

**STRENGTHENING THE IMPLEMENTATION OF
BASIC EDUCATION IN
SELECTED PROVINCES IN THE VISAYAS
(STRIVE)**

Paninkamot – Pagsikapan

Stage 2 Design

SUPPLEMENTARY PAPER

**MONITORING, EVALUATION AND SUSTAINABILITY
FRAMEWORK**

FINAL

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ACRONYMS

BEAM	Basic Education Assistance to Mindanao
BESRA	Basic Education Sector Reform Agenda
CPS	Country Program Strategy
DepED	Department of Education
DO	Division Office
EDPITAF	Education Projects Implementing Task Force
GoA	Government of Australia
GoP	Government of the Philippines
ICT	Information and Communications Technology
IMCS	Instructional Materials Center Secretariat
INSET	In-Service Education and Training
KRT	Key Result Thrust (of BESRA)
LGU	Local Government Unit
LRM	Learning Resource Materials
M&E	Monitoring and Evaluation
MTR	Mid-Term Review
MDI	Melbourne Development Institute
NCTBS	National Competency Based Teaching Standards
NEAP	National Educators' Academy of the Philippines
NPSBE	National Program of Support to Basic Education
NSBM	National School Based Management (Framework)
OPS-PDED	Office of Planning Service – Program Development and Evaluation Division
PAF	Performance Assessment Framework
PCC	Project Coordinating Committee
QAP	Quality Assurance Panel
REDP	Regional Education Development Plan
RO	Regional Office
SBM	School Based Management
SEDIP	Secondary Education Development and Improvement Project
SEF	Special Education Fund
SGC	School Governing Council
SIP	School Improvement Plan
SMEF	Sector Monitoring and Evaluation Framework
STRIVE	Strengthening the Implementation of Basic Education in Selected Provinces in the Visayas
TEEP	Third Elementary Education Project
TEI	Teacher Education Institute
WB	World Bank

1. Introduction

Following submission on 14 December 2006 of a draft design for Stage 2 of STRIVE, AusAID, in a 22 March letter to MDI, provided additional guidance on issues the final design would need to address. Four areas of guidance were identified:

Conceptual Clarity, Rationale and Logic – request for clarity and emphasis on situating Stage 2 of STRIVE as support for the implementation of BESRA in the Visayas and to reflect this emphasis in the monitoring and evaluation framework and plans.

Flexibility – request for assurance that project implementation can adjust to the pace of progress on the ground.

Risk – request to enhance risk matrix with additional attention to dissemination, replication and sustainability.

Monitoring and Evaluation Strategy/Framework – request for inclusion of a monitoring and evaluation framework – linked to DepED’s monitoring framework for BESRA and AusAID’s Country Program Strategy (CPS) Performance Assessment Framework (PAF) as well as reflecting handover of activities to DepED.

While AusAID’s letter of 22 March 2007 called for a “collaborative redrafting/redesign” of the draft proposal for Stage 2 of STRIVE, during meetings with AusAID and DepED on 26 and 27 March 2007, an agreement was reached to prepare a separate Supplementary Paper to address the four areas of guidance noted above. The requirement to prepare a separate Supplementary Paper to the original Design Proposal submitted to AusAID on 14 December is essential to acknowledge the fact that the GoP approval process of the Stage 2 design of STRIVE is already well underway - based on the December 2006 draft proposal. EDPITAF provided advice that any significant redrafting or redesign of the December 2006 draft design proposal for Stage 2 of STRIVE would likely require re-submission of the design proposal to NEDA and would result in delays in obtaining GoP approval. For this reason, DepED views the collaborative “re-drafting/redesign” exercise with AusAID and MDI as simply providing “enhancements” to the draft design submitted in December 2006. Preparation of a separate Supplementary Paper was deemed the most expedient and appropriate way forward.

The purpose of this Supplementary Paper is to address the additional requests and guidance of AusAID, while retaining the integrity of the original design proposal for Stage 2 of STRIVE. The Supplementary Paper implies no changes to the components or activities identified in the December 2006 draft design proposal for Stage 2 of STRIVE.

2. STRIVE – Twin Tasks: Institutional Strengthening and Transition Preparation

STRIVE, as a development investment aligned to the AusAID White Paper and Country Program Strategy, has two tasks: one task is the more traditional of providing assistance for institutional strengthening, yet this task is to be performed in the context of the second task – preparation for transition to a programmatic support approach.

2.1 Institutional Strengthening

DepED has identified a problem and seeks the assistance of Stage 2 of the STRIVE project in resolving this problem. DepED has:

- An education system in urgent need of reform;
- Government commitment to a Basic Education Sector Reform Agenda (BESRA);
- A number of successfully piloted models (from foreign-assisted projects and other developments) of innovative and new management, teaching and learning resource inputs to schools; and,
- World Bank, AusAID and other donor funds to help roll out widespread implementation.

However, there is a serious gap between the successful pilots and the intention for widespread implementation. How can the innovations of pilots and projects be transformed into system-wide implementation? Based on DepED's previous experience with projects and pilots there appears to be limited capacity and capability of adopting and rolling out education innovations. In effect, DepED does not have effective "Education Change Management" processes.

DepED intends to utilise the assistance and facility of Stage 2 of the STRIVE project at the regional or sub-national level to overcome the gap between successful pilot innovation and system-wide application by:

- a. Undertaking to carry through from pilot stages to readiness for widespread replication and dissemination, some examples of school management and teaching reform and innovation,
- b. Developing support systems and capabilities of three Regional Offices and selected Division Offices to facilitate such reforms and roll-out implementation of previous successfully piloted approaches/models to improve schools and learning outcomes;
- c. Assisting selected national level DepED units, particularly NEAP and IMCS to assume their new roles (in teacher development and equitable access to quality learning materials), to contribute to the reform agenda;
- d. Providing inputs, as requested, into national formulation of policies, standards, programs and reforms for nation-wide implementation
- e. Liaising with, and informing donor supported and other projects that are supporting DepED accomplish widespread implementation of elements of the BESRA reform agenda.

Stage 2 of STRIVE is designed to help eliminate the change management gap and assist DepED to efficiently and effectively implement BESRA 2006-2010 by strengthening and "proving" SBM, INSET and Learning Resource support systems at the regional level in the Visayas. When followed by the large scale reform implementation funds from the GoP and other programs, the project will have contributed significantly to achieving the desired impact on improved access and quality of basic education in the Visayas and elsewhere in the country. While project implementation work is focused on the Visayas region there is an indirect effect for the national roll-out of the BESRA.

STRIVE intends to be driven by DepED which means:

- It follows existing structures,
- It is flexible to accommodate developments (e.g. new requirements by GoA/GoP)
- Builds on existing frames and/or outputs of other pilots / projects
- Sustainability strategies are largely founded on the principles of development by collaboration and participation, and are demand-led.

2.2 Transition Preparation

STRIVE is designed as a “*transition preparation*” investment. This approach is aligned to the shift of AusAID support to the Philippines away from a project approach to a program approach. The draft Australia Philippines Development Assistance Strategy 2007-2011 clearly states the intention to increasingly use Philippine government systems and Australia’s systemic support for education largely through a Trust Fund with the World Bank. Thus, Stage 2 of STRIVE should assist DepED prepare for that transition at the sub-national level in the three regions of the Visayas.

There are three aspects of transition preparation that STRIVE will be involved in. One aspect is the aspect of institutional strengthening stated earlier – the role of the project to prepare Divisions and Regions for effectively realigning and utilizing current DepED and other investments for replication/roll-out of reform initiatives. The description of this approach is included in other areas of this document, particularly in Section 6 on Sustainability.

The second aspect of transition preparation is the intent of the STRIVE project to transfer managerial and implementation responsibility to DepED structures and processes. These structures and processes under the BESRA will be funded in part by the AusAID Trust Fund and the WB NPSBE, which could provide a more appropriate mechanism than the STRIVE project to support reform initiatives at the national and regional levels. However, at this time – as the Trust Fund is not yet established or operational – DepED has requested STRIVE to begin selected activities in critical areas due to the urgency in initiating reform efforts. DepED expects that as the Trust Fund becomes operational, the managerial and implementation responsibility will be transferred from STRIVE to DepED to be covered by investments under the Trust Fund.

The third aspect of transition preparation for the STRIVE project is responding to specific requests from DepED to develop initial responses to new emerging issues that may arise during the implementation and roll-out of BESRA. The intention would be to utilise the STRIVE project as a facility to provide immediate response – within areas of project responsibility and specialisations – and to develop the response to a developmental stage at which point the initiative can then be transferred – as outlined in the preceding descriptions of “transition preparation”.

3. Stage 2 of STRIVE – A Timely Investment

DepED will utilise significant GoP funds for BESRA implementation. The GoP funds will be supported by the GOA funded Trust Fund (up to A\$10 million a year for the next 4 years), the World Bank NPSBE loan of US\$200 million over five years, plus a recent Chinese loan of approximately US\$500 million. Without the change management gap being filled, there is a danger that BESRA implementation may not proceed effectively and efficiently.

Stage 2 of the STRIVE project will cost just under A\$15 million over three years for Australian inputs and less than A\$3.6 million for GoP inputs. Stage 2 of STRIVE could influence the effectiveness of BESRA activities that are nearly 40 times the value of STRIVE.

Australia is well placed to assist the BESRA implementation because of its expertise and experience in education reform processes and its extensive base of experience in development of education in the Philippines. A key aspect is the use of external consultants to work with, and change the mindset of, key officials and stakeholders in understanding the needs and merits of the BESRA reform. The project will provide new opportunities and tools for officials and stakeholders to seize and adopt reform efforts, including specific approaches/models and knowledge/skills acquisition in:

- School Based Management, Teacher In-service and Learning Materials Development for schools;
- Education Governance, partnership, planning and management in a devolved and decentralised education system;
- Change management and systems for implementing innovation and reform;
- Quality Assurance, Monitoring and Evaluation and in improving Access and Equity.

4. Monitoring and Evaluation Framework

The Monitoring and Evaluation Framework provides the conceptual foundation, strategy and methodology for monitoring and evaluation during the second stage of STRIVE.

The Monitoring and Evaluation Framework is to be viewed as a ‘living’ document that will be regularly reviewed as part of the project progress review and planning processes, including an in-depth review and validation process with project stakeholders in the early phase of project implementation of Stage 2.

4.1 M&E personnel and the approach to M&E

STRIVE 2 will have a full-time Deputy Team Leader/M&E adviser responsible for monitoring and evaluation activities, relevant analyses and report writing. This adviser will be supported by a part-time national M&E adviser and an ICT specialist who will undertake much of the related administration and processing of the information collected.

The M&E processes will embrace the overall project strategies which focus on capacity building and sustainability of benefits. Thus rather than the M&E being solely done by external advisor(s) the approach taken in Stage 1 will be continued — Project M&E (PME) teams and Training M&E (TME) teams at both the Regional and Division levels will be established and will actively participate in the implementation of the various M&E activities.

4.2 Quality Assurance Panel

A Quality Assurance Panel (QAP) will again be engaged. The QAP will comprise independent external professionals who are considered experts in their field. Although contracted by the managing contractor, their objectiveness and impartiality will be assured from the importance and value of their professional reputations.

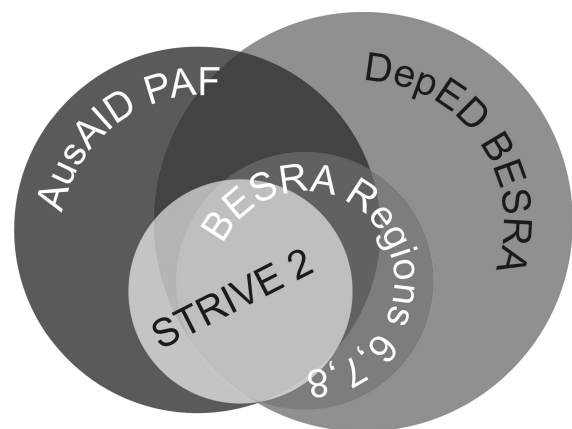
The QAP will play a significant role in the monitoring and evaluation of selected outputs through the provision of independent expert review, assessment and certification of the project milestones against specified quality performance standards. It must be emphasised that the QAP will not only be involved in the certification role, but as in Stage 1, will play a significant quality assurance role in the planning stages and act as a source of specific expertise or advice as required.

4.3 Levels of monitoring and evaluation

The alignment of the STRIVE M&E approach with GoP and GoA M&E systems is illustrated in the diagram at right.

There are four major monitoring and evaluation levels:

1. STRIVE 2 Project Progress (Continuous Improvement and Accountability against the logframe)
2. GoP Performance Indicators (Results) where the STRIVE M&E aligns with M&E systems in Regions 6, 7 and 8.
3. Contribution to implementation of BESRA at the national level (Sustainability):
4. Contribution to AusAID's Goals and Objectives of the Country Program Strategy and Performance Assessment Framework (PAF).



In Section 5 a summary is provided of the proposed data gathering exercises that will collect information to report against the various M&E levels. The section also describes when the activities will occur, how long the activities are expected to take and who will take responsibility for conducting the activities.

Each of the above four levels is articulated in the following sections. Relevant indicators and

Means of Verification and collection methods are provided for each level.

4.3.1 Project Progress (Continuous Improvement and Accountability against the logframe):

The focus of the M&E at this level is to improve project implementation performance. M&E feedback will be provided to project managers so that adjustments can be made to improve the quality and relevance of the outputs delivered. This level will also provide accountability against the delivery of the component objectives as specified in the Summary Log Frame (Annex A).

4.3.2 GoP Performance Indicators (Results):

The focus of this level is to measure the outcomes of the project in terms of their alignment with the relevant BESRA and SMEF indicators. It is not expected that many of the GoP indicators will be available from DepED in the early years of Stage 2. Therefore a detailed plan to collect and measure the most relevant indicators is described below. It is recognised that there will not be the time or resources for STRIVE to collect data to measure all indicators. Certain BESRA indicators have been modified slightly to be measurable at this point. This modification exercise was done in consultation with DepED (OPS-PDED) and the proposed Means of Verification (MoV) are aligned where appropriate with the Summary Log Frame.

(a) Component 1 – SBM Support Systems

Objective: <i>Strengthen the support systems of DepED, three Regional Offices, selected Divisions and selected schools for School Based Management through improved educational planning and management</i> Aligned to: BESRA Key Result Thrusts 1 and 3			
GoP indicator:	Proposed MoV	Means of Collection	Scope and timing
BESRA indicator: Increased percentage of public schools with school improvement plans prepared, implemented and monitored through a participatory process led by school heads working with organised school governing councils (SGCs) and meet specific quality dimensions included in an SIP assessment instrument.	Percentage of schools with SIPs approved by Divisions	Divisional DepED systems to systematically record their receipt and approval of SIPs as in Stage 1	All Divisions (target and non-target) to report to Regional Office annually
Modified BESRA indicator: Increased levels of resources managed and controlled at the school level, including resource generated by stakeholders to support education (school/ division/ region) improvement programs	Examples of level of resources controlled at school level, use of SEF funds and resources generated by stakeholders	Qualitative feedback from longitudinal case studies of sample schools	Baseline and year 3 interviews with sample schools
Modified BESRA indicator: Increase in the levels of stakeholders' satisfaction with the quality of education & the performance of schools serving them	Limited qualitative feedback on satisfaction with system and issues faced	Some satisfaction measures and issues faced will be identified in the case studies of schools	Baseline and year 3 of small sample of schools (minimum of 10 per region)

GoP indicator:	Proposed MoV	Means of Collection	Scope and timing
Modified SMEF indicator: Three regions and increased number of divisions with functional M&E system and education databases supported by ICT, where information is utilised in the development and implementation of plans, including the timely reporting and feedback of data / information to schools, division, regions regarding school, division, region and sector-wide results.	Number of regions/divisions with development plans demonstrating use of M&E and database information	Review of Region and Division Education Development Plans	Annually
Modified BESRA indicator: A planning framework (division and regional) established featuring multi-year, goal-based funding with equitable allocations to localities linked to LGU contributions and allocations to schools specified according to a transparent formula	Not to be measured during STRIVE as no inputs directly related		

(b) Component 2 – INSET Systems

Objective: *Develop Regional In-Service Teacher Education Systems and capacity building at national, Regional, Divisional and school levels to support implementation of training*

Aligned to: BESRA Key Result Thrusts 2

GoP indicator:	Proposed MoV	Means of Collection	Scope and timing
Modified BESRA & SMEF indicator: Three regions and increased percentage of schools and divisions using the National Competency-Based Teachers Standards (NCBTS) to determine teacher / learning facilitators' development needs and priorities as basis for providing opportunities for continuous personal and professional development of teachers / learning facilitators and selecting teacher-participant to INSET programs.	Increased percent of schools using NCBTS to identify training needs	Baseline survey estimated base level Follow-up survey(s)	Baseline survey at beginning of Stage 2 Repeat survey during year 3 across same schools
Increased number of teachers trained and applying acquired knowledge and skills	Number of teachers trained	Divisional reports on numbers attending training	Collated annually
	Satisfaction of training participants with training quality	Evaluative feedback from participants	Scope to be determined according to resources

GoP indicator:	Proposed MoV	Means of Collection	Scope and timing
	Increase in teaching skills and knowledge	Use of pre and post testing	available, but survey minimum of 5 training events each year
	Action plans to utilise new learning implemented	Focus group discussion with participants on their implementation of new learnings	Follow-up focus group discussion with small sample of participants from the surveyed events (minimum of 20 persons per year)
	Supervisory reports on application of training	Review of sample of school and division supervisory records	20 schools, 3 Division in each of three regions – rotate annually
Timely reporting of training results of teacher training programs and application of learning to inform future INSET	Reports covering results of above indicators to inform MTR, NEAP, etc	Reports written with input from relevant component teams and M&E adviser	Annual reports
Increased participation of pre-service teacher education institution/s in the design, delivery and monitoring and evaluation of INSET for teachers.	Documentation of participation and engagement including: approach taken, level of involvement and review of how successful	Summary report written by relevant component team	Annual reports
Three regions adopt/apply national standards to the regional implementation of INSET	Status report on NCBTS implementation across the 3 Project regions	Structured interviews plus self-assessment leading to rating against the criteria of readiness to “roll-out”	Baseline, then annual structured visits with regions and divisions

(c) Component 3– Learning Resources Systems

Objective: *Develop a system for assessing, acquiring, adapting, developing, producing and distributing quality supplementary learning materials for students and instructional support materials for teachers*

Aligned to: BESRA Key Result Thrust 3

GoP indicator:	Proposed MoV	Means of Collection	Scope and timing
Modified SMEF indicator: Increased percentage of communities/learning centers/schools with equitable and timely access to basic education resources	Increase in equitable access to learning materials	Baseline survey estimated base level	Baseline survey at beginning of Stage 2
		Follow-up survey(s)	Repeat survey during year 3 across same schools

GoP indicator:	Proposed MoV	Means of Collection	Scope and timing
Identification of and planning for development of learning and instructional resource materials are driven by analysis of data from the LRM data-base and the requirements of basic education curriculum	Better alignment of LRM acquisition with needs and requirements	Selected review of LRM acquisition records	2 Divisions per year per Region
Timely reporting of the status of development, distribution, access and utilisation of learning and instructional resource materials	Increased use and improved access to LRM by students	Survey of LRM use and access – part of baseline survey above	Baseline survey at beginning of Stage 2 Repeat survey during year 3 across same schools

4.3.3 Contribution to implementation of BESRA (Sustainability):

The focus of this level is to reflect the contributions of STRIVE in relation to the full implementation of BESRA. STRIVE, as a “project”, is being considered by DepED as a “pilot” of selected BESRA initiatives. The M&E will focus on measurement of institutional readiness and of the extent of the implementation within the project regions. The M&E at this level will assist DepED to identify the lessons learned that will assist with broader implementation, identify examples of best practice and identify any issues that will need to be considered when DepED “rolls-out” BESRA nationally.

This level of M&E will also review and compare the success of the roll-out both within target Divisions and in non-targeted Divisions within the three project regions. The indicators to be used to measure comparative success are detailed in Section 6.2 *Draft Indicators of Sustainability*.

The integrated M&E framework for Stage 2 of the STRIVE project, demonstrating the various levels of M&E activity and the types of contributions expected are presented in the diagram in Annex B – Schemata for Stage 2 STRIVE Monitoring and Evaluation.

4.3.4 Contributions to AusAID’s Country Program Strategy (CPS) - Performance Assessment Matrix

AusAID has a strong interest in the project establishing a conceptual approach and process of reporting against the AusAID Philippines CPS (2007-2011) Performance Assessment Matrix (currently in Draft form). Until the documentation is finalised, the approach can only be indicative.

The STRIVE Stage 2 project benefits of readiness, replicability and examples of effective utilisation will be itemised and assessed under the STRIVE Stage 2 M& E Framework outlined above. However these indicators fit somewhat uneasily within the currently proposed Basic Education Theme outline, which does not explicitly include Institutional Development Indicators and Readiness Indicators of the sort appropriate to STRIVE investments. The following table is indicative of what may be attempted.

CPS 2.1 Universal access to quality basic education – DepED better able to manage its resources to support schools and teachers

Performance Assessment outcome	Proposed MoV	Means of Collection	Scope and timing
Improved budget and financial management systems in DepED	Not applicable as no direct investment from STRIVE		
Increased number of schools implementing school-based management system	Increased percentage of schools with SIPs approved by Divisions	Divisional DepED systems to systematically record their receipt and approval of SIPs	All Divisions (target and non-target) to report to Regional Office annually
	Evidence that SIPs being implemented successfully	Case studies of randomly selected schools	Baseline then annually
Enhanced DepED system to monitor quality and provide feedback on school performance	Not applicable		
<p>Success indicators for STRIVE related to “DepED better able to manage its resources to support schools and teachers”</p> <p>Readiness:</p> <ul style="list-style-type: none"> • Number of Modules, Trainers, Manuals Ready for Replication • Number of Divisional Offices with capacity developed and capable of roll-out of replication of activities in other schools • Number of Regional Offices with capacity developed and capable of roll-out of replication of activities in other Divisions <p>Replicability:</p> <ul style="list-style-type: none"> • Key National standards and policies in place for replication in other regions and divisions • Documentation of pilots and institutional development capable of national replication 			

CPS 2.2 Improved education opportunities for boys and girls in targeted areas – More boys and girls attending and completing schools in targeted areas

Performance Assessment outcome	Proposed MoV	Means of Collection	Scope and timing
Increased number of teachers within the school system have qualifications in priority areas of English, Science and Maths (including disaggregation for male/female teachers)	Number of INSET programs delivered in target regions in these priority teaching areas	Records from INSET	Annual collection
% of schools in targeted areas provided with training, teaching and learning materials	Number of schools provided with training ,teaching and learning materials (or with access to through ICT)	Component adviser reports on activities and distribution of materials	Annual

Performance Assessment outcome	Proposed MoV	Means of Collection	Scope and timing
Enrolment/completion rates increased by 20% in targeted areas	Decrease in drop-out rates Increase in enrolment	Longitudinal case studies of schools with enrolment and drop-out programs	Annual
Number of boys and girls in classrooms in target areas (including variance)	Not applicable as there is no investment by STRIVE in construction of classrooms		
Training of at least 50 Madari teachers to DepED accreditation standard	Not applicable as there is insignificant Muslim populations in Visayas target Divisions		
<p>Success indicators for STRIVE related to “Improved education opportunities for boys and girls in targeted areas”</p> <p>Examples of follow-on effective utilisation:</p> <ul style="list-style-type: none"> • Examples of schools, District and Regional Offices involved in the project moving ahead and effectively utilizing the programs and institutional development • Examples of schools utilizing School Based Management to improve their education programs and learning outcomes • Examples/case studies of changed education programs and learning outcomes in the three regions 			

5. Proposed Data-Gathering Activities

The key data gathering activities to collect information for planning, revising and reporting on the project are summarised below. Additionally, the key M&E tasks identified in the table are included as an additional column in an adapted summary of the log frame (Annex A)

Task	Targets	Activity	Timing	Duration	Responsibility
1. Baseline Study	Status of Pilot Modules for in-service training Status of Pilot Modules for learning resources Training Needs Analysis of target teachers and Managers Institutional development status of the 3 Regional Offices Institutional development status of target Divisional Offices Institutional development status of NEAP and IMCS units at national level	Designated Study	First three months	Three months	Project and EDPITAF

Task	Targets	Activity	Timing	Duration	Responsibility
2. Monitoring Reports on Progress in Activities and Outputs	Project inputs achieved Project activities undertaken and completed Project outputs achieved	Project MIS	Six Monthly	Ongoing	Project and EDPITAF
3. Evaluation of training activities	Evaluative feedback from training participants	Evaluation feedback	As part of each training activity (including follow-up of sample on their implementation (see 4. and 5.))	Within activity	Training M&E teams trainers
4. Evaluation and feedback on activities	Feedback on conduct of activities Lessons learned and potential revisions of pilot activities Outcomes and benefits of pilot activities	Data-gathering by implementers of activities Data gathering by QA personnel	As appropriate to activities	As appropriate to activities	Project and DepED (including RO) staff
5. Case Studies and Focus Group Discussions with small sample of schools	Examples of follow-on utilisation of programs in Schools Feedback on INSET	Selected case studies, qualitative interviews and/or focus group discussions with small sample	Year 3	1-3 months	Designated study teams
6. Evaluation of institutional Development progress and outcomes	Development of Regional Offices readiness for rollouts Development of Divisional Offices readiness for rollouts Progress in NEAP and IMCS for undertaking new roles	Structured Visits with Ratings guides	Annually	3 days each	Designated QA teams
7. Case Studies of examples of utilisation and roll-outs of programs and activities by ROs and DOs	Examples of follow-on utilisation and roll-outs of programs and activities by ROs and DOs	Selected case studies	Year 3	1-3 months	Designated study teams
8. Accessing Data and information on BESRA and other donor project outcomes	Extent of BESRA implementation and the effects on school indicators Extent of other donor project implementation and the effects on school indicators	BESRA evaluation data Other donor projects BEIS data	Years 2 and 3	As available	Project and EDPITAF staff

Task	Targets	Activity	Timing	Duration	Responsibility
9. Reports from divisions and regions	Extent of SIP approval Extent of INSET training Extent of use of QA and M&E	Summary reports or indicating examples and extent	Years 2 and 3	1 month	Division staff
10. Periodic, mid term and Completion reviews	Stakeholder satisfaction Issues, lessons learned, examples of best practice	Consultation, and focus group discussions with stakeholders at reviews	Six monthly	2 day	Project and EDPITAF staff
11. Compilation of data and reports for Project Completion Report	Project progress, outcomes, results and benefits	Collation and analysis of data, qualitative information and other project information and reports	Year 3	3 months	Project and EDPITAF staff

6. Sustainability

Stage 2 of STRIVE is DepED's preferred mechanism to assist in bridging the gaps between pilot models and system-wide implementation of selected key thrusts of BESRA. As a result of the experiences and lessons learned from piloting and from previous projects and investments, STRIVE will provide an appropriate implementation "package" of successful innovations - capable of being rolled out throughout the Philippines - provided an enabling environment at the national level is accomplished and sustained.

The sustainable benefits that could be achieved ultimately, as a result of STRIVE, are at various levels of penetration into the education system, each level progressively further removed from the direct influence of STRIVE.

6.1 BESRA Implementation and STRIVE Influence

Level of Penetration	Influence of STRIVE
1. Selected target schools continue and progress with their implementation of BESRA as initiated by STRIVE (which in turn leads to improvement in the educational outcomes of students)	Direct influence
2. Target divisions roll-out the implementation "package" to additional (or all) schools in the division.	Indirectly through strengthening of Division capabilities
3. The 3 regions in the Visayas roll-out the implementation "package" to additional (or all) divisions in their region	Indirectly through strengthening of Regional capabilities
4. Additional regions in the Philippines roll-out the implementation "package" to some (or all) divisions in their region	No direct links except through indirect strengthening of NEAP and IMCS

Level of Penetration	Influence of STRIVE
5. Full implementation occurs with roll-out of the implementation “package” by all regions to all divisions to all schools	No direct links except through indirect strengthening of NEAP and IMCS

The three components of STRIVE will all directly contribute to the development of the pilot implementation package(s) and the work in the selected target schools and Divisions of the three Visayas regions. Satisfactory progress in the development of the packages can be measured directly against the log frame indicators.

Sustainability beyond the selected target schools and Divisions will require the existence of an enabling organisation environment to ensure successful roll-out. A central task in sustainability is the institutional capability building of Regional and Division Offices so that they can be “ready” to support and implement the roll-out of reforms and subsequently sustain and improve upon the results.

6.2 Draft Indicators of Sustainability

The following table summarises the proposed indicators of the sustainability objectives and the means of verification to measure the status of the indicators.

Sustainability Objective	Indicator	Means of Verification
Selected schools continue and progress with their implementation of BESRA as initiated by STRIVE (which in turn leads to improvement in the educational outcomes of students)	<ul style="list-style-type: none"> • % of schools with approved SIPs increasing annually to target of 100% • % of schools assessed at transforming (highest) levels in SBM work practices increasing annually by 10 percent (based on sample survey results) • Qualitative feedback of results of implementation of SIPs including lessons learned and examples of best practice 	<p>Longitudinal case studies of sample of pilot schools</p> <p>Results of Annual Review of SIP Implementation</p> <p>Results of school practices vs. NSBM framework</p>
Schools Division: Expanding roll-out to all schools within the target division	<ul style="list-style-type: none"> • Ratings on each of the readiness to “roll-out” indicators* are increasing annually to reach level 3 (Decision may be made to change target divisions if improvement/engagement not demonstrated on ratings within 12 months) • Qualitative feedback of results of implementation of SIPs including lessons learned and examples of best practice 	Baseline, then annual structured interviews plus self-assessment leading to rating against the criteria of readiness to “roll-out”

Sustainability Objective	Indicator	Means of Verification
Regional: Expanding roll-out to all divisions within the Visayas	<ul style="list-style-type: none"> Ratings on each of the readiness to “roll-out” indicators* are increasing annually to reach level 3 (Decision may be made to change target divisions if improvement/engagement not demonstrated on ratings within 12 months) Qualitative feedback of results of implementation of SIPs including lessons learned and examples of best practice 	Baseline, then annual structured interviews plus self-assessment leading to rating against the criteria of readiness to “roll-out”
National: expanding to all regions within the Philippines (target organisations NEAP and IMCS)	<ul style="list-style-type: none"> Improved ratings on the readiness to “roll-out” indicator* 	Baseline, then annual structured interviews plus self-assessment leading to rating against the criteria of readiness to “roll-out”
Strengthened co-ordination across INSET and learning resource systems.	<ul style="list-style-type: none"> Revised INSET and IMCS structures, standards and policies reflecting new paradigms in the provision of INSET and learning resources 	Documentation of the change management rationale and process

* See following sections on measuring and indicators of Readiness to Implement (Roll-Out)

6.3 Measuring “Readiness to Implement (Roll-Out)”

As noted earlier in the document, one of the key tasks of the STRIVE investment is to undertake “transition preparedness” activities. This task is aligned to the shift of AusAID support to the Philippines away from a project approach to a program approach.

6.3.1 Rationale for measuring “readiness to implement (roll-out)”

One initial task is to determine the “readiness” of the Division/Region/NEAP/IMCS to initiate and continue with the application/institutionalisation of project lessons and gains and the subsequent roll-out of these gains to other non-STRIVE schools and Divisions.

STRIVE will baseline and then periodically assess the capability or “readiness to roll-out” BESRA initiatives piloted under STRIVE. The results from this assessment will:

- Measure progress of “readiness to implement” over time;
- Identify stop-go barriers to implementation;
- Identify areas where STRIVE can provide additional capability strengthening;
- Identify areas that the organisation and GoP can work towards strengthening; and,
- Ensure capability strengthening is targeted to specific organisational needs.

Similar measures will be used to assess “readiness” to expand at each system level:

1. **Divisional:** Expanding to all schools within the target division.

2. **Regional:** Expanding to all divisions within the Visayas.
3. **National:** Expanding to all regions within the Philippines (e.g. through NEAP and IMCS).

6.3.2 Measuring “Readiness to Roll-Out”

The GoP has already articulated measuring school performance against three levels of development (standard, progressing, mature). The “readiness to roll-out” for other levels builds on that approach by assessing the “readiness” of Division and Regional levels against a set of six key criteria required for successful “roll-out”. These key criteria are:

1. Commitment towards the undertaking
2. Structural changes to organisation and/or assignment of responsibilities
3. Requisite skills/capacity of people
4. Appropriate funding (included in budget or externally sourced)
5. Technology (way of doing things)
6. Products and processes e.g. manuals prepared

The criteria cover dimensions of organisation preparedness to roll-out systems; management practices and components of systems development strengthening. Assessment would be a combination of self-assessment and by structured interview and would result in the assignment of the organisational unit at a particular level of readiness.

The levels on the rating scale of “Readiness to Roll-Out” are suggested as:

- Level 0: Unprepared
- Level 1: Committed to Proceeding
- Level 2: Preparing
- Level 3: Initiating
- Level 3+: Operational

Annex C Draft Criteria and Rating Sheet for Assessing Institutional Readiness to Roll-out provides draft indicators for each level of “readiness” in each of the six criteria categories.

STRIVE is intended to assist the selected Division and Regions in the Visayas to be prepared for “roll-out”. The following table, while not exhaustive in stating potential contributions of STRIVE, provides an indication of how STRIVE will prepare DepED.

6.3.3 Examples of Contributions of STRIVE to Institutional Readiness

	READINESS CRITERIA	CONTRIBUTIONS OF STRIVE
1	Commitment towards the undertaking	<ul style="list-style-type: none"> • Orientation sessions • Discussions on benefits with senior managers, decision-makers, key staff and stakeholders
2	Structural changes to organisation and/or assignment of responsibilities	<ul style="list-style-type: none"> • Assistance in development of organisational models and process of targeted DepED units • Assistance in preparation/adjustment of position descriptions and assignments
3	Requisite skills/capacity of people	<ul style="list-style-type: none"> • Training of educational leaders and managers at the school, division and regional level in management, coordination and data analysis and utilisation • Training of stakeholders to improve education governance • Training of specialised functions related to design, management and improvement of INSET and Learning Resource systems at national, regional and division levels • Training of teachers in areas required to meet NCBTS
4	Appropriate funding (included in budget or externally sourced)	<ul style="list-style-type: none"> • Advice and assistance on accessing other funding sources • Preparation of targeted DepED units to meet institutional “readiness” requirements (transition preparation)
5	Technology (way of doing things)	<ul style="list-style-type: none"> • Assistance in developing appropriate methods for planning, implementing, monitoring and adjusting education reform and development initiatives • Modeling of participatory and collaborative approaches
6	Products and processes e.g. manuals prepared	<ul style="list-style-type: none"> • Documentation prepared through project support e.g.: <ul style="list-style-type: none"> – Planning manuals at school/division/regional levels – M&E manuals and processes – Database operations – INSET management and operations at national, regional, division and school levels – Learning Resource Materials development – Governance manuals (SGC, School Boards) • Information databases at regional levels • Digitisation of INSET and Learning Resource Materials • Additional INSET and Learning Resource Materials • INSET and Learning Resource Materials database accessible via web • Agreements with pre-service TEI’s with DepED for INSET delivery and support • Learning Resource Centers at the Regional level and Library Hubs at the District/Division level • LAN installed/upgraded at Regional Offices <p>Products and processes developed for roll-out and replication in other schools, divisions and regions</p>

6.4 Stop/Go Decisions: Continuance, Transfer and Handover Strategies

Decisions concerning continuing investments under STRIVE as well as phase-out/transition and handover strategies will be considered from the outset. Some points of consideration include:

- Assessment of continued willingness of DepED units to participate in development activities and to show satisfactory progress in becoming ready for “roll-out” reform activities under other investments.
- Transfer of designated activities to DepED programs by agreement when such programs are ready for widespread implementation or national roll-outs.
- The participatory approach of Stage 1 has led to an ownership and engagement from the start and therefore developing an early understanding of all activities and pursuing a collaborative and inclusive approach will be continued.
- Appropriate document storage and filing will continue to be implemented.
- The training and capacity building will be undertaken in such a way that all necessary materials and processes are owned by the DepED trainers and training participants.

There are two points for stop/go decisions – one decision point is a decision as to whether or not to continue the application and investment of project resources for the ongoing capability building of a particular Division or Region. The second decision point is a decision as to whether or not to transfer responsibility for replication/roll-out and future investment from the project to DepED.

6.4.1 Decision Point 1

For the first decision point, two forms of assessment will be conducted – the first assessment will be to determine the starting rank (level) of “Institutional Readiness” (see Annex C Draft Criteria and Rating Sheet for Assessing Institutional Readiness to Roll-out) of the Division and Region prior to project investment. If the initial assessment indicates an initial ranking composed of several “zeroes”, in particular a limited commitment to take actions to improve – then a decision will be made as to whether to proceed or not with project investments in that Division or Region.

The second assessment will be for the purposes of assessing whether or not satisfactory progress is being made by the Division or region towards becoming ready for future investment for replication and roll-out. While the initial assessment will be conducted during the early months of Stage 2 of STRIVE to locate the Division or Region on the readiness matrix, it is estimated that satisfactory progress might be assumed if progress through each individual stage would be between 8-12 months. For example, Division A is initially assessed at Level 1. After 8-12 months, Division A would be assessed as having made satisfactory progress if Division A is now assessed at Level2.

6.4.2 Decision Point 2,

For the second decision point – whether or not to transfer responsibility for replication/roll-out and future investment from the project to DepED – this would occur when the Division or Region

reaches the end of Level 3 and meets the institutional readiness criteria to move to Level 3+. It is expected that all target Divisions and Regions meeting the initial readiness criteria and demonstrating satisfactory progress would meet the readiness criteria of Level 3 by the end of Stage 2 of STRIVE.

7. Risk Management (Sustainability Focus)

The project is focused on attaining “Readiness” of developing pilot models, systems and institutions to points where they are ready for widespread replication and implementation as part of BESRA through DepED projects and programs. The projection of longer-term benefits of the project, from those wider roll-outs of replication and implementation, are based on certain assumptions and estimates that risks of other funded follow-on activities are overcome.

Some of the Financial, Institutional and Technical risks (see also Risk Management Matrix in December 2006 draft Design Proposal for Stage 2 of STRIVE) which may stand in the way of significant project benefit and sustainable development through follow-on activities outside project responsibility are identified in Annex D Risk Management Matrix – Sustainability Focus.

Annex A Summary Log Frame for Stage 2 (as approved by DepED):

- i) Incorporating GoP/DepED Performance Indicators and
- ii) With additional information on collection methods

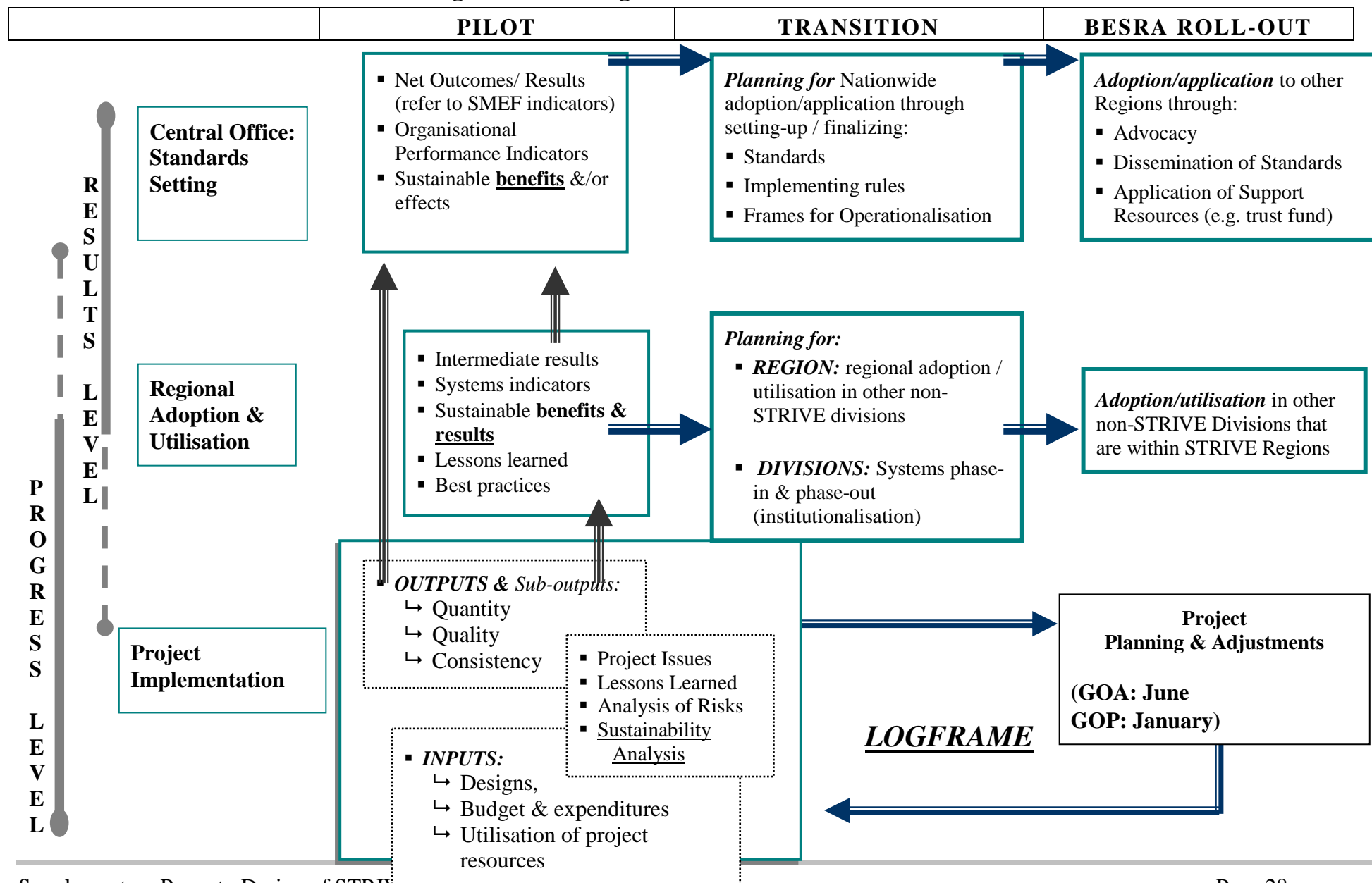
	NARRATIVE SUMMARY	VERIFIABLE INDICATORS	MEANS OF VERIFICATION	Means of Collection (As described in Section 5. Proposed Data-Gathering Activities)	ASSUMPTIONS
Goal	To contribute to the improvement in the quality of, and access to, basic education in the Visayas	Improved education and access performance indicators (such as annual national standardised test results, completion, participation, drop-out and retrieval rates) in the target Regions and Divisions	Qualitative feedback on improvement/ satisfaction of DepED educational managers and other stakeholders including community, parents, teachers, students and pupils. Quantitative measures of improvement from BEIS and Division/ School EMIS	Report comprising information from: 10. Periodic, mid term and Completion reviews 11. Compilation of data and reports for Project Completion Report 1. Baseline Study 8. Accessing Data and information on BESRA and other donor project outcomes (including BEIS data) As specified in 4.3.2 GoP Performance Indicators (Results):	GoP/ DepED policy continues to promote quality of education service delivery, particularly to disadvantaged areas. Economic recovery of the Provincial, Regional & National levels continues in a climate of social cohesion.
Purpose	To develop and strengthen selected education management and learning support systems, in part by applying and modifying available responses for improved access to quality basic education appropriate to geographic isolated and disadvantaged populations	Improved education system level performance indicators (such as SBM schools, In-service activities, access to learning materials) in the target Regions and Divisions	Qualitative feedback on improvement/ satisfaction of DepED educational managers and other stakeholders including community, parents, teachers, students and pupils. Quantitative measures of improvement from BEIS and Division/ School EMIS	Report comprising information from: 10. Periodic, mid term and Completion reviews 11. Compilation of data and reports for Project Completion Report 1. Baseline Study 8. Accessing Data and information on BESRA and other donor project outcomes (including BEIS data) As specified in 4.3.2 GoP Performance Indicators (Results):	DepED's Basic Education Sector Reform Agenda continues as a priority policy focus There is both sufficient commitment and adequate resources to continue improving and effectively utilising basic education support systems

	NARRATIVE SUMMARY	VERIFIABLE INDICATORS	MEANS OF VERIFICATION	Means of Collection (As described in Section 5. Proposed Data- Gathering Activities)	ASSUMPTIONS
Component 1: School Based Management Support System					
Objective	Strengthen the support systems of DepED, three Regional Offices, selected Divisions and schools for School Based Management through improved educational planning and management	<p>Increased number of schools effectively using School Based Management</p> <p><i>*From Proposed MoVs for GoP Performance Indicators:</i></p> <ul style="list-style-type: none"> ▪ Percentage of schools with SIPs approved Divisions ▪ Examples of level resources controlled at school level, use of SEF funds and resources generated by stakeholders ▪ Limited qualitative feedback on satisfaction with system and issues faced ▪ Number of regions and divisions with development plans demonstrating use of M&E and database information 	<p>Reports from Divisions and Regions</p> <p>Qualitative survey of personnel and stakeholders</p>	<p>Report comprising information from:</p> <p>9. Reports from divisions (on SIP approval)</p> <p>5. Case Studies and Focus Group Discussions with small sample of schools</p> <p>3. Evaluation of training activities</p> <p>4. Evaluation and feedback</p>	<p>A desire and willingness exists between key stakeholders to develop closer partnerships as a strategy to improve basic education services.</p>

	NARRATIVE SUMMARY	VERIFIABLE INDICATORS	MEANS OF VERIFICATION	Means of Collection (As described in Section 5. Proposed Data-Gathering Activities)	ASSUMPTIONS
Component 2: Human Resource Development (In-Service Teacher Education) Systems					
Objective	Develop Regional In-Service Education and Training (INSET) Systems for teachers and capability building at national, regional, division and school levels to support the implementation of in-service teacher education and training	<p>Increased number of coordinated and effective teacher in-service activities <i>*From Proposed MoVs for GoP Performance Indicators:</i></p> <ul style="list-style-type: none"> ▪ Increased percentage of schools using NCBTS to identify training needs ▪ Numbers of teachers trained ▪ Satisfaction of training participants with training quality ▪ Increase in teaching skills and knowledge ▪ Action plans to utilise new learning implemented ▪ Supervisory reports on application of learning ▪ Reports covering above indicators to inform NEAP ▪ Documentation of participation and engagement including: approach taken, level of involvement and review of how successful ▪ Status report on NCBTS implementation across the three project regions 	<p>Reports from Divisions and Regions Qualitative survey of personnel and stakeholders</p>	<p>Report comprising information from:</p> <p>9. Reports from divisions 5. Case Studies and Focus Group Discussions with small sample of schools 4. Evaluation and feedback 10. Periodic, mid term and Completion reviews</p>	<p>Regional personnel can coordinate in-service activities with different agencies and work effectively with various agendas for the in-service activities BEAM in-service modules can be adopted for use in these Regions</p>

	NARRATIVE SUMMARY	VERIFIABLE INDICATORS	MEANS OF VERIFICATION	Means of Collection (As described in Section 5. Proposed Data-Gathering Activities)	ASSUMPTIONS
Component 3: Learning Resources Materials Development System					
Objective	Develop a system for assessing, acquiring, adapting, developing, producing and distributing quality learning materials resource for students and instructional support materials for teachers	Increased number of schools effectively accessing supplementary learning and instructional materials <i>*From Proposed MoVs for GoP Performance Indicators:</i> <ul style="list-style-type: none"> ▪ Increase in equitable access to learning materials ▪ Better alignment of LRM acquisition with needs and requirements ▪ Increased use and improved access to LRM by students 	Reports from Divisions and Regions Qualitative survey of personnel and stakeholders	Report comprising information from: 9. Reports from divisions 5. Case Studies and Focus Group Discussions with small sample of schools 4. Evaluation and feedback 10. Periodic, mid term and Completion reviews	BEAM ICT system for materials development and utilisation can be adapted for wider use

Annex B Schemata for STRIVE Stage 2 Monitoring and Evaluation



Annex C Draft Criteria and Rating Sheet for Assessing Institutional Readiness to Roll-out

Criteria	Level 0	Level 1	Level 2	Level 3	Level 3+
Commitment towards the undertaking	No commitment to proceed	Commitment to proceed but planning at basic stage but including coverage (how many sites)	Plan developed in more detail but without any commitment to starting date	Plan developed for roll-out commencing within one year including timelines, resourcing, materials requirements, responsibilities	Roll-out plan as detailed in Level 3 included in organisational plan (DEDP/REDP) or roll-out happening
Structural changes to organisation and/or assignment of responsibilities	No consideration given to where responsibility lies in organisation	Responsibility assigned to a section	Clarification of roles and responsibilities articulated	Person(s) assigned with sufficient time allocation to perform duty	Person(s) in roles and actively contributing to development of “roll-out” plans etc
Requisite skills/capacity of people	Skills and capacity requirements not identified	Requisite skills set identified	Identification of any gaps in skills of relevant staff and capacity building strategy developed	Person(s) skills/capacity strengthened Skills in place	Person(s) actively contributing to development of “roll-out” plans, training plans, implementation etc (through applying skills)
Appropriate funding (included in budget or externally sourced)	Requirements from internal budget or from external resources not identified	Requirements from internal budget or from external resources identified	Decisions for any funding from internal budget endorsed AND agreements for any required funding from external (e.g. trust fund) sources reached	Internal budget decisions reflected in upcoming budget AND confirmation of timing and funding arrangements from external resources	Funds available
Technology (way of doing things)	Not identified or understood	Planning has begun on “how” to implement	A methodology developed on how to implement	Methodology reflected in “roll-out” plan(s) as above in “ <i>Commitment towards undertaking</i> ”	Preparatory activities occurring (application of learned technology)
Products and processes e.g. manuals prepared	Not known what is required	Identification of all necessary materials and processes Customizing of materials if appropriate	Costings of requisite material production, training venues etc to feed into budget preparation	Quotations, agreements etc made in readiness for “roll-out”	Materials being prepared, contracts signed etc

Annex D Risk Management Matrix – Sustainability Focus

SOURCE OF RISK	RISK EVENT	MANAGEMENT OF RISK
FINANCIAL & ECONOMIC RISK		
Inadequate budget allocations made by National/ Regional/ Provincial/ District and School bodies to support project	Insufficient resources supplied by counterparts in support of the project. Inability or delays in achieving desired project outputs. Project team members may pursue non-project activities.	Report problems to the EDPITAF immediately upon identification; resolve problems at the project level if possible. If not resolved, refer to AusAID & PCC
GOA Trust Fund and WB NPSBE sector program may not provide additional resources to the three regions to extend project activities and impact	Insufficient resources to move beyond pilot activities in target divisions or to extend modules to other Divisions.	Maintain close liaison with both GoA and WB NPSBE programs and encourage complementarity and mutual support of activities.
INSTITUTIONAL RISK		
Capability of counterpart coordinating agency (EDPITAF) may be inadequate to provide appropriate management direction and coordination for the STRIVE project	Project will not be managed and coordinated well – resulting in inefficiencies and lack of effectiveness. Project results have less chance of being sustained and institutionalised	Regular meetings of project management (AMC and DepED senior management). Establish and maintain close liaison between AMC and EDPITAF management. Ensure adequate time dedicated by AMC management to liaise with EDPITAF management in Manila
Insufficient Capability of EDPITAF and other DepED units to plan, manage and administer national rollout of BESRA reforms and donor supported projects	Objectives of project not realised – ineffectiveness of project activities, inefficiencies in project operations	Regular meetings of project management with targeted DepED units to discuss status and progress towards institutional readiness. Ensure close liaison of technical assistance with the targeted DepED units
DepED is unable or unwilling to decentralise management and administrative functions to lower levels	Project efforts are not sustained – STRIVE is viewed as a temporary project intervention after which DepED returns to centralised behavior	Close liaison between project management/ technical advisors and efforts of BESRA, NPSBE, AusAID support to basic education and other reform initiatives
Duplication or gaps in roles and activities between the project and the GOA NPSBE education sector program	Inefficient use of resources may result, with conflicts over roles, priorities and best use of resources	Maintain close liaison with both GOA and WB NPSBE programs and encourage complementarity and mutual support of activities.
Inability of agencies/institutions to continue initiatives after project. Project activities not sustained or “mainstreamed”.	Sustainability of project benefits not achieved	All activities planned within budgetary and human resource constraints of school communities, LGUs and government; Sustainability Strategy developed and adopted early in project to be used to guide design and implementation of project activities

SOURCE OF RISK	RISK EVENT	MANAGEMENT OF RISK
TECHNICAL RISK		
Project interventions are not appropriate, not understood or not accepted by DepED and stakeholders	Project activities are poorly attended and there is lack of active support for project interventions and adoption of project results	Close liaison between project management/technical advisors and targeted DepED units, beneficiaries and stakeholders. Conduct orientation sessions and regular updating events. Utilise participatory and collaborative planning and monitoring models to build understanding and consensus
Policy guidance on BESRA implementation is absent, weak or confusing	Actions and activities of project are uncertain and may not be aligned to development and reform requirements	Close liaison between project management/technical advisors and efforts of BESRA, NPSBE, AusAID support to basic education and other reform initiatives
Key personnel may find the entire change process threatening and are reluctant to participate	Resistance to change would seriously hamper the achievement of project objectives. Resistance in some locations is anticipated and could result in disparate development timings across project activities	Demonstrate value of the new information and processes through pilots, identification and use of “champions”. Organise periodic project briefings/communication; proactively identify generic or individual barriers to change from beginning and address with stakeholders; establish professional development groups to discuss and address problem issues; provide advice, support and backup
Unable to replicate STRIVE model in other provinces due to inadequate resources	Project fails to produce viable replication model for application/replication/adaptation for other provinces	Ensure that results of plots activities clearly demonstrate ways in which pilots can be replicated, including resource implications Ensure on-going consultations throughout project with DepED at school, cluster, district, division, region and national level. .
NEAP unable to devote adequate human resources to the development of the trainer training program and contribute to the identification of trainers	Delays and inadequate resources/guidance in the design and implementation of trainer training program	Engage NEAP early with detailed specifications on training program and encourage development utilising materials developed under NEAP and other programs/projects (including BEAM, SEDIP, TEEP). .

Annex E: Approach to Gender Issues

Critical to the success of STRIVE Stage 2 will be the manner by which it integrates a concern for gender issues across each aspect of program implementation. A gender access and equity strategy will be developed within the first month of operations that includes gender analysis and gender equality objectives and indicators to be considered in the design and monitoring and evaluation frameworks.

The strategy which will be developed in a fully participatory manner with DepED will align with BESRA key result areas. The key point here, and something that STRIVE does well, is to strengthen partner country capacity to implement their own gender equality priorities.

The strategy will identify approaches to:

1. Engage with both men and women to achieve gender equality. Responsibility for achieving gender equality being shared by all.
2. Strengthen accountability mechanisms to increase effectiveness.

Collection and analysis of information to improve gender equality results. Accountability requires a solid information base, STRIVE is well positioned in Stage 2 as a result of the work of the M&E adviser in Stage 1 to report against gender equality results. Much of the success of this analysis depends upon the right information being collected and analysed, regularly and promptly.

The gender access and equity strategy will be integrated within each component of the program. For example:

Component 1: School Based Management Support System

- attention to gender equity issues in preparation of School Improvement Plans in relation to all community/school stakeholders;
- encouragement for active and equitable participation by both genders from the community in SBM consultations;
- gender disaggregated data collection and analysis within M&E processes

Component 2: Human Resource Development (In-Service Education and Training - INSET) Systems for Teachers

- attention to gender issues in preparation of model in-service programs and activities;
- support for active and equitable participation by both genders in teacher education development and training programs and activities;
- gender disaggregated data collection and analysis within M&E processes

Component 3: Learning Resources Materials Development System

- attention to gender equity issues in preparation of model learning and instructional resources and related teaching activities;
- support for active and equitable participation by both genders in learning and instructional resources development and training programs and activities.
- gender disaggregated data collection and analysis within M&E processes

Component 4: Project Management

- Concern for gender balance in recruitment
- Promotion of gender issues awareness through publicity and promotional activities
- Oversight of gender policy implementation across program operations
- Review of gender policy implementation in regular reports and Annual Plans

Annex F: STRIVE project: Addendum

Revised Purpose Statement

Based on peer review comments that the purpose statement needs revision to specifically reference STRIVE's role within the BESRA context, the following is proposed as the amended Purpose:

To support and strengthen regional and sub-regional DepED systems and capacity for current and future planning and implementation of the national education reform program under BESRA.

The Goal under which this purpose sits is: “To contribute to the improvement in the quality of, and access to, basic education in three selected Regions of the Visayas”.

GoP's evaluation of the (original) PDD for Stage 2 described the objective of STRIVE 2 as: “to contribute to the improvement in the quality of and access to basic education in the Visayas by assisting in the development of an enabling environment upon which current and future education reform efforts will be supported, sustained and continually improved. The improvement of education management and learning support operational systems at the regional level is expected to be accomplished, in part, through the application and modification of selected successful innovations that are appropriate to geographically isolated and disadvantaged populations”. Stage 2 “finds itself situated within a number of other reform investments, (and) may be described as assisting DepED to implement the Government's BESRA. Activities will serve to support the regional office's role as a support mechanism to the implementation of DepED reforms and the accompanying major development programs supported by other donors and agencies.”

While DepED has articulated a clear reform agenda in BESRA, it acknowledges the challenges in translating this into implementation on the ground (including lack of capacity at all levels and uncertainty regarding understanding and support to the reform agenda by DepED staff). GoP, AusAID and STRIVE are clear about STRIVE's purpose in supporting DepED in Visayas to implement best practices within the policy and strategic framework of the BESRA process, in particular improving school level planning and improving teacher quality and the opportunities for them to resource a range of quality materials. STRIVE will prepare and assist regions and divisions to translate BESRA into implementation on the ground, with a view to eventually transferring managerial and implementation responsibilities solely to DepED structures and processes. STRIVE will also ensure information flow mechanisms are in place to capture evolving policies, standards and programs and reforms, including upward linkages to inform national reforms. While the focus of Stage 2 is on sub national levels it aims also to strengthen links to central DepEd.

The project purpose (and goal) aligns with AusAID Education policy, the principles in the White Paper, and the Australia-Philippines Development Assistance Strategy 2007-11. The Objectives of Basic Education pillar of the Strategy are:

- The Department of Education is better able to manage its resources to support schools and teachers
- Improved education opportunities for boys and girls in targeted areas

Monitoring of progress against this purpose

DepED has determined a number of broad outcomes for BESRA. However further work is needed to build these into a robust monitoring framework. The Program Implementation Plan (PIP) for BESRA intends to provide an annual rolling implementation framework and action plans. Further work is required to link this to a performance framework, the budget and a medium term expenditure framework. With the World Bank loan now effective and the start up of the AusAID resourced Trust Fund these activities are now crucial for system wide management and progress monitoring. Donor support will assist DepED fine tune its M&E for BESRA.

AusAID would anticipate a deepened and expanded draft PIP being available for the August 2007 BESRA Review. It should include:

- a) Programs detailed for the first year and associated action plans
- b) Indicative programming for two out years
- c) Programs linked to the medium term finance framework and reflecting all resources
- d) An updated monitoring framework based on GoP's Organisational Performance Indicator Framework and reflecting further levels of detail that might be required by donor partners.

As a key contributor to implementation of BESRA in Visayas, STRIVE activities will be fully incorporated into BESRA's medium term programming framework and annual work program - and will be monitored as a normal part of the BESRA review process. However, not least because this system is still under development, other more discrete monitoring and programming mechanisms are required in the short to medium term.

The Supplementary Paper to the STRIVE program outlines a monitoring framework that provides a mix of output targets and process indicators that are developed from the BESRA Key Result Thrusts. As the latter are still very much work in progress, the STRIVE M&E framework has attempted to 'disaggregate' those where STRIVE will have a particular role to play. The M&E framework appropriately focuses on the activities and levels agreed following the evaluation of STRIVE I. The outputs and the well designed process tool of 'ready to roll out' should ensure that progress is monitored and made. Sustainability is built into the program as long as the monitoring is rigorous – no activity should take place unless it is in the school, district or region plan linked to outcomes and, as such, the recurrent cost implications have been factored into the medium term budget.

STRIVE may need AusAID support to ensure that activity is not being pursued simply to meet outputs. As the program is very TA intensive, the effectiveness of the inputs will have to be continuously reviewed against results and any required remedial action taken swiftly.

Role of AusAID in monitoring and managing project progress

AusAID is responsible for ensuring the coherence of all our education sector support in the Philippines, in line with the policy directions set out in the Country Strategy. In the case of STRIVE, this responsibility extends to ensuring its complementarities with BESRA goals. However, it is not our intention to micro manage the activities.

To ensure STRIVE progresses towards achieving its purpose as stated above AusAID will:

- a) Monitor the project as a part of the semi-annual BESRA review process. The Visayas (and Mindanao) would be areas for in depth review and lesson learning. The review will monitor the project(s) vis a vis the agreed BESRA policy outcomes framework and make proposals for adjustments, learning from project and other projects'/programs' experiences.
- b) Work with the project team and DepED so that STRIVE supported activities are incorporated into the medium term planning frameworks of the school, district and region, and that good reporting lines/mechanisms are established (between schools/ district/ region and HQ). In part, this will take place during the BESRA reviews and PCC meetings. In addition, meetings will take place between AusAID, the program and relevant DepED officials at key DepED decision points (budget, review etc.).
- c) Monitor and take hard decisions (with the STRIVE team) should project technical assistance appear to be replacing or substituting for what should be DepED led activities and processes. Involve DepED in discussions necessary for resolving such issues, adjusting the project or, should it be deemed necessary, termination of it.