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Monitoring and Evaluation Plan

Investment Enabling Environment (INVEST) Project

Submitted to:

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LIST OF ACRONYMS

| | |
|----------|---|
| AWP | Annual Work Plan |
| CAS | Country Assistance Strategy |
| DILG | Department of the Interior and Local Government |
| DTI | Department of Trade and Industry |
| GAD-AP | Gender and Development Action Plan |
| IFC | International Finance Corporation |
| INVEST | Investment Enabling Environment |
| LEIPO | Local Economic and Investment promotion Officer |
| LOGFRAME | Logical Framework |
| LGU | Local Government Unit |
| M & E | Monitoring & Evaluation |
| NCC | National Competitiveness Council |
| NERBAC | National Economic and Research Business Assistance Center |
| NGA | National Government Agency |
| OIDCI | Orient Integrated Development Consultants Incorporated |
| RF | Results Framework |
| SOW | Scope of Work |
| USG | US Government |

I. Introduction

The Investment Enabling Environment (INVEST) Project is a two-year project of the United States International Agency for Development (USAID) that aims to improve the business enabling environment and the competitiveness of Philippines cities to attract private investment. The project was awarded to Orient Integrated Development Consultants Incorporated (OIDCI) on September 30, 2011 and was launched on November 3, 2011.

The Scope of Work (SOW) of the Project required two key reform components: (1) streamlining business registration processes and lowering business transaction costs of compliance with rules and regulations; and (2) improving investment planning and promotion in targeted cities. The Project will focus on three first class cities chosen by USAID, i.e. Batangas in Luzon, Iloilo in the Visayas, and Cagayan de Oro in Mindanao.

The INVEST contract requires the submission of a Monitoring and Evaluation (M&E) Plan containing the project's results framework (RF); performance monitoring plans with indicators, baselines, and life-of-project targets; and key evaluation questions. This M&E Plan, which is being submitted in compliance with these requirements, has five sections: (1) the results framework that traces the causal relationships between the vision and development objectives of USAID's Country Assistance Strategy for the Philippines and the INVEST project's goals, strategic objectives, and intermediate results; (2) a description of the work plan and the deliverables of the project; (3) the Gender and Development Plan; (4) the performance monitoring plan; and (5) the questions that can be used in evaluating the project.

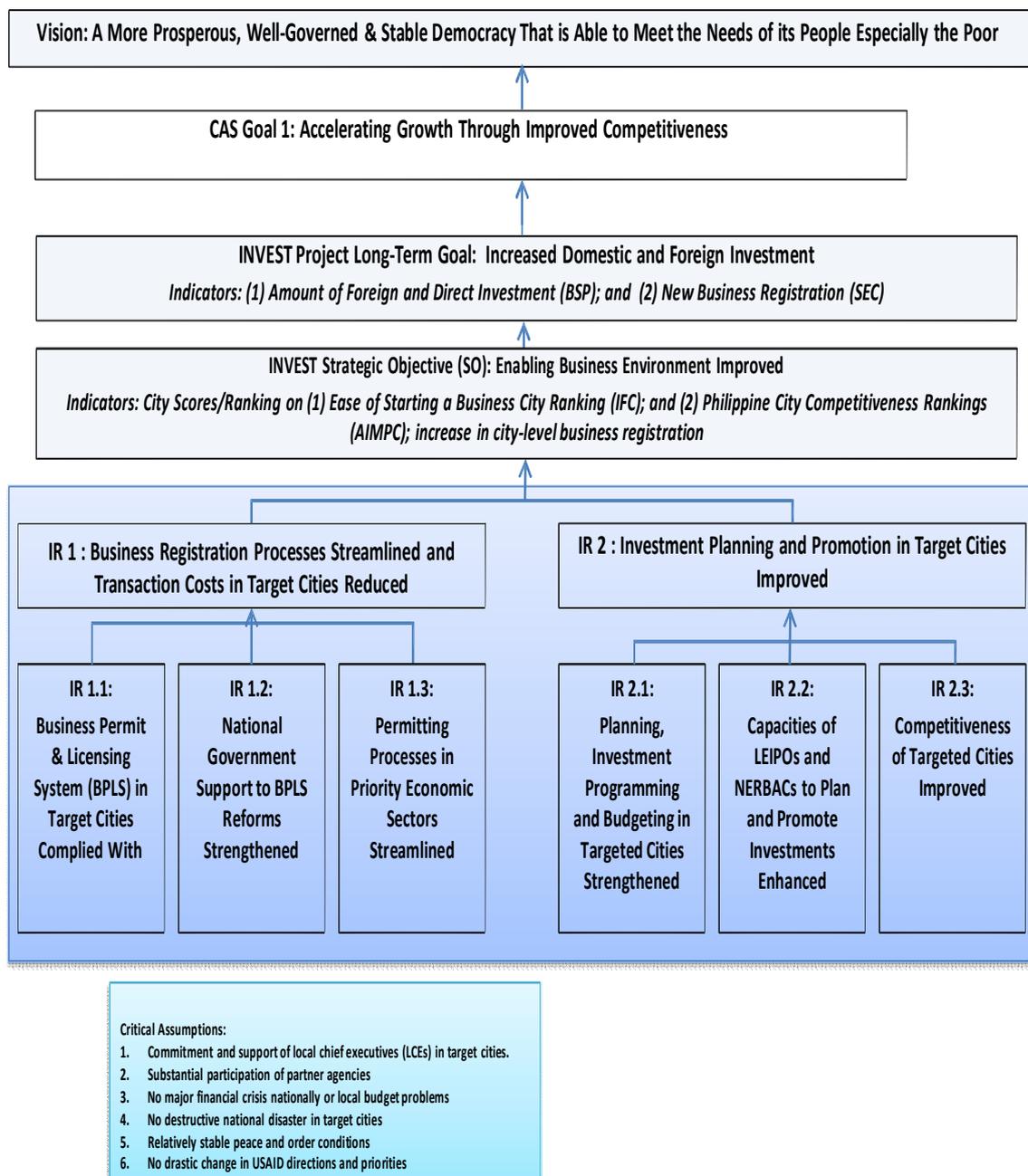
This version of the M & E is based on the revised work plan submitted to USAID on January 11, 2012. Since the final work plan of the project will depend on the activities agreed with the three target cities later in the year, the M & E may be considered a "work in progress" that will be revised further following the formulation the work or action plans by the officials of the target cities.

II. Results Framework

The results framework of INVEST is based on the "Country Assistance Strategy Philippines: 2009-2013" (henceforth referred to as CAS), which was prepared by the US Mission in January 2009. This document provides the framework for the US Government's (USG) development assistance to the Philippines and envisions "a more prosperous, well-governed and stable democracy that is able to meet the needs of its people, especially the poor." It identified the following four assistance priority goals in addition to four cross-cutting themes: (1) accelerating growth through improved competitiveness; (2) strengthening governance, rule of law and the fight against corruption; (3) investing in people to reduce poverty; and (4) promoting a peaceful and secure Philippines.

The INVEST Project is supportive of the CAS goal of “accelerating growth through improved competitiveness” as it aims to increase both domestic and foreign investments in the long run thru its strategic objective of improving the business climate specifically in three target cities. The project, despite its limited coverage, is expected to draw lessons that could be used by government in replicating experiences in the future, that could influence business-related policies in other cities (Figure 1).

Figure 1. INVEST Project Results Framework



There is general consensus among businessmen that the investment climate in the Philippines is far from ideal and has been a factor for the rather sluggish inflows of foreign direct investments into the country. The less than ideal investment climate is also reflected in the country's poor ranking in global competitive surveys. While it was up 10 places in the latest Global Competitiveness Report, posting one of the largest improvements in ranking, the Philippines nonetheless lagged behind the other ASEAN countries. The quality of the country's public institutions continues to be assessed as poor: the Philippines ranks beyond the 100 mark on each of the 16 related indicators.

The Project proposes to improve the general business environment in target cities through the following two intermediate results (IR): (1) streamlined business registration processes and reduced transaction costs in target cities (IR 1.0); and (2) improved investment planning and promotion in target cities (IR 2.0).¹ The former, which may lead to more transparent rules and efficient operations of the permitting process, is also linked, albeit tangentially, to USG's Goal 2 of strengthening governance, the rule of law and the fight against corruption.

Streamlined business registration processes (IR 1.0) will be attained through three sub-intermediate results:

1. *Compliance with service standards on business permits and licensing system* (IR 1.1). These standards were announced in August 2010 by the Department of Trade and Industry (DTI) and the Department of the Interior and Local Government (DILG) through Joint Memorandum Circular No. 1 (series of 2010) and refers to four standards for processing business applications by cities and municipalities: (1) use of one unified form; (2) the limiting of processing time to 10 days for new applications and 5 days for business renewals consistent with the requirements in the Anti-Red Tape Act; (2) reduction of the number of steps that an applicant has to go through in securing business permits from local governments to just five²; (3) reduction of the number of signatories.
2. *Strengthened national government support to BPLS streamlining* (IR 1.2). Reforms in business registration emanate from the national government in general, which has also been providing capacity building to local government units (LGUs). Widening the coverage of the reforms among LGUs will partly be dependent on support from DTI, DILG and other agencies. The project will provide assistance to the oversight agencies thru studies, capacity building, as well as in preparing knowledge products that could be used in promoting reforms in business permitting.
3. *Streamlined special permits in priority sectors and areas identified by government* (IR 1.3). The business registration processes administered by LGUs is only part of the overall business permitting system. The findings of the *Doing Business Survey* of the

¹ Note that the intermediate results were referred to in the Start-Up Plan and in the Work Plan as components of the INVEST Project.

² These steps include: (1) securing an application form; (2) submission of the form; (3) one-time assessment of fees; (4) one-time payment of fees; and (5) securing the business permit.

International Finance Corporation (IFC) indicate that the delays in processing business start-ups can mostly be traced to tedious processes of national government agencies. The INVEST project will initiate the process of reforming special permits required of firms venturing to go into activities in two priority areas of government – agribusiness and tourism. The extent of the streamlining efforts will, however, be dependent on the initial findings of the preliminary inventory and process mapping that will be undertaken.

Improvements in investment planning and promotion will be achieved through the following three sub-intermediate results:

1. *Strengthened planning, investment programming and budgeting in target cities (IR 2.1).*
One of the causes of the inadequate flow of investments at the local level is the absence of a clear strategic vision and a set of investment projects that could be funded by private investors. In some cases when there could be viable projects for investments, cities lack the capacity to evaluate the funding facilities that could be tapped for project implementation. INVEST will thus assist target cities to validate existing city strategic vision and develop a set of investment projects that can be presented to the private sector.
2. *Enhanced capacities of Local Economic and Investment Promotion Officers (LEIPOs) and the National Economic and Research Business Assistance Centers (NERBACS) (IR 2.2).* The DILG recently issued DILG Memorandum Circular No. 2010-113 dated October 3, 2010 enjoining all provincial and city mayors to designate a Local Economic and Investment Promotion Officer (LEIPO) tasked to facilitate investment promotion in the LGUs and to coordinate activities with the newly-designated DILG Regional Economic and Investment Officers. The Offices of LEIPOs have not been set up in some cities, or in cities where they have been designated, LEIPOs have yet to undertake *meaningful* investment promotion related activities. Enhancing the capacities of LEIPOs and strengthening the NERBACS are envisioned to facilitate the provision of investment-related information often needed by investors as well as in business-matching activities between local producers and manufacturers, on one hand, and markets on the other.
3. *Improved competitiveness of target cities (IR 2.3).* Studies by the Asian Development Bank and the World Bank have cited the important role of cities in driving economic growth due to the strong reception to the demands of globalization. It is therefore critical that the target cities are assisted in being the models of competitiveness that promotes innovation, good governance, and strong linkages with the private sector, among others. The cities will hence be assisted to address the usual constraints to investments such as availability of credit, lack of relevant economic information on cities, inadequate industry support, as well as lack of incentives for innovation and good governance. INVEST interventions will contribute to the dissemination of information that would be used in investment planning and promotion of target cities.

Achieving the above results for the INVEST project will depend on the following assumptions: (1) continued commitment and support of local chief executives (LCEs) in target cities until the end of the project, despite possible change in leadership; (2) continued substantial participation of partner agencies such as DTI, DILG and the National Competitiveness Council, among others; (3) absence of a major national financial crisis nationally or local budget or political problem that will substantially discourage investment inflows into the targeted cities; (4) no destructive national disaster that will devastate the target cities; (5) relatively stable peace and order conditions prevailing in the target cities; and (6) no drastic change in USAID directions and priorities.

III. The Invest Work Plan

The design of the INVEST Project is based on a logical framework (logframe) that details the causal linkages among project inputs, outputs, purpose and desired outcome or goal (*Pls. refer to Annex A*). Annex B identifies the specific activities and the outputs that will achieve the intermediate results and their proposed timetable for implementation. These activities with corresponding outputs which will be submitted to USAID are summarized in Figures 2 and 3 below.³

³ In the revised work plan submitted on January 9, 2012, the team used the term “components” which is the same as the first level intermediate results and “program area” which can be compared to second or sub-intermediate results. The term “deliverables” in the revised work plan can also be interpreted as the third level intermediate results.

Figure 2: Summary of Deliverables/Outputs for Component 1 (IR 1.0) on Streamlined Business Registration Processes

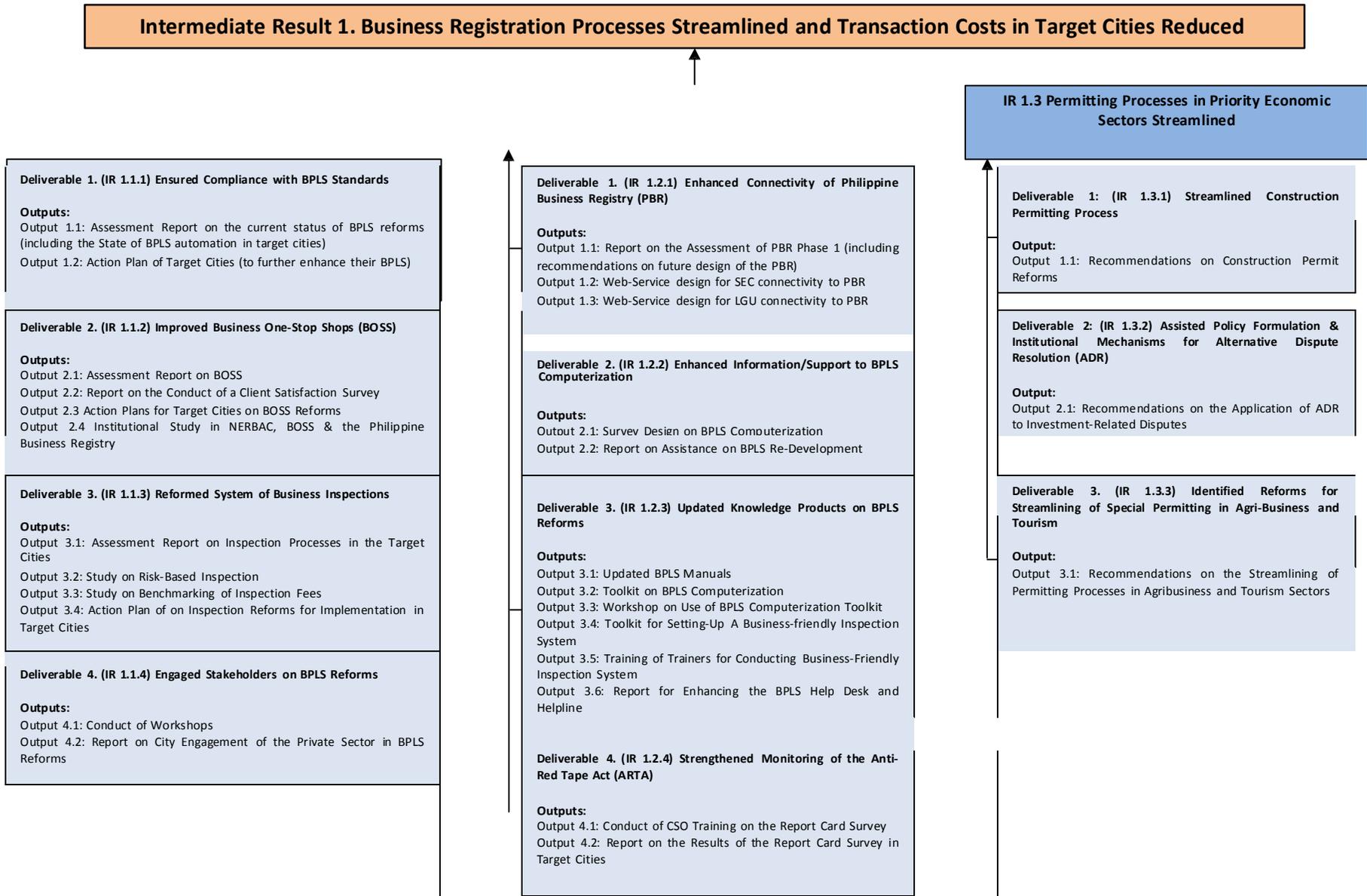
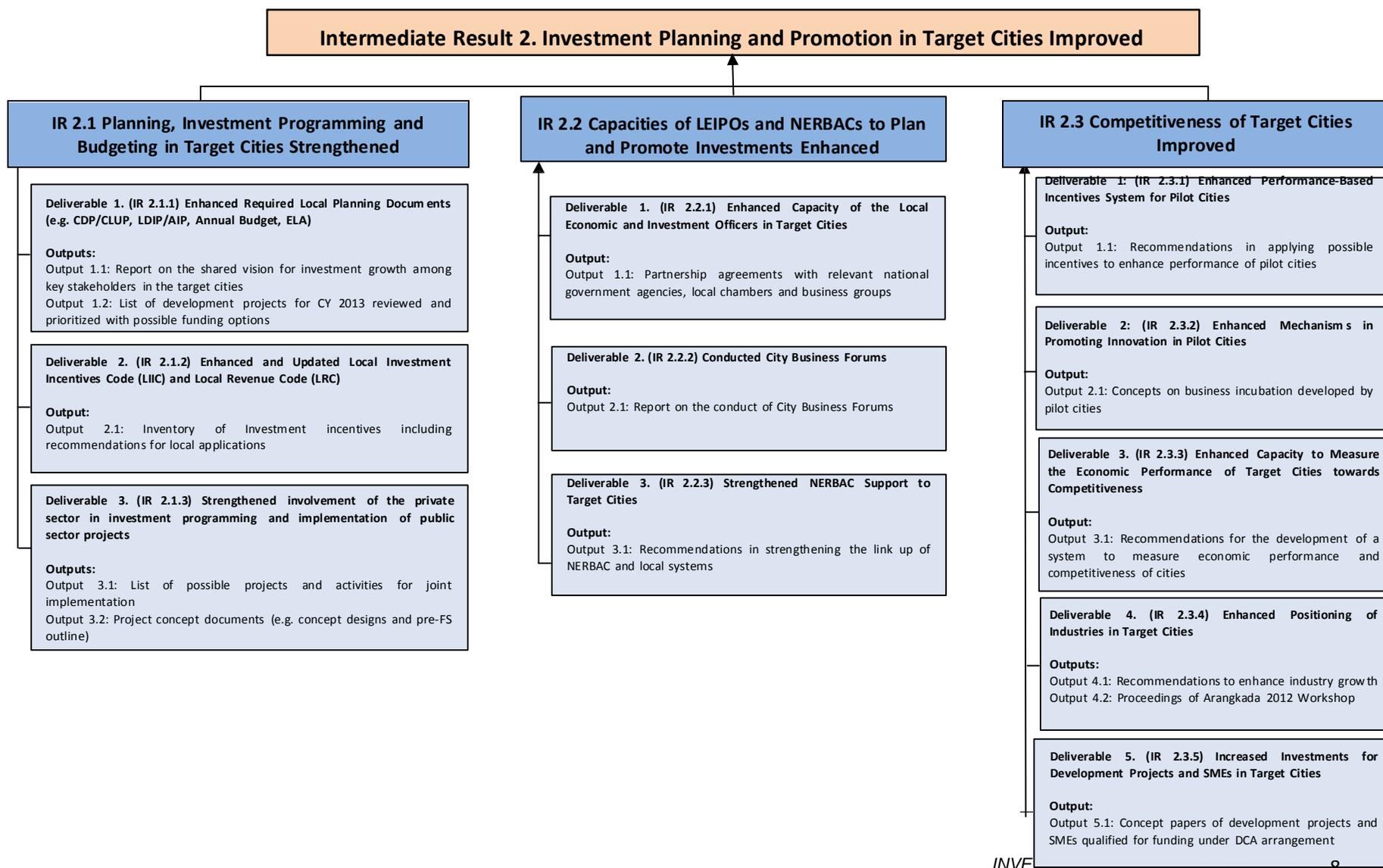




Figure 3: Summary of Deliverables/Outputs for Component 2 (IR 2.0) on Improved Investment Planning and Promotion in Target Cities



IV. Gender and Development Action Plan

The INVEST Gender and Development Action Plan (INVEST GAD-AP) proceeds from the premise that women are half of the human resources of a country or community and ought to be harnessed if the full potential of a country or community for growth and development is to be realized. In the context of the INVEST project, this implies that women entrepreneurs must contribute to the process of making cities competitive by, for instance, participating in efforts to reform business registration or that female staff must be fully involved in investment planning and programming as mandated by their functions.

The INVEST GAD-AP is formulated on the basis of a gender review of the INVEST project design and (tentative) performance indicators. This is to ensure that gender concerns are consciously considered at the project planning and monitoring stages of the project. In the project context, gender issues may come in the form of male-female differentials in participation in systems planning and programming activities, in policy and decision making, or in availing of benefits that may result from systems improvement. These can be verified with the collection of sex disaggregated data.

Considering that the focus of INVEST is systems improvement and capacity building, the original INVEST proposal did not pay special attention to gender. The thrust of the INVEST project is essentially to improve the business permitting and licensing (BPLS) system of three target cities and to build capacity in investment planning, programming and budgeting among local economic and investment officers.

The gender perspective has been introduced at project inception during the project operational planning phase. As part of its work planning activity, the Project Team systematically reviewed the current project design and identified specific areas where there could be gender issues and where there is scope for addressing women's concerns. These gender issues have been articulated as gender statements which can be viewed as tentative hypothesis that can be verified with available data (*Please refer to Annex C*).

The INVEST GAD-AP is presented in Table 1. Since there are currently no sex-disaggregated data that could shed light on the possible existence of gender issues in the areas of concern for the Project, the first major GAD action of INVEST is to collect sex-disaggregated data which will be used to ascertain if there are meaningful male-female imbalances in availing of opportunities to participate and influence the design of reforms that would result from efforts of the Project or to use, or benefit from, such reforms.

A gender training will also be conducted during the first quarter of 2012 (first project year) to orient the Project Team, including the Project's City Program Advisers and counterpart staff in the target cities, on gender concerns and train them on how to more effectively and efficiently mainstream these in the various Project activities.

It is expected that the INVEST GAD-AP will be further elaborated in the course of project implementation, especially after sex-disaggregated data relating to levels of women's participation and access to business permitting services shall have been collected during baseline data gathering activities.

Following the proposed performance indicators per program component, sex disaggregated data relative to the participation of women and men in systems improvement activities, in city planning processes and in training activities will comprise the key indicators of the gender responsiveness of project interventions. In certain areas like the *involvement of the private sector in investment programming and implementation of public sector projects*, there is scope for checking the "quality" of women's participation. For example, are women able to influence investment programming decisions? Records of discussions in meetings could be used to ascertain if this is the case. This implies that the project will be undertaking a systematic process documentation of gender participation in INVEST project activities.

Table 1. INVEST Gender and Development Action Plan

| Project | Gender Statements (Issues and/or Proposed Actions) | Entry Points | Objectives | Activities |
|---|---|--|---|--|
| <p>INVEST Expected Results/Specific Deliverables per result listed in Table 1.</p> <p>1) An enabling environment for investors through efficient and effective business permitting processes and a more business-friendly policy environment</p> <p>2) strengthened tripartite partnership among the targeted city governments, local civil society groups, local academic institutions, and local processes</p> <p>3) enhanced civil society and private business involvement in the reform process</p> <p>4) improved capacity of city government institutions to manage and implement investment policies and to encourage innovation in the private sector</p> | <p>Project design is gender neutral. Systematic gender analysis needs to be conducted and requires sex disaggregated data to determine levels of women participation in BPLS improvement processes and in city investment planning and programming processes.</p> <p>Equal opportunity for men and women entrepreneurs to avail of one stop shop services.</p> <p>Equal opportunity for women entrepreneurs to have a voice in BPLS reform processes and articulate needs and concerns.</p> <p>Equal opportunity for men and women entrepreneurs to participate in city planning and investment programming.</p> <p>Equal opportunity for men and women staff and entrepreneurs to participate in training programs to strengthen institutional capacity in investment planning and programming.</p> <p>Male and female staff of city government offices, private sector benefit from training and other relevant capacity building activities.</p> | <p>A. Planning</p> <p>Integrate gender in work planning to prepare for INVEST project implementation. Gender issues systematically identified as per USAID guidelines (refer to Table 1). Gender indicators to be integrated into INVEST performance indicators.</p> <p>B. Implementation</p> <ol style="list-style-type: none"> 1. On project inception, orient and train city program officers and counterpart staff in the city government offices of the project cities. Inform the project teams in 3 cities about USAID gender policy and the GAD Plan and their respective roles and responsibilities. 2. Provide guidelines to the project leaders and technical staff to ensure women’s participation and involvement in strengthening national agencies to support BPLS reforms and in implementing BPLS reforms in project cities. 3. Ensure male and female staff such as local economic and investment officers) as well as men and women entrepreneurs are able to participate in training activities for the purpose of institutional capacity development. 4. Provide technical advice and guidance to NERBAC staff on how to be gender responsive. <p>C. M&E</p> <ol style="list-style-type: none"> 1. Collect relevant sex disaggregated data. Analyze data vis a vis gender objectives in the INVEST project. 2. USAID-required gender indicators (i.e. participation and access) 3. Analyze gender and development data, prepare & submit reports. | <p>To identify possible gender issues in each project component</p> <p>To bring to light and articulate women entrepreneurs’ concerns regarding business permitting and licensing processes as well as investment plans and programs. and the processes attendant to their formulation.</p> <p>To reflect in project reports an analysis of gender data (quantitative and qualitative data) that describe and explain women’s participation in and contribution to development efforts that promote city competitiveness.</p> | <p>Hire local expert to help program staff review project to align with GAD principles and ensure gender concerns are mainstreamed in program plans, implementation and monitoring systems.</p> <p>Gender orientation of INVEST project team/staff on gender and development and USAID gender policy (echo Nov 11 seminar of USAID on gender)</p> <p>Gender awareness sessions among project staff at cities program officers and counterpart city staff.</p> <p>Review and collect relevant sex-disaggregated data. Identify and analyze gender issues per project component using USAID guidelines.</p> <p>Female entrepreneurs to be included as respondents in baseline survey, their views and perceptions obtained regarding permitting processes, investment planning processes as well as the existing investment plans</p> <p>Include gender indicators in the M&E system of INVEST based on the guidelines of USAID.</p> <p>Analysis of relevant data on GAD, prepare and submit reports according to USAID reporting requirements.</p> <p>Include in the end of project report GAD related lessons learned, best practices, etc., as far as possible.</p> |

V. Performance Monitoring Plan (PMP)

The performance monitoring plan of the INVEST Project adheres closely to the guidelines set by USAID.⁴

A. Proposed Elements of the PMP

The following nine elements of the PMP summarize the information details provided in the attached Performance Indicators Reference Sheets (PIRS) in Annex D.

1. Performance Indicators and their Definitions

Following a thorough and iterative consensus-building process, the INVEST Team identified a total of **25 Key Performance Indicators** (*Annex D*), which are also presented in matrix format in the INVEST Project's overall logframe (*Annex A*). A summary of the Project's key indicators is presented in Table 2 below:

| Level of Objective/Results | No. of KPIs |
|-----------------------------------|--------------------|
| Impact/Goal | 3 |
| Outcome/Purpose/IR 1 and IR 2 | 3 |
| Output Level | |
| Component 1 (IR 1.0) | |
| ▪ Program Area/IR 1.1 | 3 |
| ▪ Program Area/IR 1.2 | 4 |
| ▪ Program Area/IR 1.3 | 1 |
| Component 2 (IR 2.0) | |
| ▪ Program Area/IR 2.1 | 4 |
| ▪ Program Area/IR 2.2 | 2 |
| ▪ Program Area/IR 2.3 | 5 |
| Total | 25 |

The PIRS in Annex D provide the detailed definition of each performance indicator, to ensure that different people at different times, given the task of collecting data for any given indicator, will collect more or less identical data. The information provided in the PIRS includes, among others, a description of the required data, the collection methods to be used in collecting them, and the methods of analysis to be applied on them. Baseline data and annual and life-of-project (two-year) targets at the Impact/Goal, Outcome/Purpose and Output levels – per key indicator – will be determined during the city planning workshops, in order to ensure: (a) broad-based commitment to performance targets; (b) a common understanding of the meaning

⁴ USAID Center for Development information and Evaluation, "Preparing a Performance Monitoring Plan" (1996), pages 2-4.

and significance of the indicators and targets; and (c) accuracy of values/figures, especially the baseline. Targets are already shown per key indicator at the Input level (*Annex A*).

2. Data Sources

The attached PIRS indicate the specific data source per key indicator. There will be four major sources of monitoring data for the Project: (1) city LGU records/files (in paper or electronic form), particularly those being maintained by the City Business Permit and Licensing Office (BPLO), Treasurer's Office, Budget Office, Assessor's Office, Planning and Development Office, Local Economic and Investment Promotions Office (LEIPO or its equivalent), and inspection units; (2) records/files of the concerned national government agencies (NERBAC, DTI, DILG, NEDA, SEC, NSCB and NSO); (3) project-commissioned customer satisfaction surveys, exit interviews, and similar other studies; and (4) internally-prepared project reports. Other data sources will include: (a) participating NGOs/CSOs; (b) websites, e.g., of Philippine and Asian cities; (c) relevant reports such as the Philippine Cities Competitiveness Report; and (d) other funding agencies/projects.

3. Methods of Data Collection

The INVEST Project will optimize the use of secondary data. As shown in Annex D, most of the data that will be required to track the key performance indicators will be sourced from the city LGU records/files that will be accessed by the INVEST Project City Program Advisers, reviewed thoroughly, and as appropriate, used as input for project reports. Data availability and quality are not expected to be major issues, considering that the targeted cities are first class.

In some cases, the LGUs will be requested to process raw data, e.g., comparing the license or permit application dates with the issuance dates (as basis for averaging the number of days to register). Some of the required data, e.g., on business permits processing metrics, may be collected from surveys (e.g. IFC's Doing Business Survey) and from websites of Asian cities. The City Program Advisers will also collect secondary data from other available sources such as competitiveness reports, related surveys and studies, other relevant printed or electronic references, and even newspaper articles, similar publications, and other mass media.

Primary data will be collected using individual Short-Term Technical Assistance or sub-contracted firms, based on Terms of Reference that will provide clear guidance as to data collection methods/protocols, and instruments. Collection methods will also include interviews and observation. In all cases, data will be disaggregated by gender, as appropriate, and in support of the Project's Gender Action Plan.

4. Frequency and Schedule of Data Collection

The PMP will ensure that reliable, comparable, timely, and sufficiently detailed data will be gathered periodically to measure implementation progress. The PIR sheets in Annex D show that data will usually be collected at the beginning and/or at the end of the year, to be used as

input/basis for performance assessment efforts. Baseline and updated data on business renewals, in particular, will have to be collected during the actual registration period. Data related to training, workshops, conferences and similar forums will be collected immediately before and immediately after each event.

In order to prove the practical value of the performance monitoring system, and also to ensure a dynamic multi-directional flow of information, deadlines will be imposed not only on data collection and report submission but also for the report readers/users to provide feedback/guidance/instructions to the reporters and data sources. These deadlines are included in the attached PIRS.

5. Responsibility for Acquiring Data

Under the INVEST Project, collection of secondary data, and to some extent, some of the envisioned primary data, is mainly the responsibility of the City Program Advisers, who will be supported by LGU personnel and the INVEST M&E Unit based at the national program office. Primary data collection will be part of the deliverables of the individual STTAs (including survey enumerators and “process mappers”) and sub-contracted firms to be engaged under the project to perform complementary specialized services.

6. Data Analysis Plans

The PIRS specify how data for individual key performance indicators will be analyzed, reported, reviewed and used. Both quantitative analytical techniques (e.g., to assess patterns in new business registrations), and qualitative/descriptive methods (e.g., streamlining of business registration processes) will be applied. Performance data will be analyzed against the baseline, over time (quarter-to-quarter and year-to-year), and across the target cities. Analysis will focus on comparing targets and actual financial and physical performance using simple “degree of deviation” analysis. Accomplishments will be assessed in terms of criteria such as: (a) effectiveness, e.g., the extent to which the INVEST Team was able to execute its work plan; (b) timeliness of implementation, including the main reasons for, and remedies to, delays; and (c) efficiency of operations (improving input-to-output ratio as the project “matures” towards the second year of implementation). Project achievements will also be benchmarked against performance in comparator cities in the Philippines and in Asia.

7. Plans for Complementary Evaluations

During the course of INVEST's implementation, two types of evaluation will be conducted: (a) quarterly operations assessments; and (b) annual strategic evaluations (*Please refer to Section 6 of the M & E plan*). The operations assessments will measure the effectiveness and efficiency of implementation of activities (as detailed in the Annual Work Plan), which are intended to achieve the project's Outcome/Purpose and Outputs on Rows 2 and 3 of the Logframe. Operations assessments will be the subject of quarterly workshops to discuss the Quarterly Performance Reports. On the other hand, the annual strategic assessment workshops will

focus on the degree to which the project is likely to achieve the Strategic Objective stated in the Results Framework, as well as the Impact/Goal specified on Row 1 of the Logframe, and on the factors that are facilitating or hindering such achievement. While operations assessments take as given the current set of project activities and their cause-and-effect relationships, strategic evaluations will take a more critical stance in reviewing the relevance, mix, completeness, and proportionality of activities intended to achieve results objectives. Operational assessments will aim to confirm if the project is “doing things right”; in comparison, strategic assessments will verify if the project is “doing the right things”.

8. Plans for Communicating and Using Performance Information

Baseline and updated data will feed into the decision-making processes of the project so that it could improve performance, resource allocation, and communication of the project's story. Data to be collected will be presented in simple standard report formats to be provided (and subsequently refined) by the INVEST Team. The resulting findings, conclusions and recommendations based on data collected will be contained in Quarterly Progress Reports, Semi-Annual Results Monitoring Reports, and “exception reports” which, in turn, will be presented and discussed in regular project coordination workshop-meetings, performance reviews, as well in special forums that may be conducted for this purpose at the city or national/inter-city level.

An analysis of the extent to which the critical/key assumptions stated in the Project’s Results Framework and Logframe remain valid will form part of discussions to be carried out during the assessment workshops. If no longer valid, the appropriate adjustments in project implementation strategies and/or work plans will need to be agreed with USAID.

9. Budget

Since most of the key performance indicators will require data to be collected by the INVEST City Program Advisers, the data collection cost is not expected to be substantial. The city LGUs are also expected to share in the cost of collecting, processing and presenting some of the required data. A corresponding budget for primary data collection will be incorporated into the agreements to be signed with STTAs and sub-contractors to be engaged by the INVEST Team. Cost estimates are shown on Row 4 (Inputs) of the Project Logframe based on project financial plans.

B. PMP Implementation

Operationally, the performance monitoring system of the INVEST Project will consist of the following five **core activities**:

1. **Quarterly Progress Reporting**⁵ – On the basis of the detailed Annual Work Plan (AWP) prepared by the INVEST Team and each participating city following a standard format, quarterly progress reports will show in detail information regarding planned versus actual performance. These reports can readily be used as basis to provide a visually attractive presentation of patterns of performance that will track implementation progress, identify bottlenecks/constraints, and provide an informed basis for project management to make the necessary decisions and/or take the appropriate actions.
2. **Quarterly and Ad-hoc Coordination Meetings** – These will be convened to discuss: (a) “normal” implementation issues; (b) issues emerging from the quarterly physical and financial progress reports; and (c) more generally, the status of AWP implementation, possibly including the need for updating or adjusting the approved AWP. The discussion of quarterly progress reports will focus on the comparison between targets and actual financial and physical performance using simple degree of deviation analysis. It will also focus on implementation issues linked to – or inferred from – physical and financial data. Quarterly coordination meetings will be scheduled in conjunction with the discussion of processes and results, rather than held as stand-alone activities, in order to mainstream monitoring and evaluation into the project management system.
3. **Semi-Annual Results Reporting** – While physical and financial monitoring will dwell on activities and inputs as shown in Annex A, results reporting will focus on the **targets and indicators of outputs, outcomes and impact**. Project outcomes in particular will serve as “beacon” or “guidepost” to direct/steer project activities at the city and central levels towards agreed objectives. Without such a beacon, project implementers could “focus too much on the trees and lose sight of the forest”. Performance assessment criteria similar to those used for physical and financial monitoring can be employed in reporting and evaluating results, to include effectiveness, efficiency and timeliness of implementation. Emerging results will also need to be assessed on the basis of (a) continued relevance to project objectives; and (b) efficiency, i.e., the ability of a project to “mature” over time and therefore to produce target outputs within a shorter period and/or with less inputs, in comparison to the initial stage of implementation. Issues to be raised in results monitoring reports will be discussed during the assessment workshops discussed below. As in all types of reporting, the **main challenge is how to package brief but clear reports for busy managers to digest and to act upon**.
4. **Mid-Year and Annual Assessment Workshops** – Prior to the preparation of the Year 2 AWP, performance during the previous year will need to be assessed, particularly based on: (a) strategic relevance, defined to mean the extent to which individual activities funded by the project contribute directly and significantly towards achieving outcomes

⁵ Page 17 of the USAID ADS Chapter 203: “Assessing and Learning” Aug. 8, 2011 states: “Experience suggests that the information needed for managing activities and projects (tracking inputs and outputs) should be available on a quarterly basis.” Where projects require monthly reports, the monitoring and reporting burden constrained the ability of reporting units to respond to other implementation concerns; in addition, monthly reporting likewise proved burdensome to the report users (project managers), to the extent that monthly reports are left mostly unread.

and impacts; (b) effectiveness of implementation, which is understood as the degree to which agreed targets have been achieved; (c) overlaps and gaps in activities to ensure that a complete and proportionate package of activities can be implemented to realistically achieve targets; and (d) emerging lessons learned and replicable “project models” that could be derived from these. Performance assessment results are intended to serve as inputs for the updated/Year 2 AWP, as well as for USAID project tracking. Mid-year assessment workshops will also provide a firm basis for the cities to introduce timely interim/mid-course adjustments into their AWPs.

5. **External and Independent Monitoring and Evaluation** – In order to further enrich performance management, and also as a “cross check” to internal monitoring and reporting, the PMP will include “independent M&E”. Experience in various other projects shows that the “perceived objectivity” of external M&E serves to further boost the credibility and prestige of project accomplishments. External and independent M&E results will find their way not only into regular reports, but also into the final project report. The content/substance of external and independent M&E will necessarily overlap, but will not entirely duplicate with the coverage of internal monitoring and reporting (Figure 1). The links between internal and external M&E will be clarified as actual implementation unfolds, but it is understood that **external, independent M&E will prioritize strategic analysis at the outcome and impact levels.**

VI. Key Evaluation Questions

The following indicative guide questions will be refined towards the end of Year 1 implementation, as basis for the Year 1 strategic evaluation:

1. What is the extent to which the project has met its annual targets at all levels of the Logframe? To what degree are the intermediate results and sub-intermediate results able to move the project forward in terms of achieving the expected outcome? If the outcome is not yet visible, to what extent will emerging results be able to support achievement of the outcome by the end of the project? Under what conditions?
2. What factors are enhancing or constraining generation of the intermediate results and sub-intermediate results? What specific and concrete measures, if any, should be undertaken to enhance results generation? By whom, when and how?
3. How effective is the flow/delivery of project inputs (e.g., STTA) from the central level (INVEST TA Team in Manila) down to the city-specific level, by component and by type of input? (This question will address the “vertical processes” of delivering project inputs from the central down to the city level. Such processes will include the review and approval of Terms of Reference, procurement/sub-contracting, and funds flow.)

4. What is the level and quality of participation/support of the key offices within the LGUs, concerned national government agencies, private sector, NGOs/CSOs, and other stakeholders? How can the “quality” of this participation be further enhanced?
5. What priority policy, design and/or implementation/operational issues should be addressed? How?
6. What organizational and/or management adjustments if any are required?
7. To what extent are key assumptions stated in the Results Framework and Logframe still valid? Which assumptions in the Results Framework and Logframe need to be updated? Why?
8. What gender issues if any are emerging? To what extent is the Gender Action Plan being implemented and how is this contributing to the achievement of the project outcome?
9. What key lessons learned are being drawn from project implementation and how can these be applied in: (a) the ensuring year of implementation; (b) other cities; and (c) the larger Partnerships for Growth (PFG) initiative?
10. What if any adjustments are needed to enhance the usefulness of this M&E plan including the project results framework, performance monitoring plans, indicators, targets and/or evaluation questions?

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| Narrative Summary (Col. 1) | Objectively Verifiable Indicators (Col. 2) | | | | | Means of Verification (sources of data for tracking performance indicators) (Col. 3) | Key Assumptions (conditions influencing performance but beyond the control of the project) (Col. 4) |
|---|--|------------------------|---------------------|---------------------|--------------------------|--|---|
| | Key Performance Indicators (KPIs) ^o (targets) | Base-line ⁷ | Year 1 (2011-12) | Year 2 (2012-13) | Life-of-Project (LOP) | | |
| (2) Enhanced competitiveness of targeted cities to generate increased investments for local economic development | (1b) Collection from business registration fees increased from x to y% annually (by city) (2a) City competitiveness ranking improved (for indicators relevant to INVEST) (by city) | | | | | records <ul style="list-style-type: none"> ▪ IFC Cost of Doing Business Survey ▪ Phil. Cities Competitiveness Report Project/PCCRP (re local business perception) | <ul style="list-style-type: none"> ▪ Relatively stable local peace & order and political conditions ▪ Rate of inflation does not exert too much pressure on investors as well as LGU fees |
| <p>Row 3: Outputs:¹⁰</p> <p>Program Area 1.1 (IR 1.1): Business Permit & Licensing System (BPLS) in Target Cities Complied With</p> <p>Deliverable 1 (IR 1.1.1). Ensured Compliance with BPLS Standards</p> <p><u>Outputs</u> Output 1.1: Assessment Report on the current status of BPLS reforms (including the State of BPLS automation in target cities) Output 1.2: Action Plan of Target Cities (to further enhance their BPLS) Output 1.3 Report on the Implementation of BPLS Reforms</p> <p>Deliverable 2 (IR 1.1.2). Improved Business One-Stop Shops (BOSS)</p> <p><u>Outputs</u></p> | <p>BPLS standards (5 steps, 5 signatories, 10 days for new registration, and 5 days for renewal) complied with (by city) and made comparable to selected Asia region metrics (by city)</p> <p>BOSS processing time of national government (NG) agencies reduced from x to y days' average (by NG agency, by city)</p> <p>Inspections are predictable, transparent and fair (by city)</p> <p>Recommended criteria for prioritizing inspections submitted to DILG and DPWH</p> | | | | | <p>For output monitoring:</p> <ul style="list-style-type: none"> ▪ Quarterly "M&E for LGU Business Innovations" reports <ul style="list-style-type: none"> - Project reports verifying actual adoption of streamlining (no. of steps, signatories, length of time) & inspections reforms (checklist, schedule, etc.) - Project reports verifying actual functionality of IT solution - Training documentation | <p>Expected outputs can be produced if the following conditions prevail:</p> <ul style="list-style-type: none"> ▪ Required resources are available on time |

¹⁰ Refers to changes (such as reduction in BOSS processing time), studies, systems, services, databases, products and other deliverables to achieve the project purpose stated in Row 2 above)

| Narrative Summary (Col. 1) | Objectively Verifiable Indicators (Col. 2) | | | | | Means of Verification (sources of data for tracking performance indicators) (Col. 3) | Key Assumptions (conditions influencing performance but beyond the control of the project) (Col. 4) |
|--|---|------------------------|---------------------|---------------------|--------------------------|---|---|
| | Key Performance Indicators (KPIs) ^o (targets) | Base-line ⁷ | Year 1 (2011-12) | Year 2 (2012-13) | Life-of-Project (LOP) | | |
| <p>Output 2.1: Assessment Report on BOSS</p> <p>Output 2.2: Report on the Conduct of a Client Satisfaction Survey</p> <p>Output 2.3 Action Plans for Target Cities on BOSS Reforms</p> <p>Output 2.4 Institutional Study in NERBAC, BOSS & the Philippine Business Registry</p> <p>Deliverable 3 (IR 1.1.3). Improved System of Business Inspection</p> <p><u>Outputs</u></p> <p>Output 3.1: Assessment Report on Inspection Processes in the Target Cities</p> <p>Output 3.2: Study on Risk-Based Inspection</p> <p>Output 3.3: Study on Benchmarking of Inspection Fees</p> <p>Output 3.4: Action Plan of on Inspection Reforms for Implementation in Target Cities</p> <p>Deliverable 4 (IR 1.1.4). Engaged Stakeholders on BPLS Reforms</p> <p><u>Outputs</u></p> <p>Output 4.1: Conduct of Workshops</p> <p>Output 4.2: Report on City Engagement of the Private Sector in BPLS Reforms</p> | | | | | | <ul style="list-style-type: none"> - Report Card/Customer Satisfaction Survey - Policy paper w/ criteria ▪ Comprehensive Development Plan (CDP) ▪ Local Development Investment Program (LDIP) ▪ Annual Investment Program (AIP) ▪ Local Investment Incentives Code (LIIC) ▪ Local Revenue Code | |
| <p>Program Area 1.2: National Government Support to BPLS Reforms Strengthened</p> <p>Deliverable 1. Enhanced Connectivity of Philippine Business Registry (PBR)</p> | <p>IT solution enabling PBR interconnection developed for targeted cities</p> <p>City IT officials trained to adopt BPLS automation (by city)</p> | | | | | | |

| Narrative Summary (Col. 1) | Objectively Verifiable Indicators (Col. 2) | | | | | Means of Verification (sources of data for tracking performance indicators) (Col. 3) | Key Assumptions (conditions influencing performance but beyond the control of the project) (Col. 4) |
|--|--|------------------------|---------------------|---------------------|--------------------------|--|---|
| | Key Performance Indicators (KPIs) ^o (targets) | Base-line ⁷ | Year 1 (2011-12) | Year 2 (2012-13) | Life-of-Project (LOP) | | |
| <p><u>Outputs</u> Output 1.1: Report on the Assessment of PBR Phase 1 (including recommendations on future design of the PBR) Output 1.2: Web-Service design for SEC connectivity to PBR Output 1.3: Web-Service design for LGU connectivity to PBR</p> <p>Deliverable 2. Enhanced Information/Support to BPLS Computerization</p> <p><u>Outputs</u> Output 2.1: Survey Design on BPLS Computerization Output 2.2: Report on Assistance on BPLS Re-Development</p> <p>Deliverable 3. Updated Knowledge Products on BPLS Reforms</p> <p><u>Outputs</u> Output 3.1: Updated BPLS Manuals Output 3.2: Toolkit on BPLS Computerization Output 3.3: Workshop on Use of BPLS Computerization Toolkit Output 3.4: Toolkit for Setting-Up A Business-friendly Inspection System Output 3.5: Training of Trainers for Conducting Business-Friendly Inspection System Output 3.6: Report for Enhancing the</p> | CSO-led Report Card on Citizen's Charter conducted (by city) | | | | | | |

| Narrative Summary (Col. 1) | Objectively Verifiable Indicators (Col. 2) | | | | | Means of Verification (sources of data for tracking performance indicators) (Col. 3) | Key Assumptions (conditions influencing performance but beyond the control of the project) (Col. 4) |
|---|--|------------------------|---------------------|---------------------|--------------------------|--|---|
| | Key Performance Indicators (KPIs) ^o (targets) | Base-line ⁷ | Year 1 (2011-12) | Year 2 (2012-13) | Life-of-Project (LOP) | | |
| <p>BPLS Help Desk and Helpline</p> <p>Deliverable 4 (IR 1.1.4). Strengthened Monitoring of the Anti-Red Tape Act (ARTA)</p> <p><u>Outputs</u> Output 4.1: Conduct of CSO Training on the Report Card Survey Output 4.2: Report on the Results of the Report Card Survey in Target Cities</p> | | | | | | | |
| <p>Program Area 1.3 (IR 1.3): Permitting Processes in Priority Economic Sectors Streamlined</p> <p>Deliverable 1. Streamlined Construction Permitting Process</p> <p><u>Output</u> Output 1.1: Recommendations on Construction Permit Reforms</p> <p>Deliverable 2. Assisted Policy Formulation and Institutional Mechanisms for Alternative Dispute Resolution (ADR)</p> <p><u>Output</u> Output 2.1: Recommendations on the Application of ADR to Investment-Related Disputes</p> <p>Deliverable 3. Streamlining of Special Permitting in Agri-Business</p> | <p>Recommendations submitted:</p> <ul style="list-style-type: none"> ▪ streamlining of construction permits system (to DILG and DPWH) ▪ alternative dispute resolution mechanisms (to DTI and DILG) ▪ streamlining of tourism and agribusiness registration processes (to DTI and DILG) | | | | | | |

| Narrative Summary (Col. 1) | Objectively Verifiable Indicators (Col. 2) | | | | | Means of Verification (sources of data for tracking performance indicators) (Col. 3) | Key Assumptions (conditions influencing performance but beyond the control of the project) (Col. 4) |
|---|---|------------------------|---------------------|---------------------|--------------------------|--|---|
| | Key Performance Indicators (KPIs) ^o (targets) | Base-line ⁷ | Year 1 (2011-12) | Year 2 (2012-13) | Life-of-Project (LOP) | | |
| <u>Output</u> Output 3.1: Recommendations on the Streamlining of Permitting Processes in Agribusiness and Tourism Sectors | | | | | | | |
| Program Area 2.1: Planning, Investment Programming & Budgeting in Target Cities Strengthened Deliverable 1 (IR 2.1.1). Enhanced Required Local Planning Documents (e.g., CDP/CLUP, LDIP/AIP, Annual Budget, ELA) <u>Outputs</u> Output 1.1: Report on the shared vision for investment growth among key stakeholders in the target cities Output 1.2: List of development projects for CY 2013 reviewed and prioritized with possible funding options Deliverable 2 (IR 2.1.2). Enhanced and Updated Local Investment Incentives Code (LIIC) & Local Revenue Code (LRC) <u>Output</u> Output 2.1: Inventory of Investment incentives including recommendations for local applications Deliverable 3 (IR 2.1.3) Strengthened Involvement of the Private Sector in Investment Programming and Implementation of Public Sector | X percent of projects in Local Development Investment Program (LDIP) funded (by city) X% of public sector projects funded under joint LGU-private sector arrangement (by city) Incentives provided under national policies integrated into Local Investment Incentives Code (LIIC) (by city) Partnership arrangements such as Development Innovation Ventures Fund and Global Development Alliance (GDA) initiated by cities (by city) | | | | | | |

| Narrative Summary (Col. 1) | Objectively Verifiable Indicators (Col. 2) | | | | | Means of Verification (sources of data for tracking performance indicators) (Col. 3) | Key Assumptions (conditions influencing performance but beyond the control of the project) (Col. 4) |
|--|---|------------------------|---------------------|---------------------|--------------------------|--|---|
| | Key Performance Indicators (KPIs) ⁶ (targets) | Base-line ⁷ | Year 1 (2011-12) | Year 2 (2012-13) | Life-of-Project (LOP) | | |
| <p>Projects</p> <p><u>Outputs</u> Output 3.1: List of possible projects and activities for joint implementation Output 3.2: Project concept documents (e.g. concept designs and pre-FS outline)</p> | | | | | | | |
| <p>Program Area 2.2 (IR 2.2): Capacities of LEIPOs and NERBACs to Plan and Promote Investments Enhanced</p> <p>Deliverable 1 (IR 2.2.1). Enhanced Capacity of the Local Economic & Investment Officers in target cities</p> <p><u>Output</u> Output 1.1: Partnership agreements with relevant national government agencies, local chambers and business groups</p> <p>Deliverable 2 (IR 2.2.2). Conducted City Business Forums</p> <p><u>Output</u> Output 2.1: Repot on the conduct of City Business Forums</p> <p>Deliverable 3 (IR 2.2.3). Strengthened NERBAC Support to Target Cities</p> <p><u>Output</u> Output 3.1: Recommendations in strengthening the link up of NERBAC and local systems</p> | <p>Info system pilot-tested in regional NERBACs where target cities are located</p> <p>City business forum conducted (by city)</p> <p>Partnership initiatives such as investors conferences and local investment outlook updates organized by LGU (by city)</p> | | | | | | |

| Narrative Summary (Col. 1) | Objectively Verifiable Indicators (Col. 2) | | | | | Means of Verification (sources of data for tracking performance indicators) (Col. 3) | Key Assumptions (conditions influencing performance but beyond the control of the project) (Col. 4) |
|---|---|------------------------|---------------------|---------------------|--------------------------|--|---|
| | Key Performance Indicators (KPIs) ^o (targets) | Base-line ⁷ | Year 1 (2011-12) | Year 2 (2012-13) | Life-of-Project (LOP) | | |
| <p>Program Area 2.3 (IR 2.2): Competitiveness of Target Cities Improved</p> <p>Deliverable 1 (IR 2.3.1). Enhanced Performance-Based Incentive System for Pilot Cities</p> <p><u>Output</u> Output 1.1: Recommendations in applying possible incentives to enhance performance of pilot cities</p> <p>Deliverable 2 (IR2.3.2). Enhanced Mechanisms in promoting Innovation in Pilot Cities</p> <p><u>Output</u> Output 2.1: Concepts on business incubation developed by pilot cities</p> <p>Deliverable 3 (IR 2.3.3). Enhanced Capacity to Measure the Economic Performance of Target Cities towards Competitiveness</p> <p><u>Output</u> Output 3.1: Recommendations for the development of a system to measure economic performance and competitiveness of cities</p> <p>Deliverable 4 (IR 2.3.4). Enhanced Positioning of Industries in Target Cities</p> <p><u>Outputs</u></p> | <p>Enhanced performance-based incentive system established submitted to DILG</p> <p>Recommendations on business support facilities and technologies submitted (by city)</p> <p>System to measure economic performance and competitiveness of cities initiated</p> <p>Industry studies in pilot cities conducted</p> <p>Public sector projects and SME activities identified for funding under DCA arrangement</p> | | | | | | |

| Narrative Summary (Col. 1) | Objectively Verifiable Indicators (Col. 2) | | | | | Means of Verification (sources of data for tracking performance indicators) (Col. 3) | Key Assumptions (conditions influencing performance but beyond the control of the project) (Col. 4) |
|---|---|----------------------------|-------------------------|-------------------------|------------------------------|--|---|
| | Key Performance Indicators (KPIs) ^o (targets) | Base- line ⁷ | Year 1 (2011- 12) | Year 2 (2012- 13) | Life-of- Project (LOP) | | |
| <p>Output 4.1: Recommendations to enhance industry growth</p> <p>Output 4.2: Proceedings of Arangkada 2012 Workshop</p> <p>Deliverable 5 (IR 2.3.5): Increased Investment for Development Projects and SMEs in Target Cities</p> <p><u>Output</u></p> <p>Output 5.1: Concept papers of development projects and SMEs qualified for funding under DCA arrangement</p> | | | | | | | |
| <p>Row 4: Inputs (technical assistance, training and other resources required to produce the above outputs)</p> <p>Program Area 1.1: Complied with or Exceeded Business Permit & Licensing System (BPLS) in Targeted Cities</p> | <p>Training--workshops</p> <ul style="list-style-type: none"> ▪ No of events (national & city) ▪ No. of participants <p>Technical assistance</p> <ul style="list-style-type: none"> ▪ Sub-contracts (no. of firm/s total) ▪ STTA (no. of person days) | | 72 1,236 | 16 355 | 88 1591 | <p>For input monitoring:</p> <ul style="list-style-type: none"> ▪ Quarterly progress reports comparing physical and financial targets and performance, by program area ▪ Audit reports | <p>Inputs can be provided if the following conditions prevail:</p> <ul style="list-style-type: none"> ▪ Required funds to implement planned activities released on time ▪ Target participants' interest and ability to participate in training sustained ▪ Required resources for program management continue to be made available on time |
| <p>Program Area 1.2: Strengthened National Government Support to BPLS Reforms</p> | <p>Training--workshops</p> <ul style="list-style-type: none"> ▪ No of events (national & city) ▪ No. of participants <p>Technical assistance</p> <ul style="list-style-type: none"> ▪ Sub-contracts (no. of firm/s total) ▪ STTA (no. of person days) | | 7 510 | | 7 510 | | |

| Narrative Summary (Col. 1) | Objectively Verifiable Indicators (Col. 2) | | | | | Means of Verification (sources of data for tracking performance indicators) (Col. 3) | Key Assumptions (conditions influencing performance but beyond the control of the project) (Col. 4) |
|---|---|----------------------------|---------------------------|-------------------------|------------------------------|---|---|
| | Key Performance Indicators (KPIs) ^o (targets) | Base- line ⁷ | Year 1 (2011- 12) | Year 2 (2012- 13) | Life-of- Project (LOP) | | |
| | Major commodities <ul style="list-style-type: none"> No. by type | | 3 (staging servers) | | 3 | | |
| | | | 3 (internet kiosks) | | 3 | | |
| Program Area 1.3: Streamlined Permitting Process in Priority Economic Sectors | Training--workshops <ul style="list-style-type: none"> No. of events (national & city) No. of participants Technical assistance <ul style="list-style-type: none"> Sub-contracts (no. of firm/s total) STTA (no. of person days) | | 9 270 | 4 120 | 13 390 | | |
| Program Area 2.1: Strengthened Planning, Investment Programming & Budgeting in Targeted Cities | Training-workshops: <ul style="list-style-type: none"> Number of events (national & city) Training-workshop participants (by gender) Technical assistance: <ul style="list-style-type: none"> STTA (person-days) Consultations and forums: <ul style="list-style-type: none"> Number of events (national & city) No. of participants (by gender) | | 5 450 | | | | |
| | | | 103 | | | | |
| | | | 18 300 | | | | |
| Program Area 2.2: Enhanced Capacities of LEIPOs and NERBAC to Plan and Promote Investments | Training-workshops: <ul style="list-style-type: none"> Number of events (national & city) Training-workshop participants (by gender) Technical assistance: | | 8 70 | | | | |

| Narrative Summary (Col. 1) | Objectively Verifiable Indicators (Col. 2) | | | | | Means of Verification (sources of data for tracking performance indicators) (Col. 3) | Key Assumptions (conditions influencing performance but beyond the control of the project) (Col. 4) |
|--|--|------------------------|---------------------|---------------------|--------------------------|--|---|
| | Key Performance Indicators (KPIs) ^o (targets) | Base-line ⁷ | Year 1 (2011-12) | Year 2 (2012-13) | Life-of-Project (LOP) | | |
| | <ul style="list-style-type: none"> ▪ STTA (person-days) ▪ Subcontract (person-days) <p>Consultations and forums:</p> <ul style="list-style-type: none"> ▪ Number of events (national & city) ▪ No of participants (by gender) <p>Major commodities:</p> <ul style="list-style-type: none"> • Advocacy materials per city | | 65 3 | | | | |
| Program Area 2.3: Improved Competitiveness of Targeted Cities | <p>Training-workshops:</p> <ul style="list-style-type: none"> ▪ No. of events (national & city) ▪ No. of participants (per event) <p>Technical assistance</p> <ul style="list-style-type: none"> ▪ STTA (person-days) ▪ STTA (person-days-city) <p>Consultations and forums:</p> <ul style="list-style-type: none"> ▪ No. of events(national & city) ▪ No. of participants | | 3 15 | | | | |

ANNEX B. Proposed Deliverables and Activities, Results and Resources Required in Year 1 of INVEST

| Program Area/Deliverable | Activity | Outputs/Measureable Targets | Timetable ¹¹ |
|--|---|--|-------------------------|
| COMPONENT 1: STREAMLINING BUSINESS REGISTRATION PROCESSES AND LOWERING TRANSACTION COSTS OF COMPLIANCE WITH RULES AND REGULATIONS | | | |
| <u>Program Area 1.1: Improving Business Permits and Licensing System (BPLS) in Target Cities</u> | | | |
| Deliverable #1: Ensured compliance with BPLS Standards | Standardized diagnostic templates | Assessment Report on the current status of BPLS reforms, including the state of BPLS automation in target cities | Q2-Q3, Year 1 |
| | Assessment of the Business Registration Processes for New and Renewal | | |
| | Assessment of BPLS Automation | | |
| | Conduct of Exit Interviews | | |
| | Work Planning Workshop (per City) | Action Plan of Target Cities to Further Enhance their BPLS | Q3, Year 1 |

¹¹ Quarter refer to project quarters and not calendar quarters.

| Program Area/Deliverable | Activity | Outputs/Measureable Targets | Timetable ¹¹ |
|---|--|--|-------------------------|
| | Assist Cities in Implementing recommendations thru (1) meetings; (2) organization of capacity building activities; and (3) assistance in coordinating w/other NGAs | Report on the Implementation of Reforms per City | Q3. Year 2 |
| Deliverable 2: Improved Business One-Stop Shops (BOSS) | Standardized diagnostic templates | Assessment Report on BOSS | Q3, Year 1 |
| | Assessment of BOSS | | |
| | Conduct of a Client Satisfaction Survey | Report on the Results of the Client Satisfaction Survey | Q3, Year 1 |
| | Study to Harmonize NERBAC, BOSS & the Philippine Business Registry | Report on the recommendations of the Study and the implementation of these by the target cities and NGAs | Q3, Year 2 |
| Deliverable #3: Improved System of Business | Standardized diagnostic templates | Assessment Report on Inspection Systems of Target Cities | Q3, Year 2 |
| | Assessment of Inspection Systems | | |
| | - | | |

| Program Area/Deliverable | Activity | Outputs/Measureable Targets | Timetable ¹¹ |
|--|--|---|-------------------------|
| Inspections | Study on Risk-Based Inspection | Report on the Recommendations of the Study | Q3, Year 2 |
| | Study on the Benchmarking of Inspection Fees | Report on the Recommendations of the Study | Q3, Year 2 |
| | Conduct of a Self-Assessment workshop per City | Action Plan of Cities on the Implementation of Inspection Reforms | Q3, Year 2 |
| | Assistance in implementing Inspection Reforms | Report on the implementation of the action plan on inspection reforms | Q3, Year 2 |
| Deliverable #4: Engaged Stakeholders on BPLS Reforms | Conduct of a Workshop on BPLS Reforms | Report on the Conduct of Workshops | Q3, Year1 |
| | Organization of BPLS stakeholders | Report on the Engagement of the Private Sector in BPLS Reforms. | Q4, Year |

| Program Area/Deliverable | Activity | Outputs/Measureable Targets | Timetable ¹¹ |
|--|---|--|-------------------------|
| <u>Program Area 1.2: Strengthening National Government Support to BPLS Reforms</u> | | | |
| Deliverable #1: Enhanced Connectivity of Concerned Agencies and Targeted Cities to the Philippine Business Registry | Assessment of the Philippine Business Registry | Assessment Report on PBR Phase 1 | Q2, Year 1 |
| | Software development for web-service design or File Transfer Protocol for SEC | Software for web-service design set up at SEC | Q3, Year 1 |
| | Software development for web-service design or File Transfer Protocol for LGUs | PBR Software Connectivity to Target Cities set up | Q3, Year 1 |
| | Interconnect targeted cities to PBR | Interconnection to PBR of target cities | Q4, Year 1 |
| Deliverable #3: Enhanced Information and Support to BPLS Computerization | Development of the survey design for the BPLS Computerization & pilot test in targeted cities | Survey Design on for BPLS computerization | Q2, Year 1 |
| | Re-development of eBPLS | Report on the possible assistance for a new e-BPLS compliant with BPLS standards | Q4, Year 1 |

| Program Area/Deliverable | Activity | Outputs/Measureable Targets | Timetable ¹¹ |
|---|--|--|-------------------------|
| Deliverable #4: Updated Knowledge Products on BPLS Reforms | Updating of the BPLS Manual and other BPLS materials | BPLS Manual | Q3, Year 1 |
| | Development of a Toolkit for BPLS Computerization | Toolkit for BPLS computerization | Q3, Year 1 |
| | Conduct of a Trainers' Training on the BPLS Computerization | Report on the Workshop on the Use of the Toolkit | Q3, Year 1 |
| | Development of Toolkit on Inspection reforms | Toolkit for Setting-Up Business-Friendly Inspection Systems | Q3, Year 1 |
| | Training of Trainers (TOT) in Conducting Business-Friendly Inspections, including JIT and separate training for 5 cities | Report on the Training of Trainers on the Setting up of Business-Friendly Inspection Systems | Q3, Year 1 |
| | Enhancement of the BPLS Online Facility | Report on the Enhancement of the BPLS online facility | Q3, Year 1 |
| Deliverable #2: Strengthened Implementation of the Anti-Red Tape Act | Training for CSOs on the report Card Survey | Report on the training conducted | Q2, Year 1 |

| Program Area/Deliverable | Activity | Outputs/Measureable Targets | Timetable ¹¹ |
|--|---|--|-------------------------|
| | Conduct of Report Card Survey | Report on the results of the survey | Q4, Year 1 |
| | Assistance in Amending the Cities' Citizen's Charter pertaining to business registration processes | Amended Citizen's Charter | Q3, Year 2 |
| | Orientation on the amended Citizen's Charter | Report on the conduct of the Orientation to Stakeholders | Q3, Year 2 |
| Program Area: 1.3: Supporting the Reforms in Priority Sectors and Areas of Government | | | |
| Deliverable #1: Study on the Streamlining of the Construction Permitting Process Conducted | Study on the Construction Permitting Process | Report on the streamlining of the building and occupancy permitting processes | Q4, Year 1 |
| Deliverable #2: Assisted in Formulating Policy and Institutional Mechanisms on Alternative Dispute Resolutions for Investment Related | Study on the application of ADRs in addressing the conflicts between national and local laws and other investment-related issues. | Policy and instituting mechanisms on Alternative Dispute Resolution formulated | Q4, Year 1 |

| Program Area/Deliverable | Activity | Outputs/Measureable Targets | Timetable ¹¹ |
|--|--|---|-------------------------|
| Issues | | | |
| Deliverable 3: Conducted a Study on Special Permits on Agribusiness and Tourism | Study on special permits for setting up businesses in the agribusiness and tourism sectors | Report on the inventory of processes followed in agribusiness and tourism enterprises and recommendations on streamlining the business permitting system in these areas | Q4, Year 1 |

| Program Area/Deliverable | Activity | Outputs/Measureable Targets | Timetable |
|---|---|--|-----------|
| COMPONENT 2: IMPROVED INVESTMENT PLANNING AND PROMOTION IN PARTNER CITIES | | | |
| <u>Program Area 2.1: Strengthened Planning, Investment Programming and Budgeting in Partner Cities</u> | | | |
| Deliverable #1: Enhanced Required Planning Documents, e.g., CDP/CLUP, LDIP/AIP, Annual Budget, ELA | Drafting of a common framework for the review of planning documents and processes | Strategic vision of the cities for their economic development and investment formulated. | |
| | Actual review of plans and planning processes | | |
| | Preparation of design for the conduct of workshop among the LCE, the local council, private sector groups and civil society to review and enhance the vision of the cities on investment growth | | |
| | Conduct of workshop with the LCE, the local council, private sector groups and civil society | | |

| Program Area/Deliverable | Activity | Outputs/Measureable Targets | Timetable |
|--|--|---|------------|
| | Assistance in the conduct of necessary activities (e.g. consultations with the private sector) to enhance planning documents to strengthen their linkages (CDP, CLUP, ZO, LDIP,AIP/Budget) | List of development projects for CY 2012 reviewed and prioritized; possible funding options presented Review and necessary updating of planning documents conducted | Q4, Year 1 |
| Deliverable #2: Enhanced and Updated Local Investment Incentive Code (LIIC) and Local Revenue Code (LRC) | Inventory of incentives provided by the national government for priority sectors (agribusiness, tourism, mining, BPO-IT and housing) | Report on the inventory of investment incentives, including recommendations for local applications | Q3, Year 1 |
| | Conduct of Workshop on the Formulation/Reformulation of LIIC and LRC | Action Plan on the Reformulation of the LIIC | Q3, Year 1 |
| | Assistance in the LIIC formulation/reformulation | Reformulated LIIC | Q2, Year 2 |
| | Assistance in the conduct of consistency review between LIIC and LRC | Reformulated sections of the LRC | Q2, Year 2 |

| Program Area/Deliverable | Activity | Outputs/Measureable Targets | Timetable |
|--|---|--|------------|
| Deliverable #3: Strengthened involvement of private sector in investment programming and implementation of public sector projects | Conduct of training in managing responsibilities and accountabilities between local governments and private sector in the prioritization and joint implementation of development projects | List of possible projects and activities for joint implementation identified | Q4, Year 1 |
| | | Project concept documents (e.g., concept designs and pre-FS outline) drafted | Q4, Year 1 |
| Program 2.2: Enhanced Capacity of Pilot Cities in Investment Planning and Promotion | | | |
| Deliverable #1: Enhanced Capacity of the Local Economic and Investment Promotion Officers (LEIPOs) | Preparation of Training Needs Assessment (TNA) tool | Report on the TNA-based training for LEIPOs | Q2, Year 1 |
| | Conduct of TNA for LEIOs | | |
| | Conduct of training-workshops for LEIPOs | | |
| | Conduct of consultations and meetings to enhance and strengthen institutional linkages of the LEIOs with NGAs and private sector groups | Partnership agreements forged | Q4, Year 1 |

| Program Area/Deliverable | Activity | Outputs/Measureable Targets | Timetable |
|--|--|---|-------------------------------------|
| Deliverable #2: Assist in the Conduct of City Business Forum | Assistance in the conduct of a City Business Forum | Report on the conduct of the City Business Forum | Q4, Year 1 |
| Deliverable #3: Strengthened NERBAC Support to Key Cities | Development of information system for NERBAC | Developed NERBAC information system | Q3, Year 1 |
| | Linking of NERBAC to the city system | Recommendations in strengthening the link up of NERBAC and local systems | Q4, Year 1 |
| Program Area 2.3: Enhanced Performance of Targeted Cities towards Competitiveness | | | |
| Deliverable #1: Enhanced Performance-Based Incentive System for Target Cities | Conduct of study on how to maximize opportunities offered by incentive systems to improve city performance | <p>Recommendations in applying possible incentives to enhance performance of pilot cities</p> <p>Enhanced performance challenge fund with more stringent performance criteria, wider grant mechanism and the involvement of other agencies and groups</p> | <p>Q4, Year 1</p> <p>Q2, Year 2</p> |

| Program Area/Deliverable | Activity | Outputs/Measureable Targets | Timetable |
|---|---|--|------------|
| Deliverable #2: Enhanced Mechanisms in Promoting Innovation in Pilot Cities | Conduct of study to develop concepts and mechanisms for the promotion of innovations in support of business and investment growth | Report on the recommendations on the concepts on business incubation that may be applicable in target cities | Q4, Year 1 |
| | | Research agenda for business and investment promotion formulated | Q3, Year 2 |
| Deliverable #3: Enhanced Capacity to Measure the Economic Performance of Target Cities Towards Competitiveness | Study on the development of a system for measuring economic performance and competitiveness of cities | Recommendations of the study | Q4, Year 1 |
| | | Database for measuring the economic performance and competitiveness of targeted cities | Q3, Year 2 |
| Deliverable #4: Enhanced Positioning of industries in Target | Conduct of industry Studies | Industry studies | Q4, Year 1 |

| Program Area/Deliverable | Activity | Outputs/Measureable Targets | Timetable |
|--|--|--|--------------------------|
| Cities | | | |
| Deliverable #5: Increased Investments for development projects and SMEs in Target Cities under the DCA | Identify and select target markets for the DCA per city | Concept papers of development projects and SMEs qualified under DCA | Q4, Year 1 to Q3, Year 2 |
| COMPONENT 3: ADDRESSING CROSS CUTTING CONCERNS | | | |
| Deliverable #1: Assisted USAID in the Selection of Targeted Cities | Formulation of criteria for the pre-selection of first class cities as well as the short-listing of cities | <ul style="list-style-type: none"> • Concept paper produced • Cities pre-selected • Letters of invitation drafted and sent | Q1; Year 1 |
| | Provision of secretariat support to USAID in the briefing for pre-selected cities and in the evaluation of those that submitted their expression of interest in participating in the project | <ul style="list-style-type: none"> • Selection criteria formulated and evaluation process designed • Vital information on cities w/ expressions of interest gathered; • Field visits to selected cities organized | Q1; Year 1 |

| Program Area/Deliverable | Activity | Outputs/Measureable Targets | Timetable |
|---|---|--|-----------------------------------|
| | | <ul style="list-style-type: none"> • Targeted cities selected • Memorandum of Agreement (understanding) between USAID and targeted cities signed | |
| Deliverable # 2: Supported the Government Committees on Investment and Business Registration | Attendance to meetings of the (1) Working Group on Growth and Investment Climate under the Philippine Development Forum; (2) Oversight Committee of BPLS; (3) Sub-Working Group on Local Investment Reforms. | <ul style="list-style-type: none"> • Report on Meetings • Report on policy advice to the secretariat of the committees | Will depend on meetings organized |
| Deliverable #3: Formulated and Implemented the INVEST Project Management Plan (PMP) | Formulation of the M & E system for monitoring performance | M & E Plan | Q2, Year 1 |
| Deliverable #4: Formulated and Implemented the | Gender Action Plan formulated and integrated into the M & E systems | Gender Action Plan | Q2, Year 1 |

| Program Area/Deliverable | Activity | Outputs/Measureable Targets | Timetable |
|---------------------------------|---|---|-------------------|
| INVEST Gender Action Plan (GAP) | Gender orientation of INVEST project team/staff on gender and development and USAID gender policy | Report on the Orientation conducted | |
| | Collection and analysis of relevant sex-disaggregated data in INVEST activities | Inclusion of GAD monitoring in reports to USAID | Quarterly Reports |
| | Inclusion of Gender and Development (GAD) in INVEST activities | | |
| | Gender monitoring included in regular reports | | |

ANNEX C. Gender Issues in INVEST Project

| Project Objectives and Components | Project Location and Beneficiaries | Gender Issues Identified | How the Project is Addressing Gender Issues | Classification by Gender Responsiveness | |
|--|---|--|--|---|--|
| | | | | Project Design | Project Implementation, Monitoring & Implementation |
| Component 1: Business Registration Processes Streamlined and Transaction Costs Lowered in Target cities | | | | | |
| <u>Program area 1.1. BPLS Reforms in Three Cities Enhanced</u> | Entrepreneurs and Business registration applicants in 3 Selected project cities | <ul style="list-style-type: none"> Multiple burdens of women and the transaction cost and inconvenience of going to offices of relevant national agencies can discourage women from promptly registering their businesses Availability of information on BPLS reforms among women and men entrepreneurs and the business sector Ensure equality of opportunity of women and men to participate in | <ul style="list-style-type: none"> Services of business one-stop shops (BOSS) and business permitting and licensing services easily available to women and men Conscious inclusion of women in stakeholder consultations and efforts to introduce BPLS reforms | <ul style="list-style-type: none"> GAD was not considered in the original project design. There was no conscious effort to undertake gender analysis during the project design stage. However, at project inception in November-December 2011, a gender consultant was hired to assist the team in incorporating gender dimensions into the project. <p>The project team decided to:</p> <p>1) collect sex-</p> | GAD is deliberately incorporated in project implementation plans and monitoring & evaluation system <ul style="list-style-type: none"> On 22 December 2011, the project team reviewed the project design and Integrated gender in the logical framework, the work plan and performance monitoring & evaluation scheme |

| Project Objectives and Components | Project Location and Beneficiaries | Gender Issues Identified | How the Project is Addressing Gender Issues | Classification by Gender Responsiveness | |
|--|---|---|--|--|---|
| | | | | Project Design | Project Implementation, Monitoring & Implementation |
| | | training programs | | disaggregated data during the baseline research to aid in systematic gender analysis and ground future project interventions; 2) conduct gender orientation and training for the component managers and their respective staff. | |
| <u>Program Area 1.2.</u> Strengthened National Government Support to BPLS Reforms | Female staff of three project cities & national government agencies | Ensure equality of opportunity of women and men to participate in training programs | Project will ensure female participation in the training activities. | | |
| <u>Program area no. 3</u> Permitting Processes in Priority Economic Sectors and Areas Streamlined | | Studies recognize gender issues in construction permitting process, if any | | | |

| Project Objectives and Components | Project Location and Beneficiaries | Gender Issues Identified | How the Project is Addressing Gender Issues | Classification by Gender Responsiveness | |
|--|--|--|---|--|---|
| | | | | Project Design | Project Implementation , Monitoring & Implementation |
| | | | | | |
| <i>Component 2: Improving Investment Planning and Investment Programming and Budgeting in Three Cities</i> | | | | | |
| <u>Program Area 2.1.</u> Strengthening Planning and Budgeting in | Local staffs in three select cities who are involved in investment planning, programming and budgeting | Participation of women entrepreneurs and prospective investors in city planning processes (investment planning, programming and budgeting processes) | <ul style="list-style-type: none"> Local staff in project cities will ensure participation of female entrepreneurs in stakeholder consultations and similar activities The project will ensure women's inclusion in city planning activities. | <ul style="list-style-type: none"> GAD was not considered in the original project design. At that time, there was no conscious effort to undertake gender analysis during the project design stage. However, at project inception in November-December 2011, a gender consultant was hired to assist the team in incorporating gender dimensions into the project. The project team | GAD is deliberately incorporated in project implementation plans and monitoring & evaluation system |

| Project Objectives and Components | Project Location and Beneficiaries | Gender Issues Identified | How the Project is Addressing Gender Issues | Classification by Gender Responsiveness | |
|---|------------------------------------|---|---|--|--|
| | | | | Project Design | Project Implementation , Monitoring & Implementation |
| | | | | <p>decided to:</p> <ol style="list-style-type: none"> 1) collect sex-disaggregated data during the baseline research to aid in systematic gender analysis and ground future project interventions; 3) conduct gender orientation and training for the component managers and their respective staff. | |
| <p>Program Area 2.2. Providing Capacity Building support in Investment Planning and Promotion</p> | | <ul style="list-style-type: none"> • Male and female LEIPOs equally benefit from capacity building interventions • Men and women entrepreneurs equally access to NERBAC services • Male and female staffs of NERBAC sensitive to needs for assistance of female and male | <ul style="list-style-type: none"> • INVEST will monitor male-female participation in capacity building actions and will provide guidance to the concerned city staff. • INVEST will provide technical advice to NERBACK staff about gender issues and how to become gender responsive. | | |

| Project Objectives and Components | Project Location and Beneficiaries | Gender Issues Identified | How the Project is Addressing Gender Issues | Classification by Gender Responsiveness | |
|--|------------------------------------|---|---|---|---|
| | | | | Project Design | Project Implementation, Monitoring & Implementation |
| | | entrepreneurs | | | |
| Program Area 2.3 Managing Performance to Enhance City Competitiveness | | <ul style="list-style-type: none"> • Gender responsiveness is not yet a factor in LGU performance measurement • No obvious gender concerns at the moment. | Advocacy to policy makers and administrators of the performance incentive scheme. | | |

Annex D: Performance Indicator Reference Sheets

| Ref. Sheet No. | Indicator | Level (Intermediate Results) |
|------------------------------|---|------------------------------|
| Impact/Goal Level | | |
| 1 | Foreign direct investments (as % share in GDP) | Project Objective |
| 2 | % Increase in domestic and foreign business registration | Project Objective |
| 3 | New business registration in targeted cities increased annually by x to y% (proxy indicator for new investments) | Project Objective |
| Outcome/Purpose Level | | |
| 4 | Employment generated from businesses increased from x to y% annually | SO |
| 5 | Collection from business registration fees increased from x to y% annually (by city) | SO |
| 6 | City competitiveness ranking improved (for indicators relevant to INVEST) | SO |
| Output Level | | |
| 7 | BPLS standards (5 steps, 5 signatories, 10 days for new registration, and 5 days for renewal) complied with | 1.1 |
| 8 | BOSS processing time of national government (NG) agencies reduced from x to y days average | 1.1 |
| 9 | Inspections are predictable, transparent and fair | 1.1 |
| 10 | IT solution enabling PBR interconnection developed for targeted cities | 1.2 |
| 11 | LGUs trained to adopt BPLS automation | 1.2 |
| 12 | CSO-led Report Card on Citizen's Charter conducted | 1.2 |
| 13 | Recommended criteria for prioritizing inspections submitted to DILG and DPWH | 1.2 |
| 14 | Recommendations submitted: streamlining of construction permits system (to DILG and DPWH); alternative dispute resolution mechanisms (to DTI and DILG); streamlining of tourism and agribusiness registration processes (to DTI and DILG) | 1.3 |
| 15 | X percent of projects in LDIP funded | 2.1 |
| 16 | X% of public sector projects funded under joint LGU-private sector arrangement | 2.1 |
| 17 | Incentives provided under national policies integrated into LIIC | 2.1 |
| 18 | Partnership arrangements such as Development Innovation Ventures Fund and Global Development Alliance (GDA) initiated by cities | 2.1 |
| 19 | NERBAC info system pilot tested in Regional DTI where target cities are located | 2.2 |
| 20 | Partnership initiatives such as investors conferences and local investment outlook updates organized by LGU | 2.2 |
| 21 | Enhanced system of performance-based incentive system established | 2.3 |
| 22 | Business support facilities and technologies initiated such as techno hubs or parks and business incubation projects | 2.3 |
| 23 | System to measure economic performance and competitiveness of cities developed | 2.3 |
| 24 | Industry studies in pilot cities conducted | 2.3 |
| 25 | Public sector projects and SME activities identified for funding under DCA arrangement | 2.3 |

Performance Indicator Reference Sheet No. 1

| |
|---|
| 1.0 General Information |
| 1.1 Performance indicator (precise wording): % Increase in foreign direct investments (as % share in GDP) |
| 1.2 Project development objective or intermediate outcome being reflected: Increased domestic and foreign investments at the national level |
| 2.0 Data Description |
| 2.1 Definition/description of required data: Data from the balance of payments accounts entitled “ direct investments” that describes non-residents’ investments in the Philippines |
| 2.2 Purpose of data: as proxy for actual investments |
| 2.3 Unit of measure: in US dollars |
| 2.4 Level of detail: national |
| 2.5 Remarks on baseline and annual data: baseline to be considered is the average for the last three years; |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: M & E expert (baseline and updates) |
| 3.2 Source of data: Bangko Sentral ng Pilipins’ balance of payments accounts |
| 3.3 Method of collection: online search |
| 3.4 Frequency and timing: quarterly; annual |
| 3.5 Cost: no additional |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: national; quarter |
| 4.2 To whom data will be submitted and when: to the INVEST Project M&E Unit every quarter |
| 4.3 How data will be used: as an indicator of the degree that investments are increasing, though attribution cannot be claimed |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: na |
| 4.5 How data will be stored and retrieved: central project MIS |

Performance Indicator Reference Sheet No. 2

| |
|---|
| 1.0 General Information |
| 1.1 Performance indicator (precise wording): % Increase in domestic and foreign business registration |
| 1.2 Project development objective or intermediate outcome being reflected: Increased domestic and foreign investments |
| 2.0 Data Description |
| 2.1 Definition/description of required data: Pertains to approved business registration at the SEC and the DTI |
| 2.2 Purpose of data: as proxy for actual investments |
| 2.3 Unit of measure: number of new registrants |
| 2.4 Level of detail: national |
| 2.5 Remarks on baseline and annual data: Baseline data per city will be computed as the 2-3 percentage point increase on the average increase in the last three years |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: M & E Expert (baseline and updates) |
| 3.2 Source of data: SEC (for corporations and partnerships) and DTI (for single proprietorships) |
| 3.3 Method of collection: retrieval and review of records at the SEC and DTI |
| 3.4 Frequency and timing: annual |
| 3.5 Cost: no additional |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: national; annual (i.e. 2011-2013) |
| 4.2 To whom data will be submitted and when: to the INVEST Project M&E Unit in January of the following year |
| 4.3 How data will be used: as an indicator of the degree to which the national business environment is improving |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: first quarter of the following year |
| 4.5 How data will be stored and retrieved: w/ central project MIS |

Performance Indicator Reference Sheet No. 3

| |
|--|
| 1.0 General Information |
| 1.1 Performance indicator (precise wording): New business registration in targeted cities increased annually by x to y% (proxy indicator for new investments) (per city) |
| 1.2 Project development objective or intermediate outcome being reflected: Increased domestic and foreign investments in cities to be covered by the project |
| 2.0 Data Description |
| 2.1 Definition/description of required data: The data will pertain to approved new business registrations. This is the only goal level indicator. |
| 2.2 Purpose of data: as proxy for actual investments |
| 2.3 Unit of measure: number of new registrants |
| 2.4 Level of detail: by city; broken down by scale of investments, and to the extent feasible, by foreign vs. local and gender of ownership of business establishments |
| 2.5 Remarks on baseline and annual data: Considering the two-year life-of-project (LOP), this particular indicator is seen to be a realistic proxy for the firmer indicator “x to y % increase in new investment generated in targeted cities”. Baseline data per city will be collected as soon as possible after the list of target cities is finalized. |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: City Program Adviser (baseline and updates) |
| 3.2 Source of data: Office of the City Treasurer |
| 3.3 Method of collection: retrieval and review of LGU records |
| 3.4 Frequency and timing: semi-annual, in July and January |
| 3.5 Cost: no additional |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: by city; over time |
| 4.2 To whom data will be submitted and when: to the INVEST Project M&E Unit (copied to the BPLS Strategist) in January of the following year |
| 4.3 How data will be used: as an indicator of the degree to which the local business environment is improving |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: first quarter of the following year |
| 4.5 How data will be stored and retrieved: city level data with the City Program Adviser; cross-city data with central project MIS |

Performance Indicator Reference Sheet No. 4

| |
|--|
| 1.0 General Information |
| 1.1 Performance indicator (precise wording): Employment generated from businesses increased from x to y% annually |
| 1.2 Project development objective or intermediate outcome being reflected: Facilitated entry of new business ventures that will generate employment and increase revenues for targeted cities |
| 2.0 Data Description |
| 2.1 Definition/description of required data: number of employees or workers hired by all businesses, whether new or existing, regardless of terms of employment |
| 2.2 Purpose of data: as indicator of the labor-intensity of businesses whose registration is facilitated by the project |
| 2.3 Unit of measure: number of individual employee or worker |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: need to confirm if the data are available from the standard business registration form; otherwise, an alternative data collection method (such as a survey rider question) will be pursued by the project |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: City Program Adviser |
| 3.2 Source of data: filled out business registration forms at the Office of the City Treasurer |
| 3.3 Method of collection: retrieval and review of LGU records |
| 3.4 Frequency and timing: annual, at year-end |
| 3.5 Cost: no additional |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: broken down by full-time or part-time engagement and by gender by city; over time |
| 4.2 To whom data will be submitted and when: to the INVEST Project M&E Unit in January of the following year |
| 4.3 How data will be used: as indicator of the labor-intensity of businesses whose registration is facilitated by the project |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: first quarter of the following year |
| 4.5 How data will be stored and retrieved: city level data with Area Manager; cross-city data with central project MIS |

Performance Indicator Reference Sheet No. 5

| |
|---|
| 1.0 General Information |
| 1.1 Performance indicator (precise wording): Collection from business registration fees increased from x to y% annually (by city) |
| 1.2 Project development objective or intermediate outcome being reflected: increased employment generated due to the entry of new business ventures |
| 2.0 Data Description |
| 2.1 Definition/description of required data: actual fees paid by business registrants (both new and renewals) to the LGU |
| 2.2 Purpose of data: as indicator of the pace by which business entry is being facilitated by the project |
| 2.3 Unit of measure: peso amounts |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: City Program Advisers |
| 3.2 Source of data: Offices of the City Treasurer in target cities |
| 3.3 Method of collection: retrieval and review of LGU records |
| 3.4 Frequency and timing (for both new registrations and renewals) – (a) collection of baseline data in first quarter 2012; (b) collection of updated data in first quarter 2013 |
| 3.5 Cost: no additional |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: by city; over time |
| 4.2 To whom data will be submitted and when: INVEST Project M&E unit, copied to the BPLS Strategist |
| 4.3 How data will be used: as one indicator of the effectiveness of BPLS reforms in encouraging citizens to engage in and register a new business, to regularly renew the registration of existing businesses, and to register existing businesses that had not been registered in previous years |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: first quarter of the following year |
| 4.5 How data will be stored and retrieved: city level data with City Program Advisers; cross-city data with central project MIS |

Performance Indicator Reference Sheet No. 6

| |
|--|
| 1.0 General Information |
| 1.1 Performance indicator (precise wording): City competitiveness ranking improved (for indicators relevant to INVEST) |
| 1.2 Project development objective or intermediate outcome being reflected: Enhanced competitiveness of targeted cities to generate increased investments for local economic development |
| 2.0 Data Description |
| 2.1 Definition/description of required data: The data reflects the business sector's perception regarding a city's competitiveness based on specific criteria |
| 2.2 Purpose of data: serve as one indicator of extent to which competitiveness is being enhanced in the target cities |
| 2.3 Unit of measure: ranking in competitiveness indices |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: Considering that there are different methodologies and criteria being used under current competitiveness ranking efforts, it will be crucial to pinpoint and use only those indicators that are relevant to the INVEST Project. |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: M&E Technical Officer |
| 3.2 Source of data: Philippine Cities Competitiveness Report Project (PCCRP) and other similar surveys |
| 3.3 Method of collection: review and analysis of competitiveness indices and related data in PCCRP and other similar surveys |
| 3.4 Frequency and timing: review of baseline indices and data in Jan. 2012; review of updated indices and data annually at the start of 2013 |
| 3.5 Cost: to be determined |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis techniques: competitiveness indices can be analyzed by city, over time, across cities and against benchmark/s |
| 4.2 To whom data will be submitted and when: to the INVEST M&E Unit at the start of the year |
| 4.3 How data will be used: as indication of the extent to which competitiveness is being enhanced and thereby, to suggest opportunities for INVEST strategy refinement |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: within the first quarter of the year |
| 4.5 How data will be stored and retrieved: central project MIS |

Performance Indicator Reference Sheet No. 7

| |
|---|
| 1.0 General Information |
| 1.1 Performance indicator (precise wording): BPLS standards (5 steps, 5 signatories, 10 days for new registration, and 5 days for renewal) complied with |
| 1.2 Project development objective or intermediate outcome being reflected: Business Registration Processes Streamlined and Transaction Costs Reduced |
| 2.0 Data Description |
| 2.1 Definition/description of required data: The required data will consist of the number of steps, signatories and days for registering a new business, and for renewing the registration of an existing business. The number is expected to be reduced as a result of system improvements/reforms to be supported by INVEST in each target city. This is a “process indicator” for which process monitoring techniques will be used. |
| 2.2 Purpose of data: The data will be used to monitor progress in and constraints to improving the BPLS in a target city. The target is to “exceed” (and not simply to reach) the standards. Appropriate and prompt remedial measures will be triggered by INVEST on instances of below- target performances. |
| 2.3 Unit of measure: Number of steps, number of signatories, and average number of days |
| 2.4 Level of detail: The data will be provided at the city level. |
| 2.5 Remarks on baseline and annual data: The baseline will record the actual number of steps, signatories and average number of days for registering a new business, and for renewing the registration of an existing business on the year immediately prior to the implementation of INVEST in the city. |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: The data will be collected by the firm contracted to conduct the study, an STTA, and INVEST personnel |
| 3.2 Source of data: records at the City Business Permit and Licensing Offices of the target cities, project reports |
| 3.3 Method of collection: The number of days and number of signatories will be determined from the assessment reports of the firm contracted to conduct the study, the STTA, and INVEST personnel. Apart from this method, the average number of days to register a new business, or to renew the registration of an existing business, may be determined by comparing the date of application with the date of issuance of the permit or license. INVEST will arrange for the comparison to be made by the LGU, as part of LGU counterpart to the project. |
| 3.4 Frequency and timing: The data will be collected once a year in February (i.e., after the January renewal period for the registration of existing businesses.) |
| 3.5 Cost: additional cost to be incurred in hiring an STTA, as well as service providers under a sub-contract |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: The data collected annually will be presented in a standard format to be provided by INVEST. City level performance will be compared to the baseline, year-to-year, city-to-city, and benchmark/s from Asian city. |
| 4.2 To whom data will be submitted and when: The City Program Advisers will submit annual data to the M&E Unit within 10 work days after the last work day of January. |
| 4.3 How data will be used: The data will be used to monitor indicators and evaluate performance of each target city in terms of improving its BPLS, as against the national standards and the metric. |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: The INVEST Team will provide feedback to the LGU (through the City Program Advisers and the TWTs) within two months after data collection. |
| 4.5 How data will be stored and retrieved: The data will be stored in two locations: city level data will be stored at the City Program Advisers' offices; inter-city data will be stored at the office of the INVEST M&E Unit. |

Performance Indicator Reference Sheet No. 8

| |
|---|
| 1.0 General Information |
| 1.1 Performance indicator (precise wording): BOSS processing time of national government (NG) agencies reduced from x to y days' average |
| 1.2 Project development objective or intermediate outcome being reflected: Business Registration Processes Streamlined and Transaction Costs Reduced |
| 2.0 Data Description |
| 2.1 Definition/description of required data: Number of days for NGAs to process and issue certificates and accreditations needed for business permit applications. This is a "process indicator" for which process monitoring techniques will be used. |
| 2.2 Purpose of data: The data will be used to monitor progress in, and constraints to, improving the involved NGA's performance in issuing certificates and accreditations needed in business registration in a target city. Appropriate remedial measures will be triggered by INVEST based on below- target performances. |
| 2.3 Unit of measure: number of days |
| 2.4 Level of detail: average per BOSS; disaggregated by participating NGA and target city |
| 2.5 Remarks on baseline and annual data: The baseline will record the actual number of days for NGAs to issue certificates and accreditations required in registering new or existing businesses during the year immediately prior to the implementation of INVEST in the city. |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: The data will be collected in-house and through STTAs and by the City Program Advisers. |
| 3.2 Source of data: City Business Permit and Licensing Sections in target cities, Project reports |
| 3.3 Method of collection: Time and motion study, other process monitoring techniques |
| 3.4 Frequency and timing: Once in 2012 to establish baseline and another in 2013 to verify the adoption of the reform |
| 3.5 Cost: additional cost to be incurred in hiring an STTA |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: The data collected will be presented and analyzed thru the assessment reports required of the STTA and INVEST personnel. City level performance in 2013 will be compared with the baseline, city-to-city, and with benchmark/s from a comparator Asian city. |
| 4.2 To whom data will be submitted and when: The data will be submitted to the BPLS Strategist as soon as it is documented; that is, in January. This will, in turn, be submitted to project management, including the M&E team and the City Program Adviser. |
| 4.3 How data will be used: The data will be used to monitor indicators and evaluate performance of each target city by respective TWT in terms of improving its BPLS, as against the metric. |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: The INVEST Team will provide feedback to the LGU (through the City Program Advisers and the TWTs) within the same month of data collection |
| 4.5 How data will be stored and retrieved: city level data with City Program Advisers; cross city data with central project MIS |

Performance Indicator Reference Sheet No. 9

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| 1.0 General Information |
| 1.1 Performance indicator (precise wording): Inspections are predictable, transparent and fair |
| 1.2 Project development objective or intermediate outcome being reflected: Business Registration Processes Streamlined and Transaction Costs Reduced |
| 2.0 Data Description |
| 2.1 Definition/description of required data: qualitative description of inspection processes depending on set criteria. Inspections are predictable when scheduled in advance; transparent when the criteria/items for inspections are known to the business establishments; and fair when there is a complaint or grievance procedure and dispute resolution mechanism/s. |
| 2.2 Purpose of data: The data will be used to establish a baseline and then monitor adoption of reforms. |
| 2.3 Unit of measure: presence or absence of data indicators (notice of schedule received by applicant, checklist with criteria or items; functionality of complaint or grievance procedure) |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: Data will be descriptive, with comparison to the “guidelines on conducting business-friendly inspections” |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: Personnel of firm to be contracted to conduct the study, and city personnel |
| 3.2 Source of data: Reports and records in City Business Permit and Licensing Offices, other city inspections units, Project reports |
| 3.3 Method of collection: process mapping, observation, and review of records, as well as interviews, as part of assessment report in 2012 and monitoring reports in 2013 |
| 3.4 Frequency and timing: Once in 2012 to establish baseline and another in 2013 to verify the adoption of the reform |
| 3.5 Cost: additional cost to be incurred in hiring service providers under a sub-contract |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: The data collected will be presented and analyzed thru the Assessment Report required of the subcontracts. City level performance in 2013 will be compared to the baseline, city-to-city, and benchmark/s from comparator Asian city. |
| 4.2 To whom data will be submitted and when: The data will be submitted to the BPLS Strategist as soon as it is documented; that is, in the first quarter of 2012. This will, in turn, be submitted to project management, including the M&E team and the City Program Adviser. |
| 4.3 How data will be used: The data will be used to monitor indicators and evaluate performance of each participating city by respective TWTs in terms of improving its BPLS, as against the national standards and the metric. |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: The INVEST Team will provide feedback to the LGU (through the City Program Advisers and the TWTs) in the subsequent meeting of the TWT. |
| 4.5 How data will be stored and retrieved: central project MIS |

Performance Indicator Reference Sheet No. 10

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| 1.0 General Information |
| 1.1 Performance indicator (precise wording): IT solution enabling PBR interconnection developed for targeted cities |
| 1.2 Project development objective or intermediate outcome being reflected: Business Registration Processes Streamlined and Transaction Costs Reduced |
| 2.0 Data Description |
| 2.1 Definition/description of required data: Use of software in business registration that enables interconnection between PBR and the SEC, as well as with the target cities |
| 2.2 Purpose of data: Serve as an indicator of extent of acceptance by city of intervention |
| 2.3 Unit of measure: system design documentation |
| 2.4 Level of detail: SEC and per city |
| 2.5 Remarks on baseline and annual data: There is currently no interconnection between existing databases of SEC and PBR, and between the cities and PBR |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: A firm contracted to design the IT solution, city personnel in TWT |
| 3.2 Source of data: BPLOs, SEC, and PBR |
| 3.3 Method of collection: Process monitoring |
| 3.4 Frequency and timing: Apart from software testing phase, actual use will be monitored in 2013 registration |
| 3.5 Cost: additional cost to be incurred as part of subcontract for the designing of the IT solution for the connectivity of the PBR with the SEC and with the target cities; the city will bear the cost borne by the city for sources from city |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: The data collected will be presented and analyzed thru the periodic reports required of the subcontracts, in order to assess the readiness for the PBR for the target interconnections |
| 4.2 To whom data will be submitted and when: The data will be submitted to the BPLS Strategist and to the IT adviser when the developed IT solution is used for business registration |
| 4.3 How data will be used: The data will be used to evaluate performance against the metric |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: The INVEST Team will provide feedback to the LGU (through the City Program Advisers and the TWTs) in the subsequent meeting of the TWT. |
| 4.5 How data will be stored and retrieved: central project MIS |

Performance Indicator Reference Sheet No. 11

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| 1.0 General Information |
| 1.1 Performance indicator (precise wording): LGUs trained to adopt BPLS automation |
| 1.2 Project development objective or intermediate outcome being reflected: Business Registration Processes Streamlined and Transaction Costs Reduced |
| 2.0 Data Description |
| 2.1 Definition/description of required data: Demonstrated capacity by users as measured by results of dry runs and/or tests to be conducted to measure staff capacity to run BPLS automation system |
| 2.2 Purpose of data: To assess user ability to use the software |
| 2.3 Unit of measure: software testing result |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: BP & IT specialists |
| 3.2 Source of data: Training documentation (e.g., trainee/user assessment) |
| 3.3 Method of collection: As part of training assessment |
| 3.4 Frequency and timing: collection of baseline data immediately before each training; collection of updated data immediately after each training |
| 3.5 Cost: part of subcontract of BP & IT specialists |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: The data collected will be presented and analyzed thru the periodic reports required of the subcontracts, in order to assess LGU readiness to adopt BPLS automation |
| 4.2 To whom data will be submitted and when: The data will be submitted to the BPLS Strategist and to the IT adviser after the capacity-building. |
| 4.3 How data will be used: To assess needs of users towards operating the software and software's user friendliness. Any substantial incremental improvement in skills and knowledge will indicate improved capacity of targeted cities to run their respective automation systems. |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: The INVEST Team will provide feedback to the LGU (through the City Program Advisers and the TWTs) in the subsequent meeting of the TWT. |
| 4.5 How data will be stored and retrieved: central project MIS |

Performance Indicator Reference Sheet No. 12

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| 1.0 General Information |
| 1.1 Performance indicator (precise wording): CSO-led Report Card on Citizen's Charter conducted |
| 1.2 Project development objective or intermediate outcome being reflected: Business Registration Processes Streamlined and Transaction Costs Reduced; Strengthened National Government Support to BPLS Reforms |
| 2.0 Data Description |
| 2.1 Definition/description of required data: Administered Report Card Survey |
| 2.2 Purpose of data: To monitor and evaluate business registration frontline services of the cities |
| 2.3 Unit of measure: report card system |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: Enumerators identified through the project (working with CSOs in conducting the surveys) |
| 3.2 Source of data: perception of stakeholders regarding city frontline services |
| 3.3 Method of collection: survey |
| 3.4 Frequency and timing: Twice throughout LOP, once yearly |
| 3.5 Cost: as part of subcontract |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: The data will be presented to the TWT per city and joint analysis will be undertaken. |
| 4.2 To whom data will be submitted and when: To the City Program Advisers and project management upon finalization of Report Card Survey results |
| 4.3 How data will be used: to assess the quality of the cities' frontline services and as bases for determining the reform agenda and the nature and extent of technical assistance to be provided by the project |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: The INVEST Team will provide feedback to the LGU (through the City Program Advisers and the TWTs) in the subsequent meeting of the TWT and to the CSC as part of project output. |
| 4.5 How data will be stored and retrieved: central project MIS |

Performance Indicator Reference Sheet No. 13

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| 1.0 General Information |
| 1.1 Performance indicator (precise wording): Recommended criteria for prioritizing inspections submitted to DILG and DPWH |
| 1.2 Project development objective or intermediate outcome being reflected: Business Registration Processes Streamlined |
| 2.0 Data Description |
| 2.1 Definition/description of required data: Criteria arising out of the study to be conducted on risk-based inspection. The criteria will be submitted to DILG and DPWH |
| 2.2 Purpose of data: To serve as bases of a set of measures to increase the efficiency of inspections |
| 2.3 Unit of measure: Presence or absence of an indicator |
| 2.4 Level of detail: city-level |
| 2.5 Remarks on baseline and annual data: |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: STTA |
| 3.2 Source of data: Study |
| 3.3 Method of collection: Through analytical work |
| 3.4 Frequency and timing: Once during the life of the project (upon study completion) |
| 3.5 Cost: will be part of the STTA subcontract |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: The data will be presented and analyzed by the STTA and potentially serve as inputs for the DILG and DPWH to consider in formulating and issuing guidelines to increase the efficiency of inspections |
| 4.2 To whom data will be submitted and when: To project management and potential users, DILG and DPWH |
| 4.3 How data will be used: as bases for determining measures to increase the efficiency of the inspection system |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: After presentation and acceptance and/or validation by DILG and DPWH and stakeholders in consultation, like civic associations |
| 4.5 How data will be stored and retrieved: central project MIS |

Performance Indicator Reference Sheet No. 14

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| 1.0 General Information |
| 1.1 Performance indicator (precise wording): Recommendations submitted: streamlining of construction permits system (to DILG and DPWH); alternative dispute resolution mechanisms (to DTI and DILG); streamlining of tourism and agribusiness registration processes (to DTI and DILG) |
| 1.2 Project development objective or intermediate outcome being reflected: Next Set of Business Registration Reforms Supported |
| 2.0 Data Description |
| 2.1 Definition/description of required data: Recommendations arising from studies |
| 2.2 Purpose of data: To inform policy makers of other processes in sectors needed reform and to recommend a mechanism for conflict resolution between LGUs and clients |
| 2.3 Unit of measure: studies |
| 2.4 Level of detail: across LGUs |
| 2.5 Remarks on baseline and annual data: |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: STTAs |
| 3.2 Source of data: Studies |
| 3.3 Method of collection: Through analytical work |
| 3.4 Frequency and timing: Once in the life of the project (upon completion of studies) |
| 3.5 Cost: As part of STTA subcontracts |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: The data will be presented and analyzed by the STTAs |
| 4.2 To whom data will be submitted and when: To project management and potential users among NGAs |
| 4.3 How data will be used: Potentially for the DILG to issue as guidelines for LGUs as regards: (a) bases for determining measures to increase the efficiency of the permitting system; (b) conflict resolution mechanisms; and (c) information required by policy makers and LCEs at the national and local level, respectively, on gaps in other regulatory processes. |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: After presentation and acceptance and/or validation by NGAs involved and stakeholders in consultation, like civic associations |
| 4.5 How data will be stored and retrieved: Central project MIS |

Performance Indicator Reference Sheet No. 15

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|---|
| 1.0 General Information |
| 1.1 Performance indicator (precise wording): X percent of projects in Local Development Investment Plan (LDIP) funded |
| 1.2 Project development objective or intermediate outcome being reflected: Strengthened Planning, Investment Programming and Budgeting in Targeted Cities |
| 2.0 Data Description |
| 2.1 Definition/description of required data: Total amount allocated for projects listed under the LDIP over the total amount for all projects under current year's budget of the pilot cities. Comparison could be made between pre-project and during project scenarios, as well as between planned (the budget) and actual (the expenditure) for each year. |
| 2.2 Purpose of data: To determine the strength of linkage between planning, investment programming and budgeting at the local level. |
| 2.3 Unit of measure: total amount of projects listed in the LDIP over the total amount for all projects proposed for funding; percent of planned (budget) vs. actual (expenditure) |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: Previous data can easily be gathered from previous LDIPs, Annual Budgets and expenditure Reports of the cities. |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: City Program Advisers |
| 3.2 Source of data: City Planning and Development Office (CPDO) for LDIPs and the City Treasurer's Office and/or City Assessor's Office for Annual Budgets. |
| 3.3 Method of collection: review of existing development plans and budgets |
| 3.4 Frequency and timing: Annual. End of fiscal year. |
| 3.5 Cost: As part of City Program Advisers' Scope of Work |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: Bi-variate presentation and sorting; comparative analysis |
| 4.2 To whom data will be submitted and when: Data will be submitted to the INVEST Project Management Office for further analysis and integration; end of fiscal year. |
| 4.3 How data will be used: to assess the efficacy of the city government in translating investment plans into funded programs and projects |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: One to two months |
| 4.5 How data will be stored and retrieved: city level data with City Program Adviser; inter-city data with Project M&E database/central project MIS |

Performance Indicator Reference Sheet No. 16

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|---|
| 1.0 General Information |
| 1.1 Performance indicator (precise wording): X% of public sector projects funded under joint LGU-private sector arrangement |
| 1.2 Project development objective or intermediate outcome being reflected: Strengthened Planning, Investment Programming and Budgeting in Targeted Cities |
| 2.0 Data Description |
| 2.1 Definition/description of required data: Total number and amount of public sector projects funded under joint LGU-private sector arrangement over the overall total number and amount of all public sector projects funded from all sources; comparison between pre-project and during project scenarios. |
| 2.2 Purpose of data: To determine the strength of private sector involvement in the development process. |
| 2.3 Unit of measure: percent of funding |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: Data can easily be gathered from financial reports of the cities. |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: City Program Advisers |
| 3.2 Source of data: City Treasurer's Office |
| 3.3 Method of collection: Secondary |
| 3.4 Frequency and timing: Annual. |
| 3.5 Cost: As part of the Scope of Work of City Program Advisers |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: Univariate data presentation and analysis; periodic or historical data comparative analysis |
| 4.2 To whom data will be submitted and when: Data will be submitted to the INVEST Project Management Office for further analysis and integration; end of fiscal year. |
| 4.3 How data will be used: For monitoring. |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: One to two months |
| 4.5 How data will be stored and retrieved: city level data with City Program Adviser; inter-city data with Project M&E database/central project MIS |

Performance Indicator Reference Sheet No. 17

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| 1.0 General Information |
| 1.1 Performance indicator (precise wording): Incentives provided under national policies integrated into LIIC |
| 1.2 Project development objective or intermediate outcome being reflected: Strengthened Planning, Investment Programming and Budgeting in Targeted Cities |
| 2.0 Data Description |
| 2.1 Definition/description of required data: Specific items and provisions related to investment incentives provided under national policies are added into the LIIC of targeted cities. |
| 2.2 Purpose of data: To determine and ensure that the LIICs of pilot cities are updated, relevant and appropriate. |
| 2.3 Unit of measure: Nominal counting; qualitative and descriptive assessment |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: The previous version of LIICs shall serve as the baseline. |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: City Program Adviser from the LIIC existing at the start of the project and the updated LIIC |
| 3.2 Source of data: Local Economic and Investment Office or its equivalent |
| 3.3 Method of collection: Secondary |
| 3.4 Frequency and timing: One time, after the reformulation/updating of the LIIC of pilot cities (timing will be based on the city work plan) |
| 3.5 Cost: part of the Scope of Work of the City Program Advisers |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: Qualitative and descriptive |
| 4.2 To whom data will be submitted and when: Data will be submitted to the INVEST Project Management Office for further analysis and integration; one time – as soon as the LIICs of pilot cities are reformulated/updated |
| 4.3 How data will be used: For monitoring of project accomplishment |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: One to two months |
| 4.5 How data will be stored and retrieved: city level data with City Program Adviser; inter-city data with Project M&E database/central project MIS |

Performance Indicator Reference Sheet No. 18

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| 1.0 General Information |
| 1.1 Performance indicator (precise wording): Partnership arrangements such as Development Innovation Venture Fund and Global Development Alliance (GDA) initiated by cities |
| 1.2 Project development objective or intermediate outcome being reflected: Strengthened Planning, Investment Programming and Budgeting in Targeted Cities |
| 2.0 Data Description |
| 2.1 Definition/description of required data: Number and description of partnership arrangements initiated by the targeted cities |
| 2.2 Purpose of data: To identify partnership arrangements initiated by pilot cities during the implementation of the Project. |
| 2.3 Unit of measure: Qualitative; descriptive |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: Previous related efforts of pilot cities will likewise be assessed. |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: City Program Advisers |
| 3.2 Source of data: Local Economic and Investment Office and other concerned departments or offices at the city level |
| 3.3 Method of collection: review of extant literature and records |
| 3.4 Frequency and timing: Annual; end of year. |
| 3.5 Cost: part of the Scope of Work of City Program Advisers |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: Qualitative; descriptive |
| 4.2 To whom data will be submitted and when: Data will be submitted to the INVEST Project Management Office for further analysis and integration; annual – end of year. |
| 4.3 How data will be used: For monitoring of project accomplishment |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: one to two months |
| 4.5 How data will be stored and retrieved: city level data with City Program Adviser; inter-city data with Project M&E database/central project MIS |

Performance Indicator Reference Sheet No. 19

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|---|
| 1.0 General Information |
| 1.1 Performance indicator (precise wording): NERBAC Info system pilot-tested in regional NERBACs where target cities are located |
| 1.2 Project development objective or intermediate outcome being reflected: Capacity Building Support in Investment Planning and Promotion Provided |
| 2.0 Data Description |
| 2.1 Definition/description of required data: Development and establishment of NERBAC information system supportive of the requirements of LEIOs |
| 2.2 Purpose of data: To determine level of improvement on the linkage between NERBAC and the city systems |
| 2.3 Unit of measure: information system; quality of procedural and mechanical linkages established |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: Previous setup shall be considered as the baseline. |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: City Program Advisers |
| 3.2 Source of data: NERBAC, DTI, and LEIO |
| 3.3 Method of collection: Secondary |
| 3.4 Frequency and timing: Annual |
| 3.5 Cost: Part of the Scope of Work of the City Program Advisers |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: Qualitative and descriptive |
| 4.2 To whom data will be submitted and when: Data will be submitted to the INVEST Project Management Office for further analysis and integration; annual – end of year. |
| 4.3 How data will be used: For monitoring of project accomplishment |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: one to two months |
| 4.5 How data will be stored and retrieved: city level data with City Program Adviser; inter-city data with Project M&E database/central project MIS |

Performance Indicator Reference Sheet No. 20

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|---|
| 1.0 General Information |
| 1.1 Performance indicator (precise wording): Partnership initiatives such as investors conferences and local investment outlook updates organized by LGU |
| 1.2 Project development objective or intermediate outcome being reflected: Capacity Building Support in Investment Planning and Promotion Provided |
| 2.0 Data Description |
| 2.1 Definition/description of required data: Activities and initiatives jointly undertaken by the private sector and the city governments to promote investments in the pilot cities. |
| 2.2 Purpose of data: To determine the level of partnership and coordination between the city government and the private sector in promoting investments for the pilot cities. |
| 2.3 Unit of measure: number of collaborative undertakings |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: Previous similar efforts shall be considered as baseline. |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: City Program Advisers |
| 3.2 Source of data: LEIO and relevant or concerned departments or offices at the city government |
| 3.3 Method of collection: observation of pertinent initiatives and review of related reports |
| 3.4 Frequency and timing: Annual; end of year |
| 3.5 Cost: Part of the Scope of Work of City Program Advisers |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: Qualitative and descriptive |
| 4.2 To whom data will be submitted and when: Data will be submitted to the INVEST Project Management Office for further analysis and integration; annual – end of year. |
| 4.3 How data will be used: For monitoring of project accomplishment |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: one to two months |
| 4.5 How data will be stored and retrieved: city level data with City Program Adviser; inter-city data with Project M&E database/central project MIS |

Performance Indicator Reference Sheet No. 21

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| 1.0 General Information |
| 1.1 Performance indicator (precise wording): Enhanced system of performance-based incentive system established |
| 1.2 Project development objective or intermediate outcome being reflected: Improved Management of Performance to Enhance City Competitiveness |
| 2.0 Data Description |
| 2.1 Definition/description of required data: A written, formal description of the system recognized and adopted by the concerned national government agency or agencies. |
| 2.2 Purpose of data: To determine the improvement in the granting of performance-based incentives to cities and other local government units |
| 2.3 Unit of measure: incentive system |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: Past efforts or systems shall serve as baseline |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: City Program Advisers; Investment Strategist |
| 3.2 Source of data: DILG Central |
| 3.3 Method of collection: compilation and review of existing incentive systems |
| 3.4 Frequency and timing: One time, after the conduct of the STTA on the performance-based incentive system and after the recommendations of the STTA have been adopted. |
| 3.5 Cost: part of the Scope of Work of the City Program Advisers |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: Qualitative and descriptive |
| 4.2 To whom data will be submitted and when: Data will be submitted to the INVEST Project Management Office for further analysis and integration; one time. |
| 4.3 How data will be used: For monitoring of the project accomplishment |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: one to two months |
| 4.5 How data will be stored and retrieved: city level data with City Program Adviser; inter-city data with Project M&E database/central project MIS |

Performance Indicator Reference Sheet No. 22

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|---|
| 1.0 General Information |
| 1.1 Performance indicator (precise wording): Business support facilities and technologies initiated such as techno hubs or parks and business incubation projects |
| 1.2 Project development objective or intermediate outcome being reflected: Improved Management of Performance to Enhance City Competitiveness |
| 2.0 Data Description |
| 2.1 Definition/description of required data: facilities, technologies and incubation projects initiated, established or developed in collaboration with the private sector and other stakeholder groups specifically to enhance the cities' competitiveness |
| 2.2 Purpose of data: To measure or determine efforts in promoting innovations to enhance city competitiveness |
| 2.3 Unit of measure: individual project |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: Similar past efforts shall serve as baseline |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: City Program Advisers |
| 3.2 Source of data: City government |
| 3.3 Method of collection: review and observations on records and reports on such facilities and technologies |
| 3.4 Frequency and timing: Annual, end of year |
| 3.5 Cost: part of the Scope of Work of City Program Advisers |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: Qualitative and descriptive |
| 4.2 To whom data will be submitted and when: Data will be submitted to the INVEST Project Management Office for further analysis and integration; annual – end of year. |
| 4.3 How data will be used: For monitoring of project accomplishment |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: one to two months |
| 4.5 How data will be stored and retrieved: city level data with City Program Adviser; inter-city data with Project M&E database/central project MIS |

Performance Indicator Reference Sheet No. 23

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|---|
| 1.0 General Information |
| 1.1 Performance indicator (precise wording): System to measure economic performance and competitiveness of cities initiated |
| 1.2 Project development objective or intermediate outcome being reflected: Improved Management of Performance to Enhance City Competitiveness |
| 2.0 Data Description |
| 2.1 Definition/description of required data: A methodology in estimating product accounts of pilot cities |
| 2.2 Purpose of data: To estimate the economic performance of the pilot cities on a yearly basis |
| 2.3 Unit of measure: 1 system |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: New activity to be undertaken at the city level |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: INVEST Project M&E Unit |
| 3.2 Source of data: NSCB and NSO; result of STTA |
| 3.3 Method of collection: review of STTA result |
| 3.4 Frequency and timing: End of STTA |
| 3.5 Cost: STTA |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: Qualitative and descriptive |
| 4.2 To whom data will be submitted and when: To COP upon the completion of STTA |
| 4.3 How data will be used: as basis for gathering data to measure the economic performance of cities |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: one to two months |
| 4.5 How data will be stored and retrieved: Project M&E database/central project MIS |

Performance Indicator Reference Sheet No. 24

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| 1.0 General Information |
| 1.1 Performance indicator (precise wording): Industry studies in pilot cities conducted |
| 1.2 Project development objective or intermediate outcome being reflected: Improved Management of Performance to Enhance City Competitiveness |
| 2.0 Data Description |
| 2.1 Definition/description of required data: completed studies on the leading industries in pilot cities |
| 2.2 Purpose of data: to determine industries that should be harnessed to help pilot cities become more competitive |
| 2.3 Unit of measure: 1 study per city |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: New activity |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: INVEST Project M&E Unit |
| 3.2 Source of data: results of the STTA |
| 3.3 Method of collection: review of STTA results |
| 3.4 Frequency and timing: One time; end of STTA |
| 3.5 Cost: STTA |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: Qualitative and descriptive |
| 4.2 To whom data will be submitted and when: to COP upon the completion of the STTA |
| 4.3 How data will be used: as basis for development planning and investment promotion towards city competitiveness |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: one to two months |
| 4.5 How data will be stored and retrieved: Project M&E database/central project MIS |

Performance Indicator Reference Sheet No. 25

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| 1.0 General Information |
| 1.1 Performance indicator (precise wording): Public sector projects and SME activities identified for funding under DCA arrangement |
| 1.2 Project development objective or intermediate outcome being reflected: Improved Management of Performance to Enhance City Competitiveness |
| 2.0 Data Description |
| 2.1 Definition/description of required data: Projects and activities qualified for funding under DCA, as agreed between funding institution, concerned proponents and USAID |
| 2.2 Purpose of data: to increase investments for the development of sector or industry in the pilot cities |
| 2.3 Unit of measure: number and amount of investment to public sector projects and SMEs |
| 2.4 Level of detail: per city |
| 2.5 Remarks on baseline and annual data: New activity |
| 3.0 Data Collection |
| 3.1 Responsibility for collection: INVEST Project M&E Unit |
| 3.2 Source of data: local government records; reports of City Program Advisers |
| 3.3 Method of collection: review of reports and monitoring of actual related activities |
| 3.4 Frequency and timing: Monthly starting August 2012 |
| 3.5 Cost: part of the Scope of Work of the City Program Advisers |
| 4.0 Data Storage and Usage |
| 4.1 Presentation and analysis of data: Qualitative and descriptive |
| 4.2 To whom data will be submitted and when: to COP; monthly |
| 4.3 How data will be used: as basis for development planning and investment promotion towards city competitiveness |
| 4.4 Schedule or deadline for feedback (from the recipient of data) to the data source: one month |
| 4.5 How data will be stored and retrieved: Project M&E database/central project MIS |