



**Australian Government**  
**Aid Program**

**Monitoring and Evaluation Framework**

October 2011

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**Annex 1:** PRMF Results Chain

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# Abbreviations

AADT	Average Annual Daily Traffic
AIP	Annual Incentive Program
APWP	Annual Public Works Plan
AusAID	Australian Agency for International Development
CBMG	Community Barangay Monitoring Group
CBMS	Community based Monitoring System
CBO	Community Based Organisation
CD	Capacity Development
CIME	Community Impact Monitoring and Evaluation
CSO	Civil Society Organisation
DILG	Department of the Interior and Local Government
FMC	Facility Managing Contractor
GIS	Geographic Information System
GOA	Government of Australia
GOP	Government of the Philippines
HH	Household
HRMDP	Human Resources Management and Development Plan
HRIS	Human Resources Information System
ICT	Information and Communications Technology
LGU	Local Government Unit
LGPMS	Local Governance Performance Management System
M&E	Monitoring and Evaluation
M/F	Male/Female
MBNS	Minimum Basic Needs Survey
MPDO	Municipal Planning and Development Office
MSA	Memorandum of Subsidiary Arrangement
MOA	Memorandum of Arrangement
PAO	Provincial Agriculture Office
PC	Provincial Coordinator
PLGU	Provincial Local Government Unit
PPDO	Provincial Planning and Development Office
PRMF	Provincial Roads Management Facility
PRNDP	Provincial Road Network Development Plan
PRSPMR	Provincial Road Sector Planning and Management Review
RPMES	Regional Project Monitoring and Evaluation System
SCALOG	System for Competency Assessment of Local Governments

## 1. INTRODUCTION

Monitoring and evaluation (M&E) in the Provincial Roads Management Facility (PRMF) helps ensure transparency and accountability in program implementation. M&E provides evidence of outputs, outcomes and impacts that are attributable to the PRMF, while enabling the Facility to adjust as needed to changing conditions and circumstances.

The purpose of this document is to demonstrate how the PRMF will answer 17 evaluation questions about the performance of the Facility and impact of the program on the intended beneficiaries. These questions are presented in section 4, *PRMF Performance Measurement Framework*, in relation to the different levels of the PRMF results chain. They have been agreed upon by AusAID, the Department of the Interior and Local Government (DILG), and Coffey as the Facility Managing Contractor (FMC) for the PRMF.

The document identifies the expected results of the investment; the indicators of results achievement; the key questions to answer in performance measurement; and the methods and approaches to use in data collection. The Facility will rely on, and reinforce the use of, existing government information systems and data gathering processes (wherever possible) during the implementation of the M&E Framework.

## 2. M&E OBJECTIVES

The purpose of M&E in the PRMF is to generate performance data that all key stakeholders, including AusAID, DILG, provincial governors and department heads, the Program Steering Committee, and the FMC, will use to:

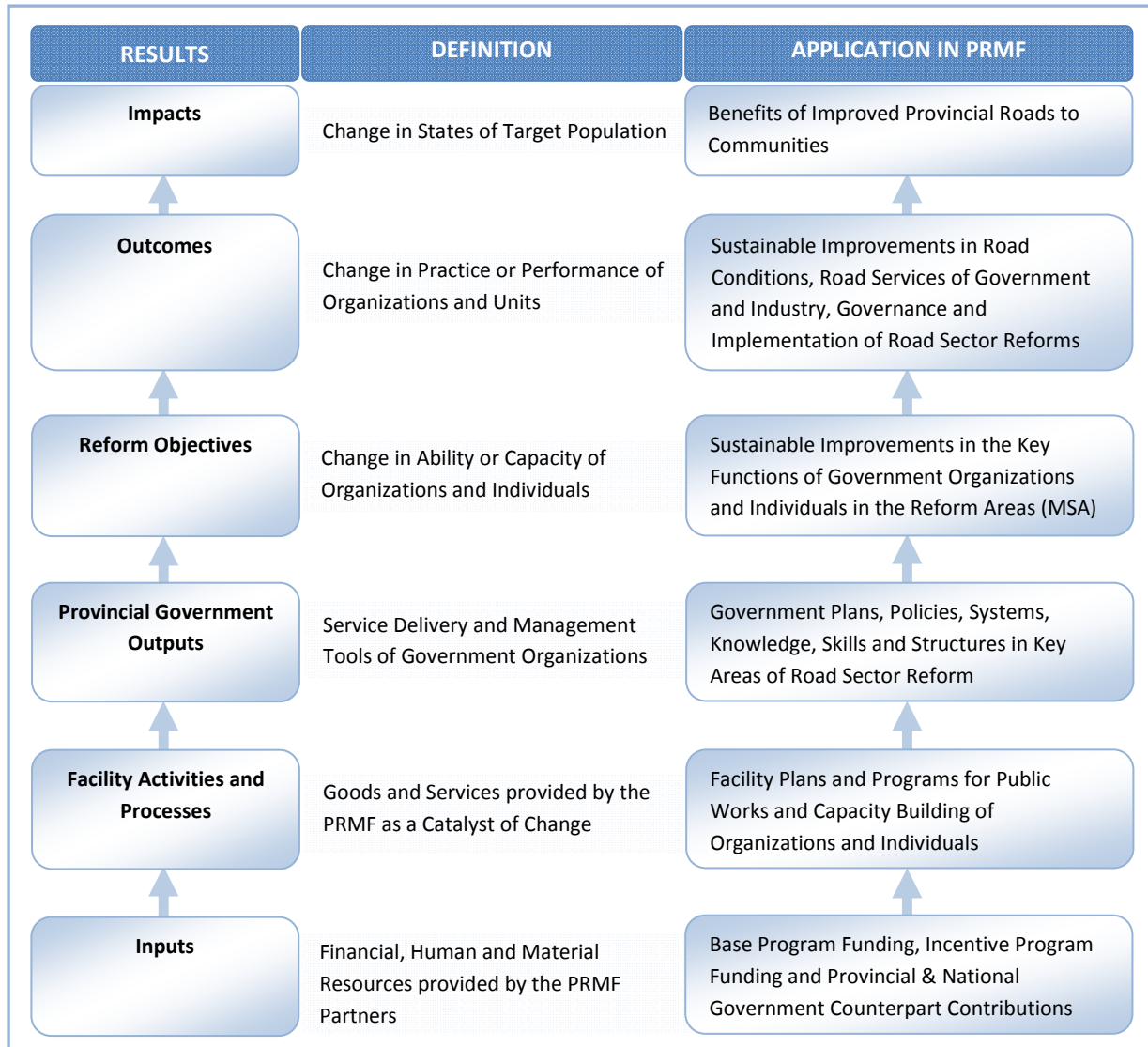
1. Determine whether PRMF is successful in achieving its development goals and objectives
2. Guide program delivery so that it is effective and efficient in the achievement of sustainable results for partners and beneficiaries.
3. Adapt the program to changing needs and circumstances when required to improve service delivery and results.
4. Provide evidence to stakeholders and decision-makers of the change attributable to PRMF at many developmental levels.
5. Develop capacity-building programs for participating provinces, beneficiaries, and DILG to sustain a road management system.
6. Inform the development partners of design improvements for program replication and advise on any limitations in using existing systems and processes to answer the M&E questions.

## 3. PRMF RESULTS CHAIN

The PRMF results chain is a management tool to define the purpose and focus on the program. It is a visual summary of the cause-and-effect relationships among inputs, activities and processes, outputs, reform objectives, outcomes and impact (see Figure 1). It defines the expected results of the Facility, which gives shape to performance measurement and the monitoring and evaluation effort. It is also used for planning, reporting, and communication purposes.

The results chain helps build a common understanding of the changes that will result from the investment. **Figure 1** provides definitions of the various levels of the results chain and their application in the PRMF. **Annex 1** provides an overview of the results chain in relation to the reform areas of the program for each Province.

**Figure 1: PRMF Results Chain**



## 4. PRMF PERFORMANCE MEASUREMENT FRAMEWORK

The PRMF Performance Measurement Framework provides methodological details on how the Facility will collect data to answer the key evaluation questions (see **Annex 2**). The selected indicators will be tested during the baseline collection exercise. The evaluation questions are presented in each of the sections below.

### 4.1 FACILITY INPUTS, ACTIVITIES AND PROCESSES

Monitoring and evaluating the inputs, activities and processes of the Facility will help stakeholders to determine the efficiency, effectiveness and efficacy of the program. The focus is on understanding the management and disbursement of resources in the Base Program Funding and Incentive Program Funding, as well as the provincial and national government counterpart contributions. It also provides information on how the inputs, activities and processes translate into outputs and outcomes for the Provinces.

The M&E Framework will answer these **evaluation questions** about the provision of inputs, activities and processes:

1. How efficiently and effectively is the Facility managing the disbursement of funds? How can this be improved?
2. How do the partnership arrangements between FMC, AusAID, DILG, and participating provinces contribute to the efficient management and implementation of the Facility? How can this be improved?
3. What strategies do participating provinces use to allocate base funding for Provincial Road Sector capacity building and for network rehabilitation and maintenance? Do different strategies result in different patterns of funds distribution?
4. To what extent does the Incentive Program Funding serve to encourage provinces to pursue reforms in linking budgets to plans, internal controls, financial management, revenue generation, and contracting out road works? How are local conditions helping or hindering reform?

To monitor inputs, activities and processes, the FMC will use the following methods and sources:

- **Financial Management System.** The FMC will use its financial management system and Provincial Government financial management systems to keep track of planned and actual expenditure of PRMF funds. (For question 1.)
- **Stakeholder Annual Review.** The FMC will facilitate an annual joint review of PRMF management and partnership arrangements, by key PRMF stakeholders, including AusAID, DILG, PLGUs and the FMC. This method will help answer questions 1 and 2. The FMC will also conduct individual interviews with AusAID and DILG representatives each year about partnership arrangements and issues. (For question 2.)
- **Provincial Road Sector Planning and Management Review (PRSPMR).** The provinces will report on the strategies used to allocate base funding for capacity building and road network rehabilitation and maintenance, and the extent to which incentive program funding encourages institutional reform. The

FMC will facilitate an annual review of PLGU progress toward the achievement of its annual objectives, annual incentive targets, and ongoing progress towards achievement of conditions necessary to sustain road sector reforms and gains related to their mandated functions. This progress report will be in the form of an annual scorecard (for questions 3 and 4). The PRSPMR will draw on the PRNDP and HRMDP and their M&E reports. Information will be verified through focus group discussions, key informant interviews, LGPMS and SCALOG.

## 4.2 OUTPUTS AND REFORM OBJECTIVES

The outputs are the results of the planned activity of the Facility to progress the Provincial Government towards the reform objectives and outcomes. If the outputs are successfully completed to required standards then the objectives will be met and outcomes should be achieved.

Reform objectives refer to changes in the ability or capacity of the Provincial Government and individuals. In the PRMF, reform objectives are sustainable improvements in the key functions of government organizations and individuals related to the delivery and management of road sector services under the five reform areas.

PRMF will help bring about these changes through its two components: (1) the Capacity Development program, which strengthens the capacity of provincial governments to plan, prioritize, and efficiently manage the provincial road network; and (2) the Provincial Road Network Rehabilitation and Maintenance Program, which provides funding for provincial road rehabilitation and maintenance.

The FMC will answer these **evaluation questions** about the progress made toward the reform objectives through the two components:

1. What arrangements do provinces have in place to design and implement individual and organisation capacity strengthening for financial, operational, planning and management reform? Does this represent good value for money across the provinces?
2. What arrangements do provinces have in place to design and implement road network rehabilitation and maintenance? Does this represent good value for money?
3. To what extent are government systems being used to deliver activities? Are these systems delivering an effective program in an efficient manner?

The FMC will monitor and evaluate the progress made toward reform objectives using these methods and processes:

- **Provincial Road Sector Planning and Management Review.** The FMC will facilitate an annual review of PLGU progress toward the achievement of annual objectives, annual incentive targets, outputs and ongoing progress toward the conditions necessary to sustain reforms, and gains related to their mandated functions in, and corresponding progress towards, achieving the core principles in the MOA (for questions 5 and 6). The PRSPMR will be informed by the HRMDP M&E Report and the PRMDP M&E Report.
- **Human Resources Management and Development Plan.** The implementation of each HRMDP will be monitored by the Provincial Government. The data collected for the M&E of the HRMDP, which includes sex-disaggregated data, will be also used to evaluate the extent to which Provinces design and implement

individual and organisation capacity strengthening for financial, operational, planning and management reform (for question 5).

- **Provincial Road Network Development Plan.** The implementation of each PRNDP will be monitored by the Provincial Government. The data, including sex-disaggregated data, collected for the M&E of the PRNDP will be also used to evaluate the extent to which road sector planning and management is being supported and implemented through provincial government operations (for questions 5 and 6).
- **Subcontractor Progress Reports.** Sub-contractors will prepare reports to assess participants' capacity prior to and after each capacity development activity (for question 7). Value for money assessments will be done by comparing results to investments and continuation of benefits in the longer term.

### 4.3 OUTCOMES

Outcomes refer to changes in the practices or performance of organizations. In PRMF, outcomes are sustainable improvements in road conditions, road services of governments and industry, road sector governance, and the implementation of road sector reforms. These outcomes are linked to the strategic development priorities of the PRMF partners.

The M&E Framework will answer these **evaluation questions** about the progress made toward expected outcomes:

1. To what extent has the Facility contributed to improving the core provincial road network in participating provinces?
2. To what extent has the Facility contributed to strengthening provincial institutional capacity and government systems for managing and maintaining the core provincial road network?
3. To what extent has the Facility built the capacity of DILG to replicate the program in other provinces?
4. To what extent has the Facility increased competition among private sector contractors?
5. To what extent has the participation of civil society in government planning and decision making changed in each province?

PRMF will measure the sustainable improvements in road conditions, road services, governance and the implementation of road sector reforms using the following methods:

- **Provincial Road Sector Planning and Management Review.** The provinces will report annually on their road network management and maintenance activities, progress toward the achievement of incentive targets established for provincial government systems, progress towards achieving sustainable road planning and management, and the participation of civil society in government planning and decision-making in this review. (For questions 8, 9 and 12.). The PRSPMR will evaluate information from focus group discussions supported by the PRNDP M&E Report, Audit Reports, the HRMDP M&E Report and BAC Secretariat records on bidding.

- **Provincial Road Network Development Plan (PRNDP).** The provinces report on the implementation of their plan using their PRNDP M&E system. (For questions 8 and 12.)
- **Provincial Road Inventories.** The provinces will conduct rapid road assessments and produce inventories annually to identify the number of kilometres of road rehabilitated and maintained. (For question 8.)
- **Road Network Completion Reports.** PLGUs prepare these reports after road work or activity completion. The reports summarise the number of kilometres of road rehabilitated and maintained. (For question 8.)
- **Local Governance Performance Management System (LGPMS).** The provinces prepare LGPMS reports annually for the DILG. The FMC will use LGPMS data to report on improvements in road services planning, management and delivery. (For question 9.) Sex-disaggregated data will be used where available.
- **System for Competency Assessment of Local Governments (SCALOG).** The provinces prepare SCALOG reports for the DILG once per governor's term. The FMC will use SCALOG data to report on improvements in the competencies of LGU personnel. (For question 9.) Sex-disaggregated data will be used where available.
- **DILG Review Report.** The Facility will conduct an annual review in partnership with DILG on its capacity to replicate and sustain the program as part of its Annual Planning process. (For question 10.)
- **Bids and Awards Committee Records Management System.** The PRMF will use records from the Bids and Award Committee (BAC) to review the level of participation of the private sector in bidding for road related projects before and during PRMF as an indicator of local competition (for Question 11 and 12).

#### 4.4 IMPACT

Impact refers to a change in state of target populations. In PRMF, impacts are the benefits to communities of the improved provincial roads. They include economic growth and improved access to infrastructure, services and employment. The M&E Framework will answer these **evaluation questions** about the impact of the Facility:

1. To what extent has the Facility contributed to increased economic activity at the individual, household, local and province levels in PRMF-assisted provincial roads catchment area?
2. To what extent has the Facility contributed to improving access to public infrastructure and services at the individual and province levels?
3. To what extent has the Facility increased local employment in each province?
4. To what extent has the Facility contributed to peace and stability in the conflict-affected provinces?
5. How sustainable is the impact of the Facility?

The methods and tools for monitoring and evaluating the impact of the Facility include:

- **Community Impact Monitoring and Evaluation (CIME) Case studies.** The Facility will conduct longitudinal case studies to examine the impact of the investment in provincial road networks on local facilities,

services and communities. Case studies will include longitudinal surveys of facilities and services, public opinion surveys, and the integration of government and community data. Case studies will be gender sensitive and collect sex-disaggregated data. This method will be used to help answer all questions relating to impact (For questions 13 and 14). Information from CBMS will be used for stratification of sampling and validation of results where available. The techniques developed will be evaluated in terms of whether they are cost effective tools for monitoring impacts of the PRNDP by the Provincial Governments.

- **Household surveys.** Municipalities will carry out household surveys using the Community-based Monitoring System and the Minimum Basic Needs Survey. (For question 13.) Sex-disaggregated data will be used where available. This information will monitor longer term trends and determine the geographic “area of influence” of road improvements.
- **Average Annual Daily Traffic (AADT) surveys.** The provinces will carry out AADT surveys to measure the volume of vehicle traffic of a road or highway to see how busy it is and how the composition of traffic changes over time. (For question 13.)
- **PLGU Monitoring reports.** Provincial governments will use existing administrative systems and mechanisms to report on agricultural production, business permits, tax collection, expenditures and receipts, tourism, and other donor projects through the Regional Project Monitoring and Evaluation System (RPMES). (For questions 13, 14, 15 and 16.)
- **Sub-contractor reports.** Sub-contractors will prepare completion reports following the completion of their contracted activities which will include an assessment of the results and outcomes. (For question 13.)
- **Provincial Road Sector Planning and Management Review (PRSPMR).** This evaluation report will be used to assess the sustainability of the benefits delivered drawing on monitoring and evaluation reports for the PRNDP and HRMDP. It will use information from the Strategic Financial Management Plan to determine if road maintenance can be sustained based on projected increases in local revenues and costs of maintenance. (For question 17.)

## 5. USE OF GOVERNMENT MONITORING SYSTEMS

This M&E Framework is designed to measure the overall performance of the Facility, however, it will use existing government systems as primary or secondary data sources if available. Not all evaluation questions can be answered cost effectively using existing government systems within the timeframes required for PRMF. Under these circumstances focus group discussions, targeted surveys and other quantitative and qualitative collection techniques will be used. These techniques will also be evaluated for use by the Provincial Governments to help strengthen existing systems where required.

As indicated in the lists of methods and tools for monitoring and evaluating inputs and the achievement of objectives, the PRMF M&E system relies on provincial government and national government monitoring systems for performance data, wherever possible, to minimise the burden of collection (i.e., time, effort, cost); to complement government efforts in ensuring integrity of data consistency; and to promote sustainability.

For evaluation reports, such as the PRSPMR and the Six Monthly Monitoring and Evaluation Status Reports, PRMF will use a combination of targeted interviews, focus group discussions, facility management systems, and draw on a range of government sources when available. These include:

- Local Governance Performance Measurement System (LGPMS) indicators
- System for Competency Assessment of Local Government (SCALOG) indicators

- Performance Management System - Office Performance Evaluation System (PMS-OPES) indicators
- Regional Project Monitoring and Evaluation System (RPMES) indicators
- Provincial Government administrative and financial systems (PLGU Monitoring Reports) for departmental reporting such as procurement records; budgets, receipts and expenditures; human resource management systems; and project management reporting systems
- Community Based Monitoring System (CBMS) indicators
- Agricultural Production Data

The FMC will also use systems currently being strengthened by PRMF including:

- Monitoring and evaluation reports being developed as part of the PDRNP and HRMDP
- Capacity development activity completion reports under the HRMO
- Road network completion reports under the PEO
- Road and Bridge Management Systems under DILG and each PEO
- Environmental monitoring reports under PENRO and DILG
- Internal audit reports under the PIAO

These systems include three DILG systems (i.e., CBMS, LGPMS and SCALOG) and one NEDA system (RPMES). The intention is to make better use of existing information systems so that program impacts can be measured after PRMF disengages and applied to other development programs where relevant. M&E capacity in DILG and provincial governments will be analysed and strengthened as necessary. This recognizes the wide range of stakeholders involved in these government monitoring systems: DILG, other national government agencies; LGUs; LGU leagues; civil society organisations; the private sector; and international donor organisations.

## 6. BASELINE DATA COLLECTION

With the approval of the M&E Framework, the FMC will begin baseline data collection. The baseline exercise, which will be completed in the 2011 calendar year, will involve five general activities:

- **Compile data from government systems.** The FMC will update their review on the current use of government M&E systems by the Provincial Governments. The FMC will then gather, collate and review data sets from existing government systems in relation to data requirements of the performance measurement framework. The FMC will also review the initial Provincial Assessments conducted in 2009, and PRSPMR reports completed in 2010 and 2011 to establish the baseline and initial trends.
- **Implement annual scorecards.** The FMC will facilitate the collection of PLGU data to establish ratings for achieving sustainable conditions linked to outputs and reform objectives as part of the PRSPMR.
- **Develop Geographic Information Systems.** The FMC will install GIS facilities and develop a geographic database for road and bridge asset management that links DILG, and Provincial Governments, with the ability to integrate with DPWH systems. This will provide quantitative data on accessibility, road condition and road assets.

- **Establish M&E system for PRNDP and the HRMDP.** The PRMF will help strengthen provincial M&E units, identify M&E requirements and processes, build M&E capacity, and implement a PRNDP and HRMDP M&E system.
- **Establish Community Impact Monitoring and Evaluation (CIME) case studies.** The FMC will oversee the initial collection of impact data through the CIME case studies in partnership with the PLGU. It will involve using a range of cost effective techniques such as public opinion surveys, longitudinal surveys of facilities and services, focus group discussions and targeted interviews. These techniques will be reviewed for application by the PLGU in the longer term as tools to support M&E for their PRNDPs. The approach will include using data from the Community Based Monitoring System (CBMS) where available and relevant. PRMF will engage Civil Society Organizations (CSOs) in strengthening participating communities' roles in data collection and coordinating their inputs.

## 7. ATTRIBUTION AND TRIANGULATION

The combination of data collection activities described in the M&E Framework is necessary for attributing change to the PRMF. The Facility will rely on three common strategies for demonstrating attribution.

- **'Before and after.'** The FMC will establish baseline values related to its indicators, and identify changes to baseline conditions that can be explained by project activities.
- **'With and without.'** The FMC will compare the impact on communities who are part of the intervention with conditions in similar communities outside of the project.
- **Aggregation.** The FMC will make use of data aggregation techniques to measure the overall impact of the project within the Facility life. Data aggregation will measure the extent on how the project has impacted on the five (5) reform areas based on its two components, namely, Capacity Development and Physical Works. The FMC will triangulate data from government systems and reports with data from sub-contractors, community-based M&E and impact studies in order to assess the changes brought about through the AusAID and GOP investment. It will use two or more sources of data to answer each of the 17 evaluation questions.

## 8. PRMF REPORTING

The 17 evaluation questions will be progressively addressed in 6 monthly monitoring and evaluation reports. These will be used to inform the long-term and annual plans of the Facility.

The reporting framework will include:

- **Monthly reports** highlighting key issues, risks and action items for management discussions
- **Six monthly reports** progressively addressing the 17 evaluation questions for the duration of the Facility. This status report will also review the effectiveness of the Facility's M&E system and the use of existing government M&E systems in addressing the key questions.
- **Annual Review and Forward Plans.** The FMC will produce annual and semi-annual progress reports on the implementation of plans and incentive targets. These reports will provide information on a year-on-year and year-to-date basis. They will also provide information to meet AusAID's requirements, such as quality of implementation reports and country strategy-level Performance Assessment Framework. These

reports include an evaluation of the effectiveness of the incentive program, sustainability, cross cutting themes and DILG's capacity to replicate and sustain PRMF interventions.

- **Facility Completion Report.** The FMC will produce a one-time completion report on the implementation of the Facility's 5-year plan.

These reports will incorporate all relevant information from provincial government and sub-contractor reporting as well as Facility-led data collection exercises to answer the 17 evaluation questions.

# Annex 1

PRMF Results Chain

<b>Title</b>	Philippines Provincial Roads Management Facility (PRMF)	<b>Facility Managing Contractor</b>	Coffey International Development	<b>Portfolio Manager</b>	John Alikpala
<b>Country</b>	Philippines	<b>Budget</b>	\$100 million	<b>Duration</b>	2009-2014

**Impact** Increased economic activity and improved access to public infrastructure and services in the Southern Philippines

<b>Development Priorities</b>	Sustain Core Provincial Road Networks	Strengthen Existing Government Systems			
<b>Outcomes</b>	10. Provincial roads are rehabilitated to a good condition and are sustainably maintained on an annual basis	20. Provinces have strengthened institutional capacity and systems to develop and implement road sector plans in support of broad-based sustainable social and economic development			

<b>Reform Objectives (PLGU Progress towards outcomes)</b>	100. Core network of provincial roads sustained in good condition	200. More effective and efficient systems for planning, generating and managing funds for road network rehabilitation and maintenance	300. Fully functioning internal control systems and internal audit services for road services delivery.	400. Transparent and effective procurement systems and processes with enhanced private sector participation in relation to the road sector	500. Increased capacity of PLGUs for the management and development of human resources
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<b>Provincial Government Outputs</b>	<b>1000. Sustained Road Planning and Service Delivery</b> <ul style="list-style-type: none"> <li>Provincial Road Network Development Plan (PRNDP) annually reviewed and updated using geographical information systems (GIS)</li> <li>Road condition surveys and traffic surveys conducted, stored and analysed using a road and bridge asset management system.</li> <li>Road project proposals developed using selection and prioritisation processes taking into account social, economic and environmental factors to ensure sustainability</li> <li>Strengthened integration and management of environmental considerations in provincial roads planning, design, construction and maintenance.</li> <li>Public participation in the selection, design, implementation and maintenance of roads</li> <li>Annual budgets for road rehabilitation and maintenance appropriated based on the PRNDP priorities</li> <li>Provincial Development Council (PDC) provides oversight for road sector planning and management</li> <li>A road safety plan and road safety awareness campaign is developed and implemented</li> <li>A monitoring and evaluation system reports on the performance of road rehabilitation and maintenance activities to support investment planning, sustainability and continuous improvement.</li> </ul>	<b>2000. Transparent and Accountable Budget and Expenditure Management</b> <ul style="list-style-type: none"> <li>The Provincial Government develops, updates, implements and monitors a Strategic Financial Management Plan to guide revenue enhancement, expenditure planning and anti-corruption strategies.</li> <li>Multi-year expenditure plans are linked to annual budget processes and involve public participation</li> <li>Electronic accounting and financial management systems (Electronic New Government Accounting System, Statement of Receipts and Expenditures, e-Budget systems) are operating, maintained and reporting to required standards</li> <li>Tax revenue assessment and collection systems are efficient and effectively used to improve local revenues</li> <li>Increases in local revenues are used for road rehabilitation and maintenance</li> </ul>	<b>3000. Fully Functional Internal Control Systems and Internal Audit Services</b> <ul style="list-style-type: none"> <li>An internal audit service office is fully operational and adequately funded to carry out its mandate according to national government guidelines.</li> <li>Internal control systems are used to improve the efficiency, effectiveness and accountability of road sector planning and management</li> <li>All offices related to road sector planning and management carry out risk assessments regularly</li> </ul>	<b>4000. Transparent Procurement Process</b> <ul style="list-style-type: none"> <li>The Bids and Awards Committee provides effective leadership and management of all road related procurement activities to national standards supported by a capable Secretariat and involving meaningful public participation.</li> <li>The PLGU uses an electronic procurement system, ensuring transparency and gender equity in all of its procurement processes and activities</li> <li>The PLGU has an effective records management system and database of items and costs related to goods and services in the road sector for analysing tenders</li> </ul>	<b>5000. Increased Capacity of the Workforce to Deliver Road Services</b> <ul style="list-style-type: none"> <li>The PLGU prepares, funds and implements a multiyear HRMD Plan that guides the capacity development and performance of staff involved in road sector planning and management.</li> <li>The PLGU implements and maintains a Human Resources Information System to support operations and guide personnel planning and development</li> <li>Staff recruitment, selection and succession planning processes are merit based, gender sensitive and comply with government requirements.</li> <li>A monitoring and evaluation system is used to report on the performance of the HRMDP and capacity development program for the road sector.</li> </ul>
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<b>Facility Outputs, Activities and Processes</b>	<ul style="list-style-type: none"> <li>Provincial Works and Reform Program</li> <li>Provincial Road Network Development Plan</li> <li>Provincial Road Sector Planning and Management Review</li> <li>Annual Capacity Development Program</li> <li>Annual Physical Works Program</li> </ul>	<ul style="list-style-type: none"> <li>Environmental Monitoring System</li> <li>Service Delivery Mechanisms Mobilised</li> <li>Road Network Completion Reports</li> <li>Incentive Program Support and Development</li> <li>Monitoring and Evaluation System</li> <li>Public Engagement Strategy</li> </ul>	<ul style="list-style-type: none"> <li>Peace, Conflict and Development Analysis</li> <li>Gender equality and social inclusion strategy</li> <li>Capacity Development Framework</li> <li>Knowledge Management</li> <li>Sustainability Strategy</li> </ul>
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<b>Inputs</b>	Base Program Funding	Incentive Program Funding	Counterpart Contributions and Provincial Government Equity
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# Annex 2

## PRMF Performance Measurement Framework

PERFORMANCE INDICATORS	DATA SOURCES	COLLECTION METHOD	FREQUENCY
<b>Monitoring the Facility Impact – Key Evaluation Questions:</b>			
1. To what extent has the Facility contributed to increased economic activity at the individual, household, local and province levels in PRMF-assisted provincial roads catchment areas?			
2. To what extent has the Facility contributed to improved access to public infrastructure and services at the individual and province levels?			
3. To what extent has the Facility contributed to increased local employment in each province?			
4. To what extent has the Facility contributed to peace and stability within the conflict-affected province?			
5. How sustainable is the impact of the Facility?			
<b>Impact 1: Increased economic growth in selected communities in the Southern Philippines</b>			
Change in level of household income/business income	CBMS ; Community Impact Monitoring and Evaluation (CIME) Case studies Agricultural Production Data Property Information System Business Permit System	Review CBMS data Facility and services surveys, Focus Group Discussion (FGD), Key Informant Interviews (KII) PLGU Reporting	<b>Every 3 years</b>
Change in vehicle operating costs	Community Impact Monitoring and Evaluation	Facility and services surveys, Focus Group Discussion (FGD), Key Informant Interviews (KII)	<b>Annual</b>
Change in travel times along road network	Community Impact Monitoring and Evaluation	Facility and services surveys, Focus Group Discussion (FGD), Key Informant Interviews (KII), GIS data	<b>Annual</b>
Change in traffic count and vehicle types	Subcontractor’s Report	AATD survey	<b>Periodic</b>
Change in transport costs	Community Impact Monitoring and Evaluation GIS analysis	Facility and services surveys, Focus Group Discussion (FGD), Key Informant Interviews (KII) GIS analysis using transport models	<b>Annual</b>
Change in peace and conflict situation during PRMF	Peace and conflict analysis; CIME	Security monitoring; Public opinion surveys	<b>Every 3- 5 years</b>
<b>Impact 2: Improved access to public infrastructure, services and employment in selected communities in the Southern Philippines</b>			
Change in household access to public infrastructure a) markets and trading posts b) ports and terminals c) public and private facilities	Community Impact Monitoring Evaluation GIS analysis	Facility and services surveys, Focus Group Discussion (FGD), Key Informant Interviews (KII) Proximity and network analysis using GIS	<b>Annual</b>
Change in household access to socio-economic services	Community Impact Monitoring Evaluation	Facility and services surveys, Focus Group Discussion (FGD),	<b>Annual</b>

PERFORMANCE INDICATORS		DATA SOURCES	COLLECTION METHOD	FREQUENCY
a) education services (schools & day care centers) b) health, nutrition, HIV/AIDS services c) job & employment opportunities d) security and safety services (police, ambulance)		GIS analysis	Key Informant Interviews (KII) Proximity and network analysis using GIS	
Change in the total number of people employed by Provincial Government road maintenance and rehabilitation activities		Subcontractor's completion report	Subcontractors employment records	<b>Periodic</b>
Sustainability of local revenue increases to fund ongoing road maintenance		Strategic Financial Management Plan	Annual Financial Statements and Projections	<b>Annual</b>
<b>Monitoring Outcomes – Key Evaluation Questions:</b>				
<ol style="list-style-type: none"> <li>To what extent has the Facility contributed to improving the core provincial road network in participating provinces?</li> <li>To what extent has the Facility contributed to strengthening provincial institutional capacity and government systems for managing and maintaining the core provincial road network?</li> <li>To what extent has the participation of civil society in government planning and decision making increased the demand for better government in each province?</li> <li>To what extent has the Facility built the capacity of DILG to replicate the program in other provinces?</li> <li>To what extent has the Facility increased competition among private sector contractors?</li> </ol>				
<b>Outcome 10 – Provincial roads are rehabilitated to a good condition and are sustainably maintained on an annual basis</b>				
Total kilometres of gravel roads rehabilitated and maintained by PRMF and by the Provincial Government		PRNDP M&E Report	Road Condition Inventory	
Percent of core road network funded and maintained in good & fair condition on an annual basis		PLGU & DILG GIS database PRNDP M&E Report Road Network Completion Reports	Road Condition Inventory Road surveys and mapping	<b>Annual</b>
Annual ratio of core roads in maintainable condition to those in unmaintainable condition		PLGU & DILG GIS database PRNDP M&E Report Road Maintenance Plan	Road Condition Inventory Road surveys and mapping Road and Bridge Management System	<b>Annual</b>
Annual budget appropriated and committed to ensure core road network is rehabilitated and maintained in good condition		Strategic Financial Management Plan and PRNDP M&E Report	Rehabilitation and maintenance cost estimates	<b>Annual</b>
<b>Outcome 20 – Provinces have strengthened provincial institutional capacity and systems to develop and implement road sector plans in support of broad based sustainable social and economic development</b>				
Changes in State of Local Government Reporting (LGPMs) from commencement to completion		LGPMs	Review of LGPMs results	<b>3 Years</b>
Changes in SCALOG assessment from commencement to completion		SCALOG	Review of SCALOG assessment for the road sector	<b>3 Years</b>
Level of leadership, collaboration, participation and support for the development, review and implementation of the PRNDP		PRSPMR informed by LGPMs & SCALOG; PRNDP M&E Reports; HRMDP M&E	Review of PRNDP M&E ; RPMS; HRMDP M&E; RPMS	<b>Annual</b>

PERFORMANCE INDICATORS		DATA SOURCES	COLLECTION METHOD	FREQUENCY
		Reports; RPMES Reports	Reporting	
	Improvements in staff, unit and organisational performance in road related departments linked to the implementation of the HRMDP	PRSPMR with information from LGPMS, SCALOG & PMS-OPES	PRSPMR, with review of LGPMS, SCALOG & PMS-OPES	Annual
	Overall changes in the level of meaningful public participation in road rehabilitation and maintenance processes from planning, procurement to implementation and monitoring	PRSPMR with information from PRNDP M&E Report and Procurement Records	Case Study, Focus Group Discussion; BAC procurement records	Annual
	Annual increases in local revenues and level of financial support provided to road maintenance & rehabilitation from increases in local revenues	PRNDP M&E Report; AIP, Budget & Appropriation Ordinance allocating funding to PRNDP	Review AIP, Budget & Appropriation Ordinance; PRNDP M&E Report	Annual
	Extent of replication and dissemination of PRMF reforms to non-PRMF provinces	DILG Reports	Review of DILG Reports Annual Plan Review	Annual
	Changes in the number of local contractors bidding for road rehabilitation and maintenance contracts	BAC procurement records	BAC Secretariat records review	Annual
<b>Monitoring Outputs and Reform Objectives – Key Evaluation Questions</b>				
<ol style="list-style-type: none"> <li>1. What arrangements do provinces have in place to design and implement individual and organisation capacity strengthening for financial, operational, planning and management reform? Does this represent good value for money across the provinces?</li> <li>2. What arrangements do provinces have in place to design and implement road network rehabilitation and maintenance? Does this represent good value for money?</li> <li>3. To what extent are government systems being used to deliver activities? Are these systems delivering an effective program in an efficient manner?</li> </ol>				
<b>Reform Objective 100 – Core network of provincial roads sustained in good condition</b>				
<b>Output 1000 – Sustained Road Planning and Service Delivery</b>				
	Extent of Provincial Road Network Development Plan (PRNDP) funded and implemented to maintain a core road network to acceptable standards and provide for ongoing capacity development support	PRNDP M&E Report; AIP, Budget & Appropriation Ordinance allocating funding to PRNDP	Review of PRNDP; Review AIP, Budget & Appropriation Ordinance	Annual
	Extent that the Road Sector & Safety Committee actively overseeing the implementation of the road safety plan and awareness campaign and ensuring funding allocation	PRSPMR with review of PRNDP M&E Report; Minutes of Road Sector Committee	Review of PRSPMR & PRNDP M&E Report; FGDs; KIIs	Annual
	Length of provincial roads in the core road network maintained by the PEO	PEO road inventory and maintenance plans Road and Bridge Management System	PEO records review Road and Bridge Management System Report	Annual
	Number of road accidents reduced at accident black spots	Police and hospital records	Traffic accident attendance by police Hospital admissions	Annual
	Proportion of road funds allocated to contracting out road service delivery	Financial Reports PRNDP M&E Report	Assessment of Financial Records and BAC procurement	Annual

PERFORMANCE INDICATORS		DATA SOURCES	COLLECTION METHOD	FREQUENCY
		BAC Procurement system	records PRNDP M&E Expenditure report	
	Number of Environmental Management Plans (EMP) prepared, implemented & monitored by the Provincial Government	PRSPMR with review of PRNDP M&E Report; Monthly PENRO EMP reports	Review of PRNDP M&E Report; PENRO EMP Reports	Annual
	Number of road rehabilitation and maintenance projects designed and supervised by the PEO based on local road design guidelines and safety measures	PRSPMR informed by PRNDP M&E Report, LGPMS & SCALOG; RPMS	PRNDP M&E Report, LGPMS & SCALOG; RPMS report	Annual
	Quality of GIS-based maps developed & updated using road inventories & registry of environmentally sensitive and hazardous areas, and used in decision making	PRSPMR informed by PRNDP M&E Report; PLGU Monitoring Report; GIS data inventory report (metadata)	Review of PRSPMR & PRNDP; PLGU Monitoring Report; GIS reporting	Annual
	Level of community participation in road selection, design, implementation and maintenance	PEO and PPDO activity attendance reports Road Network Completion Report	Review of PRNDP M&E Report Community mapping activities Planning Activity attendance sheets	Annual
	Quality of Monitoring & Evaluation System implemented for the PRNDP and its application for planning & management decisions	PRSPMR review of PLGU Monitoring & Evaluation Reports	Review of PLGU Monitoring Reports	Annual
<b>Reform Objective 200 – More effective and efficient systems for planning, generating and managing funds for road network rehabilitation and maintenance</b>				
<b>Output 2000 – Transparent &amp; Accountable Budget &amp; Expenditure Management</b>				
	Level of synchronisation between the Provincial Development Investment Program, Annual Investment Program and annual budget using the priority Programs, Projects and Activities identified in the multi-year PRNDP & HRMDP	PDIP-AIP-Budget, PRNDP & HRMDP M&E Reports; PLGU Financial Reports	Review of PDIP-AIP-Budget, PRNDP & HRMPD; Financial reports	Annual
	Quality of the Strategic Financial & Management Plan (SFMP) developed & degree of implementation	PRSPMR informed by the SFMP implementation plan	Review of SFMP implementation plan	Annual
	Accuracy of revenue estimations & projections based on sound financial parameters	SFMP & Budget Call	Review of SFMP & Budget Calls	Annual
	Number of staff able to implement local budget and expenditure management processes based on DBM guidelines	PRSPMR informed by DBM Assessments, LGPMS & SCALOG	Review DBM Assessments, LGPMS & SCALOG	Annual
	Increases in locally generated fees and taxes linked to revenue generation strategies in the SMFP	Annual financial accounts; SRE reports	Electronic accounting systems and revenue collection systems; SRE Report	Annual
	Level of compliance to Full Disclosure Policy and level of meaningful public participation in the budget process	DILG Reports on Full Disclosure Policy	Review DILG Reports on Full Disclosure Policy	Annual

	PERFORMANCE INDICATORS	DATA SOURCES	COLLECTION METHOD	FREQUENCY
	Quality, completeness and timeliness of reports from the Electronic NGAS, SRE, e-Budget & eTRACS	PRSPMR informed by financial reporting systems	Review PLGU Financial Reports provided to management and NGAs	Annual
<b>Reform Objective 300 – Fully functioning internal control systems and internal audit services for road services delivery</b>				
<b>Output 3000 – Fully functional Internal Audit &amp; Internal Control System</b>				
	Level of functionality of the internal audit service office including number of staff with clearly defined roles and responsibilities according to the operations manual and level of compliance with national requirements	PRSPMR informed by Internal Audit operations plan; Internal Audit budgets and expenditures; Internal Audit annual plans	Review PLGU Monitoring Report Audit reports Compliance checklist	Annual
	Number of audits conducted and improvements identified and implemented to increase accountability, transparency, efficiency and effectiveness in road sector planning and management	Audit Reports	Review of Audit Reports	Annual
	Number of Internal Audit Plans implemented according to timelines	PRSPMR informed by PLGU Monitoring Report	Review of PRSPMR and PLGU Monitoring Report	Annual
	Level of compliance and timeliness of response to internal audit findings for each department related to the road sector	PRSPMR informed by PLGU Monitoring Report	Review of PRSPMR and PLGU Monitoring Report	Annual
	Number and timeliness of risk assessments completed for departments related to road sector planning and management	PRSPMR; PLGU Monitoring Report	Review of PRSPMR and PLGU Monitoring Report	Annual
	Number of staff capable of establishing and monitoring internal control systems in road related departments	PRSPMR informed by PLGU Monitoring Report	Review of PRSPMR; PLGU Monitoring Report	Annual
<b>Reform Objective 400 – Transparent and effective procurement systems and processes with enhanced private sector participation in relation to the road sector</b>				
<b>Output 4000 – Transparent Procurement Process</b>				
	Level of compliance to GPRA 9184 and extent of meaningful public participation in the procurement process	CSO & Private Sector	Case Study, Focus Group Discussion	Annual
	Number of PRMF procurement activities conducted by the Provincial BAC in accordance with PRMFs modified procurement process using manual or electronic systems	PRSPMR; PLGU Monitoring Report	Review of PRSPMR and PLGU Monitoring Report	Annual
	Level of meaningful public participation in the procurement of PRMF related activities	BAC minutes	Records from the Secretariat	Annual
	Timeliness and quality of reports from the BAC records management system	PRSPMR informed by the PLGU Monitoring Report	Review of PRSPMR and PLGU Monitoring Report	Annual
	Number of staff able to manage, implement & procure physical works and consulting services based on GPRA 9184	PRSPMR informed by the PLGU Monitoring Report	Review of PRSPMR and PLGU Monitoring Report	Annual

	PERFORMANCE INDICATORS	DATA SOURCES	COLLECTION METHOD	FREQUENCY
<b>Reform Objective 500 – Increased capacity of the PLGUs for the management and development of human resources</b>				
<b>Output 5000 – Increased Capacity of PLGU Workforce to Deliver Road Services</b>				
	The extent of activities funded and implemented in the Human Resource Management & Development Plan by the Provincial Government using own funds	HRMDP M&E Report & Appropriation Ordinance	Review of HRMDP & Appropriation Ordinance	Annual
	The level of services provided to road related departments by the Human Resource Management Office in order to improve overall staff performance	PRSPMR informed by PLGU Monitoring Report	Review of PRSPMR and PLGU Monitoring Report	Annual
	The completeness and use of systems implemented to support human resource development and management: a) Human Resource Information System (HRIS) b) Recruitment, Selection, Appointment & Induction c) Compensation, Benefits & Rewards System d) Retirement & Resignation System	PRSPMR informed by PLGU Monitoring Report; LGPMS & SCALOG; HRIS and HRMDP M&E Report	Review of PRSPMR; PLGU Monitoring Report; LGPMS & SCALOG; HRIS and HRMDP M&E Report	Annual
	The number of staff able to develop, manage, implement, monitor & evaluate capacity development interventions	PRSPMR informed by PLGU Monitoring Report; LGPMS & SCALOG; HRIS and HRMDP M&E Report	Review of PRSPMR; PLGU Monitoring Report; LGPMS & SCALOG; HRIS and HRMDP M&E Report	Annual
	The level of use of the monitoring and evaluation system for the HRMDP in decision making and system improvement	PRSPMR informed by PLGU Monitoring Report; LGPMS & SCALOG; HRIS and HRMDP M&E Report	Review of PRSPMR; PLGU Monitoring Report; LGPMS & SCALOG	Annual
<b>Monitoring Facility Inputs, Activities and Processes – Key Evaluation Questions</b>				
<ol style="list-style-type: none"> <li>1. How efficiently and effectively is the Facility managing the disbursement of funds? How can this be improved?</li> <li>2. How do the partnership arrangements between the FMC, AusAID, DILG, and participating provinces contribute to the efficient management and implementation of the Facility? How can this be improved?</li> <li>3. What strategies do participating provinces use to allocate base funding for Provincial Road Sector capacity building and for network rehabilitation and maintenance? Do different strategies result in different patterns of funds distribution?</li> <li>4. To what extent do tied and untied Incentive Program Funding serve to encourage provinces to pursue reforms in linking budgets to plans, internal controls, financial management, revenue generation, contracting out road works? How are local conditions helping or hindering reform?</li> </ol>				
<b>Capacity Development Planning - Activities Undertaken</b>				
	Quality and timeliness of the PRSMPR in identifying appropriate and specific capacity development needs for each Province	Annual Plan Review	Analysis of capacity development proposals against plans and reviews	Annual
	Quality and timeliness of assistance provided to formulate the PRNDP as the basis for funding capacity development reforms for road sector planning and management	Annual Plan Review	Review of the PRNDPs and PRSPMRs as tools for program planning	Annual

	PERFORMANCE INDICATORS	DATA SOURCES	COLLECTION METHOD	FREQUENCY
	Quality and timeliness of selecting appropriate incentive targets and reaching agreement	FMC performance review Incentive Target Process Review in Annual Plan	Annual review of processes	<b>Annual</b>
	Percent of capacity development activities undertaken against Annual Plan across reform areas	Capacity Development Activity Reports	Review of Capacity Development Activity Reports	<b>Annual</b>
	Percent of women attending capacity development activities against men	Capacity Development Activity Reports	Review of Capacity Development Activity Reports	<b>Annual</b>
<b>Facility Disbursements of Funds</b>				
	Actual Expenditure as percent of programmed expenditure	Financial Report	Review of Financial Report	<b>Quarterly</b>
	Quality of PRMF Financial Management Systems & Processes	Annual Reviews by Stakeholders	Annual Reviews by Stakeholders	<b>6 monthly</b>
<b>Partnership Arrangements</b>				
	Quality of FMC communications and relationship with AusAID and DILG	Interview Results; Contractor's Performance Assessment; TMG Reports	Review of Interview Results & Contractor's Performance Assessment and TMG Report	<b>6 monthly</b>
	Quality and timeliness of FMC's responsiveness to the PSC's requests, instructions and issues	Stakeholders' Annual Review; Contractor's Performance Assessment TMG Reports	Review of Stakeholders' Annual Review; Contractor's Performance Assessment and TMG Report	<b>6 monthly</b>
	Level of attention to AusAID's policies on gender & environment	Stakeholders' Annual Review; Contractor's Performance Assessment TMG Reports	Review of Stakeholders' Annual Review; Contractor's Performance Assessment and TMG Report	<b>6 monthly</b>
	Performance of the Project Steering Committee (PSC) in providing direction	Stakeholders' Annual Review; Contractor's Performance Assessment TMG Reports	Review of Stakeholders' Annual Review; Contractor's Performance Assessment and TMG Report	<b>6 monthly</b>
	Quality and effectiveness of FMC communications with partner PLGUs	Stakeholders' Annual Review; Contractor's Performance Assessment TMG Reports	Review of Stakeholders' Annual Review; Contractor's Performance Assessment and TMG Report	<b>6 monthly</b>

PERFORMANCE INDICATORS		DATA SOURCES	COLLECTION METHOD	FREQUENCY
	Quality and timeliness of FMC response to the Technical Monitoring Group recommendations	Stakeholders' Annual Review; Contractor's Performance Assessment TMG Reports	Review of Stakeholders' Annual Review; Contractor's Performance Assessment and TMG Report	<b>6 monthly</b>
<b>Allocation of Base Funds</b>				
	Quality of strategies used by PLGUs to allocate base funding	PRSPMR informed by PRNDP M&E Report; HRMDP M&E Report; PLGU Monitoring Report	Review of PRSPMR & PRNDP; PLGU Monitoring Report	<b>Annual</b>
	Timeliness and adequacy of road investment priority setting	PRSPMR informed by PRNDP M&E Report; HRMDP M&E Report; PLGU Monitoring Report	Review of PRSPMR & PRNDP; PLGU Monitoring Report	<b>Annual</b>
	Timeliness and adequacy of PLGU equity	PRSPMR informed by PRNDP M&E Report; HRMDP M&E Report; PLGU Monitoring Report	Review of PRSPMR & PRNDP; PLGU Monitoring Report	<b>Annual</b>
<b>Incentive Program Funding</b>				
	Quality and effectiveness of strategies used to allocate incentive funding	Annual Plan Review informed by the PRSPMR; PRNDP M&E Report and Road network completion reports	Review of PRSPMR and PRNDP Review road network completion reports	<b>Annual</b>
	Comparative level of achievement between funded capacity building objectives and reforms linked to incentive targets.	Annual Plan informed by PRSPMR & PRNDP; HRMDP M&E Report and PLGU Monitoring Report	Review of PRSPMR & PRNDP; PLGU Monitoring Report	<b>Annual</b>
	Attributable impact of the incentive targets on institutional reforms within and outside of the road sector	PRSPMR informed by Incentive Target Assessments; LGPMS and SCALOG	Review of PRSPMR Review of Incentive Target Assessments	<b>Annual</b>
	Quality and timeliness of release of incentive funds	FMC Expenditure report in Annual Plan	Annual Plan expenditure section	<b>Annual</b>