AGA KHAN FOUNDATION

Introduction to Designing and Implementing M&E Systems

Facilitator's Guide

Developed by AKF Geneva

September 2013

Introduction to Designing and Implementing M&E Systems

The Aga Khan Foundation is an agency of the Aga Khan Development Network established in Switzerland in 1967 by the Aga Khan. It is a private, international, non-denominational, non-profit development agency which seeks sustainable solutions to long-term problems of poverty, hunger, illiteracy and ill health, with special emphasis on the needs of rural communities in mountainous, coastal and other resource-poor areas. Over the long term, AKF promotes self-reliance to reduce dependence on external aid. AKF assists beneficiaries in building their capabilities and gaining the confidence and competence to participate actively in the design, implementation and continuing operation of activities. AKF also works to put institutional, management and financial structures in place to ensure programme activities can be sustained without external assistance.

TABLE OF CONTENTS

LIST OF FIGURES

ACRONYMS

AKDN	Aga Khan Development Network
AKF	Aga Khan Foundation
AKHS	Aga Khan Health Services
DFATD/CIDA	Department of Foreign Affairs, Trade and Development/Canadian International Development Agency
EMIS	Education Management Information System
FAO	Food and Agriculture Organisation
FGD	Focus Group Discussion
HDDS	Household Dietary Diversity Score
HH	Household
HMIS	Health Management Information System
IDDS	Individual Dietary Diversity Score
IDP	Institute for Professional Development
LFA	Logical Framework Analysis
LM	Logic Model
M&E	Monitoring and Evaluation
MEL	Monitoring, Evaluation and Learning
MIS	Management Information System
MoE	Ministry of Education
MoPH	Ministry of Public Health
NGO	Non-Governmental Organisation
NRM	Natural Resource Management
OECD-DAC	Organisation for Economic Cooperation and Development - Development Assistance Committee
PMF	Performance Measurement Framework
PPT	Power Point
Q&A	Question and Answer
RBM	Results-Based Management
RD	Rural Development
SES	Socio-Economic Status
RF	Results Framework

INTRODUCTION

Systematic and robust monitoring and evaluation (M&E) depends on coherent programme design. Programmes which are coherent have sound internal logic which articulates what changes the programme intends to achieve and how it expects to do so. Sound M&E systems are critical for helping organizations understand to what extent they have achieved what they intended to achieve.

As a building block for the development of an M&E system, programme logic is often synthesised into a results framework and an associated set of indicators for tracking progress using various approaches to defining results and developing indicators. One such approach which is commonly used within the development community and also within the Aga Khan Foundation is Results-Based Management (RBM).

RBM has been used in the development community for the past thirty years and is an effective way to demonstrate the changes that are expected to occur as a result of certain interventions. As described by the Organisation for Economic Cooperation and Development's Development Assistance Committee (OECD-DAC), RBM is *"a management strategy focusing on performance and achievement of results (which are defined as) intended or unintended, positive and/or negative outputs, outcomes and impacts of a development intervention."*

While various organisations (including donor agencies) use different terminologies, the principles of RBM based M&E systems are similar with the following guiding principles:

1. A shared understanding of changes we expect to see as a result of targeted interventions;
2. A shared understanding of how to track these changes to assess progress towards intended (and sometimes unintended) results;
3. Systematic data collection, analysis and reporting procedures allowing for the prompt dissemination of reliable information to concerned stakeholders;
4. Learning from experience so that corrective measures can be taken promptly and future interventions can be appropriately informed.

Rationale for this Workshop

An efficient, responsive, and sustainable M&E system is possible only through the productive **collaboration of M&E staff and programme implementation staff**. In order for this collaboration to occur, key staff must have a common and shared understanding of the programme's logic, intended results and indicators for assessing change. As such, the **purpose of this workshop** is to enable a common understanding of the steps involved in designing and implementing a M&E system such that programme and M&E staff can jointly develop results frameworks and associated indicators and contribute to the implementation of a strong M&E system.

While many staff may have already been trained in generic concepts of RBM and M&E systems, applying the theory in practical ways to refine a unit's current M&E system or to develop a new M&E system is often a challenge. Many staff also struggle with the very real problem of how to transform the several sheets of paper that contain a programme's results framework and indicators (Logical

Frameworks, Performance Management Frameworks, etc.) into a well-functioning system of data collection, analysis, interpretation, reporting and learning.

With this in mind, AKF Geneva piloted a five-day interactive and participatory workshop in Tajikistan and a three-day workshop in Mozambique in 2012 on Designing and Implementing M&E Systems. These workshops focused on practically reviewing and revising, where necessary, the existing M&E frameworks so that new learning by staff could be immediately applied during the workshop. Going beyond the "theory" of RBM and M&E, the focus was instead on the practical application of RBM into existing (or developing) M&E systems within AKF units with the involvement and ownership of programme and M&E staff.

Overview of this Workshop

The objectives of the *Introduction to Designing and Implementing M&E Systems* workshop are:

- To develop a shared understanding of the guiding principles of sound M&E systems
- To develop a shared understanding of how to use RBM to develop sustainable M&E systems
- To share experiences and lessons in designing and implementing M&E systems

The workshop focuses on the conceptualisation of M&E systems using RBM. This begins with an articulation of **'what'** changes/results are expected and what indicators will be used to measure and evaluate this change. It also focuses on the initial stages of operationalising a M&E system - the **'how'** information can be obtained and how to carry out monitoring and/or evaluation. Specifically, the following topics are covered during the workshop:

- What is Monitoring and Evaluation?
- Steps in Designing and Implementing Monitoring & Evaluation Systems
  - Step 1: What Does Change Look Like - Defining Results
  - Step 2: How to Know Change has Happened - Developing and Selecting Indicators
  - Step 3: How to Collect Information - Data Sources, Methodologies, Frequency and Responsibilities
  - Step 4: Articulating and Monitoring Assumptions and Risks
  - Step 5: Grouping Indicators and Scheduling and Planning for Data Collection
  - Step 6: Developing Data Collection Tools (primarily for output monitoring)

What does this workshop not cover? As with any workshop there are limitations to the amount of material that can be covered. The workshop does not go into detail beyond Step 6 of designing a M&E System (the development of simple output monitoring tools). While it covers multi-year M&E calendars and study planning, it does not cover topics related to data collection through non-routine methods such as surveys, focus groups discussions, individual interviews targeted at various stakeholders. While these topics are considered to be very important, they are considered to be beyond the scope of an introductory workshop on M&E systems. Topics related to quantitative and qualitative study design and implementation are expected to be covered through context specific responses developed by relevant AKF Geneva staff. In particular, the rural development team at AKF Geneva has developed modules on qualitative research and is in the process of developing modules on quantitative research which will be available to field teams toward the end of this year.

Purpose of this Facilitators' Guide

The **Introduction to Designing and Implementing M&E Systems - Facilitator's Guide** is designed to prepare M&E and programme staff or external consultants who already have knowledge and skills in designing RBM based M&E systems to replicate the training for other M&E and Programme Staff within their country units. The guide has been developed based on feedback during pilot workshops in Tajkistan and Mozambique and input from AKF unit representatives from Canada, USA, UK, and Geneva. It also draws on a variety of resources, experiences and best practices from local and international non-governmental organisations and agencies, notably InProgress, OECD, World Bank, DFATD/CIDA , and FAO. It also integrates best practices from various AKF field units.

While the primary focus of the workshop material is on the programme level, the principles can equally be applied at the project level. It is hoped that this guide will be useful for all sectors as they think about developing new M&E systems or refining existing ones. It is also hoped that the guide and the workshop can champion consistency across AKF when using RBM language, without being donor specific.

As with any training guide, facilitators are encouraged to **adapt and contextualise examples** based on their field and sector specific realities to deliver the workshop material. While the manual is currently only available in English, resources have been provided at the end of this guide for best practices to be considered when translating the material into local languages. OECD has also published a document on RBM terminology in three languages that can be useful for translation. The document is is entitled *Glossary of Key Terms in Evaluation and Results Based Management: English, French, Spanish and is available at*: http://www.oecd.org/development/peer-reviews/2754804.pdf

Accompanying this guide is an **electronic version of the PowerPoint slides** that can be used and adapted for the workshop based on the country unit needs. A series of facilitator notes for the majority of slides are also found in Annex L of this document.

Finally, both the PowerPoint slide presentation and the Facilitator's Guide are iterative documents which will be periodically updated based on internal reviews and comments received from users. As such, we look forward to hearing your views on these materials.

PREPARATION FOR THE WORKSHOP

Structure of the Facilitator's Guide and the Workshop Sessions

This guide is divided into five parts, one for each of the five days recommended to deliver the workshop content. For each day, there are various sessions. An alternative three-day schedule is also presented on Page 10.

For each of the sessions, the following information is covered:

Objective of Session	The objective(s) the session aims to achieve
Sections	The number and name of individual units in a session
Suggested Time	The total amount of estimated time to carry out the session
Methods	The methods suggested for delivering the session
Materials Required	The material required to carry out the session, including all handouts and power point slide references

Each session outlines the steps involved as well as all relevant slides and information needed to carry out the session.

Target Groups

The workshop is designed for mixed groups (programme and M&E staff) and assumes that participants have some experience with RBM and M&E Systems. Participants should be selected based on their general involvement in programme/project design, their commitment to attending for the required number of days, their ability to support other colleagues and their expected involvement and influence over routine and periodic M&E activities.

It is important to adapt the materials to the needs of the target group for the workshop. Depending on the group's composition and the participants' level of exposure to RBM, some adaptations may need to be made.

Duration of Training

It is suggested that the workshop take place over the course of five days. Depending on the size and pace of the group, the schedule, agenda and session timings can be adapted and adjusted daily (a suggested agenda is provided on Pages 8 and 9). It is **highly recommended** that participants take a break after Day 2 or 3 to retain and reflect on the learning. Ideally, scheduling the first few days before the weekend is useful, with the remaining workshop days scheduled after the weekend. In some cases, five days may not be feasible. As such, the workshop can also be conducted over the course of three days, with a greater emphasis on the theory of RBM and the development of results frameworks (along with indicators). Alternatively, the workshop can be divided into two parts and delivered at different times within the year, with a short gap in between.

Co-Facilitation

Having two facilitators with varying experiences and knowledge is highly recommended as this adds value during the preparation and the implementation of the workshop. In addition, two facilitators can enhance the benefit of group work exercises as two people can circulate amongst groups and provide more intensive support per group.

Principles of Participatory Training

The *Introduction to Designing and Implementing M&E Systems* workshop is highly participatory and interactive. Much of the time spent throughout the five-days is in group work, applying the knowledge acquired on real projects or programmes. It is important to keep in mind the principles of participatory training, including:

- It is participant centred
- Learning is drawn from the knowledge of participants
- It is relevant to the experiences of the participants
- The facilitator is not the expert, but will guide the process which should be driven by participants' needs and existing knowledge

Training Methods

Five main training methods are proposed for this workshop. These are described below.

Lecture: While the workshop aims to be interactive and participatory, there are several sessions which require the trainer to explain concepts and provide information to participants. However, this can also be participatory and the trainer should ensure that participants have the opportunity to ask questions either during the lecture itself, or during a question and answer (Q&A) period at the end of the lecture.

Plenary Discussion: This methodology allows for open group discussion with all participants. Plenary (large group) discussions are used after lectures and small group work to share ideas and learning.

Group Work: Each of the sessions aims to allow participants to apply learning in a practical way. Group work is part of each session so as to put into practice the key concepts and methods explained. Facilitators play an important role during group work by rotating between groups, observing the progression of the groups work, answering questions as they arise, and steering a group in the right direction if it appears to be going off on a tangent and will provide feedback to participants for each group work exercise.

Exercise: Another way to apply learning is through individual or group exercises such as games or activities which allow participants to test their knowledge e.g. after a lecture.

Peer Review: One key training methodology is the use of peer review. This not only draws on participant experience, but provides an opportunity for others to review the work completed, ask questions and provide suggestions. Several exercises use peer review as a methodology for learning.

Facilitation Skills

Good facilitation skills are critical to the success of this workshop. The principle role of a facilitator is to create a space for interactive learning and guide the process of participation. A facilitator's role is not to teach people what to do, but to provide them with the tools to find the solutions themselves. In addition, there are other skills that are required for a successful workshop. These include:

Ensure that you are **well prepared** for the workshop. This includes having all the necessary material, being comfortable with the material, and ensuring that all logistics arrangements have been made.	**Be clear** in your instructions for activities/exercises and clarify if participants do not understand. Change your way of doing something if it is clear that participants do not understand.
Provide positive feedback to participants. This means that if a participant gives an incorrect answer, acknowledge that they have tried their best and assist them in finding the correct answer.	**Be flexible.** While it is important to keep good time management, gauge the participant group and adjust your pace accordingly even if it means you cannot cover all aspects of the workshop.
Be aware of shy or quiet participants. Create opportunities for them to speak and participate. Continuously check the mood of the group and make adjustments as necessary.	Always maintain **eye contact, move around, and speak clearly** and directly to participants. Don't turn your back to flip charts or when others are speaking.
Provide examples that will help people visualise and relate to what you are talking about. Use examples from programmes and projects you have been involved in and ask participants to provide relevant examples from time to time.	**Listen!** Validate, clarify, restate, and reflect, especially when you think you may disagree. When people ask you as the "expert," make a practice of inviting others to respond first by putting the question to the group as a whole.

Planning for the Workshop

Pre-Workshop Preparation for Facilitators

Planning for the workshop is key to its success. Aside from preparation for the workshop itself (described below), facilitators should:

1. Conduct a needs assessment for both the M&E unit and the workshop participants prior to the workshop. This will allow facilitators to determine the level of knowledge and experience of the participants vis-a-vis the workshop content in advance. It will also provide guidance in terms of where focus should be placed during the workshop itself. A sample of a needs assessment template can be found in Annex A.
2. Disseminate the course description document to participants before the workshop containing information on the objectives and the agenda of the workshop and materials to bring. A sample course description letter (which can be adapted) can be found in Annex B.
3. Obtain a copy of the AKF unit's programme strategy, results framework and/or M&E plan in advance and become familiar with its content. Familiarity with these materials will be useful during the workshop, particularly during group work sessions in developing results frameworks and performance indicators. If a results framework and/or an M&E plan does not exist or if the programme has various donor related frameworks and M&E plan only, without an overall programme-wide plan, ask participants to complete a comprehensive Indicator Inventory (one per sector if programme staff are participating or one for the entire programme) as per the template provided in Annex C. The inventory and other documents should be submitted at least one week prior to the

workshop to provide the facilitator(s) a chance to become familiar with the programme's existing approach to M&E. The M&E plan/indicator inventory will be used on Day 1. If the project/programme is new and the indicators have not been defined yet, you should ask for the programme/project strategy only.

4. Obtain samples of output monitoring tools developed by the programme so that they may be reviewed in preparation for Day 4.

Use of Laptops: It is suggested that participants are asked NOT to bring a laptop to the workshop as participants often tend to get distracted by other work priorities and email. All of the exercises and group work can be done with the use of flip charts. This information should be conveyed to participants in the course description letter (Annex B).

Materials Required

It is important that the required materials are organised in advance. For a successful workshop, the following materials will be needed throughout the five days:

LCD Projector	Power Point Presentation of workshop slides
200 Index Cards (50 each of different colours)	Masking Tape
Markers of various colours (enough for each group)	Flip Chart Paper (3 for facilitator, 1 per group)
90 Stickers (30 each of 3 different colours)	Glue Stick (1 for each group)
Power Point Handouts	2 Scissors
Stationary (pens, notebook for each participant)	Extension Cord
Copies of Result Framework, M&E Plans, Output Tools	Prizes for exercises/games

Pre-Workshop Preparation for Participants

Even though participants have been asked to provide electronic copies of their current strategy, results framework and M&E Plan (which includes a list of indicators and data collection methods) to facilitators, participants should also be asked to bring a copy of these documents to the workshop. If the unit does not have an overall M&E Plan, participants should bring the Indicator Inventory Template as indicated in the invitation letter. In addition, participants should be asked to bring copies of their output monitoring tools (or a few key output monitoring tools) to the workshop.

Timing of Workshop

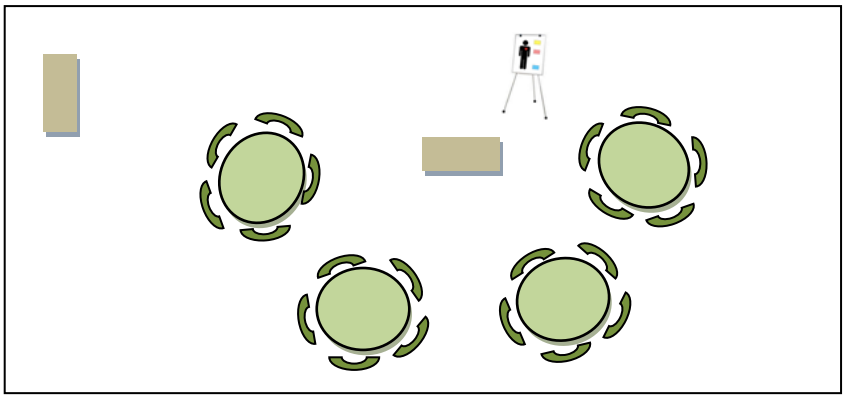
Ideally, the workshop should be conducted at the beginning of a new planning period so that learning can be immediately incorporated. It can also take place when designing a new project or programme. However if this is not possible, the workshop can take place when it is convenient for the unit.

Venue

The choice for workshop venue is important for participant learning. Where possible, select a venue outside of the office or in a neutral location so that participants are free from routine work related distractions.

The venue itself should have good natural light and be large enough to arrange tables into groups, have space for flip charts, tables to store materials and for participants and facilitators to walk around. Use the wall space to post materials, exercises, etc. It is important that the tables are

arranged in an open way, such as groups or in a horse-shoe. This will allow the facilitator and participants to walk around. For example:



Suggested Workshop Schedule and Agenda

The workshop is suggested to take place over the course of five days. Depending on the size and pace of the group, the schedule, agenda and session timings can be adapted and adjusted daily.

Figure 1: Five-Day Suggested Agenda - Number 1

Day 1	Day 2	Day 3	Day 4	Day 5
Session 1: Welcome & Introductions	Session 1: Review and Introduction to Day 2	Session 1: Review and Introduction to Day 3	Session 1: Review and Introduction to Day 4	Session 1: Review and Introduction to Day 5
Session 2: What is Monitoring & Evaluation	Session 2: Step 2 - Developing & Selecting Indicators	Session 2: Step 3 – How to Collect Data (Sources of Information and Methods)	Session 2: Step 4 - Assumptions, Risks and Mitigation	Session 2: M&E Work Plans and Study Planning
Tea Break	**Tea Break**	**Tea Break**	**Tea Break**	**Tea Break**
Session 3: Introduction to M&E Systems	Session 2 (Continued)	Session 2 (Continued)	Session 3: Step 5 – Grouping Indicators and Planning Data Collection	Session 2 (Continued)
				Session 3: Application of Learning
Lunch	**Lunch**	**Lunch**	**Lunch**	**Lunch**
Session 4: Results-Based Management & Step 1: Defining Results	Session 3: Application of Learning (Results and Indicators)	Session 3: Application of Learning)	Session 4: Step 6 - Output Monitoring Tools & Design	Session 3 (Continued)
		Session 4: Step 3 (Frequency and Responsibility	Session 5: Application of Learning	
Tea Break	**Tea Break**	**Tea Break**	**Tea Break**	**Tea Break**
Session 5: Application of Learning	Session 4: Reflection and Peer Review	Session 4 Continued	Session 5 (Continued)	Session 4: Key Messages of Workshop and Evaluation
Session 6: Key Messages of Day 1 & Evaluation	Session 5: Key Messages of Day 2 & Evaluation	Session 5: Key Messages of Day 3 & Evaluation	Session 6: Key Messages of Day 4 & Evaluation	

It is **highly recommended** that participants take a break after Day 2 or 3 to retain and reflect on the learning. Ideally, scheduling the first few days before the weekend is useful, with the remaining workshop days scheduled after the weekend.

In some cases, participants will need more time on Steps 1 and 2. The agenda below suggests a slightly varied plan to allow participants extra time on Day 2 to complete Step 1 and on Day 3 to complete Step 2. If participants need even more time, it is then suggested that some topics to be covered on Days 4 and 5 are cancelled.

Figure 2: Five-Day Suggested Agenda - Number 2

<table>
<tr><th>Day 1</th><th>Day 2</th><th>Day 3</th><th>Day 4</th><th>Day 5</th></tr>
<tr><td>Session 1: Welcome & Introductions</td><td>Session 1: Review and Introduction to Day 2</td><td>Session 1: Review and Introduction to Day 3</td><td>Session 1: Review and Introduction to Day 4</td><td>Session 1: Review and Introduction to Day 5</td></tr>
<tr><td>Session 2: What is Monitoring & Evaluation</td><td>Session 2: Step 2 - Developing & Selecting Indicators</td><td>Session 2: Application of learning (continued from previous day)</td><td>Session 2: Step 4 - Assumptions, Risks and Mitigation</td><td>Session 2: M&E Work Plans and Study Planning</td></tr>
<tr><th>Tea Break</th><th>Tea Break</th><th>Tea Break</th><th>Tea Break</th><th>Tea Break</th></tr>
<tr><td rowspan="2">Session 3: Introduction to M&E Systems</td><td>Session 2 (Continued)</td><td rowspan="2">Session 3: Step 3 – How to Collect Data (Sources of Information and Methods) (Continued)</td><td>Session 3: Step 5 - Indicator Grouping</td><td>Session 2 (Continued)</td></tr>
<tr><td>Session 3: Application of Learning Step 1 and Step 2</td><td>Session 4: Step 6 - Output Monitoring Tools & Design</td><td>Session 3: Application of Learning</td></tr>
<tr><th>Lunch</th><th>Lunch</th><th>Lunch</th><th>Lunch</th><th>Lunch</th></tr>
<tr><td>Session 4: Results-Based Management & Step 1: Defining Results</td><td>Session 3 (Continued)</td><td>Session 4: Application of Learning</td><td>Session 5: Application of Learning</td><td>Session 3 (Continued)</td></tr>
<tr><th>Tea Break</th><th>Tea Break</th><th>Tea Break</th><th>Tea Break</th><th>Tea Break</th></tr>
<tr><td>Session 5: Application of Learning</td><td>Session 4: Reflection and Peer Review</td><td>Session 5 Step 3 continued (Frequency and Responsibility)</td><td>Session 5 (Continued)</td><td rowspan="2">Session 4: Key Messages of Workshop and Evaluation</td></tr>
<tr><td>Session 6: Key Messages of Day 1 & Evaluation</td><td>Session 5: Key Messages of Day 2 & Evaluation</td><td>Session 6: Key Messages of Day 3 & Evaluation</td><td>Session 6: Key Messages of Day 4 & Evaluation</td></tr>
</table>

In some cases, a five-day workshop may not be feasible. As such, the workshop can be conducted over the course of three days, with a greater emphasis on the theory of RBM, the development of results frameworks (along with indicators), and selection of data collection methods and sources. Alternatively, the workshop can be divided into two parts and delivered at different times within the year, with a short break in between.

Figure 3: Three-Day Suggested Agenda

Day 1	Day 2	Day 3
Session 1: Welcome & Introductions	Session 1: Review and Introduction to Day 2	Session 1: Review and Introduction to Day 3
Session 2: What is Monitoring & Evaluation	Session 2: Application of RBM Continued	Session 2: Step 3 – How to Collect Data (Sources of Information and Collection Methods)
Tea Break	**Tea Break**	**Tea Break**
Session 3: Introduction to M&E Systems	Session 3: Step 2 - Developing & Selecting Indicators	Session 3: Application of Learning
	Session 4: Application of Learning	
Lunch	**Lunch**	**Lunch**
Session 4: Results-Based Management & Step 1 – Defining Results	Session 4 (Continued)	Session 4: Specific topic selection based on participants' requests or needs assessment of the unit conducted by the facilitator (i.e. indicator grouping, tool development, etc.)
Tea Break	**Tea Break**	**Tea Break**
Session 5: Application of Learning	Session 5: Reflection and Peer Review	Session 5: Application of Learning
Session 6: Key Messages of Day 1 & Evaluation	Session 6: Key Messages of Day 2 & Evaluation	Session 6: Key Messages of Workshop and Evaluation

Consider the use of working tea breaks, especially for sessions with group work. Timings for the start and end of the workshop and lunches and breaks should follow what is locally appropriate.

A detailed sample workshop agenda can be found in Annex D.

Ice-Breakers and Energisers

Starting the workshop on the right foot is essential. It is important that you ensure participants are comfortable, engaged and ready for learning. Ice-breakers and energisers are useful to re-energise a group, especially after lunch. As such, it is a good idea to have ice-breakers and energisers ready for use throughout the workshop. Some options for icebreakers and energisers are below:

Three Questions

This game is useful as an ice-breaker to begin the workshop, especially for groups where participants may be unfamiliar with each other. The facilitator asks the participants three questions that will allow the group to get to know each other on a personal level. You can use a variety of questions. Some of the most successful questions are:

- If you could have any other job other than the one you have now, what would it be?
- If you were given a free ticket to anywhere on the planet, where would you go?
- If you were an animal, which animal would you be? Why?

What do we have in Common?

This game can be used as an ice-breaker or energiser and is ideal for larger groups (10 people or more). The objective of the game is to get people to find out what they have in common with each other. It is played in several rounds depending on the size of the group. The first round people will pair up with another participant and find out what they have in common. Commonalities are

personal in nature and should not be related to work. Examples include liking the same type of music, both play an organised sport, same colour socks, etc. When each pair has found a commonality, these pairs will match up with another pair (so four people) and find a new commonality among the four people. Round three brings both groups of four together to have eight people find a commonality. At the end, have the entire group try and find one commonality.

Line Up

This game can be used at any point in the workshop and has many variations. Dividing the group into two smaller groups, the facilitator will ask each of the groups to form a line, in a specified order. The first group to form their line will win. There are various lines you can form:

- By first name, with A being at one end and Z at the other
- By height (tallest to shortest or vice versa)
- By age (oldest to youngest or vice versa)
- Another characteristic appropriate to the context

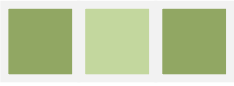
Fruit Salad

This game can be used after lunch breaks or when participants have been sitting for extended amounts of time. The whole group sits in a circle. The facilitator asks the group to name 3 common fruits (e.g. Mango, Banana, and Kiwi). Allocate a fruit name to each person in the circle. A volunteer is asked to stand in the middle of the circle and the circle is closed (there should be enough chairs in the circle for the participants less the person in the middle (remove a chair). The participant in the middle will mention any one of the names of fruit. At the mention of the fruit, the participants who are in that fruit category have to change seats while others remain seated. e.g. “All those who are Mango change seats”. The participant in the middle also runs for a seat. The participant who is unable to get a seat since one chair is missing goes into the centre. He/she then mentions the name of a fruit and the game continues. When the name ‘fruit salad’ is mentioned all participants must change their seats.

Facilitator Tip: There are always participants in the group who have attended other trainings and/or are facilitators themselves. Ask participants if they have any energisers they might want to share. You can ask if different participants would like to volunteer to do an energiser after each break.

DAY ONE

MONITORING AND EVALUATION
INTRODUCTION TO M&E SYSTEMS
RESULTS BASED MANAGEMENT
STEP 1: DEFINING RESULTS



Session 1: Welcome and Introduction

Objective of Session	To welcome participants and introduce the objectives and content of the workshop
Sections	1.1 Welcome; 1.2 Setting Norms and Expectations; 1.3 Expectations & Objectives
Suggested Time	30 minutes
Methods	Lecture
Materials Required	Flip Chart Paper, Markers, List of Objectives, Handouts of Power Point Slide 1 - 3

1.1 Welcome and Getting to Know Each Other

This section sets the stage for the entire workshop and is a critical starting point. In this section, the facilitator will introduce themselves and carry out an ice-breaker.

Steps:

1. Welcome participants to the workshop, recognising that they have taken five days out of their schedules to participate. Explain that the workshop will be interactive and participatory and will use a combination of theory and application. Explain also that the workshop will draw from what is currently being practiced by the participants in their programmes.
2. Before you introduce yourself, give participants five minutes asking them to think about the following questions:
    a. If you could have any other job other than the one you have now, what would it be and why?
    b. If you were given a free ticket to anywhere on the planet, where would you go and why?
    c. Add in another (ice breaker) question of your choice.

    In turn, have people introduce themselves, stating their name, position in the organisation and the responses to their three questions. Introduce yourself as the facilitator for the next five days, also stating your experience in this area, as well as the responses to the three questions. Introduce your co-facilitator if there is one or request them to introduce themselves and provide responses to the three questions as well.

1.2 Setting Norms and Expectations

While it may seem obvious to some, it is important to remind participants of the basic rules and etiquette that will apply during the workshop. Some suggestions include:

- No laptops - use during breaks or lunch only
- No use of mobile phones during sessions - use during breaks or lunch only and turn on silent mode during sessions
- Give others your attention when they are speaking
- Raise your hands to speak (if the group is large)
- No question is too silly or no answer is incorrect

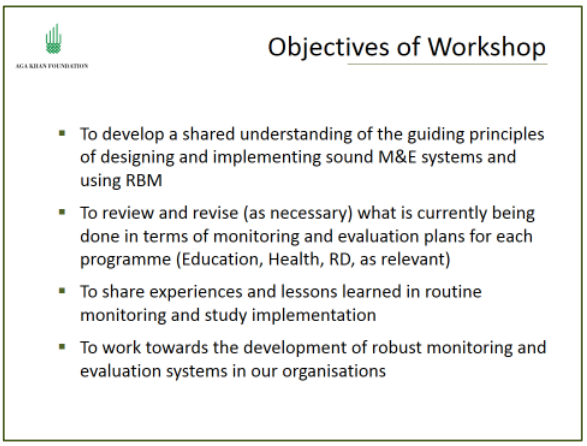
Write out the rules beforehand on a flip chart. Add to these rules during this session, based on feedback from participants and post the flip chart to a wall where it will remain for the five days.

1.3 Expectations and Objectives

This section reviews the workshop objectives and outlines the agenda for the five days.

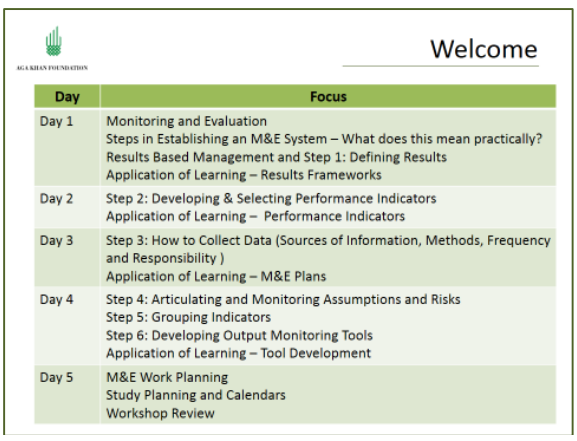
Steps:

1. Ask participants to state what their expectations and learning objectives for the workshop are (either on index cards or verbally). Encourage participants to be specific by having them frame their learning objectives in the following way: *"By the end of this workshop, I will know how to..."* If verbally stated, write these down on a flip chart. If participants use index cards, tape these cards to a flip chart. Once participants have completed stating their expectations, present the objectives of the workshop and highlight which of the participant's learning objectives will be covered and, importantly, those that will not be covered and why.



Slide 2

2. Introduce the idea of the "Parking Lot" - a list of topics that may arise during the workshop that will need to be dealt with at a later stage (perhaps during lunch hours with interested participants or during the special topics session on the last day) or questions that participants may have for other topics. Keep the "Parking Lot" up during the workshop.
3. Review the agenda for the next five days. Highlight that the workshop is highly iterative and that the schedule will likely change depending on how much is covered each day. This will be dependent on the level of the participants' knowledge and experience and the pace at which they can proceed. For example, based on the response from participants, the facilitator may decide with participants that more emphasis may be needed on understanding results frameworks before moving forward to other sessions.



Slide 3[a]

Facilitator Tip: The majority of the sessions involve group work. It is important as a facilitator to determine the best composition for these groups. Group work should be organised based on the roles of participants in the programme. For example, groups can be organised by programme sector or individual project component and can include a mix of M&E and Programme Staff to reiterate the message that the development of M&E systems is an integrated effort requiring the collaboration of all staff, not just M&E people alone. It is suggested that these groups are pre-established during the preparation phase of the workshop and confirmed on the first day of the workshop with participants.

Session 2: What is Monitoring & Evaluation in Programmes?

Objective of Session	To review concepts of monitoring and evaluation. To examine our current monitoring practices, why we monitor, and for whom
Sections	2.1 Current practices in monitoring 2.2 Monitoring concepts
Suggested Time	1 hour
Methods	Group Work, Lecture, Plenary Discussion
Materials Required	Flip Chart, Markers, Handout of Power Point Slides 4 -13

2.1 Current Monitoring Practices

This section aims to identify the current monitoring practices undertaken by the Field Unit, including challenges faced. This session is conducted prior to the session on basic concepts as it sets the framework for the workshop using the existing M&E framework and system as a starting point. It is also important that participants have an opportunity to share their experiences about the current system in place. **This session is only applicable in the manner discussed below if the programme/project is in operation or has a list of defined indicators that they are monitoring or plan to start monitoring (see note to facilitator on the next page for tips on adapting this session).**

Steps:

1. In groups, ask participants to look at their current M&E plans (or indicator inventory), specifically their list of indicators. Ask the groups to answer the following questions (pre-written on flip chart or power point slide) on their flip chart:
   a. How many of these indicators do you actually collect data on?
   b. Is there other information not in this indicator inventory or in your M&E plans that you are monitoring?

   Pick 14 to 20 indicators from the list (select half of these to be output level indicators and the other half to be outcome level indicators) and respond to the following questions for each selected indicator.
   c. Why do you collect data on each of these indicators?
   d. For whom do you monitor these indicators?
   e. How easy or difficult is it to collect data for these indicators?
   f. What do you do with the information collected for each selected indicator?
   g. How is this information used?
   h. If you are not collecting information on any of the indicators, why not?
2. In a plenary session, have each group share their responses. Provide 20 minutes to discuss in small groups and another 20 minutes to discuss in plenary.
3. Facilitators should draw on responses and ask additional key questions, including:
   a. How confident are you about the quality of the information collected for each of the selected indicators?
   b. From the information you are collecting for the selected indicators, is there information you are collecting that you are not using for reporting or learning or any other purpose?
   c. From the selected 14 to 20 indicators, which are the few indicators that are the most useful for the program?

Note to Facilitator: The workshop will draw extensively on existing M&E plans in the unit. Throughout the workshop, the M&E plans will be reviewed and revised (where appropriate). In cases where a unit is developing a new M&E framework or plan and no plan exists, the facilitator can adapt questions for this session around previous M&E plans that have been used by participants in other projects/programmes and some of the successes and challenges in applying those plans.

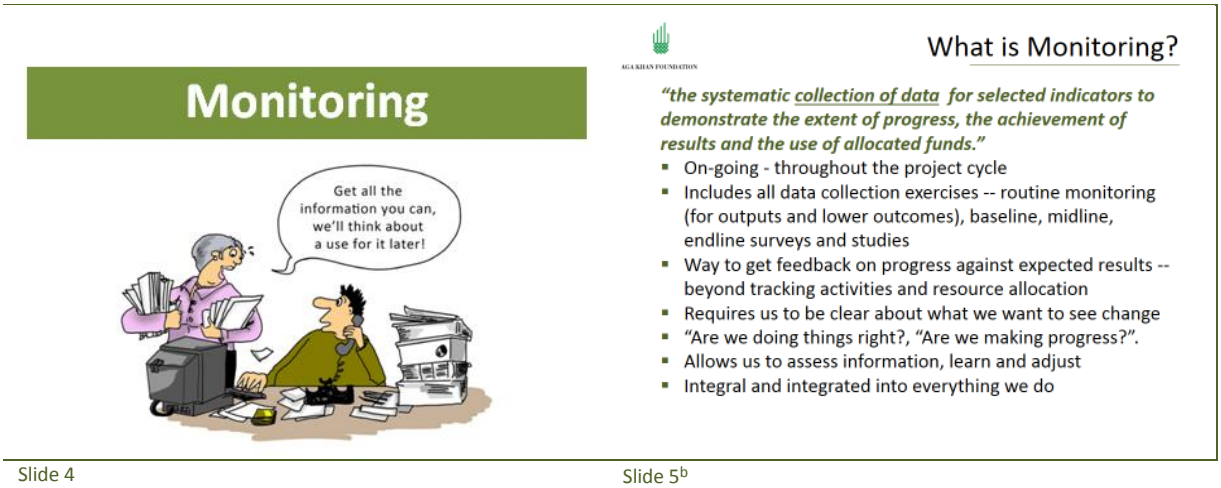
2.2 Monitoring and Evaluation Concepts

The objective of this section is to review the basic concepts on monitoring and evaluation and for participants to understand the relationship between monitoring and evaluation. This section also focuses on the importance of monitoring and evaluating our programmes and reasons for doing so.

Steps:

1. Distribute the Power Point Slide Handouts 4- 13 to participants.
2. Using the PowerPoint Slides, and the accompanying PowerPoint notes, cover the material on what is monitoring, what is evaluation, what do we monitor, why do we monitor, what information do we collect, for whom do we monitor and how is information used. Clarify any questions participants may have.

Note to Facilitator: We use the term monitoring to mean the "routine collection of information" that will help us understand how we are progressing in terms of the results of our work. We use the term evaluation to mean "periodic assessments in order to incorporate lessons into decision making and future programming". Monitoring and Evaluation, while separate processes, complement each other as information gathered during the monitoring process is used to inform evaluations and learning. Refer to Slide 7 and the Glossary for detailed information.



Slide 4 Slide 5[b]

What is Evaluation?

"the systematic and objective (internal or external) assessment of an on-going or completed project, programme or policy, its design, implementation and results with the aim of determining relevance, efficiency, effectiveness, sustainability ".

- Monitoring data provides the basis of evaluation which is basically an assessment based on this data
- Assessments/evaluations are periodic -- conducted at various critical points before, during or after the project/programme
- Essential in informing learning and making adjustments to future projects and programmes
- Goes beyond stating progress on results, focuses on how the programme was delivered, effectiveness of resources, the overall effects and sustainability of interventions
- "Have we done the right thing?, "How can it be done better?", "What overall change has occurred?"

Slide 6[c]

What defines useful M&E?

- **Systematic process** of assessing what we do and how we do it
- Emphasizes **'learning by doing'** and making changes based on information/evidence
- **Using** information to inform decisions and improve/refine interventions/projects/programmes, **in a timely manner**
- **Coordinated** between different sectors or parts of the programme to collect information that is relevant to the programme as a whole

Requires the involvement of both M&E & programme Staff

Slide 7

Monitoring & Evaluation

Monitoring and evaluation complement each other:

Area	Monitoring	Assessments/Evaluation
Frequency	Continuous and regular	Periodic – before, during or after programme, etc.
Main Action	Collection, analysis and use of information and data	In depth analysis of data, using some data that has already been collected and collecting some new data
Purpose	To demonstrate results, learning, inform decision-making during implementation	To assess what has been achieved overall and how it has been achieved and to inform future projects
Focus	Inputs, activities, results (outputs, lower and higher level outcomes), risks, environment	Effectiveness, efficiency, reach, impact, sustainability
Answers the Question	Are we doing things right? What has been achieved? What are we learning?	Have we done the right thing? How can it be done better? What overall change has occurred?
Undertaken by	Project managers, M&E staff, field staff, partners, community	External Evaluators; M&E Staff, Funders, Internal Assessors

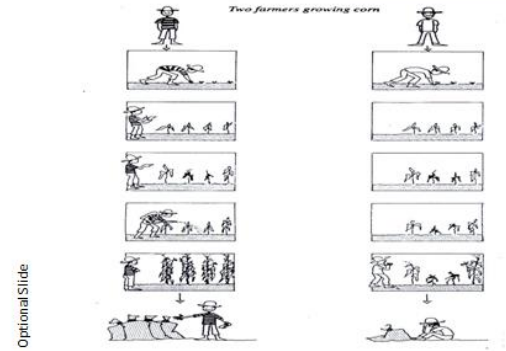
Slide 8

What do We Monitor?

- **Completion of Activities and Achievements of Outputs –** have we done what we said we would do?
- **Time** - how long has it taken versus what was planned?
- **Resources** - what we are using and how are we using them?
- **Assumptions** what needs to be in place? Is the logic of my strategy correct?
- **Risks** - what are the risks in achieving our results?
- **Results Achieved** what changes have been achieved?

Slide 9

Why do We Monitor?



Optional Slide

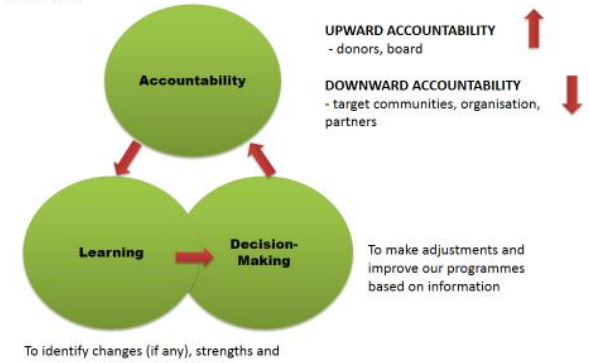
Slide 10[d]

Why do We Monitor?

- To ensure that targeted members in targeted communities are **benefiting** from activities conducted
- To **identify issues and challenges**, **learn** from them and **find solutions** to emerging problems
- To ensure funds and resources are used **properly and effectively**
- To ensure that activities are on **schedule**
- To review projected costs, timelines and deliverables and to explain variances from the **original plan**
- To **demonstrate success** and to attract new funds
- To **generate information** for donors and other relevant stakeholders

Slide 11

Why do We Monitor?



Slide 12

For Whom do we Monitor?

- Targeted Communities
- Ourselves/Organisation
- Donors
- Board
- Other partners and stakeholders

***Everyone** in the organisation is involved in monitoring and must be integrated into the organisational culture*

Slide 13

Session 3: Introduction to Monitoring and Evaluation Systems

Objective of Session	To introduce and/or review the steps involved in strengthening and/or establishing a robust M&E system
Sections	3.1 Steps to Establishing a M&E System
Suggested Time	40 minutes
Methods	Lecture, Plenary Discussion
Materials Required	Handout of Power Point Slides 14 - 28; 10 Steps to Establishing an M&E System Handout (Annex E)

3.1 Monitoring and Evaluation Systems

The aim of this section is to review the 10 steps in establishing an M&E System.

1. Distribute the handout on the 10 Steps to Establishing a M&E System as well as slides
2. Show the slide entitled "What is a M&E System" and explain, in detail, each of the 10 steps involved in establishing a M&E System, using Slides 14-28.
3. After the lecture, have a plenary session and ask the group the following:
   - Which of the ten steps have you used in establishing your current system?
   - If you have done this in the past, what step did you start with and why?
   - What are some of the challenges you have had in putting the system in place? During which steps?
   - How would you go about refining/changing what you have in place already?

Note to Facilitator: It is important to stress two aspects of the 10 Step Cycle - human and financial resources and technical expertise. Before a unit can design or implement a robust M&E system, assessing the available human and financial resources will be critical. In addition, having consistent internal technical expertise will also be a factor in a successful and efficient system.

You may also stress that having all the necessary human and financial resources is part of an 'ideal system' and often our units work with minimal resources to carry out the steps necessary in establishing an M&E system.

One option for this session therefore is to also have a discussion on strategies for designing and implementing an M&E system based on the current human, financial, and other capacity available to the AKF field unit in question as well as what additional skills would be needed.

M&E Systems

Slide 14[e]

M&E Systems

- A M&E system is defined as: ***"a system for collecting and utilising information on the progress of a project/programme with the goal of improving it".***
- Its purpose is to have a structured framework in order to systematically plan what data to collect when and how often, analyse data and inform decision making.
- It also serves as a communication system to disseminate information both upwards and downwards.
- **A M&E system does not simply comprise an MIS! The system is based on a 3-5 year plan and the steps taken/tools required to implement this plan.**

Slide 15

M&E Systems

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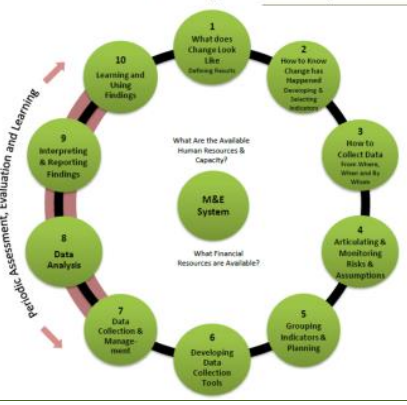
- **A M&E system does not simply comprise an MIS! The system is based on a 3-5 year plan and the steps taken/tools required to implement this plan.**

Slide 16[f]

Establishing a M&E Systems: Steps



Slide 17

Before we Begin – What do we Need?

10 Steps to a M&E System

Establishing a M&E system is dependent on several factors:

- Commitment from management (and priority) to M&E
- Available financial resources for data collection, analysis and reporting
- Available human resources such as time and technical capacity of each M&E staff
- Understanding the importance of a systematic process to inform decisions and learning
- A clear and updated programme strategy!

Slide 18[g]

Before we Begin – What do we Need? *Human Resources*

10 Steps to a M&E System

M&E Functions	Skills Required
Establishing M&E Plan and System for the organisation	RBM Knowledge Coordination Skills Experience in developing M&E Plans Common Sense !!!
Surveys and Studies – including baseline data collection and management	Quantitative research skills Qualitative research skills
Routine/input output monitoring Data management	Tool development and basic data collection Database development and management Data analysis skills
Periodic Case Studies, reporting and communicating results	Written communication skills Understanding of development issues RBM knowledge
Capacity building of all M&E Staff	Facilitation Skills Skills in topic of capacity building

Slide 19[h]

1 What does Change Look Like?

10 Steps to a M&E System

- Determine the change we want to see as a result of our activities, strategies and interventions
- Involves determining strategic priorities of country (i.e. national sectoral development plans), donors, country unit, programme, etc.
- Develop a results framework – visual depiction of change (also known as logic model, theory of change, results chain)

** Don't forget to think through the gender implications of the results and where applicable, environmental implications*

Slide 20[i]

10 Steps to a M&E System

2 How to Know Change has Happened?

- Selecting and defining **indicators** to measure higher level and lower level outcomes
- Selecting indicators to monitor outputs, activities/inputs and risks

3 How to Collect Data

- Determining **how** data will be collected for **each** indicator (methodologies)
- Determining **from where/who** the data will be collected (sources of information)
- Determining **who** will:
  - Collect data
  - Analyse data
  - Report on data
- Determining **when** data for each indicator will be collected and **how often** data will be collected (frequency)

Slide 21[j]

4 Articulating Risks & Assumptions

10 Steps to a M&E System

- Identify the programme assumptions
- Identify the potential internal and external risks that would prevent the achievement of results
- If relevant, ensure that risks associated to achieving the gender equality results are also included
- Involves developing a Risk Management and Monitoring Matrix (including principles of Step 2: Indicators)

Slide 22[k]

5 Grouping Indicators, and Planning Data Collection

10 Steps to a M&E System

- The process of grouping our **outcome indicators** to determine which ones can be collected at the same time
- Mapping these grouped indicators to plan periodic studies
- Grouping all our **output and activity indicators** to determine which ones can be collected at the same time, by the same person, using the same tools (ideally)
- Based on the frequencies determined in the M&E plan, developing a study calendar over the programme period that articulates **which studies we will conduct and when?, how many routine data collection tools we need to develop?**

Slide 23

6 Developing Data Collection Tools

10 Steps to a M&E System

Routine (Output and Lower Level Outcomes) Data Collection Tools

- This step focuses on designing routine monitoring tools (+ pre-testing) and physical collection of data

Study Tools

- Also focuses on the design of study tools (where relevant)
- Can partly be outsourced depending on what level data is being collected or internal capacity/resources

Slide 24

7 Data Collection and Management

10 Steps to a M&E System

- Collect or identify (through secondary sources) baseline data
- Determine targets based on baseline data
- Collect routine data for outputs and activities through routine monitoring tools
- Collect periodic data through studies (quantitative & qualitative)
  - These can be (partly) outsourced depending on what level of data is being collected or internal capacity/resources
- Ensure data quality – Reliability, Validity, Timeliness
- Manage data through appropriately designed databases, data cleaning and validation, and archiving systems

Slide 25

10 Steps to a M&E System

Periodic Assessments, Evaluation & Learning

8 Data Analysis

- Analysis of data from routine collection (output) and studies
- Can be outsourced depending on complexity of data
- Used to examine changes over time (trends)

9 Interpreting & Reporting Findings

- Compiling and presenting analysed data in clear and coherent way (i.e. Graphs)
- Considering target audiences and formats
- Timeliness and frequency of reporting is critical

10 Learning & Using Findings

- **Learning** – to improve performance
- **Communicating** – considering audience
- **Improving** based on lessons for future programmeming
- **Being** accountable

Slide 26[l]

10 Steps to a M&E System

Periodic Assessment, Evaluation and Learning

- Iterative process and can be initiated after substantive data collection phases of the programme (Step 7)
- Conducting assessments at critical phases of projects/programmes helps incorporate lessons learned into decision-making processes, rather that just a focus on end results
- Focus is on: effectiveness, efficiency, reach, results, sustainability
- Questions asked: *Are the right things being done? Are things being done right? Are their better ways?*
- Includes external evaluations at various intervals of a programme (ex-ante/before programme, mid-term, ex-post/end of programme)
- Includes internal assessments of on-going interventions building on information collected through various means

Slide 27[m]

Key Success Factors for Useful M&E Systems

- **Readiness** – do we have the necessary human and financial resources?
- **Ownership** - do critical people see the need for the system? do they have a say in building the system? Are programme and M&E staff both contributing to the system?
- **Management and Maintenance** – do we have competent skills and financial resources to manage and maintain the system?
- **Utilisation of Information** – is the right amount of data being collected? Is there too much data that is not being used to inform results?
- **Quality of Information** – are the data reliable and does it measure the intended results?
- **Sustainability**– if there is a change in leadership or staff in monitoring units; will the system continue to function?

Slide 28

Box 1: Examples of Individual Sectors or Entire Programmes Working with Government M&E Systems

Often, AKF programmes work closely with governmental agencies which have established M&E systems. This does not negate the need to create an AKF specific M&E system, but it is important that the system is created with a view toward maximising synergies and reducing duplication across the two systems. In other cases, AKF programs work directly with government to enhance their M&E systems. Some examples include:

1. Tajikistan: AKF's partner for a large part of the education programme implementation is the government's Institute for Professional Development (IPD). In the past, their M&E department has had budget to employ enumerators to visit schools to collect enrolment, attendance, and teacher statistics. More recently however, IDP relies on statistics collected at district level by the Ministry of Education (MoE), which works just as well and reduces duplication.
2. Bihar State, India: School level information is normally collected from district and provincial level education departments. The government Education Management Information System (EMIS) has large quantities of information, including 'school report cards'. The limitation here however, is that only enrolment data are available and not data on attendance.
3. In Kenya, most school level information is collected from district level education authorities. However, not all community level private schools in informal settlements in Nairobi, for example, are registered with government, so records for such schools are not available from government authorities. In this way, the Information collected from government is supplemented by data collected by AKF/partner staff whereby enrolment and attendance data are collected by AKF for certain schools (not included in the government system).
4. Afghanistan: The M&E system for primary and secondary health care delivery, developed by the Ministry of Public Health (MoPH) is used by all implementing partners of the Basic Package of Health Services (BPHS) and the Essential Package of Hospital Services, including AKF. AKF and Aga Khan Health Services (AKHS) use standardised indicators and data collection tools prescribed by the MoPH and share collected data electronically with the ministry which facilitates regional comparisons. In addition to supporting the MoPH's M&E system, AKDN has also developed additional monitoring and evaluation tools that complement the government system. The new tools track interventions that are not part of the BPHS, such as health promotion and water and sanitation.
5. Kenya: The Department of Community Health of Aga Khan University (AKU) provides technical support to the government health system in managing their Health Management Information System (HMIS). AKU also provides training and supportive supervision for the government health staff to manage their first contact health facility (dispensary, Health Centre) by using data and information for appropriate information-based decision making with the local community. In this context, every dispensary provides basic health information to the public which is updated regularly by the dispensary health workers. It is now a government health policy to have this data available in all dispensaries in the country.

Session 4: Results-Based Management and Results Frameworks

Objective of Session	To review the first step of establishing a M&E System using the RBM approach
Suggested Time	1.5 Hours
Methods	Lecture, Group Work, Exercise
Materials Required	Handout of PPT Slides 29 - 44; Coloured Index Cards, Flip Chart Paper, Glue, Logic Game Cards (Annex F); Rosetta Stone of RBM Terminologies (Annex G)

The aim of this session is to introduce/review the concepts related to Results-Based Management. It does not go too deeply into to the theory of RBM itself or other similar approaches such as outcome mapping. Rather, this session focuses on articulating results and building the results chain.

Steps:

1. Start by asking the group, what they think a result is. Highlight any answers that use the word 'change' as you will explain shortly in the PPT that a result is a change which can be described and measured, directly or indirectly by our programme interventions and/or other external factors.
2. Explain, using Slides 29 to 39, what is a result, how do we define it and its importance.
3. Please note that there are various terminologies used in RBM as demonstrated via Slide 31: Rosetta Stone of RBM Terminologies. Box 2 provides additional information to be used to clarify to participants. A copy of the Rosetta Stone is also found in Annex G.

   While the workshop is meant to be practical and does not cover the history or theory of RBM, since some participants are quite interested in this information. If so, you can use the information in the Box 3.

Box 2: RBM Terminologies

While RBM is a common management approach which focuses on the achievement of results, different users (donors, NGOs) use different terminologies for similar RBM related concepts and tools.

Throughout this workshop, the term Results Framework and M&E Plan is used. It is important to clarify that in some donor circles, the term Logic Model (LM) or the Theory of Change is also used to describe to the Results Framework. Both are visual depictions of the relationship between activities, outputs and outcomes and form the basis of the RBM approach. It is also important to clarify that the M&E Plan is also referred to as a Performance Measurement Framework (PMF) by some donors - an eight column matrix which outlines the results, performance indicators, baseline, targets, sources of information, methods for data collection, frequency and responsibility. Other donors use the Logical Framework Analysis (LFA) - a four column matrix which outlines the results, indicators, means of verification and assumptions and risks. The PMF, the LFA and the M&E Plan serve similar purposes – a tabular representation of results, indicators and data collection methods as the overall guide to monitoring projects and programmes.

Box 3: Popular Approaches: RBM and Outcome Mapping

Results-Based Management (RBM) was first used by the United States Army in the 1980s. Since the 1990s, various OECD countries and development organisations have adopted RBM to respond to greater accountability and demonstrate results of their interventions.

RBM, as described by the Organisation for Economic Cooperation and Development's Development Assistance Committee (OECD-DAC), is *"a management strategy focusing on performance and achievement of results (which are defined as) intended or unintended, positive and/or negative outputs, outcomes and impacts of a development intervention."*

Measuring results and assessing progress toward goals is important because it allows us to look beyond inputs and activities to focus on development changes that may occur as a result of contributions made by interventions in targeted areas. Result Based Management allows us:

1. To assess and document progress towards expressed outputs and outcomes;
2. To systemise data collection, synthesis, analysis and reporting procedures allowing for the prompt dissemination of reliable information to concerned stakeholders;
3. To determine the effectiveness and efficiency of interventions and learn from experience so that corrective measures can be taken and future interventions can be informed.

An efficient, responsive, and sustainable RBM system is possible only through the productive collaboration of M&E staff and programme implementation staff. In order for this collaboration to occur, key stakeholders must have a common understanding of intended results and of the indicators to be used to assess progress against these intended results. The principles of RBM are based on a) simplicity; b) applied learning; c) accountability; and d) participation.

In the past few years, practitioners have been highlighting the need for more integrated approaches to capturing results noting that the disadvantage of RBM is its focus on linear, cause and effect relationships. As a result, approaches such as *Outcome Mapping* have gained popularity. Outcome Mapping was originally developed by the International Development Research Centre (IDRC) and focuses on:

(a) **Behavioural changes:** Outcomes are defined as changes in the behaviour, relationships, activities, or actions of the people, groups, and organisations with whom a programme works directly. These outcomes can be logically linked to a program's activities, although they are not necessarily directly caused by them.

(b) **Boundary partners:** individuals, groups, and organisations with whom the programme interacts directly and with whom the programme anticipates opportunities for influence. Most activities will involve multiple outcomes because they have multiple boundary partners.

(c) **Contributions:** using Outcome Mapping, a programme is not claiming the achievement of development impacts; rather, the focus is on its contributions to outcomes. These outcomes, in turn, enhance the possibility of development impacts – but the relationship is not necessarily a direct one of cause and effect.

Outcome Mapping is a useful tool. It has been found to be most effective when applied in conjunction with other more traditional tools and also when the organisation can benefit from skilled and experienced M&E professionals. Within AKF, it is therefore suggested that Outcome Mapping be used by units in conjunction with RBM only **if** these units have advanced in-house M&E capacity.

See Earl, Carden and Smutylo (2001) Outcome Mapping; Building Learning and Reflection into Development Programs, International Development Research Centre (IDRC) www.idrc.ca/en/ev-9330-201-1-DO_TOPIC.html.

What Does Change Look Like?
Defining Expected Results

1

Slide 29

What are Results?

- A **result** is a a change which can be described and measured and is influenced directly or indirectly by our programme interventions and/or other external factors
- There are various levels of results:
  - Goal/Ultimate Outcome
  - Higher Level Outcomes
  - Lower Level Outcomes
  - Outputs
- These are linked together by a **results chain**
- Expected and unexpected results matter but the results chain focuses on expected results

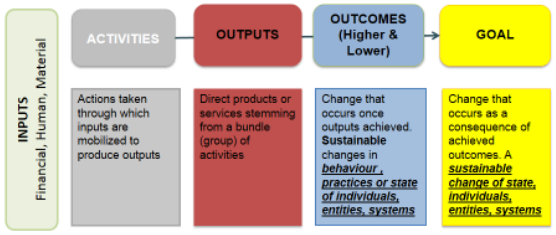
Slide 30[n]

Rosetta Stone of RBM Terminologies

Donor	Long-Term	Medium-Term	Short-Term	Immediate	Interventions	
ADB	Goal	Outcomes		Outputs	Activities	Inputs
AusAid	Impact	Outcome	Immediate Results	Outputs	Work programme	Inputs
CIDA	Ultimate Outcome	Intermediate Outcome	Immediate Outcome	Outputs	Activities	Inputs
DFID	Impact	Outcome/Purpose		Outputs	Process	Inputs
European Commission	Overall Objectives	Specific Objectives	Expected Results		Activities	Inputs
GTZ	Impact	Outcome	Use of Outputs	Outputs	Activities	
UNDP	Impact	Outcomes		Outputs	Activities	Input
USAID	Strategic Objective	Intermediate Results	Sub-Intermediate Results	Activities		
World Bank	Goal	Development Objective		Outputs	Component Activities	
Aga Khan Foundation programmes	programme Goal/Project Goal	Higher Level Outcome	Lower Level Outcome	Outputs	Activities	Inputs

Slide 31[o]

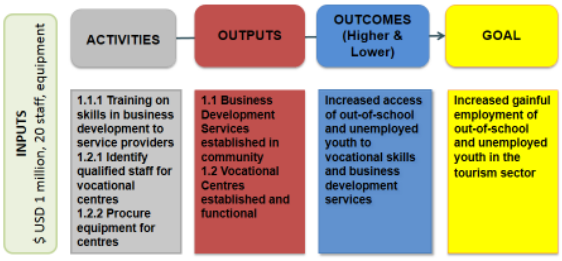
Results Chains



Results chains are not always linear; they can be interconnected

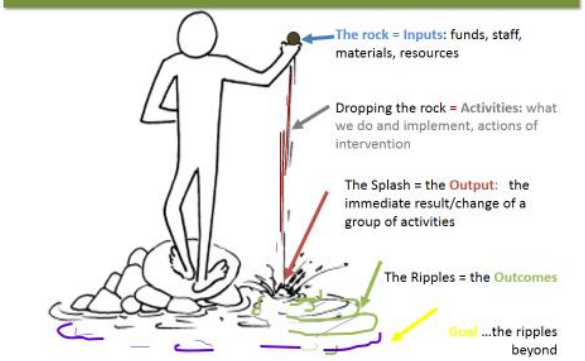
Slide 32[p]

Results Chain – Example
Youth Employment programme



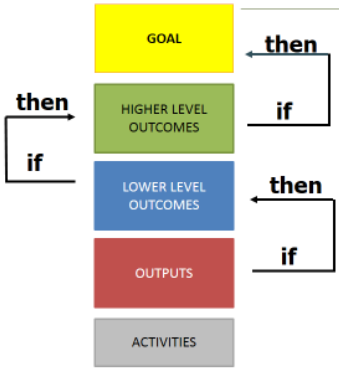
Slide 33

Theory of Change



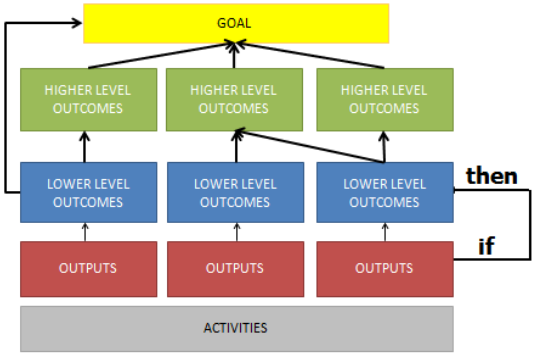
Slide 34[q]

Results Logic

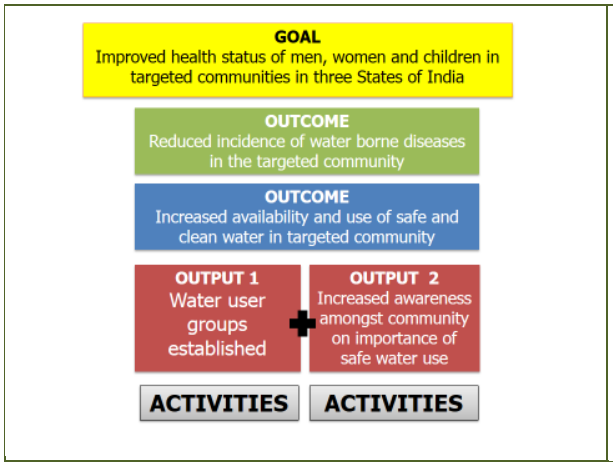


Slide 35[r]

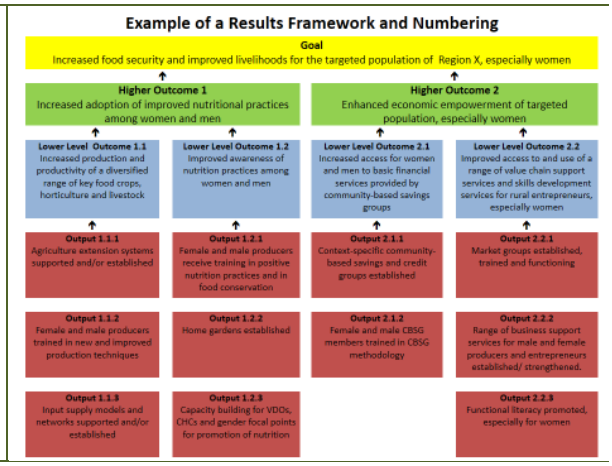
Results Logic – Not Always Linear



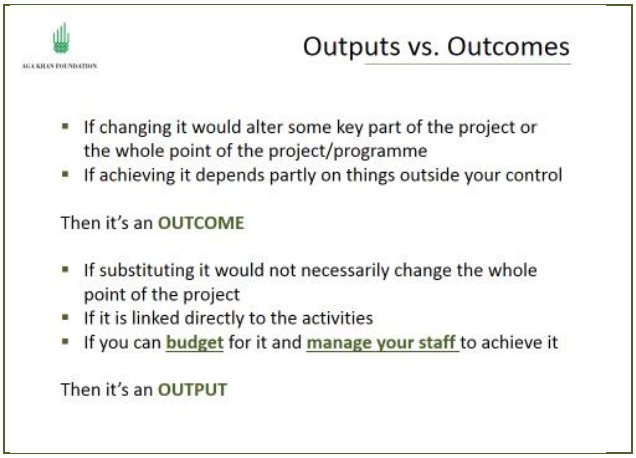
Slide 36



Slide 37



Slide 38[s]



Slide 39[t]

4. In order to apply the learning gained during the lecture on results, the next step in this session is to play the "testing the logic" game. This will allow participants to test the results chain logic of a hypothetical project. It is important before starting the game to stress that the logic is not always linear, but there should be some logic when developing the results chain.
5. Divide the group into smaller groups of at least three people each. Ensure that the groups are mixed with both M&E staff and programme staff and/or various sector staff in each of the groups. Distribute the pre-developed result statements (Annex F) to each group, face down. When you say 'go', each group will try and put the statements in the order of the correct logic, starting with outputs leading to goal. The first group to put the statement in the right order wins!
6. If there is enough time and the group would like to practice, you can give the second set of pre-developed logic statements (Annex F) which has multiple result streams.
7. Answer any questions after the logic games and reiterate key principles of developing a results chain.

8. Give a short lecture on properly written result statements, using Slides 40-42.
9. On the screen, put up Slide 43, with the brief description of a project and a poorly written result statement. The second statement is hidden and is considered correct. Give the groups five minutes to discuss and share with the plenary their improved result statement. Vote on SMARTEST results statement. Please note, you should change the situation on the slide to the context in which the workshop is being delivered.

Being S.M.A.R.T

S **Specific**
What change is expected, Where the change is expected, Who it will benefit or the unit of change

M **Measurable**
Information can be collected with relative ease to demonstrate the results

A **Achievable**
Within the scope of the programme? Achievable within time frame and availability of resources?

R **Relevant**
Reflects needs and priorities among the target community?

T **Time-Bound**
What is the time frame? Can the change be tracked over time?

Slide 40

Writing Results

Result statements are generally written using a 'directional verb' in the past tense – positive or negative

Increased Food Security of Targeted households in Country X	**Reduced** Child Mortality in Region X
Strengthened Institutional and Managerial Capacity of Organisation X	**Decreased** prevalence of malaria for girls and boys under 5
Community-based Veterinary System Established (Output)	?

Slide 41

Writing Results

- Should follow S.M.A.R.T principle, especially the **"S"**
- Each result statement should include the following:

WHAT change do you want to see?	**Enhanced economic empowerment**
For **WHOM** is the change intended?	Enhanced Economic Empowerment for **targeted households, especially women**
WHERE is this change expected to happen?	Enhanced economic empowerment for targeted households, especially women, in **Region X**

Slide 42[u]

How Can this be SMARTER?

The programme works in three regions of Tajikistan. It aims to mobilise communities to participate in decision-making about public projects (such as water systems, schools, etc). The current result statement is:

Improved community participation

Improved participation of communities in GBAO, Rasht, and Khatlon in government decision-making related to resource allocation for public goods

Slide 43

Operationalising Results

- When we write result statements we must be clear of the change we want to see
- Should **operationalise and define** what we mean
  - Strengthened Capacity
  - Increased Access
  - Increased Empowerment
  - Quality of Life
  - Increased effectiveness
  - Improved participation

Example: Enhanced economic empowerment of targeted households, especially women in Region X

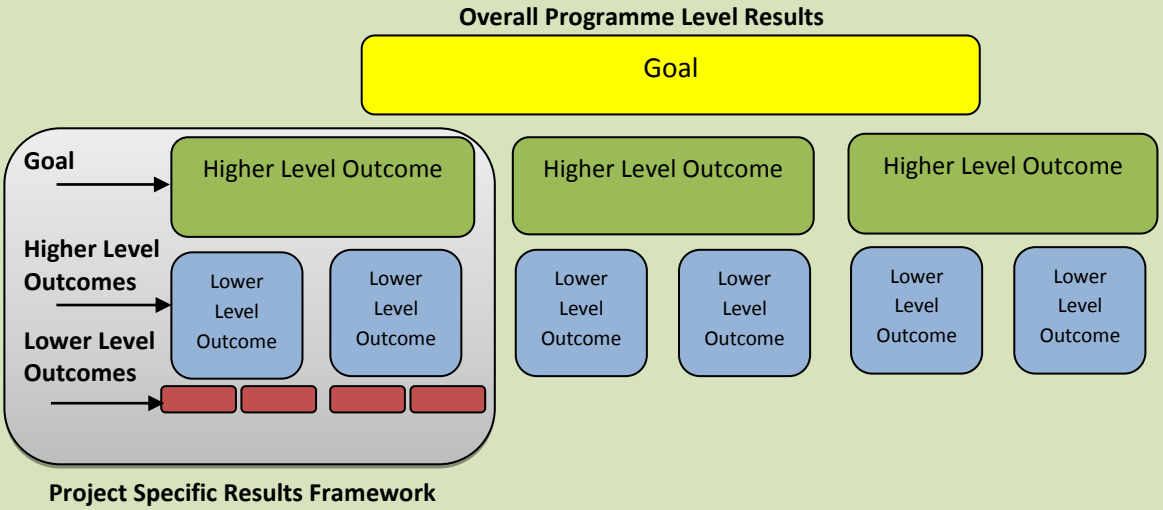
- Household wealth status–income, savings, level of debt, asset ownership
- Decision making in the household
- Food security* and coping strategies (also need to define)

Slide 44[v]

Box 4: Relationship between Programme Level and Project-Level Results Frameworks

Project-level results frameworks can and should link into programme level results frameworks. When designing a new project's result framework, staff must consider what already exists at the programme level. Unless the new project is outside the scope of the current programme strategy, ensuring that there are synergies between existing programme levels outcome and the outcomes expected from the new project is critical.

To do so, using the lower level outcomes of the programme results framework as the higher level outcomes for the new project result framework is an excellent way to ensure synergy. Using the same performance indicators for outcomes that are common in both frameworks is also a way to ensure a programme is not over-burdened with collecting too much information that is not useful or repetitive.



Session 5: Application of Learning

Objective of Session	To apply the understanding of results chains to the development or revision of a results framework
Suggested Time	2.5 Hours (with tea break)
Methods	Group Work
Materials Required	Coloured Index Cards, Flip Chart Paper, Glue, Power Point Slide 45

This session allows participants to apply the learning up to this point around results. By the end of the session, it is expected that participant groups will have either revised their existing programme results framework or developed a new results framework. Please note that the development of a results framework will likely run into Day 2 of the workshop and ample time for participants to complete at least one results stream is important.

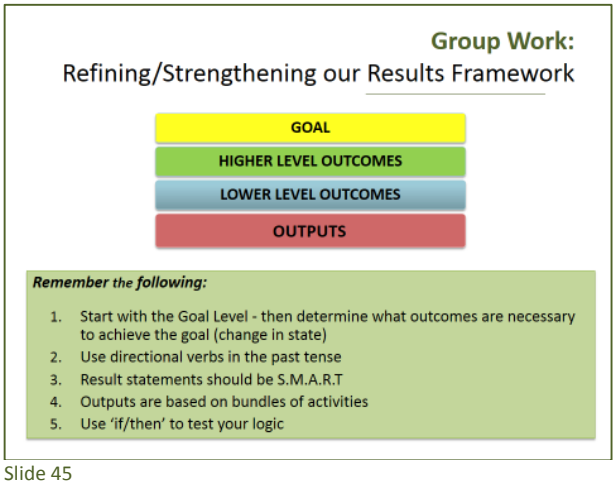
Note to Facilitator

Depending on the pace of the group, this session may need to be extended into Day 2. It is important to give groups sufficient time to complete their results framework before moving on to the session on performance indicators.

If a group has a large and complex programme or project for which it is developing a new results framework or reviewing an existing framework, you may also want to advise to take only one results stream as opposed to the entire result framework. OR, depending on the objective of the workshop, you may also continue until they finish the framework for the entire programme.

Steps:

1. In groups, ask participants to take out their current results framework.
2. On a flip chart, using the coloured index cards and glue, participants will re-create/redesign/refine their results framework. Ensure that you instruct and remind the group:
   a. Not to include detailed activities just key activities through which we can get an idea about key expected outputs
   b. To ensure that their result statements are S.M.A.R.T
   c. That they should test their logic
3. Put up the following slide as a reminder to groups who are developing a results framework for the first time.



Slide 45

4. When each group has completed their result framework or at least 1 results stream of the results framework, have them tape the flip chart to the wall. Ensure that the 3 to 4 frameworks are pasted such that they are spread out around the room.

5. Conduct a **Gallery Walk**, where each group will circulate to the next group's results framework. Give the group 10 minutes to review their peer group's work and using the coloured stickers, instruct participants to :
    a. Test the logic of the framework
    b. Put a **red** sticker where they have a question about the logic or about the way the result is stated
    c. Put a **green** sticker where they feel the result is SMART
    d. Also remind reviewers to see if results are gender-sensitive as well as environment-sensitive

    After ten minutes, have the groups rotate to the next group.

    Facilitators should also review each flip chart so that they can provide comments at the end.

In a Plenary Discussion Session, let each group (represented by one group member) explain their group's results frameworks and allow the groups that placed each of the stickers to comment and provide feedback to their peers. Where there are red stickers, the facilitator should ask "how would you change it?" to the owners of the results framework and then to the rest of the group, if required.

Overview for Facilitator

It is important to stress several key points for this session:

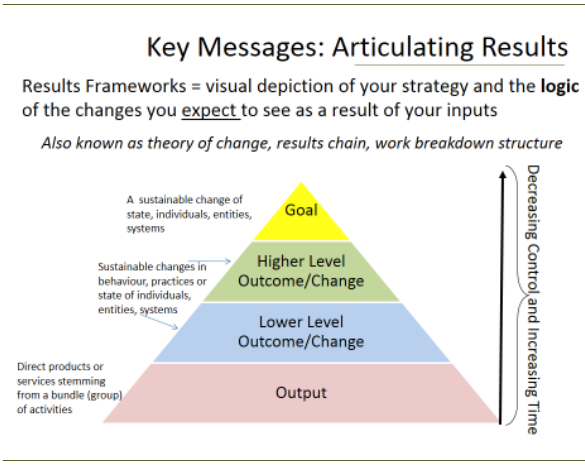
- There are various terminologies used for results language by various donors (Slide 31). The key is to ensure consistency of terminology and definition throughout the result framework and within the unit.
- Results rarely occur in a simple linear fashion with one following the other in a simple "if-then" pattern. Instead results are often interconnected and sometimes sidestep the linearity of the results chain. This is ok and expected! Programme and M&E staff must be aware of this "messiness" and need to find ways to explain it.
- The programme's ability to control or influence the high level outcomes is lower than its ability to influence lower level outcomes.
- Results should be as S.M.A.R.T as possible so that there is no confusion in what change is expected. Where there is any ambiguity, ensure that the result statement is defined in a footnote or corresponding document.

Session 6: Key Messages of Day 1 & Evaluation

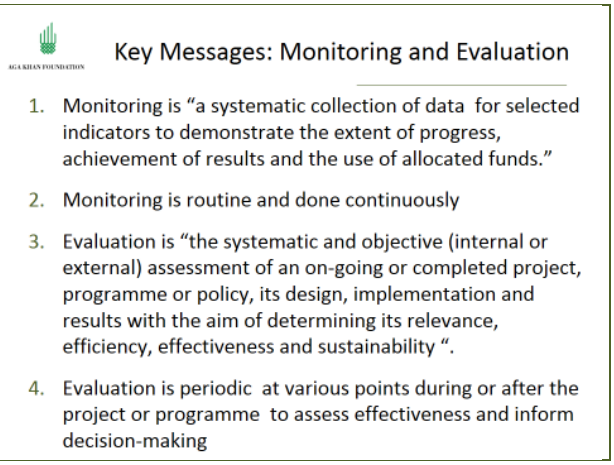
Objective of Session	The objective of this session is to go over the key messages of Day 1 in order to reinforce key concepts and learning
Sections	6.1 Review and Key Messages of the Day 6.2 Evaluation
Suggested Time	30 Minutes
Methods	Lecture, Group Discussion
Materials Required	Handout of Power Point Slides 46-50; Coloured Index Cards

6.1 Review and Key Messages of Day 1

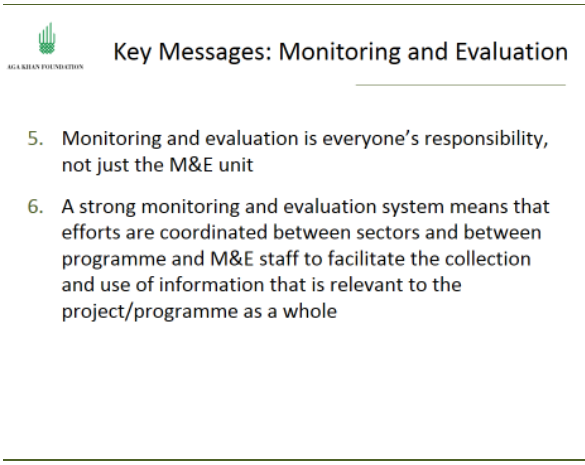
This section focuses on reiterating some key messages covered in Day 1. It is also an opportunity for participants to ask any questions to clarify concepts or ideas. With the following slides, review the key messages regarding articulating results, monitoring indicators and evaluating progress.



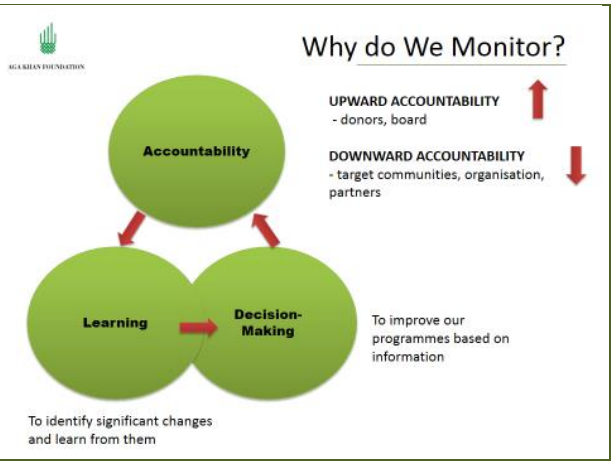
Slide 46



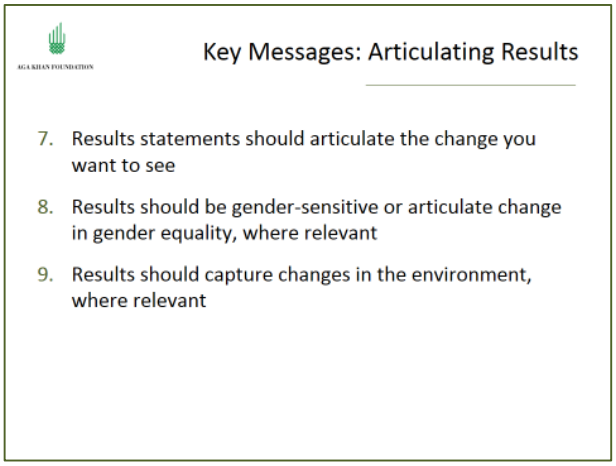
Slide 47



Slide 48



Slide 49



Slide 50

6.2 Evaluation of Day 1

It is important to get participant feedback on what worked well and what needs improvement in order to continue or adjust the schedule or content for the following day.

1. Pass out a green and yellow index card to each participant.
2. Ask participants to write down on the green card, what session or aspect that they found most useful for their work. On the yellow card, ask participants to write down one area for improvement, or which they found less useful.
3. Collect all the cards and review after the workshop. Make adjustments, as necessary, to Day 2.

DAY TWO

DEVELOPING M&E PLANS
STEP 2: DEVELOPING & SELECTING PERFORMANCE INDICATORS

Session 1: Welcome and Introduction to Day 2

Objective of Session	To welcome back participants and introduce the objectives of Day 2
Sections	1.1 Welcome Back & Review of Day 1 1.2 Objectives & Schedule for Day 2
Suggested Time	30 minutes
Methods	Lecture
Materials Required	Flip Chart Paper, Markers, M&E Plan Template (Annex I);

1.1 Welcome Back and Review of Day One

This section provides space to welcome back participants to Day 2 of the workshop as well as an opportunity to clarify anything that was covered on the previous day which may still be unclear for participants. You can determine how long this section is depending on the number of questions people may have or any outstanding issues from the previous day. It is also important to address any comments from the index cards collected during the evaluation on Day 1.

If time permits, start the day with an ice-breaker or energiser that allows participants to move around and have some fun.

1.2 Objectives and Schedule for Day 2

This section will introduce the objectives for the day, including the schedule. Day 2 will focus on performance indicators and on applying what is learned to the development or refinement of the relevant columns in the M&E Plan.

If participants have not yet completed their results frameworks from the previous day, please assure the group that you will provide time for them to complete their result framework throughout the course of the day or as the first session of the day.

Facilitator Tip

It is sometimes useful to start Day 2 with the presentation of the M&E plan (Annex I) as some participants may not be familiar with the format.

An M&E Plan is a generic eight-column matrix where results for the project or programme, its indicators, baseline information, targets, sources of information, methods of collection, frequency and responsibility are presented in one table. Ideally, the plan will have all 8 columns. However, in some programmes, staff may wish to have two briefer documents to represent the information contained in the 8 column matrix. The facilitator should present the M&E Plan/Matrix and go through each column explaining the purpose of each column. It is also important that this session does not simply become an exercise in 'filling in the boxes'.

You should highlight that the M&E Plan is a planning tool for M&E and that using the matrix helps to organise our results and inform others about the overall plan for monitoring and evaluation. Please see the Glossary for a description of each of the columns in the M&E Plan matrix. You should also note that many agencies refer to the M&E plan or some form of the M&E plan as the Logical Framework Approach.

Session 2: Developing and/or Selecting Indicators

Objective of Session	To review the steps involved in developing an M&E System (M&E Planning) focusing on the selection or development of performance indicators (Step 2).
Suggested Time	1.5 hours
Methods	Group Exercise; Lecture
Materials Required	Handout of Power Point Slides 52 - 65, Flip Chart Paper, Markers, Results Frameworks from Day 1; Indicator Definition Sheet (Annex J)

Developing and/or Selecting Performance Indicators is the second step of establishing an M&E System as described in Day 1. The aim of this session is to learn how to develop appropriate indicators and/or select from existing indicators in order to measure and assess the programme's expected results. Participants will have the opportunity to develop and/or select and review indicators for the results frameworks which they developed the previous day. One of the messages the facilitator should convey to the group is that this session continues to provide an opportunity to reflect on how we are demonstrating results through the use of appropriate quantitative and qualitative indicators. In doing so, we may need to redefine some of our results statements or the results framework.

Steps:

1. If the groups are working with an existing results framework, ask each group to select one of their outcome level indicators and write it on the top of a flip chart paper. You will come back to this later after the PPT lecture. If the group is working towards developing a new results framework, start this session with the lecture on performance indicators.

2. Using the PPT Slides 52 to 63, first explain what is involved in developing a good indicator, including the type of indicators, levels of indicators, criteria for selecting indicators, disaggregation, etc.
3. Please note that when you arrive at Slide 57, you may want to take a few minutes to explain and provide examples on the difference between 'mean' and 'median' as people tend to get confused between these terms. Each of these terms is explained in the Glossary of this manual.
4. You will also want to explain that the asterisk on the indicator units mean that these are typically referred to as qualitative indicators, i.e., they can be best assessed and analysed using qualitative methods.

Note to Facilitator: It is important to reiterate that developing or selecting performance indicators is not done in isolation or as a one-off process. It is an iterative process which must be revisited (at least on an annual basis) based on the programme's experience. It also involves some thinking ahead to what methodologies might be appropriate for collecting the information. Stress to the group that when you get to the session on methodologies that they might find that they need to change some of the indicators they have developed/selected during this session.

How to Know Change has Happened
Developing & Selecting Indicators 2

Slide 52[w]

Performance Indicators

"An indicator is a signal that shows whether or not progress is being made. Indicators are used as a means to measure results at each level"

- An indicator should be unbiased and neutral (there is no direction like the result statement)
- Ideally, no targets in an indicator
- When developing/selecting an indicator, we ask:

"What does the result mean?"
"How do I know that the result (change) has happened?

Slide 53

Performance Indicators

- Selected for **each** result statement
- Of all the indicators, need to ask, "which ones would be the best? Not all are equal!
- How many indicators?
  - The number which is required to adequately demonstrate the result
  - As we go up the results chain, typically we add more indicators
  - At output level, one indicator can be sufficient
  - Balance between what we "need" to know and what we "want" to know

Slide 54[x]

Outcome Indicators Vs. Output/Activities

Goal/Outcome Indicators
- Measures the change (result statements)
- Use of # or %? Which one should we use?

# of households that are food secure

vs.

% households that are food secure

Output/Activities
- Indicators that you can plan for in your budget
- They do not measure developmental change, most often they measure a completed process
- Unit is often # (number) for quantitative data

# of men and women trained in natural resource management

Slide 55[y]

Proxy Indicators

- Proxy indicators are substitutes, i.e. not a direct measurement
- Proxy indicators are useful when:
  - The cost of direct measurement is too high (household income)
  - Measuring sensitive topics which we cannot directly ask questions about (e.g. domestic violence)

Example:
Increased Economic Empowerment of Targeted Households in Region X

Indicator: *Mean household cash income (disaggregated by type of household and district)*
Proxy Indicator: % of households that own different types of assets (disaggregated by type of asset (e.g. bicycle, radio) and district)

Slide 56[z]

Types of Indicators

Quantitative indicators measure quantity and are numerical:
- Number of
- Frequency of
- Percentage of
- Ratio of
- Variance with
- Median, Mean, Mode,

Qualitative indicators reflect perceptions, attitudes, judgements:
- Perceptions of
- Existence of
- Type of
- Quality of
- Extent of
- Level of*
- Degree to which*

Slide 57[aa]

Types of Indicators

- Lot of debate over 'types of indicators' – quantitative and qualitative indicators
- What is more important is that the indicator developed/selected is **consistent** with information you want to collect and how you will collect it

Example:
- % of men and women who are satisfied with health services provided
- Level of satisfaction of men and women with health services provided

Slide 58

How do you develop a good quantitative Indicator? How do you assess an existing indicator?

Step 1: Determine What you are Measuring
School enrolment

Step 2: Add Quantity (A Unit) (if you are defining a quantitative indicator)
*of students enrolled*

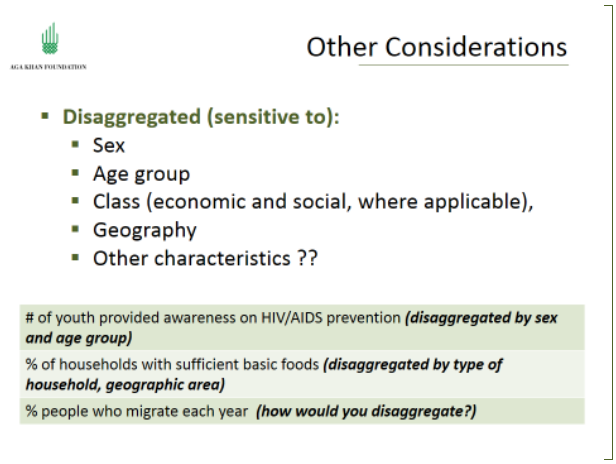
Step 3: Add Quality (specifics) + identify relevant "universe"
# of students enrolled in ***primary school***

Step 4: Add Time (optional depending on sector)
# of students enrolled ***each semester*** *in primary school*

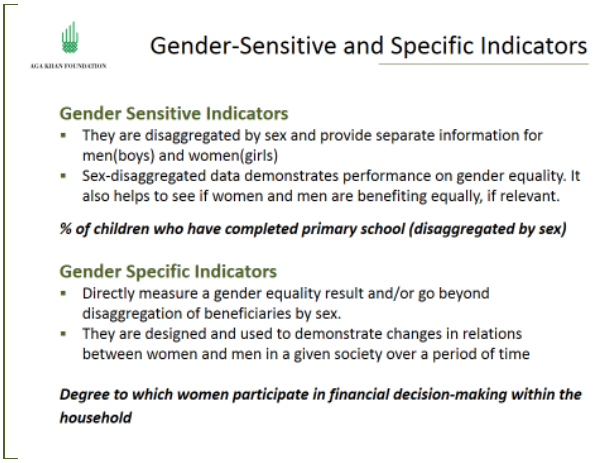
Step 5: Add Disaggregation
# of students enrolled each year in primary school
(disaggregated by sex and district)

Slide 59

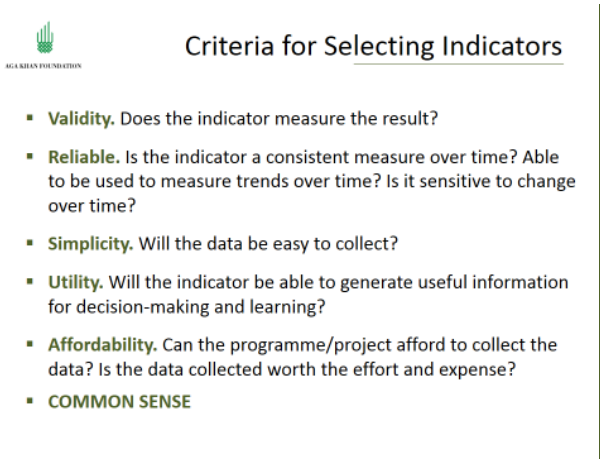
Slide 60



Slide 61[bb]



Slide 62[cc]



Slide 63[dd]

5. Ask the group if there are any questions about what was covered in the PPT slides.
6. For those groups who had written one of their indicators on a flip chart at the beginning of the session, give 10 minutes for the group to revise or improve their indicator on the second half of the flip chart, keeping in mind what was covered in the PPT. Ask each group to share in the plenary.
7. Now that the group is familiar with how to develop a good indicator, ask the group: "What do we do when we cannot change an indicator because it has already been committed to a donor or another stakeholder?
8. Drawing on some of the responses from participants, highlight some of the strategies using PPT slide 64 and 65. One of the key strategies as illustrated in Slide 64 is to include a column of definitions in the M&E Plan to clarify the definition of and/or calculation methods for indicators and sometimes, if necessary redefine indicators (in consultation with the donor).
9. In addition, show the group an 'Indicator Definition Sheet' which can be developed to define and explain more complex indicators. An example of an Indicator Definition Sheet is also provided in Annex J.

Defining Indicators

- Indicators should be clearly written (specific), but also clearly defined – just like results
- All higher level indicators should be defined
- Definitions can clarify indicators which are:
  - Committed and cannot be changed
    *e.g. # of **people** who have **access** to **water***
  - Terms are broad or unclear
    *e.g. % of teachers using Reading to Learn **systematically** to teach literacy and numeracy*
  - Have existing standards for measurement
    *e.g. % of children under five who are **malnourished***
  - Have multiple criteria – especially for qualitative indicators
    *e.g. Evidence that training curriculum is **well-developed and integrates gender equality elements***

Slide 64[ee]

Defining Indicators

Options for integrating indicators definitions include:

1. Including an indicator definition within the M&E Plan (additional column)

Expected Results	Performance Indicators	**Definition of Indicator**	Baseline	Target	Sources of Information

2. Footnoting the definition after the indicator in the M&E plan
3. Developing a separate annex to the M&E Plan with all definitions
4. For complex indicators, you should develop a definition and calculation sheet - Indicator Def Sheet.docx

Slide 65[ff]

Session 3: Application of Learning

Objective of Session	To apply learning of performance indicators to our own programme through the continued development of the M&E Plan
Suggested Time	3.5 hours (with working lunch)
Methods	Group Work
Materials Required	Results Frameworks of Programme, Flip Chart Paper, Markers, Slide 66

This session allows participant groups to continue in the development or revision of their results framework done on Day 1 as well as develop and or select performance indicators for their results. It is expected by the end of this unit that participants will have completed both column 1 and column 2 of the M&E plan. Please show on Power Point or distribute the handout of the M&E Plan (Annex I).

Steps:

1. *For groups with existing frameworks:* In their groups, instruct the participants to examine their current list of indicators and see:
   a. If the indicators are at the right result level or if they need to be moved
   b. If the indicator is clear and meets the criteria for developing a good indicator. If not, where it can be changed (i.e. it is not committed), to please do so
   c. For those indicators that are already committed, to place an asterisk for those they would like to change or revise (we will return to these later)
   d. Where there are gaps and create new indicators
   e. Where there are repetitions and delete redundant indicators
2. *For groups developing new results frameworks:* Ask the group to create two columns on their flip chart. For each result statement, develop performance indicators keeping in mind the criteria for developing good indicators and other steps covered in the PPT. Leave up slides 59 and 60 (developing and assessing good indicators) for the group to refer to while they do this exercise.

Note to Facilitator: During this exercise, often results will need to be rewritten or clarified. It is important to advise participants that this is part of the normal process of developing results frameworks and M&E Plans - that it is an iterative process and often one needs to go back and make adjustments. It is also important to stress that developing indicators for the results cannot be done in isolation. It must involve both M&E and Programme Staff. The involvement of a gender specialist or Gender Focal Point is also critical to ensure that result statements are gender sensitive. If there is no specific person with this responsibility in the programme, then the programme and M&E staff must adopt this lens when reviewing indicators. A similar approach to monitoring the environmental effects of the interventions should be adopted if it is applicable to and feasible for the programme.

Session 4: Reflection and Peer Review

Objective of Session	To reflect on the applied learning on performance indicators through peer review of work completed
Suggested Time	1 hour, 10 minutes
Methods	Peer Review and Plenary Discussion
Materials Required	Stickers, Group Result Frameworks and Indicators

This session allows participant groups to share the indicators they have developed or selected and receive feedback from other participating groups.

Steps:

1. After the groups have had sufficient time to complete the development and/or refinement of their indicators on flip charts, each group will review another group's indicators. Put up the following questions on a flip chart paper (in advance) and ask reviewing groups to consider: :
    a) Are the indicators aligned to the result (do they measure the result)?
    b) Are the indicators SMART (specific, measureable, achievable, relevant, time-bound)
    c) Are they feasible to collect data for (criteria for selection)?
    d) For which indicators do you think it will be problematic to collect data? Why?
    e) For those indicators with an asterisk, determine if they can be redefined so that the indicator is clearer.
2. Ask the reviewing group to put a **green sticker** for well-developed indicators that are aligned to the result, **red sticker** for indicators that can be improved or yellow sticker for indicators for which the reviewing group needs more clarity. For each yellow sticker, the reviewing group must suggest how the indicator can be improved.

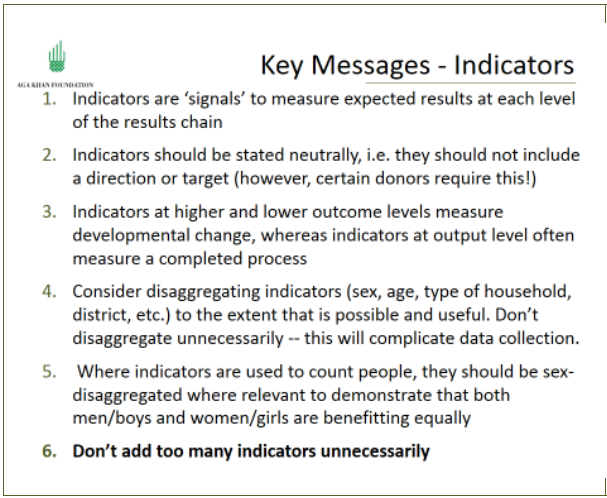
Note to Facilitator: This exercise can still be done even if groups have not finished developing or selecting all their indicators. They will continue to do so on Day 3. The peer review process at this stage will help to refocus the group and provide some initial feedback as they continue the next day.

Session 5: Key Messages of Day 2 and Evaluation

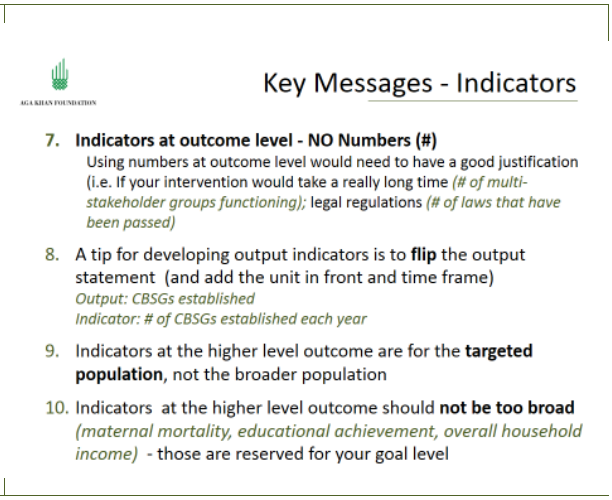
Objective of Session	The objective of this session is to go over the key messages of Day 2 in order to reinforce key concepts and learning
Sections	4.1 Review and Key Messages of the Day 4.2 Evaluation
Suggested Time	30 Minutes
Methods	Lecture, Plenary Discussion
Materials Required	Handout of Power Point Slides 67- 68; Coloured Index Cards

5.1 Review and Key Messages of Day 2

This section focuses on reiterating some of the key messages covered in Day 2 about performance indicators. It is also an opportunity for participants to ask any questions to clarify concepts or ideas that may still be unclear. It is important to note that there may be additional key messages that the facilitators may want to discuss based on participant's performance during the previous exercise in Session 4. Using Slide 67 and 68, highlight the key messages.



Slide 67



Slide 68[gg]

5.2 Evaluation

It is important to get participant feedback on what worked well and what needs improvement in order to continue or adjust the schedule or content for the following day.

1. Pass out a green and yellow index card to each participant.
2. Ask participants to write down on the green card, what session or aspect that they found most useful for their work. On the yellow card, ask participants to write down one area for improvement, or which they found less useful.
3. Collect all the cards and review after the workshop. Make adjustments, as necessary, to Day 3.

DAY THREE

DEVELOPING M&E PLANS

STEP 3: HOW TO COLLECT DATA

FROM WHERE, WHEN AND BY WHOM

Session 1: Review and Introduction to Day 3

Objective of Session	To welcome back participants to the workshop, cover any outstanding issues from Day 2; and review the agenda for Day 3.
Sections	1.1 Welcome Back and Review of Day 2 1.2 Objectives and Schedule of Day 3
Suggested Time	30 minutes
Methods	Lecture
Materials Required	Results and Indicator Flip Charts from previous sessions; Flip Chart Paper

1.1 Welcome Back and Review of Day 2

This section provides space to welcome back participants to Day 3 of the workshop as well as an opportunity to clarify anything that was covered on the previous day which may be still unclear for participants. You can determine how long this section is depending on the number of questions people may have or any outstanding issues from the previous day. It is also important to address any comments from the index cards collected during the evaluation on Day 2.

Facilitator Tip: Start the day with an ice-breaker, giving the opportunity for participants to have some fun and relax into the day. Because the group will be sitting down for most of the day, try and use an ice-breaker or energizer that requires the group to get up and move around.

1.2 Objectives and Schedule of Day 3

This unit will introduce the objectives for the day, including the schedule. Day 3 will focus on:

- Sources of Information
- Methods for Collection of Information
- Frequency of Data Collection and Responsibility
- Data Quality

Let participants know that they will be returning to the M&E Plans they started on the previous day and will develop them further today. Inform participants that Day 3 can be quite intense. A lot of information will be covered.

Note to Facilitator

Depending on the pace of the group, the session on Frequency and Responsibilities (Day 3) can be covered on Day 4, if required. It is important to provide sufficient time for the group to finish the session and exercises on collection methods before moving forward. Also, if the group needs an additional hour or so to complete Step 2 from Day 2, it is important to provide this time.

Session 2: Sources of Information and Collection Methods

Objective of Session	To review/introduce sources of information and how to select appropriate collection methods
Sections	2.1 Sources of Information; 2.2 Collection Methods; 2.3 Data Quality
Suggested Time	2 hours, 10 minutes
Methods	Lecture; Group Work; Peer Review
Materials Required	Handout of Power Point Slides 70-89 Results and Indicator Flip Charts from previous sessions

2.1 Sources of Information

The aim of this section is to continue with the development of the M&E Plan by selecting appropriate sources of information. The steps for this section include:

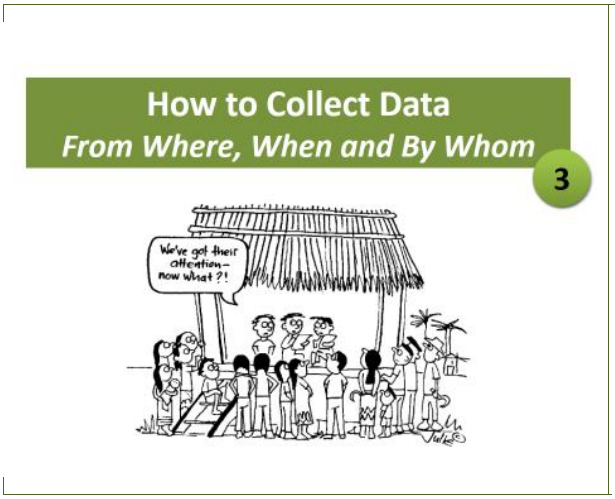
Steps:

1. Review Slides 70-72 with the group on sources of information.
2. Ask each group to name out loud one indicator that they have selected or developed and state what the source could possibly be. Provide examples to the group.

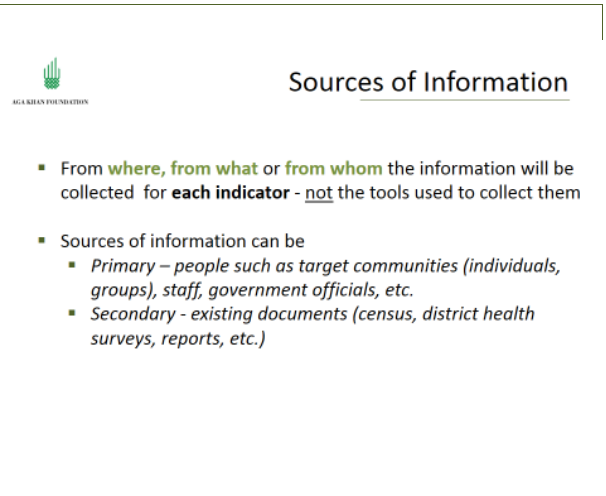
Facilitator Tip

Often groups get confused about what constitutes the source of information. You can explain that the source of information is the "point of origin" for the information you wish to collect. So if they try and trace where the information originally comes from, they will be able to determine the source of information.

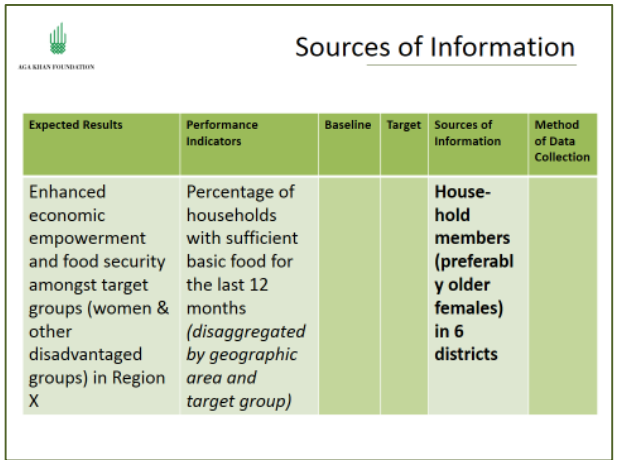
For example, for the indicator "number of people trained on conservation agriculture techniques each year (disaggregated by sex and district)" it is expected that when each training occurred, training participants registered (or a facilitator wrote down their names) in a training log. The facilitator might also submit a field report to a supervisor that indicates the information regarding the training, but in this case, the source is the training log itself not the facilitator's report. Another example to highlight is when conducting surveys at the household or individual level. The source of information would be that household or individual and not the survey report itself.



Slide 70[hh]



Slide 71[ii]



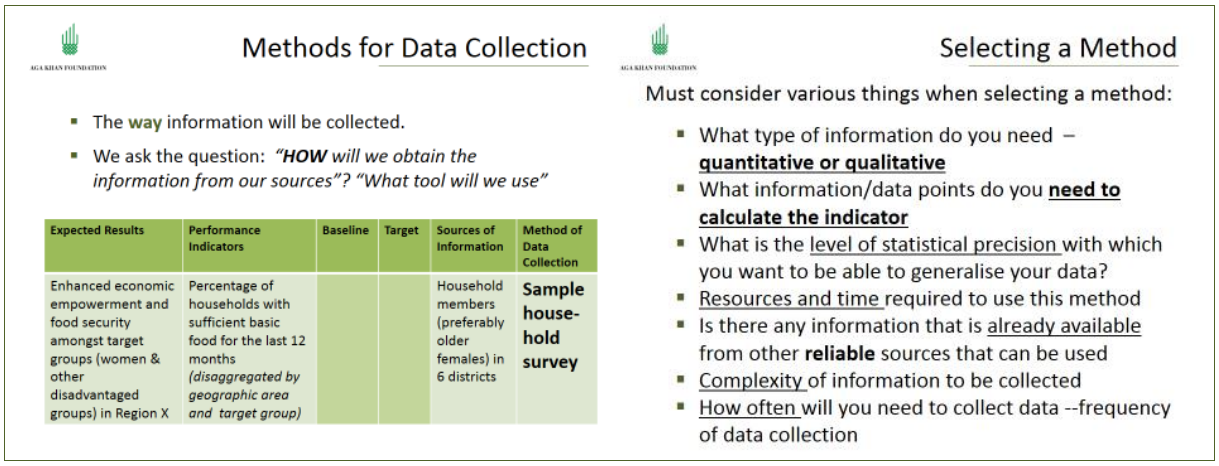
Slide 72

2.2 Information Collection Methods

This section focuses on how to select appropriate methodologies for the collection of information on each of the indicators that were selected or developed. It is important to stress that detailed methods related information will not be covered under this unit since that topic requires much more time than is available during this workshop. Instead an overview of the key information collection methods will be covered and this workshop will focus on how to think about selecting methods which are most appropriate.

Steps:

1. Review the information on slides 73 - 78 on Collection Methods with the group. Answer any questions the group may have.
2. Tell the group that some of the more common methodologies will be covered in more detail later on. It is important to mention that participants should keep in mind that having a manageable number of methods (i.e., not including many different types of methodologies) will make collection of information easier.



Slide 73 Slide74

Selecting a Method

Qualitative Approach

- Want narrative or in-depth information
- Do not need to quantify results
- Answers the « **why and how** » questions

Quantitative Approach

- Want to conduct statistical analysis
- Want to be precise
- Know what you want to measure
- Want to cover a large group
- Answers the « **what** » questions

Slide 75

Types of Methods

Quantitative:

- Sample Surveys
  - *Cross-sectional*
  - *Longitudinal*
  - *Panel*
- Census
- Polls
- Document Review

Qualitative:

- Individual Interviews
- Focus Group Discussions
- Key Informant Interviews
- Participatory Rural Appraisal
  - *Transect Walks*
  - *Seasonal calendars*
  - *Natural resource maps*
- Field Observation
- Document Review

Important to combine methods to understand the information more fully, especially for complex indicators at the higher levels

Slide 76[jj]

Methods Aligning to Indicators

Quantitative methods used to collection information on:

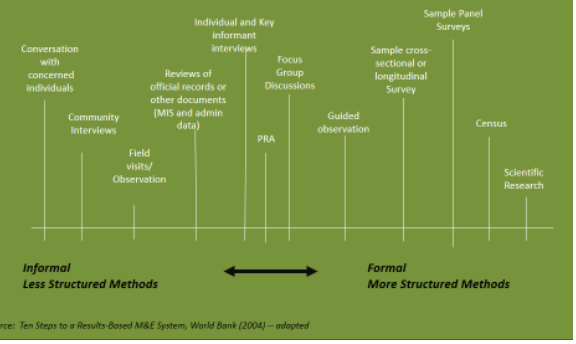
- Number of
- Frequency of
- Percentage of
- Ratio of
- Variance with
- Median, Mode, Mean

Qualitative methods used to collection information on:

- Existence of
- Type of
- Quality of
- Extent of/Level of/Degree to which*

Slide 77

Data Collection Methods



Source: Ten Steps to a Results-Based M&E System, World Bank (2004) -- adopted

Slide 78

3. Next, instruct participants to take a sheet of paper and write their name at the top. Then have them number the lines 1 -7. Once everyone has done so, inform the group that you are going to show them 7 different indicators one by one (Slide 78).
4. For each indicator, each participant will write down what they believe would be the (one or two) most appropriate collection method(s). Once completed, have everyone pass their piece of paper to the person on their left (or have them self-mark their responses). Go through each of the indicators as a group and review the responses. Ask the group, of the paper they reviewed, who was able to answer all 7 correctly, 6 correctly, 5 correctly and so on. Congratulate all participants.
5. Note that you can adapt the indicators for the method game based on the sectors to which the participants belong.

Which Method?

Individual Activity

 # school development committees established each year (disaggregated by district)

Type of new policies and procedures put in place in primary health care centre

Quality of teacher resource centres established in targeted primary schools

% of households in targeted intervention areas with different assets (disaggregated by sex of household and district)

Degree to which clients are satisfied with hospital services in the last six months (disaggregated by sex)

% of working aged people earning over the minimum wage in GBAO (disaggregated by sex and age group)

Average (mean) cash income generated from the sale of honey in the last 12 months

Slide 79[kk]

Responses for Slide 75

1. Document Review
2. Document Review
3. Observation or Checklist
4. Sample Household Survey
5. Client Satisfaction Survey
6. Document Review
7. Sample Producer Survey

Note: This slide on responses is not included in the presentation

6. After the exercise on methods, review in more detail some of the more common methods that are used using Slides 80 - 85. Reviewing in more detail is useful, particularly for groups that are mixed and may be less familiar with methods. Answer questions after each method to ensure that participants are clear. Facilitators may also choose to incorporate information from the following slides when speaking about each of the methodologies on Slide 76.

Note to Facilitator: Multiple tools can sometimes be used to collect data for the same indicator. It is also sometimes necessary to use multiple tools to enable us to triangulate data for indicators that are difficult to measure. However, in general, it is best to choose one method that is most accurate (given limited resources) and least burdensome.

More on Common Methods.....

Slide 80

Analysis of Documents (Document Review)

- Data that have been already collected can be used to answer questions about result statements
  - Output levels – using meeting attendance sheets, training logs, etc.
  - Outcome levels – government records, studies done by other orgs, etc.
- What documents we choose are important
- Triangulation of sources is important if reliability of data is questionable

Slide 81

Census vs. Sample

A survey can be administered on a **census** or on a **sample basis**

- Census is when we collect information from **all members** of a population of interest
- Sample is when we collect information from a **representative group** within the population of interest
- The advantages of conducting sample surveys over census are:
  - Allows for inferences to be drawn with reasonable degree of confidence
  - Not feasible (or necessary) to collect information from the entire population
  - Census is time consuming and costly

Slide 82

Participatory Methods

- Active involvement of target community in collection and analysis of information
- Learning about local conditions and local people's perspectives and priorities to design more responsive and sustainable interventions.
- Identifying problems and trouble-shooting problems during implementation.
- Common participatory methods:
  - Participatory Rural Appraisals (PRA)
  - Stakeholder Analysis
  - Participatory M&E

Slide 83

Focus Group Discussions

- A qualitative methodology in which small groups of people are brought together to discuss specific topics under the guidance of a facilitator
- Useful for getting an understanding and rich description of target community's **perceptions, beliefs, attitudes, opinions**
- Group members should share common characteristics *(i.e. sex, member of village organisation, age group, producers, etc.),* especially with respect to study objectives
- Group size should be between 8-10 people
- Presence of note taker(s) and/or recording strongly recommended

Slide 84[ll]

FGDs and Individual Interviews

Method	Use When
Focus Group Discussion -Group discussion around a predetermined set of issues or topics - Group members share certain common characteristics	▪ You need rich descriptions to better understand needs or developments ▪ You need to understand the perspective of several stakeholders on select issues or topic from the ▪ Group synergy is necessary to uncover underlying feelings ▪ You have access to a skilled facilitator and note taker
Individual interviews (including KIIs) Involves interviews with one individual at a time, and can be used to target key informants	▪ The target population is geographically dispersed ▪ The target population (key people) is small (< 50) ▪ Selected issues are too sensitive/controversial for meaningful information during a group discussion ▪ Your information needs call for depth rather than breadth ▪ You need to incorporate the views of key people who are well versed on the issue, have influence in the community

Slide 85

2.3 Data Quality

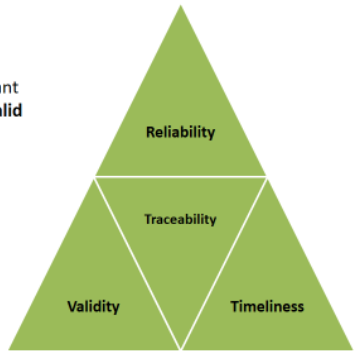
The third section of this session focuses on data accuracy and quality. It does not go into detail about how to conduct data quality audits. It focuses instead on the basic principles of data quality, key data quality considerations when selecting methodologies and when using our own original data (primary) or relying on others' existing (secondary) data.

Steps:

1. Using slides 86-89 review the basic elements on data accuracy and data quality.

Data Quality: Routine Data

- When collecting information for **routine monitoring,** it is important that data are **reliable, valid and timely.**
- In addition routine data should be traceable
- Unreliable data are the same as having no data!



Slide 86[mm]

Data Quality: Existing Data

- Unreliable data are the same as no data
- If using **existing data,** be sure to find out how they:
  - collected the data
  - sampled
  - analysed the data
  - defined the variables
  - ensured accuracy of the data
  - triangulate or spot check, if possible

Slide 87

Data Quality Considerations for Surveys

- If you must collect **original data**:
  - develop concept note including what information you will collect and why, how you will collect information, sampling strategy, etc
  - develop sampling strategy – how you will select sample
  - establish procedures and follow them
  - develop guidelines and instruction manual for data collectors
  - develop an analysis plan and follow it
  - maintain accurate records of definitions and coding
  - pre-test, pre-test, pre-test!
  - Document your steps and changes from the pre-test
  - verify accuracy of coding, data input
  - do double data entry to minimise errors

* If using an external consultant, all raw data should always be provided by the consultant to the organisation

Slide 88

Data Accuracy and Quality

- All information we or others collect is potentially subject to bias (information may be one sided based on position, untruthful or exaggerated – intentionally or unintentionally)
- Bias can occur also for sensitive questions – when it is asked, who is asked and how the question is phrased
- Data can also be political and presented in ways to promote a certain agenda
- To minimize bias? ***Triangulation***
  - Triangulation of methods, *i.e., collecting the same information using different methods*
  - Triangulation of sources, *i.e., collecting the same information from different sources*
- To minimize error? ***Data Quality Checks***

Slide 89[nn]

Session 3: Application of Learning

Objective of Session	To provide participants an opportunity to apply their learning on sources of information and collection methods to their own M&E Plans
Suggested Time	2.5 hours
Methods	Group Work; Peer Review
Materials Required	Group M&E Plans, Flip Chart, Markers

This session provides an opportunity for participants to apply what was learned during the session on sources of information and collection methods. By this stage, each group would have already completed their results and performance indicators. They will continue to develop and/or revise the M&E Plan. It is important to stress to the group that they may need to make changes to what was already done based on new information they required.

Steps:

1. Allow the groups to go back to their M&E Plans and provide time for them to select appropriate sources of information and collection methods for each of their indicators. Provide sufficient amount of time for them to complete each result level. It is suggested that you provide 1 hour or more depending on the pace of the group.
2. Keep Slide 78 visible (the spectrum of collection methods) so that groups can refer to it.
3. After the groups have had sufficient time to complete their sources of information and collection methods, each group will review another group's work.

4. Put up the following questions on a flip chart paper (in advance) and ask reviewing groups to consider:
   a. Was an appropriate source of information selected for each indicator?
   b. Was the appropriate methodology selected for each indicator?
   c. Would you have chosen a different methodology or source? Why?
5. Once completed, the reviewing group will present their peer's work on sources of information and collection methods in the plenary. Select one representative to present what was understood and highlight some of the responses to the questions asked above.

Session 4: Frequency and Responsibility

Objective of Session	To review and determine the appropriate frequency for data collection and allocating responsibility for collection, analysis, reporting
Suggested Time	1 hour
Methods	Lecture, Plenary Discussion and Group Work
Materials Required	Handout of Power Point Slides 90 - 94

The aim of this session is to continue with the development of the M&E Plan by determining the appropriate frequencies for collection of information and allocating responsibilities for collection of information, analysis of information and reporting.

Steps:

1. Review Slides 90 to 94 with the group. Answer any questions participants may have.
2. Before sharing Slide 93, ask the group: “who does what in the current structure in the organisation?” Have a short discussion about:
    a. Who collects data for routine monitoring and for periodic studies?
    b. Who designs studies and develops tools for routine monitoring and for studies?
    c. Who enters data into a database for routine monitoring and for studies?
    d. Who analyses the data for routine monitoring and for studies?
    e. Who writes reports and/or communicates findings?
3. Then talk about what would a possible **ideal structure look like** and present Slide 96. Also ask, "Are there any changes that can be made to get the unit closer to the ideal structure?"
4. Have the groups go back to their M&E plans and determine the frequencies and allocate responsibilities. By the end of this unit, all the M&E plans would have been completed. When groups are finished, ask:
    1. Who is primarily designing, collecting, analysing, and reporting?
    2. Who is not involved? Why or Why Not?
    3. Did you make any changes to your plan from the current one? Why?

Note to Facilitator: The section on ideal structures assumes that the unit has both M&E staff and programme staff. Smaller programmes may have no dedicated M&E staff. This presents an opportunity to discuss other ideal scenarios with the group, such as having M&E focal points, etc.

Responsibility & Frequency 3

Slide 90

Frequency of Data Collection

- How **often** data are collected for each indicator
- Generally, the higher the level of result, the less frequent the data collection. Why? Because change at this level takes more time.
- When selecting frequencies, we must consider methodologies chosen
- Considerations such as seasons, school semesters, major activities, reporting schedules, etc.

Expected Results	Sources of Information	Methodology	Frequency	Responsibility a) Collection b) Analysis c) Reporting
Goal	Targeted Households in 3 districts	Sample Household Survey	Every 3 years	
High Level Outcome	Farmer Plots	Field Observation	After each Harvest (Semi-Annually)	
Lower Level Outcome	School Registers	Document Review	Each semester	
Outputs	Training Logs	Document Review	Monthly	

Less Frequent ↑ More Frequent

Slide 91[oo]

Responsibility

Who is responsible for:

- Study Design
- Tool Development
- Data Collection
- Data Analysis
- Reporting and Communicating Findings

- These are generally not the same people and not always the M&E staff
- At the output level and lower level outcomes, it is usually field staff who collects data. The role of M&E would be to support tool design and verify data quality, not to collect data at output level/lower outcome levels.
- Responsibility for the collection, analysis and reporting for each indicator must also be part of your M&E plan (column after Frequency)

Slide 92[pp]

Responsibility Scenarios (Routine Monitoring)

SCENARIO 1:
- M&E staff may do all the collection
- M&E staff may receive all the data for analysis
- M&E staff may do all the analysis
- M&E staff may do all the reporting

SCENARIO 2:

programme Staff may do all of the collection

M&E Staff do not see data or analysis until the end (in the report)

SCENARIO 3:

M&E Staff involved in tool design for routine monitoring

Support in pre-testing, spot checking data, analysis

What is the Ideal Scenario?

Slide 93[qq]

Responsibility Scenarios (Studies)

What is the Ideal Scenario?
What is Possible in Our Unit?

SCENARIO 1: Study Conducted Internally
- M&E Team designs study
- M&E Team hired enumerators to collect data
- M&E receives data for analysis
- M&E writes the report

SCENARIO 2: Study Conducted Externally
- M&E Team hires externally
- M&E Team coordinates with consultants
- M&E receives draft report and provides feedback
- M&E shares final with programme team

SCENARIO 3:

M&E Staff designs study tools and coordinates data collection and analysis

programme Staff involved in design, preparation and facilitates implementation

Slide 94

Note to Facilitator: When discussing Slide 94 and the ideal scenarios for responsibility, this refers to routine monitoring and not studies, surveys or periodic assessments and evaluations. It is important to stress that ideally, everyone is involved in routine(output and lower level outcome) monitoring and it is not simply a function of the M&E unit or of Programme staff alone - that a system and flow of information collection to reporting must be put in place, based on the context of the unit. With a robust system in place, the ideal role an M&E unit can play where programme teams collect their own information is in the development of tools, in helping programme teams with sampling issues if any, and in the review, validation, quality control and analysis of routine information that is collected. In addition, M&E units can facilitate learning processes with programme teams during regular meetings or review processes put in place in the unit.

Responsibilities for studies, surveys and periodic assessments follow a similar principle in that all programme staff need to be involved during various phases of the study or evaluation. In cases where studies, assessments or evaluations are conducted internally, M&E staff would be responsible for the overall coordination and planning, however programme staff would be consulted during the design of tools, facilitate visits for enumerators, etc. Their involvement is key to carrying out a successful study. In cases where studies, assessments and evaluations are conducted by external consultants, M&E staff may act as the liaison between programme staff and consultants, but programme staff involvement is still critical.

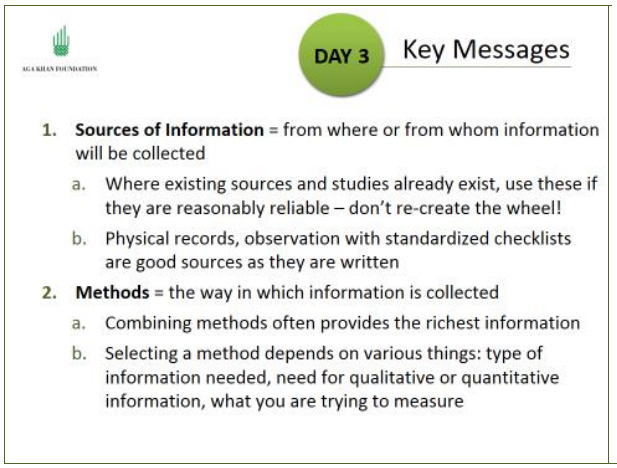
Session 5: Key Messages of Day 3 and Evaluation

Objective of Session	The objective of this session is to go over the key messages of Day 3 in order to reinforce key concepts and learning
Sections	5.1 Review and Key Messages of the Day 5.2 Evaluation
Suggested Time	40 Minutes
Methods	Lecture, Plenary Discussion
Materials Required	Handout of Key Messages Slides 95 - 98

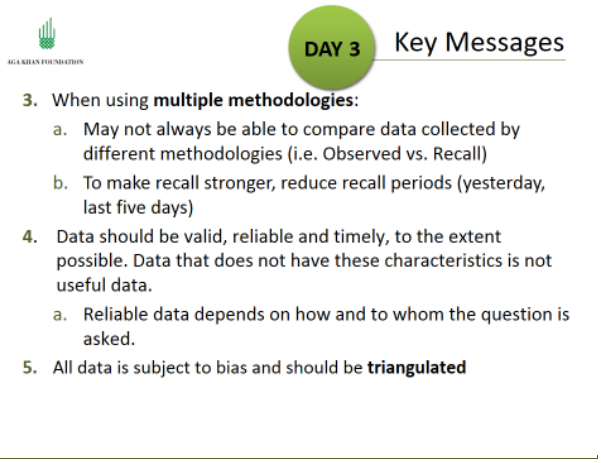
5.1 Review and Key Messages of Day 3

This section focuses on reiterating some of the key messages covered in Day 3. It is also an opportunity for participants to ask any questions to clarify concepts or ideas that may still be unclear. Using the following slides, review the key messages regarding results, monitoring and reasons for monitoring. Remember to answer any lingering questions that may have been written on the 'parking lot' or others which participants may have.

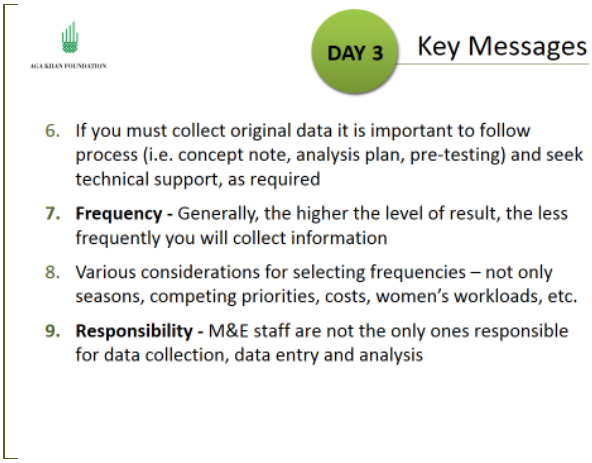
One consideration for reviewing key messages for Day 3 is to first ask participants "what are the key messages they retained" from the day before proceeding to review some of the slides.



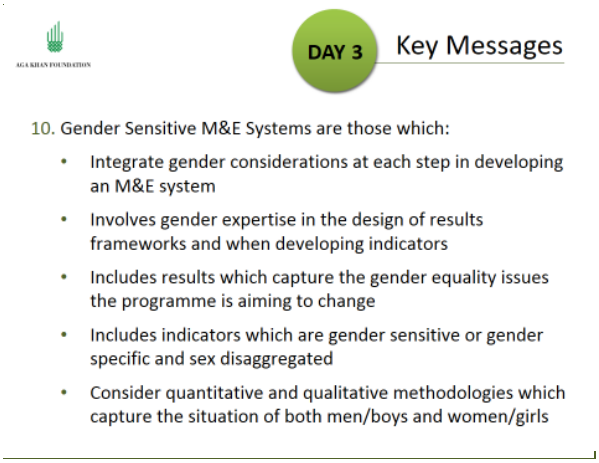
Slide 95



Slide 96



Slide 97



Slide 98

5.2 Evaluation

It is important to conduct an evaluation of the workshop so that any adjustments can be made during the break. As an alternative to distributing the coloured Index Cards, you can have participants gather at one end of the room. Inform the participants that you will ask them a question and depending on their answer they are to move from one end of the room to the other, with one end of the room being a '0' and the other end of the room being a '10'. Questions you can use include:

- Based on what you have learned so far over the course of three days, how confident are you that you can continue to develop your M&E plan with limited assistance?
- How useful did you find today's session on sources of information and collection methods?
- What is your level of motivation to continue on to Day 4 and 5 as we leave the workshop?

You can discuss why people rated the way they did. Finally, thank the participants for another productive day and recognise the efforts that they have put in so far. Remind participants that there is a break between Day 3 and 4 (if you have opted for this schedule) and that when the group comes together again that they will be finishing their M&E Plans and then moving on to the new topics of indicator grouping, data collection tools and planning studies.

Key Messages: Making M&E More Gender Sensitive

Facilitators may also want to summarise at this point the key messages related to ensuring that M&E systems are gender sensitive. These are integrated into the various sessions in Days 1 – 3, specifically when discussing the development of result statements, indicators, and methods for data collection. Slide 98 can be used to summarise these key points at the end of Day 3 and which include the following:

- Gender considerations need to be integrated at the onset of project/programme design and at the stage of development of the M&E system. Often a gender analysis prior to the design phase is helpful in jumpstarting the process of integrating gender into the strategy and into M&E systems.
- Results should explicitly state the gender issue the programme seeks to change
- Performance indicators should be either gender-sensitive or gender-targeted
- Indicators should be sex-disaggregated, where applicable and where feasible
- There should be a combination of both quantitative and qualitative methodologies, the latter should aim at "hearing" women's voices and issues as much as those of men
- Choice of data collection methodology should consider whether or not men and women are both included in the data collection process while simultaneously ensuring that women's workload does not increase by participating
- FGDs can be conducted separately for women and men to get a gendered perspective
- Gender specialists/Gender Focal Points should be included in the design and development of M&E systems

DAY FOUR

STEP 4: ASSUMPTIONS AND RISKS
STEP 5: INDICATOR GROUPING
STEP 6: DEVELOPING TOOLS

Session 1: Review and Introduction to Day 4

Objective of Session	To welcome back participants to the workshop, cover any outstanding issues from Day 3; and review the agenda for Day 4.
Sections	1.1 Welcome Back and Review of Day 3 1.2 Objectives and Schedule of Day 4
Suggested Time	30 minutes
Methods	Lecture; Group Work
Materials Required	Results and Indicator Flip Charts from previous sessions

1.1 Welcome Back and Review of Day 3

This section provides space to welcome back participants to Day 4 of the workshop as well as an opportunity to clarify anything that was covered on the previous day which may be still unclear for participants. Depending on if and when the recommended break was scheduled (if after Day 3), participants may have now had some time to rest and are hopefully feeling refreshed. You can determine how long this section is depending on the number of questions people may have or any outstanding issues from the previous day. It is also important to address any comments from the index cards collected during the evaluation on Day 3, if done.

Facilitator Tip: start the day with an ice-breaker, giving the opportunity for participants to have some fun and relax into the day. Because the group will be sitting down for most of the day, try and use an ice-breaker or energiser that requires the group to get up and move around.

1.2 Objectives and Schedule of Day 4

This section introduces the objectives for the day, including the schedule. Day 4 covers a variety of topics. It will focus on:

- If relevant, completing the M&E Plan with frequencies and responsibilities for data collection from Day 2 (Step 3)
- A discussion on how to think about defining and monitoring risks and assumptions (Step 4)
- Preparing for monitoring by grouping indicators and scheduling data collection (Step 5)
- Development of output monitoring tools (Step 6)

Session 2: Step 4: Articulating and Monitoring Assumptions and Risks

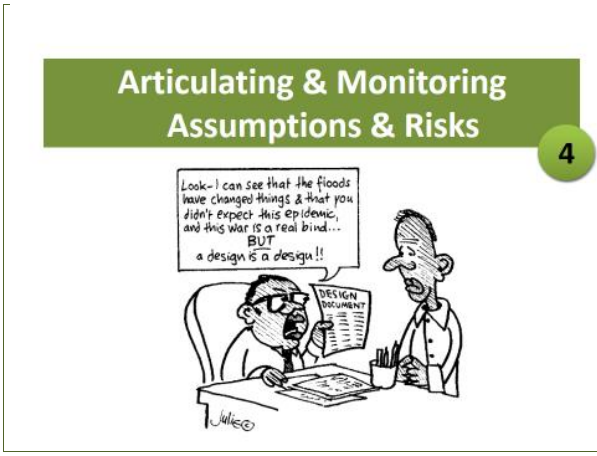
Objective of Session	To introduce/review the process of monitoring assumptions and risks
Suggested Time	1 hour, 40 minutes
Methods	Lecture; Group Exercise
Materials Required	Handouts of Power Point Slides 100 - 103

This session introduces/reviews the importance of integrating assumption and risk monitoring as part of Step 4 in establishing an M&E System. The facilitator can begin this session by reminding participants that in RBM there are various tools used - the Results Framework, M&E Plan and a risk monitoring framework. In some cases, donors may ask for a risk matrix separately.

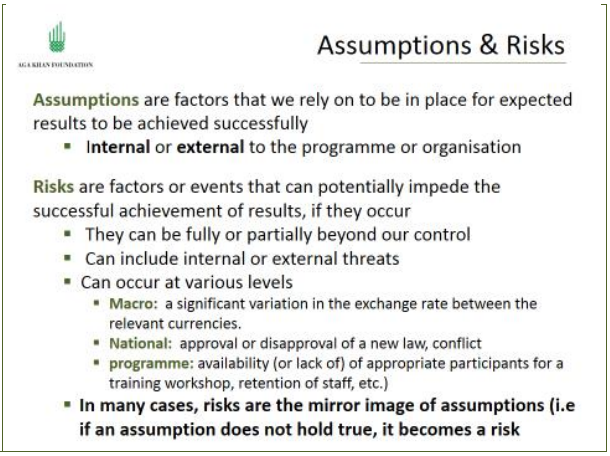
Facilitator Tip: Depending on the pace and needs of the group, an alternative to carrying out this session is to include an Application of Learning component where the group can review an existing Risk Matrix or develop a new risk matrix by selecting one external risk and one internal risk. A sample of a risk monitoring matrix is found on Slide 102.

Steps:

1. Start this session by asking the group, if they have developed or participated in developing an assumption and risk monitoring plan before. If there are participants who have done this before, draw on their knowledge and ask:
    a) What was the process you followed to determine assumptions and risks
    b) Did you develop indicators to monitor the risks?
    c) Who is responsible for following up with the risks, how and when?
2. Using Slides 100 to 103 cover the key concepts of assumptions and risks. It is important to stress during this session that determining the assumptions and risks and developing indicators to monitor the risks is part of establishing a robust M&E System (Steps 1-3) and should not be forgotten.



Slide 100



Slide 101[rr]

Monitoring Risks

Like Results, risks should be monitored through key indicators

Risk	Indicator	Likelihood of Occurrence (High, Medium, Low)	Impact of Occurrence (High, Medium, Low)	Mitigation Strategy	Responsibility a) Monitoring risk b) Analysing risk c) Reporting on risk
External Risks					
Internal Risks					

Slide 102[ss]

Key Messages – Assumptions/Risks

- Key assumptions/risks need an indicator that you need to monitor. These are not performance indicators
- Prioritize which assumptions/risks you would choose to monitor (higher level of impact) and where you would put your efforts and resources
- Systematically document the assumptions/risks using a matrix

Slide 103

3. Using Flip Chart paper, have each group develop a Risk Matrix using the template on Slide 102. Ask each group to determine one external and one internal risk to their project or program and come up with the most appropriate indicator that would allow them to monitor the risk. They should also determine the likelihood of occurrence, impact of occurrence, possible mitigation strategy and responsibility for monitoring, analysing and reporting on the risk.
4. It is important to stress that, just like the M&E Plan, the Risk Matrix cannot be developed in isolation, but involves the entire programme team. Here the programme staff are especially critical.
5. Finally, end this session with covering the key messages as per Slide 103.

Session 3: Step 5: Grouping Indicators and Planning Data Collection

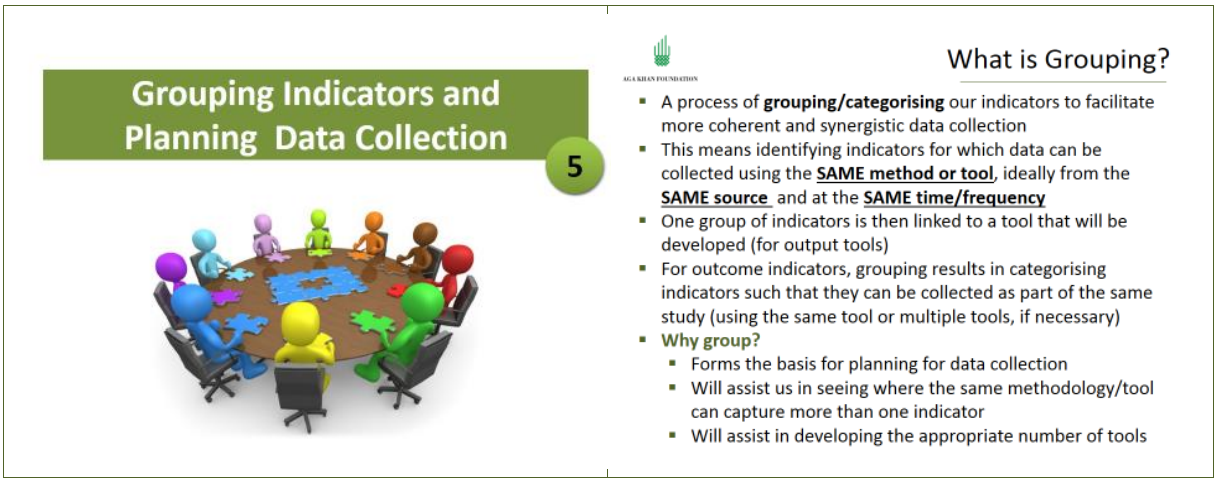
Objective of Session	To introduce grouping indicators (Step 5) as part of the planning process of establishing an M&E Plan
Suggested Time	30 minutes
Methods	Lecture
Materials Required	Handout of Power Point Slides 104 - 109 , Group M&E Plans, Coloured Markers

This session introduces participants to the process of grouping indicators as part of the process of planning for routine data collection. Grouping indicators is part of the process of establishing an M&E system and is done for both output level indicators and outcome level indicators.

Steps

1. Introduce participants to grouping indicators by using the Power Point Slides 104 - 109. The key message in this session is that grouping is a critical stage when planning for monitoring. We also want to stress in this session that the more indicators that can be collected with the same tool (one "group" of indicators) the better. This will likely help minimise data collection and increase the effectiveness of our M&E system.
2. The example provided on the slides below is from AKF Mozambique. Alternatively, you can use your own country's example or another programme you may be familiar with.

Note to Facilitator: Sometimes it is not advisable to work with the aim of reducing the number of tools because each tool may end up becoming long and difficult to administer. The idea is to balance the need to maximise data collection efforts by grouping indicators with the need to keep each tool relatively easy to administer.



Slide 104 Slide 105[tt]

How do we Group Indicators?

- Identify which indicators in your M&E plan are to be tracked using the **same methodology, source, and frequency**
- Group the indicators that can be collected by using the same tool (output monitoring tools or periodic study tools)
- For output indicators, frequency (& often, the source) must be the same
- For outcome indicators, the target population should also be the same

Indicator	Data Source	Methodology	Frequency	Tool
# of new functional literacy groups established in the last 12 months	Literacy Group Registers	Document Review	Monthly	Tool 1 - EDU
# of functional literacy group members mobilized in the last 12 months	Literacy Group Registers	Document Review	Monthly	Tool 1 - EDU
Types of functional literacy modules developed	Literacy Activity Report	Document Review	Quarterly	-
# of literacy teachers trained on functional literacy methodology	Training Log	Document Review	Monthly	Tool 3 - EDU
Percentage of households that have been food secure for the last twelve months	Households in 5 core districts	Sample household survey	Every 3 years	Survey questionnaire
Percentage of households with migrants	Households in 5 core districts	Sample household survey	Every 3 years	Survey questionnaire

Slide 106

Grouping Output Indicators

To systematically plan for tool development, create an Excel Sheet which has the indicators, the indicator number and the tool name/number **OR** add a column in your M&E Plan for the "Tool number and name"

INDICATOR	IND. REFERENCE	TOOL # and NAME	TOOL EXISTS/TO BE DEVELOPED or REFINED
Number of target group members that have received training on various nutrition practices	Output 1.2.1, Ind.1	NUT1 –Fac.Trg	Exists
Number and types of key nutrition messages disseminated	Output 1.2.1, Ind.2	NUT2 - Nutrition Groups	Exists
Number of people that have received key nutrition messages and demonstration	Output 1.2.1, Ind.3	NUT2 - Nutrition Groups	Exists
Number of new VDOs established	Output 2.2.1, Ind.1	VDO 1	To be developed
Percentage of female members in leadership positions	Output 2.2.1, Ind.5	VDO 1	To be developed
Number of VDOs, Health Committees and gender focal points trained on nutrition issues	Output 1.2.3, Ind.1	VDO 2	To be developed
Number of VDO members trained on agriculture-focused issues	Output 1.1.6, Ind.2	VDO 2	To be developed
Number of people trained on gender equality issues	Output 2.1.3, Ind.1	VDO 2	To be developed
Number/Type of gender equality campaigns promoted	Output 2.1.3, Ind.2	GEN 1	Exists
Number of VDOs trained on selected topics	Output 2.2.3, Ind.2	VDO 2	To be developed

Slide 107

Grouping Outcome Indicators

STUDY and FREQUENCY	TARGET POPULATION	INDICATOR FROM M&E Matrix	INDICATOR REFERENCE
HH Sample Survey (Baseline)	Households (producing sesame, rice, horticulture) in 5 core districts	Percentage of households that own different types of household assets	Goal, Indicator 1
		Percentage of households with cash savings	Goal, Indicator 5
		Percentage of households with debt	Goal, Indicator 6
		Average (Mean) household income in target area	Goal, Indicator 7
Food Security Mixed Methods Study – every 3 years during lean season	Households in 5 core districts	Percentage of households that are food secure (diverse and sufficient diets) during the lean season	Goal, Indicator 2
		Incidence of severe coping strategies in response to food shortages -- qualitative tool	Goal, Indicator 4
		Degree of food sufficiency among household members -- qualitative tool	Goal, Indicator 3
		Percentage of targeted households who are conserving foods (drying, pickling etc)	Higher Outcome 1, Indicator 1

Slide 108[uu]

Group Exercise: Grouping Indicators

Look at the indicators you have selected, re-written or developed and group them according to the methodologies and tool types selected

(one group = same study for outcome indicators or same output tool)

- How many groupings do you have?
- Are there any indicators which are orphans (not in a group)? Rethink whether or not you absolutely need these indicators!
- Now plan when you will develop/refine the tools that need to be developed/refined

Slide 109[vv]

3. In groups, have participants go back to their M&E plans and group indicators (circling the indicators which they feel can be in the same group with the same coloured marker). The groups should consider the following when determining the indicator groups:

   a. Which indicators use: (1) the same methodology (2) data sources that are either the same or that can be accessed at the same time (3) have the same person responsible for collection and (4) have the same frequency?
   b. What groups make the most sense?
   c. How can we group indicators to minimise the number of data collection tools and the resources used to administer them?
4. In a plenary session, discuss:
   a. How many groups do you have? (for each group, that is usually one tool or one set of grouped tools that are administered at the same time)
   b. Are there groups which include a mix of both outcome and output indicators? Why has that happened?
   c. Are there any indicators which are stand-alone indicators (not in a group)? What will you do about that? Do you really need those indicators?

Facilitator Tip: If there are multiple participant groups, you can use an example and do the grouping together in the plenary, so that participants are clear about their task. Doing this jointly also helps participants to learn from each other and become familiar with what other participant groups may be struggling with.

Session 4: Step 6 – Developing Output Data Collection Tools

Objective of Session	To introduce the principles of developing data collection tools for output monitoring
Suggested Time	1 hour
Methods	Lecture and Plenary Discussion
Materials Required	Handout of Power Point Slide 110; Sample Output Monitoring Tool (Page 62 and 63 of Guide)

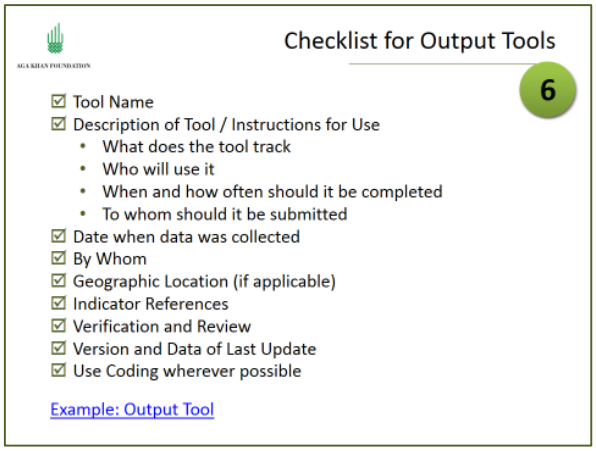
This session introduces participants to the principles of output monitoring tools and the elements that should be included when designing robust tools for routine monitoring. It important to stress to the group that while the development of tools for studies follows the same basic principles, it is a more complex topic and therefore will not be covered during the workshop.

Facilitator Tip: Depending on the pace and needs of the group, this Session and Session 6: Application of Learning can also be covered on Day 5 of the workshop. It is important not to rush through sessions, better to give participants enough time to apply learning.

Steps:

1. Start the session with a question and answer period. Ask the group:
   a. What tools are currently being used by their programmes for routine monitoring (i.e output and lower level outcome monitoring)?
   b. How many tools are being used for routine monitoring?
   c. When were the majority of these tools created or last updated?
   d. For those who don't have tools, how are you collecting data?
2. Using Slide 110, go over the basic checklist for a properly developed output monitoring tool. Show an example of a properly developed output monitoring tool. An example has been provided on Page 62 and 63.

Note to Facilitator: Facilitators may want to add an additional slide pointing out some of the general concerns of the output monitoring tools that participants provided in advance of the training (as part of the needs assessment). This can be a bullet list of general observations and some suggestions for improvement. Use the checklist (Slide 104) to illustrate key points. An alternative is to transpose one of the output tools on the screen and have the group demonstrate their learning by giving feedback on what can be improved.



Slide 110[ww]

Figure 4: Sample Output Monitoring Tool, Mozambique

AGA KHAN FOUNDATION

MD2 - FSI

ANNUAL MEMBERSHIP RECORD -- SALES COMMISSION

Description of Tool	*This tool is to be used by MD facilitators to register information about membership of sales commissions. This form is completed on an annual basis and is submitted to the MD Assistant on the 5th of January of each year. The form is a master list and should be returned to the facilitator after entry of information into the database so that it can be updated for the following period. One form is used per group per year for 4 years.*			
Month and Year of Data Collection	|__|__| |_2_|_0_|__|__| Month Year	|__|__| |_2_|_0_|__|__| Month Year	|__|__| |_2_|_0_|__|__| Month Year	|__|__| |_2_|_0_|__|__| Month Year
Name of Facilitator				
District	Macomia ☐	Meluco ☐	Pemba Metuge ☐	Ibo ☐ Quissanga ☐

A. PROFILE OF GROUP
Output 2.2.1, Indicator 2

Type of Sales Commission	1. Sesame 2. Horticulture 3. Other (Specify)_____	|___|	**Name of Sales Commission**	
Village				
Date Established	____ /____ / 20__ (Day / Month/ Year)	New Group ☐	Existing Group ☐	

B. GROUP MEMBERSHIP
Output 2.2.2, Ind.1 &2; Output 2.2.4, Ind.1

#	Name of Member	Sex 1. Male 2. Female	Date Joined (mm/yy)	Status of Member at Each Collection 1. Active Member 2. Member Left Group			
				1º	2º	3º	4º
1			|__|__| |__|__|				
2			|__|__| |__|__|				
3			|__|__| |__|__|				
4			|__|__| |__|__|				
5			|__|__| |__|__|				
6			|__|__| |__|__|				
7			|__|__| |__|__|				
8			|__|__| |__|__|				
9			|__|__| |__|__|				
10			|__|__| |__|__|				

C. GROUP LEADERSHIP *Output 2.2.1, Ind.6*

Date	President		Vice President		Treasurer		Secretary		Stock Keeper		Advisor	
	H	M	H	M	H	M	H	M	H	M	H	M

VERIFICATION AND DATA ENTRY

	Submission to MD Assistant	Signature of MD Assistant	Date of Entry into the Database	Signature
1	_____ /_____ / ____ (Day/ Month/ Year)		_____ /_____ / ____ (Day/ Month/ Year)	
2	_____ /_____ / ____ (Day/ Month/ Year)		_____ /_____ / ____ (Day/ Month/ Year)	
3	_____ /_____ / ____ (Day/ Month/ Year)		_____ /_____ / ____ (Day/ Month/ Year)	
4	_____ /_____ / ____ (Day/ Month/ Year)		_____ /_____ / ____ (Day/ Month/ Year)	

[Version 2 – 20 June 2012] Page 1 of 1

Figure 5: Sample Output Monitoring Tool

AGA KHAN FOUNDATION

Nutrition Training Register

Description of Tool	*This tool is to be used by nutrition group facilitators, CLCs or ASCs that conduct nutrition training to beneficiaries. Each training conducted during one month should be recorded. This form is completed on a **monthly basis** and is submitted to the Nutrition Coordinator on the 5th of each following month.*			
Month of Data Collection	|__|__| |_2_|_0_|__|__| Month Year	**District (Use Code)**	1. District A 2. District B 3. District C	|__|
Name of Facilitator				

A. Nutrition Message Dissemination to Households
Output 3.5.1, Indicator 4 (# of households that have received nutrition messaging each year)

Date of Visit (dd-mm-yyyy)	Village Name	Key Message Disseminated	# of Male Headed Households Visited	# of Female Headed Households Visited

If additional rows are need in Table A or B to record monthly trainings, please staple an extra sheet of paper to the form and follow the same format as Table A and B.

B. Nutrition Message Dissemination to Schools
Output 3.5.1, Indicator 5: # of boys and girls provided nutrition messaging through school presentations
Instructions: Use 1 line for each school presentation

Date of School Visit (dd-mm-yyyy)	Village Name	School Name	School Level 1. Level 1-3 2. Level 4-6 3. Level 7-9	# of Boys in Attendance	# of Girls in Attendance

Date Verified	|__|__| |__|__| |_2_|_0_|__|__| Day Month Year	**Verifier Signature**	
Date Entered into Database	|__|__| |__|__| |_2_|_0_|__|__| Day Month Year	**Data Entry Signature**	

[Version Final – 31 January 2013]

Page 1 of 1

Session 5: Application of Learning

Objective of Session	To apply learning on designing output monitoring tools through the development and testing of an output monitoring tool for a new indicator grouping
Suggested Time	2.5 hours
Methods	Lecture; Group Exercise
Materials Required	Power Point Slide 110, Group M&E Plans, Flip Chart Paper, Coloured Markers

This session allows participants to apply learning on indicator grouping and output monitoring tools. It also provides the group with the opportunity to develop and test a mock tool based on their M&E plans and indicator groupings.

Steps:

1. In groups, ask participants to select one of the indicator groupings (output or lower outcome level) and develop a mock tool on a Flip Chart paper, ensuring that they include all the elements of the checklist (Slide 110). Keep Slide 110 on the screen so the list is visible to the groups while they work.
2. Once groups have finished, post the tools on the wall so they are visible.
3. Have the participant groups review another group's tool (posted on the wall). Groups must also provide the list of indicators to the reviewing group so that they can ensure that all the data requirements are included. The reviewing group will need to answer the following:
   a. Can anyone from their team use the tool without explanation?
   b. What did they like about the tool?
   c. What was missing from the tool? What are their suggestions for improvement?

4. Selecting a representative, share the findings in a plenary discussion.
5. If time permits, have the group do a second indicator grouping and develop a second tool. Conduct another peer review.

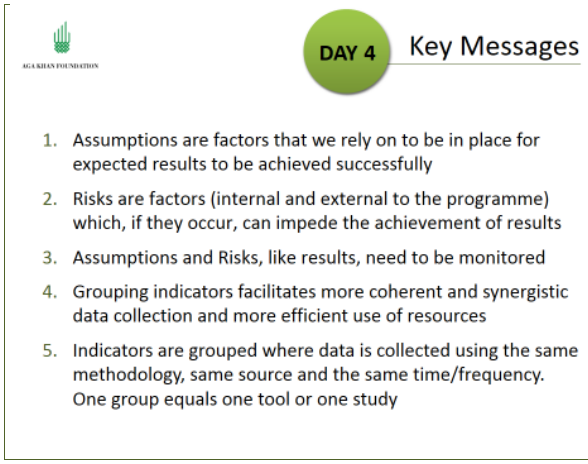
Session 6: Key Messages of Day 4 and Evaluation

Objective of Session	The objective of this session is to go over the key messages of Day 4 in order to reinforce key concepts and learning
Sections	6.1 Key Messages of Day 4 6.2 Evaluation
Suggested Time	40 Minutes
Methods	Lecture, Plenary Discussion
Materials Required	Power Point Slides 111 - 112

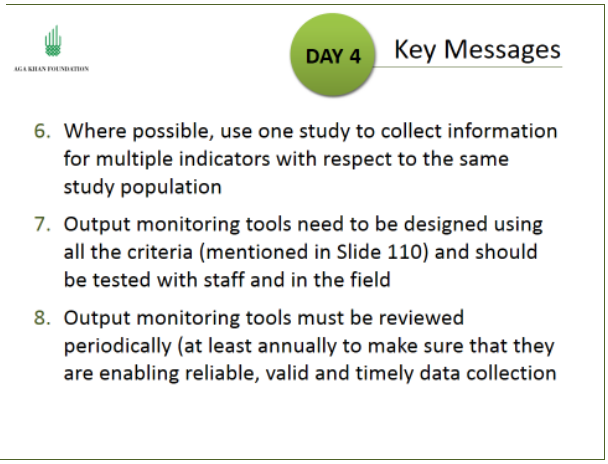
6.1 Key Messages of Day 4

This section focuses on reiterating some of the key messages covered in Day 4. It is also an opportunity for participants to ask any questions to clarify concepts or ideas that may still be unclear. Using the following slides review the key messages regarding Steps 4 to 6 of the M&E plan. Remember to answer any lingering questions that may have been written on the 'parking lot' or others which participants may have.

Inform participants that the next day will be the final day of workshop and that you will be covering study design and planning and M&E action planning (or other sessions not covered in Day 4).



Slide 111



Slide 112

6.2 Evaluation

It is important to conduct an evaluation at the end of the day to make adjustments for the final day of the workshop. As an alternative to distributing the coloured Index Cards or moving around the room, is to simply have an open discussion of what went well and what did not and what they would like as a focus for Day 5.

DAY FIVE

M&E WORK PLANNING
STUDY PLANNING AND CALENDARS
WORKSHOP REVIEW

Session 1: Review and Introduction to Day 5

Objective of Session	To welcome back participants to the workshop, cover any outstanding issues from Day 4 and review the agenda for the final day of the workshop
Sections	1.1 Welcome Back and Review of Day 4 1.2 Objectives and Schedule of Day 5
Suggested Time	30 minutes
Methods	Lecture and Plenary Discussion
Materials Required	None Required

1.1 Welcome Back and Review of Day 4

This section provides space to welcome back participants to the final day of workshop as well as an opportunity to clarify anything that was covered on the previous day which may be still unclear for participants. You can determine how long the section is depending on the number of questions people may have or any outstanding issues from the previous day. It is also important to address any comments from the evaluation conducted at the end of Day 4.

The schedule for Day 5 is also shorter and provides room to adjust session timing based on the progress made on previous days.

Note to Facilitator: It is important to note that the sections focused on planning studies do not go into technical details about all aspects of study design and planning, but is focused on providing participants with an introduction and general understanding of what needs to be considered when planning studies, individually and for the programme as a whole.

While scheduling and planning studies is not indicated as a step in the establishment of a M&E plan, developing an overall study plan occurs when a new programme is designed and M&E plan is being developed. In addition, more detailed planning often occurs prior to the start of a study. At the same time, during Step 5, programme units would have already grouped the indicators to be included during the studies and determined what studies need to occur (Step 3).

1.2 Objectives and Schedule of Day 5

This section introduces the objectives for the day, including the schedule. Day 5 will focus on:

- Planning of individual studies
- Overall M&E planning (periodic studies and routine monitoring)
- Review of workshop
- Any areas that require more focus from previous day

Session 2: M&E Work Plans and Study Planning

Objective of Session	To outline the importance of scheduling, planning and developing study calendars
Suggested Time	1 hour, 10 minutes
Methods	Lecture and Plenary Discussion
Materials Required	Power Point Slides 114 – 124; Work Plan (Pg. 69)

This session focuses on M&E planning. Key messages will focus not only on the considerations for planning individual studies, but also on the development of overall multi-year study calendars and annual work plans for the unit. Study calendars help ensure that studies are planned, implemented and completed efficiently without compromising routine monitoring, reporting and other responsibilities of the M&E and programme teams. It is important to stress that the session will not focus on technical details of the study design itself, but the considerations around planning a study.

Steps:

1. Start the session with a plenary discussion on M&E Plans, using Slide 114. Ask the group:
   a. Does the unit have an M&E Work Plan?
   b. What are the elements included in this work plan?
   c. How often is it updated?

   Following the discussion, Use Slide 115 to discuss the points and show an example of the work plan on Page 69.
2. Next, Ask the group:
   a. What studies are currently planned for the next two to three years?
   b. What are the steps you currently undertake when planning and implementing your studies?
   c. Who is responsible for what part of the design and implementation (conceptualization, sampling, tool development, piloting, data collection, data management, data analysis)?
   d. Is there a documented plan for the above responsibilities and timeframe?

   You can draw on these examples throughout the session.
3. Review the information on Slides 114-119 on planning studies. Be sure to emphasize that planning is essential to implementing a successful survey or study.
4. Show a sample plan (similar to the six- year plan on Slide 117 and detailed one year plan on 119) and discuss in a plenary what goes into a plan/study calendar (two matrices - overall by year and detailed for each year), why having a calendar is important, staggering studies, considerations of seasons, schools semesters, holidays, competing activities and priorities, etc. including preparation time in the plan, who will lead, etc.
5. Cover slides 120- 123 and discuss what is required to plan a study. Use the example of Study Plan on the slides and draw on other examples from participants.

Note to Facilitator: Clarifying the difference between a "Survey" and a "Study" is important. Remember a Survey is used for the collection of information through quantitative methods only, while a study involves the use of both quantitative and qualitative methods to collect information.

Figure 6: Sample M&E Work Plan, Madagascar (2012)

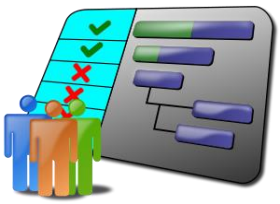
M&E AKF - PSSDRI PLANNING FOR 2012

Last Updated
02-Mar-12

data collection
analysis
review
tools conception
training
ToR development
deadline

	BUDGET USD	CONDUCTED BY	January	February	March	April	May	June
EVALUATION STUDIES								
2011 Studies -- pending								
AG/MD baseline	accrual 2011	ATW/Riswana/Tristan						
CBSG Baseline	accrual 2011	ATW/Riswana						
Cost/Benefit analysis -- farmer level	-	Tristan will write up at end 2012; programme level in 2013 by consulta	This study will be based on data collected b					
End of season 2010-2011 report	-	M&E PSSDRI						
Assesment of sanitation intervention	-	M&E PSSDRI						
Upcoming studies								
Rapid farming system / zoning study	1500	M&E PSSDRI						
Qualitative study on CBSG/Rice overlap	-	M&E PSSDRI						
MD - Association members' satisfaction wit	-	M&E PSSDRI						
Food security assessment	-	pushed forward to 2013						
Built environment programme extension	-	John Tomaro						
Gender study (CIDA funding)	-	pushed forward to 2013 unless CIDA funding comes through						
OTHER								
Data base development for routine data	25000	Tristan/Jeannot/consultant						
Data base development for farmers diairies		Tristan/Jeannot/consultant						
TRAININGS								
Qualitative research [in Tana]	4000 + 13000	Riswana						
Quantitative data analysis		Riswana						
Other training (exchange visit Tristan)								
MONITORING								
Periodic report to PSSDRI management		M&E PSSDRI						
Yield, adoption (qualitative), cost of produc	13500	M&E PSSDRI						
sales and services (Step 1)		M&E PSSDRI						
sales and services (Step 2)		M&E PSSDRI						
Attendance & farmers trained (APRA active & weaned, FD)		M&E PSSDRI						
Conservation Agriculture tests (yield, costs)		M&E PSSDRI						

Study Planning & Calendars



Slide 114

Scheduling & Planning for Monitoring (M&E Work Plan)

- Planning is essential for the success of a M&E System
- Considerations for scheduling include:
  - Seasons that affect the community, public holidays, staff leave
  - Reporting deadlines
  - Time needed for tool development
  - Time needed for data collection
  - Other peoples' plans
  - Others?
- The M&E Work Plan should include the following activities:
  - Studies and Surveys
  - Assessment and Evaluations
  - Output Monitoring & Tools
  - Reporting
  - Capacity Building
  - Internal Work Sessions/Meetings
  - Updating and Review of M&E Plan (as applicable)
  - M&E staff leave dates

Example: Madagascar M&E Work Plan 2012

Slide 115[xx]

Planning Studies

Planning studies happens at three levels:

- **Overall multi-year** planning –to show when studies and surveys are planned over the course of programme period
- **Yearly** Planning – to show when they will happen in a given year
- **Detailed** Planning (task and resource allocation, timings, etc) for each individual study

Why?

TO PLAN YOUR TIME AND YOUR TEAM'S TIME & TO ENSURE BUDGET AND OTHER HUMAN RESOURCE AVAILABILITY!

Remember:

Studies: include both quantitative surveys and qualitative work

Surveys: is the collection of information through quantitative methods only

Slide 116

Overall Programme Study Planning

Six Year (External and In-House) Surveys and Studies

External	
In-House	
AKDN	

2011	2012	2013	2014	2015	2016
Livestock Assessment	Food Security Study				Food Security Study
FSI Baseline Study		Quality of Life			FSI Endline Study
CBSG Member Survey				CBSG Member Survey	
Qualitative CBSG Study				Qualitative CBSG Study	
Value Chain Finance Study		Gender Equality Audit			Gender Equality Audit

Slide 117[yy]

Yearly Planning of Studies

- Planning Studies is essential for quality assurance and timeliness
- Need to consider the following when planning studies for the length of the programme :
  - ✓ When in the year to conduct the study (planting seasons, school semesters, rainy/dry seasons, holidays (i.e. Ramadan), competing activities and priorities (i.e. donor reporting, other studies)
  - ✓ What was stipulated in the M&E Plan in terms of methodologies and frequencies? Does this still make sense?
  - ✓ Who will do the study (internal staff or external consultants) -- develop ToR, find and hire a consultant (if external)
  - ✓ What financial resources are available
  - ✓ What human and technical resources are available
  - ✓ Who will coordinate/lead the study (whether it is internal OR external)

Slide 118

Yearly Planning of Studies

Annex B: 2011 MER (External and In-House) Surveys and Studies

	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec
External Studies	Livestock Assessment		Value Chain Finance Survey			CBSG Survey (3rd Week)					Planning for Food Security Study	Planning for Food Security Study
In-House Studies	Project MIS	Project MIS	Project MIS	Project MIS	Project MIS	Project MIS	Project MIS	Qualitative CBSG Member Study	Project MIS	Project MIS	Project MIS	Project MIS
Harvest Season	Planting Weeding	Weeding	Maize	Maize	Sesame	Sesame			Cassava	Cassava		
		Sesame Seed	Sesame Seed	Beans	Mwaira	Beans						
				Ground Nuts	Sorghum	Horticulture	Horticulture	Horticulture	Horticulture			

Slide 119

Planning Individual Surveys and Studies

- Need to consider the following when planning studies:
  - ✓ Who will be involved in preparation and implementation of study
  - ✓ Time involved in preparation (car hire, translation of questionnaires, pilot testing, contracts, recruitment and training of enumerators (which includes pre-testing), recruitment of translator for qualitative data collection)
  - ✓ Building in time for unforeseen implementation delays
  - ✓ For surveys, time involved in data checking, database development and data entry – also who is responsible for each of these tasks
  - ✓ For qualitative studies, time involved in transcription of notes
  - ✓ Time involved in data analysis and report writing or presentation
  - ✓ Time involved in waiting for relevant stakeholders to review draft reports and editing drafts

Slide 120

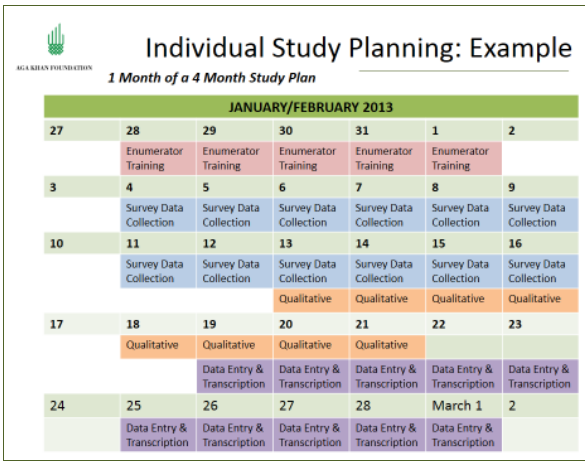
Planning Individual Surveys and Studies

The **length of time** to carry out a study or survey is dependant on numerous variables, including:

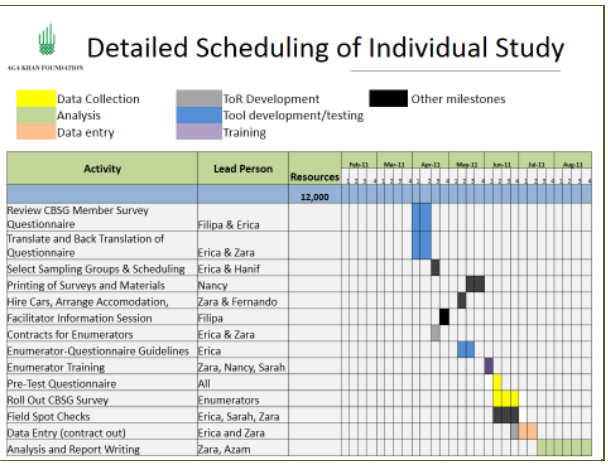
- ✓ Sample size
- ✓ Length of questionnaire or interview guide (and complexity of questions)
- ✓ Whether or not translation is required
- ✓ Geography and spread of study population
- ✓ Seasonal issues and ease of access to study sites
- ✓ Number of enumerators or facilitation teams
- ✓ Number of data entry persons or people who will transcribe notes
- ✓ Complexity of analysis

If a study takes a year to complete (from start to finish), we need to ask ourselves, "should we be repeating the same type of study each year?"
***Look at our M&E Plan Frequencies**

Slide 121[zz]

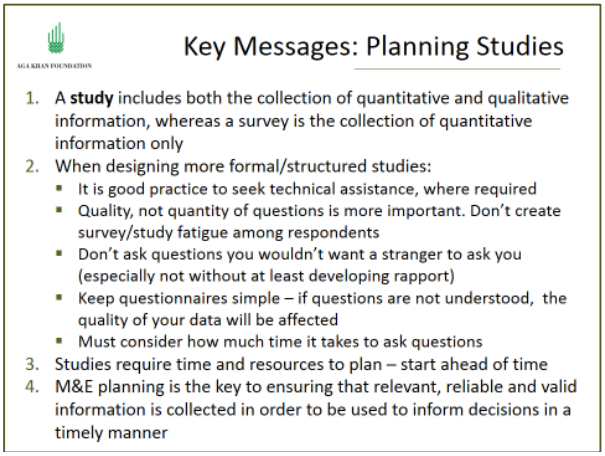


Slide 122



Slide 123

6. Next, jointly develop an action plan for moving forward after the workshop. Ask questions such as:
   a. Is there a M&E work plan? Is it integrated into the overall programme work plan?
   b. What are the short-term actions we need to take as a result of the workshop?
   c. What are the medium-term actions we need to take as a result of the workshop?
   d. Who is going to be responsible for each action?
   e. Who will follow-up on these actions?
7. Finally, end the session by reviewing key messages on M&E work planning and study planning found on Slide 124. Answer any questions participants may have.



Slide 124

Facilitator Tip: If there is sufficient time by this point in the workshop, you can add the additional session below (Session 3: Application of Learning) before developing a joint work plan for moving forward and have groups look at all the studies that have been specified in the M&E Plan and develop a study calendar for the next three years, taking into account your context. If conducting this session, it would be important to draw on the indicator grouping exercise conducted on Day 4 and have the group re-look at their indicator grouping to determine if the indicators which will be included in the study are appropriately grouped.

Session 3: Application of Learning

Objective of Session	To apply learning on study planning and scheduling to the unit
Suggested Time	2 hours
Methods	Group Work
Materials Required	Flip Chart Paper, Coloured Markers, Group M&E Plans

This session provides participants with the opportunity to apply their learning to develop a study calendar. This session is suggested if the unit is preparing for an upcoming study. Alternatively, this session can be omitted and more time given on another session, depending on the participants' learning priorities and profiles.

Steps:

1. Ask groups to develop a study plan/calendar for one of their studies in their M&E plan. Remind the groups that the calendar should consider:
    a. Include the name of the study
    b. Who is the study coordinator (i.e. the person responsible for the design and implementation of the study from start to finish)? This does not necessarily have to be the M&E Manager!
    c. When will the study take place (plot)?
    d. How long will the study take (plot)?
    e. What resources are required to design, implement, analyse and report?
    f. When will each phase of the study planning, implementation, analysis, etc. take place?
2. Once groups have finished, have groups select one representative to present their calendar and schedule to the group. Answer any questions that may arise and provide feedback on each of the study plans.

Session 4: Key Messages of Workshop and Evaluation

Objective of Session	To highlight the key messages of the five-day workshop
Unit Sessions	4.1 Key Messages 4.2 Workshop Evaluation
Suggested Time	1 hour
Methods	Lecture and Plenary Discussion
Materials Required	Handout of Power Point Slides 125 - 135

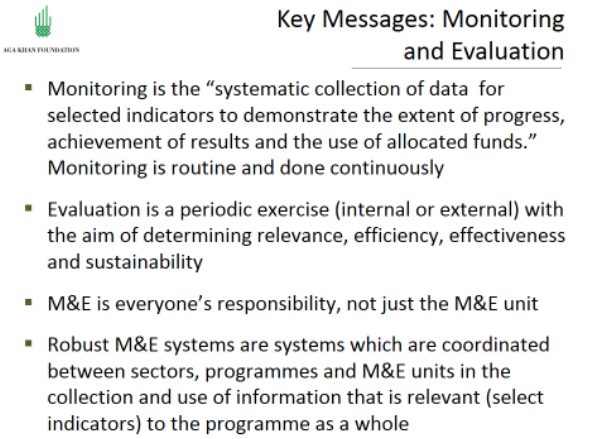
4.1 Key Messages of Workshop

This is the final session of the five day workshop. The session reinforces all the key messages of the workshop. A key point to note is that a lot of information was covered and it is difficult to retain all the information, but hopefully through the practical work and focusing on the following key messages, they will be able to retain the most important aspects that will assist them in the development and maintenance of their M&E systems.

Steps

1. Start the session by congratulating the group for making it through the five-day workshop. The last session of the workshop is an overview of what was covered each day and the key messages to take away.
2. Using Slides 125 - 134, go over the key messages, answering any questions along the way. Before starting the presentation, you can ask the group: "what is one thing that you learned over the course of the five days that you will take away with you?"
3. An alternative to having the facilitator review the slides using lecture style, allocate each of the groups one of the modules covered over the past five days and write down on a flip chart the key messages they have retained. As they present their key messages to the larger group, the facilitator can reinforce key ideas as per the slides.
4. Ensure also that you review the key messages on making monitoring systems more gender sensitive (Slide 134 and Page 54 of this guide). One idea is to co-facilitate this session with the gender specialist or gender focal point of the unit.

Slide 125



Slide 126

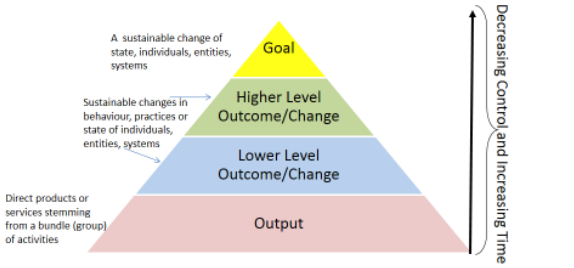
Why do We Monitor?

Slide 127

Key Messages: Step 1 - Articulating Results

Results Frameworks = visual depiction of your strategy and the **logic** of the changes you expect to see as a result of your inputs

Also known as theory of change, results chain, work breakdown structure



Slide 128

Key Messages: Step 2 - Indicators

- Indicators tell the story of change!
- Do just enough to tell a good (enough) story and to help people make decisions – balance the nice to know with the need to know, especially when resources are limited
- Indicators at the higher level outcome are for the targeted population (which is within your sphere of influence), not the broader population
- For quantitative indicators at the outcome levels, do not use numbers, unless there is a good justification – better to speak in terms of percentages

Slide 129

Key Messages Step 2 - Indicators

- Developing indicators for the output level, is simply flipping the statement and adding a unit, quality, timeframe and disaggregation, as relevant
- Where relevant, indicators should be either gender-sensitive (including sex disaggregation) or gender-specific
- Quality of indicators is more important than quantity
- It is useful to think of including more qualitative indicators as you move toward outcome level information as these can be more informative

Slide 130

Key Messages Step 3: How to Collect Data

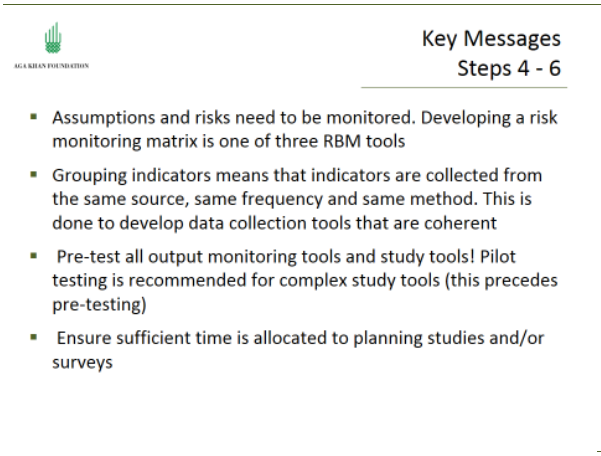
- **Source = from whom, where or what; Method = how; & Frequency = how often**
- Where existing sources and studies already exist, use these **if they are reasonably reliable** – don't re-create the wheel!
- All information we or others collect is potentially subject to bias (information may be one sided based on position, untruthful or exaggerated – intentionally or unintentionally)
- **If it is not reasonably reliable, it is not useful**
  - Reliable data depends on how and to whom question is asked
  - Quality of questions AND indicators, not quantity is more important
- Combining methods often provides the richest information. When using multiple methodologies:
  - May not always be able to compare data collected by different methodologies (i.e. Observed vs. Recall)
  - To make recall stronger, reduce recall periods (yesterday, last five days)

Slide 131

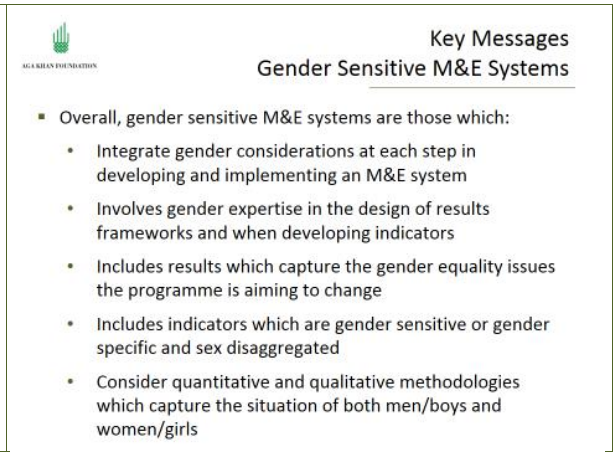
Key Messages Step 3: How to Collect Data

- Must consider how much time it takes to ask people questions and how many times we and others are asking them for the time – **Study Fatigue**
- **Know what you don't know** -- Good practice to seek technical assistance when designing more formal/structured studies. Collecting good quality outcome data requires knowledge of research methods!
- Source of data is not the same as method of data collection – we are talking about original source of data here!
- Frequency of data collection is not the same as the recall period or the frequency of reporting.
- Frequency of data collection depends on type of method being used, resources, and how quickly we expect to see change
- Remember to consider:
  - When is the best time to collect the specific data
  - How much time will it take
  - Follow-up should be at the same time for time sensitive data
  - Study calendars
  - Work planning

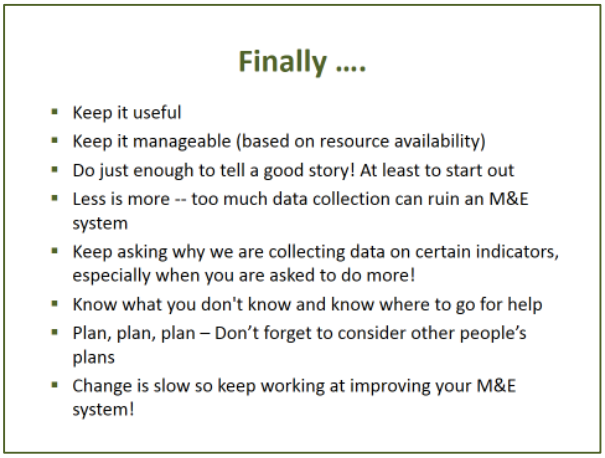
Slide 132



Slide 133



Slide 134



Slide 135

4.2 Closing and Evaluation

Close the workshop by thanking all participants for taking the time to participate in the past five days. Also congratulate them on the work that they accomplished. It is important that you let people know that you can stay back to answer any lingering questions.

Finally, it is also important that participants have the opportunity to evaluate the workshop in order to learn and improve future courses. Ensure all participants that the evaluation form is both anonymous and confidential. Distribute the workshop evaluation forms (Annex K) and collect them in a manila envelope.

GLOSSARY

Activity	Visible and planned action (or intervention) through which inputs, such as funds, technical assistance and other types of resources are mobilised to produce specific outputs/deliverables. An activity is not a task. Generally, a group of tasks related to organizing training, for instance, are part of an activity which is conducting the training.
Assumption	The variables or factors that we rely on to be in place for expected results to be achieved successfully. Assumptions can be internal or external to the programme or organization
Disaggregation	The collection of information (through indicators) based on specific characteristics such as sex, age group, geographical location, caste, district, socio-economic status, etc. Indicators should be disaggregated, where relevant and where it is feasible to collect data in such a manner. Note: the more levels of disaggregation you have, the more complex your sampling strategy will be for both quantitative and qualitative indicators.
Evaluation	The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, efficiency of implementation, effectiveness vis-a-vis development objectives, and sustainability of results.
Focus Group Discussions (FGDs)	A focus group is a small (not more than 8 to 10 individuals, ideally) group of people (who, are to the extent possible, of similar background with respect to the topic being discussed), who are brought together to discuss their thoughts, experiences, feelings about a particular topic. FGDs work better when the group is homogenous, that is, when people have sufficient commonalities with respect to the topic being discussed and where there are no big differences in status and power amongst participants that would otherwise prevent certain participants from expressing themselves fully.
Gender Equality	AKF uses the following definition for gender equality: that women and men, and girls and boys, enjoy the same status and opportunities to realise their full potential, to make choices in their lives, to participate as decision makers in shaping the sustainable development of their societies, and to gain access and benefit from resources and services. Gender equality is about society equally valuing the different needs, behaviour, and aspirations of women and men, boys and girls. It does not mean that women and men have to become the same, but that their rights, responsibilities and opportunities will not depend on whether they are born male or female. Others also refer to gender equality[a] to mean that all people, regardless of their sex, caste, ethnic group, religion, age, physical condition, etc. – receive the same treatment; have the same opportunities; have the same recognition; are given the same respect; and have the same rights.
Gender Sensitive	Qualitative or quantitative indicators which are disaggregated (to the extent that is relevant and feasible for data collection) by sex, age, socio-economic

[a] Definition adapted from CIDA's 1999 Policy on Gender Equality.

Indicators	background, ability, caste, etc. Gender-sensitive indicators provide separate measures for men and women in a given area (e.g. literacy rates for men and women). Sex-disaggregated data demonstrates whether both women and men are included in the programme or project both as agents/staff, and as beneficiaries at all levels of the project/programme.
Indicator *(also known as performance indicator)*	Quantitative or qualitative information that provides a simple and reasonably reliable basis for assessing achievement, change or performance. Quantitative indicators measure change in a numerical way. Qualitative indicators provide descriptive data on changes in attitudes, perceptions and roles. Indicators are 'signals'. Ideally, they are stated in a neutral way without a direction or a target and are used to measure the progress toward the achievement of results. Indicators should be gender-sensitive, to the extent that is possible.
Indicator Grouping	A process of grouping indicators to facilitate more coherent and synergistic data collection. Grouping is done by identifying indicators for which data can be collected using the same method or tool, ideally the same source and at the same time/frequency. Each group is linked to an output or study tool that will be developed and forms the basis for planning for data collection.
Individual Interviews	A qualitative methodology used when the target population is highly dispersed and small. Interviews allow the researcher to examine phenomenon which may be too sensitive for meaningful information to be captured by group discussions or where you need to incorporate views of key people who are well versed on an issue or who have influence within a community.
Key Informant Interview	An individual or a group of individuals selected to provide quick and effective insight into study issues. He or she will normally be someone who is in an important position (leaders) and/or someone who is particularly knowledgeable and willing to provide us with information (a school teacher, an elderly person, etc.). Key informants selected should not be restricted to leaders or prominent/wealthy community members. The key informants selected for the discussions should be a range of women and men who are respected and knowledgeable members of the community (village leaders from the Community Development Councils (CDCs), Village Organisations or *shuras,* elders, health workers, midwives, teachers, large and small producers, traders or business people, women or youth group leaders).
M&E Plan *Also known as Performance Measurement Framework (PMF)*	A framework which is used to systematically plan the collection and analysis of relevant information over the lifetime of a programme/project to demonstrate progress made in achieving expected results. Typically, an M&E Plan has eight columns (expected results, indicators, baseline information, targets, and sources of information, collection methods, frequency and responsibility).
Management Information System	A MIS provides a simple, standard means to store and analyse input-, output-, and some outcome-level **quantitative** information from data collected on various indicators. Often MIS systems are databases developed in Excel, ACCESS or another software. A well-designed and functioning MIS is not an M&E system; it is one part of a well-functioning M&E system.
Mean	Also referred to as 'average', the mean is equal to the sum of all the values in the data set divided by the number of values in the data set. The mean can be

	influenced by outliers (values that are unusual compared to the rest of the data, i.e. being extremely small or large).
Median	Numeric value separating the higher half of a sample, a population or a probability distribution, from the lower half. This means that the median is the 50th percentile number in any given set of numbers. The median is not sensitive to extreme values so is useful to use to depict data with a clear skew but it does not reflect the distribution of data for the sample. Another way to understand median is that it is the middle score for a set of data that has been arranged in order of magnitude.
Method	The way in which information is collected for each indicator. There are quantitative methods such as sample surveys or census surveys and qualitative methods such as individual interviews or focus group discussions. The selection of method depends on how precise your information needs to be, how in-depth the information needs to be, the level of representation, what we want to measure, and what resources (human and financial) exist for this effort.
Mode	The mode is the most frequent or popular score or category in the quantitative data set.
Monitoring	The systematic and routine collection of information for selected indicators to demonstrate the extent of progress, achievement of results and the use of allocated funds. Monitoring is done routinely and on an on-going basis. Monitoring is done for accountability, learning and decision-making in the improvement of programmes.
Outcomes (Higher and Lower Level)	The expected change that occurs once outputs are achieved. Outcomes are generally sustainable changes in behaviour, practices or state of individuals, entities, systems.
Output	Outputs are products or services which result from a bundle of completed activities. Under each output a series or 'bundle' of activities are required in order for an output to be achieved. Outputs are the part of the results chain that along with activities can be budgeted, managed, and controlled by staff whereas staff has less "control" over outcomes.
Proxy Indicators	Indicators used as substitutes for direct measurement. Proxy indicators are useful when the cost of direct measurement is too high (i.e. household income) or when measuring sensitive topics where you cannot directly ask about (i.e. domestic violence).
Qualitative Studies	Qualitative studies are designed to gain an in-depth understanding of multiple perspectives and aim to answer the 'how' and 'why' of a phenomenon. Such studies is used when you are interested in understanding the nuances of the studied phenomenon and to obtain descriptions of the studied phenomenon and/or underlying causes of observed behaviour, change, etc. Qualitative studies involve the use of discussions, interviews, observations, open-ended questions
Result	Change which can be described and measured and is influenced directly or indirectly by programme interventions and/or other external factors. Results can happen at various levels (output and outcome) and at various times and are

	visually depicted using a Results Framework.
Result-Based Management	A management strategy focusing on performance and achievement of results (which are defined as) intended or unintended, positive and/or negative outputs, outcomes and impacts of a development intervention.
Results Chain or Results Framework	A logical cause and effect relationship between the various result levels. Often demonstrated as a linear chain and tested using an 'IF/THEN' methodology from one result level to the next. Results chains however are not always linear and can demonstrate the interconnectedness of results. A management tool used to improve the design of interventions, at the project or programme level. It is a visual depiction of a strategy and the causal relationships we expect to see. Also referred to as the Logic Model.
Result Statement	The statement which describes the measurable change which the project or programme is aiming to achieve at various levels in the results chain.
Risks	The possibility that an assumption made by project or programme staff or that any other factor that can impede the successful achievement of results might occur. Risks can be fully or partially beyond our control and can occur at various levels including the macro level, national level or programme level.
Sources of Information	From where, what or whom the information will be collected as indicated in the M&E Plan. Sources of information can either be a) primary or b) secondary (from existing documents).
Triangulation	The collection of information using two or more sources and methods in order to minimize bias

Resources and References

CIDA (2012). *Results-Based Management Tools at CIDA: A How to Guide.* Available at: http://www.acdi-cida.gc.ca/acdi-cida/ACDI-CIDA.nsf/eng/NAT-92213444-N2H

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Annex A: Sample Workshop Needs Assessments

UNIT NEEDS ASSESMENT TEMPLATE

The following tool is intended to gauge the needs of the programme or project in preparation for the *Introduction to Designing and Implementing M&E System's* workshop. It is **not** intended as an 'evaluation of a unit's performance', but rather as a way to ensure that the materials and workshop are relevant to programme unit's needs. The needs assessment template should be completed by senior staff or those who are knowledgeable about the programme/project with respect to M&E (1 or 2 people, ideally but not necessarily those who are attending the workshop) and provided to the facilitator well in advance in preparation for the workshop. This template can be adapted as necessary.

Unit Name:		**Number of Programme Staff:**	
Date		**Number of M&E Staff:**	
Completed By:		**Date of Proposed Workshop:**	

Question	**Response**
1. What is the current strategy period (yyyy – yyyy)	
2. Does the unit have a consolidated results framework for the current strategy period for the project or the programme?	Yes ○ No ○
3. What are some of the areas of the results framework that may require attention?	
4. Does the unit have an M&E Plan?	Yes ○ No ○
5. If yes, when was the M&E plan last updated? (mm-yyyy)	
6. What are some of the areas of the M&E plan that may require attention?	
7. How many indicators does the M&E plan have?	
8. What are some of the areas with indicators that may require attention?	
9. Does the unit have relevant and updated tools for monitoring output indicators?	Yes, for all indicators ○ Yes, for some indicators ○ No, for none of the indicators ○
10. What are some of the areas with output monitoring tools that may require attention?	
11. What are some of the areas with outcome monitoring tools that may require attention?	
12. Has anyone in the unit received training or capacity building in the past on any of the following (please specify name and designation of people who have received training):	
a) Results Based Management	○

Question	Response
Please provide name and designation of those trained in RBM:	
b) Monitoring and Evaluation	○
Please provide name and designation of those trained in M&E:	
c) Qualitative Research	○
Please provide name and designation of those trained in Qualitative Research:	
d) Quantitative Research	○
Please provide name and designation of those trained in Qualitative Research:	

INDIVIDUAL PARTICIPANT NEEDS ASSESSMENT TEMPLATE

The following form is intended to provide the facilitator with information on participant experience, motivation and needs for the *Introduction to Designing and Implementing M&E System's* workshop. It is **not** intended as an 'evaluation of a participant's performance', but rather as a way to ensure that the materials and workshop are relevant to participant needs. The template should be completed by each participant who will attend the workshop and be sent to the facilitator well in advance in preparation for the workshop. This template can be adapted as necessary.

AGA KHAN FOUNDATION

Introduction to Designing and Implementing M&E Systems Workshop
Participant Application Form

A. Contact Information

First Name		Sex	Male □ Female □
Last Name		Position of Participant	
AKF Unit Name		Time in this Position	
Sector or Department participant belongs to		Email Address	

B. Experience and Motivation

Have you taken a course in M&E systems or RBM in the past?	Yes □ No □	If Yes, where and when did you take this course?	
Do you use RBM in your current position?	Yes □ No □	Which RBM models (from which donors) are you familiar with	
How have you used RBM in your current position?	Developed a Logic Model □ (Please provide details) Developed a PMF or M&E plan □ (Please provide details) Other :		
Why do you want to register for this course?			
What are your expectations for the course?			
What is your level of English?	Written: Basic □ Intermediate □ Advanced □ Spoken: Basic □ Intermediate □ Advanced □		

C. Other Information

Do you have any dietary restrictions?	Yes □ No □ If yes, what are they?		
Do you have a laptop available for this training	Yes □ No □		
Date		Signature of Applicant	

Please submit your completed application form to **(please insert the facilitator's email address)**. Applications must be received before **[specify date].**

Annex B: Sample Course Description for Participants

An Introduction to Designing and Implementing M&E Systems
[Location/Date]

Facilitators: [Names of Facilitators]

Course Description: Monitoring is the systematic collection of data and information to inform decision-making in our projects and programmes. It is also the process of determining the progress we have made in achieving our activities and interventions and determining what results and changes have occurred because of these interventions. Evaluation involves periodic objective assessment of an on-going or completed project or programme which aims to determine the relevance and fulfilment of objectives, efficiency of implementation, effectiveness vis-a-vis development objectives, and sustainability of results.

Monitoring and evaluation (M&E) are not stand-alone processes, nor are they the sole responsibility of one individual or unit. These are integrated processes which involve several programme and M&E staff who work together to monitor routine work and periodic outcomes, learn from achievements and failures and work toward the improvement of interventions.

While the concept of M&E is considered very important by development professionals, there are two common challenges faced by several AKF units. Firstly, there is a lack of a shared language around M&E concepts and terminology amongst AKF staff and this often results in a confused application of the theory and an overly burdensome and/or inefficient M&E system which is difficult to implement and/or maintain. Secondly, applying the theories of M&E to develop an actual M&E system (transferring the numerous indicators into a well-designed data collection, management, and reporting system) is quite challenging.

The purpose of this workshop therefore is to help participants gain both a **conceptual and practical** understanding of the steps involved in designing and implementing robust and sustainable M&E systems for AKF's projects and programmes. The specific objectives of the workshop are:

- To develop a shared understanding of the guiding principles of designing and implementing sound M&E systems using RBM
- To review and revise (as necessary) what is currently being done in terms of monitoring and evaluation plans for each programme (Education, Health, RD, as relevant)
- To share experiences and lessons learned in routine monitoring and study implementation
- To work towards the development of robust M&E systems in our organisations

The course will take place over 5 days covering the following:

- What is Monitoring and Evaluation?
- Designing and establishing a Monitoring and Evaluation System
- Results-Based Management (developing results, developing and selecting indicators, data sources and methodologies, frequency and responsibilities)
- Grouping Indicators and developing Output Monitoring Tools
- Coordination and Planning of Surveys and Studies

What is not covered?
As with any workshop there are limitations to the amount of material that can be covered. The workshop will not cover topics related to non-routine data collection through methods such as periodic surveys, focus group discussions, individual interviews targeted at various stakeholders. While these topics are very important, they are considered to be beyond the scope of an introductory workshop on M&E systems.

Approach and Methodology:
The workshop will use a variety of methodologies to deliver material. Participatory and interactive approaches will be used throughout the course with group work, peer review and practical exercises to apply learning.

The workshop is considered to be iterative. As such, the sessions, their timings and placement might be altered depending where participants want more assistance or focus.

Preparation for Workshop for Participants
All participant groups should bring the following for use in the workshop:

- A copy of the current results framework/logic model
- A copy of the current monitoring and evaluation plan or indicator inventory (given by facilitator)
- Copies of selected output monitoring tools
- A copy of their programme strategy

***Please note that computers or laptops will not be permitted during the workshop**

Annex C: Indicator Inventory Template

This template can be used in the absence of an M&E Plan in preparation for the workshop.

Instructions: Please list ALL the indicators you are currently using to monitor your programmes. Also indicate how this indicator is collected (methodology); how often you are collecting data for this the indicator (frequency); the last time you collected information for this indicator, and the next time you will collect data for this indicator. Finally, please indicate in column F if this indicator has been committed to donors which fund the programme and if so, which donor.

Please complete this form prior to the workshop and email a copy to (please insert facilitator's email address) and bring a copy with you to the training.

#	Indicator	How is indicator being measured (what method is being used to collect data)	Frequency at which data is collected (how often is data collected)	Last time the data was collected (mm/yyyy)	Next time the data will be collected (mm/yyyy)	Are you satisfied with the process for data collection for this indicator? (Y/N)	Which donor or other stakeholder is this indicator committed to?
1	*Example: Percentage of households that are food secure (disaggregated by type of household and geographic area)*	*Sample Survey - (Food Security survey)*	*Every 2 years*	*February 2011*	*February 2013*	*No - too difficult*	*DFADT/CIDA, Government, AKF Board*
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							

**Add more rows as needed*

Annex D: Detailed Workshop Agenda

The following is a copy of the detailed working agenda used in the first workshop conducted in Dushanbe, Tajikistan in May 2012. Session ordering has not been revised based on the suggested guidelines in this manual, but can be modified as appropriate by facilitators depending on duration of the workshop.

DAY 1

TIME	SESSION	CONTENT
9:00 - 9:30 (30 minutes)	**Session 1:** Welcome and Introduction	Welcome Introductions of Participants and Facilitators Expectations of Participants & Objectives of Course Course Outline and Approach; Objectives of Day 1
9:30 - 10:30 (1 hour)	**Session 2:** Introduction to Monitoring & Evaluation	Review on Monitoring and Evaluation: Concepts of monitoring, evaluation, What is being monitored currently, Reasons for monitoring, For whom do we monitor? How is data used?
10:30-10:50	**TEA BREAK**	
10:50 - 11:30 (40 min)	**Session 3:** Introduction to M&E Systems	Introduction and Review of M&E Systems Steps in establishing a M&E System
11:30 - 1:00 (1 hour 30 min)	**Session 4:** Results Based Management & Step 1: Defining Results	Establishing a M&E System: Defining the Changes the Programme Expects to See; Review of Results-Based Management Concepts Reviewing our Result Frameworks
1:00 - 2:00	**LUNCH BREAK**	
2:00 - 3:30 (1 hour 30 min)	**Session 5:** Application of Learning - Results Frameworks	Applying what was learned about RBM to our own Results Frameworks Peer Review of Result Frameworks
3:30 - 3:50	**TEA BREAK**	
3:50 - 4:50 (1 hour)	**Session 5:** Continued	Continuation of Results Framework development and/or revision
4:50 - 5:20 (30 minutes)	**Session 6:** Key Messages and Evaluation	Review of the Day; Feedback from Day

DAY 2

TIME	SESSION	CONTENT
9:00 - 9:30 (30 minutes)	**Session 1:** Review and Introduction to Day 2	Welcome Back; Review of Day 1 - Questions or Concerns Objectives and Schedule of Day 2
9:30 - 11:00 (1 hour, 30 min)	**Session 2:** Step 2: Developing and Selecting Indicators	Developing and selecting performance indicators, developing good indicators, criteria for selecting indicators
10:30-10:50	**TEA BREAK**	
10:50 - 12:00 (1 hour, 10 min)	**Session 2:** Continued	Strategies for committed indicators
12:00 - 1:00 (1 hour)	**Session 3:** Application of Learning	Reviewing our Results Frameworks and Identifying Indicators/Areas of Improvement; Result and Indicator Swap: Peer Review of developed and redefined indicators;
1:00 - 2:00	**LUNCH BREAK**	
2:00 - 3:30 (1 hour, 30 min)	**Session 3:** Continued	Continuation of developing and/or refining indicators
3:30 - 3:50	**TEA BREAK**	
3:50 - 5:00 (1 hour 10 min)	**Session 4:** Reflection and Peer Review	Reflection on Learning: Indicators; Group Reviewer Presentations; Redefining Indicators
5:00 - 5:30 (30 min)	**Session 5:** Key Messages and Evaluation	Review of the Day ; Feedback from Day

DAY 3

TIME	SESSION	CONTENT
9:00 - 9:30 (30 minutes)	**Session 1:** Review and Introduction to Day 3	Welcome Back; Objectives and Schedule of Day 3
9:30 - 10:40 (1 hour, 10 min)	**Session 2:** Step 3: How to Collection Information	Selecting appropriate sources and methods for collection of information. This session also includes a brief talk on data quality.

TIME	SESSION	CONTENT
	(Sources of Information and Collection Methods)	
10:40 - 11:00	**TEA BREAK**	
11:00- 12:00 (1 hour)	**Session 2:** Continued	Common collection methods
12:00 - 1:00 (1 hour)	**Session 3:** Application of Learning	Selecting sources and methods for group result frameworks
1:00 - 2:00	**Lunch Break**	
2:00 - 3:30 (1 hour 30 min)	**Session 3:** Continued	Continuation of selecting sources of information and collection methods.
3:30 - 3:50	**Tea Break**	
3:50 - 4:50 (1 hour)	**Session 4:** Step 3 Continued (Frequency and Responsibility)	Allocating Responsibilities for collecting and managing data and information Determining Frequency of data collection
4:50 - 5:30 (40 min)	**Session 5:** Key Message and Evaluation	Review of the Day; Feedback from Day

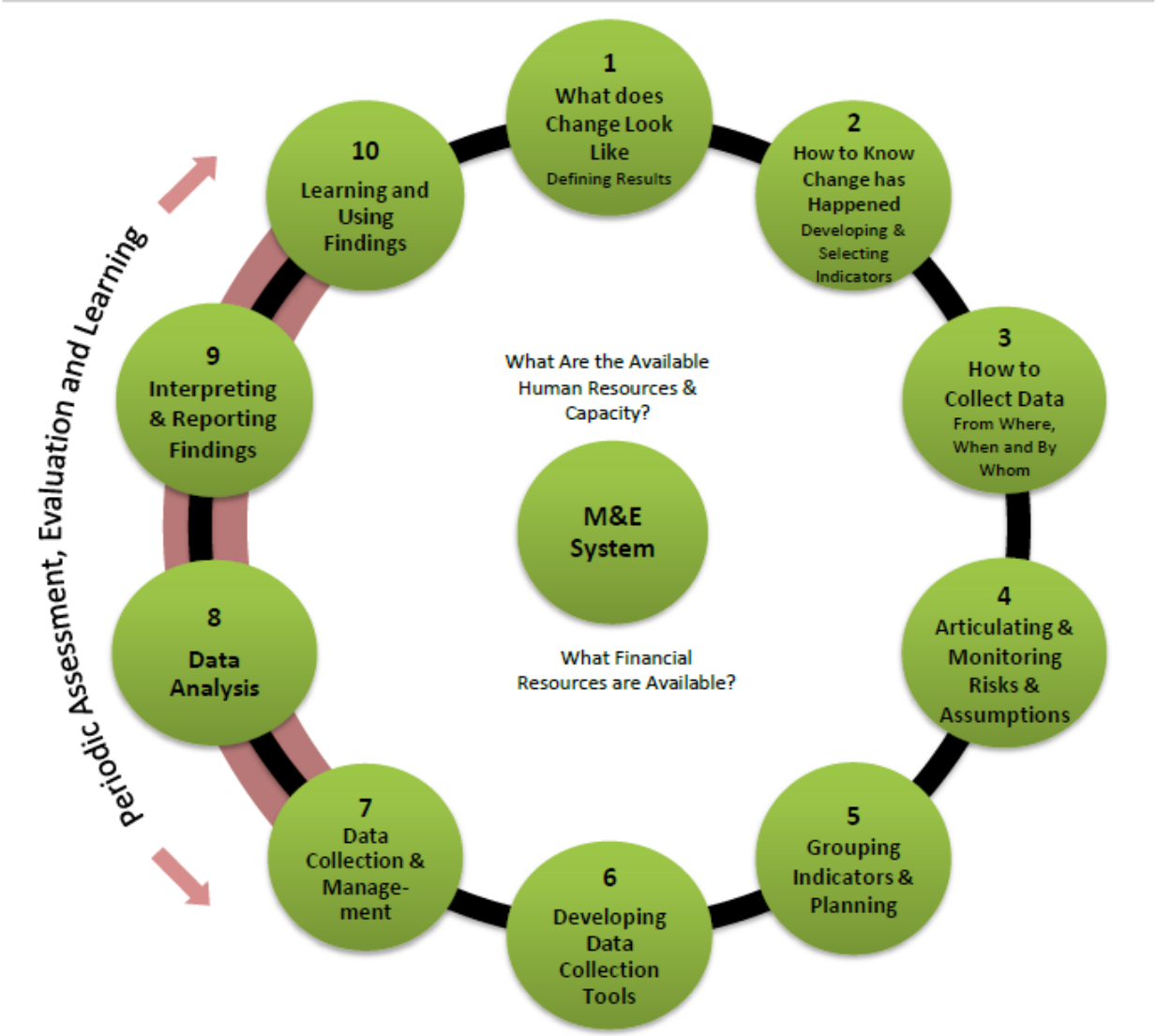
DAY 4

TIME	SESSION	CONTENT
9:00 - 9:30 (30 minutes)	**Session 1:** Review and Introduction to Day 4	Welcome Back; Objectives and Schedule of Day 4
9:30 - 10:40 (1 hour 10 min)	**Session 2:** Step 4: Assumptions, Risks and Mitigation	What are assumptions and risks; Monitoring assumptions and risks; Integrating assumption and risk monitoring into M&E system; Development of Risk Monitoring Matrix
10:40 - 11:00	**TEA BREAK**	
11:00- 11:30 (30 min)	**Session 2:** Continued	Development of Risk Monitoring Matrix
11:30 - 12:00 (30 min)	**Session 3:** Step 5: Introduction to Indicator Grouping	What is Indicator grouping? Reasons and utility of grouping indicators Determining Groups of Indicators Planning for Collection of information Mapping Indicators and Methodologies
12:00 - 1:00 (1 hour)	**Session 4:** Step 6: Output Monitoring Tools	Elements of Tools and Tool Design Samples of output monitoring tools Tools currently being used;
1:00 - 2:00	**Lunch Break**	
1:00- 3:30 (2 hours 30 min)	**Session 5:** Application of Learning	Development of Sample Output Monitoring Tool and Peer Review
3:30 - 3:50	**Tea Break**	
3:50 - 4:50 (1 hour)	**Session 5:** Continued	Designing and Testing our tools
4:50 - 5:30	**Session 6:** Key Messages	Review of the Day; Feedback from Day

DAY 5

TIME	SESSION	CONTENT
9:00 - 9:30 (30 minutes)	**Session 1:** Review and Introduction to Day 5	Welcome Back; Objectives and Schedule of Day 5
9:30 - 10:40 (1 hour 10 min)	**Session 2:** Study Planning and Calendars	Planning for Studies - Consultants, ToRs, Technical Support Developing Study Calendars Considerations for study planning and scheduling
10:40 - 11:00	**TEA BREAK**	
11:00- 1:00 (2 hours)	**Session 3:** Application and Reflection on Learning	Focused on developing a study calendar for the programme's planned studies
1:00 - 2:00	**Lunch Break**	
1:00- 3:30 (2 hours 30 min)	**Session 4:** M&E Work Planning (combined with Session 3)	Updating Action Plans Determining Next Steps Forward
3:30 - 3:50	**Tea Break**	
3:50 - 5:00 (1 hour, 10 min)	**Session 5:** Key Messages and Evaluation	Review of the Day; Feedback from Day

Annex E: 10 Steps to Establish an M&E System



Annex F: Testing the Logic Game

The following logic statements are to be used with Session 4: Results-Based Management & Results Frameworks on Day 1. The statements can be modified and/or contextualised by the facilitator.

Game 1: Simple Logic

Goal	Improved health status of households in targeted villages of Region X
Higher Level Outcome	Reduced incidence of water-borne diseases amongst households in Region X
Lower Level Outcome 1	Increased availability and use of potable and safe water for domestic consumption
Lower Level Outcome 2	Increased awareness of water borne illnesses prevention
Output 1.1	Community-based well system established and operational
Output 2.1	Health and hygiene sessions focusing on water safety conducted
Activities For 2.1	Training to targeted community on water safety
Activities For 2.1	Conduct information campaign on health and hygiene
Activities for 1.1	Training for existing/new water user committees on how to maintain wells
Activities for 1.1	Construction and rehabilitation of wells in targeted villages

Game 2: Multiple Result Streams

Goal	Improved livelihoods options for vulnerable male and female youth in Country X
Higher Outcome 1	Enhanced quality and availability of youth-friendly business development and finance services for vulnerable female and male youth in Country X
Lower Outcome 1.1	Increased ability of partners to plan, manage and

	deliver youth employment, entrepreneurship programming in Technical and Vocational Centres (TVET)
Output for 1.1	Management and monitoring plans for technical and vocational centres established
Activities for 1.1	Coaching for partners conducted on managing and monitoring TVET centres
Higher Outcome 2	Increased employability and entrepreneurship of vulnerable youth in Country X
Lower Outcome 2.1	Increased access to vocational and technical services and programmes for male and female youth
Lower Outcome 2.2	Increased availability and use of financial and business development, including job placement, services for female and male graduates pursing self-employment
Output 2.1.1	Appropriate employability and entrepreneurship programmes established in TVET centres
Activities 2.1.1	Conduct enrolment campaigns for employment programmes
Activities 2.2.2	Training to TVET teachers on better delivery of courses
Output 2.2.1	Appropriate career guidance and job placement Services established in TVET Centres
Output 2.2.2	Linkages with financial institutions for youth-friendly credit established
Activities 2.2.1	Training to career counsellors on job skills
Activities 2.2.1	Develop employer database for placement of students
Activities 2.2.2	Conduct information meetings with financial institutions
Activities 2.2.2	Develop products for youth-friendly credit/loans

Annex G: Rosetta Stone of Result Frameworks and Terminologies

Donor	Long-Term	Medium-Term	Short-Term	Immediate	Interventions	
Asian Development Bank	Goal	Outcomes		Outputs	Activities	Inputs
AusAid[b]	Goal/Impact	Purpose/Outcome	Immediate Results/ Component Objectives	Outputs	Work Program[c]	Inputs
CIDA[d]	Ultimate Outcome	Intermediate Outcome	Immediate Outcome	Outputs	Activities	Inputs
DFID[e]	Impact	Outcome/Purpose		Outputs	Process	Inputs
European Commission	Overall Objectives	Specific Objectives	Expected Results		Activities	Inputs
European Union[f]	Overall Objective	Project Purpose	Results		Activities	
GTZ[g]	Impact[h]	Outcome	Use of Outputs	Outputs	Activities	
SIDA	Overall Goal	Project Goal	Results	Activities		
UNDP[i]	Impact	Outcomes		Outputs	Activities	Input
USAID[j]	Strategic Objective	Intermediate Results	Sub-Intermediate Results	Activities		
World Bank	Goal	Development Objective		Outputs	Component Activities	
Aga Khan Foundation[k]	**Programme Goal and/or Project Goal**	**Higher Level outcomes**	**Lower Level outcomes**	**Outputs**	**Activities**	**Inputs**

[b] http://www.ausaid.gov.au/ausguide/Documents/ausguideline2.2.pdf

[c] Work program for AusAid is similar to 'activity' and is optional to include in the LF matrix

[d] The first RBM policy was established in 1996 and revised in June 2008. CIDA has developed three RBM working tools to manage results: i) Logic Model (LM); ii) Performance Measurement Framework (PMF); and iii) Risk Register. The full guide can be found at: http://www.acdi-cida.gc.ca/acdi-cida/ACDI-CIDA.nsf/eng/NAT-92213444-N2H#pdf

[e] The principle changes in the DFID model are that similar to CIDA whereby OVIs have been separated into component elements (Indicator, Baseline, Targets). In addition, Assumptions are only shown at the goal and purpose levels while risks at the output and activity levels. Also unique to DFID is the absence of a specific template for a performance monitoring framework. Instead DFID combines both logical model elements and typical performance monitoring framework elements into one.

[f] Project Cycle Management: Integrated Approach and Logical Framework, Commission of the European Communities Evaluation Unit Methods and Instruments for Project Cycle Management, No. 1, February 1993

[g] Often referred to as Goal Orientated Project Planning (GOPP)

[h] Examples from some projects also include a higher level result referred to as "aggregated impact"

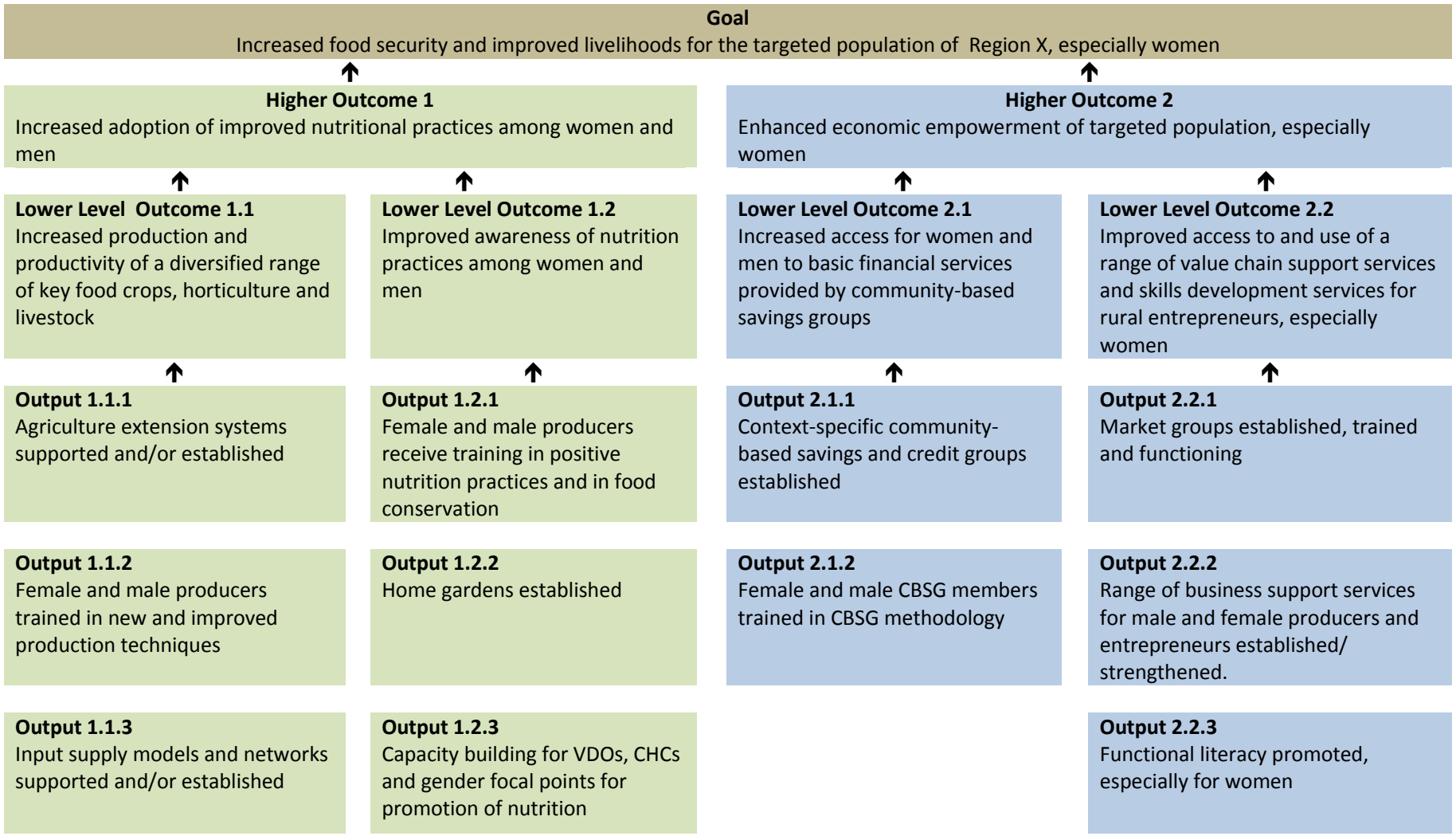
[i] http://stone.undp.org/undpweb/eo/evalnet/Handbook2/documents/english/pme-handbook.pdf

[j] Results Oriented Assistance Sourcebook, USAID, 1998.

[k] AKF has an overarching expected programme level goal which is to contribute to improvement in the quality of life in target areas. The long-term here is defined in terms of 10 to 15 year AKDN programmes and 3 to 5 years to reflect most donor projects.

Annex H: Sample Results Framework

The following sample results framework can be used during Day 1 of the training. Facilitators can choose to show other examples from the programme.



Annex I: M&E Plan Matrix

Title of Programme/Project					**Last Updated**		
Expected Results	**Indicators**	**Baseline Data**	**Targets**	**Sources of Information**	**Methods of Collection**	**Frequency at which Data is Collected**	**Responsibility** *a) for collection b) for analysis c) for reporting*
Goal							
Higher Level Outcomes							
Lower Level Outcomes *(can be a combination of short and medium term outcomes)*							
Outputs							

Annex J: Sample Indicator Definition Sheet

Level Three – Enhanced Economic Empowerment – Indicator #5 *(also a Quality of Life Indicator)*			
Percentage of households that own different types of household assets			
Type of Indicator	Quantitative	Unit of Analysis	Household
Disaggregation	(a) Socio-economic status of households, if possible; (b) Intervention target group; (c) Asset type		
Rationale & Definition	Asset accumulation is an indicator of wealth and increased economic resilience. It is used as a proxy for income which is typically difficult to measure accurately in our contexts. Assets refer to tangible and durable items owned by a household. The questions do not allocate monetary values to assets; rather they are designed to take stock of those household-owned assets which would provide information on changes in the wealth and livelihood capability of the household.		
Data Collection Method	(a) Sample Household Survey (b) Observation – surveyors are also encouraged to verify that at least some of the assets which are indicated by the household (as part of the survey) actually exist. These observations should be noted. Programme units will need to define types of assets that are considered contextually and geographically appropriate and which have considerable value in the target area, but can include items such as the ownership of a house, land and trees, agriculture or fishing equipment, livestock or other durable goods which have some considerable value in the target area.		
Calculation/ Analysis	Total number of households that reported owning each asset divided by total number of households who responded to the question regarding that asset.		
Considerations	While the measurement of household income is considered important, there has been much debate about the best methodology for capturing a reliable picture of household income (much of which is in-kind income, in the contexts in which we work). Expenditure surveys are often considered to be reliable proxies but are very time consuming and require a reasonable level of experience. Experience from some AKF programmes shows that, at present, we do not have the capacity to undertake meaningful income and expenditure surveys. In some cases therefore, programmes tend to rely on cash income only as an indicator. However, the use of the aforementioned proxies (savings and debt levels, and asset ownership) can be more reliable as in many countries income is comprised of many sources which may not be solely 'cash related' and thus, cash income not as effective in demonstrating real changes in terms of improvements in the economic status of households in target areas.		
Frequency	Every 3 years or more since it is unlikely that you will see changes in wealth levels very soon after the intervention has started		
Suggested questions and other sources	Questions in Section D of the Quality of Life Survey and questions in Section C of the CBSG Baseline Survey should be used/adapted to inform this indicator.		

Annex K: Sample Workshop Evaluation Form

INTRODUCTION TO DESIGNING AND IMPLEMENTING M&E SYSTEMS
WORKSHOP EVALUATION FORM

Thank you for your participation in the Introduction to Designing and Implementing M&E Systems Workshop. In order to improve similar workshops in the future, please complete this workshop evaluation form. All your responses will remain both anonymous and confidential.

On a scale from 1 to 4, 1 not at all and 4 being all of the time, please rate the following.

Course Content, Duration, and Set-up	**No, not at all (1)**	**Yes, some of the time (2)**	**Yes, most of the time (3)**	**Yes, all of the time (4)**
(a) The objectives of the course were met	○	○	○	○
(b) Balance between theory and practical exercises was useful in understanding the topic being discussed for each session	○	○	○	○
(c) The course content is applicable for our plan and to monitor our work more effectively	○	○	○	○
(d) The course material (handouts, power points, manual) was appropriate given the participants starting point with respect to the content	○	○	○	○
(e) Workshop duration (number of days) was appropriate	○	○	○	○
(f) The workshop facilities (room, set-up, etc.) were appropriate				
Facilitation/Course Instructors	**Poor (1)**	**Fair (2)**	**Good (3)**	**Excellent (4)**
(a) The facilitator(s) had sufficient knowledge of the topic	○	○	○	○
(b) The facilitator(s) delivered content in a clear fashion	○	○	○	○
(c) The facilitator(s) were organized and prepared	○	○	○	○
(g) The facilitators' style was inclusive and participatory	○	○	○	○
Overall Workshop				
(a) Overall, I would rate the course as:	○	○	○	○

Other Comments and Suggestions

a) What topics covered during the workshop did you find **most** useful for carrying out your work? Why?

b) What topics covered during the workshop did you find **least** useful for carrying out your work? Why?

c) What topics that were not covered would you have liked to see included?

d) Do you feel that you would require further support in this area? In which areas?

Improvement and Suggestions

a) How could this course been improved? Please be specific.

c) Additional Comments or Suggestions:

Annex L: Power Point Facilitator Notes

The following facilitator notes can be used to supplement and complement information found on the Power Point Slides used during the *Introduction to Designing and Implementing M&E System's* workshop. They should be reviewed prior to delivering the workshop. Facilitators should equally draw upon local examples and experience and contextualize where necessary.

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[a] **Slide 3:** The workshop schedule and agenda is iterative and will likely change depending on how much is covered each day, the pace of the group, and interests and needs of the group. It is important to highlight that as a facilitator you will inform the group as changes are made and gain their consent.

[b] **Slide 5:** We use the term monitoring to mean the "routine collection of information" that will help us understand how we are progressing in terms of the results of our work. We use the term evaluation to mean "periodic assessments in order to incorporate lessons into-decision making". Monitoring and Evaluation, while separate processes, complement each other as information gathered during the monitoring process is used to inform evaluations and learning. Refer to Slide 7 and the Glossary for detailed information. While this workshop focuses on monitoring programmatic results, it is important to state that monitoring equally involves tracking resource allocation and funds. The assessment around resources is often best done in conjunction with finance and programme staff based on information provided by finance.

[c] **Slide 6:** The aim of conducting evaluations is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact and sustainability. Evaluations contribute to *organizational learning and continuous improvement* of approaches and strategies. Evaluations can take place at various points during the programme lifespan, including:

- Ex-Ante Evaluations: An evaluation that is performed before implementation of a development intervention. These are often also referred to as assessments and which are conducted to identify needs and strategies for upcoming projects/programmes.
- Formative Evaluations: Evaluation intended to improve performance, most often conducted during the implementation phase of projects or programs. These are also sometimes called mid-term evaluations.
- Summative or Ex-Post Evaluations: A study conducted at the end of an intervention (or 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.

Considering gender (and environment, as relevant) in all types of evaluations as well as in each step of the evaluation process is equally necessary beginning from the Terms of Reference (if hiring an external consultant), to methodologies selected and types of questions asked.

[d] **Slide 10:** This slide is optional and can be used to illustrate the importance of monitoring on an on-going and routine basis. Source of the illustration is unknown, but is used frequently in many RBM manuals available. The key message to convey is that the first farmer regularly monitored the growth of his crops and could adjust accordingly based on the observed problem (wilting plant), whereas the second farmer did not routinely and regularly monitor his crop and at the end found that he did not achieve the result he wanted.

[e] **Slide 14:** Two of the key messages that should be conveyed during this session are first, the collection of too much information, which is not used, can impede an M&E system as even if information is not used, there are resources used for its collection, it storage and its maintenance.

Secondly, an effective M&E system needs to be planned for, resources must be allocated for its development and maintenance and it must be systematically reviewed and updated.

[f] **Slide 16:** It is important to stress that we are talking about one M&E system that integrates the entire programme, not just an M&E system for each individual donor project. We should not be creating multiple systems. A unit may have multiple donor projects which all have distinct M&E plans, but the establishment of the system should be at the programmatic level. At the same time, the individual projects are nested into the programme system and follow similar processes and steps. There are opportunities for individual project results and indicators to be aligned with those at programme level in order to maximize the use of information collected.

In terms of who is involved in the establishment of the system, it is important to stress that establishing an M&E system is not the responsibility of M&E staff alone; it is essential that programme staff and management are also involved, including gender specialists or focal points. In addition, where government (i.e. Ministry of Education, Ministry of Agriculture, etc.) is also involved in the programme and implementation, they should be involved as much as possible in the design of the system, depending on the context.

Gender sensitive monitoring systems refer to systems which integrate gender equality considerations into all ten steps of a monitoring system. This would involve i) ensuring result statements are either gender sensitive or gender specific; ii) indicators which capture sex disaggregation; iii) use of methods which ensure that both men/boys' and women/girls' specificities can be captured; iv) evaluations include questions which will respond to gender strategies and objectives; v) gender experts are included in the design of results frameworks. For further information refer to the draft manual Gender Sensitive Monitoring and Evaluation (AKF 2012).

[g] **Slide 18:** Ask the group some of the following questions:

- Who are the advocates/champions for M&E Systems – how is Senior Management/CEO involved?
- Who will own the system? Who will maintain the system and processes?
- Who will benefit from the system?
- Where does the capacity exist to support the system? In which areas would capacity need to be built?

[h] **Slide 19:** Each M&E function requires a particular set of skills. Not all functions require all skills and no one M&E staff may have all these skills. For example, the management of data would require a specific skill set in database development, computer skills such as knowledge in ACCESS, CS-Pro or another software, etc. In general, for a small, not too complex programme, an M&E unit should be staffed with at least 2-3 people and/or sufficient budget to hire people on a needs basis.

[i] **Slide 20:** It is important that when determining what changes you want to see that gender equality considerations are included. Not all changes happen equally across populations and ensuring that specific changes for women/girls and men/boys are included is essential. This is often called the process of engendering results and is covered in more detail on the session of RBM.

[j] **Slide 21:** It may be useful to remind participants that Step 1, 2 and 3 together are part of developing an M&E Plan and make up only a small part of establishing an entire M&E system. Examples for Step 3 (from whom) could include government sources, national statistics, training registers, school registers, etc. In terms of determining when data will be collected, this should not only take into account donor reporting timing tables, but other external timetables and schedules such as seasonality, school semesters, etc. For example, in Afghanistan there are three different school year timetables depending on the weather in different parts of the country, and some areas

where AKF works are completely inaccessible for several winter months, all of which needs to be factored when determining when information will be collected.

[k] **Slide 22:** At this point in the training, it is not necessary to provide all the definitions of terminologies as the session is a quick overview of each of the steps and Steps 1 to 6 will be covered in great detail. At the same time, participants may ask at this point what the difference between an assumption and risk is. Assumptions are defined as factors that we rely on to be in place for expected results to be achieved successfully and which can be either internal or external to our programme. Risks on the other hand are factors or events that can potentially impede the successful achievement of results.

[l] **Slide 26:** Step 10: Learning and using findings, focuses on the formal processes which are in place to discuss findings widely within the organisation such as monthly meetings, quarterly review processes, etc. Having these processes/mechanisms in place supports strategic decision making and other long-term planning efforts, motivates staff to make programme improvements, triggers in-depth examination of issues and challenges based on information collected through monitoring, helps to make resource allocation decisions and building transparency by communicating learning and lessons.

Importantly, depending on the context, it may be necessary to pay particular attention to the presentation of data for government or other stakeholder audiences. For example, if findings show weaknesses in government systems (i.e. teacher absenteeism or agriculture extension workers), this should be presented with sensitivity and objectivity to avoid creating conflict with government colleagues, if relevant.

[m] **Slide 27:** A key message to convey is that evaluations, periodic assessments and learning take place as part of the data that is collected in Step 7. It is not a separate Step in the establishment of M&E systems. Similar to Slide 26, the necessary mechanisms to review information and reflect on its meaning must be put in place. Evaluation and assessments in this sense are not one-off evaluations that are conducted for projects for example, but on-going (although less frequent) assessments of the progress of an entire programme.

[n] **Slide 30:** When talking about results, it is important to convey the message that most beneficiary level results should not remain gender neutral and that there are many results that really need to be gender sensitive (a result which considers equally the changes/benefits for women and girls and stated specifically). Examples of gender sensitive results can include: Improved livelihoods of targeted households in region X, particularly for women-headed households, increased access to quality education for girls and boys, increased access to financial services, particularly for women, etc. In some cases, depending on the programme, including a specific gender-equality result (a result which specifically aims to improve the condition of women/girls, reduce barriers and constraints, etc.) may be required. Examples of gender-equality results may be: Increased economic empowerment of women in region X, Reduced gender-based violence in region X, Increased access to antenatal services for women, etc. When developing results, it is important that gender focal points in the unit are included to ensure that results capture expected changes amongst both men/boys and women/girls and other populations.

[o] **Slide 31:** It is important to remember that regardless of the terminology used by specific donors to express result levels, the underlying principal of the logical movement from the activities that a programme undertakes to the result that the programme expects to see needs to be plausible and understandable and needs to be expressed in a logical and coherent manner. Moreover, the process of measuring results and assessing progress toward goals needs to be clearly articulated. Facilitators can show the link between the AKF results framework and the framework for a prevalent donor in

the unit. For example AKF uses the term “Goal (of Project)” whereas DFADT/CIDA uses “Ultimate Outcome”; both however are at the same results level.

[p] **Slide 32:** Inform participants that non-linear results chains will be discussed further in Slide 34. An additional slide can be developed demonstrating the two levels of outcomes. One of the key messages for this slide is that inputs and activities are not results (changes), they are the 'what' will take place using 'what' resources. Stress that results are changes that happen at various times and levels.

[q] **Slide 34:** This slide is optional to use. It is sometimes helpful to also depict the theory of change using this illustration. The rock, dropped by the person in this image, represents a project’s inputs (things like materials and equipment, project staff, and money). The physical act of dropping the rock represents the project’s activities (like training water management committees, installing clean water systems, or planting trees - something that is performed or done). The rock when dropped into the water, immediately makes a splash. The splash represents the outputs (i.e. trained community members managing water). The ripples, that are caused by the splash, represent the outcomes (i.e. the community is working together to safeguard the improved water source; beneficiaries are using clean water and the incidence of water-borne diseases has decreased. The outcomes, we expect, will, through a series of ripples, eventually lead to the goal such as improved health and livelihood. These ripples are those beyond the ones closest to the point of impact of the rock.

[r] **Slide 35:** Any project or programme you design must be logical in terms of the results you aim to achieve and the overall goal. Project/programme results should be linked to the overall goal. Testing the logic using If/Then allows you to see if the basic assumptions of your results chain holds true.

[s] **Slide 38:** Facilitators can adapt or modify the example as appropriate. At this point, it may also be a good idea to introduce the concept of numbering result statements in each result stream (or chain). Allocating numbers to each result in each result stream enables the team to easily identify results when speaking about them, but more so facilitates the report writing process later on. Using the example slide, suggest that higher level outcomes are given a one digit number (1, 2, 3, etc.) for each result statement. Lower level outcomes then follow with 1.1, 1.2, and 1.3, etc. for the first result stream and so on. Goal statements are not allocated a number.

[t] **Slide 39:** The workshop and guide uses the term 'output' to refer to a bundle of completed activities and the immediate and tangible product and/or service that is derived from carrying out these activities. In some cases, depending on the donor, outputs are simply a completed activity and do not represent any change. It is also important to stress here that outputs are tangible and therefore they can be budgeted for, whereas results are what we hope to see and therefore these cannot be budgeted for.

[u] **Slide 42:** "When" is not typically included in a result statement, particularly for higher level outcomes. Since programmes are establishing an M&E system for a strategic programme period, the time frame is assumed within it. In some cases, lower level results or even outputs can include a time period, particularly in cases where an intervention is a pilot or temporary.

[v] **Slide 44:** When reviewing the group's result statements, it is important for facilitators to check that statements are clear and defined particularly when terms are being used that can be ambiguous. Terms such as 'support', 'enabling environment', 'strengthening', 'and economic empowerment' etc. should be defined. It is also important to highlight that some of these definitions will also become clearer as the group develops performance indicators since the question "how do you know the result has been achieved" is asked when developing indicators.

[w] **Slide 52:** Start this session once the results framework has been completed. Facilitators may move forward even if the group has not finished their results framework as the process of articulating results is iterative and participants may find that some of their results statements may need to change after working on their indicators. In starting this session, ask participants if they know what an indicator is? Ask for examples in everyday life. For example, what are some of the things that we monitor on a daily basis? (i.e. weight, bank accounts, etc.) Then, ask how to we measure these things which we monitor on a daily basis? In using the example of weight, one indicator could be the number of kilogrammes that one weighs or the average size of clothing that one wears.

[x] **Slide 54:** It is important to stress that having more indicators is not necessarily useful. Managing a list of 65 to 75 indicators is time consuming and sometimes unnecessary. In cases where the workshop is conducting using an existing M&E plan, facilitators can ask 'how many indicators' the group has. And, of these indicators, which ones are most useful. Developing and/or selecting indicators needs to be done by deciding which 'signal' best measures and will demonstrate most effectively whether or not the results has been achieved and how many indicators can be realistically monitored.

[y] **Slide 55:** The reason for why percentage of households which are food secure is used as opposed to number of households which are food secure is because the use of a number at outcome and goal levels require a population census which is very difficult to conduct and is generally unnecessary since a sample based percentage figure can be collected more easily and provides useful information. It is good practice to always use percentage for quantitative indicators at these levels. At the output level, using a unit of number is sufficient as one is trying to find out what has been completed, not the change which has occurred and these numbers can be counted based on beneficiaries that the programme has budgeted for.

[z] **Slide 56:** Indicators are not always practical and can require extensive and expensive data gathering. Measuring the increases in rural incomes, for instance, would require a household income and expenditure survey which is time-consuming, requires larger samples, external expertise and for all these reasons, is quite costly. Instead, proxy indicators may be used to determine if rural incomes have increased through indirect ways, such as percentage of households that own houses with tin roofs or percentage of individuals or households that own bicycles (assets). These changes may have happened at the individual or household level during and because of the project. Other examples include using newspaper employment advertisements as a signal for trends in employment, and monitoring greater consumption of fertilizer as an early signal of greater agricultural production. Proxy indicators are also useful when trying to obtain information on sensitive topics such as domestic abuse and violence or in cases where asking a question directly is not culturally appropriate (i.e. how much money did you make in the last 12 months?).

[aa] **Slide 57:** There is often a lot of debate over types of quantitative and qualitative indicators. What is important to stress is that it is important to ensure consistency between the data that is to be collected as part of an indicator (e.g. number of farmers trained) and the methodology chosen (i.e. a FGD would not be a logical choice). Knowing what kind of information you want to collect and how you will go about collecting it is important to keep in mind at this stage of developing/selecting indicators.

[bb] **Slide 61:** It is important to stress that when using indicators which count people (i.e. # of people trained, % of people employed) that these indicator should be sex-disaggregated (to the extent that is feasible) to ensure that both men/boys and women/girls are benefiting equally. Disaggregation can be done for various dimensions - gender, district/region, income level, ability, age, geographic/topographic, caste, ethnicity, etc. In addition, facilitators may want to highlight that

disaggregation is one way of ensuring that indicators are gender-sensitive as they provide separate measures for men and women in any given sector (e.g. literacy rates for men and women). Sex-disaggregated data demonstrates whether both women and men are included in the programme or project as agents/project staff, and as beneficiaries at all levels.

[cc] **Slide 62:** AKF has also developed a manual on gender-sensitive monitoring and evaluation which outlines the importance of using both gender-sensitive and specific indicators. Other examples that the facilitator can use can come from the following table:

Education	Rural Development
• Number of teachers trained in gender equality in education *(disaggregated by sex, grade of teacher)* • Percentage of child mothers enrolled in school *(disaggregated by grade level and geographic location)* • Adult Literacy Rate *(disaggregated by sex)* • Female and Male Net and Gross Enrollment rates ⅄ • Percentage of all teachers teaching at various levels -- primary, secondary and tertiary education • Percentage of children enrolled in an ECD programme in programme area *(disaggregated by sex)* ⅄ • Number and percentage of learners demonstrating functional/expected skills or competencies *(disaggregated by sex, age)* ⅄ • Percentage of schools with separate latrines for girls and boys	• Division of labour in households (specifically, women and children's labour use) • Degree of women's (and youth, where applicable) participation in financial decision making/resource allocation at the household level *(disaggregated by SES, intervention target group, type of decision)* • Percentage of households that own different types of household assets *(disaggregated by type of SES, intervention target group, and type of asset)* ⅄ • Percentage of working age people who are currently engaged in employment opportunities *(disaggregated by type of employment [informal/formal], sector of employment [agricultural/non-agricultural, industry], sex and age, location of employment, seasonal/non-seasonal, full-time/part-time)* ⅄
Health	**Civil Society**
• Child Mortality Rate • Maternal Mortality Rate • Percentage of women who took recommended nutritional supplements during the last pregnancy term ⅄ • Percentage of mothers exclusively breastfeeding/breastfed infants up to 6 months of age of current or last born child ⅄ • Percentage of households in target intervention area with access to a latrine *(disaggregated by type of household[male/female], private/non-private, economic status)* ⅄ • Percentage of children aged <5 years with diarrhoea in the last month who received appropriate oral rehydration therapy *(disaggregated by sex)* ⅄	• Percentage of members and leaders of public, private, and civil society institutions who are women, youth, or from vulnerable groups ⅄ • Percentage of seats in local government held by women • Extent to which men and women participating in community level decision-making processes • Degree of women's participation in community-based organizations • Percentage of CBOs that have received training on good governance *(disaggregated by type of organisation)* • Extent to which community development projects undertaken in the last year are responsive to women's needs

⅄ AKF Sector Suggested Indicator

[dd] **Slide 63:** When using the list of criteria, it is also important to stress that, in many sectors (particularly Health and Education), standardized indicators exist (i.e. indicators used in the Demographic Health Surveys, Ministry of Education indicators and indicator banks developed by AKF, etc.) and when possible these should be used as opposed to creating new indicators. In addition, selecting indicators which are governmental priorities should also be considered. When deciding between which indicators to choose whether or not standard indicators exist, ask the group, "how do you decide which standardized indicators you would select"? When these standards do not exist, using the list of criteria is extremely useful.

[ee] **Slide 64:** For example, for the indicator: number of people who have access to water, access may mean that the water is 'available' in a community and not necessarily being used and therefore would require definition. For the indicator: percentage of teachers using Reading to Learn (RtL) *systematically* to teach literacy and numeracy, there are six steps conducted in the correct sequence that would illustrate that a teacher is 'systematically' using the RtL approach. For indicators that have multiple criteria like in the example of "evidence that training curriculum is well-developed and integrates gender equality elements", it is critical to develop and document a set of benchmarks which includes the various criteria of 'well-developed' and that various criteria required to say that gender equality has been integrated s that there is a common understanding of the indicator definition.

[ff] **Slide 65:** While there are several ways to integrate indicator definitions, it is sometimes useful to decide on the use of two methods such as footnoting the definitions as well as annexing indicator definition sheets for more complex indicators so that all definitions remain together. When using standard definitions (i.e. food security, economic empowerment, etc.), it is important to cite the source of these definitions. The hyperlink on this slide refers to Annex J: Indicator Definition Sheet and facilitators can load this on to their computer and hyperlink it to the slide.

[gg] **Slide 68:** It is important to explain to the group that quantitative outcome indicators are typically defined using percentages rather than numbers. This is because data is often collected on a sample basis for these indicators and sample data is often most usefully described using percentages raher than numbers. Numbers often imply a census and at the outcome level, a census is often not advisable.

[hh] **Slide 70:** It is important to reiterate to the group that while Day 3 talks about methodologies, that the workshop only provides a basic overview of the various methodologies that can be selected when developing the M&E Plan. There is a lot more to this topic that can be covered through more detailed and targeted trainings or resources. What is important is that participants generally understand the various methodologies and considerations for appropriate selection. M&E unit participants should be encouraged to provide additional information to the group after the training.

[ii] **Slide 71:** It is useful to use flip charts and chart out the journey of sources of information as many people get confused about what the 'actual' source of information is. Stress that the source of information is the original point where the information is obtained. For example: If the indicator is number of people trained – ask where is the original place where you will get this information – the journey may go to the training report produced by the facilitator – from there the information for the report is obtained from the training log used on the day of the training – therefore the source of information would be the training log and not the training report.

At this point, it is also important to assess the availability and usability of information from other systems (secondary sources), such as government monitoring systems. For example, most countries have an Education Management Information System, and data collection systems for gathering information about school attendance, teachers, and student results. On the other hand, the data in

these systems is sometimes outdated and/or unreliable. It will be important in your particular context to decide, with relevant people from the programme and government partners, how much data on student attendance for example, can be collected from education authorities, and how much will involve visiting schools to collect it directly.

[jj] **Slide 76:** A cross-sectional sample survey involves the collection of information from a representative sample of the entire population at one specific point in time. These types of surveys are commonly carried out at AKF (i.e. baselines). A longitudinal sample survey is a survey which involves repeated collection of information over long periods of time in order to determine and identify trends. A panel survey is where information is collected about the same person/group at each instance of data collection (e.g. the same people surveyed at baseline and endline).

[kk] **Slide 79:** The correct responses for the methods quiz are: 1. Document Review; 2. Document Review; 3. Observation or Checklist; 4. Sample Household Survey; 5. Client Satisfaction Survey; 6. Document Review; and 7. Sample Producer Survey.

[ll] **Slide 84:** Facilitators should stress the importance (in many instances) of conducting separate FGDs for women and men who share characteristics. Mixed groups can be useful particularly when obtaining key information about a village for example, however ensuring that women have a space to speak freely and without repercussions is key. The gender of the facilitator should also be considered when conducting FGDs with women and/or men to ensure that participants feel comfortable.

[mm] **Slide 86:** Reliability of data refers to data generated by a programme's information system which is based on protocols and procedures that do not change according to who is using them. The data are reliable because they are measured and collected consistently regardless of who is collecting the data. Validity also referred to as accuracy is to say that the data or information that is collected by the tool is what was intended to be measured. Timeliness refers to data that is up to date, available on time and at appropriate frequencies and/or intervals. If it takes one year to analyze data from a baseline study then it would not be considered timely. In addition, a data quality consideration is Traceability, the ability of an M&E unit to trace the data journey from database to original source. This is meant to ensure that data is transparent and reliable. It is important for facilitators to highlight that both for routine and non-routine data collection, these principles for data quality are critical. Finally, facilitators may also highlight that it is important that data is complete – referring to data that has sufficient detail. For example, an indicator requires the number of individuals who received vocational training, by sex of the individual. An information system lacks completeness if it is not designed to record the sex of the individual who received the vocational training.

When speaking about data which is politically motivated, the facilitator may want to use the example of MDGs or national census data as data which is highly political and considered subject to being biased toward donor agendas.

[nn] **Slide 89:** Triangulation is often about collecting the same information from multiple sources to ensure that data collected is valid and to eliminate bias. Sometimes this involves collecting the same type of information using multiple methodologies, but this should be approached with caution to ensure not too many methodologies are used since this may represent an unnecessary use of resources. An example of triangulation of sources can be the collection of enrollment data from the District Education Office as well as a school attendance record.

[oo] **Slide 91:** Generally, the higher up the results chain you go (Goal and Higher Level Outcomes), the less frequently one would collect information, analyse and report on findings. Change at the goal and higher level outcomes happens at a slower degree and collection of information more

frequently is unlikely to provide useful information about change. Another consideration when selecting frequencies is amount of staff, intervention related timelines (such as agricultural seasons, school terms, rainy seasons) major activities, reporting schedules and requirements, and overall project timelines, etc. Consideration of beneficiaries' time, particularly that of women, must also be considered when selecting frequencies as to ensure that participation does not increase women's workload.

[pp] **Slide 92:** Documenting who is responsible for study design and tool development is not often included as part of M&E Plans but it is critical that this be specified enough in advance. Responsibilities for data collection, analysis and reporting on findings are also extremely important to plan and decide upon well in advance.

[qq] **Slide 93:** The slide for ideal scenarios is used to facilitate discussion and is not a suggested prescription for how units should operate. This slide also refers to the different scenarios for routine and regular monitoring and not for studies. A suggested ideal scenario for studies is: M&E units may lead on study design, sampling, tool development, data collection and analysis. But throughout this process the programme unit should be involved, particularly in the design of study tools, preparation of the study and facilitating data collection in many cases.

[rr] **Slide 101:** Articulating assumptions and risks and monitoring these regularly is often ignored. It is important to stress to the group that programmes should be monitoring both results and risks. While both assumptions and risks need to be monitored, the focus of monitoring is usually placed on risks and on the identification of mitigation strategies against such risks. Assumptions are conditions that are needed in order to achieve the expected results and under which programmes normally operate. For example, assumptions can include donor funds will be available, agricultural produce price will remain the same or increase (for an agricultural production programme), participation of stakeholders will be strong, etc. Risks can be classified as either external (programmatic in nature) or internal (operational in nature). Examples of risks can include political unrest, changes in climate (extreme drought or floods), high turnover of staff (operational risks), etc.

[ss] **Slide 102:** The risk monitoring matrix is the third tool in the RBM Toolbox (after the Results Framework and M&E Plan) and should be developed jointly by M&E and programme staff. In addition to the six columns presented in the matrix, and additional column can be added (frequency) to indicate when each of the risk indicators will be collected. In determining the probability of an occurrence (level of occurrence) and effect of occurrence, the following can be used:

- Low probability of preventing results from being achieved (e.g. an extraterrestrial invasion – there is little probability of that happening!)
- Medium probability of preventing the result from being achieved (e.g. fluctuating inflation rates)
- High probability of preventing results from being achieved (e.g., changes in government and thus in priorities and their associated financial support)

In terms of the effect of the risk having on the project, for each of the risks identified, there are also three levels:

- Low effect on project with little compromise to expected result
- Medium effect on achieving expected results
- High effect on achieving expected results

[tt] **Slide 105:** Before we can develop output monitoring tools or study tools, it is important to know which indicators and how many of them can be collected using the same method and tool, have the same source and are to be collected at the same time. Including this step makes tool design much more efficient and ensures that multiple indicators can be included in one tool. One suggestion is to use an Excel sheet with the columns as per the following slide. This sheet will be used and become

part of M&E planning and tracking and updated, as relevant. It is also a way to track the tool names/numbers and version of tools in use.

[uu] **Slide 108:** The process of grouping indicators at the outcome levels is similar with the exception that target population should also be considered. Most often these indicators are grouped by survey or study planned.

[vv] **Slide 109:** One of the advantages of grouping indicators is to identify 'orphan' indicators. If an indicator cannot be included in an output monitoring tool collected by the same person and at the same frequency, reconsidering if another appropriate indicator could be used is suggested. The aim is to minimize the number of tools (and thus effort) required to collection information.

[ww] **Slide 110:** The hyperlink on this slide can be made with the two output monitoring tool examples found on page 62 and 63 of the Facilitator's Guide. Alternatively, the facilitator may also choose to print out the examples for the group.

[xx] **Slide 115:** The hyperlink can be made with the sample found on Page 69 of the Facilitator's Guide. Alternatively, the facilitator may print out a copy for the group.

[yy] **Slide 117:** It is important when using a combination of external consultant and internal staff, that the roles and responsibilities of each must be defined at the outset. Facilitators may also want to highlight the balance or choice of international versus national consultants and why and when each can be beneficial.

[zz] **Slide 121:** One of the key messages to iterate is that studies take time and that all steps from design, to enumerator training, to collection, to data entry and analysis, to transcribing and to report writing requires sufficient time. Study calendars, like M&E plans, are iterative in development, and are likely to change depending on the context and/or unforeseen events. It is best to overestimate the time required when planning a study with the team.