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**FY 83/84 EVALUATION PLAN
USAID/PHILIPPINES**

OCTOBER 1982

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FOR USAID/PHILIPPINES

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Executive Summary

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

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

Evaluation Agenda

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

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

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

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

Information Needs

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

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

Evaluation Utilization

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

Information Management

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

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INTRODUCTION

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

As reflected in the CDSS, the above assistance strategy recognizes that achieving more productive employment depends on creating more jobs, increasing productivity, and lowering the rate of growth of the labor force. The strategy encompasses four interdependent program elements that are designed to address each of these factors to achieve maximum impact on employment in both the short- and long-run. Thus the strategy entails assistance efforts (1) to increase agricultural productivity in rainfed and coastal areas through improved natural resource management and diversified technologies adapted to local needs, (2) to develop small and medium-scale enterprises in rural areas to capitalize upon available labor and rising local demand; (3) to improve local government capacities to mobilize and manage private and public resources in ways that promote more productive employment in their locality; and (4) to reduce fertility and infant mortality through an extensive family planning program and innovative basic health care delivery and finance.

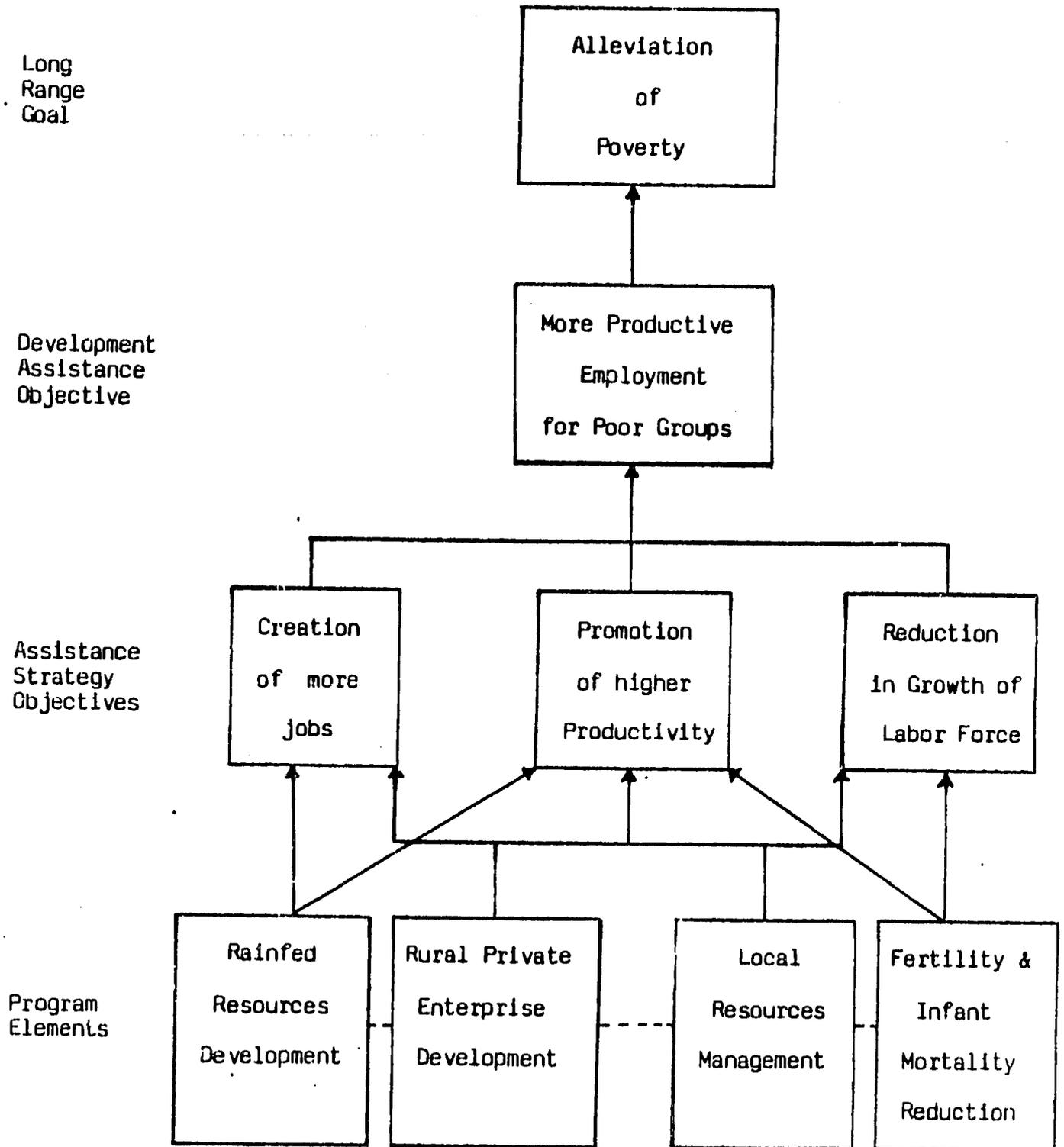
The overall USAID assistance strategy as summarized above is portrayed in Figure 1. In order to maximize the impact of the CDSS strategy, much of the program is also geographically targeted within certain regions where there are concentrations of rural poor representative of the target poverty groups.

EVALUATION AGENDA

Purpose and Scope

The evolution of a comprehensive Mission program strategy which transcends the goals and purposes of individual projects calls for an evaluation plan which also addresses broader strategic objectives. Therefore, beginning with its FY 82/83 Evaluation Plan, USAID has worked toward developing an evaluation

FIGURE 1
USAID ASSISTANCE STRATEGY



framework which supports comprehensive GOP and Mission strategic planning and policy review. This requires using evaluative information to 1) test CDSS assumptions, 2) assess broad program impact on beneficiaries and institutions, and 3) provide feedback to USAID and the GOP to support continued strategic planning and the development of supportive programs. The purpose of a Mission evaluation agenda, then, is to systematically address a set of common concerns through careful management of project-related evaluation and research activities, monitoring of related GOP and other programs, and review of available secondary data from various in-country sources. While keyed directly to the Mission CDSS, this evaluation plan incorporates projects and programs not directly included in the CDSS strategy such as ESF activities, PVO programs, and on-going projects which pre-date the current strategy formulation. All these programs address basic human needs and are generally consistent with CDSS objectives. Each has value as a learning opportunity relevant to Mission strategy development.

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

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

Core Hypotheses

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

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

Program Assumptions:

- a) More productive employment in rainfed areas will ensure an improved stream of income to poor households and thus enable them to satisfy their basic needs.

- b) Establishment of community-managed systems for adapting and disseminating environmentally-sound rainfed resource technologies and practices will lead to more productive and sustainable resource utilization by small scale farmers and coastal fishermen.
 - c) A national program of natural resource management which coordinates public and private sector action at local, regional, and national levels can reverse the deteriorating trend in the productivity of rainfed and coastal resources.
2. Rural Private Enterprise Development: Growth in off-farm employment is a necessary component in the process of creating new productive employment opportunities in targeted rural areas.

Program Assumptions:

- a) Long-run employment gains in rural private enterprise are dependent on the rate and pattern of growth and profitability in such industries.
 - b) Entrepreneurs, responding to a favorable investment climate, will make the critical investments leading to jobs which can absorb the rural labor force.
 - c) Improved coordination among the various entities (private or public) responsible for technical, management, marketing, and financial assistance to rural enterprise, including local business associations, credit sources, and development foundations is necessary for improving the local investment climate.
3. Local Resources Management: Increased local government authority and capacity to make decisions regarding development priorities and resource allocation according to local conditions will result in expanded productive employment opportunities for the rural poor.

Program Assumptions:

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

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

Program Assumptions:

- a) Delivery of services to reduce fertility and infant mortality will lead to a reduction in the rate of growth of the labor force.
- b) Fertility and mortality reducing services can be combined in a manner that is more cost effective than existing separate service delivery systems.
- c) Community control of health services, including cost absorption, will lead to more effective use of these services.

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

Two of these assumptions link differing program elements:

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

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

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

Information Needs

Achieving the strategic objectives articulated in the CDSS is a function of specific project activities and dependent on their outcome. Likewise, evaluating achievement of strategic goals is dependent on information gained

from specific sets of activity. Linking the Mission's evaluation agenda to the CDSS, however, requires that information be gathered to test strategic program assumptions as well as individual project assumptions.

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

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

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

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

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

Listed in Annex I at the end of the Plan are baseline data categories, indicative questions, and existing project sources for each of the assumptions above. While the information needs outlined in Annex I may coincide with some project specific evaluation agendas, the focus is on what is needed to test the assumptions underlying the CDSS. Thus this plan supplements but does not replace individual project evaluation plans. Due to past project related design and evaluation studies, much of the information, especially baseline data, is already available. The purpose of Annex I is primarily to be a reference checklist to be used as specific research and evaluation agendas are developed.

Data Sources

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

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

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

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

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

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

Figure 2

LIST OF ANALYSES AND REPORTS
IN SUPPORT OF PHILIPPINES CDSS

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

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

1. Rainfed Resources Development

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

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

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

Assessing broad socio-economic impacts of projects in the rainfed resources area will require continued monitoring of secondary data. However, this will have to be supplemented by project monitoring and evaluation data which answer questions about local and institutional dynamics. Particular attention is needed on processes of community management, private sector involvement, and agency coordination. Assessing these factors will depend on process documentation by project staff and an evaluation focus on interviews with local officials, beneficiaries and other knowledgeable informants such as journalists, teachers and merchants.

2. Rural Enterprise Development

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

The key source for analysing changes in the investment climate is by those who have made or are considering investments in target areas. Since it is the perceptions of these entrepreneurs and investors which will guide their actions, those perceptions are a critical variable to be measured by structured in-depth interviews with a representation group repeated over time. This process should be incorporated into the agendas of both project self-assessment and external evaluation for the projects in this program sector.

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

3. Local Resources Management

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

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

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

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

4. Fertility/Infant Mortality Reduction

There are a number of data sources which provide empirical information for this sector. These include census and birth registration data, repeated rounds of the National Demographic Survey, the Area Fertility Survey, National Family Planning and Community Outreach Surveys, and service statistics for family planning; the National Health Survey, National Nutrition Survey, and child weighing program data.

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

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

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

The findings from these research activities will need to be supplemented by regular project monitoring and evaluation data which permit assessment of the impact of PHC interventions and related financing arrangements. Project managers and policymakers will have major responsibility for collecting these data. The PHC Financing Project Paper will elaborate the project's information strategy.

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

5. Linkage and General Strategy Assumptions.

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

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

Broad questions of the policy environment, beneficiary response, and sustainability are planning issues as well as important subjects for evaluation. They should be a major concern of both GOP and USAID project designers but the underlying assumptions must be tested continually by project implementors and evaluators. As basic management issues, they are best assessed by project staff themselves. Evaluators should check that project managers have both anticipated and addressed these issues as part of each project's self assessment process.

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

UTILIZATION OF EVALUATION PLAN

Mission Policy Context

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

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

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

Evaluation Planning

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

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

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

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

Evaluation

process
impact
strategy

Linkage

inputs to outputs
outputs to purpose
purpose to goal

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

Certain features of each type of evaluation are as follows:

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

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

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

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

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

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

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

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

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

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

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

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

- identify whether stated project purposes have been achieved;
- attribute identified effects to the project vis-a-vis other possible causes;
- determine conditions under which the project is most effective;

- delineate unanticipated consequences or side effects; and
- identify lessons learned to assist future planning.

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

Methodologies for impact evaluations are largely dependent on the nature of the project and the specific information required. Specification of indicators and collection strategies should be part of the evaluation plan in the project design. Much of the basis for measuring impact will grow out of the analyses performed during project design studies. Yardsticks linked closely to the specific problems that a project proposes to address are of more utility to decision makers than general socio-economic variables applied too broadly.

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

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

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

Strategic evaluation is an ongoing long-term process to assess and refine development priorities and approaches. For USAID, it is a product of effective Mission information management along the lines suggested in this Evaluation Plan. In particular, it requires effective collaboration in the Mission to coordinate project evaluation agendas and data utilization. Certain projects provide opportunity for comparative measurements of the impact of USAID assistance by different strategies. For example, Local Resources Management, Municipal Development Fund, and Regional Development Fund - though managed out of two different offices in USAID - all aim to improve local government capabilities to plan and implement local projects.

Each is a source for assessing Mission strategy in the local resources management program sector. The opportunity to coordinate evaluation plans for these projects should not be lost. This will require cooperation not only within USAID but among several counterpart agencies involved in the three projects. Such cooperation will benefit Philippine information use as well.

Information Management

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

USAID, of course, also has an interest in evaluative information to assess both the effectiveness of projects in achieving their goals and the validity of the Mission's development strategy as stated in the CDSS. To make such assessments, the Mission will depend on the kinds of evaluation described above along with available secondary data and, when needed, special studies monitored or performed by the Mission's Evaluation Officer, Program Economics staff, or other offices.

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

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

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

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

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

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

Initially, the key step in implementing this plan will be to begin the process of incorporating appropriate questions from the plan into upcoming project evaluations. This will provide opportunity to check on the feasibility of this approach and to work out systems for processing the information that is collected. Thinking through possible economic analysis needs will be another near term agenda item for the EWG.

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

ANNEX I

INFORMATION NEEDS FOR STRATEGY PROGRAM ASSUMPTIONS

Annex I

SPECIFIC EVALUATION INFORMATION NEEDS

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

1. Baseline Data Needs for Rainfed Resources Development

a. Poverty Group Analysis

- Employment and income data for target poverty groups.
- Inventory of existing farming and fishing practices.
- Assessment of available services and technical resources, access to them and utilization by targeted poverty groups.
- Patterns of migration in and out of target areas.

b. Environmental Analysis

- Productivity data for target areas including yields for various crops and fishing practices (including trend data).
- Assessment of agro-climatic constraints to productive resource use.

c. Institutional Analysis

- Assessment of economic infrastructure including facilities for marketing, transportation, credit, etc.
- Assessment of Philippine research organizations' involvement in rainfed resource issues.
- Assessment of organized community level involvement in resource management.
- Degree of local control over resource exploitation by external interests.

2. Program Assumptions and Indicative Evaluation Questions for Rainfed Resources Development

a. More productive employment in rainfed areas will ensure an improved stream of income to poor households and thus enable them to satisfy their basic needs.

- What changes are evident in employment levels and types among target groups?
- What productivity changes can be documented in target areas?
- What income strata among the population are benefitting from higher productivity and/or employment opportunities?
- Is there any reduction in out-migration from targeted areas?

- b. Establishment of community-managed systems for adapting and disseminating environmentally-sound rainfed resource technologies and practices will lead to more productive and sustainable resource utilization by small scale farmers and coastal fishermen.
- .. What new local technologies and practices have been developed? What is their source? their impact?
 - How are field pilot activities determined? What is their link to centralized research?
 - Do small producers accept new practices and technologies? What incentives are operating?
 - What is the quality of locally generated activity proposals? Are they receiving attention at higher levels?
 - What is the role of local leaders (formal and informal) in site specific activities?
 - Do target groups have a role in planning and decision making for local activities? By what mechanisms?
 - Have any locally developed resource - management approaches been replicated elsewhere?
 - What is the impact of energy needs on productivity? On the the local environment?
- c. A national program of natural resource management which coordinates public and private sector action at local, regional, and national levels can reverse the deteriorating trend in the productivity of rainfed and coastal resources.
- What evidence exists of private sector involvement in resource management?
 - What incentives are operating to draw or restrict private sector involvement?
 - What mechanisms have developed to facilitate institutional coordination?
 - What checks are evident on commercial exploitation of the resource base?
 - How are the potential environmental impacts of new technologies monitored? What is the policy impact of this information?
 - What evidence exists that damage to the natural resource base can be reversed? Is such reversal occurring?
 - What national policy changes have occurred in connection with upland and coastal rainfed areas? In which ministries or agencies? Are they sufficient?

3. Relevant Projects -- Rainfed Resources Development

- Rainfed Resources Development
- Rural Energy Development (ESF)
- Agricultural Research II
- Bicol IAD III - Rinconada
- Farming Systems Dev. - Eastern Visayas

- Clark Access and Feeder Roads/Soil-Water Conservation Pilot (ESF)
- Bicol Integrated Rural Development
- Clark Area Development Fund/Integrated Agricultural Research Center (ESF - proposed)

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

1. Baseline Data Needs for Rural Private Enterprise Development

- a. Inventory of support services for rural enterprise.
 - management
 - technical
 - marketing
 - venture capital
 - credit
 - transportation
- b. Assessment of local and national policy environment as it affects rural enterprise.
- c. Profiles of existing rural enterprise. .
 - profitability
 - revenue growth
 - employment trends
- d. Labor productivity data for various enterprise categories (type and size)
 - labor/capital relationship
 - revenue and profit per worker
- e. Analysis of reasons for industrial concentration in urban areas.

2. Program Assumptions and Indicative Evaluation Questions for Rural Private Enterprise Development

- a. Long-run employment gains in rural private enterprise are dependent on the rate and pattern of growth and profitability in such industries.
 - What new enterprises have been established in target areas?
 - What are employment trends in existing and new enterprises?
 - What enterprise sectors are growing most rapidly?
Providing most new job opportunities for the poor?
 - Are targeted poverty groupw willing/able to qualify for jobs in rural enterprises?

- Are profits from rural enterprise re-invested locally or elsewhere?
 - Is output per worker rising in target areas?
In areas with rising employment of the poor?
- b. Entrepreneurs, responding to a favorable investment climate, will make the critical investments leading to jobs which can absorb the rural labor force.
- What are the sources of investment in existing and new rural enterprise?
 - How do potential entrepreneurs and investors define a "favorable investment climate"? What are the key elements? Are entrepreneurs free to respond to market forces?
 - What are the major constraints perceived by entrepreneurs and investors to employing capital in rural areas?!
 - What comparative advantages do rural enterprises have over urban enterprises? What product lines? In what markets?
 - On what basis are technical support and other public services provided to the private sector? Who qualifies? What is the cost?
 - What evidence exists of private sector concern for local welfare issues and the needs of the rural poor?
- c. Improved coordination among the various entities (private or public) responsible for technical, management, marketing, and financial assistance to rural enterprise, including local business associations, credit sources, and development foundations is necessary for improving the local investment climate.
- What are the key sources of support services for rural enterprises? How are these services linked to national policy agencies?
 - What mechanisms exist or have been established for private sector inputs to relevant policy determination?
 - What is the cost of institutional mechanisms designed to support rural enterprise? How do these costs compare with levels of investment stimulated
 - What regional industrial policies and programs have been developed? Are they keyed to bottom-up or top-down information inputs and requests?
 - How are enterprise support programs financed? Are they self supporting or dependent on subsidy?

3. Relevant Projects: Rural Private Enterprise Development

- Small/Medium Enterprise Development
- Markets (ESF)
- Investment Promotion (proposed)

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

1. **Baseline Data Needs for Local Resources Management:**
 - a. **Beneficiary Analysis:**
 - Employment and income data for target poverty groups.
 - Assessment of popular participation in local development decisions and management.
 - Attitudes of citizens to change in social, economic, and political conditions.
 - b. **Institutional Analysis:**
 - Sources of funding for local development activities.
 - Focus of decision making for local development activities.
 - Quality of local fiscal management
 - % of budget raised locally
 - % of recurrent costs locally
 - actual vs. potential revenue collection from existing tax base.
 - Assessment of political constraints to local programming discretion.
 - Assessment of support system for local financing management
 - information
 - budgeting
 - forecasting
 - Assessment of administrative capacity of local governments.
 - Assessment of provincial planning capability in target regions.
 - Inventory of information sources to support provincial planning (training centers or institutes, research units, consulting bodies, etc.)
2. **Program Assumptions and Indicative Evaluation Questions for Local Resources Management**
 - a. **Local mobilization, management, and allocation of resources will result in local development activities which are more responsive to the needs of targeted poverty groups.**
 - Is local government programming responsive to the needs of target poverty groups? How are such needs assessed?
 - Do target groups perceive employment as a priority need?
 - Are local governments supportive of private sector activity? What policies are most conducive to private investment?
 - How do local agencies determine priorities? Who participates? Who is excluded?
 - What is the role of local PVOs in each local setting? Is their activity coordinated with municipalities? How?

- Have any local government programming processes been replicated elsewhere?
- What are the trends in municipal staffing? Qualifications? Turnover rates? Training?
- How do local people perceive municipally-managed development activities vis-a-vis higher level programs operating locally?
- Who is benefitting from local project activities? Where do beneficiaries fall in terms of income distribution?
- What new resources are being generated by improved local financial management? At what cost?

b. Improved provincial strategic planning performance (backed by appropriate research capability) will facilitate municipal level, beneficiary managed development activities.

- How is the relationship between provincial and municipal agencies perceived by each?
- What are the major constraints to effective cooperation?
- Is there any evidence that stronger provincial planning constrains local initiative? supports local initiative?
- What policy and management studies have been produced by support institutions? Are these being utilized? By whom?
- How dependent are provincial planning processes on technical assistance personnel or external funding?
- What evidence is there of improved project management? To what can this be attributed?
- How does the province monitor and evaluate local activities? How is information fed-back into the system? With what effect?
- Are provincial governments able to influence the budget allocations of line ministries?

c. National development priorities and programs will support local development programming discretion.

- How much authority do local governments have over central resources devoted to lower levels? What are the boundaries on their programming discretion?
- How much authority do local governments have over locally generated resources? What boundaries exist on their use of these funds?
- What are the limits on local freedom to utilize new tax sources? Enforce collection?
- Is there any demonstrable increase in central government commitment to decentralization?
- Do nationally-directed programs drain local staff and monetary resources?
- Are the functions and responsibilities transferred to local government clearly delineated?

3. Relevant Projects: Local Resources Management

- Local Resources Management
- Municipal Development Fund (ESF)
- Real Property Tax Administration
- Regional Development Fund (ESF)

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

1. Baseline Data Needs for Fertility/Infant Mortality Reduction:

- a. Fertility rates
- b. Contraceptive prevalence rates
- c. Assessment of present primary health care delivery in target areas
- d. Infant mortality rates
- e. Disease prevalence data
- f. Rate of growth in labor force (actual and projected)
- g. National spending per capita for all types of primary health care services
- h. Prevalence of breastfeeding and other mortality - related infant care practices
- i. Fertility preference data, particularly the stated desire for another child

2. Program Assumptions and Indicative Evaluation Questions for Fertility/Infant Mortality Reduction:

- a. Delivery of services to reduce fertility and infant mortality will lead to a reduction in the rate of growth of the labor force.
 - What is the relationship between contraceptive availability and acceptance? Between acceptance and fertility?
 - What are the major factors in fertility change (e. g. age structure, nuptuality, marital fertility)?
 - What changes are evident in national labor force growth projections? What is the basis for these changes?
- b. Fertility and mortality reducing services can be combined in a manner that is more cost effective than existing separate service delivery systems.
 - Are family planning field workers assuming a broader service role without dissipating their effectiveness?
 - Is combined service delivery backed by adequate agency coordination and administration arrangements?
 - What are the cost implications of the new approach? How does marginal cost per acceptance compare with traditional family planning service delivery?

- What are the implications of combined service delivery for quality of services?
 - What is the status of field worker recruitment, training, performance?
 - Where are combined services being delivered? Who has access to them? Are remote areas receiving increased coverage?
- c. Community control of health services, including cost absorption, will lead to more effective use of these services.
- How is combined service delivery perceived by local people? Is broader PHC service use evident?
 - What trends are evident in knowledge of family planning and attitudes toward family size? In contraceptive use? In infant/child health care?
 - Is community cost support of health service delivery forthcoming? On what basis? With what resources?
 - Are new service delivery systems financially viable? How will recurrent costs be financed?

Additional Assumptions

1. Income gains from improved rainfed resource management will translate into increasing demand for goods and services from both public and private agencies.
 - a. Baseline Data Needs: Consumer expenditure data in target areas for income producing projects.
 - b. Key Evaluative Questions:
 - How do the rural poor utilize discretionary income? What are priority purchases?
 - Does demand for primary health care services rise with socio-economic status?
2. The benefits of development interventions will lead to reduced fertility.
 - a. Baseline Data Needs: Fertility data for various beneficiary groups.
 - b. Key Evaluative Questions:
 - Does female employment influence family size?
 - Does income correlate with fertility? For which income strata?
 - What interventions have the greatest fertility impact?
3. The national and local political and economic policy context will support achievement of strategy objectives in the four program areas.

Key Evaluative Questions:

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

4. Targeted beneficiaries will have access to and will respond appropriately to program initiatives.

Key Evaluative Questions:

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

5. The benefits of program initiatives for targeted beneficiaries can be replicated and/or sustained as appropriate after the phase out of external assistance.

Key Evaluative Questions:

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

ANNEX II

FY 83/84 EVALUATION SCHEDULE

Annex II

FY 83/84 Evaluation Plan: Listing of Planned Evaluations

Mission USAID/ManilaPage 1 of 8 Pages

Column 1 Activity Description (Number/Title)	Column 2 Last Eval. Completed (Mo./Year)	Column 3				Column 4 Reasons/Issues	Column 5		Column 6 Probable Assistance Needed	
		FY 83		FY 84			Dollar Costs Funding Source	Dollars 000's		USAID Person Days
		START (QTR.)	SUBMIT TO AID/W (QTR.)	START (QTR.)	SUBMIT TO AID/W (QTR.)					
1. 492-0286 Agricultural Research II		3	3			Project	\$20,000	15 days	AID/W TDY 30 days	
2. 492-0297 Rural Roads II	3/81	4	4			Project	\$30,000	15 days	AID/W TDY 30 days	

Column 1 Activity Description (Number/Title)	Column 2 Last Eval. Completed (No./Year)	Column 3				Column 4 Reasons/Issues	Column 5		Column 6 Probable Assistance Needed
		FY 83		FY 84			Dollar Costs Funding Source	USAID Person Days	
		START (QTR.)	SUBMIT TO AID/W (QTR.)	START (QTR.)	SUBMIT TO AID/W (QTR.)				
3. 492-0296 Real Property Tax Administration	10/80	2	3			Project PDS (FY 82)	\$11,500	30 days	AID/W TDY 30 days
4. 492-0366 Reinforced Resources Development			4		FY 85	Project	\$40,000	21 days	AID/W TDY 21 days

Column 1 Activity Description (Number/Title)	Column 2 Last Eval. Completed (Mo./Year)	Column 3				Column 4 Reasons/Issues	Column 5		Column 6 Probable Assistance Needed	
		FY 83		FY 84			Dollar Costs			
		START (QTR.)	SUBMIT TO AID/W (QTR.)	START (QTR.)	SUBMIT TO AID/W (QTR.)		Funding Source	Dollars 000's		USAID Person Days
5. Integrated Area Development - Multi-Project Evalua- tion 492-0303 Bicol Integrated Rural Development 492-0275 Bicol IAD I - Libmanan 492-0289 Bicol IAD II - Rinconada 492-0281 Bicol Secondary & Feeder Roads	10/81	4	4			This joint program evaluation will continue the process of examining the Integrated Area Development experience gained through the GOF program and AID assisted projects undertaken in the Bicol. The focus will be on the role of regional line technical agencies, local governments and private sector, and their ability to cooperate in the integrated planning and coordinated implementation of rural development projects/activities. This evaluation is related to determining the validity of the Local Resources Management hypothesis.	Bicol IFD Project	\$40,000	30 days	AID/W TDY 30 days

Column 1 Activity Description (Number/Title)	Column 2 Last Eval. Completed (No./Year)	Column 3				Column 4 Reasons/Issues	Column 5		Column 6 Probable Assistance Needed	
		FY 83		FY 84			Dollar Costs			USAID Person Days
		START (QTR.)	SUBMIT TO AID/W (QTR.)	START (QTR.)	SUBMIT TO AID/W (QTR.)		Funding Source	Dollars 000's		
6. 492-0358 Local Resources Management	NA			2	2	The first external evaluation will focus on review of project implementation experience at the input/output level, including the functioning of the processes which link the inputs and outputs, and will recommend any needed adjustment in the use of project resources.	Project	\$5,000	15 days	20 person days Filipino contractor
7. Community Health Multi-Project Evaluation 492-0319 Pansy Unified Services for Health 492-0319 Bicol Integrated Health, Nutrition, and Population	8/82			1	1	This evaluation examining experience in both projects directed toward developing basic health facilities for rural residents, will test aspects of the Local Resources Management Hypothesis. Specifically this evaluation will begin to look at whether effective and economical delivery of regionally integrated health, population, nutrition services and improvement of environmental sanitation will result in improved rural health status and quality of life. This evaluation should also document the experience and lessons learned from integrated health delivery at the local level for use in implementing the Primary Health Care Financing Project now being developed for FY 83. The evaluation will not be simultaneous for both projects. The term "combined evaluation" here means that a similar list of questions will be answered in the evaluations since the two projects are so similar in design.				None

Column 1 Activity Description (Number/Title)	Column 2 Last Eval. Completed (Mo./Year)	Column 3				Column 4 Reasons/Issues	Column 5		Column 6 Probable Assistance Needed	
		FY 83		FY 84			Dollar Costs Funding Source	Dollars 000's		USAID Person Days
		START (QTR.)	SUBMIT TO AID/W (QTR.)	START (QTR.)	SUBMIT TO AID/W (QTR.)					
Water-Health Evaluation: Assistance to LWUA* 492-0309 Local Water Development 492-0312 Panay Unified Services For Health 492-0291 Barangay Water I 492-0333 Barangay Water II 492-0345 FVO Co-Financing: Cebu/Mactan Level I Water Resources - T.A.F.**	8/81 11/80	1	4			The projects listed are solely or partially focused on provision of improved adequate water supply and sanitation facilities to the rural poor. Each of these projects claims a strong health rationale as justification for this action. This relatively large portfolio of water supply and sanitation activity provides the Mission and the Agency an unusual opportunity to examine closely the water-health linkage. Evaluation relates indirectly to the Fertility/Infant Mortality hypothesis. Specific request is for BuCen assistance on evaluation of Local Water Development Project (492-0309), but results of evaluation has relevance for all listed projects. Final report on evaluation, which began in 1977, will be completed this year (Ref: MANILA 11950).	PDS	\$136,000		BuCen assistance to Local Water Utilities Administration

*Local Water Utilities Administration
**The Asia Foundation

Column 1 Activity Description (Number/Title)	Column 2 Last Eval. Completed (Mo./Year)	Column 3				Column 4 Reasons/Issues	Column 5			Column 6 Probable Assistance Needed
		FY 83		FY 84			Dollar Costs		USAID Person Days	
		START (QTR.)	SUBMIT TO AID/W (QTR.)	START (QTR.)	SUBMIT TO AID/W (QTR.)		Funding Source	Dollars 000's		
9. ESF Multi-Project Evaluation 492-0342 Elementary Schools Construction 492-0343 Project Design 492-0348 Clark Access and Feeder Roads 492-0361 Municipal Development Fund 492-0374 Regional Development Fund 492-0375 Rural Energy Development Fund 492-0365 Markets	8/81			1	2	This evaluation will cover the Economic Support Fund program. The evaluation will document programming and implementation experience and where possible the early development impact on beneficiaries. This information should be helpful in determining the best programming approaches and development activities for any future ESF monies.	To be determined			

Column 1 Activity Description (Number/Title)	Column 2 Last Eval. Completed (Mo./Year)	Column 3				Column 4 Reasons/Issues	Column 5		Column 6 Probable Assistance Needed	
		FY 83		FY 84			Dollar Costs Funding Source	Dollars 000's		USAID Person Days
		START (QTR.)	SUBMIT TO AID/W (QTR.)	START (QTR.)	SUBMIT TO AID/W (QTR.)					
10. 492-0348 Clark Access and Feeder Roads		3	3			Project	Not determined	5 days	none	
11. ESP Local Government 492-0361 Municipal Development Fund 492-0374 Regional Development Fund		1	1			Project	\$20,000	3 days	none	
12. 492-0345 PVO Co-Financing		FY 82	1			PDS (FY 82)	\$13,000	20 days	AID/W IDY 40 days Filipino contractors 70 days	

Column 1 Activity Description (Number/Title)	Column 2 Last Eval. Completed (No./Year)	Column 3				Column 4 Reasons/Issues	Column 5			Column 6 Probable Assistance Needed
		FY 83		FY 84			Dollar Costs Funding Source	USAID Person Days	Probable Assistance Needed	
		START (QTR.)	SUBMIT TO AID/W (QTR.)	START (QTR.)	SUBMIT TO AID/W (QTR.)					
13. Problems of Project Implementation				1	2	Evaluation will investigate selected aspects of USAID - GOP process of implementing USAID assisted projects. Bottlenecks and problems areas will be identified. Recommendations will be made and lessons will be documented. Though evaluation does not relate directly to any of the four basic evaluation hypotheses, it will contribute directly to USAID efforts to implement its strategy.	PDS	\$30,000	20 days	AID/W EDY 30 days U.S. & Filipino contractors 60 days

ANNEX III

UTILIZATION OF INFORMATION FROM RECENT EVALUATIONS

Annex III

UTILIZATION OF EVALUATION INFORMATION

During FY 81 and FY 82 a variety of evaluation exercises were conducted ranging from early process examinations to impact studies which examined the effect of projects on intended beneficiaries. Between these two extremes evaluations were conducted to provide information for a variety of management decisions concerning the individual project under examination. In some cases, implementation problems and progress (or the lack of it) brought the original design of the project into question. Evaluations surfaced design and implementation issues and provided a forum to discuss and plan design changes at the project and higher management levels. In cases where project activity was approaching conclusion, the evaluation provided information for a decision on whether or not follow-on project activities should be considered and if so, how they should be designed. Each evaluation conducted falls into one or more of the following categories:

Process Evaluation

These evaluations review project implementation and establish whether or not the project is proceeding as planned originally. They usually are conducted early in the implementation life of a project by a team composed of USAID and GOP staff involved in managing the project.

Redesign Evaluation

This exercise usually is focused on issues that over time have emerged and brought into question the design and/or implementation arrangements of the project. The exercise is conducted to highlight the issues, examine them closely, stimulate decisions concerning the necessity of redesign, and if possible, provide the information necessary to develop a new design.

Threshold Evaluation

This is a higher order of the Redesign Evaluation which focuses on providing the information needed to make critical decisions concerning project extension, termination, expansion, or reduction. A threshold evaluation may be scheduled toward the end of a project to document experience with a view toward making a decision on follow-on activities and preparing an information base for designing the next project.

Impact Evaluation

Impact evaluations examine the effect that a project is having or has had on beneficiaries and compare the evidence against the planned result. In all but a few very special cases, the data needed for such evaluations are not available before the end of project activities or later.

Strategic Evaluations

These evaluations address issues which relate to the basic assumptions and hypotheses which underpin broad Mission development strategy and may cut across several projects. The main text of this plan focuses on strategic evaluations scheduled for FY 83 and FY 84

While evaluations often fall into more than one of these five categories, it is useful to discuss each Mission evaluation under the category which best characterizes it.

1. Process EvaluationsBicol Integrated Area Development II - Bula (492-0310)

An FY 81 assessment provided an opportunity for USAID and GOP implementing personnel to review progress and assess their performance against the implementation plan. The exercise provided project staff the opportunity to document implementation problems and bring them to the attention of the senior management levels of the Ministry of Agrarian Reform (MAR) for consideration and guidance. The impact of the most recent (FY 82) evaluation of this project is discussed in the section on threshold evaluations.

Freshwater Fisheries Development - (492-0322)

This FY 82 evaluation focused top management attention on a number of persistent implementation problems. While most of the problems remain, the evaluation did result in a brief spurt of activity and improvements in communications among the various agencies and groups involved with project implementation.

Bicol Secondary & Feeder Roads (492-0281)

This project has experienced implementation problems because of defaults by several road construction contractors. Implementing organizations were not sure of how to handle this situation in an equitable and expeditious manner; thus, considerable delays were experienced. The FY 81 evaluation provided the forum to fully explore the issues involved. Recommendations received top level management consideration and action resulting in the establishment of procedures to negotiate new contracts to continue road construction. In addition the evaluation considered the established design for the planned roads and brought about the downgrading of certain road segments where anticipated light traffic would allow a switch from expensive concrete paving to less expensive (but completely satisfactory) asphalt. The evaluation contributed to a rapid acceleration of project implementation as the project neared its completion date.

Bicol Integrated Area Development I - Libmanan (492-0275)

This FY 81 evaluation examined the procedures for commissioning newly constructed irrigation systems, system operations, and water management issues. The issues involved are not completely within the authority of project level personnel to settle and, therefore, a means of elevating the problem to a higher level was needed. The evaluation served this purpose and led to three feedback sessions with senior levels of the National Irrigation Administration (NIA) focused on these and related problems. These sessions have resulted in establishment of new commissioning procedures covering breaking-in and priming of newly constructed irrigation systems and guidelines for operations, maintenance, and water management.

Samahang Nasyon Support (492-0339)

This early FY 81 evaluation, which was conducted almost entirely by GOP project personnel, served two purposes: (1) to develop among staff unschooled in evaluation principles and procedures respect for taking a critical look at performance; and, (2) to assess progress to date and plan for continued implementation. The evaluation clearly illustrated that many staff responsibilities and functions developing under this pilot project were not fully documented. This finding resulted in the Ministry of Local Government and Community Development (MLGCD) issuing a revised implementing order listing the responsibilities of the management committee and its sub-committees.

Panay Unified Services for Health (PUSH) (492-0312)

Government project managers readily accepted the findings and recommendations of this FY 81 evaluation. A number of positive changes in the project's operations resulted.

The basic training curriculum of Barangay Health Workers (BHWs) was revised to increase the emphasis on provision of health, nutrition, and family planning services, thus striking a more reasonable balance with environmental sanitation functions which had been absorbing a disproportionate amount of BHW time and attention. In addition, the first 50 BHWs deployed in 1979 were retrained to increase their health, nutrition, and family planning knowledge and ability. This bolstered their morale and encouraged their more vigorous pursuit of project objectives.

The evaluation resulted in several changes which have improved project management. With better understanding of the project concept and their roles in project implementation, municipal officials have become more involved, particularly in the environmental sanitation component. Also, the project recording

and reporting system, which was much too complicated and didn't provide an easy flow of information, was simplified and is now beginning to serve the project's information needs. Furthermore, BHW's salaries, which workers used to collect at the provincial treasurer's office, now are distributed by the municipal treasurers, thus saving the BHWs a great deal of time and effort as well as improving their morale.

2. Redesign Evaluations

Real Property Tax Administration (RPTA) (492-0298)

As early as 1980, it was obvious to project personnel of both the GOP and USAID that the project was in trouble because of institutional problems that caused operational difficulties. A preliminary assessment was conducted by the USAID staff and project personnel from two Government organizations involved in implementation. However, the issues to be dealt with were too threatening for staff so closely involved with the project. The participants could not agree on the final report and this evaluation was aborted.

Immediately following this, an objective third party U.S. team was contracted to evaluate the institutional and operational problems, as well as reassess project assumptions. Their findings were similar to the earlier effort but were documented in a report with recommendations for redesign of some elements of the project. The evaluation, completed early in FY 81, found that attempts to coordinate project implementation between the Ministry of Finance (MOF) and the prime implementing organization, the Ministry of Local Government and Community Development (MLGCD), were not proving workable. The issue was raised to the President's Office and resulted in authorization to shift responsibility for project administration to the MOF. In addition, based on the findings of the evaluators and a critical look at existing and potential progress, the Mission Director extended the project for one year in order to allow time for further implementation experience and to provide an opportunity to hold a threshold evaluation in early FY 83 to decide whether or not to continue assistance in this area.

Agricultural Education Outreach (492-0331)

The evaluation of this project in FY 81 took place after a little over one year of implementation. It would have been a fairly routine assessment of progress if not for the fact that problems encountered pointed to weaknesses in project design and management. Especially questioned were certain assumptions about the capacity of the seven agricultural colleges included in the project. Findings showed that capability to plan and implement an outreach program varied from satisfactory at the most competent

college to extremely poor at the weakest college. The evaluation recommended that technical assistance be arranged to help each school devise a plan appropriate to its individual capacity. This assistance is now being provided. The evaluation also uncovered weaknesses in the central project management staff and technical assistance is being provided to correct these deficiencies. Another recommendation was for better communication between the participating colleges, the GOP central project management staff and USAID. This has been accomplished by institution of regular meetings among the participants. A further recommendation to extend the life of the project and add resources to develop faculty capabilities at the weaker institutions was not adopted.

Integrated Agricultural Production and Marketing (IAPM) (492-0302)

The FY 81 evaluation team report was the subject of a key briefing in AID/W which included: AID officials, Deputy Agriculture Minister Lim, GOP Project Manager Edgardo Quisumbing, representatives of the project contractor (Kansas State University), and a member of the evaluation team. The report also served as a background resource document for a two-day intensive project workshop involving all key personnel from the Philippine project offices, KSU consultants and USAID project committee. The report and workshops stimulated enthusiasm for the final phase of the project.

The evaluation report resulted in the preparation of a modified workplan for the remaining two years of the project. A USAID agreement to extend the entire project one year to June 1983 permitted modified scheduling of all elements based on their merits. Without the concentrated initiative stimulated by the evaluation, it would have been difficult for AID and the Government to reach agreement on an acceptable implementation plan for the remaining life of the project.

3. Threshold Evaluations

Bicol Integrated Area Development II - Bula (492-0310)

This July 1982 evaluation focused on key project issues including the possible need to extend the project for one year. Information from the evaluation will be used to determine whether an extension of the PACD is warranted. The evaluation documented construction progress and focused GOP attention on the need for better operation and maintenance of irrigation infrastructure. In addition, it provides useful lessons for the design of future irrigation projects and the organization of farmer associations, particularly in the Bicol Region..

Population Planning

Since the Population Planning II (PP II) evaluation report was issued in April 1981 a number of important findings have been utilized to improve the implementation of PP III.

Not having funds available in a timely fashion and the cumbersome procedures used to account for local currency expenses were described in the evaluation as being the most serious implementation problems affecting both the outreach and voluntary sterilization components of PP II. These problems in large part have been solved in PP III. For voluntary sterilization services, the Philippine Commission on Audit (COA) has given the Population Commission (POPCOM) approval to advance funds to the Ministry of Health (MOH). This provides the MOH the liquidity needed to implement its voluntary sterilization program in a more effective manner.

The evaluation recommended that POPCOM should "develop a facilitative financial system for the transportation of clients to and from clinics for sterilization services." POPCOM reviewed its transportation policies for voluntary sterilization services and issued revised transportation guidelines which contribute to more efficient sterilization service delivery.

The evaluation report noted that there was widespread concern among clinical staff that inadequate funds were allocated by POPCOM for drugs and payment of clinical personnel providing voluntary sterilization services. POPCOM in conjunction with Philippine Medicare, which is responsible for determining the appropriate cost of medical care reimbursable by the Philippine Government, reviewed the present financial levels of sterilization services and decided to increase payments.

Agriculture Research I (492-0280)

One of the objectives of the Mission's evaluation program is to encourage the Government to conduct timely evaluations of its projects and programs. The GOP initiated this evaluation in order to obtain expert outside review of the program of the Philippine Center for Agriculture and Resources Research (PCARR) and incidentally AID's assistance to that program through the Agriculture Research I Project.

The review, which was completed in early FY 81, concluded that the program of research coordinated by PCARR was appropriate to the needs of the country. It confirmed that the linkage among research, off-station trials, and extension service was weak. As a result of this reinforced finding, PCARR now requires that each research proposal include an explanation of how proposed research will be verified by off-station trials and what methods will be employed to disseminate new information to potential beneficiaries.

To respond more efficiently to local needs PCARR has established regional coordinating committees that consider research proposals from the point of view of local needs and local research institution capabilities. The follow-on project (Agricultural Research II, 492-0286), which concentrates on regional research capabilities and stresses agriculture research focused on local needs, is supported by this evaluation's findings and will be enhanced by PCARR's adoption of new procedures for research proposal review.

4. Impact Evaluations

Rural Roads (Rural Roads I, 492-0272 and Rural Roads II, 492-0297)

While not in complete agreement with all recommendations of this FY 81 evaluation, the Mission utilized some of the evaluation results to influence government rural road policy regarding penetration roads, technical specifications, and use of labor intensive methods. The evaluation found that penetration roads had the highest impact and consequently should be given higher priority in future road projects. Another finding was that some roads constructed under the project were overdesigned for the type and amount of traffic they will carry. The evaluation also indicated that labor-intensive construction methods could be employed in more instances, especially in road maintenance which had not received adequate attention. As a result of these findings, GOP project management now is directing priority attention to construction of penetration roads and is studying and experimenting with labor intensive construction methods. Road maintenance issues are being raised in the final phase of project implementation and technical assistance is being provided to develop maintenance plans and operating procedures. In addition, road construction proposals are being reviewed to ensure that road design does not exceed that which is required.

The evaluation was scheduled to be completed in time to be used as a basis for a Project Paper Amendment increasing funds by \$10 million. The draft report was used by AID/W in considering the amendment. Information contained in drafts or acquired informally from the evaluation team was also used in recommending modification in the road program and confirming agreement on these changes in the Project Agreement.

PL 480 Title II

This FY 81 evaluation provided information which has influenced management decisions both in AID/W and the Mission regarding the continuation of the program. While it would not be justified to state that the decision to phase out PL 480 Title II assistance to the Philippines is a result of the evaluation, the evaluation has been and will continue to be influential in

programming the phase out. The evaluation analyzes the effectiveness of the variety of PL-480 Title II activities and provides the Mission and AID/W with a prioritized list of activities based on cost effectiveness and nutrition impact. In this way, with the cooperation of the two voluntary agencies implementing the program, less effective activities can be curtailed or phased out first.

Bicol Integrated Area Development (492-275, 281, 289, 310 & 319)

This FY 81 PPC coordinated impact evaluation was useful in documenting the history of the Bicol River Basin Development Program (BRBDP) and providing some direction for the new BRBDP Director.

5. Strategic Evaluations

Bicol Integrated Area Development III - Buhí (492-0289)

This FY 82 evaluation focused on upland agroforestation activities at Lake Buhí which started in 1978 with grant assistance and now is receiving support from the Bicol IAD loan. The objective of the evaluation was to test Rainfed Resources Development hypothesis of the evaluation plan and to collect information for the design of the Rainfed Resources Development (RRD) Project. While the evaluation provided some information relevant to the hypothesis, it was more useful as a source of lessons for the design of RRD. As a result of the evaluation, the RRD design was modified to enable the testing of a wider range of upland development approaches. RRD will benefit from information collected by the evaluation on appropriate government budget procedures, the capability of various government agencies to undertake upland activities, and the effects of land tenure issues on efforts to promote upland development. Based on the evaluation, it was decided that farmers participating in the RRD project would not be paid for work performed on their own farms.

Economic and Social Impact Analysis/Women in Development (ESIA/WID) (492-0295)

The primary objective of the ESIA/WID project is to improve the capability of the GOP to monitor and measure economic progress, social change, and the impact of development projects. Thus implementation of the project has involved a wide variety of evaluations of a large number of development activities. While the FY 82 evaluation of the ESIA/WID Project did not contribute directly to testing of key evaluation hypotheses, it did provide lessons concerning approaches and procedures for conducting evaluations. The use of very sophisticated methodology in the micro component of the project revealed that complex evaluation techniques should be avoided whenever simple methods are adequate. In addition, evaluation activities should not depend on the

development of new indicators for measuring impact. New indicators are very hard to develop; most evaluations should utilize existing indicators. Furthermore, collection of survey data for evaluation purposes is very difficult; thus existing data sources should be used whenever possible.

Rural Service Centers (492-0304)

Among other things, this FY 82 evaluation attempted to collect information useful to the design of the new Local Resources Management (LRM) Project. The results of evaluation support the Local Resources Management hypothesis (increased local government authority and capacity to make decisions will result in expanded employment opportunities.) Fully sixty percent of those surveyed indicated that their incomes had increased as a result of the project. Average increase was \$15 per family per month which represents about a ten to twenty percent increase in total income. Also, 94 percent of subproject participants felt that the subprojects have increased solidarity and cooperativeness within the barangay. In addition to supporting the hypothesis, these results also provide reasons for optimism concerning the new Local Resources Management (LRM) Project. The evaluation also indicated that financial procedures for pilot activities were relatively successful and therefore could be adopted for use within the LRM project. Other lessons relevant to the design of LRM include: donor assistance programs can shift the focus of local government planning to the needs of low income groups, local government planning offices need additional skills training, "seed" money should be disbursed in a timely manner, and it is not always possible to limit subprojects to the lowest income groups of affected barangays. Furthermore, the evaluation documented implementation problems and issues which should prove useful in implementation of the LRM Project.