

PARTNERSHIP FOR GROWTH

Cross-Cutting Report

For Mid-Term Evaluations of
El Salvador & The Philippines' PFG Initiatives

January 2015



Cross-Cutting Final Report

For

PARTNERSHIP FOR GROWTH MID-TERM EVALUATION

EL SALVADOR AND THE PHILIPPINES



Optimal Solutions Group, LLC

Mark Turner
Christabel Dadzie
Peter Murrell

Table of Contents

TABLE OF CONTENTS	3
LIST OF TABLES.....	5
LIST OF FIGURES	6
ACKNOWLEDGEMENTS.....	7
ACRONYMS	8
EXECUTIVE SUMMARY	10
Purpose of Evaluation	10
Findings, Conclusions, and Recommendations	11
Cross-Cutting Question One: What are the advantages and/or disadvantages of the PFG whole-of-government approach to development assistance?	12
Cross-Cutting Question Two: To what extent has Partnership for Growth affected the workload on national government and U.S. government staff, as compared to the workload created by traditional forms of development-assistance delivery?	13
Cross-Cutting Question Three: What contributions has “non-assistance” made to the PFG process, and how can it be utilized moving forward?.....	14
Additional Findings and Recommendations	14
Overall Takeaways.....	15
1. INTRODUCTION	16
2. GENERAL EVALUATION FINDINGS	19
2.1 Overview of El Salvador and the Philippines PFG Initiatives.....	19
2.2 Overall Key Findings	20
3. DETAILED FINDINGS	21
3.1 Advantages of the PFG Initiative.....	21
3.2 Overall Conclusions.....	23
3.3 Recommendations	23
4. CROSS-CUTTING QUESTION ONE: WHAT ARE THE ADVANTAGES AND/OR DISADVANTAGES OF THE PFG WHOLE-OF-GOVERNMENT APPROACH TO DEVELOPMENT ASSISTANCE?	24
4.1 Findings.....	25
<i>Advantages of WGA</i>	<i>26</i>
<i>Challenges with Implementing WGA</i>	<i>28</i>
4.2 Overall Conclusions.....	29
4.3 Recommendations	29

5. CROSS-CUTTING QUESTION TWO: TO WHAT EXTENT HAS PARTNERSHIP FOR GROWTH AFFECTED THE WORKLOAD ON NATIONAL GOVERNMENT AND U.S. GOVERNMENT STAFF, AS COMPARED TO THE WORKLOAD CREATED BY TRADITIONAL FORMS OF DEVELOPMENT-ASSISTANCE DELIVERY?	31
5.1 Findings.....	31
5.2 Overall Conclusions.....	38
5.3 Recommendations.....	39
6. CROSS-CUTTING QUESTION THREE: WHAT CONTRIBUTIONS HAS “NON-ASSISTANCE” MADE TO THE PFG PROCESS, AND HOW CAN IT BE UTILIZED MOVING FORWARD?	40
6.1 Findings.....	40
6.2 Conclusions.....	46
6.3 Recommendations.....	47
7. ADDITIONAL FINDINGS AND RECOMMENDATIONS	48
7.1 Management, Operations, and Evaluation of PFG.....	48
7.2 Overall Conclusions.....	57
7.3.1 Recommendations.....	57
8. OVERALL TAKEAWAYS.....	59
ANNEX 1 - EVALUATION STATEMENT OF WORK	60
ANNEX II: EL SALVADOR AND THE PHILIPPINES’ PFG INITIATIVES ORGANIZATIONAL CHARTS	79
ANNEX III: REFERENCE LIST	81

List of Tables

Table 2.1: Key Factors of the El Salvador and Philippines PFG Initiatives	19
Table 5.1: Respondents' gender.....	33
Table 5.2: Hours per week dedicated to planning and developing PFG	38
Table 6.1: Number of interviewees who provided examples of non-assistance activities in PFG El Salvador Initiative.....	41
Table 6.2: Has non-assistance contributed to the PFG process in the Philippines?.....	43

List of Figures

Figure 3.1: Did PFG bring changes compared to other approaches to development assistance intended to affect economic growth? (responses from evaluation surveys only)	21
Figure 3.2: Is PFG meeting its goal of advancing economic growth in El Salvador? (responses from evaluation surveys only)	22
Figure 5.1: Changes in workload resulting from PFG involvement: GOES and GPH, USG-El Salvador and USG-Philippines	32
Figure 5.2: Changes in workload resulting from PFG involvement, by gender	33
Figure 5.3: Change in workload resulting from PFG by task—GOES and GPH, USG and El Salvador, and USG and the Philippines	34
Figure 5.4: Perceived effectiveness of PFG compared to traditional development assistance approaches	36
Figure 5.5: Staff involved in planning and development of PFG	37
Figure 6.1: Have you seen non-assistance tools being used in the PFG activity with which you are or were involved? (responses from El Salvador evaluation survey only)	42
Figure 6.2: Respondents Awareness of Non-Assistance Activities by Stakeholder Type (responses from El Salvador evaluation survey only)	42
Figure 6.3: Have you seen non-assistance tools being used in the PFG activity with which you are or were involved? (Based on Philippines' evaluation survey responses only)	44
Figure 6.4: Survey responses regarding whether non-assistance is being used in the PFG Philippines Initiative	44
Figure 6.5: Accurate examples of direct quotes about non-assistance in the El Salvador PFG initiative, provided by survey respondents.....	45
Figure 6.6: Accurate examples of non-assistance in the Philippines PFG Initiative, provided by interview and survey respondents	46
Figure 7.1: Are the appropriate indicators being used to allow for transparent, accountable, and fact-based monitoring of the PFG? (responses from El Salvador evaluation survey responses only)	54
Figure 7.2: Are the appropriate indicators being used to allow for transparent, accountable, and fact-based monitoring of the PFG? (responses from El Salvador evaluation survey responses only)	54
Figure 7.3: Are the appropriate indicators being used to allow for transparent, accountable, and fact-based monitoring of PFG? (responses from Philippines evaluation survey responses only).....	56
Figure 7.4: Are the appropriate indicators being used to allow for transparent, accountable, and fact-based monitoring of PFG? (responses from Philippines evaluation survey responses only).....	56

Acknowledgements

The evaluation team is grateful for the contributions of various individuals who were instrumental in the evaluation process and in reviewing the PFG reports. Namely, the USAID points of contact in Washington D.C., Alex Gainer, Alice Brooks, Brian Levey, Stu Callison, David Kauper, Ryder Rodgers, and Mileydi Guilarte. Special thanks goes to the El Salvador and Philippines points of contact, Jennifer Johnson, Mauricio Ruano, Gil Di-Liaccio and Gerald Britan, respectively.

A big thank you also goes to the Troika at USAID, MCC, INL, and State Department who met with the evaluation team and provided thorough feedback on the final evaluation report. Likewise, we are very grateful for the time, information, and insights provided by our 115 interviewees, including government officials, implementers, and independent experts, whose contributions are at the heart of this evaluation.

The authors are also grateful to the support team at Optimal –Joanne Perodin and Omotunde Okesanya for their tireless efforts in the development on this report.

Acronyms

AGO	Attorney General's Office
CA	Constraints Analysis
COR	Contracting Officer's Representative
DBM	Department of Budget and Management
DFA	Department of Foreign Affairs
DOF	Department of Finance
DOJ	Department of Justice
DTI	Department of Trade and Industry
EMB	Electoral Management Body
ENPV	National Violence Prevention Strategy
FAA	Federal Aviation Administration
FBI	Federal Bureau of Investigation
FCS	Foreign Commercial Service
FDI	Foreign Direct Investment
FEMA	Federal Emergency Management Agency
GDP	Gross Domestic Product
GOES	Government of El Salvador
GPH	Government of the Philippines
ICITAP	International Criminal Investigative Training Assistance
IMD	International Institute for Management Development
INL	International Narcotics and Law Enforcement Affairs
INVEST	Investment Enabling Environment
IP	Intellectual Property
IVLP	International Visitor Leadership Program
JCAP	Joint Country Action Plan
LOAs	Lines of Action
M&E	Monitoring and Evaluation
MCC	Millennium Challenge Corporation
NEDA	National Economic Development Authority
NGO	Non-Governmental Organization

OPDAT	Office of Overseas Prosecutorial Development, Assistance & Training
PFG	Partnership for Growth
PNC	Policia Nacional Civil
POC	Point of Contact
SOW	Statement of Work
TPP	Trans-pacific partnerships
UGRAD	Global Undergraduate Program
UMEP	Updated Methodology and Evaluation Plan
UNODC	United Nations Office on Drugs and Crime
U.S.	United States
USAID	United States Agency for International Development
USG	United States Government
USTR	United States Trade Representative
WGA	Whole of Government Approach

Executive Summary

The Partnership for Growth (PFG) aims to achieve accelerated, sustained, and broad-based economic growth in partner countries, including El Salvador and the Philippines, through bilateral agreements between the United States Government (USG) and the partnering countries' national governments. Using principles set forth in President Barack Obama's September 2010 Presidential Policy Directive on Global Development, the PFG requires rigorous, joint analyses of countries' individual constraints to growth to develop joint action plans to address the most pressing of these constraints and to establish high-level mutual accountability for the goals and activities selected to alleviate them.

The countries of El Salvador, the Philippines, Tanzania, and Ghana were selected as the first group of countries in which the U.S. and partner governments would attempt to structure new PFG initiatives, with selection based, in part, on each of country's record of accomplishment in implementing ongoing Millennium Challenge Compacts.

In November 2011, the USG and the Government of El Salvador (GOES) signed a Joint Country Action Plan (JCAP) that identified two primary constraints to Salvadoran economic growth and 20 goals aimed at easing those constraints. Each goal is associated with multiple lines of action (LOAs) to be undertaken by the GOES and the USG. It is believed that carrying out the agreed-upon LOAs will lead to goal achievement, which, in turn, will mitigate the effects of currently binding constraints and accelerate and sustain El Salvador's rate of broad-based, inclusive economic growth.

That same month, the USG and the Government of the Philippines (GPH) also signed a Joint Country Action Plan (JCAP) that identified two primary constraints, each with three sub-constraints, to Philippine economic growth based on three interrelated themes of development intervention. Each constraint was accompanied by a set of goals, policies, and actions to relieve them. The agreed-upon actions are designed to lead to goal and policy achievement, which, in turn, will mitigate the effects of currently binding constraints and, therefore, accelerate and sustain the Philippines' rate of broad-based, inclusive economic growth.

Purpose of Evaluation

Optimal Solutions Group, LLC (Optimal) was contracted to conduct a mid-term evaluation of the PFG initiative in El Salvador and the Philippines. According to the evaluation statement of work (SOW), this evaluation serves two purposes.

First, the evaluation analyzes whether the PFG process demonstrates improvements over pre-PFG assistance approaches. In particular, the evaluation was tasked with examining the extent to which the PFG's whole-of-government approach (WGA) and constraints analysis (CA) led to a change in the way the USG delivered development assistance.

The second purpose of the evaluation consists of two parts:

- (i) Evaluate whether PFG process demonstrates improvements over pre-PFG assistance approaches.
- (ii) Evaluate:

- a. whether PFG efforts have been developed in such a way as to allow for the eventual determination of their impact on addressing the identified constraints and desired outcomes.
- b. the performance of certain initiatives to date to determine whether or not they are moving in the right direction, are considered necessary and sufficient to achieve PFG goals, and are contributing to national interests through the integration and coordination of work done by both governments.

This Cross-Cutting report serves as a compilation of the individual independent mid-term evaluations for El Salvador and the Philippines. The purpose of this report, which focuses on the first part of the evaluation list above, is to compare and contrast the findings and conclusions from the two mid-term evaluations, to identify commonalities, good practices and lessons learned that will inform the overall process and implementation of the PFG initiative.¹ The methodology used for the individual evaluations can be found in the country-specific reports.

This report is guided by the following three cross-cutting evaluation questions as outlined in the SOW.²

Cross-Cutting Questions:

- 1) What are the advantages and/or disadvantages of the PFG whole-of-government approach to development assistance?
- 2) To what extent has PFG affected the workload on national government and U.S. government staff, as compared to the workload created by traditional forms of development-assistance delivery?
- 3) What contributions has “non-assistance” made to the PFG process, and how can it be utilized moving forward?

Findings, Conclusions, and Recommendations

General Evaluation Findings

In general, the evaluation team found that PFG has aided in positive movement of policy reforms in El Salvador and the Philippines. The PFG initiative was viewed as positive within both countries studied. The whole of government approach has been lauded as one of the most important components of PFG, promoting effective decision making because all needed stakeholders are included in discussions concerning policy reform and implementation. Non-assistance tools have been leveraged in both PFG initiatives. PFG as an initiative experienced some challenges in its management, monitoring and evaluation, suggesting better guidance is needed during the design of PFG initiatives.

Advantages of the PFG Initiative

Findings

- PFG has contributed to positive changes in its approach to development assistance as compared to previous strategies.

¹ Partnership for Growth Mid-term Evaluation Report: El Salvador and The Philippines, pg. 18

² *Evaluation Statement of Work, 2013. pgs. 9–10*

- PFG has aided in the positive movement of policy reforms.
- Initial PFG planning through the constraints analysis activity laid a good foundation for the PFG initiative, although meeting agreements were sometimes challenging.

Conclusion

Overall, PFG in both countries was viewed as a positive initiative and a welcomed change in USG's development strategy. Respondents perceived that there has been progress in economic growth, and the realization of positive policy reforms as a result of PFG in both El Salvador and the Philippines. However, the analytical process of both the constraints analysis and the JCAP, and the political process of attaining agreements on design of programs resulted in delays in the anticipated schedule for programming and other targeted initiatives.

Recommendations

For future PFG initiatives, it would be useful to have set guidelines and templates on how to design the PFG initiative in order to prevent delays or confusion in terms of what can and cannot be included in the initiative.

While PFG was deliberately set up not to focus on budget, budget implications as a result of the PFG initiative's operational components should be considered during the design phase, and preferably both governments should make a commitment to apportioning funding towards such elements.

Cross-Cutting Question One: What are the advantages and/or disadvantages of the PFG whole-of-government approach to development assistance?

Findings

- The consultative and inclusive nature of the constraints analysis served as a foundation for fostering the whole-of government-approach.
- Within USG, the WGA has focused human and operational resources on the policy and programmatic objectives of PFG.
- WGA has enhanced understanding and cooperation among USG agencies.
- WGA has led to increased coordination between USG and partner countries, and ultimately increased efficiency.
- WGA requires a significant amount of time to be effective.

Conclusion

The WGA was viewed as a positive approach within the PFG initiative that improved the way development assistance is implemented. The WGA has led to increased coordination within USG, and the individual partner governments, and between the governments (USG and GOES, and USG and GPH). This increased coordination, while time consuming, has led to improved operational efficiency because when all relevant stakeholders gather to identify a solution, the outcome tends to be comprehensive and relevant. The WGA has also promoted better programing because of the increased buy-in of all stakeholders during project design and implementation. Some challenges of the WGA include: the increased staff time needed to effectively implement the WGA, and the fact that it is sometimes challenging to gather and coordinate all needed stakeholders, which could lead to implementation delays.

Recommendations

The evaluation team heard, but also witnessed WGA in action, and found it to be a very effective component of the PFG. The team recommends that this approach should be leveraged in future PFGs and similar development initiatives, with a major policy or institutional development component.

A bilateral management team to run the entire PFG initiative should be established at the onset. For the implementation of WGA (as well as other components of PFG) to be effective and sustainable, the evaluation team recommends that all PFG initiatives, develop a PFG bilateral governance structure. Such a structure exists at varying levels in the two PFG programs studied. Ideally, this management team should have two full time staff members who would be the PFG representatives/ coordinators for each country. The management team could spearhead collaboration activities, engage stakeholders in identifying non-assistance activities (discussed subsequently), promote PFG awareness programs and lead the monitoring and evaluation unit. Such an entity would also be crucial to facilitating training of PFG staff on how to operationalize and monitor their projects, but also how to identify opportunities for coordination and non-assistance.

The evaluation team also recommends developing performance measurements that track the role of coordination activities in promoting effectiveness. Performance measurement components should be incorporated as part of the design and indicators that define WGA coordination activities in order to track how these activities can lead to enhanced effectiveness and efficiency.

Cross-Cutting Question Two: To what extent has Partnership for Growth affected the workload on national government and U.S. government staff, as compared to the workload created by traditional forms of development-assistance delivery?

Findings

- PFG has resulted in an overall increase in the workload of PFG staff in El Salvador, Philippines, and assigned staff in Washington D.C.
- There was no discernible difference in workload by gender.
- PFG has prompted a significant increase in workload specifically focused on coordination in El Salvador, and coordination and communication in the Philippines, both within and between governments.
- PFG has prompted a significant increase in work specifically for stakeholders involved in planning.
- Increased workload is associated with perceived effectiveness of PFG and WGA.

Conclusion

The PFG initiative has prompted a significant increase in both intra- and inter-governmental coordination, a finding that aligned with data gathered in discussing WGA previously. It may be too early to assess the effectiveness of PFG, but survey results suggested that staff in USG, GOES, and GPH who invested a significant amount of time into PFG also believed that PFG is a significant improvement over former development assistance practices. Thus, increased workload seems to have translated into increased efficiency.

Recommendation

- Leverage the recommended management team to assist in rebalancing the workload of PFG staff across the Initiative.

Cross-Cutting Question Three: What contributions has “non-assistance” made to the PFG process, and how can it be utilized moving forward?

Findings

- The most frequently cited form of non-assistance involved the diplomatic engagement, primarily of USG Leadership—Ambassador and USAID Mission Directors.
- The concept of non-assistance is unclear to many PFG stakeholders, outside of leadership.
- Overall, non-assistance efforts have led to largely positive results.

Conclusion

In both El Salvador and the Philippines, USG embassy leadership provided the clearest examples of the successful use of non-assistance. However, the value of promoting PFG goals through non-assistance tools, attained and pending, was not always evident. Opportunities exist to leverage non-assistance activities to promote a positive adjustment of expectations for the investor community, foreign and domestic, and citizens.

Recommendations

- PFG participants need to become more knowledgeable about the diversity of forms non-assistance takes and its value should be conveyed to both PFG staff and beneficiaries.
- Improve reporting and public awareness on non-assistance activities.
- Increase staffing (and budget) on assignments geared toward identifying, working on, and publicizing non-assistance activities.

Additional Findings and Recommendations

Findings

- PFG initiatives did not always follow the constraints analysis.
- The JCAP was instrumental for the design phases of the PFG initiative, but varied in its use once implementation begun.
- Evaluating some components (non-project activities) of the PFG initiative can be challenging.
- The timeline of PFG initiative’s initiation should be taken into account for management and M&E purposes.
- The scorecard process is commendable and should be continued. However, both PFG initiatives shared challenges with the scorecard process:
 - El Salvador PFG
 - El Salvador PFG Goal leads were not fully aware of three long-term indicators and how constraint-level indicators align with goal-level indicators, and feed into the scorecard process.
 - The scorecard process is largely negotiated and not entirely fact-based.

- Philippines PFG
 - The annual PFG scorecards indicate macro-level progress in the Philippines that is less indicative of PFG progress.
- Stakeholders from both PFG initiatives felt that, in some instances, better indicators could have been selected to monitor PFG, but they did not readily provide alternatives.

Conclusion

The strategies employed by both countries evaluated differed in terms of how the PFG initiative should actually be implemented. El Salvador solely focused on the identified constraints; while the Philippines expanded the strategy to include constraints outside of those determined as binding. Further, some elements of the JCAP were not followed in the Philippines. While the PFG initiatives in El Salvador and the Philippines have made positive strides in their respective initiatives, challenges remain in how the initiative should be managed and implemented.

Recommendations

- Incorporate into the guiding documentation (in this case the JCAP) how to incorporate changes, as needed, in strategy during implementation to enable appropriate tracking and eventual determination of PFG impact.
- Review and update outdated elements of the JCAP at midterm, given that one of the key goals of PFG is to have a rigorous monitoring system for tracking progress and impact.
- Require and develop more robust M&E systems for all PFG projects, and institute training, as needed, to promote systematic tracking.
- Goal-level implementation teams and work plans should be developed at the onset of PFG, but can also be incorporated at mid-term for already established PFG initiatives.
- Identify means of tracking non-project related PFG activities.
- The scorecard presentation process should be used as an innovative learning event.

Overall Takeaways

Overall, the PFG initiatives studied have been effective in implementing a new approach to conducting development. Improvements in economic growth and promotion of policy reforms have been perceived in both countries studied, as a result of PFG. Both country initiatives made positive strides in promoting the core principles of PFG. The WGA was viewed as the most effective component of PFG throughout and should be encouraged for moving forward.

In terms of areas of improvement, future PFG initiatives could use better guidance in the design of the initiatives, possibly leveraging the already existing initiatives. Management, monitoring and evaluation should be more rigorous and systematized to ensure adequate measurement of effectiveness and ultimately impact of the PFG initiatives.

1. Introduction

1.1 Background and Context

The Partnership for Growth (PFG) initiative aims to achieve accelerated, sustained, and broad-based economic growth in partner countries, including El Salvador and the Philippines, through bilateral agreements between the United States Government (USG) and the partnering countries' national governments. Using principles set forth in President Barack Obama's September 2010 Presidential Policy Directive on Global Development, PFG requires rigorous, joint analyses of countries' individual constraints to growth to develop joint action plans to address the most pressing of these constraints and to establish high-level mutual accountability for the goals and activities selected to alleviate them.

The Presidential Policy Directive on Global Development, which recognizes that global economic development "is vital to U.S. national security and is a strategic, economic, and moral imperative for the United States," calls for the elevation of "development as a central pillar of [U.S.] national security policy, equal to diplomacy and defense."³ The directive is based on the premise that "where leaders govern responsibly, set in place good policies, and make investments conducive to development, sustainable outcomes can be achieved."⁴ The directive calls for:

- elevating broad-based and sustainable economic growth;
- increasing the focus of resources, policy tools, and engagement in support of select countries and sub-regions where the conditions are right to sustain progress;
- increasing investment and engagement in development-focused innovation;
- underscoring the importance of country ownership and responsibility; and
- re-orienting the USG approach to prioritize partnerships from policy conception to implementation.

The countries of the Philippines, El Salvador, Tanzania, and Ghana were selected as the first group of countries in which the U.S. and partner governments would attempt to structure new PFG initiatives, with selection based, in part, on each of country's record of accomplishment in implementing ongoing Millennium Challenge Compacts. This report focuses on El Salvador and the Philippines.

El Salvador PFG Initiative

In November 2011, USG and the Government of El Salvador (GOES) signed a Joint Country Action Plan (JCAP) that provided indicators for addressing the two primary constraints (established by the Constraints Analysis) to economic growth in El Salvador— crime and insecurity, and low productivity in the tradables sector—and 20 goals aimed at easing those constraints. Each goal is associated with multiple lines of action (LOAs) to be undertaken by GOES and USG. Both countries believe that carrying out the agreed-upon LOAs will lead to goal achievement, which, in turn, will mitigate the effects of currently binding constraints, and accelerate and sustain El Salvador's rate of broad-based, inclusive economic growth.

³ Remarks by the president at the Millennium Development Goals Summit, September 22, 2010. <http://www.whitehouse.gov/the-press-office/2010/09/22/remarks-president-millennium-development-goals-summit-new-york-new-york>

⁴ Partnership for Growth Fact Sheet. November 2011. <http://www.state.gov/r/pa/prs/ps/2011/11/177887.htm>

Philippines PFG Initiative

Also in November 2011, USG and the Government of the Philippines (GPH) signed a JCAP that identified two primary constraints—weak governance and narrow fiscal space⁵—to Philippine economic growth based on three inter-related themes of development intervention, each accompanied by a set of goals, policies, and actions to relieve the constraints. The agreed-upon actions would lead to goal and policy achievement, which, in turn, will mitigate the effects of currently binding constraints and therefore accelerate and sustain the Philippine's rate of broad-based, inclusive economic growth.

1.2 Purpose and Scope of the Evaluation

The evaluation of El Salvador's and Philippines' PFG initiative served two purposes:

- **Purpose 1:** The first purpose was to evaluate whether the PFG process demonstrates improvements over pre-PFG assistance approaches. In particular, the evaluation examined the extent to which PFG's whole-of-government and constraints analysis approach led to a change in the manner of USG delivery of development assistance; and whether these changes demonstrated improvements in terms of operational efficiency, selection, coordination, design and management of development interventions, and ultimately increased the probability and effectiveness of assistance efforts in achieving verifiable results. The findings and conclusions of this part of the mid-term evaluation will help decisionmakers determine whether PFG indicates an improved model for providing assistance and whether it portends a higher probability of achieving desired development results. Further, the evaluation will inform governments in their work with all donors.
- **Purpose 2:** The second purpose was to: 1) evaluate whether PFG efforts have been developed in such a way as to allow for the eventual determination of their impact on addressing the identified constraints and desired outcomes; and 2) to evaluate the performance of certain initiatives to date to determine whether or not they are moving in the right direction, are considered necessary and sufficient to achieve PFG goals, and are contributing to national interests through the integration and coordination of work done by both governments. The findings and conclusions of the country-specific portion of the mid-term evaluation are of particular relevance and will provide tangible input to the national government and USG entities for identifying obstacles and optimizing PFG implementation in the field, allowing for country-program course corrections where feasible and needed in order to enhance the likelihood of achieving sustainable, cost-effective, and measurable results.

This Cross-Cutting report is a compilation of the individual independent mid-term evaluations for El Salvador and the Philippines. The purpose of this report, which focuses on evaluation purpose 1, is to compare and contrast the findings and conclusions from the two mid-term evaluations, to identify commonalities, good practices and lessons learned that will inform the overall process and implementation of the PFG initiative.⁶ The methodology used for the individual evaluations can be found in the country-specific reports.

⁵ Note that there were four constraints considered for analysis: Fiscal Space, Infrastructure, Aspects of Governance, and Human Capital. However, at the end of the constraints analysis process, two constraints were deemed binding - Governance, Fiscal Space. (<http://www.state.gov/documents/organization/188309.pdf>, pg. 7).

⁶ Partnership for Growth Mid-term Evaluation Report: El Salvador and The Philippines, pg. 18

1.3 Evaluation Questions

The cross-cutting report focuses on the following three cross-cutting evaluation questions:

- 1) What are the advantages and/or disadvantages of the PFG whole-of-government approach to development assistance?
- 2) To what extent has PFG affected the workload on national government and U.S. government staff, as compared to the workload created by traditional forms of development-assistance delivery?
- 3) What contributions has “non-assistance” made to the PFG process, and how can it be utilized moving forward?⁷

The report is structured as follows:

First, key findings are provided and include findings on the overall PFG initiative. Subsequently, responses to the three cross-cutting questions, including conclusions and recommendations for future PFG initiatives, are provided. Finally, additional findings that were gathered during the evaluation found to be useful for future PFG initiatives are shared. These findings also include conclusions and recommendations.

⁷ Partnership for Growth Mid-term Evaluation Report: El Salvador and The Philippines, pg. 9-10

2. General Evaluation Findings

The subsequent chapters detail the key findings and conclusions gathered from the El Salvador and the Philippines mid-term evaluations, focusing first on general information gathered during the evaluation, and then subsequently detail the findings from the three main evaluation questions.

2.1 Overview of El Salvador and the Philippines PFG Initiatives

Table 2.1 below provides useful context for understanding the El Salvador and the Philippines PFG initiatives, noting key commonalities and contrasts:

Table 2.1: Key Factors of the El Salvador and Philippines PFG Initiatives

Situation	El Salvador PFG	Philippines PFG
Start Date (Signing of JCAP)	November 2011	November 2011
Constraints	Crime and Insecurity Low Productivity and Tradables	Weak governance Narrow fiscal space
Number of goals	20	17
Number of LOAs/ activities	153	15
Initiation of LOAs/Activities (Date of initiation of first project post-PFG)	November 2011 (Growth Council)	November 2011 (INVEST project)
Types of projects included in PFG initiative	Legacy projects, already being implemented prior to PFG, existed and were folded into the program. However, new projects were also initiated as part of the El Salvador PFG initiative.	No legacy projects, all projects were initiated after PFG
Key implementer (manages the most PFG projects)	USAID El Salvador	USAID Philippines
Key convener of PFG activities	US Department of State (via the Ambassador and DCM)	US Department of State (via the Ambassador and DCM)
USG/ Host Joint Government Leadership entity	USG Principals Group (includes State Department, USAID, INL, DOJ, FBI)	Steering Committee
Management/ Coordination ⁸	USG PFG Coordinator, GOES PFG Coordinator	Steering Committee Technical Sub-committees
Monitoring and Evaluation Framework	Partnership for Growth: El Salvador-United States Joint Country Action Plan Monitoring and Evaluation Addendum to the Joint Country Action Plan (December 2011)	Philippines-U.S. Partnership for Growth Amplified Monitoring and Evaluation Plan (February 2012) <i>*the document promised for a detailed PFG M&E framework to be developed in April 2013, but is yet to be developed.</i> ⁹

⁸ Organizational charts for El Salvador and the Philippines' PFG initiatives can be found in Annex III.

⁹ Note that USAID/ Philippines has developed an M&E framework for its country development strategy and has reported that it will adopt this framework for PFG projects. The evaluation team however notes that this framework is not specific to all PFG projects and is not followed by both the USG and GPH program managers, and therefore notes the lack of a PFG M&E framework as defined by the PFG JCAP.

2.2 Overall Key Findings

Overall, the PFG initiative was viewed as positive within both countries studied. The initiative was welcomed as a refreshing shift in how development assistance is implemented—promoting buy-in and coordination by the partner government and multiple USG agencies. At mid-term, positive outcomes have already been attributed to PFG. PFG staff also appreciated the foundational elements of PFG that guided a more rigorous and focused implementation process. The structured approach of identifying key constraints and tackling them over a period of time was largely viewed as an asset to the initiative.

The whole of government approach (WGA) has been lauded as one of the most important components of PFG, promoting effective decisionmaking given that all needed stakeholders are included in discussions concerning policy reform and implementation. Through WGA, agencies that would normally not work together are collaborating for more effective outcomes. Further, coordination has increased both within and among governments. While WGA has been useful, it is time consuming and not always possible given differing structures and confidentialities with some projects and agencies. Overall, PFG has increased the workload of staff, for both USG and host government staff, particularly during the initial planning stages.

Non-assistance tools have been leveraged in both PFG initiatives. Among leadership the term “non-assistance” is known and used, however across PFG stakeholders, the term and its potential contribution is not as known.

While PFG as an initiative is viewed as an improved development approach, some challenges were realized in its management, monitoring and evaluation. Key stakeholders and evaluators both agreed that the PFG initiative should be unique to each country in order to ensure its utmost effectiveness. However, an issue to be considered is whether the foundational aspects of PFG—the constraints analysis, the JCAP, or both—can be strayed from during implementation. In addition, while the constraints analysis is based on established economic modelling, and therefore provides a structured roadmap for its development, the JCAP does not have any existing template for how it should be structured. Finally, there are no clear guidelines for PFG country programs on overall implementation, particularly how to incorporate changes within a respective country’s context, or revise a constraints analysis or JCAP mid-way through implementation.

Specific to the Philippines PFG initiative, while stakeholders are aware that the official start date of PFG is when the JCAP was signed, November 2011, key stakeholders however questioned what the true start date of the initiative is given that upon completion of signatures for inaugurating the initiation of PFG, the implementation of projects did not start immediately, but approximately a year later. The answer to this question is key for management purposes, but also for evaluating the initiative. For instance, an extensive amount of time was dedicated in the Philippines (after the JCAP was signed) to advocacy for key government reforms prior to actually initiating projects. The identification of the true start date for PFG was found to be important given that it dictates how the initiative would be managed and when evaluations should occur, ultimately determining when impact of the program can be assessed. Further, stakeholders questioned if projects had been implemented long enough to warrant conducting the mid-term evaluation after two and half years of the initiative. Respondents in the field were quick to ask if the initiative was truly at mid-term, given that initiation of projects did not occur until a year after signing the JCAP.

Finally, concerning M&E of the PFG evaluation, better guidance is needed during the design of PFG initiatives. The examples of El Salvador and the Philippines demonstrated that M&E was not systematic and indicators were not always relevant, making it difficult for the PFG initiatives to achieve the goal of effectively tracking results through quantitative means and ultimately being able to identify the impact of the initiative.

3. Detailed Findings

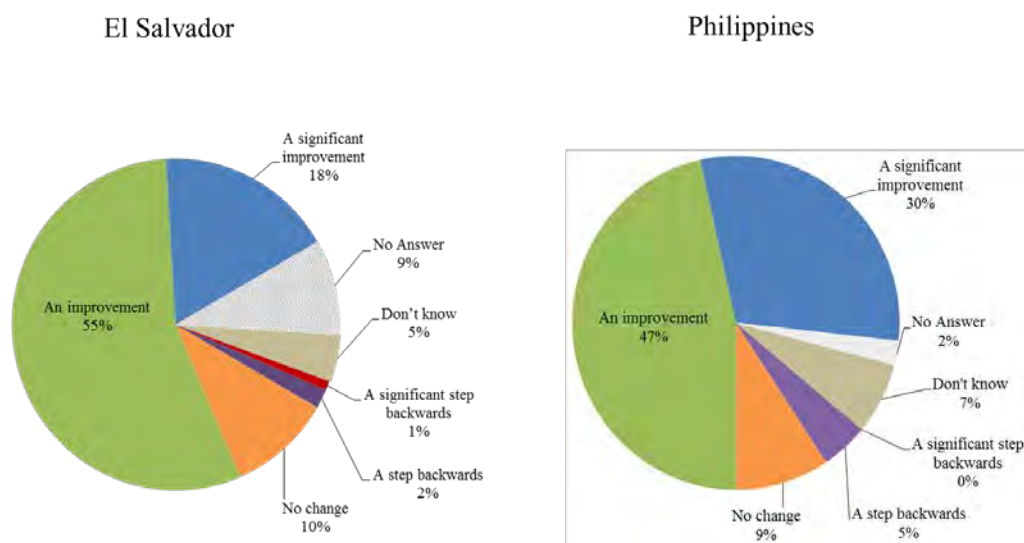
3.1 Advantages of the PFG Initiative

Finding 1: PFG has contributed to positive changes in its approach to development assistance as compared to previous strategies

Both evaluations of the PFG initiatives in El Salvador and the Philippines obtained resounding support for its design and process. Based on responses from the online survey, the evaluation team found that respondents perceived PFG to be a significant improvement over other development assistance strategies.

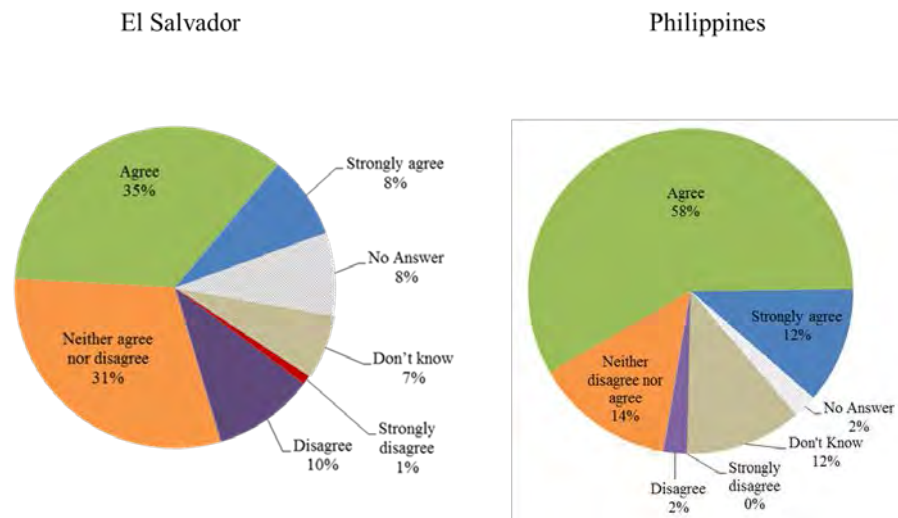
From the survey respondents in El Salvador, as shown in figure 3.1 below, a total of 73 percent of respondents believed that PFG was an improvement over other forms of development assistance (55 percent view the initiative as “an improvement” and 18 percent saw it as a “significant improvement”). The findings in the Philippines were similar, with 77 percent of respondents stating that PFG was an improvement (47 percent view the initiative as “an improvement” and 30 percent saw it as a “significant improvement”).

Figure 3.1: Did PFG bring changes compared to other approaches to development assistance intended to affect economic growth? (responses from evaluation surveys only)



Online survey respondents also shared their views on whether the PFG initiative is meeting its ultimate goal of advancing the economy in the countries of implementation. As illustrated in figure 3.2 below, 43 percent of respondents in El Salvador agreed that PFG is meeting its goal of being a catalyst for promoting economic growth (8 percent “strongly agree” and 35 percent “agree”). In the Philippines, the rate of approval was even higher with 70 percent of respondents agreeing that PFG is meeting its goal of advancing economic growth (12 percent “strongly agree” and 58 percent “agree”).

Figure 3.2: Is PFG meeting its goal of advancing economic growth in El Salvador? (responses from evaluation surveys only)



The interviews conducted further corroborated these findings, as all interviewees thought that PFG had been more of an advantage than a disadvantage. The most often-mentioned improvements were operational and process components within the El Salvador initiative (given that this is a process evaluation), as well as policy reforms. In the Philippines, the constraint analysis, JCAP, and additional leverage provided by the program were seen as areas that led to improved development assistance in the Philippines. Nonetheless, perception of PFG’s effectiveness on overall economic growth varied.

Finding 2: PFG has aided in the positive movement of policy reforms

Policy reform is central to many PFG goals and requires effective leadership at each stage of the process. Overall, interviewees in El Salvador believed that PFG engaged senior management and section heads from the USG El Salvador Embassy in a timely manner to promote critical policy and institutional reforms related to the initiative.

Similarly, in the Philippines, several members of PFG leadership and other stakeholders discussed the role the PFG process has had in promoting key policy reforms within the Philippine government. PFG has supported many positive policy reform efforts by GPH. Such efforts occurred through a combination of coordinated messaging by USG, an inclusive development programming process with GPH, and the combined efforts of multiple USG partners. Most of these reform discussions began at the onset of the PFG initiative and established the tone for how PFG would be implemented. There was also general consensus that this constraints analysis process generated momentum for reforms and government commitment to PFG-related projects. The policy reform process is still ongoing on many of these issues, but based on the team’s analysis, PFG has improved the likelihood of reforms being enacted.

Finding 3: Initial PFG planning through the constraints analysis activity laid a good foundation for the PFG initiative, although meeting agreements were challenging

PFG architects and members of leadership who participated in, or were privy to, the constraints analysis process considered that the objectivity of the constraints analysis, which was the initial defining exercise upon which PFG constraints were selected, was important in providing a focus for the USG assistance effort. As a USG

official involved with the initial El Salvador PFG process recalled, “There was some resistance... as we had to phase out what did not relate to the two constraints and was falling by the wayside. Selecting things and not selecting others was the hardest part.” USAID, in particular, had to give up some of its jurisdiction (or “equities”), but continued to be a major player. Some USG PFG leadership representatives also observed that more constraints might have re-introduced a sector-like approach, creating fewer incentives for interagency coordination. However, some interviewees did question the final choice of constraints, with their focus on economic outcomes, which made social, environmental, and health outcomes seem secondary.

Similarly, in the Philippines, the majority of respondents felt that the constraints analysis was a positive, objective, and analytical approach to development programming that allowed the USG and GPH to identify priorities and create sustainable programs that otherwise might not have been the focus of PFG. Even though there were difficulties with agreeing on the binding constraints, given that the constraints analysis focused on a tighter set of activities, which were developed based on a rigorous analytical approach, rather than the preferences of individuals, bureaucratic necessities, and political processes, participating stakeholders accepted the outcome of the process and saw it as a good foundation for conducting the PFG initiative.

3.2 Overall Conclusions

Overall, PFG was viewed as a positive initiative and presented a welcomed change in USG’s development strategy. Through its approach, respondents believe that progress in economic growth has been attained, and positive policy reforms have been realized in both El Salvador and the Philippines. These policy reforms have been achieved primarily due to the initial focused rigorous process of identifying the most pressing constraints to growth in each country and providing resources to tackle them directly.

3.3 Recommendations

Increase design guidelines for PFG initiatives. There are no clear instructions for PFG country initiatives on how to incorporate changes in a country context, or revise a constraints analysis and/or JCAP midstream. The evaluation team recommends that for future PFG initiatives, it would be useful to have set guidelines and templates for each initiative (discussed in detail subsequently) on how to design the PFG initiative in order to prevent delays or confusion in terms of what can and cannot be included in the initiative.

Budget Implications cannot be ignored in PFG Implementation. In most PFG staff discussions, particularly concerning WGA time use, staff workload, and promoting non-assistance, the lack of dedicated funding for PFG arose. While the USG acknowledged that funding was intentionally not included in the development of the PFG because the focus was on the process and commitment, they did concede that it is difficult to plan programs, let alone an entire initiative, without dedicating financial resources. This evaluation therefore stayed away from reporting on budgetary implications, however, recommends that this issue be reviewed for future PFG initiatives. PFG should consider incorporating at least notional understandings of funding and other resources to be provided by both sides. While recognizing that a joint action plan is not an obligating mechanism, future PFGs or similar initiatives would benefit from incorporating at least some ideas of the financial and human resources to be dedicated by both sides and what priorities will govern their distribution. This would be particularly beneficial to the operational components (hiring a PFG coordinator, establishing a PFG secretariat, and any other needed staffing due to increased workload; hiring external design teams, as needed; and increasing public information).

4. Cross-Cutting Question One: What are the advantages and/or disadvantages of the PFG whole-of-government approach to development assistance?

The whole-of-government approach (WGA) was initially utilized within fragile and emerging countries,¹⁰ and was motivated by the evolving threat of terrorism and the desire to mitigate risks and adverse outcomes by ensuring that information is shared between (and among) agencies.¹¹ As evidenced by PFG, the concept of WGA has also been leveraged more broadly within the international development arena. WGA was defined by a researcher as follows: “the slogans of ‘joined-up-government’ and ‘whole-of-government’ provided new labels for the old doctrine of coordination in the study of public administration. The ‘joined-up-government’ was presented as the opposite of ‘departmentalism’, ‘tunnel vision’, and ‘vertical silos.’”¹² WGA can also be defined as an aspiration to achieve horizontal and vertical coordination between stakeholders in a particular policy area in order to eliminate situations where different policies undermine each other, and to use scarce resources better. Similarly, the Australian Management Advisory Committee’s Connecting Government report (2004) says of WGA in the Australian public service: “Whole of government denotes public services agencies working across portfolio boundaries to achieve a shared goal and an integrated government response to [a] particular issue.”^{13,14} WGA has been utilized widely due to several benefits accrued from practicing this approach. For example, WGA has been recognized as a system for enhancing “the quality of services and benefit[ing] participating organizations by offering better processes, improved relationships, and greater capacity to respond to local needs, as well as more efficient use of resources.”¹⁵

The three main components needed to demonstrate an effective WGA include:

- a shared interest or objective by multiple organizations or agencies;
- leadership that promotes WGA within management and coordination; and
- accountability mechanisms for fostering the approach.

Further, according to the evaluation statement of work (SOW), specific to PFG:

Within the U.S. government, the term “whole of government” reflects efforts to align each agency’s activities to achieve a common objective. PFG calls upon the U.S. Government (USG) and partner countries to be more comprehensive and creative in our development work – to reach beyond aid to all the instruments that both governments can bring to bear to connect and amplify the impact of current investments and unlock growth potential. USG commitments under PFG are comprised of both assistance and non-assistance tools that, undertaken in close coordination with partner countries, will maximize our impact and

¹⁰ Organization for Economic Co-operation and Development (OECD) Whole of Government Approaches to Fragile States Report (2006).

¹¹ Hammond, T. (2004) “Why is the intelligence community so different (difficult?) to redesign?” Paper presented at the SOG-conference, University of British Columbia, Vancouver, June 15–17).

¹² Christensen, T., & Laegreid, P. (2007). The Whole-of-Government Approach to Public Sector Reform. *Public Administration Review*, 67(6), 1059-1066.

¹³ Australian Management Advisory Committee’s Connecting Government report (2004).

¹⁴ Ling, Tom. 2002. Delivering Joined-Up Government in the UK: Dimensions, Issues and Problems. *Public Administration* 80 (4): 615 – 42.

¹⁵ Humpage, L. (2005). Experimenting with a ‘Whole of Government’ Approach: Indigenous Capacity Building in New Zealand and Australia. *Policy Studies*, 26(1), 47-66.

success. In addition to those actions already identified by the interagency and partner countries, additional non-assistance activities should be considered over the life of PFG for a sustained and focused effort.¹⁶

The evaluation team reviewed the advantages and disadvantages of the WGA as a core component of the PFG initiatives, analyzing the existence of the three main components listed above, as well as PFG's alignment with WGA as described in the SOW.

4.1 Findings

Finding 1: The consultative and inclusive nature of the constraints analysis served as a foundation for fostering the whole of government approach

Both El Salvador and the Philippines PFG initiatives found the inclusive nature to developing the constraints analysis as a positive catalyst for fostering WGA in their country initiatives. In El Salvador, architects and leaders involved in the initial stages of the PFG process shared that the constraints analysis process was necessary for promoting WGA because it brought together different stakeholders in deciding the constraints to be tackled. Four of the seven USG architects, for instance, identified the constraints analysis as an essential part of the PFG system, promoting the initiation of WGA.

All interviewees who explicitly commented on the constraints analysis also suggested that it was a useful exercise, explaining that beginning the PFG process with an objective technical analysis of the constraints to economic growth gave the process credibility. The technical exercise also provided the opportunity to bring together USG agencies, catalyzing coordination and cooperation as the PFG progressed.

Additionally, in El Salvador, the independent experts who discussed the advantages of PFG WGA indicated that having a variety of stakeholders participate in an evidenced-based, organized technical process promoted collaboration during project initiation and implementation. One respondent shared that, initially, Salvadoran counterparts were skeptical about the U.S. providing the methodology; however, they later realized its virtue and appreciated its ability to produce a uniform approach to addressing obstacles to growth and launching the PFG initiative.

Similarly, in the Philippines, all stakeholders (architects and leadership) who participated (directly or indirectly) in the constraints analysis process reported that the consultative approach to developing the constraints analysis, involving the USG, host government and also various elements of civil society, served as core element to providing a good foundation for promoting WGA. Further, the constraints analysis consultative approach promoted buy-in by all stakeholders, which was essential to promoting and maintaining WGA within the PFG system. A USG leader in the Philippines explained that the fact that the constraints analysis process was established with host country counterparts was good progress for initiating inter-country collaboration and coordination. This process led to increased buy-in and collaboration between the U.S. and the Philippines. Further, another USG leader provided input on how the constraints analysis process better shaped the thinking and methodology of USG development practice. The interviewee explained that the constraints analysis helped focus the attention of both governments on a finite number of central development objectives, which fostered collaboration for working on PFG.

¹⁶ Statement of Work – Partnership for Growth (PFG) Mid-Term Evaluation: El Salvador and The Philippines, September 2013, pg. 10

Advantages of WGA

Finding 2: Within USG, the WGA has focused human and operational resources on the policy and programmatic objectives of PFG

From the point of view of USG agency officials in El Salvador, PFG has unequivocally improved coordination in several aspects of USG development assistance in El Salvador. Eight out of nine members of USG leadership in El Salvador who responded to the WGA interview question shared this sentiment. A USG leader and architect shared the following:

The interagency [cooperative system] seems like a normal thing to do, but the reality is that you seldom see clear lines of coordination [in our aid approach], and the PFG approach was meant to change this. The whole idea of the El Salvador PFG was to guarantee a coordinated approach to development among USG agencies in the first place, as much for the benefit of ourselves [and] the GOES, but also other donors.

Another leader within the El Salvador PFG security constraint sector stated that as a result of PFG, WGA led to a change in how agencies such as the National Security Agency, the Federal Bureau of Investigation and the Bureau of International Narcotics and Law Enforcement, which would normally work in silos, now participate in leadership meetings and work collaboratively with other USG agencies. Such coordination has prompted related agencies to focus more keenly on common objectives and to enhance implementation coordination. Further, a member of PFG USG leadership shared the common view that because of PFG, the level of coordination and collaboration within the U.S. Embassy in El Salvador had increased, if compared with other missions.

A majority of the El Salvador PFG Goal Leads who were interviewed also shared the sentiment that PFG WGA had promoted more collaboration within USG agencies than previous development assistance practices. For example, a USG leader explained that because of the PFG WGA, USG agencies are currently working together toward the same goal. Four Goal Leads further expressed that USG interagency collaboration has assisted GOES to understand that responses to queries would be coordinated no matter which USG agency is contacted; this knowledge has improved working relationships and the overall system of providing development assistance. Also, because PFG was agreed upon by the executive branch of GOES, the USG Goal Leads are able to refer their GOES Goal lead counterparts to agreements that were made at high levels and cannot be easily ignored. Such a system of buy-in at the highest levels helps to ensure cooperation both within and across government agencies. As another USG Goal Lead stated, “the main advantage [is that PFG WGA] gives a perception of something a little bit more urgent to be done, and it’s agreed upon at a higher level.” Still, another Goal Lead from USAID explained, “PFG has forced us to work better among ourselves and coordinate among our programs and arrive more organized at [GOES’] door, while it also [provides] more clarity to the GOES on what we do and how we do it.”

Similarly, in the Philippines, most (90 percent) respondents within GPH and USG believed that the introduction of the WGA represents a new paradigm in how development assistance is designed and implemented, promoting inter-agency collaboration for agencies that would usually not work together. Of the 36 respondents that were asked if the WGA led to changes in development-assistance delivery, 17 answered “yes” and four answered “no,” demonstrating that the majority of leadership believed that the WGA introduced a new and different approach to how development is provided. A USG leader stated, “PFG was a development that forced us to work together toward a common objective and also forced us to work closely together. This [cooperation] was different than previously.”

PFG staff—leadership, architects, and program managers—mostly believe that the WGA has led to changes in management and implementation, and has helped promote operational efficiency within the USG team in the Philippines and the GPH team working under PFG. Forty-seven percent of USG leaders, 75 percent of architects, and 60 percent of program managers interviewed found the WGA to have led to improvements in their work. For example, a USG architect expressed that PFG WGA led to improved coordination and better dialogue between USG agencies that had previously worked in isolation.

Finding 4: PFG WGA has led to increased coordination between USG and Partner Countries, and ultimately increased efficiency

All ten GOES Goal Leads of the El Salvador PFG initiative who responded to this question indicated that coordination has increased between GOES and USG as a result of PFG WGA. Further, all USG and GOES Goal Leads and co-Goal Leads indicated that their respective agencies are coordinating their activities in a more uniform manner and more frequently, as compared to approaches undertaken prior to PFG. Based on interviewee testimony, such coordination has led to increased efficiency. One Goal Lead indicated that USAID now has a greater presence within the El Salvador justice system because of PFG WGA. Another Goal Lead shared that the increase in coordination has led to increased decision-making power for GOES. The respondent stated that in the past, USG imposed projects based on its own judgment, but currently with PFG, responsibility for decision-making is shared between USG and GOES, directly responding to one of PFG’s core principles - joint decision-making on where to focus and prioritize resources¹⁷.

The situation was no different in the Philippines: WGA under PFG has brought multiple stakeholders together to discuss challenges and resources. This coordination has resulted in several opportunities for targeted USG agencies to assist their GPH counterparts. A GPH leader noted that the WGA has led to interagency coordination between GPH and USG. Examples of this coordination included USAID projects and leadership supporting staff from the GPH Commission on Audit to do a 4-month fellowship at the General Accounting Office in Washington D.C. A GPH leader shared that as a result of PFG, USAID leadership is now better connected to the leadership within the GPH Department of Finance (DOF), and that USAID even held joint annual meetings with the DOF National Economic Development Authority (NEDA). Multiple members of USG and GPH agencies also discussed the collaboration between USAID, U.S. Department of Justice (U.S. DOJ), and other USG agencies in Washington, D.C., including the White House, to ensure that the GPH Ombudsman was able to conduct a study tour in the U.S. to learn best practices and gain experience related to corruption prosecution. According to most people interviewed, this program would not have been possible without PFG.

Further, within GPH, 27 percent of leaders and 50 percent of program managers interviewed found the WGA to have led to improvements in the operational efficiency of their work. The increased efficiencies have been attributed to the WGA’s ability to promote coordination within and among the two governments. For instance, a GPH leader shared that there has been an increase in efficiency because of the new system, leading to having all relevant stakeholders at the decisionmaking table, which provides more comprehensive perspectives than would be the norm. These comprehensive perspectives led to better inputs for more efficient implementation, including the ability successfully conduct some of the projects listed above.

Within USG, the introduction of the WGA and the “forced” coordination that it requires led to a renewed focus on how work should be done, and given that all stakeholders were following a shared system of working, greater

¹⁷ <http://www.state.gov/r/pa/prs/ps/2011/11/177887.htm>

efficiency has been attained. There were a few staff members who did not believe that the WGA led to increased operational efficiency. One USG leader also stated, “this approach has not necessarily created more efficiency, depending on the definition of it, but it has reduced duplication of mixed messages.”

It is important to note, however, that while stakeholders both in the Philippines and El Salvador did share the opinion that there was an increase in operational efficiency, they did also note that the coordination aspects of the WGA led to an increased workload for USG PFG staff, particularly during the initiation processes.¹⁸

Conclusions

PFG WGA represents a positive change in development assistance compared to traditional approaches. As one of the main components of the PFG approach, WGA has been effective in its ability to push the initiatives forward, bringing together stakeholders within the individual governments and across the partner governments. Within governments, there was a new sense of collaboration, particularly among agencies that would otherwise work in isolation. Based on information provided by the interviewees, El Salvador and the Philippines PFG initiatives have both directly and indirectly benefitted from WGA, which should be continued.

From the findings gathered, the evaluation team concluded that WGA is essential to achieving the ambitious development goals of PFG within a limited period of time, even though following a WGA approach is time-consuming (as discussed subsequently). The result of this increased coordination was an understanding and appreciation of all agencies working toward common goals, as well as a perceived overall efficiency in getting work done.

Challenges with Implementing WGA

Finding 5: WGA requires a significant amount of time to be effective

While WGA is useful and was cited as one of the most important and effective elements of the PFG initiative, implementing WGA could be challenging given the length of time needed to truly leverage it. In El Salvador, PFG staff shared that to appropriately implement WGA, a lot of time was devoted to developing a consensus, which meant that setting up goals in preparation for implementation took longer than it would for projects and programs that do not require WGA, and increased coordination and consensus. This extra amount of time could be viewed as a challenge due to the prolonged time it took to begin implementation. One Goal Lead in the El Salvador PFG initiative explained that given that relations were new with the GOES administration at the time, it took some time before consensus could be reached on how to move forward. Another Goal Lead expressed a similar sentiment, stating, “one thing is to accept the job as it is and have expectations to get things done as they are. However, [given that] funds are from existing funding streams, not directed toward PFG, additional coordination had to occur to decide how to fund project implementation.” In addition, there were also goals for other funding sources and PFG goals that needed to be coordinated. Even though sometimes the goals overlapped, it took time to ensure that Goal Leads appropriately adhered to PFG requirements. Time was also needed for internal coordination and meetings, which usually occurred once a week (and at initiation, even more frequently).

Similarly, in the Philippines, while respondents agreed about the benefits of increased coordination, spearheaded by WGA, they also shared the challenge that coordination presents itself in terms of increased staff time. Six members of USG Philippines leadership expressed this concern.

¹⁸ Changes in workload are discussed in more detail in response to Evaluation Question 2 in the next section.

It is important to note, however, that while PFG staff did discuss the increased time required for coordination, they were also quick to mention that the extra time commitment was worth it in comparison to their previous experiences in conducting development assistance. The design of the initiative itself also require more time for both USG and the host government. The analytical process of both the constraints analysis and the JCAP, and the political process of agreement on design of programs sometimes resulted in delays in the anticipated schedule for programming and other targeted initiatives.

Conclusion

Coordination led to some efficiency, but it was also time consuming. Some of the interview respondents addressed the increase in workload as a result of PFG (discussed in detail subsequently). The evaluation team concluded that while WGA may be time consuming, the responses that highlight an appreciation of coordination outweighed those that mention increased time, meaning that the benefits of the increased time spent to promote WGA outweighed the costs.

4.2 Overall Conclusions

Overall, the WGA was viewed as a positive approach within the PFG initiative that improved the way development assistance is implemented. The WGA has also led to increased coordination within USG, and the host governments, and between the governments (USG and GOES, and USG and GPH). This increased coordination, while time consuming, has led to improved operational efficiency because when all relevant stakeholders gather to identify a solution, the outcome tends to be comprehensive and relevant. The WGA has also promoted better programing because of the increased buy-in of all stakeholders during project design and implementation. The WGA has been largely positive, but it also has challenges that include: the increased staff time needed to effectively implement the WGA, and the fact that it is sometimes challenging to gather and coordinate all needed stakeholders, which could lead to implementation delays.

4.3 Recommendations

From the findings and conclusions gathered, the evaluation team recommends the following:

The Whole of Government Approach represents a major step forward. The evaluation team heard, but also witnessed WGA in action, and found it to be a very effective component of the PFG. The team recommends that this approach should be leveraged in future PFGs and similar development initiatives, with a major policy or institutional development component.

Establish and maintain a bilateral management team to run the entire PFG initiative. For the implementation of WGA to be effective and sustainable, the evaluation team recommends that all PFG initiatives, at the onset, develop a PFG bilateral governance structure. Such a structure exists at varying levels in the two PFG programs studied. The evaluation team finds that ensuring that both governments are well represented in a management team would be key to fostering WGA, as well as promoting other management components of PFG. Ideally, this management team should have two full time staff members who would be the PFG representatives/ coordinators for each country. These coordinators should be known to all PFG stakeholders. The management team could spearhead collaboration activities, engage stakeholders in identifying non-assistance activities (discussed subsequently), promote PFG awareness programs and lead the monitory and evaluation unit. Such an entity would also be crucial to training PFG staff on how to operationalize and monitor their projects, but also how to identify opportunities for coordination and non-assistance.

Develop performance measurements that track the role of coordination activities in promoting effectiveness. As discussed, one key component of WGA to be effective is if it includes accountability mechanisms. In both countries, the evaluation team was not able to identify direct performance measures that gauge the quality, scope, and depth of coordination. The evaluation team therefore recommends that guidance be provided for PFG initiatives, to incorporate as part of the design, the development of performance indicators that define WGA coordination activities in order to track how these activities have led to enhanced effectiveness and efficiency. Being able to track progress through performance measures would be useful to appropriately measure effectiveness and impact (given that for this evaluation, information reported was based on perceptions and not rigorous empirical data). Suggestions of possible indicators are provided below.

- **Develop a set agenda for coordination meetings:** Ensure that agenda items are reviewed and tracked during each meeting, and that action items are reviewed at the onset of each meeting and tracked in terms of progress or regress.
- **Introduce accountability measures:** Establish repercussions for not participating in these meetings, or not following through on agenda or action items.
- **Identify and inform staff and key stakeholders of responsibilities for the overall management of PFG coordination:** Ensure that all PFG staff members are aware of the management personnel within each government (and across governments). Staff should also be aware of their respective responsibilities related to fostering coordination activities.
- **Establish (and update) an overarching work plan to track progress on coordination:** The PFG initiative uses scorecards to track indicators of project performance by tracking goals and activities. However, based on the findings, it is evident that the PFG initiative is more than a compilation of programs, and instead a government-to-government initiative. Therefore, in addition to tracking the progress of projects, it would be key to track the progress of the non-project initiatives such as coordination activities, publicity of coordination, and other activities such as non-assistance, which will be discussed in a subsequent section. Such tracking could occur through PFG group listservs or newsletters.
- **Identify and track activities or actions that demonstrate coordination:** As a result of the PFG initiative, several activities could promote coordination. Meetings such as technical committees and scorecard meetings should be included in reporting of coordination activities.

5. Cross-Cutting Question Two: To what extent has Partnership for Growth affected the workload on national government and U.S. government staff, as compared to the workload created by traditional forms of development-assistance delivery?

In responding to changes in workload on national and USG staff as a result of PFG, a Web-based survey was administered to PFG staff in El Salvador, Philippines, and Washington D.C. to collate their perceptions on any changes to workload. It is important to note that some of the Washington D.C. staff are involved in overarching PFG management and activities in other PFG countries, yet their responses are included here in the cross-cutting report. This finding may influence the findings on change in workload under PFG given that many Washington staff members were involved in the planning of PFG (and may not have continued to work on PFG during implementation). However, the evaluation team assumes that because the survey was specific to the El Salvador or the Philippines initiative, the responses provided by all stakeholders, as much as possible, relate to their affiliation and work with the El Salvador or the Philippines initiative.

Further, performance indicators on time usage or timesheets pre-PFG through PFG implementation would have provided a more accurate assessment of how PFG has affected GOES, GPH, and USG workload, but these data were not collected. Moreover, it may be difficult for respondents to compare the PFG workload to the workload pre-PFG due to recall bias for those with more than 3 years of involvement with PFG, or possibly no point of comparison for those with less than 3 years of PFG involvement. Nevertheless, the data gathered via Web-based surveys provide insight about changes in government staff workloads that are attributable to PFG and the perceived effectiveness of changes in workload. It is important to note that a major limitation of the data collection and analysis in response to this question was the low response rates to the Web-based survey for the Philippines. The response rates were primarily low—among the GPH stakeholders who received the survey, only 14 percent completed it. This variance in the number of stakeholder responses in El Salvador as compared to the Philippines means that comparisons between the two countries are not uniformly comparable. However, the information provided gives an overview of the changes perceived due to the introduction of PFG.

5.1 Findings

Finding 1: PFG has resulted in an overall increase in the workload of PFG staff in El Salvador, Philippines, and assigned staff in Washington D.C.

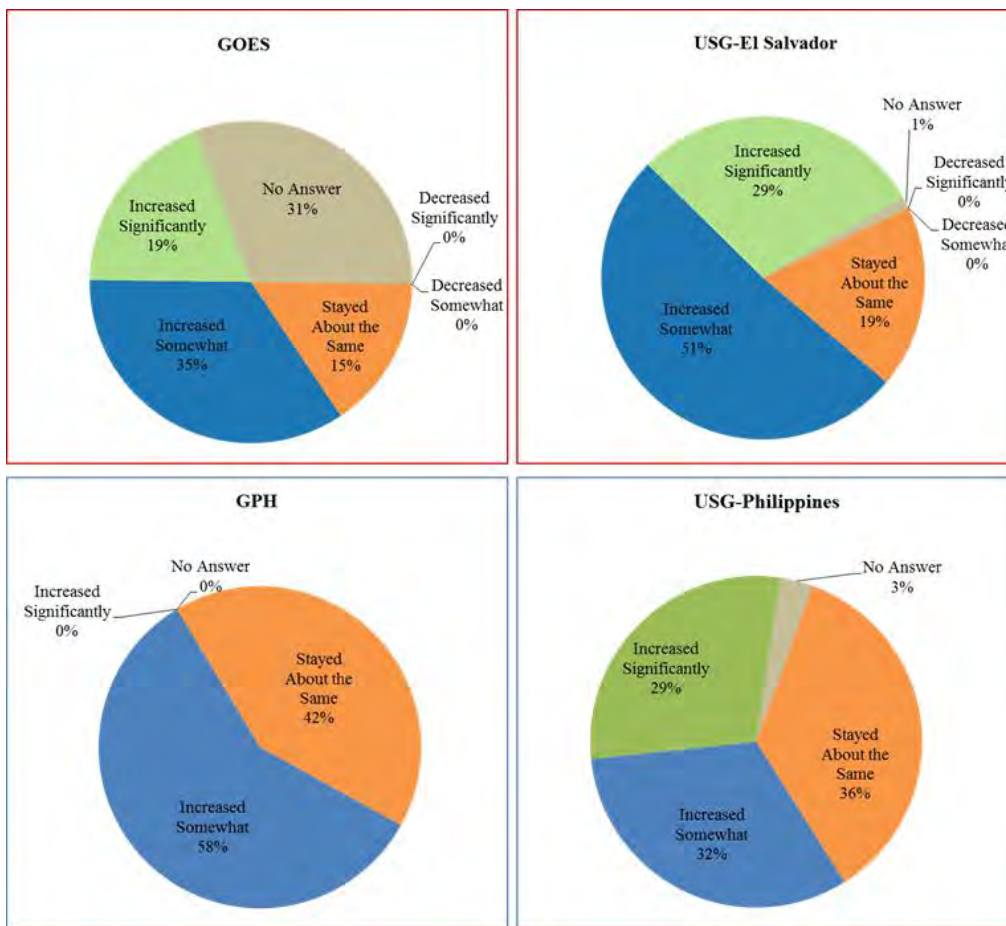
Among USG respondents working on PFG in El Salvador, 51 percent indicated that their workloads somewhat increased, and 29 percent indicated that their workloads increased significantly. The findings among GOES respondents differed, with 35 percent indicating that their workloads increased somewhat and 19 percent indicating that their workloads increased significantly (figure 5.1). Of these same respondents, those in leadership roles experienced greater increases in workload than those in non-leadership roles. All of the USG respondents in leadership roles reported that their workloads increased somewhat or significantly, while 88 percent of GOES respondents in leadership roles reported that their workload increased somewhat or significantly. By comparison, 76 percent of USG respondents in non-leadership roles reported that their workloads increased somewhat or significantly, while 43 percent of GOES respondents in non-leadership roles reported that their workloads increased somewhat or increased significantly.

Among USG respondents working on PFG in the Philippines, 32 percent indicated that their workloads somewhat increased, and 29 percent indicated that their workloads increased significantly. Among GPH

respondents, 42 percent indicated that their workload stayed about the same, and 58 percent indicated that their workload increased somewhat.

None of the respondents from El Salvador, the Philippines, or USG reported a decrease in workload resulting from involvement in PFG.

Figure 5.1: Changes in workload resulting from PFG involvement: GOES and GPH, USG-El Salvador and USG-Philippines



Finding 2: There was no discernible difference in workload by gender

Thirty-nine percent of USG respondents working on PFG in El Salvador were female, in comparison to 19 percent of GOES respondents (see table 5.1). Nineteen percent of GOES respondents did not report gender as compared to only 1 percent of USG respondents.

For the Philippines, 26 percent of USG respondents were female, in comparison to 50 percent of GPH respondents (see table 5.1). The difference in gender total distribution between El Salvador and the Philippines was not significant. The ratio of male to female GPH respondents was equally distributed compared to that of GOES (62 percent versus 19 percent). The ratio of males to females among USG staff was greater among respondents working on PFG in the Philippines (74 percent versus 26 percent) compared to USG staff working on PFG in El Salvador (60 percent versus 39 percent).

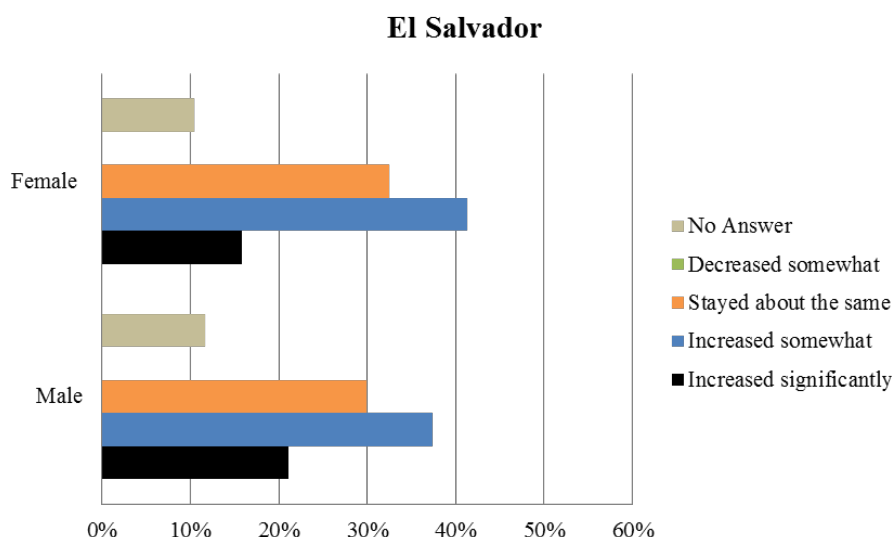
Table 5.1: Respondents' gender

Association	Number		Male		Female	
Country	El Salvador	Philippines	El Salvador	Philippines	El Salvador	Philippines
USG	82	31	60%	74%	39%	26%
Host Govt. (GOES/GPH)	26	12	62%	50%	19%	50%
Total	108	43	60%	67%	34%	33%

Figure 5.2 suggests that there was no discernible difference in workload attributed to PFG by gender. Of the respondents working on PFG in El Salvador, 57 percent of female respondents reported that their workload increased somewhat or significantly, while 58 percent of male respondents reported that workload increased somewhat or significantly.

Of the respondents working on PFG in the Philippines, 14 percent of female respondents reported that workload increased significantly, while 24 percent of male respondents reported that workload increased significantly.

Figure 5.2: Changes in workload resulting from PFG involvement, by gender



Finding 3: PFG has prompted a significant increase in workload specifically focused on coordination in El Salvador, coordination and communication in the Philippines, both intra- and inter-governmental

PFG activities in El Salvador and the Philippines were categorized into the following activities: 1) coordination with colleagues within my government; 2) coordination with colleagues in other (partner) governments; 3) monitoring progress of PFG tasks; 4) communicating on PFG with my superiors and senior leadership in my government; 5) managing PFG activities; 6) designing and/or procuring PFG activities; 7) other administrative tasks.

According to figure 5.3, below, the increased workload due to PFG activities was distributed fairly evenly across the range of activities; however, “coordination with colleagues within my government” constituted the largest

increase in workload in comparison to other PFG activities. This result confirmed the findings in Cross-Cutting Question 1, which indicated that PFG WGA required more time due to coordination and collaboration activities. Secondly, the coordination with other governments, monitoring progress of PFG tasks, and communicating with senior leadership accounted for large shares of the increased workload due to PFG.

PFG in El Salvador appeared to have prompted USG to expend more hours than GOES on intra-government coordination. GOES staff has expended relatively more hours, due to PFG, in designing and/or procuring PFG activities.

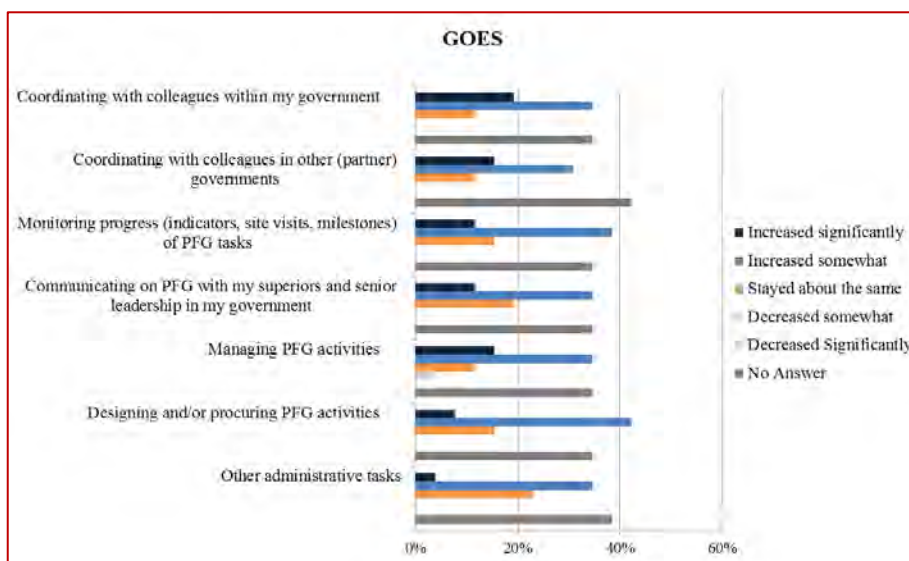
The semi-structured interview results confirmed the perceptions gathered from these surveys. For example, during an interview, a Goal Lead noted, “It requires more workload to coordinate the activities of different agencies.” Another interviewee explained that most goals involved the activities of two or more agencies from USG as well as several agencies on the GOES side. Overall, the time devoted to interagency cooperation, particularly on procedures for moving forward, was substantial, as reported by multiple interviewees.

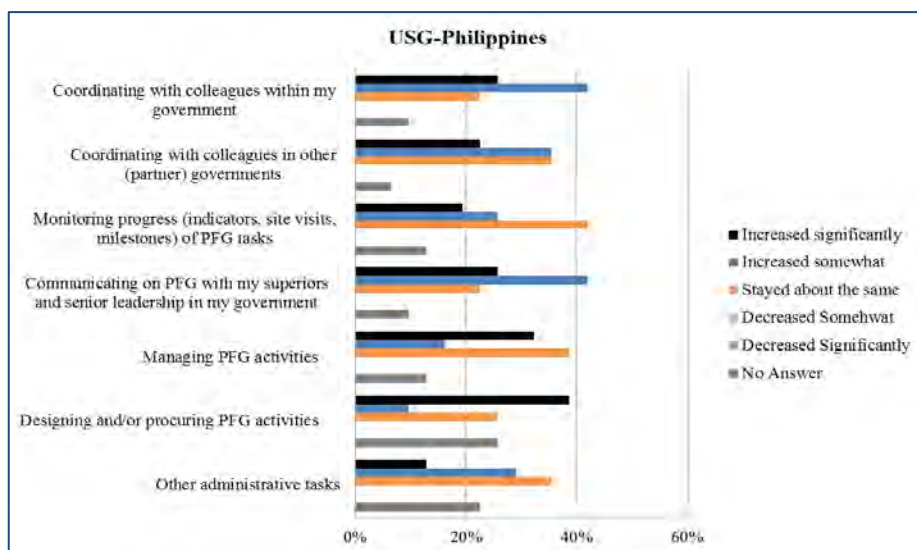
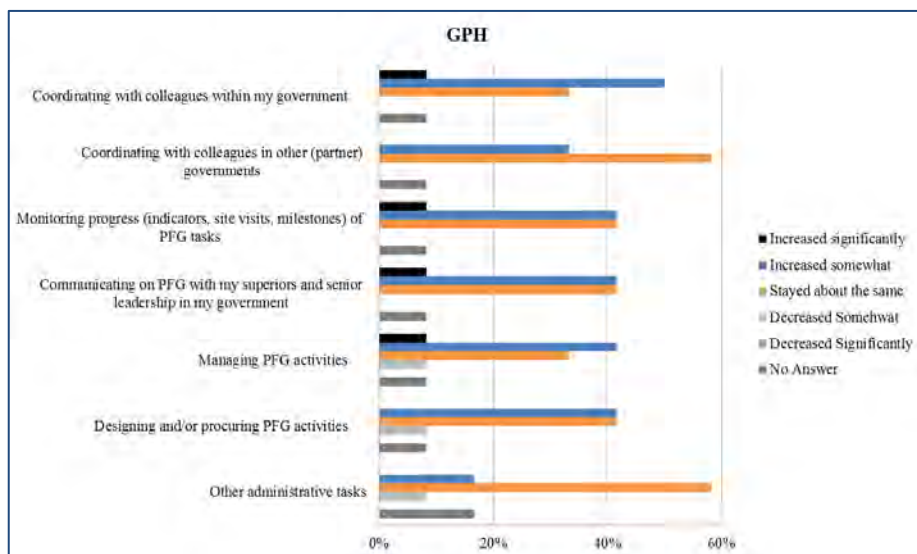
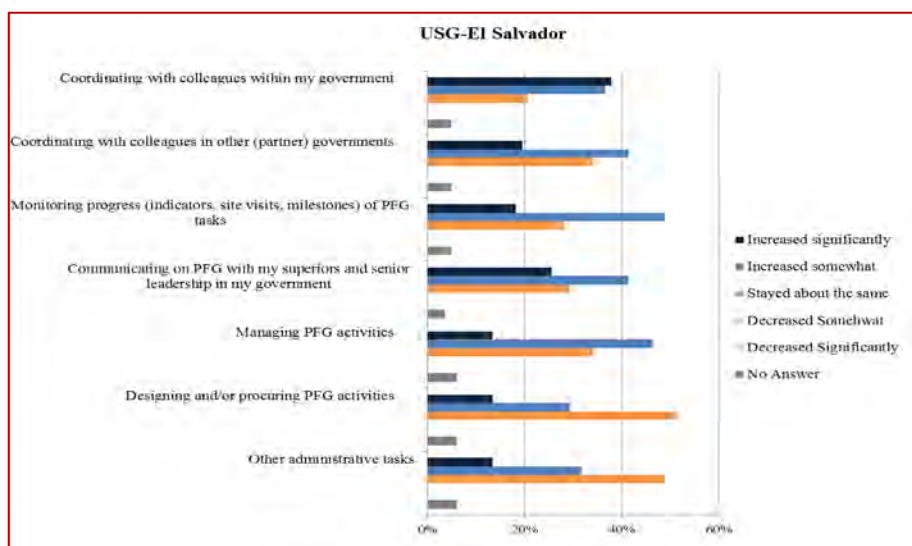
Survey findings support the assertion that multiagency coordination was one of the more time-consuming tasks associated with PFG. On average, respondents spent 5 hours per week coordinating with their colleagues, and 75 percent spent up to 6 hours on this task (see table 5.2). By comparison, with the exception of “Managing PFG Activities” (6 hours per week), all other tasks required, on average, about 3 hours per week.

In the Philippines, on the other hand, according to Figure 5.3 below, the increased workload due to PFG activities was distributed fairly evenly across all of the range of activities; “coordinating with colleagues within my government” constituted the largest increase in workload in comparison to the other types of PFG activities. Secondly, communicating on PFG with superiors and senior leadership within the government accounted for large shares of the increased workload due to PFG.

In comparing USG to GPH staff, it appears that PFG has prompted USG to expend more hours on intra-government coordination and communication as compared to GPH. GPH staff have expended relatively more hours, due to PFG, in monitoring progress and managing PFG activities.

Figure 5.3: Change in workload resulting from PFG by task—GOES and GPH, USG and El Salvador, and USG and the Philippines





Finding 4: Increased workload is associated with perceived effectiveness of PFG and WGA

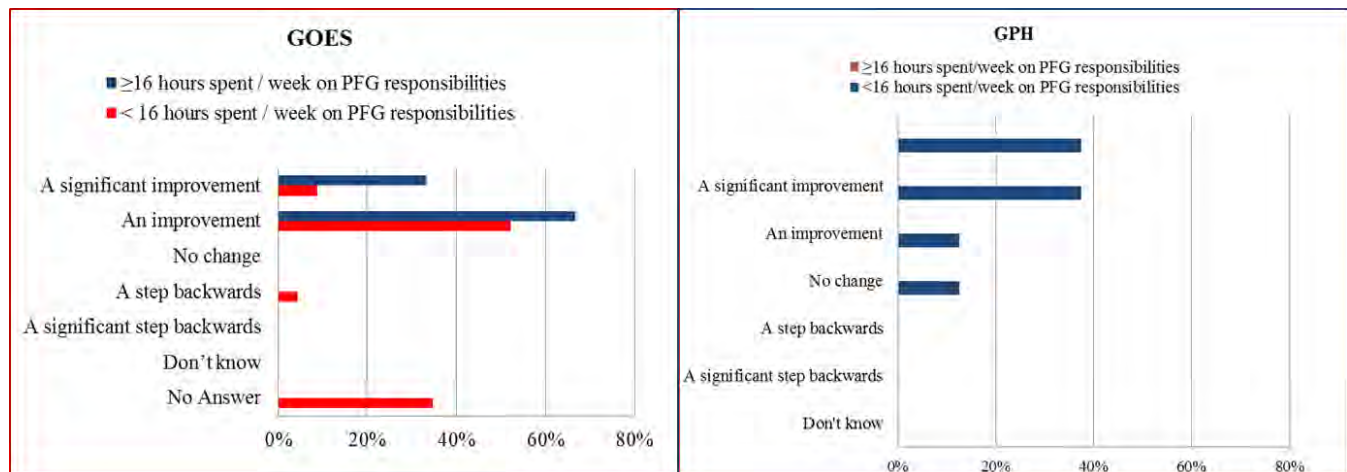
Similar to innovations in other industries, PFG has required the “innovators” and “early adopters” in USG, GOES, and GPH to invest upfront, resulting in significant increases in workload and possibly overtaking former traditional forms of development-assistance delivery. It is still too early to assess PFG’s efficiency or its effectiveness, but this analysis provides insights to stakeholders’ perceived effectiveness.

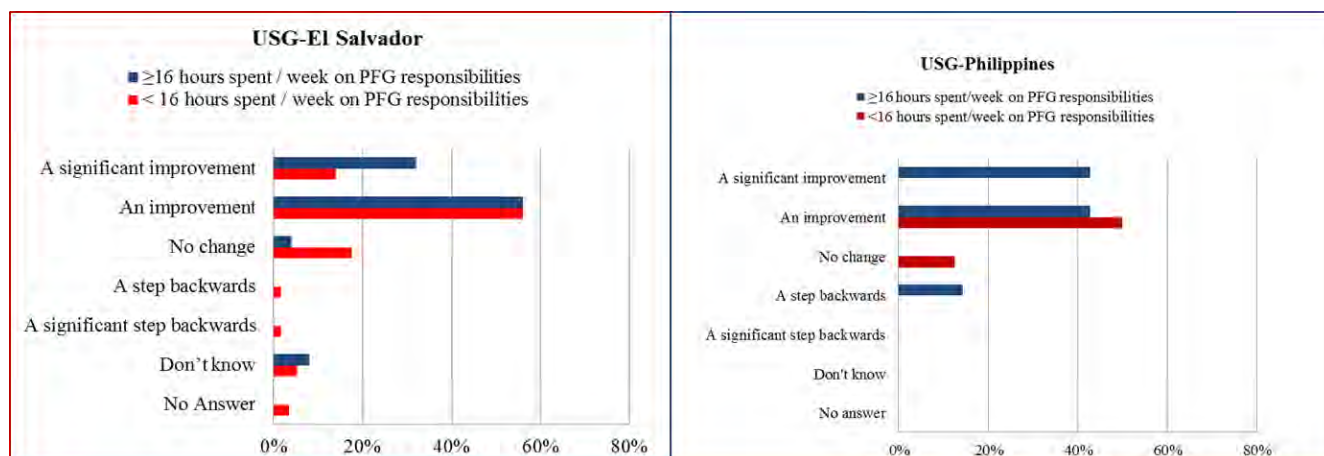
Figure 5.4 illustrates PFG stakeholders who invested time into PFG activities and their perception of the effectiveness of PFG and WGA. Compared to stakeholders from GOES, none of the stakeholders from GPH spent more than 16 hours a week on PFG activities.

El Salvador PFG stakeholders who invested more time on PFG activities perceived that PFG was a significant improvement compared to traditional development assistance approaches. More than 70 percent of El Salvador PFG stakeholders who reported that PFG was a significant improvement over traditional approaches dedicated 16 or more hours per week to PFG activities. In comparison, less than 30 percent of El Salvador PFG stakeholders who reported that PFG was a significant improvement over traditional approaches worked less than 16 hours per week on PFG activities.

Philippines PFG stakeholders who invested more time on PFG activities perceived that PFG was a significant improvement compared to traditional development assistance approaches. More than 40 percent of Philippines PFG stakeholders who reported that PFG was a significant improvement over traditional approaches also dedicated 16 or more hours per week to PFG activities. In comparison, less than 30 percent of Philippines PFG stakeholders who reported that PFG was a significant improvement over traditional approaches worked less than 16 hours per week on PFG activities.

Figure 5.4: Perceived effectiveness of PFG compared to traditional development assistance approaches





Finding 5: PFG has prompted a significant increase in work specifically for stakeholders involved in planning.

Forty-four percent of USG respondents working on PFG in El Salvador were involved in the planning and development of PFG as compared to 35 percent of GOES respondents. USG staff spent a disproportionate effort in planning PFG than in conducting other PFG activities, as demonstrated in figure 5.5 below. Forty-nine percent of USG respondents working on PFG in the Philippines were involved in the planning and development of PFG compared to 75 percent of GPH respondents.

Figure 5.5: Staff involved in planning and development of PFG

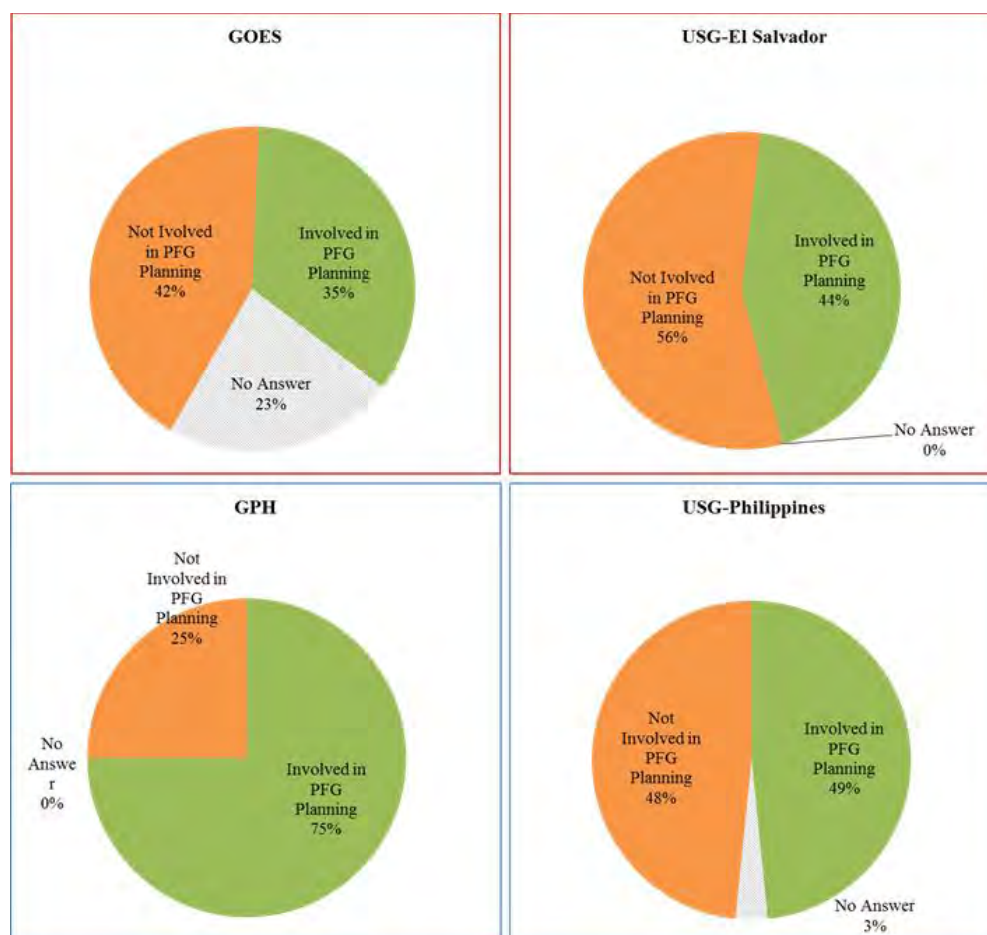


Table 5.2 illustrates that 34 percent of USG leaders and 28 percent of non-leaders spent 16 or more hours per week in planning El Salvador PFG. By comparison, 20 percent of GOES leaders and only 10 percent of GOES non-leaders dedicated 16 or more hours per week in planning PFG. Note that a disproportionate number of GOES non-leaders did not respond to these questions.

Respondents from PFG in the Philippines fell under five main roles: leadership, contracting officer's representative, GPH project or program manager, project implementer, or other. Respondents not falling under the leadership role were grouped under a non-leadership role for comparison purpose to El Salvador. About 29 percent of USG respondents with leadership roles compared to 50 percent USG respondents with non-leadership roles spent 16 or more hours per week in planning the Philippines PFG. By comparison, none of the GPH respondents with leadership roles or non-leadership roles dedicated more than 10 hours in planning PFG. Note that eight percent of USG respondents and 10 percent of GPH respondents did not provide information on their involvement in the planning of PFG.

Table 5.2: Hours per week dedicated to planning and developing PFG

Hours per Week	U.S. Government - El Salvador PFG Staff		U.S. Government – Philippines PFG Staff	
	Leaders	Goal Leads	Leaders	Non-Leadership
Zero	6%	8%	0%	8%
5 hours or less	25%	42%	43%	21%
6 to 10 hours	28%	12%	29%	4%
11 to 15 hours	6%	4%	0%	8%
16 to 20 hours	9%	12%	0%	17%
Greater than 20 hours	25%	16%	29%	33%
No Answer	0%	6%	0%	8%

Hours per Week	Govt. of El Salvador PFG Staff		Govt. of Philippines PFG Staff	
	Leaders	Goal Leads	Leaders	Non-Leadership
Zero	0%	5%	0%	0%
5 hours or less	20%	33%	0%	70%
6 to 10 hours	20%	10%	100%	20%
11 to 15 hours	40%	5%	0%	0%
16 to 20 hours	0%	5%	0%	0%
Greater than 20 hours	20%	5%	0%	0%
No Answer	0%	38%	0%	10%

5.2 Overall Conclusions

Overall, PFG has unambiguously increased workloads for USG and host government staff in both initiatives evaluated, though the amount of perceived increase varied across country. There was no discernible difference in workload by gender, and it is unclear if the increased workload has overtaken efforts related to traditional forms of development-assistance delivery or whether PFG has simply replaced former development assistance

delivery. The evaluation team's findings unambiguously demonstrated that PFG has prompted a significant increase in both intra- and inter-governmental coordination, a finding that aligned with data gathered in discussing WGA previously. It may be too early to assess the effectiveness of PFG, but survey results suggested that staff in USG, GOES, and GPH who invested a significant amount of time into PFG also believed that PFG is a significant improvement over former development assistance practices. Thus, increased workload seems to have translated into increased development effectiveness.

5.3 Recommendations

Identify management staffing that could assist in rebalancing the workload of PFG staff across the Initiative. As mentioned previously, the evaluation team recommends that for every PFG initiative, an effort be made to ensure that sufficient resources are available to manage PFG activities without detracting from other worthwhile commitments. For instance, if staff members spend 3 to 6 hours per week on PFG, then 3 to 6 hours per week on other, non-PFG responsibilities may be neglected. It would be prudent to have, from the start, sufficient staff to manage the daily functions of PFG, coordinate across agencies and governments, and facilitate the monitoring of PFG data to track progress. The recommendation, as noted previously, is to have a dedicated PFG management team who can take on the workload needed to facilitate coordination, trainings and monitoring of the initiative, which could relieve other staff off some of the duties that may be increasing their workloads as a result of PFG requirements.

6. Cross-Cutting Question Three: What contributions has “non-assistance” made to the PFG process, and how can it be utilized moving forward?

Particular to this evaluation, USAID defined non-assistance tools as including “diplomatic engagement, convening authority, and other forms of non-monetized assistance to engage both governmental and non-governmental stakeholders in support of catalytic policy change and development priorities.” Further, the evaluation team viewed non-assistance tools to include the following:

- one-on-one engagement by government officials (the Ambassador, the Deputy Chief of Mission or other members of senior staff);
- public information activities; and
- stakeholder engagement.

The evaluation team sought to identify whether non-assistance, as defined above, has made any contributions to the PFG initiatives in El Salvador and the Philippines, and how it can be utilized moving forward. PFG staff for both USG and the host governments was asked about non-assistance in semi-structured interviews and through an online survey. Documentation received from the USAID point of contact prior to the evaluation team’s fieldwork were also carefully reviewed for evidence of non-assistance activities and was used to inform the evaluation. Based on the information gathered, which is detailed subsequently, the evaluation team found that while non-assistance activities do exist within both the PFG initiatives in El Salvador and the Philippines, there is no clear system for documenting these activities and, similarly, no clear understanding of the term or how to identify non-assistance opportunities among all PFG stakeholders (with exception of leadership).

6.1 Findings

Finding 1: The most frequently cited form of non-assistance involved the diplomatic engagement, primarily of USG Leadership—Ambassador and USAID Mission Directors.

PFG is not an initiative solely managed by the executive branches of the two governments. It also requires the support of the host government’s legislature and policy. The existence of a strong committed leader was often cited to be an important reason for PFG’s success and its ability to effectively promote policy reform in both countries. Within the El Salvador initiative, in this context, about 90 percent of USG and Salvadoran interviewees who knew about non-assistance mentioned the critical importance of the U.S. Ambassador’s support for PFG. One non-governmental respondent said, “Th[is] Ambassador is the Ambassador closest to the Salvadoran population that we have had.” In El Salvador, the Ambassador has not hesitated to use her considerable influence to advance policy and institutional reform. Because policy reform, legislative reform, and institutional reform are critical parts of numerous PFG goals, this mobilization of senior USG officials in support of PFG has been critical to PFG’s successes. Another respondent stated, “From my perspective, PFG has succeeded in effectively branding the U.S. government’s development assistance in El Salvador. In addition, requiring senior-level commitment by the Government of El Salvador to [implement] the action plan gives us more leverage in pushing for them to live up to these goals of programs.” From responses made specifically about the Ambassador, it is evident that she highly prioritized PFG and its approach within the embassy from its initial stage until now. She not only ensured that PFG was at the heart of all discussions within the mission, but also managed to promote it in discussions about policy decision making with GOES, using non-assistance to promote positive outcomes for the initiative.

In the Philippines, USG leadership officials explained that non-assistance activities are primarily originated and facilitated by the Economic Counselor of the Embassy. The most frequently cited form of non-assistance involved diplomatic engagement, primarily through the former Ambassador¹⁹ and the USAID Mission Director. Most respondents referenced the USAID Mission Director as the main initiator of non-assistance activities in the Philippines representing USG.

Finding 2: the concept of non-assistance and how it can be promoted varied among PFG stakeholders, with non-leadership stakeholders

As mentioned previously, both PFG initiatives in El Salvador and the Philippines have several examples of non-assistance activities that have contributed positively to the PFG initiative and economic growth as a whole. However, outside of leadership, who provided concrete examples of non-assistance when asked, staff of both country initiatives did not have a clear understanding for non-assistance activities and tools, or could not as easily identify ways to promote or increase non-assistance opportunities through their work.

The evaluation team concluded from interviews in El Salvador that the concept of non-assistance, was not readily relevant to non-leadership stakeholders. However, when explained further with an alternative name ‘good offices or Buenos oficios, respondents then understood and in some cases, were able to provide examples. In 90 percent of interviews outside of USG and GOES senior leadership, the term “non-assistance” had to be defined for the respondents. Table 6.1 below provides data on the number of respondents, by stakeholder type, who were able to address questions concerning the types of non-assistance in the El Salvador PFG initiative, helping to illustrate that most PFG staff, particularly within GOES, were not aware of non-assistance activities in El Salvador.

Table 6.1: Number of interviewees who provided examples of non-assistance activities in PFG El Salvador Initiative

Interview Responses	USG		GOES		USG and GOES Totals
	Leadership	Goal Leads	Leadership	Goal Leads	
At least one response	14 (82%)	13 (72%)	4 (45%)	3 (17%)	34 (55%)
No response	3 (18%)	5 (28%)	5 (55%)	15 (83%)	28 (45 %)
Total	17	18	9	18	62

NOTE: Some stakeholders’ responses about non-assistance may not have been accurate, meaning that they did not fit under the definition of non-assistance provided at the onset of this chapter. Therefore, the information provided is an estimate to inform the reader of the stakeholder groups that were able to provide information on non-assistance activities within the El Salvador initiative.

As shown in table 6.1, USG leadership (82 percent) was the stakeholder group most knowledgeable about the term non-assistance and most able to provide clear examples of non-assistance activities within the PFG initiative. Among GOES leadership, fewer respondents (45 percent) were able to provide examples of non-assistance activities in El Salvador, with 55 percent unable to provide examples of non-assistance. However, one of the GOES senior officials provided detailed information and examples of non-assistance, stating that from the beginning of PFG, there was an emphasis placed on what can be termed “non-assistance,” considering that in a

¹⁹ Note that there is a new United States Ambassador to the Philippines, hence his involvement to PFG is very minimal as he becomes familiar with the initiative

partnership such as this one, the agreement goes beyond any financial resources. As a result, non-assistance activities were mentioned in various PFG initiation documents agreed upon by GOES and USG including:

- joint declaration of principles for both governments;
- joint action plan for both countries (JCAP);
- monitoring and evaluation reports;
- order 169 for the creation of the National Growth Council; and
- press conference to launch PFG.

Findings from the online survey question about non-assistance provide a different perspective than the interviews did. When asked if respondents had witnessed non-assistance, overall 78 percent of survey respondents claimed to have witnessed non-assistance within PFG activities in El Salvador, while approximately 15 percent had not (see figure 6.1). However, as illustrated in figure 6.2 subsequently, when responses were reviewed by stakeholder type, it was evident that much fewer GOES respondents (65 percent) were aware of non-assistance activities than USG (82 percent).

Figure 6.1: Have you seen non-assistance tools being used in the PFG activity with which you are or were involved? (responses from El Salvador evaluation survey only)

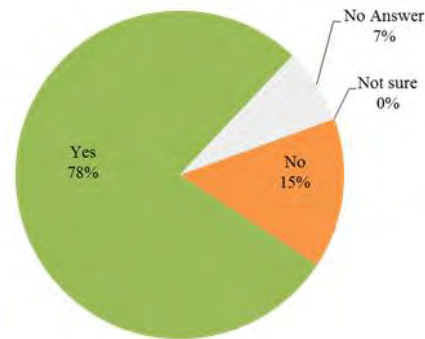
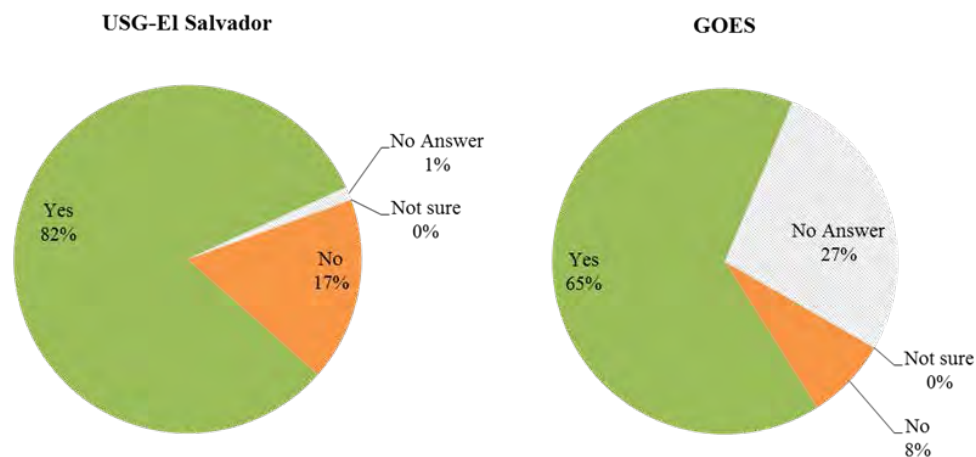


Figure 6.2: Respondents Awareness of Non-Assistance Activities by Stakeholder Type (responses from El Salvador evaluation survey only)



In the Philippines, findings were similar to that of El Salvador. Table 6.2 below provides the findings from the interviews.

Table 6.2: Has non-assistance contributed to the PFG process in the Philippines?

Responses	USG		GPH		Overall Total Respondents
	Leadership	Program Managers	Leadership	Program Managers	
Yes	11 (48%)	2 (40%)	8 (53%)	1 (33%)	22 (48%)
No	4 (17%)	2 (40%)	1 (7%)	1 (33%)	8 (17%)
No response	8 (35%)	1 (20%)	6 (40%)	1 (33%)	16 (35%)
Total	23	5	15	3	46

* Note: Leadership respondents include architects.

When PFG staff in the Philippines were asked about the contribution non-assistance has made to the PFG process, the majority of responses outside of high-level leadership, particularly on the USG side, indicated a lack of familiarity with the concept; responses included “not familiar,” “explain to me what this is,” “I’m curious; what is it?” Those who were familiar with the concept of non-assistance could not provide concrete examples to demonstrate how it has contributed to PFG. Another common answer provided to the non-assistance question, once the concept was explained, was that the concept of non-assistance is largely unrealistic as everything “involves money in some way,” as one respondent put it. Respondents generally expressed a lack of clarity about non-assistance activities and did not understand that within their individual projects, non-assistance activities could be identified and initiated, possibly through WGA activities (that is, discussions among multiple USG partners). Three program managers said that they had no role in non-assistance at their level. Similar to leadership staff in El Salvador, the question was accurately answered by USG and GPH leadership, as demonstrated in table 6.2 above—11 out of 23 USG leadership and 8 out of 15 GPH leadership staff members were aware of the contributions of non-assistance and non-assistance activities implemented as part of the PFG initiative. One member of the USG leadership team, for instance, shared that non-assistance activities are announced through a report that is submitted to USG. A GPH leadership official shared that they hear about non-assistance activities during budgetary meetings and at the Philippines Development Forum annual meetings, where USAID reports on non-assistance activities.

Findings from the online survey were similar to the interview findings in that more USG personnel were aware of non-assistance activities than GPH personnel were. As illustrated in figure 7.4 below, when asked if they have seen non-assistance tools being used, 74 percent of USG staff said “yes” and 42 percent of GPH staff said “yes.” Within GPH, 33 percent believed that non-assistance projects did not exist within the PFG Philippines initiative, while a much smaller number (10 percent of USG staff) believed that those types of projects did not exist in the PFG Philippines initiative.

Figure 6.3: Have you seen non-assistance tools being used in the PFG activity with which you are or were involved? (Based on Philippines' evaluation survey responses only)

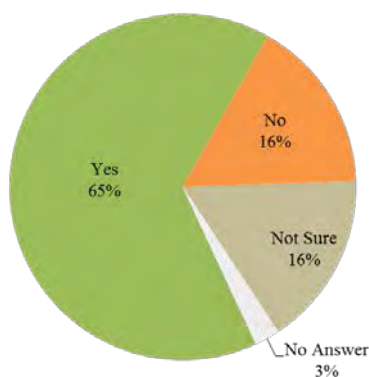
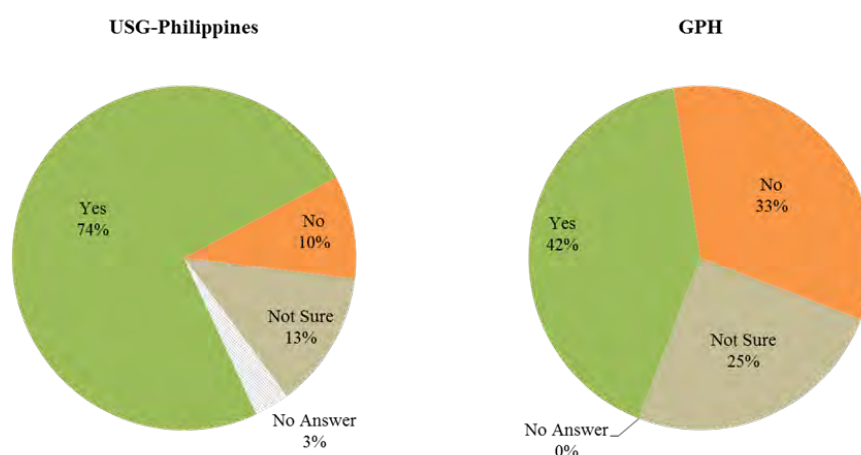


Figure 6.4: Survey responses regarding whether non-assistance is being used in the PFG Philippines Initiative



Finding 3: Overall, non-assistance efforts have led to largely positive results

Non-assistance efforts that could be identified by PFG staff in both countries studies varied, but were mostly positive. In El Salvador, exerting U.S. government influence with GOES officials to resolve political gridlocks has been effective. Once these activities have occurred (when appropriate), the public affairs activities to raise the Salvadoran public's awareness of PFG have been somewhat effective in raising awareness of PFG, but not in publicizing the goals of PFG, the progress it has made, and how these outcomes will positively affect the lives of Salvadorans. During the interviews, the evaluation team gathered that USG has also not used its convening authority to engage civil society, small and medium enterprises, and the community of international investors enough to advance PFG among these groups. Consequently, PFG is missing opportunities to raise support for PFG that could be instrumental in ensuring the successful implementation of activities.

The situation in the Philippines was similar to that of El Salvador - Non-assistance tools were frequently activities led to positive results in terms of promoting policy reform. Further, three GPH respondents that identified non-assistance activities spearheaded by the economic section, however, expressed that there was a need for more U.S. Department of Justice (DOJ) involvement in non-assistance activities. Also similar to El Salvador, non-assistance activities are not as publicized as they could be. the public affairs and public

information system did not seem to have played a role in publicizing non-assistance activities to the extent that PFG partners and other stakeholders could understand and appreciate them.

Figure 6.5 and 6.6 provide positive examples of non-assistance activities that have taken place in El Salvador and the Philippines, provided through the online survey responses.

Figure 6.5: Accurate examples of direct quotes about non-assistance in the El Salvador PFG initiative, provided by survey respondents

- Use of Embassy and GOES power to convene civil society discussions.
- Use of Embassy and GOES power to enhance earned media coverage of PFG events.
- Ambassador's direct involvement in specific issues, such as the Access to Information Institute.
- GOES ministerial direct involvement in specific issues, such as the Crime and Violence Prevention Strategy.
- Diplomatic engagement to advance PFG legislation.
- Increase in dialogue between the private sector and the government.
- Ambassador Aponte has moved forward a number of issues I deal with in my project through her convening power, including bringing the Growth Council back together.
- Diplomatic engagement by embassy officials on key PFG legislative initiatives, such as assets forfeiture.
- Public-private engagement and dialogue, such as Growth Council, FCS, liaising with business community.
- Use of USG 'good offices' to promote PFG with other donors to join the initiative.
- 'Good offices' to foment meetings that might not have happened otherwise.
- Convening of authority by U.S. Ambassador for donor coordination.
- Institutional reform to increase public transparency and support the new Institute of Access to Public Information.
- Engagement of private companies in crime and violence prevention, such as the approval and launching of the National Violence Prevention Strategy (ENPV) to prevent crime and violence at the municipal level.
- Passing of the private-public-partnership law.
- Treasury technical assistance in the airport project.
- Enlisting FEMA and FAA in airport safety and emergency planning.
- State Department engagement.
- All new scholarship under Fulbright, UGRAD and IVLP is mainly in a field relevant to PFG.
- Focus on infrastructure and air transportation.
- Non-assistance expressed through links between American universities such as the University of Arizona, Don Bosco University, Stanford University, among others, as well as with U.S. NGOs and foundations.

Figure 6.6: Accurate examples of non-assistance in the Philippines PFG Initiative, provided by interview and survey respondents

- Use of USG and USAID convening power authority to engage high-level stakeholders within GPH for policy discussions (and changes).
- U.S.-Philippines Bilateral Strategic Dialogues.
- The State Department Economic Section has been working with GPH officials to advance trans-pacific partnerships (TPP) and reform.
- United States Trade Representative (USTR) engage with GPH counterparts on trade issues when the two governments have complementary interests.
- The Judges Swapping Program, through which U.S. judges come to the Philippines, provides peer exchange.
- U.S. assistance led the Philippines to be taken off the Intellectual Property (IP) watch list.
- ‘Better Than Cash Alliance’ Advocacy, which supports current thrust of government to move toward a digitized economy.
- Periodic sectoral and overall partnership joint reviews scheduled at senior-management levels on a regular basis.
- Endorsement of Philippine participation in U.S.-led initiatives (Open Government).
- Engagement by U.S. DOJ with Ombudsman on asset forfeiture framework and other activities.
- High-level visits from Washington D.C. to discuss needs with Philippine counterparts.
- Working with national competitiveness authority.
- Advocacy versus proposed trade-impeding measures such as 100 percent customs pre-inspection.

As stated previously, USG embassy leadership provided the clearest understanding of non-assistance in El Salvador and the Philippines. Members of high-level leadership were able to provide concrete examples of non-assistance activities. Opportunities exist to increase knowledge among other players of the PFG initiative on non-assistance.

6.2 Conclusions

In both El Salvador and the Philippines, USG embassy leadership provided the clearest examples of the successful use of non-assistance. In El Salvador, the Ambassador was cited as the most visible proponent spearheading non-assistance activities within PFG in El Salvador. However, non-assistance can be effected beyond diplomacy; therefore, other opportunities for non-assistance within PFG could be explored to compliment the work of the Ambassador and high-level officials. In the Philippines, the USAID Mission Director was cited as the most visible proponent contributing to non-assistance activities within PFG in the Philippines. Within the State Department, the U.S. Embassy’s Economic Section was also mentioned as the initiator and facilitator of most of the non-assistance activities.

Note that there was no clear difference identified between the existence and use of non-assistance tools among the different leaders that were identified to be spearheading non-assistance in each country studied.

Finally, the value of promoting PFG goals through non-assistance tools, attained and pending, was not always evident. Opportunities exist to leverage non-assistance activities to promote a positive adjustment of expectations for the investor community, foreign and domestic, and the citizens of the Philippines.

6.3 Recommendations

PFG participants need to become more knowledgeable about the diversity of forms non-assistance takes and its value should be conveyed to a broad array of beneficiaries. Given its importance within the PFG approach, the evaluation team recommends that as part of PFG implementation guidelines, possibly through the PFG management team, previously recommended, respective initiatives should conduct training(s) or other knowledge-sharing and communication activities related to non-assistance as part of PFG start-up activities. Further, as new staff are introduced to the initiative, on-going training should occur. Within these trainings, there should be a concerted effort to identify past examples of non-assistance and activities that may lend themselves to non-assistance in the future. Such training would aid PFG staff in identifying opportunities for non-assistance and effectively translating examples of non-assistance to the larger stakeholders within their goals, and projects or activities.

Improve reporting and public awareness on non-assistance activities. The evaluation team recommends increased public awareness and reporting of PFG's goals to improve the potential investment climate, decrease negative perceptions of the binding constraints, and set the expectations of the general public in terms of what the PFG initiative can and cannot do within non-assistance activities.

Increase staffing on assignments geared toward identifying and working on non-assistance activities. Based on the findings about non-assistance activities and the need to bring more awareness to various stakeholders, the evaluation team recommends that PFG initiatives consider increasing staffing geared toward non-assistance. Increased staffing will be needed because workloads will invariably increase if attempts to leverage non-assistance are increased in the future. The team is not necessarily suggesting that additional staff need to be hired. Within existing established PFG structures, it would be useful to designate an individual (or individuals) who would be responsible for identifying non-assistance opportunities, especially related to public information and stakeholder mobilization within the PFG initiative. Further, it would be useful to have dedicated budgeting towards promoting non-assistance (and other public information) activities, as previously discussed.

7. Additional Findings and Recommendations

In addition to findings specific to the cross-cutting questions, the evaluation team has provided findings gathered during the two evaluations that will be useful for potential PFG or similar initiatives.

7.1 Management, Operations, and Evaluation of PFG

The first purpose of the PFG mid-term evaluation according to the SOW was to analyze “... whether the PFG process demonstrates improvements over pre-PFG assistance approaches. In particular, the evaluation team will examine the extent to which the PFG’s whole-of-government approach (WGA)²⁰ and Constraints Analysis (CA) led to a change in the way USG delivered development assistance.”²¹ Further, according to the U.S. State Department, core principles of PFG include... “[r]igorous, evidence-based joint analysis on constraints to growth conducted by integrated teams of U.S. Government and PFG country officials...”²² The evaluation team therefore gathered findings that respond to how effectively PFG is managed, operationalized and evaluated in order to respond to this purpose.

Finding 1: PFG initiatives did not always follow the constraints analysis

As a foundational element and principle activity of the PFG process, the constraints analysis study was conducted by both initiatives in El Salvador and the Philippines. The El Salvador initiative completely followed the constraints analysis: the entire U.S. Embassy in El Salvador changed its strategy to conform to tackling the two constraints. All PFG staff confirmed this case to be true, with even one leadership member sharing that while very beneficial in focusing the USG strategy in El Salvador, only concentrating on tackling the two constraints could be problematic to the country’s development as other challenges are essentially ignored.

On the other hand, the Philippines PFG initiative did not restrict its effort only to the final set of binding constraints. Upon completion of the constraints analysis process, the Philippines initiative introduced ‘human capital’, referenced within the constraints analysis as essential but a non-binding constraint. The evaluation team found ample reason for why human capital was introduced as a new constraint and hence projects focusing in this area were established. However, including human capital was essentially straying from the essence of having a constraints analysis focus the development strategy on only the identified binding constraints.

Conclusions

The strategies employed by both countries evaluated for how the PFG initiative should actually be implemented reaped benefits. In El Salvador, solely focusing on the identified constraints meant that the entire USG development strategy was highly focused, and therefore implementation was more effective. In the Philippines, expanding the strategy to include constraints outside of those determined as binding meant that the USG strategy was more relevant to USAID Mission’s country strategy and addressing current crucial development needs. This situation means that there is no ‘one-size-fits-all’ approach to

²⁰ The whole of government approach is reviewed in the next chapter

²¹ Statement of Work for Partnership for Growth (PFG) Mid-term Evaluation: El Salvador and the Philippines, pp. 1–2.

²² Partnership for Growth Fact Sheet <http://www.state.gov/r/pa/prs/ps/2011/11/177887.htm>

how PFG should be implemented, but some clarity through design guidelines (as discussed previously) would be useful to avoid confusion on implementation strategies.

Recommendation

The differing approaches employed and the benefits identified in each initiative would be useful for the PFG leadership to explore in order to determine which strategy would be most effective and to provide guidance on whether or not constraints outside of the constraints analysis should be tackled and included as priority, or whether they pose a challenge to truly implementing the PFG initiative. Should such changes be viewed as essential and therefore included in PFG approaches, the evaluation team recommended that changes be formally incorporated into the guiding documentation (in this case the JCAP—discussed in more detail subsequently) to appropriately track eventual determination of PFG impact.

Finding 2: The role of the JCAP in PFG implementation varies by country

The development of the JCAP was a key step of the PFG process. The JCAP was developed by USG and the host government, and serves as the joint tool to guide the implementation of the PFG initiative. The JCAP details how the constraints to growth are to be tackled; outlines potential tools, reforms, technical assistance and resources that can be applied throughout the 5 years of the initiative to address priority constraints to growth. The JCAP was envisioned to be a ‘living’ document, as the documents for El Salvador and the Philippines state, “the JCAP remains flexible and is to be reviewed annually in order to make course corrections and adjustments for subsequent implementation, as agreed to by the GOES and the USG.”²³ However, in both PFG initiatives, the evaluation team found that the JCAP was not updated annually.

In both countries, it was evident that the JCAP was instrumental for the design phases of the PFG initiative. However, the use of the JCAP as a fundamental guiding document during implementation varied among PFG stakeholders. In El Salvador, while the leadership, management, and Goal Leads were very knowledgeable about the JCAP, referenced and followed it, PFG implementers had little knowledge of it and did not reference it at all. Further, the implementers were not aware of how their programs fed into the larger PFG initiative.

In the Philippines, the leadership and management were also knowledgeable of the JCAP, but other stakeholders knew of it vaguely during the beginning of PFG, but did not use it during implementation. Program implementers in the Philippines were generally not knowledgeable about the JCAP, referencing that they heard about it during initial PFG project meetings, but did not use the JCAP to develop their individual project plans.

Conclusion

The role and use of the JCAP was one of the few elements of the PFG that varied by country. While El Salvador used the JCAP in its implementation, Philippines seemed to have veered from it. For both country initiatives, there were elements of the JCAP that are outdated. Further, beyond PFG leadership, most PFG stakeholders did not use the JCAP as a reference document for implementation.

²³ El Salvador JCAP, pg. 25; Philippines JCAP, pg. 5.

Recommendation

Given that the JCAP is meant to be a living document, and elements of the document change over time, naturally due to changes that occur within countries, the evaluation team recommended that (elements of) the JCAP be revisited at mid-term given that over time some of the components of the JCAP, particularly activities (projects or lines of action) were outdated. An outdated JCAP would mean that indicators needed for tracking progress are also outdated, thereby hindering effective implementation and monitoring and evaluation. Further, the evaluation team recommends that the updated JCAP be shared with implementers of PFG as it would be a useful tool for them to ensure that their projects are appropriately aligned to the larger PFG initiative.

Finding 3: Management and evaluation of the PFG should take into account that PFG is a large initiative with both fluid policy components and projects to be implemented that can mean that its true initiation time could be different than typical programs

While evaluating both countries, the PFG staff, particularly those in leadership and management roles, shared a general concern about what the initiative is perceived to be. PFG staff often stated that it was important that PFG is not perceived as a project, but as an initiative. One management staff member from the Philippines shared that PFG is actually a framework and not a project to be managed. Others stated how important it is to note that PFG is not a USAID or MCC project, and therefore cannot be managed and evaluated in the same manner. Establishing that PFG is a government-to-government initiative is crucial for how it is operationalized, managed, and evaluated. Particularly, this discussion is essential to realizing the second purpose of the PFG evaluation according to the statement of work, to “evaluate whether PFG efforts have been developed in such a way as to allow for the eventual determination of their impact on addressing the identified constraints and desired outcomes.”

This concern was particularly prominent in the Philippines. For instance, GPH staff—leadership and program managers specifically—expressed frustration about a perceived delay of the initiation of PFG projects stemming largely from the increased coordination and sign-off needed from multiple agencies due to PFG’s structure, particularly the WGA, which requires coordination (as previously discussed). However, within USG, particularly among USAID staff in the Philippines, the PFG projects were viewed to have been procured much faster than previous projects, largely because of the high-level attention for the initiative. USG respondents further explained that the perception of delay would exist because PFG was not truly initiated in November 2011 (when the JCAP was signed). The subsequent year was spent cultivating a relationship with the partner government and fostering collaboration and partnership that was essential prior to the implementation of PFG projects/ activities, as well as engaging extensively in various policy reform discussions.

Though not as prominent, project implementation delays were also mentioned in El Salvador. In response, one staff member elaborated: “We did not have a template for PFG. The initiative had to be developed from scratch and that takes time.” This sentiment was shared, particularly among the leadership staff.

Concerning evaluating the initiative, PFG staff in both El Salvador and the Philippines were concerned that the initiative was being evaluated in the same manner as a USAID or MCC project. While these two entities have rigorous evaluation practices that can be leveraged by other entities for monitoring their projects, staff shared that the ‘fluffy’ components of PFG that were most crucial—non-assistance,

government-to-government negotiations for policy making and reform—could not always be quantifiable, and therefore determining eventual impact could be challenging.

Conclusion

PFG initiatives should consider the extensive time needed for developing a true partnership with the host government, as well as needed timeframe for dialogues for policy reforms and other non-project related activities. Taking into account such timelines which lead to prolonged initiation of PFG projects is key to ensuring that management and monitoring and evaluation timelines are appropriate.

Recommendation

PFG, like similar development initiatives, but particularly due to it being a partnership between two governments takes time for its programs and activities to come to fruition, after the initiative itself is launched. Further, given that PFG does not have a guiding template for all of its design, initiation of projects may lag. As a result a concerted effort needs to be made by the partner governments to manage expectations of all stakeholders. This situation also affects M&E and resulting expectations for how to measure effectiveness and impact. Realistic expectations, for instance, would be that major impacts would be realized only towards the end of the program (that is, because some programs are yet to begin at what would be considered the mid-term – 2.5 years). Even further, given the vastness of the constraints (and indicators), realizing meaningful changes to constraints would take more than 5 years. The evaluation team therefore recommends that PFG management and leadership include the implications of project initiation timelines and therefore M&E in discussions in design so expectations are appropriately set for measuring effectiveness and ultimately the impact of PFG country initiatives.

Finding 4: Scorecards promote on-going monitoring of PFG program and therefore the processes should be strengthened and encouraged for all PFG initiatives

The JCAP in both country initiatives require PFG initiatives to use a scorecard to track progress. In El Salvador the scorecard process occurs semi-annually, while the process occurs annually in the Philippines. The scorecard review is used as a means of tracking progress of PFG projects. The process for each country, their strengths and challenges are discussed subsequently.

El Salvador Scorecard Process

The El Salvador M&E Addendum to the JCAP elaborates on the purpose of the scorecard: “The scorecard is to be accompanied by a description that provides a justification for each score assigned. This justification is to include the results of the goal indicators included in this addendum along with other relevant supporting information and data (which may include results of monitoring and evaluation conducted independently by each government on individual LOAs).”

Overall, the El Salvador PFG initiative is to be commended for completing the M&E Addendum in a timely manner and thereby providing an overall guiding document for M&E for PFG. Further, since PFG’s inception in El Salvador, six scorecards have been developed and made publicly available,²⁴ promoting transparency in tracking progress of the PFG process. The scorecard procedure is outlined in the M&E Addendum, and the evaluation team found that both governments have made very explicit

²⁴ <http://sansalvador.usembassy.gov/partnership-growth.html>

commitments to the scorecard process. Overall, respondents found the scorecards useful, and none of the respondents characterized producing the scorecards as an unneeded procedure or suggested discarding it.

While a useful tool, the evaluation team also found that the scorecard process in El Salvador had some challenges.

The scorecard process is a combination of fact-based and a negotiated process: Respondents saw the scorecard process to be negotiated. For instance, part of the negotiated process, especially for goals associated with the tradables constraint, was to define which of the many well-specified and high-quality LOA indicators would be fed into goal monitoring and what weight they would be given. The results of scorecards for a number of goals under the security constraint also went through this selection process, especially when the goals were USAID-led and backed by indicator-rich M&E plans typically developed by USAID contractors. However, for some other goals on the security side (in particular those without USAID M&E plans), the scorecard process was based less on sound indicators—sometimes also because designated activities had not yet begun—and more on qualitative milestones. Milestone performance also fed into the scorecards, and many Goal Leads saw them as “indicators” of progress, even though they recognize that the process of determining where a project sits on its path to implementation is a somewhat subjective one.

The evaluation team found that fact-based data and political interests were combined in the final scorecard score through a somewhat arbitrary process. Further, a lack of clarity about how LOA (activities) performance, milestone results, and performance as related to the two goal-level indicators are supposed to be weighted and then fed into the scorecard leaves significant room for political negotiation rather than evidence-based scoring. The document review further revealed that the monitoring process is essentially performed at the LOA-level and that no rigorous M&E procedure was put in place to relate the LOA-level indicators to the goal-level indicators within the scoring process. The evaluation team also found that indicators, results, and milestones reported in the scorecards can easily become influenced by factors that should be irrelevant when results data are being collected, such as the need for officials to report positive performance to their superiors.

Philippines Scorecard Process

The annual PFG scorecards indicate macro-level progress in the Philippines that is less indicative of PFG progress: PFG progress was also tracked by an annual scorecard, per JCAP guidelines. This scorecard used macro-level indicators to measure overall and constraint-specific progress. Nine out of the 10 scorecard indicators for the Philippines, including in each constraint, demonstrated progress since PFG started in 2011. This number seemed to imply that PFG is on track and had the anticipated results. However, improved Philippine economic performance can be dated to early 2012, far before most PFG projects were initiated. Moreover, there was much discussion among respondents about whether or not these indicators measure inclusive growth. Many pointed to the persistent poverty level as evidence that other indicators need to be considered. It also does not establish targets for these indicators so that actual performance can be compared to expectations. An articulation of how PFG USG and GPH activities under the JCAP contribute to these high-level indicators and the inclusion of a more diverse set of direct and mid-level indicators would be more instructive.

The relevance of these indicators was questioned by many stakeholders, as well as by the evaluation team, for their effectiveness in measuring PFG impact and progress. High-level indicators such as those in the scorecard tend to capture too wide an array of variables to allow for attribution to PFG activities. Many felt the current scorecard indicators are not useful for managing PFG results. There is also some concern that more important and relevant indicators are not being used, including many of those identified in the JCAP.

Finding 4: Indicators are used as measuring tools for monitoring and evaluating the PFG initiatives, but are not always most appropriate.

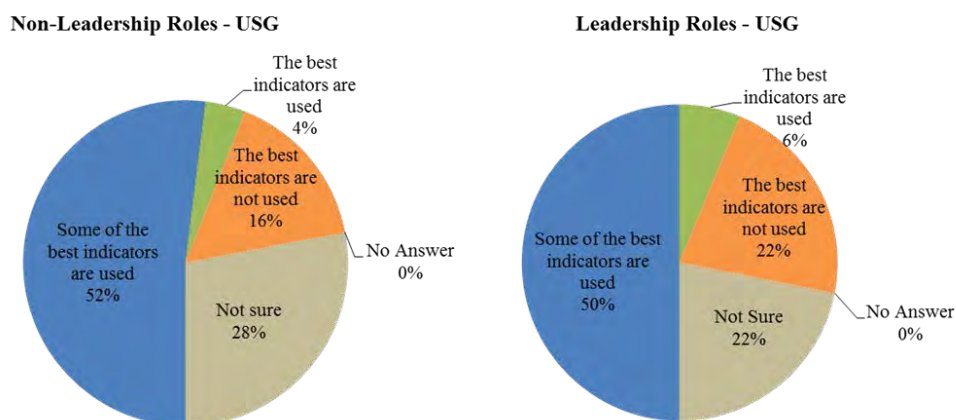
Both the El Salvador and Philippines PFG initiatives use indicators as means of tracking progress. Indicators are identified for tracking overall PFG progress, while individual projects have specific indicators that are reviewed. During the evaluation, the team analyzed whether the PFG indicators were known to stakeholders, were deemed appropriate and were being used. The findings are provided below, by country.

El Salvador PFG

El Salvador PFG Goal leads were not fully aware of three long-term indicators and how constraint-level indicators align with goal-level indicators: First, the majority of PFG Goal Leads who were assigned with leading the tracking process were unaware of the three long-term overall indicators for their respective constraints. Further, they were never briefed about how their particular goals and activities would affect the constraint-level indicators, information that would be useful to appropriately align indicators and monitor the progress of the overall PFG initiative. This lack of information about the relation between goal-level indicators and the constraint-level indicators was especially prevalent on the security side. Once Goal Leads became aware, of the constraint-level indicators, through prompting by the evaluation team, they confirmed that these indicators were not systematically included in the scorecard report or discussed during scorecard meetings.

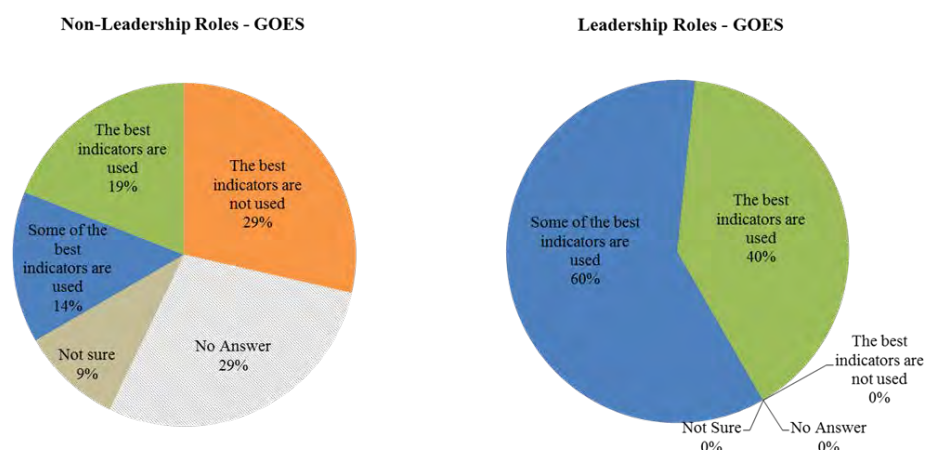
PFG stakeholders felt that, in some instances, better indicators could have been selected to monitor PFG, but they did not readily provide alternatives: Respondents to the online survey provided a mixed response when asked if the best indicators were being used to track PFG progress. Among USG leadership, 50 percent of respondents indicated that “some of the best indicators are being used,” while 22 percent of respondents stated that the indicators being used were not the best available (see figure 7.1). Among non-leadership in USG, 4 percent of respondents stated that the best indicators are being used, 52 percent of respondents stated that some of the best indicators are used, and 16 percent of respondents expressed that the best indicators are not being used to allow for transparent, accountable, and fact-based monitoring of PFG.

Figure 7.1: Are the appropriate indicators being used to allow for transparent, accountable, and fact-based monitoring of the PFG? (responses from El Salvador evaluation survey responses only)



The findings among GOES PFG staff were different: 60 percent of leadership stated that some of the best indicators were being used, while 40 percent stated that the best were being used. None of the leadership staff within GOES who responded to the survey indicated that the current indicators were not the best. For non-GOES leadership staff, however, 14 percent expressed that only some of the best indicators were being used, and 19 percent thought that the best indicators were being used. However, 29 percent believed that the best available indicators were not being used, while 9 percent were unsure (see figure 7.2 below).

Figure 7.2: Are the appropriate indicators being used to allow for transparent, accountable, and fact-based monitoring of the PFG? (responses from El Salvador evaluation survey responses only)



Overall, only 8 of the 108 survey respondents provided suggestions for alternative indicators and few of these suggestions were clearly defined. Some indicators suggested are instituting a monitoring board; security or crime index; and a transparency index.

Finally, the evaluation team also found that the scorecard elaboration process did not provide sufficient opportunity for knowledge sharing across goals. During the Goal Lead scorecard meeting that the evaluation team witnessed, findings per goal were shared with all the other goals, but each Goal Lead had only 3 minutes to present progress related to the goal. The short presentations for each goal also were not

followed by an overall presentation on WGA, on the potential for synergies among goals, or on the overall status of the PFG initiative based on the progress (or regress) of the respective goals.

Philippines PFG

Similar to El Salvador, the Philippines PFG initiative has a scorecard process, but in contrast to El Salvador, this is an annual, as opposed to semi-annual review. In the Philippines, progress on PFG project performance is tracked through indicators, similar to the El Salvador initiative.

USG and GPH were both committed to the scorecard process. The Philippines initiative's indicators measured three inter-related development interventions (referred to as sub-constraints for this evaluation), namely:

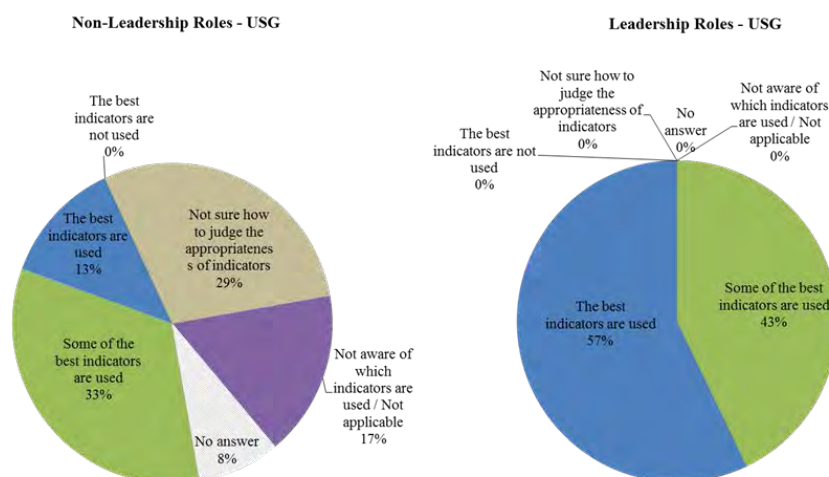
1. regulatory quality,
2. Rule of Law and anti-corruption, and
3. Fiscal Space or performance.

According to the Philippines JCAP, the M&E framework would be established, “to ensure that the JCAP was being implemented effectively and that the desired outcomes were being achieved, the initiative envisaged a rigorous, transparent M&E process”. Using an evidence-based M&E framework, the JCAP envisioned USG and GPH working together to identify targets and track progress on macro and sectorial-level indicators to best demonstrate performance against benchmarks.²⁵

PFG stakeholders felt that, in some instances, better indicators could have been selected to monitor PFG, but they did not readily provide alternatives. Among USG leadership, 57 percent of respondents indicated that “some of the best indicators are being used,” and 43 percent stated that the indicators being used were some of the best (see figure 8.3). Among non-leadership in USG, 13 percent of respondents stated that the best indicators are being used, 33 percent stated that some of the best indicators are used, 29 percent were not sure how to judge the appropriateness of the indicators being used, 17 percent were unaware of the indicators being used, and 8 percent did not provide answers.

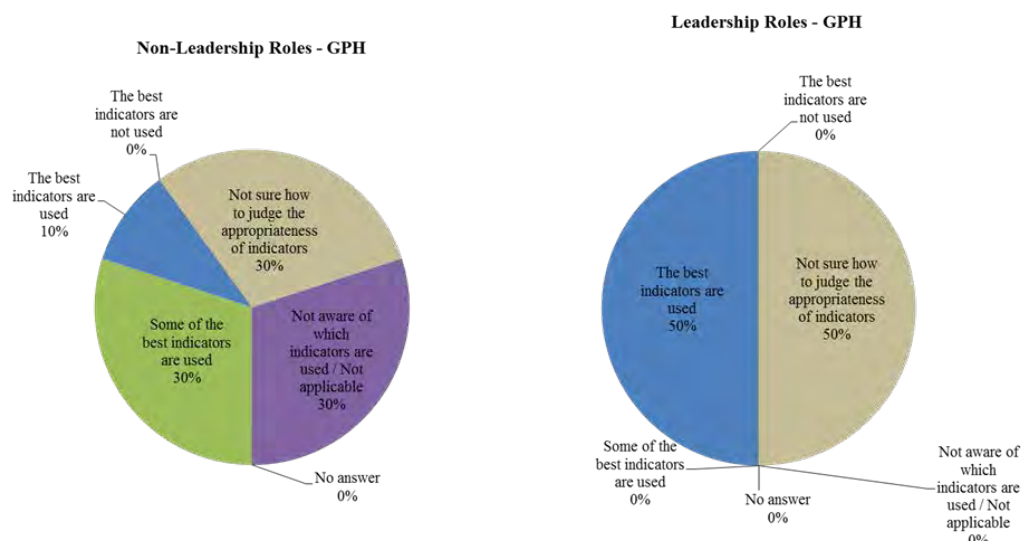
²⁵ PFG Philippines JCAP 2011, pg. 13-14

Figure 7.3: Are the appropriate indicators being used to allow for transparent, accountable, and fact-based monitoring of PFG? (responses from Philippines evaluation survey responses only)



Fifty percent of GPH leadership staff stated that the best indicators were being used, while 50 percent stated that they were not sure how to judge the appropriateness of the indicators being used. None of the leadership staff within GPH who responded to the survey indicated that the current indicators were not the best. However, for GPH non-leadership staff, 10 percent expressed that the best indicators were being used, 30 percent stated that only some of the best indicators were being used, 30 percent were not sure how to judge the appropriateness of indicators being used, and 30 percent were unaware of the indicators being used.

Figure 7.4: Are the appropriate indicators being used to allow for transparent, accountable, and fact-based monitoring of PFG? (responses from Philippines evaluation survey responses only)



Overall, only 12 (three from GPH staff, and nine from USG staff) of the 43 survey respondents provided suggestions for alternative indicators, examples including “qualitative indicators,” and “control of corruption cases.”

7.2 Overall Conclusions

While the PFG initiatives in El Salvador and the Philippines have made good strides in terms of tracking their respective initiatives, for instance, the scorecard process, which is the main activity for tracking progress, provides an effective framework for tracking PFG performance, promoting transparency in the progress of PFG projects. However, challenges remain in how the initiative should be monitored and evaluated. The challenges within the respective countries differ, however, both demonstrate that there is a need for a universal system, per country, to track overall PFG implementation, and the identified indicators to be tracked should be more relevant in order to be able to determine impact.

While the scorecard process is laudable, interview responses of PFG staff also indicated some confusion about the scorecard process and whether the scores represent progress toward the goal-level indicators, or measure progress on the various activities and projects. Ideally, scorecards should represent both. In practice, external events can affect the achievement of goal-level objectives. While quantitative information is being collected at the project level, it is not (yet) being used to manage JCAP implementation. Implementers and managers did not provide a consistent picture of how information is being used by the funders to manage the implementation of activities.

7.3.1 Recommendations

Recommendations developed by the evaluation team for better management, monitoring and evaluation of PFG initiatives are provided below:

M&E Measures and Processes should be developed in Concert with the JCAP. The M&E addendum (for El Salvador) was developed after the JCAP was completed, instead of being an integral part of the JCAP and its systems agreed upon by both partners during the design of the initiative. Further, there has been no consistent process to guide how M&E activities should be incorporated into the PFG as a whole, and within individual goals and LOAs and activities. The evaluation team recommends that M&E should be part of the design of PFG initiatives from inception and M&E experts should form a key part of the JCAP development team. By developing the M&E components together with the JCAP ensures that indicators included in the JCAP are appropriate, and also discussions occur at the onset about needed M&E training to ensure that all stakeholders (from leadership to implementers) are aware of the indicators, how they should be tracked and how their role contributes to the overall progress of PFG.

Further, Constraint-level indicators should be defined to be commensurate with the timeframe of the PFG. It should not be expected that macro-level variables can be influenced quickly. Goal and LOA/ activity-level indicators should be measurable and well-defined, lending themselves to tracking on a regular basis and through a systematic approach for all PFG activities.

Require and develop more robust M&E systems for all PFG projects, and institute training, as needed, to promote systematic tracking. The M&E framework for El Salvador and M&E plans in the Philippines demonstrated that USAID- and MCC-led projects had the most rigorous M&E plans. Therefore, these two entities could be leveraged to provide training on the methodology for monitoring and evaluation of PFG. However, it will be important that M&E plans instituted are not solely structured for individual programs, as discussed previously, but that they also take into account the complexities that

come with a government-to-government large scale initiative such as PFG. Developing a template that countries can adapt to suit their individual situations, would also be useful to speeding up the process for project initiation. For each goal, this process could best be led by a goal-level implementation team and formalized in goal-level work plans.

Goal-level implementation teams and work plans should be developed at the onset of PFG, but can also be incorporated at mid-term for already established PFG initiatives. The evaluation team recommends that goal-level implementation teams be created for each goal. These implementation teams should be bilateral, led by the corresponding Goal Leads or program managers, and should meet regularly (e.g. once monthly). The goal-level implementation team's main task would be to develop the goal-based work plans. These plans would systematically guide goal-level implementation for both governments and project implementers. In developing (or finalizing) these work plans, it is particularly important to include indicators that can appropriately assess how PFG activities are tracked outside of other agency (e.g. USAID) objectives. Singling out PFG-specific indicators as much as possible will significantly help efforts to assess the initiative's effectiveness, and eventually, its impact. Once these work plans are created, the implementation teams would have the job of ensuring that implementers are following the work plans. The scorecard meetings would be a good avenue for reviewing progress on all work plans, which would lead to eventually determining whether goal-level commitments can lead to constraint-level outcomes.

Identify means of tracking non-project related PFG activities: As discussed, the PFG initiative uses scorecards to track indicators of project performance. However, based on the findings, it is evident that the PFG initiative is more than a compilation of programs, and instead a government-to-government initiative. Therefore, in addition to tracking the progress of projects, it would be key to track the progress of the non-project initiatives such as coordination activities, publicity of coordination, and non-assistance opportunities. Innovative approaches such as the development of periodic newsletters, some of which already exist, could be used to capture activities, and promote information and knowledge sharing among the PFG initiative.

The scorecard presentation process should be used as a learning and innovative event. The evaluation team suggests that the scorecard meetings be structured to be workshops of learning and innovation for the bilateral implementation teams. The team recommends instituting comprehensive progress presentations on each of the constraints as a whole. In addition, these meetings should also include focus on specific themes (e.g. M&E, branding, communication, lessons learned etc.). Such events would contribute to building synergies among teams, goals, and LOAs/ activities; provide opportunities for awareness creation among implementers about their position within the PFG process; and contribute more to team building and enlarging shared ownership of PFG.

8. Overall Takeaways

Overall, the PFG initiatives studied have been effective in implementing a new approach to conducting development. Improvements in economic growth and promotion of policy reforms have been perceived in both countries studied, as a result of PFG. Both country initiatives made positive strides in promoting the core principles of PFG. The WGA was viewed as the most effective component of PFG throughout and should be encouraged for moving forward.

In terms of areas of improvement, future PFG initiatives could use better guidance in the design of the initiatives, possibly leveraging the already existing initiatives. Management, monitoring and evaluation could be improved and more rigorous to ensure that they can adequately measure effectiveness and ultimately impact of the PFG initiatives.

ANNEX 1 - Evaluation Statement of Work

STATEMENT OF WORK **PARTNERSHIP FOR GROWTH (PFG)** **MID-TERM EVALUATION:** **EL SALVADOR AND THE PHILIPPINES**

I. BACKGROUND INFORMATION

Partnership for Growth (PFG) is a set of bilateral partnerships between the United States and a select group of four countries (El Salvador, Ghana, the Philippines, and Tanzania) to accelerate and sustain broad-based economic growth by putting into practice the principles of President Obama's September 2010 Presidential Policy Directive on Global Development. It involves rigorous joint analysis of constraints to growth, the development of joint action plans to address these constraints, and high-level mutual accountability for implementation.

One of PFG's signature objectives is to engage governments, the private sector and civil society with a broad range of tools to unlock new sources of investment, including domestic resources and foreign direct investment. By improving coordination, leveraging private investment, and focusing political commitment throughout both governments, the Partnership for Growth enables partners to achieve better development results.

Core principles of the Partnership for Growth include:

- Country ownership and partnership;
- High-level political leadership and commitment to development progress;
- Rigorous, evidence-based joint analysis on constraints to growth conducted by integrated teams of U.S. Government and PFG country officials;
- Joint decision-making on where to focus and prioritize resources;
- Use of a broad range of tools, including catalytic policy change, institutional reform, aid, diplomatic engagement, and other 'non-assistance' policy tools;
- Leveraging the whole of the US government;²⁶
- Transparency, mutual accountability and fact-based monitoring and evaluation.

The PFG process consists of several steps, including:

- Agreement to initiate PFG with selected partner countries;
- Joint analysis on constraints to growth, followed by broad consultation, dialogue on the findings;
- Development of joint country action plans (JCAPs) that outline potential tools, reforms, technical assistance and resources that can be applied over the next five years to address priority constraints to growth;
- Implementation of priority initiatives by USG agencies and partner governments;

²⁶ Examples of how whole of government is expressed and applied include <http://www.whitehouse.gov/blog/2013/01/07/whole-government-commitment-inclusive-entrepreneurial-growth> and <http://www.state.gov/documents/organization/153139.pdf>.

- Regular monitoring and evaluation, which includes semi-annual scorecards
- Transparency and consultation with private and public sectors.

Documentation on PFG design, goals, objectives and accomplishments can be found at <http://www.state.gov/e/eb/ifa/odf/pfg/countries/index.htm> and <http://www.mcc.gov/pages/activities/activity-two/partnership-for-growth>.

II. CONTEXT

An important aspect to bear in mind at all times is that PFG is a bilateral partnership at the country level. The evaluation will be conducted by an external evaluator agreed upon by the U.S. government (USG) and, for evaluations in their countries, the governments of El Salvador and the Philippines.

II.a Timing Considerations

This evaluation will only focus on El Salvador and the Philippines, as they are the first PFG countries due for a mid-term evaluation in 2013 and 2014. It will span the U.S. government and national (i.e. Salvadorian and Filipino) government leadership, implementing agencies, activities, strategies, stakeholders and audiences (both public and private).

El Salvador is scheduled to hold national Presidential elections in February 2014; the evaluation team must therefore consider the time limitations on national government staff and personnel leading up to this date and efficiently and effectively plan its engagement with these stakeholders. The fourth PFG-El Salvador scorecard (see section II.d “Existing Documents and Data Sources” for scorecard details) is scheduled for release in late November 2013, which requires extensive consultations and negotiations between the two government teams. There may be overlap between the mid-term evaluation field visit and efforts to complete the scorecard. In addition, the country-specific results of the evaluation will serve as a tool for transitioning into the new administration in El Salvador.

By June 30, 2013, the current Philippines administration would have completed the first half of its six-year term. It is presently reviewing priorities articulated in the Philippine Development Plan. The administration will likely focus on efforts that will better ensure inclusive growth, increased employment, and policy continuity into the successor administration. A PFG evaluation in spring 2014 will benefit from the GPH’s review and revalidation of its priorities.

II.b Target Areas and Groups

No single criterion was used to identify target populations for PFG activities. Some PFG activities are national in scope, and others target specific sub-populations, regions and sectors.

II.c Results Frameworks and Intended Results

The El Salvador and the Philippines PFG efforts have tailored unique results framework developed in response to the constraints to growth analysis. Following is the logical framework, reflected in detail in the Joint Country Action Plan (JCAP). The frameworks reflect only the constraints and the goals necessary to alleviate or address the constraints. More information on the agreed lines of action to achieve the goals can be found in each country’s JCAP.

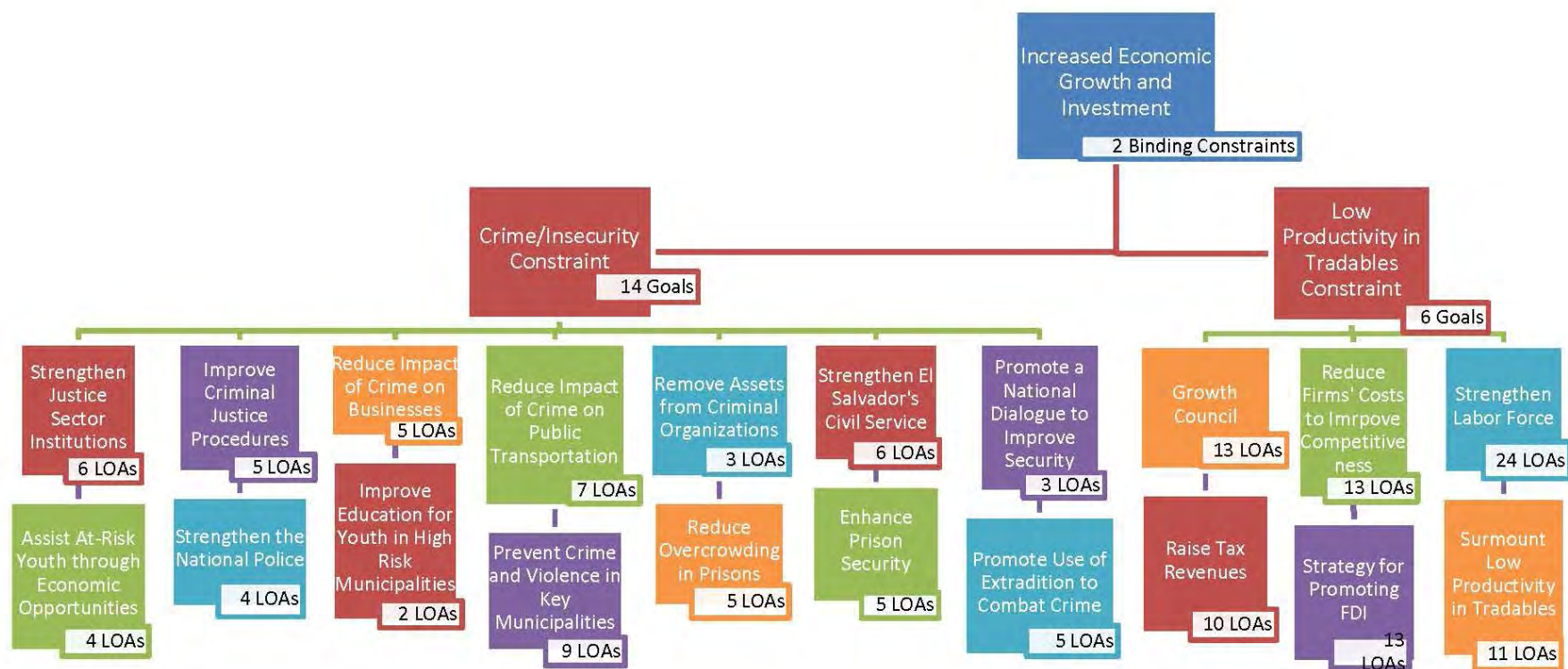
Constraint = a binding constraint to growth, identified explicitly in the constraints to growth analysis²⁷

Goal = a necessary objective to alleviate and address the constraint, identified in the Joint Country Action Plan

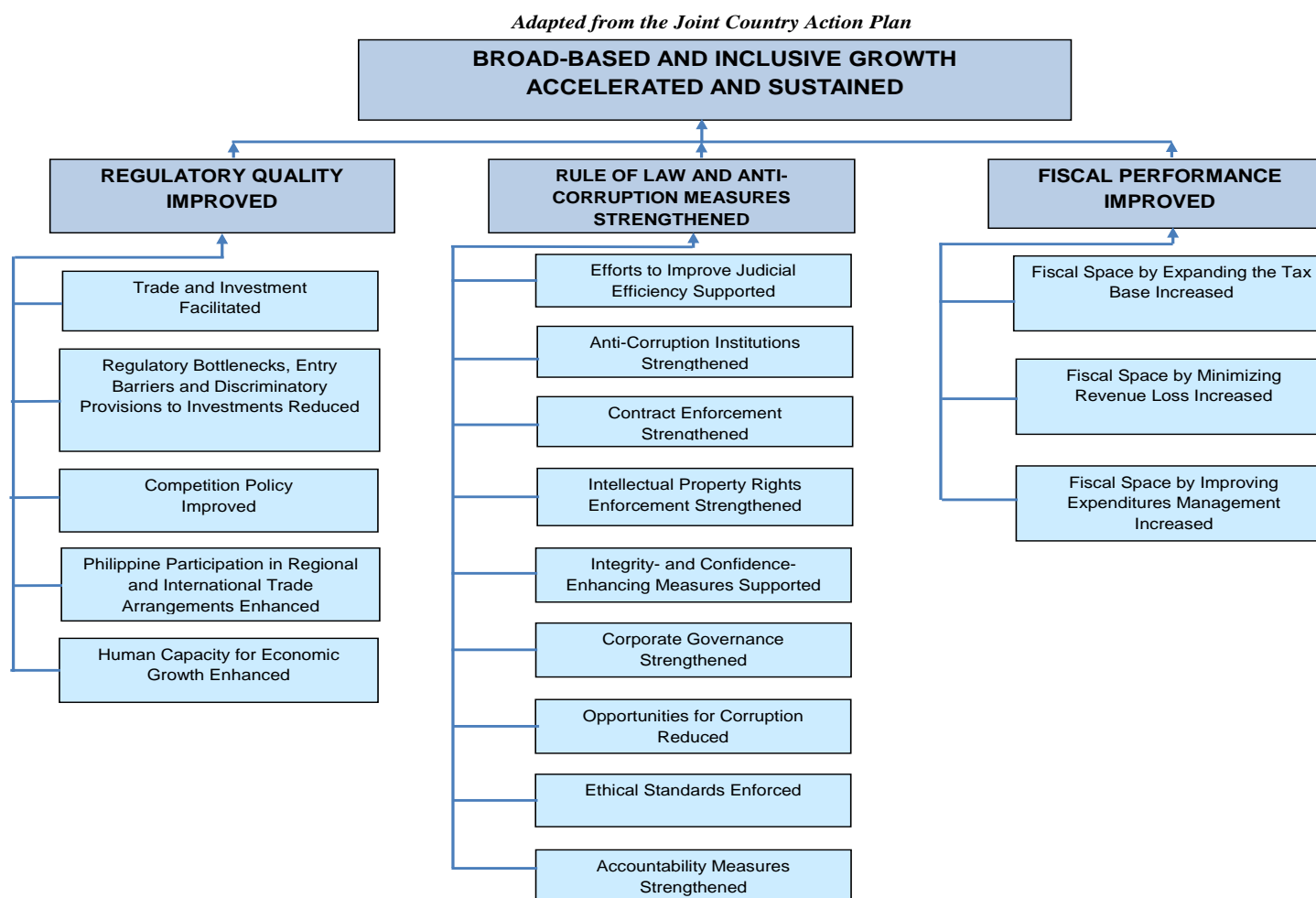
Line of Action = a programmatic response, by one or both governments identified in the Joint Country Action Plan. A line of action may be a project or a policy change or any other discrete intervention at the implementation level. The government responsible for executing the line of action is clearly identified in the JCAP. For the Philippines, the lines of action are identified in “Section B: Summary Matrix of PFG Activities” starting on page 15 of the JCAP. For El Salvador, the lines of action are identified under the “What the GOES / USG intends to [do]” bulleted lists under each Goal description, starting on page 8 of the JCAP. LOA may in many cases be synonymous with project or activity.

²⁷ A Constraints Analysis is a study based on the growth diagnostic approach originally developed by Hausmann, Rodrik, and Velasco (2005) and since elaborated by others, including the United States Millennium Challenge Corporation (MCC). Growth diagnostics seeks to identify, for a particular country at a particular point in time, the principal barriers – the “binding constraints” – to that country achieving and sustaining faster economic growth. It starts with the premise that those constraints affect growth by preventing private investment and entrepreneurship from reaching the levels they would attain in the absence of those constraints.

- Adapted from the Joint Country Action Plan -



LOA = Line of Action



II.d Existing Documents and Data Sources

A wide range of documentation is publicly available on PFG, including semi-annual “scorecards” of progress made on JCAP implementation.

Scorecards: As described in the El Salvador M&E Addendum, once PFG implementation began the governments of El Salvador and the United States decided to publish semi-annual scorecards to periodically report to the public on progress towards achievement of PFG goals. The two governments use the descriptors “Ahead of Schedule,” “On Track,” “Behind Schedule,” or “Completed”, to characterize progress on each goal. Scores reflect the consensus view of the two governments. The score for each goal is accompanied by a description that provides a justification for each score assigned. This justification includes the results of the goal indicators included in the M&E addendum along with other relevant supporting information and data (which may include results of monitoring and evaluation conducted independently by each government on individual LOAs). The goal indicators are designed to reflect the shared purposes of the governments of El Salvador and the United States. If data for goal indicators is not available in a particular reporting period, progress will be reported in the following period.

The Philippines’ PFG performance is tracked through indicators that are already collected and which are mostly publicly available and verifiable, as follow:

- Overall: GDP Growth, Exports Growth, Positive Credit Ratings, Index of Economic Freedom, Employment Growth, Non-Metro Manila Regions Share in GDP
- Enhanced Domestic Investment Climate: Foreign direct investment (FDI) to GDP ratio, Capital formation to GDP ratio, IMD Competitiveness Ranking, World Economic Forum Competitiveness Ranking, Global Enabling Trade Index Ranking, Doing Business Ranking, Government Effectiveness Indicator (World Governance indicators), Land Rights and Access, Regulatory Quality Indicator (World Governance Indicators)
- Rule of Law and Anti-Corruption: Corruption Perceptions Index, Control of Corruption Ranking, Rule of Law index – Regulatory Enforcement, Rule of Law Index – Absence of Corruption, Court Congestion Indicator
- Fiscal Space: Tax Effort, Infrastructure Expenditures to GDP ratio, Education Expenditures to GDP ratio, National Government Deficit to GDP ratio, Open Budget Ranking

The above indicators will be supplemented by activity level output and outcome indicators for specific programs

The following sites archive multiple reference documents for El Salvador and the Philippines:

El Salvador: <http://sansalvador.usembassy.gov/partnership-growth.html>
<http://tecnic.presidencia.gob.sv/temas/iniciativa-asocio-para-el-crecimiento.html>

Additional baseline data El Salvador: Not as much crime and citizen security data is available as information on productivity and investment, so the USG and GOES are making efforts to obtain more information for PFG monitoring purposes as well as to inform public policy and donor interventions outside of PFG. A recent extensive baseline study on public perceptions on security and crime was completed by USAID/El Salvador, available publicly at: http://pdf.usaid.gov/pdf_docs/PNAEA859.pdf.

This information should be used by the evaluation team both as background to understand the development context in the country, and to inform the responses to the evaluation questions. The scorecards are made public in English on the US Embassy in El Salvador website, and in Spanish on the Executive Secretary to the President of El Salvador website. To date, three semi-annual scorecards have been released.

The Philippines: http://manila.usembassy.gov/partnership_for_growth.html
<http://www.iro.ph/index.php>
<http://www.neda.gov.ph/PDP/rm/pdprm2011-2016.pdf>
<http://222.127.10.196/national.html>

In addition, the Philippines PFG team prepares updates that can be made available to the evaluation team.

III. EVALUATION RATIONALE

III.a Evaluation Purpose

The evaluation will serve two purposes. As a result, there are two sets of evaluation questions.

Purpose 1: The first purpose is to evaluate whether the PFG process demonstrates improvements over pre-PFG assistance approaches. In particular, the evaluation will examine the extent to which the PFG's whole-of-government and constraints analysis approach led to a change in the manner of USG delivery of development assistance and whether these changes demonstrated improvements in terms of operational efficiency, selection, coordination, design and management of development interventions, and ultimately increased the probability and effectiveness of assistance efforts in achieving verifiable results. The findings and conclusions of this part of the mid-term evaluation will help decision makers determine whether PFG indicates an improved model for providing assistance and whether it portends a higher probability of achieving desired development results. Furthermore, it will inform governments in their work with all donors.

Purpose 2: The second purpose is to: 1) evaluate whether PFG efforts have been developed in such a way as to allow for the eventual determination of their impact on addressing the identified constraints and desired outcomes; and, 2) to evaluate the performance of certain initiatives to date to determine whether or not they are moving in the right direction, are considered necessary and sufficient to achieve PFG goals, and are contributing to national interests through the integration and coordination of work done by both governments. The findings and conclusions of the country-specific portion of the mid-term evaluation are of particular relevance and will provide tangible input to the national government and USG entities for identifying obstacles and optimizing PFG implementation in the field, allowing for country program course corrections where feasible and needed in order to enhance the likelihood of achieving sustainable, cost-effective and measurable results.

In fulfilling this second purpose, the expectation is to conduct an assessment of the evaluability of the PFG JCAPs (i.e. in other words, assess the extent to which the current PFG programs, as designed and implemented, are evaluable and can or will demonstrate, in verifiable terms, the results they intend to deliver) and evaluations of performance to date.

The contractor first will be asked to conduct a preliminary evaluability assessment of each country's PFG JCAP (this assessment links to question "1" of the country-specific questions in Section IV.a). The

preliminary **evaluability assessment** should use the available program information to assess the following components of each goal and its corresponding LOAs (or LOA equivalent):

- problem diagnostic and baseline situation assessment;
- causal logic of activities, objectives, and outcomes;
- intended beneficiaries; and
- data availability.

The preliminary evaluability assessment will be used to identify goals and LOAs that are ready or amenable for further in-depth “second-tier” review during the mid-term evaluation, taking into consideration Post and host country recommendations, when it is technically feasible and maintains the integrity of the evaluative methodology. At a minimum, at least two goals (one per constraint) that are amenable will then be reviewed to determine whether:

- The indicators selected to measure their progress cover the overall logic of the PFG interventions;
- There are any major gaps in data collection and analysis that could prevent the interagency partners and joint steering committees from:
 - Adequately managing implementation towards expected results;
 - Evaluating the effectiveness of PFG.

This second tier evaluability assessment links to question “2” of the country-specific questions. (See section IV.a for details)

The goals and LOAs selected for the second tier assessment also will form the “sample” of LOAs or projects that will be evaluated to determine performance at the mid-term. This performance evaluation links to question “3” of the country-specific questions. (See section IV.a for details)

The current scope is only for the El Salvador and Philippines mid-term evaluations. It is expected that the other PFG countries will undertake mid-term PFG evaluations at a later date. Similarly, a final evaluation of PFG and PFG efforts in each country is anticipated. While not covered under this SOW, data captured may be employed in the eventual final evaluations and provide the foundation for making conclusions at that time.

III.b Audience and Intended Uses

The mid-term evaluation will be made available on-line to the public. There are many audiences for the mid-term evaluation, including:

Implementers

- The national government Minister of Foreign Relations (or the equivalent) and PFG Coordinating Committee in,
- The U.S. Ambassadors and Country Teams,
- The White House and participating U.S. Agency PFG Coordinators and country desk officers in Washington, DC,
- Relevant agencies/organizations implementing JCAP activities;

Stakeholders

- Citizens of El Salvador and the Philippines,
- Civil society representatives and organizations, in the U.S., El Salvador, the Philippines;
- Private sector commercial companies and organizations, in the U.S., El Salvador and the Philippines,

- Diaspora communities residing in the United States, and
- The international donor community interested in lessons learned from applying the 2005 Paris Declaration on Aid Effectiveness and the 2008 Accra Agenda for Action-assistance²⁸

IV. EVALUATION DESIGN AND METHODOLOGY

The Contractor should propose the most rigorous evaluation methodology feasible and cost-effective given the learning potential and scope of the study. To the greatest extent possible, the Contractor shall analyze and collect quantitative data.

IV.a Evaluation Questions

The evaluation questions address issues of common concern for all PFG countries (the cross-cutting questions), as well as country specific questions tailored to each country's individual situation.

Most of the cross-cutting evaluation questions will focus on organizational management structures which are common across all four countries. Country-specific evaluation questions are more appropriate to testing the theory of change at the technical level and will be used to make country-specific recommendations in the final Mid-Term Evaluation Report.

Mid-Term Cross-Cutting Evaluation Questions:

1. What are the advantages and/or disadvantages of the PFG* whole of government approach to development assistance? The intent of this question is to assess the extent to which the PFG efforts intended changes in development assistance have or have not materialized. The whole of government approach is relevant to identifying areas for assistance, selecting interventions, and determining implementation coordination. The question is relevant both to national government agencies and institutions, and U.S. government agencies and institutions overseas and in Washington DC.

* Explanation of "Whole of Government": In large bilateral efforts such as Partnership for Growth, many different governmental agencies and ministries are involved in both governments in different dimensions of the larger effort. Within the U.S. government, the term "whole of government" reflects efforts to align each agency's activities to achieve a common objective. Footnote 1 provides resources for further explanation.

2. To what extent has Partnership for Growth affected the workload on national government and U.S. government staff, as compared to the workload created by traditional forms of development assistance delivery?
3. What contribution has non-assistance²⁹ made to the PFG process and how can it be utilized moving forward?

²⁸ For further information on the 2005 Paris Declaration on Aid Effectiveness and the 2008 Accra Agenda for Action-assistance please visit <http://www.mcc.gov/pages/activities/activity-two/aid-effectiveness>:
http://pdf.usaid.gov/pdf_docs/pdacq942.pdf

Mid-Term Country-Specific Evaluation Questions:

Country-specific questions look directly at the efforts unique to a PFG country. In this portion of the evaluation, evaluators are expected to assess the evaluability of the PFG effort in each country and, to the extent possible, determine progress to date in a select amount of initiatives in PFG framework.

El Salvador

1. The constraints analysis does not identify remedies to address the binding constraints to growth. For each of the constraints, are the goal-level commitments set forth in the JCAP alone capable of achieving the constraints-level objectives and outcomes?

(See Section III.a “Evaluation Purpose” for details on expectations related to this question.)

2. The PFG model places an emphasis on evidence-based decision making and fact-based monitoring. Is quantitative and objectively verifiable information being used to manage JCAP implementation in order to achieve and measure results?

(See Section III.a “Evaluation Purpose” for details on expectations related to this question.)

3. At the mid-term, are the performances of the selected PFG interventions on target and creating the necessary outputs to achieve the desired outcomes?

The Philippines

1. The constraints analysis does not identify remedies to address the binding constraints to growth. For each of the constraints, are the goal-level commitments set forth in the JCAP alone capable of achieving the constraints-level objectives and outcomes?

(See Section III.a “Evaluation Purpose” for details on expectations related to this question.)

2. The PFG model places an emphasis on evidence-based decision making and fact-based monitoring. Is quantitative and objectively verifiable information being used to manage JCAP implementation in order to achieve and measure results?

(See Section III.a “Evaluation Purpose” for details on expectations related to this question.)

²⁹ PFG calls upon the US Government (USG) and partner countries to be more comprehensive and creative in our development work – to reach beyond aid to all the instruments that both governments can bring to bear to connect and amplify the impact of current investments and unlock growth potential. USG commitments under PFG are comprised of both assistance and non-assistance tools that, undertaken in close coordination with partner countries, will maximize our impact and success. In addition to those actions already identified by the interagency and partner countries, additional non-assistance activities should be considered over the life of PFG for a sustained and focused effort.

Non-assistance options provide a venue for demonstrating United States support to partner countries and the Partnership for Growth. Options are intended to fully leverage the United States’ unique convening authority, NGOs, professional organizations and academic institutions, donor groups, regional banks, and diaspora communities, and policy options for development results.

3. At the mid-term, are the performances of the selected PFG interventions on target and creating the necessary outputs to achieve the desired outcomes?

IV.b Evaluation Design

The evaluation will be a performance evaluation, but should highlight the results of any impact or other rigorous analyses done separately on PFG goals or lines of action (LOAs) at the country level. A performance evaluation should include descriptive questions. The mid-term evaluation will include but not be limited to semi-structured interviews, focus groups of stakeholders, and documentation reviews. Where feasible and appropriate, efforts should be made to incorporate quantitative data collection or analysis to measure program performance. The evaluator is expected to incorporate input from a reasonable range of civil society and the private sector. Offerors are encouraged to propose cost effective approaches to the evaluation.

Additionally, for addressing country-specific questions, the contract may propose various methodologies to create a representative sample of the larger effort (for example, selecting to analyze only certain LOAs or goals, based on the level of foreign assistance investment they're receiving) to ensure the scope of the evaluation is manageable and cost-effective while retaining its ability to provide a general assessment of the PFG effort and provide actionable recommendations for the Steering Committees, partner governments and US interagency going forward. At a minimum, at least two goals (one per constraint) that are amenable to an in-depth second-tier review will be selected for this purpose.

Cost-benefit and cost-effectiveness analysis will not be utilized in the mid-term evaluations.

IV.c Evaluation Points of Contact

The COR for this evaluation will be the primary POC for the cross-cutting and both country-specific evaluations. The COR will be located in Washington. He or she will have responsibility for representing the evaluation and its progress to the larger USG PFG group.

Each country will establish a POC team, consisting of one USG POC in Washington, one USG POC in the field, and one national government POC. The POC teams for each country will be responsible for communications with the COR.

The USG-POC in Washington DC will help the evaluation teams liaise with all relevant stakeholders within the US inter-agency community at headquarters. The USG-POC based in the partner country, either within the U.S. Embassy or in another U.S. Agency there, will help the evaluation team reach all relevant USG stakeholders in country. The national government POC will help the evaluation team reach all relevant stakeholders within the country.

IV.d Planning for Data Collection

Within the first 6 months of PFG implementation, a USG Goal Lead was named in El Salvador for each of the twenty goals. Goal leads are responsible for coordinating and consolidating line of action monitoring information that feeds into the semi-annual PFG scorecard. In general, the technical focus of each Goal determines which US Agency will be selected to act as Goal Lead and shepherd information collection among all USG agencies with lines of action under that goal. Goal Leads have been named from the Department of State, USAID, Treasury, Department of Commerce, Department of Justice, and MCC.

Likewise, the GOES has named Goal Leads on their side to consolidate information on GOES progress related to their corresponding lines of action and to coordinate with the corresponding USG Goal Leads.

Finally, several US agencies that do not have permanent representation in the country are implementing lines of action under PFG in El Salvador. The US Labor Department and Inter-American Foundation are two examples. Twenty 'mirror' Washington USG Goal Leads have been named to assist with the consolidation of information and field queries from Post that need input or guidance from Washington, including progress reports from the non-presence agencies.

For the Philippines, the GPH and the USG have stood up a Steering Committee within the first six months of JCAP approval to set the policy directions on the areas for PFG support, approve the general plans of action of the PFG Technical Sub-Committees on Regulatory Quality, Rule of Law and Anti-Corruption, and Fiscal Space, and oversee overall progress, among other functions. The three sub-committees provide advisory technical support to implement program goals and objectives and coordinate with implementing agencies involved in program activities. These sub-committees also assess/conduct analysis of sector performance and overall performance of programs and how these contribute to PFG goals; review overall PFG progress for reporting to the Steering Committee; and conduct periodic technical discussions and exchange views on sector issues affecting progress.

One week of field work in Washington DC is estimated in the present scope of work so the evaluation team can meet with the USG Washington-based Goal Leads and other Washington-based PFG stakeholders. The field work in Washington DC should take place before the field work in country.

In addition to the monitoring data on program activities normally collected by U.S. government and national government agencies during the course of implementation, PFG's emphasis on shared responsibility with the national government and public transparency has resulted in an additional layer of periodic monitoring data that will be available to the evaluation team, such as the scorecards (see description above) and other host country data systems.

The three evaluation POCs identified in section IV.c will provide the evaluation team with access to all existing PFG program monitoring data. The format, frequency and type of monitoring data collected by the GOES and GPH may be significantly different from the formats and types used by the U.S. government.

The evaluation team will process the information and identify information gaps and data quality concerns in an inception report, to guide additional data collection required as part of the evaluation.

Once the gaps in monitoring information are identified, the evaluation team will fill out the "Pre-Field Visit Data Needs and Analytical Guide" below and discuss the recommended approach with the COR to negotiate a final guide to be used once the team is in country.

Template 1: Pre-Field Visit Data Needs and Analytical Guide
Cross-Cutting Questions

Evaluation Questions	Type of Answer Needed (e.g. descriptive, normative, cause-effect)	Data Collection Method(s)	Gender Disaggregation of Data, where Possible	Sampling Selection Criteria	Data Analysis Method(s)
1. What are the advantages and/or disadvantages of the PFG whole-of-government approach to development assistance?					
2. To what extent has Partnership for Growth affected the workload on national government and U.S. government staff, as compared to the workload created by traditional forms of development assistance delivery?					
3. What contribution has non-assistance made to the PFG process and how can it be utilized moving forward?					

Template 2: El Salvador Country-Specific Questions

Evaluation Questions	Type of Answer Needed (e.g. descriptive, normative, cause-effect)	Data Collection Method(s)	Gender Disaggregation of Data, where Possible	Sampling Selection Criteria	Data Analysis Method(s)
1. The constraints analysis does not identify remedies to address the binding constraints to growth. For each of the					

constraints, are the goal-level commitments set forth in the JCAP alone capable of achieving the constraints-level objectives and outcomes?					
2. The PFG model places an emphasis on evidence-based decision making and fact-based monitoring. Is quantitative and objectively verifiable information being used to manage JCAP implementation in order to achieve and measure results?					
3. At the mid-term, are the performances of the selected PFG interventions on target and creating the necessary outputs to achieve the desired outcomes?					

Template 3: The Philippines Country-Specific Questions

Evaluation Questions	Type of Answer Needed (e.g. descriptive, normative, cause-effect)	Data Collection Method(s)	Gender Disaggregation of Data, where Possible	Sampling or Selection Criteria	Data Analysis Method(s)
1. The constraints analysis does not identify remedies to address the binding constraints to growth. For each of the constraints, are the goal-level commitments set forth in the JCAP alone capable of achieving the constraints-level objectives and outcomes?					

2. The PFG model places an emphasis on evidence-based decision making and fact-based monitoring. Is quantitative and objectively verifiable information being used to manage JCAP implementation in order to achieve and measure results?					
3. At the mid-term, are the performances of the selected PFG interventions on target and creating the necessary outputs to achieve the desired outcomes?					

V. EVALUATION PRODUCTS

The set of evaluation milestones/products required are detailed below:

1. [Written Document] **Work Plan** –

Due to the COR within the first 5 business days after start of the evaluation.

The work plan will detail the Evaluation Team’s schedule in weekly blocks of time for the various tasks and deliverables, including desk review, inception report development, evaluation design, interviews (in the U.S., El Salvador, and the Philippines), data collection, data analysis and preparation of initial evaluation results, report writing, briefings and presentations.

2. [Written Document] **Inception Report and Preliminary Evaluability Assessment**–

Due to the COR within 3 weeks after the start of the evaluation.

The **inception report** (see section IV.d) is a desk review of all existing documentation and monitoring data relevant to the specific PFG evaluation in question. The PFG evaluation places added emphasis on the inception report to ensure that all available monitoring and program data has been received, read and analyzed by the evaluation team prior to approval of field work.

A useful template and guide for the inception report is provided by the UNODC at http://www.unodc.org/documents/evaluation/IEUwebsite/Chapter_4_C.pdf. The current scope adopts the UNDP’s definition of an inception report:

“Evaluation inception report—An inception report should be prepared by the evaluators before going into the full-fledged evaluation exercise. It should detail the evaluators’ understanding of what is being evaluated and why, showing how each evaluation question will be answered by way

of: proposed methods; proposed sources of data; and data collection procedures. The inception report should include a proposed schedule of tasks, activities and deliverables, designating a team member with the lead responsibility for each task or product. The inception report provides the programme unit and the evaluators with an opportunity to verify that they share the same understanding about the evaluation and clarify any misunderstanding at the outset.” (source: <http://web.undp.org/evaluation/handbook/Annex3.html>)

The preliminary **evaluability assessment** should use the available program information to assess the ability of the JCAP projects to demonstrate in measurable terms the results they intend to deliver (See section III.a “Evaluation Purpose” for details regarding the expectations and scope of the preliminary evaluability assessment.) The contractor should propose a methodology for sampling LOA for review in order to ensure that the scope of the evaluation and field work is manageable and cost-effective while retaining its ability to provide a general assessment of the PFG effort and provide actionable recommendations for the Steering Committees, partner governments and US interagency going forward, and will take into account Post and host country recommendations

3. Updated Methodology and Evaluation Plan.

Once a final sampling strategy has been decided, the detailed evaluation methodology should be updated based on the preliminary review of all available JCAP and PFG data. The updated methodology should include a Pre-Field Visit Data Needs and Analytical Guide Report, which includes information on data gaps, sampling strategy, pre-tested interview questionnaires and data collection timeline.

See section IV.d for the basic template, which can be adapted to country-specific needs with COR agreement.

4. End of Field Visit Debrief

Debrief to national and U.S. governments in El Salvador and the Philippines, including Washington, DC PFG staff via teleconference.

This will be delivered prior to departing the country while there to conduct the field visit. This presentation will update the team on the status of evaluation progress, identify any outstanding data or information, and describe any preliminary evaluation findings to date.

5. Draft Evaluation Reports (*See Deliverable Six for types and quantities of reports*)

Draft reports will be provided for all final reports outlined in deliverable seven.

Draft reports “a” and “b,” as described in deliverable six, are due to the COR within four weeks after the end of the field visit.

Draft report “c” is due two weeks after the presentation (deliverable seven) of report “b.”

The evaluating findings shall be treated as an independent assessment and opinion of the contractor. USAID, GOP and GOES stakeholders will review the draft evaluation report with the expressed and sole objective of reviewing the factual accuracy of any information contained therein and to indicate areas where further clarification are warranted. The contractor should address these concerns prior to submitting a final report.

The evaluation reports should include but may not be limited to the following elements:

1. Executive Summary
2. Objectives of the evaluation, including evaluation questions
3. Methodology used and limitations of study
4. Results of analysis, assessment of performance against evaluation questions, and to what extent results can be attributed to the actual interventions
5. Key lessons learned, recommendations, and course corrections for PFG implementation.

6. Final Mid-Term Evaluation Reports

The contractor will provide three Mid-Term Evaluation Reports:

- a. A mid-term evaluation report covering the country-specific and cross-cutting findings, lessons learned, recommendations, and course corrections for PFG implementation in El Salvador;
- b. A mid-term evaluation report covering the country-specific and cross-cutting findings, lessons learned, recommendations, and course corrections for implementation in the Philippines;
- c. And, a report that compares and contrasts the findings, conclusions and recommendations from the cross-cutting questions in El Salvador and the Philippines, to identify commonalities in the PFG process regardless of the location of its implementation.

Report “c,” in the list above will be issued after the completion of both the El Salvador and the Philippines fieldwork.

Reports will be due to the COR within 1 week of receiving COR written feedback on the draft evaluation report (see schedule below for total estimated time line). Reports must adhere to the evaluation report requirements outlined USAID’s ADS chapter 203.3.1.8.

The evaluator will provide a Spanish translation of the executive summary for report a. in the list above as well as submit a final report in Spanish.

7. Evaluation Report Presentations:

- d. Due within 1 week after the delivery of the accepted final report “a” under deliverable six, the proposer will deliver an in-person presentation in Washington, DC, to Washington-based USG PFG staff and to national and U.S. government personnel in El Salvador, who will participate via video or teleconference.
- e. Due within 1 week after the delivery of the accepted final report “b” under deliverable six, the proposer will deliver an in-person presentation in Washington, DC, to Washington-based USG PFG staff and to national and U.S. government personnel in the Philippines, who will participate via video or teleconference.

VI. TEAM COMPOSITION

For the life of the contract, the team will contain two permanent staff members, the Evaluation Team Leader and the Data Methods Specialist. For each country, two additional evaluation specialists with sector-specific experience will be added for those portions of the contract. For example, the El Salvador evaluation will require an evaluation specialist with experience in citizen security and an evaluation

specialist who has a background in economic development and trade. The Philippines will require an evaluation specialist with a background in economic development, trade and public finance, and another with a background in rule of law and anti-corruption.

The Offeror is encouraged to consider the inclusion of country nationals or regional country nationals to the evaluation team. In addition to their core technical specialties, country nationals are instrumental in ground-truthing information analyzed during the evaluation and helping the rest of the team see the larger picture and put things in perspective.

The Offeror must verify the availability of any personnel working on the evaluation for more than 60 days. Please include letters of availability for all applicable personnel when submitting the proposal. Submissions not including letters of availability will not be considered for the award.

The permanent staff members, as well as the specialists required for the El Salvador portion of the contract, must be able to communicate in Spanish—allowing them to analyze documents in Spanish and to conduct interviews and hold conversations in Spanish.

Evaluation Team Leader

- a) An advanced degree in Economics, Business Administration, Statistics, Economic Development, or a related field;
- b) At least 15 years professional experience in evaluation, including in overseas settings;
- c) Experience managing teams and working with USG and international governments;
- d) Proven ability to design and implement quantitative and qualitative research instruments and methodologies;
- e) Ability to communicate in Spanish and English.

Data Methods Specialist:

- a) An advanced degree in social science, statistics or mathematics;
- b) At least 7 years technical experience with qualitative and quantitative study design, questionnaire development, data collection, quality control, coding and analysis;
- c) Ability to design, manage, and implement qualitative and quantitative field-based data collection for evaluations;
- d) Proven competency in the use of data management software for evaluation;
- e) Ability to communicate in Spanish and English.

The following are suggested specialists required for each country:

El Salvador

Citizen Security Evaluation Specialist

- a) An advanced degree in Economics, Business Administration, Statistics, Economic Development, Law, Criminology or a related field;
- b) At least 7 years professional experience in evaluation, including in overseas settings;
- c) At least 5 years of experience in the fields of promoting citizen security, protecting at-risk youth, and/or crime reduction;
- d) Proven ability to implement quantitative and qualitative evaluation instruments and methodologies;
- e) Ability to communicate in Spanish.

Productivity and Tradables Evaluation Specialist

- a) An advanced degree in Economics, Business Administration, Statistics, Economic Development, or a related field;
- b) At least 7 years professional experience in evaluation, including in overseas settings;
- c) At least 5 years of experience in the fields of economic development, trade, and/or business development;
- d) Proven ability to implement quantitative and qualitative evaluation instruments and methodologies;
- e) Ability to communicate in Spanish.

The Philippines**Productivity, Tradables and Public Finance Evaluation Specialist**

- a) An advanced degree in Economics, Business Administration, Statistics, Economic Development, or a related field;
- b) At least 7 years professional experience in evaluation, including in overseas settings;
- c) At least 7 years of experience in the fields of economic development, trade, and public finance;
- d) Proven ability to implement quantitative and qualitative evaluation instruments and methodologies;

Rule of Law and Anti-Corruption Evaluation Specialist

- a) A law degree plus an advanced degree in economics, business administration or public policy
- b) At least 7 years professional experience in evaluation, including in overseas settings;
- c) At least 7 years of prior technical experience with a focus on rule of law, anti-corruption enforcement and corruption prevention
- e) Proven ability to implement quantitative and qualitative evaluation instruments and methodologies;

VII. EVALUATION MANAGEMENT**A) Logistics**

The various POCs listed above will provide logistical support in terms of providing the team with the necessary U.S. and host-country contacts, contact information and required background information. Other logistics required for the execution of the evaluations will be the responsibility of the contractor. See section IV.d for additional information.

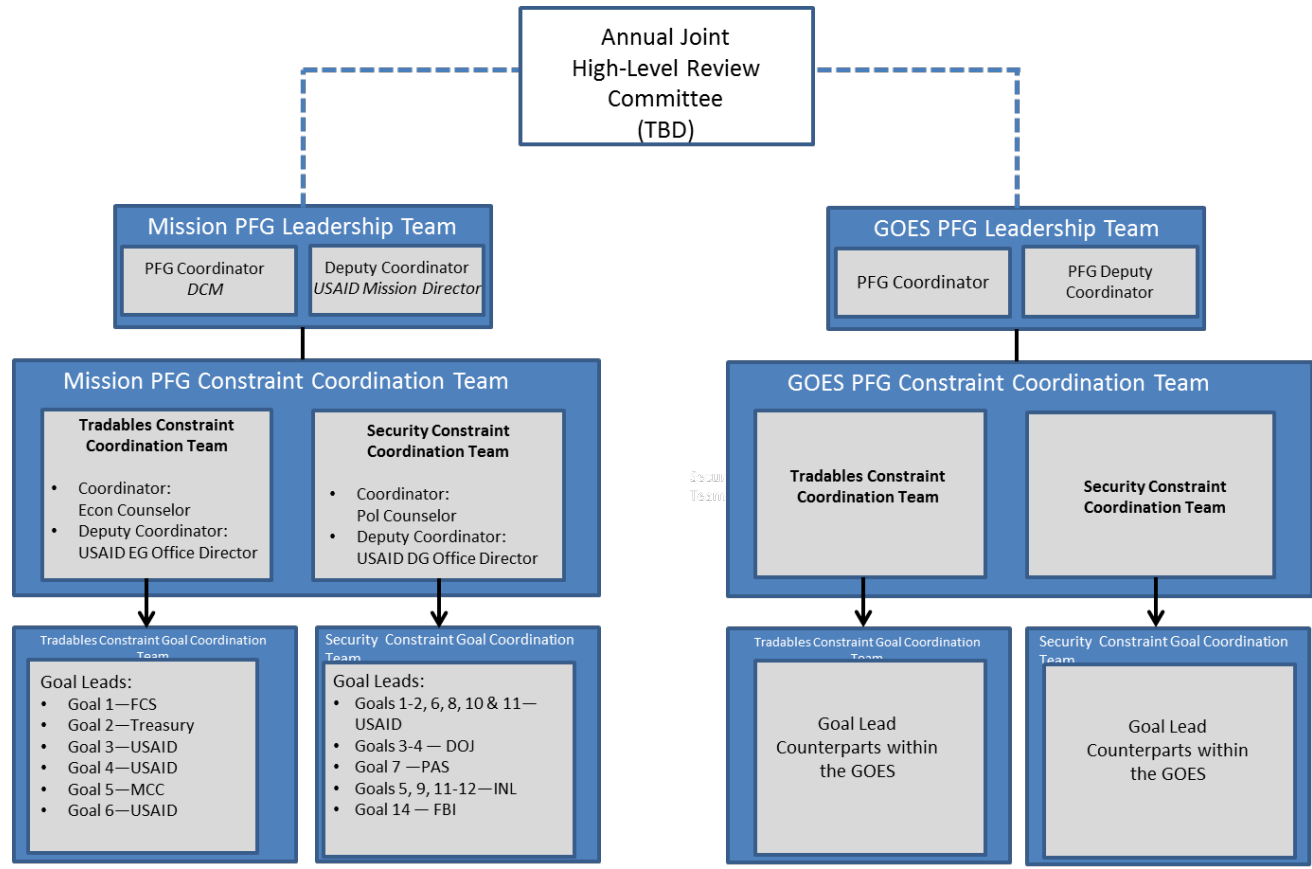
B) Scheduling

The contract is expected to begin in September 2013 and run until July 2014. The El Salvador portion of the evaluation will precede the Philippines portion, while the cross-cutting elements will spread across both. The El Salvador field work must take place prior to January 1, 2014. An evaluation schedule follows:

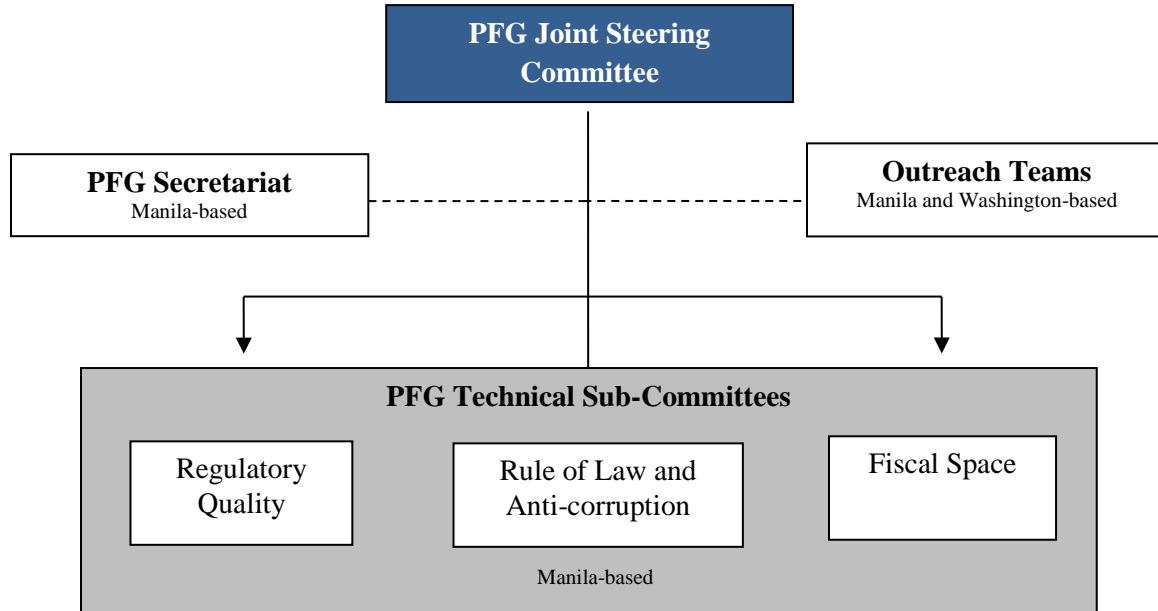
Annex II: El Salvador and the Philippines' PFG Initiatives

Organizational Charts

El Salvador



Philippines



PFG Steering Committee:

GPH: DOF, DBM, NEDA, DTI, DOJ, DFA

USG: USAID, MCC, EMB/ECON, USDOJ

Annex III: Reference List

Document Type	Title of Documentation
Background information on PFG	PFG Presentation for All Partners Meeting
	Toward a New Paradigm of Sustainable Development: Lessons from the Partnership for Growth
	Remarks by President Obama and President Funes in Joint Press Conference on 03/22/2011
	Partnership for Growth: A New Model for USG Engagement on Development – Center for Global Development Panel Discussion – 03/28/2012
	Center for Global Development Panel on Partnership for Growth: A New Model of USG Engagement on Development
	Boletines APC 4,5,7
	Fact Sheet: MCC's Use of Constraints Analysis
PFG Design Documentation	Partnership for Growth: El Salvador Constraints Analysis Report
	Partnership for Growth: Philippines Constraints Analysis Report
	Partnership for Growth: El Salvador Joint Country Action Plan
	Partnership for Growth: Philippines Joint Country Action Plan
Background information on Whole of Government Approach	Whole of Government Approach to Fragile States – OECD
	Growth Diagnostics, Hausmann, Rodrik, Velasco
Background Information on USG Development Policy	Fact Sheet: U.S. Global Development Policy
	The White House Embraces Smart Power: Now What? – The Heritage Foundation
General PFG Communication Strategy	PFG Communications Strategy Presentation
	Mission Activity Tracker Reports
Performance Measurement Plans for PFG Implementation	Amplified Monitoring and Evaluation Plan
Performance Measurement Plans for Pre-PFG	In Pursuit for Inclusive Growth http://www.neda.gov.ph/?page_id=1684
	Philippine Development Plan (PDP)
	Mid-Term Update of Philippine Development Plan and Revalidated Results Matrices http://plans.neda.gov.ph/pdp/