Creating a Learning Culture

An Overview of Key Planning, Monitoring and Evaluation Concepts

A Participatory Learning Approach

- Training Materials -

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Developed by
Jim Woodhill
IUCN Global M&E Initiative Facilitator
for East and Southern Africa
jwoodhill@ozemail.com.au

For More Information Contact
Nancy MacPherson
Coordinator
IUCN Global M&E Initiative
nmm@hq.iucn.org

Global M&E Initiative

IUCN
The World Conservation Union

IUCN – The World Conservation Union

Founded in 1948, The World Conservation Union brings together States, government agencies and a diverse range of non-governmental organizations in a unique world partnership: over 900 members in all, spread across some 138 countries.

As a Union, IUCN seeks to influence, encourage and assist societies throughout the world to conserve the integrity and diversity of nature and to ensure that any use of natural resources is equitable and ecologically sustainable.

The World Conservation Union builds on the strengths of its members, networks and partners to enhance their capacity and to support global alliances to safeguard natural resources at local, regional and global levels.

The IUCN Monitoring and Evaluation (M&E) Initiative

Through an approach which fosters questioning and reflection and engages stakeholders at the regional and global levels, the IUCN M&E Initiative aims to:

- develop a common understanding of M&E within IUCN
- develop a reflective culture within IUCN
- improve project/programme design and implementation through the use of methods and tools in project, systems and institutional assessments
- assess the relevance of the Union's work against the broader picture of ecosystem and human wellbeing
- improve learning processes and reporting of lessons learned
- put an overall M&E System in place for the Union.

Publications from the M&E Initiative are available on-line on the IUCN website http://iucn.org/themes.html

Acknowledgements

Written by Jim Woodhill – IUCN Monitoring and Evaluation Facilitator for East and Southern Africa.

Email – jwoodhill@ozemail.com.au

Introduction To Slide Set

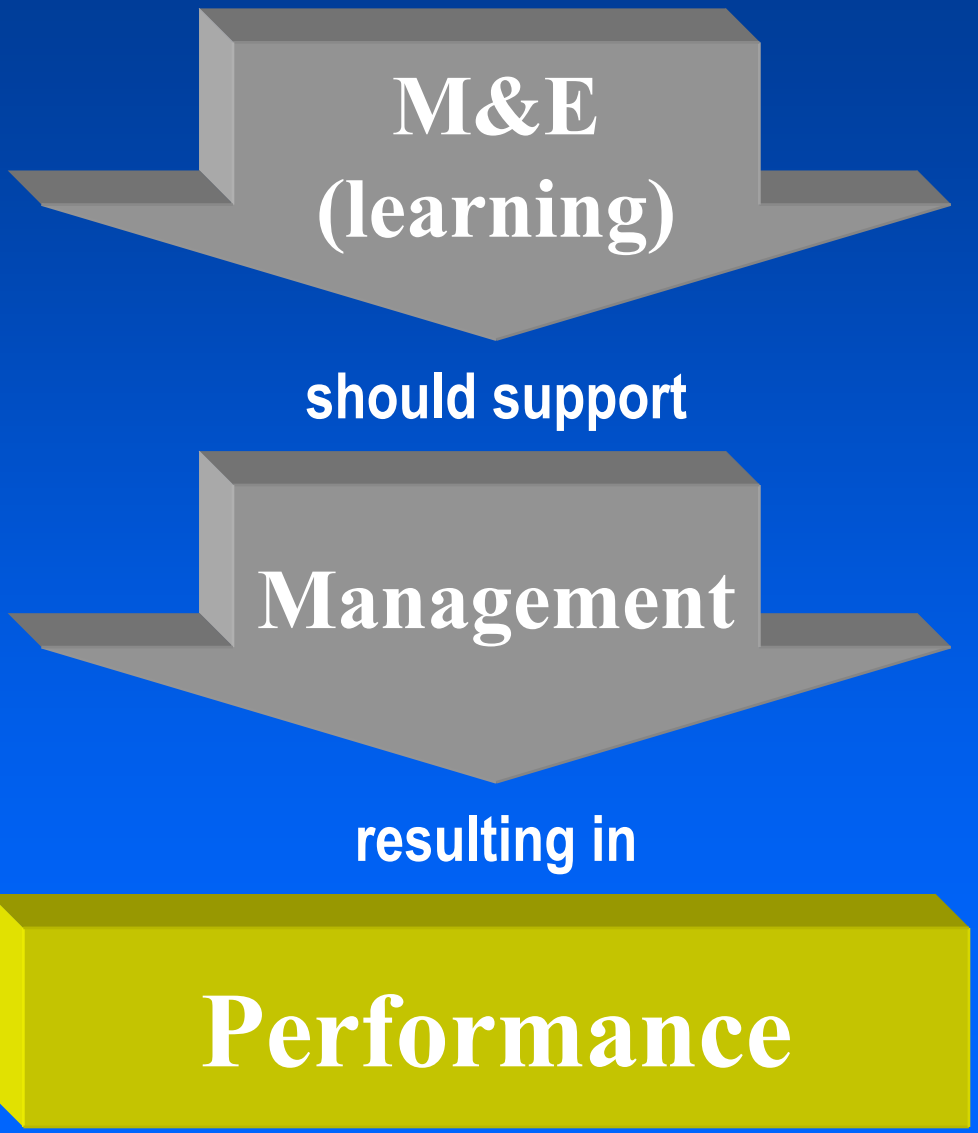
This set of slides covers a comprehensive range of topics related to project planning (design), monitoring and evaluation.

They are presented here in a roughly logical order. However for particular training sessions different orders and combinations of the slides are used.

The slides are also constantly being improved and updated with every PM&E training course conducted.

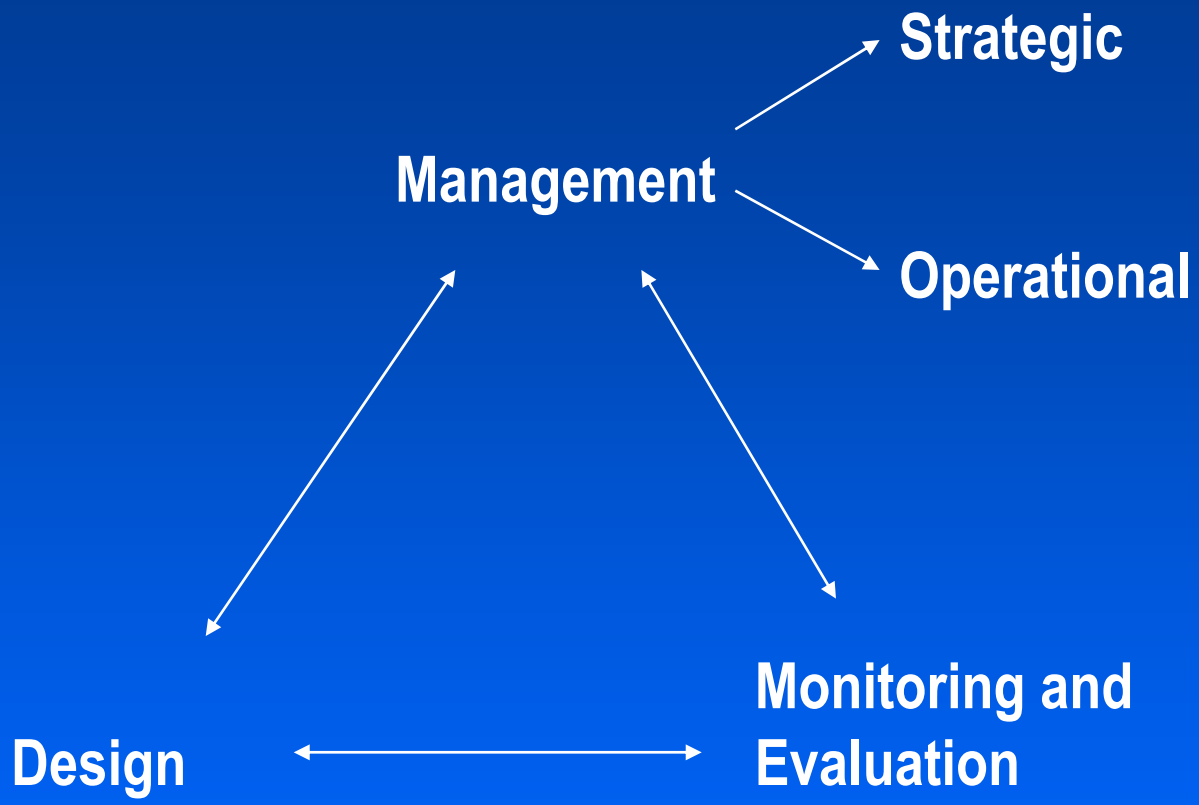
Module One
Introduction To PM&E

M&E - Critical Tools for Management



Management Functions and M&E

Design, Management and M&E



Adaptive Management and Action Learning/Research

- In a complex rapidly changing world blue print planning is a recipe for failure
- Often the solutions need to be found by testing alternatives and learning
- Unanticipated impacts (positive or negative) need to be monitored and responded to - solving one problem often creates another
- Things rarely go exactly as planned!
- Effective project management is adaptive management

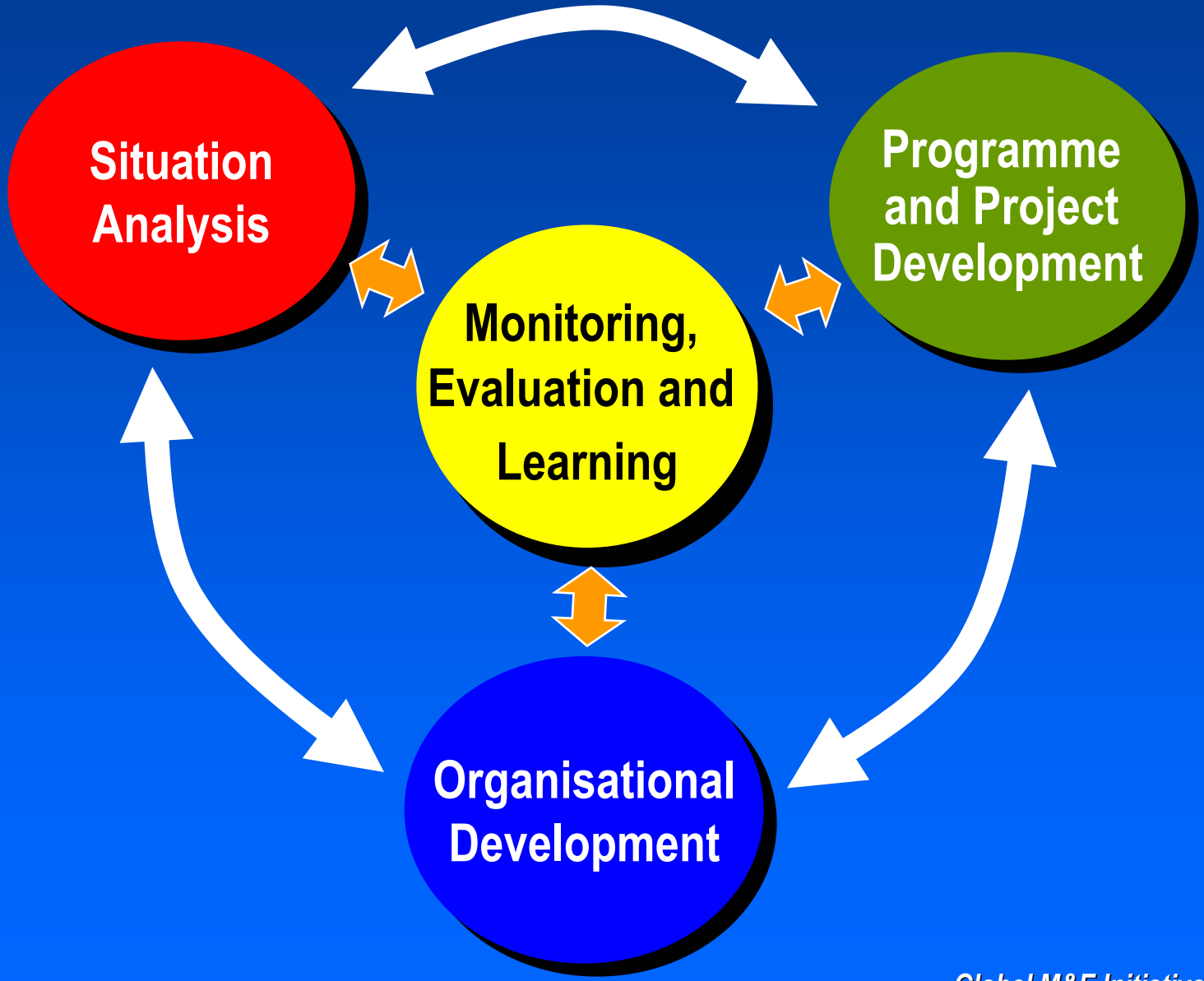
Dealing With Change

- NRM involves uncertainty and rapid change
- Adaptive management is recognised as a critical concept
- Blueprint plans are a recipe for failure
- Therefore, the need for:
  - ☺ constant cycles of planning, acting monitoring and evaluating
  - ☺ updating project plans and logframes
  - ☺ negotiating adjustments with donors and partners

Evaluative Thinking

- Evaluation is a process and way of thinking
- Evaluation is much more than just providing information for someone else at the end of a project
- Monitoring and evaluation should be an integral part of management
- Evaluative thinking begins with project design
- Monitoring and evaluation provides key information for management
- Monitoring and evaluation can be creative, fun and rewarding

An Integrated Perspective on M&E



Defining Monitoring and Evaluation

Evaluation: periodic comparison of actual results and impacts with those planned or expected, judging the overall worth of an endeavor and learning lessons to improve future action.

Monitoring: the regular collection and analysis of information to assist timely decision making, ensure accountability and provide the basis for evaluation and learning.

Purposes of Monitoring and Evaluation

- ⇩ Ensuring planned results are achieved
- ⇩ Improving and support management
- ⇩ Generating shared understanding
- ⇩ Generating new knowledge and support learning
- ⇩ Building the capacity of those involved
- ⇩ Motivating stakeholders
- ⇩ Ensuring accountability
- ⇩ Fostering public and political support

Challenges of Monitoring and Evaluation

- ⇩ Assessing long term impacts
- ⇩ Dealing with uncertainty
- ⇩ Reconciling different agendas
- ⇩ Needing to simplify what is complex
- ⇩ Creating a learning culture
- ⇩ Coping with political imperatives
- ⇩ Overcoming a lack of capacity
- ⇩ Managing conflict

Fundamental Levels of Analysis

- ⇩ *Outputs* – What has been delivered as a result of project activities? (e.g. No of people trained)
- ⇩ *Outcomes* (results) – What has been achieved as a result of the outputs? (e.g. Extent to which those trained are effectively using new skills)
- ⇩ *Impacts* – What has been achieved as a result of the outcomes? (e.g. to what extent are NGOs being more effective) What contribution is being made to the goal? Are there any unanticipated +ve or –ve impacts?
- ⇩ *Lessons* – What has been learnt from the project that can contribute to improved project implementation or to building relevant fields of knowledge?

Conceptual Levels of M&E Design

Paradigm

An overarching framework of beliefs, assumptions and approaches that shape how individuals, organisations or societies behave and respond to problems or opportunities

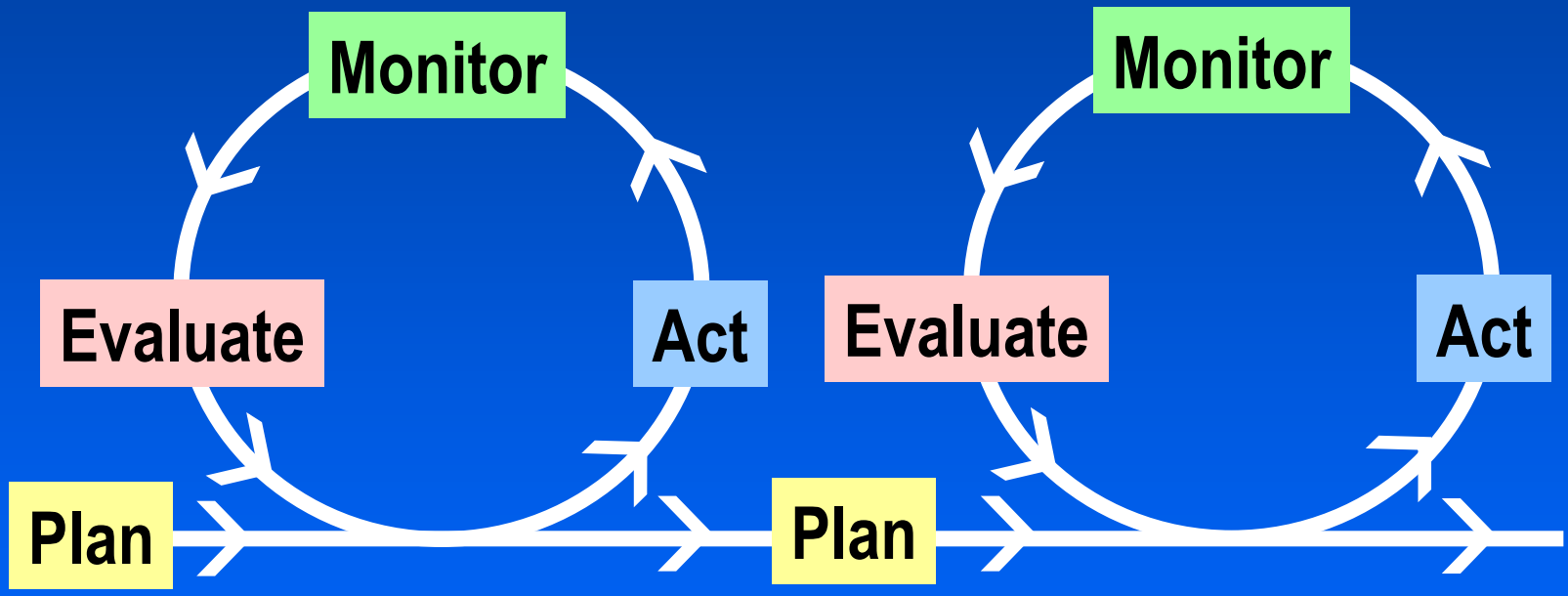
Methodology

A coherent and logical approach or process for undertaking particular types of tasks or solving particular problems

Tools and Techniques

The specific ways of completing the micro-level tasks that add up to a methodology

The Action Learning/Research Cycle



A Participatory Learning Approach

To make M&E useful focus on:

- ⇩ Information needs for management
- ⇩ Participation of stakeholders and beneficiaries
  - ☺ project staff
  - ☺ project partners
  - ☺ donors
- ⇩ Facilitating learning
- ⇩ Providing feedback
- ⇩ Questioning assumptions (reality checking)

LFA, ZOPP, OOPP, RBM …

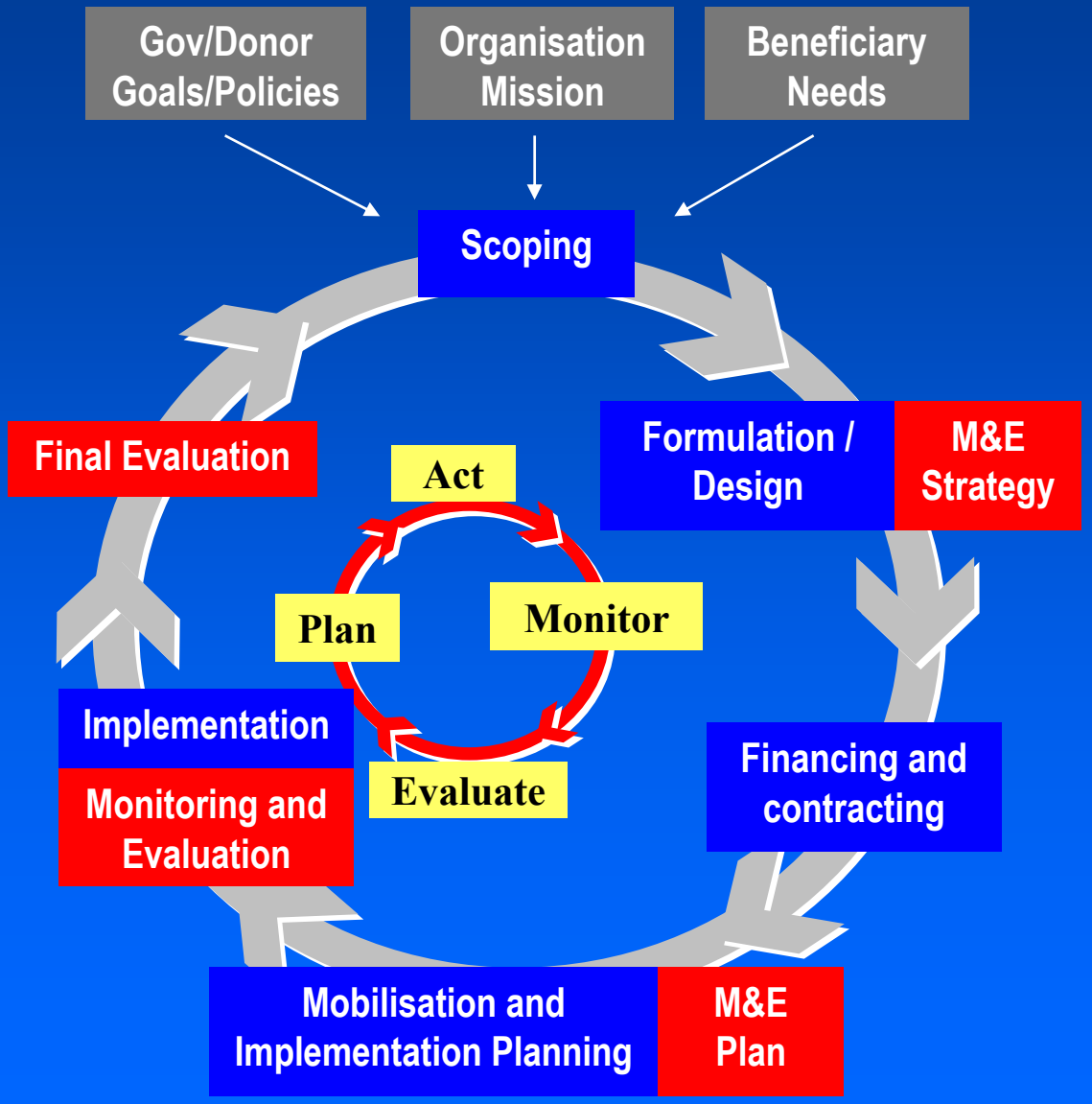
⇩ Particular processes of project design and M&E promoted by different agencies

But..

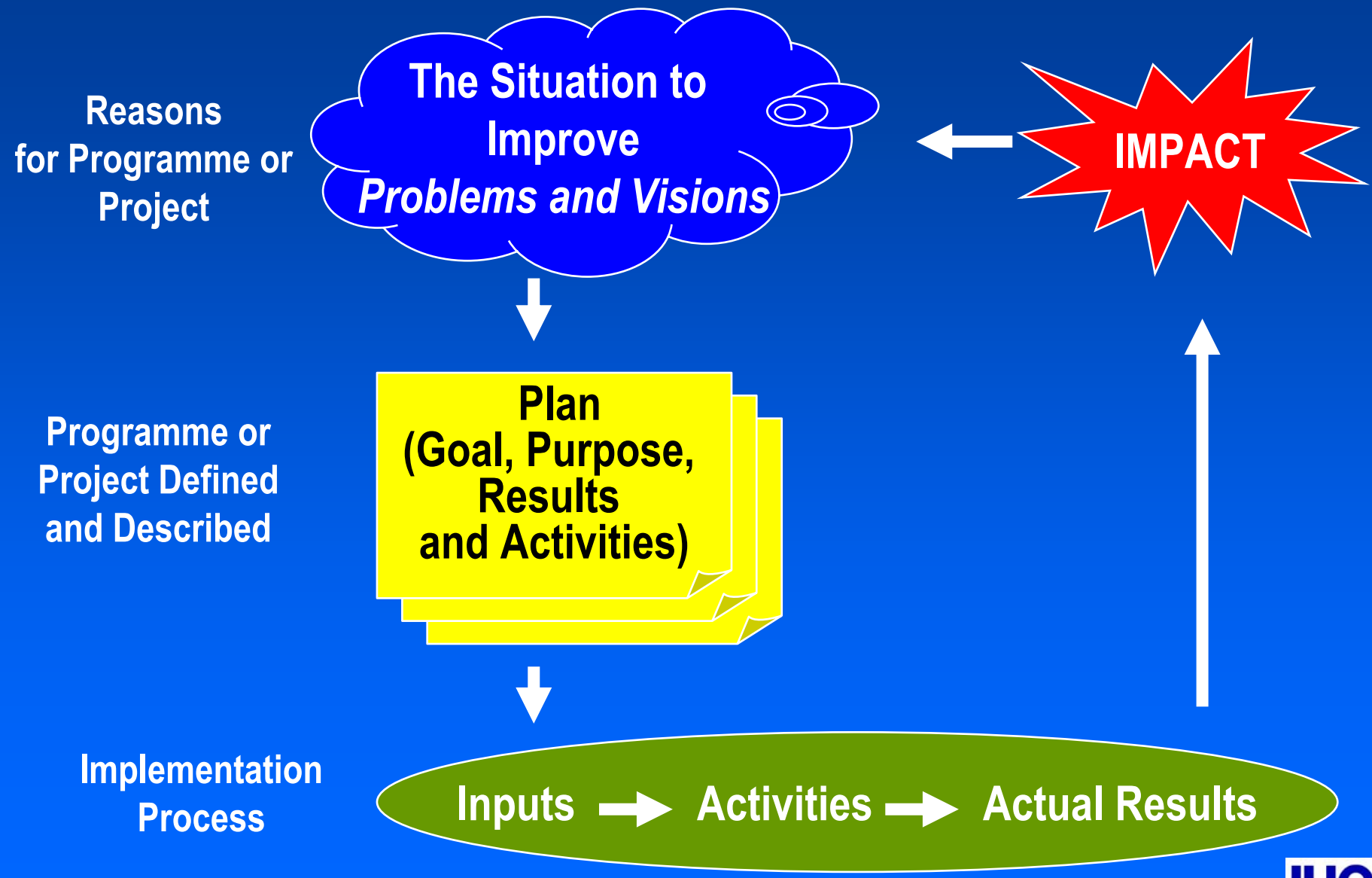
Underlying principles of project design and M&E are similar

Understanding fundamental principles and practices allows flexible use of different processes

The Programme/Project Cycle



Project/Programme Make Up and Logic



Key Aspects of Evaluation

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Key Aspects of Evaluation

- **Relevance** - Was/is the project a good idea given the situation to improve? Was the logic of the project correct? Why or Why Not?
- **Effectiveness** - Have the planned results been achieved? Why or Why Not
- **Efficiency** - Have resources been used in the best possible way? Why or Why Not?
- **Impact** - To what extent has the project contributed towards its longer term goals? Why or Why Not? Have there been any unanticipated positive or negative consequences of the project? Why did they arise?
- **Sustainability** - Will there be continued positive impacts as a result of the project once it has finished? Why or Why Not?

Distinguishing Effectiveness from Impact

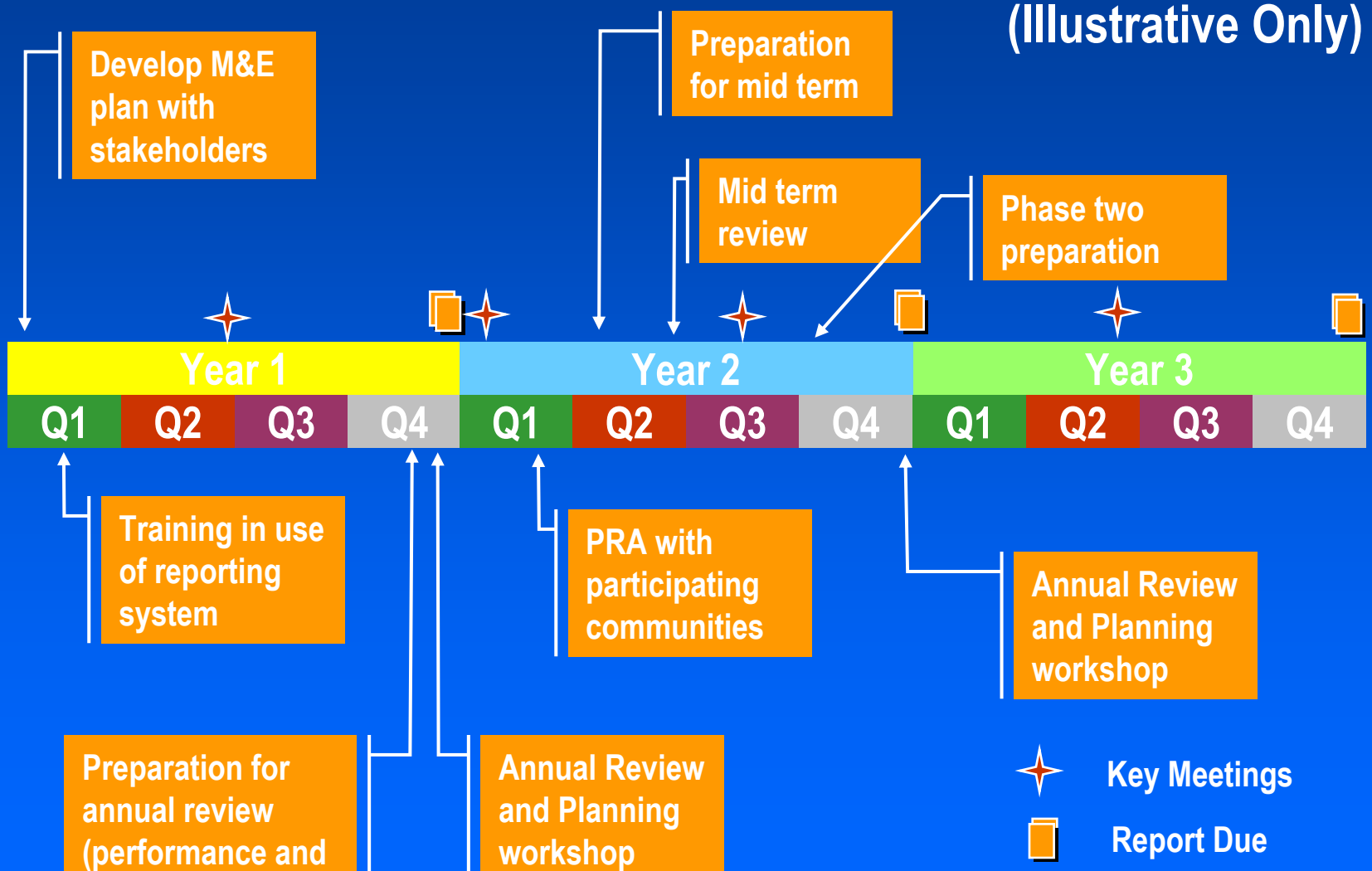
- Effectiveness
  - the extent to which a project has achieved its expected results
  - project managers should be directly accountable for performance (the achievement of results)
  - effectiveness can be assessed directly during the life of a project
- Impact
  - the extent to which a project contributes towards longer term or higher order goals
  - impact may be difficult to attribute directly to a project
  - impact can be difficult and expensive to measure
  - the project can not be held solely responsible for impact
  - impact may not occur to during the project life

Steps for Developing an M&E Plan

1. Establish the Purpose and Scope of the M&E System
2. Review the Project Objective Hierarch
3. Develop a Results Orientated Monitoring and Evaluation Framework
4. Establish a Project Review and Planning Schedule
5. Identify the Systems, Procedures and Tools For Implementation
6. Identify Actions, Timing and Responsibilities For Implementation
7. Clarify the M&E Budget

Visualising an M&E Plan

(Illustrative Only)



Evaluating Evaluation

M&E should be judged by the following standards:

Utility - that the evaluation will serve the practical information needs of intended users

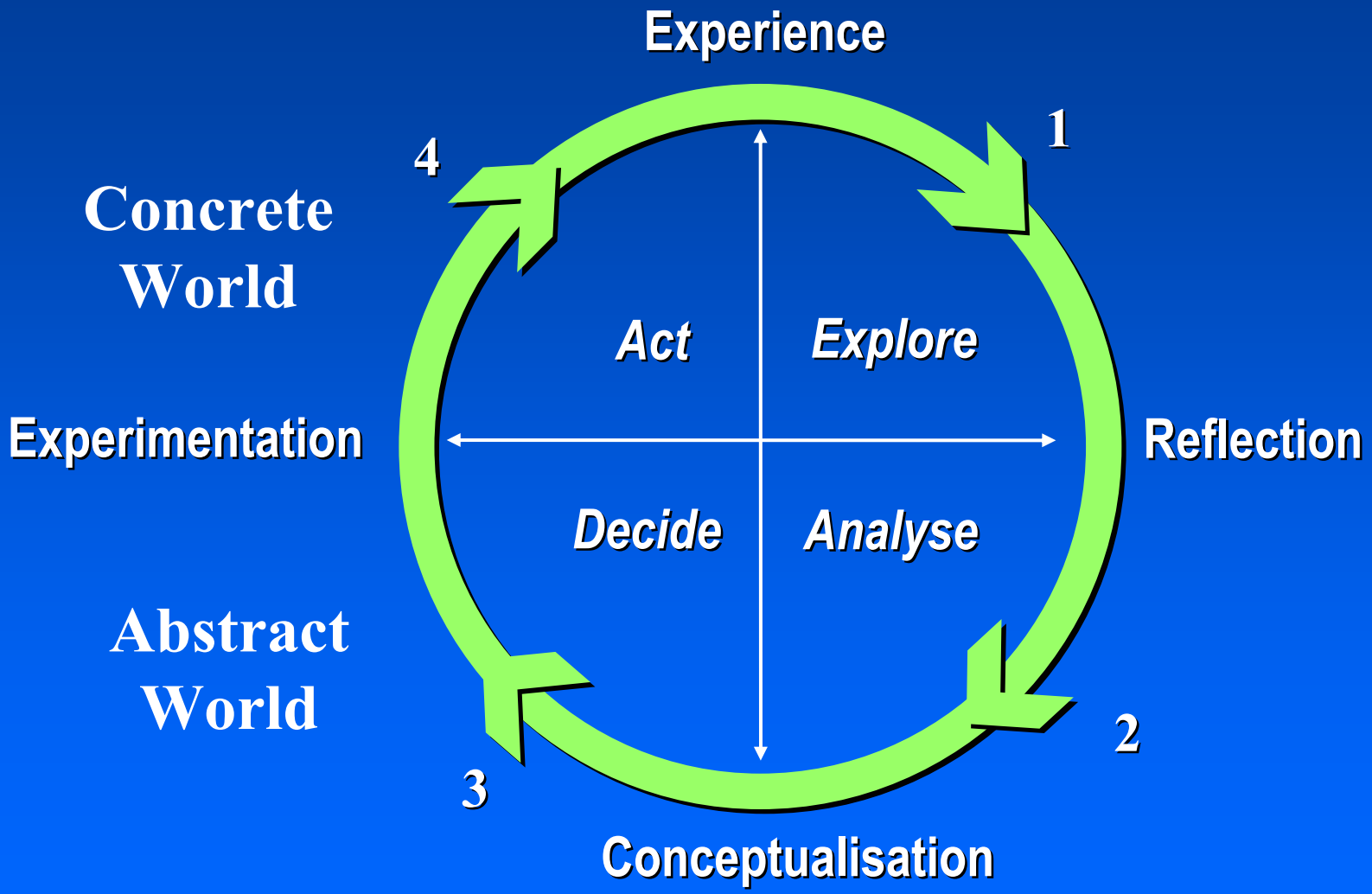
Feasibility - that the evaluation will be realistic, prudent, diplomatic and cost effective

Propriety - that the evaluation will be conducted legally, ethically and with due regard to the welfare of those affected by its results

Accuracy - that the evaluation will reveal and convey technically adequate information

Module Two
A Participatory Learning Approach to PM&E

The Experiential Learning Cycle



Develop a Creative Learning Process

- Designing the learning process is as important as designing the information gathering process
- Develop a process that helps people to move in a structured way through the learning cycle
- Many routine M&E tasks can become learning experiences
- Present information simply and graphically
- Assist in identifying contradictions, 'false' or differing perceptions and incorrect assumptions
- Balance positive recognition of results with constructive analysis of failure

M&E Stakeholder Analysis

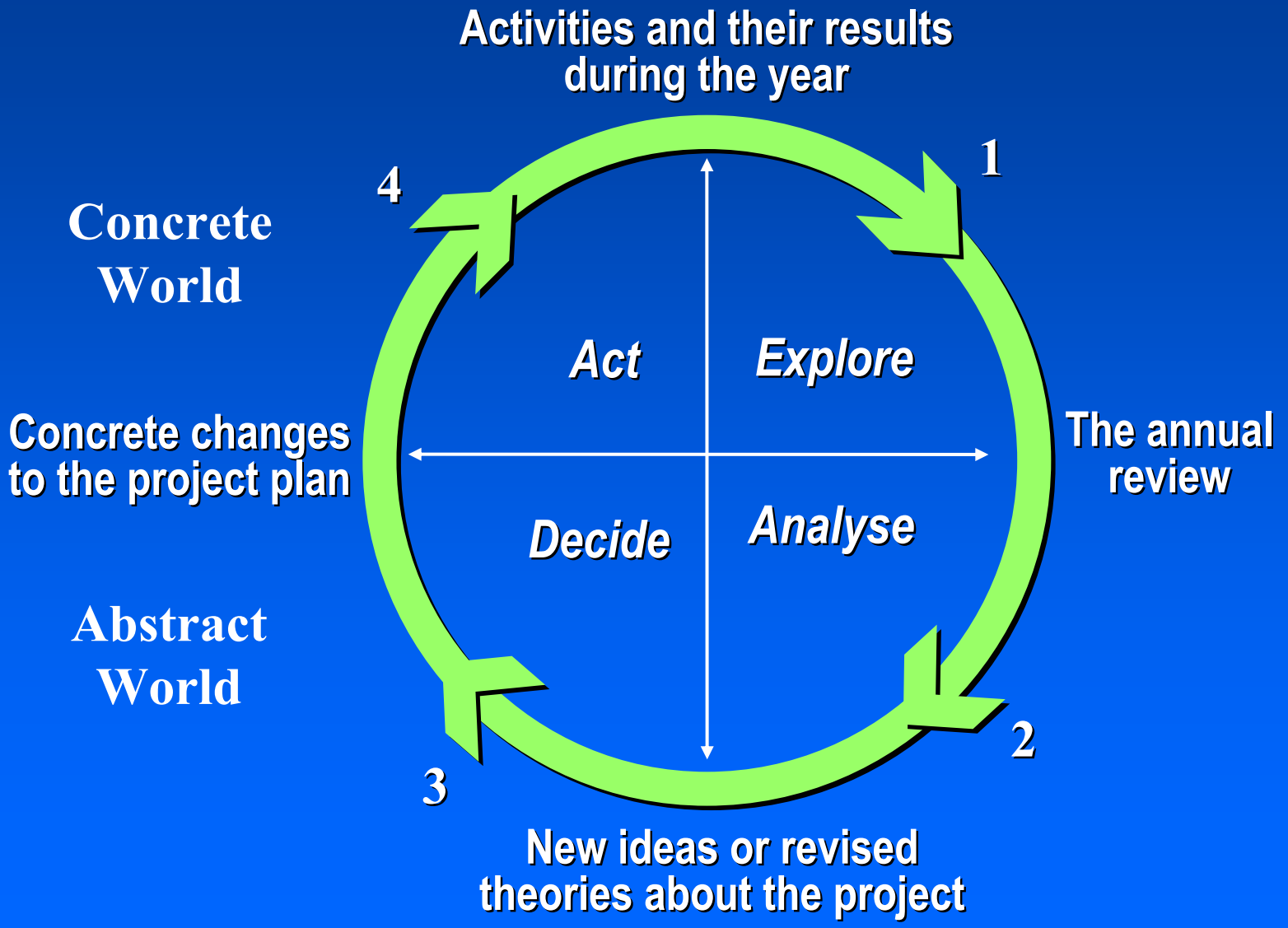
Complete an M&E stakeholder analysis that asks:

- ☺ Who are the stakeholders?
- ☺ What decisions do they make that affect the project?
- ☺ What are their information needs?
- ☺ How can they be assisted to effectively use evaluation information and learn from it?
- ☺ Which stakeholders should be involved in what aspects of M&E to ensure ownership and use of the evaluation results?

Make Use of Participatory Methods and Techniques

1. Rich Pictures
2. Brainstorming
3. Visioning
4. Questionaries and Surveys
5. Mind Mapping
6. Cause and Effect Mapping
7. Historical Analysis
8. Locality Mapping
9. Focus Groups
10. Semi-Structured Interviews
11. Flow Diagrams
12. SWOT Analysis
13. Institutional Linkage (Venn) Diagrams
14. Information Tabulation and Graphing
15. Matrix Analysis
16. Issue Analysis
17. Organising and Prioritising Information (Card Technique)
18. Interrelationship Diagrams
19. Nominal Group Technique
20. Action Planning

Annual 'Project Learning Cycle'



What is a Lesson Learnt?

- Knowledge derived from the reflection, analysis and conceptualisation of experience that has potential to improve future action
- A lesson learnt is not just:
  - An observation
  - A guideline
  - An untested hypothesis
  - A generalisation
- Can relate to:
  - An individual
  - A group / team
  - A discipline or area of theory
- Can emerge from successes, failures and surprises

Learning ≠ Lessons Learnt

- A lesson learnt summarises knowledge at a point in time
- Learning involves applying lessons learnt to future actions, which provides the basis for another cycle of learning

Learning Lessons

Regular reflection

… by stakeholders / decision makers

… that makes use of focused questions and general observations

… in a process of analysis based on the learning cycle

leading to lessons being documented, disseminated and used.

Questions to Answer before Expanding Participation in M&E

- Why is participation in M&E desirable? What do the project and other stakeholders expect?
- How are these expectations about the benefits/costs of participation in M&E related to the project objectives and to the formulated objectives of M&E (step 1)?
- Of the stakeholder groups, who should be included?
- What should be their role in M&A?
- What are the implications of increased participation for the project (costs/benefits; additional inputs/support)?

M&E Stakeholder Analysis

Complete an M&E stakeholder analysis that asks:

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Who Should Learn?

- People who benefit directly from the project
- Project managers / steering committee
- Project staff and partners
- The wider community
- Funding providers / donors
- Government agency staff Schools
- Consultants
- Professional facilitators
- Universities
- Opponents to the project
- Media
- Naturalist groups

BUT THINK CAREFULLY AND CHOOSE - NOT ALL CAN BE INVOLVED!

Module Three
Project Design

Situation Analysis - *The Starting Point for Project Design*

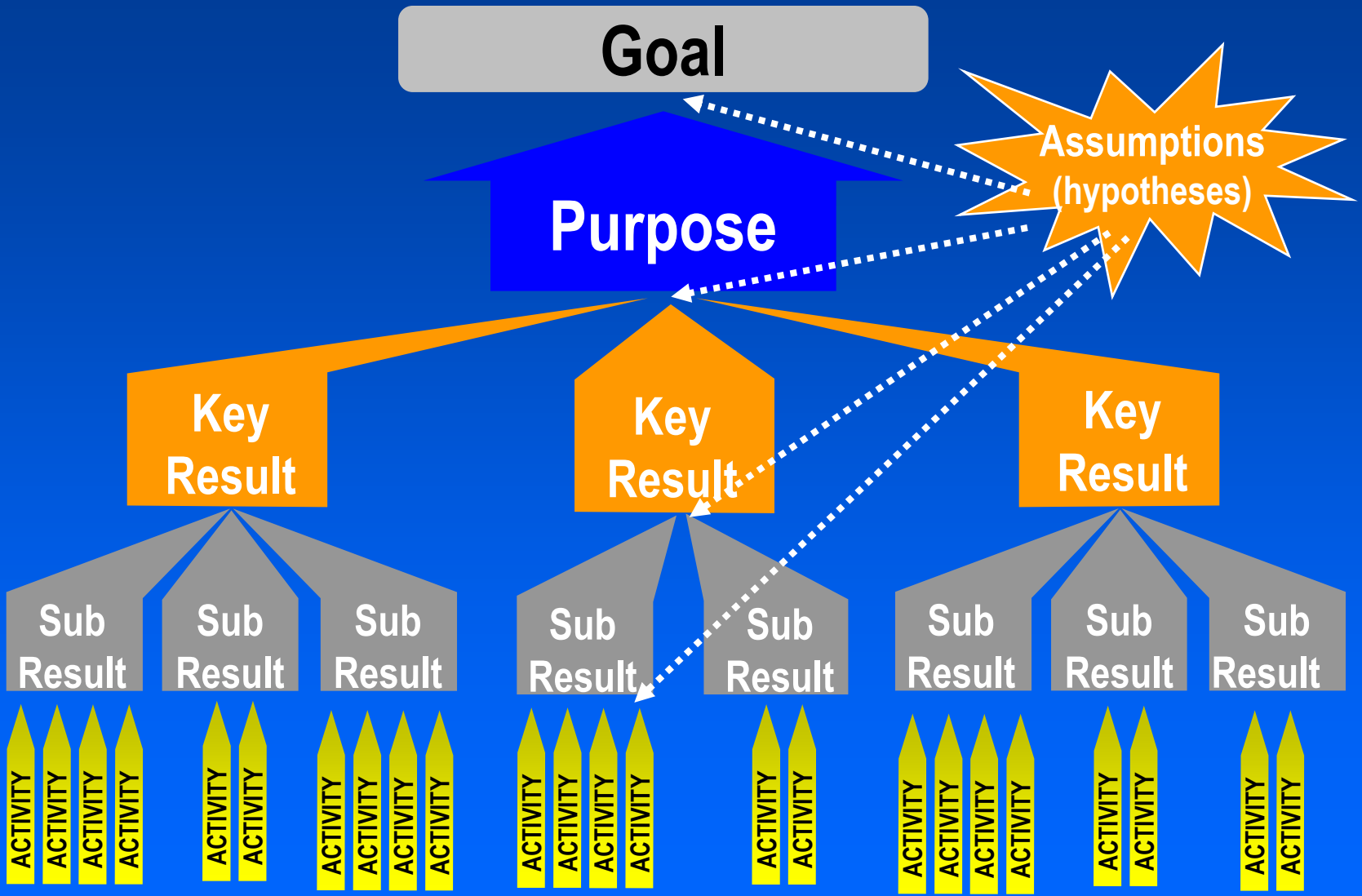
⇩ **Definition:**

An analysis of the status, condition, trends and key issues affecting ecosystems, people and institutions in a given geographic context at any level (local, national, regional, international)

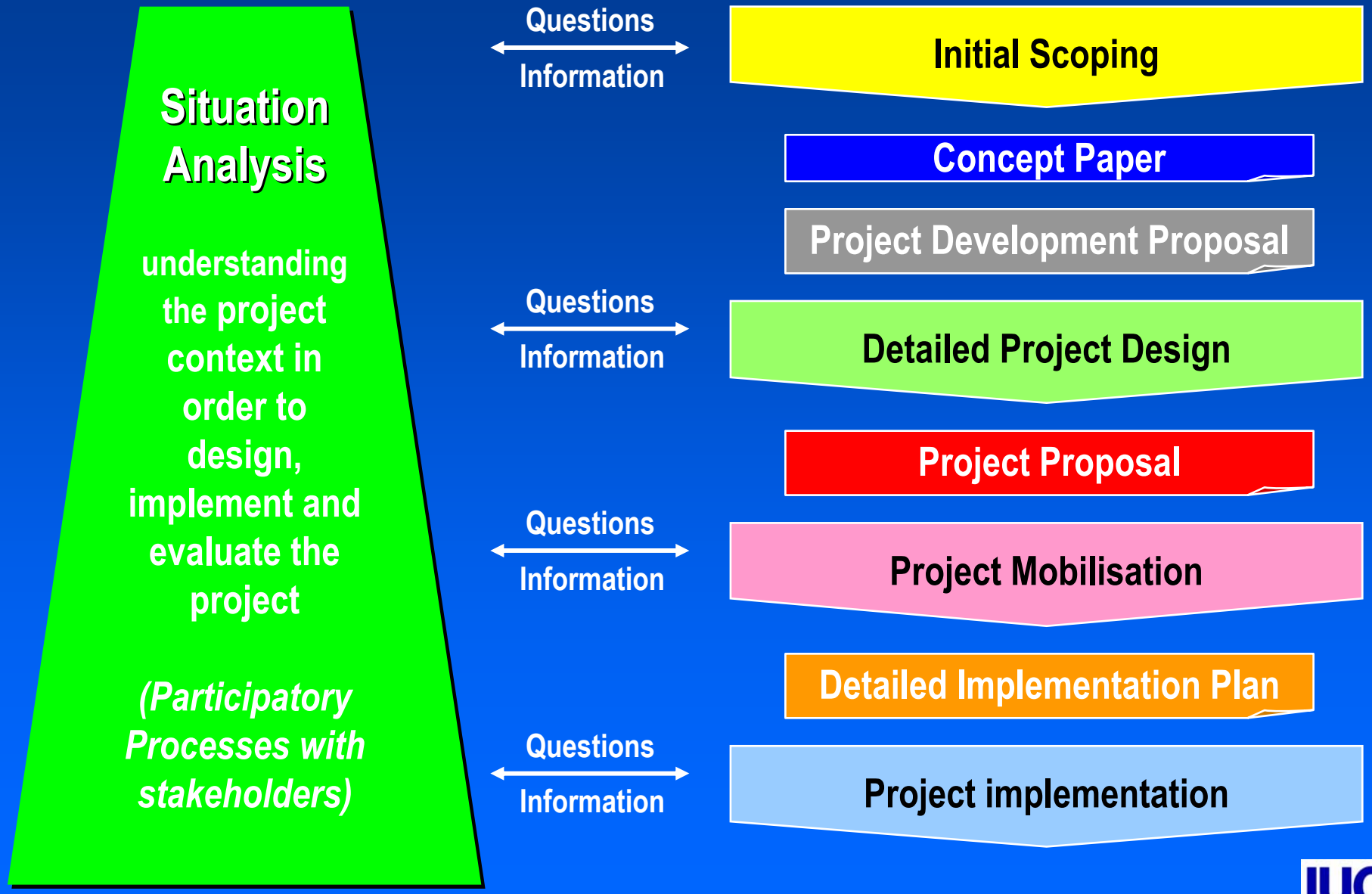
⇩ **Purpose:**

- ☺ To clearly identify the needs and concerns of beneficiaries and affected stakeholders
- ☺ To ensure a project design is appropriate to the situation
- ☺ To assess the likely consequences of a project within its wider context
- ☺ To assess situational factors that will influence project implementation and effectiveness

Objective Hierarchy



Project Design and Situation Analysis



Situation Analysis Questions - 1

- **Defining the Boundaries of the Situation**
  - What is the geographic scope of the project?
  - What are the primary issues or problems with which the project is directly concerned?
  - What are the secondary issues or problems the project will deal with in order to improve the primary issues or problems?
- **Stakeholder Analysis**
  - Who are all the stakeholders and how are they involved in the situation?
- **Problem Analysis**
  - What are the problems that are central to the focus of the project?
  - What are the main problems and concerns of different different stakeholder groups and how do these relate to the focus of the project?
- **Vision / Aspiration Analysis**
  - What are the visions and aspirations of the different stakeholder groups in relation to the focus of the project?
  - What are the visions and aspirations of the different stakeholder groups in generally?

Situation Analysis Questions - 2

- **Institutional Analysis**
  - ***Organisations***
    - What are the important community, NGO, government and private sector organisations?
    - How do different organisations relate?
  - ***Legal, Policy and Planning Frameworks***
    - What is the legislative situation?
    - What is the policy situation?
    - What plans or planning processes are in place?
  - ***Social and Cultural Analysis***
    - What are the main social and cultural conditions relevant to the project?
  - ***Economic Analysis***
    - What is the economic circumstance of households and communities?
    - What are the main forms of livelihood?
    - What are the main economic activities of the project area?
  - ***Political Analysis***
    - What are the formal political and government structures?
    - What are the main political issues or conflicts?
    - What are the main power dynamics

Situation Analysis Questions - 3

- **Biophysical Analysis**
  - What the geographical characteristics of project area?
  - What are the climatic conditions
  - What is the land use situation?
  - What are the main environmental issues?
- **Infrastructure**
  - What is the level of infrastructure in the project area and how does this affect people and relate to the project?

- **Note: for each question consider:**
  - ☺ The current situation
  - ☺ Changes and trends over time
  - ☺ Future scenarios given different assumptions
  - ☺ Commonalities and divergence of perspectives by different stakeholders

Situation Analysis Methods

- Analysis of background documentation
- Informal meetings
- Participatory rural appraisal
- Stakeholder workshops
- Semi-structured interviewing
- Surveys
- Focus groups
- Observation
- Formalised research work

Rich Picturing

- **What is a 'Rich Picture'**
  - A drawing of a situation that illustrates the main elements and relationships that need to be considered in trying to intervene to create some improvement.
  - Pictures, text, symbols and icons should all be used to graphically illustrate the situation.
  - It is called a rich picture because it illustrates the richness and complexity of a situation.
- **Why Develop a Rich Picture**
  - A rich picture helps us to understand the complexity of an entire situation. It is a way of thinking holistically. A rich picture helps us to see relationships and connections that we may otherwise miss.
  - 'a picture tells a thousand words'
  - Developing a rich picture is also a good group exercise as everyone can add to it and use it to explain their particular interests or perspectives.
  - A rich picture can also be a non-threatening and humorous way of illustrating different perspectives and conflicts.

Rich Picture Example

How to Develop a Rich Picture

- A rich picture is best developed in a group of about 7 people.
- Have a large piece of flip chart paper. Four standard sized sheets joined together is a good rule of thumb. The more complex a situation the larger the piece of paper required.
- Put the paper on a table around which everyone is sitting or standing in a way that each person can easily draw on the picture. Make sure each person has a marking pen and that within the group there are different coloured markers.
- Encourage everyone to contribute and make it clear that skill in drawing is not at all important.
- Use the situation analysis questions below as a guide for developing the rich picture. Start with the physical features of the situation and main stakeholders.
- For future reference ask the group to write a written story about the picture using numbers to link the picture to explanations

Assumptions/Hypotheses

- The set of conditions that are believed to be true in order for activities to lead to results or for lower level results to lead to higher level results/objectives
- The conditions that justify a particular intervention logic
- The basis of the cause and effective relationships in a project

Project Assumptions (Hypotheses)

- Particular knowledge, understanding or beliefs about the way 'things' are or behave that are accepted as being true (or extremely likely) for the purpose of project design.
- (Beliefs, judgements, hypothesis or explanations about the state or nature of particular conditions, processes or cause and effect relationships around which a project is designed.)
- Assumptions underlie the entire intervention strategy of a project.
- Project assumptions have varying reliabilities (likelihoods of being true)

Two Types of Assumptions

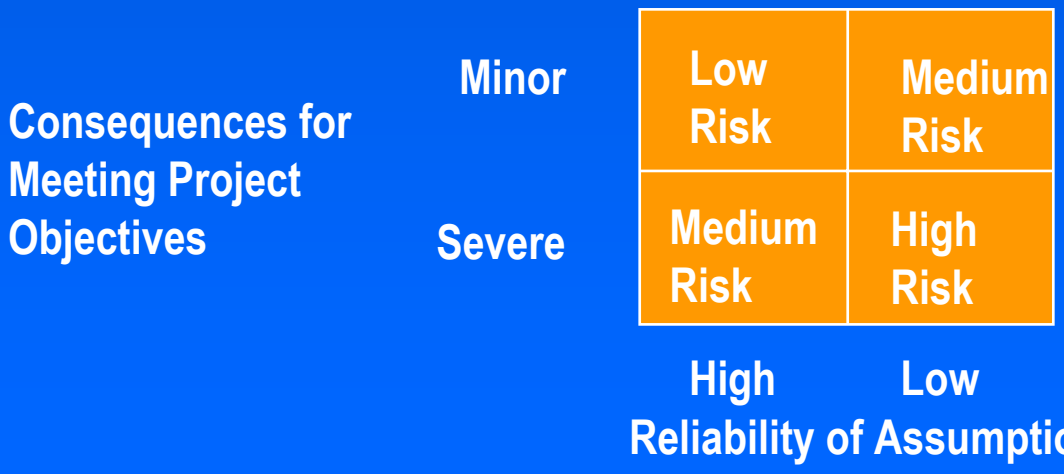
1. External Conditions eg:
   - ⇩ Climatic conditions (rainfall) will not vary substantially from the average
   - ⇩ There will be political stability
   - ⇩ Implementing agencies have the will and capacity to implement the project
2. Internal project logic assumptions about cause and effect relations eg:
   - ⇩ Improved cash crops will increase household income and family wellbeing (lack of market = no income, men spending income on alcohol = no increase in family wellbeing)
   - ⇩ Training programme will lead to improved employee performance (organisational environment may not support this)

How to deal with Project Assumptions?

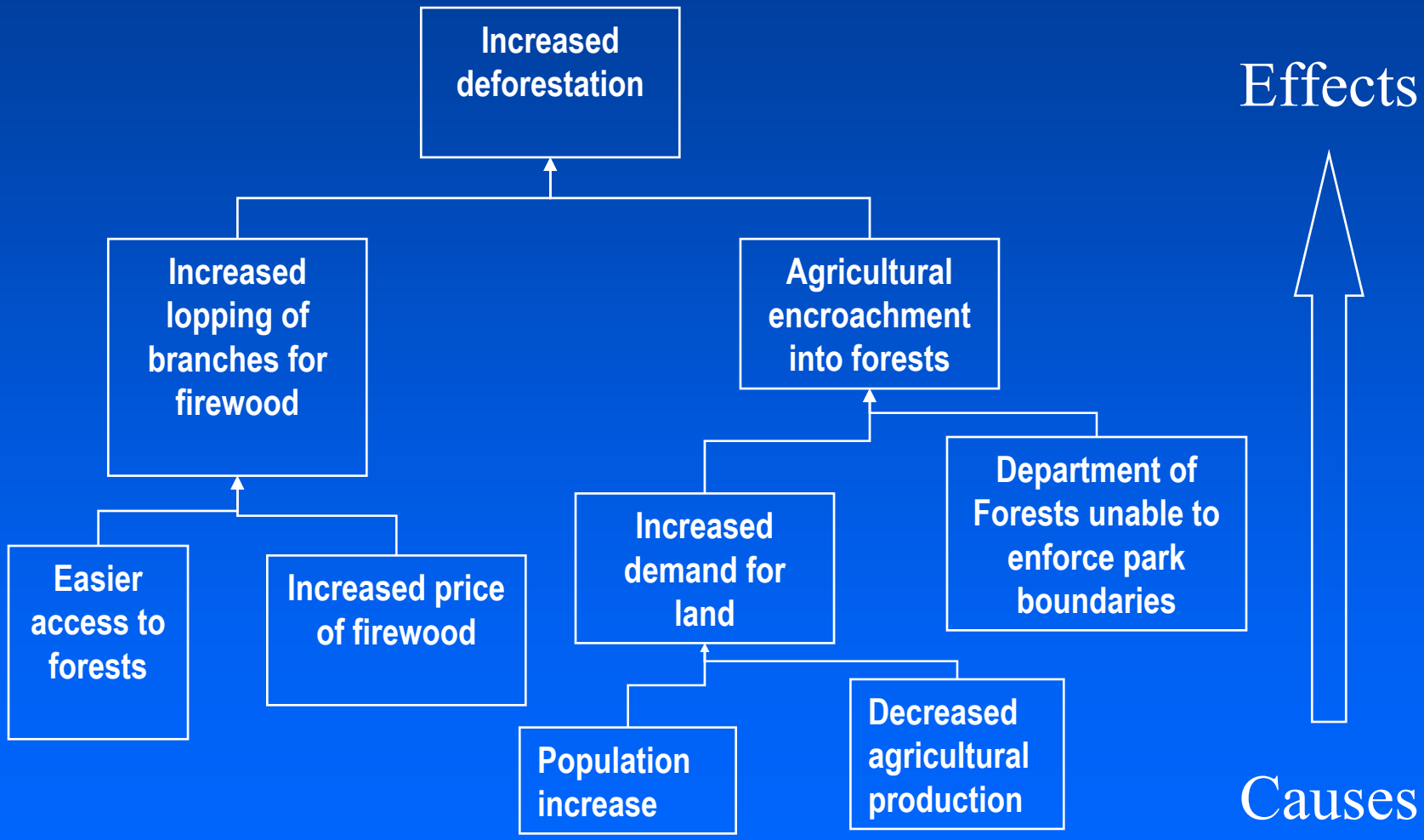
- For each adjacent two levels of the objective hierarchy, identify what the project is assuming it will have or will happen, besides that which is explicit already, for the expected result at the superior level to be achieved via the collective lower level.
- For each assumption, ask:
  - What are the risks for the project in case the assumption is *not* valid? (ie in case the assumed does *not* occur)
  - What is the possibility that the assumption is *not* valid?
  - In case of high likelihood of an invalid and high risk assumption, what can be changed/included in the project in terms of activities or (sub) results to reduce the risk of the project failing due to the assumption?

Project Risk Assessment

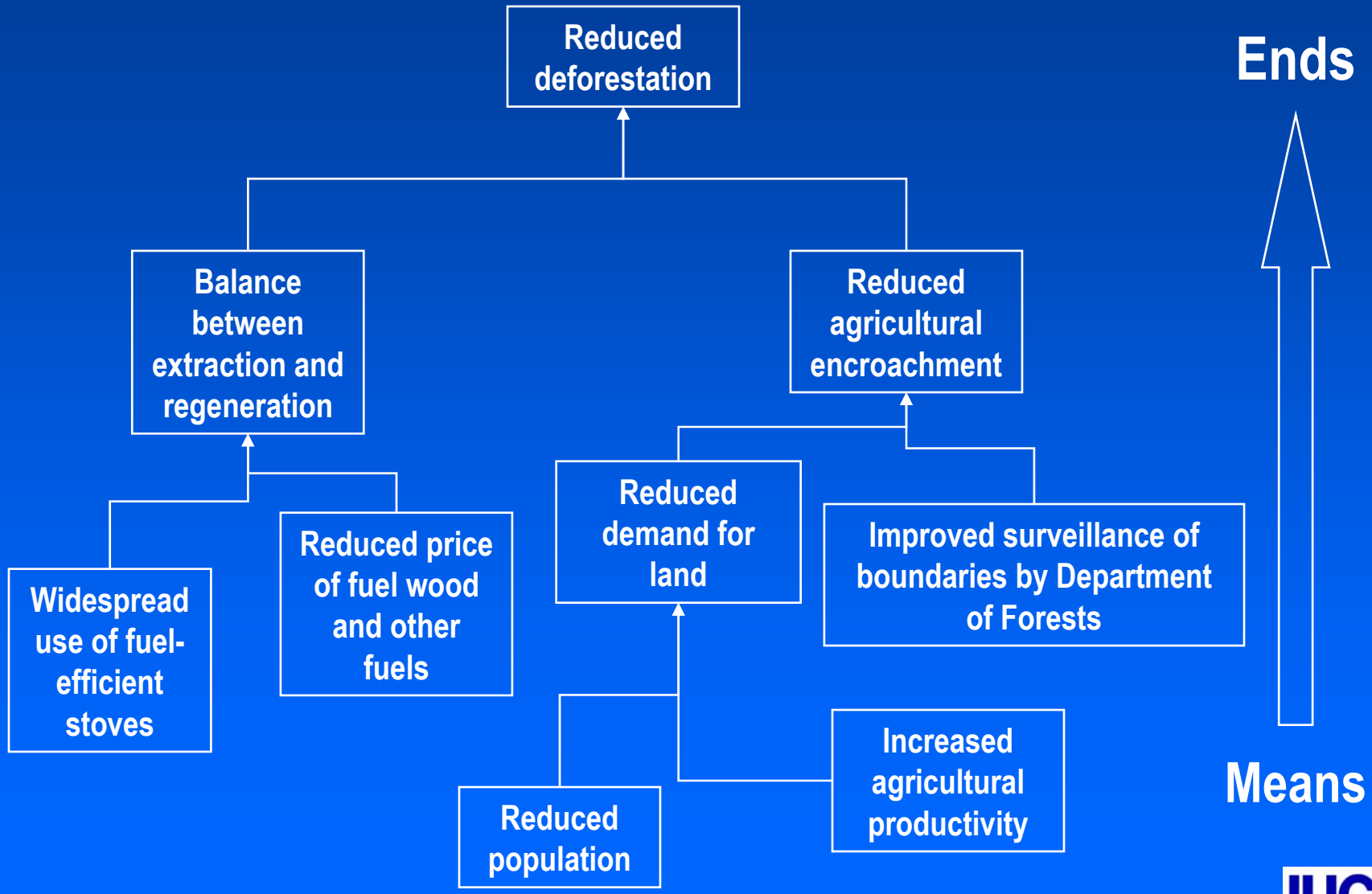
- Assessment of how likely it is that an assumption will turn out to be false and the implications of this for the project.
- High risk assumptions (killer assumptions) are those that are quite uncertain and which if inaccurate would cause the project (or parts of it) to fail.



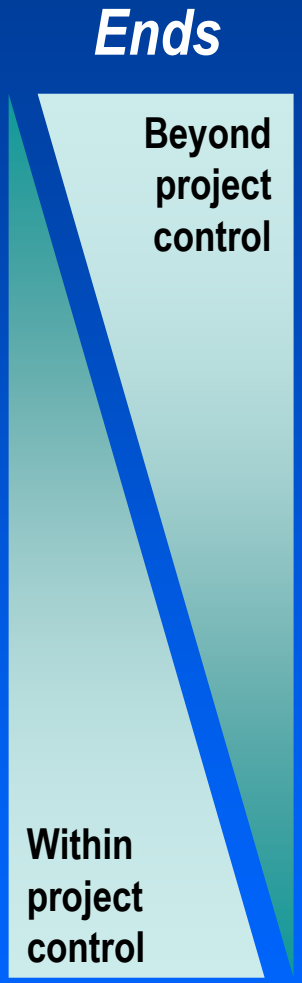
A Problem Hierarchy



A Hierarchy of Results



The Limits of Control and Accountability



Goal

Purpose

Key Results (Outcomes)

Sub Results (Outputs)

Activities

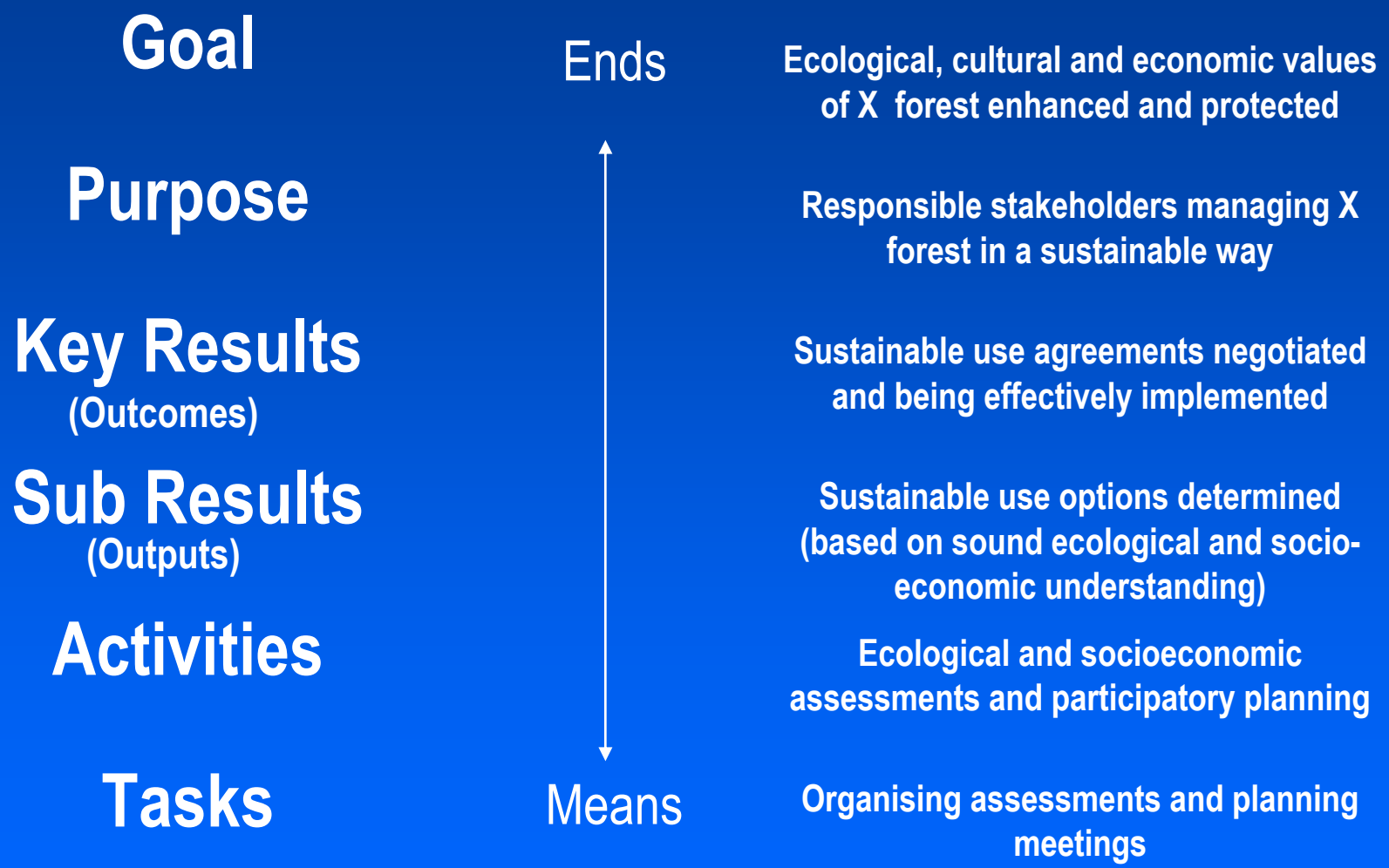
Tasks

… what is within the direct management control of a project

… what the project is contributing towards

… what overall the project can reasonably be accountable for achieving

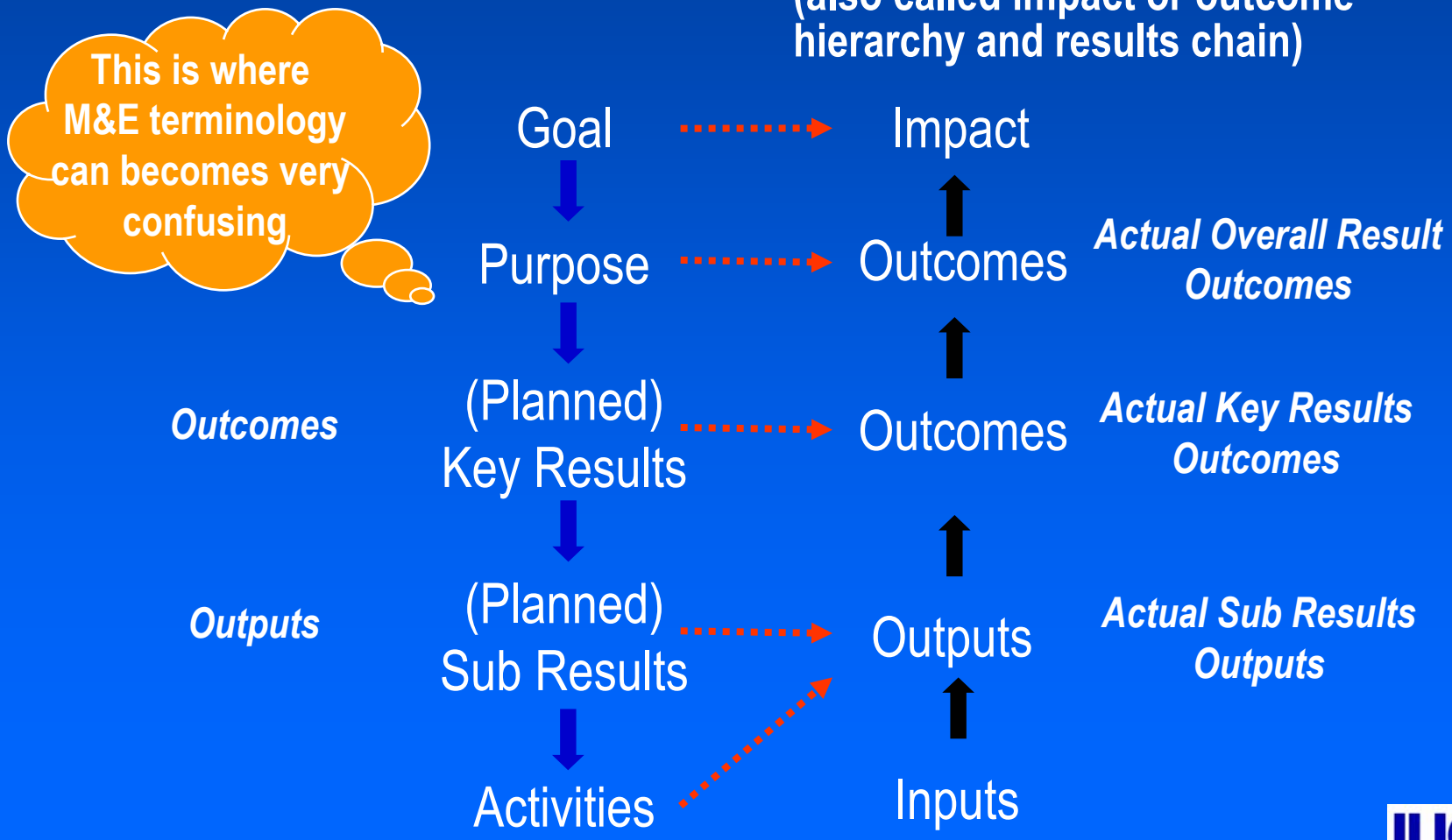
Objective Hierarchy



Objective and Results Hierarchies

- **Objective Hierarchy - what is planned to be achieved**
- **Results Hierarchy - what is actually achieved**

  (also called impact or outcome hierarchy and results chain)



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Results Chain Terminology

Term	Definition	*Exmaple*
Impact *(goal level)*	The longer-term higher order changes that that should eventually occur as a result of the programme or project. Corresponds to the contribution towards the goal.	Forest resources protected Improved wellbeing of people
Outcome *(purpose / key result level)*	The highest level results that should occur as a direct consequence of interventions during the live of the programme or project.	Communities adopt harvesting practices that are sustainable
Output *(sub result / output leve)*	The tangible products or services that must be delivered in order for the outcomes to be realised.	Collaborative management agreements developed and signed
Activity	The actions that must be undertaken for the products or services to be delivered	Workshops, meetings, resources assessments etc
Sub Activity / Task	Activities broken down into more detail to enable detailed workplanning and budgeting	Planning workshop Drafting Agreements

Examples of Different Objective Hierarchies

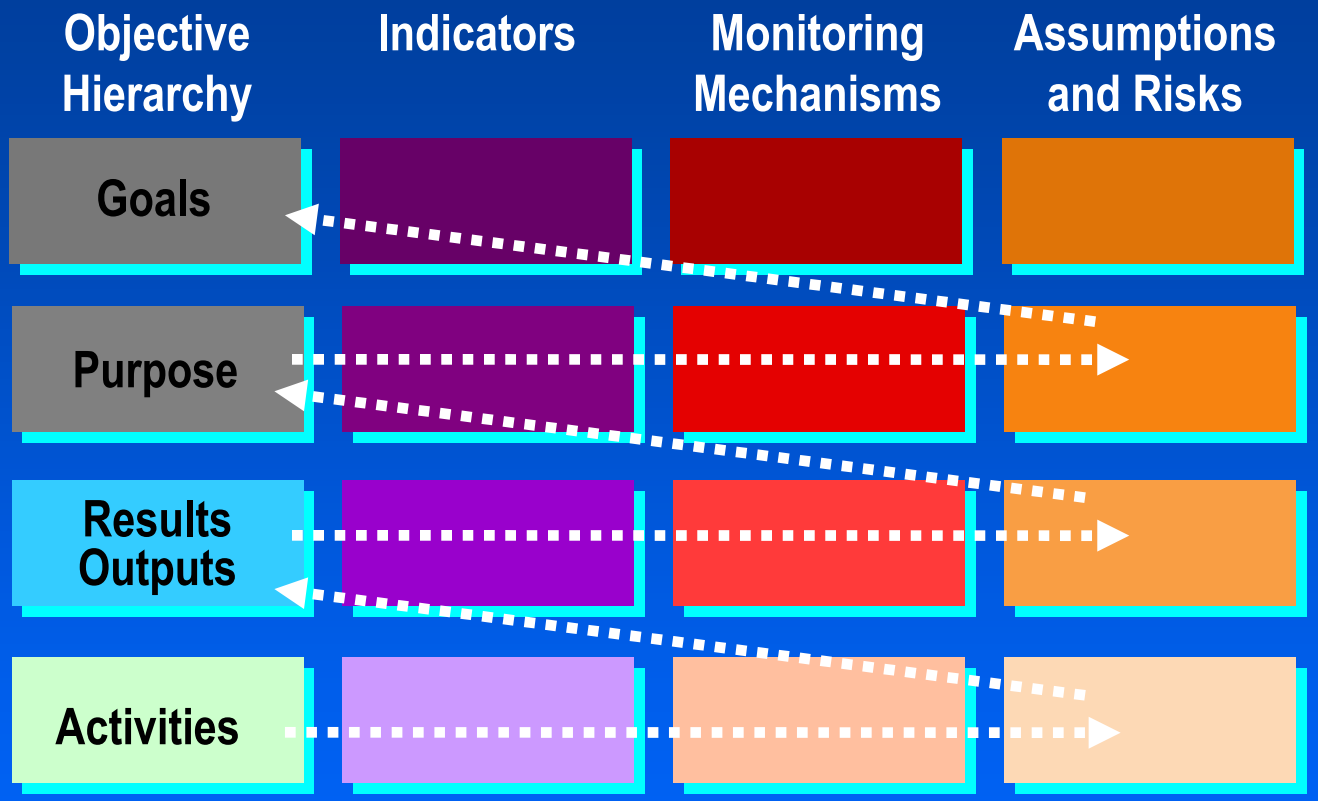
Results Based Management (RBM)

- An approach to project design and management that emphasizes achieving results rather than simply carrying out activities
- Common sense but many projects having fallen into the trap of loosing sight of what they are really trying to achieve
- RBM implies an effective project monitoring and evaluation system
- Within the context of the project purpose results should be set at the highest level for which the project could realistically be responsible

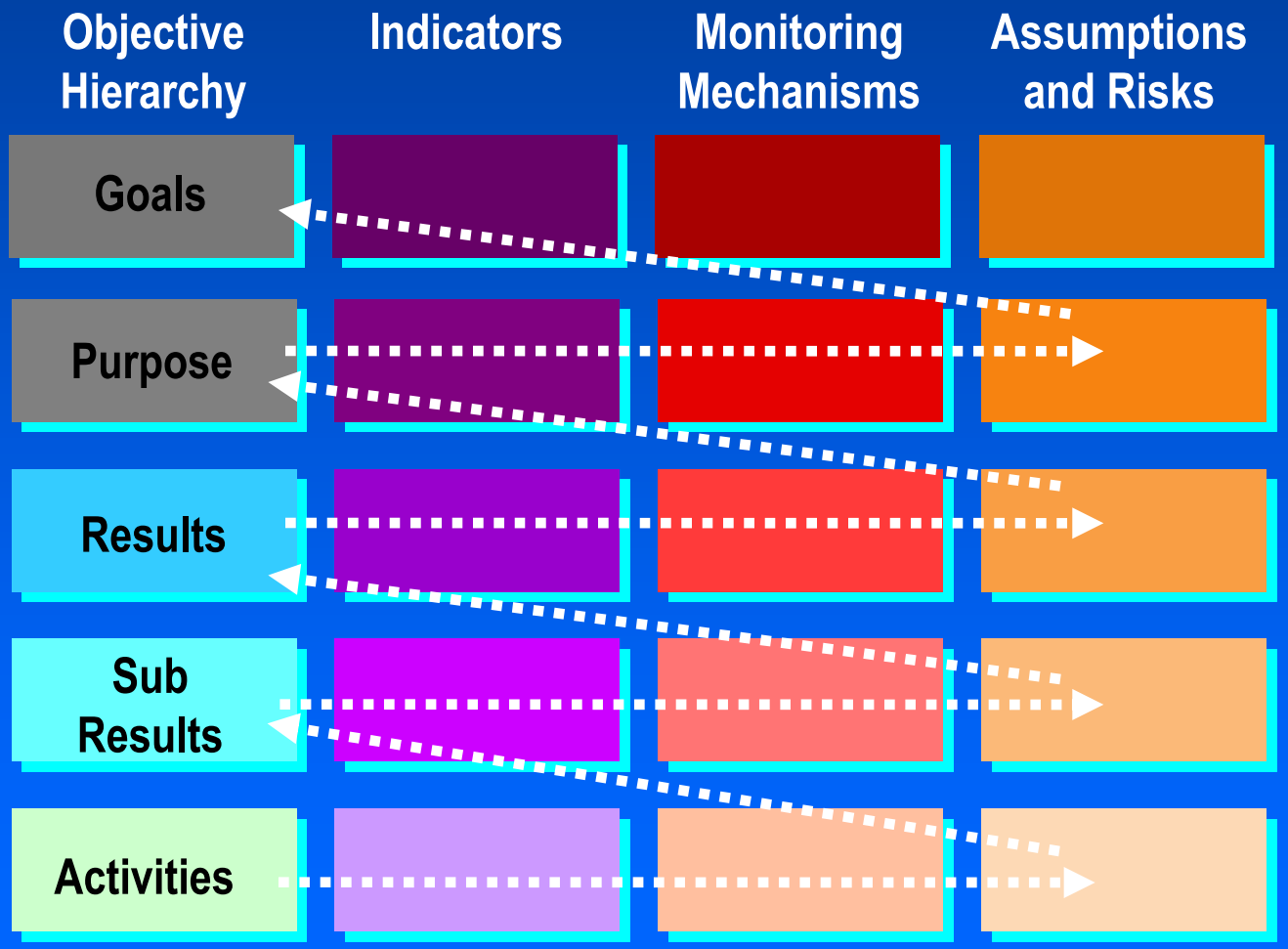
Logical Framework Approach (LFA)

- The most commonly used approach for project design
- Key features:
  - participatory planning with stakeholders
  - clear problem identification and diagnosis
  - rigorous analysis of intervention logic, assumptions and risks
  - identification indicators and monitoring mechanisms
  - summary of project in logical framework matrix
- LFA can be used rigidly as a 'blue print' or flexibly as a tool for adaptive management
- Completing a logical framework matrix is <u>not</u> the same as using LFA for planning

TraditionalLogical Framework (LFA) Matrix



Modified Logical Framework (LFA) Matrix Extra Layer of Results



Donor Terminology - Objective Hierarchy

European Union	ZOPP/ Logframes	World Bank	Asian Development Bank	USAID	CIDA
Overall Objectives	Goals	Development Objective	Goals	Strategic Objective, Intermediate Result	Long-term Develop - mental Result (Impact)
Project Purpose	Purpose	Project Development Objective	Purpose		Medium-term Develop- mental Result (outcomes)
Results	Outputs	Outputs	Components	Project-level Intermediate result (outcome)	Short-term Develop-mental Results (outputs)
Activities	Activities	Activities	Activities	Activities	Activities

Terminology - LFA Matrix Headings

Column One	Column Two	Column Three	Column Four
Objectives Objectives Hierarchy Narrative Summary Intervention Logic	Indicators Objectively verifiable indicators (OVIs) Performance indicators Targets	Monitoring mechanisms Means of verification Means of measurement M&E system Source of data	Assumptions and Risks

How SMART?

- As far as possible results should be:
  - **S**pecific
  - **M**easurable
  - **A**chievable
  - **R**elevant (to the project purpose and goal)
  - **T**imeframed
- But don't get too SMART…
  - ☺ What is achievable may need to be developed from experience
  - ☺ Good ideas take time to develop
  - ☺ Not everything that is worth doing can be easily measured

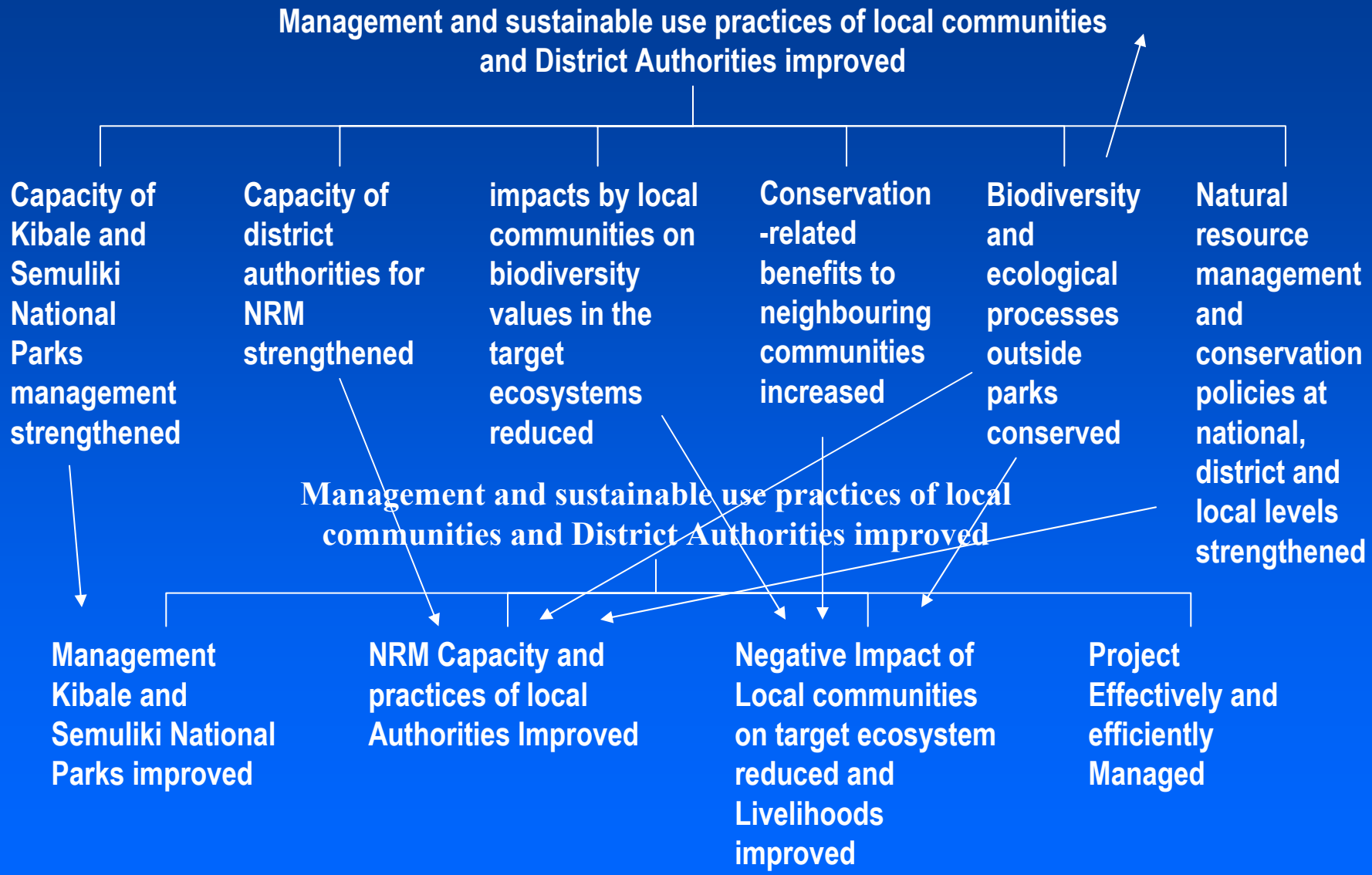
An Example of an Actual Project Hierarchy

Environmental, economic and social values of Kibale forests protected

Management and sustainable use practices of local communities and district Authorities improved

- Capacity of Kibale and Semuliki National Parks management strengthened
- Capacity of district authorities for NRM strengthened
- impacts by local communities on biodiversity values in the target ecosystems reduced
- Conservation -related benefits to neighbouring communities increased
- Biodiversity and ecological processes outside parks conserved
- Natural resource management and conservation policies at national, district and local levels strengthened

Revising an Objective Hierarchy



An example of too many and unstructured 'Activities' for one Key Result

- Capacity of Kibale and Semuliki National Parks management strengthened
  - A-1.1 complete tourism facilities
  - A-1.2 develop park income-generating activities
  - A-1.3 assist in rehabilitation and/or construction of park infrastructure
  - A-1.4 assist in provision and replacement of transport for K&SNPs
  - A-1.5 assist in provision of and replacement of equipment for K&SNPs (e.g. patrolling, office)
  - A-1.6 provide support to K&SNPs in training of park staff
  - A-1.7 support activities of community conservation units of K&SNP (e.g. workshops,m seminars, meetings, inc. PMACs)
  - A-1.8 assist K&SNP managements to draw up annual work plans based on LTMPs
  - A-1.9 provide technical assistance to K&SNP management to review progress of implementation work plans
  - A-1.10 assist K&SNPs in carrying out EIAs
  - A-1.11 assist in preparation of further LTMPs

An improved Key Result, with 5 Sub-Results instead of 11 Activities

- ⇩ Management Kibale and Semuliki National Parks improved
  - ☺ Quality profitable tourism developed
  - ☺ Staff having the skills to carry out responsibilities
  - ☺ Adequate facilities and equipment for effective management in place and maintained
  - ☺ Park operations carried out according to appropriate LTMPs and Annual Plans
  - ☺ Systems in place for ecological monitoring

Module Four
Developing a Detailed M&E Plan

Contents for an Overall Project M&E Plan

- ⇩ Purpose and scope
- ⇩ Overview of approach (concepts, terminology, methods)
- ⇩ General project evaluation activities - eg ...
  - ☺ Annual internal reviews
  - ☺ external reviews
- ⇩ M&E details
  - ☺ Goal level (impact)
  - ☺ Purpose level
  - ☺ Results level

  } - key evaluation questions
  - focussing questions for learning lessons
  - indicators and monitoring mechanisms
  - open-ended evaluation activities
  - participation and responsibilities
- ⇩ Appendices - eg ...
  - ☺ Budget
  - ☺ Details on indicators, monitoring mechanism, reporting
  - ☺ Gnat chart of key M&E activities over project life

Negotiating with Donors

- Make sure M&E expectations are clear on both sides at the project design and contracting stage
- Try to negotiate an M&E strategy that will be useful on both sides
- Budget explicitly for M&E and negotiate with donors about what is possible for a given budget
- Don't assume donors are inflexible in modifying a project if it is not going as planned - negotiate with them
- Update the project logical framework at least on a yearly basis and explain the reasons why to donors
- If you get stuck in bureaucracy go to more senior personnel - most donors now have policies of supporting an adaptive and learning approach to project management

Purpose

- What is the nature of the project and how does this influence M&E needs?
- Who are the key stakeholders and what are their information needs?
- Is the project action learning or research orientated?
- How complex is the project and what are the implications for management information?
- What emphasis is there on M&E for:
  - Management
  - Community learning
  - Discipline orientated learning
  - Reporting to funding agencies
  - Justifying the project to wider society
  - Promoting the performance of the implementing organisation

Scope

- How extensive or minimal will M&E be?
- How do the available human and financial resource affect the possible scope of M&E?
- What degree of stakeholder involvement will there be?
- What degree of external input will there be?
- What range of methods will be used?
- How extensively and in what form will M&E results be communicated?

Bridging the Results-Indicators Gap

- Simple quantitative indicators for results are often inadequate or inappropriate because:
  - ☺ Practically they may be too difficult or expensive to measure
  - ☺ What can easily be measured may be relatively meaningless
  - ☺ Indicators alone do not explain the reasons for success or failure
- A good M&E system requires not just indicators but a framework of evaluation questions, information requirements (including indicators), data gathering methods and analysis guidelines

Identifying Evaluation Questions

- What information or evidence will you need to establish that the result has been achieved?
- What information will you need to explain the success or failure of the result?
- What information will be needed to establish impacts (intended and unintended +ve and -ve

Detailed Versus Simple M&E

- **Detailed:**
  - ☺ Comprehensive evaluation questions and indicators developed for all results
  - ☺ Extensive and rigorous data collection and analysis undertaken

- **Simple:**
  - ☺ Focus on minimal set of key questions and indicators
  - ☺ Minimal data collection
  - ☺ Large reliance on review discussions/meetings with key stakeholders

Objective-Based and Open-Ended Evaluation

- Objective-based evaluation
  - focuses on whether planned activities, results and impacts have been achieved
  - makes use of specific (usually measurable) predetermined indicators
  - tends towards quantitative methods
- Open-ended evaluation
  - tries to understand the project holistically in its context
  - looks for unanticipated impacts
  - is concerned with process
  - tends towards the use of qualitative methods
- A good evaluation will generally have both objective based and open-ended elements

Fundamental Levels of Analysis

- ⇩ Outputs – What has been delivered as a result of project activities? (e.g. No of people trained)
- ⇩ Outcomes (results) – What has been achieved as a result of the outputs? (e.g. Extent to which those trained are effectively using new skills)
- ⇩ Impacts – What has been achieved as a result of the outcomes? (e.g. to what extent are NGOs being more effective) What contribution is being made to the goal? Are there any unanticipated +ve or –ve impacts?
- ⇩ Lessons – What has been learnt from the project that can contribute to improved project implementation or to building relevant fields of knowledge?

Defining Evaluation Questions

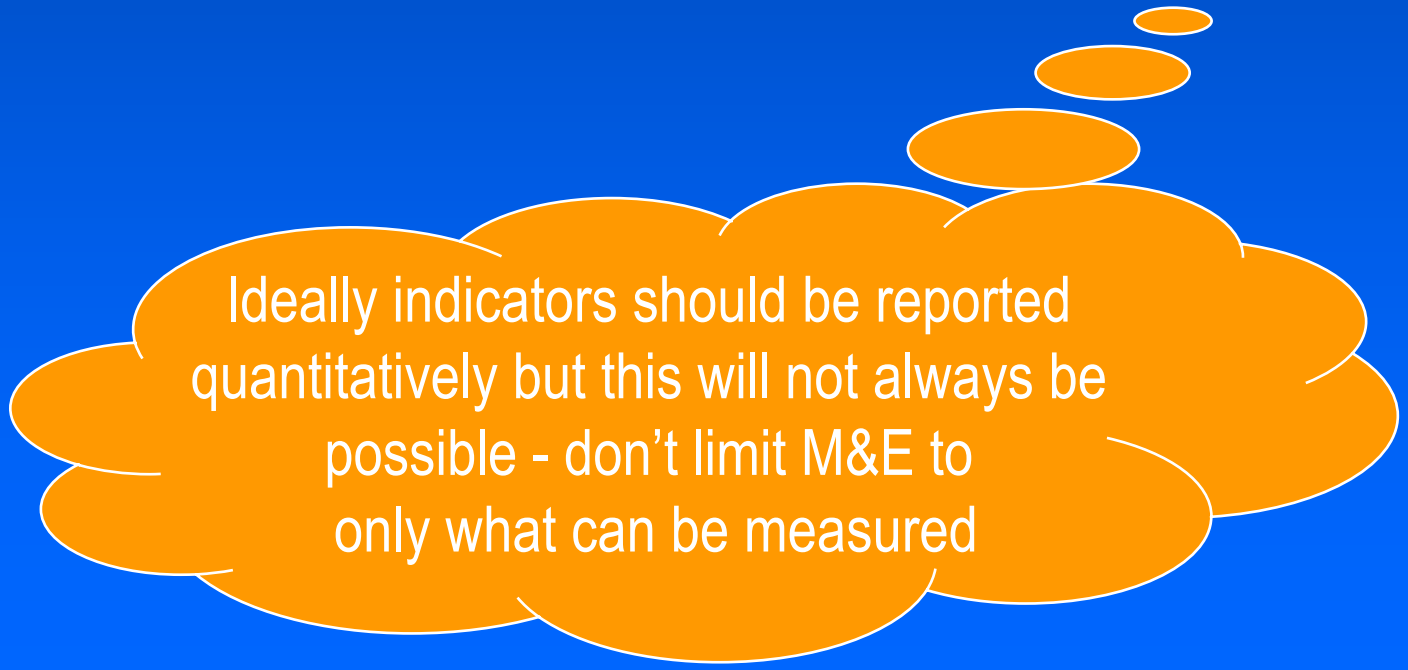
- Questions used to focus and guide an evaluation developed around what it is that the uses of the evaluation need to know and learn
- Evaluation questions may be general or very specific
- The development of indicators and collection of data should be based around answering evaluation questions
- Evaluation questions need to be developed for all levels in an objective hierarchy

Types of Information for Evaluation and Learning

- Indicators
  - ☺ Simple quantitative indicators
  - ☺ complex or compound indicators
  - ☺ Indices
  - ☺ Qualitative indicators
- Focused qualitative information
- Open-ended qualitative information
- Background information
- General project information
- General observations

Definition of an Indicator

Specific information that provides evidence about the achievement of planned impacts, results and activities



Types of Indicators

- ⇩ Simple quantitative indicators
- ⇩ Complex quantitative indicators
- ⇩ Compound indicators
- ⇩ Indices
- ⇩ Proxy indicators
- ⇩ Elevated indicators
- ⇩ Focused qualitative indicators
- ⇩ Open-ended qualitative indicators

Targets and Milestones

- **Targets** are specific planned achievements related to particular activities, results or goals
- **Milestones** are critical points in the life of project by which time key activities should have been completed and/or key targets reached
- Establishing and monitoring key milestones and targets provides an overview of progress helps to keep a project focused on achieving its results

M&E Details for a Specific Result

1. Clarify specfically what the result is intended to achieve
2. Develop key evaluation questions for the result
3. Identify requirments for regular monitoring of implementation and progress
4. Identify specifically what information and or indicators will be required for 2 and 3

For each piece of information or indicator ...

5. Develop a specific definition of the information or indicator
6. Identify how this information will be gathered (method, timing, by who, forms, frequency)
7. Identify how information will be collated, stored and managed
8. Establish analysis and presentation methods
9. Establish mechanisms for validating and checking information

Indicators at Different Levels in Objective Hierarchy

- **Impact indicators** - indicators that show to what extent the project has contributed towards its goals
- **Result (Outcome and Output) indicators** - indicators that show to what extent planned results (outputs and outcomes) have been achieved
- **Activities** - indicators that show what activities have been completed
- **Input indicators** - indicators that show what resources have been used by the project

Formulating Quantitative Indicators

Result: Turtle habitat protected

1. Identify indicator	e.g.	increase in area for undisturbed breeding
2. Specify target group	e.g.	turtle population using Comoros for breading
3. Specify unit of measure	e.g.	length of beach protected no of beaches protected % of current breading areas protected
4. Specify time frame	e.g.	by end of project
5. Specify baseline and comparison	e.g.	% of current breading areas protected at beginning of project
6. Define quality	e.g.	regulations being adequately enforced
7. Specify where	e.g.	Moheli and Grande Comore
8. Set targets	e.g.	all breeding areas

Specifying Qualitative Indicators

- ⇩ Subject of interest
- ⇩ Target group
- ⇩ Type of change
- ⇩ Time frame
- ⇩ Location

e.g. ‘perceptions of X participants attending Y training programme on how it has assisted them to carry out their work responsibilities better’

Open Ended Evaluation Activities

- Project staff review meetings
- Review meetings with project partners beneficiaries
- Annual internal project reviews
- Regular reporting of lessons learnt
- Participatory Rural Appraisal (PRA) activities (focused on a particular result or the entire project)
- External reviews
- Openness and sensitivity to spontaneous feedback or unease amongst stakeholders
- Detailed qualitative research

Establish a Project Review and Planning Schedule

- The main M&E and planning events that will occur during the project
  - Events to develop the M&E system
  - Regular meetings with project staff, partners and beneficiaries
  - Yearly review and planning processes / workshops
  - Mid term review
  - Feedback events with beneficiaries
  - Peer review events
  - Steering committee meetings
  - Writing up and disseminating lessons learnt
- What will be examined at such events and what information and preparation is required?

Identify the Systems, Procedures and Tools For Implementation

- Information management
  - Computer systems
  - Data bases
  - Staff training
- Types of field reports requested from staff
- Building M&E into staff job descriptions and workplans
- Building reflection/learning into regular staff meetings
- Having a colorful and informative project office
- Budgeting time and funding for staff to give lessons learnt papers at conferences
- Ensuring before and after pictures and taken
- Mapping information

Identify Actions, Timing and Responsibilities For Implementation

- ⇩ Workplan for making M&E a reality
- ⇩ Example Actions
  - ☺ Stakeholder meetings to discuss M&E
  - ☺ Designing, testing and printing all data collection forms
  - ☺ Developing data management systems and data bases
  - ☺ Developing and updating display boards in office

Clarify M&E Budget

- ⇩ Training of project staff and partners in M&E
- ⇩ Specialist training for particular monitoring task
- ⇩ Workshop costs
- ⇩ M&E consultant
- ⇩ Development of Indicators and Monitoring mechanisms
- ⇩ Establishing project information management system
- ⇩ External review
- ⇩ Conference attendance
- ⇩ Publications
- ⇩ Annual Reviews
- ⇩ 10% of project and partner staff time
- ⇩ Action Learning/research specific focussed learning lessons
- ⇩ Establishing baseline information for indicators