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## Module 3: Building a Results-Based Monitoring and Evaluation System



### Introduction

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

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### Importance

- There are growing pressures in developing countries to improve performance of their public sectors
- Involves reform by tracking results of government or organizational actions over time
- Is a management tool

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### The Power of Measuring Results

- If you do not measure results, you cannot 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

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### Results-Based M&E:

- 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

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### Results-Based M&E: (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

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## Results-Based Monitoring

- Results-based monitoring (what we call “monitoring”) is a *continuous process* of collecting and analyzing information on key indicators, and *comparing actual results to expected results*

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## Results-Based Evaluation

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

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## Difference between Results-Based Monitoring and Results-Based Evaluation

- Monitoring: tracks movement of indicators towards the achievement of specific, predetermined targets
- Evaluation: takes a broader view, considering progress toward stated goals, the logic of the initiative, and its consequences
- Both are needed to better manage policies, programs, and projects

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## 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 and/or implementation processes

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## 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 and baseline
- ✓ 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

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## Brief Introduction to Theory of Change

- Theory of change is a representation of how a project, program or policy initiative is *expected* to lead to the outcomes and impacts. It also identifies the *underlying assumptions* being made with respect to how the change will occur.

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### Components of Theory of Change

- Inputs - financial, human, and material resources
- Activities - tasks undertaken
- Outputs - products and services
- Outcomes - behavioral changes
- Impacts - long term widespread improvement in society

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### Key Types of Monitoring

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### Performance Indicators

- A variable that tracks the changes in the development intervention or shows results relative to what was planned
- The cumulative evidence of a cluster of indicators is used to see if an initiative is making progress

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

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#### Step 1: Conducting a Readiness Assessment

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### What Is a Readiness Assessment?

- A systematic approach to determine the capacity and willingness of a government or organization to construct a results-based M&E system
  - The approach focuses on: presence or absence of champions, incentives, roles and responsibilities, organizational capacity, and barriers to getting started

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### 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 an M&E system?
  - Who will benefit from the system?
  - Who will not benefit?

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## Roles and Responsibilities

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

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## Organizational Capacity

- Assess current government *capacity with respect to*:
  - technical skills
  - managerial skills
  - existing data systems and their quality
  - technology available
  - fiscal resources available
  - institutional experience

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## Barriers to M&E

- Do any of the following present barriers to building an M&E system?
  - lack of fiscal resources
  - lack of political will
  - lack of a champion for the system
  - lack of an outcome-linked strategy ,or experience
- How do we confront these barriers?

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

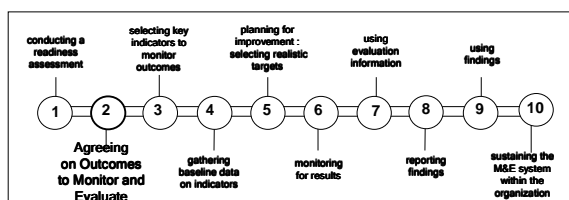
- Does a clear mandate exist for M&E at the national level?
- Are Poverty Reduction Strategy Papers, laws, and regulations in place?
- Is there the presence of strong leadership and support at the most senior levels of the government?
- How reliable is information that may be used for policy and management decision making?
- How involved is civil society as a partner with government in building and tracking performance information?
- Are there pockets of innovation that can serve as beginning practices or pilot programs?

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



## Why an Emphasis on Outcomes?

- Makes explicit the intended objectives of government action
- 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!
- ("Know where you are going before you get moving")

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## Issues to Consider for Generating Outcomes

- Are there stated national/sectoral goals?
- Have political promises been made that specify improved performance in a particular area?
- Do citizen polling data or citizen score cards indicate specific concerns?
- Is donor lending linked to specific goals?
- Is authorizing legislation present?
- Has the government made a serious commitment to achieving the MGDs?

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## Developing Outcomes for One Policy Area: Education

Outcomes: Indicators: Baselines: Targets:

1. Improved coverage of preschool programs
2. Improved primary school learning outcomes

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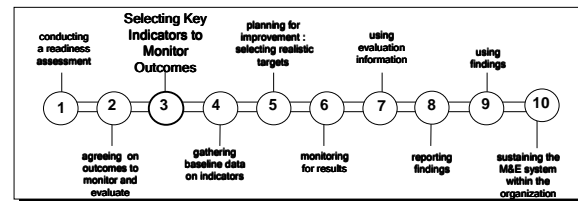
## Outcomes:

- 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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## IPDET Step 3: Selecting Key Indicators to Monitor Outcomes



## Results Indicator

- A specific variable, that when tracked systematically over time, indicates progress (or lack thereof) toward an outcome or impact
  - for new M&E systems, all indicators should be numerical
  - qualitative indicators can come later with mature M&E systems
- Indicators ask: How will we know success when we see it?

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## Indicator Development

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

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### Matrix for Building/Using Indicators

Indicator	Data source	Data collection method	Who will collect data	Frequency of data collection	Cost to collect data	Difficulty to collect	Who will analyze and report data	Who will use data
1.								
2.								
3.								
4.								

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

Outcomes: Indicators: Baselines: Targets:

1. Improved coverage of preschool programs

- 1. Percent of eligible urban children enrolled in preschool
- 2. Percent of eligible rural children enrolled in pre-school

2. Improved primary school learning outcomes

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

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### Developing Indicators

- Develop your own indicators to meet your needs
- Developing good indicators usually takes more than one try
- State all indicators neutrally - not "increase in..." or "decrease in..."
- Pilot, Pilot, and Pilot!

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### IPDET Step 4: Gathering Baseline Data on Indicators

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Step 4: Gathering Baseline Data on Indicators

1 conducting a readiness assessment

2 agreeing on outcomes to monitor and evaluate

3 selecting key indicators to monitor outcomes

4 Gathering Baseline Data on Indicators

5 planning for improvement: selecting realistic targets

6 monitoring for results

7 using evaluation information

8 reporting findings

9 using findings

10 sustaining the M&E system within the organization

### Baseline Data and Sources

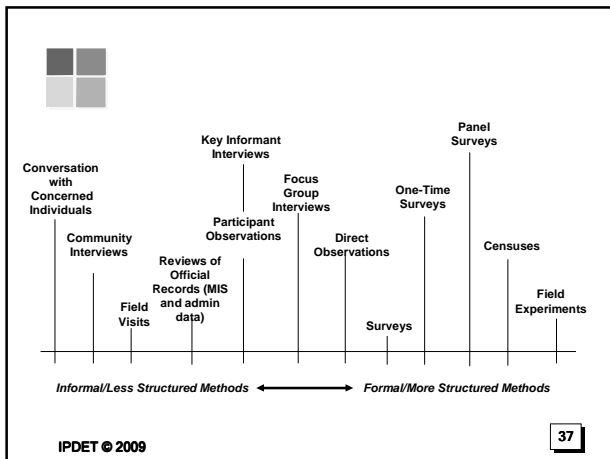
- Baseline data:
  - Measurements to find out - where are we today?
- Primary source:
  - gathered specifically for the project
- Secondary source:
  - collected for another purpose
  - can save money but be careful to ensure that it is truly the information you need

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### Possible Sources

- Written records (paper and electronic)
- Individuals involved with the intervention
- The general public
- Trained observers
- Mechanical measurements
- Geographical information system

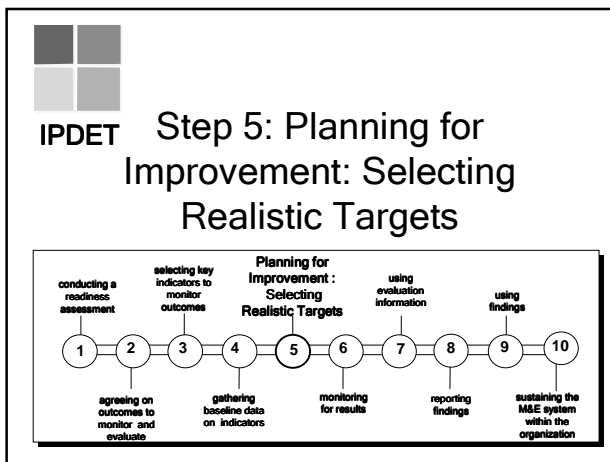
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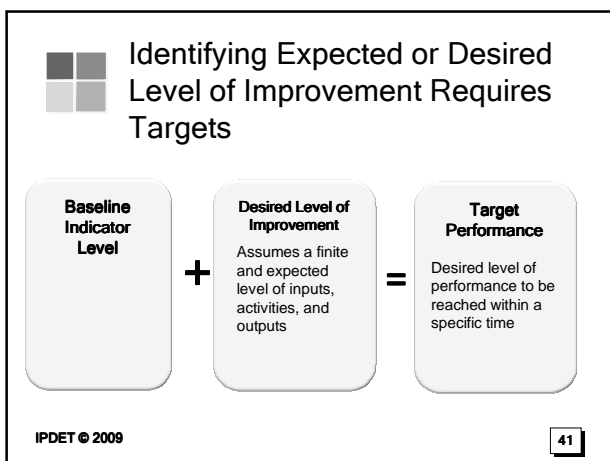
Continuing Example, Developing Baseline  
Data for One Policy Area: Education

Outcomes:	Indicators:	Baselines:	Targets:
1. Improved coverage of preschool programs	1. Percent of eligible urban children enrolled in preschool	1. 75 % in urban areas in 1999	
	2. Percent of eligible rural children enrolled in preschool	2. 40 % in rural areas in 2000	
2. Improved primary school learning outcomes	1. Percent of Grade 6 students scoring 70% or better on standardized math and science tests	1. In 2002, 47% of students scored 70% or better in math and 50% or better in science	
	2. Percent of Grade 6 students scoring higher on standardized math and science tests in comparison to baseline data	2. In 2002 mean score for Grade 6 students was 68% in math and 53% in science	

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- 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
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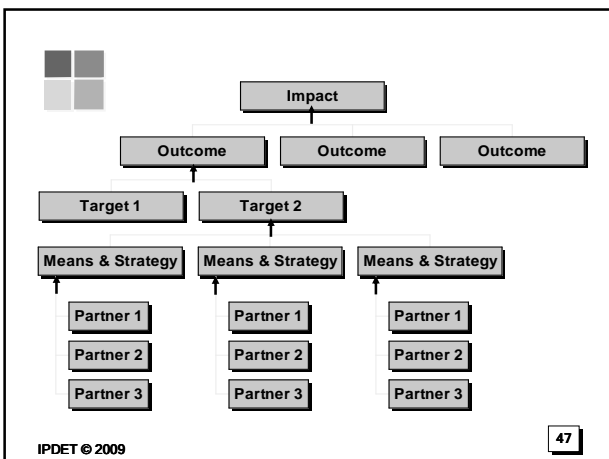
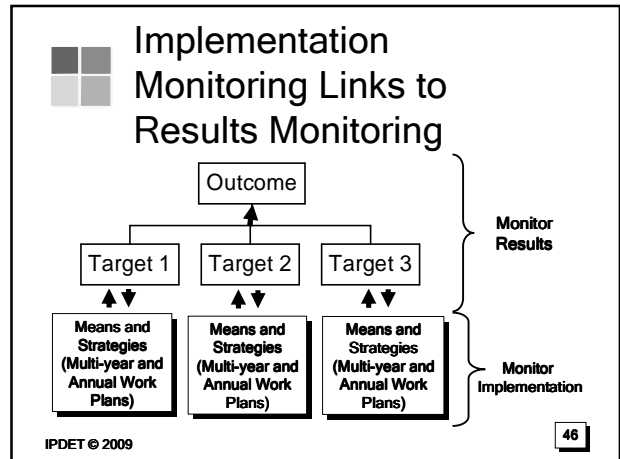
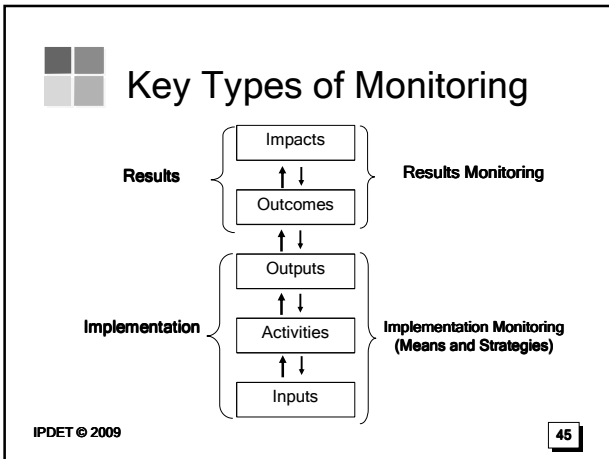
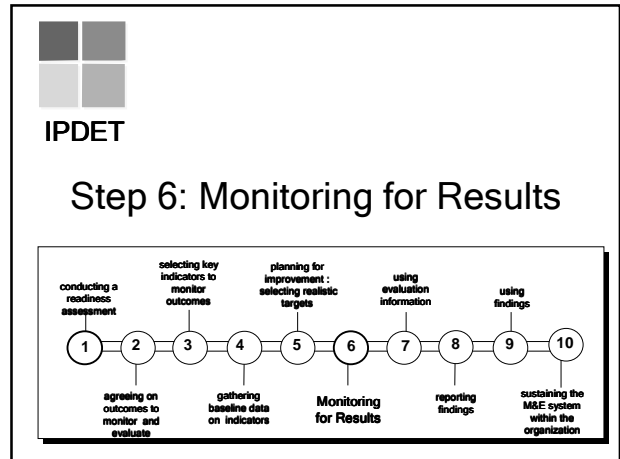


- Caution:
- It takes time to observe the effects of improvements, therefore:
    - Be realistic when setting targets
    - Avoid promising too much and thus programming yourself to fail
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**Continuing Example, Setting Performance Targets for One Policy Area: Education**


Outcomes:	Indicators:	Baselines:	Targets:
1. Improved coverage of preschool programs	1. Percent of eligible urban children enrolled in preschool	1. 75 % in urban areas in 1999	1. 85 % in urban areas by 2006
	2. Percent of eligible rural children enrolled in preschool	2. 40 % in rural areas in 2000	2. 60 % in rural areas by 2006
2. Improved primary school learning outcomes	1. Percent of Grade 6 students scoring 70% or better on standardized math and science tests	1. In 2002, 47% of students scored 70% or better in math and 50% or better in science	1. By 2006, 80% of students will score 70% or better in math 67 % will score 70% or better in science
	2. Percent of Grade 6 students scoring higher on standardized math and science tests in comparison to baseline data	2. In 2002 mean score for Grade 6 students was 68% in math and 53% in science	2. In 2006 mean test score will be 78% for math and 65% in science

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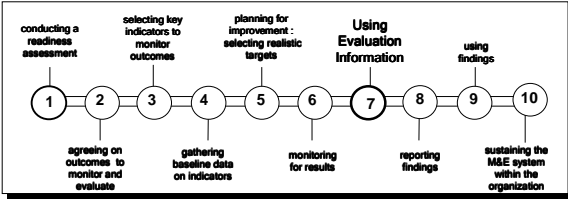
- Successful Monitoring Systems**
- To be successful, every monitoring system needs the following:
    - ownership
    - management
    - maintenance
    - credibility
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### Step 7: Using Evaluation Information



The diagram shows a 10-step process:

- conducting a readiness assessment
- agreeing on outcomes to monitor and evaluate
- selecting key indicators to monitor outcomes
- gathering baseline data on indicators
- planning for improvement: selecting realistic targets
- monitoring for results
- Using Evaluation Information**
- reporting findings
- using findings
- sustaining the M&E system within the organization



### 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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### Evaluation – When to Use?

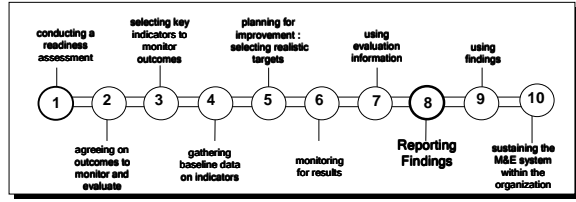
- Any time there is an unexpected result or performance outlier that requires further investigation
- When resource or budget allocations are being made across projects, programs, or policies
- When a decision is being made whether or not to expand a pilot
- When there is a long period with no improvement,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

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### Step 8: Reporting Findings



The diagram shows a 10-step process:


- conducting a readiness assessment
- agreeing on outcomes to monitor and evaluate
- selecting key indicators to monitor outcomes
- gathering baseline data on indicators
- planning for improvement: selecting realistic targets
- monitoring for results
- using evaluation information
- Reporting Findings**
- using findings
- sustaining the M&E system within the organization



### Reporting Findings

- Provides information on status of projects, programs, and policies
- Yields clues to problems
- Creates opportunities to consider changes
- Provides important information over time on trends and directions
- Helps confirm or challenge theory of change

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### When Analyzing and Presenting Data:

- Compare indicator data with the baseline and targets, and provide this information in an easy-to-understand visual display
- Compare current information with past data and look for patterns and trends
- Be careful about drawing sweeping conclusions based on small amounts of information. The more data points you have, the more certain you can be that trends are real

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## When Analyzing and Presenting Data: (cont.)

- Protect the messenger: people who deliver bad news should not be punished. Uncomfortable findings can indicate new trends or notify managers of problems early on, allowing them time needed to solve these problems

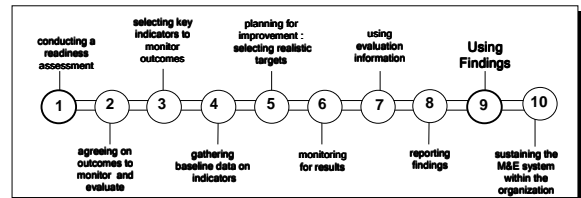
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## Step 9: Using Findings



## 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 legislative oversight
- Strengthen the office of the auditor general
- Share and compare results findings with development partners

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## 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

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## Ten Uses of Results Findings (cont.)

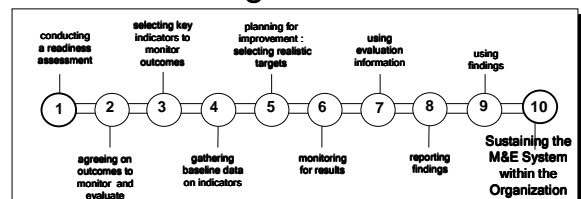
- Monitors the project or program performance against outcome targets
- Provides data for special, in-depth program evaluations
- Helps track services delivery against precise outcome targets
- Supports strategic and other long-term planning efforts
- Communicates with the public to build public trust

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## IPDET 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

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## Concluding Comments

- 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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## Concluding Comments (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

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## A Final Note....

*"We are what we repeatedly do.  
Excellence, then, is not an act, but a habit."*

-- Aristotle



**Questions?**

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