



Institute of Development Policy and Management



M&E in the context of the new aid instruments

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OVERVIEW OF PRESENTATION

I. PRSP and M&E (suivi & évaluation)

- Importance of M&E for PRSP
- Implications of PRSP on donors' and recipients' M&E

II. Reform agenda: actual status

III. Towards a solution: twin-track process approach

- Focus on the recipient's system: diagnosis and capacity building
- Parallel (joint) donor M&E processes





I. PRSP and M&E

➤ PRSP : catalyst for M&E

- Evidence-based approach and iterative learning
- Results-based management and budgeting
- Participatory ('downward accountability')

➤ PRSP: a challenging & intertwined reform agenda for donors and recipients (see Paris Declaration)

- Donors:
 - shifts in control and aid modalities (↓ micromanagement)
 - harmonisation and alignment
- Recipients:
 - establishment of results-oriented institutional apparatus





II. Reform agenda: actual status

➤ discussion of selected findings of recipient's systems (see table 1, annexes 1 and 2)

- general conclusion:
 - very fragmented approach towards M&E
 - major emphasis on some methodological issues ('indicatorism')
 - absence of overall policy (big picture)
 - no straightforward organisational & institutional translation
- low quality of APR (→ donor's behavior)





Table 1: M&E scores for 11 Sub-Saharan African countries

TOPICS	Weak (=1)	Partially satisfactory (=2)	Satisfactory (=3)	Excellent (=4)	Index [1-4]	Index rank
I. Policy						
1 The evaluation plan	3	6	2	0	1.91	13
2 M versus E	4	3	4	0	2.00	10
3 Autonomy & impartiality	6	4	1	0	1.55	19
4 Feedback	4	2	5	0	2.09	9
5 Alignment planning & budgeting	7	3	1	0	1.45	22
II. Methodology						
6 Selection of indicators	0	3	7	1	2.82	3
7 Selection criteria	2	1	4	4	2.91	2
8 Priority setting	2	5	3	1	2.27	6
9 Causality chain	3	8	0	0	1.73	16
10 Methodologies used	1	4	4	2	2.64	5
11 Data collection	3	3	4	1	2.27	6
III. Organization						
12 Coordination & oversight	5	3	2	1	1.91	13
13 Statistical Office	3	3	4	1	2.27	6
14 Line Ministries	1	9	1	0	2.00	10
15 Decentralized levels	5	6	0	0	1.55	19
16 Link with projects	7	4	0	0	1.36	23
IV. Capacity						
17 Problem acknowledged	0	2	7	2	3.00	1
18 Capacity building plan	0	5	4	2	2.73	4
V. Participation of actors outside government						
19 Parliament	7	1	3	0	1.64	17
20 Civil Society	4	3	4	0	2.00	10
21 Donors	5	6	0	0	1.55	19
VI. Quality						
22 Effective use of M&E in APR	5	5	1	0	1.64	17
23 Internal usage of APR	4	5	2	0	1.82	15





• **Focus on some interlinked issues:**

-Q2: monitoring versus evaluation (rank 10/23)

- . unbalanced emphasis on monitoring, silence on 'evaluation'
- . differences and linkages between both (+ institutional location): hardly touched upon

-Q.9: causality chain (rank 16/23)

- . >missing middle, linkages between different levels
- . absence of causal chain = absence of program theory → low 'evaluability', absence of analysis, problematic for accountability and for learning & feedback

-Q.22: effective use of M&E in progress reports (rank 17/23)

- . Improvement in identification of indicators, baselines, targets (from PRSP to APR)
- . Identification of changes: largely absent (no baselines at time of PRSP): improvement over time
- . Identification of impact (causal) analysis: problematic



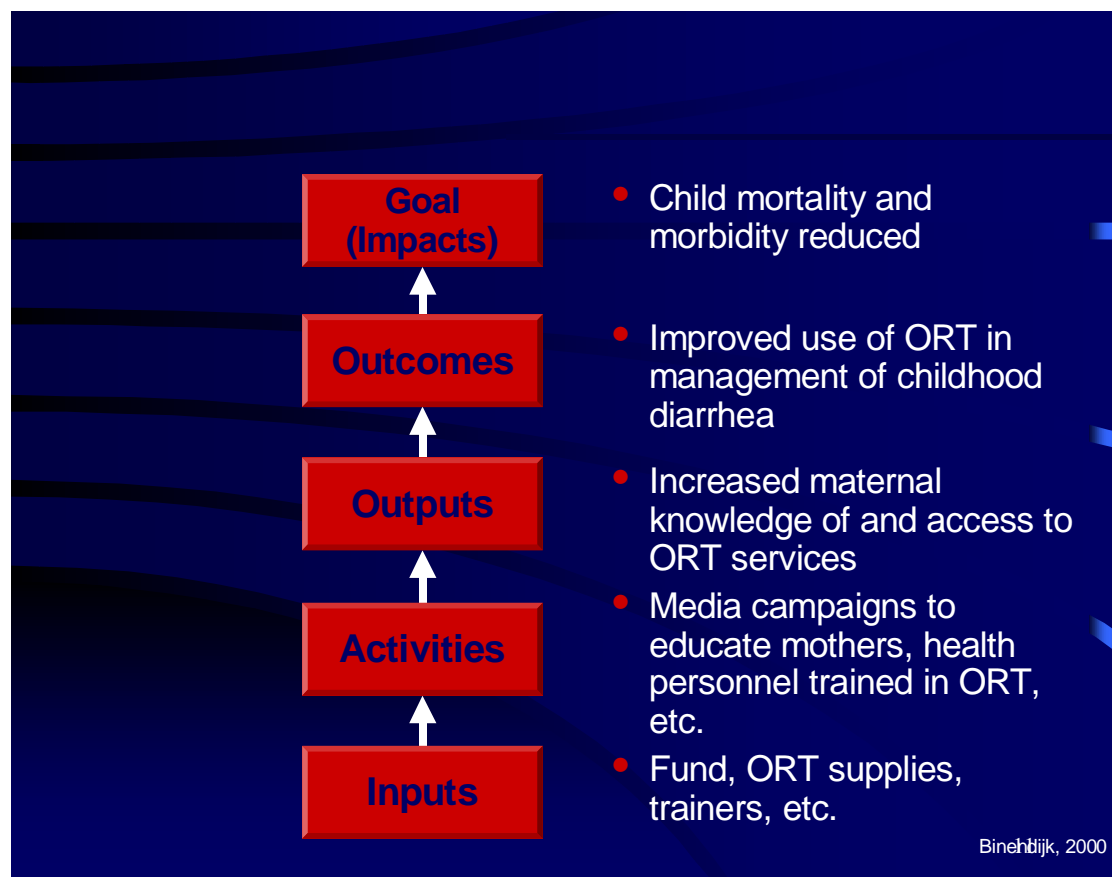
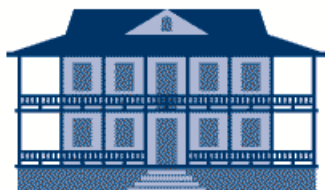


Illustration taken from a presentation by G. Rist





➤ **Donor's behavior (selected findings)**

- their role not explicitly addressed in PRSP & APR
- harmonisation & alignment of projects:
 - not addressed in PRSP & APR
 - OECD-DAC Survey: 30% through national apparatus (2004)
- Use of new aid modalities
 - huge differences among donors

BUT: all agree about the low quality of APR (no solution to the chicken and egg dilemma?)





III. TOWARDS A POSSIBLE SOLUTION: TWIN-TRACK PROCESS APPROACH

➤ step out of false dichotomy between unreserved alignment/donor-driven parallel and burdening processes → 'golden mean'



- A. focus on recipient-system: diagnosis and capacity-building
- B. parallel (joint) donor M&E processes





A. Focus on recipient system: diagnosis and capacity-building

➤ step 1: diagnosis

- no standard diagnosis form so far (↔ PFM)
- possible input based on selected donors and independent research (see annexes to note)
- aim:
 - diagnosis of base-line situation (assessment of risks → basis for B)
 - basis for step 2 (capacity-building)
 - as a criteria for choice of aid modality ?

➤ step 2: capacity-building

- coordinated with recipient and other donors
- identification of targets & actions
- monitoring of the M&E recipient system





B. Parallel (joint) donor M&E processes

➤ no blueprints (but different 'experiments', depending on quality of recipient M&E + own accountability needs)

- supplementary performance assessment arrangements (e.g. PAF)

-list of indicators, conditionalities: OUTPUTS

- 'joint (sector) review missions' and 'annual review meetings': accountability & feedback, involvement of national stakeholders

➤ suggestions

- emphasize three functions of M&E (accountability, learning & policy, management)

- joint donor (budget + non-budget)

-may foster integration of project M&E





- involvement of national actors (learning-by-doing, capacity-building):
different actors for different functions of M&E
 - involvement of government actors when learning, feedback is emphasized
 - involvement of non-government actors when accountability is emphasized
- JRM: strengthen + split up (because of other methodological and institutional needs)
 - accountability (reality checks):
 - . representative samples (extrapolation is necessary)
 - . independence, credibility (involvement of non-government actors)
 - learning, feedback (policy & management):
 - . focus on the exceptional, on the unexpected, experimental elements in interventions (no need for representative samples)
 - . involvement of implementing government





- LT (↑capacity of national government and non-government actors)
 - role of (joint)donors:
 - monitoring of quality of national M&E (both of government & non-government): updates of diagnosis (see A) + reality checks
 - impact evaluation (and dissemination of its results):
 - .demanding (financial and human resources)
 - .public goods character

- also need for (external) evaluation of new aid instruments: led by independent actors (with involvement of 'implementing agencies')
 - process evaluation (effectiveness of implementation)
 - impact evaluation (are the underlying causal assumptions and program theory valid?)





ANNEX 1

The questionnaire used for the desk study

Topics	Question
I. Policy	
1 The evaluation plan	Is there a comprehensive evaluation plan, indicating what to evaluate, why, how, for whom?
2 M versus E	Is the difference and the relationship between M and E clearly spelled out?
3 Autonomy & impartiality (accountability)	Is the need for autonomy and impartiality explicitly mentioned? Does the M&E plan allow for tough issues to be analysed? Is there an independent budget?
4 Feedback	Is there an explicit and consistent approach to reporting, dissemination, integration?
5 Alignment planning & budgeting	Is there integration of M&E results in planning and budgeting?
II. Methodology	
6 Selection of indicators	Is it clear what to monitor and evaluate? Is there a list of indicators?
7 Selection criteria	Are the criteria for the selection of indicators clear? And who selects?
8 Priority setting	Is the need acknowledged to set priorities and limit the number of indicators to be monitored?
9 Causality chain	Are different levels of indicators (input-output-outcome-impact) explicitly linked (program theory)? (vertical logic)
10 Methodologies used	Is it clear how to monitor and evaluate? Are methodologies well identified and mutually integrated?
11 Data collection	Are sources of data collection clearly identified? Are indicators linked to sources of data collection? (horizontal logic)
III. Organization	
12 Coordination & oversight	Is there an appropriate institutional structure for coordination, support, central oversight, and feedback? With different stakeholders?





13 Statistical Office	Are surveys, censuses etc streamlined into M&E needs? Is the role of the statistical office in M&E clear?
14 Line Ministries	Are there M&E units in line ministries and semi-governmental institutions (parastatals), and are these properly relayed to central unit?
15 Decentralised levels	Are there M&E units at decentralised levels and are these properly relayed to central unit?
16 Link with projects	Is there any effort to relay with/coordinate with donor M&E mechanisms for projects?
IV. Capacity	
17 Problem acknowledged	Are current weaknesses in the system identified?
18 Capacity building plan	Are there plans for remediation? Do these include training, appropriate salaries, etc.
V. Participation of actors outside government	
19 Parliament	Is the role of Parliament properly recognised, and is there alignment with Parliamentary control and oversight procedures?
20 Civil Society	Is the role of civil society recognised? Are there clear procedures for the participation of civil society? Is the participation institutionally arranged or rather ad-hoc?
21 Donors	Is the role of donors recognised? Are there clear procedures for participation of donors?
VI. Quality	
22 Effective use of M&E in APR	Is there a presentation of relevant M&E results? Are results compared to targets? Is there an analysis of discrepancies?
23 Internal usage of APR	Is the APR also used for internal purposes? Is it an instrument of national policy-making and/or policy-influencing and advocacy?





Annex 2: Average M&E scores of 11 Sub-Saharan African countries

	weak	partially satisfactory	satisfactory	excellent	index (1-4)
Uganda	0	7	14	2	2,78
Tanzania	3	7	9	4	2,61
Ghana	2	12	8	1	2,35
Mozambique	4	9	10	0	2,26
Ethiopia	6	9	5	3	2,22
Malawi	4	13	4	2	2,17
Zambia	7	11	5	0	1,91
Mali	12	7	1	3	1,78
Burkina					
Faso	11	8	4	0	1,70
Mauritania	15	6	2	0	1,43
Niger	16	6	1	0	1,35

