLPA financial statements, management) and provision of additional interventions based on monitoring data.

#### ***IV.1.3.3 How long will we monitor served SLP participants / Associations?***

We will cease monitoring SLP participants and SLPAs who have quality livelihoods and/or jobs for two (2) consecutive quarters, in line with the program's end of program outcome. For this, involvement of partners in the project cycle is a must for sustainability and organizational capacity building of SLPAs should be undertaken.

#### ***IV.1.3.4 Are Field PDOs the only users of the SLPIS Forms?***

No. Field PDOs may tap the Livelihood Worker of LGUs, MIAC, C/MAT, and CCG members to administer the forms. RPMO may also capacitate other program partners on administering the forms. However, the field PDO is still the process owner for data collection and should therefore still be accountable for the timeliness, accuracy, and completeness of the accomplished and encoded SLP forms.

#### ***IV.1.3.5 Can the SLPAs be mobilized to monitor served SLP participants?***

Yes. This is a form of community-based participatory monitoring wherein the SLPA officers can take ownership of the monitoring and evaluation of their microenterprises / employment. As a community-based organization, the SLPA should monitor its members and the status of their microenterprises / employment to be able to understand their situation as a group and to come up with concrete plans on how to sustain their livelihoods.

## IV.2 OVERVIEW OF THE SLPIS FORMS

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### IV.2.1 FORM 1: PARTICIPANT IDENTIFICATION FORM

<b>PURPOSE</b>	<b>Profiling tool</b> to collect information on identified program participants relevant to planning and project identification  <b>Planning tool</b> to identify appropriate modalities and fund sources per identified participant, based on the participant profile and inputs from CCG members <sup>10</sup>
<b>APPLICABILITY</b>	All identified program participants (including Pantawid Pamilya and non-Pantawid Pamilya beneficiaries) within the same barangay
<b>PRE-REQUISITE</b>	Coordination with CCG members for collecting, validating, consolidating, and analyzing data for planning purposes
<b>ADMINISTRATOR</b>	SLP field PDO
<b>FREQUENCY</b>	Administered <b>once</b> ; during the area and participant identification stage after community consultation and validation through CCG members
<b>SCOPE</b>	One form should be used <b>per target barangay</b>
<b>OFFLINE VERSION</b>	Excel file

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<sup>10</sup> The Community Core Group (CCG) is a barangay-based volunteer group organized to provide support to the PDO from the identification of areas, participants, and projects until project implementation and monitoring. The CCG may be composed of the C / MAT, Parent Leaders in the identified barangays, old SKA Officers, Barangay Sub-Project Management Committee (BSPMC) leaders, cooperative leaders, and Barangay Health Workers / Barangay Nutrition Scholars. Other local community members may also become part of the CCG.

## IV.2.2 FORM 2: PROJECT IDENTIFICATION FORM

<b>PURPOSE</b>	<b>Operations monitoring tool</b> for tracking projects from the proposal stage to completion using modality-level basic information on project proposals, including assets provided and participants to be served through the project
<b>APPLICABILITY</b>	<ul style="list-style-type: none"> <li>✓ All SLP modalities (SCF, CBLA, PEAFF, Skills Training)</li> <li>✓ Meetings and activities funded through CMF (for SLP GAA) or PMF (for RRP)</li> <li>✓ Partnership projects which do not fall under the SLP modalities (e.g., direct provision of physical assets, market linkage).</li> </ul>
<b>PRE-REQUISITES</b>	<ul style="list-style-type: none"> <li>✓ All accomplished Form 1 encoded into SLPIS</li> <li>✓ Project proposals must be approved at the provincial level after conduct of PPDAAW</li> </ul>
<b>ADMINISTRATOR</b>	SLP field PDO
<b>FREQUENCY</b>	Used <b>once</b> ; after conducting the PPDAAW (part of the Area, Participant, and Project Identification Stages)
<b>SCOPE</b>	One form should be used <b>per modality and per municipality</b>
<b>OFFLINE VERSION</b>	Actual Project Proposal

## IV.2.3 FORM 3.1: PARTICIPANT MONITORING FORM

**PURPOSE** **Results monitoring tool** to (1) assess the effect of SLP livelihood interventions on the served participants and (2) identify additional interventions needed by the participant, based on their economic status (e.g., asset profile, income, status of enterprise / employment)

**APPLICABILITY** **Microenterprise Development track:** All SLP individual enterprises. *Note that individual enterprises of SLP Association members must be monitored using Form 3.1 (not Form 3.2).*

**Employment Facilitation track:** All SLP individuals facilitated for employment

**PRE-REQUISITE** All accomplished Form 2 encoded into SLPIS

**ADMINISTRATOR** SLP field PDO, CCG members

**FREQUENCY** **Phase 1:** After being served, the SLP participant will be monitored every three (3) months until quality indicators are achieved for one (1) monitoring period (i.e., 3 months).

***Rationale:** The frequency for SLPIS Forms 3.1-3.2 was designed in such a way that more frequent monitoring will be conducted for SLP participants / groups / associations which have difficulty achieving quality livelihood and/or jobs.*

**Phase 2:** After Phase 1, the SLP participant will then be monitored every six (6) months until quality indicators are achieved for one (1) monitoring period (i.e., 6 months).

**Completion:** Monitoring will terminate once Phase 2 is completed or after two (2) years of monitoring the served SLP participant, whichever period is shorter.

**Maximum monitoring period is two (2) years.** Note that SLP participants which have not yet achieved quality livelihood and/or jobs after two (2) years of monitoring will be subject to case conference in coordination with the concerned City/Municipal Link.

**SCOPE** One form should be used **per individual enterprise or per individual employed**

**OFFLINE VERSION** Short-term: **Printed copy of Form 3.1**

Long-term: **Mobile application for Form 3.1** for offline encoding through smartphone / tablet (*Note: Syncing of encoded data into the SLPIS can be done once internet is available.*)

## IV.2.4 FORM 3.2: ORGANIZATION MONITORING FORM

**PURPOSE** **Results monitoring tool** to (1) assess the effect of SLP livelihood interventions on the SLP Group / Association / Organization and (2) identify additional interventions needed by the SLP Group / Association / Organization , based on the group / association / organization's economic status (e.g., asset profile, income, activities)

**APPLICABILITY** **Microenterprise Development track:** All SLP Group Enterprises or SLP Associations / Organizations served through any of the SLP modalities.

*Note that every unique group enterprise, whether or not in an SLPA, must be monitored using a separate Form 3.2.*

**PRE-REQUISITE** All accomplished Form 2 encoded into SLPIS

**ADMINISTRATOR** SLP field PDO, CCG members

**FREQUENCY** **Phase 1:** After being served, the SLP group / association / organization will be monitored every three (3) months until quality indicators are achieved for one (1) monitoring period (i.e., 3 months).

*Rationale: The frequency for SLPIS Forms 3.1-3.2 was designed in such a way that more frequent monitoring will be conducted for SLP participants / groups / associations which have difficulty achieving quality livelihood and/or jobs.*

**Phase 2:** After Phase 1, the SLP group / association / organization will then be monitored every six (6) months until quality indicators are achieved for one (1) monitoring period (i.e., 6 months).

**Completion:** Monitoring will terminate once Phase 2 is completed or after two (2) years of monitoring the served SLP group / association / organization, whichever period is shorter.

**Maximum monitoring period is two (2) years.** Note that SLP groups / associations / organizations which have not yet achieved quality livelihood and/or jobs after two (2) years of monitoring will be subject to case conference in coordination with the concerned City/Municipal Link.

**SCOPE** One form should be used **per SLP Group or per SLP Association / Organization**

**OFFLINE VERSION** Short-term: **Printed copy of Form 3.2**

Long-term: **Mobile application for Form 3.2** for offline encoding through smartphone / tablet (*Note: Syncing of encoded data into the SLPIS can be done once internet is available.*)