

Monitoring & Evaluation for Development Cooperation

DEVELOPMENT COOPERATION FORUM

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national treasury

Department:
National Treasury
REPUBLIC OF SOUTH AFRICA

Overview: M&E Framework & Guidelines

Given the centrality of Monitoring, Evaluation and Reporting Framework to the successful implementation of DC Programs & Projects, NT:IDC has developed an integrated Monitoring, Evaluation and Reporting Framework & Guidelines to standardised multi-level Monitoring and Evaluation of DC Programs & Projects.

❖ The Framework & Guidelines:

- Provides the necessary normative context for the organization of M&E at all **spheres of Government**.
- Provides a common context & shared understanding of the **Key Concepts & Terminology** used in Monitoring and Evaluation domain;
- Articulates the **main principles** and underlying values required to **establish & drive** DC M&E systems in every Department & implementing agencies;
- Identifies **M&E protocols** across the entire **Project Cycle**;
- Specifies the **Reporting** requirements & **Responsibilities** of the various role-players.

1. Role of M&E in DC

- ❖ Govt & DPs focus is to deliver tangible results and visible impacts with the available development resources.
- ❖ Hence, greater emphasis on Results Based Performance (RBP):
 - Invariably, RBP is premised on a functional **Monitoring and Evaluation system.**
- ❖ A functional M&E system:
 - Uphold accountability by demonstrating:
 - Development Cooperation resources (Government & DP) are utilized in the most efficient way.
 - full compliance to FA, Work Plans, Budgets & other established standards.
 - Provide accurate, evidence based data & information on implementation progress of programs/projects.
 - Enhances effective decision making
 - Contributes to learning and knowledge by sharing experiences & best practices.

2. Foundation of DC M&E in SA

- ❖ **What is the foundation of a functional DC M&E System?**
- ❖ For South Africa, DC M&E is founded on:
 1. The Global Partnership for Effective Development Co-operation (GPEDC). Specifically highlights:
 - ✓ Ownership of development priorities,
 - ✓ Partnerships for development,
 - ✓ **Transparency and shared responsibility,**
 - ✓ **Focus on development results .**
 2. Government Wide Monitoring & Evaluation (GWME) Policy framework.
 - ✓ GWME framework embodies an *Outcome-Based Approach to Monitoring & Evaluation.*
 - ✓ M&E is *institutionalised* across government through the establishment of Performance Agreements based *on twelve outcome areas.*

3.GWME: Notable Characteristics

- Government leadership & High level commitments;
 - **DPME** (@ The Presidency) is the overall custodian of GWME System & Coordinates the implementation across government.
- Fully institutionalized across all 3 spheres of government;
- GWME has established a clear link between National Development Plan, Sector /Department development Plans & requisite M&E Systems.
- ❖ Key Message from GWME to all Departments:
 - ***Establish a Results Based M&E System to track implementation progress of programs & projects.***

4. Establishing a Results Based M&E System

- ❖ Pre-requisite to establishing an M&E System:
 - Requires detailed knowledge of the M&E **Key Concepts**.
 - A good understanding of how they are situated along the **Results Chain or Project Logic Models**.

- Key Concepts expressed at the two levels of M&E:

Monitoring			Evaluation	
• Inputs	• Activities	• Outputs	• Outcomes	• Impacts
❖ Monitoring looks at what has been <u>done</u>			❖ Evaluation examines what has been <u>achieved</u>	

- The concepts are distinct but complementary & assesses performance along a Programme / project **Results Chain** in a logical process.

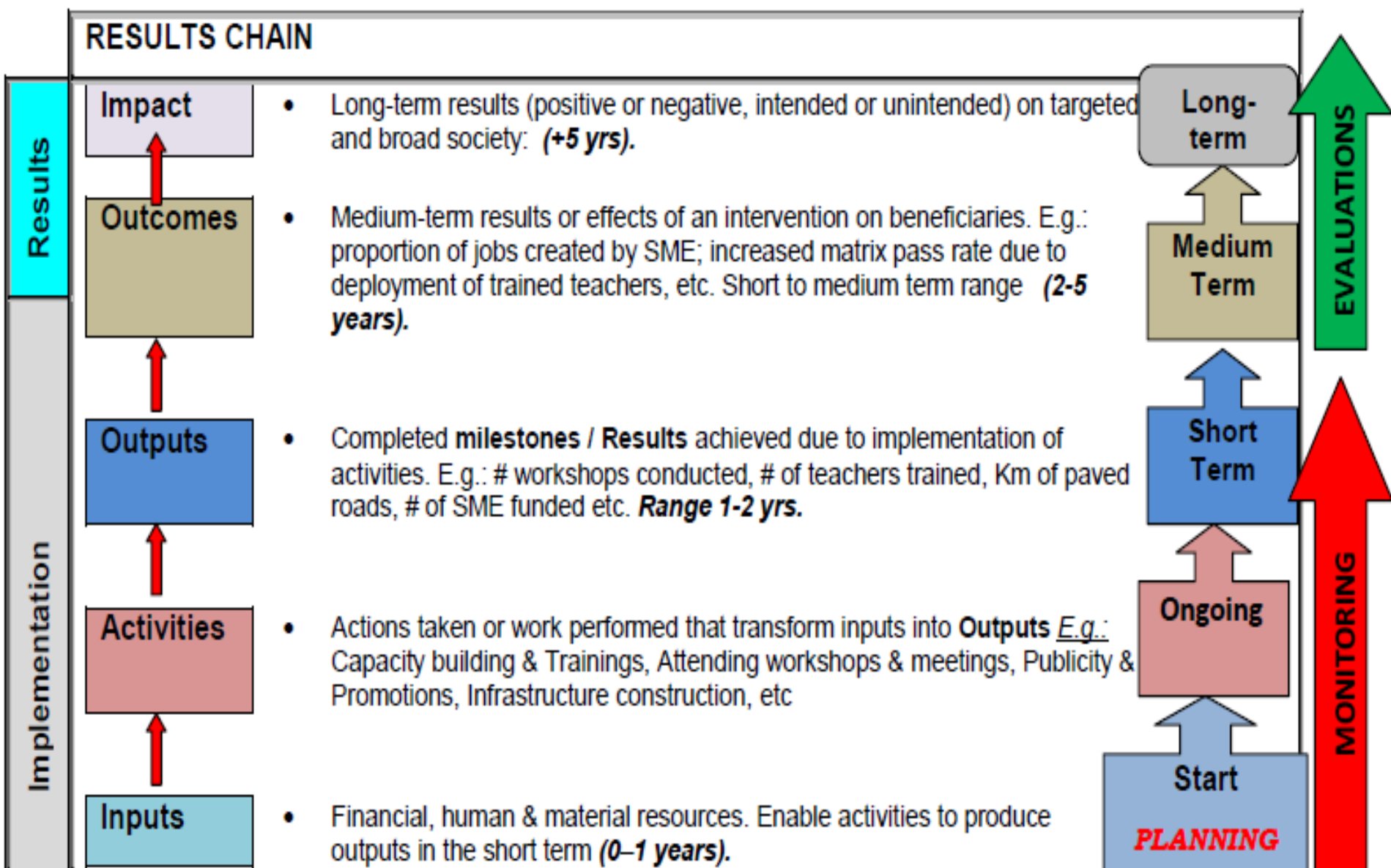
5. Results Chain: *Understanding M&E Logic*

- ❖ Results Chain form the core of a Monitoring & Evaluation framework.
- ❖ At its simplest, the Results Chain looks like this:



- During Implementation: Results Chains will have multiple ***Inputs, Activities, Outputs, Outcomes & Impact = Theory of Change***
- **ToC:** is the **Weblink** of multiple attributions of each element of the RC to the implementation process.
- **EMPHASIS: *Get the Logic right***

6. Results Chain: *Get the Logic Right*



9. Designing Program/Project M&E system

1st: Understanding the strategic intent of the Program /Project is key to designing a successful M&E system.

HOW?

- have a good understanding of the overall **National Development Goals** (already stipulated in the **NDP**).
- Develop explicit **programme / project objectives**.
- **Programme / project objectives** should have a clear link to any one of the overall national development goal(s) stipulated in the NDP.
- Programme / project objectives** should be formulated with end in mind as the intent is to achieve programme / project **outcomes** & ultimately the **national development goal(s)**.
- Distinguish b/n

Goals

Objectives

Outcomes

10. Goals, Objectives & Outcomes

(1) Goals

- ◆ Goals are broad, long-term aims that define what a project needs to accomplish (**10 -20 years**).
- ◆ Are high-level statements that provide the overall context of what the project is trying to achieve.

Example:

“Reduce poverty and improve the standard of living of disadvantaged population”

(3) Outcomes

- ◆ Outcomes are of intermediate time frame (**5-10 years**).

(2) Objectives

- ◆ Are lower levels, concrete statements that describe & guide what the project is trying to achieve to meet the goal? (**1- 3 years**).
- ◆ Should not be vague, but must be **SMART** (Specific, Measurable, Attainable/Achievable, Realistic and Time-bound) targets.
- ◆ Being specific, quantifiable & realistic so that it can be monitored & evaluated at the conclusion of a project to see whether it was achieved or not.

Remember:

- ◆ Objective is not an activity nor is it a process; it should be formulated as an endpoint.
- ◆ Beginning with the end in mind provides a sense of direction

Example:

“200 small scale income generating projects funded & related infrastructure developed in Western Cape by end of FY2015/16”.

11. Designing Program/Project M&E system

2nd: Develop the Program / Project ***Implementation Plan***

3rd: Develop an ***M&E Plan*** flowing from the Implementation Plan

- ❖ **NB:** The Program / Project Implementation Plan should be fully integrated with M&E Plan to form an effective M&E System.
- ❖ The **M&E Plan** aim is to help track whether:
 - Project ACTIVITIES are being executed according to Work Plan
 - OUTPUTS, OUTCOMES & OBJECTIVES are being realized according to KEY PERFORMANCE INDICATORS
 - The project is within BUDGET according to cash flow forecasts
 - Benefits are flowing to targeted beneficiaries, etc

12. Formulating Program/Project M&E Plan

- ❖ M&E Plan is based on Results Chain model.
- ❖ There is no “best way” to formulate and complete the rest of the M&E Plan, but the following step-by-step should be considered.
 - 1: Clearly state the **“High level Statements”** (i.e., Overall & Specific Objectives),
 - Generally, Overall & Specific Objectives; expected Results & KPIs are defined by the time of concluding the Financing Agreement.
 - 2: Establish **Key Activities** at **Outcome & Output Level** as well as their **KPIs**,
 - 3: Enter the **Baseline values** for all the KPIs,
 - 4: Define **Targets** for each reporting period,
 - 5: Explain how you will **collect and analyze** monitoring data,
 - 6: Indicate how **frequently** you will report on the data / information collected,
 - 7: Under **Responsibility**, explain who will collect the data / information,
 - 8: Finally indicate the **Final date of submitting the Report**
- ❖ **Program M&E Template- see next**

14. M&E at Project Level

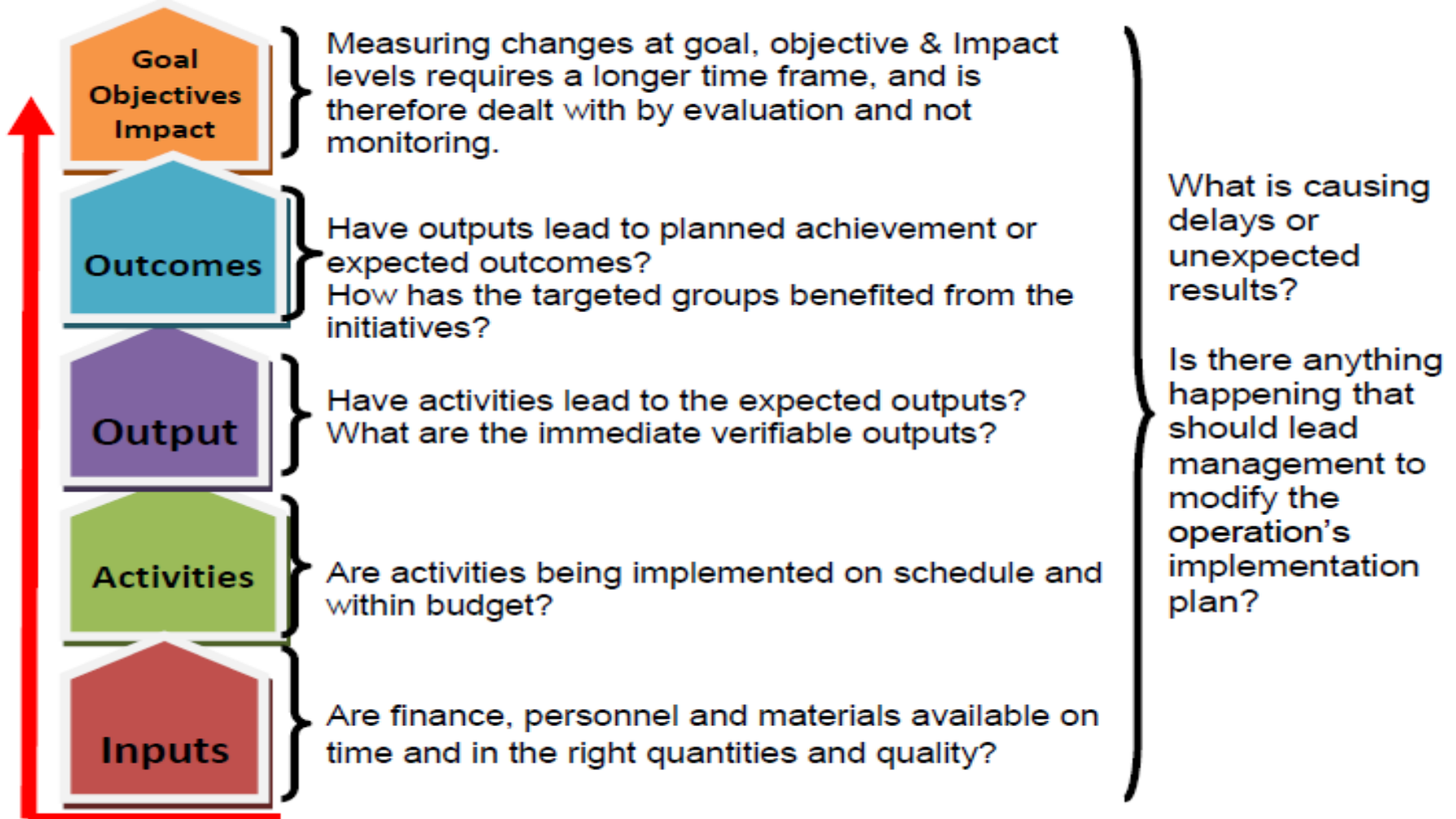
- ❖ At the Project level: M&E is best formulated using a combination of the following main approaches:
 - **Theory of Change approach;**
 - **Results Chain Approach;** and
 - **Logical Framework Approach.**
- ❖ **NB:** Whichever approach preferred, they are all premised on the **Results Chain** platform .
- ❖ The LFA matrix is the visual output of the LFA & consists of four columns:
- ❖ Overall, the LF Matrix outlines how the project will be implemented & monitored.

15. Structure of the Logframe Matrix

Project Name:				
Intervention Logic	Baselines	Indicators (OVI)	Sources of Verification	Assumptions
Overall Objective:				
Specific Objectives:				
i) Xx				
ii) yy				
Expected Results:				
1.				
2.				
3.				
Key Activities for each expected result:			Donor Contribution:	Govt Contribution (ZAR)
Results 1:				
1. Activity.....				
2. Activity				
3. Activity ...				

16. Conducting Project M&E

- ❖ As a minimum, Results Chain / LFA should guide M&E



17. Conducting Project M&E

❖ Monitoring Best Practices

- Monitoring should be systematic, based upon KPIs & defined Targets.
- Data gathering should be well targeted - (data gathering is expensive and the aim is to collect only what is necessary and sufficient).
- Monitoring should be participatory, involving key stakeholders – this will not only reduce costs but can build ownership.
- Timely dissemination of reliable finding improves decision making
- Share findings with all relevant stakeholders and where possible with beneficiaries.

18. Evaluations

- ❖ OECD-DAC defines evaluation as the **“periodic assessment of the relevance, efficiency, effectiveness, impact, economic & financial viability, and sustainability of a project in the context of its stated objectives”**.
- ❖ Purpose:
 - Review the achievements of a project against planned expectations,
 - Use the information and experience gained to improve the design of future projects and programmes.
- ❖ OECD-DAC key evaluation criteria:
 - Relevance
 - Efficiency
 - Effectiveness
 - Impact
 - Sustainability

All are widely used by government and many development partners and their agencies to guide Program /Project M&E:

[Template is in Annex 4 of the M&E Guidelines](#)

19. M&E in the Context of Project Cycle (PCM)

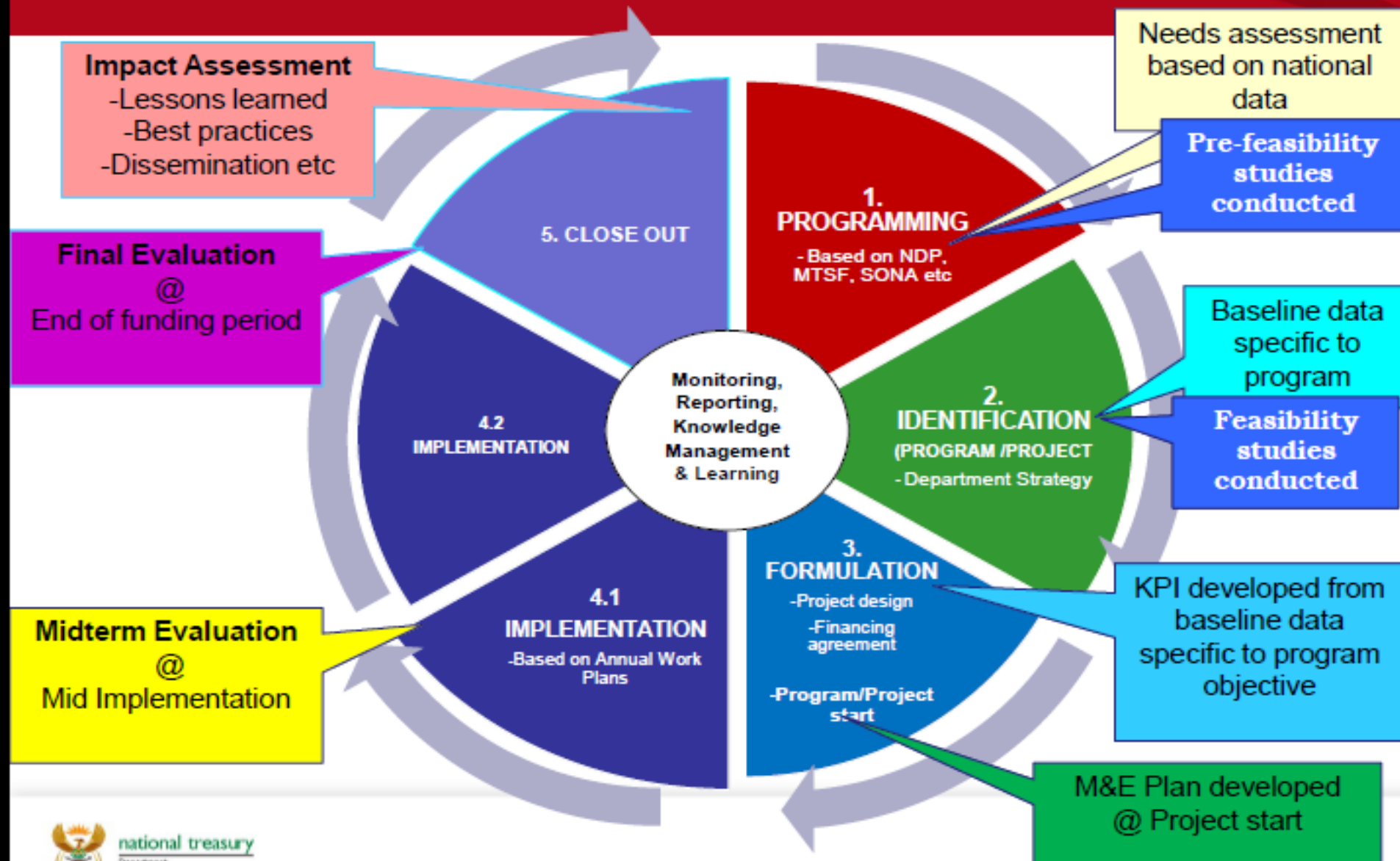
❖ Types of M&E along the stages of PCM are:

- **Mid-Term Review:** Assess implementation progress, affirm the process or propose alternatives where necessary in order to realize the overall objectives.
- **Final Evaluation:** Conducted at project completion to document the result, resources used, and overall progress towards objectives. Findings generally used to improve future project designs and implementation.
- **Ex post evaluation:** This is conducted after completion. Perhaps as long as two or three years after implementation to allow stabilization of sustainability issues. The main objective is to study the broader socio-economic effects and impact of the project on the broader society.
- **ROM + ad hoc studies:** These studies supplement either of the above evaluations. The studies are used by EC to investigate outputs, outcomes and impact of projects on broad thematic areas of intervention.

❖ Tools used to orientate and manage M&E process is a clear **ToR**

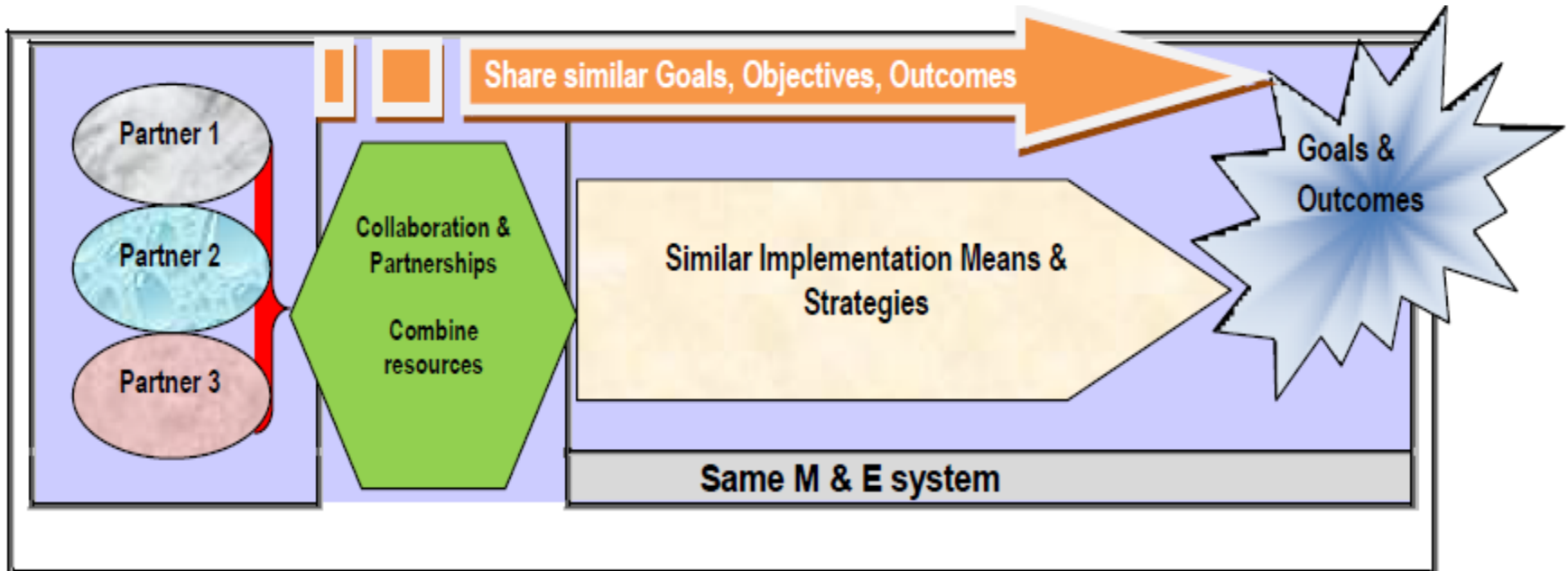
(Standard template found in Annex 5 of the M&E Guidelines)

20. M&E in the Context of Project Cycle (PCM)



21. Monitoring & Evaluation in Partnerships

- ❖ To leverage resources, development work is increasing undertaken through **partnerships**.
- ❖ Similarly, Partners should avoid **parallel implementation means & duplication of Monitoring & Evaluation** efforts.
- ❖ Departments & multiple partners who provide resources & **share similar goals** are encouraged to develop & implement a standard M&E System



22. Reporting

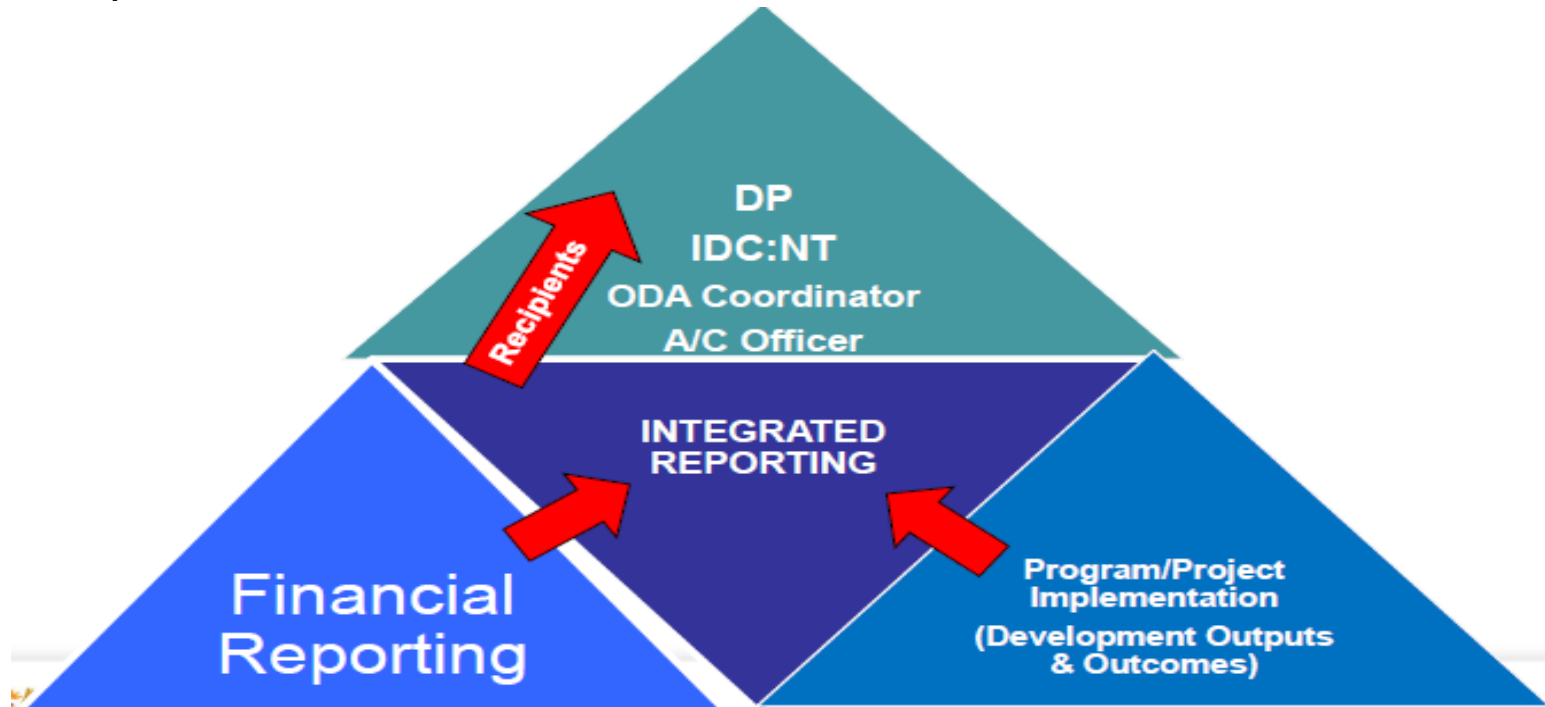
- ❖ Reporting is the “***systematic and timely provision of essential information at periodic intervals***”.
- ❖ Thus, reporting is an integral part of M&E, whose central purpose is to “**deliver the message**” - in this case the project implementation progress reports.
- ❖ A report therefore, should be presented in a **standardized format** tailored to meet the information needs of each specific stakeholder or end users.
- ❖ Be sure to report **bad performance and unintended outcomes** as much as the good findings. Serves as EWS & prompts solutions.
- ❖ Efforts should be made to avoid large “**data dumping**”.
 - Experience shows that, provision of TMI in a report is counterproductive as the reader is likely to be lost through the maze of data and information and miss the most important threads of assessing progress against the defined targets

23. Reporting: Making M&E data meaningful.

- ❖ Emphasis should be on **Integrated Reporting**: which comprise both financial expenditures & the development outcomes.
 - Financial analysis should show:
 - amount received, the budgeted amount for the year, itemised cumulative expenditure against the budget to date and the balance remaining.
 - Should also include a graphic illustration of cash flow to date and asset inventory.
 - Development outcome analysis should present:
 - findings based on KPIs as defined in the Programme / project implementation plan, activity schedule, or elaborated in the programme M&E Plan, and in the Logframe especially for the projects.

24. IR: Making M&E data meaningful.

- ❖ An ***Integrated Report (IR)*** should comprise both Financial expenditures & the Development outcomes.



- ❖ An Integrated Reporting (revised & updated ***BUSINESS PLAN***) template is found in Annex 6 of the M&E Guidelines.
- ❖ Departments are encouraged to customize their own IR format to improve on quality, content & performance based reporting.

25. Mechanisms for Communicating Reports

- ❖ Emphasis: always ensure the reports reach the right persons at the right time.
- ❖ There are several ways to communicate reports:
 - **Informal:** phone calls, oral conversations etc;
 - **Formal:**
 - e-mail messages,
 - progress review briefings & presentations,
 - submission of detailed progress reports,
 - publications,
 - Social media,
 - posting of abridged progress report into web portals, such as;
 - ✓ Department Websites
 - ✓ National Treasury Development Cooperation Management Information System (DCMIS) , among others.

26. M/E & Reporting Responsibilities

- ❖ **ODA Policy Framework & Procedural Guidelines, (2003)** is explicit on M&E responsibilities, that is:
 - The DC Coordinator is responsible for coordinating Monitoring, Evaluation and Integrated reporting on DC programmes and projects.
 - DC Coordinator in collaboration with HoD should ensure Program Managers are:
 - ✓ assigned respective M&E tasks,
 - ✓ sufficiently capacitated to systematically collect data on the results achieved (or otherwise), conduct analysis and examine outputs and outcomes in relationship to the expected results and prepare reports.
 - It is suggested M/E & Reporting responsibilities should be specified in respective individual's performance contract to embed compliance.

THANK YOU!

Food-4-Thought

Never emphasize *division of labour* at the expense of *integration of efforts*.

Q&A