



Assessment of Livelihood Success and
Implementation Issues on the Sustainable
Livelihood Program of the DSWD

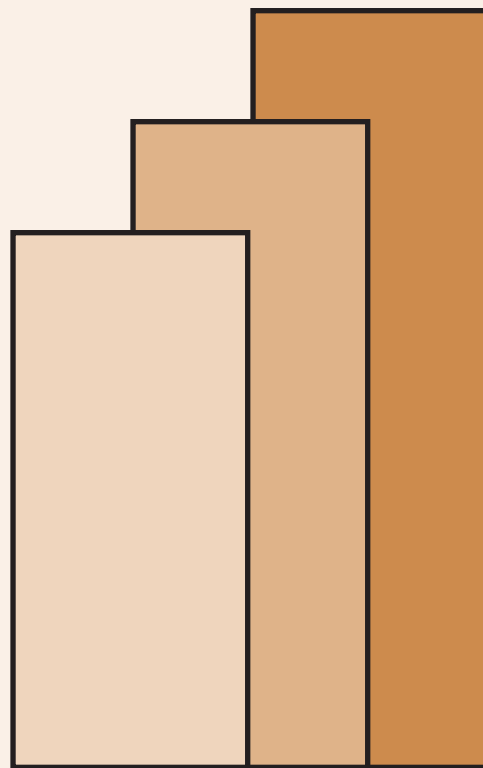
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Abstract

The study aims to assess the sustainable livelihood program (SLP) implementation processes based on recent policy enhancements and to determine additional dimensions or indicators of program success. The analysis is based on focus group discussions and key informant interviews and a survey of a small sample of beneficiaries. Majority of those served by the program have expressed positive results from the SLP intervention particularly when it comes to the skills training. There is a felt improvement in the standard of living experienced from additional household income, business expansion and a stable source of employment. Other dimensions of success include increased motivation to be productive; better links to employment or that the program provided a form of social protection. However, beneficiary targeting is poor with parent leaders, their friends and relatives capturing most of the benefits. Delays in project review and approval caused potential beneficiaries to drop out; backed-out or find other opportunities. Moreover, the establishment of SLP associations is viewed as a deterrent instead of a mechanism for success. Overall, additional reforms in the delivery of program services is still needed. The reforms should focus on beneficiary targeting and development of characteristic-based assessment tool on beneficiary readiness and capacities. DSWD also needs to examine project review and approval; caseload of PDOs and issues with regard to social preparation and development of associations. Lastly, an impact evaluation has to be undertaken to provide better evidence of program success.

Keywords

livelihood, microenterprise, employment, poverty

Assessment of Livelihood Success and Implementation Issues on the Sustainable Livelihood Program (SLP) of the DSWD

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I. Background and Objectives of the Study

In 2011, DSWD launched the Sustainable Livelihood Program (SLP) to provide livelihood assistance to poor, primarily *Pantawid* households. The livelihood assistance is in the form of microenterprise development (MD) and employment facilitation (EF). The MD track is derived from the previous SEA-K (Self Employment Assistance Kaunlaran) program of the DSWD, a microcredit program that provides small loans to the poor to encourage entrepreneurial activity and savings generation. On the other hand, the EF track is patterned after the DOLE strategy of job matching and skills training to facilitate employment.

Rapid assessments during SLP's initial years were undertaken by external consultants primarily to look into the development of community driven enterprises and improve the participation of households and to link communities to markets and formal financial institutions.¹ The PIDS also provided an earlier assessment of the implementation processes of the SEA-K (MD track) and EF track in 2014 and 2015, respectively. These assessment studies noted the need to improve the delivery of program services and to assess DSWD's capacity especially its field personnel to perform both microcredit functions and employment facilitation at the same time. It was also reported that beneficiaries primarily choose their own tracks to participate in either the microenterprise or employment track. DSWD does not have specific guidelines or characteristic-based criteria to determine whether a beneficiary is appropriate for a specific track.

DSWD adopted some policy changes thereafter to enhance program implementation and improve the chances of livelihood success of the beneficiaries. For the MD track, a major change was the shift from a microcredit scheme to a capacity building strategy whereby financial assistance is given in the form grants to organized group of beneficiaries to build entrepreneurial and savings capacity of members. Group enterprises are strongly encouraged as well as activities that will help build cohesion within groups.

For the EF track, the DSWD has strengthened partnerships with both public and private manpower services and training institutions especially training institutions that are link to employment in the private sector. DSWD also encouraged higher outputs for the EF track. The low take-up rate for employment among *Pantawid* households has been reported in the earlier studies. This was found surprising because employment is usually preferred by households since it is associated with lower risk than microenterprise.

¹ PinoyME (2011). MIDTERM REPORT: Consultancy services for Development of Community-Driven Enterprise Development Framework for Social Protection Reform

This view has also been supported by the labor force data.² To address the issue of low take-up, DSWD set the proportion for EF outputs to 45% of total SLP outputs from a low of 20% based on actual performance for four years since the start of SLP. However, according to SLP officials this policy caused the low utilization of SLP budget because job opportunities are very limited in some areas. In response, DSWD allowed for flexibility and required higher outputs of EF mainly in cities or urbanized localities.

Another reform undertaken was to further strengthen the principles of community driven development for both MD and EF. Instead of simply resource-based and market driven initiatives, the community development efforts are now focused on results-based innovations and sustainable interventions. Guided participation, internal convergence and multi-stakeholder approach are also given greater emphasis.

This second round of SLP assessment is undertaken to examine the implementation of the new sets of protocol and comparing them with the old one. It also considers the MD and EF tracks as alternative options of livelihood under the SLP instead of separate or independent components of SLP. This consideration is relevant given that the sorting of beneficiaries to MD and EF tracks is a process that would likely affect the outputs because beneficiary characteristics would influence the chances of livelihood success. The paper also examines indicators of livelihood success and how these indicators are reflected in the program based on actions displayed by the beneficiaries and the experience gained in the implementation of the program.

The paper is organized as follows, Section II presents the methodology of the study. Section III presents an overview of the SLP and the policy reforms that have been undertaken overtime to enhance program processes. Sections IV to VIII discusses the roles, assumptions, obstacles, and issues of SLP key stakeholders and how these have influenced program implementation and outputs. Section IX examines the concepts of livelihood success and relate them to SLP outcomes. The last section concludes and recommends policies/strategies to improve SLP as a livelihood program.

II. Methodology

To gain understanding of the various dimensions of program implementation and their attendant issues, we sought to engage different types of actors involved in SLP as respondents. We engaged seven groups of respondents: SLP Implementing Project Development Officers (IPDOs), SLP Employment Facilitation (EF) beneficiaries, SLP Microenterprise (MD) beneficiaries, training institutes, partner private employers, National Government Agency or Local Government Unit employers, and Public Employment Service Office (PESO) officers. Our respondents fall under three main categories: SLP field implementers, SLP beneficiaries, and SLP partners. Each offer unique perspectives on SLP from the distinct positions they occupy in the SLP project cycle. We carried out focus groups with IPDOs, EF beneficiaries and MD beneficiaries, and KIIs with SLP partners.

To capture variations in SLP implementation across different geographic and economic contexts, we set out to collect data in four main area clusters: the islands groups of Luzon, Visayas, Mindanao, and the National Capital Region (NCR). We consider NCR as a separate cluster to represent highly urbanized

² Based on PSA labor force survey (April 2014 round) more than half of our labor force (57.5%) consists of wage and salary workers and only one-third are self-employed.

areas. In the three island groups, we selected the provinces of Pangasinan, Cebu, and Davao del Sur. In NCR and the three provinces mentioned, we selected a pair of city/municipal local government units (LGUs). Except in NCR, the two LGUs are to consist of a rural LGU and an urban LGU. Drawing on the Philippine Statistics Authority's classification of barangays as urban or rural, we define an LGU to be urban (rural) if (1) more than half of its population resides in urban (rural) barangays, and (2) more than half of its constituent barangays are urban (rural). The LGUs we selected were Dagupan City and Malasiqui in Pangasinan, Cebu City and Cordova in Cebu, Davao City and Matanao in Davao del Sur, and Caloocan and Manila in NCR. We chose the rural LGUs for their relatively close proximity to the urban LGUs which were to serve as the fieldwork team's base.

The team planned to conduct a total of 20 focus groups and 32 interviews. These consist of one FGD with IPDOs per province (NCR included), and one KII or FGD with each of the six other groups of respondents in each of the eight city/municipal LGUs. Participants to the FGDs with IPDOs are selected at the level of the province (or region, in NCR's case), while participants to the other FGDs and KIIs are selected at the city/municipal level. The number of FGD participants we requested SLP to recruit for our FGDs is seven (7), which we thought gives a good balance between participant diversity and group manageability. We requested that participating IPDOs each come from a different LGU in the province. Similarly, we requested that SLP beneficiaries come from different barangays and, for MD beneficiaries, different SLP associations.

SLP's National Program Management Office provided assistance in linking the team up with the SLP Field Offices of Regions I, VII, XI, and NCR. The field offices mobilized regional-, provincial-, and/or municipal/city-level SLP staff to recruit respondents for our FGDs and identify potential respondents for our KIIs. Field SLP also arranged the venue of the FGDs, most of which were done in the local DSWD office. We arranged the interview appointments with KII respondents ourselves after being provided by SLP with their contact information. Most KII respondents were visited in their offices, although some came to venues prearranged by DSWD.

Fieldwork was carried out from November 6, 2017 to November 29, 2017. The team visited the four clusters in succession, spending two to four days at each one. At the beginning of each FGD and KII, informed-consent procedures were explained and consent forms were distributed for participants to read and sign. All interviews were tape-recorded with the permission of the participants. The facilitators used a discussion/interview guide in every interview.

The absence or unavailability of respondents led to deviations in the actual number and location of the interview activities we conducted. For instance, there were no interviews with training and employment partners in any of our chosen rural LGUs as all of those identified by SLP are located in an urban LGU. Interviews with employers were the hardest to secure. In cases wherein the SLP office did not identify an employer, the identified employer was unavailable at the time of the fieldwork, or the employer's office was too far from the team's base to make pursuing the interview impractical, no interview with an employer was conducted. In addition, the team exercised flexibility in pursuing FGDs and KIIs outside of the LGUs we identified in situations wherein the SLP field office managed to arrange an FGD of SLP beneficiaries from a different LGU, or if the identified key informant holds office in a different LGU.

The team conducted a total 20 FGDs and 17 KIIs. Table 1 tabulates the activities we accomplished in each of the four area clusters. Table 2 lists the LGUs we visited during the fieldwork under each cluster.

Table 1. Focus groups and interviews conducted per cluster

Type of interview	Luzon (Pangasinan)	Visayas (Cebu)	Mindanao (Davao del Sur)	NCR	Total
FGD with IPDOs	1	1	1	1	4
FGD with EF beneficiaries	2	2	2	2	8
FGD with MD beneficiaries	2	2	2	2	8
KII with Training Institute	2	2	2	2	8
KII with PESO	1	2	1	1	5
KII with Private Employer	0	0	0	2	2
KII with NGA/LGU Employer	1	0	1	0	2
Total	9	9	9	10	37

Table 2. Fieldwork sites

	Luzon (Pangasinan)	Visayas (Cebu)	Mindanao (Davao del Sur)	NCR
Urban	Dagupan City Lingayen	Cebu City Danao City Mandaue City	Davao City Digos City	Caloocan City Manila Pasig City
Rural	Malasiqui	Consolacion	Matanao	NA

III. Overview of SLP and Policy Reforms

The Sustainable Livelihood Program (SLP) provides identified poor and vulnerable families and individuals the appropriate income-generating opportunities to help improve their level of economic sufficiency. Economic sufficiency is defined in terms of several indicators such as employable skills, employment, income, social security and access to financial institutions. These are long term goals that can be achieved through different interventions of government and are not necessarily directly attributed to the SLP.

The long term direct benefits of SLP is defined in terms of the beneficiaries' engagement in quality livelihood and/or jobs and increased incomes. It is envisioned that support to marginalized households through capacity building activities, skills training, job coaching and financial support will enable SLP participants to access assets and jobs and engage in sustainable livelihood activities.

DSWD has identified several indicators of success to assess these program goals. The intermediate outcomes are measured in terms of the number of SLP participants who have or are involved in a microenterprise with ongoing business operations for Microenterprise Development (MD) and number of SLP participants who are employed for EF. On the other hand, the end of program outcome is measured in terms of the percentage of SLP participants involved in an active microenterprise, i.e., has ongoing business operations for the past 3 months and is at least breakeven. For the EF participants, the indicators are: 1) have a regular or permanent job, or 2) have worked for at least 4 months (at least 704 hours) during the past 6 months, and 3) are currently working and have worked for at least 3 consecutive months (at least 528 hours).

The SLP results chain shows how the different inputs and activities of SLP are linked together to achieve the intended impact of expanding the livelihood asset base of the participants to capacitate them in being able to either have gainful employment or successfully manage a microenterprise (**Figure 1**). There are two parts of the results chain, which are: (1) operations monitoring; and (2) results monitoring.

The operations monitoring aims to track the program's inputs, activities, and outputs in view of the program's desired outcomes. The inputs of the SLP include funds, manpower, infrastructure and systems. Systems are the number of systems developed and operationalized. In the 2015 Field Operations Manual (FOM), which is the one currently used, SLP has six main stages of implementation which are: 1) Area Identification, 2) Participant Identification, 3) Project Identification, 4) Project Review and Approval, 5) Project Implementation, and 6) Monitoring and Evaluation.

The first set of SLP activities, which is the area, participant, and project identification, is essentially the first three stages of the program. These three stages are considered simultaneously. A single project cycle usually takes more than a year. The Area, Participant and Project Identification stages occur during the second semester of the prior year while the Project Implementation happens at the first semester of the current year and monitoring on the second semester of the current year.

The six stages of implementation are compressed into five stages under the proposed 2017 SLP FOM (**Table 3**). The 5 stages which are: 1) Social Preparation, 2) Project Development, 3) Project Proposal Review and Approval, 4) Project Operationalization, and 5) Project Sustainability. The Area, Participant, and Project Identification falls under the Social Preparation Stage.

In the Area Identification, priority areas are identified based on the existing opportunities and the capacities or resources of the possible participants in the area. The target participants are the *Pantawid Pamilya* families but *Non-Pantawid Pamilya* families that are identified as poor families based on the *Listahan* may still be covered by the program. For Project Identification, the priority projects are based on the viability and sustainability, given the location or proximity to the intended market and the resources of the target participants. Before the actual identification, sufficient data collection and analysis on markets and resources must be undertaken. In the new FOM, those who are not included in the *Listahan* Database can still qualify through a proxy means test that indicates whether they are poor. The Project Development Officers (PDOs), the lead program implementers, must work closely with the City/Municipal Link (C/ML) and Area Coordinator (AC) in particular for the data collection.

After the data collection and analysis, they should be able to come up with an Opportunity Identification Matrix that identifies the market opportunities and the resources with the target area (**Table 4**). To identify the actual barangays and participants to be targeted for the priority opportunities, the Barangay Ranking Matrix (**Table 5**) is used. The ranking is based on the total number of *Pantawid Pamilya* family members who fit the profiles of the target participants of all the priority opportunities. In the 2017 FOM, the barangay identification has now more criteria other than the total number of target 4Ps family members. Among the additional criteria are the density of unserved 4Ps and non-4Ps households, the availability of natural resources, the presence civil society, etc. The PDOs with the help of the C/ML drafts the project proposals based on the opportunity identification matrix. As part of the community validation and consultation, the City/Municipal Action Team (C/MAT) would then have to orient the key stakeholders (Pantawid Pamilya Parent Leaders, Barangay Sub-Project Management Committee [BSPMC] leaders, local officials, barangay health workers, representatives from cooperatives)

of the barangays regarding SLP and form the Community Core Group (CCG), who will be co-implementers of SLP. Another responsibility of the C/MAT is to find appropriate set of interventions for those participants who will not be covered under the priority projects. Only after all the proposals are concurred by the city/municipal stakeholders can they be submitted to the PC and the Regional Program Management Office (RPMO) for approval. In the new FOM, the Implementing PDO (IPDO) now has to undergo community integration aside from the community validation and consultation. In the community integration, the IPDO has to reside in the community for 2-3 weeks to gain knowledge of the context, and get the trust and respect of the community. For track selection, participants usually choose their track after a general orientation. In the proposed 2017 FOM, the track selection would only be made after a Microenterprise Development Training. Part of the MD training is learning about enterprise development and financial management.

The second set of SLP activities is the Project Review, Approval, and Implementation. Before the proposals are endorsed to the Field Office, they should first be approved by the Provincial Coordinator (PC). A Provincial Project Development and Assessment Workshop is conducted where PDOs present their project proposals. During the workshop, enhancements are made based on the PCs and other stakeholders' valuable feedbacks. The Regional Program Coordinator (RPC) or other Field Office (FO)-based staff may also be invited. The PDOs shall then finalize the proposals based on the feedbacks to be endorsed by the PC to the Field Office for approval. The RPMO will be the one to inform the PCs once the proposals are approved, which will then be relayed to the PDOs. The PDO, assisted by the PC and the FO-based RPMO staff, shall ensure that all the project components that need to undergo the procurement process do so. The expected outputs from this are: Notice of Award, Notice to Proceed (for competitive bidding), Purchase Order (for alternative modes of bidding), or Resolution and Contract (for agency-to-agency), and Obligation Request.

As for the Project Review, which is done simultaneously with the process of approval, the PDO and the CCG does regular consultation and planning sessions with the other participants to continually develop the projects. It is also during this time that the participants are provided with additional social preparations before they undergo the activities. For those who are set to undergo employment, they are oriented on the basics of job application and work ethics. For those who are set to be part of a group enterprise, they are guided in the process of group formation and business planning. They should be able to learn how to work well with others when it comes to operating the business. They will be guided as they elect their officers and formulate their group policies and regulations and come up with a business plan. The PDOs and the CCG may tap local partners for the sessions as resource persons- e.g. Civil Society Organizations (CSOs), academic institutions, MFIs, faith-based organizations, etc. If in the current FOM, only the MD track participants are organized into SLP Associations, in the proposed 2017 FOM, all SLP participants, including Employment Facilitation (EF) track participants are proposed to group themselves and form SLPAs.

For Project Implementation, projects may be implemented using a single modality or a combination of these, along with other additional activities. SLP has four modalities which are 1) Skills Training (ST), 2) Pre-Employment Assistance Fund (PEAF), 3) Cash for Building Livelihood Assets (CBLA), and 4) Seed Capital Fund (SCF). The Skills Training is usually integrated with other interventions such as group formation and enterprise establishment and job application. The PEAF, or the assistance in acquiring requirements for employers, is exclusive to the employment facilitation track and is also usually

packaged with other EF interventions. CBLA encourages short-term and labor-intensive projects that will open opportunities for poor families to add to their income. The SCF is a grant given to an SLP association to set up a community-based credit and savings facility, and to provide start-up or additional financial capital for businesses. The business may be individually managed or a group enterprise. The maximum seed capital fund grant is P10,000 per participant. In the case of skills training for MD or EF, the maximum cost spent per participant is P20,000. The EF support through PEAFF is P5,000 per beneficiary.

The third SLP activity is Partnership Building. One of the key principles and strategies of the program is internal convergence which highlights the crucial relationship of the SLP, Pantawid Familya and the KC-National Community-Driven Development Program (KC-NCDDP) field implementers' which essentially have the same goals of improving the level of well-being of the poor communities. Aside from public co-implementers, SLP can also have partnerships with private sector stakeholders. An example of this partnership can be seen during the identification stages where the PDOs must work closely with Pantawid implementers such as the City/Municipal link and Area Coordinator. Different partners are also involved in the project approval, review and implementation stage as well as in the monitoring stage as seen in the previous discussions.

The second part of the results chain is results monitoring. The results monitoring aims to measure and analyze accomplishment data based on its desired outcomes to improve program implementation. This is the last stage of implementation. Again, the PDOs have a critical role in the monitoring and evaluation process as they are the primary data collector and crucial end user. They must not only ensure that the data is reliable but must also incorporate the results-based information in their evaluation for better follow through on the implementation resulting to better impact. The results monitoring includes the development of database using indicators that measure the immediate, intermediate and end of program outcomes identified in the results chain.

The expected output from the PDOs in this stage are the Field Monitoring Forms. They also input the data they gathered in the SLP Information System (SLPIS). The Monitoring and Evaluation (M&E) Officer for Operations and Finance then processes all the data gathered and identifies problems and issues based on the trends in the data. Reports are then prepared by the Field Offices not only for compliance, but also for data sharing for internal/external convergence as well as transparency and accountability to the program's participants and stakeholders. Also, these reports can be used as basis for the next cycle's implementation. The results-based monitoring and evaluation (RBME) is crucial in improving the implementation of the program.

This monitoring stage is already in place in several SLP areas. The DSWD has engaged the services of Monitoring PDOs (MPDOs) to undertake post-SLP assistance tracking, technical assistance, and coordinating functions previously handled by the Implementing PDO. Monitoring will be done for two years, in which time, the program participants are able to scale up their business operations and become self-governing.

Figure 1: SLP Results Chain

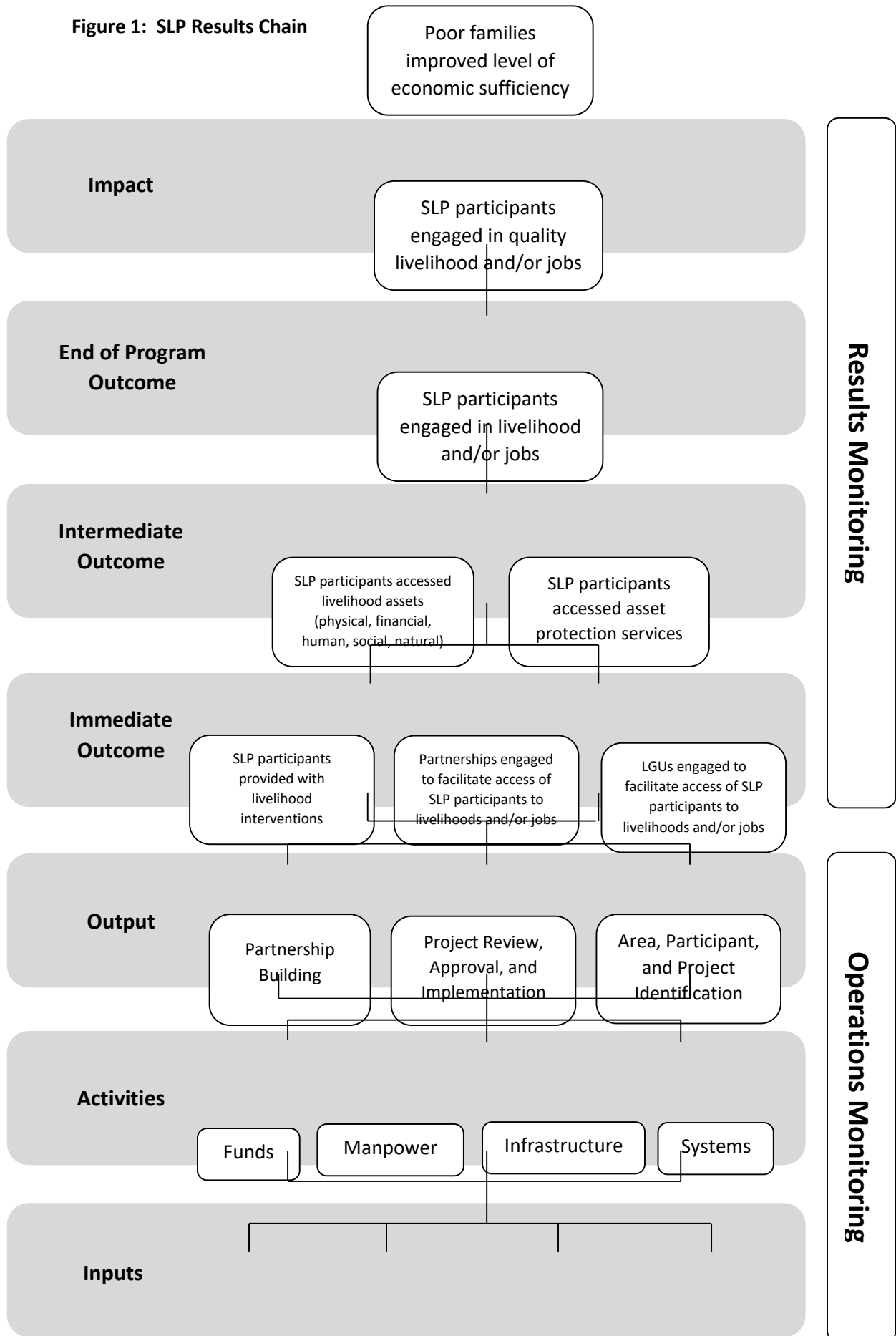


Table 3. SLP Field Operations Key Processes and Enhanced Policies, 2011-2017

	2011	2014	2015 SLP FOM	Proposed 2017 SLP FOM DRAFT
Goal	Enabling the poor to manage sustainable microenterprises and linking them to locally-available jobs to enhance their access to basic social services and improve standard of living	Facilitating or linking the poor households to economic opportunities to transition them from survival to self-sufficiency	Providing the poor income generating opportunities to help improve their level of economic sufficiency	Creating an enabling environment for the poor to access income generating opportunities to address basic needs, thereby improving their socio-economic well-being
Principles	Development of resource-based and market-driven ventures to improve economic viability and profitability of microenterprises Promotion of diversified microenterprises by having primary and secondary	Implemented through CDED using the concepts of resource-based and market driven principles to meet program's deliverables Internal convergence with other core social protection programs of DSWD	Results-based innovations Sustainable interventions Guided participation Multi-dimensional and multi-stakeholder approach Internal convergence	Same as 2015
Target Participants	Poor HHs as identified through the NHTS-PR prioritizing Pantawid Pamilya	Eligible individual/s representing a Pantawid Pamilya household. Eligible individual/s listed by NHTS-PR and other qualified poor households	Pantawid Pamilya families; family member(s) who is (are) most capable and willing to undergo the program activities Non-Pantawid Pamilya families that are identified as poor families based on the Listahanan Non-Pantawid Pamilya families that are not included in the Listahanan but with	Same as 2015 Coverage of non-4Ps families, who are not included in the Listahanan database, would be determined through a proxy means test that indicates whether they are poor (using the Household Assessment Form)

			certificate of indigency or part of a vulnerable group (e.g. PWDs, older persons, OSYs, disaster-affected)	
Area Identification	Target areas are barangays that were first served under the 4Ps program. Pantawid beneficiaries were identified based on sets. SLP prioritized areas with Set 1 and Set 2 Pantawid beneficiaries	The selection of barangays based on the number of 4Ps families regardless of the period the families were considered 4Ps beneficiaries.	The selection of barangays to be targeted is based on the total number of 4Ps family members.	Barangay targets based on the following criteria: (1) density of unserved 4Ps and non-4Ps households (50%); (2) availability of natural resources (15%); (3) presence of DSWD programs and other national or local government development programs, projects, and activities (15%); (4) accessibility of the barangays to the poblacion or commercial areas and formal financing institutions (10%); and (5) civil society (CSOs, NGOs, business sector) involvement and assistance provided for the community (10%)
Tracks	Track 1: Microenterprise Development (MD) Track 2: Guaranteed Employment and Job Network Service	Track 1: Microenterprise Development (MD) Track 2: Employment Facilitation (EF)	Same as 2014	Same as 2014
Modalities	Self-Employment Assistance-Kaunlaran (SEA-K)	Capital Seed Fund Skills Training Fund Cash for Building Livelihood Assistance (CBLA)	Capital Seed Fund Skills Training Fund Cash for Building Livelihood Assistance (CBLA) Personal Employment Assistance Fund (PEAF)	Same as 2015

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Funding per participant	SEA-K = P10,000	CSF= P10,000 Skills Training = P20,000 CBLA = 75% of minimum wage	CSF= P10,000 Skills Training = P20,000 CBLA = 75% of regional minimum wage PEAF = P5,000	CSF= P15,000 Skills Training = P15,000 CBLA = 75% of regional minimum wage PEAF = P5,000
Stages of Implementation	1)Social Preparation 2)Capacity Building 3) Accessing and Provision of other support services 4)Monitoring and Evaluation. Note: capacity building is only for MD track	1)Pre-implementation Stage 2)Social Preparation 3)Capacity-building 4)Resource Mobilization 5)Project Implementation, Monitoring and Sustainability	1)Area Identification; 2) Participant Identification; 3) Project Identification; 4) Project Review and Approval; 5) Project Implementation; and 6) Monitoring and Evaluation	1) Social Preparation; 2) Project Development; 3) Project Proposal Review and Approval; 4) Project Operationalization; and 5) Project Sustainability
Community Integration			There is a community validation and consultation. The C/MAT first meets and orients the key stakeholders (e.g. Pantawid Familya Parent Leaders, local officials, barangay health workers, etc.). Selected SLP participants are then convened for an orientation on the SLP.	-- The IPDO conducts: (1) a coordination meeting with the Barangay LGU and other community leaders; (2) household data vetting where the PDO verifies the information in the household profiles and conducts interviews with the potential SLP participants (using the Household Profiling Questionnaire); and (3) conducts the Barangay Assembly.
Formation of the SLP Association (SLPA)	Only for Microenterprise Development Track participants	Only for Microenterprise Development Track participants	Only for Microenterprise Development Track participants.	The potential SLP participants (both MD and EF tracks) are to group themselves and form SLPAs.
Track Selection	The participants usually choose their track after orientation	The participants usually choose their track after orientation	The participants usually choose their track after orientation.	The track selection would be made after basic MD Training. In the basic MD Training participants are apprised

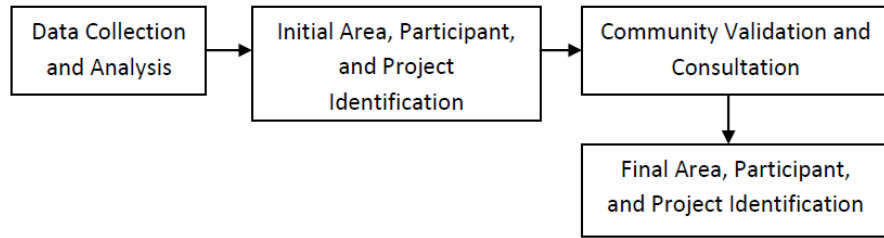
				about enterprise development and financial management.
Monitoring	There is no PDO solely assigned to the monitoring of the participants	There is no PDO solely assigned to the monitoring of the participants	There is no PDO solely assigned to the monitoring of the participants.	Engage the services of a Field Monitoring PDO (MPDO) to monitor outputs and outcomes of SLP. The implementing PDO (IPDO) is mainly in charge of the targeting and provision of program support.
Indicators of Immediate Outcome	- SLP participants served - Pantawid and Non-Pantawid households served	- SLP participants served - Pantawid and Non-Pantawid households served	-SLP participants accessed livelihood assets (physical, financial, human, social, natural) - SLP participants accessed asset protection services	- SLP participants are employed, - Physical and natural assets protected/rehabilitated, rebuilt - Microenterprises are established/enhanced/diversified - SLPAs formed
Indicators of Intermediate Outcome	-Fund recovery/Repayment performance - SLP participants engaged in jobs	-Fund Recovery/Repayment performance - SLP participants engaged in jobs	SLP participants engaged in livelihood and/or jobs	- SLP participants are gainfully employed - Self-governing SLPAs established - SLP participants gained profit from microenterprise
Indicators of End-of-Program Outcome	SLP participants that moved out of poverty and are assess self-sufficient (using SWDI)	SLP participants that moved out of poverty and are assessed self-sufficient (using SWDI)	SLP participants engaged in quality livelihood and/or jobs	SLP participants increased incomes

Source. DSWD FOM 2013; MC2014; FORM 2015 and proposed FOM 2017.

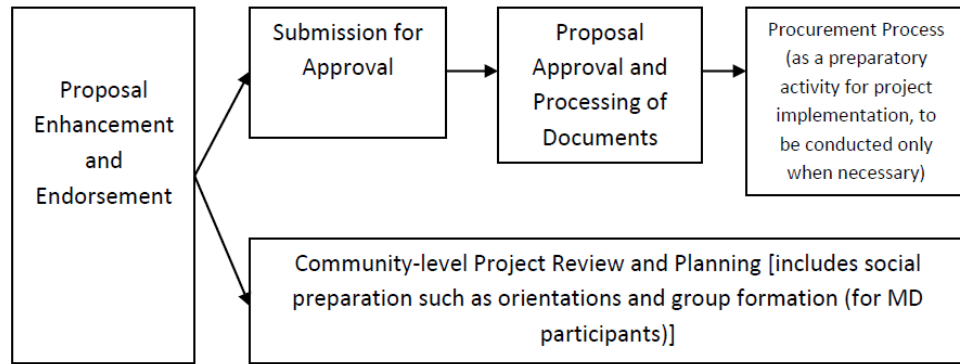
Note: SLP FOM 2017 is yet to be approved but some policies especially pertaining to processes have been adopted through DSWD Administrative Circulars/Memoranda. In particular, changes in Monitoring and Evaluation are in place and currently implemented.

Figure 1: Flowchart of SLP Process

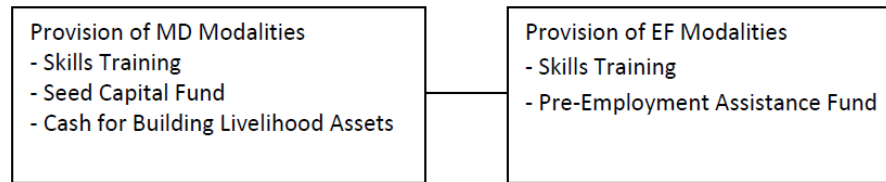
Area, Participant, and Project Identification
(PDO, with the help of City/Municipal Link, and Area Coordinator)



Project Review and Approval
(PDO, CCG, Local Partners, Provincial Coordinator, FO-based RPMO)



Project Implementation
(PDO)



Monitoring and Evaluation
(PDO, PC, M&E Officers for Operations and Finance, National Program Management Office (NPMO))

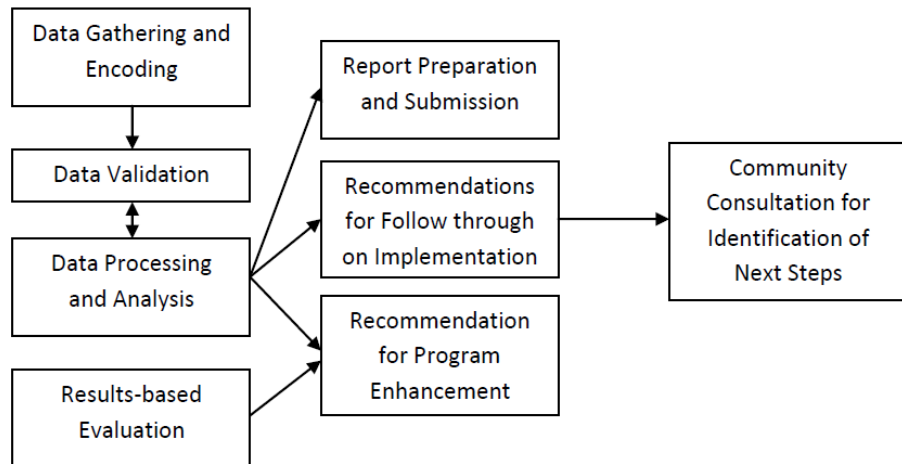


Table 4: **Opportunity Identification Matrix**

		Labor	Product	Service
Market	Opportunities	<p>Labor market opportunities from:</p> <ul style="list-style-type: none"> - PESO, Local DOLE office, Phil-JobNet - Local business - LGU <p>Internal DSWD labor market opportunities:</p> <ul style="list-style-type: none"> - Construction workers for KC-NCDDP sub-projects - Other skilled and unskilled labor requirements for KC-NCDDP sub-projects - Other administrative/clerical staff positions in the Field Office, Provincial Office, C/MSWDO, etc. 	<p>Product market opportunities from:</p> <ul style="list-style-type: none"> - Local DTI office - Local DOLE office - Local business registry - LGU <p>Internal DSWD product market opportunities:</p> <ul style="list-style-type: none"> - Provision of supplies/materials (e.g. hollow blocks, wood, other construction materials) for KC-NCDDP sub-projects - Provision of food items for the Supplementary Feeding Program (SFP) - Provision of other food and non-food products needed in the Field Office, Provincial Office, C/MSWDO, etc. 	<p>Service market opportunities from:</p> <ul style="list-style-type: none"> - Local DTI office - Local DOLE office - Local business registry - LGU <p>Internal DSWD service market opportunities:</p> <ul style="list-style-type: none"> - Food catering for KC-NCDDP sub projects - Food catering for DSWD activities (e.g. training, conferences, assemblies) - Other service needs in the Field Office, Provincial Office, C/MSWDO, etc.
	Human Capital	<p>Basic profiles of Pantawid Pamilya families:</p> <ul style="list-style-type: none"> - Age - Educational attainment - Work experience (wage or self-employment) - Products (including food and non-food, raw, semi-processed, and finished goods) - Services (e.g. maintenance, construction, carpentry, repair, food service, laundry, housekeeping, cosmetology, sewing) 	<p>Basic profiles of Pantawid Pamilya families:</p> <ul style="list-style-type: none"> - Age - Educational attainment - Work experience (wage or self-employment) - Products (including food and non-food, raw, semi-processed, and finished goods) - Services (e.g. maintenance, construction, carpentry, repair, food service, laundry, housekeeping, cosmetology, sewing) 	<p>Basic profiles of Pantawid Pamilya families:</p> <ul style="list-style-type: none"> - Age - Educational attainment - Work experience (wage or self-employment) - Products (including food and non-food, raw, semi-processed, and finished goods) - Services (e.g. maintenance, construction, carpentry, repair, food service, laundry, housekeeping, cosmetology, sewing)

Resources	Social Capital	<p>Public and private partners who can provide:</p> <ul style="list-style-type: none"> - Employment opportunities - Employment opportunities through on-the-job-training (OJT) or dual training system (DTS) arrangements - Skills training for acquisition/enhancement of employable skills - Linkage to employment opportunities, Tax Identification Number (TIN), SSS membership, PhilHealth membership, NBI or police clearance, copy of birth certificate, medical cert - Facilitation of acquisition or preparation of documents required for job application (e.g. cert 	<p>Public and private partners who can provide:</p> <ul style="list-style-type: none"> - Market opportunities (partners as buyers) - Skills training for acquisition/enhancement of skills - Facilitation or linkage to market opportunities - Facilitation of acquisition or preparation of documents to support the enterprise (e.g. business plan, business registration, Tax Identification Number (TIN) for the business, FDA clearance, marketing materials) 	<p>Public and private partners who can provide:</p> <ul style="list-style-type: none"> - Market opportunities (partners as buyers) - Skills training for acquisition/enhancement of skills - Facilitation or linkage to market opportunities - Facilitation of acquisition or preparation of documents to support the enterprise (e.g. business plan, business registration, Tax Identification Number (TIN) for the business, FDA clearance, marketing materials)
	Natural Capital	(not applicable)	<ul style="list-style-type: none"> - Land (size, uses) - Crops -Other natural sources 	<ul style="list-style-type: none"> - Land (size, uses) - Crops -Other natural sources
	Physical Capital	<ul style="list-style-type: none"> - Supplies, materials on systems - Equipment, facilities - Road networks, transportation systems - Communication infrastructure (broadcasting and telecommunication services) 	<ul style="list-style-type: none"> - Supplies, materials on systems - Equipment, facilities - Road networks, transportation systems - Communication infrastructure (broadcasting and telecommunication services) 	<ul style="list-style-type: none"> - Supplies, materials on systems - Equipment, facilities - Road networks, transportation systems - Communication infrastructure (broadcasting and telecommunication services)
	Financial Capital	<ul style="list-style-type: none"> - External sources of funds (e.g. LGU/partner counterparts) - Internal sources of funds (e.g. SLP funds for ST, PEA, CBLA, and BUB) 	<ul style="list-style-type: none"> - External sources of funds (e.g. LGU/partner counterparts) - Internal sources of funds (e.g. SLP funds for ST, PEA, CBLA, and BUB) 	<ul style="list-style-type: none"> - External sources of funds (e.g. LGU/partner counterparts) - Internal sources of funds (e.g. SLP funds for ST, PEA, CBLA, and BUB)

Table 5: **Barangay Ranking Matrix**

		Barangays			
		A	B	C	D
General Information	Number of Pantawid Pamilya families				
	Number of self-sufficient families				
	Number of subsistence families				
Priority Opportunities for the City/Municipality					
Project Concept 1	Interventions and modalities to be implemented	A1	B1	C1	D1
Project Concept 2	Interventions and modalities to be implemented	A2	B2	C2	D2
Project Concept 3	Interventions and modalities to be implemented	A3	B3	C3	D3
Project Concept 4	Interventions and modalities to be implemented	A4	B4	C4	D4
Total indicative number of participants for priority projects					
Total indicative number of participants for other projects					
Rank					

IV. SLP Program Development Officers (PDOs) Service Delivery

Focus group discussions (FGDs) with SLP Implementing PDOs (IPDOs) were undertaken to understand how processes are operationalized; the challenges and obstacles of program implementation and the actions undertaken by IPDOs to address implementation issues.

The team conducted four FGDs with IPDOs. The FGDs were held in Dagupan City, Cebu City, Davao City, and Manila. The participants in each FGDs were IPDOs assigned in different city/municipal LGUs of Pangasinan, Cebu, Davao del Norte, and NCR, respectively. A total of 28 IPDOs participated in the FGDs. Each FGD had seven participants – 18 of them are female and 10 are male. The respondents were in the range of 20-45 years old.

The conduct of SLP processes can be classified into three main themes- area and beneficiary selection; operational essentials and opportunities and challenges. These themes are discussed below.

Area and beneficiary selection. Area and participant identification is the first stage of the SLP project cycle. Targets in terms of numbers are set by the Central Office and cascaded to the different regions and then to the provinces. The targets also include the ratio for MD and EF. For instance, in 2016 a ratio of 45% MD and 55% EF was set by the Central Office. However, accomplishments as of November 2016 show 65% MD and 35% EF. The DSWD has recognized that a one-size-fits-all policy is not applicable because of different opportunities in target areas. Thus, there are areas where MD outputs are higher than EF or vice versa.

The provincial coordinators allocate the targets for both MD and EF to cities and municipalities depending on the opportunities available in the provinces. The provincial coordinators have the flexibility to reallocate within the year to meet target accomplishments. The targets within municipalities/cities are equally divided among the PDOs assigned in the area. The PDOs then identifies the specific barangay and/or individuals to benefit from the program.

Based on the operations manual, the identification of individuals starts through the municipal or city link and convergence with the Pantawid staff. Since the primary target beneficiaries of the SLP program are the family members of Pantawid beneficiaries, the Pantawid database is the main source of information for the IPDOs. Through this convergence, the IPDOs come up with a list of potential beneficiaries. However, in several cases those in the list refuse to participate in SLP. A common reason mentioned is that they have other things to do or that the identified individual looks after the children.

The alternative option for the IPDOs is to introduce SLP during the monthly Family Development Seminar (FDS) of Pantawid beneficiaries and ask among those present to register their names or the names of other household members willing to participate in SLP. The IPDOs draw up their list from those who registered during the FDS. It appears that this alternative option is commonly used in many areas.

Operational details of SLP. In sorting of potential beneficiaries into the MD or EF track, the IPDOS often refer to the municipal/city links databases that provides information on age, skill and their expressed needs. From this profiling, the IPDOs determine if SLP intervention is appropriate.

The identified beneficiaries will then be oriented about MD or EF. The IPDOs ask them to write down their wishes (i.e., “wish ko lang list”) which includes the type of employment they want and the type of microenterprises they want to engage in. We match these wishes with skills, available opportunities in the area- e.g. resources, market, financial capacity of household, employment. The IPDOs discourage similar enterprises in the same neighborhood to avoid market competition unless the beneficiaries agreed to have a group enterprise.

The sorting to tracks is also influenced by the locality, usually agriculture-based communities prefer MD to EF. Also, age is a factor in the choice of track. EF is usually for the younger members of the household. In most cases, the available employment is outside the province. This can be a constraint not only in terms of being away from the family but also in terms of viability of the employment. For instance, in Region I, the minimum regional wage is only P280/day (8 hours). This wage just supports transportation cost or rental cost.

Specifically, for EF IPDOs have partnership with PESO in the province of municipalities but this partnership is at different levels in each area. The partnership maybe formalized or not. The usual arrangement is for the IPDOs to informally coordinate with the PESO manager in job fairs or through a referral scheme. In some areas, graduation of SLPs are done in PESO offices. PESO may also directly inform IPDOs of new job opportunities in the province. Some IPDOs also coordinate with PESO on monitoring the beneficiaries in the short-term. They are informed by PESO in case beneficiaries leaves the job without proper discharged from the employer.

Employers do not necessarily accept referrals from PESO or from SLP; applicants are still evaluated individually but the process of screening is shorter since profiling has been initially undertaken. Also, skills training has already been provided so in most cases SLP beneficiaries referred by DSWD are offered jobs especially for jobs such as housekeeping.

Aside from PESO, IPDOs also directly go to private employers for job opportunities of SLP beneficiaries. They get job announcements through postings in social media, buildings, newspapers, etc. If there is a ready employment and they are legal or authentic, we inform the beneficiaries and the parent leaders. There is no need for a MOA between DSWD and the company. However, when the company requires skills training which will be funded through SLP, the company and DSWD have a MOA. These company usually have tie-up with hotels, hospitals, restaurants, etc. Some have even MOAs with specific companies/agencies thus the chances of getting employed in the case of training with employment tie-up are high.

For NGA/LGU employment, this is more suited in cities. For instance, DPWH Trabahong Lansangan has employed beneficiaries primarily in Metro Manila and other highly urbanized areas. LGU/NGA employment is limited and usually politicized.

Given these factors, flexibility in track selection is important. This flexibility is applied in the field. IPDOs in cities can deliver more EF because of the presence of more commercial establishments in the area compared to those in rural areas thus among provincial IPDOs, MD and EF targets are reallocated accordingly.

Opportunities and constraints in SLP implementation

There are several opportunities for EF and MD. However, there are also issues on SLP implementation. One, is the long time for project review and approval for both EF and MD. In the case of EF, this can result in lost opportunities. Beneficiaries need the employment assistance PEAFF to secure the required employment requirements such as NBI, medical, BIR, HDMF, etc. The beneficiaries are dependent on this pay-out so they cannot start immediately. They consider 2 to 3 months a long time to wait for the approval of their PEAFF. The PEAFF amount is also considered low because they don't get their paycheck immediately and their basic needs have to be supported in the initial phase. For instance, security agencies are among the major agencies that tap SLP beneficiaries for employment. The arrangement is often tied to training. Employment in security agencies require "special" test such as neuro, drug test, complete medical records, etc.

For MD, the review and approval process can be tedious. The wait can be long (short of 2 months; maximum of one year) and these discourages the participants and can be strenuous to IPDOs. Additional requirements are requested during the review process and the process is on hold until these requirements are given. DSWD Central Office has this practice of changing policies mid-way; they just send to the regions and provinces new memoranda that have to be complied with immediately and sometimes even approved projects are affected. This affects timeline and manpower resources including project viability since IPDOs may need to redo the process.

There is also too much emphasis on list of beneficiaries in the project review and approval. This should come at a later time. Approval should be based on projects not persons so that in case one the individuals back out; the replacement process will be shorter. Replacement requires waiver from the previous beneficiaries and this delays the completion of outputs of IPDOs.

Another constraint is the recent focus on social preparation (which is also included in the proposed 2017 FOM). However, most IPDOs are not trained in community organizing. There are very few of them with training in social preparation. For instance, out of 20 PDOs hired only 1 or 2 pass community organizing test. There is also no orientation. Once, hired they are immediately sent to the field. It's practically an on-the-job training. Also, in depth social preparation is not aligned with the timeline of funds disbursement.

The case loads of IPDOs should also be reviewed. One PDO can be assigned to as many as 86 barangays. It is not possible to visit each household in every barangay. In addition to the SLP implementation, they also write reports, construct the database, submit accomplishments, etc. Due to lack of manpower, they cannot fully mentor the beneficiaries. They rely on parent leaders to communicate information about programs to member households. However, parent leaders can also be politicized, prioritizing relatives, friends or their own households over other eligible households. The creation of the monitoring PDOs will not necessarily reduce workload. The monitoring team is mainly concerned with those already served in the past by the program; whether the project has been implemented, how it was implemented and what additional support is needed. Only after 6 months can the IPDOs turnover the beneficiaries served to the monitoring team. In case there are problems, the IPDOs are task to troubleshoot.

Aside from operational challenges, there is also the concern on the behavior of beneficiaries themselves. For EF beneficiaries, some who got employed go back to old bad habits (e.g. drugs) when they get their salaries. Some beneficiaries also do not go to jobs fairs. Sometimes, they are very choosy on job locations or type of employers and salary (even if paid the minimum regional wage). There are also several concerns regarding beneficiaries not pushing through with employment after they have received the pre-employment assistance (PEAF).

For MD participants, the formation of SLP Association can be an issue. Although they were given orientation on this requirement, some withdraw their memberships in the implementation stage. They also collude to just divide the seed fund, use the funds for their own enterprises or needs and dissolve or render the association inactive. Rifts and factions among members also happen and the SLP association often breaks down.

The IPDOs consider the livelihood program successful under the following conditions: For EF, they have to be gainfully employ, that is, receiving the regional minimum wage. In the medium term, have a regular work or get promotion. For MD, they have savings for at least six months and in the medium term are able to support/expand their business and are able to invest in household assets.

The areas that the IPDOs consider as improvements are: One, the shift from pre-employment assistance package to employment assistance (proposed in FOM 2017). This means the assistance is not tied to pre-employment (or before employment) but is given when the beneficiary is employed. The strategy addresses the concern that some beneficiaries with guaranteed employment after receiving the PEAFF does not push through with the employment. Another good provision is the removal in the practice of providing starter kits in skills training. Instead this becomes part of seed capital fund. This will address the issue of beneficiaries having a starter kit that do not match the microenterprise project applied for.

Another is in the project review and approval. For the DSWD Central Office to consider processing the proposed projects while the requirements are being worked-out. It might be good to first approved projects (EF or MD) before IPDOs identify beneficiaries. Also, the DSWD Central Office should first pilot any policy change before cascading to provinces.

The monitoring team should not only focus on database development but undertake mentoring and continuous technical assistance to served beneficiaries.

Lessen the social preparation of EF but focus on what jobs they need, trainings and immediate project approval. They have to be empowered and use successful beneficiaries of EF to encourage other Patawid members. The benefits gained from EF or MD have to be marketed/advertised more effectively.

V. Beneficiary Assessment of Tracks and Program

Focus group discussions (FGDs) with SLP MD and EF beneficiaries were undertaken to know in detail their experience with SLP especially with regard to their decision to participate, the choice of track, their assessment of the benefits of participating in SLP and the ways to improve the implementation of the program.

The team conducted a total of eight FGDs each for MD and EF beneficiaries. The FGDs were held in Dagupan and Malasiqui in Pangasinan, Mandaue City and Consolacion in Cebu, Davao City and Matanao

in Davao del Sur, and in Manila and Caloocan City in NCR. For EF, Danao City was chosen as the FGD site in place of Mandaue City. A snapshot of the demographic and socio-economic characteristics of the FGD sites shows that urban sites tend to have lower poverty incidence, have a larger number of establishments, and are less dependent on fiscal transfers (in the form of the Internal Revenue Allotment) compared to the rural sites. The exception is Danao City, whose indicators are more in line with those of rural LGUs than its urban peers (i.e. relatively high poverty incidence, high IRA dependence, and low number of establishments). Consolacion, Cebu is not rural, but the FGD held in the municipality was attended by respondents from rural LGUs, namely Cordova and Dumanjug, Cebu.

A total of 49 MD beneficiaries participated in the FGDs -- 43 of them are female and 6 are male. Each FGD had six participants on average. Most of the respondents were wives and mothers. Many of them are officers in their respective SLP Associations (e.g. president or treasurer) or Parent Leaders of the Pantawid program. On the other hand, for EF, a total of 39 beneficiaries participated -- 21 of them are male and 18 are female. Each FGD had five participants on average. There are usually fewer participants in EF FGDs than MD because the beneficiaries are at work.

The results of discussions are presented below:

Decision to Join SLP and Track Selection. Those who join EF track were economically active or were actively looking for opportunities before joining SLP. They are younger members of Pantawid household or a relative or friend of Pantawid beneficiary. Some were not informed of the MD track; others not really interested of MD because they want a stable income and they are not exposed to it. The main consideration for joining was the free skills training and the possibility of a job.

On the other hand, the beneficiaries of MD track were engaged in business in the past or wanted to expand their business. They learned about the SLP program because they are Pantawid beneficiaries or previous beneficiaries (i.e. their children have graduated). The reasons for choosing MD are: (1) they have experience in handling business; (2) they are beyond 40 years old and prefer to leave employment to their kids; and (3) they are stay home moms and have to take care of the kids or home because husband is working; and (4) they want to be their own boss and prefer not to take orders from anyone.

Assistance provided by SLP. All MD beneficiaries were provided microenterprise development training. Majority considered this training useful especially seminars on how to grow the business, time management, recording and how to market products. A few mentioned that they are familiar with business so the basic microenterprise are not really necessary. A one-day orientation would be sufficient. Establishing SLP Association was also mentioned but was not considered that helpful for enterprise development. The SLP intervention that is most relevant are the specialized skills training such as basket weaving; massage, beauty parlor, sewing, food preparations and others. It appears that beneficiaries can receive more than one of these special trainings. A case in point, are parent leaders who participated in massage and beauty parlor training or in bamboo basket weaving and massage. Both beneficiaries earn incomes from both enterprises.

The specialized trainings are given free of charge and they also receive allowances at the end of the training period. The allowance also gives them the incentive to complete the trainings. From these trainings they are able to establish livelihood. Some do not go through specialized skills training because they have already acquired the skill needed for their enterprise project usually these are projects on retail/wholesale trade.

The beneficiaries also look forward to receiving the seed capital fund that provides them the financing for new business or for expansion of business. The maximum amount is P10,000 but the amount varies by type of project. Part of the fund is also used as equity in the SLP Association. For some active associations, they use the equity and savings as credit fund which they can tap for additional financing needs.

For EF, the preparatory activities are primarily orientation about basic job skills, grooming, hygiene, which is a one-day orientation. The specialized trainings are the most helpful because it prepares them for the jobs that they applied for. Aside from the free training, they are also given allowance and free transport. Moreover, SLP has connected them to job networks and enabled them to expand job opportunities. It also opened opportunities for higher paying jobs and access to foreign companies.

The beneficiaries suggested that training opportunities be expanded. Some suggested to hold the trainings at the barangay level so that interested Pantawid beneficiaries who cannot travel far from their residence can also participate in SLP. Other suggested increase offerings of training programs. For instance, in some areas there was a suggestion to include hairdressing while for other areas the demand for massage training is high. These activities are already being offered by DSWD but the types of training offered per locality is dependent on resources and the demand for specific training.

Non-SLP related factors that affect the beneficiary's business or employment. For employment the challenges are usually availability of jobs and distance. Some beneficiaries considered requirements especially in big companies and competition with other applicants as a constrain to getting a job. Family issues also matters. One beneficiary narrated that her husband does not consider massage or “hilot” a decent job thus she was not able to utilized her training to provide for extra income for the family.

For MD beneficiaries, the factors that helped businesses are location and markets. The business has to be located in strategic places. For instance, location near school is good for business on school supplies, food vending, printing, xeroxing. It is also important to expand your market. It does not have to be confined in the barangay of municipality. Engaging in wholesale trade is better than retail (“tingi”) trade because buyers of retail trade usually has low paying capacity. There is also a need to build character, people skills and resourcefulness if one has to engage in business.

On the other hand, business can be constrained if there are conflicts within organization. Although business operations can be individualized, the support system is broken and the savings mobilization is stopped. For the cooperative business, poor management and leadership resulted in some businesses closing shop. Another constrain encountered by one beneficiary is the issuance of business permit for business. They have provided all the requirements but after 11 months of waiting the business permit has yet to be issued. The cost of warehousing is also high and this can be a constraint for businesses with machines or requiring inventory. Seasonality of demand also affected their business. They need to engage in alternative products to address seasonality. Weather conditions also affected small businesses especially those engage in retail trade of agricultural products.

Benefits from participating in SLP. All the beneficiaries in the focus group discussion agreed that their standard of living has improved with the SLP intervention. For those in employment, the response is mixed. Others clearly indicated that SLP provided them with stable income and the exposure to major companies (e.g. provincial hospital) through SLP has opened opportunities for regular employment. They

were able to buy household appliances and are doing something worthwhile. A beneficiary also mentioned that although he left the company where he was employed under SLP; the employment has given him the motivation to pursue further studies. In other areas like Visayas, the benefits of SLP was not evident.

For MD beneficiaries, the response with regard to the benefits from SLP was more definitive. SLP has moved them from subsistence to food sufficiency. They have money to buy food they want and household appliances. Some have been able to expand their business and venture into other businesses. Some beneficiaries were able to send their children to college because of improvement in their income. Non-monetary benefits were also mentioned such as improved status in the community and leadership experience especially among parent leaders. The children in Pantawid households have also learned the value of work, studies and prudence.

VI. Partnership with Training Institutions

Key informant interviews (KIIs) with partner training institutes of SLP were undertaken to know the trainings that are being offered; how training institutes find their trainees, and their experience in training SLP beneficiaries relative to other trainees.

The team conducted KIIs with eight training institutes, mostly private institutions. For public training institution, DSWD partners with the TESDA. The KIIs were conducted in Cebu City, Mandaue City, Digos City, Davao City, Dagupan City, Manila and Calocan City. All of the areas visited were cities. The concerned SLP field offices were not able to identify partner training schools located in the rural LGUs we requested. All respondents were interviewed in the training school except for the two Pangasinan training schools, who sent their representatives to a venue in Dagupan arranged by the SLP field office.

There were 7 training institutes that participated in the interviews and the respondents were either administrators or managers at their respective training schools. Below are the results of the discussions.

Company's background. All the training institutes interviewed have the appropriate accreditation needed for the courses they offer. Most institutes offer technical vocational courses and are accredited by the TESDA. They offer several courses as much as 30 technical vocational courses that are either campus-based or mobile training. Others offer technical vocational courses with senior high school program (Grades 11 and 12) and are accredited by the Department of Education. There are specialized training institutes focusing on specific skills e.g. security guard, healthcare related skills; call center agents, etc. The training institutes also undertake assessments to provide for the appropriate certification of trainee graduates.

The training institutes support their trainees through on-the-job training and/or employment. This is possible because these institutions have partnership with industries that have needs for the courses that they offer. The partner agencies include hotels, food and beverage companies, big establishments requiring security services, hospitals, massage clinics, BPO companies including those located abroad. Having their trainees employed is good for their business thus they exert efforts to have them employed. Some companies go the extent of helping the applicants in their applications and accompanying them to potential employers. Some training institutes boast of a 100 percent employment rate of their trainees.

Partnership with SLP. The partnership with SLP started through different channels. Some institutions write to DSWD in the municipality or region for accreditation under the program. Others were approached by DSWD to partner with them for skills training or were referred to DSWD by friends of PDOs or by the municipal/city link. The partnership is usually formalized through a MOA and DSWD requires at least 80% employment for the trained SLP beneficiaries. So far, the arrangement works with the training institute. Their main issue is the procurement process (bidding). Others find the requirements reasonable but others think it is restrictive. The other issue is the long approval process of projects. It delays the start of trainings and in some cases SLP participants drop out because they cannot wait long or were offered other opportunities.

Assessment of SLP and beneficiaries. The DSWD PDOs determine what trainings to give. PDOs just send to the training institute the batch of SLP participants for training. The type of training is specified in the MOA and identified in the procurement process. The participants are also pre-identified so the screening is done by the PDOs. However, the training institutes validate the records (age, education) and conduct pre-test and assessment to determine level of competency on specific training – whether he/she is good for a level 1, 2 or 3 certifications. There are cases when a training institution disqualifies SLP participants because they did not meet the basic requirement for the training specifically if there are already pre-qualification standards set by agencies (e.g. TESDA for Tech Voc; PNP for security guards). Failure to pass the pre-test can also disqualify the trainee.

To prepare them for the training and employment the trainees go through an orientation period where expectations about the course and requirements are given. Values formation, work ethics, grooming, communications are included in the curriculum. Previous SLP trainees are also invited to give testimonies of their successes. These testimonies can inspire the new trainees to work hard.

All trainings go through post assessment. This is usually based on national assessment handled by the TESDA. Those who fail can be re-trained but they will have to go through intensive training wherein assessments are conducted at every stage.

In terms of performance, SLP beneficiaries are trainable. Majority of them finish the training and get the national certification. The few who are unable to complete training or fail usually have personal problems or have no interest in the training because they were probably just forced by their parents to attend. The SLP participants are generally respectful and prefers to stay close to home or family. Unlike other graduates, they are not that keen of getting employment abroad. A trait observed among SLP participants is their being more sensitive to correction and on how they are being treated. They can be difficult to please when it comes to food and accommodation perhaps because they know that government is paying for their food and accommodation while on training.

Most graduates also find employment because the training institutes have partner companies. Some remain unemployed because they don't want to work far from their residence or be uprooted from their provinces. Those employed are monitored by the Institute for 3 to 6 months or maximum of one year. There are training institutes that uses social media (Facebook, group chats) as a strategy to be connected to the graduates.

VII. Partnership with PESO

Key informant interviews (KIIs) with Public Employment Service Office (PESO) officers were undertaken to know the services are provided by PESOs in the locality and to SLP beneficiaries in particular and their assessment of the SLP and the beneficiaries.

The team interviewed four (5) PESO officers -- two from Cebu, and one each from Pangasinan, Davao de Sur, and NCR. For the other LGUs, we were either unable to secure an appointment with the PESO office or were not provided by the SLP field office of the local PESO's contact information.

The results of the interview are presented below.

General PESO services. PESOs technically are part of DOLE but administered by the LGUs. Their programs are thus similar to DOLE job placement assistance and job facilitation. The focus and strategy of PESOs differ per LGU and they also provide additional services. Some focus on job placement or employment such as special recruitment for local and overseas work. Others focus on employment facilitation or a combination of job placement and employment facilitation/coaching. Some PESOs have special programs section which handles additional support such as manpower training and/or scholarship programs; enterprise development, migration facilitation, SPES. Manpower trainings are given free and scholarship programs are targeted to the indigent but deserving students with monetary incentives and paid on-the-job trainings in the LGU after graduation. SPES is the DOLE program for students during summer breaks. The migration facilitation includes anti-illegal recruitment, OFW assistance, coordination to other government agencies, etc.

Most PESOs partner with private employers. The PESO managers actively seek employers to determine their job requirements and include in the database. They invite them to post vacancies in PESOs. Usually they invite companies that match their clientele. For instance, if those seeking employment are mostly fitted for blue collar workers, they partner with companies that have similar requirements e.g. supermarkets, malls, construction companies, etc. Some have preference for jobs abroad and they partner with agencies that can provide overseas employment. Employers also call their offices and inform them of the position and qualifications that they seek. Some PESOs entertain employers that request for a special recruitment. Under special recruitment, the PESO with the authorization or accreditation from DOLE can act as a manpower services for a specific company. The LGU conducts a special recruitment activity on a specific day and submits a report on the results of the recruitment identifying the applicant who passed; did not pass or needs training.

Employers do not necessarily have to be based in the locality or even province. Most PESOs go beyond the region. They consider the job market as global so information is gathered from different sources- e.g. newspapers, labor sites of other countries. They monitor call centers and growth areas in the provinces and look at future requirements so they can prepare for the job requirements. For instance, if there are plans to develop ports or infrastructure in the province, they coordinate with the LGUs and prospective firms on jobs that are likely to be needed (e.g. welders). This should be the job of the national government agencies but it is not done.

The PESOs maintain a database of available jobs and some have also database of applicants. Most PESOs have no online registration yet but they have local portals where they upload jobs available and

provide other labor market information. Some have the account from DOLE's job search portal. The portal is updated by calling employers whether the vacancies are still open or employers themselves inform the PESO of updates. They also have a duration for posting; when the duration ends, they take the post down unless there are updated information supplied. Applicants may know of the vacancies through online portals in the PESOs; Facebook, advertisements in local newspapers or posted in the barangay or other LGU offices.

In the case of job fairs, PESOs provide the venue and invite employers to participate. Invitations to employers are done directly or through radio, television and social media. PESOs have partnership with the media. Highly urbanized cities conduct several job fairs in a year. For instance, Cebu have 6 job fairs per year; three local and three for overseas employment. In a provincial PESO, job fairs are conducted twice yearly. In the last job fairs, 32 local employers and 10 overseas employers or agencies participated in the job fairs. The Provincial administered PESO has broader reach. It is not confined to a specific municipality but extends services to other municipalities in the province. A report is usually prepared by PESOS for every job fair which are submitted to DOLE Regional Office and transmitted to the Central Office.

PESOs also conduct career/employment coaching and employment hunting. There are cases when PESOs bring applicants to job fairs sponsored by other LGUs specifically if this involves deployment overseas.

Some PESOs do monitoring such as keeping records of those hired through the PESOs and the office can act on their concerns about delays in salary, problems in the remittance of SSS, etc. In other PESOs, the monitoring is not formalized but those with concerns (including concerns of the employer) can approach the office for assistance or feedback.

PESO and SLP. PESOs do not have formalized agreements with the SLP. It is usually the PDOs that approach PESO for possible jobs for the SLP beneficiaries or trainees. In some cases, the PESO may not be aware of the SLP but are familiar with the 4Ps beneficiaries since the LGUs are members of the municipal/city link. The usual support of PESOs to SLP beneficiaries is to invite and encourage them to participate in job fairs and other activities of the PESO. In some cases, there is a special lane for SLP/Pantawid beneficiaries during job fairs. SLP beneficiaries availing of PEOS services have to be registered with the PESO office. There is no really no special activity for SLP/Pantawid beneficiaries since it is possible that there could be a low turnout of applicants if job fairs are only organized for them. The most that the PESO can do is to ensure that they are registered and can have access to labor market information, trainings and microenterprise support. If DSWD or the national government wants to create a special program for them, this should be studied. So far, the PESOs have not been approached by employers or firms that specifically request to hire only 4Ps or SLP beneficiaries.

Assessment of SLP beneficiaries. Most PESOs think that there is really nothing special or challenging with SLP beneficiaries that is different from non-SLP beneficiaries. The 4Ps have become active because they are given opportunities and are now more exposed. They can be picky maybe for legitimate reasons like it's far from their homes. For those who were employed, there are feedbacks that the applicant backed out or left the employment but these issues are already beyond the PESOs concern.

Possible areas for intervention include 4Ps beneficiaries in the job fairs for PWD. Other activities to improve the program is better information dissemination and training on values formation, work ethics, etc. DSWD also needs to adopt policies to improve monitoring of SLP beneficiaries by the PDOs themselves (not only rely on the parent leaders). PDOs need to differentiate those actively seeking a job from those who were just chosen to participate. It is usually those actively seeking or voluntarily go to PESO that have the fortitude and are serious about employment. There should also be a system of culling out from the 4Ps program those unable to improve their lives. With regard to coordination with DSWD there is no problem. They attend regular meetings and do validation and feedback.

VIII. Partnership with Private and Public Employers

Key informant interviews (KIIs) with partner employers of SLP, both private and public were undertaken to know how employers select their employees in general, and what their views are on employing SLP beneficiaries in particular.

The team interviewed three private employers. SLP field officers in the other study areas were unable to identify other private employer partners since in other areas employment facilitation are done through training institutions. There were three private employers that participated in the interviews; two of these firms are labor service providers that are organized as cooperatives.

For public employment, the team interviewed two offices of the DPWH in Luzon and Mindanao. Other SLP field officers were unable to identify an NGA/LGU employment partner.

The results of the interview are presented below:

Company's background. The companies interviewed include two manpower services that have big companies as clients and recruits mainly underprivileged workers. However, unlike the usual manpower services, they ensure that their work force have continuous jobs. Another company is a construction company that hires directly workers for their projects. They also keep or regularize workers with good performance. For both companies, although the industry they engage in require low skilled workers (e.g. construction laborers), there is also a need for specialized skills and professionals such as carpenters, mason, tile center, engineers, architects, power trainers.

For laborers, they can be hired even though they have no special skills. Usually, their skills surfaced when they are on the job and the supervisors/engineers take note of those with potentials for specific jobs e.g. painting, mason, carpentry, etc. The initial requirements to qualify is age (should not be more than 55 years old), medical (must be fit to work), not involve in crime (NBI clearance) and some background on the position applied for.

For low-skilled workers, finding workers is not that difficult. There are cases though when those hired are not willing to work in areas far from their residence. These types of workers are in the company's pool and they can be called upon when they are available. The professionals are also generally available because they can work on several projects. The skills difficult to find are the highly specialized skills such as tile setters, mason, crane operators; the supply is limited.

TESDA certification is only required in some cases. The companies have their own trade test and it is done on the project site itself. They can also do the training themselves and hire seasonal workers (usually farmers who are out of work during drought or off-season) to train them on new skills. One company actually hires workers with no formal training and are trained on the project site as carpenters and construction workers for 10 months. The Department of Education supports this alternative learning programs through private companies.

The firms usually join job fairs or conduct their own job fairs to search for potential workers. They also partner with technical vocational schools or institutions that bring their graduates for employment to the firm. Referral by workers of the firm also works for them.

Partnership with SLP. The firms have hired SLP beneficiaries but there is really no formal agreement. They have been hired either through DSWD partner training institute or through referral by PDOs. One firm considers DSWD as a source of workers because the manager has heard about the training programs so if there is high demand for a specific skill, the DSWD is one agency they go to for potential workers.

Assessment of SLP beneficiaries. So far, the companies did not find anything special or challenging of the SLP or 4Ps beneficiaries they hired. They can do the job assigned to them. Their main concern is the transport cost. They had one only one case of absence without leave. The best way to help them is to provide additional training on values formation; they should not be spoiled but learn to value the opportunities and work given to them.

IX. Assessment of Program Outcomes and Success Indicators

This section provides an assessment of the identified success indicators of the program. It also proposes additional indicators that are intended to cover the additional dimensions identified in the assessment that needed to be measured to achieve a more definitive and comprehensive list of success indicators. The discussion covers the outcome level indicators only and does not cover the final goal of economic sufficiency for beneficiary households.

The Theory of Change of the project mentioned the following descriptions of indicators at the outcome level:

- End of Program Outcome: SLP participants engaged in quality livelihood and/or jobs
- Intermediate Outcomes: SLP participants engaged livelihood and/or jobs
- Immediate Outcome: (a) SLP participants accessed livelihood assets (physical, financial, human, social, natural); (b) SLP participants accessed assets protect services
 - These descriptions are generic and does not utilize the two tracks through which the program is implemented. The assessment identifies the two tracks, namely, Microenterprise Development (MD) and Employment Facilitation (EF) and goes on to identify the different track-based dimensions of outcomes.

Indicators of Microenterprise Development Success

The most popular measure of success in microenterprise development is an enterprise that is growing in sales, assets and/or employment. There is no need to expound on this commonly accepted indicator of success which is perhaps even the only indicator of success some would accept.

However, in the case of enterprises run by the poor, there are other dimensions of success that need to be considered. These are premised on their circumstances of having limited ability and resources. For entrepreneurs who may lack the ability or the resources to grow their business, it may be warranted that the business continuing to exist even without clear signs of growing can also be considered a form of success. The business satisfies daily needs of the household with the working capital sufficiently safeguarded enabling it to continue³. Schoar (2010) call these subsistence entrepreneurs. This is perhaps illustrated by the view of Hernando de Soto (1989) which argues that people in the informal sector are prevented by their circumstances from growing their enterprises. In the recent past, lack of financing was identified as the culprit. The experience and rigorous evaluations of microfinance programs, however, have shown that a host of other enabling factors may be necessary to grow the livelihood of the poor and move them out of poverty (Banerjee, et al., 2005).

Another dimension is that the owner, after a while running the enterprise, may find the risks of running the business too high compared to paid employment. When the opportunity presents itself, he may opt for paid employment and leave the business to other family members, hire someone outside the family to run the business for him or abandon it altogether. His experience of running the business may have also earned him qualifications desirable for paid employment. In addition, the network he had created while running the business may have revealed his desirable qualifications to prospective employers.

There are many reasons why an entrepreneur would move on to wage employment if the opportunity arise. One, de Mel, McKenzie, Woodruff (2010) points to a perspective attributed to Victor Tokman (2007) that is diametrically opposed to that of de Soto. He argued that many do informal sector work while waiting for an opportunity for wage work to open. In fact, Dillon and Stanton (2017) finds that even in a developed country like the US considerable proportion of entrepreneurs leave self-employment for wage work. Using the US Panel Study of Income Dynamics (PSID) data from 1976 to 2011, they find that nearly half (40%) to those who enter self-employment return to paid work within five years and 25% return after only a year. Martinez, Puentes and Ruiz-Tagle (forthcoming) also argued that as labor market tightens with development, wage employment will become more attractive relative to self-employment. Running an enterprise may also require specific personal characteristic that is not common to all. For instance, Lazear (2002) argues that entrepreneurs need to be jacks-of-all trades because of the need to play many different roles. A wage worker, on the other hand, need to good only at a specific task. Workers may not know at the beginning if entrepreneurship is for them and want to test the waters. This sense of experimentation in entrepreneurship have even been recently highlighted in Kerr, Nanda and Rhodes-Kropf (2014).

From the foregoing discussion, the plausible indicators of success at the outcome level should include:

- growth business indicators including sales, assets and employment;

³ This phenomenon is often called low ability equilibrium in development economics.

- business still existing until today;
- preferring employment for business with business passed on to another family member or a hired non-family member or even closed.

Indicators of Employability and Employment

The success in employment facilitation is usually characterized by the beneficiary having continuous employment for some desired period, e.g. three months. Additional desirable outcomes would include regularization and promotion. Underlying this view is that a single job is sufficient to supply the income needs of the worker. While this may be true for a highly qualified worker, this is rarely the case for the poor.

World Development Report 2013 that focuses on jobs has highlighted the now relatively well-known fact that lack of work does not define the poor. Data shows the unemployment rate of the poor is lower compared to others, e.g. young educated workers. This is intuitive given that the poor can't afford to be unemployed and is rarely completely not doing some economic activity. Given their meager qualifications, they are usually doing some low productivity economic activity that seldom occupies their time fully nor pay enough to finance their needs (Banerjee and Duflo, 2011). ILO (2011) estimates that as much 910 million or nearly 30% of the world's workers are living below UD\$2 a day. Philippine LFS data also shows that in 2012, for instance, as much as 37% (28% fully employed and 9% underemployed) of the underproductive workers⁴ are earning below subsistence (below food threshold) (Orbeta and Paqueo, 2014).

While employment is the critical outcome of the program, it will be useful to measure the intermediate outcome of employability as well. Employability would include measures on new skills acquired and existing skills improved or updated, work readiness and confidence of finding a job. Besides being important indicators on their own, these can also help explain the final impact on employment.

Given these perspectives the important success indicators for employment facilitation for SLP should include the following:

- Employed continuously for a period, e.g. three months
- Total number of jobs during the week
- Total number of hours worked during the week
- Total earnings / take home pay per week
- Period (e.g. weeks) since last primary employment
- Number of new skills acquired
- Number of existing skills improved or updated
- Confidence in finding a job within a specific period, e.g. 6 months. This can be measured by number of applications submitted or the interviews undertaken or participation in job fairs.

⁴ Consisting of the unemployed, underemployed and fully employed but earning below subsistence (or below the food threshold)

X. Conclusions and Recommendations

Since the inception of the SLP Program in 2011, the program has gone through policy enhancements to improve program implementation and chances of success for both the enterprise and employment tracks. Majority of those served by the program have expressed positive results from the SLP intervention. The specialized trainings in particular have provided added skills that enabled some beneficiaries to establish enterprises or to get employed. There is a felt improvement in the standard of living experienced from additional household income, business expansion and a stable source of employment. For those in the EF track, there are also non-monetary benefits such as motivation for higher studies, having a support system, and better links to employers/employment. For those in the MD track, higher income has provided the finances to support for the college education of child and improved values of their children.

However, the program beneficiaries appear to be the 4Ps parent leaders or parent officers themselves and their households or friends/relatives. It was observed in all areas that these leaders and officers are the usual respondents that attend focus group discussions. Some also confirmed that access to SLP programs is not unique. An individual beneficiary can have access to two or three trainings or can be an MD beneficiary and EF beneficiary at the same time (although in different time periods). There is apparently limited contact between the IPDOs and other households within the group probably not by choice but because of the heavy caseload of the IPDOs. The IPDOs consider the parent leaders as “unpaid” volunteers who assist them cascade information to the barangays and to the individual households. The danger of this strategy is that the selection of program beneficiaries and assessment of their readiness or willingness to participate can be biased and the IPDOs because of time constraint and heavy workload may not be able to validate the information.

Another concern raised was the centralized project review and approval process, which delays the implementation and outputs. The process is also affected by changes in program policies that are to be implemented a day after receipt of the memorandum from the DSWD Central Office. The policy change at times require IPDOs to submit additional requirement or at worst change/reevaluate projects submitted for approval. Moreover, the policy on replacement of beneficiaries is constrained by the policy of binding projects to specific individuals, who may simply drop out of the list for several reasons. The requirement on waivers and search for alternative beneficiary adds to delays in project approvals.

The beneficiaries do not seem to relate social preparation activities to the benefits gained from the program. They consider these activities mainly as the orientation phase. Moreover, the establishment of associations is viewed as a deterrent instead of a mechanism for success. The same sentiments have also been expressed in the earlier studies on SLP.

In terms of partnership building and improving the chances of success especially in terms of the EF track, enhancement in partnerships with training institutions and PESOs have been observed. This is reflected in the SLP focus on training cum employment and increased interaction with PESOs although outputs on EF has been mainly attributed to partnerships with training institutes. Relationships with PESOs has yet to be strengthened.

Overall, additional reforms in the delivery of program services is still needed. The reforms should focus on beneficiary targeting; less dependence on parent leaders through development of characteristic-based assessment tool on beneficiary readiness and capacities. The caseload of PDOs has to be reviewed

in consideration of the engagement of monitoring PDOS. There is a need to work as a team, to increase field PDOs as well as capacitate PDOs. DSWD also needs to examine project review and approval, the issues with regard to social preparation and development of associations specifically how these activities can be improved and be relevant in the achievement of program goals. Lastly, an impact evaluation has to be undertaken to provide better evidence of program success.

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