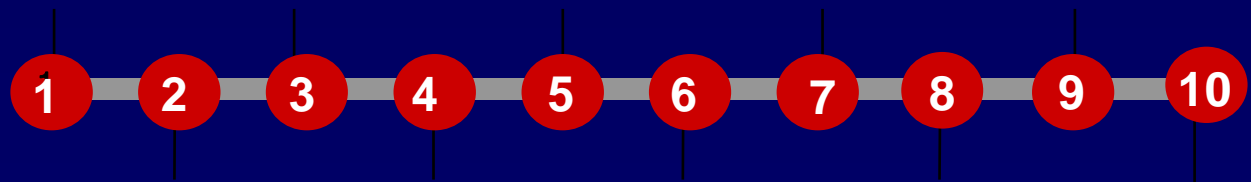
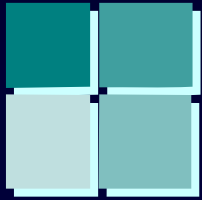


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# Module 4: Building a Results-Based Monitoring and Evaluation System

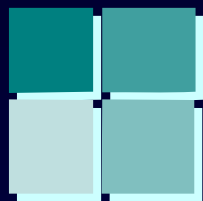
Results-based-based Monitoring and Evaluation





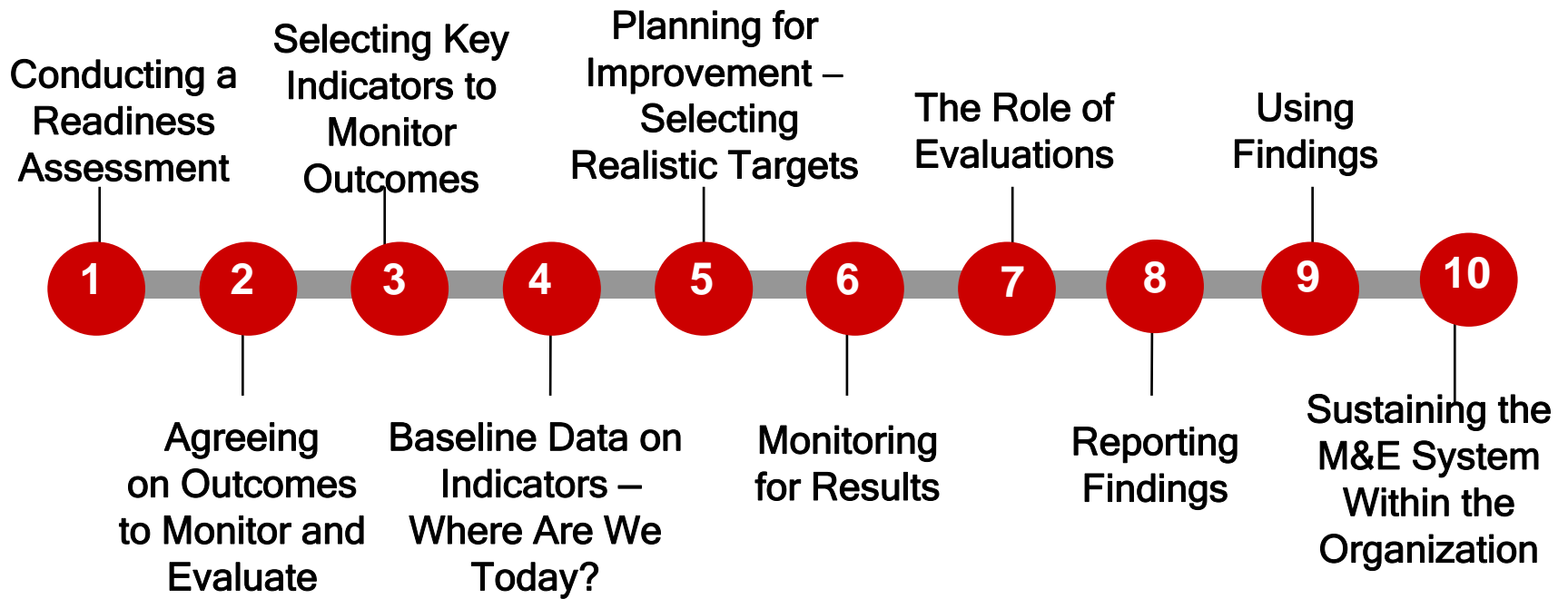
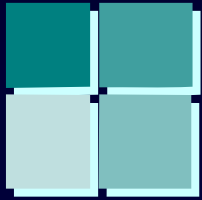
# Introduction

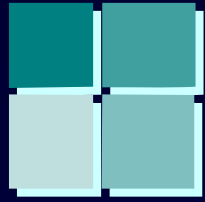
- Importance of Results-Based M&E
- What Is Results-Based M&E?
- Reasons to Do Results-Based M&E
- Traditional vs. Results-Based M&E
- Ten Steps to Building Results-Based M&E



# Importance

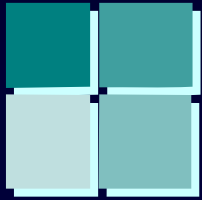
- Growing pressures in developing countries to improve performance of public sectors
- Tracks results of government actions over time
- Is a management tool





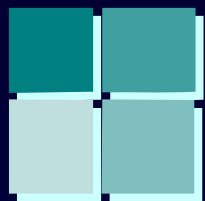
# The Power of Measuring Results

- If you do not measure results, you can not tell success from failure
- If you can not see success, you can not reward it
- If you can not reward success, you are probably rewarding failure
- If you can not see success, you can not learn from it
- If you can not recognize failure, you can not correct it
- If you can demonstrate results, you can win public support



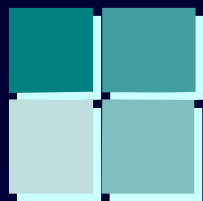
# Results-Based Monitoring

- Results-based monitoring (what we call “monitoring”) is a *continuous process* of collecting and analyzing information to compare how well a project, program, or policy is being implemented against *expected results*



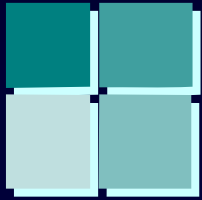
# Results-Based Evaluation

- Results-based evaluation is an assessment of a planned, ongoing, or completed intervention to determine its relevance, efficiency, effectiveness, impact, and sustainability

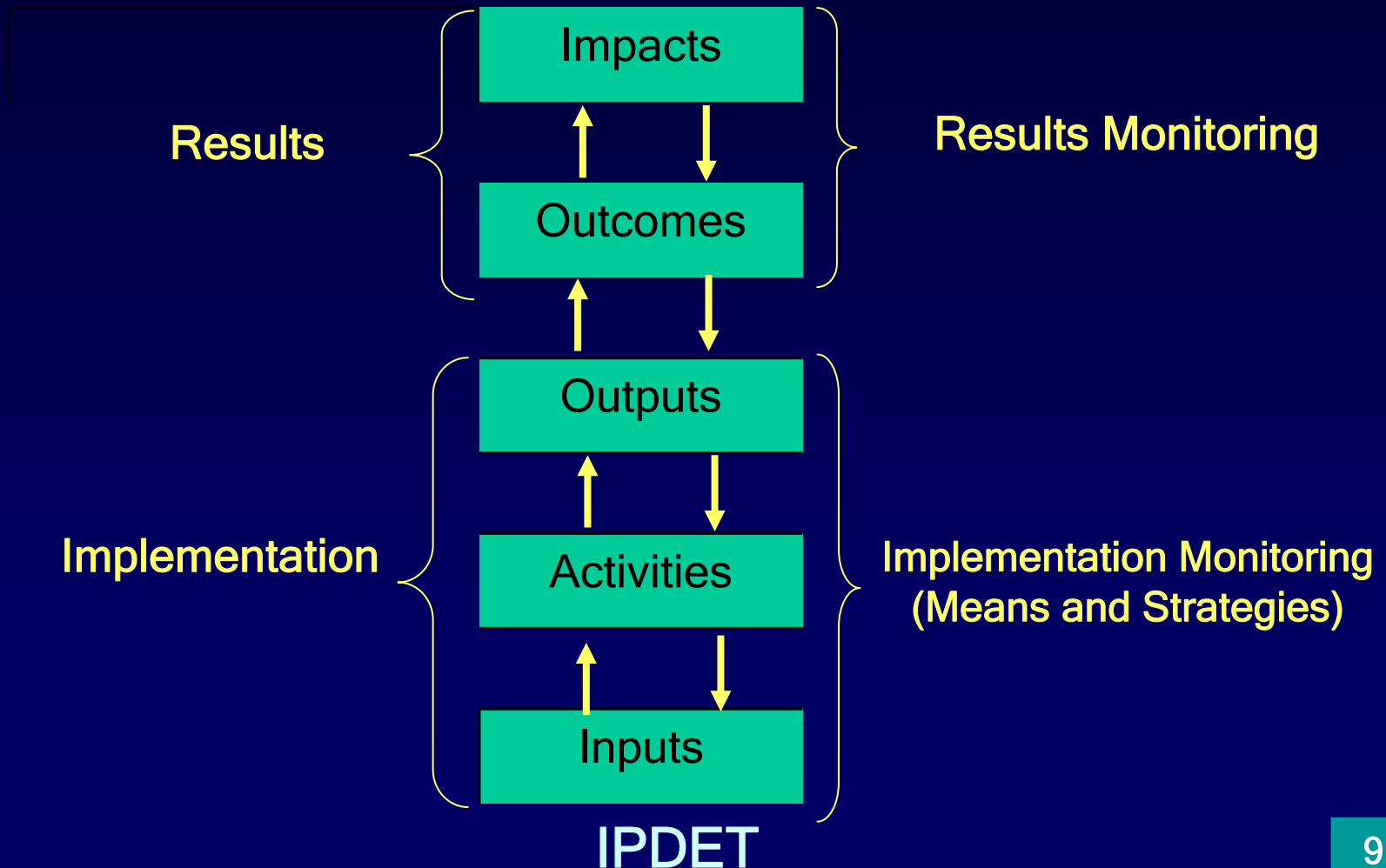


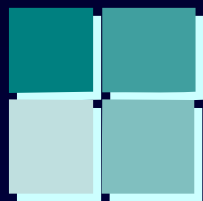
# Difference between Results-Based Monitoring and Evaluation

- Monitoring is focused on tracking evidence of movement towards the achievement of specific, predetermined targets
- Evaluation takes a broader view of an intervention, considering not only progress toward stated goals, but the logic of the initiative, as well as its consequences
- Both are needed to be able to better manage policies, programs, and projects



# Key Types of Monitoring





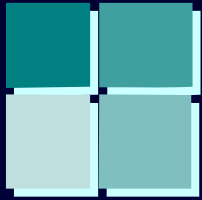
# Complementary Roles of Monitoring and Evaluation

## Monitoring

- ✓ Clarifies program objectives
- ✓ Links activities and their resources to objectives
- ✓ Translates objectives into performance indicators and sets targets
- ✓ Routinely collects data on these indicators, compares actual results with targets
- ✓ Reports progress to managers and alerts them to problems

## Evaluation

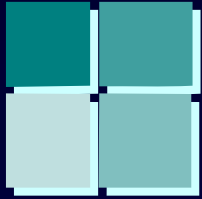
- ✓ Analyzes why intended results were or were not achieved
- ✓ Assesses specific causal contributions of activities to results
- ✓ Examines implementation process
- ✓ Explores unintended results
- ✓ Provides lessons, highlights significant accomplishment or program potential, and offers recommendations for improvement



# Reasons:

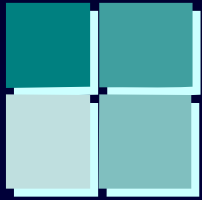
- Provides crucial information about public sector performance
- Provides a view over time on the status of a project, program, or policy
- Promotes credibility and public confidence by reporting on the results of programs
- Helps formulate and justify budget requests
- Identifies potentially promising programs or practices by studying pilots

(continued on next slide)



## Reasons: (cont.)

- Focuses attention on achieving outcomes important to the organization and its stakeholders
- Provides timely, frequent information to staff
- Helps establish key goals and outcomes
- Permits managers to identify and take action to correct weaknesses
- Supports a development agenda that is shifting towards greater accountability for aid lending



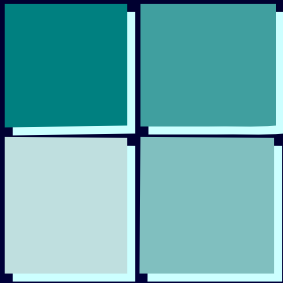
# Comparison

## Traditional

- inputs
- activities
- outputs

## Results-Based

- combines traditional with assessment of outcomes and impacts
- allows organization to modify and make adjustments to theory of change implementation processes

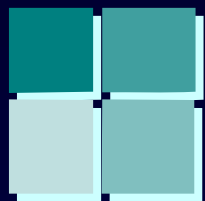


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# Ten Steps to Building a Results-Based M&E System

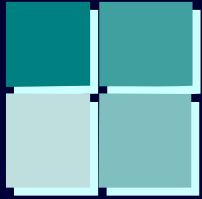
## Step 1: Conducting a Readiness Assessment





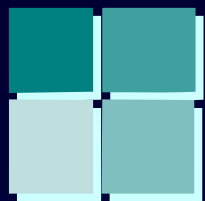
# What Is a Readiness Assessment?

- An analytical framework to assess a country's capacity and political willingness to monitor and evaluate its development goals



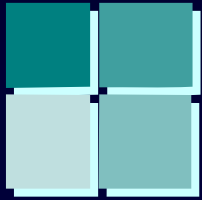
# Incentives

- Sort out the answers to these questions:
  - What is driving the need for building an M&E system?
  - Who are the champions for building and using an M&E system?
  - What is motivating those who champion building and M&E system?
  - Who will benefit from the system?
  - Who will not benefit?



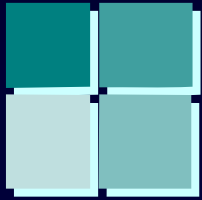
# Roles and Responsibilities

- Ask:
  - What are the roles of central and line ministries in assessing performance?
  - What is the role of parliament?
  - What is the role of the supreme audit agency?
  - Do ministries and agencies share information with one another?
  - Who in the country produces trustworthy data?
  - Where in the government are data used?



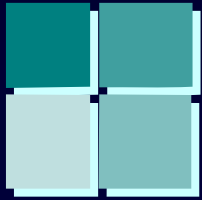
# Organizational Capacity

- Assess current government *capacity to monitor and evaluate*:
  - Technical skills
  - Managerial skills
  - Existing data systems and their quality
  - Technology available
  - Fiscal resources available
  - Institutional experience



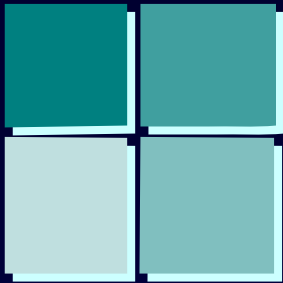
# Barriers to M&E

- Do any of these barriers to building and M&E system now exist?
  - Lack of fiscal resources
  - Lack of political will
  - Lack of champion
  - Lack of expertise & knowledge
  - Lack of strategy
  - Lack of prior experience
- How do we confront these barriers?



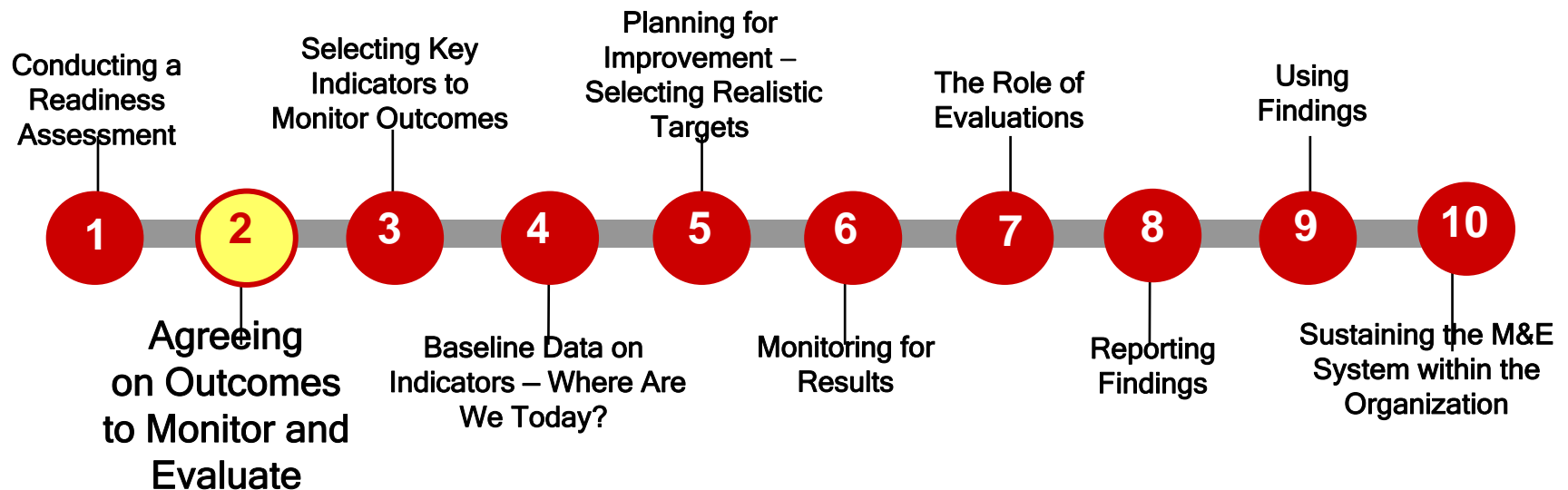
# Key Questions for Predicting Success in Building an M&E System

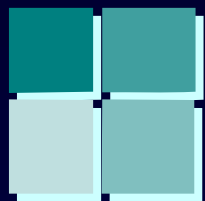
- Does a clear mandate exist for M&E?
  - PRSP?, Law? Civil Society? Other?
- Is there the presence of strong leadership at the most senior levels of the government?
- Is there a desire to see resource and policy decisions linked to the budget?
- How reliable is information that may be used for policy and management decision making?
- How involved is civil society as a partner with government?
- Are there pockets of innovation that can serve as beginning practices or pilot programs?



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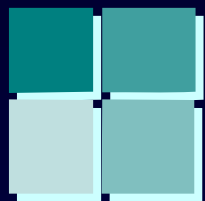
# Step 2: Agreeing on Performance Outcomes to Monitor and Evaluate





# Why an Emphasis on Outcomes?

- Makes explicit the intended objectives of government action
  - (*“Know where you are going before you get moving”*)
- Outcomes are what produce benefits
- Clearly setting outcomes is key to designing and building results-based M&E system
- *Important!* Budget to outputs, manage to outcomes!



# Developing Outcomes for One Policy Area: Education

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Outcomes:    Indicators:    Baselines:    Targets:

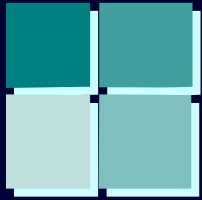
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1. Nations  
children have  
improved access  
to pre-school  
programs

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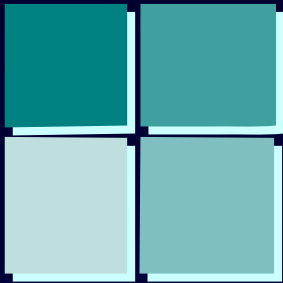
2. Primary  
school learning  
outcomes for  
children are  
improved

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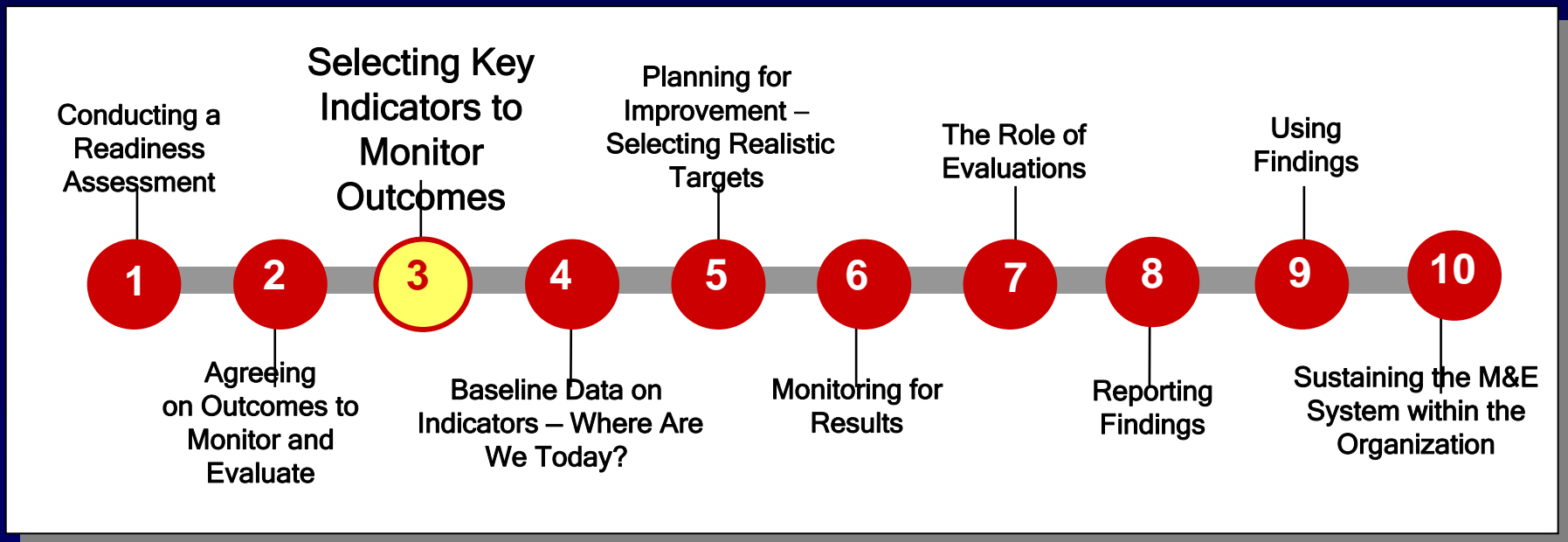
# Outcomes:

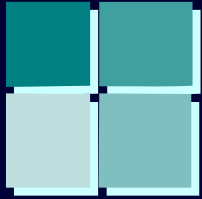
- Outcomes are usually not directly measured – only reported on
- Outcomes must be translated to a set of key indicators
- When choosing outcomes, “Do not go it alone!” - agreement is crucial



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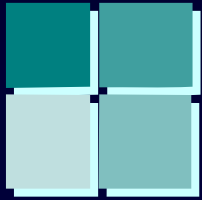
# Step 3: Selecting Key Indicators to Monitor Outcomes





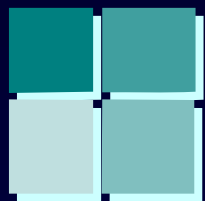
# Indicators

- A specific measure, that when tracked systematically over time indicates progress (or not) toward a specific target
- Indicators asks the question:
  - How will we know success when we see it?



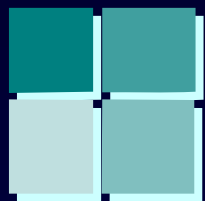
# Indicator Development

- “CREAM”
  - Clear
  - Relevant
  - Economic
  - Adequate
  - Monitorable



# Matrix for Selecting/Using Indicators

Indicator	Data source	Data collection method	Who will collect data?	Frequency & cost to collect	Difficulty to collect	Who will analyze and report data?	Who will use the data?
1.							
2.							
3.							



# Developing Set of Outcome Indicators for One Policy Area: Education

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Outcomes:      Indicators:      Baselines:      Targets:

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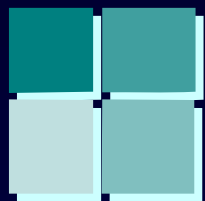
1. Nations children have improved access to pre-school programs

1. % of eligible urban children enrolled in pre-school education
2. % of eligible rural children enrolled in pre-school education

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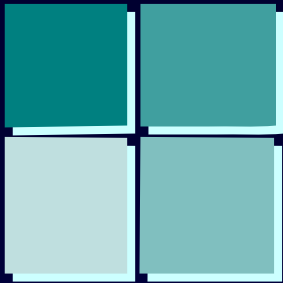
2. Primary school learning outcomes for children are improved

1. % of Grade 6 students scoring 70% or better on standardized math and science tests
2. % of Grade 6 students scoring higher on standardized math and science tests in comparison to baseline data



# Developing Indicators

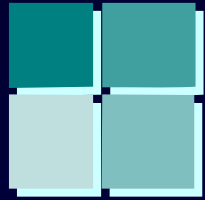
- Develop your own indicators to meet your needs
- Developing good indicators usually takes more than one try
- Arriving at final indicators will take time
- State all indicators neutrally - not “increase in...” or “decrease in...”
- Pilot, Pilot, and Pilot!



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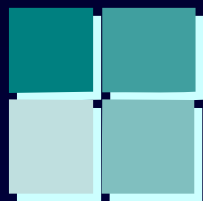
# Step 4: Gathering Baseline Data on Indicators





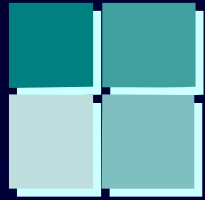
# Baseline Data and Sources

- Baseline data:
  - Measurements to find out where are we today?
- Primary source:
  - gathered specifically for the project
- Secondary source:
  - collected for another purpose, but can be used
  - from: within organization, government, international data sources, etc.
  - can save money but be careful to ensure that it is truly the information you need



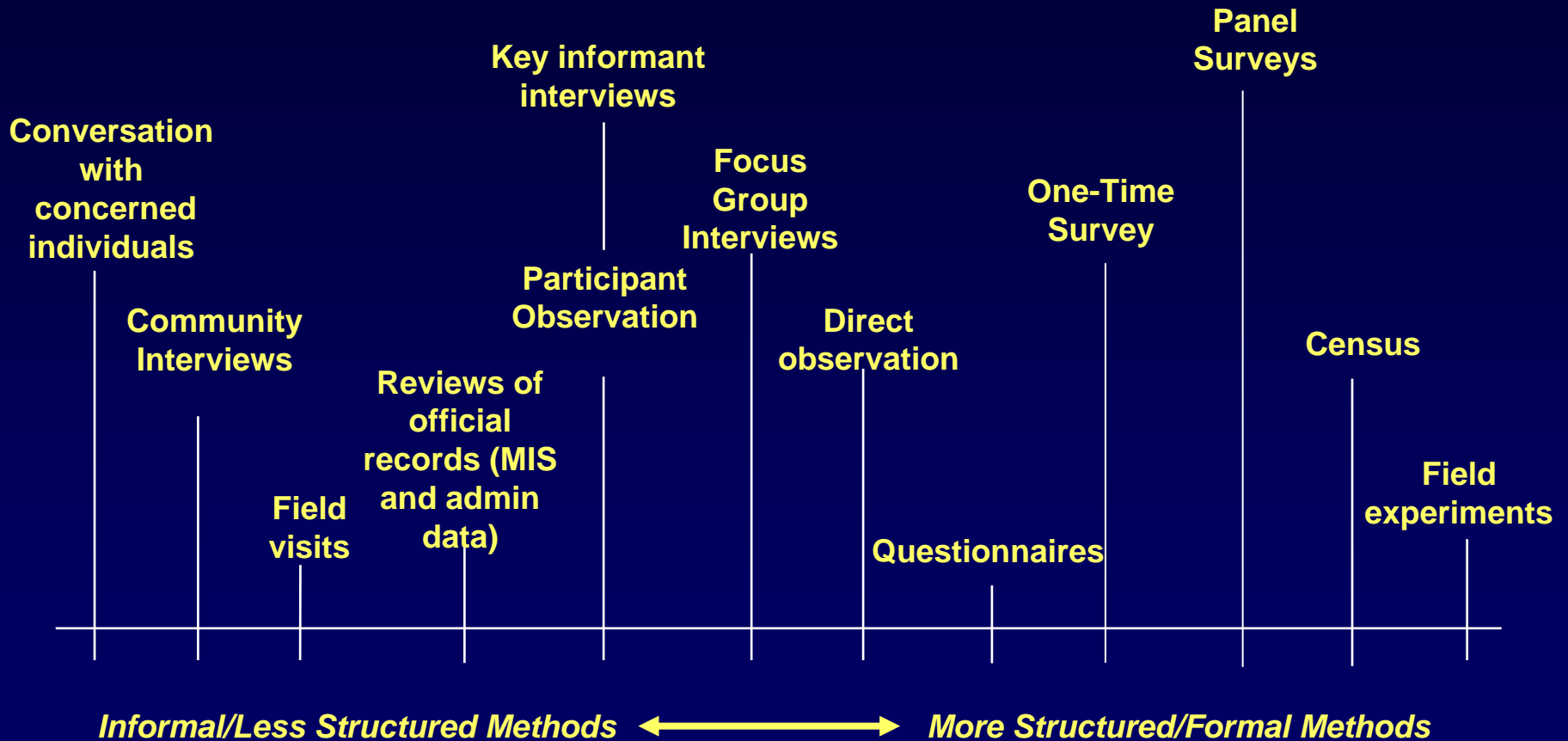
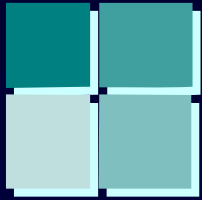
# Possible Sources

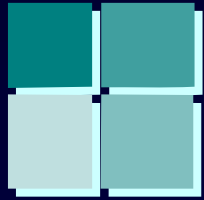
- Written records
- Individuals involved with the intervention
- The general public
- Trained observers
- Mechanical measurements
- Geographical information system



# Design Data Collection Methods

1. Decide how to obtain the data you need from each source
2. Prepare data collection instruments
3. Develop procedures for use of the data collection instruments





# Continuing Example, Developing Baseline Data for One Policy Area: Education

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Outcomes:	Indicators:	Baselines:	Targets:
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1. Nations  
children have  
improved access  
to pre-school  
programs

1. % of eligible urban children enrolled in pre-school education
2. % of eligible rural children enrolled in pre-school education

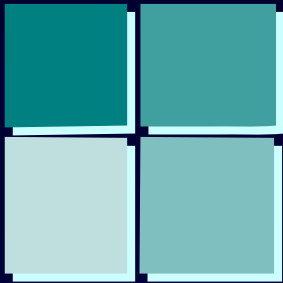
1. 75% urban in 1999
2. 40% rural in 2000

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2. Primary  
school learning  
outcomes for  
children are  
improved

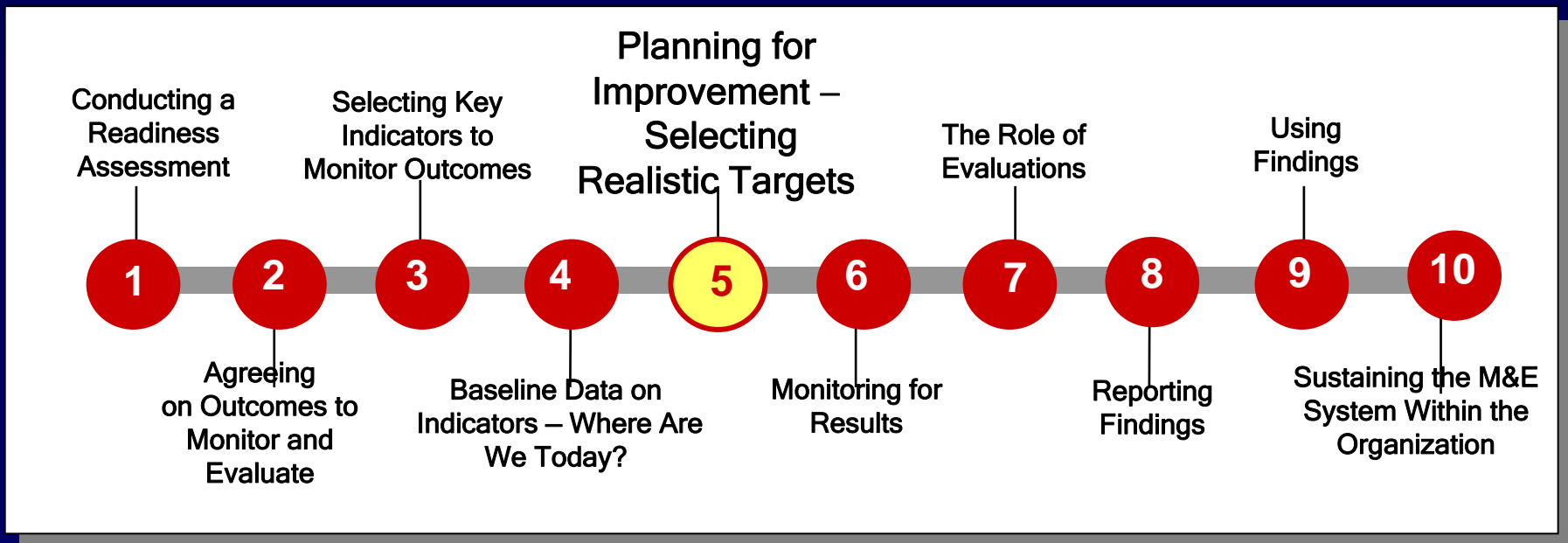
1. % of Grade 6 students scoring 70% or better on standardized math and science tests
2. % of Grade 6 students scoring higher on standardized math and science tests in comparison to baseline data

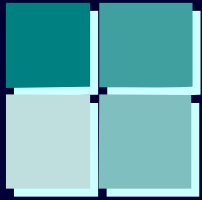
1. 47% in 2002 scored 70% or better in math. 50% in 2002 scored 70% or better
2. Mean % score in 2002 for Grad 6 students for math was 68%, and 53% for science



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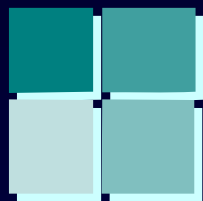
# Step 5: Planning for Improvements – Setting Realistic Targets



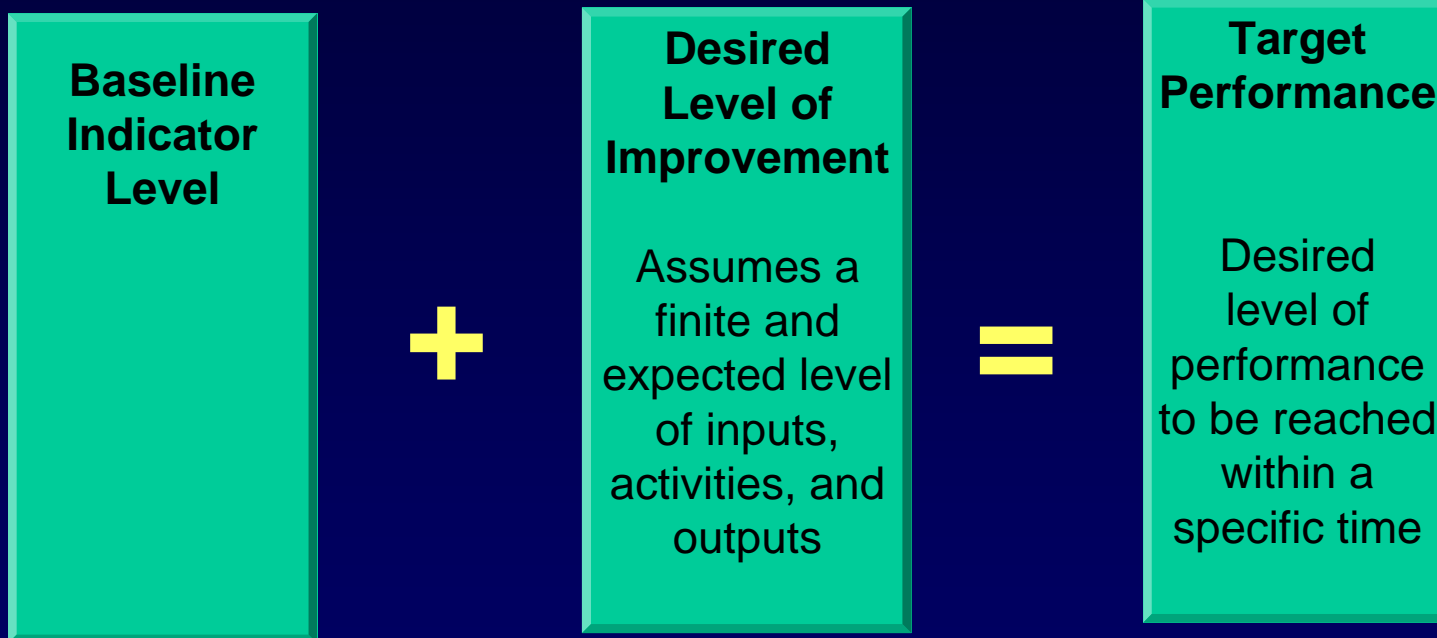


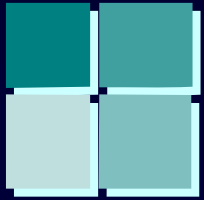
# Targets:

- The quantifiable levels of the indicators that a country or organization wants to achieve at a given point in time
- Example:
  - Agricultural exports will increase in the next three years by 20% over the baseline



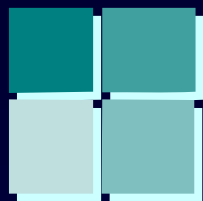
# Identifying Expected or Desired Level of Improvement Requires Targets





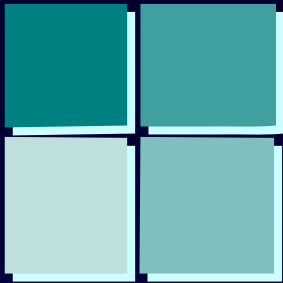
## Caution:

- It takes time to observe the effects of improvements, therefore:
  - Be realistic when setting targets
  - Avoid promising too much and thus programming yourself to fail



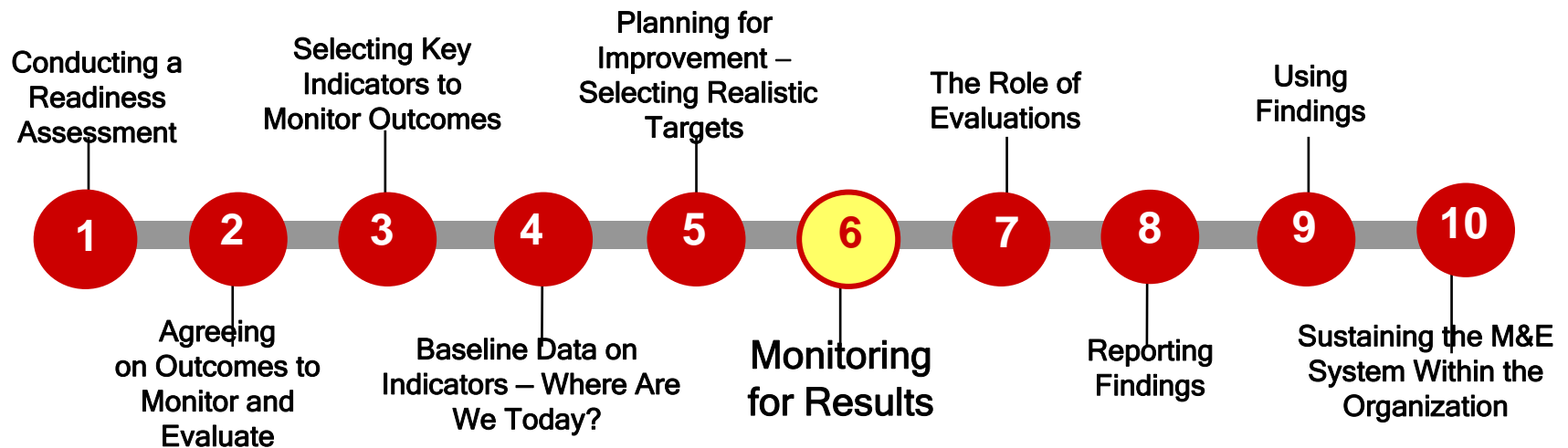
# Continuing Example, Setting Performance Targets for One Policy Area: Education

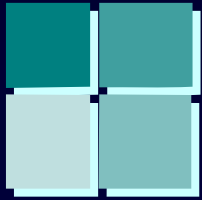
Outcomes:	Indicators:	Baselines:	Targets:
1. Nations children have improved access to pre-school programs	1. % of eligible urban children enrolled in pre-school education 2. % of eligible rural children enrolled in pre-school education	1. 75% urban in 1999 2. 40% rural in 2000	1. 85% urban in 2006 2. 60% rural in 2006
2. Primary school learning outcomes for children are improved	1. % of Grade 6 students scoring 70% or better on standardized math and science tests 2. % of Grade 6 students scoring higher on standardized math and science tests in comparison to baseline data	1. 47% in 2002 scored 70% or better in math. 50% in 2002 scored 70% or better 2. Mean % score in 2002 for Grad 6 students for math was 68%, and 53% for science	1. 80% by 2006 in math - 7% by 2006 2. Mean math test score in 2006 is 78% -- Mean science score in 2006 is 65%



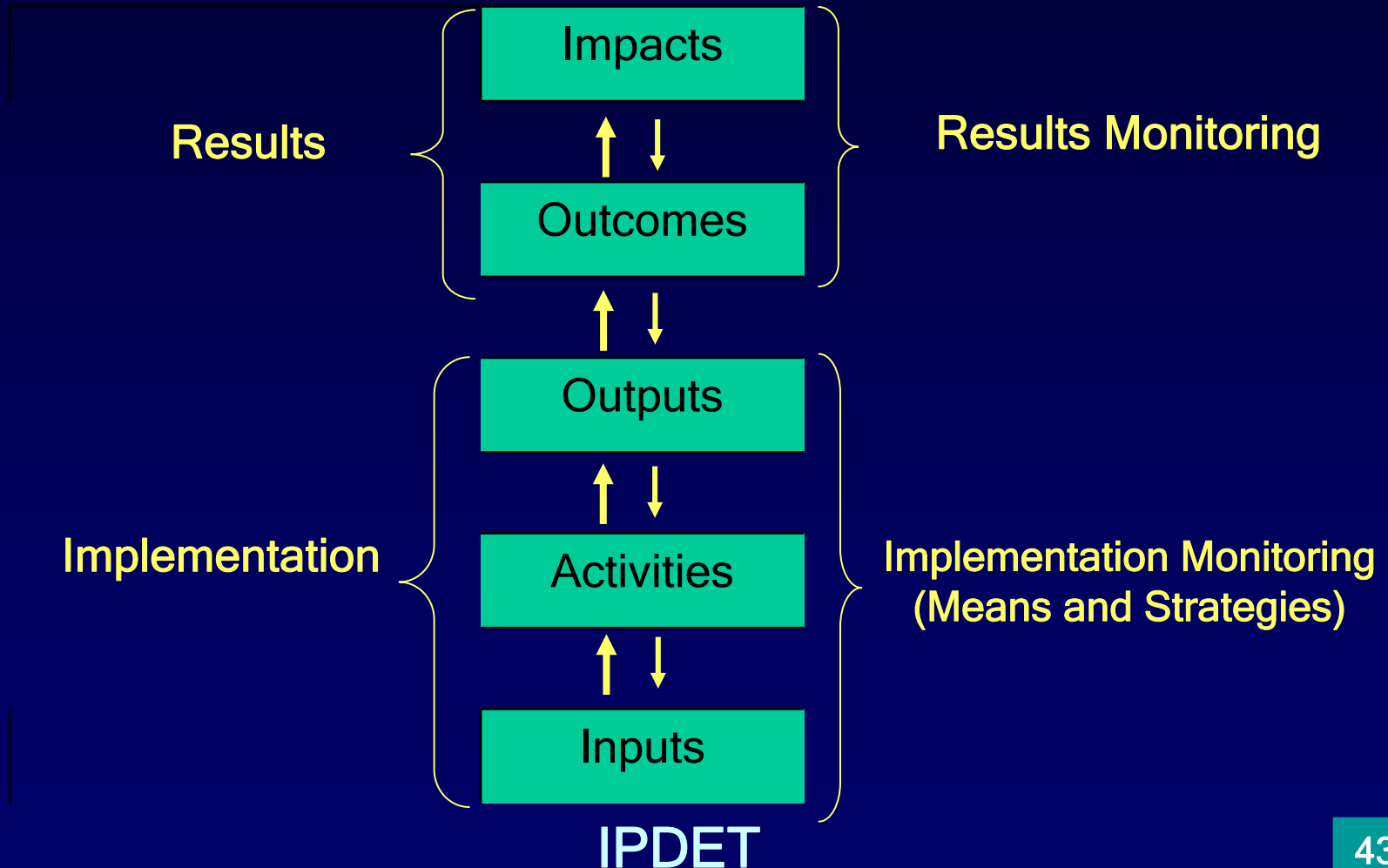
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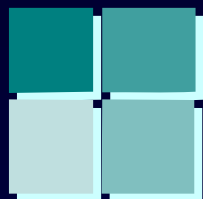
# Step 6: Monitoring for Results



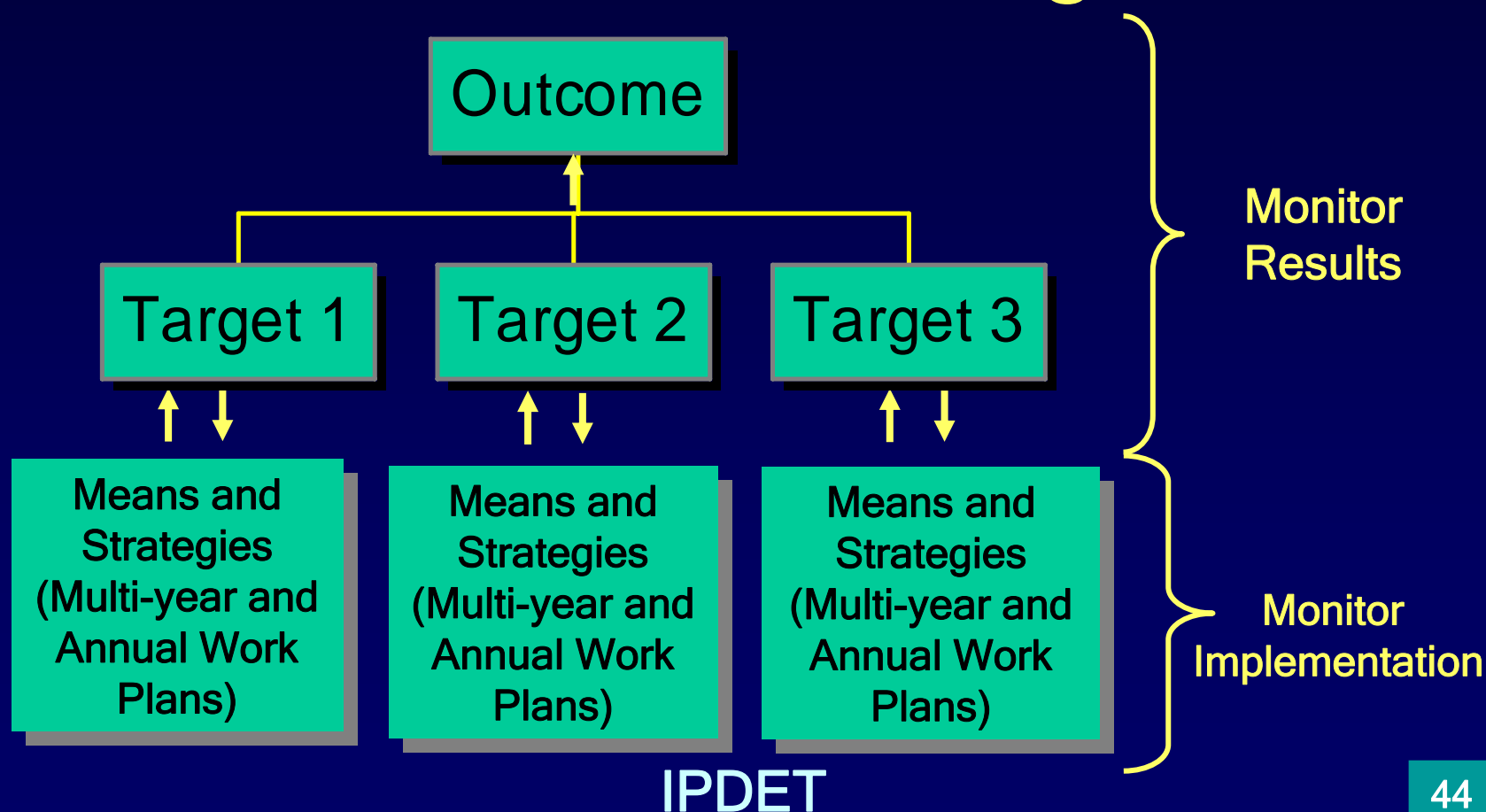


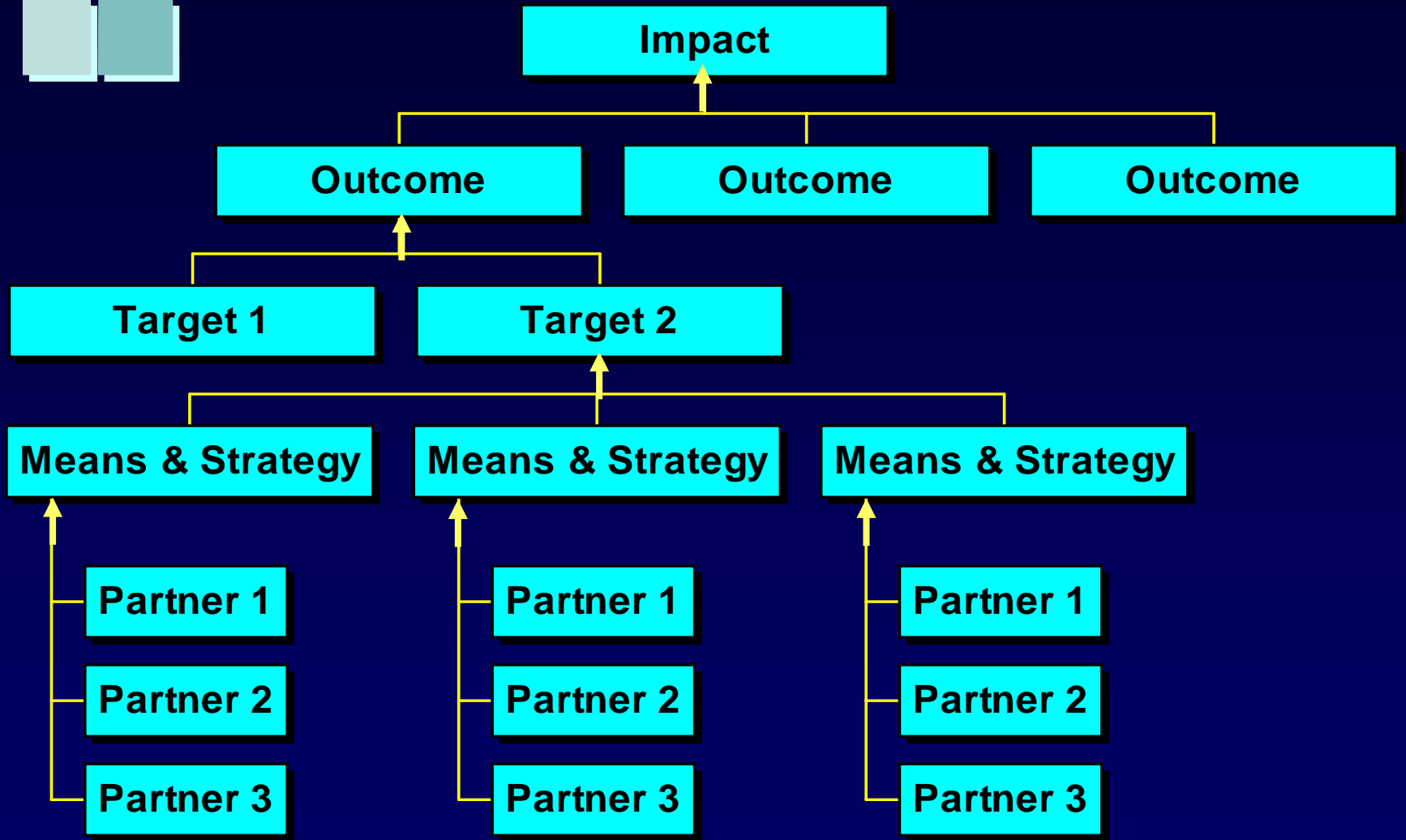
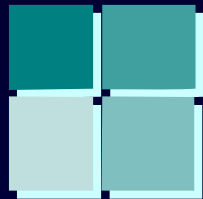
# Key Types of Monitoring

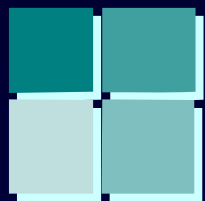




# Implementation Monitoring Links to Results Monitoring

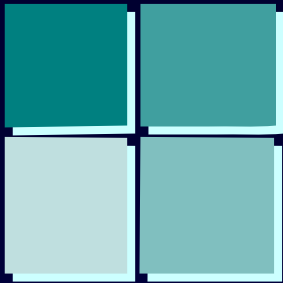






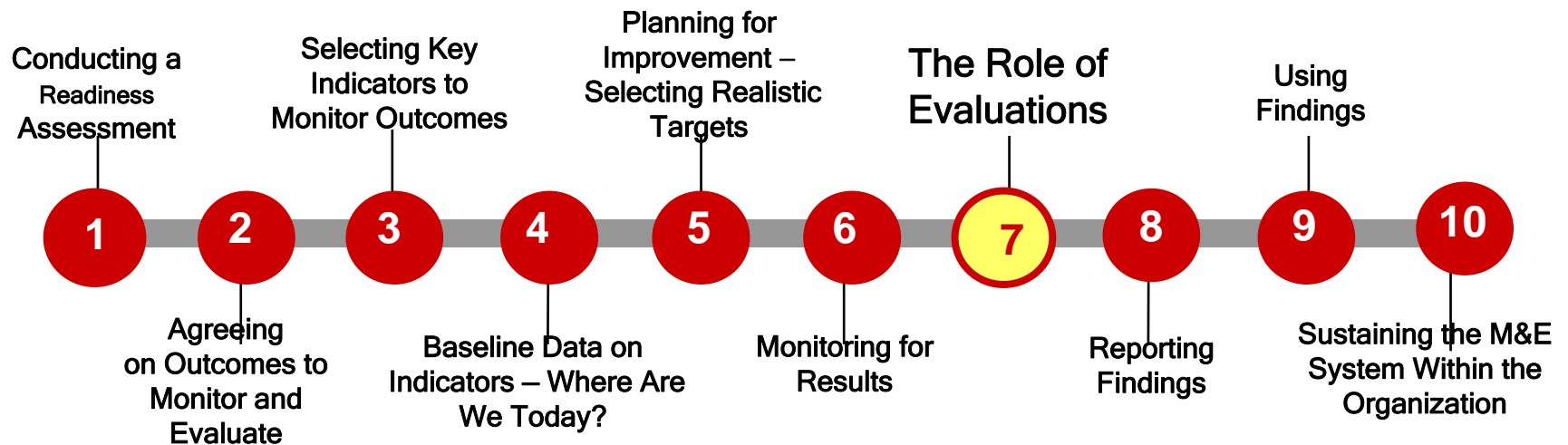
# Successful Monitoring Systems

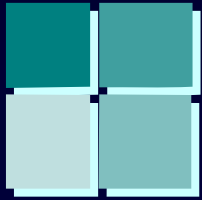
- To be successful, every monitoring system needs the following:
  - ownership
  - management
  - maintenance
  - credibility



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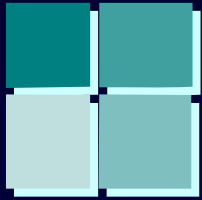
# Step 7: The Role of Evaluation





# Evaluation—When to Use?

- Any time there is an unexpected result that requires further investigation
- When resource or budget allocations are being made across projects, programs, or policies
- When a decision is being made whether or not to expand a pilot
- When there is a long period with no improvement, and the reasons for this are not clear
- When similar programs or policies are reporting divergent outcomes



# Evaluation Means Info on:

Strategy

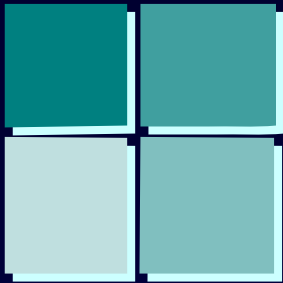
- Whether we are *doing the right things*
  - Rationale/justification
  - Clear theory of change

Operation

- Whether we are *doing things right*
  - Effectiveness in achieving expected outcomes
  - Efficiency in optimizing resources
  - Client satisfaction

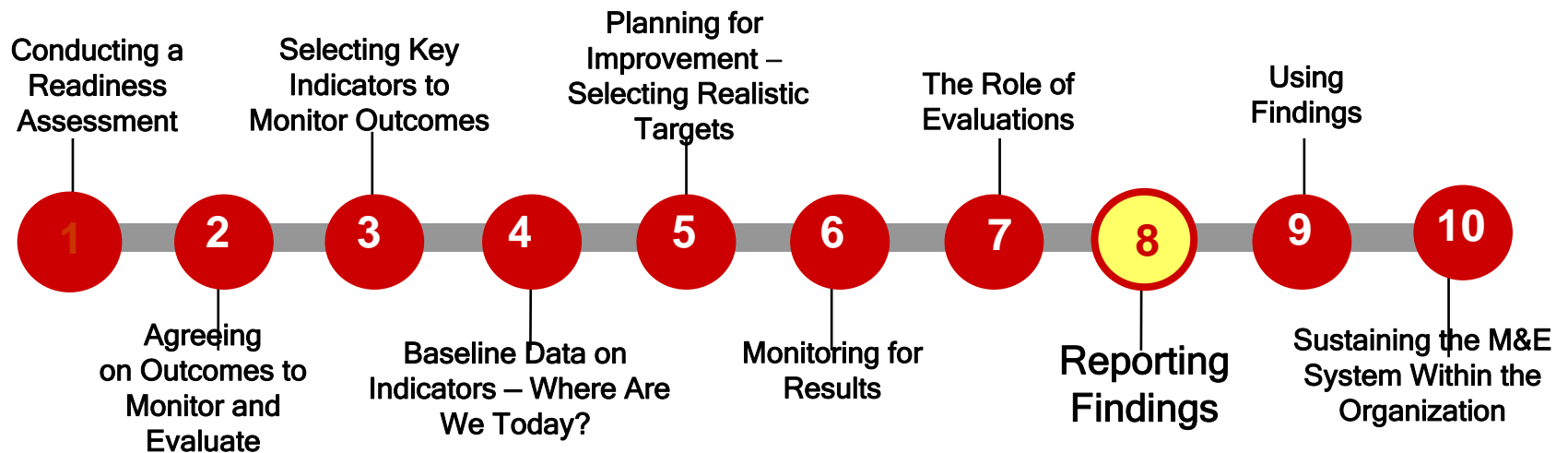
Learning

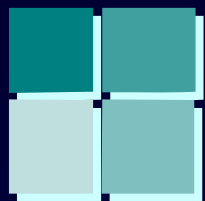
- Whether there are *better ways of doing it*
  - Alternatives
  - Best practices
  - Lessons learned



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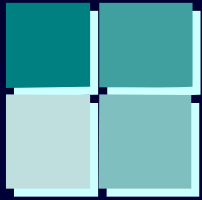
# Step 8: Reporting Findings





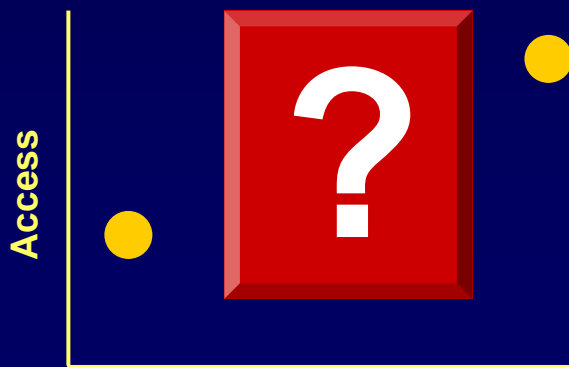
# Analyzing and Reporting Data

- Gives information on the status of projects, programs, and policies
- Provides clues to problems
- Creates opportunities to consider improvements in the (projects, programs, or policy) implementation strategies
- Provides important information over time on trends and directions
- Helps confirm or challenge theory of change



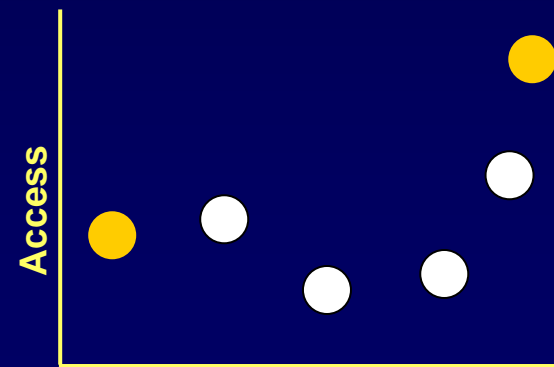
# Analyzing Data

- Examine changes over time
  - Compare present to past data to look for trends and other changes
  - The more data points you have, the more certain you are of your trends

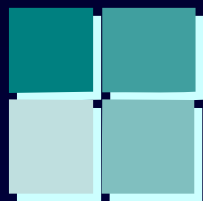


Time  
Improving access  
to rural markets

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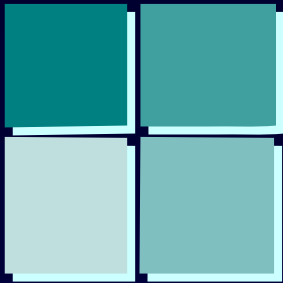


Time  
Improving access  
to rural markets



# Presenting Data

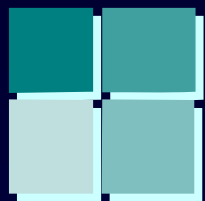
- Present most important data only
- Use an appendix or a separate report for detailed technical data
- Use visual presentations (charts, graphs, maps) to illustrate and highlight key points
- Avoid “data dumps”



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# Step 9: Using Findings

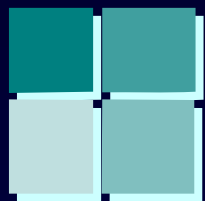




# Ten Uses of Results Findings

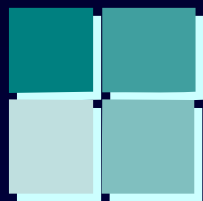
- Responds to elected officials' and the public's demands for accountability
- Helps formulate and justify budget requests
- Helps in making operational resource allocation decisions
- Triggers in-depth examinations of what performance problems exist and what corrections are needed
- Helps motivate personnel to continue making program improvements

(continued on next slide)



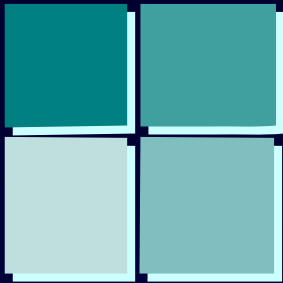
# Ten Uses of Results Findings (cont.)

- Monitors the performance of contractors and grantees against performance targets
- Provides data for special, in-depth program evaluations
- Helps provide services more efficiently
- Supports strategic and other long-term planning efforts (by providing baseline information and later tracking progress)
- Communicates better with the public to build public trust



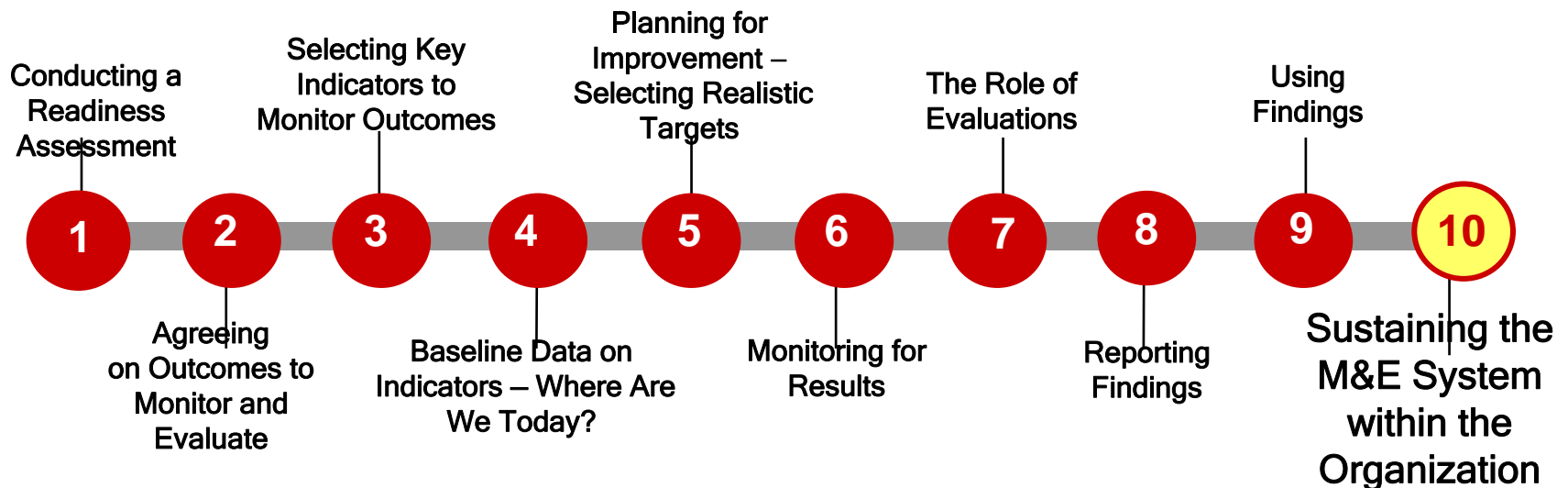
# Nine Strategies for Sharing Information

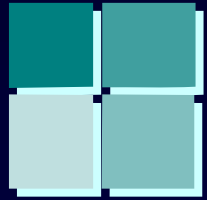
- Empower the media
- Enact “Freedom of Information” legislation
- Institute E-government
- Add information on internal and external internet sites
- Publish annual budget reports
- Engage civil society and citizen groups
- Strengthen parliamentary oversight
- Strengthen the Office of the Auditor General
- Share and compare results findings with development partners



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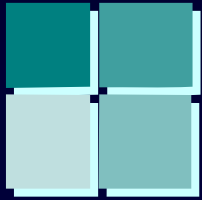
# Step 10: Sustaining the M&E System within the Organization





# Critical Components Crucial to Sustaining

- Demand
- Clear roles and responsibilities
- Trustworthy and credible information
- Accountability
- Capacity
- Incentives

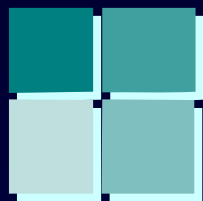


# Last Reminders

- The demand for capacity building never ends! The only way an organization can coast is downhill...
- Keep your champions on your side and help them!
- Establish the understanding with the Ministry of Finance and the Parliament that an M&E system needs sustained resources
- Look for every opportunity to link results information to budget and resource allocation decisions

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## Last Reminders (cont.)

- Begin with pilot efforts to demonstrate effective results-based monitoring and evaluation
- Begin with an enclave strategy (e.g., islands of innovation) as opposed to a whole-of-government approach.
- Monitor both implementation progress and results achievements.
- Complement performance monitoring with evaluations to ensure better understanding of public sector results.

 To continue on to the  
 **Next Module** click here

 To return to the  
 **Table of Contents** click here