

APPROACHES TO PROGRAM MONITORING AND EVALUATION

Nikolai Begchin

Ph D in Economic Studies, Head of Program-
Based Budgeting Methodology Section of the
Budget Policy Department

Минфин России





Procedural and methodological framework for elaboration, implementation and evaluation of RF state programs performance

1. Budget Code of the Russian Federation.
2. Procedures for elaboration, implementation and evaluation of the RF state programs performance (Decree no. 588 of the Government of the Russian Federation of 2 August 2010).
3. Methodological guidelines for development and implementation of RF state programs (Decree no. 690 of the RF Ministry of Economic Development of 20 November 2013).

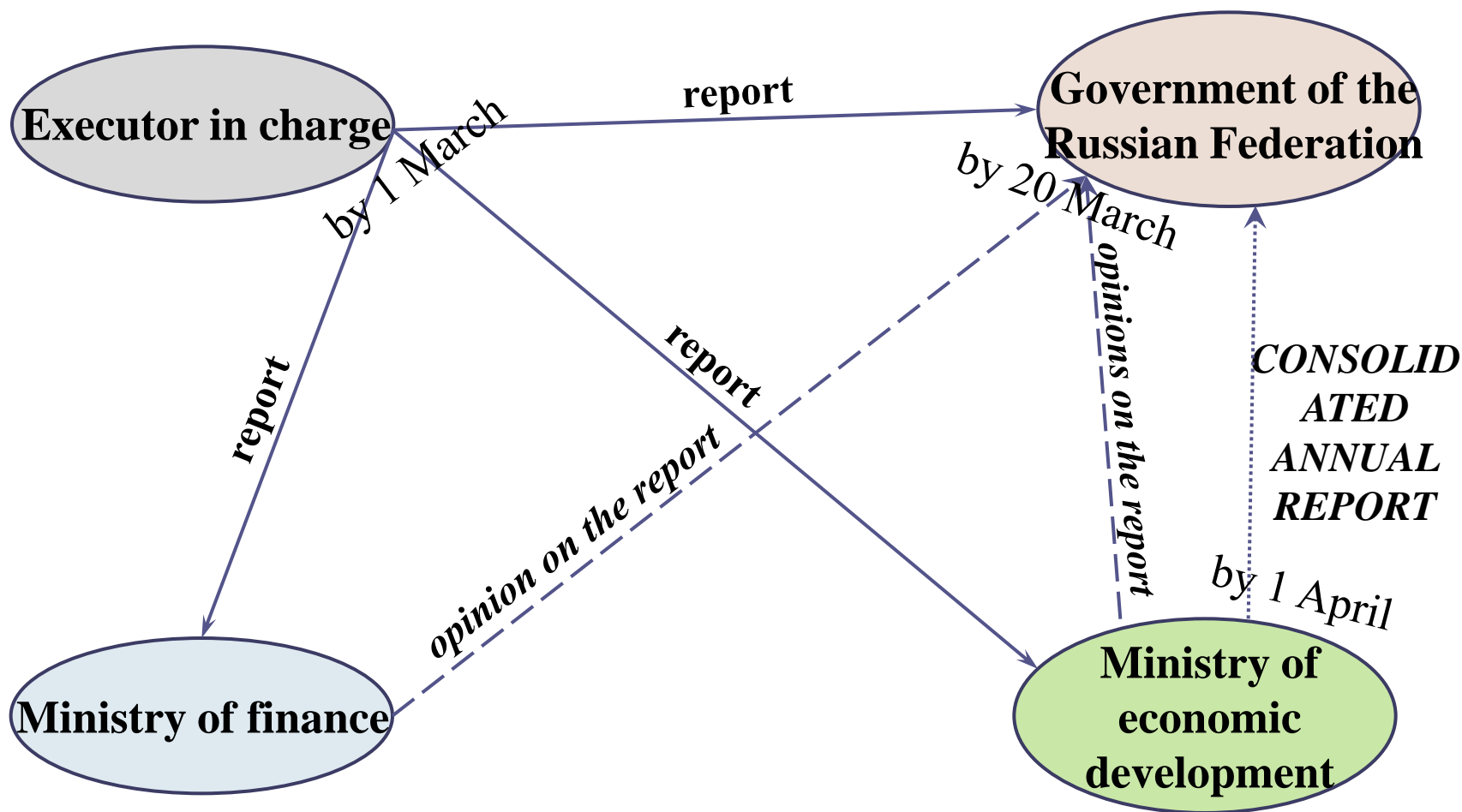
Monitoring of state programs implementation

In charge	RF Ministry of Economic Development
Regularity	Quarterly
Deadlines	Until 20 th of the month following the reported quarter
Object of monitoring	Implementation of a <i>detailed activity plan</i> for the state program
Preparation of reported data	Responsible executor of the state program
Review of monitoring results	At least 2 times a year during sessions of the RF Government

Detailed timetable of state program implementation

No.	Name of DEP, main activity, activity, FEP, control activity of the program	Actual beginning of the activity	Actual end of activity, control activity	Expected date of the control activity expected measure of the control activity	Actual result of implemented activity	Expenditures from the federal budget meant for implementation of the state program, thousands Rubles	
						planned in the State Program	Implementation, as reported by cash method, for the reported date
Subprogram 1 (name)							
1.1	Main activity 1			X			
1.1.1	Activity 1.1.1			X			
	Reasons for noncompliance with the deadlines of activities and control activity and funding of activities						
	Measures aimed at neutralization/minimization of the deviation from the control activity, which has a significant impact on implementation of the state program						

Progress reporting and performance evaluation of the state program



Structure of the narrative part of the report (1)

1. Specific results of the state program implementation

1.1 Main results achieved in the reported year

1.2 Described contribution of the main results towards achievement of goals and objectives of the state program

1.3 Information on achievement of planned performance indicators of the state program, subprograms within the state program and federal earmarked programs

1.4 Information on achievement of planned performance indicators of the state program, subprograms within the state program, in regional aspect

1.5 Planned but not achieved results, also indicating non-implemented or partly implemented main activities and departmental earmarked programs (including key activities)

1.6 Review of factors influencing implementation of the state program

1.7 Review of factual and probable impact of these factors on main parameters of the state program

1.8 Results of performance evaluation of the state program in the reported year

Structure of the narrative part of the report (2)

2. Results of implementation of departmental earmarked programs and main activities by subprograms within the state program and results of activities within the federal earmarked programs

2.1 Description of the results of implementation of departmental earmarked programs, main activities by subprograms and activities within federal earmarked programs in the reported year (including control activities of the program)

2.2 List of non-implemented and partly implemented departmental earmarked programs, main activities by subprograms and activities within federal earmarked programs (of the programs to be implemented in the reported year), explaining also the reasons why they were not fully implemented.

2.3 Analysis of factors influencing their implementation

2.4 Analysis of consequences of non-implementation of departmental earmarked programs, main activities by subprograms and activities within federal earmarked programs for implementation of the state program

3. Results of implementation of state and legal regulations

3.1 Planned and actually achieved indicators related to of state regulation

3.2 Measures of state regulation proposed for implementation in the current year and in the planned period

Structure of the narrative part of the report (3)

4. Results of spending of the federal budget allocations and other resources for implementation of activities under a state program

4.1 Information on actual execution (by cash method) of the federal budget, state extra-budgetary funds, consolidated budgets of Russian Federation's entities and actual expenditures of state corporations, joint stock companies with state participation, public, scientific and other organizations, as well as state extra-budgetary funds

4.2 Information on actual consolidated indicators of "public assignments" (public services agreements between budget holders and budget funded service delivery organizations)

5. Information on changes to the state program introduced by the executor in charge

6. Proposals on further implementation of the state program



State program performance evaluation

- evaluation of the rate of achievement of goals and objectives of the state program;
- evaluation of the rate of achievement of goals and objectives of subprograms and federal earmarked programs within a state program;
- evaluation of the main activities implementation rate, of departmental earmarked programs and federal earmarked programs and achievement of their expected output (immediate results) (hereinafter – evaluation of activities implementation rate);
- evaluation of compliance with the planned rate of expenditures;
- performance evaluation of the federal budget spending



Evaluation of activities implementation rate

$$CP_M = M_B / M,$$

whereas:

CP_M – activities implementation rate;

M_B – number of fully implemented activities out of all activities to be implemented in the reported year;

M – total number of activities to be implemented in the reported year.

Evaluation of compliance with the planned rate of expenditures

$$CC_{y3} = 3\phi / 3\pi,$$

whereas:

CC_{y3} – compliance with the planned rate of expenditures;

3ϕ – actual expenditures for implementation of subprogram in the reported year;

3π – planned expenditures for implementation of subprogram in the reported year.



Performance evaluation of federal budget spending

$$\text{Эис} = \text{СРМ} / \text{ССуз},$$

whereas:

Эис – performance of federal budget spending;

СРМ – activities implementation rate, fully or partly financed from the federal budget;

ССуз – compliance rate with the planned expenditures from the federal budget.

Evaluation of subprogram performance

$$\text{ЭР}_{\text{п/п}} = \text{СР}_{\text{п/п}} \times \text{Э}_{\text{ис}}$$

whereas:

$\text{ЭР}_{\text{п/п}}$ – subprogram performance (federal earmarked program);

$\text{СР}_{\text{п/п}}$ – subprogram implementation rate (federal earmarked program);

$\text{Э}_{\text{ис}}$ – federal budget performance (or, subject to decision made by the implementing agency in charge, financial performance of subprogram (federal targeted program, i.e. programs under state investment program)).

Achievement of planned indicator

$$СД_{ГППЗ} = ЗП_{ГПФ} / ЗП_{ГПП}$$

$$СД_{ГППЗ} = \overset{\text{или}}{ЗП_{ГПЛ}} / ЗП_{ГПФ},$$

whereas:

СД_{ГППЗ} – achievement of planned indicator, typical for goals and objectives of a state program;

ЗП_{ГПФ} – value of indicator, typical for goals and objectives of a state program, actually achieved by the end of the reported period;

ЗП_{ГПП} – planned value of indicator, typical for goals and objectives of a state program.

Performance of state program

$$\mathcal{E}P_{\Gamma\Pi} = 0,5 * CP_{\Gamma\Pi} + 0,5 * \sum \mathcal{E}P_{\Pi/\Pi} * k_j / j$$

whereas:

$\mathcal{E}P_{\Gamma\Pi}$ – performance of a state program;

$CP_{\Gamma\Pi}$ – implementation rate of a state program;

$\mathcal{E}P_{\Pi/\Pi}$ – performance of a subprogram (federal earmarked program);

k_j – relevance ratio of a subprogram (federal earmarked program)

Implementation rate of a state program

$$CP_{\Gamma\Pi} = \sum CД_{\Gamma\Pi\Pi3} / M,$$

ИЛИ

$$CP_{\Gamma\Pi} = \sum CД_{\Gamma\Pi\Pi3} * k_i,$$

whereas:

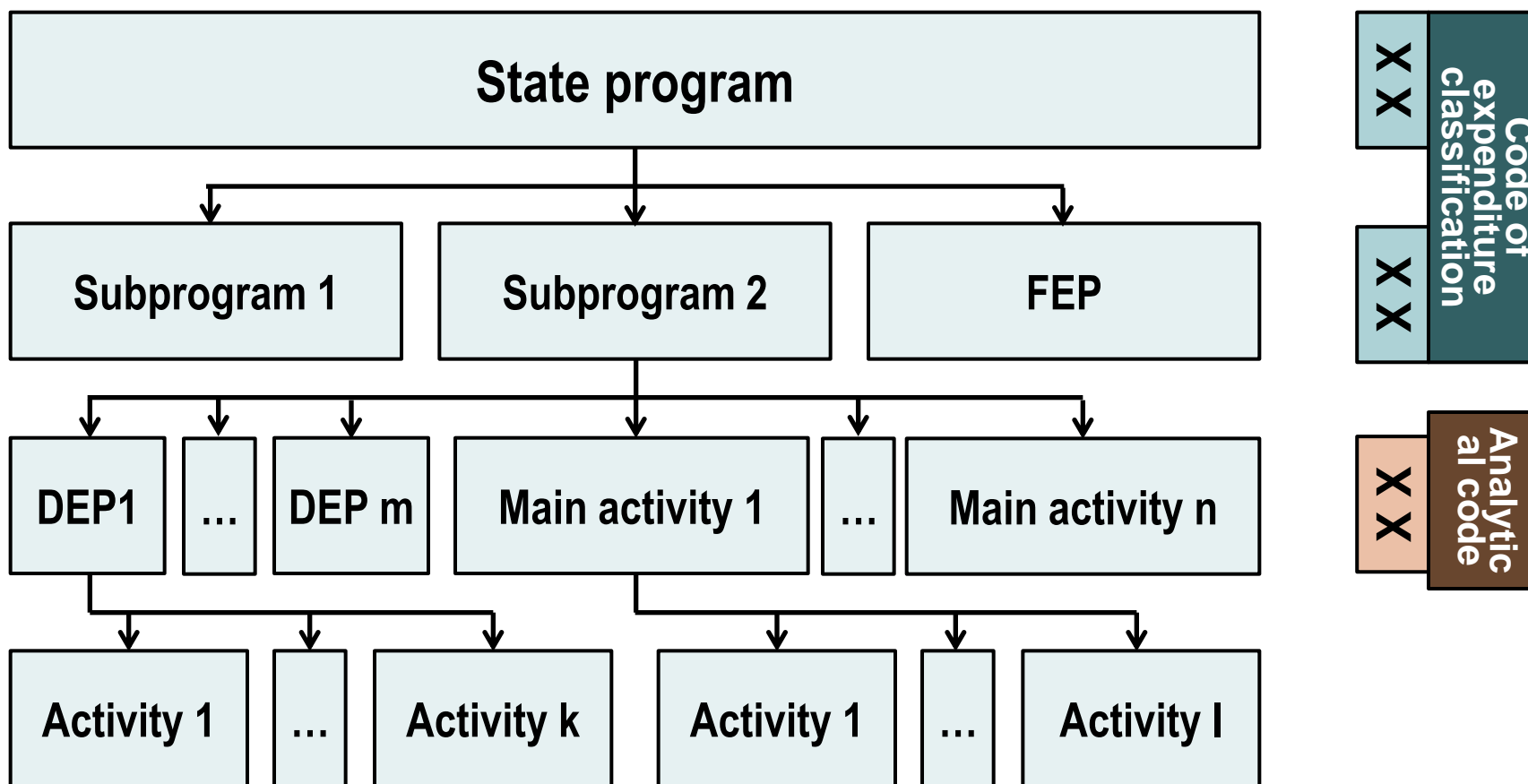
$CP_{\Gamma\Pi}$ – implementation rate of a state program;

$CД_{\Gamma\Pi\Pi3}$ – rate of achievement of the planned value of indicator, typical for the goals and objectives of a state program;

M – number of indicators, typical for goals and objectives of a subprogram.

$$CД_{\Gamma\Pi\Pi3} \leq 1$$

State program framework and its reflection in the budget classification



Examples of state programs

New quality of life

- Development of healthcare
- Development of education
- Social assistance to the population

Balanced regional development

- Regional policies and federative relationships
- **Socio-economic development of the Far East and the Baikal Region**

Innovational development and modernization of economy

- Development of science and technologies
- Development of industry and enhancement of its competitiveness
- Development of transport system

Efficient state

- Federal assets management
- Public finance and public debt management

Total number of programs is 42



Thank you for
attention!