



Mongolia:
Enhancing Resource
Management through
Institutional Transformation

A Monitoring and Evaluation System in the
RBM Approach

Technical Advisor and Facilitator:
Raymond Gervais

2018.12.20

GOAL OF THE MONITORING & EVALUATION PRESENTATION

Participants will be guided to move from a general understanding of the monitoring function to a greater knowledge of what must be done to create a **monitoring and evaluation (M&E) system**.

They will be introduced to its **challenges** from an organizational perspective, but also the **benefits** of an RBM M&E system.

They will quickly find links to the other components of the RBM approach such as the **stakeholder analysis** and the **performance measurement framework**.

The issue of **robustness** of the system and its **sustainability** will appear as the M&E system completes its deployment.

REMINDER: MONITORING & EVALUATION (M&E)

➤ *Monitoring*

- an ongoing process or system to collect and report on a **regular** basis to determine the **progress to achieving results**

➤ *Evaluation*

- a periodic evaluation to assess the **actual achievement** of results usually at the mid term or end of a project

The M&E system is built through **coordination and collaboration** of all parties, in the best **interest** of all parties.

REMINDER 2: MONITORING STRATEGIES

If monitoring is an ongoing process or system to collect and report on a regular basis to determine the progress toward achieving results, then it must be planned from a management perspective by assessing the **three important factors**: time, cost, and methodological challenges.

Relevant questions:

- **Time**: will the system inform in a timely manner stakeholders on the success or lacunas of the project?
- **Costs**: will the cost of gathering the data surpass the benefits it will yield to the information system?
- **Complexity**: Is the staff capable of producing the reliable data?

A monitoring system must be scaled to budgets and capabilities to inform decision making.

FOREWORD AS WE MOVE FORWARD

The Power of Measuring Results

- If you do not measure results, you cannot tell **success** from failure.
- If you cannot see success, you cannot **reward** it.
- If you cannot reward success, you are probably rewarding **failure**.
- If you cannot see success, you cannot **learn** from it.
- If you cannot recognize failure, you cannot **correct** it.
- If you can **demonstrate** results, you can **win** public support.

Source: Adapted from Osborne, David and Ted Gaebler. 1992. Reinventing Government. Boston, Mass.: Addison-Wesley Publishing.

STAKEHOLDER ANALYSIS AND M&E READINESS

Good intentions to advance the design, creation, and use of results-based M&E systems, offer too little emphasis on **existing** political, organizational, and cultural factors and contexts. This is why a **readiness assessment** could help identify the positive and negative factors to building the system.

In Mongolia two vital questions:

- Is the FWNRCC ready for the **challenges** of building its M&E system?
- Is the Ministry ready to become a **champion** of M&E and support the Center?

Three Main Parts of the Readiness Assessment

- **Incentives and Demands** for designing and building a results based M&E system
- Roles and Responsibilities and **Existing Structures** for Assessing Performance
- **Capacity Building** Requirements for a Results-Based M&E System

There is a link to me made between a stakeholder analysis and a readiness assessment.

OUTCOMES MUST BE DETERMINED

The M&E system responds to the requirement of **measuring results**, so results (in the RBM sense of changes) need to be identified and defined.

For it to work, outcomes have to be **agreed** in the organization through a participatory process and **grounded** in a stakeholder analysis. Then they must be in line with mission and purpose **statements**.

Choosing the outcomes is the first step to the **logical framework** and the **performance measurement framework**. Indicators, baselines, and targets will all flow from this initial step of establishing outcomes.

As we have said before: outcome statements have to be **SMART**.

SELECTING INDICATORS REQUIRES THOUGHT AND WORK

A monitoring system that only measures **output level** effects does not follow RBM guidelines. SMART indicators should be identified and then monitored at all levels of the **logical framework**. Let's try. What indicators would best suit out information needs:

Levels	Statements	Indicators
Ultimate outcome		
Intermediate Outcome		
Immediate outcome		
Output	water testing training workshops were held in the 21 aimags	

WHY SPEND SO MUCH TIME IDENTIFYING RESULTS?

“Developing key indicators to monitor outcomes enables managers to assess the degree to which intended or promised outcomes are being **achieved**. Indicator development is a **core activity** in building a results-based M&E system. It drives all subsequent data collection, analysis, and reporting. There are also important political and methodological considerations involved in creating good, effective indicators.”

Source: Kusek and Rist, 2004.

1. Selection of indicators must try to take into account concerns of **primary stakeholders**.
2. The type of indicator (qualitative, quantitative, proxy) will be related to the three **core factors**: time, costs, and complexity.

BASELINE AND OTHER DATA GATHERING OPERATIONS

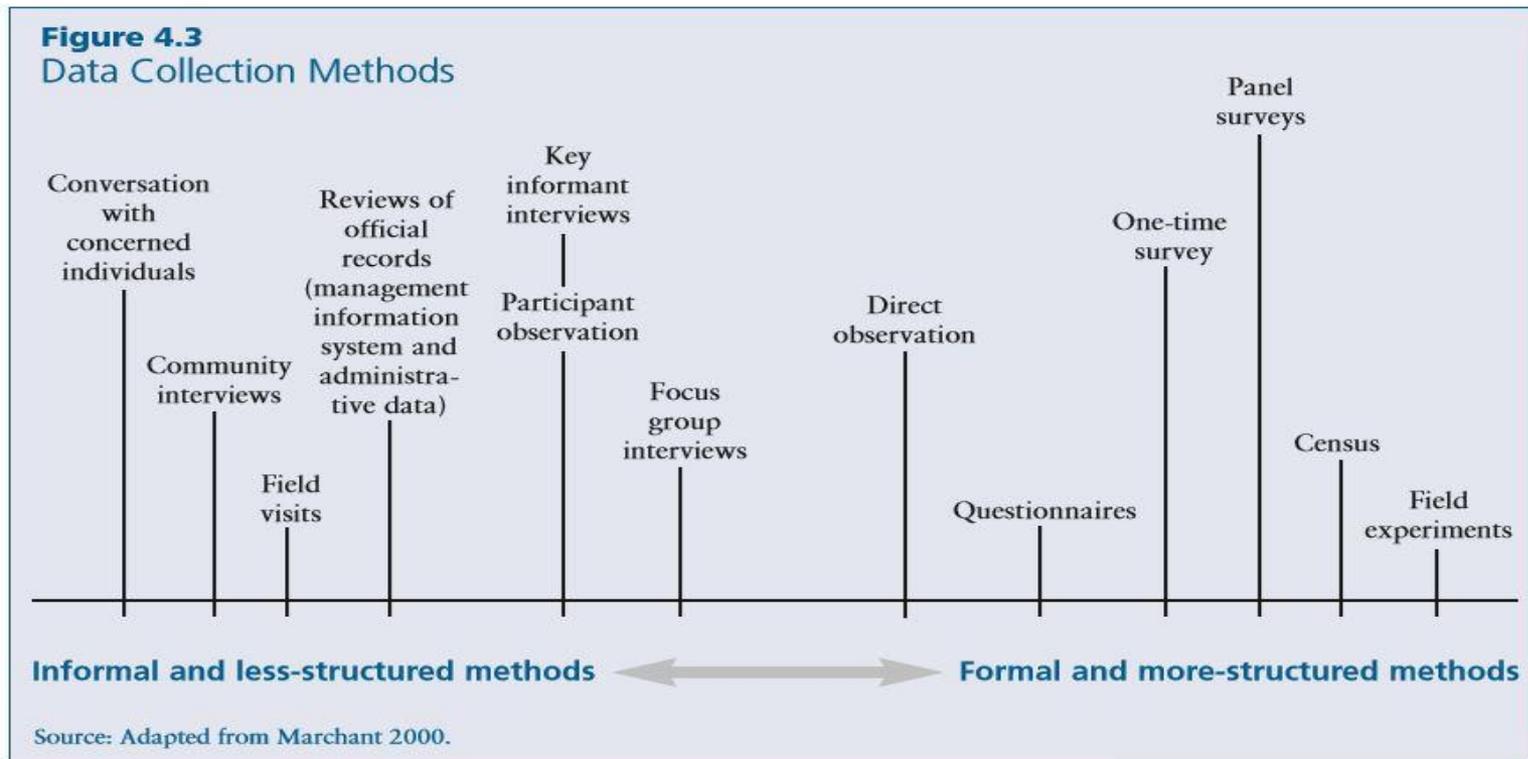
A baseline is the value of the indicator at the **outset** of the intervention (T=0). It can assist in setting **targets**, but mainly it serves as a **starting point** for the measurement of results.

Main questions for baseline (and for information gathering to measure results):

1. What are the sources of data?
2. What are the data collection methods?
3. Who will collect the data?
4. How often will the data be collected?
5. What is the cost and difficulty to collect the data?
6. Who will analyze the data?
7. Who will report the data?
8. Who will use the data?

Think of the **performance measurement framework**.

DATA COLLECTION METHODS: AN INVENTORY



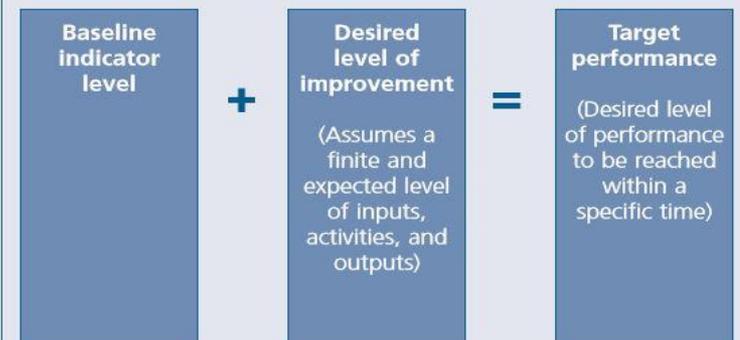
Which ones could be used to measure the results of our workshops?

SOMETIMES YOU NEED TARGETS

Definition: Targets are the **quantifiable levels** of indicators that a country, society, or organization wants to achieve by a given time.

Setting **realistic targets** involves the recognition that most desired outcomes are longer term, complex, and not quickly achieved. Thus, there is a need to establish targets as **short-term** objectives on the path to achieving an outcome.

Figure 5.2
Identifying Desired Level of Results Requires Selecting Performance Targets



MONITORING FOR RESULTS

Key principles involved in building a results based monitoring system:

There are **results information needs** at the project, program, and policy levels.

Results information must move both **horizontally and vertically** in the organization (sometimes presenting a political challenge).

Demand for results information at each level needs to be identified.

Responsibility at each level needs to be clear for 1. What data are collected (source) 2 When data are collected (frequency) 3. How data are collected (methodology) 4. Who collects data 5. Who reports data 6. For whom data are collected. (Again the performance measurement framework)

WHA DOES THE M&E SYSTEM NEED?

Ownership: is the demand side. Do all levels of the organization see the need and demand the information?

Management: Who, how, and where the system will be managed is critical to its sustainability.

Maintenance: It is important to know who will collect what kind of information and when, and to ensure that information is flowing horizontally and vertically in the system.

Credibility: Valid and reliable data help ensure the credibility of the system. To be credible, monitoring systems need to be able to report all data—both good and bad.

Figure 6.8

Every Monitoring System Needs

Ownership

Management

Maintenance

Credibility

WHAT ABOUT THE “E” IN M&E?

There is a real **complementarity** between monitoring and evaluation: evaluations are built on monitoring.

The complementarity is:

- monitoring raises **questions** that evaluation must answer;
- **information** is used in both functions;
- M&E data is used by managers to **direct** their intervention and **plan** the next cycle.

THE MANY USES OF M&E REPORT FINDINGS

To demonstrate **accountability**—delivering on political promises made to citizenry and other stakeholders

To convince—using **evidence** from findings

To educate—reporting findings to help **organizational learning**

To **explore and investigate**—seeing what works, what does not, and why

To document—recording and creating an **institutional memory**

To involve—engaging stakeholders through a **participatory process**

To **gain support**—demonstrating results to help gain support among stakeholders

To promote **understanding**—reporting results to enhance understanding of the Center and its projects, programs, and policies.

THE MANY USES OF THE M&E SYSTEM

1. Respond to elected officials' and the public's demands for accountability
2. Help formulate and justify budget requests
3. Help make operational resource allocation decisions
4. Trigger in-depth examinations of what performance problems exist and what corrections are needed
5. Help motivate personnel to continue making program improvements
6. Formulate and monitor the performance of contractors and grantees
7. Provide data for special, in-depth program evaluations
8. Help provide services more efficiently
9. Support strategic and other long-term planning efforts (by providing baseline information and later tracking progress)
10. Communicate better with the public to build public trust.

Source: Hatry 1999.

SUSTAINING THE M&E SYSTEM

Five Critical Components of Sustaining Results-Based M&E Systems

- **Demand**: continuous flow of demand for data/information to inform decision-making.
- Clear roles and **responsibilities**: who will take responsibility?
- Trustworthy and **credible** information: Information produced by the M&E system should be transparent and subject to independent verification.
- **Accountability**: All departments (and their interventions) must be made accountable.
- **Capacity**: Sound technical skills in data collection and analysis are necessary for the system's sustainability.

“ BAYARLALAA ”



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Address: Floor 3, National Times News Tower
Khudaldaanii gudamj, Khoroo 1
Chingeltei district, Ulaanbaatar-15160
Mongolia

Phone: 7610-5000