Participatory Ecological Land Use Management

PARTICIPATORY MONITORING AND EVALUATION GUIDE

A Step by Step Guide for Building, Using and Sustaining Participatory Monitoring and Evaluation Systems in Organisations and Development Interventions

August 2008

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Foreword

I wish to congratulate the members of PELUM Uganda for finalizing the Participatory Monitoring and Evaluation (PM&E) guide. My special thanks go to the country desk for spearheading the process of developing this publication as well as Tudor Trust for the kind financial support.

I strongly believe that we shall all find this guide relevant since its development culminated from the great desire expressed by members following the introductory training on PM&E.

In most cases, monitoring and evaluation is viewed only in connection with providing accountability and assessing other visible elements. This leaves out those elements which cannot be directly felt or visibly expressed yet they affect our daily work in participatory ecological land use management, a trend which should be reversed.

All development interventions should adopt the practice of involving all stakeholders in monitoring and evaluation including those who were involved in designing the intervention and those affected by the activities of that particular project so as to rightfully assess whether the intervention is positive and leading towards achieving its targets/ goals.

This guide has been designed to help PELUM members on how to involve stakeholders while developing a PM&E system so as to come up with a strong, sustainable and relevant system that can contribute to higher standards of managing development interventions.

This guide will be relevant to managers, monitoring and evaluation staff and other staff of PELUM Uganda member organisations as well as PELUM Association during the process of developing and maintaining PM&E systems. It is divided into FOUR sections. Section one comprises of the background to PM&E, Section two introduces the reader(s) to the context of monitoring and evaluation. Section three gives the steps for building, using and sustaining PM&E systems in an organization while Section four gives a general overview of conducting an evaluation. The contents in the four sections are logically built with each section building on the previous one. This makes the guide user friendly.

I hope you find the guide informative and applicable to your organizations.

Mary Jo Kakinda
Country Representative,
PELUM Uganda.

Acknowledgment

This guide is a product of efforts of different stakeholders. Therefore, PELUM-Uganda extends her sincere thanks to member organisations and their representatives that participated in the PM&E capacity assessment as well as the guide validation workshop (Appendix 5 and 6). Special thanks go to Tudor Trust for funding the development of this PME guide.

PELUM-Uganda is grateful for the good work done by Mr. Robert Waswaga (Consultant) of Kenwill International Limited as well as Mrs. Stella Grace Lutalo (Country Coordinator) for successfully managing the process of developing the PME guide.

Special thanks also go to the following representatives of PELUM member organisations, Mr. Joris Beckers (Africa 2000 Network Secretariat), Ms. Goele Dnykoningen (International Institute for Rural Reconstruction) and Mr. Justin Ojambo (Organisation for Rural Development) for their constructive input to the guide and contributing to its final review.

Finally sincere appreciation goes to the PELUM Uganda country desk staff for participating in the editing of this guide.

Abbreviations

CREAM	:	Clear, Realistic, Economic, Adequate, Monitorable
CSO	:	Civil Society Organizations
FGD	:	Focus Group Discussion
HIV/AIDS	:	Acquired Immunodeficiency Syndrome
ICT	:	Information, Communication & Technology
M&E	:	Monitoring and Evaluation
NGO	:	Non Governmental Organization
PELUM	:	Participatory Ecological Land Use Management
PME	:	Participatory Monitoring and Evaluation

Preamble

Many of the technocrats in development understand that social development can be distinguished from economic development. However, we continue to see monitoring and evaluation (M&E) practices, as well as poverty reduction strategies, as primarily informed by an economic perspective. Economic perspectives imply a tendency to look for and value things that are measurable and tangible. M&E thus continues to focus heavily on the management of output and results. We continue to hear a very strong plea for results from donors.

Accordingly, many donor supported organizations, are increasingly required to demonstrate results to 'prove' the impact of the financial support for their work. While this economic perspective is of value, it has created a world where the complexity, dynamism and multidimensional nature of specific local contexts – which are central to social development – are often overlooked. By failing to pay attention to the invisible, intangible forces that shape dynamic relationships, we lose the opportunity to appreciate situations in their wholeness. These interconnections and relationships are constantly evolving. By approaching them as if they are fully formed, we make the mistake of treating them as finite and discrete. So, if we focus predominantly on economic indicators for measuring the impact of our interventions in ecological land use situations, we overlook the dynamism, multi-dimensionality and complexity of the forces that have created them.

The polarization between accountability and learning is a central issue in today's monitoring and evaluation (M&E) debates. In spite of a constant reference in M&E literature to its learning purpose, most M&E practitioners very quickly admit that the majority of monitoring or evaluation efforts are prompted by accountability requirements. Even organizations that have developed in-house M&E systems and who are committed to organizational learning, find that the information collected is used primarily to underpin annual reporting, reporting to donors or, in the best case scenarios, for downward accountability.

It is hoped that PELUM and its member organizations will be able to move beyond measurement that only focuses on the visible to penetrate and apprehend those invisible elements that constitute so much of what ecological land use development is about.

PART 1: Introduction To PME Guide

1.1 Part Objective:

This part gives information about the purpose, audience and process of developing this PME guide as well as its lay out.

1.2 Purpose of the Guide

The objectives of this guide are threefold:

i) To build the capacity of members in setting up, managing and utilising participatory monitoring and evaluation systems
ii) To increase participation of different stakeholders (communities and member organisations) in monitoring and evaluation
iii) To contribute to improving management of development interventions by strengthening monitoring and evaluation systems of member organisations.

1.3 Process of Developing the Guide

The process of developing the PME Guide started in February 2007 after an introductory training on PME for PELUM member organisations' M&E focal persons. As a follow up, participants expressed great desire to have a guide which could enable them accomplish their PM&E responsibilities. The PELUM country desk followed up this request by commissioning a PME capacity assessment study where 17 member organisations participated *(Refer to Appendix 5 for the list of organisations that participated in the assessment).* The PME study revealed critical areas in which members needed the support or which the guide could respond to. The findings of the assessment informed the scope of this guide.

Using the assessment results, the consultant developed an outline of the guide which was discussed with the Country Coordinator for her input. The agreed outline was used to develop the first draft of the PME Guide. In order to make the guide more responsive and user-friendly, a validation workshop was held, where 25 participants from PELUM member organisations gave their comments and inputs on the draft guide *(Refer to Appendix 6 for list of participants)*.

The consultant incorporated comments from the validation workshop and submitted the second draft to the Country Coordinator who worked with a reference group comprising of Mr. Joris Beckers (Africa 2000 Network Secretariat), Goele Dnykoningen (International Institute for Rural Reconstruction) and Justin Ojambo (Organisation for Rural Development) to do a final review of the guide. This guide is therefore a reflection of views of PELUM Uganda members.

1.4 Target Audience of the Guide

This guide is intended for use by:

a) *Managers:* the people responsible for managing the various aspects of intervention implementation. This includes the project director, managers of project components and the responsible managers of partner or contracting organisations who are implementing a specific constituent of the project;
b) *M&E staff:* the staff of PELUM and her members, implementing partners and contractors who have responsibilities for setting up and/or implementing M&E systems;
c) *Consultants:* people providing external assistance on project design, PM&E and information management;

1.5 Lay out of the Guide

The guide is organised in 4 parts: Part 1 provides a background to the PM&E Guide while part 2 focuses on introduction to Monitoring and Evaluation. It gives an overview of M&E. This is

followed by part 3 which is composed of 10 steps for building, using and sustaining a PM&E system in organisations and development interventions. Finally part 4 presents an overview of conducting an evaluation.

Each part has an objective and with step objectives for part three. Each part also gives a brief introduction to the subject at hand as well as practical steps for accomplishing the expected output. Key words in each section are bolded.

The guide is supported by worksheets (tools), examples or illustrations to facilitate understanding and application of the guide by intended users. In some sections, tips are used to highlight critical points to be borne in mind by users of the guide. Additional resources (examples) have also been appended to the document.

Whereas the guide is presented in a logical manner, with one step building on the previous one, it is possible to pick any element and apply it depending on the needs of the user. Therefore, steps presented in part three are not linear.

PART 2: Introduction to Monitoring and Evaluation

2.1 Part Objective:

By end of this part, users should be able to appreciate different key concepts and elements in monitoring and evaluation;

2.2 History of M&E

Monitoring and evaluation has been part and parcel of humanity since time immemorial. For example, the ancient Egyptians monitored the quantities of food produced by each household. In most Ugandan societies, communities have tended to gauge indicators of different events such as good harvest, drought and food insecurity (famine) among others. The information on such events enables the community to be aware of the happenings and sometimes make plans of managing expected events. The M&E of this era is based on outputs or goods and services produced. In the last century, development actors have tended to move beyond outputs to results. The current debate therefore has been centred on measuring the extent to which outputs (goods and services) contribute or lead to changes in the state of the target groups of any development interventions. This is sometimes referred to as managing for results.

Additionally, in the 1980s and 90s there emerged strong emphasis on participatory development or people centred development. This approach emphasised participation of people in determining their own destiny. Along with this shift in development approach came Participatory Rural Appraisal (PRA) which took a centre stage in Asian countries. A key philosophy driving PRA was empowerment of the rural communities. With this philosophy, communities were brought to the forefront of the development agenda. This practice was extended to the field of evaluation, where participatory monitoring and evaluation emerged to enlist participation of communities in monitoring and evaluations.

2.3 Definition of Monitoring and Evaluation

In this guide, monitoring refers to the process of keeping track of progress and reviewing whether project implementation is progressing according to agreed plans and planned results while **evaluation** is the assessment of a planned, ongoing, or completed development intervention[1] to determine its relevance, efficiency, effectiveness, impact and sustainability.

2.4 Types of Monitoring and Evaluations

Monitoring and evaluation can be categorised according to elements or levels measured or according to the person or institution which takes lead in setting up, managing and using the system.

In terms of elements measured or tracked, M&E can be categorised as traditional and results based M&E.

a) **Traditional monitoring** focuses on implementation monitoring which involves tracking inputs (financial resources, human resources, materials, strategies), activities (what actually took place) and outputs (the products or services produced). This approach focuses on monitoring how well a project, program or policy is being implemented and is often used to assess compliance with work plans and budgets[2]. The scope of the M&E system developed following this guide goes beyond traditional monitoring.

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1 Development Intervention is used to mean plans, projects, programmes, policies or strategies.

2 J Z Kuzek & R C Rist (2004) Ten Steps to a result-based Monitoring and Evaluation system, Washington DC, The World Bank.

b) Result based monitoring: Is a continuous process of collecting and analyzing information to compare how well a project, program or policy is performing against expected results. This guide enables users to undertake results based monitoring and evaluation.

In terms of leadership and utilization, the M&E can be categorized as conventional and participatory monitoring and evaluation:

a) Conventional monitoring and evaluation: Is where people who are not part of the community—such as donor representatives or external consultants—are primarily responsible for identifying needs, developing a general project concept, providing money and other resources, then monitoring and evaluating project activities.[3]

b) Participatory monitoring and evaluation: Supports active involvement within the monitoring and evaluation process for those who have a vested interest in an intervention. Such stakeholders include beneficiaries (primary stakeholders), service providers, partners (donors, governments and civil society organisations) and customers, along with any other interested parties[4]. This guide focuses on this type of monitoring and evaluation.

2.5 Types of Evaluations

Different forms of evaluations are conducted by development actors. Evaluations may be categorized according to who takes the lead or participates in the evaluation, level of emphasis and time at which an intervention is evaluated as well as the nature of intervention being evaluated.

In terms of who takes the lead, evaluations can be categorized as participatory (where stakeholders shape and use the evaluation outcomes) or conventional evaluation (led by external agents).

Evaluation can be conducted before implementation to ascertain feasibility of the plan intervention (appraisal), during the course of project implementation (mid-term or summative evaluation), at the end of the project (end of project evaluation) or long after project has been implemented (impact evaluation). Evaluation could focus on implementation (traditional or process evaluation) or implementation together with the results (results based evaluation).

In terms of intervention being implemented, evaluation may be project, programme, strategy or institutional specific.

Refer to Box 1 for detailed definitions of the different forms of evaluations listed in this section.

3 CORE Initiative (2004) Participatory monitoring and evaluation of community and faith based programmes
4 S Anatole (2005) public involvement through participatory monitoring and evaluation

Box 1: Forms of Evaluation

Ex-ante or prospective Evaluation: An evaluation that is performed before implementation of development intervention (refer to appraisal).

Ex-post evaluation: Evaluation of a development intervention after it has been completed. It may be undertaken directly after or long after completion. The intention is to identify factors of success or failure, to assess the sustainability of results and impacts, and draw conclusions that may inform other interventions.

Mid-term evaluation: Evaluation performed toward the middle of the period of implementation of an intervention.

Formative Evaluation: Evaluation intended to improve performance, most often conducted during the implementation phase of the project or programme.

Performance evaluation: An evaluation that gauges the extent to which an intervention has achieved its results

Summative Evaluation: An evaluation that is conducted at the end of an intervention (a phase of that intervention) to determine the extent to which anticipated outcomes were produced. Summative evaluation is intended to provide information about the worth of the programme.

Process evaluation: An evaluation of the internal dynamics of implementing organisations, their policy instruments, their service delivery mechanisms, their management practices, and the linkages among these – refer to formative evaluation.

Project evaluation: Evaluation of an individual intervention designed to achieve specific objectives within specific resources and implementation schedules, often within the framework of a broader programme.

Programme evaluation: Evaluation of a set of interventions, marshalled to attain specific global, regional, country or sector objectives.

Participatory Evaluation: An evaluation method in which representatives of agencies and stakeholders work together in designing, carrying out and interpreting an evaluation

Institutional Evaluation: It refers to assessment of organisations to determine impact of their work, effectiveness of internal operating procedures, and relevance of their mandate in comparison to the context or their constituency.

2.6. Participatory Monitoring and Evaluation

In this guide, **Participatory Monitoring and E valuation** involves participation of stakeholders in the monitoring and evaluation of development interventions plus joint action taken as a result of the monitoring and evaluation findings. As highlighted in section 2.4, participatory monitoring and evaluation can be contrasted with conventional monitoring and evaluation because unlike the conventional method, it places strong emphasis on participation of stakeholders in the entire process of monitoring and evaluation. The differences between the two are highlighted in the section hereunder.

2.7 Differences between Participatory and Conventional M&E

The differences between participatory and conventional monitoring and evaluation are presented in table 1 hereunder.

Table 1: Differences between Participatory and Conventional Monitoring[5]

Element	Conventional monitoring	Participatory monitoring
Why	Accountability, usually summarises judgments about the project to determine if funding continues	To empower local people to initiate, control and take collective action
Who	External experts	Community members, project staff, facilitator
What	Predetermined indicators of success, principally cost and production output	People identify their own indicators of success
How	Focus on scientific objectivity, distancing of evaluators from other participants, uniform complex procedures, delayed or limited access to results	Self evaluation, simple methods adapted to local culture, open immediate sharing of results through local involvement in evaluation processes
When	Midterm and completion	Any assessment for programme improvement, merging of monitoring and evaluation hence frequent small evaluations

2.8 Importance of PM&E

The rationale of PM&E is fourfold:

- To build local capacity of project stakeholders to reflect, analyse, propose solutions and take action. Without PM&E local capacities in M&E are absent among marginalized communities.
- To facilitate joint learning, adjustment and taking corrective action to ensure the achievement of results such as adding or deleting activities or changing one's strategies;
- To provide accountability at all levels from the community, organizational level to those responsible for the implementation and funding of the project. In other words without PM&E there will be no accountability to all sections of organizational and intervention stakeholders, especially the communities or target group for the development entity.
- To celebrate and build on what is working. Without PM&E, implementing agencies always take the credit and sustainability of benefits resulting from the development interventions get compromised as good practices and areas for improvement cannot be easily identified and for consolidation or improvement. However, with PM&E as a shared victory between

5 *Source: Coupal, Francoise, July 2001. Results-based Participatory Monitoring & Evaluation*

different stakeholders as well as reflecting on good practices, it enhances institutionalized learning.

2.9 M&E and Result-Based management

Every development intervention is normally started with a purpose. For this purpose to be attained, implementers must ensure that a set of actions are undertaken. In other words, activities must be performed to generate certain outputs which will then lead to changes or attainment of the purpose. The process or strategy of focussing on performance and achievement of outputs and results is referred to as results based management. This process requires continuous generation of information to gauge progress on planned performance and achievements. This is the point at which monitoring and evaluation plays a critical role in results based management as it generates progress information which feeds into management and learning systems for different institutions. Monitoring and evaluation is therefore an integral part of the planning function within organisations and development interventions.

2.10 Choosing the Type of M&E and its Implications

Organisations are free to choose any type of M&E system which suits their objectives and convictions. For an organisation which strives to empower its stakeholders, participatory monitoring and evaluation will be ideal while for an organisation which is internally driven, a conventional monitoring and evaluation will be recommended. Each of these two systems can either take a traditional approach (focus more on inputs, activities and outputs) or result based (focus on traditional aspects as well as outcomes and impacts).

In order to choose the appropriate PM&E system, the organisation should be ready to invest ample resources (time, money, capacity building, and innovation) to make it more applicable and relevant so as to attain its objectives. This means that an organisation that does not have sufficient resources and capacity to facilitate this participatory process will not find PM&E very practical and affordable.

On the other hand, an organisation with limited resources may opt for a conventional M&E system where few individuals take the lead in setting up, managing and generating information for performance improvement. However, choosing this option means that organisation has to forego the objectives of empowerment, ownership of the system as well as the project.

It is important to note that purely traditional monitoring and evaluation is no-longer acceptable to most stakeholders such as donors and community members whose objective is to ensure that interventions impact positively on quality of life of target communities. Traditional monitoring and evaluation is mainly practiced by financial controllers (accountants, auditors) whose scope mainly focuses on outputs as opposed to effects of outputs.

2.11 Positioning M&E in Organisational Strategy and Project Cycle

2.11.1 M&E in Organisations

The operations of most organisations are guided by medium and long term strategies covering a period of over three years. These strategies are branded differently but include strategic plans, country strategies, long term or long-range strategic plans. Most organisations have chosen a participatory approach to developing their strategic plans. The strategic plans define what the organisations intend to achieve for a foreseeable future. The strategic plans define vision, mission or purpose of existence, values, strategic objectives, strategies, outputs and activities of the organisations.

A good strategic plan should have a strategic M&E plan which defines the intended impact, strategic outcomes, outputs indicators, data collection and sharing arrangements. If the development of the strategic plan is participatory, it marks the beginning of a participatory monitoring and evaluation systems for the organisation. In other words, an organisation should have an inbuilt M&E system incorporated at the stage of developing the strategic plan. Logical frameworks are part of an M&E system and are indicators of developing an M&E system.

It should also be observed that for an organisation whose conception of projects and programmes takes the strategic focus, should have interventions guided by the strategic plan.

2.11.2M&E in the Project Cycle

Project cycle refers to the process through which a project evolves, from its conception to completion. The project cycle consists of systematic steps which build on each other. In the context of this guide, we are talking about a participatory project cycle. Key steps or processes in participatory project include: participatory appraisal, participatory planning and project design; participatory development of baseline indicators; participatory baseline data collection; participatory monitoring and evaluation plan design; participatory implementation; participatory monitoring and review, participatory evaluation; feedback and participatory decision-making / reflection and action.

In the context of this guide, participatory monitoring and evaluation is a key step in the participatory project cycle. It builds on involvement of community members at every stage of the project and is part and parcel of project planning and management. It is important to note that there are challenges and limited benefits to introducing PM&E in the middle of the project cycle. It is therefore recommended that any intervention or organization which desires to adopt PM&E introduces it at the beginning of the project or during its strategic planning process.

2.12 Rediscovering the Log frame

Despite their clear limitations, logframes can still be used in a participatory way that lets stakeholders agree on what they are going to do and how they will measure this. The debates around log frames have typically been highly polarised. There are those who have made the decision that the Logical Framework Analysis (LFA) is a ‘Lock Frame’ that does not assist with planning or monitoring of projects / programmes. Others grin and bear it as they struggle on with them, acknowledging their imperfections, but feeling the log frame is still the best tool available.

The LFA may be deeply flawed - but it is a component of currently in-vogue results based management and can involve intensive stakeholder participation, at least at the planning stage.

PART 3: Setting Up A Participatory M&E System

Part Objectives:
The objectives of part 3 are two fold:
- To enable users build, use and sustain participatory M&E systems for their organisations and development interventions.
- To generate information which can be packaged into an organisational or project specific PM&E handbook (Appendix 1)

3.0 Introduction

The main purpose of this guide is to enable PELUM members build, use and sustain PM&E systems in their organisations and development interventions. An **M&E system** refers to a set of planning, information gathering and synthesis, and reflection and reporting processes, along with the necessary supporting conditions and capacities required for the M&E outputs to make a valuable contribution to decision-making and learning[6]. This section therefore highlights key steps of helping PELUM members to build and use participatory M&E systems by and for themselves. This section presents a sequence of steps in building, using, and sustaining participatory M&E systems in organizations and projects. Below are the ten steps on the journey to building a project or organization specific PM&E system.

3.1 STEP 1: Reflections on PM&E Capacity Within The Organisation

3.1.1 Step Objectives:

By end of this step, you should be able to:
- Assess whether your organisation has sufficient capacity to effectively use and sustain the PM&E system to its benefit.
- Identify strengths upon which your organisation can build on and challenges to be addressed in improving PM&E capacity

3.1.2 PM&E Capacity

An M&E system which is not used is as good as nothing. It is therefore important for organisations to ensure there is necessary and sufficient capacity to set-up and use PM&E for improving management of development interventions as well as organisations. Organisations need to reflect or assess their capacity in line with capacity issues discussed below.

3.1.3 Pre-requisites for a functional PM&E system

A functional PM&E system does not happen by accident but rather through putting in place necessary conditions. These conditions include institutional capacity and incentives for ensuring that the system works to the benefit of the organisation or development intervention. Below is an elaboration of the necessary conditions for a functional PM&E system. They include human resource capacity, incentives, structure for PM&E, information system as well as finding finances and resources to do the job.

a) People Capacity

For PME to be effective, you need skilled people who can, between themselves, fulfil the M&E functions and tasks. Key tasks include designing the general outline of the M&E system, setting up and operating supportive data management systems; facilitating learning in reflective events; and managing the communication of PM&E findings. Meeting capacity needs will require that an organisation or intervention:

6 *Adopted from IFAD (2002) A glossary of M&E Concepts and Terms*

- *Acquires the right people by* hiring already trained people; training your staff (internally or via external courses); and hiring external consultants for focused inputs.
- *Ensures capacity of good quality by* removing disincentives and introducing incentives for learning; being clear about what you expect; keeping track of staff performance through regular appraisals; outsourcing data verification; striving for continuity of staff; and finding a highly qualified person to coordinate PM&E.
- *Builds capacity for PM&E.* Start by developing a participatory M&E training plan for all stakeholders. This entails agreeing on who is expected to do what and assessing if they have the necessary skills and conditions. You can undertake training using a combination of these three options: external courses, internal courses, tailor-made courses for stakeholders and link them to the development of the M&E plan itself; and on-the-job training/mentoring (coaching).
- *Invests in capacity for participatory M&E (PM&E)*. Work closely with staff, implementing partner staff and primary stakeholders to identify what is needed to make PM&E work and to develop plans to fill capacity gaps. When working with consultants on PM&E, clearly define her/his responsibilities, hire the same consultant(s) to ensure consistency in approach and build relationships among stakeholders; also, include PM&E in the terms of reference (TOR) and discuss with each potential candidate how she/he views PM&E.

b) Paying Attention to Incentives

Putting in place incentives for M&E means offering stimuli that encourage managers, M&E officers and primary stakeholders to perceive the usefulness of M&E, not as a bureaucratic task, but as an opportunity to discuss problems openly, reflect critically and criticise constructively in order to learn what changes are needed to enhance impact. It involves implementing things that promote learning culture and removing disincentives.

When thinking about incentives, consider those you can put in place within the boundaries of the organisation, that is, with minimal changes, and also those that might require structural changes to the way the organisation (project) is structured and operated. Also consider whom they are meant to stimulate so that they connect with learning-oriented and participatory M&E. This will allow you to fine-tune incentives for particular groups.

Incentive systems should be equitable, applied in a timely fashion, in line with the organisation‘s (project) principles and strategies, and recognised as part of a project’s policy. Incentives need to be context specific and aimed at supporting sustainability of efforts. This is why financial incentives are undesirable in many contexts, as sustaining them beyond the life of the project would be unfeasible.

Good incentives for M&E are closely linked to general management efforts to improve overall project (organisation) performance. Examples of common incentives include: clarity of M&E responsibility in job descriptions and work plans; appropriate salaries and other rewards, such as housing and vehicle use; support to carry out required project activities, such as making financial and other resources easily available; and professional development for career advancement.

Additionally, there should be a political will for M&E within the organisation if the M&E system is to work. For M&E to be sustained there should be internal demand for M&E results as well as external actors demand. There should also be a champion (leader) whose motives need to be examined to avoid fulfilling individual needs that do not benefit the organisation.

c) Getting an Optimal Structure for M&E Responsibilities

Getting the basic structure for an organisation or intervention M&E functions and responsibilities right can avoid major communication bottlenecks, conflicts of power and interest, forgotten or duplicated tasks, and wasted efforts. This saves resources and headaches. Defining responsibilities requires considering the most appropriate contribution for project staff, partner organisation staff and primary stakeholders and how to link these. M&E is part of every single person's job, from the messenger to the project director. Monitoring is a daily and spontaneous activity. It is important that M&E functions also have a clear position in the project or organisation structure, whether among project staff, with partners or among primary stakeholders. High visibility and clear positions of authority for those with M&E responsibilities can help link information to its use in decision-making.

To ensure clarity of M&E functions and tasks: define the M&E responsibilities of implementing partners and primary stakeholders; consider what staffing levels are appropriate for the set of M&E tasks and functions you need to fulfil; allocate clear levels of authority to M&E-related staff; ensure overlap between project management and M&E; and use detailed job descriptions for each staff member to coordinate inputs.

Organisations can use consultants in some form, local or foreign, short or long-term, extending big responsibilities or small tasks. Ensure that:

- you are using them strategically for M&E development in ways that build local capacity and build on existing M&E forms;
- when contracting them, you are completely clear about what you expect them to add to the existing systems and expertise, by when and in what manner (particularly vis-à-vis primary stakeholders) they are expected to work;
- you are working with as much continuity of consultants as possible to minimise the need to reconcile conflicting advice.

d) Thinking through the Information System

Documentation provides the foundation for interactive communication, transparency, consensus-building and continuity.

There is need to gather and store two types of information such as impact-related information to guide the project strategy and progress-related information to help track operations. The storage of this range of information, from survey data to copies of contracts and correspondence, will probably require different information storage systems.

Computers can make a critical contribution to tracking and using data but are not an answer to every data storage and processing challenge. Achieving impact certainly does not depend on computerising data. Information that needs to be shared can also be photocopied and circulated, with each recipient using a common filing system.

e) Finances and Resources to do the Job

Solid and systematic learning costs money. Financial resources are needed for the time people spend, for supporting information management systems, training, transport, and so forth.

Key items to include in the budget are:

- Contracts for consultants/external expertise (fees, boarding and travel expenses);
- Physical non-contractual investment costs (computers, filing system);
- Recurrent labour costs (permanent staff salaries, temporary support staff);
- Focused labour inputs, such as technical assistance, TA (short or long term, national or international);

- Training and study tours for M&E-related capacity-building;
- Non-labour operational costs (e.g., stationery, meetings, allowances for primary stakeholders and project implementers, and external data such as maps)

M&E should have a budgetary allocation in the project. While there is no specific percentage to be allocated, the observation is that it varies between 2.5% and 10 %. The percentage depends on the size of funding and the project. The M&E budget should not be too big because other M&E activities are normally catered for in other project objectives and activities. The more participatory the M&E system is, the higher the M&E budget.

3.1.4 Broad Issues for M&E Capacity Assessment:

The following areas should be examined to identify the capacity strengths and weaknesses in monitoring and evaluation in organisations:

- Does the organisation have a human resource and institutional Capacity to design, implement and effectively utilise an M&E system? What is the purpose of M&E in a particular organisation? Who will be the champion for M&E in the organisation?
- Does the organisation have right incentives to promote sustainable application of M&E?
- To what extent has the organisation or project defined clear M&E structures for M&E Responsibilities within the organisation?
- What information system does the organisation use or intends to use to process, store M&E data and information? How practical is the data storage system?
- How does the organisation meet M&E costs? Are M&E costs covered in project or organisational budgets? What is the percentage share of the M&E budget in the project or organisation?

Using worksheet 1 summarise the M&E strengths and weaknesses for your organisation or project. Reflect on this assessment to draw a list of feasible and critical actions you should implement to consolidate existing strengths and address challenges to sustain your M&E system. Refer to Example 1 below for learning purposes.

Example 1: Strengths and Weaknesses of PELUM-Uganda Country Desk

Area	Strengths	Weaknesses	Critical Actions
a) People Capacity	– Current coordinator and some staff are trained in PME	– Lack of PME specific staff	➢ Recruit PME staff
b) Incentives	– There is political will from the coordinator and Board to adopt and operate a PME system	– The strategic plan is weak on PME	➢ Incorporate PME in the next strategic plan
c) M&E structures	-	– No systematic structure for PME	➢ Put in place PME structure, define roles of different staff and member organisations in PME
d) Information	– There is strong networking as a key methodology for gathering information	– There are no materials for generating M&E information	➢ Operationalise the PME manual
e) Information management system	– Availability of computers and internet	– No tailor made M&E computer system in place	➢ Put in place a tailor made PME system
f) Financial resources for M&E Function	– Availability of M&E funds at project level	– There is no overall budget for PME	➢ Create a PME independent budget

Worksheet 1: M&E Strengths and Weaknesses

Area	Strengths	Weaknesses	Critical Actions
a) People Capacity			
b) Incentives			
c) M&E structures			
d) Information			
e) Information management system			
f) Financial resources for M&E Function			

3.2.0 STEP 2: IDENTIFYING INTERESTS OF M&E STAKEHOLDERS

Key Words: M&E Stakeholders

3.2.1 Step Objective
By the end of this step you should be able to list major stakeholders and their M&E needs.

3.2.2 Organisational Stakeholders and their M&E Expectations
Stakeholder analysis is a common tool in development practice and enables development facilitators to evaluate how well they intend to respond to different interest of critical stakeholders. In M&E, stakeholder analysis is used to identify the different types and forms of M&E information demanded by different stakeholders. Different stakeholders place varying degree of emphasis to different types of information depending on their needs and interests.

For example, the M&E information needed by management is very different from M&E information needed by target group or primary stakeholders, so is the information needed by donors and government. Where as project managers are more interested in performance of an intervention, government may be interested in how the intervention is contributing to solving the problem at hand (poverty, HIV/AIDS, food security).

It is therefore important to identify the different needs of different stakeholders to ensure that the information generated serves the interests of different stakeholders (Refer to Example 3 for M&E stakeholder analysis).

3.2.3 How to Identify M&E Needs of Stakeholders
Using Worksheet 2, follow steps below to identify M&E needs of different stakeholders for your organisation or project:

a) Identify and list down all stakeholders for your organisation or development intervention. Ensure that you pay special attention to internal and external stakeholders. Leaving out some stakeholders may increase the possibility of not meeting their needs and interests which will in turn lead to gaps in reporting
b) For each stakeholder listed identify their M&E needs by asking the question: what M&E need or interest does the stakeholder have in our organisation or project. It is important to enlist views of stakeholders on M&E needs to make it more participatory. Donors and beneficiary community members should be encouraged to participate in articulating their M&E needs.
c) Review the stakeholder analysis and agree on clear and concrete expectations. Generally, the needs will range from learning, accountability, credibility, impact or elimination of problems being addressed.

Example 2: PELUM-Uganda country desk Stakeholder M&E Information Needs

Stakeholder	M&E Information Need
a) Member organisations	➢ Training, information and learning
b) Donors	➢ Accountability and credibility
c) Government	➢ Impact or elimination of problems addressed by government ➢ Credibility (accountability)
d) Staff	➢ Training, clear job descriptions of what to do for PME
e) Management Committee	➢ Accountability, credibility and performance

Worksheet 2: M&E Stakeholder Information Needs

Stakeholder	M&E Need
1.	
2.	
3	
4.	
5.	
6.	
7.	
8.	
9.	

3.3.0 STEP 3: DEFINING THE PURPOSE AND SCOPE OF THE M&E

3.3.1 Step Objective:

By end of this step, the user should be able to:

i) Define the purpose and objectives of your M&E system
ii) Choose the scope of the M&E system of your organisation or development intervention:

3.3.2 Defining Purpose or Objectives of your M&E System

Why does your organisation or development intervention require M&E: Organisations build or develop M&E systems for various reasons. It is therefore important to define what the organisation intends to achieve through building and using an M&E system for its project.

A starting point in defining the objectives of the M&E system for your organisation or development intervention is revisiting the stakeholder analysis and capacity assessment in previous sections (Worksheet 1 & 2). This will enable you to identify common reasons for building an M&E system. The reasons can be synthesised into very few clear objective statements. Refer to Box 2 for illustration on such objective of building an M&E system:

It is important to write down agreed objectives of your M&E system after generating consensus from participating stakeholders. In case there is no ample time for many stakeholders to engage in the process of defining the objectives of the system, one or few individual staff members or stakeholders could take the lead and share the draft objectives with a wider meeting for finalisation. The agreed M&E system objectives should be written down in Worksheet 3

Box 2: Sample of Objectives of an M&E system

a) To enhance the flow of information and provide feedback to different levels of stakeholders
b) To give accountability to development partners and stakeholders on the performance of the organisation/programmes
c) To promote institutional learning, reflection and documentation of sound practices.

Worksheet 3: M&E Objectives

Objectives of M&E System for Organisation X
Objective 1
Objective 2:

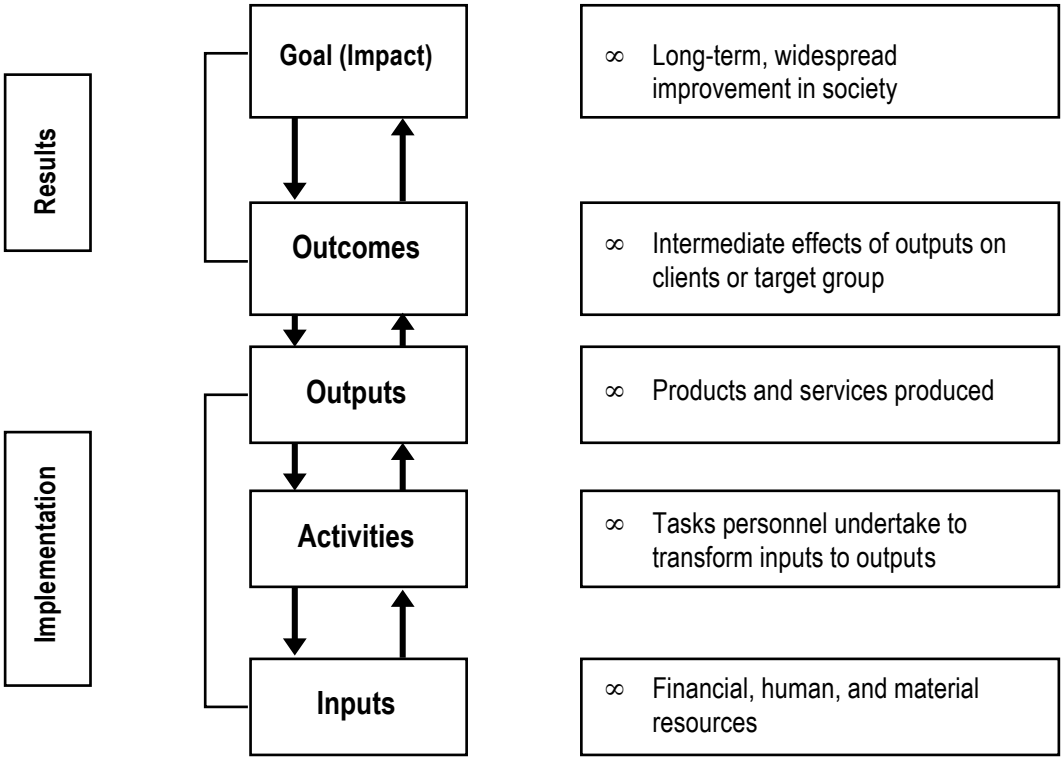
Tip: M&E objectives will comprise aspects of learning, accountability, performance and credibility. It is also good to agree on common principles that will guide your M&E system.

3.3.3 Levels of M&E or Results Chain:

Having defined your M&E system objectives, put in context the M&E needs of different stakeholders and reflect on the scope of what you intend to measure and report on in your system. To be able to choose at what level your system should focus, refer to logical framework or logical model.

In any development intervention, implementers have a purpose (goal, derived out of short term and intermediate results (outcome) produce outputs by undertaking certain actions which require certain resources or inputs. These components form a results chain as illustrated below:

Figure 1: Results chain



Source: Bennendij, 2000

A results chain is based on the fact that for any changes or development to take place, there is need for logical action which leads to each other. For example, providing seeds and farm implements to a farmer (**inputs**) will enable the farmer to plant his/her crops (**Activity**), which will lead to planting a given acreage (land size under cultivation) – (**Output**), this will lead a farmer to increase in productivity of a particular crop (**Outcome**). Increase in productivity will lead to improved food security and incomes (**impact**) if external factors do not change.

Alternatively, to improve food security and incomes for rural farming households, one needs to increase agricultural productivity. Agricultural productivity will require improving technology (seeds) as well as expanding land under cultivation. For a farmer to cultivate a given acreage, there are a series of activities to be undertaken, which require certain resources or inputs.

The text boxes besides inputs, activities, outputs, outcomes and goals are corresponding definitions for each of these terms.

3.3.4 Choosing the Scope of Your M&E System

M&E scope means the result chain components covered by your M&E system. The purpose of your M&E system plus the stakeholder interests determines where your organisation lays emphasis on the results chain. If M&E needs are dominantly on implementation, emphasis will be on tracking inputs, activities and outputs. In this way, the organisation will choose a traditional monitoring and evaluation system.

Additionally, if the requirements or demands of the system require generating information on effects of your products and services (outcomes and impacts), a result-based monitoring and evaluation system will be required.

Task: Given the above information, let your organisation choose what it is going to monitor and evaluate. Is it the entire result chain (result based monitoring and evaluation or implementation/ traditional monitoring and evaluation system?

3.4.0 STEP 4: DEFINING IMPACTS, OUTCOMES AND OUTPUTS

3.4.1 Step Objective:

By the end of this step, the user should have defined anticipated impacts and outcomes as well as planned outputs of their development entity or intervention

3.4.2 Definition of Impacts, Outcomes and Outputs

In the context of this guide, impact refers to long term effects produced by a development intervention. The impact can be positive or negative and can also be classified as intended or un-intended while **outcomes** are short term and medium term effects of an intervention[7]. **Outputs** are visible products, goods and services that result from a development intervention. They indicate changes resulting from the interventions which are relevant to the achievement of outcomes. Outputs lead to outcomes while outcomes contribute to impacts as illustrated in the results chain (Figure 1)

3.4.3 Importance of Outcomes

In a PME system, outcomes are important and emphasized because they illustrate how success will look like such that indicators can show the progress made towards attainment of the intended objective.

Decision makers and stakeholders are positioned to make intended outcomes of organizational action as explicit as possible because one cannot set indicators before determining outcomes. Outcomes will demonstrate whether success has been achieved or not hence direction to whether the project should continue or not.

Setting outcomes is essential in building a results based PME system. Building the system is basically a deductive process in which inputs, activities and outputs are all derived and flow from the setting of outcomes. Indicators, baselines, and targets are derived from and based on setting of outcomes.

7 *Adapted from Asian Development Bank (2004), Glossary of M&E Words*

Outcomes also enable managers to gauge how well a policy is working or how any given intervention is contributing to policy[8]. Additionally outcomes enable development facilitators to identify sound practices that contribute to alleviation of development challenges such as poverty, conflict, environmental degradation, unemployment among others.

3.4.4 Factors to be considered in Selecting Outcomes

i. ***Situation*** *- m*anagers should have goals as well as ways of building consensus and developing the necessary capacities to set priorities and determine desired outcomes. The goals then have to be translated into a set of outcomes that can be achieved and demonstrate progress towards the strategic vision. Ideally, the outcomes have to be formulated based on the current status of events in the area of intervention.

ii. ***Stakeholders*** - such as government, civil society, donors and beneficiaries of projects should be given due consideration while selecting outcomes. Their participation and or actions often influence achievement of these outcomes. For example outcomes that are against government policy are most likely not to be achieved. To give adequate consideration for stakeholders' participation in setting outcomes, the managers should give task groups three key responsibilities. These are; a) to identify specific stakeholder representatives b) to identify major concerns of each stakeholder group c) to translate the list of concerns into a list of positive and desirable outcomes to be achieved.

iii. ***Budgetary resources*** - outcomes should be linked to the amount of resources (financial and non-financial) at the disposal of the organization for implementing the development intervention. Decision makers need to examine the resource envelope while setting outcomes that can be achieved.

3.4.5 Participation of Stakeholders

When choosing outcomes, it's crucial to build a participatory and consultative process involving stakeholders. The participatory process should start with the development of goals and continue with setting outcomes and building an indicator system. The new realities of governance and citizen expectations require an approach that is consultative, cooperative and committed to consensus building. The active soliciting and engaging the views of key stakeholders in a participatory manner helps to build and gain commitment to achieving the desired outcomes.

To ensure proper participation of stakeholders, the following should be done:

i) The overall process of setting and agreeing upon indicators; there is need to know where you are going, why you are going there, and how you will know when you get there. It's a process involved in setting and agreeing upon desired outcomes. Each part is critical to the success of achieving stake holder consensus with respect to outcomes.

ii) Identify specific stakeholder representatives. Who are the key parties involved around an issue area (health, education, and so forth)? How are they categorized e.g. NGO, government, donor? Whose interests and views are to be given priority?

iii) Identify major concerns of stake holder groups. Use information gathering techniques such as brain storming, focus groups, surveys and interviews to discover the interests of the involved groups. Numerous voices must be heard not just the loudest, richest or most well connected. People must be brought into process to enhance and support a demographic public sector

iv) Translate problems into statements of possible outcome improvement: It should be noted that formulating problems as positive outcomes makes it more practical. An outcome oriented statement enables one to identify the road and destination ahead. It is encouraged that outcomes be framed positively rather than negatively. Stakeholders will respond and rally better to positive statements e.g. "we want improved health for infants and children" rather than "we want fewer infants and children to become ill." Positive statements to which

8 *PELUM PME Guide Validation Workshop (June 2008)*

stakeholders can aspire seem to carry more legitimacy. It is easier to gather a political consensus by speaking positively to the desired outcomes of stakeholders.

v) Disaggregate to capture key desired outcomes.
Outcomes should be disaggregated sufficiently to capture one improvement area in each outcome statement. A sample outcome might be to "increase the percentage of employed people." To know whether this outcome has been achieved, the goal needs to be disaggregated to answer questions such as for whom, where, how much and by when.

3.4.6 How to Define Impacts and Outcomes

Impacts are positive or negative, primary or secondary long term effects produced by a development intervention, directly or indirectly intended or un-intended. In developing impacts and outcomes, we should use project design document (proposal and logical frameworks). It is important to note that in defining impacts, planners anticipate them to be positive and not negative. The following process is important in defining impacts and outcomes:

a) Review intervention goal and specific objectives. If the project is well designed, the goal or at times referred to as development or long term objective should directly translate into an impact while specific objectives of short term objectives should translate into outcomes. Objectives which are crafted in past tense are the same as outcomes. It is important to note that SMART[9] objectives make definition of outcomes very easy. In other words, a project well-developed is a key step to developing an M&E system.

   When developing an M&E system for an organisation, the goal can at times correspond to the mission or at times vision of the organisation with strategic objectives corresponding to outcomes.

   However, it is important to note that at times organisational strategic objectives can be broad enough to qualify into specific impacts with corresponding outcomes.

b) Based on step one, state in clear terms the anticipated impacts and outcomes of your organisation or development intervention. Some development interventions may have multiple impacts while others will have single impacts. Refer to Box 3 for cases of defining impact and outcomes based on PELUM-Uganda vision, mission and strategic objectives

Box 3: Anticipated Impacts and Outcomes for PELUM-Uganda

Goal (Impact)

Empowered communities supported by member organizations effectively managing and utilizing their natural resources for food security and prosperity

Outcomes

a) Capacity of members and Small Farmer Organizations in promoting sustainable agriculture is built for better community livelihoods
b) Capacity of PELUM Member Organizations to implement their own programs enhanced
c) Institutional capacity of the network to efficiently and effectively manage & implement her programs strengthened
d) Information is generated, shared and disseminated among member organizations and across other networks.
e) A conducive environment that favours smallholder farmers & Member Organizations' interests is advocated for
f) Cross cutting issues are mainstreamed within member organizations' programmes.
g) Member Organizations and Small Holder Farmers to engage more effectively with trade issues

9 *SMART is an acronym for Specific, Measurable, Achievable, Realistic and Time-bound*

The example presented involved translating problem statements and PELUM vision, mission and objectives into impacts and outcomes as per the discussion above. For an organisation with broad strategies, it is recommended that each strategic area is turned into an impact. This means that an organisation will have to reflect on higher impacts created at vision and mission level.

Working together with stakeholders, seek answers to why your organisation is implementing a given intervention. As you continue ask why, more outcomes and impacts are identified. A hierarchy of objectives tool will be handy in accomplishing this task.

c) Review a list of impacts and outcomes to gauge whether they are clear and can easily be understood and measured. If you are satisfied with the output of this exercise you can write them down on a separate sheet of paper.

d) Mainstreaming crosscutting issues:
Having agreed on stated outcomes and impacts, it is important to mainstream cross cutting issues if they can not stand as independent outcome or impact areas. In our example for PELUM, cross cutting issues stand as an independent outcome or result area. It is important to break down the cross cutting areas to make the work of trucking progress easier and less time consuming.

Cross cutting areas can not stand on their own, it is important to ensure that they are mainstreamed into impacts and outcomes. For example, a programme whose anticipated goal is improved access to primary education in Mukono district can mainstream gender in this goal (impact) by inserting 'for boys and girls" immediately after education. It will therefore read as improved access to primary education by boys and girls in Mukono district. By integrating crosscutting issues in planned impacts and outcomes, development actors are able to address the issue of inequality and marginalisation as well.

e) Finalise the list of impacts and outcomes by ensuring that the statements are clear and cross cutting issues are integrated and developed into independent result areas. Transfer the agreed output to a separate sheet of paper in preparation for the next step.

3.4.7 Defining Outputs:

Having defined outcomes, it is important to proceed to state in clear terms which outputs (products and services) your organisation or development intervention intends to produce to realise outcomes and contribute to anticipated impact. Outputs lead to outcomes when assumptions do not change or other factors do not come into play. For instance, as presented in Box 3, PELUM's intended outcome is "Capacity of PELUM Member Organizations to implement own programs enhanced". For this to take place, PELUM will have to train representatives or staff of her member organisation in specified areas. Therefore some outputs under this outcome could be: 20 female and male staff members of PELUM MOs trained in different areas such as PME, strategic planning, fundraising and advocacy.

It is assumed that if member organisations' staff members are trained and apply different competences acquired, PELUM will have enhanced her member's capacity in implementing their programmes.

It is good for outputs to be quantified since they are the basis for budgeting and financial accountability within organisations and development interventions.

Task: Given the above illustration; define the outputs for each outcome. If you have a project document and logical framework, this information is already defined. You are encouraged to reflect whether the planned outputs are sufficient enough to lead to intended outcomes.

3.4.8 Characteristics of Outputs:

Outputs are normally stated in quantitative terms or in terms of numbers such as 100 people trained in HIV/AIDS and counselling, 100 people trained in civil society activism etc. An output such as people trained in HIV/AIDS is not good enough as it implies that planners have not done thorough planning for the intervention. Therefore, examine whether your outputs have been stated in quantifiable terms. Any organisation or project which is has a proper budget or financial plan should have well stated and specified quantifiable outputs.

3.4.9 Resource Materials

The following materials will be helpful in defining impacts and outcomes:

a) Strategic plan
b) Project/programme document
c) Logical framework
d) Logic model
e) Contextual analysis report
f) Participatory appraisal report

3.5.0 STEP 5: DEVELOPING PERFORMANCE QUESTIONS AND INDICATORS

3.5.1 Step Objective:

By end of this section the user should be able to develop good indicators for each impact, outcome and outputs as well as general performance questions for your project or organisation.

3.5.2 What are Performance Questions and Indicators

Performance Questions: Are questions that help guide the information seeking and analysis process, to help understand whether the project is performing as planned or, if not, why not[10]. Developing performance questions is a key step is developing indicators which generate information on the entire organisation or development intervention.

Indicators are the quantitative and qualitative variables that provide a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of an organization against the stated targets. Indicators are needed to monitor progress with respect to inputs, activities, outputs, outcomes, and goals. Progress needs monitoring at all levels of the system to provide feedback on areas of success and areas in which improvement may be required.

3.5.3 Developing Indicators

Indicators play a central part in any M&E system. In other words, M&E system is built around indicators. Without good indicators the M&E system may not serve any intended purpose. It is therefore recommended that considerable time and resources are invested in development of good indicators.

Indicators should be constructed to meet specific needs. There should be a direct reflection of the outcome itself to avoid misleading conclusions about any development intervention. Over time new indicators will be adopted and others dropped. However it should be noted that in changing indicators baselines against which to measure progress should have also changed. Each new indicator needs to have its baseline established the first time data is collected for it.

In order to appreciate the process of developing indicators, it is important to take note of the meanings and implication of different types and categories of indicators.

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10 IFAD (2002) A guide for Project M&E

3.5.4 Types of indicators

Indicators may be categorized as quantitative or qualitative, process or change proxy or universal indicators:

I. Quantitative and Qualitative Indicators:

a) ***Quantitative indicators*** refer to variables or characteristics that are reported in terms of specific number (number, mean, medium, and percentage). Examples of quantitative indicators include, average monthly income of male and female households, Amount of farm outputs, number of girls and boys completing a given level of education.

b) **Qualitative indicators**: They imply qualitative assessments such as compliance with quality, extent and level of indicators. They provide insights into changes in institutional processes, attitudes, beliefs, motives and behaviours of individuals. A qualitative indicator also measures perception, such as level of empowerment that local government officials feel to adequately do their jobs. Qualitative indicators are about obtaining objective information on actual progress that will aid managers in making better informed strategic decisions, aligning budgets and managing resources. They are also referred to as descriptive indicators and not reported in absolute numbers but can be reported in frequencies, percentages, stories, among others. Some qualitative **indicators are scaled or ranked**. These indicators provide graduated descriptions of assessment. For example, people can rank sexual satisfaction when using a condom during intercourse on a scale of 1 to 4, where 4 is highly satisfying and 1 not being satisfying at all.

II. Process and Change Indicators

a) ***Process indicators*** show the progress of planned project activities; directly linked to activities and outputs. Activity and output indicators are process indicators. For example, training in organic farming conducted is an activity indicator while number of male and female farmers trained in organic farming is an output indicator. Output indicators are linked to activities conducted and this explains why in the logical framework, activity indicators are always left out because they are mirrored by outputs.

b) ***Change indicators*** measure level of change achievement among the target group by intervention activities. Change indicators are also referred to as impact and outcome indicators. For instance, percentage of households eating three meals a day is a change indicator for attainment of food security by households.

III. Proxy Indicators:

These are indicators which fairly but not directly represent the exact issues being measured. They normally have challenges in that there is always a degree of error but are the best or cost effective way of measuring something. For example, if one wanted to find out households owning television sets, the best or direct indicator would be number of sets owned by households. This will require actual counting of households owning sets. However, this is a very expensive and challenging exercise. In order to avoid this problem one has to adopt a proxy indicator which will give a fair representation of the actual situation on the ground. A proxy indicator in this situation would be counting external television antenna hoisted on homesteads. Proxy indicators mainly measure impacts and outcomes and may be qualitative or quantitative.

IV. Universal Indicators

These are indicators which have been universally adapted to measure progress in certain areas. Such indicators include mortality (infant, child maternal), literacy rates, life expectancy, and proportion of households that consume less than one United Stated Dollar per day among others. These indicators normally measure impact related issues.

3.5.5 Characteristics of Good Indicators

In choosing or developing indicators, one should pay attention to developing good indicators. Good indicators should be **C**lear, **R**elevant, **E**conomic, **A**dequate and **M**onitorable **(CREAM)**[11]**.** In other words indicators should be precise and unambiguous (clear), appropriate to the subject at hand (Relevant), attainable at a reasonable cost (economic), provide sufficient basis to assess performance (adequate) and amenable to independent validation (monitorable). Any proposed indicator should be subjected to this rule.

Additionally, good indicators should be stated in neutral terms to enable the stakeholders to measure any change in directional (negative, static or positive), magnitude, and quality changes in a given subject at hand. Any indicator which is stated in terms of increase, decrease, changed terms is not neutral and does not pass the good indicator test of neutrality.

3.5.6 How to translate Impacts, Outcomes, and Outputs into indicators

Impacts, outcomes, and outputs need to be translated into a set of measurable performance indicators. This transformation should be guided by the knowledge and concerns of stakeholders' interests which should be distilled into good, usable performance indicators. This means that impacts, outcomes and outputs need to be disaggregated to make sure that indicators are relevant to the concerns of multiple stakeholder groups and not just a single stakeholder group. The relevance of indicators should also be reflected in management because the focus of the system is on performance and its improvement. The following process could be followed to develop good indicators.

a) Develop Performance Questions

The most common approach when setting up project M&E is for the M&E resource person to take each objective and start listing quantitative indicators in the second column of the logical frame matrix. This often creates problems. The problems arise not from the quantitative indicators but from the process of jumping directly from objectives to indicators. Many objectives are complex and so cannot be summarised in terms of one or a few indicators. Also, while it might be possible for quantitative information to be found to show if objectives are being met, it does not necessarily explain *why* and if this can be attributed to the project. Therefore, multiple sources of quantitative and qualitative information are critical to explain what is happening and to look closely at relationships between different pieces of information, rather than single indicators.

Box 4: Examples of Performance Questions

1. How has the capacity of PELUM members to implement their programmes changed since implementation of different capacity building programmes?
2. To what extent are PELUM member organisations competent? How have external factors affected capacity of PELUM members?
3. What is the state of food and income security among rural households in Kyangwali Sub County?

Working with performance questions (Refer Box 4) to guide indicator analysis will give you a more integrated and meaningful picture of overall project achievements. Answering these questions requires descriptive analysis and quantitative information. Starting by identifying performance questions makes it easier to recognise which specific indicators are really necessary. Sometimes a performance question can be answered directly with a simple quantitative indicator. However, very often the question can only be answered with a range of qualitative and quantitative information.

11 *Kuzek & Rist (2004)*

Performance questions are needed for each level in the objective hierarchy but also for the project as a whole. For example, you will most probably want to ask some questions about the process of project implementation, such as the quality of relationships between certain target groups and implementing NGOs. Or maybe, "How do project partners feel about what the project management unit can do to improve and enable them carry out their responsibilities?" You will also want to keep track of unanticipated impacts – for example, "Have any of the project innovations been adopted by people in neighbouring districts who are not the main target group?"

Remember that information needs to be shifted over time, so performance questions will need revision. In projects that are based on the idea of performance questions, the project appraisal report includes a list of indicative performance questions and indicators. After revising the objective hierarchy with key stakeholders at start-up, you can refine these indicative questions together to fit any revisions made to the project strategy.

To develop good performance questions, you first need to be very clear about the project aims. So the process of finding performance questions with stakeholders will help you further refine the project design together[12].

For an organisation or project that has embraced participatory monitoring and evaluation identifying performance questions and selecting indicators increasingly involves the intended primary stakeholders. The process of participatory performance questions and indicator identification is quite different from one that limits itself to the project team.

Task: Given the above information develop performance questions for your intervention

b) Make a decision on what type of indicators are suitable for your M&E and your performance questions. This should not be a problem, especially after you have a decision on the level of M&E and types that have been made.

c) Adopt Universal indicators to measure certain element in your M&E system:
Over time development professional have developed internationally agreed ways of measuring progress in certain areas such as education, health, finance and human resource among others. Before developing new indicators, you should endeavour to find out whether the subject you intend to do has some internationally agreed indicators. This will enable you to save your time and resources in duplicating the same information, perhaps even coming up with vague indicators. (Refer to Box 5 for some examples). Due to the standard nature of universal indicators, the information is readily available from multiple sources such as government health and demographic surveys, national integrated household surveys and UNDP human development indices among others.

12 *Ibid*

Box 5: Examples of Universal Indicators:

a) Education Indicators
- Enrolment rates
- Ratios (pupil: Teacher, Teacher: Pupil, classroom: Pupil)
- Literacy rate

b) Health:
- Mortality rates (maternal, infant, child)
- Morbidity rates (disease prevalence rates – HIV/AIDS prevalence rate)
- Life expectancy
- Immunisation rates

c) Food security
- Number of meals consumed per day
- Daily caloric intake

If there are existing universal indicators that are relevant to your measurement area, select and adopt them into your M&E system.

d) Developing additional indicators:

Start off by identifying means or variables to be used in tracking progress and ascertaining achievement of every element (impacts/goals, outcomes (specific objectives), outputs and processes in your M&E system. Ask yourself how shall we measure success when we see it? What will show that we have achieved our intended target? Ask your self over and over the same question to identify various indicators for different elements in your M&E system.

In a participatory M&E arrangement, different stakeholders should be encouraged to participate in identifying indicators which correspond to their M&E information needs. This will increase the relevance and appreciation of different indicators to different audiences.

In occurrence where the organisation is not able to hold one meeting for all stakeholders, it is recommended that the project managers make arrangements for soliciting views and identifying different issues for measurement.

e) Validate the stated indicators to determine whether they are CREAM and neutral. In validating indicators the following questions should be asked about each indicator:
- Is the indicator precise and unambiguous or clear? By answering this question, you will avoid vague indicators being included into your system. It is important to note that vague indicators produce vague information which leads to vague conclusions and wrong actions. Wrong actions cost organisations finances and other forms of resources.
- How appropriate or relevant is the indicator to the subject at hand? Is there a direct link between what is being measured and the indicator?
- Can information on the indicator be available at a reasonable cost given the resources available? The answer to this question will help you review the cost implications of information collection. An organisation should not invest lots of resources in collecting information on a single indicator.
- Does the indicator provide sufficient basis to assess performance? How adequate is the indicator in performance appraisal? In other words can we depend on the indicator to make correct judgements about attainment of our stated targets?
- Is the indicator amenable to independent validation? In other words, if another agency chose the same indicator and collected data from the same sources, can it generate the same information with very minimal variances?

f) Having validated the indicators used in step 4, you should zero down on indicators that meet your criteria and include them in your M&E system.

Tips:
- Remember: Indicators should correspond to elements in your M&E system. In other words, have you defined impact, outcome, output and process indicators?
- Have you mainstreamed crosscutting issues in your indicators?
- Have stakeholders participated in developing indicators?

g) Mainstream crosscutting issues: It is important to mainstream issues which are considered crosscutting in your programme or organisation in indicators. Without mainstreaming crosscutting issues, your M&E system will be considered insensitive to such issues. Refer to Table 2 below for examples of indicators.

Table 2: Example of Indicators

	Intervention Logic	Indicators
Impact	• Increased household incomes in Buwekula sub county	– Percentage change in incomes of female and male headed households
Outcome	• Increased farm production and productivity for participating households	– Percentage change in volume of farm outputs produced by female and male households – Percentage change in production volumes for a given area (acre)
Outputs	• About 200 farmers are trained in modern sustainable farming methods • Every farmer plants 20 acres of maize	– Number of male and female farmers trained in modern sustainable farming methods – Land size under maize cultivation by participating male and female households (farmers)

3.5.7 How Many Indicators are Adequate?

There is no recommended number of indicators for measuring any element in M&E. It is therefore recommended that you select as many indicators as possible to enable you assess performance. However, one should be cautious of the cost implications of too many indicators and therefore one should limit indicators without losing any sight of measurement subject.

3.6.0 STEP 6: BASELINE ASSESSMENT

3.6.1 Step Objective:

By end of this step, the user should be able to appreciate importance of baseline and how it can be carried out.

3.6.2 Definition of Baseline

Baseline is qualitative or quantitative information that provides data at the beginning of, or just prior to, the monitoring period. The baseline is used as a starting point or guide, by which one monitors the future performance. Baselines are the first critical measurements of the indicators.

3.6.3 Importance of Baseline Information

Baseline information is important in project management because it:

- It helps in defining community needs and priorities before starting an intervention. This understanding contributes to improving the initial or provisional project design activities that are best suited to the community.
- Once the project ends, baseline data can be used to measure the changes that may have occurred due to the project activities. This makes it easier to carry out an evaluation at the end of the project.
- Baseline information can contribute to the design and establishment of a monitoring system.
- Information from the baseline enables stakeholders to set performance targets (outcome and outputs)

3.6.4 Timing of Baseline Assessment

Baseline information is collected before you start implementing the project. If you collect this information after the project has already started, you will lose an opportunity to measure your project's impact by comparing a "before" and "after" snapshot of the community situation, and the changes that occurred as a result of your project's activities.

Participatory appraisal results/data or assessment reports can be handy in developing a baseline and selecting indicators. For facilitators experienced in participatory methodologies, if planned well, it is possible to include baseline information needs in a participatory appraisal or assessments.

The experience of the consultant developing this guide is that most organisations do not carry out baseline assessments before the implementation of the project. In this case either the baseline is carried out after commencement of project implementation or nothing at all. Organisations may use mid-term review findings to enable comparison between before and after the project implementation. In other cases, baseline information is re-constructed, though with serious challenges of reliability of such information. A baseline may be re-constructed through asking recall questions, or making a comparison between project beneficiaries and non-selected eligible beneficiaries, reviewing survey reports for the same area conducted by other organisations[13].

3.6.5 How do you get baseline information on indicators?

Adequate baseline information on indicators should be based on each performance indicator for each outcome and impact. The managers should take note of the number of indicators chosen because each indicator will need data collection, analysis and reporting system behind it.

An M&E baseline survey or assessment should focus on indicators at impact and goal levels with process issues of organisational and community management systems. This will enable the organisation to know the status of each indicator and support structures within the community. Different data collection tools should be adopted to generate baseline information on indicators.

3.6.6 How do you Build Baseline Information?

To build baseline information for each indicator, one should make the following subsequent efforts to measure the indicator. Key issues to be considered include: sources of data, data collection methods, who will collect the data, how often will the data be collected, cost and difficulty to collect data, who will analyze the data, who will report the data and who will use the data.

These issues can be presented in a matrix for greater clarity to ease the baseline data collection process (see Worksheet 4). Use the worksheet to develop a framework for collecting baseline information.

13 M Bamberger (2005) Real World Evaluation

3.6.7 Sources of Baseline Information

Each indicator and performance question has a source of information. Sources of data refer to an entity (individual, institutions or groups of persons) that will provide baseline data. It is important therefore to consider the potential source that will supply baseline information. Issues to be considered in identifying sources of baseline data include practicability of the source, quality of data, and timeliness of access to data, feasibility and cost effectiveness of primary data.

It is important to collect information which will be used to avoid information overload and wastage of resources on unused information.

Data sources may be primary or secondary. Primary data is collected directly by the project or organisation and may include administrative, budget, personal data, surveys, interviews and direct observation. Secondary data is collected by other organisations, and is gathered for a specific purpose. Such data may include integrated household surveys conducted by UBOS, demographic surveys, HIV sero-surveys by Ministry of Health and any other data collected by other organisations.

There are merits and demerits of using secondary data. It is cost effective, however, the precision may be lacking let alone the fact that it may have been collected way back before the project design and validity of the information may be questionable.

In choosing the source of data, one should bear in mind the above issues, though experience shows that there is no baseline assessment that does not make use of some form of secondary data. In other words, there are certain elements in baseline assessments which cannot be answered by household surveys.

3.6.8 Data Collection Methods

A combination of data collection strategies works best in building information systems to support tracking each indicator. A number of contingencies help to frame what is possible and what can be afforded. Baseline data collection methods are not different from other data collection methods. Baseline data collection methods can be classified as informal(less-structured methods) and formal (more-structured methods)[14].

The informal include conversation with concerned individuals, community interviews, field visits, key informant interviews, assessments employing different participatory methodologies, focus group discussions and review of records.

The formal include questionnaires, one time survey, panel surveys, census, and field experiments.

In the context of PME participatory assessments are recommended with adoption of some other methods like questionnaires to enable quantification of information from different sites.

3.6.9 Piloting and Large Scale Data Collection

A pilot is a means of learning what works and what does not. It is a way of making small mistakes early rather than big mistakes later. It alerts managers that there are some indicators for data that do not exist, or for which data is too costly, time consuming, or complex to obtain. This is crucial information to have as the baseline is established. The pilot might demonstrate that it would be easier to set an indicator based on the existing secondary data that is already being used across an organization.

14 Nueman L (1995) Data Collection Methods

8.7 Analysis and Use of Baseline information

Analyse the data emerging from the data collection exercise to determine the status of different indicators. The baseline information will enable the stakeholders to make adjustments in their indicators as well as provide a basis for developing performance indicator targets. It is important to mainstream crosscutting issues in the designing of data collection tool and analysis of data. Cross cutting issues vary from one organisation to another and may include gender, environmental conservation, participation and HIV/AIDS among others. This will also be supportive in disaggregating information to the smallest relevant units possible among others such as sex, geographical location, age groups, education levels, income levels, land sizes and level of organisational development.

In participatory baseline assessments, the community representatives will take part in the analysis of the data to make meaning out of it and propose appropriate actions within the scope of the community. The organisation may do an additional analysis to answer other information needs outside the confines of the community.

Worksheet 4: Framework for Building Baseline Information on Indicators

Indicator	Sources of data	Data collection methods	Who will collect the data	How often will the data be collected	Cost and difficulty to collect data	Who will analyze the data	Who will report the data	Who will use the data
1.								
2.								
3.								
4.								
5.								
6.								
7.								
8.								

Source: Kuzek & Rist (2004)

3.7.0 STEP 7: SETTING PERFORMANCE TARGETS

3.7.1 Step Objective

The user should be able to set performance targets that are specific, well planned, each target with an indicator that is within a time frame and have a complete performance framework for the organisation or project (refer to Worksheet 5)

3.7.2 Definition of Performance Target

A performance target is a specific, planned level of results to be achieved for each indicator within an explicit time frame.

3.7.3 Performance Targets

Performance targets are a means through which contribution to improving quality of life of societies are made. Without performance targets, one cannot adequately measure value for money in a development intervention. Setting specific targets should be done by identifying the concerned group, objective and the time frame by which the target is to be achieved. Staff should also be able to identify the concerned group, and should be objective while setting targets. For example, "ensuring that every family eats two meals a day, every day, by 2010" is a performance target. (Refer to Box 6 for additional examples of performance targets).

Box 6: Examples of Performance Targets

- Increase farmer participation in government programmes from 20% to 70% by 2010
- Increase production of maize by 20 tonnes for each household within three years
- Every farmer earns over Ug shs 2 million per season
- Every PELUM member has a functional M&E system by the end of 2 years

An objective which is SMART will have clear indicators which enable the planners to set very clear performance targets. In some cases objectives may have one indicator while in other cases objectives may have multiple indicators. In the former a SMART objective is as good as a performance target while in the latter the objective will have several targets. In case of the former the objective will be simplified in few indicator targets for easy measurement as well as ensuring that all efforts are geared towards achieving the objective.

3.7.4 Factors to Consider when Setting Performance Targets:

Baseline - where we are today- It's difficult to establish a reasonable performance target without some idea of a starting point, for example, an average of the last three years performance, last years performance, average trend, data over the past six months, and so forth. The performance baseline is the value of the performance indicator at the beginning of the planning period –just prior to the implementation of the project activities.

Expected funding and resource levels **–** existing capacity, budgets, personnel, funding resources, facilities and the likely output throughout the target period. In other words, given expected or resources at hand, what kind of change should the intervention work for?

Flexibility- is important in setting targets because internal or external resources may be cut or otherwise diminished during budgetary cycles. Re-orientation of the programme, retaining staff, reprioritization of the work is required.

Target-where we want to be tomorrow- this depends on the information available or readily gathered. There are two ways of setting targets, these include;

i) Projecting a future trend by activities. This is the most rigorous and credible approach which involves estimating the future trend without programmes. It's easy if historical data is available that can be used to establish a trend line.

ii) Establishing a final performance target for the end of the planning period, then plan progress from the baseline level. This approach involves deciding on the programmes performance targets for the final year. Final targets may be based on the judgments of experts, programme staff, customers and partners.

3.7.5 Tips on Setting Performance Targets

In instances where the planners are not very sure about the availability or reliability of data, it is recommended that a range of approaches is adopted in setting performance targets. For example, instead of stating "increase household incomes to Ug shs 5 million per year by 2012" you should state Each farmer earns between Ug shs 4 and 6 million per year by 2012. (Refer to Box 3 for example of setting a performance target).

Ensure that cross cutting issues are mainstreamed in your targets as well as stakeholder participation in setting targets. Involvement of stakeholders in setting targets creates a level of commitment needed towards realising them.

Box 7: Example of Setting Performance Targets

An NGO carried out a baseline survey among poor households and established that only 20% of poor households were able to meet basic needs of their children. The organisation considered its resources and projected to change the proportion of households being able to meet basic needs of their children by 50% over a period of three years.

Task

Consider your indicators for each outcome area as well as issues for setting performance targets and develop performance targets. Ensure that stakeholders participate in setting targets.

Worksheet 5: Performance Framework for ……

Impact/Outcome[1]	Performance Questions	Indicators	Indicator Baseline	Indicator Performance Targets
Impact:				
Outcomes				
1.				
2.				
Outputs				

3.8.0 STEP 8: DEVELOPING M&E DATA COLLECTION TOOLS

3.8.1 Step Objective:

By end of this step, you should be able to design M&E data collection methods.

3.8.2 Monitoring and Evaluation Tools

At this point you should have a performance framework consisting of impacts, outcomes (outputs), indicators, indicator baseline status and performance indicator targets. (Refer to Worksheet 5). It is important therefore to develop data collection instruments (tools) to generate information at given intervals to feed into management processes as well as track progress on each of the targets.

3.8.3 How to Develop M&E Data Collection Tools:

The following process should be followed in developing M&E tools:

a) Review the Results framework (refer to Worksheet 5) and framework for Building Baseline Information on Indicators (Refer to Worksheet 4) with specific focus on indicators and main sources of information (individuals and organisations).

b) Cluster Indicators according to source of information: Bring together indicators whose source of information is the same. Sources of information could be different sections of our target group, partner organisations, government, donors or staff members.

c) Classify the external and internal sources of information to enable you to tailor make the tools according to the source. It also enables one to avoid mixing variables on which external and internal information is to be generated. It is important to note that normally, organisations have control over certain variables such as internal management of the intervention and organisation as compared to information on state of target group which would involve third parties.

d) Translate indicators into questions or variables on which data is to be collected. In translating indicators into questions, one should endeavour to ensure that the questions are very simple and specific. Performance questions will be handy in this process. (Refer to Box 7 for examples of Tools and Sample 1 of M&E Tool). Endeavour to develop tools which cover aspects of programming, human resource management and development, financial management and sustainability; and strategic leadership.

Box 7: Examples of M&E Tools

- Questionnaires (Forms)
- Training Report Formats
- Beneficiary assessment Tools
- Financial Report Formats
- Financial accountability Forms
- Staff appraisal forms

Endeavour to integrate crosscutting issues in your information to promote reporting on such issues. Further more it is important to number the tools and indicate quality control elements in data collection by indicating persons in charge of data collection, entry and approval.

e) Pre-test tools. Having developed M&E tools, the next step is to try to pilot test them to ensure that they are relevant and easy to administer or to use.

f) Analyse the Pilot Data: It is important to reflect on the pilot exercise by identifying overlaps, missing information, obvious and unclear questions or issues. Additionally, try to analyse data generated from the pre-test to determine the quality of information generated by the data collection tools.

g) Fine tune and adopt the tools for utilisation by the project or intervention: Use the findings in the pre-test and analysis of pre-test data to make necessary improvements or adjustments to the tools and adopt the tools as official M&E tools for the organisation or project.

h) Conduct annual review of the tools. It is important to have a review of the tools to determine which tools need improvement as a result of additional information within the organisation or development intervention.

Tip: Review your baseline data collection tools and adopt some information if found to be relevant

Examples of M&E Data collection tools

Sample 1: Nutrition and Food Intake for OVCS/PLWHA (Chronically Ill) / Older People (Quarterly)

ID No.

Date: **Month** **Year**

No.	Name of Orphans/ PLWHA	Age (years)	Sex		Food Intake		
			Male	Female	Morning	Afternoon	Evening

Task	Names	Signature	Date
Collected by:			
Verified and Approved by:			
Entered by			

Source: URAA M&E Guide (2007)

3.9.0 STEP 9: PARTICIPATORY MONITORING

3.9.1 Step Objective:

By end of this step the user should be able to carry out participatory monitoring of the organisation or development intervention.

3.9.2 Participatory Monitoring

Participatory monitoring refers to the process where key stakeholders play a key part in keeping track of progress, and reviewing whether project implementation is progressing according to plan. In order to carry out any kind of monitoring, it is essential that we start with a monitoring plan. The monitoring plan (Refer to worksheet 6) tells us what we need to monitor (the indicators for measuring progress), how we carry this out (who is responsible for collecting information, how often, and by what means), and how this information will be analyzed and used while implementing the project.

Task: Using information generated from the previous sections and worksheets formulate a monitoring plan for your organisation or project - Refer to Worksheet 6 and Appendix 2 for an example of an M&E plan.

Process monitoring refers to maintaining records, analyzing information, and sharing the results with all the project partners on a regular basis. This information and its analysis should provide a clear picture regarding:

- ☞ Whether the project and its various activities are being implemented as planned?
- ☞ Whether the project is on the right journey to realize its intended results?
- ☞ Identify problem areas, if any, (for example, if some activities are not moving as planned, slow implementation in some communities, and so on); and,
- ☞ What is working well or good practices which can be maintained, documented and shared with other different stakeholders?

3.9.3 Recording Monitoring Information

Maintaining records is the first step in developing a monitoring system. Unless there is a regular update on key activities and selected indicators, it is not possible to build a monitoring system. There are issues that need to be considered in order to design data recording systems:

1. *What is the unit of analysis?* Decide on how data related to the organisation or development intervention will be recorded; decide whether data will be recorded at individual, household or community level. This varies from one entity to another depending on the type of project. For instance for project working directly with households or individuals and provide support to orphans, data has to be recorded for each and every individual receiving support. Other activities such as peer education for youths may require records at community level.

2. *Who maintains records?* Since implementation takes place at community level, data recording starts within the community. With assistance from staff, community members should devise a mechanism for data collection and recording by selecting a person to take the responsibility for data collection and recording. Another way of maintaining records is keeping diaries. Diaries are used to record observations, problems encountered, questions, concerns or suggestions related to the project/programme. The diary entries are made on a regular basis (daily, weekly, monthly) and they are submitted to a staff member in charge of project/programme monitoring.

3. *How often will information be gathered?* It's critical to collect and record data when the activity occurs, but data can also be gathered for the purpose of project monitoring after the

activity has taken place. It's important that the frequency of data collection and its analysis be decided at the projects beginning. Timely information is crucial for maintaining a good information system. Since organisations are often required to make immediate decisions regarding implementation, it is critical that information be available to inform the decision making process.

3.9.4 Methods of Monitoring

There are different methods used in monitoring. Participatory methodologies should be adopted for participatory monitoring. The methods should be tailor-made to the subject being monitored. Given the fact that some information requirements may not be met through information generated by participatory methods, implementing agencies may adopt formal or conventional methods of monitoring as outlined in step 6.[15]

3.9.5 Qualitative versus Quantitative Information

In M&E, qualitative information refers to how the implementation process is being carried out. Rather than focus on project outputs, it focuses on the quality of the implementation. Most qualitative monitoring comes from observations and discussions while quantitative information is measured in numbers such as number of children enrolled in schools, amount of crop harvest and acreage under cultivation among others.

It is important that the reporting and capturing shows the diversities in the data collected according to gender, age, location etc. The data should be aggregated for making comparisons across locations and groups. A key question for consideration is how often data should data be aggregated or be combined from different locations or projects. Who takes responsibility of aggregation? **Data aggregation** refers to compiling all the data on various indicators and activities from all the households, individuals and communities where the programme/project intervenes in order to generate an overall picture across the entire project. For example, information generated from households on number of meals consumed can be brought together from all locations (villages, parishes, sub counties) to portray the status on number of meals consumed per day by households. If we use two meals per day as standard for gauging those that eat two meals and above as food secure and those that eat less than two meals as food insure, one can tell how many and percentage of households are food secure or food insure across the entire project area.

Data can also be disaggregated. **Data disagregation** refers to presentation of information in small units or according to different elements in the monitoring such as location, sex, level of education, political affiliations among others. In the context of illustration given under data aggregation, the same data can be disaggregated by sex of household heads (percentage of female and male headed households that are food secure or insecure) and by location (villages, parishes, sub counties) which are food secure or insecure.

3.9.6 Analysing Information

Data analysis refers to converting raw data into usable information, and reviewing the information in order to ascertain whether the project is running on course. Qualitative and quantitative data analysis should be undertaken depending on the nature of indicators defined by your M&E system. Someone needs to look at the information and determine: whether activities are running as planned; whether some communities are progressing better than the others, and so on. Any deviation from the project implementation plan signals the need to examine the process closely. It is possible that some of the activity planning had been unrealistic and needs to be modified. Monitoring helps in making such changes.

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15 Refer to CDRN (2006) participatory methodologies for Uganda, 2nd Edition for detailed information on such methodologies

A key element in analyzing M&E information is trying to answer performance questions in your M&E system or plan. By analysing data from your M&E system for each variable, one tries to give a detailed response to your performance questions. This enables stakeholders to determine whether the intervention is moving in the right direction.

Tips:
Regular and timely data collection, that is analyzed and used by the project are the key features of a good monitoring system.
Keep the monitoring process simple, so that everyone can participate in it, and use the information

- ☞ Monitoring starts at the community level, by the project participants themselves
- ☞ Monitoring should include both, qualitative as well as quantitative information
- ☞ Monitoring is useful when the project beneficiaries and the implementing agency on a regular basis use the information it generates
- ☞ Information can be put to good use only when it is collected regularly and in time.

The data analyst should consider aggregating and disaggregating data. When dealing with a lot of data, computerised analysis preferred to manual analysis as it is faster and time saving compare to the latter which can be slow and time consuming in disaggregating or aggregating data.

In order to compile reports, projects need to have a clear understanding of how the data will be generated by the community and shared by project staff. Some projects may have community representatives sending the data at monthly intervals through the mail or on the other hand the project staff may visit the communities on a given date to collect the data. In order to generate compatible data all the communities in the report should use the same monitoring report format, if not, it will be very difficult to compile and analyze the data.

One important point to keep in mind is that the analysis should be kept simple so that everyone can follow it easily. The second important point is that of timeliness of information. When information is available on time, it has a lot of value and can be put to use by the stakeholders. Late information is of little or no use to anyone.

Worksheet 6: Monitoring and Evaluation Plan for Organisation (project) X, 2008-2012								
Elements	**Performance Questions**	**Indicators**	**Data Collection Method**	**Data Collection Tools**	**Frequency**	**Cost**	**Nature of Analysis**	**Person responsible**
Impacts:								
Outcomes								
Outputs								

3.10.0 STEP 10: USING AND COMMUNICATING M&E INFORMATION

3.10.1 Step Objective:

By end of this step the user should be able to know how to:

- Use M&E results for organisational learning purposes
- Effectively communicate M&E information from his/her development intervention or organisation.
- Sustain M&E system within the development intervention or organisation.

3.10.2 Using M&E Results

The monitoring process (Refer to Step 9) generates information which is packaged in different forms. Generating information should not be an end in itself but rather a process. In other words, M&E system should feed into wider institutional learning processes. Use of M&E results or performance findings is done by internal and external stakeholders to the organisation or development interventions (Refer to Stakeholder analysis – Worksheet 2). The first step in using M&E information is reporting and it is followed by actual use. The two steps are presented below:

a) Reporting M&E Information

It is important to appreciate different uses of M&E findings. These include giving accountability, convincing (advocacy), learning, investigating and exploring what works and what does not work, documentation (institutional memory), empowerment of stakeholders and promoting understanding of interventions[16].

In all these purposes, the main issue is to deliver a message to an appropriate audience about progress. It is therefore important to know your audiences as the audience determines the manner in which the information will be packaged and delivered. For example, a documentary may work well for rural communities while a scientifically written report will suit technocrats.

The information ought to be presented in a clear and understandable form. A comparison should be made between the situation at the beginning (baseline) and after or during the implementation of the project. The audience will determine the nature of the presentation. For community consumption, data may be presented to compare different situations such as impact diagrams, flow diagrams, stories, testimonies etc. In case the audience is composed of technocrats, besides the qualitative information presented, quantitative information should be presented as well comprising of statistical figures and visual impressions (graphs, charts).

A good M&E system acts as an early warning system. Therefore, expect bad results as well and learn from it by taking necessary steps to improve planning and performance.

b) Uses of M&E Findings

M&E information helps in formulating and justifying budget requests and proposals. Performance information can be used to inform decisions that can lead to increase in grant levels as well as budgets for particular items in organisations. Most NGOs have had their projects and programmes expanded or replicated in other parts due to evidence emerging from monitoring and evaluation.

M&E enables managers to assess performance of staff and reward them accordingly as incentives for good performance or sanctions for poor performance.

16 *Rist & Kuzek (2004)*

M&E enables managers to base their decisions on evidence as opposed to unresearched and biased decisions. In order to make sound and better decisions, it requires time to monitor, measure, evaluate and incorporate the findings into the decision making process.

Institutional learning is key in development practice. M&E enables development practitioners to institutional learning by identifying and sharing sound practices from development interventions and organisations. Additionally, M&E enables organisations to seek or receive feedback on progress. In this way, it contributes to continuous knowledge generation and making appropriate changes to practice.

3.10.3 Communicating M&E Information

Monitoring and evaluation plays a supportive role in organisations and development interventions. It generates information which enables stakeholders or managers to take any decision on the management of any development intervention or organisation. It is important therefore to ensure that information is not just generated for its sake but rather communicated to different actors that need it. In other words, the M&E system should be demand driven as a way of increasing its value in development management.

3.10.4 Developing an M&E Communication Strategy

A good communication strategy is essential for disseminating information and sharing it with key stake holders. Results-based information should be shared with all internal and external stakeholders and interested parties. Active follow-up is necessary to implement recommendations and to incorporate lessons learnt for future decision making processes. The more stakeholders are involved in planning the next steps, the more likely they are to follow through on implementing evaluation recommendations. Information sharing strategies designed for and targeted to specific stake holder groups can also be helpful. The following procedure could be useful in developing an M&E Information Communication strategy (Refer Worksheet 7)

a) Revisit your M&E Stakeholder Information Need Analysis: A key step in developing the communication plan or strategy is to review the stakeholder analysis conducted at the beginning of building your M&E system (Refer to Worksheet 1). This will enable you to match the information needs of your stakeholders (now audiences) with information being generated by your M&E system. Ask yourself whether the list of stakeholders is exhaustive and consolidate it or make any necessary adjustments.

b) Harmonise information needs into indicators or general issues which each of the stakeholders are interested in such as impact, challenges, accountability or financial performance of the organisation. This will constitute the type of information needed by each stakeholder. In doing so, there is need to be as specific as possible to ensure that you do not generalise information needs as this will compromise precision in communication.

c) Decide strategies or methods for delivering information and receiving feedback from different stakeholders or audiences. These could be bulletins, e-newsletters, magazines, project progress reports, posters, audio and audio visual documentaries, case studies, maps, news paper supplements, briefing papers etc. Ensure creativity, simplicity and clarity in communicating messages.

d) Decide on the frequency of communication. Having decided on information communication strategies, determine how often or frequent you plan to communicate M&E information to different stakeholders. The frequency will depend on how frequent your information is collected and analysed as well as contractual obligations that the organisation has with

different stakeholders, Funding agreements and memoranda of understanding between different stakeholders sometimes specify frequency of reporting and accountability.

e) Decide on the person responsible for communicating or delivering different forms of information. Is it the M&E officer, head of the project, community leaders or the communication officer? The choice will depend on roles defined by your organisation for different officers as well as the target audience. For example, interface with the media may be a function of the communication officer but reporting to donors is normally the main function of the head of the organisation or manager.

3.10.5 M&E Communication Methods

Understanding the target audience is a key to effective communication. Communication strategies need to be tailored to suit a particular target audience – parliament, ministers, the media, the private sector, NGOs and civil society organizations, and the general public. Disclosure of negative or controversial evaluation findings can obviously create difficulties for agencies. But the benefits of disclosure in the long run make it worthwhile. Greater disclosure can also increase the pressure for more systematic follow-up of recommendations, while motivating those involved in evaluations to produce a better product, since they know their report will be made public.

Governments and organizations can use a wide array of strategies for sharing information with internal and external stakeholders. These strategies also involve a number of different media that can be used to share the performance information. Below are some of these strategies or methods:

a) Empower the media.

The media can be an important partner in disseminating the findings generated by results-based M&E systems. For example, the media often reports on whether governments or organizations have actually delivered on promised projects, programs, policies, and services. The media have also been instrumental in exposing corruption and calling for good or better governance in many countries/organizations.

b) Institute E-Governance

E-governance is increasingly being used as a tool by organizations around the world, and has become a particular priority among many developing countries. E-governance involves the use of information technology to provide better accessibility, outreach, information and services. It represents a new electronic environment in which stakeholders can interact directly with organizational management and even transact business online. In places where telecentres (community information centres) have been set-up, they are handy in distributing M&E information.

c) Put information on internal and external internet sites.

The use of internal (agency or government) and external web sites that include published performance findings is yet another effective way of sharing information. Many agencies are also developing databases for M&E findings.

d) Publish annual budget reports.

There is no more important way to communicate how taxpayers' money is being spent than publishing the budget. Citizens will have the opportunity to "compare" the quality and level of services being provided by the government, and the priority of that service or program in the expenditure plan.

e) Engage civil society and citizen groups.

Engaging civil society and citizen groups also involves the inclusion of accountability, advocacy and action-oriented audiences and agreement on the information (content and form) they need.

f) Share and Compare Results Findings with Developed Partners.

Sharing and comparing results findings with developed partners is also beneficial on a number of levels. Learning from evaluative knowledge becomes wider than simply organizational learning and also encompasses development learning. It helps to test systematically the validity, relevancy and progress of the development hypotheses. More could also be done with respect to sharing performance findings with donor recipient countries. All key stakeholders need to be part of the M&E process from start to finish.

g) Distribute print publications such as reports, newsletters, bulletins, magazines, case studies.

3.10.6 Sustaining the PM&E System.

In step 1 we highlighted necessary conditions for a functional monitoring and evaluation system. In sustaining any M&E system, managers should ensure that the issues listed in step 1 as well as the capacity gaps identified are addressed.

In addition, it is important to emphasize that as part of sustaining a PM&E system managers should ensure there is demand for information from the system, roles and responsibilities are clearly defined, trustworthy and credible information is generated, ensures continuous accountability to stakeholders, ensures that there is adequate capacity as well as incentives for staff.

Organisations should ensure that different challenges associated with PME are addressed such as how much participation is adequate, fear of implementers, M&E costs, documentation of the outcome measurement process.

In summary, ensure that there are necessary conditions for PME to exist as well as regular review of the system to ensure its practicability and promote a culture of learning within the organisation or development intervention.

Worksheet 7: M&E communication Plan for …….				
Stakeholder (Audience)	**Type of Information**	**Mode of Communication (information Delivery)**	**Frequency (timeframe)**	**Person responsible**

Source: Developed by Consultant

PART 4: PARTICIPATORY EVALUATION

4.0 PARTICIPATORY EVALUATION

4.1 Part Objective:

By end of this part the user should have an overview of how to conduct a participatory evaluation.

4.2 What is Participatory Evaluation?

Participatory evaluation seeks to engage key project stakeholders more actively in reflecting and assessing the progress of their project and in particular the achievement of results as well as taking joint action out of evaluation findings. Instead of having a team of outsiders visit the project to carry out the evaluation, the project partners themselves conduct the evaluation. If an outsider is involved, her or his role should be to facilitate the process and serve as a technical resource.

Any evaluation seeks to assess issues of effectiveness, efficiency, impact, relevance and sustainability of the development intervention. These five aspects are at times referred to as evaluation criteria. Traditionally monitoring focuses on efficiency but new trends indicate an expansion into other aspects covered by evaluations. Table 3 below gives specific questions which evaluations seek to answer.

Table 3: Specific Issues covered by Evaluations

Evaluation Aspect[2]	What we are going to do
1. Efficiency	- To what degree did the outputs (services and products) result from efficient use of financial, human and material resources? - How do outputs compare with inputs? How best were activities undertaken and could it have been done better, more cheaply and more quickly?
2. Effectiveness	- To what extent have objectives been achieved? Were activities sufficient to achieve agreed objectives?
3. Relevance	- Were the implemented activities in line with organisational mandate or purpose of existence (mission) - Were the activities in line with primary stakeholders' priorities and needs? - Should the project be changed, continued or terminated?
4. Sustainability	- What are the chances that benefits/activities will continue, if the project / programme stopped supporting certain interventions? - Are beneficiaries able to access services on their own in absence of the organisation or intervention? - To what extent are the resultant changes among duty bearers going to last? - How financially sustainable is the organisation or intervention? - Can the intervention be replicated else where?
5. Impact	- What have been the intended and unintended positive and negative effects of implementing intervention?

4.3 Why Do We Need Participatory Evaluation?

Participatory evaluation is the logical culmination of a participatory process. Starting with participatory design, followed with participatory intervention implementation and monitoring, leads

to the stage of participatory evaluation at the end of the intervention. Just as involving communities was critical in designing an appropriate intervention, their involvement is critical in understanding the effectiveness of the intervention once it is over. This means not just involvement in terms of answering questions posed by outside evaluators, but involvement in designing the evaluation – what questions to ask, who to ask, etc.

A good, and useful, evaluation should include the perspectives of all concerned – community participants, intervention staff, donors, and outside 'experts.' The perspectives of the different parties on the same intervention may be very different, and the complete picture emerges only when we are able to bring together all these perspectives.

If we depend on an evaluation designed and carried out by outsiders, the process will have limited value for the people for whom the intervention was intended. Participatory evaluation ensures that communities are involved not only in the design and analysis of the information, but also in controlling the process of evaluating activities that they designed and took part in.

Participatory evaluations are also by nature more flexible than conventional evaluations. Conventional evaluations are externally determined and are usually designed on the basis of information available in intervention documents.

4.4 Overview of an Evaluation:

Once a development intervention is completed, an evaluation determines whether and to what extent it was able to achieve its objectives. Additionally, institutions undergo some reflection process on how they have been performing in the context of their mandate and external environment. By carrying out an evaluation, one can ascertain:

- Whether the intervention was implemented according to plan;
- Whether the intervention achieved the desired results;
- Whether the intervention achieved more than was planned;
- What worked well, and what did not work well;
- What could have been done differently?

This analysis further helps in determining:

- Whether such interventions or activities should be extended for more time in the same geographical area;
- Whether the same or similar types of activities should be replicated elsewhere;
- Whether the intervention requires major modifications in strategy and approach in order to be effective;
- What needs to be different in terms of strategy and approach when replicating the intervention elsewhere?

While regular monitoring keeps track of progress and provides information on the above-mentioned issues, evaluation goes beyond routine monitoring data. For example, some evaluations include special surveys or data collection processes so that additional data and insight are available. Another difference between monitoring and evaluation is that, while monitoring is carried out by community participants and intervention staff, evaluation usually involves outsiders.

In participatory evaluation, all key decisions regarding the evaluation are made by the intervention partners. These include timing, when to carry out the evaluation; process, indicators and analysis; and sharing, reporting and using the findings.

Participatory evaluation is most effective when the intervention design and implementation have also been carried out in a participatory manner.

Participatory design of the intervention implies that all the partners jointly decided the intervention scope and activities, and share the same vision regarding the intervention objectives and expected results. This ensures that from the very beginning all intervention partners have been involved in deciding the indicators on which the intervention will be monitored and evaluated. Likewise, when it is time for the evaluation, all partners should be clear about why and how the evaluation will be carried out.

Very few interventions, however, follow a complete participatory process. While it is possible to carry out a participatory evaluation even when intervention design and implementation have not followed a participatory process, this requires more time, and has to be planned differently. The process should start with a discussion among participating communities and intervention staff about designing such an evaluation process. Sometimes we hear examples of 'participatory evaluation' where community members are involved in answering questions framed by outside evaluators, or where community members are asked to analyze issues determined by outside evaluators. Please note that this is **NOT** the definition of participatory evaluation used in this guide.

4.5 Planning a Participatory Evaluation

Good planning is central to the success of a participatory evaluation. The planning process begins with discussions among the intervention partners on the following:

- When to carry out the participatory evaluation?
- How to carry it out?
- Who will participate in the process, and how?
- How will the information be analyzed?
- How will this analysis be shared and used by the intervention partners?
- What to be evaluated?
  - The starting point is the review of the performance framework developed as part of the M&E system. The organisational or performance framework indicates anticipated impacts, outcomes, performance questions and corresponding indicators. This list forms the basis of the evaluation process. This is the intervention partners' first opportunity to add new items which had not been foreseen beforehand.

It should be clear from the very beginning how results from your evaluation will be used. Often, evaluations are seen as a donor requirement, and the evaluation ends with sending a report to the donor. However, participatory evaluation should be of equal value to all intervention partners – participating communities, intervention staff, and donors. Results should be shared with other development agencies in the region so that they can learn from the intervention's experience as well.

4.6 Collecting Information for Participatory Evaluation

The information will be collected from different sources using different methods. Refer to steps 6 and 7 for some sources and data collection methods. In addition to what is mentioned under secondary sources, organisation or intervention monitoring data will be an additional source which should be considered.

4.7 Analyzing Information

Data analysis can be carried out in three stages:

Stage 1: Collecting and Arranging Data
Collect all data from different sources (monitoring reports, baseline, repeat survey, workshops, etc.), and arrange it in a comparable format. This means putting together data on the same indicator before and after the intervention. To ensure that the comparison is accurate, the same indicator and the same units of measurement must be used. Where quantitative methods are used in collecting data, a quantitative data analysis has to be conducted by the evaluation expert or advisor.

Stage 2: Comparison
The second step is to compare all the available data. One obvious axis of comparison is over time (for example, behaviour patterns before and after the intervention). There can be other types of comparison:

- Gender: are results different for women as compared to men?
- Age groups: are results different for youth as compared to older people?
- Location: are results different across different villages or neighbourhoods? Rural versus urban sites?
- Intervention activities: were some activities more effective than others?

You can determine the type of comparison needed based on the dimensions of the intervention. Your analysis will determine the effectiveness of the intervention, and the type and extent of impact the different activities have had.

Stage 3: Documentation
The final step is to document your analysis. A report is usually prepared at the end of an evaluation. Unless the data and its analysis are properly documented, it will be difficult to put together such a report. Refer to Box Appendix 3 for a brief outline of an evaluation report.

4.8 Sharing Information and Key Findings

Sharing of information is key to the participatory evaluation process. Sharing is carried out with partners, and with others not directly involved with the intervention. Such a sharing process helps in several ways:

- Communicating the different perspectives among the partners; your communication plan will be helpful in ensuring that the information is well communicated to the different audiences.
- Developing an output that is acceptable to all;
- Enabling joint decisions on future action;
- Sharing experiences with others who may be implementing similar interventions.
- Hence, there is ‘sharing’ both during and after the evaluation process

Refer to Step 10 on how to use and communicate M&E information.

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Appendix 1: Proposed Outline of an M&E Guide[17]

Chapter 1: Introduction

- Organisation
- Purpose of the M&E system
- Justification of M&E system
- M&E situation analysis (capacity assessment results)
- Stakeholders M&E Information needs
- Objectives of M&E system
- Guiding principles

Chapter 2: Performance (M&E) Framework

- What is your performance framework?

Chapter 3: M&E Plan

- What is your M&E plan?

Chapter 3: M&E Communication Plan

- What are different mechanism for using and communicating M&E information?
- What is the communication strategy?

Chapter 4: Management and Sustainability of the Plan

- Who does what (roles and responsibilities)?
- Process of reviewing the system

Appendices: M&E tools – Programme, finance, human resource, etc

17 The worksheets and information other qualitative information generated during each of the steps should be packaged to fit in this framework.

Appendix 2: Monitoring and Evaluation Plan for PELUM-Uganda, 2008-2012 (Hypothetical)

Elements	Performance Questions	Indicators[3]	Data Collection Method	Data Collection Tools	Frequency	Cost	Nature of Analysis	Person responsible
Impact: Empowered communities supported by member organizations effectively managing and utilizing their natural resources for **food security** and *prosperity* [4]	Do communities supported by PELUM MOs effectively manage and utilise their natural resources for food security and prosperity?	Proportion of community members that have adopted sound environmental conservation practices in farming %age of farmers that eat at least 3 meals a day	Household Interviews Transect walks	Questionnaire	Every after 3 years	USD 5000	Qualitative as well as quantitative	M&E Committee with support of a consultant
Outcomes 1. Capacity of PELUM Member Organizations to implement their own programs enhanced	How has the capacity of PELUM members to implement their programmes changed *since implementation of different capacity building programmes?*[5]	# of PELUM members that have designed M&E systems as a result of PELUM support # PELUM members implementing recommendations from M&E reports	Online survey	Questionnaire	Annually	USD 300	Quantitative	Country Coordinator
2. Member Organizations and Small Holder Farmers to engage more effectively with trade issues	To what extent are member organisations and SHFs engaging effectively in trade issues	# of MOs participating in national, regional and trade campaigns and negotiations[6]	Document Review	Checklist	Bi-annually	USD 100	Qualitative and Quantitative	Country Coordinator

is a sign for number

3. *These indicators are for illustrative purposes and therefore not exhaustive.*
4. *There are three elements to measure in this goal: The first one is to do with effective management and utilization of natural resources, followed by food security and lastly prosperity. You should develop indicators which measure all aspects in your goal and objectives. The fewer the aspects the more specific is the objective or goal.*
5. *The outcome is not very specific but the performance question helps us to track effects of different capacity building programmes. In other words for us to develop good indicators we should know the different capacity building areas supported by PELUM*
6. *This indicator can be further divided between campaign and negotiations*

Appendix 3: Sample Evaluation Report Outline[18]

Preliminaries

- Title Page
- Table of Contents (main content, tables, figures, appendices)
- Acknowledgments
- Abbreviations
- Executive Summary

Chapter 1: Introduction

- **Project Description**
- Mid-term Evaluation
    a. Background
    b. Objectives
    c. Scope of the evaluation
    d. Expected Outputs
    e. Evaluation Standards and Principles
- Report Lay out

Chapter 2: Project Design and Management

- Project Design
    - Summary of design
    - Appropriateness and relevance
    - Assumptions and Risks
- Project Management and Implementation
    - Structure and Implementation Mechanism (Communication)
    - Staffing Levels
    - Planning
    - Communication
    - Monitoring and Evaluation
    - Reporting
- Financial Management
    - Financial Systems and Procedures
    - Internal Controls
    - Budgeting
    - Utilisation and accountability (reporting)
    - Procurement, safeguarding and Disposal of Assets
    - Financial Sustainability (leveraging resources, adequacy of resources)

18 *The contents will differ according to the information needs of the organization and stakeholders*

Chapter 3: Project Achievements

- Progress on Planned Targets (per objective)

Log frame activities	Work plan activities	Actual activities	Deviations Additions/ shortfalls	Challenges	Comments

- Key Issues (per objectives)
- Progress towards Planned Outcomes
- Sustainability (Per Objective)

Chapter 4: Analysis of project Implementation Strengths and weaknesses

a) Project Design
b) Project Management
c) Project Financial Management
d) Sustainability – Ownership, Capacity, finance (alternatively discuss sustainability for each component, to ensure strategic focus).

Chapter 5: Conclusions, Lessons learnt and Recommendations

- **Conclusion**
  a. Project Design
  b. Project Management and implementation (staffing, Logistics, logistics, M&E)
  c. Performance Planning (Log frame targets and review)
  d. Strategy and design
  e. Sustainability
- **Lessons Learnt**
  a. Project Design
  b. Project Management and implementation (staffing, Logistics, logistics, M&E)
  c. Performance Planning (Log frame targets and review)
  d. Strategy and design
  e. Sustainability
- **Recommendation**
  a. Project Design
  b. Project Management and implementation (staffing, Logistics, logistics, M&E)
  c. Performance Planning (Log frame targets and review)
  d. Strategy and design
  e. Sustainability

Chapter 6: Proposed Action Plan

Issue	Activities	Expected Output	Time Frame	Lead Agency

Appendices

For the specific country reports this will include MTE implementation activities, summary description of sample, field experiences, challenges and lessons learned.

Source: Adapted from Kenwill International Limited M&E Resource Bank (June 2008)

Appendix 4: Glossary of M&E Words

A Baseline is qualitative or quantitative information that provides data at the beginning of, or just prior to the monitoring period

Evaluation is an assessment of a planned, ongoing, or completed intervention[19] to determine its relevance, efficiency, effectiveness, impact and sustainability.

Ex-ante or prospective Evaluation: An evaluation that is performed before implementation of development intervention (refer to appraisal).

Ex-post evaluation: Evaluation of a development intervention after it has been completed. It may be undertaken directly after or long after completion. The intention is to identify factors of success or failure, to assess the sustainability of results and impacts, and draw conclusions that may inform other interventions.

Formative Evaluation: Evaluation intended to improve performance, most often conducted during the implementation phase of the project or programme.

Impact refers to long term effects produced by a development intervention. The impact can be positive or negative and can also be classified as intended or un-intended.

Indicators are the quantitative and qualitative variables that provide a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of an organization against the stated targets.

Institutional Evaluation: It refers to assessment of organisations to determine impact of their work, effectiveness of internal operating procedures, and relevance of their mandate in comparison to the context or their constituency.

M&E system refers to a set of planning, information gathering and synthesis, and reflection and reporting processes, along with the necessary supporting conditions and capacities required for the M&E outputs to make a valuable contribution to project decision-making and learning[20].

Mid-term evaluation: Evaluation performed toward the middle of the period of implementation of an intervention.

Monitoring refers to the process of keeping track of progress and reviewing whether project implementation is progressing according to agreed plans and planned results

Outcomes are short term and medium term effects of an intervention.

Outputs are visible products, goods and services that result from a development intervention

Participatory evaluation seeks to engage key project stakeholders more actively in reflecting and assessing the progress of their project and in particular the achievement of results as well as taking joint action out of evaluation findings

19 *Intervention is used to mean plans, projects, programmes or policies.*
20 *Adopted from IFAD (2002) A glossary of M&E Concepts and Terms*

Participatory Evaluation: An evaluation method in which representatives of agencies and stakeholders work together in designing, carrying out and interpreting an evaluation

Participatory monitoring and evaluation involves participation of stakeholders in the monitoring and evaluation of development interventions plus joint action taken as a result of the monitoring and evaluation findings

Participatory monitoring refers to the process where key stakeholders are play a key part in keeping track of progress, and reviewing whether project implementation is progressing according to plan

Participatory results monitoring refers to the process of keeping track of progress and reviewing whether intervention implementation is progressing according to planned results. It involves stakeholders and representatives of agencies working together in designing, carrying out and interpreting the monitoring process.
Performance evaluation: An evaluation that gauges the extent to which an intervention has achieved its results

Performance Questions: A question that helps guide the information seeking and analysis process, to help understand whether the project is performing as planned or, if not, why not.

Performance target is a specific, planned level of results to be achieved for each indicator within an explicit time frame.

Process evaluation: An evaluation of the internal dynamics of implementing organisations, their policy instruments, their service delivery mechanisms, their management practices, and the linkages among these – refer to formative evaluation.

Programme evaluation: Evaluation of a set of interventions, marshalled to attain specific global, regional, country or sector objectives.

Project evaluation: Evaluation of an individual intervention designed to achieve specific objectives within specific resources and implementation schedules, often within the framework of a broader programme.

Result based monitoring and evaluation: is a continuous process of collecting and analyzing information to compare how well a project, program or policy is performing against expected results.

Summative Evaluation: A study conducted at the end of an intervention (a phase of that intervention) to determine the extent to which anticipated outcomes were produced. Summative evaluation is intended to provide information about the worth of the programme.

Appendix 5: List of PELUM Members that Participated in PME Capacity Assessment

1)	Agency For Accelerated Regional Development (AFARD)
2)	Agency for Integrated Rural Development (AFIRD)
3)	Caritas Nebbi
4)	Centre for Integrated Development (CIDev)
5)	Community Development Resource Network (CDRN)
6)	Environmental Alert
7)	Integrated Rural Development Initiatives (IRDI)
8)	International Center for Tropical Agriculture (CIAT)
9)	International Institute of Rural Reconstruction (IIRR)
10)	Jinja Diocesan Development Coordination Office (JIDDECO)
11)	Joint Effort to Save the Environment (JESE)
12)	Kulika Charitable Trust-Uganda
13)	PELUM Uganda Country Desk
14)	Send A Cow-Uganda
15)	Sustainable Agriculture Trainers Network (SATNET)
16)	Uganda Environmental Education Foundation (UEEF)
17)	Volunteer Efforts for Development Concerns (VEDCO)
18)	Vredeseilanden Country Office Uganda (VECO-Uganda)

Appendix 6: List of PELUM Members that attended the Validation Workshop

	Name of participant	Organization
1	Beckers Joris	A2N Secretariat
2	Dnykoningen Goele	IIRR
3	Isabirye Nathan	KENWILL International
4	Kahunde Erina	JESE
5	Kayondo Henry Titus	UEEF
6	Lumala Ritah	A2N Secretariat
7	Lunaana Luke	YARD
8	Stella Grace Lutalo	PELUM Uganda Country Desk
9	Magara Peter	VEDCO
10	Miti Mathias	JIDDECO- Diocese of Jinja
11	Mugisha Samuel	Sustainable Agricultural Trainers Network (SATNET)
12	Mukasa Henry	CIDEV
13	Nabaggala Ruth	IRDI
14	Namazzi Gloria	AFIRD
15	Nambudye Sarah	KENWILL International
16	Ojambo Justin	ORUDE
17	Sempa Jane	VEDCO
18	Serwanga Wilberforce	A2N Uganda
19	Sserwanga Eric	Uganda Association for Social_Economic
20	Tesfamariam Pietro	A2N Secretariat
21	Waswaga Robert	KENWILL International

Produced by:

Participatory Ecological Land Use Management
Uganda Country Desk. Plot 67, Kira Road, Kamwokya
P.O.Box, 35804, Kampala
Tel: +256 414 533 937
pelumuganda@utlonline.co.ug
pelumuganda@yahoo.com
www.pelumrd.org