

# **NATIONAL MONITORING AND EVALUATION MANUAL**



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**GOVERNMENT OF GHANA**  
**NATIONAL DEVELOPMENT PLANNING**  
**COMMISSION**

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## LIST OF ACRONYMS AND ABBREVIATIONS

<b>AIDS</b>	Acquired Immune Deficiency Syndrome
<b>APR</b>	Annual Progress Report
<b>APRM</b>	African Peer Review Mechanism
<b>CBO</b>	Community Based Organization
<b>CG</b>	Consultative Group
<b>CRC</b>	Citizen Report Card
<b>CSC</b>	Community Score Card
<b>CSO</b>	Civil Society Organization
<b>CSPG</b>	Cross Sectoral Planning Group
<b>CWIQ</b>	Core Welfare Indicator Questionnaire
<b>CWSA</b>	Community Water and Sanitation Agency
<b>DA</b>	District Assembly
<b>DAC</b>	Development Assistance Committee
<b>DACF</b>	District Assemblies Common Fund
<b>DBO</b>	District Budget Officer
<b>DCD</b>	District Coordinating Director
<b>DCE</b>	District Chief Executive
<b>DFO</b>	District Finance Officer
<b>DISCAP</b>	District Assemblies Capacity Building Project
<b>DMTDP</b>	District Medium-Term Development Plan
<b>DP</b>	Development Partner
<b>DPCU</b>	District Planning Coordinating Unit
<b>DPO</b>	District Planning Officer
<b>EIA</b>	Environmental Impact Assessment
<b>ERR</b>	Economic Rate of Return
<b>FBO</b>	Faith Based Organization
<b>GDHS</b>	Ghana Demographic and Health Survey
<b>GDP</b>	Gross Domestic Product
<b>GES</b>	Ghana Education Service
<b>GHS</b>	Ghana Health Service
<b>G-JAS</b>	Ghana Joint Assistance Strategy
<b>GLSS</b>	Ghana Living Standards Survey
<b>GNP</b>	Gross National Product
<b>GoG</b>	Government of Ghana
<b>GPRS I</b>	Ghana Poverty Reduction Strategy
<b>GPRS II</b>	Growth and Poverty Reduction Strategy
<b>GSGDA</b>	Ghana Shared Growth and Development Agenda
<b>GSS</b>	Ghana Statistical Service
<b>HIV</b>	Human Immunodeficiency Virus
<b>ICT</b>	Information and Communication Technology
<b>IDGs</b>	International Development Goals
<b>IGF</b>	Internally Generated Funds
<b>ISD</b>	Information Service Department
<b>JICA</b>	Japan International Cooperation Agency

<b>M&amp;E</b>	Monitoring and Evaluation
<b>MDAs</b>	Ministries, Departments and Agencies
<b>MDBs</b>	Multi-Donor Budget Support
<b>MDGs</b>	Millennium Development Goals
<b>MICS</b>	Multiple Indicator Cluster Survey
<b>MIS</b>	Management Information System
<b>MLGRD</b>	Ministry of Local Government and Rural Development
<b>MMDA</b>	Metropolitan, Municipal and District Assembly
<b>MOFA</b>	Ministry of Food and Agriculture
<b>MoF</b>	Ministry of Finance
<b>MoIMR</b>	Ministry of Information and Media Relations
<b>MOGCSP</b>	Ministry of Gender, Children & Social Protection
<b>MTEF</b>	Medium-Term Expenditure Framework
<b>NCCE</b>	National Commission on Civic Education
<b>NDPC</b>	National Development Planning Commission
<b>NDPF</b>	National Development Policy Framework
<b>NGO</b>	Non-Governmental Organization
<b>NMC</b>	National Media Commission
<b>OECD</b>	Organization for Economic Co-operation and Development
<b>OoP</b>	Office of the President
<b>PLA</b>	Participatory Learning and Action
<b>PM&amp;E</b>	Participatory Monitoring and Evaluation
<b>PMU</b>	Project Management Unit
<b>PPMED</b>	Policy, Planning, Monitoring and Evaluation Division
<b>PRA</b>	Participatory Rural Appraisal
<b>PRSC</b>	Poverty Reduction Support Credit
<b>PSIA</b>	Poverty and Social Impact Analysis
<b>RCC</b>	Regional Coordinating Council
<b>RPCU</b>	Regional Planning Coordinating Unit
<b>RSIM</b>	Research, Statistics, Information Management
<b>SMTDP</b>	Sector Medium-Term Development Plan
<b>SWG</b>	Sector Working Group
<b>TA</b>	Traditional Authority
<b>TOR</b>	Terms of Reference
<b>WHO</b>	World Health Organization

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# **PART ONE**

## **NATIONAL MONITORING AND EVALUATION RATIONALE AND LINKAGES**

# CHAPTER ONE

## INTRODUCTION

### 1.1 Background

The Government of Ghana is committed to effective public service delivery, strengthening government accountability to its citizens, ensuring that policy formulation and decision-making are based on evidence and that results are achieved in relation to its growth and development targets. To this end, the government has over the years committed significant resources to support a wide range of development interventions designed to improve the welfare of all people living in Ghana. The need to know the extent of progress being made towards the achievement of the objectives of interventions through Monitoring and Evaluation (M&E) is critical. M&E is the main instrument for assessing the extent to which government has done what it pledged to do within the context of its development policy framework and plans at the national, sector regional and district levels respectively. The National Development Planning Commission (NDPC) as the apex body responsible for M&E has produced ten Annual Progress Reports (APRs) for the years 2002 to 2012 to inform government on its performance and to provide policy options for discussions. The Commission recognises the fact that both monitoring and evaluation are indispensable tools for measuring performance and development outcomes.

Over the past few years, the Commission has increased its efforts to establish a functional national M&E system and to eventually instil a culture of M&E in the public sector. The system is hinged on successive 4-year Medium-Term Development Policy Frameworks (MTDPFs) and Sector and District Medium-Term Development Plans. The NDPC has produced three national M&E plans in line with the Ghana Poverty Reduction Strategy (GPRS I: 2002 – 2005), the Growth and Poverty Reduction Strategy (GPRS II: 2006 – 2009) and the Ghana Shared Growth and Development Agenda (GSGDA: 2010 – 2013). The Commission further produced M&E Guidelines and Report formats for all Metropolitan, Municipal and District Assemblies (MMDAs) and sector Ministries, Departments and Agencies (MDAs) to prepare corresponding M&E plans for their Medium-Term Development Plans. Nearly all MMDAs and MDAs now prepare M&E Plans and APRs. The Commission uses a checklist to review all the draft M&E plans and APRs submitted by MMDAs and MDAs to ensure compliance with the key requirements of the M&E Guidelines and Report formats. Feedback is provided to all MMDAs and MDAs in the form of general and specific comments on their M&E Plans and APRs. By so doing, the NDPC has streamlined the national M&E processes, provided a standard yardstick for measuring progress and established the minimum requirements for any M&E system in this country. Other efforts made by the Commission in the process of building the national M&E system include the following:

- 1) Poverty and Social Impact Analysis (PSIA) to assess the consequences of some government policy reforms on the poor and vulnerable under the Ghana Poverty Reduction Strategy (GPRS I: 2002 – 2005)
- 2) Participatory M&E exercises on selected national issues and production of Citizens Assessment Reports in 2005 and 2008
- 3) Basic M&E training workshops for staff of Policy, Planning Monitoring and Evaluation Divisions (PPMEDs), Regional Planning Coordinating Units (RPCUs)

- and District Planning Coordinating Units (DPCUs), to enhance their understanding and ability to prepare and implement their M&E Plans
- 4) Technical backstopping to Ministries, Departments and Agencies (MDAs) to prepare M&E Plans for their Medium-Term Development Plans (MTDPs)
  - 5) M&E training programmes for the newly created districts in 2008

A key recommendation from participants of M&E training workshops organised by the Commission was the need to build the capacity of policy and decision makers such as Ministers, Members of Parliament (MPs), Chief Directors, District Chief Executives and Presiding Members of the District Assemblies. This M&E manual will form the basis for M&E awareness creation and capacity building. It is expected that if the political leadership at all levels of governance understand and appreciate the value of M&E it would translate into greater support for the establishment of the national M&E system.

## **1.2 Purpose of the M&E Manual**

The main purpose of this manual is to enhance the understanding and practice of M&E at all levels of governance in Ghana. The manual is an M&E resource handbook that can be used as a reference document by practitioners as and when necessary. It will also serve as a guide to all public servants with little experience or knowledge of M&E approaches and practices. It supplements the District and Sector M&E Guidelines, the National M&E Plan and other M&E documents published by the NDPC in collaboration with its key stakeholders.

The national M&E manual will serve the following specific purposes at all levels of governance:

- 1) Guide the building of M&E capacities of public servants and political leaders in the MDAs and MMDAs
- 2) Facilitate the preparation and implementation of the district and sector M&E plans
- 3) Enhance the understanding and development of M&E indicators and their corresponding baselines and targets
- 4) Strengthen M&E data collection, analysis and utilization of the results
- 5) Facilitate the conduct of development evaluations and participation in M&E processes
- 6) Guide the preparation of project, programme, district and sector progress reports
- 7) Enhance the dissemination and communication of M&E results.

## **1.3 Who should use the Manual?**

This manual can be used by anyone interested in M&E. However, its intended primary users include the following: Sector and Regional Ministers, Members of Parliament, District Chief Executives, Chief Directors, staff of the Policy, Planning Monitoring and Evaluation Divisions (PPMEDs), Regional Coordinating Directors, Regional Planning Coordinating Units (RPCUs), District Coordinating Directors, District Planning Coordinating Units (DPCUs), District Assembly Members, Development Partners, Academia and other Training Institutions, Civil Society Organizations (CSOs), Traditional Authorities and other Opinion Leaders in Ghana. Specifically:

- 1) Sector and Regional Ministers, Members of Parliament, District Chief Executives and Presiding Members of the Assemblies could use the manual to understand the

national M&E system and use M&E results for more informed government policy formulation and decision-making. Appreciating the importance of M&E will enable them create the necessary supporting conditions for their technical staff to do M&E.

- 2) The DPCUs, RPCUs and PPMEDs could use the manual as a supplementary document to the district and sector M&E Guidelines when preparing their M&E Plans. The manual will also be a useful reference during the implementation of their M&E Plans, in the conduct of evaluations and in the writing of reports and communication of M&E results.
- 3) Academic and other Training Institutions (especially at the tertiary level) could use this manual as a reference material, to understand the National M&E system and to design M&E courses to meet the specific needs of their students.
- 4) Development partners could use the manual to understand the national M&E system and assist government agencies to build M&E capacities and develop efficient information and reporting systems at the project, programme, district, regional and sector levels.
- 5) CSOs, Traditional Authorities and other Opinion Leaders could use the manual to enhance their understanding of the national M&E system and strengthen their advocacy work on transparency, accountability and effective delivery of public goods and services.

## 1.4 Structure of the National M&E Manual

This manual covers all the essential elements of a national M&E system within the context of development in the public sector of Ghana. The main themes of the manual are discussed under four (4) Parts and subdivided into seventeen (17) Chapters as follows:

### **Part One – National M&E Rationale and Linkages**

This part covers the rationale behind the national M&E system and its linkages with the NDDP, development plans and the national budget. Part One is made up of two chapters. The first Chapter is an introduction that examines the background and rationale for establishing a national M&E system. It proceeds to discuss the purpose and the target users of the manual. The Chapter concludes with a structure that provides a summary and an outline of the participatory process used to prepare the document.

Chapter two provides information on the National Development Planning System. It places M&E within the development planning cycle. The importance of policy, planning, M&E and their linkages with the national budget are discussed.

### **Part Two – Understanding Key Concepts**

The three chapters under Part Two define and explain the meaning of Monitoring, Evaluation and Participatory Monitoring and Evaluation (PM&E). Chapters Three and Four examines monitoring and evaluation in detail. They address the question of what exactly these concepts mean; their types and characteristics. Chapter Three discusses further, the process, levels, frequency and principles of good monitoring. It concludes with a discussion on the relationship between monitoring and evaluation. Chapter Four goes into the details of the design and implementation phases of the evaluation process. The topics discussed include: planning and managing evaluations, how to develop an evaluation Terms of Reference (TOR), selection of the evaluation team,

how to engage stakeholders, evaluation design and methods, evaluation questions, types of evaluation and evaluation criteria.

Chapter Five focuses on participatory M&E. It starts by making a distinction between participatory monitoring and participatory evaluation and the differences between participatory and traditional evaluation. It also clarifies the circumstances under which the use of PM&E is appropriate. The rest of the Chapter discusses in detail some of the tools for conducting PM&E, such as: Participatory Rural Appraisal (PRA), Citizens Report Card (CRC), Community Score Card (CSC) and Participatory Expenditure Tracking Surveys (PETS).

### **Part Three – Understanding M&E as a System**

Part Three consist of 2 Chapters, namely Chapters Six and Seven. Chapter Six introduces the notion of M&E as a system. This Chapter dissects the components of an M&E system and explores their interconnections and performance as a system. It outlines the main components of the national M&E system at four levels of governance in Ghana and examines the characteristics of a functional national M&E system. The Chapter concludes with the underlying risks and assumptions inherent in the national M&E system.

Chapter Seven looks at the institutional framework for the national M&E system. The institutional framework and responsibilities at the national, sector, regional and district levels are discussed in detail. It concludes with some suggestions on how to strengthen the national M&E institutional architecture.

### **Part Four – Steps to Developing an M&E System**

This Part of the manual discusses the ten steps to developing any M&E system at the national, sector, district, programme or project level. The steps are organised into ten chapters. It should be noted that the numbering of these steps is meant as a guide. It does not mean the M&E system must be established following a chronological order. For example, it may be expedient to use an expert to define indicators or prepare a draft M&E budget before stakeholders' identification and analysis. However, the stakeholders identified must be involved in the validation of the indicators or draft budget prepared earlier.

Chapter Eight is the first step and concentrates on stakeholders' identification and analysis. Chapter Nine examines how to assess capacities and create the necessary conditions for effective M&E. Chapter Ten focuses on indicators and their corresponding baselines and targets. It discusses the steps in defining indicators, the classification and characteristics of indicators. Chapter Eleven provides some guidance on how to link goals and objectives to indicators and targets in a monitoring results matrix. Chapter Twelve has some useful directions on how to develop a work plan for all M&E activities with their associated costs on annual basis. Chapter Thirteen discusses the importance of an M&E budget and provides some guidance on how to prepare one.

Chapter Fourteen discusses the collection of M&E data. It distinguishes between data and information and provides some details on data collection methods and sources of data. It outlines data collection responsibilities, appropriate sampling techniques for data collection and M&E information systems for data storage, analysis, retrieval and presentation. Chapter Fifteen discusses M&E data processing and analysis in detail.

The discussion includes Data presentation, validation and interpretation of the findings. Chapter Sixteen deals with the preparation of M&E reports. It discusses the purpose and audiences of M&E reports, types and formats of M&E reports for MMDAs and MDAs, how to write an M&E report and how to assess the quality of an M&E report. The tenth and last step is Chapter Seventeen. It focuses on dissemination and communication of M&E results. It considers the dissemination of M&E reports, expected feedback through communication as well as communication for action and accountability.

The manual attempts to answer the following key questions:

- What is?** Provides definitions and explanations to key M&E concepts, terms and topics
- Why?** Discusses the purpose and intentions underlying various M&E topics and issues
- How to?** Provides a step by step ‘how-to-do’ approach for undertaking M&E in general and how to conduct participatory M&E
- Who should?** Identifies and assigns M&E roles and responsibilities of individuals and institutions for specific M&E tasks and actions
- Where to?** Explains and provides pointers to sources of M&E data and information
- When?** Suggests timelines and frequencies for undertaking specific M&E activities and when to report on results

Environmental and gender issues have been given prominence throughout the document. The need to disaggregate M&E data to show age, sex, disability and other social factors has also been stressed.

## 1.5 Process of Preparing the M&E Manual

The NDPC adapted a participatory process in the preparation of this M&E manual. The process commenced in October 2007 when a consultant was engaged to support the Commission to prepare the first draft in collaboration with the M&E Division. The draft M&E manual produced was subjected to an internal review process. The Commission discussed and revised the first draft M&E manual at a workshop in March 2008. M&E experts and peers were also invited to review and make inputs to the second draft at a workshop in June 2008. Staff of the M&E Division pre-tested the third draft by organising a one-week training programme using its content as the basis for the course in July 2009. Again, this draft was used for the pilot training programmes for DPCUs from 28 newly created districts in August 2009. In October 2012, the M&E Division resumed the process to complete work on the draft manual. The internal review process included a series of retreats and discussions. This was followed by a peer review workshop in November 2012. A final retreat was organised by staff of the M&E Division to edit and format the document for printing in April 2013. The Sub-Committee on M&E and Enabling Environment of the Commission met in April, 2013 to discuss the final draft and provided some comments for improvement. Members of the M&E and Statistics Sector Working Group (SWG) also reviewed the document and provided their comments at a meeting of the Group in June 2013. National consultation meetings were organised in July, 2013 to complete the consultation process on the final draft manual.

## **CHAPTER TWO**

### **THE NATIONAL PLANNING SYSTEM**

#### **2.1 Legal Framework**

Article 86 of the 1992 Constitution of the Republic of Ghana established the National Development Planning Commission (NDPC) whilst its core mandate on development policy, planning and M&E is enshrined in Article 87. These Articles form the basis for the National Development Planning Commission Act, 1994 (Act 479) and the National Development Planning System Act, 1994 (Act 480). Other supporting legislation include the Local Government Act, 1993 (Act 462), Local Government (Urban, Zonal and Town Councils and Unit Committees) (Establishment) Instrument, 1994 (LI 1589), Local Government (Departments of District Assemblies) (Commencement) Instrument, 2009 (LI 1961), Civil Service Act 1993 (PNDC Law 327), Institute of Local Government Studies Act 2003 (Act 647) and Local Government Service Act, 2003 (Act 656). These legal documents regulate the decentralised planning system, defining the planning activities and functional relationships between the various planning authorities and thereby give meaning to the vertical (bottom-up and top-down) and horizontal relationships in the planning process.

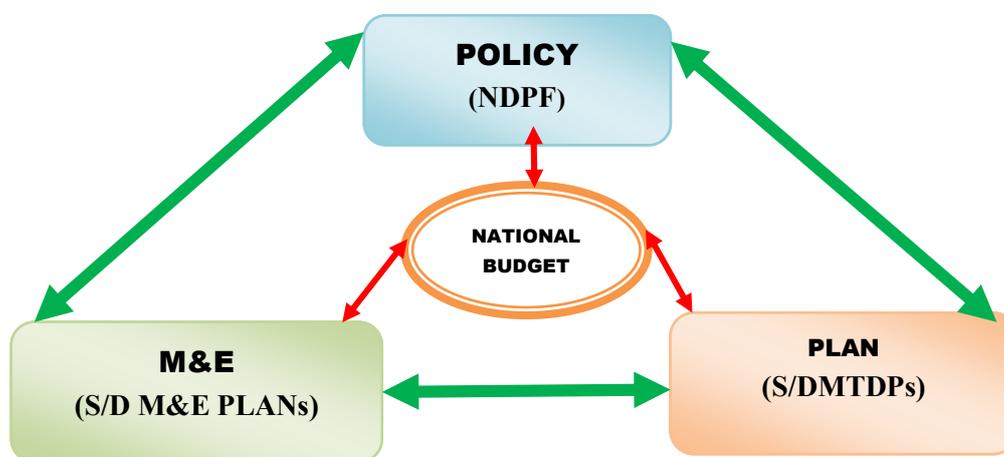
Specifically, Section 1(2) of the National Development Planning System Act, 1994 (Act 480) stipulates that the decentralized national development planning system shall comprise District Planning Authorities at the district level, Regional Co-ordinating Councils (RCC) at the regional level and sector agencies, Ministries and the NDPC at the national level. The NDPC is the apex body of the national development planning system. This system is to be regulated with legislative instruments and guidelines issued by the Commission as indicated under Section 1(3). On the basis of Section 1 to 11 of Act 480, the key deliverables of this system have been: National Development Policy Frameworks which form the basis for the Planning and M&E Guidelines at the district and sector levels, District and Sector Medium Term Development Plans, District and Sector M&E Plans, District and Sector Progress Reports, Harmonised Regional Reports, the National M&E Plan, Citizen Assessment Reports and the National Annual Progress Reports.

#### **2.2 Policy, Plans, M&E Cycle and Budget Linkages**

Policy formulation is the first step in the development planning cycle. As the first output, the national development policy framework plays a critical role in the national development planning process at all levels of governance. It identifies and analyses the national development issues within the context of their linkages and development impact. It then prescribes strategies to achieve the policy objectives identified.

The realisation of the policy objectives depends largely on their effective linkages to the sector and district development plans and to the national budget. Consequently, effective M&E systems provide valuable feedback and lessons for continuous improvement of the development policies, plans and the national budget. The critical linkages among these national development building blocks are depicted in Figure 2.1.

There should be a strong linkage between the national development policy framework, the district and sector development plans, the district and sector M&E plans as well as the national budget (during their formulation, execution, and reporting). Currently, these linkages are not very strong in practice in Ghana. For example, best practices from Botswana, India, Malaysia, Indonesia give direct responsibility to the National Planning Authorities to allocate the service and investment portions of their national budgets. The same authorities further manage all external resource inflows for development purposes. The M&E results from the national planning authorities also form the basis for the quarterly releases of funds to the sectoral and decentralised agencies. These arrangements largely explain the appreciable levels of development in those countries.



**Figure 2.1: Policy, Plan, M&E Cycle and Budget Linkages**

## 2.3 The National Development Policy Framework

The purpose of every government is to add value to the lives of the people it serves and this can be achieved through good policy making. A public policy is a statement of intent (usually in a written document), whereby the government stipulates decisions, actions and other matters that will be beneficial to society. They could also be the principles (be it values, interests and resources) that underlie the actions that should be taken to resolve public issues in a sustainable manner. The National Development Policy Framework (NDPF) (Figure 2.1) is the principal development policy blue print that is prepared at the national level by the NDPC with inputs from the Cross Sectoral Planning Groups (CSPGs) made up of Ministries, Departments and Agencies (MDAs), CSOs, private sector and other relevant bodies.

The pursuit of evidence-based policy formulation is based on the premise that policy decisions should be better informed by systematic evidence from the national M&E system. The evidence could also come from national data emanating from the Ghana Statistical Service (GSS). Data from the GSS include those collected from the national population and housing census and other surveys. The academic and research institutions as well as other national and international organisations that conduct rigorous evaluations and studies also provide some useful information for policy formulation.

## **2.4 District and Sector Development Plans**

Plan preparation follows policy formulation within the planning cycle (Figure 2.1). The sector and district development plans are the medium for translating the policy objectives and strategies of the NDPF into implementable projects and programmes. They integrate the spatial, social, economic and environmental issues into specific actions within the decentralised planning system. In this respect, guidelines are issued by the Commission in line with the NDPF to the districts and sectors, prescribing the process, format and content of the development plans. Medium-Term Development Plans (MTDPs) are then produced by all the Metropolitan, Municipal and the District Assemblies (MMDAs) and MDAs i.e. District Medium-Term Development Plans (DMTDPs) and Sector Medium-Term Development Plans (SMTDPs). The national development plan then emanates from the collation of the plans, programmes and projects from the districts and sectors. The total costs of the programmes, projects and activities in the district and sector development plans also form the basis for the costed version of the NDPF.

## **2.5 District and Sector M&E Plans**

The M&E processes begin after plan preparation (Figure 2.1). Effective M&E systems are based on good planning and budgeting systems and provide valuable feedback to those systems. M&E is the main instrument for assessing the extent to which government has done what it pledged to do in its national policy statements and development plans. The Commission issues M&E guidelines to MDAs and MMDAs after they have prepared their development plans. The Commission then organises basic M&E training programmes for all the District Planning Coordinating Units (DPCUs) to enhance their understanding and capacities to prepare their M&E plans. The sector and district M&E plans form the basis for their M&E systems and as the road map to monitor and evaluate the implementation of their SMTDPs and DMTDPs respectively.

The key outputs of the M&E plans are the quarterly and annual progress reports from the districts and sectors. The reports show the progress being made to achieve their development goals and targets. The NDPC collates these reports and harmonises them to produce the national Annual Progress Report (APR) which shows the progress being made to meet the policy objectives of the NDPF.

## **2.6 The National Budget and its Linkages**

The national budget as a financial expression of the development plans is prepared at the various levels of governance. It is prepared to inform government on the volume of financial resources that would be needed for the implementation of planned programmes, projects and activities in each financial year. The budget preparation goes through elaborate processes at all levels with different stakeholders. Implementation of programmes and projects are highly dependent on the budgets allocated to them. It is therefore important to ensure that adequate budgets are prepared at all levels to influence the successful implementation of the SMTDPs and DMTDPs and their corresponding M&E plans (Figure 6.2).

In setting budget targets, M&E information on the impact of previous budgets and on the achievement of set targets is considered. This information is derived from the

M&E results of past programmes and projects. This information is used to address the weaknesses within the planning and budgeting systems of the country.

The key state actors in the national budget preparation process include the Cabinet, Parliament, Ministry of Finance (MoF), NDPC other MDAs and MMDAs. The budgeting process at the national level involves seven main stages, namely:

- 1) Issuing of planning and budget guidelines by NDPC and MoF respectively
- 2) Preparation of respective draft budgets by MDAs and MMDAs
- 3) Policy and technical hearings on the draft budgets submitted by MDAs (NDPC plays a key role here by ensuring that the budgets are aligned to the policy objectives of the prevailing NDPF)
- 4) Allocation of budget ceilings to MDAs by MoF
- 5) Cabinet approval of budget ceilings to MDAs and MMDAs by MoF
- 6) Parliamentary hearings on budget and approval of appropriation bill
- 7) Implementation of budget by MDAs and MMDAs.

# **PART TWO**

## **UNDERSTANDING KEY CONCEPTS**

## CHAPTER THREE

### MONITORING

#### 3.1 What is Monitoring?

Broadly, monitoring consists of operational and administrative activities that track resource allocation, utilization and delivery of goods and services as well as intermediate outcomes. Monitoring provides government officials, development managers and civil society organizations with better justification for allocating resources, improving service delivery and demonstrating results as part of accountability to stakeholders. Monitoring is not only concerned with asking the question “Are we taking the actions we said we would take?” but also “Are we making progress in achieving the results that we said we wanted to achieve” (UNDP, 2009). In the more limited scope, monitoring may focus on tracking projects and programme implementation and the use of resources. In the broader scope, monitoring also involves tracking policies, strategies and actions being taken by implementing institutions, partners and non-partners and figuring out what new strategies and actions need to be taken to ensure progress towards the most important results. Monitoring therefore supports management decisions by providing data for regular comparison of actual performance of policy, programme and project with their original design and intentions.

The Development Assistance Committee (DAC) of the Organisation for Economic Cooperation and Development (OECD) defines Monitoring as: “*A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an on-going development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds*”. (OECD, 2002)

#### 3.2 Purpose of Monitoring

The purpose of monitoring is to:

- 1) Provide programme or project management staff and other stakeholders with information on whether progress is being made towards achieving stated objectives
- 2) Provide regular feedback to enhance learning and to improve the planning process and effectiveness of interventions
- 3) Increase programme or project accountability with donors and other stakeholders
- 4) Enable managers and staff to identify and reinforce initial positive results, strengths and successes
- 5) Provide managers with the opportunity to make timely adjustments and corrective actions to improve the programme or project design, work plan and implementation strategies
- 6) Check on conditions or situations of a target group and changes brought about by programme or project activities as well as the continued relevance of the project.

### 3.3 Types of Monitoring

Table 3.1 provides examples of the different types of monitoring. It is important to remember that these monitoring types often occur simultaneously as part of an overall monitoring system.

**Table 3: 1 Types of Monitoring**

<b>Performance Monitoring</b>	Tracks the use of inputs, the progress of activities and the delivery of outputs. It examines how activities are delivered – the efficiency in time and use of resources. Common ways to do performance monitoring to check on progress against specific indicators include supervision, inspection, review of progress reports, administrative records, audit reports, etc.
<b>Financial Monitoring</b>	Aims at tracking the correct use of funds, disbursements and internal cash flow to assess cost efficiency.
<b>Diagnostic Monitoring</b>	Examines methods used to implement the intervention, identify problems that cause delays, affect quality or make it difficult for the intervention to achieve its objectives and provide solutions.
<b>Operation Monitoring</b>	Involves assessing the capacity of the project or programme to continue delivering the intended services and benefits throughout the planned life.
<b>Compliance Monitoring</b>	Assesses compliance with donor regulations and expected results, grant and contract requirements, local governmental regulations and laws and ethical standards. For example, a building supervisor may monitor and ensure that shelters adhere to agreed national and international safety standards in construction.
<b>Situation Monitoring</b>	Tracks the setting in which the project or programme operates with regards to identified risks and assumptions and any unexpected considerations that may arise. It includes the operation area as well as the larger political, institutional, funding and policy context that could affect the project or programme. For example, a project in a conflict-prone area may be monitored for potential fighting that could endanger project staff and volunteers.
<b>Beneficiary Monitoring</b>	Tracks beneficiary perceptions of a project or programme. It includes beneficiary satisfaction or complaints, their participation, treatment, access to resources and their overall experience of change. This sometimes referred to as Beneficiary Contact Monitoring (BCM) and often includes a stakeholder complaints and feedback mechanisms.
<b>Organizational Monitoring</b>	Tracks the sustainability, institutional development and capacity building of a project or programme staff and its partners.

### 3.4 Principles of Good Monitoring

Good monitoring should be:

- 1) **Focused on results** - monitoring should look for what is going on well and what is not, in terms of progress towards intended results. These are recorded in reports with recommendations and decision for appropriate follow-up action
- 2) Based on **verification and validation of progress** - there should be continuous follow-up and documentation of achievements and challenges as they occur without waiting until the last moment
- 3) **Participatory** - to ensure commitment, ownership and feedback on performance
- 4) Based on **indicators** and baseline data and realistic targets
- 5) Based on a **good programme or project design**. The design should be based on a realistic chain of activities, outputs and outcomes
- 6) Based on the most appropriate **monitoring frequency** for each indicator
- 7) Sensitive to **social, economic, political, religious, environmental, gender and cultural** issues

### 3.5 Levels of Monitoring

Monitoring can be conducted at various levels based on the scope of the monitoring exercise. Information gathered from the project level usually forms the basis for the monitoring results at the higher levels. The following provides an outline of some levels of monitoring in Ghana.

#### **Monitoring at the National Level**

Monitoring at the national level is usually carried out by a central planning agency. NDPC is the institution mandated to periodically assess the overall progress and impacts of the NDPF. The Commission has produced APRs since 2003 mainly by collating and harmonising the monitoring results from the sectors, regions and districts to report on progress made in achieving the national policy objectives in the various NDPFs. It involves the definition and selection of core national indicators and the establishment of performance reporting systems at the sector and district levels. The APRs have been the main source of information on selected national outputs and outcomes. Further, the APRs have provided useful information to guide various government policy reviews and decision-making processes as well as providing important inputs to various evaluations conducted in the country.

#### **Monitoring at the Sector Level**

Monitoring at the sector level depends on the monitoring results from the implementation of sector specific projects and programmes at the regional and district levels. The key objectives of sector level monitoring are to:

- Track performance of sector projects and programmes in the districts
- Assess the complementarities between different sector programmes and projects in the districts and regions
- Determine whether broader sectoral objectives as well as cross cutting issues are being achieved.

Each sector ministry produces quarterly and annual progress reports using a prescribed format in the Sector M&E Guidelines. Copies of these reports are sent to the NDPC and the results from the core indicators are reported in the national APR.

The results from the sector level monitoring are also used to:

- Review and formulate evidence-based sector policies
- Identify the most effective sector programmes and projects and best practices
- Identify inequalities and geographic areas requiring greater attention.

### **Monitoring at the Regional Level**

One of the core functions of the RCC is to monitor the performance and implementation of development plans at the district level. The specific monitoring responsibilities carried out by various bodies at this level have been discussed in Chapter 7. Monitoring at the regional level helps the RCC to:

- 1) Track performance and progress of projects and programmes in the districts
- 2) Identify the most effective district programmes and projects and best practices
- 3) Determine weaknesses, gaps, inequalities and districts requiring greater attention
- 4) Assess the complementarities between different programmes and projects
- 5) Determine whether broader sectoral objectives as well as cross cutting issues were being achieved
- 6) Take evidence-based decisions at the regional level.

### **Monitoring at the District Level**

MMDAs are mandated to prepare their development plans and monitor their implementation. The specific monitoring responsibilities carried out by various bodies at this level have also been discussed in Chapter 7. The basis for monitoring at this level are the district specific indicators and the core indicators disaggregated from the national level. Each MMDA produces quarterly and annual progress reports from the monitoring exercises using a prescribed format provided in the District M&E Guidelines. Copies of these reports are sent to the NDPC through the RPCU. The results from the core district indicators are reported in the national APR. The quarterly and annual progress reports from monitoring of development interventions in the district are indispensable sources of information for the:

- Review and formulation of evidence-based district policies and decisions
- Identification of the most effective district programmes and projects and best practices
- Determination of inequalities and areas requiring greater attention in the district.

### **Monitoring at the Programme and Project Levels**

Monitoring the implementation of projects and programmes are most critical because the results from the monitoring at this level are transmitted to higher levels discussed above. The focus of the monitoring exercises at this level is usually on the programme or project goal and objectives. This usually involves assessment of the quality and timeliness in the production of outputs, identification and correction of problems and ensuring that benefits and services are accessible to the intended target groups. Monitoring at this level may also consider other aspects as discussed in Table 3.2.

Benefits from programme and project monitoring include:

- 1) Building and enforcing partnership and ownership of the project or programme
- 2) Learning of valuable lessons
- 3) Use of lessons to effect changes and improve project or programme planning and decision-making
- 4) Using project results to enhance transparency and accountability

5) Better goods and service delivery from the programme or project implementation.

### Examples of monitoring activities at the project level

Within the context of a development project or programme, monitoring can be classified into administrative monitoring, financial monitoring and output monitoring as outlined in Tables 3.2 to 3.4.

**Table 3.2: Management and Administrative Monitoring**

<b>What to monitor</b>	<b>Information to be collected</b>	<b>Sources of information</b>	<b>Use of information</b>
<b>Staff and Personnel</b>	<ul style="list-style-type: none"> <li>• Performance</li> <li>• Achievement</li> <li>• Absenteeism</li> <li>• Problems</li> <li>• Expectations</li> <li>• Team work spirit</li> <li>• Whether supervision structures work</li> </ul>	<ul style="list-style-type: none"> <li>• Staff meetings</li> <li>• Performance reviews</li> <li>• Supervision reports</li> <li>• Informal meetings</li> <li>• Observation(s)</li> <li>• Attendance register</li> </ul>	<ul style="list-style-type: none"> <li>• Staff support and feedback</li> <li>• Training and staff development</li> <li>• Improve management practices</li> <li>• Modify and clarify job descriptions</li> <li>• Staff rewards and sanctions</li> </ul>
<b>Vehicles</b>	<ul style="list-style-type: none"> <li>• Fuel Consumption</li> <li>• Mileage</li> <li>• Services done</li> <li>• Repairs made</li> <li>• New parts purchased</li> <li>• Capital and running costs</li> <li>• Performance</li> </ul>	<ul style="list-style-type: none"> <li>• Log book of fuel and mileage</li> <li>• Record sheets of services, repairs and spare parts fitted</li> <li>• Records of money spent on each vehicle</li> <li>• Meetings with drivers</li> <li>• Observation(s)</li> </ul>	<ul style="list-style-type: none"> <li>• Decisions about replacing old vehicles when they become uneconomical to run</li> <li>• Compare different makes of vehicles</li> <li>• Check mechanics' performance, i.e. parts fitted, frequency of repairs, etc.</li> <li>• Identify problems, e.g. excessive fuel consumption</li> </ul>
<b>Supplies</b>	<ul style="list-style-type: none"> <li>• Where to obtain supplies</li> <li>• Cost from different suppliers</li> <li>• Stock levels</li> <li>• Re-order levels</li> <li>• Items about to run out</li> <li>• Time needed to supply</li> <li>• Order quantities</li> </ul>	<ul style="list-style-type: none"> <li>• Suppliers catalogues</li> <li>• Inventory of stocks</li> <li>• Stock-staking</li> <li>• Record system</li> </ul>	<ul style="list-style-type: none"> <li>• Obtain best value supplies</li> <li>• Obtain supplies on time</li> </ul>

**Table 3.3: Financial Monitoring**

<b>What to monitor</b>	<b>Information to be collected</b>	<b>Sources of information</b>	<b>Use of information</b>
<b>Budget and expenditure</b>	<ul style="list-style-type: none"> <li>• Expenditure by project or programme</li> <li>• Expenditure by budget lines</li> <li>• Balance of budget remaining this year</li> <li>• Regular recurring items of expenditure, e.g. rent</li> <li>• Previous year's budget and expenditure</li> <li>• Inflation rates</li> <li>• Exchange rates</li> </ul>	<ul style="list-style-type: none"> <li>• Invoices and vouchers</li> <li>• Budget break down</li> <li>• Analysis of budget and expenditure, e.g. using computer spread sheets</li> <li>• Newspapers</li> <li>• Bank statements</li> </ul>	<ul style="list-style-type: none"> <li>• Predict expenditure for budgeting</li> <li>• Compare costs of different projects</li> <li>• Identify areas of excessive expenditure</li> <li>• Identify any savings</li> <li>• Compare costs with project achievements to assess cost – effectiveness</li> </ul>
<b>Staff salaries</b>	<ul style="list-style-type: none"> <li>• Salaries</li> <li>• Tax, insurance, etc.</li> <li>• Net salary</li> <li>• Other payments: e.g. health allowance, staff loans, etc.</li> </ul>	<ul style="list-style-type: none"> <li>• Staff records</li> <li>• Pay slips</li> <li>• Salary records</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure staff are paid according to pay scale reflecting nature of job and length of service</li> <li>• Ensure other payments are made according to correct procedures</li> <li>• Ensure all staff know what benefits they are entitled to</li> </ul>
<b>Cash flow analysis</b>	<ul style="list-style-type: none"> <li>• Cash need for the project</li> <li>• Sources of cash inflows (including loan repayments, community contributions, etc.)</li> <li>• Cash flows (how much and when, regular and irregular)</li> <li>• Timing of cash inflows and outflows</li> <li>• Order quantities</li> </ul>	<ul style="list-style-type: none"> <li>• Cash record system</li> </ul>	<ul style="list-style-type: none"> <li>• To ensure sufficient but not excessive cash is available</li> </ul>

**Table 3. 4: Output Monitoring**

<b>What to monitor</b>	<b>Information to be collected</b>	<b>Sources of information</b>	<b>Use of information</b>
<b>Information on target population</b>	<ul style="list-style-type: none"> <li>• Political, economic, and environmental condition of the target population</li> <li>• Any developments that could affect the project</li> <li>• Population characteristics and dynamics the project could influence</li> </ul>	<ul style="list-style-type: none"> <li>• Baseline surveys</li> <li>• Sources of political and economic information</li> <li>• Meetings with other agencies, government officials</li> <li>• Observation(s)</li> </ul>	<ul style="list-style-type: none"> <li>• Use of baseline data as the basis to evaluate progress</li> <li>• Response to changing situations and rapid response to emergencies</li> <li>• Networking with relevant agencies and government</li> </ul>
<b>Project inputs</b>	<ul style="list-style-type: none"> <li>• What is needed and where it can be found</li> <li>• When it is needed and when it will be available</li> <li>• Cost of inputs</li> </ul>	<ul style="list-style-type: none"> <li>• Suppliers, other organizations, government agencies, etc.</li> </ul>	<ul style="list-style-type: none"> <li>• Plan and schedule activities</li> <li>• Monitor the costs and budget accordingly</li> </ul>
<b>Project activities</b>	<ul style="list-style-type: none"> <li>• What has been done</li> <li>• What was planned but not done</li> <li>• What problems have been encountered</li> <li>• How the problems have been addressed</li> <li>• How the external situation has changed</li> <li>• Any other information relevant to work of the project</li> </ul>	<ul style="list-style-type: none"> <li>• Regular records of activities</li> <li>• Supervision reports</li> <li>• Periodic reports</li> <li>• Meetings, workshops with staff, project partners, and people affected by the project</li> <li>• Staff reviews</li> <li>• Newspaper reports</li> <li>• Radio news and discussions</li> <li>• Informal discussions</li> <li>• Observation(s)</li> <li>• Surveys</li> </ul>	<ul style="list-style-type: none"> <li>• Plan future work</li> <li>• Identify project successes</li> <li>• Identify opportunities to build on the strengths</li> <li>• Identify problems and weaknesses</li> <li>• Develop better strategies</li> <li>• Review priorities</li> <li>• Identify training needs</li> <li>• Identify the needs for information, research, review or evaluation</li> </ul>
<b>How the project is managed</b>	<ul style="list-style-type: none"> <li>• How are decisions made?</li> <li>• Are the people who are supposed to be involved really involved</li> <li>• Do the partners, people and staff affected by the project feel a sense of ownership?</li> </ul>	<ul style="list-style-type: none"> <li>• Review meetings</li> <li>• Minutes of management meetings</li> <li>• Indicators which show degree of participation</li> <li>• Meetings and discussions</li> <li>• Observation(s)</li> </ul>	<ul style="list-style-type: none"> <li>• Identify the need for inclusiveness</li> <li>• Change policy</li> <li>• Show need to change management style</li> <li>• Identify problems between stakeholders and address them</li> </ul>
<b>Progress towards objectives</b>	<ul style="list-style-type: none"> <li>• Progress towards achieving objectives</li> <li>• Are objectives still relevant</li> </ul>	<ul style="list-style-type: none"> <li>• Information about key indicators</li> <li>• Observation(s)</li> <li>• Supervision</li> <li>• Progress reports</li> <li>• Inspection</li> </ul>	<ul style="list-style-type: none"> <li>• Modify strategies or objectives if necessary</li> <li>• Feedback</li> <li>• Determine the need for review or evaluation</li> <li>• Identify need for further information or improvements in monitoring systems</li> </ul>

### 3.6 Frequency of Monitoring

Generally, monitoring is an on-going activity during policy, plan, programme or project implementation. Monitoring frequency refers to the time intervals at which data is collected on a particular indicator. The frequency of monitoring is largely underscored by the information and communication requirements of stakeholders with respect to the intervention. Some interventions require information daily, weekly, monthly, quarterly, semi-annually, annually or even bi-annually. How often monitoring is undertaken will also depend on several other factors which include:

- 1) Scope of the intervention
- 2) Resource availability
- 3) Communication needs
- 4) Level of risk associated with the intervention
- 5) The life span or time frame of the intervention.

The decision on the frequency of monitoring for a given indicator will depend largely on the availability of data and the cost of data collection. Data on input indicators (Chapter 10), such as public expenditures can be tracked daily and reported on monthly or quarterly. Data on output indicators are most often available on quarterly basis but it is highly desirable to have information on key outputs throughout the year. Data on some outcome indicators could be available annually. However, data on some impact indicators may not be available annually and would have to be collected every two to five years through household surveys or through participatory approaches.

### 3.7 Steps to Conducting Monitoring

Monitoring is a continuous and repetitive process. As discussed above, monitoring depends on the scope of the exercise. However, the under-listed steps are key in every effective monitoring plan or cycle:

- 1) Prepare for monitoring (Section 3.7.1)
- 2) Construct or select and prioritise the indicators (Section 10.4)
- 3) Determine baselines and targets for each indicator (Sections 10.4 and 10.8)
- 4) Determine which categories of staff will be responsible for the collection of data on each indicator
- 5) Develop a timetable for frequency of monitoring (Sections 3.6 and 11.1)
- 6) Develop or strengthen the M&E information system for data capture, storage, analysis, retrieval and presentation (Sections 14.7 and 15.1)
- 7) Develop other monitoring instruments, such as questionnaires (Chapter 10)
- 8) Conduct monitoring activities - field visits, supervision, inspection, administrative records, rapid assessments, review of audit or progress reports, etc. (Chapter 14)
- 9) Analyse the monitoring data collected (Chapter 15)
- 10) Write monitoring reports (Chapter 16)
- 11) Make recommendations (Chapter 16)
- 12) Implement recommendations (Sections 4.12 and 6.5)
- 13) Identify new indicators based on the recommendations (Chapter 10)
- 14) Modify the monitoring system if necessary

**NOTE:** The above steps have been discussed in various chapters as indicated.

### **3.7.1 Prepare for Monitoring**

Monitoring is an iterative process but each exercise must be well planned to achieve the desired results. Preparation towards monitoring will include the following:

- 1) Review existing information related to project or programme
- 2) Identify the purpose and scope of the monitoring (e.g. check on-going works and activities, goods and service delivered, immediate and intermediate outcomes, etc.)
- 3) Establish the time schedule for monitoring (e.g. the first Tuesday of every month)
- 4) Determine who must be involved in each monitoring exercise with due consideration to age, gender, disability and other social factors
- 5) Organize a meeting or workshop with stakeholders before field monitoring
- 6) Determine specific projects and expected results and/or components to be monitored as well as cross-cutting themes and success factors to be applied
- 7) Assemble the necessary materials that will be used in the field (e.g. cameras, rain coats, hats, flip chart with stand, markers, masking tape, needed documents, etc.)
- 8) Prepare a big chart on the wall or billboard to present the field findings - pictures, data tables and graphs, etc.

## CHAPTER FOUR

### EVALUATION

#### 4.1 What is Evaluation?

In simple terms, an evaluation may be defined as the process of making judgements about a policy, programme or project before, during and after implementation. The assessment is usually based on a systematic and objective collection and analysis of data and information relative to such issues as effectiveness, efficiency, relevance, sustainability and impact for its stakeholders. Depending on the type of evaluation, the assessment could cover the design, implementation and results of the project or programme (OECD, 2002).

The Development Assistance Committee (DAC) of the Organisation for Economic Cooperation and Development (OECD) defines evaluation as: *“The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results in relation to specified evaluation criteria”*.

The important outcome of evaluation is a set of recommendations to address issues relating to the design or plan (e.g., objectives), and implementation (e.g., allocation of human and financial resource), and lessons learnt to guide future policy making, planning and budgeting.

#### 4.2 Purpose of an Evaluation

The principal aim of an evaluation is to improve decision-making, resource allocation and accountability. However, an evaluation may be conducted for many other reasons, including the following:

- 1) Provide management with information regarding policy, programme and project performance
- 2) Determine strengths and weaknesses of the intervention and therefore, enable managers to improve future planning, delivery of services and decision-making
- 3) Assist managers, staff and other stakeholders to determine in a systematic and objective manner the relevance, effectiveness and efficiency of activities (expected and unexpected) in the light of specified objectives.
- 4) Serve as a means of validating the results of initial assessments obtained from project monitoring activities
- 5) Determine the extent to which the programme interventions are successful in terms of their impact and sustainability of results
- 6) Assist managers to carry out a thorough review and re-thinking about their programmes and projects in terms of their goals and objectives, and means to achieve them
- 7) Generate detailed information about programme or project implementation process and results. Such information can be used for public relations, fundraising, improvement of service delivery, as well as identifying possibilities for replication of interventions
- 8) Improve the learning process. Evaluations often document and explain the causes as to why activities succeeded or failed. Such documentation can help in making future activities more relevant and effective.



## 4.3 Classification of Evaluations

Evaluations could be grouped under four main categories based on: the objectives of the evaluation, the timing of the evaluation, the ‘evaluator’ or who is conducting the evaluation and the technical specification and scope (IOM, 2006). However, any evaluation could be a ‘mixture’ of the different categories outlined below:

### 1. Purpose of the evaluation

Evaluations can be grouped according to the main objective for conducting the evaluation. A *formative evaluation* is an evaluation conducted during the implementation of an intervention. It is intended to help rectify and improve the project or programme. A *summative evaluation* is conducted at the end of a project or programme. It provides insights on effectiveness and offers an opportunity to use the best practices identified for subsequent interventions.

### 2. Timing of the evaluation

Some of the evaluations are based on the timing of the evaluation exercise with regards to the policy, project or programme being evaluated.

Evaluations generally referred to as *ex-ante evaluation* are conducted before the implementation of projects and programmes. The objective is usually to determine the feasibility of the intervention. Some of the ex-ante evaluations include: Cost Benefit Analysis, Economic Rate of Return (ERR), Technical Appraisal, Policy Analysis, Environmental Impact Assessment (EIA), Feasibility Studies, Needs Assessments, etc.

A *mid-term evaluation* is conducted half-way into the implementation of any development plan or intervention. This type of evaluation is done to consider the performance and first outputs of implementation and to propose modifications where necessary.

A *final or terminal evaluation* is the type of evaluation which is carried out to assess the achievements made under the implementation of programmes and projects. The results from final evaluations are very useful in the formulation of policy.

An *ex-post evaluation* is conducted sometime after the implementation of any development intervention to assess the impacts of any development intervention. Evaluations under this category include Impact Studies and Beneficiary Assessments.

### 3. Who is conducting the evaluation

Another way to distinguish between evaluations is based on who is conducting the evaluation exercise. An *internal or self-evaluation* is conducted by a unit or individuals belonging to the organization or government agency responsible for implementing any programme or project. An *external evaluation* is conducted by someone outside the implementing organisation or government agency. External evaluations require the recruitment of consultants and therefore are usually expensive.

#### 4. Technical specification and scope

Other evaluations are based on their technical specifications and scope. These evaluations will include: Programme evaluations, project evaluations, thematic evaluations, impact evaluations, participatory evaluation and strategic evaluation, among others.

### 4.4 Building Evaluation Capacities

Evaluation capacity building includes both strengthening the technical capacity of M&E staff at all levels to conduct evaluations and also the capacity of stakeholders to interpret and use the findings of the evaluation. One of the most important components is to strengthen the motivation and capacity of policy-makers to commission and supervise evaluations.

MDAs and MMDAs are the primary agents for policy, programme and project evaluations. One way to build their evaluation capacities is through workshops, meetings, conferences and seminars. Participation in more specialised evaluation courses within and outside this country is highly recommended.

From the perspective of enhancing stakeholders' evaluation capacities, the following are some recommendations:

- 1) Provide an opportunity to discuss important M&E concepts such as output indicators and measurement of impacts with all stakeholders will help users understand the logic of the evaluation design and how the evaluation results will be used
- 2) Invite interested stakeholders to participate in some of the evaluation training programmes or workshops which might be organized primarily for the evaluation practitioners
- 3) Involve all key stakeholders in the periodic briefings on the progress of the evaluation
- 4) Understand how different stakeholders like to receive information - as written reports, in a group meeting with presentation slides or through informal personal briefings. And clarifying if users want "hard facts" (statistics) or whether they prefer photos, video or narratives
- 5) Ensure presentations are pitched at the right level of detail or technicality. Avoid overwhelming policy makers with statistical analysis or detailed discussion of evaluation designs.

### 4.5 Steps to Conducting the Evaluation

This Section provides a step by step process on how to conduct an evaluation. The steps are just a guide and may not necessarily be followed in the sequential order as presented below. The steps are designed with an external evaluator (usually referred to as the **consultant**) engaged by a public sector organisation. The organisation (usually referred to as the **client or employer**) must have the technical capacity to understand each step and supervise the entire evaluation process.

#### Step 1 – Review the policy, programme or project documents

In conducting the evaluation, it is necessary for the client and consultant(s) to refresh their memory about the concept and objectives of the policy or project document. They should know how the policy or project was intended to be implemented and

what it was intended to achieve. Unless these are known, it will be difficult to conduct an evaluation. Studying available policy, programme or project documents will reveal some relevant information such as:

- 1) The stakeholders
- 2) The management structure
- 3) The general and specific objectives
- 4) Key issues expected to be addressed
- 5) Indicators to assess performance
- 6) Work plan and budget, etc.

### **Step 2 – Assess the need for an evaluation**

The client must determine the need for an evaluation and provide the background and rationale for the evaluation. Some evaluations such as the appraisals, mid-term and terminal evaluations may be mandated in the policy or project documents. Certain challenges may also demand the commissioning of an evaluation. The needs assessment will lead to the development of clear ideas to justify the evaluation.

### **Step 3 – Define the purpose of the evaluation**

Once the need for an evaluation has been established, the next step is to define the purpose of the evaluation. More often than not, the reasons for undertaking the evaluation of development programmes and projects border around viability, improvement, adaptability and lessons learned. Section 4.2 discusses some of the reasons for conducting an evaluation.

### **Step 4 – Identify and analyse the stakeholders**

Stakeholders' identification and analysis has serious implications for the planning, execution and utilization of the evaluation findings. The analysis should clearly assign roles and responsibilities to various groups of stakeholders throughout the evaluation process. Details on how to do this are discussed in Chapter 8.

### **Step 5 – Develop the evaluation questions**

The evaluation questions represent what one wants to know through an evaluation. In other words, finding answers for those questions with evidence directs the evaluation process. Details on how to develop evaluation questions are discussed in Section 4.6

### **Step 6 – Determine the type and scope of the evaluation**

The type and scope of the evaluation will depend on the evaluation questions and many other factors such as the nature and duration of the project or programme, objectives of the evaluation, etc. Types of evaluations were discussed in Section 4.3. The scope of the evaluation may have spatial or geographic dimensions, time and subject limitations. Irrespective of the scope, social, economic, political, religious, environmental, gender or cultural issues should be considered.

### **Step 7 – Decide on the evaluation design and methods**

The most appropriate methods, deliverables and timing of the evaluation have serious costs implications for the evaluation and should be worked out with the assistance of stakeholders and experts with good evaluation experience. Details on impact evaluation designs are discussed in Section 4.9

### **Step 8 – Prepare the evaluation work plan and budget**

To make sure that the evaluation process does not run into hitches, it is essential to prepare a work plan and a budget to determine what can and cannot be done in the evaluation. The evaluation activities and anticipated costs should be determined through a participatory process. These processes are discussed in detail in Chapters 12 and 13.

#### **Step 9 – Prepare a follow-up and utilization action plan**

The preparation of a follow-up action plan is an effective way to promote utilization of the evaluation findings. What is needed is an agreed action plan with specific, time-bound actions, clear definition of responsibilities and procedures for compliance before the evaluation. How to enhance the utilization of evaluation findings is discussed in Section 4.11.

#### **Step 10 – Prepare the evaluation Terms of Reference (TOR)**

The TOR forms the basis for the evaluation exercise and more importantly, the formal reference for the consultant(s). Whatever is agreed upon in the TOR is binding on both parties. Details on how to prepare a TOR are discussed in Section 4.7.

#### **Step 11 – Recruit the evaluator i.e. an individual consultant, a team or firm**

Determining the skills required for the evaluation is extremely important because it has a direct impact on the quality of the evaluation. Details on how to recruit a consultant(s) are discussed in Section 4.8.

#### **Step 12 – Determine data requirements and sources**

Quality data that relates to the evaluation question is essential to producing credible results. Searching for data may even give the evaluation team a better understanding of the programme or project and earlier recommendations that might have been made. Data types, sources and collection methods are discussed in Chapter 14.

#### **Step 13 – Select data analysis methods**

How to analyse and interpret evaluation data is discussed in Chapter 15.

#### **Step 14 – Determining the reports to generate**

Evaluation results should be reported in a simple and clear way to potential users. If the report is difficult to understand, evaluation results are not easily utilized. As a result, resources (namely time and money) invested in the evaluation might end up being wasted. See Chapter 16 for details on report writing.

#### **Step 15 – Formulate dissemination and communication strategy**

The dissemination and communication should ensure that evaluation results reach all stakeholders. The evaluation findings should be customized to meet the needs of both primary and secondary stakeholders identified. The dissemination and communication strategies discussed in Chapter 17 should be used to act on the findings and recommendations of the evaluation.

## **4.6 The Evaluation Questions**

Many questions can be considered in planning an evaluation. The formulation of evaluation questions differ according to what to focus on. Answering these questions with evidence determines the evaluation process. Evaluation questions represent “what one wants to know through evaluation.” For instance, the question of “whether a project was (or will be) meaningful” is an example of an evaluation question and a

common question for project evaluation (JICA, 2004). More focused questions to verify the value of a project will be: “Were effects produced by the project?” or “Were resources efficiently used?” It is possible to formulate more specific questions focusing on the effectiveness of a project. By doing so, more concrete survey methods as well as the necessary data are easily identified. In the case of ex-ante evaluations that contribute to the formulation of project plans, there is a high probability that evaluation questions will centre on the content of the project plan, its relevance to programmes, and its efficiency.

Evaluation questions can generally be grouped into three categories: **descriptive, normative and impact (cause-effect) questions** (IPDET, 2007). The design selected should be appropriate to the type of questions being asked. If for example, cause and effect questions are posed, a design that can answer cause-effect questions must be adopted. Many evaluations use only descriptive and normative questions, particularly if they are formative evaluations that focus on implementation of an intervention. Evaluations focusing on impact ask cause-effect questions, but they typically also include some descriptive and normative questions.

#### **4.6.1 Descriptive questions**

Descriptive questions refer to the current situation of the project or programme. They are the foundation of evaluations and usually provide a snapshot of what happened. These types of questions may also describe aspects of a process, a condition or a set of views.

Descriptive questions:

- 1) Seek to understand or describe a programme or process
- 2) Provide a “snapshot” of what it is
- 3) Are straight forward (who, what, where, when, how, how many)
- 4) Can be used to describe inputs, activities and outputs
- 5) Are frequently used to gather opinions from programme clients (Morra Imas & Rist, 2009).

#### **Examples of descriptive questions are the following:**

- 1) What are the goals of the programme from the perspectives of different stakeholders?
- 2) What are the primary activities of the programme?
- 3) Where is the programme implemented?
- 4) Who received what services?
- 5) To what extent does the programme design reflect lessons learned from past similar programmes?

#### **4.6.2 Normative questions**

Normative questions compare the current situation to what should be and they need some criteria with which to compare. For instance, the question of “Did a programme or project achieved its objectives?” is a common question for looking at performance of the programme or project in normative sense. If the objectives are not clear, evaluators would have to state the criteria to use in their evaluation. There is always a certain degree of subjectivity in answering normative questions. Examples of normative questions:

- Are we doing what we are supposed to be doing?
- Are we hitting our target?

- Did we accomplish what we said we would accomplish? (Morra Imas & Rist, 2009)

#### 4.6.3 Impact (Cause-Effect) Questions

Impact (cause-effect) questions determine what difference the intervention makes. Often referred to as attributional questions, they attempt to measure what has changed because of the project intervention but the changes in the society might be caused by other interventions (Morra-Imas L. & Rist R. (2009). Therefore, it is difficult to demonstrate that the outcomes were truly the result of that particular project or programme. We need to prove causal relationship through:

- A logical theory: the connection between the project and project purpose or overall goal should make sense
- Time-order: the project should come before the outcome
- Co-variation: both the projects and outcome have the ability to change
- Elimination of rival explanations: There is a need to be able to establish if it is the project rather than other factors that explain the changes we have measured

#### Examples of impact (cause and effect) questions

- Did the microenterprise programme reduce the poverty rates in the townships in which they operated?
- Did the increased tax on fuel improve air quality?
- Did the government increase in financial penalties for violating firms reduce the use of under-age children in the garment industry?
- As a result of the job training programme, do participants have higher paid jobs than they otherwise would have?

#### 4.6.4 Evaluation questions that should be avoided

Some questions do not add value to the evaluation process and must be avoided.

Table 4.1 provide some examples and how to rectify them.

**Table 4 1: Types of Evaluation questions that should be avoided**

Type	Example	What to Do
<b>Double-Barrelled Questions</b>	Did the project benefit you and what did you do to benefit from it?	Ask one question at a time. Do not combine questions and expect an answer
<b>Two-in-one Questions</b>	What are the advantages and disadvantages women participating in income generating projects in the rural areas face in Ghana?	Do not combine opposite positions in one question, Separate out the parts to make them more clearer
<b>Restrictive Questions</b>	Do you think that female Chief Executives are as good as male Chief Executives?	This type of question eliminates the possibility that females might be better. Do not use questions that inherently eliminates some options
<b>Leading Questions</b>	The income generating project has liberated women from economic dependence on their spouses. What do you think the	This type of question states the position or view of the interviewer. This tends to lead the respondent to the

	income generating project has done to women?	same direction. The question should be neutral
<b>Loaded Question</b>	Would you favour or oppose gender mainstreaming by agreeing with the government's policy of affirmative action	This question is loaded and emotionally charged and should be avoided. Break the question into two separate parts to make more sense out of it.

## 4.7 The Terms of Reference

The TOR contains specific issues and concerns that the evaluation must address. It normally includes the policy, programme or project background, objectives, the evaluation purpose, scope, questions to address, the evaluation deliverables and schedule as well as the available resources for the evaluation. The TOR therefore provides a framework for the client, consultant and stakeholders to ascertain:

- What is to be done
- Who is to do it
- How it should be done
- When it should be done

The evaluation process has several stages to match the deliverables specified in the TOR. Payment schedules are also designed to tie these stages and deliverables. In most cases, an inception report is required to elaborate on the methodology, timelines, deliverables, etc. in the TOR. It is important to discuss the TOR with key stakeholders to have a broad agreement on the way forward for the evaluation.

Table 4.2 presents a general outline for the TOR. A sample TOR is also provided in Annex C.

**Table 4.2: General Framework for Evaluation Terms of Reference**

Structure	Contents
Project Background	The background to the evaluation explaining its origin and broad purpose. A solid background description of the project, operation or theme to be evaluated
Project Status	An update on the current state of implementation
Purpose and scope of the evaluation	Clear statement of evaluation objectives and the scope of work
Key issues	Key evaluation issues to be covered
Method	Evaluation method(s) to be used. Identification of existing reports and performance information
Team Composition	Profile and mix of expertise required
Schedule and Logistics	Draft itinerary and logistical requirements
Evaluation Report	Guidance on expected reporting



## 4.8 How to Recruit an Evaluator(s)

### 4.8.1 Determine the composition of the evaluation team

It is important to consider the qualifications of the evaluation team members before embarking on the recruitment process. Examination of the skills that team members should have is an extremely important task because it has a direct impact on the quality of the evaluation. People who are highly knowledgeable in the subject with relevant experience and are available to conduct the evaluation are required. However, a team of two or more is usually preferred. The appropriate human resource mix is determined by considering the relevant project content, evaluation purpose, the evaluation method to be used and other issues. For example, it is important that team members should have skills in statistical analysis and social science if a survey is targeting a large population. If the evaluation is to focus on public participation, members will be required to have expertise in participatory evaluations and skills in qualitative analysis and facilitation.

### 4.8.2 Recruitment process

The consultant(s) should be recruited in accordance with the provisions in the Public Procurement Act, 2003 (Act 663). On the basis of this Act, the Public Procurement Authority (PPA) of Ghana has produced clear guidelines on how to procure goods and services. The recruitment process usually begins with a targeted request or open advertisement for Expression of Interest (EOI). The respondents are then invited to submit proposals based on the TOR. The proposal usually has two components: (i) a technical proposal and (ii) a financial proposal. A team of experts will first evaluate the technical proposal and award marks. Another team will evaluate the financial proposals. The winner is usually the one with the best combination of technical and financial proposals.

## 4.9 Design of Impact Evaluations

Evaluators have three broad categories of designs from which to select for impact evaluations: (i) experimental designs, (ii) quasi-experimental designs, and (iii) non-experimental designs. The main elements of an evaluation design are the timing and unit of analysis. Evaluation design seeks to ensure a well-organized evaluation and to facilitate the collection of comparative data. Table 4.3 depicts some types of evaluation designs.

**Table 4 3: Types of Evaluation designs for impact evaluation**

Design	Characteristics	Example
Randomized Pre-test-Post test	Subjects (families, individuals, communities etc.) are randomly assigned to project and control groups. Data is collected on both before and after project interventions. Additional observations could be observed during programme implementation.	Target beneficiaries of a project are divided into two groups using the simple random sampling technique (lottery). One group is provided with an income generating project and the other group is not. Measures of incomes and other relevant data are taken before and after the project is

		administered
Quasi-experimental Design with before and after comparisons of project and control populations	When randomization is not possible, a control group with similar characteristics to the project group is selected. Measures of key project variables are taken on both before and after the implementation of the project.	Two villages or communities adjacent to each other are selected and one is given capacity building training in self-employable skills while the other is not. The employment levels are measured before and after training to see whether those given the capacity building are more self-employed or not.
The Non-Equivalent Control Group Pre-test – Post-test Ex-post comparison of project and non-equivalent control group	Data are collected on project beneficiaries and non-equivalent control group. Data is collected after the implementation of the project.	Assessing the impacts of micro-credit programmes in some villages where micro-credit was operating and compared with similar villages without credit programmes
The Single Group Time Series Design	Data is collected on project beneficiaries several times before and after.	
The Time Series With a non-equivalent Control Group	Data is collected on project group and a non-equivalent control group several times.	
The Before and After Design	Data is collected on project beneficiaries before and after. No control group	

#### 4.10 The Evaluation Matrix

The evaluation matrix is a concrete translation of the TOR into key issues of the evaluation, the main questions and sub-questions that must be addressed and the indicators and methods to be used for data collection and analysis. All components in the evaluation matrix are interrelated and help us develop the most appropriate work plan for conducting an evaluation. In the process of creating the evaluation matrix, we always have to keep in mind what is the most appropriate way to answer evaluation questions.

The evaluation matrix should be used flexibly. Additional column(s) (e.g., sampling method, gender ratio, etc.) can be added when necessary. Table 4.4 provides an example of an evaluation framework or matrix.

**Table 4.4: Evaluation Matrix**

Evaluation Criteria	Evaluation Questions		Goals and Objectives	Data Needed	Data Sources	Data Collection Methods
	Main Questions	Sub Questions				
Relevance						
Efficiency						
Effectiveness						
Impact						
Sustainability						
Others						

Adapted from JICA, 2004

Take the following steps to prepare the evaluation matrix:

- 1) First determine what we need to learn in the evaluation (evaluation questions). The five evaluation criteria will help us formulate evaluation questions as specifically as possible.
- 2) Next, consider the goals and objectives of the project or programme in order to make value judgement (basis for judgement)
- 3) Then, consider whom to contact, what data to collect and how to do it in order to answer evaluation questions (data source, necessary data and data collection methods)
- 4) There are various data collection and analysis methods. It is more effective to use several different approaches in order to offset the weakness of one approach by the strength of another
- 5) Finally, bring all planning elements together in an evaluation matrix. The Evaluation matrix should be flexibly applied to meet the different purposes of each evaluation.

## 4.11 Utilization of Evaluation Results

At the end of each evaluation, lessons learned are drawn and recommendations are made. Recommendations include specific measures, suggestions and advice. Lessons are fed back to on-going or similar projects. It is important to reach some consensus among the stakeholders about the recommendations and lessons learned. Not many people would utilize the recommendations and lessons learned if they were not specific and practical enough. The following issues should be examined in making recommendations and drawing lessons learned:

- 1) Recommendations and lessons learned have to be made based on the information obtained through the process of data analysis and interpretation. The contents have to meet the evaluation purpose.
- 2) Recommendations and lessons learned have to be targeted at the potential users of the evaluation results
- 3) Avoid vague and impractical recommendations and lessons learned.
- 4) Recommendations have to be specific and prioritized with a time frame (e.g., in a short term or a longer term) to the extent possible so that the next measures can easily be taken.
- 5) Lessons have to be generalized and conceptualized so that they will widely be applicable (JICA 2004).

One of the key determinants of whether an evaluation will be useful and whether the findings will be used is the extent to which clients and stakeholders were involved in all stages of the evaluation process. The following actions will further improve the utilization of evaluation findings:

- 1) The preparation of a follow-up action plan is an effective way to promote utilization of the evaluation findings. What is needed is an agreed action plan with specific, time-bound actions, clear definition of responsibility and procedures for compliance before the evaluation.
- 2) Promoting a positive attitude toward evaluation findings often involves ensuring that clients face “no surprises”. The client should be kept informed of the progress of the evaluation and of preliminary findings as they emerge. In particular, the client should be fully briefed and should have a chance to react to the final conclusions and recommendations before they are presented or made available to others. Clients tend to react more defensively to negative findings if they are sprung on them in a formal meeting with other agencies or even worse if they learn the findings from the press or another agency.
- 3) As always, there is the need to involve clients while maintaining neutrality. This is particularly the case where some negative or sensitive results are emerging which the client may wish to suppress.
- 4) Each evaluation should focus on a limited number of critical issues and produce recommendations based on a clear understanding of the information needs of clients and how the evaluation findings will be used.

#### 4.12 Criteria for Assessing the Evaluation Process and Results

The theory on evaluation has developed basic principles, norms and standards in order to guarantee the quality, reliability and validity of evaluations. The following are some of the criteria to ensure that evaluations at all levels meet minimum quality standards:

- 1) **Independent** – The organisation or government agency commissioning the evaluation should not impose restrictions on the recommendations of any evaluation report.
- 2) **Transparent** - The rationale for an evaluation should be clear from the onset (no hidden agenda). Meaningful consultation with stakeholders is essential for the credibility and utilization of the evaluation results.
- 3) **Ethical** - The evaluator should avoid conflicts of interest and personal interests. Evaluators must respect the rights of institutions and individuals to provide information in confidence. Evaluators should be sensitive to local beliefs and customs and to the prevailing social, cultural and physical environment
- 4) **Impartial** - The evaluation should be free of political or other biases and deliberate distortions. The evaluation results should be presented with a description of its strengths and weaknesses.
- 5) **Timely** – The evaluation must be designed and completed in a timely fashion so as to enhance the usefulness of its findings and recommendations
- 6) **Relevance** – The evaluation information must be relevant and written in a simple way.
- 7) **Value for money** - The cost of the evaluation needs to be proportional to the overall cost of the initiative. The evaluator must avoid using expensive methods for data collection when less expensive means could be used.

### 4.13 Relationship between Monitoring and Evaluation

Although evaluation can be distinguished from monitoring, the two concepts are closely related, interactive and mutually supportive. Monitoring presents what is being delivered whilst evaluation answers the question “what has changed as a result of the intervention?” Through routine tracking of progress, monitoring can provide quantitative and qualitative data useful for designing and implementing an evaluation. Indeed, monitoring forms the basis for a sound evaluation by providing essential data and information on inputs and outputs for the evaluation. On the other hand, through the results of periodic evaluations, monitoring tools and strategies can be refined and further developed.

The differences between monitoring and evaluation have been examined under the following criteria in Table 3.5.

**Table 3. 5: Differences between Monitoring and Evaluation**

<b>Criterion</b>	<b>Monitoring</b>	<b>Evaluation</b>
Rationale	Provides basis for corrective action	Provides assessment of continued relevance
Focus	<ul style="list-style-type: none"> <li>• Was delivery according to plan?</li> <li>• What were the deviations?</li> <li>• Were they justifiable?</li> </ul>	<ul style="list-style-type: none"> <li>• Relevance</li> <li>• Efficiency</li> <li>• Effectiveness</li> <li>• Impact</li> <li>• Sustainability</li> </ul>
Timing	On-going during the life span of the intervention	<ul style="list-style-type: none"> <li>• Before, mid-point and at the end of the intervention</li> <li>• Impact evaluation – some years afterwards</li> </ul>
Indicators	Often describes expected results for individual cases	Often aggregates data giving an overview of many cases
Number of people involved	Many people or several organizations involved	Limited number of people involved in short-term events
Information sources	Routine systems, field observations, progress reports, rapid assessments	Mostly surveys and studies
Undertaken by	Internal managers	Mostly external evaluator

## CHAPTER FIVE

### PARTICIPATORY MONITORING AND EVALUATION

#### 5.1 What is Participatory Monitoring and Evaluation?

Participatory Monitoring and Evaluation is defined as a process where primary stakeholders actively participate in tracking progress towards the achievement of self-selected or jointly agreed results to draw actionable conclusions. Stakeholder participation could be broad, including a wide range of staff, beneficiaries and partners, etc. It could also be narrow, targeting one or two groups of partners. Generally, all key stakeholders should be involved in the entire PM&E processes, beginning with planning and design; gathering and analysing data; identifying the evaluation findings, conclusions and recommendations, disseminating results and preparing an action plan to improve performance.

Participatory M&E is based on the premises that programmes and projects have multiple stakeholders who have different perspectives as to what constitutes programme success and failures. Examples of participatory monitoring and evaluation methods frequently used include Participatory Rural Appraisal (PRA), Participatory Learning and Action (PLA), Self-esteem, Association, Resourcefulness, Action planning and Responsibility (SARAR), Citizen Report Card and Community Score Card. These approaches recognize the importance of local knowledge in promoting successful community development planning, implementation, monitoring and evaluation. They are meant to create a positive learning environment, deepen public consultation and to provoke thinking and action. They help release creativity in people and enable people to take a more active partnership role, especially in community projects aimed at improving the quality of life.

The PM&E methods are characterized by:

- 1) Team work
- 2) Interaction among team members, consisting of evaluation facilitators and key stakeholders (e.g., community members) to generate the data and information
- 3) Team members examining their own experience and learning from it
- 4) Organizing the data or information and feeding these findings back to those people who reported the information while allowing sufficient time for reactions
- 5) Determining the real meaning and validity of the information gathered
- 6) Deciding with the people plans for future actions

Participatory methods and tools can be used to gather a wide range of quantitative and qualitative information including baseline, gender equity and aspects of relevance, effectiveness, efficiency, impact and sustainability of an intervention. They are useful for assessing 'difficult issues' such as the participation of poor women, vulnerable and excluded groups as well as management and power relations.

##### 5.1.1 Participatory Monitoring

Participatory monitoring is the systematic recording, sharing and periodic analysis of information that has been chosen and recorded by beneficiaries with the help of service providers. There is one key difference between participatory monitoring and

conventional monitoring. In the case of participatory monitoring, stakeholders play an active role in the monitoring activities. They maintain records, analyse progress, and use the information generated to make decisions about project implementation.

### **5.1.2 Participatory Evaluation**

Participatory evaluation refers to the process of evaluation where all stakeholders of an intervention are involved in the evaluation processes. Instead of having a team of service providers to conduct the evaluation, the partners themselves conduct the evaluation. If an outsider is involved, their role is usually to facilitate the process as technical advisors. In ideal situation, all key decisions regarding the evaluation are made by the project partners. These include:

- When to conduct the evaluation
- Data collection, analysis and interpretation
- Reporting and using the findings.

### **5.1.3 When is it most appropriate to use Traditional or Participatory M&E?**

Participatory evaluation is appropriate under the following conditions:

- When there are questions about implementation difficulties or effects on beneficiaries
- When information is needed on stakeholders' knowledge of stated goals and their views of progress.

Traditional evaluation is appropriate under the following conditions:

- 1) When there is a need for independent external judgement
- 2) When specialized information can only be provided by technical experts
- 3) When key stakeholders have no time to participate
- 4) When there is a lack of agreement among stakeholders.

## **5.2 Purpose of PM&E**

The main purpose of PM&E is to provide stakeholders with regular information during the life span or long after the implementation of a development intervention. It allows adjustments to be made during implementation and provides information for future participatory evaluations. The benefits of PM&E include the following:

- 1) It promotes judicious use of resources
- 2) It creates an information base for future evaluations
- 3) It allows for the definition of more relevant local indicators
- 4) Problems are identified and solutions sought early
- 5) Good standards are maintained.

## **5.3 Steps to Conducting PM&E**

The step by step process for doing PM&E depends on the tools and techniques discussed in Section 5.4. The steps outlined below provide some general guidance on the PM&E process (Guijt I, 2000).

### **Step 1 – Identify who should be involved**

Identify the stakeholder groups to be involved in the planning of the PM&E process. Other issues to consider here relate to defining responsibilities and the roles to be

played by service providers and beneficiaries. Table 5.1 suggests the respective roles that can be played by beneficiaries and service providers at different stages of the evaluation process.

**Table 5. 1: Roles of beneficiaries and service providers in PM&E**

<b>Steps</b>	<b>Service providers-led</b>	<b>Jointly-led</b>	<b>Beneficiaries-led</b>
<b>Planning the PM&amp;E process and determining objectives and indicators</b>	<ul style="list-style-type: none"> <li>• Service providers determine stakeholders to be involved; develop the M&amp;E framework, including objectives, indicators, choose and develop data collection instruments</li> <li>• Beneficiaries provide feedback on proposed M&amp;E framework, learn how to use the data collection tools</li> </ul>	<ul style="list-style-type: none"> <li>• Service providers and beneficiaries jointly identify stakeholders to be involved; develop the M&amp;E framework including objectives and indicators; choose and develop data-collection instruments</li> </ul>	<ul style="list-style-type: none"> <li>• Beneficiaries determine stakeholders and service providers to be involved; develop the M&amp;E framework, including objectives and indicators; choose and develop data-collection instruments</li> <li>• Service providers provide technical support to beneficiaries when called upon</li> </ul>
<b>Gathering data</b>	<ul style="list-style-type: none"> <li>• Service providers coordinate data collection</li> <li>• Beneficiaries participate as data collectors and/or as interviewees</li> </ul>	<ul style="list-style-type: none"> <li>• Service providers coordinate data collection</li> <li>• Beneficiaries participate as data collectors</li> </ul>	<ul style="list-style-type: none"> <li>• Beneficiaries coordinate all data collection activities</li> </ul>
<b>Analysing data</b>	<ul style="list-style-type: none"> <li>• Service providers analyse the data, summarize findings; formulate recommendations and prepare for presentation and discussion</li> <li>• Beneficiaries do not play any role</li> </ul>	<ul style="list-style-type: none"> <li>• Service providers and beneficiaries jointly analyse raw data, discuss results, summarize findings and develop recommendations</li> </ul>	<ul style="list-style-type: none"> <li>• Beneficiaries analyse the data, discuss results, summarize findings and develop recommendations</li> <li>• Service providers provide technical advice on data analysis when called upon</li> </ul>
<b>Sharing the information and defining actions to be taken</b>	<ul style="list-style-type: none"> <li>• Service providers present findings and recommendations</li> <li>• Beneficiaries discuss findings and recommendations and provide feedback</li> </ul>	<ul style="list-style-type: none"> <li>• Service providers and beneficiaries present findings and recommendations to wider stakeholder group and elicit discussion of actions to be taken</li> </ul>	<ul style="list-style-type: none"> <li>• Beneficiaries present findings and recommendations to wider community and service providers</li> <li>• Service providers provide suggestions, recommendations and actions to be taken</li> </ul>

Adapted from Judi Aubel, 2004

### **Step 2 – Clarify expectations**

This step can be a lengthy process of negotiation, contestation and collaborative decision-making among various stakeholders’ expectations of the process and their information needs.

### **Step 3 – Determine objectives and indicators**

Identifying objectives and monitoring indicators can be the most difficult part of the PM&E process”. In some cases a common set of indicators are selected, while in other instances different stakeholder groups develop their own set of indicators.

### **Step 4 – Define the priorities**

Stakeholders determine which goals, objectives and activities to focus on.

### **Step 5 – Collect the data**

Stakeholders agree on data collection methodology, responsibilities and timing of the data collection. Data collection may include the use of both quantitative and qualitative methods and tools. Quantitative methods include: community surveys and interviews. Qualitative methods include various participatory learning methods using visual, interviewing and group tools and exercises.

### **Step 6 – Analyse the data and decide on actions to be taken**

While data analysis is often thought of as a rather mechanical and expert-driven task, PM&E offers stakeholders an opportunity to be actively involved in the critical analysis of successes and constraints and in the formulation of conclusions and lessons learned.

### **Step 7 – Agree on how the findings are to be used and by whom**

The results of PM&E activities are shared with all stakeholders and there is discussion of appropriate actions to be taken based on the findings.

## **5.4 Tools and Techniques for PM&E**

The number of tools and techniques available for use in PM&E include both more traditional tools from the social sciences and recently developed Participatory Rural Appraisal (PRA) tools. Most of the PRA tools were originally developed for use in community assessments (participatory rural appraisals, participatory learning and action etc.). However, most of them can also be used for planning, documenting and reporting on M&E activities. The purpose of these tools is to elicit group discussion, reflecting and sharing and to stimulate groups of programme stakeholders to formulate conclusions and plans for action.

### **5.4.1 Participatory Rural Appraisal**

Participatory Rural Appraisal (PRA) consists of a range of largely qualitative and flexible techniques employed by key

#### **Box 5.1: PRA Techniques/Tools**

- Mapping
- Transect Walks
- Seasonal Calendars
- Impact Flow Diagrams
- Venn Diagrams
- Ranking
- Stakeholder Analysis

stakeholders to monitor and/ or evaluate programme performance. The techniques comprise a range of visualization, interviewing and group work methods. These techniques have proven valuable in enabling people to express their views and share information, in uncovering their realities and priorities, and in stimulating discussion and analysis.

## Mapping

Maps are defined as spatial data gathering tools which provide a visual representation of its geographical scope, either the whole community or part of it. It depicts the boundary of the community, the social facilities available in the community. Maps in PRA are different from regular conventional maps. It is made by the people on the ground with the local materials, not to scale. It depicts what the local people believe to be relevant and important to them.

### Box 5.2: Practical Example on Mapping

Daniel Foster, a social forestry volunteer used sketch mapping as a training tool for community forestry. The activities were done in a village. The purpose of the sketch maps was to select suitable sites for:

- demonstrating techniques of forest management
  - estimating the quantity and quality of the resource
- He applied this tool with groups of mixed gender in the village. The difficulties he encountered were that sometimes the more educated members of the group would try and make a “proper” map, with a scale etc., until it was explained to them, that it was not the right approach. The activity was highly appreciated by the participants and the forest rangers alike

*Source: VSO, participatory approaches: A facilitator’s guide*

## How to conduct mapping

- 1) The team should visit the community to ensure that there is broad participation by the community members
- 2) The team should carefully explain the purpose and process of mapping to the community members
- 3) Using simplified examples, the concept of mapping is demonstrated by means of locally available materials like sticks, leaves, stones etc.
- 4) Once the concept is understood, the team should ask the community members to do the mapping exercise by identifying facilities and features on the map
- 5) In the process, the team should task the community members to do some discussions. The team should observe, listen and may ask people who will appear late not to interfere.
- 6) When the map is done, the team should ask the participants some questions and obtain feedback from them. In the same vein the team would have learnt about local features and facilities in the community. If there are differences in the maps made by different groups the facilitator should resolve the differences.

## Maps can be used to:

- 1) Do an informal census of how many people or households are in a given community
- 2) Learn about the presence and location of community resources
- 3) Identify which resources are important to different community groups
- 4) Learn about general community problems
- 5) Provide a visual resource that can be used as a baseline for assessing change

- 6) Form a list of households to sample for in-depth interviews.

The findings from mapping can be cross-checked through other methods such as spot visits, key informant interviews, rating scales and transect walks.

### **Strengths of Mapping**

- 1) Powerful method that catch the attention of participants
- 2) Generates detailed information needed for good management decisions
- 3) Allows persons outside the community and community members to assess rapidly resource use practices
- 4) Community members can analyse the links, patterns and inter-relationships of different facilities and resources.

### **Weaknesses of Mapping**

- If not facilitated properly, method could raise expectations or generate conflict with neighbouring stakeholders
- The resulting maps will only be as good or as valid as the knowledge base of participants.
- One person may dominate or direct the drawing, if mapping is done by the group as a whole

### **Transect Walk**

These are systematic walks with key informants through the area of interest, while observing, asking, listening, and seeking out problems and solutions. There are different types of transect walks such as walking across an area, looping, walking from one point to another, etc. Walking through a community leads to an observation of some indicators and understanding the issues of concern, for example, soil erosion, environmental sanitation, etc. It should be conducted early in the PRA process, after the mapping exercise. It provides the team with an overall view of the community and helps it identify issues that might merit further exploration. Transect walk is a relatively inexpensive method that provides many valuable insights. It can be used for quantitative and qualitative information gathering.

Transect walks are useful for monitoring the following:

- 1) Reliability of water sources, quality of construction, hygiene around water points, use of water
- 2) Assessing environmental conditions
- 3) Assessing types of farming systems and techniques used
- 4) Household and personal hygiene (for the latter, particularly in discussion with children)
- 5) Solid waste management and environmental hazards such as industrial waste
- 6) Control of animals.

### **How to conduct transect walk**

- 1) Based on the topics or indicators to be observed, decide who should be involved in the transect walk. The Indicators form the basis of observations and measurements during the walk. For example community leaders, farmers and extension agents, etc. If the group is too large, attempt should be made to divide the group

- 2) Decide transect route with the aid of a map of the community if it is available. The same route should be taken each time to keep the basis of observing changes stable
- 3) Keep a good record of what emerges from the transect walk
- 4) Sketch what has been seen and discussed and use that as the basis for subsequent transect walks
- 5) Compare the different observations for each transect walk and use that as the basis for further discussion.

#### **Strengths of Transect Walk**

- Allow first-hand observations to validate information from secondary sources
- Offer flexible and spontaneous opportunities to gather rich and varied data in a relatively short space of time
- Verify whether conditions are different than suggested.

#### **Weaknesses of Transect Walk**

- Access to certain interesting areas is restricted, eg: groves
- The route or time available for transect walk may not allow the team to investigate interesting features that emerge or to speak with local people.

#### **Seasonal Calendars**

Seasonal Calendars are used to explore and record data for distinct time periods (per season, year, month or even week) to show cyclical changes over time. From a PM&E perspective, calendars can help capture the seasonal dimensions and trends in activities, problems and opportunities. Seasonal calendars that include a range of indicators can reveal how different patterns of change are linked and can be good for discussing causality of certain changes. Seasonal changes are particularly important for rural communities. They may significantly affect labour, water supplies, food and income.

#### **How to conduct Seasonal Calendars:**

- 1) Clarify with those involved whether calendars will monitor changes between weeks, months, seasons, or years. This will depend on the indicators that have been selected and the rate at which they change.
- 2) Construct the calendar either to depict one or several years, or the minimum number of months or seasons over which monitoring is intended to occur. The calendar can be represented either horizontally or as a circle, though the latter are not suited for multi-year trend analysis.
- 3) When the calendar has been constructed, data entry could be done

#### **Box 5.3: Practical Example**

Transects enabled a community worker to train staff in transects. It was used to increase the participation of local people in forestry projects. Sometimes the transect walk was done after a sketch map has been drawn, but often it simply followed discussions with local forest staff and village leaders. He picked out key areas of interest from the discussion and asked the local people that he would like to see those places of interest. There were often great differences between what was said and what was on the ground.

Transects helped him to monitor existing forest projects, and enabled him to make observations for the feasibility of new activities, e.g. seeing which land uses, species or agricultural practices. The informal setting of these walks was also a great way to share important local knowledge and skills between colleagues.

*Source: VSO, participatory approaches: A facilitator's guide*

- 4) After several data entries, the calendar will show variations over time. This will stimulate discussions to understand what the changes are and why they are occurring. By monitoring various types of changes simultaneously in one seasonal calendar, certain patterns may become apparent.

### Impact Flow Diagrams

Impact Flow Diagrams (**Cause-Impact or Flow Diagrams**) are used to explain the contributing causes or reasons of a particular problem, to identify effects or impacts of a particular change. For example, have the School Feeding Programme and the Capitation Grant enhanced primary school enrolment?

From a PM&E perspective, this method can reveal the impact of a development intervention on the target groups or beneficiaries.

#### How to conduct Impact Flow Diagrams:

- 1) Decide on a specific topic. It could be a project activity, an event, etc.
- 2) Ask what has happened as a result of that activity or event. The answers, either positive or negative could denote the consequences of that activity or event. It is noted as symbols or with words. They are placed on the diagram to show how cause and effect are linked, with arrows or lines. Try also to probe for indirect consequences or, if someone mentions something that is an indirect consequence, then ask them to explain what caused this more directly.
- 3) A previous diagram can be used as a basis for comparison to generate a discussion on why changes might have occurred and the rate of change
- 4) Compile group flow diagrams into a single diagram.

#### Strengths of Flow Diagrams

- Records problems, relationships surrounding problems, the group's perception and analysis of these problems and the value or weight they give to these problems
- Enables local people to express understanding of their situation. It reveals which problems should be given priority in planned development efforts
- Helps raise awareness among group or community members regarding the causes of their problems.

#### Weaknesses of Flow Diagrams

- 1) Controversial issues or problems may lead to breakdown of the group
- 2) Use of unfamiliar, confusing or inappropriate illustrations or symbols
- 3) Flow diagrams assume linear chains of cause and effect. Relationships may be more complex in reality.

#### Box 5.4: Practical Example

A volunteer used the flow diagram to analyse the operation of health service in a community. The flow diagram was used in two stages. A "Why" flow chart explored why different problems occurred, from which some common causes were identified and A "How" flowchart identified strategies for putting proposed solutions to problems into action.

*Source: VSO, participatory approaches: A facilitator's guide*

### Venn Diagrams

Venn Diagrams are used to illustrate the extent to which individuals, organizations, projects or services interact with each other. Overlapping circles of various sizes are used to indicate the relative importance of different issues. The degree of overlapping or non-overlap indicates the inter-relatedness of the issues.

### How to construct Venn Diagrams

- 1) Start by ensuring that the topic is completely clear for everyone – that you are discussing the relative importance of groups/people/organizations and their interactions.
- 2) Have a general discussion during which the different groups, people and organizations that relate to the topic are identified. Appropriate number should be within the range of 15 to 20.
- 3) Represent each of the entities identified with a separate circle. First represent the central element to which the others are relating (e.g. primary stakeholders, etc.).
- 4) Use paper circles of different sizes and ask participants to undertake the drawing. Overlapping circles represent groups or people with shared functions and a small circle within a larger circle represents a unit within the larger group or organisation.
- 5) When working with more than one group, compare the diagrams and discuss if there are any differences. Further discussions may focus on areas where problems need to be resolved, such as conflict resolution or organizational capacity building.
- 6) Subsequent monitoring events can be tackled as follows:
  - a. Make a new diagram at each monitoring event that can be compared with previous diagrams to make analysis of any changes and the causes.
  - b. Use the first diagram to discuss how the current situation is different and why this is the case. These changes can be symbolized, for example, with arrows pointing up to show increase or down to show a decrease, eliminating a circle, adding others, etc.
- 7) Whatever approach is used, discussions should focus on the quality, frequency, appearance or disappearance of linkages between the groups.

#### Box 5.5: Practical Example

This tool was used to assess the linkage between an NGO and its stakeholders. Participants were asked to draw circles to represent the NGO and its stakeholders whilst annotated arrows were added to identify key relationships. The tool provided a much better insight into an organisation than its own organogram. It highlighted communication channels and bureaucratic structures that may influence access to resources and decisions

*Source: VSO, participatory approaches: A facilitator's guide*

This method, if facilitated well, provides valuable insights into power structures and decision-making processes. It may help to highlight contrasting perceptions of different roles, responsibilities and linkages, pointing to areas of conflict and dispute and also pointing to ways of resolving these. This method can help identify ways to improve the working relationships of organizations or groups.

### Strengths of Venn Diagrams

- 1) Quick to construct

- 2) Interactive and visual
- 3) Easy for most people to do
- 4) Provides a forum for discussing the roles and relationships of stakeholders
- 5) Assists in the identification by stakeholders of existing power relations among themselves.

#### **Weaknesses of Venn Diagrams**

- The results are difficult to communicate or document without showing them visually
- The information may be difficult to analyse
- The information may be difficult for service providers to understand.

#### **5.4.2 Citizen Report Card (CRC)**

The Citizen Report Card is a participatory evaluation tool used to obtain summative feedback from citizens on the performance of government, service providers or programmes or projects to form the basis for joint reflection and correction among key stakeholders. In strategic terms, citizen report card seeks to discover weak processes in service delivery, poor services and areas of dissatisfaction to form the basis for community mobilization for demand for improvement and ultimately the adoption of administrative reform for improved performance.

#### **Key Phases of Citizen Report Card**

The implementation of Citizen Report Card initiative involves seven key phases:

##### **1) Identification of Scope**

The first step in carrying a CRC is to be clear on the scope of the evaluation. The administration of the report card initiative is a technical exercise hence there is the need to identify a credible organization or NGO who can undertake the exercise.

##### **2) Design of Questionnaires**

The design of the questionnaires requires the inputs from the service providers and its users. After the questionnaire is designed, it will be necessary to pre-test it before it is administered in full scale.

##### **3) Sampling**

The sample size has to be determined. Usually the larger the sample -size the better. However, this has to be weighed against resource constraints. More importantly, the purpose is to aim for greater representation.

##### **4) Execution of Survey**

There is the need to select and train a special group of survey personnel who should be thoroughly informed about the purpose of the survey and also be knowledgeable in the art of questioning.

##### **5) Data Analysis**

In analysing data, respondents should rate government services on a scale of for example, 1-5. The ratings of the various questions are aggregated and expressed as a percentage. This is what will be read as a “report card”.

##### **6) Dissemination**

The findings of the survey should be disseminated in the print and electronic media. Making the findings widely known and available to the public makes it difficult for the service provider to ignore the results.

##### **7) Institutionalization**

Citizen Report Card initiatives will serve little purpose unless implementation is followed by efforts at institutionalisation on sustained basis. For example, governments can use report cards for Programme Based Budgeting and therefore link the results with public spending.

### **Content of Citizen Report Card**

The content of the feedback from actual users of services generally covers the following:

- 1) Availability, access and use of service
- 2) Satisfaction with service
- 3) Responsiveness of service provider
- 4) Hidden costs- corruption and support systems
- 5) Willingness to pay
- 6) Quality of life.

The Report Cards provide conclusions on the following:

- 1) Citizens satisfaction with the quality of each service
- 2) Comparison of service providers on the reliability and user satisfaction
- 3) Responsiveness and quality of problem solving agencies
- 4) Estimate of hidden costs incurred by citizens.

Table 5.2 - 5.4 show examples of a survey of citizen satisfaction with the services of seven agencies, involving 1036 households.

**Table 5. 2: Citizens Satisfaction with Services**

Agency	No. of Users	% Satisfied	% Dissatisfied
Telephone Company	1027	47	14
Water Company	871	42	18
Insurance Company	793	52	10
Police Service	424	67	07
Licensing Authority	174	32	27
Internet Service Provider	92	16	38
Electricity Company	65	34	26

Source: Janmejy Singh and Parmesh Shah, 2004

**Table 5. 3: Ranking of Services by Citizens' Satisfaction**

Agency	Rank
Telephone Company	3
Water Company	4
Insurance Company	2
Police Service	1
Licensing Authority	6
Internet Service Provider	7
Electricity Company	5

Adapted from Janmejy Singh and Parmesh Shah, 2004

**Table 5. 4: Agency Responsiveness (Survey of households who had a problem)**

Agency	No. of Visits	% Satisfied
Telephone Company	3	51
Water Company	4	54
Insurance Company	3	60
Police Service	3	28
Licensing Authority	2	31
Internet Service Provider	8	15
Electricity Company	2	33

Adapted from Janmejay Singh and Parmesh Shah, 2004

**Table 5. 5: Hidden Cost (Survey of Households who interacted with provider)**

Agency	% Users Paid	Average Amount(GC)	% Extorted
Telephone Company	9	1563	75
Water Company	11	561	88
Insurance Company	0	0	0
Police Service	26	245	67
Licensing Authority	57	637	94
Internet Service Provider	40	1643	94
Electricity Company	18	2603	89

Adapted from Janmejay Singh and Parmesh Shah, 2004

### **Application of Citizen Report Card**

There are diverse ways by which the CRC can be applied. These include the following:

- 1) Urban service delivery
- 2) National or regional service delivery
- 3) Sector service delivery
- 4) Programme evaluation, for example rural food security
- 5) Inter-regional comparisons on access, use, reliability and satisfaction with public services.

### **5.4.3 Community Scorecard (CSC)**

The CSC is a participatory tool which uses focus group discussions to collect data from community members and analyse it with the main objective of influencing the quality, efficiency and accountability with which services are provided at the local level.

#### **Main Features of the Community Scorecard Technique**

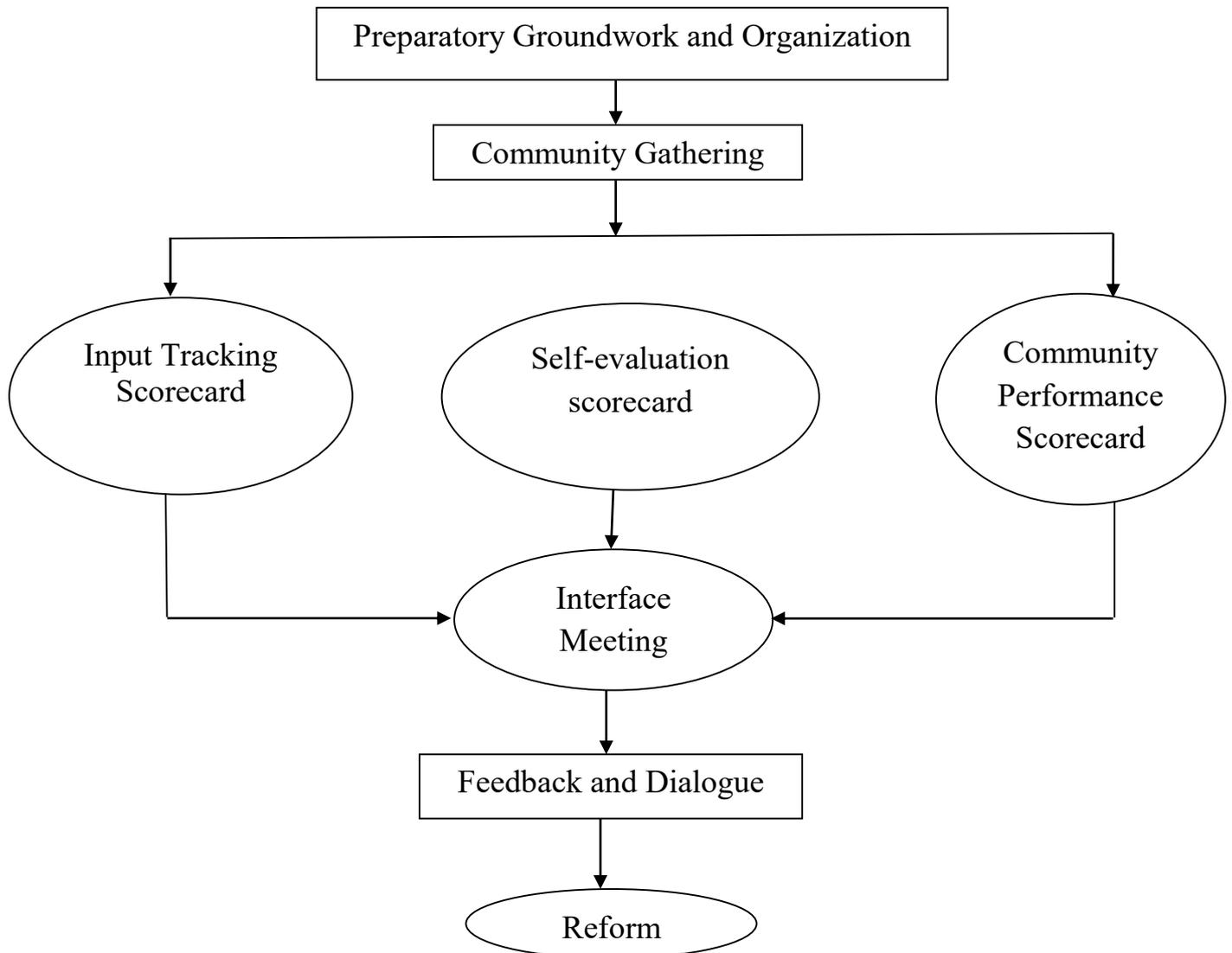
- 1) It uses the community as the unit of analysis
- 2) It generates information through focus group interactions
- 3) It enables maximum participation of the local community
- 4) It emphasizes on immediate response and joint decision-making
- 5) It is conducted at the micro or local level
- 6) It provides immediate feedback to service providers
- 7) It initiates reforms through mutual dialogue.

#### **Components of Community Scorecard**

The community score card involves four key components namely;

- 1) The Input tracking scorecard
- 2) The community generated performance scorecard
- 3) Self- evaluation scorecard by service providers
- 4) Interface meeting between users and service providers.

This has been presented in Figure 5.1.



**Figure 5. 1: Key Stages of the Community Scorecard Process**

Source: Janmejy Singh and Parmesh Shah, 2004

#### **Stages involved in implementing community scorecard**

The CSC process can be divided into six key stages:

1. Preparatory groundwork
2. Developing the input tracking scorecard
3. Generation of the community performance scorecard
4. Generation of the self-evaluation scorecard by service providers
5. The interface meeting between community and service providers

6. The follow-up process of institutionalization.

**Stage One: Preparatory Ground Work and Organisation**

- 1) First identify the scope of the monitoring or performance evaluation- which sector (health, education, agriculture etc.) is going to be evaluated.
- 2) The scope of the geographical unit (village or cohesive settlement) that will be used for the exercise must also be defined
- 3) It is necessary to find people or groups within the sample area who can help with the implementation of the scorecard. This can include traditional leaders, members of the District Assembly, workers at the service facilities in the area, community volunteers, NGOs in the area etc.
- 4) Ensure broad participation of all segments of the community in the process
- 5) Identify and train facilitators
- 6) Collect data using focus groups discussions.

**Stage Two: Development of Input Tracking Scorecard**

- 1) In order to be able to track inputs, budgets or entitlements, it is important to start by having the supply side data. This can be in the form of:
  - Records of inputs
  - Financial records
  - Entitlements based on national policy (a meal per child per day under the school feeding programme).
- 2) Provide information on entitlements to the community i.e. indicates what is supposed to be provided by the service provider
- 3) Participants should be divided into focus groups based on their involvement in the service or project (e.g. facility or project staff, users, etc...)
- 4) Discuss and agree on measurable input indicators that will be tracked i.e. identify indicators for actual and entitlement for purposes of comparison
- 5) Fill in the input tracking scorecard
- 6) Inspect physical facility of input or output (optional where applicable) to see if it is of adequate quality.

Table 5.6 provides an example of an Input Tracking Scorecard.

**Table 5. 6: Input Tracking Scorecard**

Name of Inputs	Entitlement	Actual	Remarks
Teachers: <ul style="list-style-type: none"> <li>• Qualified</li> <li>• Unqualified</li> </ul>	6 0	2 4	Inadequate professional teachers
Furniture: <ul style="list-style-type: none"> <li>• Desks</li> <li>• Chairs</li> </ul>	1:1 1:1	1:3 1:2	Over crowded
Learning Materials: <ul style="list-style-type: none"> <li>• English Books</li> <li>• Mathematics</li> <li>• Science</li> <li>• French</li> </ul>	1:1 1:1 1:1 1:1	1:2 1:4 1:3 1:5	Inadequate core text books for teaching and learning
Teacher-Pupil Ratio	1:45	1: 70	Over crowded

Source: Janmejy Singh and Parmesh Shah, 2004

### Stage Three: Generation of Community Performance Scorecard

- 1) Once the community has gathered, the facilitators must place the participants into focus groups. The most important basis for the grouping is the usage. There must be significant number of users in each of the focus groups. Each group should also have heterogeneous mix of participants based on gender, age and occupation.
- 2) Each of the focus groups must brainstorm to develop performance criteria with which to evaluate the facility and services under consideration. The facilitators must use appropriate guiding questions to facilitate the group discussion. Examples of community generated health indicators include the following:
  - a) Availability of nurses
  - b) Environmental cleanliness
  - c) Punctuality
  - d) Staff discipline
  - e) Proper lighting systems
  - f) Availability of ambulances
  - g) Waiting time.
- 3) The set of community generated performance indicators should be prioritized.
- 4) Upon the selection of performance criteria, the facilitators must ask the focus groups to score each of them. The scoring process can either be on consensus in the focus group or through individual voting followed by group discussion. The scoring could either be numbers or symbols
- 5) When the scoring is done, it is important for the facilitators to ask the reasons behind low and high scores
- 6) The community is also asked to come up with its own suggestions as to how things can be improved based on the performance criteria they developed. This is the final task during the community gathering and completes the generation of data required for the CSC. Table 5.6 depicts an example of a community generated performance scorecard within a Focus Group.

**Table 5. 7: Example of Community Generated Performance Scorecard for Health**

Indicators	Very Bad 1	Bad 2	OK 3	Good 4	V. Good 5	Remarks
Availability of required medicine	Fill the scores in %age	%	%	%	%	
Availability of Ambulance	%					
Availability of Nurses	%					
Staff Discipline	%					
Environmental Cleanliness	%					

Adapted from Janmejy Singh and Parmesh Shah, 2004

### Stage Four: Generation of Self-Evaluation Scorecard by Service Providers

- 1) In order to get the perspectives of the service providers, it is important to choose which facilities will undertake the self-evaluation. This choice depends on the

extent to which the service providers would be receptive to the exercise. There is the need for some advocacy.

- 2) Like the community, the service providers will need to brainstorm to come up with their own set of performance indicators. This should be comparable with the indicators chosen by the community. Examples of possible indicators generated include the following:
  - a) Clean environment
  - b) Access roads
  - c) Equipment
  - d) Regular drug supplies
  - e) Adequate beds
  - f) Functioning ambulance
  - g) Adequate doctors
  - h) Regular power supply.
- 3) Again like the community gathering, the service providers need to score each indicator and find the average to get the self-evaluation scorecard
- 4) The service providers should be asked to reflect on the scores and come up with their own set of suggestions for improving the state of service delivery.

#### **Stage Five: Interface between community and service providers**

- 1) The interface meeting is between the community and service providers. This final stage of the CSC process is the key to ensuring that the feedback of the community is taken into account and that concrete measures are taken to remove the shortfall of service delivery.
- 2) The implementing team will need to ensure that there is adequate participation from both sides. Local political leaders and senior government officials should also be involved in the interface meeting to act as mediators, and to give it greater legitimacy.
- 3) Once the community and service providers have gathered in a meeting the implementing team has to facilitate dialogue between the community and service providers and assist them come up with a list of concrete changes that they can implement immediately. Local political leaders and senior government officials present can also endorse the reforms.

#### **Stage Six: Follow-up and institutionalization**

At the end of the interface meeting, the next important stage is the follow-up and institutionalization of the CRC process. From the supply side, the key is to get the district assemblies to create forums for feedback from the communities through the CSC so that it can be fed into the planning and budgeting process. In the same vein from the demand side CSOs can train their staff on how to conduct a CSC so that they become the institutions responsible for undertaking the exercise on a sustained basis.

#### **5.4.4 Differences between Citizens Report Card and Community Scorecard**

The differences between the Citizens Report Card and Community Score Card are presented in Table 5.4 below.

**Table 5. 8: Differences between Citizens Report Card and Community Scorecard**

<b>The Citizen Report Card</b>	<b>The Community Scorecard</b>
Unit of analysis is the household or individual	Unit of analysis is the community
Data collected by means of a survey questionnaire	Data collected by means of a focus group discussion
Relies on formal stratified sampling to ensure that data is representative of the underlying population	Involves no explicit sampling. Instead the aim is to ensure maximum participation of the local community in the gathering
The output is the actual perceptions assessment of services in the form of the report card	Emphasis here is less on actual scorecard and more on achieving immediate response and joint decision-making
The media plays the major role in generating awareness and dissemination of information	This relies more heavily on grassroots mobilization to create awareness and invoke participation
Conducted at a more macro level (city, state or national)	Conducted at micro/ local level (village clusters, set of facilities)
More useful in urban settings	More useful in rural settings
Time horizon for implementation is long (3-6 months)	Time horizon for implementation is shorter (3-4 weeks)
Intermediary plays a large role in conducting the survey and data analysis	Role of intermediary is mostly as a facilitator
Feedback to providers and government is at a later stage after the media advocacy	Feedback to providers is almost immediate and changes are arrived at through mutual dialogue during the interface meeting

Source: Janmejy Singh and Parmesh Shah, 2004

#### **5.4.5 Participatory Public Expenditure Tracking Surveys**

Participatory Public Expenditure Tracking Surveys (PETS) are quantitative exercises that trace the flow of resources from origin to destination and determine the location and scale of anomaly. These are distinct, but complementary to qualitative surveys on the perception of consumers on service delivery. They highlight not only the use and abuse of public money, but also give insights into the concepts of cost efficiency and accountability. In absence of a strong institutional infrastructure to manage information flow, tracking surveys provide a realistic portrayal of the status of demand and supply of services, potentially justifying a need for creating cost effective mechanisms of public accountability through, for example, information dissemination on resource allocation and use.

#### **Key Steps in implementing PETS**

Nine major steps have been identified in the process of development and implementation of PETS:

##### **1. Preparation**

The first step in conducting PETS is a consultation with key stakeholders. A meaningful consultation is important in the initial stages of the project in order to collect useful input from those most closely involved, understand the expectations of all involved and to motivate them to participate fully. Furthermore, consultation helps to foster and develop ownership of the process.

## **2. Identify Research Question and Hypothesis**

The second major step is to identify research questions and hypothesis. Key service delivery issues are to be identified there. Problems are to be explored and tentative answers or hypotheses are to be developed. Using the education sector as an example, a research could be as follows: why is school enrolment on the decline? Why isn't it improving, especially in poor communities, despite increased government funding? One possible answer, or hypothesis, to this question is that funds do not reach all the schools.

## **3. Map Resource Flows**

The third step is the mapping of resource flows, or funding sources. The objective of the step is to identify the major sources of funding that flows through the system. In a particular sector, all sources of funds should be carefully considered – both on and off budget, and both internal and external. Do projects funds flow primarily from the central government? Or from decentralized administrative levels? And what percentage of funds comes from bilateral or multilateral donor agencies? And do other sources, such as parent teacher associations or private sector, contribute funds? The nature and characteristics of various flows of funds should be clearly identified in a resource map for it to be of maximum usefulness. For each of the resource flows identified, it is important to understand:

- Where are 'the decision points' – the decisions to allocate and deploy the resources?
- What are the allocation rules and administrative processes involved?
- What accounting and recording procedures are used for each type of flow?

## **4. Design Questionnaires**

The next step in conducting PETS is the design of questionnaires; one for the sector ministries, and one for the district assemblies and one for the delivery units, such as schools or clinics. The type of data to be collected, especially at the delivery unit level, should deal with a variety of information. This could include questions on facility characteristics, inputs, outputs, quality, financing and accountability mechanisms and many others.

The objective of this overall process will be to cross check the recorded data against the same information from another source. This is what will help measure the percentage of fund leakage. It is important to test questionnaires in the field before launching PETS in order to refine the survey instrument and ensure that data is useful.

## **5. Conduct Sampling**

The next step in conducting PETS is to create a sample population upon which to administer the survey sampling means that data will not be collected on all the

country's schools or health clinics; but the sample should be large enough to be able to draw conclusions from the work. For this reason, a stratified random sample with representatives of all the facilities in the country should be selected taking into account the different types of facilities.

## **6. Conduct Fieldwork**

At this level, administer the questionnaire and begin the PETS. However, capacity in terms of staff, time and budget required should be reviewed. Again to ensure the quality of the survey work, the questionnaires should also be reviewed carefully after field-testing and modified if it is necessary. Individuals administering the survey and their supervisors should be trained well and a guide for interviewers should be developed.

## **7. Enter and Clean Data**

Once data has been collected through the administration of the questionnaire in the field, the next step in PETS involves entering and cleaning up data. There are a few key recommendations for success in this stage:

- Involve a data management specialist from the very beginning to ensure consistency in coding
- Pre-code all variables directly on the questionnaires – this reduces the time required for data cleaning after the survey
- Plan return visits in case of errors and inconsistencies

## **8. Analyse data**

The analysis of data, should also involve the consultation of key stakeholders. The analysis of data should, ideally, provide answers to the research questions identified at the beginning of the PETS exercise. It should be done by:

- Locating and measuring leakage
- Looking for variations between districts, delivery service units, etc.

## **9. Dissemination of Results**

The final step in the PETS is the dissemination of results. To this end, an interim summary report should be produced and must include the main findings of the survey and major policy recommendations. Later on, a full report should be produced; including all of the survey findings, a detailed analysis of causes and effects, and widely dissemination of results in the electronic and print media in order to reach the citizenry.

## **Institutionalization of PETS**

PETS should not be seen as a 'one shot exercise'. They should be institutionalized to become a practice undertaken both by governments and CSOs, with each group using PETS to achieve different objectives. For the government, PETS can be used as a tool to monitor performance whereas for CSOs, PETS can be a tool to track flows and materials from government. The institutionalization process should comprise three major components:

- Institutional development, or creating institutions that will integrate PETS in the overall public administration process and public communication policy
- Human resource development, through the training of staff in survey methods, financial audit, etc.

Conducive environment for PETS, through reforms such as improved access to information, the organization of advocacy campaigns, the mobilization of communities, etc.

# **PART THREE**

## **UNDERSTANDING M&E AS A SYSTEM**

## CHAPTER SIX

### THE NATIONAL MONITORING AND EVALUATION SYSTEM

#### 6.1 What is an M&E System?

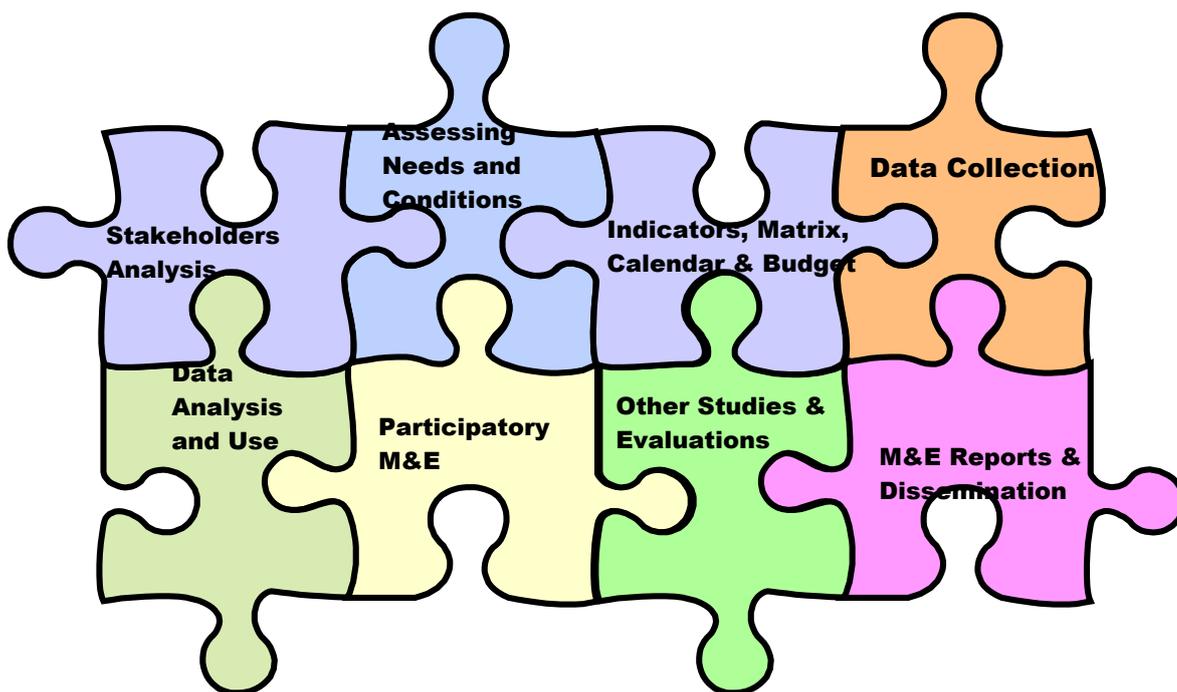
An M&E system is the continuous monitoring and periodic assessments of the implementation of a policy through projects or programmes and the processes that transform inputs into outputs and outcomes. An M&E system mean different things to different people but the common characteristics of any M&E system will include the following:

- It contains **parts or components** that are directly or indirectly related to each other
- It has **interconnections** - the parts and processes are connected by developmental relationships
- It has **performance** processes that transform inputs into outputs (*products, goods and services*) and outcomes (*immediate, medium and long term changes in attitudes, behaviour and livelihoods*).

##### 6.1.1 Components and Interconnections in an M&E System

M&E processes begin only when a policy, plan, programme or project has been formulated. M&E mechanisms are then put in place to evaluate the policy or intervention before, during and after its implementation. To start with, an M&E plan or framework to establish the structure of the system and provide a road map as to what needs to be done must be prepared. The plan should be prepared in a step by step and participatory process. An initial step is to clearly define the purpose and scope of the system. One way to distinguish M&E from academic studies and research is the active participation of stakeholders throughout the entire process. It is therefore important to identify, classify and analyse all stakeholders. It is also imperative to indicate the stakeholders and how they will be engaged in specific M&E activities. The relevant M&E capacities and conditions form the basis for the system to succeed and must be assessed and any lapses addressed. Quantitative and qualitative indicators are valuable tools for measuring progress and should be constructed or selected, defined and prioritised. A results matrix, an M&E work plan and a budget are essential elements of the design phase of the system.

The how-to-do phase comprise of a structured plan for systematic data collection and analysis to assess and demonstrate progress made in achieving expected results. Simple to read and objective reports are the key outputs of any M&E system. Report formats for various needs and stakeholders as well as reporting timelines must be set and adhered to. A dissemination and communication strategy for the M&E results is the last step to be prepared in the M&E plan. All the components mentioned above are the minimum requirements for any M&E system to function properly and effectively. These key components and how they interconnect like a jigsaw puzzle are illustrated in Figure 6.1.



**Figure 6. 1: Components and Interconnections in an M&E System**

## **6.2 The National M&E System**

M&E at the national level is made up of all the M&E systems in the country. The NDPC is the national agency responsible for coordinating all M&E activities in the country. The national M&E system illustrated in Figure 6.2 provides the mechanisms to monitor and evaluate the implementation of government policies and programmes at all levels of governance. In addition, the M&E system provides the basis to monitor progress of implementation of internationally agreed development goals and other partnership agreements such as the Millennium Development Goals (MDGs), African Peer Review Mechanism (APRM) and Multi-Donor Budget Support (MDBS) triggers and targets. The output of the national M&E system (from both monitoring and evaluations) provide the most authoritative source of information on progress towards the achievement of the goals and objectives of NDPF and partnership agreements. The constitutional and legal mandates of the institutions at all levels of governance and their specific M&E responsibilities are discussed in Chapter 7.

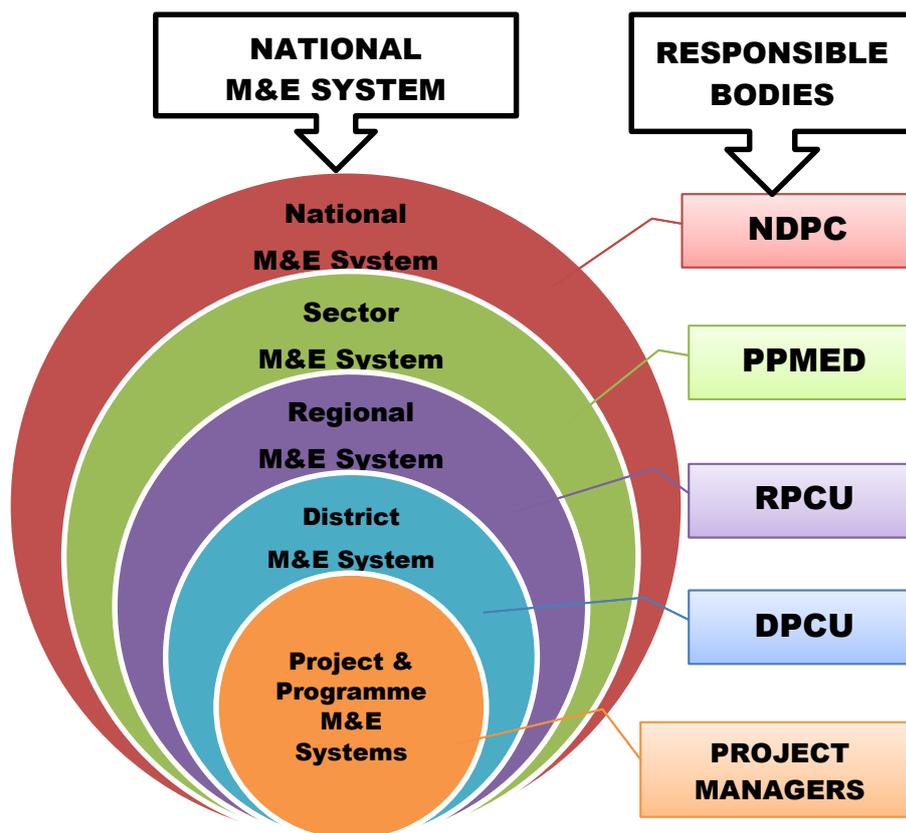


Figure 6. 2: Main Levels of the National M&E System

### 6.3 Purpose of the National M&E System

M&E is critical to sound governance and necessary for the achievement of development results. Government-wide M&E requires detailed knowledge both across and within sectors and interactions between planning, budgeting and implementation. The picture is complicated even further when the machinery of government is decentralized. It is precisely this complex intra-governmental structure with diffused powers and functions which demands a strong national M&E system to promote coordination and prevent fragmentation. Other key reasons for establishing an effective and efficient national M&E System include the following:

1. **Tracking development processes and results**

The national M&E system provides the basis and data for the analysis of the relationships between inputs, the activities that lead to the delivery of public goods and services (outputs) and their associated outcomes and impacts.

2. **Evidence-based policy making**

The use of strong evidence can make a difference to policy making in at least five ways:

- a) **To achieve recognition of a policy issue:**– M&E results are used to reveal some aspects of social or economic life which had, until then, remained hidden from the general public and from policy-makers. Once this information is revealed, a variety of groups, such as civil servants, non-government organizations, development agencies or the media can lobby for a new policy issue to be recognised and addressed.

- b) **To inform the design and choice of policy:** – Once a policy issue has been identified, the next step is to analyse it, so that the extent and nature of the problem can be understood. This understanding provides the basis for subsequent policy recommendations.
- c) **To forecast the future:**– Evaluations that attempt to read the future is also required in order to know whether a policy measure taken to alleviate a problem in the short term will be successful in the long-run as well. When a government is committed to attaining targets in the future, forecasting models allow an assessment of whether these targets are likely to be met.
- d) **To monitor policy implementation at the Sector and District levels:** – Once policies are being executed, information is required by policymakers to monitor the expected results associated with the policies. Careful monitoring can reveal that key indicators are on-track or off-track leading to a change of policy.
- e) **To evaluate NDPF policy impacts:** – Measuring the impact of a policy intervention is more demanding of methodology and of information than is monitoring. It is essential to incorporate an explicit mechanism for evaluating policy impacts of the NDPF.

### 3. **Linking plans and budgets at all levels**

An effective national M&E system is essential for good planning and budgeting systems and provides valuable feedback to those systems. The M&E processes relate directly to planning, budgeting, programme implementation, project management, financial management and reporting.

### 4. **Institutional and individual performance appraisals**

The national framework for rewards, sanctions and recognition should take M&E achievements into account. The recruitment and promotion of top public servants should therefore include selection criteria on M&E skills. Training in M&E should also form part of the institutional skills development strategy.

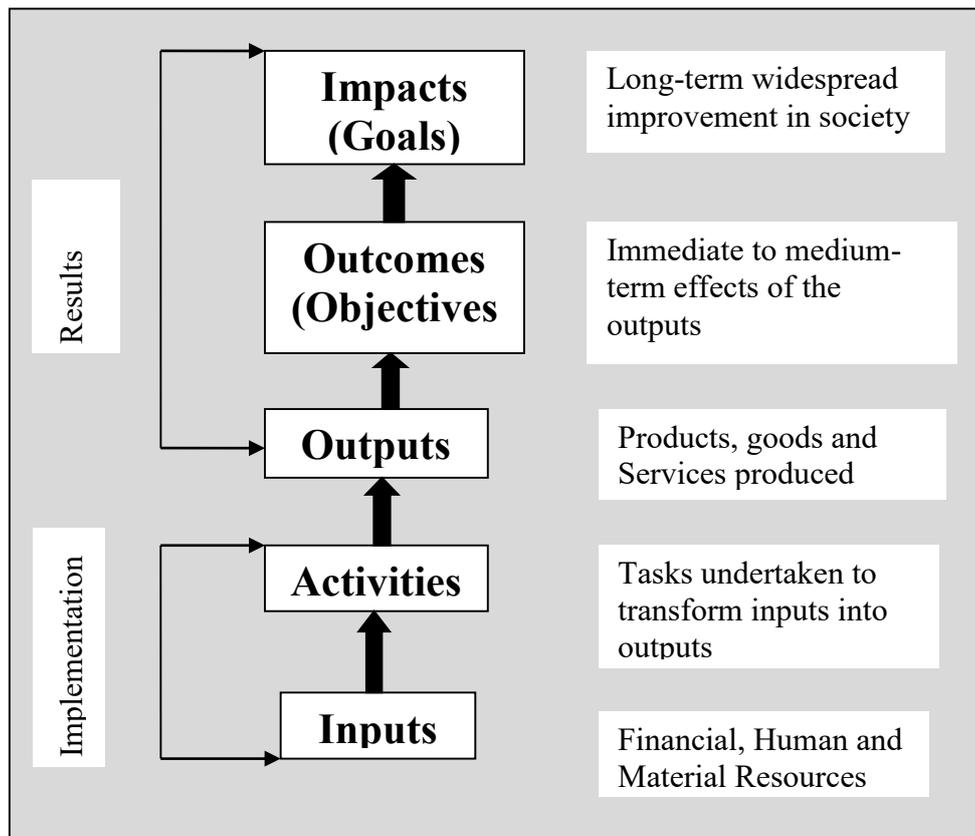
### 5. **Improve accountability, goods and service delivery**

The national M&E processes entail gathering and using information and knowledge in order to improve accountability and enhance service delivery. This cannot be successfully achieved unless explicit and sustained efforts are made at all levels to find out what information is needed to improve government performance in terms of accountability and service delivery.

## 6.4 **Results of the National M&E System**

The result chain is a tool that provides development practitioners the opportunity to logically think through development interventions from the inputs to the impacts levels. It forms the basis for the Logical Framework and the Theory of Change approaches to designing development programmes and projects. The practical application of this chain is that the national development interventions are designed to bring about a long-term change in the lives of all the people living in Ghana. To achieve the national policy objectives, some financial, human and material resources are required (Inputs). The activities are the actions taken or work performed by using these inputs. The activities are completely dependent on the inputs. These activities will then lead to the production of goods and services for consumption (outputs). In the short-term, the outputs are expected to bring about changes in attitudes and

behaviour in the population (Outcomes) and changes in livelihoods and standards of living (impacts) in the long-term. Figure 6.2 illustrates the results chain of the national M&E system.



**Figure 6. 3: The National M&E Results Chain**

## 6.5 Characteristics of a Functional National M&E System

- 1) There is a legal framework backing the M&E system with institutional mandates
- 2) There is a clear National M&E policy, purpose and directives
- 3) There is a strong and committed political leadership and M&E champions supporting the system in all MDAs and MMDAs.
- 4) Adequate financial resources are made available for M&E activities and processes in all MDAs and MMDAs
- 5) There is a capable institution at the national level to coordinate and maintain the system
- 6) There are units in all MDAs and MMDAs with specific M&E mandates, procedures and responsibilities
- 7) There is adequate human resource and M&E concepts, tools, techniques and relevant skills are well known, understood and applied in all MDAs and MMDAs
- 8) The system is based on M&E plans prepared through a participatory process at all levels
- 9) Monitoring is done as a routine in all MDAs and MMDAs
- 10) Evaluations are mandated and carried out in all MDAs and MMDAs
- 11) The M&E information generated is used to improve on management, to influence policy formulation and decision-making in all MDAs and MMDAs

- 12) The M&E information is disseminated within and outside the MDAs and MMDAs (to media houses, CSOs, Traditional Authorities, Academia and research institutions, etc.)
- 13) There are functional M&E Computer Systems in all MDAs and MMDAs

## **6.6 Assumptions and Risks of the National M&E System**

Assumptions and risks underlying the national M&E system answer the questions: What are the assumptions for effective functioning of the System? What risks can contribute to or derail the achievement of the objectives of the system?

### **6.6.1 Assumptions**

The national M&E system assumes there is capacity within government to generate and use performance information that will assist in improving public sector management and governance. Often, this assumption turns out to be false unless there are conscious efforts by government institutions to build this capacity and ensure that it is being used. The system further assumes that the national M&E information will be demanded if effective incentives (rewards or sanctions) are built into the system. However, this stands the risks of failure if there is no understanding of how M&E information can assist public sector managers, decision-makers and the country in moving to achieve the set national development goals.

### **6.6.2 Risks**

Risks refer to the effect of uncertainty on achieving expected results from the national M&E system. The risks that can adversely affect the M&E systems at all the levels of governance include the following:

- 1) Lack of human resources and high attrition rate
- 2) Limited M&E competencies and capacities
- 3) Lack of or non-functional M&E Information Systems
- 4) Inadequate field work
- 5) Weak reporting and/or unreliable results
- 6) Non-compliance with M&E requirements (M&E guidelines, formats, reporting timelines, etc.)

### **6.6.3 Managing national M&E risks**

Risk management is a systematic approach to respond proactively to change by mitigating the threats and capitalizing on the opportunities that uncertainty presents to expected results. The national M&E system therefore requires strategic leadership and a clear understanding of basic concepts and their potential uses in order to ensure efficiency and effectiveness. In addition, the national M&E system can only triumph if there is:

- 1) Commitment to provide the necessary financial, material and human resources for M&E and to support the M&E systems at all levels of governance to develop and mature
- 2) Commitment to support the values and ethics that underlie a successful M&E system (which include commitment to achieving development results, evidence-based policy formulation and decision-making, objectivity, transparency and accountability, partnership and ownership of the development process by the stakeholders)

- 3) A strong civil society demanding and advocating for evidence-based policy-making with considerations for age, gender, disability, social status, ethnicity, other social factors and cultural values.
- 4) Willingness and ability to challenge any negative tendencies or culture within government establishment
- 5) Capacity within government institutions and civil society organizations to demand and use M&E information as part of the normal process of doing business
- 6) A government that is clear about where and how M&E information can and will be used (e.g. in policy, planning, programme and project development, decision-making, budgeting, etc.).
- 7) Adequate rewards and sanctions within the governance system to ensure that senior public servants produce credible and timely M&E information and ensure effective utilization of the results
- 8) Recognition within government for formal and informal mechanisms and forums for reporting and sharing M&E information
- 9) There is general recognition that access to M&E information would increase transparency and accountability
- 10) Commitment to make M&E information from government available to the media, civil society, etc.

## **CHAPTER SEVEN**

### **NATIONAL MONITORING AND EVALUATION INSTITUTIONS**

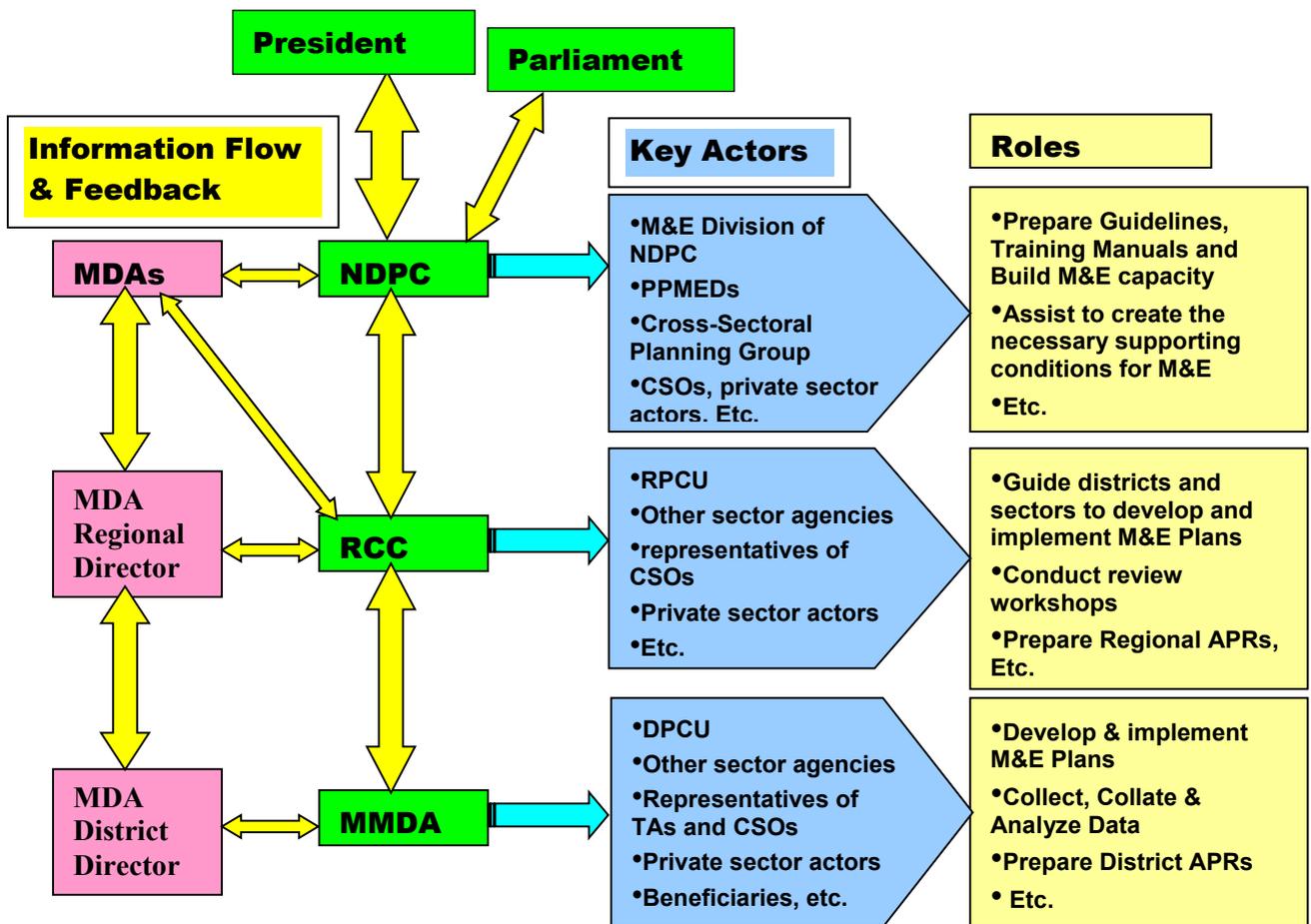
#### **7.1 National M&E Institutions, Roles and Responsibilities**

The key institutions and the bodies which have constitutional and/or legal mandate for M&E and perform other oversight responsibilities at the national level include: NDPC, Office of the President (OoP), Parliament, Ghana Audit Service, Public Services Commission (PSC), Internal Audit Agency (IAA), Office of the Head of Civil Service (OHCS), Ghana Statistical Service (GSS), Ministry of Finance (MoF), Policy, Planning, Monitoring and Evaluation Directorates (PPMEDs) of other Ministries and the Cross Sectoral Planning Groups (CSPGs). Figure 7.1 illustrates the national M&E institutional framework, the key actors, their key responsibilities and how the information generated flows up and feedback flows down at the various levels.

##### **7.1.1 The National Development Planning Commission**

The NDPC is the institution established and mandated by Articles 86 and 87 of the 1992 Constitution to guide the formulation of development policies and plans and to undertake the Monitoring and Evaluation of the country's development efforts. The NDPC advises the President and Parliament (on request) on the performance of public policy and programmes, their impacts, and on the need for policy reforms. Whereas the National Development Planning Commission Act, 1994, (Act 479) established the Commission; the National Development Planning (System) Act, 1994, (Act 480) specifies the planning, coordination, monitoring and evaluation functions.

In fulfilment of its constitutional mandate, NDPC is in continuous consultation with the OoP and MDAs, Development Partners (DPs) as well as civil society organisations and other stakeholders on policy formulation, plan preparation, monitoring and evaluation purposes, the NDPC also works through CSPGs.



**Figure 7. 1: National M&E Institutional and Reporting Framework**

**7.1.2 Office of the President**

As a key recipient and user of M&E information, the OoP has a key role to play to ensure that M&E is adequately resourced and taken seriously by all MDAs and MMDAs.

**7.1.3 Parliament**

Parliament as one of the three arms of government plays an important role in monitoring government policies, programmes and projects. The Parliamentary Special Committee on Poverty Reduction has the oversight responsibility of making recommendations on national development to the entire Parliament for approval. It further influences government policies on poverty reduction through the annual budget and regular interaction with MDAs and CSOs. Members of Parliament are key players in national development and use M&E results to influence government policies.

**7.1.4 Ghana Audit Service**

The Ghana Audit Service is the institution mandated by the 1992 Constitution (Articles 187, 188, 189) and the Audit Service Act 2000, (Act 584) to monitor the use and management of all public funds and report to Parliament. The Service is headed

by the Auditor General and audits the accounts of all public offices. The variety of audits which the Audit Service must perform is:

- 1) Financial Audit or Regularity Audit
- 2) Performance or Value for Money Audit
- 3) Forensic Audit
- 4) Environmental Audit
- 5) IT or Computerised Systems Audit
- 6) Payroll Audit.

#### **7.1.5 Internal Audit Agency**

The Internal Audit Agency (IAA) was established by the Internal Audit Agency Act 2003 (Act 658) with a mandate to co-ordinate, facilitate and provide quality assurance for Internal Audit Units in MDAs and MMDAs. The IAA exists to exercise oversight responsibility over internal audit practice in the public services that will ultimately lead to the enhancement of efficiency, accountability and transparency in the management of resources in the public sector.

#### **7.1.6 Public Services Commission**

Article 194 of the 1992 Constitution established the Public Services Commission (PSC) whilst Article 106 states that the PSC shall have such powers and exercise such supervisory, regulatory and consultative functions as Parliament shall, by law, prescribe, including as may be applicable, the supervision and regulation of, entrance and promotion examinations, recruitment and appointment into or promotions within, the public services, and the establishment of standards and guidelines on the terms and conditions of employment in the public services.

#### **7.1.7 Office of the Head of Civil Service (OHCS)**

The OHCS was created in 1980 as a centre for Human Resource Management for the entire Ghana Civil Service. Section (6) of the PNDC Law 327, 1993 provides for the appointment of the Head of the Civil Service who is mandated to do the following:

- 1) Ensuring efficiency of the Service
- 2) Having charge over all Civil Servants
- 3) Ensuring effective implementation of government policies and plans
- 4) Advising government on employment and policy formulation within the Service
- 5) Advising on conduct of management audits and review
- 6) Determining and advising on manpower limits for the Service.

#### **7.1.8 Ministry of Finance (MoF)**

The Ministry of Finance exists to ensure macro-economic stability for promotion of sustainable economic growth and development of Ghana and her people through the formulation and implementation of sound financial, fiscal and monetary policies, efficient mobilization, allocation and management of financial resources, establishing and disseminating performance-oriented guidelines and accurate user-friendly financial management information systems. MoF is responsible for:

- Mobilization of external and internal resources
- Allocation of resources to all sectors of the economic
- Ensuring sustainability of public debt
- Preparation and implementation of the annual budget and economic and financial statement of Government

- Management of public expenditure
- Development and implementation of financial sector policies.

### **7.1.9 Ghana Statistical Service (GSS)**

The Statistical Service Law, 1985 (PNDC Law 135) established the Statistical Service with the responsibility for the collection, compilation, analysis, publication and dissemination of official statistics in Ghana for general and administrative purposes. The GSS collects data through censuses and surveys and administrative records. GSS is the main source of data for some of the NDPF indicators. It also supports the M&E system by helping in the design of the methodologies, approaches and the instruments employed in collecting data at the national, sector, regional and district levels.

### **7.1.10 Cross Sectoral Planning Groups (CSPGs)**

The National Development Planning Commission Act, 1994 (Act 479) Section 15 provides for the establishment of Cross-sectoral Planning Groups by the Commission for the integration and co-ordination of planning and development activities. The CSPGs are composed of government and non-government actors: MDAs, academic and research institutions, Civil Society and Non-Governmental Organisations (CSO/NGO), the private sector and selected individuals at the national level. The NDPC to organise the CSPGs to define the national core indicators, review M&E reports, make suggestions on the conduct of evaluations including participatory M&E and perform other M&E functions.

## **7.2 Sector M&E Institutions, Roles and Responsibilities**

Ministries, Departments and Agencies (MDAs), especially their Policy, Planning, Monitoring and Evaluation Divisions (PPMEDs) and the decentralised departments at the regional and district levels all have important roles and responsibilities in M&E. Section 12, sub-section 1(b) of the Civil Service Act, 1993 (PNDC Law 327) established the PPMED to coordinate and monitor programmes of the Ministries and their M&E functions are prescribed by legal instruments and regulations. For example, Section 10 of the National Development Planning (Systems) Act, 1994, Act 480 requires the Ministries to monitor the implementation of their Sector Medium-Term Development Plans (SMTDP) and submit reports at intervals in prescribed formats to the NDPC.

Some of the specific roles and responsibilities of the MDAs and their decentralised departments are the following:

### **Sector Ministers and Chief Directors**

Ministers, Deputy Ministers and their Chief Directors are key stakeholders in the establishment of a functional M&E system at the sector level. Their specific roles in M&E activities are to:

- 1) Ensure that MDAs prepare M&E Plans following the Sector M&E Guidelines issued by the NDPC
- 2) Ensure that all programmes and projects of MDAs are systematically monitored and evaluated in accordance with their approved M&E Plans
- 3) Raise awareness on the need and make demands for measuring performance and development outcomes by all MDAs

- 4) Use the M&E reports produced by the MDAs and NDPC to enhance evidence-based decision-making at the district and regional levels
- 5) Increase the demand and use of M&E results by MDAs through regular interactions to assess their response to the recommendations in the APRs
- 6) Ensure that the recommendations in the APRs are used for the improvement of development plans and budgets of MDAs
- 7) Facilitate the work of the PPMEDs by ensuring that:
  - M&E capacities of the PPMEDs are developed to the required standard
  - PPMEDs are adequately resourced with vehicles, the necessary logistics and operational costs to enable them collect, analyse data and generate reports in an accurate and timely manner
- 8) Periodically visit key project or programme sites to undertake the different types of monitoring as discussed in Table 3.1.

### **The PPMEDs**

- 1) Prepare M&E Plans for the SMTDPs
- 2) Define and select sector specific indicators in collaboration with NDPC as core national indicators
- 3) Demand and collate M&E data from the regions and districts for production of the Sector APRs
- 4) Periodically visit key project sites and report on development progress at all levels
- 5) Forward Sector APRs to NDPC and facilitate its dissemination to all stakeholders
- 6) Ensure that gender equality/equity indicators and other cross cutting issues, such as HIV& AIDS, environment, vulnerability and exclusion are considered in the M&E Plans
- 7) Facilitate evaluation of their SMTDPs and make recommendations for the review of policies and strategies.

#### **7.2.1 Decentralised Sector Departments at the Regional Level**

- Provide guidance to the decentralised departments at the district level on how to implement their sector M&E Plans
- Collate and validate sector data from the decentralised district departments through site inspections and regional workshops
- Harmonise and forward the collated district M&E reports to the RPCUs and PPMEDs

#### **7.2.2 Decentralised Departments at the District Level**

- Collect data on sector specific indicators and report on these to the DPCUs and heads of department at the regional level
- Support the DPCUs to conduct evaluations and Participatory M&E (PM&E) relating to the sector
- Support GSS formal survey interventions relating to the sector

## **7.3 Regional M&E Institutions, Roles and Responsibilities**

### **7.3.1 The Regional Ministers and Regional Coordinating Directors**

Regional Ministers, Deputy Regional Ministers and their Coordinating Directors are key stakeholders in the establishment of a functional M&E system at the regional and district levels. Their specific roles in M&E activities are to:

- 1) Ensure that MMDAs prepare M&E Plans following the District M&E Guidelines issued by the NDPC
- 2) Raise awareness on the need and make demands for measuring performance and development outcomes by all MMDAs
- 3) Use the M&E reports produced by the MMDAs and NDPC to enhance evidence-based decision-making at the district and regional levels
- 4) Increase the demand and use of M&E results by MMDAs through regular interactions to assess their response to the recommendations in the APRs
- 5) Ensure that the recommendations in the APRs are used for the improvement of development plans and budgets of MMDAs
- 6) Facilitate the work of the RCCs by ensuring that:
  - M&E capacities of the RPCUs are developed to the required standard
  - RPCUs are adequately resourced with vehicles, the necessary logistics and operational costs to enable them collect, analyse data and generate reports in an accurate and timely manner
- 7) Periodically visit key project or programme sites to undertake the different types of monitoring as discussed in Table 3.1.

### 7.3.1 Monitoring and Evaluation Mandate and Functions of the RPCU

The Local Government Act 1993, (Act 462), section 143 (2) established the Regional Planning Coordinating Unit to provide a secretariat for the Regional Coordinating Council (RCC) to perform its coordination, monitoring, evaluation and harmonization functions. These functions are specified under Section 8 of the National Development Planning (Systems) Act 1994 (Act 480).

#### Box 7.1: Members of the Regional Planning Coordinating Unit

<b>1</b>	Regional Coordinating Director (as Head)
<b>2</b>	Regional Economic Planning Officer (as Secretary)
<b>3</b>	Regional Budget Officer
<b>4</b>	Regional Local Government Inspector
<b>5</b>	Regional Director of Health
<b>6</b>	Regional Director of Education
<b>7</b>	Regional Director of Agriculture
<b>8</b>	Chief Works Superintendent
<b>9</b>	Regional Town and Country Planning Officer
<b>10</b>	Regional Statistics Officer
<b>11</b>	Regional Coordinating Council Nominee

The composition of the RPCU derives its source from the Local Government Act 1993 (Act 462) section 143 (3). The RPCU shall consist of 11 members (Box 7.1). To perform its M&E functions effectively, the RPCU should co-opt other sector agency heads, persons from the private sector and civil society organizations whose inputs will be needed. The Regional Coordinating Director shall convene all meetings, issue circulars to the regional sector agencies, etc. The Regional Economic Planning Officer shall manage the RPCU secretariat; maintain the documentation centre, lead monitoring visits, etc. These two officials will also serve as a link between the RPCU and the RCC. There should be gender balance in the membership of the group.

To fulfil its M&E functions, the roles and responsibilities of the RPCU include the following:

- 1) Provide guidance to the districts in the development and implementation of their M&E Plans
- 2) Demand, collate and evaluate data from district level M&E for onward transmission to the NDPC and other stakeholders
- 3) Evaluate, recommend and support capacity building and other M&E needs for the MMDAs
- 4) Review data and verify inconsistencies
- 5) Support GSS formal survey interventions relating to NDPF
- 6) Verify the indicators submitted from the districts through workshops
- 7) Periodically visit key project sites and report on development progress in the Districts
- 8) Facilitate dissemination of NDPF and other M&E reports to all the districts and stakeholders
- 9) Ensure that gender equality or equity indicators are clearly outlined in the M&E Plans and the information analysed from a gender perspective
- 10) Hold annual workshops to involve all DAs within the region for NDPF review with policy recommendations
- 11) Review and collate the district Annual Progress Reports to produce the regional APR
- 12) Facilitate evaluation of the DMTDPs and make recommendations for policy review

## **7.4 District M&E Institutions, Roles and Responsibilities**

### **7.4.1 MMDCEs, Presiding Members and District Coordinating Directors**

MMDCEs, Presiding Members and their Coordinating Directors are key stakeholders in the establishment of a functional M&E system at the district, programme and project levels. Their specific roles in M&E activities are to:

- 1) Ensure that MMDAs prepare M&E Plans following the District M&E Guidelines issued by the NDPC
- 2) Ensure that all programmes and projects of MMDAs are systematically monitored and evaluated in accordance with their approved M&E Plans
- 3) Raise awareness on the need and make demands for measuring performance and development outcomes by all MMDAs and project managers
- 4) Use the M&E reports produced by the MMDAs and NDPC to enhance evidence-based decision-making at the district level
- 5) Increase the demand and use of M&E results by MMDAs through regular interactions to assess their response to the recommendations in their APRs
- 6) Ensure that the recommendations in the APRs are used for the improvement of development plans and budgets of MMDAs
- 7) Facilitate the work of the DPCUs by ensuring that:
  - M&E capacities of the DPCUs are developed to the required standard
  - DPCUs are adequately resourced with vehicles, the necessary logistics and operational costs to enable them collect, analyse data and generate reports in an accurate and timely manner
- 8) Periodically visit key project or programme sites to undertake the different types of monitoring as discussed in Table 3.1.

### 7.4.2 Monitoring and Evaluation Mandate and Functions of the DPCU

Section 46, Sub-section 3 of the Local Government Act, 1993, (Act 462) established the District Planning Coordinating Unit (DPCU) to assist the District Assembly (DA) to execute designated planning functions. The National Development Planning (Systems) Act, 1994, (Act 480) defines the DPCU's planning, programming, monitoring, evaluation and co-ordinating functions.

#### Box 7.2: Members of the District (Metropolitan/Municipal) Planning Coordinating Unit

1	District Coordinating Director
2	District Planning Officer
3	District Budget Officer
4	District Finance Officer
5	District Director of Health Services
6	District Director of Education
7	District Director of Agriculture
8	District Director of Social Welfare or Community Development
9	District Physical Planning Director
10	District Director of Works or Engineering
11	Nominee of the District Assembly

In line with Section 46, Sub-section 4 of the Local Government Act, 1993, (Act 462), the DPCU shall be made up of a minimum of eleven officers (Box 7.2). To perform its M&E functions effectively, the DPCU should co-opt representatives from other sector agencies, persons from the private sector and civil society organizations whose inputs will be needed. The District Coordinating Director should lead the group and be responsible for convening meetings, issuing of circulars to the decentralised sector agencies, etc. The District Planning Officer shall act as the secretary and be responsible for documenting all M&E working sessions, ensuring participation of all stakeholders, etc. There should be gender balance in the membership of the group.

To fulfil its M&E functions, the DPCU shall perform the following roles and responsibilities:

- 1) The development and implementation of the District M&E Plan
- 2) Convene quarterly DMTDP performance review meetings with all stakeholders
- 3) Undertake periodic project site inspections
- 4) Liaise with RPCU to agree on goals and targets
- 5) Develop DMTDP indicators for measuring change, especially on gender equality or equity and other cross-cutting themes in NDPF such as environment, vulnerability, exclusion and social protection
- 6) Collect and collate feedback from the sub-district levels for preparation of the District APR
- 7) Facilitate the dissemination and communication of M&E reports, the NDPF and other documents from NDPC at district and sub-district levels
- 8) Provide support to GSS to undertake district level CWIQ and other national surveys and census
- 9) Produce District Annual Progress Reports and make recommendations for policy review
- 10) Conduct mid-term and Terminal Evaluations of the DMTDP as well as other evaluations

## 7.5 M&E Roles of Traditional Authorities and CSOs

Traditional Authorities (TAs), i.e. Chiefs and Queen Mothers, the Youth and Civil Society Organizations (*non- government organizations - NGOs, Community Based*

*Organisations - CBOs, voluntary, professional and faith-based organisations, universities, research institutions, think-tanks, the media, etc.)* play several roles as producers and users of M&E data and information. The participation of TAs and CSOs in the NDPF monitoring can add real value to the process itself and its policy outcomes. TAs and CSOs have contacts with the people at the grassroots and are therefore well positioned to express the views and experiences of people whose needs the NDPF aims to address. On the whole, TAs and CSOs can hold MDAs and DAs more accountable and responsible for the delivery of goods and services as well as exposing malpractices, corruption and choices which do not benefit those needs the NDPF is supposed to address.

TAs and CSOs, as partners in social and economic development, are a source of independent and useful information and perspectives on how the DAs and other key government officials are performing. Specifically CSOs play important roles in the M&E framework as follows:

- 1) Provide an independent view on policy formulation and implementation of NDPF programmes and projects
- 2) Serve on the Cross Sectoral Planning Group (CSPG), especially during the preparation of the Annual Progress Report
- 3) Collaborate with RPCUs and DPCUs to undertake policy, programme and project reviews and performance assessments
- 4) Undertake social audits of budget releases, DACF, funds from Development Partners as well as internally generated funds
- 5) Assist NDPC, Sectors and Districts to disseminate the national, sector and district APRs

## **7.6 M&E Roles of Development Partners**

Development Partners (DPs) play a significant role in shaping and enhancing M&E at the national, sector and district levels. Specifically, DPs should:

- Strengthen Sector/District level institutional framework for evidence-based policy formulation, planning, monitoring and evaluation
- Provide support to enhance capacity building in M&E for the preparation and implementation of the sector and district M&E Plans and APRs.
- Assist government agencies to develop efficient information and reporting systems and reduce the support for separate, additional monitoring and reporting procedures

## **7.7 Strengthening the Institutional Arrangements for M&E**

Greater coordination is needed between the key government agencies responsible for M&E. This requires better information flow and incentives for monitoring and evaluation at all levels. There is the need to build the M&E capacities in the key institutions mentioned in the above Sections for proper functioning and sustainability of the national M&E system. The following strategies will help strengthen the institutional arrangements for an effective national M&E system:

- 1) Reinforce the institutional arrangements with adequate staff to support and sustain effective M&E at all levels
- 2) Coordinate and strengthen the existing mechanisms for measuring the performance of public servants at all levels

- 3) Develop an integrated M&E system for the assessment of capacities and management performance of MDAs and MMDAs
- 4) Evolve an efficient system for generating reliable and timely data on public service delivery using the existing M&E structures and staff at all levels
- 5) Manage the existing M&E institutional structure to provide an effective feedback mechanism that makes information available to government, private sector and civil society at all times

# **PART FOUR**

## **STEPS TO DEVELOPING M&E AS A SYSTEM**

## CHAPTER EIGHT (STEP ONE)

### IDENTIFICATION AND ANALYSIS OF STAKEHOLDERS

#### 8.1 Who is a Stakeholder?

A stakeholder refers to a person, a group or an institution that has interests or can be affected (positively or negatively) by a development policy or intervention (programme or project) and must therefore be taken into account before, during and after its implementation. The interests and needs of stakeholders vary and depend on how they benefit or are able to influence a policy or intervention in a positive or negative way. In order to manage and adequately address these variations, an initial activity in doing M&E is to identify, classify and analyse all individuals, groups or organisations who have a stake in a development policy or an intervention to be monitored and evaluated.

#### 8.2 Purpose of Stakeholders Identification and Analysis

The main rationale of stakeholders' identification and analysis is to ensure that development reflects the needs of all interest groups and not merely the needs of the implementing institutions. It enables decision makers to develop effective engagement strategies for all parties in the M&E processes. This usually leads to sustained capacity building and dissemination of the M&E results. In addition, stakeholders' identification and analysis:

- 1) Enhances the participation of all interested parties in the implementation of the development Plan
- 2) Ensures that potential risks, conflicts and constraints that could affect smooth implementation of the development plan are avoided
- 3) Increases demand and utilization of M&E results
- 4) Enhances partnerships and facilitate smoother implementation of the development Plan
- 5) Identifies vulnerable or marginalized groups that are normally left out in the planning processes
- 6) Increases managerial and administrative support for a given development policy or programme
- 7) Increases effective interaction among key stakeholders
- 8) Determines the extent to which certain groups should participate in the entire M&E processes (UNDP Handbook, 2009)

#### 8.3 How to Identify and Classify Stakeholders

The process of identifying and classifying stakeholders include the selection of all relevant parties and the determination of their needs, interests as well as their responsibilities. The stakeholders identified could be classified under two broad groups:

1. **Primary stakeholders** - Individuals and groups who are directly involved or affected by an intervention i.e. the initiators, implementers, financiers, direct beneficiaries as well as those adversely affected by policies, programmes and projects. Example, for a rural road project, primary stakeholders will include

traders and farmers whose livelihoods would be affected (positive or negative) by the new road construction.

2. **Secondary stakeholders:** Individuals and groups who are indirectly involved or affected by the intervention. A programme design to reduce domestic violence, for instance, could have a positive effect on emergency room personnel by reducing the number of cases they see. It might require more training or police to help them handle domestic violence calls in different ways. Both of these groups are secondary stakeholders (adapted from NDPC M&E Plan)

Since stakeholder influence and power can determine the success or failure of development interventions, it is often appropriate to ensure a wide scope of stakeholder identification during the planning phase. This will ensure that legitimate stakeholder interests and concerns are effectively addressed before implementation. Basic consultations, focus group discussions and stakeholder workshops are some common approaches used in conducting stakeholder identification and classification. The following steps may be considered when conducting stakeholder identification and classification:

- 1) Clarify the main purpose of the stakeholder analysis and agree on the criteria for identifying and classifying stakeholders
- 2) In a very early stage of the process, a stakeholder identification and classification may simply be done "in the office" by members of the DPCU or staff of the PPMEDs or even project management team at the project level. This involves brainstorming, listing of all primary and secondary stakeholders. This can be done when the following questions are posed: which individuals, organizations or groups should be involved in the intervention for it to achieve its ultimate goal? Who will the project or programme management team work directly with? Who can help or hinder the project implementation? Who is the project aiming to help?

In identifying stakeholders, it is also important to think beyond the obvious. Beneficiaries, policy makers other primary stakeholders are easy to identify, whereas some secondary stakeholders who may be indirectly affected by the intervention may be difficult to identify

- 3) Inform selected participants about the Stakeholder identification and classification programme
- 4) List all criteria to be used to prioritize all those involve
- 5) Complete a stakeholder table (e.g. in working groups) during the identification phase of the planning process
- 6) Define the influence and importance status of the selected stakeholders (e.g. Importance/ Influence Matrix)
- 7) Classify all stakeholders into primary and secondary stakeholders

An example of stakeholders identified and classified is provided in Table 8.1

**Table 8 1: National M&E plan stakeholders identified and classified**

Office of the President (OoP)	Primary (decision maker, user and collaborator)
Parliament	Primary (Law makers, and regulators, user and collaborator)
NDPC	Primary (initiator, regulator and user)
Council of State	Secondary (user and collaborator)
MoF	Primary (implementer, financier, user and collaborator)
GSS	Primary (implementer, producer of data, user and collaborator)
MLGRD	Primary (producer of data, user and collaborator)
Other MDAs	Primary/Secondary (producers of data, users and collaborators)
MMDAs	Primary (implementers, users and collaborators)
Development partners	Primary (financiers, users and collaborators)
RCC	Primary (users and collaborators)
CSOs	Secondary (users and collaborators)
Private Sector Organisations	Secondary (users and collaborators)
Academia and research institutions	Secondary (users and collaborators)
Individual resource persons	Secondary (and collaborators)
Traditional Authorities (Chiefs and Queen Mothers)	Secondary (users and collaborators)
Media	Secondary (users and collaborators)
Professional Associations	Secondary (users and collaborators)

Adapted from NDPC M&E Plan (2010 – 13)

The implementation of a DMTDP for example can involve stakeholders such as the Local communities, the district administration, assembly members, unit committee members, area councils, regional coordinating councils, district health administration and service providers, Ministry of Food and Agriculture, National Health Insurance Authorities, Members of Parliament, political parties, development partners, research institutions, the media and civil society groups. Based on how these groups are affected or affect the implementation of DMTDP, they could either be classified as primary or secondary stakeholders.

On the other hand, implementation of a project M&E plan at the project level may include key stakeholders such as local communities in the catchment area, project management staff, donors, steering committees, traditional authorities, interested Civil Society Groups, NGOs, DPCU, RPCU, Area Council, Unit Committees, Members of Parliament, Assembly Members and contractors. However, the level of involvement of any of these possible stakeholders depends on the degree to which they affect or are affected by the project.

## 8.4: How to Analyse Stakeholders

The DPCUs and PPMEDs must analyse all stakeholders after they have been identified and classified. The following steps are recommended:

1) Assess stakeholder needs, interests and responsibilities in relation to their potential impacts on the intervention. After stakeholders have been identified, the next step is to assess their needs, interests and responsibilities in order to assess their magnitude and potential impacts on the successful implementation of the M&E plan. Questions that can be answered in order to assess the needs, interests and responsibilities of different stakeholders include:

- What are the expectations of stakeholders with respect to the M&E plan implementation
- What responsibilities are expected from stakeholders in order to ensure smooth implementation of the M&E plan?
- What possible conflict situations are likely to arise during the project implementation?
- What needs do the intervention hope to address?

2) Determine stakeholder influence and importance

As discussed in section 8.3, stakeholder influence or importance is crucial to the implementation of the M&E plan. Influence refers to the power that the stakeholders have over the intervention. This may either be formal due to their control over decision-making process or informal because they can use their communal connections and linkages to hinder or facilitate the implementation of the project or programme.

On the other hand, the issue of importance relates to the degree of active involvement of the stakeholder in the process of achieving project objectives.

The district or sector agencies can determine the importance and influence of their stakeholders by assessing their:

- Power and status (political, social and economic)
- Degree of organization
- Control over strategic resources
- Personal connections, etc.

3) Outline involvement strategy

Develop involvement strategies for the identified stakeholders. This can be done by asking the different people or groups how they think they can be optimally involved. It must however be noted that participation does not mean involving everybody in all decisions at all times. It means carefully ensuring that different interests can best be represented in different phases and forums of the Monitoring and Evaluation process.

The involvement strategies should be planned taking into account:

- Needs, interests, importance and influence of each stakeholder
- Important stakeholders who lack influence
- The unique functions and roles of all stakeholders

Table 8.2 provides a sample of a typical M&E stakeholder analysis of the NDPF.

**Table 8 2: An example of stakeholders for implementation of the national M&E plan**

Stakeholders	Needs/Interests/Responsibilities	Involvement
1. Office of the President (OoP)	<ul style="list-style-type: none"> <li>• Demand and use M&amp;E results</li> <li>• Ensure accountability &amp; transparency</li> <li>• Ensure quality public goods and services delivery</li> <li>• Provide incentives for M&amp;E (including staff)</li> <li>• Ensure efficient use of resources</li> </ul>	<ul style="list-style-type: none"> <li>• Creation of the necessary conditions for M&amp;E</li> <li>• Participation in M&amp;E workshops, seminars, meetings and conferences</li> <li>• Inspection of projects</li> <li>• Dissemination and communication of M&amp;E Results</li> <li>• Preparation of M&amp;E reports</li> </ul>
2. Parliament	<ul style="list-style-type: none"> <li>• Deliberate and debate on M&amp;E results</li> <li>• Use M&amp;E results (e.g. APR) to play oversight role over the Executive</li> <li>• Ensure accountability and transparency</li> <li>• Ensure appropriate allocation and efficient use of resources for M&amp;E</li> </ul>	<ul style="list-style-type: none"> <li>• Preparation of M&amp;E reports</li> <li>• Participation in M&amp;E workshops, seminars, meetings and conferences</li> <li>• Dissemination and communication of M&amp;E results</li> <li>• M&amp;E orientations, feedback and capacity building</li> <li>• Inspection of projects</li> </ul>
3. NDPC	<ul style="list-style-type: none"> <li>• Monitor, evaluate and coordinate development policies, plans and strategies</li> <li>• Provide evidence-based policy advice to the President, Parliament and other stakeholders</li> <li>• Support M&amp;E capacity building &amp; training at all levels</li> <li>• Demand and harmonize progress reports from all MDAs and MMDAs</li> <li>• Provide feedback on M&amp;E results</li> <li>• Ensure incentives are provided for effective M&amp;E at all levels</li> <li>• Ensure that a functional M&amp;E system exists at all levels</li> <li>• Prepare M&amp;E Guidelines for sectors and districts</li> <li>• Prepare national M&amp;E Plan</li> <li>• Prepare M&amp;E manual for reference and training at all levels</li> <li>• Conduct PM&amp;E</li> <li>• Conduct evaluations</li> <li>• Prepare sector M&amp;E Plan</li> <li>• Monitor and Evaluate the SMTDP</li> <li>• Apply M&amp;E rewards and sanctions</li> <li>• Use M&amp;E results for policy formulation and decision-making</li> </ul>	<ul style="list-style-type: none"> <li>• Inspection of projects</li> <li>• Data collection, validation and analysis</li> <li>• Revision and collation of M&amp;E results from MDAs, MMDAs, CSOs, etc.</li> <li>• Dissemination and communication of M&amp;E results</li> <li>• Organization of M&amp;E orientations and training workshops</li> <li>• Organization of M&amp;E workshops, seminars, meetings and conferences</li> <li>• Preparation and revision of M&amp;E documents</li> <li>• Preparation of district and sector M&amp;E Guidelines</li> <li>• Organization of PM&amp;E</li> <li>• Commission and participation in evaluations and specific studies</li> </ul>

Stakeholders	Needs/Interests/Responsibilities	Involvement
	<ul style="list-style-type: none"> <li>• Provide feedback on M&amp;E reports and backstopping to districts and sectors</li> </ul>	
4. Council of State	<ul style="list-style-type: none"> <li>• Ensure efficient use of resources</li> <li>• Use M&amp;E results (e.g. APR) to advise the President</li> </ul>	<ul style="list-style-type: none"> <li>• Participation in M&amp;E workshops, seminars and meetings</li> <li>• Dissemination and communication of M&amp;E results</li> <li>• Inspection of projects</li> </ul>
5. MoF	<ul style="list-style-type: none"> <li>• Ensure appropriate allocation and release of funds for M&amp;E</li> <li>• Ensure the availability of accurate, reliable and timely financial data</li> <li>• Monitor and Evaluate SMTDP</li> <li>• Produce M&amp;E Reports</li> <li>• Provide M&amp;E incentives</li> <li>• Prepare sector M&amp;E Plan</li> <li>• Use M&amp;E results for evidence-based financial policy formulation and decision-making</li> <li>• Provide feedback on M&amp;E results</li> <li>• Support capacity building &amp; training in M&amp;E</li> </ul>	<ul style="list-style-type: none"> <li>• M&amp;E data collection and validation</li> <li>• Participation in preparation of M&amp;E budget</li> <li>• Dissemination and communication of M&amp;E results</li> <li>• Participation in M&amp;E workshops, seminars and meetings</li> <li>• Revision of M&amp;E documents</li> <li>• M&amp;E orientations, feedback and capacity building</li> <li>• Inspection of projects</li> </ul>
6. GSS	<ul style="list-style-type: none"> <li>• Ensure the availability of accurate, reliable &amp; timely data at all levels for effective decision-making</li> <li>• Provide feedback on M&amp;E results</li> <li>• Support capacity building &amp; training in M&amp;E</li> <li>• Conduct surveys and census</li> <li>• Provide Baseline data</li> <li>• Prepare sector M&amp;E Plan</li> <li>• Monitor and Evaluate SMTDP</li> <li>• Produce M&amp;E Reports</li> <li>• Use M&amp;E results for evidence-based policy formulation and decision-making</li> </ul>	<ul style="list-style-type: none"> <li>• Data collection, storage, retrieval and presentation using Ghana Info database</li> <li>• Participation in M&amp;E workshops, seminars and meetings</li> <li>• Dissemination and communication of M&amp;E Results</li> <li>• Participation in PM&amp;E</li> <li>• Participation in evaluations</li> <li>• Preparation and revision of M&amp;E documents</li> <li>• M&amp;E orientations, feedback and capacity building</li> <li>• Inspection of projects</li> </ul>
7. MLGRD	<ul style="list-style-type: none"> <li>• Prepare sector M&amp;E Plan</li> <li>• Monitor and Evaluate SMTDP</li> <li>• Produce M&amp;E Reports</li> <li>• Support capacity building &amp; training in M&amp;E</li> <li>• Conduct PM&amp;E</li> <li>• Conduct evaluations</li> <li>• Provide feedback on M&amp;E results</li> <li>• Use M&amp;E results for evidence-based policy formulation and decision-making</li> </ul>	<ul style="list-style-type: none"> <li>• Participation in M&amp;E workshops, seminars and meetings</li> <li>• Dissemination and communication of M&amp;E Results</li> <li>• Participation in PM&amp;E</li> <li>• Participation in evaluations</li> <li>• M&amp;E data collection and validation</li> <li>• Preparation and revision of M&amp;E documents</li> <li>• M&amp;E orientations, feedback and capacity building</li> <li>• Inspection of projects</li> </ul>
8. Other MDAs	<ul style="list-style-type: none"> <li>• Prepare sector M&amp;E Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Participation in M&amp;E workshops,</li> </ul>

Stakeholders	Needs/Interests/Responsibilities	Involvement
	<ul style="list-style-type: none"> <li>• Monitor and Evaluate SMTDP</li> <li>• Produce M&amp;E Reports</li> <li>• Support capacity building &amp; training in M&amp;E</li> <li>• Ensure the availability of accurate, reliable and timely M&amp;E data</li> <li>• Use M&amp;E results for evidence-based policy formulation and decision-making</li> <li>• Provide M&amp;E incentives</li> <li>• Provide feedback on M&amp;E results</li> </ul>	<ul style="list-style-type: none"> <li>• seminars and meetings</li> <li>• M&amp;E data collection and validation</li> <li>• Dissemination and communication of M&amp;E Results</li> <li>• Participation in PM&amp;E</li> <li>• Participation in evaluations</li> <li>• Preparation and revision of M&amp;E documents</li> <li>• M&amp;E orientations, feedback and capacity building</li> <li>• Inspection of projects</li> </ul>
9. Regional Co-coordinating Councils	<ul style="list-style-type: none"> <li>• Ensure the availability of accurate, reliable and timely data from the districts for effective decision-making</li> <li>• Harmonize and coordinate regional M&amp;E progress reports</li> <li>• Provide feedback on M&amp;E reports to districts</li> <li>• Ensure accountability &amp; transparency</li> <li>• Disseminate M&amp;E Results</li> <li>• Support capacity building &amp; training in M&amp;E</li> <li>• Supervise District M&amp;E activities</li> <li>• Receive district M&amp;E reports,</li> <li>• Use M&amp;E results for evidence-based policy formulation and decision-making</li> <li>• Create demand for M&amp;E results</li> </ul>	<ul style="list-style-type: none"> <li>• Participation in M&amp;E workshops, seminars and meetings</li> <li>• Harmonization and coordination of M&amp;E reports</li> <li>• Dissemination and communication of M&amp;E Results</li> <li>• Preparation and revision of M&amp;E documents</li> <li>• M&amp;E orientations, feedback and capacity building</li> <li>• Inspection of projects</li> <li>• Participation in evaluations</li> <li>• Participation in PM&amp;E</li> </ul>
10. Metropolitan Municipal and District Assemblies	<ul style="list-style-type: none"> <li>• Prepare district M&amp;E Plan</li> <li>• Ensure the availability of accurate, reliable and timely data for evidence-based policy formulation and decision-making</li> <li>• Monitor and evaluate DMTDPs</li> <li>• Produce M&amp;E Reports (Quarterly and Annually)</li> <li>• Ensure accountability and transparency</li> <li>• Provide feedback on M&amp;E Reports</li> <li>• Disseminate M&amp;E Results</li> <li>• Support M&amp;E capacity building and training</li> <li>• Create demand for M&amp;E results</li> <li>• Use M&amp;E to enhance ownership and partnership in local development</li> <li>• Conduct PM&amp;E</li> <li>• Conduct evaluations</li> <li>• Use M&amp;E results for evidence-</li> </ul>	<ul style="list-style-type: none"> <li>• Data collection and validation</li> <li>• Participation in M&amp;E workshops, seminars and meetings</li> <li>• Preparation and revision of M&amp;E documents</li> <li>• M&amp;E orientations, feedback and capacity building</li> <li>• Inspection of projects</li> <li>• Participation in evaluations</li> <li>• Participation in PM&amp;E</li> <li>• Dissemination and communication of M&amp;E Results</li> </ul>

Stakeholders	Needs/Interests/Responsibilities	Involvement
	based policy formulation and decision-making	
11. Development partners	<ul style="list-style-type: none"> <li>• Provide funds, logistics and technical assistance for M&amp;E</li> <li>• Demand for M&amp;E results</li> <li>• Ensure accountability and transparency</li> <li>• Ensure quality and efficient goods and services delivery</li> <li>• Support evaluation capacity building</li> <li>• Use M&amp;E results for evidence-based policy dialogue and decision-making</li> <li>• Create demand for M&amp;E results</li> </ul>	<ul style="list-style-type: none"> <li>• Participation in M&amp;E workshops, seminars and meetings</li> <li>• Data validation</li> <li>• Preparation and revision of M&amp;E documents</li> <li>• Dissemination and communication of M&amp;E Results</li> </ul>
12. Civil Society Organizations (NGOs, - CBOs, voluntary, faith-based organizations,)	<ul style="list-style-type: none"> <li>• Ensure transparency and accountability</li> <li>• Ensure quality and efficient goods and services delivery</li> <li>• Demand and use M&amp;E data or results for advocacy</li> <li>• Disseminate M&amp;E results</li> <li>• Conduct PM&amp;E</li> </ul>	<ul style="list-style-type: none"> <li>• Participation in M&amp;E workshops, seminars and meetings</li> <li>• Dissemination and communication of M&amp;E Results</li> <li>Preparation and revision of M&amp;E documents</li> <li>• Data collection and validation</li> </ul>
13. Private Sector Organizations	<ul style="list-style-type: none"> <li>• Ensure transparency and accountability</li> <li>• Ensure quality and efficient goods and services delivery</li> <li>• Demand and use M&amp;E data or results</li> <li>• Disseminate M&amp;E results</li> <li>• Share development information</li> </ul>	<ul style="list-style-type: none"> <li>• Data collection and validation</li> <li>• Dissemination and communication of M&amp;E Results</li> <li>• Preparation and revision of M&amp;E documents</li> <li>• Inspection of projects</li> </ul>
14. Academia and research institutions	<ul style="list-style-type: none"> <li>• Sharing development information</li> <li>• Conduct studies and evaluations</li> <li>• Provide technical assistance</li> <li>• Utilize M&amp;E data or results</li> </ul>	<ul style="list-style-type: none"> <li>• Participation in M&amp;E workshops, seminars and meetings</li> <li>• Dissemination and communication of M&amp;E Results</li> <li>• Data collection and validation</li> <li>• Preparation and revision of M&amp;E documents</li> <li>• Participation in evaluations</li> <li>• Participation in PM&amp;E</li> </ul>
15. Individual resource persons	<ul style="list-style-type: none"> <li>• Offer Technical assistance</li> </ul>	<ul style="list-style-type: none"> <li>• Preparation and revision of M&amp;E documents</li> <li>• Participation in evaluations</li> <li>• Participation in PM&amp;E</li> </ul>
16. Local Communities & Traditional Authorities	<ul style="list-style-type: none"> <li>• Demand and use M&amp;E reports or results for advocacy</li> <li>• Sharing development information</li> <li>• Demand quality, reliable and affordable services</li> <li>• Ensure transparency and accountability</li> </ul>	<ul style="list-style-type: none"> <li>• Dissemination and communication of M&amp;E Results</li> <li>• Participation in M&amp;E workshops, seminars and meetings</li> <li>• Inspection of projects</li> <li>• Participation in evaluations</li> <li>• Participation in PM&amp;E</li> </ul>

Stakeholders	Needs/Interests/Responsibilities	Involvement
17. The Media	<ul style="list-style-type: none"> <li>• Monitor projects and programmes</li> <li>• Demand and use M&amp;E results</li> <li>• Demand quality, reliable and affordable services</li> <li>• Ensure transparency and accountability</li> <li>• Monitor and report on projects and programmes</li> <li>• Disseminate M&amp;E results</li> </ul>	<ul style="list-style-type: none"> <li>• Participation in M&amp;E workshops, seminars and meetings</li> <li>• Dissemination and communication of M&amp;E Results</li> <li>• Inspection of projects</li> </ul>
18. Professional Associations	<ul style="list-style-type: none"> <li>• Use M&amp;E reports or results for advocacy</li> <li>• Sharing development information</li> <li>• Demand quality, reliable and affordable goods and services</li> <li>• Ensure transparency and accountability</li> </ul>	<ul style="list-style-type: none"> <li>• Participation in M&amp;E workshops, seminars and meetings</li> <li>• Participation in evaluations</li> <li>• Participation in PM&amp;E Dissemination and communication of M&amp;E Results</li> <li>• Data validation</li> <li>• Preparation and revision of M&amp;E documents</li> <li>• Inspection of projects</li> </ul>

Adapted from NDPC M&E Plan (2010-13)

## **CHAPTER NINE (STEP TWO)**

### **ASSESSING CAPACITIES AND CONDITIONS FOR MONITORING AND EVALUATION**

#### **9.1 What are M&E Capacities and Conditions?**

M&E Capacity is the ability of individuals and organizations to perform their M&E functions efficiently and effectively in a sustainable manner.

M&E conditions refer to the material resources and incentives required to create an enabling environment for effective M&E. Creating the necessary conditions to support M&E is the process of identifying, evaluating and providing the required material resources and incentives for effective M&E to happen. The assessment of M&E conditions also means determining if there is a functional M&E information system.

The key to an effective M&E system is the existence of adequate human capacities and conditions to implement the M&E plan. Without creating the enabling environment, the M&E system will not achieve its intended results. This process should normally involve all stakeholders.

#### **9.2 Steps to Addressing Human Resource Requirements for M&E**

There are considerably few skilled M&E experts to run the M&E systems at all levels of governance in Ghana. It is recommended that a long-term M&E capacity building strategy needs to be developed by all MDAs and MMDAs. Capacity building for M&E could either be external or on-the-job training (IFAD, 2000). Staff capacity development is crucial to the functioning of every M&E system. Below is a process guide that organisations could use to identify and assess their capacity requirements:

- 1) Brainstorm on the technical skills needed to undertake M&E
- 2) Identify all individuals with a direct or indirect responsibility for M&E
- 3) Use an M&E human capacity worksheet to capture the technical skills needed by the individuals identified
- 4) Make recommendations on capacity needs and M&E requirements to management
- 5) Management should use a participatory process with all stakeholders in implementing the recommendations.

The outcome of the above process will assist MDAs and MMDAs to take one or a combination of the following steps to ensure that they have the right calibre of people to perform their M&E functions:

### **Steps 1 – Engage trained M&E staff**

The engagement of already trained personnel to fill vacant positions is the ideal option but this is always difficult because:

- Few people have the requisite M&E skills
- Engaging trained and skilled personnel requires that the necessary incentives are provided to get them attracted to the job and to keep them at post
- It is also a time consuming process to engage new staff into the public service.

### **Step 2 – External and on-the-job M&E training**

Providing external and on-the-job training programmes are always necessary for sustained M&E capacity building to support the implementation of M&E activities. The external training for M&E staff could lead to the award of a certificate, Diploma, Bachelor Degree, Masters Degree or a Ph.D. Generally, organizations and individuals could collaborate with capacity building institutions such as the Ghana Institute for Management and Public Administration (GIMPA), the Institute of Local Government Studies (ILGS) and universities to address the M&E capacity challenges facing the country. The International Program for Development Evaluation Training (IPDET) in Canada under the auspices of Carleton University and the World Bank is also recommended for all M&E practitioners. Part of the DACF allocation for capacity building and M&E budgetary allocation could be used to sponsor DPCU staff to attend M&E related courses such as development planning, team and consensus building techniques, database management and other computer programs, report writing, facilitation skills, etc.

The on-the-job training programmes could also take the form of workshops, seminars, conferences and short training courses. Whether it is an external training programme or on-the-job training, M&E staff must on regular basis acquire new knowledge and skills on the subject in order to function effectively. Even the most trained M&E professionals will need to upgrade their skills and understanding on emerging issues in M&E in order to function effectively.

### **Step 3 – Engage external consultant for focused inputs**

In the event there is low M&E capacity, organisations can engage external resource persons to undertake specific M&E tasks. However, it must be noted that the uses of external resource persons or consultants do not contribute to enhancing institutional memory or internal capacity building. Above all, the engagement of external resource persons is a very expensive venture. At the project level, the engagement of a consultant is recommended during the start-up of the project when staff may not yet have been engaged and relationships with implementing stakeholders are weak (IFAD, 2000)

### 9.3 Steps to Assessing and Acquiring M&E Material Resources

Material resources are very important for the successful functioning of any M&E system. The availability of office space for staff, documentation centres, availability of computers and accessories and vehicles for M&E are some material resources needed for a successful implementation of M&E activities by any organisation.

Organisations could take the following steps to identify and assess their material resource requirements:

- 1) Brainstorm on the material resources needed
- 2) Discuss how readily you can access each, whether directly or through partners
- 3) Assess whether the required resources can be met with the existing budget allocations
- 4) Identify and defer those resources that cannot be filled with the existing budget to the next budget.

#### Box 9.1: Examples of Material Resources

- Documentation Centre
- Hardware (Desktop computers, laptops, Projectors, etc.)
- Software (statistical packages, GIS, MIS, etc.)
- Internet
- Telephones
- Vehicles
- Etc.

### 9.4 Steps to Assessing and Providing the Necessary Incentives

Providing M&E incentives means offering the right motivation that will inspire staff to appreciate the value of M&E and give their best. It entails developing and implementing an incentive package and removing disincentives. A good incentive system should be equitable, applied in a timely manner, be compatible with the goals and objectives of the organization and should be recognised as part of the development intervention policy.

The NDPC in collaboration with MoF, MLGRD and DACF Secretariat must work together with MMDAs and MDAs to develop appropriate incentive packages that will realistically address inadequate financial incentives and motivation for M&E staff at all levels. Other disincentives to be addressed include untimely release of funds for M&E work, difficulty in allocating a separate vehicle for M&E work and management apathy towards M&E. Generally, good incentive packages for M&E should be closely linked to the district and sector management efforts to improve the implementation of projects and programmes. Management could follow the following steps in creating the necessary incentive packages for M&E:

- 1) Ensure clarity of M&E responsibility in job descriptions and work plans for staff
- 2) Provide appropriate remunerations and other incentives such as housing and vehicles
- 3) Make financial and other rewards easily available
- 4) Ensure professional development for career advancement
- 5) Institute reward and sanction mechanisms for compliance and non-compliance with M&E requirements.

## 9.5 Tools for Assessing M&E Capacities and Conditions

M&E capacities and conditions can be assessed using various methods and tools. Needs assessments and the management capacity index are two examples discussed below.

### 9.5.1 M&E needs assessment

M&E needs assessment can be conducted through field surveys or through desk review. A desk review of district and sector M&E plans conducted by the NDPC in 2009 revealed the lack of or inadequate knowledge and skills in M&E, database management and general ICT skills, facilitation skills, team and consensus building techniques, limited knowledge and skills in data collection and analysis, inadequate personnel to fill vacant M&E positions, etc. With regard to material resources the study highlighted the absence of documentation centres, digital cameras, scanners and photocopier machines, desktop computers and accessories, laptop computers, LCD, projectors, flip charts and the lack of vehicles to undertake M&E exercises. On financial resources, the study confirmed the lack of or inadequate funds to carry out M&E activities, diversion of funds budgeted for M&E activities and late releases of funds for M&E activities were some of the challenges identified (NDPC, 2009)

The desk review also acknowledged the following as issues relating to disincentives for M&E at the district and sector levels: low levels of appreciation for M&E by political leadership, low financial incentives, limited office space, low support and motivation for individuals and units responsible for M&E and management apathy towards M&E among others.

### 9.5.2 M&E management and capacity index

The management and capacity index is a perception index designed to determine the status of capacities and management strengths and gaps that exist in any organisation at a glance. The management and capacity index is also an assessment tool that provides a framework for the organization to evaluate their performance in relation to their human resources, material resources and incentives. Using a set of indicators, the index assesses the capabilities of an organisation. The management and capacity index in Table 9.1 is based on the following eleven indicators; Skills and Knowledge, Staff Compliment, Qualification of Personnel, Availability of Funds, Utilization of Funds, Timely Access to Funds, Leadership, Management, Motivation and Incentives, Workload, Logistics, Equipment and facilities.

**Table 9. 1: Example of District Assembly DPCU Capacity and Management Index**

Indicators	Score = 1	Score = 5	Score = 10
<b>Skills and Knowledge</b>	Most staff do not have the requisite skills and knowledge to complete basic work	Some staff have requisite skills and knowledge in some areas but all	All staff have requisite skills and knowledge to complete even advance job tasks
<b>Staff Complement</b>	There are numerous vacant positions	Most key positions are filled but there are still gaps	All positions in the DPCU are filled
<b>Qualification of personnel</b>	Most staff do not have the required	Most staff have the required education	All staff have the required education

<b>Indicators</b>	<b>Score = 1</b>	<b>Score = 5</b>	<b>Score = 10</b>
	education	but not all	with some exceeding
<b>Availability of Funds</b>	Funds available do not meet basic cost requirement	Funds available to meet basic cost but will not allow DPCU to carry out activities in the M&E plan	Funds available meet basic cost as well as enable DPCU to carry out all activities in the M&E plan
<b>Utilization of Funds</b>	Resources are spent at the discretion of management and not in pre-approved areas	Some resources are spent as approved by the DA, but management continues to direct some funds inappropriately	Resources are spent as budget in accordance with the DMTDP
<b>Timely Access to Funds</b>	Funds released up to 12 months behind schedule	Funds released up to 6 months behind schedule	Fund released on schedule
<b>Leadership</b>	Leadership is not adequate to address development needs due to low motivation	Leadership is able to complete short term tasks, but is not dynamic or able to vision the medium to long-term	Leadership is dynamic and motivates the DA staff and members to work together for long-term development
<b>Management</b>	The full complement of management is not available, and what is present does not have the skills to direct DPCU activities	Management is present but not able to handle all management functions of planning, budgeting, financial reporting, M&E etc	Management is technically skilled in all components
<b>Motivation &amp; Incentives</b>	Basic central government motivation exist but are not accessible	Some central government motivation are accessible	Central government motivation are easy to access and some development partners incentives exist
<b>Workload</b>	Workload is so high that staff have to work overtime to complete even basic administrative tasks	Workload forces staff to work overtime to complete administrative and programming functions	Staff are able to complete their jobs within regular working hours

Indicators	Score = 1	Score = 5	Score = 10
<b>Logistics</b>	There are no vehicles, stationary, documentation center, computer and accessories, photocopiers to serve DPCU	A few number of vehicles, computers, photocopiers are there but not adequate for effective M&E activities	Adequate number of logistics exist for M&E activities
<b>Equipment &amp; facilities</b>	Office space, furniture and technology are not adequate to serve all staff	Office space is adequate but furniture and technology are still lacking for some staff	Staff have access to appropriate office space, furniture and technology
<b>Total Score</b>	<b>11</b>	<b>55</b>	<b>110</b>
<b>NB:</b> <ol style="list-style-type: none"> <li><b>The score</b> is a continuum from 1 to 10.</li> <li><b>The indicator total scores</b> above provides the worst, average and best case scenarios for three people.</li> <li><b>The total score</b> for the three people is calculated by adding the 3 scores (11+55+110 = 176)</li> <li><b>The average total score</b> is calculated by dividing the total score by 3 (176/3 =58.7)</li> <li><b>The Index</b> is calculated by dividing the average total score by the number of indicators (58.7/11=5.3)</li> <li><b>The interpretation for Index 5.3 means</b> this organization has a mediocre capacity and management performance</li> </ol>			

Adapted from DISCAP M&E Manual, 2002

### Guide on the Scoring Exercise

The management Capacity Index is a group exercise. The assessment is done by translating individual perceptions on an issue or indicator into a numerical value ranging from 1 to 10. Actual scoring should be done as a continuum from 1 to 10 (e.g. 6.0, 1.2, 3.4, 8.8, 5.6, 7.0, etc.) This assessment must be done by a group of people who work with or know the organization to be assessed very well e.g. staff and key stakeholders. The best approach is for a facilitator to take all participants through the indicators and the scoring process. When all the participants have understood the process, the scoring of indicators must be done independently as a secret ballot. The results are then collated, analysed and interpreted by the group. The interpretation of **the index** uses a score range of (1 to 4) for low performance, (5 to 7) for average performance and (8 to 10) for high performance.

### Guide on Calculating the Scores

**Total Individual Scores** – Each participant should sum up all the scores he/she gave for each indicator. e.g. the minimum total score for one individual will be 11 whilst his/her maximum score will be 110.

**Average score for each indicator** – Calculate the average score for each indicator by adding all the individual scores for each indicator and divide the sum by the number of participants. e.g. if the 10 participants scored the **Leadership** indicator as follows:  $5.5+3.0+4.0+6.0+7.5+2.0+1.4+9.0+5.3+7.2=50.9/10=5.9$ . The interpretation of this score is that performance of leadership in this organization is average. Leadership of this organization may be able to complete short term tasks, but is not dynamic or able to vision the medium to long-term.

**Average total scores for the indicators** – Add up the individual total scores of the 11 indicators (as explained above). e.g. if the scores by the 10 participants for each indicator were as follows:  $25.5+33.0+44.0+46.0+87.5+92.0+99.4+29.0+35.3+67.2=558.90$ . Determine the average total score for the 11 indicators. i.e.  $558.9/11=50.81$

**The Index (Average indicator score)** – Calculate the **index** by dividing the average individual total scores by the number of indicators i.e.  $50.81/11=4.6$ . The **index** of **4.6** means this organization has a mediocre capacity and management performance.

## CHAPTER TEN (STEP THREE)

### MONITORING INDICATORS

#### 10.1 What is an Indicator?

The Development Assistance Committee (DAC) of the Organisation for Economic Cooperation and Development's (OECD) defines an indicator as: *“Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor”*.

In simple terms, an indicator is a quantitative or qualitative measure that provides information on performance, achievement and compliance. It forms the basis for the collection of data on the state of a situation or condition, progression of an activity, project or programme. Indicators are used at all levels of the M&E results chain to monitor progress with respect to inputs, outputs, outcomes and impacts.

An indicator, as the name suggests, merely indicates and may not convey the complex dimensions of a given situation or activity. The direction of change of an indicator is context specific and higher values can be good or bad, depending on what is being measured. For example, in agricultural production, crop yields are expected to increase, whereas in health service delivery maternal mortality rate is expected to decrease.

#### 10.2 Importance of Indicators

Indicators help to answer four key questions:

- 1) **What is the current situation?** As part of the baseline assessment, indicators provide information on what the current problems are, their magnitude, incidence and prevalence.
- 2) **Where do we want to go?** The information provided by the baseline can help to determine priorities and hence appropriate actions to be pursued.
- 3) **What is the right path to take us where we want to go?** M&E Indicators can signal whether or not the actions being undertaken are producing the desired outputs, outcomes and impacts.
- 4) **Are we at the place we want to be?** Indicators will enable us determine whether or not we have made significant progress towards where we set out to go.

#### 10.3 Characteristics of Good Indicators

Generally, a good indicator should have the following characteristics:

- 1) Relevant to the intervention
- 2) Relevant to the goal and objectives
- 3) Easy and feasible to measure
- 4) Specific unit(s) of measurement
- 5) Easy to interpret
- 6) Specific time frame over which it will be monitored
- 7) Easy to show a trend over time
- 8) Specified target group.

## 10.4 How to Construct Indicators

Indicator construction, selection, definition and prioritisation should be done by involving key stakeholders through a participatory process. The process involves the following steps:

- 1) **To create ownership** - the first step is to assemble all the stakeholders to define the required indicators needed for performance measurement and change
- 2) **Identify all the issues** - related to the intervention and define clear objectives of the process
- 3) **Construct or select the indicators or variables** - that can measure the performance of the intervention to meet its goal and objectives. After selecting the indicators, ensure the appropriate meanings are set to agree with national and international standards
- 4) **Classify the indicators** – into the following types: input, process, output, outcome or impact in line with the results chain as discussed in Chapter 6
- 5) **Establish the baseline data** for each indicator - some outcome and impact baseline data may only be available through a baseline study
- 6) **Determine a realistic target for each indicator for a specific time period** – weekly, monthly or annual targets
- 7) **Construct proxy indicators if necessary** - for example, it may be difficult to measure the outcomes of policy, governance etc. directly.
- 8) **Disaggregate indicators** - where necessary to facilitate the collection of specific data based on geographical location, age, gender, income levels, social groups, etc.
- 9) **Distinguish between quantitative and qualitative indicators** - depending upon the nature of the intended results
- 10) **Review the indicators periodically** – to refine or to eliminate redundancies and address any issues related to data collection. Reset baselines and targets if necessary
- 11) **Determine the human and financial resources required** - for measuring each indicator
- 12) **Agree on the appropriate frequency** - for collecting data on each indicator
- 13) **Collect data on each indicator** - determine the individuals, agencies or institutions responsible for measuring each indicator
- 14) **Use of results** - determine how the information resulting from the different indicators will be communicated and fed back into the decision-making processes and planning.

## 10.5 Classification of Indicators

The M&E indicators can be classified in various ways as discussed below:

### 10.5.1 Classification of indicators based on the results chain

The classifications of indicators based on the results chain are:

#### 1) **Input Indicators**

Input indicators are quantified and time-bound statements of resources to be provided. These are financial, human, and material resources used for the development intervention. Input indicators measure the committed resources or the ‘means’ by which programmes or projects are implemented. It is therefore necessary to consider whether or not the inputs have resulted in the desired

outputs. Information on these indicators come largely from accounting and management records. Examples of input indicators include:

- a) Teacher to pupil ratio
- b) Extension worker to farmer ratio
- c) Doctor to patients ratio
- d) Number of textbooks provided
- e) Quantum of funds provided

## **2) Output indicators**

Output indicators measure the goods and services produced through sound management of the inputs. Examples of output indicators include:

- a) Number of school buildings constructed
- b) Number of boreholes drilled
- c) Number of farmers trained on improved rice production methods
- d) Number of peer educators trained in HIV and AIDS prevention techniques
- e) Number of teachers trained in textbook use
- f) Number of credit applications for women farmer groups processed
- g) Number of demonstrations managed per extension worker.

## **3) Outcomes Indicators**

Outcomes indicators measure the immediate and intermediate changes in conditions or behaviours achieved at the "purpose or objective" level through the provision of outputs. They deal more with the direct effects and quality of project outputs on beneficiaries. Examples of outcome indicators include:

- a) Change in access to portable water from a borehole
- b) Net enrolment ratio in primary education
- c) Change in sales of high quality rice by small-scale farmers
- d) Percentage of women satisfied with the maternity health care they received
- e) Transition rates from primary to secondary education (disaggregated by sex)
- f) Proportion of girls completing secondary education
- g) Percentage change in prevalence of communicable diseases (disaggregated by geographical location)
- h) Percentage change in the incidence of HIV and AIDS (disaggregated by age groups and geographical location)

## **4) Impact Indicators**

Impact indicators refer to the changes in the lives of people, as perceived by them and their partners at the time of an evaluation as well as sustainability-enhancing changes in their environment to which an intervention has contributed. Impact indicators measure the positive and negative changes to the environment, welfare, and living conditions as a result of the outputs and outcomes of an intervention. Examples of impact indicators include:

- a) Literacy rate (disaggregated by sex)
- b) Change in poverty levels (disaggregated by geographical location)
- c) Poverty Gap Ratio (disaggregated by Location)
- d) Infant mortality rate
- e) Change in AIDS related deaths (disaggregated by age groups and geographical location)
- f) Change in national GDP growth rate

### 10.5.2 Direct and indirect indicators

Indicators can be classified as direct or indirect (proxy). All the indicators discussed above are examples of direct of indicators. Proxy or indirect indicators are used when it is difficult to measure an indicator directly. Proxy indicators should be used only when data for direct indicators are not available, when data collection will be too costly or if it is not feasible to collect data at regular intervals.

The following are examples of proxy indicators used to measure poverty and well-being:

- 1) Type, size or spending on funerals
- 2) Availability of new clothes for celebrations
- 3) Postponement of marriage due to lack of dowry
- 4) Regular use of shoes
- 5) Eating a third meal per day
- 6) Possession of a television set in a rural area
- 7) The use of corrugated iron roofing sheets (instead of mud or thatch) in a rural area.

### 10.5.3 Quantitative indicators and Qualitative indicators

Indicators can also be classified as quantitative or qualitative.

#### Quantitative Indicators

Quantitative indicators are measures using defined numerical values such as numbers, percentages, ratios and monetary values. In many cases, quantitative indicators are primarily used as measures of performance because the information is clear, easy to grasp and to disaggregate.

#### Examples:

- 1) Number of villagers reached by health workers
- 2) Unemployment rate
- 3) Average annual income of farmers
- 4) Total disbursement of the project cost
- 5) Time saved by using the new bypass road
- 6) Number of students per faculty member, etc.

The quantitative indicators can further be classified as simple, complex, compound or index. Table 10.1 presents some examples.

**Table 10. 1: Examples of sub-classifications of quantitative indicators and their measurements**

	<b>Types of Indicators</b>	<b>Example</b>	<b>Explanation</b>
1	Simple Quantitative Indicators	<ul style="list-style-type: none"><li>• Kilometres of road built</li><li>• Average yield from X crop in Y areas</li></ul>	These indicators require only one measurement unit
2	Complex Quantitative Indicators	<ul style="list-style-type: none"><li>• Number of households experiencing food shortage</li></ul>	Here there are a number of different bits of information involved. Months, households and Types of Food Shortages. Without specifying which types of households are experiencing shortage and to what degree the indicator will not be so useful.
3	Compound Indicators	<ul style="list-style-type: none"><li>• Number of Effectively Functioning water users</li></ul>	These indicators have a standard in them that needs defining and assessing, Effectively

		Associations in the Project Area • Number of Village Development Plans Completed that meet funding criteria	functioning needs to be defined and means and the quality of each association needs to be assessed, Also the village plans need to be assessed against funding criteria, only if they can be counted.
4.	Indices	• Index of irrigation system performance	Indices combine a number of different indicators to enable comparison. The human development index is an example.

Source: IFAD, Guide for Project M&E, 2002

### Qualitative Indicators

Qualitative indicators are expressed as non-numerical information i.e. usually expressed as a narrative description of facts, opinions, attitudes and behaviour. Qualitative indicators can describe the process and results of a development intervention, which are not always directly measurable. However, there are ways to quantify qualitative descriptions such as using nominal and ordinal scales.

#### Examples:

- 1) Approval of a newly-developed health care system
- 2) Description of changes in attitudes of beneficiaries
- 3) Degree of satisfaction with the services using a five-point scale (e.g., very satisfied, satisfied, neutral, dissatisfied, very dissatisfied)
- 4) Ranking of most important changes that happened to the community, etc.

### 10.5.4 Classification of indicators based on scope – Global, National, Sector, District or Project

#### Sector Indicators

Indicator may also be classified base on sectors of the national economy. Table 10.2 presents examples based on four sectors.

**Table 10. 2: Examples of indicators based on sectors**

Education	Health	Food and Agriculture	Economic
1) Literacy rate	1) Mortality rate	1) Area under crop cultivation	1) GNP / GDP
2) Enrolment rate	2) Crude birth rate	2) Productivity rate for crop sub-sector	2) Per Capita Income
3) Completion rate	3) Fertility rate	3) Productivity rate for livestock sub-sector	3) Inflation rate
4) Repetition rate	4) Population growth rate	4) Percentage of land under irrigation	4) Interest rate
5) Teacher-Pupil Ratio	5) Morbidity rate	5) Average size of household land under cultivation	5) Exchange rate
6) Text-book to Pupil ratio	6) Number of medical facilities		6) Consumer price index
7) National average distance of school to community	7) Doctor-patient ratio		7) Employment rate
8) Male-Female Parity in education	8) Life expectancy		8) Unemployment rate
	9) HIV and AIDS prevalence rate		9) Poverty rate
	10) Percentage of		10) Terms of trade

	population having access to potable water	6) Extension service personnel to farmer ratio	
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#### **10.5.5 Miscellaneous classification of indicators**

Indicators could also be classified based on other criteria. Table 10.3 shows a classification of indicators under four different themes.

**Table 10. 3: Examples of rural development project indicators classified under four themes**

<b>1. Food Security</b>	<b>2. Poverty</b>	<b>3. Empowerment of Grassroots Institutions</b>	<b>4. Empowerment of Women</b>
Change in Food Production	Change in Household Real Income	Change in Farmers groups' participation in Decision-making at project/ local Level	Change in Female Enrolment in Primary Education
Change in Cultivated Area	Change in Access to off-farm Income	Change in Autonomous Farmers' Group Formation in project area	Change in Number of Women's Groups Formed in Project Area
Change in Yields of Staple Food	Change in Access to Capital	Changes in Autonomous Farmers' Group Formation in Project Area	Changes in Number of Loans Disbursed to Women's Groups
Changes in Consumption of Staples	Changes in Access to Labour	Changes in Grassroots Ability to self-Monitor and Evaluate Own Progress	Change in the number of Women's Groups Accessing Second and Third Loan
Change in Prices of Food	Change in Access to Irrigation Facilities	Change in Capacity to market own products	Change in number of Women Members' Local Production/ Service Association
Change in on-Farm Food Storage Capacity	Change in Availability of Basic Needs Services	Change in Terms and Conditions of Marketing Arrangements	Change in Women's Decision-making Capacity at Household Level
Change in Chronic Malnutrition Among Children	Change in Access to Safe Water		Change in Women's Participation in Decision-Making at Project/Local Level
Change in Rate of Stunting Children Under Five Years	Change in Access to Basic Education		
	Change in Access to Basic Health Services		

## 10.6 Criteria for Assessing Indicators

There are three types of criteria used for assessing indicators. They are:

- **SMART:** Specific, Measurable, Attainable, Realistic, Timely
- **DOPA:** Direct, Objective, Practical, Adequate (Source: Japan, 2004)
- **CREAM:** Clear, Realistic, Economic, Adequate, Monitorable (Source: World Bank, 2004)

### 10.6.1 The “SMART” criterion

The SMART criterion uses the following questions to assess the indicator:

#### Simple/Specific

- 1) Is the indicator stated as simply as possible?
- 2) Does it describe exactly what is to be measured?
- 3) Is it clear on what is to be measured?
- 4) Has the appropriate level of disaggregation been specified?
- 5) Does it capture differences across areas & people?
- 6) Is the indicator specific enough to measure progress towards the desired result?

#### Measurable

- 1) Are changes objectively verifiable?
- 2) Will the indicator show desirable change?
- 3) Is the indicator a reliable and clear measure of results?
- 4) Is the indicator sensitive to changes in policies and programmes?
- 5) Do stakeholders agree on exactly what to measure?

#### Attributable/Attainable

- 1) Is the indicator obviously and directly related to the output or outcome to be measured?
- 2) Will external factors of the project affect the indicator also?
- 3) What changes are anticipated as a result of the development activity?
- 4) Are the results realistic?

#### Relevant

- 1) Does the indicator capture the essence of the desired results?
- 2) Is the indicator relevant to the intended outputs and outcome?
- 3) Is the indicator able to be measured in a consistent and transparent manner?
- 4) Is the indicator plausibly associated with the investment activity?

#### Timely

- 1) Can indicators be measured at the most appropriate time and on regular basis?
- 2) Can the collected data be processed and reported to the appropriate stakeholders in a timely and efficient manner?
- 3) Is the indicator data actually available at reasonable cost and effort?
- 4) Is the data source and responsibilities for data collection known?
- 5) Does an indicator monitoring matrix exist?

### 10.6.2 DOPA criterion

The DOPA criteria assess an indicator as follows:

1. **Direct/Valid.** More direct indicators explain the objective or component more

- clearly, and thus make it easier to measure the achievement level.
2. **Operational.** For instance, the indicator of “the number of mid-level technicians who have succeeded” cannot be measured unless the meaning of “succeeded” is clear enough (e.g., it can be defined as “those who were employed within one year after the professional training” or “those whose salary was raised”).
  3. **Practical.** The cost of measurement depends on measurement strategies and the credibility of secondary data. If highly reliable secondary data are available, then a simple practical indicator can be set at a minimal cost. The indicators that are measurable only after large scale surveys may not be practical from the viewpoint of the cost and time. Measurement methods are part of the management tools used for monitoring and evaluation. The accessibility and timing of obtaining data is another important criterion in selecting measurement methods.
  4. **Adequate.** We should avoid too many indicators for only one purpose. It might mean that the objectives could be too complicated or their contents are not fully understood among those concerned. In that case, it would be necessary to review objectives and reset more concrete and specific ones.

### 10.6.3 CREAM criterion

The CREAM criterion uses the following questions to assess each indicator:

- 1) **Clear** - is the indicator precise and unambiguous?
- 2) **Relevant** - is the indicator appropriate to the subject at hand?
- 3) **Economic** - is the indicator measurable at a reasonable cost?
- 4) **Adequate** - is the indicator sufficient to assess performance?
- 5) **Monitorable** - is the indicator amenable to independent validation?

## 10.7 How to Set Baselines

### 10.7.1 What is a baseline?

**Baseline** refers to the situation before or at the beginning of a development intervention. **Baseline data** is the data collected about the situation at the beginning of, or prior to the implementation of an intervention. Baseline data on indicators provide a reference against which future performance can be measured to show changes during implementation of the intervention. Without knowledge of the situation at the beginning, it would be difficult to monitor progress or to evaluate outcomes and impacts.

### 10.7.2 How to set baselines before implementation

In a situation where the baseline does not exist, baseline data on indicators can be collected from secondary data sources, rapid assessments, studies or surveys at the start the intervention. Below is an outline of how and where to source baseline data under varying situations. When collecting baseline data in all situations, it is important to focus on the indicators.

- 1) **Baseline data in general** - data on the general situation is often available in official statistics e.g. infant mortality rates, school enrolment by gender, unemployment rates, literacy rates, etc.
- 2) **Geographical area** - If the indicators are disaggregated to particular geographic location, collecting data on that location might involve house-to-house surveys, visiting schools, hospitals, etc. in the area.
- 3) **Baseline data on impacts** - If the indicators are to measure the impact of an intervention on people or families, this will demand specific data on population,

income, number of people employed, etc. This data could be collected from interviews using a combination of different questionnaires.

- 4) **Baseline data on individual** - If one is working with individuals and wish to collect data on their situation at the time one began working with them. For example, one might want to know, in addition to age, gender, current income, employment status, current levels of education, amount of money spent on leisure activities, ambitions etc. for each individual. This data could be collected from interviews using a combination of different questionnaires.

### 10.7.3 How to set baselines during implementation

**Anecdotal data** - It is very difficult setting baselines when implementation of an intervention is in progress and the situation has changed. However, there are ways to work “backwards” to rectify the situation. One option is collect anecdotal data from those who were involved at the beginning and could remember what the situation was when the project started. The baseline data could be collected through discussions with people, looking at the written records of the intervention - minutes, progress reports, work plans, budgets, etc.

**Control groups** – Where baseline data was not collected at the start of the intervention, another option is to collect the data through the use of control groups. Control groups are groups of people, businesses or households that did not benefit from an intervention. These groups must have very similar situations to those that benefited from the intervention. For example, a project targeting school children around the country to build their self-esteem and awareness as a way of combating the spread of HIV and AIDS and preventing teenage pregnancies failed to collect baseline data at the start of the project. It will be necessary to set up control groups of schools in areas with similar profiles. By collecting data on specific indicators from children in schools that benefited from the project and from children in other schools that were not covered by the project, one could determine whether or not the project made a difference. There will also be the need to ascertain that no other variables affected the findings or comparisons. For example, if there was another project doing a similar work in a school, this school should not be part of the control group.

## 10.8 How to Set the Target of an Indicator

### 10.8.1 What is a target?

There are two essential components in an indicator: (i) baseline and (ii) target. After establishing the baseline the next step is to set the indicator target. A target is the quantifiable level of performance to be achieved by a given time. It is what the situation is expected to be at specified periods – weekly, monthly, quarterly, yearly, etc.

### 10.8.2 Classification of targets

Targets may be either quantitative or qualitative, depending on the nature of their indicators. In most cases, targets are quantitative or numerical. Qualitative targets are usually descriptive.

There are three types of targets:

- **Continuous targets** - a level of service to be expected all the time, e.g. 100% of invoices to be paid within 30 days

- **Time-bound targets** – constituting a one off promise for a certain area, e.g. by 2013, we shall work with Zoomlion to place 100 recycling plants in villages within South Tongu District
- **Percentage achievement targets** – commitments to achieve a stated level of service against a standard, e.g. raise standards in English and Maths so that by 2013, 95% of 10 year olds score 3 or better.

Examples of some Millennium Development Goals (MDGs) targets:

- Halve, between 1990 and 2015, the proportion of people whose income is less than one dollar a day
- Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling
- Reduce by two thirds, between 1990 and 2015, the under-five mortality rate.

### **10.8.3 Importance of targets**

Targets are important for the following reasons. They:

- 1) Serve as the mile posts for judging the progress being made
- 2) Provide a schedule for reaching levels originally envisioned
- 3) Inform stakeholders on tasks to be accomplished
- 4) Motivate individuals involved in the implementation of an intervention to put their best in order to meet set targets
- 5) Help to establish clear performance and management contracts.

### **10.8.4 Setting targets**

The starting point for effective target setting is a realistic awareness of where one is and where one wants to be in the future. A participatory process should be adapted to set targets as follows:

- Involve all stakeholders who have in-depth knowledge of the intervention and can make realistic projections
- Take account of the factors that will influence the ability to achieve the stated objectives
- The baseline and target should use the same unit of measurement over a period.

## CHAPTER ELEVEN (STEP FOUR)

### MONITORING MATRIX

#### 11.1 What is a Monitoring Matrix?

A monitoring matrix is a table that links goals and objectives to indicators and targets. It also classifies the indicator types (input, output, outcome or impact) and shows the baseline data for each indicator, the data sources and frequency of monitoring the indicator. It further shows who is responsible for collecting the monitoring data of each indicator (individuals, institutions, departments and agencies etc.). Table 11.1 presents an example of a monitoring matrix.

**Table 11. 1: Example of a monitoring matrix**

<b>MTDP Goal: To increase food security and income generating activities in XXX District</b>						
<b>NDPF Policy Objective to Link: Ensure sustainable increase in agricultural productivity and output to support industry and provide stable income for farmers</b>						
<b>Objective 1: To increase and diversify agricultural production in a sustainable way</b>						
Indicators	Indicat or type	Baseline 20XX	Target 20XY	Data Sources	Monitoring Frequency	Responsibility
Yield of selected crops, livestock and fish	Output			MoFA	Semi-Annually	MoFA, DPCU
% of households able to meet minimum nutritional requirements throughout the year	Outcome			MoFA	Annually	MoFA, DPCU
<b>Objective 2: etc.</b>						

**Adapted from the National M&E Plan (2010-13)**

#### 11.2 What are Goals and Objectives?

Goals are general directions or intentions that explain what is to be achieved. They represent broad, usually long-term, visions which are not specific enough to be measured. Example:

- To protect public health and safety
- To eradicate extreme poverty and hunger.

Objectives are the short to medium-term sub-goals needed to help achieve the long-term goals. They are more specific and may outline the “who, what, when, where and how” of reaching the goals. Example:

- To increase access to health care
- To provide safe water for household use
- To increase school enrolment in a community.

### **11.3 Purpose of a Monitoring Matrix**

A monitoring matrix is a planning tool which encourages clear and strategic thinking when preparing an M&E plan. The matrix is critical tool for monitoring progress towards the achievement of stated goals and objectives in the development plan, programme or project. Below are some other benefits derived from a monitoring matrix. It:

- 1) Summarizes the key monitoring results
- 2) Provides an overview of the goals and objectives of the interventions
- 3) Contains the monitoring indicators and their baseline data
- 4) Indicates the appropriate frequency for measuring each indicator and how the indicator is moving towards or away from its target
- 5) Classifies the indicators to shows their level of measurement in the results chain
- 6) Provides clear directions on who is responsible for collecting monitoring data and when it should be done.

### **11.4 Steps to Developing a Monitoring Matrix**

In order to develop a monitoring matrix, one needs to be very conversant with the background of the plan, programme or project. The following steps could be taken to develop the matrix:

- 1) Identify the goals and objectives from the policy, plan, programme or project document
- 2) Determine the indicators to track the goals and objectives
- 3) Define the type of indicator (input, output, outcome or impact)
- 4) Determine the baselines
- 5) Set the indicator targets
- 6) Identify where data would be collected from
- 7) Determine the frequency for collecting data on each indicator
- 8) Decide on the actors responsible for the data collection
- 9) Develop the monitoring matrix.

## CHAPTER TWELVE (STEP FIVE)

### MONITORING AND EVALUATION WORK PLAN AND CALENDAR

#### 12.1 What is the M&E Work Plan and Calendar?

##### 12.1.1 M&E work plan

The M&E work plan is a costed action plan to guide the implementation of an M&E plan. It contains all the activities envisaged for the multi-year (usually four years) planned period of a policy or intervention. It assigns responsibilities, timeframes and costs of all the activities identified. Table 12.1 presents an example of an M&E work plan.

Some of the core M&E activities to be considered when preparing the M&E work plan are listed below. Details of these activities are provided in the Chapters indicated:

1. **Monitoring (Chapter 3)** – to assess: situation and operations, performance and challenges, use of funds, compliance, beneficiaries, etc. through:
  - *Field Visits*
  - *Inspections*
  - *Supervisions*
  - *Etc.*
2. **Data collection (Chapter 14)** – quantitative and qualitative from primary and secondary sources through:
  - Data collection instruments
  - Conduct census, surveys, baseline studies, interviews, etc.
3. **Data Processing (Chapter 15)** – through:
  - *Data validation* – to verify the credibility of data collected
  - *Data analysis* – to derive useful information
4. **Evaluations (Chapter 4)** – Ex-Ante, Mid-Term, Terminal, Ex-Post, etc. by Internal or External evaluators to:
  - Assess operations and performance
  - Determine relevance, efficiency, effectiveness, impacts and sustainability
  - Identify the intended and unintended consequences of policies, programmes and projects
5. **Participatory M&E (Chapter 5)** – Using the following methods:
  - Focus Group Discussions
  - PRA
  - CRC
  - CSC
  - Etc.

6. **M&E Meetings, workshops and seminars (Chapter 16)** – through:
  - *Briefing sessions* – to update key stakeholders on progress, performance, etc.
  - *Quarterly progress review meetings* – to review progress (planned versus actuals)
  - *Semi-annual or annual progress meetings or workshops* – to review annual progress
  - *Evaluation debriefing workshops* – to present and discuss draft evaluation reports and findings
  - *Etc.*
  
7. **Reporting on M&E Results (Chapter 16)** – data and information from M&E processes expressed verbally, pictorial or written. They include:
  - Reports from monitoring exercises
  - Reports from evaluations conducted
  - Daily, monthly, quarterly or annual progress reports
  - On-demand reports
  - Exception reports
  - Completion reports
  - Etc.,
  
8. **Dissemination and communication of M&E Results (Chapter 17)**
  - Distribution of M&E reports (e.g. quarterly and annual progress reports)
  - Communication activities as specified in the dissemination and communication strategy in Table 17.1.

**Table 12. 1: Example of a National Level M&E Work Plan**

<b>M&amp;E ACTIVITIES</b>	<b>TIMELINE 2014-2017</b>	<b>ACTORS</b>	<b>BUDGET¢</b>
<b>M&amp;E Plan Preparation</b>			
Review or selection of indicators	Beginning of the plan period	NDPC, PPMED, etc.	600
<b>Implementation Monitoring</b>			
Field visits	Every quarter	NDPC, PPMED, etc.	10,000
Review meetings	Quarterly	NDPC, PPMED, etc.	2,000
<b>Preparation of Monitoring Reports</b>			
Preparation of Progress Reports (PR)	Quarterly	NDPC, PPMED, etc.	1,000
Data collection	Quarterly	NDPC, PPMED, etc.	15,000
Data collation	Quarterly	NDPC, PPMED, etc.	2,000
Data analysis	Quarterly	NDPC, PPMED, etc.	5,000
Organize PR validation workshops	Quarterly	NDPC, PPMED, etc.	18,000
Internal review of draft PR	Quarterly	NDPC, PPMED, etc.	2,000
Peer review of APR	Every 2 <sup>nd</sup> quarter	NDPC, PPMED, etc.	8,000
Print APR	Every 2 <sup>nd</sup> quarter	NDPC, PPMED, etc.	6,000
<b>Dissemination and Communication of M&amp;E Results</b>			
Organize PRs dissemination workshops	Quarterly	NDPC, PPMED, etc.	32,000
Distribution of PRs	Quarterly	NDPC, PPMED, etc.	2,000

<b>M&amp;E ACTIVITIES</b>	<b>TIMELINE 2014-2017</b>	<b>ACTORS</b>	<b>BUDGET¢</b>
Stakeholder engagements on PRs	Quarterly	CSOs, RCC, etc.	5,000
<b>PM&amp;E</b>			
Prepare for PM&E with stakeholders	Every 2 years	TAs, CBOs, etc.	2,000
Train personnel to conduct field work	Every 2 years	TAs, CBOs, etc.	2,000
Conduct PM&E	Every 2 years	TAs, CBOs, etc.	20,000
<b>Evaluation</b>			
Selected evaluation activities	Every year	PPMED, RCC, etc.	30,000

**Source: NDPC M&E Plan – 2010 to 2013**

### **12.1.2 M&E calendar**

The M&E calendar is an annual implementation schedule with specific time periods and deadlines for all the activities to be undertaken. It stipulates specific dates within a week, month or quarter for M&E activities. Table 12.2 shows an example of an M&E calendar.

**Table 12. 2: Example of an M&E Calendar with tentative dates**

M&E activities	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec
M&E indicator review								10 <sup>th</sup>				
Field visits			20 <sup>th</sup>			25 <sup>th</sup>						
Organize review meetings	4 <sup>th</sup>	20 <sup>th</sup>	26 <sup>th</sup>	16 <sup>th</sup>	25 <sup>th</sup>	29 <sup>th</sup>	28 <sup>th</sup>	20 <sup>th</sup>	24 <sup>th</sup>	22 <sup>nd</sup>	21 <sup>st</sup>	17 <sup>th</sup>
M&E monthly reports	26 <sup>th</sup>	27 <sup>th</sup>	22 <sup>nd</sup>	28 <sup>th</sup>	24 <sup>th</sup>	27 <sup>th</sup>	26 <sup>th</sup>	25 <sup>th</sup>	22 <sup>nd</sup>	29 <sup>th</sup>	23 <sup>rd</sup>	26 <sup>th</sup>
M&E quarterly reports			22 <sup>nd</sup>			27 <sup>th</sup>			22 <sup>nd</sup>			26 <sup>th</sup>
Conduct M&E capacity building for core staff at DPCU & PPMED							3 <sup>rd</sup>					
Prepare for APR production	17 <sup>th</sup>											
Data collection		18 <sup>th</sup>										
Data collation			20 <sup>th</sup>									
Data analysis				10 <sup>th</sup>								
Organize APR validation workshop				25 <sup>th</sup>								
Internal review of draft APR					15 <sup>th</sup>							
Peer review APR					20 <sup>th</sup>							
Print APR						2 <sup>nd</sup>						
Organize a dissemination workshop											12 <sup>th</sup>	
Distribution of APR											5 <sup>th</sup>	
Prepare for PM&E with stakeholders	9 <sup>th</sup>											
Train personnel to conduct field work		5 <sup>th</sup>										
Conduct PM&E			2 <sup>nd</sup>									

## 12.2 Importance of an M&E Work Plan and Calendar

### 12.2.1 Importance of M&E work plan

The M&E work plan serves as a progress monitoring tool, resource mobilization tool, capacity building tool, feedback tool and a management tool for those responsible for implementing the M&E plan. It further helps to:

- 1) Clarify and facilitate the execution of M&E plan
- 2) Provide a useful management tool for coordinating the operation of the M&E system
- 3) Determine the participants of specific M&E activities
- 4) Mobilize and rationalize resources for prioritized M&E needs. A clearly costed work plan facilitates the release of M&E resources
- 5) It enables development partners effectively tailor their M&E support to the prioritized M&E needs and commit to supporting specific aspects of the M&E system.

### 12.2.2 Importance of M&E calendar

The M&E calendar provides specific dates for all M&E activities within one calendar year and therefore serves the following useful purposes:

- 1) M&E staff can use the M&E calendar to follow-up on stakeholders about specific activities, track progress and manage potential delays and bottlenecks
- 2) Improves coordination and management of M&E activities
- 3) Ensures that M&E information is available at the time required by those who need it
- 4) Establishes critical deadlines for implementing M&E activities.

### **12.3 Steps in Preparing the M&E Work Plan and Calendar**

The M&E work plan and calendar should be prepared through a participatory process with due considerations to age, gender, disability, social status, and other social factors. The following steps should be taken when developing an M&E work plan:

- 1) Identify programme or project goals and objectives
- 2) Determine the activities to be undertaken within the M&E plan period
- 3) Define the timelines - defining timelines should be carefully thought through to consider other activities that may or could be occurring simultaneously and the timelines should be realistic and achievable
- 4) Determine M&E methodology for monitoring the process and evaluating the effects
- 5) Determine the actors responsible for each activity i.e. who are the key groups and or individuals that will be involved in the various stages of putting the Plan into action?
- 6) Determine the cost related for each M&E activity
- 7) Develop the M&E work plan matrix
- 8) Prepare the annual M&E calendar with specific dates for all the activities.

## **CHAPTER THIRTEEN (STEP SIX)**

### **MONITORING AND EVALUATION BUDGET**

#### **13.1 What is the M&E Budget?**

The M&E budget refers to the cost estimates for creating the necessary conditions and implementing the activities required for a functional M&E system. Generally, budgeting involves a projection of costs of items, personnel and activities for the plan over a specific period. Through budgeting, planned activities are translated into actions to produce the desired outputs. Thus, the M&E Work plan and the M&E budget are complementary and mutually reinforcing.

The M&E budget component of an M&E Plan is a key requirement for effective M&E. International best practice suggests that 2-5% of the total budget of a proposed project or plan should be reserved for M&E activities. Inflated budgets are signals of waste whilst budgets that are too low cast doubts on effective implementation of the M&E plan. Most donor funded projects in Ghana recognise the importance of M&E and therefore, allocate sufficient funds for M&E. This cannot be said about Government of Ghana (GoG) budgetary allocations for M&E. The NDPC, with financial support from UNICEF, conducted a study entitled “*A Baseline Study on Resources Spent on M&E and Statistics*” (2011). The study confirmed that budget allocations to MDAs for M&E were not only inadequate but were often re-prioritised in favour of other activities in the event of resource constraints.

#### **13.2 Importance of the M&E Budget**

The M&E budget provides a rough estimate of how much money is needed to implement an M&E plan. It compels rigorous thinking through the costs and implications of the planned M&E activities. The M&E budget is the basis for financial accountability and transparency in conducting M&E. It also makes it possible to:

- 1) Plan M&E activities in a systematic and logical manner
- 2) Determine direction and to forecast M&E outcomes
- 3) Allocate M&E resources and establish priorities
- 4) Confirm M&E responsibilities
- 5) Improve efficiency in the implementation of the M&E plan
- 6) Evaluate performance against the budget
- 7) Control cost of M&E materials and expenditure
- 8) Take remedial action when there is deviation from the M&E plan.

#### **13.3 Steps in Preparing the M&E Budget**

Every effort in the preparation of a monitoring and evaluation budget should be made participatory with due considerations to the varying needs by age, gender, disability and other social factors. Best practice has proven that, it is important to identify the M&E requirements early in the project or programme design phase so that adequate funds are allocated and made available for M&E activities. The following are some steps to preparing the M&E budget:

### Steps 1 - Identify and involve key stakeholders

It is important to involve key stakeholders and people with budgeting skills in this process. The M&E budget can be prepared using an ordinary spread sheet program such as MS Excel program. A person with the know-how of such computer programs can speed up the M&E budget preparation process.

### Step 2 - Itemize M&E budget needs

Detailing budget items should be straightforward if the M&E plan has been prepared systematically. M&E tasks and associated costs should be listed in the M&E work plan. Where key M&E planned activities have already been identified with cost estimates, these should be budgeted for in detail. A spread sheet clearly itemizing M&E expenses will be of great help. It is also advisable to add a narrative (comments and descriptions) to justify each line item in the spread sheet to help guard unexpected budget cuts. Examples of M&E budget items are provided in Table 13.1.

**Table 13. 1: Examples of M&E budget items**

<b>Budget item</b>	<b>Examples</b>
Staff time & Staff related costs	Evaluation consultants, workshop facilitators and moderators, data entry clerks , survey designers (e.g. baseline), logical framework designers, database developers, ICT trainers
Transportation for field work	4-wheel drive vehicles and motorbikes for field trips, Fuel and vehicle maintenance, air travel (local and foreign)
M&E Plan preparation	Literature review and drafting, experts/peer review workshops, etc.
Office equipment and logistics	ICT equipment (hardware and software) – personal computers, laptops, computer programmes, etc., computer accessories – printers, scanners, pen-drives, external drives, etc. projectors, photocopiers, refrigerators, televisions and other gadgets for video conferencing
Office Supplies	Furniture, office tools (stapler, perforators, etc.), stationery
Data collection and field support	Supplies for fieldwork (bags, hats, pens, pencils, etc.), Other items for field work (recorders, digital cameras, boots, raincoats, etc.), hiring of data collection assistants, training costs of field staff
Data processing, analysis and interpretation	Data cleaning and coding costs, data entry costs, data validation costs, data analysis costs
M&E reports writing	Secretarial services, photocopying, reviews and editorial costs, printing
M&E results dissemination and communication	Documents distribution, display boards and easels, telephone & fax, internet & e-mail, network maintenance, media, etc.
Skills training (local and foreign)	Skills training in: ICT, facilitation and presentation, report writing, PM&E, evaluations etc.
Training events	Workshop venue, participants travel, participants accommodation, workshop materials, per diems, etc.
Special M&E events	Launching of M&E reports, hosting local and international conferences
Miscellaneous	Security items, insurance, etc.

### Step 3 - Estimate costs of M&E items and activities

A wide range of inputs such as participants, equipment, logistics, etc. listed in step 2 should have costs attached to them. These are the costs to be estimated in order to develop the M&E budget. The format used to estimate the costs should include:

- 1) Budget item and identification number – could be objectives that can be measured, broad outputs or activities that need to be broken down.
- 2) Activities – specific actions to be taken
- 3) Inputs – specific budget items classified into four groups:
  - Facilitation – consultants, workshop facilitators, moderators, etc.
  - Conference – accommodation, venue, meals, etc.
  - Travel – allowances, fuel and vehicle maintenance, etc.
  - Logistics – equipment, stationary, etc.
- 4) Quantity or the number of people involved
- 5) Frequency of the event
- 6) Rate per person of activity.

The budget format should allow for the calculation of sub-totals and total costs for portions of the budget and the grand total. Table 13.2 shows an example of a budget spread sheet with some M&E items.

**Table 13. 2: Example of an M&E budget format with some cost estimates**

Item	Activities	Inputs	Qty. or No. of People	Frequency	Unit Cost Gh¢	Amount Gh¢	
<b>Annual Progress Report (APR)</b>	Organize two workshops to prepare the APR	Facilitation	8	1	100	800	
		Conference	8	1	50	400	
		Travel	20	1	60	1,200	
		Logistics	100	1	5	500	
		<b>Sub-total</b>					<b>2,900</b>
		Conference	200	1	30	6,000	
		Travel	200	1	100	2,000	
		Logistics	200	1	10	2,000	
		<b>Sub-total</b>					<b>10,000</b>
		<b>Total</b>					<b>12,900</b>
<b>Build M&amp;E Capacity</b>	Organize M&E Training Workshops	Facilitation	8	12	100	9,600	
		Conference	100	12	50	60,000	
		Travel	500	1	50	25,000	
		Logistics	500	1	10	5,000	
	<b>Total</b>					<b>99,600</b>	
<b>Dissemination of APRs</b>	Hold M&E dissemination workshops	Facilitation	8	1	100	800	
		Conference	250	1	200	50,000	
		Travel	250	1	50	12,500	
		Logistics	250	1	10	2,500	
	<b>Total</b>					<b>65,800</b>	
<b>GRAND - TOTAL</b>						<b>178,300</b>	

**Step 4 - Validate the M&E budget**

The draft M&E budget should be validated with a wider group of stakeholders. The budget should be approved by the highest decision-making body of the organization before implementation.

**Step 5 - M&E budget approval review**

The approved M&E budget will have to be reviewed periodically during implementation in line with prevailing economic conditions.

## CHAPTER FOURTEEN (STEP SEVEN)

### HOW TO COLLECT MONITORING AND EVALUATION DATA

#### 14.1 What is Data Collection?

Data collection is the systematic process of obtaining useful information on policy, programme or project. The key issue is not how to collect data but rather how to obtain useful data. Before embarking on any data collection process, the following preparatory steps need to be considered:

- 1) Address any ethical concerns
- 2) Prepare written guidelines for how data collection will be done
- 3) Pre-test data collection instruments and procedures
- 4) Train all staff or personnel who will collect the data.

#### 14.2 Steps to Data Collection

The basic steps to collect data are as follows:

- 1) Identify the specific areas of concern for data collection or the problem you are trying to solve by collecting the data
- 2) Brainstorm the type(s) of data to collect for your programme or project
- 3) Involve key stakeholders who will be required to provide or otherwise assist in the effort, e.g., programme managers, DPCU, RPCU, PPMED staff, CSOs, etc.
- 4) Develop data collection instruments, definitions and procedures to ensure that data collected covered all relevant areas. Example, indicator instruments and or interview questionnaire.
- 5) Specify the composition of the field staff (e.g., number of team members, specify team supervisors and team leaders). Brief and train the field staff on the use of the data collection templates or instruments and reporting procedures.
- 6) Pre-test the data collection instruments to avoid some of the data collection problems identified in Box 14.1
- 7) Develop a work plan. Specify the roles and responsibilities. Detail specific tasks to be undertaken as well as the time lines involved.
- 8) Specify logistics support required such as transportation, administrative support, translations, data processing, office and other equipment, etc.
- 9) Specify the detailed budget including cost of consultants, travel, logistics and support staff
- 10) Hold validation meetings on the data collected from the field to check the accuracy and reliability with key stakeholders before data analysis
- 11) Hold regular meetings to identify data gaps and challenges in collecting data.

##### Box 14.1: Data collection challenges

1. Language barriers
2. Limited time
3. Costs
4. Poorly trained staff
5. Invasion of privacy
6. Suspicion by respondents
7. Biases
8. Community expectations
9. Cultural values and norms
10. Poor guidance

## 14.3 Data Collection Methods

Data collection methods refer to the approaches, principles, procedures, protocols and strategies employed to obtain data relating to a particular problem. Data collection is an integral part of M&E. There are varied methods that could be used in the data collection process of which could be grouped under qualitative or quantitative. The data to be collected under each method could be primary and/or secondary.

In broad terms, the decision about which method to use depends upon:

- 1) What you want to know (nature of issues involved)
- 2) Where the data reside
- 3) Resources available for data collection
- 4) Time available for the data collection
- 5) Amount of existing data on the issue(s).

### 14.3.1 Quantitative Methods for Data Collection

Quantitative methods are techniques employed to obtain data in numerical values, e.g. the number of tractors distributed to farmers. The methods seek to exert maximum control over the questions and potential answers. The typical questions often raised relate to who, how much, and how many? The questions are generally not open-ended. Examples of quantitative methods include population census and surveys.

Quantitative methods are used:

- 1) When the emphasis is on precision and accuracy
- 2) Where a large sample or population is involved
- 3) When there is certainty about what is to be measured
- 4) To test whether there is a statistical relationship between variables
- 5) To produce evidence to prove that a particular problem exists or justify a particular strategy
- 6) To identify the characteristics of a population, for example, during a baseline survey
- 7) When there is the need to show results logically.

Quantitative methods are more focused, specific in terms of measurement and ultimately reduce the time requirements for data analysis. The results derived from the quantitative methods can be generalized to the wider population if proper sampling techniques are carefully applied.

Quantitative methods tend to be stronger in terms of reliability but weaker in terms of validity. Reliability refers to the consistency of measurement over time while validity seeks to answer the question whether what is measured is what is intended to be measured. For example, if the intended purpose is to measure behaviour, is it behaviour that is measured or attitudes?

It must be noted however that, quantitative methods limit the scope of data and thereby run the risk of leaving out essential data. In quantitative methods, the questions are generally narrowly focused, precisely worded with a fixed set of responses so that everyone is asked the same way and have to choose from exactly the same set of responses.

## Types of quantitative methods

When conducting M&E, many methods may be used when utilizing the quantitative technique, such as surveys, questionnaires, etc.

### Surveys

Survey is a systematic collection of data or information from a defined population usually by means of interviews, or questionnaires administered to a sample of units or the whole target population.

The purpose of survey is to obtain data from a large number of people in a structured way according to specific questions, often in ways that allow for

statistical analysis. From M&E perspective, surveys form the basis of many monitoring and evaluation studies as they allow for focused data collection about specific performance questions or indicators from a sample.

Surveys are good for asking people about their perceptions, opinions, and ideas. They are less reliable for finding out how people actually behave. The main steps to conducting a survey are outlined in Box 14.2.

**In-person interviews** (face to face) are useful when you want an in-depth understanding of experiences or how a programme or project works. It is also useful when other approaches would not work. However, it is a dynamic process of gathering data involving personal interaction between two individuals which can result in change of behaviour and thus introducing bias into the data obtained. It will require the use of an interview guide or protocol for effective interviewing. In-person interviews can be done individually or in groups. In groups you will ask fewer questions than in an individual interview since everyone has to answer and there are limits to how long people are willing to sit. In-person interviews can be longer and more in-depth than questionnaires or telephone surveys.

**Self-Administered survey** works when the population can read the language of the survey. It is useful when the anonymity of the respondent is required. It also allows for questionnaires to be filled at the convenience of the respondent and since there is no evaluator, it eliminates the issue of interviewer error or bias. Self-administered questionnaires should be short and take not more than 30 minutes to complete (shorter is better). You are more likely to get honest responses to sensitive questions by using a self-administered questionnaire.

#### Box 14.2: Steps to conducting a survey

1. Agree on the purpose and information needs of the questions
2. Decide whether the information needs require a questionnaire
3. Ensure that questioning is focused and well formulated or it will not be useful
4. Agree on who should be questioned and how many people should be included in the sample. Also decide on the most appropriate manner of questioning
5. Pre-test the interview questions to ensure that they are appropriate, accurate enough and give you the type of information you need
6. Collect and analyse the information.



**Telephone surveys** are appropriate when most people have telephones. It gives a certain amount of flexibility to the evaluator. For example, it is possible for evaluators to ask complex questions over the telephone. It allows the evaluator to explore and skip irrelevant questions as well as change the direction of the questions based on the flow of the discussions. Telephone surveys need to be short and well-focused; typically, they should not last longer than 15 minutes.

**Mailed questionnaire** is appropriate when a wide geographical area is to be covered by survey. It allows the respondent enough time to answer the questionnaire. It is also critical to note that the response rate is low and thus difficult to establish a sample representation. Mailed questionnaires are known for low response rate. It may require enclosure of self-addressed stamped envelope and a series of reminders to elicit a good response rate from mailed-questionnaires.

Each of these approaches discussed above can either be structured or unstructured.

**Structured surveys are:**

- Easier to complete (checking a box takes less time than writing a narrative response)
- Easier to analyse
- More efficient when working with a large number of people.

**Unstructured surveys are:**

- A rich source of data
- Labour intensive
- Subject to bias through interpretation
- Burdensome for people to complete as a self-administered questionnaire

**Steps for Designing and Using an Effective Survey Questionnaire**

**1) Develop the purpose**

- Determine the questions to be answered
- Specify the information needed for each question
- Draft the specific sub-question(s) under each question.

**2) Group the questions into the appropriate forms**

- Fill in the blank
- Multiple choice
- Comment on
- List
- Likert scale
- Ranking.

**3) Sequence the Questions**

- Group similar themes together
- Organize into titled sections
- Include introductory explanation for each section where necessary.

#### 4) Pilot the Questionnaire

- Pre-test questionnaire
- Clarify wording
- Identify ambiguity
- Revise
- Re-test if necessary.

#### 5) Develop the Implementation Strategy

- Select the sample
- Develop a cover letter
- Prepare distribution package and send
- Monitor responses and follow-up.

### Questionnaire

A questionnaire is a series of questions asked of individuals to obtain statistically useful information about a given topic. When properly constructed and responsibly administered, questionnaires become a vital instrument by which statements can be made about specific groups or people or entire populations. Care must be taken in the design of the questionnaires to ensure clarity. Questions may be designed to measure dichotomous responses (for example, yes /no or true/false questions), or responses on an interval level such as the Likert scale (bipolar 1-5 ratings) or by semantic differential scaling (bipolar adjective pairs, for example, the range of choices including “very interesting, somewhat interesting,” etc.). Open-ended questions are also used in questionnaires, though these require more time to read and can be more difficult to statistically analyse. Open-ended questionnaires may also require a higher literacy level than multiple choice answers

#### Box 14.3: Some tips for designing a high response Questionnaire

- Questions should be concise and to the point
- Avoid making assumptions
- Question structure (arrange general questions ahead of specific questions)
- Be explicit about the period of time being referenced by the question

In designing a questionnaire, the evaluator can choose to make the questionnaire Structured non-disguised, Structured disguised, Non structured non disguised, Non structured disguised.

#### Structured non disguised questionnaire:

- Questions are listed in a predetermined order
- Respondents are told about the reason for collecting the information

#### Structured disguised questionnaire

- Questions are listed in a pre-arranged order
- Respondents are not told about the purpose of the questionnaire

#### Non-Structured non disguised questionnaire

- Questions are not structured
- Researcher is free to ask questions in any sequence he/she wants
- Respondents are told about the purpose of collecting information



### **Non-Structured disguised questionnaire**

- Questions are not structured
- Researcher is free to ask questions in any sequence he/she wants.
- Respondents are not told about the purpose of the questionnaire

### **14.3.2 Qualitative Methods for Data Collection**

Qualitative methods are techniques used to obtain data in descriptive form, reflecting people's judgements, opinions, perceptions and attitudes of a given situation or subject. Example of qualitative methods often used for monitoring and evaluation are presented in Box 14.4.

#### **Box 14.4: Examples of Qualitative Data Collection Methods**

- Observation
- Focus Group Discussions
- In-depth Interviews
- Key Informant Interviews

Qualitative methods are used when:

- 1) Information on what people think about a particular situation or why they behave in particular way
- 2) In-depth information is required
- 3) Purpose is to seek broad understanding of themes and issues
- 4) There is no need for quantification of data
- 5) Resources and time are limited.

### **Types of qualitative methods**

When conducting evaluation, many methods may be used when utilizing the qualitative technique, such as observation, focus group discussions, case studies, etc.

#### **Observation**

The purpose of observation is to obtain useful and timely information by observing what people do, to help make decisions on improving a project or programme performance or for generating insights and findings that can serve as hypotheses for more focused studies. In the context of M&E, observation is critical to complement collected data and provides better understanding of the environment in which the information is collected as well as helps explain results. Observation enables us to see what is happening in its minute form. A lot can be seen by just looking around. Direct observation is useful for validation in monitoring as it can be used to cross check responses received by other methods. Observation can take three forms, namely:

#### **Box 14.5: Steps in conducting observation**

- Agree on a clear conceptual framework, as well as guidelines for what needs to be observed and the information required.
- Choose and train appropriate observer or group of observers in observational skills
- Collect and record data as agreed

#### **1. Unobtrusive Observer**

Subjects are unaware that they are being observed. For example, no one will know you are watching them.

#### **2. Participant (Active) Observer**

The one collecting the M&E data actually participate in the activity socially, personally, and spatially. This method is good for studying groups, organizations

and social processes. For example, you may participate in a farmer school training workshop as if you were just a participant, but really you are evaluating the course dynamics.

### 3. **Obtrusive (Passive) Observer**

Subjects are aware that they are being observed. For example, if you come into a classroom with a clipboard and are introduced as an observer, then everyone knows why you are there.

A case study of the use of direct observation in monitoring is presented in Box 14.6.

#### **Box 14.6: Example of Using Direct Observation in Monitoring Training Sessions on Hygiene in Water and Sanitation Project**

Direct observation was used to evaluate a drinking water project. Training sessions on hygiene undertaken by project staff and attended by women and children in the villages were observed. This study revealed that project staffs were using too academic terms and language in the hygiene training, making the sessions useless as they were not understood by villagers. With this information, the training sessions were modified to become more locally appropriate.

Within any of these options, the observations can be structured or semi-structured. In structured observations, a specific checklist to precisely count things according to a specific schedule or stopwatch to time activities is needed. In semi-structured observation, notes are taken of whatever strikes the data collector as interesting, typical, unusual and/or important. With time one may then begin to look for specific things.

The observation method has the advantage of collecting data on actual behaviour rather than self-reported behaviour or perceptions in real time. However, the disadvantages are that observation could generate observer bias and pose potential risks to reliability as two observers may see things very differently. Observation poses challenges to interpretation and coding data as well as sampling problems. It is also labour-intensive and costly.

#### **Focus Group Discussions**

A focus group is a type of qualitative data gathering method in which small groups of people are brought together to informally discuss specific topics under the guidance of a moderator. The purpose of focus group discussion is to collect general information, clarify details or gather opinions about an issue from a small group of selected people who represent different viewpoints. For M&E, focus groups are good for assessing opinions of change, assessing the quality of project services

#### **Box 14.7: Steps to consider when conducting focus group discussions**

1. Determine the participants (number and target group)
2. Present the group with a broad question
3. Discuss this question for the time period agreed upon beforehand (one or two hours)
4. Take detailed notes of the discussion
5. keep conducting different focus group sessions until the data becomes repetitious (to ensure reliability of data)

or service providers and identifying areas of improvement. The group process tends to elicit more information than individual interviews because people express different views and you are able to explore the reasons and feelings behind those differences. The conversation is often not linear; participants may bring up information or perspectives at any time. Sometimes they will answer a question on your script before it is even asked.

However, facilitation of a focus group requires considerable skill, both in moderating the group and in adequately recording the responses. Group dynamics, due to individuals being too shy, domineering, disruptive, etc. can hamper the discussion.

This method can be used to obtain a consensus view. However, a small group of people cannot represent all views held by, for example, an organisation or community. On the other hand, if the group is not homogeneous enough, there can be great disagreement. So careful thought should be given to the composition of the group.

Focus groups are normally made up of anywhere between 6 and 12 people with common characteristics. These must be in relation to what is being studied and can consist of demographic characteristics as well as a certain knowledge base or familiarity with a given topic.

### **Typical Elements of Focus Groups Discussion**

A summary of the typical elements of Focus Group Discussion include:

- 1) Small groups (6-12 people)
- 2) Groups can be diverse but people of different status should not mix. For example, students and teachers or employees and their bosses
- 3) Comfortable, safe surroundings, familiar place, sitting around a table or in a circle
- 4) Skilled moderator (or facilitator) and note taker
- 5) Provision of food or refreshment is essential, especially when participants have to travel long distances to participate
- 6) Monetary incentives are often helpful to get people to show up
- 7) Consider whether transportation and/or childcare will be needed; if so, make arrangements for them to be provided
- 8) Clear explanations about the purpose, why their views are important, how they were selected, what a focus group is, and the rules of the process
- 9) Key rule: "what is said in this room stays here"
- 10) Moderator guides the process, keeps the group focused, and makes sure everyone has the opportunity to voice his/her views
- 11) Ask a few critical questions: all are open-ended, moving from easy, conversational questions to the more serious questions and ending with a wrap up question
- 12) Tape record each session and ideally have a verbatim transcript. Even if you do not completely transcribe the tape, it will help to listen to it again as you write up your notes. If taping is not possible, consider having a second note-taker present.
- 13) Write up your notes immediately after the session. Keep your impressions and reactions in a separate set of notes. The moderator and note taker should review the notes together.

## How Many Focus Groups?

There is no fixed rule about how many focus groups to do. The general rule is to do them until you begin to hear the same themes. This usually happens between 3-6 focus groups. However, you may have other reasons for doing more. You may need to include a number of specific groups in your community or cover selected geographical areas.

The main advantages of Focus Groups include the following:

- 1) Relatively quick and easy
- 2) May take less staff time than in-depth in-person interviews
- 3) Provides flexibility to make changes in process and questions
- 4) Ability to explore different perspectives.

The disadvantages include the following:

- 1) Analysis is time consuming
- 2) Potential challenges include participants might be different from rest of population
- 3) Risk of bias in interpreting the data
- 4) The risk of the group being influenced by the moderator or dominant members of the group.

## Case Studies

Case Studies document the life story or sequence of events over time related to a person, location, household or organization in order to obtain insight into a project's impact. From M&E perspective, case studies add life to what might otherwise be data without a human face and they allow for an in-depth understanding of the context and human factors behind general or summarized data that may be collected through other means.

Case studies can provide much important background and human context for data that are generated by other methods. A cross-case study analysis can be highly valuable, particularly if it relates to broader policy questions of major interest. A case study is particularly useful in complex situations where many variables interrelate and where outcomes and impact are liable to vary across different populations.

However, case studies are generally not considered representative. For this reason, it is good to use case studies in combination with methods involving larger samples, such as surveys or questionnaires.

A variation on this method is to use the traditional form of story-telling as an entertaining way to gain some understanding of how people deal with issues or crises. It is often an important part of village life in communicating ideas and community values.

### Box 14.8: Steps to consider when using Case Studies

1. Define the purpose and precise information needs of the case study
2. Decide how you are going to select the individuals, households or organizations about which you will do the case studies.
3. Decide how you will obtain the information
4. Develop the question checklist that will guide the information collection
5. Repeat the discussions with enough frequency to allow an up-to-date picture of changing conditions

Box 14.9 shows an example of a short case study used to profile primary stakeholders in the Ghana man Rural Enterprises Project's Interim Evaluation (2000).

**Box 14.9: Example of a short case study used to profile primary stakeholders in the Ghanaman Rural Enterprises Project's Interim Evaluation (2000)**

*Profile of Hilda Atiah: A client who has added another enterprise to an existing one.*

Hilda was born in 1966 in the Volta Region of Ghana. She was the seventh out of eight children. Her father was in the Ghana Police Service, which meant they were transferred several times, allowing Hilda to pick up several Ghanaian languages.

When she married, her husband encouraged her to take a vocational course, and she decided to study dress-making. After a three-year course, she set up a workshop, her elder sister giving her the initial capital for the enterprise. She has already trained five apprentices.

Between April and August, however, dress-making is not a profitable business and Hilda found it difficult to manage the house financially. She decided to participate in the Rural Enterprises Project's one-week course in making soap and pomade. With the financial assistance of her husband, together with her own savings, she started a soap-making business.

Hilda makes a profit margin of ₵ 200,000 (USD 1 = ₵7100 in Sept. 2001) per week and, from the profit, has been able to construct a big shed where she makes the soap. Her husband, a trader in food and household goods, has decided to stop his trading activity and concentrate on soap production. Hilda believes that the project should organize an advanced course for them to improve upon their skills instead of solely training new members who will saturate the market.

When it is deemed desirable to learn from the experience of others, evaluators often resort to the case study. In this comprehensive description and analysis of one or a few situations that are similar to the one being studied, the emphasis is on an entire organization with great attention paid to detail in order to understand and document the relationships among circumstances, events, individuals, processes and decisions made.

In order to obtain the information required, it is usually necessary to conduct an in-depth interview with key individuals in the organization as well as consulting internal documents and records or searching press reports. Observation of actual meetings, sales calls or trips, negotiations, etc. can also prove insightful, since "actions speak louder than words", even when it comes to understanding how decisions are made in an organization or why some organizations are more successful than others.

However, caution must be exercised in transferring lessons to other situations: there is no "formula" that can be applied, but rather a context that must be understood and interaction among individuals that must be appreciated. Individual personalities, their vision and drive contribute as much if not more to the success of an organization than processes.

### **Documentary Review Method for Collecting M&E Data**

From M&E perspective, this method can provide baseline information on a project area or a particular indicator. It also can provide a good background to current activities to help explain whether changes are occurring and why or why not.

However, it must be noted that one would be limited by what documentation is available and accessible, how it has been presented and by whom (possibility of biases, etc.), how it has been stored and all of the issues of quality coming from these restrictions.

It is important to keep good records about where you get the data and information about how the data was collected. In order to enhance the quality of the data from secondary sources, do the following:

- 1) Find out how the study or research was carried out
- 2) How each variable or indicator was measured
- 3) How the data was coded
- 4) How accurately data was verified.

#### **Box 14.10: Steps to consider in conducting documentation review**

1. Make sure you are clear about the questions you wish to answer and what (type of) information you need for this
2. List all possible sources of existing information (project documentation, government records, etc.)
3. Prioritize those that are most likely to provide useful information in a cost- and time-efficient manner
4. Collect documentation and check its reliability
5. Identify which information gaps that are there or where contradictory evidence needs to be clarified

### **Collecting Data from Paper Files, Records or Documents**

Sometimes the data is available but not in the form that is easy to analyse. You may have to collect information that is in files or documents. In this situation, a data collection instrument that specifies exactly what data you want to collect and how you want to code it must be developed. As a rule of thumb, develop an instrument that is easy, simple and clear. Set up your standard procedures and train everyone who will be collecting data in order to ensure that everyone codes the data in exactly the same way if that one person is involved in the data collection. When working with official documents that describe current activities or practices, try to verify that the documents accurately reflect what is actually practised.

### **Collecting Computer Data**

In the case of collecting data from a computer, the following steps may be pursued:

- Obtain the database structure, data dictionary, coding schemes
- Find out what is needed to transfer the data to your computer
- Verify the accuracy of the data in the computer.

Various search engines on the internet have facilitated easy search for data or information on almost every conceivable issue.

The main advantage of using existing data is that it is often cheaper and faster than collecting the original data. However, the main disadvantage is that it is not possible

to verify possible coding errors or problems and the data may not be exactly what is needed for evaluation purposes.

#### 14.2.4 Comparison between Qualitative and Quantitative Methods

Table 14.1 shows a comparison between qualitative and quantitative methods of data collection for monitoring and evaluation.

**Table 14. 1: Comparison between Qualitative and Quantitative Methods**

<b>Features</b>	<b>Qualitative</b>	<b>Quantitative</b>
<b>Duration</b>	Short	Long
<b>Cost</b>	Low to Medium	Medium to High
<b>Participation</b>	Medium to High	Low to None
<b>Methods</b>	Basket of Tools	Standardized Methods
<b>Major Research Tool</b>	Semi-structured Interviews	Formal Questionnaire
<b>Sampling</b>	Small-to-Medium Purpose	Largely Random
<b>Statistical Analysis</b>	Little or None	Major Part
<b>Analysis</b>	In-the-field and On- the-Spot	Back-in-Office
<b>Question format</b>	Open-ended	Closed-ended

### 14.4 Sources of Data

M&E data may come from two main sources, namely, primary and secondary sources.

Primary data is data that is collected through the use of surveys, meetings, focus group discussions, and interviews that involve direct contact with respondents (target group or population). It could also come from administration, finance and programme operations. Primary data could take the form of input, output or outcome data. Primary data though expensive to collect, may be necessary where appropriate indicators and baselines are not available for effective monitoring and evaluation activities.

Secondary data is existing data that has been collected in the past for some purposes related to the current area of monitoring and evaluation. Secondary data could be found in NGOs, MDAs and their decentralized agencies, Ghana Statistical Service (CWIQ, GLSS, GDHS) surveys and the National Census reports etc. Secondary data represent tremendous cost and time savings to organizations and hence the need to first investigate what data exist when planning for future data collection exercise so as to determine how relevant they are for the monitoring and evaluation operations.

It is important to note that all secondary data were or are primary data for another study. The most common practice is to use a combination of primary and secondary data to complement each other. For example, it would require the use of records of attendance and enrolments to meet the monitoring and evaluation data needs for assessing outcomes of the School Feeding Programme.

The main concerns with secondary data are the extent of reliability and validity. In order to ensure that the secondary data meet minimum standards of reliability and validity, the following steps must be undertaken:

1. **Identify and assess the relevance of the secondary data;**
  - Compare existing data with indicators specified in the programme
  - Review existing data from government and partner organizations within the same geographical areas.
2. **Assess the appropriateness of relevant secondary data;**
  - Does the secondary data cover the same geographical area and unit of study
  - How long ago was the secondary data collected and is it still likely to be suitable?
3. **Check the reliability of the data and data source**
  - 1) How reputable is the organization that collected the secondary data?
  - 2) What methods were used to collect the data?
  - 3) Is there a description of quality assurance methods used?
  - 4) How large was the sample?
  - 5) Are the questionnaires available for review?
  - 6) Is the raw data available for review?
4. **Check the reliability of secondary data for follow-up study and monitoring.**
  - Is there going to be follow-up study at a later time by the same people who collected the secondary data?
  - Are the methods used sufficiently described to facilitate replication?

## 14.5 Who is Responsible for Data Collection?

For monitoring purposes, great care is needed in identifying roles and responsibilities, for example: who collects, who reports and who uses data or information. Too often people are required to collect or report information in which they have little interest in being accurate.

The motivation of people for collecting, reporting and acting on data or information is important. Generally, the people who complain about an issue or problem are the best ones to monitor it. The point is that it must be attractive for people to monitor a particular issue. The person collecting data or information or

### **Box 14.11: Guidelines for Supervising Data Collection**

1. Choose experienced supervisors who are careful, honest and attentive to detail.
2. Periodically review routine data, such as that collected for monitoring, and provide feedback on data quality. To promote data quality, inform those collecting data on how the data are being used to improve programme performance.
3. Observe data collectors “on the job” at least twice during the course of data collection. You may conduct “spot checks” without informing data collectors when they will be visited.
4. On a regular basis, review a sample of completed data collection instruments for completeness and compliance with procedure.
5. Be accessible to data collectors and supervisors so that questions and problems can be resolved quickly. Deal with problems as close to the point of data collection as possible so that, if needed, errors can be corrected by returning to the data collection site.

checking or reporting must see benefits of doing it accurately. Even with highly motivated people, it is important not to ask someone to collect too much information over too long a period of time. The level of accuracy goes down if too much information is expected at a stretch.

Extra checks (also called triangulation) are very important in ensuring the validity and reliability of information. Different ways of having extra checks on the monitoring information are:

- 1) Have a second person or group collect the same (or almost the same) information
- 2) Make the information as public and open as possible
- 3) Combine standard monitoring with frequent spot checks
- 4) Organize alternative ways of transmitting the information.

## 14.6 Appropriate Sampling Techniques for Monitoring and Evaluation

### What is sampling?

Sampling is a method of selecting some part of a group to represent the total group. The total group is the population while the part is the sample. The alternative to sampling is complete enumeration i.e., studying the entire population. Two things are absolutely necessary to ensure a high level of confidence that the sample represents the population:

- An unbiased sample
- A sufficiently large sample.

Bias is a statistical term which means “error”. An unbiased sample therefore implies it is “without error”, which in reality is impossible to achieve.

A representative sample of subjects is usually drawn from a population and studied to make inferences about the population. To be representative means to provide close approximation of certain characteristics of the target population, i.e., ensuring that every sector of the population has an equal chance of being represented. Socio-demographic variables such as sex, religion, education, age, marital status, income, etc. are usually considered in drawing a representative sample of people.

### Reasons for sampling

- 1) Impractical to cover entire population
- 2) Sampling reduces the length of time needed to collect data or information about social, political or economic phenomena
- 3) It helps cut cost in data collection
- 4) Quicker to obtain information
- 5) Produces more detailed and accurate information.

### Concepts in Sampling

- 1) **Population (general universe):** is an aggregate of all cases that conform to some specific set of specifications. Finite (countable units) and infinite (endless sampling units) populations
- 2) **Sampling frame (working universe):** is the concrete list of sampling units from which a sample is obtained. Three problems in sampling frames include

incomplete frames (i.e., included units in population missing from list), cluster elements (i.e., consist of city blocks rather than individuals) and blank foreign elements (i.e., sampling units of sampling frame not included in the original population).

- 3) **Sampling unit:** is either an individual or event that is constituent part of the population.
- 4) **Sampling error:** is the extent to which a given sample estimates deviates from the population value that it estimates.

Generally, at each time one chooses a sample, one of three mutually exclusive things can occur:

- the sample mean is larger than the population mean
- the sample mean is smaller than the population mean
- the sample mean is equal to the population mean.

### **Guidelines for Selecting a Sample**

- 1) Define the population
- 2) Define the sampling frame, making sure that there are no duplication and omissions
- 3) Decide on the sampling design
- 4) Determine sample size
- 5) Determine the sampling technique to use for selecting the individual elements of the population.

### **Sampling Design**

Sampling design is a plan that indicates how cases are to be selected for data collection. There are two main types of sampling designs, namely, **Probability sampling and Non-probability sampling**. Probability sampling is a process that ensures that all cases in the population have a known probability of being included in the sample. It is more scientific and more acceptable but can be expensive. A very important principle of sampling theory is that the larger the sample, the closer its mean is likely to be to the population mean.

### **Probability Sampling Methods**

This is a process that ensures that all cases in the population have a known probability of being included in the sample. It is more scientific and acceptable but can be expensive. A very important principle of sampling theory is that the larger the sample, the closer its mean is likely to be to the population mean. The main probabilistic sampling techniques that can be used to obtain members of a target population are presented below.

#### **1. Simple Random Sampling**

This is a sampling method that ensures that every member, element, or unit of the population has an equal and independent chance of being selected or included in the sampling. Two requirements are necessary for the success of this method:

- Complete list of the population
- The random selection of cases to be included in the sample by lottery method or use of random table.

## 2. Systematic Random Sampling

This method consists of selecting every  $k^{\text{th}}$  case from a complete sampling list. Two requirements must be provided:

- A sampling interval, which is the ratio of the number of cases in the population to the desired sample size
- Random start, which refers to the process of using a table of random numbers or other device to select at random the initial case between 1 and  $K$ .

For example, to obtain a sample of 100 students from a list of 2500 in a campus directory, the sampling interval is determined by dividing 2500 by 100 which is equal to 25. Then the random start is determined by considering any number between 1 and 25 and then starting with that number, every twenty-fifth student thereafter.

The advantage with this system is that it has some stratified system in-built in it. The major disadvantage is that the available population may have a period of cyclical pattern that corresponds to the sampling interval which produces systematic sample biases.

## 3. Stratified Random Sampling

This is a method whereby the population is sub-divided into two or more mutually exclusive segments, called strata, based on categories of one or a combination of relevant variables, e.g. male, female, lower and upper classes. Simple random samples are drawn from each stratum and these sub samples are put together to form the complete, stratified sample. It could be proportionate or disproportionate.

Two main advantages associated with stratified sampling technique are:

- Increases in sampling precision (efficiency) by ensuring representation of essential segments or categories of the population
- Guarantees that categories with small proportions of cases in the population are adequately represented in the sample, usually achieved through the use of disproportionate stratified random sampling.

## 4. Cluster Sampling

This is a method by which the population is broken down into cases, called clusters, and a sample of clusters is selected at random. Clusters generally consist of natural groupings, such as college dormitories or geographic units such as counties, census tracts and blocks. Unlike stratified sampling which draws cases from each stratum, clustered sampling draws cases only from those clusters selected for the sample.

Cluster sampling is called a single-stage cluster design where all the cases in each sampled cluster are included in the sample, i.e., sampling occurs once at the cluster level. The advantage of cluster sampling is that it reduces costs in data collection. It is however, less precise.

## 5. Multi – Stage Sampling

This involves sampling at two or more stages, e.g., random sampling of regions, then randomly selecting schools within the regions and randomly selecting students within the schools.

### Non-probability Sampling Methods

Non-probability sampling refers to processes of case selection other than random. The two basic weaknesses of this sampling technique are:

- No control for investigator bias in the selection of the units
- Their pattern of variability cannot be predicted from probability theory which enables the investigator to calculate the sampling error or estimate sample precision as is the case in the probability sampling method.

#### Box 14.12: Non-Probability Sampling Techniques

1. Convenience
2. Purposeful / Judgmental Sampling
3. Quota Sampling
4. Snowball Sampling

#### 1. Convenience Sampling

Convenience or accidental sample is one in which the units of the sample are selected based on their proximity or closeness at hand. For example, data collected in a classroom using students. This technique is less costly but cannot be generalized to the population at large.

#### 2. Purposeful or Judgemental Sampling

This is one that is drawn based on available information of the units that is judged to be representative of the total population. The aim is to obtain information about those members of the population exhibiting such characteristics. This method is useful for describing a phenomenon rather than in making statistically based inferences about its incidence in the population.

For example, one might want to speak only with older people to obtain a historical perspective on agricultural practices in an area, hence a purposive sample would aim to create a list of older people on whom to focus the questions (see Box 14.14) an idea on making a listing of such "key informants".

#### Box 14.13: Using Key informants in Purposive Sampling

Working with key informants helps when you are seeking in-depth information about a specialized topic (having specific skills, knowledge or roles of interest) in the project area. For instance, this can be used to carry out case studies or focus groups.

- i. Make a list of potential key informants who can answer the specific M&E question you have in mind. These include:
  - Trained experts active in the project area (e.g., doctors, economists, credit experts and agricultural scientists)
  - Government officials, such as extension staff or health workers;
  - Local leaders, such as tribal chiefs
  - Knowledgeable persons, such as shopkeepers and market traders.
- ii. Then select the informants most relevant to the question at hand. Add more informants should they come up during the interviews.

Purposeful samples may be based on critical, typical, extreme and similar cases:

- 1) **Typical cases samples:** Select units that are about average or within the mid-range in respect to the characteristics of most interest to the researcher.
- 2) **Critical cases samples:** Select units that highlight a situation of particular interest to the researcher
- 3) **Extreme cases samples:** Select units that are very high and those that are very low with respect to one or more characteristics of interest to the evaluator.
- 4) **Similar cases samples:** Select units that are very similar to some specified unit; this is primarily used in prospective researches that are aimed at determining what effects a proposed policy or project will have in a given country, region or circumstance.

### 3. Quota Sampling

This is one in which the sampling units of the strata constituting the samples are drawn based on their numerical representation of the total population. For example, sample of males and females selected on the basis of the ratios relative to the national population.

Quota sampling is useful for making comparisons and for isolating one particular aspect to be monitored or evaluated. It involves the selection of a fixed and predetermined number of units that possess a particular characteristic, which are then compared to an equal number of units that are similar but lacking in that particular characteristic of interest.

### 4. Snowball Sampling

This is the one that is drawn based on an initial identification of a small number of sampling units which are subsequently used as informants for identification and inclusion of additional sampling units of similar characteristics. This technique is appropriate where knowledge about the whereabouts of the target group is very limited. For example, one may want to study perceptions of people living with HIV and AIDS, child abusers, corrupt officials etc. People who fall in these categories may not be easily located or identified except through informal contacts. The first few to be identified constitute the sources for identifying more in a similar situation.

## 14.7 M&E Information System (GHANAINFO)

Database systems play important roles in information storing and sharing. It is an essential system for storing, analysing and presenting data captured. The GhanaInfo database system initiated by GSS and NDPC captures data on human development indicators. It delivers significant enhancements for easy access to information on human development. The system organizes data by indicators, time periods, geographic areas and sources with extensive metadata based on international standards. These data could be used by RPCU, DPCU and PPMED to make analysis and presentations on the issues pertaining to them. The system also dynamically generates tables, graphs and maps from data views, allowing the user to instantly preview them, which could also be useful to RPCU, DPCU and PPMED.

## **CHAPTER FIFTEEN (STEP EIGHT)**

### **PROCESSING AND ANALYSING MONITORING AND EVALUATION DATA**

#### **15.1 What is Data Processing?**

Data processing involves the preparation of data for analysis. The main activities include editing, coding, preparation of data file, data entry and data cleaning.

##### **1. Editing**

Editing is the process of examining the completed questionnaires and data collection sheets for correction of errors or mistakes. There are two main types of errors that can occur during data collection, namely errors of commission or omission. Editing can take place in either the field while the data collection is still on-going or back in the office of the evaluator or the person collecting data. While the former is referred to as field editing, the latter is central editing.

##### **2. Coding**

Coding involves the assignment of symbols for each category of variables in the study. For example, in survey, 'yes' may be coded '1' and 'no' coded '2'.

Coding can be done before or after the design and implementation of a survey questionnaire. This gives rise to two types of coding.

- Pre-coding: refers to those situations where the evaluator decides before starting the data collection what symbols to assign for any particular variable
- Post coding: refers to coding of data after they have been collected.

It is important to note that coded data may sometimes be recoded. Recoding involves re-assigning symbols to values that already exist. The purpose may be to collapse and reduce the number of categories for given variables. For example, age categories of respondents can be recorded into two categories "old" and "young" or educational status of respondents into "without education" and "with some education".

Traditionally, a codebook is often prepared for the data collected. The codebook serves two vital functions namely, specifies the meaning of each numeric code and indicates the column in which each variable is located. With the development of more sophisticated statistical computer application software, code books are hardly prepared in recent years.

##### **3. Preparing the Data File for Data Entry**

A data file has to be prepared for processing data. The type of data file to be prepared will depend upon the statistical computer application software to be used. There are several computer application software that can be used to process and analyse data. These include SPSS, STATA, ACCESS, EXCEL, EPI-INFO, MITAB etc. These application software vary in capabilities in terms of ability to perform sophisticated and complex statistical functions and versatility. For a relatively small project, Excel is essentially a spreadsheet software but could be

used to produce a database. It is important to be conversant with and have a working knowledge in one or more of the above mentioned software applications.

In any event, the assistance of statisticians and computer experts can be engaged at different stages of the evaluation. For the purpose of the discussion below, SPSS is used for illustration.

To prepare data for analysis, the following activities have to be undertaken:

- 1) Edit the M&E data instruments
- 2) Assign identity numbers to cases
- 3) Prepare variable lists and names
- 4) Assign codes to response categories
- 5) Assign variable names and value labels to variables
- 6) Determine the column width for the variable
- 7) Determine the type of variables (numeric versus alpha-numeric)
- 8) Assign missing values
- 9) Name the data file.

#### **4. Data Entry**

Data entry refers to the process of creating a data file and keying in the data (which include the case identity number, usually in the first column and the variable names and values across the rows). The variable and value labels, column width and type of variable are also entered in the data entry window.

#### **5. Data Cleaning**

Data cleaning involves running preliminary frequencies of all the variables to make sure those variable names and response categories/values are correct and valid. This is very important because incorrect or invalid values will introduce some margin of error into analysed data and thus making it less credible.

The need for data cleaning can be explained in terms of the likelihood of the introduction of errors into data entry process through fatigue or random error. Data entry is quite a tedious exercise and needs to be done with extreme care. It is only data that is cleaned that is said to be good for analysis.

## **15.2 Data Analysis**

Data analysis is the process of transforming data into useful information through the application of statistical methods or techniques. Depending upon the purpose of the analysis, the information generated could be depicting categories of phenomena, patterns, trends, relationships etc.

Interpretation provides meaning to the information generated as well as its substance. The results (i.e., information) of the data analysis provide the basis for conclusions to guide management decision-making.

Data analysis takes time and requires good data management techniques, creativity, intellectual rigour, hard and thoughtful work. Data analysis will be easier if the data collection instruments are well designed.

### **15.2.1 Steps in Analysing M&E Data**

- 1) Review the development intervention goal and objectives.

- 2) Check for data completeness and accuracy for each development intervention objective
- 3) Consider which of the data are quantitative and qualitative
- 4) Determine the type of analysis to be conducted.

### **15.3 Who is Responsible for Data Analysis?**

Where M&E information needs to be organized and analysed, a first option is to have the same people collect and analyse the data. These could be M&E unit staff, etc. The activity helps build capacity and a sense of ownership. People will often be more interested in taking action on the information if they have analysed it themselves. If this is not possible, then the results of the analysis should be quickly fed back to them. A quick feedback tends to stimulate considerable interest and checks the accuracy of information.

When data is collected and analysed by field workers, it is essential that they are well trained. Even with good training, interesting observations can get lost at this level. For example, the field workers may feel that certain questions are not being answered accurately. They may find unexpected and interesting answers that cannot be entered into the forms. Therefore, it is useful to provide many opportunities for feedback from the field workers and to encourage more senior personnel to take part in the data collection.

Useful information can also get lost when the person who analyses the information is not involved in collecting the data. For example in M&E information system, the data supervisors sometimes find that the information does not seem valid. This problem can be avoided, in part, if they are directly involved in some of the collection activities.

### **15.4 Types of Quantitative Data Analysis**

The type of analysis to conduct would depend upon the purpose of the monitoring and evaluation. Three broad types of analysis can be distinguished based on the purpose.

#### **15.4.1 Descriptive Analysis**

This type of analysis is used when the purpose is to provide a profile of the phenomena being monitored or evaluated. Basic descriptive statistics such as the mean, mode, median, standard deviations, range etc. are generated on the key variables or indicators being monitored or evaluated. The more interesting measure is the standard deviation, which in conjunction with the mean provides most of the information needed to describe the distribution of all cases on a given variable.

#### **15.4.2 Comparative Analysis**

This type of analysis is used when the purpose is to compare programme impact/outcome among identified groups, geographical regions or any other criteria set. Common statistical techniques used for comparisons include analysis of variances and student t-test. This level of analysis may require some appreciable knowledge in statistics to understand and interpret the results of the analysis well.

### 15.4.3 Associational Analysis

Associational Analysis involves the statistical estimation of the relationships between two or more variables. For quantitative data, most of the common associational analyses are correlation and regression analysis. These analyses are used to establish associations and cause-effects among key monitoring and evaluation indicators. For example, one may be interested in finding out if the level of education affects target group access to programme services or satisfaction with programme services.

## 15.5 Basic Analysis of Quantitative Data

This generally involves the disaggregation of data into categories to provide evidence about project achievements and to identify areas in which a programme is succeeding and/or needs improvement.

For example data can be broken down by gender, social and economic situation, education, area of residence (urban or rural), marital status, age, etc. relevant to evaluation and project objectives and indicators.

Basic descriptive analysis provides the following:

### 1. Frequency Count.

A frequency count provides an enumeration of activities, things, or people that have certain pre-specified characteristics. Frequency counts can often be categorized (e.g., 0, 1-5, 6-10, more than 10) in data analysis.

In some cases, counting provides sufficient information. For example,

- 35 out of 100 fertilizer depots did not have fertilizer for three days. The possible response or action is to check further to see if there is a breakdown in the production, delivery or other reason.
- Four spillways for the new dam have been constructed using insufficient cement in the mortar for the slabs to hold. The possible action is to fix these spillways and check others, also find out who is responsible for the construction.

### 2. Percentage

A percentage tells us the proportion of activities, things or people that have certain characteristics within the total population of the study or sample. Percentage is probably the most commonly used statistic to show the current status as well as growth over time.

Often data is reported in percentages. Percentages can be useful but they can also be misleading. Here are some typical examples:

- A report stated that only 47% of the people in community A and 53% of the people in community B could use the new technology correctly. However, given the margin of error that existed in this study; the difference may not be significant. To determine the level of significance (that is, the margin of possible error) usually requires the help of a statistician. If such a professional is not available, then it is usually more valid to pay attention to field data in which there are large differences, for example, 15% or 20% or more, not small differences as in this example.
- A report stated that 92% of people use latrines. However, the sample size was only 45 households out of 100,000 households in the project area and most of these houses were along the road where people tend to be somewhat richer.

Therefore we cannot conclude that there is a high coverage of latrines. The sample size is too small and there is a 'road effect'.

- It was stated that 8.3% of the children reportedly had diarrhoea over the past week. This means about 1 out of 12 children. It is more meaningful to use the numbers rather than the percent. This is particularly true since many field workers, staff and community members are not thoroughly familiar with percentage. Rather than say that an indicator of success is that 75% of the households have and use latrines, it is more meaningful to say 3 out of 4 households.

**Box 15.1: Basic Types of Qualitative Analysis**

- Content Analysis (how many times does something occur)
- Illustration of Situation (Using quotes, pictures, description etc.)
- Short Case study to illustrate a point

### 3. Mean

The mean is the most commonly used statistics to represent the average in research and M&E. It is derived by dividing the sum by the total number of units included in the summation. The mean has mathematical properties that make it appropriate to use with many statistical procedures.

However, one must be careful in using the mean. The mean (average) can disguise information. To illustrate, suppose that a water user group paid an instalment of GH¢130 for water installation. The group had 13 households and each household made the following contributions in GH¢: GH¢1, GH¢1, GH¢1, GH¢1, GH¢1, GH¢2, GH¢2, GH¢5, GH¢6, GH¢8, GH¢8, GH¢47 and GH¢47 respectively.

In this case, the average amount of money paid by each household in the group is GH¢10 (that is GH¢130 divided by 13). In fact, no household paid GH¢10. In this case, the mean disguised the fact that there are two extremely high payments; a couple of households paid most of the money while the rest paid much less.

The mean is strongly influenced by extreme values that can disguise information. By removing just one household that paid GH¢47 from the group, the mean will become GH¢7, which is a large reduction. The example shows a typical situation where the amount paid is pushed up by a few rich families. The families that paid GH¢47 might feel that they 'owned' the water points and may be reluctant to let other families collect water.

Another kind of average is the centre or middle of the numbers when they are lined up according to size. This is the median. The median of the contribution from the group is GH¢2. This is the better 'average' as it tells us that half of the households paid GH¢2 or less. This seems a useful definition of the centre of the distribution. The median is not so easily influenced by extreme values.

Tables, percentages and averages often give a clear picture of the sample data particularly for non-specialists and many users will only be interested in this level of analysis. In addition, measures of spread, including percentiles, standard deviations and range may add valuable information on how a variable is distributed throughout a sample population.

## 15.6 Analysis of Qualitative Data

Qualitative information relates to perceptions, judgements, attitudes and practices. For example, the quality of services, the real benefits or who makes decisions and how. The analysis of qualitative data helps broaden the view of the phenomena of interest in the result, but can also increase depth and detail, where needed. Indeed, qualitative information can illuminate complex issues such as gender, ownership and demand and can also explain the reasons behind quantitative data.

Qualitative data analysis includes detailed descriptions, direct quotations in response to open-ended questions, analysis of case studies, the transcript of opinion of groups and observations of different types. Qualitative analysis is best done in conjunction with the statistical analysis of related quantitative data.

Analysis of qualitative data may produce descriptions (patterns, themes, tendencies, trends, etc.), and interpretations and explanations of these patterns. The data analysis should include efforts to assess the reliability and validity of findings.

In analysing qualitative data, the evaluator must take note of his environment and surroundings and capture and record all the events, and take pictures and notes on all related activities. This approach helps during transcriptions and report writing. The evaluator must also report in a narrative manner with contextual description and direct quotations from respondents.

Another method for analysing qualitative data is through cognitive mapping. The evaluator may adopt mental imaging or representation of the space or layout of the setting. The evaluator can use series of psychological transformations by which individuals acquire certain attitudes and habits. The evaluator should then code, store, recall and decode information about the relative location and attributes of the phenomena in the everyday spatial environment.

## 15.7 How to Analyse Qualitative Data

### Step 1: Determine the process

The following approaches may be used for qualitative data analysis. These include: exploration, discovery and construction. With the exploration qualitative data type, the evaluator may evaluate data through the wide-angle lenses to examine the breadth and depth of the phenomena. Secondly, with the discovery approach

#### Box 15.2: Notes on how to analyse qualitative data

- Carefully review all the data.
- Organize comments into similar categories, e.g., concerns, suggestions, strengths, weaknesses, similar experiences, programme inputs, lessons learnt, recommendations, outputs, outcome indicators, etc.
- Identify patterns or associations and causal relationships in the themes, e.g., all people who attended programmes in the evening had similar concerns, most people came from the same geographic area, most people were in the same salary range, processes or events, respondents experience during the programme, etc.
- Combine the results of the quantitative and qualitative data

the evaluator may adopt the natural setting or the natural environment. Finally, with the construction qualitative data type, the evaluator may use the multiple realities approach. The multiple realities approach could be subjective or socially constructed.

In all three approaches the evaluator may analyse words, images, objects, sounds and scents. The analysis may be done through in-depth interviews, observations, reviewing notes, documents, diaries, oral history, discussion, biographies, accompanied walk, stories, archival records etc.

### **Step 2: Determine the Method**

The evaluator may select one or more of the following methods to collect data for qualitatively analysis. The methods may include: interviews, forums, durbar, focus group discussion, oral histories, accompanied walks and archival search. Other methods include biographical review, storytelling, document review and observation.

### **Step 3: Determine the instruments and equipment.**

The evaluator may use an interview or a discussion guide for the qualitative data collection. The instrument could have the following; an introduction – name of interviewer, purpose, procedures, time and location of the target participant(s). The equipment the evaluator may use includes the observation checklist, recorders, cameras and a note pad.

### **Step 4: Determine the qualitative report writing structure.**

The following qualitative report writing approaches may be used by the evaluator. These include: interpretive science, discourse analysis, critical discourse analysis, the constant comparative method and the cognitive mapping. Other writing styles may be the analytic induction, cross-site analysis, causal pathways and narrative structure.

Before writing qualitative reports there must be transcription of interviews, discussions, oral histories, music, etc. Data collection and analysis must be integrative and concurrent. The evaluator must keep memos for administrative data; he must reduce data; he must also code, transform, highlight, summarize and categorize the data.

#### **Box 15.3: Interpreting Findings**

- What do the data say or mean?
- Is the finding of any substance to talk about?
- Are there any relationships?
- How reliable and /or valid are the findings?
- What are the lessons learnt?

All qualitative data must be organized into identifiable themes, points and inductively categorized showing relationships, using diagrams and standardized presentation styles which include text, matrices, charts, tables, maps, etc.

## **15.8 Validation of the Analysed Data**

It is useful to check and validate M&E results through debriefings and feedback workshops. This can be done by asking some of the stakeholder groups (users and community members, etc.) to review critically the outcomes of the analysis. It may also be useful to extend the review process to some experts in that subject area.

Questions to pose could include:

- Do these findings reflect one's own experience?
- Do the conclusions from the analysis make sense?
- Do you have suggestions about how to improve the situation or act on the conclusions?

The feedback from these groups can be used to refine the analysis. It can also build confidence in the monitoring activities. Lastly, it can motivate the stakeholder groups to take action on the basis of the M&E information.

## **15.9 Visualizing the Findings and Conclusions**

Graphs, bar charts, pie charts, etc. are helpful in reporting data. However, since graphs can easily be made on computers, there is a tendency to misuse them by putting in too little or too much data that may not be very meaningful. The point is to show information that is important and useful.

## 15.10 Interpreting the Findings

Interpreting the findings to the analysis so as to draw conclusions involves attaching meaning to the analysis, explaining the patterns and trends observed and looking for relationships and linkages between the various factors and impacts. (See Box 15.3).

### **Box 15.3: Interpreting Findings**

- What do the data say or mean?
- Is the finding of any substance to talk about?
- Are there any relationships?
- How reliable and /or valid are the findings?
- What are the lessons learnt?

## CHAPTER SIXTEEN (STEP NINE)

### PREPARATION OF M&E REPORTS

#### 16.1 What is an M&E Report?

An M&E report is a compilation of data and information from M&E processes. The next stage after data collection, collation and analysis is reporting in various forms - oral, written, pictorial, audio visual, etc. Reporting involves the transformation from data to information with explanations, lessons and recommendations. Identifying the specific stakeholders and their information needs is critical when reporting. This informs the appropriate content, format and timing for the report. M&E staff needs to ensure that they collect and present M&E information in concise and complete reports that enables stakeholders to make timely and relevant decisions.

#### 16.2 Purpose of M&E Reports

The primary purpose of reporting is to ensure that all stakeholders are formally informed with the status of implementation of an intervention to take the necessary decisions or actions. M&E reports should provide the status of delivery of activities, outputs, outcomes and impacts as well as information on any actual potential challenges from approved work plans and budgets. M&E reports:

- Enable the assessment of progress and achievements in implementing the NDPF
- Inform and help stakeholders focus on the M&E results
- Enable the improvement of subsequent work plans
- Form the basis for evidenced-based decision-making
- Communicate effectively or efficiently how goal and objectives are being met.

#### 16.3 Types of M&E Reports

It is important to understand the types and content of M&E reports in order to put it to the right use. M&E reports can come from monitoring, evaluation or PM&E.

Monitoring reports are normally progress reports. They focus on achievements of specific targets and provide feedback on progress, emphasising the corrective actions on operations, delivery according to plan as well as the challenges. Various monitoring reports can be generated. Table 16.1 presents some examples of monitoring reports.

**Table 16. 1: Examples of monitoring reports**

Field Report	A report emanating from inspection or supervision visits
Progress Report	A periodic report comparing planned targets with actuals
Exception Report	Reports on critical incidence or high deviations
On Demand Report	A special report upon request
Output Report	A report to ascertain the delivery of specified goods and services

Evaluation reports use information to make judgements on the worth of an intervention and provide the relevance, effectiveness, efficiency, impact and sustainability of an intervention. Evaluation reports include; inception reports, mid-term reports and completion reports. Participatory M&E reports on the other hand are a combination of the results from both participatory monitoring and participatory evaluation.

Another way to classify M&E reports is to distinguish them as internal or external reports. An internal report is produced to facilitate effective and efficient implementation of an intervention. It plays a crucial role in lessons learnt to facilitate decision-making and eventually what can be extracted and reported externally. Examples of internal reports include back to office reports, field trip reports, workshop reports, minutes of meetings, etc.

An external report is produced mainly to inform stakeholders outside the intervention organization. Examples of external reports include monthly and quarterly progress reports, mid-term reports, completion reports, etc. Table 16.1 outlines some key characteristics of internal and external reports.

**Table 16. 2: Distinction between internal and external reports**

Internal reports	External reports
Primary audience is the implementing organization	Primary audience are the stakeholders outside the implementing organization
Primary purpose is to inform management and decision-makers (monitoring report)	Primary purpose is typically to highlight success and challenges and how they are being addressed for accountability, credibility, to solicit funds, etc.
Regularly in accordance with pre-determined monitoring frequencies	Less often and based on periodic assessments (evaluations)
Content is comprehensive, providing information that can be extracted for various external reports	Content is concise, typically abstracted from internal reports and focused on specific requirements and targeted audience
Format is typically pre-determined to meet what will best serve the intervention institution and its needs	Format is often determined by external requirements or preferences of intended audience (e.g. donors, beneficiaries, government, etc.)

## 16.4 Flow of M&E Reports

Effective and reliable monitoring and evaluation depend on regular and reliable flow of information vertically and horizontally. Information flow is critical for using M&E information to inform decision-making at all levels. All MDAs and MMDAs are responsible for significant amount of M&E data and reporting on indicators outlined in their medium-term development plans to assess the progress of implementation of the NDPF. NDPC has a key role in assessing the accuracy and reliability of these reports.

## 16.5 How to Write a Monitoring Report

Below are some considerations and steps to take when writing a monitoring report:

- 1) Identify the main readers or audience of the report
- 2) Understand the target population and their information needs
- 3) Determine the extent to which the findings reflect the target population
- 4) Understand the goal, objectives and indicators that were monitored
- 5) Understand the extent to which the findings can be generalized
- 6) Write the report in a simple language with visual graphics and pictures
- 7) Begin the report with the positive results
- 8) Concentrate on the results with recommendations or potential actions
- 9) Emphasise on the recommendations that are relevant to specific readers
- 10) Emphasise specific actions to be taken
- 11) If provided, follow the report format and meet all its requirements.

### 16.5.1 Example of a Progress report format

Box 16.1 presents a format that should be used to write quarterly and annual progress reports by the MDAs and MMDAs. The APR is an example of a monitoring report. It serves as the basis for performance assessment of the S/DMTDP. The report should provide an accurate update on programme and project results and identify major constraints. As a self-assessment report, it can be used to spur dialogue with DPs and other stakeholders.

The APR should contain elements of progress as outline in the format with recommendations to address any challenges.

#### Box 16.1: Quarterly and Annual Progress Reports Format

##### Title Page

- Name of the MDA/MMDA
- Time period for the M&E report

##### Introduction

- Summary of achievements and challenges with the implementation of the S/DMTDP
- Purpose of the M&E for the stated period
- Processes involved and difficulties encountered

##### M&E Activities Report

- Programme/Project status for the quarter or Year
- Update on funding sources and disbursements
- Update on Indicators & Targets
- Update on Critical Development and Poverty Issues
- Evaluations conducted; their findings and recommendations
- Participatory M&E undertaken and their results

##### The Way Forward

- Key issues addressed and those yet to be addressed
- Recommendations

### 16.5.2 How to write an M&E Field Trip Report

This section describes the main content and layout for an M&E field trip report. Each field visit should result in a short report that should include the following information:

- 1) Objectives of the field trip
- 2) People and groups met and sites visited
- 3) Methods used to collect and analyse the data
- 4) Findings
- 5) Comparison of findings with those of earlier visits – to show trends and consistency

- 6) Conclusions
- 7) Recommendations for action

## 16.6 How to Write an Evaluation Report

It is useful to start the preparation of the report before data collection. For example, materials for the background section, information about the intervention and some aspects of the methodology, evaluation questions, etc. can be found in the evaluation TOR or proposal. The evaluation findings, conclusions, and recommendations generally need to wait till the end of the evaluation.

Evaluations generate huge amount of information. Therefore, it is useful to organize evaluation data and field notes as soon as they are collected and to document fieldwork experiences and observations as soon as possible. Thus, preparing sections of the findings during the data collection allows one to generate preliminary conclusions or identify potential trends that need to be assessed by additional data collection activities. Other information and considerations include the following:

### 1. Organise the various elements of the report

One of the most challenging tasks that evaluators face is how to organize the huge amount of data gathered into a useful, concise and interesting report. It is useful to remember that only a small and concise amount of tabulations prepared during the analysis phase should be in the report. A report outline will help in classifying information. Always be guided by the key evaluation questions, the indicators being assessed and the type of information that the target audience need.

### 2. Make clear, concise and direct recommendations

Examples of ways to make recommendations:

- 1) Ways to improve the current management regime include the following:
- 2) Actions needed to increase effectiveness include the following:
- 3) Actions needed to improve monitoring processes include the following:
- 4) Areas for further assessments include the following:

### 3. Write to suit specific readers

The level and content of evaluation reports depend on whom the report is intended, e.g., donors, policy makers, staff, beneficiaries, the general public, etc. The write-up in the report must therefore be clear and adjusted to suit the target group.

### 4. Make the report easy to read and absorb

The presentation must be made in simple language that can be understood by non-professionals. The following is a list of suggestions that might help in making the report easier to read:

- 1) The first sentence of each paragraph should be used to make the main point
- 2) The structure of the report should be simple. The text should be broken down in relatively small thematic or sequential parts, with simple and clear subtitles identifying the topics discussed.
- 3) Display your data in graphs, diagrams, illustrations and tables that summarize numbers. This should reduce the amount of text needed to describe the results and make it more interesting to read.
- 4) Briefly explain the graphs or illustrations focusing on the important points that relate to the issues presented

- 5) Use of qualitative information effectively makes the report more interesting. In addition, direct quotes, short examples and comments heard during fieldwork personalize the findings.
- 6) Use simple language that the readers will understand. Avoid the use of long and complicated sentences, unclear jargon and/or difficult words. Important technical terms should be defined in the text or in the glossary at the end of the report.
- 7) Different ideas should be presented in separate sentences
- 8) The meaning of abbreviations and colloquial words should be explained.
- 9) Simple link words should be used to split sentences and indicate the direction in which the argument is moving
- 10) Every table must have a title, table number and a reference to the source of information
- 11) Use evaluation report formats provided by the client institution or financier

### 16.6.1 Evaluation format

A general format for an evaluation report is presented in Table 16.2. This can be adapted to suit any evaluation where formats are not provided.

**Table 16. 3: General evaluation report format**

Evaluation Report Format
1. Title page
2. Table of Contents
3. Acknowledgments (optional)
4. Executive Summary
<ul style="list-style-type: none"> <li>• Summarize the intervention being evaluated, the purpose of the evaluation, the methods used, the major findings and the recommendations in a prioritised order</li> <li>• Two to three pages (usually) that could be read independently without reference to the rest of the report</li> </ul>
5. Introduction
<ul style="list-style-type: none"> <li>• Identify programme or project description and background</li> <li>• Describe the programme or project being evaluated (the setting and problem addressed, objectives and strategies, funding)</li> <li>• Summarize the evaluation context (purposes, sponsors, composition of the of the team, duration)</li> </ul>
6. Evaluation Objectives, Design and Scope
<ul style="list-style-type: none"> <li>• List the evaluation objectives including the questions the evaluation was designed to answer</li> </ul>
7. Methodology
<ul style="list-style-type: none"> <li>• Describe fully the evaluation methods and instruments (e.g., what data were collected, specific methods used to gather and analyse the data, rationale for visiting selected sites, etc.)</li> <li>• Limitations of the evaluation</li> </ul>
8. Findings
<ul style="list-style-type: none"> <li>• State findings clearly with data presented graphically in tables and figures. Include effects of the findings on achievement of programme/project</li> <li>• Explain the comparisons made to judge whether adequate progress was made</li> <li>• Identify reasons for accomplishments and failures, especially continuing</li> </ul>

constraints
9. Recommendations
<ul style="list-style-type: none"> <li>List the recommendations for different kinds of users in priority order. Include costs of implementing them, when possible</li> </ul>
<ul style="list-style-type: none"> <li>Separate recommendations into short term and long term</li> </ul>
<ul style="list-style-type: none"> <li>Link recommendations explicitly with the findings, discussing their implication for decision-makers</li> </ul>
<ul style="list-style-type: none"> <li>Include a proposed timetable for implementing/reviewing recommendations</li> </ul>
10. Lessons Learned
<ul style="list-style-type: none"> <li>Identify lessons learned from this evaluation for those planning, implementing or evaluating similar activities</li> </ul>
11. Appendices
<ul style="list-style-type: none"> <li>Terms of Reference.</li> </ul>
<ul style="list-style-type: none"> <li>Instruments used to collect data/information (copies of questionnaires, surveys, etc.)</li> </ul>
<ul style="list-style-type: none"> <li>List of persons interviewed and sites visited.</li> </ul>
<ul style="list-style-type: none"> <li>Data collection instruments.</li> </ul>
<ul style="list-style-type: none"> <li>Case studies.</li> </ul>
<ul style="list-style-type: none"> <li>Abbreviations.</li> </ul>
<ul style="list-style-type: none"> <li>Any related literature.</li> </ul>
<ul style="list-style-type: none"> <li>Other data/ tables not included in the findings chapter</li> </ul>

## 16.7 Criteria for Assessing the Quality of M&E Reports

A well-presented M&E report is critical for effective decision-making. An M&E report can only increase the knowledge on an intervention and reduce uncertainty if it is of quality. The word ‘quality’ refers to the characteristics that an M&E report should contain in order for it to be useful for effective decision-making. Below are some criteria for assessing M&E reports:

- 1) **Relevant and useful** - should serve a specific purpose
- 2) **Concise** – information overload is costly and can be a burden on information flow
- 3) **Timely** - should be timely for its intended use. Information is of little value if it is too late or infrequent for its intended purpose.
- 4) **Complete** - It is especially important that a report meets all the requirements of a specific format
- 5) **Reliable** - should provide an accurate representation of the facts
- 6) **Easy to read** – should be written in a simple language and some information conveyed using graphs, charts and other diagrams to make it easily absorbed
- 7) **Consistent** - should adopt units and formats that allow comparison over time, enabling progress to be tracked against indicators and targets
- 8) **Cost-effective** - should warrant the time and resources devoted to it, balanced against its relevance and use

## CHAPTER SEVENTEEN (STEP TEN)

### DISSEMINATION AND COMMUNICATION OF M&E RESULTS

#### 17.1 What is Dissemination and Communication

Dissemination is the method of spreading information, knowledge, etc. so that it reaches many people. Dissemination of M&E results means that stakeholders get the right information in a timely manner and in the right format.

Communication is the method of exchanging information using different means and media (speaking, writing, etc.). Good communication is characterised by a clear purpose, content, reliable sources, and effective transmission channel and is effectively delivered to M&E stakeholders.

#### 17.2 Purpose of Dissemination and Communication

The main purpose of disseminating and communicating M&E results is to:

- 1) Ensure accountability
- 2) Motivate stakeholders to action
- 3) Improve development interventions
- 4) Advocate for additional resources
- 5) Promote understanding
- 6) Explore and investigate what happened and why
- 7) Promote organisational learning.

##### Box 17.1: Dissemination and Communication checklist

1. What is the best time to disseminate and communicate M&E results?
2. What is the message?
3. Who is the audience?
4. What is the best way to communicate?

*Source: M&E Handbook for Business Environment Reform, 2008*

Successful dissemination and communication of M&E results is dependent on stakeholder involvement, adequate budgetary resources and an effective dissemination and communication strategy. Further a good dissemination and communication strategy will ensure that the stakeholders receive the M&E results that are relevant to their specific needs and provide the necessary feedback.

#### 17.3 Dissemination Strategy

Disseminating M&E results to all stakeholders is often complex because of the different audiences and their information needs. The most commonly used formats are written reports, oral presentations, press releases, fact sheets and slide or computer presentations. These formats differ in length, detail and the amount of technical information. Below are some common elements to consider when disseminating M&E results:

- Logical organization
- Direct and concise language
- Use of appropriate illustrations and examples

Written reports combined with visual aids are effective means of disseminating results. Written reports can be used to provide updates on development progress, findings and recommendation, maintain an internal record of M&E findings for staff etc. Oral presentations on the other hand provide a direct and concise overview of findings and allow for discussions. Fact sheets are especially effective for advocacy, conveying message to policy makers and others who do not have the time to read longer reports.

There are varied forms of disseminating M&E results to stakeholders and implementing agencies. Some of the common methods include;

- Newsletters
- Press releases
- Flyers/brochures
- Website
- E-mails
- The new media
- Etc.

Table 17.1 gives an example of a dissemination strategy

**Table 17. 1: Example of a Dissemination Strategy**

<b>Target Audiences</b>	<b>Key Messages</b>	<b>Dissemination Strategies/Tools</b>
<b>Parliament, Office of the President, Ministers, Council of State</b>	Easily digestible facts and figures about what has been achieved, proving change and relating it to the intervention	<ul style="list-style-type: none"> <li>• Presentations</li> <li>• Web sites and electronic reports</li> <li>• Media reports - newspaper, radio, TV</li> <li>• Policy framework</li> <li>• Development plans</li> <li>• Formal reports</li> <li>• Fact sheets</li> <li>• Town Hall meetings</li> </ul>
<b>MDAs, RCCs, RPCUs, MMDAs</b>	<ul style="list-style-type: none"> <li>• Key milestones achieved where efforts have made a difference</li> <li>• Challenges</li> <li>• Advocate for policy change, solicit for resources to complete other programmes or projects</li> <li>• coordination among institution</li> </ul>	<ul style="list-style-type: none"> <li>• Presentations to staff</li> <li>• Feedback at staff appraisals</li> <li>• Organization/institutional website</li> <li>• Media reports newspaper, radio TV</li> <li>• Formal reports</li> <li>• Policy framework</li> <li>• Development plans</li> </ul>
<b>Local communities, TAs, CSOs, the Media, Development Partners, NGO'</b>	<ul style="list-style-type: none"> <li>• Increase public awareness</li> <li>• Key milestones achieved where efforts have made a</li> </ul>	<ul style="list-style-type: none"> <li>• Briefing notes</li> <li>• Presentations to associations</li> <li>• Official visits</li> <li>• simplified versions of</li> </ul>

Target Audiences	Key Messages	Dissemination Strategies/Tools
	difference	<ul style="list-style-type: none"> <li>development plans and formal reports</li> <li>• newspapers, radio, TV</li> <li>• Newsletters- hard copy &amp; electronic</li> <li>• Websites &amp; electronic reports</li> </ul>
<b>Researchers and Academia Institution, Professional Associations</b>	<ul style="list-style-type: none"> <li>• Provide lessons</li> </ul>	<ul style="list-style-type: none"> <li>• Formal reports</li> <li>• Web sites &amp; electronic reports</li> <li>• Policy framework</li> <li>• Development plan</li> </ul>
<b>Private sector organizations, Consultants</b>	<ul style="list-style-type: none"> <li>• Successful reforms</li> </ul>	<ul style="list-style-type: none"> <li>• Written reports</li> <li>• Executive summary briefing notes</li> <li>• Presentations – conferences /business</li> <li>• seminars</li> <li>• Official visits to...</li> <li>• simplified versions of development plans and formal reports</li> <li>• Media reports</li> <li>• Research journal papers</li> <li>• Case studies</li> <li>• Newsletters- hard copy &amp; electronic</li> </ul>

Adapted from National M&E Plan (2010-2013)

## 17.4 Communication of M&E Results

Communication is an essential tool for creating and sustaining the demand for M&E results and moving relevant stakeholders to action. Communication of M&E results to stakeholders is often complex because different audiences will have different information needs. Thus before beginning to plan about communicating results, the following steps must be considered:

- 1) Identify target audiences and their information needs
- 2) Collect stakeholder contact information
- 3) Determine types of products that meet the audience's information needs
- 4) Identify language requirements per product and audience
- 5) Determine efficient forms and methods
- 6) Monitor feedback and measure results of communication efforts

All stakeholders should have the opportunity to know the progress of implementation and to respond to initial findings on outcomes, challenges and solutions. Before communicating findings, discuss draft findings with implementing partners and primary stakeholders in order to get feedback on accuracy, reach joint conclusions and agree on next steps. Once findings are agreed, communicate findings to government institutions and (if possible) donors and other primary institutions.

### Media for communicating findings

Four types of media are commonly used to communicate M&E findings:

1. **Written reports** - progress report, evaluation report, PM&E report, briefs and newsletters can be produced to communicate M&E results.
2. **Oral report** - findings can be communicated more effectively verbally than by other means. Speaking directly to a target audience provide a quicker and more flexible way to convey the message. When conducted well, face-to-face contact can lead to greater understanding and more frank discussions on the findings.
3. **Visual displays** - visual displays, such as graphs or charts showing trends or maps, help illustrate and supplement data in reports or oral presentations. Photographs or video images can also be used.
4. **Electronic communication** - access to and use of e-mail and the internet, allows rapid communication of findings to stakeholders. Information can be communicated by e-mail or by building specific web-sites containing links to all M&E information.

### Communication channels

Table 17.2 shows the various channels for communicating M&E results.

**Table 17. 2: Communication Channels**

<b>Informal</b>	<b>Formal</b>
Phone Calls	Briefs
Quick Faxes	Presentations
Internal Correspondences	Workshop, Seminar
Gong-gong beater	Press Conference
Print and electronic media	Articles in Journals
	Website

A communication strategy is essential when planning to do M&E. the strategy should identify who needs to receive the M&E results, in what format and at what time. Table 17.2 is an example of a communication strategy, communication tools and channels to meet the need of specific stakeholders at different times.

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## ADDITIONAL USEFUL INTERNET RESOURCES (Adapted from UNEG Report 2013)

### Norms and Standards for Evaluation (Chapter Four)

- Norms for evaluation in the UN system, UNEG, 2005 (updated 2011) [http://www.uneval.org/papersandpubs/documentdetail.jsp?doc\\_id=21](http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=21)
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- CES guidelines for ethical conduct, Canadian Evaluation Society – Available at: <http://www.evaluationcanada.ca/>
- Competencies for evaluators; professional designation, Canadian Evaluation Society. Available at: <http://www.evaluationcanada.ca/>

### International Training Programmes

#### 1. International Program for Development Evaluation Training (IPDET)

IPDET, co-sponsored by the World Bank and Carleton University, offers training annually in June in Ottawa, Canada. Options include a two-week core course, learning the fundamentals of development evaluation, followed by two weeks of optional workshops covering some 25 subject areas. ([www.ipdet.org](http://www.ipdet.org))

#### 2. Centre for Learning on Evaluation and Results (CLEAR)

The centres are intended to provide demand-driven and regionally-based services for the benefit of government agencies, civil society organizations, development institutions & donors, among other clients. Services to include: (i) training; (ii) advisory services and (iii) evaluation capacity building

- There are five CLEAR centres – See [www.theclearinitiative.org](http://www.theclearinitiative.org) Anglophone Africa - University of Witwatersrand in South Africa
- Francophone Africa – Centre Africain d’Etudes Supérieures en Gestion (CESAG) in Senegal
- South Asia – Jameel Poverty Action Lab at the Institute for Financial Management and Research in India

### **Professional Associations – Evaluation Networks**

- International Development Evaluation Association (IDEAS) [www.ideas-int.org](http://www.ideas-int.org)
- International Organization for Cooperation in Evaluation [www.ioce.net](http://www.ioce.net)
- African Evaluation Association (AfrEA) <http://www.afrea.net/aboutafrea.html>
- American Evaluation Association (AEA) [www.eval.org](http://www.eval.org)
- Australasian Evaluation Society (AES) [www.aes.asn.au](http://www.aes.asn.au)
- Brazilian Monitoring & Evaluation Network <http://redebrasileirademea.ning.com/>
- Canadian Evaluation Society (CES) [www.evaluationcanada.ca](http://www.evaluationcanada.ca)
- Danish Evaluation Society [www.danskevalueringsselskab.dk](http://www.danskevalueringsselskab.dk)
- Dutch Evaluation Society [www.videnet.nl](http://www.videnet.nl)
- European Evaluation Society (EES) [www.europeanevaluation.org](http://www.europeanevaluation.org)
- Finnish Evaluation Society [www.tsv.fi/jasenseurat/details.php?id=279](http://www.tsv.fi/jasenseurat/details.php?id=279)
- French Evaluation Society [www.sfe-asso.fr/](http://www.sfe-asso.fr/)
- German Society for Evaluation Standards [www.degeval.de](http://www.degeval.de)
- Ghana Monitoring and Evaluation Forum <http://www.ghmeforum.org/>
- International Program Evaluation Network Russia and newly independent states) [www.eval-net.org](http://www.eval-net.org)
- Israeli Association for Program Evaluation [www.iape.org.il](http://www.iape.org.il)
- Italian Evaluation Association [www.valutazioneitaliana.it/new/](http://www.valutazioneitaliana.it/new/)
- Japan Evaluation Society <http://evaluationjp.org/english/index.html>
- Malaysian Evaluation Society [www.mes.org.my](http://www.mes.org.my)
- Polish Evaluation Society [www.pte.org.pl](http://www.pte.org.pl)
- Red de Evaluación de America Latina y el Caribe <http://noticiasrelac.ning.com/>
- South African Monitoring and Evaluation Association [www.samea.org.za](http://www.samea.org.za)

### **On-line Evaluation Resource Libraries**

- My M&E- [www.mymande.org](http://www.mymande.org)
- Online Evaluation Resource Library (OERL) – [www.oerl.sri.com](http://www.oerl.sri.com)
- WBI Capacity Development and Results – [www.worldbank.org/capacitydevelopment](http://www.worldbank.org/capacitydevelopment)

## ANNEXES

### ANNEX A: Glossary of M&E Concepts and Terms

Term	Definition
<b>A</b>	
Accountability	Obligation of government, public services or funding agencies to demonstrate to citizens that contracted work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis-à-vis mandated roles and/or plans. This may require a careful, even legally defensible, demonstration that the work is consistent with the contract terms. Projects commonly focus on upward accountability to the funding agency, while downward accountability involves making accounts and plans transparent to the primary stakeholders. Ensuring accountability is one part of the functions of monitoring and evaluation (learning and management are the other two).
Activity	Actions taken or work performed in a project to produce specific outputs by using inputs, such as funds, technical assistance and other types of resources.
<b>B</b>	
Baseline information	Information is usually consisting of facts and figures collected at the initial stages of a project that provides a basis for measuring progress in achieving project objectives and outputs.
Benchmark	Reference point or standard against which performance or achievements can be compared. A benchmark might refer to what has been achieved in the past, by other comparable organisations, or what could reasonably have been achieved under the circumstances.
Beneficiary Assessments	A Beneficiary Assessment focuses on understanding the opinions of service users on the quality, relevance and benefits of policies, programmes and projects during and after their implementation.
<b>E</b>	
Effectiveness	A measure of the extent to which a project attains its objectives at the goal or purpose level; i.e. the extent to which a development intervention has attained, or is expected to attain, its relevant objectives efficiently and in a sustainable way.
Efficiency	A measure of how economically inputs (funds, expertise, time, etc.) are converted into outputs.
Evaluation	A systematic (and as objective as possible) examination of a planned, on-going or completed project. It aims to answer specific management questions and to judge the overall value of an endeavour and supply lessons learned to improve future actions, planning and decision-making. Evaluations commonly seek to determine the efficiency, effectiveness, impact, sustainability and the relevance of the project or

	organisation's objectives. An evaluation should provide information that is credible and useful, offering concrete lessons learned to help partners and funding agencies make decisions.
<b>G</b>	
Goal	The higher-order programme or sector objective to which a development intervention, such as a project, is intended to contribute. Thus it is a statement of intent.
<b>I</b>	
Impact	The changes in the lives of people, as perceived by them and their partners at the time of evaluation, plus sustainability-enhancing change in their environment to which the project has contributed. Changes can be positive or negative, intended or unintended
Impact Assessment	Impact assessment is a generic term that includes Social, Economic and Environmental Impact Assessment (EIA) as well as Strategic Environmental Assessment (SEA). It is a comprehensive process and assessment tool used to ensure that programmes, projects and policies are economically viable, socially equitable and environmentally sustainable. Impact assessment should also take into account policy impacts in relation to gender equality and women empowerment.
Indicator	Quantitative or qualitative factor or variable that provides a simple and reliable basis for assessing achievement, change or performance. A unit of information measured over time that can help show changes in a specific condition. A given goal or objective can have multiple indicators.
Information management system	A system of inputting, collating and organising data using a computer software to provide selective data and reports to assist in monitoring and controlling the project organisation, resources, activities and results.
Input	The financial, human and material resources necessary to produce the intended outputs of a project.
<b>M</b>	
Mid-term evaluation	An external evaluation performed towards the middle of the period of implementation of the project, whose principal goal is to draw conclusions for reorienting the project strategy.
Monitoring	The regular collection and analysis of information to assist timely decision-making, ensure accountability and provide the basis for evaluation and learning. It is a continuing function that uses methodical collection of data to provide management and the main stakeholders of an on-going project or programme with early indications of progress and achievement of objectives.
M&E matrix	A table describing the performance questions, information gathering requirements (including indicators), reflection and review events with

	stakeholders, and resources and activities required to implement a functional M&E system. This matrix lists how data will be collected, when, by whom and where.
<b>O</b>	
Objective	A specific statement detailing the desired accomplishments or outcomes of a project or programme at different levels (short to long term). A good objective meets the criteria of being impact oriented, measurable, time limited, specific and practical.
Outcome	The results achieved at the level of "purpose" in the objective hierarchy.
Outputs	The tangible (easily measurable, practical), immediate and intended results to be produced through sound management of the agreed inputs. Examples of outputs include goods, services or infrastructure produced by a project and meant to help realise its purpose.
<b>P</b>	
Participation	One or more processes in which an individual (or group) takes part in specific decision-making and action, and over which s/he may exercise specific controls. It is often used to refer specifically to processes in which primary stakeholders take an active part in planning and decision-making, implementation, learning and evaluation. This often has the intention of sharing control over the resources generated and responsibility for their future use.
Participatory Monitoring and evaluation	A broad term for the involvement of primary and other stakeholders in monitoring and evaluation.
<b>S</b>	
Strategic Evaluation	An evaluation of a particular issue aiming to advance a deeper understanding of the issue and reduce the range of uncertainties associated with the different options for addressing it. Strategic Evaluation is done when the urgency of an issue poses high risks to stakeholders or has generated conflicting views. A study of this nature will help to reach an acceptable working agreement among the parties concerned.
<b>T</b>	
Target	A specified objective that indicates the number, timing and location of that which is to be realised.
Thematic Evaluation	A Thematic Evaluation or Study is used to assess the effectiveness of thematic policies, programmes and projects from the experiences gained during implementation of sector strategies.
<b>V</b>	

Validity	The extent to which something is reliable and actually measures up to or makes a correct claim. This includes data collection strategies and instruments.
Validation	The process of cross-checking to ensure that the data obtained from one monitoring method are confirmed by the data obtained from a different method.

## ANNEX B: Example of Core District Indicators

	Indicator (Categorised by GPRS II Thematic Areas)	National Baseline (2005)	National Target (2009)
	<b>PRIVATE SECTOR COMPETITIVENESS</b>		
1.	Percentage (%) increase in yield of selected crops, livestock and fish	Maize = 0.35 Rice(milled) =0.06 Cassava =0.52 Yam =0.45 Pineapple = 0.10 Pawpaw = 0.07 Mango = 0.07 Banana = 0.05	0.52 1.56 0.76 0.65 0.14 0.09 0.10 0.09
2.	Proportion/length of roads maintained/Rehabilitated - Trunk Roads (in km) - Urban Roads (in km) - Feeder Roads (in km)	12,127 2,972 17,117	13,260 5,173 26,913
3.	% change in number of households with access to electricity	1,313,825	Increase by 12%
4.	Hectares of degraded forest, mining, dry and wet lands rehabilitated/restored: a. Forest b. Mining c. Dry and wetland	10,000 ha (Govt/Private) -Small scale: 205 ha -Large scale:Na	20,000 ha
5.	% increase in tourist arrivals	10%	14%
6.	Teledensity/Penetration rate:	15% Fixed Line 1.7% Mobile 13.3%	30%
	<b>HUMAN RESOURCE DEVELOPMENT</b>		
7.	HIV/AIDS prevalence rate (% of adult population, 15-49 yrs. HIV positive)	3.4%	
8.	Maternal Mortality ratio (Number of deaths due to pregnancy and childbirth per 100,000 live births)	214	
9.	Under-five mortality rate (Number of deaths occurring between birth and exact age five per 1000 live births)	111	
10.	Malaria case fatality in children under five years per 10,000 population	2.8%	
11.	Percent of population with sustainable access to safe water sources <sup>1</sup>	57%	60%
12.	<b>a. Gross Enrolment Rate</b> (Indicates the number of pupils/students at a given level of schooling-regardless of age-as proportion of the number children in the relevant age group) - Primary - JSS - SSS <b>b. Net Admission Rate in Primary Schools</b> (Indicates Primary One enrolment of pupils aged 6 years)	87.50% 72.80% 25.58% 26.20%	99.00% 86.60% 30.90%
13.	<b>Gender Parity Index</b> (Ratio between girls' and boys' enrolment rates, the balance of parity is 1.00)	KG 0.98, Primary 0.93, JSS 0.88, SSS	KG 1.00, Primary 1.00, JSS 1.00, SSS

<sup>1</sup> CWSA defines access to safe water to include the following elements:

1. Ensuring that each person in a community served has access to no less than 20 litres of water per day
2. Ensure that walking distance to a water facility does not exceed 500 meters from the furthest house in the community
3. That each sprout of borehole or pipe system must serve no more than 300 persons and 150 for a hand dug well
4. The water system is owned and managed by the community
5. Water facility must provide all year round potable water to community members

Indicator (Categorised by GPRS II Thematic Areas)		National Baseline (2005)	National Target (2009)
		43.50%, TVET 85.90%	46.0% TVET 31.4%
14.	Proportion of unemployed youth benefiting from skills/apprenticeship and entrepreneurial training		
	<b>GOOD GOVERNANCE AND CIVIC RESPONSIBILITY</b>		
15.	Total amount of internally generated revenue		
16.	Amount of Development Partner and NGO funds contribution to DMTDP implementation		
17.	% of DA expenditure within the DMTDP budget (How much of DA's expenditure was not in the annual budget?)		
18.	Number of reported cases of abuse (children, women and men)		
19.	Police citizen ratio	1:925	1:500 (UN Ratio)

## ANNEX C: Proposed Programme for Preparing a Sector M&E Plan

	<b>PLAN PREPARATION ACTIVITIES</b>	<b>PARTICIPANTS</b>	<b>KEY OUTPUTS</b>
1.	1 <sup>ST</sup> Meeting to map out the way forward, draw a budget and do stakeholders analysis	PPMED, Chief Director, Sector Minister, other Heads of Departments	<ul style="list-style-type: none"> <li>• <b>Budget for the M&amp;E plan preparation</b></li> <li>• <b>Stakeholders identified and analysed</b></li> </ul>
2.	2 <sup>nd</sup> Meeting to assess the M&E needs and conditions in the sector	PPMED, other Heads of Departments and representatives from key stakeholder groups	<ul style="list-style-type: none"> <li>• <b>M&amp;E challenges and solutions identified and discussed</b></li> </ul>
3.	Two-day workshop to select sector specific indicators, establish baselines and targets and to produce the M&E matrix	PPMED, other Heads of Departments and representatives from stakeholder groups. It is very important to have a facilitator who is up to the task.	<ul style="list-style-type: none"> <li>• <b>Complete list of the sector indicators (both core and sector specific indicators)</b></li> <li>• <b>The sector M&amp;E matrix</b></li> </ul>
4.	Two-day workshop to develop the M&E calendar and the budget.	PPMED, other Heads of Departments and representatives from stakeholder groups. It is very important to have a facilitator who is up to the task.	<ul style="list-style-type: none"> <li>• <b>M&amp;E calendar (work plan)</b></li> <li>• <b>M&amp;E budget for the SMTDP</b></li> </ul>
5.	Two-day workshop to work on steps 7 to 10, evaluations and participatory M&E; i.e. how to collect, collate, validate and analyse data. How to use M&E results, report and disseminate the reports, etc.	PPMED, other Heads of Departments and representatives from stakeholder groups It is very important to have a facilitator who is up to the task.	<ul style="list-style-type: none"> <li>• <b>Write-up on steps 7,8,9 and 10</b></li> <li>• <b>Write-up on evaluations and the PM&amp;E to be carried out</b></li> <li>• <b>Dissemination strategy</b></li> </ul>
6.	Collation of all the reports from the meetings and workshops into the draft M&E plan	Director of PPMED	<ul style="list-style-type: none"> <li>• <b>1<sup>st</sup> Draft M&amp;E Plan</b></li> </ul>
7.	Meeting to review the first draft M&E Plan	PPMED, Chief Director, Sector Minister, Other Heads of Departments	<ul style="list-style-type: none"> <li>• <b>2<sup>nd</sup> Draft M&amp;E Plan</b></li> </ul>
8.	Meeting with a wide range of stakeholders to present the 2 <sup>nd</sup> draft M&E Plan	Secretary and representatives from all stakeholder groups	<ul style="list-style-type: none"> <li>• <b>3<sup>rd</sup> Draft M&amp;E Plan</b></li> </ul>
9.	Public hearing on the 3 <sup>rd</sup> Draft M&E Plan	PPMED, other Heads of Departments and general public	<ul style="list-style-type: none"> <li>• <b>4<sup>th</sup> Draft M&amp;E Plan</b></li> </ul>
10	4 <sup>th</sup> M&E Draft Plan submitted to NDPC	Director of PPMED	<ul style="list-style-type: none"> <li>• <b>Feedback from NDPC</b></li> </ul>
11	Comments discussed and changes made to the draft	PPMED, Other Heads of Departments and general public	<ul style="list-style-type: none"> <li>• <b>Final M&amp;E Draft Plan</b></li> </ul>
12	Draft submitted to sector Minister for approval (together with the SMTDP) for submission to NDPC	Chief Director and Sector Minister	<ul style="list-style-type: none"> <li>• <b>APPROVED SMTDP AND M&amp;E PLAN</b></li> </ul>
13	M&E plan implementation	PPMED, Other Heads of Departments and stakeholders	<ul style="list-style-type: none"> <li>• <b>Quarterly and Annual Progress Reports</b></li> </ul>

## **ANNEX D: Sample Terms of Reference for an Evaluation**

### **Terms of Reference for the Outcome Evaluation of the UNICEF Country Programme (1999 – 2009)**

#### **Introduction**

UNICEF will undertake an evaluation to assess the outcomes of the 1999 – 2004 (Master Plan of Operation) and 2005-2009 Country Programme Action Plan (CPAP). The outcome evaluation will build upon evidence from the reviews and project evaluations conducted from 2000 to 2009.

The outcome evaluation seeks to assess UNICEF's contributions to Philippines Medium-term Development Goals. It will examine the gaps in the implementation of the fifth and sixth CPAP. The results will further inform the next round of CCA-UNDAF 2012-2016 and the formulation of the UNICEF Country Programme Document (CPD).

#### **Background:**

The country programme has been implementing a format of the child friendly movement (integrated / multi-sectoral approach) in 19 provinces and 5 cities, along with more general support to national programmes since 1999, CPC-5. The programme comes to an end at December 2009, and so this would now be an important opportunity to evaluate what results have been achieved over a ten year period of similar programme format. Although, there has been an evaluation of CPC 5 (1999-2003), it has been of limited scope. This is why it is now being proposed to evaluate CPC 5 and 6.

At mid-term CPC-6 in 2007, an attempt was made to evaluate the child friendly movement as a programme delivery vehicle, as well as assessing processes and results on capacity building and completing individual programme specific studies which would feed into technical evaluations at Mid-term. The studies and evaluations reached the expected standards. However, the child friendly movement report explicitly mentions that more time would have been required for a thorough analysis on the results actually achieved.

By 2009, a decision was also reached to extend CPC 6 by two years (2010-2011) to synchronize the timeframe of UN Country Programme with that of the Philippine medium-term planning.

Based on the above, it is proposed to conduct an outcome evaluation to arrive at a comprehensive report covering results achieved in both CPC-5 and 6 with the child friendly movement.

#### **Country Programme Action Plan (2005 – 2009)<sup>i</sup>**

In 2005, the Government of the Philippines (GoP) and the United Nations Children's Fund (UNICEF) signed a cooperation agreement called the Sixth Country Programme for Children (CPC 6). CPC 6 runs from 2005 to 2009. This integrated multi-sectoral programme provides interventions in 24 focus local government units (LGU) and supports the child rights-based policy advocacy and social services delivery systems of the national government. It has six components namely Health and Nutrition, Education, Child Protection, HIV and AIDS, Communication, Social Policy and Local Development.

The aim of CPC 6 is to reduce the gap between the focus areas and the rest of the country in the performance on key child rights indicators. CPC 6 uses the Child-Friendly Movement (CFM) as a conceptual framework in promoting the rights of children and women and pursuing disparity reduction in the most disadvantaged communities. Specific strategic results, outcomes and outputs were identified at the start of the CPC 6 in the Country Programme Action Plan (CPAP). CPC 6 was designed to promote the Child-Friendly Movement (CFM). The CFM is intended to be a social movement for the realization and protection of the rights of children. It puts children at the center of any development undertaking. CPC 6, therefore, contributes to the progress of the Child-Friendly Movement in the Philippines.

**There are six program components of the sixth country program action plan to address children rights and well-being with the following goals<sup>ii</sup>:**

1. By the end of 2009, 40 percent of residents in the focus areas have a basic understanding of the Convention on the Rights of the Child (CRC), and all policy and decision makers in the focus areas commit to create a safe, healthy, and protective environment for and with all children, especially those in the poorest communities.
2. By 2009, infant and under-five mortality rates in the focus areas are reduced by 30 per cent; child and maternal under-nutrition by 20 per cent from 2005 levels. The Health and Nutrition programme aims to achieve full immunization coverage of over 90 per cent and universal salt iodization coverage by 2006, reduce rates of low birth weight, stunting, and maternal anemia by 20 per cent, and increase the exclusive breastfeeding rate up to six months and the proportion of births attended by skilled health personnel by 30 per cent. The programme set that by 2007, disparities in the health and nutrition situation of children and women between the focus areas and the rest of the country would be reduced by 20 per cent.
3. By 2009, in the focus areas, 70 percent of children (3-5 years old) have access to quality early childhood care and development (ECCD) services, 92 per cent of children (6-11 years old) attend primary school, at least 77 per cent of schoolchildren complete Grade 6 and at least 80 per cent attain a 65 per cent mastery level of learning competencies. By 2009, the child-friendly school system (CFSS) will benefit 225 high schools.
4. By 2009, 80 per cent of the most at-risk children and youth in the focus areas are empowered to protect themselves from HIV and other risk factors for HIV infection.
5. By 2009, the number of identified children in need of special protection in the most disadvantaged communities in the CPC 6 focus areas who are provided a protective environment through center-based and community-based preventive actions and early interventions, rescue, healing, and recovery services and legal protection is significantly increased. This goal is embodied in the following outcomes:
  - a. The rights of children and women are respected and better protected through a functional child-sensitive and gender-sensitive legal protection and justice system in all CPC6 areas;
  - b. The risk of child abuse, exploitation, and trafficking in CPC 6 areas is reduced due to preventive and protective services provided to children, families, and communities;
  - c. Children in CPC 6 areas enjoy a more protective environment supported by functional local structures in at least 50 per cent of Barangays as well as 95 NGOs, Faith-Based Organizations (FBOs), and People's Organizations (POs);
  - d. The risk of child abuse, exploitation, and trafficking in CPC6 areas is reduced due to preventive and protective services provided to children, families, and communities;
  - e. The number of girls and boys affected by armed conflict in CPC6 areas who receive special protection and are provided with basic and emergency social services will

double to an estimated 80 per cent and the number of child soldiers who are demobilized nationwide increase by at least 300.

6. By 2009, all CPC focus areas and at least 70 per cent of non-focus areas have manifested increased investments in children's programs; improved capacity for, and actual enactment of, child-friendly laws, policies, and programs; and commitment to monitor and actually prepare annual reports on the situation of children.

However, all of these goals were reviewed during the mid-term review exercise conducted in 2007, and some of these goals were revised (which will be provided to the consultant during literature review stage of the evaluation) and following recommendations were provided:

- a) Re-brand the child friendly movement as child rights movement by creating CFM brand and CFM child rights watch system;
- b) Mainstream human rights-based approach to programming and results based management;
- c) Strengthen the disparity reduction strategy ;
- d) Develop a health and nutrition policy framework;
- e) Prepare a more strategic agenda for education;
- f) Launch a systems-based approach on child protection; and
- g) Create a social policy program

#### **Overall objective:**

The overall objective of the evaluation is to assess the results obtained in the frame of the CPAP 1999 – 2003 and 2005-2009 and to capture lessons learnt to inform the new country programme (2012-2016). The evaluation will aim at distilling lessons learned for future programme design in the context of achieving MDGs in Philippines.

#### **Specific Objectives:**

The objectives of this outcome evaluation are to:

1. Assess the relevance, effectiveness, efficiency, and sustainability of the programme and of the results achieved;
2. Assess the progress that has been made towards the attainment of the results at the outcome level against benchmarks, as outlined in the CPAP;
3. Assess key UNICEF contributions to the attainment of the results at the outcome level and identify key challenges and lessons learned.
4. Assess the extent to which results are sustainable at the relevant levels( provincial, barangay and communities,) and their replicability within the national extent and especially in support of the decentralization strategies;
5. Assess UNICEF partnership strategy with bilateral donors, international aid agencies and private sector in relation to the outcomes. and

#### **Key questions to guide the evaluation process**

##### **Relevance:**

- To what extent was the country program design (1999 – 2004 and 2005 -2009) relevant given the country context, priorities and needs, and UNICEF's niche?
- To what extent are the outcomes selected for CPC 6 relevant given the country context, priorities and needs, and UNICEF's niche?
- What conclusions and recommendations should be drawn in terms of the relevance of the country program design for the preparation of the next country program?

##### **Effectiveness:**

- Have the results stated at the outcome level in the CPAP been achieved or has progress been made towards their achievement?
- What factors (political, sociological, economic, etc.) have affected the outcomes, either positively or negatively?
- How have these factors limited or facilitated progress towards the outcomes?
- What were the key outputs produced by UNICEF that contributed to the outcomes?
- Were the outputs produced by UNICEF relevant to the outcomes?
- What were the quantity, quality and timeliness of outputs? What factors impeded or facilitated the production of such outputs?
- What results were achieved related to policy advice, dialogue and advocacy and laws in relation to the well-being of children and women through UNICEF assistance?
- To what extent did the evaluations and studies support the decision-making process of the projects and programmes and the country program specifically the MTR and the Programme Performance Assessment?
- To what extent UNICEF assisted capacity building initiatives in the focus areas were effective in building the knowledge and skills of the participants?
- To what extent were supplies provided during the country program (2005 -2009) under different programs relevant to the beneficiaries need?
- To what extent were supplies used/utilized by the beneficiaries?
- To what extent did UNICEF respond effectively to emergencies during the last two years (measured against the benchmarks set in Core Commitment for children (CCC) and global cluster initiative)?
- What conclusions and recommendations should be drawn in terms of the effectiveness of the country program design for the preparation of the next country program?

**Efficiency:**

- What were the benefits obtained in comparison to the costs?
- Could alternative strategies be implemented to reduce costs in relation to the outcomes?
- What was the cost of producing the outcomes and how did they compare to UNICEF benchmarks in the region? ( this exercise will be done for some outcomes specifically related to health and education)
- What conclusions and recommendations should be drawn in terms of the efficiency of the country program design for the preparation of the next country program?

**Sustainability:**

- To what extent are outcomes sustainable at the relevant levels (communities, mid or high level institutions)?
- To what extent have outcomes and outputs been replicated (which were aimed for replication) within the national extent and especially in support of the decentralization strategies? If so, by whom? If not, what are the realistic prospects of doing so?
- To what extent was a specific exit strategy prepared and agreed upon by key partners to ensure post country program sustainability specifically in the areas where UNICEF will not work?
- What was the partnership strategy adopted by UNICEF in pursuing the outcomes and was it effective and sustainable?
- What conclusions and recommendations should be drawn in terms of the sustainability of the country program design for the preparation of the next country program

### Methodology:

The evaluation will take into account evaluation norms and standards commonly used by the OECD and DAC criteria to ensure utility. Programme sections will report the results against the established results framework for CPC- 5 and 6. The researchers will evaluate the development of the results and correlate with baseline data established.

1. A desk review will be conducted of all available studies and reports from the MTR exercise and from the programme specific studies / evaluations. In addition, a complete set of donor reports will be included for the desk review
2. Programme Performance Assessment recommendations will be reviewed
3. From the desk review, the researchers will determine what field work and process will be needed to be able to evaluate the sectoral reports against results, to address any gaps seen from the desk review and to complete the study of the child friendly movement.
4. The final report will be presented to UNICEF and to the national steering committee established to oversee the evaluation.

### Timeline for evaluation

Activity	Timeframe	Responsible party
Desk review of existing and relevant documents	October – Last two weeks November – First week	Evaluation team
Development of an inception report, including the outcome evaluation design, detailed methodology, study questions, scope and work plan	November – Second week	Evaluation team
Debriefing with UNICEF CMT and steering committee on inception report	November – Second week	Evaluation team and UNICEF CMT
Fieldwork as per the methodology	Nov. – last two weeks Dec. – first two weeks January – two weeks Total – six weeks	Evaluation team
Drafting of outcome evaluation report	January – Fourth week February – First Week	Evaluation team
Debriefing with UNICEF CMT on initial results	February – Second Week	Evaluation team and UNICEF CMT
Finalization of outcome evaluation report (incorporation of comments)	February – last week March – First two week	Evaluation team
Submission of the final outcome evaluation report	March 15, 2010	Evaluation team

### Team Composition

The evaluation will be carried out by a team of consultants with experience in the carrying out the outcome based evaluations at the country level with a multidisciplinary background. UNICEF will provide the local consultant for the team in consultation with National Economic Development Authority (NEDA) Philippines.

We are envisaging following responsibilities of the team.

The team leader will have the following responsibilities:

- Ensure the technical quality of the evaluation
- Play a lead role in the development of the inception report including, among other things: manuals, questionnaires, guidelines for focus group discussions and in-depth interviews

- Conduct appropriate preparations for all aspects of field work, including recruitment, supervision and distribution of materials that field work and other survey activities are undertaken in accordance with the work plan and budgetary allocations
- Analyze and write the quantitative and qualitative data reports, and prepare a presentation / dissemination of the draft report to the steering committee
- Disseminate results to the stakeholders
- Draft the management response to the evaluation recommendations.

### General

Other team members will be required:

- To examine the impact of the implementation of the 5<sup>th</sup> and 6<sup>th</sup> Country Programme based on established outcomes /indicators using the results framework of the country program as the reference point;
- To critically examine the implementation of the 5<sup>th</sup> and 6<sup>th</sup> programme cycle of UNICEF support to the Government of Philippines, and based on the findings, to distil lessons learnt to bear and make recommendations on the development of the 7th UNICEF Country Programme Document/Country Programme Action Plan (CPAP);
- To discuss the findings and recommendations and the management response with UNICEF country management team and the steering committee.

### Management of the Evaluation

The evaluation will be managed by UNICEF. The lead consultant will however be expected to work in close collaboration with all the implementing partners of the 5<sup>th</sup> and 6<sup>th</sup> country program.

A steering committee consisting of UNICEF and relevant stakeholders will be assembled to oversee the evaluation process. One of the major tasks of the Committee will be to review the study instruments designed by the consultant, and to provide quality assurance to the entire process. Specific tasks will include:

- Reviewing and approving the inception report of the consultants;
- Agreeing on the proposed study methodology and assessment tools;
- Receiving and Monitoring progress of the evaluation;
- Approving the final evaluation report; and
- Discussing and providing follow up to the management response.

### Duration of the Assignment

The consultancy will be approximately 95 working days, from the date of signing the contract which is anticipated to be September 15 2009.

### Deliverables / Expected Outputs

Deliverables	Due dates
Inception report including the outcome evaluation design, detailed methodology, , study questions, scope and work plan	26 <sup>th</sup> October , 2009
Presentation to CMT and Steering Committee	30 <sup>th</sup> October, 2009
Finalization of the outcome evaluation design, methodology and work plan (incorporation of comments)	3 <sup>rd</sup> November , 2009
First field progress report (format will be provided)	20 <sup>th</sup> November, 2009
Second field progress report (format will be provided)	15 <sup>th</sup> December, 2009
First draft evaluation report (format will be provided)	25 <sup>th</sup> January, 2009

Debriefing of the results	29 <sup>th</sup> January, 2009
Second draft evaluation report	15 <sup>th</sup> February, 2010
Final evaluation report (format will be provided)	27 <sup>th</sup> February, 2010

### **Budget**

The consultant will submit a technical and financial proposal detailing the methodology and cost of the consultancy

### **Selected Documents to be studied by the Evaluation Team**

The evaluation team should study and made reference to the following documents during the conduct of the outcome evaluation:

1. United Nations Common Country Assessment (CCA) for the Philippines;
2. United Nations Development Assistance Framework (UNDAF) for the Philippines
3. (2005-2009);
4. UNICEF and GOP Country Program for Children 5 Master Plan of Operation (1999-2003);
5. UNICEF and GOP Country Programme Action Plan (2005-2009);
6. UNICEF Results Framework (2005 -2009)
7. Sixth Country Programme for Children (2005-2009) *Mid-Term Review*, Philippines, October 2007
8. UNICEF Philippines Donor Reporting documents (1999-2009)
9. UNICEF project documents, project monitoring reports, project evaluation reports, and terminal reports
10. UNDP National Human Development Reports for the Philippines
11. Philippine MDG Progress Reports (2003, 2005, Mid-Term, sub-national)
12. Medium-Term Philippine Development Plan (2004-2010) and other key national policies, strategies, and plans related to the outcome and other documents and materials related to the outcome (e.g. government and donors)

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<sup>i</sup> Adapted from the Country Program Action Plan between the Government of the Republic of the Philippines and the United Nations Children's Fund

<sup>ii</sup> Sixth Country Programme for Children (2005-2009) MID-TERM REVIEW, Philippines, October 2007