

# Good Governance and Result Based Monitoring



By

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# **Good Governance and RESULT BASED MONITORING**

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This book is dedicated

To

My Parents



# **PREFACE**

“When all is said and done, more is said than done”. This is what happens when good governance and result based monitoring and evaluation system (commonly known as RBM) are interfacing. This is for three reasons. First, the concepts are relatively new and emerging and lack uniformity of definition and understanding. Second it requires concerted efforts and commitment by all stakeholders that each activity undertaken in the development process must yield results. The availability of financial resources, trained personnel and above all, a professional institutional framework is the basic requirement for RBM. Third, the competencies and capabilities are necessary but not sufficient conditions for the success of RBM unless it is directly linked with the results as planned in the work plan.

I do not intend to summarize the contents of this book. The purpose of this piece is to suggest that good governance as a concept has now been in practice in several organizations mostly in developed and some developing countries and that too in the corporate sector because of survival and sustenance compulsions. The key components of good governance are Accountability, Transparency, Participation and Predictability. The major characteristics of these components have been addressed in this book. Similarly the result based monitoring and evaluation has a five step cycle which includes inputs, activities, out-put, out comes and impact. These terms have been explained and used in different

situations. However, the focus remains that each activity brings desired results for the efficient and effective implementation of policy, program, plan or project. These five steps are interlinked but can also be separated from each other. The inputs, activities and output mostly relate to monitoring whereas the outcomes and impact are seen more in the context of evaluation. But both parts are complementary and this has been explained in the process.

The results cannot be over emphasized, which may jeopardize the fragile system of monitoring and evaluation. What is required is to give greater emphasis on measurement of results. The key instruments for this purpose are the indicators. The popular term used is the key performance indicators (KPIs) but usually the indicators are developed in such a way that they measure the end product or the output. There is lack of or insignificant effort to measure performance of each activity. Hence it is important that KPIs are developed to monitor the activities and processes with a proper focus. At the time of evaluation the product indicators need to be developed to comprehensively use the result based monitoring and evaluation in the context of good governance. Hence the importance of indicators their proper identification ensures the successful monitoring of the project.

One major challenge is the establishment of a result based monitoring and evaluation system in a ministry, organization or institution. Two models of RBM have been discussed in this book. The first is the five step indigenous model which comprises i) Planning; ii) Study and Review of Documentation; iii)

Identification/selection of Indicators; iv) Visit to Project Site/ Collection of Information and v) Report Writing. Each part has been explained in detail in the book. This is more in the context of public sector projects and Pakistan specific. The second is the ten step model developed with the assistance and support of the World Bank which has been explained for the purpose of comprehension and implementation. This model can be used in different situations. Also several international funding agencies have developed their M&E system to suit the organizational requirements. One such example is that of UNICEF.

The idea of writing such a book ripened for few years in my mind in the light of the experience I gained in the Academy of Educational Planning and Management, Ministry of Education, Islamabad. But this experience was limited only to the education sector. Another opportunity came when I joined UNICEF as planning, monitoring and evaluation officer. Here the scope of my responsibility was much broader and multi disciplinary (including sectors of Health, Population Welfare, Gender, Water Sanitation) and geographically wider. As a Management Adviser to UNFPA the focus of interest remained on monitoring and evaluation though modifications (changes are for fetched) in the existing public sector Ministry were quite difficult. One example in this case is that for the last twenty years or more a constant but superficial desire has existed to merge the Ministries of Health and Population Welfare with the objective of minimizing the overlapping functions, avoiding resources wastage and making the system



efficient. But this never happened. There is little possibility of any such merger taking place in the near future.

My work experience in the Projects Wing, Planning Commission, Planning and Development Division, Government of Pakistan for about three years as Monitoring and Evaluation Specialist, was professionally rewarding. Here the scope of work was very broad and not limited to any particular sector. During most of my tenure here I worked under the guidance of Lt. General (R) Muhammad Zubair, Member Implementation and Monitoring (I&M), Planning Commission Government of Pakistan. He was kind enough to provide me relative freedom to monitor and evaluate projects purely on professional basis, a freedom, which is rare in the public sector. I am grateful to him for his kindness and professionalism. The stay at the Planning Commission also provided me an opportunity to work with other professional colleagues and my thanks are due to all of them which include Abdul Qadeer, Aziz Qureshi, Saleem Khan Khattak, Shehzad Baloch, Ashraf Zahid, Muhammad Arshad, Rafique Ahmed Hakro, Tariq Iqbal, Khurshid Ali Chauhan, Maliha Arif and Zahoor Shah. My special thanks are due to Pretam Dass. We had many useful but informal discussions about the Monitoring and Evaluation system and its use as management tool.

Two points are important to be mentioned here. During my stay at the Projects Wing of the Planning Commission, I observed that there was lack of clarity on two issues. One was about the Job Descriptions (JDs) for different positions which were quite

hierarchical and overlapping, but most of the officers were ambivalent about their job narrative. The second was Key Performance Indicators (KPIs). This was usually overlooked or left to the individual monitoring officer without discussing / sharing it with other professional colleagues.

I have made an effort to suggest job descriptions for the professional staff and identified KPIs for a few areas of intervention for Monitoring and Evaluation. These efforts are tentative and exploratory and not definitive. Any mention of the Projects Wing and Planning Commission is purely as an academic example.

The early draft of this book was critically read by Masood Muzaffar who provided me very useful inputs for the revised version. I am appreciative of his time and effort and to encourage the publication of this book.

I am especially grateful to Nasim Razzaq for the final editing of this book. Having said all that, I would appreciate candid comments from readers on this modest though challenging effort.

My special thanks are due to Zulfiqar Ali Joya for the great pains he took in compositing, formatting and presenting this book. However, I am solely responsible for any errors or omissions in this book.

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## *Chapter One*

# **WHAT IS GOVERNANCE?**

*Benjamin Franklin came out of the Constitutional Convention (1789) and one of his admirers asked "Dr. Franklin what you have given us"? A Republic, if you can keep it, replied Benjamin.*

## **INTRODUCTION**

**G**overnance embodies the power which is exercised in the management of state, civil society and private sector to work in cohesion for accelerated economic growth and greater human development. This emerging concept of governance has many definitions but it lacks uniformity. However several definitions and interpretations may converge on good administrative practices which focus on redirecting the priorities of the state, revitalization

of the state institutions and building of a new alliance with the civil society and now figure prominently on the development agenda.<sup>1</sup>

Pakistan has suffered in its development efforts not only because of bad policies but also poor governance. The general focus on new policy directions in itself may be a necessary but not sufficient condition for successful development. If the standards of governance remain poor, it becomes inevitable for the government to implement sound development management. To have the desired effect on people's lives they must improve their socioeconomic conditions and alleviate poverty. It is good to encourage the private sector to invest develop infrastructure, minimize financial constraints and above all to create an enabling environment for economic growth. But what is more important in developing countries like Pakistan is the distribution of economic benefits so that they reach the people living below the poverty line. It is not a question of equal distribution but provision of equitable, accessible and merit based opportunities to the society at large.<sup>2</sup>

Governance relates to the management of all those processes that, in any society, define the environment which permits and enables individuals to raise their capability levels on the one hand, and provide opportunities to realize their potential and enlarge the set of available choices, on the other. These processes covering the political, social and economic aspects of life, impact every level of human enterprise, they covers the state, civil society and the market, each of which is critical for sustaining human development. The state is responsible for creating an



enabling political, legal and economic environment for building individual capabilities and encouraging private initiative. The market is expected to create opportunities for people. Civil society facilitates the mobilization of public opinion and people's participation in economic, social and political activities.<sup>3</sup>

The concept of governance extends to the use of legitimate authority or mandate enshrined in the constitution of a given state and its implications for the political and economic life of people. The use of administrative authority to manage a country's affairs in a way that is judicious, efficient, effective, equitable and can alone justify that the governance is used as means for implementing policy stipulation and program management. The governance broadly includes the complex array of, processes, interactions, relationships and institutions through which the government manages the affairs of the citizens. The key role is performed by the persons employed or involved in the delivery of public service. This could be bureaucracy, the NGOs, the members of civil society and all other citizens of state and society who are the building blocks of a given system. The role of public service in a democracy is to consider ideas, understand and interpret the future challenges, and give expert advice to the government about the strategies that will best deliver the outcomes of the democratically elected government.<sup>4</sup>

Governance does not mean government alone. The market forces, media, political parties and NGOs are all part of the country's governance. The public service is not accustomed to this

emerging reality. In recent years the power of the media has become explosive, if used without responsibility. Accountability does not mean less authority to govern. Rather it means the use of authority in a more responsible manner for the well being of the greatest number.<sup>5</sup> To ensure the quality of life human development indicators of primary health care, basic education, access to justice, clean water and sanitation, population welfare and poverty are not only addressed but resolved in the best interest of the people and as per rules and laws. The corrupt officials and politicians who act as impediments to the freedom of the people to do what they think are good for them are the bane of the system. Over the years, they have unconsciously been undermining the authority of the government by breaking up the administrative machinery into conflicting centers of authority. In some cases, the authority of the Judiciary is negated by the executive or by the legislative bodies; and the authority of the legislatures is diminished by the court's powers of judicial review.<sup>6</sup>

The economic miracle of East Asian Economies in the 1990s was mostly based on Public Policies made in the best interest of the people as well as the exclusive emphasis on good governance irrespective of the sector or ministry or department. "The public service in Malaysia had adopted the Total Quality Management, which embodies seven principles, namely (1) top management support, (2) formulating quality strategic plan, (3) customer focus, (4) training and recognition, (5) enhancing team work, (6) performance measurement, and (7) quality assurance.

The client's charter, a written commitment by a public sector agency to provide a service in conformance with assured standards, was also introduced.”

### **Where is the Crisis of Governance in Pakistan?**

There is a great divergence of views on the issue. For the ruling elite it does not exist but has been artificially created through media hype. The opposition parties in politics have their interpretation that the crisis is looming so large that the government cannot sustain its majority. Both are extreme views. The question remains as to how to determine the real dimension of the crisis of Governance? I would like to explain the situation with reference to the health sector in the context of the goals of the Millennium Development Goals (MDGs) to which Pakistan has made a commitment. List of Millennium Development Goals (MDGs) and Targets given at Annex-I.

The failure of state institutions to effectively respond to the needs of ordinary citizens has led to crisis of poor public service delivery in the health sector. The constant and rapid deterioration has further widened the gulf between civil society and state functionaries. The poor management of the country's economic, social and political institutions poses a serious challenge. It is now clear that the achievement of MDGs in the health sector in Pakistan would not be possible with the present level and quality of financial expenditure on the health sector.<sup>7</sup>

Disease gets a blank cheque when it comes to health sector. “One out of every eight Pakistani is on the brink of diarrhea, cholera, malaria, hepatitis, meningitis, dysentery, skin disease, asthmatic attack, dengue fever or insomnia”.<sup>8</sup> The health indicators have not shown any improvement in the allocation of Gross Domestic Product (GDP) during the last five years as shown below:

**Table - 1**  
**HEALTH & NUTRITION EXPENDITURES (2000-01 TO 2009-10)<sup>9</sup>**  
*(Rs. billion)*

Fiscal Years	Public Sector Expenditure (Federal and Provincial)				
	Total health Expenditures	Development Expenditure	Current Expenditure	Percentage Change	Health Expenditure as % of GDP
2005-06	40.00	16.00	24.00	5.3	<b>0.51</b>
2006-07	50.00	20.00	30.00	25	<b>0.57</b>
2007-08	60.00	27.22	32.67	20	<b>0.57</b>
2008-09	74.00	33.00	41.10	23	<b>0.56</b>
2009-10	79.00	38.00	41.00	7	<b>0.54</b>

The millennium summit 2000 convened by the United Nations is a landmark in the history of this global organization. The heads of 189 states and governments attended the summit and approved the MDGs. The MDGs are defined procedures for a dramatic reduction in poverty and marked improvements in the living conditions of the poor. They constitute a development agenda comprising quantitative goals time bound targets, and numerical indicators. Pakistan is a signatory to the MDGs.

The following table shows the MDGs targets for Pakistan.<sup>10</sup>

**Table - 2**  
**MDGs TARGETS FOR PAKISTAN**

<b>Indicator</b>	<b>1990</b>	<b>2009</b>	<b>By 2015</b>
<b>Reduced child mortality</b>			
Under-5 mortality rate (per 1,000 live births)	140	95	<b>47</b>
Infant mortality rate (per 1,000 live births)	120	74	<b>40</b>
Proportion of fully immunized children 12-23 months (%)	25	60	<b>90</b>
<b>Improved material health</b>			
Material mortality ratio (per 1,000 live births)	550	300	<b>140</b>
Births attended by skilled birth attendant (%)	-	30	<b>90</b>
Contraceptive prevalence (%)	12	30	<b>90</b>

- = data not available, MDGs = Millennium Development Goals

Source: Progress on Agenda for Health Sector Reform, Ministry of Health, Islamabad, Pakistan.

An analysis of the above table reveals that the average annual reduction in U5MR is only 2.3 over a period of 19 years from 1990 to 2009. With this progress the U5MR reduction by 2015 would be 83 per thousand live births against an MDG target of 47. At this rate it would take Pakistan another fifteen years to achieve the MDG target. Hypothetically, if the implementation is accelerated 100%, for which there is neither any precedence nor possibility even then it would require eight more years to achieve MDG. A caveat to this assumption is that the annual population growth rate would be 1.5 percent or below which is not going to happen.

The infant mortality rate over the last nineteen years has decreased by 2.4 on an average per year. From present 74 it has to reach 40 to achieve MDG. At the present rate of progress the gap would be 28 which would take about twelve years to achieve MDG.

The average annual increase of fully immunized children has been 1.8% during the last nineteen years. In 2009 about 60% children were fully immunized and as per the MDG it has to reach 90% by 2015. This means that 6% annual increase is required for child immunization surpassing the average of 1.8% of the previous two decades. Hence this goal would not be achieved as part of the reduced child mortality indicator.

The indicators of maternal health care and MDG achievements seem most implausible. The maternal mortality rate (MMR) has decreased to 300 from 550 (per 100,000 live births) during the last nineteen years which mean an annual decrease of 13. The MDG is 140 hence the gap is 160 and this would be filled in about twelve years at the present rate of progress with the condition that the annual population growth rate (at present 2.1%) is reduced to 1.5 %.

The MDG for skilled birth attendant is 90% by 2015. In 2009 it was only 30%. There is no implementation mechanism (trained attendants, necessary medication, emergency care) to accelerate the progress. Hence this goal would be nowhere near to its achievement by 2015.

The contraceptive prevalence rate at 30% is abysmal. During the last two decades the increase in contraceptive use has been less than 1%. The MDG is 90% so the gap is 60%. At this rate it would take as many years to achieve the MDG. The following table sums up the analysis with expected achievement year.

**Table – 3**  
**ANALYSIS OF EXPECTED DELAY IN THE**  
**ACHIEVEMENT OF MDGS**

Indicator	1990	2009	Average Annual Achievement	2015 Target	Gap between 2009 – 2015	Expect-ed Achievement Year	Expected Delay in Years
Under-5 mortality rate (per 1,000 live births)	140	95	2.3	47	38	2030	15
Infant mortality rate (per 1,000 live births)	120	74	2.4	40	28	2027	12
Proportion of fully immunized children 12-23 months (%)	25%	60%	1.8%	90%	30%	2031	16
Material mortality ratio (per 1,000 live births)	550	300	13	140	160	2027	12
Births attended by skilled birth attendant (%)	-	30%	3%	90%	60%	2035	20
Contraceptive Prevalence	12%	30%	1%	90%	60%	2075	60

Malaria is on the increase in the country because of lack any serious effort on the part of the government to plan and implement any effective program. One reason perhaps is that it is considered a disease of the poor man who has no constituency. This disease has been a major cause of morbidity and the second most prevalent and devastating in the country.

The governance can neither be properly understood nor genuinely implemented without creating a society which is knowledge friendly and not averse to new challenges. Hence the key to the future strength of a society is knowledge which would lead the world and future generations of any nation. Knowledge is the new source of wealth and is functional at two critical aspects of

competitive advantage which is productivity and innovation. When knowledge is applied to what we already know, we call it productivity and when it is applied to new and different things, we call it innovation. Both require application of knowledge to work. One of the great tasks facing most of the developing countries at the moment is to provide a sufficient number of relevant kinds of professionals and a highly trained working force. In the ultimate analysis, knowledgeable professionals will be playing a significant roles in any scheme of things. These individuals would be the driving force for the generation of knowledge to maximize the welfare of the masses.<sup>11</sup>

The need for quality leadership – a nation's ability to inculcate the love for knowledge and ultimately produce a knowledgeable society is necessary but is not sufficient to produce a civil and competitive society. It requires an extra achievement. It is an important and urgent agenda that serious efforts are made to produce quality leaders at all levels which include institutions, public or private, corporate or non-corporate, government or non government.<sup>12</sup>

## **Good Governance**

Good governance is based on the pedestal of a knowledge society engineered through human resource development. The private and public sector, civil and political, individual and institutional agents of the proposed social change will also have to



be groomed for their future roles and responsibilities by a systemic process of moral transformation and ethical evolution to focus on the collective national and human interests. Such interests can only be protected and promoted by means of matching national spirit and humaneness which are conscientiously cultivated by an apt ideological inspiration and humanizing motivation. Educational, civil and military bureaucratic reforms must radicalize the existing national system and sub systems along these lines, in order to achieve the aforestated objectives. This is, of course, apart from and in addition to modern futuristic general and professional education for acquiring expertise and specialization for good governance. Institutional reform and restructuring is urgently needed and there is no need to create new institutions.<sup>13</sup>

In the market economies financial decisions are based on price mechanism but even in such economies governments are expected to perform certain key functions. These include:

1. Monitoring macro-economic stability
2. Developing infrastructure
3. Providing public goods
4. Preventing market failure
5. Promoting equity.<sup>14</sup>

In the early 1990s the United Nations Development Report based on the human development index overwhelmingly changed the development perspective from economic growth to human development and identified a new set of indicators according to which Education (primary and literacy), Health (Child Health,

Infant Mortality, immunization) water and sanitation (potable water, availability and use of sanitation) became the dominant features of good governance. Pakistan figured quite poorly as per the new criteria, occupying the 140<sup>th</sup> position in world ranking. However, the World Bank as the leading lending agency and development partner has a broader context of governance in which an adequate economic returns is to be determined before hand for the purpose of funding programmes and projects.

The concept of governance is concerned directly with the management of the development process, involving both the public and the private sectors. It encompasses the functioning and capability of the public sector, as well as the rules and institutions that create the framework for the conduct of both public and private business, including accountability for economic and financial performance, and regulatory frameworks relating to companies, corporations, and partnerships.<sup>15</sup> In broad terms, then, governance is about the institutional environment in which citizens interact among themselves and with government agencies and officials. But this policy was somewhat modified by the World Bank in the 1990s when funding was considered necessary and provided for social sector development as soft loan in the sectors of Education (formal), Health, Water, Sanitation, and Population Welfare, etc.

The changed focus of the World Bank and the UNDP on human development also changed the priorities of national governments. Pakistan was no exception in this regard. In the

1990s the Social Action Programme (SAP) with the components of Primary Health Care, Basic Education, Population Welfare and Water and Sanitation was launched in Pakistan. This was a multi billion rupees programme which was provided under the SAP but the major contribution (more than 80 percent) came from the government of Pakistan. The remaining 20 percent was contributed by Asian Development Bank, World Bank and some bilateral and multilateral donor agencies. The implementation of the first phase of the programme for a period of four years revealed a bag of mixed results but these were considered acceptable for the second phase of four years. However, the programme was discontinued after two years because of massive financial corruption. The lesson was learnt that the poor implementation and weak monitoring was due to the absence of good governance. As a result the Government of Pakistan introduced good governance at the level of policy, plan, program and project implementation.

### **Characteristics of Good Governance**

The World Bank has identified the key areas of intervention for good governance which include:

1. Public sector management
2. Accountability
3. Legal framework for development
4. Transparency and information.

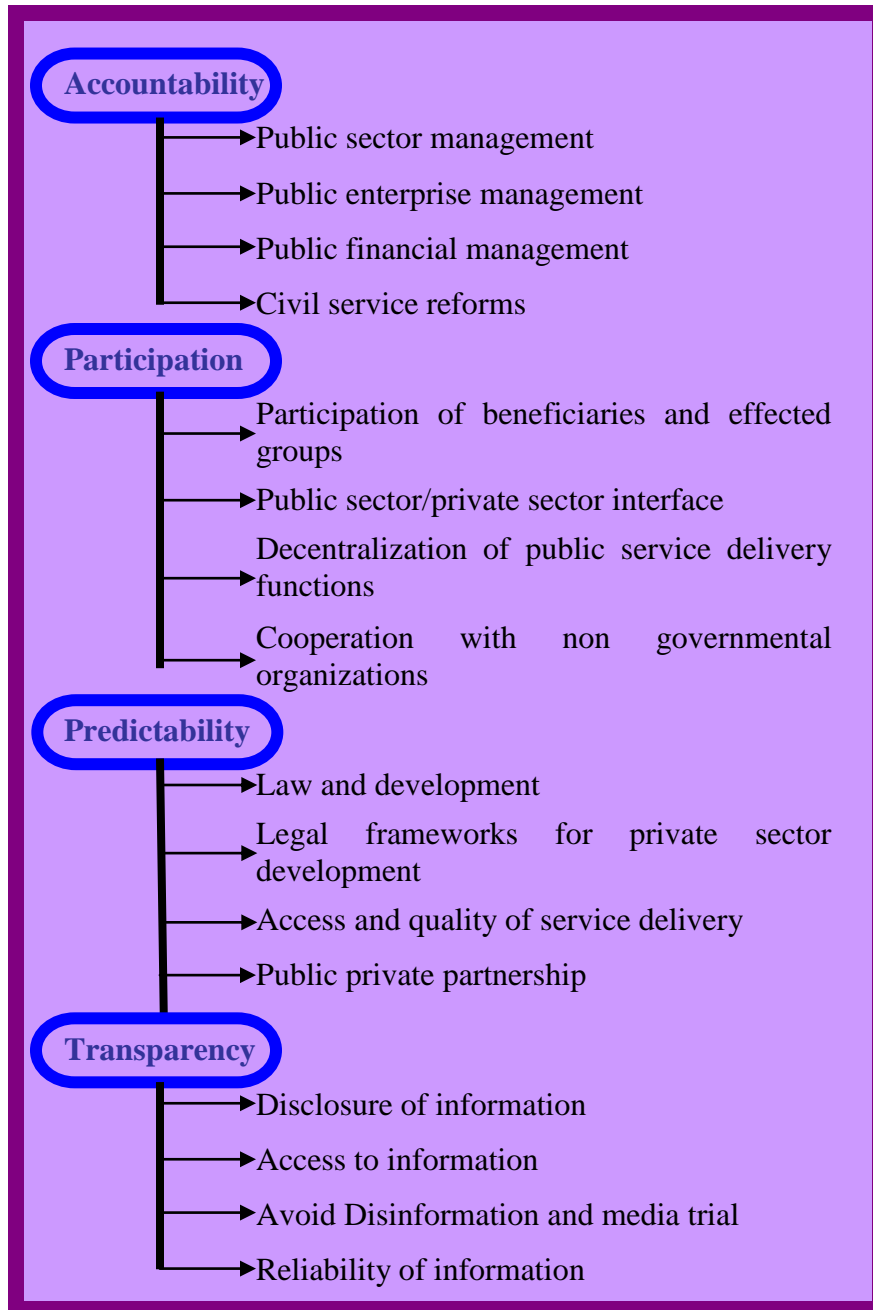
Sound development management synonymous with good governance has become an important approach for the Asian

Development Bank. The public sector management is indeed a key area of reform not only from the perspective of the World Bank and Asian development Bank but also to enable the government of Pakistan to create an efficient and effective system of governance. The Asian Development Bank has identified four major areas of governance in which reforms are required horizontally as well as vertically to meet the needs of people at large. These areas are:

1. Accountability
2. Participation
3. Predictability
4. Transparency

“A key responsibility of government is ensuring that the benefits of economic growth are equitably distributed across society. Taxation and expenditure measures are prominent instruments for this purpose. While taxes should not be excessive (so as not to discourage production and growth), they should be collected effectively to provide adequate revenue for essential services (and help maintain fiscal balance). The latter consideration also requires that public spending avoid excessive debt-service burdens and subsidies for low priority activities be phased out. This underscores the close relationship between equity and macroeconomic stability”.<sup>16</sup> Based on these aspects of governance the following conceptual model emerges for elaboration and action.

# Characteristics of Good Governance



## **Accountability (Building Government Capacity)**

“The accountability of public sector institutions is facilitated by evaluation of their economic and financial performance. Economic accountability relates to the effectiveness of policy formulation and implementation, and efficiency in resource use. Financial accountability covers accounting systems for expenditure control, and internal and external audits”.<sup>17</sup>

This requires establishing a criterion to measure the performance of public officials and make them answerable for government behavior and the needs of society. This also includes effective policy formulation, implementation and efficient resource utilization.<sup>18</sup>

Key Areas of Action are:

- Public sector management
- Public enterprise management
- Public financial management
- Civil service reforms

## **Participation (Participatory Development Process)**

“At the grassroots level, participation implies that government structures are flexible enough to offer beneficiaries, and others affected, the opportunity to improve the design and implementation of public programs and projects. This increases “ownership” and enhances results. At a different level, the effectiveness of policies and institutions impinging on the

economy as a whole may require the broad support and cooperation of major economic actors concerned. To the extent that the interface between public agencies and the private sector is conducive to the latter's participation in the economy, national economic performance (comprising the combined contributions of the public and private sectors) will be enhanced".<sup>19</sup>

People are at the heart of development. They are not only beneficiaries of development but also change agents. This creates an ownership of programmes and policies.

Key Areas of Action:

- Participation of beneficiaries and affected groups
- Public sector/private sector interface
- Decentralization of public service delivery functions (empowerment of local governments)
- Cooperation with non government organizations.

### **Predictability (Legal Framework)**

“Predictability refers to (i) the existence of laws, regulations, and policies to regulate society; and (ii) their fair and consistent application. The importance of predictability cannot be overstated since, without it, the orderly existence of citizens and institutions would be impossible. The rule of law encompasses well defined rights and duties, as well as mechanisms for enforcing them, and settling disputes in an impartial manner. It requires the state and its subsidiary agencies to be as much bound by, and

answerable to, the legal system as are private individuals and enterprises”.<sup>20</sup>

It provides for laws, regulations, and policies, which will regulate the society through fair and consistent execution. The rule based system helps ensure that business risks be assessed rationally, transactions costs be lowered and government arbitrariness be minimized.

Key Areas of Action:

- Law and development
- Legal frameworks for private sector development
- Access and quality of service delivery.
- Public private partnership

### **Transparency (Information Openness)**

“Transparency in government decision making and public policy implementation reduces uncertainty and can help inhibit corruption among public officials. To this end, rules and procedures that are simple, straightforward, and easy to apply are preferable to those that provide discretionary powers to government officials or that are susceptible to different interpretations. However, well intentioned the latter type of rule might be in theory; its purpose can be vitiated in practice through error or otherwise”.<sup>21</sup>

It enables access of information to general public, clarity about government rules, regulations and decisions. This would



mean reducing uncertainty about government decisions and public policy implementation, and also inhibiting corruption among public officials.

Key Areas of Action:

- Disclosure of information
- Access to information
- Disinformation and media trial
- Reliability

## **Conclusions**

Good governance is not only meant to stimulate intellectual discourse but it has to deliver services in such a way that the benefits accrue to the people from the policies, programs and projects undertaken by the government. The benefits of these efforts should be accessible to the people at large. Good governance has to deliver results in at least four areas. First it includes the facilitation and satisfaction of the customer second the well being of employees third, growth and development of the organization, and fourth the investor. The terminology may seem odd because it has been used in the business enterprises but it could relate to any sector with the same effectiveness and clarity.

For example, take the case of Basic Health Unit (BHU), a facility provided by the government in the rural areas mostly at village level. The customer is the patient that visits the BHU with some ailment and he/she expects that a doctor should examine

him/her, diagnose the disease and give medicine. If any of these steps is missing then the customer is not attended properly hence not satisfied with the service delivery, management of the unit and unhappy with this institution for which the government has regularly employed at least fifteen persons, including a fully qualified doctor and support staff. The government has also provided purpose built building for the BHU and residence for the doctor and some of the staff members. If the patients are not properly attended then it is a situation of poor governance where resources are wasted.

The well being of employees means sufficient pay for a respectable living, incentives and opportunity of promotion for good work, leave facility and education prospects for the children of the employees. This would be the minimum requirement for the well being of the workers employed in the unit.

The growth and development of the unit entails improved facilities for patients. This would include, over a period of time, a small operation theater, some specialist doctors and other medical facilities and opportunity of professional growth and specialized training.

Finally, the investor. Here the investor is government. The BHU is an investment but not in the traditional and limited economic sense. It is an investment in human development. A healthy workforce is efficient, more productive and cost effective. Also the establishment of BUH by the government is not meant to generate income but to enable a healthy and happy community.

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## *Chapter Two*

### **RESULT BASED MONITORING AND EVALUATION**

When Alice encounters the Cheshire cat in Wonderland, she asks, “Would you tell me, please, which way I ought to walk from here?” “That depends a good deal on where you want to get to”, said the Cat. “I don’t much care – as long as I get somewhere”, said Alice. “Then it doesn’t matter which way you walk”, said the Cat -  
Lewis Carroll

#### **INTRODUCTION**

**D**uring the 1990s, the public sector was undergoing extensive reforms in response to economic, social and political pressures. Public sector deficits, structural problems, growing competitiveness and globalization, a shrinking public confidence in government and growing demands for better and more responsive services as well as for more accountability were all contributing

factors. In the process, the logical framework approach was gradually introduced in the public sector in many countries. This morphed during the same decade in RBM as an aspect of the New Public Management, a label used to describe a management culture that emphasizes the centrality of the citizen or customer as well as the need for accountability for results.

The international donors and lending organizations have been working to deliver services and activities and to achieve results in the most effective way. Traditionally, the emphasis was on managing inputs and activities and it has not always been possible to demonstrate these results in a credible way and to the full satisfaction of taxpayers, donors and other stakeholders. Their concerns are straightforward and legitimate: they want to know what use their resources are being put to and what difference these resources are making to the lives of people. RBM was especially highlighted in the “2005 Paris Declaration on Aid Effectiveness” as part of the efforts to work together in a participatory approach to strengthen country capacities and to promote accountability of all major stakeholders in the pursuit of results.

In the “Programme for Reform”, presented by UN Secretary General to the UN General Assembly in 1997, it was proposed that the UN “place greater emphasis on results in its planning, budgeting and reporting and that the General Assembly move the budget of the United Nations from input accounting to accountability for results... shifting the focus of planning, budgeting, reporting and oversight from how things are done to

what is accomplished”. Since then, the notion of results and “results-based management” became a central aspect within the UN system and a global trend among international organizations, reinforced by new commitments.<sup>1</sup>

Whenever any project or program comes into operation there arises the need for some kind of mechanism by which the progress of implementation can be readily assessed. This mechanism is referred to as monitoring. This entails systematic procedure to collect and analyze information to measure the effectiveness of planning and management of the project periodically. The basic purpose of monitoring is to identify the areas requiring corrective action in order to ensure successful implementation of activities as per schedule or work plan. Monitoring generally includes analyses and review of the progress in terms of i) financial cost and expenditure; ii) physical progress/achievement; iii) time for completion of various activities including availability of resources (Financial, Technical, Manpower); iv) avoiding pitfalls experienced in similar situation and v) incorporating procedures for timely completion and achievement of targets. “The continuous and systematic collection and analysis of information (data) in relation to a program or project that is able to provide management and key stakeholders with an indication as to the extent of progress against stated goals and objectives. Monitoring focuses on processes (activities and outputs) but also monitors outcomes and impacts as guided by an accompanying Evaluation Plan”<sup>2</sup>.

**Monitoring** is the periodic oversight of the implementation of an activity which seeks to establish the extent to which input deliveries, work schedules, other required actions and targeted outputs are proceeding according to plan, so that timely action can be taken to correct deficiencies, if any. Monitoring is also useful for the systematic checking on a condition or set of conditions as provided in the program or project.<sup>3</sup> However, Monitoring is not financial accounting because each organization or a system has very elaborate Audit and Accounting system working for the government. Financial analyses are a part of monitoring but this cannot be overstretched to micro financial management.

The purpose of monitoring is to provide timely information and give feedback to the management on vital stages in project implementation. Monitoring is a concurrent activity associated with every stage of the execution of the project. The periodic feedback on the progress of the project helps project management to know the achievement of the project vis-à-vis targets. It helps the management to take appropriate steps for proper implementation of the project. It can correct lagging time schedule, synchronization of related project activities and identify the gaps in various components of project implementation. It is a system of forewarning the deviation of the project from its character or targeted courses<sup>4</sup>. Monitoring and evaluation performs the function of accountability, project management and facilitation of learning to achieve results.



The monitoring function involves i) Observing actual performance, comparing it with the targets and identifying shortfalls; ii) Raising warning signals in advance by analyzing the actual physical progress of critical milestones as per the network in terms of the scheduled dates as well as the latest dates of completion and informing the decision makers; iii) Identifying the problem areas, analyzing the problems, suggesting action areas, and iv) Giving feedback of the decision to the implementing agencies, developing data-bank etc<sup>5</sup>.

**Evaluation** is a process which attempts to determine as systematically and objectively as possible the relevance, effectiveness, efficiency and impact of activities in the light of specified objectives. It is a learning and action-oriented management tool and organizational process for improving current activities and future planning, programming and decision-making.

Evaluation is 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. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision making process of both recipient and donors<sup>6</sup>. “Planned and periodic assessment of program or project results in key areas (e.g. appropriateness, effectiveness, efficiency, impact and sustainability). The evaluation builds on the monitoring process and by identifying the

level of short to medium-term outcomes and longer term impacts achieved; the intended and unintended effects of these achievements; and approaches that worked well and those that did not work as well; identifying the reasons for success or failure and learning from both. The evaluation process will also provide a level of judgment as to the overall value of the program or project".<sup>7</sup>

### **Difference between monitoring and evaluation**

In juxtaposing these two definitions, it is evident that they are distinct yet complementary. Monitoring gives information regarding where a policy, program, or project is at any given time (and over time) relative to respective targets and outcomes with descriptive intent. Evaluation gives evidence of why targets and outcomes are or are not being achieved. It seeks to address issues of causality. Of particular emphasis here is the expansion of the traditional M&E function to focus explicitly on outcomes and impacts.

There is also some overlap between the two concepts because both are management and planning tools. However, there are some differences in the two terms. Monitoring is done against the identified activities of the project whereas evaluation focuses more on the objectives of a project, Secondly monitoring is an ongoing and constant activity whereas evaluation is periodic to be done and completed within a specific time. Thirdly, monitoring is

generally considered and practiced as an internal activity of the project but this does not mean that monitoring cannot be done externally. Evaluation is both internal and external. Usually internal monitoring is considered as a routine activity without instituting specific indicators or timeframe hence external monitoring obtains greater importance to measure the ongoing implementation status of project/program.

. The complementary role of Result Based Monitoring and Evaluation is highlighted in the following table.

<b>Monitoring</b>	<b>Evaluation</b>
<ul style="list-style-type: none"> <li>• Clarifies program objectives</li> <li>• Links activities and their resources to objectives</li> <li>• Translates objectives into performance indicators and sets targets</li> <li>• Routinely collects data on these indicators, compares actual results with targets</li> <li>• Reports progress to managers and alerts them to problems</li> </ul>	<ul style="list-style-type: none"> <li>• Analyzes why intended results were or were not achieved</li> <li>• Assesses specific casual contributions of activities to results</li> <li>• Examines implementation processes</li> <li>• Explores unintended results</li> <li>• Provide lessons, high-lights significant accomplishment or program potential, and offers recommendations for improvement.</li> </ul>

## **Logical Framework**

The logical framework is meant to present the result chain as to how the activities and inputs are expected to lead to the achievement of intended outcomes and outputs. The program activities and outputs are linked to expected outcomes and impacts. The program logical components include inputs, activities, output, outcomes and impact.

## **Program Logic Components**

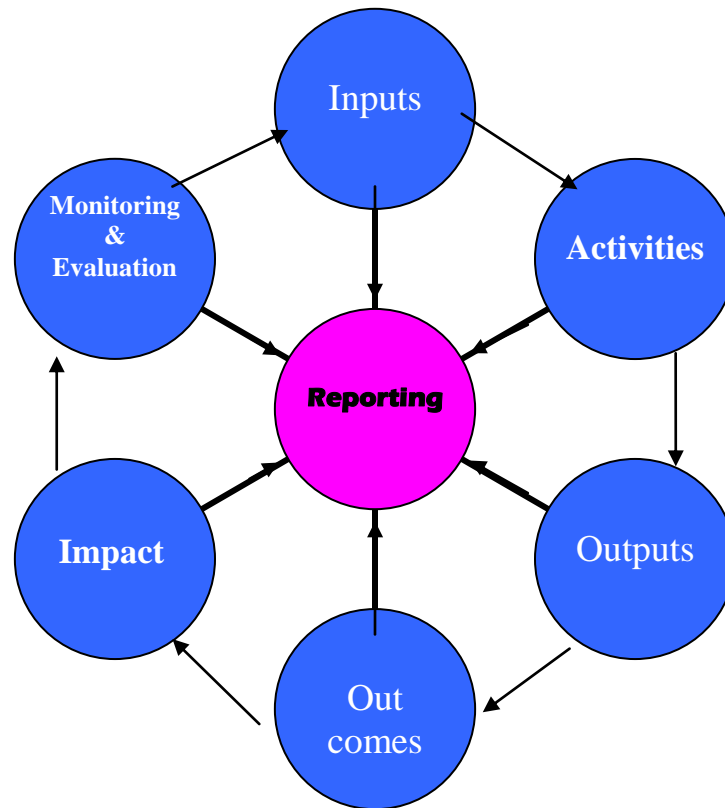
**Inputs:** It includes all the financial, human and material resources

**Activities:** The actions or the tasks undertaken by the personnel to transform inputs into outputs

**Outputs:** Program yield or products including those relevant to the objectives and related to the achievement of outcomes

**Outcomes:** The attainment and accomplishment or likely achievements of short to medium-term effects from outputs in fulfillment of purpose

**Impacts:** long-term effects, directly or indirectly, intended or unintended, against the goals or purpose

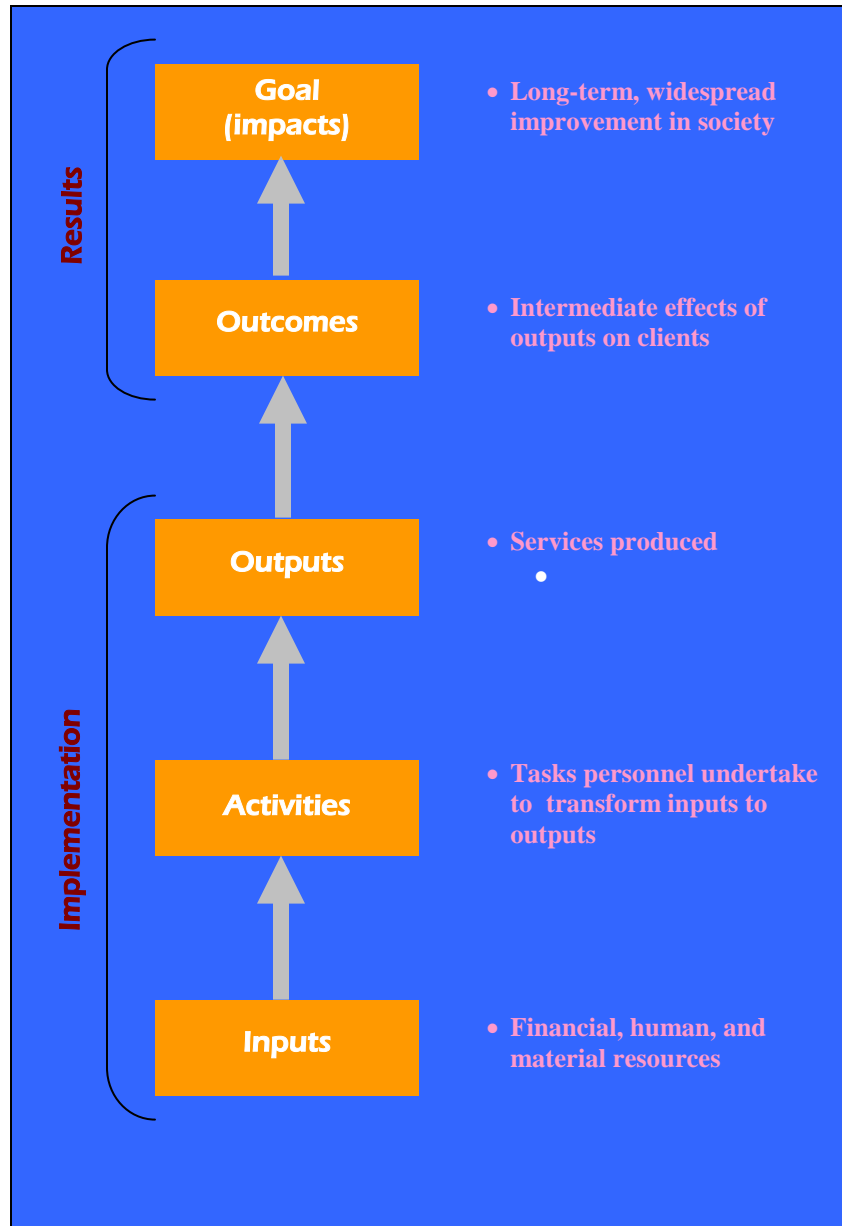


### **What is Result Based Monitoring (RBM)?**

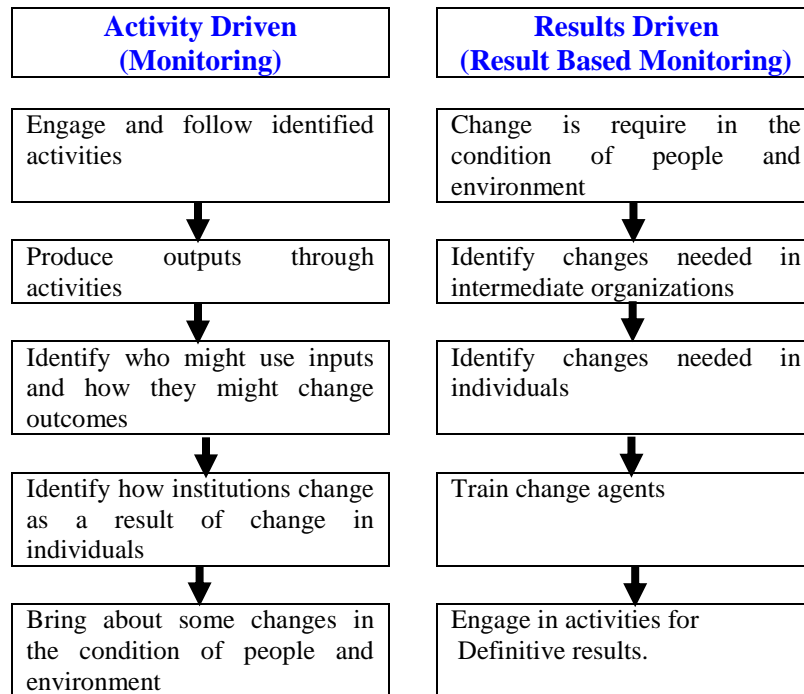
The Result Based Monitoring (RBM) is a management tool, both for public and private sectors, which would be able to measure that each activity in a program or project yields results. The result would also demonstrate, possibly in qualitative and quantitative terms, the achievement of the task reflected in the work plan against specific time frame and expenditure. In the public sector RBM intends to increase governments' ability to professionally develop and efficiently implement policies;

demonstrate effectiveness in use of resources and above all deliver meaningful results. The RBM demands Transparency, Accountability, Predictability and Participation in the implementation of policies and programs as these are the key indicators for good governance, accepted internationally. The result based evaluation is an assessment of planned, ongoing, or completed intervention to determine relevance, efficiency, effectiveness, impact and sustainability. It is not possible to identify or develop a uniform set of indicators for each sector or sub-sector. For example, there could be different projects of health sector being implemented by the Ministry of Health. One such project may be a nationwide Expanded Program of Immunization (EPI) initiative and the other could be HIV/AIDS project. Now the first one emphasizes more on service delivery whereas the second one focuses on advocacy. Hence the indicators for each project could vary accordingly as per the activities of the project. The next diagram further clarifies the components of RBM.

# RESULT BASED MONITORING



**Difference between Monitoring and Result Based Monitoring can be categorized by activity driven and result driven approach.<sup>8</sup>**



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

- Monitoring is focused on tracking evidence of movement towards the achievement of specific, predetermined targets
- Evaluation takes a broader view of an intervention, considering not only progress toward stated goals, but the logic of the initiative, as well as its consequences



- Both are needed to be able to better manage policies, programs, and projects

### **Why Monitoring is inevitable and what Strategies can be considered?**

The monitoring is a part of general management. It aims to ensure high efficiency and effectiveness of the implementation process of Policies, Programs and Projects. However, there is a possibility that a program or project may be well designed and the resources have been made available for the implementation, even then the objectives of the program are not achieved. Hence modifications and adjustments become necessary in implementation which has to be done through effective and regular monitoring system.

The importance of monitoring various aspects of socio-economic development and its impact on the people has been emphasized by UN General Assembly Resolution 40/179 entitled “Patterns of Consumption: Quantitative aspects of development”. The resolution reiterates that the improvement of basic national programs related to Health, Education, Housing, Food and other necessary social services are required to be monitored by the national governments. This is considered imperative to improve the quality of life of the population.<sup>9</sup>

The development and monitoring of the social sector is one of the prime responsibilities of the State as enshrined in the Constitution of Islamic Republic of Pakistan which says “provide

basic necessities of life such as food, clothing, housing, education, medical relief - - - reduce disparities in the income and earnings of individual”.<sup>10</sup> The Planning Commission as a ‘knowledge commission’ has committed in its Vision 2030 that “developed, industrialized, just and prosperous Pakistan through rapid and sustainable development in a resource constraint economy by developing knowledge inputs”<sup>11</sup> would be the guiding principles for the country. These resolutions and commitments need to be translated into action including the strengthening and institutionalizing of a monitoring system to track progress against the respective goals.

The monitoring of development programs may be considered from three different perspectives. First, the collection and analysis of aggregate national level data viewed from the national and international point of view. Second, the sub-national level monitoring has to be carried out which includes provinces, districts and other levels of geographical dis-aggregation. Third, the intensive monitoring and evaluation of projects and program as is being done by the Projects Wing of the Planning Commission. In terms of the analysis of national aggregate data which is the mandate of the planning commission, it is required to ensure that the benefits of social development are widely distributed specially to the deprived and underprivileged population. If the proper monitoring of the social sector is not institutionalized it would deprive the population of the benefits of development. Extensive program of monitoring to measure various trends and levels of

socio-economic progress and well-being have to be developed or modified as per the needs of the country.

Another area in which considerable national efforts have been made is the potential use of social indicators especially in program and project planning, monitoring and evaluation. The project wing of the planning commission has made good efforts to establish a Project Monitoring and Evaluation System (PMES). This system is tracking the Public Sector Development Projects of different Ministries/Divisions.

There are various strategies and techniques for the improvement of scope, compatibility of the data sources and social indicators which may include the followings:

- i) The coordination and harmonization of monitoring classifications and definition for data collection and analysis has to be reviewed. This requires the precise definitions of some of the terms used very often in the social sector development – i.e. basic education, net/gross enrolment, literacy, and primary health care.
- ii) It is imperative that the scope of the existing PMES should be extended to monitor the policies of government in general and the social sector in particular. This should be one of the priority areas for the next Five-Year Plan.
- iii) The use of information and data, generated through household surveys, is of immense necessity. At present several organizations and institutions are working on this kind of data related to social sector. This includes Pakistan

Integrated Household Survey, Pakistan Labor Force Survey, Educational Management Information System, Health Management Information System etc. This reflects efforts are duplicated with wastage of resources and data compromising the quality of information and analyses.

- iv) There is need for increased capabilities for data tabulation, analysis and estimates which contribute to the preparation of compendiums of social indicators and approaches. The Federal Bureau of Statistics with its outreach offices at Provincial and District level should coordinate this effort but also upgrade its capacity in terms of necessary skills in data analysis and report writing.
- v) National Census would be undertaken in the next few months in the entire country. This opportunity should be availed by adding/ modifying certain questions about the development of social sector so that the baseline information would become available for different indicators with the completion of the census.<sup>12</sup>

### **Planning a Monitoring System: Eight-Step Model**

Planning is a key exercise to establish an effective and efficient monitoring system. Indicators are the means to get the desired information. It is necessary to know the objectives of an activity and the targeted audience. In addition, what is the expected result of the effort and who is the intended user of the service?

Although many indicators can usually be established for each objective, it is important to select a limited number of key indicators that will best demonstrate to accomplish the objectives. There is no standard list as some of the indicators may not be feasible to track in the time period available or with limited resources. Data collection system needs to be reasonably cost effective to make use of the already collected indicators even less than ideal - rather than establish new monitoring systems to collect the optimal indicators.

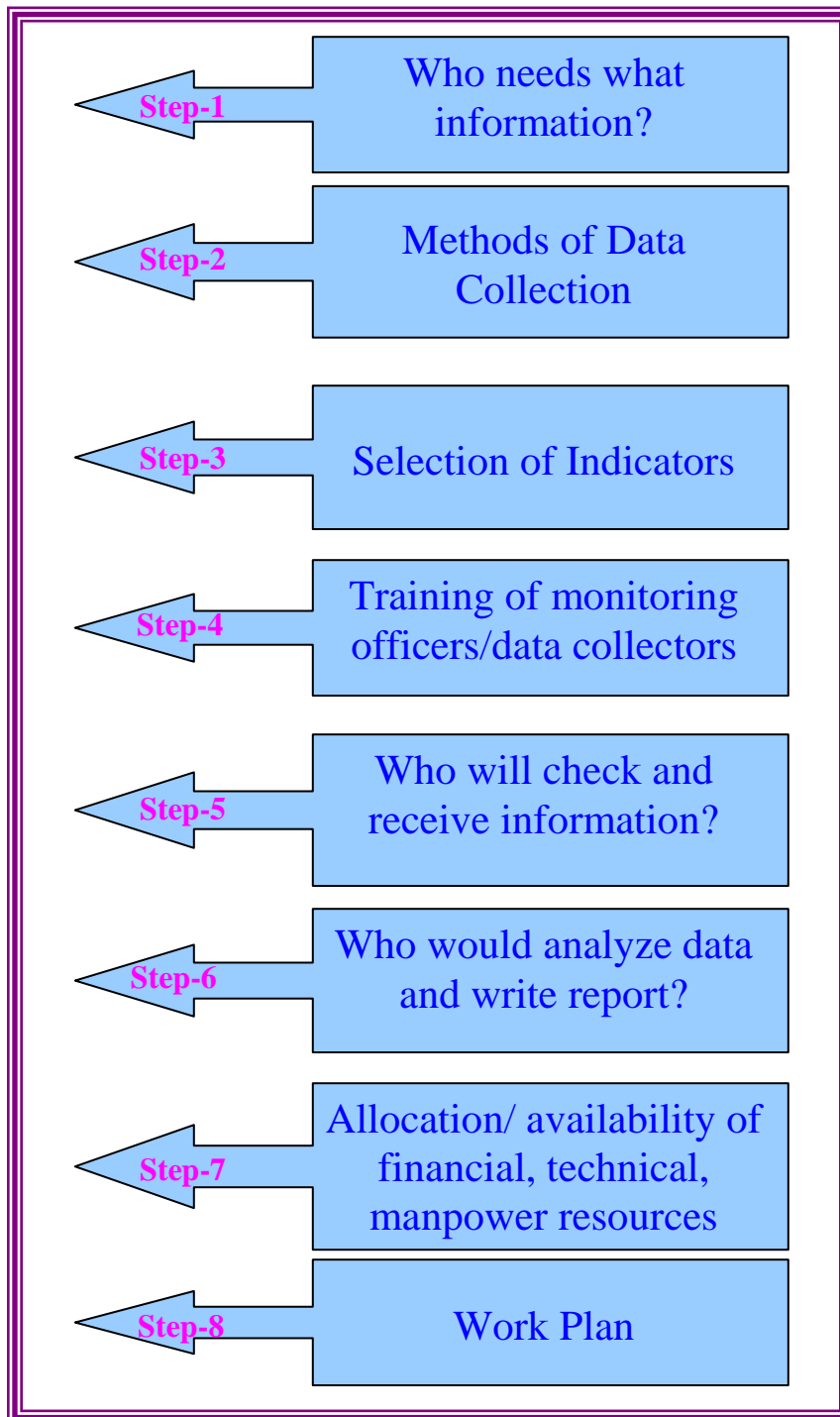
### **Stakeholders**

All the stakeholders should be part of the planning process and understand the need and efficacy of the exercise. The managers and decision-makers are important players to identify which data will be most useful and juxtapose the project activities. The basic principles are: (1) keep the information requirements to a bare minimum; (2) collect the information that will be most helpful to those who will use it. The most common problem is that too much data is being collected, of poor quality that is not being analyzed or used, expending resources that could be better used.

**First Step:** It is important to identify who needs what information, for what purpose, how frequently, and in what form. The national information system should be looked into, where possible, to provide necessary monitoring information. Especially in countries

with severe resource constraints, this may be one of the only regular sources of data.

**Second Step:** Identify the methods which can be used for data collection that includes: observation, interviews, routine reporting and sentinel sites. Both formal and informal, quantitative and qualitative methods can be used to check periodically on certain programme aspects. Decide how information will be recorded systematically and reported clearly.



**Third Step:** The selection of indicators, prima facie, seems easy but in actual practice it is a very difficult task. An indicator is a specific measure that, when tracked over time, indicates progress (or not) toward a specific target. Indicators should be neutral. There are two broad sets of indicators: process and impact indicators. A process indicator would be one used for measuring outputs. There may be a need to prepare separate indicators for activities. Impact indicators are used for measuring outcomes and impacts.<sup>13</sup>

However there are common pitfalls often observed during the preparation and use of indicators. These can be identified as weaknesses.

1. Indicator targets without reference to a baseline.
2. Too many indicators with little consideration of the time, human resources and cost required to collect the indicator data.
3. Copying of indicators without consideration of their relevance to the specific programme context.
4. Inconsistency between the universe of the output and the indicators. For example, the output relating to a few sample areas but the specified indicators relating to the entire country.
5. Infrequent use of gender sensitive indicators.



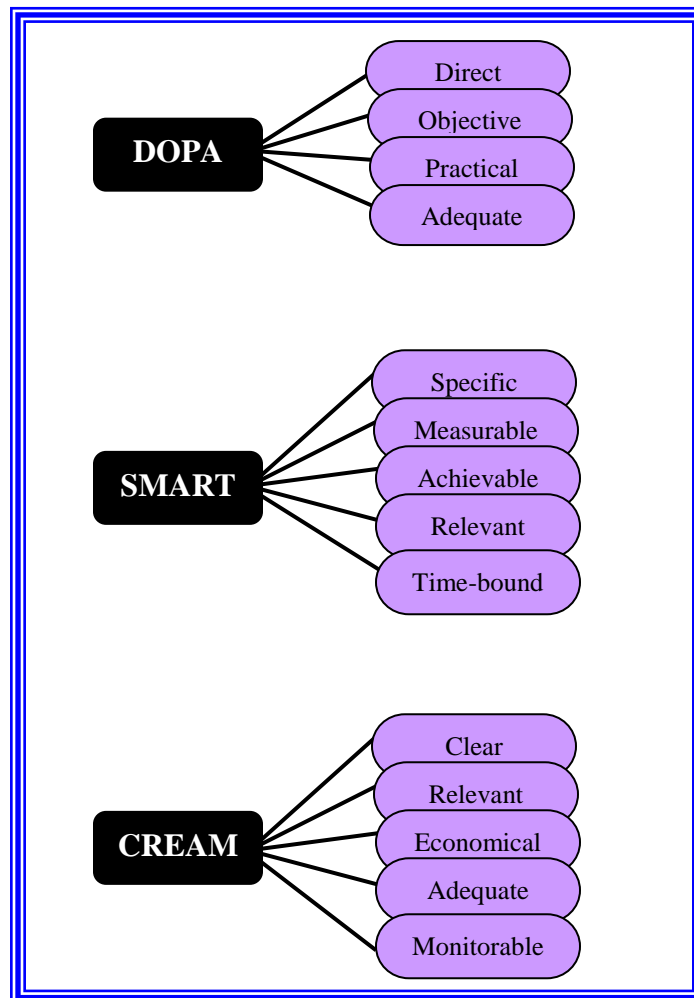
6. Indicators that seem unrealistic due to lack of data to construct the specified indicator and/or because the indicator is very difficult to measure.

These problems for indicator development can be mitigated if following practices are followed:

1. **Start with programme design.** Implications for data collection need to be fully integrated in the design of the programme, including a budget to cover data collection costs.
2. **Use existing data sources and reporting systems where possible.** However, if data is not available, cost effective and rapid assessment methodologies should be considered for supplementary data collection.
3. **Baseline information.** Where change is being assessed obtain baseline data at the start of the programmes, and, if possible, data on past trends.
4. **Partnerships.** Establish partnerships with government, NGOs, bilateral donors and other key stakeholders to collect the data so as to reduce costs.
5. **Ownership.** Involve key stakeholders in the selection of the indicators that will be used to measure programme performance.
6. **Information management.** Plan how the flow of information relating to the indicators will be managed, stored and retrieved in a user friendly data base.

- a. There are three standard ways to assess the relevance and appropriate use of indicators. One is DOPA criteria, the second is SMART and the third one is CREAM. Indicators asks the question as how would we know success when we see it?

### Three ways to identify indicators



## What is DOPA?

They are standards used to assess that the indicators are:

- **Direct:** Closely measure the intended change.
- **Objective:** Unambiguous about what is being measured and which data to be collected; clear operational definition that is independent of the person conducting the measurement.
- **Practical:** Reasonable in terms of data collection cost, frequency, and timeliness for decision-making purposes.
- **Adequate:** The minimum number of indicators necessary to ensure that progress towards the output is sufficiently captured.<sup>14</sup>

## What is SMART?

Make sure your indicators are **SMART** only then it can achieve expected results. Although the nature, scope and form of expected results differ considerably, an expected result should meet the following criteria.

- **Specific:** It has to be exact, distinct and clearly stated. Vague language or generalities are not results. It should identify the nature of expected changes, the target, the region, etc. It should be as detailed as possible without being wordy.

- **Measurable:** It has to be measurable in some way, involving qualitative and/or quantitative characteristics.
- **Achievable:** It has to be achievable with the human and financial resources available ('realistic').
- **Relevant:** It has to respond to specific and recognized needs or challenges and to be within mandate.
- **Time-bound:** It has to be achieved in a stated time-frame or planning period

### **What is CREAM?**

As indicator development has received increased importance hence different organizations adopt diverse methods to develop indicators for the purpose of Monitoring and evaluation. One such way is known by the acronym **CREAM**. There is brief explanation for this category.

- b. Clear
- c. Relevant
- d. Economical
- e. Adequate
- f. Monitorable

**Fourth step:** Training the monitoring officers and those who will collect the data. For example, the number of items to be monitored in a community health programme depends on the capacity of typical health workers, whether they are effectively remunerated,

and how much time they are expected to spend on health work. Also, consider which data collection methods are most credible to policy-makers, planners and managers. Ask each group to comment on the monitoring plan and make suggestions to improve it. Pretest new monitoring instruments.

**Fifth Step:** Once the data is collected from the field or through other techniques then decide who will collect information on indicators, when, and who will receive it. Reporting project progress is at the core of most monitoring systems. Most data collection and analysis will be done by the project staff at various levels. The plan should also identify when the project manager should gather this data and prepare regular progress reports.

**Sixth Step:** Who would analyze the data and write the report? Project managers are responsible for completing written progress reports on a regular basis quarterly or twice a year that include financial and programme information. The monitoring plan can include a progress report form for managers to complete. The monitoring plan should also identify who will be involved in reviewing progress and provide feedback to the managers on a regular basis. The manager may be asked to discuss progress reports with field staff implementing the activities, beneficiaries, superiors and to provide them with information about what has happened and seek their suggestions about improving the services.

**Seventh Step:** It is important that resources, (financial, technical, manpower) to carry out the monitoring plan are made available on time. What resources are needed and available? Human and

financial costs of gathering, reporting and reviewing data should be identified. Needed funds and time should be set aside for this work and, if necessary, the monitoring plan should be adjusted within the context of possibilities.

**Eighth Step:** Designing a monitoring programme does not necessarily mean that it will be implemented. Many beautifully designed plans never got implemented. To ensure its use, a work plan should be prepared for each year listing the main activities to be carried out, their output, timing and parties involved. It should stress who would use the results and how. Reviewing the work plan during informal and annual reviews will keep the monitoring programme alive and facilitate periodic improvements.

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## *Chapter Three*

# **INDIGENOUS FIVE-STEP MODEL FOR RBM (PUBLIC SECTOR)**

**With time and patience the mulberry leave becomes  
a silk gown - Chinese Proverb.**

## **INTRODUCTION**

**T**he word indigenous has been used in the context of Pakistan hence it is a home grown system. Partially this arrangement is in vogue in the Government Ministries / Divisions/ Departments, etc. It has been used by the Planning Commission for the monitoring of Public Sector development programs/projects regularly. However, it has not been documented in a step by step approach. The system has also been further elaborated for those who would be entrusted to undertake the monitoring assignments of the public sector. It can well be used as an input for to the



training of monitoring personnel that may include different cadres of Ministries / Divisions.

Before moving to Five Steps models it is pertinent to mention, what monitoring strategy can be considered for efficient implementation process? The systemic fault lines of flawed policies, mismanagement and inaction poses serious challenge to Project Implementation and Monitoring. As a consequence it not only leads to cost and time overruns of projects but also impinges seriously on the prosperity of marginalized people mostly vulnerable and poor. This is the social cost of poor implementation.

The pivotal role of Monitoring and Evaluation of development projects is a high priority area for any government in Pakistan. This would be achieved by making Planning Commission as “Knowledge Commission” from “Project” Commission. This has been indicated in the vision 2030 report of Planning Commission. This would require higher level of expertise and commitment at all levels of human resources working in the Planning Commission and line ministries. The concept of paperless society and video conference system is no longer a far fetched dream as it has been working in some of the developing countries recently graduated to develop countries, of Asia pacific region. The Planning Commission has made concerted efforts in monitoring the development projects through the establishment of Monitoring and Evaluation System (PMES) and trained its entire staff in Project monitoring. The reporting system is in place and

the data, both qualitative and Quantitative, is flowing from the field through computerize system of PMES. However some problem of connectivity is due to electricity breakdown which slows down the reporting system. This inevitably leads to delayed report generation, which is fed to the planning process for the next development cycle. The existing methodology of monitoring has divided the development projects in to three main categories of Social Sector, Infrastructure and other Sectors. The project monitoring also interfaces the project evaluation for overall effective implementation. This is working well because of the integrated program of PMES.

The effective Monitoring and Implementation of Public Sector Development Program (PSDP) is absolutely imminent. This would not only accelerate the implementation modalities and mechanism but also improve the good governance in the public sector system and avoid mismanagement and inaction. The key priority areas may include:

- People Centric development policies to meet the aspirations of masses through the program of Poverty Alleviation, Employment & Skill Development and Rural Development.
- Massive improvement in the key sectors of Water, Energy and Agriculture along with efficient and effective implementation system for service delivery in areas of Economic growth, Education and Health.

- Comprehensive package for the poor with ensured availability of jobs, food, housing and social safety nets.
- Implementation of Good Governance in the Public sector Institutions by promoting paper less society and central conference system to avoid delay in decision making and minimize traveling expenditure and save time.
- Minimize the time and cost overrun in the implementation of project by developing human resources through skill training at all levels of responsibility.

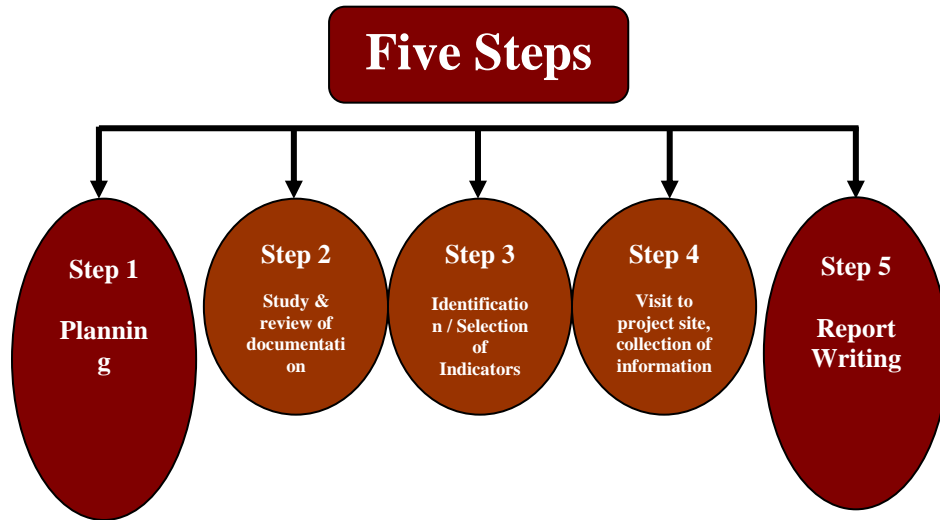
The task is daunting but not formidable if some major modifications are made in the Monitoring and Implementation strategies. This would include certain systemic changes in the Monitoring system.

#### **Management of Monitoring**

- The monitoring of very huge number of projects each year, some what results in compromises on quality. The available human and technical resources need up gradation and improvement. This would mean to avoid spreading the resources thinly and less efficiently. Either the number of projects to be monitored should be reduced or increase the financial technical and manpower resources for this purpose. This would enable the monitoring system to work efficiently and intensely.
- Improvement in project implementation strategy can be instituted if cash and work plans are prepared jointly by the

technical sections of the Planning Commission and line ministries. This would also require the identification of performance monitoring indicators.

- Twenty five percent projects with strategic importance costing over One Thousand Million would be selected for special monitoring. Monitoring of mega projects should start soon after the release of second quarterly installment to catch flaws early for rectification.
- Sectors of Energy, Water and Communications should get priority in monitoring.
- Quarterly Review of projects may be changed to bi-annual reviews to give the implementation some breathing space but this would not stop monitoring of projects on regular basis.
- Monitoring system should provide information for authorization of funds depending on the implementation of status, targets/objectives achieved against the performance indicators laid down at the start of the project.
- Identification of project most successfully during the financial year and the success story should be presented in an annual conference of stake holder to be organized by the Planning Commission.



### **Step One: Planning**

The Monitoring officers must possess necessary documents for the project to be monitored. These include i) A copy of the approved PC-I; ii) Letter of Administrative Approval; iii) Project profile and previous monitoring report; iv) The latest duly approved cash/work plan of the current financial year. Each one of these documents needs to be read thoroughly to assimilate the key information for monitoring. This step demands that before formally starting project monitoring it is important that at least the following measures are should be undertaken and properly addressed. The conceptual understanding of the monitoring components is not just important but necessary.

- Discuss monitoring purposes with others
- Decide on monitoring questions
- Select monitoring methods based on questions
- Prepare Terms of Reference
- Recruit members of the monitoring team
- Select members of the monitoring team
- Identify existing materials for the team

**Implementation** (while the team conducts the monitoring)

- Provide orientation to members of the monitoring team
- Supervise and provide ongoing support
- Attend meetings for preliminary discussion of findings and recommendations
- Review draft report and give comments to the team
- Schedule debriefing session with the team and sponsors
- Meet with the team to evaluate the monitoring

**Follow-Up**

- Send copies of report to interested parties
- Meet with project managers to discuss implementation
- Meet with others to discuss implementation and follow up
- Use the results for future programme planning

## **Checklist for Monitoring**

### ***Planning***

- Review Terms of Reference with monitoring / chief monitoring officers, concerned Assistant Director, Deputy Director and further seek guidance from Director/ Director General.
- Meet with monitoring sponsors
- Refine monitoring design
- Contact local authorities
- Conduct preliminary investigation
  - review project documents
  - review other existing material
  - meet with project managers and beneficiaries
- Select sample and sites
- Prepare draft data collection instruments
- Pre-test data collection instruments

### ***Implementation***

- If required, recruit, hire, and train survey assistants
- Collect qualitative and quantitative data: administrative records, interviews, surveys, observation, etc.
- Analyze data
- Draft report
- Review preliminary findings and recommendations with sponsors and/or implementers

- Revise report based on review comments
- Debrief sponsors and others<sup>1</sup>

### ***Reporting***

#### **Basic information:**

1. Project visited:
2. Objective of Visit:
3. Location(s) visited:
4. Activities Undertaken:
5. Persons Interviewed:

#### **Findings/Recommendations:**

1. List Significant Achievements Expected / Unexpected:
2. List Problems and/or Principal Constraints:
3. Follow-up Action Recommended:
4. Additional Comments:
5. Overall, Implementation status  
Is / Not On Schedule
6. Name and Signature of Monitoring Officer

### **Step Two: Study and review of developments**

The Monitoring officers need to comprehend the key objectives of the project and figure out the physical scope which lays down the work details and activities to be carried out in a time frame and elaborated in the annual work plan. Find out the actions taken on the recommendations of the previous monitoring report, if



undertaken, and how far the project adheres to the implementation plan. The objectives of the project need to juxtapose the annual work plan along with the cash plan. This is most relevant because the quarterly work/cash plans remain the guiding force and major instruments of monitoring other than the monitoring indicators which also emanate from the project activities.

### **Step Three: Identification and Selection of Indicators**

Setting key performance indicators to monitor the progress with respect to inputs, activities and outputs is a necessary pre requisite. The outcome and impact has been deliberately avoided because these could only be measured by undertaking evaluation. The indicators would juxtapose the key PCI items given in the project. This could mean the releases made in line with the approved cash/work plan and time line of releases which would vary from project to project.

The key implementation activities are usually mentioned in detail in the scope of the PC-I of the given project. It is important to identify specific indicators and interface with each activity to measure the progress of project implementation. Hence the appropriate selection and use of indicators attains importance. The information against indicators can be obtained through site visits, observations, meeting with project staff, questionnaire or any other documentation containing implementation of specific information.

The indicators would juxtapose the key PCI items given in the project. This could mean the releases made in line with the approved cash/work plan and time line of releases which would vary from project to project.

#### **Step Four: Visit to project site, collection of information (data, interviews, records)**

Undertake Physical and Financial analyses of the project for identification of critical components and issues of the project. This would be done against the laid down targets and expected achievements as given in the quarterly work plan. In the financial analyses the allocation, releases and expenditure determine the performance of project implementation. This would determine the cost overrun or the slow level of expenditure by giving the percentage of expenditure incurred in the given time frame. However 15% of the cost overrun is an acceptable norm if the time frame is adhered to as per project completion date. For physical analyses the activities have been identified in the work plan based on the scope of the project which has to be done in an agreed time frame. The monitoring would determine the adherence to the work plan and timely completion or other wise of project activities.

#### **Step Five: Report Writing**

The report must generate trustworthy and credible information based on empirical evidence. Report writing is the key

instrument which determines how the data/information has been analyzed the issues identified and what appropriate actions/recommendations have been made for the decision maker to decide about the necessary improvement to be made in the project implementation.

The Project Wing of the Planning Commission has developed a tracking system to measure performance of PSDP Projects. The Project Monitoring and Evaluation System (PMES), as it is known, records the Financial and Physical analysis done by the monitoring offices, identify key issues/problems and suggest recommendations to remove the bottlenecks.

There could be different formats for report writing. However, for the purpose of uniformity, the key information which every report should contain is the financial analysis in percentages providing summary of allocation, releases and expenditure for the current financial year and also for the entire project since its inception. This should be followed by physical progress against the quarterly targets as approved in the work plan of the current financial year and overall performance of the project. Then the observation should be clearly given about the management capacity of the executing agency in terms of manpower, skills and time spent on this activity. The additional remarks may also be included if required. The final part of the report contains recommendations. It is important to realize that linkages between observations and recommendations must be explicit to facilitate implementation.

Some Common Mistakes made by those preparing progress reports:

1. Writing (or saying) too much, especially too much description about what project personnel are doing, or the situation - and not clearly identifying what has/has not been accomplished in regard to the planned activities, outputs and objectives for the quarter;
2. Presenting only general or subjective opinions rather than quantifiable data;
3. Omitting an explanation of setbacks and reasons for not accomplishing what was planned;
4. Not identifying ways to deal with constraints or new opportunities;
5. Not proposing revised objectives and activities for the upcoming period (usually the following year) in light of the above; and
6. Not consulting staff or beneficiaries while preparing the report.<sup>2</sup>

The manifestation of this Five-Step model is demonstrated and supported with the identification of Result Based Monitoring to minimize ambiguities.

## REFERENCES

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<sup>1</sup> Kusek, J.Z and RIST, R.C: Ten steps to a Result Based Monitoring and Evaluation System. The World Bank, Washington, DC, USA, 2009: p164.

<sup>2</sup> Key Features of Implementation Monitoring Versus Results Monitoring. Ten Steps of Result Based Monitoring p17.

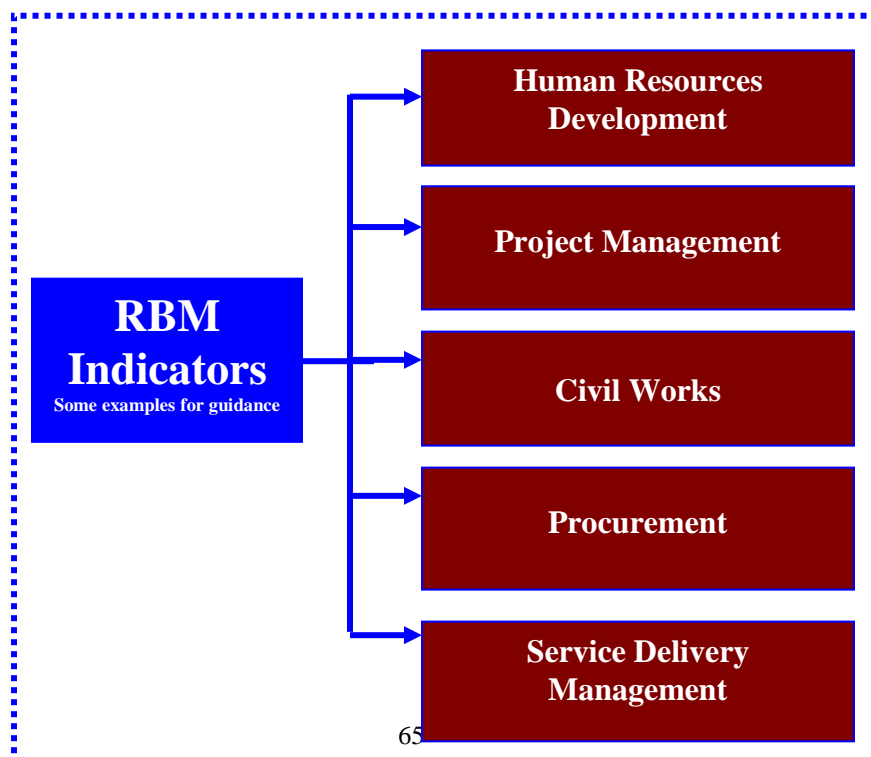
## **INDICATORS FOR RESULT-BASED MONITORING AND EVALUATION**

**It is important to do right things instead of doing the things right -  
Words of Wisdom**

### **INTRODUCTION**

**H**owever, a uniform set of indicators can be developed for RBM in such a way that the physical scope of certain components of all the projects is presumed to be the same. The manifestation is that most of the projects, if not all, have five major components which include i) Human Resources Development; ii) Project Management; iii) Civil Works / Construction; iv) Procurement and v) Service Delivery Management. The overarching part of all these is the management capacity of system to coordinate, create synergy and implement the project efficiently and effectively avoiding time and cost overrun. “Countries with a

democratic political system, strong empirical traditions, and civil servants trained in social sciences and high levels of expenditure on education, health and social welfare have been among the most successful in adopting result-based M&E system”.<sup>1</sup> These conditions are essential for success but it does not restrain countries like Pakistan to make concerted efforts to introduce and effectively implement result-based monitoring. On the basis of the premise of commonality of five components in the Public Sector Development Projects (PSDP), indicators for these can be developed. Nonetheless these would neither be comprehensive nor definitive. Some indicators have been identified for guidance and help for monitoring officers and for all those who need to develop indicators for their assignments.



## **1. Human Resources Development**

### *Selection of Trainees/Scholars*

- Selection of candidates/scholars in approved and relevant disciplines as given in PCI or any other guidelines provided by sponsoring agency.
- Uniform and approved criterion followed.
- Eligibility criteria i.e. qualification, age, experience, etc.
- Age bracket (minimum and maximum)
- Is advertisement given in the press for inviting applications for open competition?
- Constitution/selection committee meeting held
- Decision/minutes of the selection committee
- Gender balance
- Time frame of the selection processes, actual funds, provision, actual expenses
- Any delays and reasons
- How to mitigate problems in the selection process?

### *Resources Availability*

- Funds available for that specific number of trainees
- Is funds availability ensured at the required time?
- Is proper mechanism available to disburse funds to the training institute/university?



- Periodicity/regularity of flow of funds till the completion of training.
- Any cost overrun expected and why?
- Is it because of cost escalation?
- Bad financial management/poor project implementation
- Delayed/inadequate availability of funds
- What is the increase in unit cost of training of a scholar because of escalation
- Option available to meet this cost? Or scope of activities reduced.

### ***Local Training***

- Training calendar/schedule.
- Qualifications and experience of resource persons.
- Availability/preparation of training material/modules.
- Properly equipped computer laboratories.
- Availability of residential accommodations for training at the training institution.
- Mechanism for the evaluation of training.

### ***Selection of training institute/university/organization***

- Ranking at international/national levels.
- Ranking in the subject if available.
- Experience of providing training in years/countries/numbers.
- Any criteria set up by the sponsor for the selection of training institute/university.

- Who selected the institute/university?

### ***Training processes***

- Frequency of contact with institute by the sponsor.
- Performance monitoring of trainee/scholar with grades/results.
- Is training/program proceeding as planned?
- Expected date of completion of training.
- Drop outs/absconders.

### ***Time frame***

- Activity time frame as per work plan and its status.
- Is it being followed?
- Any delays and reasons.
- How to diminish problems?

### ***Measurement of output***

- Has the scholar come back from abroad as per the given timeframe.
- Placement at the same position for which training was provided.
- Working in the same university/institution which provided the opportunity for training.
- Is serving in an R&D institute?
- Is newly trained staff facilitating as master trainer?
- Any improvement visible in the functioning of the organization.

## 2. Project Management

- Management and physical capacity of the executing agency:
  - a. Availability of required manpower.
  - b. Relevant training
  - c. Ability to use new skills
  - d. Reinforcement of improved management
  - e. Forward planning.
- Mechanism of project implementation or project management unit with state of the art technology, internet etc.
- Linkages between sponsoring agency and executing agency for project review.
- Linkages with project monitoring and evaluation system (PMES), internal reporting, feedback for corrective action.
- Who is the leader/project manager/project director: qualification and experience.
- Management vision and status of coordination.
- Timeline for recruitment, interface with other components of project implementation, avoid lack of coordination.
- Delegation of responsibility commensurate with authority.

- Members of the team: are qualification and experience, is it as per PCI?
- Any system of checks and balances?
- Flow of money as per time schedule: allocation, releases expenditure.
- PC-I estimates and management schedule need to synchronize.
- Frequency of project management review: Quarterly – Bi-Annual – Annual.
- Management and physical capacity of the line management.
- Participation of stakeholders in effective plan implementation.
- Focus on deliverables rather than resources.
- Efficient (merit based, able), effective (timely) use of resources.
- Frequency of internal meetings to monitor the progress; Too Many – Too Little.
- Project successes (component-wise) properly recognized.
- Any opportunities to update skills of project management team.
- Timely and merit-based appointment of project staff.
- Identify weekly schedule of activities and functional responsibilities.

- Knowing if activities cannot achieve objectives.
- Clear identification of management problems.
- Possible option to overcome/minimize obstacles.
- Resources management; efficient (optimal utilization of resources) effective (adhering to given time frame).

### **3. Civil Works**

- Administrative/technical approval.
- Allocation in PSDP for financial year.
- Preparation and submission of cash and work plan.
- Preparation of tender documents and design.
- Advertisement for the tenders.
- Pre-qualification and selection of consultants.
- Pre-qualification/short-listing of contractors.
- Issuance of tender documents to pre-qualified bidders.
- Receiving of tender documents.
- Ascertain the tender cost vis-à-vis PCI provision of each component of civil work.
- Assess increase/decrease in tender cost in line with approved cost.
- Tenders completion time and approved time frame.
- Decision of CDWP/ECNEC. If any on civil works i.e. PWD NLC or open tendering etc.
- Approved scope of civil work and award of work etc. which may affect the cost.

- Detailed estimates and bill of quantities (BOQ's).
- Evaluation and selection of contractor and signing of contract agreement.
- Mobilization of contractor.
- Issuance of mobilization advance to contractor.
- Preparation of detailed activity schedule and fixing of milestones.
- Is mechanism of monitoring of each activity available and monitored by whom?
- Personnel involved in execution of civil works/activities i.e. i) Civil Engineers; ii) Supervisors; iii) Director-works.
- How often the project Director visits the project site?
- Monitoring of physical and financial progress as per work/cash plan.

#### **4. Procurement**

##### *Services and Goods<sup>2</sup>*

- Estimated completion period vis-à-vis approved time.
- Was procurement included in work plan?
- Advertisement in news papers yes/no.
- Tender opened on (date and time).
- Nature of purchase.

- Whether qualification criteria conform to those approved by Pakistan Procurement Regulatory Authority (PPRA).
- Which method of procurement was used: (tick one)
  - Single stage – one envelope procedure
  - Single stage – two-envelope procedure
  - Two-stage bidding procedure
  - Two-stages – two-envelope bidding procedure.
- Please specify if any other method of procurement was adopted with brief reasons (i.e. emergency, direct contracting, negotiated tendering etc.)
- Cost of approved bids vis-à-vis approved items in PCI.
- Delayed procurement and cost escalation.
- Timely utilization of procured goods.
- Who is the approving authority?
- Whether approval of competent authority was obtained for using a method other than open competitive bidding.
- Number of bids received
- Whether the successful bidder was lowest bidder yes/no.
- Ranking of successful bidder in evaluation report (i.e. 1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup> evaluated bid).
- Date of contract/supply order/delivery etc. signing.

## 5. Service Delivery Management

The Service Delivery Management as a concept has emanated from the industrial distribution system and then permeated into the business environment as a tool for successful sales strategy. In the context of business it has four key areas which include customer, resources, project and program. These have been distributed to nine sub-areas consisting of communication, relationship problems identification/solutions, planning, 24 hours support system, technology, implementation, quality and integration. The same model has been adapted for program service delivery in the social sector. On this basis, some of the indicators in the areas of service delivery have been identified for discussion and further improvement.

### *Advocacy*

- Any policy or strategy for information, communication, education (IEC)?
- How much resources allocated for this component?
- What is specific program/s?
- Use of media-print/electronic
- Vernacular press
- Time coverage
- Population coverage
- Any monitoring mechanism for advocacy?
- *Access to Services*



- Physical access
- Financial – affordability
- Cultural/social
- Transportation

***Coverage of Population***

- Geographical
- Communication between end user/beneficiary and service delivery measure
- Rural/urban

***Service/Availability in Field Offices***

- Village/Taluka level
- Union Council
- Tehsil level
- District level

***Management of inputs for the Field Offices***

- Frequency of supply system (Medicine etc.)
- Quality control
- Supervision
- Availability of resources
- Availability of basic supplies, stethoscope
- Proper storage for supplies
- Cleanliness

***Functioning of Field Offices***

- Qualified manpower availability as per project.
- Skills and training

- Availability of transportation
- Attendance/absenteeism
- Residential accommodation
- Status of occupancy and use by the field staff.

***Beneficiaries***

- Average per day
- Average per month
- Gender
- Age group

***Reporting Mechanism***

- Availability of supplies (medicines) to patient
- Attitude of field staff
- Satisfaction of end user
- System of feedback
- Complaint mechanism

## REFERENCES

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<sup>1</sup> Kusek, J.Z and RIST, R.C: Ten steps to a Result Based Monitoring and Evaluation System. The World Bank, Washington, DC, USA, 2009: p164.

<sup>2</sup> These criteria have been identified by the Pakistan Procurement Regulatory Authority (PPRA).

## **CASE STUDY OF GOOD GOVERNANCE AND RESULT BASED MONITORING (RBM)**

**Wealth does not change people it only unmasks them -  
Confucius**

### **INTRODUCTION**

**T**he preceding four chapters on Good Governance, Result Based Monitoring and Evaluation, indigenous Five Steps for RBM and Indicators for Result Based Monitoring and Evaluation have dealt with and analyzed the concepts. This chapter would operationally use those concepts in a tangible situation<sup>1</sup>. The Projects Wing of the Planning Commission is primarily responsible to monitor and evaluate the Public Sector Development Projects (PSDP) on quarterly basis with professional rigor and regularity. The Projects Wing of the Planning Commission would

be analyzed for the case study only as an example and the data used in this situation would be imaginary and not real. There is a further note of caution that data/information used in this study has been created/ adapted for clarity and understanding. There are some other professional Ministries/Divisions/Organizations working in the public sector. As the reorganization of the Projects Wing is in line with the laid down objectives of the organization, it make a good case for analysis.

The case study analysis would follow a five-step model which includes:

- i) Identification of Major Functions;
- ii) SWOT Analysis;
- iii) Key Performance Indicators;
- iv) Logical Framework; and
- v) Job Description.

### **1. Major Functions**

The Projects Wing has been mandated to undertake specific functions

**2. Swot Analysis:** It is a standard way of understanding, comprehending and analyzing the strengths, weaknesses, opportunities and threats. The strengths and weaknesses relate to the existing performance of the organization but opportunities and threats are weighed in the future context.

**3. Key Performance Indicators (KPIs):** The key performance indicators are a means or metrics to ensure the

performance efficiency and effectiveness of an organization, institution, project or program. The workable KPIs need to be comprehensive, verifiable, deliverable, time bound and achievable. In popular terminology to identify KPIs, the acronym, SMART is often applied. This can be explained as S-Specific, M-Measurable, A-Achievable, R-Result oriented and T-Time bound.

**4. Logical Framework:** (Log Frame) Limitations/Advantages of Log Frame

**5. Job Description:** Identified responsibilities of Professional staff

## **1. Major Functions of the Project Wing**

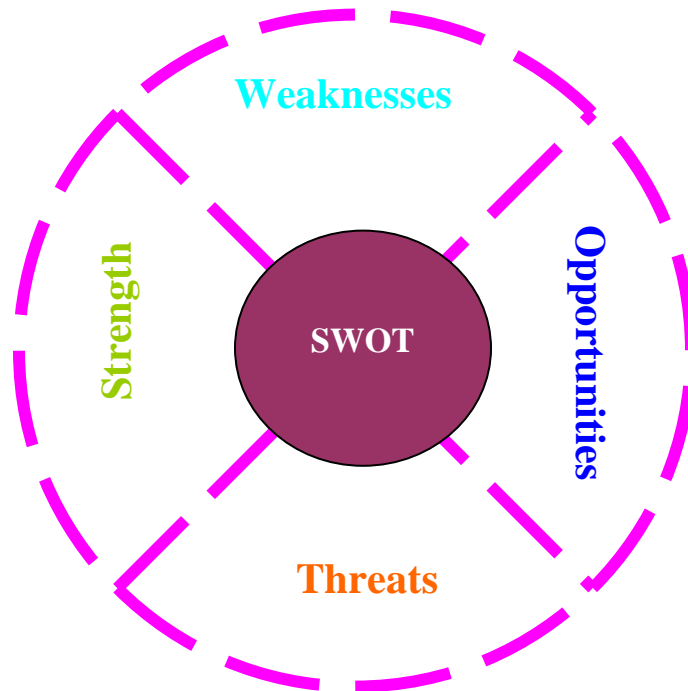
- i) Monitor selected Federal/Provincial development projects.
- ii) Carry out and encourage mid-level and/or post/completion evaluation of selected projects.
- iii) Assist in designing and induction of systems and strategies for project management, monitoring and evaluation at various implementation levels.
- iv) Submit to the ECNEC quarterly reports on monitoring/evaluation of projects.
- v) Hire short-term local consultants against properly drawn-up TORs for monitoring and evaluation work and for tasks ancillary to the fulfillment of the objectives of the Projects Wing.

- vi) Identify and report to the appropriate authorities/forums the causes of delays in the project execution and suggest remedial measures at policy, operational and financial levels, and to facilitate preparation, implementation and timely completion of the projects.
- vii) Develop and constantly review the standard form and data collection instruments for maintenance of project data on the computer for use by the Projects Wing at Federal and Provincial Monitoring and evaluation cells (PM&E Cells).
- viii) Projects revision under the guidance provided by CDWP, ECNEC, Mid-year Review Committee, Project Preparation and Project Management governing Body, etc.
- ix) Function as a secretariat to the federal projects review board under the President/Prime Minister.
- x) Keep liaison with the Planning, Monitoring and Evaluation Cells of the Federal Ministries/Divisions and the Provincial Governments and with the Auditor General of Pakistan.
- xi) Verify at the time of project monitoring whether the preliminaries in the preparation of PC-I and Project document have been complied with, including scheduling of activities, appointment of project Director, etc.
- xii) Introduce and provide the use of computer for project monitoring and evaluation by the Federal/Provincial Monitoring/Evaluation cell.

## 2. SWOT Analysis

### *Strengths*

The revamping of the Projects Wing<sup>2</sup> in 2007, to make it an effective and efficient public sector office is a step in the right direction. It is a bold stride because it creates an island in the sea which provides challenges and also opportunities to the working environment.





The office has an open system setting where the supervisor works next to his/her junior colleague. It improves mutually respectful and friendly relationship, develops confidence among the junior professionals, supports team building elicits inspiration from each other and ensures constant check under the watchful eyes of the supervisor.

The young professionals both male and female are well qualified in the fields of Development Economics, Engineering, MIS and Statistics. The average age of these officers is 35 years. They are contract employees and getting market based salaries. All of them are vibrant, energetic and enthusiastic to learn and also to contribute to the professional excellence of the office. One critical element was their selection which was made on merit, competency and qualification. This may sound odd in a corruption ridden society but it was done like that and is vindicated by its results. Most of them work as monitoring officers and get training on the job as well as special training programs are launched as per the requirement of the projects wing. They also get professional guidance from Chief Monitoring Officers who are also contract employees. This setup is also supported by the appointment of monitoring and evaluation specialists who are also contractual employees and are senior professionals. The middle management tier comprises Directors and Deputy Directors. They are the regular/permanent employees of the Planning Commission. The

senior management consists of four Director Generals/JSs one each in Social Sector, Infrastructure, Other Sectors and Evaluation.

### ***The Weaknesses***

In the prevailing work culture of the government offices, the employees usually work in isolation and in a physical setting characterized by depleted buildings, worn out furniture and other disadvantages. It would take time to reorient transform the thinking and working behavior of the young professionals to the modern day office setting. It is expected that the quality and quantity of the outcome would improve soon.

The present office of the projects wing is on the 3<sup>rd</sup> floor of a building hired by the Planning Commission for the Projects Wing. The physical setting has been modernized in order to create a corporate culture in the government office. However, there is no need to be overenthusiastic about the physical setting because the governments anywhere in world cannot be run like corporations or business enterprises.

### ***Opportunities***

The professional, technical and financial support of the ADB to reorganize and professionalize the projects wing bode well for the organization. This opportunity is being capitalized by monitoring the mega projects effectively. The number of projects being monitored per year is steadily increasing. In 2006-07 it monitored 474 projects against the targets of 500. The target for 2007-2008 was 720 projects and achievement was over 95%. The

present rate of monitoring strongly indicates that the target would be achieved within the stipulated time.

The professional capacity of the projects wing is being modernized. This professionalism has been well recognized by different Ministries/Organizations as, the Rector, International Islamic University, wrote to the Planning Commission while giving comments on one of the evaluation reports prepared by the Projects Wing, “Let me conclude my comments with once again complimenting the Evaluation Section of the Planning Commission for their very competent and perceptive analysis of the implementation process of the Madrassa Reforms Project. It is really reassuring to know that our Planning Commission remains one of Pakistan’s premier centers of policy planning and evaluation and we are all enriched by its professionalism”.

### ***Threats***

The foreign funding has its negative aspects also. It creates dependency and makes the organization sluggish in the long run. The question is as to how the projects wing will sustain itself in present shape. The salaries provided to the contract employees are high but necessary to attract good work force. The regular/permanent officers of the Planning Commission are paid according to BPS of the government. These scales carry 25% less salaries than the contract employees. The immediate reaction to the present situation is the jealousy of regular employees against the contract employees. The major concern at present is to find a

mechanism which would enable to sustain this new setting in terms of financial resources and management.

### **3. Key Performance Indicators**

The KPIs can be identified as metrics or means to measure the effectiveness and efficiency of the organization/institution in quantifiable terms. It thus reflects the strategic performance of an organization, and its present state of performance with strengths and weakness. It would take future direction keeping in view the emerging threats and growing opportunities. Another attribute of KPIs is to use them to measure activities which are difficult to monitor and evaluate that may include benefits and impact of leadership development, satisfaction of employees, and attitudinal changes etc. There is no set of uniform KPIs because each set would differ depending on the nature of organization. Each office or organization works in different environment in which it operates. The performance indicators of a business organization would be different from those for a than the government office. The KPI would be different for an educational institution as compared to a health facility. However, both these institutions are mandated for service delivery at the grass roots level. The Projects Wing of the Planning Commission is a service provider to the Federal and Provincial Governments at the higher level of professional excellence. It is a specialized arm of the Government to monitor and evaluate the performance of different projects of the

government in all sectors. This is being done by the projects wing but it is necessary that this organization should have clear goals, objectives and implementation mechanism. In addition it should have an inbuilt system to measure the impact of inputs. The quantitative and qualitative measurement of the outputs and the outcomes makes the KPI an attractive proposition for all. Another important element is that KPI related data should be consistent and accurate and its availability should be ascertained at regular intervals. The reporting system of KPIs needs to be established in office. The possible objectives of KPIs could be:

- Measure the impact of inputs, directly related to the outputs and outcomes of the project. The impact assessment could be viewed in short and long term perspective, depending on the objectives of the organization.
- Measure the degree of the execution of work plans or project activities in the attainment of targets, reasons for delays or hiccups, analysis of implementation mechanism and the utilization of resources.
- Assess the efficiency of the projects wing in terms of professional growth, sustainability of the organization, and the quality of monitoring and evaluation reports generated as per the work plan.
- Analyze the impact of resources, which includes financial, technical and manpower against the project objectives.

## **Measurable characteristics of KPIs**

It is necessary that KPIs should be identified against the laid down objectives of the organization / institution. They should be specific and not fuzzy. The vague statements such as “improve the quality of work” or “effectively implement the policies” or “Modernize office by corporate culture” do not indicate anything specific. These are only rhetoric and not measurable or specific indicators. The KPIs need to be:

### **Comprehensible**

It should be understandable and stated in such a way that other people will know what the organization is trying to achieve. It is important imminent that the employees of the organization should also understand the KPIs very clearly. This is so because the institution as whole, including the employees would be judged by its performance. As an example, sometime the weekly meetings are held without any stated objectives.

### **Verifiable**

This is something the organization would be able to achieve in quantitative terms as well qualitative terms. It is particularly important when the objectives are non existent or at best vague. In this situation some definitive or observable evidence

must be available to ensure that KPIs get the quantitative or some specific information against institutional objectives.

### **Deliverable**

This is something tangible, specific and deliverable. This could be a written report with specific findings and credible recommendations. In the case of organization there could be several other deliverables such as the training of staff which has to be measured in the number of specific skills learned. Just saying that twenty-five employees were given training in evaluation does not mean much in terms of measuring expertise.

### **Time Bound**

The measuring instruments can only be effective if the objective or tasks are time bound and time specific. It means that there should be a time line for major KPIs. If it is not tied with time limit no amount of KPIs would be able to gauge the performance of the institution or organization.

### **Achievable**

The KPIs should be realistic and attainable. The KPIs should be well publicized and known to all the employees of the organization. There are always risk factors when the issue of achievability of KPIs is discussed. As a practical manifestation the risk factors in the implementation of KPIs should also be mentioned. If the KPIs are not clearly stated then it becomes difficult to use them for specific outcomes. There are certain categories of KPIs which are as follows:

- **Quantitative Indicators:** that can be mostly presented as a numbers.
- **Practical Indicators:** Interventions/interface with existing organizational processes
- **Directional Indicators:** specifying whether an organization is getting better or not.
- **Actionable Indicators:** are sufficiently in an organizations control to effect change.

## 4. Logical Framework

It is a management tool used to improve the design of interventions, most often at the program level. It involves identifying strategic elements (inputs and outputs and maybe outcomes and impacts) and their causal relationships, indicators, and the assumptions or risks that may influence success and failure. It thus facilitates planning, execution and evaluation of an intervention. The logical framework (Logframe) is a tool that has the power to communicate the essential elements of a complex project clearly and succinctly throughout the project cycle. It is used to develop the overall design of a project, to improve project implementation, monitoring, and to strengthen periodic project evaluation. In essence, the Logframe is a “cause and effect” model of project interventions to create desired impacts for the beneficiaries.

### **Participatory**



Developing the Logframe is a collaborative process to engage views of intended beneficiaries and key stakeholders in the project. Stakeholder ownership and commitment is equally important. The technical design, quality, and implementation readiness of the project team, must be in support of each other.

### **Conflict Resolution Model**

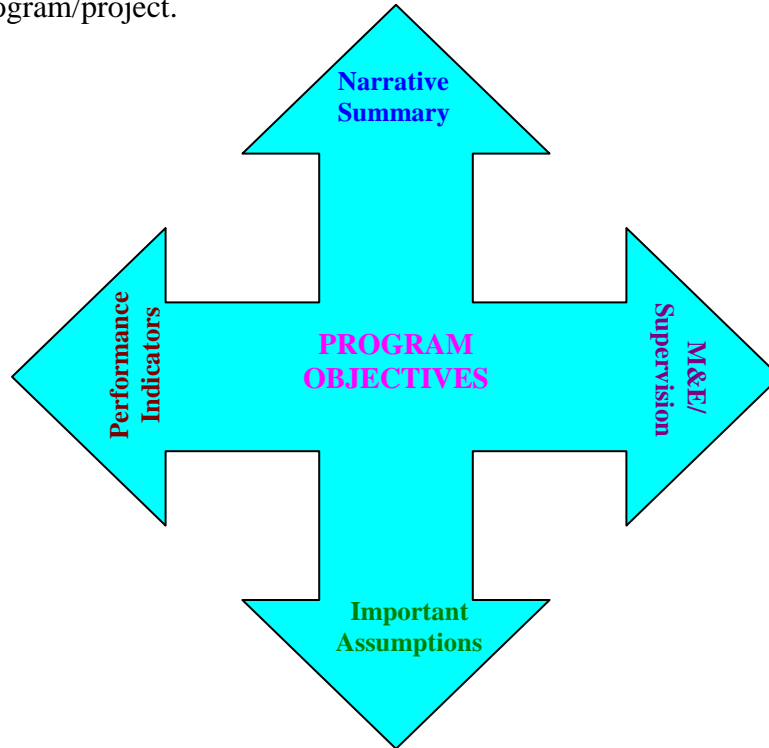
The Logframe defines a set of relationships among providers and users of results. As a dialogue matrix, the Logframe provides a structured and focused approach to what can be an emotionally charged negotiation process. The Logframe is about results, benefits and impact outcomes. It is a useful conflict resolution tool for determining political outcomes. Political, because setting objectives defines how scarce resources will be used, who will benefit, and who will not?

### **Flexible, Process-based**

Most projects are undertaken under conditions of uncertainty or where learning and innovation are required to achieve long-term impact. The traditional 'blueprint' approach to projects has given way to a more flexible, process-based approach, called Adaptable Lending that views projects as learning systems, or applied Research and Development (R&D) experiments. Thus the framework summarizes a set of face-to-face project agreements at a particular point in time which can change as circumstances change. In general, this point in time is the last day of the project.

### **The Five Step Method**

The common approach which has been used in the log frame contains four steps. This was assisted and financially supported by the World Bank but its use still remains very limited in the developing countries. However the approach has the flexibility to be changed or adapted according to the needs of program/project.



The **First Step** is the narrative summary of the project and describes the causal logic of the project's objectives and makes the important distinction between program strategy, project impact, project deliverables (Outputs) and the key component activities. Once defined, the component activities provide the basis for operational plans: Work Breakdown Structures, Gantt Charts,

Responsibility Charts, Resource Plans, Budgets, and Monitoring and Evaluation Systems.

The **Second Step** identifies the performance indicators and targets for each of these levels.

## **FIVE STEPS LOG FRAME**

### **1 - Narrative Summary**

- Higher objective to which a project, along with others, will contribute.
- The impact of a project. The change in beneficiary behavior, systems or institutional performance because of the combined output and key assumptions.
- The project intervention, what the project can be held accountable for producing.
- The main component clusters that must be undertaken in order to accomplish the Outputs

### **2 - Performance Indicators**

- Indicators (increasingly standardized) to measure program performance.
- Impact measures that describe the accomplishment. What are the value, benefit and return on investment
- Indicators that measure the value added of implementation of the components.
- Budget by component. Monetary, physical, & human resources required to produce the Outputs.

### **3 - M&E**

- Program/ project evaluation system.
- People, events, processes, sources of data for organizing the project evaluation system.
- People, events, processes, sources of data-supervision and monitoring system for project implementation.
- People, events, processes, sources of data and monitoring system for project design.

### **4 - Important Assumptions**

- Risk regarding strategic impact.
- Risk regarding program level impact.
- Risk regarding design effectiveness.
- Risk regarding implementation and efficiency.

### **5 – Programme Objectives**

- Findings are fed to project preparation cycle.
- Mitigate risk factors.
- Modify/improve performance indicators.
- Better of chances of success of the project.

The **Third Step** identifies the monitoring and evaluation mechanism for the purpose of management and supervision. It includes the sources of data for the performance indicators at each level. It defines the process, events, people and information system which will be needed over time and during implementation.

The **Fourth Step** describes the important assumptions and other conditions. This mainly includes the risk factors in the project implementation. In addition it identifies the factors on which the project depends for its success. These assumptions are at different levels and each has varying degrees of risk.

The **Fifth Step** is important because it is fed to the project cycle so that necessary modifications can be made in the design, implementation, monitoring and evaluation wherever required.

These steps have been explained in the previous table of five steps log frame.

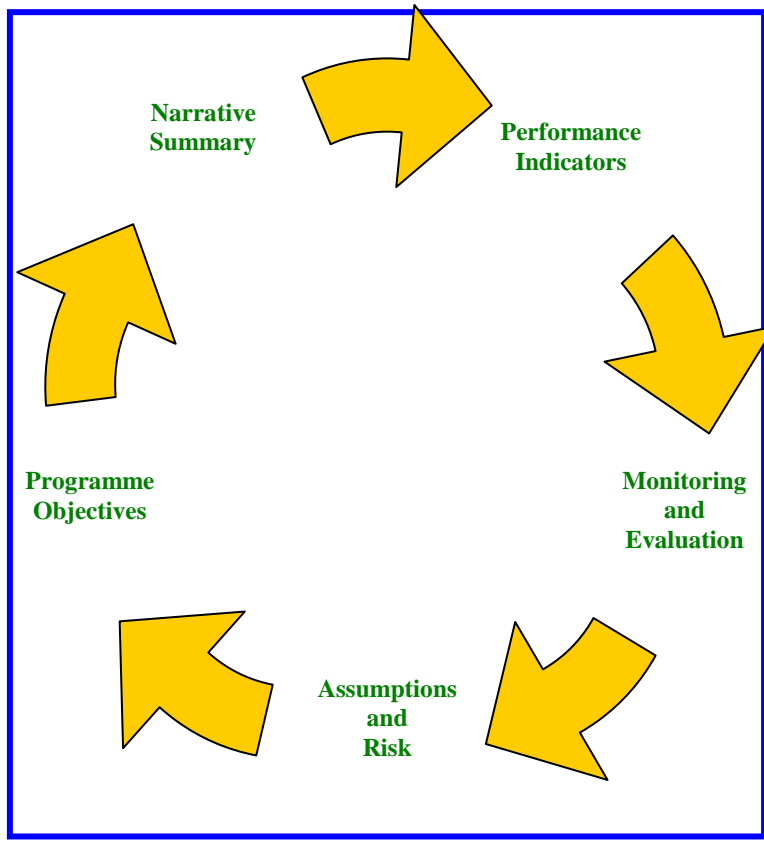
## Advantages and Limitations of Using the Logical Framework

<b>Advantages</b>	<b>Limitations</b>
<ul style="list-style-type: none"> <li>• It helps you ask the right questions.</li> <li>• It guides systematic and logical analysis of the key interrelated elements that constitute a well-designed project.</li> <li>• It defines linkages between the project and external factors.</li> <li>• It facilitates common understanding and better communication among decision-makers managers and other parties involved in the project.</li> <li>• It prepares us for replication of successful results.</li> <li>• It ensures continuity of approach when the original project staff is replaced.</li> <li>• It provides a shared methodology &amp; terminology among governments, donor agencies, contractors and clients.</li> <li>• Widespread use of the Logical Framework format makes it easier to undertake both sector studies and comparative studies in general</li> </ul>	<ul style="list-style-type: none"> <li>• Organizations may promote a blueprint, rigid or inflexible approach, making the Logframe a straitjacket to creativity and innovation.</li> <li>• The strong focus on results can miss the opportunity to define and improve processes.</li> <li>• The Logframe is only one of several tools to be used during project preparation, implementation and evaluation, and it does not replace target group analysis, time planning, impact analysis etc.</li> <li>• The Logframe is a general analytic tool. It is policy neutral on questions of income distribution, employment opportunities, access to resources, local participation cost and feasibility of strategies and technology, or effects on the environment.</li> </ul>

## Manifestation

The above cited Logframe in the context of RBM has been maneuvered to demonstrate its workability in a mock project of Universal Primary Education (UPE).

### Universal Primary Education (UPE)



## Education: Universal Primary Education

### **Narrative Summary**

- Reduction in poverty, increased number of self-reliant, productive members of society.

### **Performance Indicators**

- % of basic and secondary school graduates employed
- % of Self-employed per annum. % of secondary graduates enter post secondary institutions by
- 30% of 3 to 6 year old children improve their cognitive and physical abilities
- 100% gross primary enrollment
- Girls represent 50% of primary enrollment
- Learning outcomes improve by at least 20% in math for grades 2,4,6 5. % reduction in grade repetition rate

### **Monitoring & Evaluation**

- Employment records against education records
- Education statistics publications, household surveys, census records
- Quarterly Monitoring
- Mid term review
- National Learning
- Statistics through achievement tests
- Impact Evaluation

### **Assumptions & Risk**

- Macro-economic situation remains Stable.
- Budget allocation for education will continue to increase in line with government targets
- Policies are adhered to and major stakeholders remain committed to institutional reforms

### **Program Purpose**

- The Universal Primary education system is effective in formal and non formal education



During my work experience at the Planning Commission in the capacity of Monitoring and Evaluation Specialist I have had the advantage to work closely with many professionals and also senior management. I observed that the Planning commission is one of the best professional organizations in the public sector, but some more efforts would improve its performance. I could have made several suggestions but would restrict myself to only two issues.

First, the officers and professionals have ambiguity about their specific roles largely because of the lack availability of job descriptions. Secondly, there was weak understanding of the logical framework of organizational results chain. Specific job descriptions have been proposed for the Director General, Director, Deputy Director, Chief Monitoring Officer, Monitoring Officer, and Monitoring and Evaluation Specialist. This would bring some clarity in performing their roles by different professionals.

## **5. Job Descriptions**

### **Director General**

- Direct and supervise the monitoring of development projects in a planned and phased manner.
- Provide leadership and guidance in Result Based Monitoring (RBM) and ensure timely initiation, completion and updating of cash work plans and manage the regular updating of monitoring reports.

- Provide guidance in all key programme planning exercises and monitor implementation.
- Supervise and provide guidance to enhance capacity building in planning and operationalizing monitoring activities.
- Direct to strengthen capacity of the projects wing in the field of Result Based Monitoring (RBM) and Evaluations.
- Represent projects wing/planning commission in building strategic alliances for coordination of and cooperation with line ministries, provincial governments and FANA, FATA and AJK.
- As head of the unit, establish the overall programme work plan, oversee compliance and performance standards, provide support and guidance in order to meet objectives of the planning commission. Identify and recommend human resources required. Ensure appropriate professional development and training of staff.
- Make recommendations about response planning and operationalization and linkages with other sectors, reprogramming and re-scheduling of activities, external technical assistance and resource requirements.
- As the post is technical, supervision is limited to guidance on the overall programme achievements and organizational policies. Incumbent is expected to perform independently

and to seek guidance and approval from member (I&M) for undertaking major decisions and actions.

- Review and evaluate the technical, institutional and financial feasibility and constraints of programme/projects in collaboration with government and other partners. Undertake field visits and surveys to monitor and evaluate implementation, identify problems and propose remedial action. Identify or decide on alternative courses of action to accelerate/improve programme delivery and ensure capacity building and programme sustainability.
- Negotiate or resolve matters that are sensitive or controversial, requiring a high degree of discretion, tact and negotiating skill to harmonize office environment. Supervise and provide guidance to a team of professional and support staff.
- Responsibility for direct supervision of a designated unit in work planning assigning reviewing and evaluating work, recommending performance ratings and disciplinary actions.
- Practical knowledge of concepts, principles and methodologies of Monitoring and Evaluation and administrative field, and skill in applying such knowledge in performing professional work; which also requires knowledge of complicated methods, techniques and practices.

### *Qualifications*

- PhD in Relevant Field but preferably in Economics, Public Policy, Business Administration, Sociology, Statistics, Political Science or other related field.
- 20 Years of on the job experience in public sector of project monitoring and evaluation in BPS-17 or above.
- Current knowledge of development and technology in planning, monitoring and evaluation.
- Proven ability to conceptualize, develop, plan and manage Result Based Monitoring (RBM) system and to transfer these skills to other professional staff.
- Leadership and organizational ability.
- Supervisory and managerial skills as well as ability to manage the team.
- Good analytical, negotiating, communication and advocacy skills.
- Ability to work in inter ministerial and inter-provincial environment as well as establish harmonious and effective working relationships, both within and outside the planning commission.
- Tact and ability in managing stress
- Knowledge of computer management and applications.

## **Director**

- Ensure the preparation of base line information, situation analysis and its periodic update. Guide in the preparation of plan of operations, project plans of action, cash work plans for assigned programs/projects.
- Participate in the formulation and development of programme/project goals, strategies and approaches for the sectoral ministries.
- Participate in the development of strategies, methodologies and identification of new approaches for improving program/project implementation with efficiency effectiveness.
- Review and evaluate the technical, institutional and financial constraints of program/projects in coordination and collaboration with sectoral ministries and provincial governments.
- Provide technical support to provincial governments in the planning, development and implementation stages of the program/projects. Plan, organize and conduct training and orientation activities for government officers and beneficiaries for the purpose of capacity building at the federal, provincial and regional levels.
- Relate to planning, improving and completing the work produced by the Projects Wing in the field of Monitoring and Evaluation.

- Discuss and resolve problems in a generally cooperative, but competitive atmosphere of the unit.
- Responsible for reviewing work and assuring timeliness and quality of output. Makes recommendations to DG on work assignments and related matters.
- Knowledge of complex government procedures and processes, needed to perform assignments involving a wide range of problems, requiring some knowledge of work of other offices, and equivalent skill to adapt and interpret results of operations, procedures and instructions in extracting information and carrying out difficult assignments.

### *Qualifications*

- PhD in Relevant Field but preferably in Economics, Public Policy, Business Administration, Sociology, Statistics, Political Science or other related field.
- 15 years of experience in BPS-17 or above.
- Current knowledge of the latest developments and technology, in the field of Monitoring and Evaluation.
- Proven ability to conceptualize, develop, plan and manage programs, as well as to impart knowledge and teach skills.
- Leadership and teamwork abilities.
- Good analytical, negotiating, communication and advocacy skills.

- Demonstrated ability to work in a multi cultural environment and establish harmonious and effective working relationships both within and outside the organization.
- Computer skills, including internet navigation and various office

## **Deputy Director**

- Undertake field visits, and surveys in order to monitor and evaluate project implementation. Identify problems and proposes remedial action. Identifies alternative courses of action, to accelerate/improve project implementation.
- Develop the work plan for the assigned tasks and monitors compliance to ensure objectives and targets are met and achieved. Guide and supervise professional and support staff, ensures their training needs are met and provides on the job training.
- Coordinates with Chief Monitoring Officer (CMO) and Monitoring Officer (MO) to ensure proper implementation of activities are within established plans of action, and the programme budget allotments.
- Coordinates activities and exchanges information/ideas with CMO and MO to contribute to achievement of overall objectives of the Projects Wing. Participates in establishing effective monitoring, information and reporting systems, and in the development of reports.
- Perform variety of standard tasks involving diverse work processes and methods which require limited analyses of subject matter and choice of action from several accepted alternatives.
- Exchange a variety of information, discuss, clarify or resolve recurring matters, seek mutual understanding and



common goals in a cooperative setting. Affects the timely and accurate completion of the processes.

- Responsibility for distributing coordinating or consolidating work performed by others. Divides work load and assures timely completion of work. Limited responsibility for review of work performance. Make recommendations to Director/DG.
- Knowledge of a relatively complex government procedures or operations to perform a full range of recurring tasks; skill to operate equipment such as computer or a combination of knowledge and skills.

### *Qualifications*

- MA/M.Sc in Relevant field, but preferably in Economics, Statistics, Computer Science, Sociology, Political Science, MBA, MPA or other related field.
- 10 years of Experience
- Current knowledge of development issues, policies as well as social programming policies and procedures in international development cooperation.
- Proven ability to conceptualize, innovate, plan and executive ideas as well as transfer knowledge and skills.
- Ability to supervise and direct a team of staff.
- Good analytical, negotiating, communication and advocacy skills.

- Good knowledge of computer management and applications.
- Ability to work in an international and multicultural environment.
- In case of PhD duration of experience can be relaxed by the competent authority.

### **Monitoring and Evaluation Specialist**

- Buttress to strengthen the capacity of the Projects wing in the field of Result Based Monitoring and Evaluation.
- Assist DG in the preparation of Monitoring and Evaluation design, under take evaluation research and prepare report formats for presentations.
- Provide technical support to the Social Sector Section, in monitoring different development projects being implemented under the Public Sector Development Program (PSDP)
- Help in the design and conduct of training programs to upgrade the skills of Monitoring officers.
- Extend guidance in developing Monitoring and Evaluation Indicators to measure the output, outcome and impact of the project interventions.
- Undertake field visits to monitor ongoing projects and carry out evaluation of completed projects.

### *Qualifications*

- PhD in Relevant Field but preferably in Economics, Public Policy, Business Administration, Sociology, Statistics, Political Science or other related field.
- 20 Years of on the job experience in public sector of project monitoring and evaluation in BPS-17 or above.
- Current knowledge of development and technology in planning, monitoring and evaluation.
- Proven ability to conceptualize, develop, plan and manage Result Based Monitoring (RBM) system and to transfer these skills to other professional staff.
- Leadership and organizational ability.
- Supervisory and managerial skills as well as ability to manage the team.
- Good analytical, negotiating, communication and advocacy skills.

### **Chief Monitoring Officer**

- Assignments include undertaking monitoring and evaluation of projects. Task involving related steps and process which require some choice of action but with focus on RBM.
- Guide and supervise the work of Monitoring Officers and train them during field Monitoring of Projects.
- Decisions and recommendations relate to selecting and Applying a variety of established work methods and to completing tasks in an accurate manner. Work is interrelated with that of others (generally in the same and professional unit).
- Exchange routine information, requiring limited discussion of related subjects.
- Responsibility for training or instruction of newly hired monitoring officers by explaining work steps or instructing in new procedures. Some supervisory responsibility is also expected.

### ***Qualifications***

- MA/M.Sc in Relevant Field but preferably in Project Management, Economics, Statistics, Computer Science, Sociology, MPA, MBA or other related field.
- 15 years of experience in BPS-17 or above.

- Current knowledge of the latest developments and technology, in the field of Monitoring and Evaluation.
- Proven ability to conceptualize, develop, plan and manage programs, as well as to impart knowledge and teach skills.
- Leadership and teamwork abilities.
- Good analytical, negotiating, communication and advocacy skills.
- Demonstrated ability to work in a multi cultural environment and establish harmonious and effective working relationships both within and outside the organization.
- Computer skills, including internet navigation and various office
- In case of PhD the duration of experience can be relaxed by the competent authority.

### **Monitoring Officer**

- Assignments include Monitoring and Evaluation of projects and prepare draft reports of findings and recommendations.
- Comprehend work recommendations provided by CMO and related to Result Based Monitoring (RBM) methods and sequence to complete tasks in correct manner.
- Individual work assignment to be completed on time and ability to learn from work experience.
- Complete well defined work processes which require some discussion or exchange of information.
- Seek guidance from the Chief Monitoring Officer/Director/Deputy Director as and when required. Assist these officers in undertaking monitoring and evaluation of projects/programs.
- Limited leadership responsibility is also required.

### ***Qualifications***

- B.Sc/MA/M.Sc in Relevant field.
- Some knowledge of rules and procedures of government working to perform routine tasks.
- Some knowledge and comprehension of Monitoring and Evaluation System.

## REFERENCES

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<sup>1</sup> Author has the opportunity to serve for about three (2007-2010) years in the Projects Wing of the Planning Commission, P&D Division, Government of Pakistan, Islamabad.

<sup>2</sup> It was reorganized in 2007.

## **FORMULATING THE RESULT CHAIN**

**One thing you cannot recycle is wasted time  
Words of Wisdom**

### **INTRODUCTION**

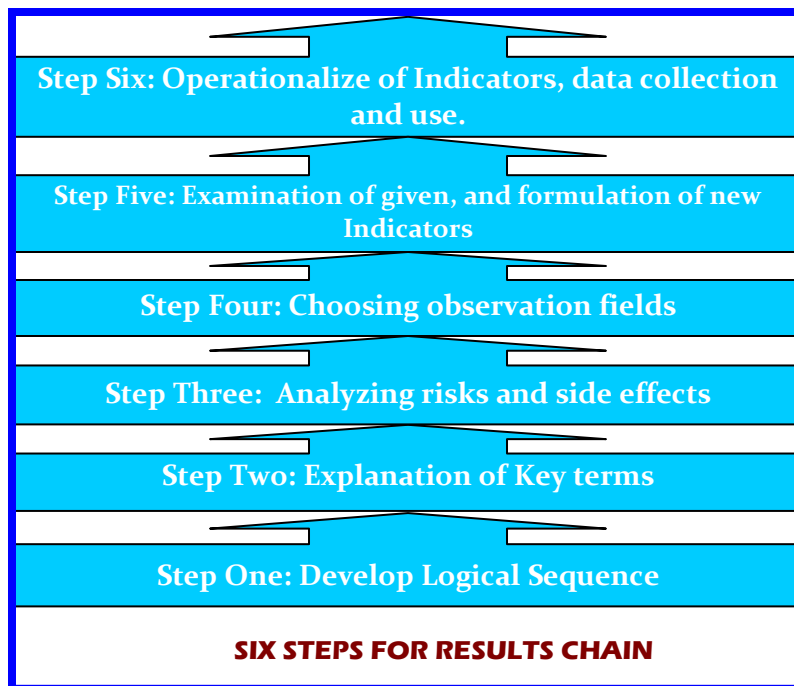
**T**he results chains of a project reflect the underlying hypothesis of its strategy and constitute the foundation of the whole start with the main products and services delivered. For example, in revamping the project wing there would be main outputs for senior management including at the level of Director General and above. The corresponding results chain would be formulated as outputs.

Next, the main activities necessary to achieve the output would be formulated as a) develop concepts for technical and



professional training; b) conduct training courses for monitoring officers.

A useful third step in the process of developing results chains is to specify the supposed use of the outputs by the users. One may receive good training in new techniques for monitoring and evaluation, but if this knowledge is not applied, then no improvement would occur in project implementation. However if they implement the new techniques then good quality improved results would be produced.



### **Step One: Develop Logical Sequence:**

- What are the main outputs?
- Which main activities lead to these outputs?

- What do the users do in a different way when using the output?
- What direct benefit is resulting from this?
- What are the indirect results, to which the direct result contributes?

## **Step Two: Explanation of Key Terms**

- Inputs:** Are the financial, human, and material resources used for the development intervention?
- Outputs:** Products, capital goods and services, which result from a development intervention.
- Outcome:** Likely or achieved short term and medium term effects of an intervention's outputs.
- Impacts:** Positive and negative, primary and secondary long term effects produced by a development intervention.
- Results:** Output, outcome, or impact (intended or unintended, positive and/or negative) of a development intervention.

## **Step Three: Analyzing risks and side effects**

Risks are external factors that may have a significant negative influence on the results chain. They can be influenced (for conflict of interests among actors, etc.) or not (e.g. natural catastrophes, global economic developments etc). Project strategy

should be designed in such a way as to avoid or limit the unwanted results as far as possible.

Side effects are unplanned results of a development intervention that might be positive or negative, expected or not. It allows for an adjustment of the project strategy if necessary. An analysis of risks and potential side effects can guide to define alternative strategies.

#### **Guiding questions**

- What are the main risks that might have a negative influence on the results chain? What is their cause? What other Influences are expected?
- What are the potential negative side effects? What is their cause? What alternative strategy could be used to mitigate damage?

#### **Step Four: Choosing observation fields**

Observation fields are those parts of the results chains that need to be monitored regularly in order to know which of the results chain hypothesis, risks and side effects we need to be informed about.

#### **Guiding questions**

- What results hypotheses are particularly important?
- What results hypotheses are uncertain?

- What parts of the results chains are under negative external influence?
- What negative side effects might occur?

### **Step Five: Examination of given, and formulation of new Indicators**

Indicators are yardsticks that are used to measure results. They indicate what makes a difference, to what degree and how realistic? It also measures a specific aspect of the desired results. Reference values (baselines) are required for any indicator for the expected change. Indicators are formulated by the project team for their internal monitoring. The given indicators should be examined and a clear common understanding developed among the stakeholder

#### **Guiding questions**

- What indicators have been developed?
- What exactly do they mean?
- What should be further specified, changed, and agreed upon?
- Where in the results chains to have an effect?
- What additional indicators are necessary for the selected observation fields?

### **Step Six: Operationalization of indicators, data collection and use**

Now the indicators have to be made feasible. It is necessary to decide who will collect what data, how it will be collected and

who will contribute for additional cost. Also, the users of the data have to be identified to assure future distribution of monitoring results.

### **Guiding questions**

- What initial value is available for a particular indicator?
- Where can information be found about it?
- What data information is needed to measure the indicators?
- How will the data be collected? What method will be used to collect it?
- How often and when will the data be collected?
- Who will be responsible for data collection and processing?
- Who needs the information, when, in which form and what for?
- What additional resources are needed?<sup>1</sup>

Continuing along the results chain will generate further indirect results that might occur in the medium and long run and to impacts could be a) more improved system of monitoring and evaluation; b) less pressure on financial resources; c) more funds available for development.

The result chain is usually developed or emerged from the logical sequence of expected output. Hence it starts from bottom to top and apparently it seems to reverse the project cycle. In practice it is a step-wise approach of project implementation strategy.

## 7. Logical framework of Organizational Results Chain\*

ONE				
Narrative summary	Expected results: organizational outcomes	Performance measurement indicators	Means of verification	Assumptions/ Risks
<ul style="list-style-type: none"> <li>Emergence of projects wing as professional and technical arm of planning commission.</li> </ul>	<ul style="list-style-type: none"> <li>Efficient and Time bound implementation</li> <li>Effective financial management</li> <li>Set an example of well organized Office for different ministries / organization</li> </ul>	<ul style="list-style-type: none"> <li>New leadership and changed management</li> <li>Monitoring and Evaluation of selected projects of all the 47 Ministries / Divisions of the Federal Government.</li> <li>Increased number of projects by 10% during 2007-2008 for M &amp; E.</li> <li>Improved service delivery</li> </ul>	<ul style="list-style-type: none"> <li>Third party validation</li> <li>Evaluation reports approved by PM</li> <li>Number of training courses for staff</li> </ul>	<ul style="list-style-type: none"> <li>Sufficient funds to be allocated by the government .</li> <li>Professional evaluation of projects</li> <li>Better input to the planning process.</li> </ul>

TWO				
Narrative summary	Expected results: organizational outcomes	Performance measurement indicators	Means of verification	Assumptions/ Risks
<ul style="list-style-type: none"> <li>Monitor and evaluate federal/ provincial development projects</li> </ul>	<ul style="list-style-type: none"> <li>Implementation of result based monitoring system against the work plan</li> <li>Planning, monitoring and evaluation systems institutionalized</li> <li>Availability of adequate human, financial and technical resources for efficient functioning.</li> </ul>	<ul style="list-style-type: none"> <li>Preparation of quarterly work plans as per the project activities</li> <li>Number of projects monitored in categories of Social Sector, Infrastructure and Other Sectors</li> </ul>	<ul style="list-style-type: none"> <li>Monitoring reports of the projects wing</li> <li>Guidelines of the planning commission</li> <li>Process monitoring</li> <li>Impact studies to positively affect the outcomes.</li> </ul>	<ul style="list-style-type: none"> <li>Training of monitoring officer for result based monitoring.</li> <li>No observable risks</li> </ul>

<b>THREE</b>				
<b>Narrative summary</b>	<b>Expected results: organizational outcomes</b>	<b>Performance measurement indicators</b>	<b>Means of verification</b>	<b>Assumptions/ Risks</b>
<ul style="list-style-type: none"> <li>• Achieve the respective outcomes against institutional objectives</li> </ul>	<ul style="list-style-type: none"> <li>• Obtain sufficient skills in priority tasks.</li> <li>• Establishment of horizontal and vertical coordination among different sections of projects wing.</li> </ul>	<ul style="list-style-type: none"> <li>• Policy and Implementation gaps fed to the project cycle for pragmatic planning.</li> <li>• Updated annual work plan available in line with annual development programs.</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring of annual cash work plans</li> <li>• Preparation of project completions reports.</li> <li>• Number of review meetings</li> </ul>	<ul style="list-style-type: none"> <li>• Too many projects for monitoring and evaluation.</li> </ul>

<b>FOUR</b>				
<b>Narrative summary</b>	<b>Expected results: organizational outcomes</b>	<b>Performance measurement indicators</b>	<b>Means of verification</b>	<b>Assumptions/ Risks</b>
<ul style="list-style-type: none"> <li>• Carryout mid level/post complete evaluation of selected projects</li> </ul>	<ul style="list-style-type: none"> <li>• Effective and efficient implementation of selected projects</li> <li>• Results fed to the planning process of line ministries.</li> <li>• Mid level corrective measures</li> </ul>	<ul style="list-style-type: none"> <li>• Reduction of delayed completion of projects</li> <li>• Regular Coordination meetings between evaluators and implementers</li> <li>• Duplication efforts avoided</li> <li>• Responsibility for delayed action</li> </ul>	<ul style="list-style-type: none"> <li>• M&amp;E reports of the projects</li> <li>• Regular management meetings</li> <li>• Number of complaints</li> </ul>	<ul style="list-style-type: none"> <li>• Meaningful coordination between and among the projects sponsoring and implementation agencies</li> <li>• Ensure logistical, technical and financial support to the evaluation.</li> </ul>

<b>FIVE</b>				
<b>Narrative summary</b>	<b>Expected results: organizational outcomes</b>	<b>Performance measurement indicators</b>	<b>Means of verification</b>	<b>Assumptions/risks</b>
<ul style="list-style-type: none"> <li>Systems design and strategies for project management</li> </ul>	<ul style="list-style-type: none"> <li>Modified models of project management</li> <li>Pragmatic project planning</li> <li>Trained personnel for project monitoring and evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Gap in competency of the staff</li> <li>Availability of trained professionals</li> <li>On the job training</li> <li>Provision of sufficient budget allocations</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation reports</li> <li>Minutes of the meeting for project reviews</li> <li>Special reports by line ministries</li> </ul>	<ul style="list-style-type: none"> <li>Micro/field testing of new designs and strategies</li> <li>Need for increased resources for corrective measures and system research.</li> </ul>
<ul style="list-style-type: none"> <li>Monitoring/evaluation reports of the project to the ECNEC</li> </ul>	<ul style="list-style-type: none"> <li>Efficient/effective project implementation</li> <li>Modified planning process</li> </ul>	<ul style="list-style-type: none"> <li>Comprehensive policy directive</li> <li>No significant policy gaps</li> <li>Revised work plan</li> </ul>	<ul style="list-style-type: none"> <li>Follow-up Monitoring meetings for project interventions</li> <li>Effective annual plan implementation</li> </ul>	<ul style="list-style-type: none"> <li>Lack of consistency in data/information</li> <li>Recommendations not linked to findings</li> </ul>

<b>SIX</b>				
<b>Narrative Summary</b>	<b>Expected Results: Organizational Outputs</b>	<b>Performance Measurement Indicators</b>	<b>Means Of Verification</b>	<b>Assumptions/ Risks</b>
<ul style="list-style-type: none"> <li>Hired monitoring and evaluation experts on contract basis</li> </ul>	<ul style="list-style-type: none"> <li>Improved quality of work</li> <li>Monitoring and evaluation system strengthened</li> </ul>	<ul style="list-style-type: none"> <li>Quality standard improved</li> <li>Total quality management</li> <li>Improved professional services by line ministries</li> </ul>	<ul style="list-style-type: none"> <li>Availability of monitoring of surveillance reports</li> <li>Change/modifications of project management</li> </ul>	<ul style="list-style-type: none"> <li>Meeting between project wings and line ministries</li> <li>Ministries take responsibilities for better implementation.</li> </ul>
<ul style="list-style-type: none"> <li>Fulfillment of the objectives of the projects wing</li> </ul>	<ul style="list-style-type: none"> <li>Targets achieved</li> <li>Timely monitoring and evaluation of projects</li> </ul>	<ul style="list-style-type: none"> <li>Improved coordination of planning division with other divisions.</li> <li>Well established logistic support available.</li> </ul>	<ul style="list-style-type: none"> <li>Annual progress reports</li> <li>Financial audit reports</li> </ul>	<ul style="list-style-type: none"> <li>Government continues support to Planning Commission.</li> </ul>
<ul style="list-style-type: none"> <li>Remedial measures of policy, operational and financial levels</li> </ul>	<ul style="list-style-type: none"> <li>Identified causes of delay</li> <li>Lessons learnt from implementation</li> </ul>	<ul style="list-style-type: none"> <li>Cash work plan</li> <li>M&amp;E outputs increasingly used as referral for new planning and programming</li> </ul>	<ul style="list-style-type: none"> <li>Regular monitoring reports</li> <li>Progress reports Audit reports</li> </ul>	<ul style="list-style-type: none"> <li>Cooperation from stakeholders available for external evaluation</li> </ul>



<ul style="list-style-type: none"> <li>Facilitate preparation implementation and timely completion of the projects</li> </ul>	<ul style="list-style-type: none"> <li>Cost effectiveness</li> <li>Enhanced efficient implementation</li> </ul>	<ul style="list-style-type: none"> <li>M&amp;E system in place</li> <li>Program budgeting</li> </ul>	<ul style="list-style-type: none"> <li>Reports by the line Ministries</li> <li>Sharing of implementation experience.</li> </ul>	<ul style="list-style-type: none"> <li>Redress bottlenecks</li> <li>Review progress reports.</li> </ul>
<ul style="list-style-type: none"> <li>Develop and review the standard forms and data collection instruments</li> </ul>	<ul style="list-style-type: none"> <li>No. communication gap among different functional units</li> </ul>	<ul style="list-style-type: none"> <li>periodic generation of reports as per project wing requirement</li> <li>gaps between policy and system management</li> </ul>	<ul style="list-style-type: none"> <li>sector review reports</li> <li>organizational management study reports</li> <li>policy impact studies</li> </ul>	<ul style="list-style-type: none"> <li>working of LANs</li> <li>updated data analysis skills of professional staff</li> </ul>
<ul style="list-style-type: none"> <li>Computer use by projects wing and at provincial M&amp;E cells</li> </ul>	<ul style="list-style-type: none"> <li>Electronic networking facilities in place</li> <li>Clearer vertical and horizontal linkages</li> <li>Clear and distinct job descriptions</li> </ul>	<ul style="list-style-type: none"> <li>Upgradation of computer/technical skills of the staff</li> <li>Significant in the improvement of competency.</li> </ul>	<ul style="list-style-type: none"> <li>Average use of computers by the middle and senior management</li> <li>Office culture working style updated.</li> </ul>	<ul style="list-style-type: none"> <li>Working lans system in place and operational Number of electricity breakdown insignificance.</li> </ul>

<b>SEVEN</b>				
<b>Narrative Summary</b>	<b>Expected Results: Organizational Outputs</b>	<b>Performance Measurement Indicators</b>	<b>Means Of Verification</b>	<b>Assumptions/ Risks</b>
<ul style="list-style-type: none"> <li>Function as Secretariat to Federal Projects Review Board under the President/Prime Minister</li> </ul>	<ul style="list-style-type: none"> <li>Change modification in policy and legal framework</li> <li>Improved coordination</li> </ul>	<ul style="list-style-type: none"> <li>Increasing compliance of regulatory and legal framework in practice</li> <li>Juxtapose policy and system management</li> </ul>	<ul style="list-style-type: none"> <li>Government notification/directives</li> <li>Progress reports</li> <li>Minutes of meeting</li> </ul>	<ul style="list-style-type: none"> <li>Continuous support of senior management</li> </ul>
<ul style="list-style-type: none"> <li>PM&amp;E cells of the federal ministries/division and provincial governments liaison with Auditor General of Pakistan</li> </ul>	<ul style="list-style-type: none"> <li>Coordination between Federal and provincial PMES improved</li> </ul>	<ul style="list-style-type: none"> <li>Minimal communication gap among different ministries</li> <li>Grievances redressed</li> <li>Involvement in decision making more transparent</li> </ul>	<ul style="list-style-type: none"> <li>Sector reports</li> <li>M&amp;E reports</li> <li>Feedback reports from provinces</li> </ul>	<ul style="list-style-type: none"> <li>Continuous support of senior management</li> </ul>

<ul style="list-style-type: none"> <li>• Use of computer for project monitoring and evaluation by federal and provincial PM and E Cells.</li> </ul>	<ul style="list-style-type: none"> <li>• Communication with collaborating partners on the needs of technical assistance enhanced</li> </ul>	<ul style="list-style-type: none"> <li>• Planning for immediate and long term needs found updated/ strengthened</li> <li>• Regular training programs</li> <li>• Increasing interactions with line Ministries and Provinces on need identification and support for technical assistance</li> <li>• Updated guideline in place</li> <li>• Focal point for provincial partners in place.</li> </ul>	<ul style="list-style-type: none"> <li>• Progress reports</li> <li>• Plan documents</li> <li>• Training reports</li> <li>• Meeting minutes</li> </ul>	<ul style="list-style-type: none"> <li>• Cooperation with line Ministries/Provinces continue to be available</li> <li>• Provinces and line ministries.</li> </ul>
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EIGHT				
Narrative Summary	Expected Results: Organizational Outputs	Performance Measurement Indicators	Means Of Verification	Assumptions/ Risks
<ul style="list-style-type: none"> <li>• Communicate with development partners (ADB &amp; WB) about the needs of technical assistance and resource gaps</li> </ul>	<ul style="list-style-type: none"> <li>• Coordination between Federal and Provincial PMES improved.</li> <li>• Communication with collaborating partners on the needs of technical assistance enhanced</li> </ul>	<ul style="list-style-type: none"> <li>• Increasing interactions with collaborating partners on need identification and support for technical assistance</li> <li>• Updated guidelines in place</li> <li>• Focal point for external collaborating partners in place.</li> </ul>	<ul style="list-style-type: none"> <li>• Memorandum of upstanding</li> <li>• Progress reports</li> <li>• Minutes of the meeting.</li> </ul>	<ul style="list-style-type: none"> <li>• Continuous support of senior management.</li> <li>• Cooperation with external development partners remain available.</li> </ul>

<b>NINE</b>				
<b>Narrative Summary</b>	<b>Expected Results: Organizational Outputs</b>	<b>Performance Measurement Indicators</b>	<b>Means Of Verification</b>	<b>Assumptions/ Risks</b>
<ul style="list-style-type: none"> <li>Plan with other line Ministries on their need of technical support and resource plans</li> </ul>	<ul style="list-style-type: none"> <li>Coordination with line Ministries and provinces improved</li> </ul>	<ul style="list-style-type: none"> <li>Collaborative planning with stakeholders strengthened</li> <li>Collaborative M&amp;E systems in place</li> <li>Consistency in technical guidelines adopted by all stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Technical guidelines</li> <li>Plan documents</li> <li>Progress reports</li> </ul>	<ul style="list-style-type: none"> <li>Cooperation with other sector actors continues to be available.</li> </ul>
<ul style="list-style-type: none"> <li>Guide and facilitate in the up-gradation of management capacity building of Ministries and provincial government.</li> </ul>	<ul style="list-style-type: none"> <li>Managerial capacities of the personnel of strengthened</li> </ul>	<ul style="list-style-type: none"> <li>Trained personnel available/used for the management of different kinds and size of projects</li> <li>Inventory available of management personnel of different capacities</li> <li>National and international networking for managerial capacity building</li> <li>No management inefficiency reported</li> </ul>	<ul style="list-style-type: none"> <li>HRD reports</li> <li>Office monitoring reports</li> <li>Administrative audit reports</li> </ul>	<ul style="list-style-type: none"> <li>Resources available for HRD</li> </ul>

<b>TEN</b>				
<b>Narrative Summary</b>	<b>Expected Results: Organizational Outputs</b>	<b>Performance Measurement Indicators</b>	<b>Means Of Verification</b>	<b>Assumptions/ Risks</b>
<ul style="list-style-type: none"> <li>Encourage and organize in-country experience of exchange programs of most successful projects</li> </ul>	<ul style="list-style-type: none"> <li>Awareness on Best practices enhanced among personnel of projects wing</li> </ul>	<ul style="list-style-type: none"> <li>Participation in national international meetings and trainings</li> <li>Adequate and latest issues of journals, books, and periodicals available</li> <li>Updated website</li> </ul>	<ul style="list-style-type: none"> <li>Reports</li> <li>Website</li> <li>Internal records</li> </ul>	<ul style="list-style-type: none"> <li>Cooperation from external collaborating partners continue to be available.</li> </ul>
<ul style="list-style-type: none"> <li>Organize/participate in international study visits, seminars and conferences at home and abroad.</li> </ul>	<ul style="list-style-type: none"> <li>Exposure to international experience</li> <li>Sharing information of successful projects</li> </ul>	<ul style="list-style-type: none"> <li>Appropriate technological practices adopted</li> <li>Competent staff available</li> </ul>	<ul style="list-style-type: none"> <li>Overseas linkages established</li> <li>Total number of visits in a year.</li> </ul>	<ul style="list-style-type: none"> <li>Uncertainty about the availability of financial resources for the activities.</li> </ul>
<ul style="list-style-type: none"> <li>Human resources requirements for long and short term needs to adjust staff for meeting the gaps</li> </ul>	<ul style="list-style-type: none"> <li>Adequate and competent human resources assured.</li> </ul>	<ul style="list-style-type: none"> <li>Lack of human resource competencies not identified as significant bottlenecks in planning and program implementation.</li> </ul>	<ul style="list-style-type: none"> <li>Project documents</li> <li>Evaluation reports</li> </ul>	<ul style="list-style-type: none"> <li>Cooperation of external collaborating partners available for HRD.</li> </ul>
<ul style="list-style-type: none"> <li>Implement career development plan and effectively implement reward and punishment system.</li> </ul>	<ul style="list-style-type: none"> <li>Improvement in the general moral and working environment</li> <li>Timely completion and submission of monitoring and evaluation reports.</li> </ul>	<ul style="list-style-type: none"> <li>Aspiration letters/rewards given in a years.</li> <li>Reprimands if any.</li> </ul>	<ul style="list-style-type: none"> <li>Number of promotions of the staff</li> <li>Transfers in the projects wing to other Ministries/offices.</li> </ul>	<ul style="list-style-type: none"> <li>Merit policy regularly followed.</li> </ul>

## REFERENCES

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<sup>1</sup> This six-step model has been adapted. The author of this model is currently working as Practice Area Head – Business Process Management, in a company known as, Archents (Formerly known as, Case Consulting Group) in Mumbai. She has worked at client sites to ensure a successful go live for many projects. She has established highly motivated teams to achieve the set goals and has experience in both, software and core industries. Sandeep has good experience dealing with customers, projects, resources and program.

## *Chapter Seven*

### **BUILDING A RESULTS-BASED MONITORING AND EVALUATION SYSTEM**

**In any moment of decision the best thing you can do is the right thing. The next best thing is the wrong thing and the worst thing you can do is nothing – Theodore Roosevelt**

#### **INTRODUCTION**

**T**he World Bank supported the development of result-based monitoring and evaluation system in early 2000. As a result a handbook was prepared by Judy Zall Kusek and Ray C. Crist. This comprehensive document containing two hundred and fifty (250) pages, is entitled as “Ten Steps to a Result Based Monitoring and Evaluation System. It was published in 2004 by the World Bank”.

The key purpose to prepare the handbook is to guide and assist most of the developing countries as to how to establish an efficient monitoring and evaluation system and overcome obstacles

and difficulties during the planning and building of the system. However, it is not only limited to the third world countries but the continuous work is in progress for both developed and developing countries to further improve the M&E system. The desired results or the achievement of targets can only be met if the program implementation is effective. This new systems of (RBM) Monitoring and Evaluation provides a continuous flow of information feedback into the system which provides insight into the performance of different Ministries and organization working as partner with the program implementation. Another substantive benefit of this book is that it provides a stepwise approach to planning, designing and implementing a result based monitoring and evaluation system in support of good public management. The ten-step model of RBM is some what complex and takes time and patience to establish it. There will be many twists and turns along the road but the journey and rewards are well worth it.<sup>1</sup>

## Ten Steps to Building a Results-Based Monitoring And Evaluation System





## **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 cannot recognize failure, you cannot correct it
- If you can demonstrate results, you can win public support

## **Results-Based Monitoring**

- Results-based monitoring (what we call “monitoring”) is a continuous process of collecting and analyzing information to compare how well a project, program, or policy is being implemented against expected results

## **Step 1: Conducting a Readiness Assessment**

### **What is a Readiness Assessment?**

The RBM&E system has emerged as an important tool of management. It is complex with so many twists and turns during the process of its establishment. It not only measures the output and outcome of a given policy/ program / project but also critically examines and guide as how far the resources have been badly planned and misused. This is an analytical framework to assess the country’s capacity and political willingness to monitor and

evaluate its development goals. This may annoy the politicians, bureaucrats and public servants who might create hindrances and obstacles of varying nature during its planning and implementation. It is important that political will and commitment in terms of resources allocations must be ensured for the continuity and sustainability of the RBM&E. The managers of the existing M&E system would be mentally ready to accept this new system or tool which in most likelihood challenges their way of implementing the program. The political commitment is a cornerstone for the establishment of the new system. Sometimes the lack of awareness and comprehension about the M&E by the stakeholders does not help to bring changes in the prevailing system. So the readiness assessment has been carried out before preparing for RBM.

**Enabling Factors:**

It is necessary to create such enabling factors which would help to bring changes in the system. There has to be a desire and need in the policies and actions of the government or major organizations who want to benefit from this new management tool. The critical mass in support of this system has to be identified and trained to professionally implement the program. There should also be clarity that this would benefit the people at large and it is not something selective accountability to protect the rich and influential and punish the weak and poor. It would not look like

eyewash but a tangible and sincere effort for improvement in service delivery by the public sector.

### **Roles and Responsibilities:**

The line Ministries and Divisions have an important role to play to convince the legislature and parliament. Preferably it should have the sanctity of an Act of Parliament for the purpose of continuity and development. The department of Auditor General and its allied offices should be assigned specific roles. The level of confidence and understanding needs to be established to share information, collect reliable and credible data and support each in all such endeavors.

### **Organizational Capacity**

It would be necessary to undertake a need assessment survey of the current government capacity to monitor and evaluate the programs and projects. In addition to the availability of the financial resources, technical and managerial skills and accessibility to the necessary technology and institutional experience also counts for the success of the program. The new system has to be affordable for sustainability.

### **Hurdles and Difficulties for M&E**

There has always been a gut reaction of rejection on the pretext of the lack of financial resources, wastage of money, failure of previous attempts in this regard and doubts would again be

raised about its usefulness. That is why political commitment is considered important for establishing this system. There has to be awareness as well as desire and essential knowledge and skills about the program. However, some reformative measures can be instituted to know whether clear mandates exist for M&E? This has to be seen in the context of law, acceptance by civil society and affordability. The presence of a strong leadership at senior levels of the government is required and to ensure that resources and policy decisions are linked to the budget. The need for of reliable information that may be used for policy and management decision making, the involvement of civil society as a partner with government and pockets of innovation that can serve as beginning practices or pilot programs are indispensable ingredients of the new system

**Step 2:       Agreeing on Performance Outcomes to  
Monitor and Evaluate**

A lot of emphasis has been placed on outcomes while undertaking monitoring and evaluation because it is vital to know where you are going before you get moving. In other words the emphasis on outcomes is directly related to benefits it produces for the success of the project. Another reason is to clearly state the outcomes for designing and building a result-based M&E system. The allocation of budget has to synchronize with the demands of

the output so that the outcomes are not only achieved but well managed for impact.

**Outcomes:**

- Outcomes are usually not directly measured — only reported on
- Outcomes must be translated into a set of key indicators
- When choosing outcomes, do include the stakeholders because going alone would not enable you to achieve the M&E objectives. Hence an agreement is crucial to avoid any hurdles in the way of outcomes

**Step 3: Selecting Key Indicators to Monitor Outcomes Indicators**

- A comprehensive chapter-number four-has dealt with indicator identification.
- A specific measure that, when tracked systematically overtime, indicates progress (or not) toward a specific target
- Indicators asks the question:
- How will we know success when we see it?

**Developing Indicators**

- Develop your own indicators to meet your needs
- Developing good indicators usually takes more than one try
- Arriving at final indicators will take time

- State all indicators neutrally – not “increase in...” or “decrease in...”
- Pilot, Pilot, and Pilot!

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

##### **Baseline Data and Sources**

- Baseline data:
  - Measurements to find out where we today
- Primary source:
  - Gathered specifically for the project
- Secondary source:
  - Collected for another purpose, but can be used
  - From: within organization, government, international data sources, etc.
  - Can save money but be careful to ensure that it is truly the information you need

##### **Possible Sources**

- Written records
- Individuals involved with the intervention
- The general public
- Trained observers
- Mechanical measurements
- Geographical information system

### **Design Data Collection Methods**

- Decide how to obtain the data you need from each source
- Prepare data collection instruments
- Develop procedures for use of the data collection instruments

### **Informal/Less Structured Methods – More Structured/Formal Methods**

- Conversation with concerned individuals
- Community Interviews
- Field visits
- Reviews of official records (MIS and administration data)
- Key informant interviews
- Participant Observation
- Focus Group Interviews
- Direct observation
- Questionnaires
- One-Time Survey
- Panel Surveys
- Census
- Field Experiments

## **Step 5: Planning for Improvements-Setting Realistic Targets**

### **Targets:**

- The quantifiable levels of the indicators that a country or organization wants to achieve at a given point in time.
- Example:
  - Expanded Program for Immunization (EPI) will cover 10% more children next year over the baseline.

### **Identifying Expected or Desired Level of Improvement Requires Targets**

- Baseline Indicator Level
- Desired Level of Improvement
- Assumes a finite and expected level of inputs, activities, and outputs
- Target Performance
- Desired level of performance to be reached within a specific time

### **Caution**

- It takes time to observe the effects of improvements, therefore:
  - Be realistic when setting targets



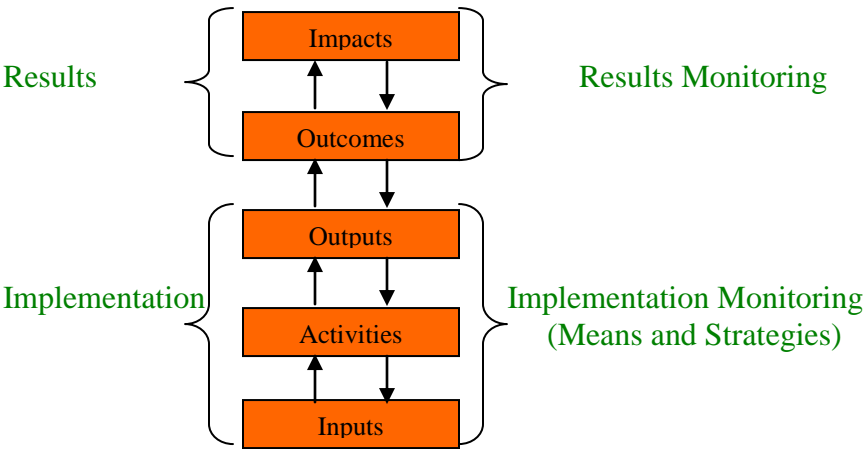
- Avoid promising too much and thus programming yourself to fail

**Setting outcomes, indicators, baseline and targets Performance  
Targets for One Policy Area: Education**

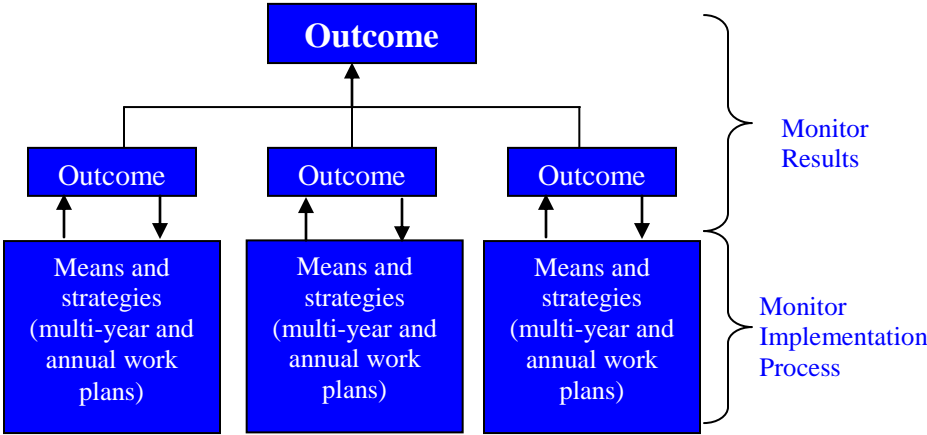
<b>Outcomes:</b>	<b>Indicators:</b>	<b>Baselines:</b>	<b>Targets:</b>
1. Nations children have improved access to Primary Education	1. Percentage of eligible urban children enrolled in Primary Education	75% urban in 2006	100% urban in 2011
	2. Percentage of eligible rural children enrolled in Primary Education	40% rural in 2006	70% rural in 2011
2. Primary school learning outcomes for children are improved	1. Percentage of Grade 5 students scoring 70% or better on standardized math and science tests	50% in 2006 scored 70% or better in math. 50% in 2006 scored 70% or better in science	80% by 2011 in math - 70% by 2011 in science
	2. Percentage of Grade 5 students scoring higher on standardized math and science tests in comparison to baseline data	Mean % score in 2006 for Grad 5 students for math was 68%, and 53% for science	Mean math test score in 2011 is 78% -- Mean science score in 2011 is 65%

# Step 6: Monitoring for Results

## Key Types of Monitoring



## Implementation Monitoring Links to Results Monitoring



## **Successful Monitoring Systems**

- To be successful, every monitoring system needs the following:
  - ownership
  - management
  - maintenance
  - credibility

## **Step 7: The Role of Evaluation**

### **Evaluation—When to Use?**

- Any time there is an unexpected result 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

### **Evaluation Means Information 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

## **Step 8: Reporting Findings**

### **Analyzing and Reporting Data**

- Gives information on the status of projects, programs, and policies
- Provides clues to problems
- Creates opportunities to consider improvements in the (projects, programs, or policy) implementation strategies
- Provides important information over time on trends and directions
- Helps confirm or challenge theory of change

### **Analyzing Data**

- Examine changes over time``
  - Compare present to past data to look for trends and other changes

- The more data points you have, the more certain you are of your trends

### **Presenting Data**

- Present most important data only
- Use an appendix or a separate report for detailed technical data
- Use visual presentations (charts, graphs, maps) to illustrate and highlight key points
- Avoid “data dumps”

## **Step 9: Using Findings**

### **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
- Monitors the performance of contractors and grantees against performance targets
- Provides data for special, in-depth program evaluations

- Helps provide services more efficiently
- Supports strategic and other long-term planning efforts (by providing baseline information and later tracking progress)
- Communicates better with the public to build public trust

### **Nine 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 parliamentary oversight
- Strengthen the Office of the Auditor General
- Share and compare results findings with development partners

### **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

## **Last Reminders**

- The demand for capacity building never ends!
- 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
- 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.<sup>2</sup>

## REFERENCES

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<sup>1</sup> Key Features of Implementation Monitoring Versus Results Monitoring. Ten Steps of Result Based Monitoring p17.

<sup>2</sup> Kussek, Jody Zall and Ray C. Rist. 2004. Ten Steps to a Results-Based Monitoring and Evaluation System. – Washington, The World Bank.



## *Chapter Eight*

# **MONITORING AND EVALUATION SYSTEM AS DEVELOPED BY UNICEF<sup>1</sup>**

**Arriving at one goal is the starting point to another –  
Fyodor Dostoyevsky**

### **INTRODUCTION**

**M**onitoring is the periodic oversight of the implementation of an activity which seeks to establish the extent to which input deliveries, work schedules and other required actions are proceeding according to plan. It detects deficiencies for timely corrective action. Monitoring also applies to the systematic checking of a condition or set of conditions, such as following the

situation of women and children. In practice, monitoring covers a wide range of activities. Monitoring requires data collection, and also implies analysis and use of the data. Expanding both monitoring and evaluation are management tools. In the case of monitoring, information for tracking progress according to previously agreed on plans and schedules is routinely gathered. Discrepancies between actual and planned implementation are identified and corrective actions taken. When findings are used to monitor the development results (effects, impacts) it is sometimes referred to as ongoing evaluation.

Evaluation is more episodic than monitoring. It is facilitated by monitoring but utilizes additional sources of information. Many such sources are identified during project reviews when there is a need to understand why inputs did not lead to planned outputs. Evaluation focuses on specific questions related to effectiveness and impact in order to influence future programmes or services.

Impact assessment is often difficult because causality is difficult to determine, in addition to being costly and time-consuming. However, managers need to know the effects of project activities on the intended beneficiaries during implementation. Community monitoring programmes can record impacts locally and use results to modify project activities. Impacts may be assessed informally, through conversations with beneficiaries, women's groups and village elders. This allows

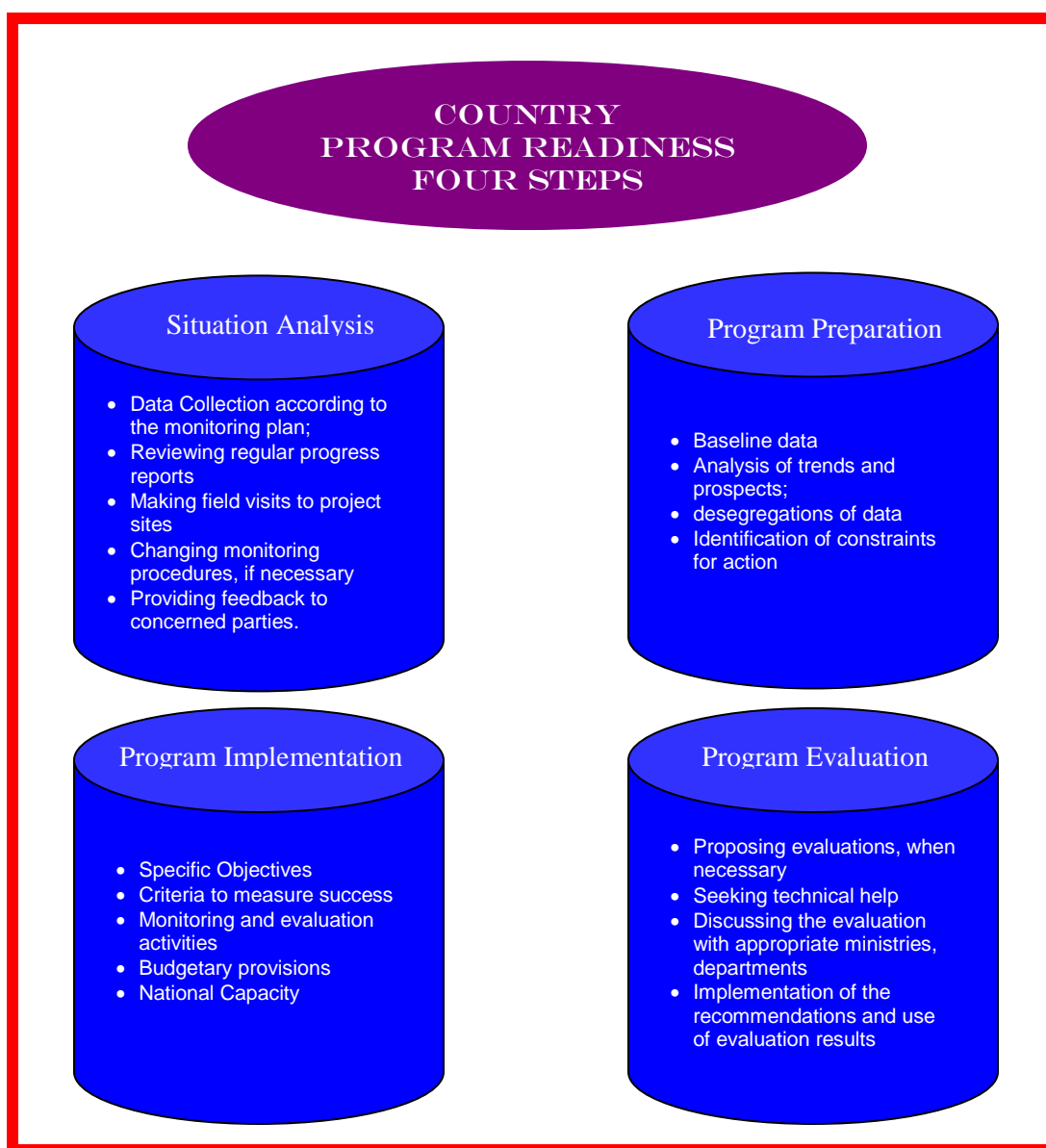
managers to adjust strategies, if necessary, during implementation, rather than continue less than effective activities.

### **Objectives of Monitoring and Evaluation**

1. Improve management of programmes, projects and supporting activities and to ensure optimum use of funds and other resources;
2. Learn from experience so as to improve the relevance, methods and outcomes of cooperative programmes;
3. Strengthen the capacity of co-operating government agencies, non-governmental organizations (NGOs) and local communities to monitor and evaluate;
4. Meet the requirements of donors to see whether their resources are being used effectively, efficiently and for agreed upon objectives; and
5. Provide information to enhance advocacy for policies, programmes and resources,.

Achieving the first purpose - improving management requires better monitoring and evaluation throughout the programming cycle and prompt supply of information to decision-makers. The second purpose - to learn from experience, develop and refine intervention policies - will be achieved only if procedures are set up to disseminate findings to decision-makers and to use them for corrective action. The third - strengthening national capacity - requires working with responsible officials and

programme staff, and often involves supporting institutional strengthening. Meeting donor requirements, the fourth purpose, relates to fundraising and often depends on occasional external evaluations carried out by teams of specialists. Finally, advocacy for improved policies and programmes and mobilization of greater personal commitment and financial support require credible information about progress, problems and potential derived from monitoring and evaluation. UNICEF has a four year program cycle with following tasks to perform at different stages.



### **A. Tasks during the situation analysis stage**

- Identification of baseline data or means to collect it;
- Aggregation and desegregations of data;
- Analysis of trends and prospects; and
- Analysis of needs and identification of constraints and possibilities for action.

### **B. Tasks during the programme preparation stage**

- Objectives that are as specific as possible;
- Indicators and criteria to measure success or progress;
- Monitoring and evaluation activities;
- Budgetary provisions for- monitoring and evaluation;
- Examination of the national capacity for monitoring and evaluating programmes;
- Measures to strengthen country capacity to monitor and evaluate the programme, e.g. training, technical back-up and institutional strengthening; and
- Opportunity to share, review and use results.

All these provisions have to be adapted to the country's political, administrative and budgetary context, and some may need discussion with senior officials.

### **C. Tasks during the programme implementation Stage**

- Ensuring that data collection is proceeding according to the monitoring plan;
- Reviewing regular progress reports with managers, comparing progress to what was planned;
- Making field visits to project sites;
- Monitoring UNICEF inputs;
- Identifying additional training, technical assistance and other resources that may be needed;
- Obtaining agreement for making annual and mid-course corrections, if needed;
- Changing monitoring procedures, if necessary;
- Identifying additional studies and evaluations needed as the result of programme review; and
- Providing feedback to concerned parties.

### **D. Tasks during the programme evaluation stage**

- Proposing evaluations, when necessary;
- Seeking technical help from the regional or headquarters office, when needed;
- Discussing the evaluation with appropriate ministries, departments, sections and other partners;
- Reaching agreement on the audience and purposes of the evaluation;

- Obtaining agreement on the Terms of Reference;
- Agreeing on the selection of a team;
- Briefing the evaluation team jointly with country officials;
- Following the progress of the evaluation, and giving support to the team;
- Participating in discussions of the recommendations; and
- Promoting the implementation of the recommendations and use of evaluation results in present and future programming.

### **Strengthening National Capacity for Monitoring & Evaluation**

A major responsibility is to identify the national stakeholders (interested parties) in a service/programme and help strengthen their capacity for arranging for and using monitoring and evaluation. This can be done in a variety of ways:

- Advocating that programmes and projects which UNICEF supports be designed with specific targets and work plans against which progress can be measured;
- Providing technical assistance and equipment for monitoring and evaluation;
- Providing funds for training, workshops, and observation trips locally or within the region;
- Encouraging the participation of beneficiaries in planning, implementing and evaluating;

- Encouraging collaboration between donors and government and
- Requiring that plans for monitoring and evaluation be part of the country programme recommendations, plans of operations and plans of action.

Training programmes for national staff may be designed to cover programme management (including project development, monitoring and evaluation) or sector-specific topics (such as the evaluation of water projects or immunization programmes). Training may be provided formally, through workshops and courses, or informally, through working together. For example, circulating copies of a well-done monitoring plan or evaluation report of a similar activity gives managers a concrete idea of what is expected. Formal training followed by on-site technical assistance is generally more effective than providing formal training alone

- Project and programme progress reports are periodic reviews and updates of work plans, often done by project managers on a semi-annual basis. Many funding agencies request regular reports to oversee use of their funds and to identify additional resources needed.
- Keeping watch over changes in the status of women and children in a country and progress with regard to goals requires selection of indicators to measure the impact of



health and social programmes and other influences. The available national statistics are often out of date. Support may be given to government statistics offices to help them improve the system.

- Data can be collected continuously or periodically by those implementing an activity. Some data are collected monthly by project personnel and then collated by managers for quarterly and, later, annual reports.

When monitoring the status of women and children one may also focus on:

- a. Outcomes*, which generally refer to peoples' responses to a programme and how they are doing things differently as a result of it.
- b. Impacts*, which are the effects of the project/programme on the people and their surroundings. These may be economic, social, organizational, health, environmental, technical or other intended or unintended results of the project or programme effects while outcomes are shorter-term effects relating to objectives.

Output measures refer to outputs as far as possible and cover availability and accessibility of services; outcome measures refer to utilization; and impact measures to the condition of children and women in the target area. For example:

*Output:* number of homes which have received ORS;

*Outcome:* number of mothers correctly using ORS;

*Impact:* reduction in deaths due to dehydration from diarrhea.

### **Functions of monitoring**

- Monitoring is a management tool that contributes to effective and efficient implementation. Managers and donor representatives, responsible for monitoring, should be open to modifying original plans during implementation, if such action seems warranted.
- Monitoring is also an evaluative activity. By comparing what has been accomplished to targets set up in advance for a given time period, monitoring identifies shortcomings before it is too late. It also provides elements of analysis as to why progress fell short of expectations, identifying constraints and pointing the way toward measures to overcome them.
- Monitoring may be used to adjust specific objectives and revise the workplan during the current period and for the next reporting period. This does not mean that objectives should be changed lightly. But when monitoring signals that something is off course, a careful review of the situation should be undertaken to assess if a modification of objectives is merited. Adopting a flexible planning style is usually more successful than following original plans rigidly because unexpected opportunities, as well as

obstacles, often arise. In the many cases where the objective is a change of behavior, it is impossible to accurately predict people's reaction to interventions; monitoring and subsequent adjustment of activities are essential.

## **Organization of Monitoring**

Monitoring can be conducted from the local to the global level. As a management tool, monitoring should be organized at each level of management. For example, monitoring a hospital-based, specialized Maternal and Child Health (MCH) service would be designed to serve hospital and unit management. Most services in which UNICEF collaborates extend to the local level - literacy, primary health care, nutrition, water usage, sanitation, women's income-generating activities and local level managers need the support of monitoring.

The monitoring system has to fit the management system to accomplish this it requires:

- a. Decentralized Management: Management decisions taken as close as possible to the activity. Management from a distance does not motivate personnel, can only react slowly to changing needs and situations, and does not encourage an economical use of resources.
- b. Management by Objectives: Managers should not merely perform, and oversee the performance of specified

activities, but should be most interested in their outcomes and impact;

- c. Development of Community participation: Ideally consultation between local government workers and community members should lead to the community assuming greater responsibility for an effort e.g. through a management committee in a health centre.

In general, the level that records information should be able to use it. Designing data collection systems with this principle in mind helps improve chances that the data will be collected carefully and put to use. Normally, data collected at one level is also passed upward through a hierarchy of administrative or supervisory levels. Bottlenecks in the process mean that data quality and frequency of reporting decrease with time, and that regional and national data may be outdated by the time they are aggregated (sentinel sites are designated to get round this problem).

### **A - Monitoring through Field Visits**

Field visits can provide valuable qualitative and quantitative information that cannot be obtained from written reports or conversations with project managers or officials in the capital. Field visits can be used to monitor project processes, results, participation and to obtain a better understanding of its

setting. In particular, field staff should be alert for the unexpected and seek out unforeseen benefits and difficulties, new opportunities and unanticipated costs. They might meet with some who criticize the project or ask follow up questions to those who express opposing views.

Field visits should be planned. They should be based on the following:

- Elements from the work plan for the period;
- Issues identified during previous visits which require follow-up;
- Enough flexibility to take note of unforeseen developments or unexpected observations; and
- The visits should be conducted jointly with government staff concerned with the services. Field visits should be used for observation and interviewing

### **B – Monitoring through Individuals**

- i) Talk informally with beneficiaries, without project staff present, to obtain insight into the impact of the project on their lives and behavior. Meeting with small groups of local or opinion leaders can provide information about access to the service. Sometimes interviewing women separately from men encourages them to speak.

- ii) Staff on-site, whose hands-on experience and detailed knowledge of prevailing conditions should be tapped by monitors.
- iii) Representatives of governments and non-governmental organizations.
  - a. Local government officials have information about the community, access to resources, and insights about the strengths and weaknesses of the services.
  - b. Representatives of non-government organizations and other donors addressing similar problems in the locale. Local NGOs, church groups, researchers, overseas volunteers and others familiar with the community may provide valuable insights into effectiveness of the service.
  - c. In the capital, representatives of donors funding similar programmes, or projects in the same locations, can be asked to share lessons learned.

Persons should be notified in advance of the purposes of the visit; sites visited should be typical rather than the most successful or accessible; visitors should examine records on site. Findings should be discussed with staff and beneficiaries at the site as well as government officials and UNICEF staff in the capital.

Trip reports should always be written in as much as they comprise an important part of monitoring documentation.

### **C - Monitoring through Progress Reports**

Several country offices have developed progress report forms of their own that are applicable to all sectors. The major components of these progress report forms are fairly standard and include:

- List of specific objectives and activities that were to be accomplished during the quarter (or six month period);
- The degree to which each was completed, with numbers;
- Identification of constraints or obstacles that explain why certain objectives/activities were not completed as planned (if applicable);
- Identification of additional resources, training, etc., needed to help overcome these constraints;
- Updated list of objectives/activities planned for the next period;
- Financial accounting: what was budgeted and spent during the report period and any proposed changes for the next period; and
- Items to be followed up during the next visit.

Ideally, progress reports should be prepared by government officials responsible for implementing the services. On-the-job training can be provided to service managers. Good quarterly

progress reports strengthen managers' capacity to manage programmes as well as to obtain funding from the government and donors. Field offices should be encouraged to conduct mid-terms reviews and an annual review. This allows for updating the work plan and making course correction.

## **D-Using Monitoring Findings & Providing Feedback**

Monitoring findings can be used to make managerial decisions at each level. In addition to direct use by the level collecting the data, feedback should be given to personnel at each level regarding the results of the data collected and the analysis made at higher levels. The levels include:

- The level of collection (the service unit and community, including beneficiaries);
- The district/province level (supervisor of service unit); and
- The central level (administrator).

Where findings are not used at the level of collection, data reporting can become irregular and of poor quality. Every effort should be made to show to data collectors how the data can be useful at their level of operation.

Monitoring results, including field trip reports and progress reports, should be summarized and discussed during the Annual Review and incorporated in the Annual Report. Suggested revisions should be incorporated in the Plan of Action for the coming year. In addition, the results of the review will identify



new evaluations and studies to be conducted and revise/update the evaluation plan.

### **Monitoring social mobilization**

Social mobilization can be defined as a process for engaging a large number of people in action to achieve common social goals.

It aims at:

- Getting political commitment from key decision-makers to fully support the implementation of service delivery systems;
- Motivating service providers so that they perform with attention to the user's needs;
- Forming alliances with partners with good potential for contribution to the programme, as promoters and/or service providers;
- Empowering communities to demand and obtain satisfaction of their needs; and
- Positively influencing individuals' behavior and social norms for the adoption of appropriate practices.

**Monitoring Community Participation:** It is necessary to strengthen the capacity of people to solve their own problems and empower them. Community participation in activities is a must for them to be successful and sustainable. This implies that the

community fully understands the need for a given activity, participates in the design of the system, and exercises responsibility during implementation and evaluation. The participatory development process facilitates outreach to the poorest members of the community, making it possible for them to organize and begin to take control of their own lives.

The process of dialogue between service personnel and community participants can be monitored, for example, and the responses of village groups to activities developed in cooperation with them. It is important to know if the poorest groups have been included in this dialogue.

## **Monitoring the Situation of Children and Women**

Sources of data for situation monitoring include:

- Population censuses
- Household surveys
- Vital registration statistics
- Routine administrative data, regular reports of government and non-government agencies
- Large-scale monitoring or surveillance programmes
- Sentinel site reporting
- Technical publications, national and local studies, with information on child and maternal poverty, health, nutrition, welfare, education, community participation

- Discussions with informed people/communities
- Rapid appraisals
- Evaluations
- Legislation and policy documents

### **Collection of data**

Data collection from routine systems should be a continuous process. However, since it often takes too long for information to come up through the various stages of service/programme monitoring, and since coverage of services often extends only to a fraction of the population, supplementary systems can be put into place for national situation monitoring. Possibilities include the use of sentinel sites, rapid appraisals, or a sample household survey. Information from these sources can cross-check national statistics from the above sources.

### **Analysis of data in situation monitoring**

A common weakness, in many countries, is the failure to analyze, use and publish in an up-to-date and compelling manner data that have already been collected. Another common shortcoming is not disaggregating the information by socio-economic level, gender and age group.

### **Disaggregating data by gender and age**

Equally important, and for similar reasons of advocacy, programming and social mobilization, data should be

disaggregated by gender and age. Increasingly, those involved in development work in agriculture, health and education are aware of the importance of considering women's needs and resources and the effects of proposed activities on women. For example, understanding intra-household divisions of labor, income and expenditures is necessary for those planning agricultural and income-generating programmes. For national literacy rates to rise, special effort must be directed to the schooling of women and girls.

UNICEF can promote this effort to track disparities between men and women, boys and girls, in many ways, from requiring it on monitoring forms to publishing data collected by others. The chief challenge is to convince those collecting and analyzing data of the value of dis-aggregation, since, generally speaking, it is neither difficult nor costly.

- Literacy of adult population by sex;
- Women's access to education and training opportunities;
- Type of family structure and family headship patterns;
- Fertility levels and birth spacing;
- Household income in relation to women's income;
- Work patterns of women in subsistence and market production;
- Access to and ownership of productive resources;
- Mortality rates by age and causes (including maternal mortality);

- Major health and nutritional needs and problems (including those that are not maternity related);
- Women's access to health services;
- Child care arrangements (accessibility of formal and informal arrangements);
- Perceptions of men and women, including those of older women (mothers-in-law);
- Violence against women.

## REFERENCES

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<sup>1</sup> The United States Children Fund (UNICEF) developed a manual on Monitoring & Evaluation to make UNICEF funding and program efficient, effective and focused. Hence the material has been compiled from the manual and can be adapted for social sector. A UNICEF guide for monitoring and evaluation: making a difference? <http://www.unicef.org/reseval/index.html>

## **GLOSSARY**

Activity	<p>Actions taken or work performed through which inputs, such as funds and other types of resources, are mobilized to produce specific outputs.</p> <p>Activities define ‘what we do’ in our everyday work within a program.</p>
Appropriateness	<p>A measure of whether an intervention is suitable in terms of achieving its desired effect and working in its given context. Suitability may apply, for example, to whether the intervention is of an appropriate type or style to meet the needs of major stakeholder groups.</p>
Assumptions	<p>Hypotheses about factors or risks which could affect the progress or success of an intervention.</p>
Collection Tools	<p>Methodologies used to collect information during monitoring and evaluation. Examples are informal and formal surveys, key stakeholder and community interviews, focus groups, expert opinion, case studies.</p>
Effectiveness	<p>The extent to which the intervention’s objectives were achieved, or are expected to be achieved, taking into account their relative importance.</p>
Efficiency	<p>A measure of how economically resources/inputs</p>

	(funds, expertise, time, etc.) are converted to results.
Evaluation	The systematic and objective assessment of an on-going or completed project, program or policy, its design, implementation and results. The aim is to determine the appropriateness and fulfilment of objectives, efficiency, effectiveness, impact and sustainability.
Formative Evaluation	Evaluation intended to improve performance, most often conducted during the implementation phase of projects or programs
Goal	The higher-order objective to which an intervention is intended to contribute.
Impact	Positive and negative, long-term effects produced by an intervention, directly or indirectly, intended or unintended. Intermediate to longer term changes related to program activities and outputs, and in fulfillment of the program purpose.
Indicators	Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess performance. Ways of measuring (indicating) the changes expected from particular aspects of the program. Tools commonly identified at levels of purpose, outputs, outcomes



and impact.

Inputs	The financial, human, and material resources used for the intervention.
Logical framework	Management tool used to improve the design of interventions, most often at the program level. It involves identifying strategic elements (inputs and outputs and maybe outcomes and impacts) and their causal relationships, indicators, and the assumptions or risks that may influence success and failure. It thus facilitates planning, execution and evaluation of an intervention.
Mid-term evaluation	Evaluation performed towards the middle of the period of implementation of the intervention.
Monitoring	A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.
Objective	Intended result contributing to physical, financial, institutional, social, environmental, or other benefits to a society, community, or group of people via one or more interventions.

Outcome	The likely or achieved short-term and medium-term effects of an intervention's outputs. Immediate to intermediate changes in behavior or actions related to the effect or influence of the program activities and outputs, and in fulfillment of the program purpose. It includes the identification of unintended or unwanted outcomes.
Outputs	The products, goods and services which result from an intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.
Participatory monitoring and evaluation	Method in which representatives of agencies and stakeholders work together in designing, carrying out and interpreting a monitoring and evaluation system.
Program Evaluation	Evaluation of a set of interventions that are intended to attain specific national, statewide or sector objectives. Note: A program is a time bound intervention involving multiple activities that may cut across sectors, themes and/or geographic areas.
Project Evaluation	Evaluation of an individual intervention designed to achieve specific objectives within specified resources and implementation schedules, often within the framework of a broader program.
Purpose	Intended higher level result contributing to physical,

	financial, institutional, social, environmental, or other benefits to a society, community, or group of people via one or more interventions.
Results	The output, outcome or impact (intended or unintended, positive and/or negative) of an intervention.
Review	An assessment of the performance of an intervention, periodically or on an ad hoc basis. Note: Frequently “evaluation” is used for a more comprehensive and/or more in depth assessment than “review”. Reviews tend to emphasize operational aspects. Sometimes the terms “review” and “evaluation” are used as synonyms.
Stakeholders	Agencies, organizations, groups or individuals who have a direct or indirect interest in the intervention or its evaluation.
Summative evaluation	A study conducted at the end of an intervention (or a phase of that intervention) to determine the extent to which anticipated outcomes were produced. Summative evaluation is intended to provide information about the worth of the program.
Sustainability	The continuation of benefits from an intervention after assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time.

Terms of  
reference

Written document presenting the purpose and scope of the evaluation, the methods to be used, the standard against which performance is to be assessed or analyses are to be conducted, the resources and time allocated, and reporting requirements. Two other expressions sometimes used with the same meaning are “scope of work” and “evaluation mandate”.<sup>1</sup>

## REFERENCES

<sup>1</sup> Monitoring and Evaluation Core Concepts. Anne Markiewicz and Associates  
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## MILLENNIUM DEVELOPMENT GOALS (MDGs)

### List of Goals and Targets

<b>Goal 1: Eradicate extreme poverty and hunger</b>	<b>Indicators</b>
<b>Target 1:</b> Halve, between 1990 and 2015, the proportion of people whose income is less than one dollar a day	<ol style="list-style-type: none"> <li>1. Proportion of population below \$1 per day</li> <li>2. Poverty gap ratio [incidence x depth of poverty]</li> <li>3. Share of poorest quintile in national consumption</li> </ol>
<b>Target 2:</b> Halve, between 1990 and 2015, the proportion of people who suffer from hunger	<ol style="list-style-type: none"> <li>1. Prevalence of underweight children (under five years of age)</li> <li>2. Proportion of population below minimum level of dietary energy consumption</li> </ol>
<b>Goal 2: Achieve universal primary education</b>	<b>Indicators</b>
<b>Target 3:</b> Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling	<ol style="list-style-type: none"> <li>1. Net enrolment ratio in primary education</li> <li>2. Proportion of pupils starting grade 1 who reach grade 5</li> <li>3. Literacy rate of 15-24 year olds</li> </ol>
<b>Goal 3: Promote gender equality and empower women</b>	<b>Indicators</b>
<b>Target 4:</b> Eliminate gender disparity in primary and secondary education preferably by 2005 and to all levels of education no later than 2015	<ol style="list-style-type: none"> <li>1. Ratio of girls to boys in primary, secondary and tertiary education</li> <li>2. Ratio of literate females to males of 15–24 year olds</li> <li>3. Share of women in wage employment in the non-agricultural sector</li> <li>4. Proportion of seats held by women in national parliament</li> </ol>
<b>Goal 4: Reduce child mortality</b>	<b>Indicators</b>
<b>Target 5:</b> Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate	<ol style="list-style-type: none"> <li>1. Under-five mortality rate</li> <li>2. Infant mortality rate</li> <li>3. Proportion of 1 year old children immunized against measles</li> </ol>
<b>Goal 5: Improve maternal health</b>	<b>Indicators</b>
<b>Target 6:</b> Reduce by three-quarters, between 1990 and 2015, the	<ol style="list-style-type: none"> <li>1. Maternal mortality ratio</li> <li>2. Proportion of births attended by skilled</li> </ol>

maternal mortality ratio	health personnel
<b>Goal 6: Combat HIV/AIDS, malaria and other disease</b>	
<b>Indicators</b>	
<b>Target 7:</b> Have halted by 2015, and begun to reverse, the spread of HIV/AIDS	<ol style="list-style-type: none"> <li>1. HIV prevalence among 15–24 year old pregnant women</li> <li>2. Contraceptive prevalence rate</li> <li>3. Number of children orphaned by HIV/AIDS</li> </ol>
<b>Target 8:</b> Have halted by 2015, and begun to reverse, the incidence of malaria and other major disease	<ol style="list-style-type: none"> <li>1. Prevalence and death rates associated with malaria</li> <li>2. Proportion of population in malaria risk areas using effective malaria prevention and treatment measures</li> <li>3. Prevalence and death rates associated with tuberculosis</li> <li>4. Proportion of TB cases detected and cured under DOTS (Directly Observed Treatment Short Course)</li> </ol>
<b>Goal 7: Ensure environmental sustainability</b>	
<b>Indicators</b>	
<b>Target 9:</b> Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources	<ol style="list-style-type: none"> <li>1. Proportion of land area covered by forest</li> <li>2. Land area protected to maintain biological diversity</li> <li>3. GDP per unit of energy use (as proxy for energy efficiency)</li> <li>4. Carbon dioxide emissions (per capita) [Plus two figures of global atmospheric pollution: ozone depletion and the accumulation of global warming gases]</li> </ol>
<b>Target 10:</b> Halve, by 2015, the proportion of people without sustainable access to safe drinking water	<ol style="list-style-type: none"> <li>1. Proportion of population with sustainable access to an improved water source</li> </ol>
<b>Target 11:</b> By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers	<ol style="list-style-type: none"> <li>1. Proportion of people with access to improved sanitation</li> <li>2. Proportion of people with access to secure tenure</li> </ol> <p>[Urban/rural dis-aggregation of several of the above indicators may be relevant for monitoring improvement in the lives of slum dwellers]</p>

<b>Goal 8: Develop a Global Partnership for Indicators Development</b>	<b>Indicators</b>
<p><b>Target 12:</b> Develop further an open, rule-based, predictable, non-discriminatory trading and financial system Includes a commitment to good governance, development, and poverty reduction—both nationally and internationally</p>	<p>Some of the indicators listed below will be monitored separately for the Least Developed Countries (LDCs), Africa, landlocked countries and small island developing states.</p> <p><i>Official Development Assistance</i></p> <ol style="list-style-type: none"> <li>1. Net ODA as percentage of DAC donors' GNI (targets of 0.7% in total and 0.15% for LDCs)</li> </ol>
<p><b>Target 13:</b> Address the Special Needs of the Least Developed Countries Includes: tariff and quota free access for LDC exports; enhanced programme of debt relief for HIPC and cancellation of official bilateral debt; and more generous ODA for countries committed to poverty reduction</p>	<ol style="list-style-type: none"> <li>1. Proportion of ODA to basic social services (basic education, primary health care, nutrition, safe water and sanitation)</li> <li>2. Proportion of ODA that is untied</li> <li>3. Proportion of ODA for environment in small island developing states</li> <li>4. Proportion of ODA for transport sector in land-locked countries</li> </ol>
<p><b>Target 14:</b> Address the Special Needs of landlocked countries and small island developing states (through Barbados Programme and 22nd General Assembly provisions)</p>	<p><i>Market Access</i></p> <ol style="list-style-type: none"> <li>1. Proportion of exports (by value and excluding arms) admitted free of duties and quotas</li> </ol>
<p><b>Target 15:</b> Deal comprehensively with the debt problems of developing countries through national and international measures in order to make debt sustainable in the long term</p>	<ol style="list-style-type: none"> <li>1. Average tariffs and quotas on agricultural products and textiles and clothing</li> <li>2. Domestic and export agricultural subsidies in OECD countries</li> <li>3. Proportion of ODA provided to help build trade capacity</li> </ol> <p><i>Debt Sustainability</i></p> <ol style="list-style-type: none"> <li>4. 41. Proportion of official bilateral HIPC debt cancelled</li> <li>5. Debt service as a percentage of exports of goods and services</li> <li>6. Proportion of ODA provided as debt relief</li> <li>7. Number of countries reaching HIPC decision and completion points</li> </ol>
<p><b>Target 16:</b> In cooperation with developing countries, develop and implement strategies for decent and productive work for youth</p>	<ol style="list-style-type: none"> <li>1. Unemployment rate of 15–24 year-olds</li> </ol>



<b>Target 17:</b> In cooperation with pharmaceutical companies, provide access to affordable, essential drugs in developing countries	1. Proportion of population with access to affordable essential drugs on a sustainable basis
<b>Target 18:</b> In cooperation with the private sector, make available the benefits of new technologies, especially information and communications	1. Telephone lines per 1,000 people 2. Personal computers per 1,000 people

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Sarfraz Khawaja completed his Master Degree with distinction from University of the Punjab, Lahore. He started teaching in a college. He competed in the CSS Examination and was offered the position to join custom service but opted for academics. Sarfraz Khawaja earned his PhD degree from University of Missouri, Columbia, USA and then joined University of Wisconsin, USA as a faculty member. He also taught at Government College Lahore, (Now University). His other teaching assignment was that of Chief Instructor (Professor) at the Civil Services Academy, Lahore. He served as Deputy Educational Advisor in the Ministry of Education, Government of Pakistan and Director, Academy of Educational Planning and Management, Islamabad. His work experience extends to UNICEF as Planning, Monitoring and Evaluation Officer. He also worked for UNFPA as Management Advisor. His latest assignment was Monitoring and Evaluation Specialist in Planning Commission, Government of Pakistan

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He is a prolific writer and some of his works include:

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The governance broadly includes the complex array of, processes, interactions, relationships and institutions through which the government manages the affairs of the citizens. The key role is performed by the persons employed or involved in the delivery of public service. This could be bureaucracy, the NGOs, the members of civil society and all other citizens of state and society who are the building blocks of a given system. The role of public service in a democracy is to consider ideas, understand and interpret the future challenges, and give expert advice to the government about the strategies that will best deliver the outcomes of the democratically elected government. Governance does not mean government alone. The market forces, media, political parties and NGOs are all part of the country's governance. The public service is not accustomed to this emerging reality. In recent years the power of the media has become explosive, if used without responsibility. Accountability does not mean less authority to govern. Rather it means the use of authority in a more responsible manner for the well being of the greatest number.

RBM was especially highlighted in the "2005 Paris Declaration on Aid Effectiveness" as part of the efforts to work together in a participatory approach to strengthen country capacities and to promote accountability of all major stakeholders in the pursuit of results.

In the "Programme for Reform", presented by UN Secretary General to the UN General Assembly in 1997, it was proposed that the UN "place greater emphasis on results in its planning, budgeting and reporting and that the General Assembly move the budget of the United Nations from input accounting to accountability for results... shifting the focus of planning, budgeting, reporting and oversight from how things are done to what is accomplished". Since then, the notion of results and "results-based management" became a central aspect within the UN system and a global trend among international organizations, reinforced by new commitments.

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