

**Kingdom of Belgium  
Ministry of Foreign Affairs, Foreign  
Trade and International Co-operation**

**Office of the Special Evaluator  
International Co-operation**

**Design Framework of a  
Performance Monitoring and Evaluation System  
for the Belgian International Co-operation  
- Selective Methodological Aspects -**

**Excerpts of the PMES Base Report**

**by**

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" What Gets Measured Gets Done "

*From: Osborne, D., and Gaebler, T.; "Reinventing Government"; 1992.*

## List of Acronyms and Abbreviations

AIE	Authorisation to Incur Expenditures
BSF	Belgian Survival Fund
BTC-CTB	Belgian Technical Co-operation
BZ	Ministry of Foreign Affairs (Buitenlandse Zaken)
C&I	Control and Inspection
CEU	Commission of the European Union
CFY	Current Financial Year
CIDA	Canadian International Development Agency
DAC	Development Assistance Committee (OECD)
DG	Directorate-General / Director-General
DGIC	Directorate-General for International Co-operation
DKII	(Overall) Development Key Impact Indicator
DR	Development Relevance
EU	European Union
EUR	Euro Currency
FY	Financial Year
HRD	Human Resources Development
HRM	Human Resources Management
IC	International Co-operation
ICI	Internal Control and Inspection
ICT	Information and Communication Technology
IEC	Information, education and communication
IM	Information Management
INA	Information Needs Assessment
IPOMC	International Partner Organisation for Multilateral Co-operation
IS	Institutional Strengthening
IT	Information Technology
FA	Foreign Affairs
KAP	Knowledge, attitude and practice
KII	Key Impact Indicator
LAN	Local Area Network
LDC	Least Developed Country
LFA	Logical Framework Analysis
LGU	Local Government Unit
LogFrame	Logical Framework
M&E	Monitoring and Evaluation
MBO	Management by Objectives
MFA	Ministry of Foreign Affairs, Foreign Trade and International Co-operation
MIS	Management Information System
MOV	Means of Verification
MTR	Mid-Term Review
NGO	Non-Governmental Organisation
OD	Organisational Development
ODA	Official Development Assistance
OECD	Organisation for Economic Co-operation and Development
OSE	Office of the Special Evaluator
OOIP	Objectives Oriented Intervention Planning (also: DIP)
OVI	Objectively Verifiable Indicator
PASOR	PMES Automated Standard Output Reports (PASOR)
PCM	Programme / Project Cycle Management
PLA	Participatory Learning Appraisal
PME	Performance Monitoring and Evaluation

PMES	Performance Monitoring and Evaluation System
PMES-1	Development Scheme Identification and Key Indicators Matrix
PMES-3	Scheme Quarterly Performance Monitoring Report
PRA	Participatory Rural Appraisal
PRIMA	Process Integrated Management
QC	Quality Control
QPR	Quarterly Progress Report (PASOR report type)
QPMR	Quarterly Performance Monitoring Report
RBM	Results Based Management
SIM	Strategic Information Management
SKII	Sectoral Key Impact Indicator
SKIM	Scheme Key Indicators Matrix
SNPC	Système de Notifications des Pays Créanciers (Creditor Reporting System)
SOP	Standard Operating Procedure
SWOT	Strengths, Weaknesses, Opportunities & Treats (analysis)
TA	Technical Assistance
TIS	Training Information System
TNA	Training Needs Assessment
TQM	Total Quality Management
TR	Trend Analysis Report (PASOR report type)
UN	United Nations
UNDP	United Nations Development Programme
UoM	Unit of Measurement
WAN	Wide Area Network

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# 1. Introduction

## Background and Rationale

In the latter part of 2000, a special study on “Participatory Design of a Performance Monitoring and Evaluation System for the Belgian International Co-operation” was commissioned by the Special Evaluator International Co-operation of the Belgian Ministry of Foreign Affairs, Foreign Trade and International Co-operation as part of the Special Evaluator’s work plan for the year 2000 approved by the Belgian Parliament.

A comprehensive report on this assignment under the same title was submitted by the consultants in March 2001. The assignment was a truly participatory exercise involving the main stakeholders of the Belgian International Co-operation from both the public sector and civil society. The design framework of the proposed Performance Monitoring and Evaluation System (PMES) indeed is based on a comprehensive situational analysis and needs assessment of the different institutional actors of the Belgian international co-operation, complemented by a comparative study of a selection of international (both bilateral and multilateral) partner agencies.

The details of the proposed PME system, which is based on the use of key performance indicators (Scheme Key Indicators Matrices – SKIMs), have been worked out based on substantial practical experiences with performance measurement system design, development and operationalisation in government and non-government entities, development projects and programmes in different parts of the world.

Apart from the design aspects, the PMES base report also extensively concentrates on the different aspects of the system’s operationalisation strategy. The different dimensions of a necessary enabling environment of a performance monitoring and evaluation system involving many different partners and stakeholders have been carefully examined to serve as basis for the elaboration of a strategic roadmap for co-operation wide PMES introduction and sustainable operations. This strategic roadmap is a combination of both bottom-up empowerment and top-down capacitating processes targeting all partners and stakeholders at all levels involved in the process.

The co-operation of the different parties, both Government and Non-Government, in the PMES design process has been truly outstanding and the positive reactions, both on an individual basis and more structured on the occasion of different briefing and debriefing workshops, were overwhelming.

It thus appeared that the structured introduction of more systematic performance measurement and management in the Belgian international co-operation is a most timely exercise, not only

answering urgent, felt needs of the central administration, but equally if not more importantly so of the different public sector and civil society actors and partners involved. As such, as it got more strongly appreciated in the process by the different actor stakeholders of the Belgian international co-operation as an instrument to effectively serve their own specific managerial and programme needs, PMES manifested itself more and more strongly as a demand-driven system.

Various requests were received from actor agencies for further methodological clarifications on PMES, for workshops and other human resources development activities on its basics, and even for actual customised system operationalisation. This publication on selective methodological aspects of the design framework of a performance monitoring and evaluation system for the Belgian international co-operation is intended to meet to a certain extent these demands. It is intended to provide a standard reference basis for customised applications.

## **Contents**

As a general introduction, some basics of performance management, monitoring and evaluation are discussed at first. The complementarity of performance management and measurement is stressed, while also the different perceptions of the role of evaluation in performance management are explored. The introductory discussion then focuses on the two main functions of performance measurement with regard to improved (internal) management and enhanced (external) accountability. PMES in this regard is an important tool for both internal and external monitoring & evaluation.

Before moving to the design framework of PMES, which is the heart of the matter, the discussion focuses on the broad spectrum of functions and benefits of the envisioned performance monitoring –and evaluation system at both the level of individual development schemes (activities, projects and programmes) and the consolidated levels of higher aggregate programming (e.g. sectoral, geographical, thematic, actor-based, etc.) and overall programmes and organisations as such.

The core chapter 4 on the PMES design framework is sub-divided in four inter-related sections. The first one concentrates on the two base performance management instruments underlying PMES as performance measurement system. Both are already being used or are presently in the process of being introduced with most parties in the Belgian international co-operation, namely: the Logical Framework (LogFrame) on the one hand and Programme/Project Cycle Management (PCM) on the other. Objectively Verifiable Indicators (OVIs) as backbone of both management tools and of the envisioned overall PME system are given special attention.

From the perspective of the three E's of performance management (Economy, Efficiency and Effectiveness), a summary, schematic outline of the proposed Performance Monitoring and Evaluation System is presented in the second system design chapter. Also discussed in this chapter is the list of basic underlying principles of the system. The discussion on the system's two base reporting forms (PMES-1 and PMES-3) is quite extensive for it enables to elaborate on the different practical features and organisational aspects of the system. In a fourth chapter, PMES as outputs oriented system is substantiated by the presentation of a series of standard

output reports the system would automatically generate to facilitate enhanced decision making, partnerships and transparency at the different programme managerial levels (operational, tactical and strategic).

The gradual, co-operation wide introduction strategy of the envisioned PME system is elaborated in the PMES base report. In the present publication, the main principles are revisited of such implementation strategy, while also a strategic roadmap is presented in Gantt chart format. The necessary enabling environment for an operational PMES, having served as basis for the PMES stakeholder analysis and needs assessment, also serves as basis for drawing the contours of this roadmap framework. In comparison with the PMES base report, this methodological publication focuses more explicitly on the participatory and ownership aspects of the system by the local stakeholders. This is a field which is currently being studied more explicitly and is scheduled to be the subject of a forthcoming, successor methodological publication on PMES.

### **Acknowledgements**

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Special words of thanks in first instance go the Office of the Special Evaluator International Co-operation for the continued support to the assignment, particularly since this not always has been possible in the most conducive circumstances. Also the co-ordination with the DGIC central administration, its Special Commissioner, Management Committee and the numerous officers contacted is hereby acknowledged with many thanks. So are the exchanges of views and co-ordination with the different actor agencies, dynamically facilitated by the responsible units in BTC-CTB, VLIR and CIUF, 11.11.11 and CNCD, Coprogram and Acodev, VVOB and APEFE.

Especially mentioned should be the Management Cell of the BSF for actively supporting PMES piloting in the strategic perspective of overall system introduction through the Belgian international co-operation. In the same venue, the overall support of the Cabinet of the Secretary of State for Development Co-operation is hereby acknowledged with many thanks.

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And last but not least, special words of thanks go to the co-organisers and participants in the different workshops who made these exercises truly successful events of brainstorming and ideas sharing, so crucial for participatory PMES system design, development and effective operationalisation.

## 2. Some Basics of Performance Management, Monitoring and Evaluation

### 2.1 Performance Management and Measurement

#### Public Sector Reform as Overall Framework

Over the past ten to fifteen years, there has been increasing pressure on governments around the world to demonstrate the economic, efficient and effective use of public resources. Public concern for national debt reduction, good governance, a declining confidence in political leadership, growing demands for better and more responsive services, better accountability for achieving results with taxpayers' money, the globalization of the economy are amongst the driving factors towards public sector reforms that have become prevalent in many OECD countries. "Reinventing government", "Doing more with less" or "Demonstrating value for money", and the like have become popular catch phrases describing the drive for these public sector reforms.

In a 1999 comparative study<sup>1</sup> on the reforms in governmental development co-operation agencies towards Results-Based Management, prepared in connection with the 32<sup>nd</sup> meeting of the Organisation for Economic Co-operation and Development – Development Assistance Committee (OECD-DAC) Working Party on Aid Evaluation, it was concluded that while there have been variations in the reform packages implemented in the OECD countries, there are also *common aspects* found in most countries, including:

- Focus on performance issues (e.g. efficiency, effectiveness, quality of services);
- Devolution of management authority and responsibility;
- Orientation to customer needs and preferences;
- Participation by stakeholders;
- Reform of budget processes and financial management systems;
- Application of modern management practices

Reportedly, the most central feature of the reforms has been the emphasis on improving performance and ensuring that government activities achieve desired results. A study of the experiences of ten OECD member countries with introducing performance management showed that it was a key feature in the reform efforts of all ten.<sup>2</sup>

## Performance Management and Measurement

*Performance Management*, also referred to as Results Based Management (RBM), can be defined as a broad management strategy aimed at achieving important changes in the way public or private sector agencies operate, with improving performance (achieving better results) as the central orientation.

*Performance measurement* is concerned more narrowly with the production or supply of performance information, and is focused on technical aspects of clarifying objectives, developing indicators, collecting data on results (including effects and impact) and processing these into information useful for decision making and other managerial purposes. It therefore is equally concerned with generating management demand for performance information, thus with its uses in programme, policy and budget decision-making processes and with establishing organisational procedures, mechanisms and incentives that actively encourage its use<sup>3</sup>. In an effective performance management system, achieving results and continuous improvement based on performance information is central to the management process.

Performance measurement concerns the *process* an organisation follows to objectively measure how well it is meeting its stated objectives. It typically involves several phases: e.g. articulating and agreeing on objectives, selecting indicators and setting targets, monitoring performance (collecting data on achievements) and analyzing those achievements vis-à-vis the preset targets (which eventually are periodically updated upon due authorization).

What distinguishes performance measurement from previous techniques is a more *holistic view of public sector management*. Systems take account of the wider political and strategic environment; the management of policy and executive functions; the accountability of personnel; the technical problems of defining indicators of performance; and the need for transparent dealings with stakeholders and clients / beneficiaries.

As performance measurement systems *mature*, greater attention is placed on measuring what is important rather than what is easily measured. Organisations that emphasize accountability tend to emphasize performance targets, but too much emphasis on “hard” performance targets can potentially have dysfunctional consequences, because being felt by defensive managers as too threatening. Those that focus on management improvement may place less emphasis on setting and achieving targets but require effectively functional systems to demonstrate steady improvement in the measured results. Such organisations also tend to build in flexibility mechanisms for periodically updating targets following changes in scheme environmental conditions and/or a more realistic assessment of what is “achievable” with the limited resources available within a certain timeframe and context.

The envisioned *Performance Monitoring and Evaluation System for the Belgian international co-operation (PMES)* is designed as a performance measurement system in the broader framework of performance management / results based management.

## 2.2. The Role of Evaluation in Performance Management

### The OECD Findings

For the OECD Development Assistance Committee (OECD-DAC)<sup>4</sup>, evaluation clearly is a performance-oriented instrument and should therefore be seen as a part of a wider performance management framework. It concluded that many governments have introduced comprehensive approaches for managing performance of government organisations, but that the relations between evaluation and performance management are not always clear.

In part, this is because evaluation was well established in many governments (particularly in the field of the official development assistance) before the introduction of performance management was introduced, while the new performance oriented approaches did not necessarily incorporate evaluation. New performance management techniques were developed partly in response to perceived failures of evaluation: for example, that uses of evaluation findings were limited relative to their costs. Moreover, evaluation was often viewed as a specialized function carried out by external experts or independent units, whereas performance management, which involves reforming core management processes, was essentially the responsibility of managers within the organisation.

The result was that evaluations were often perceived as rather academic exercises with limited use for actual programme (both strategic and operational) management. This perception is strengthened by the timing in the programme cycle evaluations usually have been undertaken so far: mostly ex-post, after termination of the scheme or at a very late stage when problems have accumulated so much that the obvious choice is to discontinue or abandon the derailed intervention since strategic corrections or re-orientations would be too costly or simply not possible anymore.

### Three Main Approaches

The OECD Public Management Committee (PUMA)<sup>5</sup> furthermore clarifies that the “failure to consider and clarify relations between evaluation and performance management can lead to waste, duplication, conflicting signals about aims and results, and tensions among organisations and professional groups. Most governments see evaluation as a part of the overall performance management framework, but the degree of integration will depend on the role of evaluation. There seem to be three main approaches, summarized in the box on the next page.

The *first approach* sees evaluation as relative independent from performance management, even if it relies on performance measurement and other information produced through performance management. The base perspective is that performance management is like any other management process within an organisation that has to be subjected to evaluation. Too much integration of evaluation and performance management would undermine the capability of evaluation to assess the quality of performance management and to make useful suggestions

on how to improve it. Integration would also undermine the necessary independence of the evaluation function.

### **Approaches to the Integration of Evaluation and Performance Management**

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1. Evaluation is seen as a separate and independent function, with clear roles vis-à-vis performance management;
2. Evaluation is seen as a separate function but integrated with performance management;
3. Evaluation is not seen as a separate function but integrated with individual performance management instruments.

The *second approach* puts less emphasis on independence but sees evaluation as one of the many instruments used in the overall performance management framework. Evaluation can be superior to other instruments in a number of respects. It allows for more in-depth study of performance than performance measurement. It can cover a longer period; incorporate factors that are difficult or expensive to assess through ongoing measurement, such as outcome or impact assessment; and analyze causes and effects in more detail, bringing performance into its proper context. Evaluation can be used to give a comprehensive image of the performance of a programme or organisation, as opposed to the somewhat fragmented picture given by other approaches. In this approach, evaluation is organised as a separate function to ensure expertise and is used selectively and periodically to produce key information not produced through other processes. The cost of conducting evaluations means that they will have to be limited to the most important programmes or organisations.

The *third approach* emphasizes the benefits of incorporating evaluative methods into individual performance management instruments. There are many examples of this. Performance information can be analysed, interpreted and evaluated; extensive benchmarking studies often involve considerable evaluation of factors that explain differences in performance; evaluation is one of the key elements of strategic management (e.g. evaluating key factors in the environment, SWOT analyses); performance contracts are evaluated periodically; and quality management approaches often involve self-assessment. The basic perspective here is that evaluation should be an ongoing activity, integrated into key management processes.”

The OECD Public Management Committee concludes that “these three approaches are not mutually exclusive, i.e. a government can use more than one approach. The second approach has clearly been gaining momentum. Despite this, some degree of independent evaluation capacity

is being preserved, notably in performance audits carried out by audit offices. There is growing awareness about the benefits of incorporating evaluative methods into key management processes. However, most governments see this as supplementing rather than replacing more specialized evaluations.”

### The PMES Position

The PMES study commissioned by the Special Evaluator International Co-operation subscribes to the above general conclusion as far as the preferred situation with regard to the Belgian international co-operation is concerned. Although recognizing the rationale of a special, independent evaluation office, particularly also in view of the explicit legal provisions concerned of the Law of 25 May 1999 re-organising the Belgian International Co-operation, the overall design of the Performance Monitoring and Evaluation System (PMES) described in the PMES base report is more in accordance with the second and third approaches, *integrating (internal) evaluation as an intrinsic component of both overall corporate management and individual schemes management.*

*The PMES base report<sup>6</sup>, on which the present publication is based, recommends a functional complementarity in the Belgian international co-operation of:*

- (1) performance measurement (referred to as performance monitoring and evaluation in the framework of the design of a performance monitoring and evaluation system), and;*
- (2) internal control and inspection, and;*
- (3) special external evaluation and control.*

The *complementarity of these three functions* is focused on in chapter 8.1 “organisational and institutional aspects” of the PMES base report on a gradual, phased introduction of a co-operation wide Performance Monitoring and Evaluation System. As can be gleaned from the organigrammes concerned, it is suggested to institutionally translate this complementarity of functions at the overall aggregate level of the Belgian international co-operation in three organisational entities, administratively independent from each other but functionally complementary and mutually reinforcing (the suggested “PMEO-ICI-OSE triangle” of a Performance Monitoring and Evaluation Office, Internal Control and Inspection Office, and the Office of the Special Evaluator International Co-operation).

## 2.3. Performance Management and Accountability, Internal and External Monitoring & Evaluation

### Macro and Meso Perspectives

In accordance with the findings of the OECD report<sup>7</sup>, the introduction of performance management appears to have been driven by *two key aims or intended uses*: management improvement on the one hand and performance accountability on the other.

In the first, the focus is on making programme and service improvements via continual feedback of performance information and lessons learned into management decisions. A special type of management improvement is savings, or achieving value for money by selecting lowest cost alternatives for producing results. In the second, emphasis shifts to holding managers accountable for achievement of specific planned results or targets, and to transparent reporting of those results. In practice, organisations tend to favour or prioritise one or the other of these objectives. To some extent, these aims may be conflicting and entail somewhat different management approaches and systems.

When performance information is used for reporting to external stakeholder audiences, this is sometimes referred to as *accountability-for-results*. Government-wide legislation or executive orders often mandate such reporting. Moreover, such reporting can be useful in the competition for funds by convincing a sceptical public or legislature that an agency's programmes produce significant results and provide "value for money". Annual performance reports may be directed to many stakeholders: for example, to ministers, parliament, auditors or other oversight agencies, customers and the general public.

When performance information is used in internal management processes with the aim of improving performance and achieving better results, this is often referred to as *managing-for-results*. Such actual use of performance information has often been a weakness of performance management in the OECD countries.

*Too often, government agencies have emphasised performance measurement for external reporting only, with little attention given to putting the performance information to use in internal management decision-making processes.*

For performance information to be effectively used for management decision-making requires that it becomes *integrated* into key management systems and processes of the organisation,

such as: policy formulation, strategic planning, programme or project management, financial and budget management, and last but not least human resources management.

Of particular interest is the intended use of performance information in the budget process for *improving budgetary decisions and allocation of resources*. The ultimate objective is ensuring that resources are allocated to those programmes that achieve the best results at least cost, and away from poor performing activities. Initially, a more modest aim may be simply to estimate the costs of achieving planned results, rather than the cost of inputs or activities, which has been the traditional approach to budgeting.

### **Intervention Level Perspectives**

Performance measurement differs from the traditional evaluation practice in that it is a *continuous process of performance self-assessment* undertaken by the programme/project delivery partners (in co-ordination with the stakeholders) or by the programme managers at higher aggregate levels.

The *traditional approach* has been to schedule mid-term and end-of-term evaluations that are, generally, formative and summative in nature. These types of evaluations are typically conducted by external evaluators who are mandated to execute terms of reference set out by the party commissioning the evaluation, which not only guides but also controls the evaluation process. The evaluation exercise is often imposed on the other stakeholder groups as an administrative requirement. Because of the short timeframe within which to conduct these evaluations and a lack of familiarity the evaluators usually have with the programme/project implementation challenges, evaluations have tended to focus on management processes and not the achievement of developmental effects and impacts. Furthermore, evaluation recommendations are all too often written in an opaque manner so as not to offend the stakeholder groups. Evaluation research has shown that the utility value of traditional evaluations has been very low for programme / project delivery partners and other stakeholder groups.

Within a *performance management / results based management* context, *performance measurement* is customized to respond to the performance information needs of programme / project managers and stakeholders. Since the stakeholders are involved in one aspect or another of measuring performance, the information that is generated is more accessible and transparent to the users. Performance measurement is also more results-oriented, because the focus is on measuring progress made towards the achievement of development results. Consequently, the performance information generated from performance measurement enhances learning and improves management decision-making at the operational, intervention level.

At the heart of the performance management / results based management approach is performance measurement. When performance measurement is undertaken on a continuous basis during implementation, it *empowers managers and stakeholders* with "real time" information

about the use of resources, the extent of clients / beneficiaries reach and the achievement of developmental results.

### **The Broad Functionality of the Envisioned PMES**

**The functionality of the envisioned *Performance Monitoring and Evaluation System for the Belgian international co-operation* is geared towards a facilitation of both enhanced performance management and enhanced accountability in a balanced manner.**

**The system therefore has equally important internal and external monitoring & evaluation functions. These dual system functions pertain to all programme levels:**

- (1) and - the *micro* level of the individual development schemes;**
- (2) and - the *meso* levels of programme aggregations on a sectoral, geographical, actor or thematic basis,**
- (3) and - the *overall macro* level of the entire Belgian development co-operation.**

Moreover, the envisioned PMES provides for the necessary critical link between these different levels by means of aggregations based on the use of key performance indicators (key Objectively Verifiable Indicators – key OVIs) and facilitated by a computerised database system.<sup>8</sup> as will be more elaborately explained in Chapter 4 hereafter on the system's design framework.

### 3. Benefits of an Operational PMES

In general, the main benefits of performance measurement in the public sector are related to its main objective of supporting better decision-taking leading to improved outputs (results, effects and impact) for the community. According to the OECD<sup>9</sup>, these include:

- Improvement of performance of an organisation from the point of view of economy, efficiency, effectiveness, cost-effectiveness and quality of service;
- Improvement of control mechanisms for managers and ministers and accountability mechanisms for external reviewers such as auditors and legislators;
- Strengthening of the budgetary process by providing decision-takers with new kinds of information which allow them to make linkages between performance and budget;
- Motivation of staff to improve performance.

The *main benefits* of an effectively operational Performance Monitoring and Evaluation System for the Belgian international co-operation are related to the two fundamental functions of performance monitoring and evaluation outlined in the preceding chapter:

- ⇒ **As management tool facilitating rational decision-making**
- ⇒ **As accountability assurance instrument**

A performance monitoring and evaluation system in first instance is a managerial tool, *servicing internal managerial and organisational purposes*. The envisioned PMES for the Belgian International Co-operation fully subscribes to this positive connotation. PMES will be designed, developed and operationalised in such way as to maximise these managerial capacity strengthening potentials to the fullest extent possible.

These PMES potentials are relevant to both the *individual* development schemes level on the one hand and the *aggregate* programme and corporate levels on the other hand. Herein lies one of the major strengths of the envisioned PME system based on the use of SKIMs, Scheme Key Indicator Matrices.

Based on practical experiences with PME system development and operationalisation, a *schematic overview of PMES* benefits for both individual scheme and corporate, aggregate levels is presented on the next pages.

### **PMES Benefits at Individual Scheme Level**

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- ➔ In first instance as effective management tool for regular, internal self-assessment and improvement, and not simply or solely instrumental for auditing or external monitoring purposes;
- ➔ Updated information on the status of scheme implementation available with scheme management and stakeholders at any time;
- ➔ Reporting of essential performance information only, resulting in a substantial reduction of reporting workload;
- ➔ Systematic comparison of achievements against targets, facilitating schemes to be on track as planned;
- ➔ Early warning function / early detection of problems enabling early corrective actions and/or problem reporting to appropriate hierarchical levels or third parties for early action to be taken;
- ➔ Makes trend analyses (analyses over a period of time) possible;
- ➔ Makes fast decision-making possible based on objective, relevant, summary information;
- ➔ Focuses the scheme on the achievement of results and objectives (results based management) instead of on mere activities only (traditional activities management);
- ➔ Is a *conditio sine qua non* for evaluations and other in-depth assessments;
- ➔ It motivates scheme staff and provides a basis for individual staff performance appraisal;
- ➔ Facilitates information exchanges between scheme management and staff on the one hand and the general public and special stakeholders on the other hand;
- ➔ Can help improve scheme credibility and secure resources necessary to maintain and/or enhance schemes.

## **PMES Benefits at Higher Aggregate and Organisational Levels**

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- ➔ Makes performance aggregations at higher levels possible, e.g.:
  - (sub)-sectoral
  - geographic
  - thematic
  - actor/organisation/donor specific
- ➔ Makes computerised external programme monitoring and supervision possible;
- ➔ Makes automated performance reporting possible in a succinct way, with all benefits its brings with it in terms of reporting workload reduction;
- ➔ Facilitates increased transparency and accountability to all stakeholders;
- ➔ Ensures improved performance information dissemination (feedback and feed-forward);
- ➔ Provides a regularly updated objective basis for supervisory and executive decision-making;
- ➔ Facilitates easy reporting to executive entities, both within and external to the organisation;
- ➔ Is an empowerment instrument for the local, field levels and for the partner stakeholders;
- ➔ At the same time, it facilitates objective external control in a cost-effective and cost-efficient manner;
- ➔ Contributes to improved communication between the different hierarchical levels of the organisation;
- ➔ Contributes to improved communication between the different institutional actors and the central administration;
- ➔ Facilitates accountability to the general public (tax payers) and their elected representatives (parliament).

## 4. Design Framework of a Performance Monitoring and Evaluation System for the Belgian International Co-operation

### Scope of PMES Coverage

The Performance Monitoring and Evaluation System (PMES) has been designed from the perspective of its usefulness and relevance for the *entire Belgian International Co-operation*. PMES therefore is envisioned to cover all schemes (“ontwikkelingsprestaties” or “prestations de développement”) which are recognised by the Development Assistance Committee (DAC) of the OECD as Official Development Assistance (ODA). This means that PMES is aimed at covering the development co-operation actions of actors as different as:

- multilateral organisations;
- Non-Governmental Organisations;
- the Belgian Technical Co-operation (BTC-CTB) as executing agency of the Belgian direct bilateral programmes;
- universities and special scientific institutes;
- development organisations with a special statute as VVOB and APEFE;
- and other actors of the Belgian international co-operation.

Clearly, a standardised performance measurement system able to cater to the managerial needs of such different parties will necessarily have to present itself as a kind of common denominator, which all parties can subscribe to, however still able to avoid the danger of becoming mediocre in operational terms or toothless in managerial, supervisory terms.

It is also understood that, confronted with such huge task, any system design and operationalisation should focus on a gradual, phased introduction of systems operations, at first on a pilot basis only.

### The Strategic Design Basis

Nevertheless from the very onset, as with any complex design process, the envisioned PME system should be designed on a maximalist basis from the perspective of its final objective and overall targets. Such strategic perspective is necessary from the start in order to ensure compatibility and solid integration of all envisioned system components. Piloting exercises can be built in to test the system and/or any of its components. Also, different time-tables for system introduction and operationalisation can be observed for different actors, ensuring system flexibility to maximally fit customers’ intrinsic characteristics and specific needs. It is obvious however that minimum standardisation and quality assurance rules and regulations do apply, regardless

the outlook of actor specific customisation, in order to ensure the system's overall applicability to all official development actions.

#### **4.1. LogFrame and Programme Cycle Management as Base Management Instruments**

One of the basic principles of PMES design is the old - but more relevant in the present days than ever - saying that there is *no use of reinventing the wheel*. On the contrary, PMES maximally builds on existing insights, practices and methodologies in use at the level of the actors and/or in the Directorate General for International Co-operation (DGIC) of the Ministry of Foreign Affairs, Foreign Trade and International Co-operation. PMES system design therefore is firmly rooted in the situational analysis of existing practices and plans with regard to performance monitoring and evaluation in the Belgian co-operation.

##### **Maximum System Anchoring in Existing Methodologies and Practices**

Throughout the Belgian international co-operation, there appears to be widespread consensus on the validity and usefulness of two main instruments of performance management, namely:

- the logical framework (LogFrame) analysis (LFA), and;
- project / programme cycle management (PCM).

Efforts have been intensified in the Belgian co-operation lately to combine both instruments into one strategic management tool. The PRIMA (Process Integrated Management) methodology adopted by the Directorate-General for International Co-operation (DGIC) in 1999 is one such effort. But PRIMA is also innovative in another way since it makes this methodology mandatory for all direct bilateral co-operation (through BTC-CTB) and recommendable for all other international co-operation. Also in the NGO Five Year Programmes and Annual Action Plans, systematic efforts are noted to enhance the quality of logical frameworks and business plans as part of a drive to effectively promote results oriented management (instead of the traditional activities management so far). In the University co-operation, human resources development activities with regard to programme cycle management have been given a more systematic basis.

##### **PMES as Innovative Instrument**

PMES maximally builds on the LogFrame and PCM as strategic management tools. It combines both instruments and brings the ensuing novel instrument even one step further, right in the ambit of performance measurement and management. The innovative dimensions of PMES therefore are:

- (1) the combination of different management tools into one integrated strategic management tool based on performance measurement and analysis;

- (2) the emphasis on systematic approaches and on standardization of M&E reporting procedures and instruments and its benefits in terms of cost-efficiency and cost-effectiveness;
- (3) the focus on effective operationalisation of these tools and approaches (e.g. the special attention for the different dimensions of the enabling environment of a strategic information system as PMES, including HRD requirements).

### **PMES and Performance Planning and Management**

PMES' emphasis on a systematic, effective use of tools as the LogFrame and PCM also stems from the empirical insight that performance measurement is not possible without effective performance management practice. One cannot do without the other. They are as the two sides of the same coin.

The other element is that performance monitoring and evaluation is not possible without performance planning. In the PCM framework, planning on the one hand and monitoring and evaluation on the other are closely linked to each other.



In PMES the above interrelations are even prominently present in the standard forms, whereby the PMES-1 form relates to the scheme preparation (with prominent scheme planning aspects) and PMES-3 is the performance monitoring instrument during (and to a limited extent also ex-post) implementation. One of the participants in a PMES briefing workshop<sup>10</sup> even suggested in this framework to rename PME (performance monitoring and evaluation) into PPME (performance planning, monitoring and evaluation).

#### **4.1.1. The Logical Framework**

The Logical Framework (LogFrame) is an analytical tool developed in the 1970s by a number of development agencies and, in general, has become increasingly popular with development agencies, donor and financing institutes ever since. It appears however that overall the enthusiasm for the instrument has experienced a cyclic movement with an upward popularity lately as a result of a more dynamic dimension added to it by complementary instruments as business plans and performance monitoring and evaluation systems.

## Definitions and Terminology

The *European Commission* (EC) defines the LogFrame as a "method [which] consists of an analytical process and a way of presenting the results of this process, which makes it possible to set out systematically and logically the project / programme's objectives and the causal relationships between them, to indicate how to check whether these objectives have been achieved and to establish what assumptions outside the scope of the project/programme [which] may influence its success".<sup>11</sup>

In its definition, the *World Bank* stresses the LogFrame as a powerful analytical tool and focuses on its necessarily participatory development: "The Logical Framework is a methodology for conceptualizing projects and an analytical tool that has the power to communicate a complex project clearly and understandably on a single sheet of paper. It is a participatory planning tool whose power depends on how well it incorporates the full range of views of intended beneficiaries and other who have a stake in the project design."<sup>12</sup>

As stipulated in the above definitions, it cannot be underscored enough that the LogFrame presentation is the result of a process, which necessarily is *participatory* involving the main stakeholder groups concerned, in order to make the instrument effectively valid, relevant and useful as management tool for the implementation / execution of the development action in the later phases of the integrated programme/project cycle.

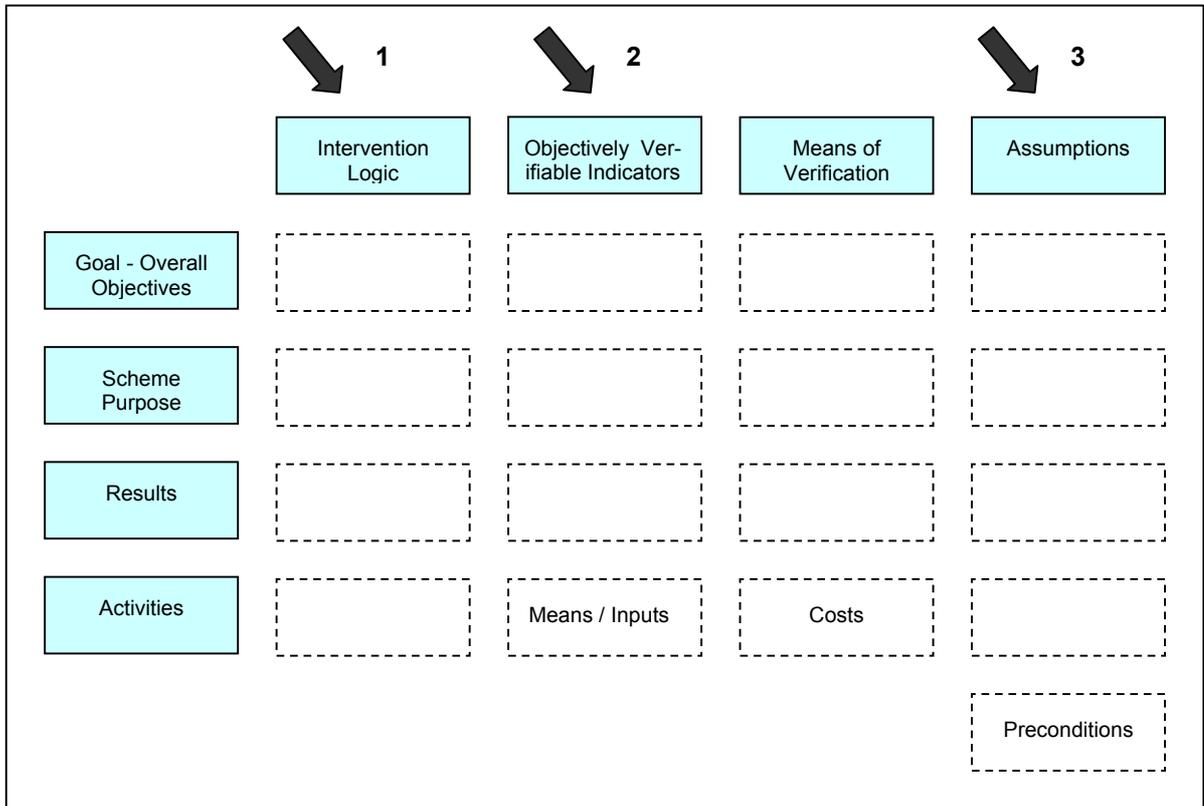
## The LogFrame Matrix

The *popularity* of the instrument is mainly due to the logical presentation of the results of the above-defined analytical process in a matrix format, which provides a nutshell overview of the entire intervention. Secondly, both the horizontal rows (intervention logic) and the vertical columns are conceptualized in such way as to form the basis for the different chapters of a programme/project document or financing agreement. Its third main functionality is related to its crucial role in guiding each of the subsequent phases of the integrated programme cycle. Unfortunately, this latter aspect has often not been utilized to the full, since in many cases the LogFrame has been viewed by both implementing and executing agencies as a mere mandatory formality – if not inconvenience - for obtaining programme funding from the donor or financing agency. In many cases, once drawn-up and integrated in the formal programme document / financing agreement, the LogFrame has never been effectively used thereafter as an active management instrument, instrumental for both day-to-day and strategic management.

For our purposes of performance management, monitoring and evaluation, it might be good to have a closer look at the matrix presentation format of the LogFrame, with its vertical and horizontal axes, and to determine the main components of particular relevance for a strategic information system as the Performance Monitoring and Evaluation System (PMES) for the Belgian international co-operation.

The essential feature of the Logical Framework for performance management is that it explicitly places each and every scheme input and activity in the ambit of the achievement of results and the attainment of both scheme (purpose) and higher developmental (goals) objectives. This

mechanism is illustrated by the *vertical intervention logic* of the LogFrame, indicated by arrow 1 in the below visual presentation. The LogFrame therefore, both in theory and de facto, is a potentially powerful performance management instrument.



The Logical Framework matrix not only brings internal management factors in the overall performance equation, but makes due provision for the effective incorporation in this equation of external factors which are largely beyond the control of the scheme manager(s). This mechanism is indicated by the third arrow in the above LogFrame matrix and refers both to the *assumptions* at each level of the intervention logic and to the even more fundamental *preconditions* to the whole intervention scheme itself (necessary conditions which have to be fulfilled before the start of the scheme for it to have any change of even successfully taking off).

Particularly for environments which are unstable, unpredictable and highly volatile as in the case of most development schemes, it might be easily averred that *risk management* is as important as performance management in the narrow sense of scheme internal factors. For development schemes therefore, risk management cannot be de-linked from performance management. On the contrary, risk management provisions necessarily need to be integral part of overall performance management. Hence, performance measurement systems need to make due provisions for the incorporation of risk analysis, if not risk measurement. Based on this insight, further substantiated by empirical evidence, some development agencies as the Canadian International Development Agency (CIDA) go as far as making risk measurement a virtually equally important instrument for performance management as performance measurement<sup>13</sup>.

### **The Crucial Role of OVIs**

The Logical Framework however is more than an analytical instrument focusing on results and attainment of objectives (arrow 1), taking into consideration external factors influencing / inhibiting this process (arrow 3). It provides for tools to effectively assist the implementors - the managers, external supervisors and other stakeholders including the clients-beneficiaries - in objectively assessing / measuring on a regular basis if the scheme is effectively on track in achieving the results and objectives as planned.

Arrow 2 in the above presentation points at this backbone of both the LogFrame and a PME system as strategic information system : *Objectively Verifiable Indicators* (probably better known under their abbreviation : OVIs). OVIs form the critical link between a strategic management instrument as the LogFrame and a strategic information system as the envisioned Performance Monitoring and Evaluation System (PMES). They are the integrating mechanism of performance measurement within / for effective performance management.<sup>14</sup> OVI's are the tool "par excellence" for performance measurement and, as discussed later, are also the backbone of the envisioned PME System.

### **The LogFrame as Base Instrument of Performance Management**

Based on the above, it can be concluded that the LogFrame matrix is a powerful base instrument for performance management, monitoring and evaluation stemming from a number of inherent characteristics and intrinsic features, which can be summarized as:

1. Schemes are strengthened in their goal, purpose and results orientation: inputs and activities are assessed in the light of their contributing to the successful achievement of the overall goals, scheme purpose and results (in the key result areas);
2. The LogFrame departs from the traditional activities based management of development schemes to focus on results based management;
3. Due to its logical cause-effects structure, the LogFrame automatically invites to an integration of all components and sub-components of the scheme (complementarity and mutually reinforcing effects of results and key result areas);
4. By focusing on the entire vertical logic chain from inputs to long-term objectives (goals), the LogFrame is concerned in a balanced way with the three "E's" of performance management: economy, efficiency and effectiveness;
5. The LogFrame has an explicit focus on development relevance (at goal and purpose level) and on the ultimate target beneficiaries / clients by focusing on the intervention's effects and impact;

6. It incorporates the wider enabling environment of the scheme in the performance equation, thus facilitating risk management (and eventually risk measurement);
7. The use of Objectively Verifiable Indicators (OVIs) facilitates standardisation, measurements and computerization in planning, monitoring and evaluation;
8. As such, the use of OVI's facilitates (sub-)sectoral, geographical, corporate and actor-specific consolidations, analysis and reporting, hence is supportive to rational management at the different aggregate levels (e.g. sub-country, country, sub-regional, regional, continental and world-wide);
9. The use of OVI's facilitates regular, standardized monitoring in an objective and succinct manner (i.e. based on key indicators);
10. It makes both internal and external monitoring & evaluation possible in a more standardized, cost-effective and cost-efficient manner.

It should be noted that although a powerful management tool, the Logical Framework is not a sacro-saint instrument automatically ensuring sound results based management or rational performance monitoring and evaluation. As for the PME information system at large, also for the LogFrame applies that its ultimate usefulness and successful functioning as management support instrument to a large extent depends on the broader enabling environment<sup>15</sup>. As empirically illustrated by a broad number of development schemes all over the world, factors other than LogFrame methodology related will influence the LogFrame's success as tool for improving scheme planning, formulation, implementation, monitoring and evaluation. Amongst such factors can be mentioned: proper planning practice, real problems being addressed, competent and motivated scheme personnel, organisational and institutional capacity, and assurance by the different parties to stick to their commitments.

#### **4.1.2. Programme Cycle Management**

The above issue of real problems being addressed or not by the LogFrame brings the discussion to that other important instrument of rational management of development schemes: integrated Project / Programme Cycle Management (PCM).

The Logical Framework matrix isn't but the visual presentation of the outcome of a, preferably participatory, *process* involving different methodological steps:

1. Problems identification, prioritisation and cause-effects hierarchy establishment;

2. Analysis of the parties involved and of the beneficiaries, target groups, client targeted;
3. Objectives analysis establishing the hierarchy of objectives and illustrating the means-end relationships in a diagram (conversion of negative situations of the problems diagram into positive achievements);
4. Strategy analysis by identifying different clusters of objectives of the same type of which one or more will be chosen as the most pertinent and feasible strategy for the future operation on the basis of a number of criteria;
5. Reflection of the chosen strategy in the first column (intervention logic) of the logical framework matrix;

It is clear from the above that the development of a Logical Framework necessarily is a *dynamic, participatory process*, closely involving the main stakeholders for reasons of enhanced relevance, ownership and sustainability of the ensuing development intervention.

The case specificity of the problems tree and the wide variation in socio-cultural and economic characteristics of the target groups require LogFrame development on a *case-to-case basis*. On the other hand, it is obvious that similar interventions in the same (sub-)sector would be showing similar LogFrame characteristics and contents, particularly at the higher end of the vertical intervention logic (levels of goal, purpose and, to a certain extent also, results). This provides *opportunities for standardization*, particularly with regard to the selection of key indicators.

This characteristic is one of the main elements of the rationale for developing semi-standard *Scheme Key Indicator Matrices (SKIMs)* for schemes in the same sub-sector. The balanced combination of deductive (standard OVIs for schemes in the same sub-sector) and inductive (case-to-case specific OVIs) methods for developing key indicators matrices is one of the main features of the envisioned Performance Monitoring and Evaluation System for the Belgian international co-operation.

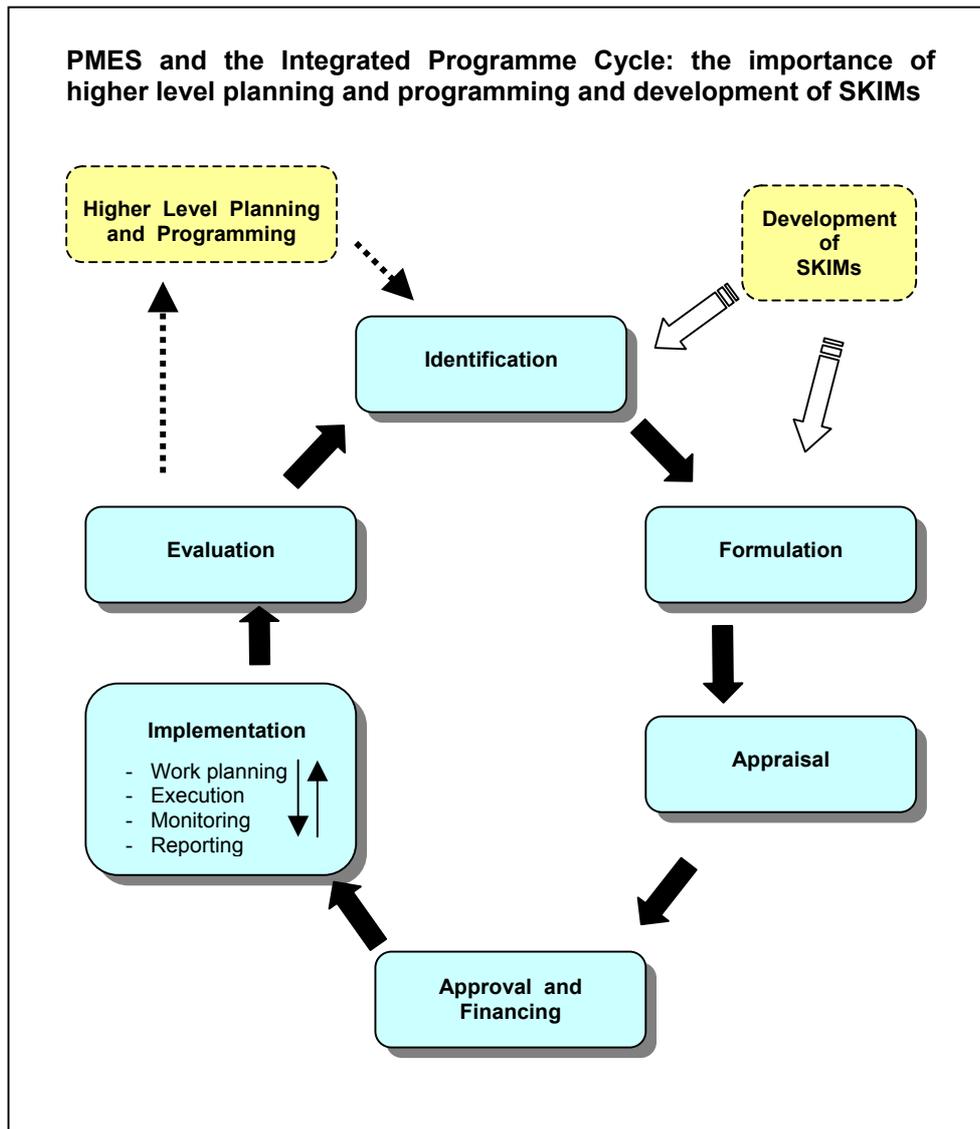
### **LogFrame and Integrated Programme Cycle**

The development of the Logical Framework is a dynamic process. It constitutes one of the main challenges in the *preparation phase* (identification and formulation sub-phases) of a development scheme, regardless if it is an activity, a project, a specific or regular programme.

In addition to it being embedded in the scheme planning, identification and formulation phase, the dynamic perspective of the LogFrame particularly pertains to its relevance for programme *implementation* management and monitoring and for programme *evaluation* (interim reviews, mid-term reviews, end-of-programme evaluations, ex-post evaluations). The LogFrame's relevance as management tool therefore covers the *entire integrated programme/project cycle*.

Unfortunately so far the LogFrame's potentials as management instrument for the entire programme cycle have been utilized to a limited extent only. In many cases the LogFrame simply

has been looked at as an inconvenience, as one of the, externally imposed, formal content requirements of a programme document or financing proposal. No doubt, one of the main challenges of generating a *positive evaluation culture* pertains to instilling at all levels a positive perception of the Logical Framework and of monitoring and evaluation as effective management tools.



The other side of the methodological Programme Cycle Management (PCM) coin is that monitoring and evaluation, and a fortiori performance monitoring and evaluation, can only be meaningfully executed, if the *necessary conditions* have been created for them in the *programme/project preparation phase*. This particularly pertains to the unambiguous definition of objectives, objectively verifiable indicators and target setting (both overall scheme targets and periodic, interim targets for regular performance monitoring).

### Programme Cycle Phases and PME Concerns

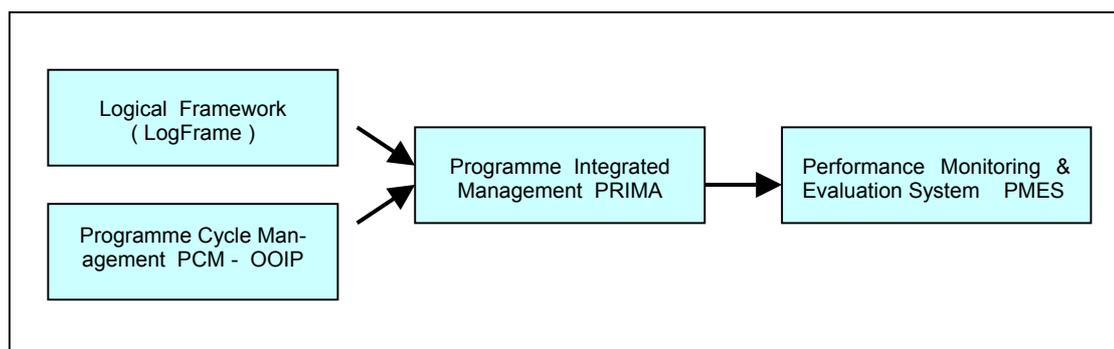
Programme Cycle Phase	Main Performance M&E Concerns
Identification	Formulation of objectives (tree)
Formulation	<ul style="list-style-type: none"> <li>- LogFrame Objectively Verifiable Indicators (2<sup>nd</sup> column)</li> <li>- Target setting on the individual indicators (overall and periodic specific)</li> <li>- Selection of Scheme Key Indicators for performance M&amp;E</li> <li>- Establishment of Scheme Key Indicator Matrix (SKIM)</li> </ul>
Appraisal	Screening of the SKIM (accuracy, relevance, ....)
Implementation	<ul style="list-style-type: none"> <li>- Reporting on achievements / accomplishments in comparison to the periodic specific targets, and as such functional for: <ul style="list-style-type: none"> <li>* Internal monitoring / progress monitoring</li> <li>* External monitoring</li> <li>* Interim evaluations and mid-term reviews</li> </ul> </li> <li>- Periodic tripartite review of plans and updates of LogFrames</li> </ul>
End & Ex-post	Evaluation

### The PRIMA Methodology

The combination of the Logical Framework as analytical model and Programme Cycle Management as its dynamic dimension forms the methodological basis of the Performance Monitoring and Evaluation System (PMES) envisioned for the Belgian International Co-operation. As such, PMES isn't but the logical extension in terms of standardized information system's requirements of the *Process Integrated Management (PRIMA) methodology* recently developed by the Belgian Directorate-General for International Co-operation (DGIC). PRIMA is a management tool recommended for all development co-operation schemes and made mandatory for all direct bilateral co-operation schemes. The DGIC publication concerned<sup>16</sup> mentions in this connection:

*"PRIMA ((Co-operation) Process Integrated Management) concerns an approach which integrates the Logical Framework and elements of the Objective Oriented Intervention Planning (OOIP), which is recommended for all development co-operation schemes<sup>17</sup>."*

As such, the development and integration of the main methodological tools having led to the proposed Performance Monitoring and Evaluation System (PMES) for the Belgian international co-operation can be schematized as follows:



From the above, it is clear that performance monitoring and evaluation is strongly rooted in planning, programming and budgeting processes (the benchmark dimension) and as such builds on management tools as the Logical Framework and Programme Cycle Management.<sup>18</sup>

One of the important practical consequences of this observation is that any relevant and effective human resources development and training programme on performance monitoring and evaluation should necessarily include capacity strengthening in effectively using the Logical Framework and Programme/Project Cycle Management as planning and management tools. An *integrated training package* will need to be worked out for that matter as integral part of any PMES operationalisation plan or programme.

### The Timeliness of PMES Introduction

The necessary embedding of performance monitoring and evaluation in planning and programming processes is also of particular importance for the timing of PME system introduction and operationalisation. For reasons related to the programming cycle, it appears that at present is a crucial timing for PMES introduction in the Belgian International Co-operation:

- *In the Direct Bilateral Co-operation:* the Belgian Technical Co-operation, which is responsible for the execution of the direct bilateral ODA, at the moment is in the process of formulating about 60 to 65 new interventions. This appears a most timely opportunity for establishing the necessary conditions for PME in the later stages of the programme cycles by integrating LogFrames and the proposed standard SKIM format<sup>19</sup> in the formulation documents.
- *In the Indirect Co-operation with NGOs:* the second five-year programme cycle covers the period 2003 – 2007. Preparations for this new cycle are already underway. This therefore appears the ideal moment to promote / regulate the inclusion of LogFrames and standard SKIM formats in the respective programme documents concerned. Piloting of such introduction might be considered.

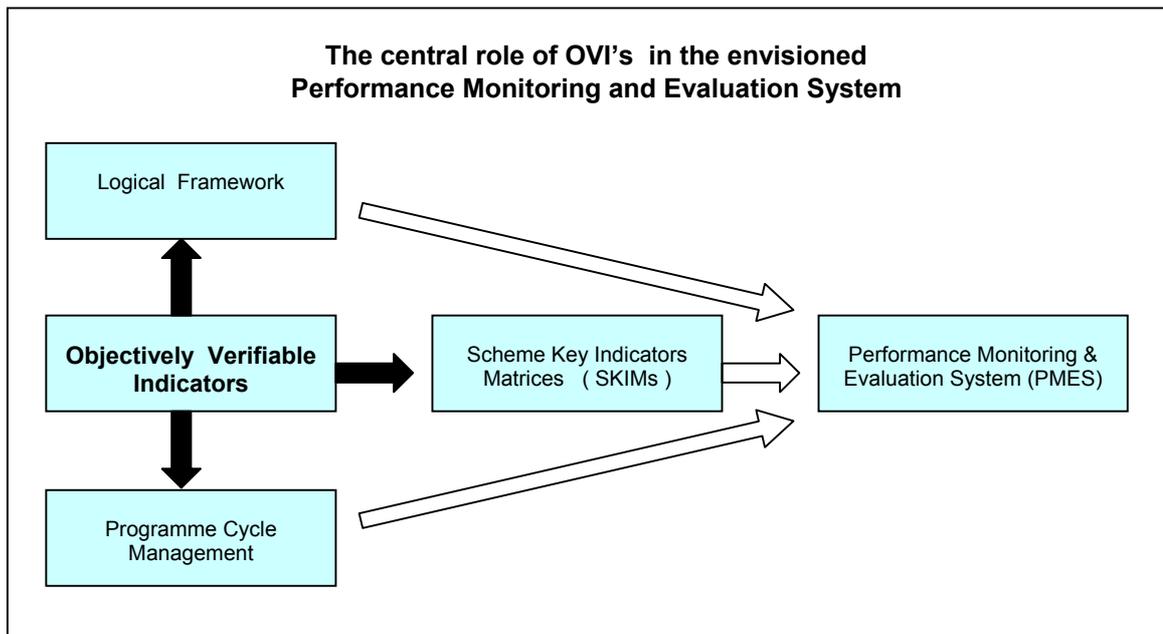
This crucial timing for PMES introduction at present is confirmed by *international experiences*. The Canadian international co-operation (CIDA) for example, one of the pioneers of results

based management / performance management in the sector of international co-operation, asserts that retro-active PME system introduction based on re-fitting of LogFrames, not only is technically and methodologically virtually impossible, but also puts serious doubts on such exercises with regard to cost-effectiveness and cost-efficiency.

#### 4.1.3. Objectively Verifiable Indicators (OVIs)

##### OVI's as System Backbone

Because of the systematic use of Objectively Verifiable Indicators (OVIs), the Logical Framework is an analytical management instrument particularly fit for the design and development of a standardized schemes performance monitoring and evaluation information system. The OVIs *are the cornerstone, the backbone* of such information system.



##### System Flexibility

In the process, the compilation of SKIM key indicators can be changed over time as well as the target setting on them can be adapted following changed internal or external conditions, for as long as these changes are officially approved based on a tripartite consensus amongst:

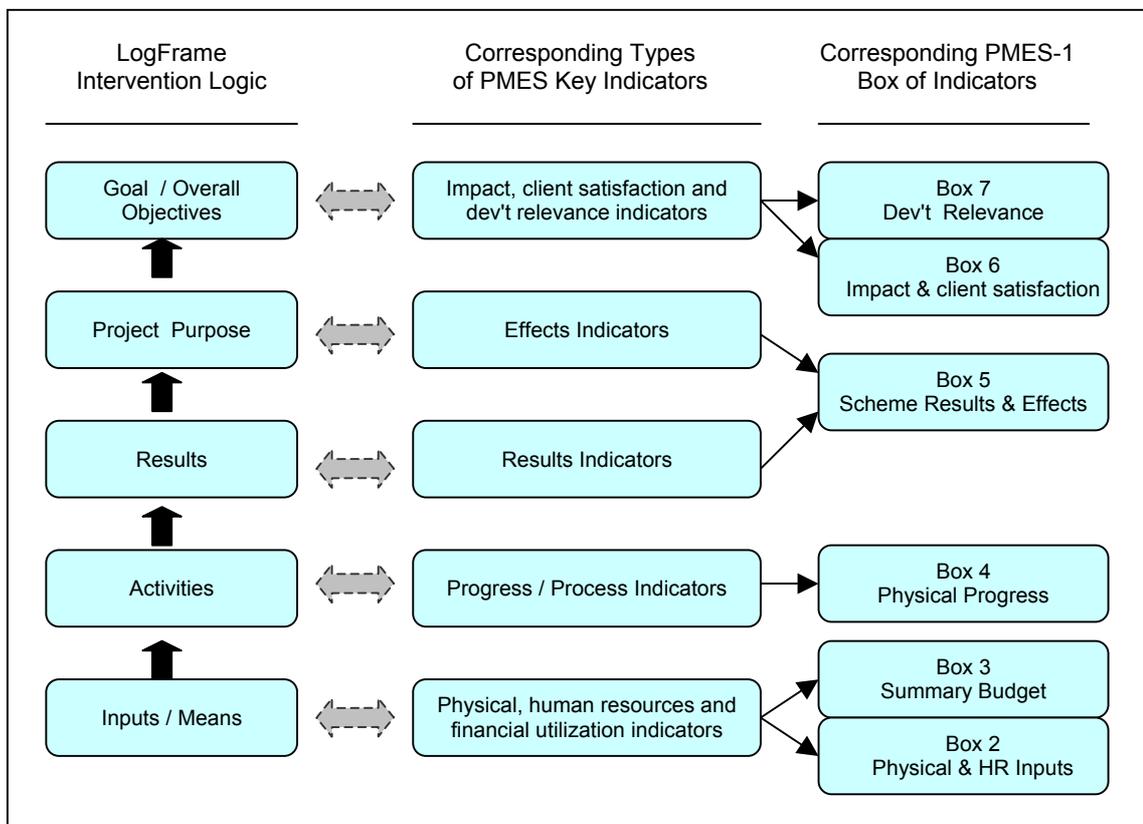
- (1) the financing / donor agency;
- (2) the technical assistance (TA) executing agency, and;
- (3) the recipient / client implementing agency.

Therefore, key indicators also provide the necessary flexibility to the system and break open the rigidity of all too dogmatic planning. In short, OVIs not only make the vertical intervention logic of the LogFrame and its multiple chains of means-ends relations measurable or at least objectively/empirically verifiable. They also provide the LogFrame analytical system with a time framework for effective operationalisation based on intermediate and final benchmarks / targets.

Moreover, through the built-in mechanism of tripartite reviews and updates, the necessary system flexibility is ensured. Hence, Objectively Verifiable Indicators (OVIs) are the *binding cement* between the LogFrame and Programme Cycle Management, thus in turn facilitating (standardized) performance management, monitoring and evaluation.

### LogFrame Intervention Level Specific Indicators

Objectively Verifiable Indicators are defined for each level of the LogFrame intervention logic. Because of the multiple cause-effects or means-ends relationships which exist between the different vertical layers of the LogFrame intervention logic, the sets of Objectively Verifiable Indicators associated with each layer constitute a very powerful instrument for *strategic information management*. The OVIs link results based management with strategic information management in a mutually reinforcing manner. In the envisioned PMES' design for the Belgian ODA, the key OVI's fulfill this important intermediary and facilitating function.<sup>20</sup> This is visualized in the below box<sup>21</sup>.



Also the *World Bank* defines performance indicators in the context of the vertical logic of an intervention, be it rather narrowly confined to "projects" only. Their functionality for both monitoring and evaluation is stressed: "Performance indicators are measures of project impacts, outcomes, outputs, and inputs that are monitored during project implementation to assess progress toward project objectives. They are also used later to evaluate a project's success. Indicators organise information in a way that clarifies the relationships between a project's impacts, outcomes, outputs, and inputs and help to identify problems along the way that can impede the achievement of project objectives."<sup>22</sup>

One of the essential features of the envisioned integrated Performance Monitoring and Evaluation System is the monitoring of the schemes on each of the vertical layers of the LogFrame intervention logic: inputs, activities, results, purpose and goal. For each level, specific sets of indicators are defined in the LogFrame matrix. The respective types of indicators corresponding to each level are labeled as indicated in the second column of the box on the previous page.

It should be noted that in the literature no uniform denomination is given for each type of indicators by the different agencies. *Differences in terminology* particularly occur at the higher end of the intervention logic. CIDA for example uses the term "results" as a generic name, encompassing three categories of performance indicators respectively referred to as "outputs", "outcomes" and "impact".<sup>23</sup>

### **Indicators and Key Performance Indicators**

For day-to-day management and internal monitoring purposes, the information requirements of scheme management and implementors may be quite vast, diverse and detailed. On the other hand, the information requirements for more aggregate - and especially for external - performance management, monitoring and evaluation are more limited and succinct.

The proposed Performance Monitoring and Evaluation System (PMES) for the Belgian International Co-operation therefore makes use of what is called "*Key (Performance) Indicators*". This is a limited number of indicators (as a rule of thumb not more than 8 to 10 per indicators type) which can be considered representative and relevant for performance measurement on the vertical intervention logic level concerned. Such key performance indicators are determined (or selected from amongst the whole gamma of indicators included in the LogFrame matrix) *for each vertical intervention logic level*.<sup>24</sup>

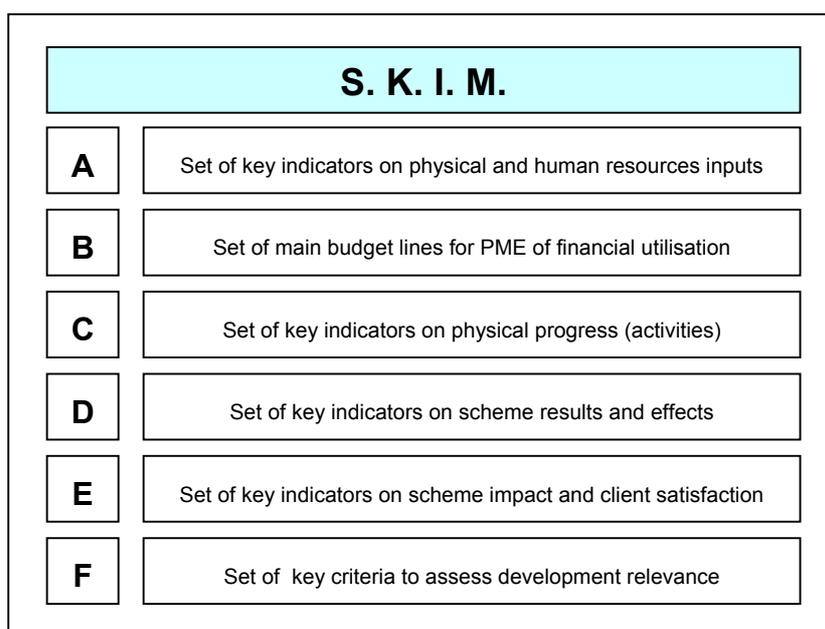
### **The Scheme Key Indicators Matrix (SKIM)**

All boxes of level specific indicators together form the Scheme Key Indicators Matrix, abbreviated as SKIM.

As will be further illustrated in the next chapters, the SKIMs are the central methodological tool for performance measurement (monitoring and evaluation) of the proposed PMES for the Belgian Co-operation. As empirically confirmed in practical exercises, key performance indicators

are particularly *fit for standardisation*, especially at the higher end of the intervention logic (goal and purpose). This particularly holds if strategic plans and programmes are available for the sub-sectors concerned, from which key indicators can be (quite) readily derived, and secondly also if the plans and programmes are clearly and unambiguously worked out in operational and objectively verifiable terms.

### Scheme Key Indicators Matrix: Composition of 6 Indicators Sets



### (Sub-)Sector Specific Indicators Development

Also on the international co-operation methodological scene, a broad number of structured efforts are noted since quite some time to determine more-or-less consensus based, *standard performance indicators* for different sectors, sub-sector and / or themes. A lot of work has been done for example on the compilation of gender indicators, environment and (reproductive) health indicators. The box on the next page provides a selective overview of the outcome of a number of such efforts by different actors.

The *World Bank* has been engaging since some time in concerted efforts to develop sector specific indicators. A total of eighteen sector performance indicator notes has been prepared. They cover each sector in which the Bank works and also thematic areas that cross economic and social sectors, such as environmental concerns, poverty reduction, public sector management, and technical assistance. These sector performance indicator notes cover the following (sub-) sectors and themes: agriculture; economic adjustment; education; environment; financial sector; housing; industry and mining; oil and gas; population, health and nutrition; poverty reduction; power; private sector development; technical assistance; telecommunications; transport; urban

development; water and wastewater. In turn these sectoral papers are the basis for the development of (sub-) sector specific performance monitoring indicators.

- *Canada International Development Agency - CIDA ; "The why and how of gender-sensitive indicators - A project level handbook"; Ottawa; 1996.*
- *Canada International Development Agency - CIDA; "Guide to gender-sensitive indicators; Ottawa; 1996.*
- *Canada International Development Agency & Kapoor, I.; "Les indicateurs de rendement des programmes de promotion des droits de la personne et de la démocratie: étude préliminaire"; Ottawa; July 1996.*
- *Federal Planning Office of Belgium; "Indicators of sustainable development for decision-making" - Report of the workshop of Ghent, Belgium, 09-11 January 1995.*
- *Guzman, V.; "Criteria to include the gender dimension in programmes"; in; Banning, M. & Wehkamp A. (Eds.); "Engendering development experiences in gender and development planning"; NOVIB; The Hague; 1994; pp. 135 - 198.*
- *International Monetary Fund; "Objectifs - Indicateurs relatifs aux objectifs internationaux de développement"; Washington DC; 2000.*
- *Organisation of Economic Co-operation and Development; "Environmental indicators - OECD Core Set"; Paris; 1994.*
- *Organisation of Economic Co-operation and Development; "Environmental indicators for agriculture - Volume 2: Issues and design - the York Workshop"; Paris; 1999.*
- *Organisation of Economic Co-operation and Development; "Road transport research: Performance indicators for the road sector"; Paris; 1998.*
- *World Bank; "Key indicators for family planning projects - World Bank technical paper number 297; Washington DC; 1995.*
- *World Bank; "Environmental performance indicators - a second edition note"; Washington DC; October 1999.*
- *World Bank; "Indicators for Monitoring Poverty Reduction - World Bank Discussion Paper 254; Washington DC; July 1994.*
- *World Bank; "Performance Monitoring Indicators Handbook - World Bank Technical Paper No. 334; Washington DC; Second printing February 1997.*
- *World Bank - Human Development Department; "Performance Indicators in Bank Financed Education Operations: Second Edition"; Washington D.C.; December 1995.*
- *World Health Organisation - Division of Reproductive Health; "Monitoring reproductive health: selecting a short list of national and global indicators"; Geneva; 1997.*
- *World Health Organisation - Division of Reproductive Health; "Selecting reproductive health indicators: A guide for district managers - field testing version"; Geneva; 1999..*

### Requirements of a 'Good' Performance Indicator

There is probably no such thing as an ideal performance indicator, and no perfect method for developing them. Tradeoffs among indicator selection criteria exist. Probably the most important, overarching consideration is that the indicators provide managers with the key information they need to do their job. While on the one hand, indicator data should be of sufficient quality to

be credible and ensure the right decisions are made, on the other hand they should be practical, timely and affordable.

The search for good indicators has prompted the development agencies to devise *checklists of characteristics* against which proposed indicators can be judged. Although the lists vary from agency to agency in terms of what is emphasized or in the terminology they use to express concepts, there are many overlaps and consistencies among them.

CIDA's checklist consists of six criteria, posed as questions to consider:

- |                  |  |
|------------------|--|
| 1. Validity      | Does it measure the result?                                      |
| 2. Reliability   | Is it a consistent measure over time?                            |
| 3. Sensitivity   | When the result changes will it be sensitive to those changes?   |
| 4. Simplicity    | Will it be easy to collect and analyse the information?          |
| 5. Utility       | Will the information be useful for decision-making and learning? |
| 6. Affordability | Can the programme/project afford to collect the information?     |

In the above checklist, two of the six criteria refer to a realistic choice of indicators in terms of methodology and concepts ("simplicity") and in budgetary terms in relation to the collection of the necessary information ("affordability"). The latter criterion is particularly relevant for smaller, low-budget schemes.

The *United Nations* points at seven characteristics of a good indicator. Ideally, indicators should be:

- |                   |  |
|-------------------|--|
| 1. Valid          | They should actually measure what they are supposed to measure;  |
| 2. Reliable       | i.e. verifiable or objective: conclusions based on them should be the same if measured by different people at different times and under different circumstances; |
| 3. Relevant       | They should be relevant to project objectives;   |
| 4. Sensitive      | They should be sensitive to changes in the situation being observed;   |
| 5. Specific       | They should be based on available data;  |
| 6. Cost-effective | The results should be worth the time and money it costs to apply them; and   |
| 7. Timely         | It should be possible to collect the data reasonably quickly   |

The *United Nations Development Programme* (UNDP) checklist<sup>25</sup> for selecting performance indicators consists of six criteria. For UNDP a good performance indicator is:

- |                |   |
|----------------|---|
| 1. Independent | Results at a lower level of an objective tree are not also being used to measure performance at a higher level;   |
| 2. Objective   | As opposed to subjective - both a proponent and a critic would be likely to agree that the indicator demonstrates whether the objective has been achieved or not; |
| 3. Valid       | Indicators measure what the objective says, not something else;   |
| 4. Reliable    | If measured twice, the same answer would result; also, the measurement scale and procedures remain constant from year to year;                                    |
| 5. Practical   | Data can actually be collected on the indicator on a schedule that makes it useful to programme managers;   |
| 6. Affordable  | The cost of collecting data is reasonable, and does not exceed its value.   |

Practical guidance for the formulation of objectively verifiable performance indicators at goal, purpose and outputs levels is provided in *Annex 2* to this report<sup>26</sup>.

### PMES Vertical Logic Specific Indicators

The proposed Performance Monitoring and Evaluation System for the Belgian International Co-operation is envisioned to monitor and evaluate schemes performance (both at schemes individual and at higher aggregate levels) on each of the vertical layers of the LogFrame intervention logic. The *types of indicators* associated with each level can be distinctly described in an operational way as:

---

1.	Input indicators	Measure the quantity, quality and timeliness of material, human and financial resources provided to facilitate scheme activities;
2.	Progress indicators	Measure or give an objective indication of the progress (both quantitative and qualitative aspects) in executing project / programme activities in accordance with the work plan (both time and target aspects);
3.	Effects indicators	Measure or give an objective indication of the more direct results as a consequence of the execution of the scheme (project / programme) strategy and activities;
4.	Impact indicators	Measure or give an objective indication of the long-term results of the scheme (project / programme) at the level of the ultimate target groups / beneficiaries / clients and/or of society and environment at large.

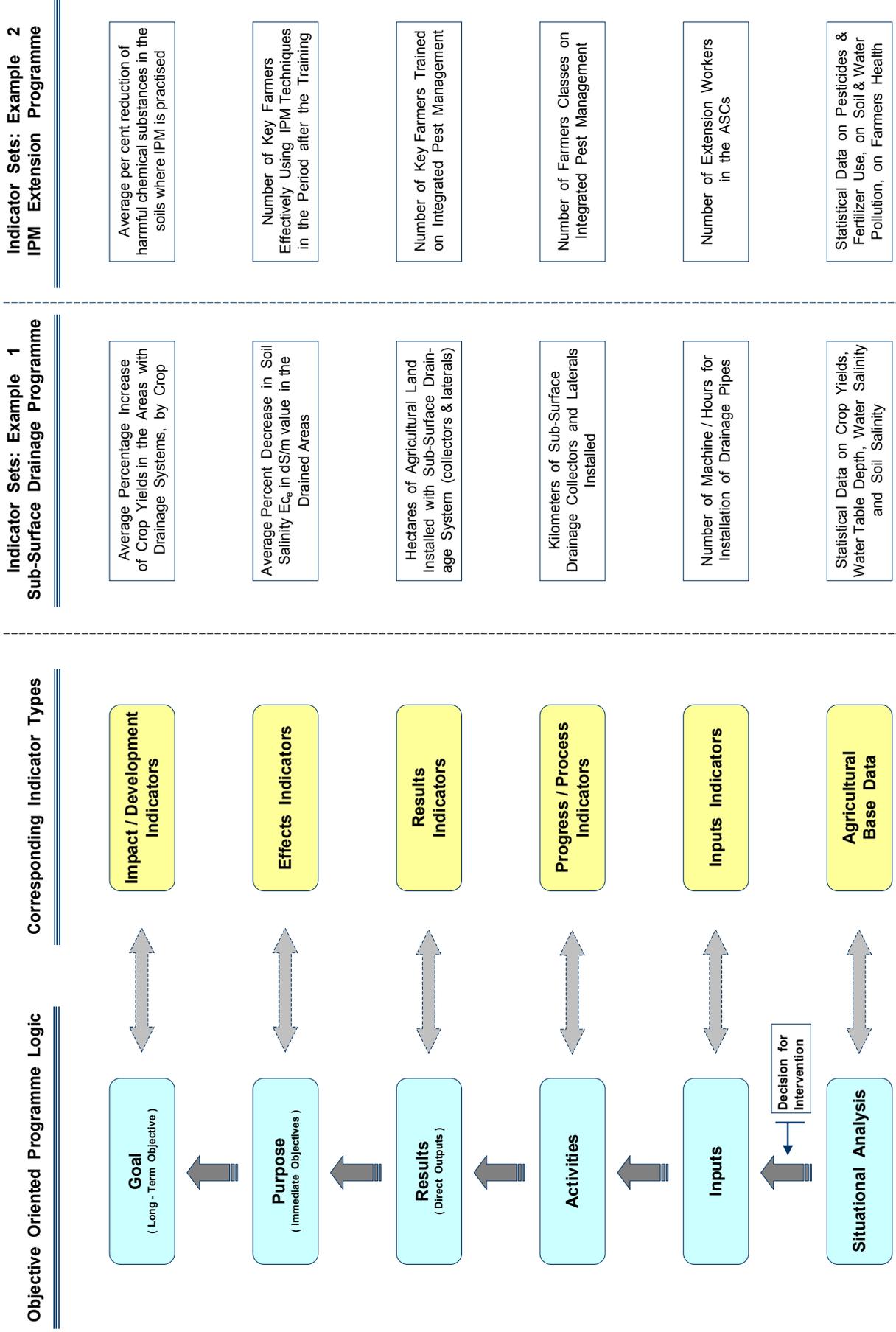
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For illustrative purposes, samples of LogFrame intervention logic level specific OVIs are presented in the table on the next page. It concerns sample OVIs of two components (resp. land improvement and agricultural extension) of an integrated rural development programme.

### Selection of Lessons Learned from Performance Indicators Development and Effective Utilization Practice

- Choice and formulation of appropriate indicators is a task *that requires experience and skills*. It is an art rather than a science. It also requires thorough understanding of the information needs of management at the various levels, knowledge on how best to obtain the data for the indicators and of the limits imposed by both costs and techniques. To give an example: household income data as an indicator of living standards is notoriously difficult to collect and highly unreliable. For this reason, if it is used at all, it should be supplemented with related data, of which ownership of visible assets, such as a house and consumer durables, may be examples.

## Types of Indicators : Two Illustrations from the WB Irrigation Improvement Programme in Iran



Indicators may be *direct* (usually monitoring indicators), or *indirect* (proxy). It is recommended to use indirect or proxy indicators (usually effects and impact indicators) where direct measurement is not feasible or cost effective. Examples are size of assets or holdings, type of house or consumption expenditure as proxy indicators for levels of income; and weight in relation to height as a measure of the health status of children.

- It is crucial *not to confuse indicators with targets*. Indicators are not targets, and neither indicators nor targets should be confused with *objectives*. Indicators are used as markers (= measures) of progress towards reaching intermediate or long-term objectives. They are not numerical targets in themselves. Targets are specified results in terms of quantity and/or time (usually both), relating to inputs, outputs, effects or impacts, which indicate certain expected progress on the indicators of the objectives at certain moments in time.<sup>27</sup>
- Indicators should, in the ultimate analysis, be determined by the nature of the objectives and intended effects and impact of the scheme. The first step, therefore, is a clear and unambiguous statement of the *objectives*, short-term, intermediate and long-term.
- Usually there is little conceptual problem with inputs, process and scheme results and effects indicators, which generally are directly measurable. But more abstract concepts such as poverty reduction, empowerment of vulnerable groups, good governance and capacity building which are situated at the higher end of the intervention logic (*impact level*) are not easily measured., Hence the need for (performance) indicators which in this context are the (smallest number of) variables by which the objectives (less poverty, strengthened capacities, ...) can be comprehensively described and measured.
- The *number of performance indicators* must be limited to keep information and reporting requirements and costs of collection to a minimum and to ensure focus on the most significant issues. Performance monitoring and evaluation therefore is based on the used of so-called “key” indicators. As a rule of thumb, no more than 8 to 10 key indicators are used per LogFrame intervention logic level.
- Both indicators and related information required should *be periodically reviewed* to take into account changing needs or refinements in data quality. In this connection, present indicators, or indicators used in other schemes, should be reviewed before new ones are considered.
- As far as possible the indicators, or at least some of them, should be made *target groups specific*, divisible by gender, income group, etc., in line with objectives. Disadvantaged groups such as the rural poor and women cannot receive equitable benefits from development projects unless they are explicitly specified as special beneficiaries, with strategies indicated whereby their disadvantaged position can be overcome and their conditions monitored.

- Impact indicators are the most difficult to measure and collect, mainly because of the *time lag* between scheme implementation and impact, or, put in another way, between the time of impact and the time it is feasible to collect data relating to impact. The other difficulty is the methodological issue of *attribution*: a correlation between two phenomena does not necessarily imply a causal relation between them. But the monitoring of scheme impact during implementation is one of the main motivations for using performance monitoring indicators. Using leading indicators and intermediate indicators as *proxies* for impact is a way to tackle the measurement problem. Beneficiary assessments, rapid rural appraisals, and focus group interviews are useful ways of collecting qualitative impact data.
- A balanced composition of *quantitative and qualitative performance indicators* is recommended for performance measurement and management, in order to give equal recognition to both quantitative and qualitative dimensions. On the other hand, in many cases it is perfectly possible to include qualitative elements in a quantitative indicator. (e.g. number of integrated pest control outreach courses conducted with an average participants' appreciation of at least "very good" (80% or more).
  - *Quantitative indicators* are objectively or independently verifiable numbers or ratios, such as number of people who obtain a hospital treatment; percentage of school children enrolled; output/cost ratios, etc.
  - *Qualitative indicators* are more subjective descriptions or categories, such as whether or not a law has been passed or an institution has been established; beneficiaries' assessment of whether a project's services are excellent, satisfactory or poor; or simply a narrative describing change.
- For any scheme, a set of performance indicators should be designed within the *Logical Framework*. The development of performance indicators begins with the programme's objectives and reflects the associated hierarchy of activities and their outputs and intended outcomes for each programme component. The activities conducted and the results achieved at lower levels of objectives are inputs toward the achievement of higher-level scheme objectives, at the institutional, sectoral, programme or country level.
- "*Useful indicators are the ones that are used*" - OECD; "Performance indicators for the road sector"
- "*What gets measured gets done*" - Osborne, D., and Gaebler, T.; "Reinventing Government"; 1992.

## 4.2. Outline of the Proposed Performance Monitoring and Evaluation System

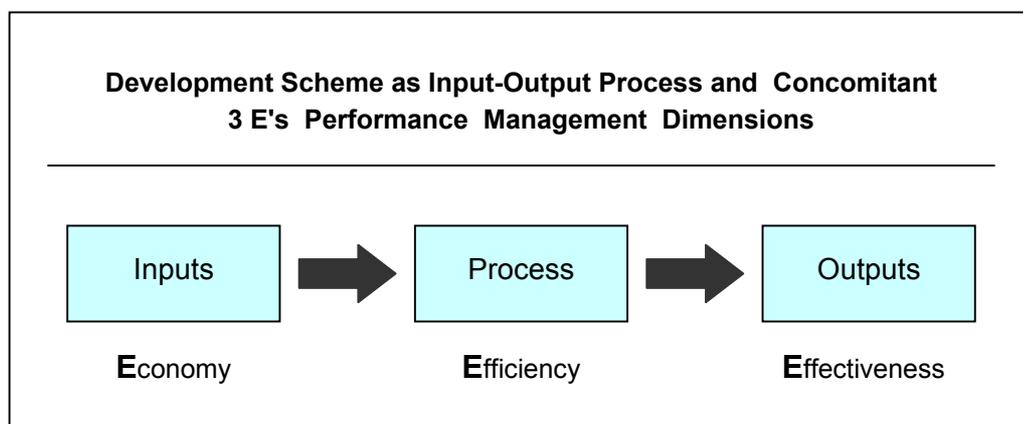
The Performance Monitoring and Evaluation System (PMES) envisioned for the Belgian International Co-operation takes maximum advantage of the different features of the *Logical Framework* methodology from the perspective of strategic information management and puts them in the light of the so-called “ three E’s “ (Economy, Efficiency and Effectiveness) of performance management. The combination with methodological tools like *Programme Cycle Management* (PCM) or *business planning* provides a dynamic dimension to the more static, analytical Logical Framework. *The Objectively Verifiable Indicators* (OVIs) as binding element between strategic management and strategic information management, automatically advance the PMES methodology to an operational performance measurement instrument.

#### 4.2.1. The Three E’s of Performance Management and Measurement

In the late Seventies *the " Three E's " framework* became an increasingly popular tool in performance management, audit and measurement circles. The three E's respectively refer to the main performance criteria of Economy, Efficiency and Effectiveness, whereby:

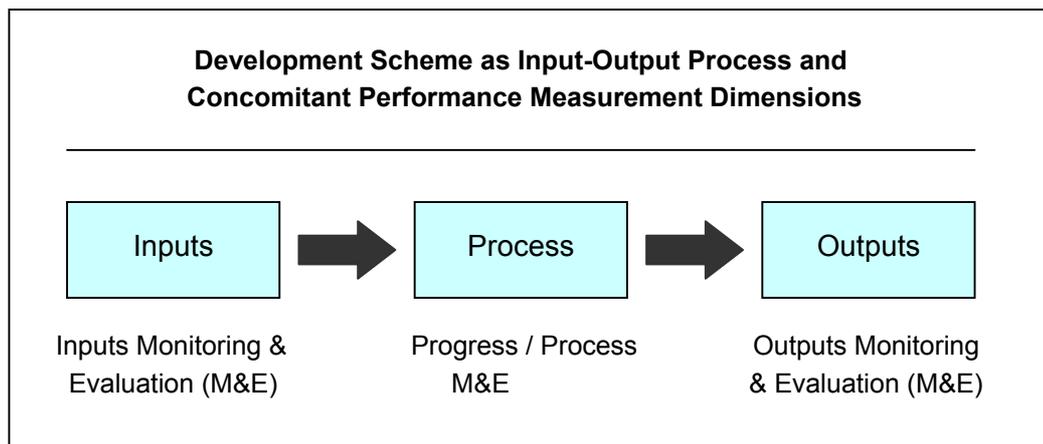
- *Economy* refers to the costs, quantity and quality of inputs and timeliness of inputs availability and/or delivery;
- *Efficiency* refers to the manner in which inputs are processed for the production / delivery of the expected outputs / results in a timely and cost-efficient manner;
- *Effectiveness* refers to the extent to which the expected objectives have been achieved / accomplished;

The framework was initiated in *National Audit Offices* to conduct performance audits which are much more comprehensive than the traditional financial or procedural audits, but soon got spilled-over to other entities concerned with performance management, reviews and evaluations.

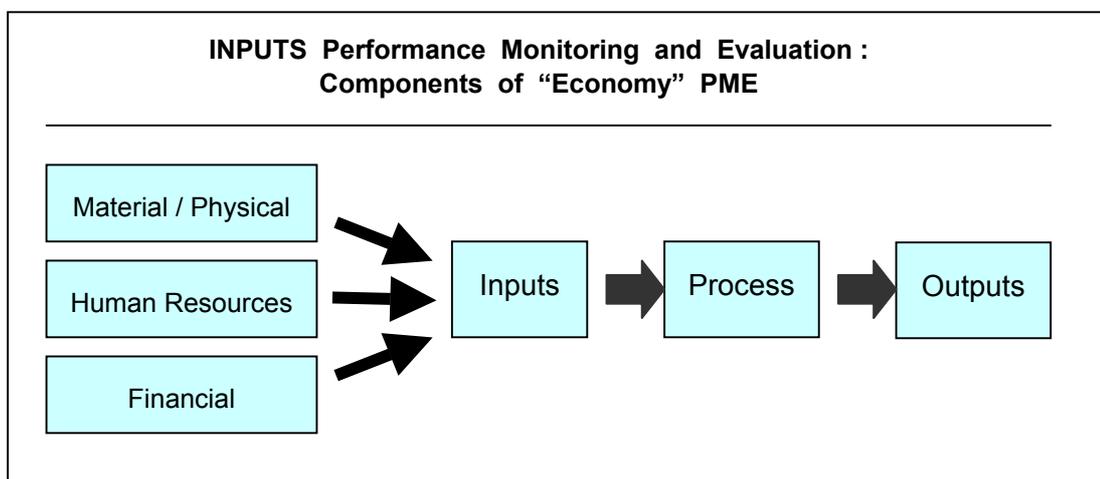


CIDA defines a well performing development scheme (whether an overall programme or an individual project) as one that is providing, in the most cost-effective manner possible, expected results that continue to be relevant, without causing any unintended negative consequences. This description explicitly carries with it two of the three "E's": efficiency (the cost-effective aspect) and effectiveness (provision of expected results). The third E of Economy is subsumed in the cost-effective aspect. The definition adds to this the key criteria of development relevance ("continue to be relevant") and of sustainability "without causing any unintended negative consequences". The proposed Performance Monitoring and Evaluation System (PMES) incorporates all above aspects of performance management and measurement in the sector of international development co-operation.

In conformity with the three E's framework, *performance measurement* as the information basis for performance management is equally concerned with the three basic phases of any inputs-outputs conversion process, regardless its level of aggregation (from individual activity or project to sectoral or overall corporate programme), and thus also of any type of development co-operation scheme in the broadest sense possible:



(1) The **first "E" of economy** basically relates to performance criteria associated with the different types of inputs and their supply / delivery / provision into the development scheme. As



such, this dimension concerns the more traditional monitoring and evaluation exercises which are basically limited to accounting, personnel, equipment and supplies management only.

From the *situational analysis* conducted in the framework of the PMES assignment<sup>28</sup> it can be concluded that if any information systems are operational at all with the actors in the Belgian Co-operation, these are basically limited to inputs monitoring systems, and more particularly to budgeting and accounting systems therein only.

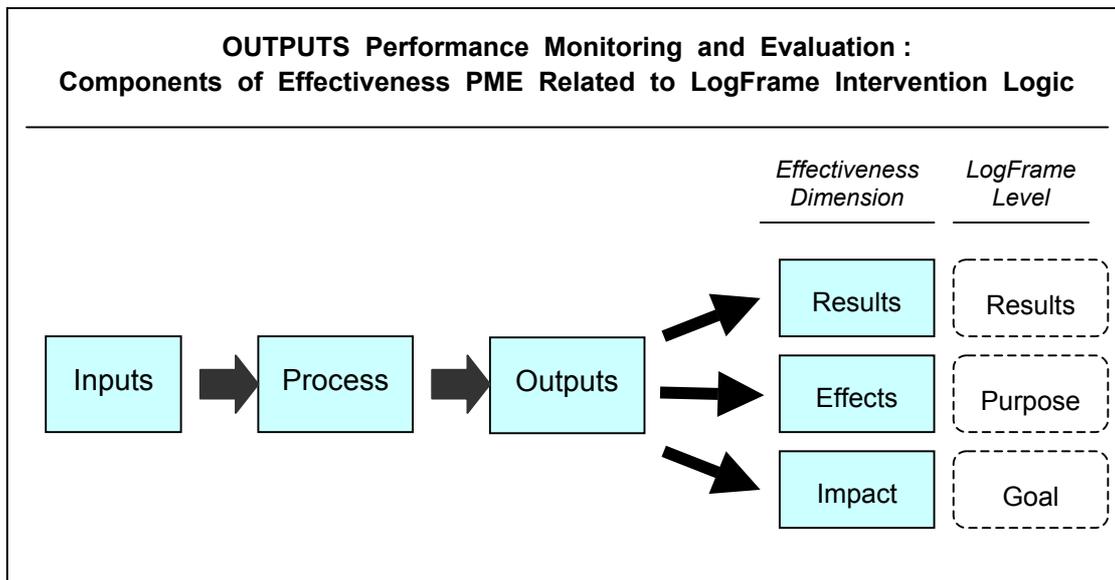
(2) The **second "E" of Efficiency** is related to performance assessments of the cost-efficiency and quality of the conversion processes of scheme inputs into desired / planned outputs. This dimension of the performance measurement system pertains to the scheme activities and is referred to as progress or progress monitoring and evaluation. It is the almost equally traditionally approach of activities based management, monitoring and evaluation. It however appears from the situational analysis of PME practices in the Belgian co-operation that activities monitoring and evaluation is not yet systematized, if in existence at all with many actors.

(3) The **third "E" of effectiveness** refers to the extent to which the scheme has achieved its stated objectives (its expected results in terms of effects and impact - the purpose and goal levels of the Logical Framework intervention logic). This is the path of Results Based Management (RBM) or Management By Objectives (MBO), as against activities based management. It is only based on the results they generate (directly or indirectly) that the executed activities are assessed. In short, the PME attention shifts from the activities to the results. By way of example, not the number of training activities is important, but the effects and lasting impact they entail with the participants in terms of increase knowledge, changed attitudes and/or adoption of new practices (the so-called KAP continuum of Knowledge, Attitude and Practice).

The *outputs* of an action and intervention can be analytically *differentiated* inasmuch as they are immediate, short-term or long-range, and also inasmuch as they are direct or indirect. In the means-ends chains of the intervention logic, the Logical Framework differentiates three hierarchical levels: results (more direct outputs of the activities), purpose (at the level of the development scheme), and goals (overall objectives, at the level of the target groups and society as a whole, largely beyond the scope of the individual development scheme). The indicators corresponding with each level have been identified earlier respectively as:

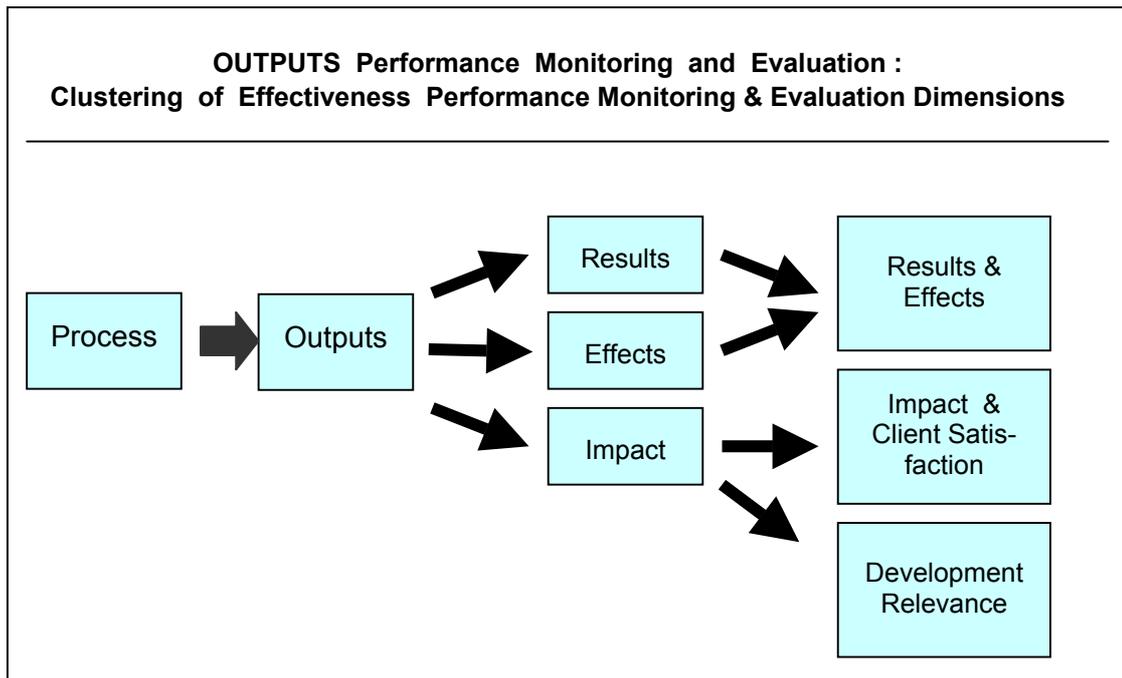
- Results indicators
- Effects indicators
- Impact indicators

For practical reasons, because largely within the ambit of the scheme itself and therefore largely within the control of scheme management, and also because of the sometimes small conceptual / analytical differences between *results and effects*, it is suggested for the PME system for the Belgian Co-operation to lump together results indicators and effects indicators in one indicators block of results & effects.



Particularly for development co-operation programmes, projects and activities, the following *criteria* related to the overall performance dimension of effectiveness are integral part of *effectiveness measurement / assessment* exercises:

- *Impact*: The extent to which the scheme has had a long-term effect on its beneficiaries and on its wider surroundings (society, environment), whether planned or unplanned, negative or positive. This criterion puts the highlights on the ultimate target groups, the beneficiaries and clientele as ultimate *raison d'être* of the development scheme.
- *Client Satisfaction*: while impact focuses on the flows from the scheme in the direction of the beneficiaries / clients, the client satisfaction criterion reverses the angle and looks at the scheme from the perspective of the beneficiaries / clients themselves. Client satisfaction is one of the ultimate yardsticks of a scheme's success and therefore should be necessarily brought into the performance assessment equation.
- *Development Relevance*: the extent to which the scheme's expected outputs (results, effects and impact) are consistent with the priorities and policies of the intended beneficiaries, stakeholders, local partners and donors. In the Belgian context, development relevance, has been formally integrated in the legal framework regulating the Belgian international development co-operation.
- *Sustainability*: The extent to which scheme benefits will continue after termination of the development scheme (with notions of durability, self-sustaining, institutionalisation, etc.). The sustainability dimension is integral part of a multi-faceted development relevance criterion.



The above diagram summarizes the performance indicator types related to the Effectiveness “E” of performance management. The effectiveness “E” focuses on the output component of the input-output conversion process, which any development scheme in essence is. In accordance with the LogFrame intervention logic, the three types of outputs which can be differentiated are *results, effects and impact*, each with corresponding indicator types.

In PMES, the indicators associated with results and effects are clustered in one results & effects indicators set. On the other hand, the indicators associated with the scheme impact have been differentiated in impact and client satisfaction on the one hand and development relevance on the other. For development relevance a special, separate set of indicators has been reserved – particularly in view of the multiple explicit provisions concerned in the law on the Belgian International Co-operation of 25 May 1999 – which also subsumes the criterion “sustainability”.

### The PME Methodological Pendulum

Originally, the *traditional* monitoring exercises were related to inputs and activities only. A *major change* in monitoring orientation occurred with the introduction of results based management. Monitoring gradually got more intensely focused at the other end of the LogFrame intervention logic, namely impact and development relevance. Operationally, in accordance herewith, external monitoring became a more prominent tool. In certain cases, this swing in M&E focus became so extreme almost to the detriment of structured, systematic internal monitoring.

Also in certain areas of the Belgian co-operation, this shift in focus of appraisals and performance assessment became quite radical, partly under inspiration of the Law of 25 May 1999 which on different occasions explicitly addresses the issue of development relevance.

PMES is a system which focuses on *bridging the gap* between traditional, activities based monitoring and evaluation on the one hand and the fixation with development relevance and similar criteria oriented present-day operations. It does so in the light of an *equilibrium* between the “three E’s” of performance management aimed at.

### **Performance Monitoring and Evaluation**

As a *performance measurement* instrument, performance monitoring and evaluation can be described as a management function that measures aspects of performance, whether:

- (1) on a systematic and ongoing basis as in the case for most performance measurement (information) systems, or;
- (2) on a more planned and ad hoc basis as occurs with operational reviews, programme reviews and contract audits.

Performance monitoring therefore encompasses both regular (mostly internal monitoring) and ad hoc (mostly external) monitoring exercises. The envisioned PMES system for the Belgian international co-operation aims at a complementary integration of both internal and external monitoring (and evaluation) functions.

#### **4.2.2. Schematic Outline of the Proposed PMES**

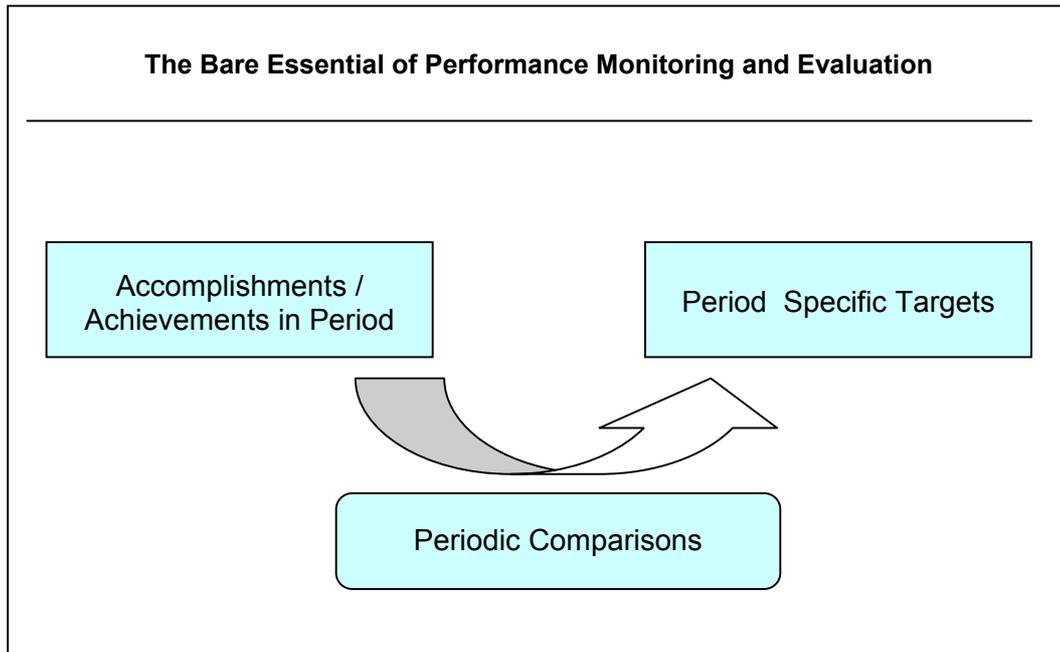
##### **Maximum Use of Existing Tools**

The proposed PMES maximally builds on the instruments developed and/or in use within the Belgian Technical Co-operation. As such, it makes maximum use of the systematic performance measurement relevant aspects of in-house methodological instruments as the Objectives Oriented Intervention Planning (OOIP) and its more recent<sup>29</sup> adaptation, the *Process Integrated Management* (PRIMA). Furthermore, PMES is built on the principles of *the Logical Framework*, and follows the different cells of vertical intervention logic for PME information determination.

As far as the enabling environment of the envisioned performance measurement information system is concerned, PMES is imbedded in the relevant provisions of the recently issued<sup>30</sup> DGIC “*Vademecum*” and the relevant documents concerned of the different actors in the Belgian International Co-operation. It maximally fits within the existing set-ups, procedures, rules and regulations, but at the same time recommends amendments if and when necessary to ensure effective operationalisation of the system.

### PME as Comparison of Achievements and Targets

Reduced to its very basics, performance measurement isn't but a *simple comparison* with regular intervals of actual achievements with the pre-set targets for the respective periods concerned (see chart hereunder)



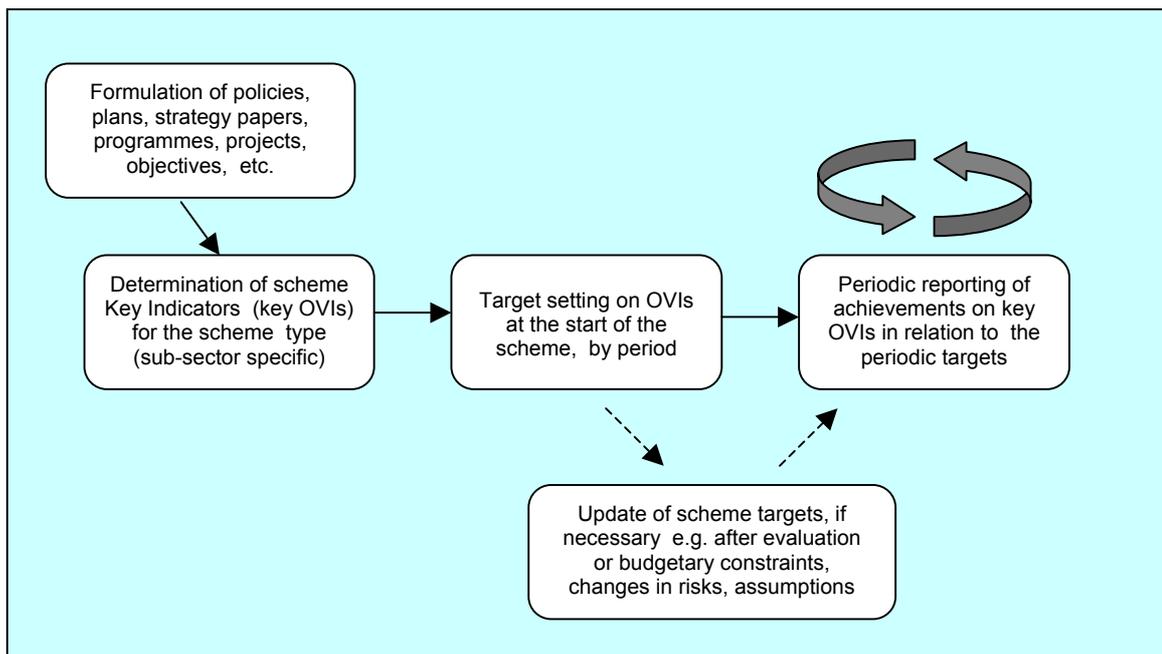
Target setting, and thus *planning*, is a *conditio sine qua non* for performance management and measurement. As far as the individual international co-operation schemes are concerned, this brings the focus of performance measurement to the initial phases of the integrated programme/project cycle, namely *programme identification and formulation*. During this phase, the sets of key Objectively Verifiable Indicators (OVIs) for the scheme are to be determined and reflected in a logically coherent way as Scheme Key Indicators Matrices (SKIMs)<sup>31</sup>. At the same time, for each indicator period specific targets will be set (i.e. on an annual basis).

The identification and selection of key OVI's to be retained in the Scheme's Key Indicator's Matrix is an exercise which is *rooted in strategic policy making, planning and programming*. It ensures that all individual schemes contribute to the achievement of the long-term goals and more immediate objectives of the actor, its counterpart organisations and the ultimate beneficiaries / clientele.

For the Belgian international co-operation, the development and periodic updating of the sectoral, thematic and geographic *strategy notes*, as envisioned by the Law on the Belgian International Co-operation of 25 May 1999 are of crucial importance in this respect. So are the strategy documents of the respective actors.

In a highly volatile environment as the international development co-operation, the necessary *flexibility* needs to be built in in the planning system and the performance management and measurement system built on it. This is ensured in PMES by the provision of the possibility of periodic updates of the SKIMs and/or of the target setting on the individual key OVIs.

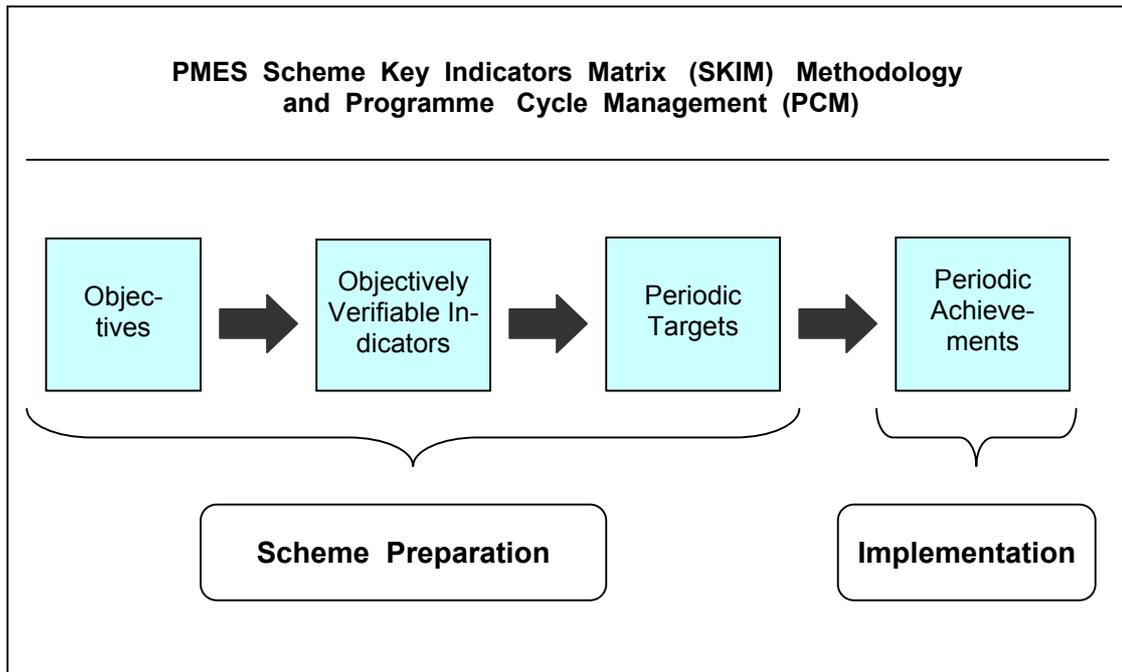
**Performance M&E based on the Use of Objectively Verifiable Indicators**  
**Horizontal Axis : Perspective of Integrated Programme Cycle Management (PCM)**



On the other hand, in order to guarantee system stability and to ensure a scheme implementation focused on the achievement of clearly defined, pre-set objectives and targets, such changes cannot be made lightly, and can only be affected based on satisfactory motivation. Therefore, PMES only allows such strategic updates to be made by entities *duly authorized* to do so on behalf of the different stakeholders involved (e.g. on the occasion of annual tripartite reviews).

From the perspective of Programme Cycle Management, the PMES methodology based on the use of Scheme Key Indicators Matrices (SKIMs) can be schematized as in the chart on the next page.

This chart makes clear the necessary methodological investments of PMES at the *early phases of the scheme cycle*. Once these are successfully executed, PMES drives on methodological routine of reporting on a periodic basis of +achievements against the pre-set targets.



### The Embedding of SKIMs in Policy and Strategic Documents

The embedding of SKIM development in strategic policies, plans and programmes has *two main dimensions*. A first one relates to higher level legal frameworks on the one hand and to generally applicable formal rules, regulations, procedures as well as to methodological guidelines, notes and services orders on the other. A second one relates to more actor specific regulatory frameworks, with special focus on strategic planning and programming. A brief (non exhaustive) enumeration<sup>32</sup> of the most important documents of this broader strategic and regulatory framework for performance monitoring and evaluation in the Belgian international co-operation is presented below:

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#### PMES Rooting in Policy and Strategy Documents

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##### I. Higher level policy making and regulatory frameworks:

###### A. Legislation

- A.1 Law on the Belgian International Co-operation of 25 May 1999
  - \* Objectives
  - \* Strategies
    - Development relevance and evaluation
    - Basic principles / criteria for bilateral, multilateral and indirect co-operation

- 
- A.2 Other Laws, Royal and Ministerial Decrees, Policy Papers, etc.
    - \* Law creating the Belgian Technical Co-operation (21 Dec. 1998)
    - \* Royal Decree on the statutory recognition of NGO's and the subvention of NGO's and their Federations (18 July 1997)
    - \* Royal Decree on the appointment of a Special Evaluator International Co-operation (04 May 1999)
    - \* Policy papers of the Secretary of State for Development Co-operation
    - \* . . .
  
  - B. *Service Orders, Methodological Guidelines, Notes, ...*
    - B.1 Objectives Oriented Intervention Planning (OOIP-DIP)
    - B.2 Service order on the use of "Boordtabellen – tableaux de bord" for the monitoring of interventions - October 1993
    - B.3 Results oriented integrated and participatory management method (GIPOR) – 1996
    - B.4 Process Integrated Management (PRIMA) - 1999
    - B.5 Evaluation Plan 2000 – Belgian International Co-operation by the Special Evaluator – May 1999
    - B.6 DGIC Vademecum – October 2000
    - ... ..
  
  - II. Actor specific strategic planning and programming as basis for performance M&E**
    - A. *Bilateral co-operation*
      - A.1 Law on the Belgian International Co-operation (25 May 1999)
      - A.2 Law creating the Belgian Technical Co-operation (21 Dec 1998)
      - A.3 Process Integrated Management (PRIMA) (1999)
      - A.4 Sectoral, thematic and country strategy papers (under development / Revision)
      - A.5 General Co-operation Agreements
      - A.6 Indicative Country Programmes
      - A.7. Special Conventions, Technical and Financing Proposals at individual Interventions level
      - ... ..
  
    - B. *Indirect Co-operation with Non-Governmental Organisations (NGOs)*
      - B.1 Royal Decree on the statutory recognition of NGO's and the subvention of NGO's and their Federations (18 July 1997)
      - B.2 Ministerial Decree of 25 September 1998 regarding the execution of the above-mentioned Royal Decree of 18 July 1997
      - B.3 The Five-Year Programmes of the NGO's / Consortia
      - B.4 The Annual Action Plans of the NGO's / Consortia
      - ... ..
  
    - C. *Indirect Co-operation with the Universities*
      - C.1 General Agreement between the Belgian State and the Flemish Universities

- concerning Development Co-operation
- C.2 General Agreement between the Belgian State and the French speaking Universities concerning Development Co-operation
- C.3. The series of Special Agreements between the Belgian State and the VLIR regarding the main components of co-operation
- C.4 The series of Special Agreements between the Belgian State and the CIUF regarding the main components of co-operation
- C.5 VLIR & CIUF indicative multi-annual plan and annual plans for the indirect development co-operation with the Universities
- ... ..
- D. *Other actors*
- D.1 Different applicable documents
- ... ..

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### LogFrame and “3 E’s “ of Performance Management

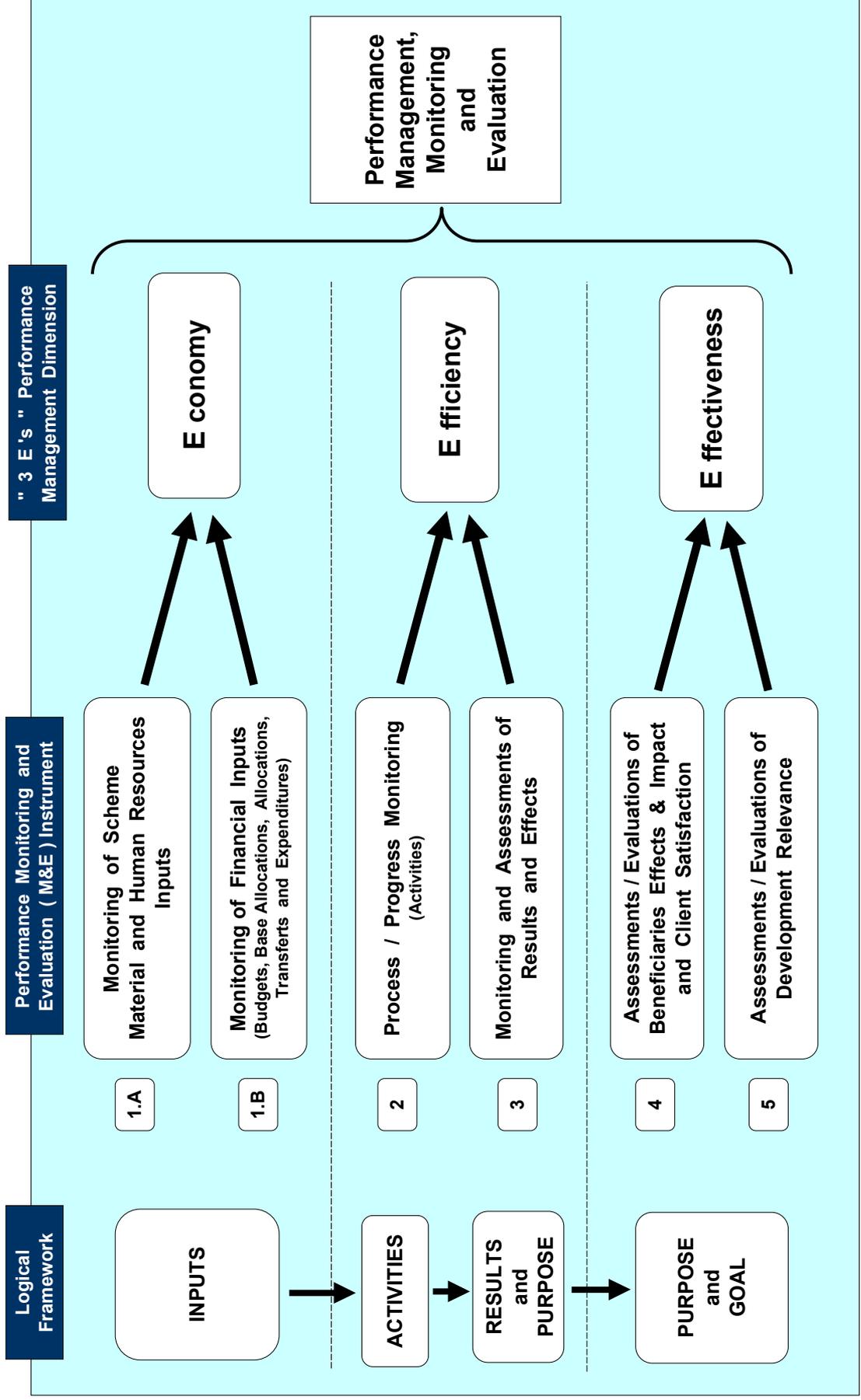
Deriving the performance monitoring and evaluation OVIs from policy and strategic documents ensures that the respective schemes are firmly rooted in overall policies and strategies, and thus are oriented to the achievement of *strategic goals*.

The other strategic management instrument at the basis of PMES is the *Logical Framework*. As discussed earlier<sup>33</sup>, each of the five hierarchical levels of the *vertical (means-ends) intervention logic* can be associated with specific, but interrelated, performance monitoring and evaluation instruments (e.g. PME of activities can be facilitated by means of process/progress monitoring). Each LogFrame level can also be associated with a specific dimension of performance measurement on the “ three E’s “ of economy, efficiency or effectiveness. This integration of the Log-Frame vertical logic and the “three E’s“ performance dimensions, with for each level an indication of the corresponding performance monitoring and evaluation instrument is depicted in the chart on the next page.

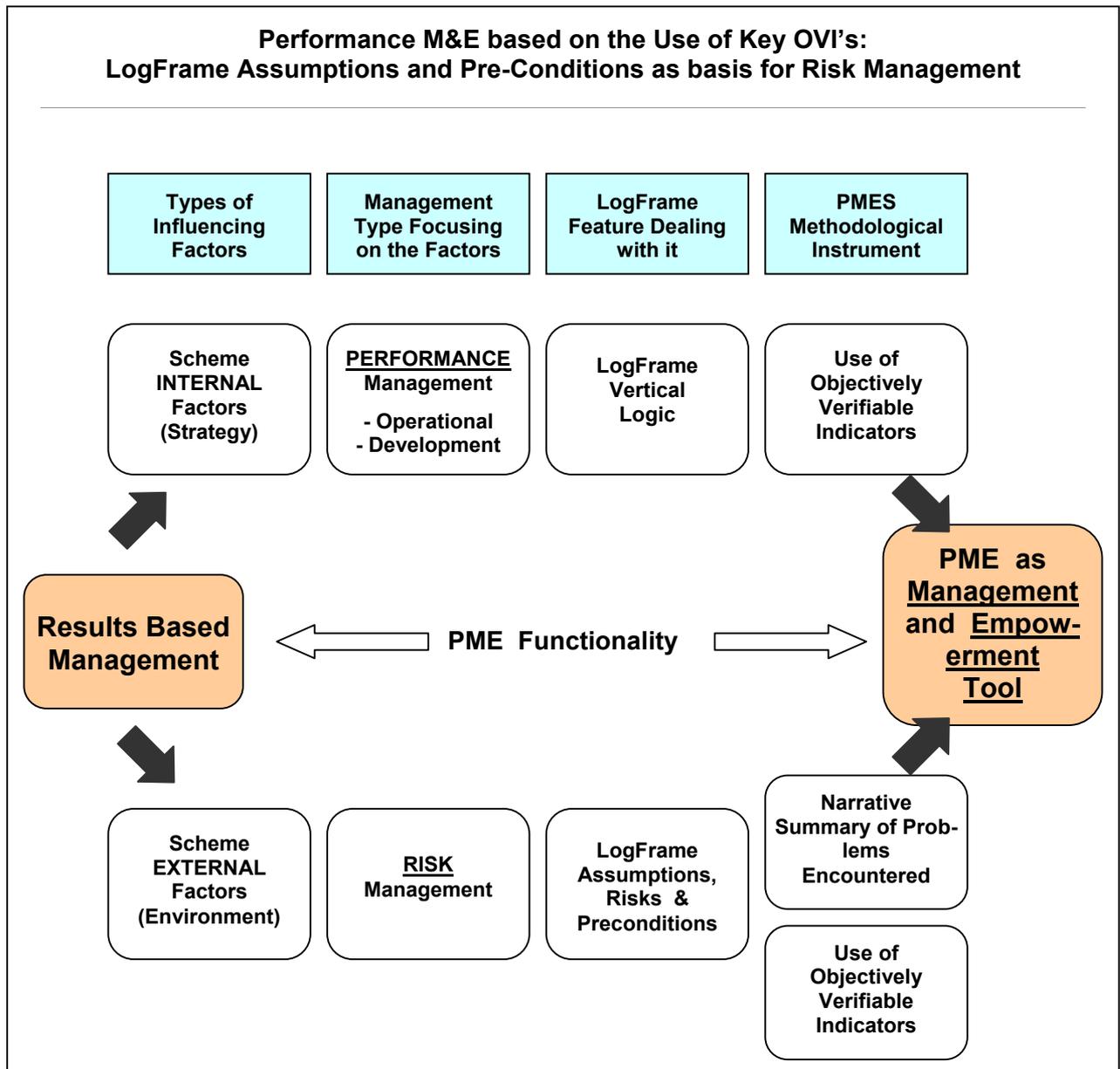
Moreover, the LogFrame explicitly refers to enabling / disabling factors (=LogFrame *Assumptions and Pre-conditions*) largely beyond the control of scheme management which may substantially influence scheme performance. These risk factors are incorporated in the proposed Performance Monitoring and Evaluation System. *Risk analysis and management* is the third important pillar around which the PMES system is built. Reporting on risk is integrated in the PMES system by means of narrative reporting on problems encountered and corrective actions taken (self) or recommended (to other third parties). As such, PMES gives due recognition to the importance of a necessarily conducive broader enabling environment for a scheme to having a reasonable chance to become truly successful. By making it possible for scheme managers to regularly report on problems encountered and on the impact of the broader enabling environment factors affecting the success of a scheme, PMES manifests itself as an effective *management and empowerment tool*.

**Co-operation Schemes Performance Monitoring and Evaluation based on the use of Key Objectively Verifiable Indicators ( OVIs )**

1 - Vertical Axis: Perspective of LogFrame Vertical Logic and "Three E's" Performance Dimensions -



Performance management and risk management as two main components of results based management are graphically presented in the below chart. Risks have to do with 'environmental' factors external to the scheme, and largely beyond the control of scheme management. A challenge to any manager is to try to keep these external factors under control as much as possible. One has to be realistic however since, particularly in the international development co-operation, many factors are simply beyond the control of the scheme manager (e.g. weather and climatic conditions, international market fluctuations, political upheavals, etc.)



While the PMES performance measurement dimension is facilitated by the use of Objectively Verifiable Indicators, the risk management dimension is incorporated in the system by means of a *narrative summary* on problems encountered (if any), particularly in connection with the scheme achievements measured along these key OVI's. The LogFrame is a particularly useful tool for risk management, since the external influencing factors from the broader enabling environment are brought in the analytical managerial framework through the incorporation of assumptions and preconditions in the LogFrame matrix (right hand side column). Results Based Management as influenced by both scheme internal and external factors is depicted in the chart on the previous page. The chart also indicates the PMES methodological instruments for accommodating these two dimensions in the envisioned performance monitoring and evaluation system for the Belgian international co-operation.

Some international agencies as the *Canadian International Development Agency* (CIDA) stress risk (scheme external factors) monitoring and evaluation to be on the same level of importance as performance (scheme internal factors) monitoring and evaluation. CIDA monitors risk with sets of indicators in the same way as it does for performance monitoring and evaluation. It is proposed for PMES to concentrate on PME along the key performance OVI's, with risk monitoring facilitated by narrative comments on achievements/progress reporting along the performance OVI's (facilitating management by exception). As such the system and its reporters concentrate on performance reporting, while still accounting for the risk dimension.

### Summary Outline of the Proposed PME System

By integrating the different elements of the Logical Framework Analysis (LFA) and Integrated Programme/Project Cycle Management (PCM) discussed here above, a *summary outline* of the proposed Performance Monitoring and Evaluation System for the Belgian International Co-operation can be drawn as depicted on the next page.

On the *vertical axis* the different levels of the intervention logic of the LogFrame are presented with for each an indication of the proposed PME instrument focusing on that particular level / dimension. As can be gleaned from the chart, a main differentiation is made between the first four instruments in first instance being subject to scheme internal monitoring and external quality control, and the last two instruments in first instance fit for scheme external monitoring and scheme evaluation / assessments. The six PME instruments / dimensions are referred to as:

- |            |   |
|------------|---|
| <b>1.A</b> | <b>Inputs monitoring: financial utilization</b>                   |
| <b>1.B</b> | <b>Inputs monitoring: physical and human resources</b>            |
| <b>2</b>   | <b>Process / Progress monitoring (activities)</b>                 |
| <b>3</b>   | <b>Monitoring and assessments of results and effects</b>          |
| <b>4</b>   | <b>Assessment of beneficiaries impact and client satisfaction</b> |
| <b>5</b>   | <b>Assessment of development relevance</b>                        |



The chart clearly shows that the identification and selection of key Objectively Verifiable Indicators can only be done meaningfully when they are effectively derived from policy and strategy frameworks. Performance monitoring and evaluation *pre-supposes performance planning and management*.

On the *horizontal axis* is presented the Programme Cycle Management (PCM) embedded process of identification of sets of key OVIs, target setting on these, annual updates, and periodic reporting of achievements as against the targets.

The chart furthermore gives a general indication of the *functionality and possible uses*<sup>34</sup> of the PME information generated:

1. Analysis and feedback for enhanced day-to-day management and strategic management at scheme level;
2. Consolidation, analysis and feed-forward for enhanced strategic management and policy making at higher aggregate levels;
3. Sector and sub-sector performance assessments;
4. Country and (Sub-)Regional performance assessments;
5. Thematic performance assessments
6. Accountability illustrations to Parliament and / or the General Public;
7. Other in-depth studies.

#### **4.2.3. Basic Underlying Principles of the Proposed PMES**

The design of the proposed Performance Monitoring and Evaluation System for the Belgian International Co-operation is based on a number of *basic underlying principles*. Part of these principles have emerged from the discussions during the stakeholders consultation process with the different actors in the Belgian co-operation scene. Also the experiences and lessons learned from other international agencies have served as a major source of inspiration.

Amongst the major concerns having guided the design of the PMES should be mentioned especially on the one hand *stakeholder ownership* and on the other *maximum functionality* for planning, management and decision making purposes at the different levels. Below is a listing of the principles underlying the PME system design. These are clarified thereafter in somewhat more detail.

### Basic Principles of PMES System Design

- Anchoring in policies, strategies and programmes;
- Complementarity between PMES and strategies development;
- Output based;
- Internal management tool;
- External control instrument;
- Facilitation of both internal and external M&E;
- Empowerment tool for field management;
- Routine feedback provision;
- Facilitation of decision making at different levels;
- User-friendliness and reduction of workload;
- System computerization and use of standard forms;
- Early warning function;
- Management by exception principle;
- System flexibility;
- Devolution of monitoring responsibilities;
- Strengthening of partnership responsibilities;
- Based on 3E's of performance management;
- Monitoring of financial utilization as integral part of the system
- Assurance of system teeth through compliance generation

- *PMES is anchored in the overall, sectoral and thematic policies of the Belgian international co-operation and in the strategies and higher level programmes (objectives, principles, etc.) derived from them:*

This pertains to the official legislation (Laws, Royal and Ministerial decrees) but also to the policy papers, strategy notes, methodological guidelines and similar documents of the different actors in the Belgian international co-operation scene<sup>35</sup>.

- *Complementarity and mutually reinforcing relationship between PME system development and overall, sectoral and thematic strategies development:*

While on the one hand, the PMES key indicators at the higher levels of the Log-Frame intervention logic are derived from / are in conformity with the strategy documents concerned, on the other hand the development of such sets of key indicators also has a reverse (indirect) strengthening effect for the development and/or updating of these policy and strategy papers. In general terms, the introduction of strategic information systems has also an important facilitating impact on strategic policy and decision making itself.

- *The system is not only output oriented, but also output based:*

PMES system design starts from the outputs required from the information system. The information needs of the different users determine the design of the system. Therefore, a participatory development of the different types of output reports to be generated by the PMES will be pursued during system development. The utility and functionality of the system for decision-making is the ultimate yardstick for system performance. This principle might give the impression of stating the obvious, but all too often information systems have been / are being designed from the input angle. Masses of data are entered in the system, but only a limited portion is processed, if used at all. The international scene shows that all too often splendid information systems have been designed, only to find out later on that they have never become operational, because not used since not able to generate the relevant information required for decision making. There is a second major reason for the system necessarily being output oriented and client based. This reason is related to compliance generation with information system requirements, rules and regulations. If the parties whom reporting is expected from have not been involved in the design of the information system, the likelihood of non-compliance or sub-standard compliance with reporting requirements is substantial. A participatory design process therefore is a *conditio sine qua non* for effective system operationalisation once it is in place.

- *PMES in first instance is an internal management tool:*

The system in first instance aims at strengthening results based management. PMES is a performance management instrument. Because of its inherent capabilities of information aggregation based on the use of (standardized) key objectively verifiable indicators, PMES is a performance management strengthening tool for all types of management positions: from the lowest level of field operations to middle management organised on geographical or sectoral criteria up to the executive, corporate management level.

- *PMES as external control instrument for higher level programme management and accountability:*

A performance measurement system as PMES fulfills the double function of performance management as well as accountability strengthening. Because of its standardized reporting system and streamlined information flows, PMES is a powerful tool for accountability purposes. The accountability principle holds for the different vertical layers of (consolidated) reporting, with the general public (taxpayers) and its democratic representatives (the Parliament) as ultimate parties accountable to.

- *Facilitation of both internal and external monitoring and providing an objective basis for in-depth assessments and evaluations:*

PMES as internal management tool in first instance is an internal monitoring tool, instrumental for internal management. This particularly holds for the performance management dimensions of economy (inputs) and efficiency (activities and results),

which information is necessary for day-to-day management. But because of its very characteristics of being based on objectively verifiable indicators and on standardized, regular reporting, the proposed PMES is equally well fit for facilitating external monitoring by the higher hierarchical levels or other third parties. Since it stores key baseline information as well as regularly reported progress information on key indicators, the system in addition provides an objective basis for more in-depth analytical exercises as mid-term reviews, end-of-scheme evaluations, impact assessment and the like.

- *PMES as empowerment tool for field level operations and management:*

Generally information systems are associated with "big-brother-is-watching-you" scenarios. PMES design has veered away from such connotation and, on the contrary, has been worked out from the perspective of an information system as empowerment tool for the reporting units at field operational level. Different provisions and features of the system facilitate such empowerment perspective: the explicit incorporation of information on the enabling (/disabling) environment aspects of the development scheme; the reporting on the status of the scheme's LogFrame assumptions / preconditions; the channeling through the organisation's hierarchy of information on problems encountered in the field and on corrective actions suggested and to whom. The very fact that the system generates its information from the scheme manager in charge of scheme implementation himself/herself in itself already is an empowerment tool for the latter.

- *Routine feedback provision to sources of monitoring information:*

Lessons learned from different information systems around the globe indicate that failure of many systems is mainly due to the fact that these systems were one-way communication system of reporting without any feedback ever received back. Such information systems are regarded by the reporting parties as mere black boxes, to which lots of data are provided to without them ever knowing what use is being made of this information, if any use is made of it at all. As a consequence, many reporting parties in the process became apathetic if not frustrated, resulting in ritualistic reporting behaviour not seldom alienated from reality. Regular provision of authenticated feedback information not only provides the reporting parties with "official" information necessary for planning and other managerial purposes, but also is proven to be one of the best instruments for generating effective compliance with the reporting requirements. PMES has this feedback mechanism built in: every reporting form is already partially filled-up automatically by the computer system, including cumulative accomplishments / achievements up to the end of the just preceding reporting period.

- *Facilitation of decision-making at operational, tactical and strategic management levels:*

PMES facilitates decision-making based on updated, objective and reliable performance information at all levels of the organisation's hierarchy, from the field level

up to the executive level. Through its field orientation and its focusing on internal management and monitoring processes, PMES is geared to the operational level. The objectively verifiable indicators as cornerstone of the system make different types of consolidations (actor, geographic, sub-sectoral, thematic, ...) at a higher hierarchical level possible.

- *Computerization of the system based on standard forms:*

PMES is an automated information system. Based on a realistic assessment of its feasibility, data entry and processing will be gradually decentralized further down to the country and below levels. The whole system will be based on a very limited number of standard reporting forms. The performance monitoring cycle *stricto sensu* is limited to two forms only<sup>36</sup>.

- *User-friendliness and reduction of workload:*

These have been main principles throughout system design and will continue to be so during system development and operationalisation. Through standardisation and streamlining, PMES assures effective reduction of reporting workload. This is further strengthened by the use of (standard) key performance indicators, thus substantially reducing narrative reporting requirements. Moreover, the partially pre-filling by the computer system of the reporting forms not only ensures data consistency, but obviously also enhances the user-friendliness of the system and substantially reduces reporting workload. In due time, the envisioned electronic data transfer (while keeping up reporting duly authentication requirements) is another PMES feature for reducing reporting related work time.

- *Early warning function:*

As a monitoring information system, PMES functions as a early warning system. Through regular following up on achievements in comparison with the preset targets, PMES detects deviations from the plans at an early stage, thus making possible instant corrective actions to remedy the situation, if possible. PMES therefore is a proactive management tool. Based on the PMES early warning signals, scheme internal or external decision-makers may decide to initiate a more in-depth analysis or evaluation of the situation, if problems persists or are situated at a more fundamental scheme level (design, long-term strategy, enabling environment, etc.). This early warning function of the PMES system can also be effectively visualised in the computer database programme, for example by means of a traffic light - like colour pallet system of indicators along the different information items. This pro-activity differentiates PMES as performance measurement system from the more classical evaluation exercises, which are basically *ex-post* undertakings with rather limited use for the more immediate or short-term managerial purposes.

- *Basis is the "management by exception" principle:*

Instead of having to screen all monitoring reports, and thus having to invest valuable time in reports reading and analysis, the PMES automated information system makes it possible to extract those schemes with a more problematic performance pattern which require urgent attention or action. In view of the magnitude of individual development schemes, this is one of the main time- and thus cost-saving features of performance management based on the PMES. On the other end of the performance spectrum, a database query on very well performing schemes might be the basis for best practice analysis. Such best practices may be used for promotional purposes to similar schemes in the framework of a more structured learning-by-example scenario.

- *System flexibility:*

This principle refers to the possibility within PMES to revise targets in the process, to revise the Logical Framework for example following changes in the scheme's environment (pre-conditions or assumptions), or to adapt the composition of the Scheme Key Indicators Matrix. It is understood that such changes in the scheme PME framework may only be affected after due authorisation by all parties concerned, e.g. on the occasion of a tripartite review. Keeping track of such changes is incorporated in the PMES database and reporting system. In the consultation process with the main stakeholders during this assignment, this built-in flexibility in the system was one of the features highest appreciated by the contacted parties. One of the underlying reasons for this may be that the Logical Framework, as they understood it, was perceived as a too dogmatic, too analytical and too academic, lacking the necessary flexibility for management of schemes in an unstable environment, as is the case for most development co-operation schemes.

- *Strengthening of managerial and supervisory responsibilities for monitoring reporting;*

PMES is based on the process of making one manager or a team of two co-managers (e.g. one international and one local counterpart) responsible for the whole scheme, thus also for the monitoring reporting requirements. This devolution of responsibilities to the lowest levels possible (based on a subsidiarity principle) entails with it an empowerment process of these levels. This process of making responsible is reflected in the reporting forms requiring the signature(s) of the responsible scheme (co-)manager(s) for duly authentication.

- *Strengthening of local capacity building and partnership development:*

Local capacity building and partnership development are key principles of the Belgian international co-operation as laid down in the law of 25 May 1999 and other official documents. PMES contributes to the effective operationalisation of these partnership principles, by providing for the possibility of requiring for every PMES monitoring form a necessary counter-signature of e.g. the chairperson of the local part-

nership committee of the respective schemes. As such, the local partners are not only involved in the preparation and formulation process of the scheme, but also their co-managerial responsibilities for scheme implementation, monitoring and evaluation are effectively strengthened. PMES raises partnership from a noble principle to an effective management (and control) tool.

- *Based on the "three E's" of performance management:*

In earlier sections of this report, it has been abundantly illustrated how PMES effectively caters in an integrated and balanced way to the three E's of performance management: Economy, Efficiency and Effectiveness.

- *Monitoring of financial utilization as integral part of the system:*

Lessons learned from international experiences provide ample evidence that performance measurement and management are only relevant if the financial utilization (including budgeting and accounting) dimension is duly integrated in the overall system. Not only is it that the "economy" dimension of performance management requires giving due importance to financial aspects. As important is the integration of the financial dimension for providing the PMES reporting system with the necessary "teeth". For the system to become fully operational, it is necessary that it is instilled with the necessary authority. The link of PMES reporting compliance (frequency, timeliness, quality, completeness and reliability) with the effective transfer of funds by means of authorisations to incur expenditures or appropriations ("ordonnances", "ordonnancieringen") is proven by international experiences to be a necessary precondition for effective PME system operationalisation and optimal functionality as aspired for.

- *Priority concern of effective compliance generation:*

A standardized performance measurement and reporting system as PMES necessarily brings with it procedures, rules and regulations to be complied with by all parties involved. Compliance generation with these procedures, rules and regulations will prove to be one of the main challenges of PMES operationalisation. An effective compliance generation strategy in first instance consists of a series of positive elements as for example training and other human resources development initiatives on PME related aspects, distribution of user-friendly and user-specific manuals to all parties concerned, show-casing of best practices, among others. As a last resort however, negative sanctioning mechanisms will need to be worked out and effectively applied in cases of severe and/or continued negligence of compliance with system rules and regulations. PMES system compliance behaviour might be considered as one of the criteria to be taken into account in the annual personnel performance appraisals. Also funding disincentives or, as a worst case scenario, temporary discontinuation of all scheme funding might need to be considered as ultimate compliance generation mechanism.

### 4.3. The System's Input Side : Reporting Forms

#### Introduction

The system's reporting forms are discussed somewhat at length hereafter as a means of presenting in a more practical and systematic way the different *concrete features* of the proposed Performance Monitoring and Evaluation System for the Belgian international co-operation.

#### The Rationale and Necessity of Standard Reporting Forms

PMES as performance management instrument particularly focuses on the input side of the input-throughput-output *data to information conversion process*, based on the simple knowledge that no inputs means no outputs. The guaranteeing of a timely flow of regular, updated performance information is vital to any performance monitoring system.

Standardization of procedures and streamlining of information flows are central characteristics of the proposed PME system for the Belgian international co-operation. The information theory learns that effective and efficient *data capturing*<sup>37</sup> is one of the main crucial aspects of the data-information conversion process. The use of *standard forms* is the essence of uniform data capturing.

*Information* is that part of the total available data which is commensurate with the requirements of a particular user or group of users (notions of functionality and relevancy e.g. for decision making). An effective information system therefore minimizes the amount of data passing through the hands of the user without effectively becoming functional, useful information. A good reporting form is an essential tool in this conversion process. It filters all data to retain only that information relevant for the different groups of users concerned.

The PMES project has been given due attention to the design of comprehensive, but at the same time relevant and user friendly, *reporting forms*. The "garbage in, garbage out" base principle in the ICT sector urges to pay due attention to the data capturing forms. Moreover, practice has learned that a well designed, logical, user-friendly and workload reducing form is one of the main elements for ensuring effective compliance with reporting requirements, rules and regulations.

One of the other main arguments for standardized reporting forms is that they effectively facilitates easy and uniform *data entry* in the computerized database system. Standardization is a main requirement for such easy going data entry system. The principle following which to each form page one data entry computer screen would correspond is one of the elements of a user-friendly data entry system and strategy.

However, the main argument for standardisation and for focusing on key information only is the effective *reduction of the workload* of monitoring reporting. PMES is preoccupied with making possible effective performance measurement in the most cost-effective and -efficient manner.

## Internal Monitoring and Performance Monitoring

Performance monitoring is *more selective* in information items gathered and entered in the system than e.g. internal monitoring for day-to-day operational management. The latter requires higher data collection frequency and much more detailed, particularly operational, information for instant decision-making. Performance monitoring on the other hand is more concerned with *key information*, especially from the perspective of more strategic decision making, both at the individual scheme level and at the higher aggregated planning, programming and implementation levels (sectoral, geographical, actor-specific, etc.).

As illustrated earlier however, between both systems of internal monitoring and performance monitoring a *symbiotic, complementary and mutually reinforcing relationship* exists. One cannot function properly without the other. PMES as performance monitoring and evaluation system is concerned with key information from the internal monitoring processes of individual schemes. PMES therefore has an important indirect spill-over effect of strengthening internal monitoring processes at individual schemes level.

## LogFrame and Programme Cycle Management

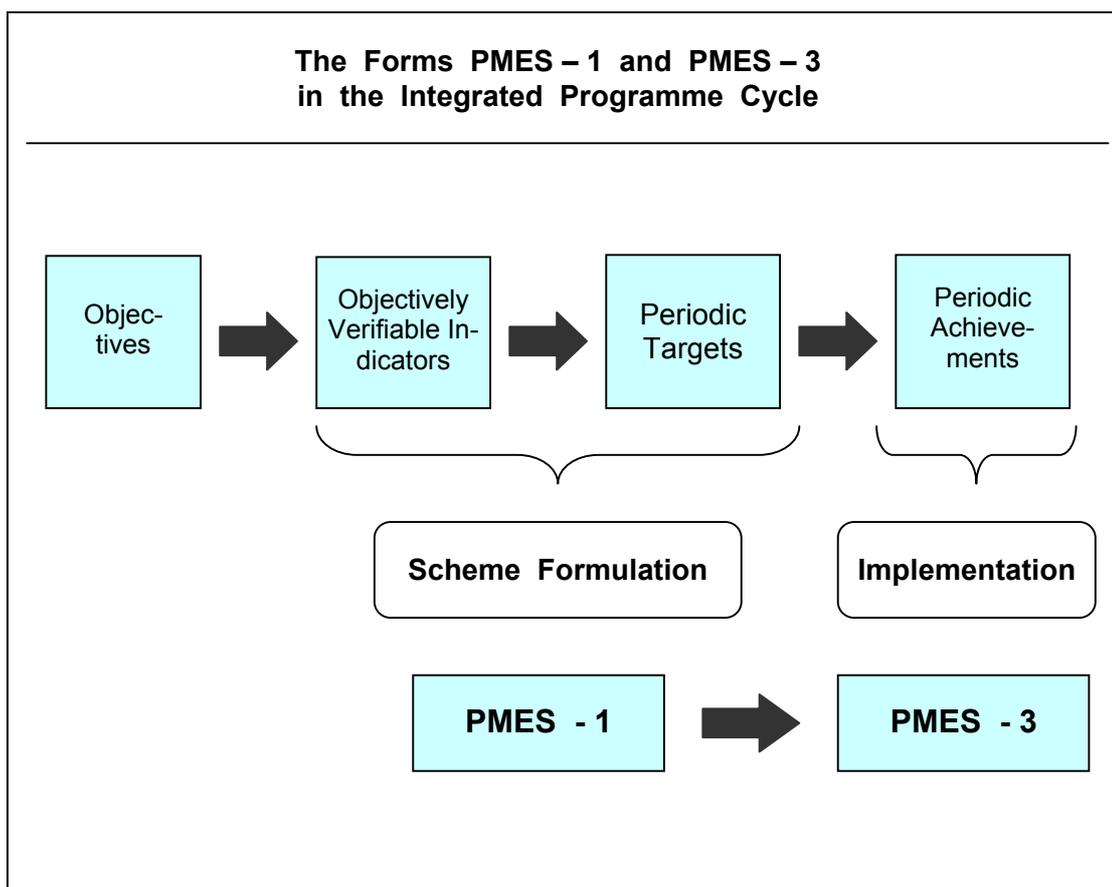
The methodological tool integrating both internal monitoring and performance monitoring and evaluation systems are the key objectively verifiable indicators. PMES provides a logical presentation of these key OVIs in a matrix setting in what is referred to as the *Scheme Key Indicator Matrix*, the SKIM (see earlier). SKIMs are the very basis of PMES.

The identification of key indicators, their logical ordering in SKIMs and the reporting of achievements against pre-set targets therefore necessarily cover the whole integrated programme cycle.

## PMES-1 and PMES-3 in the Programme Cycle

*Two standard PMES forms* have been designed to cover the whole performance measurement process needs. PMES-1 is established during the scheme formulation process and sets the scheme specific framework for regular performance measurements during scheme implementation. PMES-3 is this performance monitoring reporting format used with regular intervals for regular performance measurement during implementation.

PMES-1	Development Scheme Identification and Key Indicators Matrix (SKIM)
PMES-3	Scheme Quarterly Performance Monitoring Report (QPMR)



The sets of key Objectively Verifiable Indicators (key OVIs) for each level of the vertical intervention logic of the scheme's Logical Framework are determined during the scheme *formulation phase* and are logically presented in the PMES-1 form. Also periodic targets (e.g. on an annual basis) are set in the PMES-1 form for each of the key OVIs. PMES-1 is integrated in the programme document / financing proposal.

The PMES-3 form<sup>38</sup> is used for performance reporting on a regular *basis during scheme implementation*. PMES-3 automatically integrates all SKIM information from the PMES-1 form and provides space for reporting of the (cumulative) accomplishments on each of the indicators by the end of the reporting period concerned.

Both standard forms PMES-1 and PMES-3 are included under Annex 3.

### The Information Blocks

For consistency purposes, the *lay-out and logical internal presentation* of both the PMES-1 and PMES-3 forms has been kept identical as much as possible. Each form starts with a uniform, summary presentation of the scheme on its key co-ordinates (info block number 1). Thereafter starts the presentation of the different components of the Scheme Key Indicators Matrix in information blocks. The sequence of information blocks<sup>39</sup> therefore is as follows:

### Overview of Information Blocs on the PMES Forms

1. Identification of scheme
2. Scheme key indicators for physical (material) and human resources inputs
3. Scheme summary budget by main budget lines
4. Scheme key indicators for physical progress ( activities level)
5. Scheme key indicators for scheme results and effects
6. Scheme key indicators for scheme impact and client satisfaction
7. Key criteria for development relevance (RD) assessment.

As can be noticed from the PMES-1 and PMES-3 forms attached under, both PMES reporting forms are condensed to *three pages* each only. Of course, any narrative explanations can be added on separate sheets if the necessary space is lacking on the reporting formats themselves. Also, in the digital version of the forms, for all fields, pop-up data entry fields can be additionally programmed, if so desired or required. Reference to such underlying data entry fields can be symbolized on the base screen e.g. by a coloured dot.

Each of the above information blocks of the PMES standard forms is discussed hereafter in somewhat more detail.

#### 4.3.1 Identification of the Scheme (~ PMES-1 and PMES-3)

Information block 1 of both PMES-1 and PMES-3 forms provides *standardized summary identification information* of the development scheme concerned. It is the static part of the form, providing the essential base information for the database structure of all co-operation schemes. As such, it builds on the "Intervention Forms"<sup>40</sup> which have been updated recently by the DGIC statistics service.

This block 1 identifies the scheme in a *unique way* and moreover provides *key managerial information* on the scheme. Its standardized codes make a wide range of database queries possible. They also make possible consolidated analyses of schemes performance at higher aggregate level. The information is entered in the PMES-1 form at the scheme formulation phase and automatically generated / pre-filled in the PMES-3 progress reporting forms. Updates can be effected either directly in the database or based on data entry of changes signaled in the PMES-3 progress reports. However, for database security and consistency reasons, editing of block 1 information in the PMES database should be restricted to system administrators or per-

sons duly authorized by them only. Block 1 consists of the following six (6) scheme identification key information sub-blocks:

<b>Scheme Identification Key Information Sub-Blocks</b>	
1.1	Scheme base identification
1.2	Thematic focus
1.3	Location and target groups / reach
1.4	Responsible executing agency and local partners
1.5	Timeframe
1.6	Summary budget and financing plan

### 1.1 Scheme Base Identification

Provides unique codes to the scheme and categorisation of the scheme in different official classifications:

- The *PMES ID number*: consists of a combination of the chronological sequence number of PMES-1 approval and the version number of the PMES-1 update. For example: 0152.3 uniquely refers to the third tripartite update of the scheme of which the original PMES-1 form was approved with sequence number 152. Thanks to relational database features, the PMES ID number as key field will automatically link to all other scheme identification numbers and codes, including:
  - Intervention number
  - Budgetary allocation code
  - SNPC sub-sectoral code
  - PMES-SKIM code
  - Language code
  - Actor code
  - etc.
- The *intervention number* refers to the number indicated on the DGIC original “intervention form”. The intervention number is a chronologically (date of approval) based identification number. The intention is to gradually replace these intervention numbers by PMES ID numbers. Meanwhile, during the database changeover period (a phased changeover is recommended), while both the old system and the new PMES system will run parallel, it obviously is necessary to reflect both ID numbers on each form. The format of the intervention number comes from the actual DGIC database system.

- The *scheme name*: is the narrative summary title of the scheme. It is recommended to keep the scheme title as succinct as possible while still retaining the essentials and guaranteeing the unique identification of the scheme.
- The *budgetary base allocation number*: is the budget reference number of the scheme. This base allocation number refers to the code included under column 2 of the annual budget of the Belgian development co-operation<sup>41</sup>, under heading OA PA B.A.. The allocation number consists of three components:
  - OA/DO or “Organisatie Afdeling / Divisions Organiques” referring to the DGIC organisational entity, consists of a two digit number (e.g. DGIC has code 54, Cabinet Development Co-operation has code 11);
  - PA/PA or “Programma’s Activiteiten / Programmes Activités” refers to the main programmes of the Belgian co-operation and consists of a two digit number code (e.g. 25 is the code for the co-operation with the French speaking universities through the CIUF; 10 is the code for the governmental bilateral co-operation through the Belgian Technical Co-operation (BTC-CTB) )
  - BA/AB or “Basisallocaties / Allocation de base” is a four digit number code which is the identification number of the budgetary base allocation for the different, what is called, ‘activities’ (“Activiteiten” / “Activités”) identified under the respective programmes. For example: under programme 25 with the CIUF (indirect co-operation through the French speaking universities) four activities have been differentiated, with for each a specific budget (both allocations and appropriations by year): 4550 is the code for training costs; 4552 for the institutional co-operation programme; 4553 for the own initiatives programme and 4554 for the North-South actions.
- The *SNPC Code*<sup>42</sup>: The abbreviation SNPC stands for “Système de Notifications des Pays Créanciers” (in English: CRS – Creditor Reporting System). It is a sectoral coding system developed by the Development Assistance Committee (DAC) of the Organisation of Economic Co-operation and Development (OECD). The SNPC code gives a description of the economic sector to which the development intervention in its finality is planned to contribute to (= sector of final destination). So the final sectoral destination / aim of the intervention is the base criterion for the classification. The code consists of 5 digits, each corresponding to a level in a uniform, standard classification system developed by the DAC. For example:

- 1 Education, health and social services
- 11 Education
- 112 Base education
- 1123 Non-formal education

Only in case it is not possible to categorize an intervention in a uni-sectoral code, multi-sectoral codes as 41xxx for environment, 42xxx for gender or 43xxx multi-sectoral aid may be used. So, in case an intervention is multi-sectoral a coding in the 400 category should be used based on its components. In case the components are not known, a code 43010 needs to be allocated. The DAC SNPC classification differentiates 9 main categories:

<b>Main Categories in the DAC SNPC Classification</b>	
1.	Scheme base identification
2.	Economic infrastructure and services
3.	Production sectors
4.	Pluri-sectoral and transversal destinations
5.	Contribution to programmes
6.	Debt relief operations
7.	Emergency aid
8.	Diverse

Belgium adheres to this DAC coding system. DGIC for example uses the coding classification to prepare its annual report to the DAC on official development assistance to developing countries and Eastern Europe countries.

As far as the PMES system is concerned, a pop-up screen from the SNPC Code & Sub-Sector field should make it possible to identify sub-codes for the different components of an integrated pluri-sectoral programme. Only the main code is reflected on the main screen and form printout. For the different components, a proportional weighting system (e.g. based on a sub-sectoral budget breakdown and expressed in percentages) might be applied for the different components of the composite scheme. These weight factors may be applied for developing sub-sector specific aggregated statistics<sup>43</sup>.

- The *PMES Code (sub-sector SKIM)*: Is a further refinement of the SNPC sectoral coding system applied to the PMES base principle of standardization of Scheme Key Indicator Matrices<sup>44</sup> for similar co-operation interventions. The proposed participatory, deductive process of SKIM development aims at establishing a number of standard SKIMs (especially at development relevance,

impact, client satisfaction and effects intervention logic levels) for schemes in the different sub-sectors. The ultimate aim is to develop a sort of model book of standard SKIMs for the different sub-sectors, which can be used as basis for further customization in accordance with the case specific needs. Such standard SKIMs not only are an important, convenient instrument at hand during the identification and formulation phases of new schemes (there is no use in reinventing the wheel), but they also facilitate standardized performance reporting and thus consolidated analyses e.g. on individual indicators. A SKIM code thus consists of 8 digits: the first six refer to the SNPC classification, while the last two refer to the SKIM identification number within the SNPC category concerned.

- *Type of Co-operation Scheme, by Actor*: This code refers to the type of Belgian international co-operation, with, if applicable, an identification of the individual actor. It consists of five numeric digits. The first three refer to the type of co-operation, which is a standard classification included in the DGIC code-book<sup>45</sup>. Four main types of co-operation have been identified in accordance with the actor-based institutional organisation of the Belgian international co-operation, each with further sub-types:

1. Bilateral Direct;
2. Bilateral Indirect;
3. Bi-Multi;
4. Multilateral.

Code 200 for example stands for bilateral indirect co-operation with the Non-Governmental Organisations (NGO's).

The PMES scheme type/actor code will be supplemented by two digits to identify individual actors within each of the actor categories, if applicable. Just for the sake of illustration: code 200-19 may refer to the NGO Aquadev, or code 231-04 may refer to "Own Initiatives Programme" of the Flemish university RUG (Rijksuniversiteit Gent). This coding still needs to be standardized further in co-operation with the different stakeholders concerned. The classification of international organisations has already been worked out. The code 400-128 for example stands for the International Labour Organisation (ILO). The code 400-203 stands for the European Development Fund (EDF). The DGIC code book differentiates 5 main categories of multilateral organisations:

1. Group of the United Nations
2. Group of the European Community
3. Group of the World Bank
4. Group of Regional Banks
5. Other multilateral organisation.

This classification of (actor based) types of intervention is essential for statistical and other reports which are actor based. It therefore is essential for institutional performance measurement and management. Moreover this differentiation is extremely relevant for providing user-specific, authenticated PMES feedback information to the different individual stakeholders concerned.

- *Language of documents*: The language code (one alphabetic digit) refers to the official documentation and reporting language of the development scheme to DGIC. For example: E is English, S is Spanish, F is French, etc.
- *Scheme status as of this date*: Refers to the actual status of the scheme in the integrated programme cycle. This code consists of one alphabetic letter and a numeric digit. The letter indicates the main cycle phase the programme is actually in (e.g. F = scheme under formulation; I = scheme under execution; C = completed scheme). The numeric digit refers to the sub-stage (e.g. for the sake of illustration only: F.4 = scheme under formulation, of which the programme document and financing proposal have been prepared, but which is still awaiting final approval; I.2 = scheme of which implementation has actually started and presently in the inception phase). It is advised that in due course, the different categories and sub-categories of this scheme status classification are determined by consensus by the different main parties concerned. Obviously, the status reporting on this classification is of crucial importance for integrated programme cycle management at higher levels (e.g. geographical or sectoral portfolios).
- *Date of this printout*: Is automatically generated by the PMES database system in the dd/mm/yy format. The inclusion of the date of the report is of crucial importance for archiving and other document tracking purposes.

## 1.2 Thematic Focus

One of the major developments in the framework of results based management focusing on development relevance is the supplementation of typical, sector-based and sector-specific objectives (which often also are sector-limited) with the pursuit of more *transversal, cross-cutting themes*.

The Law on the Belgian International Co-operation of 25 May 1999 in this regard enumerates, as far as the Belgian Direct Co-operation is concerned, the criteria for both sectoral and thematic concentration (see box on next page).

The law furthermore makes provisions<sup>46</sup> for the development of *strategic notes* on each of these sectors and themes. These sectoral and thematic strategy notes are expected to become the strategic backbone of the Belgian development co-operation.

### **Sectoral and Thematic Concentration of the Belgian Direct Bilateral Co-operation**

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#### **Sectoral Concentration**

1. Base health care (incl. reproductive health)
2. Education and training
3. Agriculture and food security
4. Base infrastructure
5. Conflict prevention and strengthening of civil society

#### **Thematic Concentration**

1. Equal rights and opportunities to women and men  
(gender equality)
2. Respect for the environment
3. Social economy

The Policy Paper of the present *Secretary of State for Development Co-operation* entitled "Quality in Solidarity: Partnership for Sustainable Development"<sup>47</sup>, in accordance with the law of 25 May 1999 stresses sustainable development as the overall objective of the Belgian development co-operation.

### **Principles of the Belgian Development Co-operation based on the Policy Note of the Secretary of State for Development Co-operation**

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1. Strengthening of rights (particularly related to empowerment and capacity building with regard to access and control of basic needs);
2. Participatory development;
3. Good governance (capacity building and qualitative improvement of policy making and institutions);
4. Partnership, requiring a differentiated strategy;
5. Due concern for cultural aspects;
6. Impact on the environment;
7. Decentralisation (to the local levels);
8. Flexibility in the allocation of resources;
9. Co-ordination, complementarity and coherence at the policy making level at donor side (internal and with the other international partners);
10. Integration in a long-term planning

Sustainable development should primarily focus on (1) poverty alleviation and (2) respect for human rights. From these objectives, the Policy Paper derives *ten principles*, on which all development actions in the different sectors and cross-sectors should be based (see box on previous page). A number of these could be referred to as thematic foci in the sense implied in section 1.2. of the PMES-1 form.

For the operationalisation of these ten basic principles, the Policy Paper identifies *ten priority sectors and cross-sectoral themes*<sup>48</sup> for the Belgian development co-operation:

**Priority Sectors and Themes of the  
Belgian Development Co-operation  
(Secretary of State Policy Note)**

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1. Health care, with special attention for reproductive health, family planning, AIDS and sexually transmitted diseases;
2. (Base) Education and training;
3. Agriculture and food security;
4. Base infrastructure;
5. Conflict prevention and peace;
6. Local private sector and social economy;
7. Gender: equality between women and men;
8. Environment
9. Humanitarian assistance
10. Migration and refugees

In the January 2001 version of the standard DGIC Intervention Sheet developed by the DGIC Statistical Service (D 12), four cross-sectoral themes are identified. A score<sup>49</sup> for each theme is to be provided by the responsible DGIC desk officer on the occasion of the appraisal of the scheme.

**Cross-Sectoral Themes Included in the  
DGIC Standard Intervention Sheets**

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1. Gender (development and equal opportunities between females and males)
2. Environment
3. Participatory development and good governance
4. Youth (< 16 year)

From the above lists, it appears that, with the exception of the themes of gender and environment, there is no uniformity as far as the selection of transversal themes is concerned in the different policy, regulatory and administrative documents. To enable PMES to adequately cover this important policy feature of thematic concentration in its performance measurement and management system, a *consensus on priority thematic foci* is a *conditio sine qua non*.

For making possible uniform understanding and standardized reporting with regard to information block 1.2 on the scheme's thematic focus possible, it is necessary to produce and officially approve a *short-list of thematic foci* to choose from by the PMES-1 reporting parties based on the above two lists of "principles" and "priority sectors and themes" from the Secretary of State's Policy Paper on the one hand and the base law on the Belgian International Co-operation on the other. For reasons of practicality and effective use, it is recommended to make this list not too elaborated (and probably not longer than ten themes).

The exact determination of thematic concentration in the individual development schemes is both methodologically and practically a virtually impossible task. Therefore, the use of *proxy measures or indications* is imperative. As PMES measurement instrument for the different dimensions of thematic concentration, a *division of percentage appreciation scores* along the different standard key themes is proposed.<sup>50</sup> With the necessary methodological restraint and caution, this system would still make it possible to make queries in the PMES database on thematic criteria and make (statistical) analyses on these. In practice, the following steps for filling-out PMES-1 item 1.2 are to be observed:

1. The base list of official thematic foci serves as basis;
2. Select from this list maximum five themes which are most prominently present in the scheme concerned;
3. Order these themes in descending order of importance and prominence in the scheme concerned;
4. Give a percentage scoring of importance to each theme, with the sum of all scores equal to 100 %.

The *Canadian International Development Agency* uses this system for a wide array of performance analyses. CIDA even uses the system for (broad) determination of budgetary allocations and expenditures on each of the thematic foci.

Even if "exact" measurements are not possible, it is deemed necessary to include thematic foci in the performance measurement system of the Belgian international co-operation. Difficulties experienced in the past by the then BADC for generating basic figures on for example ODA resources spent on environmental issues<sup>51</sup> provide ample evidence of the necessity and usefulness of more systematically addressing thematic performance management issues. This necessity is further evidenced by the crucial importance given by policy makers and other stakeholders to more systematically addressing cross-sectoral themes in the Belgian development co-operation.

### 1.3 Location and Target Groups / Reach

One of the main principles underpinning the proposed Performance Monitoring and Evaluation System to support strengthened results based management in the Belgian international co-operation is its “*not only being client focused but also client based*”. The system is geared towards assessing impact and client satisfaction at the level of the intermediate and ultimate target groups. For that matter, the system generates information in a systematic way from the grassroots level of target groups / beneficiaries / clients. But PMES’ client orientation goes beyond that. PMES is designed in such way as to facilitate effective partnership and capacity building of the target groups throughout the integrated programme cycle. PMES’ conceptual and methodological framework is designed to effectively *empower the beneficiaries / clients* throughout the cycle, from identification through implementation management and monitoring up to the final and ex-post evaluations.

Such client-based philosophy and methodology however requires that the necessary *base information* is available on the target groups / clients. This information necessarily is both quantitative and qualitative in nature. It is the basis for the design of the most appropriate strategy to reach out to and, more importantly, actively engage these groups / clients in the development intervention.

PMES as performance measurement system is explicitly concerned with the system’s *reach dimension* and therefore integrates summary information on the target groups. Obviously, this summary information is to be supplemented with more detailed, operational information for day-to-day management originating from baseline surveys, target groups analyses, needs assessments and similar beneficiary / client based studies. It is crucial that, as a matter of standard operating procedure, the necessary means are foreseen in the budgets, strategic and operational plans for such studies of the respective schemes.

Information box 1.3 “Location and target groups / reach” is subdivided in *two parts*. The first part is the *geographical location* of the scheme, defined by two items: the country and the region or area within the country. The country can also be a continent or a selection of countries (regional). Both a description and a code is to be provided. The country codes are the standard DGIC codes. The *target groups* are differentiated in ultimate target groups (beneficiaries / clients) and intermediary target groups. The latter are the intermediate target groups focused on as strategic intermediaries to reach out to the ultimate target groups (e.g. as in the case of training of trainer programmes). Both a description and the total number of persons is requested. In pop-up screens under the respective fields, further refined target groups categories can be described and quantified. This is particularly useful for integrated schemes, with different target groups identified for different components. It is recommended to develop standard classifications of priority target / client / beneficiary groups. Such classification not only would be a handy instrument for target groups definition in the scheme formulation

phase, but also for policy making (e.g. focus on most vulnerable groups of society) and for database query purposes.

#### 1.4 Responsible Executing Agency and Local Partners

Decentralisation and subsidiarity are other main principles of PMES design. They aim at effectively making responsible the different stakeholders concerned with and partners involved in the scheme (empowerment and capacity strengthening aspects). Information box 1.4 of the PMES-1 form provides information on *five categories* of agencies and local partners (if applicable) having to do with the scheme. Both actor descriptions and standard actor codes can be supplied:

1. Actor Agency: is the Belgian actor bearing overall responsibilities for the scheme; secondary actor agencies may be added in the pop-up window
2. Executing Agency is the party providing technical assistance to the scheme (e.g. a consultancy firm, a specialized organisation of the UN); secondary executing agencies may be added in the pop-up window
3. Local Partner Agency is the main local partner organisation / agency / entity co-bearing overall responsibilities for the scheme together with the actor agency; secondary local partner agencies may be added in the pop-up window
4. Partner Agency Service is the organisational entity within the local partner agency entrusted with overall co-responsibilities for scheme management (e.g. a Department or a Service within a Ministry); secondary partner agency services may be added
5. Main Network Partners refers to the main partners of the local network involved in the implementation / execution of the scheme; a whole series of network partners may be accommodated in the pop-up window.

#### 1.5 Timeframe

*Timeliness* is one of the main criteria of performance management. This in first instance also pertains to the timeliness of completion of the scheme cycle phases and key moments themselves. PMES-1 and PMES-5 information boxes 1.5 “timeframe” provide information on the time frame of the phases and key moments of the scheme

cycle. Both planned and actual dates are included in this box. All dates are presented in the following format: dd / mmm / yy (e.g. 15 Sep 01)

- **Date of official approval:** refers to the official date of signing of the programme / financing agreements
- **Type of approval document** Is the official scheme base document bearing the approval signature of the main parties involved (donor / financing agency, executing agency and implementation agency)
- **Date of planned start** Is the (during the programme formulation) anticipated official starting date / commencement date of the scheme
- **Date of actual start** Is the date of actual commencement of the scheme. This is the day of de facto, actual start of programme implementation activities. An interesting analysis for example is the average period between the planned and actual start of the scheme (giving an indication of the average red tape and thus of time efficiency of the programme preparation process. Another interesting analysis is a trend analysis of the time lapsed between the planned start of the scheme and the actual start of the scheme.
- **Date of planned completion** Is the anticipated / planned official completion date of the scheme.
- **Date of actual completion** Is the actual / de facto completion date of the scheme attested by an official document. Obviously, this field can only be filled-up for schemes already completed and thus no longer in the active database of the PME system.

These key dates of the programme cycle and statistical calculations based on them (e.g. average periods lapsed between successive key moments, comparisons between planned and actual dates) make effective programme cycle management possible.

The necessary *flexibility* with regard to the scheme timeframe is built into the system in both the PMES-1 and PMES-3 forms. After *due authorization* by the tripartite partners, scheme timeframe changes may be affected in the PMES-1 form. References to the PMES-1 update are included in the PMES-3 progress reporting format by means of two specific fields under information block 1.5: "PMES-1 update sequence number as basis of this report" and "Date of approval of this PMES-1 official update".

## 1.6 Summary Budget and Financing Plan

The budgetary and financial component as part of the Economy “E” of the “ three E’s “ of performance management *only* refers to the *main, summary budget lines*. The budget and financial analysis of the proposed PME system serves basically as a proactive management tool and thus is different in its orientation and prime functionality from accounting or financial auditing.

The scheme summary budget by main budget lines is presented in information block 3 of the PMES-1 form, while the progress of scheme financial utilisation is reported in block 6 of the PMES-3 QPRM form.

Information block 1.6 in the scheme identification sheet gives an overview of the scheme’s overall budget, *broken down* by source of funding (horizontal axis) and by year (vertical axis). This block 1.6 is the scheme financing plan. All figures are in Euro.

During the consultations with the stakeholders in the framework of this PMES design, it was stressed by different actors and key resources persons that PMES should cover the whole scheme from a *holistic perspective*, and therefore should make provisions for incorporating information on budgetary resources from *sources other* than the Official Development Assistance (ODA) provided by the Directorate-General for International Co-operation (DGIC). This pertains on the one hand to other sources of international financing (both national and international) and on the other to local counterpart financing. The importance of the latter cannot be underscored enough from the perspective of effective partnership building and scheme sustainability.

The summary budget and financing plan incorporated as information block 1.6 of the PMES-1 and PMES-3 forms therefore differentiates *five different financing sources*:

1. *DGIC*: these are the scheme base allocations (“vastleggingen” or “engagements”) incorporated in the budget of the Directorate General for International Co-operation
2. *Other ODA*: refers to Belgian Official Development Assistance from sources other than DGIC (e.g. from the Regions, from the Provinces, Cities and Communities, etc.);
3. *Other Belgian*: refers to Belgian sources of funding other than Belgian ODA (categories 1 or 2 above). This category includes private sector resources in the framework of corporate financing of development schemes. It also includes the 15% or 25% financing from resources generated by Non-Governmental Organisations (NGOs) as basis for co-financing by DGIC of partner financing programmes in the South;
4. *Other Donors*: refers to other international donors / financing agencies providing resources to the scheme. This includes both bilateral or multi-

lateral sources. Common cases are co-financing with for example the European Development Fund (EDF) or multi-bi arrangements with funds, member or specialized organisations of the United Nations;

5. *Local Partners*: covers all local counterpart financing of the scheme, whether in financial terms or provided in kind (human resources and other physical inputs as offices, public utilities, ...). From the perspective of financial sustainability of the schemes, it is crucial to explicitly incorporate a counterpart budget in the scheme's formulation documents. It is advised to use the same budget format for this counterpart budget, with breakdown by main budget component and by year.

The *vertical axis* of the financing plan is the budgetary breakdown *by year*. It is the budgetary translation of the scheme's business plan. The budgetary breakdown by year at the early phase of programme formulation (incorporation in the PMES-1) is essential to facilitate performance monitoring of financial utilization during scheme implementation (by means of the PMES-3 forms).

Budgets may be *revised* on the occasion of the foreseen tripartite review meetings. In this way, the necessary budgetary flexibility is built in into the PMES system. Obviously, only after due formal approval by all authorizing parties concerned, budgetary changes may be reflected in the PMES-1 and PMES-3 forms. Form PMES-3 provides summary information on both the original budget and the latest revised budget. It provides this information for both the scheme total budget and the budget of the Current Financial Year (CFY).

#### **4.3.2 Authentication of the Reporting Form (~ PMES-1 and PMES-3)**

Sub-blocks 1.7 to 1.10 of the PMES-1 form, respectively sub-blocks 3.1 to 3.3 of the PMES-3 form provide form *authentication information*. They substantiate the PMES basic underlying principles of (1) effectively making responsible the (local) scheme manager(s) and (2) partnership development. Sub-blocks 1.7 and 1.10 of the PMES-1 form also ask for information on the official report authorisation and endorsement parties, seeing to it that the reported information is duly screened on authenticity and quality and approved by the responsible supervising parties, both at actor and DGIC levels.

The authentication information blocks of respectively the PMES-1 and PMES-3 forms with identification of the responsible parties are summarized in the table on the next page.

The authentication information blocks in the PMES-1, respectively PMES-3 forms not only guarantee due authentication of the reports but at the same time are an effective tool for *reporting flow control*. The authentication information blocks not only provide identification information of the different responsible parties in the reporting flow process, but also provide information on

<b>Form Authentication Information Blocks: Identification of Responsible Parties</b>			
<b>PMES - 1</b>		<b>PMES - 3</b>	
1.7.	Executing agency person responsible for scheme and PMES-1	3.1.	PMES-3 prepared by scheme manager
1.8.	PMES-1 attestation by chairperson of scheme partner committee	3.2.	PMES-3 attested by the chairperson of the scheme partner committee
1.9.	PMES-1 quality control and methodological screening by PME officer	3.3.	PMES-3 approved by the actor supervisory PME officer
1.10.	PMES-1 endorsement by responsible DGIC desk officer	-	-

the dates of action taken. Analysis of these dates should allow for easy identification of *bottle-necks* in the reporting process and thus facilitating early corrective action if necessary. Each responsible party involved is requested to provide the following authentication information:

- Name
- Position
- Organisation or Service/Department in the Organisation
- Date of signature
- Signature

The suggested *information flow charts*, with description of the responsibilities of the respective parties involved, are discussed in chapter 8.2 of the PMES base report on the streamlining of information flows.

The *rationale and underlying principles* for including the above persons in the PMES reporting process are the following:

- Form PMES-1 scheme identification and Scheme Key Indicators Matrix (SKIM) formulation:
  - Item 1.7: The identification of the person of the executing (technical assistance, if any) agency who is entrusted with overall (co-) managerial responsibilities for the scheme, substantiating PMES as management tool;
  - Item 1.8: The identification of the Chairperson of the scheme local partner / stakeholders committee who is entrusted with the oversight and steering of the scheme, substantiating PMES as partnership building and local empowerment instrument;

- Item 1.9: The identification of the performance monitoring and evaluation officer in DGIC who is entrusted with the quality control and screening on methodological correctness of the Scheme Key Indicators Matrix (SKIM). Especially in the initial phases of PMES introduction and of standardisation of PMES procedures, rules and regulations, this quality control function is extremely important. As further elaborated on later in this report<sup>52</sup>, it is suggested for consistency and capacity reasons, to entrust this quality control task to the proposed Performance Monitoring and Evaluation Office of DGIC, with technical support provided by the Evaluation Management Unit of the Office of the Special Evaluator International Co-operation;
  - Item 1.10: The identification of the responsible DGIC Desk Officer: In line with the current practice, it is suggested to further strengthen the system of desk officers overseeing / co-ordinating the respective development schemes implemented / executed by the various actors. It is proposed that this responsible DGIC Desk Officer will also be the responsible officer for “first-line” scheme external performance monitoring and evaluation from the perspective of DGIC, in close co-ordination with the supervising officer of the actor agency concerned. The responsible DGIC Desk Officer will also be the coordinator of the scheme appraisal process and bearing final responsibility for the methodological and content quality appreciation of the PMES-1 form and particularly of the PMES-1 Scheme Key Indicators Matrix therein.
- For PMES-3 quarterly performance monitoring reporting:
- Item 3.1: The identification of the scheme manager who has prepared or under whose responsibility the PMES-3 performance monitoring report has been prepared. In order to establish clear end-responsibilities for quarterly performance monitoring and reporting, it is recommended to designate one person only to bear these responsibilities.
  - Item 3.2: The identification of the chairperson of the Scheme Partner Committee: As a matter of Standard Operating Procedure (SOP), the monitoring report will need the approval of the local partners, thus effectively involving the local partners in scheme management and monitoring and thus in crucial decision-making. It is obvious that, in view of the importance of the function, this chairperson will need to be selected / elected and actively supported throughout by all main stakeholders. To maximize transparency and scheme ownership by the stakeholders, the chairperson will feed back the scheme performance monitoring data, findings and recommendations to the different stakeholders (e.g. on the occasion of steering committee meetings or in other consultative events).
  - Item 3.3: The identification of the Supervising PME Officer of the Actor Agency approving the respective PMES-3 performance reports before being sent to DGIC and, eventually, other authorized third parties. For reasons of improved supervision, quality control, compliance with procedures, rules and regulations (e.g. regarding timeliness) and for overall programme co-

ordination and oversight reasons, the quarterly reports will need to be approved by this supervisory PME officer. Such supervisory screening and endorsement of the performance monitoring reports also strengthens the internal monitoring and oversight functions within the actor agencies themselves.

For reasons of guaranteeing reporting authenticity and integrity it is suggested for the scheme managers to send the performance monitoring reports *both in printed and digital versions*. This facilitates automated data entry in the PMES database, while at the same time guaranteeing reporting authenticity and the necessary formal endorsements. Forwarding of printed copies will also be the regular *modus operandi* for as long as the PMES computerized system and network is not yet fully established and pilot tested. It is suggested that, in addition to entry of schemes PMES information in the especially designed database programme, also printed copies of the PMES-1's and PMES-3's will be archived

#### **4.3.3 Reporting Flow Control (~ PMES-3)**

Timeliness of reporting and of data entry, processing and analysis is a most crucial factor for the effective functionality and thus for the ultimate success of the proposed performance monitoring and evaluation system. A number of key moments in the reporting cycle have been differentiated for which timeliness / compliance with the time table will be monitored. Because of the frequency of progress reporting, this concern of timeliness of reporting particularly pertains to the quarterly performance monitoring reports. The following *four key moments* have been identified for PMES-3 monitoring flow control and reporting timeliness:

1. The date that the PMES-3 report was sent by the Actor to the DGIC Responsible Officer (refers to actor – DGIC information flows);
2. The date that the PMES-3 report was officially received by the DGIC Responsible Officer (refers to actor – DGIC information flows);
3. The date that the approved PMES-3 rapport has been dispatched by the DGIC Responsible Desk Officer to the Performance Monitoring and Evaluation data entry officer (refers to DGIC internal information flows)
4. The date that the PMES-3 report has been entered in the PMES computerized database system (refers to DGIC internal information flows)

The above flow control particularly applies to the *start-up phase* of the PME system during which all reporting flows will consist of transfer of written / printed documents (including the PMES-1 and PMES-3 forms). In this initial phase, responsibilities for data entry will be with the Performance Monitoring and Evaluation Office at DGIC central level. Gradually, exchange of PMES information, including quarterly performance reporting, will be computerized and facilitated by electronic communication means in a network setting (WAN - Wide Area Network and LAN - Local Area Network within DGIC). As a result, data entry will be gradually decentralized to

the actors level and within the different actor settings further down to the level of the individual scheme managers.

#### 4.3.4 PMES-1 Status and Official Tripartite Updates (~ PMES-1)

PMES is a *flexible system* with built-in capabilities to maximally adapt to changed circumstances. This also holds for changed circumstances with regard to the individual schemes, due to which for example updates of the Logical Framework, of the composition of key Objectively Verifiable Indicators (OVIs) or of the target setting on these OVIs might be required. These changes might be easily introduced in the PME system through editing of the PMES-1 “Development Scheme Identification and Key Indicators Matrix” base form.

While the PMES system is very flexible in accommodating any changes in the scheme’s SKIM, any such changes obviously need due *authorisation* from the competent parties involved in accordance with the pre-established procedures, rules and regulations. Such regulations are preferably included in the scheme technical document and financing agreement (scheme technical and financial files). The *PMES database* will be foreseen with the necessary security and access codes for restricted, authorised editing of the respective PMES-1 fields concerned. For authenticity and integrity reasons, any changes in the basic identification and SKIM settings of the scheme will need to be supported by a formal authorisation document issued by the competent party or body (e.g. a tripartite review body, the scheme stakeholder committee and the like).

*It should be avoided at all price* that the easiest way out of scheme performance and/or risk management problems becomes a simple adaptation of the scheme objectives, strategies or targets. Updates of the PMES-1 basic settings of the scheme should be regarded as a *last resort*, when regular management practice within the pre-set strategic framework of the scheme has become counterproductive, irrelevant or impertinent.

The system automatically keeps track of any changes affected in the PMES-1 base form. Such changes are very important information for reviews, evaluations and other more in-depth strategic studies of the schemes concerned. The *system automatically generates a history of PMES-1 updates* and reflects this information under item 1.11 “PMES-1 status and official tripartite updates”. This history is presented in matrix form with the subsequent updates listed by sequence number on the vertical axis. For each of the updates the following information is reflected on the horizontal axis:

1. Date of approval of the PMES-1 update;
2. The code of the formal document authorizing the change of PMES-1 base settings;
3. A summary description of main changes affected (in a pop-up memo field, allowing for more elaborated reporting text if so required).

## Remarks

The item 1.12 “Remarks” database memo field allows for reporting / entry of any type of information in free style. This field may be used for including important reminder information on for example the holding of tripartite reviews, the scheduling of external monitoring visits, etc. In this way, the PMES-1 form presents itself as a potential instrument for effective communication between the different key parties concerned with the scheme.

The PMES-1 form *visualizes* a maximum of four updates only on the form itself. More updates can be accommodated by means of a pop-up window. The field “Update Sequence Number this Official PMES-1 Version” gives an indication of the total number of updates and thus of the presence of any underlying pop-up window with information on the other updates not reflected on the base form / screen.

### 4.3.5 Summary Scheme Performance So Far (~ PMES-3)

This information block number 2 entitled “Summary Scheme Performance up to the End of the Last Reporting Period (in %) is *one of the main features* of the PMES-3 scheme quarterly performance monitoring report. It substantiates PMES as an effective management instrument, not only concerned with performance reporting to external parties but also providing updated, cumulative performance information to the scheme managers themselves. The importance for scheme managers to be availed of such crucial, duly authenticated scheme information for both day-to-day and strategic management cannot be underscored enough.

PMES generates this summary information *automatically* based on the information entered in the system by means of the PMES-1 scheme identification and SKIM form (the original form and its subsequent updates, if any) and the different PMES-3 performance monitoring reports on the preceding reporting period.

Performance accomplishments are expressed in *percentage* as compared to both (1) the current year targets and (2) the overall scheme targets. This summary reporting covers the three “E’s” dimensions of performance management subject to regular performance monitoring reporting, or in LogFrame parlance the inputs, activities and results/effects levels of the vertical intervention logic. More concrete, in PMES-3 information block 2 the *cumulative scheme accomplishments so far* on the performance dimensions listed in the box on the next page are automatically reflected by the system.

These performance accomplishments will be automatically *pre-filled* by the PMES computerized system on the PMES-3 forms sent out to the respective scheme managers for reporting on the accomplishments in the current reporting period concerned. On the other hand, the PMES-3 form includes the possibility for the scheme managers / scheme stakeholder committees to make *comments* on these figures (see the memo field under PMES-3 item 2 concerned). This is another illustration of the PMES system as empowerment tool, *facilitating effective communication* between the different scheme management levels as well as with the main stakeholders.

**Automatic calculation by the PMES system of cumulative scheme performance accomplishments so far: dimensions**

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1. **Physical and human resources inputs delivery, based on key indicators;**
2. **Cumulative disbursements (Authorizations to Incur Expenditures – appropriations) against latest revised allocations;**
3. **Cumulative expenditures against actual disbursements;**
4. **Scheme physical progress / activities, based on key indicators;**
5. **Scheme results and effects, based on key indicators**

#### **4.3.6 The Scheme Key Indicators Matrices (SKIMs) (~ PMES-1)**

##### **Inputs, activities and results/effects SKIMs**

The *methodological backbone* of the proposed Performance Monitoring and Evaluation System for the Belgian international co-operation is the system of Scheme Key Indicator Matrices (SKIMs): sets of key Objectively Verifiable Indicators (OVIs) for the different performance measurement dimensions, presented in a matrix table format. The OVI's themselves have been discussed at length earlier<sup>53</sup>.

The following *three* (out of a total of six) PMES performance measurement dimensions, which are situated in the information blocks 2,4 and 5 of the PMES-1 form, are subject to regular monitoring on a quarterly and/or semi-annual basis:

1. Physical and human resources inputs;
2. Physical progress (activities);
3. Results and effects.

The presentation of the OVI's on these three dimensions in matrix form takes a *standard format* with the following columns:

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**PMES Scheme Key Indicators Matrix (SKIM) :  
Standard SKIM Columns**

---

1 - 2	3	4	5	6 - 9
Key Indicators	Unit of Measurement	Overall Scheme Target	Indicator Weight Factor	Periodic Targets (e.g. by Year)

---

*Columns 1-2: Key performance indicators*

It is recommended *not to use more than 8 to 10 indicators* per performance dimension, although through the tool of pop-up windows as many additional indicators can be included as deemed necessary e.g. for internal management, monitoring and evaluation purposes. The indicators are listed *in summary semantic format*. It is advisable to work out full descriptions of the key OVIs to enable measurements by different persons in an identical and unambiguous manner. Such descriptions may be listed in a special annex to the official scheme document / financing agreement.

*Column 3: Unit of measurement ( UoM )*

The indication of the unit of measurement for each OVI obliges the formulation of indicators in a measurable or at least objectively verifiable manner. Indicators can be quantitative or qualitative (or incorporate both dimensions), hence also the units of measurement should be able to accommodate both dimensions.

Examples of *quantitative units of measurements* are:

- Number ( # )
- Units ( # )
- Financial ( EUR, BEF, USD, ... )
- Percentage ( % )

- Metric units ( kg, ha, l, tonnes, km, m<sup>3</sup>, hours, ...)
- Ratios / relative metric units ( number / total, kg/ha, number/m<sup>3</sup>, times/minute, ...)
- Averages and other statistical measures
- ...

Examples of *qualitative units of measurements* are:

- Logical, existence ( yes / no )
- Ordinal scales ( 0 to 5 scale, Likert scale, ...)
- Categories (unsatisfactory, below average, average, good, very good; Low, medium, high; ...)
- Average appreciation or satisfaction scores ( in %, ordinal, ...)

Examples of *mixed quantitative and qualitative OVI*s with corresponding Units of Measurement:

- Number of extension training sessions for farmers on Integrated Pest Management (IPM) methodologies conducted in the period under review with an average appreciation score by the participants of at least 7 on a 0 – 10 appreciation scale;
- Number of Village Development Committee meetings held in the period under review with a composition of at least 50% women and with at least 35% of the notified interventions coming from the women representatives;
- Hectares of agricultural land improved through land leveling and installation of drip irrigation in the period under review in accordance with the official quality standards and to the full satisfaction of the client farmers as documented in the official works completion and countersigned land transfer back documents;

#### *Column 4: Overall scheme target*

Is the value of the indicator targeted by the scheme, usually the target of the scheme *at the end* of the intervention. Target setting derived from strategic plans is the basis of performance measurement: it is the comparative basis against which to relate progress, accomplishments and achievements.

#### *Columns 6 - 9: Annual scheme targets*

These are the annual targets set in the scheme's strategic plans as a *roadmap* to ultimately realize the scheme's overall target. Such periodic target setting facilitates interim assessments of the scheme's performance. It is the basis for regular, periodic scheme performance measurement to ascertain that the scheme is on the right track to achieve its overall targets and to accomplish its objectives.

Annual target setting can be done in *two ways*: either as targets referring to the particular years (12 months period) concerned only or as cumulative targets referring to the whole period from the start of the scheme up to the end of the year concerned. The PMES system is *based on cumulative annual target setting*, because PMES has an overall strategic orientation geared towards the achievement of the scheme's

overall targets. Cumulative target setting always keeps focused on the end target / goal while at the same time providing for the necessary flexibility on how to achieve these target within the time span foreseen for it. On the other hand, cumulative target setting also obliges to make up for under-achievements in the preceding periods during the current and eventually the next reporting periods. In short, cumulative target setting keeps the scheme focused on its finality, on its ultimate purpose and goals.

The *number of columns* in the PMES-1 form for periodic (annual) target setting of course depends on the duration of the scheme. The standard PMES-1 is based on a scheme duration of four years. In case of a shorter duration, the number of scheme target columns will be reduced accordingly, like the number of columns will increase the longer the duration of the scheme.

*Column 5: Indicator weight factor (in %)*

The indicator weight factor gives an indication of the *relative weight* of the individual indicators in the total set of indicators. Without a weight factor, each of the indicators would have equal importance for determining the overall performance of the scheme, which of course is accordance with the real picture. Some indicators have a more important bearing than others in the determination of overall scheme achievements. It is like the construction of a house, were the relative value of for example the windows is less than the brick walls in the determination of the overall value of the house.

Indicator weight factors are expressed in percentages. Obviously, the sum of the individual indicator weight factors should be equal to one hundred percent. The determination of the indicator weight factor to a certain extent unavoidably is a *subjective* matter, subject to individual appreciation of the developer of the SKIM. However, there are a number of criteria based on which the determination of the weight factor can be “objectivated”, including the relative cost (both material and immaterial) to accomplish the indicator target for example, or the time spent to accomplish this target.

Determining a specific weight factor to an indicator can also be the reflection of *deliberate policy making and priority setting*. For example, in case gender or environmental concerns are priority focal areas of development co-operation policy making, than a higher than “proportionate” indicator weight factor may be attributed to the OVIs specifically focusing on these gender or environmental concerns. As such, the PMES-1 and PMES-3 forms are not only powerful management tools, but are also functional instruments for effective operationalisation of policies and concretisation of priorities setting. Another illustration of PMES’ “make it happen” adagio.

But there is also a *mathematical-statistical* reason for assigning weight factors to each of the indicators in the SKIM matrices. Without them, a SKIM would be as adding apples and lemons. For the calculation of the overall scheme performance, the achievements on each of the OVI’s should be brought in the equation. But because of the very different nature of these OVI’s a simple adding of the individual OVI ac-

accomplishments would not do. The assignment of weight factors to each OVI solves the problem.

*The overall scheme performance at the end of the reporting period equals the sum of the weighted cumulative achievements on the individual OVIs compared to the corresponding OVI cumulative targets for the year concerned.*

$$A_t = \sum_{i=1}^n \frac{A_{it}}{T_{iy}} \times w_i$$

with:

- $A_t$  = cumulative performance / achievement of the scheme at the end of reporting period t
- $n$  = total number of key objectively verifiable indicators (OVIs) in the SKIM
- $i$  = individual key objectively verifiable indicator in the SKIM
- $w_i$  = weight fact of indicator I (expressed in % with the sum of all OVI weight factors equal to 100 %)
- $A_{it}$  = cumulative scheme achievement (performance) on indicator i in the period up to the end of performance reporting period t
- $T_{iy}$  = scheme annual target for the year y of the reporting period t on indicator i

To facilitate calculations, qualitative indicators are *converted* into semi-quantitative status at discontinue para-metric level. For example:

- \* yes / no = 100 / 0 %
- \* scoring / categorisation into six categories = respectively 0, 20, 40, 60, 80 and 100 %

### Scheme Summary Budget

Different from accounting, scheme performance monitoring of financial utilisation *only focuses on the main budget lines*. In case of problems encountered, inconsistencies, anomalies or discrepancies between inputs, physical progress and/or results on the one hand and financial resources utilized on the other hand, more in-depth investigations ( control, inspection, financial audits, ...) may be conducted as the case may require or deemed fit. Financial utilisation per-

formance monitoring basically serves management and supervisory purposes, and is integrated in / complementary to the other dimensions of performance monitoring and evaluation.

The set of main (key) budget lines retained in the financial utilization matrix in block 3 of the PMES-1 form therefore is comparable both in purpose and format to the sets of key indicators for the different sub-matrices constituting the overall Scheme Key Indicator Matrix (SKIM). The list of main budget lines is *derived from* the budgeting and accounting practice prevalent in the Belgian international co-operation.

<b>List of scheme main budget lines used for PMES financial utilisation performance M&amp;E</b>	
<b>1.</b>	<b>Preparation costs</b>
<b>2.</b>	<b>Investment costs</b>
2.1	Capital Outlay
2.2	Vehicles
2.3	Office Equipment
<b>3.</b>	<b>Operating costs</b>
3.1	Personnel
3.1.1	Local personnel
3.1.2	International personnel
3.2	Training
3.3	Sub-contracting / out-sourcing
3.4	Expendable equipment
3.5	Operation and maintenance

A breakdown of the scheme budget by year is presented on the horizontal axis of the scheme summary budget table (block 3 of the PMES-1 form). The figures for each budget year are further broken down by financing source. To simplify the presentation and to focus on the main budget components, only two funding/financing sources are retained in the table: (1) Belgian ODA and (2) other sources of funding/financing, including the local counterpart funds. Plus the annual total, makes three budget columns per year.

All budgetary and financial figures are expressed in Euro (EUR).

## **Scheme Impact and Client Satisfaction**

Scheme impact and client satisfaction are performance measurement dimensions at the level of the *ultimate target groups* of the development scheme. As argued before, such measurements are *less prone to regular monitoring* but in most cases are the outcome of more structured and more elaborated exercises as surveys, evaluations and other in-depth assessments.

The SKIM for scheme impact and client satisfaction is situated in block 6 of the standard PMES-1 form. While methodologically and in presentation, this SKIM follows the format of inputs, activities and results performance monitoring as discussed above, the main difference is related to the *frequency* of reporting. Scheme impact and client satisfaction are more *ad hoc exercises*. OVI target setting therefore is limited to those *key moments* of scheme implementation which require strategic decision making: the scheme mid-term review and the end-of-scheme. Furthermore, since in most cases scheme impact is only felt, and takes only effect after a certain period of time (= the impact time lag), impact target setting necessarily goes *beyond the scheme duration*. PMES standard foresees three impact measurements in the three first years after scheme execution (see columns 8 tot 10 of block 6 of the PMES-1 form). Since all schemes (should) aim at capacity building and strengthening of local partners, it is assumed that most data gathering and analysis for these ex-post exercises can be accommodated through the regular local public or private structures and programmes.

The organisation of annual overall development impact assessment at the level of the local entities for this matter (by the Local Government Units, in co-operation with civil society entities) is briefly discussed in chapter 5.2. It is envisioned to prepare another PMES methodological publication on this subject matter.

Impact assessments and client satisfaction measurements are only possible if the necessary *baseline values* at the start-off phase of the scheme are available. These OVI baseline values are reflected in column 5 of the impact SKIM.

It should be stressed that in order to make possible relevant, reliable and scientifically correct impact assessments, substantive *resources* are often needed. These should be explicitly foreseen from the onset in the scheme budget.

## **Scheme Development Relevance Assessments**

In the international development co-operation performance measurement and management scene, this dimension of scheme performance assessments has substantially gained importance in *recent years*. In some international agencies (e.g the Commission of the European Union), development co-operation performance monitoring is almost uniquely focused on the development relevance (DR) dimension<sup>54</sup>.

The proposed Performance Monitoring and Evaluation System (PMES) for the Belgian International Co-operation mainly focuses on this DR dimension from the perspective of the *Law of 25*

*May 1999 on the Belgian International Co-operation.* Apart from the criteria laid down by Law, also some generally recognized cross-sectoral themes are retained as DR criteria. It is suggested that a broad-based stakeholders consultation will be organised to ultimately decide on the final selection and formulation of the main criteria and underlying sub-criteria of the DR dimension, to be included in the PMES Development Relevance SKIM, which is situated in block 7 of the standard PMES-1 form. The below *criteria list* is meant to stimulate this discussion.

**PMES key criteria for  
Development Relevance Assessment**

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1. Partnership and ownership
2. Institutional and managerial capacity building
3. Economic and social impact
4. Overall sustainability, especially technical and financial viability
5. Coherence, programme logic and methodological soundness
6. Efficiency of the implementation strategy
7. Poverty alleviation / reduction
8. Gender equality
9. Protection and/or safeguarding of the environment

The above development relevance criteria are not only used for the Development Relevance dimension of performance management and measurement, but serve also as criteria for the *appraisals* of development schemes. The appraisal scores on each of these criteria therefore can be considered the scheme baseline values of development relevance, against which eventual later assessments can be compared.

A scoring on a *0 to 5 scale* (in column 4 of block 7 of the PMES-1 form) is suggested as methodological tool, with a zero as entirely unsatisfactory and 5 as excellent. An extra "N" category (= "not applicable, not relevant") is foreseen. In line with international practice in questionnaires and surveys design, the PMES Development Relevance SKIM differentiates an even number of appreciation scores, since assessors psychologically tend to opt for the middle value grey zone. The 0 to 5 scale moreover makes possible an easy conversion of the scores into percentages, and as such to calculate an overall weighted development relevance assessment score.

In column 6 of block 7 of the PMES-1 form, special space is foreseen for main appraisal *remarks*. Also incorporated in the form is the *list of foreseen* DR assessments with indication of month and year if applicable.

As a last information item, the PMES-1 form provides details on the *budgetary provisions* made for performance monitoring and evaluation related exercises as :

1. Baseline surveys
2. Beneficiary / client studies
3. External monitoring visits
4. Mid-term reviews
5. Final evaluations

Since development relevance criteria by their very nature are more general and abstract, they are also prone to different interpretation and appreciation by different sources. Secondly, since most of the criteria as listed, are composite criteria, there is a *need for breaking them down* for the individual components and assign scores on each of these. Hence, it is recommended to develop for each of the above criteria *standard checklists* which serve as (more) objective basis for development relevance assessments along these criteria. The scoring on the different individual development relevance criteria therefore can be a weighted average of the scoring on the underlying checklists.<sup>55</sup>

It is recommended to address the above methodological issue of development relevance criteria and corresponding OVIs *in a more systematic way*. An *experts technical working group* might need to be created to that effect. Also, their recommendations with regard to the final set of criteria and checklist will need *endorsement from the main stakeholders* (e.g. following a special conference) as to ensure their multi-sectoral relevance and feasibility for the different actors and programmes in the Belgian international co-operation. Moreover, because mandated by law in the framework of the development of sectoral, thematic and country strategic notes, and because of its special expertise in the field of sustainable development, the Federal Council of Sustainable Development<sup>56</sup> might fulfil an important role in this exercise.

#### **4.3.7 Performance Reporting Based on the SKIMs (~ PMES-3)**

##### **Performance Reporting on Inputs, Activities and Results/Effects**

For consistency purposes and for reasons of user-friendliness, by and large the same format as for PMES-1 is used for the quarterly<sup>57</sup> performance monitoring reporting by means of the PMES-3 form “Scheme Quarterly Performance Monitoring Report – QPMR”. A second reason for this *consistency* is that because of the relational design of the PMES database the PMES-3 forms are closely linked to the PMES-1 base form.

It can be noticed that the information blocks 5, 7 respectively 8 of the PMES-3 form correspond with the information blocks 2,4 respectively 5 of the PMES-1 form. As such, most of the information included in the quarterly progress reports will be *automatically pre-filled*, based on the information entered in the PMES database from the PMES-1 base form and the PMES-3 forms related to preceding reporting period. This partial pre-filling of PMES-3 progress reporting forms is one of the major user-friendliness and workload reduction features of the proposed PMES system.

**PMES Quarterly Performance Monitoring on the SKIM OVI:  
Standard Form Structure, with Indication of Pre-filled Portions**

**PRE-FILLED Columns :**

1 - 2	3	4	5	6
Key Indicators	Unit of Measurement	Overall Scheme Target	Cumulative Scheme Targets by the End of the Current Financial Year (CFY)	Cumulative Scheme Achievements until the End of the Last Quarterly Report

**Columns TO BE FILLED-OUT still only :**

7	8	9
Cumulative Achievements up to the end of the Current Reporting Period	Comments, if any	If difficulties and/or delays were encountered, please describe corrective action(s) taken or suggested to whom

From the above it may be noted that because of the automatic inclusion of previously entered data in the PMES database system, the information still to be reported is *reduced to the minimum*. It consists of three items only:

*Column 7: Cumulative achievements in reporting period:* "Cumulative achievements up to the end of the current reporting period" requires data gathering on the achievements / accomplishments during the current reporting period only, since this information can be added on the already reported information related to the entire period before the present reporting period (as reflected in column 6).

**Column 8:** *Comments, if any:* Is the summary narrative report on the overall scheme performance in the reporting period concerned. Especially problems encountered, if any, will be focused on. However, also success stories or special achievements are encouraged to be reported here. Additional sheets may be added to the PMES-3 base report in case deemed necessary / appropriate.

**Column 9:** *Corrective actions on difficulties encountered:* Invites the scheme manager to report on difficulties encountered in the scheme, whether internal or related to the scheme's broader enabling environment. As such, PMES substantiates itself as empowerment instrument of local level management and the scheme's target groups and beneficiaries, because it make possible regular reporting to the hierarchy or authorized external parties on any difficulties encountered by the scheme. By this feature, PMES also substantiates itself as a risk management instrument, because it systematically analyses factors of the broader enabling environment of the scheme which indeed have or possibly may have a negative bearing on overall scheme performance.

As performance enhancement management tool, PMES is not contented with a description of problems encountered and simply reporting these to third parties. On the contrary, its requires scheme managers to creatively look for *solutions* of these problems and to report on any initiatives or corrective actions taken to remedy the situation. In case such remedial actions is not possible at the level of scheme management, PMES provides scheme management with the formal opportunity to make *suggestions to the hierarchy or other third parties* for corrective actions to be taken by them. Another illustration of PMES as local empowerment instrument.

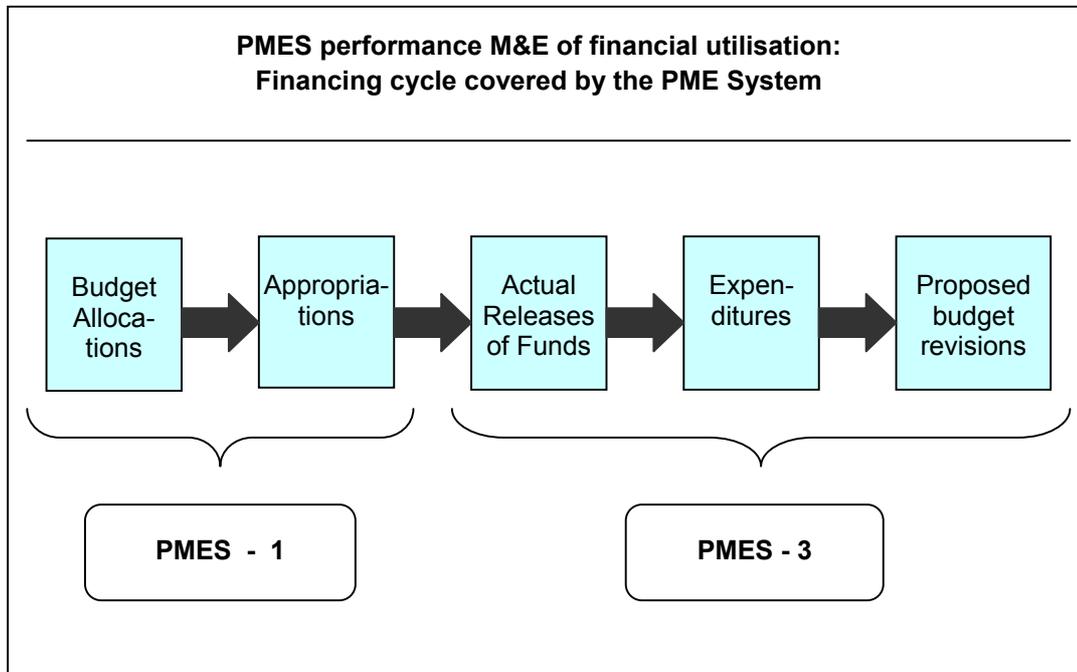
*A visual indication by means of shaded areas* of the fields in the PMES-3 form which only need to be filled-out by the scheme manager for quarterly performance reporting is indicated in the sheets incorporated in Annex 3.3.

### **Performance Reporting of Financial Utilization**

The above constellation is the set of standard columns for the Scheme Key Indicator (sub-) matrices for performance monitoring reporting on (1) inputs, (2) activities and (3) results. *Mutatis mudandis*, the same formatting and presentation principles apply to the performance monitoring reporting of financial utilization along the scheme's main budget lines which are the same in the information blocks 6 resp. 3 of the PMES-3 resp. PMES-1 forms.

PMES performance measurement of financial utilization *covers the entire budgeting – expenditures cycle*. It therefore is not only a control instrument on the use of financial resources, and is not even in first instance so. Equally important, if not more importantly so, it also checks on the

timely transfer and availability of the required and agreed upon financial resources at the local level of scheme implementation. The integrated budgeting and financial cycle covered by PMES performance monitoring and evaluation of financial utilization is schematically presented below:



The PMES dimension of performance monitoring of financial utilization focuses on *both* equally important aspects of budgeting in the Belgian international co-operation:

- (1) allocations ( “vastleggingskredieten” - “credits d’engagement” );
- (2) appropriations ( “ordonnancieringskredieten” - “credits d’ordonnancement” )

In the PMES tables, this difference is reflected as “allocations” and “effective fund releases”<sup>58</sup> respectively. The PMES computerized system automatically generates separate analyses and reports on both budgeting and financing aspects.<sup>59</sup>

PMES is also concerned with the *annuity of budgetary credits*. Therefore, PMES makes a clear distinction between budgetary resources from the preceding years and the resources of the Current Financial Year (CFY).

Each quarter, the summary report on the financial utilization during the just preceding financial year is automatically included (see columns 3 to 5 of block 6 of the PMES-3 form). For the CFY, a distinction is made between the figures related to the period up to the end of the last quarter (which are automatically included by the PMES database system) and the figures of the current reporting period (which have to be filled-out on the form by the reporting scheme manager). As far as information on financial utilisation in the CFY is concerned, the following *columns* are integrated in block 6 of the PMES-3 form:

PMES-3 Columns on Financial Utilisation in the Current Financial Year (CFY)					
6	7	8	9	10	11
Allocations	Fund Releases up to the End of Last Quarter	Fund Releases During This Reporting Quarter	Expenditures up to the End of Last Quarter	Expenditures During This Reporting Quarter	Balance at the End of this Reporting Quarter

The *balance* between fund releases and actual expenditures at the end of the reporting period is automatically calculated ( in column 11). In case of balances, the scheme manager is requested to indicate what he/she *proposes* as (eventually alternative) use(s) of these balances and/or as revisions of the allocations to the next tripartite review body, if so required. It is understood that budgetary revisions and alternative use of funds can only be effected after due formal authorization of both the financing agency (e.g. DGIC, eventually through its Development Attaché in the supervising Embassy) and the local counterpart authorities/ local partners concerned.

In this way, performance monitoring and evaluation of financial utilization is substantiated as an *effective financial management and supervisory tool*. It enables a rational process of budgetary revisions and/or re-allocations based on objective information on past (financial and results based) performance. In Column 12, explicit provisions are made for “suggested revision of allocations/appropriations to the next tripartite review, if any”. In Column 13 “remarks”, the scheme manager can include any observations, remarks or suggestions he/she might want to share superiors or other authorized third parties with regard to the financial management of his/her scheme. This may pertain to any aspect related to the scheme budget (base allocation), allocations, releases, expenditures and/or any other budgetary or financial matters.

Column	Description
8	Fund releases during the reporting quarter
10	Expenditures during the reporting quarter
12	Suggested revision of allocations to the next tripartite review, if any
13	Remarks regarding any scheme financial matters

As can be gleaned from the shaded PMES-3 form included in Annex 3 to this report, most data fields of the financial utilization SKIM are *automatically pre-filled* by the PMES computerized database system. As such, PMES financial reporting is reduced to a minimum. In fact, only the columns indicated in the box on the preceding page are to be filled-out by the scheme manager himself/herself.

All figures are in Euro. Totals and balances (e.g. column 11) are automatically calculated by the system.

### **Scheme Impact and Client Satisfaction Performance Reporting**

Scheme impact and client satisfaction assessments are *ad hoc* exercises of a more *in-depth* nature. They thus are not the subject of regular performance monitoring reporting. *Only* if in the period concerned a scheme impact or client satisfaction exercise has been concluded (report made available) providing information on one or more of the key indicators included in the scheme impact / client satisfaction SKIM, the indicator values transpiring from these exercises are reported in the PMES-3 report of the period concerned, in the SKIM block 9 of the PMES-3 form.

The OVI period specific *target values* are the targets of the reference period, being the financial year in which the research at target groups level has been conducted and the base data have been collected. Information on this scheme target setting is automatically included in the partially pre-filled PMES-3 form (even if in the reporting period concerned no impact or client satisfaction assessments are being / have been conducted). The baseline values on the scheme indicators at the start of the scheme are presented in column 7 of SKIM block 7 of the PMES-3 form.

Information on the impact and/or client satisfaction exercise conducted in the reporting period (if any) is presented in columns 6 to 12 of the impact / client satisfaction SKIM. These are the only columns to be filled out by the scheme manager if an impact / client satisfaction exercise has been finalized and documented in a survey / research / assessment report in that reporting period. The information items to be reported provide succinct information on the type, contents, methodology and actual indicator value. The requested information on the assessment exercise is the *minimum information possible* to ascertain the relevancy and pertinence of the study. This information is presented in the columns listed in the box on the next page.

Scheme impact and client satisfaction assessments can be conducted following a scheme internal initiative or can be part of external monitoring or evaluation exercises.

Column	Description
8	Description of the impact / client satisfaction assessment (s) conducted in the reporting period, if any
9	If the research has not been executed internally by the scheme staff themselves, identification of the executing entity of the study (university, consultancy company, NGO, etc.)
10	Geographical coverage of the survey
11	Sample size (number of persons, households, organisations, economic units)
12	Actual impact / client satisfaction OVI value

### Reporting on Development Relevance Assessments

Like impact and client satisfaction assessments, also development relevance (DR) assessments are *ad hoc* exercises, but by their very nature are basically reserved for *external* monitoring or evaluation only. Development relevance assessments investigate *the fundamental orientations* of the scheme in relation to its ultimate goals and purposes. Obviously, only third parties not involved in one way or another in scheme implementation can conduct such assessments in an impartial way.

Similar to the development relevance *appraisal* conducted at the onset of the programme cycle and reported on in block 7 of the PMES-1 form, the methodological tool used in PMES-3 (block 10) for such assessments during and post scheme implementation is a scoring on a *0 to 5 appreciation scale*. Comparisons with the original appraisal scores on the respective indicators enable determining in a more objective manner how well the scheme performed over time in enhancing its development relevance vis-à-vis the recipient clientele of stakeholder and ultimate target groups and for society as a whole.

#### 4.4. The System's Output Side : Output Reports

For the discussion on the PMES system's output side of output reports, it might be good to bring three basic principles of PMES design back to mind in this connection:

- PMES in first instance is an internal management tool;
- PMES is an external control instrument for higher level programme management and accountability;
- PMES facilitates decision-making at operational, tactical and strategic management levels.

An information system as PMES is only as good as it succeeds in effectively enabling and further strengthening rational decision-making at all levels based on up-to-date, objective, reliable and pertinent information.

##### 4.4.1. PMES' Facilitation of Decision-Making at All Levels

As argued before, the challenge of any information system is to capture and to analyze out of the abundance of available data around only this core information necessary for decision-making. Obviously, the specific job requirements and the position of the decision-maker in the structure, organisation or hierarchy give rise to different information requirements to support those decisions. This logically derives from the fact that decision making is different in nature depending on the contents of the function and the position in the hierarchy or structure.

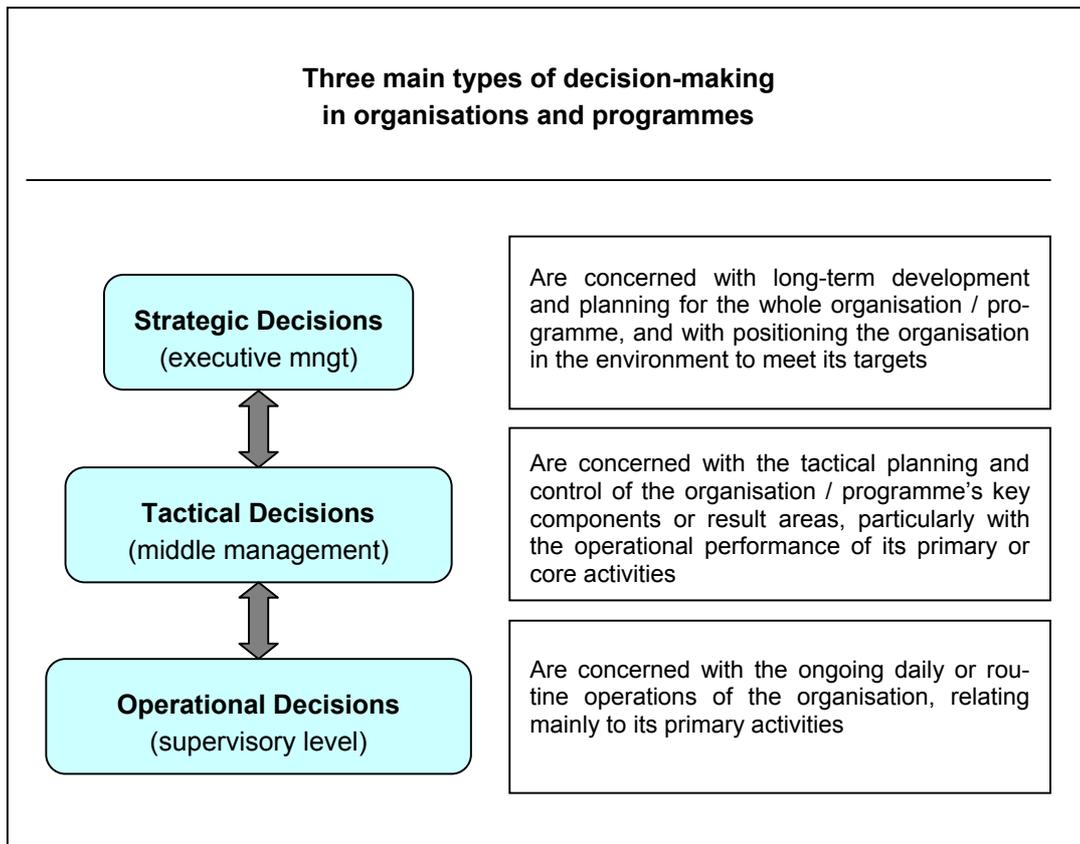
Basically three different types of decision-making can be differentiated, as depicted in the chart on the next page.

PMES as envisioned performance monitoring and evaluation information system for the overall Belgian International Co-operation is expected to equally support decision-making *at all three main programme and organisational levels*. This pertains both to the Directorate-General for International Co-operation (DGIC) as the mandated co-ordinator and supervisor for all Official Development Assistance (ODA) and to the different actor agencies in charge of the implementation of the different components of this ODA.

It is becoming increasingly clear that performance measurement systems need to be sufficiently *comprehensive and balanced* in its selection of indicators and production of output reports to cover the needs of all major stakeholders and management levels. For example, focusing only on higher level outcome and impact indicators and concomitant reporting will not provide an implementing agency with the types of information it needs to implement activities efficiently. Conversely, concentrating only on process and results indicators might result in efficient produc-

tion of the wrong things, by not providing decision- and policy-makers with effects and impact information they need to make enlightened policy choices. Similarly, over-emphasis on financial performance may reduce the quality of services or the number of outputs produced.

Thus, performance measurement systems should try to cover or balance all major aspects of performance and levels of the objective hierarchy.



PMES necessarily needs to be designed in such way as to maximally cater to the needs of these different decision-making levels. On the other hand, in accordance with its Terms of Reference, the PMES system will be maximally developed as a *strategic information system*. Its concern are not in first instance the individual development schemes, but the broad, strategic orientations and performance of the Belgian development co-operation.

From the table on the next page it can be deduced that since *strategic decisions* tend to be rather unstructured and non-programmable, are characterized by high levels of unpredictability, uncertainty and risk, rational decision-making at this level puts extra requirements on the envisioned Performance Monitoring and Evaluation System for the Belgian international co-operation. PMES indeed is expected to regularly process well defined, crucial types of external and internal information for this decision-makers group as a general part of the vital organisations' and programmes' needs to develop good sources of intelligence and broad performance indicators to effectively enable strategic decision-making.

**Decision Levels and Required Information Types and Quality**

<b>Information Attributes</b>	<b>Operational Decisions</b>	<b>Tactical Decisions</b>	<b>Strategic Decisions</b>
<b>Orientation</b>	Primarily internal	Internal and external data utilized	Greater orientation to external data
<b>Planning horizon</b>	Immediate to next few days	Short to medium term (weeks and months)	Medium to long term (months and years)
<b>Performance focus</b>	Focus on current activities	Historic and current activities	Focus on predictive rather than historic performance
<b>Coverage</b>	Relates to specific activities	Relates to groups of activities within department / function	Coverage of whole organisation
<b>Level of detail presented</b>	Highly detailed	Mixture of detailed and summarized reports	Data typically in highly summarized form
<b>Uncertainty levels</b>	Low uncertainty levels	Moderate levels of uncertainty	High levels of uncertainty as focusing on longer term
<b>Degree of objectivity</b>	Objectively measured data normally	Combination of objective and subjective data	Data incorporate higher proportion of subjective valuations
<b>Level of accuracy</b>	High levels of accuracy usually required	Moderate accuracy levels	Accuracy less critical of decisions at this level

### Differences in PMES Information Requirements

Hence PMES' major challenge lies in timely providing the different types of decision-makers in the different stakeholder organisations the type of quality information they need for their managerial purposes. Therefore the range of information and output reports provided by PMES needs to be *sufficiently broad* to serve the demands of all these key groups of stakeholders and management levels<sup>60</sup>.

Many of these groups will have narrow or partial interests in measures of performance<sup>61</sup>. For example, implementing agency field staff might be most concerned about indicators tracking whether inputs and activities are proceeding according to plans, whereas unit heads might focus on achievement of output targets. The intervention's customers / beneficiaries would be most concerned about the achievement of intermediate results, effects and satisfaction measures,

which affect them directly. Long-term, socio-economic development impact might be the primary interest of senior policy-makers in the partner country government or in the donor agency, as well as the donor country's parliament and taxpayers.

Within the implementing agency, as the *level of management* changes, the level of detail of the indicators and required processed information may change. A field manager, for example, will need to keep detailed records about individual workers, materials purchased, activities completed, etc. on a daily or weekly basis, whereas district or central scheme managers would require more summary data on a less frequent (monthly or quarterly) basis. The *nature* of indicators might also shift. At the field level, the priority would be for indicators of resources, costs, and activity milestones, whereas higher management levels would be most interested in efficiency ratios, results, effects, impact and customer satisfaction targets.

The perspectives and information / indicator needs of *different stakeholders* may vary as well. Those of the implementing agency, for example, may be different from those of the donor agency. Implementing agencies tend to be most concerned with information / indicators of implementation progress, results and perhaps with the more intervention-specific effects, but not with broad impact over which they have little control. On the other hand, donor agencies – especially their senior officials – are concerned with broad aggregates of social and economic impact. They need such information for making strategic policy decisions and also for reporting to their legislative branch and executive oversight agencies concerning the significant development results to which their agencies have contributed.

Senior officials and policy makers in the partner country governments also have a stake in impact indicators and information – much like the donor agencies and their domestic constituencies. But herein lies a *potential conflict*. If the development impact indicators are "*driven*" by the donor agencies, but each donor agency has different requirements, the amount of duplication and burden on the partner country may be overwhelming. As more and more donors begin to focus on impacts, this problem may multiply *unless efforts at harmonisation and collaboration* among the donors and partner countries increase as well.<sup>62</sup> PMES therefore promotes the principle of annual development impact assessments conducted at the level of the respective Local Government Units (LGUs) which transcend individual project/programme impact analyses. Such LGU based development impact assessments are not only a necessity for methodological reasons and for reasons of sustainability, but are also the most optimal option in terms of cost-efficiency and cost-effectiveness. This is further elaborated on in chapter 5.2.

It may be concluded that in view of the different information requirements described above, it is recommended to execute a structured *information needs assessment* (INA) with the main stakeholders and the different categories of decision-makers / system users at the onset of PMES operationalisation.

### **Interlocking of Logical Frameworks and PMES Consolidated Reports**

As illustrated earlier<sup>63</sup>, PMES builds on two management instruments which are widely accepted in both DGIC and its development co-operation actors: the Logical Framework (LogFrame) and

integrated Programme Cycle Management (PCM). One of the very useful features of the Log-Frame methodology is that each Logical Framework can be *decomposed* in a series of component LogFrames of a lower level. Or expressed the other way round: a series of related Log-Frames can be integrated in a Logical Framework of a higher level. This is a most important feature enabling the development of a Performance Monitoring and Evaluation System (PMES) for the whole Belgian international co-operation which is able to generate output reports with different levels of aggregation, useful for the respective decision-makers at each of these hierarchical consolidation levels.

The European Community in this context refers to the term “*interlocking Logical Frameworks*”<sup>64</sup>: Each Logical Framework can be worked out in sub-logical frameworks. Each of these sub-logical frameworks describe components of the “master” logical framework (programme) on a more detailed level (action – project – sub-programme). The same system of sub-dividing a Logical Framework can be applied to components of an action – project – sub-programme.

The intervention purpose of the “*master*” *Logical Framework* becomes the overall objective (goal) of the sub-logical framework, while each result becomes the intervention purpose of one of the sub-logical frameworks. Major activities listed in the “master” logical framework become results in one of the sub-logical frameworks. New detailed activities have to be identified for the sub-logical framework. The system of sub-dividing a “master” logical framework is useful to show the coherence of components in a programme or sub-programme / project and to develop each component in more detail. The interlocking Logical Frameworks at different levels (e.g. programme, sub-programmes, projects, components) will be required for the management at these different levels and visualize the different responsibilities of these management levels. As such at the same time, they enable determining the performance monitoring and evaluation information requirements at each of these levels. This identification of information needs at the different managerial levels is crucial for the design of appropriate and relevant PMES output report formats.

### **Possible Uses of Performance Indicators and Reports Based on these Indicators**

As far as the possible uses and advantages of performance indicators and the processed output reports based on them are concerned, the World Bank<sup>65</sup> identified the following main functions:

1. **Strategic planning:** For any programme or activity, from a development project to a sales plan, incorporating performance measurement into the design forces greater consideration of the critical assumptions that underlie that programme’s relationship and causal paths. Thus performance indicators help clarify the objectives and logic of the programme.
2. **Performance accounting:** Performance indicators can help inform resource allocation decisions if they are used to direct resources to the most successful activities and thereby promote the most efficient use of resources.

3. **Forecasting and early warning during programme implementation:** Measuring progress against indicators may point toward future performance, providing feedback that can be used for planning, identifying areas needing improvement, and suggesting what can be done.
4. **Measuring programme results:** Good performance indicators measure what a programme has achieved relative to its objectives, not just what it has completed; thus they promote accountability.
5. **Programme marketing and public relations:** Performance indicators can be used to demonstrate programme results to satisfy an external audience. Performance data can be used to communicate the value of a programme or project to elected officials and the public.
6. **Benchmarking:** Performance indicators can generate data against which to measure other projects or programmes. They also provide a way to improve programmes by learning from success, identifying good performers, and learning from their experience to improve the performance of others.
7. **Quality management.** Performance indicators can be used to measure customer (beneficiary) satisfaction, and thereby assess whether and how the programme is improving their lives.

#### 4.4.2. The PMES Consolidated Output Reports Generation Modules

##### The PMES Table Generation Modules

PMES as demand based information system will maximally cater to the PME needs of the different decision-makers at the different hierarchical levels of the different stakeholder organisations. Consolidated output tables production is the *raison d'être* of an encompassing performance measurement information system as PMES. PMES output reports production will be facilitated through two main modules:

1. A series of pre-programmed *standard report formats* on a wide variety of scheme PME concerns: Table generation by the authorized user will be activated by a simple clicking of the table code or the table title concerned from the pre-programmed list of standard tables. These standard report formats will be developed for the most common standard, recurrent information requirements. A sample of such standard reports (drafts) are attached under annex 5 for ready reference.

2. *A flexible report generation module*: this module enables the user through a most user-friendly and logical guided process to design his/her own table format in accordance with his/her specific requirements. Special table generation add-on programmes may be utilized for that purpose<sup>66</sup>. The functionality of this module is particularly related to specific ad hoc requests for performance information which is not readily available in the above-mentioned list of pre-programmed standard reporting formats.

### Selective Types of PMES reports

Depending on the position and job requirements of the user, specific types of reports will need to be generated by the PMES system. As a general rule of thumb can be applied that the higher the position in the organisation's or programme's hierarchy, the more consolidated the information required for decision-making. Just by way of example of a hierarchy of geographical consolidations:



*Consolidated tables* can be generated based on a number of individual criteria or on a combination of these individual *criteria* (for example: a table on a variety of performance indicators for all food security programmes in sub-Sahara Africa with an overall budget of at least 500.000 Euro ). Content wise a series of consolidated report types can be differentiated:

- Geographical consolidations (e.g. country, region, corporate)
- Sub-sectoral consolidations (e.g. based on SNPC codes and sub-codes)
- Thematic consolidations
- Consolidations on specific individual key Objectively Verifiable Indicators (OVIs)
- Consolidations based on specific scheme target populations, groups, beneficiaries, gender specific
- Consolidated budgetary and financial utilisation reports
- ...

*At present*, the DGIC information system basically runs consolidated reports on budgets (allocations and appropriations) only, with breakdowns based on geographical criteria and SNPC (sub-) sectoral criteria, both on an annual and multi-annual periodic basis.

As far as the *time dimension* is concerned, PMES output reports can be classified as follows:

- status reports: providing static situational information at a particular moment in time
- trend reports: providing chronological information over a period of time covering different reporting periods (the latter being quarterly, semi-annually, annually, five-year plan, etc.)

As far as the *presentation formats* are concerned, PMES output reports may also vary substantially, depending on the needs and priorities set by the different users and user-categories:

- reports on *individual* interventions or programmes (e.g. a PMES-3 report on one particular scheme)
- *listing reports* of individual schemes on specific performance criteria
- *statistical summary tables* (based on averages, standard deviations, highest & lowest values, etc.)
- *diagrams and charts*

Because of their ability of visualizing complex data configurations in one single presentation sheet, the use of diagrams and charts in reporting is becoming more and more important for facilitating decision-making, especially in situations of extreme time pressure. Some of the most widespread used types of *diagrams and charts* include the following:

- bar charts
  - line charts
  - pie charts
  - xy scattergrams
  - area charts
  - surface charts
  - high-low charts
- With for most of these, the following presentation variations:
- \* clustered
  - \* stacked
  - \* 100% stacked
  - \* 3D option
  - \* ...

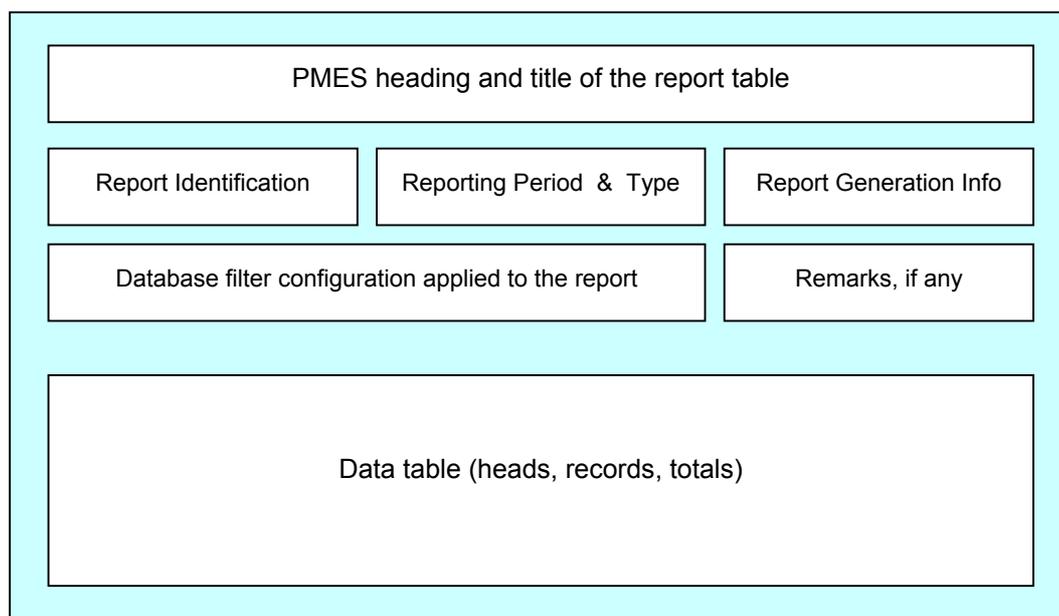
### Samples of PMES Output Reports

Because the basis of PMES is performance reporting by means of standard forms based on the use of sets of key objectively verifiable indicators, PMES as computerized performance measurement system is able to generate a wide range of output forms for the different levels of decision makers and stakeholder categories. As for the input forms, also for the output reports which will be generated by the PMES system, the same *standardization* in formats is aimed at for reasons of increased user-friendliness through uniformity in presentation.

The proposed standard format of the *PMES Automated Standard Output Reports (PASOR)*, consists of the following information blocks:

- 
- PMES heading and title of the report table
  - PASOR report identification with three (3) fields:
    - ID number
    - PASOR category
    - report description
  - Reporting period and type (6 fields):
    - Status report or trend report (check boxes)
      - If status report: quarter and year
      - If trend report: from ( Q / Y ) to ( Q / Y )
    - Report type: listing or summary statistics (check boxes)
  - Report generation information (4 fields):
    - Date this printout
    - Date last editing of records
    - Report generated by: Name
    - Report generated by: Position
  - Database filter configuration applied to the report (checklist of 10 filters with for each a provision for filter description)
  - Remarks (text or memo field provision for narrative clarifications, comments, suggestions, etc.)
  - The main report table, consisting of:
    - The column numbers
    - Table heads (column heads)
    - The table records / data
    - The table totals (or averages), if applicable
- 

The proposed standard lay-out format of the output forms for the above information blocks is presented on the next page:



### PMES Database Query Filters

One of the main features of the PMES output tables generation module is its *flexibility* in accommodating specific requests from the decision-makers, thanks to the use of database filter combinations. The list of standard PMES database filters includes the following:

<b>List of PMES Database Query Filters</b>
<ul style="list-style-type: none"><li>• Scheme cycle status</li><li>• DAC SNPC sub-sector</li><li>• PMES Scheme Key Indicator matrix (SKIM)</li><li>• Geographic area</li><li>• Thematic focus</li><li>• Actor agency</li><li>• Approval date</li><li>• Date official start of scheme</li><li>• Total amount of allocations, engagements</li><li>• Cumulative amount of appropriations so far</li><li>• Any other filter identified by the stakeholders which meets the state-of-the-art requirements</li></ul>

*Any combination* of the above filters with regard to the selection of records to be retained for the generation of a table can be applied in principle. For example: a PMES database query on all

NGO executed (=1) development programmes approved after 1997 (=2) in the sub-sector of reproductive health (=3) with a budget of at least 0.5 million Euro (=4).

### Levels of Aggregation

Another dimension of variation in the tables that can be readily generated by the PMES computerized database system is the level of aggregation of the data included in the table. PMES *grosso modo* differentiates *four levels/types of aggregation*:

PMES Reports by Level of Aggregation	
1.	Individual scheme reports
2.	Listings reports
3.	Summary reports
4.	Overall, organisation wide reports

These different types of PMES reports aggregation levels correspond to the *specific information needs* of the three earlier identified hierarchical groups of decision makers:

Reports by Level of Aggregation	Priority User Decision-Making Level
1. Individual scheme reports	operational
2. Listings reports	tactical
3. Summary reports	tactical
4. Overall, organisation wide reports	strategic

As can be derived from the above table, the PMES database processing and output reports generation system will be designed in such way as to maximally cater to the specific information needs of the different decision making groups.

In the system of PMES Automated Standard Output Reports (PASOR), each type of report aggregation is indicated with a *code*:

Reports by Level of Aggregation	PASOR Code
1. Individual scheme reports	PMES-3
2. Listings reports	LI
3. Summary reports	SU
4. Overall, organisation wide reports	OS

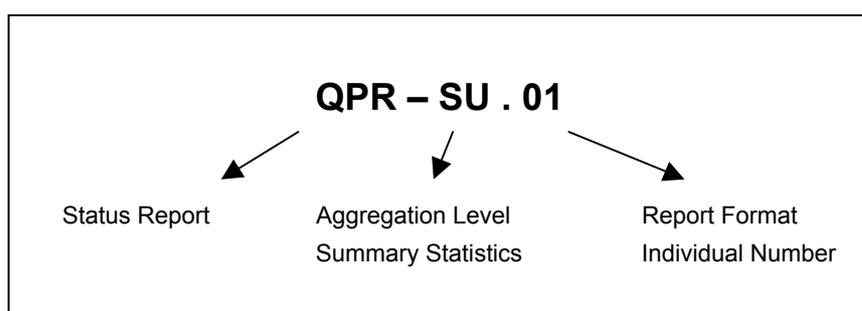
### Status and Trends Reports

For each of the above levels of aggregation, both *status* reports (at one particular point in time, e.g. year 1999 quarter 3) and *trends* reports (over a certain period of time, covering different reporting periods, e.g. from the 1<sup>st</sup> quarter of year 1998 to the 4<sup>th</sup> quarter of year 2000) can be generated. Statistical techniques would even make it possible to *extrapolate* these trends reports beyond the last reporting period. Needless to point out the advantages of forecasting for strategic planning and management purposes.

PMES Automated Standard Output Reports (PASOR) status reports are indicated with the abbreviation QPR (quarterly progress reports), while PASOR trend reports are indicated with the abbreviation TR (trend).

### Standardized Output Reports Codes

Based on the above criteria and classifications, each PMES standard output report (PASOR) is identified by a *unique Identification Number* (ID-Number). This number is included in the "PASOR Report Identification" information block in the standard heading of each report. The standard format of the ID-Number consists of three components. Below is an illustration for report type QPR-OS.01 :



As can be gleaned from this particular form concerned, which is included in the Annexes, the title of the above sample PASOR report is: "Statistical report of average schemes summary quarterly progress in cumulative achievements in relation to targets, by sub-sectors (in %)". This

is a summary status report, basically catering to the information needs of managers and decision-makers at the tactical (sectoral) level.

The combination of the above code with (1) a specific database filter combination and (2) an indication of the reporting period concerned, leads to the generation of any *unique, individual report* by the PMES computerized database system, made to fit the specific information requirements of any manager at any level.

### Samples of PMES Output Reports

In Annex 5, a *selective series* of PMES sample output reports with different levels of aggregation is presented. It should be stressed that these are preliminary draft formats only. Obviously, for PMES as client (=actor) based information system, the design and development of output report formats is a *participatory process* where the specific information needs of the system users are the determining factor for system design, not the least for the design of the output reports to be generated by the system.

The selection of output reports in **Annex 4** is presented by aggregation level as follows:

QPR-LI Series :	Listing reports of schemes summary quarterly progress
QPR-SU Series :	Summary reports on quarterly progress monitoring
QPR-OS Series :	Overall summary statistical reports on quarterly progress monitoring
TR-LI Series :	Trend analysis of schemes cumulative achievements in relation to the scheme overall benchmark targets, by scheme

A selection of thirteen draft output forms based on the information provided through the PMES-3 monitoring forms (and the base information from the respective PMES-1 SKIMs) has been included in Annex 4 for illustration purposes. On these forms, different filter combinations can be applied. One such filter combination is applied for every report in the annex. Divided over the four above main types of reports, the list of attached PASORs to *stimulate discussions* on the outlook of the ultimate PMES standard output report forms is as follows:

#### QPR-LI Series

- 01 Listing report of schemes summary quarterly progress in cumulative achievements in relation to benchmark targets (in percentage by scheme)
- 02 Listing report of schemes quarterly reporting on progress comments, problems encountered and/or actions taken or suggested (narrative summaries)

**QPR-SU Series** (quarterly progress monitoring summary statistics)

- 01 Statistical report of average schemes summary quarterly progress in cumulative achievements in relation to targets, by sub-sectors (in percent)
- 02 Statistical report of average schemes summary quarterly progress in cumulative achievements in relation to targets, by country/area (in percent)
- 03 Statistical report of average schemes summary quarterly progress in cumulative achievements in relation to targets, by actor agency (in percent)

**QPR-OS Series** (quarterly progress monitoring overall summaries)

- 01 Summary statistical report of overall quarterly programme progress in cumulative achievements in relation to targets, by main priority sectors (in percent)
- 02 Summary statistical report of overall quarterly programme progress in cumulative achievements in relation to targets, by main regional area (in percent)
- 03 Summary statistical report of overall quarterly programme progress in cumulative achievements in relation to targets, by main actor categories (in percent)
- 04 Summary statistical report of overall quarterly programme progress in cumulative achievements in relation to targets, by cross-sectoral themes (in percent)

**TRI-LI Series** (trend analysis – only samples of listings reports are included )

- 01 Listing report of schemes physical progress trends in cumulative achievements (activities) in relation to the overall scheme targets (in percent by scheme)
- 02 Listing report of schemes financial utilisation trends as compared to the overall scheme allocations (engagements) – cumulative expenditures as percentage of total allocations (engagements)
- 03 Listing report of schemes financial utilisation trends as compared to the cumulative appropriations (cumulative expenditures as percentage of cumulative appropriations)
- 04 Listing report of schemes trends in results and effects generation in relation to the overall scheme targets (in percentage by scheme)

As can be gleaned from this selection of possible PMES output reports, all PASOR's have the *same format and composition of report information blocks*. The main table usually consists of three blocks of columns (separated from each other by means of a double vertical line):

Column Block 1 : Identification of the “record-cells” in the table, with selective supplementary information on these record-cells concerned. These “record-cells” can be individual schemes or can be (sub-)sectors, geographical areas, themes or any other type of aggregations of individual schemes;

Column Block 2: The core part of the table: the processed report data;

Column Block 3: Remarks, if any (one column only), allowing for narrative comments, observations, methodological notes on the respective table records.

## Concrete Illustration

For the sake of illustration only, let us take for example PMES standard output report included in Annex 5 under code QPR-SU.01 and entitled “Statistical report of average schemes summary quarterly progress in cumulative achievements in relation to targets, by sub-sectors (in percent)”:

- is a status report (as can be derived from the QPR code, but also confirmed by a check mark in the table heading information block “Reporting Period and Type”)
- the report type is summary statistics with averages shown in the table (see last item in information block “Reporting Period and Type”)
- A threefold combined filter combination is applied for the generation of the report:
  1. DAC SNPC (sub-)sector: is the applied main classification;
  2. Actor agency: the selection is set for direct bilateral co-operation (Belgian Technical Co-operation - BTC-CTB);
  3. Approval date: all schemes officially approved after 1997

The combined filter therefore is: table of average sub-sectoral (SNPC code) achievements of all schemes approved after 1997 and executed by the Belgian Technical Co-operation (BTC-CTB)

- The three parts of the main table are as follows:
  1. Classification of (sub-)sectors in accordance with the SNPC code book (columns 1 to 7) with following individual columns:
    1. Sub-sector sequence number in the table
    2. Sub-sector SNPC code
    3. Description of Sub-Sector
    4. Number of schemes in the category
    5. Total allocated budget (in Euro)
    6. Total appropriated amount (in Euro)
    7. Average age of the schemes (in months)
  2. Weighted average summary achievements of the schemes, cumulative at the end of the reporting period (in percent of current year benchmark targets – schemes’ weight based on total engagements):
    1. Timely provision of inputs
    2. Expenditures in relation to total allocations

3. Expenditures of the current financial years in relation to the appropriations of the current financial year
  4. Activities physical progress
  5. Results and effects (semi-annual, if applicable)
3. Remarks, if any
- The totals / averages row at the bottom of the main table give the average achievements of all schemes executed by the Belgian Technical Co-operation approved after 1997.

This table, based on the individual schemes' performance monitoring reports PMES-1, gives *in one single sheet* an overview of the average performances of all schemes approved after 1997 and executed by BTC-CTB, broken down by SNPC sub-sector. It therefore serves the management information needs of both sectoral and executive managers in the BTC-CTB and at the same time of the DGIC desk officers and managers of the direct bilateral co-operation concerned in charge of programme co-ordination, follow-up, monitoring and evaluation and ultimately of course of the higher level policy and decision makers, and all those parties the BTC-CTB is accountable to.

## 5. Gradual, Phased Introduction of a Co-operation Wide PME System

### 5.1. PMES as Co-operation - Wide System

The proposed Performance Monitoring and Evaluation System (PMES) as described in the preceding chapter has been designed from an overall Belgian international *co-operation wide perspective*. While overall co-ordination and management responsibilities obviously are with the *DGIC Administration*, it cannot be stressed enough that such system can only succeed if the system also adequately functions at the level of the different *actor agencies* responsible for the implementation of the Belgian development co-operation. This ensures that the necessary PMES information system inputs are effectively delivered from these different sources in an efficient and timely manner. Also at these levels - and maybe even in first instance at these levels - PMES should evolve into an effective management tool for enhanced planning, programming and implementation.

In turn, these actor agencies can only provide the necessary (consolidated) information to the PMES central office in DGIC, if they themselves are in a position / have the capacity to retrieve the required information from their respective programmes, projects and activities *in the field* in a qualitative, standardized, regular and timely manner. PMES *decentralization* therefore is imperative to ensure effective empowerment of the field and intermediate levels in system operations.

#### System Steering and Piloting

Standardization of procedures and streamlining of information flows will prove one of the major challenges for effective PMES operationalisation. This will require a *strong central steering* of the whole system, ensuring the necessary support functions in terms of human and institutional capacity building with all actors at all levels, but at the same time effectively assuming its main responsibility of ensuring the *system's main two functions of managerial strengthening and accountability enhancement* at all levels.

Because of the largely innovative character of PMES and because of the relative non-familiarity (at least in effective practice) of many actor and partner agencies with standardized monitoring, a *gradual, phased introduction* of a comprehensive system as PMES is highly recommended. This includes *piloting* of the system with a selection of actors and/or special programmes in a first phase as a learning exercise for overall, co-operation-wide system introduction and operationalisation.





As further argued hereafter in the concluding chapter 5.3, a strategic information system as PMES can only become effectively operational and functional, if the necessary “*enabling environment*”<sup>67</sup> for such a system is present. This enabling environment is the basis for the design of the strategic roadmap for PMES operationalisation throughout the Belgian co-operation. This implementation roadmap covering a period of four calendar years is presented on the two preceding pages.

The most appropriate strategy for gradual PMES introduction and operationalisation throughout the Belgian co-operation has been identified as the combination of a piloting of the system within the Belgian Survival Fund (BSF) and possibly other actors particularly on methodological and technical aspects on the one hand, and on the other hand simultaneously ensuring an institutional anchoring of the envisioned system within a Performance Monitoring and Evaluation Office directly under the DGIC Special Commissioner<sup>68</sup> with strong co-ordination and complementary support and control links with the different units internally within DGIC and externally with the different actor / partner agencies to ensure the standardized system’s viability and sustainability.

A series of general and more specific recommendations on each of the eight dimensions of the necessary enabling environment for PMES as well as lists of priority activities and initiatives under the different key result areas of the PMES operationalisation roadmap have been worked out in chapter 8.3 of the PMES base report.

## **5.2. PMES as Participatory, Stakeholders-Owned System**

### **The Slow but Steady Road to System Sustainability and Ownership at Local Level**

The sustainable operationalisation of a comprehensive participatory performance monitoring and evaluation system as PMES obviously cannot be accomplished overnight. The system’s participatory character not only aims at system ownership by the different actor agencies of the Belgian international co-operation, but ultimately aims at system ownership by programmes / projects local implementors, partners, stakeholders and targeted beneficiary groups. Obviously, this requires a comprehensive capacity building and human resources development drive. Moreover, standard procedures need to be worked out for streamlining of work processes and information flows.

In short, PMES operationalisation brings with it a whole rationalisation process in the different units, organisations and stakeholder entities involved in the system at local level. These are most crucial system spin-off effects. For many these indirect effects of PME system introduction in terms of stakeholders capacity strengthening are considered from a sustainable development perspective to be of even bigger importance than the strictly performance measurement and management related benefits.

## The Two Main Complementary PMES System Components at Local Level

This full system operationalisation at the local levels of programmes / projects implementation comprises the two main components of the envisioned Local Government Units (LGUs) based participatory performance monitoring and evaluation system. The main system component is the schemes performance monitoring and evaluation system covering programmes, projects and individual activities, the PMES as outlined here before.

The second system component is supportive to this main scheme PME system, by concentrating on performance assessment of the combined schemes at the level of overall development impact in the respective covered Local Government Units (communities, villages, municipalities, district, provinces, etc). For that purpose, it is envisioned to organise annual development impact assessments at LGU level with involvement of the civil society stakeholders, based on a limited number of agreed upon key development impact indicators.

## The Rationale for Annual LGU based Impact Assessments

The rationale for the organisation of annual development impact assessments at LGU levels based on the use of a selective number of key development impact indicators as integral part of the envisioned PMES system at grassroots level, stems from a “*hitting two birds in one shot*” principle:

- (1) on the one hand, PMES’ strategic option of gradually mainstreaming local level impact monitoring as a regular programme of the beneficiary Local Government Units, in order to ensure system durability and sustainability, and;
- (2) the observation of a general lack of systematic, quality and reliable development baseline and impact data at the local level, despite the different and mostly very costly initiatives which have been and are being undertaken by different sources (LGU, national and or international).

Moreover, the problems of *attribution* (“a correlation between two phenomena does not necessarily imply a causal relationship between them”) and *time lagging* (“impact is mostly only felt after a certain period of time, and often after the development scheme has terminated already”) with regard to measurement of development impact of individual project and programmes are commonly known to methodologists and programme managers.

In view of the above considerations, management of an increasing number of programmes / projects are opting for performance assessment on their LogFrame impact indicators to be *gradually transferred* to their clientele of LGUs and civil society key stakeholders. On the other hand, the different LGU levels are facing substantial problems with the availability of regularly (e.g. annually) updated and reliable development impact data. PMES therefore envisions to meet both challenges through the organisation of LGU managed annual development impact assessments based on an amongst the LGUs and civil society stakeholders agreed upon selection of key development impact indicators.

## **The Process of Key Impact Indicators Development and Selection at Local Level**

One of the main challenges of course is the participatory formulation and final selection of key impact indicators (KII), agreed upon by the different stakeholders concerned. A *two phases process* of key impact indicator development is recommended.

In first instance, there is the identification and ultimate selection of key impact indicators at the sectoral level, the *sectoral key impact indicators* – SKII (e.g. agricultural SKIIs , health SKIIs, nutrition SKIIs, environmental SKIIs) etc) or at the level of clustered sectors (e.g. agriculture and environmental SKIIs, health and nutrition SKIIs). Therefore, the classification of sectors / sector clusters needs to be established on a consensus basis by the different stakeholder groups concerned ahead of actual SKII development. To keep the system feasible and manageable, as for PMES in general, it is strongly suggested to limit the number of SKIIs per sector to eight (8) only, or to an absolute maximum of ten (10) at most. Participatory SKII development and selection is best done in sectoral workshop settings wherein the main stakeholders of both LGUs and civil society are duly represented.

Once the sets of SKIIs are prepared for all identified sectors / sector clusters, the ultimate selection of a maximum of ten *overall development key impact indicators (DKIIs)* from the SKIIs can be organised, preferably in a multi-sectoral workshop setting. A balanced, proportionate sectoral representation in the final set of DKIIs is to be aimed at, but it is the workshop plenary group which ultimately makes the final selection.

For system consistency reasons, it is recommended to have *consensus building* on a core set of DKIIs at higher LGU level, e.g. at provincial level. Local variations can still be accommodated if justified, for example by add-on indicators (same principle as for the KII's coming from the special programmes / projects). Another possible limiting factor is the *availability of baseline data / benchmarks* as comparative basis against which the assess progress and/or impact.

## **Key Impact Indicators Benchmark Values and Targets Setting**

Once consensus has been reached amongst the stakeholders concerned on the final sets of Sectoral Key Impact Indicators (SKIIs) and Overall Development Key Impact Indicators (DKIIs), the next step is the *target setting* on the respective indicators by the different individual LGUs (targets for the whole plan period and further broken down by year for the annual plans and programmes). Additional information required are the *benchmark baseline values* for each SKII – DKII, as well as indicator weight factor determination (the latter is optional). The design of a standard form for the “Overall Development and Sectoral Key Impact Indicators Selection and Target Setting” could be considered for that purpose.

## **The Organisation of the Annual Development Impact Assessments at LGU Level**

Once the KIIs are selected and the targets are set (flexibility by means of annual adjustments is built in into the system, as long as transparency and duly authorisation by the stakeholders is guaranteed), the assessment of annual development impact based on these indicators can be

organised on a routine basis by *sample surveying* in the respective LGUs / communities covered (the impact assessments are at lower / lowest LGU level, with consolidations automatically generated for the higher LGU levels). It is recommended to use the same sampling technique in all covered LGUs / communities (e.g. ad random sampling of for example 10% of the households, or a fixed number of for example 100 households per community).

For reasons of economic use of scarce resources, KII base data collection is preferably *integrated* in institutionalized surveys. If not possible, impact assessments should be integrated in the regular budgets of the LGUs with support from the national / regional level. In the initial take-off phase and/or until sustainable self-organisation by the LGU is guaranteed, the internationally funded programmes / projects in the area are recommended to technically and financially support (partially) the annual impact assessments exercises.

A standard form “Development and Sectoral Key Impact Indicators: Base Data Collection Management and Financing Plan by Local Government Unit” may be designed for this purpose. Such form would contain both a data collection and a data collection management and financing plan, worked out for each KII.

The design of a third form “Annual Performance Reporting Form: Overall Development and Sectoral Key Impact Indicators Achievements, by LGU” could be considered as the standard recording and reporting form to be used by each LGU for reflecting the results (indicator values) of the annual development impact assessments on the different KIIs. As for the PMES system in general, most fields (e.g. on indicator identification, baseline values and values of the preceding years) would be already pre-filled by the computer system based on information entered on earlier occasions.

Thanks to standardization and to database computerization, impact assessments at *aggregate level* (e.g. geographically, sectoral, etc.) can be automatically generated by the system and are available at any time to decision makers, stakeholders, clients/beneficiaries and other interested parties concerned. This consolidated information in turn can be integrated automatically in the PMES-3 forms to be filled-out by the management of the Belgian international co-operation programmes / projects concerned. As such, PMES effectively substantiates the integration of local level PME concerns with overall co-operation PME concerns.

The design of the local dimension of the comprehensive PMES system has received intensified attention. Some piloting has been initiated. It is envisioned to prepare a special methodological publication on this particular subject within the framework of the overall PMES system.

### **5.3. The Necessary Enabling Environment for an Operational PME System**

As a closing chapter, some basic insights related to the necessary enabling environment for an effectively operational and sustainable performance monitoring and evaluation system for the

Belgian international co-operation. Information systems do not operate in a vacuum. On the contrary, they operate only as well as their broader environment enables them to do so. This a fortiori holds for performance monitoring and evaluation systems, which are dealing with very central and crucial, and often sensitive matters. As experiences in many parts of the world have shown, all too often splendid automated information systems have been programmed, only to find out later on that they have never become operational simply because this so-called enabling environment was lacking or not well enough established.

This insight is at the basis of the rather laborious consultation process conducted in the framework of the PMES assignment with the different stakeholders. One of the main objectives of these different meetings was to discuss the status of the different components of such enabling environment in general and more specifically at the level of the different actors concerned, for the introduction and effective operationalisation of a comprehensive, standardized performance management and evaluation system for the Belgian International Co-operation. At the same time, the enabling environment as analytical instrument proved a powerful tool for mapping the strengths and weaknesses of the respective organisations or organisational entities as far as the introduction of such standardized PME system is concerned<sup>69</sup>.

Systematically addressing the issues of the enabling environment of an information system makes the difference between *information management* (IM) and *information technology* (IT). Obviously, the former has a much broader perspective than purely technology aspects. As illustrated by the more recent information systems theories, strategic information management is a strong, effective (if not an indispensable) tool for organisational integration and organisational performance management. In many cases, the rationale for management underlying a decision to introduce performance information systems in their organisation or programme is more related to organisational and institutional strengthening than to strictly information needs only.

### **The Key Elements of the PMES Enabling Environment**

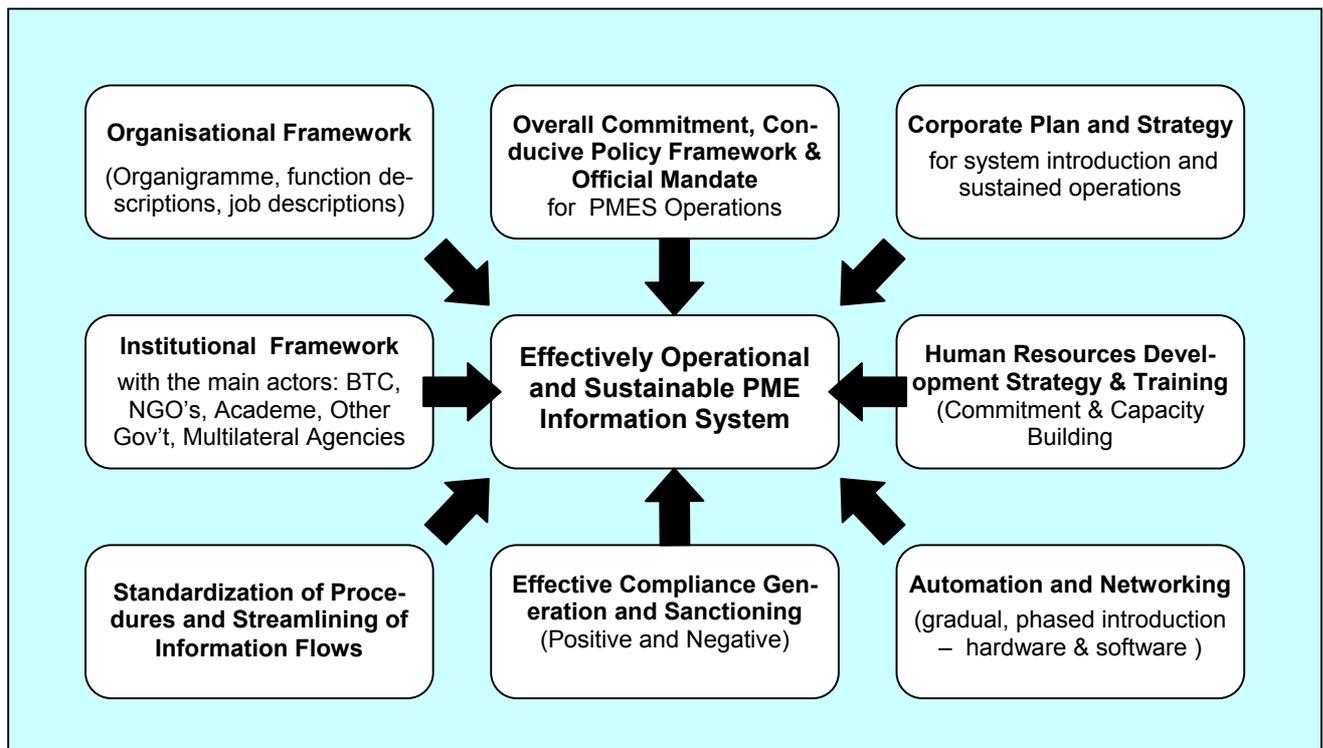
*Eight (8) key elements* of the necessary enabling environment for an effectively functional strategic information system as the envisioned PMES for the Belgian International Co-operation are described below. This set of key elements has been developed based on practical experiences with monitoring and evaluation information systems and served as analytical tools for the PMES stakeholders analysis as well as for the design of the PMES operationalisation roadmap.

1. ***Overall commitment, conducive policy framework and official mandate for performance management, monitoring and evaluation.***

This pertains both to DGIC as central administration and to the different actors responsible for programme implementation. The official mandate has to come from the highest authorities to bestow the system with the necessary authority, ensuring compliance with the systems' procedures, rules and regulations at all levels. On the other hand, the system should be owned by all stakeholders and parties involved to ensure its viability and sustainability. The necessary broad-based support for the system should be enlisted at all levels, and particularly from the grassroots reporting levels, in the common wisdom that in case there are no information inputs there obviously also will not be any outputs

generated by the system. An important success factor in enlisting this broad based support for performance monitoring and evaluation, lies in effectively realizing a *positive monitoring and evaluation culture* in the different programmes: monitoring and evaluation should be appreciated and used as positive management tools rather than looked at as external burdens and policing instruments. This “cultural “ switch probably is one of the most daring challenges in effectively operationalising a results based management information system as the envisioned PMES.

### The Necessary Enabling Environment of a PME Information System



#### 2. Corporate plan and strategy for system introduction and sustained operations.

The development and operationalisation of a relatively complex, multi-dimensional and multi-actor information system as PMES need careful strategic and operational planning and cannot be dependent on incremental “au jour le jour” decision-making. Also PMES introduction needs to be a concerted effort involving all parties concerned, both within DGIC and with the multi-sectoral actors as providers of the base PME information. Many attempts to introduce performance based management in DGIC and with the actors were relative failures, despite their intrinsic qualities and merits, basically because they were undertaken on an individual, isolated basis and never succeeded in becoming the standard for the whole organisation / programme.

### **3. *Organisational framework***

Information management and organisational strengthening are as the two sides of the same coin. They are interdependent and mutually reinforcing. In complex, multi-layered organisations, the need for a conducive organisational framework for PME operationalisation is even more outspoken. But even in smaller actor organisations with limited field operations in other continents, clear-cut organisational structures uniformly understood by all personnel and services are a sine qua non for performance measurement systems as PMES. The functions of the different organisational units have to be clearly defined, with a special focus on performance management, monitoring and evaluation aspects. The individual job descriptions will need to have explicit references to PME tasks and responsibilities, so that everybody, regardless his/her level, knows what is expected from him/her. Organisational charts / organigrammes need to be designed logically and consistently. Both horizontal (between entities at the same hierarchical level) and vertical (between different vertical layers, e.g. headquarters, country office and scheme management) co-ordination needs to be particularly focused on to ensure sustainable smooth flows of information.

### **4. *Institutional framework***

Whereas organisational charts are concerned with the internal ordering of organisations, institutiogrammes (institutional charts) map the interrelations between organisations / institutions. In the context of the Belgian international co-operation with programme executing responsibilities outsourced by the Administration to external (direct-bilateral, indirect-bilateral, indirect-multilateral, emergency,...) actors, this rational (effective and efficient) organisation of institutional relationships is a *conditio sine qua non* for performance management, monitoring and evaluation. But also between the actors, relationships require an objective basis for PME (this particularly pertains to PME of schemes with multi-actor inputs). Clear protocols, agreements, memoranda of understanding, etc. will need to regulate operations, communications, rights and responsibilities of the different parties concerned. For PMES, based on regular performance reporting, such formalized relationships are crucial in order to guarantee effective system operationalisation. Regular meetings and other communication means are integral part of the framework. Clear functional descriptions of relationships, authorities and responsibilities with special partner agencies as the Ministry of Finance (Inspectorate) and the Central Audit Court (“Rekenhof” / “Court des Comptes”) are a necessity to facilitate smooth operations with regard to PMES’ financial utilization component.

### **5. *Standardization of procedures and streamlining of information flows***

Obviously, with so many different individual development schemes, so different institutional partners and operations in so different geographical areas and sectors, standardization of procedures and streamlining of information flows is an absolute necessity. For these specific reasons, during PMES development special attention will be given to the participatory finalization of the PMES reporting forms (PMES-1 and PMES-3 in a first stage), which need to be comprehensive for PME reasons but at the same time user-

friendly and leading to workload reduction. One of the basic principles of PMES design and development is to make maximum use of existing methodologies and procedures. PMES' challenge therefore has been / is to combine the different methodologies in use on a piecemeal an/or scattered basis into one standard, umbrella performance monitoring and evaluation system applicable to all sectors.

## **6. *Human resources development and training***

Systems can function only as well as the people who administer and use them are (made) capable of handling them. During the PMES situational analysis and needs assessment, this HRD need was uniformly brought forward as one of the most crucial - if not the most crucial - dimension of the enabling environment of PMES as envisioned. Particularly since PMES presents itself as a field oriented and empowerment system, special attention will need to be given to the local grassroots level, to scheme managers and responsible local partners. But not only a comprehensive training programme needs to be foreseen to guide PMES introduction and operationalisation, performance management, monitoring and evaluation would preferably also become integral part of personnel appraisal systems, with special focus on positive sanctioning of the individuals concerned showing outstanding PME performance. Particularly for DGIC, and especially in view of the Copernicus plan for the reform of the Belgian public sector characterized by a centralization of support functions to the line departments, this human resources development component of its personnel policy might need to be particularly looked into. Especially in the early inception, pilot phase of PMES introduction and operationalisation, this HRD dimension needs special attention. The PME capacity strengthening and help desk functions proposed to be institutionally parked within the Office of the Special Evaluator (OSE) and especially the Performance Monitoring and Evaluation Office (PMEO) within DGIC will prove to be crucial for a successful operationalisation of the envisioned PME system. The HRD and training programme will need to give equal importance to technical capacity building on performance planning, management, monitoring and evaluation on the one hand and to overall and individual commitment to results based management and to PMES operationalisation on the other (capacity building and commitment generation as twin focus of the PMES HRD programme).

## **7. *Effective compliance generation and sanctioning.***

Let us face it: nobody enthusiastically reports. Without effective compliance generation strategy pertaining to all parties and levels involved, any information system, and particularly a performance monitoring and evaluation system as PMES, is doomed to fail. An information system is only as strong as its weakest link. The success of the system therefore is the collective effort of all those involved. A sanctioning and compliance generation strategy in first instance focuses on positive sanctioning mechanisms: rewarding compliance in annual appraisal reports and concomitant career perspectives; broadening of responsibilities at appropriate level; training and exposure opportunities; documentation and distribution of best practice cases as learning tool, are just a few of the positive sanctioning instruments. More important mechanisms however have proven

to be: (1) *training* on system use (a large proportion of non-compliance is basically the result of either non-familiarity with the system or shortcomings in technical or analytical skills of personnel) and (2) *systematic provision* of feedback information to the reporting parties (field experiences show that most frustrations of reporting staff are the direct result of a virtually complete absence of systematic feedback – field staff feel their reports disappear in a black box without action taken, hence often resulting in ritualistic reporting behaviour from their end). On the other hand, and only in second instance, and particularly in cases of repeated or persistent inadequacies, negative sanctions may have to be applied: negative implications for career perspectives and remuneration scaling; temporary suspension of fund transfers to the scheme; and in a worst case scenario, termination of the scheme. The financial sanctioning, as a last resort, should be kept integral part of the sanctioning package. Lessons learned from other international agencies show that the financial sanctioning dimension necessarily should be kept in the system to ensure its necessary compliance assurance teeth.

#### **8. *Automation and networking:***

It goes without saying that when dealing with so many interventions on which will be reported on a regular basis, *automation* is an absolute must. In view of the different actors and parties involved, spread over the whole world, also *networking* is a basic utility. A phased automation will be pursued, with parallel to it a gradual decentralisation of PMES data entry. Automation also means standardisation of hardware and software (cfr. the DGIC case of a temporary mixture of Macintoshes and PCs, awaiting full changeover to a PC environment) and includes basic automation and communication functions as internet browsing, e-mailing, word processing and spreadsheets production. A special user-specific and user-friendly PMES database software programme will need to be designed and developed. In the initial phase of system trials, electronic mailing of progress reports will need to be accompanied by duly signed printed copies for security and authentication purposes. In countries / areas with sub-optimal telephone lines, PMES data transfer might have to be established by means of exchange of floppy disks. In conclusion, while a crucial dimension of the enabling environment of a performance measurement information system as PMES, computerization is only one of the eight dimensions of the system's enabling environment: the crucial difference between information technology and information management.

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## Notes

- <sup>1</sup> OECD – Working Party on Aid Evaluation; “*Results Based Management in the Development Co-operation Agencies: A Review of Experience*”; Working Party 32<sup>nd</sup> Meeting – Background Document No. 3; November 1999.
- <sup>2</sup> OECD; “*In Search of Results: Perspectives on Public Expenditure Management*”; Paris; 1997.
- <sup>3</sup> The functionality of the envisioned PME system for decision making at the different managerial levels is discussed in Chapter 4.4.1.
- <sup>4</sup> OECD – Public Management Committee; “*Improving Evaluation Practices – Best Practice Guidelines for Evaluation and Background Paper*”; PUMA/PAC(99)1 – Unclassified; January 1999; pp. 19-20
- <sup>5</sup> Op. Cit.; p. 20. – The excerpt is literally copied at length here in view of the importance of the issue and its relevance for the currently ongoing debate in the Belgian development co-operation on the specific roles and functions of respectively internal and external evaluation and its complementarity in relation to / integration in performance management and measurement ( or in connection with a proposed integrated performance monitoring and evaluation system, which is the subject of the present study)
- <sup>6</sup> Vaes, R. & Van Hemelrijck, A., *Participatory Design of a Performance Monitoring and Evaluation System for the Belgian International Co-operation (PMES)*, Consultancy Report, Brussels, March 2001.
- <sup>7</sup> Op. Cit.; pp. 6-7.
- <sup>8</sup> As will be more elaborately illustrated in Chapter 4 hereafter on the system’s design framework.
- <sup>9</sup> OECD – Public Management Committee; “*Performance Management in Government: Performance Measurement and Result-Oriented Management*” – PUMA Occasional Papers, 1994, No. 3, Paris.
- <sup>10</sup> PMES briefing workshop for Non-Governmental Organisations of 06 February 2001.
- <sup>11</sup> Commission of the European Communities - SCR Evaluation Unit; “*Manual Project Cycle Management - Integrated Approach and Logical Framework*”; Brussels; February 1993; p. 14.
- <sup>12</sup> World Bank; “*Performance Monitoring Indicators Handbook - World Bank Technical Paper No. 334*”; Washington DC; 1997; pp. 4-5
- <sup>13</sup> As will be illustrated in Chapters 4.2 and 4.3 hereafter, the proposed Performance Monitoring and Evaluation System (PMES) for the Belgian International Co-operation takes duly into account risk management aspects in its PME reporting system. However, in order not to distract scheme managers from their core performance management business, it is opted for a narrative account of risks and problems encountered, if any, rather than systematically reporting on each of the risk objectively verifiable indicators identified.
- <sup>14</sup> In view of their crucial importance for the envisioned PME system, Objectively Verifiable Indicators (OVIs) are discussed somewhat more at length in chapter 4.1.3 hereafter.
- <sup>15</sup> See chapter 5.3. “The necessary enabling environment for an operational PMES”.
- <sup>16</sup> Ministry of Foreign Affairs, Foreign Trade and International Co-operation; “PRIMA – Process Integrated Management”; Brussels; 1999; p. 1.
- <sup>17</sup> The legal and methodological framework recently developed by DGIC uses the generic names of “samenwerkingsprestaties” in Dutch and “prestations de coopération” in French. A literal translation of the term in English is not available. Therefore, in this report the generic English term “scheme” is used, referring to any type of co-operation initiative or programme, be it a fully fledged programme, a component or a project therein, an activity, or any other initiative.
- <sup>18</sup> For UNDP, “Good practice” in programme design and assessment is to ensure that an objective basis for performance assessment is established at the design/planning stage... Programmes and projects need to have clear and unambiguous objectives, stated as results - UNDP, “*Improving Pro-*

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- gramme Performance Assessment in UNDP - a concept paper*", OESP Series on Lessons Learned; New York; 1995; p 15.
- <sup>19</sup> Coded PMES-1: Development Scheme Identification and Key Indicators Matrix; see Chapter 4.3 hereafter.
- <sup>20</sup> The links between the Logical Framework and Strategic Information Management, including performance monitoring and evaluation, are further explored in Annex 2. This Annex 2 also contains practical information for the formulation of OVI's at each level of the LogFrame intervention logic.
- <sup>21</sup> The column "Corresponding PMES-1 Box of Indicators" refers to the standard PMES-1 format which can be found in Annex 3, and is further explored under item 4.3 of this Chapter .
- <sup>22</sup> World Bank; "*Performance Monitoring Indicators Handbook - World Bank Technical Paper No. 334*"; Washington DC; February 1997; p. 1.
- <sup>23</sup> On different occasions during the stakeholder consultations and also on the occasion of the briefing and feedback sessions, the issue of urgent standardisation of terminology was raised. It was suggested to organise a special workshop on this issue in order to reach consensus between the different stakeholders concerned in the Belgian international co-operation.
- <sup>24</sup> As has been argued before, the development of sets of key indicators ideally is a combination of inductive (based on selection of indicators from LogFrames of individual schemes) and deductive (development of sub-sector specific sets of performance indicators by experts and programme managers in consultation with the main stakeholders concerned) processes. To stimulate the latter processes, the organisation of a series of sub-sector specific key indicators development workshops is strongly recommended.
- <sup>25</sup> United Nations Development Programme; "*Improving programme performance assessment in UNDP - a concept paper*"; New York; 1995; p. 20.
- <sup>26</sup> Annex 2 "Logical Framework and strategic information management, including performance monitoring and evaluation"; pp. 11-15.
- <sup>27</sup> The difference between objectives, targets and indicators will be further clarified in the course of this Chapter, especially in 4.2.2.
- <sup>28</sup> See chapter 5 "PME situational analysis and needs assessment in the Belgian co-operation" of the PMES base report.
- <sup>29</sup> Issued in 1999.
- <sup>30</sup> First version issued in October 2000, with additional chapters still being worked out at the moment of writing this report.
- <sup>31</sup> For more details, see the discussion in the previous chapter 7.1.3. on the Objectively Verifiable Indicators.
- <sup>32</sup> These documents are discussed in somewhat more detail in the respective sections of the PMES base report, particularly chapter 5 on the PME situational analysis in the Belgian co-operation, and more especially in chapter 5.3 as far as DGIC is concerned, and chapter 5.4. as far as the development co-operation actors are concerned.
- <sup>33</sup> See chapter 4.1.1. for more details on the Logical Framework .
- <sup>34</sup> The benefits of an operational PMES for the Belgian International Co-operation have been discussed in chapter 3.
- <sup>35</sup> The components of this policy framework and the main texts are discussed in the PME situational analysis and needs assessment in the Belgian co-operation chapter 5 of the PMES base report. A list of main reference documents is presented in the preceding chapter 4.1. while discussing the derivation of key indicators from the main policy and strategy documents.
- <sup>36</sup> PMES-1 and PMES-3. For more details, see the next chapter 4.3 on the PMES input reporting forms.
- <sup>37</sup> Data capturing covers the processes of finding the relevant data, recording them and converting them into a suitable form for further processing and eventual communication to the user.

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- 38 The PMES form number 2, which has not yet been developed, might be the appraisal sheet used for the overall appraisal of the scheme, with special focus on the assessment of the sets of key OVIs.
- 39 For the PMES-3 progress reporting form, three additional blocks are foreseen. The first one (block 2) presents the automatically calculated “Summary scheme performance up to the end of the last reporting period. Blocks 3 en 4 pertain to the process of progress reporting itself; respectively reporting authentication in block 3 and reporting timeliness and flow control in block 4.
- 40 Called “Fiche d’Intervention DGCI – Interventiesteekkaart DGIS”, which is a one page form.
- 41 “Budget Général des Dépenses – Algemene Uitgavenbegroting” / “15 Coopération au Développement – 15 Ontwikkelingssamenwerking”.
- 42 For more details, please refer to a recently updated publication of the DGIC statistics service (D 12) entitled “Codeboek DGIS voor het Invullen van de Interventiefiche”; January 2001.
- 43 In discussions with the Belgian Survival Fund, which mainly caters to pluri-sectoral, integrated rural development programmes, this option of weighting the individual components (sub-programmes) emerged as a practical instrument for sub-sectoral budgetary dis-aggregations of such integrated programmes.
- 44 For more details, see chapter 4.1.3 on Key Objectively Verifiable Indicators (Key OVIs).
- 45 Op. Cit.; pp. 6-7.
- 46 Art. 7 par. 2 and Art. 8 par. 2
- 47 Boutmans E., Secretary of State for Development Co-operation; “*Policy Paper: Quality in Solidarity – Partnership for Durable Development*”; Brussels; 5 April 2000.
- 48 The Policy Paper presents in chapter 10 “Operationalisation in the different sectors and themes of the co-operation” a number of ten what is called “uitgangspunten”, base principles referring to both sectors and themes without differentiating between the two concepts.
- 49 A 0-1-2 scoring scale is being used with “ 0 “ standing for “of little or no relevance”, “ 1 “ for “relevant but secondary” and “ 2 ” for “main purpose”
- 50 This proposed appreciation system is inspired by the practice and experiences of the Canadian International Development Agency (CIDA).
- 51 During the previous Belgian presidency of the European Union.
- 52 See the discussion under chapter 8.1 “Institutional and organisational aspects” of the PMES base report on the internal composition and function descriptions of the suggested Performance Monitoring and Evaluation Office (PMEO) within DGIC.
- 53 See Chapter 4.1.3. “Objectively Verifiable Indicators” under the discussion of the LogFrame and PCM as base management instruments (Chapter 4.1).
- 54 Please refer to Annex 12 to the PMES base report.
- 55 The Evaluation Unit of the then Joint Relex Service for the Management of Community Aid to Non-Member Countries (SCR) has initiated a system of external monitoring focusing on development relevance based on a series of criteria, each of which an underlying checklist has been prepared for. For more details, see chapter 6 of the PMES base report and especially also to Annex 12.
- 56 “Federale Raad voor Duurzame Ontwikkeling” or “Conseil fédéral du développement durable”
- 57 While the proposed frequency of performance monitoring reporting by means of the PMES-3 forms is quarterly, this does not mean that all of its components need to be reported on quarterly. For example, reporting on scheme impact , client satisfaction and development relevance is on an ad hoc basis, and will only be reported on in those reporting quarters wherein the results (reports) of such more in-depth assessments became available. For a more detailed discussion on the frequency of reporting and on the streamlining of PMES information flows in general, please refer to Chapter 8.2 of the PMES base report.
- 58 In Commonwealth countries the term “Authorisation to Incur Expenditures – AIE” is mostly used.

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- <sup>59</sup> See for example the sample output reports 4.2 “Trend analysis of schemes cumulative financial utilisation (expenditures) compared to the schemes total allocations / engagement, in percent – TR-LI.02” and 4.3 “Trend analysis of schemes cumulative financial utilisation (expenditures) compared to the schemes cumulative appropriations up to the current financial year inclusive, in percent – TR-LI.03”, which are included under Annex 4 to this report.
- <sup>60</sup> A PMES institutiogramme and analysis of these stakeholder groups is presented in chapter 5.4 of the PMES base report as far as the development co-operation actors are concerned (see also Annexes 11.1-3 to this base report).
- <sup>61</sup> After: Binnendijk A.; “Results Based Management in the Development Co-operation Agencies: A Review of Experience”; DAC-OECD Working Party on Aid Evaluation 32<sup>nd</sup> Meeting; Paris; November 1999.
- <sup>62</sup> Op. Cit.; pp 30-31. This same concern for harmonisation of reporting requirements by the different donors to a recipient country was also one of the fundamental issues raised during the PMES Debriefing Workshop for Main Stakeholders on 15 February 2001.
- <sup>63</sup> See Chapters 4.1.1. and 4.1.2.
- <sup>64</sup> Commission of the European Communities – Evaluation Unit; “*Project Cycle Management: Integrated Approach and Logical Framework*”; February 1993; p. 42.
- <sup>65</sup> The World Bank; “*Performance Monitoring Indicators Handbook – World Bank Technical Paper No. 334*”; second printing, February 1997; p. 3; based on; Cook, T.J. et al.; “*Performance Measurement: Lessons Learned for Development Management*”; World Development 23(8): 1303-15 (1995).
- <sup>66</sup> The “Crystal reports” commercial table generation package which is compatible with most database programmes is an example of such add-on programme.
- <sup>67</sup> See chapter 5.3 for a description of the different dimensions of such enabling environment.
- <sup>68</sup> Concrete details are provided in chapters 8.1. (organisational and institutional aspects) and 8.2. (streamlining of information flows) of the PMES base report.
- <sup>69</sup> See chapter 5 “PME situational analysis and needs assessment in the Belgian co-operation” of the PMES base report.

## List of Annexes

1. Matrix presentation of scheme PME based on the use of key Objectively Verifiable Indicators
2. Logical framework and strategic information management, including performance monitoring and evaluation
3. The PME System standard monitoring forms
4. Selective sample output reports of the PME system at different levels of aggregation
5. Selective bibliography

## ANNEX 1 :

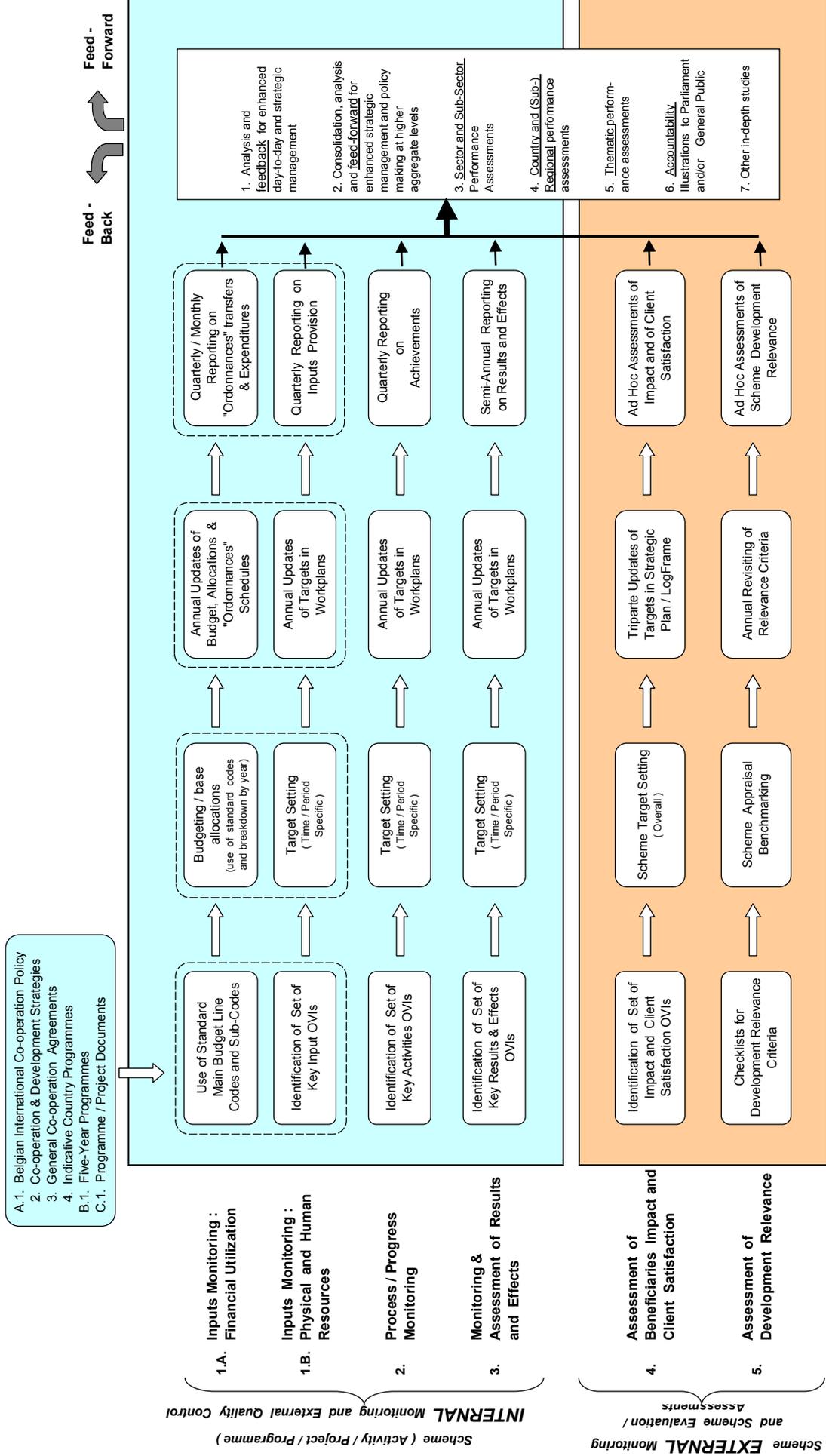
### **MATRIX PRESENTATION OF SCHEME PERFORMANCE MONITORING & EVALUATION BASED ON THE USE OF KEY OBJECTIVELY VERIFIABLE INDICATORS**

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1. Summary matrix: Logical Framework analysis (LFA) and Integrated Project / Programme Cycle Management (PCM) as basis for co-operation schemes performance monitoring and evaluation based on the use of key Objectively Verifiable Indicators (OVIs)
2. Horizontal axis: perspective of integrated project / programme cycle management (PCM)
3. Vertical axis: perspective of LogFrame vertical intervention logic and the “ three E’s “ performance dimensions
4. LogFrame assumptions and pre-conditions as basis for risk management

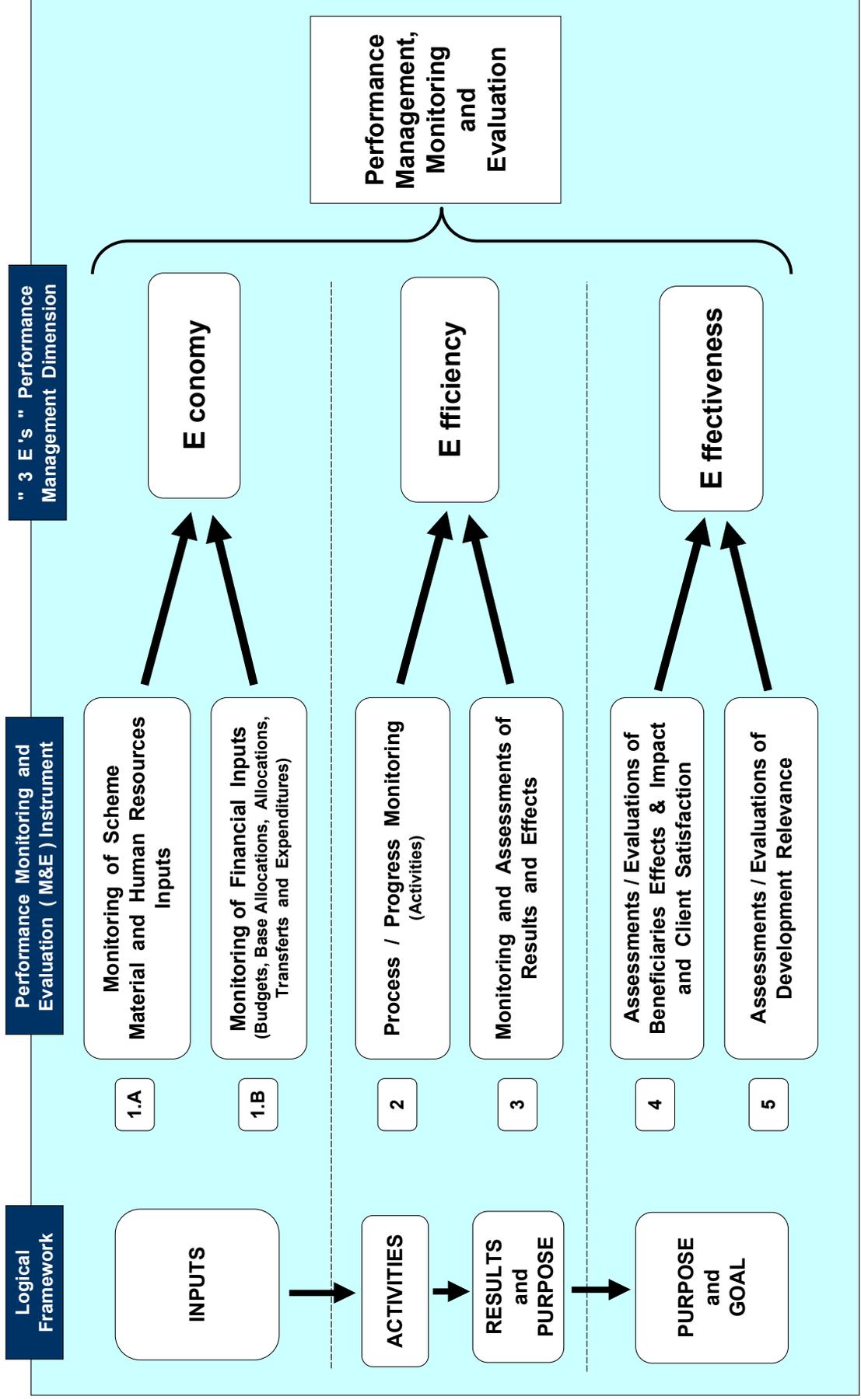
**Co-operation Schemes Performance Monitoring and Evaluation based on the use of Key Objectively Verifiable Indicators ( OVIs )**

**- Logical Framework Analysis ( LFA ) and Integrated Project / Programme Cycle Management ( PCM ) as Basis -**



**Co-operation Schemes Performance Monitoring and Evaluation based on the use of Key Objectively Verifiable Indicators ( OVIs )**

1 - Vertical Axis: Perspective of LogFrame Vertical Logic and "Three E's" Performance Dimensions -

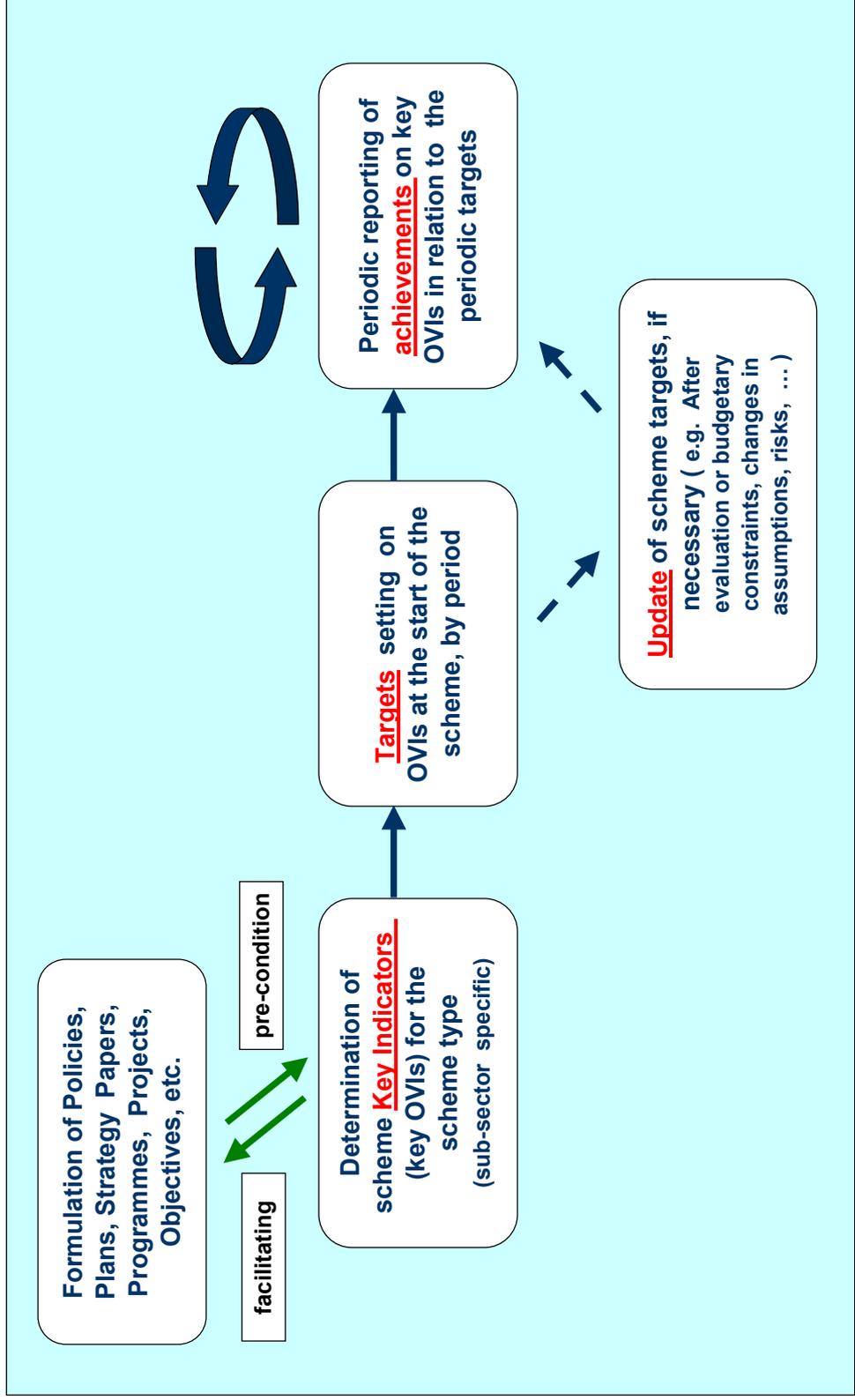


**Co-operation Schemes Performance Monitoring and Evaluation based on the use of Key Objectively Verifiable Indicators ( OVIs )**

2

- Horizontal Axis: Perspective of Integrated Project/Programme Cycle Management ( PCM ) -

08 Dec 2000

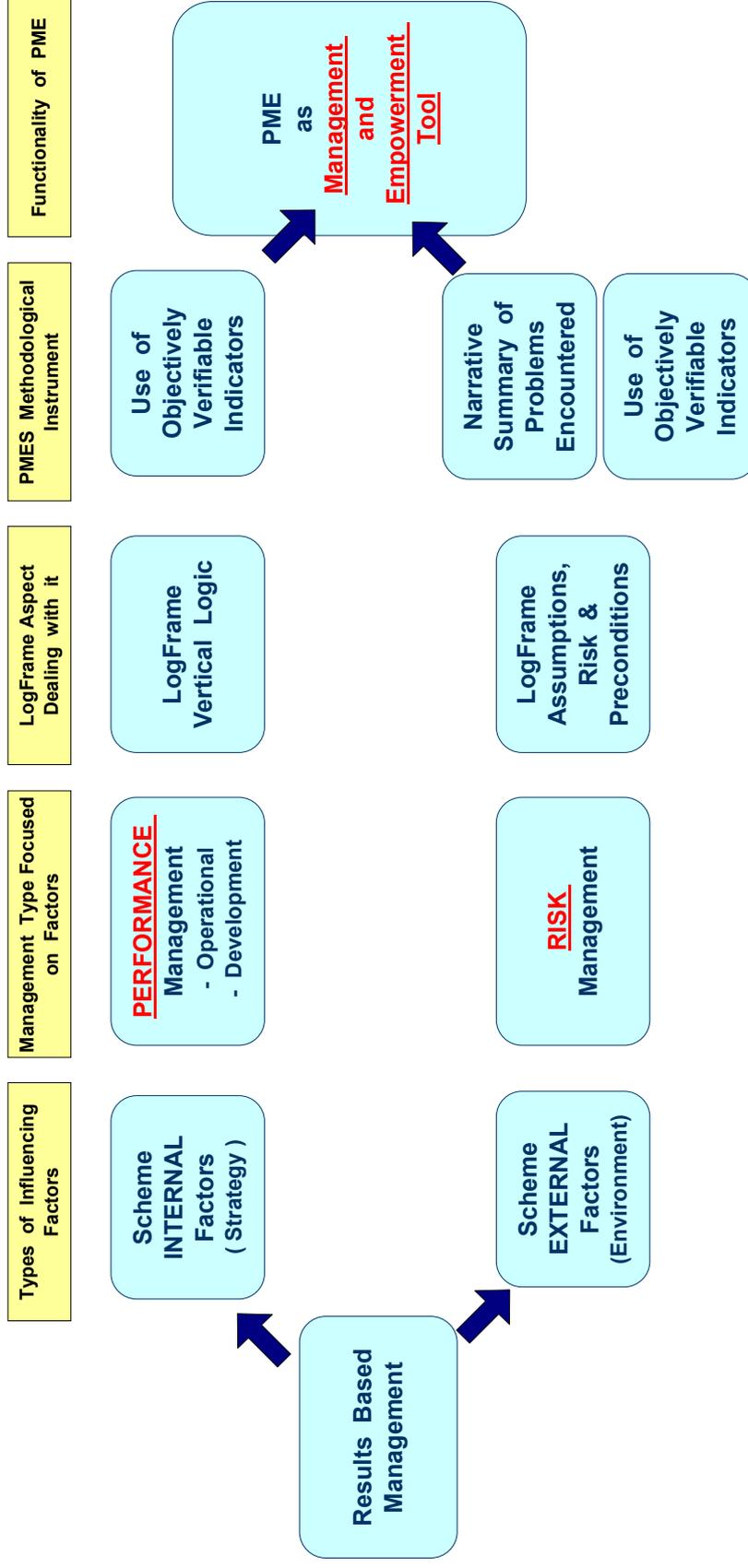


**Co-operation Schemes Performance Monitoring and Evaluation based on the use of Key Objectively Verifiable Indicators ( OVIs )**

3

**- LogFrame Assumptions & Pre-conditions as basis for Risk Management -**

07 Dec 2000



Functionality of PME

PMES Methodological Instrument

LogFrame Aspect Dealing with it

Management Type Focused on Factors

Types of Influencing Factors

Use of Objectively Verifiable Indicators

LogFrame Vertical Logic

PERFORMANCE Management - Operational - Development

Scheme INTERNAL Factors (Strategy)

PME as Management and Empowerment Tool

Narrative Summary of Problems Encountered

LogFrame Assumptions, Risk & Preconditions

RISK Management

Scheme EXTERNAL Factors (Environment)

Results Based Management

## ANNEX 2 :

### **LOGICAL FRAMEWORK AND STRATEGIC INFORMATION MANAGEMENT, INCLUDING PERFORMANCE MONITORING AND EVALUATION**

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## Description

The **Logical Framework** (LogFrame) is a set of related concepts describing the most important aspects of a scheme in operational terms in a four-by-four matrix. A scheme is here defined in the broadest sense possible and encompasses ad hoc projects and multi-dimensional programmes as well regular organisational / business tasks and functions. It presents a summary of inputs, of objectives and the causal relationships between them, of indicators for monitoring and evaluation, and of assumptions outside scheme influence that may affect the success of the scheme.

## Logical Framework and Strategic Information Management

The mutual reinforcing relationship between the logical framework as management instrument and strategic information management in many fold:

- Both focus on the achievement of business / organisation objectives at the **strategic level and beyond** (eventually society as a whole);
- Both have the perspective of strategically **integrating all internal organisation / business internal functions, dimensions, operational factors and aspects** affecting the achievement of the long term and more immediate objectives (goal and purpose) aimed at. These effects manifest themselves in a multitude of cause-effects relationships at different levels, made visible by the logical framework in an analytical way for rational managerial decision making. Furthermore, this decision making is based on objective information on each of the affecting components, which is timely provided by the strategic information system designed in accordance with the logframe structure.
- Both focus on the **wider enabling environment** as a crucial determining factor for the ultimate success of the scheme. Organisational environmental analysis, risk analysis and focus on clients and ultimate target groups are integral part of both the logframe methodology and of strategic information systems.
- Both management instruments are intimately linked to each other true the use of **“Objectively Verifiable Indicators”**, based on the generation and effective use of objective information, preferably measurable if possible, but at least objectively

verifiable. A logframe based information system de facto is a strategic information management system.

- Both aim at enhanced rational decision making in conformity with **the three “E’s” of performance management** : economy, efficiency and effectiveness. LogFrame based strategic information systems generate, process and analyse information in an integrated way for the three main levels of decision making: operational, tactical and strategic.
- Both the Logical Framework and Strategic Information Systems are general, analytical, **managerial decision making tools**. They are policy neutral instruments and thus universally applicable in a multitude of organisational and business environments. This however also means that one should not expect that a logframe and an SIS built on it substitute policy decision making, on the contrary. Also, the Logical Framework gives a simplified and inevitably distorted view of reality in order to describe complex situations. Many more causes and effects may play a role, but sometimes they have been deliberately left out in favour of simplicity.

The elements of the logical framework are summarised in the logical framework matrix on the next page. The following main elements can be distinguished:

1. Intervention logic ( activities – outputs – purpose – goal )
2. Objectively verifiable indicators (the link to strategic information systems and SI management)
3. Means of verification
4. Assumptions and preconditions (the enabling environment)

## The Intervention Logic

The basic strategy underlying the scheme is the intervention logic. The intervention logic covers all the steps to be taken within the project design in order to contribute to the goal. These steps are linked by a cause-effect relationship: if X then Y . The intervention logic is presented in the first column of the matrix.

The logical framework is fundamentally based on the strategic idea that a scheme always contributes to a higher-level objectives which goes beyond the limits of the scheme (the project, programme, organisational unit, organisation) itself. This is the **goal** of the scheme.

The **purpose** describes what the project itself expects to achieve once the project is finished. Several purposes are needed to reach one goal. However, one project has only one purpose and can therefore not be sufficient to fulfil the goal.

Intervention Logic	Objectively Verifiable Indicators (OVI)	Means of Verification (MOV)	Assumptions and Preconditions
<p><b>GOAL</b></p> <p>The higher level objective towards which the scheme is expected to contribute (mention target group)</p>	<p><b>Goal OVI</b></p> <p>Measures (direct or indirect) to verify to what extent the goal is fulfilled</p>	<p><b>Goal MOV</b></p> <p>The sources of data / information necessary to verify status of goal level indicators</p>	<p><b>Assumptions</b></p> <p>Important events, conditions or decisions outside control of the scheme which must prevail the goal</p>
<p><b>PURPOSE</b></p> <p>The effect which is expected to be achieved as the result of the project</p>	<p><b>Purpose OVI</b></p> <p>Measures (direct or indirect) to verify to what extent the purpose is fulfilled</p>	<p><b>Purpose MOV</b></p> <p>The sources of data / information to verify status of purpose level indicators</p>	<p><b>Assumptions</b></p> <p>Important events, conditions or decisions outside control of the scheme management necessary for the achievement of the purpose</p>
<p><b>OUTPUTS</b></p> <p>The results that the scheme management should be able to guarantee (mention target groups)</p>	<p><b>Output OVI</b></p> <p>Measures (direct or indirect) to verify to what extent the outputs are produced</p>	<p><b>Output MOV</b></p> <p>The sources of data / information to verify status of output level indicators</p>	<p><b>Assumptions</b></p> <p>Important events, conditions or decisions outside control of the scheme management necessary for the production of outputs</p>
<p><b>ACTIVITIES</b></p> <p>The activities that have to be undertaken by the scheme in order to produce outputs</p>		<p><b>Activities MOV</b></p> <p>The sources of data / information necessary to verify status of activity level indicators</p>	<p><b>Assumptions</b></p> <p>Important events, conditions, decisions outside control of the scheme management necessary for the start of the activities</p>
			<p><b>Preconditions</b></p> <p>Important events, conditions, decisions outside the control of mngt. necessary for the start of scheme</p>

**Figure 1** : Summary of the Logical Framework in matrix form.

**Outputs** are the results of scheme activities to achieve the scheme purpose.

**Activities** are tasks executed as part of the scheme. These are realised upon the provision of inputs and they result in outputs.

Finally, financial, physical and non-physical means are required to undertake activities. These are the **inputs**. Inputs, activities and outputs are also called the 'deliverables' of the scheme because this is what the scheme management should control and deliver.

## 1. Goal : “to contribute” - “the why”

The goal is the “why”, the rationale of the scheme. The goal describes the ultimate reason for undertaking the scheme, for the existence of the organisational function or unit. The goal should be defined in line with the country’s national development policy (for public sector special programmes, projects or regular programmes) or the company’s corporate vision and sets the framework in which the scheme is implemented. Obviously, a single scheme cannot be expected to bring about the achievement of a national development goal or a corporate long-term objective. It merely makes a contribution to its attainment. This means that other projects and activities may also contribute to the desired achievement of the goal.

Requirements:

- The target group should be clearly defined in terms of direct recipients / clients, intended beneficiaries / clients and end beneficiaries / clients;
- The goal should be stated clearly and verifiably and not overly ambitious;
- Important is that the goal is expressed as an end in itself and not a process or activities.

Examples: ☺ right: *Forest and Natural Resource (FNR) base in the programme Provinces sustained in accordance with the prevailing official standards and norms*

☹ wrong: *To make the FNR base in project countries sustainable*  
➤ stated as an activity (to make sustainable)

## 2. Purpose : “to achieve” - “the what”

The purpose describes the situation that is expected to exist once the scheme is implemented and completed (or for regular programmes: at the end of the reporting period). It defines the

positive and intended change that the scheme is expected to achieve. Achievement of the purpose is, on the one hand, likely to occur upon the production of outputs (cause) and will, on the other hand, contribute substantially to realising the goal (effect).

Requirements:

- Only one purpose should be stated, for a second purpose a second logical framework matrix should be drawn in principle;
- The purpose should be defined precisely and verifiably.
- Also the purpose should be stated as an end to be achieved, and not as a process;
- The purpose is outside the immediate control of scheme management.

Examples: ☺ right: *FNR policies, regular programmes and specific, special projects implemented in the target Provinces in accordance with the officially endorsed plans and strategies*

☹ wrong: *To implement FNR policies and projects and to strengthen the Provincial Offices of the Ministry of Forestry in the target Provinces and at national co-ordinating level*

- two purposes stated
- stated as an activity (to implement)

### 3. Output : “to produce” - “the how”

Outputs are products which **result** from scheme activities and are achieved upon the management of inputs, like training materials reports, a number of people trained, etc. Each output is necessary for realising the purpose, but the purpose will not necessarily be achieved, because the purpose is outside the control of the scheme management. However, the scheme management can exert substantial influence upon the outputs.

Requirements:

- Only those outputs should be mentioned that can be guaranteed by the scheme management and that are feasible with the available inputs;
- For the outputs, defined precisely and verifiably, is also true that these should be stated as an end, and not as a process or activity.

Examples: ☺ right: *1. Management capacity of selected Provincial Offices of the Ministry of Agriculture strengthened*

*2. FNR planning assistance provided to 25 enterprises  
in the target Provinces*

- ⊗ wrong: *Increase in the management capacity of the MoA Provincial Offices so that natural resources are better used.*
- “better use of natural resources” can not be guaranteed by the project
  - lack of a past participle “increased” – no indication of achievement / accomplishment

**4. Activities : “to do” - “the what the do”**

Activities are the “what to do” of a scheme. Activities are the actions undertaken in a scheme to produce the planned outputs. Producing one output usually requires carrying out a number of activities. Activities form the link between inputs and outputs.

Requirements:

- Mention only the essential activities for each output and only those that can be performed by the scheme / within the scheme.
- Activities should be described in a logical sequence but without excessive detail.
- In contrary to goal, purpose and outputs, activities should be stated as actions, and not as an end to be achieved.
- Activities should be under control of the project.

- Examples: ☺ right: 1.1 *To make an institutional assessment of the current FNR arrangements*  
1.2. *To make a TNR training needs assessment*  
1.3. *To design a comprehensive FNR training programme*  
1.4. *To train the middle managers of the targeted pvt enterprises*
- ⊗ wrong: *Institutional assessment completed*
- Stated as an end (“completed”)
- To improve management skills*
- Is in fact an output, stated as an activity

**5. Inputs : “to provide” - “the what is needed”**

Inputs are the resources necessary and sufficient to carry out related activities and produce outputs. A distinction can be made between : human (personnel, technical assistance, external consultancies), material (vehicles, computers, software, ...), and financial (regular budgetary, extra-budgetary, ...) resources.

Requirements:

- Inputs are stated only globally, but realistically;
- Breakdown by major budget codes should be provided, if and when possible.
- All items in the budget should be described so that sufficient funding can be ensured.
- Job descriptions of key personnel, technical requirements and other operational details can be annexed to the logical framework and scheme document.

Examples: ☺ right: 1.1 *Feasibility studies, 1.2 million Euro*

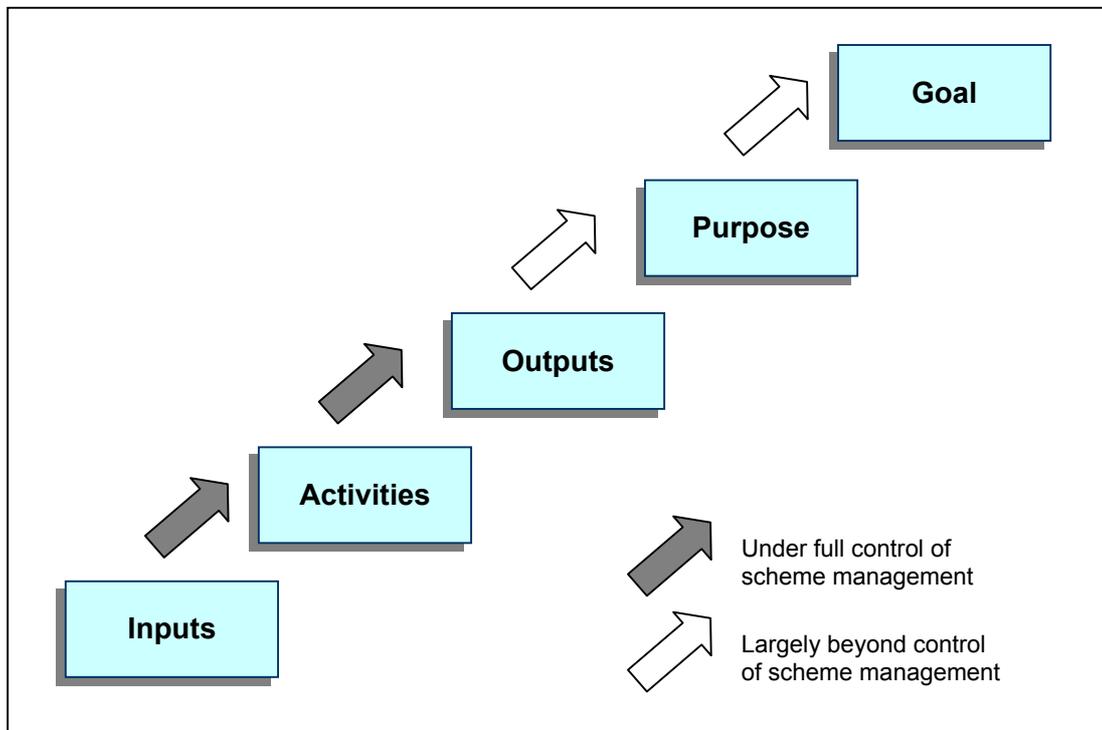
1.2. *MIS design, development and operationalisation, 250.000 Euro*

1.3. *International training programme of middle managers: 215.000 Euro*

- ⊗ wrong: *To provide four external long-term experts*
- Stated as an “activity”
- Required resources*
- Stated too vague

## Cause and Effect Relationships

The previous five elements (inputs – activities – outputs – purpose – goal) are related by cause and effect. The relationship is characterised by an “ if – then “ sequence, as illustrated in the chart on the next page.



**Fig. 2:** Cause – effect relationships in the vertical intervention logic of the Logical Framework

if the inputs are provided than the activities can take place, etcetera. The cause-effect relationship between the various elements can serve as a check whether the intervention logic is indeed logical and overlooks nothing. The more convincing and the stronger these linkages are, the better is the project design.

## Assumptions and Preconditions

Beyond the scope of the scheme but influencing the success of the scheme are **assumptions and preconditions**. The external factors have to be carefully monitored and controlled during scheme implementation and beyond. They also have to be fully taken into consideration when designing the scheme from the very onset of the scheme integrated cycle. Preconditions are assumptions which have to be met before project inputs are supplied. Assumptions and preconditions form the fourth column of the logical framework matrix, but are in close connection with the intervention logic.

Obviously, by duly recognising the importance of external (environmental) factors for the success of a scheme, the Logical Framework is a strategic management tool. And by its preoccupation to objectively identify (verify or even quantify, if possible) these factors, the information system based on the LogFrame by itself becomes a strategic information system.

## Assumptions

**Assumptions** are the “only if” of the project. Assumptions are statements about factors that may influence scheme implementation and its chances of success positively or negatively. Assumptions relate to external factors and uncertainties out of control of the scheme. Therefore, assumptions, defined precisely and verifiably, should be monitored actively throughout the project.

Requirements:

- Assumptions should be stated as positive conditions, not as the absence of negative factors.
- Assumptions which are likely to occur are excluded, as well as unimportant assumptions. Only assumptions that are reasonably probable are included in the LogFrame.
- Important but unlikely assumptions lead to redesign of the scheme in terms of additional activities or a change in scheme purpose.
- Assumptions occur at all four levels: activities, outputs, purpose and goal. Each assumption should be included at the appropriate level. That level depends on whether the assumption contributes to the achievement of (one of) the activities, outputs, purpose or goal.

Examples: for Output 1: *Management capacity of selected Provincial Offices of the Ministry of Agriculture strengthened.* Assumption:

- ☺ right: *Trained managers remain in current job positions and apply skills to FNR management and policy development*
- ☹ wrong: *Trained managers should not change job positions*
  - Stated as a negative condition
  - Host Provincial Government authorities enforce FNR policies*
  - Stated at purpose-to-goal level

## Pre-conditions

Preconditions are assumptions which have to be addressed before any action can take place. Preconditions reflect a situation which needs to be realised by the stakeholders associated with the scheme prior to the acceptance and actual start of scheme activities / actions.

Examples: ☺ right: *FNR is a priority in the host Provinces and is supported by the Provincial authorities*

☹ wrong: *Felling of trees brought under control*  
➤ Stated too vague

Combining the intervention logic and the assumptions and preconditions, a direct cause-effect relationship between these elements becomes visible. The better these relations are defined, the better the scheme design. These relationships can serve as a check on the results of developing the logical framework.

- ⇒ once the preconditions are met, the inputs can be provided;
- ⇒ once the inputs are provided, and the assumptions at this level fulfilled, the activities can take place (inputs-to-activities);
- ⇒ once the activities take place and the assumptions at this level are fulfilled, outputs will be produced (activities-to-outputs);
- ⇒ these outputs and the fulfilment of assumptions at this level will accomplish the purpose (output-to-purpose);
- ⇒ when the purpose and the assumptions at this level are fulfilled, a substantial contribution to the realisation of the goal is made (purpose-to-goal).

## Objectively Verifiable Indicators

Objectively Verifiable Indicators (OVIs) are operational measures to show how achievement of the goal, purpose and outputs can be verified, by specifying what exactly has to be achieved. Indicators clarify the formulation and characteristics of the goal, purpose and outputs. At the same time, they point towards specific information on the progress to be made towards the achievement of the goal, purpose and output. Indicators must be:

- valid
- reliable
- precise
- cost-effective
- stated independently from other levels

An indicator is objectively verifiable when different persons using the same measuring process, obtain the same measurements independently from one another. The indicators should make clear how the target group will benefit from the realisation of outputs. Indicators should be specific in terms of the following components / characteristics:

- |                |                   |   |   |
|----------------|-------------------|---|---|
| • Quality      | (what?)           | → | Q |
| • Quantity     | (how much?)       | → | Q |
| • Time         | (when, how long?) | → | T |
| • Target Group | (who?)            | → | T |
| • Place        | (where?)          | → | P |

The term Objectively Verifiable Indicators (OVI) is commonly used in the specialised M&E literature. The term appears to blow hot and cold at the same time. "Objectively" can at most be an ideal only. There is always a moment of subjectivity both in data gathering as in interpretation. This particularly relates to socio-economic variables. "Objectively" thus sets a standard. On the hand "verifiable" is an underachiever, since some indicators are perfectly quantifiable, and thus measurable. Nevertheless, it is still preferable to use the term OVI, because it reminds us on both crucial aspects of objectivity and verification. Other important characteristics of a good indicator are : simplicity; validity; sensitivity.

Especially in connection with indicators at the level of the purpose and goal (effects and impact indicators) it is sometimes difficult to directly measure changes at the level of target group beneficiaries (via direct indicators). This might be impossible for practical reasons (difficulties in measuring, for example), or it might be simply too costly (because needing special baseline surveys for example, which is not feasible in case of regular monitoring at relatively short intervals). In such cases, the planner or manager will use so-called **proxy indicators**. Proxy indicators are able to provide an approximate, but still reliable and relevant, picture of the changes that have occurred or the degree to which objectives are being achieved.

It is easy to comprehend that such indicators are of crucial importance for monitoring and evaluation of scheme effects and impact at the level of the target group(s) or beneficiaries and of strategic information systems in general focusing on the organisation/ business as a whole and even on its wider environment. Some examples of effects and impact indicators for education programmes are presented hereafter. In order to be able to fulfil this role, an **outputs/effects/impact indicator** should consist of the following components:

1. the variable (if possible quantifiable) which describes (preferably measures) the subject action/situation concerned;

2. the identification of the ultimate target group beneficiaries of the action / situation concerned;
3. the present, actual value of the variable and the future targeted value of this variable;
4. the timeframe or deadline before which the targeted situation is to be achieved

The indicators are presented in the second column of the logical framework matrix. Indicators are not stated for activities because activities are indicators in themselves, i.e. the activities completed. The keyword is “**to verify**”.

Objectively Verifiable Indicators are the crucial link between the LogFrame overall (business) management tool and strategic information management. The design, development and actual use of sets of OVIs is of crucial importance both for general (business) management and for strategic information management.

### Goal Level Indicators

Goal level indicators describe the programme or sector objectives to which this scheme concerned, and maybe several other schemes, are directed. The goal level indicators may therefore include targets beyond the scope of the scheme.

Examples: ☺ right: 1.1. *Forest productivity in 15 scheme Provinces increased by 5% by end of scheme year 6*

1.2. *Soil erosion reduced by 5% in 15 scheme Provinces by end scheme year 6*

☹ wrong: 1.1. <<*nothing stated*>>  
➤ an indicator should be formulated as well at this level  
➤  
1.2. *soil erosion reduced*  
➤ cannot be verified

### Purpose Level Indicators

The (single!) purpose often defines a change in behaviour of scheme target groups, or a change in the way institutions / organisations / businesses function as a result of the scheme outputs. This makes the definition of indicators at purpose level difficult and complex. However, it is of crucial importance to develop very clear indicators for this level, in order to establish consensus about scheme targets.

Examples of OVIs for purpose: *FNR policies and project implemented in target Provinces*

- ☺ right: 1.1. *20 medium-sized (\$10-15 million) FNR scheme sponsored out of public resources and private investments, implemented in 15 scheme Provinces by scheme year 5;*
- 1.2. *National guidelines for sustainable agricultural development adopted by 15 scheme Provinces by end of scheme year 5;*
- ☹ wrong: 1.1. *FNR schemes implemented in 15 scheme Provinces*
  - No quantity, no time, no target group, cannot be verified

### Output Level Indicators

The output indicators could determine the Terms of Reference (ToR) for the scheme. If a scheme team, organisational unit or contractor is responsible for all the outputs, then these indicators define the deliverables for which the team, unit or contractor is accountable. The team, unit or contractor should be aware that the indicators at this level are reasonable, realistic and are within the scope of the project.

Examples of OVIs for Output: *Management capacity of selected Provincial agricultural offices in target Provinces enhanced.*

- ☺ right: 1.1. *200 mid-level managers from 15 agricultural Provincial offices trained in FNR management (2-week certificate course) by end scheme year 6;*
- 1.2. *FNR institutional analyses in 10 targeted agricultural Provincial offices completed by end of year 4;*

1.3. *10 MoA Provincial Offices assisted with the design of 15 agroforestry projects by end of scheme year 3*

☹ wrong: 1.1. *Degree of acquired management skills of staff*  
➤ Not measurable

## Means of Verification

Means of verification are documents, reports, people and other sources of information that provide data on indicators and make it possible to monitor and verify actual progress towards the planned activities, outputs, purpose and goal. They give an exact description of which information is to be made available, in what form, how it is going to be collected and, if necessary, by whom.

Sources can either exist outside the scheme or, less ideally, originate within the scheme. Sources of information should provide valid, reliable, accessible and updated data.

The means of verification complete the elements of the logical framework and are presented in the third column of the matrix. Means of verification are determined for all four levels of the intervention logic, comprised of activities, outputs, purpose and goal.

## ANNEX 3 :

### THE PME SYSTEM STANDARD SCHEME MONITORING FORMS

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**Format PMES-1:** Development Scheme Identification and Key Indicators Matrix (S.K.I.M.)

**Format PMES-3:** Scheme Quarterly Performance Monitoring Report (QPMR)

**Format PMES-3:** Indication of areas which only need to be filled-out by the reporting party (other fields are automatically pre-filled by the PMES computerised database system)

## **Format PMES-1 :**

### Development Scheme Identification and Key Indicators Matrix (S.K.I.M.)

#### Components

- 1 Identification of Scheme
- 2 Scheme Key Indicators for Physical & Human Resources inputs
- 3 Scheme Summary Budget by Main Budget Line
- 4 Scheme Key Indicators for Physical Progress (Activities)
- 5 Scheme Key Indicators for Scheme Results and Effects
- 6 Scheme Key Indicators for Scheme Impact and Client Satisfaction
- 7 Key Criteria for Development Relevance (DR) Assessment

Kingdom of Belgium - Ministry of Foreign Affairs  
 Directorate - General for International Co-operation  
**Performance Monitoring and Evaluation System**  
**Form PMES - 1: Development Scheme Identification and Key Indicators Matrix**

**1. Identification of Scheme**

**1.1. Scheme Base Identification:**

PMES ID Number

Intervention Number

**Scheme Name :**

Budgetary Allocation N°.

SNPC Code & Sub-Sector

PMES Code (Sub-Sector SKIM)

Language of documents

Date of this printout

Scheme status as of this date

Type of cooperation scheme, by actor

**1.2. Thematic Focus:** (max. 5 themes with total = 100 %)

1.	<input type="text"/>	%
2.	<input type="text"/>	%
3.	<input type="text"/>	%
4.	<input type="text"/>	%
5.	<input type="text"/>	%

**1.3. Location and Target Groups / Reach :**

	Description	Code / Number
Country	<input type="text"/>	<input type="text"/>
Region / Area	<input type="text"/>	<input type="text"/>
Ultimate target group	<input type="text"/>	<input type="text"/>
Intermediary target group	<input type="text"/>	<input type="text"/>

**1.4. Responsible Executing Agency and Local Partners:**

Actor Agency

Executing Agency

Local Partner Agency

Partner Agency Service

Main Network Partners

**1.5. Timeframe :** ( day / month / year )

Date of Official Approval

Type of Approval Document

Date of Planned Start

Date of Actual Start

Date of Planned Completion

Date of Actual Completion

**1.6. Summary Budget and Financing Plan:** ( in Euro )

Year	DGIS	Other ODA	Other Belgian	Other Donors	Local Partner	Total
Year 1	<input type="text"/>					
Year 2	<input type="text"/>					
Year 3	<input type="text"/>					
Year 4	<input type="text"/>					
Total	<input type="text"/>					

**1.7. Executing Agency Person Responsible for Scheme & PMES-1:**

Name

Position

Organisation

Date

Signature

**1.8. Attested by Chairperson Scheme Partner Committee :**

Name

Position

Organisation

Date

Signature

**1.9. PMES-1 QC and Methodologically Screened by PME Officer :**

Name

Position

Service

Date

Signature

**1.10. Endorsed by Responsible DGIS Desk Officer :**

Name

Position

Department

Date

Signature

**1.11. PMES-1 Status and Official Tripartite Updates :**

Update Sequence Number this Official PMES-1 Version

Update Seq. No.	Date Approval	Doc Code	Summary Description of Main Changes
1	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>	<input type="text"/>

**1.12. Remarks**

1	2	3	4	5	7				9
					Targets by Year End of				
2.	Scheme Key Indicators for Physical & Human Resources Inputs	Unit of Measurement	Overall Scheme Target	Indicator Weight Factor (in %)	1 st year	2 nd year	3 rd year	4 th year	
1.									
2.									
3.									
4.									
5.									
6.									
7.									
8.									

Scheme PMES ID N°
Date SKIM Approval

1	2	3	4	5	6	7	8	10			11			12			13			14			15			16			17
								Year 1 Budget			Year 2 Budget			Year 3 Budget			Year 4 Budget			T o t a l s									
3.	Scheme Summary Budget by Main Budget Lines (in Euro)	Belgian ODA	Other Sources (incl. national)	Total	Belgian ODA	Other Sources (incl. national)	Total	Belgian ODA	Other Sources (incl. national)	Total	Belgian ODA	Other Sources (incl. national)	Total	Belgian ODA	Other Sources (incl. national)	Total	Belgian ODA	Other Sources (incl. national)	Total	Belgian ODA	Other Sources (incl. national)	Total	Belgian ODA	Other Sources (incl. national)	Total				
1.	Preparation costs																												
2.	Investment costs																												
2.1.	Capital outlay																												
2.2.	Vehicles																												
2.3.	Office equipment																												
3.	Operating costs																												
3.1.	Personnel																												
3.1.1	Local Personnel																												
3.1.2	International Personnel																												
3.2.	Training																												
3.3.	Sub-contracting / out-sourcing																												
3.4.	Expandable equipment																												
3.5.	Operation and maintenance																												
	<b>T O T A L S</b>																												

1	2	3	4	5	7				9
					Targets by Year End of				
4.	Scheme Key Indicators for Physical Progress (Activities)	Unit of Measurement	Overall Scheme Target	Indicator Weight Factor (in %)	1 st year	2 nd year	3 rd year	4 th year	
1.									
2.									
3.									
4.									
5.									
6.									
7.									
8.									
9.									

Date This Printout
--------------------

1	2	3	4	5	7 Targets by Year End of			9
					1 st year	2 nd year	3 rd year	
5	<b>Scheme Key Indicators for Scheme Results and Effects</b>	Unit of Measurement	Overall Scheme Target	Indicator Weight Factor (in %)				
1.								
2.								
3.								
4.								
5.								
6.								
7.								
8.								
9.								

Scheme PMES ID N°:

Date SKIM Approval

1	2	3	4	5	7 Targets DURING Implementation		10 Targets AFTER Scheme Completion			
					Mid-Term	End-of-Scheme	1 st year after	2 th year after	3 rd year after	
6.	<b>Scheme Key Indicators for Scheme Impact and Client Satisfaction</b>	Unit of Measurement	Indicator Weight Factor (in %)	Baseline Values						
1.										
2.										
3.										
4.										
5.										
6.										
7.										
8.										
9.										

1	2	3	4	5	6	7	8	9	10
7.	<b>Key Criteria for Development Relevance (DR) Assessment</b>								
1.	Partnership and ownership		0 1 2 3 4 5 N						
2.	Institutional and managerial capacity building		0 1 2 3 4 5 N						
3.	Economic and social impact		0 1 2 3 4 5 N						
4.	Overall sustainability, esp. technical and financial viability		0 1 2 3 4 5 N						
5.	Coherence, programme logic and methodological soundness		0 1 2 3 4 5 N						
6.	Efficiency of the implementation strategy		0 1 2 3 4 5 N						
7.	Poverty alleviation / reduction		0 1 2 3 4 5 N						
8.	Gender equality		0 1 2 3 4 5 N						
9.	Protection and/or safeguarding of the environment		0 1 2 3 4 5 N						

ID N° of DGIS DR-Appraisal Report  
Date of DR Appraisal Report  
Overall weighted appraisal score ( % )

Foreseen assessments (Indicate month and year, if applicable)  
DR Mid-term review  
End-of-Project  
External Monitoring

Budgetary Provisions for Monitoring and Evaluation (in Euro)  
Baseline Surveys  
Beneficiary studies  
External Monitoring  
Mid-Term Review  
Final Evaluation

## **Format PMES-3 :**

### Scheme Quarterly Performance Monitoring Report (QPMR)

#### Components

- 1 Scheme Identification
- 2 Summary Scheme Performance up to the End of the Last Reporting Period (in %)
- 3 Reporting and Supervisory Officers
- 4 Time Schedule Reporting Flow
- 5 Quarterly Monitoring Report on Physical and Human Resources Inputs
- 6 Quarterly Progress Report on Financial Utilisation, by Main Budget Lines
- 7 Quarterly Physical Progress (Activities) Monitoring Report (Quantitative and Qualitative)
- 8 Semi-Annual Monitoring Report on Scheme Results and Effects
- 9 Scheme Key Indicators for Scheme Impact and Client Satisfaction (ad hoc internal or external monitoring)
- 10 Key Criteria for Development Relevance (DR) Assessment (ad hoc external monitoring)

Kingdom of Belgium - Ministry of Foreign Affairs  
 Directorate - General for International Co-operation  
**Performance Monitoring and Evaluation System**  
**Form PMES - 3 : Scheme Quarterly Performance Monitoring Report (QPMR)**

PMES - 3  
Page 1 / 3

<b>Report Quarter</b>	Financial Year Quarter	Total number of QPRM's due so far Number of QPRM's actually submitted so far
-----------------------	---------------------------	---

**1. Scheme Identification**

<p><b>1.1. Scheme Base Identification :</b></p> <p>PMES ID number</p> <p>Intervention number</p> <p><u>Scheme name</u> :</p> <p>Budgetary allocation N°.</p> <p>SNPC code &amp; sub-sector</p> <p>PMES code (sub-sector SKIM)</p> <p>Language of documents</p>	<p>Date this printout for further completion</p> <p>Scheme status as of this date</p> <p>Type of cooperation scheme, by actor</p> <p><b>1.2. Thematic Focus :</b> (max. 5 themes with total = 100 %)</p> <table style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 5%;">1.</td><td style="width: 85%;"></td><td style="width: 10%; text-align: right;">%</td></tr> <tr><td>2.</td><td></td><td style="text-align: right;">%</td></tr> <tr><td>3.</td><td></td><td style="text-align: right;">%</td></tr> <tr><td>4.</td><td></td><td style="text-align: right;">%</td></tr> <tr><td>5.</td><td></td><td style="text-align: right;">%</td></tr> </table>	1.		%	2.		%	3.		%	4.		%	5.		%
1.		%														
2.		%														
3.		%														
4.		%														
5.		%														

<p><b>1.3. Location and Target Groups / Reach :</b></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;"></th> <th style="width: 30%;">Description</th> <th style="width: 50%;">Code / Number</th> </tr> </thead> <tbody> <tr><td>Country</td><td></td><td></td></tr> <tr><td>Region / area</td><td></td><td></td></tr> <tr><td>Ultimate target group</td><td></td><td></td></tr> <tr><td>Intermediary target gr.</td><td></td><td></td></tr> </tbody> </table>		Description	Code / Number	Country			Region / area			Ultimate target group			Intermediary target gr.			<p><b>1.4. Responsible Executing Agency and Local Partners:</b></p> <p>Actor agency</p> <p>Executing agency</p> <p>Local partner agency</p> <p>Partner agency service</p> <p>Main network partners</p>
	Description	Code / Number														
Country																
Region / area																
Ultimate target group																
Intermediary target gr.																

<p><b>1.5. Timeframe and PMES-1 version</b> ( dd / mm / yy )</p> <p>Date of planned start</p> <p>Date of actual start</p> <p>Date of planned completion</p> <p>PMES-1 update sequence N° as basis this report</p> <p>Date of approval of this PMES-1 official update</p>	<p><b>1.6. Summary Budget and Financing Plan:</b> ( in Euro )</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 40%;">Approved Summary Allocation, by Source</th> <th style="width: 10%;">Original Total</th> <th style="width: 10%;">Revised Total</th> <th style="width: 10%;">Original Year</th> <th style="width: 10%;">Revised This Year</th> </tr> </thead> <tbody> <tr><td>DGIS</td><td></td><td></td><td></td><td></td></tr> <tr><td>Other ODA + Belgian</td><td></td><td></td><td></td><td></td></tr> <tr><td>Other Donors</td><td></td><td></td><td></td><td></td></tr> <tr><td>Local Partner(s)</td><td></td><td></td><td></td><td></td></tr> <tr><td style="text-align: right;"><b>Total</b></td><td style="text-align: center;">0</td><td style="text-align: center;">0</td><td style="text-align: center;">0</td><td style="text-align: center;">0</td></tr> </tbody> </table>	Approved Summary Allocation, by Source	Original Total	Revised Total	Original Year	Revised This Year	DGIS					Other ODA + Belgian					Other Donors					Local Partner(s)					<b>Total</b>	0	0	0	0
Approved Summary Allocation, by Source	Original Total	Revised Total	Original Year	Revised This Year																											
DGIS																															
Other ODA + Belgian																															
Other Donors																															
Local Partner(s)																															
<b>Total</b>	0	0	0	0																											

**2. Summary Scheme Performance up to the End of the Last Reporting Period ( in % )**

Summary performance dimensions (based on SKIM)	Compared to Year Target	Compared to Overall Target	Comments, if any
1. Physical & Human Resources Inputs Delivery, based on Key Indicators	%	%	
2. Cumulative Disbursement against Latest Revised Allocations	%	%	
3. Cumulative Expenditures against Actual Disbursements	%	%	
4. Scheme Physical Progress / Activities, based on Key Indicators	%	%	
5. Scheme Results and Effects, based on Key Indicators	%	%	

**3.**

<p style="text-align: center;"><b>Prepared by Scheme Manager :</b></p> <p>Name</p> <p>Designation</p> <p>Date</p> <p>Signature</p>	<p style="text-align: center;"><b>Attested by Chairperson of Scheme Partner Committee :</b></p> <p>Name</p> <p>Designation</p> <p>Date</p> <p>Signature</p>	<p style="text-align: center;"><b>Approved by Actor Supervisory PME Officer :</b></p> <p>Name</p> <p>Designation</p> <p>Date</p> <p>Signature</p>
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**4. Time Schedule Reporting Flow**

<p>1. This PMES-3 report sent by Actor to DGIS Responsible Officer</p> <p>2. This PMES-3 received by DGIS Responsible Officer</p> <p>3. This approved PMES-3 sent by DGIS Responsible Officer to PME Data Entry Officer</p> <p>4. This PMES-3 report entered in PMES computerized database system</p>	<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Date ( dd/mm/yy )</th> <th style="width: 50%;">Name and Initial Officer</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table>	Date ( dd/mm/yy )	Name and Initial Officer						
Date ( dd/mm/yy )	Name and Initial Officer								

1	2	3	4		5	6	7	8			9
			Overall Scheme Target	Cumulative End of C.F.Y.				Cumulative End Last Quarterly Report	Cumulative End This Reporting Period	Comments, if any	
<b>5. Quarterly Monitoring Report on Physical &amp; Human Resources Inputs</b> (based on PMES-1 key indicators)											
1.											
2.											
3.											
4.											
5.											
6.											
7.											
8.											
<b>Scheme Totals</b> (automatically calculated weighted %)											
		-	100%		%						

Scheme  
PMES ID N°

Year & Quarter  
this QPMR

1	2	3	4				5			6			7	8	9	10	11	12	13	
			Allocations (Vastleggingen)	Effective Fund Releases (Ordonnancements)	Actual Expenditures	Allocations (Budgetary Provisions - "Vastleggingen")	Fund Releases Up to the End of Last Quarter	Up to the End of This Reporting Quarter	During This Reporting Quarter	Up to the End of Last Quarter	During This Reporting Quarter	Balance at End This Reporting Quarter								Suggested Revision Allocations to Next Tripartite Review, if any
<b>6. Quarterly Progress Report on Financial Utilisation, by Main Budget Lines</b> (in Euro)																				
1.	Preparation costs																			
2.	Investment costs																			
2.1.	Capital outlay																			
2.2.	Vehicles																			
2.3.	Office equipment																			
3.	Operating costs																			
3.1.	Personnel																			
3.1.1	Local Personnel																			
3.1.2	International Personnel																			
3.2	Training																			
3.3	Sub-contracting / out-sourcing																			
3.4	Expandable equipment																			
3.5	Operation and maintenance																			
<b>TOTALS</b>																				

1	2	3	4		5	6	7	8			9
			Overall Scheme Target	Cumulative End of C.F.Y.				Cumulative End Last Quarterly Report	Cumulative End This Reporting Period	Comments, if any	
<b>7. Quarterly Physical Progress (Activities) Monitoring Report</b> (Quantitative and Qualitative)											
1.											
2.											
3.											
4.											
5.											
6.											
7.											
8.											
9.											
<b>Scheme Totals</b> (automatically calculated weighted %)											
		-	100%		%						

Date and Signature  
of reporting scheme  
manager

Date  
This Printout



### **Format PMES-3 :**

Indication of areas which only need to be filled-out by the reporting party (other fields are automatically pre-filled by the PMES computerised database system)

Kingdom of Belgium - Ministry of Foreign Affairs  
 Directorate - General for International Co-operation  
**Performance Monitoring and Evaluation System**  
**Form PMES - 3 : Scheme Quarterly Performance Monitoring Report (QPMR)**

<b>Report Quarter</b>	Financial Year Quarter		Total number of QPRM's due so far Number of QPRM's actually submitted so far	
-----------------------	---------------------------	--	---	--

**1. Scheme Identification**

<p><b>1.1. Scheme Base Identification :</b></p> <p>PMES ID number</p> <p>Intervention number</p> <p>Scheme name :</p> <p>Budgetary allocation N°.</p> <p>SNPC code &amp; sub-sector</p> <p>PMES code (sub-sector SKIM)</p> <p>Language of documents</p>	<p>Date this printout for further completion</p> <p>Scheme status as of this date</p> <p>Type of cooperation scheme, by actor</p> <p><b>1.2. Thematic Focus :</b> (max. 5 themes with total = 100 %)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>1.</td><td></td><td style="text-align: right;">%</td></tr> <tr><td>2.</td><td></td><td style="text-align: right;">%</td></tr> <tr><td>3.</td><td></td><td style="text-align: right;">%</td></tr> <tr><td>4.</td><td></td><td style="text-align: right;">%</td></tr> <tr><td>5.</td><td></td><td style="text-align: right;">%</td></tr> </table>	1.		%	2.		%	3.		%	4.		%	5.		%															
1.		%																													
2.		%																													
3.		%																													
4.		%																													
5.		%																													
<p><b>1.3. Location and Target Groups / Reach :</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;"></th> <th style="width: 40%;">Description</th> <th style="width: 40%;">Code / Number</th> </tr> </thead> <tbody> <tr><td>Country</td><td></td><td></td></tr> <tr><td>Region / area</td><td></td><td></td></tr> <tr><td>Ultimate target group</td><td></td><td></td></tr> <tr><td>Intermediary target gr.</td><td></td><td></td></tr> </tbody> </table>		Description	Code / Number	Country			Region / area			Ultimate target group			Intermediary target gr.			<p><b>1.4. Responsible Executing Agency and Local Partners:</b></p> <p>Actor agency</p> <p>Executing agency</p> <p>Local partner agency</p> <p>Partner agency service</p> <p>Main network partners</p>															
	Description	Code / Number																													
Country																															
Region / area																															
Ultimate target group																															
Intermediary target gr.																															
<p><b>1.5. Timeframe and PMES-1 version</b> ( dd / mm / yy )</p> <p>Date of planned start</p> <p>Date of actual start</p> <p>Date of planned completion</p> <p>PMES-1 update sequence N° as basis this report</p> <p>Date of approval of this PMES-1 official update</p>	<p><b>1.6. Summary Budget and Financing Plan:</b> ( in Euro )</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 40%;">Approved Summary Allocation, by Source</th> <th style="width: 10%;">Original Total</th> <th style="width: 10%;">Revised Total</th> <th style="width: 10%;">Original Year</th> <th style="width: 10%;">Revised This Year</th> </tr> </thead> <tbody> <tr><td>DGIS</td><td></td><td></td><td></td><td></td></tr> <tr><td>Other ODA + Belgian</td><td></td><td></td><td></td><td></td></tr> <tr><td>Other Donors</td><td></td><td></td><td></td><td></td></tr> <tr><td>Local Partner(s)</td><td></td><td></td><td></td><td></td></tr> <tr><td><b>Total</b></td><td style="text-align: center;">0</td><td style="text-align: center;">0</td><td style="text-align: center;">0</td><td style="text-align: center;">0</td></tr> </tbody> </table>	Approved Summary Allocation, by Source	Original Total	Revised Total	Original Year	Revised This Year	DGIS					Other ODA + Belgian					Other Donors					Local Partner(s)					<b>Total</b>	0	0	0	0
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Other Donors																															
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<b>Total</b>	0	0	0	0																											

**2. Summary Scheme Performance up to the End of the Last Reporting Period ( in % )**

Summary performance dimensions (based on SKIM)	Compared to Year Target	Compared to Overall Target	Comments, if any
1. Physical & Human Resources Inputs Delivery, based on Key Indicators	%	%	
2. Cumulative Disbursement against Latest Revised Allocations	%	%	
3. Cumulative Expenditures against Actual Disbursements	%	%	
4. Scheme Physical Progress / Activities, based on Key Indicators	%	%	
5. Scheme Results and Effects, based on Key Indicators	%	%	

**3.**

<p><b>Prepared by Scheme Manager :</b></p> <p>Name</p> <p>Designation</p> <p>Date</p> <p>Signature</p>	<p><b>Attested by Chairperson of Scheme Partner Committee :</b></p> <p>Name</p> <p>Designation</p> <p>Date</p> <p>Signature</p>	<p><b>Approved by Actor Supervisory PME Officer :</b></p> <p>Name</p> <p>Designation</p> <p>Date</p> <p>Signature</p>
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Date ( dd/mm/yy )	Name and Initial Officer								

1	2	3	4	5		7	8			9
				Unit of Measurement	Overall Scheme Target		Cumulative End of C.F.Y.	Cumulative End This Reporting Period	Comments, if any	
<b>5. Quarterly Monitoring Report on Physical &amp; Human Resources Inputs</b> (based on PMES-1 key indicators)										
1.										
2.										
3.										
4.										
5.										
6.										
7.										
8.										
<b>Scheme Totals</b> (automatically calculated weighted % )				100%	%					

Scheme PMES ID N°

Year & Quarter this QPMR

1	2	3	4	5		7	8			9	10	11	12	13
				Allocations (Vastleggingen)	Effective Fund Releases (Ordonnancementen)		Actual Expenditures	In Current Financial Year (C.F.Y.)	Expenditures					
<b>6. Quarterly Progress Report on Financial Utilisation, by Main Budget Lines</b> (in Euro)														
1.	Preparation costs													
2.	Investment costs													
2.1.	Capital outlay													
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3.3	Sub-contracting / out-sourcing													
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3.5	Operation and maintenance													
<b>TOTALS</b>														

**IMPORTANT NOTE :**  
Only shaded areas to be completed by the reporting party.  
All other data automatically pre-filled by the computer system based on previously entered information (PMES-1 SKIM and previous PMES-3 progress reporting)

1	2	3	4	5		7	8			9
				Unit of Measurement	Overall Scheme Target		Cumulative End of C.F.Y.	Cumulative End This Reporting Period	Comments, if any	
<b>7. Quarterly Physical Progress (Activities) Monitoring Report</b> (Quantitative and Qualitative)										
1.										
2.										
3.										
4.										
5.										
6.										
7.										
8.										
<b>Scheme Totals</b> (automatically calculated weighted % )				100%	%					

Date and Signature of reporting scheme manager

Date  
This Printout

Scheme PMES ID N°	
Year & Quarter this QPMR	

1	2	3	4		6	7	8	9	10	11	12
			Unit of Measurement	Scheme targets							
<b>8. Scheme Results and Effects ( based on PMES-1 key indicators )</b>											
1.											
2.											
3.											
4.											
5.											
6.											
7.											
8.											
9.											
<b>Scheme Totals</b> ( automatically calculated weighted % )			-	100%	%	%					

1	2	3	4	5		6	7	8	9	10	11	12
				Overall Scheme Target	PMES-1 Target Period							
<b>9. Scheme Key Indicators for Scheme Impact and Client Satisfaction ( ad hoc internal or external monitoring )</b>												
1.												
2.												
3.												
4.												
5.												
6.												
7.												
8.												
9.												
<b>Scheme Totals</b> ( automatically calculated weighted % )			-	100%	%	%						

**IMPORTANT NOTE :**  
Only shaded areas to be completed by the reporting party.  
All other data automatically prefilled by the computer system based on previously entered information (PMES-1 SKIM and previous PMES-3 progress reporting)

1	2	3	4	5	6	7	8	9	10	11	12
<b>10. Development Relevance (DR) Assessment ( ad hoc external monitoring )</b>											
1.											
2.											
3.											
4.											
5.											
6.											
7.											
8.											
9.											
<b>Scheme Totals</b> ( automatically calculated weighted % )			-	100%	%	%					

ID N° of this DR Re-assessment Report	
Date of Report	
Overall weighted appraisal score ( % )	

1	2	3	4	5	6	7
<b>Development Relevance (DR) Assessment ( ad hoc external monitoring )</b>						
1.	Partnership and ownership					
2.	Institutional and managerial capacity building					
3.	Economic and social impact					
4.	Overall sustainability, esp. technical and financial viability					
5.	Coherence, programme logic & methodological soundness					
6.	Efficiency of the implementation strategy					
7.	Poverty alleviation / reduction					
8.	Gender equality					
9.	Protection and/or safeguarding of the environment					
<b>Scheme Totals</b> ( automatically calculated weighted % )		-	100%	%	%	

Type of this Development Relevance Re-assessment (pls. tick correct answer)	
Mid-Term Review	
End-of-Project	
Other External Monitoring	

1	2	3	4	5	6	7
<b>Development Relevance (DR) Assessment ( ad hoc external monitoring )</b>						
1.	Partnership and ownership					
2.	Institutional and managerial capacity building					
3.	Economic and social impact					
4.	Overall sustainability, esp. technical and financial viability					
5.	Coherence, programme logic & methodological soundness					
6.	Efficiency of the implementation strategy					
7.	Poverty alleviation / reduction					
8.	Gender equality					
9.	Protection and/or safeguarding of the environment					
<b>Scheme Totals</b> ( automatically calculated weighted % )		-	100%	%	%	

Identity DR Assessor	
Name	
Designation	
Date	
Signature	

1	2	3	4	5	6	7
<b>Development Relevance (DR) Assessment ( ad hoc external monitoring )</b>						
1.	Partnership and ownership					
2.	Institutional and managerial capacity building					
3.	Economic and social impact					
4.	Overall sustainability, esp. technical and financial viability					
5.	Coherence, programme logic & methodological soundness					
6.	Efficiency of the implementation strategy					
7.	Poverty alleviation / reduction					
8.	Gender equality					
9.	Protection and/or safeguarding of the environment					
<b>Scheme Totals</b> ( automatically calculated weighted % )		-	100%	%	%	

Date and Signature of reporting scheme manager	
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## ANNEX 4 :

### SELECTIVE SAMPLE OUTPUT REPORTS OF THE PME SYSTEM AT DIFFERENT LEVELS OF AGGREGATION

---

**1. QPR - LI Series :**

Listing reports of schemes summary quarterly progress

**2. QPR - SU Series :**

Summary reports on quarterly progress monitoring

**3. QPR - OS Series :**

Overall summary statistical reports on quarterly progress monitoring

**4. TRI - Li Series :**

Trend analysis of schemes cumulative achievements in relation to the scheme overall benchmark targets, by scheme

## **1. QPR – LI Series :**

### **Listing reports of schemes summary quarterly progress:**

- 1.1. Schemes summary quarterly progress in relation to the annual benchmark targets (in %) - QPR - LI.01
  
- 1.2 Quarterly monitoring listing of reported comments, problems and actions taken or suggested to other parties, per scheme - QPR - LI.02

Performance Monitoring and Evaluation System

PMES Automated Standard Output Reports ( PASOR ) : Listing Report of Schemes Summary Quarterly Progress in Relation to Annual Benchmark Targets ( in % )

PASOR Report Identification

Report ID Number	<b>QPR - LI . 01</b>
PASOR Category	Summary quarterly progress monitoring
Report Description	Listing report of schemes summary quarterly progress in cumulative achievements in relation to benchmark targets (in percentage by scheme)

Reporting Period and Type

Status Report	<input checked="" type="checkbox"/>	Trend Report	<input type="checkbox"/>
Quarter		From ( Q / Y )	
Year		To ( Q / Y )	
Report Type	Listing <input checked="" type="checkbox"/>	Summary statistics	<input type="checkbox"/>

Report Generation

Date this printout ( dd/mm/yy )	
Date last editing of records	
Report generated by	Name Position

Database Filter Configuration Applied to This Report ( default = NO ; if applicable, box is crossed and applied filter category[ies] are described )

1. Scheme cycle status	<input type="checkbox"/>	6. Actor agency	<input type="checkbox"/>
2. DAC SPNC (sub-)sector	<input type="checkbox"/>	7. Approval date	<input type="checkbox"/>
3. PMES SKIM	<input type="checkbox"/>	8. Date official start	<input type="checkbox"/>
4. Geographic area	<input type="checkbox"/>	9. Amount engagements	<input type="checkbox"/>
5. Thematic focus	<input type="checkbox"/>	10. Cumulative AIE's	<input type="checkbox"/>

Remarks:

--

1 2 3 4 5 6 7 8 9 10 11 12 13

Seq- uence N°	Identification of Development Scheme				Summary Achievements of the Scheme, Cumulative at End Reporting Period <i>( in percent, weighted average related to key OVI's annual benchmark targets )</i>				Remarks, if any			
	PMES ID N°	Inter- vention N°	Budget Alloc- ation N°	Scheme Name	SPNC code	Area Code	Timely Inputs Provision	Expenditures / Total Engagements		Expenditures CFY / Ordonnances CFY	Activities Physical Progress	Results and Effects <i>(semi-annual, if applicable)</i>
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
11												
12												
13												
14												
<b>Totals / Averages of the Above Schemes</b>												

**Performance Monitoring and Evaluation System  
 Quarterly Monitoring Listing of Reported Comments, Problems and Actions Taken / Suggested**

**PASOR Report Identification**

Report ID Number	<b>QPR - LI - 02</b>
PASOR Category	Summary quarterly progress monitoring
Report Description	Listing report of schemes quarterly reporting on progress comments, problems encountered and/or actions taken or suggested ( narrative summaries)

**Reporting Period and Type**

Status Report	<input checked="" type="checkbox"/>	Trend Report	<input type="checkbox"/>
Quarter		From (Q/Y)	
Year		To (Q/Y)	
Report Type	<input checked="" type="checkbox"/> Listing	Summary statistics	<input type="checkbox"/>

**Report Generation**

Date this printout ( dd/mm/yy )	
Date last editing of records	
Report generated by	Name Position

**Database Filter Configuration Applied to This Report** ( default = NO ; if applicable, box is crossed and applied filter category[ies] are described )

1. Scheme cycle status	<input type="checkbox"/>	6. Actor agency	<input type="checkbox"/>
2. DAC SPNC (sub-)sector	<input type="checkbox"/>	7. Approval date	<input type="checkbox"/>
3. PMES SKIM	<input type="checkbox"/>	8. Date official start	<input type="checkbox"/>
4. Geographic area	<input type="checkbox"/>	9. Amount engagements	<input type="checkbox"/>
5. Thematic focus	<input type="checkbox"/>	10. Cumulative AIE's	<input type="checkbox"/>

**Remarks:**

9

8

7

6

5

4

3

2

Seq- uence N°	Identification of Development Scheme				Summary of Reported Comments / Problems	Summary of Actions Taken at the Level of the Scheme and /or of Suggested Actions to Other Parties
	PMES ID N°	Inter- vention N°	Budget Alloc- ation N°	Scheme Name		
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						

## **2. QPR – SU Series :**

### **Summary reports on quarterly progress monitoring :**

- 2.1. Schemes cumulative achievements in relation to current year benchmark targets, by sub-sectors -  
QPR - SU.01
  
- 2.2. Schemes cumulative achievements in relation to current year benchmark targets, by country / area -  
QPR - SU.02
  
- 2.3. Schemes cumulative achievements in relation to current year benchmark targets, by actor agency -  
QPR - SU.03

**PMES Automated Standard Output Reports (PASOR) : Summary Quarterly Progress Monitoring, by (Sub-)Sector (average %)**

**PASOR Report Identification**

Report ID Number	<b>QPR - SU . 01</b>
PASOR Category	Quarterly progress monitoring summary statistics
Report Description	Statistical report of average schemes summary quarterly progress in cumulative achievements in relation to targets, by sub-sectors (in percent)

**Reporting Period and Type**

Status Report	<input checked="" type="checkbox"/>	Trend Report	<input type="checkbox"/>
Quarter	From ( Q / Y )		
Year	To ( Q / Y )		
Report Type	Listing <input type="checkbox"/>	Summary statistics	<input checked="" type="checkbox"/> averages

**Report Generation**

Date this printout ( dd/mm/yy )		
Date last editing of records	Name	Position
Report generated by		

**Database Classification and Filter(s) Configuration Applied to This Report** ( default = NO ; if filter applicable, box is crossed and applied filter categories are described )

1. Scheme cycle status	<input type="checkbox"/>	6. Actor agency	<input checked="" type="checkbox"/> direct bilateral cooperation (BTC)
2. DAC SPNC (sub-)sector	<input checked="" type="checkbox"/> = applied classification	7. Approval date	<input checked="" type="checkbox"/> after 1997
3. PMES SKIM	<input type="checkbox"/>	8. Date official start	<input type="checkbox"/>
4. Geographic area	<input type="checkbox"/>	9. Amount engagements	<input type="checkbox"/>
5. Thematic focus	<input type="checkbox"/>	10. Cumulative AIE's	<input type="checkbox"/>

**Remarks:**

--

1 2 3 4 5 6 7 8 9 10 11 12 13

Seq- uence N°	Classification of (Sub-)Sectors in accordance with SPNC codebook				Weighted Average Summary Achievements of the Schemes, Cumulative at End Reporting Period ( in percent of CY benchmarks: schemes weight based on total engagements )			Remarks, if any				
	SPNC Code	Description of Sub-Sector	No of Schemes in Category	Total Allocated (in 1000 BEF)	Total Appropriated (in 1000 BEF)	Average Age of Schemes (in months)	Timely Inputs Provision		Expenditures / Total Engagements	Expenditures CFY / Appropriations CFY	Activities Physical Progress	Results and Effects (semi-annual, if applicable)
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
11												
12												
13												
14												
<b>Totals / Averages of all Sub-Sectors</b>												

Performance Monitoring and Evaluation System  
**PMES Automated Standard Output Reports (PASOR) : Summary Quarterly Progress Monitoring, by Area ( average % )**

**PASOR Report Identification**

Report ID Number	<b>QPR - SU . 02</b>
PASOR Category	Quarterly progress monitoring summary statistics
Report Description	Statistical report of average schemes summary quarterly progress in cumulative achievements in relation to targets, by country / area (in percent)

**Reporting Period and Type**

Status Report	<input checked="" type="checkbox"/>	Trend Report	<input type="checkbox"/>
Quarter	From ( Q / Y )		
Year	To ( Q / Y )		
Report Type	Listing <input type="checkbox"/>	Summary statistics <input checked="" type="checkbox"/>	Averages <input type="checkbox"/>

**Report Generation**

Date this printout ( dd/mm/yy )			
Date last editing of records	Name		
Report generated by	Position		

**Database Classification and Filter(s) Configuration Applied to This Report** ( default = NO ; if filter applicable, box is crossed and applied filter categories are described )

1. Scheme cycle status	<input type="checkbox"/>	6. Actor agency	<input type="checkbox"/>
2. DAC SPNC (sub-)sector	<input type="checkbox"/>	7. Approval date	<input type="checkbox"/>
3. PMES SKIM	<input type="checkbox"/>	8. Date official start	<input type="checkbox"/>
4. Geographic area	<input checked="" type="checkbox"/> = applied classification	9. Amount engagements	<input type="checkbox"/>
5. Thematic focus	<input checked="" type="checkbox"/> gender appraisal score > 30%	10. Cumulative AIE's	<input type="checkbox"/>

Remarks:

1 2 3 4 5 6 7 8 9 10 11 12 13

Seq- uence N°	Area Code	Description of Area / Country	No of Schemes in Category	Total Allocated (in 1000 BEF)	Total Appropri- ated (in 1000 BEF)	Weighted Average Summary Achievements of the Schemes, Cumulative at End Reporting Period ( in percent of CY benchmarks: schemes weight based on total engagements )			Results and Effects (semi-annual, if applicable)	Remarks, if any
						Average Age of Schemes (in months)	Timely Inputs Provision	Expenditures / Total Engagements		
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
<b>Totals / Averages of all Areas</b>										

Performance Monitoring and Evaluation System  
**PMES Automated Standard Output Reports ( PASOR ) : Summary Quarterly Progress Monitoring, by Actor ( average % )**

**PASOR Report Identification**

Report ID Number	<b>QPR - SU . 03</b>
PASOR Category	Quarterly progress monitoring summary statistics
Report Description	Statistical report of average schemes summary quarterly progress in cumulative achievements in relation to targets, by actor agency (in percent)

**Reporting Period and Type**

Status Report	<input checked="" type="checkbox"/>	Trend Report	<input type="checkbox"/>
Quarter	From ( Q / Y )		
Year	To ( Q / Y )		
Report Type	Listing <input type="checkbox"/>	Summary statistics	<input checked="" type="checkbox"/> averages

**Report Generation**

Date this printout ( dd/mm/yy )		
Date last editing of records	Name	Position
Report generated by		

**Database Classification and Filter(s) Configuration Applied to This Report** ( default = NO ; if filter applicable, box is crossed and applied filter categories are described )

1. Scheme cycle status	<input type="checkbox"/>	6. Actor agency	<input checked="" type="checkbox"/> = applied classification
2. DAC SPNC (sub-)sector	<input type="checkbox"/>	7. Approval date	<input type="checkbox"/>
3. PMES SKIM	<input type="checkbox"/>	8. Date official start	<input checked="" type="checkbox"/> after 30 June 1999
4. Geographic area	<input checked="" type="checkbox"/> Sub-Sahara Africa	9. Amount engagements	<input type="checkbox"/>
5. Thematic focus	<input type="checkbox"/>	10. Cumulative AIE's	<input checked="" type="checkbox"/> > 3.000.000 Belgian Francs

**Remarks:**

1 2 3 4 5 6 7 8 9 10 11 12 13

Seq- uence N°	Classification of Actors in accordance with the Actor Codebook				Weighted Average Summary Achievements of the Schemes, Cumulative at End Reporting Period ( in percent of CY benchmarks: schemes weight based on total engagements )			Remarks, if any				
	Actor Code	Name of Actor / Agency	No of Schemes in Category	Total Allocated (in 1000 BEF)	Total Appropri- ated (in 1000 BEF)	Average Age of Schemes (in months)	Timely Inputs Provision		Expenditures / Total Engagements	Expenditures CFY / Appropriations CFY	Activities Physical Progress	Results and Effects (semi-annual, if applicable)
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
11												
12												
13												
14												
<b>Totals / Averages of all Actors</b>												

### **3. QPR – OS Series :**

#### **Overall summary statistical reports on quarterly progress monitoring:**

- 3.1. Sectoral cumulative achievements in relation to current year benchmark targets, by priority sector  
- QPR - OS.01
  
- 3.2. Geographical area cumulative achievements in relation to current year benchmark targets, by main geographical area - QPR - OS.02
  
- 3.3. Actor cumulative achievements in relation to current year benchmark targets, by main actor categories - QPR - OS.03
  
- 3.4. Cross-sectoral priority themes cumulative achievements in relation to current year benchmark targets, by cross-sectoral priority theme - QPR - OS.04

**PMES Automated Standard Output Reports (PASOR) : Overall Summary Quarterly Progress Monitoring , by Priority Sector ( av. % )**

OSE - PMES / 21.01.2001

**PASOR Report Identification**

Report ID Number	<b>QPR - OS . 01</b>
PASOR Category	Quarterly progress monitoring overall summaries
Report Description	Summary statistical report of overall quarterly programme progress in cumulative achievements in relation to targets, by main priority sectors (in %)

**Reporting Period and Type**

Status Report	<input checked="" type="checkbox"/>	Trend Report	<input type="checkbox"/>
Quarter		From ( Q / Y )	
Year		To ( Q / Y )	
Report Type	<input type="checkbox"/>	Listing	<input type="checkbox"/>
		Summary statistics	<input checked="" type="checkbox"/>
		overall av.	<input type="checkbox"/>

**Report Generation**

Date this printout ( dd/mm/yy )	
Date last editing of records	
Report generated by	Name
	Position

**Database Classification and Filter(s) Configuration Applied to This Report** ( default = NO ; if filter applicable, box is crossed and applied filter categories are described )

1. Scheme cycle status	<input type="checkbox"/>	6. Actor agency	<input type="checkbox"/>
2. DAC SPNC (sub-)sector	<input checked="" type="checkbox"/> = applied classification	7. Approval date	<input type="checkbox"/>
3. PMES SKIM	<input type="checkbox"/>	8. Date official start	<input type="checkbox"/>
4. Geographic area	<input type="checkbox"/>	9. Amount engagements	<input type="checkbox"/>
5. Thematic focus	<input type="checkbox"/>	10. Cumulative AIE's	<input type="checkbox"/>

**Remarks:**

--

1 2 3 4 5 6 7 8 9 10 11 12 13

Classification of Main Priority Sectors based on the Sector Codebook				Weighted Average Summary Achievements of the Schemes, Cumulative at End Reporting Period ( in percent of CY benchmarks; schemes weight based on total engagements )				Remarks, if any				
Seq- uence N°	Sector Code	Description of Priority Sector ( Law of 25 May 1999 and other strategic sectors )	No of Schemes in Category	Total Allocated (in 1000 BEF)	Total Appropri- ated (in 1000 BEF)	Average Age of Schemes (in months)	Timely Inputs Provision		Expenditures / Total Engagements	Expenditures CFY / Appropriations CFY	Activities Physical Progress	Results and Effects (semi-annual, if applicable)
1		Basic health care, incl. reproductive health										
2		Education and training										
3		Agriculture and food security										
4		Base infrastructure										
5		Conflict prevention and civil society										
6		Other strategic priority sector A										
7		Other strategic priority sector B										
8		Other strategic priority sector C										
9		Other strategic priority sector D										
10		Other strategic priority sector E										
11		Other strategic priority sector F										
12		Other strategic priority sector G										
<b>Totals / Averages of All Sectors</b>												



Performance Monitoring and Evaluation System

PMES Automated Standard Output Reports ( PASOR ) : Overall Summary Quarterly Progress Monitoring , by Actor Category ( av. % )

OSE - PMES / 21.01.2001

PASOR Report Identification

Report ID Number	<b>QPR - OS . 03</b>
PASOR Category	Quarterly progress monitoring overall summaries
Report Description	Summary statistical report of overall quarterly programme progress in cumulative achievements in relation to targets, by main actor categories (in %)

Reporting Period and Type

Status Report	<input checked="" type="checkbox"/>	Trend Report	<input type="checkbox"/>
Quarter	From ( Q / Y )	To ( Q / Y )	
Year	Summary statistics		<input checked="" type="checkbox"/> overall av.
Report Type	Listing		

Report Generation

Date this printout ( dd/mm/yy )	
Date last editing of records	
Report generated by	Name
	Position

Database Classification and Filter(s) Configuration Applied to This Report ( default = NO ; if filter applicable, box is crossed and applied filter categories are described )

1. Scheme cycle status	<input type="checkbox"/>	6. Actor agency	<input checked="" type="checkbox"/> = applied classification
2. DAC SPNC (sub-)sector	<input type="checkbox"/>	7. Approval date	<input type="checkbox"/>
3. PMES SKIM	<input type="checkbox"/>	8. Date official start	<input type="checkbox"/>
4. Geographic area	<input type="checkbox"/>	9. Amount engagements	<input type="checkbox"/>
5. Thematic focus	<input type="checkbox"/>	10. Cumulative AIE's	<input type="checkbox"/>

Remarks:

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1 2 3 4 5 6 7 8 9 10 11 12 13

Seq- uence N°	Actor Code	Main Actor Category	No of Schemes in in Category	Total Allocated (in 1000 BEF)	Total Appropr- iated (in 1000 BEF)	Average Age of Schemes (in months)	Weighted Average Summary Achievements of the Schemes, Cumulative at End Reporting Period ( in percent of CY benchmarks; schemes weight based on total engagements )				Remarks, if any	
							Timely Inputs Provision	Expenditures / Total Engagements	Expenditures CFY / Appropriations CFY	Activities Physical Progress		Results and Effects (semi-annual, if applicable)
1	1	Bilateral - BTC										
2	2.1	Belgian Survival Fund										
3	2.2	Conflict Prevention and Civil Society										
4	3.1	Indirect - Non-Government Organisations										
5	3.2	Indirect - Universities										
6	3.3	Indirect - Special Programmes										
7	4.1	Multilateral - UN System										
8	4.2	Multilateral - Development Banks										
9	4.3	Multilateral - Commission European Union										
10	5.1	Food Assistance										
11	5.2	Emergency and rehabilitation assistance										
12	9	Other, not classified										
<b>Totals / Averages of all Actor Categories</b>												

Performance Monitoring and Evaluation System

PMES Automated Standard Output Reports ( PASOR ) : Overall Summary Quarterly Progress Monitoring , by Cross-Sectoral Themes ( av. % ) (\*)

OSE - PMES / 21.01.2001

PASOR Report Identification

Report ID Number	<b>QPR - OS . 04</b>
PASOR Category	Quarterly progress monitoring overall summaries
Report Description	Summary statistical report of overall quarterly programme progress in cumulative achievements in relation to targets, by cross-sectoral themes (in %)

Reporting Period and Type

Status Report	<input checked="" type="checkbox"/>	Trend Report	<input type="checkbox"/>
Quarter	From ( Q / Y )		
Year	To ( Q / Y )		
Report Type	<input type="checkbox"/> Listing	Summary statistics	<input checked="" type="checkbox"/> overall av.

Report Generation

Date this printout ( d/mmm/yy )	
Date last editing of records	
Report generated by	Name Position

Database Classification and Filter(s) Configuration Applied to This Report ( default = NO ; if filter applicable, box is crossed and applied filter categories are described )

1. Scheme cycle status	<input type="checkbox"/>	6. Actor agency	<input type="checkbox"/>
2. DAC SPNC (sub-)sector	<input type="checkbox"/>	7. Approval date	<input type="checkbox"/>
3. PMES SKIM	<input type="checkbox"/>	8. Date official start	<input type="checkbox"/>
4. Geographic area	<input type="checkbox"/>	9. Amount engagements	<input type="checkbox"/>
5. Thematic focus	<input checked="" type="checkbox"/> = applied classification (*)	10. Cumulative AIE's	<input type="checkbox"/>

Remarks:

Remarks:
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1 2 3 4 5 6 7 8 9 10 11 12 13

Classification of Priority Concentration Themes based on the Thematic Codebook (\*)

Seq- uence N°	Sector Code	Description of Priority Sector ( Law of 25 May 1999 and other strategic thematic concentrations )	No of Schemes in Category	Total Allocated (in 1000 BEF)	Total Appropri- ated (in 1000 BEF)	Average Age of Schemes (in months)	Weighted Average Summary Achievements of the Schemes, Cumulative at End Reporting Period ( in percent of CY benchmarks; schemes weight based on total engagements )			Results and Effects ( semi-annual, if applicable )	Remarks, if any	
							Timely Inputs Provision	Expenditures / Total Engagements	Expenditures CFY / Appropriations CFY			
1		Gender										
2		Environment										
3		Social Economy										
4		Other cross-sectoral priority theme A										
5		Other cross-sectoral priority theme B										
6		Other cross-sectoral priority theme C										
7		Other cross-sectoral priority theme D										
8		Other cross-sectoral priority theme E										
9		Other cross-sectoral priority theme F										
10		Other cross-sectoral priority theme G										
<b>Totals / Averages of All Cross-Sectoral Priority Themes</b>												

(\*) **Important Note :**

Only those schemes with an appraisal score of at least 30 % on the respective theme(s) in the thematic concentration box 1.2 of the PMES-1 form "Development Scheme Identification and Key Indicators Matrix" are retained in this overall summary report.

#### **4. TR – LI Series :**

##### **Trend analysis of schemes cumulative achievements in relation to the scheme overall benchmark targets, by scheme:**

- 4.1. Trend analysis of schemes cumulative physical progress (activities) achievements, in percent - TR - LI.01
- 4.2. Trend analysis of schemes cumulative financial utilisation (expenditures) compared to the schemes total engagements, in percent - TR - LI.02
- 4.3. Trend analysis of schemes cumulative financial utilisation (expenditures) compared to the schemes cumulative appropriations up to the current financial year inclusive, in percent - TR - LI.03
- 4.4. Trend analysis of schemes cumulative results / effects achievements, in percent - TR - LI.04

**PMES Automated Standard Output Reports (PASOR) : Trend Analysis of Schemes Physical Progress (Activities), in % of Overall Scheme Targets**

**PASOR Report Identification**

Report ID Number	<b>TR - LI . 01</b>
PASOR Category	Trend analysis of schemes physical progress
Report Description	Listing report of schemes physical progress trends in cumulative achievements (activities) in relation to the overall scheme targets (in percentage by scheme)

**Reporting Period and Type**

Status Report	<input type="checkbox"/>	Trends Report	<input checked="" type="checkbox"/>
Quarter	From ( Q / Y )		
Year	To ( Q / Y )		
Report Type	Listing <input checked="" type="checkbox"/>	Summary statistics	<input type="checkbox"/>

**Report Generation**

Date this printout ( dd/mm/yy )	
Date last editing of records	
Report generated by	Name
	Position

**Database Filter Configuration Applied to This Report** ( default = NO ; if applicable, box is crossed and applied filter category[es] are described )

1. Scheme cycle status	<input type="checkbox"/>	6. Actor agency	<input type="checkbox"/>
2. DAC SPNC (sub-)sector	<input type="checkbox"/>	7. Approval date	<input type="checkbox"/>
3. PMES SKIM	<input type="checkbox"/>	8. Date official start	<input type="checkbox"/>
4. Geographic area	<input type="checkbox"/>	9. Amount engagements	<input type="checkbox"/>
5. Thematic focus	<input type="checkbox"/>	10. Cumulative AIE's	<input type="checkbox"/>

**Remarks:**

--

Seq- uence N°	Identification of Development Scheme				Trends in Summary Cumulative Physical Progress Achievements of the Schemes in relation to Overall Scheme Benchmark Targets <i>( in percent, weighted average related to key OVI's benchmark targets )</i>				Remarks, if any							
	PMES ID N°	Inter- vention N°	Budget Alloc- ation N°	Scheme Name	SPNC code	Area Code	Cumulative Achievements per Quarter in the Current Financial Year									
							1 <sup>st</sup>	2 <sup>nd</sup>		3 <sup>rd</sup>	4 <sup>th</sup>					
1																
2																
3																
4																
5																
6																
7																
8																
9																
10																
11																
12																
<b>Totals / Averages of the Above Schemes</b>																



**PMES Automated Standard Output Reports (PASOR) : Trend Analysis of Schemes Financial Utilization, in % of Cumulative Appropriations**

**PASOR Report Identification**

Report ID Number	<b>TR - LI . 03</b>
PASOR Category	Trend analysis of schemes financial utilization
Report Description	Listing report of schemes financial utilization trends as compared to the cumulative appropriations (cumulative expenditures as % of cumulative appropriations)

**Reporting Period and Type**

Status Report	<input type="checkbox"/>	Trends Report	<input checked="" type="checkbox"/>
Quarter	From ( Q / Y )		
Year	To ( Q / Y )		
Report Type	Listing <input checked="" type="checkbox"/>	Summary statistics	<input type="checkbox"/>

**Report Generation**

Date this printout ( dd/mm/yy )	
Date last editing of records	
Report generated by	Name
	Position

**Database Filter Configuration Applied to This Report** ( default = NO ; if applicable, box is crossed and applied filter category/esj are described )

1. Scheme cycle status	<input type="checkbox"/>	6. Actor agency	<input type="checkbox"/>
2. DAC SPNC (sub-)sector	<input type="checkbox"/>	7. Approval date	<input type="checkbox"/>
3. PMES SKIM	<input type="checkbox"/>	8. Date official start	<input type="checkbox"/>
4. Geographic area	<input type="checkbox"/>	9. Amount engagements	<input type="checkbox"/>
5. Thematic focus	<input type="checkbox"/>	10. Cumulative AIE's	<input type="checkbox"/>

**Remarks:**

--

Seq- uence N°	Identification of Development Scheme				Trends in Schemes Cumulative Financial Utilization (Expenditures) compared to the Schemes Cumulative Appropriations ( in % )				Remarks, if any		
	PMES ID N°	Inter- vention N°	Budget Alloc- ation N°	Scheme Name	SPNC code	Area Code	Cumulative Financial Utilization of Preceding Years ( if applicable )				
							1 <sup>st</sup>	2 <sup>nd</sup>		3 <sup>rd</sup>	4 <sup>th</sup>
1							1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>	
2											
3											
4											
5											
6											
7											
8											
9											
10											
11											
12											
<b>Totals / Averages of the Above Schemes</b>											

Performance Monitoring and Evaluation System

**PIMES Automated Standard Output Reports (PASOR) : Trend Analysis of Schemes Cumulative Results / Effects, in % of Overall Scheme Targets**

**PASOR Report Identification**

Report ID Number	<b>TR - LI - 04</b>
PASOR Category	Trend analysis of schemes results and effects.
Report Description	Listing report of schemes trends in results and effects generation in relation to the overall scheme targets (in percentage by scheme)

**Reporting Period and Type**

Status Report	<input type="checkbox"/>	Trends Report	<input checked="" type="checkbox"/>
Quarter	From (Q./Y)		
Year	To (Q./Y)		
Report Type	Listing <input checked="" type="checkbox"/>	Summary statistics	<input type="checkbox"/>

**Report Generation**

Date this printout ( dd/mm/yy)	
Date last editing of records	
Report generated by	Name
	Position

**Database Filter Configuration Applied to This Report** ( default = NO ; if applicable, box is crossed and applied filter category[es] are described )

1. Scheme cycle status	<input type="checkbox"/>	6. Actor agency	<input type="checkbox"/>
2. DAC SPNC (sub-)sector	<input type="checkbox"/>	7. Approval date	<input type="checkbox"/>
3. PIMES SKIM	<input type="checkbox"/>	8. Date official start	<input type="checkbox"/>
4. Geographic area	<input type="checkbox"/>	9. Amount engagements	<input type="checkbox"/>
5. Thematic focus	<input type="checkbox"/>	10. Cumulative AIE's	<input type="checkbox"/>

**Remarks:**

--

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16

Identification of Development Scheme		Trends in Summary Cumulative Results and Effects Generation of the Schemes in relation to the Overall Scheme Benchmark Targets				Remarks, if any		
Seq- uence N°	PIMES ID N°	Inter- vention N°	Budget Alloc- ation N°	Cumulative Achievements of Preceding Years ( if applicable )				
				1 <sup>st</sup>	2 <sup>nd</sup>		3 <sup>rd</sup>	4 <sup>th</sup>
1				1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>	
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
<b>Totals / Averages of the Above Schemes</b>								

## ANNEX 5 :

### SELECTIVE BIBLIOGRAPHY

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