

Impact Evaluation of Kalahi-CIDSS: Third Round Report (Draft)

July 31, 2017

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ACKNOWLEDGEMENTS

We would like to thank a number of people whose efforts, either directly or indirectly, culminated in the completion of this report. We are especially grateful to our colleagues at the United States government's Millennium Challenge Corporation (MCC): Anne Pizer, John Molyneaux, Michelle Inkley, Jozefina Cutura, Matt Bohn, John Polk and Burak Inanc. Their input at all stages of the project has been invaluable.

We also appreciate the cooperation and support from our colleagues at the Millennium Challenge Account—Philippines (MCA-P), including Marivic Añonuevo, Bingle Gutierrez,, Jansen Mayor, Joann Dumlao, Grace Gatarin, Andy Moll, and Rogelio Borbon.

We also received a great deal of feedback for this report from our partners at the World Bank, including Julien Labonne, Susan Wong, and Patricia Fernandes. Their help was crucial in crafting and improving this report.

This report would not have been possible without the data collection implemented by our colleagues at Social Weather Stations (SWS), including Linda Guerrero, Gerardo Sandoval, Leah Aldave, Eunice Sarsonas-Montemayor, Janica Magat, Cristine Ocenar, Sheena Sabio and Mear Vicuña. We also sincerely appreciate the hard work of their teams of supervisors and interviewers, and we are grateful to the community residents and government officials that participated in the interviews and community meeting observations. Additionally, we would like to thank the interim data collection IPA field manager Allan Lalian and the team of IPA survey observers.

We would also like to thank the Department of Social Welfare and Development's (DSWD) senior management team and the KC team for their support and guidance throughout the data collection and the presentation of interim results.

This report also benefited greatly from discussions with our colleagues at Innovations for Poverty Action Philippines, led by Country Director Nassreena Sampaco-Baddiri. Agnese Carrera provided and invaluable field management, while Simon Grinsted served tirelessly as research associate.

EXECUTIVE SUMMARY

Background and Design

- Innovations for Poverty Action prepared this third round report to present the impact findings of the Philippines Kalahi-CIDSS (KC) project.
- KC is a nationwide, government-run, community-driven development (CDD) project.
- The evaluation findings are based on a randomized control trial in which a sample of 198 municipalities across the Philippines' three main island groupings were randomly assigned to participate in KC or to remain part of a control group for three years.
- The findings reflect data collected between 2011 and 2015 through a variety of methods, including extensive interviews of nearly 6,000 households, *barangay* (village) leaders and project staff. We also conducted structured community activities to observe whether KC practices were carried over into other areas of local governance.

Socioeconomic Domain Findings

- We identify benefits from investments in transport and water infrastructure, reducing the time and cost to travel to key services, transport farm product to market, and obtain water for domestic use.
- At the same time, we do not find evidence of gains in agricultural productivity, and only weak or no evidence of improvements due to education and daycare investments.
- There is also no find evidence that KC has affected households' overall poverty status to date (as captured by their consumption, assets, housing quality, or earnings)

Institutional Domain Findings

- We find mixed evidence of KC's impacts on local governance.
- KC's participatory practices do not appear to have been carried over to other local governance activities.
- Information-sharing improved in some areas, but this improved knowledge was accompanied by worsening perceptions of self-efficacy among residents.
- We do find that development funds (including those from non-KC sources) are more closely aligned with residents' preferences as a result of the project.

Community Empowerment Domain Findings

- We find that KC led residents to contribute to other civic activities at greater levels, allaying concerns about crowding out.
- We find no evidence of changes in social interactions or in the ways communities deal with hardships or natural disasters.

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1. Background

1.1 Overview

Innovations for Poverty Action (IPA) prepared this third-round report to present short-term output and longer-term impact findings of a nationwide, government-run, community-driven development (CDD) project in the Philippines: Kapit-bisig Laban sa Kahirapan (“Linking Arms Against Poverty”) – Comprehensive and Integrated Delivery of Social Services (Kalahi-CIDSS or KC). These impact findings were generated from a randomized control trial implemented by IPA using data collected between 2011 and 2015. The report focuses on the effects of KC in barangays (villages) across the Philippines’ three main island groupings -- Luzon, Mindanao, and Visayas -- after approximately three cycles of CDD programming. The findings are presented in three main outcome streams or domains: socioeconomic conditions, governance, and community empowerment. This report has as its principal goal to serve as an independent assessment of the impact of KC generally, and specifically of the returns to the Millennium Challenge Corporation’s (MCC) US\$120 million investment in KC. Simultaneously, the report aims to offer lessons to improve CDD-related policy in the Philippines and beyond, and to contribute to broader research about the impacts of CDD programs.

Our analysis shows benefits from several types of subprojects implemented by KC: road improvements reduced the time and cost to reach key local services and to get farm products to market, and water projects substantially reduced the time and cost to obtain water. At the same time, we do not find evidence that the roads improvements led farmers to improve their agricultural productivity. We find only weak evidence that subprojects that improved education facilities improved enrollments and student-teacher ratios, and no evidence that investments in daycare facilities allowed women to participate in the labor force at higher rates (although there are relatively few daycare subprojects, making conclusions more tenuous). More generally, we do not find evidence that KC affected households’ overall poverty status, as captured by their consumption, assets, or housing quality, although we recognize that such gains may yet occur in the coming years (outside of the four years of project implementation captured by our data).

We also find mixed evidence of KC’s impacts on local governance and community empowerment. KC’s inclusive, participatory practices do not appear to have been carried over to other local governance activities, measured both through survey interviews and through our structured community activity. We do find that information sharing improved in some areas, leading residents to be better aware of local officials and representatives. At the same, this improved knowledge was accompanied by worsening perceptions of self-efficacy among residents, possibly because these officials and representatives were not as responsive as might residents might have hoped.

Despite the lack of carryover in most practices to other areas of local governance, we do find that development funds (including those from non-KC sources) are more closely aligned with residents’ preferences in more intensely treated areas. These are important improvements in

overall governance responsiveness (despite residents’ disappointment over their individual engagements with local officials).

Because the KC process is relatively involved, reasonable concerns arise about the project’s crowding out other civic activities. We find that having been exposed to KC actually led these residents to contribute to other civic activities at greater levels, allaying such concerns about crowding out (and even suggesting some crowding in).

1.2 KC goals, implementation process, and financing

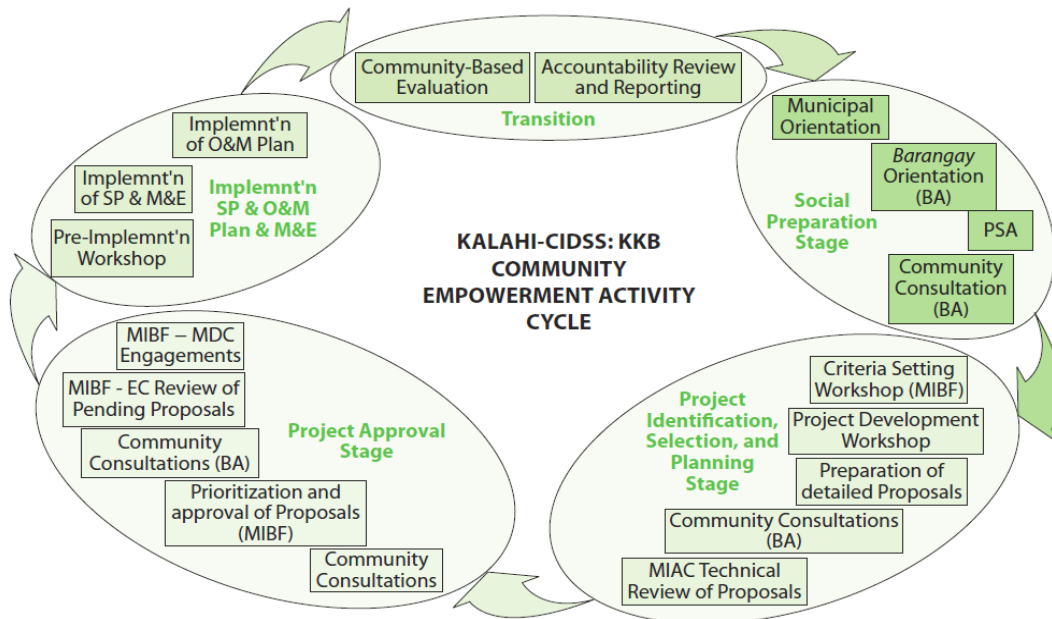
KC aims to achieve three goals: “(a) reduced poverty; (b) improved participatory local governance; and (c) improved social capital” (Department of Social Welfare and Development – DSWD, 2012). Box 1.1, below, provides additional details on these goals.

<p>Box 1.1 Project Goals</p> <p>Empower local communities by developing capacities of community members and instituting community-based mechanisms that will allow the people to decide on issues affecting their own development. Vulnerable groups like the women, Indigenous Peoples, farmers, fisher folk, and communities in conflict are given priority by including them in the decision-making process especially on matters pertaining to allocation and use of resources.</p> <p>Improve local governance, (both at the barangay and municipal levels), by revitalizing mechanisms that encourage community consultation, transparency and accountability, especially on processes around local development planning and the use of limited resources to address community-identified local priorities, following the principles of good governance as mandated by the Local Government Code or LGC (Republic Act 7160).</p> <p>Reduce poverty by providing funds for projects that the community itself identifies, designs, and implements, based on priority needs identified by the communities themselves. It is assumed that with empowered communities and improved local governance, development projects implemented by communities will be relevant, successful and sustainable.</p> <p>Source: all text in this box quoted directly from DSWD, 2012</p>
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In order to reach these goals, common to many CDD programs around the world, KC involved community training paired with block grants at the barangay level. These two key components were meant to enable communities to address their self-identified development needs, largely through the building of public infrastructure and/or the provision of public services and investments called “subprojects.” The materials provided to the facilitators of KC state that “[t]he CDD approach ensures that development priorities are addressed in a participatory, collective, inclusive, and in demand-driven way” (DSWD, 2012, p.6).

More specifically, through DSWD facilitators hired by the Department of Social Welfare and Development (DSWD), the government entity implementing KC, KC trains community members and their local governments at the barangay and municipal levels in choosing, designing, and implementing subprojects. KC is implemented through a five-stage process known as the Community Empowerment Activity Cycle (CEAC), summarized in Figure 1.1.

Figure 1.1 The Community Empowerment Activity Cycle



Source: DSWD, 2012

Most subprojects were implemented within six months, thus the full five stages, from preparation to funding and implementation, generally took nine to twelve months and make up a cycle. The first phase, social preparation, was condensed in cycles two and three since, after the first cycle, communities were already familiar with the KC project and process. The same CEAC process was repeated over three one-year cycles in the municipalities covered in this evaluation. Details of the CEAC process are summarized in Box 1.2 below.

Box 1.2 CEAC Main Stages

1. Social preparation:

The social preparation stage consists of roughly six months of training and facilitation from DSWD facilitators in order to prepare subproject proposals. It begins with a municipal orientation, gathering DSWD representatives and municipal officials to introduce the project objectives and sign an agreement with DSWD representatives and local institution officials. Afterwards, barangays organize an assembly of residents in which DSWD facilitators explain KC’s goals and mechanics to members of the community. Here, the community selects volunteers to be part of the teams that identify subprojects, manage the funds, participate in construction, and perform other functions for the subproject’s implementation. Barangay representative teams perform a participatory situation analysis (PSA) and develop a barangay action plan, which outlines the types of poverty and challenges to be addressed by the proposed subproject. The communities gather in several assemblies throughout the process to receive performance updates, provide feedback, approve of the teams’ decisions, etc. All barangays within a beneficiary municipality receive this preparation.

2. Subproject identification and conceptualization

Each barangay forms a team of representatives. The team receives technical training to design and package the subproject proposal. The team is tasked to set criteria that will be used to select the subproject proposals to seek KC funding, research and identify the key poverty-related problems in the community, meet with the community through consultations and assemblies to get feedback, and then finally submit the proposal for approval.

3. Subproject prioritization

The representative teams from each barangay assemble at the municipal level at a Municipal Inter-Barangay Forum (MIBF), during which they evaluate proposals and prioritize subprojects for the year. Each barangay representative team presents its subproject proposal, and the other teams in the barangay give scores to the subproject according to criteria selected in advance of the MIBF by barangay resident teams. The scores are compiled and the barangays are ranked according to the scores their proposals received. Subprojects are then financed based on the barangays’ ranking and the availability of funds. For instance, a large road project from one barangay may not receive funding if the teams at the MIBF decide that they would like to more equally distribute funds across barangays, supporting smaller projects in more barangays. Funding is allocated to prioritized subprojects until annual funds are exhausted. The cost of each subproject varies, but in order to be funded, barangays must contribute at least 30% of subproject costs (in cash and/or in kind).

4. Subproject implementation

Funded barangays take responsibility for the implementation of their subprojects, including the construction and maintenance of public infrastructure and/or the provision of public services and investments.

5. Transition

At the end of the cycle, the communities wrap up and attempt to gauge the progress made since the beginning of the CEAC process. At the community-based evaluation, barangay resident volunteers are asked to identify and evaluate any changes within the community, especially towards the goal of alleviating poverty. At the barangay level, communities then record the lessons gained and their recommendations for the next cycle. The results of this self-assessment are consolidated at the municipal level along with an assessment of the participation and engagement of the municipal local government unit (LGU). The findings are then included in the preparation and conduct of activities in the next KC cycle.

Source: DSWD, 2012.

KC was implemented at the municipal level and municipalities were selected for inclusion in KC based on poverty levels. (See Section 2.1 for more information on eligibility and selection.) Each municipality includes many barangays, the lowest unit of government. Eligible municipalities have on average 24 barangays and 30,305 residents. All barangays in each participating municipality were invited to participate in the first three stages – focused on training – of the five-stage CEAC. Thereafter, all of these barangays, in a process led by resident volunteers, were invited to propose infrastructure or services subprojects focused on meeting poverty reduction goals. (The list of eligible subprojects is in Box 1.3.) Barangay teams presented these proposals at the municipality level, and representative teams from each barangay in the municipality voted for which subprojects were most deserving of funding. Funds were designated to the barangays according to their ranking in the voting until the municipal allocation, PHP 450,000 (about US\$11,250) times the number of barangays in the municipality, was used up. This means that roughly one third of barangays in KC municipalities received subprojects in a given year, although some barangays received multiple subprojects across years and others none.

Box 1.3 List of subprojects KC barangay residents could propose under KC¹
Access trail / Footpath
Footbridge/small bridges
Road
Day Care Center
Electrification
Health Care Center
School Building
Tribal housing/shelter
Water system
Community transport
Economic/livelihood support (training/trading center, market, miniport/wharf)
Multi-use building/facility
Small scale irrigation
Drainage structures (culverts, overflow, spillway)
Environmental preservation (artificial coral reef/ marine sanctuary)
River control/flood control
Pre and post-harvest facility
Community Economic Enterprise Training, Equipment & Materials Support subprojects
Feasibility Study
Skills Training and Capability Building subprojects
Sanitation facilities (toilets, solid waste management system)
Sea wall
Soil protection (riprap/slope protection/protection railing)
Eco-tourism
Light house

As mentioned above, KC is implemented by the Department of Social Welfare and Development (DSWD). The Millennium Challenge Account-Philippines (MCA-P) is the implementing entity in the Philippines established by MCC, and the main point of contact supporting DSWD in implementation. Building on an earlier phase of KC from 2003-2009 that targeted the poorest communities across the Philippines, the Government of the Republic of the Philippines (GRP) expanded KC in 2011. Financing for this second phase was provided by the World Bank (a US\$59 million loan) and the MCC (a US\$109 million grant²), with MCC funding the

¹ This list of subprojects classification was done exclusively for KC funded by MCC. There is a slightly different classification for KC NCDDP that we will discuss below. This list is not exhaustive.

² The project was initially budgeted to cost \$120M; total project expenditures over the life of the project were \$108,706,687 (MCC, 2015).

Visayas and Luzon areas, and the World Bank funding Mindanao.³ In addition to international funders, local governments (region, municipality, and/or barangay) contributed at least 30 percent of costs of the KC subprojects implemented in their areas, in cash or in kind.

From 2011 to 2016, KC provided training and grants to 336 municipalities as detailed in Table 1.4, including 160 municipalities and 3,764 barangays funded by MCC. The total number of estimated individual KC beneficiaries supported by MCC is 5,215,000 (Millennium Challenge Account-Philippines – MCAP, 2016).

Funding source	Duration	# of covered municipalities/cities	# of covered barangays
World Bank	2011 – 2014	176	4,058
MCC	2012 – 2016	160	3,764

KC ended in late 2016, but its successor, the KC-National CDD Program (KC-NCDDP) is still ongoing. KC-NCDDP was designed to be very similar to KC, with a few enhancements to support community-driven post-disaster response and development. Specifically, in addition to subprojects that are traditionally eligible under KC, subprojects eligible for funding under NCDDP also include shelter and resettlement. Activities such as the social preparation and subproject implementation under the first KC-NCDDP cycle lasted 19 months for Typhoon Yolanda⁴ affected municipalities and 14 months for unaffected municipalities. The total cost of KC-NCDDP is 43.9 billion PHP (approximately US\$ 985 million), with 19.4 billion PHP from the World Bank, 15.1 billion PHP from the Asian Development Bank and 9.4 billion PHP from the Government of the Philippines (DSWD, 2016). KC-NCDDP covers a total of 847 municipalities with a combined total of 19,657 barangays located in 58 provinces and 14 regions, covering approximately 5.3 million households.

At the inception of the project, MCC estimated that KC would have an economic rate of return (ERR) of 12.6 percent (ERR Sensitivity Analysis - Philippines: Kalahi-Cidss: The Community Empowerment Activity Cycle (CEAC), March 2012). Updated ERR results will be completed as part of the final drafting of this report.

³ Municipalities in Mindanao received fewer KC cycles because security concerns slowed implementation.

⁴ Typhoon Yolanda (Haiyan) struck the Philippines on November 2, 2013. It is the deadliest typhoon on record in the Philippines and killed over 6,000 people. KC and NCDDP were utilized to assist municipalities affected by the typhoon.

1.3 What does the literature say about CDD and its effects?

A dozen years ago, almost no rigorous evaluations of CDD programs, such as KC, existed, despite widespread implementation of such programming (Mansuri and Rao 2004). Since then, a number of studies in different parts of the world have used rigorous experimental and quasi-experimental designs to assess the impacts of CDD programs on socioeconomic welfare (including access to various services), governance, and social capital or cohesion (see, for example Fearon, Humphreys, and Weinstein 2008 ; Casey, Glennerster, and Miguel 2011a; Beath, Christia, and Enikolopov 2012 ; Barron et al. 2009 ; Humphreys, Sanchez de la Sierra, and van der Windt 2012; Avdeenko and Gilligan, 2015) and some are ongoing (Beath, BenYishay, d’Adda, Grosjean, & Weber, 2017).

Across these existing studies, positive effects in the socioeconomic domain, broadly conceived, are most common. For instance in Indonesia Olken et al. (2014) find health and education improvements - most significantly school enrollments, frequency of weight checks for young children, and malnutrition - resulting from the *Generasi* block grant program. In a 2012 review of CDD interventions by the World Bank, Wong found that in the programs she studies, there is generally robust evidence for improved access to services like education and water, and, where expected, some improvements in economic welfare.

While a generalized theory of change for CDD would hold that improved socioeconomic welfare, governance and social cohesion – commonly the three outcomes of interest – are mutually reinforcing (King 2013), this is not supported by existing evidence. Drawing on a broad review of participatory development projects and approaches, Mansuri and Rao (2013) point to often disappointing results in regards to participatory projects building long-term improvements in governance or social cohesion. In a synthetic review of CDD and community-driven reconstruction (CDR) evaluations in conflict-affected contexts, King wrote that “[a]s currently designed, implemented, and evaluated, CDD/R [community driven development or reconstruction] is better at generating more tangible economic outcomes than it is at generating social changes related to governance and social cohesion, although even economic effects are found in just a few studies” (2013, p.3). Moreover, reviews also show that CDD is generally more successful in producing outcomes directly related to the project as opposed to “durable and transferable change in attitudes and behavior” (King and Samii 2014, p.72) beyond the duration or scope of the project (King 2013, Mansuri and Rao 2013).

In Philippines, Labonne and Chase (2011) studied the effects of the first phase of KC, on social capital in particular, using a design that matched eight treatment municipalities with eight controls and studied 135 barangays therein, 66 treatment and 69 control. The authors conducted their survey after treatment communities received the social preparation phases of CEAC and one third of treatment communities received subprojects. Labonne and Chase investigated a variety of dimensions of local government participation and community characteristics, but did not study socioeconomic welfare, including access to services. Their results show positive effects on an index intended to measure “formal social capital”, including increases in the number of barangay assemblies and the number of residents participating. The researchers also found negative effects on “informal social capital” including participation in *bayanihan* (voluntary collective action) and group membership, leading the authors to ponder the possibility that the

time spent in barangay assemblies may substitute for participation in groups (2011, p. 356). Having focused largely on what might be called outputs and short-run outcomes, the authors suggest that “it would be interesting” to explore more durable and transferable change, for instance, “to assess if, in light of the benefits associated with the project, municipalities adopt the CDD approach in allocating some of their resources” (2011, p.357). In this study, we focus on short-run outputs, outcomes, and longer-term outcomes.

The existing body of research leaves open a number of possible explanations for the mixed, and oftentimes disappointing, outcomes of CDD projects and opens many avenues meriting further consideration. These include questions of implementation strength and integrity, program design (length of project, size of grants, quality and intensity of training, structure of local governance and integration with higher levels of government, etc.) and evaluation strategy (King 2013). Regarding evaluation strategy, even among randomized control trial evaluations, one might ask numerous questions of the existing body of research.

First, while a number of strong studies are based on surveys, an important trend is a move towards the inclusion of real-world behavioral activities that may better capture behavior than self-reports. For example, in a CDD study in Sierra Leone, researchers implemented a “Structured Community Activity” (SCA) that permitted direct participant observation of community members engaged in a concrete, real world activity such as deciding what to do with a gift or small grant. Since the activities are standardized across communities, researchers can observe the way different communities handle the same decision or opportunity (Casey, Glennerster, & Miguel, 2011a). Similar behavioral assessments have been conducted in program evaluations in a range of countries, such as the Democratic Republic of Congo (Humphreys, Sanchez, & van der Windt, 2012) and the Solomon Islands (Beath, BenYishay, d’Adda, Grosjean, & Weber, 2017).

Second, a number of analytical strategies open possibilities to improve on early studies. For instance, there is an emerging best practice in the use of indexes rather than a battery of individual measures (Casey, Glennerster, and Miguel 2011b; Fearon, Humphreys, and Weinstein 2008, 36; Fearon, Humphreys, and Weinstein 2014). Related, there is a growing best practice of developing and registering pre-analysis plans (see Humphreys, de la Sierra & van der Windt, 2013). Finally, while the dominant approach to analysis is to focus on average treatment effects, heterogeneous effects may complicate findings and the implications thereof. For instance, in Indonesia, Voss (2008) found substantial gains in per capita consumption and access to outpatient health care as a result of the program, but much smaller or insignificant gains for female-headed households and other disadvantaged groups. In a study of an NGO-implemented CDD intervention in the Democratic Republic of Congo that found largely no or weak effects, the authors write that “it is... possible that there are positive effects for some and negative effects for others, with small or no effects on average” (Humphreys, Sanchez de la Sierra and van der Windt 2012, p. 74).

Third, and related to both issue above, one might query the accuracy of outcomes of CDD projects studied, regardless of the specific subproject chosen. Testing for effects on education, for instance, if a water subproject was implemented, would arguably require the actualization of a much longer theory of change than if an education subproject were implemented.

While the study of CDD and knowledge surrounding it has come a long way, there is still much to further investigate. This impact evaluation of KC endeavors to contribute to the

informed policy development of KC and other CDD projects, and to the literature on the different socioeconomic, governance, and community empowerment impacts that CDD programs may have in the communities where they are implemented. Wherever possible, it endeavors to address shortcomings and build on developing best practices in evaluation design.

2. Randomization and Implementation

This impact evaluation uses mixed methods, combining a randomized control trial design with quantitative behavioral and observational data, and qualitative research to undergird and offer explanations for key findings. At the early stages of KC, DSWD had insufficient funding to implement KC in all municipalities that may have benefited from it, thus DSWD set eligibility criteria, and MCC and IPA supported a lottery that selected beneficiary municipalities. While providing fairness and transparency to communities, this feature also provided a unique opportunity to rigorously evaluate the KC program by randomly assigning eligible municipalities into treatment and control groups.

2.1 Eligibility for random assignment and selection for KC

DSWD, MCC, and IPA collaborated to carry out a series of public lotteries across the Philippines in May and June 2011 to determine which municipalities would participate in KC, and this associated evaluation, and which would not, enabling the latter to serve as comparison communities. (The lotteries were carried out by HGM Management and Technologies, Inc., hired by MCC.)

The randomization and eligibility process was carried out as follows. (See details in Beatty et al. 2013.) DSWD set municipal eligibility principally based on poverty and prior experience with KC. Within 48 of the country's poorest provinces targeted by KC, municipalities with 70 percent or more poverty incidence automatically received KC, while municipalities with less than 33 percent poverty incidence were ineligible. Thus municipalities with poverty levels between 34-69 percent were selected for participation in KC via lottery. DSWD only granted KC funding to half of the municipalities in the province minus one, which meant that if a province included many municipalities with a poverty incidence of 70 percent or more, all of the eligible funding may have been taken up by municipalities who were guaranteed KC funding, leaving no funding for the municipalities between 34 and 69 percent poverty. So, for each province, the number of funding slots available for the municipalities that entered a random draw to receive KC was determined by the 50 percent minus one rule, minus the number of municipalities that automatically received the project. This means that the probability of being selected for KC differed by province. Prior participation in KC also affected eligibility. Municipalities were excluded from the evaluation sample if they received funding during the earlier round of KC (2005-2009).

The combination of these criteria left 313 municipalities in 26 of the 48 provinces targeted by KC eligible for random selection into the project and impact evaluation study. These

municipalities stretched across the three main island groupings of the Philippines (Luzon, Visayas, and Mindanao).

Initial power calculations (detailed in Beatty et al., 2013) determined that a sample of 99 “treatment” municipalities (those participating in KC) and 99 control municipalities was necessary in order to statistically detect the impacts expected by MCC prior to its investment. These expected impacts were laid out in MCC’s ERR calculations, and primarily centered on an expected eight percent change in income among households in participating municipalities due to KC. The target evaluation sample was thus set at 198 municipalities, split evenly between treatment and control groups.

The 313 municipalities that were candidates for KC were invited to participate in public lotteries to receive the KC program (or “treatment”) and be included in the evaluation. HGM Management conducted the selection events, organized by province, in eleven different locations to minimize travel distance and time for municipal mayors or their representatives. The final inclusion criterion in the evaluation sample was the municipal mayors expressing interest and being present at the municipal selection event for each province. Out of the 313 municipalities invited to participate in the lotteries, 23 either chose not to participate or were disqualified for not sending a mayoral representative to the municipal selection event. Thus, the final evaluation sample frame included 290 municipalities.

Just prior to each lottery (and not beforehand, so as to only include municipalities that had authorized representatives present), the IPA team matched municipalities within each province in order to ensure basic comparability of what would ultimately become treatment and control communities. The matching was conducted based on four variables: (i) poverty incidence, (ii) population, (iii) land area, and (iv) number of barangays. Municipal poverty incidence was included because it is a key variable in project eligibility and an outcome of interest. The number of barangays was incorporated because grants are made and subprojects are implemented at the barangay level. Population and municipality land area were included because they are factors in determining the Internal Revenue Allotment (IRA) of a municipality, which largely determines the financial resources available to the Local Government Unit (LGU) and affects counterpart contributions that must be made to the implementation of KC in the municipality.⁵

The randomization events produced a sample of 198 municipalities (99 pairs). Of the original 99 pairs selected for the impact evaluation sample, one pair was dropped because the treatment municipality was unable to provide the counterpart funding required by KC. The dropped pair was replaced with another pair in a manner consistent with the randomized design and in advance of the baseline data collection. The baseline report provides additional details on the dropout pair and its replacement (Beatty et al., 2013, p.20).

2.2 KC implementation

⁵ A minimum of 30 percent of the total project cost comprises local counterpart contributions from the community, local government units, congresspersons, non-governmental organizations, and other stakeholders for the implementation of the project. The local counterpart contributions can come in two types: contributions for Capacity Building and Implementation Support (CBIS) and contributions for subproject implementation (SPI). The local counterpart contribution for SPI can be in the form of cash or in-kind.

In this section we offer a general overview of implementation progress and beneficiaries’ perceptions of progress through October 2015, the end date of our data collection. Overall, KC was successfully executed and barangay residents were satisfied with the project.

Table 2.1 shows the types of KC subprojects completed in our sample and in all the KC areas at the national level. The evaluation’s 99 treatment barangays completed a total of 82 subprojects (spread over 62 barangay, with 12 barangay completing two subprojects and 4 barangay completing three). Both in the evaluation sample, and across all KC areas nationwide, the most common types of subprojects were roads, flood prevention measures, school buildings, and access trails and footpaths. As discussed in further detail below, 7 control barangays completed subprojects.

Table 2.1 Subprojects completed by type

Subproject type	Evaluation Sample		All KC areas
	Treatment Bgys (n=82 SPs)	Control Bgys in (n=7 SPs)	All (n=15,760 SPs)
Flood Control / River Control (including Box Culvert/Drainage/Canal)	17 (21%)	0	15%
Road	13 (16%)	0	21%
School Building	13 (16%)	0	11%
Access Trail / Footpath	11 (13%)	1 (14%)	11%
Water System	9 (11%)	2 (29%)	7%
Day Care Center	6 (7%)	0	8%
Economic/Livelihood Support	4 (5%)	0	N/A
Electrification	2 (2%)	3 (43%)	7%
Health Care Center	2 (2%)	0	5%
Post-harvest Facility	2 (2%)	0	4%
Foot / Small Bridge	1(1%)	0	2%
Capability Building / Training / Feasibility Studies	1 (1%)	0	1%
Boat	1 (1%)	0	0%
Community Center / Multi-Purpose Building	0	1 (14%)	4%
Training & Learning Center / Facility	0	0	1%

Source: DSWD, Evaluation sample data from KC Area Coordinating Team (KC ACT) datasets. Data from DSWD's KC project monitoring database, 2011-2015.

In terms of how KC performed in implementation as assessed by targets set by DSWD and MCA-P, KC fared overall very well. The MCA-P monitoring and evaluation plan set out the five key performance indicators for KC, such as the percentage of municipalities that provided their KC

local counterpart contributions, the number of subprojects completed with 100 percent physical accomplishment, and the number of barangays that completed social preparation, environmental management and gender training. DSWD exceeded all targets (MCC, 2016). Moreover, we calculated the performance of KC on several indicators outlined in Appendix B of the MCA-P M&E Plan. These indicators and results are found in [Appendix X](#).

2.3 Non-compliance of the treatment group

There were four municipalities assigned to the treatment group that did not comply with the randomization and have not participated in the KC program. The reasons for non-compliance were inability to raise counterpart funding (two municipalities – Calubian, Langangilang) and governance issues such as conflict (two municipalities – Palimbang, Lambayong). In these cases, we continue to conduct intention-to-treat analysis and include these municipalities (and their paired control municipalities) in our evaluation sample.

2.4. Non-compliance of the control group

There was also some non-compliance in the control group. Four municipalities originally assigned to the control group were nonetheless allocated funding by DSWD as part of the initial KC allocation (Santa Magdalena, Pinamalayan, Luba, Malibcong). As in the case of non-compliance with treatment group assignment, we continue to conduct intent-to-treat analysis using the original group assignment as an indicator for treatment.

In addition to control noncompliance, here we also discuss two particular threats to the validity of our study or forms of potential contamination. These are two new initiatives with similar aims and features of the KC project that the GRP rolled out over the course of this evaluation. First, the GRP introduced the Bottom-Up Budgeting (BUB) Program, which aims to encourage municipalities to produce annual development budgets through greater barangay-level engagement. Because budgeting and planning are also an objective of KC, we were concerned that BUB could be a KC-like intervention.

However, we find the BUB implementation process and goals somewhat different from KC. The primary reason BUB is not like KC is that subproject prioritization and implementation takes place at the municipality level, while in KC the decision-making process is done at the barangay level. In BUB, unlike KC, civil society organizations (CSOs) representatives participate at the municipal-level in a local poverty reduction action plan workshop to identify poverty reduction projects. Once CSOs prioritize projects, municipalities request funds for these projects, and they are funded through the budget of relevant national government agencies, or through other mechanisms. Moreover, with BUB, again unlike KC, the community does not implement the project. The national government agency or the municipality bids out project implementation (DBM-DILG-DSWD-NAPC, 2012).

The data from the Department of Interior and Local Government (DILG) show that the BUB intervention (which refers to the process of planning, mobilization and selection of CSOs, and

implementation of subprojects) started in 2012, and all the treatment and control municipalities received BUB during the third round data collection. Data from the third round data analysis indicated that BUB was implemented at similar funding levels in the evaluation sample’s treatment and comparison groups. (See Table 2.2 below.)

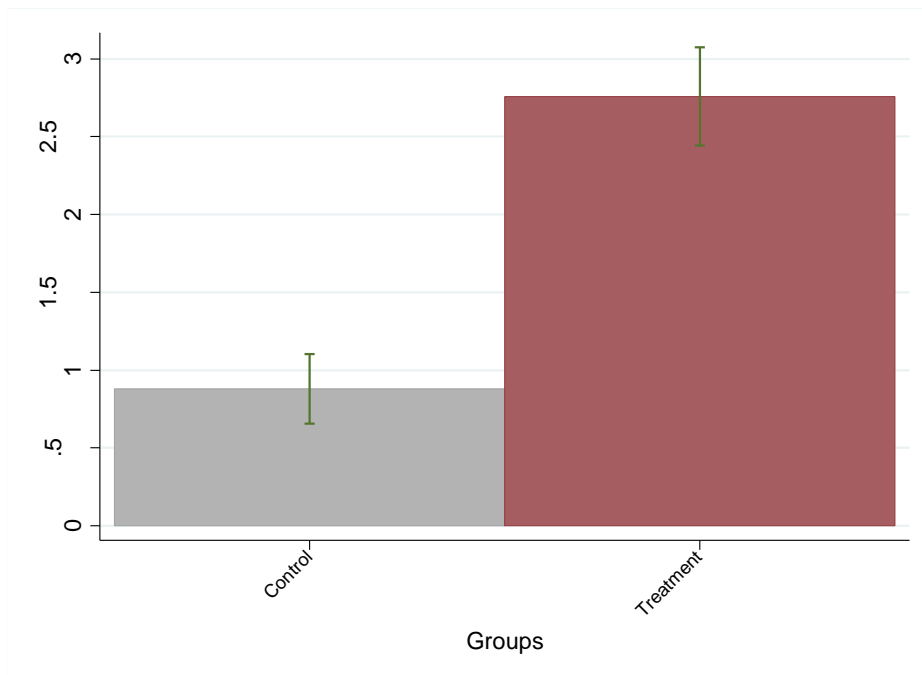
Table 2.2 Amount of BUB funding received by treatment and control municipalities

Year	Average amount of BUB funding received by municipality (PHP)	
	Treatment Group	Control Group
2013	10,302,191	9,728,509
2014	12,400,114	12,360,243
2015	10,010,368	11,267,105

Source: KC third round municipal survey. In 2012, only 5 treatment and 4 control municipalities received BUB funding. Statistical tests of the differences between the treatment and control group means indicate that these differences are not distinguishable from zero in any of the three years.

Second, and more significantly, in June 2014 (several years in to the implementation of KC), the GRP officially launched KC-NCDDP. This nationwide scale-up of KC included treatment and control communities in the evaluation sample, potentially confounding treatment effects and altering the evaluation results. At the time of the third round data collection that informs this report, 88 of the 99 treatment group municipalities were also served by KC-NCDDP, while 79 control group municipalities were affected. However, large differences in the duration and extent of overall treatment by either KC or KC-NCDDP remained across the treatment and control groups. For example, treatment group municipalities had, on average, initiated four CEAC cycles (three funded by KC, one by KC-NCDDP). By contrast, control group municipalities had initiated only one cycle, on average (the cycle funded by KC-NCDDP). Figure 2.1 below highlights this difference.

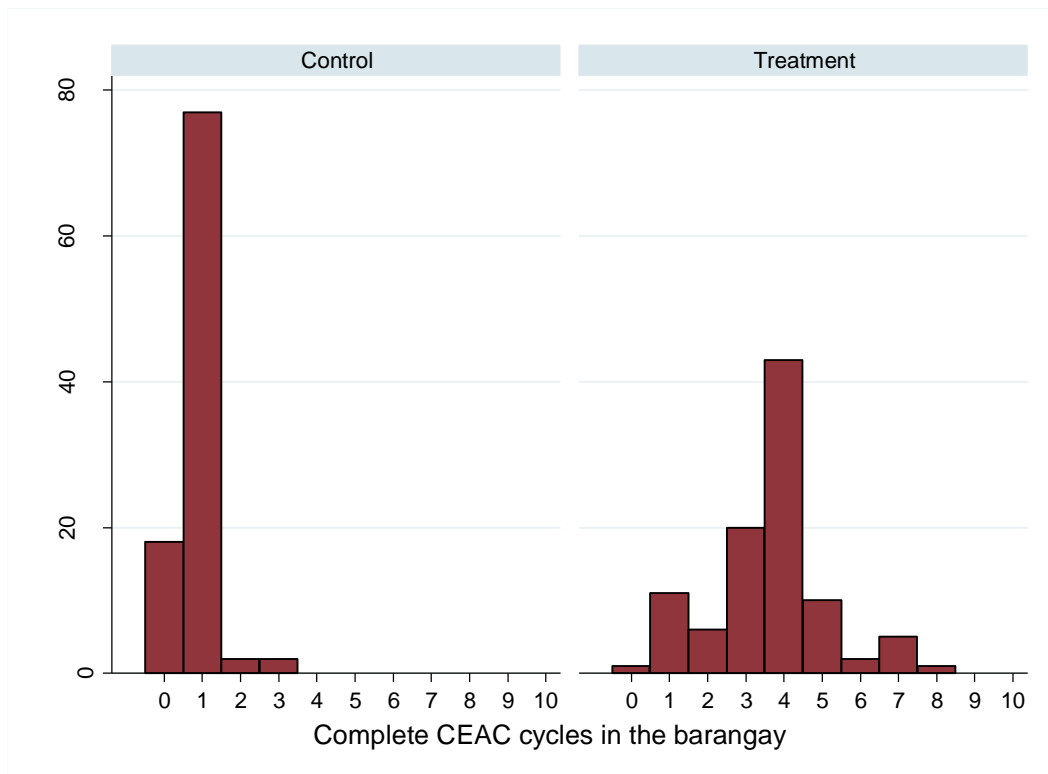
Figure 2.1. Average number of CEAC cycles completed by treatment and control status



We thus re-cast the non-compliance in our control group as a dose-response comparison, assessing differences between the treated group and the partially treated group comparison group. This requires us to make a number of adjustments in our analytical approach, as detailed in subsequent sections.

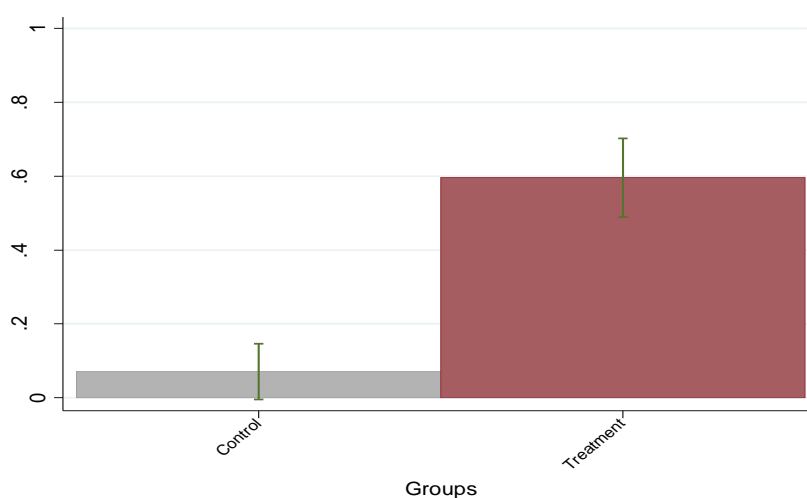
For our research design, we primarily rely on these differences in the average number of CEAC cycles as a summary measure of the extent of treatment. The difference in the averages reflects more extensive differences in the fuller distribution of CEAC cycle completion, as shown below. While there is somewhat more variation in the number of CEAC cycles completed in the treatment group than in the control group, this is an expected feature of most programs.

Figure 2.2 Distribution of CEAC cycles completed in barangay by T/C status



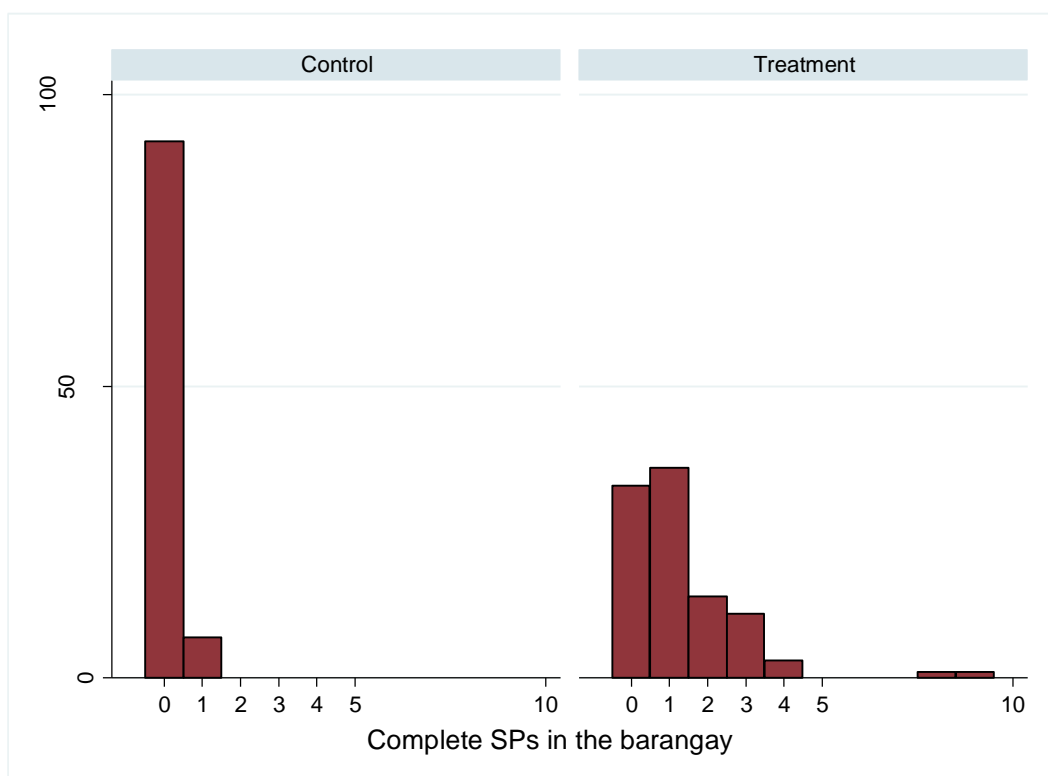
In addition to the completion of CEAC cycles as a measure of treatment, we also consider the completion of subprojects, since these are the channel through which many of the socioeconomic outcomes may arise (we detail the related theory of change and hypotheses in the following section). Figure 2.2 shows the percent of barangays that completed one or more subprojects. 60 percent of barangays in the treatment group completed one subproject or more at the time of the third round survey. This was less than 10 percent in the control group.

Figure 2.2 Percent barangay with one or more subprojects completed by T/C status



In addition to this difference in the share with any complete, we observe important differences in the fuller distribution of the number of SPs complete, as shown in Figure 2.3 below, with treatment barangay more likely to complete multiple SPs than control barangay. Moreover, the cost for these completed SPs in treatment barangay averaged 1.1M PHP, slightly more than the 840,000 PHP average cost in the seven control barangay subprojects. This confirms the differences in the extent of treatment along multiple dimensions in our evaluation sample.

Figure 2.3 Distribution of SPs completed in barangay by treatment and control status



2.4 Project Satisfaction among Participants

We assessed how households in KC-participating municipalities viewed their own experiences with the project. In the third round, we asked respondents in treatment municipalities a series of questions about their perceptions of how KC benefited their community and how they felt about the process. Overall, the responses to these questions indicated general satisfaction with KC. Here, we describe these responses without causal attribution or comparison with experiences in control municipalities.

Many of the questions were phrased in the negative, so for example asking respondents for an agree or disagree answer to the statement “projects selected through KC weren’t the most important ones for my barangay,” and overall there was strong support for KC. Ninety-one percent of respondents disagreed with that statement about the importance of projects; 88

percent disagreed that projects selected through KC didn't benefit many people in the barangay; 87 percent of respondents disagreed that KC didn't reflect their personal concerns; and 81 percent of respondents disagreed with the statement that KC subproject funds weren't spent well. When asked if they perceived KC as helpful, harmful, or neither helpful nor harmful, 92 percent of respondents reported it was helpful. The perception that the subprojects selected under KC were reflective of community needs is consistent with the findings below under H5 about the correspondence between baseline project preferences and actual subproject implementation.

Despite the strong support for KC, when asked about the comparison between KC and the standard municipal-level implementation, most respondents (52 percent) felt that projects implemented by the municipality or other government agencies reflected respondent concerns and interests as well as KC, and were as well implemented. About 33 percent of respondents reported that KC was superior in terms of reflecting interests and quality of implementation.

Respondents demonstrated similar feelings about corruption and nepotism. Just over half of respondents felt that there was no difference between KC and the standard municipal project implementation channels in terms of money going missing or projects benefiting family and friends of community leaders. Eighty-four percent of respondents disagreed with the statement that corruption caused money allocated for KC subproject implementation to go missing. Approximately 30 percent of respondents felt KC was superior regarding corruption and nepotism.

The main criticisms of KC centered on the time burden of the process. When asked to rank their most serious concerns about KC, speed of the process was the most frequently ranked top concern (identified by 31% of respondents). When asked whether they agreed or disagreed with the statement that the whole KC process was too slow, 45 percent of respondents agreed and 52 percent disagreed. The second most commonly reported concern was that KC staff in the barangay were not competent; but when asked to agree or disagree with the statement that staff working in the barangays on KC weren't competent, only 24 percent reported yes and 71 percent reported no. Similarly, when asked whether the KC process was too much of a burden, 86 percent of respondents said no while only 11 percent of respondents reported yes.

Likewise, during the qualitative focus groups, while participants shared few negative thoughts on KC, the most commonly mentioned critical response was in relations to the arduous bureaucratic nature of the project and the consequent delays in project implementation. Participants generally recognized, though, the trade-off to ensure transparency. In two of the twelve barangays that we visited for the qualitative research, specific local dynamics resulted in problems with KC. In one barangay, the subproject remains unfinished and unusable because, according to FGD participants, the barangay council used the subproject funds and some materials from the municipal government for their own purposes. In another, the barangay members lamented frequent turnover of DSWD facilitators and consequent insufficient facilitation in the early stages of CEAC.

3. Theory of change and hypotheses

We developed research hypotheses based on KC's goals: "(a) reduced poverty; (b) improved participatory local governance; and (c) improved social capital" (detailed in DSWD, 2012). The logic underpinning these priorities is cited in Box 1.1. Simultaneously, we considered a generalized CDD theory of change (King and Samii 2014), deemed suitable based on our research team's interactions with DSWD, MCA-P, and MCC, that focuses first on outputs and outcomes directly related to KC, then expands to examine wider community-level changes beyond KC. Moving beyond KC, "it is assumed that with empowered communities and improved local governance, development projects implemented by communities will be relevant, successful and sustainable. [...] With reference to Kalahi-CIDSS, viability and sustainability reflect the capacity of community projects to continue to deliver intended benefits over a long period beyond the life of the project" (DSWD, 2012).

We group hypotheses into three domains:

1. **The socioeconomic domain** considers impacts related to economic welfare improvements resulting from the implementation of KC subprojects in the community;
2. **The governance domain** considers the changes in awareness of, participation in, and responsiveness of local governance caused by the KC experience;
3. **The community empowerment domain** explores changes in community interactions and collective action caused by KC.

The procedures we use to test each hypothesis are specified in a registered pre-analysis plan.⁶ We hypothesized that based on the program logic, the changes described in Table 3.1 could materialize over the course of the three rounds of KC, with the exception of those marked "longer-term outcomes" or LT. This third round of data collection was close to the completion of KC, and thus we do not anticipate the LT hypotheses to have materialized yet. For the LT hypotheses, we specified in our pre-analysis plan that should our estimates indicate no statistically significant differences between treatment and comparison groups, we would not interpret this as a shortcoming of the program to achieve expected improvements.

⁶ Available at <https://www.socialsciregistry.org/trials/171/history/13679>

Table 3.1. Research hypotheses tested for the KC evaluation, by domain

Socioeconomic domain

Indicator and index components	
H1a	SPs improve access to related key services
H1b	Roads subprojects reduce agriculture, fisheries and livestock transport costs
H1c	Roads SPs improve productivity in agriculture, fisheries, and livestock sectors
H1d	Daycare SPs increase daycare enrollment and female labor market participation
H1e	School subprojects increase school enrollment and improve student/ teacher ratios
H1f	Health SPs increase visits to health facilities and adult labor force participation
H1g	Health SPs improve prenatal and birth services
H1h	Water SPs reduce time and costs spent obtaining water
LT1	KC raises household consumption and asset holdings
LT2	KC raises household labor force participation and earnings

Institutional domain

Indicator and index components	
H2	KC increases quantity and quality of participation in local governance around decision-making and implementation related to KC activities
H3	KC increases quantity and quality of participation in local governance around decision-making and implementation beyond KC activities
H3a	KC increases participation in and knowledge of formal structures beyond KC
H3b	KC improves barangay information sharing and inclusiveness beyond KC
H3c	KC increases confidence and self-efficacy beyond KC
H4	KC increases knowledge and awareness of local governance
H5	KC improves degree to which barangay projects correspond to ex-ante preferences
LT3	KC improves perceptions of local governance
LT4	KC raises capacity of barangay government

Community empowerment domain

Hypothesis and index components	
H6	KC increases interactions among peers
H7	KC increases participation in community organizations
H8	KC improves how well communities deal with natural disasters and other hardships

There are several subgroups of particular interest to the project funders and implementers. In its aim to “empower local communities,” KC holds that “[v]ulnerable groups like the women, Indigenous Peoples, farmers, fisher folk, and communities in conflict are given priority by including them in the decision-making process especially on matters pertaining to allocation and use of resources” (DSWD, 2012). In consultation with DSWD, we pay special attention to the effects of KC on Indigenous Persons, women, and households classified as poor and include these subgroups in our analysis.

4. Overview of data sources

In order to assess the impact of KC on these outcomes, this evaluation draws on six primary and secondary data sources: a quantitative household questionnaire, a quantitative barangay questionnaire of the barangay captain or other relevant official, a mixed qualitative and quantitative municipal questionnaire, a mixed qualitative and quantitative KC Area Coordinating Team questionnaire, a Structured Community Activity, and a range of qualitative data collection efforts with barangay members. Table 4.2 below provides an overview of instruments, research type, and dates for each round of data collection. IPA designed the instruments with input from MCC, MCA-P and DSWD, and shared oversight of data collection with MCA-P.⁷

⁷ At baseline, Sustainable Development Solutions (SDS) carried out the quantitative data collection (household and barangay surveys). Cristina Lim and Clarence Pascual from the Ateneo Social Science Research Center at Ateneo de Naga University conducted the qualitative data collection. Social Weather Stations (SWS) carried out the interim and third round quantitative data collection activities (household, barangay surveys and SCA). SWS also conducted the Barangay Assembly observations at interim. Aries Arugay, from University of Philippines, undertook the third round qualitative fieldwork with the assistance of Aletheia Valenciano.

Table 4.2: Overview of quantitative and qualitative data collection instruments and data collection timing

Data collection round	Instrument	Data type	Dates
Baseline	Barangay survey	Survey; self-reported quantitative	April-June 2012
	Household survey		
	Key informant interviews with barangay and municipal officials	Qualitative	April-May 2012
	Focus group discussions with barangay residents		
Interim	Barangay survey	Survey; self-reported quantitative	February-June 2014
	Household survey		
	Structured Community Activity	Observational, qualitative and quantitative data	
	Barangay Assembly Observations	Observational, qualitative and quantitative data	March-April 2014
Third round	Barangay survey	Survey; self-reported quantitative	July-October 2015
	Household survey		
	Structured Community Activity	Observational, qualitative and quantitative data	
	KC Area Coordinating Team survey	Qualitative, quantitative and secondary data	
	Municipal survey		
	Focus groups with KC volunteers and barangay residents	Qualitative	

Figure 2.1 presents a timeline of data collection activities and KC implementation from April 2012 (start of IPA quantitative data collection) to September 2016. At the time of the third round fieldwork, treatment areas had just completed their third round of KC. Some treatment and control areas had also had one round of KC-NCDDP.

4.1 Household and barangay surveys

All three quantitative household survey rounds were very similar in terms of questionnaire content, and drew on the same pool of questions. The survey content is the basis for testing our research hypotheses discussed above, and thus focuses on questions related to socioeconomic status (e.g., consumption, assets, employment, dwelling attributes), service access and travel time, household participation in government and non-government groups and meetings, impressions of government quality, inclusion and responsiveness, individual feelings of

confidence and self-efficacy, knowledge and awareness of local government, individual priorities for local projects, barangay government effectiveness, frequency of peer interactions, and responses to natural disaster and hardship. The baseline and third round surveys were nearly identical, with some minor changes in questions about KC implementation. The interim included a smaller set of questions focused on governance, empowerment and community participation that were largely identical to the baseline questions. We focused on the smaller set of questions at interim because these indicators were expected to materialize over a shorter timeframe than, for example, the questions about consumption or employment that we included in the third round. This also saved cost and minimized respondents' time burden.

The survey was targeted at the head of household, and, in cases where this person was not available, another person in charge of managing the household. For questions relating to perceptions and empowerment, half of the households in each barangay were randomly assigned a male target respondent and the other half were assigned a female target respondent. When this did not coincide with the principal survey respondent, a different respondent answered these survey sections. However, SDS did not implement this with integrity at baseline. (See more details in section 2.4.1 Attrition and replacements below.)

The main respondents for the barangay-level survey were barangay captains and other officials involved in barangay level government. Similar to the household survey, the barangay survey asked barangay captains about their attitudes and experiences regarding socioeconomic conditions in the barangay (baseline and third round), governance, empowerment and community participation in the barangay (all rounds). The survey also collected data on the barangay's budget and development projects, among other topics.

Barangays were selected randomly from within the municipality, and households were randomly selected within sample barangays. At baseline we did not yet know which barangays within treatment municipalities would ultimately be selected to receive subprojects. In order to select a barangay for the survey, at baseline we randomly selected one barangay within each of the 198 municipalities participating in the evaluation, with a weighted probability favoring barangays with the highest poverty rates, reasoning that they would be the most likely to receive a KC subproject as had been the pattern in the earlier phase of KC (2005-9), yet maintaining a representative sample. Within each barangay, 30 households were randomly selected from among all households to comprise a total of 5,940 households.

Because the outcome variables of interest in the interim data collection did not include income and consumption measures, the required sample size was considerably smaller. Power calculations indicated that a sample of 80 municipalities was sufficient to precisely identify impacts on governance outcomes of interest. The interim sample of 80 barangays, in 80 municipalities, was a subset of the baseline sample. To select the sample of municipalities for the interim data collection, IPA implemented a simple random sampling of municipality pairs roughly proportional to the baseline sample for each island and with six municipality pairs from the baseline qualitative study. (See more below about the qualitative sample.)

4.2 Structured community activity and barangay assembly observations

During the interim and third rounds of data collection, we complemented surveys with a SCA, creating the opportunity to directly observe barangay decision-making processes in real-world settings. Each barangay was offered a small sum of money (PHP15,000, US\$349) and the discretion to use it to repair, maintain, or improve a local public building. Presented as a thank you to the community for their participation in the survey, the community members were not prompted that this activity, too, was a data collection activity. The data collection teams observed the community members' decision-making process and the outcomes of this activity and measured each community's level of engagement, inclusiveness and collective action.

Specifically, during the community meeting, the field team collected quantitative data by capturing the type and quantity of interactions made by meeting participants. Box 2.3 summarizes the SCA process. The team collected two data points on each meeting participant's interventions (the number of times people spoke) by having two field team members observe the same active meeting participants. Having two field team members collecting the data on the same group of respondents improved the reliability of the observational data collected. In order to best achieve accuracy, we took the average of the two data points for each person speaking (the average inconsistency between the two data points was 0.8 interventions per person). The field team also collected qualitative data by recording the content of interactions. At the end of the meeting, the field team collected some basic information about the project the barangay had chosen, including the materials they were planning to purchase, which building they would develop, how they would develop the building and who would be responsible for recording contributions.

Box 4.1 SCA process and implementation

Process

The SCA was conducted at the same time and by the same field teams implementing the quantitative surveys. Upon arriving in each barangay the field supervisor informed the barangay captain about a PHP15,000 (US\$349) grant from IPA. The field supervisor explained that the funds were part of a research project on decentralized governance and development, intended to help policy-makers better identify and respond to the community's priorities and needs, and that the research project also included surveys of households and barangay officials. The field supervisor told the community that the funds had to be used to repair, maintain or improve a local public building, such as a school, health clinic, community hall, or other building open to all barangay residents. IPA would provide the barangay with PHP15,000 in credit at a hardware store selected by the community. These funds could only be used to purchase paint, wood, and/or ingredients for cement. The community needed to provide voluntary labor to complete the works, as well as contribute any additional materials or equipment needed. If the barangay captain agreed to participate, he/she had to organize a meeting in two days' time (from the day the field supervisor informed him/her about the

project) open to all members from the community to attend and identify a project for using the small grant.

Implementation

On the day of the barangay meeting, the field team arrived at the meeting location early to begin taking attendance. From the start of the meeting to its conclusion, the team collected observational data on community member participation and decision-making. Prior to leaving the barangay, the field supervisor told the community that he/she would conduct a follow-up visit in two months. During the field supervisor's follow-up visit he/she verified project completion. Verification entailed visiting the project site, taking pictures and collecting data on project implementation including labor, materials and other in-kind contributions made by community members to the project. Follow-up visit data enables us to measure quantitative outcomes such as co-contributions to project and project implementation quality and completion. These outcomes are important since collective action and contributions to community projects are intrinsically linked with community participation.

4.3 Qualitative focus groups and key informant interviews

At baseline, we conducted focus groups and key informant interviews to better understand how community members understood their situations as they related to the study's main outcomes of interest, giving them the opportunity to discuss and elaborate rather than being constrained by a survey's parameters. We also sought to understand how people understood key terms and measures from our quantitative study to improve our ability to assert that we were measuring what we believed we were measuring.

Research teams conducted 72 focus groups across a subsample of barangays in 24 municipalities (12 municipality pairs) from the study's 198 municipalities. The qualitative sample covered 12 provinces (one pair per province) spread over the three island groups of Luzon, the Visayas and Mindanao, randomly selected to vary by poverty, land area, a series of measures for local government units, and their scores on the Local Governance Performance Management System (LGPMS).⁸ The teams also collected data in its corresponding control barangay. In each barangay, there were three FGDs: one with male participants, one with female participants, and one with both male and female participants. Each focus group had an average of 15 varied participants and did not include barangay officials. Residents were asked their opinions on various topics including the socioeconomic and demographic characteristics of their communities, the quality, and practice of governance, the strength of their social networks and ability to use them to operate in the barangay, and others. Themes were addressed through discussions, individual and collaborative rating exercises, mapping and more.

⁸ The LGPMS is a self-assessment and web-based development management tool for provinces, cities and municipalities capable of providing information on the capacities and limitations of LGUs in the delivery of essential public services. (DILG-National Capital Region website, 2017).

Figure 4.1: Research tools from Mixed Focus Groups at Baseline



Source: Lim and Pascual 2012.

At the same time, researchers also conducted key informant interviews (KIIs) to get a sense of the perspectives of existing officials on issues within the communities. We ultimately interviewed 188 respondents with a breakdown of eight key informants (KIs), six municipal and two barangay officials per municipality. At the municipality level, the KIs were the municipal mayor, vice-mayor, representatives from the Municipal Development Council (MDC), municipal engineer (ME), municipal planning and development officer (MPDO), and municipal social welfare and development officer (MSWDO). At the barangay level, the KIs interviewed were the Barangay Captain (BC), and representatives of Barangay Development Council (BDC) if one existed. The total number of KI interviews (188) is slightly less than the targeted 192 since some KIs were on official travel or vacation leave. The various interviews covered eight topics: socioeconomic and demographic characteristics, access to basic social services, participation system and presence of representation of organized sectors, project prioritization and budgeting, development projects, revenue, monitoring and evaluation, and peace and order.

In the third round, a qualitative team of two researchers conducted 28 focus groups in 12 barangays. The barangays in this sample were all KC treatment barangays funded by MCC that had received at least two rounds of CEAC and one subproject. The two researchers conducted all of the focus groups themselves, leading at least two focus groups in each barangay: one with KC volunteers and one with community members not directly involved in KC. As applicable, they conducted a third focus group with IPs. The focus groups aimed to answer six research questions (see Box 2.4) arising out of the interim data collection and to help explain emerging third round findings. It is important to mention the challenges of social desirability bias that the team experienced while conducting the FGDs: while the researchers made every effort to make clear that the qualitative work was only for research purposes, and that no KC or other funding decisions were contingent on participation in the FGDs or the opinions expressed therein, many of the barangays our team visited remained hopeful that they will continue to receive KC projects in the future.

Box 4.2. Third round qualitative research questions

1. Can we reconcile discordance between generally favorable baseline perceptions of and participation in barangay governance with important gaps in public good provision?
2. Are there specific mechanisms or measurement issues behind the first follow-up data collection findings that perceptions of commissions are higher in treatment barangays?
3. How can we explain the interim report finding that contributions to community decrease with treatment? Is this a substitution effect, as previous research finds?
4. Do residents report governance and participation gains from KC treatment that we may not have captured with the quantitative instruments?
5. What mechanisms underlie differential gains in barangays with indigenous persons (IP) present (found in the first follow-up data collection)?
6. What more can we learn about calamities (i.e. Yolanda) and our interim findings that Yolanda-affected treatment communities were better able to respond than Yolanda-affected control communities?

4.4 Quality control

IPA and our partners made every effort to produce the highest quality datasets possible, using consistent data quality assurance methods across all three survey rounds (see Beatty et al., 2013, p.22). In brief, SWS field supervisors back-checked 10 percent of interviewed households and sent enumerators to redo surveys in cases where 30 percent of the answers were inconsistent. For the third round, IPA hired a team of nine survey observers to observe interviews and perform their own back-checks. Survey observers also observed SWS' implementation of the SCA. IPA staff and researchers also visited sites and provided oversight during the central training, surveying and the implementation of the SCAs.

SWS performed data entry twice for the quantitative surveys and the SCA meeting quantitative data forms. The first data entry of the household and barangay surveys was performed in the field by field data editors who entered the data into an offline database. The first and second data entry of the SCA meeting quantitative data forms was performed in SWS' Manila office by data editors using the paper copies of the completed forms. The second data entry of the household and barangay survey was also performed in the SWS' Manila office. SWS implemented the same process for resolving discrepancies and cleaning the data as the baseline survey firm followed during the baseline. SWS submitted each data file to IPA for review. IPA performed data consistency checks on the data and then provided SWS with feedback on errors and other issues with the data.

4.5 Attrition and replacements of households

Since the design of the evaluation is based on panel surveys at the household and barangay levels, SWS surveyed the same barangays and re-interviewed the same household as in the baseline. At interim and third round, in each barangay, attempts were made to re-survey all of the 30 households included in the baseline sample. IPA provided SWS with household tracking information collected at baseline in order to track any household no longer living in the same location. If a household no longer lived in the barangay, but still lived within the municipality, SWS attempted to locate and re-survey the household. If the household moved outside the municipality, SWS replaced the household with another, according to IPA's replacement guidance. The interim survey had a 6.3 percent attrition rate, which represents those households SWS was unable to re-contact during the interim data collection and who were randomly replaced with other households in the barangay. Likewise, the attrition rate between baseline and third round is 7.3 percent, and represents the households that were randomly replaced with other households in the same barangay at the third round. The attrition rate between interim and third round is 0.3 percent. We did not experience any attrition with the SCA (since this was sampled at the barangay level). The qualitative research was not based on returning to the same communities at multiple time-points.

Within the sample households, SWS made every effort to re-contact the same respondents interviewed at baseline. This was especially important for the respondents of the governance and empowerment sections, who were randomly selected to achieve a gender mix. SDS, the baseline survey firm, only implemented the social network module (one small fraction of the governance and empowerment questions) using the designated gender respondent. At interim, SWS attempted to identify these specific respondents, and re-administer the rest of the governance and empowerment questions, but this was largely impossible. 82 percent of gender respondents match between interim and third round of surveys.

We used the analytic sample to assess whether attrition affected the comparability of treatment and control groups. These models had the same structural form as the models that were used to estimate impacts. We tested whether attrition rates and attriter characteristics are comparable across treatment and control status. To assess this comparability more formally, we re-estimated the baseline levels of outcomes across treatment and control groups across both attrited and non-attrited households via both seemingly unrelated regression (SUR) and ordinary least squares (OLS) specifications.

5. Analytical approach

In this chapter we discuss our analytical approach and how we will present results shown in Chapter 4. Specifically, we discuss our intent to treat and treatment on the treated estimates due to noncompliance; the dose-response analysis due to the fact that treatment and control

barangays were exposed to the project with different intensities; how we analyze the impact of the project by the specific type of subproject a barangay received; and subgroup analysis.

5.1 Unit of Analysis

Our primary interest is in testing the effects of the KC program at the relevant unit of assignment, in this case the municipality. However, several factors lead us to analyze survey data at the household level: First, in order to maximize precision, we use baseline values as covariates at the household level whenever available. Second, because we consider within-barangay subgroups, we use data at the household level to construct these groups and analyze their differential impacts. When we use household-level data, we cluster our standard errors at the municipality level (the unit of assignment). In cases where hypotheses are entirely tested using barangay data, we use the barangay as our primary unit of analysis.

5.2 Intent-to-treat effects

Most of our hypotheses relate to the average treatment effects associated with a municipality's participation in KC (socioeconomic domain hypotheses are exceptions, discussed below). For these hypotheses, we estimate the average treatment effects across our full baseline sample. These should be interpreted as intent-to-treat (ITT) estimates due to two-sided noncompliance discussed in section 2.4. Moreover, among those municipalities receiving treatment, all of our sample barangays will have completed the initial phases of CEAC known as "social preparation," but only a portion will have received funding for their requested subprojects. The ITT effects across our full sample should thus be interpreted as averaging the effects across these sets of barangays, irrespective of whether a subproject was funded and, in cases where subprojects were funded, which type. (Below, we discuss subgroup analysis that attempts to separately identify the effects of each type of subproject).

The following OLS regression will be used to estimate the ITT:

$$y_{ist} = \alpha + \beta_1 T_{is} + \beta_2 y_{ist-2} + D_s + \epsilon_{ist}$$

where i indexes either *barangay* or individual (as discussed above), s indexes strata (or municipal pair), and t indexes data round.

Following [Bruhn and McKenzie \(2009\)](#), we include strata (pair) dummies (based on the matched pairing completed prior to randomization), and baseline values (y_{ist-1}) as regressors (where the latter are available). Our main coefficient of interest is β_1 , the average treatment effect.

To account for multiple comparisons arising when we test hypotheses based on multiple outcome variables, we estimate overall average treatment effects and overall subgroup-specific treatment effects pertaining to all variables related to each hypothesis following Kling, Liebman and Katz (2007). That is, we standardize all outcome variables, then estimate the aforementioned specification for each of these outcome variables. For example, H2 is comprised of 17 variables that are standardized and comprise the overall H2 index looking at participation

in local governance. The overall treatment effect for each hypothesis is calculated as the mean of the variable-specific treatment effects. That is, the overall effect for the hypothesis averages the separate treatment effects estimated for each individual outcome variable. The standard error of this effect is estimated using seemingly unrelated regression (SUR) estimation, with clustering at the municipality level.

5.3 Non-compliance and treatment-on-treated effects

As discussed in section 2.4., 88 treatment and 79 control barangay received KC-NCDDP. In cases of two-sided non-compliance, the ITT will differ from the treatment effect on the treated (TOT), and policymakers will often be more interested in the latter, which describes the impacts of actual participation in the program rather than assignment to the program. In our case, the TOT will reflect both program attrition among the treatment group and the roll-out of KC-NCDDP among the control group. Estimating the TOT precisely requires that the two groups continue to differ in their rates of program implementation. We confirm that this is the case in section 2.4.

For many of our socioeconomic hypotheses, we focus only on barangay that completed a specific type of SP (say, road improvements). In such cases, we effectively eliminate noncompliance in the treatment group by definition. The TOT estimates then only adjust for noncompliance in the control group, wherein the paired control barangay also completed an SP of the same type. Because this is very rare, we expect our TOT estimates for these hypotheses to be quite similar to our ITT estimates. In the more general cases of our long-term socioeconomic outcomes and our institutional and empowerment domains, where we estimate ITT effects in the full sample, it is more likely that TOT and ITT estimates will differ. We therefore discuss TOT estimates only where we find effects that are materially different from the ITT estimates.

To estimate the TOT effects while using household-level covariates and accounting for the multiple steps of estimation appropriately, we use a two-stage least squares (2SLS) approach. In the first stage, we estimate the effect of treatment group assignment on the subproject completion (for socioeconomic outcomes; for other outcomes, we estimate effects on CEAC cycle completion). In the second stage, we estimate the effect of subproject completion (or CEAC cycle completion) on the outcome of interest. The equations are as follows:

$$SP_{st} = \lambda + \gamma_1 T_s + \gamma_2 y_{ist-2} + D_s + \mu_{ist}$$

$$y_{ist} = \alpha + \beta_1 \widehat{SP}_{st} + \beta_2 y_{ist-2} + D_s + \epsilon_{ist}$$

As before, we cluster standard errors at the municipality level when estimating this system via 2SLS.

5.4 Dose-Response analysis

An alternative interpretation of the TOT effects is as estimates of a dose-response function, allowing us to understand how the effects vary with the number of completed CEAC cycles. Rather than comparing treatment with no treatment, we compare the effects of a large dose of a community-driven development program to a small dose, using our original treatment assignment as a valid source of exogenous variation. **This provides insight into an important policy question -- how many cycles of KC (or similar CDD programs) are in fact needed for impacts to occur?**

The dose-response also allows us to put to the test a widespread belief that more rounds of CDD programming are likelier to bring about the intended effects. Study authors focusing on DRC, Aceh, and Afghanistan, for instance, all wonder whether their lack of results on some or all of their hypothesized outcomes may be explained by the relatively short length of the project (King 2013, p.36). Indeed, the authors of a study of the KDP project in Indonesia found that **impacts on social relations were stronger in the third and fourth year of the project than earlier** (Barron 2010, 21). Fifty-two percent of respondents in a survey of World Bank Staff suggested that the “average number of years needed for project support of community groups initially formed under the process to reach a level of sustainability of community processes” was 6-10 years, with only 25 percent suggestion one to five years and the remainder predicting eleven or more years (Kumar 2005, 101).

The TOT estimates imply a linear dose-response function, in which the impacts are proportional to the number of completed CEAC cycles. However, it is possible that this function is non-linear, with impacts increasing at higher dosages (as would be the case if the aforementioned explanations of prior programs’ non-impacts are true). To account for non-linearities, we need to consider additional randomly assigned variation in dosage—which we obtain from our midline data collection. At the midline, no control municipalities had yet completed a CEAC cycle, and treatment municipalities had completed fewer cycles, providing additional variation in dosage. We can thus estimate a similar 2SLS specification, but now including two rounds of follow-up outcomes (we add controls for round to account for the overall differences in effects over the rounds of data collection):

$$SP_{st} = \lambda + \gamma_1 T_s + \gamma_2 y_{is0} + D_s + \mu_{ist}$$

$$y_{ist} = \alpha + \beta_1 \widehat{SP}_{st} + \beta_2 y_{is0} + D_s + D_t + \epsilon_{ist}$$

We conduct this analysis for all hypotheses in which we find significant impacts at the third round, as we are unlikely to detect impacts at lower doses if these larger dose effects are insignificant.

5.5 Treatment effects for individual subproject types

Many socioeconomic outcomes of interest are likely to be affected by only a subset of subproject types (or to have been disproportionately affected by certain subprojects). For example, prenatal care may have improved in barangays that received funding for health care improvements, but such an improvement is less likely in barangays where subproject funding

was for an agricultural project. In fact, by estimating the average treatment effects on such outcomes across the full sample, we are likely to mute the estimated impacts. This approach has been prevalent in prior CDD evaluations (King 2013), and our method thus makes an important advance over this limitation.

We therefore seek to estimate the impacts of funding for certain subproject types on specific sets of related outcomes, in addition to the average effect across all treated barangay. The challenge in doing so is that funding for subprojects of specific types may have been endogenously determined in the KC program. Specifically, while eligibility for KC participation was randomly determined via lottery, funding for specific subprojects was potentially shaped by which subproject the community requested and whether the MIBF prioritized this particular proposal. In fact, the needs assessment aspects of KC suggest that subproject proposals *should* have differed across communities based on the conditions in these communities and indeed, it is a premise of KC and CDD more generally that “development priorities are addressed in a ... demand-driven way” (Operations Manual, 2011). This feature could bias our estimates, if we limit our analysis to subproject-specific treatment effects only in the communities that received each subproject type (and their previously matched control barangay).

To address this potential endogeneity bias, we followed a multi-step process, as described below. The approach essentially attempts to test whether the original control barangays are the best match for each treatment barangay in terms of their likely subproject type; when this is not the case, we re-pair the treatment and control barangays to better control for differences in subproject types (in any cycle). This re-pairing uses the baseline preferences of barangay residents to construct a likelihood that the barangay received each type of subproject, based on the observed relationship between these characteristics and subproject type in the full sample.⁹

Our process was thus as follows:

1. Estimate a model of subproject type on baseline preferences in the barangay. The sample for this estimation is restricted to barangays that ever received treatment (including control barangays that received funding for at least one subproject). Formally, we follow McFadden’s (1973) choice model and estimate a multinomial logit model of the form¹⁰:

$$\Pr(S_{ik}) = f(\alpha_k + X_{ikt-1}B_k)$$

where S_{ik} is an indicator of whether barangay i completed implementation of at least one SP of type k , X_{ikt-1} is a vector of barangay-level baseline variables (including summary measures of household preferences for subproject type k and baseline governance conditions), and Y_{kt-1} is a vector of baseline outcome variables related to

⁹ In the socioeconomic section of the household survey, in an effort not to unduly overburden respondents, we did not ask modules related to *all* possible areas (infrastructure, education, water and electricity, etc.) to each respondent, rather focusing on the most relevant. As such, the re-pairing also requires that matched pairs are administered the survey modules related to each subproject type, such that outcomes are observed in both treatment and paired control.

¹⁰ Our pre-analysis plan also specified that baseline outcome measures would be used as predictors of SP type. However, the dimensionality of these measures drains the variation (and degrees of freedom) available to confidently estimate the effects of the strongest predictors, the baseline preferences of residents (and the multinomial logit thus does not converge). We are therefore forced to exclude them from our analysis. Again, the preference measures we use are stronger predictors of SP type than are the initial physical conditions.

this subproject type. Because some barangay completed multiple subprojects, we weight the estimation by the inverse of the barangay’s total completed subprojects to reflect the overall cross-barangay effects of preferences.

Moreover, because some project types were implemented by only a few barangays, using project types as choice alternatives causes non-convergence when estimating a multinomial logit model. Therefore, we categorised the project types into five categories:

1. Infrastructure (Trail (1), footbridge (2) or road (3))
2. Education or health (day care (4), health care (6) or school (7))
3. Water and electricity (electrification (5), water system (9) or drainage structures (14))
4. Water protection (River/flood control (16), sea wall (18) or soil protection (19))
5. Support (economic support (11), multi-use building/facility (12) or skill training (22)).

We find that the initial preferences of the barangay residents (as reflected in the share of household respondents who ranked the subproject type among their top priorities) is a strong predictor of the type of subproject actually implemented in the barangay (with p-value < 0.001).

2. We then predict among our full sample the likelihood that a given barangay received funding for a subproject of each type (formally, $\Pr(\widehat{S}_{ik})$).
3. We confirm that the treatment and control groups of barangays are similar in their predicted likelihood of receiving each subproject type (because they are balanced on the observable characteristics used in our multinomial logit model to predict this likelihood, we expect them to be balanced on the predicted probabilities). No p-value for any of the five project type categories is below 0.4, suggesting predicted likelihoods are indeed similar.
4. We check whether the original pairs of barangays are sufficiently similar in their predicted probabilities for each subproject category. Specifically, we test whether the average difference in predicted probabilities for each subproject type is less than or equal to 0.2 standard deviations. Formally, we test

$$H_0: \frac{1}{N} \sum_{i=1}^N (\widehat{S}_{ik} - \widehat{S}_{jk}) \leq 0.2 \widehat{\sigma}_{s_k}$$

$$\frac{1}{N} \sum_{i=1}^N (\widehat{S}_{ik} - \widehat{S}_{jk}) \leq 0.2 \sigma_s .k$$

Where \widehat{S}_{jk} is the predicted probability of the paired control.

We find that only for category 4 (subprojects related to water protection) is the difference larger than 0.2 standard deviations with 95% confidence. We thus retain our original pairings for all of the other four categories, but re-match barangays for our analysis of hypotheses related to category 4 subprojects. We do so by re-matching barangays (with replacement) separately for each subproject type, again conditioning on the requirement that both members of the pair are administered the modules relevant

for that subproject type.¹¹ Following Imbens (2015), we trim the sample for each subproject type so that the predicted probabilities for all barangays are on a common support.¹² We then form pair dummies P_{2ik} . We use these new pairs in step #5 below.

5. Because the original assignment to treatment and control and barangay pairing achieve both balance and satisfies the aforementioned pair distance condition for categories 1, 2, 3 and 5, we estimate the ITT and TOT for hypotheses related to these subprojects as in section 3.3 but restricting the sample to only treatment barangay that implemented the relevant subprojects and their originally paired control barangay.¹³
6. Because for category 4, the original assignment to treatment and control and barangay pairing do not achieve both balance and sufficiently small pair distance, we instead estimate the ITT and TOT using the new pair dummies.

Finally, because many outcomes we observe are based on modules that are sampled, we correct for this sampling to achieve population-level treatment effects. We do so via inverse probability weighting. We calculate the probability of module k being sampled as a function of the subprojects implemented in barangay i (also considering that random modules are added). Then we use all observations for which module k was administered, but weight by $1/\text{prob}(\text{module } k \text{ sampled})$.

5.5 Subgroup analysis

A key research question posed by DSWD is not just the impact of KC on all residents, but specifically on the most vulnerable groups – indigenous persons, women, and poor households. Here we discuss how we analyze the impacts on these groups.

5.5.1 Within-barangay subgroups

For all subgroups of individuals within barangays, we conduct our analysis at the household level. We examine:

1. Indigenous Persons (IP)¹⁴
2. Female respondents
3. Households officially classified as poor at baseline. This means that the household fell below the official regional per capita income poverty threshold. Specifically, we calculate

¹¹ This re-matching is done for analysis purposes only and does not otherwise affect our sample construction.

¹² This common support represents the range over which propensity scores vary for municipalities with and those without these types of SPs.

¹³ In our pre-analysis plan, we specified that we would analyze these effects by interacting treatment status with completion of SP type k in our full sample. This was a conservative approach that assumed many SPs would be completed in control barangay. Instead, the completion of SPs in control barangay has remained quite low. This means that a more direct test of the effects is now available by restricting our sample to only treatment barangay completing these SP (and their paired control barangay).

¹⁴ We use the third round data collection to identify households as IPs, as IP status had been, unfortunately, misinterpreted and miscoded in prior rounds.

the total monthly expenditures per capita, including food and non-food expenditures (value spent in cash or credit, and value received as gifts or own produced), and we classify as poor those HHs whose monthly per capita income is below the 2012 Philippine official regional poverty threshold.

Our OLS estimation for these subgroup effects uses the following specification:

$$y_{ist} = \alpha + \beta_1 T_{is} + \beta_2 z_{ist-2} + \beta_3 T_{is} * z_{ist-2} + D_s + \epsilon_{ist}$$

where z_{ist-2} denotes a baseline indicator of this subgroup status, and β_3 denotes the differential treatment effect for this subgroup.

5.5.2 Between-barangay subgroups

For all subgroups of barangays, we conduct our analysis at the barangay level. The subgroups of interest are the following:

1. Barangays with higher values of baseline outcome variables. For each outcome measure, we group barangay into those in the top 50% of the outcome measure (thus comparing them to those in the bottom 50% for that specific outcome). These regressions take the following form:

$$y_{ist} = \alpha + \beta_1 T_{is} + \beta_2 y_{ist-2} + \beta_3 T_{is} * y_{ist-2} + D_s + \epsilon_{ist}$$

2. Barangays with higher shares of poor households at baseline. These regressions take the following form:

$$y_{ist} = \alpha + \beta_1 T_{is} + \beta_2 P_{ist-2} + \beta_3 T_{is} * P_{ist-2} + D_s + \epsilon_{ist}$$

where P_{ist-2} denotes the share of barangay households who are classified as poor at baseline.

3. Barangays with higher levels of baseline governance. These regressions take the following form:

$$y_{ist} = \alpha + \beta_1 T_{is} + \beta_2 G_{ist-2} + \beta_3 T_{is} * G_{ist-2} + D_s + \epsilon_{ist}$$

where G_{ist-2} denotes the share of barangay in the top 50% of the aforementioned baseline measure.

Finally, we also test whether treatment effects are larger for barangays located in Luzon and Visayas (relative to the full sample, which also includes Mindanao). We do so because areas in Mindanao received fewer CEAC cycles, and thus were exposed to treatment for shorter

durations. We did not pre-commit to this specific test in our Pre-analysis Plan, as the extent of differences in treatment was not fully clear prior to analyzing the KC ACT data we collected.

6. Results

In this chapter we focus on presenting results in two main areas: 1) implementation and implementation process; and 2) impacts, using the analytical approach outlined in Chapter 5.

6.1 How to interpret results figures

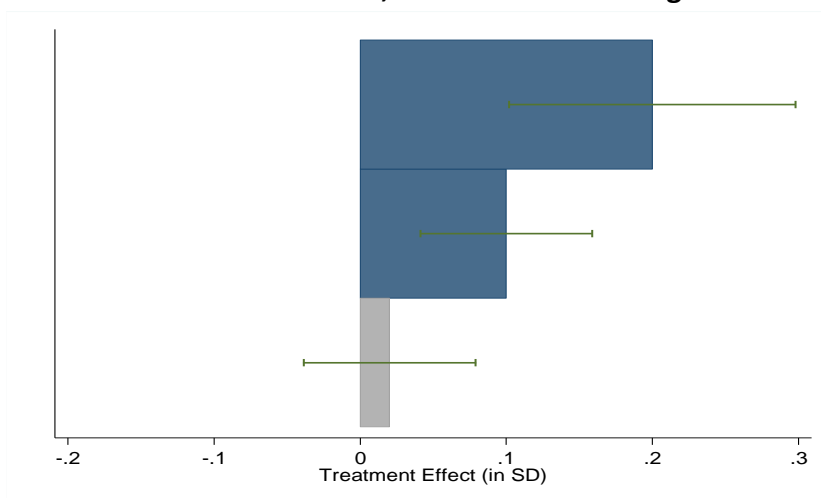
When reviewing and interpreting the results, it is important to remember, as discussed in Chapter 3, that we analyze data at the household level and present results using ITT estimates.

Figure 6.1. below is an example of how results will be shown for each domain or set of hypotheses. Recall that each hypothesis has many outcomes, as detailed in Table 6.1. In presenting results in this chapter, we show the overall hypothesis result using one blue or gray block, aggregating the effects across all outcomes for the hypothesis. Blue indicates statistical significance at the five percent level, while gray indicates that the finding is not statistically significant. To keep units consistent across hypotheses, we show outcomes in standard deviations compared to the control. Said another way, the size and direction of the box indicates the magnitude of the effect in standard deviation units above or below zero.

The horizontal lines over each block indicate the confidence interval, which is the interval estimate or the range of values for the outcome. For example, if the confidence interval for the top bar in Figure 6.1. is between 0.1 and 0.2 standard deviations, we are 95 percent confident that the estimate of that hypothesis is within that range. When the confidence intervals do not span zero, this indicates a statistically significant result.

When results are presented in standard deviations, effects larger than 0.2 units are typically considered “large”, while those between 0.1 and 0.2 units are “moderate” in magnitude.

Figure 6.1. Impacts in standard deviation units, with colors indicating statistical significance



6.2 Socioeconomic domain

The socioeconomic domain covers hypotheses related to the livelihoods, health and economic well-being of **potential KC beneficiaries**. The hypotheses under this domain shown in Table 6.1 range from proximate outputs such as improving travel time and cost to services like education, health and water sources to long-run outcomes like consumption and household earnings. Table 6.1 also shows the component variables that make up each hypothesis index, and the data source – household survey, barangay survey, or SCA.

Table 6.1. Hypotheses, indexes, index components and questionnaire sources included in the socioeconomic domain hypotheses

Indicator and index components	HH	Bgy	SCA
H1a <i>SPs improve access to related key services</i>			
Travel time and cost to nearest schools ¹⁵ due to education and health subprojects	X		
Travel time to all facilities outside of barangay due to roads subprojects		X	
H1b <i>Roads subprojects reduce agriculture, fisheries and livestock transport costs</i>	X		
Palay/rice average transport cost to market in the last month	X		
Share of crops sold at market (relative to farmgate)	X		
Share of livestock sold at market (relative to farmgate)	X		
H1c <i>Roads SPs improve productivity in agriculture, fisheries, and livestock sectors</i>			
Crop-specific yields	X		
Fish and livestock production	X		
H1d <i>Daycare SPs increase daycare enrollment and female labor market participation</i>			
Number of students enrolled (current or in last 12 months)	X		
Female labor market participation rate	X		
Number of daycare facilities in the barangay		X	
H1e <i>School subprojects increase school enrollment and improve student/ teacher ratios</i>			
Number of elementary and secondary facilities		X	
Number of students enrolled in elementary and secondary		X	

¹⁵ In our pre-analysis plan, we also specified that we would examine improvements in access due to health care projects. **However, very few barangay implemented health care projects (only two in our treatment sample and 5% nationally), making such analysis infeasible.** Actually running the household survey data estimates shows insignificant effects for both H1f and H1g.

Indicator and index components		HH	Bgy	SCA
Student-teacher ratio in elementary and secondary			X	
H1f	Health SPs increase visits to health facilities and adult labor force participation			
<i>Infeasible, as few health SPs implemented (see footnote below)</i>				
H1g	Health SPs improve prenatal and birth services			
<i>Infeasible, as few health SPs implemented (see footnote below)</i>				
H1h	Water SPs reduce time and costs spent obtaining water			
	Whether household has improved water source/ level of water access	X		
	Time spent collecting water per month (overall household)	X		
	Weekly average cost of drinking water	X		
	Whether household pays for drinking water	X		
LT1	KC raises household consumption and asset holdings			
	Monthly household consumption (food and non-food) per adult equivalent	X		
	Whether household expenditures are above the poverty threshold	X		
	Aggregate value of household assets (including land area for business or agriculture, number of and value of assets)	X		
	Dwelling attributes (including roof, wall, floor materials; housing area; electricity; tenure status; kitchen status)	X		
LT2	KC raises household labor force participation and earnings			
	Employment rate	X		
	Adult labor force participation rate	X		
	Class of worker	X		
	Monthly income	X		
	Hours worked	X		

Hypotheses H1a, H1b and H1c relate to reducing travel time and cost, and the consequences of these reductions. If the subproject entailed the construction of new schools, or supported construction of roads generally, travel time and cost to important services is expected to go down. We present two related outcomes in H1a. First, we assess how time and cost to services changed if those services were implemented in the barangay. Recall that as discussed in Chapter 3, we are demonstrating effects based on the SP the barangay received. For example, if a barangay decided to construct or rehabilitate a health center using KC funding, we estimate how much less time and money (PHP) the household members spent to get to the center due to the KC funding.

Second, we measured how time and cost to key facilities outside of the barangay changed as a result of roads subprojects. Here, for barangay that implemented roads projects, we examined the overall changes in transport time and cost to services outside of the barangay. Keep in mind that some subprojects didn't support new construction but rather improvements,

e.g. rehabilitation, in services like schools or health centers, which would not affect travel time or cost. Since we aggregated results across all variations within a subproject type, and are unable to distinguish a new school from a rehabilitated one, our estimates of the effects on travel time and cost could be biased downwards.

Hypotheses H1b and H1c focus on the effects of roads SPs specifically on the agriculture, livestock and fishing sectors. In H1b we assess transport costs for the primary agriculture output, rice; and the share of crops and livestock sold at markets relative to at the farm gate. The logic underlying the hypothesis is that road improvements make transport overall less expensive, reducing the costs farmers and vendors pay to transport their crops, and lead to higher proportions of crops and livestock sold at markets. With lower transport costs, producers can bring their own goods to market rather than selling them to vendors at the farm gate, and earn more for their products. Roads can also support the overall productivity (H1c) of the sector, meaning that as transport costs for agriculture inputs and outputs go down, productivity of fisheries and farms improves.¹⁶

Hypotheses H1d through H1h encompass intermediate outcomes from all other SPs aside from roads. For example, constructing or improving health centers should improve access, and in turn visits to health centers, health of the overall population, and individuals' ability to participate in the labor force (H1f). Improved access to water is theorized to reduce time household members, especially women and children, spend collecting water, and reduce household costs to collect water (H1h).

Data for these hypotheses came from the household and barangay surveys. As shown in Table 6.1, the household survey provides detailed information on daycare enrollment (H1d); adult labor force participation (H1d and H1f); household members' visits to health facilities (H1f); household members' prenatal care visits, type of birth facility used, and training of person who assisted the delivery (H1g); and type of water facility households have access to, whether households pay for drinking water, time spent collecting water per month, and weekly average cost of drinking water (H1h). The barangay surveys provided information on the number of daycare facilities, number of education facilities, elementary and secondary enrollment, and elementary and secondary student/teacher ratios (H1d and H1e).

The subprojects and their intermediate outcomes like improved agricultural productivity, or visits to health facilities, included in H1a through H1h, according to the KC operations manual (2011), are hypothesized to ultimately lead to improved economic outcomes, as measured by household consumption and the value of household assets (LT1), and labor force participation and earnings (LT2). Individuals who have better access to services may be healthier and thus more likely to work and be more productive at work, and earn more. Families with access to daycare can participate more actively in the labor force, work more hours or engage in higher paying work and work more. Such improvements are believed to lead to increased earnings and spending on household goods and assets. LT1 and LT2 utilize household survey data on consumption (including food and non-food expenditures, and whether expenditures were above

¹⁶ We do not report productivity in the fishery sector due to insufficient observations in this sector.

the poverty threshold¹⁷), assets (including land), dwelling attributes, and labor force participation rates (including employment rate, labor force participation rate, labor class, monthly income, and hours worked).

As discussed in Chapter 3, long-term hypotheses included indicators that were part of KC's long-term theory of change, but are not those that we practically expected, based on literature and DSWD's experience, to change over three or fewer cycles of implementation. For example, it could take many years for a rehabilitated road to affect household assets value, if the channel through which household assets value increases is reduced travel time. Consumption savings from reduced travel time could take time to accumulate, and then the household may take years to accumulate higher value assets using increased income to devote to consumption. We measured indicators included in LT1 and LT2 because seeing changes in them was plausible albeit unlikely, and we didn't want to forego the opportunity to measure such significant outcomes that may have materialized over the course of our data collection efforts.

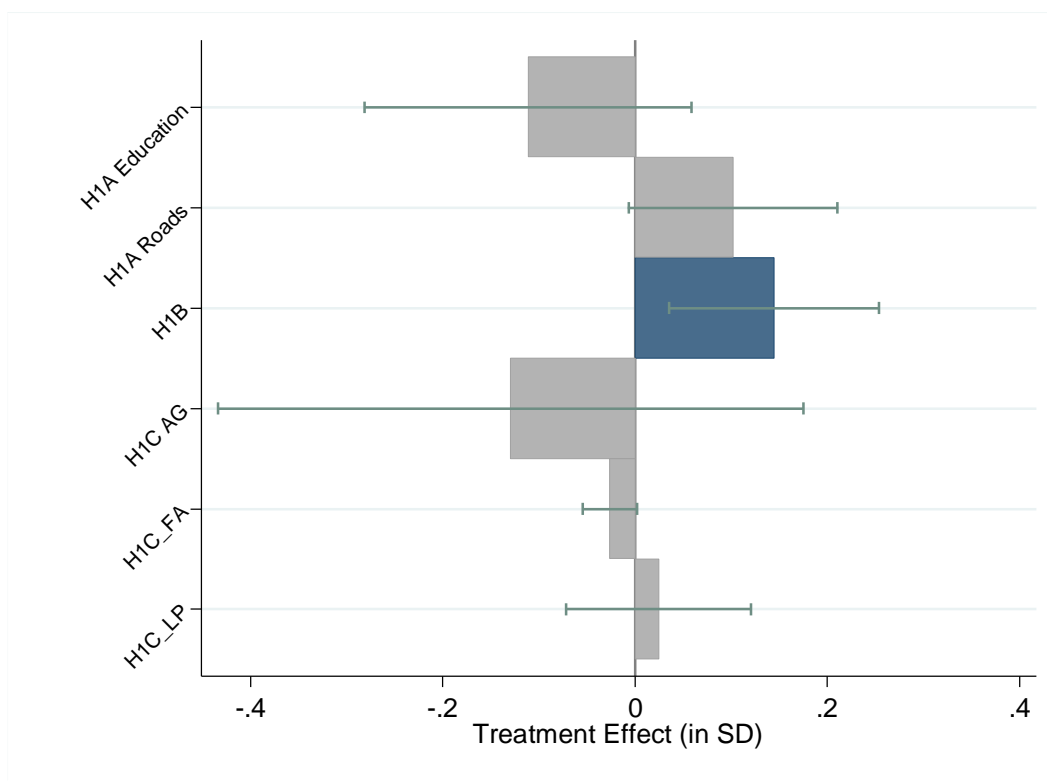
The results for each of the hypotheses discussed in Table 6.1 are presented in Figures 6.2 and 6.3. Figure 6.2 presents results from H1a, H1b, and H1c; and Figure 6.3 presents results for H1d-h. Figure 6.2 shows that **KC roads SPs significantly improved transport costs for agriculture, and livestock by over 0.1 standard deviations.** This result is calculated using reports from household respondents who engaged in agriculture about the transport costs of rice, and the share of crops and livestock sold at market versus at the farm gate. The significant impact for H1b is largely driven by the share of crops sold at market compared to the farm gate. (There is also a positive but not significant impact on rice transport costs and the share of livestock sold at market compared to farm gate.)

Complementing these findings, we also observe a medium sized estimate and nearly significant of the impact of roads SPs on the travel time and costs required to reach major services more generally (H1a Roads). When we examine treatment-on-the-treated effects (shown in Appendix Figure A1) that reduce some of the noise associated with imperfect compliance, we find this effect to be slightly larger and statistically significant at the 95% confidence level.

At the same time, we do not observe any statistically distinguishable effects on the travel time and costs to educational facilities (H1a Education) or on productivity in farming (H1c Ag), livestock and poultry production (H1c LP), or fisheries and aquaculture (H1c FA).

¹⁷ We use the "First Semester Per Capita Poverty Threshold and Poverty Incidence among Population, by Region and Province: 2006, 2009, 2012 and 2015" from the Philippine Statistics Authority, found here: <https://psa.gov.ph/poverty-press-releases/data>.

Figure 6.2: Intent-to-treat Effects for Transport and Access to Services

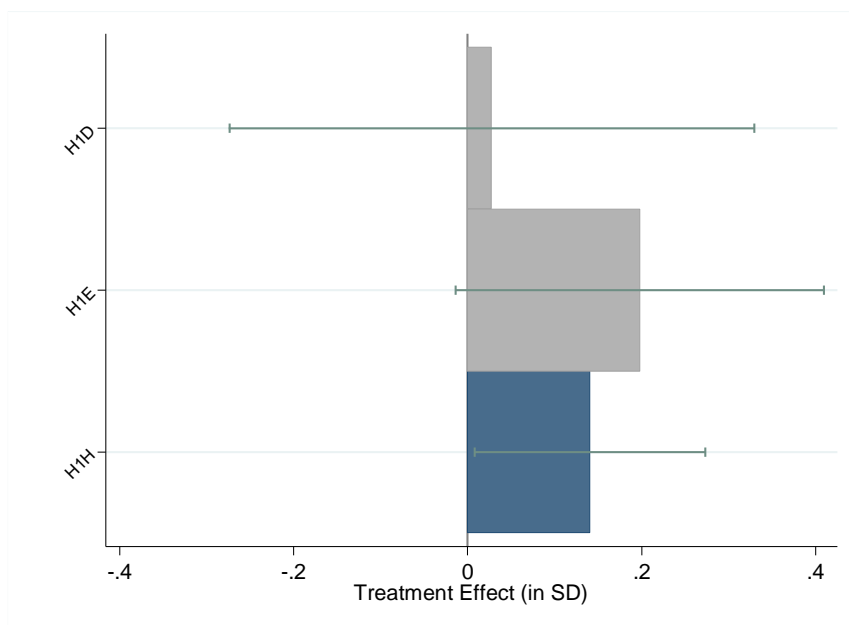


Legend:

- H1A Education: Education SPs reduce travel time and costs to nearby schools
- H1A Roads: Roads SPs reduce travel time and costs to set of key services
- H1B: Roads SPs reduce transport costs for agricultural products
- H1C_AG: Roads SPs raise agricultural productivity
- H1C_FA: Roads SPs raise productivity for fisheries and aquaculture
- H1C_LP: Roads SPs raise productivity for livestock and poultry

Results for all remaining hypotheses under this domain (H1d, H1e, and H1h) are shown in Figure 6.3. Starting with the significant results (H1h), **KC significantly improved households' time and cost of obtaining water by nearly 0.1 standard deviations**. The main drivers of this significant result were reductions in time households spent collecting water and in the proportion of households that paid for water in the barangay. In TOT estimates correcting for noncompliance, we find that having a water SP is associated with a 0.14 standard deviation improvement (although this estimate is also slightly noisier and thus not significant at the 95% confidence level).

Figure 6.3: Intent-to-treat Effects for Education, Daycare, and Water SPs



Legend:

H1D: Daycare SPs increase enrollment and women’s labor market participation

H1E: Education SPs increase enrollment and reduce student/teacher ratios

H1H: Water SPs reduce time and financial costs to obtain water

As shown in Figure 6.3, there was no significant impact of KC on daycare and educational outcomes (H1d, H1e). Daycare (H1d) enrollment actually went up in KC areas yet the number of daycare facilities decreased¹⁹ (neither result was significant.) The education effects (H1e) were large but also not statistically significant. The data from the barangay surveys revealed that the number of facilities and students increased, and the student-teacher ratio decreased in KC areas compared to controls (although again, these findings are not significant). Moreover, our TOT estimates correcting for noncompliance revealed smaller rather than larger effects.

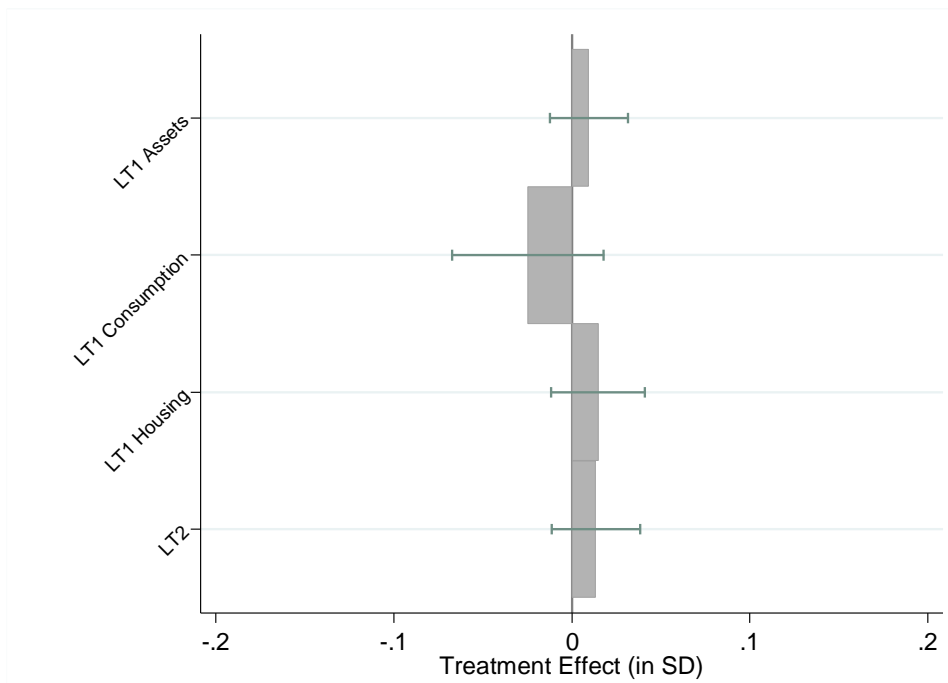
We also find no impact of KC on longer-term socioeconomic indicators related to household consumption and household assets (LT1), and household labor force participation and earnings (LT2) (Figure 6.4). For LT1, expenditures and land area owned actually decreased slightly, and there were slight increases in the number and value of assets in KC areas, yet these changes are not significant. Similarly, for LT2, there were slight increases in monthly income and hours

¹⁹ The number of schools in the barangay finding is affected by the change in the question between baseline and third round. In fact, while at baseline the survey asked for the total number of public and private pre-school centers, at third round it was asked only for public pre-school centers.

worked, and slight decreases in the employment rate and labor force participation rate, but again these changes are not significant. Our TOT estimates correcting for noncompliance show similarly sized and insignificant effects.

Despite the finding that there were no significant changes in household consumption, assets or labor force participation, in the qualitative focus groups in response to an open-ended question regarding the benefits of KC, it is notable that respondents primarily appreciated the subprojects themselves making their lives somehow improved. Equally notable, many FGD participants discussed the wages they were paid for “voluntary work” on KC subprojects, ranging (according to FGD participants) from PhP 200-275 for unskilled labor and from 300-400 for skilled carpenters, masons and foremen. Of these amounts, between 10 and 75 PhP was automatically deducted as either a contribution to KC or in the case of funding shortfalls for future laborers. In identifying the benefits of KC, this “paid voluntary work” emerged as a source of important income in times of hardship. The members of the barangay also made sure to divide work among everyone who was capable. At the same time, participants in one FGD candidly complained that the barangay leaders favored their friends, relatives, and themselves in distributing the paid work assignments.

Figure 6.4: Intent-to-treat Effects for Assets, Consumption, Housing and Earnings



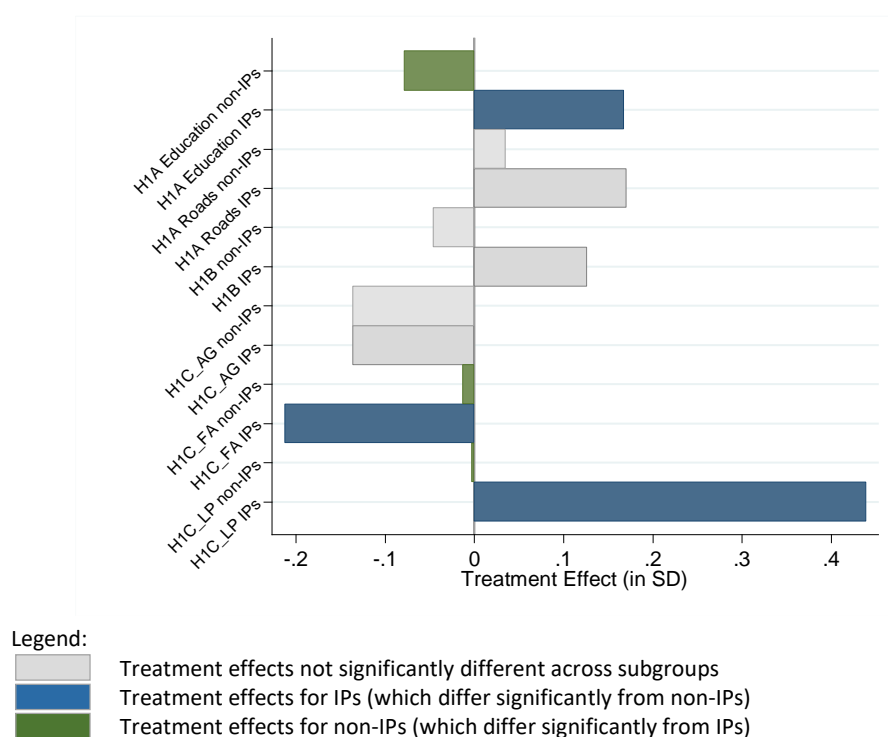
Legend:

- LT1 Assets: KC increases value of household assets
- LT1 Consumption: KC increases household consumption
- LT1 Housing: KC increases value of housing
- LT2: KC increases labor force participation and household earnings

6.2.1 Subgroups

We assess the extent of variation in the treatment effects for each hypothesis across all subgroups.²⁰ For the vast majority of cases, we observe no differential effects in the subgroups. In some cases, these results are due to limited statistical power given that the set of barangay implementing the specific SP type being considered in the hypothesis was too small to reliably subset into subgroups. However, even for two of the most common SP types (transport and education), we observe no differential effects for the five out of our six subgroupings. In fact, the only three cases in which the treatment effects differ significantly occurs across the IP and non-IP groupings. As shown in Figure 6.5 below, IPs appear to benefit substantially more from improvements in access to education (H1A Education) than do non-IPs (the latter experience effects that are small, negative, and not significantly different from zero). We observe similar differences for improvements in access to services through roads SPs (H1A Roads), although these are not statistically distinguishable. We also note similar differences in H1B, reflecting differential drops in agricultural transport costs among IPs, although again these are not statistically distinguishable despite being substantial.

Figure 6.5: Intent-to-treat Effects for Transport and Access to Services among IPs & non-IPs



²⁰ In cases where hypotheses were tested using only barangay-level measures, we could not test differences for within-barangay subgroups.

Productivity gains due to roads SPs (H1C) also display quite striking dynamics across the IP and non-IP groups. **Both IPs and non-IPs do not experience agricultural productivity gains (H1C_AG).** However, while non-IPs also do not experience gains due to KC in either livestock and poultry or fisheries and aquaculture, IPs experience differential effects in both cases. **It appears that roads SPs lead to worsening productivity in fisheries and aquaculture among IPs but substantially higher gains in productivity in livestock and poultry production.** The latter effects are very large (>0.4 SD units) and indicate a substantial shift in the relative productivity of IPs diverse modes of production.

Notably, these results are consistent with related findings from the qualitative portions of the evaluation, which indicate that both IPs and non-IPs believed that IPs benefit from KC. It was reported in some FGDs that barangays without IPs made efforts to help barangays with IPs in venues like the MIBF. The other key point is that participants explained KC as just one effort to improve the lives of IPs alongside a number of other simultaneous efforts all of which were contributing to gradual improvement; there is a National Commission for Indigenous Peoples, 4Ps, in at least one barangay a scholarship program for children of IP families and a special health services program.

6.3 Institutional domain

As discussed above in Chapter 2, we measure one of KC’s key objectives – improving the quality of local governance – through indicators captured under the institutional domain shown in Table 6.2. This domain mainly focuses on how KC beneficiaries engage with local government institutions integral and tangential to KC; beneficiaries’ confidence, self-efficacy, willingness to share information, and knowledge and perceptions of local governance structures; how local projects meet the needs of barangay residents; and how KC impacts the quality of governance.

Table 6.2. Hypotheses, indexes, index components and questionnaire sources included in the institutional domain hypotheses

Indicator and index components	HH	Bgy	SCA
H2 KC increases quantity and quality of participation in local governance around decision-making and implementation related to KC activities			
Proportion of HHs participation in government group, government institution, or barangay group in last 12 mo	X		
Total instances, days, and cash/goods HHs participated in or contributed to community chores in last 12 mo	X		
Number and proportion of HHs attended last BA, BC, and/or BDC meeting	X		
Proportion of HHs informed about last BA, know about upcoming BAs, who spoke at BA, who think BAs should be open to the public, who reported that BA attendees were consulted about problems	X		

Indicator and index components		HH	Bgy	SCA
H3	<i>KC increases quantity and quality of participation in local governance around decision-making and implementation beyond KC activities</i>			
H3a	<p>KC increases participation in and knowledge of formal structures beyond KC</p> <p>Number and proportion of HHs who attended a municipal council meeting, met with, called, sent a letter or text message to a politician, participated in a protest or demonstration, participated in an information campaign, informed a newspaper, radio or TV station to a local problem, notified police about a local crime, filed a complaint to the “lupong tagapamayapa.”</p> <p>Details about SCA meeting: whether held, number of attendees (female, 4P, IP, age), speaking frequency, BC influence, process of choosing the project and implementation plans. Community ability to carry out project.</p>	X		X
H3b	<p>KC improves barangay information sharing and inclusiveness beyond KC</p> <p>Proportion of HHs who said community was consulted at last BA, who said no group dominates decision-making in BAs. Barangay captain’s responsiveness to recommendations by HHs of different projects that would benefit the barangay.</p> <p>BC, BDC, and BA meeting frequency, attendance, inclusiveness. How BA disseminates information. BA and BDC decision-making and problem-solving processes. Variety in organizations that met with the BDC and were involved in the barangay.</p>	X	X	
H3c	<p>KC increases confidence and self-efficacy beyond KC</p> <p>HHs confident to participate in community development activities. Comfortable speaking during BAs and to the barangay captain about community issues. HHs think they have an impact in making the barangay a better place.</p>	X		
H4	<i>KC increases knowledge and awareness of local governance</i>			
	<p>Number of BDC and BC meetings with KC volunteer present</p> <p>HHs familiarity with municipal and barangay government officials, and knowledge of BDC.</p>	X	X	
H5	<i>KC improves degree to which barangay projects correspond to ex-ante preferences</i>			
	<p>Degree of correspondence between KC-funded projects and projects named in HH survey at baseline. Degree of correspondence between non-KC-funded projects and projects named in HH survey at baseline.</p>	X	X	
LT3	<i>KC improves perceptions of local governance</i>			

Indicator and index components		HH	Bgy	SCA
HH perceptions of officials’ capacity to carry out their duties, officials’ corruption, officials’ honesty, acceptance of corruption and commissions.		X		
HH support networks, and ability to solve problems and disputes.		X		
LT4	KC raises capacity of barangay government			
	Total number of projects included in BDP in last two years		X	
	Total value of projects included in BDP in last two years		X	
	Total number of development project types in last two years		X	
	Percent of internally generated income in the barangay fund		X	
	Percent of donations in the barangay fund		X	

The theory of change for this domain is that at the most basic level, KC will induce participation in activities and structures that are *related to KC* (H2). This could take the form of participating in any public barangay or local government organization, including the Barangay Council (BC), Barangay Assembly (BA) or Barangay Development Council (BDC). It also measures the extent of households’ participation in local government institutions, such as the proportion of households that spoke publically at BAs and the number of times they did so, and the proportion of households that reported they were consulted about barangay decision-making during the BA. Additionally, this index includes the magnitude of household contributions in the form of time, cash or materials, to community chores or service. This measures households’ contributions to their barangay generally, such as helping to fix a neighbor’s roof or fix the roof on the barangay hall, or preparing food for neighbors fixing the roofs; and includes labor devoted to subprojects.

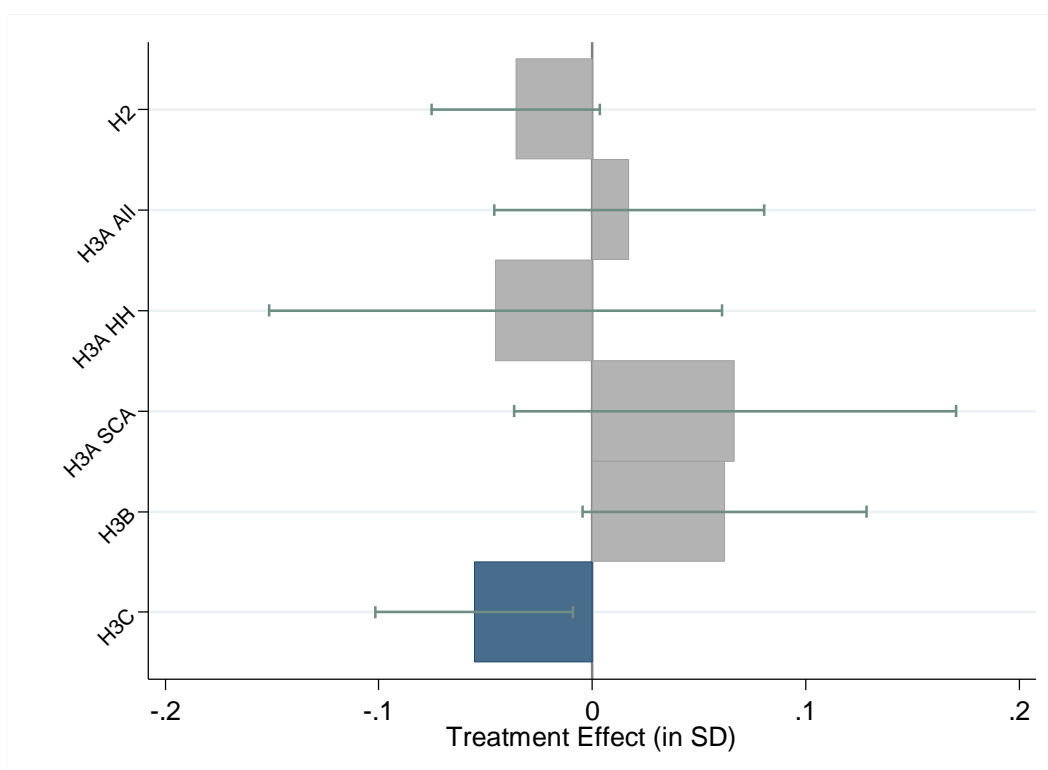
The next step in the causal chain after H2 is participation in institutions and organizations *beyond KC*, or what is described in H3. It is hypothesized that participation in KC will lead to greater participation in and knowledge of institutions outside of KC (H3a); that community members will be able to apply the collaboration and inclusion that they learned as part of the KC process to other community projects (H3a); that barangay institutions become more inclusive, share more information and encourage more participation (H3b); and that beneficiaries will be able to utilize the confidence and self-efficacy that they gained from KC and apply it to other situations in which they are improving their lives and their communities (H3c).

Participation *beyond or outside of KC* could take the form of engaging politically or civically, such as attending a municipal council meeting, contacting a politician, or participating in a local demonstration. This is what is measured in H3a, along with outcomes of the SCA. As discussed in Chapter 2, the SCA is a behavioral experiment in which the community was given 15000 PHP (349 USD) and invited to use those funds for a small community project of their choosing. Our data collection involved observing the process by which the community decided on the best use of those funds, and how the project was implemented. The purpose of the SCA was to test how communities who have been exposed to KC might carry out the project differently than those communities that did not go through the CEAC process. For example, we looked at whether communities that had been exposed to KC were more inclusive or more efficient in their decision-making processes, and whether they chose projects that best met the community needs. Thus

the data used in the H3a index comes from household reports about their political and civic participation, and from data collected from the SCA.

The hypothesis H3 – related to participation in institutions and organizations *beyond KC* – also posits that carrying out the KC process will promote more inclusive barangay institutions and information sharing (H3b) and individuals’ confidence and self-efficacy (H3c). Inclusiveness and information sharing is related to households’ perceptions of whether the community is sufficiently consulted about local projects, the barangay captains’ responsiveness to recommendations, or who influences decision-making at BAs. It also includes reports from the barangay officials about BC, BDC, and BA meeting frequency, attendance, inclusiveness, and decision-making processes. Thus H3b combines household reports with reports from barangay officials. H3c captures how household respondents feel about participating in community activities or speaking up in community forums, whether they feel they would contact the barangay captain about an issue in the community, or generally how much impact they feel they have in making the barangay a better place to live.

Figure 6.6: Intent-to-treat Effects for Participation in Local Governance



Legend:

H2: KC improves participation in local governance related to KC activities

H3A ALL: KC increases participation in and knowledge of formal structures *beyond KC*

H3A HH: As above, using household survey measures only

H3A SCA: As above, using SCA measures only

H3B: KC improves barangay information sharing and inclusiveness *beyond KC*

H3C: KC increases confidence and self-efficacy *beyond* KC

Interestingly, there is a small but significant (about 0.05 standard deviations) negative effect on H3c, confidence and self-efficacy. Within the measurement index, this result was largely influenced by households in KC areas feeling slightly less confident in participating in community development activities, and less comfortable speaking at BAs. Households reported being less likely to talk to the barangay captain about any issues in the community, and slightly more likely to say they felt they had an impact on making the barangay a better place to live (not significant).

Regarding the areas in which KC showed no impact (H2, H3a, H3b), the result for H2 is perhaps the most surprising. The focus of H2 is on improving governance around decision-making and implementation *related to* KC. This is an intermediate indicator upon which we would expect to see movement as a predecessor to the other higher-level hypotheses. Part of the CEAC process is BA attendance. This was hypothesized to lead households to attend more BAs, BDCs or BCs, or speak at and actively participate in BAs; and for households to participate more in community chores and improvement. We actually see mostly negative (but not significant) changes to variables included in the H2 index. For example, the instances of participation and total days of participation in community chores declined among households in KC communities.

There were also slight declines in the number of people attending BCs and BDCs (but not BAs), the frequency of BC and BDC (but not BA) attendance. The number of people attending BAs and the frequency of BA attendance went up, yet the proportion of households attending BAs declined. There were also slight declines in the proportion of households speaking at BAs, the frequency of speaking *publically* at the BA, and the proportion of respondents who reported that the BA attendees were consulted about problems in the barangay. Our qualitative research suggests that it may be that, unlike early KC meetings where new funds are being considered, these subsequent meetings occurred without the promise of large new funding, thus offering less compelling reason for members to attend.

In FGDs, we found that many of the barangays we visited were recipients of several anti-poverty programs, including most prominently, the conditional cash transfer program 4Ps. 4P recipients are required to attend all barangay assemblies for fear of a reduction in their stipend. They also self-describe as the default group to whom the barangay leadership turns to render voluntary services like clearing and cleaning operations. In these instances, participants reported that participation is out of a sense of duty and fear of sanction rather than more organic valuing of the experience.

Because there was no significant change for H2, it is not surprising that there was also no change in H3a, which is related to improving governance around decisionmaking and implementation *beyond* KC. Hypothesis H3b, which relates to barangay information sharing, participation, and inclusiveness, also showed no impact.

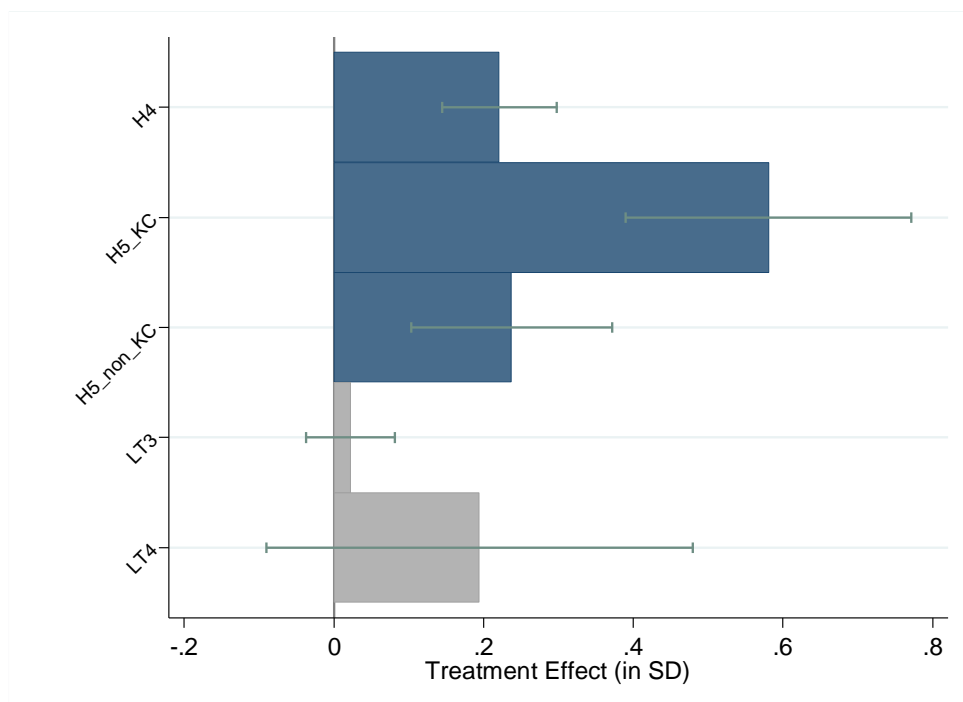
It is also hypothesized that the KC process will better educate community members about local government (H4). Getting communities to learn more about local government is indeed a less ambitious goal than H3, improving participation in institutions and organizations *beyond* KC. In H4, we capture household respondents' knowledge and awareness of local government organizations and officials who are tasked with meeting the community's needs by asking

household respondents a battery of questions about representatives in the municipal and barangay governments, BC and BDC. We also utilize responses from the barangay survey about whether BDC or BC meetings include a KC volunteer. Including KC in local government meetings means that KC is a significant project to local government and to the community.

A core tenant of KC, and of many community-driven development projects, is that local (sub)projects – KC and outside of KC – better correspond to local needs (H5). To test this hypothesis, we developed an index that compared respondents' preferences for a menu of development projects eligible for KC to what development projects were implemented in the barangay. (See the menu in Box 1.3., Chapter 1.) During the baseline survey, enumerators showed respondents the list of eligible project types, asked respondents to rank their top three choices, and to indicate the intensity of preference for each choice. We then compared this ranking to data on what projects (KC and non-KC) were actually implemented in the barangay, that we collected with the barangay survey. In this way, we were able to compare the degree of correspondence between household preferences and project implementation.

In the long-term, the hypothesis is that the institution building and community empowerment work KC does leads to improvements in local governance (LT4) and to households' improved perceptions of that governance (LT3). This means that barangay planning, execution and fundraising improves, and that households' perceptions of the quality of their local and national leaders improves, as does their perception of the acceptability and frequency of corruption. The institution building is also thought to lead to a greater safety net and support network in times of tragedy or challenge. We measure the capacity of local government through questions in the barangay survey about planning and fundraising, and perceptions of local government through household survey questions, such as perceived honesty of officials and acceptable levels of corruption and commissions.

Figure 6.7: Intent-to-treat Effects for Information-Sharing, Funding Allocation & Other Facets



Legend:

H4: KC increases knowledge and awareness of local governance

H5_KC: KC SPs correspond to ex ante preferences

H5_non_KC: KC improves degree to which all barangay projects correspond to ex ante preferences

LT3: KC improves perceptions of local governance

LT4: KC raises capacity of barangay government

Our analysis, shown in Figure 6.7 above, reveals significant impacts in H4 and H5. This means that KC had a significant positive impact on households’ knowledge and awareness of local governance institutions and officers (the survey asked if respondents closely knew each in a series of specific officials). The impact of KC on H4 was over 0.2 standard deviations. Within the index, this impact is driven by several variables: close familiarity with anyone in the BDC, knowledge of whether a BDC exists in the barangay, knowledge of BDC members, and whether a KC volunteer attended the BC and BDC meetings. All of these variables showed positive and significant changes while familiarity with the other five key officials were a mix of positive and negative (and not significant).

There is also a large impact on the degree to which barangay projects reflect resident preferences (H5). As discussed above, at baseline we asked residents about the types of projects they wanted to see in their barangay. In KC areas, subprojects turned out to be highly reflective of resident preferences (by nearly 0.6 standard deviations). The correspondence between citizen preferences and barangay projects not funded by KC was also higher in treatment areas (by over

0.2 standard deviations) which suggests that KC had the spillover effect of helping to make other projects supported by treatment barangays better correspond to individual preferences.

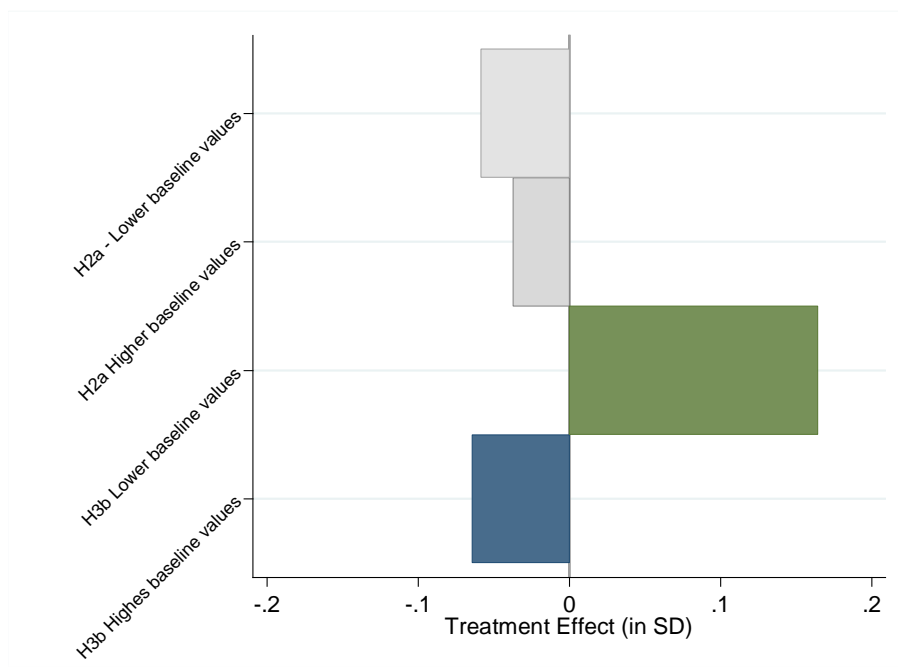
We also saw no impact on long run outcomes LT3 and LT4. Our estimated coefficient for LT4 (effect on barangay government capacity) is large but there is a great deal of variability in the outcome measures, making these effects not distinguishable from zero (they remains large and noisy in our TOT estimates, omitted for brevity).

LT3 concerns changes in perceptions of local governance by examining government officials' honesty and willingness to take a commission. Interestingly, the proportion of respondents reporting that it is typical for a politician to take a commission from a government-funded project went down in KC areas, although this result is not significant. Nonetheless, results in our interim survey led us to devote attention during the qualitative fieldwork to this issue, discussed in further detail in Appendix 2.

6.3.1 Subgroups

We test for differential treatment effects across six the subgroups in each of the institutional domain hypotheses. We find virtually no differential effects for any of these groupings. These are not limited by sample size to the same extent as the socioeconomic effects, as the institutional hypotheses are not specific to SP types and thus reflect the full sample. The only instance in which we find statistically different effects across subgroupings is for the H3B (information sharing and inclusiveness beyond KC), for which barangay with worse conditions at baseline saw large positive treatment effects, whereas those with better initial conditions do not (see Figure 6.8 below). These dynamics indicate substantial "catching up" due to KC, in which barangay where households were initially less well-informed experienced improvements that make them more comparably to those where conditions were initially better. However, it is important to emphasize that in 53 out of the 54 subgroup tests for this domain (9 hypotheses x 6 subgroups), we find no statistically distinguishable differences. These overall findings indicate one should not draw broad conclusions from the H3B subgroup results, as the latter may be due to statistical chance.

Figure 6.8: Intent-to-treat Effects for Participation in Local Governance across Baseline Values



Legend:

- Treatment effects not significantly different across subgroups
- Treatment effects for higher baseline values (which differ significantly)
- Treatment effects for lower baseline values (which differ significantly)

6.4 Community empowerment domain

KC sees community engagement and empowerment not just as a means to poverty reduction but an overall objective of the program. The expectation is that the KC process will support community members—especially women, IPs and people living in conflict communities—in becoming more empowered to participate in community decision-making, particularly regarding resource allocation (Field Guide 2012). In this domain, we explore how KC increased interactions in the community, socially and civically, and how communities were able to shoulder the burden of natural disasters and other unexpected hardships (Table 6.3).

Table 6.3. Hypotheses, indexes, index components and questionnaire sources included in the community empowerment domain hypotheses

Hypothesis and index components	HH	Bgy	SCA
H6 <i>KC increases interactions among peers</i>			
Proportion of other households a respondent knows, number of people respondent knows in households			X
Whether discussed barangay problems with households.			
Frequency of discussions of barangay problems with other households			X

Hypothesis and index components		HH	Bgy	SCA
H7	<i>KC increases participation in community organizations</i>			
	Total minutes HH members spent participating in civic, political, volunteer groups (average duration of meeting x number of meetings)	X		
	Value of cash and goods contributions to these groups.	X		
	Number of civic, political, volunteer groups in the barangay		X	
H8	<i>KC improves how well communities deal with natural disasters and other hardships</i>			
	What types of people that helped others who experienced financial hardship as a result of a natural disaster (total number of types of people sought help from)	X		
	If helped by someone inside the barangay	X		
	Number of types of support received	X		

For H6, we sought to measure household respondents’ social networks by assessing what proportion of other household respondents each respondent knew, and the frequency with which they discussed problems confronting the barangay with these households. While KC did not explicitly seek to promote residents’ familiarity with each other, we measure this outcome as an indicator of the extent to which KC induced residents to have more contact with people they already knew or those they didn’t. Greater familiarity with neighbors could lead to greater community cohesion and ability to work together. At baseline, respondents on average knew 71 percent of barangay residents and had at least one relative in 23 percent of barangay households, meaning social interactions were already widespread.

We also assessed whether KC prompted residents to increase the frequency of interactions they had with fellow residents to discuss problems in the barangay. Another anticipated outcome of KC is that barangay residents generally feel more empowered to discuss challenges in their community with a range of constituents and representatives, including their fellow community members.

We also examined whether KC spawned greater community participation (in the form of time, money or in-kind donations) in new or existing civic, political or social groups, or the creation of new groups (H7). **Our interest in measuring this outcome was based in a previous study of KC that found that participation in voluntary collective action and group membership decreased in KC communities, leading study authors to wonder about CDD projects possibly crowding out participation in existing groups (Labonne and Chase 2011, p. 356).** We wanted to understand whether community members were shifting their time from non-KC activities to KC activities, adding KC activities on top of existing non-KC activities, or adding KC activities on top of new non-KC activities. Thus we asked household respondents detailed questions about what groups they were participating in, frequency, and donations to those groups. We also collected information at the barangay level about the number of groups in the barangay to assess whether this changed as a result of KC.

In many areas of the Philippines, calamities that can cause hardship and impoverishment, such as typhoons, floods, or tsunamis, are common. Project planners hypothesized a more

indirect way in which KC may help communities become more resilient and better equipped to confront hardship. As community members forge deeper connections with each other, and feel more empowered to improve their communities, they are hypothesized to be better able to deal with for example economic hardship by asking fellow community members and community institutions for support. We asked household respondents whether they faced hardship; and if so, whom they relied on for support, where those individuals were located, and how much support the people offering support provided (H8).

In Figure 6.9, our analysis shows that KC had a significant and large impact on participation in community organizations (H7). This index went up by nearly 0.3 standard deviations. This increase was driven largely by cash and good contributions to civic and political groups, not the time people spent in these group meetings or the number of civic, political or volunteer groups in the barangay. KC perhaps made communities more charitable to their community groups.

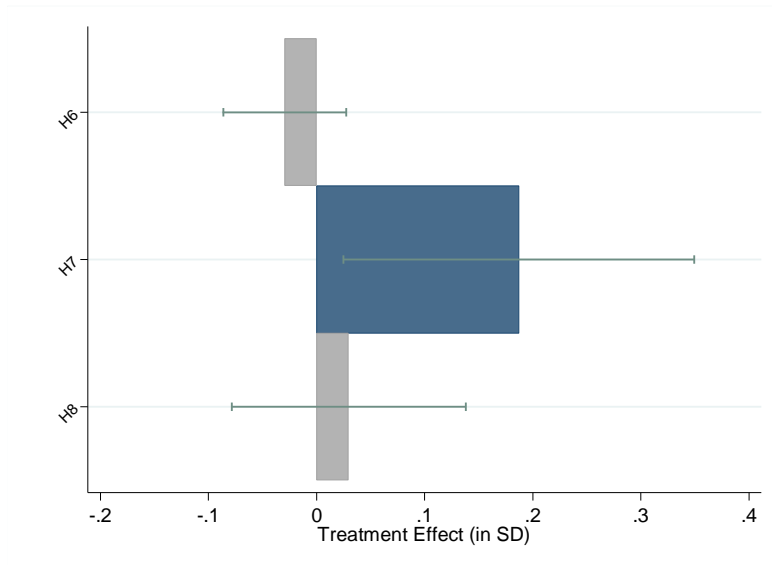
During the FGDs, we discussed the possibility of a substitution effect wherein community members may have had to make choices between participation in KC and other community activities. Consistent with the survey findings, community members did not believe that participation in KC-activities negatively affected their participation in other activities. Some opined that the barangay council members play an important coordination role in ensuring that the timing of activities didn't coincide. Others discussed dividing participation among members of the household, with wives, for instance going to certain activities and husbands to others. Other FGD participants explained participation in multiple barangay activities by the social pressure they feel to participate in KC and other projects despite personal activities and chores; they discussed the role of shame in pressuring people to participate.

We see no significant change in the level of interaction among peers (H6) – in fact familiarity with fellow community members and the frequency with which people discussed problems with fellow community members declined slightly, although not significantly.

The FGDs with KC volunteers suggested that KC enabled them to form social bonds with outsiders, such as the KC staff from DSWD and with municipal government officials, which would not be captured in our survey instrument. They believed that KC had little impact on forming new bonds within the barangay since almost everyone is related by familial or kinship ties. In the focus groups with KC volunteers, they suggested that bonds had deepened among volunteers specifically. In at least two of the twelve sample barangays, KC volunteers had been successful in getting elected to the barangay council or appointed to a position within the barangay.

We also do not see a significant change in the ability of KC beneficiary communities to deal with hardship (H8). The change in the index was small and positive but not significant. This finding is notable because our interim survey did find significant effects, although these appear not to have persisted into the third round.

Figure 6.9: Intent-to-treat Effects for Community Empowerment



Legend:

H6: KC increases interactions among peers

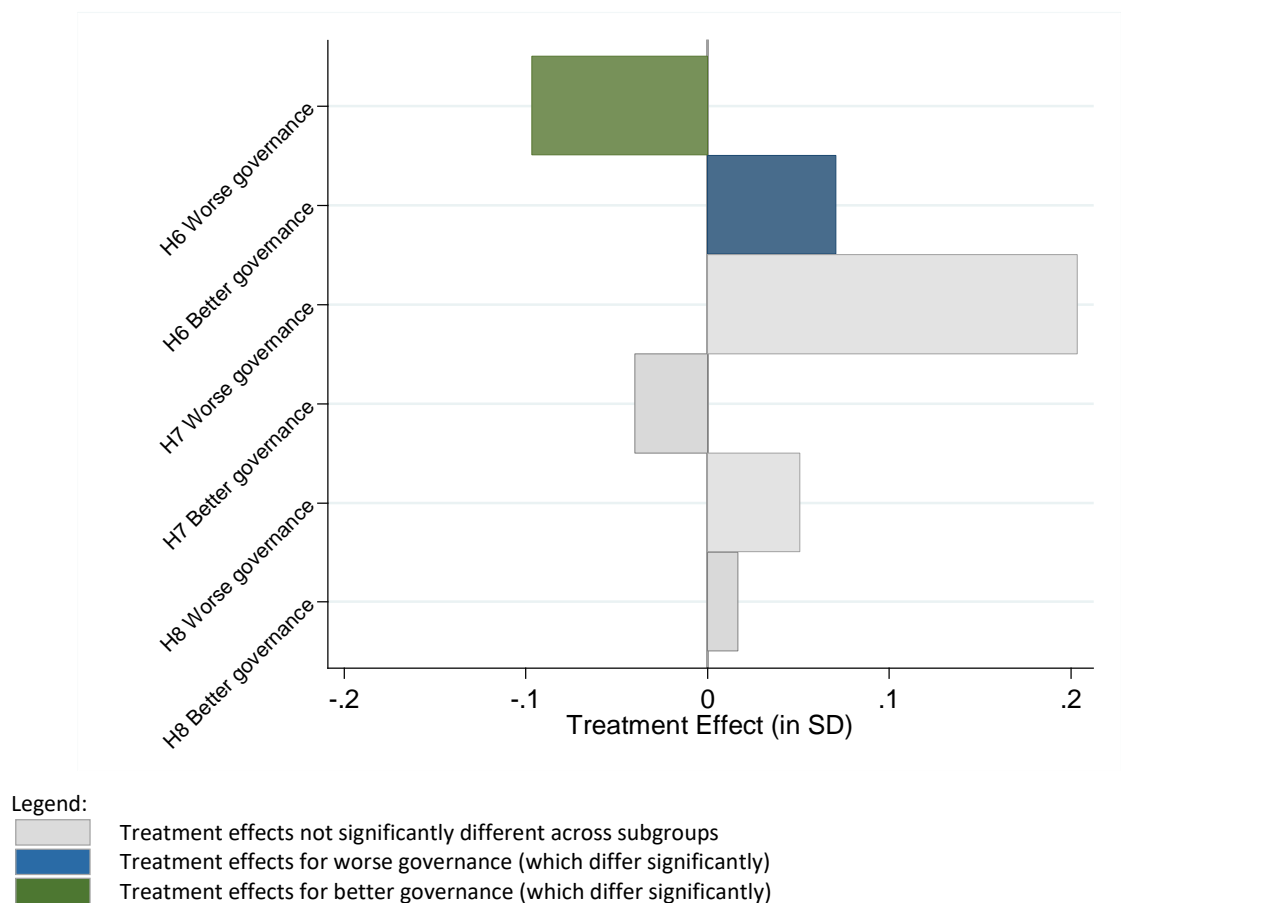
H7: KC increases participation in community organizations

H8: KC improves how well communities deal with natural disasters and hardships

6.4.1 Subgroups

As for the institutional domain, we test our subgroup effects for the empowerment domain in our full sample of barangays. We again find only one hypothesis for which any subgroups exhibit differential treatment effects: **KC differentially improves peer interactions (H6) in barangay with better initial governance (while those with worse initial governance experience reductions in these interactions due to KC).** These findings are shown in Figure 6.10 below. However, it is again important to emphasize that in 17 out of the 18 subgroup tests for this domain, we find no statistically distinguishable differences.

Figure 6.10: Intent-to-treat Effects for Community Empowerment across Baseline Governance



6.5 Additional Qualitative Insights

In the FGDs, we asked participants open-endedly about the benefits that they or their communities have received from trainings and subprojects associated with KC. FGDs with KC volunteers, as opposed to focus groups with non-KC volunteers (who live in KC communities), had much more to say on this question. While wary of social desirability biases, and the likelihood that community members (and perhaps especially KC volunteers), endeavored to tell us what we wanted to hear, we aimed to give participants the opportunity to raise themes we may not have captured in the quantitative survey. We asked for precise examples in an effort to move beyond responses that may have been learned during the social preparation phase of CEAC, but present these important insights with some reservation.

An analysis of the frequency of key words mentioned in responses reveals that participants appreciated the process behind the implementation of KC, and in particular its transparency. Participants opined that they were allowed to monitor the subproject’s status, fund allocation

and disbursement and ensure that there would be no commissions involved. They also appreciated the way in which KC built on cooperation that already existed in the barangay and taught new skills. Some KC volunteers spoke about newfound courage to speak to their barangay leaders and to interact with businesses, engineers and entrepreneurs they would have previously considered “above them”. One noteworthy response was from a woman who talked about improvements to her self-image and personal presentation. Female respondents spoke to the ways in which their participation in KC sometimes violated cultural norms related to a gender-based division of labor. Women explained how they performed KC-related work that was typically done by men, such as shoveling gravel and sand, finding it simultaneously unconventional and empowering. Finally, another way in which KC skills resonated with participants was expressed on more of an individual level. We heard examples, for instance, of KC-related seminars on managing finances helping people balance their household budgets, while knowledge on procurement and skills related to building construction helped them repair their homes after typhoons.

7. Conclusions

The KC project has successfully engaged communities in an inclusive process to identify their priority public goods. Our interim evaluation documented substantial participation in this process during its implementation, and the third round findings indicate this participation and the process itself led to a selection of projects which differentially reflects the priorities stated by local residents. Information sharing and inclusiveness improved in some areas, leading to gains in residents’ knowledge and awareness of local governance. At the same, this improved knowledge was accompanied by worsening perceptions of self-efficacy among residents. It is possible that, although the development projects chosen reflected citizens’ priorities more closely, other facets of local governance remained unresponsiveness to these citizens’ interests or engagements (while citizens’ expectations grew). It is also possible that these facets became even less responsive.

It is also important to note what aspects of local governance KC did not affect: KC does not appear to have changed the quantity or quality of citizen participation in local governance beyond the project. This is a key aspect of the KC theory of change, in which communities experiencing the KC process—with its extensive meetings and wide community engagement—apply a similar model to other, non-KC efforts. We do not find any evidence that this has occurred, both when measured in household interviews and in our structured community activity explicitly designed to capture these dynamics.

Because the KC process is relatively involved, reasonable concerns arise about the project’s crowding out other civic activities. We find that having been exposed to KC actually led these

residents to contribute to other civic activities at greater levels, allaying such concerns about crowding out (and even suggesting some crowding in).

The actual subprojects constructed by KC appear to have created some gains, although we reliably find impacts associated with only a few types of projects. Completed roads SPs led to lower transport costs for agricultural products, and water SPs reduced the time and cost spent obtaining water. These are both important, medium-sized gains. However, we do not observe broader reductions in more general transport costs, nor do we find impacts from education and daycare investments.

The diversity in the mix of SP types in KC does limit the evaluation's ability to identify the gains associated with less common investments, which together still consist of a non-trivial share of the overall portfolio. At the same time, those outcomes which truly span SP type (household consumption and assets) and thus apply to the full set of municipalities that had completed SPs also do not indicate any impacts due to KC, possibly because it takes longer for improvements in these broader measures to materialize.

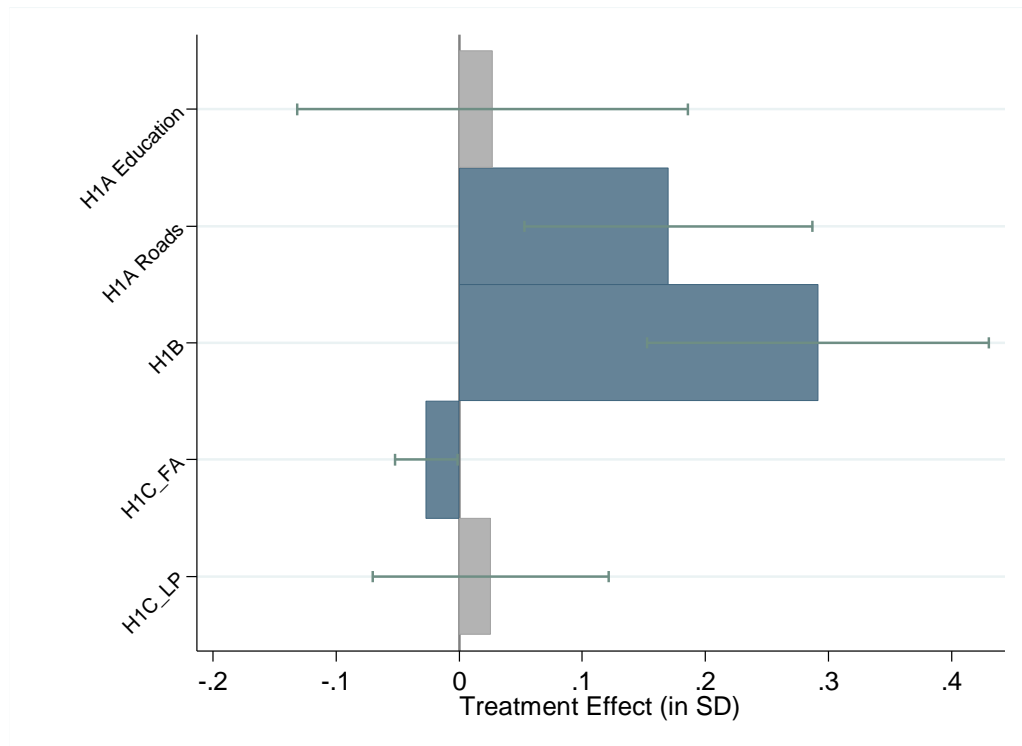
Appendix

Appendix 1: Additional Estimates

Table A1: ITT Treatment Effect Estimates by Hypothesis

Domain	Hypothesis	Treatment Coefficient	SE	t	
Socioeconomic	H1A Roads	0.102	0.055	1.85	
	H1A Education	-0.111	0.087	-1.28	
	H1B	0.144	0.056	2.60	
	H1C_LP	0.025	0.049	0.51	
	H1C_FA	-0.026	0.014	-1.82	
	H1D	0.028	0.154	0.18	
	H1E	0.198	0.108	1.83	
	H1H	0.140	0.068	2.08	
	LT1 Consumption	-0.025	0.022	-1.13	
	LT1 Housing	0.015	0.013	1.10	
	LT1 Assets	0.010	0.011	0.85	
	LT2	0.013	0.013	1.06	
	Institutional	H2a	-0.036	0.020	-1.78
H3A HH		-0.045	0.054	-0.84	
H3A SCA		0.067	0.053	1.27	
H3A All		0.017	0.032	0.53	
H3B		0.062	0.034	1.83	
H3C		-0.055	0.024	-2.34	
H4		0.221	0.039	5.67	
H5_KC		0.581	0.097	5.96	
H5_non_KC		0.238	0.068	3.47	
LT3		0.022	0.030	0.74	
LT4		0.195	0.145	1.34	
Empowerment		H6	-0.029	0.029	-1.02
		H7	0.187	0.083	2.26
	H8	0.030	0.055	0.54	

Figure A1: Treatment-on-the-treated Effects for Transport and Access to Services



Legend:

H1A Education: Education SPs reduce travel time and costs to nearby schools

H1A Roads: Roads SPs reduce travel time and costs to set of key services

H1B: Roads SPs reduce transport costs for agricultural products

H1C_FA: Roads SPs raise productivity for fisheries and aquaculture

H1C_LP: Roads SPs raise productivity for livestock and poultry

Appendix 2: Qualitative findings on perceptions of local governance (LT3)

Results in the interim survey suggested that KC may have affected perceptions of local corruption, leading us to devote attention during the qualitative fieldwork in the third round. While we do not find any impacts on LT3 concerning these perceptions in the third round, our qualitative fieldwork nonetheless provided a number of important insights.

It is notable that baseline values of perceptions of local governance in both treatment and control communities were quite high. In qualitative FGDs as well, participants generally held satisfactory assessments of their barangay council's performance. This may be, in part, due to the fact that many community members have familial and kinship ties with the barangay council and it is not culturally common to speak out against people with whom one has such ties. Moreover, though, FGD participants acknowledged the efforts of their barangay officials but they also recognized the limits of what they can do to improve service delivery given the powers of municipal government, and also, to a lesser extent provincial and national levels. They conceded that when there are antagonistic relations between the barangay council and the municipal mayor, service delivery is hampered, even if the barangay council is working hard towards its provision. The provision of public infrastructure is generally dependent, expressed FGD participants, on funds from LGUs beyond the barangay. People understood the provision of such funds to be a form of clientelistic good, contingent on voter loyalty. From their side, some of the mayors we visited in meetings to solicit permission to conduct the FGDs wanted to make clear that "there is no KC without the municipal government". A few clearly did not appreciate the direct connection between DSWD and the barangay. So, there may be meaningful limits to the replicability of the KC experience beyond KC.

Participants in focus groups were generally most active and intense in the part of the conversation addressing commissions. They discussed the practice as a standard one, least evident at the barangay level, but clear among officials at higher levels of government, including the municipal level. One participant used a helpful metaphor, explaining that the hands of every official need to be smeared by charcoal and that the stain from the charcoal decreases as the charcoal is passed lower and lower. By providing information on how projects are implemented, and their costs, the KC process allowed residents to realize that the practice of commissions has been and is prevalent in non-KC projects. FGD participants made clear that commissions are not included in KC projects.

Conversations typically went back and forth from discussing commission as a bad or corrupt practice, to a good practice if it is shared with the people, to a negative practice to the extent that government officials will demand something in return, such as delivering votes during elections. Commission was simultaneously seen as a corrupt practice, a reward, something critical for project completion, and a reduction in the usable funds for a project. Overall, though, there was a general sense of tolerance for komisyon, perhaps as a practice ingrained in Filipino culture that individuals found themselves powerless to counter. It appeared that FGDs with KC volunteers were more critical of commission, as opposed to the FGDs with broader community members, perhaps reflecting key messaging during the early phases of CEAC.

There were nuances raised between the two words that we used in the survey “porsyento” and “komisyon” with the former often considered legal and pegged to a specific amount in a budget (such as 10 percent) and the latter a hidden part of the project, akin to corruption.

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