



## Exit Report M&E Specialist, December 2004



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## ***Executive summary***

A number of short M&E missions were undertaken in the period April - December 2004 that comprised the following tasks:

- Development of the AIPMIS for LGUs and integration with the BDPMIS
- Follow up on improvement of UDP's internal MIS
- The organisation of the intervention evaluation study
- Design of a programme for community-based M&E.

### *1. Development of the MIS on the Annual Investment Plan (AIP)*

Within the context of the LGU capacity building programme, the development of the MIS was considered an important input. The system was expected to integrate all aspects of the LGU's AIP and not to be limited to UDP-related interventions. Second, the system would have to be integrated with the MIS on Barangay Development Plan ("BDPMIS") that was being developed by the GIS Specialist.

The activity comprised the following activities:

- Initial assessment of LGU needs in selected municipalities and system analysis
- Assessment of relevance and applicability of existing MIS on project planning and monitoring ("PRIME") that was developed by the M&E Specialist
- Modification of existing MIS: change to MSAccess database, development of new modules and re-design and programming of system and user-interface
- Integration with the BDPMIS that was also under development
- Workshop with all MPDOs and selected LGU Accounts staff to present and validate proposed system
- Development of a user Manual
- Installation and pilot testing of MIS in selected LGUs.

The pilot testing showed positive results. A few tasks should be completed before the MIS can be deployed.

### *2. Follow up on improvement of UDP's MIS*

After the first M&E mission, a number of simple suggestions were provided for a quick improvement of the current MIS (given the fact that UDP could not afford time-consuming or costly changes at this stage):

- Include the new logical framework into the MSAccess database and link the logical framework activities to the existing AWP&B module (i.e. listing of projects, training and research/other activities). The M&E Specialist participated in a workshop that was held with the Planners to link the AWP&B sub-categories to the relevant logframe activities.
- Finalization of the AWP&B progress report module in MSAccess in order for progress reports to be linked to the logframe and AWP&B modules. This was accomplished by the MIS Specialist who installed the module at the PPOs.

### *3. The organisation of the intervention evaluation study*

In the previous mission report a number of weaknesses were observed with respect to UDP's M&E system. One of the limitations is that the system provides little

information on performance, quality and outcome. It was therefore thought useful to conduct a study on the outcome of the various interventions in the field. The M&E Specialist developed a detailed TOR for the study and invitations were sent to different institutions. Initial proposals were received from 5 research institutions. However, due to a number of reasons the programme-wide study was cancelled. Instead, it was decided to conduct 2 smaller surveys in 3 Provinces that were selected on the basis of significant differences in implementation, results and cultural background. Two of the best rated institutions were invited to submit a proposal. However, due to the budget limitations, one of the institutions withdrew their proposal, so eventually only SHED Foundation will undertake the 3 months study in South Cotabato and Sarangani starting in December.

#### *4. Design of a programme for community-based M&E*

The M&E Specialist visited a number of UBAs with concrete activities to assess their level of M&E. The visited UBAs have all established some sort of monitoring system though in most cases not very structured. A number of initiatives have been undertaken by different organisations, including PPOs and by UBAs themselves to monitor their activities. However there is no coordinated effort. A PME manual was developed by the previous M&E Specialist but this was never implemented. Given the manpower constraints at UDP to spearhead the activity it is proposed to design a simple CBM&E approach (and manual) and instruct contracted service providers, who will coach CBOs as part of the BDP process and train selected UBAs. Second, it is suggested to contract a local consultant who will document the existing recording initiatives of selected UBAs in order to devise a simple recording system of UDP-related interventions that would serve as a sample model for UBAs and also function as a minimum joint monitoring system that could be used by UBAs, LGUs and UDP. This will also be important to UDP as with the reduction of PPO staff in 2005, the UDP MIS will be difficult to maintain if not supported by systematic record keeping at the local level.

#### *Proposed TA input in 2005*

The TA input will focus on the finalization, training and implementation of the LGUMIS and on the establishment of the CBM&E system. In addition, the intervention evaluation study in South Cotabato and Sarangani will be reviewed.

## 1 Introduction

The second M&E mission was undertaken in the period April - December 2004. It comprised a number of short missions, but it is treated as one assignment due to the fact that the consultant worked on the same activities within the same TOR.

The M&E Specialist's TOR included the following main activities:

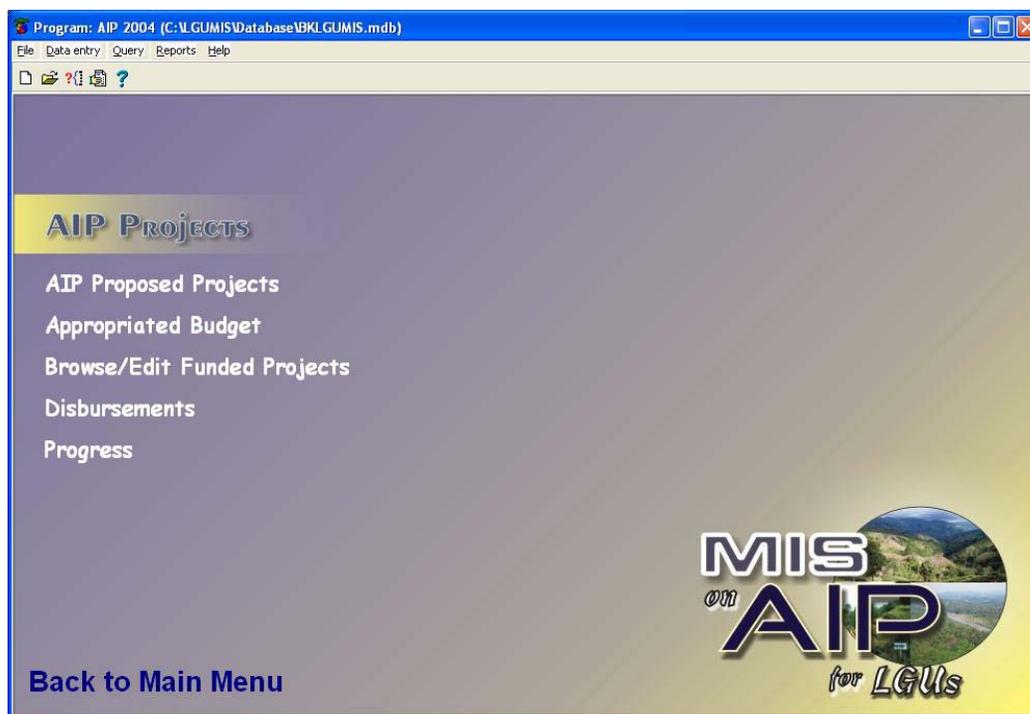
- Development of the AIPMIS for LGUs and integration with the BDPMIS
- Follow up on improvement of UDP's internal MIS
- The organisation of the intervention evaluation study
- Design of a proposal for community-based M&E
- Other support activities as required by the project.

Most time was spent on the first task, the development of the AIPMIS.

## 2 Results of the TA Input

### 2.1 Development of AIPMIS

Within the context of the LGU capacity building programme, the development of the MIS was considered an important input. In order for the system to be useful and relevant to the requirements of the LGU, it was expected to integrate all aspects of the LGU's Annual Investment Plan and not be limited to UDP-related interventions only. Second, the system was to be integrated with the MIS on Barangay Development Plan ("BDPMIS") that was being developed by the GIS Specialist. For a description and screenshots of the system see Annex 1.



The activity comprised the following activities:

- Initial assessment of LGU needs in selected municipalities
- System analysis
- Assessment of relevance and applicability of existing MIS on project planning and monitoring ("PRIME") that was already developed by the M&E Specialist
- Modification of PRIME in accordance to requirements and system analysis: change to MSAccess database, development of new modules and re-design and programming of system and user-interface
- Integration with the BDPMIS that was also under development
- Workshop with all MPDOs and selected LGU Accounts staff to present and validate the proposed system
- Development of Manual
- Installation and pilot testing of MIS in selected LGUs.

The activity took longer than expected because of the following reasons:

- The assumption that the municipal LGUs use the same format for their AIPs proved to be wrong<sup>1</sup>. The first version of the system was developed on the basis of an initial assessment in a few selected LGUs. However, during the pilot testing, it became clear that the LGUs use different formats and methods of data recording which necessitated further modifications to the system. In principle, the AIP format is standardized for all MLGUs, but in practice the actual AIP format varies and the MLGUs have different perceptions on how to record the information. In order to address this problem a workshop was organised with all MPDOs and some Accounts staff. The agreements in the workshop formed the basis for further changes that were made to the system.
- The integration of the AIPMIS with the BDPMIS complicated the development of the AIPMIS as both systems had to be adapted to accommodate each other's functionalities and common database tables. Changes were made in the source code as well as in the database structure.
- After testing and demonstration of the AIPMIS in the workshop, it became clear that LGUs have limited experience with database systems. As they are mostly using Excel worksheets, the MPDCs wanted the system to emulate Excel type of lay-out and data entry methods. Though this is not fully possible in a database programme, the data entry forms were changed and functionalities were added that enable data entry in a grid form.

The final pilot testing in Tupi on the 13<sup>th</sup> of December showed positive results and generated substantial interest.

The following tasks should be completed before the MIS can be widely deployed:

- Development of a number of standard reports and graphics (+/- 1 week)
- Development of Help menu (2 days)
- Development of access rights for various users (1 day).
- Include a simple module for field visits by municipal officers and technicians (recommendation of the workshop - 2 days)
- Training of selected municipalities of different provinces for final pilot testing of about 2 weeks and debugging (few days as no major bugs are expected)
- Further integration of AIPMIS and BDPMIS in terms of appearance, fonts, etc.
- Final training and deployment of other interested municipalities.

A CD with the source code and Delphi components that are used in the programme was left with the GIS programmer. The further development and deployment of the

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<sup>1</sup> See attached Workshop report for a detailed assessment

system is dependent on the schedule of the BDPMIS design. It is planned to finalize the system and do the final pilot testing with a number of selected LGUs of different provinces in April 2005. By that time the BDPMIS is also expected to be finalized and ready for final testing.

## 2.2 Review of UDP M&E system

The program developed an extensive planning and progress reporting system that is partly supported by the MIS. Progress reports are submitted on a monthly basis. Much of the field data derives from the ATs who report on project progress to the MPTs. The PPOs compile the MPT reports into a PPO report that is submitted to the PMO. MSOs submit separate “qualitative” reports directly to PPO management and Co-directors.

Though the system looks quite impressive in terms of detailed data gathered, a number of weaknesses were observed that were also mentioned by the MTR. Without going into detailed technical discussions, the following major problems are mentioned:

- Focus on detailed activity and output reporting and too little analysis of performance, quality and effects. The current system is basically a quantitative reporting tool that does not seem to contribute sufficiently to an understanding of the program performance. This weakness was recognized by management and it was decided that some internal assessments of key program activities be undertaken, such as SAD/DFS implementation, LGU capacity, quality of extension and infrastructure maintenance. Though the assessments are an important means of getting feedback on program performance, the methodology should be improved upon. The assessments should be further systematized and institutionalized, and the results should be included in a database for future reference in order to see the trends and changes over time.
- The quality of monitoring and reporting from the field varies considerably. While some ATs and MSOs consistently monitor their projects and keep detailed records, others do not seem to follow a systematic approach and write scanty reports that provide little useful information.
- The reliability of data, especially of the monthly reports, is questionable because of delays, missing figures, not updated records, errors in the compilation process, etc. Reports from the MPTs are often delayed.
- No clear relationships exist between different reporting formats (i.e. project progress, activity performance AWP, logframe OVIs, qualitative reports MSOs, etc.). This sometimes results in contradictory findings, such as high achievement of result OVIs and low performance of AWP activities. It also complicates the compilation of reports at the higher level as the data cannot be aggregated or linked and adds to the reporting burden as different formats are required for the same activities/results.
- Data entry and processing are not efficiently organized and the MIS does not integrate all required information into a relational database. The system requires re-typing, duplicate data entries on different platforms and manual manipulation for the compilation of reports. Sometimes only hard copies are provided. The compilation of the monthly progress reports takes 1-2 weeks of a person’s time depending on his/her position.

In order to improve the system the following activities were recommended:

- Integration of the different planning frameworks. The activity section of the new logical framework replaces the GWP. Targets for the activities were obtained from the previous logframe result OVI and the GWP. However, not all targets were retained. Especially the targets for facilitating activities and activities that are demand-driven or part of a process were omitted from the new logical framework. The AWP&B listed projects, trainings, research and other activities are now linked to the logical framework activities. Some problems were encountered in this process because of the component-based structure of the AWP&B coding system that could not be structurally changed because of the implications this would have for the accounting system that follows the same logic.
- Linking of the logical framework, AWP&B and Progress reports in a relational database (MIS). This will significantly reduce time needed for data entry and analysis (this is discussed in the next section on MIS).
- Identification of the required M&E activities on the basis of the logframe. Particularly with regard to the analysis of quality and effects, it is important that some measures be institutionalized. Important topics are:
  - Sustainable agriculture/DFS – (1) systematic monitoring of inputs, outputs and adoption rates, (2) evaluation of quality of implementation and results/effects, (3) validation of assumptions on best practices with respect to soil, slope characteristics and crop selections, i.e. what is the effect of wrong implementation, for example hedgerows on steep slopes? In some areas the adoption rate is already high but implementation reportedly not according to UDP technical specifications. What are the implications of this?
  - Resource management, conservation and protection – M&E of quality of implementation, survival rates of trees planted, maintenance and management regimes, ordinances, etc.
  - Capacity of LGUs and CBOs – M&E of planning, management and support provided by both LGUs and CBOs.

A proposal to that effect has been submitted.
- Streamlining and logically linking of the reporting system from field level to PMO, i.e. ATs, MPT, MSO, PPO, PMO and integration of quantitative and qualitative reports. Coaching of ATs and MPTs in monitoring and reporting

### 2.3 Review of the UDP's internal MIS

During the first M&E mission, some weaknesses were observed with respect to the MIS' technical design and functionality (fragmentation of the databases, incompatible platforms and weak database design) that resulted in serious limitations of its use, efficiency and effectiveness. In order to improve the system and in line with other changes made to the planning framework, a number of simple recommendations were provided for a quick improvement of the current MIS (given the fact that UDP could not afford time-consuming or costly changes at this stage):

- Include the new logical framework into the MSAccess database and link the logical framework activities to the existing AWP&B module (i.e. listing of projects, training and research/other activities).
- Finalization of the AWP&B progress report module in MSAccess in order for progress reports to be linked to the logframe and AWP&B modules.

- Ensure that the PPO datasets are included in a consolidated database at the PMO in order to facilitate an easy analysis of progress at total UDP level.
- If time permits, modify the database to make it more efficient.

With respect to the first recommendation, a few conceptual problems had to be resolved when linking the AWP&B sub-categories to the relevant logframe activities as some sub-categories could be linked to more than one logframe activity and for other activities no sub-categories existed. Therefore, a workshop was held with the PPO Planners and PMED in which the MIS Specialist and M&E Specialist also participated. Eventually all AWP&B sub-categories were linked to the logframe activities.

With respect to the technical work, it was not suggested to overhaul the database completely but only to make a few changes that were necessary for carrying out the first two recommendations. The MIS Specialist however, decided to re-design the database first before working on the other tasks. Though commendable from a technical point of view, it resulted in some further delays. Nonetheless, the tasks were accomplished and by December 2004, the system was installed at all PPOs. According to the MIS Data Controllers of PPO5 and PPO3, the system works well except for some automatic calculations that need to be adjusted. A follow-up of the system early 2005 by PMED and the MIS Specialist is required to detect and correct any bugs or problems that might still appear.

## 2.4 Community-based M&E (CBM&E)

### 2.4.1 *Conclusions previous report, planned activities*

The previous mission report concluded that the capacity development of community leaders with respect to M&E should be linked to concrete activities in the field and integrated into the COD process. In order to be successful, the CBM&E must be:

- part and parcel of a community organization building exercise that provides a clear institutional framework for CBM&E (“*well functioning UBA with clear responsibilities and activities*”)
- integrated and linked with concrete activities and projects in the field that are perceived important and relevant by the community
- preferably part of a program that requires some commitments and common work schedule of the community and the services delivery institution.

It was proposed to follow a two-pronged approach:

- develop a CBM&E training and coaching program, taking into consideration the above mentioned aspects
- in collaboration with selected community leaders and BLGU/MLGU, develop some simple uniform tools for the regular monitoring and recording of projects and activities that suits both the CBO and supporting LGUs.

The development of the “model” would be undertaken in piloted barangays, one per province.

### 2.4.2 *Activities undertaken, observations*

A number of well organised UBAs with different concrete activities were identified in each Province:

- Kingking/Pantukan, PPO1
- SIDOUCCO/San Isidro, PPO2
- Pitu/Malalag, PPO3
- Kinabalan/Malungon, PPO4
- Albagan/Tampakan, PPO5.

The M&E Specialist visited these UBAs to assess their level of M&E, except for Kingking, which was cancelled at the last minute.

The visited UBAs all established some sort of monitoring system, of which some are very informal and others are more structured. In many cases, monitoring is done informally and progress is reported on through UBA meetings by UCO leaders. Structured recording is mostly initiated by service providers, BEWs, ATs, MSOs, Municipal Engineers, etc. especially when funds and payments are involved. In PPO5, BEWs have a detailed recording system that does not seem to be fully used.

With respect to evaluation and assessments, not much has been done. ICRAF organised two M&E workshops for FTGs and interested farmers, in which the participants were asked to identify their own success indicators and rate their own performance and the support provided by the various providers. This type of self-assessments would also be useful for UBAs, but no systematic efforts have been undertaken so far. Some UBAs agreed that it would be useful to review all their programmes annually and list the achievements, problems and solutions, and adjust their plans for the next year. They were also interested in getting more training on CBM&E.

Apart from these visits and reviews, the M&E Specialist did not go into the detailed development of the methods and instruments because of time constraints (the development of the LGUMIS required more time than expected) and because of some structural issues that should be resolved in order for the activity to be undertaken in a sustainable manner.

#### 2.4.3 *Institutional arrangements*

The institutional arrangements for providing support to this activity are not very clear. Before the M&E methodology and instruments can be developed, the institutional framework must be established so that it is clear who will be responsible for the further development and support of this activity. It could be argued that PMED would be the right division to handle this but the same could be said for CIDE or maybe for some other divisions when it comes to the more technical M&E aspects. Furthermore, the question is whether these divisions have the time and manpower to spearhead the activity, conduct the field work and provide the regular support and follow-up? Or alternatively, should the activity be contracted out to a service provider?

It would not be appropriate to develop certain M&E tools or yet another manual without having a clear picture of the institutional support mechanisms that will be put in place to sustain the activity. Actually, a lot of efforts have already been undertaken in the past, but rather in an un-coordinated manner:

1. A PME manual was developed by the previous M&E Specialist in 2001 that was never operationalised as it was considered too complicated. Actually, the relevant part of the manual is not really that difficult but the way it is written gives it too much a text book appearance. Nonetheless, the methodology and the steps followed are still valid. Most likely, another reason for not

implementing the PME manual is the lack of clarity on the institutional framework and responsibilities for implementation. It was not indicated whether the activity should have been implemented on its own or whether it should have been integrated into other UDP intervention programmes such as COD/ID? In fact, M&E is part of the project management process and the training on CBM&E should have been included as an integral part of the COD/ID activities. Originally, the intention of the previous M&E Specialist was to make the PME training part of the CWP development and UBA capacity building process, but this has not been systematically undertaken. Though M&E Committees have been established at UCO and UBA levels, and M&E activities are usually planned for in the CWPs and the BDPs, there is no clear methodology on how to carry out the M&E and in many cases the M&E activities are simply not undertaken.

2. At the same time, different organisations, including PPOs and UBAs themselves have tried to establish monitoring and recording systems based on indicators identified by community leaders, BEWs, ATs, MSOs, PPO staff, service providers and others. In some PPOS workshops were organised and indicators established. Many of these initiatives resulted in heaps of forms that were successively modified or even dropped. Though these initiatives are commendable, they are sometimes also counterproductive when the system is not found highly relevant and simple enough by the community end-users. In fact, some of the interviewed UBAs clearly indicated that the training they received on M&E was not very useful and in fact has given them the idea that monitoring is a complicated exercise that involves the collection of large sets of data that is mostly done to satisfy the needs of the service provider.

The discussion shows that if UDP still wants to support UBAs and CBOs with CBM&E, a clear institutional framework, a coordinated effort and a proper methodology are required. It should be clear who will spearhead the activity and what approach should be followed.

#### *2.4.4 Conclusions and Recommendations*

1. In view of the scaling down of PPO staff and of the limited time and manpower available for PMED or CIDE to develop and implement the CBM&E, other institutions have to be found that could spearhead the activity and do the actual training, implementation support and follow-up in the field. PMED or CIDE could be responsible for the overall supervision at UDP.
2. As proposed in the previous report, the development of CBM&E could comprise two different complementary activities:
  - (a) Capacity building of UBAs in CBM&E and design of their own M&E system (e.g. indicators, methodology, responsibilities, use of findings, etc.).
  - (b) In collaboration with selected UBAs, review existing recording instruments and develop some sample uniform tools for the regular monitoring and recording of projects and activities that suits both the CBO and supporting LGUs.

These two activities might appear somewhat contradictory as the second activity looks like an extension of the UDP/LGU reporting system that seems at odds with the participatory approach of the first activity. However, it is not. The purpose of the second activity is to help the UBAs design their M&E

instruments through the identification of some sample tools, based on existing practices. As the interventions are basically the same, some simple indicators could be identified that would serve as an input to the first activity (design of own CBM&E). Though UBAs should be left free to choose their own indicators and monitoring tools, there is no need to invent the wheel every time and the sample tools could serve as an input to their CBM&E system design.

Second, it cannot be denied that there is a clear need on the part of the service providers (UDP, LGUs, others) to keep some records on project progress. Many different systems have been put in place, depending on the interest of the particular BEWs, ATs, MSOs, UDP staff and others. The establishment of a basic uniform recording system would help all stakeholders, including the UBAs as it will strengthen the joint responsibilities. In fact, this is happening already with respect to activities that involve some funds, such as road maintenance by UBAs. Forms have been designed jointly by the Municipal Engineer, UBA and UDP for the planning and monitoring of activity progress. Such systems could be easily standardized so that they serve all partners involved. However, it is important to keep the system basic and very simple and not to have multiple forms for each and every intervention.

The system could also form the basis for UDP monitoring in 2005. With the reduction of staff at the provinces, the UDP monitoring system might be very difficult to maintain if no additional recording is done at UBA level.

3. The CBM&E capacity building activity could be implemented through:

- the integration into the BDP process (the already contracted service providers introduce the system as part of their BDP programme)
- training and coaching of selected UBAs (one service provider could be contracted for carrying out this activity in different provinces).

The activity involves the following steps:

Activities	Responsible persons/institutions
Design of a simple CBM&E methodology and manual. This could be adapted from existing PME experiences and documents.	M&E Specialist or contracted out to local experienced PME Consultant (1 week at most)
Training and instruction of service providers on the methodology	M&E Specialist or contracted out to local experienced PME Consultant (2 days)
Capacity building and workshops with UBAs	Service providers
Follow-up and coaching of implementation	Service providers
Supervision of service providers	PMED / CIDE

4. The design of simple recording tools of UDP interventions would comprise the review of existing initiatives already undertaken by different UBAs and the development of a sample set of indicators and recording formats. It is recommended to contract a local consultant for 2 months who is already familiar with UDP. The consultant would visit a number of selected active

UBAs that have established some recording tools and come up with a proposal for a consolidated simple recording format, taking into consideration minimum UDP and LGU monitoring requirements. The proposal should be discussed with major stakeholders and subsequently be introduced to MLGUs/BLGUs and UBAs. It is important to stress that the system should be simple and the whole exercise should not take more than 2 months at most. By March 2005 the system should have been introduced and be running in all Barangays.

### 3 Proposed TA activities 2005

The TA input in 2005 will focus on the finalization, training and implementation of the LGUMIS and on the establishment of the CBM&E system. In addition, the intervention evaluation study in South Cotabato and Sarangani will be reviewed. The total remaining time is about two months. The M&E Specialist was informed that the EU Delegation will be asked to allocate some more time to the M&E consultancy but the outcome is not clear at this time. The first input will be provided in April 2005. all inputs will be provided in close consultation with PMED and other relevant UDP divisions.

Activity	April				2 <sup>nd</sup> month				Responsibility
	1	2	3	4	1	2	3	4	
1. LGUMIS									
- finalization of MIS	x	x							M&E Sp./ GIS Sp.
- training of selected MPDOs		x							M&E Sp./ GIS Sp.
- pilot testing			x	x					MPDCs
- review and modifications					x	x			M&E Sp./ GIS Sp.
- training and deployment interested LGUs							x	x	M&E Sp./ GIS Sp.
2. CBM&E									
- development of manual (act1)			x	x					M&E Sp.
- review of recording system (act2)			x						M&E Sp./local consultant
- training of service providers				x					M&E Sp.
- follow-up						x	x	x	
3. Intervention evaluation studies									
- review of report	x								M&E Sp.
- assistance other studies (?)				x	x				M&E Sp.

## **ANNEX 1 – Description of AIPMIS, modules and functionality**

### **1 Objectives of AIPMIS**

AIPMIS is a **management tool** that helps the MLGUs with the planning and monitoring of their AIP programmes, projects and activities. Apart from its usefulness with respect to the daily planning and monitoring, AIPMIS could also be used as a tool to learn from the past experiences and to improve programme quality, effectiveness and efficiency.

### **2 Structure of AIPMIS**

AIPMIS includes the following data entry modules:

- Programmes or AIPs (for example AIP 2004),
- Projects and sub-projects (of a selected AIP):
  - general information and planning (budget, quarterly schedule, expected outputs)
  - projects selected for funding and appropriated budget
  - disbursements
  - monitoring of progress and performance (physical, financial, processes),
- Information on specific outputs (i.e. study findings, evaluations, trainings, etc.),
- General data (i.e. barangays, sitios, institutions, employees, sectors, etc.).

The basic structure of the AIPMIS dataset can be illustrated as follows (see illustration next page):

#### **a. Overall AIP Programme – definition of AIP**

The AIPMIS structure starts with the definition of an investment programme, for example, AIP 2004. An LGU might define different programmes in the same AIPMIS database, but when running AIPMIS one has to work only with one programme at a time. After selecting an AIP programme, all other information is related to that particular AIP. The name of the selected programme and the location of the database appear on top of the Main screen.

#### **b. Planning framework, AIP projects and sub-projects, budgets**

Next, basic data for Projects and related sub-projects or activities are recorded, including titles, location, quarterly release schedule/budget requirements, expected outputs, etc. The AIPMIS includes a facility for importing projects from the BDP into the AIP (only possible if the BDPMIS is also installed).

#### **c. Approved/funded projects, appropriated budget**

Not all proposed projects that are listed in the AIP are approved by the Sangguniang Bayan and those projects that are approved might be allocated less funds than the originally projected budget. AIPMIS has a facility for selecting the projects that are approved and for determining their real budget.

d. Implementation, progress

Different modules for implementation and progress reporting are included in the system:

**d.1 Disbursements**

The recorded disbursements enable to relate the planned budget with the actual costs incurred, showing the balances left for each sub-project, project, office, sector, or total AIP.

**d.2 Progress Reports**

For each project and its sub-projects, a progress report can be recorded that summarizes the progress in relation to the Plan (i.e. achieved outputs, expenditure, problems, etc.).

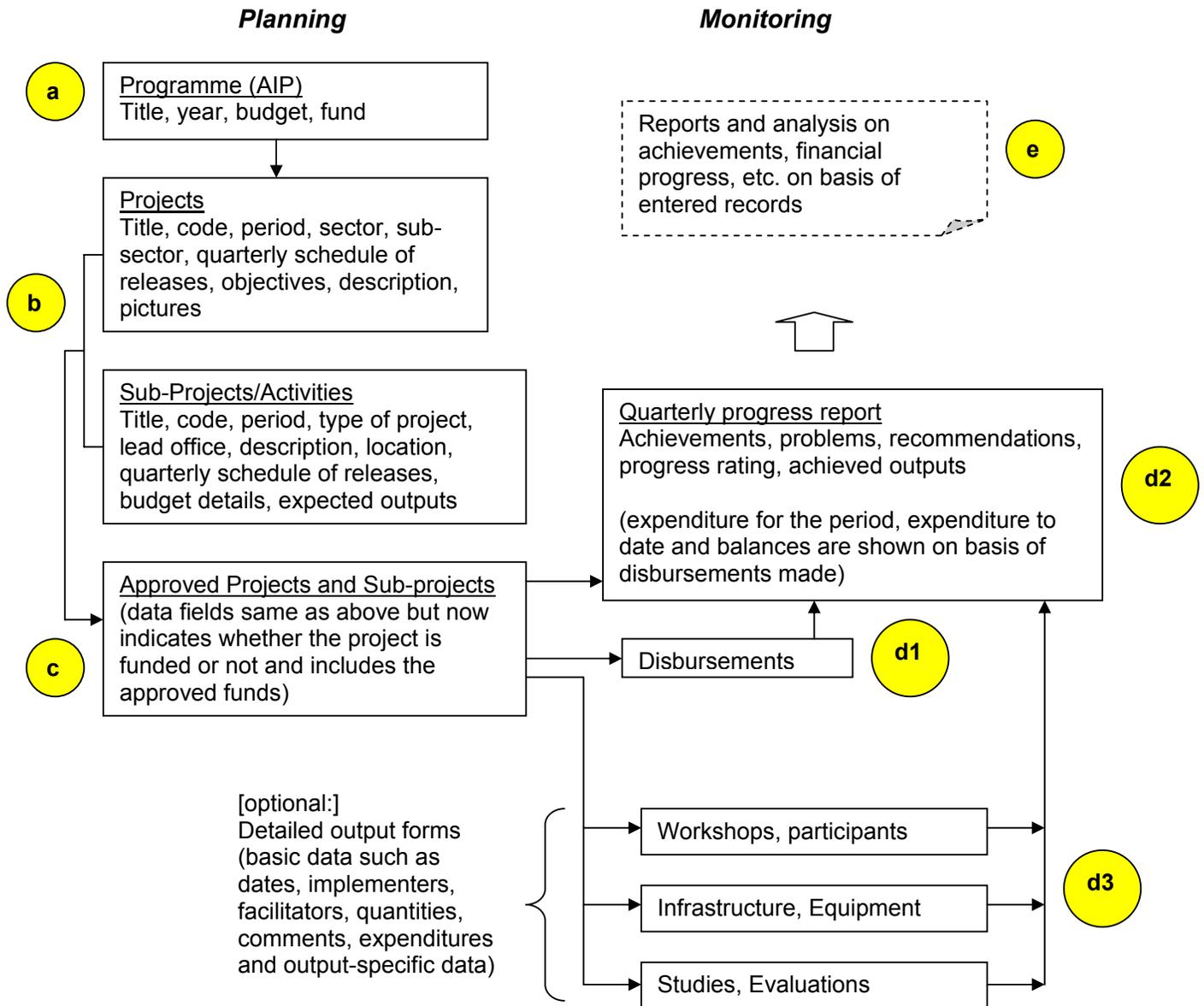
**d.3 Detailed outputs forms (*optional*)**

At the most detailed level achieved outputs can be recorded on the so-called output forms. A number of forms have been designed for the most common types of activities:

training, infrastructure/equipment, and studies/evaluations. The forms serve different purposes:

- physical and financial progress monitoring of the planned activity and output (implementation dates, achieved quantity of outputs, and expenditure).
- process monitoring (qualitative information and comments on the implementation process, quality of outputs and need for follow up action).
- information (descriptions, general comments and major findings).

## Structure of AIPMIS (data entry)



**Data entry:**

- a - overall AIP programme*
- b - proposed AIP projects and sub-projects*
- c - approved and funded projects*
- d - project progress:*

- d1 - disbursements*
- d2 - quarterly progress (achievements, indicators)*
- d3 - detailed output information - optional*

**Analysis:**

- e - retrieval of information through standard reports or query builder*

## 2 Screenshots of Project data entry functions

b – proposed projects and sub-projects AIP

There are options for data-entry:

1. direct data entry in the grid (see next illustration)
2. data entry in a separate edit-form

Type the first letters of a project title to quickly move to the first project that matches your entry.

The recorded projects are listed by sector. Click other RadioButton to show by sector and sub-sector, or by sector and office.

After editing, click OK to Save the changes or Cancel to undo changes

The sub-projects shown in bottom grid belong to the project selected in top grid – in the example Upland Irrigation System. If you select another project, the list of sub-projects changes

Title	Description	Objectives	Impl. Office	From	To	Q1Budget	Q2Budget	Q3Budget	Q4Budget	TotalBudget
BDP3	test data	Objective Objective 1 OM	February	December		3,234	7,678	2,988	6,100	20,000
New project in Kablon sitios	some description of t	Objective of New pi	MSWDD	January	May	4,000	3,000	2,000	40,000	49,000
Upland Irrigation System (BDP Linan)	Establishment of an i	Provide regular supp	MSWDD	January	October	90,000	300,000	210,000	0	600,000

Title	Description	Objectives	Impl. Office	From	To	Location/level	Exp. Class	Q1Budget
1. Survey and design	Assessment of farma	To ensure feasibility	RHU	January	February	Barangay	6	60,000
2. Construction of irrigation works	Construction of main	To put actual structu	RHU/BHW	March	August	Barangay	3	20,000
3. Training of farmers and establish	3 workshops: II- awar	To build capacity of I	RHU/BHW	January	August	Barangay	5	10,000

c - Approved/funded projects, appropriated budget

1. Check checkbox *Funded?* to indicate that project is approved and funded

2. Type the appropriated quarterly budget for each sub-project – the figures for the project are automatically calculated.

Title	Funded?	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Total
BDP3	True	4,000	4,000	6,000	3,000	17,000
New project in Kablon sitios	True	1,234	5,678	8,901	2,187	18,000
Upland Irrigation System (BDP Linan)	<input checked="" type="checkbox"/>	80,000	20,000	190,000	0	290,000

Title	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Total
1. Survey and design	50,000				50,000
2. Construction of irrigation works	20,000	20,000	180,000		220,000
3. Training of farmers and establishment of water u	10,000		10,000		20,000

d1 – disbursements

The screenshot shows the 'Disbursements' window with three main sections:

- On-going Projects:** A table listing projects and their quarterly budgets.
- Sub-projects/Activities:** A table listing activities under a selected project and their quarterly budgets.
- Disbursements:** A table listing individual payment records.

Project Title	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Total Budget
BDP3	2000	2000	2000	6000	12000
New project in Kablon sitios	4000	3000	2000	40000	49000
Upland Irrigation System (BDP Linan)	90000	300000	210000	0	600000

Title	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Total Budget
1. Survey and design	50,000				50,000
2. Construction of irrigation works	20,000	20,000	180,000		220,000
3. Training of farmers and establishment of water users committee	10,000		10,000		20,000

Description	Date	Acc. Code	Accounts Title	Amount	Cheque	Payee	ALOBS	DV
Payment of study (first batch- 30%)	15/01/2004	9	Studies	17000		1 Mr. P. Alvarez	q12q	1
Payment of study (second batch 70%)	16/03/2004	9	Studies	33000		2 Mr. P. Alvarez	1	2

d2 – quarterly progress

The screenshot shows the 'Quarterly Progress Projects and Sub-projects' window with several annotations:

- Quarter and year 1. select a period:** Points to the 'Quarter' (1) and 'Year' (2004) dropdowns.
- List of projects. 2. select a project:** Points to the project list on the left, where 'Upland Irrigation System (BDP Linan)' is selected.
- Progress data of selected project 5. enter progress data project:** Points to the progress data entry fields for the selected project.
- Sub-projects of the selected project 3. select a sub-project:** Points to the sub-project list on the left, where '1. Survey and design' is selected.
- Progress data of selected sub-project – note there are 3 pages: general progress, outputs and financial progress 4. enter progress data sub-project:** Points to the progress data entry fields for the selected sub-project.

The progress data entry fields include:

- Achievements, remarks:** Text area for reporting progress.
- Problems:** Text area for reporting issues.
- Recommendations:** Text area for suggesting solutions.
- Action taken:** Text area for reporting actions.
- Progress Rating:** Dropdown menu (e.g., Average).
- Problem classification:** Dropdown menu (e.g., Transport).

## Outputs (tabpage 2)

Output Indicator	Unit	Year Target	Achieved	Cum. Achieved	% Achieved	Remarks
Studies conducted	Number	1	1	1	100	1 report of 20 pages and blueprint of desig

## Financial progress (tabpage 3)

	This Quarter	To Date	Total
Appropriated Budget:	50000	50000	50000
Expenditure:	50000	50000	50000
Balance:	0	0	0
Percent. spent:	100 %	100 %	100 %

## 3 Functionality

The system includes the following functions:

- Data entry: adding, editing and deleting of records (see 2)
- Analysis:
  - Standard reports (reports that follow a certain format and that are regularly required)
  - Query builder – enables the user to construct his own reports through the selection of certain types of data, filtering the data (for example projects under the OME office), and sorting the data. The results can either be sent to Excel or to the Report Builder for printing (see screenshot).
- Database management:
  - Selection of another database
  - Copying/exporting the database (making a back up)
  - Creating a new database
- Help function: the in-built help menu provides information to the user on the form or component that he has activated.

Project Title	Title Sub-Project	Barangays	Indicator	Unit	Target
BDP 3 project	Activity of BDP 3 project	Acmonan	Crops produced	Has	20
New project	Act bij new project	Kablon	Fruit trees planted	Number	20
New project	Act bij new project	Kablon	Crops produced	Has	100
New project	Act bij new project	Kablon	Fruit trees planted	Number	20
New project	Act bij new project	Kablon	Crops produced	Has	100
Upland Irrigation system	1. Survey and design	Kablon	Studies conducted	Number	1
Upland Irrigation system	2. Construction of irrigation works	Kablon	Irrigation Canal constructed	Meters	1500
Upland Irrigation system	3. Training of farmers and establishment of water users committee	Kablon	Community members trained	Number	50

## **ANNEX 2 – Report on Workshop Results AIPMIS**

### **Results of Consultation workshop on BDP-AIP MIS, MIS on AIP, (part 6)**

**Henk Remme  
M&E Specialist  
October 1, 2004**

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## **1 Introduction**

The MIS on Annual Investment Plan (AIP) was discussed during the second day of the workshop. The AIP is the major operational planning framework that the MLGUs use for the planning and monitoring of their projects.

In principle, the AIP format is standardized for all MLGUs. However, when visiting a number of MLGUs it was found that the actual AIP format varied and that the MLGUs had different perceptions on how to record the information. Wider consultation on the AIP format and modules that should be included in the MIS was therefore considered necessary.

The workshop programme and procedures were changed just before and even during the workshop because of BDP-related concerns (Part 2). This had implications for the logical flow of the workshop activities. Some presentations, such as part 4 (overview of MIS) were skipped altogether. This part intended to explain the general features and benefits of an MIS and demonstrate some existing MIS software packages in order for participants to understand the logic of a MIS database. The elimination of this part affected the discussion on the AIPMIS in day 2 as not all participants had a basic understanding of how a database works and what the difference is between data input and output (for example a report generator).

## **2 Presentation of Flowchart of processes and linkages between BDP and AIP**

In order to understand the logical flow and sequence of activities of BDP and AIP, a flowchart<sup>2</sup> was presented. An understanding of the different steps involved in the process of the AIP design and implementation is necessary for the logical data entry modules in the MIS. The flowchart was approved by the participants with a minor change: not the Budget Officer puts a ceiling budget, but the Local Funds Committee.

## **3 Presentation of AIPMIS**

### **3.1 Questionnaire**

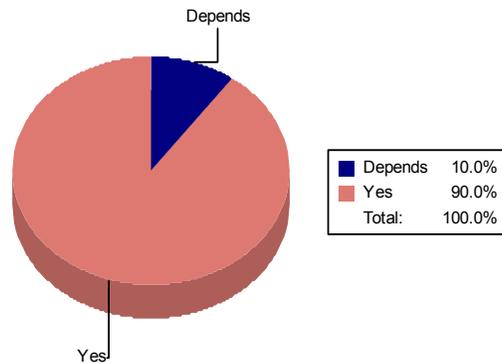
Prior to the workshop, questionnaires were sent to the MLGUs to find out the MPDO's interest in an AIPMIS and to get feedback on the desired modules and existing software (especially accounts). 20 questionnaires were returned of which 3 from provincial offices. The facilitator made a simple software application for data input and analysis that also served as a demonstration on the use of MIS. The survey gave the following results:

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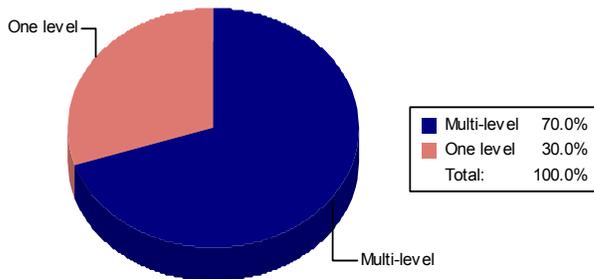
<sup>2</sup> See Annex1

## 1. Interested in AIPMIS?

1. All MPDCs said that they were interested in having an AIPMIS. Only 2 PPDCs indicated that it would depend on the functionality of the system.



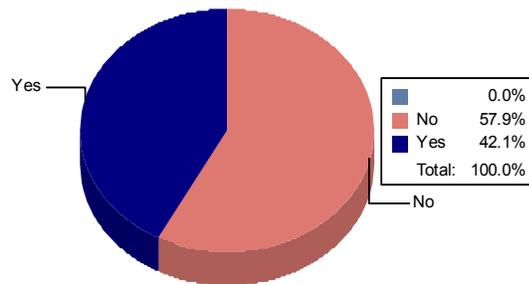
## 2. Structure AIP



2. Most MPDCs indicated that they use a multi-level structure of the AIP whereby programs and projects are further broken down into sub-projects or activities.

## 3. Have Accounts Software?

3. Most MPDCs (58%) said that their MLGUs do not have an accounts package. The actual figure should be much higher as Excel worksheets were actually included by those who said Yes. The number of MLGUs that have a customised accounts package is very small.



## Other questions – 4. interested in financial modules? 5. interested in monitoring modules?

All MPDCs said they are interested in including financial and monitoring modules. The score on the different monitoring modules was as follows:

output indicators for each project	80%
comments on performance (qualitative aspects, problems, etc.)	65%
project visit forms to keep track of observations and technical assistance)	70%
evaluations	45%

### 3.2 Presentation of the AIPMIS

After a general presentation on the background and objectives of UDP's support to developing the AIPMIS, the facilitator presented the findings of the consultations held in a few visited MLGUs.

The following matrix forms the basis for the AIP. However, the actual formats that are being used by the different MLGUs vary.

<b>Prov:</b>													
<b>Mun:</b>													
Sector	Program/Projects/Activities	Brief Description	Implement.		Exp. Class	Sched. of Qu. Releases							
			From	To		Q1	Q2	Q3	Q4	Total			

The following observations were made:

- The classification by sectors and sub-sectors varies. Some LGUs write sector name in first column, others put sub-sector or project codes.
- Some LGUs use only one project level while others give a break down in 2 or 3 levels: programmes/projects/sub-projects or activities (second column).
- The column Description is used for different purposes (third column):
  - Listing of activities,
  - Listing of inputs,
  - A brief summary of what the project is about,
- Other columns that are sometimes added:
  - Location,
  - Lead office
  - Account code

The differences were illustrated with the presentation of AIP formats of Malungon, Tupi and Nabunturan.

Apart from different formats, also some general observations were presented on the M&E aspects of the AIP system, especially the fact that the system has a strong financial bias but is weak with respect to the M&E of results and effectiveness (e.g. achievement of objectives). The question was therefore raised whether some more strategic framework should be included in the MIS (for example sector objectives, project objectives, etc).

Before going into group work, the first version of the AIPMIS application was demonstrated. The participants were asked to discuss the following topics in their groups:

- What should be the structure (projects, sub-projects, etc.)
- What type of monitoring and evaluation is done and what items should be included in the MIS
- If indicators are used, should they be fixed for certain types of activities or left open
- Items/modules to be changed/removed
- Items/modules missing
- Should apart from AIP projects also more strategic data be included, e.g. sector objectives, etc.

#### 4 Workshop results, resolutions

On the basis of the presentations and questions, the groups discussed the items that should be included in the MIS. In the plenary session the following was agreed.

##### 4.1 Structure of AIP

- The structure will include two program/project levels: program/project and sub-project/activity. All fields (e.g. description, implementing office, etc) should appear for both levels.
- The following fields should at least be included in AIP list of projects:
  - Sector
  - Sub-sector
  - Programs/projects/activities
  - Description
  - Objectives
  - Implementing Office (or Lead Office)
  - Location
  - Period of implementation (starting month, ending month)
  - Output indicators (target)
  - Expenditure class (or Account code)
  - Schedule of quarterly releases (Q1,Q2,Q3,Q4) and total cost

Province:

Municipality:

Sector:

Sub-sector:

Progr/Project Activities	Description	Objectives	Implem. Office	Location	Implement.		Output indicators			Exp. Class	Sched.of Qu. Releases					
					From	To	Indicator	Unit	Target		Q1	Q2	Q3	Q4	Total	

2 levels:  
program/projects  
and activities

For each activity more  
records can be entered

- A discussion was held with respect to the usefulness of including the account codes as these refer to detailed cost items that are usually not applicable at the general project or sub-project/activity level (e.g. supplies&materials, fuel&oil, equipment, etc.). Nonetheless, as some MLGUs break down their projects into very detailed activities or inputs, the field will be retained. Some LGUs even include the detailed budget ('object of expenditure') in the AIP (e.g. total cost items as listed in project design document), as in the following example:

<i>Programs/Projects/Activities</i>	<b>Object of expenditure</b>	<b>Exp. Class</b>	<b>Budget</b>	<b>Schedule</b>	
				<b>Q1</b>	<b>Q2</b>
<u>ROAD CONSTRUCTION</u>			<u>270,000</u>	<u>145,000</u>	<u>125,000</u>
- <i>All weather road from Barangay to Purok 2</i>	- Supplies & Materials	337	270,000	145,000	125,000
	- Wages	338	20,000	20,000	
	- Fuel & Oil	342	150,000	75,000	75,000
			100,000	50,000	50,000

Possibly this level of detail could be included but it was agreed that this would be further investigated by the consultant. The system would at least include the following:

<i>Program/Project/Activities</i>	<b>Budget</b>	<b>Schedule of releases</b>			
		<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
<u>ROAD CONSTRUCTION</u>	<u>270,000</u>	<u>145,000</u>	<u>125,000</u>		
- <i>All weather road from Barangay to Purok 2</i>	270,000	145,000	125,000		

- The MIS facility that makes it possible to define the funded projects and their appropriated budget (total and by quarter) from the list of AIP projects, was found very useful. No changes are required.

#### 4.2 Items/modules

The modules for data entry were found relevant:

- AIP - list of programs/projects/activities (as discussed above)
- AIP – funded projects (no changes required)
- Disbursements (no changes required)
- Progress monitoring:
  - The fields were found relevant:
    - amounts released (showing balances from budget – financial status)
    - achieved output indicators - should also indicate physical accomplishment or implementation rate in percentage. The indicator definition should be changed from fixed (e.g. fixed list of indicators depending on the type of activity) to open (e.g. to be determined by the user every time a new record is entered). The system should not only include quantitative indicators but also qualitative indicators
    - status/remarks, problems, recommendations – include: action taken

The participants suggested to include the following modules to the system:

- Sector objectives
- Project visit form

### 4.3 Other issues

- *Process of data entry – facility for data exporting and importing*  
Not all MLGUs have a local area network. This complicates the data entry as different departments might want to enter records, mainly MPDO (all project data except disbursements) and Accounts Section (disbursements). This means that a possibility for data exchange must exist whereby the different departments import datasets from each other.
- *Emulation of Excel worksheet type of data entry*  
Currently data is being recorded in Excel sheets. Entering and editing data in such a grid is relatively easy as the user keeps an overview of the whole AIP matrix. Data entry in a database system however, requires the clicking of data controls (lists, comboboxes, buttons, etc.) and the opening of forms and sub-forms. This makes it a bit more complicated and maybe somewhat confusing at the beginning as the user loses sight of the overall matrix. In order to facilitate the use and adoption of the MIS, the system should as much as possible emulate the worksheet type of data entry. The current version should be somewhat adjusted to that effect.
- *Security*  
If the system will be used by different departments and staff at MLGU level, data recording should be limited to authorized administrators only through the use of a password system.

### 4.4 Conclusion

The system was well appreciated by the participants but still needs to be slightly adjusted in order for the suggested changes and agreements to be integrated. The consultant will include the agreed changes. The other suggestions are subject to the available time for programming. In fact, the system will have to be ready for testing, training and installation by mid November but the consultant has very little time to make changes to the system as he is finishing his current assignment and will only be back in November. Therefore, only the minimal required changes can be incorporated at this stage.

## ANNEX 1 - FLOWCHART RELATIONSHIP AND PROCESSES BDP-AIP

