Monitoring and Evaluation Training Guide

This Guide is. . .

The material in this module is intended to help facilitate training in monitoring and evaluation in the results framework.

The materials include exercises, session notes and agendas for conducting training sessions ranging from one and a half hours to two days. Reference materials that the facilitator will need are mentioned but not part of this package, as they are available elsewhere both in the printed form and online.

This guide could be used by trainers who are new to their role in facilitating training activities but have significant experience with the concepts.

Instructions to the facilitator on how to conduct the sessions are provided as well as instructions to participants; also included are discussion points and answers to questions in the exercises. For easy reference the material is colour coded.

Instructions to the participant are to be copied and handed out before each activity.

Assessing Needs

It is advisable to conduct a Needs Assessment before planning a course. Ideally this should be done about 4 weeks before the training so that the participants have time to respond and you have time to prepare the materials. Depending on their needs you may want to add or drop sessions or decide to allocate time differently than what is presented here.

Getting Ready

Involve your co-trainer in all the decision-making regarding the course. Review materials and share needs assessment feedback with him/her. Inform participants of start and end dates and times, and send them a reading list early.

Reference Documents

Handbook on Monitoring and Evaluating for Results, Evaluation Office, UNDP, 2002

Advancing Results-Based Programming and Simplification of Programme Procedures UNDP/PROG/01/02 16 November 2001

New Country Programme Format, Review and Approval Process UNDP/PROG/01/03. 28 November 2001

Capacity Assessment and Development In a Systems and Strategic Management Context Guidelines, MDGD/January1998

List of Sessions

Session 1: A Basic Introduction to the Monitoring & Evaluation Framework	**1 ½ hours**
Session 2: A Basic Introduction to the Monitoring & Evaluation Framework (2)	**2 ½ hours**
Session 3: Essentials of Monitoring & Evaluation: Indicators and Outcome Monitoring	**½ day**
Session 4: Essentials of Outcome Monitoring and Outcome Evaluation	**½ day**
Session 5: Essentials of Monitoring & Evaluation	**1 day**
Session 6: Essentials of Monitoring & Evaluation (2)	**2 days**
Session 7: Essentials of Monitoring and Evaluation for Project Staff	**½ day**

List of Exercises

Exercise 1 Analysing Issues, Preparing an Action List	**1 hr 15 min**
Exercise 2 Designing Monitoring Tools	**1 hr 15 min**
Exercise 3 Getting Partners Involved	**2 hrs**
Exercise 4 Annual Project Review (Project Staff)	**1 hr 30 min**
Exercise 5 Introducing Monitoring Tools (Project Staff)	**1 hr 15 min**
Structured Discussion on Compliance and Evaluation Planning	**1 hour, 30 min**
Exercise 7 Designing Monitoring Tools-Irugao (UNDP staff)	**2 hrs 30 min**
Exercise 8 Planning an Outcome Evaluation	**2 hrs 30 min**
Exercise 9 Using Feedback from M & E	**1 hour**

To prepare for conducting the training…

Select the materials for the session you plan to deliver. This will depend on the time available to you and the needs expressed by your participants. If you are going to create your own session, select exercises, quiz cards and slides. Review the materials and the reference documents.

The timing used here is approximate and works best with a group of about 25. You need to give yourself additional time to open and close sessions and introduce participants. No break times are included, so allow additional time than what is given here.

Review and duplicate the Instructions to Participants' sheets, and prepare copies of presentation slides as handouts. Check each day's agenda to see what materials you will need.

Materials you will need

Name cards for each participant

Flipchart stands- about 6

Flipchart pads

Lots of thick markers- in colours

Index cards in three or four colours- can be made by cutting A4 size paper in half.

A computer that can be used for presentations and screen for projection

A side table for materials and documentation

The presentations saved in a computer hard- drive or diskette.

Quiz cards 4 complete sets.

Training facilities

Most activities involve working in small groups. Arrange the room so that 4 or 5 participants can sit around a small work- table, while still being able to hear and see you. Have enough flipchart stands for group work. A pleasant well-lit room that is away from ringing telephones, with plenty of wall space for posting flip charts, is ideal. Break out space would be needed for group work.

How to adapt these materials to your needs

You can use these materials to deliver a short 1 ½ hour session to a 2-day course or if you wish you can use the individual sessions in larger courses with other related topics. There are 7 sessions provided here, but you can create more.

Following are some ways in which you may adapt the materials.

Cases-You may use participants' own cases instead of the examples given here.

Exercises- Examples in the exercises may be replaced by participants own projects, outcomes, outputs and indicators.

Presentations -There are three slide presentations on the Evaluation Office Website. Mix and match the slides according to the interests of your audience.

Lecturettes- There is one lecturette on Indicators. Feel free to develop your own. Always keep it under 20 minutes, always ask questions and bring in examples.

Quiz cards- Select what is appropriate to the overall content of your session or course. It is not recommended that you use quiz cards for more than one activity, he duration of which should be about 45 minutes. People are likely to get bored. The quiz cards are intended for self-study, for use as an introduction to a topic or "a filler" if one group of participants finishes before others.

How to create new sessions and courses

You can use the materials in this collection as building blocks to create new sessions or courses. The overall objectives will change depending on what you want to accomplish.

Facilitation

Interaction is critical for learner participation in training. Learning is at an optimum level when participants are able to share their knowledge with each other and apply their experience to understand new concepts presented through the training. The exercises and group work are meant to fulfil this purpose.

The best way to obtain feedback is through asking good questions. Most activities conclude with "process questions" which would help the trainer summarise and close the session as well as give participants an opportunity to share their ideas.

At the start of the course as well as the beginning of each activity it is most important to clarify the objective or purpose and describe the agenda. This gives structure and direction to what the facilitator intends to do.

For maximum participation the facilitator should respond to the needs expressed during the course. Feel free to deviate from your plans or the agenda provided here, if it is in response to what participants want.

Working with a co-facilitator

Working with a co-facilitator will reduce anxiety considerably. A joint training venture-- a team effort, where responsibility is shared-- will reduce stress and prevent burn out. Having two training styles and a change of face is less tedious for participants as well.

If conducting this course with a co-trainer (it is highly recommended!) be sure to clarify both the tasks and the roles with your colleague before the start of the training. The person who has most knowledge of the subject matter would need to assume the role of the lead trainer.

Here are some Do’s for working with another person.

- Go over the materials and divide the main tasks, such as- introducing the topic, delivering content, writing on the flip chart and doing the wrap up.

- If one trainer decides to take the speaking role the other can take the task of recording or charting on the flipchart.

- Whatever the role or task, stick to the agreement, don’t change mid-stream and throw the other person off guard.

- If yours is a supportive role, to back up the trainer if s/he forgets to point out an important fact, stay out of the discussion, until you get your cue from the other trainer to join in. Seeming to “fight” in front of the group could create tension for everybody.

- Having one trainer sit in the back of the room and intervene when invited to do so, to reinforce a point or add something that may have been left out, is both helpful and supportive.

- Always review the collaboration at the end of the day and discuss what worked and why and where improvement may be necessary.

Session 1: A Basic Introduction To The Monitoring & Evaluation Framework

Objective:

At the end of the session participants will be able to:

- Explain the new framework for monitoring and evaluation and describe what has changed

What we will learn

1. Concept and Framework for M & E
2. What has changed

Total time 1 hour 30 minutes

Agenda

Time	Activity	What is needed
	Activity 1 Presenting Concept and Framework for M & E	Presentation saved on disk and computer or slides. Handout of slides printed out- 1 copy per participant.
45 minutes	**Activity 2** Discussion on what has changed	10 page note on the Changes Flip charts and markers.

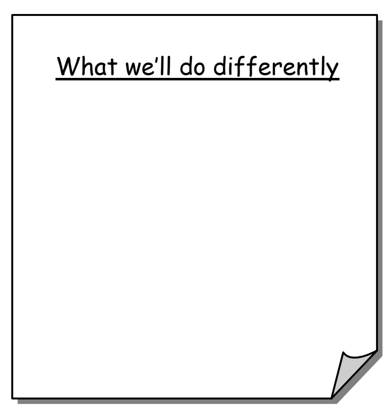
- Introduce the Objective of the session and the activities

Activity 1
- Make the presentation

Activity 2
- Hold a discussion: "What do you think you will do differently in light of the new monitoring and evaluation framework-?" Use a flip chart to aid you.

- Sum up the main points

- Refer audience to the web site and other resources



Session 2: Basic Introduction to the Monitoring & Evaluation Framework (2)

Objective:

At the end of the session participants will be able to:

- Describe the new framework for monitoring and evaluation
- Identify practical steps for making the shift to the results environment

What we will learn

1. Concept and Framework for Monitoring & Evaluation
2. Main issues and concerns and practical steps

Total time 2 hour 30 minutes

Agenda

Time	Activity	What is needed
1 hour 15 minutes	**Activity 1** Presentation "Concept and Framework for M & E" Discussion targeting main issues/concerns	Presentation saved on disk and computer or slides. Handout of slides printed out- 1 copy per participant. Flip charts and markers.
1 hour 15 minutes	**Activity 2** Exercise#1- Making an Action List	Flip chart and markers Participants Instructions Sheet #1

- ❑ Introduce the Objective of the session and the activities

Activity 1

- ❑ Make the presentation using a computer or slides

  - Ask participants "What are the main issues/concerns on changing the way we monitor and evaluate UNDP supported projects and programmes?
  - Make a list on a flip chart. Don't spend time "justifying" or explaining the issues. Just list what ever comes up. In- depth discussion will be held in small groups.

Activity 2

- Refer to Exercise #1 (next page) Instructions to the Trainer.
- Distribute copies of Instructions to Participants' Sheet #1, which sets out the tasks they have to work on. Explain if needed.
- Tell them how much time they have.

Exercise # 1 Analysing Issues and Concerns and Formulating an Action List

Purpose:	To increase motivation and ownership
Method:	Group work using list of issues/concerns generated from presenting the M & E concept
Total Time:	1 hour 15 minutes
Materials:	Flip chart pads, markers
Target Audience:	UNDP programme staff, project staff, representatives, of government and partners
When to use:	Always use after a presentation of the concept

Instructions to the Trainer:

- Divide large group by counting so that you will have 3 –4 groups for a total of 20 participants.

- Divide the "issues/concerns" among the groups and refer participants to the task described in Instructions to Participants' Sheet #1. Explain the task and the time allotted to them.

- After the small groups present their work, hold a discussion with the large group using the following questions:

  - From the presentations, identify the common theme or themes
  - Did any ideas emerge on how the issue or concern may be addressed- if so, what were they?
  - What will you do in the next 3 months?
  - What do you envisage in the next year?

- Allocate time for group work: Allow 45 minutes for the exercise and 30 minutes for the discussion with the total group. However these time allocations are very likely to change depending on how many issues came up earlier and how much was already discussed.

Instructions to Participants' Sheet # 1

Task 1
Analyse each issue/concern using the following as a guide

- What major challenges do you see?
- How do you plan to meet the challenges?
- What will you do to ensure your colleagues/supervisors/ governments collaboration?
- What support are you likely to need?

Use bullet points; write clearly.

Task 2

Present your work to the large group; you have 2 minutes.

Session 3: Essentials of Monitoring & Evaluation: Indicators and Outcome Monitoring

Objective:

At the end of the session participants will be able to:

- Describe the new framework for monitoring and evaluating for results and what has changed
- Be able to distinguish when as indicator is appropriate and when it is not.
- Design monitoring tools for an outcome

What we will learn

1. Concept and Framework for Monitoring & Evaluation
2. What is an appropriate indicator
3. Design tools for outcome monitoring

Total time 3 hour 30 minutes (half day)

Agenda

Time	Activity	What is needed
1 hour	**Activity 1** Presentation "Concept and Framework for M & E" Discussion	Presentation saved on disk and computer or slides. Handout of slides printed out- 1 copy per participant. Flip charts and markers.
1 hour 15 minutes	**Activity 2** Group work using Quiz Cards Card # M1, M3, M7, E7, E9, E10, P5, TR4, T1, T3, T7, T8, TR2, IN1, IN2, IN4, IN5, IN7, IN6 Discussion on Indicators	Flip chart and markers Designated Quiz Cards
1 hour 15 minutes	**Activity 3** Exercise #2 Design Monitoring Tools for an Outcome Closing Discussion	Copy of the Instructions to Participants Sheet #2 (if they work with their own project, then the outcome output table and outcome indicator table

- ❑ Introduce the Objective of the session and the activities

Activity 1 (1 hour)

- ❑ Make the presentation using the set meant for UNDP Programme staff

    - Hold a discussion “What do you think you will do differently in light of the new monitoring and evaluation framework?”

Activity 2 Quiz Cards (1 hour 15 minutes)

- ❑ Divide the large group into four small groups through counting

- ❑ Give a set of quiz cards (20 in each set – to each group. The cards are distributed to each participant who reads out the question to the group. The answer is on the back of the card. (When preparing cards, ensure that the answer is printed upside down) Missed or incomplete answers are noted and discussed with the facilitator.

NOTE: you may have to reduce the number of cards to 12 or 10 depending on the level of knowledge demonstrated during the earlier discussion- otherwise they may run out of time and feel overwhelmed

- ❑ Discussion

Use the points below to clarify important points on indicators after all the groups have finished. As appropriate indicators are fundamental to being able to monitor and outcome or output, this discussion is important before moving to the next activity.

A note on indicators is given below. You may incorporate it in your discussion. Try to draw out answers from participants.

What is an indicator? *Collect responses on newsprint.*

- ✓ Signs that show the extent of change that resulted from projects or programmes.
- ✓ Indicators help to measure what actually happened in terms of quantity, quality and timeliness against what was planned.
- ✓ They measure progress in achieving outputs & outcomes.

When are indicators established? For what purpose and by whom?

Indicators are established at the formulation stage by stakeholders and programme managers to help them measure the extent to which the project interventions contribute to outputs and outcomes.

What do indicators show?

Relevance
- ✓ Are the results valid and pertinent to the overall goals?
- ✓ Do the results meet the aspirations and the needs of stakeholders?

Performance (effectiveness)
- ✓ What progress is being made towards the outcome?
- ✓ Are these the right actions for achieving the outcome?
- ✓ Is this the right strategy to follow? (efficiency)
- ✓ Are the outputs delivered in a timely manner?

Progress (towards meeting outputs/ outcomes)
- ✓ What changes have occurred?
- ✓ Is there a plausible association between the changes and outputs?
- ✓ Do the outputs lead to the expected positive changes or outcomes?

Activity 3. Exercise #2 Designing Monitoring Tools to Monitor and Outcome

- ❑ Refer to Exercise # 2 (next page) Instructions to the Trainer.

- ❑ Distribute copies of Instructions to Participants' Sheet #2, which sets out the tasks they have to work on. Explain if needed.

- ❑ Tell them how much time they have.

Exercise # 2 Designing Monitoring Tools to Monitor an Outcome

Purpose:	Learning to design monitoring tools
Method:	Group work using outcome and output table and outcome and outcome indicator table from UNDP Islandia
Total Time:	1 hour 15 minutes
Materials:	Flip chart pads, Markers,
Target Audience:	UNDP programme staff, project staff, representatives, of government and partners
When to use:	May be used after the presentation of the concept or inserted into a session on the project/ programme cycle You may replace the Islandia case provide here with the participants' own case

Instructions to Trainer:

- This is an excerpt from the SRF of UNDP Islandia:
  Outcome and outputs table
  Outcome and Outcome Indicators table

Islandia- Poverty

OUTCOMES	OUTPUTS
1. Policy frameworks developed and implementing institutions at all levels established and functional in co-ordinated manner. **Outcome Indicator** **Poverty reduction and prevention measures implemented on national and local level.**	Poverty reduction action plans developed and implemented Mechanisms for implementation of poverty reduction measured on national and regional levels established
2. Poverty situation is regularly monitored and poverty reduction measures targeted more effectively.	Standards and mechanisms for poverty monitoring are established

Outcome Indicator **Monitoring system serves the government to better target poverty reduction measures and promote more efficient pro-poor macro-economic and sectoral policies**	

- Explain the task in the Participants Instruction Sheet

- Each group has 45 minutes for the task.

- No presentations of group work, because of lack of time, but everyone sees a copy of the outputs and outcomes and can participate in the discussion.

- Hold a brief discussion- 15 minutes

  Suggested questions:

  - Are the outputs likely to lead or contribute to the outcome in the Islandia case?
  - How will you monitor that the outputs will contribute to the outcome? What tools will you use?
  - How will you monitor implementation strategy?

Instructions To Participants Sheet #2

TASK

1. Are the outputs likely to contribute to the outcome?
2. How will you monitor that the outputs are contributing to the outcome? What methods will you use?
3. How will you monitor if the implementation strategy is working?
4. If indicators or outputs need refining please do so. You have 45 minutes.

Islandia- Poverty

OUTCOMES	**OUTPUTS**
Policy frameworks developed and implementing institutions at all levels established and functional in co-ordinated manner. **Outcome Indicator** **Poverty reduction and prevention measures implemented on national and local level.**	Poverty reduction action plans developed and implemented Mechanisms for implementation of poverty reduction measured on national and regional levels established
Poverty situation is regularly monitored and poverty reduction measures targeted more effectively. **Outcome Indicator** **Monitoring system serves the government to better target poverty reduction measures and promote more efficient pro poor macro-economic and sectoral policies**	Standards and mechanisms for poverty monitoring are established

ANSWERS- Islandia

(a) Will Outputs lead to the outcome

Outcome (1) needs to be refined by splitting it into its component parts:

- State what the "implementing institutions at all levels" are:
- Define what a "coordinated manner" means

The outputs need to be stated in such a way that

- Their achievement can be identified and measured in terms of quantity, quality, time and place; the production of the action plans can be easily measured

- All outputs that contribute to the outcome are listed, and are seen to clearly relate to the outcome; the outputs listed here are insufficient because they will not lead to the outcome- action plans alone are not enough. The people who are expected to use them (presumably those who work for the implementing institutions have to be able and motivated to use them.

- There is no output that relates to how coordination among the institutions at all levels will be achieved.

- There is nothing to explain what "established" means. Does this relate to having plans on paper or are the meetings? Could they mean a data-base?

- After the outcomes and outputs are refined, devising a method to monitor if the institutions are capable for carrying out their tasks in a co-ordinated manner can easily be developed.

(b) Indicator needs to be refined in the following manner:

Who in government?

What does co-ordinated mean?

How is "efficient" defined?

(c) Monitoring methods

A survey to ascertain

- How often the monitoring system is used
- Who uses the system for what purpose
- What has it contributed to "better" targeting of poverty reduction methods

(d) Implementing Strategy

Not clear from the information given in the Outcome /Output table

Session 4: Essentials of Outcome Monitoring and Outcome Evaluation

Objective:

At the end of the session participants will be able to:

- Describe the new framework for monitoring and evaluation
- Design monitoring tools for outputs, outcome, partnership strategy, implementation strategy and soft assistance

What we will learn

1. Concept and Framework for Monitoring & Evaluation

2. Designing tools for outcome monitoring using the Irugao Project

Total time 4 hours (½ day)

Agenda

Time	Activity	What is needed
1 hour 15 minutes	**Activity 1** Presenting Concept and Framework for M & E followed by discussion	Presentation saved on disk and computer or slides. Handout of slides printed out- 1 copy per participant. Flip charts and markers.
2 hours 30 minutes 15 minutes	**Activity 2** Exercise #7 Designing monitoring tools for output, outcome, partnership strategy, implementation strategy and "soft assistance" using the Irugao project Closing discussion	Exercise #7 – Instructions to Participants sheet #7

- Introduce the Objective and session agenda then proceed from Activity 1

Activity 1. Presentation and discussion (1 hour 15 minutes)

- Select the slides according to your audience. If there are project staff in the audience you may want to select the presentation that targets their specific needs.

- The discussion may simply be on the questions participants raise or it may focus on a specific aspect such as: "What we will do differently in light of the new monitoring and evaluation framework-"

Activity 2

- Refer to Exercise # 7 Designing Monitoring Tools (Irugao Project) Instructions to the Trainer (next page)

- Distribute copies of Instructions to Participants Sheet #7, which sets out the tasks they have to work on as well as the Irugao project Outcome, Output table. Explain very briefly, if needed

- Tell them how much time they have

- The answers or solutions to the tasks are provided on the pages following the exercise.

Exercise #7 Designing monitoring tools (Irugao Project)

Purpose: Design monitoring tools

Method: Group work on the Using the Irugao Project Outcome outputs table

Total Time: 2 hours 30 minutes

Materials: Flip chart pads, markers

Target Audience: UNDP programme staff, project staff, representatives of government and partners

When to use: Use after a presentation of the concept. This is a complex and well thought out project, brings out issues such as monitoring soft assistance and implementing strategy.

Instructions to Trainer:

- Distribute the Instructions to Participants sheet # 7 and the Irugao Project outcome/output/indicator sheet. (You can replace this with material from participants own project or programme if you wish).

- Divide participants into groups. Explain the tasks.

- Ask for presentations of the monitoring tools from each group.

Instructions to Participants Sheet #7

Task 1
What are the ways that a UNDP programme officer can monitor:
a) Whether the outputs are being achieved?
b) Whether the outputs contribute to the outcome?

Task 2
a) How can the implementation strategy be monitored?
b) How can the partnership strategy be monitored?

Task 3
a) What soft interventions may very likely have to be made for the success of this project?
b) What form will they take?
c) Who will be most likely to be involved?
d) How will this activity be monitored?

If you find that the indicators need refining, do so.

Goal: G1- Governance						
Sub- Goal:G1 SGN3- Local Governance SAS: G1 SGN#- SAS N1 Participation at Sub National Level						
Outcome	Outcome Indicator	Baseline	SRF End Target	Indicator Val.	Output	Target set for Output
Convergence and localization of anti-poverty programmes, policies and processes; and improved capacities of local government units to effectively manage devolved anti- poverty programmes and of basic sectors to participate in key decision- making bodies.	Existence of institutionalized mechanisms for regular consultation between local governments and civil society organizations on economic and social policies	Consultation mechanisms are enshrined in the constitution and Local Government Code and Poverty Alleviation Law	Full implementation of existing consultation mechanisms at the local government level	Series of dialogues conducted between cooperatives and LGUs identify common areas of partnerships,	Documented and disseminated best/ bad practices in convergence/ localization/ decentralization.	Experience of 5 pilot provinces practicing decentralized capability building documented for possible replication-2000. Series of Conferences on best/ bad practices 20001
	Budget programming based on localized anti-poverty programmes	Special fund for poverty alleviation in support of Local Government 2.5 B was suspended. Internal revenue allotment and the budget planning linkage through a standard performance indicators system are being initiated,	Policy measures issued to adopt budget reforms in local governments. Draft legislative support measures reach advance stage of legislation.	Internal Revenue Allotment form being reviewed as well as the review of the Local Government Code. Draft Bill supporting 20 initiative passed first reading. New anti-poverty budget allocation 100B being proposed.	Packaged and disseminated information, education and communication materials on lessons learned, including a manual on best/ bad practices.	Local Productivity and Performance Measurement System integrated as an instrument of local government capacity building needs identification; manual released September 2000 Manual on best practices and other information, education and communication materials developed. 2001 Vo1.1 Vol 2 in 2002.
	Well-defined transparent processes including criteria for representation of basic sectors in key decision- making processes and mechanisms contained in policy directives of national and local government bodies.	Implementing rules & regulations on the selection of basic sectors in policy making bodies have been formulated by requires some review and modifications	Support for a review of existing policies on basic sector representation in major policy- making bodies.	Exploratory talks underway for possible UNDP support.	Poverty reduction and sustainable development strategies and targets formulated through local anti poverty and Agenda 21 action plans	Local Poverty Action Plans produced in 6 pilot provinces and covering 41 municipalities; Draft Guidebook for poverty-focused local development plans prepared-2000
	Increase capacities of basic sectors to conduct participatory poverty assessments and lobby for reforms (manifested by policy position papers, collective lobby efforts, information networking, etc.)	Only 5-10% are members of peoples organisations in the D/E class bracket	At least 80% of targeted organisations increase their capacities.	A number of Peoples Organisations have limited capacity building interventions		Baseline situational poverty assessments and sustainable development, training on poverty focused local development plans conducted in selected

Goal: G1- Governance						
Sub- Goal:G1 SGN3- Local Governance SAS: G1 SGN#- SAS N1 Participation at Sub National Level						
Outcome	Outcome Indicator	Baseline	SRF End Target	Indicator Val.	Output	Target set for Output
						areas. 5 provinces produced local anti poverty & Agenda 21 plans. Guidebook produced. 2001 10 other provinces produce their local anti poverty and Agenda 21 local plans. 2002
					Trained local government units on convergence/ localization/ design and management of anti-poverty programmes including poverty focused budgeting.	Capability building for cooperative and local government unit partners provided for the establishment of joint projects in basic services, local public enterprises and agribusiness. 2000 Piloted training of 5 local government units on convergence/ localization/ design and management of anti- poverty programmes. 2001 Assess the results of the pilot training and develop a policy for replication. 2002.
					Rationalized good governance indicators for local government units and national government agencies.	Adopt policy on replication of LGU training. 2003 Workshop to consolidate local governance indicators conducted. Local Governance indicators standardized.-

Goal: G1- Governance						
Sub- Goal:G1 SGN3- Local Governance SAS: G1 SGN#- SAS N1 Participation at Sub National Level						
Outcome	Outcome Indicator	Baseline	SRF End Target	Indicator Val.	Output	Target set for Output
					Applied the Community Based Poverty indicator Monitoring System and Annual Poverty Indicator Survey for an incentive scheme for national- local government resource sharing for anit- poverty programming and prioritization.	2001 Adoption and mainstreaming of good governance indicators. 2002 Community Based Poverty Indicator Monitoring System and Annual Poverty Indicator Survey have produced data useful for poverty focused programme targeting and community mobilization 2000 Developed pilot scheme using Community- Based Poverty indicator Monitoring System and Annual Poverty Indicator Survey for budgetary allocation and national government agencies- local government units co- financing. 2001 Developed guidelines for using Community- Based Poverty indicator Monitoring System and Annual Poverty indicator Survey for budget allocation and programming . Incentive scheme for local government units developed. CBPIMS and APIS installed in 10 LGUs. 2002

Goal: G1- Governance						
Sub- Goal:G1 SGN3- Local Governance SAS: G1 SGN#- SAS N1 Participation at Sub National Level						
Outcome	Outcome Indicator	Baseline	SRF End Target	Indicator Val.	Output	Target set for Output
					Adopted transparent and functional mechanisms and processes of representation of basic sectors and non-government organizations in key decision- making bodies	Partial completion of analyses of mechanisms and processes of representation of basic sectors in official decision- making bodies/ mechanisms. 2001 Full report on gaps in legal provisions and processes for effective representation of basic sectors, including recommendations for policy measures 2002 Policy measures and enhanced mechanisms for increased and more effective participation and representation installed. 2003
					Strengthened organizational capacities of basic sector formations for collective action for anti – poverty reforms	Multi – level capacity assessment of organizations of the informal sector, indigenous peoples and small farmers with recommended capacity building plans completed.2001 Database system for organizational profiles and representation of people's organizations for the elected sectors established. Training conducted on key capacity building needs of basic sector organizations for effective participation in

Goal: G1- Governance						
Sub- Goal:G1 SGN3- Local Governance SAS: G1 SGN#- SAS N1 Participation at Sub National Level						
Outcome	Outcome Indicator	Baseline	SRF End Target	Indicator Val.	Output	Target set for Output
						governance. 2002 Training Conducted on key capacity building needs of basic sector organisations for effective participation in governance Conferences/ caucuses held for consensus building on policy issues, responses and reform lobby agenda. 2003

Answers for Exercise #7:

Task 1

a) What are the ways that a UNDP programme officer can monitor that the outputs are being achieved?
b) Do the outputs contribute to the outcome?

The outputs are products. They include the preparation of manuals, conducting of surveys, integration of a performance measurement system, preparation of education and communication materials among others. Monitoring if these systems, manuals and materials are produced can be done through:
- reports from project management

They can be validated through:
- checking out the manuals and materials themselves.

However, a wide gap may exist between the production of manuals, preparation of materials, holding of conferences, and actual change. In order to see how the outputs and their achievement contribute to the outcome, the programme manager should go further and monitor to what extent the manuals are being used. If the materials serve their purpose-- in other words to what extent old practices have changed as a result of the outputs.
This can be done through:
- Interviews with the users of the materials.
- Evaluation forms filled out by users of manuals or materials, which would provide both the project director and the programme manager with valuable data on the use of the manuals and materials.

This brings the programme manager to the Outcome level and the Outcome Indicators:

Indicator 1
Existence of institutionalized mechanisms for regular consultation between local governments and civil society organisations on economic and social policy.

Monitoring the indicator

Assuming that these are regular meetings, the programme manager needs to monitor:
- The number of meetings held. Who participates in civil society? Men? Women? Rich, land- owning elites? Poor? Minorities?
- What is discussed at the meetings?

- What is the follow- up to these meetings?
- How many anti – poverty programmes have been influenced by what has been discussed at the meetings?

You may want to refine the indicator to add clarity thus:

Refined indicator

The number of pro- poor programmes and policies that have been discussed at the meetings between civil society and local government and to what extent they reflected the views or the needs of civil-society, especially the poor and minorities.

Monitoring the indicator- the tools

- Meeting agenda, and minutes, list of participants
- Interviews with meeting- participants to ascertain to what extent change in attitudes had taken place and if civil society members (poor/ minorities, women and others) who felt their voices were heard.

Indicator 2
Budget programming based on localized anti- poverty programming.

Monitoring the indicator

- Interviews with local government budget officials after budgets have been prepared to find out to what extent budgeting is based on localized anti- poverty programming

Indicator 3
Well-defined transparent processes including criteria for representation of basic sectors in key decision-making processes and mechanisms contained in policy directives of national and local government bodies

Monitoring the indicator
After defining “well- defined, transparent processes”

- Conduct periodic review of how decisions are made
- Review policy directives of national and local government bodies.

Indicator 4
Increased capacities of basic sectors to conduct participatory poverty assessments and lobby for reforms (manifested by policy position papers, collective lobby efforts, information networking, etc.)

Monitoring the indicator

{Here there is an attempt to define "increased capacity" by specifying capacities for what (ability to lobby collectively/ use information networking/ prepare policy position papers)}

- Records of the number of targeted organisations, which are able to perform the tasks, mentioned above regularly, to influence the outcome of anti- poverty measures planned at local and national levels.

Task 2

a) How can the implementation strategy be monitored?
b) How can the partnership strategy be monitored?

Answers

a) The implementation strategy hinges on good coordination between all the stakeholders, and commitment to achieve the goal. A lot may depend on good communication and interpersonal relations. To monitor this activity a programme officer may need to read minutes of meetings and have a system of regular pulse taking to see that a good team spirit continues to flourish, and that communication systems actually serve the needs of the stakeholders.

b) The partners are local governments and peoples' organizations- when monitoring the implementation strategy as described above, the programme manager or project manager will also obtain valuable information on whether the partnership is working.

Task 3

a) What soft interventions may very likely have to be made for the success of this project?
b) What form will they take?
c) Who at UNDP and the project management will be most likely to be involved?
d) How will this activity be monitored?

Answers

a) Soft- interventions are actually built in to the intervention and mentioned in the targeted outputs- "Conferences/ caucuses held for consensus building on policy issues, responses and reform lobby agenda”

b) Other likely forms of soft assistance may include:
   Informal meetings with local leaders, provincial governors, mayors, NGO leaders and community elders, social activists etc to advocate for reform as well as the news media.
c) Programme Officer, Senior Management of UNDP, Project Manager, champions of anti- poverty policies
d) Monitoring soft interventions
   - Monitor the outcome of effects of the conferences / caucuses to measure how they contribute to the outcomes
   - Note down the outcome of meetings and informal gatherings or telephone conversations and how often they were held and how much time and effort went into the interventions. This is important to measure the effectiveness and will be helpful when looking at overall strategy.
   - Collect newspaper clippings and favourable statements made by political leaders in public gatherings

Session 5: Essentials of Monitoring and Evaluation

Objective:

At the end of the session participants will be able to:

- Describe the new framework for monitoring and evaluation
- Use appropriate indicators
- Develop methods to monitor outputs, outcomes, partnership strategy, implementation strategy and soft assistance
- Guide external evaluators to do an outcome evaluation

What we will learn:

1. Concept and Framework for Monitoring & Evaluation
2. Using indicators: Quiz Cards
3. Design monitoring methods
4. Preparing for an outcome evaluation

Total time 7 hours (1 day)

Agenda

Time	Activity	What is needed
1 hour 15 minutes	**Activity 1** Presenting the Concept and Framework for M & E followed by short discussion	Presentation saved on disk and computer or slides. Handout of slides printed out- 1 copy per participant. Flip charts and markers.
45 minutes	**Activity 2** Quiz Cards on Indicators. Numbers IN#1-7	Print out cards with answers printed on the back upside down, a set for each group.
2 hours 30 minutes	**Activity 3** Exercise #7 for designing monitoring tools for output, outcome, partnership strategy, implementation strategy and "soft assistance"	Exercise #7 – Instructions to Participants sheet #7
2 hours 30 minutes	**Activity 4** Exercise #8 Planning an Outcome Evaluation	Exercise # 8 Instructions to Participants sheet # 8 Case materials from Exercise #7 Guidelines for Outcome Evaluators- Companion Series #1

- Introduce the Objective and session agenda then proceed from Activity 1.

Activity 1. Presentation and discussion (1 hour 15 minutes)

- Select the slides according to your audience. Don’t spend too much time on the discussion of the concept- use the time to answer questions from the audience. Since this is a one-day session they have a more time to learn how the concepts are applied.

Activity 2. Quiz cards on Indicators (45 minutes)

- Distribute index cards, 1 set to each group. After 30 minutes, discuss any cards that participants were puzzled by or disagreed with. A thorough understanding of indicators is needed to benefit from the next two activities.

Activity 3. Exercise #7 (2 hours 30 minutes)

- Refer to the directions for Exercise #7 in Activity 2 of Session 4.

Activity 4. Exercise #8 (2 hours 30 minutes)

- Participants use the same case, that now they are very familiar with. Distribute Instructions to Participants Sheet # 8. Explain the tasks if needed.

- The time required may be less than what they needed in the earlier activity because everyone knows the case well by now.

Exercise # 8 Planning an Outcome Evaluation

Objective	At the end of this exercise, participants' would be able to • Define the scope of an outcome evaluation • Write the terms of reference and • Plan the evaluation exercise and recruit a team of evaluators
Method	Group work using a case study
Total Time	2 hours 30 minutes
Materials	Irugao Case study Handbook on Monitoring and Evaluating for Results: Part 2 Chapter 5
Target Audience	UNDP staff
When to Use	Ideally, this exercise should follow Exercise #7. If used as a stand alone, allocate more time for participants to study the case and become familiar with the design. This may be done either during the session, or before.

Instructions to Trainer

- Divide participants into 3 or 4 groups. Every group works on tasks 1-3 (described in Instructions to Participants Sheet # 7) but each group will present only 1 of the tasks- to save time presentations should not take more than a minute, to allow time for the group work and the final discussion.

- If there is time pressure ask the groups to only do tasks 1 and 2. Discuss the process in the final discussion.

Task 1
Please define the scope of the outcome evaluation

The outcome as stated in the Irugao case is:

Convergence and localization of anti-poverty programmes policies and processes; and improved capacities of local government units to effectively manage devolved anti- poverty programmes and of basic sectors to participate in key decision-making bodies

Answer
The scope should cover the following
(Here the outcome has been deconstructed to articulate its component parts)

The most important points to cover are:

- Has there been change in the outcome? Specifically:

    - Is there a convergence of anti poverty programmes, policies and processes- do they relate to each other in a logical manner, is there aligned among programmes and policies do they complement each other to maximize the benefits?

    - Whether the anti poverty programmes, policies and processes respond to real and localized needs of the poor sectors of civil society and do the beneficiaries perceive them as such.

    - Whether the local government units have the capacity to manage devolved anti poverty programmes.

    - Whether the representatives of the sectors that anti- poverty programmes policies and processes target, participate in the decision-making processes.

    - If any or all, of the above have not been achieved, has there been progress made towards its achievement.

- What the underlying factors affecting progress in the outcome have been.

    - What are enabling or constraining factors in the policy environment that affect anti-poverty policy formulation, adoption and implementation?

    - What is happening on the political, economic, social, etc. fronts?

- Whether UNDP's outputs and other interventions can be credibly linked to the achievement of the outcome.

    - Did the key outputs, and soft assistance contributed to the outcome.

- How effective was UNDPs overall strategy- in its approach to supporting this intervention vis-à-vis the following players?

    - local government
    - basic sector- organisations
    - the national government
    - project management

The Key Outputs are

- Poverty reduction and sustainable development strategies and targets formulated through local anti poverty agenda 21 Action Plans
- Annual Poverty Indicator Survey for allocation for local government resources for anti- poverty programming
- Basic sector organizations strengthened do participate in collective action for anti - poverty programming reform
- Local government units trained on convergence localization and design of anti- poverty programming including allocation of budgets
- Rationalized good governance indicators for local government units and national government agencies
- Best/ bad practices in convergence, localization and design of anti-poverty programmes and policies documented and disseminated

Task 2

Using Guidelines for Outcome Evaluators (Companion Series #1) write the Terms of Reference for the Evaluation Team.

Introduction

Objective of the evaluation—this will also depend upon the evaluation's timing…

- To learn if the convergence and localization of anti- poverty programmes, policies and processes was achieved and how it was achieved
- If capacities were built in the local government units
- How the capacities were built
- If civil society participation in decision making was achieved and how successful it was

Scope of the Evaluation
The scope of the evaluation should track with that listed under Task 1 above—namely, 1) change in outcome; 2) factors affecting the change; 3) UNDP's contribution; and 4) UNDP's partnership strategy.

In addition, the following questions might be addressed, depending upon what the country office and stakeholders desire to learn from the exercise:

- To what extent are the results sustainable- specifically, will the sectors of civil society continue to participate after the funding period ends?

- How usable and relevant are the products- ie, Guidebooks, Manuals, communication and educational materials, training courses to the purpose they were intended for?

- Will the production of guidebooks, outputs, manuals, training programmes continue to be produced, conducted or updated after funding ends?

- How will activities for maintaining the benefits continue to be funded?

- Will the national capacities built through the process take root within the institutions that they were intended to support?

- What innovative practices or methodologies did the interventions generate that may be useful for future interventions in the area of civil society participation in anti- poverty programmes, policies or processes? What may be useful lessons learnt for poverty alleviation in general?

- What were the most effective strategies adopted? What were least effective? What were most /least efficient practices in the use of resources for:
  - Building national capacities?
  - Devolving anti- poverty programming?
  - Basic sector participation?

- How replicable are the capacity development initiatives?

Products Expected from the Evaluation

- What is the most effective vehicle for advocating policies and programmes at the local government level?
- What are suggestions for an organisation like UNDP to influence budget reform among local governments and initiate change in internal revenue allocations in favour of poverty alleviation?

- What are the Dos and Don’ts for the convergence and localization of anti- poverty programmes policies and processes?

- What are the best ways of building capacities among LGU staff?

- How can capacities be built among peoples’ organisations to enable them to take a stronger role in policy-level decision making? Who is best able to do this? What are the most effective entry points?

Methodology

- A combination of desk studies for verifying statistical data, assessing materials.
- Focus groups to learn perception of civil society members to ascertain their involvement in decision- making processes at the field level.
- Interviews with LGU staff, provincial government staff and political leaders

Evaluation Team Composition and Expertise

A two-member team.

- Familiarity with local conditions and culture, experience in community organising and peoples participation in decision-making at local government, knowledge of local dialects an asset.

- Knowledge and experience in design and implementation of anti-poverty strategies and programmes and policy initiatives that support poverty alleviation

- Team members should have both theoretical and practical knowledge

- One member of the team should have some experience with government organisations at the local level.

Implementation Arrangements

- List all the tasks involved in facilitating the evaluation, divide the tasks among the major stakeholders- all those in the focal team
- Clarify who will do what

Task 3

Please describe the process you will follow in preparing the TOR for the Evaluation Team

- Form a small 3 to 5-member evaluation focal team for organising the evaluation comprising members of the UNDP programme unit (and perhaps representatives from Government, Projects, LGU and peoples' organisation representatives, etc.)
- Involve stakeholders and partners from the inception- (this may mean inviting everyone who may have a role or interest in the outcome from UNDP resident coordinator and provincial government representatives, to community members- to a brainstorming session in which what and how to evaluate is discussed)

- Decide, with them, on what specifically the evaluation should focus on
- Decide with partners and stakeholders which methods will be used
- Decide who will manage the evaluation,
- If funds or resources are to be contributed by partners, discuss who will contribute what
- Arrange the logistical details, such as- how to access the data bases and information system Poverty Action plans, etc
- Devise a way to interview and select candidates for evaluation team with partners and get their approval before hiring.
- Include partners requirements in list of products expected from the evaluation

Instructions to Participants # 8

Note that this project is expected to conclude late 2003. An outcome evaluation has been planned for the end of March in the same year.

The outcome as stated in the Irugao case is:

Convergence and localization of anti- poverty programmes policies and processes; and improved capacities of local government units to effectively manage devolved anti- poverty programmes and of basic sectors to participate in key decision- making bodies

The following terms used in the case study are defined for the purpose of this exercise in the following manner:

Basic sector- Section of the community which includes poor, women, disadvantaged groups and minorities who most need to be reached by anti- poverty programmes

Convergence- aligned with, supporting

D/E class Bracket- Those peoples organisations that are able to participate in national and local level decision – making.

Processes- How interventions are carried out, how participation is achieved, how decisions are made and approved.

LGU- Local Government Units

CBPIMS and APIS- poverty related information data- bases and systems of measurement used for planning and budget allocation

You may use the Guidelines for Outcome Evaluators.

Task 1
Please define the scope of the outcome evaluation and identify key outputs. (Scope encompasses the outcome and the extent to which this specific intervention, any soft assistance and partners contribution)

Task 2
Using Annex B in the Handbook on Monitoring and Evaluating for Results, write the Terms of Reference for the Evaluation Team.

Task 3
Please describe the process you will follow in preparing the TOR for the Evaluation Team.
Please write clearly, so others can read your work when you have posted them on the wall. You have only about 1 minute to present 1 task. Bullet points will do.

Session 6: Essentials of Monitoring and Evaluation
A 2-day Course

Objective:

At the end of the session participants will be able to:

- Describe the new framework for monitoring and evaluation
- Develop SMART indicators
- Design methods to monitor outputs, outcomes, partnership strategy, implementation strategy and soft assistance
- Guide external evaluators to do an outcome evaluation
- Know how to use M & E feedback

What we will learn

1. Concept and Framework for M & E
2. How to Use Indicators
3. Getting partners Involved- Exercise #3
4. Design monitoring methods- Exercise #7
5. Preparing for an outcome Evaluation- Exercise #8
6. Using information from monitoring and evaluation- Exercise #9
7. Compliance and Evaluation Planning- structured discussion

Total time 2 days

Agenda

Time	Activity	What is needed
1 hour 15 minutes	**Activity 1** Presenting the Concept and Framework for M & E followed by discussion	Presentation saved on disk and computer or slides. Handout of slides printed out- 1 copy per participant. Flip charts and markers.
45 minutes	**Activity 2** Quiz Card-Select what you want from among Quiz cards on Indicator (or IN #12-20)	Print out cards with answers printed on the back upside down, a set for each group.
2 hours	**Activity 3** Getting Partners Involved, Exercise #3	Exercise #3-Instructions for participants Sheet #3 Markers in red, blue, green
L U N C H B R EAK		
2 hours 30 minutes	**Activity 4** Exercise #7 Designing monitoring tools for output, outcome, partnerships implementation strategy	Exercise #7 – Instructions to Participants sheet #7

Time	Activity	What is needed
2 hours 30 minutes	**Activity 5** Exercise #8 Planning an Outcome Evaluation	Exercise # 8 Instructions to participants sheet # 8 Case materials from Exercise #7 Guidelines for Outcome Evaluators- Companion Series #1
1 hour	**Activity 6** Exercise #9 Using Feedback from Monitoring and Evaluation	Exercise #9 Instructions Sheet for Participants #9
L U N C H B R E A K		
1 hour 30 minutes	**Activity 7** Structured Discussion- on Compliance and Evaluation Planning	Evaluation Compliance Technical Note
20 minutes	Evaluation and closing	

- Introduce the Objective and session agenda then proceed from Activity 1.

Activity 1. Presentation and discussion (1 hour 15 minutes)

- Select the slides according to your audience. Don't spend too much time on the discussion of the concept- use the time to answer questions from the audience. Since this is a one-day session they have a more time to learn how the concepts are applied.

Activity 2. Quiz cards on Indicators (45 minutes)

- Distribute index cards, 1 set to each group. After 30 minutes, discuss any cards that participants were puzzled by or disagreed with. A good understanding of indicators is needed to benefit from the Exercises #8 and #9

Activity 3. Exercise #3 Getting Partners Involved (2 hours)

- Refer Exercise # 3 Getting Partners Involved (next page)

- Distribute copies of Instructions to Participants Sheet #3, which sets out the tasks they have to work on Explain briefly, if needed

- Tell them how much time they have

Exercise # 3 Getting partners involved

Purpose: Motivate others, and getting reluctant partners involved

Method: Group work using a question brainstorming that separates possibilities, realities and needs.

Total Time: 2 hours
Introducing the exercise, reading introductions (15 min)
Brainstorming (45 min)
Answering questions in groups (20 min)
Presenting answer and discussion (40 min)

Materials: Flip chart pads, Markers
Target Audience: UNDP programme staff, project staff, representatives, of government and partners

When to use: Use after a presentation of the concept

Instructions to Trainer:

Colour questioning is a structured form of question brainstorming in which the category of questions may be restricted to a particular colour.
Only questions pertaining to the following categories may be posed. Anyone can pose any number of questions, which the facilitator will jot down in green blue or red.

Green is for discovering **possibilities** (what if…)
Red is for getting at descriptions of **fact** (what is..)
Blue is for **needs** (what should…)

Step 1
Write the problem and post it on the wall
Write the Goal and post it next to the problem statement

The problem
Government /partners not involved

The Goal
Government/ partners fully committed and interested

Step 2
Start Question Brainstorming. The different types of questions should be written on flip chart paper posted on the walls using coloured markers of blue, red and green. Write the questions as they are posed. The regular rules of brainstorming apply. No editing or judging.

Green
-What if they knew the benefits?
-What if they were trained?
-What if they had more people?/
-More time?

Red
-What's missing in their understanding? -What's lacking in their actions?
-What's lacking in the information?
-What's the reason for the reluctance?

Blue
-Should we build capacity?
-Do they need more time?
-Should we offer help?

Step 3
Divide the group into three, to each group give one set of questions to answer. After each group has formulated and presented their answers. A composite picture should emerge on the facts or reasons for the non-involvement, and what can be done about it as well as what is needed to get to the achievement of the goal. Red group will present first. Followed by green then blue.

Step 4
Hold a final discussion on the following points:

- What we just did was a problem solving exercise that can be applied to other problems as well. This can be taken further and an action plan developed.
- What did we learn through this exercise about the problem and the possible solution?
- What did we learn about working together on a problem?

This exercise would be very effective if done with a mixed audience of government representatives and project staff.

Instructions to Participants Sheet # 3

Colour questioning is a structured form of question brainstorming. You brainstorm questions but the questions have to belong to the particular colour categories given below.

Anyone can pose a green question, blue question or a red question. The facilitator will jot down in green blue or red.

Green is for discovering **possibilities** (what if…)
Red is for getting at descriptions of **fact** (what is...)
Blue is for **needs** (what should…)

The regular rules of brainstorming will apply. No editing, or judging except to decide if the category fits.

Activity 4. Exercise #7 Designing Monitoring Tools (Irugao Case)

- Refer to the directions for Exercise #7 in Activity 2 of Session 4.

Activity 5. Exercise #8 Preparing for an Outcome Evaluation (group work)

- Refer to the directions for Exercise #8 in Activity 4 of Session 5.

Activity 6. Exercise #9 Feedback from monitoring and Evaluation

- Refer to Exercise #9 (next page)
- Distribute Instructions to Participants sheet# 9 which describes the tasks
- Distribute the tasks (A, B and C) among 3 groups. One group will do one task

Exercise # 9 Using Feedback from Monitoring and Evaluation

Purpose:	Learning what to do with monitoring and evaluation data
Method:	Group work using information from the Irugao case (Exercise #7)
Total Time:	1 hour
Materials:	Flip chart pads, Markers, SRF and Output, Indicator table from Exercise #7
Target Audience:	UNDP programme staff, project staff, representatives, of government and partners
When to use:	Always after Exercise #8 on Outcome Evaluation

Instructions to Trainer:

- Distribute Participants instructions sheet that describes the tasks.
- Distribute Tasks A, B and C.
- One group will do one task.
- After groups have made their presentations hold a discussion using the following questions.
    - How will you transfer the knowledge or information to stakeholders?
    - What steps can you take to integrate the learning into the design? Or the system? (Local Government, provincial government, UNDP national government)
    - Would you consider transferring the information to the communities- the poor and minorities?
    - What sort of time frame would you be working in?
    - What resources would you be looking for?
    - What format or channel would you use for sharing the learning- why?

Instructions to Participants Sheet Exercise # 9

The evaluation report provided you with the following information:

1. The most effective vehicles for advocating policies and programmes at the local government level
2. Suggestions for UNDP on how to influence budget reform among local governments and initiate change in internal revenue allocations in favour of poverty alleviation
3. Some Dos and Don'ts for the convergence and localization of anti-poverty programmes policies and processes
4. The best strategies for building capacities among LGU staff
5. How capacities can be built among peoples' organisations to enable them to take a stronger role in policy-level decision making- Who is best able to do this- and what are the most effective entry points

Imagine that you work for UNDP Irugao and describe how you would use the data (learning) to accomplish the following:

A. Improve design and delivery, implementation strategy and partnership strategy of this particular project

B. Improve poverty alleviation policies and how they are designed and implemented

C. Improve designs of capacity development initiatives within the country and within UNDP

Group 1 will work on A
Group 2 will work on B
Group 3 will work on C

<u>Bullets points are OK. Write clearly. You have 2 minutes to present.</u>

Answers

A. To improve design and delivery, implementation strategy and partnership strategy of this particular project you would need to ask:
   - What were the reasons for events that happened or did not happen, consider the events in relation to the context (outside the control of the project)
   - What additional inputs may be needed- funds, training etc.
   - What are the political implications of changing strategy or design? How will we get the stakeholders on board?
   - If there were any unexpected learning- or surprises that you did not capture in your monitoring methods- how did it happen?
   - How can we substantiate the recommendations of the evaluation before changing design or strategy?

B. To improve poverty alleviation policies and how they are designed and implemented you would need to:
   - Analyse if the recommendations on poverty alleviation policies are applicable in any context or is it peculiar to this one.
   - Transmit the learning to stakeholders, policy makers and the general public and hope it would generate a dialogue that would influence policy makers.
   - Analyse which policies were most effective and which were not so effective and why and transmit this information as well.
   - Analyse if the success of the policy depends on how it's implemented and by whom- who is able to best implement on poverty.

C. To improve designs of capacity development initiatives within the country and within UNDP you may have to:
   - Analyse the report to find out if the findings validated or resonated with the thinking behind capacity development (UNDP theories as well as the country's own practices).
   - Consider what factors outside the control of this specific result may have impacted on it.
   - Consider how you would share this data with UNDP and the planners within the country. What channels would you use?

Activity 7. Structured discussion (1 hour 30 minutes)

- Give participants 15 minutes to skim through the Evaluation Compliance Technical Note

- Divide large group by counting so that you will have 3 –4 groups for a total of 20 participants.

- Ask each group to discuss Compliance and Evaluation Planning and formulate 3 issues/questions/ comments/concerns they might have. They have 10 minutes for this.

- After the groups have finished (one issue or concern may surface in several groups) Narrow down the list and assign priority. Priority #1 is the issue or concern that most groups bring up regarding compliance and evaluation planning.

- Divide the time you have left among the topics for discussion. You may want to follow the structure below:

    - What are the facts (realities) pertaining to the issue/or concern?
    - What are ways that others have resolved this issue/question?
    - What are some concrete steps or suggestions resolving this issue/concern?

Session 7: Essentials of Monitoring & Evaluation: for Project Staff

Objective:

At the end of the session participants will be able to:

- Describe the new framework for monitoring and evaluation
- Use appropriate indicators
- Develop methods to monitor outputs, outcomes, partnership strategy, implementation strategy and soft assistance

What we will learn

1. Concept and Framework for M & E
2. Using indicators
3. Monitoring methods used by projects
4. Introduction to the Annual Project Review

Total time 4 hours 30 minutes (½ day)

Agenda

Time	Activity	What is needed
1 hour 15 minutes	**Activity 1** Presenting the Concept and Framework for M & E followed by short discussion	Presentation saved on disk and computer or slides. Handout of slides printed out- 1 copy per participant. Flip charts and markers.
30 minutes	**Activity 2** Quiz Card numbers-Indicators IN#1-7	Print out cards with answers printed on the back upside down, a set for each group.
1 hour 15 minutes	**Activity 3** Introduction to Monitoring Tools for Project Staff, Exercise #5	Participants Instruction Sheet #5 and Annex E of the Handbook on Monitoring and Evaluating for Results
1 hour 30 minutes	**Activity 4** Introduction to the Annual Project Report, Exercise #4	Participants Instruction Sheet #4 and Annex C of Handbook

- Introduce the Objective and session agenda then proceed from Activity 1.

Activity 1. Presentation and discussion (1 hour 15 minutes)

- Select the slides set meant for project staff

Activity 2. Quiz cards on Indicators (30 minutes)

- Distribute index cards, 1 set to each group. After 30 minutes, discuss any cards that participants were puzzled by or disagreed with. A good understanding of indicators is needed to benefit from the next two activities.

Activity 3. Exercise #5 Monitoring Tools used by Project (55 minutes for tasks 1 and 2, 20 minutes for discussion)

- Distribute, Participant Instruction Sheet #5. Introduce the Tasks 1 & 2

Exercise # 5 Introducing Monitoring Tools to Project Staff

Purpose:	Introduce Monitoring the different monitoring Tools for Project level monitoring
Method:	Group work
Total Time:	1 hour 15 minutes Introducing the exercise, selecting the project 10 Brainstorming 20 Answering questions in groups 10 Presenting answer and discussion 30
Materials:	Flip chart pads, markers, Annex E Menu of Monitoring Tools, Handbook on Monitoring and Evaluating for Results
Target Audience:	Project staff, government counterparts, UNDP programme management
When to use:	Use after a presentation of the concept

Instructions to trainer:

Introduce tasks 1 and 2

After the groups have finished ask them to exchange their work sheet with another group and make corrections (if any) as you discuss the answer sheet.

Hold a short discussion using the questions below on data sources and methods used for gathering data for monitoring.

- What methods do you use most frequently?
- Why do they seem most reliable?
- Which methods allow you to get direct feedback from the clients?
- How do you validate your results? How do you check if the outputs actually contribute to the outcome as they should?

Answer Task 1

Results	Monitoring Method
a. Output-Poverty monitoring and mapping activities at national & district levels initiated by the Poverty Unit b. Output-Central Coordination unit (for management of energy and national resources) established and performing efficiently c. Output-Advocacy campaign initiated to achieve 30% quota for women in decision-making positions in public sector d. Output-Judicial officers and support staff trained (using a manual) in understanding of gender violence using a developed training manual e. Output-A legal awareness & guidance process introduced to augment the delivery of legal aid f. Outputs-Trained legal specialists on procedures relating to human rights treaties	

Sources
Where would you go to gather data, examples may be clients, government officials, official records, training course participants Minutes of meetings

Methods
What ways would you collect data from the sources, methods include; surveys, content analysis, interviews etc.

Participants Instructions Sheet #5

Task 1

- What are possible data sources to gather data to monitor the following outputs?
- What methods of data collection would you use?

This data would be provided by the project manager to the UNDP programme manager, when reporting progress.

Results	Monitoring Method
a. Output-Poverty monitoring and mapping activities at national & district levels initiated by the Poverty Unit b. Output-Central Coordination unit (for management of energy and national resources) established and performing efficiently c. Output-Advocacy campaign initiated to achieve 30% quota for women in decision –making positions in public sector d. Output-Judicial officers and support staff trained (using a manual) in understanding of gender violence using a developed training manual e. Output-A legal awareness & guidance process introduced to augment the delivery of legal aid f. Outputs-Trained legal specialists on procedures relating to human rights treaties	

Task 2
Which of these methods have you used in your project? Describe how you used it-- to your group—describe also how effective it was.

You have 55 minutes for both tasks

Activity 4. Exercise #4 Introducing the revised APR format (1 hour 30 minutes)

- Distribute, Participant Instruction Sheet #4. Introduce the Tasks 1 & 2.

Exercise #4 Introducing the revised APR format

Purpose:	Introduce the revised APR format to project staff
Method:	Group work using an actual project
Total Time:	1 hour 30 minutes 1 hour for group work 30 minutes for discussion
Materials:	Worksheet # 4, Annex C of the Handbook on Monitoring and Evaluating for Results- (Annual Project Report)
Target Audience:	Project staff, government counterparts, UNDP programme managers
When to use:	Use after a presentation of the concept

Instructions to trainer:

- Ask participants seated in groups to select a project to discuss. Ideally, all who work for a project should sit together in one group, if this is not possible, have people who work for similar projects sit together for this exercise.

- Distribute the Instructions to Participants' Sheet #4. Explain the tasks. After the tasks have been completed hold a discussion through these questions:

Discussion questions:

- In the APR you may contribute comments on the contribution the project outputs are making/have made to the outcome- and comment on an observable changes. This is done with the Programme Manager, who has primary responsibility to provide the update on the outcome progress. Have you provided such comments in an APR of your project? If so, how were you able to comment on the outcome?

- What is the partnership strategy that you follow in your project? How do you monitor the strategy?

- What do you envisage doing differently now in respect to monitoring and data gathering?

Participants Instructions Sheet #4

Task 1

Select a project to discuss in your group. To select a project the group members will describe their projects to each other and the group will select the project they want to work on.

Task 2

Use the worksheet below, which is a reproduction of the annual Project Report format for discussing the selected project. You don't need to record the answers- just discuss them in the group.

Use Annex C Annual Project Report- for reference.

You have 1 hour for the two tasks.

ANNUAL PROJECT REPORT (APR)

The format of the APR is **fully flexible**. It must, however, cover the essential elements on results, namely progress towards outcome, outputs produced and relevant efforts on partnerships and soft assistance. Any other element can be added by each office, depending on project and results.

For project: ___________________*[Insert number and short title: CTY/99/002/D/99 – Poverty alleviation]*

Period covered: ________________*[Put the period since last APR. Normally the fiscal year, Jan 2002-Dec 2002]*

PROJECT PERFORMANCE - CONTRIBUTION TO THE SRF GOALS

[The table below briefly analyzes the contribution of the project during the period of review towards the attainment of an outcome. The Project Manager will concentrate on column "Update on outputs" but as the technical expert may have input or views for the column "Update on outcome" as well. Any given project contributes to one outcome. If the project or programme is large with several components it may contribute to more than one outcome – if so, include these as well, or cross-refer outputs to the outcome.]

SRF Goal: [imported from SRF]	**SRF Sub Goal:** [imported from SRF]	**Strategic Area of Support:** [from SRF]

Outcomes	Update on Outcome	Annual outputs	Update on Outputs	Reasons if progress below target	Update on partnership strategies	Recommendations and proposed action
Outcome [from SRF]	A brief analysis on the status of the situation and any observed change, any project contribution.	For SRF outputs, use SRF targets. For other outputs, use project document or workplan.	Achievements of the project in outputs (marking if strategic). Use data from workplan if no SRF targets set.	If applicable. Explores underlying factors and reasons for gaps in output and target.	Brief update on any achievement and/or problem (exception reporting).	Actions on any matter related to outcome, progress of outputs, and/or partnerships. Corrective measures. Responsibilities.

PROJECT PERFORMANCE - IMPLEMENTATION ISSUES

[There may be problems that are generic and not related to any specific output, or that apply to all of them. If so, the Project Manager fills out the "top three" such challenges. If considered indispensable, more can be added, although when the top problems are solved other issues will normally improve, too. If the issues have been covered through the table above, this section can be left empty.]

List the three main challenges (at most, if any) experienced during implementation and propose a way forward. Note any steps already taken to solve the problems.

1. ____
2. ____
3. ____

RATING ON PROGRESS TOWARDS RESULTS

[if the CO has decided to use rating of progress as a tool, the Project manager indicates his/her rating of progress for outputs; subsequently the Programme Manager indicates agreement (or rates differently) and rates progress towards outcome. These ratings can be used by the country office and/or Headquarters for the ROAR analysis, as well as for input to evaluations and other purposes for results validation.]

<u>For outcomes</u>:

☐ **Positive Change** (determined by evidence of movement from the baseline towards the end-SRF target measured by an outcome indicator)
☐ **Negative Change** (reversal to a level below the baseline measured by an outcome indicator)
☐ **Unchanged**

For outputs: Applied to each output target [for the strategic outputs only. If the parties want rating of all outputs, the ones not in the SRF would be based on the Project Document, work plans or any other agreement on expected results.]
☐ **No** (not achieved)
☐ **Partial** (only if two-thirds or more of a quantitative target is achieved)
☐ **Yes** (achieved)

SOFT ASSISTANCE NOT PROVIDED THROUGH PROJECTS OR PROGRAMMES

[Soft assistance contributes to the outcome and/or outputs. This section provides the Project Manager to inform of any activities or issues conducted *not* envisaged in the work plan or yet with concrete results. It aims to identify additional or specific activities that are required to ensure progress towards the outcome. This section of the APR could contribute to the reporting section in the ROAR regarding narrative on "advocacy and policy dialogue", and allows the country office and the project to work in the same direction in advocacy and dialogue. If soft assistance is not an issue for the project or too sensitive to address, this section can be left empty.]

What are the key activities (if any) of soft assistance undertaken by the project?

____

What are the main constraints in progress towards outcome that require additional soft assistance?
1. ______________________________
2. ______________________________
3. ______________________________

Please propose elements for soft assistance strategy for the next year: ____________________

LESSONS LEARNED

The lessons learned from the APR should serve as input to the performance analysis of the ROAR as well as the annual review that allows the partners to compile and exchange lessons learned from all projects and APRs.

Describe briefly key lessons learned during the year:
1. ____
2. ____
3. ____

Prepared by: _______________ (Project management, name and title)
[Note: Since reporting should as much as possible be electronic for efficiency, signature is not required. The Project Director can transmit it in an Email, through a website or a computer programme.]

Lecturette on Indicators

A note on indicators is given below. You may incorporate it in your discussion. Try to draw out answers from participants.

What is an indicator? *Collect responses on newsprint.*

- ✓ Signs that show the extent of change that resulted from projects or programmes.
- ✓ Indicators help to measure what actually happened in terms of quantity, quality and timeliness against what was planned.
- ✓ They measure progress in achieving outputs & outcomes

When are indicators established? For what purpose and by whom?

Indicators are established at the formulation stage by stakeholders and programme managers to help them measure the extent to which the project interventions contribute to outputs and outcomes.

What do indicators show?

Relevance
- ✓ Do the results meet the aspirations and the needs of stakeholders?
- ✓ Are the results valid and pertinent to the overall goals?

Performance (effectiveness)
- ✓ What progress is being made towards the outcome?
- ✓ Are these the right actions for achieving the outcome?
- ✓ Is this the right strategy to follow? (efficiency)
- ✓ Are the outputs delivered in a timely manner?

Progress (towards meeting outputs/ outcomes)
- ✓ What changes have occurred?
- ✓ Is there a plausible association between the changes and outputs?
- ✓ Do the outputs lead to the expected positive changes or outcomes?