

Social Protection Policy M&E Framework

National Social Protection Policy Monitoring and Evaluation Framework (Final Version)

*Our Policy **vision** is to:*

Support progress towards the Sustainable Development Goals (SDGs) 2030, with social protection playing a particular role in SDGs focused on strengthened livelihoods, poverty alleviation, food security, healthy lives and well-being, education and lifelong learning, gender equality, and decent work within the context of the sustainable management of resources.

The **purposes** of this policy are to:

1. Strengthen integration across contributory and non-contributory social service delivery.
2. Enhance social protection mainstreaming in social services and economic planning, including labour marketing planning and policymaking.
3. Improve service delivery and reach.

The **aim** of this Policy is to:

Deliver social protection services in a fair and just manner while giving voice to rights-holders.

The Policy's **main objective** is to:

Build an integrated system of social protection in Anguilla.

Specific objectives comprise the following:

- Enable the 2015 National Social Protection Act.
- Expand and strengthen contributory social protection schemes, including mechanisms of cross-subsidy that enable the expansion of services to all, regardless of contributions, as the system grows over time.
- Making the non-contributory social protection system as responsive as possible to those in need, ensuring that no vulnerable persons and households are left behind within a system with sound targeted and effective coverage.
- To the extent that households need cash transfers through non-contributory social protection services, expand the scope of programming to include those just above the

poverty line and vulnerable to falling into poverty, and continue transfers until households are less vulnerable to falling into poverty.

- Strengthen the mainstreaming of social protection in social services, climate change adaptation and economic policymaking and planning that play a critical role in building Anguillian society. Over time, this will reduce the demand for non-contributory social protection services.
- Devote considered attention to gender equality and social inclusion in social protection programming.
- Improve social protection disaster relief planning and response.

Through this Policy, the Government of Anguilla commits to:

- strengthening the integration of contributory, non-contributory and social services within a social protection framework;
- providing adequate finance to social protection in a fiscally responsible manner;
- ensuring that the legal and regulatory framework enables this Policy;
- employing a human rights-based approach to social protection; and
- striving to meet our obligations under international conventions.

In implementing this Policy, Government further commits to the following:

- As part of a human rights-based approach to social protection, engaging with the public as rights holders, deserving respect, empathy, kindness and acceptance and strengthening the social contract between government and citizens. This means employees duly paying into social security and other contributory mechanisms, it means employers ensuring that payments are duly made for these schemes, it means following the rules, it means speaking out. And it means exercising rights as a citizen or resident to support fairness and equity in social protection reach.
- The establishment and enabling of a Social Protection Floor focused on minimum income and livelihood security for all, support for basic services, and the expansion of contributory services. It means committing to meeting its obligations under international conventions. And it means committing to achievement of the Sustainable Development Goals.
- Implementing a ‘do no harm’ approach that does not damage what already works, that does not undermine effective social norms, that builds social capital, and that enables other policies.
- Implementing a gender-sensitive life-cycle approach to social protection programming. The needs and rights of infants vary from those of adolescents, young adults, working age populations, and the elderly. It varies across girls and boys, women and men, single and married, large households and small. Cross-sectoral programming that recognises these varied needs is the most effective way of proceeding on social protection programming.

We hereby commit to making progress on activities indicated in each short-term Plan of Action (each covering three years for successive periods), learning from reviews and evaluations as implementation proceeds, and taking actions accordingly.

This Framework does *not* refer to the monitoring or evaluation of social protection interventions themselves. Specifically, this M&E Framework is *not* a tool guiding implementation of the Management Information System used by the Department to track non-contributory social protection interventions, nor the system used by Social Security or any other contributory scheme, nor tracking against social service delivery.



**Prepared by the Department of Social
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**On behalf of the Government of Anguilla
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Table of Contents

Table of Contents	iv
1 Introduction	1
1.1 Overview	1
1.2 Timeline.....	1
1.3 Outcomes	1
1.4 Proviso	2
2 Approach to Monitoring	3
2.1 Introduction.....	3
2.2 The Results Chain.....	3
2.3 Elements of Monitoring	4
2.3.1 <i>Monitoring of Inputs</i>	4
2.3.2 <i>Routine Monitoring of Activities and Outputs</i>	4
2.3.3 <i>Monitoring of Results (Use of Outputs)</i>	4
2.4 Monitoring the Social Protection Plan of Action	4
2.5 Higher-Order Monitoring of the Plan of Action	5
3 Approach to Evaluation	6
3.1 Evaluation of the Short-Term Plan of Action	6
3.2 Evaluation Focus	6
3.3 Evaluation Approach to the Plan of Action.....	6
4 Other Means to Inform Programming	9
4.1 Reporting	9
4.2 Data Collection (Short-Term)	9
4.3 Data Collection (Medium- and Long-Term).....	9
Table 1: Core Activities for the 2019-2021 Short-Term Plan of Action	5
Figure 1: Results Chain.....	3
Figure 2: Monitoring of Inputs.....	4
Figure 3: Monitoring of Activities and Outputs.....	4
Figure 4: Monitoring of Use of Outputs.....	4

1 Introduction

1.1 Overview

Social protection sector reform following passage of the 2015 Social Protection Act, reflected in the 2018 Social Protection Policy, requires renewed attention to three streams of monitoring that inform the Results Chain (discussed below), as well as evaluation:

1. *Input Monitoring* - monitoring of human and financial resources allocated versus expended by the categories human resources, capital purchases, and consumables. This refers to 'Inputs' in the Results Chain.
2. *Routine Monitoring* - monitoring of activities against milestones and targets and the resultant outputs. This refers to 'Activities' and 'Outputs' in the Results Chain.
3. *Results Monitoring* - monitoring of what results from the outputs delivered. This refers to 'Use of Outputs' in the Results Chain.
4. *Evaluation* - assessing progress against broader objectives (e.g., sector integration) and contributions to development. This refers to 'Outcomes' and 'Impacts', respectively, in the Results Chain.

This Monitoring and Evaluation Framework (M&E Framework) outlines the rationale for the proposed approach to monitoring (that is, why measurement should proceed in a particular way and how this applies to the Plan of Action for the Policy), and what role evaluation can play in strengthening Policy implementation. Monitoring is considered in Section 2, and Evaluation is considered in Section 3.

It is recognised that resources are limited, and that interim arrangements may need to be made for tracking against Plan progress (e.g., hand tallies against milestones using various sources of information). The monitoring system, in this respect, will grow organically as the scope for increased and improved monitoring becomes possible.

1.2 Timeline

Consistent with the Plan of Action, this M&E Framework covers priority areas for the period 2019-2021. Details are provided for each of these priority areas, consisting of tracking inputs, activities, outputs, and results. Activities for the period 2022 onward are only listed in the Plan and not elaborated, nor included in this M&E Framework. When the Plan and the M&E Framework are updated in 2021, updated focal areas and targets will be included.

1.3 Outcomes

For the short-term (2019-2021), monitoring is focused on measuring against priority objectives identified for the social protection sector as follows:

- Outcome 1: Sector Integration
- Outcome 2: Outreach, Engagement and the Social Protection Floor
- Outcome 3: Strengthening the Evidence Base for Social Protection

1.4 Provison

This M&E Framework is specific to the implementation of the Policy through the Plan of Action. It includes the specific activities and sub-activities identified in the Plan of Action to track implementation of the Plan. **This Framework does *not* refer to the monitoring or evaluation of social protection interventions themselves.** Further, this M&E Framework is *not* a tool guiding implementation of the Management Information System used by the Department to track non-contributory social protection interventions, nor the system used by Social Security or any other contributory scheme, nor tracking against social services.

2 Approach to Monitoring

2.1 Introduction

In this section, the Approach to Monitoring of progress and regress against activities indicated in the Plan are elaborated. It:

1. Describes this in the context of the OECD/DAC Results Chain (slightly adapted to be relevant to the Anguilla Social Protection Policy and Plan) as a good practice for development monitoring.
2. Identifies the different components of Monitoring.
3. Overviews how the Social Protection Short-Term Plan of Action will measure progress towards targets.

2.2 The Results Chain

The Organisation for Economic Co-operation and Development - Development Advisory Committee (OCED/DAC) employs a results chain approach, consistent with that used by a number of international agencies, as follows¹:

Figure 1: Results Chain



Definitions are as follows:

- Inputs – Financial resources and human resources required to initiate activities.
- Activities – Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilised to produce specific outputs.
- Outputs – The changes in skills or abilities, or the availability of new products and services that result from the completion of activities within a development intervention.
- Use of Outputs - What *results* from outputs being delivered.
- Outcomes – The institutional and behavioural changes in development conditions that occur between the completion of outputs and the achievement of goals. They

¹ OECD (2010). Glossary of Key Terms in Evaluation and Results Based Management, Organisation for Economic Cooperation and Development, Brussels, Belgium. The ‘use of outputs’ has been added here as it is key to the development of a results-based monitoring system for social protection. Specifically, it allows the linking of the Results Chain to the Results Framework commonly used to measure progress in a manner consistent with most Government approaches to measurement.

are the intended or achieved effects of an intervention's outputs, usually requiring the collective effort of partners.

- Impacts – Positive and negative long-term effects on identifiable population groups produced by a development intervention, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types.

The following sub-section covers *Inputs, Activities, Outputs* and *Use of Outputs*. *Outcomes* and *Impacts* are covered in Section 3 under Evaluation.

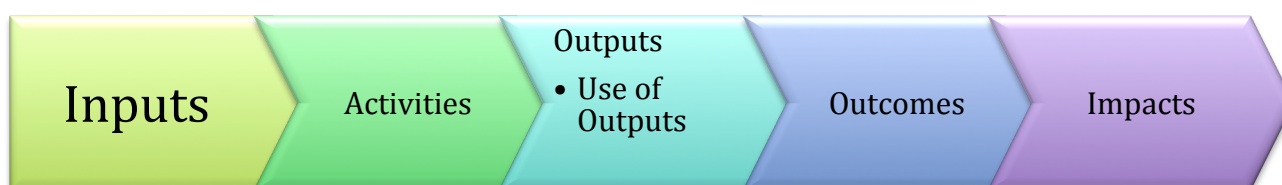
2.3 Elements of Monitoring

As noted in Section 1, Monitoring involves *financial monitoring* of resources allocated to and used in Plan implementation (Inputs), *routine monitoring* of Activities and Outputs, and *results monitoring* of what results from outputs being delivered.

2.3.1 Monitoring of Inputs

Inputs monitoring is focused on the measurement of resources allocated to Plan implementation, divided into the categories Human Resources, Capital Purchases, and Consumables. If external finance is provided for all or part of an activity or sub-activity, the tracking is divided into Government and External. Spend Forecast against Actual Spend is tracked on a milestone basis to ensure that expenditures are on schedule.

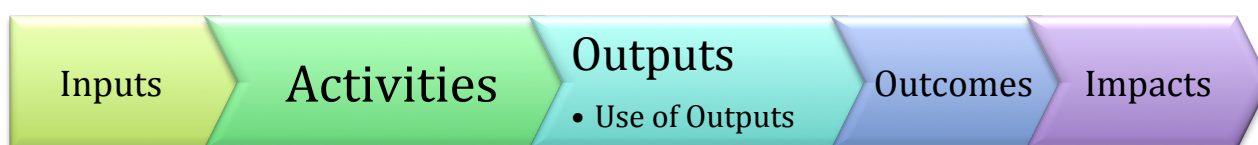
Figure 2: Monitoring of Inputs



2.3.2 Routine Monitoring of Activities and Outputs

Routine monitoring is focused on measuring progress against *Activities*, and measuring the *Outputs* that result from these activities. Activities are the actions undertaken, and Outputs are what was yielded from these activities. For example, if an activity is associated with establishing working relationships across agencies, outputs could comprise memorandums of understanding, establishment of *ad hoc* committees, or similar.

Figure 3: Monitoring of Activities and Outputs



2.3.3 Monitoring of Results (Use of Outputs)

Monitoring of *Results* is, as the name implies, monitoring what resulted because an output was delivered. For this reason, it is referred to herein as ‘Use of Outputs’.

Employing the same example as above, the establishment of a Memorandum of Understanding between the Department of Social Development and the Social Security Board to build an integrated database would be the output, and the *result* would be progress against establishing, and using, this database.

Figure 4: Monitoring of Use of Outputs



2.4 Monitoring the Social Protection Plan of Action

The Social Protection Plan of Action has identified priorities for the next three years. These comprise a series of activities falling under three outcomes:

- Outcome 1: Sector integration
- Outcome 2: Outreach, engagement and the social protection floor
- Outcome 3: Strengthening the evidence base for social protection

The Activities under these three Outcomes are elaborated in the Plan of Action. The structure of the Plan of Action for short-term priorities is summarised in the following table:

Table 1: Structure of the Short-Term Plan of Action

Activities and Sub-Activities	Lead Officer, Lead Agency and Support Agencies	Indicators	Targets by end 2021 (Outputs)
Outcome 1: Social Protection Sector Integration			
Outcome 2: Outreach, Engagement and the Social Protection Floor			
Outcome 3: Strengthening the Evidence Base for Social Protection			

‘Activities’ comprise main actions and sub-actions to be undertaken during the Short-Term Plan of Action aimed at advancing towards an overall Outcome. They are clear descriptions of actions to be taken.

‘Lead Officer, Lead Agency and Support Agencies’ refers to the specific post that is responsible for leading the activity/sub-activity, the Lead Agency that is responsible for supporting the Lead Officer, and which agencies will support the activity.

‘Indicators’ are the specific means of measuring progress towards the activity or sub-activity. These indicators are well specified, can be accurately measured, and reflect progress towards a target. They measure milestones at intervals so that progress towards a target can be assessed and, if necessary, remedial actions taken (e.g., ‘cross-agency meetings held to discuss the intent and content of Memorandums of Agreement’).

‘Targets’ refer to the intended output of the activity/sub-activity (e.g., X Memorandums of Agreement signed).

Costings are provided following the table.

2.5 Higher-Order Monitoring of the Plan of Action

Over the short-term Plan of Action phase (2019-2021), Outcomes and Impacts will *not* be directly assessed or measured by the Lead Agency. Rather, in 2021, as the short-term Plan comes to an end, the measurement of progress towards Outcomes and the emergent intended Impacts will be identified through a facilitated Formative Evaluation.

The results of this Formative Evaluation will yield a more robust monitoring system that includes the full monitoring of Inputs, Activities and Outputs, the routine measurement of the Use of Outputs (that is, what happened because an Output was delivered), and progress towards Outcomes and Impacts. This will enable the development and implementation of the next short-term plan for 2022-2024.

3 Approach to Evaluation

3.1 Evaluation of the Short-Term Plan of Action

Evaluation of the Short-Term Plan of Action for 2019-2021 can be divided into two components:

- *Process* evaluation of implementation, covering Inputs, Activities, Outputs, and Use of Outputs.
- *Formative* evaluation of Outcomes and Impacts.

Practically speaking, *Process* evaluation for this Plan of Action will comprise self-assessment by agencies of their performance, and Department-led assessments of overall performance. *Formative* evaluation can be led by an external agency, resources permitting, working closely with implementing partners. As noted in Section 2, the purpose of the Formative Evaluation is to ensure that the 2022-2024 Plan is well informed by what happened during the 2019-2021 Plan.

3.2 Evaluation Focus

Following the OECD/DAC approach to evaluation, evaluation covers:

- Efficiency
- Effectiveness
- Relevance
- Impact
- Sustainability

Efficiency is defined as how economically resources/inputs (funds, expertise, time, etc.) are converted into results. **Effectiveness** is defined as the extent to which the intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance. **Relevance** considers the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partner and donor policies. **Impact** is defined as positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. **Sustainability** concerns the measurement of whether the benefits of a set of activities are likely to continue after donor funding has been withdrawn (see OECD, 2010).

For **Process** Evaluation, the emphasis is on the *Efficiency* of the management of Inputs and Activities, the *Relevance* of Activities and Outputs towards achieving the intended results, and the *Effectiveness* of the Outputs to yield Results (Use of Outputs).

For **Formative** Evaluation, the emphasis is on understanding progress towards *Impacts* and *Sustainability*.

3.3 Evaluation Approach to the Plan of Action

For the three year Short-Term Plan of Action timeline (2019-2021), the focus will be on **Process** Evaluation, as evaluation capacity is built among relevant agencies. This comprises measuring the *Efficiency* of Inputs and Activities and the *Effectiveness* of Output and their use (Use of Outputs, or results). Process Evaluation will be handled internally, led by the Department of Social Development, and engaging the other implementing partners. Efficiency covers a range of measures, but could consider questions such as: ‘what is the unit cost of non-contributory social protection service delivery by type of service delivered?’; what would be the savings if a health insurance scheme were in place?; what would the cost be to establish the proportion of employed and self-employed persons who should be on social security but who are not, compared to the cost of providing non-contributory social protection services to these non-covered persons?; and similar. Effectiveness can be simply measured against the actions proposed in the short-term plan of action, asking ‘how far did we advance towards our intended actions?’

Process evaluation actions will take place twice a year, once six months prior to the end of the financial year and the second one month before the end of the financial year. In this respect, the information contained therein would be included in the Department’s Annual Report. For the report in Month 6, it would involve the Director of Social Development assembling information from the implementing partners, and preparing a brief report in this regard.

For the second report, this would come following a consultative workshop. The workshop would be chaired by the Department and would comprise implementing agencies. At these workshops, progress against targets will be presented, constraints that emerged discussed, and actions taken to resolve constraints and prevent and overcome problems arising will be noted. Follow-on smaller group discussions within this workshop will review evidence and rate progress using a scale ranging from ‘no progress’ to ‘targets met’. Remedial actions would also be identified.

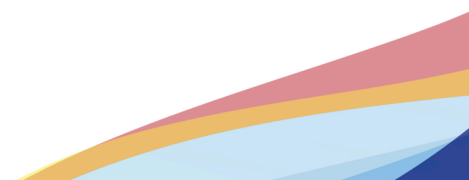
The result will be a Workshop Report that discusses, and scores, progress against Targets, and indicates what actions will be taken during the coming year. Any changes to the Action Plan would take place at this time, and be attached to the Workshop Report. This information would also appear as an annex to the Department’s Annual Report.

The direct involvement of the Permanent Secretary (PS) of Social Development in monitoring progress against the short-term plan of action means that the PS is able to regularly brief the Minister of Health and Social Development on progress and regress. It also means that the PS can attend, with the Minister, briefings with the Social Protection Board to move forward on operational improvements in social protection, and meetings where the Minister of Health and Social Development would be briefed and asked for advice aimed at supporting Policy implementation overall.

This will be reported on quarterly by the Director in written reports to the Minister, and annually by the Minister in written reports to the Social Protection Board. This will form the basis for the Minister’s annual reporting to the Executive Council on Policy implementation, and the follow-on reporting to the House of Assembly.

Following presentation to Parliament, the annual report will be made available in print and online, and a link will exist on the Ministry’s website for downloading. The updated Plan of Action will also be made available in a similar fashion.

Towards the end of the short-term Plan of Action timeline, following completion of the second annual review, an external Formative Evaluation will take place. The purposes of the evaluation will be two-fold: 1) to provide an assessment of progress and regress towards Use of Outputs, Outcomes and Impacts specifically to inform the next stage of implementation; and 2) to facilitate the development of either a Logframe or Results Framework or similar to guide implementation for the next planning phase. This evaluation will specifically consider the efficacy of targeting and the gendered effects of Plan implementation over the short-term Plan of Action timeline.



4 Other Means to Inform Programming

4.1 Reporting

Six monthly reporting by the Department to the Ministry, and annual reporting to social protection implementing partners as well as to the Minister of Health and Social Development and onward to the Executive Council form the main means to regularly inform those responsible for oversight.

4.2 Data Collection (Short-Term)

One of the three priority areas is evidencing social protection in Anguilla. Given the costs associated with large-scale data collection, the short-term plan of action timeline 2019-2021 will, working with Statistics and ethical approval entities, focus on the following two possible mechanisms:

- Providing inputs into planned surveys carried out by Government's statistical organisation, so that key social protection information can be collected.
- Planning for and implementing rapid quantitative studies based on priority information needs identified above. These are small scale, and will comprise short interviews no longer than 15 minutes in administrative length.

These studies will be led by the Department, under the guidance of an identified officer working with a representative from Statistics. Funds will be secured through the Department's budget, while also drawing on support from development partners, specifically to support external technical assistance and field data collection.

It should be noted that, due to the lack of domestic funds, no rapid quantitative studies re planned for the period 2019-2021. If funds are made available from external agencies, this would be revisited.

4.3 Data Collection (Medium- and Long-Term)

Medium- and Long-Term data collection needs have not been identified at this juncture. This will form part of the Formative Evaluation that will take place in 2021.