

P.D. - ATN - 321 27  
197-49402

REPORT OF EVALUATION PLAN

TECHNICAL ASSISTANCE

FOR

USAID MANILA

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September 17, 1982

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## Contents of Report

- I. Introduction
- II. Executive Summary
- III. Basic Report: Draft of the USAID Manila  
1983/84 Evaluation Plan

### Report Annexes

- A. Scope of Work
- B. Notes on Methodology

I. INTRODUCTION

The purpose of the technical assistance reported here was to assist USAID Manila in the preparation of its FY 83/84 Evaluation Plan. Therefore, a draft of that plan constitutes the substance of this report.

Plan development was based on the innovative work previously performed by the Mission in developing its FY 82/83 Evaluation Plan. It reflects the ideas and insights of many persons in the Mission, in particular the Evaluation Officer and other members of the Mission Evaluation Working Group.

Three priorities guided the work. First, to link the Evaluation Plan more closely to Mission strategy as articulated in its CDSS and reflected in both Development Assistance and Economic Support Fund Projects. Second, to state key hypotheses and assumptions underlying that strategy in testable form and to specify indicative evaluation questions to facilitate learning. Third, to address issues of evaluation utilization, especially the link between learning and future strategy and program development.

The Plan is designed to be not only a statement of Mission evaluation strategy but also a reference guide to assist the Evaluation Working Group and Mission Evaluation Officer to implement meaningful program assessment at the strategic level. It is intended as a management tool, not a manual on research methodology. Emphasis is placed on the importance of incorporating effective information collection and use in the management processes of implementing agencies. Thus methodological issues will be worked out jointly between USAID and Philippine counterparts in each project and institutional context. This plan contributes to the agenda for that collaborative effort.

Part II of this report contains an Executive Summary of the Evaluation Plan draft. Part III consists of the Plan itself. Annexes to the report

contain the scope of work and Notes on Methodology for the technical assistance.

The work reported here was performed in Manila between August 23 and September 17, 1982.

## II. Executive Summary

USAID working closely with the GOP, has developed an assistance strategy for the Philippines based on continuing analysis of low income rural subgroups in Philippine Society. Based on this analysis, the Mission has determined that expanding opportunities for productive employment, while simultaneously reducing growth in the labor force, is the crux of the development challenge in the Philippines.

The Mission's CDSS argues that more productive employment is a function of jobs, productivity, and the rate of growth of the labor force. Mission program strategy encompasses four independent elements designed to address these factors. These include rainfed resources development, rural private enterprise development, local resources management, and fertility and infant mortality reduction.

### Evaluation Agenda

The evolution of a comprehensive Mission program strategy calls for an evaluation plan which also addresses broader strategy objectives. This requires using evaluation to 1) test CDSS assumptions, 2) assess broad program impact on beneficiaries and institutions, and 3) provide feedback to USAID and the GOP to support continued strategic planning and the development of supportive programs.

Underlying the four CDSS program elements are certain core hypotheses which link each element to Mission strategic objectives. These hypotheses are as follows:

- Rainfed Resources Development: Strategies can be found to assist upland farmers and coastal fishermen to make productive, yet sustained use of rainfed and coastal resources that will increase productive employment among these groups.
- Rural Private Enterprise Development: Growth in off-farm employment is a necessary component in the process of creating new productive employment opportunities in targeted rural areas.
- Local Resources Management: Increased local government authority and capacity to make decisions regarding development priorities and resource allocation according to local conditions will result in expanded productive employment opportunities for the rural poor.
- Fertility/Infant Mortality Reduction: Increasing the opportunity for the rural poor to find productive employment is dependent on a reduction in the rate of growth of the labor force.

Underlying each of these hypotheses is a set of testable program assumptions which are specified in the Evaluation Plan. Additional assumptions relate to linkages between program elements and to broad development objectives such as beneficiary participation, sustainability, and a supportive macropolicy environment.

F 33  
4

14

### Information Needs

Collecting data to test the program assumptions underlying the core hypotheses will be based on a set of baseline information categories and indicative evaluation questions which are detailed in the Plan. Managing use of these items will be the responsibility of the Mission Evaluation Officer working with the Evaluation Working Group. Sources of information will include existing secondary data, project design and evaluation studies, regular project documentation, and special analyses performed or contracted by implementing agencies or USAID.

Since building the capacity of Philippine agencies to collect and utilize information effectively is a major Mission objective, regular project documentation will be the key element in operationalizing the Evaluation Plan. This focus is consistent with the principle that data collection and analysis should be closely tied to the information needs of policy and program decision makers.

### Evaluation Utilization

The focal point of evaluation may be on process, impact, or strategy. Process evaluation deals mainly with organizational and administrative issues, on such questions as beneficiary involvement, coordination, incentives, technical performance, and management systems. A major concern is whether a project system has developed mechanisms for systematically addressing its own planning and management problems. Impact evaluation examines the effect that an activity is having on beneficiaries to compare the evidence against the planned result. The importance of this information is two-fold: it provides an assessment of the effectiveness with which resources have been employed and it provides feedback to guide future programming. Strategic evaluation is the long-term process of assessing and refining Mission development priorities and approaches. For USAID, it will be a product of effective Mission information management along the lines suggested in the Evaluation Plan.

### Information Management

Improved utilization of evaluative information is a major concern of the Evaluation Plan. One step in that direction is the restatement of core hypotheses and underlying assumptions into more testable form. A second step is the specification of baseline information categories and indicative evaluation questions for each CDSS program element. A third step must be a stronger role for the Mission's Evaluation Officer and Evaluation Working Group in coordinating use of the Plan.

III. DRAFT OF THE USAID MANILA  
1983/84 EVALUATION PLAN

DRAFT

FY 83/84 EVALUATION PLAN  
FOR USAID/PHILIPPINES

Table of Contents

INTRODUCTION

EVALUATION AGENDA

Purpose and Scope

Core Hypotheses

Information Needs

Data Sources

UTILIZATION OF EVALUATION PLAN

Mission Policy Context

Evaluation Planning

Information Management

ANNEXES (to be completed by Mission)

A - 83/84 Evaluation Schedule

B - Review of Recent Evaluations

FY 83/84 EVALUATION PLAN  
FOR USAID/PHILIPPINES

INTRODUCTION

USAID, working with the GOP, has developed an assistance strategy for the Philippines based on continuing analysis of major low income rural subgroups in Philippine society. While this strategy is continually evolving, based in part on evaluative information, it presently focuses on three poverty groups: landless agricultural workers, small farmers in rainfed (especially upland) areas, and traditional fishermen. Each of these groups suffers from the inability to find productive full time employment to support a satisfactory quality of life. This underemployment stems, in turn, from rising population pressures on an eroding base of productive land and fishing resources. Moreover, the country's capital intensive and urban industrial base is unable to productively absorb excess rural labor. Therefore, expanding opportunities for productive employment, while simultaneously reducing growth in the labor force, is the crux of the development challenge in the Philippines.

As reflected in the CDSS, the above assistance strategy recognizes that achieving more productive employment depends on creating more jobs, increasing productivity, and lowering the rate of growth of the labor force. The strategy encompasses four interdependent program elements that are designed to address each of these factors to achieve maximum impact on employment in both the short- and long-run. Thus the strategy entails assistance efforts (1) to increase agricultural productivity in rainfed and coastal areas through improved natural resource management and diversified technologies adapted to local needs, (2) to develop small and medium-scale enterprises in rural

areas to capitalize upon available labor and rising local demand; (3) to improve local government capacities to mobilize and manage private and public resources in ways that promote more productive employment in their locality; and (4) to reduce fertility and infant mortality through an extensive family planning program and innovative basic health care delivery and finance.

The overall USAID assistance strategy as summarized above is portrayed in Figure 1. In order to maximize the impact of the CDSS strategy, much of the program is also geographically targeted within certain regions where there are concentrations of rural poor representative of the target poverty groups.

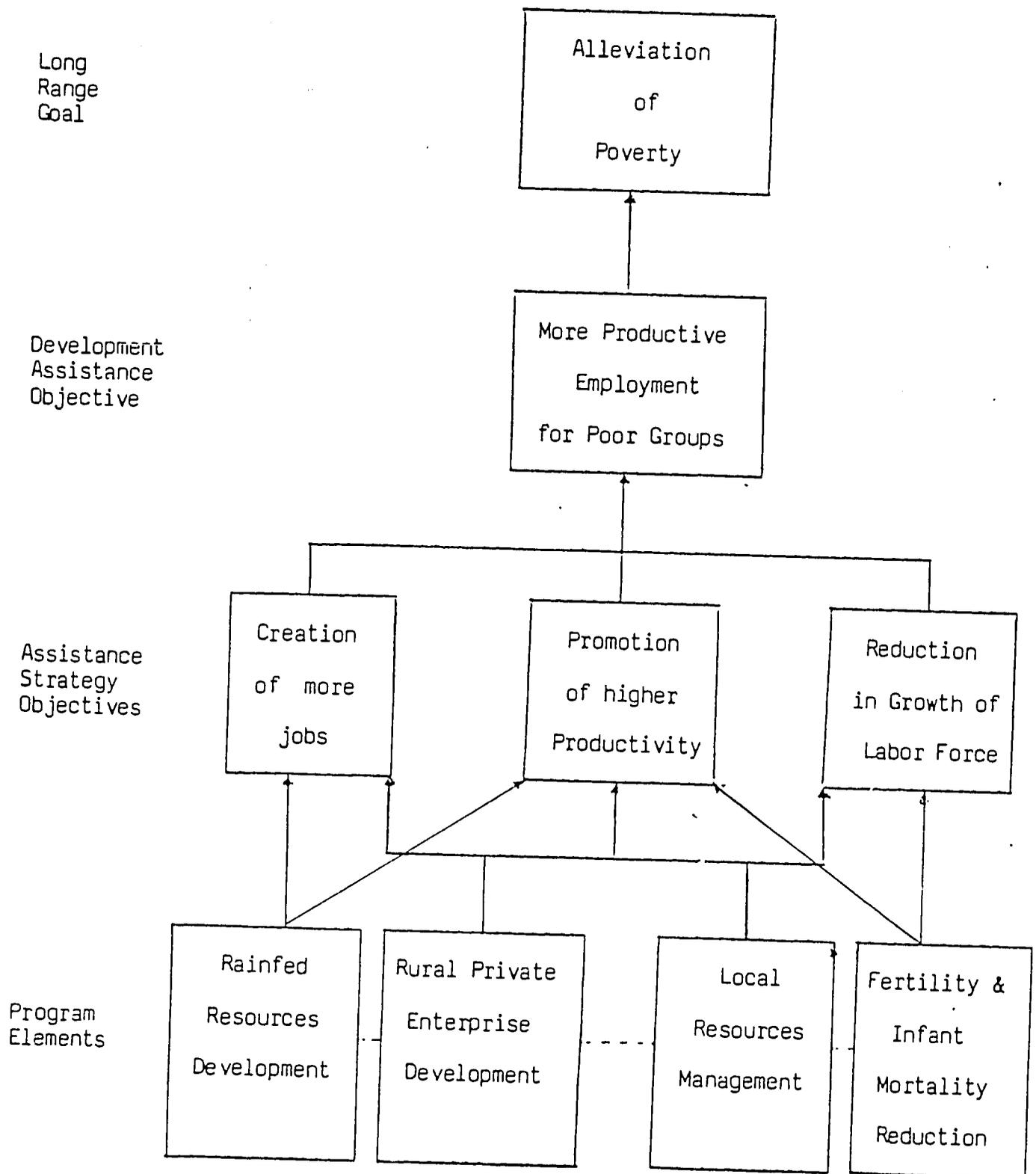
#### EVALUATION AGENDA

##### Purpose and Scope

The evolution of a comprehensive Mission program strategy which transcends the goals and purposes of individual projects calls for an evaluation plan which also addresses broader strategic objectives. Therefore, beginning with its FY 82/83 Evaluation Plan, USAID has worked toward developing an evaluation framework which supports comprehensive GOP and Mission strategic planning and policy review. This requires using evaluative information to 1) test CDSS assumptions, 2) assess broad program impact on beneficiaries and institutions, and 3) provide feedback to USAID and the GOP to support continued strategic planning and the development of supportive programs. The purpose of a Mission evaluation agenda, then, is to systematically address a set of common concerns through careful management of project-related evaluation and research activities, monitoring of related GOP and other programs, and review of available secondary data from various in-country sources. While keyed directly to the Mission CDSS, this evaluation

FIGURE 1

USAID ASSISTANCE STRATEGY



plan incorporates projects and programs not directly included in the CDSS strategy such as ESF activities, PVO programs, and on-going projects which pre-date the current strategy formulation. All these programs address basic human needs and are generally consistent with CDSS objectives. Each has value as a learning opportunity relevant to Mission strategy development.

Several emerging ESF projects, such as the Municipal Development Fund and Livelihood Development Fund, relate conceptually or organizationally to CDSS program elements. As USAID's assistance strategy continues to evolve, it is expected that explicit account will be taken of the resources and opportunities offered by ESF. Likewise, Mission support to PVOs, while recognizing the programmatic independence of these organizations, will be managed in a fashion that is cognizant of CDSS objectives.

This FY 83/84 Evaluation Plan represents a refinement of the conceptual approach offered in the previous plan. It attempts to carry Mission thinking forward in two particular ways: first, to strengthen the integral relationship between CDSS concepts and their underlying development hypotheses; second, to move toward operationalizing the research framework to facilitate addressing basic program assumptions in an ongoing, systematic manner.

#### Core Hypotheses

Underlying the four program elements noted above are certain core hypotheses which link each of those elements to Mission assistance strategy objectives (see Figure 1). These first order hypotheses and critical program assumptions on which they hinge may be stated as follows:

1. Rainfed Resources Development: Strategies can be found to assist upland farmers and coastal fishermen to make productive, yet sustained use of rainfed and coastal resources that will increase productive employment among these groups.

Program Assumptions:

- a) More productive employment in rainfed areas will ensure an improved stream of income to poor households and thus enable them to satisfy their basic needs.
- b) Establishment of community-managed systems for adapting and disseminating environmentally-sound rainfed resource technologies and practices will lead to more productive and sustainable resource utilization by small scale farmers and coastal fishermen.
- c) A national program of natural resource management which coordinates public and private sector action at local, regional, and national levels can reverse the deteriorating trend in the productivity of rainfed and coastal resources.

2. Rural Private Enterprise Development: Growth in off-farm employment is a necessary component in the process of creating new productive employment opportunities in targeted rural areas.

Program Assumptions:

- a) Long-run employment gains in rural private enterprise are dependent on the rate and pattern of growth and profitability in such industries.
- b) Entrepreneurs, responding to a favorable investment climate, will make the critical investments leading to jobs which can absorb the rural labor force.

c) Improved coordination among the various entities (private or public) responsible for technical, management, marketing, and financial assistance to rural enterprise, including local business associations, credit sources, and development foundations is necessary for improving the local investment climate.

3. Local Resources Management: Increased local government authority (and capacity to make decisions regarding development priorities and resource allocation according to local conditions) will result in expanded productive employment opportunities for the rural poor.

Program Assumptions:

- a) Local mobilization, management, and allocation of resources will result in local development activities which are more responsive to the needs of targeted poverty groups.
- b) Improved provincial strategic planning performance (backed by appropriate research capability) will facilitate municipal level, beneficiary managed development activities.
- c) National development priorities and programs will support local development programming discretion.

4. Fertility/Infant Mortality Reduction: Increasing the opportunity for the rural poor to find productive employment is dependent on a reduction in the rate of growth of the labor force.

Program Assumptions:

- a) Delivery of services to reduce fertility and infant mortality will lead to a reduction in the rate of growth of the labor force.

- b) Fertility and mortality reducing services can be combined in a manner that is more cost effective than existing separate service delivery systems.
- c) Community control of health services, including cost absorption, will lead to more effective use of these services.

5. Additional Assumptions: The four core hypotheses above are also supported by several assumptions which relate to more than one program element.

Two of these assumptions link differing program elements:

- a) Income gains from improved rainfed resource management will translate into increasing demand for goods and services from both public and private agencies.
- b) The benefits of development interventions will lead to reduced fertility.

Three assumptions are common to most all development initiatives but require testing in each situation:

- c) The national and local political and economic policy context will support achievement of strategy objectives in the four program areas.
- d) Targeted beneficiaries will have access to and will respond appropriately to program initiatives.
- e) The benefits of program initiatives for targeted beneficiaries can be replicated and/or sustained as appropriate after the phase out of external assistance.

### Information Needs

Achieving the strategic objectives articulated in the CDSS is a function of specific project activities and dependent on their outcome. Likewise, evaluating achievement of strategic goals is dependent on information gained from specific sets of activity. Linking the Mission's evaluation agenda to the CDSS, however, requires that information be gathered to test strategic program assumptions as well as individual project assumptions.

As a practical matter, this Evaluation Plan is based on testing the four CDSS related core hypotheses by broadly observing long-run program outcomes. This observation should be based on a combination of two interrelated elements.

1. Data to test the 17 program assumptions which underlie the core hypotheses, and
2. Normal project-specific monitoring and evaluation data.

The focus of this Evaluation Plan is on the first element, recognizing, however, that data related to the program assumptions will be collected, for the most part, in the course of regular project monitoring and evaluation. In some cases, these sources may not be sufficient, requiring the undertaking of special studies keyed to specific aspects of the CDSS strategy.

This section of the plan addresses baseline data needs and key questions to be incorporated into the data collection activities of both USAID and implementing agencies. The information-gathering strategy will be guided by the following general criteria:

- use of simple evaluation designs which focus on collection of the minimum information needed to make critical assessments;
- maximum utilization of existing research and evaluation data;

- reliance on national and local Philippine institutions and agencies for meeting most special research needs;
- sufficient checks on the accuracy of information products;
- a focus on information needed by operating personnel to monitor and correct their own planning and management decisions and outcomes; and
- careful aggregation and utilization of project level evaluation data to address strategic program issues.

Listed at the end of the Plan are baseline data categories, indicative questions, and existing project sources for each of the assumptions above.

Table 1 covers the assumptions related to the four key CDSS program elements and the two linkage assumptions. Table 2 addresses the three broader strategy assumptions. While the information needs outlined in these tables may coincide with some project specific evaluation agendas, the focus is on what is needed to test the assumptions underlying the CDSS. Thus this plan supplements but does not replace individual project evaluation plans. Due to past project related design and evaluation studies, much of the information, especially baseline data, is already available. The purpose of the tables is primarily to be a reference checklist to be used as specific research and evaluation agendas are developed.

#### Data Sources

Collecting the baseline data and answering the questions detailed in Tables 1 and 2 will depend on four basic sources.

- Existing secondary data;
- Regular project documentation;
- Project design and evaluation studies; and
- Special analyses performed or contracted by implementing agencies or USAID.

Existing data primarily include studies and regular reports produced by Philippine government agencies as well as various universities, research institutions, donor agencies, and consulting firms. Such data are particularly relevant to baseline information needs. Differing terms of reference and timing may limit the value of some of these data for directly addressing CDSS related evaluation questions. However, USAID places high priority in improving coordination with the GOP in both strategy development and evaluation. This process should lead to a greater sharing of research agendas in the future and thus an increasing relevance of local research activity.

Project design and evaluation studies performed by USAID and counterpart agencies provide a direct opportunity to address both baseline and appraisal information needs. The intent of this plan is to strengthen the link between project related studies and the information needs detailed in Tables 1 and 2. Attention to these needs will be incorporated in all regular Mission design and evaluation studies. More importantly, building the capacity of Philippine agencies to collect and utilize information effectively is a major Mission objective.

Therefore, project-related documentation will be the key element in operationalizing this evaluation plan. This is particularly true for the process objectives which are part of each CDSS program element. A system's capacity to monitor its own results is critical to institutional development. Such monitoring is documented by regular sequential reports and analyses, records of decisions, and the evolution of strategies and plans. As appropriate, many of the evaluation questions in this plan will be incorporated into routine project monitoring systems.

Special analyses will be performed when necessary to fill information gaps. Such analysis often allow for greater methodological rigor than routine monitoring and evaluation and are, therefore, particularly valuable for gathering baseline data and measuring impact. Examples of analytical studies which have recently been performed in support of the CDSS are listed in Figure 2.

More specific comments on data sources for each CDSS program element follow:

1. Rainfed Resources Development

Poverty group analysis is at the core of baseline data needs in this sector. A set of agricultural, economic and poverty household profiles has been completed for the three core CDSS regions where project activity is underway. Sector overviews, policy analyses, and assessments of the economy, other donor activities, and energy issues have also been prepared.

This information is, in large part, the basis for Mission selection of landless agricultural workers, small-scale upland farmers, and traditional fishermen as the most appropriate targets for U.S. assistance.

An important secondary information source is the socio-economic research and evaluation being conducted at the University of the Philippines at Los Banos under the program on Environmental Science and Management. Other institutions such as De La Salle University and Ateneo's Institute of Philippine Culture are collaborating in efforts to document experience in several upland pilot projects around the country.

*What kind of info do these profiles provide on living conditions, employment*

*may not contain employment*

*to check on how poor people are doing what is being done*

*no source?*

*→*

## Figure 2

LIST OF ANALYSES AND REPORTS  
IN SUPPORT OF PHILIPPINES CDSS

- An Assessment of the Macroeconomic Policy Framework for Employment Generation in the Philippines, Dr. Richard Hooley, April 1981.
- Philippines Balance of Payments and Domestic Price Stabilization, OD/PE/USAID, January 1982.
- Review of Macro-Economic Policy Implications for CDSS, OD/PE/USAID, January 1982.
- Poverty Profile of Western Visayas (Region VI), OD/P/USAID, January 1981.
- Economic Profile of Western Visayas (Draft), OD/PE/USAID, January 1982.
- Eastern Visayas Agricultural Profile and Assessment, ORAD/USAID, March 1981.
- Macro-Economic Profile of Eastern Visayas, OD/PE/USAID, April 1981.
- Preliminary Poverty Profile of Eastern Visayas (Draft), OD/P/USAID, October 1981.
- Agricultural Profile and Assessment - Bicol V, OD/P/USAID, November 1981.
- Econ. Profile and Causes of Poverty in Bicol (Draft), OD/PE/USAID, October 1981.
- Household Poverty Profile Bicol Region (Draft), OD/P/USAID, November 1981.
- Summary of Proceedings - USAID-Sponsored Upland Hilly Development Workshop, ORAD/USAID, November 1980.
- Summary of Proceedings - USAID - Sponsored Seminar Coastal Zone Management, ORAD/USAID, November 1981.
- Analysis of Agricultural Policies in the Philippines (Draft), Dr. Cristina David, January 1982.
- Upland Development for Energy Production - 3 Reports on Regions V, VI and VIII, MADECOR, September 1981.
- Assessment of Philippine Energy Problems and Impacts on Development (Draft), OD/E/USAID, January 1982.
- Infant Mortality in the Philippines: Causes and Correlates, Dr. Sheila West, 1981.
- Outline of a Health, Population and Nutrition Strategy for USAID in the Philippines, PHN/USAID, April 1981.
- An Impact Assessment: Population Planning II, Drs. A. Herrin and T. Bullum, Apr. '81
- Other Donor Assistance to the Philippines, OD/P/USAID, January 1982.

Assessing broad socio-economic impacts of projects in the rainfed resources area will require continued monitoring of secondary data. However, this will have to be supplemented by project monitoring and evaluation data which answer questions about local and institutional dynamics. Particular attention is needed on processes of community management, private sector involvement, and agency coordination.

Assessing these factors will depend on process documentation by project staff and an evaluation focus on interviews with local officials, beneficiaries and other knowledgeable informants such as journalists, teachers and merchants.

2. Rural Enterprise Development

The Mission's current research agenda includes studies of consumption and expenditure patterns in order to determine areas of potential demand for local private sector production. These studies and other design research for the Small/Medium Enterprise Development Project, provide the major baseline information for this program element. Important secondary information sources are the evaluative data and analyses of the World Bank, Asian Development Bank, and NEDA's Philippine Institute of Development Studies, all of which are actively interested in rural enterprise development. National census statistics also include relevant data. Inventories of regional enterprise and support services, however, may require additional supplemental survey work.

The key source for analysing changes in the investment climate is by those who have made or are considering investments in target areas. Since it is the perceptions of these entrepreneurs and investors which

*the mission should have done this & the data should be collected to make the*

*again, what are the questions being asked in these studies how do we know the data they're collecting is relevant to what we/mission wants*

will guide their actions, those perceptions are a critical variable to be measured by structured in-depth interviews with a representation group repeated over time. This process should be incorporated into the agendas of both project self-assessment and external evaluation for the projects in this program sector.

Since institutional development is a major objective of the Mission's rural enterprise development strategy, building the capacity of regional, provincial and local agencies to monitor the policy environment, the status of support services, employment trends, and other relevant business data will receive priority attention. *how, by whom*

### 3. Local Resources Management

The feasibility analysis for the design of the Local Resources Management Project and the evaluation system developed for the project will provide the major evaluative information for this program area. The evaluation strategy builds on the work and experience in local government development of such institutions as the Asian Institute of Management, Development Academy of the Philippines and the Local Government Center at the University of the Philippines. In addition relevant data is available from such government agencies as NEDA and the Ministries of Finance, Local Government and Human Settlements. *what?*

The research results of the current ESIA/WID Project related to indicators and methodologies for measuring impact of several different kinds of projects may provide useful information for helping local governments assess the impact of their programs. *judge*

The local government focus of this program sector should be reflected in the ways information is collected and used. The technical

assistance and research resources being provided by USAID are intended to support institutional learning within NEDA, other participating agencies, and local governments. To facilitate self-assessment, the LRM project calls for periodic workshops at regional and national levels involving implementing agencies and supporting resource institutions. These workshops will provide a forum for carrying out regular assessments of progress, identifying problems, commissioning special studies, planning training activities, identifying needed action on policy issues, coordinating activities of the various resource institutions and government agencies, and assigning responsibilities for follow-up actions. Data for the workshops will come from process documentation reports, special policy and management studies performed by resource institutions, and USAID and GOP evaluation reports.

The ESF Municipal Development Fund and Regional Development Fund projects provide an opportunity to explore certain local resource management issues, particularly provincial and municipal government planning and management capabilities. Involving staff from MDF and RDF implementing agencies in the LRM project workshops would be a way to facilitate joint development of indicators and strategies for assessing both institutional and socio-economic impacts of municipal development activities. In addition, collection of baseline data in Region III would provide a basis of comparison with LRM target areas and an opportunity to measure comparative impacts of the different approaches.

#### 4. Fertility/Infant Mortality Reduction

There are a number of data sources which provide empirical information for this sector. These include census and birth registration data,

*interview schedule*

repeated rounds of the National Demographic Survey, the Area Fertility Survey, National Family Planning and Community Outreach Surveys, and service statistics for family planning; the National Health Survey, National Nutrition Survey, and child weighing program data.

Further evaluation activity related to assumptions in this sector is incorporated in the Population Planning III and Primary Health Care Financing projects. Population Planning III will support service provider surveys of outreach and clinic personnel and local government officials in order to assess field level programs. Measures of project impact, including contraceptive prevalence rates and fertility rates, will be derived from national level demographic and fertility surveys also to be supported by the project.

In addition, a review of the population impact of the overall Mission portfolio is currently underway. It is hoped that the government will adopt and continue a similar process of evaluating the demographic consequences of its plans, programs, and projects. NEDA has indicated considerable interest in this activity.

Under the Primary Health Care Financing Project, a local institution will be contacted to conduct a survey of household and community demand for health services, including the level of household expenditures for health services, health care seeking behavior, and community health and socio-economic status. A related study will examine actual health expenditure patterns by source of service.

The findings from these research activities will need to be supplemented by regular project monitoring and evaluation data which permit assessment of the impact of PHC interventions and related

7  
financing arrangements. Project managers and policymakers will have major responsibility for collecting these data. The PHC Financing Project Paper will elaborate the project's information strategy.

Interviews with health workers, beneficiaries, and other local citizens will be required to obtain information on the dynamics of community control, support, and use of health and family planning services. Project records will document the process of delivery of these services. While this information is of great interest to USAID, its importance lies mainly in assisting implementing agencies to take timely and corrective management action when necessary.

5. Linkage and General Strategy Assumptions.

Data to test strategy linkages will come largely through the information gathering process in the relevant sectors. However, certain special analyses will be necessary.

Information on how the poor utilize income additions requires sensitivity to local cultural contexts. It is best gathered by unobtrusive observation and input from knowledgeable local informants. Assessments of the fertility impact of various project interventions can be largely based on location-specific contraceptive prevalence data collected by Philippine agencies supplemented by appropriate project evaluation questions dealing with fertility effects.

Broad questions of the policy environment, beneficiary response, and sustainability are planning issues as well as important subjects for evaluation. They should be a major concern of both GOP and USAID project designers but the underlying assumptions must be tested continually by project implementors and evaluators. As basic management

issues, they are best assessed by project staff themselves. Evaluators should check that project managers have both anticipated and addressed these issues as part of each project's self assessment process.

Certain macro-policy issues require broader study and have been the subject of major USAID analysis. However, in this area as in others, the Mission hopes to build Philippine institutional interest in and capacity to analyze and carry out needed policy reform.

#### UTILIZATION OF EVALUATION PLAN

##### Mission Policy Context

How to use evaluative data is as important as how to collect it. Mission evaluation policy stresses the importance of using evaluation as a means to improve development of policies, strategies, and programs as well as implementing the Mission's project portfolio. In general, evaluations focus on obtaining the information needed to make important decisions. Each evaluation should have a clearly stated purpose which describes the specific reasons for conducting the proposed evaluation and its contribution to the overall Mission effort.

Consistent with this focus, responsibility for evaluation should be as close as possible to the user(s) of evaluation findings. Within the Mission, evaluations generally are the responsibility of project officers under the supervision of their Office Chiefs. In cases where evaluations cover several projects or even complete programs, the responsibility may be assigned to the Program Office or Director's Office. In any case, the design and implementation of evaluations should reflect the concerns of those individuals who will have to make decisions based on the findings.

This principle further implies that Philippine counterparts should play a major role in evaluation including scheduling, designing, collecting and analyzing data, developing conclusions and recommendations, assessing findings, and identifying actions. This is particularly true for those Filipino agencies implementing USAID-assisted activities. However, maximum use should also be made of Philippine support skills and resources such as universities, research organizations, and consulting firms.

#### Evaluation Planning

Planning is a critical aspect of an evaluation strategy because it identifies the priority questions which need to be evaluated and it establishes a framework for addressing those questions. Of greatest interest for the purposes of this plan are the questions which transcend individual project monitoring requirements and relate to broader Mission concerns.

The Mission evaluation planning process is closely interrelated with overall Mission strategy development including both DA and ESF components. Development of the Mission strategy and efforts to implement it are based on a number of critical assumptions which are the focus of this Evaluation Plan. Evaluations and other studies will be designed and scheduled to provide the information needed to test these assumptions. This information, in turn, will serve to help the Mission continually refine its strategy and to identify appropriate course of action for strategy implementation.

In planning evaluations or other special studies related to this plan, the Mission recognizes that different types of decisions require different kinds of evaluative information. These decisions and related information needs are often linked to the life cycle of a project or program intervention. For planning purposes, varying information needs may call for different indicators and data collection methodologies.

In broad terms, there are three interrelated focal points for evaluation: process, impact, and strategy. In general, these relate to logical framework linkages as follows:

<u>Evaluation</u>	<u>Linkage</u>
process	inputs to outputs
impact	outputs to purpose
strategy	purpose to goal

The picture is complicated somewhat when one purpose of a project is to have an impact on the mode of operation by which an agency works. In such cases, project process must be distinguished from target agency process. Measuring the latter becomes a question of impact as well as process. Despite the overlaps, however, it is important in evaluation planning to identify the purpose of the assessment at issue. In preparing project evaluation plans, consideration should be given to when in the project life each evaluation focus will be most appropriate. In projects oriented to institutional development, for example, evaluation may focus on process factors for several years. Since, however, the purpose of institutional change is presumably better performance in providing of goods and/or services to a target constituency, impact upon that constituency must eventually be assessed. When there is a failure to distinguish between process and impact in evaluation planning, pressure for quick results as measured by traditional methods often leads to compromises in the original project strategy which may override institutional objectives.

Certain features of each type of evaluation are as follows:

1. Process Evaluation: This type of evaluation is basically a review of project implementation dynamics with a view toward establishing whether or

not a project or program is proceeding as originally planned. The review is usually focused on issues that have emerged over time which bring into question the design and/or implementation arrangements of the project. Such issues might include, for example, the degree to which beneficiaries are involved in identifying and planning local activities; the effectiveness of interagency coordination, incentives for project staff; the quality of internal monitoring systems; technical performance; financial control systems; and mechanisms for coordination with relevant private sector activity.

By and large these are organizational and administrative issues. They are best assessed as part of the management control systems of implementing agencies themselves. The benefits of such self-assessment go beyond the information gathered. The involvement of project personnel in evaluation is an important learning experience in itself, providing them experience in recording progress made, discovering issues that must be addressed, and developing recommendations for follow-up. The internal evaluation process may also provide an opportunity for communication between different levels of an agency structure or between agencies coordinating management of an activity.

Outside evaluations looking at process issues should begin by assessing whether the project system has developed mechanisms for systematically addressing its own planning and management problems. Such mechanisms, if functional, can easily be documented. Such documentation is usually more relevant and more usable than any static set of indicators of organizational performance to measure whether a system is on top of its task.

In addition to documentation, cross-checks of the perceptions of staff at different levels of the project organization provide a valuable insight on process factors. Is there a consensus on why services are not being delivered

as planned or is there a lot of mutual finger-pointing? Where there is no consensus on the course of problems there is unlikely to be much momentum toward solution.

Where changes in the mode of operation of an agency are of themselves a project objective, staffing and budgeting allocations within the agency are a documented measure of shifting organizational priorities. Clients or colleagues who interact with an organization can provide observational information on that organization's way of doing things. Useful insights may also be available from an agency's former staff or staff of competing organizations, though such perspectives must be used with care.

Process evaluation is of primary importance in the early stages of a project's life. It provides learning that is essential for design adjustments, total redesign, or possible project termination. The importance of process evaluation is magnified in projects with a strong institution-building focus.

2. Impact Evaluation: These evaluations examine the effect that an activity is having or has had on beneficiaries to compare the evidence against the planned result. Ultimately, every project, unless terminated, should be judged in terms of impact. As suggested above, the time at which impacts may be expected and measured should be estimated as part of the planning process.

There is little point in investing resources in impact evaluation prior to the time beneficiary impact is expected.

In most cases, it is not possible to realistically measure impact until near the end of a project's life or even later. Therefore, in the interests of learning, project evaluation budgets should include funds for impact evaluation at some point or points after termination of USAID inputs. Such evaluation would also provide opportunity to assess benefit sustainability.

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Preferably, the capacity, interest and resources to perform such ongoing impact assessment should arise from within the Philippine agency(ies) responsible for implementation. The benefits of such internal assessments are similar to those discussed above for process evaluations.

Impact evaluations will generally require more empirical data than process evaluations. Full use of Philippine research and consulting organizations should be made in developing evaluation designs and collecting data. However, the process should not be divorced from project or program management. Rather, the resource institution should serve a support or advisory role. Research studies per se do not serve the decision-oriented needs of the Mission evaluation agenda.

*yes - exactly*

*then why the focus on existing research the previous section?*

In broad terms, the goals of an impact evaluation are to

- identify whether stated project purposes have been achieved; in
- attribute identified effects to the project vis-a-vis other possible causes;
- determine conditions under which the project is most effective;
- delineate unanticipated consequences or side effects; and
- identify lessons learned to assist future planning.

The importance of this information is two-fold. First, it provides a retrospective assessment of the effectiveness with which resources have been employed. Second, and more importantly, it provides USAID and the GOP with feedback to guide future programming of resources to achieve similar purposes.

Methodologies for impact evaluations are largely dependent on the nature of the project and the specific information required. Specification of indicators and collection strategies should be part of the evaluation plan in

the project design. Much of the basis for measuring impact will grow out of the analyses performed during project design studies. Yardsticks linked closely to the specific problems that a project proposes to address are of more utility to decision makers than general socio-economic variables applied too broadly.

3. Strategic Evaluation: This is evaluation at the level of achievement of broad strategic goals based on outcomes of the total range of interventions or actions undertaken in support of agency strategy. As such, the focus of this Plan, including the information needs detailed in Tables 1 and 2, is on strategic evaluation.

Strategic evaluation encompasses both process and impact issues since Mission strategy is to assist Philippine agencies to be responsive to the needs of target poverty groups. Strategic data requirements include

- data to understand and overcome constraints imposed on poverty groups by their environment;
- data to ensure that program components are adequate or to determine alternative ways of providing needed services and knowledge;
- data to determine institutional priorities and capabilities in target areas so that poverty groups receive the benefits of project activities;
- data to determine and analyze the potential impact of the political and economic policy environment.

Strategic evaluation is an ongoing long-term process to assess and refine development priorities and approaches. For USAID, it is a product of effective Mission information management along the lines suggested in this

Evaluation Plan. In particular, it requires effective collaboration in the Mission to coordinate project evaluation agendas and data utilization. Certain projects provide opportunity for comparative measurements of the impact of USAID assistance by different strategies. For example, Local Resources Management, Municipal Development Fund, and Regional Development Fund - though managed out of two different offices in USAID - all aim to improve local government capabilities to plan and implement local projects. Each is a source for assessing Mission strategy in the local resources management program sector. The opportunity to coordinate evaluation plans for these projects should not be lost. This will require cooperation not only within USAID but among several counterpart agencies involved in the three projects. Such cooperation will benefit Philippine information use as well.

#### Information Management

The purpose of this Evaluation Plan is to provide a framework for an ongoing process of Mission information management. Its emphasis is on translating the ODSS into a set of testable assumptions and measurable questions. It also stresses the importance of linking information collection to information use. Therefore, a central role in the process of evaluation is assigned to implementing agencies and Philippines resource institutions. Ultimately, they are the most important users of the information gathered for policy and program management.

USAID, of course, also has an interest in evaluative information to assess both the effectiveness of projects in achieving their goals and the validity of the Mission's development strategy as stated in the ODSS. To make such assessments, the Mission will depend on the kinds of evaluation described above along with available secondary data and, when needed, special studies

monitored or performed by the Mission's Evaluation Officer, Program Economics staff, or other offices.

The design of the evaluation plans for individual projects is normally the responsibility of USAID project officers working with Philippine counterparts. Assistance is also available from the Mission Evaluation Officer. The Mission's economic analysis agenda is developed by the Program Economics staff in the Office of the Director based on consultation with the Evaluation Officer and the various Mission offices responsible for program implementation.

This system has served well the information needs of individual projects and has helped provide a basis for Mission strategy development. It is less effective in assuring systematic information collection and analysis to test achievement of the Mission's broad strategic objectives. Therefore, a particular concern of the Mission in developing its 83/84 Evaluation Plan is to move to effectively operationalize its use.

One step in that direction is the restatement of core hypotheses and underlying assumptions into more testable form. A second step is the specification of major baseline information categories and indicative evaluation questions for each ODSS program element. The third step must be a stronger role for the Mission's Evaluation Working Group and Evaluation Officer in coordinating use of this material.

Since its establishment, the Evaluation Working Group (EWG) has been responsible for development of the Mission Evaluation Plan. However, its role in implementing the plan or analyzing evaluative information has been limited. In order to improve this aspect of information management, the role of the EWG should be enlarged to include the following:

- Reviewing the Mission schedule of project evaluations (Annex A) /to assure that it reflects ODSS information needs as well as individual project needs;
- Working with the Program Economics staff to identify special analyses appropriate to ODSS information needs;
- Developing linkages with Philippine research institutions to improve coordination with ongoing information gathering efforts;
- Reviewing project evaluation plans and designs to assure that key questions and data needs detailed in the Evaluation Plan are incorporated into project monitoring and evaluation activities when appropriate;
- Coordinating responsibility for analyzing information obtained relevant to this Evaluation Plan and assuring that such analysis is incorporated in the process of Mission policy and strategy development; and
- Advising project officers on possible indicators or data collection methodologies which will improve data collection relevant to ODSS information needs.

Several of these functions may be delegated to the Mission Evaluation Officer who, in effect, serves as staff for the EWG. However, in the interests of continuity and intersectoral communication, it is important that the EWG members play a major role in the process.

Initially, the key step in implementing this plan will be to begin the process of incorporating appropriate questions from the plan into upcoming project evaluations. This will provide opportunity to check on the feasibility of this approach and to work out systems for processing the

information that is collected. Thinking through possible economic analysis needs will be another near term agenda item for the EWG.

An early test of the effectiveness of these activities will be strategic planning in late CY 1983. At that point the EWG should be able to play a significant role as a link between evaluative findings and strategy refinement. A longer term test will be the contribution Mission learning can make to the effective programming of future funds.

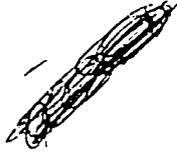
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Table 1

Information Needs for CISS Program Assumptions

Baseline Data Categories	Indicative Evaluation Questions	Related Projects
<b>1. RAINFED RESOURCES DEVELOPMENT</b>		
<p><u>Poverty Group Analysis</u></p> <ul style="list-style-type: none"> <li>- Employment and income data for target poverty groups.</li> <li>- Inventory of existing farming and fishing practices.</li> <li>- Assessment of available services and technical resources, access to them and utilization by targeted poverty groups.</li> <li>- Patterns of migration in and out of target areas.</li> </ul> <p><u>Environmental Analysis</u></p> <ul style="list-style-type: none"> <li>- Productivity data for target areas including yields for various crops and fishing practices (including trend data).</li> <li>- Assessment of agro-climatic constraints to productive resource use.</li> </ul>	<p>Assumption</p> <p>1a. <u>Employment - income</u></p> <ul style="list-style-type: none"> <li>- What changes are evident in employment levels and types among target groups?</li> <li>- What productivity changes can be documented in target areas?</li> <li>- What income strata among the population are benefitting from higher productivity and/or employment opportunities?</li> <li>- Is there any reduction in out-migration from targeted areas?</li> </ul> <hr style="border-top: 1px dashed black;"/> <p>1b. <u>Community management - production</u></p> <ul style="list-style-type: none"> <li>- What new local technologies and practices have been developed? What is their source? their impact?</li> <li>- How are field pilot activities determined? What is their link to centralized research?</li> <li>- Do small producers accept new practices and technologies? What incentives are operating?</li> <li>- What is the quality of locally generated activity proposals? Are they receiving attention at higher levels?</li> <li>- What is the role of local leaders (formal and informal) in site specific activities?</li> <li>- Do target groups have a role in planning and decision making for local activities? By what mechanisms?</li> </ul>	<ul style="list-style-type: none"> <li>- Rainfed Resources Development</li> <li>- Rural Energy Development (ESF)</li> <li>- Agricultural Research II</li> <li>- Farming Systems Dev. - Eastern Visayas</li> <li>- Bicol IAD III - Rinconada</li> <li>- Clark Access and Feeder Roads/Soil-Water Conservation Pilot (ESF)</li> <li>- Bicol Integrated Rural Development</li> <li>- Clark Area Development Fund/ Integrated Agricultural Research Center (ESF - proposed)</li> </ul>

Baseline Data Categories	Indicative Evaluation Questions	Related Projects
<p><u>Institutional Analysis</u></p> <ul style="list-style-type: none"> <li>- Assessment of economic infrastructure including facilities for marketing, transportation, credit, etc.</li> <li>- Assessment of Philippine research organizations' involvement in rainfed resource issues.</li> </ul> <p>Assessment of organized community level involvement in resource management.</p> <ul style="list-style-type: none"> <li>- Degree of local control over resource exploitation by external interests.</li> </ul>	<ul style="list-style-type: none"> <li>- Have any locally developed resource - management approaches been replicated elsewhere?</li> <li>- What is the impact of energy needs on productivity? On the the local environment?</li> </ul> <hr style="border-top: 1px dashed black;"/> <p>1c. <u>Coordinated action - improved productivity</u></p> <ul style="list-style-type: none"> <li>- What evidence exists of private sector involvement in resource management?</li> <li>- What incentives are operating to draw or restrict private sector involvement?</li> <li>- What mechanisms have developed to facilitate institutional coordination?</li> <li>- What checks are evident on commercial exploitation of the resource base?</li> <li>- How are the potential environmental impacts of new technologies monitored? What is the policy impact of this information?</li> <li>- What evidence exists that damage to the natural resource base can be reversed? Is such reversal occurring?</li> <li>- What national policy changes have occurred in connection with upland and coastal rainfed areas? In which ministries or agencies? Are they sufficient?</li> </ul>	
<b>2. RURAL ENTERPRISE DEVELOPMENT</b>		
<ul style="list-style-type: none"> <li>- Inventory of support services for rural enterprise.               <ul style="list-style-type: none"> <li>- management</li> <li>- technical</li> <li>- marketing</li> <li>- venture capital</li> <li>- credit</li> <li>- transportation</li> </ul> </li> <li>- Assessment of local and national policy environment as it affects rural enterprise.</li> </ul>	<p>2a. <u>Growth and Profitability - Employment</u></p> <ul style="list-style-type: none"> <li>- What new enterprises have been established in target areas?</li> <li>- What are employment trends in existing and new enterprises?</li> <li>- What enterprise sectors are growing most rapidly? Providing most new job opportunities for the poor?</li> <li>- Are targeted poverty groups willing/able to qualify for jobs in rural enterprises?</li> <li>- Are profits from rural enterprise re-invested locally or elsewhere?</li> </ul>	<ul style="list-style-type: none"> <li>- Small/Medium Enterprise Development</li> <li>- Markets (ESF)</li> <li>- Investment Promotion (proposed)</li> </ul>

Baseline Data Needs	Key Evaluation Questions	Related Projects
<ul style="list-style-type: none"> <li>- Profiles of existing rural enterprise                             <ul style="list-style-type: none"> <li>- profitability</li> <li>- revenue growth</li> <li>- employment trends</li> </ul> </li> <li>- Labor productivity data for various enterprise categories (type and size)                             <ul style="list-style-type: none"> <li>- labor/capital relationships</li> <li>- revenue and profit per worker</li> </ul> </li> <li>- Analysis of reasons for industrial concentration in urban areas.</li> </ul>	<ul style="list-style-type: none"> <li>- Is output per worker rising in target areas? In areas with rising employment of the poor?</li> </ul> <hr style="border-top: 1px dashed black;"/> <p>2b. <u>Entrepreneurs - Job creation</u></p> <ul style="list-style-type: none"> <li>- What are the sources of investment in existing and new rural enterprise?</li> <li>- How do potential entrepreneurs and investors define a "favorable investment climate"? What are the key elements? Are entrepreneurs free to respond to market forces?</li> <li>- What are the major constraints perceived by entrepreneurs and investors to employing capital in rural areas?</li> <li>- What comparative advantages do rural enterprises have over urban enterprises? What product lines? In what markets?</li> <li>- On what basis are technical support and other public services provided to the private sector? Who qualifies? What is the cost?</li> <li>- What evidence exists of private sector concern for local welfare issues and the needs of the rural poor?</li> </ul> <hr style="border-top: 1px dashed black;"/> <p>2c. <u>Coordination - Investment climate</u></p> <ul style="list-style-type: none"> <li>- What are the key sources of support services for rural enterprises? How are these services linked to national policy agencies?</li> <li>- What mechanisms exist or have been established for private sector inputs to relevant policy determination?</li> <li>- What is the cost of institutional mechanisms designed to support rural enterprise? How do these costs compare with levels of investment stimulated?</li> <li>- What regional industrial policies and programs have been developed? Are there keyed to bottom-up or top-down information inputs and requests?</li> <li>- How are enterprise support programs financed? Are they self supporting or dependent on subsidy?</li> </ul>	

Baseline Data Needs	Key Evaluation Questions	Related Projects
<p>3. LOCAL RESOURCES MANAGEMENT</p>		
<p><u>Beneficiary Analysis</u></p> <ul style="list-style-type: none"> <li>- Employment and income data for target poverty groups.</li> </ul> <p>Assessment of popular participation in local development decisions and management.</p> <ul style="list-style-type: none"> <li>- Attitudes of citizens to change in social, economic, and political conditions.</li> </ul> <p><u>Institutional Analysis</u></p> <ul style="list-style-type: none"> <li>- Sources of funding for local development activities.</li> <li>- Focus of decision making for local development activities.</li> <li>- Quality of local fiscal management               <ul style="list-style-type: none"> <li>- % of budget raised locally</li> <li>- % of recurrent costs locally</li> <li>- actual vs. potential revenue collection from existing tax base</li> </ul> </li> <li>- Assessment of political constraints to local programming discretion.</li> <li>- Assessment of support systems for local financial management               <ul style="list-style-type: none"> <li>- information</li> <li>- budgeting</li> <li>- forecasting</li> </ul> </li> <li>- Assessment of administrative capacity of local governments.</li> </ul>	<p>3a. <u>Local Resource Control - Responsive Programs</u></p> <ul style="list-style-type: none"> <li>- Is local government programming responsive to the needs of target poverty groups? How are such needs assessed?</li> <li>- Do target groups perceive employment as a priority need?</li> <li>- Are local governments supportive of private sector activity? What policies are most conducive to private investment?</li> <li>- How do local agencies determine priorities? Who participates? Who is excluded?</li> <li>- What is the role of local PVOs in each local setting? Is their activity coordinated with municipalities? How?</li> <li>- Have any local government programming processes been replicated elsewhere?</li> <li>- What are the trends in municipal staffing? Qualifications? Turnover rates? Training?</li> <li>- How do local people perceive municipally-managed development activities vis-a-vis higher level programs operating locally?</li> <li>- Who is benefitting from local project activities? Where do beneficiaries fall in terms of income distribution?</li> <li>- What new resources are being generated by improved local financial management? At what cost?</li> </ul> <hr style="border-top: 1px dashed black;"/> <p>3b. <u>Provincial Planning - Local activities</u></p> <ul style="list-style-type: none"> <li>- How is the relationship between provincial and municipal agencies perceived by each?</li> <li>- What are the major constraints to effective cooperation?</li> <li>- Is there any evidence that stronger provincial planning constrains local initiative? <u>supports</u> local initiative?</li> </ul>	<ul style="list-style-type: none"> <li>- Local Resources Management</li> <li>- Municipal Development Fund (ESF)</li> <li>- Real Property Tax Administration</li> <li>- Rural Service Center</li> <li>- Regional Development Fund (ESF)</li> </ul>

Baseline Data Needs	Key Evaluation Questions	Related Projects
<ul style="list-style-type: none"> <li>- Assessment of provincial planning capability in target regions.</li> <li>- Inventory of information sources to support provincial planning (training centers or institutes, research units, consulting bodies, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>- What policy and management studies have been produced by support institutions? Are these being utilized? By whom?</li> <li>- How dependent are provincial planning processes on technical assistance personnel or external funding?</li> <li>- What evidence is there of improved project management? To what can this be attributed?</li> <li>- How does the province monitor and evaluate local activities? How is information fed-back into the system? With what effect?</li> <li>- Are provincial governments able to influence the budget allocations of line ministries?</li> </ul> <hr style="border-top: 1px dashed black;"/> <p>3c. <u>National Priorities - Local programming</u></p> <ul style="list-style-type: none"> <li>- How much authority do local governments have over central resources devoted to lower levels? What are the boundaries on their programming discretion?</li> <li>- How much authority do local governments have over locally generated resources? What boundaries exist on their use of these funds?</li> <li>- What are the limits on local freedom to utilize new tax sources? Enforce collection?</li> <li>- Is there any demonstrable increase in central government commitment to decentralization?</li> <li>- Do nationally-directed programs drain local staff and monetary resources?</li> <li>- Are the functions and responsibilities transferred to local government clearly delineated?</li> </ul>	
<b>4. FERTILITY/INFANT MORTALITY REDUCTION</b>		
<ul style="list-style-type: none"> <li>- Fertility rates.</li> <li>- Contraceptive prevalence rates. -34-</li> </ul>	<p>4a. <u>Service Delivery - Labor force reduction</u></p> <ul style="list-style-type: none"> <li>- What is the relationship between contraceptive availability and acceptance? Between acceptance and fertility?</li> </ul>	<ul style="list-style-type: none"> <li>- Panay Unified Services for Health</li> <li>- Primary Health Care Financing</li> </ul>

Baseline Data Needs	Key Evaluation Questions	Related Projects
<ul style="list-style-type: none"> <li>- Assessment of present primary health care delivery in target areas.</li> <li>- Infant mortality rates.</li> <li>- Disease prevalence data.</li> </ul>	<ul style="list-style-type: none"> <li>- What are the major factors in fertility change (e. g. age structure, nuptiality, marital fertility)?</li> <li>- What changes are evident in national labor force growth projections? What is the basis for these changes?</li> </ul>	<ul style="list-style-type: none"> <li>- Population Planning II</li> <li>- Bicol Integ. Health, Nut. &amp; Pop.</li> <li>- Barangay Water II</li> </ul>
<ul style="list-style-type: none"> <li>- Rate of growth in labor force (actual and projected).</li> <li>- National spending per capita for all types of primary health care services</li> <li>- Prevalence of breastfeeding and other mortality - related infant care practices.</li> <li>- Fertility preference data, particularly the stated desire for another child.</li> </ul>	<p>4b. <u>Combined Services - Cost effectiveness</u></p> <ul style="list-style-type: none"> <li>- Are family planning field workers assuming a broader service role without dissipating their effectiveness?</li> <li>- Is combined service delivery backed by adequate agency coordination and administration arrangements?</li> <li>- What are the cost implications of the new approach? How does marginal cost per acceptance compare with traditional family planning service delivery?</li> <li>- What are the implications of combined service delivery for quality of services?</li> <li>- What is the status of field worker recruitment, training, performance?</li> <li>- Where are combined services being delivered? Who has access to them? Are remote areas receiving increased coverage?</li> </ul>	<ul style="list-style-type: none"> <li>- Population Planning III</li> </ul>
	<p>4c. <u>Community Control - Effective use</u></p> <ul style="list-style-type: none"> <li>- How is combined service delivery perceived by local people? Is broader PNC service use evident?</li> <li>- What trends are evident in knowledge of family planning and attitudes toward family size? In contraceptive use? In infant/child health care?</li> <li>- Is community cost support of health service delivery forthcoming? On what basis? With what resources?</li> <li>- Are new service delivery systems financially viable? How will recurrent costs be financed?</li> </ul>	

Baseline Data Needs	Key Evaluation Questions	Related Projects
5. LINKAGE ASSUMPTIONS		
<p>(See sections 1 and 2 above)</p> <ul style="list-style-type: none"> <li>- Consumer expenditure data in target areas for income producing projects.</li> </ul>	<p>5a. <u>Income Gains - Demand for goods and services</u></p> <ul style="list-style-type: none"> <li>- How do the rural poor utilize discretionary income? What are priority purchases?</li> <li>- Does demand for primary health care services rise with socio-economic status?</li> </ul>	<p>(See sections 1 and 2)</p>
<p>(See sections 1, 2, and 4 above)</p> <ul style="list-style-type: none"> <li>- Fertility data for various beneficiary groups.</li> </ul>	<p>5b. <u>Project Benefits - Reduced fertility</u></p> <ul style="list-style-type: none"> <li>- Does female employment influence family size?</li> <li>- Does income correlate with fertility? For which income strata?</li> <li>- What interventions have the greatest fertility impact?</li> </ul>	<p>(See sections 1, 2 and 4 above)</p>

Table 2

Information Needs for ODSS General Strategy Assumptions

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Key Evaluation Questions

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5c. The National and Local Policy Environment

- Do national political priorities (particularly as expressed through budget and staff allocations) support ODSS strategy objectives, target populations, and areas of geographic concentration?
- How does the economic policy environment support ODSS employment objectives (especially pricing policies, minimum wage policy, and exchange rate policy)?
- What support is evident for institutional initiatives to support decentralized decision-making, including private sector involvement?
- Does political pressure for visible results constrain the process of building systems and capacities to support long-term benefits? What is the source of these pressures?

5d. Beneficiary Response

- What socio-cultural factors constrain response to project initiatives?
- What institutional factors constrain response?
- What is the role of local people in
  - identifying appropriate development ideas?
  - adapting external ideas to local needs and circumstances?
  - committing local resources to project activities?
- What is the role of local leadership in facilitating or constraining local participation?
- What is the role of local organizations in development activity? Are they new or previously existing?
- Who is included in local decision-making? Who is excluded?

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Key Evaluation Questions

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5e. Sustainability

- What benefits are to be sustained?
- What resources will be required to fund long-term benefit flows? What will be their source?
- Do benefits justify continued external subsidy? If so, what will be its source?
- Does sufficient administrative capacity exist to ensure benefit continuation?
- Are permanent aspects of service delivery being institutionalized in public or private systems?
- How much of the requirement for financial and administrative input can be undertaken locally?
- What local activities have been replicated elsewhere without donor funding?

Report Annexes\*

A. Scope of Work

B. Notes on Methodology

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\*These annexes form a portion of the TA report and are not part of the Draft Evaluation Plan.

Annex A

SCOPE OF WORK

The following functional consultant workscope was developed by the Evaluation Working Group of USAID Manila and finalized based on discussions at the beginning of the TDY assignment. It represents a consensus on resolving certain key conceptual and procedural issues (see Appendix B, Section 1) and on specific expectations for the technical assistance assignment.

I. OBJECTIVE OF TDY ASSIGNMENT

To prepare final draft of Mission evaluation plan which:

- A. Clarifies and articulates Mission needs for evaluative information.
- B. Identifies set of key questions which must be addressed to meet information needs.
- C. Suggests approaches and sources of information for addressing key questions.
- D. Outlines implications for project-specific evaluations which will provide information on key questions.

II. COMPONENTS OF TDY ASSIGNMENT

A. Clarification and Articulation of Needs for Evaluative Information

- 1. Existing general needs are represented by six hypotheses in the current Evaluation Plan. While these hypotheses are clearly linked to Mission strategy as stated in the ODSS, they are not in testable form and do not provide clear guidance for Mission evaluation activities (See Rhoda comments

3/3/82). The hypotheses should be restated so that they clearly respond to information needs. This may involve combining or splitting hypotheses, or changing their format; perhaps sub-hypotheses should be developed for each of the six major hypotheses.

2. Completion of this activity will involve analyses of background document, discussions with Evaluation Working Group (EWG) members and Mission senior staff, and understanding of USAID priorities and operations.

B. Key Questions for Addressing Information Needs

1. While similar to Component A above, this activity moves away from A's general needs and toward specific questions which can be addressed by individual evaluations or other investigative activities. The sets of questions developed in this component are critical, to bridging the gap between the general information needs represented by the hypotheses and the specific issues which will be the focus of evaluation activities.
2. At present, the Mission lacks a uniformly accepted, clear concept of the form that these questions will take. Thus the consultant will have to use judgement, experience, and the suggestions of Mission staff in developing this component. Given the present lack of clarity of this component, considerable discussion and feedback from Evaluation Working Group (EWG) will be required.

3. After a set of questions is developed for each hypothesis, they should be placed in priority order.

C. Approaches for Addressing Key Questions

1. The consultant will recommend suitable approaches for addressing each of the priority questions identified in component B. A distinction will be made between those which can be addressed appropriately using evaluation and those which require other investigative techniques such as library research, analysis of secondary data, rapid rural appraisal, or survey research.
2. Attention (at this time) should focus on the questions which can be addressed using evaluation. For each such question, the consultant should identify a specific activity which can be evaluated to obtain needed information pertaining to the question. While most activities identified for evaluation will be AID supported projects, other activities should be included if appropriate.
3. This component will involve interaction with both the EWG and selected project officers.

D. Evaluation Implications for Specific Mission Activities

1. This component focuses on the evaluation of existing and proposed Mission activities which can provide information relevant to the key questions identified in component B. Included are both evaluations plans for relatively new Mission projects and designs for specific evaluations to be conducted within the next two to three years.

2. Relatively new Mission projects which are expected to provide information key evaluation questions include: Primary Health Care Financing, Population Planning III, Rainfed Resources Development (including Farming Systems Development - Eastern Visayas), Local Resources Management, Rural Energy Development, Markets, Regional Development Fund, Small/Medium Enterprise Development, Soil and Water Conservation, and Municipal Development Fund. The consultant will review existing documentation for each of these projects and suggest evaluation questions which will provide additional information on key strategy hypotheses. Specific attention should be given to the need, feasibility, and wisdom of collecting baseline data.

Annex B

NOTES ON METHODOLOGY

A. Issues

Preparation for TDY in Manila involved a review of background documents and discussions with certain AID/W personnel. Key documents included the Philippine Mission's FY 82/83 Evaluation Plan, FY 84 CDSS and ABS, selected project papers, and general AID evaluation guidance. Personnel contacted in Washington included Maureen Norton, Asia/DP; Carl Penndorf, Philippine Desk; and George Carner, former Program Analyst at USAID/Manila, who was a key participant in Mission preparation of its original FY 82/83 Evaluation Plan.

In addition to providing important background material, the advance briefing activity raised several issues which formed the basis for the initial information gathering process in Manila. Several of these issues were also anticipated by Mission staff and incorporated in discussion materials prepared by Richard Rhoda, Mission Evaluation Officer, for the Evaluation Working Group.

Among the major preliminary issues were the following:

1. The principal object of the Evaluation Plan and related activities:

The FY 82/83 Evaluation Plan is built around 6 hypotheses which are essentially assumptions underlying the purpose to goal linkages of several project clusters. The information needed to test these assumptions, however, is not necessarily the same as that needed to measure goal achievement by projects or

groups of projects. Therefore, the central purpose of the Mission's evaluation agenda must be clearly defined.

2. The level of aggregation for defining key hypotheses or strategic goals as a basis for the Evaluation Plan: The FY 82/83 Evaluation Plan identifies 6 hypotheses while the Mission CDSS for FY 84 indicates 4 key program thrusts. This raises the questions of the most effective way to aggregate or "package" Evaluation Plan information needs.
3. Defining boundaries for "priority projects: Projects which pre-date both the recent CDSS and the Evaluation Plan as well as ESF projects are not considered as key information sources for the Evaluation Plan, yet represent a significant portion of Mission activity. Use of these projects as information resources, especially for impact measurement, needs to be incorporated into the Evaluation Plan.
4. The role of the Philippine Government and indigenous research organizations: Although the Evaluation Plan is a USAID Mission document, it is presumably consistent with GOP information interests and can benefit from existing data collection activities of GOP agencies and Philippine research organizations. This suggests the need to define the potential role of Filipino agencies in both the development of and implementation of the Evaluation Plan.

A further issue which grew out of discussions with the Evaluation Working Group was the following:

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5. Institutionalizing within Mission procedures implementation of and use of the evaluation plan: Systems are needed to assure that individual project scopes of work incorporate information gathering activities which support evaluation plan needs. Equally important are systems to process evaluative information relevant to broader Mission strategies as distinct from individual project concerns. This suggests an ongoing role for the Evaluation Working Group and, especially, the Evaluation Officer, in operationalizing the Evaluation Plan.

Resolution of these issues is reflected in the Evaluation Plan.

B. Information Sources

1. Documents reviewed at USAID/Manila
  - a) Mission Evaluation Plans FY 82/83 and FY 83/84 (draft).
  - b) ODSS - FY 82, 83 and 84.
  - c) ABS - FY 84
  - d) PIDs: Primary Health Care Financing  
Small/Medium Enterprise Development  
Natural Resource Management
  - e) Project Papers:
    - Population Planning III
    - Rainfed Resources Development
    - Local Resources Management
    - Rural Energy Development
    - Small Farmer Systems II
    - Clark Access & Feeder Roads (ESF)
    - Municipal Development Fund (ESF)
    - Farming Systems Development - Eastern Visayas
    - Bicol IAD III - Rinconada
    - Agricultural Research II
    - Markets (ESF)
    - Panay Unified Services for Health
    - Rural Service Centers

- f) Evaluation discussions, Rhoda comments (3/3/82) and memo (8/12/82)
- g) Summary descriptions of Mission strategy and project portfolio
- h) Project evaluations:
  - Population Planning II
  - Panay Unified Services for Health
  - Rural Service Centers
- i) Philippines Economic Analysis Agenda CY 82/83

2. Key contacts

- a) Mission Evaluation Officer - Richard Rhoda, PO
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  - OPHN - Steve Sinding
  - ORAD - Jerry Edwards
  - OCD - Monica Sinding
  - OD/PE - Peter Davis
- c) Others in Mission
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  - Deputy Director - Mary Kilgour
  - FFPVO - Bill Carter, Nancy Newman
  - ORAD - George Flores, David Korten, David Alverson
  - OCD - Tom Rishoi, John Tennant
  - PHN - John Dumm
- d) Outside Mission
  - Bernie Salvo, AID/W (Head of PVO Co-Financing Evaluation Team in Manila)
  - Gene Owens, Asian Development Bank
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## Local Resources Management

### Notes on Evaluation

The evaluation plan for the Local Resources Management Project is built around continuous self-evaluation and redesign by those local officials who have operational responsibility for managing project activities. The evaluation focus is thus on the kind of learning which will help implementing agencies to monitor their own actions and outcomes and make the necessary corrections.

Procedurally, the evaluation plan calls for process documentation within each of the three project tracks supplemented by special studies which assess management systems and the relationship between various field workers and beneficiaries. Project management staff will be responsible for developing procedures through which information generated from the foregoing activities can be used most effectively for self-assessment and self-correction.

These internal monitoring activities will be supplemented by GOP and USAID monitoring and evaluation to serve public accountability requirements. External evaluation will assess financial reporting, the self-evaluation process, provincial planning performance, local financial management, and beneficiary participation. Evaluators will be particularly interested in potentials for expanding and replicating procedures developed through the LRM project.

Utilization of evaluative information is to be facilitated by workshops chaired by NEDA and involving implementing agencies. In the workshops, the resource institutions responsible for process documentation and special studies will work with implementors to identify problems, plan training activities,

identify needed policy or management action, and assign responsibilities for follow-up. The workshops will have an important function as a forum for communication among field personnel, agency staff, resource institution staff, and GOP and USAID managers. The evaluation needs of each are closely linked.

Both internal monitoring and external evaluation will be assessing certain key processes and, in time, project impacts on beneficiaries. Key criteria relevant to each of the three project tracks are suggested below with some possible indicators for their assessment:

Track 1: Provincial and Local Project Development

1. Provincial analysis of development needs and identification of target populations.
  - extent of consultation with local people and institutions (municipalities, barangays, beneficiaries)
  - development and management of appropriate data base
  - relevance and use of poverty group research
2. Strategic planning process
  - evidence of effective coordination with sectoral agencies and impact on their priorities
  - linkages with non-governmental institutions and agencies and provision for private sector initiatives
  - adequate staff committed to the planning process
  - systematic incorporation of lower level planning inputs
  - justification of project mix in terms of identified needs and priorities
3. Subproject development and implementation
  - consistency with provincial strategy
  - extent of mobilization of local resources

- evidence of barangay, municipal and beneficiary participation in design and implementation (source of project ideas, level where proposal drafted)
- success rate in obtaining approval and funding
- appropriateness to provincial management and funding capability

4. Monitoring and evaluation processes

- evidence of plan for monitoring and evaluation of project activities
- resource and manpower allocation to monitoring and evaluation
- relevance and quality of research studies
- evidence of feedback of learning into future planning
- awareness of barriers to effective implementation

Track 2. Local Financial Administration

1. Revenue mobilization

- percentage of total budget supported by local revenues
- percentage of recurrent costs assumed by local government
- trends in actual vs. potential revenue collection from existing services
- processes for identifying and planning future revenue sources (taxes, user fees, licenses, etc.)

2. Revenue management

- information system capacity to provide data on tax base, assessments, tax liabilities and payments
- adequacy of financial management staff at municipal level
- awareness of cost-revenue factors in collection activities

- trends in administrative costs relative to service related expenditures
- implications of tax policies for local private sector investment and activity
- evidence of realistic budgeting and use of budgets as means of control

### Track 3. Beneficiary Participation

1. Private sector links to government activity
  - Purposes and target beneficiaries for PVO activities
  - Spread effect of private initiatives via government channels
  - Organizational involvement of privately-formed groups in planning and management of government sponsored community activities.
2. Dynamics of LRM-supported PVO activities
  - Decision making processes including assessment of what groups are included, excluded from processes
  - Benefit distribution from local activities
  - Degree of innovation or experimentation in PVO activities
3. Local response
  - Participants and beneficiaries vis-a-vis income status
  - Percentage of local project costs assumed by beneficiaries
  - Trends in participation of local people in community development planning.

It is the purpose of the LRM project (Phase I) that each of the three tracks will contribute to the identification of replicable systems and

processes which promote productive, self-reliant activities focused on poor households within an identified poverty group. Therefore, the broader impact of Phase I activities must be assessed in terms of two additional criteria.

1. Replication and/or expansion of LRM developed systems and approaches
  - potential of subprojects for responding to target group needs
  - appropriateness of approaches to administrative processes and capacities
  - contribution to private initiative and commitment to self-help
  - impact of local private activities and stronger municipal financial administrative and provincial planning
2. The learning process
  - documentation of lessons learned during planning and implementation process
  - development and use of training modules incorporating LRM concepts and methods
  - effectiveness of LRM workshops for information sharing and for contributing to learning
  - quality of support provided by NEDA and resource institutions for LRM expansion.

There is an opportunity to make some comparative assessments between LRM and two ESF projects, the Municipal Development Fund and Regional Development Fund. Each project aims at improvements in local government capacity to plan and implement local projects. MDF with a municipal focus and RDF with a regional/provincial focus will have a different geographical focus than LRM as well as a different lead agency (NEDA for LRM, MHS for MDF and RDF). But the

common focus on institutional development provides opportunity for cross-learning between the projects and some comparative evaluation. The LRM workshops may provide an opportunity for this if MDF and RDF staff are included. Several of the criteria listed above for Tracks 1 and 2 of LRM would also be appropriate for RDF and MDF respectively although the latter two projects do not incorporate LRM's local self-help focus.

Given the process orientation of LRM and the dependence on internal monitoring as a source of evaluation information, it would not be appropriate to attempt further comparative measurement with a province in region not receiving USAID assistance. There is neither a comparable basis for information collection nor likelihood that useful insights would result. It is more essential to invest resources in helping Philippine agencies learn from new approaches and act on that learning in both USAID supported and non-supported programs. For that reason, the LRM evaluation plan is designed as a management tool rather than a research agenda. This is reflected in the qualitative focus of the indicators.

Draft:  
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09/14/82

52