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PHILIPPINES AUSTRALIA  
HUMAN RESOURCE  
AND ORGANISATIONAL  
DEVELOPMENT FACILITY



# RESULTS-BASED MONITORING AND EVALUATION GUIDEBOOK

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## ACRONYMS

AA	Attached Agency
AO	Administrative Order
COA	Commission on Audit
CSO	Civil Society Organisation
DBM	Department of Budget and Management
DCS	Data Collection Sheet
DILG	Department of the Interior and Local Government
DOF	Department of Finance
ICT	Information and Communications Technology
IDS	Indicator Documentation Sheet
ISTMS	Information Systems and Technology Management Service
FMS	Financial and Management Service
FO	Field Office
LFA	Logical Framework Approach
LGU	Local Government Unit
MC	Memorandum Circular
M&E	Monitoring and Evaluation
MFO	Major Final Output
MLGOO	Municipal Local Government Operations Officer
MOV	Means of Verification
MPDO	Municipal Planning and Development Officer
MTEF	Medium Term Expenditure Framework
NEDA	National Economic and Development Authority
OBS	Office, Bureau, Service
OBSU	Office, Bureau, Service, Unit
ODA	Official Development Assistance
OPB	Operations Plan and Budget
OPDS	Office of the Project Development Services
OPIF	Organisational Performance Indicator Framework

ORF	Overall Results Framework
PAMANA	<i>Payapa at Masaganang Pamayanan</i>
PAR	Project-at-Risk
PDMU	Project Development Management Unit
PDP	Philippine Development Plan
PI	Performance Indicator
PIB	Performance Informed Budget
PMED	Project Monitoring and Evaluation Division
PMO	Project Management Office
PPAs	Programs, Projects and Activities
PPMS	Programs and Projects Monitoring System
PS	Planning Service
RA	Republic Act
RbME	Results-based Monitoring and Evaluation
RbMEIS	Results-based Monitoring and Evaluation Information System
RbPMS	Results-based Performance Management System
RM	Results Matrix
USLG	Undersecretary for the Local Government
WFP	Work and Financial Plan



REPUBLIC OF THE PHILIPPINES

DEPARTMENT OF THE  
INTERIOR AND LOCAL GOVERNMENT

## *Message from* Austere Panadero

Many of us get caught up in meeting deadlines, or complying with requirements, that we fail to see the real essence of results: Results are meant to continuously improve people's lives. They are not static. They are dynamic, and can change from time to time depending on different conditions.

This is why we decided to explore better the system of Results-based Monitoring and Evaluation (RbME). Meeting our "deliverables" is not enough. There must be a logical and thorough methodology as to how one can track results and progress—whether it be of a project done by a whole department, or a humble endeavour by a *barangay* community—and see how they can be better implemented to make a lasting and relevant difference.

Through the intervention of Philippines-Australia Human Resource and Organisational Development Facility (PAHRODF), select divisions and officers of DILG were given the opportunity to study and experience how RbME can do just that. Through a series of workshops and mentoring sessions, they managed to grasp and apply the intricacies of RbME, and to see the value it has on their respective projects and initiatives. The culminating product of those energies is encapsulated in this Guidebook—that explains, in easy-to-follow steps, how to construct RbME frameworks that can be understood by all.

I am very proud of those who participated eagerly in the intervention, and of those who will value the contents of this Guidebook. This just goes to show that we in DILG represent the best of the best in Philippine government: People who are sincere and serious in what they do, always seeking for solutions that will not only benefit the Department, but the lives of those in the grassroots.

To our friends in PAHRODF, thank you for your efforts, patience, and time spent with us at DILG. We hope our paths cross again.

To those who shall use this Guidebook: I congratulate you in advance. What you will learn from this will gain you much and eventually contribute to the greater good. I hope that the Department's goals and achievements will be further strengthened as we learn to build upon and around results, and to streamline policies and procedures.

**Austere Panadero**  
*Undersecretary*



## *Message from* Hon. Bill Tweddell

The Australian Government supports the Philippine Government's initiatives to promote good governance. Since 2010, we have been working closely with the Department of Interior and Local Government (DILG) through the Philippines Australia Human Resource and Organisational Development Facility (PAHRODF) in providing interventions that would help build a stronger DILG for more inclusive governance.

One of our forms of assistance came as support for Results-based Monitoring and Evaluation (RbME), an evolving framework that is fast becoming the standard in many international organisations to track progress in long-term planning and results.

Implementing such a framework is not easy, and I have nothing but heartfelt thanks to the men and women in DILG who have been open to learning more about RbME. The first step in improving oneself, and eventually, the world, starts with the realisation that change must happen. I am certain that many of the participants in the intervention have been challenged by the new mindsets and habits presented by using RbME. To those who have accepted—nay, embraced—this challenge, I applaud you. You will soon discover (if you haven't already) the benefits of being adept at RbME as your roles in the Department become more and more significant.

We at the Australian Embassy Philippines would like to say we help “get things done,” as well as make sure all our interventions are geared specifically towards helping the Philippine Government promote good governance. This Guidebook is designed as one of the concrete ways the DILG can work towards that.

Thank you again for your cooperation and the opportunity to share knowledge with you.



**Bill Tweddell**  
*Ambassador to the Philippines*





# Introduction

This part contains the basics: the purpose of this Guidebook, its benefits to the readers, and instructions on its use.

## What is the purpose of the guidebook?

- To unify and simplify monitoring and evaluation (M&E) systems and processes at the Department of the Interior and Local Government (DILG);
- To focus M&E efforts on managing development interventions for results and to comply with the requirements of the oversight agencies; and
- To build the foundation for shared understanding and application of the Results-based Monitoring and Evaluation (RbME) method, concepts, and tools.

## Who are the users?

This guidebook is specifically prepared for the Local Government sector, although the tools, concepts and processes contained here can also be used by the entire Department and the following:

- DILG as a whole
- Office of the President
- Local Government Units (LGUs) and Local Leagues
- Oversight agencies (i.e. National Economic and Development Authority, Department of Budget and Management, Department of Finance, and Commission on Audit)
- Both Houses of Congress
- Civil Society Organisations (CSOs)
- Development partners

## How do you use it?

Turn to

**PART 1** if you want an overview of the enabling policy and organisational context for RbME.

**PART 2** to know more about the principles, methods and toolkits of results-based monitoring and evaluation.

**PART 3** if you need to get familiar with an operationalisation of the RbME system within DILG and implications on sustaining the system.

**PART 4** if you need to better understand how the RbME method, tools, and instruments are applied in a project or a development intervention.



This Guidebook is a work in progress. Consider this yours. You are the author. Enhancements on this Guidebook are expected as lessons are learned and made part of it.





# 1

## The Enabling Policy and Organisational Environment

This Guidebook's development objective reflects the Government's serious efforts at rationalising its system of planning and budgeting for better accomplishment of the intended and desired results of programs and projects. These efforts are consistent with the Government's development cooperation commitments based on the principles, concepts and methods of Managing for Development Results and Results-based Management. ANNEX A provides an overview of this development orientation. A glossary of terms commonly used in results-based monitoring and evaluation is also attached and can be found in ANNEX B.

## The government's answer to the gaps between plans, budgets, and results-based performance management

In 2012, Administrative Order (AO) No. 25 was issued by the President of the Philippines. This was to support the need for a unified and integrated Results-based Performance Management System (RbPMS). For this, an inter-agency Task Force was initially created. This Task Force takes on the harmonisation of national government performance monitoring, information, and reporting systems.

Since then, several administrative orders have been issued that support RbPMS.

Under the initiation of NEDA, the Results Matrix (RM) for the first time accompanied the 2011-2016 Philippine Development Plan (PDP).

Recently, for example, guidelines on the shift to outcome-based Performance-Informed Budget (PIB) for the Fiscal Year 2015 budget preparation were used in the National Budget Circular No. 552 Series of 2014.

AO 25 is predated by other public sector reforms, which seek to provide a strong link between plans and budgets. At the centerpiece is the Public Expenditure Management System, from where the Medium Term Expenditure Framework (MTEF) and its instruments, the Organisational Performance Indicator Framework (OPIF), and the Major Final Outputs (MFOs) evolved.

RMs provide the underlying framework of the RbPMS, which will serve as the basis for determining entitlement to performance-based allowances, incentives, or compensation of government personnel.

Planning and budgeting reconciled: The link between the Philippine Development Plan (PDP) and the Organisational Performance Indicator Framework (OPIF)

The OPIF is a performance-based strategy for implementing agencies of government to define and establish budgets through a logical process of:

- a. Planning and deciding on desired results,
- b. Establishing relevant performance targets and measures; and,
- c. Monitoring and evaluating and reporting on results.

This link is illustrated in Figure 1.

Figure 1

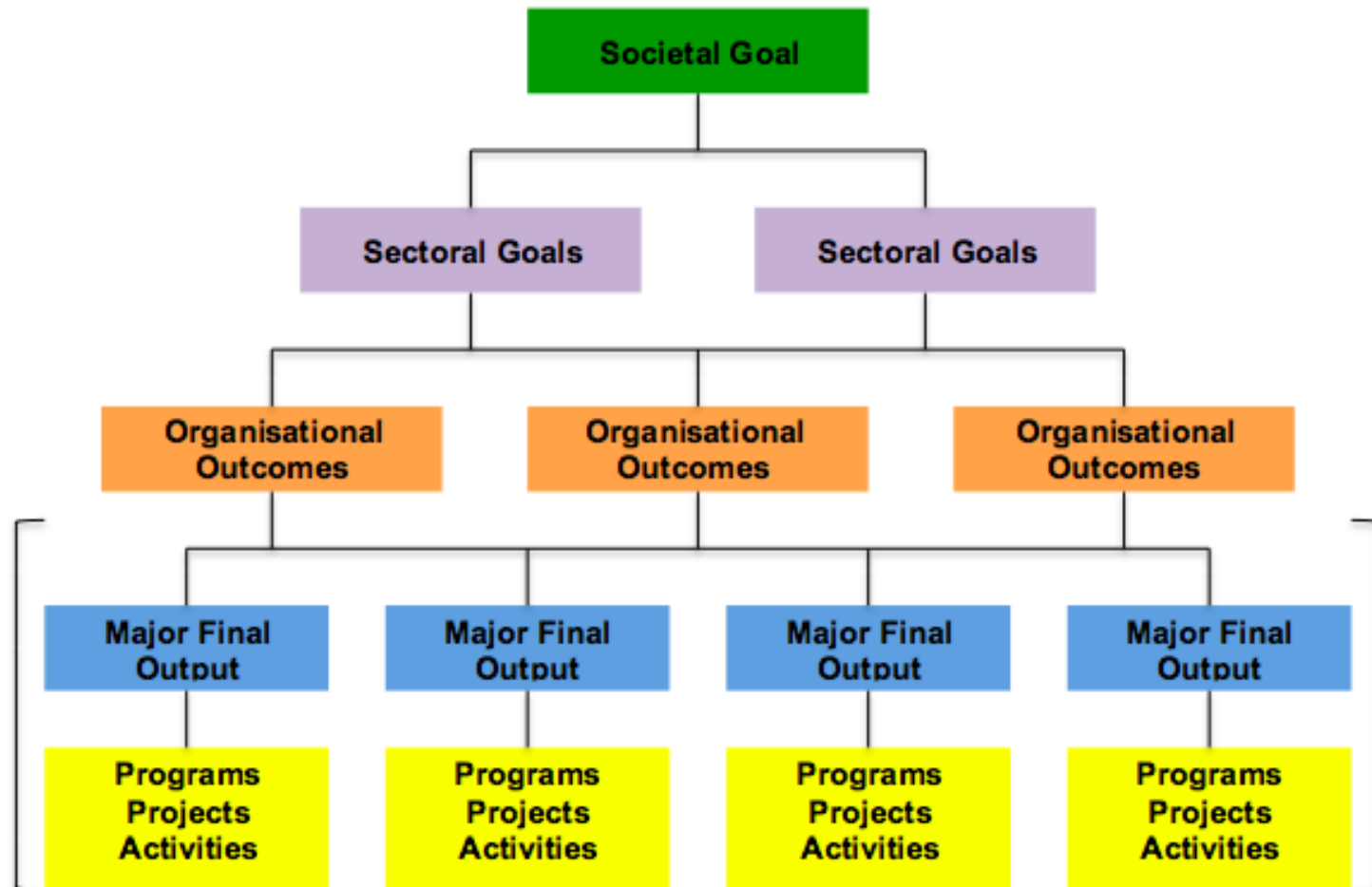


Figure 1. The Link Between the Plan and the Budget, as illustrated in *Challenges and Prospects in M&E in the Philippines, NEDA-PMS, 2012*

Figure 2

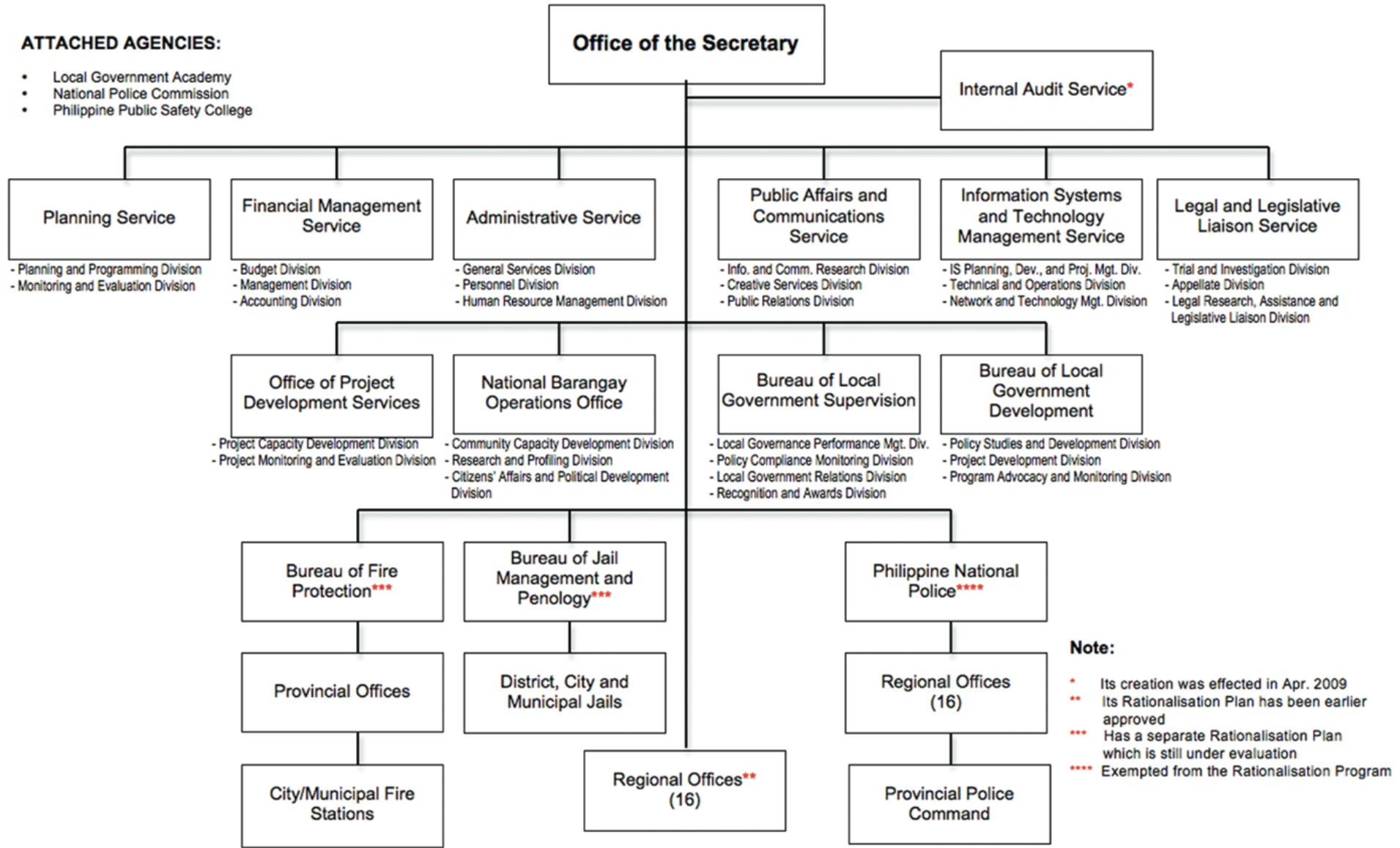


Figure 2. The current organisational structure of the DILG Central Office.

## The DILG Organisational and Functional Structure: Implications on M&E

Republic Act (RA) 6975 series of 1990, reorganised DILG into what it is today with local government, peace and order and public safety concerns included in the department's mandate. With the passage of RA 7160 in the following year, which provided for decentralised governance, this provision somehow affected the Department's organisational and functional structure. Nevertheless, the DILG under RA 6975 continues to assist the President in the exercise of general supervision over local governments.

Executive Order (EO) No. 366, which called for a Rationalisation Program of central government, gave the DILG an opportunity to reconfigure its structure and operations so that it can effectively and efficiently support local governance and autonomy.

This supported the Department's need and willingness to adopt an M&E system.

Currently, the approved organisational structure of the Department's Central Office is presented in Figure 2.

# Strategic Shifts in Function and Structure in Support of RbME

This "rationalised" structure allows for strategic shifts that position the Department well for the development and adoption of a unified, department-wide RbME Framework and System.

As a result, the DILG developed an Outcome-based Framework to reflect its strategic objectives and to serve as basis for measuring its performance.

Figure 3

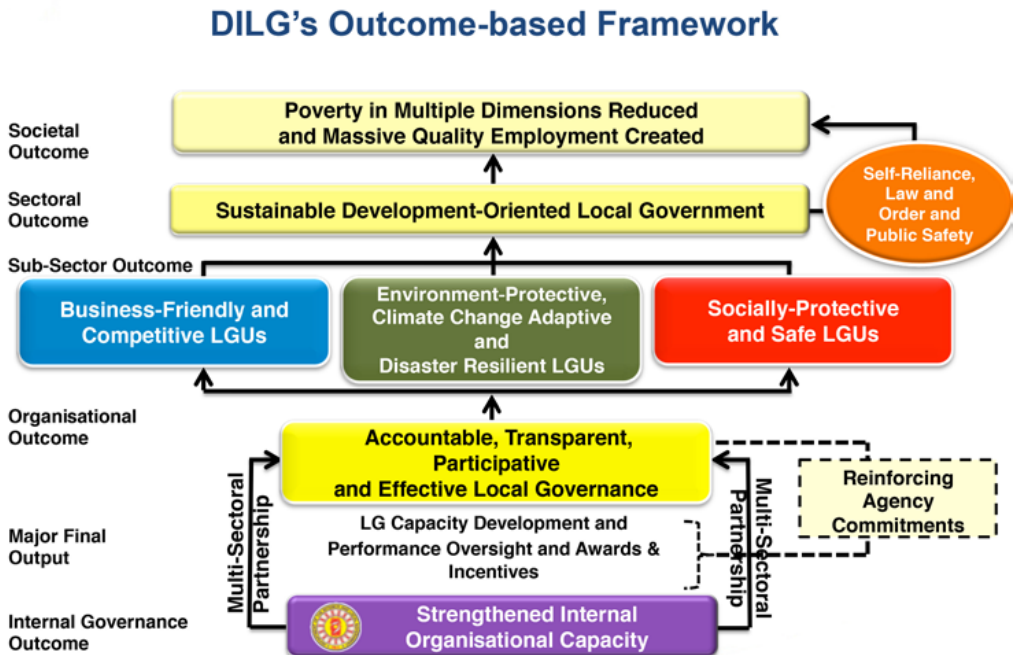


Figure 3. The DILG local government sector outcome framework.

## Functional shifts

Even before the restructuring, the Department already expressed a need to establish a monitoring and evaluation system to measure results or performance as basis for improvement. Its statements read:

1. Formulate and implement mechanisms for improving the capacity of communities for participatory governance.
2. Monitor and evaluate local government performance.

The DILG also already envisioned for itself two more proactive roles as a consequence of the two re-stated functions:

1. Monitor LGU compliance to national laws, policies, rules and regulations.
2. Provider of strategic technical assistance to provinces, cities and municipalities, particularly on strengthening institutional capacities to plan and manage the local socio-economic development process within the context of autonomy and participatory, as well as rights-based governance.

## Structural shifts

### **SERVICES**

At the Service level of the organisational structure, the need for such a system has been highlighted in two ways: (a) as a means of attaining performance standards; and (b) as a formal structure to support the strengthened monitoring and evaluation function of a particular Division or Unit of the Service.

The following adjustments reflect DILG's efforts at new monitoring and outcome-based systems:



- 1.** An Internal Audit Service was organised in the Department as early as 2009 to look at both operations and financial concerns. In this way, the Department is held accountable to attaining its set standards of performance.
- 2.** In Administrative Service, a more holistic approach is being put in place with the establishment of the Human Resource Management Division, which has as one of its concerns the establishment and maintenance of a performance evaluation system.
- 3.** In Planning Service, a division was re-named Monitoring and Evaluation Division to give prominence for the function. This function will validate implementation of the Department's Programs and Projects.
- 4.** The former Electronic Data Processing Service has been renamed Information Systems and Technology Management Service. It will, among others, formulate the Department-wide ICT Framework Plan and maintain computer-based application systems and databases. This positions the Department well in having an e-based Results-based Monitoring and Evaluation Information System (RbMEIS).
- 5.** The Financial and Management Service, while retaining its existing Divisions, is poised to strengthen its Management Division so that the same can orchestrate improvements in the systems and processes of all units for that will eventually lead to improved organisational outcomes.
- 6.** The Public Affairs and Communications Service, with its revamped Information and Communication Research Division, will measure and evaluate attitudes, opinions, sentiments of the public toward the Department's Programs, Projects and Activities (PPAs), among others.
- 7.** Legal and Legislative Liaison Service is responsible in providing the Department with effective and efficient legal counseling services, assisting the Secretary in the determination of appropriate action on appealed

resolutions/decisions of subordinate bodies or agencies, collaborating with the Solicitor General in handling cases affecting the Department, and investigating administrative cases involving Department personnel and local officials.

## **OFFICES/BUREAUS**

Bureaus have likewise made adjustments:

- 1.** The Office of Project Development Services has also taken a more holistic approach to monitoring and evaluation by re-naming the Project Development Division to Project Capacity Development Division while retaining the Project Monitoring and Evaluation Division, making it part of the cycle of planning. One of its major functions is to conduct continuing monitoring and evaluation of programs and projects in relation to specific project outputs and outcomes.
- 2.** The Bureau of Local Government Development renamed its Local Fiscal Resource Development Division as Program Advocacy and Monitoring Division.
- 3.** The Bureau of Local Government Supervision renamed three of its four Divisions as follows: Policy Compliance Monitoring Division to generate baseline information on local government compliance to laws, policies, rules and regulations; Local Governance Performance Management Division to primarily implement the Local Governance Performance Monitoring System with a national electronic database of local government performance, among others; and Recognition and Awards Division to administer the incentives and awards program based on performance standards.
- 4.** The National Barangay Operations Office renamed two of its Divisions as follows: the Research and Profiling Division, whose researches should lead to initiatives that will improve and strengthen barangay operations; and the Community Capacity Development Division to strengthen barangay capabilities.



# 2

## The Methodological Foundations of Results-based Monitoring and Evaluation (RbME)

This part describes the method, concepts and tools commonly used in RbME. These include the Results Chain, the Logical Framework method, and the Ten Step Model in building a results-based M&E.

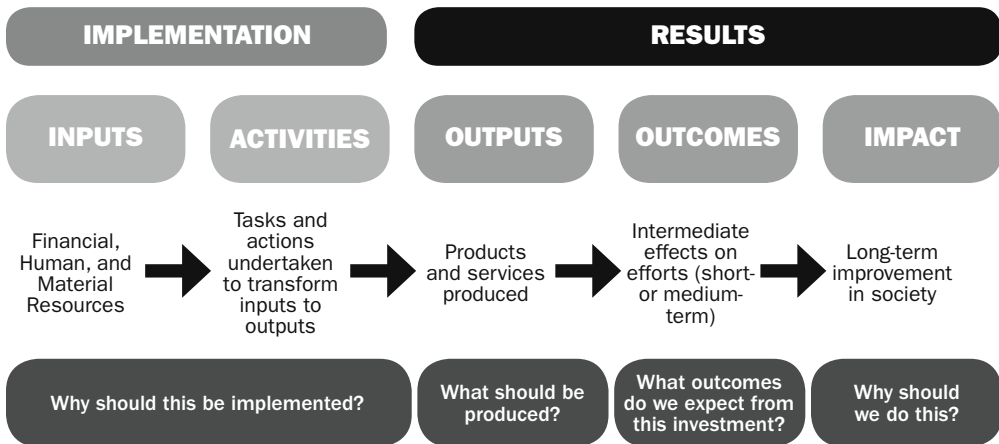
# The Results Chain

Distinct qualities:

- Integrates the planning and the implementation aspects of RbME.
- Its process goes from bottom up, starting at the input/activity level and working upward to the outcome and impact.

It is different from Planning for Results, which starts from top to bottom. The Results Chain shows this shift in direction, which has not been previously emphasised in M&E practice.

**Figure 4**



*Figure 4. The Results Chain, from An Introduction to Results Management: Principles, Applications and Implications, ADB, 2006*

## The Logical Framework

As a planning and implementation instrument, the Logical Framework (or Logframe) was initially used as a planning tool in the analysis and design of simple development interventions. Prior to the 1990s, it was popularly used to ensure efficiency in the delivery of project outputs, which was more focused then towards accomplishing physical and financial targets.

The method is now being used at different levels of intervention at policy and more complex program/project levels. The focus now has shifted towards ensuring accomplishment of the Outcomes of development interventions. There is a need to distinguish the Logframe as a Method using tools and concepts consistent with the method's analytical tools and the matrix format used in presenting the results of the analyses. With the emphasis on development outcomes, the matrix format as described in the results chain is now more popularly called the Results Framework. Outcome mapping and the theory of change schools of thought are also introduced. The analytical tools and processes, are still prevalently applied, however.

### Analytical tools needed in Logframe Formulation and M&E Planning

Important analytical tools need to be applied to get a better picture of the problem situation and to identify more responsive development interventions.

The analytical tools that follow do not have to be applied in the sequence in which they appear in this book. The sequence depends on whatever information is already available in the current situation.

**Development should be seen as a change or transformation of a problematic situation to an improved condition for the target beneficiaries.**

Figure 5

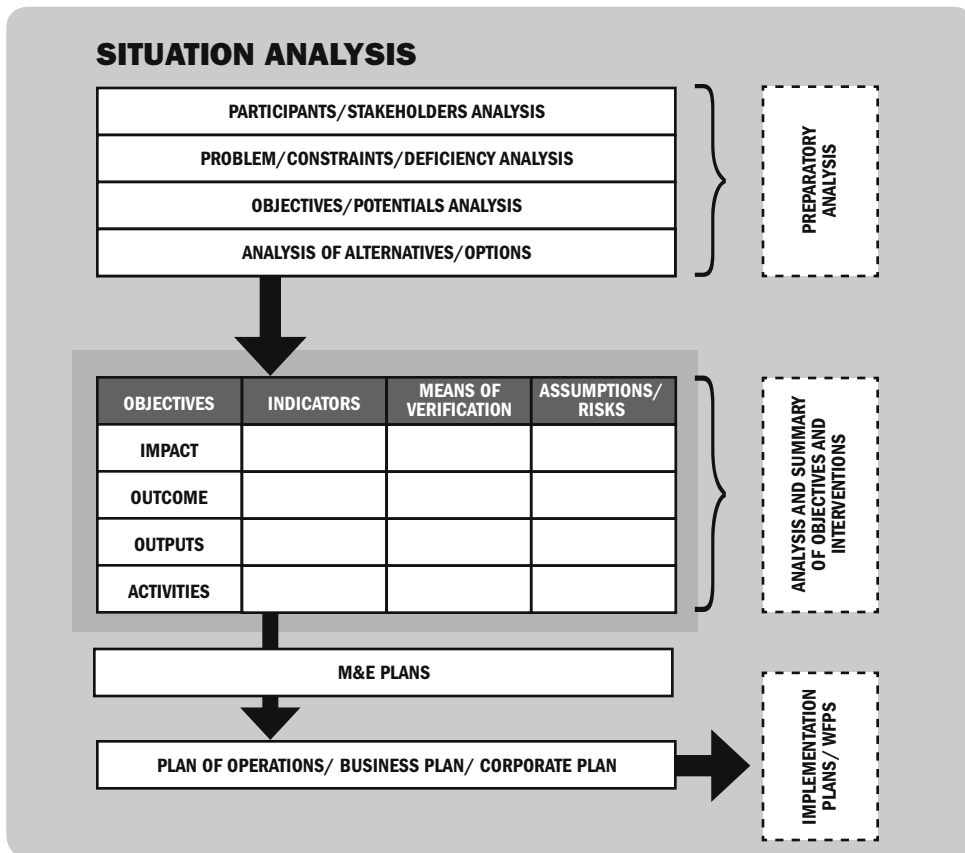


Figure 5. Overview of Analytical Tools Preparatory to Logframe Formulation

## The Participants Analysis (or Stakeholders Analysis)

The participants analysis is an analysis of the problems, fears, interests, expectations, restrictions and potential of all important groups of individuals, communities, institutions, implementing agencies, etc. which may have an influence on a development/planned intervention, or are themselves affected by it.

The examples shown here to demonstrate the application of the tools are based on a simple rural road project, prevalently used in the literature.

Important Steps:

- 1** Relevant stakeholders of the intervention are identified and categorised in terms of direct and indirect beneficiaries, intermediaries or support groups, program/project holders etc.
- 2** The participants are characterised on the basis of: a) problems, needs and expectations and interests, and; b) weaknesses, constraints and potentials; and,
- 3** Characteristics are analysed for implications on a potential development intervention.





Diagram 1

PARTICIPANTS/ THEIR CHARACTERISTICS	PROBLEMS/ NEEDS	EXPECTATIONS/ INTERESTS	WEAKNESSES/ CONSTRAINTS	POTENTIALS	CONSEQUENCES FOR POTENTIAL INTERVENTION
Bus Company (institution)	Frequent bus accidents	High utilisation rates of buses	Inefficient management (no flexibility)	High demand for transport service, if supplied according to demands	Improvement of the management
Passengers (envisaged beneficiaries 150,000 people per day)	Movement by public transport is unreliable and dangerous	- to be at the market as early as possible - to have enough space for transporting vegetables	No capital available to afford alternative means of transport	Politically influential on local level	Improve existing transport system
Bus-drivers (from various origins)	- Little incentives - Do not know traffic rules	Satisfactory working conditions	Dangerous driving (many accidents)	Willingness to better their reputation	- Training - Incentives system
Bus repair workshop	High ratio between qualified personnel and number of buses	Guaranteed jobs with less stress	Shoddy repair work	Technical know-how and facilities are available	- Replacement of aging buses - In-service training to improve workmanship

Diagram 1. Matrix Column on Potentials

## The Problem Analysis

The problem analysis is a set of techniques for:

- analysing the existing situation surrounding a given problem
- identifying the major problems of the situation
- visualising the relationships between cause and effect in a Problem Tree which describes the status of a current problematic situation

The results of both the problem and the objectives analyses are popularly presented using a tree format. Other formats can also be used that show cause-effect and means-ends relationships.

Diagram 2

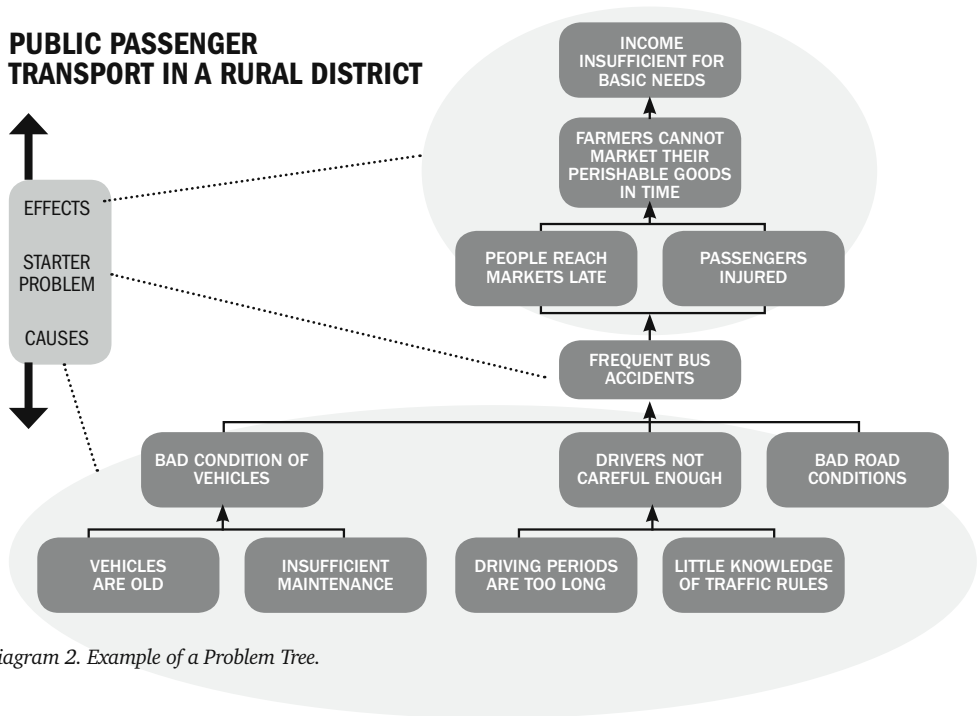


Diagram 2. Example of a Problem Tree.

## The Objectives Analysis

The objectives analysis is a set of techniques for:

- describing a desirable and realistically achievable future situation if problems were solved
- analysing systematically the desired situation using a means–ends relationship
- enabling planners to identify several alternatives

**Diagram 3**

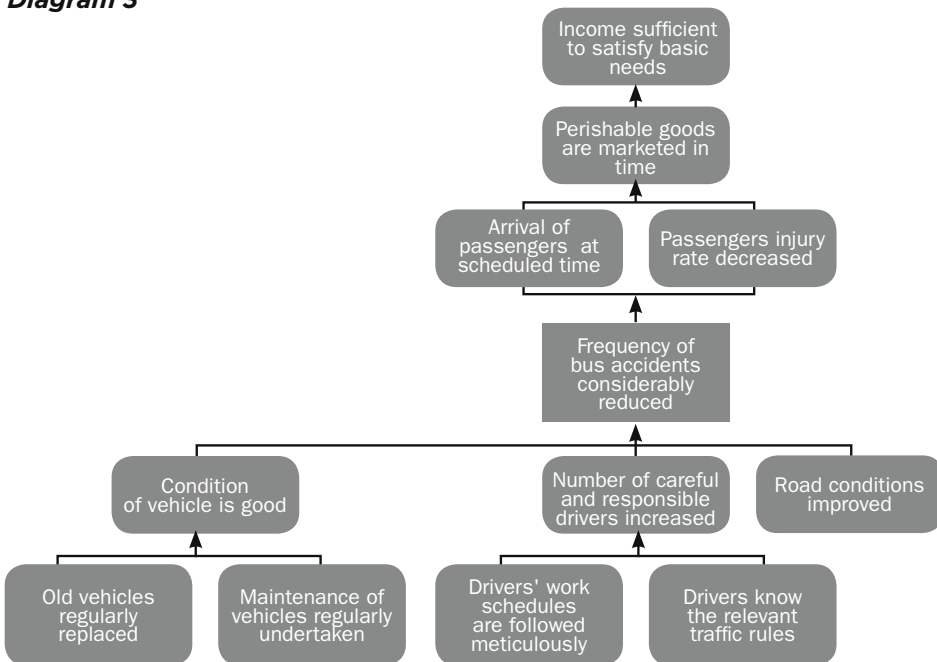


Diagram 3. An example of an Objectives Tree.

## The Alternatives Analysis

The analysis of alternatives is a set of techniques for:

- identifying those objectives from the objectives tree which could constitute possible solutions/approaches (i.e. areas, sectors and measures) to the problems identified earlier
- selecting one or more potential strategic interventions
- deciding on a possible approach or cluster of solutions by applying a set of criteria which may include the following:
  - social and political acceptability
  - economic and financial viability
  - organisational preparedness
  - environmental effects

Each of these criteria are given weights.

The cluster of solutions that generate the highest number of points or percent is selected as the strategic intervention. This strategic intervention, in turn, is summarised and presented using the logical framework method and matrix format.

**Diagram 4**

**Example:**

The following strategic interventions may be arrived at from the clustering of the identified objectives in the tree:

- A-** Road rehabilitation
- B-** Workshop
- C-** Driving school
- D-** Organisational Development

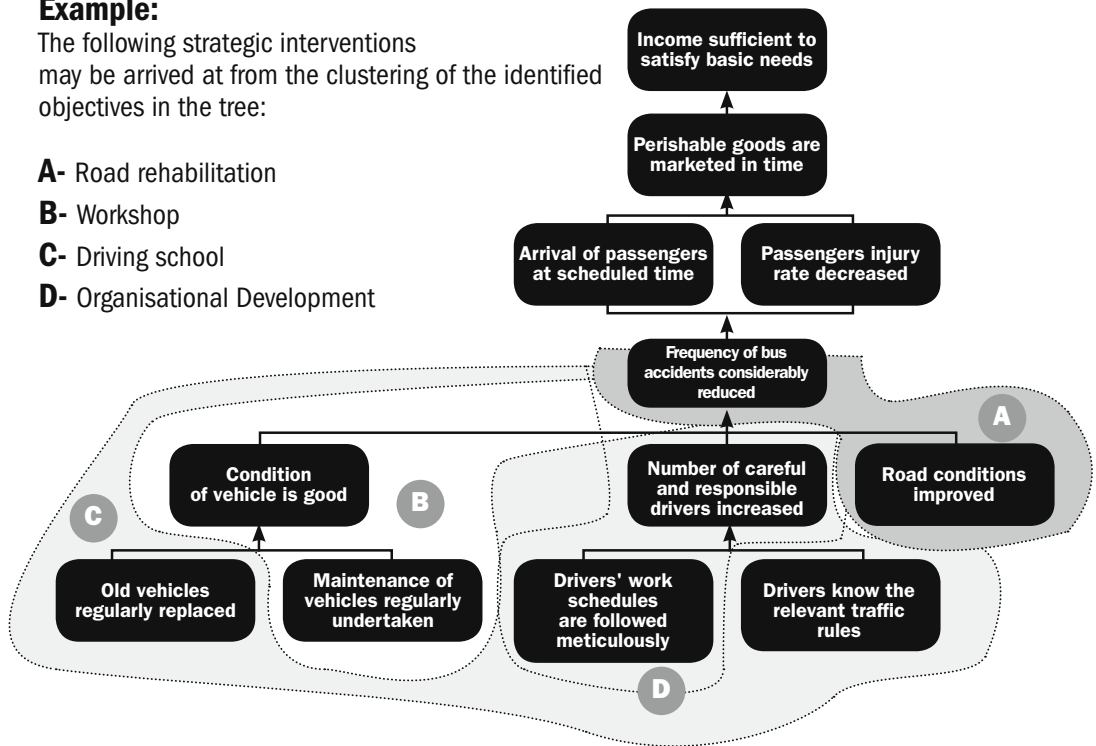
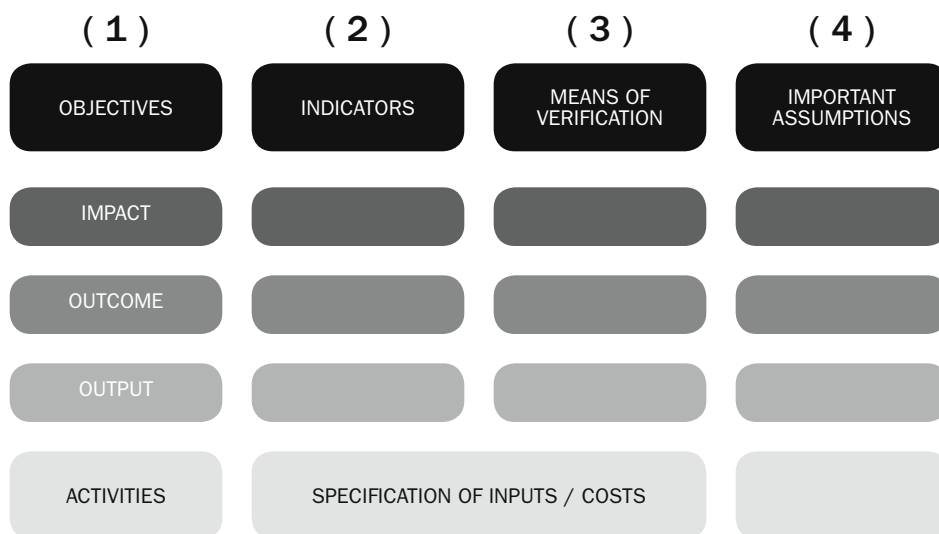


Diagram 4. The Alternatives Analysis

## The Logical Framework format

The logical framework is a matrix, with four columns and four rows and 15 fields as shown below.

**Figure 6**



**COLUMN 1 - is the Hierarchy of Objectives column. It contains the heart of the logical framework. It presents the strategic interventions to address a problematic situation or to harness a development potential.**

**COLUMN 2 - contains the indicators and is sometimes called the Performance Indicators column. It clarifies or specifies the dimensions or content in terms of quantity, quality, time and location targets of what is stated in the Hierarchy of Objectives column. It provides the basis for M&E.**

**COLUMN 3 - is the Means/Sources of Verification column. It specifies the source or means of verification if the planned indicator targets have been accomplished.**

**COLUMN 4 - is the Assumptions/Risks column. It specifies the conditions/factors beyond the control of the intervention that may affect the accomplishment of the objectives. It is in this column where managing for results is most critical.**

Figure 6. The typical format of a Logical Framework. There are other ways of presenting the results of the analysis and the terms used in this framework. For instance, the DBM may use an objectives tree format. Other terms can also be used; NEDA uses Results Matrix as a companion document to the PDP.

## What is a Results Framework

A Results Framework is a tool to assist with achieving and measuring specific objectives at the sector, country, or regional level—usually laid out in diagrammatic form. It uses the Objectives Tree approach to link high-level objectives through a hierarchy to program-level outcomes (and ultimately individual activities) and then sets out a means by which achievement at all levels of the hierarchy can be measured. The Results Framework approach has a lot in common with the Logframe used on an individual activity basis. - *AusGuide: A Guide to Program Management*, AusGuideline 2.2. Using the Results Framework Approach, p. 1, Australian Agency for International Development (AusAid), 2005.

### Formulating the Logical Framework: Important Concepts/Terms used in Formulating the Hierarchy of Objectives

**Impact.** Indirect benefits in the longer term for the target beneficiaries. This could be society-wide or at sectoral and geographic/area levels. In most cases, impacts cannot be fully and directly attributed to specific development interventions because of the complexity of influencing factors.

**Example 1** (at societal level): Poverty in multiple dimensions is reduced.

**Example 2:** Eighty percent of the population in 4th and 5th class municipalities of Eastern Samar meet basic needs in health, education, and shelter three years after program completion.

**Outcome.** Direct benefits or an improved condition as a summary result of target groups using/applying the goods/services/products of a development intervention. Outcomes are normally achieved in the medium term or at the completion of the intervention.

**Example 1:** Local governance in the 4th and 5th class municipalities is improved.

**Example 2:** Delivery of services in the 4th and 5th class municipalities is improved.

**IMPORTANT NOTE:** Impact and Outcomes should be stated from the perspective of the target beneficiaries as the users of the goods and services, and not from the perspective of the providers.

**Use of Goods and Services - An important dimension or feature of the outcome definition is the utilisation or adoption by the target groups of the outputs/goods and services provided by the development intervention. This entails a behavioural change on the part of the target beneficiaries.**

**Outputs.** Goods and services or deliverables, produced and provided by development interventions or by programs/projects. Providers of these goods and services are normally the agencies of government with or without assistance from the private sector or from the funding agencies. (From the budget standpoint, these may correspond to the Major Final Outputs or MFOs.)

**Example of an Output Statement:** Technical assistance and capacity building services in policy and plan



formulation, project development, and implementation and resource generation/mobilisation are provided.

**Activities.** Measures/tasks that are undertaken to produce the goods and services or deliverables. Activities are the ones that are costed and are provided with inputs or resources to undertake them. (From the budget standpoint, these are at the level of Programs, Projects and Activities or PPAs.)

**Examples of Activity Statements:**

- conduct of policy research
- design of training program

## Defining the Fields of the Logical Framework and their Interrelationship

Preparing the Logical framework and understanding its various elements are not technically difficult but can be mentally and intellectually challenging for it requires that all fields of the matrix must be vertically and horizontally linked in a means—ends or cause—effect relationship.

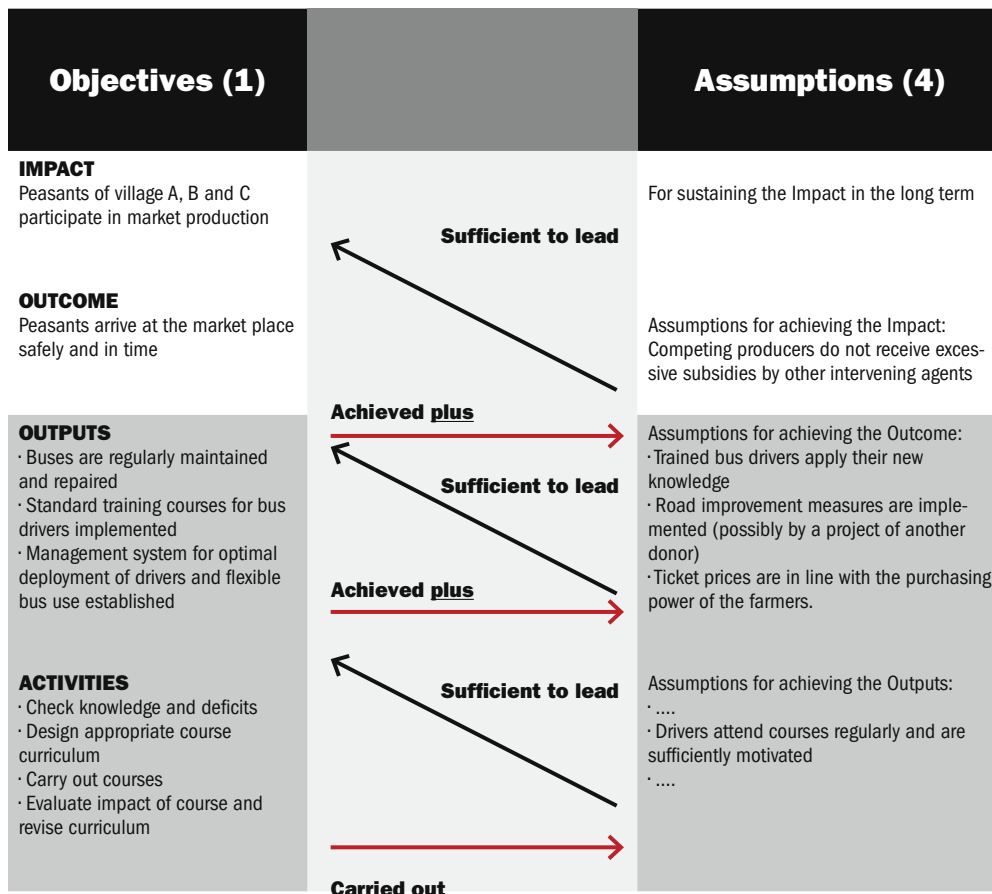
The vertical logic of the logframe is described as:

- Activities when performed should lead to the Outputs.
- Outputs when provided must be sufficient to accomplish the Outcome.
- The Outcome, when accomplished, should contribute substantially to attaining the Impact.

It should be noted that there is a direct relationship among the three lower level objectives but the relationship becomes indirect between Outcome and Impact.

The vertical logic also includes the fourth column or the Assumptions/Risks column. When there is an important Assumption at a certain level of the hierarchy (except at the Impact level), the Assumption must hold true for the next level of objective to be accomplished. This relationship is illustrated in Table 1.

**Table 1. The Vertical Logic**



The horizontal logic, which includes columns two and three, requires lateral thinking. In those columns, the role of the indicators is to specifically describe what is meant by the objectives. The third column, on the other hand, relates to the means or sources of verification. The next table illustrates the Horizontal Logic.

**Table 2. The Horizontal Logic**

OBJECTIVES (1)	INDICATORS (2)	MEANS OF VERIFICATION (3)
<p><b>IMPACT</b> Peasants of village A, B and C participate in market production</p>	<p>Income from market sales of more than 70% of peasants is at least stable (or increased).</p>	<p>Households income survey at village A, B, C three years after the project's start</p>
<p><b>OUTCOME</b> Peasants arrive at the market place safely and in time</p>	<p>Three years after the beginning of the project's implementation phase, more than 50% of the female peasants who produce a marketable surplus are able to transport 80% of their marketable products (plus dependent children) from their villages to the market place arriving there in the early morning hours.</p>	<p>Annual survey at market place one month after beginning of the harvesting season</p>
<p><b>OUTPUTS</b></p> <ol style="list-style-type: none"> <li>1. Buses are regularly maintained and repaired</li> <li>2. Standard training courses for bus drivers implemented</li> <li>3. Management system for optimal deployment of drivers and flexible bus use established</li> </ol>	<p>A repair of a serious break-down of a bus does not take longer than 10 days after the bus reaches the workshop (after year 2) Accidents caused by drivers themselves reduced to below 30% of all accidents (after year 3) The bus transport capacities are adjusted to the marketing requirements in different villages in the course of the harvesting season.</p>	<p>Workshop service cards Police records of bus accidents Bus schedules</p>
<p><b>ACTIVITIES</b></p> <ol style="list-style-type: none"> <li>1. Check knowledge and deficits</li> <li>2. Design appropriate course curriculum</li> <li>3. Carry out courses</li> <li>4. Evaluate impact of course and revise curriculum</li> </ol>	<p>No indicators but inputs/costs</p>	

## Vertical and Horizontal Logic Fields in a Nutshell

- Columns 1 (Objectives) and 4 (Assumptions/Risks) constitute the so-called “vertical logic” of the matrix and show the relationships between these two columns. The presence of an important assumption/risk when not monitored regularly will affect the success/failure of the intervention.

It is important that the 4th column should also have indicators for monitoring purposes.

- Columns 2 (Indicators) and 3 (Means/Sources of Verification) comprise the “horizontal logic”. Column 2 clarifies and specifies what the objective statement (which in most cases is vaguely formulated) means. Column 3, on the other hand, provides the way and the source to validate whether the objectives, as specified by column 2 have been actually accomplished.

## Steps when filling out the columns in the Logical Framework while planning the intervention

### Accomplish the Objectives (Column 1)

**Step 1:** Define the Outcome. The outcome is the envisaged solution describing the desired conditions when the beneficiaries have utilised the services and goods provided by the development intervention. It is at this level that success or failure of the intervention is measured.

**Step 2:** Establish the Impact (either at societal or sectoral level) as the overall benefit to which the development intervention makes a considerable contribution. In some cases, the Impact is already given, especially when the intervention is societal in scope. In these cases, skip step 2 and move on to step 3.

**Step 3:** State Outputs as the services and goods to be provided by the development intervention. The outputs must be sufficient to accomplish the outcome.

**Step 4:** Identify Activities as measures to be undertaken in order to achieve the outputs.

## Being Flexible with Steps or Sequencing

There is no fast and hard rule on sequencing; this depends basically on information/data available to the planning team.

Check for linkages at each level, making sure that each level of objective is directly linked to the higher level. Often, higher-level objectives are too ambitious and therefore these need to be toned down or additional outputs may have to be identified.

## Accomplish the Assumptions/Risks (Column 4)

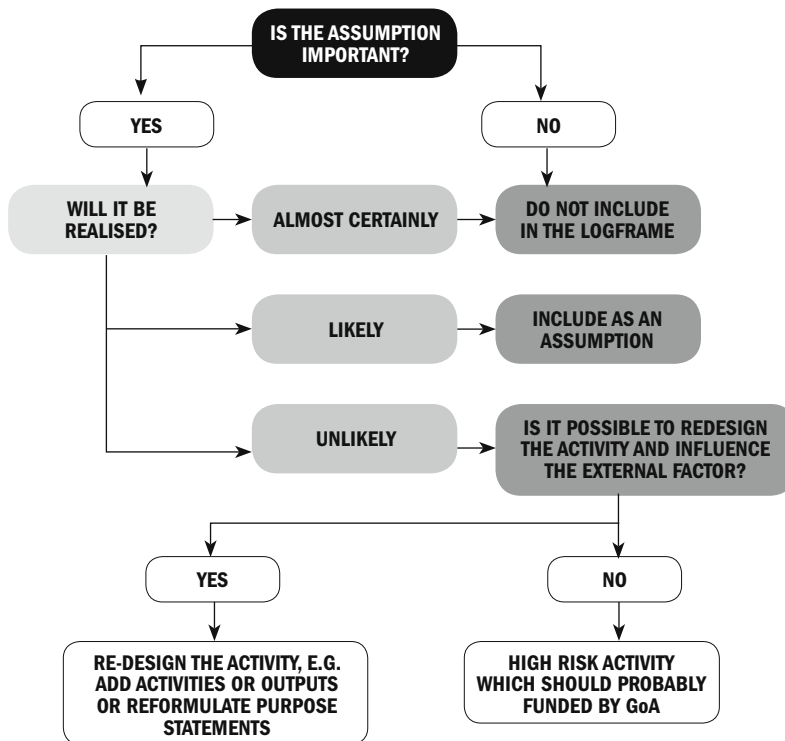
The Assumptions/Risks column is accomplished by working vertically from the level of activities and moving up to the Outcome level. The importance of specifying Assumptions are:

- To assess the potential Risks to the Objectives right from the initial stages of planning.
- To support the monitoring of Risks during implementation.
- To provide a firm basis for necessary adjustments in the identified interventions and measures whenever required.

## INCLUDE ONLY IMPORTANT ASSUMPTIONS/RISKS

Only important Assumptions/Risks are to be included. It should be noted that an Assumption is important when there is evidence that the condition may not hold true and may jeopardise the success of the intervention. An Assumption with an uncertain degree of probability needs to be monitored because it may endanger the accomplishment of objectives. If important Assumptions are unlikely to hold true, they are referred to as “killer assumptions”.

If Assumptions are likely to hold true, then success is assured.



Source: AusGuide: A Guide to Program Management, AusGuideline 3.3. The Logical Framework Approach, p. 19, Australian Agency for International Development (AusAid), 2005.

## Accomplish the Indicators (Column 2) and the Means or Sources of Verification (Column 3)

The second and third columns are to be filled horizontally to establish the basis for measuring the effectiveness and clarity of the objectives. The establishment of clear and measurable Indicators is the most important part of establishing a monitoring system.

An Indicator is a qualified/quantified parameter, which details the extent to which a development intervention has been achieved within a given time frame and in a specified location.

Indicators are performance standards which translate the strategic objectives into empirically observable, quantified and concrete, i.e. “objectively verifiable” indicators (OVI). In short, together with the means/sources of verification, they provide the basis for performance and progress monitoring.

“Objectively verifiable” means that indicators are measurable, objectively implying that different persons—who may be involved in monitoring the progress of an intervention or evaluating the accomplishment of the objectives—should arrive at the same conclusions.

Requirements for Indicators:

- specify and clarify the meaning of the objectives
- focus on important characteristics of an objective to be achieved
- convey whether the objectives are successfully attained
- provide a basis for monitoring and evaluation

Characteristics of a Good Indicator:

- substantial, i.e. it reflects the essential content of an objective in precise terms
- plausible, i.e. the effects observed are resulting directly from the intervention



- target-oriented, i.e. it specifies what is to be expected in terms of quality, quantity, time and location, in order for the next higher objective to be achieved
- independent, i.e. it only applies to one single objective
- measurable i.e. it can be empirically assessed (by means which are economically justifiable)
- verifiable, i.e. it can be assessed objectively by independent evaluators

How to formulate the Indicator:

**STEP 1:** Specify the objectives and assumptions in terms of:

- target group for whom?
- quantity how much?
- quality how well?
- time when?
- location/area where?

**STEP 2:** Check if the objective is realistic and consistent. Revise if necessary.

### WHAT'S GOOD TO KNOW WHEN FORMULATING INDICATORS

- It might be necessary to formulate more than one Indicator to specify different aspects of one objective/assumption
- Give targets for different points in time to allow periodic monitoring of objectives
- If information is lacking, find different indicators or add a new activity to obtain this information (e.g. baseline survey)
- If an Indicator is very complex/costly to verify, or if changes will show only after a long time, look for a "proxy indicator"

## How to formulate and recognise a good Indicator

Indicators can only be formulated on the basis of professional know-how. Consequently, quite often it does not make sense to establish their detailed formula by involving too many participants. It may be useful to have an interdisciplinary group identify those indicators that need to be further elaborated and specified.

The formulation involves:

- Using professional know-how and creativity in identifying an appropriate indicator by specifying the individual elements (measurable parameters) within an objective.
- Qualifying each indicator with respect to target beneficiaries, quality, quantity, area/locality, and time horizons.

Means of Verification (Column 3)

Means of Verification (MOV) indicate:

- How to acquire evidence that the objectives have been met.
- Where to find proof which will verify the realisation of each indicator.

Indicators and MOVs form the basis of the monitoring system. In practice, MOVs can only be defined provisionally. They are revised as the monitoring system is elaborated.

How to determine provisional MOVs:

**STEP 1:** Are MOVs obtainable from already existing and accessible sources, e.g. statistics, reports, observations?

How reliable are these sources/data?

**STEP 2:** Is gathering of special data required?

- Provide for an activity (e.g. within "monitoring activities")

If so, what will it cost?

- Include in "specification of cost".

### WHAT'S GOOD TO KNOW WHEN FORMULATING MOVS

- For each indicator, one or two more MOVs must be specified.
- When looking for MOVs, consider:
  - Availability of required data from secondary sources (official statistics, internal projects reports, etc.)
  - Availability and credibility of these sources, and,
  - Costs, if the project has to collect primary data
- If MOVs cannot be found, the indicator has to be changed.
- Specify the sources for the data required to verify the indicators.

## *A dynamic tool at the heart of the intervention*

The Logical Framework is a main tool used for designing, implementing and evaluating development interventions. It lies at the heart of the intervention. Consistent with results orientation, it must be seen as a dynamic tool that must be periodically re-assessed and revisited as circumstances change. However, caution must be practiced when changes are done frequently, particularly at the results level objectives. The logical framework is an attempt to think and demonstrate, in an integrated way, the following elements:

- Distinguishing objectives at various levels or hierarchy. Where they lie in the hierarchy does not indicate degrees of importance because objectives are causally linked together as in a chain.
- Causal linkages between levels of objectives using a cause and effect or means-ends relationship. When performed as planned, the activities produce the Outputs. The Outputs, when delivered as targeted and are utilised by the target beneficiaries, result in a change in behaviour or improved condition. This is called the Outcome. The improved condition contributes to the attainment of the higher or societal development goal or the Impact. The relationship among the lower level objectives is direct but these objectives can only contribute substantially to the Impact because of the attribution factor.
- External factors that affect the realisation of the objectives are normally called frame conditions or important Assumptions or Risks. When an external factor is positively stated, this is called an Assumption. But when this is stated negatively, this is termed Risk. Examples: political and institutional factors, sociocultural context, environmental and physical conditions, policy and regulatory framework, market conditions, etc.

The Logical Framework Approach (LFA) has some limitations. The main criticism is that it can lead to bureaucratically controlled project design that becomes disconnected from field realities and changing situations. However, the LFA is easy to use more adaptively, particularly if the original design is seen, at least in part, as needing future finalisation and probably revision. – IFAD, *Managing for Impact in Rural Development*, “A Guide for Project M&E,” pages 3-12, 2002)

When using the four-by-four matrix for large projects or multi-dimensional programs, these problems may occur:

- a.** It can be oversimplified to the extent that the matrix provides insufficient detail for effective management of M&E.
- b.** It may lead to confusion when the levels of objectives, i.e., the outcome, outputs and activities may have to change places and re-formulated as the intervention becomes more complicated.
- c.** Insufficient detail is given at the purpose level needed in defining the outcomes to guide the project strategy towards impact.
- d.** Difficulty of introducing cross-cutting concerns.

To overcome the above constraints, these options are suggested:

- a.** Introduce multiple purposes (outcomes) for the project/program. With programs, that have several components, each component has a separate outcome.
- b.** Use the idea of a “cascading logframe”. A mother or overall logframe can be used, with a series of smaller linked logframes.
- c.** Include separate cross-cutting objectives or principles. Sometimes, these can fit into the logframe. If this is not possible, these can be included as part of the project/program document or as a separate attachment.

*Source: IFAD, Managing for Impact in Rural Development, “A Guide for Project M&E,” pages 3-15*

## The Ten Step Model in Designing an RbME System Focused on Outcome

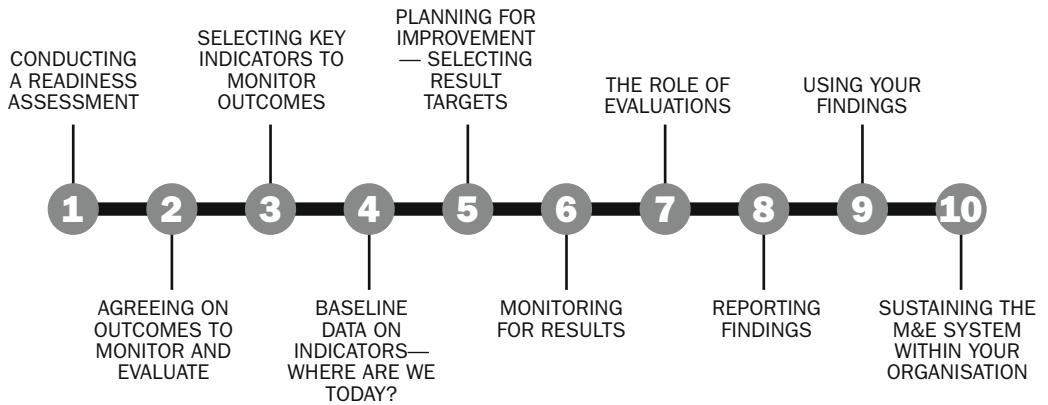
With the growing realisation of the importance of measuring and managing Results, a Ten Step Model was designed and developed by Jody Zall Kusek and Ray C. Rist and published by the World Bank in 2004.

In view of the popularity of the model among RbME students and practitioners, the highlights of the model are quoted here. However, the authors give this cautionary piece of advice: "There is no one right way of developing M&E systems. There is a multitude of options and opportunities based on development stages in which an organisation finds itself, complexities at the national and local contexts, existing capacities, immediate requirements, and political choices."

The model presented here focuses on the Outcome level because it is at this level that the development intervention finds its *raison d'être*.

**Figure 7**

**THE TEN STEP MODEL IN DESIGNING AN RbME SYSTEM FOCUSED ON OUTCOME**



**STEP 1:** Conduct a readiness assessment

A readiness assessment is a diagnostic tool to determine:

- The capacity and willingness of an organisation to construct a performance-based M&E system.
- Whether the prerequisites are in place for building a results-based M&E system within the organisation.

These are the eight necessary/key questions to determine such:

1. What potential pressures are encouraging the need for an M&E system within the organisation?
2. Who is an advocate or champion for an M&E?
3. What motivates the champions to push for an M&E system in the organisation?
4. How will the system support better resource allocation and the achievement of outcomes?
5. Who will own/benefit from the system?
6. How will the organisation react to the negative information generated from the system?
7. Where does capacity to support the system exist in the organisation?
8. How will the M&E system link project, program, sector and national goals?

**STEP 2:** Agree on performance outcomes to monitor and evaluate

This step addresses the key requirement of developing strategic outcomes and goals that focus and drive the resource allocation and activities of the organisation. These goals should be derived from the institution's priorities and mandate, or the special function assigned to the office.

An Outcome change intended on the part of the target groups as a result of utilising the goods and services provided by the agency/organisation/program/project.

Outcomes should be emphasised because they:

- Help us “know where you are going before you get moving”.
- Tell you when you have been successful or not.
- Are key to a results-based M&E system.

**STEP 3:** Select key performance indicators to monitor outcomes

Outcome indicators are not the same as outcomes.

Indicators are the quantitative or qualitative variables that provide a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of an organisation against the stated outcome.

In establishing results-based M&E systems, however, it is better to start with a simple and quantitatively measurable system rather than one that is qualitatively measured.



Indicators should be developed for all levels of the results-based M&E system, as they are needed to:

- monitor progress with respect to inputs, activities, outputs, outcomes, and goals (impacts),
- provide feedback on areas of success and areas in which improvement may be required,
- answer two fundamental questions: “How will we know success or achievement when we see it?” and “Are we moving toward achieving our desired outcomes?”

Use these criteria in formulating indicators:

<b>C - Clear</b>	<b>Precise and unambiguous</b>
<b>R - Relevant</b>	<b>Appropriate to the subject at hand</b>
<b>E - Economic</b>	<b>Available at reasonable cost</b>
<b>A - Adequate</b>	<b>Provides a sufficient basis to assess performance</b>
<b>M - Monitorable</b>	<b>Amenable to independent validation</b>

Indicators should be well thought through. They should not be changed or switched often, as this can lead to chaos in the overall data collection system. There should be clarity and agreement in the M&E system on the logic and rationale for each indicator from top-level decision-makers to those responsible for collecting data in the field.

**STEP 4:** Setting baselines and gathering data on indicators

The baseline is the first measurement of an indicator. It sets the current condition against which future change can be tracked. Baselines provide the evidence by which decision-makers are able to measure

subsequent policies, programs, or project performance.

**STEP 5:** Selecting results targets

Target-setting is the final step in building the performance framework. It is based on outcomes, indicators, and baselines. The reasoning process is a deductive one, flowing back from the desired outcomes.

A target is "... a specified objective that indicates the number, timing and location of that which is to be realised" (IFAD 2002, p. A-11). In essence, targets are the quantifiable levels of the indicators that a country, society, or organisation wants to achieve by a given time.

**Figure 8**

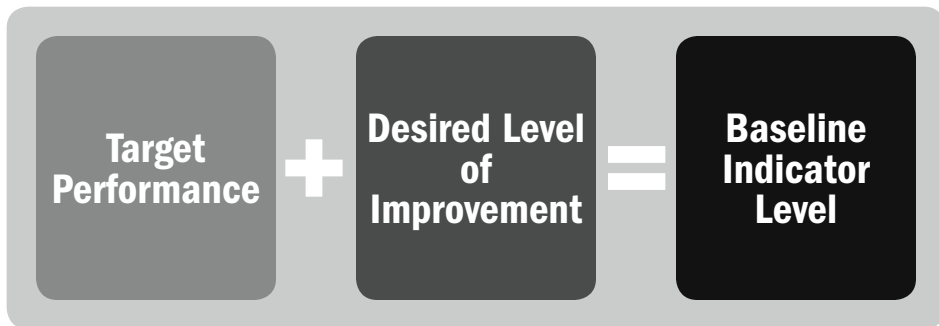


Figure 8 shows the process for devising performance targets.

There are a number of important factors to consider when selecting performance indicator targets.

- Taking baselines seriously—a clear understanding of the baseline starting point
- Setting targets with the expected funding and resource levels—existing capacity, budgets, personnel, funding resources, facilities, and the like—throughout the target period
- Setting realistic targets
- The political nature of the process
- Flexibility in setting targets
- Setting modest targets vs. realistic targets
- Bureaucratic constraints

#### The Overall Performance-based Framework

The completed matrix of outcomes, indicators, baselines, and targets becomes the performance framework. It defines outcomes and plans for the design of a results-based M&E system that will, in turn, begin to provide information on whether interim targets are being achieved on the way to the longer-term outcome.

The performance framework becomes the basis for planning—with attendant implications for budgeting, resource allocation, staffing, and so forth. The framework can and should be a relevant guide to managers. It should be frequently consulted and considered during the process of managing toward the desired outcomes.

#### **STEP 6:** Building a monitoring system

Building a monitoring system becomes the administrative and institutional task of establishing data collection, analysis, and reporting guidelines. The resulting data will provide evidence on performance and flag any changes that may be needed to better inform the decision-making process, for a given project, program, or policy.

Among others, this step also considers: the key types and levels of monitoring; and the links between implementation monitoring and results monitoring as illustrated next.

### Key Types and Levels of Monitoring

There are two key types of monitoring—implementation monitoring and results monitoring. Both are important in tracking results.

**Figure 9**

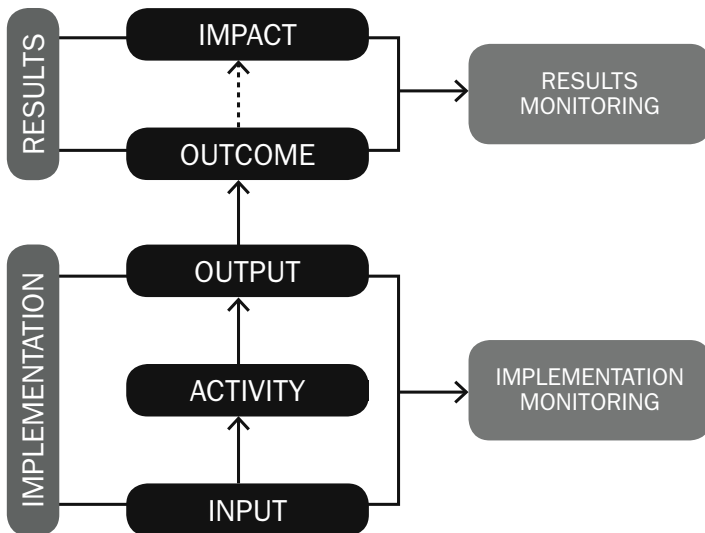


Figure 9 shows the different Types of Monitoring

### **STEP 7:** Evaluating and assessing information

Evaluation is an assessment of planned, on-going or completed intervention to determine its relevance, efficiency, effectiveness, impact, and sustainability. As the saying goes: “If you do not measure results, you cannot tell success from failure.”

Evaluation is used to:

- Make resource decisions
- Re-think causes of a problem
- Identify issues around an emerging problem
- Decision-making on best alternatives
- Help build consensus among stakeholders
- Provides information on the effectiveness of strategy employed

### **STEP 8:** Analysing and reporting findings

To whom, in what format, and at what intervals—these are what are involved in this step. This step addresses the existing capacity for producing information that focuses on methodological dimensions of accumulating, assessing and preparing analyses and reports.

### **STEP 9:** Using the findings

Findings are used to:

- Emphasise generating performance-based information to the appropriate users in a timely fashion for use in management decision.
- Trigger in-depth examinations of what performance problems exist and what corrections are needed.
- Communicate better with the public to build public trust.
- Address the roles of development partners and civil society in using the information.

**STEP 10:** Sustaining the M&E System within the Organisation

Critical components in sustaining the M&E system are:

- Demand
- Clear roles and responsibilities (structure)
- Trustworthy and credible Information
- Accountability
- Capacity
- Incentives

There is a vast literature on RbME at various levels of application by international development agencies and practitioners. These are included in the Reference List at the end of this book.



# 3

## Operationalising the Unified Results-based Monitoring and Evaluation (RbME) System

This part provides practical guidelines on the operationalisation of an RbME system using the relevant phases in public sector management.



# Premises, Framework and Overall Process Flow

In operationalising the RbME, some enabling conditions must prevail. These conditions provide the foundation for a well-functioning M&E system and process. Figure below identifies these critical factors.

**Figure 10**

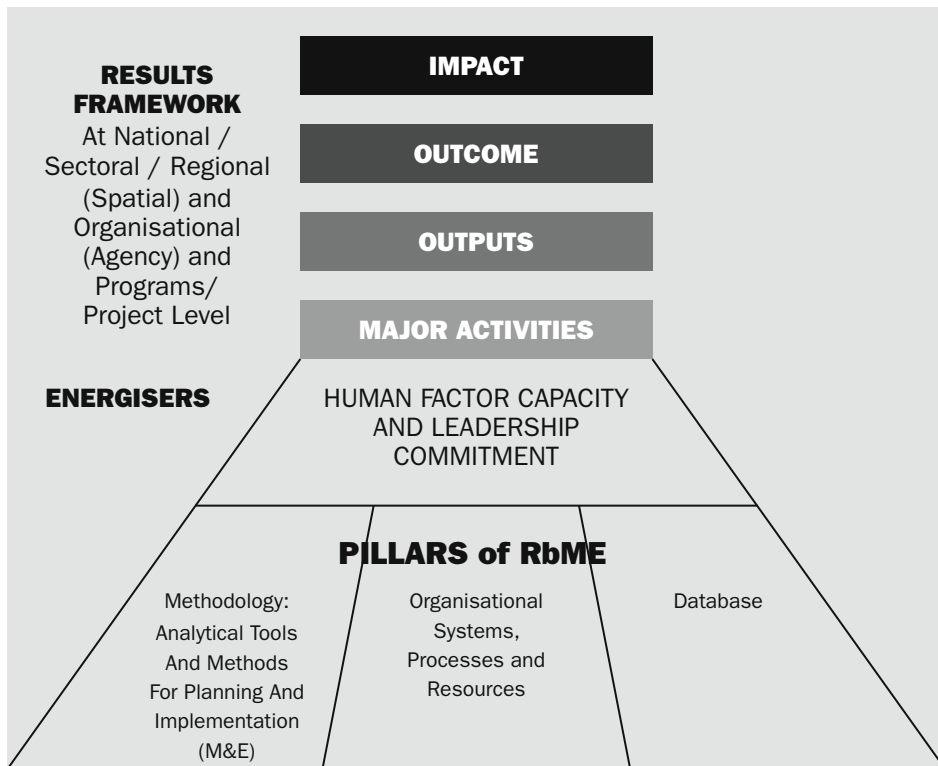


Figure 10. Results-based Monitoring and Evaluation System Framework

The following premises contribute to the smooth operationalisation of the RbME system:

- A unified results and implementation monitoring and evaluation system is officially adopted as an approach to measuring the Department's contribution to the Government's development goals.
- An Overall Results Framework (ORF) for the Department is officially adopted and approved by the Secretary.
- The ORF as approved provides the official basis for the preparation of the specific results frameworks at lower management and implementing levels within the Department.
- There is firm recognition that M&E is performed at all management and implementing levels and there is assurance that M&E as a function is accorded priority in resource allocation. This assurance includes the availability of personnel and access to relevant training and capacity-building opportunities.
- Database is available and current and a unified database management system is established.

The steps in RbME operationalisation are summarised below:

**Figure 11**

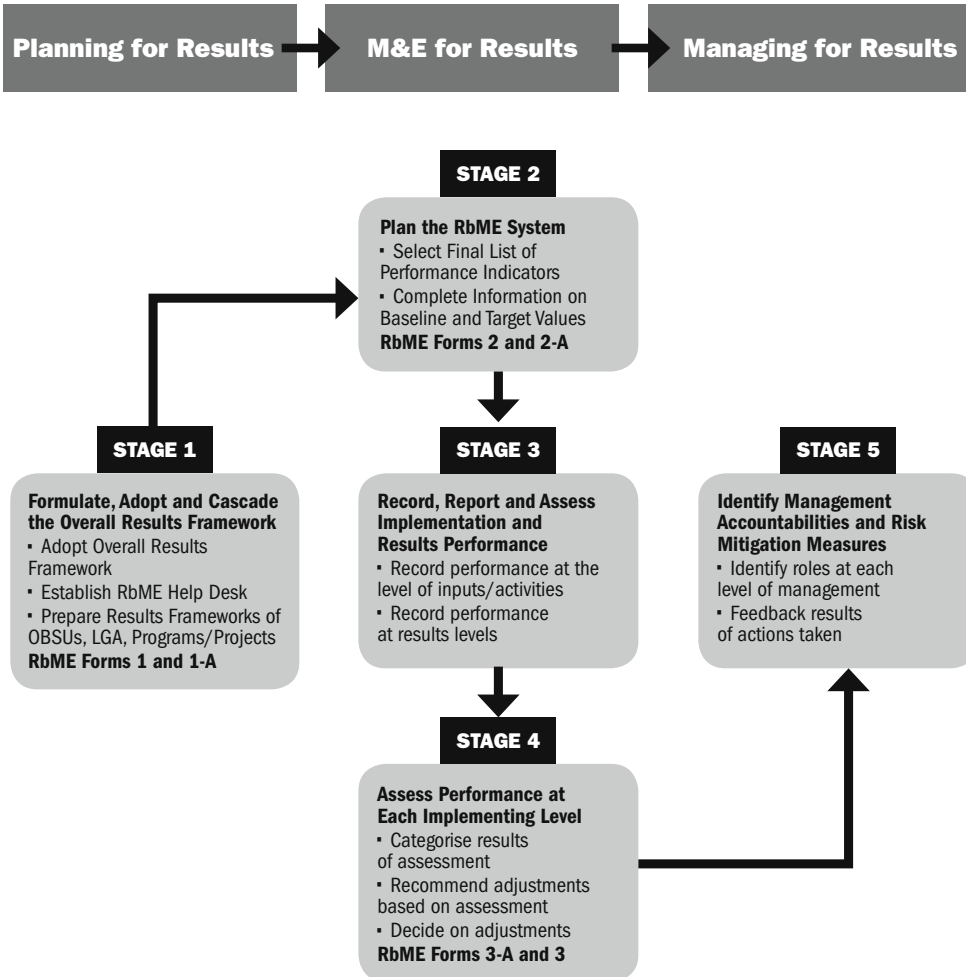


Figure 11. Bird's Eye View of the RbME System Process and Critical Milestones

**Table 3. Overall RbME Process and Steps**

PLANNING FOR RESULTS	
Stage 1	Formulate, Adopt and Cascade the Overall Results Framework
Step 1.1	Set the Department's Development Agenda and Priorities based on a Situationer
Step 1.2	Organise and formally establish an RbME Help Desk
Step 1.3	Organise Strategic Planning Workshops/Consultations
Step 1.4	Endorse Overall Results Framework to the Secretary for approval
Step 1.5	The Secretary issues a Memorandum Circular officially adopting the ORF
Step 1.6	The USLG directs the PS, OPDS and Help Desk prepare detailed Results Framework linked with Overall Results Framework
Step 1.7	OBSUs, Programs/Projects and LGA formulate their respective Results Frameworks
Step 1.8	Check link between the Overall Results Framework and the lower level Results Frameworks in a cascading effect.
MONITORING AND EVALUATING FOR RESULTS	
Stage 2	Results-based Monitoring and Evaluation Planning
Step 2.1	Revisit performance indicators
Step 2.2	Complete/update information on baseline and target values
Step 2.3	Prepare final list of performance indicators and submit to USLG
Step 2.4	PS, OPDS and Help Desk prepare the Overall M&E Plan
	<ul style="list-style-type: none"> <li>■ Operationally define the performance indicators</li> <li>■ Prepare data collection sheet for each performance indicator</li> <li>■ Prepare summary tables</li> </ul>
Step 2.5	Accomplish RbME Forms 2 and 2-A
Step 2.6	Collect and process data on the indicators
Step 2.7	Link implementation and results monitoring and evaluation
Stage 3	Record, Report and Assess Implementation and Results Performance
Step 3.1	Record performance at the level of inputs/activities
Step 3.2	Identify causes of deviations and analyse performance relative to likelihood of achieving results
Step 3.3	Record performance at results levels
Step 3.4	Detect unforeseen side effects, especially negative effects
Stage 4	Assess Performance at each Implementing Level
Step 4.1	Categorise results of assessment
Step 4.2	Recommend adjustments based on assessment
Step 4.3	Decide on adjustments

Step 4.4	Document decisions taken/made
<b>MANAGING FOR RESULTS</b>	
Stage 5	Identify Management Accountabilities and Implement Risk Mitigation Measures
Step 5.1	Clarify accountability roles at each level of management
Step 5.2	Determine risks and implement mitigation measures
Step 5.3	Feedback results of actions taken
Step 5.4	Report to external stakeholders
Step 5.5	Incorporate results findings and lessons learned as part of knowledge management and upgrading of the RbME System
Step 5.6	Observe reporting frequency and timetable
Step 5.7	PS and OPDS initiate formulation of an Evaluation Policy consistent with Government's National Evaluation Policy Framework

# Planning for Results

## ***Stage 1: Formulate, Adopt and Cascade the Overall Results Framework***

The Overall Results Framework is referred to in the Ten-Step Model as the Overall Performance-Based Framework

In formulating the Overall Results Framework (ORF), Part 2 provides the methods, definition of important concepts and tools to be applied. This is for the purpose of harmonising usage with those of the Oversight Agencies and international good practices and the foundation for a unified RbME system within DILG.

The steps listed here may not be undertaken sequentially. Some steps can be done simultaneously or iteratively.

### **STEP 1.1 - Set the Department's Development Agenda and Priorities based on a Situationer and issue the Planning Guidelines.**

The Secretary, in consultation with senior officials sets the Department's Development Agenda and Priorities for the Plan Period. The Government's priorities spelled out in the Philippine Development Plan (PDP), the Secretary's commitments, sectoral strategies and thematic concerns are to be considered. The Development Agenda is contained in the Planning Guidelines issued for the guidance of all the Offices at Central and Regional levels (OBSUs), Programs/Projects and Attached Agencies.

The Planning Service (PS), under the guidance and supervision of the Undersecretary for the Local Government (USLG) provides overall technical and secretariat support in the formulation of the Department's Development thrusts and priorities and Planning Guidelines.

Logically, the ORF should serve as the basis for the DILG Plan. The DILG Plan should be formulated six months prior to the PDP preparation. This is to give enough lead-time in collecting and processing of the required information/data.

**STEP 1.2 - Organise and formally establish an RbME Help Desk.**

A Core Group consisting of representatives from the different OBSUs, Field Operations, major programs/projects and attached agencies is formed as instrument for technical support, coordination and information sharing among all the various offices as members of a HELP DESK.

The composition may include those who have gained advanced competency levels during the HROD-RbME Learning Sessions and who have complied with all the requirements under the intervention. The PS in coordination with OPDS serves as the Coordinator in organising and operationalising the HELP DESK.



### **STEP 1.3 - Organise Strategic Planning Workshops/Consultations.**

There are two phases in the preparation of the ORF. The first phase is the formulation of the Indicative Results Framework and the second phase is coming up with the Final ORF.

The PS in coordination with the relevant offices, particularly OPDS, initiates and organises consultative planning workshops at central, regional and program/project levels.

The output of these workshops is a draft or indicative ORF. The format to be used to structure the discussion and the analytical processes; and for presentation purposes are shown in **ANNEX C** (Prescribed RbME Forms). The form is RbME FORM 1.

The indicative ORF serves as the basis for identifying data and information requirements, particularly, in providing the baseline information and in setting the targets.

The PS and OPDS with the HELP DESK members, review the Indicative Results Framework by asking the following questions, among others:



## On Hierarchy of Objectives

- Are each of the outputs necessary for accomplishing the outcome(s)?
- Are the outputs in their totality sufficient to attain/sustain the ultimate outcome or outcomes that have to be accomplished at the end of the Plan period?
- Do the stated outcomes indicate how the outputs are to be used by the target beneficiaries and reflected as an improved condition?
- Are the outcomes not just summary statements of the outputs? (This implies that the substantive content of the outputs and outcome is the same.)
- Do the outcomes as stated not go beyond the reach or scope of the organisation/department as defined by its mandate?
- Does the impact statement sufficiently spell out the benefits to the target beneficiaries? (i.e. normally, benefits are those referring to the quality of life and meeting of basic needs)
- Does the impact statement identify the ultimate beneficiaries of the interventions? (For example, the LGUs are the intermediate beneficiaries of DILG's interventions but the ultimate beneficiaries are the constituents or the population who have benefitted from improved delivery of service or improved local governance.)

## Indicators and Targets

- Are the dimensions of the indicators clear in terms of quantity, quality, time, location and target beneficiaries (direct and indirect)?
- How realistic are the indicator targets in terms of the organisational, human, technological and budgetary resources that can be made available within the plan period?
- Can the targets be further specified with more updated information or data?
- Are the identified targets sufficient to meet the objectives at the results levels (outputs, outcome and impact)?

All the answers to the above questions must be in the positive.

Ensure that Assumptions/Risks are properly identified and stated at the appropriate levels of the Objectives Hierarchy.

The PS, based on the review, prepares the final draft of the indicative ORF and presents the same to the middle and senior management for comments and additional inputs. All additional inputs are incorporated in a final draft ORF for submission to the USLG.

**STEP 1.4 – Endorse Overall Results Framework to the Secretary for approval.**

The USLG may consult with pertinent oversight agencies for additional information and on sub-sector commitments of the Secretary that may have been overlooked.

The PS incorporates the additional inputs from the USLG and prepares the final ORF. The USLG endorses the Final ORF to the Secretary for his approval. The Final ORF uses the prescribed RbME Form 1 cited earlier.

See **ANNEX D** for the revisited ORF consistent with DILG’s OPIF approved by DBM.

**STEP 1.5 - The Secretary issues a Memorandum Circular (MC) officially adopting DILG’s Overall Results Framework.**

*“The completed matrix of outcomes, indicators, baselines, and targets becomes the performance framework. It defines outcomes and plans for the design of a results-based M&E system that will, in turn, begin to provide information on whether interim targets are being achieved on the way to the longer term outcome.” - Ten Steps to a Results-based M&E System, Kusek and Rist, p.94.*

Steps 1.1 to 1.5 may take at least a period of three months if sufficient attention is given to its formulation.

**STEP 1.6 - The USLG directs the PS, OPDS and the HELP DESK to initiate, organise and assist the OBSUs (Offices, Bureaus, Services and Units), Programs/Projects and Attached Agencies to prepare their respective Results Frameworks linked with the ORF in a cascading manner.**

The cascading process provides coherence in terms of how the OBSUs, Programs/Projects and Attached Agencies contribute to the overall outcome of the Department. These specific results frameworks also provide the basis for measuring performance of the concerned offices/officials and individual personnel. In preparing these results frameworks, budgetary resources, staffing and capacity implications should be taken into account.

See **ANNEX E** for an illustration of the cascading/unifying effect.

**STEP 1.7 - OBSUs, Programs/Projects and Attached Agencies formulate their respective Results Frameworks.**

The prescribed template RbME Form 1-A shown in **ANNEX C** (Prescribed RbME Forms) should be used.

The process below describes how the ORF is translated into the results frameworks at lower organisational levels:

- Offices/Bureaus/Services (OBS) analyse/review the ORF and determine which Output (MFO) under the ORF they appropriately contribute to, based on their respective mandates. For Units under the OBS, they may have to define their outcomes, from the Outputs of the OBS.
- Once the appropriate Output is determined, this is formulated as an Outcome statement at the level of the OBS.
- Programs/projects are usually special interventions to augment or strengthen the capacity of the regular offices of the Department to perform their mandates. Logically, therefore, their Outcome statements are derived from the outputs of the pertinent offices (i.e. OBS). However, this is not always true in practice.
- In the case of a program/project whose purpose goes beyond or not within the mandate of the OBS, the outcome statement can be derived from the output under the ORF.
- A program/project that is jointly or collegially implemented by several agencies derive its Outcome statement from the broader objective of the Mother

Program. In this case, the program or project is considered as a component. DILG is implementing several projects of this nature (e.g. PAMANA, GPBP, CLIP, ISF etc.) These components are given to DILG as part of its mandate in so far as the LGUs are concerned.

For projects of this nature, the Outcome statements should be made consistent with the outcomes and impacts of the broader program in a ladderized manner (e.g. Ultimate, Intermediate, Short term). The Outcome, which is most relevant to DILG's mandate, should be adopted.

The completed results frameworks are reviewed by the PS, OPDS and HELP DESK for consistency with the ORF. These are then referred back to the concerned Heads of OBSUs for endorsement to their respective senior officials for final review and approval.

Example of project specific results framework reconciled with the ORF at Results level is in **ANNEX E**.

**STEP 1.8** - Check link between the ORF and the lower level RFs in a cascading effect.

STEPS 1.6 to 1.8 may take a period of one to three months depending on priority attention given to it and the availability of the required information. To expedite the process, advance guidelines on the methodological process are required. Information materials should be provided by the PS. Further, in the process of formulating the ORF, an iterative process should be undertaken in preparing the specific results frameworks of the lower level implementing and staff offices.

# Monitoring and Evaluating for Results

## Stage 2: Results-based Monitoring and Evaluation Planning

### **STEP 2.1 - Revisit performance indicators (PI).**

Developing indicators requires specialist knowledge on the subject matter area, familiarity with national and international benchmarks (and good practices) and sources/availability of the information/database.

*“... Indicators should be well thought through. They should not be changed often (and on a whim), as this can lead to chaos in the overall data collection system. There should be clarity and agreement in the M&E system on the logic and rationale for each indicator from top-level decision-makers on to those responsible for collecting data in the field.”*  
- Kusek and Rist, *Ten Steps*, 2004, p. 66

The PS, OPDS and HELP DESK based on the methodological notes in **PART 2**, draft the guidelines for the OBSUs and programs/projects for a final review and selection of performance indicators in their respective Results Frameworks.

*“Every indicator has cost and work implications. In essence, when we explore building M&E systems, we are considering a new M&E system for every single indicator. Therefore, indicators should be chosen carefully and judiciously.”* - Kusek and Rist, p. 70

In view of the similarities in the services being provided by DILG under its various projects, a common set of Outputs may be formulated to facilitate data collection and the establishment of a common database.

The common outputs of programs/projects based on the GOVERNANCE mandate of DILG are the following:

- Capacity-building and technical assistance in policy/plan formulation, project development, implementation and management;
- Financial access and funds management;
- Advocacy and information dissemination;
- Efficient/effective M&E system in place

**Note:** The above services all aim at improving local governance consistent with DILG's two-fold mandate: assistance to the LGUs and supervision over the LGUs as a delegated responsibility from the President.

**STEP 2.2 - Complete/update information on baseline and target values.**



**STEP 2.3 - The PS, based on submissions by the OBSUs, Programs/Projects and Attached Agencies, prepares the final list of performance indicators and submits to USLG for formal adoption and data collection by the concerned offices/programs/projects.**

**STEP 2.4 - The PS leads and coordinates preparation of the Overall M&E Plan through a series of workshops.**

The OBSUs, Program/Projects and Attached Agencies similarly prepare their respective M&E Plans.

Above tasks may be undertaken in two three-day workshops. First, at the Central level and the second, at the Regional and Program/Project levels.

The following tasks are undertaken as preparatory steps:

- Operationally define the indicators at each level of the Objectives hierarchy. This is done to have a common perspective on the meaning of the indicator in terms of target dimensions and characteristics. Following is a table format of an Indicator Documentation Sheet (IDS).

**Table 4. Indicator Documentation Sheet (IDS)**

Program/Project Title:	
Objective Level (Output/ Outcome/Impact)	
Name of Performance Indicator (PI)	
Rationale/Purpose of Indicator (Why the PI was chosen)	
Qualitative Dimension or aspects (in terms of extent, compliance with level of)	
Quantitative Dimension (in terms of number and %)	



- For each indicator, prepare a corresponding Data Collection Sheet (DCS) as shown in format below:

**Table 5. Data Collection Sheet (DCS)**

Responsible for Data Collection: (Responsible Office/Person)	
Data Required: (What kind of information is required)	
Data Sources: (Where data are taken/generated)	
Frequency of Data Collection: (monthly/quarterly/semestraly)	
Data Processing:( Formula or Method)	
Inputs Required for Data Collection and Processing: (Monetary, Manpower and Logistics)	

The date and frequency of data collection depends on the phasing of expected results or when interim milestones (indicators under the Operations Plan or Work and Financial Plans) are due.

- Prepare Summary Tables as basis for RbME Forms 2 and 2-A using the worktable below.

The PS prepares the summary for the ORF. The OPDS and all implementing OBSUs prepare for their respective programs/projects. All OBSUs prepare for their respective offices.

**Table 6. Summary Working Table**

Level of Objective:		Office: Region/Province/Municipality:				Planning Period: Prepared by:		
Code	Indicator/ Milestones	Initial value	Data requirement	Method of collection	Date of collection	Responsible unit/person	Time/ funding requirement	Intended use of data

During the preparation of the above, the process is iterative where the PS and the implementing offices/ programs/projects at central and regional levels cross check each other for consistency of information and phasing of the indicators and corresponding targets in terms of quantity, quality, time and location.

**STEP 2.5 - Accomplish/fill-up RbME Forms 2 and 2-A shown in ANNEX C.**

Form 2 provides the Overall M&E Plan while Form 2-A is for the lower level offices and programs/projects.

These forms serve as the official record of the baseline and target values of all performance indicators and quarterly targets. Changes in the baseline and target values in these tables should be officially transmitted to the PS and pertinent officials.

Steps 2.1 to 2.5, assuming focused attention of the concerned staff and availability of data on baseline and target values, should be completed within two weeks to a month.

**STEP 2.6 - Collect and process data on the indicators based on the indicator collection sheets.**

The M&E plan serves as the basis for data collection at all implementing levels. It is important, for reasons of efficiency, that monitoring and evaluation are made integral to the regular monitoring activities of the implementing units/offices.

*Data collection is not the sole task of monitoring officers. Everyone in the implementing unit/office has data collection/monitoring responsibilities.*

## **Database Management**

The ISTMS is responsible for database management. Raw and processed data are part of the Department's ICT system. The RbME system and ICT should be mutually linked. RbME provides the system for a more structured way of collecting, processing and reporting on the progress of performance indicators and evaluating these for results. The ICT, on the other hand, provides an efficient and effective system for storing data generated from RbME and from other sources and disseminating/sharing this information to users and the public. The outputs of both systems provide the foundation for knowledge sharing and management. It is important therefore that all staff and implementing offices and program/projects within the department have access to the database.

The Programs and Projects Monitoring System (PPMS) designed and operationalised by ISTMS provides information on programs/projects. The system should be expanded and made accessible to all the users. A Unified RbME System cannot be done without a unified database.

### **STEP 2.7 - Link implementation and results monitoring and evaluation.**

Government has put an emphasis on performance monitoring at the results level because this has been neglected in the current practice of only doing implementation monitoring (reporting on physical and financial performance). However, Results M&E cannot be done without Implementation M&E.

This underscores the need to link progress at activity levels with Results (OUTPUTS, OUTCOME and IMPACT)

as depicted in the Results Chain. It provides the link with OPIF and the budget preparation process.

The Philippine Government considers OUTPUTS, OUTCOMES and IMPACT as RESULTS. Other development partners only consider Outcome and Impact as Results with more emphasis on Outcomes.

*“A Results-based M&E system needs to align with annual plans and other work plans of the organisation to become truly results-oriented.”*

*“There is an interaction between means and strategies (inputs, activities and outputs) and outcome targets. Targets are set according to what the means and strategies potentially can yield. How well outputs are achieved using available inputs and activities also needs to be measured.” - Kusek and Rist, Ten Steps, 2004, p.99.*

The budget preparation process will not be covered under this Guidebook since DBM has separate guidelines and prescribed forms for these activities.

An indicative timetable in the preparation of the RbME forms and reporting frequencies that takes into account Government’s development planning and budgetary processes and timetable are in Table 11 under Step 5.6.

### **Important Reminders:**

The link with Results M&E should be reflected in the Budget document called Operations Plan and Budget (OPB).

The PS and FMS should ensure that the planned activities and inputs/resources reflected in the budget submissions should be sufficient to accomplish the output targets.

## **Stage 3: Record, Report and Assess**

### **Implementation and Results Performance**

*“The M&E system must be able to produce results information that brings both good and bad news. Performance information should be transparent and made available to all key stakeholders. If debate of issues is not backed up by trustworthy and credible information, only personal opinions and presumptions are left. It should also be noted that the producers of results information need protection from political reprisals. If bad news brings career problems to the messengers, fear will permeate the system and the reliability of the information produced will be compromised. A quick way to undermine an M&E system is to punish those who deliver bad news. Information produced by the M&E system should be transparent and subject to independent verification. If data on government performance are held too close, or there are gatekeepers who prevent the release of such information, the system will again be faulty. As a further check on the system, it would be advisable to have a periodic independent review by the national audit office, Congress or a group of academics to ensure that the data being generated by the system are accurate and reliable.” - Kusek and Rist, p. 153*

#### **STEP 3.1 - Record performance at the level of inputs/activities.**

The work and financial plans (WFPs) of the OBSUs and the programs/projects serve as the basis for reporting physical and financial progress. (These should be consistent with information contained in Budget Proposal Forms 201 and 202.)

Next is a worktable to record and assess actual progress/performance at implementation level.



**Table 7. Record of Performance at Implementation (Activities) Level**

Period:	Compare			Identify		Analyse		Recommend	
				Deviations		Causes	Issues	Alternative Actions	Reason
Activity/ Sub-Activity	Milestone/ Indicator	Actual Achievements	Actual Costs	From Plans	From Budget				

**STEP 3.2 - Identify causes of deviations and analyse performance relative to likelihood of achieving results.**

The causes of the deviations provide the basis for determining alternative actions.

**STEP 3.3 - Record performance at results levels.**

Below is a worktable to record performance at results level.

**Table 8. Recording Performance at Results Levels**

Monitoring of Indicators at Results Levels	Planning Period:		Monitoring Period: Prepared on:	
			Page 1	
Objectives	Indicators	Deviations	Reasons for Deviations	Implications/ Steering Mea- sures
Impact				
Outcomes				
Outputs				

**STEP 3.4 – Detect unforeseen side effects, especially negative side effects.**

Interventions can cause effects, which were or could not be considered during planning. Positive reactions require no action but negative side effects require steering for corrective action, re-planning or discontinuation. It is very helpful to include unintended, particularly, negative, side effects to the monitoring plan specified by indicators and sources of verification.

**TIPS FOR PMOS AND M&E OFFICERS WHILE ON FIELD VISITS**

- No systematic monitoring (incidental recovery) but keep eyes and ears open and have regular project team reflections
- Project staff (internal/external) are specifically tasked to search for negative effects during longer stay in the field.
- Possible negative effects should be systematically identified, recorded and reported.
- Negative effects may pose risks and therefore should be managed.

**Table 9. Sample Matrix on how to Determine Negative Effects**

PROJECT MEASURES	WORKLOAD		HEALTH		NUTRITION	
	MALE	FEMALE	ADULTS	CHILD		
	1.....	++	--	+	0	
2.....	--	0	0	0		
3.....						

Timetable for above steps should be consistent with the period in the DCS. Should also note that M&E is done at all times.

**Stage 4: Assess/Evaluate Performance****at each Implementing Level**

Assessment of performance is done at all levels of the organisational hierarchy using the RbME Plans as basis. It involves comparing the planned target with the actual accomplishment. The results of the comparison provide the basis for the status of performance.

RbME internal reporting is done at different management levels and operates within the organisational structure, and, functional and special mandates of DILG and its various implementing units/offices and programs/

projects and attached agencies if applicable.

*“Clear roles and responsibilities and formal organisational and political lines of authority must be established. The organisation and people who will be in charge of collecting, analysing, and reporting performance information must be clearly defined. M&E systems should be built in such a way that there is a demand for results information at every level that data are collected and analysed. There is no level of the system that is a mere ‘pass through’ of information. Pass-through parts of the system create tremendous vulnerability, and can lead to breakdowns in M&E systems. If people are not involved, if there is no ownership, then people in the “pass-through” levels will begin to lose interest and the result will be poor data collection and reporting.” – Kusek and Rist, Ten Steps, p.152, 2004*

### **Monitoring and Assessment/Evaluation Responsibilities and Reporting Flow**

Described below are the internal reporting flows in the accomplishment and submission of the prescribed templates under the RbME system:

- The Planning Service (PS), under the guidance and supervision of the USLG, provides the oversight role and serves as lead technical secretariat in operationalising the unified RbME. In performing this role, the PS, particularly the M&E Division coordinates with and consults with OPDS for and with the various implementing offices/OBSUs.
- As oversight office, the PS receives copies of all the three prescribed RbME forms from the OBSUs and programs/projects as well as reports from LGA. These reports provide the data/information for the overall assessment report (RbME FORM 3).
- In making the assessment, the main focus of PS is to evaluate actual performance findings/ratings of the OBSUs and Programs/Projects and analyse these

against the targets at the results level (especially at the Outcome level). The question to be asked is: “Given the findings of actual performance at the lower Implementing levels, what is the likelihood of accomplishing the Outcome targets?”

- At every level of the organisational hierarchy, the same question needs to be asked even if the program/project is still at the early or middle stages of implementation.
- The OBSUs assess their actual performance against targets reflected in their RbME Form 2-A. The assessment/evaluation findings are reported in RbME Form 3-A. These are signed/approved by the Head of Office and/or the senior supervising official.
- Programs/projects being implemented under the OBSUs or are assigned to senior officials, similarly accomplish RbME Form 3-A.
- Programs/projects under the direct supervision of OPDS similarly submit and accomplish RbME Form 3-A. These are validated by the Project Monitoring and Evaluation Division (PMED) of OPDS. PMED analyses overall performance and recommends measures to address major deviations from planned targets. After validation and analyses, these are submitted to the OPDS Director for approval. These are endorsed to the USLG, copies furnished to the PS.
- The above arrangement for programs/projects may be a transitory mechanism towards a proposal for DILG to designate or establish an office that serves as an oversight implementation and results M&E body for all special, locally funded and donor-assisted projects. These projects should be distinguished from projects/major activities being implemented by the OBSUs in performing their regular functions.
- Project management officers/staff of programs and projects that are components of bigger programs should ensure consistency with the results frameworks

of the mother programs especially those being implemented by other government agencies as lead agencies. M&E Plans and reporting frequencies and formats should be harmonised.

### **Frequency of accomplishing and submission of RbME Assessment Form**

- In its oversight role, the PS prepares the overall assessment report relative to the Outcomes committed under the ORF. The report is endorsed to the USLG through the concerned senior official as may be based on recognised protocols for submission to the Secretary. The Overall Assessment Report (RbME Form 3) is done by the PS semestrally. This should be prepared a month before the end of the second quarter of the current year. The Report should have been endorsed to the USLG at the end of June. This should not preclude the submission of Performance Reports as may be required by Senior Management.
- The Assessment Reports (RbME Form 3-A) of the OBSUs and attached agencies are done on a quarterly basis. These reports contain their self-assessment on how well they have performed on their regular functions.
- All programs/projects being implemented and/or managed at the Central Office and by the Regional/Field Offices prepare assessment reports on a monthly basis. The same RbME Form 3-A is used but the forms should reflect the monthly accomplishments.

All the accomplished forms are submitted to the PS for overall assessment on how well the projects are contributing to the overall targets of the Department, particularly on commitments made by the Secretary.

RbME Forms 3 and 3-A are the forms that travel from one management level to another.

The filling-up, submission and retrieval of the prescribed RbME assessment forms can be done online. This can be accessed temporarily through this link <<http://rbmeis.com>> until a permanent website for RbMEIS is developed by ISTMS. The draft results frameworks of the 15 locally-funded projects are also included in the online system for continuous revisiting/updating and completion of the required plan and M&E documents.

The following categories may be used in the form.

**STEP 4.1 – Categorise results of assessment based on the following status of performance:** (Performance can also be color-coded depending on management preference).

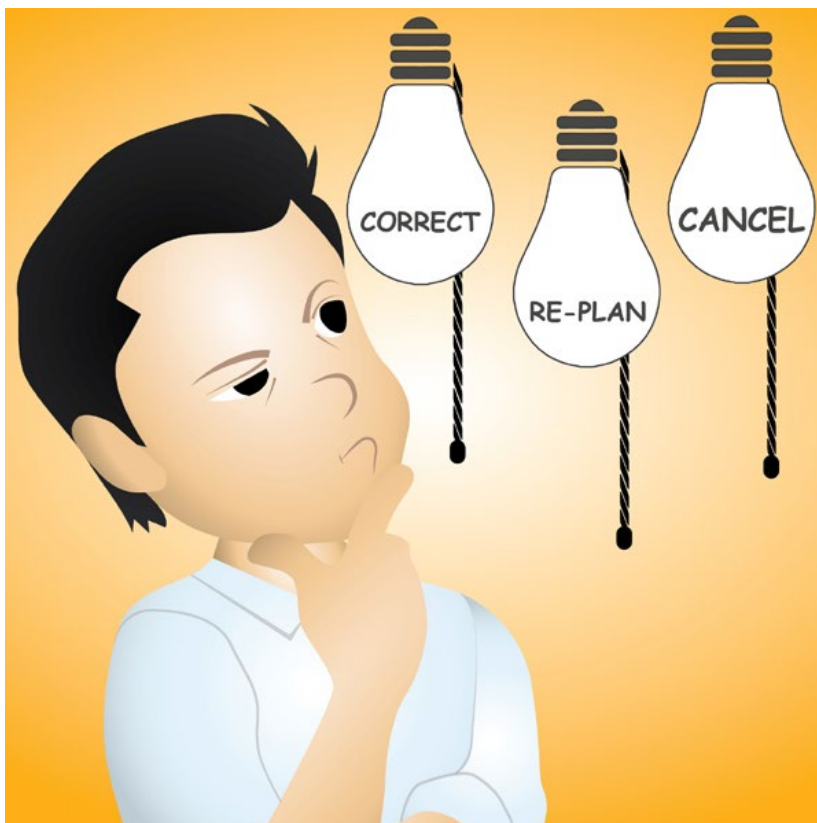
- **Full Target Achievement** - when target is totally accomplished or complied with.
- **Minor Deviation** - when at least 70% of the target is accomplished. 70% is considered the cut-off point for a minor deviation category.
- **Major Deviation** - when the accomplishment is below 70%.

The cut-off percentages are arbitrary and it is suggested that operational definitions of the assessment categories, assessment criteria, and respective weights should be discussed and agreed on by the implementing units and communicated to senior management.

Whatever categories are adopted, these should be clarified and conveyed to all OBSUs, attached agencies, programs/projects at central and regional levels, NEDA, DBM, COA, the Presidential Management Staff and Cabinet Clusters. Deviations can also be either positive or negative.

Remember positive deviation is when more than the planned target is accomplished. A negative deviation is falling below the target. In both cases, these are deviations and therefore should be analysed for its implications.

The reasons for the deviation should be clearly understood to be able to propose/decide on the corrective measures.



#### **STEP 4.2 - Recommend adjustments based on assessment.**

Depending on the nature or extent of the deviation, the following **Steering Measures** are recommended for management action/decision at the relevant levels:

**Corrective Action** - when the deviations would involve simple re-alignment of financial, personnel and other resources or changes in the phasing of activities to meet expected outputs/deliverables. (Usually done at implementing or program/project management level)



**Re-plan** - when there are indicators/milestones that cannot be accomplished due to conditions still within the control of management or when deviation would require a major shift (at least 50% of the budget of all the activities contributing to a specific Output) in resources or partial cancellation of programmed resources. This condition may also include changes in implementation arrangements. (Usually done at Director/Assistant Secretary level)

**Cancel/Terminate/Replace** - when the indicator/milestone in all likelihood can no longer meet its objectives due to conditions beyond the control of management. In this case, an appropriate replacement or proxy for the indicator should be identified and monitored accordingly. (Usually done at USec/Secretary level)

Similarly, the above recommended management actions/decisions should be generally defined in more detail, agreed upon, and officially adopted by DILG management.

#### **STEP 4.3 - Decide on adjustments.**

The head of the implementing unit within his/her delegated responsibility takes the decision for corrective actions, but, elevates decisions to higher-level management (i.e. ASEC, USEC, Secretary) when the option requires higher level authority and influence or re-alignment of resources. Decisions on cancellation and termination of major activities especially in foreign-assisted projects are left to the Secretary or his designated USEC and endorsed to the oversight agencies (i.e. NEDA and Department of Finance).

#### **STEP 4.4 - Document decisions taken/made.**

The above options and decisions taken are recorded/documented as shown in suggested worktable that follows:

**Table 10. Performance Assessment**

List of Indicators/ Milestones		Name of Office: Location/Level:					Monitoring Period:		
No./ Code	Indicator/ Milestone	Monitoring Date	Planned	Actual	Assessment	Reasons for Discrepancy	Corrective Measures/ Options	Respon- sible	Date

## Managing for Results

### **Stage 5: Identify Management Accountabilities and Implement Risks Mitigation Measures**

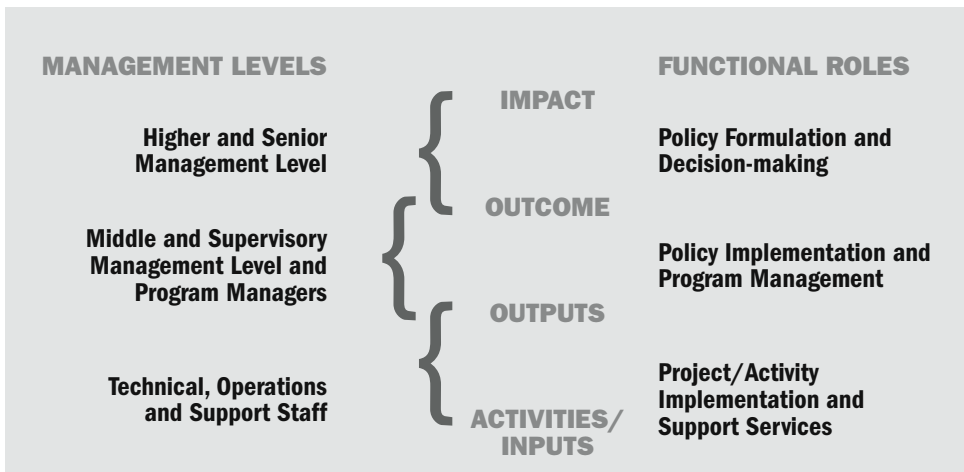
“Manage for Results and not by Results.” This principle implies the need for flexibility to adjust interventions as a result of changed conditions or risks that pose a real problem situation.

Accountability is defined as: “Obligation to demonstrate that work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis-a vis mandated roles and/or plans. This may require a careful, even legally defensible, demonstration that the work is consistent with the contract terms.” - OECD Glossary of Key Terms, 2002

**STEP 5.1 – Clarify accountability roles at each level of management.**

Whatever are the findings must lead to action or decision on the part of the relevant levels of management. The results framework itself pinpoints the responsible/accountable officers at each level of the objectives hierarchy. The accountability roles are roughly shown in **Figure 12**.

**Figure 12. Accountable Management Levels and Functional Roles**



At each management level, attention should focus on important Assumptions/Risks (Column 4) identified in the results framework since these are normally the factors, which hinder realisation of the objectives as reflected in the targets. In results management, it is also necessary to identify what are the critical issues and how these could be addressed or managed at the outset of its occurrence before it becomes a festering problem.

*“Accountability means that problems must be acknowledged and addressed.”*

**STEP 5.2 Determine risks and implement mitigation measures.**

**The Project-at-Risk (PAR) Sub-System**

A Project-at-Risk (PAR) sub-system serving as an automated alert and transparent system for accountable officials to monitor and respond quickly to implementation issues/problems reported at the field level is designed. It also serves as feedback mechanism accessible to constituents/netizens to send in comments/reactions/other information regarding project implementation. The PAR as designed is useful for time-bounded projects. It is linked with the PPMS and currently depends on information generated and stored under the PPMS.

**STEP 5.3 – Feedback results of actions taken.**

*“No part of the government should be exempt from accountability to stakeholders.” – Kusek and Rist, p.153*

Similarly, the results of the evaluation and the actions/mitigation measures/decisions taken on the findings or recommendations should be

feedback to the relevant offices, implementers and affected stakeholders. Feedbacking is a process in the management chain that is oftentimes taken for granted. Without the feedbacking, the whole exercise can be rendered wasted. Feedbacking of results to external decision-makers and beneficiaries should be integral to the process.

**STEP 5.4 – Report to external stakeholders.**

The consolidated performance reports and the agency reports including the programs and projects provide the information required in preparing the Annual Accomplishment Report of the Department. This report is disseminated to oversight agencies, the Office of the President/ Presidential Management Staff, Congress, the Local Government Units, and important stakeholders.

**STEP 5.5 – Incorporate results findings and lessons learned as part of knowledge management and upgrading of the RbME System.**

**STEP 5.6 – Observe reporting frequency and timetable.**

On the following page is a suggested timetable harmonised with oversight planning, performance review and budgeting.

**Table 11. Timetable for Preparation and Submission of Prescribed RbME Forms**

WHAT	HOW OFTEN	WHEN	TO WHOM
RbME FORM 1 Preparation of Overall Results Framework	Once with the Philippine Development Plan (PDP) preparation	Six months prior to actual PDP formulation	USLG SILG
Revisiting/Updating	Yearly  Revisited/updated annually based on assessment of performance/situation analysis and priority thrusts.	December of previous year consistent with preparation of Annual Accomplishment Report up to January of current year	Planning Service through ASEC submits to USLG for review and endorsement to SILG
Official Adoption and Issuance	Yearly	End of February  (Budget Call issued in January. Intra-agency consultations at Central and Field levels within Q1)	SILG approves and signs ORF for dissemination
RbME FORM 1-A Preparation of Results Frameworks for OBSUs/Programs/Projects and Attached Agency	Once in line with ORF preparation consistent with the PDP  Revisited/updated annually	February-March (Q1)	Planning Service Supervising Senior Officials USLG
RbME FORM 2 Preparation of Overall RbME Plan	Once prior to PDP preparation Revisited/updated annually	February- March	Planning Service Supervising Senior Officials USLG SILG

WHAT	HOW OFTEN	WHEN	TO WHOM
<p>RbME FORM 2-A</p> <p>Preparation of RbME Plans of OBSUs/Program/ Projects and Attached Agency</p> <p>Revisited/updated OBSUs, Programs/ Projects and Attached Agency Results Frameworks</p>	<p>Once consistent with PDP preparation</p> <p>Revisited/updated annually</p>	<p>March</p>	<p>Planning Service Supervising Senior Officials USLG</p>
<p>Regular M&amp;E activities for data collection, processing and reporting</p> <p>(Suggested worktables are to be used by the OBSUs/ Programs/ Projects and Attached Agency)</p>	<p>As planned in data collection timetable and M&amp;E Plans</p>	<p>Continuing</p> <p>NOTE: NEDA Official Development Assistance (ODA) Review: Jan-Jun Budget Preparation: April-June Technical Budget Hearings: May-June, may extend to August</p>	<p>Planning Service Supervising Senior Officials USLG</p>
<p>RbME FORM 3-A</p> <p>Preparation of Assessment Reports of OBSUs/ Program/ Projects and Attached Agency</p>	<p>Quarterly for OBSUs and AA Monthly for Programs/ projects</p>	<p>End of June for First Assessment Report after preparation of Form 2-A. Succeeding assessment reports at end of every quarter. Programs/ Projects submit monthly Assessment Reports.</p>	<p>Planning Service Supervising Senior officials USLG</p>

WHAT	HOW OFTEN	WHEN	TO WHOM
RbME FORM 3 Preparation of Overall Assessment Report			Planning Service to lead assessment of overall performance
Mid-Year Assessment Report	Once	July	USLG to SILG
End Year Assessment Report	Once	December NOTE: NEDA prepares Socioeconomic Reports (SER) based on submissions of Agencies	SILG provides NEDA copy
Annual Accomplishment Report	Annually	January	SILG submits to: President Cabinet Cluster Congress

The whole M&E process should be part of the Department's Communication Plan Framework. This cannot be overstressed since results-based management cannot be truly called as such if information arising from it is not reported, presented in an appropriate and usable form and properly disseminated.

**STEP 5.7 – PS and OPDS initiate formulation of an Evaluation Policy consistent with Government's National Evaluation Policy Framework.**





# 4

## Applying The Method And System In A Visualised Hypothetical Demonstration Example

This part of the Guidebook demonstrates through a Case Study the method and major tools, concepts and principles of RbME as described in Part 2 and Part 3. Using the Case Study, the main RbME documents are illustrated and the forms are filled in.

In this part of the Guidebook, you will find the demonstrated and visualised forms:

- Project Results Framework
- Indicator Documentation Sheet
- Data Collection Sheet
- Project M&E Plan and
- Annual Project Assessment

The process of undertaking the analysis and accomplishment of the forms are accompanied by specific step-by-step instructions.

The Case Scenario is set in a rural barangay setting where the inhabitants of the area are experiencing depressed conditions due to insufficient or even absence of basic services. The case depicts a situation where the assistance of the DILG and the local government is most needed. In order to ensure participatory project planning and implementation, the capacity building services are aimed at ensuring real ownership of the benefits of the intervention on the part of the Barangay residents. The case reflects a situation that mirrors the nature of interventions typical of DILG's locally funded and managed projects.

# The Case Scenario

## Physical and Natural Resources

Barangay Lantangan is a vast agricultural land, situated in the Municipality of Mandaon in the province of Magiting in Region XX. The topography is described as rolling hills, partly forested and with a good source of spring water if tapped. A river runs through the barangay.

## The Problem Context

### Economic Activities

The primary sources of food and income of the majority of the population are subsistence/backyard farming and fresh water fishing. Some of the residents of the barangay grow corn, rice, peanuts, cassava, squash and other root crops for their subsistence. Excess produce are brought to the market in the nearest *poblacion* or sold to traders. However, income from agricultural produce is limited due to the absence of farm-to-market roads, land transportation facilities and other infrastructure support. Residents are forced to sell their produce to middlemen and traders at a very low cost or a marginal profit. Although a large part of the barangay is suitable for rice and other crops, these remain idle for lack of a regular source of irrigated water. They remain at subsistence level farming at only 40 cavans per hectare production. Some households raise pigs and chicken. A few farmers have carabaos.

### Land Tenure and Ownership

While a majority of the population are farmers, only 30% own their farm lots/land parcels of an average of 0.5 to 5 hectares. The rest are tenants of landowners who may own lands above the five-hectare limit set by the Agrarian Reform Law.

### Basic Social Infrastructure

Unsanitary dug-wells are the primary sources of drinking water. During the peak of summer, these dug-wells can hardly meet the needs of the residents.

There is one primary school, but the facilities can not accommodate all the school-age children in the barangay. Secondary school is in the town proper.

The road traversing the barangay is not passable during the rainy season. There is no electricity.

Only five houses have their own toilets. Child malnutrition and mortality are very high. Eighty five percent of the households consider themselves as poor.

### **Population**

Barangay Lantangan's population as of 2012 was estimated at 1500 consisting of more or less 150 to 200 households. A majority are women.

Lantangan's history shows a fluctuation in its population as its youth migrate to the urban areas for better opportunities. In the early part of the decade, there was heavy out-migration due to security problems and rampant cattle rustling. Natural calamities also bring heavy damage on food crops.

### **Presence of Government**

There is very limited assistance from both local and national government agencies. The only visible project is a small water impounding system which is not even maintained properly.

### **The Desired Condition and Untapped Opportunities**

The potential of Barangay Lantangan are its people, who, despite their adverse situation remain hopeful and supportive of government. There are arable lands that can be planted with rice, corn, peanuts and cassava, if dependence on rainfall can be reduced and a regular source of irrigation water can be assured.

The farmers are willing to work harder on their farms to produce more if only agricultural extension services can reach them. They also would like to have access to credit in order to finance their required farm inputs.

More importantly, they need basic services, particularly in health and education. They aspire for a good source of potable water to reduce the incidence of water borne diseases in their area. The presence of a Barangay High School is another service which the barangay residents clamor for.

The availability of concrete road and reliable transport system would reduce their dependence on unscrupulous traders/merchants who would buy their produce way below market prices.

The priority attention of the Local Government is much hoped for, especially under the current leadership. The loyal support of the residents to the Government and the rule of law have so far maintained a stable peace and order situation in Lantangan since 2011.

### **Request for Assistance**

The situation of Barangay Lantangan was brought to the attention of DILG senior management through an inter-faith organisation recently operating in the area.

DILG management directed the Regional Office to look into the situation of Barangay Lantangan. The Regional Director conferred with the Mayor and the Barangay officials to plan a strategy on how to assist the area improve its situation.

After the initial consultation, the Regional Director instructed the concerned Project Development Management Unit (PDMU) and the Municipal Local Government Operations Officer (MLGOO) to work with the Municipal Planning and Development Officer (MPDO) in the design of an intervention strategy for Barangay Lantangan.

### **In Retrospect: Design and Status of Project**

A three-year project entitled Capacity-Building for Community-Based Governance (Barangay level) was subsequently designed and implemented. The project was chosen as the most viable option for its consistency with DILG's mandate as FACILITATOR for local development. Based on the Rationalisation Plan recommendations, this reflects a

shifting focus from “being a bureaucratic overseer to a skillful and innovative mentor and facilitator.”

In order to prepare the field office for this re-orientation, the Undersecretary for Local Government required the Regional Director to instruct the PDMU and MLGOO prepare results-based M&E Framework Plans for all projects. Subsequently a results-based M&E framework and plan was developed as basis for the PDMU and MLGOO to monitor and assess the project’s performance towards achieving the Project Outcome.

The Project was conceptualised in 2013 and approved for funding and implementation in 2014. The Project is now on its second year of implementation.

It is expected that the Project, if successful, will be replicated in other depressed barangays as model of a project which is customised to the needs of the locality and the people owning the process and benefits of the intervention.

A Project Assessment Report for the first year of implementation is now being prepared jointly by the MLGOO and MPDO for 2014. This report will serve as basis for evaluation and re-planning in January of 2015.

### **The Step-by-Step Process of Generating the Required Major Instruments for RbME**

Figure 5 in Part 2 provides a bird’s eye view on the entire process of generating the required plan documents for the Project Design Phase of the Intervention Strategy.

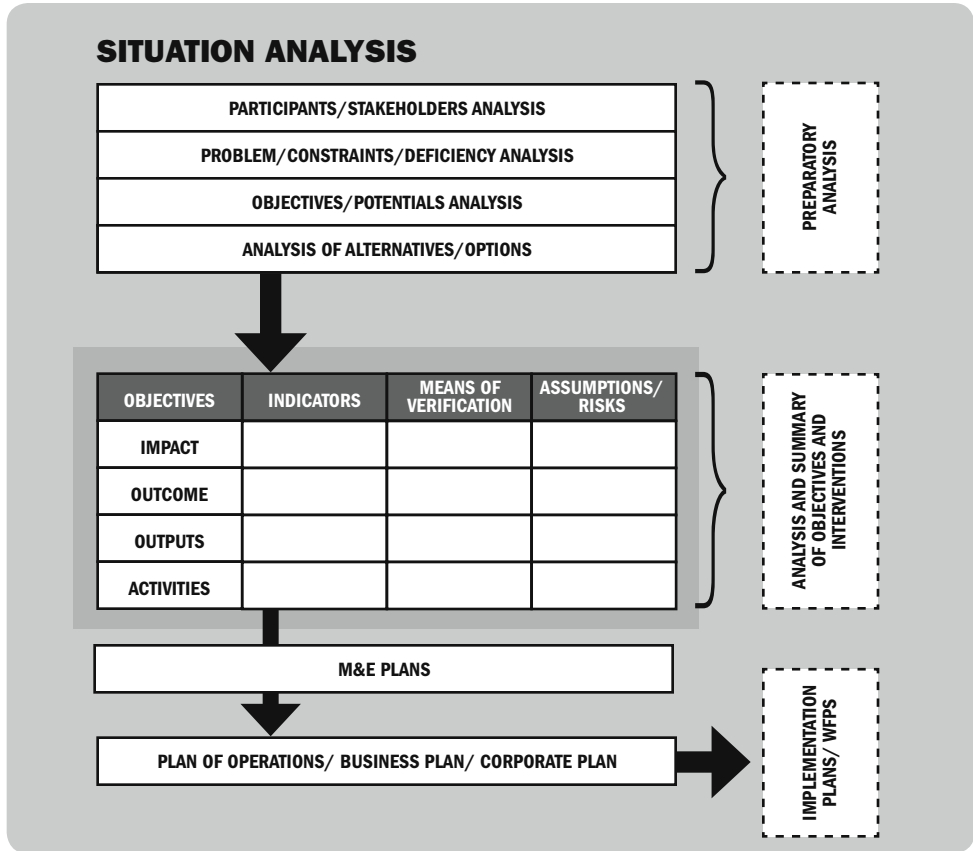


Figure 5. Overview of Analytical Tools Preparatory to Logframe Formulation



## Participatory Planning Process

It is important that prior to the conduct of the planning workshop, the PDMU and MLGOO ensure the participation of the Local Government planners (at barangay, municipal and provincial levels), concerned sectoral field offices pertinent to the situation and representatives of the major stakeholders (i.e. farmers, fishermen, women and youths).

In these planning workshops, it is more efficient and effective to conduct these with the help of a facilitator/moderator who is a practitioner on the method and preferably familiar with the subject matter.

In formulating The Project Strategy, the method and the 4-by-4 format of the Logical Framework are used. (The term Results Framework is used loosely and interchangeably with the Logical Framework).

This demonstration using the case scenario starts with the important steps in preparing the Results/Logical Framework or Intervention Strategy at project level.

Below are useful questions in understanding and differentiating among the different levels and cells/fields of the matrix.

**WHY** - the project is carried out and what are the benefits to the target beneficiaries? IMPACT

**WHAT** - the project expects to accomplish after its completion in terms of the adoption and utilization of the goods and services provided? OUTCOME

**HOW** - the project accomplishes outcome in terms of the goods and services provided? OUTPUTS

**WHICH** - external factors beyond the control of the project are necessary or crucial for the success of the project or what are the risks in preventing success of the project? ASSUMPTIONS/RISKS

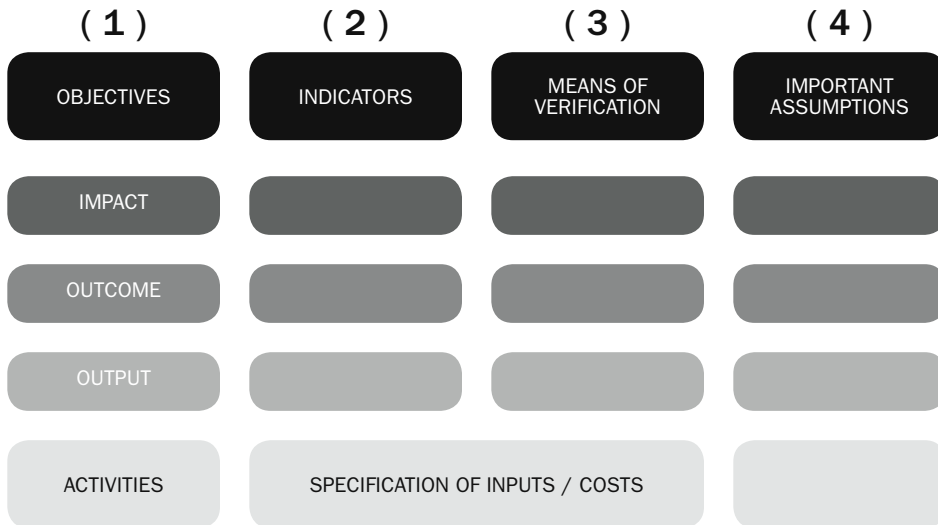
**HOW** - we can assess success in terms of indicators? INDICATORS

**WHERE** - will we find the data or the means to assess or provide evidence for success? MEANS AND SOURCES OF VERIFICATION

**WHAT** - are the tasks or measures to be undertaken to deliver/provide the outputs? MAJOR ACTIVITIES

**WHAT and HOW MUCH** - inputs should be available to implement the planned activities under the project? INPUTS

In the Demonstration Example, the major activities are not specified. What is being demonstrated is the results level hierarchy of objectives (i.e. Impact, Outcome and Outputs). The specification of inputs contains only the major cost items needed to implement the project.



**COLUMN 1 - is the Hierarchy of Objectives column. It contains the heart of the logical framework. It presents the strategic interventions to address a problematic situation or to harness a development potential.**

**COLUMN 2 - contains the indicators and is sometimes called the Performance Indicators column. It clarifies or specifies the dimensions or content in terms of quantity, quality, time and location targets of what is stated in the Hierarchy of Objectives column. It provides the basis for M&E.**

**COLUMN 3 - is the Means/Sources of Verification column. It specifies the source or means of verification if the planned indicator targets have been accomplished.**

**COLUMN 4 - is the Assumptions/Risks column. It specifies the conditions/factors beyond the control of the intervention that may affect the accomplishment of the objectives. It is in this column where managing for results is most critical.**

Figure 6. The typical format of a Logical Framework. There are other ways of presenting the results of the analysis and the terms used in this framework. For instance, the DBM may use an objectives tree format. Other terms can also be used; NEDA uses Results Matrix as a companion document to the PDP.

# PHASE 1: Planning for Results

Preparing the Results/Logical Framework

## Step 1: Start with Column 1 of the Hierarchy of Objectives

**1.1 State the OUTCOME** - Outcome is stated first because it contains the direct planned results of the program/project. Since it is to be accomplished within the life of the project, the statement should be:

- realistic
- reflect an improved or changed condition with the utilisation/application of the services/goods by the target beneficiaries
- formulated as the summary result of the target beneficiaries utilising all the goods and services provided by the project.
- stated as a completed state or condition
- accomplished in the medium term

**1.2 State the IMPACT** - the Impact statement is stated next. It is considered to:

- be a higher-level objective and normally it is accomplished beyond the life of the project.
- describe a situation where the benefits of the project are enjoyed (and sustained) by the target beneficiaries.
- be realised in the longer term
- requires other interventions for the benefits to be realised. Hence, the relationship between the Outcome and Impact are indirect.

**1.3 Identify the OUTPUTS** - the Outputs are the services/goods/products or deliverables of the project. Statement of outputs should be:

- as a concrete good or service
- stated as a completed condition
- sufficient to accomplish the outcome
- numbered which indicates that there are several outputs
- directly related to the accomplishment of the Outcome. Thus, a direct means-ends relationship between the Outputs and the Outcome should exist.
- identified logically but not necessarily sequentially

**1.4 Identify the MAJOR ACTIVITIES** - Major Activities are expressed as processes indicating the measures or tasks to accomplish the outputs. Avoid detailing activities. Details are in the Operations Plan and Work Plans. The relationship between the Outputs and the Major Activities are also direct and therefore they carry the number assigned to the specific Output they belong to i.e. 1.1, 1.2, 1.3 etc. The Major Activities must be sufficient to accomplish the outputs. (Identifying the major activities is skipped in the demonstration example).

**1.5 List the INPUTS** - Inputs are expressed in terms of funds, personnel and goods. Only total requirements are reflected not the details.

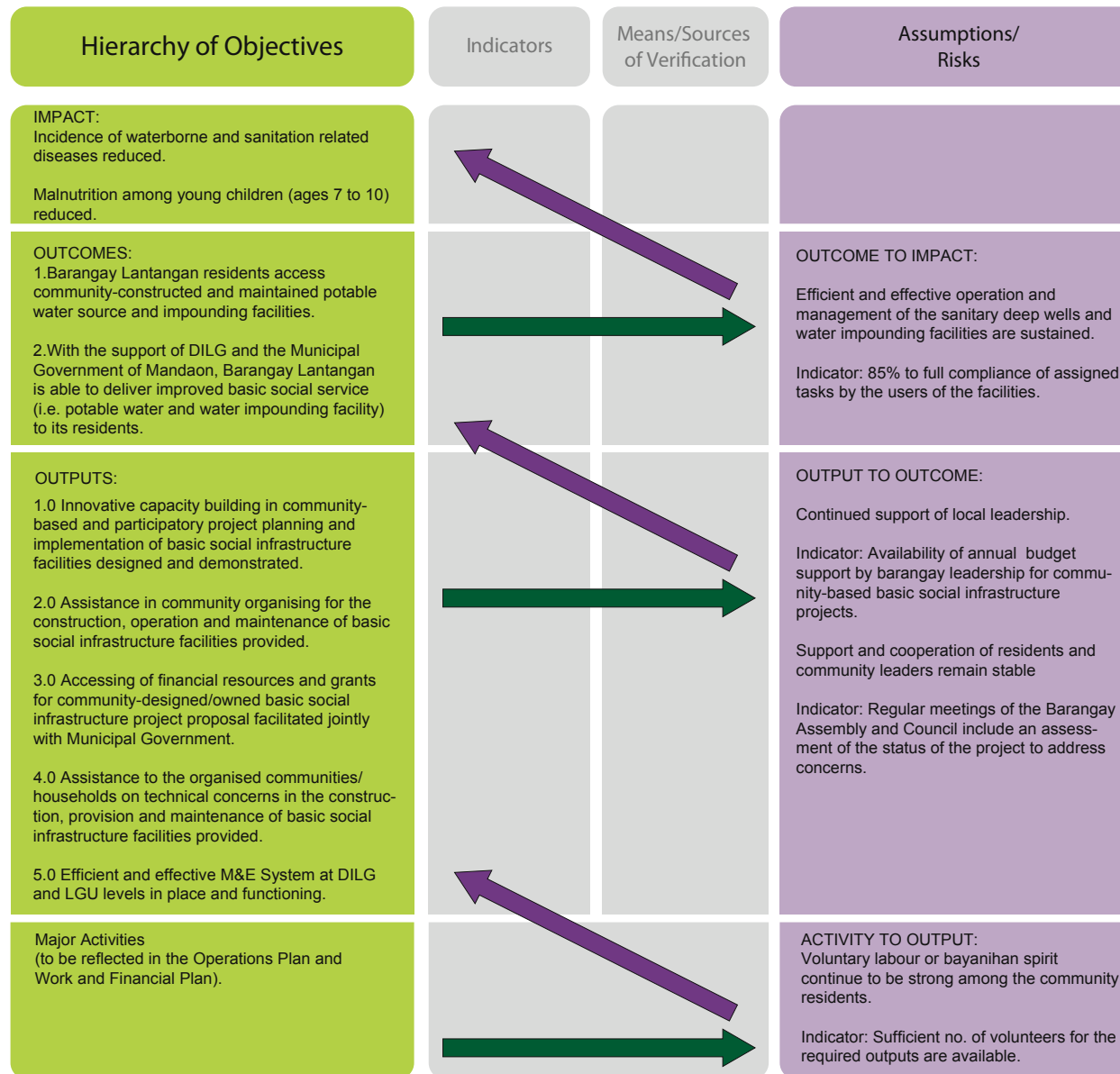
Hierarchy of Objectives	Indicators	Means/Sources of Verification	Assumptions/Risks
<p><b>IMPACT:</b> Incidence of waterborne and sanitation related diseases reduced.</p> <p>Malnutrition among young children (ages 7 to 10) reduced.</p>			
<p><b>OUTCOMES:</b> 1.Barangay Lantangan residents access community-constructed and maintained potable water source and impounding facilities.</p> <p>2.With the support of DILG and the Municipal Government of Mandaon, Barangay Lantangan is able to deliver improved basic social service (i.e. potable water and water impounding facility) to its residents.</p>			
<p><b>OUTPUTS:</b> 1.0 Innovative capacity building in community-based and participatory project planning and implementation of basic social infrastructure facilities designed and demonstrated.</p> <p>2.0 Assistance in community organising for the construction, operation and maintenance of basic social infrastructure facilities provided.</p> <p>3.0 Accessing of financial resources and grants for community-designed/owned basic social infrastructure project proposal facilitated jointly with Municipal Government.</p> <p>4.0 Assistance to the organised communities/ households on technical concerns in the construction, provision and maintenance of basic social infrastructure facilities provided.</p> <p>5.0 Efficient and effective M&amp;E System at DILG and LGU levels in place and functioning.</p>			
<p>Major Activities (to be reflected in the Operations Plan and Work and Financial Plan).</p>	Major Cost Items:		

**Step 2: Go to Column 4 and indicate important Assumptions and Risks, if any.**

The Assumptions/Risks column is accomplished by working vertically from the level of major activities and moving up to the Outcome level. Assumptions describe conditions that must exist if the Project is to succeed but which are outside the direct control of Project management. Assumptions are stated as positive conditions that should be realised while Risks are negative conditions that should be avoided or mitigated.

The importance of identifying important assumptions/risks in planning the project strategy is demonstrated by the vertical logic of the framework as illustrated in Part 2 on page 32.

This vertical integration is illustrated here:



## NOTE!

The relationship between the Hierarchy of Objectives column and the Assumptions/Risks column reflect the vertical logic of the results/logical framework. This relationship implies that the objective being influenced or affected by the important assumption is at the next higher level of objective. The vertical logic is demonstrated by the direction of the arrows.

### Step 3: Identify, select and decide on the key performance Indicators

Indicators, simply defined, are measures of performance. The role of indicators is to specify and clarify what the objectives mean in terms of such relevant characteristics as: quantity, quality, timetable and location. Indicator statements consist of three parts:

- the basic indicator (what the objective means or what is to be measured?)
- the baseline (what is the current or past condition or the situation that needs to be changed?)
- the target (what is the expected or desired level of change?)

Practical Steps:

- Brainstorm what the objectives mean (analyse for meaning and implication)
- Determine the basic indicator - What is exactly to be measured?
- Decide on the characteristics (quantity, quality, time and location) of the indicator. Determine only the relevant characteristics.
- Set the targets
- Formulate the indicator statement

When formulating indicators, it is advisable for the Planning Team to go through a process of selecting and prioritising the identified indicators. As part of the brainstorming, the process includes:

- Identify all possible indicators (comprehensive list or inventory)



- Select those indicators that are most relevant
- Prioritise among the selected indicators based on the *clear* criteria under the 10-step model (Part 2) or simply, data availability, resources for data collection and personnel absorptive capacity.
- Decide only on a few key indicators.

### Important Reminders:

- Indicators lie at the heart of the M&E System
- Clear understanding of the starting point: Indicators are interrelated. Once an indicator at one level is defined, the indicators on other levels are already predetermined to a large extent because they have to be consistent in terms of the means-ends relationship. Choose a starting point where there is clear information on minimum targets expected from the project.
- Set targets realistically taking into account the following: expected funding and resources, existing capacity, personnel, facilities throughout the project period.

### **Step 4: Go to Column 3 and indicate Sources/ Means of Verification (S/MoVs)**

S/MoVs indicate:

- How to acquire evidence that the objectives as measured by the indicators have been met.
- Where to find proof (evidence-based) which will verify the realisation of each indicator.

Indicators and S/MoVs form the basis of the M&E system. In practice, S/MoVs are provisional. They are revised as the M&E system is further elaborated. Popular sources of verification are M&E reports, census surveys, statistical reports, studies etc.

### **Important Note:**

When looking for S/MoVs consider the following:

- Are there required data available from secondary sources (official statistics, internal reports?)
- How available and up to date are these sources?
- What are the costs, if the project has to collect primary data? If yes, include the cost under the Project budget.
- If S/MoVs cannot be found, indicators may have to be changed.

The Indicators and the S/MoVs columns reflect the Horizontal logic of the Logical/Results framework



Hierarchy of Objectives	Indicators	Means/Sources of Verification	Assumptions/Risks
<p><b>IMPACT:</b> Incidence of waterborne and sanitation related diseases reduced.</p> <p>Malnutrition among young children (ages 7 to 10) reduced.</p>	<p>Child (1-5 years old) mortality rates from waterborne diseases reduced by 90% three years after project completion.</p> <p>Cases of malnourished children reduced by 90% three years after project completion.</p> <p>Cases of reported waterborne and sanitation-related diseases among the barangay residents reduced 3 years after project completion.</p>	<p>Report from the Barangay Health Center</p> <p>Report from the Municipal Health Center</p> <p>Report from the Municipal Health Center</p>	
<p><b>OUTCOMES:</b></p> <p>1.Barangay Lantangan residents access community-constructed and maintained potable water source and impounding facilities.</p> <p>2.With the support of DILG and the Municipal Government of Mandaon, Barangay Lantangan is able to deliver improved basic social service (i.e. potable water and water impounding facility) to its residents.</p>	<p>Number of households drinking clean water accessible to their dwelling places increased.</p> <p>Production of food crops increased.</p> <p>Number of sanitary deepwells and water impounding facilities constructed by organised community residents maintained.</p>	<p>CMPDO Progress and Results Report</p> <p>Report from the Municipal Agriculture Office Report from organised Households</p> <p>Barangay Development Council Report Annual Accomplishment Report of the MPDO Project Completion and Results Report of the PDMU</p>	
<p><b>OUTPUTS:</b></p> <p>1.0 Innovative capacity building in community-based and participatory project planning and implementation of basic social infrastructure facilities designed and demonstrated.</p> <p>2.0 Assistance in community organising for the construction, operation and maintenance of basic social infrastructure facilities provided.</p> <p>3.0 Accessing of financial resources and grants for community-designed/owned basic social infrastructure project proposal facilitated jointly with Municipal Government.</p> <p>4.0 Assistance to the organised communities/ households on technical concerns in the construction, provision and maintenance of basic social infrastructure facilities provided.</p> <p>5.0 Efficient and effective M&amp;E System at DILG and LGU levels in place and functioning.</p>	<p>Hands-on community-based and participatory project cycle management learning demonstrated jointly by DILG field office and LGU.</p> <p>Number of project proposals approved for replication and funding by the Municipal Development Council for deep wells and water impounding facility.</p> <p>Number of Hands-On Training on community organising undertaken.</p> <p>Number of organised and functioning women-led groups.</p> <p>Number of organised and functioning farmers/fishermen/ out of school youths volunteers for the construction of deep wells and water impounding facilities.</p> <p>Number of hands-on projects approved for financing.</p> <p>All request for advice and consultations on technical matters responded/ addressed timely.</p> <p>Number of approved sanitary deepwells and water impounding system constructed by the organised community residents.</p> <p>Technical and implementation issues reported, assessed and resolved on time.</p>	<p>Project Progress and Results Reports of PDMU</p> <p>Project Progress and Results Reports of PDMU MPDO Report</p> <p>MPDO Report</p> <p>PDMU and MLGOO Monthly Progress Report</p> <p>PDMU and MLGOO Monthly Progress Report</p> <p>Copy of Approval Certification or letter from funding source or approving authority Copy of approved budget if financed by the LGU</p> <p>MLGOO Project Monitoring Report</p> <p>Project Progress and Results Report</p> <p>Project Progress and Results Report</p>	

PROJECT RESULTS FRAMEWORK: CAPACITY-BUILDING IN COMMUNITY-BASED (BARANGAY/VILLAGE LEVEL) GOVERNANCE

Hierarchy of Objectives	Indicators	Baseline	Overall Target	Means / Sources of Verification	Assumptions / Risks
<b>IMPACT:</b> Incidence of waterborne and sanitation related diseases reduced.	Child (1-5 years old) mortality rates from waterborne diseases reduced by 90% three years after project completion.	150 deaths per 1000 population in 2013	15 deaths per 1000 population in 2019	Report from the Barangay Health Center	
Malnutrition among young children (ages 7 to 10) reduced.	Cases of malnourished children reduced by 90% three years after project completion.	100 cases reported per month in 2013	10 cases reported per month in 2019	Report from the Municipal Health Center	
	Cases of reported waterborne and sanitation-related diseases among the barangay residents reduced three years after project completion.	60 cases reported per month in 2013	20 cases reported per month in 2019	Report from the Barangay Health Center	
<b>OUTCOMES:</b>  1. Barangay Lantangan residents access community-constructed and maintained potable water source and impounding facilities.  2. With the support of DILG and the Municipal Government of Mandaon, Barangay Lantangan is able to deliver improved basic social service (i.e. potable water and water impounding facility) to its residents.	Number of households drinking clean water accessible to their dwelling places increased.  Production of food crops increased.  Number of sanitary deepwells and water impounding facilities constructed by organised community residents maintained.	Out of 150 households only 30 have accessed clean/potable water in 2013  Subsistence level food crop production (e.g. corn and root crops) in 2013 or 40 cavans of rice per hectare  2 shallow and not maintained dugwells in 2013  1 not maintained water impounding facility	150 households have access to clean/potable water in 2016  40% increase in per hectare corn harvests in 2016  10 community-maintained sanitary deep wells for 2016  5 water-impounding facilities maintained jointly by community residents and the Barangay Assembly.	MPDO Progress and Results Report  Report from the Municipal Agriculture Office  Report from organized Households  Barangay Development Council Report  Annual Accomplishment Report of the MPDO  Project Completion and Results Report of the PDMU	<b>OUTCOME TO IMPACT:</b>  Efficient and effective operation and management of the sanitary deep wells and water impounding facilities are sustained.  Indicator: 85% to full compliance of assigned tasks by the users of the facilities.
<b>OUTPUTS:</b>  1.0 Innovative capacity building in community-based and participatory project planning and implementation of basic social infrastructure facilities designed and demonstrated.  2.0 Assistance in community organising for the construction, operation and maintenance of basic social infrastructure facilities provided.  3.0 Accessing of financial resources and grants for community-designed/owned basic social infrastructure project proposal facilitated jointly with Municipal Government.  4.0 Assistance to the organised communities/ households on technical concerns in the construction, provision and maintenance of basic social infrastructure facilities provided.  5.0 Efficient and effective M&E System at DILG and LGU levels in place and functioning.	Hands-on community-based and participatory project cycle management learning demonstrated jointly by DILG field office and LGU.  Number of project proposals approved for replication and funding by the Municipal Development Council for deep wells and water impounding facility.  Number of Hands-On Training on community organising undertaken.  Number of organised and functioning women-led groups .  Number of organised and functioning farmers/fishermen/ out of school youths volunteers for the construction of deep wells and water impounding facilities.  Number of hands-on projects approved for financing.  All request for advice and consultations on technical matters responded/ addressed timely.  Number of approved sanitary deepwells and water impounding system constructed by the organised community residents.  Technical and implementation issues reported, assessed and resolved on time	0  0  0  0  0  0  0  0	2 hands-on community based learning sessions on how to plan and construct/provide a simple/basic infrastructure facility demonstrated jointly with the staff of MPDO and the Municipal Engineering Office (MEO)  8 project proposals approved for deep wells and replication in strategic barangay sites in 2014 and 2015  5 water impounding facility proposals recommended for funding in 2015 municipal budget  3 hands-on sessions conducted in 2014  10 organised and functioning women-led groups by 2015  5 organised and functioning farmer/ fishermen and out of school youths by 2015  10 sanitary deep wells and 5 small water impounding facilities financed for implementation by mid-2016  Requests responded within two days  10 sanitary deepwells and 5 water impounding facility constructed in 2015 and mid-2016  80% of risks to project implementation averted and resolved	Project Progress and Results Reports of PDMU  Project Progress and Results Reports of PDMU  MPDO Report  MPDO Report  PDMU and MLGOO Monthly Progress Report  PDMU and MLGOO Monthly Progress Report  Copy of Approval Certification or letter from funding source or approving authority  Copy of approved budget if financed by the LGU  MLGOO Project Monitoring Report  Project Progress and Results Report  Project Progress and Results Report	<b>OUTPUT TO OUTCOME:</b>  Continued support of local leadership.  Indicator: Availability of annual budget support by barangay leadership for community-based basic social infrastructure projects.  Support and cooperation of residents and community leaders remain stable.  Indicator: Regular meetings of the Barangay Assembly and Council include an assessment of the status of the project to address concerns.
Major Activities (to be reflected in the Operations Plan and Work and Financial Plan). 1.1 1.2...etc	Major Cost Items: Personnel salaries/wages and per diems, professional fees of engineering specialist (if needed), supplies and materials for construction, transport and communication, workshops and meetings, meals for volunteers (if needed) etc.				<b>ACTIVITY TO OUTPUT:</b>  Voluntary labour or bayanihan spirit continue to be strong among the community residents.  Indicator: Sufficient no. of volunteers for the required outputs are available.

## PHASE 2: Monitoring and Evaluating for Results

Under this Phase, perform the following steps (see also Part 3, page 70)

### Preparing the M&E Plan

#### STEPS:

1. Do the following:
  - a. Operationally define the indicators by using the indicator documentation sheet (IDS). Each indicator should have an IDS. Accomplished IDS forms for Outcome and Output indicators from the demonstration example are shown on the following page to illustrate how this is done.
  - b. For each indicator, prepare a data collection sheet (DCS) as shown in examples that follow.



## SAMPLE OUTCOME AND OUTPUT IDS AND DCS

### OUTCOME 2 - INDICATOR DOCUMENTATION SHEET

Project Title:	<b>Capacity-Building In Community-Based (Barangay/Village Level) Governance</b>
Indicator for:	Outcome 2
Outcome:	With the support of DILG and the Municipal Government of Mandaon, Barangay Lantangan is able to deliver improved basic social service (i.e. potable water and water impounding facility) to its residents.
Indicator:	Number of sanitary deep wells and water impounding facilities constructed by organised community residents maintained.
Rationale of Indicator:	The number of maintained sanitary deep wells is a direct indicator of involvement and support of the community residents and an indicator of the success of the capacity building service provided by DILG and the Local Government.
Explanations for Qualitative Dimension:	The deep wells being owned and maintained by the residents organised for that purpose is reflective of the improved capacity in self determination and participative problem solving/resolution of basic service delivery in barangays, the most basic unit of local governance.
Quantitative Dimension:	10 sanitary deep wells and 5 water impounding facilities owned and maintained by the residents is a realistic target number and sufficient enough to cover the need and locational scope of sanitary supply of water.

### OUTCOME 2 - DATA COLLECTION SHEET

Responsible for Data Collection:	Project Monitoring Staff from the Municipal Development Project Office, MLGOO
Data Required:	Report on how organised groups are operating and maintaining the facilities. Adverse reports on problems encountered.
Data Sources:	Report of Project Officer Results of "spot checks" or audit visits Conversations with beneficiaries/users of the facilities Minutes of meetings of organised groups
Frequency of Data Collection:	Regular project visits by monitoring officers
Control of Data Quality:	Triangulation
Data Processing:	N/A
Inputs Required for Data Collection and Processing:	Per diems of staff/officer on project visits

### OUTPUT 1.0 - INDICATOR DOCUMENTATION SHEET

Project Title:	<b>Capacity-Building In Community-Based (Barangay/Village Level) Governance</b>
Indicator for:	Output 1.0
Outcome:	Innovative capacity building in community-based and participatory project planning and implementation of basic social infrastructure facilities designed and demonstrated.
Indicator:	Hands-on community-based and participatory project cycle management learning demonstrated jointly by DILG field office and LGU.
Rationale of Indicator:	The holding of/provision of hands-on demonstration sessions is a creative way to raise the capacity of the community residents on how to plan and construct a single basic infrastructure facility.
Explanations for Qualitative Dimension:	The demonstration sessions give residents the opportunity to participate and to influence the process of planning for a communal infrastructure project, the actual motions and experience of designing and constructing the desired and agreed upon infrastructure project, together with the staff of the MPDO and Municipal Engineer's Office.
Quantitative Dimension:	Targeted number of demo sessions is sufficient to cover and include all the stakeholders and major actors in the planning and construction of the common service infrastructure facility. Each session includes all officials and representative of organised groups to be involved in the design and construction of sanitary deep wells to be owned and maintained by the residents in the barangay.

### OUTPUT 1.0 - DATA COLLECTION SHEET

Responsible for Data Collection:	Project Monitoring Staff from the Municipal Development Project Office, MLGOO
Data Required:	Learning design List of participants categorised by gender How-to manual on construction and maintenance of basic infrastructure projects (from specialist hired for the hands-on training)
Data Sources:	Documentation Report of Learning Sessions Assessment Reports
Frequency of Data Collection:	Every learning session as required
Control of Data Quality:	Triangulation
Data Processing:	Every reporting period
Inputs Required for Data Collection and Processing:	Per diems, supplies





- 2.** From the Results Framework above, transfer the information under columns 1, 2 and 3 to the M&E Plan Form. Work Tables (Tables 6, 7 and 9) are suggested in Part 3 starting on page 73 to facilitate preparation of the M&E Plan.
- 3.** Note that for this demonstration example, the prescribed RbME Form 2-A is not exactly followed. The example shows the annual breakdown of planned targets instead of the monthly breakdowns prescribed for projects.
- 4.** To accomplish the prescribed RbME Forms, refer to Annex C of this Guidebook.
- 5.** The targets should be consistent with the timetable for data collection and reporting.

### **Project Assessment**

- 1.** Transfer the information from the Project M&E Plan (Columns 1-7) to the Project Assessment Form.
- 2.** In the Project Assessment Form, columns reflecting Accomplishment for the monitoring period, deviations from planned targets, reasons for the deviation, the assessment of performance and implications for steering measures are added.

Following are the filled-in M&E assessment forms based on the demonstration example.



PROJECT M&E PLAN: CAPACITY-BUILDING IN COMMUNITY-BASED (BARANGAY/VILLAGE LEVEL) GOVERNANCE

1 Hierarchy of Objectives	2 Indicators	3 Baseline		4 Overall Target		5 Annual Targets		
		Original	Revised (if any)	Original	Revised (if any)	2014	2015	2016
<b>OUTCOMES:</b>  1. Barangay Lantangan residents access community -constructed and maintained potable water source and impounding facilities.  2. With the support of DILG and the Municipal Government of Mandaon, Barangay Lantangan is able to deliver improved basic social service (i.e. potable water and water impounding facility) to its residents.	Number of households drinking clean water accessible to their dwelling places increased	Out of 150 households only 30 have accessed clean/potable water in 2013		150 households have access to clean/potable water in 2016				150
	Production of food crops increased	Subsistence level food crop production (e.g. corn and root crops) in 2013 or 40 cavans of rice per hectare		40% increase in per hectare corn harvests in 2016				
<b>OUTPUTS:</b>  1.0 Innovative capacity building in community-based and participatory project planning and implementation of basic social infrastructure facilities designed and demonstrated.	Hands-on community-based and participatory project cycle management learning demonstrated jointly by DILG field office and LGU	0		2 hands-on community-based learning sessions on how to plan and construct/provide a simple/basic infrastructure facility demonstrated jointly with the staff of MPDO and the Municipal Engineering Office (MEO)				
	Number of project proposals approved for replication and funding by the Municipal Development Council for deep wells and water impounding facility.	0		8 project proposals approved for deep wells and replication in strategic barangay sites in 2014 and 2015		4	4	
		0		5 water impounding facility proposals recommended for funding in 2015 municipal budget				5
2.0 Assistance in community organising for the construction, operation and maintenance of basic social infrastructure facilities provided.	Number of Hands-On Training on community organising undertaken.	0		3 hands on sessions conducted in 2014		3		
	Number of organised and functioning women-led groups.	0		10 organised and functioning women-led groups by 2015			10	
	Number of organised and functioning farmers/fishermen/out of school youths volunteers for the construction of deep wells and water impounding facilities.	0		5 organised and functioning farmer/fishermen and out of school youths by 2015		3	2	
3.0 Accessing of financial resources and grants for community-designed/ owned basic social infrastructure project proposal facilitated jointly with municipal government	Number of hands-on projects approved for financing.	0		10 sanitary deepwells and 5 small water impounding facilities financed for implementation by mid 2016			6	4
4.0 Assistance to the organised communities/ households on technical concerns in the construction, provision and maintenance of basic social infrastructure facilities provided.	All request for advice and consultations on technical matters responded/ adressed timely.			Requests responded within two days		Response time within 2 days of request	Response time within 2 days of request	
	Number of approved sanitary deepwells and water impounding system constructed by the organised community residents.	0		10 sanitary deepwells and 5 water impounding facility constructed in 2015 and mid 2016		6	4	
5.0 Efficient and effective M&E System at DILG and LGU levels in place and functioning.	Technical and implementation issues reported, assessed and resolved on time.			80% of Risks to project implementation averted and resolved		Risks averted/ resolved	Risks averted/ resolved	
Major Activities 1.1 1.2...etc  2.1 2.2...etc								



ANNUAL PROJECT ASSESSMENT REPORT (2014): CAPACITY-BUILDING IN COMMUNITY-BASED (BARANGAY/VILLAGE LEVEL) GOVERNANCE

1 Hierarchy of Objectives	2 Indicators	3 Baseline	4 Overall Target	5 Annual Target			6 Annual Accomplishment			7 Deviations for Year	8 Reasons for Deviation	9 Assessment	10 Implications/ Steering Measures
				2014	2015	2016	2014	2015	2016	2014			
<b>OUTCOMES:</b>													
1. Barangay Lantangan residents access community-constructed and maintained potable water source and impounding facilities.	Number of households drinking clean water accessible to their dwelling places increased.	Out of 150 households only 30 have accessed clean/potable water in 2013	150 households have access to clean/ potable water in 2016			150							
	Production of food crops increased.	Subsistence level food crop production (e.g. corn and root crops) in 2013 or 40 cavans of rice per hectare	40% increase in per hectare corn harvests in 2016										
2. With the support of DILG and the Municipal Government of Mandaon, Barangay Lantangan is able to deliver improved basic social service (i.e. potable water and water impounding facility) to its residents.	Number of sanitary deepwells and water impounding facilities constructed by organised community residents maintained.	2 shallow and not maintained dugwells in 2013	10 community maintained sanitary deep wells in 2016			10							
		1 not maintained water impounding facility	5 water-impounding facilities maintained jointly by community residents and the Barangay Assembly			5							
<b>OUTPUTS:</b>													
1.0 Innovative capacity building in community-based and participatory project planning and implementation of basic social infrastructure facilities designed and demonstrated.	Hands-on community-based and participatory project cycle management learning demonstrated jointly by DILG field office and LGU.	0	2 hands-on community-based learning sessions on how to plan and construct/ provide a simple/basic infrastructure facility demonstrated jointly with the staff of MPDO and the Municipal Engineering Office (MEO)	2			2					Full target accomplishment	
	Number of project proposals approved for replication and funding by the Municipal Development Council for deep wells and water impounding facility.	0	8 project proposals approved for deep wells and replication in strategic barangay sites in 2014 and 2015	4	4		3			1	Site selected is under litigation	Site selected is under litigation	Explore alternative site
		0	5 water impounding facility proposals recommended for funding in 2015 municipal budget			5							
2.0 Assistance in community organising for the construction, operation and maintenance of basic social infrastructure facilities provided.	Number of Hands-On Training on community organising undertaken.	0	3 hands on sessions conducted in 2014	3			3					Full target accomplishment	
	Number of organised and functioning women-led groups.	0	10 organised and functioning women-led groups by 2015		10								
	Number of organised and functioning farmers/fishermen/out of school youths volunteers for the construction of deep wells and water impounding facilities.	0	5 organised and functioning farmer/fishermen and out of school youths by 2015	3	2		1			2	Heavy workload of selected farmers	Major deviation	Mayor to talk to farmers Select other willing members
3.0 Accessing of financial resources and grants for community-designed/ owned basic social infrastructure project proposal facilitated jointly with Municipal Government.	Number of hands-on projects approved for financing.	0	10 sanitary deepwells and 5 small water impounding facilities financed for implementation by mid 2016		6	4							
4.0 Assistance to the organised communities/ households on technical concerns in the construction, provision and maintenance of basic social infrastructure facilities provided.	All request for advice and consultations on technical matters responded/ addressed timely.		Requests responded within two days	Response time within 2 days									
	Number of approved sanitary deepwells and water impounding system constructed by the organised community residents		10 sanitary deepwells and 5 water impounding facility constructed in 2015 and mid 2016		6	4							
5.0 Efficient and effective M&E System at DILG and LGU levels in place and functioning.	Technical and implementation issues reported, assessed and resolved on time.		80% of Risks to project implementation averted and resolved	Risks averted /re-solved									
<b>MAJOR ACTIVITIES:</b>													
1.1 1.2...etc 2.1 2.2...etc													
<b>Narrative Assessment of Important Assumptions and Risks:</b>													
The heavy workload of the farmers especially during the harvest season – This is exacerbated by the fact that their sons who are categorized as out-of-school youths are also being tapped for the organised groups. This risk, if not mitigated, will affect negatively the likelihood of the project accomplishing Outcome. Another potential risk is the neglect of small children of mothers who are active participants of the organised groups.													
<b>Overall Assessment:</b>													
The project on its first year is just settling down. However, it is crucial for project management to analyse more closely the targets—whether these are realistic given the first year experience. Closer monitoring and evaluation of negative effects on the stakeholders, particularly on the children, is to be undertaken by project management.													
<b>Recommended Actions for Senior Management (i.e. Director/Assistant Secretary, Undersecretary):</b>													
At this point, the project is still not in the "at risk" category. No action for senior management is recommended.													

**NOTE:**

As described in Part 3 on page 84:

- a. Performance status or Assessment can have the following categories:
  - Full target achievement when target is compiled with or accomplished for the monitoring or reporting period.
  - Minor deviation when at least 70% of target is accomplished
  - Major deviation when accomplishment is below 70%.

The cut-off percentages are only suggested. Cut-off percentages must be discussed collegially and approved by senior management. Deviations can be negative and positive. Both should be avoided.

- b. Reasons for deviation must be indicated. The reasons will provide the basis for Steering Measures (last column).
- c. The assessment form should always be accompanied at the bottom with a brief analysis on the likelihood of the Project accomplishing results, particularly, at the Outcome level.

# Annexes





# Annex A

## **Overview of the Principles and Orientation of Results-based Management**



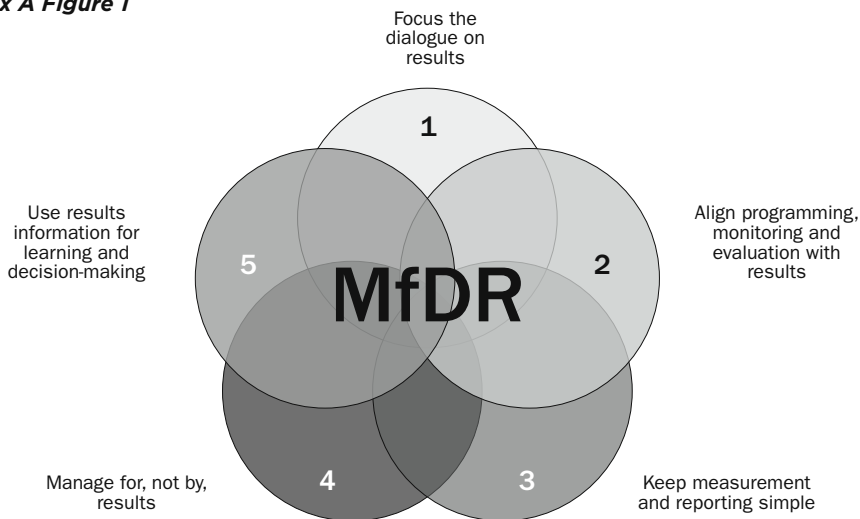
## Managing for Development Results (MfDR)

MfDR is a management strategy focused on development performance and sustainable improvements in country outcomes. According to the Sourcebook on Managing for Development Results, “it provides a coherent framework for development effectiveness in which performance is used for improved decision-making, and includes practical tools for strategic planning, risk management, progress monitoring, and outcome evaluation.”

The emphasis on development results gained momentum at the beginning of this century. This is to support the accomplishments of the Millennium Development Goals (MDGs) by ensuring effectiveness of development interventions.

This approach has five principles as illustrated in Figure 1 below:

**Annex A Figure 1**



*Figure 1. Managing for Development Results (MfDR) from the Sourcebook on Management for Development Results, Asian Development Bank (ADB), 2003*

## Results-based Management (RbM)

Closely aligned with MfDR is the Results-based Management (RbM) approach, as an instrument to bring about the shift to a results culture and mindset among decision-makers and implementers. Just like MfDR, Results-based Management is defined as: “a management approach and a set of tools for strategic planning, monitoring and evaluating performance, reporting, and organisational improvement and learning. RBM improves organisational performance by applying traditional tools such as strategic planning, results frameworks, monitoring and program evaluation in the modern context of decentralisation, networking, flexibility, participatory processes and accountability.” (An Introduction to Results-Based Principles, ADB, 2006).

RbM is governed by principles that have an important bearing on the methodology, the focus, organisation system and role of leadership in the process. At the core of results thinking is the Results Chain, which illustrates the intended causal relationship among various elements over time. Figure 2 below illustrates this:

**Annex A Figure 2**

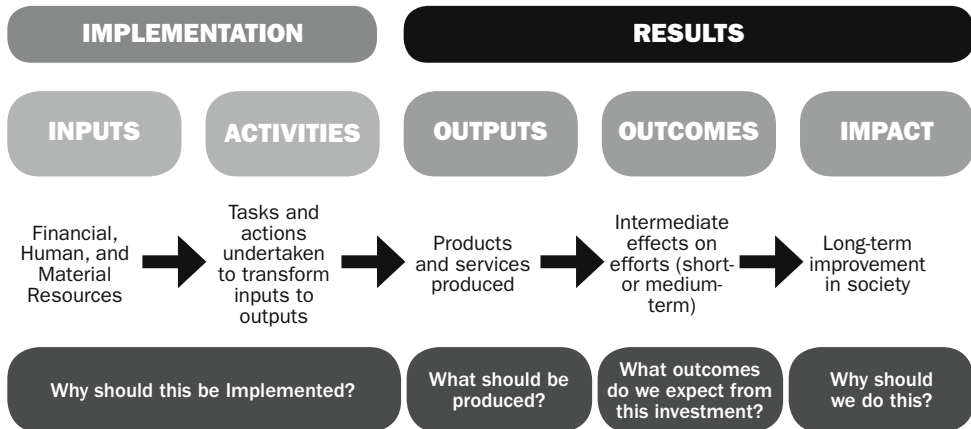


Figure 2. The Results Chain, from *An Introduction to Results Management Principles, Applications, and Implications*, ADB, 2006

Some of the more relevant organisational implications of RBM, which have very important implications in the change process, are the following:

**Accountability.** Committing to results management requires that management and staff be held accountable for appropriate levels of results.

**Client focus.** Achieving results is linked to understanding stakeholders' perspectives and needs; thus, there is a significant emphasis on participation and ensuring that the organisation is responsive to the needs of beneficiaries.

**Streamlined business processes.** In order to achieve results, important changes must be made on operational policies and procedures to increase efficiency, improve the allocation of resources and enhance transparency.

**Decentralisation.** Responsiveness implies delegating authority to accountable staff and then empowering them to do their jobs.

**Working in strategic partnerships.** Involving partners and stakeholders in results management is essential.

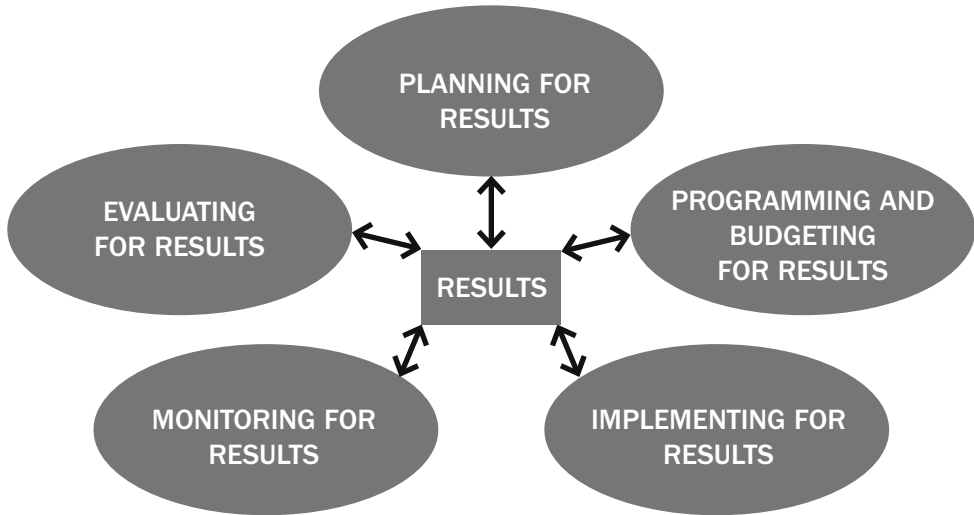
**Staff incentives and training.** Results management requires that staff be rewarded on the basis of measured results and that they be supported with solid training programs, performance information databases, toolkits, mentoring, and other resources.

**Organisational change.** Any organisation has its own culture characterised by implicit and explicit values, behavioural expectations, customs and rituals, and terminology. Implementing results management requires that the organisational culture include and support results orientation.

Public Sector Management (PSM)

PSM provides the different phases/stages in the road towards RbM and how these various stages are linked. The linkages as well as the relevant documents produced so far at each stage by the Government are shown in Figure 3 on the next page:

**Annex A Figure 3**

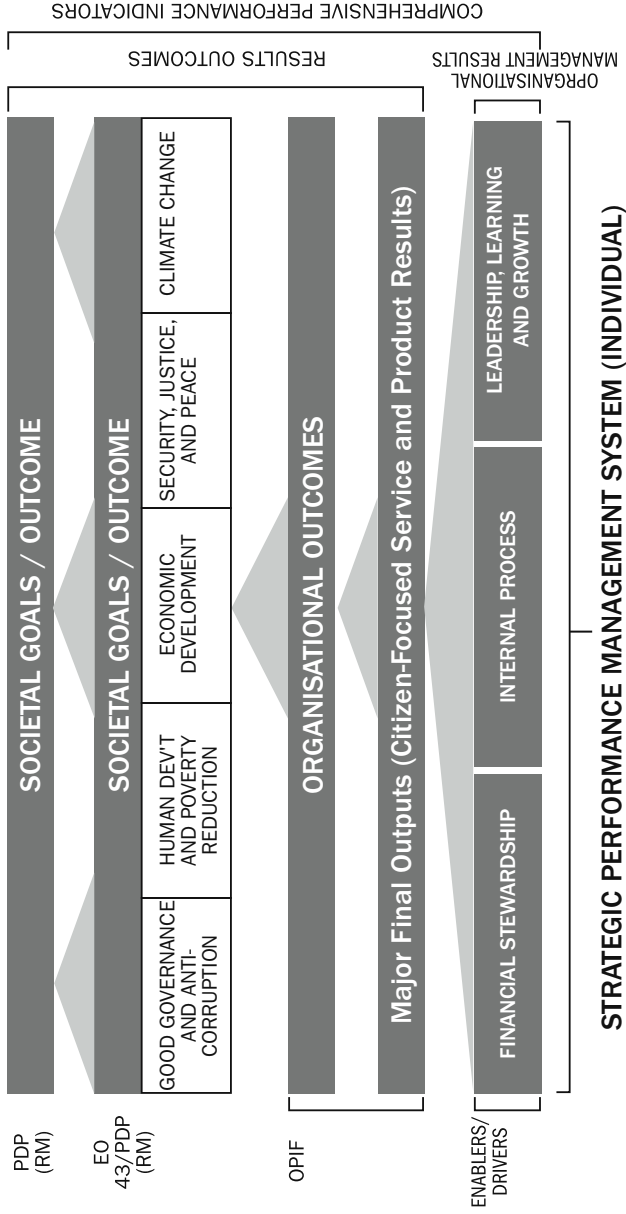


*Figure 3. The Public Sector Management (PSM)*

### Evolving Philippine Results Framework

Ongoing efforts of NEDA and the Department of Budget and Management (DBM) in rationalising resource allocation and ensuring the close link between plans and budgets at each level includes clarifying the relationship among a) societal goal, b) sectoral contribution, and c) organisational strategies and measures leading to the outcome.

**Annex A Figure 4**



*Figure 4. The Evolving Philippine Results Framework, from Challenges and Prospects in M&E in the Philippines, NEDA-PMS, 2012*





# Annex B

## **Glossary of Key Terms and Concepts in RbME**



<b>Terms</b>	<b>Definition</b>
Accountability	Obligation to demonstrate that work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis-a-vis mandated roles and/or plans. This may require a careful, even legally defensible, demonstration that the work is consistent with the contract terms.
Activity	Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilised to produce specific outputs.
Analytical tools	Methods used to process and interpret information during an evaluation.
Approach	A specific and chosen way of advancing or proceeding
Assessment	A process (which may or may not be systematic) of gathering information, analysing it, then making a judgement on the basis of the information.
Assumption(s)	External factors (i.e. events, conditions or decisions) that could affect the progress or success of a project or program. They are necessary to achieve the project objectives, but are largely or completely beyond the control of the project management. They are worded as positive conditions.
Attribution	The causal link of one thing to another; e.g. the extent to which observed (or expected to be observed) changes can be linked to a specific intervention in view of the effects of other interventions or confounding factors.
Baseline information	Information—usually consisting of facts and figures collected at the initial stages of a project – that provides a basis for measuring progress in achieving project objectives and outputs.
Baseline survey/ study	An analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made.
Benchmark	Reference point or standard against which performance or achievements can be assessed. Note: A benchmark refers to the performance that has been achieved in the recent past by other comparable organisations, or what can be reasonably inferred to have been achieved in the circumstances.
Beneficiaries	The individuals, groups, or organisations, whether targeted or not, that benefit, directly or indirectly, from the development intervention.
Capacity	The ability of individuals and organisations to perform functions effectively, efficiently and in a sustainable manner.
Capacity-building	The process through which capacity is created.
Causal relationship	A logical connection or cause-and-effect linkage existing in the achievement of related, interdependent results. Generally, the term refers to plausible linkages, not statistically accurate relationships.

<b>Terms</b>	<b>Definition</b>
Cost-benefit analysis	The comparison of investment and operating costs with the direct benefits or impact generated by the investment in a given intervention. It uses a variety of methods and means of expressing results.
Cost effectiveness	Comparison of the relative costs of achieving a given result or output by different means (employed where benefits are difficult to determine).
Critical assumption	An important factor, outside of aid itself, that influences the success of the activity, but over which the manager has no influence. Initial assumptions constitute perceived conditions for the success of a project.
Data collection tools	Methodologies used to identify information sources and collect information during an evaluation.
Development intervention	An instrument for partner (donor and non-donor) support aimed to promote development.
Development objective	Intended impact contributing to physical, financial, institutional, social, environmental, or other benefits to a society, community, or group of people via one or more development interventions.
Effect	Intended or unintended change due directly or indirectly to an intervention.
Effectiveness	The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.
Efficiency	A measure of how economically resources/inputs (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 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 recipients and donors. Evaluation also refers to the process of determining the worth or significance of an activity, policy or program. An assessment, as systematic and objective as possible, of a planned, on-going, or completed development intervention.
Ex-ante evaluation	An evaluation that is performed before implementation of a development intervention.
Ex-post evaluation	Evaluation of a development intervention after it has been completed. Note: It may be undertaken directly after or long after completion. The intention is to identify the factors of success or failure, to assess the sustainability of results and impacts, and to draw conclusions that may inform other interventions.
External evaluation	The evaluation of a development intervention conducted by entities and/or individuals outside the donor and implementing organisations.
Feedback	The transmission of findings generated through the evaluation process to parties for whom it is relevant and useful so as to facilitate learning. This may involve the collection and dissemination of findings, conclusions, recommendations and lessons from experience.
Goal	The higher-order objective to which a development intervention is intended to contribute.

<b>Terms</b>	<b>Definition</b>
Horizontal logic	A summary of the project approach whose objective in the logframe is to define how objectives specified in the project description will be measured and the means by which the measurement will be verified.
Impact	Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.
Impact assessment	The process of assessing the impact of a program in an intervention area.
Implementing partners	Those organisations either sub-contracted by the Project Management Unit or those organisations officially identified in the loan agreement as responsible for implementing a defined aspect of the project.
Independent evaluation	An evaluation carried out by entities and persons free of control by those responsible for the design and implementation of the development intervention.
Indicator	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 the performance of a development actor.
Indirect effects	The unplanned changes brought about as a result of the intervention.
Input	The financial, human, and material resources used for the development intervention.
Internal evaluation	Evaluation of a development intervention conducted by a unit and/or individuals reporting to the management of the donor, partner, or implementing organisation.
Joint evaluation	An evaluation to which different donor agencies and/or partners participate.
Lessons learned	Generalisations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact.
Logical Framework Approach (LFA)	An analytical, presentational and management tool that involves problem analysis, stakeholder analysis, developing a hierarchy of objectives and selecting a preferred implementation strategy. It helps to identify strategic elements (inputs, outputs, purpose, goal) and their causal relationships, as well as the external assumptions (risks) that may influence success and failure. It thus, facilitates planning, execution and evaluation of a project.
Logical framework matrix	Also known as "logframe" or "logframe matrix". A table, usually consisting of four rows and four columns, that summarises what the project intends to do and how (necessary inputs, outputs, purpose, objectives), what the key assumptions are, and how outputs and outcomes will be monitored and evaluated.
Means of verification (MOV)	The expected source(s) of information that can help answer the performance question or indicators. This is found in the third column of the standard logframe. It is detailed further in the M&E matrix.
Monitoring	The regular collection and analysis of information to assist timely decision-making ensure accountability and provide the basis for evaluation and learning. It is a continuing function that uses methodical collection of data to provide management and the main stakeholders of an on-going project or program with early indications of progress and achievement of objectives.

<b>Terms</b>	<b>Definition</b>
Monitoring and evaluation (M&E)	The combination of monitoring and evaluation which together provide the knowledge required for: a) effective project management and b) reporting and accountability responsibilities.
M&E framework	An overview of the M&E system developed during the design phase of a project and included in the project appraisal report.
M&E matrix	A table describing the performance questions, information gathering requirements (including indicators), reflection and review events with stakeholders, and resources and activities required to implement a functional M&E system. This matrix lists how data will be collected, when, by whom and where.
Objective	A specific statement detailing the desired accomplishments or outcomes of a project at different levels (short to long term). A good objective meets the criteria of being impact oriented, measurable, time limited, specific and practical.
Objective hierarchy	The different levels of objectives, from activities up to goal, as specified in the first column of the logframe. If the project is designed well, realisation of each level of objectives in the hierarchy should lead to fulfillment of the project goal.
Objectively verifiable indicators (OVI)	A group of criteria (not necessarily measurable) used to verify the degree of accomplishment (foreseen or actual) of the sectoral purpose, the objective, and the inputs and outputs of a project. They can be quantitative, and therefore both verifiable and measurable, or qualitative, and therefore only verifiable.
Outcome	The likely or achieved short-term and medium-term effects of an intervention's outputs.
Outputs	The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.
Partners	The individuals and/or organisations that collaborate to achieve mutually agreed upon objectives.
Performance	The degree to which a development intervention or a development partner operates according to specific criteria/standards/guidelines or achieves results in accordance with stated goals or plans.
Performance indicator	A variable that allows the verification of changes in the development intervention or shows results relative to what was planned.
Performance measurement	A system for assessing performance of development interventions against stated goals.
Performance monitoring	A continuous process of collecting and analysing data to compare how well a project, program, or policy is being implemented against expected results.
Project	An intervention that consists of a set of planned, interrelated activities designed to achieve specific objectives within a given budget and a specified period of time.

<b>Terms</b>	<b>Definition</b>
Project cycle management	A tool for understanding the tasks and management functions to be performed in the course of a project or program's lifetime. This commonly includes the stages of identification, preparation, appraisal, implementation/supervision, evaluation, completion and lesson learning.
Project management	The process of leading, planning, organising, staffing and controlling activities, people and other resources in order to achieve particular objectives.
Proxy indicator	An appropriate indicator that is used to represent a less easily measurable one.
Purpose	The publicly stated objectives of the development program or project.
Qualitative	Something that is not summarised in numerical form, such as minutes from community meetings and general notes from observations. Qualitative data normally describe people's knowledge, attitudes or behaviours.
Quantitative	Something measured or measurable by, or concerned with, quantity and expressed in numbers or quantities.
Relevance	The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.
Reliability	Consistency or dependability of data and evaluation judgements, with reference to the quality of the instruments, procedures and analyses used to collect and interpret evaluation data.
Results	The output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention.
Results Chain	The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts, and feedback. In some agencies, reach is part of the results chain.
Results Framework	The program logic that explains how the development objective is to be achieved, including causal relationships and underlying assumptions.
Results-based Management (RBM)	A management strategy focusing on performance and achievement of outputs, outcomes and impacts.
Risk	Possible negative external factors, i.e. events, conditions or decisions, which are expected to seriously delay or prevent the achievement of the project objectives and outputs (and which are normally largely or completely beyond the control of the project management).
Risk analysis	An analysis or an assessment of factors (called assumptions in the logframe) that affect or are likely to affect the successful achievement of an intervention's objectives. A detailed examination of the potential unwanted and negative consequences to human life, health, property, or the environment posed by development interventions; a systematic process to provide information regarding such undesirable consequences; the process of quantification of the probabilities and expected impacts for identified risks.



<b>Terms</b>	<b>Definition</b>
Situation analysis	The process of understanding the status, condition, trends and key issues affecting people, ecosystems and institutions in a given geographic context at any level (local, national, regional, international).
Stakeholders	Agencies, organisations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation.
Sustainability	The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time.
Target	A specified objective that indicates the number, timing and location of that which is to be realised.
Target group	The specific individuals or organisations for whose benefit the development intervention are undertaken.
Validity	The extent to which the data collection strategies and instruments measure what they purport to measure.
Validation	The process of cross-checking to ensure that the data obtained from one monitoring method are confirmed by the data obtained from a different method.
Vertical logic	A summary of the project that spells out the causal relationships between, on the one hand, each level of the objective hierarchy (inputs-outputs, outputs-purpose, purpose-goal) and, on the other, the critical assumptions and uncertainties that affect these linkages and lie outside the project manager's control.
Work plan	A detailed document stating which activities are going to be carried out in a given time period and how the activities relate to the common objectives and vision. The work plan is designed according to the logical framework and contains a description in each cell of the work plan table of each activity and output, its verifiable indicators, the means of verification and its assumption.

*Sources: OECD-DAC, Glossary of Key Terms in Evaluation and Results Based Management, 2004. IFAD, Managing for Impact Rural Development, A Guide for Project M&E, 2002.*

# Annex C

## **Prescribed RbME Forms and Procedures for Filling-in of Forms**



## **PROCEDURES ON HOW TO ACCOMPLISH THE PRESCRIBED RbME FORMS**

These procedures are written in a simple form to guide Planning and M&E Officers/Staff in the concerned offices to fill in the prescribed RbME forms. There are a total of six forms where four forms are basically static and will be changed or updated only if there are justifiable reasons for adjusting and/or revisions. Any revisions, depending on the extent, will have to be officially approved by the relevant management levels either within the Department or with the concurrence of external agencies in the case of development cooperation programs and projects.

Filling in of the forms assumes exposure or familiarity with the methodology of the Logical/Results Framework as well as the principles and tools in Results-based M&E. As a word of advice, it is important that the Guidebook should be thoroughly read and understood, particularly Sections 2 and 3 to facilitate accomplishment of the forms. Suggested timetables when to fill in the forms are also provided.

**RbME Form 1  
Overall Results Framework (ORF)**

Name : <u>Department of Interior and Local Government</u> Period Covered: (PDP Plan Period- ORF may be done annually) _____					
Hierarchy of Objectives	Indicators	Baseline (starting value)	Overall Target (target accomplishment at end of Plan Period or annually)	Means/ Sources of Verification	Assumptions/ Risks
Impact (Societal)					
Outcome/s ( Indicate Developmental and Organisational Outcomes)					Outcome to Impact:
Outputs 1. 2...etc.					Output to Outcome:
Major Activities 1.1 1.2...etc 2.1 2.2...etc	Major Cost Items:				Activities to Outputs:
Prepared by: Position Signature and Date	Endorsed by: Position Signature and Date	Approved by: Position Signature and Date			

### **FORM 1: The Department's Overall Results Framework (ORF)**

Form 1 is a static form unless it is revised. This reflects and contains the Overall Results Framework of the Department and provides the basis for accomplishing the subsequent forms. A primary ORF should be done which provides the overall plan for the entire PDP plan period. This ORF provides the cumulative plan targets. Annual ORFs can be done as a means of reflection if there are revisions on the indicator baseline and targets based on updated information. And also as a result of assessment reports and changes in the organisation's priorities and resource/budgetary allocations. Updated Overall Results Framework reflects these changes in baseline and target values, if any. This explains the reason for the original and revised columns.

The instructions for filling up form 1 are detailed below.

- 1. Name** - in this case, the Department of the Interior and Local Government.
- 2. Period Covered** - state the period being covered by the Results Framework. The primary ORF should cover the six-year period of the Philippine Development Plan. The ORF should also be updated or accomplished in yearly or annual slices consistent with performance and budgetary allocations and process.
- 3. Hierarchy of Objectives** - the first column refers to statements reflecting the hierarchy of objectives. This consists of the following objective levels:
  - a. Impact** - state the societal level development objective of the country as stated in the Philippine Development Plan.

A sectoral (Governance) impact may also be stated which reflects DILG's contribution to the societal impact.

- b. Outcome** - state the desired and realistically achievable change in behaviour, capacity and condition of the beneficiaries or users of DILG's services or deliverables. These beneficiaries are primarily the LGUs and intermediaries such as the CSOs, the People's Organisations and other support organisations. OUTCOMES should be stated from the perspective of the beneficiaries/users of DILG's services.

Examples:

- “Local Governance in xx LGUs improved.”
- “Delivery of basic services in fourth and fifth class municipalities in the depressed regions improved.”

One or more outcomes may be stated depending on the complexity or nature of the organisation’s mandate or the complexity of the intervention. At the departmental level, one or several outcomes may be stated if the mandate or the services being provided by the organisation would lead to distinct and separate results. DILG’s mandate is primarily on GOVERNANCE concerns. This OUTCOME is also a DEVELOPMENT OUTCOME.

An OUTCOME that is often times overlooked and neglected is the OUTCOME on the internal workings of the organisation. Hence, a separate OUTCOME on organisational efficiency and effectiveness should be included. This OUTCOME should be reflective of the extent to which DILG has improved delivery of its services to its external beneficiaries.

Outcome statements should be stable throughout the period of the intervention or the plan period.

**c. OUTPUTS** - state the goods and services being provided by DILG to its identified beneficiaries based on its mandate. The DBM uses the term Major Final Outputs defined as goods and services provided to external beneficiaries. The statement of the OUTPUTS should be from the perspective of the provider of services. Example: “Technical assistance and capacity building services to improve participatory planning and budgeting processes provided.”

Outputs or services that benefit DILG’s internal constituents may include the following examples: “HRD plans developed; Data-based management systems established; Results-based Monitoring and Evaluation system designed and mainstreamed etc.” The beneficiaries or users of these are the staff/personnel of DILG. These outputs lead to the following OUTCOME: “Internal organisational efficiency and effectiveness improved.”

**d. Major Activities** – state the major tasks and measures to accomplish the Outputs. These would include the various programs and projects of

DILG that are being implemented in support of DILG's regular functions or major tasks that are undertaken to accomplish outputs of big ticket programs/projects.

- e. Assumptions and Risks** - at the relevant levels state the important external conditions or factors that will affect positively or negatively the realisation of the objectives. The assumption or risks must be placed at the proper level of the objectives hierarchy.

Example of an ASSUMPTION affecting the accomplishment of the OUTCOME statement: "Local leadership's commitment to participatory planning is maintained." This assumption should be placed at the level of OUTPUT. Assumptions are positive statements while risks are stated as a negative condition. Example of RISK: "Unstable commitment of local leadership."

- f. Indicators** - In this column, state the unit of measurement, index or metrics that will be used to measure accomplishment of the objective. Indicators should clarify what is actually meant by the objective. Example: "x % of CMs fully complying with the Full Disclosure Policy (FDP)." The indicators should be numbered or coded.
- g. Baseline** - state the starting value of the indicator prior to the intervention. This initial value can be updated and should be reflected in the overall M&E Plan. Example: "50 % of CMs complied with FDP in 2010."
- h. Overall Target** - state the overall or cumulative target, where relevant, in terms of quantity, quality, location and when or timetable for accomplishing the target. The targets maybe updated or revised but this should be justifiable, based on assessment reports and approved by the concerned authorities. The revised targets should be reflected in the M&E Plan. Example: "100% of CMs complied with the FDP in 2014."

**Complete indicator statement: "In 2014, 100% of CMs have complied with FDP."**

- i. Means or Sources of Verification** - state how or where the evidence of accomplishment can be validated in terms of the means and the sources of information/data. Examples: Statistical reports, census surveys, performance reports that are done regularly, studies undertaken.



- j. Major Cost Items** - this could be the place where budget estimates of major cost items are specified, such as salaries and wages, MOOE and Capital Outlays.
- k. Prepared by** - refers to the Lead Office/ Service/ Bureau/ Program/ Project directly responsible for the preparation and finalisation of the ORF. The process should have already entailed consultation with management and have generated consensus among pertinent officials. Only then will the Head of Office or Bureau signs and reflects the date of signing.
- l. Endorsed by** - the relevant Undersecretary signs and reflects the date of endorsing this to the Secretary. Prior to endorsement, the Undersecretary consults with the other senior officials and gets their agreement on the ORF.
- m. Approved by** - The Secretary affixes his signature and reflects the date of signing.

In the process of preparing the ORF, consultations are also being held with the different offices and programs and projects at central and field levels. The planning process is neither top down nor bottom up since the process is primarily iterative and re-iterative. Thus, even during the preparation of the ORF, the implementing offices are already preparing their RFs. The timing can be the same although the finalisation and official adoption of the lower level results framework will have to wait until the Final ORF is prepared and approved by the Secretary, because of the cascading effect of the ORF on the lower level RFs. The timetable for the preparation and updating should be before budget preparations. The results framework should serve as the basis in preparing the budget.

**RbME Form 1-A  
OBSUs, Programs/Projects and Attached Agency (AA) Results Framework**

Name: \_\_\_\_\_  
 Location (Central Office/Region/other areas where office is located): \_\_\_\_\_  
 Period Covered: \_\_\_\_\_

Hierarchy of Objectives	Indicators	Baseline	Overall Target	Means/Sources of Verification	Assumptions/ Risks
Outcome/s: (Indicate hierarchy of outcomes if applicable)					
Outputs 1. 2...etc.					Output to Out-come:
Major Activities 1.1 1.2...etc 2.1 2.2...etc	Major Cost Items:				Activities to Outputs:
Prepared by: Position Signature and Date	Endorsed by: Position Signature and Date	Approved by: Position Signature and Date			

***Form 1-A as accomplished is also a static form unless this is officially revised.***

- 1. Name** - refers to the name of the concerned implementing office (also includes offices that primarily perform staff functions or services).
- 2. Location** - refers to the place where the office is located i.e. Central Office or in the regions. If in the region, specify city/municipality, province and region.
- 3. Period Covered** - specify the plan period covered by the results framework
- 4. Hierarchy of Objectives** - refers to the different levels of objectives of the concerned OBSUs, P/P and AA.
- 5. Outcome** - derived from the relevant Outputs under the ORF and stated as a change in behaviour or condition on the part of the envisaged external beneficiaries of the concerned OBSUs/Programs/Projects and Attached Agency. The field offices and programs and projects may have an outcome that may reflect outcomes at the department level. There could be more than one outcome based on the analysis of the situation and the desired intervention results.
- 6. Outputs** - refers to the goods and services or deliverables of the OBSUs/Programs/Projects and Attached Agency to accomplish the outcome. These outputs could be derived from the Major Activities under the ORF. The OUTPUTS should be numbered e.g. 1, 2 etc.
- 7. Major Activities** - these are the more specific measures and tasks that are to be conducted and performed to accomplish the Outputs. The Activities should similarly be numbered depending on the number of the relevant OUTPUT. Thus, 1.1, 1.2, 1.3 etc. for OUTPUT 1 and 2.1, 2.2, 2.3 etc. for OUTPUT 2.
- 8. Assumptions and Risks** - state the important external conditions that will positively and negatively influence the accomplishment of objectives at the relevant levels.
- 9. Indicators** - state the units of measurement or indices or metrics to clarify and specify the objectives and to provide the basis for monitoring progress towards results. The indicators should be able to cover the substantive content and intent of the objectives.
- 10. Baseline** - state the start-up value of the indicator. This could be updated or revised as new information comes in.

- 11. Overall Target** - state the overall or cumulative target in terms of, when applicable, quantity, quality, location and timetable. Similarly, the targets can be updated based on assessment results but the changes should go through the usual approval process and conveyed to the Planning Service/M&E Division for subsequent updating of the ORF.
- 12. Means/Sources of Verification** - state how and where to provide evidence that the indicator targets have been accomplished.
- 13. Major cost items** - make an estimate on what are the cost requirements of the interventions at activity level. These may include salaries and wages, MOOE and capital outlays, if any. These could be updated accordingly based on budget approvals.
- 14. Prepared by** - Bureau/Division/Units, P/P and AA responsible for finalising the results framework and signed by Heads of offices with the date.
- 15. Approved by** - The Undersecretary or Official supervising the OBSUs, P/P and Attached Agency signs and puts the date. (In some cases, the Secretary could be the Supervising Official).

**RbME Form 2**

**Overall RbME Plan**

Name: \_\_\_\_\_  
 Period Covered: \_\_\_\_\_  
 Monitoring Period: \_\_\_\_\_

Hierarchy of Objectives	Indicators	Baseline		Overall Target					
		Original	Revised (If any)	1 <sup>st</sup> Sem		2 <sup>nd</sup> Sem		Total	
				Original	Revised (if any)	Original	Revised (if any)		
Outcome(s): <i>(Indicate Developmental and Organizational Outcomes)</i>									
Outputs 1. 2....etc.									
Major Activities 1.1 1.2...etc. 2.1 2.2...etc.									
<b>Prepared by:</b> Position	<b>Endorsed by:</b> Position			<b>Approved by:</b> Position					
<b>Signature of Date</b>	<b>Signature and Date</b>			<b>Signature and Date</b>					

## RbME Form 2: Overall M&E Plan

The overall M&E Plan provides the basis for monitoring of the Department-wide results framework and reflecting changes or adjustments made from the original baseline and target values. It should immediately follow the finalisation of the ORF. The Plan also indicates the planned targets on a periodic basis. Accompanying this M&E plan are the more detailed documents such as the indicator documentation sheets and the data collection sheets. Even before the preparation of the M&E plans, other documents such as those mentioned above should already be done. The M&E Plan should be completed and submitted during the first quarter to be on time for the semestral assessment report submission in July of the same year.

1. **Name** - state the name of the Department
2. **Period Covered** - specify the Plan period as reflected in the Results Framework
3. **Monitoring Period** - specify the monitoring year and period, for example, 2015
4. **Hierarchy of Objectives** - the levels of objectives
5. **Outcome/s** - copy from the ORF
6. **Outputs** - copy from ORF
7. **Major Activities** - copy from ORF
8. **Indicators** - copy from the ORF (changes are to be reflected under baseline and planned targets)
9. **Baseline** - state the initial values as originally determined and as revised. Revisions may happen if there were reservations on the data during the planning phase. The revised should show the refinement done if any.
10. **Overall Target** - specify the overall target of each indicator. This column is divided into two semesters, indicating in each sub-column, the original and revised targets. The total of both semesters are summarised in the last sub-column.
11. This form should indicate the preparer, endorser and approving authority as shown in Form 1. The Secretary may delegate the approving authority to an Undersecretary.

**RbME Form 2-A  
OBSUs/Programs/Projects and Attached Agency RbME Plan**

Name: \_\_\_\_\_  
 Period Covered: \_\_\_\_\_  
 Location: \_\_\_\_\_  
 Monitoring Period: \_\_\_\_\_

Hierarchy of Objectives	Indicators	Baseline		Quarterly Targets								Overall Target					
		Original	Revised (if any)	Q1		Q2		Q3		Q4		Original	Revised (if any)				
				Original	Revised (if any)	Original	Revised (if any)	Original	Revised (if any)	Original	Revised (if any)						
Outcome(s) (Indicate hierarchy of outcomes if applicable)																	
Outputs 1.0 2.0...etc.																	
Major Activities 1.0 Name of Output 1.1 1.2...etc. 2.0 Name of Output 2.1 2.2...etc.																	
<b>Prepared by:</b> Position																<b>Approved by:</b> Position	
<b>Signature of Date</b>																<b>Signature and Date</b>	

**NOTE: For Programs/Projects, if the requirement is to report on a monthly basis, the above form should be accomplished in four (4) separate quarterly sheets divided monthly. Thus, Programs/Projects are required to prepare four (4) Form 2-A.**

### ***RbME Form 2-A: M&E Plan at Lower Level Implementing Offices***

The M&E Plan of the OBSUs, P/P and the AA should be prepared immediately after the results frameworks have been prepared and officially approved. Similarly, this can be done immediately after the preparation of Form 1-A. Updates on the M&E plan can be done after the results of the assessment report are known and feedback.

This form is to be accomplished by the OBSUs, P/P and Attached Agency on a quarterly basis to provide the basis for monitoring. Except for providing quarterly targets and original and revised data information, most fields, particularly under the objectives hierarchy column can be copied from Form 1-A. Monthly reports may be requested at the projects level. In this case separate quarterly forms should be done divided on a monthly basis. For the sake of uniformity, projects are still required to indicate quarterly targets by summing up the three monthly targets within the quarter.

- 1. Name** - name of the concerned OBSUs/Programs/Projects and Attached Agency
- 2. Period Covered** - the Plan Period
- 3. Location** - copy from Form 1-A
- 4. Monitoring Period** - specify the relevant monitoring period covered by the M&E Plan.
- 5. Hierarchy of Objectives** - copy from column 1 of Form 1-A.
- 6. Indicators** - specify indicators as in Form 1-A using the appropriate codes.
- 7. Baseline** - copy from Form 1-A indicating the original values and revised baselines, if any.
- 8. Quarterly and Overall Target for the monitoring period** - specifies the quarterly and total target for the year. Specify original and revised targets for each quarter. On the last column, sum up the targets, indicating the original and revised targets.
- 9.** Specify the preparer, endorser and approving officials as reflected in Form 1-A including the relevant dates.





**RbME Form 3**  
**Overall Assessment Report**

Name: \_\_\_\_\_  
 Period Covered: \_\_\_\_\_  
 Reporting Period: 1<sup>st</sup>/2<sup>nd</sup> Sem for YYYY (indicate relevant semester)

Hierarchy of Objectives	Indicators	Baseline	Overall Target (current)	Overall Target for <YYYY>			Accomplishment for <YYYY>			Deviations		Reasons for Deviation	Assessment	Implications/Steering Measures
				1 <sup>st</sup> / 2 <sup>nd</sup> Sem	TOTAL	As of YYYY	1 <sup>st</sup> / 2 <sup>nd</sup> Sem	TOTAL	As of YYYY	TOTAL	As of YYYY			
Outcome/s (Indicate hierarchy of outcomes if relevant)														
Outputs 1. 2...etc.														
Major Activities 1.0 Name of Output 1.1 1.2...etc. 2.0 Name of Output 2.1 2.2...etc.														
Narrative Assessment of Important Assumptions and Risks:														
Overall Assessment:														
Recommended Actions for Senior Management (Assistant Secretary, Undersecretary or Secretary):														

**Form 3: RbME Overall Assessment Report**

This form reflects the assessment of the overall performance of the Department based on the reported performance at the level of the OBSUs, P/P and AA. It provides the cumulative analysis and assessment of the likelihood of meeting outcome objectives at the ORF level. It is accomplished after receipt of forms 3-A from the lower implementing levels, i.e. OBSUs, AAs, and Programs/Projects.

1. **Name** - state the name of the Department
2. **Period Covered** - Indicate the Plan period as in Form 1
3. **Reporting Period** - indicate relevant semester
4. **Hierarchy of Objectives column, indicators, baseline and overall target for the plan period** - data to be placed here follow the same fields as in RbME Form 2.
5. **Overall target for monitoring year** (as reflected in item 3 above) specify the semestral, total and cumulative target for the year.
6. **Sub-column under the 1st/2nd semester heading** - indicate the relevant semester. Below the heading, specify the value of the indicator's target for the semester.
7. **Total** - the total target for the specified monitoring year (or the sum of 1<sup>st</sup> and 2<sup>nd</sup> semester). If the semestral target cannot be determined, then specify only the yearly target.
8. **As of <YYYY>** - specify the reporting period and below the heading, the cumulative target as of the year reported.
9. **Accomplishment for <YYYY>** - specifies the semestral, total and cumulative accomplishment for the reporting year.
  - a. **1<sup>st</sup> sem/2<sup>nd</sup> sem** - indicate in the heading the relevant semester. Below the heading, specify the value of the indicator's target for the semester
  - b. **TOTAL**- the total accomplishment for the specified year or the sum of both semesters. If the semestral breakdown cannot be determined, indicate only the yearly target.
  - c. **As of <YYYY>** in the heading, specify the reporting period as in item 2 above. Below the heading, specify the cumulative accomplishment as of the year reported.
10. **Deviations**- any positive or negative deviations.
  - a. **Total** - total deviation (total accomplishment less yearly target of the year.
  - b. **As of YYYY** - this is the reported cumulative accomplishment less the cumulative target of the year.
11. **Reasons for deviation** - specify the reason for positive or negative deviation.
12. **Assessment** - a narrative assessment of performance. Depending on the extent of deviation or progress, assessment of the likelihood of accomplishing results should always be included.
13. **Implications on Steering Measures** - cite or specify mitigation measures that may be proposed for appropriate action on the part of the relevant management level if there are serious deviations. Otherwise, the interventions may run its due course.
14. **Narrative Assessment of Important Assumptions and Risks** - each of the important assumptions should also be assessed on the basis of the assessment results to find out what actions need to be taken, if there are assumptions/risks that are influencing the deviations.
15. **Overall Assessment** - The Planning Service, being the lead in this undertaking, prepares an overall assessment of performance based on careful analysis and validation of the reports from the various OBSUs, P/P and AA; and, from consultations with the direct beneficiaries and important stakeholders.
16. Negative and positive effects can be cited as well as some unforeseen side effects.
17. Based on the overall assessment, recommend measures for senior management's decision/action.
18. Provide name, position, office of the officials involved in preparing, endorsing and approving the assessment report and date of signing and submission. Prior to sending the report to the Secretary, all senior officials must have already been consulted and views incorporated in the report.

**RbME Form 3-A**  
**OBSUs/Programs/Projects and Attached Agency Assessment Report**

Name: \_\_\_\_\_  
 Period Covered: \_\_\_\_\_  
 Reporting Period: 1<sup>st</sup>/2<sup>nd</sup>/3<sup>rd</sup>/4<sup>th</sup>/for YYYY (indicate relevant quarter for a specific year)

Hierarchy of Objectives	Indicators	Baseline	Overall Target for entire period	Overall Target for Quarter			Accomplishment for Quarter			Deviations For Quarter		Reasons for Deviation	Assessment	Implications/ Steering Measures
				1 <sup>st</sup> /2 <sup>nd</sup> /3 <sup>rd</sup> /4 <sup>th</sup> Q	TOTAL	As of YYYY	1 <sup>st</sup> /2 <sup>nd</sup> /3 <sup>rd</sup> /4 <sup>th</sup> /Q	TOTAL for Q	As of YYYY	TOTAL	As of YYYY			
Outcome:														
Outputs 1. 2...etc.														
Major Activities 1.0 Name of Output 1.1 1.2...etc. 2.0 Name of Output 2.1 2.2...etc.	Use separate sheets.													
Narrative Assessment of Important Assumptions and Risks:														
Overall Assessment:														
Recommended Actions for Senior Management (i.e. Director/Assistant Secretary, Undersecretary)														
Prepared by:	Endorsed by:	Approved by:												
Position	Position	Position												
Signature and Date	Signature and Date	Signature and Date												

*NOTE: For programs/projects, the above form should similarly reflect and report on the monthly performance based on the monthly targets specified in Form 2-A. For the sake of uniformity, P/Ps should still do a cumulative quarterly report as required.*

**RbME Form 3-A: Assessment Report of Lower Level Implementing Offices**

This form provides an assessment of how the OBSUs, P/P and AA are performing based on their respective indicator targets for the reporting period. Compared with Form 3, the data fields are the same although the information contained in Form 3-A constitutes the details of the Overall Assessment Report. The accomplished forms are submitted to the Planning Service for overall assessment. Depending on official arrangements, copy is also submitted to the Supervising Undersecretary or the Office of the Secretary. Since these reports are to be consolidated and validated at the appropriate levels, it is important that the reports must be submitted as scheduled. Based on the results of the assessment, if there are major deviations, re-planning can be done following the prescribed Timetable.

1. Some data fields are the same as in Form 2-A and instructions for filling up have been provided. This refers to the Name, Location, Period Covered and Reporting Period.
2. Similarly, the instructions provided under Form 3 for the overall assessment report are the same for this form except that the information to be provided can be copied from Form 2 A as explained below:
  - a. **Hierarchy of Objectives** (same)
  - b. **Indicators** (same except when there are changes from the original which should not happen anyway)
  - c. **Baseline** (reflect the updated or revised if any)
  - d. **Overall Target** (Cumulative as revised if any, if not, reflect the original value)
  - e. **Overall Target for the Reporting/monitoring period** (may vary from period to period)
  - f. **Indicate the relevant semester** (1st or 2<sup>nd</sup>)
  - g. **Total of quarterly or monthly targets** ( for P/P as maybe required) (if no quarterly breakdown, specify the total for the reporting period)
  - h. **As of YYYY** - specify the reporting period and the cumulative target as of the year reported.
3. **Accomplishments for the YYYY** - specify the reporting year/monitoring period broken in terms of all quarters, total of all quarters if any or total accomplishments for the year.
4. **As of YYYY** - specify the reporting period and the cumulative accomplishment as of the year reported.
5. **Deviations** - Any negative or positive deviations
  - a. **Total**- total deviation is reported quarterly or monthly for P/P. Total accomplishment minus total target for the reporting period.
  - b. **As of YYYY**- this is the reported cumulative accomplishment less the cumulative target for the reporting period.
6. **Reasons for deviation** - specify the reasons for positive and negative deviation.
7. **Assessment** - a narrative assessment based on the results of performance at the different objective levels, unforeseen side effects, either negative or positive. An assessment of the likelihood of accomplishing results especially at outcome level must be given.
8. **Implications for steering measures** - specify the implication of or steering measures to mitigate or resolve any issue or any negative deviation.
9. **Narrative assessment of Important Assumptions and Risks** - Important assumptions and risks should be assessed on the likelihood that they will adversely affect the accomplishment of the planned targets, particularly, at the results levels. This should be the basis for closely monitoring them and identifying mitigating measures.
10. **Overall Assessment** - the implementing offices prepare an overall assessment of performance not only considering the results of the current assessment report but also looking beyond the results to explore other factors affecting performance. It might be possible that there are other benefits generated that have not been captured by the accomplishment based on planned targets.
11. **Recommended Actions** - Actions to mitigate the problematic situation, if any, are specified for management decision.
12. The Office or division/unit preparing the report, the endorser and the approving official sign the report with the respective dates and submit to Planning Service for appropriate action. A copy is also provided to the Supervising Undersecretary of the concerned implementing office.

# Annex D

## **Revisited DILG Overall Results Framework**



## Revised Overall Results Framework (ORF)

Name : Department of the Interior and Local Government (DILG) Period Covered: _____					
Hierarchy of Objectives	Indicators	Baseline (starting value)	Overall Target (target accomplishment at end of Plan Period)	Means/Sources of Verification	Assumptions/Risks
<b>IMPACT</b>					
Poverty in multiple dimensions reduced and massive quality employment created.				PSA reports on poverty and employment indicators	
<b>OUTCOMES</b>					
LGUs adopt and apply transparency and accountability practices in their official transactions and in the workplace.	% or number of PCMs fully complying with Full Disclosure Policy (FDP)  % of PCMs passing the SGLG core areas			Annual Performance Reports	Government public sector management reforms continued.  Poverty reduction as a government priority is seriously and coherently implemented.
LGUs build capacity for disaster resiliency and adaptability to climate change conditions/situations	% of target LGUs officially issuing policies, and integrating DRRM and CCA principles and practices in their development plans % of target LGUs implementing DRRM and CCA programs and projects.				



Hierarchy of Objectives	Indicators	Baseline (starting value)	Overall Target (target accomplishment at end of Plan Period)	Means/Sources of Verification	Assumptions/Risks
<p>LGUs adopt business friendly and competitive policies and practices (as incentive to the private sector and constituents).</p>	<p>No. of SMEs locating, continuing or expanding business operations in the target LGUs. No. or % of target LGUs officially adopting regulatory frameworks and standards in doing business (e.g. building and occupancy permits and licenses etc.)</p>				
<p>LGUs adopt and implement social protection and security policies, programs and projects, particularly for their vulnerable and marginalised constituents.</p>	<p>% or no. of target LGUs including social safeguard policies and relevant programs/projects in their development/investment plans/programs % or no. of target LGUs completing DILG-assisted social infrastructure projects increasing access of depressed communities and HHs.</p>				
<p>DILG improves organisational efficiency and effectiveness in the performance of its mandated development functions, responsibilities and commitments.</p>	<p>Above average or 80% satisfaction rating of DILG (LG sector) throughout the plan period. Increased compliance to Citizens' Charter Increased compliance to Good Governance Conditions Reduced COA Audit Observation Memorandum DILG accomplishes its commitments under its results framework consistently over the Plan period</p>				

Hierarchy of Objectives	Indicators	Baseline (starting value)	Overall Target (target accomplishment at end of Plan Period)	Means/Sources of Verification	Assump-tions/Risks
<b>OUTPUTS</b>					
1.0 Good governance standards/criteria set and applied on target LGUs	Approved good governance standards/criteria in place by xxx. No. of PCMs assessed on Good Governance Standards/Criteria No. of PCMs applying good governance standards in their workplace				Harmonised Government efforts in providing assistance to the LGUs. Com-mitment of LGU leadership assured. LGU absorptive capacity remains high.
2.0 Relevant capacity building and technical assistance services (on the outcome areas) provided/extended to the LGUs and intermediaries (e.g. CSOs, POs, Leagues etc.)	No. or % of LGUs reached or accessed for pertinent capacity-building/TA services for responsive and participatory governance. No. or % of target LGUs demonstrating improvements in the process and quality of policy/plan formulation, project planning, management and implementation (consistent with national government priorities and standards of good governance.)				
3.0 Access to financial resources in the form of subsidies, loans, grants and other financing modes for social infrastructure and other basic services facilitated.	No. or % of target LGUs extended assistance in accessing financial assistance and subsidies from the national government and other financing sources No. or % of assisted LGUs granted financial assistance No. or % of LGUs assessed using PCF criteria No. or % of LGUs awarded with financial incentives under the PCF				

Hierarchy of Objectives	Indicators	Baseline (starting value)	Overall Target (target accomplishment at end of Plan Period)	Means/Sources of Verification	Assumptions/Risks
4.0 Information dissemination/communication technologies/systems and advocacy services for LGUs provided.	No. or % of LGUs provided with important information to raise/ increase awareness on and support for national government programs/projects				
5.0 Systems/processes for efficient and effective implementation and management (of outcome areas) in place e.g. SPMS, Results based M&E, PPMS, IT/ MIS, administrative, human resource development, financial management, Performance Audit etc.	Essential internal management systems established as planned Management systems in manual forms operationalised Management systems regularly evaluated and upgraded				
Major Activities 1.1 1.2...etc 2.1 2.2...etc	Major Cost Items:				

# Annex E

**Project Results Frameworks Cascaded from the Overall Results  
Framework for a Unified Effect**



# ANNEX E - PROJECT RESULTS FRAMEWORKS CASCADED FROM THE OVERALL RESULTS FRAMEWORK FOR A UNIFIED EFFECT

## DILG Overall Results Framework (ORF)

Hierarchy of Objectives	Indicators	Means/Sources of Verification	Assumption/Risks
<b>IMPACT</b>			
Poverty in multiple dimensions reduced and massive quality employment created.			
<b>OUTCOMES</b>			
LGUs adopt and apply transparency and accountability practices in their official transactions and in the workplace.			
LGUs build capacity for disaster resiliency and adaptability to climate change conditions/ situations			
LGUs adopt business friendly and competitive policies and practices (as incentive to the private sector and constituents).			
LGUs adopt and implement social protection and security policies, programs and projects, particularly, for their vulnerable and marginalised constituents.			
DILG improves organisational efficiency and effectiveness in the performance of its mandated development functions, responsibilities and commitments.			

## Project Results Frameworks

Local Governance Performance Management System – Seal of Good Local Governance (LGPMS-SGLG)			
Hierarchy of Objectives	Indicators	Means/Sources of Verification	Assumption/Risks
<b>OUTCOME</b>			
LGUs, NGAs and other concerned organisations utilise the Local Governance Performance Management System (LGPMS) results as bases for policy decisions, strategic planning and budgeting of development programs, projects and other governance initiatives.			
<b>OUTPUTS</b>			
1.0 Local Governance Performance Dashboard and Thematic Performance Profiles generated			
2.0 LGUs that meet the criteria for the Seal of Good Local Governance (SGLG) identified and conferred.			
3.0 LGPMS-Stewardship awards conferred to regional personnel and offices.			

Recovery Assistance on Yolanda (RAY) – DILG Fund			
Hierarchy of Objectives	Indicators	Means/Sources of Verification	Assumption/Risks
<b>OUTCOME</b>			
LGUs adapted and updated their facilities to typhoon-resilient structures (bring back better).			
<b>OUTPUTS</b>			
1.0 Completion of rehabilitation/ reconstruction by 146 LGUs of government infrastructure facilities (damaged by Typhoon Yolanda), with BBB design facilitated.			
2.0 Technical assistance (TA) to LGUs for the effective and efficient utilisation of funds provided			
3.0 Systems for the effective and efficient M&E of RAY established.			

Enabling Environment for Business Friendly and Competitive LGUs (EE-BFCL) Project			
Hierarchy of Objectives	Indicators	Means/Sources of Verification	Assumption/Risks
<b>OUTCOME</b>			
LGUs adopt and implement enabling policies, plans and mechanisms that improve business practice and increase investment and employment.			
<b>OUTPUTS</b>			
1.0 Technical assistance/ training for LGUs on developing/ updating enabling business policies and plans provided.			
2.0 Technical assistance on organisation and capacity development of LEDIP Team/Office provided.			
3.0 Advocacy on ICT innovations in support of e-BPLS automation conducted/facilitated.			
4.0 Technical assistance on strengthening LGU Alliances for Economic Development provided.			
5.0 Project Management, Monitoring and Evaluation conducted.			

Payapa at Masaganang Pamayanan (PAMANA)			
Hierarchy of Objectives	Indicators	Means/Sources of Verification	Assumption/Risks
<b>OUTCOMES</b>			
Policy foundation and pertinent programs and sub-projects for peace, reconstruction and development in conflict-vulnerable areas are adopted and implemented at pertinent LGU levels.			
Social infrastructure and basic social services that strengthen connectivity/ access in conflict-affected areas substantially improved in 2016.			
<b>OUTPUTS</b>			
<b>Pillar 1</b>			
1.0 Policy reform and program/project priorities in support of government's peace and development agenda in conflict affected areas are issued and disseminated to the LGUs			
<b>Pillar 2</b>			
2.0 Implementing policy guidelines for peace and development prepared for adoption by the conflict-affected LGUs.			
<b>Pillar 3</b>			
3.0 Capacity-building and technical assistance services on pertinent project preparation, implementation and management areas provided. (Specific nature of TA to be identified under major activities or in the Work Plan)			
4.0 Construction of basic social infrastructure services/facilities (e.g. roads, potable water system and other related social infrastructure) by the LGUs facilitated.			
5.0 Resources/subsidies for sub-project financing efficiently disbursed and managed.			
6.0 Implementation and/or construction by the LGUs of approved sub-projects are efficiently and effectively monitored and evaluated			



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