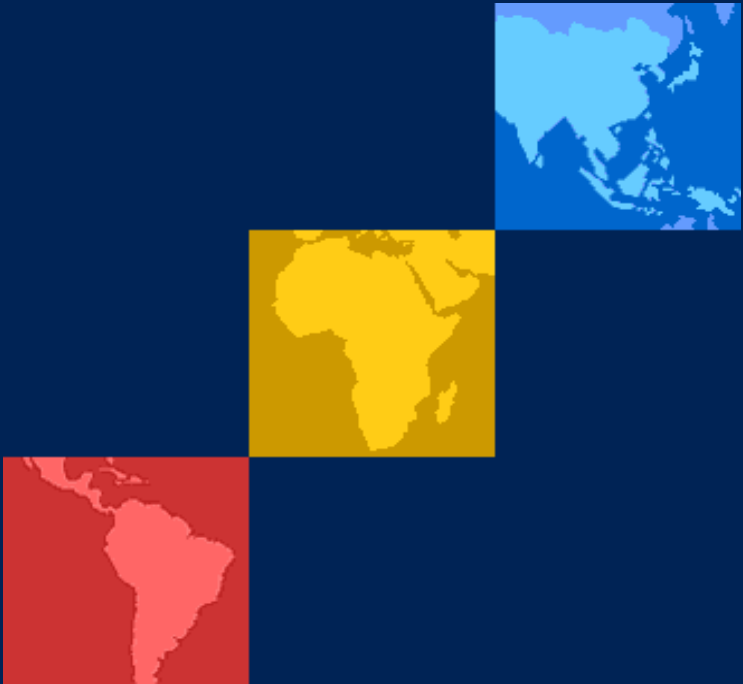




The Implementation of the Paris Declaration on Aid Effectiveness: Where do we stand and how to move forward?

EADI-IOB Seminar
Brussels, 15th – 16th April 2010



Monitoring and Evaluation in the context of changing aid modalities: importance, challenges and moving forward

Nathalie HOLVOET
IOB University of Antwerp

Overview

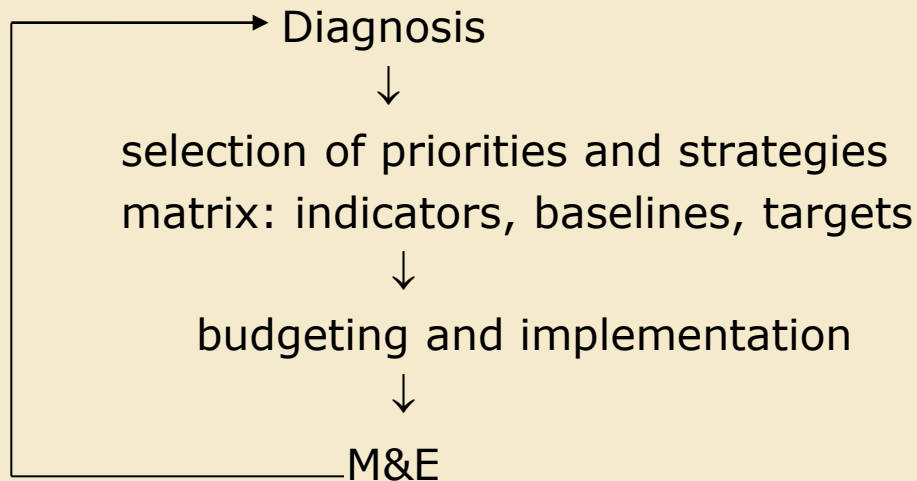
1. Importance of M&E in context of new aid modalities
2. Reform agenda for donors and recipients
3. Recipients' reform agenda: progress on the ground
4. Donors' reform agenda: progress on the ground
5. Which way forward?
 - 5.1. Set-up, maturing of recipient M&E system
 - 5.2. Complementary joint M&E
6. References

1. M&E: a necessary ingredient for the new aid modalities

- Two basic functions of M&E: *accountability* and *feedback*
- both necessary for effectiveness and sustainability of new aid modalities
 - ↓ implicit in basic principles
- Evidence-based approach and iterative learning
- Results-based management and budgeting
- Participatory ('downward accountability')

Evidence-based and iterative

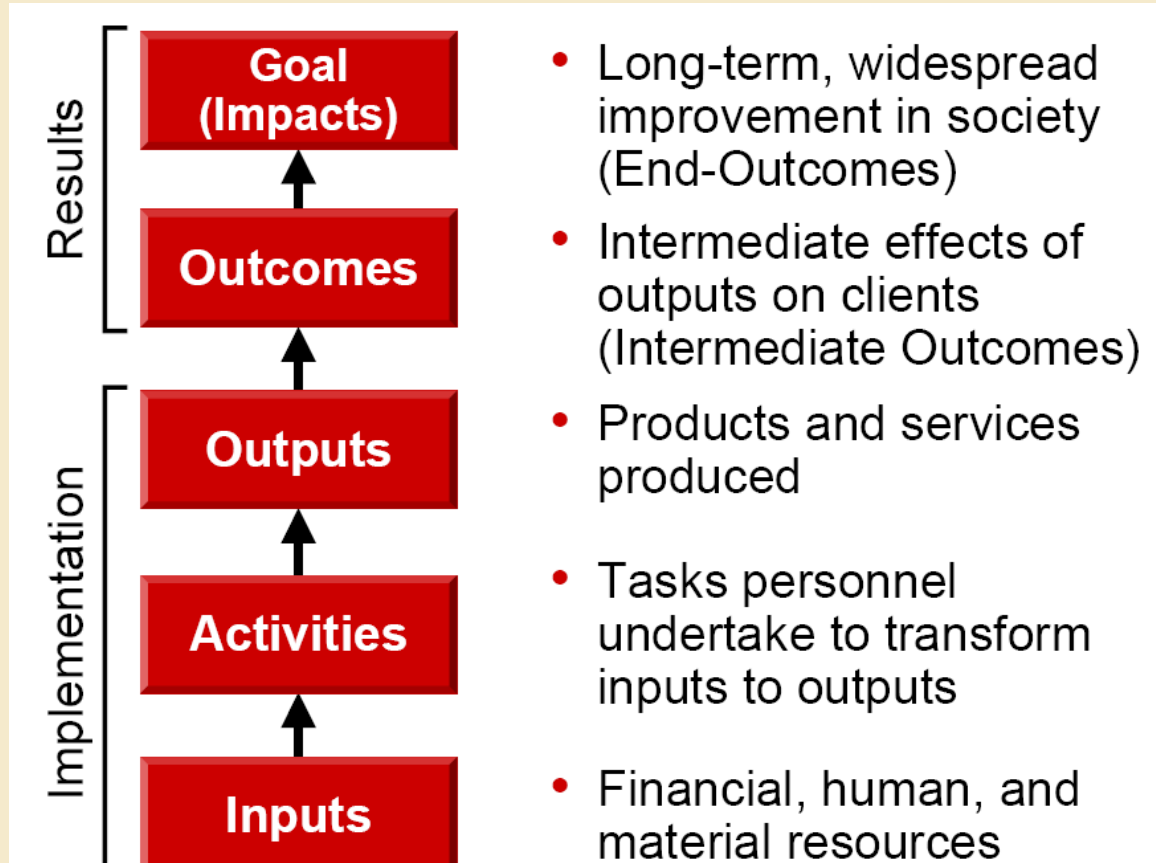
- see conceptualisation of PRSP in different phases



- Learning, iterative approach
 - Within one PRSP: adjustment through APR
 - From one PRSP to another
- Criticism: 'politics' of M&E

Results-orientation

Implementation
and results M&E



Source: Binnendijk (2000) geciteerd in World Bank Group. *International Program for Development Evaluation Training* (slide nr. 12 in Module 11).

Results-orientation (cont.)

➤ Millennium Development Goals

- Goals (8)
- Indicators (48)
- Targets (18)

Millennium Development Goals (MDGs)	
Goals and Targets (from the Millennium Declaration)	Indicators for monitoring progress
Goal 1: Eradicate extreme poverty and hunger	
Target 1: Halve, between 1990 and 2015, the proportion of people whose income is less than one dollar a day	<ol style="list-style-type: none"> 1. Proportion of population below \$1 (PPP) per day 2. Poverty gap ratio [incidence x depth of poverty] 3. Share of poorest quintile in national consumption
Target 2: Halve, between 1990 and 2015, the proportion of people who suffer from hunger	<ol style="list-style-type: none"> 4. Prevalence of underweight children under-five years of age 5. Proportion of population below minimum level of dietary energy consumption

Results-orientation (cont.)

➤ Managing for Development Results (see www.mfDR.org)

- Conference 'Financing for Development' (Monterrey)
- Different Round Tables (Washington, Marrakech + Hanoi, Ghana)
- Paris Declaration (see OESO-DAC, 2005)

✓ Itself an example of 'results-orientation'

✓ See indicator 11: *"results-oriented frameworks"*

+ Target for 2010: *"Reduce the proportion of countries without transparent and monitorable performance assessment frameworks by one-third"*

Results-orientation (cont.)

- Focus on two extremes → 'missing middle'
- Strict results-orientation:
 - manage for results → manage 'by' result
 - 'undeliberate' allocation to 'easy' countries and 'easy' sectors

2. Reform Agenda (see Paris Declaration + Accra)

Donors

- **Harmonisation**
→ coordination, rationalisation, exchange of information
- **Alignment**
→ Rely upon and use recipient's M&E

Recipients

- **Establish results-oriented M&E system (see indicator 11)**



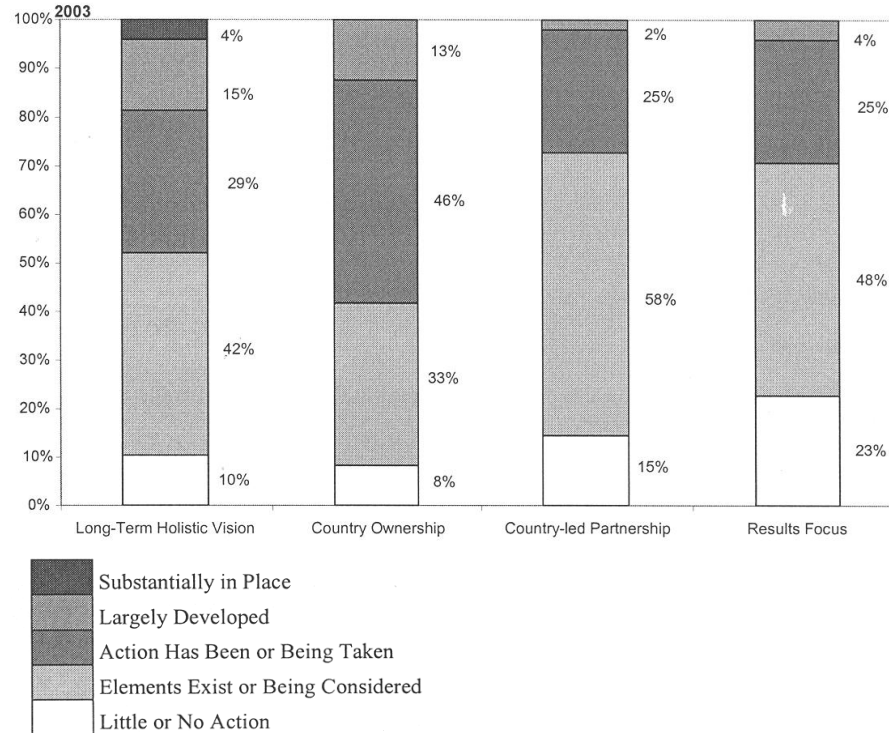
Reform agendas are interdependent
(chicken-and-egg dilemma)

Rationale M&E Harmonisation + Alignment

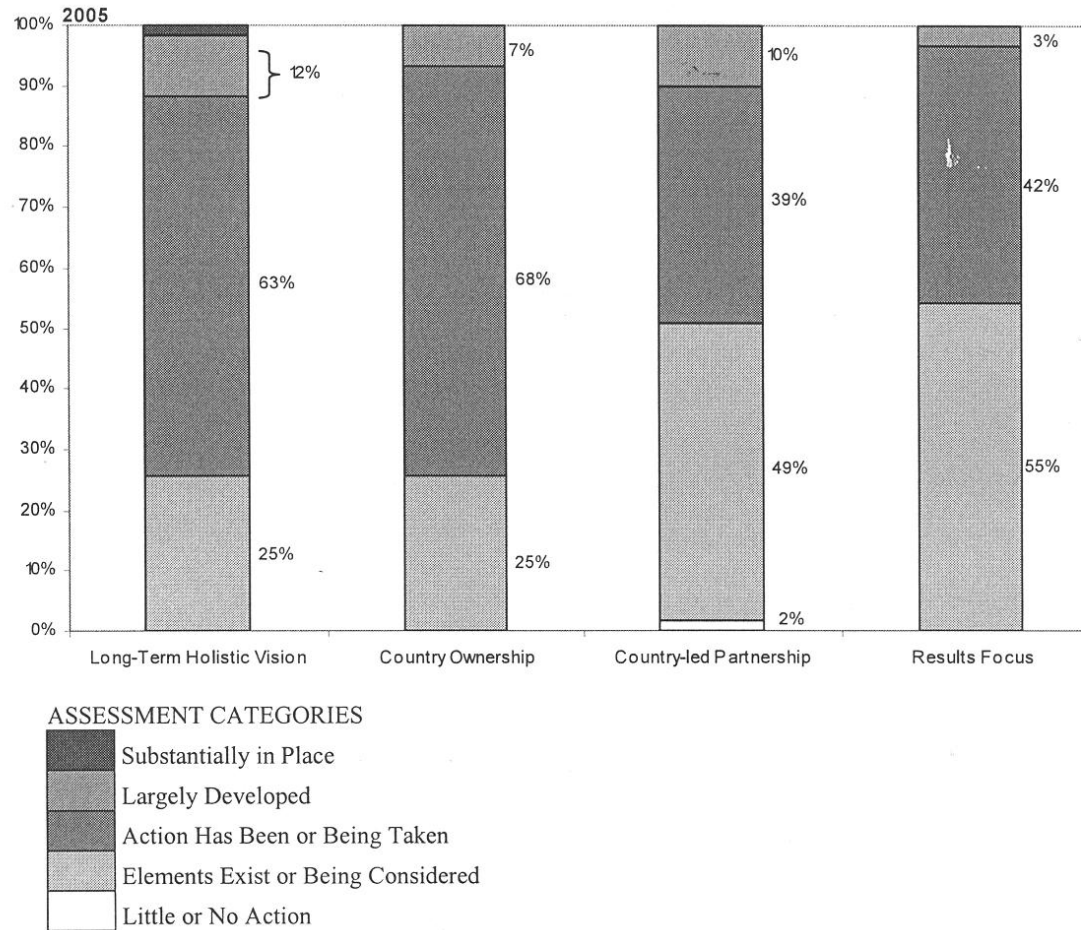
- Isolated donor M&E:
 - Huge transaction costs
 - 'learning' deficit
 - ✓ Too little impact evaluation (public goods argument, see [CGD, 2005](#))
 - ✓ Too little exchange (substance + methodology)
 - useless in context of new aid modalities
 - ✓ Attribution problem
 - ✓ Undermining of recipient's M&E strengthening

3. Recipients' reform agenda: progress on the ground

Figure 1: CDF implementation progress 2003 and 2005
(Percent of observations falling within each assessment category)

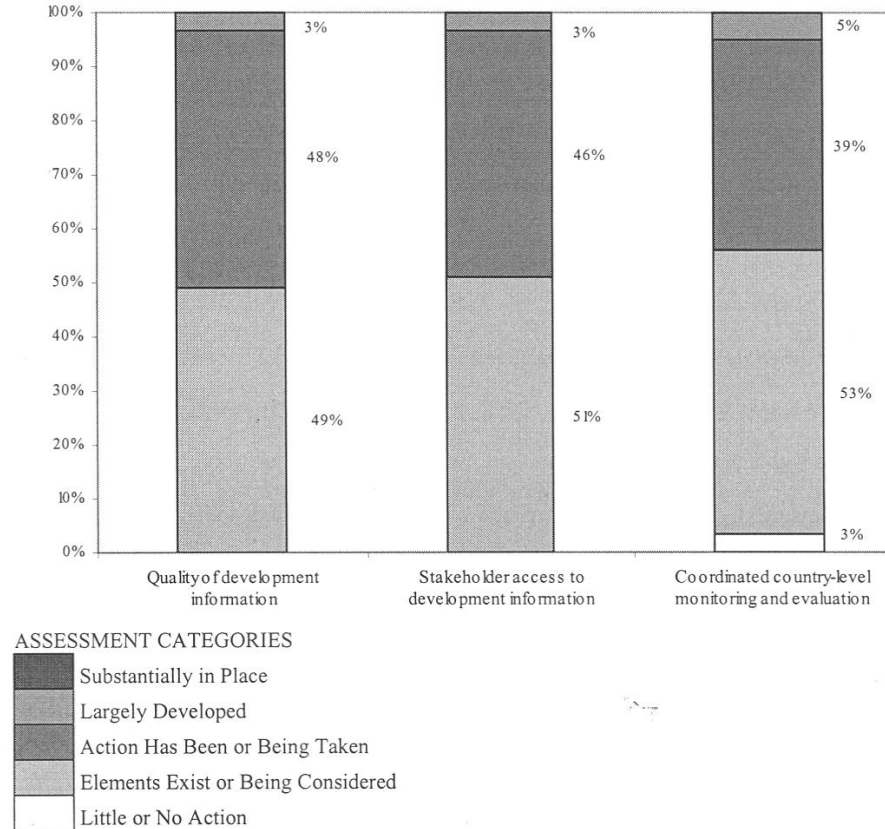


Source: World Bank (2005). *Enabling Country Capacity to Achieve Results*, p. 41



Source: World Bank (2005). *Enabling Country Capacity to Achieve Results*, p. 41

Figure 6: Results focus
(Percent of countries falling within each assessment category)



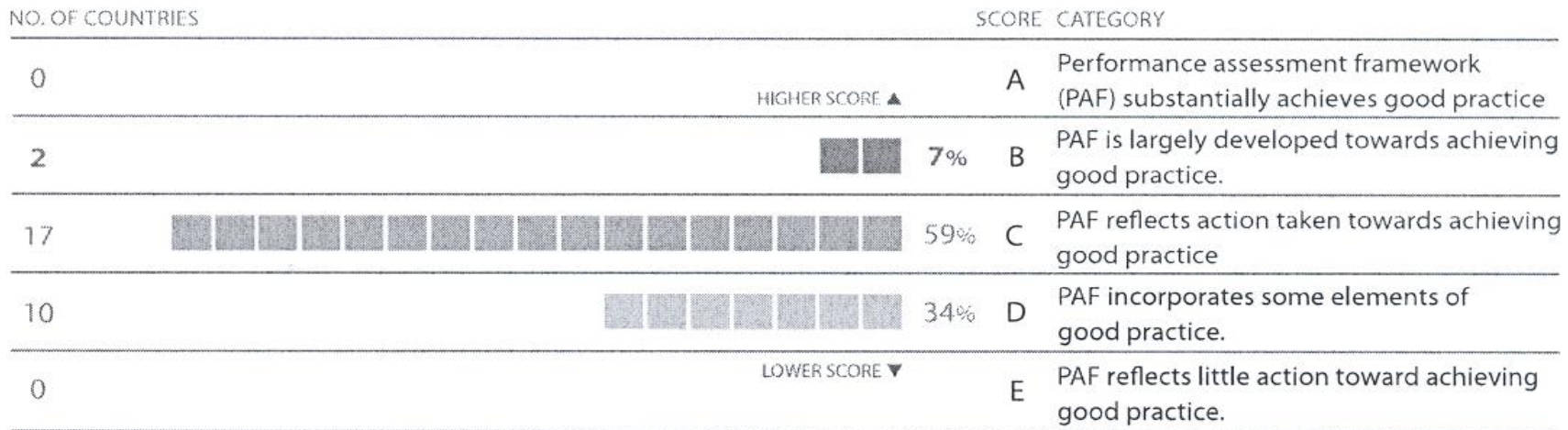
Source: World Bank (2005). *Enabling Country Capacity to Achieve Results*, p. 69

TABLE 3.1: BASELINE VALUES FOR THE 12 INDICATORS AGREED IN PARIS

Indicators	2005 Global Baseline ^a	2010 Global Target	For Reference: Avg. country ratios ^b
1 Ownership – Operational PRS	17% of countries meet criteria	At least 75%	--
2a Quality of PFM systems	31% of countries meet criteria	Half of partner countries increase their scores	
2b Quality of procurement systems	Not available yet	One third of partner countries increase their scores	
3 Aid reported on budget	88%	94%	42%
4 Co-ordinated capacity development	48%	50%	42%
5a Use of country PFM systems	40%	[80%] ^c	33%
5b Use of country procurement systems	39%	[80%] ^d	38%
6 Parallel PIUs	1 832	611	61 per country
7 In-year predictability	70%	87%	41%
8 Untied aid	75%	Progress over time	82%
9 Use of programme-based approaches	43%	66%	35%
10a Co-ordinated missions	18%	40%	29%
10b Co-ordinated country analytical work	42%	66%	52%
11 Sound performance assessment framework	7% of countries meet criteria	38%	--
12 Reviews of mutual accountability	38% of countries meet criteria	100%	--

Source: OECD(DAC) (2007)

Quality of country performance assessment frameworks



Source: World Bank CDF Progress Report for 2005.

INDICATOR 11

CHART 1.15:
Do countries have monitorable performance-assessment frameworks?

Source: OECD (DAC) (2007)

3. Recipients' reform agenda: progress on the ground

➤ Input from desk study (see **Holvoet and Renard, 2007a**)

- **Aim:** stocktaking and assessment of different aspects of recipient M&E 'systems'
- **Methodology:**
 - .*desk study*
 - .*data source:* (for all countries =) official PRSP documents: PRSP, annual progress report (JSA of PRSP and JSA of annual progress reports)
 - .*sample* of 11 countries: SSA + at least one progress report
 - .*questionnaire:* 23 questions regrouped under 6 dimensions (policy, methodology, organisation, capacity, participation of non-state actors, quality)
 - .*four point scoring system:* weak (=1), partially satisfactory (=2), satisfactory (=3), excellent (=4)
 - .*calculation* of average index for each of 23 questions + ranking
 - .*calculation* of index for 11 countries + ranking

TOPICS	Weak	Partially satisfactory	Satisfactory	Excellent	Index	Index rank
	(=1)	(=2)	(=3)	(=4)	[1-4]	
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

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?

• desk study: selected findings

A. POLICY

- ❑ in general overall policy ('grand design') indicating what to evaluate, why, for whom, importance attached to various basic principles (impartiality, credibility, autonomy, utility, feedback, ...) is lacking

Q.2. *monitoring versus evaluation* (2.00, rank 10/23)

- ✓ conflation of twin notions of M&E
- ✓ unbalanced emphasis on monitoring, silence on 'evaluation' (linked with Q.9, Q. 22)
- ✓ differences and linkages between both & institutional implications: hardly touched upon

• desk study: selected findings (cont.)

A. POLICY

Q.3. *autonomy and impartiality* (1.55, 19/23)

- ✓ neglected issue (problematic for 'accountability')
- ✓ not much attention for **independent** monitoring of outside government actors (demand side)
- ✓ no discussion about trade-off between autonomy and feedback & institutional implications

Q.4. *feedback* (2.09, 9/23)

- ✓ emphasis on reporting and information dissemination
- ✓ effective integration of M&E results: mostly problematic

Q.5. *alignment with planning and budgeting* (1.45, 22/23)

- ✓ almost nowhere satisfactory (exception Mozambique)
- ✓ in more than half of countries: no institutional mechanism established

- **desk study: selected findings (cont.)**

B. METHODOLOGY

- ❑ in general: best elaborated section (often even exclusive focus on methodology, but in fragmented way, particularly 'indicators, targets and baselines')
- ❑ improvement over time for some issues (selection of indicators, selection criteria, priority setting) + better in SWAP sectors
- ❑ some issues are and remain problematic

Q.9. Causality chain (1.73, rank 16/23)

- ✓ >missing middle, linkages between different levels
- ✓ some indicate the need to link different levels of indicators, none has really done it
- ✓ absence of causal chain = absence of program theory (process and impact theory) → low 'evaluability', absence of analysis, no identification of critical policy ingredients (see also quality, Q.22)

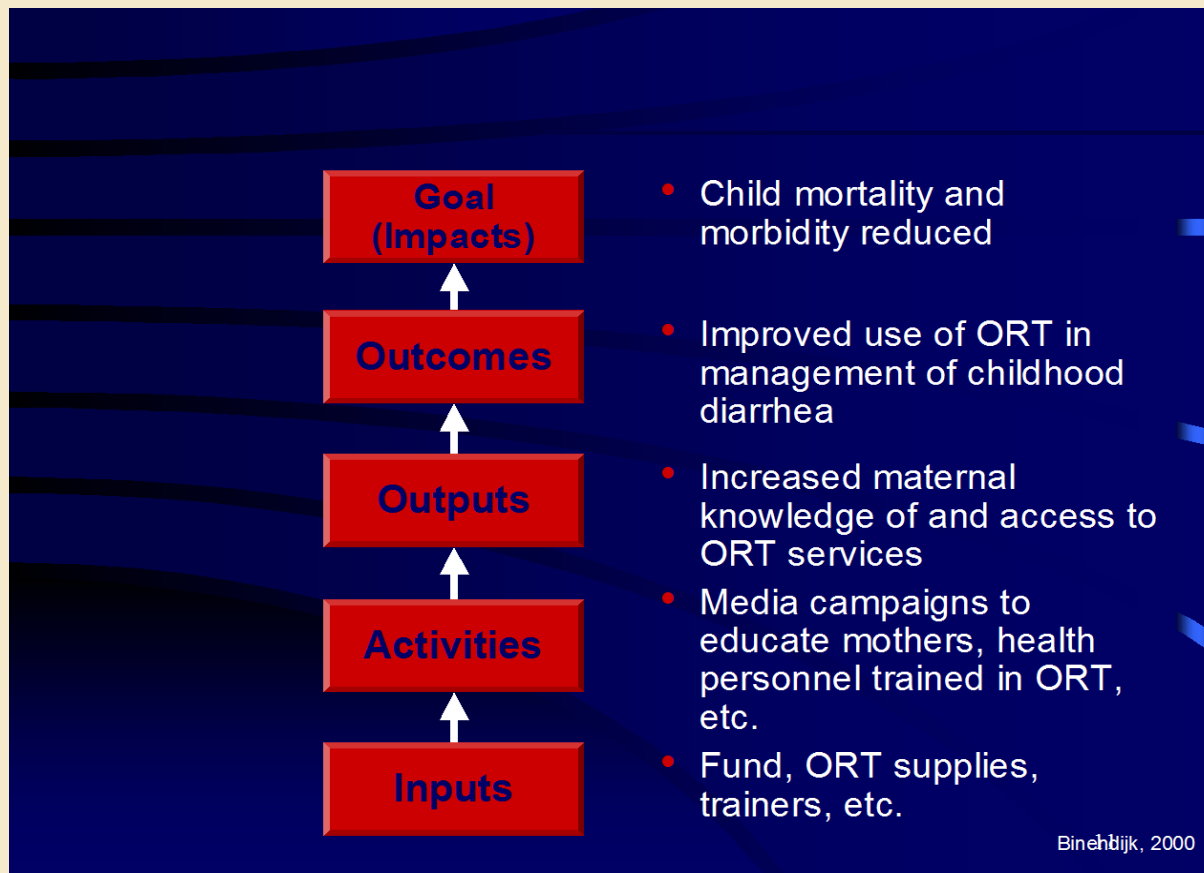


Illustration taken from a presentation by G. Rist

• desk study: selected findings (cont.)

C. ORGANISATION

- coordination and oversight: essential (complexity) but not properly addressed + moving location (= earlier evidence)
- alignment and coordination between pre-existing structures (at line ministry and decentralised level) and new M&E: mostly not touched upon
- line ministry & decentralised M&E: focus on 'low quality' but neglect of horizontal & vertical integration

Q. 16: link with projects (donor M&E mechanisms) (1.36, 23/23) (see also Q. 21)

- ✓ Issue of harmonisation and alignment in M&E: neglected in PRSP (in spite of some broad references)
- ✓ **Remark: maybe PRSP not the best source of documentation on donor harmonisation and alignment (PRSP: more on recipient's efforts), donors do efforts on harmonisation and alignment, but as integration of PRSP M&E with parallel donor M&E is crucial, need to document efforts also in PRSP**

• desk study: selected findings (cont.)

D. CAPACITY

Q. 17. *Problems acknowledged* (3.00, 1/23)

- ✓ more regarding human and financial resources, less on institutional capacity

Q. 18. *Capacity building plan* (2.73, 4/23)

- ✓ Relatively well elaborated, sometimes rich details

E. PARTICIPATION OF ACTORS OUTSIDE GOVERNMENT

✓ *participation by civil society* (2.00, 10/23)

gets more attention than

✓ *participation by parliament* (1.64, 17/23)

✓ *participation by donors* (1.55, 19/23)

minor attention in M&E section → influence is exerted in parallel and informal ways

• desk study: selected findings (cont.)

F. QUALITY

Q. 22. Effective use of M&E in progress reports (APR) (1.64, 17/23)

- ✓ improvement in identification of indicators, baselines, targets (from PRSP to APR)
- ✓ identification of changes: largely absent in first APR (no baselines at time of PRSP), improvement over time
- ✓ identification of impact (& causal analysis): problematic (see also Q.6)

Q. 23. Internal usage of APR (linked to Q. 4 and 5) (1.82, 15/23)

- ✓ APR: more used as an instrument of external accountability than internal accountability

- **desk study: conclusions**

- PRSP: catalyst for change but ...
too many challenges at once?

Respecting PRSP philosophy → M&E system that is able to cope with following demands:

- Multi-stakeholder
- Multi-purpose
- Multi-method
- Multi-layer
- Multi-criteria

⇒ difficult for any M&E system, unrealistic demands on infant M&E systems

⇒ lowers the probability of effective movement to new aid instruments

⇒ minimalist approach (basic quality standards) + focus on PROGRESS in M&E (incremental approach)

⇒ + more attention needed for DONORS EFFORTS (harmonisation, alignment, effective investment in M&E?)

4. Donors' reform agenda: progress on the ground

➤ Role of donors: not explicitly addressed in PRSPs, sector programmes and APR

BUT influence is obvious: see parallelism among their predilections and evolutions on the ground:

- focus on PFM & final outcomes (MDG)
- data collection (statistical offices)

➤ Progress regarding Harmonisation and Alignment of projects: low

- M&E: about 30% through recipient apparatus (see OECD-DAC, SPA surveys and Paris Declaration Monitoring)
- Not clear to what extent information from donor M&E exercises feeds into recipient M&E

➤ application of new aid modalities: major differences among donors

- all agree on the low quality of APR (see OECD-DAC survey, SPA survey)

BUT in general:

- 'progressive' versus 'conservative'

- ✓ Parallellism

- ✓ 'Naïve' alignment

- ❖ no use of comprehensive (ex-ante) diagnostic tools

- ❖ fragmentary M&E assessments: statistical data quality + PFM

- ❖ overly 'technocratic' approach

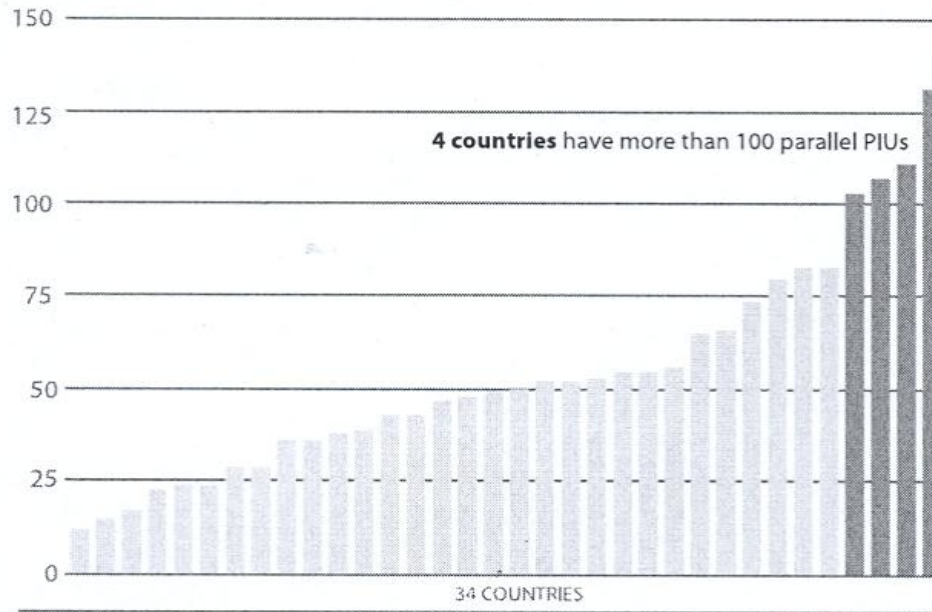
⇒ need for intermediate approaches

4. Donors' reform agenda: progress on the ground

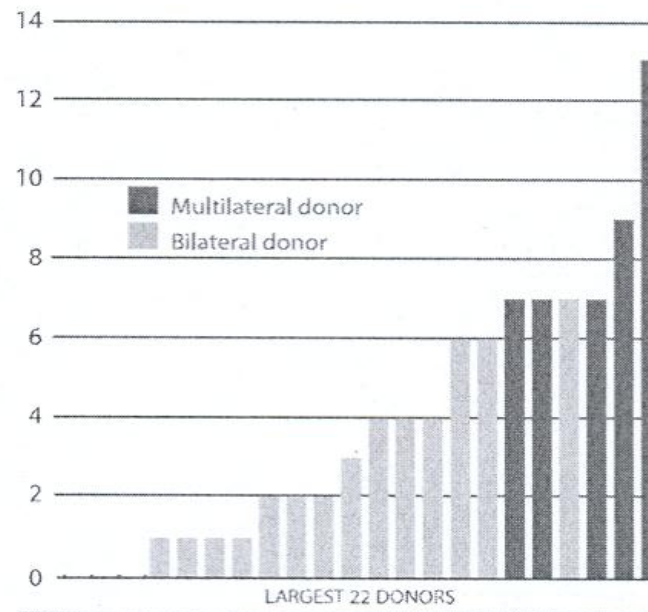
Use of recipient's systems	% yes
Procurement	34%
Disbursement	32%
Reporting	30%
M&E	28%
Audit	28%

Source: OESO/DAC (2005). *Survey on Harmonisation and Alignment*, p. 19

Number of parallel PIUs
Country-by-country



Average number of parallel PIUs per country
Donor-by-donor

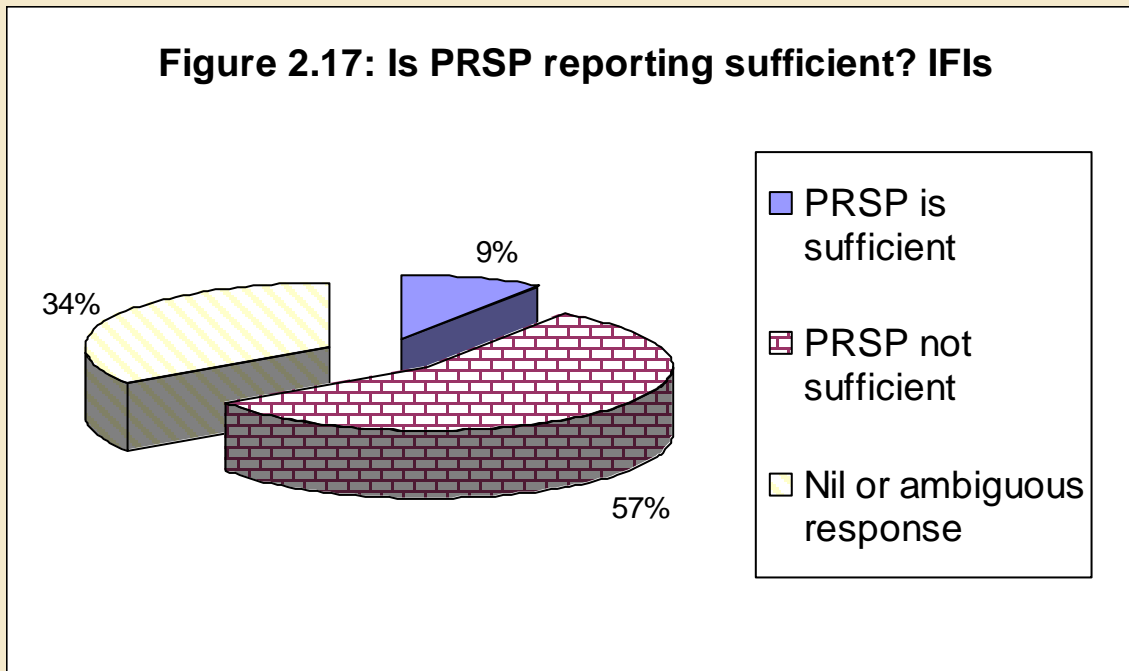


INDICATOR 6

CHART 1.8:
How many
PIUs are parallel
to country
structures?

Source: OECD (DAC) (2007)

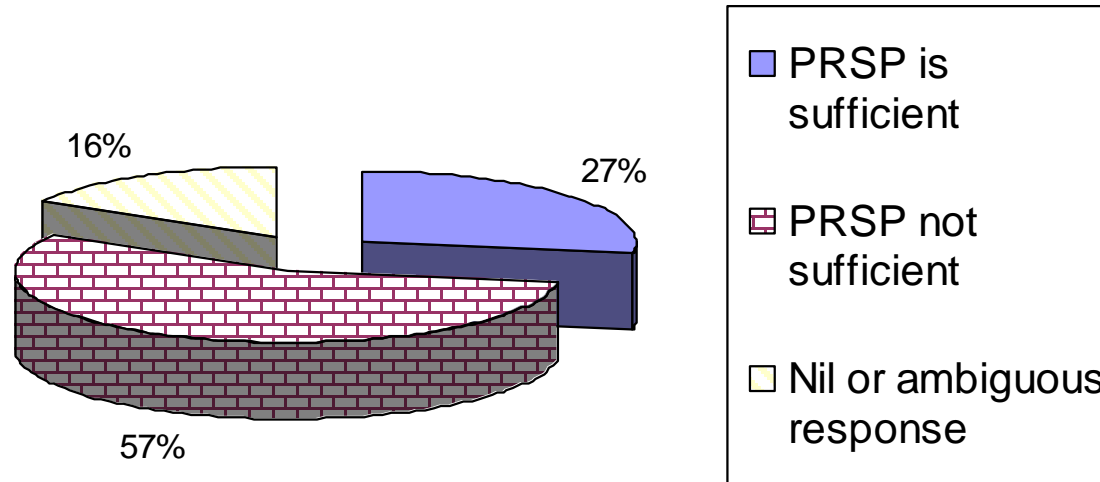
Figure 2.17: Is PRSP reporting sufficient? IFIs



Source: SPA (2005). *SPA Budget Support Alignment Survey*, p.

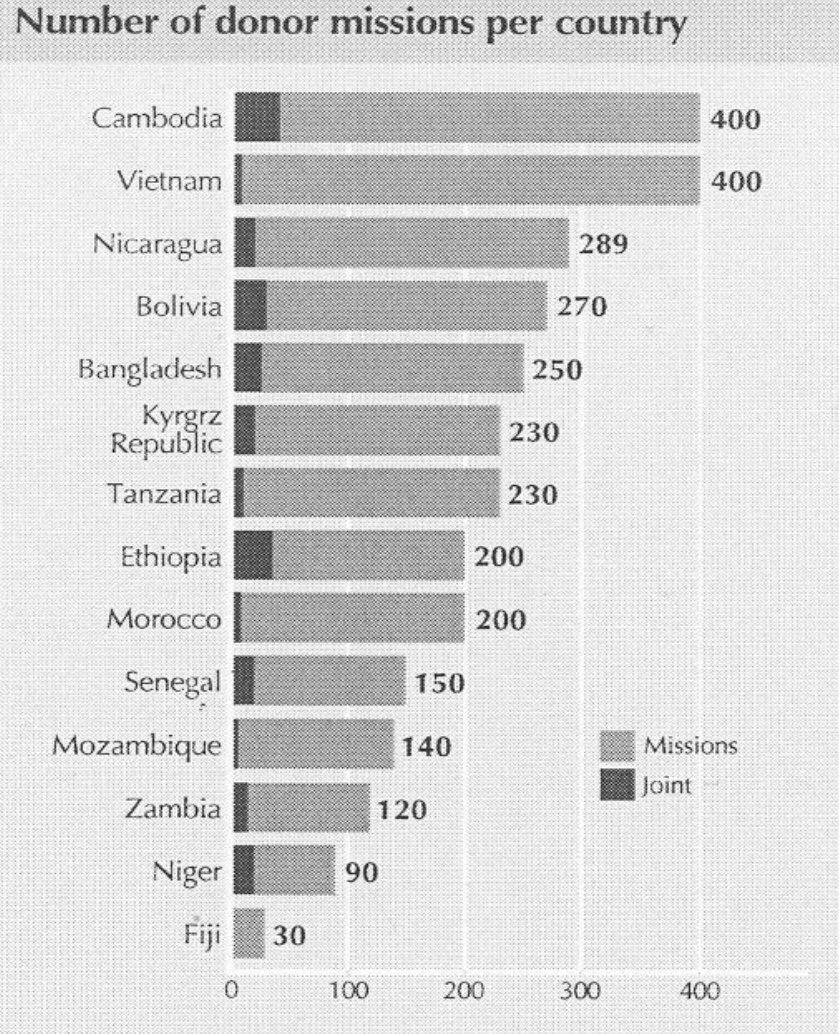
40

Figure 2.18: Is PRSP reporting sufficient? Other donors



Source: SPA (2005). *SPA Budget Support Alignment Survey*, p.

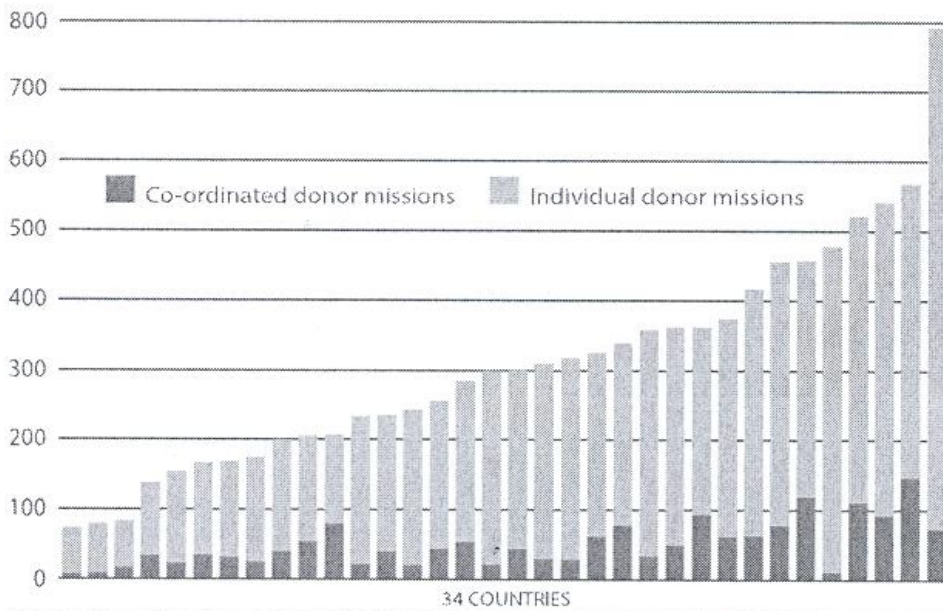
FIGURE 1.5
INDICATOR 10



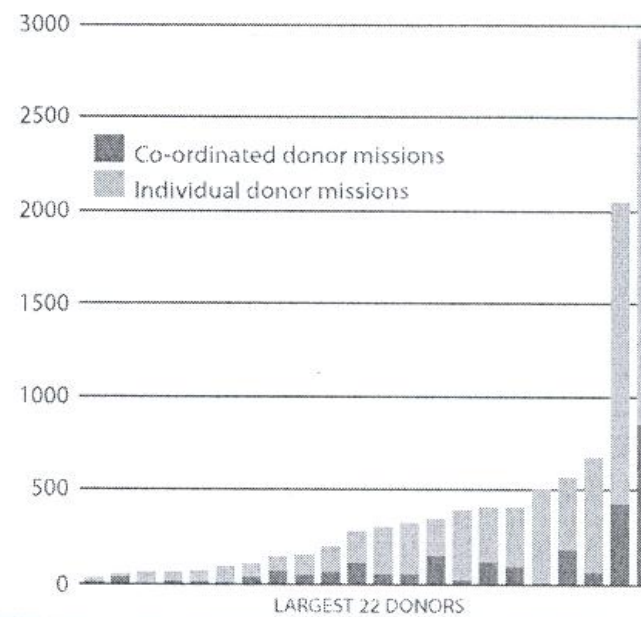
Source: OESO (DAC) (2005). *Survey on Harmonisation and Alignment*, p.22

Number of missions

Country-by-country



Donor-by-donor



INDICATOR 10a

CHART 1.13:
How many donor missions are co-ordinated?

Source: OECD(DAC) (2007)

TABLE A.10a Indicator 10a: How many donor missions are co-ordinated?

	Co-ordinated donor missions* (missions) a	Total donor missions (missions) b	Baseline ratio (%) c = a / b
AFGHANISTAN	94	363	26%
ALBANIA	23	257	9%
BANGLADESH	55	286	19%
BENIN	25	175	14%
BOLIVIA	44	257	17%
BURKINA FASO	63	375	17%
BURUNDI	34	139	24%
CAMBODIA	146	568	26%
CAPE VERDE	8	74	11%
CONGO DEM. REP.	80	208	38%
DOMINICAN REPUBLIC	17	85	20%
EGYPT	69	381	18%
ETHIOPIA	55	207	27%
GHANA	66	336	20%
HONDURAS	112	521	22%
KENYA	29	319	9%
KYRGYZ REPUBLIC	79	340	23%
MALAWI	43	180	24%
MALI	22	300	7%
MAURITANIA	50	362	14%
MOLDOVA	40	201	20%
MONGOLIA	12	479	3%
MOZAMBIQUE	144	310	46%
NICARAGUA	34	356	9%
NIGER	35	168	21%
PERU	9	81	11%
RWANDA	21	244	9%
SENEGAL	47	310	15%
SOUTH AFRICA	32	169	19%
TANZANIA	94	542	17%
UGANDA	79	456	17%
VIET NAM	76	791	10%
YEMEN	120	458	26%
ZAMBIA	23	155	15%
TOTAL	1 880	10 453	18%

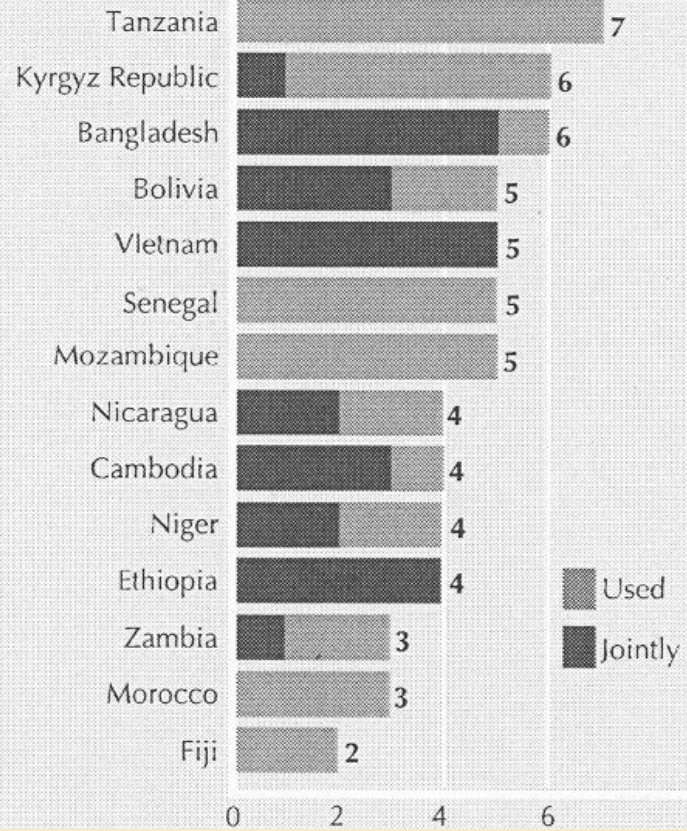
(*) Number of co-ordinated missions by country have been adjusted to avoid double counting.

TABLE B.10a Indicator 10a: How many donor missions are co-ordinated?

	No. of countries	Co-ordinated donor missions* (missions) a	Total donor missions (missions) b	Baseline ratio (%) c = a / b
African Development Bank	17	60	317	19%
Asian Development Bank	6	22	405	5%
Australia	5	1	15	7%
Austria	7	5	36	14%
Belgium	16	15	67	22%
Canada	22	55	333	17%
Denmark	18	52	158	33%
European Commission	34	189	580	33%
Finland	11	21	80	26%
France	26	66	687	10%
GAVI Alliance	11	0	0	--
Germany	32	120	425	28%
Global Fund	27	12	71	17%
Inter-American Development Bank	5	117	285	41%
Ireland	6	13	32	41%
Italy	13	7	93	8%
Japan	30	11	537	2%
Korea	3	0	19	0%
Luxembourg	3	2	10	20%
Netherlands	24	70	153	46%
New Zealand	3	1	5	20%
Norway	13	44	79	56%
Portugal	2	3	6	50%
Spain	11	5	66	8%
Sweden	24	65	203	32%
Switzerland	22	39	117	33%
United Kingdom	23	156	354	44%
United Nations	34	866	2 876	30%
United States	29	96	347	28%
World Bank	32	437	2 058	21%

FIGURE 1.6
INDICATOR 11

Number of diagnostic reviews per country



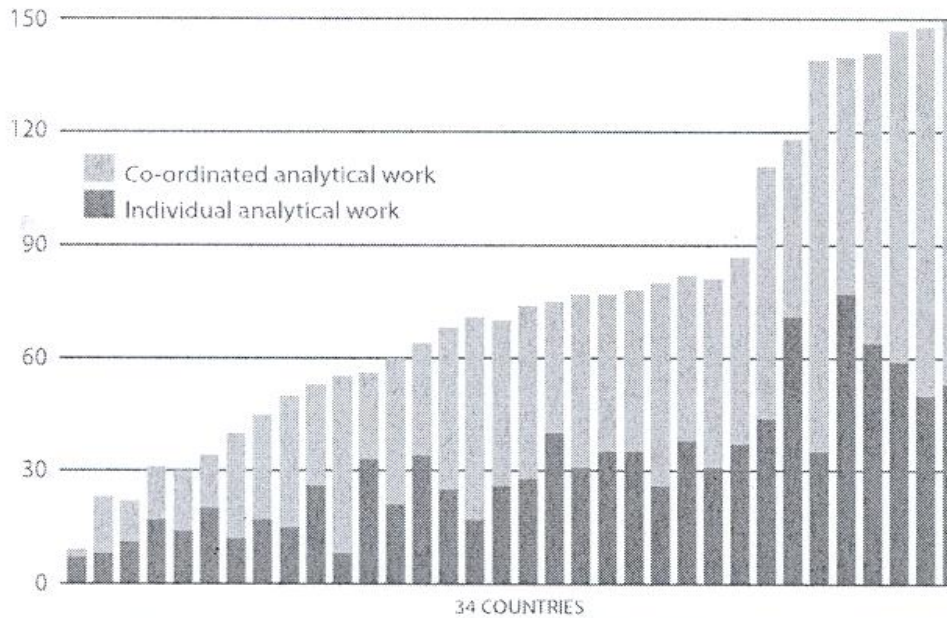
Source: OESO (DAC)(2005). *Survey on Harmonisation and Alignment*, p. 22

INDICATOR 10b

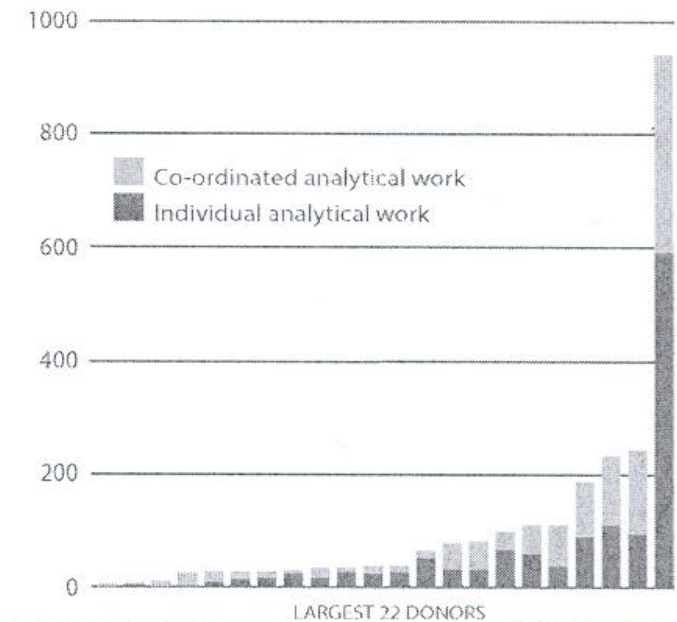
CHART 1.14:
How much
country analysis
is co-ordinated?

Number of country analyses

Country-by-country



Donor-by-donor



Source: OECD (DAC)(2007)

TABLE A.10b Indicator 10b: How much country analysis is co-ordinated?

	Co-ordinated donor analytical work*	Total donor analytical work	Baseline ratio
	(analyses) a	(analyses) b	(%) c = a / b
AFGHANISTAN	50	147	34%
ALBANIA	17	74	22%
BANGLADESH	26	70	38%
BENIN	28	74	38%
BOLIVIA	15	50	30%
BURKINA FASO	35	78	45%
BURUNDI	17	30	55%
CAMBODIA	76	118	64%
CAPE VERDE	8	22	34%
CONGO DEM. REP.	53	149	35%
DOMINICAN REPUBLIC	14	30	48%
EGYPT	41	103	40%
ETHIOPIA	26	53	50%
GHANA	19	47	40%
HONDURAS	64	141	45%
KENYA	26	79	32%
KYRGYZ REPUBLIC	40	75	53%
MALAWI	21	35	60%
MALI	12	40	30%
MAURITANIA	33	56	59%
MOLDOVA	11	22	50%
MONGOLIA	21	60	35%
MOZAMBIQUE	55	87	63%
NICARAGUA	34	64	53%
NIGER	31	77	40%
PERU	8	55	15%
RWANDA	25	68	36%
SENEGAL	46	113	40%
SOUTH AFRICA	7	9	75%
TANZANIA	31	81	38%
UGANDA	59	146	40%
VIET NAM	35	144	24%
YEMEN	80	145	55%
ZAMBIA	35	77	46%
TOTAL	1 099	2 619	42%

(*) Total number of co-ordinated analytical works by country have been adjusted to avoid double counting.

5. Which way forward?

Proposal: Twin-track Process Approach (see [Holvoet and Renard, 2007b, 2010](#))

5.1. Focus on joint elaboration of recipient M&E system (both supply and demand side)

- Joint diagnosis
 - Joint capacity building
- LT-strategy (in most countries)

BUT there are also **short-term** M&E needs



5.2. Complementary 'joint' M&E

- Depending on the function (feedback or accountability): involvement of supply side actors and independent actors of demand side
- Learning-by-doing process

5.1. Focus on recipient system: diagnosis and capacity building

- Bottom line: capacity building is necessary → **first step**: diagnosis of strong/weak points, champions?, hindering factors
- No standard diagnosis format so far (↔ PFM)
BUT some suggestions:
 - Readiness assessment & ten-steps approach of **Kusek and Rist (2004)**
 - EC ex-ante assessment for support to Sector Programmes (area 6: 'performance monitoring and client consultation mechanism') (see **European Commission, 2003**) (see slide 42-43)
 - CIDA assessment of 5 Western African countries (**CIDA, 2002**)
 - The Institutional Dimension of PRS Monitoring Systems (see **PREM-WB Group, 2006**)
 - Assessment frameworks in independent research (see **Booth and Lucas, 2002**; see **PRSP Monitoring and Synthesis Project, 2003**; see **Holvoet & Renard, 2005**)

EC ex-ante assessment SP

Area 6: "Performance Monitoring and Client Consultation Mechanisms" (EC, 2003, p. 91-92)

6.1. *Defining appropriate framework for performance indicators*

- Has a structure for performance measurement been established for the sector programme through the leadership of the government?
- ... Is there a sense that the issue has been taken seriously at senior levels and that adequate internal consultation has been conducted?
- Have major stakeholders in the sector programme been consulted? Have consultations not only involved donors but also Ministry of Finance and for decentralised components the Ministry of Local government
- Do performance indicators respect the SMART principle? (specific, measurable, affordable, relevant, time-bound)
- Do they cover the necessary requirements both for short-term management information (data on inputs and outputs) and for performance measurement (outcomes and impacts)?
- Is there a clearly developed framework for sourcing information and for verifying its correctness?
- Are indicators differentiated by gender?
- Is the structure of the indicators consistent with the Sector programme and the MTEF?
- Is the structure of the indicators consistent with the wider requirements of the monitoring of the PRSP?
- Is there an adequate review framework which permits a suitable management response to implementation issues while also facilitating policy and budgetary responses to broader performance issues?

EC ex-ante assessment SP

Area 6: “Performance Monitoring and Client Consultation Mechanisms” (EC, 2003, p. 91-92-93)

6.2. *Support to improvements in statistical and measurement systems*

- In so far as statistical and measurement systems are deficient, is there a clear plan of action for strengthening?
- Does the plan look relevant, feasible, coherent with the sector programme? In particular does it build on existing strengths and capabilities so as to ensure that LT capacity is developed and retained?
- Does it address potential weaknesses in the demand for information? Does it consider how to make managers and decision-makers better users of information?
- Is the plan structured so as to build on parallel improvements being made in client consultation systems?

6.3. *Development of client consultation mechanisms*

- Is there a mechanism in place for a structured process of consultation with beneficiaries and other stakeholders and, if not, does there exist a concrete plan to create one?
- Does the plan differentiate between different functions which stakeholders may play and the types of information which may therefore be needed? (difference between consultation and being part of decision-making)
- Is the structure of consultation mechanisms properly integrated with the framework for service delivery? Are local beneficiaries consulted and involved as appropriate? Adequate linkage with local government?
- Are the difficulties of obtaining representative inputs addressed? In particular the difficulties with obtaining equal representation of women?
- Is there an adequate balance between quantitative surveys and more qualitative surveys?

Checklist used in Holvoet and Renard (2007a)

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? |

➤ Diagnostic framework:

- Do the diagnosis (and capacity building) jointly (harmonisation)
- Emphasize both supply & independent demand side
- Use it as a component of risk assessment
- Use it to identify targets & actions to improve M&E system (as an instrument of 'process conditionality')
- Use it to identify joint capacity building needs
- Use it to monitor the establishment & functioning of the recipient M&E system

5.2. Complementary 'joint' M&E processes

- so far: no standard procedures but some interesting 'experiments':
 - Joint (sector) reviews (JR/JSR) (see slides 50-54)
 - Performance assessment frameworks (PAFs) (see slides 55-58)

Joint (Sector) Reviews: what and why ?

- no standardised definition, no blueprint, no handbook
- type of periodic assessment of (sector) performance
- satisfaction of donor & recipient M&E needs
- broad participation of stakeholders
- broad information base (secondary & primary)
- discussions of conclusions at Annual Review Meeting (ARM)
- main documentary output: Aide Mémoire (AM)

JSR: issues for discussion

➤ **balancing among 'substance' and 'systemic issues'**

- substance > institutional apparatus
 - understandable in short-run
 - but ↔ logic of new aid paradigm
 - set-up sectoral M&E system
 - pay-off on the long run
 - long-term incremental approach
- Changing outlook of JSR
- more systemic evaluative approaches
 - formative & summative meta-evaluation
 - focus on quality of sectoral M&E systems & outputs
 - also CB of M&E demand side

JSR: issues for discussion (cont)

➤ **balancing among accountability and learning**

- JSR: odd mixture of accountability & learning objectives
 - not easy reconciliable
 - ✓ different focus
 - ✓ different actors
 - ✓ different methodologies
 - argument in favour of one arrangement for both
 - ✓ ↓ disadvantages of narrow stand-alone 'performance measurement'
- acknowledge inherent tensions among 2 objectives
- hybrid multi-partner approaches

JSR: issues for discussion (cont.)

➤ JSR as a forum for harmonisation and coordination

- collaboration among donors
 - participation of recipients
- traditionally evaluation principles with least compliance

→ JSR: potential to turn the tide

- coordination among budget and non-budget support donors
 - ✓ value added for both of information triangulation
 - ✓ familiarisation with new type of exercise → ↓ parallelism
- participation of inside government M&E actors
 - ✓ learning by doing CB
- participation of outside government M&E actors
 - ✓ usage of information: incentive for its collection
 - ✓ learning by doing CB

JSR: issues for discussion (cont.)

➤ JSR and feedback

- little systematic follow-up and integration of findings of JSR
 - proxy for deficient institutional apparatus
- organisational set-up of JSR stimulates feedback
 - JSR linked to ARM
 - ✓ information dissemination
 - ✓ argumentation and dialogue → ↑ ('process') usage
 - JSR: no one-shot stand-alone event
 - ✓ input from and feeds into continuous M&E process
 - ✓ need for specialised aid agency staff on the ground
 - ✓ need for a strong (sectoral) M&E working group
 - JSR: expanded approach to M&E

Performance Assessment Frameworks (PAFs)

- set of key policies, actions, output and outcome indicators to dialogue, assess, monitor 'recipient' performance
 - ideally taken from PRSP (if action-oriented)
 - + : incentive for more action-oriented & operational PRSP (=filling the missing middle)
 - multi-donor
 - + : harmonised performance framework but
 - : risk of 'herd' behaviour → volatility of aid
 - ↓ limit through dialogue, early warning, different triggers for different donors, system of fixed and variable tranches
 - transparent framework for performance review, disbursement and tranche release:
 - + : ↑ predictability
 - could also be extended to check donor's performance (see notion of 'mutual accountability'): see Mozambique PAP's PAF (<http://www.pap.org.mz>)

5. Which way forward? (cont.)

- Need for donors' joint investment in impact evaluation

- Need for evaluation of new aid modalities
 - Process evaluation
 - Impact evaluation

 - two major evaluation effort so far (see [IDD and Associates, 2006](#); [Wood et al., 2008](#))

PAF Mozambique 2006-2008 (extract)

Government Program – PARPA			Priorities		Indicators	No.	PAF Targets		
Strategic Objectives	Areas	Sub-areas	Objectives	Actions			2006	2007	2008
Poverty reduction through privileged orientation of public services to the most needy populations	Education	Primary education	Universal education: - increase access and retention - increase quality of education - reduce gender disparities	Approve, implement and assess the strategic plan for 2005-2009 - Implement the program of low cost school construction - Implement the strategy of teachers formation taking into account the new curriculum - Approve and implement the gender strategy	Net enrolment rate EP (1+2) - Total	1a	85%	88%	91%
					Net enrolment rate EP (1+2) - Girls	1b	82%	86%	89%
					Completion rate EP1 - Total	2a	34% (2005)	40% (2006)	47% (2007)
					Completion rate EP1 - Girls	2b	28% (2005)	34% (2006)	41% (2007)
	Health	Mother & Child	Maternal mortality reduced	Increase offer of obstetric care	Proportion of institutional deliveries among expected births	3	51%	52%	53%
			Infant mortality reduced	Increase coverage of the Extended Vaccination Programme	Rate of coverage <1 year DPT3 e HB	4	95%	95%	95%
			Increase access to basic health services	Expand access to quality treatment of communicable and non-communicable diseases	Utilization rate - professional consultations per inhabitant per year	5	0.94	0.95	0.97
	HIV-AIDS	Prevention	Reduce number of new HIV infections	Expand access to prevention for vertical transmission	Percentage (and number) of HIV+ pregnant women receiving complete prophylaxis in the last 12 months to reduce the risk of vertical transmission from mother to child	6	10% (16,000)	(the targets for 2007 and further will be defined after revision of Nat. Strategic Plan to combat STI/HIV/Aids)	
		Clinical Care	Improve clinical care for persons living with HIV	Expand access to antiretroviral therapy	Percentage (and number) of persons with advanced HIV+ infection receiving combined antiretroviral therapy in line with national protocols (disaggregated by sex and age group (0 - 14, 15 - 24, 25+)).	7	15% (40,000)	(the targets for 2007 and further will be defined after revision of Nat. Strategic Plan to combat STI/HIV/Aids)	
		Impact Mitigation	Improve the quality of life for people living with HIV/AIDS	Strengthen community- and home-based care and support for Orphans and Vulnerable Children (OVCs)	Percentage of OVCs covered by the <i>National Action Plan for OVCs</i> who were without access to basic services in 2005, gaining access to at least 3 basic services in the last twelve months (disaggregated by sex and district)	8	5%	10%	20%

Mozambique PAP's PAF 2006-2008 (extract)

Objectives	Activities	No	Indicators	2006	2007	2008	2009
Portfolio Composition	<i>GBS</i>	1	% of GBS in total PAPs aid flows disbursed to the GoM.	40% (A)	44%	49%	54%
	<i>Program Aid</i>	2	% of program aid in total PAPs aid disbursed to the GoM.	70% (A)	77%	85%	≥ 94%
Predictability	<i>Commitment of funds</i>	3	% of PAPs with multi-year agreements of not less than 3 years.	≥ 90%	≥ 95%	100%	100%
		4	Commitments of GBS for year n+1 within 4 weeks of the JR in year n	100%	100%	100%	100%
	<i>Disbursement</i>	5	Disbursement of confirmed GBS commitment in the fiscal year for which it was scheduled, according to precise quarterly disbursement schedule agreed with GoM	100%	100%	100%	100%
Harmonization and Alignment	<i>Consolidation and harmonization of conditionality</i>	6	PAPs adhere to GBS common conditionality. ¹	95%	100%	100%	100%
		7	% of PAPs with no Annex 10 exceptions OR reduced exceptions, in year n compared to year n-1.	Commitment by each donor with exceptions			100%
		8	Strict harmonization between bilateral agreement for GBS and MoU	BL (C)	SPA	SPA	SPA
	<i>Utilization of government systems and reporting</i>	9	% of PAPs aid flows to the government reported in the budget	Tbd	100%	100%	100%
		10	% of PAPs aid flows to the government reported in the budget execution report	Tbd			
		11	% of PAPs aid flows to the government included in the Treasury payment system	Tbd			
		12	% of PAPs aid flows to government using public procurement systems	BL (B)	SPA ²	SPA	SPA
13	No implementation and evaluation reports required from the government outside established normal government reporting	BL (B)	SPA	0	0		

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Thank you!



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