

PD-ABF 976
82604

PVO CO-FINANCING II PROJECT

Project Number 492-0367

PROJECT ASSISTANCE COMPLETION REPORT

USAID/Philippines

March 1, 1993

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**THE PRIVATE VOLUNTARY ORGANIZATION
CO-FINANCING II PROJECT
PROJECT ASSISTANCE COMPLETION REPORT**

SUMMARY

The Philippine Government (GOP) has a limited ability to provide services at the community level. Private Voluntary Organizations (PVOs) have demonstrated a capacity to work effectively at that level. The basic objectives of the PVO Co-Financing II Project involved: a) stimulating private voluntary development activities; b) strengthening PVOs (especially indigenous PVOs) in the areas of project design, management and evaluation; and c) providing constructive development programs and activities through PVOs for poor, primarily rural beneficiaries. Activities under the project primarily took the form of grants to Philippine and U.S. PVOs to carry out sub-projects that fit Mission criteria. Project activities also included mission-financed efforts to guide and assist PVOs in planning, managing and evaluating development projects.

1.0 PROJECT STATUS

1.1 Background

Although the Philippines attained reasonable economic progress in the 1970s, this progress derived substantially from heavy government spending. The apparent "progress" left a myriad of problems in its wake. The Marcos regime in the Philippines based its approach to development on a policy of import substitution, a wide range of protection measures, overvalued exchange rates, and fiscal incentives that skewed investment toward an urban-based, capital intensive, import dependent industrial sector. The majority of the population failed to benefit significantly from the economic growth of the 1970s, and the early 1980s brought a marked deterioration in the economy.

The Aquino administration took immediate action to curb the recession; however, it faced an enormous set of inherited economic problems on the one hand, and intense public expectations on the other. Real GNP declined by 10 percent between 1983-5, reducing it to the same level that existed 10 years earlier, and continued to decline in the first half of 1986 but at a slower rate. The country's foreign debt created during the Marcos era was \$26 billion. In order for adequate short-term foreign reserve levels to be maintained, the government required

large amounts of new money from outside.

In human terms, the International Bank for Reconstruction and Development (IBRD) estimated that in 1983, 34 percent of the nation's families lived in poverty. Given the economic recession since 1983, estimates are that by September of 1986, 70 percent of the population lived below the poverty line.

PVOs play an important role in the economy of the Philippines. Growing disenchantment with the Marcos government in the 1980s caused a sharp rise in the numbers of PVOs as they attempted to span shortcomings of government at the grassroots. At the time of the implementation of the Co-Financing II project, a Constitutional Committee was drafting a new Constitution; and until the government finalized it and held elections, a vacuum existed for PVOs to fill.

USAID first implemented the PVO Co-Financing I Project in March 1980, and utilized resources of U.S. and local PVOs to address the development priorities of disadvantaged Filipinos. Over its six-year life, the PVO Co-Financing I project provided funding for thirty sub-project grants, awarded to eight U.S. PVOs and ten Philippine PVOs, to implement sub-projects in agriculture, rural and community development, environmental protection, public health, law and justice, and education. USAID estimates the total value of the sub-projects at \$10.85 million with AID input amounting to \$6.61 million or approximately 61% of project costs.

USAID experience with the PVO Co-Financing I Project showed that the Philippine Government, through the National Economic Development Authority (NEDA), had been supportive of PVO activities particularly in areas not fully covered by government efforts, and had looked with favor on activities that complemented on-going programs and governmental policies and priorities.

An independent assessment team conducted a mid-term evaluation of PVO Co-Fi I from August to November 1982. The evaluation concluded that "The project has demonstrated the soundness of the co-financing approach and the ability of the PVOs to promote development among rural low-income groups". The evaluation recommended "that a follow-on PVO Co-Financing II be developed, approved and implemented."

Building upon this successful experience, the Mission launched a successor activity, PVO Co-Financing II, in February 1984. USAID later increased the project's initial funding authorization of \$10 million to \$18.639 million. Moving beyond the "basic human needs" orientation of Co-Fi I, PVO Co-Financing II's purpose involved improving the socio-economic status of selected poor groups through participatory development programs and small or pilot activities proposed, developed and implemented by PVOs.

1.2 Current Status

USAID commenced implementation of the PVO Co-Financing II Project on February 29, 1984 with an initial funding of \$10 million, and with a Project Activity Completion Date (PACD) of September 30, 1991. USAID amended the project twice: the first augmenting funding by \$6 million and extending the PACD to September 30, 1992; and the second to increase the funding level to \$18,639,000. By PACD, the project had expended a total of \$16,788,121 in grants to 64 Private Voluntary Organizations, with another \$271,696 for project consultants, \$89,017 for technical assistance, \$187,481 for training activities, and \$62,369 for evaluation and audits.

2.0 SUMMARY OF CONTRIBUTIONS

2.1 Planned Contributions

As set forth in the Project Paper for Co-Fi II, USAID planned to contribute \$18.6 million in funding for use in conjunction with non-U.S. government resources in cash or in kind equivalent to approximately \$8 million (USD) to defray the cost of USAID-approved private voluntary organizations development activities in the Philippines. USAID signed the PVO Co-Financing II project on February 29, 1984 and as amended, authorized life-of-project funding in the amount of \$ 18,639,000.00.

USAID allocated at least \$17.6 million of its \$18.6 million contribution to grants for private voluntary organizations. This amount would cover 50-75% of the total costs of the subprojects financed. Each grantee had the responsibility of acquiring non-U.S. government resources to cover the remaining costs. The PVOs targeted possible sources of support as follows: international agencies, private U.S. or other foreign resources, foreign governments, cooperating GOP agencies, local private organizations, and the beneficiaries of the projects themselves.

PVOs sourced non-U.S. government contributions in cash or in kind; and USAID encouraged them to mobilize private resources, especially from beneficiaries, as evidence of the beneficiaries' willingness to participate in the development activities. The project aimed to mobilize private resources in order to increase the total resources devoted to development in the country. Dependence on the Philippine Government's (GOP) contributions for the subprojects would have put added strain on limited Philippine Government development resources and would not have resulted in a net increase in development activity. For this reason, USAID discouraged PVOs from seeking GOP contributions to their activities unless the circumstances were critical to the

subproject.

2.2 Actual USAID Contribution

USAID obligated \$ 16,847,612.00 which were all earmarked and committed on project's PACD. As of December 31, 1992, total expenditures amounted to \$ 16,788,684.00.

2.3 Actual PVO Contributions

As of September 30, 1992, a review made by Urban Integrated Consultants, Inc. (UICI) for the actual counterpart contribution per subproject as against the amount provided in the grant agreement disclosed the following:

PVO Counterpart Contribution	
Per Grant Agreement	11,158,144.87
Per Reported PVO Counterpart Contribution	<u>11,768,666.42</u>
Difference - Report Over	<u>610,521.55</u>

Based on the above data, the actual counterpart contribution exceeds the required amount per grant. However, based on available USAID records of individual grants, 55% (31 out of 56) have not met their counterpart contribution. This issue is in the process of resolution. USAID is currently collecting updated information from grantee organizations on total counterpart contribution as they respond to inquiries sent by USAID in February, 1993. See Annex A.

FUND EXPENDITURE

As of December 31, 1992, the expenditure figures are as follows:

PROJECT ELEMENT EXPENDITURE

1. Grants to PVO	\$ 16,178,121.00
2. Project Consultants	271,696.00
3. Technical Assistance	89,017.00
4. Evaluation and Audits	62,369.00
5. Training	<u>187,481.00</u>
T O T A L	\$ 16,788,684.00

3.0 PROJECT ACCOMPLISHMENTS

3.1 Planned Accomplishments

The PVO Co-Financing II project aimed to "improve the socio-economic status of selected poor groups through participatory development programs and innovative, small-scale or pilot activities which are proposed, implemented and developed by PVOs". In pursuit of this purpose, the specific objectives and expected project achievements targeted by the project included the following:

- a. To stimulate private voluntary organizations to attempt more numerous and diverse development activities,
- b. To strengthen PVOs' capacities (especially indigenous PVOs) in the areas of project design, management and evaluation, and,
- c. To provide constructive development programs and activities through PVOs for poor, primarily rural beneficiaries.

USAID developed the Co-Fi II project to strengthen private sector initiatives in the area of development activities. The project encouraged Private Voluntary Organizations, which had proven themselves to be viable and capable development entities, address development needs along side of government efforts. In the past, efforts of the government sector without private sector support and vice versa have not always led to constructive, integrated development.

The Co-Fi II project also focused on providing expertise, training and other assistance to private voluntary organizations, aimed at strengthening their capacities to assist in the development of the Philippines. The project made these services available to PVOs involved in small-scale local development, and also to organizations acting as intermediate institutions (IIs).

While not entirely quantifiable, the project paper defines the purposes and objectives of Co-Fi II in terms which lend themselves adequately to end of project measurement. For example, the project's institutional objectives of stimulating PVOs to attempt more numerous and diverse activities and strengthen their capacities to plan, manage and evaluate projects both lend themselves to a reasonable degree of objective measurement either directly or through indirect indicators.

3.2 Actual Accomplishments

In FY 84, USAID approved seven (7) grants to PVOs for the same number of sub-projects. In FY 85, fourteen (14) grants received approval for twelve PVO grantees. The projects covered a range of specific activities, such as agricultural policy and development, cooperatives, human resources development, health

care delivery, family planning, integrated farm development, marine, agro-forestry, water resources and small enterprise development. The list of grants obligated in FY 86 numbered thirteen (13) new projects for twelve (12) PVOs. The project extended the range of activities to other areas of rural development such as credit programs, upland development, barrio water systems, out-of-school youth manpower skills training, micro-enterprise development, and industrialized handicrafts. USAID gave incremental funding to two projects in the areas of agricultural policy development, and integrated farm development and productivity during that period. In addition, five FY 85 projects dealing with human resource development, health care delivery, health resource distribution, provincial development assistance and small enterprise development received funding for expansion or new sites. Similarly, two FY 84 projects dealing with jail inmates rehabilitation and family ecological farms received extensions. In FY 87, USAID gave nine (9) grants to the same number of PVOs, and in FY 88, the number of grants rose to twenty, and recipient PVOs rose to seventeen (17). Activities included in these grants continued to expand both in scope and impact.

Annex B presents a tabulation providing additional information on the sub-projects mentioned above. For the present, the reference to them is made to reflect the extent to which the stated purposes and expected achievements of the PVO Co-Financing II Project translate into sub-grantee programs and more specific objectives. Worth noting is the wide spectrum of activities and objectives pursued under the project.

4.0 ASSESSMENT OF PROJECT

4.1 Process Evaluation

USAID implemented the Co-Fi II Project through grants made to U.S. as well as Philippine PVOs. The mission utilized three types of grant relationships. The first category, which accounted for a majority of the grants, involves grants made directly to PVOs that applied for the funds and actually executed the project. The second category includes grants made to an experienced PVO that in turn makes one or more sub-grants to another, usually unregistered PVO. The experienced PVO shares in the implementation of the project at the same time it is assisting the smaller or less-experienced organization to establish effective operating systems. The third category of grants utilizes intermediary institutions - well-established PVOs that operate and manage multiple projects on their own behalf - to make sub-grants to smaller PVOs or other organizations. In the third category the intermediate institution takes primary responsibility for monitoring and overseeing the implementation of the individual sub-grants but does not involve itself in the

actual execution.

During a mid-term evaluation of the Co-Fi II Project, the evaluation team of Development Associates Inc., found the Mission approach logical and in general, very effective. In a few instances involving the second category of grant, the evaluation team questioned whether the primary grantee was performing a sufficiently substantive function to warrant the two-level approach. In some cases, the sub-grantee appeared to be operating virtually independently and with minimal direction or involvement from the primary grantee. In such cases one could argue that there is little value in using an intermediary institution. In general, however, the Co-Fi II project utilizes an intermediary PVO to serve the function of assisting a small or inexperienced PVO to organize its management and operating systems and to build its capacity to operate independently in the future. The Mission views these arrangements as one means of furthering one of the basic objectives of the project - to strengthen the capacities of PVOs to carry out development activities. For the most part, the evaluation team of DAI found the approach to be a logical and useful arrangement.

The third category of grants (using intermediary grantees to make sub-grants to smaller organizations) also proved generally effective. The method made it possible for the Mission to provide assistance to a large number of very small local organizations without the management burden of detailed oversight. In many countries, because of the limited numbers of established PVO organizations, this approach would ordinarily involve the use of U.S. PVOs as the primary grantee. However in the Philippines there are a number of relatively large, experienced local PVOs, capable of effectively managing AID funds and overseeing the implementation of development projects by smaller organizations. In fact, inasmuch as the U.S. PVOs generally incorporate charges in the grant for indirect (overhead) costs and the Philippine PVOs do not, one can see financial incentives to drawing on local organizations wherever it is compatible with project objectives.

4.2 Impact Evaluation

The PVO Co-Fi II project achieved significant results in a short period of time, leading USAID/Manila to proceed with development and implementation of the next in the series of Co-Financing projects. The Mission proceeded with the design of the PVO Co-Financing III Project midway through the implementation of Co-Fi II; and accordingly, the mid-term strategic assessment of the PVO Co-Fi II had a substantial impact on the design of Co-Fi III. The two projects have run concurrently since 1989, with Co-Fi II terminating in September of 1992, and Co-Fi III originally set to complete at the end of December, 1994, and as amended, December 1996.

Since the Mission required no independent final evaluation of the Co-Financing II project, and since its conclusion came mid-stream into the implementation of Co-Fi III and after the design of Co-Fi IV, the overall impact of the project has to be assessed in terms of the progress and development of the Philippine PVO community, and by the evolution of the Co-Financing Program.

As illustrated in the pages that follow, the numbers and types of indigenous PVOs qualifying for registration with USAID have increased dramatically since the beginning of PVO Co-Fi II. PVOs receiving assistance from USAID have increased their capabilities - specializing in particular services, reaching larger numbers of end-beneficiaries, designing and implementing more socially and economically comprehensive projects, and acting as training institutions. Increasing numbers of PVOs now have the capability to act as Intermediary Institutions (IIs), capable of managing and assisting the activities of smaller, less-developed PVOs and helping them to become independently viable. In many cases these PVOs have become increasingly self-sustainable, and in certain cases they access available credit sources in order to support their own project activities. The PVO Co-Fi II and III projects have achieved these results, working in a complimentary fashion to develop the locally-operating NGO community for an entire decade from 1984-1994. See Annex C.

4.3 Achievement of Project Purpose

A. Increasing the Range of PVO Activities and Strengthening Their Capabilities

USAID designed the Co-Fi II project on the assumption (demonstrated in Co-Fi I) that a sufficient number of functioning PVOs exist in the Philippines to provide a solid basis for a development project with nation-wide activities. In fact, literally thousands of PVOs have registered with the Philippine government. Most of these organizations are of limited size and capacity; however, many meet USAID registration standards.

The principal objectives of the Co-Fi II project include the further development of PVO capacities, both in terms of carrying out more diverse development activities as well as improving their ability to design, manage and evaluate such activities. The Project Paper for Co-Fi II contains the statement that a baseline study had been conducted at the beginning of Co-Fi I to establish a basis for assessing the future degree of expansion of PVO activities. Indeed, the Project Paper for Co-Fi I stated the mission's intention to make such a study. However, the Mission's files reveal only a study conducted under a mission contract with a major Philippine PVO, which resulted in a directory of several thousand private organizations then registered with various government agencies. That study does not provide a valid baseline against which to measure the changes in the PVO community that have taken place since Co-Fi I began. Evaluators

must therefore look for other, less direct indications of change and growth.

While PVO "capacities" do not lend themselves easily to quantifiable measurement, various evaluations have determined that PVOs have made considerable progress in achieving the objectives of Co-Fi II. The numbers of PVOs registered with USAID have grown, and increasing numbers of organizations meet the criteria specified by USAID registration requirements. In addition, a significant shift in the numbers of Philippine PVOs receiving grants as compared to US PVOs has materialized. During the four years of Co-Fi I, USAID made a total of 30 grants; 17 to Philippine PVOs and 13 to U.S. PVOs. By the completion of Co-Fi II, the Mission had approved 64 grants, of which 47 went to Philippine and 17 to U.S. PVOs.

The range of activities has also widened, as shown in Annexes B and D. The Annexes demonstrate movement toward a more complex combination of activities as the Co-Fi II project has operated. In the initial year the focus of the Co-Fi II project centered primarily on agriculture and fisheries. In 1985, the Mission placed increased emphasis on health assistance. In fact, the activities, since one of the two health grants involved sizable sub-grants to seven institutions in different locations carrying out primary health programs. While the project targeted microenterprise activities in all three years, it showed a sizeable increase in the level of effort directed at this component, as well as in the range of activities in this area, in 1986. The data also suggest that the number of projects having the character of community-based multi-sector activities increased substantially. However, this may mislead the reader somewhat, since many of the grants categorized as "agriculture" also have other dimensions such as cooperative organizing, small credit schemes or income-generating activities, which the categorization used here obscures. In addition, the greater use of intermediary organizations to make sub-grants to small local organizations in 1987 contributes to the appearance of multi-sector activities.

4.4 End of Project Status Indicators

A. Strengthening the PVO Network and Capacity-Building

This report has previously made mention of various efforts carried out by USAID to provide guidance materials, manuals and training for PVOs engaged in the Co-Fi projects. Included in the Appendices are copies or portions of some of these key documents. In addition to this printed material, USAID has conducted a number of orientation seminars and training programs focused on strengthening the staff of the PVOs participating in the project and to familiarize them with mission policies and procedures. A partial list of the training activities is attached as Appendix F.

Based on interviews and field observation, these efforts have contributed directly to the project objective of strengthening PVO capacities. Thus, the evidence observed by evaluation teams from the UPEcon Foundation and Development Alternatives, Inc. indicate the existence of a growing number of PVOs in the Philippines, capable of taking on development projects in a variety of fields; and that the use of grants under the Co-Fi Projects has contributed to their growth in number and capability.

B. Self-Sustainability

A fundamental method of measuring the effectiveness of projects supported by economic assistance organizations lies in determining the sustainability or replicability of the activities to which donor resources are being devoted. This method provides an effective means of evaluating Co-Fi II.

A review of the subprojects being supported revealed that no single acceptable formula for defining self-sustainability exists. In certain cases, the grant aims to establish or expand some category of activity which, when mission assistance concludes, the grantee is able to sustain on its own or with limited external assistance. Many subprojects targeted activities such as the establishment of community-level organizations which, once established, could continue to survive and function at an adequate level with little or no additional outside assistance. USAID envisioned that, in some cases, the communities themselves would continue to extend their experience and capabilities to other neighboring communities and thereby spread the knowledge gained during the process of the USAID-supported activity. The PVO Co-Fi II project based its efforts on the assumption that it was not realistic in the immediate future to expect the Philippine Government to extend such services as health and agriculture to the level of the individual community on a reliable basis.

The implementation of PVO Co-Fi III, which started five years after Co-Fi II, built upon this steady foundation for self-sustainability by devoting more attention to the financial aspects of self-sustainability; by supporting agricultural and microenterprise credit components in order to provide the necessary income to expand and increase the activities of community-level organizations and end-beneficiaries.

5.0 POST-PROJECT MONITORING RESPONSIBILITIES

5.1 Subproject Sustainability

During the implementation of the Co-Financing II project, the subject of self-sustainability grew in significance. As the

Mission designed PVO Co-Fi I primarily to achieve "basic human needs" objectives through locally-operating NGOs (and the issue of sustainability was secondary to fulfilling immediate needs), the evolution of Co-Fi II required increased consideration of the self-sustainability of project activities and benefits.

Evaluation of the subprojects has showed that the most difficult projects in terms of self-sustainability involve basic needs services such as health care. Frequently such projects require continued inputs, the cost of which marginalized communities cannot shoulder. Throughout the implementation of the Co-Fi II project, the Mission placed increasing emphasis on training local persons (Barangay Health Workers) and in incorporating an income-generating component to pay for the services of these workers, and to strengthen the abilities of communities to continue the benefits of such projects.

Implementation of Co-Fi II has showed that subprojects can reach self-sustainability where the project consists primarily of credit activities. PVOs work with grant funds to make loans to beneficiary groups, determining interest rates that cover their transaction costs thereby ensuring their own future operations, and also ensuring availability of future loanable funds.

USAID requires all subproject proposals to include a "Sustainability Plan" to continue the benefits/activities of the project beyond the subproject Project Assistance Completion Date (PACD). Monitoring of the subproject activities continues for two (2) years after PACD.

5.2 Financial Management Systems

OFFPVC contracted the Urban Integrated Consultants, Inc. to conduct continuing monitoring reviews of Co-Financing II and III projects; including program and financial reviews. The Mission conducts a Financial Management Workshop at least once annually, attended by grantee financial analysts. The USAID Office of Financial Management also conducts financial review and monitoring on a continuing basis. Also, the Mission recently implemented a Recipient Contracted Audit to target 15 pilot grantees effective October 1, 1991, and to cover annual financial auditing. After the completion of the PACD; PVOs return all unexpended grant funds to USAID. The Grantee organizations retain any reflows and income generated through grant funds after PACD, and uses these funds in any manner seen fit; but most commonly to continue project activities and/or for re-lending where possible. USAID monitors loan reflows for approximately (2) years after PACD.

5.3 Disposition of Project Commodities

Within ninety (90) days after the Project Assistance Completion Date, USAID requires that the grantee submit a financial report

including a summary of contributions made by USAID, the Grantee, the beneficiaries and other donors (i.e. planned versus actual inputs) and disposition of assets obtained under the Grant. USAID then turns over these project commodities to the project at the project assistance completion date, and the PVO retains them to continue and expand project activities and implementation.

6.0 LESSONS LEARNED/RECOMMENDATIONS/ACTIONS TAKEN

6.1 Lessons Learned

1. Certain regions have received a disproportionately small share of Program assistance, having been reached only through the subprojects of intermediary institutions. These regions are also among the poorest in the country. USAID should perhaps increase its efforts to encourage project proposals from the PVOs for these regions.

2. In some circumstances, PVOs have not rigidly followed the requirement of a minimum 25 percent share in counterpart contribution. Accordingly, the Mission has aligned the guidelines on the local resource contributions to total project cost, in order to better assess the capacity of the PVOs to generate funds. In addition, the Mission is working closely with PVOs in order to accurately value and record "in kind" contributions, and to keep grantees informed of their remaining counterpart contribution requirement.

3. Project implementation revealed variation in the share of direct program expenses not only across but also within program categories. Perhaps the Mission could set more uniform guidelines that would encourage PVO grantees to scrimp on non-program expenses.

4. The household and enterprise survey suggests that project interventions under the Co-Fi Program do have a discernible positive impact on the economic welfare of the beneficiaries.

5. The average interest rates paid by the beneficiaries do not differ much from those paid by non-beneficiaries. In the rural areas, the non-beneficiaries accessing credit from government and commercial banking programs frequently receive a slightly lower average interest rate than the beneficiaries. The credit assistance program, therefore, does not distort local credit markets.

6. The survey also indicates that access to loans per se does not indicate any strong effect on measures of enterprise viability and family welfare. On the other hand, extension work shows a more consistently positive effect. USAID should perhaps encourage such forms of intervention over credit assistance

alone.

7. For income-generating projects, studies showed that most of the activities extended assistance involve retail trade. Although such assistance assists the direct beneficiaries, its multiplier effects frequently do not extend beyond the narrow confines of the community serviced by such enterprises.

8. Part of the rationale for the Co-Fi Program's using PVOs as conduits involves the nature of PVOs, in that they tend to more readily involve themselves in risk-taking in terms of venturing in to new technologies. Perhaps the project should challenge PVO grantees to promote activities that have wider linkages. The retail activities, popular among beneficiaries, may also hamper community development efforts of the PVOs, as these trade activities compete with each other in relatively tight local markets.

9. Assessment teams noted that project beneficiaries tend to have a more positive outlook in life than the non-beneficiaries. Perhaps this is an outcome of the organizational development aspects of most of the projects. The strong positive effect observed with the exposure to the extension variable corroborates this. One can only hope that the development of a positive outlook will act as a prelude to better economic performance on the part of the target beneficiary groups.

10. The data collected from field surveys offer a rich body of information about the Philippine rural and urban populations, with many questions on the types of project interventions that the government and donor agencies alike normally engage in. USAID should open this information for use by other researchers engaged in development studies.

6.2 Recommendations/Action Taken

The following series of recommendations were made by assessment teams from either the UPEcon Foundation or Development Associates, Inc., both of which evaluated the effectiveness and strategies of the PVO Co-Fi program.

1. PVO Co-Fi II contained a number of small-scale income-generating activities, many of them based on credit schemes of various sorts and some involving marketing of agricultural or other products. Some of the PVOs responsible for the subprojects reviewed, possessed limited experience in these areas, and there was questionability regarding the economic viability of some of the activities observed. Perhaps USAID should employ an agricultural economist who could review both on-going and planned income-generating activities to ensure that they are economically sound.

Action Taken:

1b. USAID now gives increased attention to the design of income-generating activities. USAID review of subproject proposals includes examination of each proposal by appropriate technical personnel within USAID and such supplemental technical or other personnel as may be needed on a contract basis. This may include visits to potential subproject sites as well as document reviews, and financial/economic analyses of typical income-generating projects. If appropriate, USAID will also use project technical assistance to provide the services of agricultural economists, financial analysts, or other experts on an as-needed basis to advise PVOs or review proposals for USAID.

2. Most of the subproject grants had a life span of from one to three years. Assessment teams determined that for projects involving village level organization, this time period is generally too short. Consequently, the DAI Evaluation team recommended that USAID adopt guidelines which would permit the addition of up to a one-year phase-out period for three-year grants for subprojects involving community organizing efforts and that the extent, nature and rate of phase-out would be worked out as part of the mid-term assessment of each such grant.

Action Taken:

2b. USAID has a strong preference for continuing the general practice of awarding three-year grants. USAID's experience with subprojects indicates that a three-year time frame imposes the necessary discipline for expeditious implementation. If this discipline were lacking, grantees might well draw out activities to whatever time span USAID would tolerate, which is neither cost-effective nor in the interests of beneficiaries. To ensure compliance with a three-year time frame and at the same time promote attainment of subproject objectives, the Mission emphasized phase-out plans at the design stage to facilitate the transition from a USAID-funded subproject to that of a self-sustaining activity. Only in exceptional cases, when USAID considers it necessary to achieve subproject success, does the Mission authorize extensions of up to one year.

3. Most development practitioners have reached consensus that in order for village level organizations to achieve self-sustainability, some sort of institutional support structure needs to be in place. In the long run, it is logical to look to the GOP to fulfill this need for many activities. However, the government has limited capacities to play such a role, and prior to the collapse of the Marcos regime most PVOs wished not to associate their efforts with the government. While USAID has shown sensitivity to this problem, the DAI team urged that USAID continue to give thought to the various means for providing support structures after grant support concludes.

Action Taken:

3b. USAID has given increased emphasis to PVO linkages with the Philippine government. The mission incorporated this strategy into the Co-Financing III Project purpose. It is recognized, however, that for some subprojects the most appropriate institutional linkage may not be to a government agency. Other institutions, such as universities or private national organizations, may be more appropriate as continuing support mechanisms. In reviewing the sustainability of PVO subproject proposals, USAID will ask PVOs to address the issue of follow-on support structures.

4. The DAI team felt that due to the limited size of the Office of Food For Peace and Voluntary Cooperation Office, (1) USAID should reduce the degree of monitoring and oversight handled by the office; (2) OFFPVC should increase the use of PVOs serving as intermediaries in making grants to smaller PVOs and overseeing their implementation; and (3) USAID should make provisions within project funds to allow for a greater degree of planning and monitoring services.

Action Taken:

4b. USAID increased, in Co-Fi III, utilization of established PVOs as intermediaries, providing necessary oversight and management support for smaller PVOs. In addition, the PVO & Consultants and a local firm contracted by USAID (the Urban Integrated Consultants, Inc.) now provide assistance in project monitoring. Monitoring costs are now included in the overall project budget.

7.0 LOGICAL FRAMEWORK EVALUATION FOR CO-FI II

7.1 CO-Fi II Log Frame Assumptions

Since this PACR presents a report on the PVO Co-Fi II methodology, achievements and implementation, this section will focus on the validity and impact of the assumptions outlined in the log frame at the beginning of the project. Relevant assumptions fell into four main categories: Assumptions for achieving goal targets; Assumptions for achieving purpose; Assumptions for achieving outputs; and Assumptions for providing inputs.

1. *Assumptions for Achieving Goal Targets*

- a. Private Development efforts can be tailored to meet local area needs.
- b. Private resources from beneficiaries and cooperating private organizations can be mobilized to carry out

development efforts that will supplement Government controlled development.

c. Potential beneficiaries will be able to master the skills necessary to plan, implement and mobilize resources for continued development efforts.

d. Government attitude remains favorable to private development efforts.

After the PACD of Co-Fi II, it is easier to assess the validity and impact of the above assumptions. In retrospect, local area needs were expansive enough that private development organizations were able to select the field of expertise and location where they wished to focus their efforts, and let that field determine where they would work. Thus, the first assumption was not a priority factor for consideration. The second assumption proved both valid and accurate. Private voluntary organizations were receptive and diligent in their developmental objectives and efforts. The third assumption also proved to be valid; beneficiaries proved capable of learning and applying the skills and resources they acquired. The fourth assumption, relating to government attitude remaining favorable to private development efforts was also a valid assumption; fortunately no changes in the political environment impeded the progress of the project.

2. *Assumptions for Achieving Purpose*

a. That PVO Co-Fi funds will be added to, not substituted for, the PVO's own development budget.

b. That volunteerism remains both a U.S. and Filipino tradition; and receives corresponding manpower and financial support from the private sector.

c. That additional private resources are mobilized for development activities.

The structure of the PVO Co-Financing project, which provides 75% of total project cost in addition to the PVO's own 25% contribution, enabled the PVOs to expand their scope and level of intervention by increasing their operational budget. The second assumption was valid in its acknowledgement of the important role played by the U.S. commitment to the project; but the question of Philippine commitment to volunteerism probably did not require consideration as a factor with potential to harm the project. In any country where there are large numbers of poor and large numbers of well-established PVOs, it is unlikely to see a reversal in social responsibilities that would wipe out the entire volunteer movement across the country. The third assumption may have been misplaced. Although the ability of PVOs to generate additional funding could affect the size and success of the project, PVOs must come up with 25% of project cost in order to take part in the program; therefore additional private resources are, by definition, mobilized for development activities. PVOs want to access more money from USAID to

implement larger projects, and they worked harder to raise more funding to cover their share of project cost.

3. *Assumptions for Achieving Outputs*

- a. Philippine government will continue to allow U.S. and international PVOs to operate in the country.
- b. A number of Filipino PVOs have or will be able to develop organizational capacity necessary for certification or eligibility.
- c. That training needs of PVOs will be identified and can be satisfied with resources available.
- d. PVOs will find Co-Financing grants a useable additional resource whereby they can expand their development activities.

The first assumption was reasonable, given the rapidly evolving political environment in the Philippines coupled with strong nationalistic leanings; however, development resource contributions from international donors would most likely not be restricted, as they are desperately needed. The second assumption may have been unnecessary, since at the time of the design of PVO Co-Fi II, a sufficient number of Filipino PVOs had already achieved registration with USAID; and even if they had not, international and U.S. PVOs would have implemented the Philippine projects. The training needs of PVOs were identified and served on a large scale. The fourth assumption was valid in that it questioned not the financial resources provided by USAID, but the other reporting and documentation requirements. The PVO community has found the requirements, though somewhat cumbersome at times, manageable and reasonable in support of the financial assistance they received.

4. *Assumptions for Providing Inputs*

USAID:

- a. Allotments sufficient to fund project activities are available to the Mission.
- b. Excess Property is available.
- c. USAID through staff and/or contractor can supply TA consultative assistance not available through PVO channels.
- d. That training requirements can be met by USAID staff and contractors.

Other Resources:

- a. That beneficiaries and other private sources have resources that can be mobilized for development activities.
- b. That grantee PVOs will be able to mobilize non-U.S. government resources in cash or in kind to meet approximately 50% of the total project costs.
- c. That all participants in a development project will have the resources and technical/managerial capacity to perform

their part of the project as described in the grant agreement.

The assumption that USAID allotments will be sufficient to fund project activities is perhaps the most significant one in terms of potential to harm the Co-Fi project. USAID was able to augment funding for PVO Co-Fi II, and the project flourished. Excess property was not perhaps a tremendously significant assumption, since most grantees were able to purchase needed acquisitions from grant or counterpart funds. The third and fourth assumptions, that USAID be able to provide TA, training, and consultative services, was valid in that project officers were relied upon for monitoring and basic administrative supervision; however, other independent contractor-agencies and government organizations provided a substantial amount of the technical assistance that was required.

The first assumption under "Other Resources" did not require consideration, as all beneficiaries have "resources that could be used for development activities" - their labor. The second assumption, that PVOs could mobilize resources to cover approximately 50% of project costs, may also have been unnecessary. PVOs operating development projects by definition have some scale of resources and operations; their projects were therefore scaled to represent their maximum contribution. In the case of smaller, newer PVOs, their 25% frequently represented all of their resources combined. The third assumption may also have been superfluous. The USAID PVO registration guidelines work to assure that PVOs receiving USAID grants have the administrative capability and history to effectively implement a grant; as has been the case, except where fraud or theft occurred. Overall, most of the assumptions presented in the PVO Co-Fi II logframe were valid. In hindsight, there should perhaps have been some assumption related to the impact of natural disasters, and their potential to damage and/or destroy PVO projects.

8.0 PROJECT EVOLUTION

The first five years of implementation of Co-Fi II provided valuable information for the design of Co-Fi III. Grants under Co-Fi II focussed on building the capacities of PVOs in three sectors: agriculture, primary health care, and micro-enterprise. In 1989 the Mission designed PVO Co-Fi III to address those major sectoral foci using five new strategies: (1) further development and strengthening of IIs, (2) increasing the developmental activities of cooperatives, (3) facilitation linkages between PVOs and beneficiaries on the one hand and local government units and private organizations on the other, (4) development and increased participation of Muslim and ethnic PVOs, and (5) environmental rehabilitation and conservation.

Co-Fi II concentrated on strengthening local communities through community organization and mobilization efforts. Although this will continue, the major focus of Co-Fi III centers on building the capacity of IIs in order to more effectively service the rural areas of the Philippines. While the Mission reserved a portion of grant funds for small, high priority grants to implementing PVOs, the majority of funds went to Intermediary Institutions for subgranting to smaller grassroots organizations and for their own institutional development. The implementing strategy that evolved from Co-Fi II involved graduating more and more PVOs to II status, and to gradually increase their ability to handle multi-source funds and multi-focus subprojects.

The PVO Co-Financing Project continues to emphasize capacity-building for PVOs who act as IIs, for cooperatives engaged in development activities, for Muslim and ethnic PVOs, and for local government development structures. Co-Fi III also encourages closer cooperation between LGUs and PVOs. The Mission achieves this by promoting PVO activities that are collaborative in nature and which enhance the mobilization and most efficient use of both PVO and government resources. It encourages the use of each other's organizational networks and delivery structures and puts special emphasis on maintaining close communication and feedback links. This approach optimizes the use of scarce resources and eliminates potential competition in development activities, especially at the local level.

The role of women as both participants and beneficiaries continues to be a major consideration in the selection of proposals and in the design of subprojects. The record of the Philippines is significant in this area. Women have established and currently operate many of the PVOs with which the Mission has close and continuing cooperative relationships. Sixty percent of the Philippine PVOs with which USAID worked under the Co-Fi II project have women in top leadership positions. The PVO Co-Financing III project continued to emphasize subprojects that promote the active participation of women at both leadership and beneficiary levels.

PVO Co-Fi I and II demonstrated that grants to PVOs for planning and executing development projects in combination with a range of training activities and technical assistance result in stronger, more efficient grantee organizations. Co-Fi III further encouraged this evolution in order to widen the impact of subprojects and extend projects into areas where it is not cost-effective for USAID to reach.

PROJECT EXPENDITURES AND PVO CONTRIBUTION

PVO		PVO CO-FI II PROJECTS: CHRONOLOGICAL BY SIGNING DATE					
COUNTERPART CONTRIBUTION							
NO.	GRANTEE	PROJECT TITLE	TOTAL PROJECT COST	PVO PLANNED CONTRIBUTION	PVO ACTUAL CONTRIBUTION	PERCENTAGE OF TOTAL PROJECT COST FROM PVO	COMPLETION DATE
1.	Notre Dame Educational Association	Business Resource Center I	\$641,071.68	\$160,893.88	151,039.40	24%	September 30, 1989
2.	Santa Cruz Mission	Ecological Family Farm	1,602,904.78	683,286.27	362,335.82	23%	June 13, 1988
3.	International Human Assistance Program	Integrated Honeybee Project	93,028.00	0.00	0.00	0%	July 20, 1986
4.	Innovators for Rural Development	Mini-Processing Plant for Coconut	112,312.00	30,500.86	27,495.15	24%	July 29, 1987
5.	Salesian Society	Rehab. Program for Jail Inmates	410,802.82	139,965.34	132,963.62	32%	October 31, 1989
6.	Phil. Business for Social Progress	Upgrading Credit Cooperatives	826,625.25	318,497.45	258,013.90	31%	December 31, 1987
7.	The Asia Foundation	Silliman Univ. Marine Conservation	171,198.00	0.00	0.00	0%	August 3, 1986
8.	Agricultural Development Council	Agricultural Policy Development	320,000.00	0.00	0.00	0%	December 27, 1986
9.	CARE/Philippines	Negros Occidental Dev't. Assistance Program	500,000.00	0.00	0.00	0%	May 25, 1987
10.	Dansalan College Foundation	Development for Low Income Muslims	164,223.05	40,691.16	40,691.16	25%	August 30, 1988
11.	Development of People's Foundation	Bilaan TBoli Agrotech Program	357,676.55	147,304.27	132,566.34	37%	July 4, 1988
12.	Foundation for Educ. Evol. & Development	First Farmers Human Resource Dev't.	1,068,945.66	580,245.44	526,030.64	49%	September 17, 1988
13.	Phil. Business for Social Progress	Negros Occidental Development Program	950,374.59	298,361.18	162,629.59	17%	July 20, 1988
14.	Phil. Business for Social Progress	Capiz Bgy. High School Agri Dev't. Program	191,002.66	52,113.77	42,291.95	22%	September 29, 1988
15.	Ramon Aboliz Foundation, Inc.	Int. Farm Dev't. and Prod.	550,478.28	163,164.71	135,397.65	26%	September 24, 1988
16.	Tulay sa Pag-Unlad, Inc.	Small Enterprise Development	860,220.34	406,048.22	351,458.35	41%	May 15, 1988
17.	Winrock (CPDS)	Agricultural Policy Analysis	542,200.00	0.00	0.00	0%	August 30, 1988
18.	Ramon Aboliz Foundation, Inc.	USC Water Resource Center	183,420.00	52,127.91	52,451.61	29%	December 31, 1988
19.	Catholic Relief Services	Organization & Dev't. of Farmers' Coops	232,174.27	101,181.81	87,464.65	38%	March 31, 1989
20.	Medical Ambassadors Philippines	Primary Health Project	652,310.00	387,388.83	358,824.01	55%	February 19, 1989
21.	Population Center Foundation	Health Resource Distribution Program I	134,624.50	41,167.27	39,202.80	29%	May 31, 1990
22.	Phil. Business for Social Progress	Barrio Water Systems Project	118,247.70	68,247.70	42,550.86	36%	September 4, 1987
23.	Ecum. Foundation for Mino. Dev't.	Aeta Upland Development Project	175,938.35	48,576.65	39,073.06	22%	May 15, 1989
24.	International Human Assistance Program	Agro-Forestry and Upland Dev't. Project	367,356.50	99,897.60	50,928.72	14%	February 28, 1989
25.	Jaime V. Ongpin Foundation, Inc.	Benquet Community Dev't. Project	352,671.84	133,571.84	99,684.16	28%	August 30, 1989
26.	Salesian Society	Out-of-School Youth Training Project	83,500.35	33,500.35	3,327.07	4%	July 1, 1989
27.	Small Enterprise Research & Dev't. Foundation	Micro-Enterprise Dev't. Project	389,536.25	98,802.85	107,315.81	28%	August 31, 1989
28.	Care Philippines (Mindoro Project)	Upland Farmers Prod. Program	394,214.00	227,237.00	227,237.00	58%	August 29, 1989
29.	Development of People's Foundation	Project CHILD	1,865,907.20	799,452.70	809,518.78	43%	August 22, 1990
30.	Negros Economic Development Foundation	Negros Development Assistance Program	504,592.40	115,987.10	116,502.91	23%	May 13, 1990
31.	Phil. Business for Social Progress	Phil. Social Dev't. Center Project	765,958.75	483,958.75	1,200,310.60	157%	June 30, 1990
32.	The Andres Soriano Foundation	Small Island Pilot Project	181,164.55	60,884.70	105,271.44	58%	December 31, 1990
33.	Save the Children Federation	C-BIRD Project	203,530.00	54,195.00	179,505.94	88%	August 28, 1990

COUNTERPART CONTRIBUTION							
NO.	GRANTEE	PROJECT TITLE	TOTAL PROJECT COST	PVO PLANNED CONTRIBUTION	PVO ACTUAL CONTRIBUTION	PERCENTAGE OF TOTAL PROJECT COST FROM PVO	COMPLETION DATE
34.	Kapwa Upliftment Foundation, Inc.	Malabog Livelihood Prom. Program	548,155.93	210,771.30	220,255.24	40%	July 15, 1991
35.	Actuator for Socio-Economic Progress	Rural Enterprise Development	99,724.60	24,724.60	44,170.07	44%	September 30, 1989
36.	Cooperative Housing Foundation	Community Dev't. & Shelter Program	293,850.00	116,400.00	55,686.90	19%	March 16, 1990
37.	Mother Rosa Memorial Foundation	Productivity Program in Pampanga	209,599.40	52,709.40	103,866.72	50%	May 15, 1990
38.	Facambaysyong Foundation, Inc.	Mutual Aid for Shelter Development	221,070.65	77,582.50	107,994.33	49%	July 30, 1990
39.	Pilipinas Shell Foundation, Inc.	Agricultural & Industrial Skills Training	161,024.00	74,163.95	94,468.26	59%	July 31, 1990
40.	Xavier Science Foundation	Project Loyola	272,339.45	94,185.05	42,950.70	16%	April 23, 1990
41.	Ramon Aboliz Foundation, Inc.	Development Assistance Program for NGOs	781,952.35	200,430.00	209,468.73	27%	July 1, 1991
42.	Foundation for Educ. Evol. & Dev't.	Development Assistance for NGOs	697,335.65	175,685.65	174,316.76	26%	September 27, 1992
43.	Pearl S. Buck Foundation	Development Program for Street Children	159,491.21	63,976.50	62,724.24	39%	September 30, 1992
44.	Xavier University	PVO Management Workshop	20,000.00	0.00	0.00	0%	June 7, 1988
45.	Notre Dame Educ. Arsn./BRC(Support Grant)	Project Dev't. Workshop - Muslim	20,000.00	0.00	0.00	0%	August 25, 1989
46.	PAFID	Tribal Filipino Program	87,104.67	22,104.67	41,448.66	48%	December 14, 1989
47.	Ramon Aboliz Foundation, Inc.	PVO Management Workshop	25,000.00	0.00	0.00	0%	March 25, 1989
48.	South Cotabato Foundation, Inc.	Southern Upland Agrotechnology	134,000.00	34,000.00	34,155.07	25%	December 31, 1989
49.	CAPE Philippines	Rural Capital Formation Project	146,404.00	17,117.07	9,597.56	7%	August 30, 1991
50.	Paninindeg sa Ranaw Foundation	Maranao Agro-Forestry Development	67,117.07	17,117.07	9,597.56	14%	September 30, 1990
51.	Phil. Business for Social Prog. (Support Grant)	Institutional Development Program	23,724.00	0.00	0.00	0%	April 30, 1990
52.	Phil. Business for social Progress	Provincial Development Center Project	698,379.60	171,416.60	132,005.94	19%	June 30, 1990
53.	Pilipinas Shell Foundation, Inc.	Agricultural Training Program	190,023.31	70,822.61	124,455.66	65%	August 11, 1990
54.	Ilaw International Center	Remde Islands Development Project	351,880.19	87,962.53	78,550.78	22%	December 15, 1991
55.	Mercy Corps International	Iloilo Economic Development Project	222,027.82	64,173.70	63,580.52	29%	September 29, 1991
56.	Mother Rosa Memorial Foundation	Tarlac Integrated Development Project	330,428.29	85,428.29	28,132.21	9%	September 20, 1991
57.	Tulay sa Pag-Unlad Inc.	Small Enterprise Development II	294,631.88	91,613.80	144,153.88	49%	July 1, 1991
58.	Xavier Science Foundation, Inc.	Mindanao LUMAD & Muslim Dev't. Center	157,429.46	38,682.92	47,120.36	30%	November 30, 1991
59.	Jaime V. Ongpin Foundation, Inc.	Benguet Livelihood Development Project	303,429.90	79,088.43	78,550.78	26%	March 31, 1992
60.	St. Louis University/EISSIF	Small Enterprise Development Project	235,203.90	59,142.73	47,120.36	20%	March 31, 1992
61.	Notre Dame Educational Association	Business Resource Center II	339,126.24	101,740.09	116,510.04	34%	May 31, 1992
62.	Saw the Children Federation	Integrated Resource Development Project	405,545.02	114,968.92	121,910.07	30%	August 21, 1992
63.	Credit Union National Association	Strengthening Domestic Capital	1,167,516.00	267,516.00	267,516.00	23%	September 30, 1992
64.	Development of People's Foundation	Accelerated Area Development Project	1,592,490.57	445,641.45	637,391.08	40%	September 30, 1992
TOTAL COUNTERPART CONTRIBUTION			\$26,224,213.66	\$8,666,414.64	\$8,940,079.87	34%	

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CATEGORIZATION OF SUBPROJECT COMPONENT

PVO CO-FI II SUBPROJECT ACTIVITY BREAKDOWN
BY PROJECT ASSISTANCE COMPLETION DATE (PACD)

C O M P O N E N T

NO.	GRANTEE	GRANT NUMBER	GRANT AMOUNT	INST. BLDG/TRNG		HEALTH CARE & OTHER SERVICES		MICRO CREDIT/ MICROENT., IGP's		AGRICULTURAL CR. & TECH. ASSISTANCE		ENVIRONMENTAL REHABILITATION		O T H E R S	
				%	AMOUNT	%	AMOUNT	%	AMOUNT	%	AMOUNT	%	AMOUNT	%	AMOUNT
FISCAL YEAR 1986															
1.	Agricultural Dev't. Council	5091	320,000.00							100%	320,000.00				
2.	Int'l. Human Assistance Program	4084	93,028.00							100%	93,028.00				
3.	The Asia Foundation	9087	171,198.00									100%	171,198.00		
FISCAL YEAR 1987															
4.	CARE/Philippines	5099	500,000.00	40%	200,000.00			60%	300,000.00						
5.	Inv'ts. for Rural Development	4086	133,907.00	10%	13,390.70					90%	120,516.30				
6.	Philippine Business for Social Progress	6027	50,000.00	25%	12,500.00							75%	37,500.00		
7.	Philippine Business for Social Progress	4091	547,541.00	25%	136,885.25			75%	410,655.75						
FISCAL YEAR 1988															
8.	Dansalan College Foundation	5073	121,754.00	30%	36,526.20			80%	97,403.20						
9.	Development of People's Foundation	5094	196,788.00	40%	78,715.20					60%	118,072.80				
10.	Foundation for Educ. Evol. & Dev't.	5058	448,187.00	25%	112,046.75					75%	336,140.25				
11.	Philippine Business for Social Progress	6001	600,000.00	25%	150,000.00					75%	450,000.00				
12.	Philippine Business for Social Progress	6002	133,333.00	50%	66,666.50					50%	66,666.50				
13.	Ramon Aboitiz Foundation, Inc.	6020	183,277.00	40%	73,310.80					60%	109,966.20				
14.	Santa Cruz Mission	4070	652,449.00							50%	326,224.50	50%	326,224.50		
15.	Tulay sa Pag-Unlad, Inc.	5081	408,461.00	10%	40,846.10					90%	367,614.90				
16.	Winrock (CPDS)	5091	542,200.00	80%	433,760.00					20%	108,440.00				
17.	Xavier Science Foundation, Inc.	8101	20,000.00	100%	20,000.00										
18.	Ramon Aboitiz Foundation, Inc.	6003	120,759.00									100%	120,759.00		
FISCAL YEAR 1989															
15.	Actuator for Socio-Econ. Prog.	7030	75,000.00	45%	33,750.00			55%	41,250.00						
20.	Catholic Relief Services	6014	140,170.00	20%	28,034.00					80%	112,136.00				
21.	Ecum. Foundation for Mino. Dev't.	6037	127,362.00	10%	12,736.20					90%	114,625.80				
22.	Int'l. Human Assistance Program	6088	267,459.00	10%	26,745.90			20%	53,491.80	5%	13,372.95	65%	173,848.35		
23.	Jaime V. Ongpin Foundation	6089	100,000.00					100%	100,000.00						
24.	Medical Ambassadors Philippines	5056	304,035.00	40%	121,614.00	60%	182,421.00								
25.	No're Dame Educ. Assn./BRC (Spl. Grant)	8188	20,000.00	100%	20,000.00										
26.	No're Dame Educ. Assn./BRC I	4050	494,965.00	45%	222,734.25			55%	272,230.75						
27.	PAFID	8138	65,000.00	100%	65,000.00										
28.	Ramon Aboitiz Foundation, Inc.	8186	25,000.00	100%	25,000.00										

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C O M P O N E N T

NO.	GRANTEE	GRANT NUMBER	GRANT AMOUNT	INST. BLDG/S. TRNG		HEALTH CARE & OTHER SERVICES		MICRO CREDIT/ MICROENT., IGP's		AGRICULTURAL CR. & TECH. ASSISTANCE		ENVIRONMENTAL REHABILITATION		O T H E R S	
				%	AMOUNT	%	AMOUNT	%	AMOUNT	%	AMOUNT	%	AMOUNT	%	AMOUNT
29.	Salesian Society	6039	50,000.00	100%	50,000.00										
30.	Salesian Society	4090	257,000.00	100%	257,000.00										
31.	Small Enterprise Dev't Fnd. (SERDEF)	6071	290,733.00	30%	87,219.90			35%	101,756.55					35%	101,756.55
32.	South Cotabato Foundation	8063	100,000.00	30%	30,000.00					50%	50,000.00	20%	20,000.00		
33.	Care Philippines (Mindoro Project)	6044	201,977.00	60%	121,186.29					40%	80,790.80				
34.	Cooperative Housing Foundation	7039	307,200.00	10%	30,720.00									90%	276,480.00
35.	Development of People's Foundation	6082	1,026,467.00	35%	359,263.45	65%	667,203.55								
36.	Mother Rosa Memorial Foundation	7031	150,000.00	33%	49,500.00			67%	100,500.00						
37.	Negros Economic Development Foundation	6036	375,000.00	40%	150,000.00					60%	225,000.00				
38.	Pagambayayong Foundation, Inc.	7033	137,000.00	40%	54,800.00			60%	82,200.00						
39.	Paninindog sa Ranaw Foundation	8168	50,000.00	52%	26,000.00							48%	24,000.00		
40.	Phil. Bus. for Social Progress (Spt. Grant)	8196	23,724.00	100%	23,724.00										
41.	Phil. Bus. for Social Progress	6090	340,000.00	100%	340,000.00										
42.	Phil. Bus. for Social Progress	8128	500,000.00	55%	275,000.00	10%	50,000.00	35%	175,000.00						
43.	Pilipinas Shell Foundation, Inc.	8139	140,000.00	100%	140,000.00										
44.	Pilipinas Shell Foundation, Inc.	7050	83,000.00	100%	83,000.00										
45.	Population Center Foundation	6004	821,073.00	30%	246,321.90	70%	574,751.10								
46.	The Andres Soriano Foundation	6030	114,000.00	35%	39,900.00	35%	39,900.00	30%	34,200.00						
47.	Save the Children Federation	6087	162,584.00	10%	16,258.40	90%	146,325.60								
48.	Xavier Science Foundation	7023	180,654.00			50%	90,327.00	50%	90,327.00						
FISCAL YEAR 1991															
49.	CARE Philippines	8176	100,000.00	100%	100,000.00										
50.	Ilaw International Center	8136	220,000.00	20%	44,000.00			80%	176,000.00						
51.	Kapwa Upliftment Foundation, Inc.	6035	311,049.00	50%	155,524.50			50%	155,524.50						
52.	Mercy Corps International	8187	153,000.00	28%	42,840.00			57%	87,210.00	15%	22,950.00				
53.	Mother Rosa Memorial Foundation	8141	245,000.00	50%	122,500.00			50%	122,500.00						
54.	Ramon Aboitiz Foundation, Inc.	7055	539,357.00	22%	118,658.54			26%	140,232.82	26%	140,232.82	26%	140,232.82		
55.	Tulay sa Pag-Unlad Inc.	8077	200,000.00	17%	34,000.00			83%	166,000.00						
56.	Xavier Science Foundation	8071	100,000.00	40%	40,000.00	10%	10,000.00	20%	20,000.00	20%	20,000.00	10%	10,000.00		
FISCAL YEAR 1992															
57.	Jaime V. Ongpin Foundation	8133	200,000.00	40%	80,000.00			60%	120,000.00						
58.	St. Louis University - EISSIF	8065	150,000.00	25%	37,500.00			75%	112,500.00						
59.	Notre Dame Educ. Association	8059	200,000.00	75%	150,000.00			25%	50,000.00						
60.	Save the Children Federation	8129	262,623.00	50%	131,311.50	50%	131,311.50								
61.	Credit Union National Association	8175	900,000.00	30%	270,000.00			70%	630,000.00						
62.	Development of People's Foundation	8076	1,000,000.00	50%	500,000.00	50%	500,000.00								
63.	Foundation for Educ. Evol. & Dev't	7032	449,769.00	12%	53,972.28			44%	197,898.36	44%	197,898.36				
64.	Pearl S. Buck Foundation	7022	62,209.00	25%	15,552.25	50%	31,104.50	25%	15,552.25						
T O T A L			17,265,292.00	36%	6,206,014.77	14%	2,423,344.25	22%	3,852,432.98	20%	3,393,676.18	6%	1,023,762.67	2%	378,236.55

LISTING OF SUBPROJECTS BY SIGNING DATE

PVO CO-FINANCING II (492-0367)					
SIGNING DATE					
NO.	NAME OF GRANTEE	GRANT NUMBER	PROJECT TITLE	AMOUNT	PACD
FISCAL YEAR 1984					
1.	Notre Dame Educational Association	4050	Business Resource Center (BRC)	\$494,965.00	9/30/89
2.	Santa Cruz Mission	4070	Ecological Family Farm	652,449.00	6/13/88
3.	International Human Assistance Program	4084	Integrated Honeybee Project	93,028.00	7/20/86
4.	Innovators for Rural Development	4086	Mini-Processing Plant for Coconut	133,907.00	7/29/87
5.	Salesian Society	4090	Rehabilitation Program for Jail Inmates	257,000.00	10/31/89
6.	Philippine Business for Social Progress	4091	Upgrading Credit Cooperatives	547,541.00	12/31/87
7.	The Asia Foundation	4101	Siliman University Marine Conservation	171,198.00	8/30/86
FISCAL YEAR 1985					
8.	Agricultural Development Council	5091	Agricultural Policy Development	320,000.00	12/27/86
9.	CARE/Philippines	5099	Negros Occidental Development Assistance Program	500,000.00	5/25/87
10.	Dansalan College Foundation	5073	Development for Low Income Muslims	121,754.00	8/30/88
11.	Development of People's Foundation	5094	Bilaan T'Boli Agrotech Program	196,788.00	7/4/88
12.	Foundation for Educational Evolution and Development	5058	First Farmers Human Resource Development	448,187.00	9/17/88
13.	Philippine Business for Social Progress	6001	Negros Occidental Development Assistance Program	600,000.00	7/20/88
14.	Philippine Business for Social Progress	6002	Capiz Barangay High School Agri. Development Program	133,333.00	8/29/88
15.	Ramon Aboitiz Foundation, Inc.	6020	International Farm Development and Prod. (Cebu)	183,277.00	9/24/88
16.	Tulay Sa Pag-Unlad, Inc.	5081	Small Enterprise Development	408,861.00	5/15/88
17.	Winrock (CPDS)	5091	Agricultural Policy Analysis	542,200.00	9/30/88
18.	Ramon Aboitiz Foundation, Inc.	6003	USC Water Resource Center	120,759.00	12/31/88
19.	Catholic Relief Services	6014	Organization and Development of Farmers' Cooperative	140,170.00	3/31/89
20.	Medical Ambassadors Philippines	5056	Primary Health Project	304,035.00	2/19/89
21.	Population Center Foundation	6004	Health Resource Dist. Program I	821,073.00	5/31/90
FISCAL YEAR 1986					
22.	Philippine Business for Social Progress	6027	Barrio Water Systems Project	50,000.00	9/4/87
23.	Ecumenical Foundation for Minority Development	6037	Aeta Upland Development Project	127,362.00	5/15/89
24.	International Human Assistance Program	6088	Agro-Forestry and Upland Development Project	267,459.00	2/28/89
25.	Jaime V. Ongpin Foundation	6089	Benguet Community Development Project	100,000.00	8/30/89
26.	Salesian Society	6039	Out-of-School Youth Training Project	50,000.00	7/1/89
27.	Small Enterprise Research & Development Foundation	6071	Micro-Enterprise Development Project	290,733.00	8/31/89
28.	CARE Philippines	6044	Upland Farmers Prod. Program	201,977.00	8/29/90
29.	Development of People's Foundation	6082	Project CHILD	1,026,467.00	8/30/90
30.	Negros Economic Development Foundation	6036	Negros Economic Assistance Program	375,000.00	5/13/90
31.	Philippine Business for Social Progress	6090	Philippine Social Development Center Project	340,000.00	6/30/90
32.	The Andres Soriano Foundation	6030	Small Island Pilot Project	114,000.00	12/31/92
33.	Save the Children Federation	6087	C-BIRD Project	162,584.00	8/28/90
34.	Kapwa Upliftment Foundation, Inc.	6035	Malabog Livelihood Prom. Program	311,049.00	7/19/91

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NO.	NAME OF GRANTEE	GRANT NUMBER	PROJECT TITLE	AMOUNT	PACD
FISCAL YEAR 1987					
35.	Actuator for Socio-Economic Program	7030	Rural Enterprise Development	75,000.00	9/30/89
36.	Cooperative Housing Foundation	7039	Community Development and Shelter Program	307,200.00	3/16/90
37.	Mother Rosa Memorial Foundation	7031	Productivity Program in Pampanga	150,000.00	5/15/90
38.	Pagtambayayong Foundation, Inc.	7033	Mutual Aid for Shelter Development	137,000.00	7/30/90
39.	Pilipinas Shell Foundation, Inc.	7050	Agricultural and Industrial Skills Training	83,000.00	7/31/90
40.	Xavier Science Foundation	7023	Project LOYOLA	180,654.00	4/23/90
41.	Ramon Aboitiz Foundation, Inc.	7055	Development Assistance Program for NGOs	539,357.00	7/1/91
42.	Foundation for Educational Evolution and Development	7032	Development Assistance for NGOs	449,769.00	9/27/92
43.	Pearl S. Buck Foundation	7022	Development Program for Street Children	62,209.00	9/30/92
FISCAL YEAR 1988					
44.	Xavier University	8101	PVO Management Workshop	20,000.00	6/7/88
45.	Notre Dame Educational Association (Support Grant)	8188	Project Development Workshop - Muslim	20,000.00	8/25/89
46.	PAFID	8138	Tribal Filipino Program	65,000.00	12/14/89
47.	Ramon Aboitiz Foundation, Inc.	8186	PVO Management Workshop	25,000.00	3/25/89
48.	South Cotabato Foundation	8063	Southern Upland Agrotechnology	100,000.00	12/31/89
49.	Parinideg sa Ranaw Foundation	8168	Maranao Agroforestry Development	50,000.00	9/30/89
50.	Philippine Business for Social Progress (Support Grant)	8196	Institutional Development Program	23,724.00	4/30/90
51.	Philippine Business for Social Progress	8128	Provincial Development Program	500,000.00	6/30/90
52.	Pilipinas Shell Foundation, Inc.	8139	Agricultural Training Program	140,000.00	8/11/90
53.	Ilaw International Center	8136	Remote Islands Development Project	220,000.00	12/15/91
54.	Mercy Corps International	8187	Iloilo Economic Development Project	153,000.00	9/29/91
55.	Mother Rosa Memorial Foundation	8141	Tarlac Integrated Development Project	245,000.00	9/20/91
56.	Tulay Sa Pag-Unlad, Inc.	8077	Small Enterprise Development II	200,000.00	7/1/91
57.	Xavier Science Foundation	8071	Mindanao LUMAD & Muslims Development Center	100,000.00	11/30/91
58.	Jaime V. Ongpin Foundation	8133	Benguet Livelihood Development Project	200,000.00	3/31/92
59.	St. Louis University-EISSIF	8065	Small Enterprise Development Project	150,000.00	3/31/92
60.	Notre Dame Educational Association	8059	Business Resource Center II	200,000.00	5/31/92
61.	Save the Children Federation	8129	Integrated Resource Development Project	262,623.00	8/21/92
62.	Credit Union National Association	8175	Strengthening Domestic Capital	900,000.00	9/30/92
63.	Development of People's Foundation	8076	Accelerated Area Development Project	1,000,000.00	9/30/92
64.	CARE Philippines	8176	Rural Capital Formation Project	100,000.00	8/30/91
TOTAL CO-FI GRANTS				\$17,265,692.00	

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▨ - INDICATES REPEAT GRANTEE ORGANIZATION

Annex D: Number of Subproject Grants By Category

CATEGORIES BY SECTOR	DATE GRANT SIGNED					TOTAL
	1984	1985	1986	1987	1988	
CATEGORIES/AREA						
I. Increased Agri. Productivity						
a. Agriculture/Agri-credit	3	4	5	1	0	13
b. Agriculture Policy	0	1	0	0	0	1
c. Marine/Agro/Environ. Rehab.	1	1	0	0	1	3
Total	4	6	5	1	1	
II. Improved Health						
a. Primary Health Care	0	2	1	0	0	3
b. Water Development	0	1	1	0	0	2
c. Health Care/Income-generation	0	0	0	1	2	3
Total	0	3	2	1	2	
III. Microenterprise Development						
a. Mirco-Ent Credit/Instit-Bldg.	2	1	4	2	6	15
b. Vocational Education	1	0	1	1	1	4
Total	3	1	5	3	7	
IV. Multi-Sector						
a. Agri./Micro-Enterprise	0	0	1	2	4	7
b. Agri/Micro-Enter/Health	0	4	4	0	2	10
c. Institution-Building	0	0	0	1	4	5
d. Low-Cost Housing	0	0	0	1	0	1
Total	0	4	5	4	10	
GRAND TOTAL	7	14	17	9	20	67

FREQUENCY DISTRIBUTION OF CO-FI II GRANTS

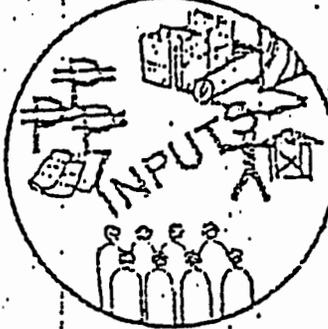
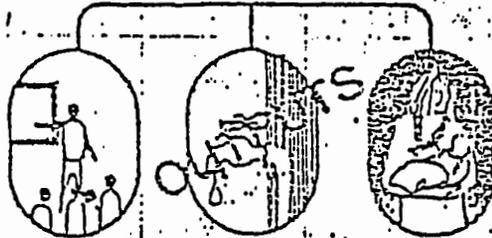
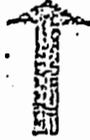
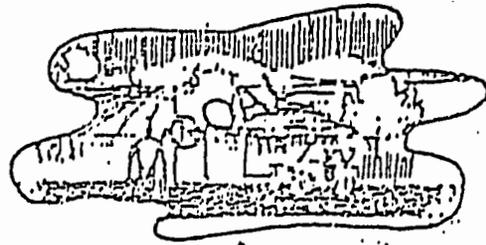
GRANT AMOUNT (\$)	FREQUENCY	DISTRIBUTION (%)
\$50,000 or less	7	11
\$50,001 to \$100,000	10	16
\$100,001 to \$150,000	11	17
\$150,001 to \$200,000	8	13
\$200,001 to \$300,000	7	11
\$300,001 to \$400,000	6	9
\$400,001 to \$500,000	6	9
More than \$500,000	9	14
Total	64	100
PROJECT COST (\$)		
\$50,000 or less	4	6
\$50,001 to \$100,000	5	8
\$100,001 to \$150,000	5	8
\$150,001 to \$200,000	10	16
\$200,001 to \$300,000	9	14
\$300,001 to \$400,000	10	16
\$400,001 to \$500,000	3	5
More than \$500,000	18	28
Total	64	100
DURATION		
12 months or less	3	5
13 to 24 months	10	16
25 to 36 months	22	34
37 to 48 months	20	31
More than 48 months	9	14
Total	64	100
PVO SHARE		
Less than 25%	27	42
25% to less than 50%	29	45
50% to less than 75%	6	9
75% or higher	2	3
Total	64	100
USAID SHARE		
Less than 25%	0	0
25% to less than 50%	9	14
50% to less than 75%	37	58
75% or higher	18	28
Total	64	100

APPENDIX F

USAID TRAINING AND DEVELOPMENT ACTIVITIES
UNDER PVO CO-FINANCING II PROJECT

1. Orientation Session I.....August 1981
2. Orientation Session II.....August 1982
3. Orientation Session III.....August 1983
4. Orientation Session IV.....August 1984
5. Orientation Session V.....August 1985
6. Orientation Session VI.....September 1986
7. Cost Effectiveness Analysis Seminar.....October 1985
8. Working Group Conference on Data Collection...January 1985
for Baseline and Evaluation; Tagbilaran,
Bohol
9. Income Generating Projects: A Working Seminar....April 1986
10. Workshop on Project Appraisal, Monitoring.....February 1986
and Evaluation
11. Working with Cultural Minorities Seminar.....July 1985
12. Working with Cultural Minorities Seminar.....January 1986
13. Project Development Workshop.....December 1986
14. Field Visitation Program for PVO Managers.....October 1986
Involved in Rainfed and Upland Agriculture
15. USAID-Supported Training for Ten PVO Managers.....1986
at the Asian Institute of Management

THE USAID PRIVATE VOLUNTARY ORGANIZATION CO-FINANCING PROGRAM (PVO-CO-FI) PROJECT PROPOSAL FORMAT



U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
Manila, Philippines

USAID PVO CO-FINANCING PROGRAM
PROJECT PROPOSAL FORMAT

A. Cover Sheet

Fill in information requested in the cover sheet.

If a subgrantee is involved, fill in information concerning this organization. If no sub-grantee is involved, state none.

Grant period refers to the proposed number of years of USAID funding.

Project Coverage Area means the barangays, towns, and provinces where the actual beneficiaries reside and where the project activities will take place.

Project Summary should be a very brief description of the project.

B. Table of Contents

Provide a table of contents. List the appropriate pages. Add titles and pages of additional sections and annexes.

C. Instructions for Preparation of Main Elements of the Proposal (PLEASE LIMIT TO TEN (8 x 11) SINGLE-SPACED TYPED PAGES.)

I. Statement of the Problem

a. Problem: Describe briefly the development problem which you are attempting to address and note relevant studies or other evidence which establishes that the problem exists. State the purpose of the proposed project.

b. Summary Baseline Information: Provide a profile of the beneficiaries of the project. List the number to be directly affected, and those indirectly affected. Describe relevant beneficiary characteristics such as income level, ethnic group, age, location, employment, sex, organization and community group membership, etc. Focus only on beneficiary characteristics that are related to the proposed intervention. If project is a health intervention -- health characteristics of beneficiary should be the focus of the discussion. Other related characteristics should be discussed very briefly. Outline conditions which presently exist and which you expect to change.

c. Work To Date/Administrative Capability: Explain how you became aware of the problem and what has been done by your organization in the problem area to date. Describe the activities of the Philippine Government or other development organizations to overcome the problem and explain how your project will complement or supplement these activities. Give information about your organization's capabilities to manage the proposed projects. If another organization is expected to manage some or all project activities, include similar information.

II. Project Purpose and Outputs

Restate the project purpose, which is the specific result or effect desired of the project. State the purpose so that the desired conditions at the end of the project can be identified.

Project outputs are the specific results expected to be produced by managing project inputs. State outputs as results rather than activities or strategies. List all outputs necessary for achieving the project purpose. State the kind and magnitude of outputs in terms of quantity and time, so that progress can be verified.

III. Implementation Plan

List the major activities and/or strategies which will produce project outputs. Discuss the PYO Role and Inputs, and where applicable, the subgrantee role and inputs. Include a discussion of beneficiary participation and inputs, sustainability and phase-out mechanism and linkages between the PYO and other organizations, whether governmental or non-governmental.

IV. Monitoring and Evaluation Plan

- a. Monitoring: This section should answer the questions: What should be investigated during the life of the project to determine whether the project is being implemented as planned (status of inputs and outputs)? How should this be investigated?
- b. Evaluation: This section should address two sets of general questions:
 - (1) What will be investigated during the life of the project to determine whether project purposes/goals are being achieved? How will this be investigated?
 - (2) What will be investigated during the life of the project to determine whether the project inputs and outputs are resulting in purpose/goal achievement? How will this be investigated?

V. Assumptions

Describe what other developments must take place (or not take place) in order for the subproject to succeed. Include the following, if applicable:

- a. government involvement, such as approval, government funds, commodities, personnel or land;
- b. availability of people, commodities, other counterpart funds;
- c. weather and acts of nature;

- d. your parent organization's approval of project;
- e. participation of other organizations
- f. local participation; and
- g. other assumptions unique to your project.

VI. Annexes (Please limit to half a page per section.)

- a. Technical Analysis
Explain the technology which the project will employ.
- b. Environmental Analysis
Explain any environmental implications of the project.
- c. Social Analysis
Describe the direct and indirect beneficiaries of the project and include an estimate of their population. Identify social and cultural characteristics of beneficiary community which are likely to affect implementation. Identify factors which may inhibit spread of benefits. Discuss potential positive and negative impact. Assess sustainability to project activities beyond project life.
- d. Economic/Financial Analysis
State the expected economic effect of the planned activities on the intended beneficiaries and the per-capita cost of achieving this benefit. Income Generating Projects should have a discussion of the potential market demand, marketing arrangements as well as a return on investment (ROI) analysis. Assumptions for ROI calculations should be included.
- e. Administrative Analysis
Discuss the PYO organizational structure and responsibilities vis-a-vis the project.

VII. FINANCIAL NARRATIVE AND BUDGET:

- a. Describe how your budget relates to the project.
- b. Complete the budget form provided (Attachment 1). When preparing the budget do not list miscellaneous, contingency funds or unanticipated costs as line items under any schedule. Prepare the budget in Philippine pesos. Consider an inflation factor. Designate counterpart contributions which are "in-kind" (non-cash) with an asterisk (*).

(1) Budget Summary:

"Budget Breakdown": List the totals from the various schedules. These totals must match the attached schedules exactly.

"Project Beneficiaries": Estimate the number of individuals who will be directly and indirectly affected.

"Cost per Beneficiary": Divide the "Total Project Cost" by "Number of Beneficiaries".

- (2) Schedule 1 (Personnel): Use employee titles consistent with job descriptions included in Annex #2. Indicate whether full or part-time. Indicate whether employee will be U.S. technician, third country personnel, or local personnel. Figure fringe benefits and indicate formula used on attached worksheet. Transfer the total amount of benefits from worksheet to schedule 1.
- (3) Schedule 2 (Commodities and Equipment): Fill in line items, quantify and total. Indicate whether commodities will be procured in the U.S. or locally.
- (4) Schedule 3 (Evaluation): Describe in detail the funds needed for the evaluation based on the evaluation plan in Section IV of the proposal.
- (5) Schedule 4 (Administration): Fill in line items, quantify and total.
- (6) Schedule 5 (Training): List name of training, number of participants and expenses. List expenses on a per day, per hour or per training basis. List each training separately.
- (7) Other Schedules: Add other specific schedules unique to your project.

A PYO CO-FINANCING PROJECT PROPOSAL

: PROJECT TITLE :	
: PYO ADDRESS: (THIS SPACE FOR USAID USE) :	
: TELEPHONE: :	
: PYO DIRECTOR: :	
: TITLE :	
: SUB-GRANTEE ORGANIZATION AND ADDRESS: :	
: (IF NO SUB-GRANTEE IS INVOLVED, STATE NONE) :	
: SUB-GRANTEE ORGANIZATION DIRECTOR :	
: TITLE :	: TELEPHONE :
: PROJECT MANAGER :	
: ADDRESS :	: TELEPHONE :
: CO-OPERATING GROUPS :	
: DATE OF PRESENTATION TO USAID :	
: GRANT PERIOD :	
: TOTAL PROJECT :	
: COST : \$:	: P : US \$ = RP P :
: TOTAL USAID :	
: REQUEST : \$:	: P : TOTAL COUNTER- :
: PART FUNDS : \$:	
: P :	
: PROJECT COVERAGE AREA :	

PROJECT SUMMARY

PYO Proponent: _____

Proposal Title: _____
 PYO Co-Financing Proposal Form Page _____

BUDGET SUMMARY: P _____ * \$1 U.S.

TOTAL COST OF PROJECT	TOTAL REQUEST USAID	TOTAL COUNTERPART
US DOLLARS	US DOLLARS	US DOLLARS
PESOS	PESOS	PESOS

BUDGET BREAKDOWN

# SCHEDULE	USAID	COUNTERPART	TOTAL
1. Personnel			
2. Equipment and Commodities			
3. Evaluation			
4. Administration			
5. Training			
TOTALS			

BUDGET GUIDELINES

ITEM	GUIDELINE	ACTUAL
PERCENT ADMINISTRATIVE COST		
USAID TOTAL PERCENT	Maximum of 75%	
COUNTERPART TOTAL PERCENT	Minimum of 25%	
NUMBER OF BENEFICIARIES		
COST PER BENEFICIARIES		



UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT
MANILA, PHILIPPINES

Monitoring and Evaluation
of
PVO Projects

USAID
PVO CO-FINANCING PROGRAM

AUGUST 1985

MARIA BEEBE

INTRODUCTION

Private Voluntary Organizations (PVOs) participating in the USAID PVO Co-Financing Program have long recognized a need to improve monitoring and evaluation in order to strengthen project implementation. Beginning with a three day workshop in February 1985, representatives of several PVOs have worked closely with USAID in developing guidelines relevant to the needs of PVOs. This guidebook is the result of that effort and is designed to give sufficiently flexible guidance so that individual PVOs can adapt the guidelines to their specific needs.

This guidebook should also be useful in the preparation of project proposals.

This guide book is divided into three sections:

Clarifying Project Framework -- this section discusses the FRAMEWORK which establishes and clarifies project inputs, outputs, purpose and goal. Since the FRAMEWORK should also identify key indicators, a discussion on what indicators are, is also included. Finally, the need to make explicit various assumptions about the project is pointed out. This section is based largely on the AID publication "Design and Evaluation of AID-assisted Projects".

Monitoring Project Framework -- this section provides the key questions and issues concerning monitoring of project inputs, outputs, purpose, and goal. This section offers suggestions on what should be investigated during the life of the project to determine whether the project is being implemented as planned (status of inputs and outputs).

Identifying Project Indicators -- this section addresses two sets of general questions:

- (a) What will be investigated during the life of the project to determine whether project purposes/goals are being achieved?
- (b) What will be investigated during the life of the project to determine whether the project inputs and outputs are resulting in purpose/goal achievement?

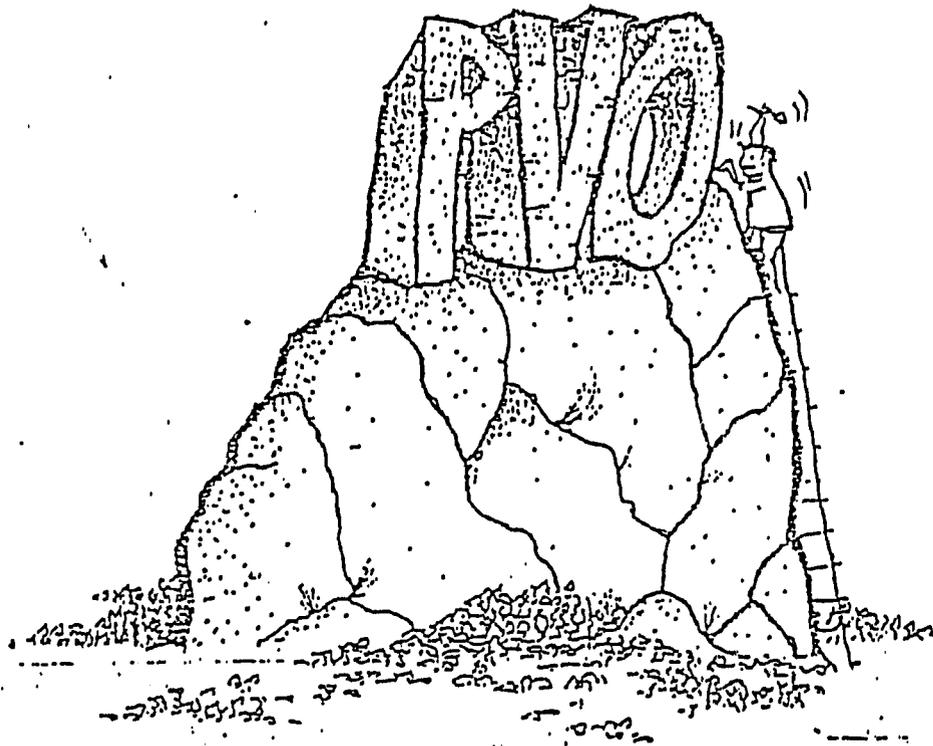
Question indicators which are identified should relate to both purpose/goal achievement and project outputs. By including both output and purpose/goal questions, there is a greater likelihood that information on project trends will emerge during project implementation. In this way, PVO managers will not only have information on whether objectives are being achieved but how and why this is occurring as well. The availability of this kind of information reduces a manager's uncertainty and makes possible informed decisions and mid-course corrections.

It is critically important that the questions and indicators chosen are appropriate and relevant to the project and further developed by those individuals who will use the information.

BRYANT GEORGE
Chief, Office of Food for Peace
and Voluntary Cooperation



UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT
MANILA, PHILIPPINES



INTERPRETING YOUR GRANT AGREEMENT

AUGUST 1986

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ANNEX H

PVO CO FINANCING MISSION ORDER

1. Purpose: This order establishes USAID/Philippines policy and procedures for approval of subproject proposals submitted by eligible U.S. and Philippine Private Voluntary Organizations (PVOs) under its PVO Co-Financing Program.
2. Background: The PVO Co-Financing Program was designed to enhance private development activities, involving beneficiaries and PVOs, which complement OIP funded development efforts as well as private initiatives.

3. Approval of Project Proposals:

- A. A USAID PVO Subproject Review Committee reviews PVO Co-Financing subproject proposals formally and makes appropriate recommendations to the Mission Director by clearing decision memos concerning proposals. The Subproject Review Committee is made up of a representative of each USAID technical office and a member from the Program Office, Program Economists Office, and the Controllers Office.
- B. O/FFPVC is responsible for co-ordinating with the appropriate USAID technical offices for proposal review and development. Other USAID technical personnel may be requested to participate in the review and development of specific proposals, if it is found appropriate. The extent of this participation can vary from a brief technical review to extensive assistance and/or referral. (See USAID Handout titled "Processing of PVO Co-Financing Subproject Proposals".)
- C. The preparation of PVO Co-Financing subproject proposals is primarily the responsibility of the PVOs and their counterpart organizations. Proposals submitted for USAID consideration will be reviewed in accordance with the guidance offered in USAID Handbook 3, Appendix 4B ("Procedures for PVOs on Operational Program Grants -- OPGs"). Subproject proposals should generally follow the form and substance of Attachment B to the Appendix 4B entitled "Operational Program Grant (OPG) Proposal Outline". (See USAID Handout titled "PVO Co-Financing Program Subproject Proposal Format".)
- D. If a proposal has been designated for development through a decision memo approved by the Mission Director, it is the sole responsibility of the PVO submitting the proposal to USAID to obtain the necessary approval/endorsement from NEDA.

4. Subproject Criteria

In evaluating subproject proposals, the Subproject Review Committee will give preference to PVO development activities which meet both the quality and allocative criteria as described below.

A. Quality Criteria: A high priority proposal must:

1. be technically, economically, financially and socially feasible.
2. be sponsored by a registered PVU with the necessary qualifications, a good track record and a strong commitment.
3. be sustainable and/or replicable without additional USAID assistance.

A high priority proposal should also:

4. Have a complete and well-conceived implementation plan and mechanism for competent administration.

B. Allocative Criteria: A high priority proposal should preferably:

1. be consistent with the overall CDSS goal of poverty alleviation through increased, more productive, employment for poor groups: (i.e. more jobs and higher productivity for those already working), and have potential to contribute lessons for specific CDSS program elements (i.e. community-based management of rained resources, energy, rural enterprise development, local resources management, reduced fertility and infant mortality (especially through innovative approaches to primary health care delivery and finance.) Note: This criterion of close linkage to the Mission's CDSS will be adjusted in accordance with changes in the focus and scope of USAID's worldwide and country specific objectives.
2. Contribute to strengthening PVU capacity to act as a positive and dynamic development force.
3. Contribute to the development of new strategies and approaches which the Mission may wish to consider which may not link directly to the CDSS.
4. Have potential to contribute to the four USAID initiatives of private sector development, policy dialogue/reform, technology transfer, and institutional development.
5. Have potential to provide insights useful for the development of the Asia Bureau regional strategy particularly as related to the role of PVUs in middle income countries.

C. Negative Allocation Criteria: A high priority proposal shall not include:

1. Welfare oriented activities.
2. Beautification, recreation and other civic, nondevelopmental activities.
3. Development activities whose intended beneficiaries are not legitimate poverty group members.
4. Religious activities.
5. Subprojects which are essentially physical infrastructure.

5. Grant Agreement:

If the PVU subproject committee's positive funding recommendation of a proposal has been approved by the USAID/Philippines Director and if all

outstanding issues/concerns surrounding the subproject have been resolved by a team made up of PYO Co-financing and Technical Office staff, a mission review committee will meet to review and approve the revised proposal. Following this review a PIO/T will be prepared for clearance by the appropriate offices. Upon clearance, USAID/Philippine Contract Services Division will draft a Grant Agreement in accordance with USAID Handbook 13 ("Grants" - Chapter 4, "Specific Support Grants".)

Beginning in FY 84, all PYO Co-Financing subprojects selected for development through the Director's decision memo must have prior approval from NEDA before the Grant Agreement is signed.

Prior to submission of the Grant Agreement to the Director for his final approval and signature, it is cleared by the following USAID/Philippine offices: Program Office, Controller's Office and Contract Services Division. The Grant Agreement may be signed by either the Mission Director or the USAID Contracting Officer.

After the Grant Agreement has been signed, the responsibility for managing the subproject, in most cases, will pass to the appropriate technical office and be managed from that office like any other project.

6. Additional Information:

The most current revision of the following documents can be obtained from the Office of Food for Peace and Voluntary Cooperation:

1. Processing of PYO Co-Financing Program Subproject Proposals
2. O/FFPYC Office Structure
3. PYO Co-Financing General Guidelines
4. PYO Registration Guidelines
5. PYO Co-Financing Program Subproject Proposal Format

USAID/PHILIPPINES RESPONSE TO THE EVALUATION OF THE
CO-FINANCING I PROJECT PREPARED IN NOVEMBER 1982

Part I of the FY 1983 Evaluation contained the Conclusions and Recommendations. Following are comments on each of the numbered Conclusions and Recommendations.

A. Project Description and Context

1. Government Support of PVO Programs

Recommendation: That USAID explore with NEDA ways in which its review and clearance process can be streamlined. This will be especially important if USAID improves its procedures and attempts to complete its review process within a 60 day period.

Recommendation: That USAID explore with NEDA and PVOs the nature of problems PVOs are experiencing in working with local officials and attempts to improve the situation to the extent possible and appropriate.

NEDA has indicated that it intends to delegate responsibility for endorsing PVO proposals to the Regional Offices. This should facilitate the endorsement process since the NEDA staff at the Regional level are closer to the field and are familiar with the PVO's work and reputation.

2. USAID/PVO Relationship

Recommendation: That USAID encourage CIVAP to expand its activities and capabilities as a PVO coordinating and technical body. Consideration should be given to the inclusion of viable Philippine PVOs who are effectively involved in development programs.

CIVAP membership consists of voluntary agencies which operate at the international level. There are other PVO networks made up of groups of Philippine PVOs facilitating inter-PVO coordination and consultation and supporting the emergence and expansion of indigenous institutions that can initiate and carry out a range of activities identified as priorities by their beneficiary communities. USAID is assisting PBSP to establish a Philippine Social Development Center which will offer the following services: a PVO Support Services Bureau, Offices for Multi-Service Institutions and Network Builders, an Information Exchange and an Institute for Social Development Management. Among the PVO networks that have been invited to the Center and who have expressed interest are:

Asian Alliance of Appropriate Technology Practitioners (Approtech Asia) with membership from Bangladesh, India,

Indonesia, Malaysia, Sri Lanka, Thailand and the U.S.

Asian non-Governmental Organizations Coalition (ANGOC) with membership from Asian non-governmental development organizations and coordinating with the Food and Agricultural Organization of the United Nations. Association of Foundations with membership consisting of Philippine Foundations.

Council for International Voluntary Agencies of the Philippines (CIVAP) with membership consisting of voluntary agencies which operate at the international level.

National Association of Cooperative Training Resources in Rural Areas (PHILDHERRA) which has partner-organizations that provide development assistance at the grassroots level.

3. Staffing:

Recommendation: That the current staffing level of O/FFPVC be retained and that the proposed second contract position be established as soon as possible.

The current staffing level of O/FFPVC has been retained and the second contract position established.

B. Program Effectiveness and Impact.

1. Purpose:

Recommendation: That the program be continued and expanded.

The program is being expanded.

2. Capability of PVOs:

Recommendation: That the mission budget adequate funds in the follow-on project to intensify its efforts in providing technical assistance and training to PVOs in the design, implementation and evaluation of projects.

The Mission is providing technical assistance and training. In addition, funds for PVO staff development are provided in individual subprojects. USAID is sponsoring 10 mid-level executives from 10 PVOs to attend the Asian Institute of Management's Program for Development Managers.

3. PVO Projects Approved: No recommendation

4. Registration:

Recommendation: That the mission streamline procedures

for registration of Philippine PVOs and define the responsibilities of concerned USAID staff.

The Mission has streamlined procedures regarding registration of Philippine PVOs.

5. Involvement of U.S. and Philippine PVOs:

Recommendation: That the mission not earmark funds for U.S. and Filipino PVOs, but that a conscious effort be made to maintain appropriate and effective participation of both groups.

The Mission has made a conscientious effort to maintain appropriate and effective participation of both groups.

6. Expenditure of Funds and Time Frame:

Recommendation: That the mission encourage PVOs to submit smaller, less complex subprojects that have shorter implementation periods and a more immediate impact on development. That incremental funding be considered for larger and more complex subprojects in order that more effective use can be made of limited funds available.

The mission continues to support small-scale PVO subprojects but is starting to support Philippine intermediate institutions with province-wide programs, such as Negros Economic Development Foundation's Negros Development Assistance Program which in turn supports small-scale discrete activities at the barangay/grassroots level. For projects like Development of People's Foundation's Project CHILD, incremental funding is being done.

7. The Asia Foundation:

Recommendation: That USAID continue to support TAF but perhaps at a reduced amount of funding in order that limited funds can be spread more widely to a larger number of PVOs for more development activities.

Under the Co-Financing II, The Asia Foundation has submitted only one proposal which was approved. This would be explained in part by the emergence of strong Philippine intermediate institutions.

8. Cost Per Beneficiary:

Recommendation: That USAID and the PVOs continue to obtain better information on costs and benefits and explore meaningful methods of assessing them for PVO activities.

USAID is receiving better data on costs and benefits,

partly as a result of the Cost Effectiveness Seminar and partly because of the overall improved capability of PVOs implementing Co-Financing grants.

9. Administrative Costs: No recommendation

10. Counterpart Funds:

Recommendation: That USAID take a closer look at counterpart contributions in proposals during the review process and that PVOs keep better records on total project inputs in order to obtain actual figures at the end of the subprojects.

USAID has included as part of the grant package a guide for computing counterpart costs. (See Annex). The liquidation report includes an accounting of counterpart funds disbursed for the grantee. (See Annex).

11. Disbursals and Expenditures:

Recommendation: That USAID and the PVOs determine the exact nature of the problem regarding low disbursement and expenditure rates and take required action to resolve the matter...

Expenditure rates have improved somewhat. However, it is not clear just what is an "appropriate" level

Fourteen PVOs have received one-on-one training on Financial Management Reporting, Accounting and Budgetary Systems. A set of manuals, tailor-made for each individual PVO, accompanies the training and serves as a reference for the PVO. The participating PVOs are involved in the production of the manual. While initially, the assistance focused on PVOs with ongoing grants, the assistance is now being provided to new grantees.

12. Subproject Progress and Success:

Recommendation: That USAID continue to support worthy PVO activities...

USAID is paying careful attention to beneficiary involvement and working out with PVOs sustainability mechanisms. Although some subprojects are complex, the subprojects are broken down into manageable, discrete and independent components.

13. Peace Corps Involvement:

Recommendation: That O/FFPVC explore with the Peace Corps the possibility of greater involvement of PCVs in PVO programs...

USAID has worked with Peace Corps in planning and holding "Working with Cultural Communities: a Workshop Seminar". USAID and the PVO have considered the possible role of PCVs in subproject grants. In some cases, the PCV has assisted the PVO in writing a project proposal.

C. Proposal Processing System

1-3. Criteria for Proposals:

Recommendations: That a mission Manual Order be adopted which clearly explains the project purpose and the specific USAID procedures used to implement it....That..the design team for PVO Co-Financing II should think seriously about the pros and cons of adopting specific allocative criteria....That explicitly stated quality criteria be adopted for reviewing proposals...

A PVO Co-Financing Mission Order was attached as Annex A of the PVO Co-Financing II PP. The mission order establishes policy and procedures for approval of subproject proposals with subproject criteria explicitly spelled out..

4. Preparation of Proposals:

Recommendation: That USAID provide PVOs with more assistance during the project identification and proposal preparation stage....

A standardized proposal format has been adopted. USAID has planned Project Development seminars for USAID registered PVOs that are not implementing Co-Financing grants. The seminar will be live-in for 3-4 days. The seminar topics include: the Logical Framework, Statement of the Problem, Project Purpose and Outputs, Implementation Plan, Monitoring and Evaluation Plan, and Financial Narrative and Budget. There will also be working group sessions on Technical, Environmental, Social, Economic/Financial and Administrative Analysis relevant to each project proposal. The output of the working group seminar, for each participating PVO, is a feasible proposal.

5. Timing and Procedures for Review of Proposals:

Recommendation: That the mission adopt a continuous proposal review process wherein each proposal is reviewed as it is received...

A continuous proposal review process in conjunction with a project review committee is not feasible. Instead, the project committee reviews proposals when there is a batch of 10 proposals or every four months. The project review committee is

made of three permanent members from OFFPVC, the Program Office, the Controllers' Office, as well as members from technical offices.

6. Two-Stage Review Process:

Recommendation: That a two stage proposal process be adopted.

PVOs submit a proposal which should not exceed ten typed, single-spaced pages. USAID sends a letter indicating approval for further project development. At this stage, a subproject team, made-up of a PVO consultant, an OFFPVC project officer, a Program Office representative, a technician from the relevant technical office, and in some cases, a program-economist, is assigned to discuss the issues raised by the proposal and to do a pre-grant site visit.

7. Workload Implications:

Recommendation: Staff workload implications should be considered carefully in developing new procedures for USAID implementation of the project...

There are two consultants hired with project funds to assist in project development, mid-project assessment and in setting-up monitoring and evaluation systems. Through the use of the consultants and the use of intermediate institutions to subgrant to local-based organizations small discrete activities, USAID is able to expand the program while maintaining valuable collaborative relationship with PVOs.

See also the discussion of this issue in this evaluation.

8. PVO Reporting:

Recommendation: That narrative reports be required on a semi-annual basis instead of quarterly.

USAID has decided that quarterly reporting is the minimum level of requirement. USAID has devised quarterly reporting forms to simplify and standardize reporting across PVO subprojects. The quarterly narrative form required parallels the Project Implementation Report.

9. Field Visits:

Recommendation: O/FFPVC and/or other USAID staff visits to observe project implementation should be scheduled prior to or following receipt of semi-annual reports to ensure appropriate monitoring and to assist in resolving issues or problems which

have surfaced.

In general, site visits are scheduled during subproject development, mid-subproject assessment, and subproject close-out. Visits for monitoring are more intermittent and are tied to workload of project officers.

ANNEX J

PVO CO-FI II UNLIQUIDATED BALANCE

GRANT NAME	GRANT NO.	OBLIGATED AMOUNT	UNLIQUIDATED BALANCE
AETA	6037	\$73,660	\$5,640
PBSF EET CHILDREN	7022	62,209	3,288
XAVIER/PROJECT LOYOLA	7023	75,000	12,721
ASEP/RURAL ENTRPRS PROJECT	7030	74,799	5,540
FEED/ASST 12 LOCAL NGO	7032	449,769	22,791
SERDEF/IN HAND/TECH ASST/ADDT	6071	16,134	6,256
MRFM/TARLAC INTGRTD DEV	8141	105,635	302
DPF-KAUSWAGAN/AADP	8076	1,000,000	36,847
PBSP/PROVL DEV STRATEGY	8128	74,903	4,463
SAVE THE CHILDREN/IRD	8129	262,623	744
NDEA-WED/ADDL	4050	27,966	201
PSFI/AGRI SKILLS TRNG PROGRAM	8139	85,276	33,232
NDEA/BUSS RESOURCE CENTER	8059	200,000	4,086
PBSP/PROVL DEV STRATEGY	8129	351,070	1,474
BENGUET COR/BLD PROJECT	8133	200,000	10,009
CARE/RURAL CAP FORM	8176	100,000	7,040
CUNA/PRVDE FINANCIAL SUPPORT	8175	900,000	131,962
MERCY CORPS/ILO ECO DEV	8187	89,469	18
PAFID TRIBAL FIL PROGRAM	8138	61,780	8,481
TOTAL		\$4,210,293	\$295,095

PROJECT DESIGN SUMMARY
LOGICAL FRAMEWORK

DATE: 10/10/83

Life of Project:
From FY 84 to FY 88
Total U.S. Funding: \$10 million
Date Prepared: September 9, 1983

Project Title & Number: PVO CO-FINANCING

ANNEX L: PVO Co-F1 II Log Frame

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS								
<p>Program or Sector Goal: The broader objective to which this project contributes: (A-1)</p> <p>Improved socio-economic status and self-reliance of rural communities.</p>	<p>Measures of Goal Achievement: (A-2)</p> <p>Income levels Nutrition Status Life Expectancy Independent community development projects initiated and successfully completed. Sense of pride and control over one's own future.</p>	<p>(A-3)</p> <p>Household and community surveys. Anthropological studies.</p>	<p>Assumptions for achieving goal targets: (A-4)</p> <ol style="list-style-type: none"> Private development efforts can be tailored to best local area needs. Private resources from beneficiaries and cooperating private organizations can be mobilized to carry out development efforts that will supplement Government controlled development. Potential beneficiaries will be able to master the skills necessary to plan, implement, and maintain resources for continued development efforts. Government attitude remains favorable to private development efforts. 								
<p>Project Purpose: (B-1)</p> <ol style="list-style-type: none"> To improve the socio-economic status of Co-F1 project beneficiaries. To strengthen the initiative and capability of PVOs to undertake development projects. 	<p>Conditions that will indicate purpose has been achieved: End-of-Project status: (B-2)</p> <ol style="list-style-type: none"> Beneficiaries continue development efforts initiated under Co-F1 with little or no outside assistance. Co-F1 projects achieve their stated purposes. <ol style="list-style-type: none"> Increased capacity of PVOs to design and implement local development projects. Increased number of U.S. and Filipino PVOs collaborating with local counterparts in local development projects. Increased number of locations nationwide used as sites for PVO co-financed sub-projects. 	<p>(B-3)</p> <ol style="list-style-type: none"> USAID review of project progress. Annual data collected from PVOs on their economic and social development projects financed from their own funds and/or with other non-AID donors, and with the USAID co-financing program. Assessment of the quality and content of PVO project proposals submitted for co-financing, and PVO semi-annual management and financial reports on sub-project progress. Survey of PVO annual reports for development projects program mix and budget allocations. Baseline data surveys before sub-project implementation and analysis of changes in the base over project life. 	<p>Assumptions for achieving purpose: (B-4)</p> <ol style="list-style-type: none"> That USAID co-financing funds will be added to, not substituted for, the PVOs own development program budgets. That voluntarism remains both a U.S. and Filipino tradition; and receives corresponding support and financial support from the private sector. That additional private resources are mobilized for development activities. 								
<p>Project Outputs: (C-1)</p> <ol style="list-style-type: none"> U.S. Registered PVOs participating in Co-financing project. Filipino PVOs certified as eligible to receive U.S. government assistance. Filipino PVOs receiving co-financing grants. Co-financing funded projects undertaken. Number of training interventions... 	<p>Magnitudes of outputs: (C-2)</p> <ol style="list-style-type: none"> U.S. PVOs participating: 15-25 Filipino PVOs registered: 30-40 Filipino PVOs participating: 15-25 Co-financing funded projects: 45-50 Training interventions: 5-10 	<p>(C-3)</p> <ol style="list-style-type: none"> Project proposals submitted to AID by U.S. PVOs, grants to U.S. PVOs. Requests for certification of eligibility received from Filipino PVOs - certifications made by USAID. Project proposals received from Filipino PVOs. Grants made to Filipino PVOs. Total number of grants made/projects implemented. Reports of training interventions. 	<p>Assumptions for achieving outputs: (C-4)</p> <ol style="list-style-type: none"> Philippine government will continue to allow U.S. and international PVOs to operate in country. A number of Filipino PVOs have or will be able to develop organizational capacity necessary for certification of eligibility. That training needs of PVOs will be identified and can be satisfied with resources available. PVOs will find co-financing grants a useable additional resource whereby they can expand their development activities. 								
<p>Project Inputs: (D-1)</p> <p>PROJECT INPUT: AID GRANT</p> <table border="1"> <tr> <td>1. Grant Funds</td> <td>2. Technical assistance</td> <td>3. Consultants</td> <td>4. Training</td> </tr> <tr> <td>100</td> <td>20</td> <td>100</td> <td>100</td> </tr> </table> <p>Other Resources:</p> <ol style="list-style-type: none"> Design, implementation, evaluation Resources (in kind or funds) Cooperating local private organizations 	1. Grant Funds	2. Technical assistance	3. Consultants	4. Training	100	20	100	100	<p>Implementation Target (Type and Quantity) (D-2)</p> <ol style="list-style-type: none"> USAID <ol style="list-style-type: none"> \$10 million as needed and available as needed (drawn from Grant funds) as needed PVOs <ol style="list-style-type: none"> 30 30 Cooperating local private organizations Beneficiaries Other donors 	<p>(D-3)</p> <p>USAID:</p> <ol style="list-style-type: none"> Signed grants Commodities/equipment delivered consultant contracts completed training sessions held <p>Other: project proposals, grant agreements, progress reports, financial expenditure reports</p>	<p>Assumptions for providing inputs: (D-4)</p> <p>USAID</p> <ol style="list-style-type: none"> Allocations sufficient to fund project activities are available to the Mission. Excess property is available. USAID through staff and/or contractor can supply TA consultative assistance not available through PVO channels. That training requirements can be met by USAID staff and contractors. <p>Other Resources</p> <p>That beneficiaries and other private sources have resources that can be mobilized for development activities. That grantee PVOs will be able to mobilize non-U.S. Government resources in cash or in kind to meet approximately 50% of total project costs. That all participants in a Development project will have the resources and technical/managerial capacity to perform their part of the project as described in the grant agreement.</p>
1. Grant Funds	2. Technical assistance	3. Consultants	4. Training								
100	20	100	100								

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