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MFM Project

UKRAINE TRIP REPORT: DEVELOPMENT OF MFM PERFORMANCE MONITORING AND EVALUATION STRATEGIES

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Ukraine Trip Report: MFM Performance Monitoring and Evaluation Strategies

Introduction

The purpose of the trip was to assist the MFM resident advisors in their development of a performance monitoring and evaluation (PME) system for their project. I was able to discuss at length with each advisor the rationale for their project and the types of performance monitoring and evaluation data they should collect and report routinely as part of their project management. The discussion below will identify the three types of data suggested and present summary tables of their performance monitoring plans. Included in the appendix to this report are the results of two rapid feedback evaluations. Brenda Linton and I worked the Kharkov leg of the trip; I was responsible for the L'viv and Ternopil site visits.

It should be noted that the MFM resident advisors - Newell Cook in Kharkov, David Bauer in L'viv, and Paul Hoover in Ternopil - were very generous with their time and supportive of the PME development effort. They also provided very helpful logistic support, such as transportation and interview scheduling.

I also briefed Amy Osborne, USAID/Ukraine, of the status of the Ukraine PME work. I stressed with her the need for the project to document project implementation and capture solid results data in order to satisfy project improvement, accountability and replication objectives. Frankly, she did not appear to be particularly gripped by performance measurement or evaluation. So our conversation, while very cordial, was not especially engaging. She did perk up, at least some, at the idea of exploring unconventional, innovative ways to report the final project results.

Site Visit Process

The site visits included several activities. First, the written information on the city workplans, as well as discussions with the resident advisors, were used to develop a matrix model of the project activities for each city that identified the MFM project objectives, implementation activities, and the related performance standards (see appendix A for Kharkov example). I prepared this matrix for Kharkov and L'viv; Ternopil had such a plan already on paper. The matrix was the basis for discussions with the resident advisors about the types of PME data they either planned to collect or might consider collecting. We discussed the reality that, in light of the current project budget uncertainty, they would be responsible for all PME data

collection and reporting.

They accepted this responsibility, but understandably were concerned about having enough budget resources to mount a large PME data collection. We discussed the need to exploit credible, readily accessible data sources and focus on a limited set of sentinel performance indicators.

In Kharkov and to a lesser extent in L'viv, the PME plan was discussed with Ukrainian counterparts to get their reaction to proposed indicators and suggestions for potential data sources. The discussions were useful, but should be followed up in all of the cities by more extensive discussions to secure the participation of local counterparts in the definition of performance indicators. Although there was very limited time in Ternopil for exhaustive discussions of the PME plan, the completeness of the draft written workplan obviated the need. I left copies of the Kharkov and L'viv PME plans with Paul Hoover and suggested that he use them to adjust the Ternopil PME plan as appropriate. He has to complete the municipal transportation part of the Ternopil PME plan and will send me the PME plan for that activity.

PME Data Collection

During the site visits we stressed that performance monitoring and evaluation should be an integral part of each MFM project workplan. It is the means whereby the projects will learn about what is working well and what is not, discover how project performance can be enhanced, and report on project results. The PME plan for each city should ideally include three components: a performance monitoring component; rapid feedback evaluation; and critical incident reporting. The PME plan would then be able to generate three types of information to management decision-makers:

- Timely data marking project progress in reaching strategic objectives;
- Early warning of performance shortfalls signaling the need for corrective action; and
- Project accountability information for project stakeholders.

The *performance monitoring component* will track a set of sentinel indicators - which have been hopefully have been discussed fully with host city counterparts and USAID/Ukraine - to periodically check the progress of the project in realizing

its objectives. The indicators should have been selected to reflect all of the major elements of the project in a credible fashion. They also should enable cost-effective, feasible data collection and analysis. They will be reported as appropriate at key project milestones as well as at project conclusion.

The second component of the PME system is the *rapid feedback evaluation*. This component routinely, systematically and quickly collects data on selected project activities, such as study tours and training courses, to maintain a timely stream of valutive information for project management and reporting. These data should be collected closely on the heels of project activity completion to gauge the effectiveness of the activity in advancing project objectives. The data can reveal areas of solid performance as well as activities needing ameliorative attention and adjustment. We were able to collect rapid feedback data in Kharkov and L'viv; they are included in the appendix. Limited time in Ternopil precluded similar data collection. All of the advisors were urged to collect these data as time permits.

The rapid feedback methodology - a focused, small group discussion with activity participants (and presumed beneficiaries), and other observational information - is a cost-effective way to get current information on project implementation and people-level impacts (see Appendix). These data can provide interim project performance results that can be reported to USAID to highlight MFM progress in reaching its objectives.

The final component is what we are calling *critical incidents* - unanticipated project outcomes and events that while largely anecdotal, often contain engaging human interest vignettes, and fill out the story of the project and its accomplishments. Often these incidents are part of the project lore, well known to the project "insiders" yet too often lost to the larger group of project stakeholders. A good example of such an incident was the report of one of the Kharkov study tour members. She returned from the tour enthused about what she had seen and heard about municipal bonds in Boston and reported this to her superior, Mr. Petrosov, who in turn was very interested and plans to lobby at the national legislature for a similar measure.

We urged the advisors to record collect these incidents routinely and in a consistent format and weave them into their regular Resident Advisor reporting. As is the case of rapid feedback data, these incidents also provide interim performance information.

Performance Monitoring Tables

The following tables present the indicators for each of the

program objectives and project activities. The tables present the indicators with places for their baseline, expected and actual values, and with data sources and data collection responsibilities identified. An individual has been identified as responsible for each indicator; this person is charged with making sure that the requisite data for the indicator are available on a timely and accurate basis. These tables were discussed with each resident advisor.

KHARKOV: Performance Monitoring Data

| Program Objective | Performance Indicator | Baseline Measure & Date | Expected Achievement & Date | Actual Achievement & Date | Difference Between Expected and Actual | Data source & person responsible for data collection |
|--------------------------|--|------------------------------------|--|--------------------------------------|---|--|
| Performance Management | Unified data management system for city and raion registration departments | No system exists: 11/94 | System operational by: 6/30/95 | | | Nine raions and City Registration Department: Sasha Ranenko |

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|--|------------------------------------|--|--|--|---------------------------------------|
| <p>EIS budget system for the city administration</p> | <p>No system exists: 11/94</p> | <p>Phase 1- partial,prelim. revenue budget: 3/31/95</p> <p>Phase 2- partial,prelim. expenditure budget: 6/30/95</p> <p>Phase 3- integrated, prelim. rev. expend.: 10/31/95</p> | | | <p>Mayors office: Newell Cook</p> |
|--|------------------------------------|--|--|--|---------------------------------------|

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|---|--|---|--|--|--------------------|
| <p>Improved city project design proposals presented by city officials</p> | <p>Designs very sketchy and non-specific 11/94</p> | <p>Phase 1-fully specified project definitions by selected city officials; 3/31/95</p> <p>Phase 2-full workplans submitted by selected city officials: 6/30/95</p> <p>Phase 3-an approved, executable workplan: 9/30/95</p> | | | <p>Newell Cook</p> |
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| Tracking system for housing maintenance requests and completed work orders | No computer-based system 11/94 | Phase 1-fully designed tracking system requirements :3/31/95 | | | Sasha Kaenaka-RTI Office Kushnir (Housing Dept.) |
| | | Phase 2-execution and installation of the software/hardware: 8/15/95 | | | |
| | | Phase 3-one month of successful operation: 11/95 | | | |

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|--------------------------------------|--|------------------------------------|--|--|--|--|
| <p>INFORMATION TECHNOLOGY</p> | <p>Staff computer program administered by the city</p> | <p>No program exists 11/94</p> | <p>Phase 1- initial training program directed by RTI in coordination with city:3/31/95</p> <p>Phase 2- Train the city trainers, led by RTI in conjunction with city:6/30/95</p> <p>Phase 3-city administer training programs in operation: 9/30/95</p> | | | <p>Natalia Lezhneva (phase 1)</p> <p>Gorbach - city (phases 2-3)</p> |
|--------------------------------------|--|------------------------------------|--|--|--|--|

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|---|---|---|--|--|------------------------|
| <p>Data links among city departments, city departments and raions, and among raions</p> | <p>No links are operating as of 11/94</p> | <p>Phase 1- initial links established: 6/30/95</p> <p>Phase 2- completed linkage; 11/30/95</p> | | | <p>Gordon Cressman</p> |
| <p>Automated personnel system administered by the city</p> | <p>Electric information flow does not exist as of 11/94</p> | <p>Phase 1- fully designed tracking system requirements completed: 3/31/95</p> <p>Phase 2- execution and installation of the software/ hardware: 8/15/95</p> <p>Phase 3- one month of successful operation: 11/95</p> | | | <p>Newell Cook</p> |

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|---|-----------------------------|--|--|--|-----------------|
| Application software for housing maintenance, tracking developed locally by Ukranians | Nothing exists now 11/95 | Execution and installation of the software: 8/15/95 | | | Gordon Cressman |
|---|-----------------------------|--|--|--|-----------------|

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| SERVICE DELIVERY | Reduced number of person hours required to produce the City payroll | TBD (N. Lezaneva) 12/15/95 | TBD (Lesaneva-RTI) (N. Cook to set target-12/15/95) | | | Natalia Lezaneva |
| | Improved and timely information available to decision-makers on business starts, business terminations, and business relocations | TBD (N. Cook) by 12/15/95 | Mayor's assessment that the information is available to decision-makers on time, and in the approp. form: 7/30/95 | | | Valarie Marfitsin |
| | Tenant satisfaction feedback system for housing maintenance work | No feedback mechanism exists: 11/95 | Tenant feedback system: 11/30/95 | | | V. Ivanova |

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|--|--|-------------------------|--|--|--|
| Reduced time to complete housing maintenance work orders | TBD: 12/15/94 Angus Olson (PADCO) | TBD-N. Cook 12/15/94 | | | Angus Olson-PADCO (baseline measure) Newell Cook V. Ivanova (follow-up, impact data) |
|--|--|-------------------------|--|--|--|

L'VIV: Performance Monitoring Data

| Program Objective | Performance Indicator | Baseline Measure & Date | Expected Achievement & Date | Actual Achievement & Date | Difference Between Expected and Actual | Data source & person responsible for data collection |
|------------------------------|--|--|---|---------------------------|--|--|
| Improved City Administration | LAN Operational in City Administration | Does not exist 12/94 | LAN Operational by 8/95 | | | Ihor Forykyvych |
| | City Departments Use Computers for Routine Administrative Tasks | No computers in effective use in city departments 11/94 | Computers in effective use in all departments designated by the city, by 8/95 | | | Ihor Forykyvych |
| | Accurate, Up-to-Date Information on City Housing Stock Readily Available to City Officials | Not available 11/94 | Information available by 11/95 | | | Andrij Levyk |

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|---|--|---------------------|---------------------------------|--|--|-------------------|
| | Accurate, Up-to-Date Housing Waiting lists Available to City Officials and Citizens | Not available 11/94 | Lists available by 11/95 | | | Andrij Levyk |
| Increased Citizen Access to City Administration | Computer-based Citizen Access to Accurate Information on City Department Roles and Authority | Not available 11/94 | Citizen access in place by 8/95 | | | Ihor Parasuik |
| | Current, Accurate City Budget and Finance Information Available to the Public | Not available 11/94 | Information by 1/96 | | | Luvov Maksymovich |

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| | Computer-generated Documentation of City Response to Citizen Complaints and Requests for Assistance | Not available 11/94 | Documentation available 8/95 | | | Ihor Parasuyk |
| Tourism Development | Strategic Tourism Plan for L'viv | Not available 11/94 | Plan available 2/95 | | | Rostislav Brusak |
| | L'viv Tourism Bureau | Not available 11/94 | Bureau operational 8/95 | | | Rostislav Brusak |

Ternopil: Performance Monitoring Data

| Program Objective | Performance Indicator | Baseline Measure & Date | Expected Achievement & Date | Actual Achievement & Date | Difference Between Expected and Actual | Data source & person responsible for data collection |
|--------------------------|--------------------------------|---|--|--------------------------------------|---|---|
| Economic Development | Office of Economic Development | No office now 12/94 | Office staffed and operating; staff training underway. Date ??? | | | Paul Hoover |
| | Economic Development Products | Partial list of businesses; in formal contacts with businesses; no promotional materials, guides, references, 1-2 months to open new business | Inventory database developed and data entered; reports attractively prepared; desktop publishing products attractively prepared; etc. (see Ternopil Matrix-appendix) | | | Paul Hoover |

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| Economic Development Strategic Plan | No existing plan 12/94 | Commission meeting regularly; workplan prepared; Background report completed | | | Paul Hoover |
| Feasibility Study of Economic Development Authority | No existing authority 12/94 | Feasibility report written and presented | | | Paul Hoover |

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| Municipal Management Improvement | PBX Telephone Procured and Installed | External Lines =; no central operator; inadequate messaging; poor line quality;no multiline tel sets 12/94 | Specifi-cations completed; procurement completed; system installed and operating | | | Paul Hoover |
| | PC LAN | No LAN (see Ternopil matrix) 12/94 12/94 | Needs assessment and specs. completed; procurement, delivery and installation completed | | | Paul Hoover |
| | Internet Host Installation | See Ternopil matrix 12/94 | Internet host installed;op erators trained; services available to local users | | | Paul Hoover |

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|---------------------------|---|---|--|--|-------------|
| Employee Training Program | No formal program;no training program 12/94 | Training assessment and plan developed; training staff hired/ appointed and trained; regular training schedule in place and training underway | | | Paul Hoover |
|---------------------------|---|---|--|--|-------------|

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|--------------------------------|--|--------------------|---|--|--|-------------|
| | Organization, Financial Planning and Financial Control | Not done now 12/94 | Organizational forms adapted to local conditions; 1996 budget prepared using new approach; financial status immediately available to managers; training completed; test case for one public service | | | Paul Hoover |
| Improved Public Transportation | TBD-Paul Hoover | TBD-Paul Hoover | TBD-Paul Hoover | | | Paul Hoover |
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Concluding remarks

The PME site visits competed with MFM budget retrenchment and uncertainty for the resident advisors' attention. Understandably they were more concerned that they have enough resources to make a difference, than how to measure the difference. Nonetheless all of them appreciated the need to monitor project performance, use the information to manage their projects, and report the results to USAID and others.

They all have identified performance indicators and have plans to collect the necessary information. It will be the PMU's responsibility to provide the requisite encouragement to ensure that the performance data are reported in a timely and credible manner. Only Kharkov expressed interest in possible future PME assistance. I think that L'viv may need future assistance as well. Ternopil appears to have a solid performance monitoring plan in place and should be able to carry it out with no additional assistance. All sites should be monitored, though, to verify that performance information is being collected on schedule to make sure that they are available for interim and end of project reporting.

I am concerned that the rapid feedback evaluation and critical incident data production may wane with the budget crunch; advisors may not feel they have the resources to produce the necessary data. I think these data are essential to provide the complete MFM performance record. The PMU should plan on how best to generate at least some of these data for each of the sites.

Finally, I think the MFM project should plan now for the preparation of the final report. Who are the intended users and how will they use it? What will the report include? Who will prepare it? What will be the level of effort devoted to the report? We should plan now to make sure we have the necessary resources and information to produce a quality final product.

Appendices

Appendix A

**KHARKOV PROGRAM MATRIX: PROGRAM OBJECTIVES,
PROGRAM IMPLEMENTATION and PERFORMANCE INDICATORS**

| Program Activities | Kharkov MFM Program Objectives | | |
|--------------------------------------|--|---|---|
| | Performance Management | Information Technology | Service Delivery |
| Executive Information Systems | <ul style="list-style-type: none"> ✓ Unified data management system for city and raion registration departments ✓ EIS budget system for the city administration ✓ Improved project design by city officials | <ul style="list-style-type: none"> ✓ Staff computer training program within the city personnel department ✓ Data links among city departments, city departments and raions, and among raions ✓ Automated personnel system administered by the city | <ul style="list-style-type: none"> ✓ Reduced number of person hours required to produce the City payroll ✓ Improved and timely information available to decision-makers on business starts, terminations and relocations. |

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|---|---|--|---|
| <p>Housing Maintenance Management System</p> | <p>✓ Tracking system for housing maintenance requests and completed work orders</p> | <p>✓ Application software for housing maintenance tracking developed locally by Ukrainians</p> | <p>✓ Reduced time to complete housing maintenance work orders</p> <p>✓ Tenant satisfaction feedback system for housing maintenance work</p> |
|---|---|--|---|