



REPUBLIC OF THE PHILIPPINES  
NATIONAL ECONOMIC AND DEVELOPMENT AUTHORITY

# The National Evaluation Policy Framework Principles in Practice

## NEDA Experiences in Commissioning and Managing Evaluation Studies

**VIOLETA S. CORPUS, CESO III**

Director IV, Monitoring and Evaluation Staff  
28 April 2021 | M&E Webinar Series Session 3





# Presentation Outline

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The National Evaluation Policy Framework (NEPF) Principles

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NEDA Practice through the M&E Fund

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Insights, Challenges, and Lessons



NATIONAL ECONOMIC AND DEVELOPMENT AUTHORITY

# THE NATIONAL EVALUATION POLICY FRAMEWORK PRINCIPLES

In line with government's continuing efforts to improve on all the components of the public sector management cycle, NEDA and DBM developed a national evaluation policy framework for the purposive conduct of evaluations in the public sector in support of good governance, transparency, accountability, and evidence-based decision-making.





- Support evidence-based decision making



- Enable continuous program improvement



- Ensure transparency and accountability to the public

## INTRODUCTION

- 1.1 What is an evaluation?
- 1.2 Why evaluate?
- 1.3 Evaluation in the context of government's drive towards results
- 1.4 Evaluation, development planning, and investment programming
- 1.5 Evaluation and the budget cycle
- 1.6 Evaluation principles, norms, and standards
- 1.7 Applicability of guidelines
- 1.8 Overview of the evaluation process

## INSTITUTIONAL RESPONSIBILITIES

- 2.1 Implementing Agencies
- 2.2 Evaluation Task Force and Secretariat

## INITIATING AN EVALUATION

- 3.1 Developing an agency evaluation agenda
- 3.2. Developing an evaluation plan
- 3.3 Assessing evaluability
- 3.4 Evaluations vs. internal assessments
- 3.5 Stakeholder engagement

## PREPARING AN EVALUATION

- 4.1 Program objectives and intended outcomes
- 4.2 Evaluation objectives
- 4.3 Evaluation methods
- 4.4 Risk identification and assessment
- 4.5 Financial and human resource requirements

## IMPLEMENTING EVALUATIONS

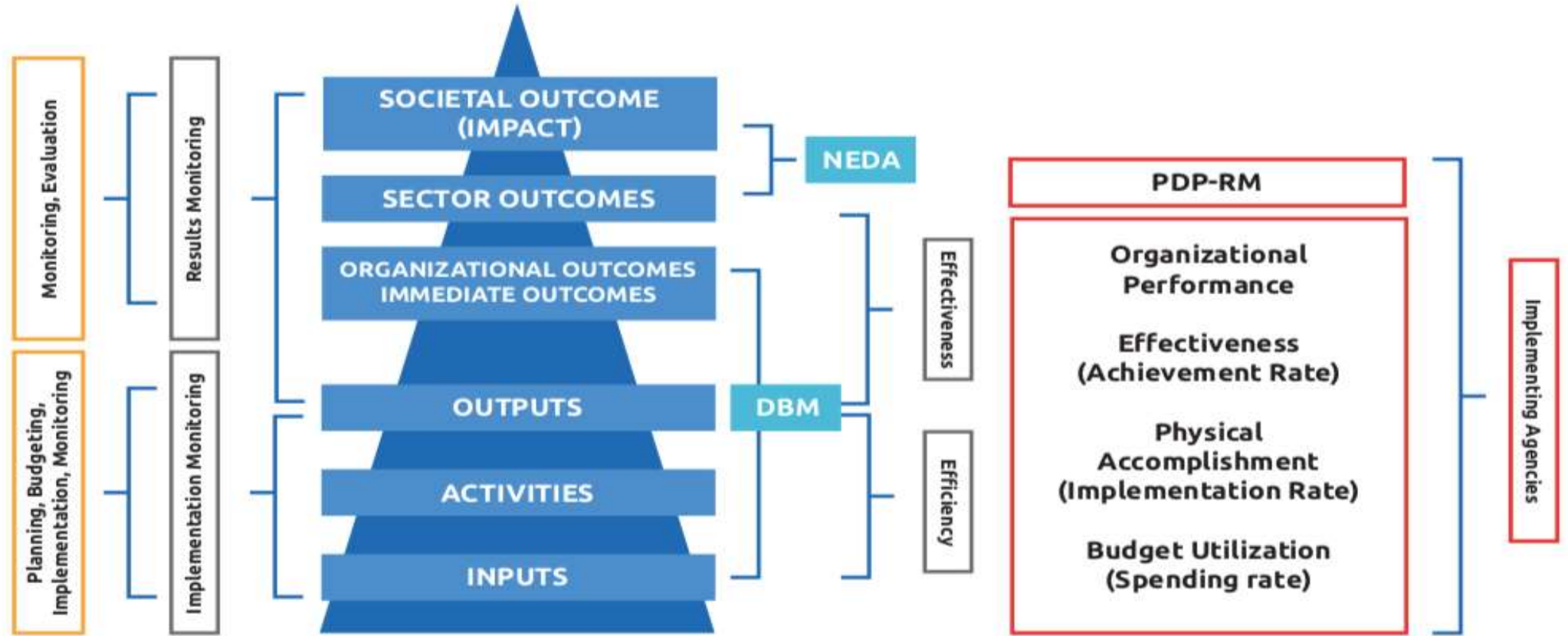
- 5.1 Evaluation governance arrangements
- 5.2 Managing risks
- 5.3 Ethical behavior
- 5.4 Evaluation reporting

## UTILIZING EVALUATIONS

- 6.1 Management response
- 6.2 Communication and dissemination
- 6.3 Planning for the next evaluation

## QUALITY ASSURANCE

- TOR
- Inception Report
- Evaluation Structure, Methodology, and Data Sources
- Findings, Conclusions and Recommendations



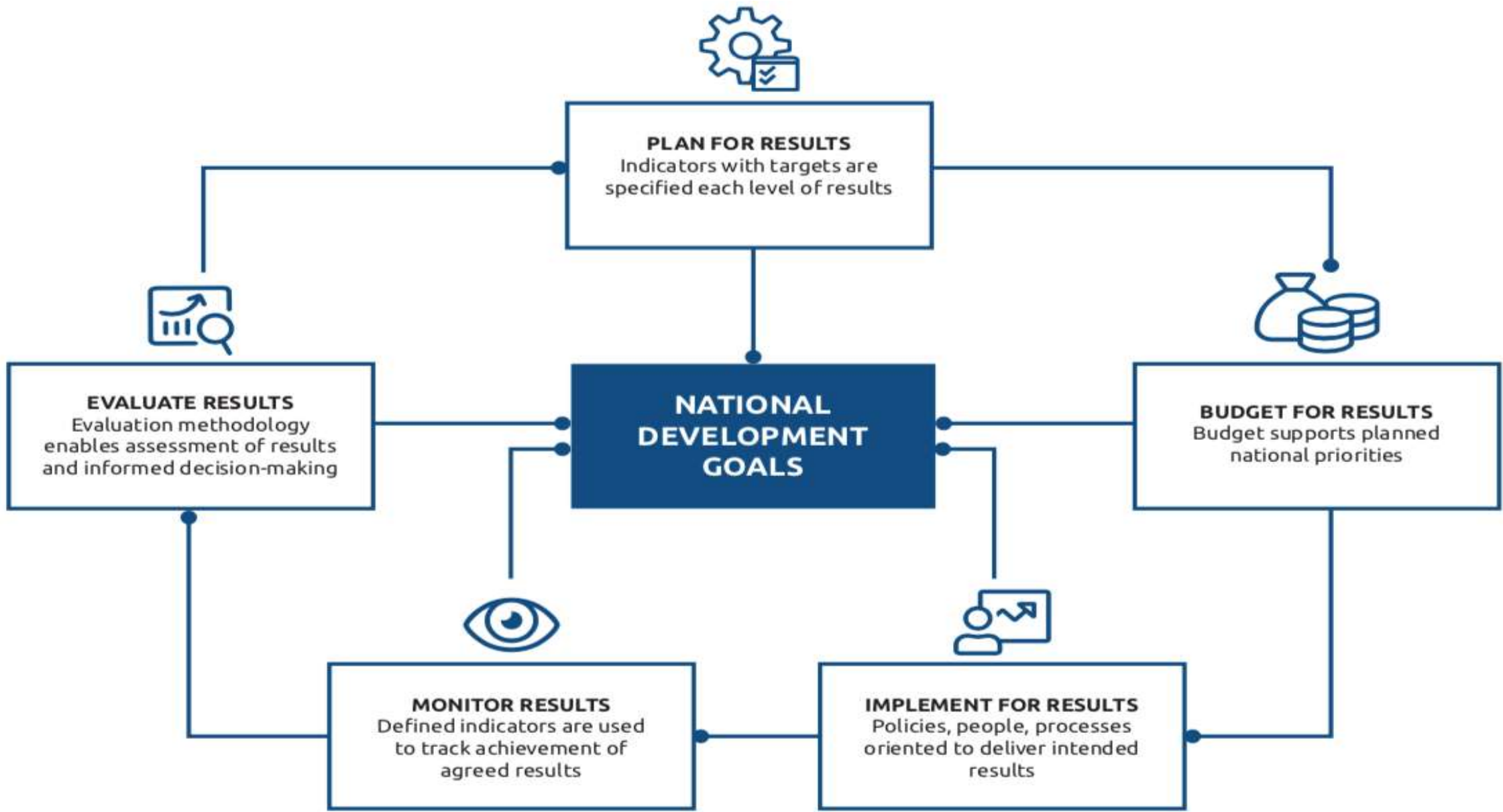
□ Components of the Public sector Management Cycle

□ Types of Monitoring

■ Theory of Change/ Logical Framework

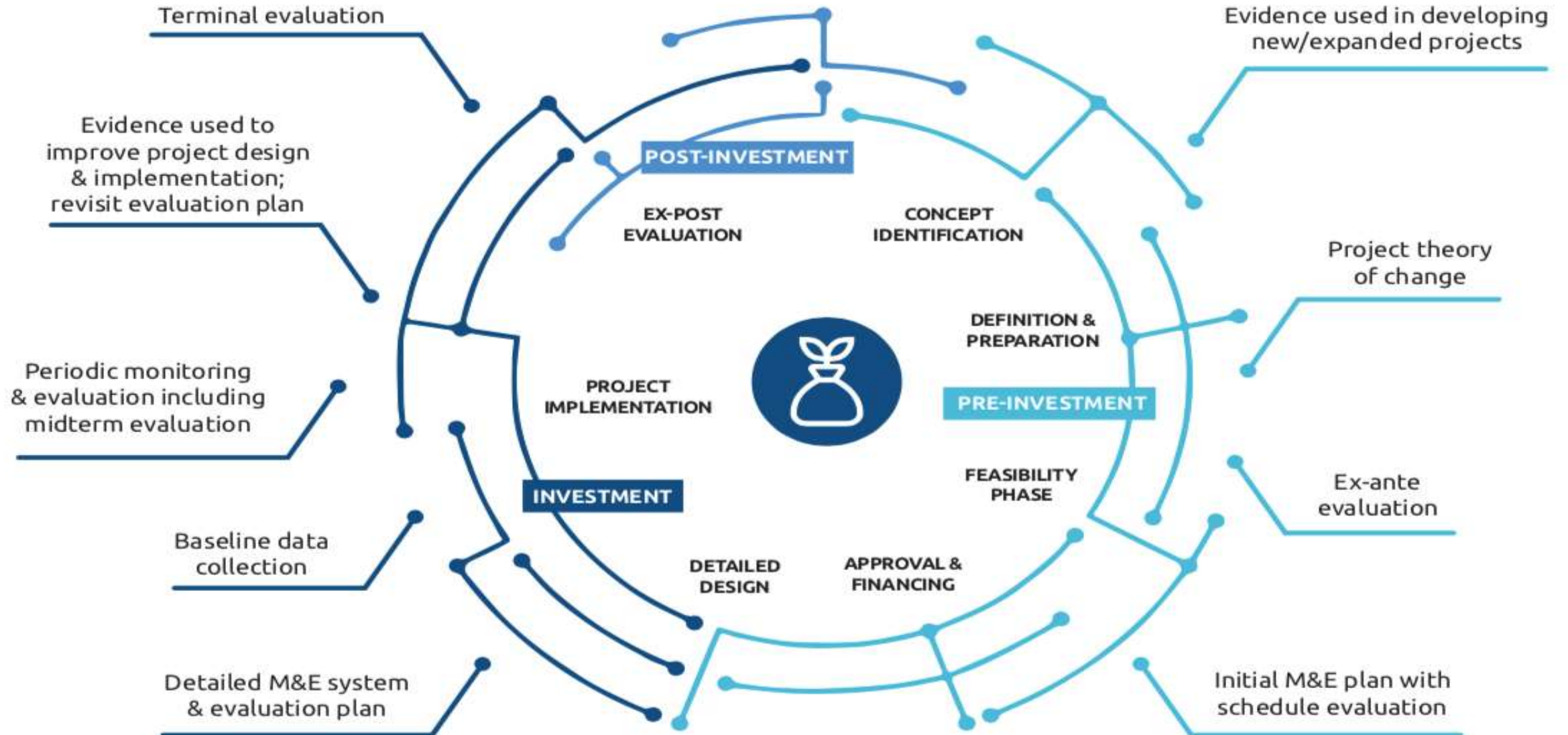
■ Delineation Oversight Functions

□ Performance Measures

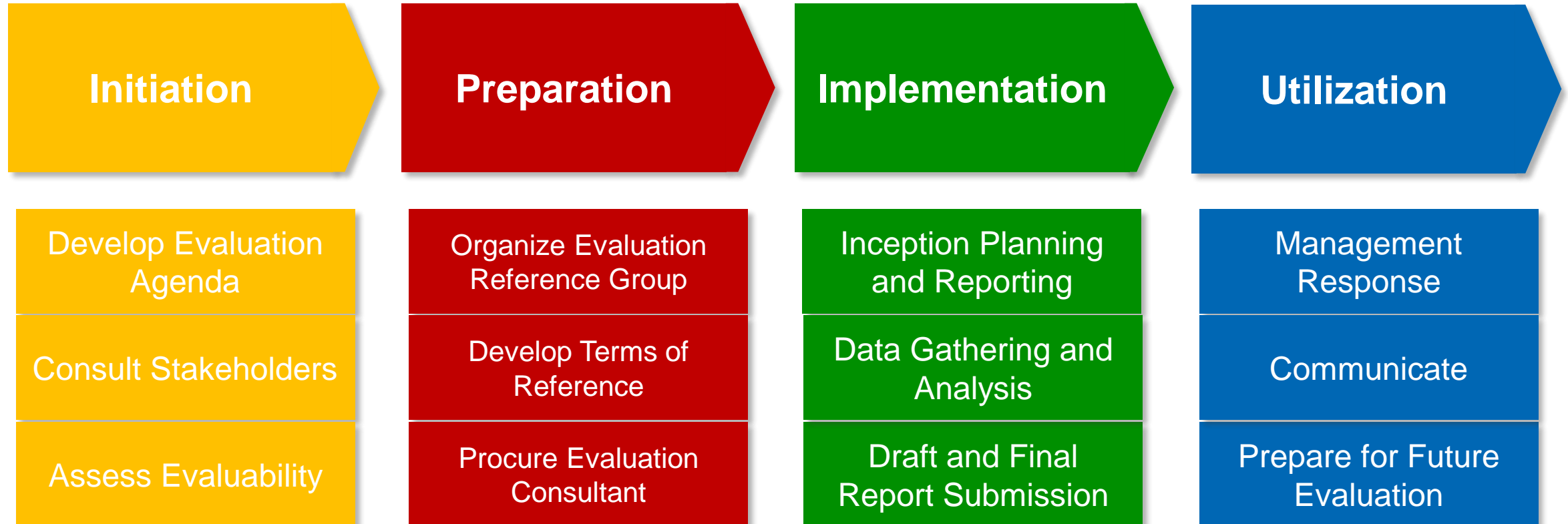




# HOW EVALUATION FIGURES IN PROJECT DEVELOPMENT AND IMPLEMENTATION



# THE EVALUATION PHASES



## Evaluation Oversight

- Sets the agency's evaluation agenda, including its evaluation budget, to ensure that the prioritized studies are relevant to the needs and priorities of the agency

## Evaluation Commissioner

- Serves as Co-Chair of the Evaluation Reference Group (ERG), together with the Evaluation Manager
- Identifies the evaluation objectives and key questions
- Provides the evaluation manager and the evaluators with access to data and key informants
- Participates in the review of key evaluation products
- Ensures that the output of the evaluation is utilized in program or project improvement

## Evaluation Manager

- Serves as Co-Chair of the ERG, together with the Evaluation Commissioner
- Performs procurement and contract management responsibilities
- Provides coordination support to evaluation stakeholders
- Provides inputs to quality assurance process
- Ensures utilization of evaluation products (MR and comms)

## Evaluation Reference Group

- Reviews and comments on pertinent evaluation documents (i.e., TOR, inception report, and draft report)
- Provides data and acts as key informants

## Evaluation Team

- A firm or individual that undertakes the evaluation in line with the public sector evaluation norms and standards and ethical guidelines, and according to the TOR

## Peer Reviewers

- Provides an independent and anonymous review of the quality of the evaluation report particularly in terms of the quality of the application of methodology, correctness of the findings, usefulness of the recommendations, and other aspects

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PDP Outcome

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Program/Project to be Evaluated

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Program/Project Implementation Unit

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Key Research Questions

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Type of Evaluation (Function and Method)

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Indicative Timeline

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Estimated Cost

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Source of Funding for Research

## Results Framework

1. Is the Results Framework and/or Theory of Change clearly defined?
2. Are the indicators clearly stated in the results framework?

## Key Evaluation Stakeholders

3. Is the planned evaluation relevant and useful to key stakeholders?
4. Are the stakeholders committed to support the evaluation?

## Key evaluation questions

5. Are the evaluation questions feasible given the: (1) project design, (2) data availability, and (3) resources available?
6. Are the evaluation questions of interest to key stakeholders?

## Data

7. Is there sufficient data collected to answer the evaluation questions? Was such data collected at baseline and consistently collected at various intervals?
8. Is there sufficient data disaggregation (e.g. age, sex, disability, ethnicity, migratory status, and geographic location where relevant)?
9. If data, particularly baseline data, is not available, are there plans and/or means available to collect and disaggregate the data?

## Risk Identification and Analysis

10. Will physical, political, social, economic, and organizational factors allow for an effective conduct and use of evaluation as envisaged?

## Evaluation Timeline

11. Is there sufficient time for the evaluation?

## Indicative Resource Requirements

12. Are there available service providers?
13. Are there sufficient human resources?
14. Are there sufficient financial resources?

# TERMS OF REFERENCE



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Background of Program/Project

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Evaluation Objectives and Questions

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Scope of Services and Methodology

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Deliverables and Schedule of Expected Outputs

---

Governance and Accountability

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Professional Qualifications of the Successful Contractor and its Key Personnel

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Scope of Price Proposal and Schedule of Payments

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Criteria for Shortlisting and for Evaluation of Bids



RELEVANCE



COHERENCE



EFFECTIVENESS



EFFICICENCY



SUSTAINABILITY

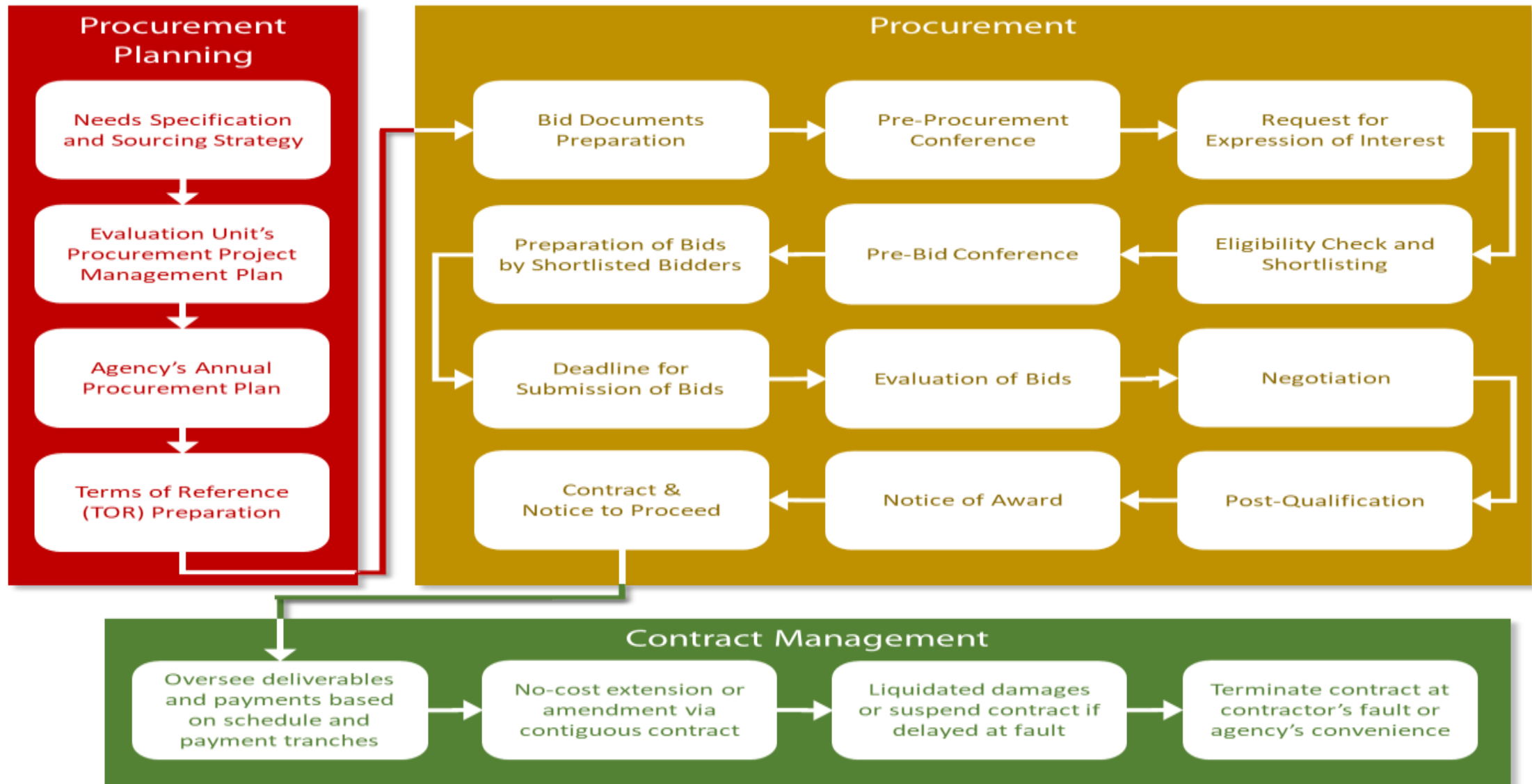


IMPACT



OTHER CRITERIA





## WHAT WE NEED TO REVIEW?

Inception  
Report

Mid-term  
Report

Draft Final  
Report

Final Report

Progress  
Reports

Financial  
Reports

Reports to  
DBM and  
COA

Evaluation Component	Quality Assurance Considerations
Terms of Reference	<ul style="list-style-type: none"><li>• Did the TOR appropriately and clearly outline the purpose, objectives, scope, and key questions for the evaluation?</li><li>• Have roles and responsibilities been adequately defined?</li></ul>
Evaluation structure, methodology, and data sources	<ul style="list-style-type: none"><li>• Is the evaluation structured well?</li><li>• Are the objectives, limitations, criteria and methodology fully described and appropriate?</li></ul>
Findings, conclusions, and recommendations	<ul style="list-style-type: none"><li>• Are findings appropriate and based on the evaluation criteria? Do they directly respond to evaluation questions?</li><li>• Do the conclusions draw from evidence presented in the evaluation and do they present logical judgments based on findings?</li><li>• Are the recommendations relevant to the subject and purposes of the evaluation, are they supported by evaluation evidence? Are the recommendations actionable?</li></ul>

# MANAGEMENT RESPONSE



## Management response and implementation plan

Program/Project Title:

Implementing Agency:

Completion Date of Evaluation:

Date of Issuance of Management Response:

Contributors:

Cleared by:

Context/background:

Key findings:

### Evaluation Recommendation 1:

**Management Response:** Choose an item (accepted, partially accepted, rejected)

If you selected "PARTIALLY ACCEPTED" OR "REJECTED", please provide an explanation.

Key committed action(s) / activity(ies) to implement to address the recommendation	Due date of implementation (specify target month, year)	Unit(s) Responsible (indicate their roles in implementation)	Tracking	
			Status (i.e., not started; ongoing; delayed; completed)	Remarks (e.g., issues encountered in implementing the action points)
1.1				
1.2				
1.3				

# COMMUNICATING RESULTS



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Evaluating ARTA 2007 Implementation:  
A Closer Look at the **HEART** of Frontline Services

### Overview: The whys of evaluating ARTA

Every day, millions of Filipinos throughout the country are in contact with frontline services provided by the government.

The National Economic and Development Authority (NEDA) commissioned a study on how frontline services are implemented and how they can be improved for better service delivery and customer satisfaction.

### Methods

Continuing qualitative analysis of 2012-2014 survey data, and focus group discussions, the researchers created a picture of ARTA's effect on the delivery of frontline services.

### Findings

There is evidence that ARTA (2007) implementation has made frontline services more people- and customer-oriented. Key findings include:

- Streamlining instructions and ensuring staff's questions are answered.
- Ensuring frontlines are well-managed even in high-traffic areas.
- Setting up a queue system with a "NO NOON BREAK POLICY".
- Using signage to improve the work of frontline staff.
- Empowering frontline workers' performance to regularly measure.
- Addressing staff's capacity and welfare needs of frontline service staff.
- Minimizing ticket queue and wait time to deal with customers' hot issues.

**In sum: as it transitions from ARTA to SODE, the government will benefit from improvements to some existing good practices in delivering frontline services.**

Citizens and businesses appreciate it when frontline service providers care about providing what their clients care for as fast as they can, and by all ways and means.

- Sen. Brenda Herrera

### Recommendations: Putting more HEART to frontline services

By making ARTA the standard for frontline services, the study recommends to make these services:

- HELPFUL:** Responders seek to clearly explain and understand customer's frontline workers' actions.
- EVIDENCE-BASED:** Frontlines that use strong and systematic data gathering and analysis processes.
- AGILE:** Responders seek to take decisions and actions based on real-time data and customer feedback.
- RELIABLE:** Frontlines implement and document service standards and SOPs that are consistent for all.
- TRANSPARENT:** Service staff systems are open and they disclose the status of their ongoing claim at times.

THROUGH ARTA, WE CAN PROVE: MAY **HEART** ANG FRONTLINE SERVICES! #SerbisongMayHeart

STRATEGIC M&E PROJECT WITH SUPPORT FROM UNDP

REPUBLIC OF THE PHILIPPINES  
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NATIONAL EVALUATION PORTAL

# National Evaluation Portal

All you need to know about evaluations at your fingertips

- Evaluations
- Guidelines
- Learning
- M&E Network

## Formative Evaluation on the Philippine Plan of Action for Nutrition

PPANAalo ang wastong nutrisyon

Visit: [nep.neda.gov.ph](http://nep.neda.gov.ph)

## PRACTICES OF OTHER COUNTRIES/PARTNERS IN COMMISSIONING AND MANAGING EVALUATIONS



Evaluation Phases	<u>Better Evaluation</u>	<u>WB IEG</u>	<u>UNDP</u>	<u>USAID</u>	<u>Austrian Dev't Coop</u>	<u>Switzerland SECO</u>	<u>EU Dev't Coop</u>
Develop Evaluation Agenda			X				X
Consult Stakeholders		X	X	X			
Assess Evaluability		X	X	X		X	
Craft Evaluation Plan	X	X	X	X	X	X	
Organize Evaluation Reference Group			X				
Develop Terms of Reference	X	X	X	X	X	X	
Procure Evaluation Consultant	X	X	X	X	X	X	
Inception Planning and Reporting	X	X	X	X	X	X	
Data Gathering and Analysis	X	X	X				
Draft and Final Report Submission	X	X	X		X	X	
Employ Quality Assurance	X	X	X	X	X	X	X
Management Response	X	X	X		X	X	X
Communicate	X	X	X			X	X
Prepare for Future Evaluation			X				



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# **NEDA PRACTICES THROUGH THE M&E FUND**

## Support NEDA Key Result Areas on the National Development Monitoring and Evaluation Program through the conduct of evaluation studies and capacity building activities

- Strengthen evaluation implementation and management capacities in NEDA and the implementing agencies
- Enhance capacities in government on engaging the public in monitoring and evaluation of priority programs and projects



## I. NEDA-led track

- NEDA-initiated evaluation activities (conduct and management of studies and capacity building activities)
- Procurement guided by GPRA & IRR / RA 9184, NEDA Central/Regional Office BACs
- NEDA-Monitoring and Evaluation Staff as Secretariat
- Approving body is the M&E Fund Steering Committee

## II. NEDA-UNDP Strategic M&E Project

- Partnership Agreement with UNDP
- M&E Fund transferred to UNDP to commission thematic evaluation studies, capacity building activities, advisory services, and M&E systems
- NEDA-Monitoring and Evaluation Staff as Evaluation Manager
- Procurement guided by the UNDP Procurement Policies and Procedures
- Approving body is the Strategic M&E Project Board (co-chaired by NEDA and UNDP)



# COMPLETED NEDA-COMMISSIONED STUDIES

**1** Impact Evaluation of the Diversified Farm Income and Farm Management Project/  
**NRO VI**

**2** Impact Evaluation of the Camiguin Coastal Resource Management Project/  
**NRO X**

**3** Impact Assessment of the National Shelter Program/  
**SDS**

**4** Impact Evaluation of the Rural Road Network Development Project/  
**MES**

**5** Impact Evaluation of the Light Rail Transit Line 2/  
**MES**

**6** Impact Evaluation of the Cervantes-Mankayan-Abatan Road Project/  
**NRO- CAR**

**7** Impact Evaluation of Marikina-Infanta Road/  
**NRO IV-A**

**8** Impact Evaluation Study of LISCOP Project in CALABARZON /  
**NRO IV-A**

**9** Impact Evaluation of the Agrarian Reform Infrastructure Support Project in Eastern Visayas (ARISP)/  
**NRO VIII**

**10** Impact Evaluation of the Agri-Pinoy Livestock Program in Samar/  
**NRO VIII**

**11** Impact Assessment of the Lower Agusan Development Project (Flood Control Component)/  
**NRO- Caraga**

**12** Impact Evaluation of the Batangas Port Phase II/  
**NRO IV-A**

**13** Impact Evaluation of Awang-Upi Lebak-Kalamansig Palimbang Sarangani Road/  
**NRO XII**

# ONGOING NEDA-COMMISSIONED STUDIES

**1** Ex-Post Evaluation of the Agrarian Reform Communities Project (ARCP) Phase II/ **MES**

**2** Ex-Post Evaluation of the Angat Water Utilization and Aqueduct Improvement Project (AWUAIP) Phase II/ **MES**

**3** Ex-Post Evaluation of the Agno River Integrated Irrigation Project (ARIIP) / **MES**

**4** Impact Evaluation of the Subic-Clark-Tarlac-Expressway (SCTEX) Project/ **NRO III**



Commissioning  
Evaluation Studies

Capacity  
Development

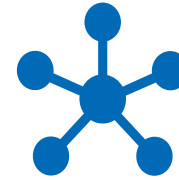
Advisory  
Services

Management  
Information Systems



## Commissioning Evaluations

- Roster of evaluators established
- 10 thematic evaluations commissioned
  - 3 completed studies (ARTA, PPAN, PAMANA)
  - 4 ongoing studies (ECCD, NCCAP, RRTS, MSME)
  - 3 pipeline studies (AWA, Distance Learning Modalities, Mandanas)



## Advisory Services

- NEPF guidelines formulated
- National Evaluation Portal developed
- M&E Forum held in 2018 and 2019
- Community of Practice revitalized
- Webinar Series conducted in 2021
- National Evaluation Agenda crafted



## Capacity Development

- 8 agencies supported to implement the NEPF guidelines through evaluability assessment and training
- NGOs engaged to conduct technical assistance
- Capacity Development Advisor hired
- Competency Framework for Public Sector M&E crafted



## Management Information Systems

- Programs and Projects Monitoring System developed
- Matching Algorithm between NEDA-DBM databases conducted



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# INSIGHTS, CHALLENGES, AND LESSONS

Evaluation capacities promoted through actual conduct and management of evaluations and participation to the capacity building activities



Quality of evaluation studies were improved through the creation of the Evaluation Reference Groups, Technical Working Groups, and Peer reviewers





Commissioning of studies and mounting of capacity building activities facilitated the identification of M&E champions in NGAs and Congress



Conduct of annual M&E Network Forum created venues for learning, knowledge sharing for sustained community of practice for M&E practitioners within and outside government



Crafting of the NEPF Guidelines provides guidance on the preparation, design, conduct, management, and utilization of evaluation studies, translating the NEPF into action



National Evaluation Portal developed for ease of access of evaluation findings and learning and development materials



Raised awareness and appreciation of the involved stakeholders to pursue their respective evaluations in the future



## M&E Fund activities supported NEDA's mandated evaluation function



# CHALLENGES ENCOUNTERED



## Initiation

- Identification of appropriate stakeholders to be involved
- Ascertaining evaluability of the evaluation topic
- Consultation process during evaluation planning

## Preparation

- Low capacity of end-users to design and manage evaluation studies
- Delays in procurement due to failed biddings, which is usually due to the thin market of evaluation consultants and training service providers
- Unavailability of baseline/data and reference documents which limited/changed the scope and adjusted evaluation design/methodologies
- Difficulty in securing commitment from stakeholders (Implementing Agencies and NEDA Sector Staffs) with regard to ownership of evaluation efforts
- Immediately following the pandemic, procurement of activities has slowed down and/or suspended and not being able to immediately shift through virtual implementation and due to nonresponsive market during lockdown

## Implementation

- Limited capacity/knowledge of end-users on contract management
- Poor performance of contractors and quality of outputs
- The design and implementation (e.g., online data collection, workshops, coordination meetings) of some sub-outputs could no longer proceed as originally planned because of restrictions due to COVID
- Transitions across project management teams

## Utilization

- Difficulty in securing stakeholder acceptance of evaluation findings and acknowledgement of the independence of the evaluation process
- Access and dissemination of evaluation findings
- Uncertainty in the utilization of evaluation results



Frontload the foundational activities

Sustain the regular alignment sessions

Ensure risk assessment and mitigating measures are in place

Secure active participation and ownership of key stakeholders

Monitor successes and challenges



# WHERE WE ARE NOW AND WHERE WE ARE HEADED



	2018-19	2020	2021	2022	2023
	DEMONSTRATION	PRACTICE	DEEPENING		SUSTAINABILITY
Strategic Evaluations and other studies	<p>3 evaluations completed + 3 more commissioned</p> <p>Initial pipeline of evaluations</p>	<p>12/12 evaluations / other studies</p>	<p>2021-2022 National Evaluation Agenda drafted and approved</p>	<p>2021-2022 National Evaluation Agenda implemented</p>	<p>2023-2028 PDP shaped by evaluations &amp; released with an evaluation agenda</p>
Enabling Environment	<p>NEPF Guidelines completed</p> <p>Evaluation portal Launched</p>	<p>Way forward for NEDA evaluation function established</p>	<p>Agencies adopt and implement the NEPF Guidelines</p> <p>Evaluation portal Utilized</p>	<p>Monitoring of the implementation of the NEPF Guidelines</p> <p>Evaluation portal Enhanced</p>	<p>Tier 2 budget proposals &amp; ICC project decisions backed by evaluations or have evaluation designs</p>
Agency Capacity	<p>NEDA and key agencies learn by doing evaluation assigned tasks</p>	<p>NEPF Guidelines Pilot-released with coaching for 8 agencies</p> <p>Evaluability assessment of 8 agencies' programs</p>	<p>Key agencies propose &amp; roll-out evaluations on priority programs</p> <p>Agencies use evaluations to improve programs</p> <p>PPMS developed and functional</p>	<p>NEDA organized with evaluation group</p> <p>Pilot agencies conduct their own evaluations</p> <p>PPMS functionalities evolved for improved utilization in planning &amp; decision making</p>	<p>Agency M&amp;E units are activated</p> <p>PPMS integrated within NEDA and other data systems</p>
Individual Capacity	<p>Awareness and learning through the M&amp;E Network Forum</p>	<p>Competency Framework &amp; Evaluation Training</p>	<p>Capacity-enhancement through online learning, seminar, module, &amp; training</p>	<p>Pilot agency participants apply learning in planning their own evaluations</p>	<p>New cohort of agency participants undertake capacity development</p>

## Further improve the capacity to manage evaluations at both the agency and individual levels

- Sustain evaluation capacity development efforts
- Continue to improve design, implementation, and management of evaluations

## Enhance the quality of evaluation studies and promote the use of their results

- Secure commitment of stakeholders to ensure ownership of evaluation findings
- Ensure the utilization and application of evaluation recommendations
- Conduct of evaluability assessments prior to evaluations
- Employ quality assurance
- Continuously promote the utilization of the National Evaluation Portal across government

## Enrich the enabling environment

- Pursue organizational reform initiative
- Support the passage of the National Evaluation Policy
- 2023-2028 PDP shaped by evaluations and released with an evaluation agenda
- Tier 2 budget proposals & ICC project decisions backed by evaluations



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