

THE UNITED REPUBLIC OF TANZANIA



PRESIDENT'S OFFICE

PUBLIC SERVICE MANAGEMENT

**MONITORING AND EVALUATION
SYSTEMS FRAMEWORK FOR
TANZANIA PUBLIC SERVICE**

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LIST OF ABBREVIATIONS

GOT	Government of Tanzania
ICT	Information and Communication Technology
IMTC	Inter-Ministerial Technical Committee
LGAs	Local Government Authorities
MDAs	Ministries, Independent Departments and Executive Agencies
M&E	Monitoring and Evaluation
MKUKUTA	Mkakati wa Kukuza and Kupunguza Umaskini Tanzania
MTEF	Medium Term Expenditure Framework
MTSPBM	Medium Term Strategic Planning and Budgeting Manual
OPRAS	Open Performance Review and Appraisal System
SMART	Specific, Measurable, Achievable, Realistic, Time Framed

TERMINOLOGIES

Accountability: An obligation to demonstrate that work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis-a-vis mandated roles and/or plans.

Activity: Action taken or work performed through which inputs such as funds, human resources and other material resources are mobilized to produce specific outputs. Activities are what institutions do and describe processes which are largely internal to the institution

Data collection instruments: Are devices used to collect data such as questionnaires, surveys, focus groups, interviews, observation and case studies.

Data: Information in [raw](#) or unorganized [form](#) that [refer](#) to, or [represent](#), facts, statistics, [conditions](#), [ideas](#), or [objects](#).

Data Systems: Refers to sustainable organizational arrangements, procedures, processes or mechanisms that facilitates collection; compilation; storage and preservation; analysis, integration and disaggregation; validation and quality assurance; retrieval, documentation and

dissemination of data generated from implementation of activities arising from institutional mandates, roles and functions.

Evaluation: Is a periodic systematic, rigorous, and meticulous application of scientific methods to assess the design, implementation, improvement or outcomes of a program. The aim is to determine relevancy and fulfilment objectives, development efficiency, effectiveness, impact and sustainability. Evaluations should provide information that is credible, useful enabling incorporation of lesson learnt into the decision making process of the institution. Evaluations can take the form of feasibility studies, process, project or programme evaluation, thematic evaluations, performance audits, outcome evaluations, impact evaluations and population census.

Framework: Is a broad overview, [outline](#) or skeleton of interlinked [items](#) which provides a general guide or [supports](#) a particular approach in order to achieve a specific [objective](#).

Indicator target values: Is the desired value of the indicator in

the future or at a specified point in time, against which actual results will be measured

Indicator: A quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, reflect changes connected to an intervention, or assesses performance of an institution. Indicators are often disaggregated to compare results and frequently have time-specified target and baseline values. Indicators are usually stated in SMART format

Information: Is data that has been processed for a specific purpose and verified to be [accurate](#) and timely. It is presented within a [context](#) that gives it meaning, relevance, and [leads](#) to an [increase](#) in [understanding](#) and [decrease](#) in [uncertainty](#).

Input: This is a resource required to accomplish an activity e.g. time, finance, human, and material resources.

Learning: It basically connotes change of behaviour as a result of experience.

Milestone: An activity used to identify significant events in a schedule, such as the completion of a major phase. It is tagged or singled out for special monitoring in terms of progress or completion. The milestone selected should be indicative of a larger or more important process. Milestones

can be considered to be a form of indicator, whether or not something has been produced within a particular deadline.

Monitoring: Is an on-going function that uses systematic collection of data on specified indicators which aims at providing management and the main stakeholders of an on-going intervention on an indication of the extent of progress and achievement of objectives and progress in the use of allocated funds.

M&E System: Consists of related, interdependent and interacting components i.e. performance indicators, performance reports, performance reviews, evaluations and data systems. The components work in unison to enable an institution to track implementation of activities on day to day basis as well as facilitate determination of results of the interventions undertaken at an institutional, sub-sector, sector and national level.

Objective: Describes an intended improvement, outcomes or impact to be achieved and summarizes why a series of actions have been undertaken.

Outcome: Benefits that arise from the outputs of a project, program, or policy. An outcome entails behavioural or

organizational change and or benefits accruing to customers and other stakeholders.

Output: Are products, goods and services which result from an intervention which are relevant to the achievement of outcomes;

Performance Audits: refers to an examination of a program, functions, operations, management systems and procedures of an institution to assess whether the entity is achieving economy, efficiency and effectiveness in the employment of available resources.

Performance Reports: These are periodic reports on performance institutions. Such reports will contain performance indicators which measure the achievements of the organization and its programs.

Performance Review: Is an assessment of the performance of an intervention done periodically and may take the form of review meetings or rapid appraisals. They tend to emphasize operational aspects e.g. reviews of structures, systems, processes, milestones, activities, and targets to determine to what extent they are facilitating achievement of outcomes. Reviews attempt to identify ways to improve the design or implementation of strategic plans, programs, projects etc. They can be done externally,

internally or jointly. They look for trends and work through a consensus or agreement on recommendations. Reviews tend to be perception based and its conclusion may be based on expert opinion.

Performance: the degree to which an intervention or an implementer operates according to specific criteria/ standards/guidelines or achieves results in accordance with stated objectives or plans

Process: Is a series of actions or steps which are carried out in order to achieve a particular result.

Programme: A time-bound intervention that differs from a project in that it usually cuts across sectors, themes or geographic areas, uses a multidisciplinary approach, involves more institutions than a project, and may be supported by different funding sources.

Project Appraisal: [Systematic](#) and [comprehensive review](#) of the [economic](#), environmental, [financial](#), social, [technical](#) and other such aspects of a [project](#) to [determine](#) if it will [meet](#) its [objectives](#).

Project: A planned undertaking designed to achieve certain specific objectives within a given budget and within a specified period of time.

Results Framework: This is a monitoring and evaluation plan

that focuses on outcome, output, process and input indicators. This links all levels of the result chain i.e. inputs, activities, outputs, outcomes and its causal relationship with high level results and underlying assumptions. It generally shows the underlying logic of how the organization is supposed to achieve its development objective i.e. impacts.

Rapid Appraisals: These are systematic studies undertaken within a short duration that collects, gathers, analyzes, assesses and reports relevant information to decision-makers within a short time e.g. sector reviews, thematic reviews, service delivery surveys, programme or project mid-term reviews, end of programme/ or project reviews.

Results: A broad term used to refer to the effects of a program or project. The terms output, outcome or impact (intended or unintended, positive and/or negative) describes more precisely the different types of results.

Statistics: Are aggregate of facts affected to a marked extent by multiplicity of causes, numerically expressed, enumerated or estimated according to reasonable standards of accuracy collected

in systematic manner for a pre-determined purpose placed in relation to each other.

Strategy: Is the direction and scope of an organisation over the long-term, which achieves advantages in a changing environment through its configuration of resources and competences with the aim of fulfilling stakeholders' expectations and organisation objectives.

Systems: A set of [detailed methods](#), [procedures](#) and [routines](#) established or formulated to carry out a specific [activity](#), [perform](#) a [duty](#), or solve a [problem](#).

Target: the goods or services produced over a given period of time, by an institution, in order to achieve its objectives. A target is a deliverable that corresponds to an output

Thematic Evaluation: This is an Evaluation of selected development interventions, which address a specific development priority that cuts across institutions, regions sectors and countries.

Transparency: The extent to which a program or project's decision making, monitoring, reporting, and evaluation processes are open and freely available to the general public and other stakeholders.

PREFACE

Monitoring and Evaluation is a powerful Public Management tool that can be used to improve the way Governments achieve results and respond effectively to citizens, the private sector, non-governmental organisations, civil society, international organisations and development partners growing demands for better performance and delivery of tangible results.

In recognition of the importance of Monitoring and Evaluation Systems in providing a continuous flow of information on performance feedback to policy and decision makers, the Government of Tanzania promulgated the Public Service Management and Employment Policy (PSMEP) 1998 (as revised 2008) that stipulated the need for Public Institutions to have in place robust M&E Systems, so as to be able anticipate and solve management problems and respond to stakeholders demands.

In line with the above policy, the Government of Tanzania has implemented policy, structural, institutional reforms and strategies, aimed at strengthening the monitoring and evaluation function in the Ministries, Independent Departments, Regional Secretariats, Executive Agencies and Local Government Authorities. These included, amongst others, installation of performance management systems in MDAs; development of the Medium Term Strategic Planning and Budgeting Manual (MTSPBM) which led to the introduction of the Results Framework chapter in the Strategic Plan; and Sensitization to MDAs and LGAs on the MTSPBM.

Other measures included conducting monitoring and evaluation training to Ministries, Independent Departments, Executive Agencies, Regional Secretariats and Local Government Authorities (LGAs); strengthening the monitoring and evaluation function under the Divisions of Policy and Planning in Ministries by establishing Monitoring and Evaluation Sections within the divisions; and ongoing efforts to link planning, budgeting, monitoring, evaluation and reporting.

Despite the above measures undertaken by the GOT to strengthen M&E function, there exists a number of challenges which include absence of a common understanding within MDAs on what should

constitutes a M&E System; a tendency to regard M&E Systems as software and hardware as opposed to its functionality; and proliferation of M&E Systems and processes that are neither integrated nor communicating. Other challenges include less focus on institutionalization of M&E concepts and practices; inadequate understanding on the institutional framework for the M&E function across the Government; and lack of a framework for guiding MDAs and LGAs on how to design and build an M&E Systems. In order to address some of the above challenges, a comprehensive Monitoring and Evaluation Systems Framework has been developed.

The purpose of this Framework is to provide clarity on what constitutes a monitoring and evaluation system, identify the key players and their roles in strengthening the monitoring and evaluation function across the Government and guide the design, development and strengthening of monitoring and evaluation systems in MDAs and LGAs. The framework will also guide the process of improving the management of indicators, performance reviews, performance reports, evaluations and data systems in MDAs and LGAs.

This framework is therefore, intended for various levels of management within Government i.e. Chief Executive Officers, Directors, Senior Managers and Technical Officers. It will be used by the above practitioners as a basis for facilitating their MDAs and LGAs to strengthen M&E System so as to improve public policy, learn and innovate, demonstrate results, strengthen accountability and transparency as well as enhancing values for tax payer's money.

I trust that this framework will be a useful tool to those of you responsible for the designing, developing and strengthening monitoring and evaluation systems as well as day to day management of monitoring actions, the conduct of performance reviews and evaluation exercises, preparation of Performance Reports and improvement of the management of data systems in MDAs and LGAs.

George D. Yambesi

PERMANENT SECRETARY (ESTABLISHMENTS)

CHAPTER ONE

1. INTRODUCTION

This chapter explains the meaning of Monitoring and Evaluation Systems Framework; its purposes; pre-conditions for successful designing, development, strengthening, sustaining M&E systems at National, Sector and Institutional levels; general M&E principles which are important for successful application of M&E in institutions; and the scope of M&E Systems Framework.

1.1 What is Monitoring and Evaluation Systems Framework

The Monitoring and Evaluation Systems Framework¹ is a tool which consists of main components of the Monitoring and Evaluation Systems; institutional arrangements for managing the National, Sector and Institutional M&E Systems; and steps for systematically building a robust Monitoring and Evaluation System.

It is a tool for structuring the design, development and implementation of monitoring and evaluation systems in Ministries, Independent Departments, Executive Agencies and Regional Secretariats. It is also a unified Framework which provides a basis for determining the maturity of M& E practices, process and systems; a basis for determining M&E capacity building focus areas; a basis for roadmap for building a results based M&E Systems; and for mobilizing and allocating resources for effective M&E work in MDAs and LGAs.

Generally, the Framework provides clarity on what constitutes a Monitoring and Evaluation System, identifies the key players and their roles in building national, sector and institutional monitoring and evaluation systems and finally, the steps for systematically building the Monitoring and Evaluation System.

¹Mwongozo wa Mfumo wa Ufuatailiaji na tathmini ni tofauti na Mwongozo wa ufuatiliaji na tathmini. The former ni miundombinu ya namna ya kubuni, kutkltza na kuendeleza Ufuatiliaji na tathmini katika ngazi ya Taifa, Kisekta na kitaasisi. Inajumuisha vipengele vikuu vya mfumo wa wa Ufuatiliaji na Tathmini, Muundo wa Taasisi kuwezesha mfumo kutekelezeka na hatua muhimu za kujenga msingi wa matokeo wa ufuatiliaji na tathmini. The latter ni mpango wa ufuatiliaji ambao unafuatilia na kutathmini utekelezaji wa Mpango Mkakati wa taasisi, programu au miradi

1.2 Purpose of the Monitoring and Evaluation System Framework

The purpose of this Framework is to guide and assist MDAs and LGAs to:-

- 1.2.1 Understand what encompasses M&E System and use the understanding to improve the management of performance indicators, performance reviews, and performance reporting, evaluations and data systems;
- 1.2.2 Understand the institutional framework, key players and their roles in building Monitoring and Evaluation Systems at National, Sector and Institutional levels;
- 1.2.3 Understand the essential steps for systematically building a Monitoring and Evaluation System;
- 1.2.4 Design, build and sustain their institutional Monitoring and Evaluation System;
- 1.2.5 Collaborate with other institutions in the Public Service to build a robust National² and Sector Monitoring and Evaluation System in the light of clarified roles;
- 1.2.6 Identify gaps existing in M&E Systems and develop capacity building programmes for improvement; and
- 1.2.7 Take measures to strengthen Monitoring and Evaluation Systems at level of National, Sector and Institution.

Generally it helps to guide the MDAs and LGAs to design, develop and sustain Monitoring and Evaluation Systems at level of national, sector and institution.

1.3 Pre-requisites for a Robust Monitoring and Evaluation System in the Public Service

Designing, developing and sustaining robust Monitoring and Evaluation Systems at level of National, Sector and Institution

²National Monitoring and Evaluation System is an overarching, integrated and encompassing framework of M&E principles, practices and standards to be used throughout the Government. It consist of an ecosystem of Monitoring and Evaluation Systems at institution, sector and national levels; a set of management systems in the public sector; a set of central institutions or organs involved in designing, developing, sustaining at national level M&E System ,their roles and how they relate in strengthening the national, sector and institutional M&E Systems; and a set of accountability relations among public institutions at nation, sector and institutional levels which enables them to discharge their M&E duties.

requires existence of a number of preconditions. These are explained below:

1.3.1 Country Demand and Ownership

There must be an in-country drive for supporting a move towards building a results based national, sector and institutional M&E system and demand for performance information to facilitate the Government to demonstrate to its various stakeholders that policies, programmes and project being implemented are meeting the expected results.

1.3.2 Political will

Political will at the highest levels of the Government is required for building a national M&E system. Bringing results based information in the public arena can change institutional relations; drive new resource allocation decision criteria; challenge and question convention wisdom on programme and policy performance; call in question the leadership of those responsible for institutions, programmes and projects; and public perceptions on Government performance and effectiveness. Generally, due to above consequences moving towards and emphasis on the need for Government to show performance results will not happen without strong leadership at the highest levels of the Government.

1.3.3 Strong and Influential champions

Strong, visible and influential champions at the centre of the Government, sector and institutional level can play a crucial role in developing strategies, mobilizing resources and support for national M&E systems implementation.

1.3.4 Strong Accountability and Performance Culture

The strong accountability and performance culture from the supply as well as demand side is critical in establishing national M&E systems. The *supply side accountability* refers to a clear accountability

framework within the Government at both individual and institutional levels, whereby public servants and public institutions are required to demonstrate development results from the resources allocated for various interventions. *Demand side accountability* refers to non-state actors, citizens and their representatives demanding Governments to account for results of programmes and projects using tax payer's money.

1.3.5 In-Country Capacity to Design, Implement and Use results based M&E systems

In - country capacity for a robust national M&E system includes human resource skills in areas of social research, statistics, public management, data management, accounting, auditing, evaluation; institutional structures; and management systems and processes. The capacity to use performance information generated by the M&E systems in resource allocation decision in programmes and projects; demonstrating results for development interventions; learning and improving public sector management and accountability is also critical in building and sustaining the M&E systems at Institutional, Sector and National levels.

Generally, the existence of the above preconditions will create a strong basis for designing, developing, strengthening and sustaining robust M&E Systems at the Institutional, Sector and National level. Absence of the above pre-conditions will be a barrier to successful implementation of M&E systems across the Government.

1.4 Monitoring and Evaluation Principles

The positive impact and success of Monitoring and Evaluation functions at the level of nation, sector and institution will depend on application of a set of agreed fundamental principles. These are:

1.4.1 Monitoring and Evaluation is Everybody's Job

This principle states that M&E should be everybody's job from the CEO to a Junior Officer; should be undertaken by every Unit, Division and Department within an institution; and should be carried out by every institution in a Sector and by every

Central institution at National level. This principle also emphasises the importance of having strong coordination Unit or Division or Department within an institution; a lead coordination institution at the level of a Sector and single Central institution providing leadership at National level.

1.4.2 Honesty in conducting M&E activities

This principle states that M&E work should be carried out with highest level of honesty in all stages that is from development of the M&E plan or strategy, physical monitoring, evaluation, data collection, analysis and reporting. Since, M&E work supports the performance assessment at both individual and institutional levels, honesty will ensure that the results reflect a fair state of the performance of the Government at National, Sector and institutional levels. Also M&E work supports management decision making at both strategic and operational level, honesty will assure quality and informed decision making.

1.4.3 Cost Effectiveness in undertaking M&E work

According to this principle any party undertaking M&E work should ensure that the costs are lower than the value of the results of M&E work by undertaking necessary steps to minimize cost of M&E activities.

1.4.4 Participation of Stakeholders

In simplest terms this principle states that any M&E interventions as participants³ who have a stake and should be invited and become originators, sponsors, contributors or beneficiaries during the process of development of the M&E interventions, operationalization and dissemination of findings. This will increase a sense of ownership and all stakeholders will work towards successfully completion of the interventions.

1.4.5 M&E as an Organization Learning Tool

This principle states that M&E work should be undertaken with a view of enhancing organization learning. This will be achieved if M&E efforts shift focus from inputs, processes and outputs to

³This includes representatives of Units, Division, Departments, Institutions, members of target population, communities, interested citizens and other stakeholders.

focus on development results at outcome level. Organizational learning will also occur if reviews and evaluations focus on answering a number of useful questions such as whether initiatives undertaken at Institution, Sector or National level are relevant to development needs of beneficiaries, implementation is on track, the strategy and logical results chain are working, the partnership strategy is efficient working at mutual beneficial, interventions are reaching target beneficiaries and achieving intended objectives. Also the review and evaluations should provide information as to why things are working and not working and such information should be incorporate the future strategies and interventions.

Application of the above principles in the day to day work of institutions, sectors and national level will make M&E as value addition activity which will become a basis of changing the behaviour and mind-set of public servants, organizational culture, instilling performance culture, improving service delivery and the performance of Institutions, Sectors and Nations.

1.5 The Scope of the Monitoring and Evaluation Systems Framework

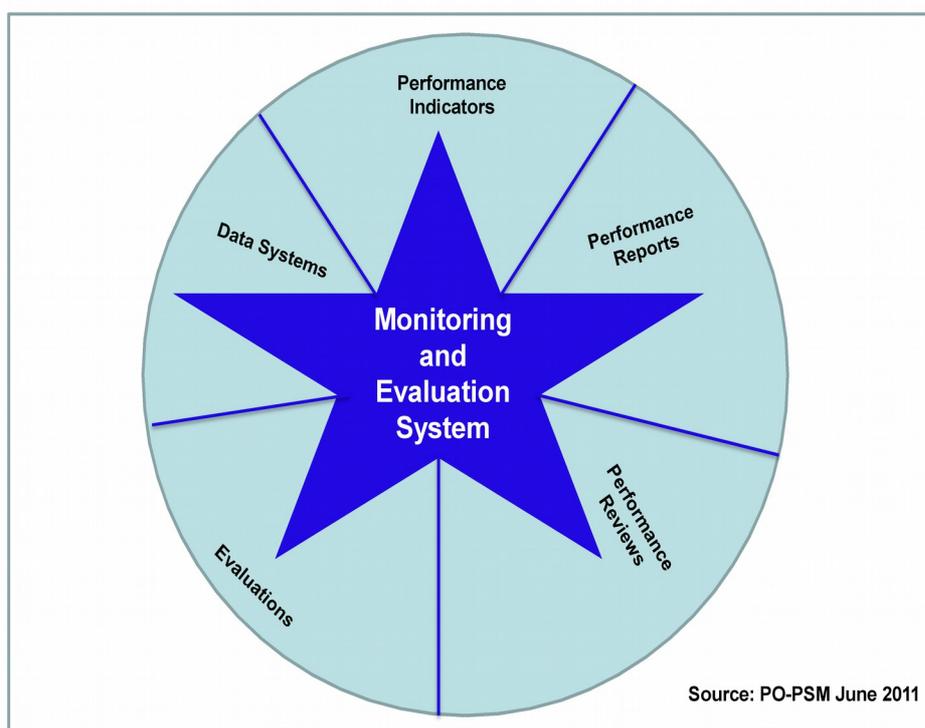
The Monitoring and Evaluation Systems Framework covers three major areas or sub-frameworks i.e. the five main components of Monitoring and Evaluation System; the institutional arrangements for managing the Monitoring and Evaluation Systems and function across the Government; and finally, the essential steps for systematically building a robust results based monitoring and evaluation at national, sector and institutional levels. Each of the above three major areas will be covered in details in the next chapters.

CHAPTER TWO

2. THE MONITORING AND EVALUATION SYSTEMS COMPONENTS

This Chapter contains the five key components of the Monitoring and Evaluation Systems⁴ which are Performance Indicators, Performance Reports, Performance Reviews, Evaluations and Data Systems. The components form the Monitoring and Evaluation Systems to be used in monitoring and evaluation of the implementation of strategic plans, programmes and projects at Institutional, Sector and National levels. The above components are shown in the diagram below and explained in detail in the ensuing sections:-

Figure 1: Monitoring and Evaluation Systems Components



⁴Monitoring and Evaluation System consists of related, interdependent and interacting components i.e. performance indicators, performance reports, performance reviews, evaluations and data systems. The components work in unison to enable an institution to track implementation of activities on day to day basis as well as facilitate determination of results of the interventions undertaken at an institutional, sub-sector, sector and national level

2.1 Performance Indicators

The first component of the Monitoring and Evaluation Systems is Performance Indicators. This component includes outcome, output, process and input indicators. The objectives and targets in the Strategic Plans and activities and inputs in the Medium Term Expenditure Framework form the basis for developing outcome, output, process and input indicators respectively.

The indicators will form the basis for determining indicator baseline values, indicator target values, data sources, data collection instruments, frequency of collecting data and the Unit or Division responsible for collecting baseline data, monitoring the indicators and collecting data on the actual values.

During the strategic planning process, MDAs and LGAs are required to develop a results framework that will include the above. The outcome, output, process and input indicators in the Results Framework will form the basis of day to day M&E work of the MDAs and LGAs.

In order to improve the quality and management of indicators, MDAs and LGAs will have to answer the following questions: -

- (i) Does the institution have a Results Framework that contain outcome, output, process and input indicators;
- (ii) At what stage are the indicators developed;
- (iii) Does the institution have a Monitoring Plan for each indicator;
- (iv) Are the selected indicators reliable measures;
- (v) Does the indicator consistently measure the same thing in exactly the same way every time i.e. is the methodology comparable overtime;
- (vi) Does each indicator have a baseline value;
- (vii) Does each indicator have a target value;
- (viii) Is the institution collecting actual values for each indicator;
- (ix) Does the institution measure indicator achievement against target values;
- (x) Does the institution have data collection instruments; and
- (xi) Is each indicator attached to a responsible Unit or Division?

2.2 Performance Reports

The second component of the Monitoring and Evaluation Systems is Performance Reports⁵. These reports include quarterly, annual and outcome reports at the end of the strategic planning or project or programme cycle.

2.2.1 Quarterly Reports

These will cover overview of the implementation of the milestones, activities, targets, objectives, expenditures, issues, challenges, constraints and remedial actions. The report will be supported with annexes and tables.

2.2.2 The Annual Reports

These will cover the overall annual performance and will include progress towards achieving the objectives or outcomes based on the indicators, service delivery improvements milestones, outcomes of reviews and evaluations, discussions on priority interventions that were critical in achievements of the objectives, highlighting problems, challenges and issues including targets at risk or which were not met.

The annual report will also provide information on achievement of annual targets, Ruling Party Manifesto targets, MKUKUTA and National Five Years Development Plan targets and contribution of the MDAs and LGAs in national development priorities. Other issues to be covered in the annual reports include financial performance, procurement and human resource issues including staff levels, vacancies, labour turnover, implementation of OPRAS and other human resource management issues. The report will also be supported with annexes and tables.

2.2.3 The outcome Report

These are prepared at the end of the strategic planning, project or programme cycle and will provide an assessment in meeting each objective which will include performance against specific indicators; outcomes of the service delivery surveys, level of compliance with policies, acts, standards, rules, regulations; results of thematic, outcome and impact evaluations; summaries of overall results

⁵ In the Government of Tanzania the Performance Reporting Requirements are stipulated in Chapter Seven of the Medium Term Strategic Planning and Budgeting Manual

focusing on improvements and finally documenting on why some objectives have not been met.

The quarterly reports will form the basis for annual reports and annual reports will form the basis of outcome reports. The reports will also document results of monitoring, performance reviews and evaluations undertaken during the period.

In determining the quality of reports the MDAs and LGAs will have to answer the following questions: -

- (i) Does the institution prepare performance reports;
- (ii) Do the reports adhere to the report formats as stipulated in the MTSPBM;
- (iii) Does the institution have the capacity to prepare performance reports as stipulated in the MTSPBM;
- (iv) Are the reports prepared and submitted on time;
- (v) Are the reports evidence based;
- (vi) What is the level of data integrity in the reports;
- (vii) Are the issues raised in the reports subject of Management discussions and decisions;
- (viii) Do the reports cover strategic issues critical for organisational performance and development; and
- (ix) Do the institution's stakeholders have access to its reports?

2.3 Performance Reviews

This is the third component of the Monitoring and Evaluation Systems. It consists of review meetings and rapid appraisals. The performance reviews⁶ could be internal, external or joint covering the institution, sector or national level

2.3.1 The Review Meetings

These may be conducted weekly, fortnightly, monthly, quarterly, semi-annually or annually to determine progress on implementation of the strategic plans, projects or programmes in the MDAs and LGAs. The review meetings will focus on tracking implementation of milestones, activities and targets and will determine the progress in achieving

⁶Performance Reviews are the missing middle between M and E, they are also perception based and should not be confused with evaluations. In terms of efforts they are more than monitoring but are less than evaluations. They look for trends and work through a consensus or agreement on recommendations or findings

objectives of the MDAs and LGAs. The reviews will also focus on determining whether the planned activities are moving towards achieving the annual targets and to find out whether they are on track, off track, or at risk.

In addition, the meetings will track any changes in terms of outputs realized over the period as well as assessing issues, challenges and lessons learnt over the period and to what extent the outputs delivered are contributing towards achievement of the objectives. The review findings will be used to adjust implementation strategies whenever necessary.

2.3.2 Rapid Appraisals

These are systematic studies undertaken within a short duration that collects, gathers, analyses, assesses and reports relevant information to decision-makers within a short time e.g. sector reviews, thematic reviews, self-assessments, service delivery surveys, programme or project mid-term reviews, end of programme or project reviews. The rapid appraisals will focus on reviewing key structures, systems, processes and procedures which facilitate delivery of both internal and external services to customers and other stakeholders. The rapid appraisals⁷ may also include an assessment of whether the interventions are bringing in the expected output, outcomes and behavior changes.

At the end of the strategic planning cycle or completion of the project or programme performance reviews will focus on determining whether the planned outputs over the period have been achieved against the indicators, and if not what could have been the reasons for the under achievement. The reviews will also determine whether the installed structures, systems, process and procedures have contributed to improving delivery of services. The performance reviews will also assess as to what extent the achieved targets have contributed towards achievement of the objectives as well as issues, challenges and lessons learnt over the reviews period.

⁷ In most cases Rapid Appraisal are confused with Evaluations. Technically they are not similar as rapid appraisals are perception based, use less rigorous methodologies to derive conclusions, are conducted frequently, focus on operational issues, are conducted within a short period, its conclusions may be based on expert opinion and at times stakeholders may differ on their findings or conclusions

The performance reviews will be part of the Results Framework and will form the basis for the review work in the MDAs and LGAs. The planned performance reviews will include type of reviews and their frequency, key stakeholders to be involved, methodologies, reviews questions, milestones and indicators to be reviewed.

In order to determine the quality of the reviews MDAs and LGAs will have to answer the following questions:-

- (i) Does the institution conduct review meetings and rapid appraisals;
- (ii) What are the issues covered in the reviews;
- (iii) What is the frequency of reviews;
- (iv) Does the institution have the technical capacity to undertake the reviews;
- (v) Does the institution have adequate resources to undertake the reviews;
- (vi) Are the results of the reviews used to improve management of the institution; and
- (vii) What are the issues and challenges surrounding the quality, integrity and relevancy of the reviews?

2.4 Evaluations

The fourth component of the Monitoring and Evaluation Systems is Evaluations⁸. This consists of feasibility studies, process, project or programme evaluations, thematic evaluations, performance audits, outcome evaluations, impact evaluations and population census. The Evaluations can either be formative⁹ or summative¹⁰. The evaluations to be conducted by MDAs and LGAs will be shown in the Evaluation Plans and will be part of the Results Framework in the strategic plans, projects or programme documents. The Evaluation Plan will describe each of the evaluations to be conducted, the evaluation questions, the methodology, timeframe and the Unit or Division which will be responsible for the evaluation.

⁸Evaluations are evidenced based and use rigorous scientific methodologies with statistical emphasis to derive conclusions. They are conducted after a longer durations, are more costly and take a long time to be finalized. They also focus on outcomes and impacts. They are also used to establish the correlation or causal linkage between interventions and outcomes or impacts. Are more credible and reliable and it is very rare for stakeholders to differ in their conclusions or findings

⁹Formative evaluations are conducted earlier in the strategic planning, programme or project cycle

¹⁰Summative evaluations are conducted at the end of strategic planning, programme or project cycle

The evaluations intend to obtain evidence as to whether the interventions implemented and outputs produced have led to achievement of the outcomes as envisioned in the strategic plan, project or programme outputs at MDAs and LGAs, Sector or National levels. Evaluations will enable the MDAs and LGAs to generate more knowledge needed for quality improvement; provide more insights in a thematic area as well as provide a basis for external accountability.

The evaluations will form the basis for the future work of the MDAs and LGAs and the major findings will be documented in the MDAs and LGAs Performance Reports.

In order to determine the quality of evaluations MDAs and LGAs will have to answer the following questions: -

- (i) Does the institution conduct evaluations;
- (ii) What type of evaluations does the institution undertake;
- (iii) What is the focus of the evaluations;
- (iv) What are the main evaluation methodologies;
- (v) What is the frequency of evaluations;
- (vi) Does the institution have the technical capacity to undertake or manage the evaluation;
- (vii) Are the issues arising from evaluations improving management of the institution;
- (viii) What are the issues and challenges surrounding the quality of evaluations;
- (ix) Who is responsible undertaking quality check on the evaluations; and
- (x) Do the institution's stakeholders have access to results of the evaluations?

2.5 Data Systems

The fifth component of the Monitoring and Evaluation Systems is data systems¹¹. This component captures all routine and non-routine data generated from the day to day activities in MDAs and LGAs as well as

¹¹The term data system is sometimes also referred to as information systems or statistical systems. For the purpose of this framework a broader term data systems has been adopted as it includes among other statistics and information. ICT based data systems are sometimes treated as Monitoring and Evaluation Systems. This is a misnomer as technically it should be noted that a single component cannot form a monitoring and evaluation system. A robust M&E System will also include other components such as indicators, reports, reviews and evaluations.

data generated by activities and results surrounding the other four M&E Systems components. The outputs produced by MDAs and LGAs in relation to their mandates determine the data systems managed by MDAs and LGAs.

The type of data systems managed by MDAs and LGAs can be classified¹² into two major groups i.e. by function and data tasks.

2.5.1 Function

This classifies the data system in accordance with the organisation structure i.e. for example financial management data systems; procurement management data systems; administration and human resource data systems; policy and planning data systems; etc. The above data systems could be manual or ICT based.

2.5.2 Data Tasks

This classifies data systems in accordance to tasks and includes collection and compilation, storage, preservation and documentation, analysis, integration and validation and quality assurance, retrieval and dissemination.

Data systems regardless of their classification aim at improvement of the management of data to facilitate decision making at all levels in the organisation. They will also influence the quality of information generated by the Monitoring and Evaluation System.

In determining the maturity level of data systems the MDAs and LGAs will have to answer the following questions:-

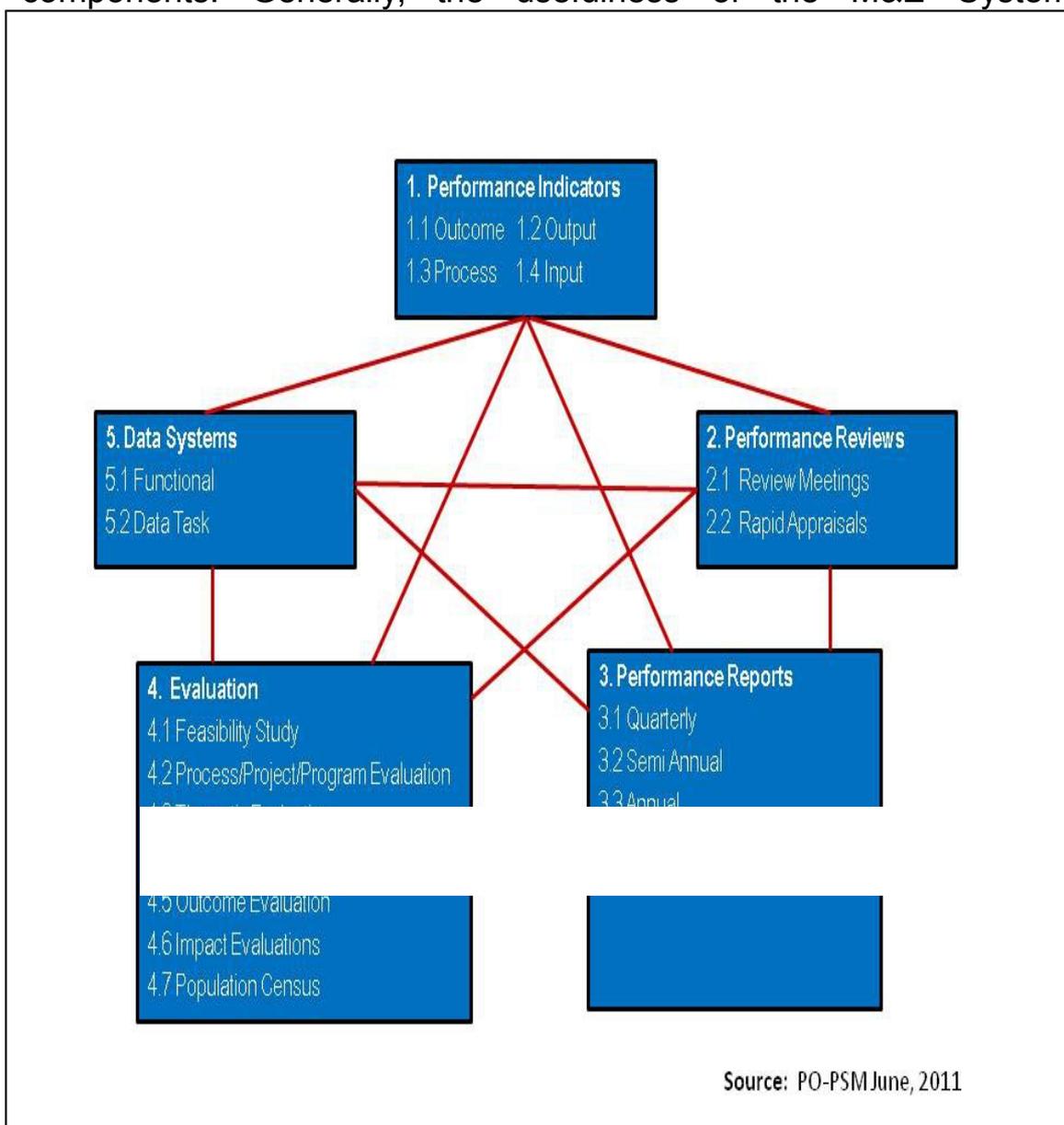
- (i) Is there any data system in place;
- (ii) What type of data systems does the institution maintain;
- (iii) Does the institution understand its data requirements;
- (iv) Does the Institution understand the kind of data that will make it look successfully to its stakeholders;
- (v) Are the data systems centralized or decentralized;
- (vi) Are the data systems manual or ICT based;
- (vii) Do the data systems capture, store and process information that assist in management decisions;

¹² Data systems can also be classified by file type, file size, date created, date accessed, frequency of use etc

- (viii) What are the main data collection instruments and methods;
- (ix) Is the information in the various data systems accessible;
- (x) What is the level of data integrity and consistency in the system;
- (xi) Does the institution have mechanisms for quality assurance and validation to determine the level of integrity of data produced;
- (xii) Is the information generated by the data systems relevant, timely and useful; and
- (xiii) Does the institution have adequate capacity to manage data systems?

2.6 Relationship between the components of the Monitoring and Evaluation Systems

M&E Systems components are closely related, interconnected, interactive, dependant and mutually supportive. At some stage, each of the components provides inputs and feedback to other components. Generally, the usefulness of the M&E Systems



CHAPTER THREE

3. INSTITUTIONAL FRAMEWORK FOR MONITORING AND EVALUATION

This Chapter describes the genesis of Monitoring and Evaluation in public service and the institutional framework for managing the Monitoring and Evaluation function in Tanzania Public Service at National, Sector and Institutional levels. It aims to clarify the roles and functions of the key players and demarcates their respective areas of responsibilities in designing, building and strengthening M&E Systems in the Government at Institutional, Sector and National levels.

3.1 Monitoring and Evaluation in the Public Service

Monitoring and Evaluation concepts and practices were introduced as part and parcel of global trends on adoption of the Results Based Management practices under the umbrella of New Public Management in the early 1980's, during the time when Governments and the Non-Governmental Organisations across the world were grappling with internal and external demands for greater accountability and transparency with a view to improving service delivery, judicious use of tax payers money and demands for results on the promises made to citizens. The Government of Tanzania adopted Monitoring and Evaluation concepts and practices as part and parcel of the above global trends in the early 1990's.

3.2 Institutional Frameworks at National, Sector and Institution levels

Monitoring and evaluation in the GOT is a crosscutting function that takes place at national, sector and institutional levels. The initial efforts taken to design, develop, strengthen and sustain use of M&E Systems at the above levels have focused at policy, structural and institutional levels.

The Institutional Framework for designing, developing, strengthening and sustaining the M&E systems at national, sector and institution

levels consist of a set of Central institutions or organs involved in designing, developing, sustaining at national level M&E System, their roles and how they relate in strengthening the national, sector and institutional M&E systems; and a set of accountability relations among public institutions at national, sector and institutional levels which enables them to discharge their M&E duties.

The Institutional framework for designing, developing, strengthening and sustaining M&E systems at the above three levels is explained in the next section.

3.2.1 Institutional Arrangements at National level

The institutional arrangements for managing the designing, developing, maintaining and sustaining National Monitoring and Evaluation System consist of high level Committees, institutions at the Central and Local Government as well as Technical teams and networks in Government.

The institutional arrangements operate under the assumption that the high level Committees, institutions at the Central and Local Government as well as Technical teams and networks have a clear line of sight and understanding about each other's role and how they relate with other central and sector institutions in building, strengthening, using and sustaining the National Monitoring and Evaluation System and how their institutional and Sector M&E Systems link and relate with the National Monitoring and Evaluation System.

The institutional arrangements also operates under the assumption that projects, programs and institutional performance data will be linked to medium and long term development goals at sector and national levels.

The high level committees, Technical Teams and the institutions at the centre of the Government are as follows:-

3.2.1.1 Committees

There are two committees namely the Inter-Ministerial Technical Committee and the Planning, Budgeting, Monitoring, Evaluation and Reporting Sub-committee of Central Institutions. These two committees are critical in providing the vision and strategic direction

on the Government M&E agenda, advising the higher administrative and political authorities on the national, sector and institutional M&E road map and making key decisions on strengthening and sustaining the national M&E system.

Generally, the above committees have a wide advisory and decision making powers which are important in driving the national M&E agenda in terms of enhancing demand for M&E including incentives and sanctions, in country ownership of the M&E agenda , approving the road map as well as sustaining the political will for the National M&E system.

3.2.1.2 Technical Teams

At technical level there are three technical teams which are Planning, Budgeting, Monitoring, Evaluation and Reporting Task Force; Planning, Budgeting, Monitoring, Evaluation and Reporting Technical Working Group; and Professional Network of M&E Practitioners in Government. These are responsible for providing technical input on the design, development, strengthening and sustaining the national M&E system.

3.2.1.3 Institutions at the Centre of the Government

The Central institutions that are critical in designing, development and sustaining the National Monitoring and Evaluation System includes President's Office, State House; President's Office, Public Service Management; President's Office, Planning Commission; Prime Minister's Office; Prime Minister's Office - Regional Administration and Local Government; Ministry of Finance; National Audit Office and National Bureau of Statistics.

The nature of work the above institutions cuts across the entire spectrum of the Government and their institutional M&E systems have a national dimension which is important in development of a National M&E system.

3.2.1.4 Roles of Various Actors

The following are the roles of various stakeholders in designing, development and sustaining the national M&E systems:-

3.2.1.4.1 Inter Ministerial Technical Committee

This Inter Ministerial Technical Committee¹³ consists of all Permanent Secretaries under the chairmanship of Chief Secretary. This Committee has a broad range of advisory and decision making duties in relation to the policy management cycle in the Government of Tanzania. The main tasks of the committee in relation to harmonization of planning, budgeting, monitoring, evaluation and reporting in the Government include:-

3.2.1.4.1.1 Provide strategic direction on matters related to harmonization of planning, budgeting, monitoring, and evaluation and reporting across the Government;

3.2.1.4.1.2 Deliberate recommendations submitted by the Planning, Budgeting, Monitoring, Evaluation and Reporting Sub-Committee of Central Institutions and make key decisions.

3.2.1.4.2 Planning, Budgeting, Monitoring, Evaluation and Reporting Sub-committee of Central Institutions

The Sub-Committee consists of Permanent Secretaries and Deputy Permanent Secretaries of the Central Ministries, Executive Secretary Planning Commission, Deputy Auditor General for Performance and Specialize Audit, Director General of National Bureau of Statistics and Coordinator for Reform Coordination Unit.

The main duties of this sub-committee will be:

3.2.1.4.2.1 Scrutinize the recommendations of the Task Force; and

3.2.1.4.2.2 Provide technical advice to IMTC on matters related to Planning, Budgeting, Monitoring, Evaluation and Reporting.

¹³Assists the Cabinet by providing quality advice throughout the policy management cycle i.e. formulation, coordination, implementation, monitoring and evaluation of Government policies

3.2.1.4.3 Planning, Budgeting, Monitoring, Evaluation and Reporting Task Force

The Task Force will consist of Directors from–President’s Office State House- Reform Coordination Unit; President’s Office, Public Service Management, President’s Office Planning Commission, Prime Minister’s Office; Prime Minister’s Office – Regional Administration and Local Government, Ministry of Finance, National Audit Office and National Bureau of Statistics. The main duties of the Task Force are:

3.2.1.4.3.1 Scrutinize the recommendations of the Technical Working Group on harmonization of planning, budgeting, monitoring, evaluation and reporting;

3.2.1.4.3.2 Harmonization of planning, budgeting, monitoring, evaluation and reporting in terms of terminologies, systems, structure, processes and formats; and

3.2.1.4.3.3 Prepare harmonization reporting and submit to the Sub-Committee.

3.2.1.4.4 Planning, Budgeting, Monitoring, Evaluation and Reporting Technical Working Group

The technical working group consists of Assistant Directors, Assistant Commissioners, Assistant Coordinators and Technical Officers from President’s Office State House, Reform Coordination Unit, President’s Office Public Service Management, President’s Office Planning Commission, Prime Minister’s Office, Prime Minister’s Office – Regional Administration and Local Government, Ministry of Finance, National Audit Office and National Bureau of Statistics.

The main duties of the Technical Working Group are:

3.2.1.4.4.1 Secretariat to the planning, budgeting, monitoring, evaluation and reporting Task Force;

3.2.1.4.4.2 Undertake analytical work on planning, budgeting, monitoring, evaluation and reporting;

3.2.1.4.4.3 Provide technical advice and inputs to the Tasks Force; and

3.2.1.4.4.4 Prepare Technical Reports based on the work assigned by the Task Force from time to time.

3.2.1.4.5 Professional Network of M&E Practitioners in Government

The Professional network of M&E Practitioners in the Government will consist of Director of Management Services, Director of Policy Development, Directors of Policy and Planning, Assistant Directors responsible for Monitoring and Evaluation in Ministries, Business Support Directors or Managers responsible for Monitoring and Evaluation in Executive Agencies, Heads of Planning Departments in Independent Departments, Assistant Administrative Secretary responsible for Planning and Coordination and Regional Secretariat, District Planning Officer in Local Government Authorities and other M&E technical officers handling M&E matters in MDAs and LGAs.

The network will focus on sharing knowledge, practical experience and benchmarking on M&E practices and tools, challenges and success stories in Government and provide professional recommendations to appropriate authorities on strengthen and sustaining Institutional, Sector and National M&E System.

3.2.1.4.6 President's Office, Public Service Management

The President's Office, Public Service Management will be responsible for providing leadership in institutionalization of National, Sector and Institutional M&E Systems. POPSM will also be responsible for maintaining a monitoring and evaluation system to facilitate monitoring and evaluation of the Public Service Management matters in MDAs, Regional Secretariats and LGAs in accordance with

the M&E Systems Framework. The main duties related to the above are:

- (i) Designing, developing and reviewing the Monitoring and Evaluation Systems Framework for use in the MDAs, LGAs and Regional Secretariats;
- (ii) Conduct M&E Readiness Assessment across the Government;
- (iii) Build the capacity of MDAs, LGAs and Regional Secretariats in M&E;
- (iv) Undertake quality control and assurance of Monitoring and Evaluation Systems in MDAs, LGAs and Regional Secretariats;
- (v) Monitor key indicators on public service management matters in MDAs, RSs and LGAs;
- (vi) Maintain data systems for storage, processing and analysis of information on public service management MDAs, RSs and LGAs;
- (vii) Conduct regular reviews on public service management across the public service;
- (viii) Conduct evaluations to determine the impact of implementation public service management interventions undertaken in MDAs, RSs and LGAs;
- (ix) Prepare the annual State of Public Service report; and
- (x) Provide leadership in institutionalization of National, Sector and Institutional M&E Systems.

3.2.1.4.7. President's Office, State House- Reform Coordination Unit

The Reform Coordination Unit will be responsible for maintaining a monitoring and evaluation system to facilitate monitoring of crosscutting and sector reform programmes in accordance with M&E Systems Framework. The main duties related to the above are:

- (i) Monitor national outcome indicators available in the monitoring plans of the crosscutting and sector reform programmes;
- (ii) Maintain a data system for key national indicators implemented by various crosscutting and sector reform programmes;

- (iii) Conduct regular Meta reviews of the Reform Programmes;
- (iv) Conduct evaluations to determine reform programmes outcomes;
- (v) Prepare an annual State of Public Sector Reform Programs report and submit the same to the relevant authorities; and
- (vi) Collaborate with other public institutions to institutionalize the National M&E System.

3.2.1.4.8 Presidents Office, Planning Commission

The President's Office Planning Commission will be responsible for maintaining a system to facilitate monitoring and evaluation of the national development trends across clusters and sectors of the economy in relation to Vision 2025, Tanzania Long Term Perspective Plan and Five Year Development Plan. The main duties related to the above are:

- (i) Monitor key indicators in the various clusters and sectors of the economy;
- (ii) Maintain data systems for storage, processing and analysis of information on performance of the various clusters and sectors of the economy;
- (iii) Conduct regular reviews on performance of the various clusters of the economy;
- (iv) Conduct evaluations to determine the impact of interventions undertaken in implementation of the strategic interventions, national priorities and long term development agenda;
- (v) Prepare annual reports on performance of the various clusters of the economy; and
- (vi) Collaborate with other public institutions to institutionalize the National M&E System.

3.2.1.4.9 Prime Minister's Office

The Prime Minister's Office will be responsible for maintaining a monitoring and evaluation system to facilitate monitoring and evaluation of the performance of MDAs, LGAs and Regional

Secretariats in accordance with the M&E Systems Framework. The main duties related to the above are:

- (i) Maintain a data system for storage, processing and analysis of information on performance of MDAs, LGAs and Regional Secretariats;
- (ii) Conduct regular meta-reviews on the performance of MDA, LGAs and Regional Secretariats;
- (iii) Monitor key indicators in Central Government, Local Government and Sector Ministries in relation to implementation of national development priorities;
- (iv) Conduct evaluations to determine the level of outcome achievement in MDAs in relation to the national development goals;
- (v) Prepare a consolidated annual Government performance report upon receipt of MDAs annual reports; and
- (vi) Collaborate with other public institutions to institutionalize the National M&E Systems.

3.2.1.4.10 Prime Minister's Office, Regional Administration and Local Government

The Prime Minister's Office, Regional Administration and Local Government will be responsible for maintaining monitoring and evaluation system to facilitate monitoring and evaluation of the performance of RSs and LGAs in accordance with the M&E Systems Framework. The main duties related to the above are:

- (i) Maintain a data system for storage, processing and analysis of information on performance of RSs and LGAs;
- (ii) Conduct regular reviews on the performance of RSs and LGAs;
- (iii) Monitor key indicators in the Local Government Authorities in relation to implementation of national development priorities;
- (iv) Conduct evaluations to determine the level of outcome achievement in RSs and LGAs in relation to the national development goals;

- (v) Prepare a consolidated annual Local Government performance reports upon receipt of RSs and LGAs annual reports; and
- (vi) Collaborate with other public institutions to institutionalize the National M&E Systems.

3.2.1.4.11 Ministry of Finance

The Ministry of Finance will be responsible for maintaining a monitoring and evaluation system to facilitate tracking of interventions related to Public Finance, National Strategy for Growth and Reduction of Poverty (NSGRP) and Millennium Development Goals (MDGs) in accordance with the M&E Systems Framework. The main duties related to the above are:

- (i) Maintain a data system for storage, processing and analysis of information on Public Finance, NSGRP and MDGs;
- (ii) Conduct regular reviews on Public Finance, NSGRP and MDGs;
- (iii) Monitor key indicators in the Local Government Authorities in relation to implementation of national development priorities;
- (iv) Conduct evaluations to determine the level of outcome achievement in LGAs in relation to the Public Finance, NSGRP Goals, and MDGs;
- (v) Prepare NSGRP report and other reports on Public Finance upon receipt of implementation reports from MDAs and LGAs; and
- (vi) Collaborate with other public institutions to institutionalize the National M&E Systems.

3.2.1.4.12 National Audit Office¹⁴

- (i) Conducting Performance Audits in the Public Service;
- (ii) Conducting Management Audits and other Technical Audits in MDAs and LGAs;

¹⁴The National Audit Office is a key stakeholder in institutionalization of Government Wide M&E System through conducting Performance Audits. Performance Audits provides a window where the work and performance of the Government can be assessed as well as answering key question on the value for money and impact of Government policies and actions

- (iii) Prepare performance reports and advise the Government on matters related to Performance of Public Institutions; and
- (iv) Collaborate with other public institutions to institutionalize the National M&E Systems.

3.2.1.4.13 National Bureau of Statistics¹⁵

- (i) Prepare and maintain official statistics on national, sector and institutional indicators;
- (ii) Prepare and maintain official performance information that can be disaggregated by national, sector and institutional levels;
- (iii) Establish statistical definitions, standards, coding systems and methodologies in collaboration with Central Institutions to facilitate integration and comparison of statistics across the MDAs;
- (iv) Collate and Store Government Performance data; and
- (vi) Collaborate with other public institutions to institutionalize the National M&E Systems.

3.2.1.4.14 Relationship between the Central Institutions in Sustaining the National Monitoring and Evaluation System

In order to sustain a National Monitoring and Evaluation System, the Central Institutions will have a common agreement on the following issues:-

- (i) National Indicators to be tracked, baseline information, data collection sources, indicator target values, data collection methods, frequency of reporting and the responsible Central institution for tracking the indicator(s);
- (ii) Reviews to be conducted at National and sector levels, the issues to be addressed by the reviews and the responsible Central Institution;
- (iii) Performance Reports to be prepared by MDAs and Central Institution, reporting formats, issues to be addressed in the

¹⁵National Statistics Offices are key players in institutionalization of Government Wide M&E Systems through improving the quality of national statistics which creates a conducive environment for better use of official statistics for M&E purposes; assisting public institutions to improve their data systems by setting statistical definitions, standards, coding systems; collating and storage of government performance data

reports, the Central Institutions responsible for making sure that MDAs prepare and submit the reports on time and quality assurance.

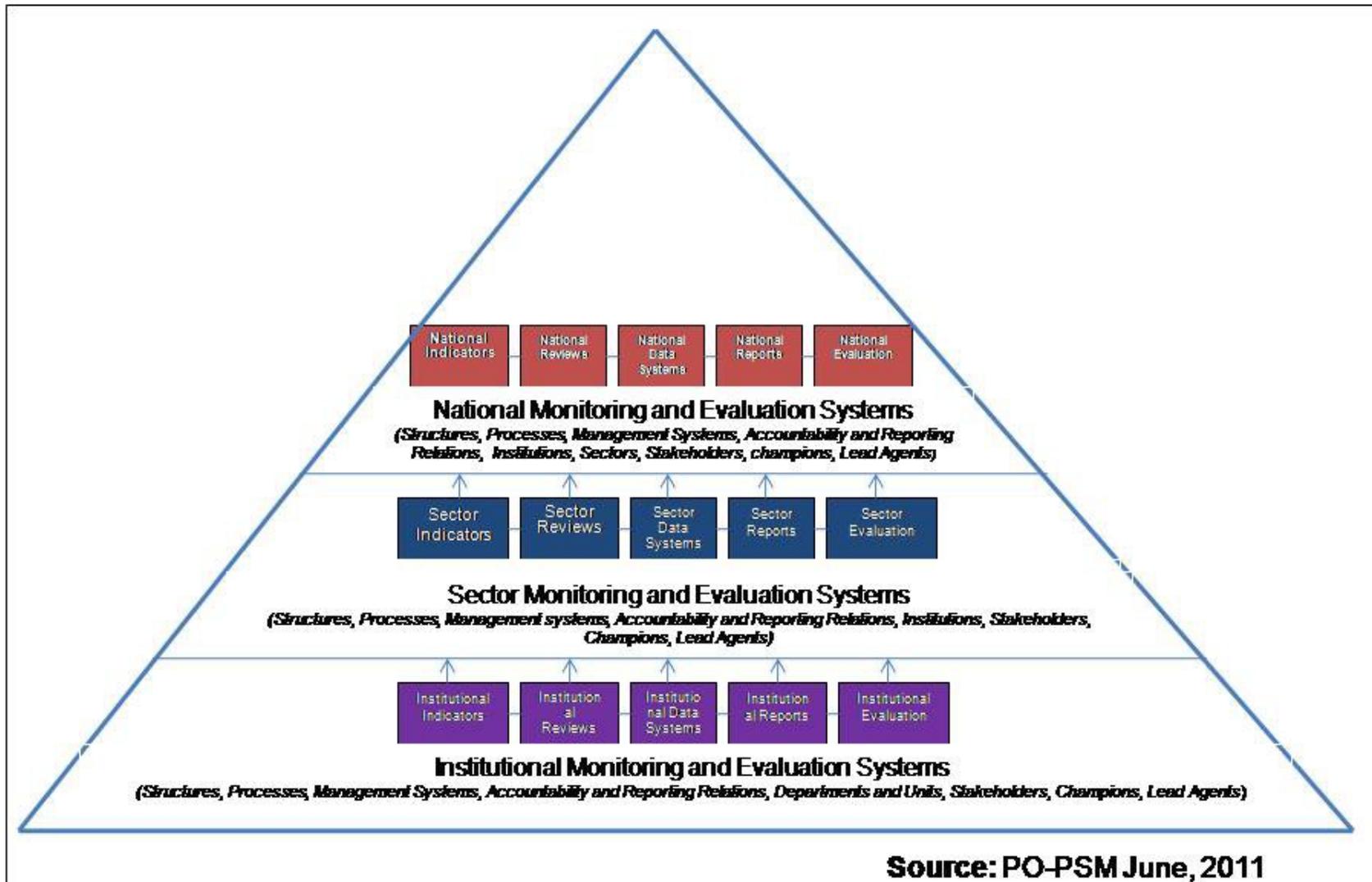
- (iv) The type of evaluations that will be conducted at national and sector levels, evaluation methodologies, issues to be addressed by the evaluations, frequencies and the responsible Central Institution;
- (v) Data systems to be maintained by the Central Institutions, platforms, standards and coding systems for the data systems.
- (vi) Common standards, methodologies, tools and guidelines for the indicators, reviews, evaluations, reports and data systems; and
- (vii) Systems for sharing M&E information and results among public institutions.

The above relationship between the key stakeholders at national level operates under the assumption that each central institution has a clear line of sight and understanding on how the institutions relate in building, strengthening and sustaining the sector M&E systems.

3.2.1.4.15 Linkage with institutional and sector M&E system

In practice the National M&E system is an ecosystem or supra system which consist of Monitoring and evaluation systems at sector and institutional levels. Effectiveness of M&E systems at the above two levels in terms of quality of indicators, reviews, reports, data systems, and evaluations will provide a sounder basis for a robust national M&E System.

Figure 3: RELATIONSHIP BETWEEN NATIONAL, SECTOR AND INSTITUTIONAL M&E SYSTEMS



3.2.2 Sector level

3.2.2.1 Institutional Arrangements the level of the Sector

Institutional arrangements for managing the designing, developing, maintaining and sustaining the sector M&E System also consist of sector committees, sector institutions as well as sector technical teams and sector professional networks.

The institutional arrangements at the level of sector also operate under the assumption that the sector Committees, sector institutions, sector Technical teams and sector professional networks have a clear line of sight and understanding about each other's role and how they relate with each other and central institutions in building, strengthening, using and sustaining the Sector Monitoring and Evaluation System and how their Sector M&E System link and relate with the National Monitoring and Evaluation System.

The institutional arrangements also operates under the assumption that sector projects, sector programs and sector performance data will be linked to medium and long term development goals at national level.

The sector committees, technical teams and professional networks are explained as follows:

3.2.2.1.1 Sector M&E Committees

Each sector will formulate an intra-sector committee which has the responsibility for strengthening and sustaining the sector M&E System in accordance with the national M&E agenda, road map and guidelines. The committee will be also responsible for advising the national task force on M&E matters related to sector as well as linking the sector M&E system with the national M&E system. The members of the sector committees will consist of Chief executive Officers of the institutions falling under their respective sectors. The chairperson of the M&E Sector Committee will be the Permanent Secretary of the Lead Sector Ministry.

3.2.2.1.2 Sector M&E Task Force

Each sector will formulate an intra –sector Task Force which will have the responsibility for advising their respective sector M&E Committee. The members of the Task Force will be drawn from the Directors and Managers responsible for M&E matters from the institutions falling

under their respective sectors. The chairperson of the technical committee will be the Director of Policy and Planning from the Lead Sector Ministry.

3.2.2.1.2 Sector Technical Teams

Each sector will formulate an intra –sector technical team which will have the responsibility for providing technical inputs to their respective sector M&E Task force. The members of the team will be drawn from the Assistant Directors, Managers and Technical Officers responsible for M&E matters from the institutions falling under their respective sectors. The Sector Technical team will also be the Secretariat of the Sector Task Force. The chairperson of the technical team will be the Assistant Director-Monitoring and Evaluation from the Division of Policy and Planning from the Lead Sector Ministry.

3.2.2.1.3 Sector Professional Network

Each sector will formulate an intra –sector professional network which will have the responsibility for providing technical inputs to their respective sector M&E committee, Task force and technical team. The members of the professional network will consist of Directors, Assistant Directors, Managers and Technical Officers dealing with M&E matters from the institutions falling under their respective sectors. The chairperson of the professional network will be the Director of Division of Policy and Planning from the Lead Sector Ministry. The Patron of sector professional network will be Permanent Secretary of the Lead Sector Ministry.

3.2.2.1.4 Institutions at the Level of Sector

All the Institutions falling under a sector are critical in the development, strengthening, and sustaining the Sector Monitoring and Evaluation System. The nature of the work of each of the sector institutions cut across the entire spectrum of the sector and their respective institutional M&E systems have a sector dimension which is important in development of a sector M&E system.

3.2.2.2 Key players and their roles in Building, Strengthening and Sustaining the Sector M&E System

The main stakeholder's in building, strengthening and sustaining the sector M&E System are the Chief Executive Officers of all the public institutions falling under the sector. At this level the lead champion is the Chief Executive Officer of the lead sector Ministry who will provide leadership on development of the sector M&E system. The lead agent is the Director of Policy and Planning of the lead ministry which is responsible for coordinating the M&E work within the sector.

The lead sector Ministry in collaborations with other public institutions falling under the sector has to provide leadership in:-

- (i) Sustaining and maintaining the sector monitoring and evaluation system in accordance with the M&E Systems Framework;
- (ii) Developing baselines, indicator target values, monitor and track actual values of national indicators related to the sector;
- (iii) Conducting regular Public Expenditure and other sector reviews;
- (iv) Establishing data systems for the sector in accordance with national guidelines and standards;
- (v) Conducting evaluations for the sector;
- (vi) Preparing and submit Performance Reports on the sector for submission to the relevant Authorities; and
- (vii) Mobilizing resources and support for building, strengthening and sustaining the sector M&E system.

3.2.2.3 Relationship between the Public Institutions in Sustaining the Sector Monitoring and Evaluation System

In order to sustain the sector Monitoring and Evaluation System, public institutions falling under the sector will have a common agreement on the following issues:-

- 3.2.2.3.1 Sector Indicators to be tracked, baseline information, data collection sources, indicator target values, data collection

methods, frequency of reporting and the responsible unit, division and department for tracking the indicator(s);

- 3.2.2.3.2 Reviews to be conducted at sector level, the issues to be addressed by the reviews and the responsible unit, division and department;
- 3.2.2.3.3 Performance Reports to be prepared by the sector Quarterly, Annually and after every five years. They also have to agree on the reporting formats, issues to be addressed in the reports, reports timings and place of submission;
- 3.2.2.3.4 The type of evaluations that will be conducted by the sector, evaluation methodologies, issues to be addressed by the evaluations, frequencies and the responsible coordinating institution (s);
- 3.2.2.3.5 Data systems to be maintained by the sector, platforms, standards and coding systems for the data systems; and
- 3.2.2.3.6 Systems for sharing M&E information and results among all the institutions falling under the sector.

The relationship of stakeholder's at sector level also operates under the assumption that each sector institution has a clear line of sight and understanding on how the sector institution relate in building, strengthening and sustaining the sector M&E systems.

3.2.2.3 Linkage with National and Institutional M&E Systems

The sector M&E system is an eco-system of all the M&E systems of all the institutions falling under the sector. In practice, every Institutional M&E System of each institution falling under a certain sector is a subsystem of the sector M&E system. Also the sector M&E system is a subsystem of the national M&E System. Subsequently, each individual public institution needs to have a robust M&E System to facilitate monitoring and Evaluation of its contribution in the implementation of the sector long term plans and medium term plans.

Sector efforts to build the sector M&E system also has to adhere to Medium Term Strategic Planning and Budgeting Manual, Monitoring and Evaluation Systems Framework and other guidelines issues from

time to time by Central Institutions which provides common standards, methodologies and tools for M&E Systems components namely indicators, reviews, evaluations, reports and data systems.

3.2.3 Institutional Level

3.2.3.1 Institutional Arrangements the level of the Institution

Institutional arrangements for managing the designing, developing, maintaining and sustaining the Institutional M&E System consist of Management Committee, Division and Units. The institutional arrangements at the level of Institution operate under the assumption that monitoring and evaluation is a crosscutting function which needs to be undertaken by each Unit, Division and Department.

The Institutional arrangement also operates under the assumption that the Management Committee, Division and Units have a clear line of sight and understanding about each other's role and how they relate with each other in building, strengthening, using and sustaining the Institutional Monitoring and Evaluation System and how their Institutional M&E System link and relate with the sector and National Monitoring and Evaluation System.

The institutional arrangements assumes that Institutional projects, programs and performance data will be linked to medium and long term development goals at sector and national level.

A functioning Institutional arrangement will facilitate building and sustaining a robust M&E System so as to facilitate the work of Units, Divisions and Departments in monitoring and evaluation of the implementation of the Institution's long term plans, medium term plans, policies, strategic plans, programs and projects related to their mandates.

3.2.3.2 Key players and their roles in Building, Strengthening and Sustaining the Institutional M&E System

The main stakeholder's in building, strengthening and sustaining the M&E System at the level of a Public Institution are Chief Executive Officer¹⁶, Heads of Units, Divisions and Departments. At this level the lead champion is the Chief Executive Officer who will provide

¹⁶Chief Executive Officer in this case refers to Permanent Secretary (Ministries), Executive Secretaries/Secretaries (Independent Departments), CEO/ Executive Directors (Executive Agencies), Regional Administrative Secretaries (Regional Secretariats) and Executive Directors (Local Government Authorities)

leadership on development of the M&E system and the lead agent is the Unit, Division or Department responsible for coordinating or undertaking the M&E function within the Institution. The roles of the key stakeholders at institutional level are as follows:

3.2.3.2.1 The Chief Executive Officer

The Chief Executive Officer has the following roles:

- 3.2.3.2.1.1 Provide Leadership in developing and sustaining the Institutional M& E System;
- 3.2.3.2.1.2 Allocate adequate resources in terms of finances, human resources, other material resources and time for M&E work;
- 3.2.3.2.1.3 Link institutional M&E efforts with the overall GoT M&E agenda; and
- 3.2.3.2.1.4 Collaborate with other Public Institutions in strengthening monitoring and evaluation function in the Public Service.

3.2.3.2.2 M&E Coordination Unit, Division or Department

- 3.2.3.2.2.1 Assist the CEO in building and sustaining the Institutional M&E System;
- 3.2.3.2.2.2 Provide technical support in building the Institutional M&E system;
- 3.2.3.2.2.3 Build the capacity of Units, Divisions and Departments within the Institution on M&E matters;
- 3.2.3.2.2.4 Undertake quality control and assurance of the Institutional M&E system;
- 3.2.3.2.2.5 Link the institutional M&E System with Sector and National M&E Systems; and
- 3.2.3.2.2.6 Secretariat on Institutional, Sector and National M&E matters.

3.2.3.2.3 Other Units, Divisions and Departments

- 3.2.3.2.3.1 Assist the CEO in building and sustaining the Institutional M&E System;
- 3.2.3.2.3.2 Building the capacity of Staff to facilitate Monitoring and Evaluation of Unit, Division or Department Action or Work plan;

3.2.3.2.3.3 Link the Units, Divisions and Departments M&E work in line with the requirements of the Institutional M&E system;

3.2.3.3 Relationship between the Units, Divisions and Departments in Sustaining the Institutional Monitoring and Evaluation System

In order to sustain the Institutional Monitoring and Evaluation System, the Units, Divisions and Departments will have a common agreement on the following issues:-

- 3.2.3.3.1 Institutional Indicators to be tracked, baseline information, data collection sources, indicator target values, data collection methods, frequency of reporting and the responsible Unit, Division and Department for tracking the indicator(s);
- 3.2.3.3.2 Reviews to be conducted at Institutional level, the issues to be addressed by the reviews and the responsible Unit, Division and Department;
- 3.2.3.3.3 Performance Reports to be prepared by the Institution which in accordance with the existing GOT guidelines are prepared Quarterly, Annually and after every five years. The guidelines issued by the GOT provide reporting formats, issues to be addressed in the reports, reports timings and place of submission;
- 3.2.3.3.4 The type of evaluations that will be conducted by the Institution, evaluation methodologies, issues to be addressed by the evaluations, frequencies and the responsible Unit, Division and Department;
- 3.2.3.3.5 Data systems to be maintained by the Institution, platforms, standards and coding systems for the data systems; and
- 3.2.3.3.6 Systems for sharing M&E information and results among Units, Divisions and Departments.

The relationship between the stakeholders at institutional level operates under the assumption that each stakeholder has a clear line of sight and understanding how they relate in building, strengthening and sustaining the Institutional M&E system.

3.2.3.4 Linkage with Sector and National M&E Systems

In practice the Units, Divisions and Departments M&E Systems are subsystems of the institutional M&E system and the Institutional M&E System is a subsystem of the sector M&E System as well as the national M&E system.

The responsibility of building and sustaining the M&E systems cannot be left to the sector or nation as it is individual institutions that implement programs, projects and initiatives are responsible for producing results as well as monitoring and evaluating of their performance.

Therefore institutional efforts to build the Institutional, Sector and National M&E System has to adhere to Medium Term Strategic Planning and Budgeting Manual, Monitoring and Evaluation Systems Framework and other guidelines issues from time to time by Central Institutions which provides common standards, methodologies and tools for M&E Systems components namely the indicators, reviews, evaluations, reports and data systems. Effective M&E Systems at the level of institutions will provide a sounder basis for robust M&E systems at the sector and national levels.

CHAPTER FOUR

4. BUILDING A MONITORING AND EVALUATION SYSTEM USING THE FRAMEWORK

This chapter contains the five steps for building a results based monitoring and evaluation systems. Most countries with well performing systems have developed the systems in incremental and even in piecemeal manner with blind alleys and false starts. The five steps are intended to improve the processes of building results based M&E Systems.

4.1 Five Steps for Building a Results Based Monitoring and Evaluation System

The five steps for systematically designing and building a results based monitoring and evaluation system include conducting M&E readiness assessment; identification of the gaps in the existing monitoring and evaluation system; development of a comprehensive M&E Strategy; implementation of the M&E Strategy and finally monitoring implementation of the M&E Strategy. The five steps are building blocks .i.e. each step builds on previous steps and will take into consideration the stage of development, age and maturity of the system and M&E practices at institutional, sector or national levels. The steps are explained in the ensuing sections:

Figure 4: Five Steps for Building a Results Based Monitoring and Evaluation System



Source: PO-PSM, June 2011

4.1.1 Conduct M&E readiness assessment

The first step is conducting M&E readiness assessment¹⁷. This involves analysing a given country, a sector or an institution's capacity and willingness to monitor and evaluate its development objectives. It places emphasis on political, organisational, cultural and technical considerations, factors and contexts in designing, developing, strengthening and using results based monitoring and evaluation system. The assessment will determine the level of demand for M&E, incentives for undertaking M&E, institutional structures for the M&E, the performance assessment framework and M&E capacity.

¹⁷The diagnosis or analysis can be conducted at national, sector and institutional levels. The diagnosis provides important information for building and strengthening M&E Systems according to national circumstances

4.1.2 Conduct Assessment of the existing monitoring and evaluation system

The second step is conducting the assessment of the existing M&E System by identifying gaps in the system. This step will involve assessing the state of the five M&E components, practices, tools and instruments. The analysis will deal with supply and demand issues surrounding the M&E system. The process will focus on those gaps which can be dealt-with within the planning and budgeting cycle and within the resource envelope.

4.1.3 Develop a Monitoring and Evaluation Strategy

The third step is developing a M&E Strategy¹⁸ that contains outcomes, broad interventions and outputs that intend to address the issues, challenges and gaps identified in step one and two above. The M&E Strategy document will also contain the Monitoring and Evaluation plan of the institution covering outcome, output, process and input indicators; milestones to be reviewed; rapid appraisals and evaluations to be conducted and reports to be prepared during the implementation of the institutional strategic plan.

4.1.4 Implement the Monitoring and Evaluation Strategy

This step will involve allocating resources i.e. time, finance, human, and other material resources to address the issues and challenges to achieve the objectives and goals contained in the M&E Strategy. This step will also involve building the capacity of staff; designing and operationalising the M&E System, setting systems to collect data related to the indicators to be monitored; tracking, collecting and recording information on the indicators. Implementation of the strategy will also comprise conducting evaluations; using the information obtained from monitoring and evaluation work to inform day to day management and decision making related to a project, a program or institutional strategic plan.

¹⁸An M&E Strategy is not similar to Results Framework i.e. M&E Plan. The scope of the former is broader and includes capacity building issues for strengthening the M&E System such as processes, tools, structures, systems and HR as well as issues related to physical monitoring and evaluation of institutional strategic plan programmes a projects. The later focuses solely on issues related to physical monitoring and evaluation of institutional strategic plan, programmes and projects.

4.1.5 Monitor and Assess implementation of the Strategy

This step will involve monitoring and evaluating whether the measures taken in step four have improved the national, sector and institutional M&E capacity. The objective of the exercise is to find what is working, what is not and why. Such an evaluation provides an opportunity to clarify and obtain insights on issues related to demand and supply and take mid-course corrective actions to strengthen the system.

4.2 Implementation of the Monitoring and Evaluation System Framework

Implementation of the framework at the national, sector and institutional levels is not a linear process i.e. starting with a clear understanding of what the system will look like once fully matured; in reality it is an iterative process. As indicated earlier, how the MDAs and LGAs implement the system will depend on stage of development, age and maturity of their M&E systems and practices. MDAs and LGAs will move back and forth or work on several steps simultaneously.

Having in place robust and effective Results Based Monitoring and Evaluation System will be a basis for facilitating the MDAs and LGAs to improve public policy, learn and innovate, demonstrate results, strengthen accountability and transparency as well as enhancing value for money to tax payers.

Building a reliable, comprehensive and robust Monitoring and Evaluation System takes time and effort.

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