

**Philippines Australia Human Resource and Organizational Development  
Facility  
(PAHRODF)**

## **INDEPENDENT EVALUATION REPORT**

February 2013

## Aid activity summary

Aid activity name	Philippines Australia Human Resource and Organizational Development Facility (PAHRODF)		
AidWorks initiative number	TBA		
Commencement date	2010	Completion date	2015
Total Australian \$	\$A68.2 Million		
Total other \$	-		
Delivery organisation(s)	Coffey International Development		
Implementing Partner(s)	<p><i>Key Partner Organisations (KPO)</i></p> <ul style="list-style-type: none"> <li>▪ Department of Education</li> <li>▪ Department of Interior and Local Government</li> <li>▪ Office of the Presidential Adviser on the Peace Process</li> <li>▪ Department of Social Welfare and Development</li> <li>▪ Civil Service Commission</li> <li>▪ Provincial Government of Aklan</li> <li>▪ Provincial Government of Davao del Norte</li> <li>▪ Provincial Government of Lanao del Norte</li> </ul> <p><i>Purpose Specific Organisations (PSO)</i></p> <ul style="list-style-type: none"> <li>▪ NAMRIA</li> <li>▪ PHIVOLCS</li> <li>▪ Office of the Civil Defense</li> <li>▪ PCID</li> <li>▪ PAGASA</li> <li>▪ Mines and Geo-Sciences Bureau</li> <li>▪ Presidential Management Staff</li> <li>▪ National Economic Development Authority</li> <li>▪ Metrobank Foundation, Inc.</li> </ul> <p><i>Australia Awards only</i></p> <ul style="list-style-type: none"> <li>▪ PG Misamis Oriental</li> <li>▪ PG Guimaras</li> <li>▪ PG Bukidnon</li> <li>▪ PG Agusan Sur</li> <li>▪ PG Surigao del Norte</li> <li>▪ PG Bohol</li> <li>▪ PG Misamis Occidental</li> </ul>		
Country/Region	Philippines		
Primary sector	Cross-sectoral within <i>Statement of Commitment</i> Strategic Objectives and Priority Outcomes		

## Acknowledgments

The evaluation team wishes to acknowledge the high level of cooperation shown by all individuals, teams and organisations with whom it consulted during the evaluation mission (*refer Annexe 2 for a complete schedule of individuals and groups consulted*). Team members appreciated greatly the directness, honesty, and range of perspectives offered in response to the team's questions.

The team was particularly appreciative of the support offered by the Organisational Development and Scholarships Unit at Manila Post, which not only provided the evaluation team with comprehensive logistical support, but also responded promptly to our frequent questions, and willingly provided any documentation required to complete the requirements of the Terms of Reference.

All Managing Contractor personnel were similarly forthcoming, supportive and frank in their discussions with the evaluation team, while PAHRODF clients at the national and sub-national levels readily offered candid and informed perceptions of the Facility and its operations.

The relationship between the AusAID Manila team the Managing Contractor, and Facility clients and stakeholders was clearly one which is based on mutual understanding of different roles and responsibilities, and respect for others' expertise and obligations.

## Author details

This Independent Evaluation Report was prepared and submitted by a team comprising three external consultants: Johnson Mercader (Philippines Public Sector Specialist), Jeff Bost (M&E Specialist) and Geoff Lacey (Team Leader).

The external team was supported throughout the in-country mission and subsequently by AusAID Canberra-based personnel as follows: Tony Coghlan (Program Manager, M&E, Scholarships Section); Natasha Allitt (Capacity Development Manager, Strategic Programming and Investment Policy), and Erin Tunks (Philippines Desk).

While acknowledging the specific sector expertise and knowledge of the broader AusAID operational context that the three Canberra-based AusAID personnel brought to the evaluation, it should be noted clearly that the views expressed in this report are those of the three external authors and do not necessarily represent the views of the Government of Australia, or of the Government of the Philippines.

## Acronyms and abbreviations

ADS	Australian Development Scholarships
ALAS	Australian Leadership Awards Scholarships
ARMM	Autonomous Region of Muslim Mindanao
AusAID	Australian Agency for International Development
AVID	Australian Volunteers for International Development
CSC	Civil Service Commission
DAP	Development Academy of the Philippines
DBM	Department of Budget and Management
DepED	Department of Education
DSWD	Department of Social Welfare and Development
DILG	Department of the Interior and Local Government
FAB	Framework Agreement for Bangsamoro
FB	Facility Board
FCC	Facility Coordinating Committee
GoP	Government of Philippines
HR/OD or HROD	Human Resource and Organisational Development
HRD	Human Resource Development
HROD	Human Resource and Organisational Development
ICSP	In-Country Scholarship Programme
ICT	Information and Communication Technology
KPO	Key Partner Organisation ( <i>sometimes referred to in Facility documentation as CPO</i> )
LDP	Leadership Development Program
LGU	Local Government Unit
LSP	Learning Resource Provider
MC	Managing Contractor
M&E	Monitoring and Evaluation
MEF	Monitoring and Evaluation Framework
MGB	Mines and Geosciences Bureau
MILF	Moro Islamic Liberation Front
NAMRIA	National Mapping and Resource Information Authority
NEDA	National Economic and Development Authority
OCD	Office of Civil Defense
OD	Organisational Development
OPAPP	Office of the Presidential Adviser on the Peace Process
PAGASA	Philippine Atmospheric, Geophysical and Astronomical Services Administration
PA3i	Philippines Australia Alumni Association, Inc.
PAHRDF	Philippines Australia Human Resource Development Facility ( <i>previous facility structure</i> )
PAHRODF or HRODF	Philippines Australia Human Resource and Organisational Development Facility
PHIVOLCS	Philippine Institute of Volcanology and Seismology
PRMF	Provincial Road Management Facility
PSP	Purpose-Specific Partner
REAP	Re-Entry Action Plan
SAP	Sustainability Action Plan
SPO	Strategic Partner Organisation
SOC	Statement of Commitment
WDO	Workplace Development Objective

## CONTENTS

Aid activity summary.....	ii
Acknowledgments .....	iii
Author details.....	iii
Acronyms and abbreviations .....	iv
1. Executive summary.....	1
1.1 Background and context.....	1
1.2 Activity objectives, components and progress to date .....	1
1.3 Evaluation findings – brief outline.....	1
1.4 Recommendations.....	2
1.5 Evaluation criteria ratings .....	2
2. Introduction.....	3
2.1 Activity background.....	3
2.1.1 Overview of PAHRODF.....	3
2.1.2 Purpose of evaluation .....	3
2.2 Evaluation objectives and questions .....	4
2.2.1 Evaluation objectives .....	4
2.2.2 Evaluation questions.....	4
2.3 Evaluation scope and methods .....	4
2.3.1 Evaluation scope .....	4
2.3.2 Evaluation methods.....	4
2.4 Evaluation team .....	5
3. Evaluation findings .....	6
3.1 Responses to objectives of the evaluation (as stated in ToRs) .....	6
3.2 Response to evaluation questions (as stated in ToRs) .....	6
3.2.1 Assessing results to date.....	6
3.2.2 Confirming the validity of organisational development.....	7
3.2.3 Ensuring that the program logic is still relevant.....	7
3.2.4 Appraising appropriateness, adequacy & effectiveness of M&E arrangements.....	8
3.2.5 Reviewing approach to Australia Awards.....	8
3.2.6 Contributing to continuous improvement of the Facility.....	9
3.3 Responses to AusAID-specific evaluation criteria.....	9
3.3.1 Relevance.....	9
3.3.2 Effectiveness.....	10
3.3.3 Efficiency.....	12
3.3.4 Impact .....	15
3.3.5 Sustainability.....	16
3.3.6 Gender equality (and disability).....	17
3.3.7 Monitoring and evaluation .....	18
3.3.8 Analysis and learning.....	19
4. Evaluation criteria ratings.....	21
5. Conclusion and recommendations.....	22
5.1 Conclusion .....	22
5.2 Analysis of selected PAHRODF themes .....	22
5.2.1 Relevance of current PAHRODF approaches for capacity development .....	22
5.2.2 Southern Philippines Framework Agreement: Implications for PAHRODF.....	23
5.2.3 Australia Awards and AVID – continuing relevance for PAHRODF.....	24
5.3 Findings .....	24
5.3.1 Partner relationships .....	24
5.3.2 Policy and strategic alignment .....	25
5.3.3 Facility mechanisms and interventions.....	25
5.4 Recommendations.....	26
5.4.1 Recommendations relating to PAHROF Development Objectives .....	26
5.4.2 Recommendations relating to PAHROF Management Objectives.....	27

ANNEXES .....	28
Annexe 1: Schedule of meetings and persons consulted .....	29
Annexe 2: Report on evaluation team regional visits .....	33
Annexe 3: Specific PAHRODF interventions – 2011 to 2012 .....	35
Annexe 4: Budgets allocated to partner organisations .....	38
Annexe 5: Extract from AQF Second Edition – January 2013 .....	39
Annexe 6: Relevance of LDP “Working hypotheses” for PAHRODF activities .....	40
Annexe 7: Guide questions by client / stakeholder group .....	41
Annexe 8: Notes on organisational development and the Philippine public sector .....	45
Annexe 9: Aide Memoire .....	47
Annexe 10: Activity Terms of Reference .....	53

Appendix A: Record of discussions with PAHRODF partners; strategies to improve engagement.

## FIGURES

Figure 1: PAHRODF progress against objectives .....	11
Figure 2: Case Study: AusAID Alumni (Davao Chapter) .....	15
Figure 3: GoP Gender policies .....	17
Figure 4: Scholarships awarded – 2010 to 2013 inclusive .....	17
Figure 5: Evaluation criteria and ratings .....	21
Figure 6: Key Partner Organisations (KPOs) budgets 2011-2012 & 2012-2013 .....	38
Figure 7: Purpose Specific Organisations (PSOs) budgets 2011-2012 & 2012-2013 .....	38
Figure 8: AQF 2013 qualifications framework .....	39

## 1. EXECUTIVE SUMMARY

### 1.1 Background and context

The Philippines Australia Human Resource and Organisational Development Facility (PAHRODF) is the Australian Government's flagship program to support human resource management, capacity building, and organisational development in the Philippines. The current Facility superseded an earlier, AusAID-funded support mechanism (PAHRDF) which had a similar overall approach. However, there were no organisational development components to that earlier program.

### 1.2 Activity objectives, components and progress to date

PAHRODF is currently providing approximately 25 AusAID partners in the Philippines with a range of organisational development (OD) and human resource development (HRD) interventions, including short-term training programs, coaching/mentoring, technical assistance, business process improvement, Australia Awards (scholarships) and the establishment of human resource systems in Government of Philippines (GoP) agencies (e.g. performance management, learning and development). In seeking to provide these services, PAHRODF operates within three development and three management objectives, as outlined below:

#### **Development objectives**

- (a) To assist partner organisations identify, prioritise and develop targeted capacities and competencies to support organisational change;
- (b) To assist partner organisations make better use of capacities and competencies to improve service delivery; and
- (c) To assist partner organisations share and build on enhanced capacities and competencies as basis for continuous improvement and learning.

#### **Management objectives**

- (a) To provide efficient and effective targeting of organisations/ Australia Awards-Development Awards (AA-DA) and efficient allocation of resources for the implementation of prioritised PAHRODF interventions;
- (b) To provide sound criteria and mechanisms for the engagement of key partner organisations (KPOs)/ Strategic Partner Organisations (SPOs) and AA-DA scholars; and
- (c) To deliver appropriate types and quality of human resource and organisational development (HROD) support to targeted organisations, groups of organisations and individuals.

### 1.3 Evaluation findings – brief outline

The PAHRODF program is clearly on track to meet its goals and objectives by 2015 and, while minor operational issues were identified by some partners as requiring attention, and confirmed by the evaluation team, these issues should not detract from the overall positive tone of the findings contained within this report. An outline of the evaluation team's (major) findings follows:

#### **Partner relationships**

- PAHRODF's strengths, as perceived by all partners, and by most AusAID country sector teams, are in its "demand-driven" approach; further PAHRODF is highly valued by partners.
- Without PAHRODF, many partners reported that they eventually would have achieved their organisational development goals, but would have taken much longer to do so.
- The PAHRODF organisational development approach and REAP/SAP model has been adopted by other agencies and other donors.
- PAHRODF's additional value (when compared with other and previous donor activities) is perceived to be in its broader organisational development approach.
- There is a consistent view amongst partners that PAHRODF represents value for money – both for GoP agencies and for AusAID.

#### **Policy and strategic alignment**

- PAHRODF activities remain aligned with the Australia-Philippines *Statement of Commitment*.
- The Theory of Change and Program Logic remain valid, subject to necessary support structures being in place, and any necessary on-going adjustments made.
- Facility M&E arrangements are clear, practical, systematic and professionally implemented.
- Implementing an effective Knowledge Management strategy is essential to inform other programs considering a similar approach.

#### **Facility mechanisms and interventions**

- PAHRODF's in-country scholarships are considered to be innovative and practical.

- The REAPs and SAPs are seen as unique to PAHRODF, useful, and promote sustainability.
- The PAHRODF Managing Contractor is providing an effective and efficient service through its skilled and responsive LSPs; however increasing demands on its services need further consideration.
- Continued support for the alumni association PA3i is crucial to Australia Awards' public diplomacy outcomes.
- In one sector, different perspectives exist between the partner (positive) and the relevant AusAID team (non-positive) concerning the flexibility of PAHRODF.
- Apart from the experience of one GoP partner organisation, where one LSP subsequently could not meet that agency's perceived needs, communication channels between PAHRODF, LSPs and the managing contractor are now very effective.

#### 1.4 Recommendations

Recommendations which, if enacted, have the potential to enhance both the Development and Management Objectives of PAHRODF have been listed in [Section 5.4](#) of this Evaluation Report. These recommendations include evaluation team suggestions relating to monitoring and evaluation, communications, knowledge management, resourcing, alignment with other Philippines' programs, and alumni support.

#### 1.5 Evaluation criteria ratings

Evaluation Criteria	Rating (1-6)	Explanation
<a href="#">Relevance</a>	6	Fully consistent with SoC and represents a demand-driven approach
<a href="#">Effectiveness</a>	5	On track to meet target outcomes. Strong sense of stakeholder ownership and clear progress from baseline towards target. Replication of the model outside PAHRODF is evidenced
<a href="#">Efficiency</a>	5	Professional level of implementation by Managing Contractor and LSPs. Value-for-money identified clearly as a significant component of the approach. Care needs to be taken to ensure facility and Post team efficiency is not compromised by increasing demands on available resources.
<a href="#">Sustainability</a>	5	Based on REAPs/SAPS, strong ownership, and focus on clear commitment – by Facility and partners – to institutionalisation of strategies and policies
<a href="#">Gender Equality</a>	5	Very supportive of women, consistent with relative numbers of women within Government. Scope for further study into reasons males are not applying for or receiving awards. Increased engagement of PWD and other inclusion group participants should be further emphasised
<a href="#">Monitoring &amp; Evaluation</a>	5.5	Robust MEF systematically being implemented, producing valuable performance information tracking - both development and management objectives. Scope for reporting enhancements and evaluation roll-out in Years 4 and 5 of current contract.
<a href="#">Analysis &amp; Learning</a>	4.5	Internally demonstrates quality outcomes in relation to lessons learned and commitment to continuous learning. Opportunities for further research exist, while development of a comprehensive Knowledge Management strategy and its roll-out in Years 4 and 5 will disseminate the model more widely.

*Rating scale: 6 = very high quality; 1 = very low quality. Below 4 is less than satisfactory.*



## 2. INTRODUCTION

### 2.1 Activity background

#### 2.1.1 Overview of PAHRODF

The Philippines Australia Human Resource and Organisational Development Facility (PAHRODF) is the Australian Government's flagship program to support human resource development and management, individual and group capacity building, and organisational development in the Philippines.

Since its mobilisation in 2010, to support its *development focus*, PAHRODF has provided around 25 AusAID partners in the Philippines with a range of human resource and organisational development interventions, including short-term training programs, coaching/mentoring, technical assistance, business process improvement, Australia Awards (scholarships) and establishment of human resource systems (e.g. performance management, learning and development).

PAHRODF has established and maintains operational (*management*) systems, including:

- organisational assessment
- design specification
- sub-contracting
- strategic planning
- working with AusAID program teams
- re-entry action planning
- mentoring and support to mentors
- monitoring and evaluation
- selection processes for Australia Awards.

In meeting its stated goal of enhancing the effectiveness of selected programs and reform agenda under APDAS<sup>1</sup>, AusAID has identified both development and management objectives for PAHRODF, as below:

Development objectives	Management objectives
(a) To assist partner organisations identify, prioritise and develop targeted capacities and competencies to support organisational change;	(a) To provide efficient and effective targeting of organisations/Australia Awards-Development Awards (AA-DA) and efficient allocation of resources for the implementation of prioritized PAHRODF interventions;
(b) To assist partner organisations make better use of capacities and competencies to improve service delivery;	(b) To provide sound criteria and mechanisms for the engagement of key partner organisations (KPOs)/Strategic Partner Organisations (SPOs) and AA-DA scholars;
(c) To assist partner organisations share and build on enhanced capacities and competencies as basis for continuous improvement and learning.	(c) To deliver appropriate types and quality of human resource and organisational development (HROD) support to targeted organisations, groups of organisations and individuals.

#### 2.1.2 Purpose of evaluation

The task defined in the Activity Terms of Reference was to conduct a rigorous and independent evaluation of the progress to date by, and performance of, the Managing Contractor (Coffey Development) in implementing PAHRODF.

The evaluation was constructive and forward-looking in terms of its recommendations and proposed next steps. This approach is intended to establish a clear platform for any concept development roles for AusAID and PAHRODF activities, and supportive in assisting with future directions for PAHRODF, during the remainder of the current AusAID contractual period with Coffey.

This evaluation focuses solely on an assessment of the Facility, during its current contractual period. Any consideration of post-2105 structure, operations and scope will be the responsibility of the activity completion review of PAHRODF, to be conducted within six months of program completion. Although the current review may assist in informing that final evaluation, the activity completion report, and annual plans, it must be noted that the current activity involves an *evaluative process, not a design process*.

Nevertheless, as the current evaluation activity is the first formal evaluation since mobilisation of the Facility in 2010, AusAID believes that it is scheduled appropriately, given that initial interventions are now starting to show results, and that: "should the evaluation result in changes/ revisions in the Facility approaches/ systems, there is still enough time left in the (current) Facility life to implement these."<sup>2</sup>

<sup>1</sup> The Australia – Philippines Development Assistance Strategy (APDAS) 2007–11 was the overall strategic planning document in force at the time of the initial PAHRODF design and program mobilisation.

<sup>2</sup> Refer p. 1, Terms of Reference

## 2.2 Evaluation objectives and questions

### 2.2.1 Evaluation objectives

The evaluation team was charged with:

- assessing whether the Facility is on track to meet its goals and objectives by 2015;
- checking the validity of the program logic and assumptions underpinning the Design Document;
- assessing existing monitoring and evaluation arrangements;
- aligning Facility mechanisms to recent corporate reforms within AusAID (Agency Results Framework, Australia Awards Reforms) and with global best practice (e.g. OECD-DAC, other donors).;
- recommending adjustments and enhancements to ensure that the Facility will be able to meet its goals and objectives; and
- proposing how sustainability of Facility investments can be achieved.

### 2.2.2 Evaluation questions

Evaluation questions<sup>3</sup> identified in the Terms of Reference, for specific attention, were identified under six headings:

- (a) Assessing results to date;
- (b) Confirming the validity of organisational development as an approach to assisting AusAID partners in the Philippines;
- (c) Ensuring that the program logic is still relevant;
- (d) Appraising the appropriateness, adequacy, and effectiveness of existing monitoring and evaluation (M & E) arrangements;
- (e) Reviewing approach to Australia Awards; and
- (f) Contributing to continuous improvement of the Facility.

## 2.3 Evaluation scope and methods

### 2.3.1 Evaluation scope

Given understandable time and resource constraints on the evaluation, it was neither possible nor necessary that the evaluation team visit and review every partner activity with which PAHRODF has been involved; while a thorough assessment of long-term the Australia Awards' development awards implementation in the Philippines would require a far more comprehensive evaluation program, drawing on existing graduate data, and including targeted investigations of scholarships' relationships with specific aspects of PAHRODF's other interactions and mechanisms. Further, with such a diverse range of HR and OD support activities, technically, and geographically, it could not be assumed that lessons from one program or activity are necessarily reflected generally across the complete PAHRODF program.

Nevertheless, these potential challenges/ risks to completing an informed evaluation, have been diminished through the following measures:

- (a) Reading and analysis of all available planning and review documents to gain an overview of the specific PAHRODF operational and development contexts, prior to in-country interviews;
- (b) Selecting PAHRODF activities for assessment which are reflective of the types of linkages / partnerships undertaken across the program as a whole;
- (c) Visiting selected interventions of differing size and complexity in diverse provincial locations (four), including a "control" environment<sup>4</sup>; and
- (d) Balancing these above specific review findings with broader program consultation to confirm key themes and issues which apply generally across the wider range of PAHRODF and Manila Post activities.

### 2.3.2 Evaluation methods

As noted above, PAHRODF delivers a range of OD and HR services to national and sub-national clients – involving both individuals and groups. Accordingly, the Evaluation Team identified and considered performance issues and lessons at the wider portfolio level. Achieving this successfully required a multi-faceted approach to the evaluation.

As such, the team's approach has involved:

- *Document review:* The team had full disclosure of all relevant project documentation prior to the initial and major in-country mission. This was a critical factor in confirming all of the main aspects of the proposal evaluation approach. (November 2012-January 2013)
- *Preliminary discussions:* Emerging from the document review was a number of issues of importance which the team discussed with AusAID and with the Managing Contractor. (December 2012)

<sup>3</sup> Section 3.2 includes the complete list of all specific questions for consideration, identified within the six evaluation questions (a) to (f) above.

<sup>4</sup> The "control" environment was Guimaras Province, where PAHRODF offers only Australia Awards, and no other planned HRD or OD support.

- *Finalisation of field work and logistics:* Emerging from these preliminary discussions were discussions relating to operational logistics and level of active support while on the mission. (December 2012-January 2013)
- *Initial consultation with key stakeholders:* Prior to the January 2013 mission, team members engaged with key stakeholders: AusAID Manila and the Managing Contractor. (December 2012)
- *In-country site visits:* Although most meetings and consultations have taken place in Manila, with key GoP agencies, industry organisations and service providers, team members also visited four separate provincial locations to assess “on-the-ground” implementation of PAHRODF activities. These locations are identified in the schedule of meetings included in Annexe 2. (January-February 2013)
- *Assessment against other similar HR/OD programs:* The in-country mission presented a range of emerging issues and lessons. It may have been necessary for team members to undertake discussions with a wider stakeholder cohort (regional or global) around these issues and lessons, during preparation of the draft report, however further document and design research proved to be sufficient. (February 2013)
- *Debriefing with AusAID:* The team presented its initial findings, recommendations and proposed report structure to the AusAID Manila team and invited partners and stakeholders, on the final day of its in-country mission – in the form of an *Aide Memoire* (Refer Annexe 9). This face-to-face activity provided the opportunity for AusAID to identify any potential concerns or challenges in the direction of the draft evaluation report being prepared by the team. (February 2013)
- *Report Preparation:* The team leader had overall responsibility for report writing, although this included extensive inputs from team colleagues, particularly within their areas of expertise (M&E consultant, and Local Public Sector Specialist). A draft report was presented to AusAID on 9 February, with a final report to be submitted to AusAID by 26 February (or within one week of feedback being received by the evaluation team, from AusAID on the draft report). (February-March, 2013)

## 2.4 Evaluation team

The external evaluation team comprised three consultants: Johnson Mercader (Philippines Public Sector Specialist), Jeff Bost (M&E Specialist), and Geoff Lacey (Team Leader).

The external team was supported throughout the in-country mission, and subsequently, by AusAID Canberra-based personnel as follows: Tony Coghlan (Program Manager, M&E, Scholarships Section); Natashia Allitt (Capacity Development Manager, Strategic Programming and Investment Policy), and Erin Tunks (Philippines Desk).

The diversity of the activities PAHRODF undertakes presents challenges to any evaluation team to demonstrate a sufficient breadth of expertise and experience. The (external) evaluation team was appreciative of the access it had to Philippines- and Australia-based AusAID expertise during the in-country mission period.

The evaluation team was also conscious of the wider frameworks within which PAHRODF is operating: (a) within the APDAS; (b) within AusAID's broader approach to achieving its six strategic goals of: promoting opportunities for all, sustainable economic development, saving lives, effective governance, humanitarian and disaster response, cross cutting; and (c) within the specific scholarships' goals for what is a significant component of PAHRODF's activities – Australia Awards.

### 3. EVALUATION FINDINGS

#### 3.1 Responses to objectives of the evaluation (as stated in ToRs)

##### **Objectives:**

**(a) Assess whether the Facility is on track to meet its goals and objectives by 2015.**

The evaluation team has determined that the Facility is on track to meet its goal of “enhancing the effectiveness of selected programs and reform agenda under the APDAS”; and to meet its three development objectives and three management objectives.

**(b) Check the validity of the program logic and assumptions underpinning the Design Document**

The program logic and design assumptions which provide the framework for the strategic direction and operations of the Facility remain valid. They will continue to provide the strategic and operational framework for the continuing effective operations of the Facility until the end of the current contractual arrangements.

**(c) Assess existing monitoring and evaluation arrangements**

PAHRODF monitoring and evaluation mechanisms demonstrate a particularly thorough approach to assessing the progress of the Facility in achieving its goal and objectives. The M&E arrangements have been carefully planned; are regularly updated; are transparent for AusAID and key clients – and are efficiently communicated with other stakeholders.

**(d) Align Facility mechanisms to recent corporate reforms within AusAID (Agency Results Framework, Australia Awards Reforms) and with global best practice (e.g. OECD-DAC, other donors)**

The evaluation team is confident that the Facility remains committed to current AusAID corporate reforms and to existing and emerging global development practices. Both AusAID personnel responsible for PAHRODF and Facility personnel remain informed of current AusAID policies and practices, in the areas of capacity development, Australia Awards, and related cross-cutting issues.

**(e) Recommend adjustments and enhancements to ensure that the Facility will be able to meet its goals and objectives**

Although the evaluation team has determined that the Facility is continuing to meet its original goal and objectives, and to respond to the changing Philippines, Australian and international development environment, the team has recommended a number of adjustments and enhancements to further enhance service delivery during the remaining two years of the PAHRODF program.

**(f) Propose how sustainability of Facility investments can be achieved.**

Effective strategies have been included in Facility planning and in all strategic-level interactions with clients and stakeholders to promote sustainability of achievements gained to date. This positive outcome in supporting sustainability of interventions was identified by almost all GoP clients as a specific focus and achievement of the Facility. Nevertheless, with only two years remaining in Facility life, it is important that sustainability mechanisms (and clear guidance from AusAID on any future OD and HRD mechanisms post-2015) be considered now, negotiated with the relevant GoP agencies, and implemented, wherever capacity and resources exist.

#### 3.2 Response to evaluation questions (as stated in ToRs)<sup>5</sup>

##### **3.2.1 Assessing results to date**

Data available from the Managing Contractor and analyses as a result of meetings with AusAID sector teams, partners and key clients have provided sufficient information to make a broad assessment of the success or otherwise of PAHRODF results to date. Responses to specific questions relating to results to date are summarised below:

ToR evaluation question	Response
<b>(a) Assessing results to date</b>	
▪ What are the major accomplishments of the Facility since its mobilisation?	Quality OD interventions and processes embedded in participating agencies, supported by individual and group HRD programs
▪ What outputs and outcomes have resulted from Facility activities?	Increased understanding within GoP agencies of the importance of linking HRD to OD; greater responsibility assumed by agencies for OD processes; progressive increase in capacity of individual agencies

<sup>5</sup> Responses included in this table provide short format answers only; detailed responses to evaluation criteria are contained in Section 3.3

<ul style="list-style-type: none"> <li>Given progress to date, is the Facility on track to achieve its planned goals and objectives?</li> </ul>	Yes, the facility is on track to meet its stated goals and objectives
<ul style="list-style-type: none"> <li>Did Facility activities result in any unintended outcomes? Positive? Negative?</li> </ul>	<p><i>Positive:</i> Widespread acceptance of GoP agencies in undertaking OD approaches to other (non-PAHRODF) organisational development activities</p> <p><i>Negative:</i> Increasing demands (from successful program) on AusAID Post and Facility staff to meet requests for support – within existing resources</p>
<ul style="list-style-type: none"> <li>Do the results demonstrate good value for money (i.e. results <i>vis a vis</i> expenditure)?</li> </ul>	Yes: The results indicate good value for money, not only in relation to planned interventions, but also in regard to unplanned, peripheral outcomes

### 3.2.2 Confirming the validity of organisational development

As noted above, the organisation development approach, introduced by AusAID as an enhancement of the original PAHRDF facility model, has proved to be very successful in PAHRODF's engagement with most GoP agencies. There are, however, a small number of agencies for whom a focused OD methodology to building the internal capacity of their agency is not considered an appropriate approach, or for which sufficient resources are not available – at this stage. In such situations, PAHRODF has adapted its approach accordingly to meet the client's needs. Responses to specific questions concerning the validity of the OD approach are summarised below:

(b) Confirming the validity of organisational development as an approach to assisting AusAID partners in the Philippines	
<ul style="list-style-type: none"> <li>One of the major changes under PAHRODF (from HRDF) is the shift of focus from individual capacities to organisational development. Given the current operating context and needs of partners, is organisational development (OD) still the ideal 'framework' to assist partners? What are the key benefits (effectiveness, sustainability) in continuing this approach?</li> </ul>	The organisational development approach must remain as the strategic basis for the continuing work of PAHRODF. The implementation of PAHRODF activities, using the OD approach, is a cost-effective means of promoting a major positive impact on building the capacity of GoP agencies; further, such an approach provides a practical and achievable model for the continuing organisational improvement of those agencies, post-PAHRODF.
<ul style="list-style-type: none"> <li>Has the OD approach been effective in addressing both long-term and just-in-time needs of partners?</li> </ul>	Yes: Both sets of needs have been met; however, some GoP agency concerns relating to the overall long-term value of Australia Awards' interventions, and the necessity for extended periods of key personnel away from their positions have been identified. The current balance of both long-term and just-in-time support is, nevertheless, proving to be effective.

### 3.2.3 Ensuring that the program logic is still relevant

The PAHRODF Monitoring and Evaluation system measures the delivery of human resource development and organisational development interventions which it negotiates with partner organisations, and the impact of those interventions on improvements in GoP agency service delivery, organisational capacities and individual competencies. Annual and cumulative assessments of stakeholder performance provides data on clients' improvements, trends, successes vs challenges, quality of engagement, and future implications. As these approaches continue to provide effective management information, which is responsive to stakeholder and AusAID needs, the program logic is considered to be still relevant and appropriate-to-task.

Note also that the PAHRODF Monitoring and Evaluation Framework (MEF) will be reviewed when AusAID's Performance Assessment Matrix and SoC Delivery Strategies have been finalised - to ensure alignment of PAHRDOF with broader AusAID directions for the Philippines. Responses to specific questions concerning the relevance of the program logic are summarised below:

(c) Ensuring that the program logic is still relevant	
<ul style="list-style-type: none"> <li>The Facility design is founded on an intervention theory and a theory of change. These were developed more than three years ago and under a different set of circumstances (i.e. leadership and reform appetite in partner organisations). Given the contextual and</li> </ul>	Both the intervention theory and theory of change remain valid. The current political and organisational leadership, and desire for reform within (most) GoP agencies remains strong and this will continue to provide an appropriate environment for the continuing adherence by PAHRODF to both theories.

operational changes, are the “theories” underpinning the design still valid?	
<ul style="list-style-type: none"> <li>One of the key changes under PAHRODF is the recognition of “strategic partner” or organisations who are not directly connected/associated with AusAID initiatives/ programs but play roles/ perform functions that are important to AusAID’s key partners and programs. It was envisaged that assistance would also be provided to these agencies in areas that are “important” to AusAID’s key partners (such as the Department of Education). The evaluation should consider whether or not this approach received traction.</li> </ul>	The difference between Key Partner Organisations (KPOs) and Strategic Partner Organisations (SPOs) continues to provide the most appropriate operational approach to support levels determined and provided by PAHRODF. However, as increasing demands for access to a wider range of OD and HRD support are being made by SPOs, the delineation between both categories is becoming blurred, with a resultant increased burden on both Post and Facility services. Greater strategic clarity in relation to the differences in level of services between both cohorts needs to be achieved.

### 3.2.4 Appraising appropriateness, adequacy & effectiveness of M&E arrangements

Monitoring and evaluation of the performance of the Facility itself and its stakeholders continues to provide appropriate and effective means for identifying lessons learned across organisations; and from those lessons, to seek to continuously improve operational and strategic processes to achieve the program goal - and its development and management objectives. Partner organisations, LSPs, and other external stakeholders are being skilled in M&E concepts and given the tools necessary to better understand the PAHRODF M&E processes, and to assist in gaining and analysing useful performance data. This will allow them to gain a shared understanding and appreciation of implementing the PAHROD M&E Framework.

Responses to specific questions concerning the relevance of the program logic are summarised below:

(d) Appraising appropriateness, adequacy, and effectiveness of existing M & E arrangements	
<ul style="list-style-type: none"> <li>Are the existing M&amp;E arrangements sound (i.e. able to capture results) and adequate?</li> </ul>	Yes. M&E systems remain appropriate to the needs of Facility personnel, partners and to AusAID personnel at Post
<ul style="list-style-type: none"> <li>Are the M&amp;E outputs useful to AusAID and the partners?</li> </ul>	Reporting of Facility outputs is comprehensive and provided in a format appropriate to the needs of partners and AusAID. Some rationalisation of reports required will assist in reducing the demands on M&E and related report users
<ul style="list-style-type: none"> <li>Does the existing M&amp;E Framework (MEF) correspond to the program logic/design?</li> </ul>	Yes. The MEF continues to correspond to the program design and logic
<ul style="list-style-type: none"> <li>Are the M&amp;E arrangements (including resourcing) commensurate to the complexity of the Facility?</li> </ul>	M&E arrangements are appropriate, although enhancements (as suggested above and in the report recommendations) can assist in providing more usable data for planning and assessment.
<ul style="list-style-type: none"> <li>Is the expectation and roles of partners in terms of M&amp;E appropriate with their capacity and existing partner systems?</li> </ul>	All partners report that PAHRODF monitoring and evaluation processes and reporting structures align with their needs and agency M&E systems

### 3.2.5 Reviewing approach to Australia Awards

AusAID’s Australia Awards in the Philippines are aligned with Australia’s development assistance in the country, targeting human resource gaps in identified priority sectors. Around 90 per cent of the Philippines’ Australia Awards are for Masters Degrees and the remainder for Doctoral Degrees. Awards are offered currently across two different cohorts: (a) *Targeted* applicants, for partner organisations (government/non-government/private) with mandates supporting mutual priorities of Australia and the Philippines as reflected in the Development Assistance Strategy, and as supported by PAHRODF; and (b) *Open* applicants, for individuals in the public and private sector seeking to complete postgraduate studies in identified priority sectors. Approximately 70% of awards are currently allocated to the targeted category and 30% to the open category. The evaluation team undertook a comprehensive review of the implementation of Australia Awards, through meetings and focus groups with AusAID team members, GoP agency personnel, provincial LGU representatives, and alumni.

Responses to specific questions concerning the validity of PAHRODF’s approach to, and implementation of, Australia Awards are summarised below:

(e) Reviewing approach to Australia Awards	
<ul style="list-style-type: none"> <li>Are existing mechanisms enough to ensure that open-category scholarships are as effective as the targeted ones, in terms of the implementation of the re-entry action plans?</li> </ul>	Re-entry action plans (REAPs) are considered to be a particularly effective component of the PAHRODF Australia Awards, with some agencies transferring the process to other similar/ other donor scholarships and training programs. However, given the nature of Open-category scholarships, REAPs have a limited relevance for Open graduates and their organisations – as in almost all Australia Award countries.
<ul style="list-style-type: none"> <li>How can pre- and post- scholarship support be improved to make Australian Awards in the Philippines more aligned with lessons from the <i>Developmental Leadership Program</i><sup>6</sup> and other global programs?</li> </ul>	A number of GoP agencies identified the barriers that poor English language skills create for potential quality Australia Award candidates, particularly at the provincial level. Where possible, PAHRODF is supporting agencies in seeking pre-scholarship support for such candidates. Post-scholarship support is being provided through effective use of REAPs, SAPs, and the alumni organisation.

### 3.2.6 Contributing to continuous improvement of the Facility

A specific focus of the evaluation team was to propose improvements to the operations of the Facility, while mindful that the program is about one-half completed, and is scheduled to finish in 2015. Nevertheless, and while acknowledging the high level of professionalism with which the PAHRODF program is managed by both AusAID and the Managing Contractor, a number of minor adjustments to strategic and operational aspects have been proposed, none of which require contractual changes or significant adjustments to resource allocations. Responses to specific questions concerning the potential for enhancements to PAHRODF's operations are summarised below:

(f) Contributing to continuous improvement of the Facility	
<ul style="list-style-type: none"> <li>What changes/adjustments, if any, are needed so that the Facility can meet its goals and objectives, in terms of</li> </ul>	
<ul style="list-style-type: none"> <li>Approach to organisational development</li> </ul>	The current approach to organisational development remains valid and appropriate to the agencies and organisations being supported
<ul style="list-style-type: none"> <li>Monitoring and evaluation</li> </ul>	While acknowledging the quality of Facility M&E systems, some suggestions for improvements have been made and are indicated in the attached "Recommendations"
<ul style="list-style-type: none"> <li>Scholarships (ensuring effectiveness of existing mechanisms under the open category, more flexible delivery options in view of the roll out of the new <i>Australian Qualifications Framework</i> in 2014/2015)<sup>7</sup>.</li> </ul>	The roll-out of the new AQF in 2013 will have limited impact on Australia Awards in the Philippines, given the PAHRODF focus on Masters and Doctoral Awards. (Refer Annexe 5)
<ul style="list-style-type: none"> <li>What should the Facility</li> </ul>	
<ul style="list-style-type: none"> <li>Do more of</li> </ul>	<ul style="list-style-type: none"> <li>Alumni (PA3i) support</li> <li>OD support at provincial level (where Facility resources permit, and where requesting provincial agency is at an appropriate level of readiness).</li> </ul>
<ul style="list-style-type: none"> <li>Do less of</li> </ul>	-
<ul style="list-style-type: none"> <li>Explore/consider doing</li> </ul>	Increased networking across senior GoP agency personnel, potentially through the FCC; greater use of volunteers.
<ul style="list-style-type: none"> <li>Consider stop doing?</li> </ul>	Duplication of reporting

## 3.3 Responses to AusAID-specific evaluation criteria

### 3.3.1 Relevance

PAHRODF remains relevant. The Facility's development objectives continue to respond to the strategic priorities identified by partners (core and PSO) which, in turn, align with the higher-level objectives outlined in the SoC.

<sup>6</sup> Refer to Annexe 5

<sup>7</sup> Refer to AQF Website for January 2013 (Second edition) framework; <http://aqf.edu.au/>

PAHRODF is demand-driven. Almost every agency - core and strategic - with which the evaluation team consulted, indicated that PAHRODF was addressing their specific organisational development needs and, at the same time, supporting GoP objectives for reform and improved service delivery.

Although previous AusAID and other donor interventions have provided HRD support, including some training, PAHRODF's additional value is perceived to be in its organisational development approach. Of particular benefit to partner agencies have been the initial organisational development scans and assessments commissioned by the Facility, and completed successfully by its LSPs. Many agencies note that AusAID's PAHRODF program is the *first co-ordinated organisational development program* for government agencies in the Philippines. There is no doubt that the expansion of the earlier PAHRDF role in supporting individual human resource development, to now providing the framework for broader organisational development support, is warranted, and timely.

The program logic / underlying theory of change (ToC) remains valid. Refinement of the initial logic outlined in the Program Design Document has taken place, notably as a result of the recommendations of the AusAID external M&E Adviser, in consultation with the managing contractor, in early 2011.

At an operational level, the Workplace Development Objectives (WDO) chain provides a simple visual illustration of the ToC, easily understood by partner agencies. Minor, but important, adjustments to the wording of each of the three development objectives within the Results Framework were made in September 2011 to emphasise the accountability of the partner agencies, and to provide a more realistic focus for performance progress reporting.

An important caveat is that the integrity of the ToC is based on assumptions around support structures (personnel, systems, policies) being in place, and on-going adjustments made. Capacity building and organisational change are not necessarily linear processes and take time. Within PAHRODF, there is a diversity of partners in terms of size, mandate, and stage of organisational capacity. There needs to be flexibility in the approach the Facility takes with each partner, and this was emphasised by most partner agencies interviewed. An additional issue relates to the management of risks, including political. As an AusAID officer noted:

*The Theory of Change is valid but there is a need to ensure a political lens is used in its application. In implementation we would not penalise HRDOF for changes to the political economy, but would penalise them if they are not alert to political nuances and failing to adapt.*

In almost every case, partners indicated that a distinguishing feature of PAHRODF was its flexibility. They see the model as being highly flexible, as both the Facility and (almost all) LSPs have been willing, skilled and effective in adjusting and adapting to internal Government of Philippines organisational circumstances to meet specific agency needs; in adapting to their specific needs; and thus in setting it apart from their experience with other donor agencies or training providers.

In one sector only, different perspectives exist between the partner and the relevant AusAID team. The relevant AusAID team perceives the facility model as inflexible in terms of not having the capacity to include additional sectoral initiatives – when requested by that team. Frustrations are understandable, but these may be more a matter of being able to provide sufficient lead time so that resources can be made identified in the annual program planning cycle. Alternatively, the proposal that an annual unallocated sum be made available outside the scheduled activities to respond to emerging priorities is supported for consideration by AusAID.

However, there was concern expressed by the MC that the program was currently “stretched” so that requests for additional partners or activities would be very difficult to accommodate without commensurate resources (personnel and funds). The MC also emphasised that much of the success of PAHRODF was based on the quality of the partnerships with agencies and LSPs - and these relationships take time to develop and are resource intensive. The evaluation team also noted the considerable additional work (regularly including outside normal office hours) generated by pastoral care of scholars and in supporting LSPs. This issue is addressed further in Section 3.3.3 (Efficiency).

### **3.3.2 Effectiveness**

The January 2013 M&E Report (#4) states that PAHRODF remains on track to achieve its planned objectives. Based on performance to date against the key indicators, examination of key program documents, and the consistent responses of partner agencies and AusAID staff, the evaluation team concurs with this assessment.

Monitoring of the three development objectives is based on progress towards six milestones and reflected in performance against seven key indicators. Summary results from the Facility M&E Report #4 (January 2013) are included in Figure 1 below/ over.



**Figure 1: PAHRODF progress against objectives**

*Objective 1: To assist partner organisations identify, prioritise and develop targeted capacities and competencies to support organisational change.*

Objective 1 Milestone Indicators	Indicators	Units	CPOs	PSPs	Total
Milestone 1: HR/OD Plans that identify and prioritise targeted capacities and competencies to support organisational change approved and endorsed for implementation by partner organisations.	Number (and % share of total) of partner organisations that have approved and endorsed for implementation HR/OD Plans developed with Facility assistance.	No.	8/8	9/9	17/17
		%	100%	100%	100%
Milestone 2: Partner organisations complete WDO outputs to develop targeted capacities and/or competencies to support organisational change.	From the commencement of the Facility, number (and % share) of HR/OD interventions whose WDO outputs were signed off by management of partner organisations.	No.	8/31	4/21	12/52
		%	25.8%	19.0%	23.1%

*Objective 2: To assist partner organisations make better use of capacities and competencies to improve service delivery.*

Objective 2 Milestone Indicators	Indicators	0-25%	26% to 50%	51% to 75%	76% to 100%
Milestone 1: REAPs that help organisations make better use of capacities and competencies to improve service delivery completed.	Number of REAPs in various rates of completion (CPOs only)	309	23	0	0
Milestone 2: SAPs developed to sustain the use of capacities and competencies to improve service delivery approved and endorsed by partner organisations.	Number of SAPs approved and endorsed by partner organisations (CPOs only).	CPO		Number	
		CSC		3	
		DILG		1	
		DSWD		1	
		OPAPP		1	

*Objective 3: To assist partner organisations share and build on enhanced capacities and competencies as basis for continuous improvement and learning.*

Objective 3 Milestone Indicators	Indicators	Units	CPOs
Milestone 1: Mechanism to share and build on enhanced capacities and competencies as basis for continuous improvement and learning established.	Whether or not PAHRODF has established a mechanism [that assists partner organisations] to share and build on enhanced capacities and competencies as basis for continuous improvement and learning.	Y/N	Yes
Milestone 2: Enhanced capacities and competencies from HR/OD interventions shared [by partner organisations] in other areas.	Number (and % share to total) of partner organisations that have shared / applied in other areas enhanced capacities and competencies from HR/OD interventions.	No.	3/8
		%	37.5%
	Number (and % share to total) of HR/OD interventions whose outcomes of enhanced capacities and competencies have been shared / applied in other areas by partner organisations.	No.	5/44
		%	11.4%

In terms of overall effectiveness, the evaluation has highlighted the following achievements:

*PAHRODF is valued by partners.* The Facility's partners see the model, approach and their on-going engagement as being "different to other donors", in that the participating agencies are more empowered when working with the Facility. Working closely with the Facility (managers and LSPs), partners are able to identify the HRD and OD challenges for which they are seeking PAHRODF / AusAID support - rather than being presented with a development program in which they have little input or intellectual investment.

*PAHRODF's strengths, as perceived by all partners, and by most AusAID country sector teams, is in its "demand-driven" approach.* AusAID's PAHRODF program was identified by partner organisations as being very "partner-focused", especially when compared with other donor activities. This demand-driven approach and methodology assumes partner knowledge and understanding of the parameters within

which the Facility must operate; these constraints are communicated effectively to partners, and are generally accepted by them.

*PAHRODF's in-country scholarships are considered to be innovative and practical.* Associated issues raised during the evaluation suggest that consideration should be given to maximising the benefits of both in-country and mixed-mode scholarships in any future phases of HR and OD support to the Philippines.

In terms of unintended outcomes (surprises), most respondents were quick to identify several. These included the following:

AusAID Manila personnel were surprised by the enthusiasm of partners for the introduction of local scholarships. They also noted that the Facility has helped to build a productive relationship with JICA.

The MC highlighted the fact that the Organisational Assessment Framework and Change Readiness Assessments have been taken up by LSPs and used on World Bank and other activities (with permission of and with credit to AusAID). The REAPS and Work Place Objectives (WDO) tools are also being by other organisations. They see this as not only expanding the outreach of the Facility beyond partners, but also contributing to strengthening the local consultant training industry.

The Civil Service Commission (CSC) ceased using accredited training in 2005. However, with the increased demand for capacity building, that oversight agency is modelling the PAHRODF process for its own use in accrediting local OD and HRD service providers. (If a Filipino training organisation is already accredited with PAHRODF, the CSC accepts that the organisation is of an appropriate quality, and is then prepared to use the provider for their other OD and HRD programs.)

Involvement with PAHRODF has exposed many LSPs to the government sector. In focus group discussion, the LSPs highlighted benefits such as increased experience, discipline, knowledge and insights – as well as opportunities to see theories and strategies identified in their earlier studies, previous readings and research actually being *implemented in the field*:

*I get paid better outside (government) but I prefer to work with PAHRODF because the work is so important and satisfying... we now keep asking ourselves what is the higher goal we are aiming for - it increases our motivation. It provides us with an opportunity to make things happen.*

In Misamis Oriental, the Local Government Unit (LGU) was initially concerned when the first group of Australia Awardees departed for their studies in Australia, leaving a potential expertise and work gap within their offices, at middle management levels. Unexpectedly, the remaining staff: “stepped up to the plate - they improved themselves! This was a very pleasant surprise. They have been challenged and responded and improved themselves”.

There have also been some negative unexpected outcomes, resulting from the doubts and the comfort of job security being threatened during and following change. In one core agency, the Secretary's program for organisational assessment led to staff fearing they might lose their jobs. As a result, a number of good staff pre-empted the expected rationalisation and potential loss of jobs, and resigned to take up employment elsewhere. This has resulted in the loss of some organisational expertise, although not necessarily in key sectors or sub-sectors.

### **3.3.3 Efficiency**

The PAHRODF Managing Contractor is providing an efficient, quality service. However, there is potential for greater efficiencies - both in terms of management and reporting processes, and consideration of possible additional resourcing to meet expanding demands on Facility services.

The Review assesses the Facility performing efficiently in terms of performance against the three key **Management Objectives**:

**Objective 1:** *To provide efficient and effective targeting of organisations/ Australia Awards-Development Awards (AA-DA) and efficient allocation of resources for the implementation of prioritized PAHRODF interventions.*

*Comment:* consistent with the SoC, the selection and targeting of, and support for, partner agencies are strategic and appropriate; and the organisational development and human resource development interventions have been implemented efficiently. However, there is a view, expressed by both the MC and CSC, that, given the crucial over-sighting role of the Department of Budget Management (DBM), that DBM should also be engaged as a Facility partner. The evaluation team has no firm position on this

proposal from PAHRODF and the FCC, but notes that this will be the subject of further discussions between the MC, the FCC and AusAID.<sup>8</sup>

**Objective 2:** *To provide sound criteria and mechanisms for the engagement of key partner organisations (KPOs)/Strategic Partner Organisations (SPOs) and AA-DA scholars.*

*Comment:* The Facility has implemented processes to achieve this objective particularly successfully - with strong and open communication channels operating between the MC, partners, LSPs, awardees and AusAID. A consistent message given to the evaluation team from partners and other respondents was that they felt that all matters requiring discussion or resolution with PAHRODF personnel could be discussed in an open and professional manner. While some potentially challenging relationship and role issues involving partners and AusAID have arisen, particularly in the Facility's first year, the quality and proactive nature of the relationship building enabled resolution. As one partner indicated: "Our first year was indeed very challenging, but it's now water under the bridge".

**Objective 3:** *To deliver appropriate types and quality of human resource and organisational development (HROD) support to targeted organisations, groups of organisations and individuals.*

*Comment:* The appropriateness and quality of support provided by the Facility is seen as a distinctive feature of PAHRODF. All partners interviewed (apart from OPAPP, which had some reservations concerning one of three PAHRODF interventions implemented by the Facility in that agency) stated unequivocally that Facility personnel are responsive to agency needs. Communications between OPAPP and the managing contractor are on-going to see how the needs of that agency can be better identified and addressed.<sup>9</sup> This will be more readily achieved once a consistent message is provided by senior OPAPP management.

In relation to efficiency of financial management, the evaluation team's ToRs excluded this aspect as it will be the focus of a separate, internal AusAID review. However the general pattern of expenditure flows was considered through a review of recent PAHRODF Annual Plans (2011 and 2012), the PAHRODF M&E Report #4, and in discussions with the managing contractor. As a result of this review, expenditure was noted as being consistent with the scheduled activity roll-out. As a refinement to future reporting, the PAHRODF M&E Team advised evaluators that the percentage rate of "expenditure burn" in comparison to target milestones will be specifically highlighted in subsequent Progress Report summary sheets.

The evaluation included specific guide questions to help assess whether the Facility was demonstrating value for money. An analysis of responses to those questions indicates that there is a consistent view amongst partners that the PAHRODF represents good value for money. In this regard, three areas stand out:

- At a macro level, a number of partners – both central and provincial – looked at access to the Facility from the perspective of opportunity cost. They drew the analogy of the total "pot" of ODA available to the Philippines and the sectoral choices that GoP and donors could make in its allocation. Australia, has chosen to invest a significant proportion of its assistance in human resource development, and particularly, organisational development. Respondents felt that using ODA in this way was timely and responsive to GoP priority needs; in this regard, AusAID is seen as a sector leader.
- In terms of implementation, a consistent message from partners was that the quality (and flexibility) of the training and, in particular, the responsiveness of individual LSPs themselves, represented extremely good value for money. The LSPs and the managing contractor were often said by partners to go "beyond their ToR" in order to ensure quality delivery and agency satisfaction. As noted by one GoP agency head: "We are used to trainers just coming and going. With PAHRODF, the trainers are there all the time – and then afterwards".
- At a micro level, cost savings and administrative efficiencies have been made through developing an accredited, pre-approved list of LSPs. This efficiency saves time in the procurement process. As mentioned previously, the CSC now draws from the PAHRODF list of approved providers; that agency sees any LSP who has been endorsed by PAHRODF as having been sufficiently quality-assured.

<sup>8</sup> The engagement of CSC as Core Partner and its inclusion in the Facility Board as well as the FCC is strategic as it has the Constitutional mandate as the guardian of the civil service of the country. This mandate, however, had been diminished as some powers had been relegated to the Department of Budget and Management (DBM). Among other organisational mandates assigned to the DBM are position classification and salary scale determination, *plantilla* (office composition) determination and others which have budgetary implications. As such, DBM not CSC is in charge of bureaucracy re-organisation. Although DBM is called and consulted whenever necessary by PAHRODF, participation by that oversight agency in the Board and the FCC would assist in furthering the policy reforms.

<sup>9</sup> To deliver appropriate types and quality of human resource and organisational development (HROD) support to targeted organisations, groups of organisations and individuals. OPAPP is an agency which faces particularly daunting challenges in meeting its own objectives. As the GoP agency responsible for most, if not all, negotiations relating to the peace process and resolution of remaining conflict in the Southern Philippines, OPAPP has specific and unique needs in terms of both OD and HRD. Refer also to Section 5.1 of this Report.

An area of discussion during the evaluation involved the costs of LSPs. Some respondents (partner and AusAID) either felt or assumed that fees were generous, when compared with other programs. This had two implications – first, that naturally an LSP would work more efficiently if paid well – and therefore could be expected “to go beyond their ToR”; and second, there was a risk that PAHRODF might “spoil” the local market if paying local consultants above industry rates. In response to the above assertion re fee levels, it was noted that several of the local LSPs indicated that they had accepted a drop in income to work with PAHRODF but did so because they found the work of interest and of broader benefit to the Philippines (more so than their usual work which was mainly in the private sector). Further, the former AusAID Portfolio Manager and the managing contractor both indicated that, in order to attract quality local and international LSPs, an appropriate fee level needed to be established – and paid. The managing contractor emphasised that payments, especially for international consultants, were deliberately within ARF limits.

Facility resourcing, particularly staffing, was identified as a significant concern by the managing contractor. Facility management is cautious about adding more partners into the program, without the provision of additional resources. It was apparent both in discussions with Facility program staff, partners, LSP and alumni that managing contractor personnel regularly perform duties outside office hours, in order to build and maintain relationships, and also, within the scholarships area, provide pastoral care to awardees – both in the Philippines and in Australia.

This attention to relationship building and continuing care must come at a cost: to the life/ work balance of both Facility and AusAID staff; efficiency losses, if staff are taken away from other scheduled duties; and presumably the negative impact on the margins of the managing contractor if other casual or contract personnel need to be assigned to back-fill duties that have been delayed because of unexpected demands on aspects of the Facility’s work. As an effective program whose services and support are eagerly sought by GoP partners, it is likely that further demands will be placed on the PAHRODF team – through the requested expansion in the number of partners, or from additional activities or requests from AusAID or existing partners. There is therefore a significant risk that the Facility may be overwhelmed, or have to implement some activities at a standard which is below their current level of quality.

This issue may require further clarification with AusAID and with existing partners in relation to the agreed scope of the Facility’s responsibilities. Further, the evaluation team believes that an early business process / efficiency review be undertaken to assess current Facility implementation procedures and to determine what, if any, additional resourcing might be required to ensure a continuing high level of service to both OD and HRD partners.

It is already apparent that other efficiency dividends can result from realigning/ compressing the current three key milestone documents: the Annual Plan, the Annual Strategy and M&E Reports. The potential for this is considered below:

### **Issue 1**

In practice, the sequencing of the Strategy Paper Update (now agreed to be a Sustainability Paper & Updates, from Year 3) (September), Annual M&E Report (December /January) and Annual Plan (March) as detailed in the amended Scope of Services (SoS) *is not working efficiently* because of scheduling challenges etc. From Facility experience, the documents end up being undertaken concurrently to some extent, and with a high degree of duplication.

#### *Proposed Solution:*

Neither a Strategy Paper Update nor a Sustainability Paper Update is required in Year 3 and Year 4. Implementation progress, lessons learned and continuous improvement initiatives will be reported in the Annual Plans. Instead, the Facility develops and submits a Phase-Over Paper (Transition Plan) in December in Year 4.

### **Issue 2**

The original Scope of Services required the following six-monthly M&E Reports:

(a) July to December (by end February); and (b) January to June (by end-August). This was subsequently changed, at the request of AusAID, to reflect its own calendar year reporting cycle to an M&E Report covering the prior calendar year – with a draft due by 15 December and final by end-January; a six-monthly update covering the prior January to June – with a draft due by 15 July and final by end-July. Therefore, the M&E Report overlaps two Annual Plan periods (which follow the fiscal year) and, as a result, presents reporting challenges, as the Facility operates on fiscal year cycles. Further, there is a significant, associated risk that the report becomes confusing for readers.

#### *Proposed Solution:*

The Annual Plan (due March) specifically reports on the prior July to December period, from an M&E perspective (in addition to covering M&E from a cumulative perspective since inception - in the lessons learned section).

The Facility submits a full fiscal year M&E Report in August, covering the prior July to June.

### Issue 3

The SoS requires the Facility to submit an annual update of its Gender and Social Inclusion Strategy, which was developed by the Facility for the complete duration of the Facility. However, implementation of the strategy and regular review of its operation has indicated that there will be no need to update the existing strategy annually.

#### *Proposed Solution:*

Strategy updates will be completed only if there are emerging policies, programs and guidelines from the Australian and/or Philippine Government. Any changes to the strategy, arising from updates of AusAID's policies, or to its implementation will be captured in the Annual Plan. In addition, the M&E reports will always cover reporting on Gender and Development (GAD) and Disability issues.

### 3.3.4 Impact

As a capacity building program, recognised by its very nature as a being long-term endeavour, it is too early to assess sustainable impact. Nonetheless, the evaluation did attempt to test this in the interview questioning, through the use of questions including: "Have there been any unexpected outcomes or surprises?"; "Have there been any missed opportunities?" and with follow-up exploratory questioning. In addition, the opportunity to conduct focus group discussions with returning Australia Awards alumni in three locations provided the opportunity to discuss and to capture data concerning changes to their professional and personal lives.

With only minor exceptions, respondents did not feel that there had been any significant missed opportunities as a consequence of their involvement in the PAHRODF program. While the main achievements identified by respondents are outlined in Section 3.3.2, areas which could be considered as already reflecting an immediate impact would include:

- Most partners report that, without PAHRODF, they would have achieved their organisational development goals, but it would have taken much longer. Some agencies noted that the establishment and commissioning of PAHRODF in 2010 was at a particularly opportune time, given current Government of Philippines' HR and OD initiatives. For example:

*[Facility LSPs] have shown us how to recruit on basis of competency, and also linking into other sectors in the communities. We didn't know how to identify gaps, now we do... (DSWD)*

*I see that Australia has played a major role in getting the gears into motion. Australia has started the focus at the local level - that is why other donors and others have noticed what Australia has been doing and they like it. I want this stated for the record! (Governor, Misamis Oriental)*

- The organisational development approach and REAP/SAP model has been adopted by other agencies and other donors (with permission and acknowledgement of AusAID). For example:

*The focus on HR and OD sets it apart from most donor programs. It is the only facility that is specialised and focused in this area. The REAP and SAP concept is very good – the first time I've encountered this (LSP).*

- Returning alumni consistently remarked that they now had much more confidence and a stronger sense of self-esteem. Almost all said their career has benefited. They all valued their studies, learned new skills, networks, ways of thinking and, crucially, many are now in positions where they believe they can, and are, able to introduce change

*Our opinions/ advice are taken seriously and we are now entrusted with more authority and decision-making. (Misamis Oriental Alumni).*

#### **Figure 2: Case Study: AusAID Alumni (Davao Chapter)**

The Davao alumni interviewed were appreciative and highly valued their degrees obtained in Australia. Their education has collectively improved their institutions as well as their personal careers. Many have been promoted to higher positions in the hierarchy of the bureaucracy. For instance, the alumnus from the University of South Eastern Philippines (USEP) was granted a distinction as Center for Excellence in Education by the Commission on Higher Education (CHED) in the past two years. The alumni attributed this to the improvements brought by 30 alumni of Australia Awards. This distinction is usually granted to Normal Schools (schools established as norms for teachers' education) with USEP one of the very few outside the Normal School system. On the other hand, the alumni noted that as a result of their education in Australia, the graduates had widened their outlook in their careers and personal lives, and were given higher responsibilities (and promotion) in their offices. Their views and opinions are valued and respected by their supervisors, especially the Governors as well as by their peers and staff.

The alumni noted that they learned about AA opportunities through their institution's association with AusAID projects such as PRMF, PHRODF and PAHRODF. USEP has a long association with AusAID as it had long been engaged in various education focused projects. USEP is also the lead institution for pre-service training under AusAID's BEAM project.

Apart from initial difficulties in multi-cultural adjustment, the alumni noted general satisfaction in terms of quality of education, learning environment and financial support during their studies.

The alumni appreciated the uniqueness of REAP and SAP as they guaranteed direct application of their learnings on their return to their work environment. They also perceived the implementation of their learnings in the workplace as their way of "repaying" the opportunity given them. One alumnus was particularly proud that his work was featured on the AusAID website. Beyond the REAP and SAPs, graduates support the national organisation (PA3i) which has chapters in the regions. Annual conventions are held (rotated across the regions) to share learning and work experiences and speakers on various topics are invited. The members of the regional chapter meet often and exchange views. They also serve as mentors to both departing scholars as well as those already in Australia, and act as advisers to new awardees on how to live in Australia, often helping them cope with their difficulties, and providing feedback to them updates on development in their workplace.

If there is an area which illustrates a lost opportunity by PAHRODF for making an impact, and where there does not seem to be any significant traction to date, is in the area of social inclusion / disability. The Facility remarked that even though people with disability (PWD) were allocated additional points in the scoring of their applications, there has not yet been much interest shown by this cohort. Nevertheless, when there are PWD applicants identified, the managing contractor works closely with them to help process their applications – including liaison with Australian universities. PAHRODF indicated however, that PWD normally preferred undertaking short courses rather than long-term Australia Award scholarships. (*See Section 3.3.6 below, also*)

The evaluation team highlights this as a potential area for further investigation – perhaps as part of the proposed research / thematic studies envisaged in the Program Design Document – to identify if constraints exist that need to be addressed.

### **3.3.5 Sustainability**

Through a robust design, a sense of strong stakeholder ownership, close program monitoring of performance and risks, and follow-up of lessons learned to date, PAHRODF is appropriately addressing issues of sustainability. A consistent message from partner agencies was that they were confident that the benefits of the Facility's OD and HRD support would be sustainable. Where there was some concerns expressed – although a minority view - these related to political risks to sustainability (e.g., leadership or administration changes) that might result in a reduction to or ceasing of productive internal GoP or agency reforms.

The two main program drivers to promote sustainability were identified as the REAPs and SAPs and the subsequent institutionalisation of reforms through the introduction and implementation of relevant OD reform policies and administrative orders.

The REAPs (for both long- and short-term courses) and SAPs are seen as unique to PAHRODF and are perceived as a key means of supporting sustainability of HR and OD reforms, providing that senior-level support and appropriate systems exist within agencies. According to NEDA, re-entry action plans will become an essential component of the local scholarships program.

The FCC expressed a commonly-held view that the potential for sustainability of PAHRODF's interventions was substantial, because the Facility model “worked on policies and strategies and not just people”. DSWD believes that the expertise and capacity already achieved will be sustainable because:

*the Department is issuing policies on the institutionalisation of the training. This binds us beyond the life of the Facility and beyond the current Executive Committee...Reform strategies have been given to the bureaucracy with prior learning. It's not a management imposition - it's being owned by the organisation.*

At the provincial level there were inconsistent views concerning the sustainability of PAHRODF-introduced reform to OD and HRD practices. Both the Davao del Norte and Aklan LGUs are highly confident that the changes introduced will be sustainable - due to the fact that they have institutionalised many of them, in some cases through legislative orders. They were confident that there was a supportive middle management “on board” who would take the changes through to fruition. In terms of political influence, the LGU respondents highlighted the fact that both the Governor and Deputy Governor would be standing unopposed at the June 2013 election, and so the “champions of change” at the highest level would remain (presumably until the following election).

In contrast, the Governor of Misamis Oriental noted that there will be a new Governor in June:

*The wind of politics at the local level change very fast. This is the number one nemesis of the program - political patronage. Hence the importance of strengthening the systems, intensify it so the institutionalised changes can take root and overcome patronage.*

An unexpected outcome of PAHRODF, and one that supports sustainability, is the emerging core of LSPs who now have experience and knowledge of Philippines Government systems (including establishing new networks) and a practical understanding how organisational development strategies can be used most effectively in reforming government agencies.

Sustainability can be strengthened through the effective linking and use of Australia Award graduates. The alumni association, PA3i, is crucial to Australia Awards' public diplomacy outcomes in the Philippines (and elsewhere), although mechanisms for optimising such outcomes are not yet well established. The Australia Awards Alumni Network policy and guidelines, available in February 2013, will assist in this regard.

In Year Four, the Facility will be required to produce a Phase-Out Paper (Transition / Disengagement Plan) to help ensure a smooth transition and a consolidation of the improvements achieved. As many agencies have commented: “We want to have a strategy that will support the further institutionalisation of change”.



### 3.3.6 Gender equality (and disability)

**Gender equality** is integral to all Australian Government aid policies and programs and is identified as a critical cross-cutting theme across the aid program. The Australian government has committed to remaining a persistent advocate and practical supporter of gender equality.

Through the current PAHRODF program, the Australian government's support for gender equality is reflected in the overarching Australian scholarships policy and goal of providing scholarships equally to male and female recipients, and in its commitment to ensuring complete and genuine participation by women and men in all Facility activities and interventions.

**Figure 3: GoP Gender policies**

The Philippines' Government has articulated its policy commitment by making gender a high priority in key policy documents. Key government gender objectives are outlined in the Philippine Plan for Gender Responsive Development (1995-2025)

- (a) increased economic empowerment of women;
- (b) protection and fulfilment of women's human rights, including access to basic social services; and
- (c) gender responsive governance.

In 2004, the Philippines Government and donors developed the *Harmonized Gender and Development Guidelines* to guide effective programming and to ensure gender equality gaps are identified and addressed. However, to date, effective utilisation of, and reporting on, the guidelines and checklists by both government and donors has been weak. In July 2009, the *Magna Carta of Women* (Republic Act No 9710) was signed into law, and reaffirms, among other rights, women's right to equal access and elimination of discrimination against women in education, scholarship and training, and right to representation and participation.

Nevertheless, further progress will require greater attention from the Government as well as support from the donor community and programs such as PAHRODF. Even though the government has passed laws and administrative guidelines to promote gender equality in the country and many positive outcomes have resulted from these initiatives, gender inequality still persists in many areas of economic, political and social life.

Although the current PAHRODF management or development objectives do not reflect gender equality explicitly, the program has incorporated gender equality into its program activities in all stage of its OD and HRD activities – through its Gender Equality and Social Inclusion Strategy. For instance, gender has been highlighted in the Australia Awards pre-departure program where gender issues have been discussed and guest speakers on gender awareness invited to speak to awardees; also, women in leadership workshops have been planned for scholarships alumni. The Facility Gender Equality and Social Inclusion Strategy provides the framework for promoting and ensuring gender equality, at the practical and implementation levels. Despite the success in maintaining a reasonable gender balance among scholarship applicants and recipients in the Philippines, inequality persists. For example, in 2012, the number of awardees in both the Targeted and Open categories represented roughly twice the number of women as men. Similarly, participants in other PAHROD programs and short courses represent roughly twice as many women as men.

Of the 708 short-course trainees to date, 497 (70%) have been women. This pattern is repeated with scholarships' participation, where women awardees comprise 64% of all awards.

**Figure 4: Scholarships awarded – 2010 to 2013 inclusive**

Intake	Targeted category			Open category					
	Male	Female	Total	Male	Female	Total	Male	Female	TOTAL
2010	27	53	80	NA	NA	NA	27	53	80
2011	30	50	90	18	22	40	48	72	120
2012	40	51	91	12	31	43	52	82	134
2013	26	56	82	7	23	30	33	79	112
<b>Total</b>	<b>123</b>	<b>210</b>	<b>333</b>	<b>37</b>	<b>76</b>	<b>152</b>	<b>160</b>	<b>286</b>	<b>446</b>
<b>%</b>	<b>37%</b>	<b>63%</b>	<b>100 %</b>	<b>24 %</b>	<b>76 %</b>	<b>100%</b>	<b>36 %</b>	<b>64%</b>	<b>100%</b>

While these data may suggest an imbalance which advantages females over males, it must be remembered that progression to senior levels and positions within the Philippines' civil service sector appears to be far more accessible to men than it is to women. And while the raw data on the gender ratio within the civil service demonstrates significantly more women than men, most of these women are employed in lower-level and lower-paid positions.<sup>10</sup>

Facility management, and participating agencies and organisations require Facility and LSP personnel, consultants, advisers and partners to collect quantitative and qualitative sex-disaggregated data, and to analyse and present the results in their reporting - along with the initiatives they have used to improve gender equality. Further, consultants use sex-disaggregated data and identify and address any areas of gender inequality or potential gender inequality in their activities in order to increase gender equality outcomes.

<sup>10</sup> Women employees comprise 61 % of career civil servants (772,027 of 1,261,285), and 37% of non-career civil servants (55,130 of 148,375).

The benefits to the individual, family, community, organisation and/or nation, by both women and men increasing their capacity and reaching their potentials through PAHRODF must continue to be widely promoted - through GoP agencies, CSOs, and other donors – and with OD and HRD activity participants.

The mainstreaming of **Disability** in development is premised on the basic principle that the needs of people with disability should be integrated into development activities, rather than merely establishing special projects for such people. This gives them a critical role in decision-making in development, and projects a rights-based approach, for equal participation. AusAID and its managing contractors are committed to this approach, and across all sectors, implements program- and activity-specific strategies to ensure these critical roles and rights of people with disability are addressed and emphasised.

The strengths of mainstreaming disability are that it enables people with a disability to participate in daily society; it helps decrease attitudinal, institutional and environmental barriers; it is more cost-effective and capable of servicing many more people than charity approaches; and it allows for people with a disability to be independent and make their own decisions for life. It is an inclusive approach, encouraging people with disabilities to be involved as both beneficiaries and decision-makers. It can learn from other mainstreaming efforts, particularly gender mainstreaming (although, in contrast, it currently lacks research on disability-related development issues in general, and on disability statistics in particular).

Facility management has ensured that, wherever possible, people with disability are consulted in any analysis of the facility and component activities. In all negotiations with Australian and regional institutions, Facility management need to ensure that all aspects of the Australia Awards and other HRD and OD mechanisms are accessible to people with a disability; and that partner institutions and GoP ministries are encouraged to abide by their obligations to facilitate the inclusion of awardees and program participants with disabilities.

It is also recommended that PAHRODF personnel ensure that adequate and appropriate information concerning Australia Awards and other human resource development activities are disseminated to people with a disability, through consideration of any or all the following strategies:

- community radio notices and advertisements including verbal contact details - for persons with visual impairments;
- large-print and/or Braille notices and application forms - for potential applicants with a visual disability;
- widespread print notification of the availability of Australia Awards and other training opportunities, including contact mail and email addresses – for persons with an audio / hearing impairment;
- clear mobility access arrangements advised (including a responsive application document delivery and advice service) for persons with a physical disability, who may be unable to access information and application data from usual sources (ministries, the Facility, NGO offices).

All promotional material should enable women and men with a disability to inform the relevant Facility personnel of any assistance they may need in completing or submitting applications for any programs being offered. Application guidelines should clearly state that the purpose of requesting such information is to assist AusAID and potential training institutions to ensure accessibility of the program.

Furthermore, Facility personnel should continue to liaise with the AusAID Disability Inclusive Development Team in Canberra for specific advice and assistance in ensuring equitable access by disabled persons, not only in relation to all Australia Award aspects - application, selection and on-course studies, but also for all other PAHRODF interventions.

Where consultations are held during any assessments or evaluations of PAHRODF programs, Facility management must ensure that women as well as men from all socio-economic strata and vulnerable groups are invited to express their needs, priorities and concerns with regard to the program's operations, outreach and success (or otherwise) in involving such groups and individuals meaningfully.

### **3.3.7 Monitoring and evaluation**

The Facility M&E arrangements are appropriate, adequate and effectively measuring progress towards objectives. Recommended improvements include further streamlining of reporting formats, and, crucially, the generation and subsequent dissemination of learning through the roll-out of milestone evaluations that focus on the success and challenges of the PAHRODF capacity building model.

The Facility' M&E arrangements were appraised by the evaluation team through:

- Document review - the original 2009 PDD MEF, the current MEF (revised in February 2011 by an AusAID external M&E specialist), M&E Reports #3 and #4, the 2012-13 Annual Plan and the 2012-13 Strategy Paper, and sample of partner OD Plans.
- Briefings and working sessions with the Facility M&E team, including joint consideration and analysis of the planning, preparation, data collection, analysis and findings of the 2013 M&E #4 Report.
- Appropriately targeted interview guide questions to AusAID, FCC and partners.



On the basis of the appraisal, the Review considers that the current M&E arrangements are clear, practical, systematic and professionally implemented. The MEF is clearly linked to the underlying program logic/design and is able to produce timely, quality qualitative and quantitative performance information on progress towards both development objectives and the management objectives. Lessons learned and potential risks are identified, tracked, reported and actioned. The PAHRODF M&E team is attempting to add refinements to reporting formats, and is currently designing a system for web-based access. This is a positive step (consistent with the Knowledge Management strategy) but will need appropriate protocols established to control levels of access and to protect client confidentiality.

A real strength of the system is the results-based approach it uses, featuring a limited number of practical and relevant key performance indicators, establishing clear initial baseline and realistic targets and then systematically monitoring movement from those baselines to the targets. As a capacity building model, the results-based system is appropriate, especially as the baseline data and targets are institution-specific and generated through the organisational assessments.

A key line of questioning during evaluation interviews addressed whether the M&E outputs (reports, presentations) were seen as useful to AusAID, FCC and partners. For AusAID, an important internal performance tracking tool is the Quality at Implementation (QAI) Report which relies heavily on timely, relevant and credible information produced by the MEF. AusAID staff confirmed that information received from the managing contractor was appropriate. The FCC indicated that M&E outputs (formal reports and briefings) were helpful in supporting their oversighting role, although noting that the FCC meeting documents could be distributed earlier to allow a more thorough consideration. Partner organisations were, understandably, less interested in overall Facility progress information - and more interested in knowing how their own agency was progressing towards workplace development objectives (WDO) targets. Where there has been M&E capacity building of partner staff by PAHRODF personnel or LSPs, this support was appreciated and valued.

Opportunities for future improvements include further streamlining of reporting formats. Currently, M&E Reports (although concise and easy to read, and with executive summaries and efforts to condense information into “dashboard” and “story boards”), remain substantial documents. M&E Report #4, for example, extends to 55 pages, including annexes. The size and format has obvious implications for effective dissemination beyond the keen or committed reader of program documentation. .

A crucial issue currently, given that the full capacity building cycle (three years) is approaching, will be to move from what have been primarily monitoring activities, to include the rollout of scheduled and *ad hoc* evaluation studies. (*This is addressed further in Section 3.3.8.*) The Facility is currently preparing to conduct a mid-term review of the interventions related to DepED. This planned evaluation will: (a) assess whether the Facility is on track to improve the targeted capacities and competencies DepED identified during the organisation assessment process (results monitoring); and (b) assess whether the interventions are being implemented as planned (implementation monitoring). The review is also meant to gather lessons and provide an initial template for reviewing the Facility’s assistance to other KPOs - which will also be conducted during 2013.

### **3.3.8 Analysis and learning**

Lessons learned during implementation to date have been actively captured in Facility milestone reports (Annual Strategy, Plans, M&E Reports) and any necessary actions subsequently acted upon. The learnings identified address both management and technical learning. Much of the application to on-going improvement has derived from the experience of the LSPs embedded in partner agencies, together with the progressive development and improvement of Facility-wide relationships, and establishing open communication channels.

Given the overall effectiveness of the PAHRODF model, it is surprising that there has been only limited dissemination regionally and globally of its positive outcomes; an effective Knowledge Management strategy is essential to inform other programs considering a similar approach. And while the Facility faced a number of challenges in its first year of implementation, particularly given the expanded scope from its predecessor, these challenges have been readily addressed and resolved.

The MEF recommends a series of evaluation activities; these should now be actioned. Suggested methodology includes case studies of each partner organisation, which would yield trend data, patterns and thematic analysis, not only across individual partner organisations, but also across the five-year lifespan of the Facility. Key evaluation questions to guide the analysis are outlined in the MEF<sup>11</sup>, but need to be implemented in 2013, as they reflect a clear and comprehensive approach to capturing important learning on the PAHRODF model.

<sup>11</sup> Refer MEF, p. 33 and MEF, Appendix 6

Following are some (*refined and/or further defined*) snapshots of the planned thematic analyses included in the MEF:<sup>12</sup>

- What are the gains?
  - What is the extent of attainment of the WDOs of partner organisations – *individually and as a cohort of like organisations?*
  - Impact level gains – *on individuals and sections within a targeted agency*
  - Organisational outcome level gains – *impact on client services*
  - Organisational capacity level gains – *and sustainability*
  - Competency level gains – *individual and group.*
- What is the trend in the journey towards organisational excellence?
  - How are changes installed? implemented? institutionalised?
  - What is the extent of improvement? What are the gains in the WDOs?
  - What is the story behind the improvements in ratings in capacities and competencies? *How much can be attributed to PAHRODF interventions? How much do external factors or a changing environment and readiness levels?*
  - What are common trends in improving capacities and competencies? *Are some agencies more attuned to accepting the need for improvements? How readily are “difficult” agencies accepting the competencies approach?*
  - What are the facilitating and hindering factors in the installation, implementation and institutionalisation of change initiatives on a per-capacity area?
- What are effective PAHROD interventions?
  - Why are they effective? *Which interventions suit which agencies/ levels?*
  - In what areas of evaluation are they rated highly? efficiency? relevance?
  - Why did they work? Did not work? *What could have made them work better? What failures can be attributed to factors external to PAHRODF?*
  - What are the perceptions of key stakeholders on the PAHROD interventions? *How do PAHRODF interventions compared with other donor activities of a similar nature?*
- How does quality of engagement lead to the installation, implementation and institutionalisation of targeted improvements in capacities? *What are the unique aspects of specific agencies which have resulted in a better (or worse) engagement than in other agencies?*
- Integration requirements – *including successful / unsuccessful LSP approaches; commonalities across like agencies and sections?*
- Sustainability of gains – *individual, group, agency? Impact of 2013 elections; maintaining commitment? Maintaining skills?*
- Administrative requirements – *Facility capacity? Manila Post /team capacity? Impact of changes to Australia Awards; How is Pa3i best supported? What are the Pa3i transaction costs? Do these represent value for money?*
- What are the lessons learned?
  - Actions taken by KPOs/SPOs to continuously improve installation, implementation and institutionalisation of targets in the WDO of the HROD intervention/s? *in the conduct of applied research on OD, completion of KM products on OD, adoption of future HROD interventions*
  - What to do differently? *How have the PAHRDF lessons learned impacted PAHRODF? Are the lessons learned impacting current agency strategic directions – or AusAID only?*
  - What are some implications of the PAHRODF experience in institutionalising reforms in the Philippine bureaucracy? *for Philippines? for region? globally? How easily transferable are they? Has strategic and informed knowledge management been used as an effective tool in this regard?*

Gender and related inclusion issues will need to be clearly integrated into all these questions, including: ensuring the collection of gender disaggregated data; assessing the “gender” capacity and mix of partners; exploring how leadership does (or does not) lead to gender positive outcomes.

AusAID’s Strategic Programming and Investment Policy section has signalled a desire to source funding for research studies to be undertaken in the area of capacity development; these studies can (and should) complement the internal evaluation studies outlined in the Facility MEF.

<sup>12</sup> Elaboration of the MEF “snapshots” by the evaluation team is *included in italics*

## 4. EVALUATION CRITERIA RATINGS

Figure 5: Evaluation criteria and ratings

Evaluation Criteria	Rating (1-6)	Explanation
<b>Relevance</b>	6	Fully consistent with SoC and represents a demand-driven approach
<b>Effectiveness</b>	5	On track to meet target outcomes. Strong sense of stakeholder ownership and clear progress from baseline towards target. Replication of the model outside PAHRODF is evidenced
<b>Efficiency</b>	5	Professional level of implementation by Managing Contractor and LSPs. Value-for-money identified clearly as a significant component of the approach. Care needs to be taken to ensure facility and Post team efficiency is not compromised by increasing demands on available resources.
<b>Sustainability</b>	5	Based on REAPs/SAPS, strong ownership, and focus on clear commitment – by Facility and partners – to institutionalisation of strategies and policies
<b>Gender Equality</b>	5	Very supportive of women, consistent with relative numbers of women within Government. Scope for further study into reasons males are not applying for or receiving awards. Increased engagement of PWD and other inclusion group participants should be further emphasised
<b>Monitoring &amp; Evaluation</b>	5.5	Robust MEF systematically being implemented, producing valuable performance information tracking - both development and management objectives. Scope for reporting enhancements and evaluation roll-out in Years 4 and 5 of current contract.
<b>Analysis &amp; Learning</b>	4.5	Internally demonstrates quality outcomes in relation to lessons learned and commitment to continuous learning. Opportunities for further research exist, while development of a comprehensive Knowledge Management strategy and its roll-out in Years 4 and 5 will disseminate the model more widely.

Satisfactory		Less than satisfactory	
6	Very high quality	3	Less than adequate quality
5	Good quality	2	Poor quality
4	Adequate quality	1	Very poor quality

## 5. CONCLUSION AND RECOMMENDATIONS

### 5.1 Conclusion

The evaluation team's approach to meeting the requirements of the ToR involved determining, then adhering to an open-minded, yet inquiring, inspective and analytical methodology. Team members acknowledged that evaluation methods are well-defined by AusAID – and have used the AusAID format / structure suggested for *Independent Progress Reports (Ref #154)* to structure this Evaluation Report – with some minor adaptations, given the specific and targeted nature of this activity. However, throughout, the evaluation team's focus has remained on the key AusAID assessment criteria:

#### *Relevance*

The Team considered this criteria at two levels: first, PAHRODF's relevance generally as an effective development instrument in the Philippines' context (refers to questions of rationale and questions of strategy; i.e. does the funding of a number of different and disparate projects sum up to more than its individual parts?). Second, the Team consider PAHRODF's relevance as an instrument within the scope of intervention options open to AusAID.

#### *Effectiveness*

In logframe terms, this refers generally to the extent to which outputs are on track and/or have been achieved. In any donor-supported program, there can be a tendency for a disconnect between the program theory of change, the program logframe, and individual activity or project goals and objectives. This can clearly result in a breakdown to the "logic" path - from individual activities, up to program outputs, to overall impact/s. The PAHRODF evaluation team looked both at the systems being used for *output and objective setting* at program and activity levels, as well as assessing *performance against targets*.

#### *Efficiency*

This has involved consideration of issues of cost-effectiveness, timeliness, and organisational performance. However, the Team also made initial comparisons with performance indicators used in other similar OD and HRD programs. This involved a close review of the efficiency (and effectiveness) of the PAHRODF decision-making and governance processes and structures.

#### *Impact, Lessons learned, and Sustainability*

While the evaluation team was not expected to undertake impact assessments *per se* as part of the evaluation, impact is, nevertheless, a critical issue for every development activity. Accordingly, this involved a thorough consideration of PAHRODF systems; how those systems are used in practice; and an assessment of initial, individual agency impact data. From field visits, the Team was able to confirm (for the most part) that provincial approaches are consistent with those emerging from the overall program M&E processes embedded in the MEF. However, given the current stage of PAHRODF implementation, the evaluation team was focused more on appraisal and validation, than on impact assessment *per se*. (Refer also to Section 5.2 below)

#### *Cross-cutting themes*

Throughout the evaluation, the team remained vigilant to all explicit cross-cutting issues relevant to the goals, objectives, management and operations of PAHRODF, including: gender, disability, governance, environment, sustainability, and anti-corruption, amongst others. However, the team did not conduct specific and detailed audits or assessments of cross-cutting thematic areas.

The participation by three representatives of AusAID Canberra provided the opportunity to optimise their sector and sub-sector expertise and experience. This proved to be particularly effective in assessing identified and specific focus areas of *Capacity Development, the Southern Philippines Framework Agreement, and Australia Awards & Volunteers*. Particular aspects of the PAHRODF program which have direct relevance and implications for those areas are considered briefly in the section below.

### 5.2 Analysis of selected PAHRODF themes

#### **5.2.1 Relevance of current PAHRODF approaches for capacity development**

AusAID has a well-established policy on capacity development, and the work of the Facility has been compared to the AusAID policy and to the principles espoused in that policy.<sup>13</sup> Overall the Facility closely aligns with AusAID's broader capacity development policies and is to be commended.

<sup>13</sup> Only the key areas where the Facility aligns with the policy have been highlighted in this sub-section

Much of the work of the Facility seems to be supporting endogenous capacity development efforts, or supplying the technical knowledge to support a desire for change. While the Facility does have a program of change, and is also fairly carefully targeted to align with other AusAID programs and the SoC, the interventions undertaken are chosen by the partner organisations. While it is therefore not a totally demand-driven process, it is definitely influenced by the desires of the partners.

The approach taken to training, whereby outputs (articulated in REAPs) are expected from any training inputs, is best practice. Training is part of a broader package, and not a stand-alone mechanism. A range of capacity development interventions are used, and there does not appear to be a strong reliance on advisers, which aligns with AusAID's approach to capacity development.

In focussing on the organisation level, the Facility is also in line with AusAID policy: it is not enough to develop the capacity of individuals or teams in order to improve service deliver and sustain change - the whole organisation must be considered.

One area which the Facility or AusAID could strengthen is in terms of considering the enabling environment more carefully. This need became apparent in a number of interviews. AusAID policy stresses the importance of considering the enabling environment, or understanding the political economy when considering capacity development.

The Facility is working within the absorptive capacity limits of the organisations with which it partners, and schedules interventions to work with these constraints. While the pace may be slower, the results are more likely to be sustainable: AusAID recognises that capacity development takes time. The processes used by the Facility are based on strategies to institutionalise the changes, which will increase the chances of sustainability.

Moreover, it is strongly suggested that AusAID's capacity development area undertake further research on the Facility's work, to learn from its success and understand principles and practices that may be replicable across other AusAID programs.

### **5.2.2 Southern Philippines Framework Agreement: Implications for PAHRODF**

On 15 October 2012 the Government of the Philippines and the Moro Islamic Liberation Front (MILF) signed the historic Framework Agreement for Bangsamoro (FAB), offering real hope that the decades-long conflict in Mindanao, Southern Philippines could be drawing to an end.<sup>14</sup>

The FAB commits the Philippine Government and the MILF to significant reforms to the governance structure of Mindanao, calling for the establishment of a new political entity called the Bangsamoro. This will replace the current Autonomous Region of Muslim Mindanao (ARMM).

The FAB devolves real authority to the Moro people to manage their own political, financial and security affairs. There will be four main stages of the transition from ARMM to Bangsamoro:

- (1) Drafting of the Basic Law (6-12 months)
- (2) Period of transition under the Bangsamoro Transition Authority, to be led by the MILF (2014–2016)
- (3) The establishment of the Bangsamoro Government (May-June 2016)
- (4) New Government thereafter (post-July 2016)

The capacity development needs of the Bangsamoro are likely to be huge. The MILF, historically an insurgent group, will be making a foray into government; the capacity of former Commanders and insurgents to draft laws and lead a government will be tested.

PAHRODF is the natural program to respond to these needs, and to help in the long-term capacity development of the Bangsamoro. Existing PAHRODF interventions in Mindanao are limited, and PAHRODF does not engage directly with the government of ARMM. The FAB presents a huge opportunity for increased AusAID engagement in the region.

Conversely, if the FAB were to fail, conflict can be expected to resume in Mindanao, as has been the effect of other breakdowns in peace negotiations. AusAID would then have to reassess the feasibility of continuing programs in such an environment, and there is always the risk of economic loss.

<sup>14</sup> The MILF has been pursuing a separatist insurgency in Mindanao since 1984. An estimated 120,000 people have been killed as a result of the conflict, with many more displaced. Peace negotiations between the Philippine Government and the MILF began in 1996 but have consistently fallen through. President Aquino has prioritised peace negotiations with the MILF since his election in June 2010. He drew domestic criticism for meeting with the MILF Central Committee Chairman, Al Hajj Murad Ibrahim, in Tokyo in August 2011, becoming the first Philippine President to do so. He personally set the parameters for the negotiations, insisting that the transition to the Bangsamoro take place before he leaves office in 2016. The negotiation of the FAB demonstrates the commitment of both the Philippine Government and the MILF to establishing sustainable peace, economic development and improving security and governance.

### 5.2.3 Australia Awards and AVID – continuing relevance for PAHRODF

Australia Awards in the Philippines (recently known under names such as Australian Development Scholarships -- ADS and Australian Leadership Awards Fellowships – ALAFs) have a long history as important elements of Australia's bilateral aid program to the country. The Manila Post's management of these awards for study in Australia has, for many years, been acknowledged by AusAID's Australia Awards Scholarships and Fellowships Section in Canberra as being of a high standard, with a dedicated and engaged staff.

The approach of PAHRODF in having Australia Awards targeted at the Facility's partner organisations is fully consistent with the Australia Awards Scholarships and Fellowships Section's aim of having awards in a country or region closely aligned with the relevant country or regional strategy.

By grouping the awards in the Philippines to a limited number of target organisations, and having these awards address the organisation development priorities of these organisations, the awards can have catalytic effects.

The re-entry action plans (REAPs) under PAHRODF are in accordance with the reintegration action plan concept that is being rolled out as an AusAID-wide initiative for the Australia Awards. The Facility's work on alumni is supporting the current emphasis on strengthening Australia Awards alumni associations.

The Australia Awards intake for the 2014 academic year for the Philippines is expected to be approximately 120 awardees (of which no fewer than one-half will be women). Of these, 70% of awardees will be representative of the Public Sector (and thus PAHRODF partner organisations), and the remaining 30% will be from the Open category, targeted at individuals in the public and private sector planning to pursue post-graduate studies in the identified priority sectors. Approximately 90% of (all) awards will be for Masters Degrees and 10% for PhD/Doctoral Degrees.

*Volunteers:* The Australian Volunteers for International Development (AVID) program, including its Australian Youth Ambassadors for Development (AYAD) stream, operates in the Philippines. In 2012-13, there are expected to be 69 new assignments in the Philippines, managed by Austraining International and Australian Red Cross as AVID core partners. An objective of AVID is capacity development and institutional strengthening, both of which align particularly well with PAHRODF's Development Objectives. The AVID program is designed to support implementation of AusAID's country and regional strategies.

Having PAHRODF and AVID – two capacity development programs in the Philippines – coordinate their activities would allow synergies and multiplier effects to develop. For example, AVID could target the Facility partner organisations, particularly those areas that are releasing staff for study in Australia. In this way, Australian volunteers could contribute to organisational capacity development (although not necessarily backfilling specific positions) in identified partner organisations while their staff are absent undertaking long-term studies in Australia.

## 5.3 Findings

AusAID can be very satisfied with its implementation of PAHRODF and be prepared to acknowledge that the Facility represents a successful program, of which some aspects are transferable to other AusAID programs elsewhere.

The activity is clearly on track to meet its goals and objectives by 2015 and, while minor operational issues were identified by some partners and confirmed by the evaluation team, these issues<sup>15</sup> should not detract from the overall positive tone of the findings contained within this report.

A summary of these findings, categorised as either *partner relationships*; *policy and strategic alignment*; or *facility mechanisms and interventions*, follows:

### 5.3.1 Partner relationships

- (a) **PAHRODF's strength, as perceived by all partners, and by most AusAID country sector teams, is in its "demand-driven" approach.** The AusAID PAHRODF program was identified by partner organisations<sup>16</sup> as being very "partner-focused", especially when compared with other donor activities. This demand-driven approach and methodology assumes partner knowledge and understanding of the parameters within which the Facility must operate; these constraints are communicated effectively to partners, and are generally accepted by them.

<sup>15</sup> These issues have been discussed with both AusAID Post and PAHRODF for resolution where possible.

<sup>16</sup> The OPAPP representative, although critical of one PAHRODF intervention, was satisfied with three other PAHRODF interventions. This issue was discussed with PAHRODF during the validation meeting.

- (b) **PAHRODF is valued by partners.** The Facility's partners see the model, approach and their on-going engagement as being "different to other donors", in that the participating agencies are more empowered when working with the Facility. Working closely with the Facility (managers and LSPs), partners are able to identify the HRD and OD challenges for which they are seeking PAHRODF / AusAID support - rather than being presented with a development program in which they have little input or intellectual investment.
- (c) Most partners report that, **without PAHRODF, they would have achieved their organisational development goals, but it would have taken much longer.** Some agencies noted that the establishment and commissioning of PAHRODF in 2010 was at a particularly opportune time, given current Government of Philippines' HR and OD initiatives.
- (d) Although previous AusAID and other donor interventions have provided HRD support, including some training, **PAHROD's additional value is perceived to be in its OD approach.** Of particular benefit to partner agencies have been the initial organisational development scans and assessments commissioned by the Facility, and completed successfully by its LSPs. Many agencies note that AusAID's PAHRODF program is the first co-ordinated organisational development program for government agencies in the Philippines. There is no doubt that the expansion of the earlier PAHRDF role from supporting individual HRD, to now providing the framework for broader OD support is warranted, and timely.

### 5.3.2 Policy and strategic alignment

- (e) **PAHRODF aligns with the Statement of Commitment.** Stronger communications between AusAID and the Facility about the purposes of the *Delivery Strategy* will assist in addressing Facility concerns in this regard.
- (f) The **Theory of Change and Program Logic remain valid**, provided their application continues to be flexible, allowing for different / dynamic organisational circumstances and the political context. Systematic monitoring and effective communication channels that are currently in place enable on-going modifications, where necessary.
- (g) **PAHRODF M&E arrangements are clear, practical, systematic and professionally implemented.** The Facility is producing timely, quality performance information. There is a commendable culture of M&E within the Facility with outreach into partner agencies. Opportunities for future improvements could include knowledge management, streamlined reporting formats, and milestone evaluations.
- (h) There is a consistent view amongst partners that **PAHRODF represents value for money** – in particular, in two areas: (a) the LSPs and the managing contractor often undertake related activities beyond their ToR, in order to ensure quality delivery and agency satisfaction<sup>17</sup>; and (b) seen at a macro level, the deliberate decision of AusAID to invest scarce development funds in organisational development, rather than other forms of ODA. In this regard, AusAID is seen as a sector leader.
- (i) Given the effectiveness of the PAHRODF model, it is surprising that there has been only limited dissemination regionally and globally of its positive outcomes; an effective **Knowledge Management strategy is essential to inform other programs considering a similar approach.** While the Facility faced a number of challenges in its first year of implementation, particularly given the expanded scope from its predecessor, these challenges have been readily addressed and resolved.
- (j) The organisational development approach and **REAP/SAP model has been adopted by other agencies** and other donors (with permission and acknowledgement of AusAID).

### 5.3.3 Facility mechanisms and interventions

- (k) **PAHRODF's in-country scholarships are considered to be innovative and practical.** Associated issues raised during the evaluation suggest that consideration should be given to maximising the benefits of both in-country and mixed-mode scholarships in any future phases of HR and OD support to the Philippines.
- (l) The **REAPs (for both long- and short-term courses) and SAPs are seen as unique to PAHRODF and very useful**, and are perceived as a key means of supporting sustainability of HR and OD reforms, providing that senior-level support and appropriate systems exist within agencies.
- (m) The PAHRODF Managing Contractor is providing an **effective and efficient service through its LSPs, certainly** given the limits of the resources available and allocated under the contract with AusAID. In this regard, the facility management is cautious about adding more partners into the program, without

<sup>17</sup> The term *Return on Investment (RoI)* was used by several partners.

additional resources. This broader issue will require clarification with existing partners in relation to the scope of the Facility's responsibilities. Similarly, challenges associated with increasing demands on Facility services by AusAID sectoral areas need to be resolved as soon as possible, to maintain program efficiency and quality.

- (n) The **alumni association PA3i is crucial to Australia Awards' public diplomacy outcomes**, although mechanisms for maximising such outcomes of the association are not well established; the Australia Awards Alumni Network policy and guidelines, available in February 2013, will assist in this regard.
- (o) In **one sector only, different perspectives exist between the partner and the relevant AusAID team concerning the flexibility of PAHRODF**: the *partner* believes the model is highly flexible as both the Facility and (almost all) LSPs have been willing, skilled and effective in adjusting and adapting to internal Government of Philippines organisational circumstances to meet specific agency needs; however the relevant *AusAID team* perceives the facility model is inflexible in terms of not having the capacity to include additional sectoral initiatives – when requested by that team.<sup>18</sup>
- (p) All partners interviewed (apart from OPAPP, which had some reservations concerning one of three PAHRODF interventions) stated unequivocally that **communication channels between themselves and the managing contractor are now very effective** and that the Facility personnel are responsive to agency needs. This improved relationship developed progressively during the first year of PAHRODF implementation.
- (q) Having **PAHRODF and AVID coordinate their activities** would allow synergies and multiplier effects to develop. For example, AVID could target the Facility partner organisations, particularly those areas that are releasing staff for study in Australia. In this way Australian volunteers could assist (although not necessarily backfill) these areas while their staff are absent.

## 5.4 Recommendations

While acknowledging the widespread positive perceptions of the work of PAHRODF, and the evaluation team's analysis of documents, processes and the monitoring and evaluation strategies which confirms this, there are, nevertheless, some program enhancements which are recommended. These enhancements will seek to improve program efficiency and effectiveness, and subsequently program impact, during the remaining two years of program life.

### 5.4.1 Recommendations relating to PAHRODF Development Objectives

- Recommendation 1** Given that the full capacity building cycle (three years) is approaching, Facility M&E personnel should move from what have been primarily monitoring activities, to include the rollout of scheduled and *ad hoc* evaluation studies.
- Recommendation 2** The series of evaluation activities recommended in the MEF should now be actioned, including possible case studies of selected partner organisation, to yield trend data, patterns and thematic analysis, not only across individual partner organisations, but also across the five-year lifespan of the Facility.
- Recommendation 3** AusAID's Strategic Programming and Investment Policy section should be asked to undertake further research on the Facility's work, to learn from its success and understand principles and practices that may be replicable across other AusAID programs.
- Recommendation 4** AusAID and PAHRODF should consider the enabling environment more carefully; AusAID policy stresses the importance of this approach, and of understanding the political economy, when considering capacity development.
- Recommendation 5** If capacity exists within current Facility resourcing levels, consideration should be given to identifying appropriate opportunities to undertake specific institution building support – through linkages between Australian and Philippines universities and related sector bodies.
- Recommendation 6** PAHRODF should seek AusAID support to undertake an initial assessment of the potential to introduce a pilot Philippines' program involving split- or dual-degree delivery of Australia Awards Masters and Doctoral studies.<sup>19</sup>

<sup>18</sup> This issue may have resulted from the imposition of the Facility of strictly enforced annual planning processes and associated timelines.

<sup>19</sup> Potential exists for recent scoping of split/dual degrees in Indonesia to inform any agreed PAHRODF pilot program.



- Recommendation 7** PAHRODF should increase its direct support for PA3i, within the emerging global Australia Awards Alumni network, while acknowledging the unique challenges a widely-dispersed alumni can present, and remain conscious of the high transaction cost of some alumni involvement strategies.
- Recommendation 8** AusAID should explore appropriate and cost-effective strategies in which the PAHRODF and AVID programs could collaborate to enhance capacity development in targeted organisations.
- Recommendation 9** PAHRODF should identify preliminary strategies that could support organisational development and effective responses to HRD needs in Mindanao, *should circumstances permit*.
- Recommendation 10** PAHRODF personnel should ensure that adequate and appropriate information concerning Australia Awards and other human resource development activities are disseminated to people with a disability, through consideration and use of appropriate strategies.

#### **5.4.2 Recommendations relating to PAHROF Management Objectives**

- Recommendation 1** AusAID should scope and implement a business review / efficiency audit to reassess current Facility implementation procedures and workloads, and what (if any) additional resources are required by PAHRODF (and AusAID Post) if the current trend in increased demands on services continues.
- Recommendation 2** Through discussions between AusAID and PAHRODF, differentiation between the services available to and provided by the Facility, to KPOs and to SPOs, should be defined and communicated to all stakeholders.
- Recommendation 3** Facility reporting formats and documents should be streamlined through realigning/ compressing the current three key milestone documents: the Annual Plan, Annual Strategy and M&E Reports.
- Recommendation 4** Facility personnel should identify and implement appropriate communications' strategies to improve broader awareness of AusAID's PAHRODF role at and across senior Philippines Government levels, in KPOs, SPOs and other (non-partner) agencies.
- Recommendation 5** AusAID, PAHRODF and SCS should investigate collaboratively (a) opportunities for including DBM as a member of the Board and/or FCC, and (b) that agency's potential role as a (GoP oversight agency) KPO or SPO able to access PAHRODF support.
- Recommendation 6** PAHRODF should ensure timely distribution of FCC meeting documents to allow a more thorough consideration by Committee representatives.
- Recommendation 7** AusAID and PAHRODF should identify basic and cost-neutral strategies that will provide better communications and coordination across the Facility and with managing contractors and AusAID sector teams at Post responsible for other AusAID program activities in the Philippines.
- Recommendation 8** PAHRODF should propose an effective Knowledge Management strategy, for potential endorsement by AusAID to inform other programs considering a similar approach to organisational development and human resource development interventions, regionally and globally.

## **ANNEXES**

**Annexe 1: Schedule of meetings and persons consulted**

Date	Planned time/ activity
Mon 19 Dec to Wed 13 Dec	Initial Scoping meetings – AusAID and Managing Contractor
Thu 13 Dec to Sun 20 Jan	Preparation for in-country 2013 mission
Mon 21 Jan	AM/PM: Consultants and AusAID Canberra Team travel to Manila 19.00: Evaluation Team (external) Meeting in Manila
Tue 22 Jan	8.00: Breakfast meeting – Consultants with Canberra Team (Location - Ground floor, AusAID building) 09.00-11.00: AusAID and Evaluation Team Briefing to check for updates (Conf. Room) 11.30-12.30: Meeting with DRM/CCA Team (Conf. Room) 14.30-15.30: Meeting with Social Protection Team (Training Room) 15.30-16.30: Meeting with Mindanao Team (Conf. Room) 16.30-17.30: Review Team internal meeting (Conf. Room)
Wed 23 Jan	0900-1000: Meeting with AusAID Subnational and PRMF Team (Conf. Room) 1100-1200: Meeting with Managing Contractor (HRODF Office) 1400-1530: Meeting with FCC (HRODF Office) 1600-1700: Meeting with four (4) LSP currently active in program support (e.g. Peoplesparx and DevConsult; Cecile Panadero, Tes Tolosa, Joel Lasam, Bobbie, etc.) in independent venue (CCA at Podium, Ortigas)
Thu 24 Jan	09.00-10.30: Meeting with DSWD (DSWD) 13.30-15.30: Focus Group Discussions (FGD) with Disaster, Climate Change, Environment and related agencies (NAMRIA, OCD, PAGASA, PHIVOLCS, etc.) (PhiVOLCS) 16.30: External Consultant Team analysis of progress / issues to date
Fri 25 Jan	10.00-10.30: TeleConference with Rod Sollesta (AusAID Office) 10.30-11.30: Meeting with AusAID Education sector team (AusAID Office) 13.00-14.30: Meeting with CSC (CSC) 16.00-17.00: Evaluation Team internal meeting (HRODF Office)
Sat 26 Jan	Planning /drafting of initial report structure and annexes material by team members
Sun 27 Jan	AM: As above for 26 January 15.00: Team B: Flight to Davao
Mon 28 Jan	12.30-13.30: Meeting with OPAPP (Manila) 14.00-16.00: Meeting with DepEd (Manila) 19.00-20.35: Flight to CDO
Tue 29 Jan	09.00-11.00: Meeting with Misamis Oriental LGU 13.30-14.30: Meet with selected (4-6) alumni 17.35-19.05: Flight to Manila
Mon 28 Jan	08.00-10.00: Travel to Tagum 10.00-11.30: Meetings with Davao Del Norte LGU 12.00-13.00: Meet with HR coach of HRODF 13.00-18.00: Return to Davao City 19.00-20.30: Meeting with Alumni President and four+ Davao Chapter members
Tue 29 Jan	07.15-08.35: Flight to Kalibo 10.00-11.30: Meeting with Aklan LGU 12.00-13.00: Meet with HR coach of HRODF 16.30-17.30: Flight to Manila (NOTE: No Kalibo Alumni formed yet)
Mon 28 Jan	12.30-13.30: Meeting with OPAPP (Manila) 14.00-15.30: Meeting with DepEd (Manila)
Tue 29 Jan	08.35-09.50: Flight to Iloilo 10.00-11.30: Airport to Guimaras by land and ferry 13.30-15.00: Meeting with Guimaras LGU 15.00-16.00; Meet with 4-5 alumni

Date	Planned time/ activity
	16.30: Ferry to Iloilo
Wed 30 Jan	<i>Team C only: 09.15-10.20: Flight to Manila</i> 13.30-15.00: Meeting with DILG (Manila) 15.30-17.30: Evaluation Team meeting (all members) 17.30-22.00: External Consultants prepare draft <i>Aide Memoire</i>
Thu 31 Jan	08.30: Meeting with Minister Counsellor 9.00: Meeting with AusAID – progress report and discussion of initial findings, provincial meetings (field visits) and proposed content of <i>Aide Memoire</i> (Conf. Room) 11.00: Meeting with Coffey for initial findings validation (HRODF Office) 13.00: Consultant Team preparation of draft report on field visits & finalising <i>Aide Memoire</i>
Fri 1 Feb	9.30: Meeting with AusAID; debriefing Minister Counsellor and Counsellor; presentation of <i>Aide Memoire</i> (AusAID Conf. Room) 14.00: Wrap-up meetings with AusAID and stakeholders (AusAID Conf. Room)
Sat 2 Feb	Evaluation Team (external consultants) meeting for planning any outstanding issues relating to report preparation; Drafting document
Sun 3 Feb	Consultants return to home bases
Sat 9 Feb	Draft Evaluation Report due
Tue 26 Feb	Final Evaluation Report due

<b>AusAID Manila, 22 Jan</b>	
<b>Disaster Reduction Management / Climate Change Adaptation (DRM/CCA) Team</b>	
Anne Orquiza,	A/g Portfolio Manager
Erika Montero	Ex Portfolio Manager
<b>Social Protection Team</b>	
Rosela Agcaoili	Senior Program Officer
Evelyn Daplas	Portfolio Manager, Education (1)
Andrew Parker	Social Development Adviser
<b>Mindanao Team</b>	
Sam Chittick,	Governance Adviser
Evelyn Daplas	Portfolio Manager, Education (1)
<b>Sub National / PRFM</b>	
John Akipala	Portfolio Manager PRMF
Camille Ferrer	SPO Sub National
<b>PAHROF, 23 Jan</b>	
Milalin Javellana	Facility Director
Mark Flores	Deputy Facility Director
Maria Felda Alarkon	HR Associate
Gerrie Naraja	HR Associate
Ricky Lozari	M&E Adviser
Ruth Gerochi	OD Adviser
Laine Buenaventura	Finance and Admin
Michael Sadlon	Coffey Technical Services
Inday Sarona	HRD Adviser
<b>Facility Consultative Committee (FCC), 23 Jan</b>	
Agnes D. Padilla	CSC Exec. Director IV / Asst Commissioner
Florence E Igibien	Deputy Head
Martha Flores	NEDA- Chief Public Investment Staff
Aurora T Collantes	NEDA- Public Investment Staff
<b>Learning Service Providers (LSPs), 23 Jan</b>	
Joel Lasam (Devconsult)	Team Leader-DILG
Cecile Panadero	Individual Consultant

Marichu Suarez (Devconsult)	Project Manager-DILG
Gilda de Leon-Salud (Human Capital Asia, Inc)	Managing Director
Malu D. Pantoja Huris	Senior Consultant, Team Head-DepED
Juan A. Kanapi (Devconsult)	Main Consultant-DILG Project
May Cuevas (PeopleSparx)	Senior Consultant
<b>OPPAMM, 24 Jan</b>	
Louie Montalbo	Under Secretary
Adonis Zeta	Chief Admin Officer
<b>Department Social Welfare Development (DSWD), 24 Jan</b>	
Vilma Cabrera Che Che	Assistant Secretary
Ma. Chona David-Casis	Assistant Secretary
Lala Gopalan	Director
Margarita Sampang	Director
Efleda Consulta	TS - IV
Alma M David	SWO III
Elurina G. Noryatt	SWO-IV
Leah E. Mejias	SWO-V
Janis Placides	Supervising Administrative Officer
Precila Doujapana	TS-IV
M. Angela Esperez	TS-IV
Mariles Maulula	TS-IV
<b>CSCAND (Office of Civil Defense, Namria, PhiVolcs and PAGASA), 24 Jan</b>	
Renato Solidum (Philvolcs)	Director
Richel De Mesa (PhilVolcs)	Planning Officer 1
Marietta Medina (OCD)	Civil Defense Officer 1
Josefina Porcil (OCD)	Civil Defense Officer III
Linda Papa (Namria)	Deputy Administrator
Representatives (2)	PAGASA
<b>Civil Service Commission, 25 Jan</b>	
Francisco T. Duque III	Chairman
Mary Ann Z. Fernandez-Mendoza	Commissioner
Robert S. Martinez	Commissioner
Agnes D. Padilla	Executive Director IV
Azucena Perez-Esleta	Director IV
Editha M. Dela Peña	Director IV
Ma Paz Felyn Cruz	Chief Personnel Specialist
<b>OPAPP, 28 Jan</b>	
Louie Montalbo	Undersecretary
Adonis Zeta	Chief Admin Officer
<b>DepEd, 28 Jan</b>	
Rizalino Rivera	Undersecretary
Nanette Losiara	Chief Staff Development Division/Human resource development service and concurrent Asst School Division Superintendent
<b>LGU Davao Norte, 29 Jan</b>	
Governor Rodolfo del Rosario	
Engr Josie Jean Rabanoz	Head, Provincial Planning & Dev. Office
Ms Monica Salido	Head, Human Resource M'gmt Office
Engr Norma Lumain	Head, Provincial Budget Office
Engr Raul Mabanglo	Head, Provincial Engineer's Office
<b>LGU Misamis, 29 Jan</b>	
Oscar S. Moreno	Provincial Governor
Patrick U. Gabutina	Provincial Administrator
Annabelle G. Cajita	PRMF, Provincial Coordinator
Oliver V. Egypto	HRMO Head
Angelina A. Tejero	AO V, HRMO
Chedilyn Aissa D. Sajulga	OIC, PPDO

Atty. Beda Joy B. Elot	MOPIAD Head
Engr Rolando M. Pacuribot	OIC, PEO
<b>ADS Scholars Alumni, Misamis, 29 Jan</b>	
Chedilyn Aissa D. Sajulga	Formerly ANU
Atty. Beda Joy B. Elot	ANU
Mimsy M. Mayuman	Uni Newcastle
Marivic B. Alido	Uni Canberra
Elvisa B. Mabelin	ANU
Paul Joel S. Waga, Jr	Uni Technology Sydney
<b>LGU Guimaras, 29 Jan</b>	
Hon. Felipe Hilan A. Nava MD	Governor
Mr Ronie Segobre	Provincial Administrator
Mr Jimmy S Baban	Provincial Planning and Development Coordinator
	Mentor of Ms Florence G. Gellangarin and
Engr Lemuel T. Poblacion	Provincial Engineer (PEO)
	Mentor of Engr Ramilo Villasis
Mr Raymundo J. Lao	Provincial Budget Officer (PBO)
	Mentor of Ms Shalimar T. Ganancial
Mr Sofronio V. Graciosa Jr	Provincial Accountant (PAO)
	Mentor of Mr Kolins Casquero
Mr Basilio S. Tianero	HRMO IV
	Mentor of Ms Sheila M. Penafiel and Ms Brenda Dajay
Ms Angeles E. Gabinete	Assistant Provincial Agriculturist
OIC - Human Resource Management and Development Office	-
Ms Brenda Dajay	HRMD Team Leader
<b>ADS Scholars Alumni, Guimaras, 29 Jan</b>	
Kolins Casquero	Dr Catalino G. Nava Provincial Hospital
	<i>Information Technology</i>
Shalimar T. Ganancial	Provincial Information Technology Office (PICTO)
	<i>Information Technology</i>
Sheila M. Penafiel	Human Resource Management and Development Office
<i>Human Resource Management</i>	<i>Human Resource Management</i>
Engr Ramilo Villasis	Provincial Engineering Office
	<i>Engineering Management</i>
<b>LGU and ADS scholars Aklan, 29 Jan</b>	
Ellen Tolentino	Head- Human Resource and Management Office and
Maharanee briones	Staff - Human Resource and Management Office
Engr Roger esto	Head- Planning and Development Office
Engr Edelzon magalit	Head- Engineering Office and Supervisor of Scholar
Engr John Kenneth Almalbis	Head- Environment and Natural Resources Office
Jeany Raco	Acting Asst. Administrator-Governor's Office
Suzette Pioquid	Head-Treasurer's Office and Supervisor of Scholar
Marygrace Macahilas	Head-Budget Office and Supervisor of Scholar
Marianita Martinez	Head-Accounting Office
Elyen Agcaoili	Head-Internal Audit Office and Supervisor of Scholar
Rex victor Consemino	Head- Economic Enterprise Office and Supervisor of
Medelia Solanoy	Head-Procurement
Kokoy Soguilon	Head-Assessor's Office and Supervisor of Scholar
<b>DILG, 30 January</b>	
Austere A Panadero	Undersecretary for Local Government
Ana Bonagua	Director
Frank Cruz	Director
Ester Aldana	Assistant Secretary

## Annexe 2: Report on evaluation team regional visits

Three evaluation teams visited four provinces (Aklan, Davao Norte, Guimaras and Misamis Oriental) and conducted discussions with Facility stakeholders as well as selected alumni of Australia Awards. Three of the four provinces have been receiving support from the Facility since 2011, although interventions in Guimaras have been initiated only recently.

Overall, the provinces visited are appreciative of the services and assistance provided by the Facility. They found the PAHRODF interventions timely and responsive to their institutional needs, as organisational performance reforms are being introduced by the new administrations. And while the LGUs had already considered and planned organisational reforms, they believe that they would have not been able to cover the full scope of organisational development without the Facility assistance. Organisational reforms and development are valuable to Local Government Units (LGUs) as 50% of the provinces' budgets are allocated to personnel services. Practically all LGUs in the country have exceeded this statutory limit for reasons varying from "paying political debts through employment of supporters", to simply not knowing the options for effective and efficient organisational reform. The four Governors and their staffs demonstrated positive attitude and a desire for a leaner and better-functioning provincial organisation. In all provinces, the number of *Job Order personnel* (non-permanent staff contracted for specific jobs) ranges from 45% to 52% of total workforce. This represents a major budgetary burden which impact on LGUs' development efforts - as Job Order personnel are paid using the operating or the Maintenance, Operating and Other Expense budget, and not the Personnel Services budget. A leaner, but effective and efficient organisation would therefore free up significant budget funds that could be used for development investment in local infrastructure, health, education and other sectors for which responsibility has been devolved to the LGU level.

The provinces did not have tangible ideas on how to proceed with the reforms that they had decided, pre-PAHRODF. Not knowing the breadth and scope of work involved in organisational development, they encountered initial difficulties when they participated in the Facility's interventions. The Facility response to their organisational reform needs required (seemingly) tedious and lengthy efforts which led to overburdening the staff of departments involved in the interventions - as they had to continue their routine tasks while undertaking the reform activities. Invariably, however, they subsequently felt empowered and developed a sense of pride of accomplishment after completing each set of interventions. Each of the LGUs have since adapted to the pace and volume of required additional tasks. The Facility, therefore, effectively put into practice the Government's "perform while you reform" guidelines through its participatory approach.

The initial challenges, generally during the first six months of interventions, related to difficulties in understanding the concept of organisational development (as the interventions represented a major shift from the highly transactions-based functions of the HR unit operation - to the more innovative, efficient, dynamic and competency-based operations). It should be noted that although organisational development had been operating in the Philippines since the 1970's, albeit, largely in the private sector, PAHRODF is the first comprehensive organisational development, foreign-assisted project in the public sector. Other donor-assisted projects focused on capacity building through human resource development and/or systems improvement. The holistic approach by PAHRODF on organisational development is much appreciated and: "is simply different and significantly useful". One province noted the absence of LSPs (when compared with PRMF support); however a review of the provincial intervention plan may allow for support from an LSP.

The interventions invariably begin with organisational assessment/diagnoses. This exercise is of great value to the LGUs as it opens new perspectives on and avenues for organisational reforms. The results and analyses are perceived as being thorough and accurate in reflecting the state of the provincial organization as well as in identifying options for organisational reforms. This new learning and perspectives have resulted in increased and varied demands for additional services from the Facility and subsequently, the LSPs. The organisational assessments also led to stakeholders' awareness of organisational weaknesses, to which some had responded positively with additional service requests and/or had refocused the field of study of nominated scholars under the Australia Awards program component.

With greater demand for services, and the LSPs responding positively, the provinces also noted that the LSPs assigned to them are flexible and responsive to their needs, as well as to their specific environment / situation. In particular, the LSPs responded positively to local needs which were often outside their TORs. LSPs are highly regarded and respected regionally for their capacity to advise and guide the stakeholders on various interventions – whether on weekends or during holiday periods.

With the application of recommended tools and techniques, the provinces noted the reduced time and effort in conducting their routine work, as they were simplified and streamlined in the process. In the recruitment process, for instance, interviews had been competency-focused and the recruitment and placement process time had been reduced by half; this resulted in savings in time and efforts in routine work. In Aklan, the HR department was re-organised to create a new Learning Division/Unit - to address matters related to training

needs analysis, facilitation and evaluation of training activities. Training programs for new recruits have also become more focused and competency-based.

In relation to scholarships, awardees and their institutions recognised the benefits they gained: individuals were promoted, and had gained new and wider perspectives in their careers and lives, as well as increased respect and “honour” among provincial officials and peers. The provinces were also appreciative of the uniqueness of REAPs and SAPs - which provided meaningful inputs from scholars in improving governance in provincial institutions. (However, one shortcoming cited was the shift in major field of study of one scholar as the university did not offer the major subjects in one semester. This was later rectified by allowing the scholar to take related, elective subjects.)

An overwhelming majority of stakeholders directly involved in provincial project operations are female. This is to be expected, as human resource offices in the Philippines are predominantly staffed by females. Gender balance is an issue in the Philippine public sector as significant majority of civil servants are female.

Overall, the provinces view their participation in the Facility as good “value for money”. Despite the considerable time, resources and efforts spent on organisational reform activities, they noted that they have gained much more in terms of improved performance, streamlined operating systems and new perspectives on OD and in the management of personnel. In Aklan, the Governor noted that even without the PMRF (which provides a “carrot” of PhP40 million for road projects), they would still participate in the Facility. The Australia Awards’ scholarships are also expected to provide substantial inputs through the REAPs and SAPs, in further enriching the organisational reforms processes - as they are based on critical issues which the provinces face.

No negative, unexpected outcomes from PAHRODF log-term study programs were noted in discussions with the provinces. On a positive note, as scholars (usually heads of departments) departed for their studies in Australia, the lower-level staff were challenged to take on their bosses’ tasks. In the process, they improved their skills, experience and employability. In Guimaras, the LGU realised the value of upgrading the skills of the lecturers in local college and at municipal LGUs and recommended scholarships for them, thus providing improved institution building.

The provinces believe that they are on track with their PAHRODF implementation schedules, except one which noted some delay in the implementation of their planned activities due to delayed deployment of the LSP. Nevertheless, the LGU expected recover the lost time, and is confident that they will meet their schedule.

Sustainability is always a major recurring concern among LGUs with the uncertainty of leadership and champions - as elections are held every four years. (The next local election is in May 2013.) The Governors, however, who are overwhelmingly supportive of the Facility, believe that there are effective measures to ensure sustainability. First, the CSC which has jurisdiction over all government civil services is a PAHRODF Core Partner and is initiating reforms based on PAHRODF models. All CSC circulars or guidelines will eventually be followed by the LGUs, among other government civil instrumentalities. Second, the LGUs have also issued ordinances for the adoption of HR operations manual and systems resulting from the Facility interventions (although ordinances are easily replaced at the LGU level). Third, one Governor noted that it would be extremely difficult for any incoming leader to revert to the old system, as the HR constituents have now been empowered through PAHRODF’s interventions and support. The empowerment of the provincial officers has equipped them with tools to defend the merits of the newly introduced HR systems. In evaluating these views, the most potent measure for sustaining the gains is the internalisation and institutionalisation of the reforms by the CSC: the orders of the CSC as an independent commission, is incontestable by any civil bureaucratic unit.



**Annexe 3: Specific PAHRODF interventions – 2011 to 2012**

Partner organisation	HR/OD intervention
Department of Education	<ol style="list-style-type: none"> <li>1. Total Quality Management in Education</li> <li>2. Support the development of the Leadership and Management Course for Superintendents that will be implemented by a consortium headed by DepEd together with De La Salle University</li> <li>3. Short courses relevant to on-going and planned HROD interventions and DepEd OD initiatives</li> </ol>
Department of Interior and Local Government	<ol style="list-style-type: none"> <li>1. Strengthening the Management of the Performance Challenge Fund (PCF)</li> <li>2. Development and implementation of the Program/project Management System</li> <li>3. Leadership Development &amp; Change Management in support of Effective Cluster Operations for DILG Regional and Provincial Directors (scale up of Year 1 intervention)</li> <li>4. Local Short Courses on program management; performance-based incentives; mobilising civil society in governance</li> </ol>
Office of the Presidential Adviser for the Peace process	<ol style="list-style-type: none"> <li>1. Technical Assistance on Designing the Strategic Convergence Framework and Defining the Operational Requirements for OPAPP and its Partner Organisations for Mainstreaming PAMANA</li> <li>2. Strengthening the Nexus of Security and Governance: Building DILGs and OPAPPs Institutional Capacity to Mainstream PAMANA (with international benchmarking)</li> <li>3. Technical Assistance - Sustaining Peace Work in Government: Doing Peace Work Beyond OPAPP</li> <li>4. Short courses in Australia: Peace and Post Conflict Rehabilitation and Reconstruction</li> </ol>
Department of Social Welfare and Development	<ol style="list-style-type: none"> <li>1. Rollout of Competency-based Leadership Development Programs for top priority Regions (Regions 5, 6, 9, and 10 including NCR, 4A and 4B) and Central Office (scale up of Year 1 intervention)</li> <li>2. Technical Assistance on determining/validating the Human Resource Requirements of new clusters/bureaus in the Central Office related to the convergence groups</li> <li>3. Roll out of Competency-based Models and Recruitment Systems in other Regions) (scale up of Year 1 intervention)</li> </ol> <p><i>only if absorptive capacity allows for both DSWD and the facility</i></p> <ol style="list-style-type: none"> <li>1. Roll out of Competency-based Institutional Capacity Development Review of the Regions (NCR, CARAGA, 4A, and 4B) under the new clusters (scale up of Year 1 intervention)</li> <li>2. Implement selected HR- Interventions identified in the DSWD Central Office Institutional Capacity Development Review along the areas of HRODF competencies</li> </ol>
Provincial Government of Davao del Norte	<ol style="list-style-type: none"> <li>1. Leadership Development and Change Management for Davao Del Norte Management</li> <li>2. Human Resource Management and Development Planning</li> <li>3. Technical Assistance on Human Resource Information System</li> <li>4. Local Short Courses on OD, HRMD, project management; internal control, engineering management, etc.</li> </ol>
Provincial Government of Aklan	<ol style="list-style-type: none"> <li>1. Technical Assistance on Human Resource Information System (HRIS)</li> <li>2. Human Resource Management &amp; Development (HRD Plan)</li> <li>3. Leadership Development and Change Management</li> <li>4. Local short courses on OD, HRMD, project management, engineering, internal control, etc.</li> </ol>
Provincial Government of Lanao del Norte	<ol style="list-style-type: none"> <li>1. Leadership Development and Change Management</li> <li>2. Human Resource Development (Learning and Development)</li> <li>3. Short courses in OD, HRMD, ICT, Engineering project management, internal control conducted by local universities and professional groups</li> </ol>
Civil Service Commission	<ol style="list-style-type: none"> <li>1. Developing and Installing a Learning and Development System (internal and CSI) (Application of Year 1 intervention)</li> <li>2. Strengthening CSC Key Service Delivery Mechanisms (with international benchmarking)</li> </ol>
NAMRIA	<ol style="list-style-type: none"> <li>1. Training on Competency-Based Human Resource Management (Job Profiling)</li> </ol>
Philippine Institute of Volcanology and Seismology	<ol style="list-style-type: none"> <li>1. Developing managers' competency in their HR role (talent management)</li> </ol>
Office of Civil Defense	<ol style="list-style-type: none"> <li>1. Development of competency-based learning and development plan (application of Year 1 intervention)</li> </ol>
Philippine Center for Islam and Democracy	<ol style="list-style-type: none"> <li>1. Integrated competency-building for PCID convenors and key partners</li> </ol>
Philippine Atmospheric, Geophysical and Astronomical Services Administration	<i>The HRODF assistance on Leadership and Management Development to be tendered will determine the most strategic and responsive HR intervention for the year 2012-2013.</i>
Mines and Geosciences Bureau	<i>The HRODF assistance on Strategic Planning to be tendered this fiscal year will determine the most strategic and responsive HR intervention for the year 2012-2013</i>

<b>Presidential Management Staff</b>	1. Strategic Planning 2. Data and Information Management 3. Performance Management System or Performance Contracting System 4. Short courses in HRD - Performance Management
<b>National Economic Development Authority</b>	<i>No interventions will be mobilised</i>

## Proposed fields of study for the Australia Awards - Development Awards

### A. Targeted

Organisation	Field of study	Number
<b>Department of Education (25)</b>	Total Quality Management for Education	7
	HRMD – Performance Management System	1
	Science, Math and Language Teaching; Special and Early Education	9
	Business Management ( for Principals and Superintendents)	7
	Gender and Development	1
<b>Department of the Interior and Local Government (17)</b>	Human Resource Management and Development	2
	Project Management	2
	Mobilising Civil Society Participation/Stakeholders' Relations (Advocacy)	2
	Peace and Conflict	3
	Disaster Risk Reduction and Management	3
	Local Economic Development	2
	Performance Management	2
	Gender and Development	1
<b>Provincial Government of Davao del Norte (7)</b>	Information Technology –Management Information system	1
	Information Technology-GIS	1
	Engineering- Construction Project Management	1
	Development Planning	1
	Revenue Generation and Resource Mobilisation	1
	Engineering -Road Services	1
	Gender and Development	1
<b>Provincial Government of Aklan (6)</b>	Internal Control	1
	Disaster Risk Reduction and Management/ Climate Change Adaptation	1
	Transportation Planning	1
	Urban Planning	1
	Tourism Management	1
	Gender and Development	1
<b>Provincial Government of Lanao del Norte (2)</b>	Engineering Project Management	1
	Project Management (Planning, Implementation, Monitoring & Implementation)	1
<b>Civil Service Commission (12)</b>	Organisation Development	4
	Human Resource Management and Development	3
	Training and Development	3
	Public Policy and Development	1
	Organisation Communication	1
<b>NAMRIA (3)</b>	Geodesy / Geoinformatics	1
	Physical Oceanography	1
	Database Management	1
<b>PHIVOLCS (5)</b>	Disaster Risk Reduction Management	1
	Development Communications	1
	Human Resource Management and Development	1
	Computer Programming/Database Development and Management	1
	Gender and Development	1
<b>OCD (5)</b>	Disaster Risk Reduction and Management	1

	Project Planning, Development and Management	1
	Training and Development	1
	Organisational Development	1
	Gender and Development	1
<b>PAGASA (5)</b>	Strategic Human Resource Management	1
	Remote Sensing	1
	Climate Change and Disaster Risk Reduction and Management	1
	Software Programming	1
	Gender and Development	1
<b>Presidential Management Staff (3)</b>	Planning and Public Policy	1
	HRMD (Performance Management, Learning and Development	1
	Gender and Development	1
<b>National Economic and Development Authority (4)</b>	Disaster Risk Reduction and Management, Climate Change	3
	Gender and Development	1
<b>Provincial Government of Misamis Oriental (4)</b>	Information and Communications Technology	1
	Project Development and Management	1
	Project Monitoring and Evaluation	1
	Gender and Development	1
<b>Provincial Government of Guimaras (4)</b>	Organisational Development	1
	Engineering- Road Network Management	1
	Leadership & Management	1
	Gender and Development	1
<b>Provincial Government of Bukidnon (4)</b>	HRD Planning	1
	Project Development and management	1
	Financial Management-Budget & Expenditure Management	1
	Gender and Development	1
<b>Provincial Government of Surigao del Norte (3)</b>	Strategic Management	1
	Financial Management (Budgeting and Procurement)	1
	Environmental Management	1
<b>Provincial Government of Agusan del Sur (3)</b>	Strategic Planning and Management	1
	Internal Audit (Internal Control System)	1
	Financial management (Performance-based budgeting)	1
<b>Provincial Government of Bohol (3)</b>	Disaster Risk Reduction & Management	1
	HRM (Workforce Planning and Employee Forecasting)	1
	HRD (Career Planning & Development)	1
<b>Total</b>		<b>115</b>

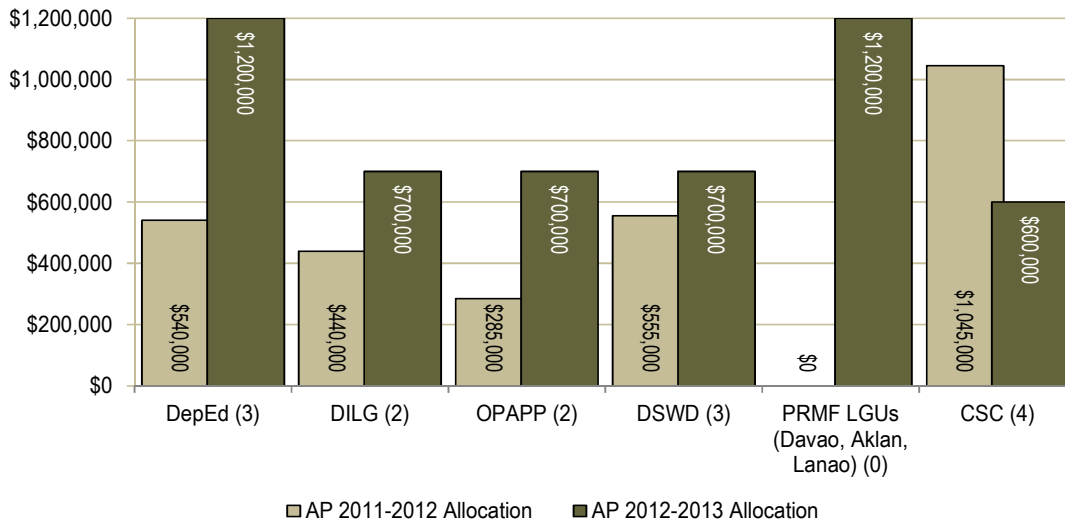
### **B. Open - Targeted (30 slots)**

#### **Priority areas**

Climate Change Adaptation  
 Social Protection / Welfare  
 Basic Education  
 Pandemics  
 OD/HRMD  
 Trade  
 Peace and Development  
 DRRM  
 Foreign Relations  
 Public Financial Management

## Annexe 4: Budgets allocated to partner organisations

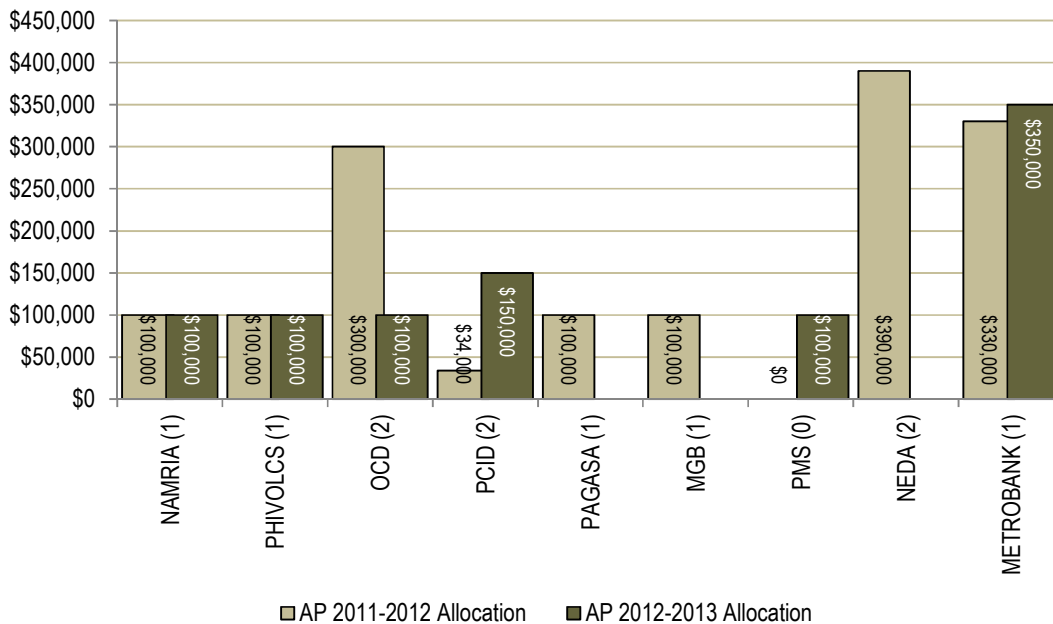
Figure 6: Key Partner Organisations (KPOs) budgets 2011-2012 & 2012-2013



### NOTES:

- The number which follows (in parenthesis) is the number of discrete interventions in the 2011-2012 year
- PRMF LGUs were not supported in 2011-2012

Figure 7: Purpose Specific Organisations (PSOs) budgets 2011-2012 & 2012-2013



### NOTES:

- The number which follows (in parenthesis) is the number of discrete interventions in the 2011-2012 year
- PMS was not supported in 2011-2012; PAGASA, MGB and NEDA budget for 2012-2013 TBA

Data sourced from Table 38, PAHRODF Annual Plan 2012-2013

## Annexe 5: Extract from AQF Second Edition – January 2013

Figure 8: AQF 2013 qualifications framework

Level	Level 1	Level 2	Level 3	Level 4	Level 5
Summary	Graduates at this level will have knowledge and skills for initial work, community involvement and/or further learning	Graduates at this level will have knowledge and skills for work in a defined context and/or further learning	Graduates at this level will have theoretical and practical knowledge and skills for work and/or further learning	Graduates at this level will have theoretical and practical knowledge and skills for specialised work and/or skilled work and/or further learning	Graduates at this level will have specialised knowledge and skills for skilled/paraprofessional work and/or further learning
Qualification Type	Certificate I	Certificate II	Certificate III	Certificate IV	Diploma
Level	Level 6	Level 7	Level 8	Level 9	Level 10
Summary	Graduates at this level will have broad knowledge and skills for paraprofessional/highly skilled work and/or further learning	Graduates at this level will have broad and coherent knowledge and skills for professional work and/or further learning	Graduates at this level will have advanced knowledge and skills for professional highly skilled work and/or further learning	Graduates at this level will have specialised knowledge and skills for research, and/or professional practice and/or further learning	Graduates at this level will have systematic and critical understanding of a complex field of learning and specialised research skills for the advancement of learning and/or for professional practice
Qualification Type	Advanced Diploma Associate Degree	Bachelor Degree	Bachelor Honours Degree Graduate Certificate Graduate Diploma	Masters Degree	Doctoral Degree

**NOTE:** PAHRODF Australia Awards components align with AQF Level 9 (Masters Degree); and Level 10 (Doctoral Degree). Planned 2013 changes to AQF are not expected to impact PAHRODF's Australia awards activities

**Annexe 6: Relevance of LDP “Working hypotheses” for PAHRODF activities**

20

Hypothesis	Specific PAHRODF activity relevance (Australia Awards and other PAHRODF interventions)
1. The forms and processes of leadership directly influence the kind and quality of institutions and state building.	<p>(a) Leadership development is a priority (to varying degrees) of all PAHRODF interventions</p> <p>(b) The Australia Awards program (especially the additional Leadership Program) is intended to support an emerging generation of regional and national leaders in identified sectors, and also broadly.</p> <p>(c) A broader world view established through HRD and OD activities in the Philippines, and during Australia Awards programs, contribute to the strengthening of individual agencies and to the system as a whole</p>
2. Developmental 'leadership' is a political process, involving the capacity to mobilise people and resources and to forge coalitions in the pursuit of positive development goals.	(d) A significant strength of PAHRODF and the Organisational Development and Scholarships Team at Manila Post is their ability to identify and encourage productive partnerships and coalitions
3. Coalitions (formal and informal) are groups of leaders and organizations that come together to achieve objectives that they could not achieve on their own.	(e) The multi-layered structure of PAHRODF internal and external networks (Board, FCC, LSPs, KPOs, PSOs, etc.) have combined to provide a collaborative and productive “matrix” of individual and organisational support relationships
4. Coalitions thus are the key political mechanisms by which collective action problems may be resolved and facilitated by the existence of prior networks.	(f) Coalitions exist across all PAHRODF activities – from formal arrangements such as that evidenced by the FCC, the training sessions provided by PAHRODF to LSPs, and regional PA3i chapters – to informal guidance and support relationships used by senior- and mid- level civil servants, and Australia Award graduates
5. Institutions matter, but more attention needs to be given to political and agency issues, and hence to the role of leaderships and coalitions in shaping effective institutions.	(g) The Organisational Development and Scholarships Team at Manila Post and PAHRODF personnel are fully aware of the political dynamics that operate in and across GoP agencies. Wherever possible, ethical and appropriate these are used to optimise the benefits of PAHRODF interventions,
6. Local leaderships, elites and coalitions are the critical necessary agents required to contest, negotiate and devise legitimate, effective and durable institutions.	(h) PAHRODF provides services to a range of different capacity skill and position levels individuals and structures within GoP agencies. Further, the interventions provided by the Facility extend to a number of provinces – as well as to major GoP oversight and line agencies. This level of outreach assist in creating and sustaining effective coalitions of like-minded people.

<sup>20</sup> Refer also to DLP website (<http://www.dlprog.org/>) for research relevant to the objectives of the Australia Awards components of PAHRODF, including: Chittick, Mendoza, Parker - Coalitions for Change Philippines; Laura Brannelly, Laura Lewis & Susy Ndaruhutse (2011) “Higher Education and the Formation of Developmental Elites: A literature review and preliminary data analysis,” The Developmental Leadership Program, Research Paper 10.; and Heather Lyne de Ver & Fraser Kennedy (2011) “An Analysis of Leadership Development Programs Working in the Context of Development,” The Developmental Leadership Program, Research Paper 11.

## Annexe 7: Guide questions by client / stakeholder group

The questions used for specific client or stakeholder groups were linked to the key evaluation criteria used for AusAID reporting. Most of the guide questions are “open” to avoid limiting possible responses and instead encourage a broad range of views. Within each question there is provision for follow-up of a more specific nature. Many of the questions are replicated across the various target interview groups. This is deliberate in order to enable comparisons and identification of areas of consensus, divergence and the unexpected.<sup>21</sup>

**Group A Questions:** AusAID Teams: DRM/CCA Team; Social Protection Team; Mindanao Team; Education Team; Sub-National and PRMF Team

**Group B Questions:** Managing Contractor

**Group C Questions:** Facility Coordinating Committee

**Group D Questions:** Learning Services Providers

**Group E Questions:** Core Partner Organisations - DSWD; CSC; OPAPP (and Davao/Aklan, Misamis LGUs)

**Group F Questions:** Purpose Specific Partners – NAMRIA; OCD; PAGASA; PHIVOLCS

**Group G Questions:** Individual Training Participants / Alumni

**Group H Questions:** Partner Organisation – Guimaras LGU (Australia awards only)

**Group I Questions:** Alumni - Guimaras (Australia Awards only)

#	Interview question	Criteria
<b>A</b>	<b>AusAID</b>	
1.	How well does the current PAHRODF mechanisms contribute to SOC objectives and the delivery strategy <i>(Jeff)</i>	Relevance
2.	Do you believe the underlying logic / theory of change is sound? Why? <i>(Jeff)</i>	Relevance, effectiveness
3.	What do you see as the main achievements of PAHRODF? <i>(Erin)</i>	Effectiveness
4.	How confident are you that HRODF is on track to assist your sectoral program outcomes? Why? Are there any risks? <i>(Erin)</i>	Effectiveness sustainability
5.	Are there any disappointments or concerns, or missed opportunities in relation to PAHRODF (its broad responsibilities and scope of services)? <i>(Erin)</i>	Effectiveness, efficiency
6.	Do you have any concerns about the way the program is being implemented at an operational level? Do you see any potential risks or constraints? <i>(Ton)</i>	Efficiency, sustainability
7.	How would you describe the relationship and quality of the communication between yourselves and the Managing contractor? <i>(Ton)</i>	Efficiency, effectiveness
8.	Have there been any unexpected outcomes or surprises? <i>(Tony)</i>	Impact, learning
9.	Based on experience so far, Is there anything you would do differently? <i>(Tony)</i>	Learning, sustainability
10.	Do you have any other views on the broader role of the Facility in assisting AusAID or the Post generally in the Philippines <i>(Tony)</i>	Learning, sustainability

<b>B</b>	<b>Managing Contractor ( PAHRODF Team)</b>	
1.	What did you learn from HRDF that has been applied to PAHRODF? <i>(Geoff)</i>	Learning, analysis
2.	Do you believe the underlying logic / theory of change is sound? Why? <i>(Jeff)</i>	Relevance, effectiveness
3.	What do you consider to be main achievements of PAHRODF so far? <i>(Jeff)</i>	Effectiveness
4.	Are there any disappointments or concerns? Have there been any missed opportunities? <i>(Tony)</i>	Effectiveness, efficiency
5.	How confident are you that the program is on track to reach target outcomes? Why? Are there any risks? <i>(Tony)</i>	Effectiveness, sustainability
6.	What have been the main challenges you have faced – and overcome? <i>(Tony)</i>	Learning, effectiveness
7.	We've heard a comment that the PAHRODF model is sophisticated and works well with sophisticated agencies. However other agencies may require different approaches to make the model work. Is the current model sufficiently flexible? <i>(Geoff)</i>	Relevance, Effectiveness, sustainability

<sup>21</sup> See also Annexe 1: Sample interview recording sheet



#	Interview question	Criteria
8.	Following on from the previous question, there is a view that the LSP may be placed in a difficult position in that they are technical people working in a dynamic and political environment. How do you prepare LSPs for this? Do you rely on a core group, or is there a regular turn-over of LSPs? Is either way a preferred approach? <i>(Geoff)</i>	Relevance, efficiency, effectiveness, sustainability
9.	You need to deal with several areas within AusAID. Does this present any special challenges? <i>(Erin)</i>	Efficiency Effectiveness
10.	How would you describe the relationship and quality of the communication between yourselves and partners? <i>(Erin)</i>	Efficiency Effectiveness
11.	Is the M&E system producing the information you require? That AusAID requires? That partners require? What feedback have you had? <i>(Jeff)</i>	M&E, efficiency, gender, Learning
12.	Have there been any unexpected outcomes or surprises? <i>(Natashia)</i>	Impact, learning
13.	Social inclusion - how are you ensuring / confirming equal benefits? <i>(Natashia)</i>	Gender, cross-cutting
14.	Value for money – how do you apply that concept? Any examples? <i>(Ton)</i>	Efficiency
15.	Based on experience so far, Is there anything you would like to see done differently? <i>(Ton)</i>	Learning, sustainability

C	FCC and /or Board	
1.	How well does the current design support the SOC? <i>(Jeff)</i>	Relevance
2.	Do you believe the underlying logic / theory of change is sound? Why? <i>(Jeff)</i>	Relevance, effectiveness
3.	What do you see as the main achievements of PAHRODF? <i>(Natashia)</i>	Effectiveness, impact
4.	Are there any disappointments or concerns? Have there been any missed opportunities? <i>(Natashia)</i>	Effectiveness, efficiency
5.	How confident are you that the program is on track to reach target outcomes? Why? Are there any risks? <i>(Tony)</i>	Effectiveness, sustainability
6.	Are you receiving the performance information you require to make evidence based strategic decisions – progress towards objectives, on-going improvement, good reporting formats? <i>(Tony)</i>	M&E, efficiency, gender, learning
7.	Have there been any unexpected outcomes / surprises? <i>(Ton)</i>	Impact, learning
8.	Compared to other donor programs, do you think PAHRODF provides value for money? Why? <i>(Ton)</i>	Efficiency, sustainability
9.	Based on experience so far, are there areas where you see future improvement can be made? <i>(Erin)</i>	Efficiency, effectiveness, sustainability
10.	Do you believe the achievements will be sustained after PAHRODF ends? Why? <i>(Erin)</i>	Sustainability

D	Learning Services Providers (LSP)	
1	How did you become involved with PAHRODF? <i>(Natashia)</i>	Relevance
2	What skills and expertise does your organisation bring? <i>(Natashia)</i>	Relevance, efficiency
3	Is there anything that sets PAHRODF apart from other programs? <i>(Tony)</i>	Efficiency, effectiveness
4	What do you see as the main achievements of PAHRODF? <i>(Tony)</i>	Effectiveness, impact
5	What do you see as the strengths of the PAHRODF model? <i>(Erin)</i>	Effectiveness, efficiency
6	Do you see any weaknesses or areas for possible improvement? <i>(Erin)</i>	Learning, analysis
7	Has your organisation benefited through involvement with PAHRODF? <i>(Ton)</i>	Learning, sustainability
8	Based on experience so far, Is there anything you would do differently? <i>(Geoff)</i>	Efficiency, effectiveness

E	Key Partner Organisations (KPOs)	
<i>Note that the names assigned to each question – apart from 2a - relate to the Central agency meetings; individual evaluation teams for Davao/Aklan and Misamis will reallocate as appropriate.</i>		
1.	How well does PAHRODF support your priorities? <i>(Natashia)</i>	Relevance
2.	In what way(s) has your organisation benefited through PAHRODF? <i>(Natashia)</i>	Effectiveness, impact
2a.	<b>(FOR Provincial KPO LGUs only- Davao, Aklan, Misamis)</b> Is there any difference between regional and central offices of the same department in the benefits gained from PAHRODF <i>(Natashia or Erin)</i>	Effectiveness, impact
3.	Is there anything that sets PAHRODF apart (positively or negatively) from other programs? <i>(Natashia)</i>	Effectiveness, efficiency
4.	How confident are you that the program is on track to reach target outcomes? Why? Are there any risks? <i>(Jeff)</i>	Effectiveness, sustainability
5.	Have women and men benefitted equally from PAHRODF? How? <i>(Tony)</i>	Gender equality



#	Interview question	Criteria
6.	Do you have any concerns about the way the program is being implemented? <i>(Tony)</i>	Effectiveness, efficiency
7.	Have there been any major challenges in working with PAHRODF? <i>(Tony)</i>	Efficiency
8.	Are you receiving the performance information you require to make evidence based strategic decisions – progress towards objectives, on-going improvement, good reporting formats? <i>(Jeff)</i>	M&E
9.	Compared to other donor programs, do you think PAHRODF provides value for money? Why? <i>(Jeff)</i>	Efficiency
10.	Have there been any unexpected outcomes or surprises? Have there been any missed opportunities? <i>(Erin)</i>	Impact
11.	Do you believe the achievements will be sustained after PAHRODF ends? Why? <i>(Erin)</i>	Sustainability
12.	Are there any changes / improvements you'd like to see? <i>(Ton)</i>	Efficiency, effectiveness
13.	If there had been no PAHRODF, would your organisation be different? <i>(Ton)</i>	Impact

F	Purpose Specific Organisations (PSOs) (Focus Group questions)	
1.	OK, so which organisation here has the biggest budget? Is that fair? <i>(Jeff)</i>	Ice breaker
2.	When I say " PAHRODF", what is the first word that comes to mind? <i>(Jeff)</i>	Ice breaker
3.	Why did your organisation partner with PAHRODF? <i>(Tony)</i>	Relevance
4.	Is there anything that sets PAHRODF apart from other programs? <i>(Tony)</i>	Effectiveness, efficiency
5.	In what way has your organisation benefited through PAHRODF? <i>(Erin)</i>	Effectiveness, impact
6.	Do you have any concerns about the way the program is being implemented and its potential to achieve intended outcomes? <i>(Erin)</i>	Effectiveness, efficiency
7.	Have there been any unexpected outcomes or surprises? <i>(Ton)</i>	Impact
8.	Have there been any missed opportunities? <i>(Ton)</i>	Efficiency, effectiveness
9.	Are there any changes / improvements you'd like to see? <i>(Natashia)</i>	Efficiency, effectiveness
10.	Will the achievements be sustained after PAHRODF ends? How? <i>(Natashia)</i>	Sustainability
11.	If there had been no PAHRODF, would your organisation be different? <i>(Geoff)</i>	Impact

G	Individual training participants / alumni (Focus Group questions)	
1.	If you weren't here today, what would you be doing? Which is better?	Ice breaker
2.	When I say " PAHRODF", what is the first word that comes to mind?	Ice breaker
3.	So, what was your involvement in PAHRODF? How did that happen?	Relevance
4.	Is there anything that sets PAHRODF apart from other programs?	Effectiveness, efficiency
5.	What was the best thing about your involvement with PAHRODF? And what was the worst?	Relevance, effectiveness, impact
6.	In what ways do you think you have benefited as a result of PAHRODF?	Impact, sustainability
7.	Do you think your agency has benefited from your involvement? How?	Impact, sustainability
8.	Are there any changes / improvements you'd like to see?	Efficiency, effectiveness, sustainability
9.	Has PAHRODF made a positive, negative or no difference to your career? How?	Impact, sustainability

H	Partner organisations - Australia Awards support only – GUIMARAS	
1.	How well does PAHRODF support your organisation's priorities? <i>(Geoff)</i>	Relevance
2.	In what way(s) has your organisation benefited through PAHRODF? <i>(Geoff)</i>	Effectiveness, impact
3.	Is there anything that sets PAHRODF apart (positively or negatively) from other programs? <i>(Erika)</i>	Effectiveness, efficiency
4.	How confident are you that the program is on track to reach target outcomes? Why? Are there any risks? <i>(Erika)</i>	Effectiveness, sustainability
5.	Have women and men benefitted equally from PAHRODF? How? <i>(Erika)</i>	Gender equality
6.	Do you have any concerns about the way the program is being implemented? <i>(Tony)</i>	Effectiveness, efficiency
7.	Have there been any major challenges in working with PAHRODF? <i>(Tony)</i>	Efficiency
8.		
9.		
10.		
11.	Do you believe the achievements will be sustained after PAHRODF ends? Why? <i>(Tony)</i>	Sustainability
12.	Are there any changes / improvements you'd like to see? <i>(Tony)</i>	Efficiency, effectiveness
13.	If there had been no PAHRODF, would your organisation be different? <i>(Erika)</i>	Impact

I	<b>Alumni (Focus Group questions) - GUIMARAS</b>	
1.	If you weren't here today, what would you be doing? Which is better?	Ice breaker
2.	When I say " PAHRODF", what is the first word that comes to mind?	Ice breaker
3.	How did you hear about Australia Awards?	Relevance
4.	Is there anything about Australia Awards that sets them apart from other scholarships programs?	Effectiveness, efficiency
5.	What was the best thing about your scholarship? And what was the worst?	Relevance, effectiveness, impact
6.	In what ways do you think you have benefited as a result of your scholarship?	Impact, sustainability
7.	Do you think your agency has benefited from your Australia Award scholarship? How?	Impact, sustainability
8.	Are there any changes / improvements you'd like to see made to the scholarships program?	Efficiency, effectiveness, sustainability
9.	Has PAHRODF (the Australia awards scholarship program) made a positive, negative or no difference to your career? How?	Impact, sustainability

## Annexe 8: Notes on organisational development and the Philippine public sector

### The Civil Service Commission

The Civil Service Commission (CSC) has overall jurisdiction over civil service administration of all departments, government corporations and all other government instrumentalities or institutions except the Armed Forces of the Philippines. It is a constitutional body (meaning, explicitly created by the Constitution, both the 1973 and the 1987 Constitution) and as such, is an autonomous government body.

The CSC was created in 1900 through Public Law No. 5: An Act for the Establishment and Maintenance of Efficient and Honest Civil Service in the Philippine Islands. Over the years, this law has undergone numerous amendments but has consistently retained CSC's primacy as the guardian of Philippine Civil Service. The major amendments are Republic Act 2260, which granted it a "Department" status. The other major amendment is the Administrative Code of 1987 or Executive Order 292 which remains, till now, the primary guideline for its operation.

*Under Executive Order 292, the CSC is mandated to perform the following functions:*

- 1. Administer and enforce the constitutional and statutory provisions on the merit system for all levels and ranks in the civil service. Under this function, the CSC formulates, prescribes and regulates the performance evaluation system which all civil government institutions must adhere to.*
- 2. Prescribe, amend and enforce rules and regulations for carrying into effect the provisions of the Civil Service and other pertinent laws. CSC rules and regulations are transmitted to government agencies as CSC Memorandum Circulars. Sometimes, when necessary, as the Department of Budget and Management (DBM) had been mandated the position classification and compensation function (formerly with the CSC), joint CSC-DBM circulars are issued. Similarly, with regards to Local Government Units, circulars are jointly issued by the Department of the Interior and Local Government (DILG) and the CSC.*
- 3. Promulgate policies, standards and guidelines for the Civil Service and adopt plans and programs to promote economical, efficient and effective personnel administration in the government. This mandate includes implicitly, organizational development (OD) plans and programs.*
- 4. Formulate policies and regulations for the administration, maintenance and implementation of position classification and compensation and set standards for the establishment, allocation and reallocation of pay scales, classes and positions. This is a function which is shared with the DBM.*
- 5. Render opinion and rulings on all personnel and other Civil Service matters which shall be binding on all head of departments, offices and agencies and which may be brought to the Supreme Court on certiorari. This is the quasi-judicial function of the CSC.*
- 6. Appoint and discipline its officials and employees in accordance with law and exercise control and supervision of the activities of the Commission.*
- 7. Control, supervise and coordinate Civil Service examinations. Any entity or official in government may be called upon by the Commission to assist in the preparation and conduct of said examinations including security, use of buildings and facilities as well as personnel and transportation of examination materials which shall be exempt from inspection regulations;*
- 8. Prescribe all forms for Civil Service examinations, appointment, reports and such other forms as may be required by law, rules and regulations;*
- 9. Declare positions in the Civil Service as may properly be primarily confidential, highly technical or policy determining;*
- 10. Formulate, administer and evaluate programs relative to the development and retention of qualified and competent work force in the public service;*
- 11. Hear and decide administrative cases instituted by or brought before it directly or on appeal, including contested appointments, and review decisions and action of its offices and of the agencies attached to it. Officials and employees who fail to comply with such decisions, orders, or rulings shall be liable for contempt the Commission. Its decisions, orders or rulings shall be final and executory. Such decisions, orders, or rulings may be brought to Supreme Court on certiorari by the aggrieved party within thirty (30) days from receipt of the copy thereof .*

12. *Issues subpoena and subpoena duces tecum for the production of documents and records pertinent to investigations and inquiries conducted by it in accordance with its authority conferred by the Constitution and pertinent laws;*
13. *Advise the President on all matters involving personnel management in the government service and submit to the President an annual report on the personnel programs;*
14. *Take appropriate actions on all appointments and other personnel matters in the Civil Service including extension of service beyond retirement age;*
15. *Inspect and audit the personnel actions and programs of the departments, agencies, bureaus, offices, local government including government-owned or controlled corporations; conduct periodic review of the decisions and actions of offices or officials to whom authority has been delegated by the Commission as well as the conduct of the officials and the employees in these offices and apply appropriate sanctions whenever necessary.*
16. *Delegate authority for the performance of any functions to departments, agencies and offices where such functions may be effectively performed;*
17. *Administer the retirement program of government officials and employees, and accredit government services and evaluate qualification for retirement;*
18. *Keep and maintain records of all personnel in the civil service.*

In undertaking its functions, the CSC primarily relates with the Personnel Division or Unit of the government Agencies. The Personnel Division/Unit may or may not have Human Resource Management (mainly personnel concerns) or Human Resource Development (mainly training concerns) sub-units. The Personnel Division are most often under the Finance and Administration Service of the Departments.

#### **DILG, LGUs and the CSC**

The Department of the Interior and Local Government (DILG) had its beginning in 1897 under the Katipunero Government, as the Department of Interior. Like the CSC, it has also undergone numerous changes in its legal framework. With the Local Government Code of 1991, LGUs were granted significant autonomy and were put under the technical supervision of the DILG. The LGUs are provided technical supervision through the Bureau of Local Government Development (BLGD) and the Bureau of Local Government Supervision (BLGS). Further, DILG maintains the Local Government Academy (LGA) which provides capacity building interventions to the LGUs, sometimes, jointly with the Civil Service Institute (CSI) of the Civil Service Commission.

It should be noted that while the LGUs are under the technical supervision of the DILG, matters relating to personnel rules and regulations are the domain of the CSC which the DILG transmits to the LGUs.

To undertake its operations, CSC maintains 15 regional offices including the ARMM as well as field offices in all provinces. In big departments, CSC also maintains field offices.

In reviewing the functions and priorities of CSC (and all departments, for that matter), there is no explicit focus on holistic OD approach. There are some miscellaneous activities and functions which relate to OD but OD itself is not explicitly focused. Although OD was introduced in the country as early as late-1970's with the establishment of SAIDI (or the Southeast Asian Institute for Development Initiatives?), a non-profit graduate school focused on OD and the Development Academy of the Philippines introduced OD to the government sector, there had been lukewarm attitude towards it.

Donors had also not been keen on providing OD assistance. Further, as OD requires numerous capacity building interventions and organisational systems development, and the Government policy did not allow the use of loan funds for capacity building (capacity building has to be funded using government funds or through grants, not loan), OD has not "taken off" to a significant scale despite numerous efforts at re-engineering the bureaucracy. In fact, as CSC has validated, PHARODF is the first foreign assisted project that focuses on OD.

## Annexe 9: Aide Memoire

**AIDE MEMOIRE****Evaluation of Philippines Australia Human Resource and Organisational Development Facility (PAHRODF)**

(dated 1 February 2013)

**CONTENTS**

1. Evaluation background
  2. Description of evaluation activities
  3. Initial findings and recommendations
  4. Next steps
  5. Acknowledgments
- Annexes

**1. Evaluation background**

AusAID Manila Post has identified and contracted three external consultants to undertake an independent evaluation of PAHRODF. The three external consultants have been supported by both Philippines' AusAID personnel, and Canberra AusAID personnel. The task identified in the Terms of Reference has been to conduct a rigorous and independent evaluation of the progress to date by, and performance of, the Managing Contractor (Coffey Development) in implementing PAHRODF.

The evaluation has been constructive and is forward-looking in terms of its recommendations and proposed next steps. This will set a clear platform for any concept development task should the findings be generally positive and supportive in assisting with future directions for PAHRODF, during the remainder of the current AusAID contractual period with Coffey.

To support its *development focus*, since mobilisation, PAHRODF has provided 20-plus AusAID partners in the Philippines with a range of human resource and organisational development interventions, including short-term training programs, coaching/mentoring, technical assistance, business process improvement, Australia Awards (scholarships) and the establishment of human resource systems in Government agencies (e.g. performance management, learning and development).

The activity has focused solely on the evaluation of the Facility, during its current contractual period. Any consideration of post-2015 structure, operations and scope will be the responsibility of the review of PAHRODF, to be conducted within six months of program completion - although the current evaluation may assist in informing that final program evaluation, the activity completion report, and on-going annual plans.

The current evaluation activity is the first formal evaluation since mobilisation of the Facility in 2010, AusAID believes, therefore, that it is scheduled at an appropriate stage, given that many of the early PAHRODF interventions are either completed or reaching their final stages.

**2. Description of evaluation activities**

The evaluation team was charged with:

- assessing whether the Facility is on track to meet its goals and objectives by 2015;
- checking the validity of the program logic and assumptions underpinning the Design Document;
- assessing existing monitoring and evaluation arrangements;
- aligning Facility mechanisms to recent corporate reforms within AusAID (Agency Results Framework, Australia Awards Reforms) and with global best practice (e.g. OECD-DAC, other donors).;
- recommending adjustments and enhancements to ensure that the Facility will be able to meet its goals and objectives; and
- proposing how sustainability of Facility investments can be achieved.

Evaluation questions identified in the Terms of Reference, for specific focus, were:

- (g) Assessing results to date;
- (h) Confirming the validity of organisational development as an approach to assisting AusAID partners in the Philippines;
- (i) Ensuring that the program logic is still relevant;
- (j) Appraising the appropriateness, adequacy, and effectiveness of existing monitoring and evaluation (M & E) arrangements;
- (k) Reviewing approach to Australia Awards; and
- (l) Contributing to continuous improvement of the Facility.

Given understandable time and resource constraints on the evaluation, it was neither possible nor necessary that the evaluation team visited and reviewed every partner activity with which PAHRODF has been involved. Furthermore, a thorough assessment of the implementation of Australia Awards' development awards in the Philippines would require a far more comprehensive evaluation program, drawing on current and previous graduate data, and including targeted investigations of scholarships' relationships to specific aspects of PAHRODF's other interactions and mechanisms. It should be noted also that, with such a diverse range of HR and OD support activities, technically, and geographically, it cannot necessarily be assumed that lessons from one program or activity are reflected generally across the complete PAHRODF program.

Nevertheless, these potential challenges to ensuring an informed and independent evaluation have been diminished through the following measures:

- (e) Reading and analysis of all available planning and review documents to gain a comprehensive overview of the operational and development contexts prior to in-country interviews;
- (f) Selecting PAHRODF activities for assessment which are reflective of the types of linkages / partnerships undertaken across the program as a whole;
- (g) Visiting Facility-supported programs of differing size and complexity in diverse provincial locations, (four) including a "control" environment; and
- (h) Balancing the specific review findings with broader program consultation to confirm key themes and issues which apply generally across the wider range of PAHRODF and AusAID Post activities.

As noted above, PAHRODF delivers a range of HR and OD services to national and sub-national clients – to both groups and individuals. Accordingly, the evaluation team identified and assessed performance issues and lessons learned at the wider portfolio level. Achieving this required a multi-faceted approach to the evaluation.

As such, the team's approach has involved:

- *Document review:* The team had full disclosure of all relevant project documentation prior to the initial and major in-country mission. This was a critical factor in confirming all of the main aspects of the proposal evaluation approach. (Nov 2012-Jan 2013)
- *Preliminary discussions:* Emerging from the document review were a number of issues of importance which the team discussed with AusAID and with the Managing Contractor. (Dec 2012)
- *Finalisation of field work and logistics:* Emerging from these preliminary discussions were discussions relating to operational logistics and level of active support while on the mission. (Dec 2012-Jan 2013)
- *Initial consultation with key stakeholders:* Prior to the January 2013 mission, team members engaged with key stakeholders: AusAID Manila and the Managing Contractor. (Dec 2012)
- *In-country site visits:* Although most meetings and consultations have taken place in Manila, with key GoP agencies, industry organisations and service providers, team members also visited four separate provincial locations to assess "on-the-ground" implementation of PAHRODF activities. These locations are identified in the schedule of meetings included in an annexe to this document. (Jan-Feb 2013)
- *Assessment against other similar HR/OD programs:* The in-country mission has presented a range of emerging issues and lessons. It may yet be necessary for team members to undertake discussions with a wider stakeholder cohort (regional or global) around these issues and lessons, during preparation of the draft report. (Feb 2013)
- *Debriefing with AusAID:* The team will present its initial findings, recommendations and proposed report structure to the AusAID Manila team and invited partners and stakeholders, in the final day of its in-country mission – in the form of this *Aide Memoire*. This activity provides the opportunity for AusAID to identify any potential concerns or challenges in the direction of the evaluation report being prepared by the team. (Feb 2013)
- *Report Preparation:* The team leader has overall responsibility for report writing. However, he will require inputs from his team colleagues, particularly within their areas of expertise (M&E consultant, and Local

Public Sector Specialist). A draft report will be presented to AusAID by 9 February, with a final report to be submitted to AusAID by 26 February (or within one week of feedback being received by the evaluation team, from AusAID on the draft report). (Feb, 2013)

### ***In-Philippines consultation***

The overall approach to meeting discussions, focus groups and interviews has been to facilitate a structured but potentially wide-ranging conversation in which informants could highlight what they saw as the main results, areas of strength or weakness, impediments, concerns and opportunities. The aim has been to capture both organisation-specific and program-wide issues that will provide the focus of the final review report findings and recommendations.

In each interview, the line of questioning has drawn from the key performance criteria and evaluation questions outlined in the ToR, and as identified in AusAID's independent progress report guidelines. *Guide questions* were refined as required, depending on the organisation or individual or group being interviewed. This approach served either to confirm findings gathered from the program documentation, or to probe areas whether information might be missing, unclear or contestable. The team was conscious that time in country was limited and that the data collection process had to be conducted efficiently. At meetings, each team member assumed lead responsibility for a specific question or set of questions. Other members provided follow-up enquiries if probing or clarification is required.

### ***Guide questions***

The guide questions<sup>22</sup> were linked to one or more of the eight key evaluation criteria used for AusAID reporting. Most of the guide questions were "open" to avoid limiting possible responses and to encourage a broad range of views. Within each question there was provision for follow-up of a more specific nature. Many of the questions were replicated across the various target interview groups. This was deliberate, in order to enable comparisons and identification of areas of consensus, divergence and the unexpected.

Group A Questions: AusAID Teams: DRM/CCA Team; Social Protection Team; Mindanao Team; Education Team; Sub-National and PRMF Team

Group B Questions: Managing Contractor

Group C Questions: Facility Coordinating Committee

Group D Questions: Learning Services Providers

Group E Questions: Core Partner Orgs - DSWD; CSC; DepEd, OPAPP, DILG (and Davao/Aklan, Misamis LGUs)

Group F Questions: Purpose Specific Organisations – NAMRIA; OCD; PAGASA; PHIVOLCS

Group G Questions: Individual Training Participants / Alumni

Group H Questions: Partner Organisation – Guimaras LGU (Australia awards only)

Group I Questions: Alumni - Guimaras (Australia Awards only)

## **3. Initial findings and recommendations**

AusAID can be very satisfied with its implementation of PAHRODF and be prepared to acknowledge that the Facility represents a successful program, of which some aspects are transferable to other AusAID programs elsewhere. The activity is clearly on track to meet its goals and objectives by 2015 and, while minor operational issues were identified by some partners and confirmed by the evaluation team, these issues<sup>23</sup> should not detract from the overall positive tone of the findings contained within this report. A summary of these findings follows:

- (r) **PAHRODF's strengths, as perceived by all partners, and by most AusAID country sector teams, are in its "demand-driven" approach.** The AusAID PAHRODF program was identified by partner organisations<sup>24</sup> as being very "partner-focused", especially when compared with other donor activities. This demand-driven approach and methodology assumes partner knowledge and understanding of the parameters within which the Facility must operate; these constraints are communicated effectively to partners, and are generally accepted by them.

<sup>22</sup> Refer Annexe (d)

<sup>23</sup> These issues have been discussed with both AusAID Post and PAHRODF for resolution where possible.

<sup>24</sup> The OPAPP representative, although critical of one PAHRODF intervention, was satisfied with three other PAHRODF interventions. This issue was discussed with PAHRODF during the validation meeting.

- (s) **PAHRODF is valued by partners.** The Facility's partners see the model, approach and their on-going engagement as being "different to other donors", in that the participating agencies are more empowered when working with the Facility. Working closely with the Facility (managers and LSPs), partners are able to identify the HRD and OD challenges for which they are seeking PAHRODF / AusAID support - rather than being presented with a development program in which they have little input or intellectual investment.
- (t) **PAHRODF aligns with the *Statement of Commitment*.** Stronger communications between AusAID and the Facility about the purposes of the *Delivery Strategy* will assist in addressing Facility concerns in this regard.
- (u) The **Theory of Change and Program Logic remain valid**, provided their application continues to be flexible, allowing for different / dynamic organisational circumstances and the political context. Systematic monitoring and effective communication channels that are currently in place enable on-going modifications, where necessary.
- (v) The **M&E arrangements are clear, practical, systematic and professionally implemented.** The Facility is producing timely, quality performance information. There is a commendable culture of M&E within the Facility with outreach into partner agencies. Opportunities for future improvements could include knowledge management, streamlined reporting formats, and milestone evaluations.
- (w) Most partners report that, **without PAHRODF, they would have achieved their organisational development goals, but it would have taken much longer.** Some agencies noted that the establishment and commissioning of PAHRODF in 2010 was at a particularly opportune time, given current Government of Philippines' HR and OD initiatives.
- (x) **PAHRODF's in-country scholarships are considered to be innovative and practical.** Associated issues raised during the evaluation suggest that consideration should be given to maximising the benefits of both in-country and mixed-mode scholarships in any future phases of HR and OD support to the Philippines.
- (y) The **REAPs (for both long- and short-term courses) and SAPs are seen as unique to PAHRODF and very useful**, and are perceived as a key means of supporting sustainability of HR and OD reforms, providing that senior-level support and appropriate systems exist within agencies.
- (z) The organisational development approach and **REAP/SAP model has been adopted by other agencies** and other donors (with permission and acknowledgement of AusAID).
- (aa) Although previous AusAID and other donor interventions have provided HRD support, including some training, **PAHROD's additional value is perceived to be in its OD approach.** Of particular benefit to partner agencies have been the initial organisational development scans and assessments commissioned by the Facility, and completed successfully by its LSPs. Many agencies note that AusAID's PAHRODF program is the first co-ordinated organisational development program for government agencies in the Philippines. There is no doubt that the expansion of the earlier PAHRDF role in supporting individual HRD, to providing the framework for broader OD support is warranted, and timely.
- (bb) The PAHRODF Managing Contractor is providing an **effective and efficient service through its LSPs, certainly** given the limits of the resources available and allocated under the contract with AusAID. In this regard, the facility management is cautious about adding more partners into the program, without additional resources. This broader issue may require clarification with existing partners in relation to the scope of the Facility's responsibilities.
- (cc) The **alumni association PA3i is crucial to Australia Awards' public diplomacy outcomes** although mechanisms for maximising such outcomes of the association are not well established; the Australia Awards Alumni Network policy and guidelines, available in February 2013, will assist in this regard.
- (dd) There is a consistent view amongst partners that **PAHRODF represents value for money** – in particular, in two areas: (a) the LSPs and the managing contractor often undertake related activities beyond their ToR, in order to ensure quality delivery and agency satisfaction<sup>25</sup>; and (b) seen at a macro level, the deliberate decision of AusAID to invest scarce development funds in organisational development, rather than other forms of ODA. In this regard, AusAID is seen as a sector leader.
- (ee) All partners interviewed (apart from OPAPP, which had some reservations concerning one of three PAHRODF interventions) stated unequivocally that **communication channels between themselves and the managing contractor are now very effective** and that the Facility personnel are responsive

<sup>25</sup> The term *Return on Investment (RoI)* was used by several partners.



to agency needs. This improved relationship developed progressively during the first year of PAHRODF implementation.

- (ff) In **one sector only, different perspectives exist between the partner and the relevant AusAID team concerning the flexibility of PAHRODF**: the *partner* believes the model is highly flexible as both the Facility and (almost all) LSPs have been willing, skilled and effective in adjusting and adapting to internal Government of Philippines organisational circumstances to meet specific agency needs; however the relevant *AusAID team* perceives the facility model is inflexible in terms of not having the capacity to include additional sectoral initiatives – when requested by that team.<sup>26</sup>
- (gg) Given the effectiveness of the PAHRODF model, it is surprising that there has been only limited dissemination regionally and globally of its positive outcomes; an effective **Knowledge Management strategy is essential to inform other programs considering a similar approach**. While the Facility faced a number of challenges in its first year of implementation, particularly given the expanded scope from its predecessor, these challenges have been readily addressed and resolved.
- (hh) While acknowledging the positive perceptions of the work of PAHRODF, and the evaluation team's analysis of documents, processes and the monitoring and evaluation strategies which confirms this, there are, nevertheless, some program enhancements which will be recommended in the draft report. **These enhancements will seek to improve program efficiency and effectiveness**, and subsequently program impact, during the remaining two years of program life.

Among others, these recommendations are expected to **address the following areas for potential service enhancement**:

- Strategies to improve broader awareness raising of AusAID's PAHRODF role at and across senior Philippines Government levels;
- Implementing a business review / efficiency process to determine current Facility implementation procedures, and what (if any) additional resources are required by PAHRODF (and AusAID Post) if the current trend in increased demands on its services continues;
- If capacity exists within the Facility, considering opportunities to undertake specific institution building support – through linkages between Australian and Philippines universities and related sector bodies;
- If/ when approved by AusAID, responding affirmatively to DBM approaches to PAHRODF in seeking organisational development support, as an (oversight) core partner organisation;
- Undertaking action research into the replicability of PAHRODF as an effective capacity development model;
- Communicating successes across partners and stakeholders – in the Philippines and in Australia;
- Assessment of the potential for introducing split or dual degree delivery modes in some sectors;
- Introducing greater efficiency dividends that would result from realigning/compressing the current three key milestone documents - the Annual Plan, Annual Strategy and M&E Reports;
- Increased / more defined differentiation between the services available to and provided by the Facility to KPOs and to PSOs;
- Implementing further strategies to improve communications between PAHRODF and other managing contractors responsible for projects and programs in the Philippines;
- Strengthened support for PA3i, within the emerging global Australia Awards Alumni network, while acknowledging the unique challenges alumni can present, and the high transaction cost of some alumni involvement strategies;
- Optimising use of AVID volunteers to support agencies where long-term scholarships are overly demanding on remaining personnel.

#### 4. Next steps

- The external members of the evaluation team will complete any remaining discussions of the structure and content of the draft report before departing Manila.
- Following this, the external members of the evaluation team will prepare an initial “draft for comment” which will be distributed to all team members, including AusAID Canberra representatives, for preliminary comment.
- Once any initial changes have been negotiated, the Draft Report will be completed and submitted to AusAID Manila, by CoB Friday 8 February.
- Following consideration by the Organisational Development and Scholarships Unit at Manila Post, and subsequent feedback by that team, a Final Evaluation Report will be submitted to AusAID within one week of receiving comments.
- The final document is expected to be submitted to AusAID no later than 28 February 2013.

<sup>26</sup> This issue may have resulted from the imposition of the Facility of strictly enforced annual planning processes and associated timelines.

## 5. Acknowledgments

The evaluation team wishes to acknowledge the high level of cooperation shown by all individuals, teams and organisations with whom it consulted during the evaluation mission (*refer Annexe b for a schedule of individuals consulted*). Team members appreciated greatly the quality and directness of perspectives offered in response to the evaluation team's questions, as well as the hospitality of partner organisations.

The team is particularly grateful to the Organisational Development and Scholarships Unit at Manila Post, which not only provided the evaluation team with comprehensive logistical support but also responded promptly to our frequent questions, and willingly provided any documentation required to complete the requirements of the Terms of Reference. All Managing Contractor personnel were similarly forthcoming, supportive and frank in their discussions with the evaluation team, while PAHRODF clients at the national and sub-national levels readily offered candid and informed perceptions of the Facility and its operations.

The relationship between the AusAID Manila team the Managing Contractor, and Facility clients and stakeholders was clearly one which is based on mutual understanding of different roles and responsibilities, and respect for others' expertise and obligations.

### Annexes

- a. Independent evaluation team members
- b. People/agencies consulted
- c. Proposed contents – Draft Evaluation Report
- d. Guide questions

The four annexes attached to the Aide Memoire of 1 February 2013 are not included in this Annexe to the Evaluation Report, as they appear elsewhere in the Report document body or in the Report Annexes

## Annexe 10: Activity Terms of Reference

### Independent Evaluation

#### Philippines Australia Human Resource and Organisational Development Facility

#### Terms of Reference

(Revised Draft as of 3 December 2012)

### Background

The Philippines Australia Human Resource and Organisational Development Facility (PAHRODF) is the Australian Government's flagship program to support human resource management, capacity building, and organisational development in the Philippines. It provides a range of support to select Philippine organisations including Australia Awards (scholarships), customised short-term training programs, business process improvement, and benchmarking exercises.

The *goal* of the PAHRODF is to enhance the effectiveness of selected programs and reform agenda under the Australia Philippines Development Assistance Strategy.<sup>27</sup>

To achieve this, the Facility pursues the following objectives

#### *Development Objectives*<sup>28</sup>

- (d) To assist partner organisations identify, prioritise and develop targeted capacities and competencies to support organisational change;
- (e) To assist partner organisations make better use of capacities and competencies to improve service delivery; and
- (f) To assist partner organisations share and build on enhanced capacities and competencies as basis for continuous improvement and learning.

#### *Management Objectives*<sup>29</sup>

- (d) To provide efficient and effective targeting of organisations/Australia Awards-Development Awards (AA-DA)<sup>30</sup> and efficient allocation of resources for the implementation of prioritized PAHRODF interventions;
- (e) To provide sound criteria and mechanisms for the engagement of key partner organisations (KPOs)/Strategic Partner Organisations (SPOs)<sup>31</sup> and AA-DA scholars; and
- (f) To deliver appropriate types and quality of human resource and organisational development (HROD) support to targeted organisations, groups of organisations and individuals.

The Facility builds on the achievements and good practices of the Philippines Australia Human Resource Development Facility (PAHRDF). In addition, the design of the current Facility incorporates the following<sup>32</sup>:

- shift of focus from individual competencies to broader organizational development
- stronger links between the Facility activities and other [Statement of Commitment](#) priorities
- emphasis on better use of existing capacities
- working with organisations on a longer term basis
- assisting Australian Alumni in the Philippines

#### *Governance and Implementation Structure*

The Facility has the following governance arrangements:

- (a) A **Board** that provides both strategic direction and oversight for the Facility. The Board comprises of senior representatives from the Australian Agency for International Development (AusAID), the National Economic and Development Authority (NEDA), and the Civil Service Commission (CSC).
- (b) A **Facility Co-ordinating Committee** (FCC) that has technical review responsibilities on the key outputs of the Facility. The FCC comprises of technical representatives from AusAID, NEDA, and CSC.
- (c) A **Managing Contractor** (Coffey International Development) supports AusAID, the Board and the FCC in implementing PAHRODF.

#### *Partner Selection*

<sup>27</sup> The terms Development Assistance Strategy and Statement of Commitment will be used interchangeably in this document.

<sup>28</sup> Amended Objectives, as per approved change frame (Oct 2011).

<sup>29</sup> Ibid.

<sup>30</sup> Term used in the earlier documents of the Facility. This is also refers to AusAID's Australia Awards (Sept/Oct 2012 guidance)

<sup>31</sup> Has been replaced with Core Partner Organisations and Purpose-Specific Partners, respectively, in 2012/2013.

<sup>32</sup> The Facility Design Document provides a comprehensive list of the 'new' features of the Facility.

- Australia works with the Government of the Philippines, especially NEDA and CSC to identify organisational partners.
- Partners are selected from those Philippine organisations – public, non-profit, and private – that are critical in delivering the mutually agreed development priorities of the Australian and Philippine governments, and that strongly demonstrate appetite for, and commitment to, pursuing reforms.

*Context: PAHRODF Accomplishments since Mobilisation* <sup>33</sup>

Since its mobilisation 2010, PAHRODF has provided at least 20 AusAID partners<sup>34</sup> with a range of HR/OD interventions, including short-term training programs, coaching/mentoring, technical assistance, business process improvement, Australia Awards (scholarships) and setting-up of human resource systems (e.g. performance management, learning and development).

The Facility has also established systems to support its operations, including but not limited to

- organisational assessment
- design specification
- sub-contracting
- strategic planning
- working with AusAID program teams
- re-entry action planning
- mentoring and support to mentors
- monitoring and evaluation
- selection process for Australia Awards

Since the Design was completed in 2009 and the Facility mobilised in 2010, the operating context of the Facility has changed. Some of the changes and developments which have implications on PAHRODF operations include:

- A reform-oriented Aquino administration was elected in 2010, installing a new breed of leaders and identifying an ambitious reform agenda in key AusAID partners. This meant that PAHRODF partners are expected to ‘perform while they reform.’<sup>35</sup> This required the Facility to deliver ‘just-in-time’ HR interventions and less of purist OD approaches.
- The Development Cooperation Program Statement of Commitment between Australia and the Philippines was signed in March 2012. Still outstanding/in-progress however are the Delivery Strategies which are expected to clearly indicate areas where PAHRODF can contribute to sectoral goals/priorities. Clarity (and some level of predictability) around sectoral priorities is important for a support Facility like PAHRODF.
- The Australian Development Scholarships and Australian Leadership Awards Scholarships were consolidated under the Australia Awards banner. The consolidation also meant a single selection processes for both these programs is being undertaken at Post.
- From 2004 to 2010, AusAID’s Australia Awards in the Philippines were purely targeted – this means that the Facility had a formal relationship with the agencies of the awardees and was able to ensure that they are supported (mentoring, implementation of re-entry action plans). Starting 2011, the open category was re-instated, owing mainly to the increase in scholarship allocation for the Philippines and the decreasing preference and absorptive capacity for Australia Awards among partners. This meant having awardees coming from agencies which are not partner of PAHRODF or those who are not employed (e.g. private sector employees who resign from their jobs to take up the scholarship). This new set-up is expected to affect the re-entry action planning system.

### **Objectives of the Evaluation**

Given the above, an Independent Evaluation of the Facility is proposed to be undertaken between November 2012 and February 2013 to

- (g) assess whether the Facility is on track to meet its goals and objectives by 2015.
- (h) check the validity of the program logic and assumptions underpinning the Design Document
- (i) assess existing monitoring and evaluation arrangements
- (j) align Facility mechanisms to recent corporate reforms within AusAID (Agency Results Framework, Australia Awards Reforms) and with global best practice (e.g. OECD-DAC, other donors).
- (k) recommend adjustments and enhancements to ensure that the Facility will be able to meet its goals and objectives
- (l) propose how sustainability of Facility investments can be achieved.

This first formal evaluation since mobilisation of the Facility is deemed to be good timing since initial interventions are now starting to show results. Should the evaluation result in changes/revisions in the Facility approaches/systems, there still enough time left in the Facility life to implement these.

<sup>33</sup> A comprehensive discussion on the accomplishments of the Facility can be found in the Monitoring and Evaluation Reports of the Facility.

<sup>34</sup> Including the Department of Education, the Department of Social Welfare and Development, the Department of the Interior and Local Government, the Office of Presidential Adviser on the Peace Process, the Civil Service Commission, the Office of Civil Defence, and the Provincial Governments of Aklan, Lanao del Norte, and Davao del Norte, among others.

<sup>35</sup> Expected to deliver major reform programs and deal with organisational development concerns at the same time.

## Scope and Focus of the Evaluation

The evaluation will focus on the following:

- Assessing results to date
  - What are the major accomplishments of the Facility since its mobilisation?
  - What outputs and outcomes have resulted from Facility activities?
  - Given progress to date, is the Facility on track to achieve its planned goals and objectives?
  - Did Facility activities result in any unintended outcomes? Positive? Negative?
  - Do the results demonstrate good value for money (i.e. results vis a vis expenditure)?
- Confirming the validity of organisational development as an approach to assisting AusAID partners in the Philippines
  - One of the major changes under PAHRODF (from HRDF) is the shift of focus from individual capacities to organisational development. Given the current operating context and needs of partners, is organisational development (OD) still the ideal 'framework' to assist partners? What are the key benefits (effectiveness, sustainability) in continuing this approach?
  - Has the OD approach been effective in addressing both long-term and just-in-time needs of partners?
- Ensuring that the program logic is still relevant
  - The Facility design is founded on an intervention theory and a theory of change. These were developed more than three years ago and under a different set of circumstances (i.e. leadership and reform appetite in partner organisations). Given the contextual and operational changes, are the 'theories' underpinning the design still valid?
  - One of the key changes under PAHRODF is the recognition of 'strategic partners' or organisations who are not directly connected/associated with AusAID initiatives/programs but play roles/perform functions that are important to AusAID's key partners and programs. It was envisaged that assistance would also be provided to these agencies in areas that are 'important' to AusAID's key partners (such as the Department of Education). The evaluation should consider whether or not this approach received traction.
- Appraising the appropriateness, adequacy, and effectiveness of existing monitoring and evaluation (M & E) arrangements
  - Are the existing M&E arrangements sound (i.e. able to capture results) and adequate?
  - Are the M&E outputs useful to AusAID and the partners?
  - Does the existing M&E Framework (MEF) correspond to the program logic/design?
  - Are the M&E arrangements (including resourcing) commensurate to the complexity of the Facility?
  - Is the expectation and roles of partners in terms of M&E appropriate with their capacity and existing partner systems?
- Reviewing approach to Australia Awards
  - Are existing mechanisms enough to ensure that open-category scholarships are as effective as the targeted ones, in terms of the implementation of the re-entry action plans?
  - How can pre- and post- scholarship support be improved to make Australian Awards in the Philippines more aligned with lessons from the [Developmental Leadership Program](#) and other global programs?
- Contributing to continuous improvement of the Facility
  - What changes/adjustments, if any, are needed so that the Facility can meet its goals and objectives, in terms of
    - Approach to organisational development
    - Monitoring and evaluation
    - Scholarships (ensuring effectiveness of existing mechanisms under the open category, more flexible delivery options in view of the roll out of the [new Australian Qualifications Framework in 2014/2015](#)).
  - What should the Facility
    - Do more of
    - Do less of
    - Explore/consider doing
    - Consider stop doing?

### *Complementary assessments*

AusAID will conduct parallel assessments that can be considered by the Evaluation Team. The Team will be provided access to the findings/reports of these assessments, if available at the time of the evaluation.

These assessments will be on:

#### (a) **Efficiency and Risk Management Analysis**

- Review select business processes
- Assess existing risk management
- Recommend ways to achieve operational efficiencies

- Recommend adjustments to strengthen risk management mechanisms (if necessary)
- (b) **Communications**
  - Assess existing communications and publicity activities
  - Propose additional activities and strategies (if necessary)
- (c) **Financial Audit of the Imprest Account AND Financial Audit of PAHRODF Operations** (non-imprest account)

### The Evaluation Team (Composition and Responsibilities)

The Evaluation Team will comprise of:

- (a) **Team Leader (TL)** who will take carriage of the evaluation and will provide human resource development/organisational development/capacity development expertise to the team.

#### *Key Responsibilities*

- Manage the evaluation and the members of the team to achieve the set objectives.
  - Provide human resource development, organisational development, and capacity development expertise to the team.
  - Lead in producing evaluation outputs, including the evaluation plan, the draft and final evaluation report, presentation materials, and guide questions/discussion guide.
  - Present findings and recommendations of the evaluation to AusAID, key partners (NEDA, the CSC) and the Managing Contractor.
- (b) **The Monitoring & Evaluation (M&E) Expert** who will be in-charge of assessing/validating results and reviewing the existing M&E framework and systems of the Facility.

#### *Key Responsibilities*

- Lead the assessment of results.
  - Lead the assessment of the program logic and the existing M&E arrangements.
  - Contribute to the evaluation outputs, including the evaluation plan, the draft and final evaluation report, presentation materials, and guide questions.
  - Contribute to the presentation of findings and recommendations of the evaluation to AusAID, key partners (NEDA, the CSC) and the Managing Contractor.
- (c) **The Local Public Sector Specialist (PSS)** will provide the local knowledge/context to the team.

#### *Key Responsibilities*

- Provide the local context particularly in terms of the political economy of organisational reforms in the Philippines and GoP priorities that may impact of PAHRODF interventions.
- Contribute to the evaluation outputs, including the evaluation plan, the draft and final evaluation report, presentation materials, and guide questions.
- Contribute to the presentation of findings and recommendations of the evaluation to AusAID, key partners (NEDA, the CSC) and the Managing Contractor.

Representatives from AusAID Manila Post (Organisational Development and Scholarships, Performance and Quality) will be with the Evaluation Team during in-country meetings. The Team will consult with the AusAID Philippines Desk, the Scholarships Section, the Capacity Development Team, Development Leadership Program, and other relevant Sections of AusAID (Canberra).

### Schedule

The Evaluation will have the following phases:

- (a) Preparatory activities (**November – December**) will include review of relevant materials, preparatory meetings with AusAID (Post and Canberra) and the Managing Contractor, conduct of complementary assessments,<sup>36</sup> and finalisation of the evaluation plan.
- (b) Evaluation proper (**January**) will involve in-country meetings with the clients and stakeholders of the Facility and presentation of the evaluation findings and recommendations to AusAID, and possibly, the Board/Facility Coordinating Committee.
- (c) It is expected that the final evaluation of the report will be submitted to AusAID by the end of **February**. The Board and the Facility Coordinating Committee will consider the recommendations of the Evaluation and include in the Annual Plan for 2013/2014 provisions for implementing these.
- (d) Learning and dissemination activities will be done once the results and recommendation re finalised and have been considered by the Board.

<sup>36</sup> AusAID may opt to conduct complementary assessments including an efficiency analysis

There are planning activities happening at the same time as the evaluation. The proposed interface among these activities is reflected in the table below.

	November	December	January	February	March
Conduct of Independent Evaluation	Preparatory phase	Initial Meeting Formulation of evaluation plan	In-Country Mission Presentation of Results	Board to decide on the recommendations of the evaluation	
Formulation of the Sustainability Paper	Tripartite meetings	Tripartite meetings Start formulation of Sustainability Paper		Finalisation/ Approval of the Sustainability Paper	
Formulation of the Annual Plan for 2013/2014	Tripartite meetings	Tripartite meetings			Approval of Annual Plan with provisions for the (a) sustainability activities (b) Evaluation recommendations

### Budget

Item	Amount (,000 AUD)
Evaluation Team	45
AusAID Cost (travel etc., including participation of Canberra staff in the Evaluation)	45
<b>TOTAL</b>	<b>90</b>

Reference materials (separate list).

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## Appendix A: Record of discussions with PAHRODF partners; potential strategies to improve engagement

*(Attached as a separate document for AusAID use.)*