Terms of Reference (TOR) for the Agency-to-Agency Procurement of the RAPID Growth Project Evaluation Studies

Project Overview

The Department of Trade and Industry (DTI) has embarked on the implementation of the project “Rural Agro-enterprise Partnership for Inclusive Development and Growth” (RAPID) Growth Project. The Project with IFAD Loan No. 2000002109 and IFAD Grant No. 2000002299, which was effective on 8 July 2019, will support the new administration’s socio-economic agenda of promoting rural enterprises and value chain development; increasing competitiveness and ease of doing business; investing in human capital, and matching skills development to meet the demand of business; accelerating infrastructure spending; and promote science and technology to enhance innovation and creative capacity. The project also falls under the target outcomes of the second pillar of the new 2017-2022 Philippine Development Plan (PDP) which focuses among others on increasing access to value chains, innovative financing and technology

The Project aims to contribute to the reduction of incidence of poverty in the target areas through sustainable increase in income of smallholder farmers and unemployed rural men and women across the selected value chains. It will be implemented in twenty- one (21) provinces in the following six regions namely; Regions VIII, IX, X, XI, XII, Caraga, and BARMM. It will target four agricultural clusters: coffee, cacao, processed fruits and nuts and coconut.

This will be achieved by providing strategic enabling conditions for the sustained growth of micro and small enterprises in commodity value chains with comparative advantage, market demand, growth potential, backward linkages to small farmers and job creation effects.

Results Framework and Project Components

The RAPID Growth Project activities and their results are designed to deliver the development objective which is to provide strategic enabling conditions for the sustained growth of small and micro enterprises in selected agricultural commodity chains with comparative advantages, market demand, growth potential, links to small farmers and the potential for job creation.

Outcome 1: Producers and value chain actors execute collaborative action plans and build commercial partnerships in selected commodity chains. Activities towards achieving this outcome will focus on establishing and strengthening institutional capacity of value chain actors as well as promoting inclusive and collaborative partnerships benefitting the target groups.

Outcome 2: Farmers’ Associations, Cooperatives, and MSMEs secure the necessary access to producers, markets, and suitable investment finance. Interventions under this outcome intends to facilitate access to suitable producers, markets, and financial services in between value chain segments.

The outcomes mentioned above will be achieved through the following components:

1. Direct Assistance to Enterprise- this component will provide complementary activities necessary to boost investments along the four (4) commodity value chains. This includes the provision of conditional matching grants and in partnership and/or coordination for the rehabilitation of farm-to-market roads (FMR) to improve connectivity of production areas to intended markets.
2. Institutional Strengthening- RAPID Growth Project will promote business partnerships between MSMEs and farmers in the target commodity value chains by means of the following:

* Establishment of provincial networks of Negosyo Centers (NC), which will serve as one-stop shops for promoting entrepreneurship;
* Development of Microenterprises and Cooperatives as service hubs to provide basic services to the farmers;
* Facilitation of inclusive and equitable partnerships between SMEs targeting profitable domestic and export markets; and
* Capacity building of Local Government Units (LGUs) on the supervision and monitoring of FMR rehabilitation works.

1. Technical Assistance to Financial Service Providers (FSPs)- this entails capacity building of FSPs for them to deliver accessible financial products and services to the target groups.
2. Innovative Financing- under this component, the project will provide incentives to private equity and venture capital firms to co-finance SME capital requirements.
3. Project Management

Targeting Strategy

The project uses both geographic and direct targeting.Geographic targeting is embedded in the process of selection of investment areas. The selection of target provinces is primarily based on poverty incidence and growth potential of priority value chains. As to direct targeting, key target groups include smallholder farmers and micro entrepreneurs within the selected commodity value chains, as well as unemployed and underemployed rural women and men to be potentially employed by participating enterprises. Within these groups, special focus is on: (i) women, either farmers or women entrepreneurs; (ii) youth (men and women); and (iii) indigenous people. As per design, at least 40% of beneficiaries accessing project services should be women and 25% of project services extended to MSMEs should be accessed by young people.

While micro-enterprises have been defined following DTI classification (i.e. those with assets valued PHP 3 million and below), the project does not yet have a clear definition for smallholder farmers. During the mission, it was agreed to adopt the definition by the Department of Agrarian Reform of smallholder farmers as having access (as owners or tenants) to landholdings of five hectares and below. The participation of Farmers’ Organizations (FO) can be targeted in 2 manners 1) FOs as the institutions where smallholder farmers are members; and 2) FOs as enterprises (e.g. Farmers’ Cooperatives). Their capacity and role in the value chain can be determined through profiling which includes maturity assessment.

Purpose of Evaluation

The National Project Coordination Office (NPCO), with the guidance by various oversight divisions of DTI (i.e. FS, ROG and RGMS) and together with IFAD, will jointly carry out ex ante and ex post evaluations of the Project. As defined by the OECD (2002), “evaluation” is a systematic and objective assessment of an ongoing or completed project, program, or policy, including its design, implementation, and results. The aim is to determine the relevance and fulfillment of objectives, efficiency, effectiveness, impact, and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors (p. 21). Evaluation should be seen primarily as an instrument of accountability and lessons learning.

As specified in the Financing Agreement between IFAD and GOP, the Project shall commission major evaluation activities, specifically, 1) Baseline Survey; 2) Annual Outcome Survey; 3) Mid-Line Survey; and 4) End-of-Project Surveys for the Project Completion Review. Employing a results-based approach to monitoring and evaluation and to assess effectiveness and impact and the efficacy of the project strategy and theory of change, the Project evaluation strategy aims to achieve the following:

1. Establish the existing condition of the targeted groups in the project area through baseline survey.
2. Review the progress towards impact and assess significant changes made and provide strategic directions towards the end of the project life during the Mid Term Review (MTR). The MTR shall also consider the achievement of the Project objectives and identify constraints. It is also expected to recommend such reorientation as may be required to achieve such objectives and remove such constraints.
3. Identify key successes and gains as well as determine and validate sustainability strategies and areas to upscale the project at the end of the project evaluation.
4. Review the relationships and impacts transpired in the course of implementing the project. Challenges, bottlenecks, and lessons learned that can be discussed and corrected during annual outcome surveys.
5. Review and provide synthesis and policy recommendations related to the development and governance of the targeted value chain clusters.

RAPID Growth Project Evaluation shall be in accordance to the evaluation policies given by the oversight bodies and shall be the main reference of the terms used in this design. Evaluation manual from the Independent Office for Evaluation (IOE) of IFAD and the National Evaluation Policy Framework of the Philippines set by the National Economic Development Authority (NEDA) and Department of Budget and Management (DBM) through a Joint Memorandum Circular (JMC) Number 01 Series of 2015 (NEDA-DBM JMC No. 2015-01) will be the main documents and will serve as guide in the process of evaluation of the Project. This Terms of Reference (TOR) shall lay all the necessary requirements to accomplish these evaluation tools. The succeeding parts will discuss per study’s intention on how to organize and administer these evaluation studies accordingly.

Scope of Work and Deliverables

The Servicing Agency will be engaged to deliver the following:

|  |  |  |
| --- | --- | --- |
| Activity/ Document Name | Brief Description | Date of Conduct/ Submission |
| 1. Evaluation Plan | Prepare evaluation strategy including design, instruments, and timeline in undertaking outcome and impact evaluations consisting of baseline survey, mid-line survey, annual outcome surveys (AOS) and end-of-project survey. The evaluation strategy needs to be grounded in the Project’s Theory of Change. | 2021 February |
| 1. Inception Report | The evaluators will submit a draft inception report and will be subjected to series of consultation and validation workshops with key stakeholders. | 2021 March |
| The evaluators will facilitate a 1-day inception workshop with the RAPID Evaluation Review Team composed of DTI-NPCO, NEDA-MES, and IFAD-PH. The workshop will also be participated by key value chain players per industry cluster involved. |
| Report on the result of the inception workshop. Detail on the content of the Inception Report is elaborated in the next part. |
| 1. Baseline Survey Report | Report that will establish the current situation of the target groups and the involved industry value chains. This result will also be the basis of comparison for the monitoring of progress of each indicator at the output and outcome level. | 2021 July  Actual study conduct period: Mar- July 2021 (120 days) |
| 1. Mid-Line Survey Report | Report that will provide basis on the assessment on the operational aspects, such as project management implementation of activities and also the extent to which objectives are being fulfilled. It will focus on corrective actions needed for the project to achieve impact.  The report also includes the Economic and Financial Analysis and Policy notes/ recommendations | 2023 August  Actual Study conduct period: Jul-Aug 2023 (60 days) |
| 1. End-of-Line Survey Report | The report will provide the Evaluation Review Committee evidences on whether RAPID Growth Project has achieved its development objectives and desired outcomes successfully and sustainably and how these performances has contributed to achieving its higher-level goal which is to contribute in reducing poverty incidence among the smallholder farming households. Furthermore, the EOL shall also give emphasis on sustainability mechanisms or scaling up the project if found viable.  The report also includes the Economic and Financial Analysis and Policy notes/ recommendations | 2025 November |
| 1. Technical Assistance Report in the Conduct of Annual Outcome Surveys | The report shall provide information on the technical support provided by the Servicing Agency in the preparation of survey design and instruments and pre-testing of questionnaires, as well as training for enumerators and project units on how to implement the AOS and preparation of the report. | 2022 and 2024 |

Evaluation Plan

Prior to the conduct of the inception workshop and preparation of the inception report, the Servicing Agency is required to submit a report detailing the evaluation research strategies and timeline for the conduct of these 4 Key M&E studies. The following are the activities to be conducted at this stage:

1. Desk review of all RAPID Growth Project Documents (e.g. Logical Framework, Design Report, Evaluation Report, Financing Agreement, etc.), IFAD Evaluation Framework, and NEDA-DBM Evaluation Policy.
2. Review on the Project’s Results Hierarchy, Logical Framework, and Theory of Change.
3. Proposed evaluation tools, survey/ sampling design, and data collection plan
4. Inventory of relevant policy topic areas to be conducted during the Mid-term and End of Project evaluation.

Inception Report

The second document that the Servicing Agency has to come up with is the Inception Report. A draft inception report will be submitted and will be subjected to consultations and validations from key project stakeholders. A participatory Inception Workshop will be conducted with the evaluators, Core Evaluation Review Team (DTI- NPCO, NEDA-MES, and IFAD-PH), and key industry stakeholders. It is expected to present the following in detail:

1. Discussion of the evaluation framework/ strategy and its approaches, risks, and limitations (evaluation plan)
2. Elaboration of the proposed survey methodologies and design which includes data collection methods, survey instruments and evaluation methods
3. Review of the Project Design as well as discussion on the core indicators to be monitored. The evaluators shall also review the Project’s Logical Framework and revisit or revise the Project’s Theory of Change.
4. Stakeholder’s analysis from the existing database of target groups’ profile and policy topic areas to be reviewed during the evaluation.
5. Overview of the research methodologies proposed to carry out economic and financial analysis (EFA) during the Mid-line and End-line surveys and listing of required data for validation of ex-ante EFA and reevaluations at mid-term and end-line.
6. Work and Financial Plan including timeline for the conduct of the major M&E surveys and logistical and administrative arrangements.
7. Information on survey schedule, number of enumerators and their training.

Baseline Survey and Policy Study

The baseline survey will establish the comparison or reference values/ data for the project’s key indicators and constitute the basis to measure the project performance. The baseline values will be used to assess progress, impact, and outcomes. The baseline data will also help assessing the robustness of the assumptions underlying the Project’s TOC. The study includes the following tasks and outputs:

1. Prepare a report on current situation of smallholder farming households (including but not limited to income level, asset ownership, household size, sources of income, benchmarks for outcome indicators in the project logframe as provided, etc.) within the target area who are engaged in the value chain of selected commodities in terms of access to and utilization of production technologies, production inputs, credit, agriculture support infrastructures (e.g., roads, etc.) information and market, and policy environment.
2. Review, validate, and assess the current situation and profile of various Farmers’ Organizations, MSMEs, Anchor Firms, Financial Service Providers and other main actors playing with the targeted value chains in terms of its capacity to provide access to production technologies, markets, and financial services to smallholder farmers.
3. Examine, with an adequate level of detail, the existing value chain situation of the selected commodities and how these enterprises can be scaled up where DTI RAPID Growth Project will focus its interventions. This part will also include policy reviews with defined subject as determined during the inception workshop.

Attached in the Annexes is the summary of Core Indicators in the Project’s Logical Framework. This contains the End-of-Project targets and the Baseline Survey result is expected to fill in the column intended for the baseline values. Matrix below presents the timeline for the conduct of baseline study and payment tranches:

|  |  |  |  |
| --- | --- | --- | --- |
| Activity(ies) | Output | Duration | Tranche |
| Preparation of survey design and instruments and pre-testing of questionnaires | Final/ tested survey design and instruments | 20 days\* | 30% |
| * Data collection, FGD, KIIs, household level survey * data processing * data validation/ consultations workshops * Policy review and write up * Presentation of first draft | Draft Baseline Study Report | 45 days | 30% |
| - Data collection, FGD, KIIs   * data processing * data validation/ consultations workshops * address comments * Policy review and write up | Final Baseline Study Report with clean data sets, tables, and GIS maps. | 45 days | 20% |
| Presentation of Results | Presentation/ Presentation Materials | 10 days\* | 20% |

*\*includes the period of review and approval*

Mid-Line Study

A mid-term survey and end-of-line outcome/impact survey will be commissioned in preparation for the MTR and for project completion, respectively, to measure changes at farmer and enterprise level, compared to the baseline study and a control group. The Project Team will provide the Servicing Agency with the sample frame including the list of projects beneficiaries as well as the composition of the samples at baseline (and mid-term if completion).

The Mid-line study will be conducted prior to the Mid-Term Review in year 2023. It will provide basis on the assessment on the operational aspects, such as project management implementation of activities and also the extent to which objectives are being fulfilled. It will focus on corrective actions needed for the project to achieve impact.

The progress of the Project will also be measured at the mid-term against the baseline values. This part will provide an overview on the numerical track of the core indicators towards the end of the project. In broader context, the Mid-line study is expected to provide feedback regarding relative effectiveness of various interventions of RAPID to its target groups. With this, the evaluators are required to perform the following:

1. Design and develop of evaluation instruments consistent with the identified methodologies (e.g. sampling frame, sampling designs, survey questionnaires, FGD and key informant interview questions, field manual, etc.) and conduct of preparatory activities for the fieldwork (e.g. collection of the sampling frame, PSA approval of the survey questionnaires, project areas/sites inspection and selection, pre-testing, etc.);
2. Desk review on pertinent Project Documents (e.g. Baseline survey results, Financing Agreement, AWPB/ APP, Progress Reports, Profiling Database, MIS content and various database/ registries, etc.)
3. Data collection, processing, analysis, and validation. This includes conduct of FGDs, KIIs, and facilitate validation and consultation workshops.
4. Conduct Economic and Financial Analysis (EFA) of the investment vis-à-vis the reach of the project intervention. This will also be a good starting point to determine sustainability measures or the feasibility of scaling up the project.
5. Conduct policy review on a definite topic prescribed during the inception.

Other specific areas to be assessed in the Mid-line study include:

* Farmers’ improved production and income, with special attention to women farmers and entrepreneurs, young entrepreneurs, and Indigenous Peoples;
* Performance of supported enterprises in terms of profitability, growth of balance sheets, job creation, access to financial and non-financial services;
* Performance of Negosyo Centers in facilitating enterprises’ access to services and markets;
* Identification of best performing business models and opportunities for scaling up;
* Performance of financial institutions in delivering project-supported financial instruments, and in expanding access to financial services in the target areas;
* Linkages between road infrastructure planning and implementation to private sector led local development;
* Performance of project management and of key partners, including service providers, DTI, DILG and LGUs;
* Role and impact of industry councils and private sector associations at the various levels.
* Gaps in current policies

Matrix below presents the activities, outputs, duration, and payment tranche for the conduct of Mid-Line study.

|  |  |  |  |
| --- | --- | --- | --- |
| Activity(ies) | Output | Duration | Tranche |
| * Preparation of survey design and instruments and pre-testing of questionnaires | Final/ tested survey design and instruments | 5 days\* | 20% |
| * Desk review of RAPID pertinent documents such as progress reports, baseline results, etc * Data collection, FGD, KIIs * data processing * data validation/ consultations workshops * Policy review and write up * Presentation of first draft | Draft Mid-Line Study Report (with EFA and policy notes) | 30 days | 30% |
| - Data collection, FGD, KIIs   * data processing * data validation/ consultations workshops * address comments * Policy review and write up | Final Mid-Line Study Report (with EFA, policy notes and clean data sets and tables) | 15 days | 30% |
| Presentation of Results | Presentation/ Presentation Materials | 10 days\* | 20% |

*\*includes the period of review and approval*

End-of-Line (EOL) Study

The RAPID Growth End of Line Survey will be conducted prior to the conduct of the End of Project Evaluation on the 66th month of the Project life. In particular, this will be after the completion of all activities to help project funders, implementers, beneficiaries, and other stakeholders understand what anticipated results have been achieved.

The purpose of the EOL study is to provide the Evaluation Review Committee evidences on whether RAPID Growth Project has achieved its development objectives and desired outcomes successfully and sustainably and how these performances has contributed to achieving its higher-level goal which is to contribute in reducing poverty incidence among the smallholder farming households. Furthermore, the EOL shall also give emphasis on sustainability mechanisms or scaling up the project if found viable. The Project Team will provide the firm with the sample frame including the list of projects beneficiaries as well as the composition of the samples at baseline (and mid-term if completion).

The following are the activities for the EOL survey:

1. Design and develop of evaluation instruments consistent with the identified methodologies (e.g. sampling frame, sampling designs, survey questionnaires, FGD and key informant interview questions, field manual, etc.) and conduct of preparatory activities for the fieldwork (e.g. collection of the sampling frame, PSA approval of the survey questionnaires, project areas/sites inspection and selection, pre-testing, etc.);
2. Desk review on pertinent Project Documents (e.g. Baseline and Mid-line survey results, Financing Agreement, AWPB/ APP, Progress Reports, Profiling Database, MIS content and various database/ registries, etc.)
3. Data collection, processing, analysis, and validation. This includes conduct of FGDs, KIIs, household level survey and facilitate validation and consultation workshops.
4. Conduct Economic and Financial Analysis (EFA) of the investment vis-à-vis the reach of the project intervention. This will also be a good starting point to determine sustainability measures or the feasibility of scaling up the project.
5. Conduct policy review on a definite topic prescribed during the inception.

Matrix below presents the activities, outputs, duration, and payment tranche for the conduct of EOL study.

|  |  |  |  |
| --- | --- | --- | --- |
| Activity(ies) | Output | Duration | Tranche |
| Preparation of survey design and instruments and pre-testing of questionnaires | Final/ tested survey design and instruments | 5 days\* | 20% |
| * Desk review of RAPID pertinent documents such as progress reports, results of baseline and mid term * Data collection, FGD, KIIs * data processing * data validation/ consultations workshops * Policy review and write up * Presentation of first draft | Draft End-of-Line Study Report (with EFA and policy notes) | 30 days | 30% |
| - Data collection, FGD, KIIs   * data processing * data validation/ consultations workshops * address comments * Policy review and write up | Final End-of-line Study Report (with EFA, policy notes and clean data sets and tables) | 15 days | 30% |
| Presentation of Results | Presentation/ Presentation Materials | 10 days\* | 20% |

*\*includes the period of review and approval*

Annual Outcome Surveys

One of the core M&E activities to be conducted under RAPID Growth Project as required by the IFAD Evaluation Policy Framework to IFAD-assisted projects is the conduct of an annual outcome survey (AOS). This is to assess the status of implementation of program and achievements of key outputs and outcome as specified in the Project’s Logical Framework. The result of the AOS is also expected to provide suggestions to improve project’s support in order to reach the targeted outcomes during the project’s implementation.

The main objective of the RAPID Growth AOS is to provide quantitative and qualitative analysis on the project’s progress in implementing activities to achieve key outputs and outcomes. It is also the period where relationships with partners and impacts are being reviewed, as well as problem diagnostics and corrections. Specifically, the AOS will:

1. Determine perceived changes (positive and negative) and measure quantitatively the increase/decrease of farm and MSME level in terms of productivity, partnership building, and access to various value chain services that took place in the course of implementing the project.
2. Evaluate the Project’s targeting efficiency
3. Provide periodic performance information and lessons learned so that corrective actions may be taken, whenever necessary.

|  |  |  |  |
| --- | --- | --- | --- |
| Activity(ies) | Output | Duration | Tranche |
| Provision of technical assistance in the following activities: |  | 15 days\* | 50% |
| 1. Preparation of survey design and instruments and pre-testing of questionnaires\*\* | Final/ tested survey design and instruments |  |  |
| 1. Training for enumerators and Project units on how to conduct AOS | Training Report |  |  |
| 1. Review of draft AOS report | Report on comments and recommendations on the draft AOS report | 30 days | 30% |

*\*\*includes the period of review and approval*

*\*\*Pre-testing of questionnaires can be part of the training for enumerators and project units.*

Methodology

The Servicing Agency is required to include in their proposals the methodology in conducting the baseline, MLS and EOL surveys, including the provision of technical assistance in the conduct of Annual Outcome Surveys. It is highly recommended to the evaluators to consider the methodologies laid in the IFAD Evaluation Manual. Evaluating the effectiveness of RAPID Growth Project will be analyzed in three manners: 1) Before and after the Project; 2) Between controlled and uncontrolled groups; and 3) with or without RAPID intervention. The evaluation methods— quantitative, qualitative, and/ or a mixed of both (or triangulation), will be used in the analysis. The project shall also ensure the participatory and inclusivity of the evaluation process.

For instance, methodology for the conduct of the baseline survey is proposed with details below.

Baseline Survey

The Servicing Agency will develop the detailed methodology in consultation with the RAPID Growth Project NPCO, NEDA-MES and IFAD-PH Country Office. Anent to the crafting of the detailed methodology, the following major actions are proposed accordingly:

1. Desk Review The consultant will review relevant project documents of RAPID Growth, namely the project theory of change and logical framework, as well as materials on Results Based M&E tools from DTI, NEDA, and IFAD. RAPID NPCO will also provide various materials such as the Project’s M&E Plan.
2. Collection of secondary data- Comparable and available secondary data should be collected from various sources such as PSA reports, industry cluster roadmaps, VCA Reports, etc.
3. Conducting the household and institutional survey- Household and institutional survey should be carried out in all 21 targeted provinces. The consultant may use propensity scoring matching (PSM) method given the limitations of the experimental design as far as cost and time related factor is concern. PSM is a quasi-experimental method for constructing comparison groups to determine the likelihood that a sampled individual will participate in the intervention (predicted likelihood of participation) given their observable characteristics. At least 1500 units must be surveyed from the sample frame.

PSM is also being used to match treatment individuals/households with similar comparison individuals/households, and subsequently calculates the average difference in the indicators of interest. Therefore, data collected through the baseline will include, non-intervention related variables that will likely influence the key expected results (age, duration of membership in producer organizations, proximity to market infrastructure etc.).

Quantitative data includes but not limited to the following:

* Basic socioeconomic data of targeted groups. Individual and household level data is necessary.
* Gender- and youth-sensitive contextual data around the value chain players and market system
* Production data from the industry clusters
* Geographic location of value chain actors at the municipal level (e.g location coordinates)
* Organizational data of Farmers’ Organizations, MSMEs, Anchor Firms, and Financial Services Providers
* Market information

Key informant interviews and Focus Group Discussions will also be part of the method. The evaluators may include Key Qualitative Evaluation Questions for the Baseline Study but not limited to the following:

1. What is the socio-economic status and vulnerability of targeted Project participants?
2. What are the opportunities and synergies for better results?
3. What are the problems and constraints that may occur during Project implementation?
4. What are the reference values of the targeted indicators?

Validation and sharing workshop. The baseline findings should be validated through workshop among key staff of the local and national government, private sector, other programmes and projects being implemented in the same target area. Key industry players and value chain actors should also be part of the validation process

# Indicative Evaluation Questions

The analysis of performance review per period will be by component. Referring from the IFAD Evaluation Manual (2015), the evaluators may make reference, but not be limited, to the following evaluation questions per criteria to be applied per component, whenever necessary:

| Criteria | Indicative Question | Evaluation Period |
| --- | --- | --- |
| Relevance | 1. Was the project design appropriate to meet the intervention’s objectives? 2. Was the project adjusted during implementation to any changes in context to retain continued relevance? 3. Was the adjustment necessary? 4. Are project objectives in line with key IFAD and government objectives for promoting sustainable agriculture development as well as the needs of the rural poor? 5. Was project design appropriate (for example, in terms of components, financial allocations, institutional arrangements, etc.) to meet the intervention’s objectives? | MTR  MTR/EOP  MTR/EOP  EOP  EOP |
| Effectiveness | 1. To what extent have the objectives of the project and its components been attained in quantitative and in qualitative terms? 2. In particular, what changes in the overall context (e.g. policy framework, political situation, institutional set-up, economic shocks, civil unrest) have affected or are likely to affect project implementation and overall results? 3. What factors in project design and implementation account for the estimated results in terms of effectiveness; are there valid alternatives? | MTR/EOP  MTR/EOP  EOP |
| Efficiency | 1. How does the project expenditure compare to the budget- whole budget and per deliverable? 2. Have any re-allocations been done? What was the rationale? 3. What are the implications of the reallocations to the budget structure and cost-effectiveness? 4. How does the economic rate of return at evaluation compare with that at project design? 5. What are the loan costs per beneficiary (both at the time of appraisal and at the time of evaluation) and how do they compare to other IFAD-funded operations (or those of other donors) in the same country and/ or other countries? 6. What are the total project management costs in relation to total project costs and how do they compare with similar projects? | MTR  MTR  MTR  EOP  EOP  EOP |
| Sustainability | 1. Do project activities benefit from the engagement, participation and ownership of local communities, grass-roots organizations and the rural poor, and are adopted approaches technically viable? 2. Is there a clear indication of government commitment after the project closing date, for example, in terms of provision of funds for selected activities, human resources availability, continuity of pro- poor policies and participatory development approaches, and institutional support? 3. What are the chances that benefits generated by the project will continue after project closure and what is the likely resilience of economic activities to post-project risks? | MTR/EOP  MTR/EOP  EOP |

To assess other areas of the project performance, the following questions are also expected to be addresses during the MTR:

| Criteria | Indicative Question | Evaluation Period |
| --- | --- | --- |
| Gender equality and women’s empowerment | 1. In what ways and to what extent are the technologies and practices promoted by the project likely to transform gender norms and roles? 2. What were the project’s achievements in terms of promoting gender equality and women’s empowerment? This includes assessing whether there are changes: to women’s access to resources, assets and services; to women’s influence in decision-making; in workload distribution among household members; in women’s health, skills, income and nutritional levels; in gender relations within households, groups and communities in the project area; etc. 3. What percentage of total project resources was invested in activities to promote gender equality and women’s empowerment and how does that compare with other projects funded by IFAD? 4. To what extent did the project define and monitor sex-disaggregated results to ensure that gender equality and women’s empowerment objectives were being met? 5. Was the project implementation structure adequate to support effective implementation of gender equality and women’s empowerment goals? | MTR  AOS/MTR/EOP  MTR/EOP  AOS/MTR/EOP  MTR/EOP |
| Partnerships and Social Inclusion | 1. Does the Project proactively engaged in partnership-building and policy dialogue to facilitate linkages of smallholder farming households to the rest of the value chain? 2. To what extent does the other sectors (e.g. Indigenous People, persons with disabilities, OFWs, etc.) have been included in the overall implement of the project as well as disaggregated in the results monitoring? 3. Were the policies employing in the Ancestral Domains duly complied? 4. To what extent has the project management unit developed partnerships with the entities highlighted in the proposal and other relevant entities? 5. To what extent is the project facilitating Knowledge Management and Knowledge Sharing activities within these established partnerships? | MTR/EOP  MTR/EOP  MTR/EOP  EOP  MTR/EOP |
| Innovation and Scaling Up | 1. What innovative knowledge management tools and platforms have been promoted by the project? 2. How should the innovative tools be contextualized (i.e never used before vs. new to the country or project area)? 3. Are the innovative knowledge management tools and platforms consistent with the IFAD KM Strategy? 4. How are the innovative KM tools and platforms being scaled by the project? 5. What are the opportunities and the threats to the scaling? 6. How can the project cease the opportunities and avoid the threats? | MTR/EOP  EOP  MTR/EOP  MTR  MTR/EOP  MTR/EOP |
| Environment and natural resources management | 1. To what extent did the project adopt approaches/ measures for restoration or sustainable management of natural resources (e.g. enhancement of ecosystem services, support to training and extension to foster efficient environment and natural resource management, uptake of appropriate/new technologies)? 2. To what extent did the project develop the capacity of community groups and institutions to manage environmental risks (e.g. how governance-related factors are shaping the management of natural resources, influence of incentives and disincentives for sustainable natural resource use and natural resource-based livelihoods improvement)? 3. To what extent did the project contribute to reducing the environmental vulnerability of the community and built resilience for sustainable natural resource management that contribute to poverty reduction (e.g. factors such as access to technologies, information/awareness creation)? 4. To what extent did the project contribute to long-term environmental and social sustainability (e.g. through avoiding over exploitation of natural resources or loss of biodiversity or reduction of the community’s livelihoods); and by empowering and strengthening the capacity of community-based natural resource management groups to ensure sustainable natural resources management; and by ensuring strong stakeholder engagement, especially of vulnerable groups, in decision making affecting natural resources use? 5. To what extent did the project follow required environmental and social risk assessment procedures (e.g. Social, Environmental and Climate Assessment Procedures), including meaningful consultation with affected and vulnerable communities, and have complied with applicable IFAD or national environmental and social standards or norms, to ensure any harmful impacts are avoided or managed/mitigated through, where needed, the implementation of effective environmental and social management plans, including robust monitoring and supervision? | MTR/EOP  MTR/EOP  EOP  EOP  MTR/EOP |
| Adaptation to Climate Change | 1. To what extent did the project demonstrate awareness and analysis of current and future climate risks? 2. What are the amounts and nature of funds allocated to adaptation to climate change-related risks? 3. What were the most important factors that helped the rural poor to restore the natural resource and environment base that (may) have been affected by climate change? | MTR/EOP  MTR/EOP  EOP |

For the annual outcome survey, specifically, the basis for developing questions should be from the output and outcome statements in the Project’s Logical Framework. For RAPID Growth, the following Outcomes are expected to be achieved:

Outcome 1: Producers and value chain actors execute collaborative action plans and build commercial partnerships in selected commodity chains. Activities towards achieving this outcome will focus on establishing and strengthening institutional capacity of value chain actors as well as promoting inclusive and collaborative partnerships benefitting the target groups.

Outcome 2: Farmers’ Associations, Cooperatives, and MSMEs secure the necessary access to producers, markets, and suitable investment finance. Interventions under this outcome intends to facilitate access to suitable producers, markets, and financial services in between value chain segments.

In order to know whether Outcomes 1 and 2 is achieved. the following questions (but not limited to): can be framed as follows:

1. To what extent is the participation of the smallholder farming households in preparing and executing collaborative actions plans and to what extent is the partnership of key players within the selected value chains?
2. Do smallholder farming households and MSMEs have a more secured access to suitable markets, investments, and financing services?

An example of AOS questionnaire from IFAD is available in the annexes of this document.

Reporting and Working Relationships

The Servicing Agency shall be reporting to the National Project Coordinating Office (NPCO) specifically to the Project Director, Project Manager, the Planning and M&E specialist; and the coordinators from the Regional and Provincial Coordination Unit (R/PCU). Matrix below summarizes both party’s responsibilities in commission the mentioned evaluation studies.

|  |  |
| --- | --- |
| Party | Responsibilities |
| DTI-RAPID Growth Project | * Facilitate the acquisition of clearance to conduct survey in Philippine Statistics Authority (PSA) * Shall provide assistance in coordination with the Project implementing units (NPCO, RCUs, and PCUs) and other concerned agencies as may be necessary including administrative and logistics costs during the conduct of FGDs/ KIIs, validation workshops, presentation of outputs etc * Shall administer the conduct of the two (2) Annual Outcome Surveys with the technical assistance of the Servicing Agency * Shall provide available information/data and copies of previous related studies * Shall be responsible in the approval/acceptance of all deliverables/outputs of the consulting firm; * Shall be the beneficiary/End-User of the consultancy services; * Shall be responsible for contract implementation and management, including ensuring the quality of outputs, and in issuing approvals for the Study deliverables/outputs. * Responsible for the monitoring and evaluation of the progress of the Study and approval of reports to ensure alignment with the objectives and the delivery of outputs as specified in the Scope of Work * Shall be responsible for the disbursement of the fund for the conduct of the abovementioned surveys and evaluation studies once the contract becomes executed; * Shall be responsible for the preparation and submission of financial reports as required by the Department of Budget and Management (DBM) and other reportorial requirements regarding the administration of the M&E Fund; * Shall evaluate all requests for payments/billings and determine the acceptability/correctness of the same; and |
| Servicing Agency | * Provide orientation/ briefing/ training to NPCO, RCUs, PCUs on the conduct of the evaluation surveys/ studies. * Provide technical assistance to the Project units in the conduct of the Annual Outcome Surveys * Review project documents and reports available from the RAPID Growth Project Units (NPCO, RCUs, and PCUs) and project implementation partners; * Prepare a detailed inception report that presents the evaluation design, building on the technical proposal; * Undertake a participatory evaluation process, involving all relevant stakeholders and incorporating their evaluation information requirements; * Design a sufficiently robust study methodology within the limits of existing data, institutional arrangements, and budget; * Demonstrate clear complementarity between/amongst the methods of choice; * Carryout high quality data collection and analysis that ensure data validity, consistency and accuracy; * Submit to NPCO all data and information (raw and processed) acquired during the survey; * Succinctly author the evaluation report, while incorporating feedback from stakeholders in a timely, objective and transparent manner. * Identify lessons learned and develop practical recommendations, as well as policy study inputs for project stakeholders; * Present the evaluation findings to key stakeholders * Shall provide their own transportation and accommodation allowances |
| Evaluation Review Committee  (DTI, NEDA, IFAD) | * Provide overall guidance in the conduct of the evaluation studies * Reviews and approve the Servicing Agency’s outputs and deliverables * Provide technical support to the Project Team in the design and inception of the evaluation studies. |

Guiding Principles

The periodic evaluation of the Project’s progress shall be driven by a results- based approach and adheres to the following principles:

* *Focus on results to steer project implementation:* it should provide project stakeholders with information and analysis required to: measure project outcomes; assess project effects on the livelihoods of target groups, and in particular women, indigenous peoples and youth; assess the relevance of the project strategy, methodologies and implementation processes; detect difficulties and successes; and support decision-making to improve project performance;

* *Support cost-effective decisions and enabling policies:* it should provide project stakeholders with the information and analysis they need to assess the return brought by innovation, to develop profitable and sustainable activities and to adapt their strategies accordingly. It should also provide DTI, MSMED Councils and other relevant government agencies with the information needed to support policy development;
* *Share knowledge and scale up good practices:* it should develop lessons learnt, identify successful business models and innovation, as well as share knowledge, with a view to support project performance, facilitate the upscaling of good practices and support policy dialogue.

# Mode of Procurement and Criteria for Evaluation and Technical Qualification Requirements

The negotiated procurement or agency-to-agency shall be undertaken with a Servicing Agency for the conduct of the M & E studies pursuant to RA 9184 and its Revised IRR under a Multi-Year Contracting Agreement. As provided in the Project’s Financing Agreement, the Project shall set aside a total of PHP 30,000,000.00 to carry out these three (3) core M&E studies. This amount shall be distributed as proposed in the matrix below:

|  |  |  |
| --- | --- | --- |
| Evaluation Study​ | Total Amount (in PHP)​ | Implementation Year(s)​ |
| Baseline Survey​ | 10,000,000.00​ | 2021 |
| Mid Term Survey​ | 9,000,000.00​ | 2023 |
| End of Project Survey​ | 9,500,000.00 | 2025​ |
| Technical Assistance in the Conduct of the Annual Outcome Surveys​ | 1,500,000.00 | ​2022 & 2024 |
| Total​ | 30,000,000.00​ | ​ |

The amount indicated is inclusive of all applicable government taxes and charges, professional fees, and other incidental and administrative costs (e.g., travel expenses, communication expenses, office supplies, office space, and other expenses deemed necessary for the study as certified by the Executing Agency), which shall be paid on lump-sum basis.

The Servicing Agency is required to submit their proposal outlining the following:

1. Organization Overview
2. Capabilities Statement
3. Sample of the two most recent study designs (within the past 3 years) developed by the Servicing Agency. May require inclusion of names and contact number of references.
4. Detailed proposal explaining how the service providers intends to conduct the baseline study considering the scope of work. Maximum 30 pages, excluding annexes.
5. Proposed activity (work) schedule and cost estimation.

Key qualifications required for Servicing Agency:

The Servicing Agency should have wide expertise and demonstrated capability in carrying out M&E related surveys (Baseline, Annual Outcome, Mid Term Review and End of Project Evaluation), preferably with Foreign Assisted Projects. The Study Team should have good experience on participatory research methods and tools. S/he should have competency in managing and organizing and interpreting quantitative and qualitative data and information. Specifically, the consultant and his/her team members should have the following minimum requirements:

For the Team Leader:

1. A holder of at least Masters’ Degree in Agriculture, Agriculture Economics, Rural Development, Development Studies, and other related field. An additional credit/ points will be awarded if the Team Leader is a PhD holder of the abovementioned disciplines.
2. With at least 10 years’ experience in conducting baselines studies and evaluations for agricultural development projects using both quantitative and qualitative methodologies.
3. Demonstrated expertise in developing various survey designs and application of appropriate survey tools.
4. Strong critical analysis and report-writing skills is likewise required.
5. Familiarity with the target areas, especially in Eastern Visayas and Mindanao, is preferred.
6. Demonstrated experience in participatory evaluation, community-based approaches, and development projects;
7. Preferably with strong background in integrating gender in the baseline design and analysis.

For Team Members:

1. With at least Bachelor’s Degree in Agriculture, Agriculture Economics, Rural Development, Development Studies, and other related fields.
2. At least 5 years’ experience in developing survey designs and sampling methods as well as conducting baseline studies and evaluations for agricultural development projects (both quantitative and qualitative) including field level data collection.
3. Facilitation skills on the conduct of FGDs, KIIS, and consultative meetings is a plus.
4. Experience in mapping and other geo-spatial analysis is preferable
5. Ensuring timeliness and quality of all products/activities required to complete this baseline study and mindfulness in submitting a complete standard report using analyzed data with outlines and fully written text in a timely manner

Annex

1. Suggested Outline for the Inception Report
2. Executive Summary
3. Introduction
4. Project Brief and Development Context
5. Project Logical Framework and Theory of Change
6. Targeting Approach
7. Evaluation Framework
8. Discussion on the Overall Approach
9. Risk and Limitations
10. Evaluation Methodologies
11. Specify the core indicators to be evaluated/ monitored
12. Discuss the data collection and data analysis methods
13. Present the key data sources
14. Discuss the sampling methods and details
15. Summarise the evaluation methodology in an evaluation planning matrix
16. Policy Review
17. Discuss emerging policy issues/ area of concern
18. Proposed topics for policy review
19. Detailed Work Plan
20. Develop a timeline
21. Specify responsibility for each evaluation phase.
22. Logistics and Administrative Requirements/ Arrangements
23. Annex
24. Relevant draft data collection instruments
25. Terms of Reference
26. Suggested Outline for the Baseline Study
27. Executive Summary
28. Introduction
29. Project Brief and Development Context
    1. Project Logframe
    2. Target Groups, Project Area coverage
30. Baseline Design and Methodology
31. Baseline Survey Results per Component
    1. Profile of surveyed communities and households
    2. Baseline Analysis of each Component
    3. Proposed indicators
    4. Layout Maps of potential project beneficiaries
32. Conclusion
33. Annexes
    * Terms of Reference
    * Copy of accomplished survey questionnaires
    * Inventory of coordinates for the geo-spatial analysis
    * Documentation of surveys and meetings conducted
    * Any other relevant material
34. Suggested Outline (for MTR and EOP Evaluation)
35. Executive Summary

* *What are the context and purpose of the evaluation?*
* *What are the main conclusions, recommendations and lessons learned?*

1. Introduction

* *What is the purpose of the evaluation? Is there any special reason why the evaluation is being done at mid-term and not at, or after, project completion?*
* *What products are expected from the evaluation?*
* *How will the evaluation results be used?*
* *What are the key issues addressed by the evaluation?*
* *What was the methodology used for the evaluation?*
* *What is the structure of the evaluation report? (How is the content organized?)*

1. The Project and its Development Context

* *When did the project start and what is its duration? What are the problems that the project seeks to address?*
* *What are the immediate and development objectives of the project?*
* *Who are the main stakeholders?*
* *What results are expected?*

1. Findings and Conclusions
2. Project Concept and Design *(suggested questions)*

* *Did the project document (i.e., the most recent approved version) clearly define the problem to be addressed by the project, taking into account the institutional, socio-political, economic and environmental contexts as well as gender considerations? project approach or strategy? linkages among objectives, inputs, activities, outputs, expected outcomes and impact? implementation and management arrangements? indicators for use in monitoring and evaluation, differentiated by gender as applicable?*
* *How relevant is the project to development priorities of the programme country at the level being targeted (local or national, macro or sectoral), specifically in terms of capacity development?*
* *Was the project designed to support the country's objective of establishing or enhancing the enabling environment to promote the development of a particular target group, geographic area or sector?*
* *Was the project designed to strengthen the capacities of relevant government agencies, private sector entities or civil society organizations to initiate and sustain development initiatives in these areas?*
* *Was the project designed to address specific issues relating to individual learning, organizational structures, processes, management systems, networking and linkages that affect the performance of the direct beneficiaries?*
* *Were gender considerations taken into account in designing the project's strategy to address these issues?*
* *Did the direct beneficiaries participate in designing the project? If yes, what were the nature and extent of their participation?*

1. Project Implementation

* *Discuss in this part the answers in the indicative questions mentioned above*

1. Implementation and management arrangements of the project

* *How appropriate are the execution and implementation modalities?*
* *How well is the project managed?*
* *How adequate are monitoring and reporting mechanisms?*
* *How adequate is the support provided by the IFAD country office?*
* *Do stakeholders, particularly the direct beneficiaries, participate in the management of the project? If yes, what are the nature and extent of their participation, by gender?*

1. Areas for corrective action

* *What problems in project implementation need to be resolved?*
* *What are the flaws, if any, in design, implementation, monitoring and evaluation?*

1. Areas of potential success

* *Are there early indications of potential success?*

1. Project Results

Given the indicators established by the project and/or recommended by the evaluation team:

* *How has the project contributed to the development of the capacity of the direct beneficiaries to carry out their tasks in an environment of change in terms of (a) individual learning, by gender, and (b) improving organizational structures and interrelationships?*
* *What is the likely impact of the project beyond the direct beneficiaries?*
* *Are there any signs of a potential contribution to the enabling environment or to the broader development context (i.e., institutional, socio-political, economic and environmental)?*

What factors affect the implementation of the project?

* *Is there adequate government commitment to the project?*
* *Do the stakeholders have a sense of ownership of the project?*
* *Have mechanisms been put in place to ensure the sustainability of project results?*

1. Recommendations

* *What corrective actions are recommended for the design, implementation, monitoring and evaluation of the project?*
* *What actions are recommended to follow up or reinforce initial benefits from the project?*

1. Lessons Learned

* *What are the main lessons that can be drawn from the project experience that may have generic application? What are the best and worst practices in formulating, implementing, monitoring and evaluating a capacity development project?*

1. Annexes

* TOR
* Survey tools, FGD/KII Designs
* List of persons interviewed
* Summary of field visits
* List of documents reviewed
* Questionnaire used and summary of results
* Any other relevant material

1. Suggested Outline for the Annual Outcome Survey
2. Introduction
3. Objectives
4. Methodology
5. Findings
6. Lessons Learnt and Recommendations/ Required Actions
7. Conclusion
8. Annexes
   1. Map and inventory of sampled villages surveyed under the AOS
   2. Questionnaire Used
   3. Annual Comparison of Main Findings
9. Target Group Matrix

The project will directly target small farmers and micro-entrepreneurs engaged within the selected commodity chains. It will indirectly target unemployed and underemployed rural women and men who can potentially be employed by participating enterprises. Special focus will be placed on women, the youth, and indigenous people. The project shall monitor the participation and outcomes for these special target groups and seek to improve their access to project services adapted to their specific characteristics.

The M&E of RAPID Growth Project will measure the effects of the investments poured to both direct and indirect beneficiaries.  Enumerated in table below the definition and scope of each target group.

RAPID Growth Project Target Groups

|  |  |  |
| --- | --- | --- |
| Target Groups | Definition | Source |
| *Direct* | | |
| Smallholder Farming Households | A small-scale farming household with farm size of at most 5 hectares of land regardless of the status. Whether it is owned (individual title) or attached declaration, with lease contract approved by DAR for the ARCs, lease holders outside the agrarian reform areas (share tenancy), and with existing CADT.    Willing to provide counterpart and/ or obtain credit that will be required for their crop production and enterprise development support from the project    Leaseholder farmer in coconut areas should obtain agreement and consent from the landowner for the planning of new crops that includes a mutually agreed sharing scheme of investments and profit. | Considered as the operational definition, this indicator was agreed during the RAPID Project M&E Workshop June 26-27, 2019 |
| Micro and Small Enterprise (MSE) | Individual entity or a small cooperating enterprise with corresponding asset size:   * Micro- less than 3 Million Php * Small- 3-15 Million Php   Who are in to the following activities:   * Processing * Trading and Marketing   Within the targeted value chains | RA 6977 Magna Carta for MSME |
| Farmers’ Organization (FOs) | FOs are autonomous membership-based professional organization of smallholders, family farmers and rural producers, including pastoralists, artisanal fishers, landless people and indigenous people. They are structured beyond the grass-roots or community level, at the local, national, regional and global levels, on either a commodity or a territorial basis. This include all forms of producer associations, cooperatives, unions, and federations. | IFAD definition of FO |
| Financial Service Providers | Finance institutions who are actively involved in providing various financial products to the target groups. They are also considered project beneficiaries since they will be receiving various interventions to improve their capacity and extend their outreach to the targeted value chain players | Considered as the operational definition, this indicator was agreed during the RAPID Project M&E Workshop June 26-27, 2019 |
| Women entrepreneurs as partnering MSMEs in contract with smallholders | Anchor firms lead by women individuals or women’s group | Considered as the operational definition, this indicator was agreed during the RAPID Project M&E Workshop June 26-27, 2019 |
| Women farmers | Special group such as smallholder women farmers, wives, and women household members involved in family farming will also be counted distinctively to determine the participation of women. This is also applicable to youth, indigenous peoples, and other relevant target groups. |  |
| Young farmers and entrepreneurs involved in the commodities supported by the project | Farmers and entrepreneurs ages from 15-30 years old. | Considered as the operational definition, this indicator was agreed during the RAPID Project M&E Workshop June 26-27, 2019 |
| Indigenous Peoples (IP) | Farming households, MSMEs, Farm Organizations (Cooperatives, Associations) which are recognized by the NCIP. | No. of IP participated in the DIP and SIP consultations |
| *Indirect* | | |
| Unemployed persons | Include all persons who are 15 years old and over as of their last birthday and are reported as:   * without work * currently available for work * seeking work | Technical definition as provided by PSA. |
| Underemployed persons | refers to the employed persons who express the desire to have additional hours of work in their present job or an additional job, or have a new job with longer working hour | Technical definition as provided by PSA. |
| Rural men and women | General definition of men and women living in the rural areas | Considered as the operational definition, this indicator was agreed during the RAPID Project M&E Workshop June 26-27, 2019 |
| Migrants and migrant families in the project sites who will qualify either as smallholder farm owners or MSE owners-operators | Who are the migrants? Are these the mixed income farming families? (e.g. wife is a teacher and the husband is a farmer)  Migrants will qualify either a smallholder farm OWNERS or MSE owner-operators |  |
| Workers of smallholder cooperatives and partnering MSMEs will also be included as indirect target beneficiaries of the project. | Individuals working with smallholder cooperatives and partnering MSMEs | Indirect jobs generated |

1. Sample AOS Questionnaire developed by IFAD

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