

**DENR Memorandum Circular  
No. 03  
January 15, 1993**

**SUBJECT : Implementing Guidelines for Monitoring and Supervision of Technical Assistance/Consultancies under ENR-SECAL Program**

The great bulk of project implementation of the ENR-SECAL is a shared responsibility of the DENR field operating units and the technical assistance team/consultants. Ergo, synchronization of work roles is very essential to the smooth execution of activities and successful attainment of the project goals. Moreover, it is a must responsibility of the DENR, through the ENR-SECAL Project Management Office, to ensure a suitable and effective working relationship at all management levels between and among the field implementors, consultants and project beneficiaries. Therefore, the following guidelines have been drawn specifically to monitor and supervise consultancy services with the end view of achieving the best outcome from each and every consultancy engagements.

**Section 1. Objectives:**

1. To keep management abreast of the consultant activities and to anticipate problems or bottlenecks which have to be addressed.
2. To facilitate the successful delivery of services and ensure that project funds are being spent in accordance with the Terms of Reference and other provisions of the approved contract.
3. To bring about a more synchronized delivery of organizational support and technical assistance.

**Section 2. Major considerations in Consultancy Monitoring and Supervision.**

1. The basic role assumed by the consultant as the management partner in the overall project implementation must be known and appreciated at every management level. Corollary roles of consultants as adviser, mobilizer and trainer should likewise be completely understood.
2. The Terms of Reference and Annual Work/Implementation Plan of consultancy services are important documents that should be explicitly defined, spelled out and clarified to the operating units at all management levels.

3. The TA Annual Work Plans shall contain among other things the activities to be undertaken for the year, the corresponding outputs and the responsible TA, the timing and schedule of delivery and the man-months required. Individual Quarterly Work Plans of each consultants should be appended as basis for assessment and monitoring progress of work.
4. The program organizational arrangements from the central management level down to the Watershed Management Units as well as the role and involvement of various offices and staff have to be clearly identified vis-a-vis the TA Organizational Structure. The DENR operating units counterpart staff have to be identified and specific responsibilities established with the TA team to enhance field coordination and optimize utilization of TA time and expertise.
5. Monitoring and supervision of TA/consultants shall focus on the tracking of the performance and programs of consultancy services that will adequately prompt management on the progress and issues encountered in project implementation.

### **Section 3. Reports and Reporting Flow**

1. Technical Assistance/Consultants are expected to comply with all reporting requirements under their respective approved contract. The more common types of report are:
  - a) Inception Report
  - b) Monthly Progress Report (Individual Special Report to be appended)
  - c) Quarterly Progress Report (Individual Special Report to be appended)
  - d) Interim Report
  - e) Draft Final Report
  - f) Final Report
  - g) Special Reports e.g. Design Report, Alternative Decision Report, As-Built Drawings, etc..
  - h) Project Documentation
2. All reports of Region-based TA/Consultants should be coursed through the Regional Program Management Office for purposes of initial review, notation and endorsement to the Project Management Office. For the Central-based TA/Consultants, reports shall be submitted to the PMO, but where appropriate and/or needed, the concurrence of the Regional Program Director shall be obtained. Further, an exit conference meeting shall be conducted whenever regional/field works are undertaken and the report prepared by the TA/Consultants shall be duly certified by the Regional Program Director. The

report of the Program Management Consultant shall be submitted directly to the Office of the Secretary thru FASPO and PMO ENR-SECAL.

3. TA/Consultants monthly/quarterly progress report should present a comparison of planned and actual accomplishment of each consultant/specialist and reason for deviation from planned performance. Individual specialist monthly/quarterly report maybe required to provide management with detailed information on certain sector or aspects of projects implementation and the same should be submitted together with the consolidated consultancy monthly/quarterly report forwarded to the Central Project Management Office. The RPMO however, should have a complete record of the individual TA/Consultant's monthly/quarterly report to be made available anytime upon management demand.
4. Within a span of seven (7) working days after receipt of TA/Consultant report, the Regional Program Director should endorsed to the ENR-SECAL Program Director the results of their review especially on matters relating to unforeseen events and difficulties encountered in the TA/Consultant Work and the corresponding Certification of Work Accomplishment duly signed by the Regional Program Director.
5. The Program Management Office (PMO) upon receipt from the Regional Program Management Office (RPMO) of the TA/Consultant report shall process and/or further analyze the report and come up with its findings and recommendations within seven (7) working days.

For those reports directly submitted by Central-based TA/Consultant shall also be processed within seven (7) working days. Findings/comments and/or criticisms on the report shall be copy furnished the TA/Consultant for subsequent considerations/completion. The PMO recommendations shall be the basis for processing of billing payments.

#### **Section 4. Performance Assessment and Field Validation**

1. Performance assessment of TA/Consultant activities maybe done through review meetings, oral briefings and individual specialist presentation of the work and accomplishments made. This can be supplemented by project site visits and interviews with field operating staff and project participants to obtain first hand information on the TA work.
2. There shall be created a Technical Assessment and Review Team (TART) at the DENR-CO that will review the consultant's annual performance/outputs and

provide the appropriate technical/policy recommendations to the management. The team shall be composed of representative/s from the FASPO, PMO and DENR Finance and Management Service (FMS) and other concerned offices who shall be officially designated by their respective head of office.

3. Performance Assessment shall be conducted annually (every November) to provide the top management with proper information on the TA/consultants' performance for decision/policy formulation purposes. Review of performance shall be based on the Contract, Terms of Reference (TOR), Annual Work Plans and Monthly/Quarterly accomplishment reports and PMO analysis. The report of the Assessment and Review Team shall be reviewed, confirmed and endorsed by the Program Director to the Secretary through FASPO copy furnished the concerned TA/consultants.
4. Field validation shall be conducted by the PMO and/or the Technical Assessment and Review Team whenever necessary, in coordination with the field level technical coordinators and WMU Managers to confirm reported actual/physical accomplishments and/or slippages or backlogs in work targets. Slippages or backlogs should not be more than 25% of the target for the year under review.
5. A joint TA/Consultant and management meeting shall be held annually (every December) as a venue for exchange of views on the current status of the project; discussion of findings and issues necessary for sound understanding and decision making; and alternative courses of action with respect to the next phase of program implementation.

#### **Section 5. Billings and Payments**

1. Upon receipt of billing, PMO shall promptly process payment based on the schedule of payment set-out in the TA contract. However, amount due for payment shall be based on the amount recommended and work accomplishments endorsed to PMO by the Regional Office. The Regional Office should strictly observe the specified processing time for all TA reports so as to avoid delays and other repercussions relative to billing payments.
2. In cases where there are queries on some aspects of the billing and/or report submitted, the PMO shall recommend processing of billing only for the undisputed portion. The PMO shall inform the Consultant of the matter, whereupon the latter must undertake the appropriate adjustments and/or provide the necessary additional documentation in the subsequent invoices/billings.

3. Should there be no specific provision in the contract regarding the corresponding amount to be withheld for the disputed portion, the PMO has the right to deduct 10% of the total amount for the period due to the Consultant. This amount shall be paid only upon favorable acceptance by the PMO Central Office of the completed works by the TA/consultant. However, in the event that the TA/Consultant is unable to submit the required services/outputs in the subsequent billings, the amount deducted equivalent to 10% shall be paid only in the final billing provided further that the output is satisfactorily done and accepted by the PMO Central Office.
4. Final billing/claim shall be endorsed for approval by the PMO only after validation and assessment of accomplishments by the Technical Assessment and Review Team and recommendation for the issuance of Certificate of Completion and Acceptance by the Program Director. Said certification shall be the basis for final payment.

#### **Section 6. Supplemental Rules and Regulations**

The Program Director, ENR-SECAL, shall formulate rules and regulations as maybe necessary to carry out the objectives of this Circular. In addition, the Regional Program Director may promulgate supplemental rules and regulations which apply to their particular region. Provided, such rules and regulations shall be in accordance with this order and duly noted and approved by the Undersecretaries for Field Operations and Project Management.

#### **Section 7. Effectivity**

This order shall take effect immediately.

**ANGEL C. ALCALA**  
Secretary

**Recommending Approval:**

**ROSALIO B. GOZE**  
Program Director, ENR-SECAL

**RICARDO M. UMALI**  
Undersecretary, Natural Resources  
Management and Field Operations Office