The National Evaluation Policy (NEP) Framework:
Sharpening the Results Focus of the Philippine Government

Nikki Ann CONSIGNA BERMUDEZ (MEP14120)
National Economic & Development Authority, Philippines

Policy Design & Implementation in Developing Countries
National Graduate Institute for Policy Studies (Spring Term, AY 2014 – 2015)
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Highlights

I. **The National Evaluation Policy (NEP) Framework: What is it and why do we need it?**
- Contents of the NEP
- Context: The Government M&E Timeline
- Results-Oriented Public Sector Management (PSM)
- Status-quo of Evaluation Activities in the Government

II. **The Policy-Making Process: How did we formulate it?**
- Major Actors, Timelines, and Instrument

III. **The Policy-Implementation: Where are we now?**
- Continuing Evaluation Strategy

IV. **Summary & Conclusion**

What is it?

Definition (Evaluation)

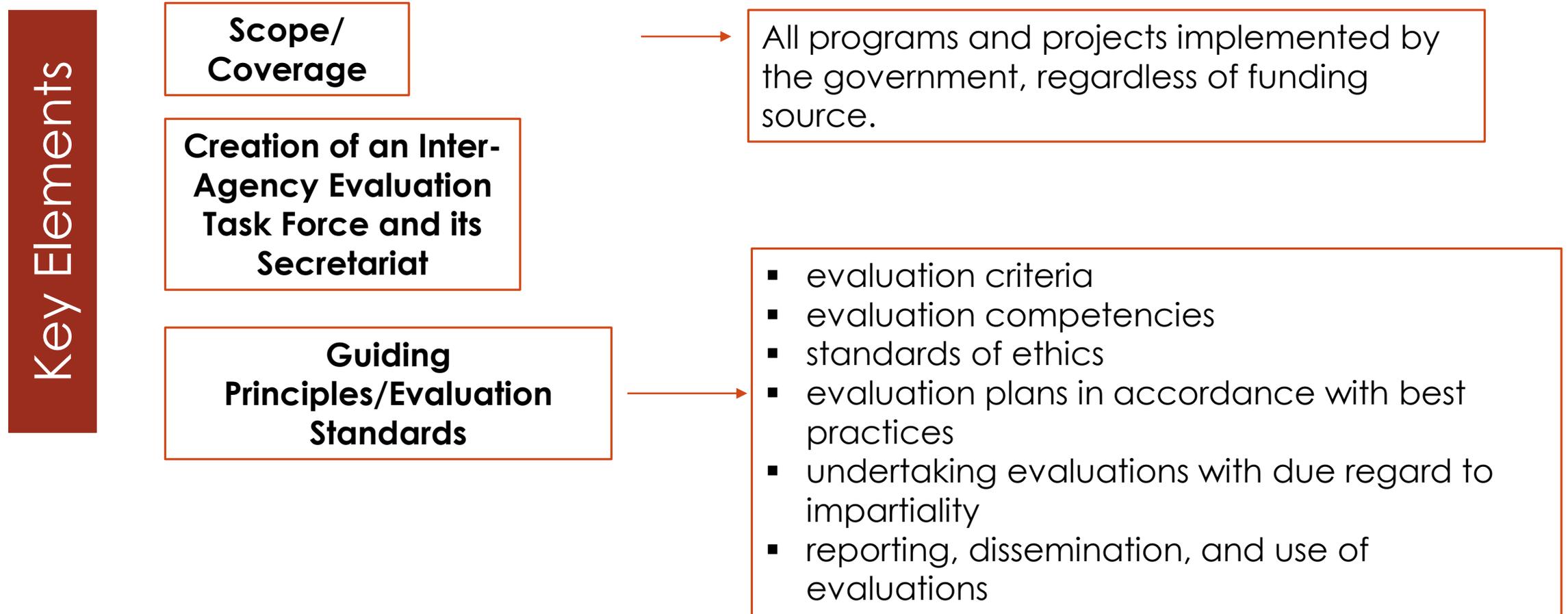| Institution	Definition
OECD - DAC	An **assessment**, as **systematic and objective** as possible, of an ongoing or completed project, program or policy, its **design, implementation** and **results.**
UN Evaluation Group (UNEG)	An **assessment,** as **systematic and impartial** as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc.

Uses (Evaluation)

- **For Learning** - improving future projects and programs through the feedback of lessons learned; for knowledge generation
- **For Accountability** - disclosing information to stakeholders; informing resource allocation

NATIONAL EVALUATION POLICY (NEP) Framework (Joint NEDA-DBM Memorandum Circular No. 2015-01)
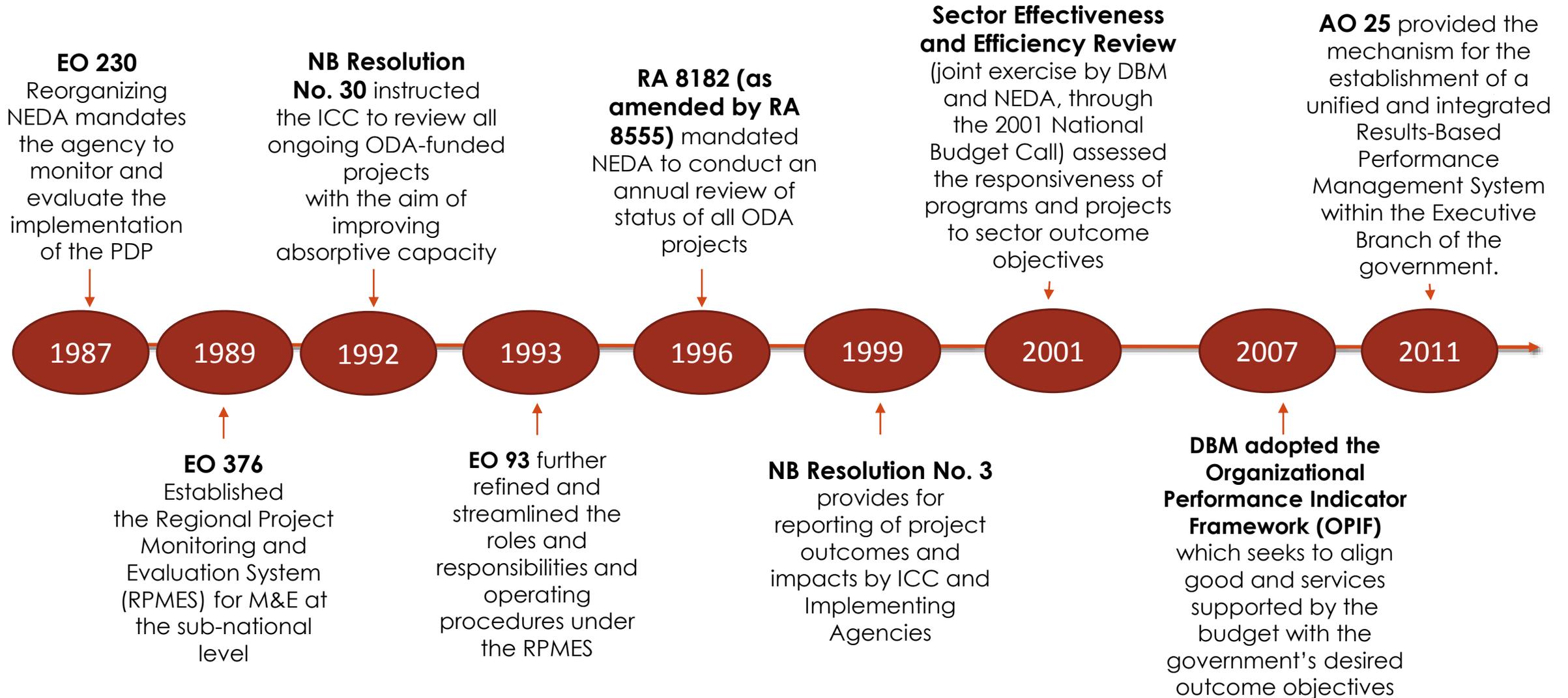
A policy framework to guide the purposive conduct of evaluations in the public sector in support of good governance, transparency, accountability, and evidence-based decision-making.

Contents of the NEP Framework

Key Elements

Scope/ Coverage → All programs and projects implemented by the government, regardless of funding source.

Creation of an Inter-Agency Evaluation Task Force and its Secretariat

Guiding Principles/Evaluation Standards →
- evaluation criteria
- evaluation competencies
- standards of ethics
- evaluation plans in accordance with best practices
- undertaking evaluations with due regard to impartiality
- reporting, dissemination, and use of evaluations

Contents of the NEP

Context: The GPH M&E Timeline

EO 230
Reorganizing NEDA mandates the agency to monitor and evaluate the implementation of the PDP

NB Resolution No. 30 instructed the ICC to review all ongoing ODA-funded projects with the aim of improving absorptive capacity

RA 8182 (as amended by RA 8555) mandated NEDA to conduct an annual review of status of all ODA projects

Sector Effectiveness and Efficiency Review (joint exercise by DBM and NEDA, through the 2001 National Budget Call) assessed the responsiveness of programs and projects to sector outcome objectives

AO 25 provided the mechanism for the establishment of a unified and integrated Results-Based Performance Management System within the Executive Branch of the government.

1987	1989	1992	1993	1996	1999	2001	2007	2011

EO 376
Established the Regional Project Monitoring and Evaluation System (RPMES) for M&E at the sub-national level

EO 93 further refined and streamlined the roles and responsibilities and operating procedures under the RPMES

NB Resolution No. 3 provides for reporting of project outcomes and impacts by ICC and Implementing Agencies

DBM adopted the Organizational Performance Indicator Framework (OPIF) which seeks to align good and services supported by the budget with the government's desired outcome objectives
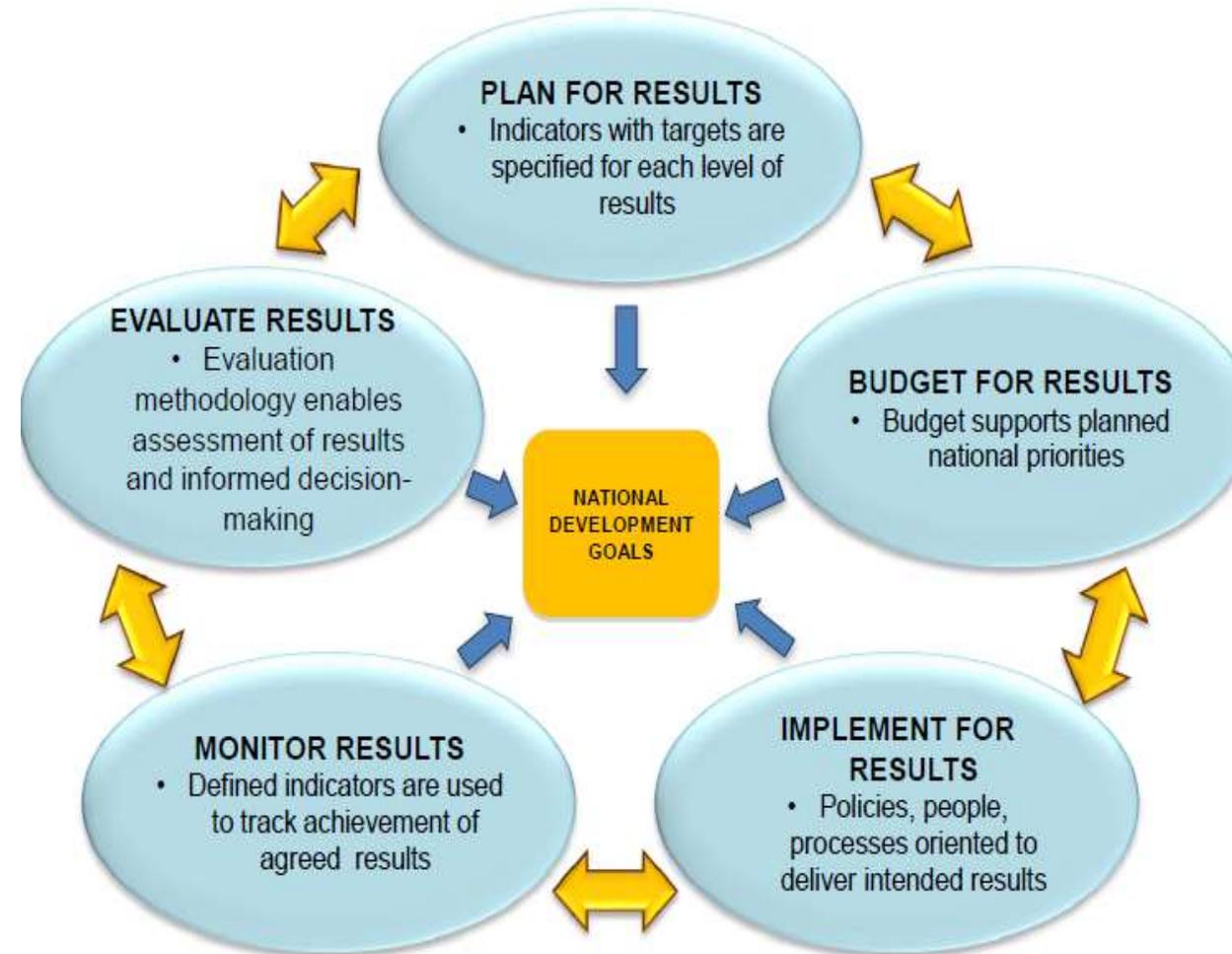
The Public Sector Management (PSM)

Features of Results-oriented PSM:
- Presence of core result attributes;
- Focus on common results
- Interdependency among the components
- Effective vertical and horizontal linkages

PSM Process	Related GPH Process/ Documents
Planning	President's guidepost (16 areas for transformational leadership); Philippine Development Plan (PDP); Results Matrix (RM); Public Investment Plan (PIP)
Budgeting (and Programming)	Medium-Term Expenditure Framework (MTEF); Organizational Performance Indicator Framework (OPIF); Investment Coordination Committee Programming; General Appropriations Act – National Expenditure Program (GAA – NEP), etc.
Implementation	Procurement, Contracting, Disbursement, ICC Reevaluation
Monitoring	Official Development Assistance (ODA) Review; Budget Performance Assessment Review (BPAR); Commission on Audit Reports, etc.
Evaluation	Socio – Economic Reports; MDG Reports; Sector, Program, Project Evaluation Reports

Source: Based on the results-based Public Sector Management (PSM) framework developed by the Asia-Pacific Community of Practice on Managing for Development Results (APCoP-MfDR), as cited in Tungpalan (2012)

Institutional Framework

Key Oversight Agencies

- National Economic and Development Authority (NEDA)
- Department of Budget and Management (DBM)
- Commission on Audit (Constitutional Body)

- Results-based Planning

- Performance-based Budgeting

- Value for money performance-based audits

Existing Mechanisms for the Results-based M&E
(at the national, regional, and local government levels)

- Inter-agency Task Force on the Harmonization of National Government Performance Management, Information, and Reporting Systems (AO 25, series of 2011)
- The Regional Project Monitoring and Evaluation Systems (EO 376, series of 1989, and amended through EO 93, series of 1993
- Project Implementation Officers (PIO System)

Evolving Framework for the
Harmonized Results-based Performance Management System (AO 25)
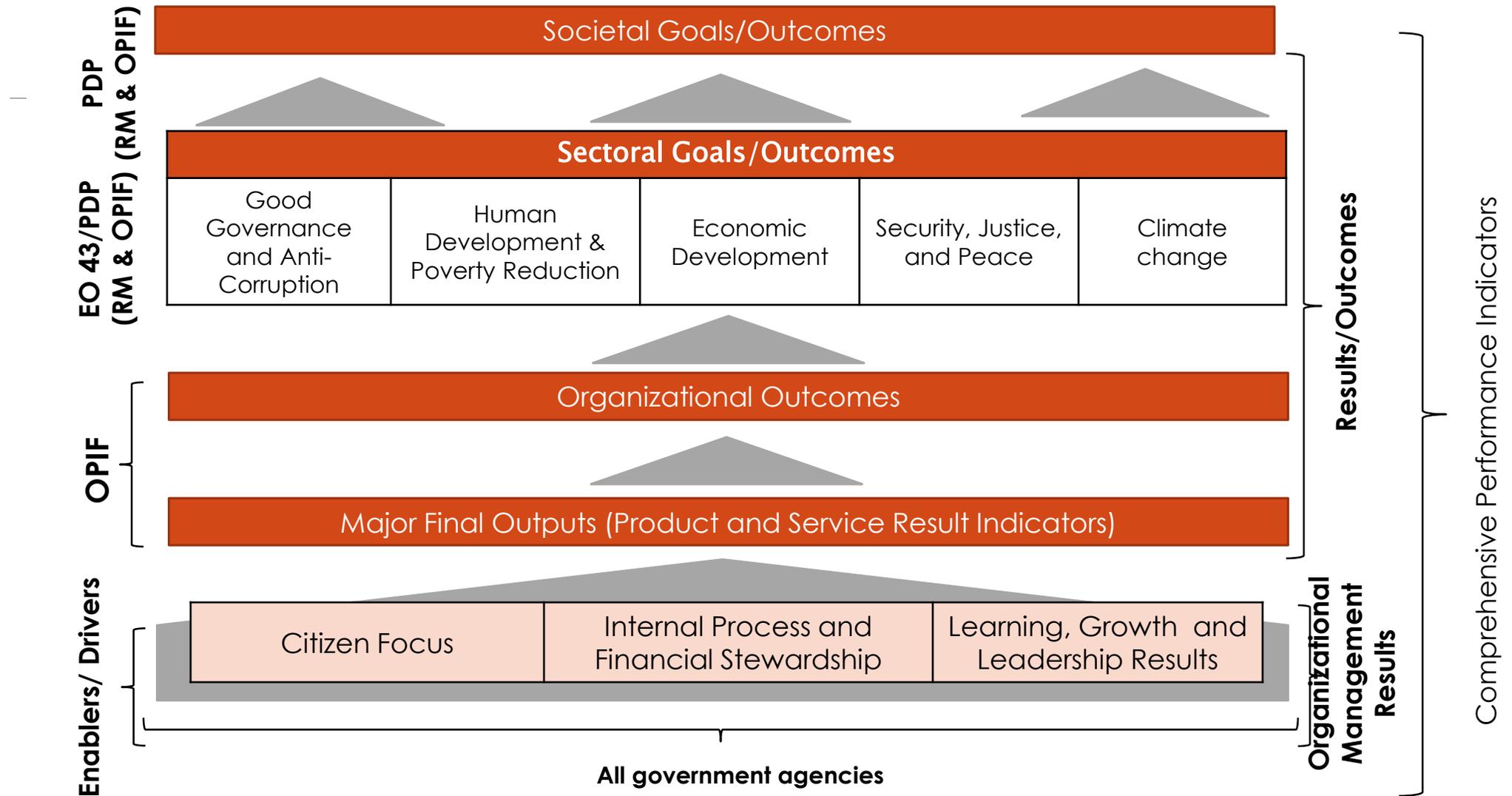
Why do we need it?

Enabling Linkages	Functional Linkages
Diffused Linkages	Normative Linkages

Operating rules & regulations are **lacking** and must be further improved.

Hence, the need to **improve and implement capacity-building initiatives**, and to **develop policies** that would support **results-based management**.

Among these policies include the **NEP Framework.**

Why do we need it?

For the promotion and strengthening of the practice and use of evaluations.

- **Support for Evidence-based Decisions**
  - provide knowledge on **project/program results** enabling **evidence-based decision-making** related to current and future programming
    - <u>outcomes/impact</u>s attributable to the project/program;
    - <u>efficiency</u> with which outcomes/impacts are achieved;
    - <u>extent</u> to which outcomes/impacts align with national priorities.

- **Ensuring Program Improvement**
  - provide **feedback** and **learning** that can help improve current and future programming

- **Ensuring Accountability**
  - provide to the people of the Philippines, donors and other interested parties of evidence-based findings, **both positive and negative** on the status and accomplishments of GPH projects/programs.

Why do we need it?

Evaluation Culture

Criteria	Assessment
Evaluation takes place in many domains.	Emerging
Supply of domestic evaluators in different fields.	Present
National discourse concerning evaluation.	Emerging
Presence of a profession with own societies.	Emerging
Institutional arrangements in the government.	Present
Institutional arrangements in legislative bodies.	Emerging
Pluralism exists (institutions, evaluators)	Present
Evaluation takes place within the audit institution.	Emerging
Outcome evaluations (not output and process)	Emerging

Criteria adapted from Furubu, Rist, Sandahl, 2002, International Atlas of Evaluation. Assessment of country context done by NEDA Deputy Director General Rolando G. Tungpalan, as presented in the 3rd M&E Network Forum, 6 – 8 November 2013

Evaluation Status Quo

Evaluation Activities

- Evaluations more pronounced at the projects and program levels and are usually conducted by development partners through external evaluators;
- Policy evaluations;
- Sectoral evaluations;
- Evaluation of country assistance strategy;
- Country – level evaluation (e.g., Paris Declaration and the Millennium Development Goals;
- Development Plans (national and regional levels)

Evaluation Status Quo

Institutional Mandates

Implementing Agencies	Oversight Agencies	Inter – Agency Committees
▪ Internal M&E system; ▪ Project Implementation Officers (PIO) System	▪ NEDA (planning) ▪ DBM (budgeting) ▪ COA (auditing) ▪ Office of the President ▪ Office of the Cabinet Secretary	▪ Investment Coordination Committee ▪ Project Monitoring Committees under the Regional Project Monitoring and Evaluation System

The PSM, Evaluation Status Quo, & NEP Framework

NEP Framework
(alongside other GPH M&E policies)

→

Evidence-based decisions, accountability, and learning

→

SHARPEN RESULTS FOCUS OF THE GOVERNMENT
(within the context of the PSM)

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1. Supports and strengthens systematic, rigorous and impartial evaluation activities in the GPH;
2. Guides evaluation activities of Government agencies.

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1. Evidence whether GPH policies, projects and program achieve their intended development results (outputs, outcomes and impacts);
2. Provide/ adopt alternative strategies when evidence suggests that results are not being achieved.

MANAGEMENT RESPONSE
- Ensure appropriate management response (follow-through actions) by concerned units to evaluation findings and recommendations.

LINK TO PLANNING
- Ensure that results of evaluations are used as inputs to planning and budgeting processes and subsequent design of similar projects.

How did we formulate it?

Actors:

- **Lead GPH Agencies**: National Economic and Development Authority (NEDA) and Department of Budget and Management (DBM)
- **Other Stakeholders**: GPH agencies, Civil Society Organizations, Academe
- **Consultants:** Donald Hall and Ruperto Alonzo
(with Technical Assistance from UNICEF, expected date of completion on 30 June 2013)

Methodology:

- **Review of other country experiences**
  - Literature review
  - Interviews
- **Interview of stakeholders**
  - **Oversight agencies** – NEDA, DBM, Dep't. of Finance, Office of the President – Presidential Management Staff, Commission on Audit
  - **Implementing agencies** – Dep't. of Public Works and Highways, Dep't. of Interior and Local Government, Dep't. of Agrarian Reform, Dep't. of Agriculture, Dep't. of Health
  - **Other institutions** –House of Representatives, Senate, Academe
  - **Development partners** –UNICEF, Asian Development Bank, United States Agency for International Development, Australian Agency for International Development

Formulation of NEP:

Timeline (Highlights):

Date	Event	Participants/Audience
09 Sep 2013	**Project Implementation Officers Meeting**	**Implementing and Oversight Agencies**
24 Sep 2013	National Project Monitoring Committee/ RPMES* Forum	NEDA Regional Directors and/or representatives
04 Oct 2013	Investment Coordinating Committee of the NEDA Board	Members of the Investment Coordination Committee (ICC)
18 Oct 2013	Public Consultation Forum	CSOs, Academe, Development Partners, M&E Consultants/ Practioners
08 Nov 2013	3rd M&E Network Forum	Senior officials/practitioners of M&E from South and Southeast Asia (i.e., Bangladesh, Nepal, Sri Lanka, Pakistan, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Thailand, Vietnam, and Philippines
31 Mar 2014	NEDA Management Committee Meeting	NEDA Officials
06 June 2014	Joint Analytic Work (JAW) Meeting	Representatives from ADB, WB, JICA, DFAT (Australia) and USAID

*Regional Project Monitoring & Evaluation System

Formulation of NEP:

Timeline (Highlights):

Date	Event	Participants/Audience
16 June 2014	Consultation Meeting with UNICEF	UNICEF Regional Adviser on Evaluation Ada Ocampo, Planning, Monitoring and Evaluation Specialist Hammad Masood, NEDA Director Roderick Planta
07 Aug 2014	NEDA Management Committee Meeting	NEDA Officials
28 Sept 2014	Meeting with selected DBM Senior Officials	Usec. Laura Pascua, Usec. Mario Relampagos, Asec. Maxine Tanya Hamada
09-10 Oct 2014	NEDA-DBM Workshop	Selected NEDA officials and MES Team; selected DBM officials and BPME Team; UNICEF Resource speakers and facilitators
10 Nov 2014	Public Consultation Forum	Implementing Agencies, Oversight Agencies, CSOs, Academe, Development Partners, M&E Consultants/ Practioners
15 July 2015	**Signing of the NEDA – DBM Joint MC**	

Instrument:

Joint Memorandum Circular (MC)
- Deemed to be the fastest route to effectuate the said framework as the current administration is coming to a close;
- Signatories are the heads of NEDA and DBM

Where are we now?

Continuing Evaluation Strategy

Short – Term

- ▪ Issuance of the a **Joint NEDA-DBM Memorandum Circular (MC)** with the creation of main governing bodies, i.e., Evaluation Task Force, an Evaluation Secretariat, and an interim Technical Working Group (TWG)
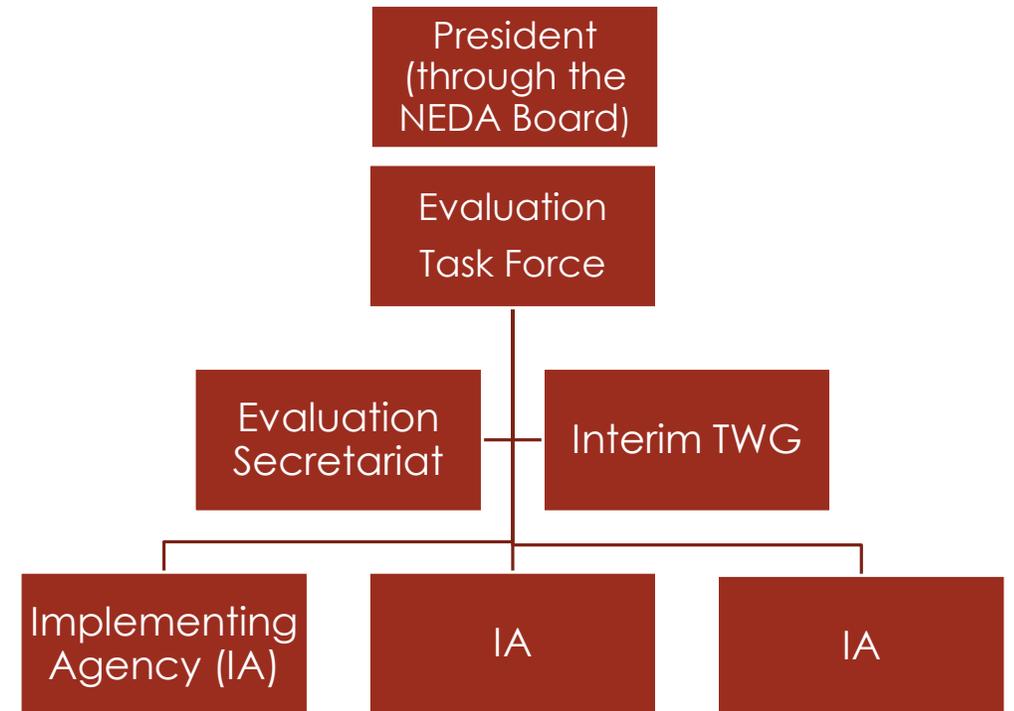
Medium-term

- ▪ The Evaluation Task Force may initiate and lobby the creation of an ad hoc Evaluation Department through an **Executive Order (EO)** which shall directly report to the Office of the President.

Long-term

- ▪ A **legislation** on the *Philippine National Evaluation Policy* may be enacted. Said policy will formalize the creation of an Evaluation Department that is independent of the executive and legislative branch of the Government

Where are we now?

Short – Term Strategy

- Creation and establishment of the **Evaluation Task Force, which may authorize the creation of a sub-cabinet level Technical Committee.**

- Establishment of an Interim Technical Working Group (TWG) to ensure a smooth functional and organizational transition.

- Issuance of separate circular providing details of institutional responsibilities.

President (through the NEDA Board)

Evaluation Task Force

Evaluation Secretariat

Interim TWG

Implementing Agency (IA)

IA

IA

Summary & Conclusion

- The NEP is a product of the shift of results-based public sector management, one that is heavily influenced by the international development community;

- Status-quo necessitates for strengthening and supporting of evaluation activities in the GPH;

- Wide-range consultations across various stakeholders were conducted in the policy-making stage;

- A Joint Memorandum Circular was adopted because it was fastest to approve;

- The NEP is necessary to engender an evaluation culture in the GPH, but challenges (i.e., capacity, financial resources, and institutions) in operationalization remain;

- The medium and long-terms evaluation strategy would ensure that the policy would have stronger effect on government processes in the long-run.

References:

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- Planta, R.M. (2012). Tightening GOP's Results Framework. Presented at the Trainer's Training on Results-based Monitoring and Evaluation, Mimosa Resort, Clark, Pampanga

- Tungpalan, R.G. (2013). National Evaluation Policy Framework Presented at the 2nd M&E Network Forum, Intramuros, Manila.

- Tungpalan, R.G. (2014). The National Evaluation Policy Framework: Engendering an Evaluation Culture in the Philippines. Presented at the 3rd M&E Network Forum, Mandaluyong City.

NEDA Internal Documents:

- Monitoring and Evaluation Staff (December 2014). Memorandum for the NEDA Director General on the National Evaluation Policy.

- Monitoring and Evaluation Staff (February 2015). Aide Memoire for the NEDA Director General on the Philippine National Evaluation Framework.

- Monitoring and Evaluation Staff (N.D.). Institutionalization of the Results-based M&E in GOP Agencies.

Contents of the NEP Framework

Sections	Contents
1.0 Background and Rationale	Highlights results-based initiatives undertaken by NEDA and DBM. Rationale for the policy.
2.0 Policy Framework Statement	Conduct of evaluations in the public sector in support of good governance, transparency, accountability and evidence-based decision-making.
3.0 Purpose	Objectives: (i) support for evidence-based decisions; (ii) promotion of program improvement; and promotion of accountability.
4.0 Coverage	All government agencies/offices/institutions are covered by the Policy.
5.0 Key Elements of the Evaluation Policy Framework	Scope/ Inter-agency Evaluation Task Force and its Secretariat/ Guiding Principles and Evaluation Standards
6.0 Responsibilities	**Implementing Agencies:** - formulate and maintain a rolling 6-year agenda - create neutral evaluation units initially at the central level - evaluation plans during budget submission in accordance with best practices - ensure management response to evaluations and the use of evaluations **Evaluation Task Force** - provide overall policy directions and coordination on the evaluation agenda/ issue evaluation guidelines **Evaluation Secretariat** - provide technical and administrative support to the Evaluation Task Force **Interim Technical Working Group** - ensure smooth functional and organizational transition

Contents of the NEP*

Sections	Contents
7.0 Adoption/ Implementation of the Policy Framework	Adequate resources for IAs and Evaluation Secretariat Orientation and training program for relevant personnel
8.0 Policy Framework Amendment	Revision policy based on formative and summative evaluations
Annex A: Evaluation Criteria	Specifies questions that evaluations need to address: (a) Relevance; (b) Effectiveness; (c) Efficiency; (d)Sustainability.
Annex B: Evaluation Competencies	Those engaged in designing, conducting and managing evaluation should demonstrate competencies on: (a) technical foundations; (b) leading, managing and delivering evaluations; (c) communicating and sharing evaluation findings; and (d) integrity.
Annex C: Ethics	Prescribing standards of ethics in undertaking evaluations
Annex D: Best Practices in Evaluation	Lays down best practices in evaluation in terms of (a) evaluation scale, and (b) evaluation design and execution.
Annex E: Impartiality	Ensuring impartiality in order to maximize objectivity and minimize potential for bias.
Annex F: Reporting, Dissemination, and Use of Evaluations	Prescribing guidelines on reporting, dissemination and use of evaluations.