

## REQUEST FOR EXPRESSION OF INTEREST

### ENGAGEMENT OF INDIVIDUAL CONSULTANT FOR THE PROCESS EVALUATION FOR TIER 2 KC-NCDDP IMPLEMENTATION

REI NO. KC-NCDDP/18-DSWD-008-A  
(PR No. 2018030839)

1. **The Government of the Philippines (GOP), through the KALAHI CIDSS - National Community Driven Development Program (KC-NCDDP), has received a loan (Loan Agreement No. 8335-PH) from the International Bank for Reconstruction and Development (IBRD), intends to apply part of the loan to payments under the Contract for the Engagement of Individual Consultant for the Process Evaluation for TIER 2 KC-NCDDP Implementation.**
2. As an incentive grant, Tier 2 Implementation will be Local Government Unit (LGU)-led following regular Community Empowerment Activity Cycle (CEAC) design and existing program manuals. Regional Program Management Office (RPMO) shall also engage service providers (replacing the Area Coordinating Team [ACT]) to hand hold and provide guidance and technical assistance to Local Government Units (LGUs) during implementation. Planning grants (i.e., CEAC funds and Technical Assistance Fund [TAF]) in proportion to community investment grants also shall be made available, for the RPMOs to manage working within their total budget allocation for Tier 2. The two (2) main objectives of Tier 2 implementation are:
  - a. Enhance the DSWD's delivery of protective services to areas prone to disasters by addressing remaining priority needs of communities in NCDDP Yolanda-affected areas using community driven development (CDD)/CEAC process; and
  - b. Build appreciation of LGUs on CDD for possible harmonization of CDD-local planning process (LPP) after NCDDP exit in the municipality.
3. The engagement of the consultant aims to produce a report documenting Tier 2 implementation experience and capture its immediate results. These reports are expected to contribute to the knowledge product of the program and will aid the KC-NCDDP management and staff craft policies, guidelines, mechanism and strategies towards process improvement and sustaining the principles and gains of the program, as part of its end-line objective.
4. **Research Design and Methodology:**

The process evaluation will generally follow a qualitative evaluation approach combining the following methodologies:

- a. Archival/desk review and analysis of relevant administrative data;
- b. Field observation on ongoing CEAC activities (in areas applicable);
- c. Focused group discussions (FGDs) with service providers, municipal coordinating team (MCT), community volunteers, residents and Municipal Inter-Agency Committee;
- d. Key Informant Interviews (KIIs) with stakeholders (municipal and barangay officials, representatives from National, Regional and Sub-regional Program Management Offices; and
- e. Analysis of findings in field observations, KIIs and FGDs.

Process evaluation will cover four (4) municipalities as study areas. Selection will be made in accordance to the representation of different characteristics that could affect Tier 2 implementation, as follows:

- a. Geographic location (island cluster considering GIDAs)
- b. Number of component barangays (small vs large coverage)
- c. NCDDP grouping (377 and 177)
- d. With special characteristics (conflict-affected, presence of Indigenous People [IPs])

To gather thorough information two (2) barangays will be visited per municipality to conduct participant observation, FGDs and KIIs.

The sample areas are as follows (**Note:** these areas are selected tentatively thus, subject to change if necessary.)

Region	Province	Municipality
<b>Primary</b>		
VI (Western Visayas)	Iloilo	San Dionisio
VI (Western Visayas)	Iloilo	Miagao
V (Bicol Region)	Sorsogon	Bulan
VIII (Eastern Visayas)	Northern Samar	San Isidro
<b>Replacements</b>		
CARAGA	Agusan del Norte	Las Nieves
CALABARZON	Quezon	Gumaca

## 5. Tasks, Deliverables and Expected Outputs:

The Consultant shall deliver (one) full-color hard copy, camera-ready e-copy, and working documents of the major outputs, which are:

- a. Archival/desk review and analysis of relevant documents from KC-NCDDP, WB, ADB and the chosen municipalities, including but not limited to:
  - (1) Municipal/barangay profile
  - (2) CEAC monitoring data
  - (3) Accomplished NCDDP standard form/checklists (ESMP, ESSC, IPP, etc.)
  - (4) Subprojects funded and details
  - (5) Field notes
  - (6) Contact list of ACT members, volunteers/committees



- (7) Previous case studies, articles and other documentation
  - b. Inception Report that contains the analysis and operational plan and specific timeline of the study
  - c. Field observations – participant observation on ongoing CEAC activities paying close attention to standard compliance, quality of facilitation and outputs, and stakeholders’ dynamics.
  - d. Development, pre-test and revision of data gathering instruments (KII and FGD questionnaires, documentation template)
  - e. Data collection in four (4) municipalities – eight (8) barangays
    - (1) KIIs with municipal and barangay officials
    - (2) KIIs with NPMO, RPMO and SRPMO key representatives
    - (3) FGDs service providers, MCT, community volunteers, residents and Municipal-Inter Agency Committee
  - f. Analysis of data and presentation of findings’
  - g. Report writing and submission of first draft of process evaluation report for National Program Management Review (NPMO) review
  - h. Submission of final/packaged version of Process Evaluation Report
6. The contract duration is **five (5) months from receipt of the Notice to Proceed (NTP)**

**7. Qualification of the Consultant:**

- a. Must have Master’s Degree in social sciences or related discipline such as anthropology, sociology or community development;
- b. Must have five (5) years of experience in the conduct of assessment and/or evaluation of development programs/projects;
- c. Must have experience in doing at least five (5) qualitative research through field observations, KIIs, FGDs and archival/desk reviews;
- d. Must have headed the conduct of at least five (5) program/project evaluation studies with at least 500 samples;
- e. Must have significant knowledge about DSWD KALAHI-CIDSS and/or CDD Programs

**8. Output/Deliverables and Payment Schedule:**

Milestone (Deliverable)	Payment Tranche
Inception Report	10%
Data Gathering Instruments	35%
Fieldwork Updates/Progress Reports	25%
Final/Progress Evaluation Report Presentation of Findings	30%

The total contract cost is inclusive of all applicable taxes, professional service fees and operational expenses including scoping, development of research tools, piloting, data gathering, supplies, logistical costs and all research-related meetings. Furthermore, the consultant shall shoulder all the travel and accommodation costs of no more than two (2) staff who will be observing the quality data collection during field work.

9. This project shall be procured using Section 11.6.1.2 World Bank (Individual Consultant Selection) of the KALAHICIDSS-NCDDP Program Procurement Guidelines (March 2017) and pursuant to the following criteria:

Criteria	Points
<b>Education/Studies</b>	
Has a Master's Degree in Social Sciences or related discipline, such as, Anthropology, Sociology and Community Development	20%
Doctorate Degree in the above-mentioned courses - 20% Master's Degree in the above-mentioned courses - 18%	
<b>Experience</b>	
Has at least five (5) years of experience in the conduct of assessment and/or evaluation of development programs	20%
More than 5 years of experience - 20% 5 years of experience - 18%	
Has experience in doing at least five (5) qualitative researches through field observations, KIIs, FGDs and archival/desk reviews	20%
More than 5 quantitative and qualitative researches - 20% 5 quantitative and qualitative researches - 18%	
Has conducted at least five (5) evaluation studies with at least 500 samples	30%
More than 7 evaluation studies with at least 500 samples - 30%	
7 evaluation studies with at least 500 samples - 29%	
6 evaluation studies with at least 500 samples - 28% 5 evaluation studies with at least 500 samples - 27%	
<b>Knowledge of the Program/CDD</b>	
Has significant knowledge about DSWD KALAHICIDSS and/or CDD Programs	10
Directly worked or conducted studies within or in cooperation with the KALAHICIDSS Program - 10%	
Has worked or conducted studies on CDD programs but did not within or in cooperation with the KALAHICIDSS program - 8%	
Has not worked or conducted studies on CDD programs or KALAHICIDSS but has some knowledge - 6%	
Has little knowledge or about CDD programs - 5%	
<b>TOTAL</b>	<b>100</b>

The passing rate/score is **Eighty Percent (80%)**.




10. The DSWD now invites interested individuals to indicate their interest in providing the services. Interested individuals must submit their Expressions of Interest, Comprehensive Curriculum Vitae and BIR Certificate of Registration in the address indicated below or through e-mail at [quotations@dswd.gov.ph](mailto:quotations@dswd.gov.ph) not later than 05:00 P.M. of 19 October 2018.
11. The Consultant shall be required to issue Official Receipt (OR) as acceptable evidence of receipt of payment for disbursements. Nonetheless, the DSWD will not hold payments of Consultants in case they are unable to issue an (OR). An Acknowledgement Receipt shall be asked, in lieu of OR, as evidence of payment. If the DSWD is the sole source of income of the Consultant, he/she may avail of the substituted filing and will not be required to issue an OR, in which case a Notice of Availment of Substituted Filing of Percentage Tax Return shall be submitted by the Consultant.<sup>1</sup>

**THE CHAIRPERSON**

Bids and Awards Committee  
c/ o Bids and Awards Committee Secretariat  
Procurement Management Service  
DSWD Central Office  
IBP Road, Constitution Hills. Quezon City  
Facsimile No.: (02) 951 7116  
Telephone Nos.: (02) 931 8101 to 07 local nos. 122, 123 and 124

**LUZVIMINDA C. ILAGAN**  
Undersecretary and Chairperson  
Bids and Awards Committee

**By:**

  
**MARIE ANGELA S. GOPALAN**  
Director IV and Vice-Chairperson  
Bids and Awards Committee

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<sup>1</sup> In accordance to the Memorandum issued by the Office of the Undersecretary, General Administration and Support Services Group, Department of Social Welfare and Development dated 07 February 2017

Department of Social Welfare and Development  
KALAHI CIDSS – National Community Driven Development Program (KC-NCDDP)

TERMS OF REFERENCE

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TITLE	:	Process Evaluation for Tier 2 KC-NCDDP Implementation
PROJECT DURATION	:	Five (5) Months
TOTAL PROJECT COST	:	PhP 1,000,000.00
SOURCE OF FUND	:	KC-NCDDP

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I. Background Information

The National Economic and Development Authority Board approved KALAHI CIDSS-NCDDP on 18 January 2013. It has an estimated cost of \$1.132 billion<sup>1</sup>, 33% of which (or \$372.1 million) was provided by the Asian Development Bank as an emergency assistance loan to the Government of the Philippines to support KC-NCDDP implementation.

Due to fluctuations in foreign exchange rates, KC-NCDDP has available funds (i.e., foreign exchange gains from ADB loan assistance) amounting to about PhP2.6 billion. Given that there are still unaddressed/unmet/remaining priority needs of NCDDP communities, the funds shall be used starting this year as incentive grant to good performing Yolanda-affected municipalities to address said needs, which now called as Tier 2.<sup>2</sup>

As an incentive grant, Tier 2 implementation will be LGU-led following the regular CEAC design and existing program manuals. RPMO shall also engage service providers (replacing the ACT) to handhold and provide guidance and technical assistance to LGUs during implementation. Planning grants (i.e., CEAC funds and Technical Assistance Fund) in proportion to community investment grants shall also be made available, for the RPMOs to manage working within their total budget allocation for Tier 2. The two (2) main objectives of Tier 2 implementation are:

- a) Enhance the Department's delivery of protective services to areas prone to disasters by addressing remaining priority needs of communities in NCDDP Yolanda-affected areas using CDD/CEAC processes; and
- b) Build appreciation of LGUs on CDD for possible harmonization of CDD-LPP (local planning process) after NCDDP exit in the municipality.

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<sup>1</sup> Dollar-to-Peso conversion based on ADB L3100-PHI: KALAHI-CIDSS National Community-Driven Development Project is \$1 = PhP44.99

<sup>2</sup> Guidance Note on the implementation of Tier 2 KC-NCDDP Funding, December 2016

As of December 2017, out of 134 municipalities funded under Tier 2 modality, 124 municipalities have already prioritized a total of 1,065 subprojects. The rest of the municipalities have ongoing social preparation activities.

With this ongoing new incentive grant, it is important for the Program to conduct third-party process evaluation to track its implementation where the LGU is at the forefront of applying the CEAC in its local planning, budgeting and implementation. This study proposal aims to document and evaluate the Tier 2 implementation experience in selected LGU beneficiaries and understand the factors that may contribute on how to effectively harmonize the CDD in the regular local planning process.

## II. Study Objectives and Key Research Questions

The main objective of the process evaluation is to fully document the experiences of municipalities that have received Tier 2 incentive grant. The study is also expected to capture the immediate results and the facilitators/barriers to the successful integration of CDD into the local planning process. Specifically, the following key research questions are expected to be answered:

- 1) How did the new service providers train and mobilize? Were the CDD principles understood and applied during CEAC implementation?
- 2) How did the LGU, service provider and community implement the Tier 2 CEAC activities (from social preparation to subproject implementation)? How did the LGU respond in the absence of ACT and limited service providers?
- 3) Were there deviations/innovations from the standard CEAC process? If so, what are these and the underlying reasons?
- 4) How did the centralized financial management of Tier 2 affect the timeline of downloading/disbursing of funds to the community?
- 5) In areas with special circumstances (conflicts, disasters, GIDAs, presence of Indigenous People), how did the service provider and LGU comply to the program standards prescribed in different manuals (Field Guide in Implementing with Indigenous communities, Environmental and Social Management Framework, conflict, Guidance Notes for Conflict-Affected Areas, etc.)
- 6) How have gender policies and mechanisms implemented in the area? Were there challenges? If so, what are these and how were these addressed?
- 7) What are the immediate benefits of Tier 2 implementation in terms of basic service delivery, community empowerment and local governance?
- 8) What are the factors/barriers that could facilitate/impede the successful integration of CDD practices/principles the regular local planning process of the LGU? What are needed to sustain this?



## II. Objective of the Engagement

This Term of Reference outlines the scope of work of an individual consultant who will undertake the Tier 2 Process Evaluation of KC-NCDDP. The engagement of the consultant aims to produce a report documenting the Tier 2 implementation experience and capture its immediate results. These reports are expected to contribute to the knowledge product of the program and will aid the KC-NCDDP management and staff craft policies, guidelines, mechanisms, and strategies towards process improvement and sustaining the principles and gains of the program, as part of its end-line objective. The selected consultant is expected to successfully implement the activities prescribed in this TOR and submit the required deliverables on time.

## III. Research Design and Methodology

The process evaluation will generally follow a qualitative evaluation approach combining the following methodologies:

- a) Archival/desk review and analysis of relevant administrative data
- b) Field observation on ongoing CEAC activities (in areas applicable)
- c) Focus group discussions with service providers, MCT, community volunteers, residents and Municipal Inter-Agency Committee
- d) Key informant interviews (KIIs) with stakeholders (municipal and barangay officials, representatives from National, Regional and Sub-regional Program Management Offices
- e) Analysis of findings in Field observations, KIIs, and FGDs

Process evaluation will cover four (4) municipalities as study areas. Selection will be made in accordance to the representation of different characteristics that could affect Tier 2 implementation, as follows:

- a) Geographic location (island cluster considering the GIDAs)
- b) Number of component barangays (small vs large coverage)
- c) NCDDP grouping (377 and 177)
- d) With special characteristics (conflict-affected, presence of Indigenous People (IPs)

To gather thorough information, two (2) barangays will be visited per municipality to conduct participant observation, FGDs and KIIs.

## IV. Tasks, Deliverables and Expected Outputs

The individual consultant shall deliver one (1) full-color hard copy, camera-ready e-copy, and working documents of the major outputs, which are:

- a) Archival/ Desk review and analysis of relevant documents from KC-NCDDP, WB, ADB, and the chosen municipalities, including but not limited to:
  - Municipal/barangay profile
  - CEAC Monitoring data



- Accomplished NCDDP Standard Forms/Checklists (ESMP, ESSC, IPP, etc..)
  - Subprojects funded and details
  - Field notes
  - Contact list of ACT members, volunteers/committees
  - Previous case studies, articles, other documentation
- b) **Inception Report** that contains the analysis and operational plan and specific timeline of the study
- c) **Field observations** – Participant observation on ongoing CEAC activities paying close attention to standard compliance, quality of facilitation and outputs, and stakeholders’ dynamics.
- d) Development, pre-test and revision of **data gathering instruments** (KII, and FGD questionnaires, documentation template)
- e) **Data collection** in four (4) municipalities (8 barangays)
- KIIs with municipal and barangay officials
  - KIIs with NPMO, RPMO and SRPMO key representatives
  - FGDs service providers, Municipal Coordinating Team, community volunteers, residents and Municipal Inter-Agency Committee
- f) **Analysis** of data, and **presentation** of findings.
- g) **Report writing** and submission of first draft of process evaluation report for NPMO review
- h) **Submission** of Final/Packaged version of Process Evaluation Report

#### V. Indicative Implementation Schedule

Key Task	Output	Months				
		1	2	3	4	5
Consultation meetings/ archival/desk review	Inception Report					
Preparation of data collection instruments and testing	Data collection tools e.g. for FGD and KII					
Primary data gathering/fieldwork such as: recall interviews, field observations and site visits	Fieldwork Updates/Progress Reports					
Analysis and reporting	Final process evaluation technical report and presentation of study findings					

#### VI. Institutional Arrangement

Kalahi-CIDSS-NCDDP NPMO will oversee the engagement of the Consultant. The consultant will report directly to the National Project Manager of KALAHI-CIDSS-NCDDP and will work closely with NPMO M&E Unit, particularly with the program evaluation group.

KALAHI-CIDSS-NCDDP NPMO is responsible for coordinating with DSWD Field Offices and other stakeholders with regards to the implementation of the study.

All outputs produced by the consultant under this engagement shall be considered as property of the Department of Social Welfare and Development. The department shall likewise have the exclusive rights to the output, which include but not limited to, publishing and disseminating the reports even after the end of the contract with the Consultant.

## VI. Qualifications of the Individual Consultant

The individual consultant contracted should have at least the following qualifications:

- a. Must have Master's degree in social sciences or related disciplines such as anthropology, sociology or community development;
- b. Must have at least five (5) years of experience in the conduct of assessment and/or evaluation of development programs;
- c. Must have experience in doing at least five (5) qualitative research through field observations, key informant interviews, focus group discussion, archival/desk reviews;
- d. Must have headed the conduct of at least five (5) program/project evaluation studies with at least 500 samples; and
- e. Must have significant knowledge about DSWD Kalahi-CIDSS and/or Community-Driven Development (CDD) Programs.

The individual consultant will be subjected to qualification-based evaluation (QBE) procedure.

## VII. Indicative Contract Price and Terms of Payment

For services satisfactorily rendered and complying with the agreed deliverables, the consultant will be paid the total amount of one million pesos (P1,000,000.00), inclusive of applicable taxes. Cost includes all professional service fees and operational expenses including scoping, development of research tools, piloting, data gathering, supplies, logistical costs, and all research-related meetings. Furthermore the consultant shall shoulder all the travel and accommodation costs of no more than two (2) DSWD staff who will be observing the quality of data collection during fieldwork.

Payment will be made in four tranches upon submission and acceptance of the following:

Milestone (Deliverable)	Tranche	Amount (PhP)
Inception Report	1 <sup>st</sup> Tranche (10%)	100,000.00
Data gathering instruments	2 <sup>nd</sup> Tranche (35%)	350,000.00
Fieldwork Updates/Progress Reports	3 <sup>rd</sup> Tranche (25%)	250,000.00
Final/Packaged Process Evaluation Report and Presentation of Findings	4 <sup>th</sup> Tranche (30%)	300,000.00
	<b>Total</b>	<b>PhP 1,000,000.00</b>



DSWD-Central Office  
**PROCUREMENT SERVICE**

APR 18 2018

BAC Secretariat  
Procurement Planning and Management Division  
Received by: \_\_\_\_\_  
Time: 3:47 pm Control No.: \_\_\_\_\_

MEMORANDUM

TO : MARY ANGELINE DP. ARABIT-TOLENTINO  
Director, Procurement Management Service

ATTN : KARINA ANTONETTE A. AGUDO  
BAC Secretariat Head and OIC, Procurement Planning and Management Division

MICHELLE C. OXINA  
Procurement Officer-in-Charge

FROM : MARIA LOURDES T. JARABE  
Deputy National Program Director and OIC  
KC-NCDDP

DATE : 5 April 2018

SUBJECT: Amended Procurement Documents for KC-NCDDP Tier 2 and IP-CDD Process Evaluations; and IP-CDD PE Sample Areas

In relation to your additional comments on our submitted documents on the engagement of external consultants for (i) KC-NCDDP Tier 2 and (ii) Indigenous Peoples – Community-Driven Development (IP-CDD) Process Evaluations (PE), herewith attached are the following revised documents:

1. Revised evaluation criteria on the hiring of external consultants for KC-NCDDP Tier 2 PE. Adjustments made include: changing the scores from range to exact; and non-consideration of credentials that are less than the minimum requirements in terms of educational background, experiences and past researches/evaluations conducted, hence the removal of scores.
2. Revised evaluation criteria on the hiring of external consultants for KC-NCDDP IP-CDD PE. Adjustments made include: changing the scores from range to exact; and non-consideration of credentials that are less than the minimum requirements in terms of educational background, experiences and past researches/evaluations conducted, hence the removal of scores.

Further, below are the target study areas for the KC-NCDDP IP-CDD PE:

Region	Province	Municipality	Barangay
IX	Zamboanga Sibugay	Tungawan	San Vicente & Sto. Nino
XI	Davao del Norte	Talaingod	Sto. Nino
		Kapalong	Gupitan


We hope you will find everything in order.

Thank you very much.

*Handwritten notes and signatures:*  
4/19/18  
MARIA LOURDES T. JARABE  
Deputy National Program Director and OIC  
KC-NCDDP

Evaluation Criteria for the Hiring of KC-NCDDP Tier 2 Process Evaluation Consultant (Individual)

Description	%
<b>BACKGROUND</b>	
Has a Master's degree in Social Sciences or related disciplines such as Anthropology, Sociology or Community Development.	20%
<i>Doctorate Degree in abovementioned courses – 20%</i> <i>Master's Degree in abovementioned courses – 18%</i>	
<b>EXPERIENCE</b>	
Has at least five (5) years of experience in the conduct of assessment and/or evaluation of development programs.	20%
<i>More than 5 years of experience – 20%</i> <i>5 years of experience – 18%</i>	
Has experience in doing at least five (5) qualitative research through field observations, key informant interviews, focus group discussion, archival/desk reviews.	20%
<i>More than 5 quantitative and qualitative researches – 20%</i> <i>5 quantitative and qualitative researches – 18%</i>	
Has headed the conduct of at least five (5) program/project evaluation studies with at least 500 samples	30%
<i>More than 7 evaluation studies with at least 500 samples – 30%</i> <i>7 evaluation studies with at least 500 samples – 29%</i> <i>6 evaluation studies with at least 500 samples – 28%</i> <i>5 evaluation studies with at least 500 samples – 27%</i>	
<b>KNOWLEDGE OF THE PROGRAM/CDD</b>	
Has significant knowledge about DSWD Kalahi-CIDSS and/or Community-Driven Development (CDD) Programs	10%
<i>Directly worked or conducted studies within or in cooperation with the Kalahi-CIDSS program – 10%</i> <i>Has worked or conducted studies on CDD programs but did not within or in cooperation with the Kalahi-CIDSS program – 8%</i> <i>Has not worked or conducted studies on CDD programs or Kalahi-CIDSS but has some knowledge – 6%</i> <i>Has little knowledge or about CDD Programs – 5%</i>	
<b>TOTAL</b>	<b>100%</b>
Passing Rate: 80%	

  
 USEC. MARIA LOURDES T. JARABE  
 Deputy National Program Director and OIC  
 KC-NCDDP

