

PLANNING and M&E for RESULTS

**Planning, Budgeting, Execution and Monitoring for Results –
Pillars of a Strong Public Financial Management**

*Presented during the PAGBA 1st Quarterly and Meeting
THE ORIENTAL HOTELS and RESORTS
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Objectives

- To provide an overview of Monitoring and Evaluation concepts and principles
- To indicate policy directions of a results-based M&E system as part of the Public Financial Management Reform (Sec. 3.4.3, NBM No. 123, January 2015)

Presentation Guide

- A. Monitoring and evaluation and planning
- B. Monitoring and evaluation: revisit of concepts and principles
- C. Monitoring and evaluation and Budgeting
- D. Steps in designing a monitoring and evaluation system
- E. Emerging directions in monitoring and evaluation for budgeting

M&E and planning

**Monitoring and Evaluation
starts with
good **PLANNING**.**

**IMPLICATIONS
REQUISITES**

strong

planning

- capacity
- organization
- system

Independent

YET

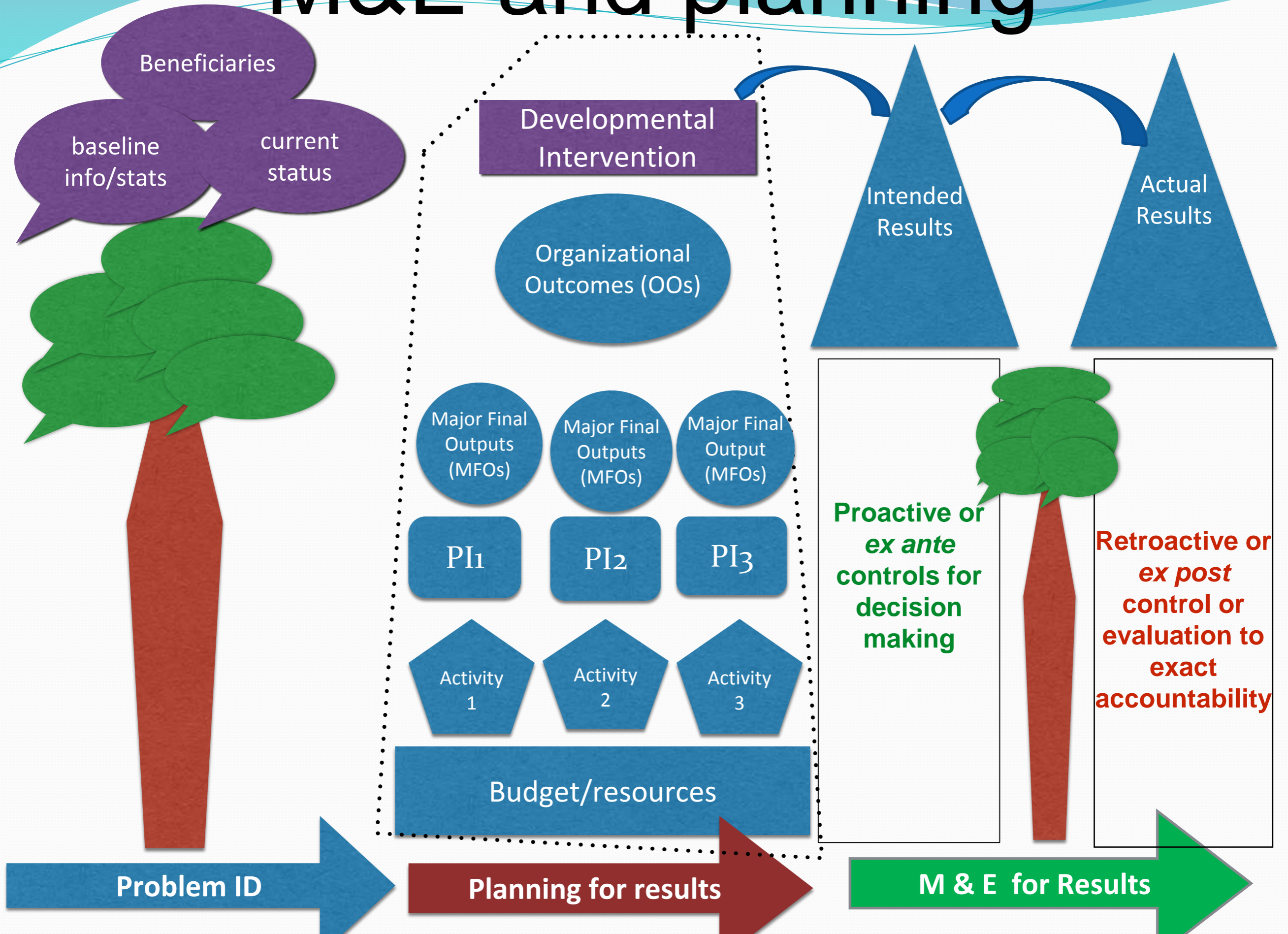
Interdependent

strong

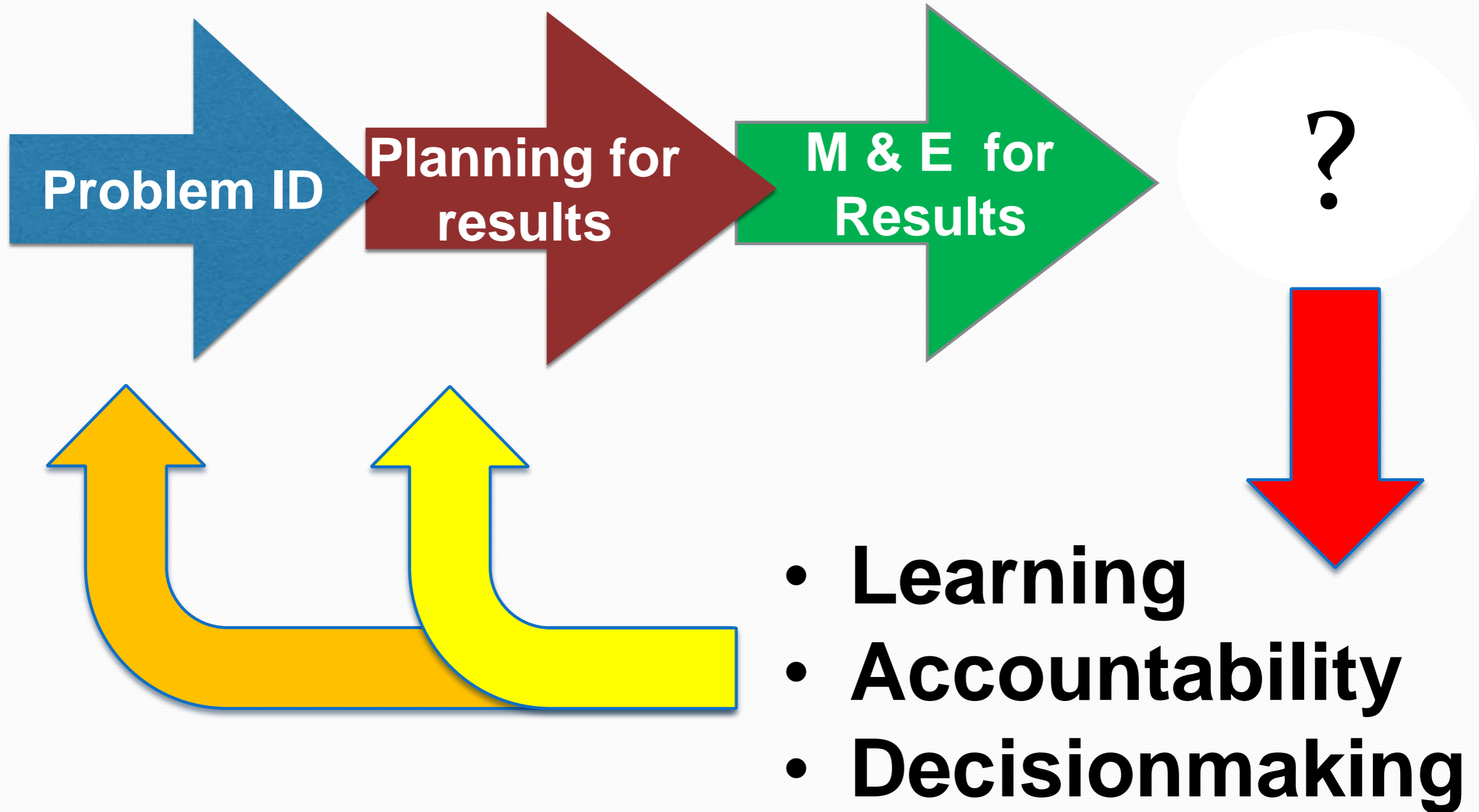
M&E

- capacity
- organization
- system

M&E and planning



M&E and planning



About M&E

What is Monitoring?

a **continuous** function that uses the **systematic collection** of data on **specified indicators** to provide management and the main stakeholders of an ongoing developmental intervention with indications of the **extent of progress** and **achievement of objectives** and **progress in the use of allocated funds** (OECD definition)

About M&E

What is evaluation?

- the systematic and objective **assessment** of an **ongoing** or **completed** project, program, or policy, including its design, implementation, and results; the aim is to determine the *relevance* and fulfillment of objectives, development *efficiency*, *effectiveness*, *impact*, and *sustainability*
- should provide information that is *credible and useful*, enabling the incorporation of *lessons learned* into the decisionmaking process of both recipients and donors

(Keith McKay, 2007)

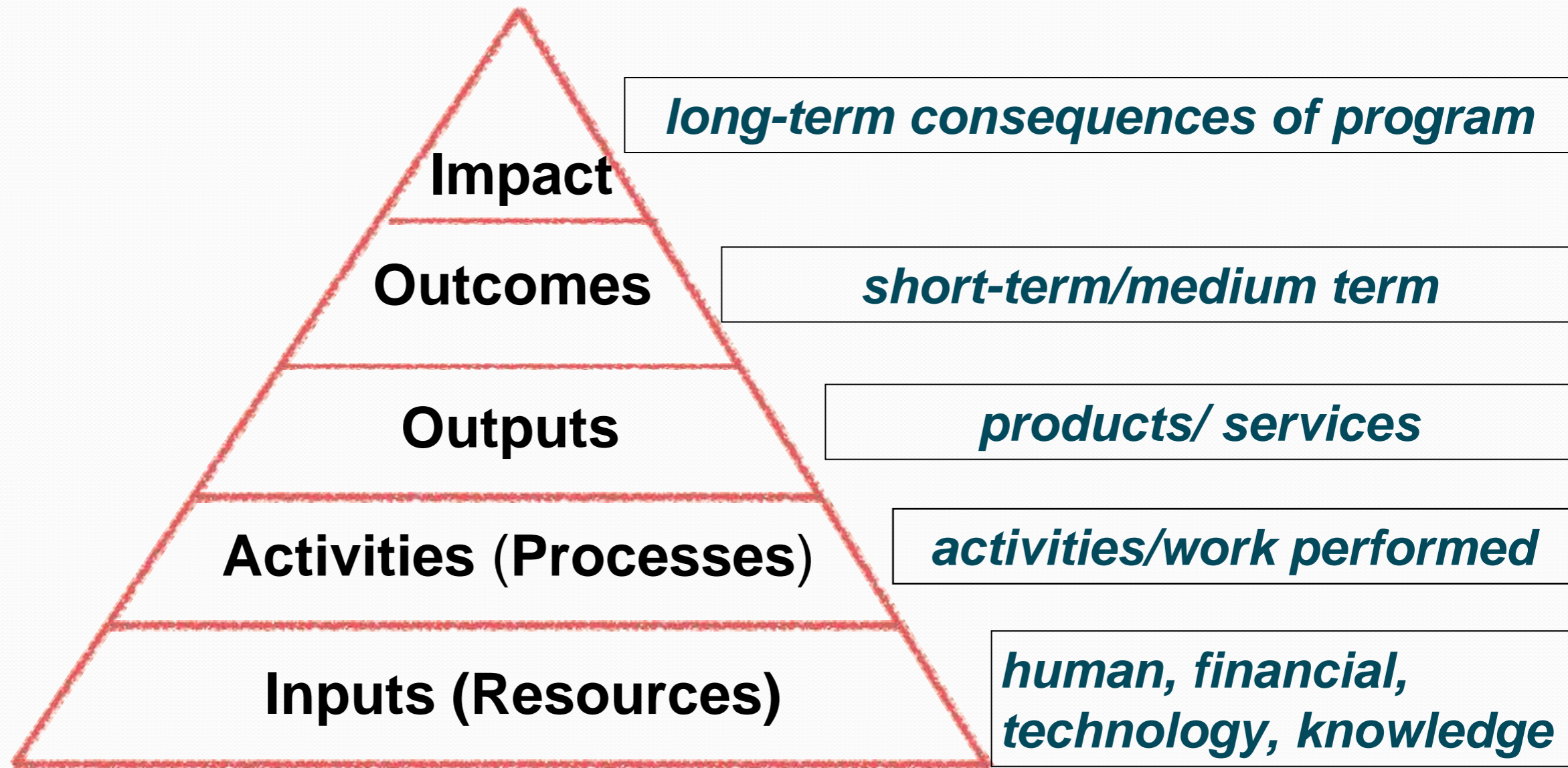
About M&E

Monitoring vis a vis Evaluation

Monitoring	Evaluation
• Clarifies program objectives and outcomes	• Analyzes why objectives/ results were or were not achieved
• Links activities & resources to objectives & outcomes	• Assesses specific causal contributions of activities to results
• Uses performance indicators and targets	• Examines implementation process
• Collects data routinely to compare actual results with targets	• Explores unintended results
• Informs progress and alert managers of problems	• Provides lessons , highlights significant accomplishment or potential , & offers recommendations for improvement

About M&E

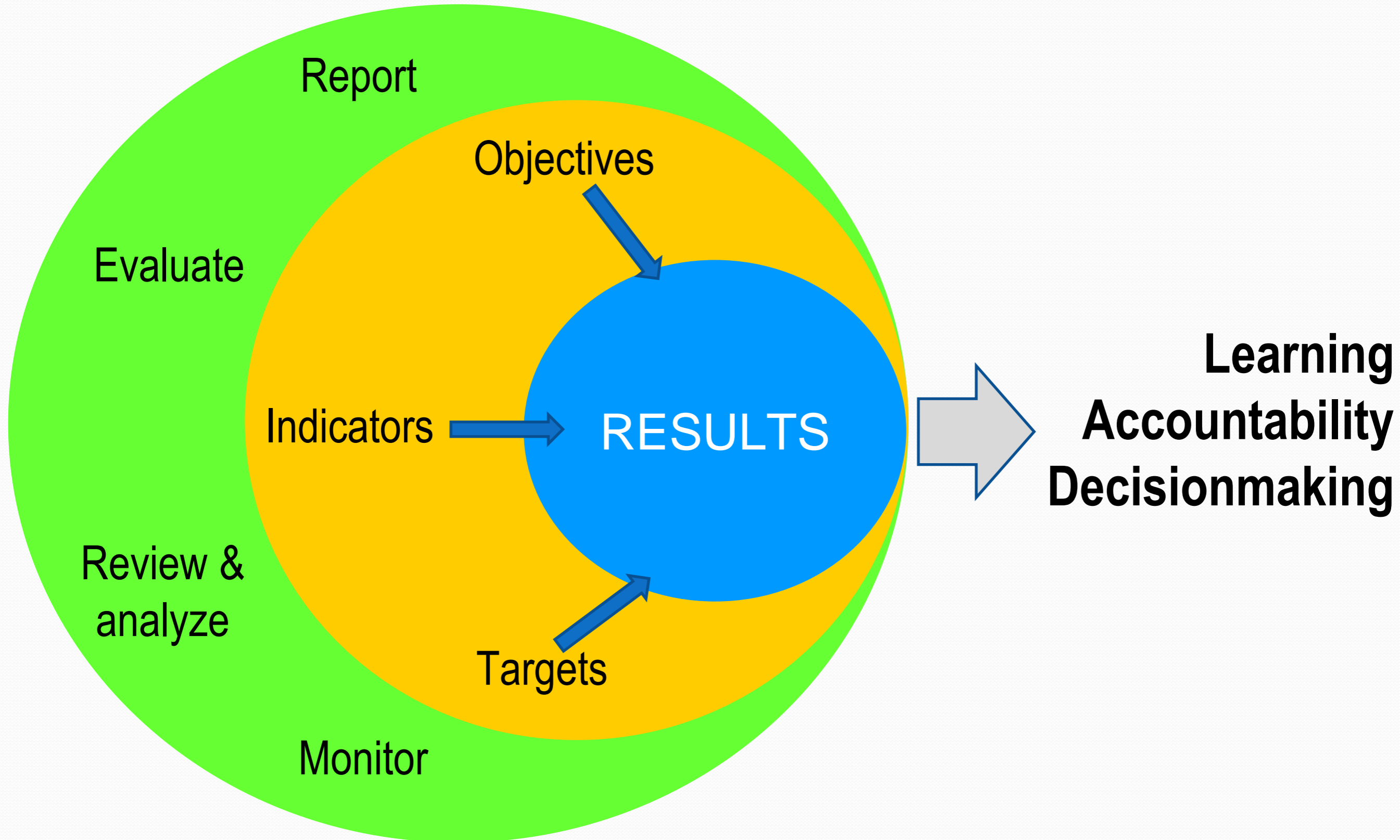
M&E and the Results Chain



Logical Framework (or Theory of Change)

About M&E

Results based Monitoring & Evaluation



About M&E

Results based Monitoring & Evaluation

**Activity based
monitoring**



**Activities
Accomplished/
Completed**

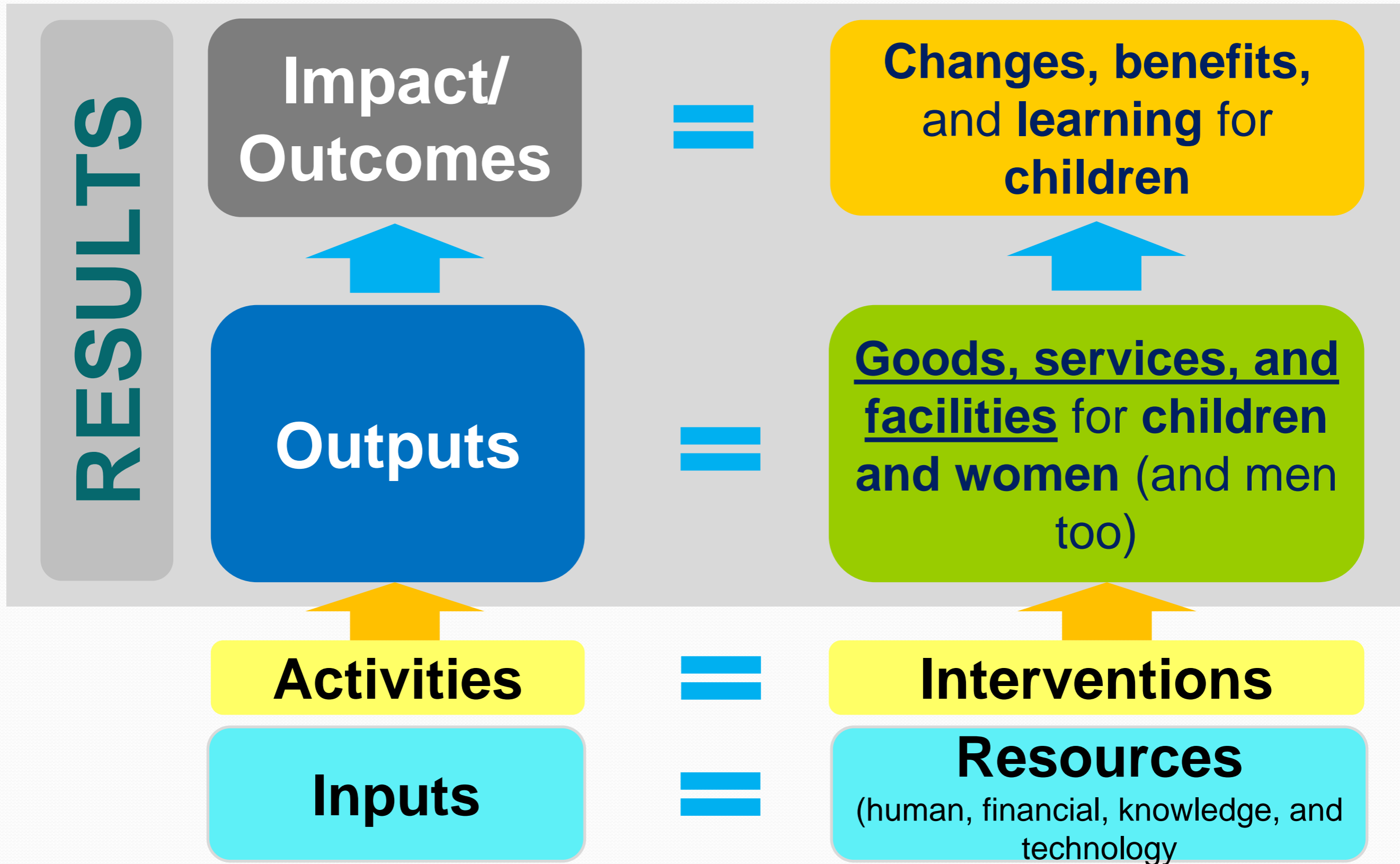
**Results based
monitoring**



**Results vs
Targets**

About M&E

Results based Monitoring & Evaluation



About M&E

Indicators

Impact

- Infant/Child mortality rate
- Maternal mortality rate
- Elementary completion rate

Outcome

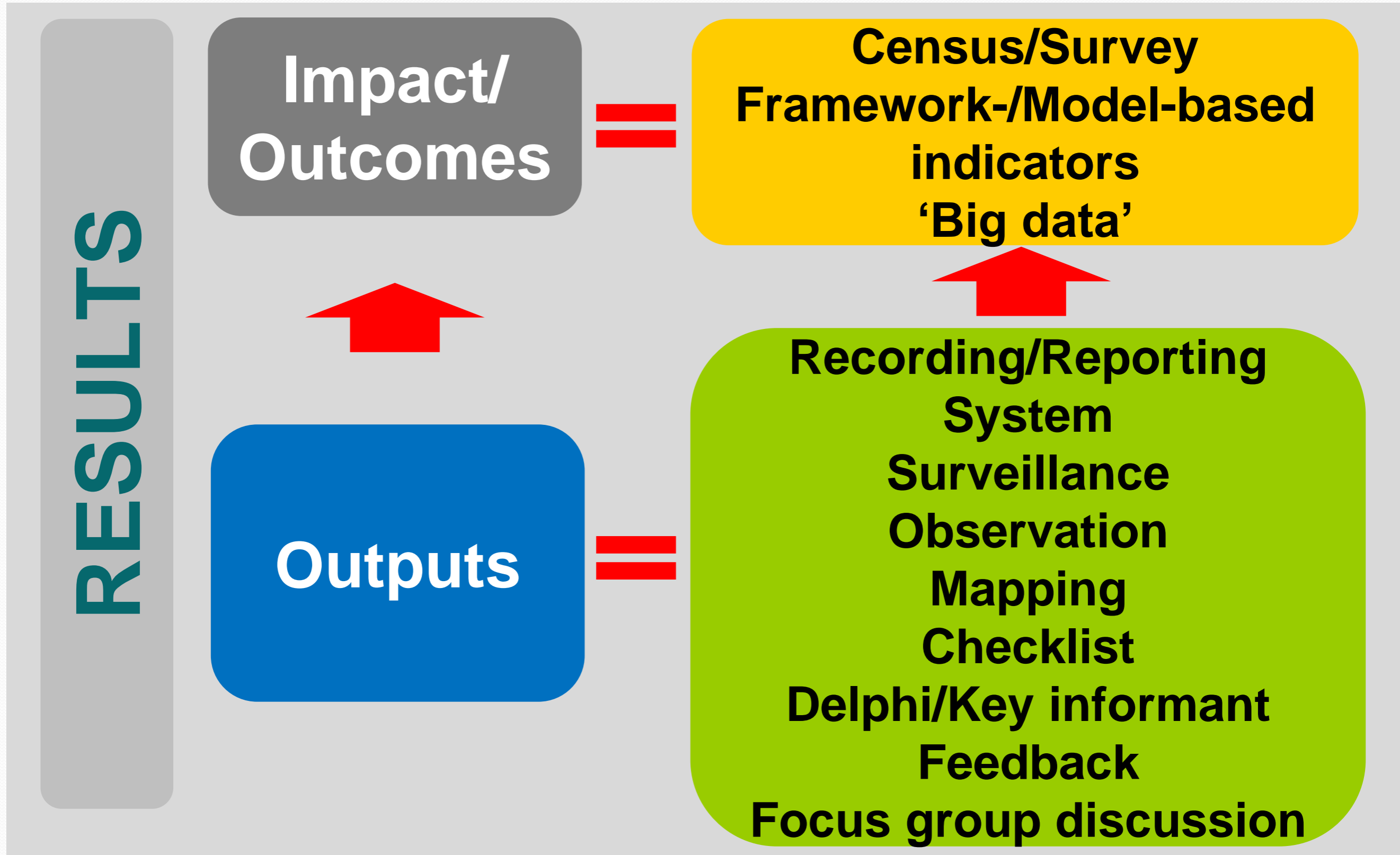
- Immunization rate / Underweight children
- Proportion of deliveries by skilled birth attendants / facility-based
- Persons with access to safe water
- Elementary participation rate

Output

- Children immunized
- Trained birth attendants
- School classrooms built/repared

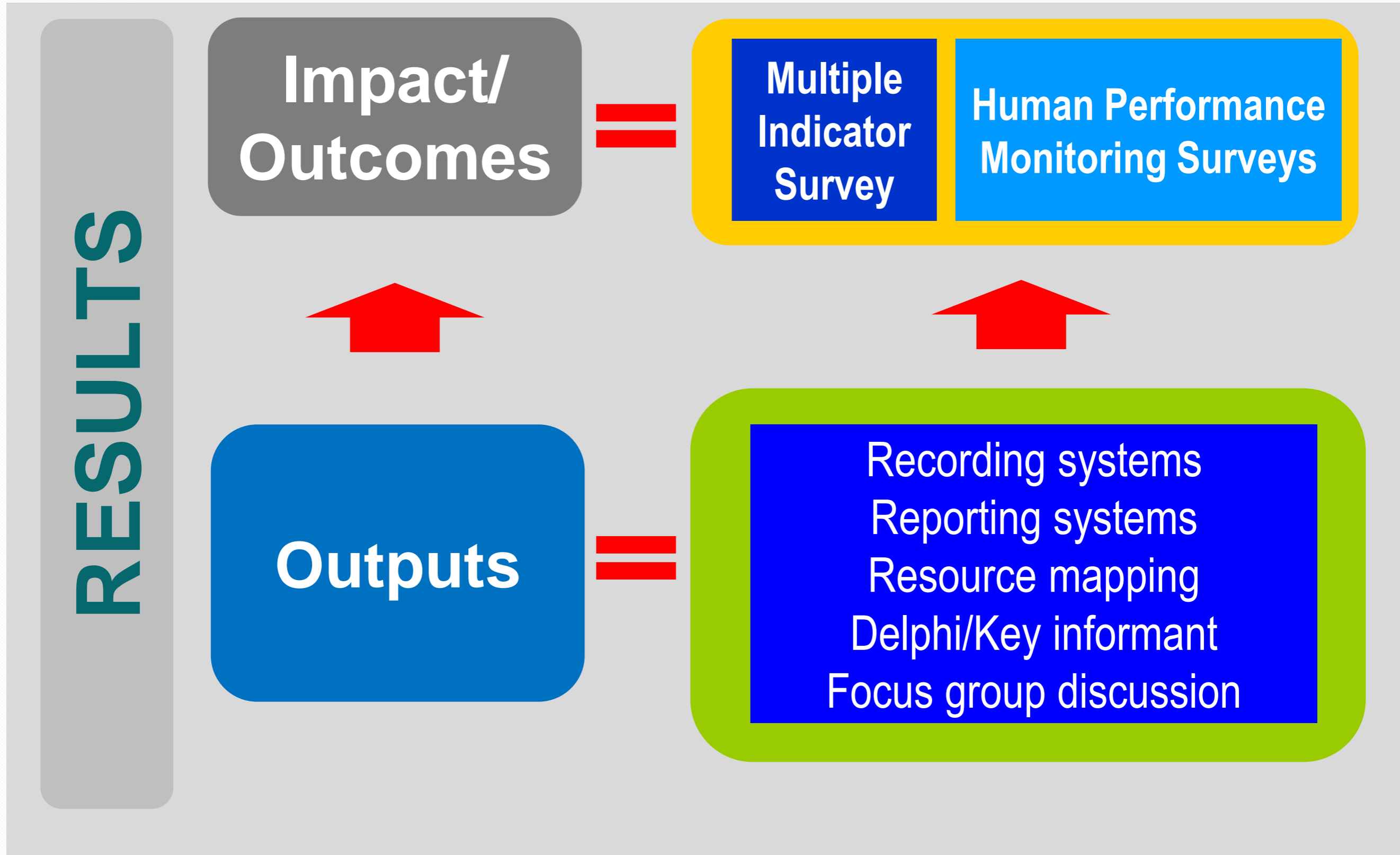
About M&E

Data sources



About M&E

UNICEF M&E system



About M&E

Evaluation: Why?

RELEVANCE

The extent to which the developmental intervention or activity is suited to the priorities and Policies of the target group, recipient and donor

EFFICIENCY

Measures the outputs, qualitative and quantitative, in relation to the inputs

EFFECTIVENESS

A measure of the extent to which a developmental intervention activity attains its objectives

About M&E

Evaluation: Why

IMPACT

The positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended

SUSTAINABILITY

Measuring whether the benefits of a developmental intervention are likely to continue after funding has been withdrawn; projects need to be environmentally as well as financially sustainable.

About M&E

Evaluation options & uses

Formative evaluation	Decisionmaking Progress update Program adjustment
Summative evaluation	Accountability Program design

About M&E

Evaluation options

Formative evaluation

- To improve performance
- Also for other reasons, e.g, *compliance, legal requirements or as part of larger evaluation*
- Most often conducted during the design and/or implementation phases of projects or programs
- Common types:
 - ✓ needs assessment
 - ✓ evaluability assessment
 - ✓ implementation evaluation
 - ✓ process evaluation.

(Sources: IPDET Modules/CLEAR/ShipDet)

About M&E

Evaluation options

Summative evaluation

- To provide information about the worth of the program
- To determine the extent to which anticipated outcomes were produced
- Conducted at the end of an intervention (or a phase of that intervention)

(Sources: IPDET Modules)

About M&E

Evaluation types

Type	Purpose / Characteristics
Ex-ante or initial evaluation	<p>Carried out at <i>preparation stage</i> of program or project</p> <p>Mainly considers the relevance of the intervention and its cost-effectiveness</p>
Baseline study	<p>focuses on the <i>reference value</i> of <i>the results indicators</i> to be monitored and or evaluated</p> <p>ideally to be undertaken <i>before or early on</i> the implementation of the intervention</p>

About M&E

Evaluation types

Type	Purpose / Characteristics
Annual Performance Report	<p>Accounts of the <i>state of implementation</i> of an annual work plan and budget</p> <p>In between monitoring and evaluation</p> <p>Goes beyond activity report; <i>inform on performance using analysis of inputs, activity, output and some outcome indicators (including use and satisfaction)</i></p>
Mid-term evaluation	<p>Usually carried out by an external team with participation of the project team</p> <p>Usually focuses on <i>relevance, effectiveness</i> and <i>efficiency</i></p>

About M&E

Evaluation types

Type	Purpose / Characteristic
Performance audit	Did they do the <i>right thing</i> ? Did they <i>do it right</i> ?
Final evaluation	Done <i>at the end</i> with focus on <i>effectiveness</i> and <i>sustainability</i> of the results
Impact evaluation	Ideally after 3 to 5 years Focus on impact and sustainability
Metaevaluation	Analysis of information from several individual evaluations

About M&E

Evaluation methods

- **Quantitative** (*survey, measurement*)
- **Qualitative** (*document analysis, key informant interview, focus group discussion*)
- **Mixed**

About M&E Evaluation

When do we decide to do an evaluation?

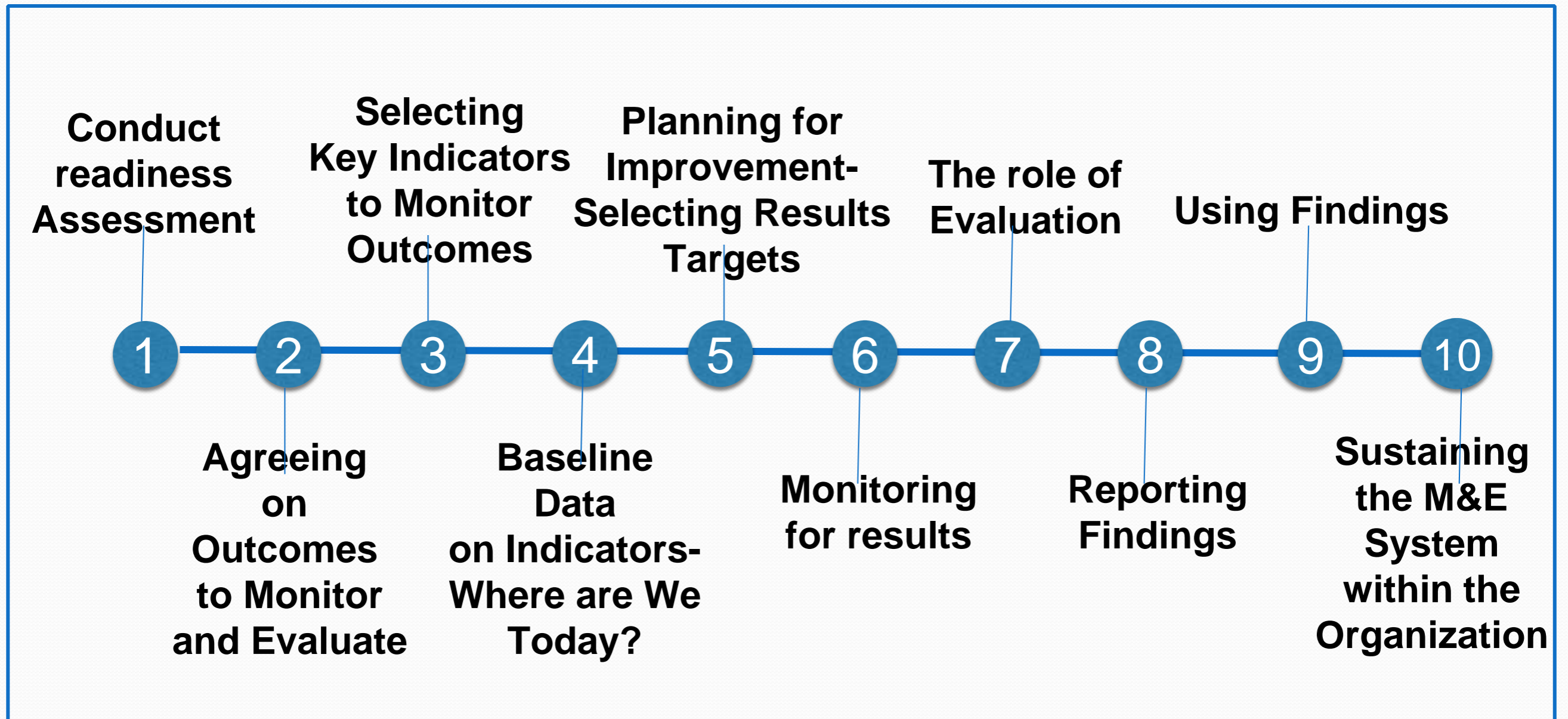
At the onset/start of/during program/
project design



M&E Plan

Building an M&E System

10-STEPS IN DESIGNING A M&E SYSTEM



Characteristics of an effective M&E system

- The production of (suitable) quality performance information in a cost-effective manner
- A high level of utilization
- Linking M&E into planning, budgeting, policy making, & reporting / accountability processes ⇒ institutionalization ⇒ sustainability over time as governments & officials change.

Principles for Building M&E Systems

1. Building blocks

- Political will for change; driving forces, supporters and opponents, winners and losers; building M&E capacity is primarily a political (not technical) task
- Enabling environment; culture, incentives, (demand is the key)
- Vision & purpose; many options exist

building systems ...

- Demand and capacity to use M&E information; awareness, skills, resources and support
- Capacity to supply M&E information (this is the usual focus of capacity building efforts and is counter productive)
- Development of M&E infrastructure; mandate, policies, staff, offices, equipment, IT systems, process linkages



LINKING PERFORMANCE BUDGETING TO M&E

Performance Budgeting

- aims to improve public expenditure planning and management in terms of:
 - * **effectiveness**
 - * **efficiency**

by linking funding to results *delivered in the past* implementation period and *proposed to be delivered for next* implementation period

based on *analysis of monitoring (performance) indicators, program costs, results of evaluations, assessments, studies, etc.*

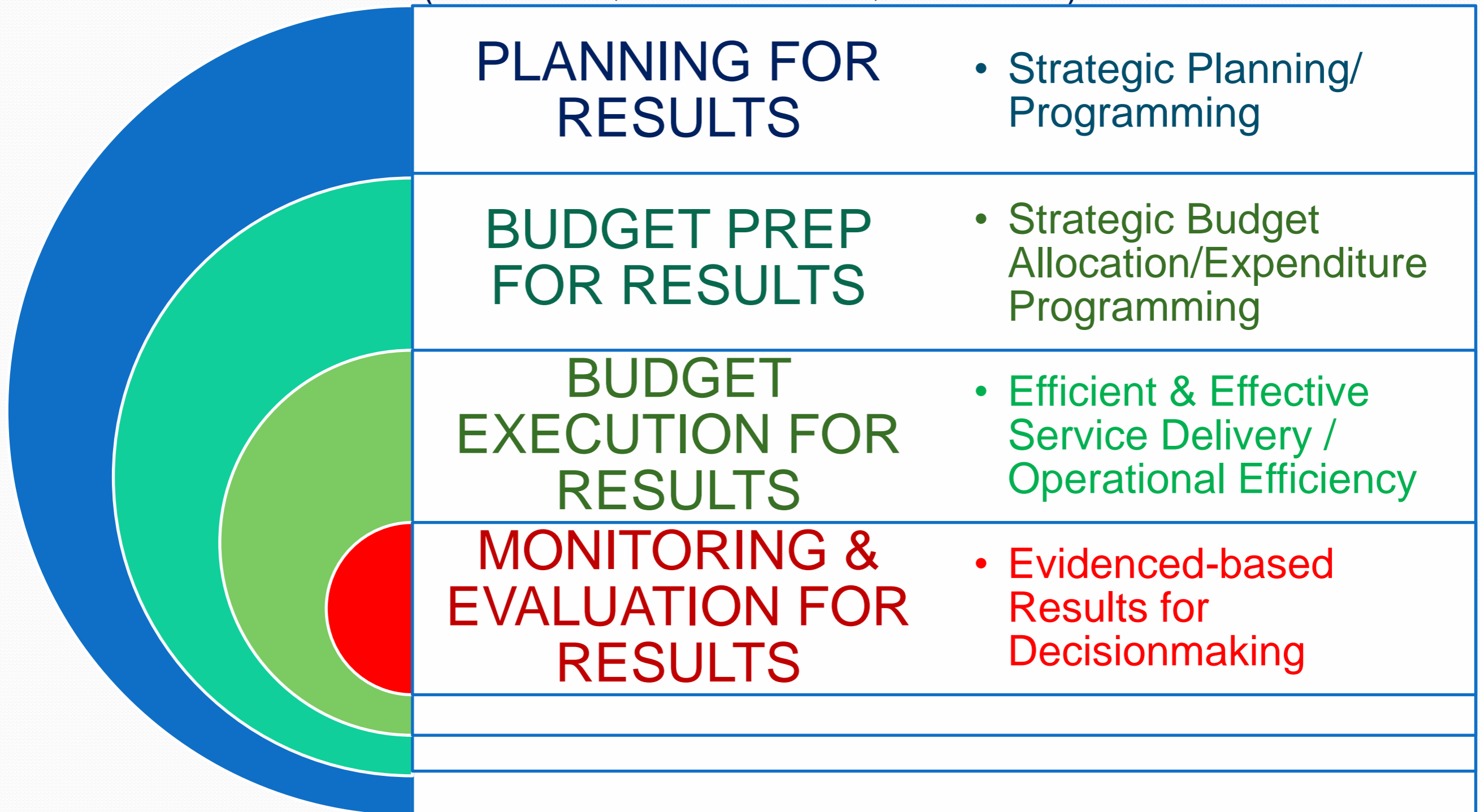
Performance Budgeting

- **Benefits:**
 - ✓ Provides greater flexibility for managers on the use and mix of resources or inputs to deliver results
 - ✓ Ensures value for money
 - ✓ Strengthens accountability for public funds
- PB is not an isolated reform or exercise but part of the larger “Managing for Results” or MFR reform.

M&E and budgeting

The RIGHT RESULTS in MIND

(Sec. 3.4.3, NBM No. 123, Jan. 2015)



M&E and budgeting

Results Framework of DOH:

How results are going to happen? Monitored? Evaluated?

Organizational Outcomes (OO)



Performance Indicators (PI) and Targets

NHIP coverage rate of NHTS-PR indigent families
be sustained at 100%

Utilization rate of primary care benefit
increased by 75% by 2015

M&E and budgeting

Results Framework of DOH:

How results are going to happen? Monitored? Evaluated?

Major Final
Outputs (MFO)

#1

#2

#3

#4

Funding
Support
NHIP

Performance Indicators (PI)

Coverage rate
of indigents

% of DOH licensed
hospitals with
Philhealth engagement

Claims processing
turnaround time

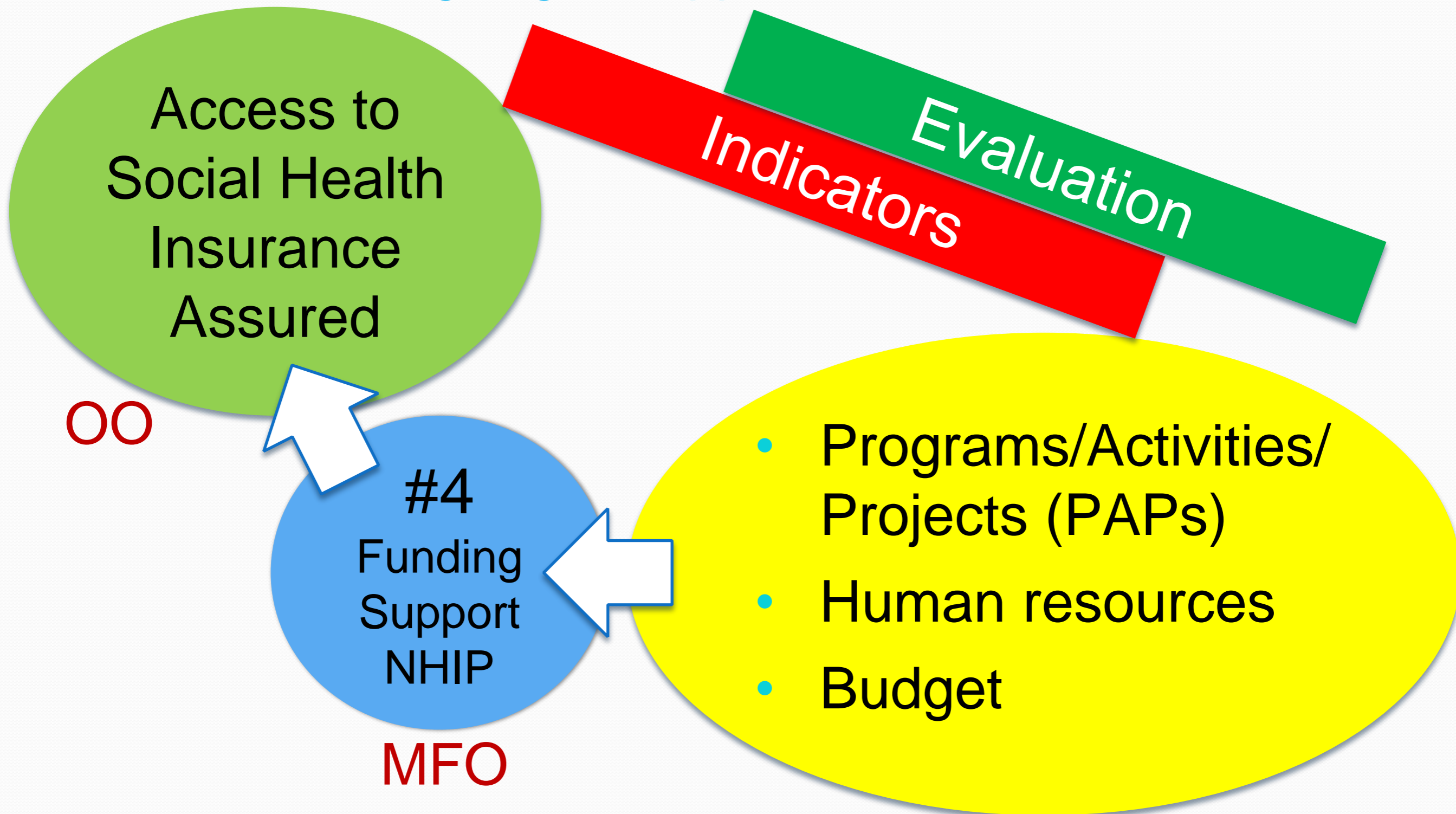
% of no balance billing on
sponsored claims

% of NHT poor
members assigned to
PCB provider

M&E and budgeting

Results Framework of DOH:

How results are going to happen? Monitored? Evaluated?



Budget for Results = Performance

Informed Budget

MFO

- Basic Education Services

Indicators

- Percent of children aged 5-11 enrolled in kinder and elementary education
- Percent of learners who scored average or better in national achievement test

PAP

- Demand generation
- Provision of learning and teaching materials
- Construction of additional classrooms
- Hiring of additional teachers, etc.

Desired Results and Budgetary Requirements

Baseline 2009	Progress 2012	Target 2016	Gap
Kinder: 48%	61% (1.3 m)	100% (2.3 m)	39% (0.9m)
Elem: 88%	95% (12.4 m)	100% (13.6 m)	5% (0.7 m)
	2014 GAA (Approved)		2016 Budget Requirement
Budget	258.4B		TBD

Budget for Results = Performance

Informed Budget

Budget integrity		Budget		
		Underspent	Fully utilized	Augmented
MFO	Unsatisfactory	Low results, Underspending	Low results, Full spending	Low results, Overspending
	Satisfactory	Adequate results, Underspending due to poor resource planning	Adequate results, Full spending	Adequate results, Overspending due to poor resource planning
		Adequate results, Underspending due to innovations = savings		
	Very satisfactory	Better-than-expected results, Underspending due to poor resource planning	Better-than-expected results, Full spending	Better-than-expected results, Overspending due to poor resource planning
		Better-than-expected results, Underspending due to innovations; generated		

Performance Budgeting

Initial and Future M&E Policies of DBM

- Sec. 3.4.4., NBM No. 123, Jan.28, 2015 or Budget Call:

“Each new program and project proposed for funding will be supported not only with project profile but also complemented with a **credible M&E plan** and **robust baseline information or statistics**, with out which, budget allocation proposals will not be entertained.”

Performance Budgeting

Initial and Future M&E Policies of DBM

- **Sec. 3.4.3, of NBM No. 123:**

“However, to be able to implement the results-based management, oversight and implementing agencies will be provided with **capacity-building and technical support** together with a decision support system.”

- ✓ issuance of circulars on M&E policy and handbooks on M&E
- ✓ establishment/capacity strengthening of M&E units
- ✓ piloting in eight (8) departments.

Performance Budgeting

**Walang kuwento kung
walang kuwenta.**

**Walang kuwenta kung
walang kuwento.**

**THANK YOU
VERY MUCH!**

