

# **Results of the Pre-Meeting BCoP Thematic Survey on the PEMPAL Countries' Experience and Issues:**

## ***Results-Based Monitoring and Evaluation (RBME)***

BCoP Resource Team  
2014 BCoP Plenary Meeting on RBME  
March, 2014  
Antalya, Turkey



- Survey prepared by BCOP Resource Team (including David Shand) and sent out electronically in January. The Survey was accompanied by the *Brief on Concepts and Definition*, with the aim to ensure same understanding by respondents.
- 18 PEMPAL countries responded to survey (out of 21 BCoP countries), with no responses from Macedonia, Kazakhstan, and Turkey.



- Please note that this survey (as is the case with all of BCoP pre-plenary thematic surveys), is a simple express survey, based on countries' self-assessment, and that the results have not been subject to verification and data cleaning process.
- Some of the answers and especially textual explanations are missing, or are not clear, or are in some cases contradicting with answers to other questions, which may imply lack of common understanding of some of the RBME concepts. Thus, the results of this survey should be taken with caution.



Survey consisted of 33 questions, which follow our main themes of this Plenary meeting:

1. *Performance Information and Budget Decisions*
2. *Institutional Roles in RBME*
3. *Developing the Evaluation Function*
4. *Development of Strategic Planning in Line Ministries/Budget Users/Budget Holders*

**Thank You to all who filled out this survey from the Resource Team!**



## **Do Countries Preform RBME and what types?**

Based on countries' responses, out of 17 countries which answered this question, only 5 countries do not perform RBME.

In few countries (e.g. Romania and Albania), some type of RBME has been done for several years, but for the most countries, this is a newly introduced process, which in practice seems to currently mostly focus on monitoring (usually self-monitoring), rather than evaluation.

Some countries (e.g. Moldova and Russia) are or will soon be preparing methodologies for a more comprehensive evaluation. On the other hand, in some countries in which performance budgeting is still in introductory stages (e.g. Serbia and Bosnia and Herzegovina), RBME system has not been developed yet or is in the process of being developed.



## **Program Budgeting and Types of Performance Indicators Used**

All of the 18 countries have introduced program budgeting or some elements of program budgeting for at least part of expenditure.

In terms of performance indicators, based on countries' responses, most countries have inputs, outputs and outcomes. In more detail:

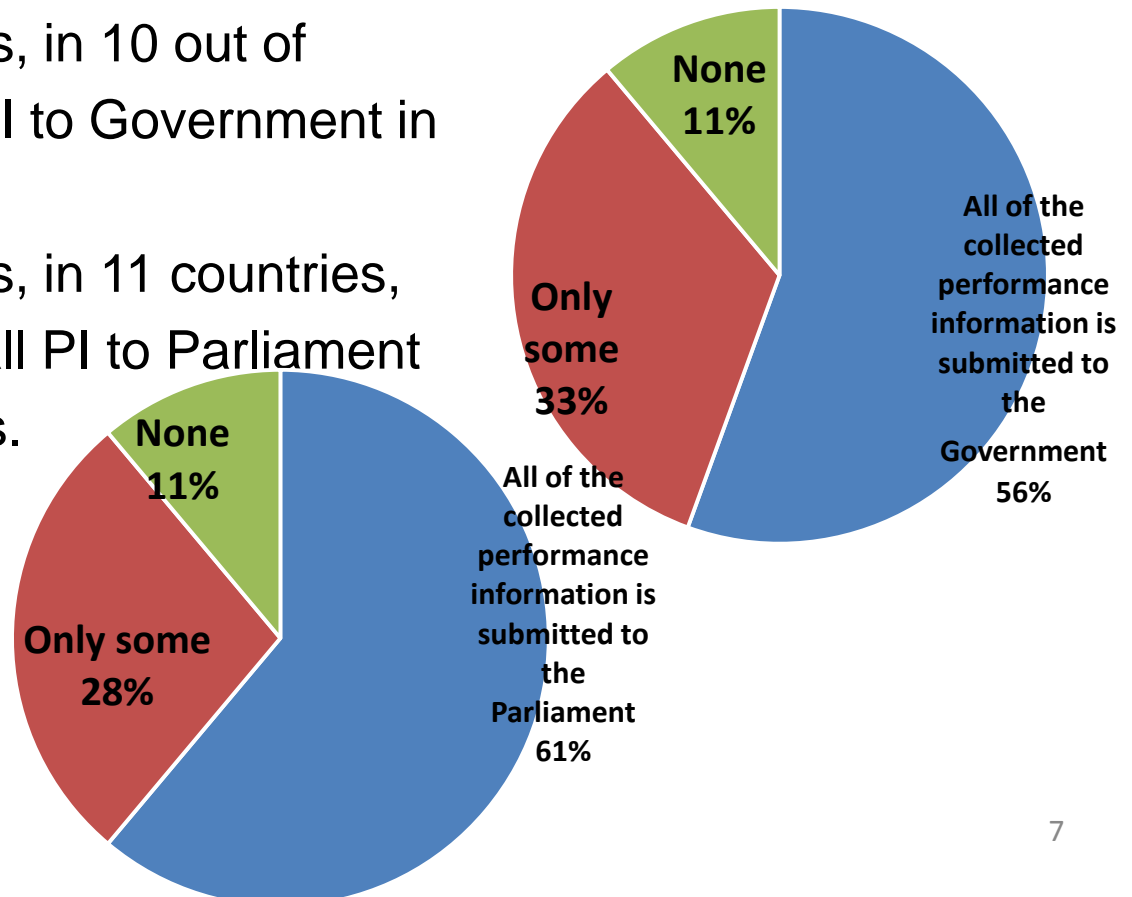
- In 17 out of 18 countries inputs (costs) are used
- In 16 countries outputs are used
- In 17 countries outcomes are used
- In 7 countries service quality indicators are used
- In 5 countries impact indicators are used
- In 6 countries evaluation is used



## Availability of the Performance Information (PI) in Budget Allocation Process

Based on countries' responses, in 10 out of 18 countries, MFs submit all PI to Government in budget adoption procedures.

Based on countries' responses, in 11 countries, MFs or Governments submit all PI to Parliament in budget adoption procedures.

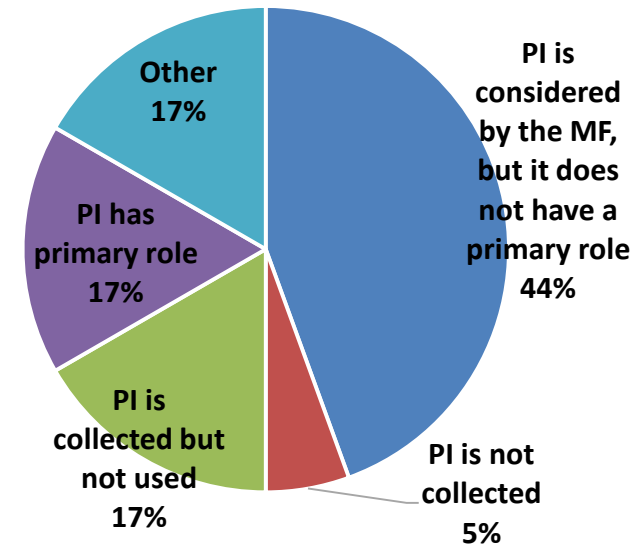
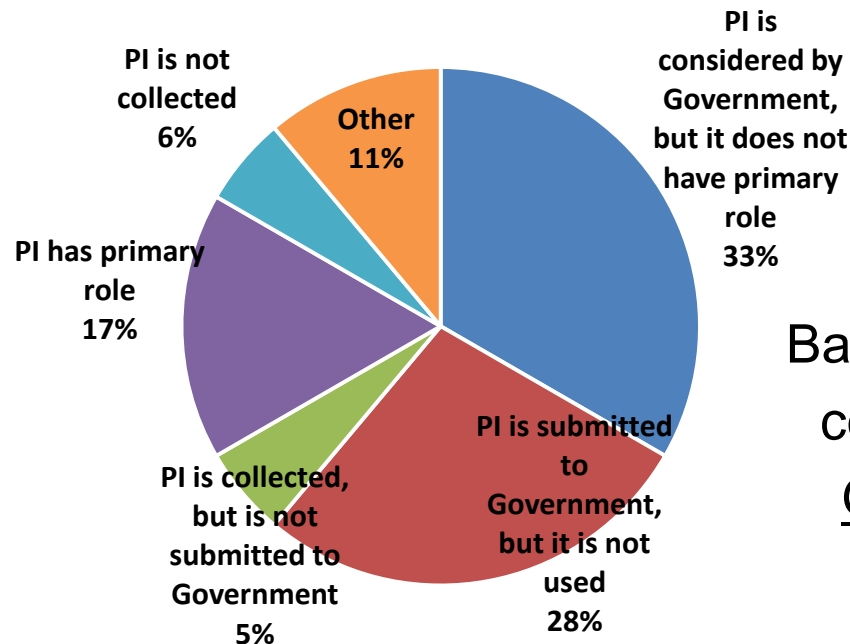






## Usage of the Performance Information (PI) in Budget Allocation Decisions

Based on countries' responses, in most countries – 8 out of 18 – PI is considered by the MF, but it does not have a primary role.



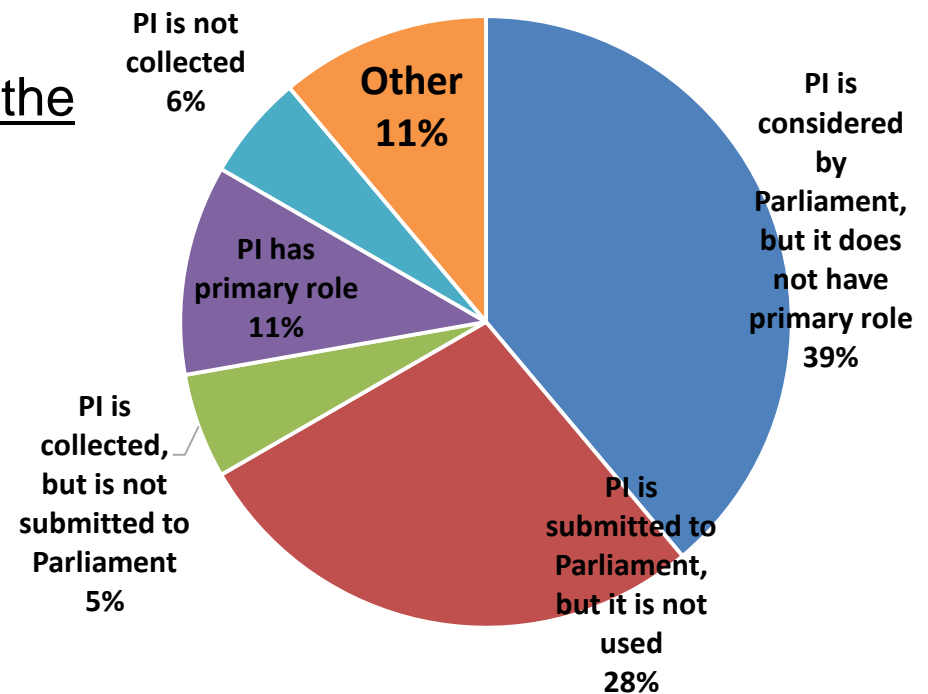
Based on countries' responses, in 6 countries, PI are considered by the Government, but it does not have primary role.





## Usage of the Performance Information (PI) in Budget Allocation Decisions (cont.)

Based on countries' responses, in 7 countries, PI are considered by the Parliament in budget allocation decisions, but it does not have primary role.

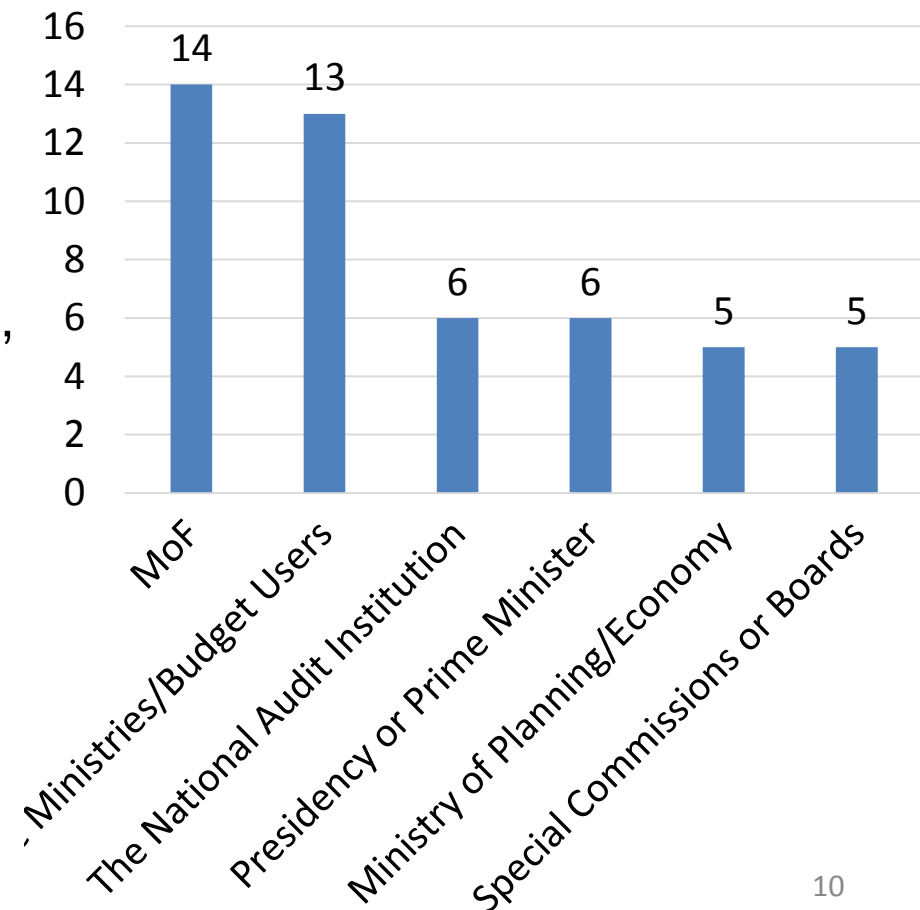




## PI mostly Does Not Constitute the Basis for Notable Changes in Budget Allocation

Based on countries' responses, in only 6 out of 17 countries there have been notable budget allocation changes based on PI - in Albania, Azerbaijan, Belarus, Bulgaria, Georgia, and Russia.

On average, 3 institutions have a role in RBME. In four countries more than 4 institutions have a role. In 12 countries, 2 or 3 Institutions are involved.





## **Are Institutional Roles in RBME Clearly Specified and Are Their Single or Parallel RBME Initiatives?**

Based on countries' claims, out of 18 countries, 13 countries noted that the roles of different institutions are clearly specified, mostly in legislation.

In 7 countries, there is a single RBME initiative, in 5 countries there is more than one initiative, while in 4 countries, there are no RBME initiative. Two countries did not respond to this question.



## **Roles in Evaluation and Coverage of Evaluation/Expenditure Reviews**

Based on countries' responses, out of 18 countries, in 10 countries budget holders/users have specific responsibilities for self-monitoring, mostly set out in the legislation.

12 countries responded that the concept of evaluation as opposed to monitoring is generally understood. Among the comments in regards to problems in understanding of this concept include: the lack of clearly defined and implemented systematic approach for strategic planning which hamper M&E system, suboptimal level of PI, lack of methodology for evaluation, insufficient level of awareness and practical implementation experience, and lack of clear separate definition of monitoring and evaluation in legislation/regulation.



## **Roles in Evaluation and Coverage of Evaluation/Expenditure Reviews**

In 9 countries, according to countries' responses, there is formal legal requirement for evaluation/expenditure reviews: Albania, Armenia, Azerbaijan, Belarus, Georgia, Kosovo, Tajikistan, Ukraine, and Russia.

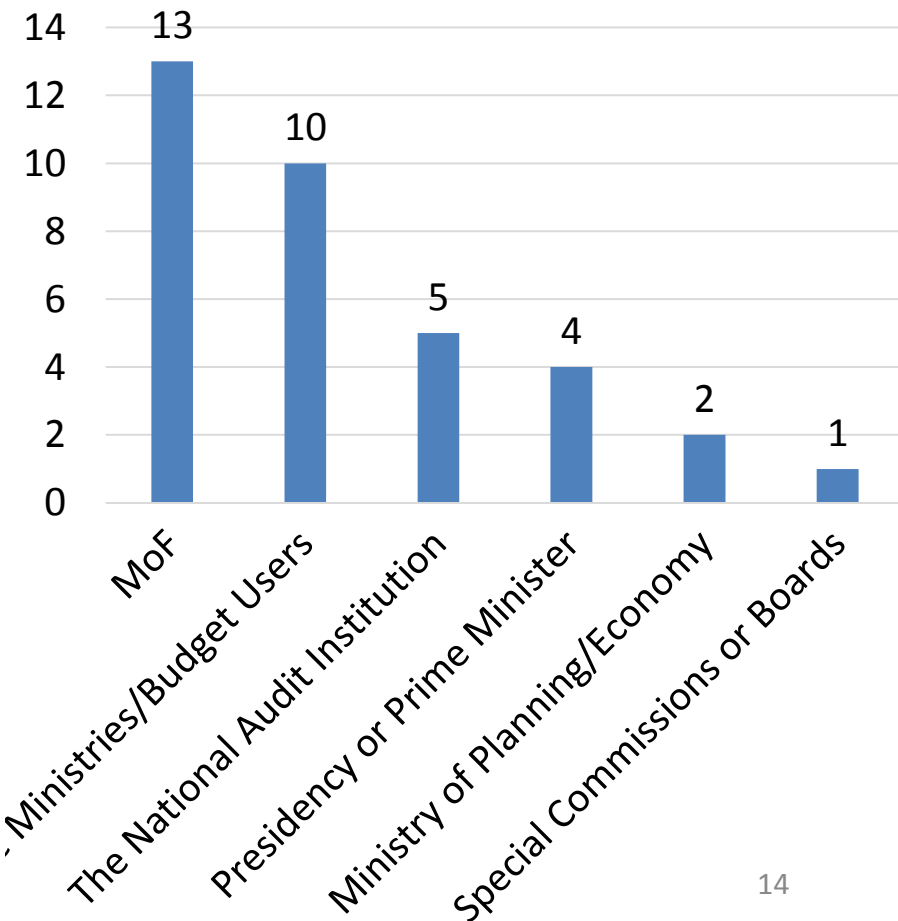
But at the same time, in most countries (9), no expenditure is currently covered by evaluation/expenditure reviews. In two countries, all of the expenditure is covered by evaluation/reviews. In five countries between 55% and 90% of expenditure is covered, and in two countries between 20% and 30% of expenditure is covered.



## Who Performs Evaluation/Expenditure Reviews and What Happens with the Results?

Based on countries' responses, on average, 3 institutions have a role in evaluation/expenditure reviews. In 3 countries more than 4 institutions have a role. In 4 countries, no institutions is involved. In most countries (8), 2 or 3 Institutions are involved.

Only 9 countries responded that the evaluation are submitted to some institution, most of which noted that the evaluations are submitted to the Cabinet, Parliament and/or MF. In only 4 countries, evaluation resulted in notable changes in budgetary allocations.





## **Methodological Guidance and Training for Evaluation**

Based on responses, out of 18 countries, only in three countries there are methodological guidance provided for evaluation (Tajikistan, Ukraine, and Russia, all based on MF instructions/decrees).

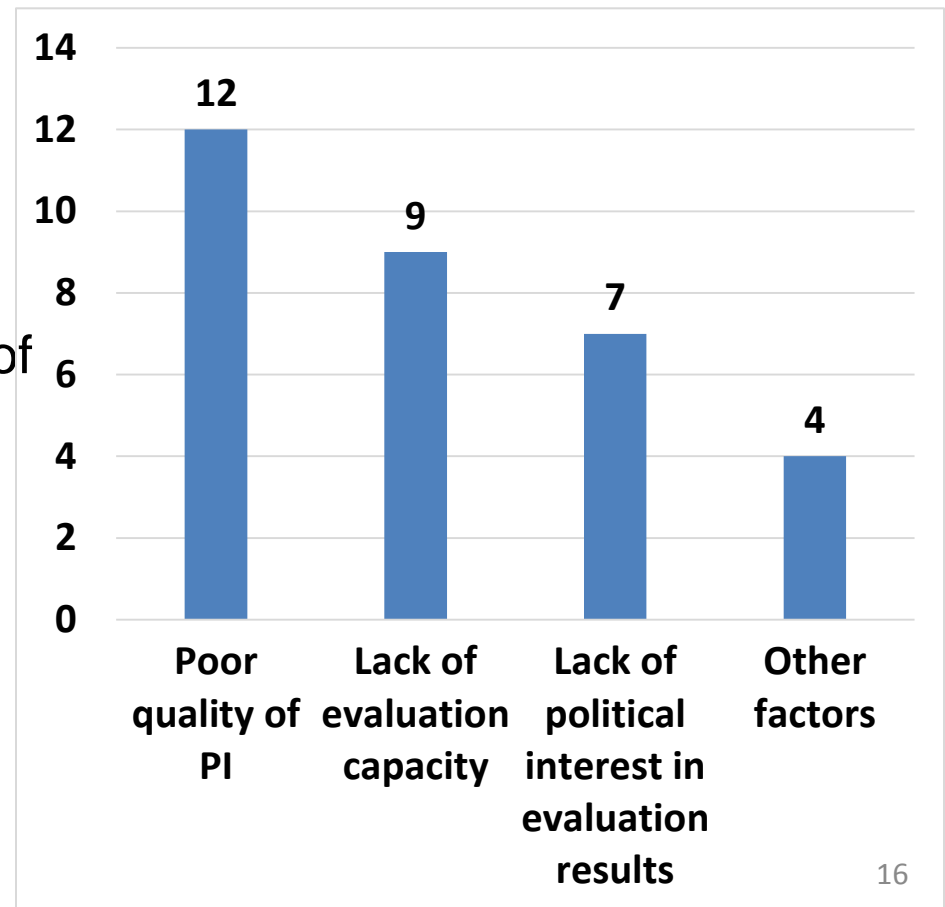
Only in 6 countries, training for staff undertaking evaluation is given (Albania, Armenia, Azerbaijan, Bulgaria Serbia, and Tajikistan, mostly by MF), according to countries' answers to Survey questions.





## Poor Quality of PI and Lack of Evaluation Capacities are Main Obstacles to Evaluation

8 out of 18 countries selected more than one obstacles to evaluation, While the poor quality of PI and lack of evaluation capacity was selected by Most countries, lack of political Interest was also chosen by 7 countries.

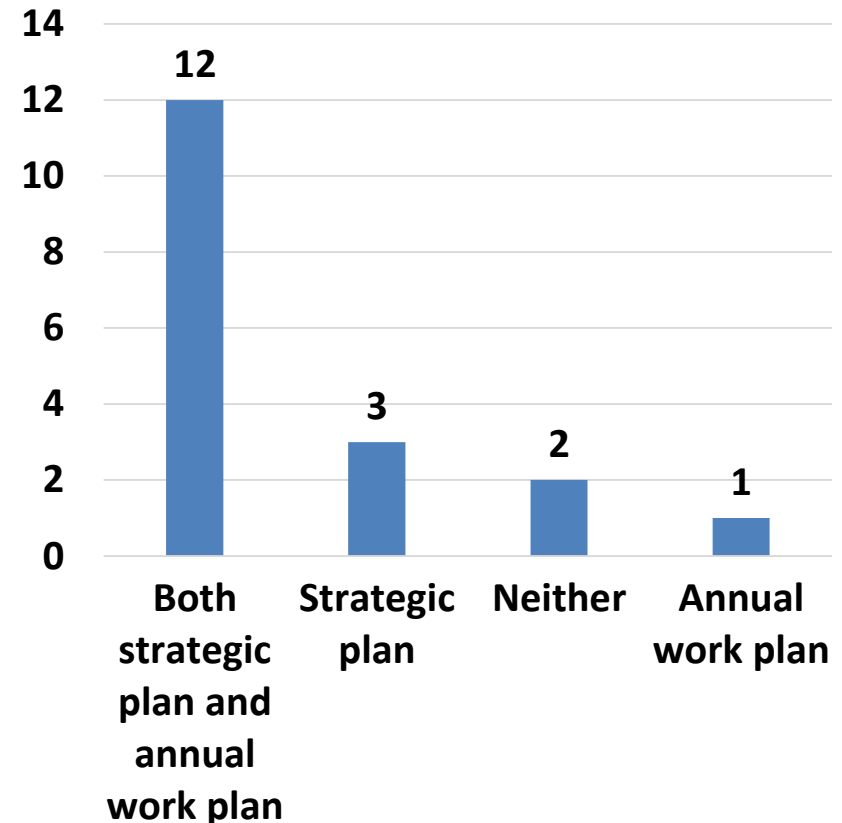




## Strategic Planning in Line Ministries/Budget Holders/ Users

In most countries (12 out of 18), both strategic plans and annual work plans are produced (as regulated in legislation in most cases).

Based on countries' responses, in most countries (13), methodological guidance is provided for development of strategic plans (mostly by instructions from Government or MF), and in 10 countries training is provided (by MF or HR unit/agency).

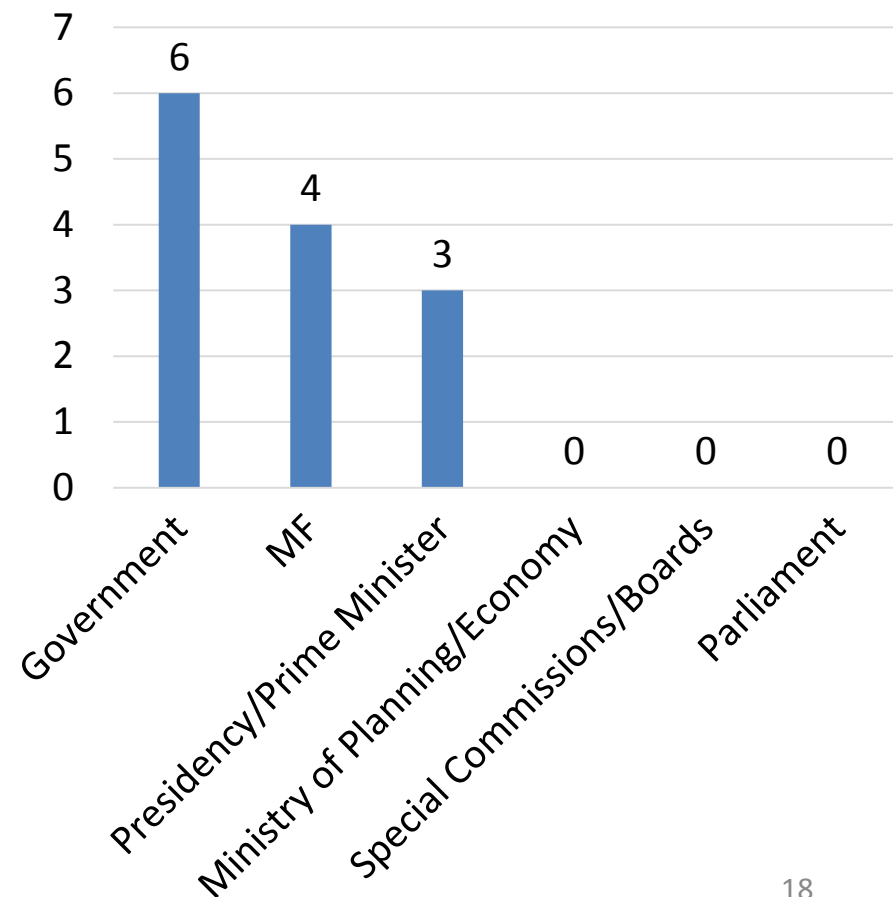




## Approval by Strategic Plans Prepared by Line Ministries/Budget Holders/Users

In 6 out of 18 countries, strategic plans do not need to be approved, while in 6 countries they are approved by the Government.

Out of 14 countries which responded to this question, in 6 countries only some plans are costed, while in 6 other countries all plans are supposed to be costed. Most countries (13) note some problems in terms of quality of plans, including lack of capacity, lack of harmonization, lack of training, difficulties in providing medium-term plans, and the fact that program budgeting is still in introductory stages.



# Main Challenges in Introducing/Implementing RBME, as Identified by the Countries in the Survey

<b>Albania</b>	Numerous challenges, most notable linking the RBME with the budget performance information.
<b>Armenia</b>	Development of employees' abilities and skills.
<b>Azerbaijan</b>	Capacity building.
<b>Belarus</b>	Lack of mid-term planning system and methodology for evaluation which would be regulated by legislation. Lack of will at the Line Ministry level.
<b>Bosnia and Herzegovina</b>	Specific structure of the country (existence of multiple government levels) and responsibilities of BiH Institutions; weak coordination among and within levels; and lack of training/capacity of managers in Line Ministries/Budget Holders/Users.
<b>Bulgaria</b>	Lack of capacity and clear political commitment.
<b>Croatia</b>	Lack of administrative capacity.
<b>Georgia</b>	Human resources, deficiency of statistical information.

# Main Challenges in Introducing/Implementing RBME, as Identified by the Countries in the Survey (cont.)

<b>Kosovo</b>	Lack of quality instructions and trained staff, as well as lack of political will.
<b>Kyrgyz Republic</b>	Lack of automation of planning process, collection of data on performance indicators; creation of a indicator database; interagency coordination.
<b>Moldova</b>	Lack of political will, lack of good methodology, lack of capacity, lack of successful examples to follow, lack of good data bases and good indicators; and lack of experience.
<b>Romania</b>	Capacity and will at political level for using the RBME systems.
<b>Serbia</b>	Frequent changes of Government, lack of interest from managers, lack of capacity.
<b>Tajikistan</b>	Untrained specialists, new method of budgeting.
<b>Ukraine</b>	Harmonization of indicators; forward-looking programming documents for economic and social development; definition of priority government programs; validation of indicators and their comparability; need to optimize the list of budget programs and to reduce result indicators of program performance.

**THANK YOU FOR YOUR ATTENTION!**